



IDAHO DEPARTMENT OF FINANCE
Securities Bureau
800 Park Blvd., Suite 200, Boise, ID 83712
P.O. Box 83720, Boise, ID 83720-0031
<http://www.finance.idaho.gov>
Fax: 208/332-8099
208/332-8004
Toll Free within Idaho: 1-888-346-3378
E-mail: securities@finance.idaho.gov

GUIDELINES FOR COMPLETING THE SECURITIES COMPLAINT FORM

Before filling out the attached complaint form, please take the time to read these guidelines; they will help you understand our functions, and we will be better able to understand and act on your complaint.

WHAT WE CAN DO:

We investigate complaints against persons, business entities, and corporations accused of violating the licensing or anti-fraud provisions of laws administered by the Department. We are empowered to bring administrative or civil actions to stop these violations, and, in appropriate cases, to refer matters to the Prosecuting Attorneys' offices for criminal prosecution.

WHAT WE CANNOT DO:

We cannot act as a court of law, so we cannot order that monies be refunded, contracts be canceled or damages be awarded. If you have this type of problem, you should consult an attorney.

We cannot give legal advice or act as your attorney.

HOW YOU CAN HELP US:

The purpose of this complaint form is to provide this Department with enough information to allow us to determine if an investigation into your allegations is warranted. Thus, it is important for you to furnish as much detailed information as possible.

Documentary evidence is especially important, therefore, you should photocopy or scan all documents such as account statements, contracts, agreements, certificates, notes, trust deeds, correspondence, legible copies of the front and back of checks involved, escrow documents, advertising, etc., and attach them to the written complaint. (Please do not send originals; we cannot be responsible for their safekeeping.)

How to submit complaint form and supporting documents:

You may complete all sections of this fillable form, save, print and sign. Then scan and email it along with your scanned supporting documents to: securities@finance.idaho.gov or mail photocopied form and supporting documents to address below.

Or

You may print form, complete by hand (print clearly) and sign. Then mail along with your photocopied supporting documents to:

Idaho Department of Finance
Securities Bureau
P.O. Box 83720, Boise, ID 83720-0031
or
Express: 800 Park Blvd., Suite 200, Boise, ID 83712

If you have any questions concerning this form, you may contact the Securities Bureau at 208/332-8004.

COMPLAINT FORM

INFORMATION ABOUT YOU

A.

| | | | |
|---------------------|-------|--------|------------------|
| _____ | | | _____ |
| Last Name | First | Middle | Today's Date |
| _____ | | | |
| Home Address | | | |
| _____ | | | |
| _____ | | | _____ |
| City | State | Zip | Telephone Number |
| _____ | | | |
| Business Address | | | |
| _____ | | | |
| _____ | | | _____ |
| City | State | Zip | Telephone Number |
| _____ | | | |
| Email Address | | | |
| _____ | | | |
| _____ | | _____ | _____ |
| Trade or Occupation | | Age | Marital Status |

Are you willing to be interviewed by an investigator from this office? Yes No

Are you willing to be a witness if formal proceedings are commenced by the Idaho Department of Finance?

Yes No

SUBJECT OF COMPLAINT

B.

| | | | |
|--------------|--|---------|---------------|
| _____ | | _____ | _____ |
| Company Name | | Address | Telephone No. |

List persons who were involved in selling you the investment (please use separate pages to set forth any other available information about these persons.)

| | | | | |
|-----------|-------|--------|----------|---------------|
| Last Name | First | Middle | Position | Telephone No. |
|-----------|-------|--------|----------|---------------|

| | | | |
|---------|------|-------|-----|
| Address | City | State | Zip |
|---------|------|-------|-----|

| | | | | |
|-----------|-------|--------|----------|---------------|
| Last Name | First | Middle | Position | Telephone No. |
|-----------|-------|--------|----------|---------------|

| | | | |
|---------|------|-------|-----|
| Address | City | State | Zip |
|---------|------|-------|-----|

Please explain your previous investment experience with either the company or the salesperson who contacted you. Additionally, describe any personal relationships/dealings with the company or the salesperson.

C. Questions About Your Investment:

| Yes | No | N/A | |
|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | If you used a broker, were investments in the account solicited, or recommended by the broker? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Were trades made in your account without your authorization? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Did you receive a prospectus, private placement memorandum, private offering memorandum, disclosure brochure, or any other disclosure document before making the investment? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | If a private investment opportunity, did you receive audited financial statements on the company? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Did the person selling you the investment discuss the risks of the investment prior to purchase? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Did you understand the risks of the investment? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Do you feel the investment was in line with your investment goals? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Did you have the financial ability to absorb the risk of the investment? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Did you understand where your money was to be invested? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | If your investment was made from a brokerage account, did your account have a margin agreement? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | If you used a broker or investment adviser, did they have power of attorney or the authority to enter transactions in your account? |

INFORMATION ABOUT INVESTMENT

D. What did you purchase or invest in? (Examples: common stock, debenture, limited partnership interest, investment contract, fractional interests in an oil and gas lease). If available, include a copy of your most recent account statement.

| Date of Purchase | Security | No. of Shares | Unit Price | Total Price |
|------------------|----------|---------------|------------|-------------|
|------------------|----------|---------------|------------|-------------|

| Date of Purchase | Security | No. of Shares | Unit Price | Total Price |
|------------------|----------|---------------|------------|-------------|
|------------------|----------|---------------|------------|-------------|

| Date of Purchase | Security | No. of Shares | Unit Price | Total Price |
|------------------|----------|---------------|------------|-------------|
|------------------|----------|---------------|------------|-------------|

How was the amount paid: (lump sum, installments, other / check, cash, wire, other) _____

Who received the payment from you? _____

Did you pay by mail? _____

To whom did you make your checks payable? _____
(Please provide a copy of both sides of the check if possible)

E. Did you sign or receive any type of contract? Yes No If yes, please enclose a copy.

Where was it signed (city/county)? _____

Were your securities delivered? _____

Where are your securities held? _____

If your securities have been delivered to you by mail, please attach a copy of the cover letter attached to your securities.

F. How did you learn of the investment? (Check more than one if applicable and enclose copies of pamphlets or advertisements if available.)

Personal visit Date _____

Location _____

Whom _____

Telephone call Date _____

From whom _____

Where was the call received? _____

- Advertising pamphlet/sales letter
Sent to you at what address/location _____
(If available, please include a copy of the pamphlet or letter)
- Newspaper
Name of paper _____
(If available, include a copy of the newspaper advertisement.)
Date _____
- Radio
Name of station _____
Date _____
- Television
Name of station _____
Date _____
- Group Sales Presentation
Date of presentation _____
Where was presentation held? _____
- Other (Please Specify) _____

G. List others who were present when the offers or sales were made to you.

| Name | Address | Telephone | Relationship to Complainant |
|------|---------|-----------|-----------------------------|
| | | | |
| | | | |
| | | | |

H. Who else do you know that invested with the company, corporation, or association?

| Name | Address | Telephone | Relationship to Complainant |
|------|---------|-----------|-----------------------------|
| | | | |
| | | | |
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