

C. TELL US WHO YOU ARE COMPLAINING ABOUT

INDIVIDUAL / ENTITY 1:

1. Type: <input type="checkbox"/> Individual <input type="checkbox"/> Entity	2. If an individual, specify profession. If an entity, specify type.
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3. Name

4. Street Address	5. Apartment/Unit #
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6. City	7. State/Province	8. ZIP/Postal Code	9. Country
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10. Telephone	11. E-mail Address	12. Internet Address
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13. If you are complaining about a firm or individual that has custody or control of your investments, have you had difficulty contacting that entity or individual? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown
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14. Are you, or were you, associated with the individual or firm when the alleged conduct occurred? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown If yes, describe how you are, or were, associated with the individual or firm you are complaining about.

15. What was the initial form of contact between you and the person against whom you are filing this complaint? <input type="checkbox"/> Telephone <input type="checkbox"/> TV Advertisement <input type="checkbox"/> Radio Advertisement <input type="checkbox"/> Internet Advertisement <input type="checkbox"/> E-Mail <input type="checkbox"/> U.S. Postal Service <input type="checkbox"/> Event (seminar, free lunch, ext.) <input type="checkbox"/> Other
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If other, please describe: