



State of New Jersey
 DEPARTMENT OF LAW AND PUBLIC SAFETY
 DIVISION OF CONSUMER AFFAIRS
 BUREAU OF SECURITIES
 PO Box 47029
 153 HALSEY STREET
 NEWARK, NEW JERSEY 07101
 (973) 504 - 3600
 E-MAIL: AskBureauofSecurities@dca.lps.state.nj.us

COMPLAINT REPORTED BY:

COMPLAINT REPORTED AGAINST:

NAME: _____ ADDRESS: _____ CITY: _____ STATE: _____ ZIP: _____ HOME TELEPHONE NUMBER: _____ WORK TELEPHONE NUMBER: _____ E-MAIL ADDRESS: _____	FIRM NAME: _____ ADDRESS: _____ CITY: _____ STATE: _____ ZIP: _____ TELEPHONE NUMBER (1): _____ TELEPHONE NUMBER (2): _____
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The Bureau of Securities investigates complaints against individuals and firms selling securities or offering investment advice as well as companies issuing securities investments. The Bureau is empowered to bring administrative actions or civil law suits to enforce the registration and anti-fraud provisions of the New Jersey Uniform Securities Act. The Bureau may refer certain matters for criminal prosecution.

1. Type of firm (if known). Please check the appropriate box:
 Securities Brokerage Firm Investment Advisory Firm Financial Planning Firm
 Other (specify): _____
2. Name and title of firm's agents or employees with whom you dealt: _____

 If known, type of professional designation used:
 Stockbroker (Agent) Investment Advisor Other (specify): _____
3. How was the initial solicitation made:
 Telephone Mail Seminar
 Other (specify): _____
4. Type of investment product involved in your complaint:
 Stocks Bonds Mutual Funds Limited Partnerships
 Other (specify) _____
5. Did you receive a prospectus when you purchased the investment? Yes No

*Please continue on reverse side
Do not write below this line*

Date received: _____ Case #: _____ Investigator: _____
 Status #: _____
 Data INIT: _____

