



# UTAH DEPARTMENT OF COMMERCE

Division of Securities

Send to: Utah Division of Securities  
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## COMPLAINT FORM

Please complete each question on this form. If you need additional space for any of your responses, please attach additional pages and indicate to which question the additional pages relate. Please send this completed form (along with attachments) to the Division of Securities to the address listed at the top of this form.

### I. PERSONAL INFORMATION

\_\_\_\_\_  
Last Name                                      First Name                                      Middle Initial

\_\_\_\_\_  
Spouse's Name (if filing jointly)

\_\_\_\_\_  
Home Street Address                      City                                      State                                      Zip Code

\_\_\_\_\_  
Work Street Address                      City                                      State                                      Zip Code

Home #: \_\_\_\_\_ Work #: \_\_\_\_\_

Cell #: \_\_\_\_\_ E-mail: \_\_\_\_\_

Age \_\_\_\_\_ Occupation: \_\_\_\_\_

- **Were you an accredited investor at the time of the investment?**

**Yes                      No**

(An accredited investor is an individual with a net worth in excess of \$1 million dollars or an annual individual income in excess of \$200,000 per year or combined income with a spouse of \$300,000 per year over the past two years with a reasonable expectation of reaching the same income level in the current year.)

- ### II. COMPLAINT INFORMATION. Please provide the name of the Company, Brokerage Firm, Investment Adviser, or Issuer with which you invested. If payment was made to some other company name, this will be noted further below.

\_\_\_\_\_  
Company Name(s)

\_\_\_\_\_  
Agent's Last Name                      First Name                                      Middle Name

\_\_\_\_\_  
Street Address                                      City                                      State                                      Zip Code

Work #: \_\_\_\_\_ Cell #: \_\_\_\_\_

Website: \_\_\_\_\_ E-mail: \_\_\_\_\_

**III. WHO CONTACTED YOU ABOUT THE INVESTMENT?**

_____		_____		_____	
Last Name		First Name		Middle Name	
_____		_____		_____	_____
Street Address		City		State	Zip Code
Work #: _____		Cell #: _____			
E-mail: _____					

- **When were you initially contacted about the investment:** \_\_\_\_\_
- **How were you contacted?** \_\_\_\_\_
- **Where did the contact take place?** \_\_\_\_\_
- **Did anyone else contact you in connection with your investment?**      **Yes**              **No**  
(If yes, please include full names and any contact information that you have.)

**IV. INVESTMENT INFORMATION.** Briefly describe what kind of an investment you bought or thought you were buying. For example: a *Stock, a Bond, a Note, an Investment Contract, a Limited Partnership, Interest in an LLC, an Oil, Gas, or Mining Title or Lease, a Commodity contract or commodity option, etc.*

- **Type of Investment(s):** \_\_\_\_\_
- **Total Dollar Amount Invested: \$** \_\_\_\_\_ **Number of Investments:** \_\_\_\_\_
- **Date(s) of Investment:** \_\_\_\_\_
- **Rate of Return or Expected Earnings:** \_\_\_\_\_
- **Form of Payment:**      Cash              Check              Money Order              Wire Transfer              Trade  
   Other \_\_\_\_\_
- **To whom did you make your investment payments?** (Include the company or person's name, bank name, wiring information, account number and mailing address, if applicable.)
  
- **What was your understanding of how your investment funds would be used?**
  
- **What did you receive in exchange for your investment?** (Please state how many shares, items, units, interest, etc., you bought or thought you were buying.)

- **Have you been paid any money in return for your investment?** If so, state the amounts and dates you received the payments.

V. **WHY ARE YOU FILING A COMPLAINT?** Please explain why you are making this complaint. Please give full details of Who, What, When, Where, Why, and How. If possible, please provide the exact words of what you were told about the investment and by whom. If you need additional room to explain, please attach additional pages.

**ARE THERE WITNESSES TO YOUR STORY?** Please provide the names and contact information of others who can corroborate your story.

**ARE THERE OTHER VICTIMS?** Please provide the names, contact information, and any relevant information you know about other possible victims.

VI. **RESOLUTION ATTEMPTS YOU HAVE MADE.**

- **Have you contacted the Person or Company about your complaint?** Please provide the date of your last contact and describe the result or current status of your complaint.

- **Have you contacted any other Local, State, or Federal Agency about your complaint?** Please give the name and contact information of the agency that you have contacted.
  
- **Have you taken any private legal action in connection with your complaint?** Please give the name and contact information for your attorney, the court you filed in, the case or docket number and the current status of the lawsuit.

## **RELEVANT DOCUMENTS TO ATTACH**

**PLEASE ATTACH COPIES OF ANY DOCUMENTS RELATED TO YOUR COMPLAINT.** Obtaining relevant documentation related to the investment is essential to the Division's ability to adequately investigate any potential violations of relevant laws and regulations. Before submitting the completed complaint form to the Division of Securities, please attach copies of any relevant documents. These include copies of any applicable documents such as:

- |  |   |   |
|--|---|---|
| <ul style="list-style-type: none"> <li>▪ <b>Checks (front &amp; back) you sent or received</b></li> <li>▪ <b>Wire Transfer Confirmations</b></li> <li>▪ <b>Receipts</b></li> <li>▪ <b>Contracts</b></li> </ul> | <ul style="list-style-type: none"> <li>▪ <b>Promissory Notes</b></li> <li>▪ <b>Prospectus</b></li> <li>▪ <b>Sales Brochure</b></li> <li>▪ <b>Private Placement Memorandum</b></li> <li>▪ <b>Account Statements</b></li> </ul> | <ul style="list-style-type: none"> <li>▪ <b>Emails or other correspondence regarding the investment, and</b></li> <li>▪ <b>Any Documentation you were given relating to the investment</b></li> </ul> |
|--|---|---|

### **-CERTIFICATION-**

#### **PLEASE READ BEFORE SIGNING**

BY SIGNING BELOW, I certify that the information I've provided in this complaint is true to the best of my knowledge. I understand that this complaint and any materials I provide to the Division are confidential and will become government records under the *Utah Government Records Access and Management Act*. If the Division of Securities determines that the subject matter of this complaint is more appropriately within the jurisdiction of another agency of the State of Utah, or an agency of the U.S. Government, I hereby grant permission to the Division to forward this complaint to that agency for any action it deems appropriate. I understand that my cooperation with the investigation is necessary and that the Utah Division of Securities will not act as my private attorney for purposes of recovering a lost investment. Any person who has lost money as the victim of an unlawful securities transaction should immediately contact his or her personal attorney about the possibility of bringing a civil lawsuit to recover lost funds. I certify that I am filing this complaint on my own behalf or that my authorized representative is filing the complaint on my behalf.

**SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

Authorized Representative or Spouse, if filing jointly

**VII. HOW DID YOU HEAR ABOUT US?**

1. Outreach Event. Please specify: \_\_\_\_\_
2. Referred from another agency. Please specify: \_\_\_\_\_
3. Social Media. Please specify: \_\_\_\_\_
4. Web Page. Please specify: \_\_\_\_\_
5. Other: \_\_\_\_\_