NC SECURITIES DIVISION COMPLAINT FORM

We cannot represent an investor in a claim for monetary damages. Any action the Division takes is to regulate and enforce NC securities and investment adviser law on behalf of all North Carolinians. Anonymous complaints may pose a difficulty with an investigation as it is impossible for us to request additional information or clarification from you. Investors retain the right to seek civil action for recoveries. The Division encourages investors to consult with a licensed, experienced securities attorney regarding their options. If you do not have an attorney, you may find one using the NC Bar Association's Lawyer Referral Service at www.ncbar.org.

Send Completed Form To:

NC Department of Secretary of State
Securities Division
PO Box 29622
Raleigh, NC 27626-0622

OR

Email: secdiv@sosnc.gov
Fax: (919) 814-5596

How did you hear about us?

- ☐ I attended an event at which a Department representative spoke.
- ☐ I am an attorney.
- ☐ I am an investment/financial services professional.
- ☐ I was referred by another agency.
- ☐ Word of mouth.
- ☐ Internet search.
- ☐ Other (please specify) _____

PLEASE TYPE OR PRINT YOUR RESPONSES

SECTION 1: COMPLAINANT

Name: _____

Address: _____

City: _____ **State:** _____ **Zip:** _____

Email: _____ **Daytime Phone:** _____

May we contact you or provide investor alerts, or investor education materials to you by email? ☐ Yes ☐ No

Please tell us about yourself:

What is your age range? ☐Under 18 ☐18-24 ☐25-34 ☐35-44 ☐45-54 ☐55-64 ☐65+

What is your highest level of education?

☐Some high school ☐High school/GED ☐Trade/technical/vocational ☐Bachelor's degree ☐Master's degree ☐Doctorate degree

What is/was your profession? _____

How would you describe yourself?

☐ A first-time investor. ☐ A sophisticated & experienced investor. ☐ Something in between.

SECTION 2: SELLER OR FIRM

Are you complaining about a person/firm in NC? ☐ Yes ☐ No ☐ Not sure

What is the name & contact information of the person or firm against whom this complaint is being filed? If the complaint is against a person, please include their job title or position, if known.

Name & Title/Position: _____

Address: _____

City: _____ **State:** _____ **Zip:** _____ **Telephone:** _____

Email: _____ **Website:** ____

Who initiated the first contact about the investment, you or the person/firm? ☐ Me ☐ Person/Firm

By what means was contact initiated? ☐ Text/email ☐ Phone ☐ In-person ☐ Social media/web

Did you know the salesperson or have dealings with the company prior to making this investment? (If "Yes," please explain.) ☐ Yes ☐ No

Name(s) / Contact Information of Others Involved:

SECTION 3: TRANSACTION(S)

If you answer "Yes" to any of the following, please attach <u>COPIES</u> to this complaint.

Do you have evidence of your investments (i.e., receipts, canceled checks, etc.)? If "No," please explain the nature of the transaction(s). ☐ Yes ☐ No

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Did you sign any papers or documents? ☐ Yes ☐ No

Did you receive a prospectus or any written sales materials? ☐ Yes ☐ No

Were you advised/encouraged to transfer money from other investments to make this investment? (If yes, please explain or attach any correspondence or evidence showing this.) ☐ Yes ☐ No

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Were cryptocurrencies involved? If "Yes," what exchanges and/or wallet addresses were used? ☐ Yes ☐ No

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Transaction Date(s): _____

Which state were in you when the transaction(s) took place? _____

Where did the transaction(s) take place? (i.e., online, in-person, via phone) _____

What kind of investment was involved? (i.e., stocks, bonds, promissory notes, a partnership interest, etc.) If unsure, describe as accurately as possible.

If the investment was associated with a business entity, please identify the business entity and provide as much information as possible, including website if known.

In total, how much money did you invest? _____

To whom did you make payment(s) and by what method(s)?

How did you learn of the investment? (e.g., in-person, phone, email/text, web/social media, etc.)

If via web/social media, what URL/platform? _____

By what means or web platform did you communicate with the seller?

What time of day did the seller typically contact you about this investment? ☐ 6am-12pm ☐ 12pm-6pm ☐ 6pm-12am ☐ 12am-6am ☐ No set time/random

What were you told about the investment before you invested?

SECTION 4: LEGAL

Does an attorney represent you in this matter? If "Yes," please provide their name and contact information. ☐ Yes ☐ No

Name: _____

Address: _____

City: _____ **State:** _____ **Zip:** _____

Email: _____ **Daytime Phone:** _____

Have you complained to the firm/person who sold you this investment? If "Yes," please provide details or copies of any correspondence along with this complaint. ☐ Yes ☐ No

Have you started any legal action against the persons who sold you this investment? ☐ Yes ☐ No

Have you contacted anyother governmental or regulatory agency about this investment? If "Yes," please identify below or provide details along with this complaint. ☐ Yes ☐ No

Are you willing to testify or sign an affidavit about your dealings with the person(s) or firm who sold you this investment? ☐ Yes ☐ No

Did you record any of your conversations relating to this investment? ☐ Yes ☐ No

SECTION 5: YOUR DESCRIPTION OF THE TRANSACTION

This section is where you may tell us your story in full, including any details necessary for us to clearly understand what you have set forth above in this complaint. Please describe how you came to make this investment; how it was sold to you, or who persuaded you to purchase it; what statements and promises were made to you by the sellers; and what has caused you to file this complaint. If needed, attach additional sheets. Be as specific as you can about names, dates, addresses and documents. Do not assume that any fact is irrelevant or unimportant. If any part of the transaction took place outside of North Carolina, be sure to tell us that. If you have documents relating to the transaction, send us **copies -- do not send us the originals**; instead keep the originals for your own records.

THE INFORMATION I HAVE STATED IN THIS COMPLAINT IS TRUE AND ACCURATE TO THE BEST OF MY KNOWLEDGE. I UNDERSTAND THIS DOCUMENT MAY BE A PUBLIC RECORD AND MAY BE FORWARDED TO LAW ENFORCEMENT OR OTHER APPROPRIATE REGULATORY AGENCY. I UNDERSTAND THE NC DEPARTMENT OF THE SECRETARY OF STATE SECURITIES DIVISION DOES NOT HAVE THE AUTHORITY TO PROVIDE LEGAL ADVICE OR REPRESENTATION.

Signature _____ Date _____