



IDAHO DEPARTMENT OF FINANCE
Securities Bureau
800 Park Blvd., Suite 200, Boise, ID 83712
P.O. Box 83720, Boise, ID 83720-0031
Website: finance.idaho.gov
Fax: 208/332-8099
208/332-8004

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 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.)

Type or print clearly in ink.

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

Upon completion of all sections, please mail the form along with your 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

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 No.	First	Middle	Position	Telephone

Address		City	State	Zip

Last Name No.	First	Middle	Position	Telephone

Address	City	State	Zip
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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
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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? _____ If so, 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_____

Date_____

(If available, include a copy of the newspaper advertisement.)

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

Name Address Telephone Relationship to Complainant

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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Name	Address	Telephone	Relationship to Complainant
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Name	Address	Telephone	Relationship to Complainant
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Signature (Please sign in ink)

Date