



## Department of Commerce

Division of Securities

Sheryl Maxfield, Director

Mike DeWine, Governor  
Jon Husted, Lt. Governor

### **Dear Complainant:**

Enclosed please find a complaint form of the Ohio Division of Securities which can be completed and returned to us at your convenience. The Division appreciates the time and effort you expend in bringing this matter to our attention and we will be happy to assist you in any way within our authority. So that you will better understand the Division's abilities and limitations, please review the following information.

### **What we can do:**

The Division pursues possible violations of the Ohio Securities Act, Chapter 1707 of the Ohio Revised Code. We investigate complaints against persons, business entities, corporations, and broker-dealers alleged to have violated licensing, registration, or anti-fraud provisions of the Ohio Securities Act. The Division is empowered to bring an administrative action (for example, a Cease and Desist Order) against an entity for proven violations and in appropriate cases may refer matters to the county prosecutor's office for criminal prosecution. Please note that your complaint will be held in confidence except in those situations where your identification will facilitate an early resolution of your complaint, such as in the case of a dispute with a broker-dealer. In addition, if the Division finds that it is unable to assist you, we will attempt to refer your complaint to another agency who can provide assistance.

### **What we cannot do:**

The function of the Division is analogous to that of a police department; we are authorized to investigate and prosecute violations of law which fall within our jurisdiction. We are unable to cancel any agreement or contract, order that your money be refunded, give legal advice or act as your attorney, or act as a court of law. The Division is also bound by statutory time limitations; thus, we are unable to pursue alleged violations that occurred more than five years ago (R.C. § 1707.28). Finally, the Division does not have any authority or control over how a company conducts its internal business affairs; we cannot require a company to provide you with financial statements, reports or updates, or hold a shareholder meeting. If you have lost money or object to the way a business is being run, your personal attorney can advise you on whether to proceed with a private cause of action.

Please fill out the enclosed Complaint Form as completely as possible to enable us to properly assess your situation. Again, we thank you for your time and cooperation. If you have any questions concerning your complaint or the enclosed form, please feel free to contact the Enforcement Section at (800) 788-1194 or [securitiesgeneral.questions@com.state.oh.us](mailto:securitiesgeneral.questions@com.state.oh.us).

**ENFORCEMENT SECTION  
OHIO DIVISION OF SECURITIES  
77 S. High Street, 22<sup>nd</sup> Floor  
Columbus, Ohio 43215-6131**

Enforcement Section  
77 South High Street  
22<sup>nd</sup> Floor  
Columbus, Ohio 43215

An Equal Opportunity Employer and Service Provider

614-644-7381  
Fax: 614-728-2846  
Investor Protection Hotline:  
877-683-7841  
TTY/TDD: 800-750-0750  
[com.ohio.gov](http://com.ohio.gov)

State of Ohio  
Department of Commerce  
Division of Securities

COMPLAINT FORM

DIRECTIONS:

The information you provide on this form is valuable to the Division's investigation of your complaint. Please furnish specific and detailed information, answer all questions that are applicable to your situation, be clear and concise in your answers. Failure to provide complete information may delay the processing of your complaint.

Full Name _____	Date _____
Address _____	County _____
City/State/Zip _____	Work Phone _____
Occupation _____	Home Phone _____
Email _____	

1. Who is your complaint against (name(s), address(es), telephone number(s)?)

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2. Date and means of initial contact (i.e., newspaper ad, mail, telephone solicitation, referral, etc.) Who made the initial contact?

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3. Full name of salesperson(s) who sold the investment to you.

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4. Other names associated with the person who sold the investment to you, such as a brokerage firm, company, or other principals or associates, etc. Please include addresses and phone numbers.

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5. The following information relates to the actual investment you made. Please provide complete and factual data.

a. Name of Investment(s)

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b. Type of Investment (i.e., stocks, bonds, limited partnership interests, etc.)

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c. Date(s) of Investment \_\_\_\_\_

d. Number of Shares or Interests Purchased \_\_\_\_\_

e. Price Per Share/Total Purchase Price \_\_\_\_\_

f. Where did this transaction take place? Who was present?

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g. How did you pay for this investment (i.e., cash, money order, wire transfer, etc.)?

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6. What were you told that made you decide to invest, such as, the type of profits you might receive, how risky or safe the investment would be, information about the future value of your investment, etc.? Who told you this?

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7. What were you told about how the company was going to use your funds?

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8. Did you make the company/salesperson aware of your financial situation, investment objectives, and/or your risk tolerance? If so, what was said, to whom, and when?

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9. How frequently were you in contact with the company/your salesperson? With whom were you in contact and what did you discuss?

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10. Were you encouraged to invest more money in the same or similar investment? If so, what was said to you, by whom, and when?

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15. Have you contacted a private attorney about this matter? Please include the attorney's name, address, and telephone number.

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16. If you are aware of anyone else who has made a similar investment, please provide names and addresses.

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17. Briefly describe your investment experience with respect to this particular investment.

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Documentary evidence is especially important. Please forward copies, not originals, of the front and back of your canceled checks, confirmations, statements, correspondence, certificates, prospectus, and any other written materials pertaining to your complaint.

If you need more space, please feel free to forward additional pages. Return your documents and completed complaint form to:

Ohio Division of Securities  
ATTN: Enforcement  
77 South High Street, 22nd Floor  
Columbus, Ohio 43215-6131

Your complaint will remain confidential under R.C. 1707.12. It is a criminal offense and a violation of R.C. 2921.13(A) to make a false statement for the purpose of misleading a public official.

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Signature

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Date