



**Division of Banking, Securities, and Corporations**

*Physical address for shipments and deliveries such as UPS and DHL:*

150 3rd Street, Suite 217, Juneau, Alaska 99801

*Correspondence with this office:*

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Email: [dbsc@dced.state.ak.us](mailto:dbsc@dced.state.ak.us) • Website: [www.dced.state.ak.us/bsc/](http://www.dced.state.ak.us/bsc/)

**INVESTMENT COMPLAINT FORM**

**This form can be completed on line, downloaded, signed, and submitted to the division by fax, or you can complete it and mail it in to the division if a lot of other materials must be sent with it.**

The jurisdiction of securities officials extends only to those matters that are defined as securities under the Alaska Securities Act. Generally, these are investments. We do not have jurisdiction over matters that have to do with the functioning of corporations and other business entities involving failures or acts of management with which you disagree. You may have civil remedies, but the division lacks the ability to become involved. An exception to this is the requirement that certain ANCSA corporations and their members are required to file proxy solicitations and certain other materials with the division. You may call the division to inquire about these matters if you have questions. **THIS FORM SHOULD NOT BE USED FOR COMPLAINTS ABOUT ANCSA CORPORATIONS. USE FORM 08-115B POSTED ON THE DIVISION WEB SITE FOR THOSE COMPLAINTS.**

**Name, address, and telephone number of person filing this complaint:**

Full name	Address		
Work phone and best time to call:		Home phone and best time to call:	
Fax	Please give your E-mail address if you have one:		

**This complaint is about  an individual  a company. The name, address, and phone number are: (If more than one individual, please give the other names, addresses, and phone numbers that you have)**

Name of company and/or individuals	Address	Phone

**This complaint is about  a corporation,  a partnership,  a limited partnership,  a limited liability company, or  a limited liability partnership formed under the laws of the state of**

\_\_\_\_\_ .  I don't know what form or state is involved.

**Please provide a brief description of your complaint below. (How much money is involved? What form of exchange did you use (cash, check, etc.)? What kind of investments did you buy? When did you make the investment? How were you approached to make the investment? Please give all names of persons connected with the investments and how they were involved.)**

**Complaint description . . .**

Use additional sheets as necessary.

Please tell us a little about yourself:

Age: \_\_\_\_\_ Education: \_\_\_\_\_

What kind of work do you do? \_\_\_\_\_

Married?  Divorced?  Single?  Children at home \_\_\_\_\_

Are you a sophisticated investor, is this a first time investing, or somewhere in between?

Please make **copies** of any documents related to your complaint, and send the copies with this complaint. If you send any copies of checks, copy the front and the back. We will ask for you to send us the originals when we need them. If you send anything you want to have returned, please indicate what you want returned here:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Do you know of anyone else who purchased the investment that you have complained about? If so, please give us their names, addresses, and phone numbers, or as much information as you can:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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**Notice of application of the public records provisions of Alaska law.**

Under the public records provisions of Alaska law, AS 09.25.100 – 09-25.220, this complaint *may* become subject to public disclosure at some time after the investigation is ended. While it is not subject to public disclosure, your identity will be made known to the person or company being complained of unless you indicate a good reason why it should not be released.

**I certify that the information given above is true to the best of my knowledge. I understand that I can be held responsible if I make a false report.**

\_\_\_\_\_  
\_\_\_\_\_

Signature (form must be signed above)

Date