



## 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 stockbrokers 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](mailto:RMOD@jamstockex.com)