



Division of Banking, Insurance
and Financial Regulation
5049 Kongen Gade
St. Thomas, Virgin Islands
00802 www.lg.gov.vi
340-774-2991

Office of the Lieutenant Governor Division of Banking, Insurance and Financial Regulation

SECURITIES COMPLAINT PROCEDURES

How to submit a complaint:

Complaints regarding a registered dealer agent, investment adviser, or investment adviser representative must be formally submitted in writing to the Division of Banking, Insurance and Financial Regulation. Conversely, complaints concerning fraud or violations of securities laws by an entity or individual not registered with the Division of Banking, Insurance and Financial Regulation may be submitted either in writing or via telephone.

Should you opt not to file a formal complaint but wish to furnish information pertaining to potential violations of securities laws, you are encouraged to contact the Division of Banking, Insurance and Financial Regulation.

To formally submit a written complaint, kindly submit the attached complaint form and include copies of all relevant documents associated with your complaint. The complaint forms and documents may be submitted by mail to:

**Division of Banking, Insurance and Financial Regulation
Attention: Securities Division
5049 Kongens Gade
St. Thomas, Virgin Islands 00802**

What we do with your complaint:

Complaints submitted to the Division of Banking, Insurance and Financial Regulation undergo thorough review to assess the potential need for investigation and subsequent enforcement action. **Please do not consider a complaint to the Division of Banking, Insurance and Financial Regulation as a substitute for pursuing private legal remedies.** For matters involving monetary relief, it is advisable to seek guidance from private counsel. Enforcement actions by the Division of Banking, Insurance and Financial Regulation may encompass administrative fines; proceedings for registration suspension or revocation, civil lawsuits for injunction or revoke a registration; or a referral of the matter to criminal prosecutors.

Information furnished to the Division of Banking, Insurance and Financial Regulation in connection with a complaint is deemed confidential and remains undisclosed by the division, unless ordered by a court or explicitly specified in 9 V.I.C. § 667 Public Records, Confidentiality. Consequently, division personnel may be precluded from discussing measures taken in response to your complaint unless such actions constitute part of public records. It is noteworthy that the division may transmit a copy of the complaint or selected portions thereof to a registered firm or individual implicated in the complaint.

Regarding complaints against registered firms or individuals, the Division of Banking, Insurance and Financial Regulation commits to furnishing a status update to both the complainant and the registered firm or individual implicated. Notification withholding may occur if such disclosure poses a risk to the Division's capacity to collect pertinent evidence for the complaint.

Summarize the nature of your complaint.

You may use the space below to summarize your complaint or include any additional information that you believe is relevant to your complaint. Attach additional sheets if necessary.

Please provide comprehensive details regarding the investment.

How did you learn about the investment:

Please provide payment method employed to execute the transaction:

Did you receive any document regarding the investment prior to your investment? **If so, provide copies.**

Specify any discussion, if applicable, that transpired between you and the subject of the complaint regarding your financial status, investment objectives, and/or risk tolerance.

Have you communicated with any other regulatory or governmental entities? *(Select all that apply.)*

_____ Securities and Exchange Commission (SEC)

_____ Industry Regulatory Authority (FINRA)

_____ Other state securities regulators

Upon affixing my signature to this complaint form, I hereby acknowledge that if the complaint pertains to a registered form or individual, the Division of Banking, Insurance and Financial Regulation retains the right to forward this complaint form or relevant portions thereof to the subject complaint.

Signature

Date



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