## STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS DEPARTMENT OF BUSINESS REGULATION SECURITIES DIVISION JOHN O. PASTORE COMPLEX – BUILDING 69-1 CRANSTON, RI 02920

401.462-9527 (PHONE) 401.462-9645 (FAX)

DEPARTMENT COMPLAINT FORM		Office Use Onl
	is form and return to above address if you hav d to meet their responsibilities and obligations	Date Filede reason to believe that a licensee regulated by the
Complainant's Name: Last	First	Middle
Residence Street	City/Town	StateZip
Mailing Address (if different from reside	ence)	
Home Telephone	Business Telephone & Exter	nsion
Name, Address, Phone of person who al	ways knows where to contact me	
Licensee or regulated activity about wh	nom or which I am making complaint	
Address (Business or Residence)		Phone
Type of Licensee or Regulated Activity		
Securities	Charitable Organizations	Time Shares
Broker Dealer	Fund Raiser	
Franchisor	Investment Adviser	
Date, Time and Place of alleged violation	on	
Other Federal, State, Municipal, local ag	gencies or legal counsel I have contacted with re	gard to this complaint, including results of contacts
	ch will help support your allegations including	ninst the licensee or regulated activity. Be sure to, but not limited to statements, contracts, purchast HER SIDE)
The undersigned swears to or affirms th including all statements hereto attached		, representations and allegations contained herein
SIGNED		DATE

A COPY OF THIS COMPLAINT WILL BE FORWARDED TO THE LICENSEE ABOUT WHICH YOU HAVE COMPLAINED. (SEE OTHER SIDE)

<u>NATURE OF COMPLAINT</u> : If more space is needed attach additional sheets.		

The Department will investigate your complaint for possible violations of applicable statutes and regulation. We will make every effort to bring about a satisfactory resolution---this Department only has jurisdiction to take certain statutorily defined regulatory actions against the regulated entity/individual. The Department does not have jurisdiction to order the entity/individual against whom you are filing this complaint to return or refund money to you. Therefore, occasionally, a resolution may not lie within the jurisdiction of this Department. If that is the case, we may suggest you seek an attorney, or refer you to an appropriate agency. If your complaint involves securities, you may also wish to seek arbitration through the FINRA Dispute Resolution, One Liberty Plaza, 165 Broadway, 27th Floor, New York, NY 10006, Telephone (212) 858-4200, Fax (301) 527-4873.