

Title: An extensive QUICK LINK RESOURCE to file a complaint for all illegal, unethical, unfair, deceptive, abusive, and anticompetitive business practices uncovered in our markets and against GME. A reference for both domestic and international investors.

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# A resource of links to file complaints for the misconduct and fraud uncovered within our markets:

<https://preview.redd.it/j840j80hepg81.png?width=200&format;=png&auto;=webp&s;=5b4c12473fdc8f829de779996edc300eb8815f12>

# Securities Exchange Commission (SEC):

The mission of the SEC is to protect investors; maintain fair, orderly, and efficient markets; and facilitate capital formation. The SEC strives to promote a market environment that is worthy of the public's trust. The SEC encourages reporting suspected securities fraud or wrongdoings.

Common violations that may lead to SEC investigation include:

- \* Manipulating the market prices of securities
- \* Misrepresentation or omission of important information about securities
- \* Violating broker-dealers' responsibility to treat customers fairly
- \* Insider trading

[<https://www.sec.gov/tcr>](<https://www.sec.gov/tcr>)

>NOTICE: We strongly encourage the public (whistleblowers and non-whistleblowers) to submit any tips, complaints, and referrals (TCRs) using the SEC's online TCR system and complaint form. If you submit your TCR using the online TCR system, you will receive a notice confirming that your submission has been received successfully and providing the submission number for your records.

[<https://www.sec.gov/oiea/Complaint.html>](<https://www.sec.gov/oiea/Complaint.html>)

[<https://www.sec.gov/whistleblower/submit-a-tip>](<https://www.sec.gov/whistleblower/submit-a-tip>)

Proposed Rule Changes plus link for comments:

[<https://www.sec.gov/rules/proposed.shtml>](<https://www.sec.gov/rules/proposed.shtml>)

SEC social media accounts for Twitter, Linked-in, Facebook and YouTube:

[<https://www.sec.gov/opa/socialmedia>](<https://www.sec.gov/opa/socialmedia>)

# Financial Industry Regulatory Authority (FINRA):

FINRA is dedicated to protecting investors and safeguarding market integrity in a manner that facilitates vibrant capital markets. FINRA investigates complaints against brokerage firms and their employees. FINRA is empowered to take disciplinary actions, including fines, suspensions and other sanctions. Through its Complaint Program, FINRA investigates complaints against brokerage firms and their employees. FINRA is empowered to take disciplinary actions against brokers and their firms. Sanctions may include fines, suspensions, a barring from the securities industry or other appropriate sanctions.

Before you file a complaint with FINRA, contact your firm. Immediately question your broker about any transaction that you do not understand or did not authorize with your broker. If you are not satisfied with your broker's response, contact the firm's branch manager or compliance department. If you lost money or

there was an unauthorized trade made in your account, you should complain in writing. Retain copies of your letter and of all other related correspondence with the brokerage firm.

[<https://www.finra.org/investors/need-help/file-a-complaint>](<https://www.finra.org/investors/need-help/file-a-complaint>)

[<https://www.finra.org/contact-finra/file-tip>](<https://www.finra.org/contact-finra/file-tip>)

Official Complaint brochure:

[<https://www.finra.org/sites/default/files/InvestorDocument/p011944.pdf>](<https://www.finra.org/sites/default/files/InvestorDocument/p011944.pdf>)

Proposed rule changes and link for comments:

[<https://www.finra.org/rules-guidance/rule-filings>](<https://www.finra.org/rules-guidance/rule-filings>)

1. **\*\*Submit comments online\*\***To submit a comment online using FINRA's comment form, access any Regulatory Notice out for comment, and click on the orange button that reads, "Submit a Comment."

2. **\*\*Email written comments\*\***Send your comments in text, PDF or Microsoft Word to [pubcom@finra.org](mailto:pubcom@finra.org)](<mailto:pubcom@finra.org>).

Social media accounts for Twitter, LinkedIn, Facebook and email:

[<https://www.finra.org/rules-guidance/key-topics/social-media>](<https://www.finra.org/rules-guidance/key-topics/social-media>)

# Commodity Futures Trading Commission (CFTC):

The Commodity Futures Trading Commission is an independent agency of the US government created in 1974, that regulates the U.S. derivatives markets, which includes futures, swaps, and certain kinds of options. The mission of the Commodity Futures Trading Commission is to promote the integrity, resilience, and vibrancy of the U.S. derivatives markets through sound regulation.

