

**Print form**

FINRA Investor Complaint Form

**My complaint involves a problem with...**

Click '?' to get more information.

*Seems they will review + send to correct agency*

**Problems addressed by FINRA:**

- Buy or sell orders ?
- Brokerage firm or broker ?
- Insider trading ?
- Manipulation of security price or volume ?
- Account transfer ?
- 401(k), pension or retirement plan ?
- Investment adviser/financial planner ?
- Other - Complaints other than those noted in the sections below ?

*Brings up next pg*

**Problems addressed by the SEC:**

- SEC filing or report
- Public companies
- Transfer agent

[Click here](#) to file a complaint with the Securities and Exchange Commission's Complaint Center

**Problems addressed by the Commodities Futures Trading Commission or the National Futures Association:**

- Commodities
- Futures

[Click here](#) to file a complaint with the Commodities Futures Trading Commission or [Click here](#) for the National Futures Association

Next

Review & Submit



**Problems with Buy or Sell Orders:**

Sometimes, investors have problems with buy or sell orders such as slow execution, execution at an unanticipated price or failure to execute. Other problems with buy or sell orders can also occur.

**Problems with your Brokerage Firm or Broker:**

For examples of conduct that is prohibited in the securities industry, visit our [Prohibited Conduct Web page](#).



**What is Insider Trading?**

Illegal insider trading refers generally to buying or selling a security, in breach of a fiduciary duty or other relationship of trust and confidence, while in possession of material, nonpublic information about the security.

**Problems with Manipulation of Security Price or Volume:**

If you believe that the price or volume of a security is being manipulated, we'd like to know about it.

**Problems with Account Transfer:**

At times, investors transfer their securities accounts between brokerage firms. While the process generally runs smoothly for the vast majority of the thousands of accounts transferred each year, there are times when delays occur and investors have problems. For more information, please read [Understanding the Brokerage Account Transfer Process](#).

**Who Handles 401(k), Pension or Retirement Plan Problems?**

If your problem involves a 401(k), pension or retirement plan, be sure to contact the U.S. Department of Labor [Employee Benefits Security Administration \(EBSA\)](#). EBSA enforces the rules governing the conduct of plan managers, investment of plan money, reporting and disclosure of plan information, enforcement of the fiduciary provisions of the law, and workers' benefit rights. If your problem involves a brokerage firm serving as the administrator of your 401(k) or other retirement plan—or if it involves an individual broker who provided advice or handled transactions in your retirement plan—then you should file your complaint with FINRA.

**Who Handles Problems with Investment Advisers and Financial Planners?**

Not all investment advisers and financial planners are FINRA-licensed brokers or brokerage firms. Your complaint may need to be directed to other organizations depending on who has jurisdiction over the investment adviser or financial planner.

**Other Types of Complaints:**

If you are unsure of what type of complaint you have and choose to file it with FINRA, we will evaluate the complaint, and may pass it on to the appropriate regulator if it is not within FINRA's jurisdiction. Forwarding your complaint to other regulators may delay the process of investigating your complaint. You may wish to contact a [FINRA District Office](#) to discuss your complaint prior to completing this form to better understand which regulatory organization should address your complaint.



will forward  
to appropriate  
regulator/agency



## Prohibited Conduct

You should be aware that certain types of conduct in the securities industry are prohibited, including the following:

1. Recommending to a customer the purchase or sale of a security that is unsuitable given the customer's age, financial situation, investment objective, and investment experience. Investment in a particular type of security may be unsuitable or the amount or frequency of transactions may be excessive and therefore unsuitable for a given customer.



2. Purchasing or selling securities in a customer's account without first contacting the customer and the customer did not specifically authorize the sale or purchase, unless the broker has received from the customer written discretionary authority to effect transactions in the account or the broker was given discretion as to price and time.

3. Switching a customer from one mutual fund to another when there is no legitimate investment purpose underlying the switch.

*possible intent?*

4. Misrepresenting or failing to disclose material facts concerning an investment. Examples of information that may be considered material and that should be accurately presented to customers include: the risks of investing in a particular security; the charges or fees involved; company financial information; and technical or analytical information, such as bond ratings.



5. Removing funds or securities from a customer's account without the customer's prior authorization.



6. Charging a customer excessive markups, markdowns, or commissions on the purchase or sale of securities.

7. Guaranteeing customers that they will not lose money on a particular securities transaction, making specific price predictions, or agreeing to share in any losses in the customer's account.

8. Private securities transactions between a broker and a customer that may violate FINRA rules, particularly where such transactions are done without the knowledge and permission of the sales representative's firm.

9. Trading for a firm's account in preference to a customer by trading ahead of a customer limit order, absent a valid exception.

10. Failure by a market maker to display a customer limit order in its published quotes, absent a valid exception.

11. Failing to use reasonable diligence to see that a customer's order is executed at the best possible price, given prevailing market conditions.

12. Purchasing or selling a security while in possession of material, non-public information regarding an issuer.

13. Using any manipulative, deceptive, or other fraudulent device or contrivance to effect any transaction in, or induce the purchase or sale of, any security.





