



New Mexico Regulation and Licensing Department
SECURITIES DIVISION

Toney Anaya Building ▪ 2550 Cerrillos Road ▪ Santa Fe, New Mexico 87505
(505) 476-4580 ▪ Fax (505) 984-0617 ▪ Toll free in NM (800) 704-5533
www.rld.state.nm.us/SEC

INVESTOR COMPLAINT FORM

This form can be filled in using your computer by entering information into the gray boxes and tabbing through the form. Otherwise, legibly print all requested information.

INVESTOR INFORMATION

YOUR LAST NAME:		FIRST:	MI:
PHYSICAL ADDRESS:			
CITY/STATE/ZIP:			
MAILING ADDRESS IF DIFFERENT:			
CITY/STATE/ZIP:			
MARITAL STATUS:		SPOUSE NAME:	
E-MAIL:			
HOME PHONE:		WORK PHONE:	
OCCUPATION:		EMPLOYER:	
ADDRESS:			
CITY/STATE/ZIP:			

BROKER/DEALER OR INVESTMENT FIRM

FIRM NAME:		PHONE:
ADDRESS:		
CITY/STATE/ZIP:		
WEBSITE:		

SALES REPRESENTATIVE INFORMATION

SALES REP NAME:		PHONE:
ADDRESS:		
CITY/STATE/ZIP:		

Securities Division
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TRANSACTION DETAILS

TYPE OF INVESTMENT:	NAME OF INVESTMENT:
PURCHASE DATE:	INVESTMENT AMOUNT \$
<input type="checkbox"/> Yes <input type="checkbox"/> No	Were you contacted by a Firm and/or Sales Representative?
If no, how did you become aware of the Firm/Security?	
What specific statements were made to you that convinced you to invest?	
1.	
2.	
3.	
What were YOUR investment objectives at the time of purchase?	
1.	
2.	
3.	
<input type="checkbox"/> Yes <input type="checkbox"/> No	Was your account a margin account?
<input type="checkbox"/> Yes <input type="checkbox"/> No	Was your authorization required before a transaction could be made in your account?
<input type="checkbox"/> Yes <input type="checkbox"/> No	Are you willing to testify in person at an administrative hearing/criminal trial, if required?
<input type="checkbox"/> Yes <input type="checkbox"/> No	Did you authorize anyone else to initiate transactions for you in this account?
If yes, who?	
Regarding this matter, have you contacted:	
<input type="checkbox"/> Yes <input type="checkbox"/> No	The sales representative? If yes, when?
<input type="checkbox"/> Yes <input type="checkbox"/> No	Anyone else at the firm? If yes, when?
How did you learn about the New Mexico Securities Division?	

On a separate page or pages that you attach to this complaint form, provide this information:

- Briefly explain the problem with your investment.
- What other steps have you taken with regard to this matter before you contacted the New Mexico Securities Division?

Send copies of any documents you may have that may assist us when reviewing your complaint.

Mail to: NM Regulation and Licensing Department, Securities Division, 2550 Cerrillos Road, Santa Fe, NM 87505

Signature

Date

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IMPORTANT

The Securities Division is charged with enforcing state laws that protect investors from unfair and abusive practices by those who are in the business of giving investment advice or selling investment products. If you have a problem with an investment or believe you have been offered a questionable investment, fill out and submit this form.

You should be aware that **the Division cannot promise to obtain a return of your funds, nor can the Division act as your attorney in this matter.** The Division enforces the New Mexico Securities Act of 1986 on behalf of the State of New Mexico. This law provides important legal rights and remedies for individual investors, but in order to preserve these rights and remedies, you should consult with legal counsel to determine whether it is advisable for you to start your own legal action. However, if the Division is able to take action against the target of your complaint, we will attempt to seek resolution of the issues raised in your complaint.

You should also consider pursuing other avenues as the Division considers your complaint. For instance, if your securities account agreement contains a binding arbitration clause, you may want to consider resolving your complaint through arbitration. In that case, you should contact the National Association of Securities Dealers (NASD) located at Republic Plaza Bldg., 370 17th Street, Suite 2900, Denver, Colorado 80202-5629, phone (303) 446-3100.

In addition, you may also wish to make your complaint in writing to the Federal Government's U.S. Securities and Exchange Commission, located at 1801 California Street, Suite 4800, Denver, Colorado 80202, phone (303) 844-1000.

Finally, you may wish to consider retaining legal counsel to inform you of the various options available to you in resolving your complaint. In order to preserve your ability to take legal action or submit to arbitration, you must start such proceedings within a certain time period. The New Mexico Securities Act of 1986, for example, requires that you must file your action within two years from the date you discovered, or should have discovered, a violation; however, in no case may the action be started more than five years after the date of the violation which is the basis of your complaint. If you have signed an agreement with your investment professional that provides for the resolution of complaints through arbitration, the arbitration agreement may provide that a different limitation period applies. It is sometimes difficult to determine the exact date of the violation which triggers the running of the time limits. You may wish to consult a securities attorney to advise you on how to make such a determination.