STATE OF RHODE ISLAND 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 Only	
		Lase No Date Filed		
	s form and return to above address if you l to meet their responsibilities and obligati	have reason to believe that a lice		
Complainant's Name: Last	First	M	Middle	
Residence Street	City/Town	State	Zip	
Mailing Address (if different from resider	nce)			
Home Telephone	Business Telephone & E	xtension		
Name, Address, Phone of person who alv	ways knows where to contact me			
Licensee or regulated activity about whe	om 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 violatio	n			
Other Federal, State, Municipal, local age	encies or legal counsel I have contacted with	n regard to this complaint, includi	ing results of contacts.	

Explain as fully as possible on the reverse side the exact nature of your complaint against the licensee or regulated activity. Be sure to attach **copies** of any documentation which will help support your allegations including, but not limited to statements, contracts, purchase agreements, cancelled checks, circulars, prospectuses, advertising, etc. (SEE OTHER SIDE)

The undersigned swears to or affirms the truth and accuracy of all statements, answers, representations and allegations contained herein, including all statements hereto attached.

SI	GN	JED

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.

.