

PROCEDURE FOR FILING A COMPLAINT

The Securities Division (Division) is responsible for investigating and enforcing possible violations of the New Mexico Uniform Securities Act (the Act), and other types of financial fraud. Among other conduct, the Act protects investors from being defrauded in the offer and sale of investments like stock, promissory notes and joint ventures, and from abusive schemes or investment advice. Enforcement actions may be administrative, civil or criminal in nature. Whether to take any enforcement action is a decision of the Division Director.

DIRECTIONS

1. To the extent you can, please respond to each questions. If you do not know the answer, please write N/A or “I don’t know.”
2. Please type or write legibly.
3. If available, please enclose copies of documents such as contracts, emails, prospectuses, agreements, cancelled checks (front and back), advertisements, letters or other documents that may be related to your complaint. You may provide the materials in hard copy or electronic format (flash-drive, DVD, etc).
4. Send this form and your documents to:

New Mexico Securities Division
Complaints/Compliance
P. O. Box 25101
Santa Fe, NM 87505

REVIEW PROCESS

Once your information is received, our staff will review it to determine whether a violation of law might have occurred, and whether our Division is the appropriate agency to investigate the matter. A member of our staff will write you a letter within two weeks of the date we receive your information. If this Division opens an investigation after its review of your materials, a Special Agent will be assigned to the matter, who will communicate directly with you. Your cooperation will be critical throughout the investigation.

OTHER STEPS YOU SHOULD CONSIDER

The Division cannot represent you individually. We strongly encourage you to contact a private lawyer to discuss your legal rights and remedies to recover your loss. If your complaint involves a brokerage firm that is registered with the Securities and Exchange Commission (SEC) and/or is a member of the Financial Industry Regulatory Authority (FINRA) you may wish to contact those agencies directly. Your agreement with your investment professionals may have arbitration provisions contained in your service agreement that you may need to pursue. If you reside in a state other than New Mexico you may also wish to contact your own state’s securities agency.

COMPLAINT FORM

Your Information

Name: _____

Address: _____

City: _____ State: _____ Zip: _____

Date of birth: _____

Home/Cell Phone: _____ Business Phone: _____

Email Address: _____

Fax: _____ Preferred means of being contacted? _____

Information of FIRM(s) and/or PERSON(s) of whom you are complaining (use additional page if necessary):

Name: _____

Address: _____

City: _____ State: _____ Zip: _____

Phone: _____

Date(s) of investment transaction(s): _____

Information concerning other investors:

If you can, please provide the names and contact information of other investors.

Please Describe Your Complaint and Why You Made This Investment?

If you can, please include names, dollar amounts, how money was exchanged, any related businesses or industry professionals, conversations, dates, locations, or any other information. Please provide any documents you may have, if applicable.

