

TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION



TTSEC COMPLAINT FORM

**To: Director, Market Regulation and Surveillance
Trinidad and Tobago Securities and Exchange Commission
57-59 Dundonald Street
Port of Spain**

YOUR PERSONAL INFORMATION

Title:

First Name:

Last Name:

Address: Street

Town/ City:

Zip code:

Country:

Telephone:

E-mail address:



COMPLAINT AGAINST

Firm/ Individual Name:

- Type of Firm:
- Broker dealer
 - Investment Adviser
 - Reporting Issuer
 - Securities Company
 - Other

Address: Street

Town/ City:

Zip code:

Country:

Telephone:

E-mail address:

TYPE OF COMPLAINT

- Possible manipulation of security price or volume
- Problems with my broker -dealer
- Problems with buy or sell orders
- Sale/ marketing of unregistered securities
- Problems with my Investment Adviser
- Problems with my Mutual Fund
- False or misleading statements
- Insider Trading
- Other



YOUR COMPLAINT OR TIP

* Please describe your complaint in as much detail as possible, including but not limited to the full name(s) on the account, the exact type of account, the dates of specific transactions or conversations, and the names of all the people at the firm you have contacted about this complaint.

WHAT DOCUMENT COPIES (DO NOT MAIL ORIGINALS) CAN YOU PROVIDE, IF REQUESTED?

- Correspondence to and from the company or individual
- Account Statements
- Advertising, promotional or sales materials
- Notes/E-mails on conversations with the company or individual
- Forms you signed
- Other



WHAT ACTION YOU HAVE TAKEN

Have you complained to the firm? Yes No

Have you contacted any other regulators? Yes No

If yes, whom?

Central Bank of Trinidad and Tobago (CBTT)

Trinidad and Tobago Stock Exchange Limited (TTSE)

Other

Date: _____

Name: _____

Signature: _____

Important notes:

- 1. If the Commission considers that your matter falls within the jurisdiction of another government organization, regulator or agency, in the Republic of Trinidad & Tobago or elsewhere, we may send your information to that other government organization, regulator or agency.*
- 2. If you are concerned about transmitting confidential or sensitive information to the Commission over the internet, please print and mail this form to us.*
- 3. The information you have provided will be treated in confidence and will not be disclosed except as required by law or as may be necessary to investigate your complaint.*

Trinidad and Tobago Securities and Exchange Commission

57-59 DUNDONALD STREET, PORT OF SPAIN, TRINIDAD, W.I
Tel: (868) 624-2991 FAX: (868) 624-2995 Email: ttsec@ttsec.org.tt Website: www.ttsec.org.tt