[Industry Professionals > Contacts](#)

## **FINRA District Offices**

### **District 1 - San Francisco**

One Montgomery Street, Suite 2100  
San Francisco, CA 94104  
(415) 217-1100  
Fax: (415) 956-1931  
[View Map](#)

#### **Donald K. Lopezi, Director**

Northern California (the counties of Monterey, San Benito, Fresno, and Inyo, and the remainder of the state north or west of such counties), northern Nevada (the counties of Esmeralda and Nye, and the remainder of the state north or west of such counties) and Hawaii

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### **District 2 - Los Angeles**

300 South Grand Avenue, Suite 1600  
Los Angeles, CA 90071-3126  
(213) 229-2300  
Fax: (213) 617-3299  
[View Map](#)

#### **David A. Greene, Director**

Southern California (that part of the state south or east of the counties of Monterey, San Benito, Fresno, and Inyo), southern Nevada (that part of the state south or east of the counties of Esmeralda and Nye) and the former U.S. Trust Territories

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### **District 3 - Denver**

4600 S. Syracuse Street  
Suite 1400  
Denver, CO 80237  
(303) 446-3100  
Fax: (303) 620-9450  
[View Map](#)

#### **Joseph M. McCarthy, Regional Director**

Arizona, Colorado, New Mexico, Utah and Wyoming

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### **District 3 - Seattle**

Two Union Square  
601 Union Street, Suite 1616  
Seattle, WA 98101-2327  
(206) 624-0790  
Fax: (206) 623-2518  
[View Map](#)

**Lance Burkett, Director**

Alaska, Idaho, Montana, Oregon and Washington

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**District 4 - Kansas City**

12 Wyandotte Plaza  
120 West 12th Street, Suite 800  
Kansas City, MO 64105-1930  
(816) 421-5700  
Fax: (816) 421-5029  
[View Map](#)

**R. Scott DeArmey, District Director**

Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota and South Dakota

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**District 5 - New Orleans**

1100 Poydras Street  
Energy Center, Suite 850  
New Orleans, LA 70163-0802  
(504) 522-6527  
Fax: (504) 522-4077  
[View Map](#)

**Keith E. Hinrichs, Director**

Alabama, Arkansas, Louisiana, Mississippi, Oklahoma and Tennessee

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**District 6 - Dallas**

12801 North Central Expressway, Suite 1050  
Dallas, TX 75243-1778  
(972) 701-8554  
Fax: (972) 716-7646  
[View Map](#)

**Erin C. Vocke, District Director**

Texas

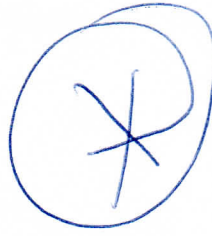
WHY WASN'T IT  
SENT TO TEXAS  
OFFICE?  
(since we are in TEXAS...)

**District 7 - Atlanta**

One Securities Center, Suite 500  
3490 Piedmont Road, NE  
Atlanta, GA 30305-4808  
(404) 239-6100  
Fax: (404) 237-9290  
[View Map](#)

**Daniel J. Stefek, Director**

Georgia, North Carolina and South Carolina



where  
David SUDDETH's office  
is located.

**District 7 - Boca Raton**

Crystal Corporate Center  
2500 N. Military Trail, Suite 302  
Boca Raton, FL 33431-6324  
(561) 443-8000  
Fax: (561) 443-7995  
[View Map](#)

**Mitchell C. Atkins, Regional Director**

Atlanta, Florida, Dallas and New Orleans

**District 8 - Chicago**

55 West Monroe Street  
Suite 2700  
Chicago, IL 60603-5052  
(312) 899-4400  
Fax: (312) 606-0742  
[View Map](#)

**Carla A. Romano, Regional Director**

Illinois, Indiana, Kentucky, Michigan, Ohio and Wisconsin

**District 9 - New Jersey**

581 Main Street, 7th floor  
Woodbridge, NJ 07095-1164  
(732) 596-2000  
Fax: (732) 596-2001  
[View Map](#)

**Gary K. Liebowitz, Regional Director**

New Jersey and New York (except for the counties of Nassau and Suffolk, and the five boroughs of New York City)

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**District 9 - Philadelphia**

1835 Market Street, Suite 1900  
Philadelphia, PA 19103-2929  
(215) 665-1180  
Fax: (215) 496-0434  
[View Map](#)

**Robert B. Kaplan, Director**

Delaware, the District of Columbia, Maryland, Pennsylvania, Virginia and West Virginia

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**District 10 - New York**

165 Broadway, 52nd Floor  
New York, NY 10006-1400  
(212) 858-4000  
Fax: (212) 858-4189  
[View Map](#)

**Mike Rufino, Acting Regional Director**  
**Jeff Pasquerella, District Director**

New York (the counties of Nassau and Suffolk, and the five boroughs of New York City)

**Risk Oversight & Operational Regulation**

20 Broad Street  
New York, NY 10005

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**District 10 - Long Island**

Two Jericho Plaza  
2nd Floor, Wing A  
Jericho, NY 11753-1658  
(516) 949-4200  
Fax: (516) 949-4201  
[View Map](#)

**Thomas J. Drogan, Deputy District Director**

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**District 11 - Boston**

99 High Street  
Suite 900  
Boston, MA 02110  
(617) 532-3400  
Fax: (617) 451-3524  
[View Map](#)

Elizabeth F. Page, Director

Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island and Vermont

Public Form

FINRA Investor Complaint Form

Last Updated: 5/9/2011

My complaint involves a problem with...

*Handwritten notes:*  
I am filing this  
with FINRA  
because I  
cannot  
resolve  
my  
complaint  
with  
the  
broker  
or  
the  
firm.

Problems addressed by FINRA:

- Buy or sell order
- Brokerage firm or broker
- Insider trading
- Manipulation of security price or volume
- Account transfer
- 401(k), pension or retirement plan
- Investment adviser/financial planner
- Other - Complaints other than those noted in the following items

*Handwritten note:* See up next page

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