



Regulatory and Market Oversight Division Complaint Form

Please provide the following:

Personal Information

1. Name (If you are acting as an Agent please state name and relationship with complainant): _____
2. Mailing Address _____
3. Email Address _____
4. Telephone Number _____ Mobile: _____

Nature of Complaint

5. If the complaint is about a stockbroker please state _____
6. State the stockbroker's office and address that you do business with

7. State the name of your agent _____
8. If the complaint is about a listed company please state their name _____
9. What is your JCSD Account Number? _____
10. Describe the nature of the problem or complaint _____
11. Provide the following:
 - a. Name of Security _____
 - b. Transaction Date _____
 - c. Transaction Amount _____

Additional Information

12. Please provide the following information to justify your complaint:
 - a. Account Statement and History
 - b. Press Release and publications
 - c. Your account agreement
 - d. Bank statements and cheques
 - e. Researched Information and Analysis
 - f. Trade Confirmation, Trade Tickets and Trade Notices
 - g. Other _____

13. Kindly state the following:

- a. Have you logged a complaint with the firm?
 Yes No

If yes, what is the status? _____

- b. Have you logged a complaint with the Jamaica Stock Exchange or any regulatory body?
 Yes No

If yes, please state date of submission _____

- c. Have you taken legal action on the matter?
 Yes No

If yes, please provide hearing dates and or public case material.

Where necessary kindly provide requested information on additional sheets.

Having completed the form you may address it to:

The Chief Regulatory Officer
Regulatory and Market Oversight Division
Jamaica Stock Exchange
40 Harbour Street
Kingston

The information can also be faxed to the Chief Regulatory Officer's Office at (876)976-3275.

Emails can be sent to RMOD@jamstockex.com