

HOW TO FILE A COMPLAINT WITH THE SECURITIES DIVISION

You may file a complaint with the North Carolina Securities Division by mail, by email, by fax, or by appearing in person at our offices in Raleigh, North Carolina.

If you use the Division's [complaint form](#), you may mail or fax the completed form to us at the address or fax number shown on the first page of the form. We have also prepared a [form-fillable version](#) that you can complete on your computer and submit via email by clicking the “Submit by Email” button on the form. You will not be able to save a completed version of the form electronically unless you have special software, but you can print off a hard copy for your records (by clicking the “Print” button on the form) before submitting it electronically. You are not required to use our form to file a complaint. However, using the form can save you time in organizing the information that we usually find relevant to our investigation of a securities complaint.

In almost all cases, the Securities Division will ask you for all documents and sales materials related to the securities transaction that is the subject of the complaint. We do not want the originals of these documents and sales materials; we prefer to receive copies instead. You should keep the original documents for your own records; any original documents sent to us cannot be returned. If you send us copies of checks, be sure to copy both sides of the checks. Please make sure that the copies of documents you send us are legible.

Our toll-free telephone line is 1-800-688-4507. Our fax line is (919) 807-2183, and our e-mail address is secdiv@sosnc.com.