



TEXAS STATE SECURITIES BOARD
P. O. BOX 13167
AUSTIN, TEXAS 78711

RE: _____

The undersigned files the following information with the Texas State Securities Board:

1. Name: _____

Address: _____

Work Phone: _____ Home Phone: _____

Business or Occupation: _____

2. Have you complained to any other governmental agency? If so, which one?

3. Please describe the investment that was sold to you and its full name.

4. Give the name and place of business of the person or company that offered the investment to you.

5. Were you solicited to purchase the investment by:

Advertisements	_____
Mail	_____
Telephone	_____
Personal conversation	_____
E-Mail	_____
Other	_____

Please describe.

6. Did you know the person who contacted you? If so, please describe.
7. Did you receive a prospectus, brochure or other offering document prior to the time that you invested? If so, please provide a copy (if available).
8. What representations were made to you that induced you to purchase this investment?
9. What representations were made to you concerning how the money you invested would be used by the person or company selling the investment?
10. Were any guarantees given to you? If so, please explain.
11. What disclosures were made to you about the risks of this investment?
12. Have you received any information indicating that the representations made to you were inaccurate or false? If so, please explain.
13. Have you received any information indicating that material information was not disclosed to you? If so, please explain.

14. Summarize the improper or illegal activity you believe has occurred.

15. State the amount you invested and the manner in which payment was made (i.e. cash, check, installments, wire transfer, etc.).

16. State the date or dates that the investment(s) were sold to you.

17. State the city and county in which you were located at the time you purchased these investments.

18. Please describe your level of investment experience.

19. What would you consider to be a reasonable resolution of your complaint?

Signed: _____

Date: _____

Please sign and return this questionnaire to: Texas State Securities Board
P. O. Box 13167
Austin, Texas 78711

If possible, please include **copies** of documents pertaining to your investment including: securities, prospectuses, brochures, confirmations, receipts, cancelled checks (front and back), new account forms, monthly statements, correspondence, contracts and agreements.