The CFTC Whistleblower program provides monetary incentives to individuals who report possible violations of the Commodity Exchange Act that lead to a successful enforcement action.

[<https://www.cftc.gov/complaint>](<https://www.cftc.gov/complaint>)

[<https://www.whistleblower.gov/overview/submitatip>](<https://www.whistleblower.gov/overview/submitatip>)

Federal Registrar for rule changes and comments: [<https://www.cftc.gov/LawRegulation/FederalRegister/index.htm>](<https://www.cftc.gov/LawRegulation/FederalRegister/index.htm>)

# NFA:

NFA is the industrywide, self-regulatory organization for the U.S. derivatives industry. Designated by the CFTC as a registered futures association, NFA strives every day to safeguard the integrity of the derivatives markets, protect investors and ensure Members meet their regulatory responsibilities. Investor confidence is crucial to the success of the derivatives markets, and the best way to ensure investor confidence is to demand the highest levels of integrity of all market participants and intermediaries.

Complaint option drop down menu: Futures & Options on Futures; Swaps ; Security Futures, more

Provide a detailed summary of complaint or suspicious business practices in section box provided:

[<https://www.nfa.futures.org/complaintnet/complaint.aspx>](<https://www.nfa.futures.org/complaintnet/complaint.aspx>)

# Federal Trade Commission:

The FTC is the only federal agency with both consumer protection and competition jurisdiction in broad sectors of the economy. The FTC pursues vigorous and effective law enforcement; advances consumers' interests by sharing its expertise with federal and state legislatures and U.S. and international government agencies. The FTC Mission: Protecting consumers and competition by preventing anticompetitive, deceptive, and unfair business practices through law enforcement, advocacy, and education without unduly burdening legitimate business activity.

[<https://www.ftc.gov/faq/consumer-protection/submit-consumer-complaint-ftc>](<https://www.ftc.gov/faq/consumer-protection/submit-consumer-complaint-ftc>)

[ReportFraud.ftc.gov](<https://reportfraud.ftc.gov/>)

#### # Federal Bureau of Investigation (FBI): White Collar Crime Division

White-Collar Crime is characterized by deceit, concealment, or violation of trust and are not dependent on the application or threat of physical force or violence. The motivation behind these crimes is financial—to obtain or avoid losing money, property, or services or to secure a personal or business advantage. The FBI's white-collar crime work integrates the analysis of intelligence with its investigations of criminal activities such as public corruption, money laundering, corporate fraud, securities and commodities fraud, financial institution fraud, bank fraud and embezzlement, and mass marketing fraud.

FBI special agents work closely with partner law enforcement and regulatory agencies such as the Securities and Exchange Commission, the Internal Revenue Service, the Commodity Futures Trading Commission, and the Treasury Department's Financial Crimes Enforcement Network, among others, targeting sophisticated, multi-layered fraud cases that harm the economy.

If you have submitted any whistleblower complaints to either the SEC or CFTC, you can also submit the same one - via the FBI's Financial Crimes Section.

[<https://tips.fbi.gov/>](<https://tips.fbi.gov/>)

#### # United States Department of Justice (DOJ):

[<https://www.justice.gov/doj/webform/your-message-department-justice>](<https://www.justice.gov/doj/webform/your-message-department-justice>)

General Fraud and Other Criminal Matters: \*\*Contact the FBI\*\* at (202) 324-3000, or online at [[www.fbi.gov](http://www.fbi.gov)](<https://www.fbi.gov/>) or [[tips.fbi.gov](https://tips.fbi.gov/)](<https://tips.fbi.gov/>).

#### # Consumer Financial Protection Bureau (CFPB):

The Consumer Financial Protection Bureau (CFPB) is a U.S. government agency that makes sure banks, lenders, and other financial companies treat you fairly. "We protect consumers from unfair, deceptive, or abusive practices and take action against companies that break the law."

"Complaints give us insights into problems people are experiencing in the marketplace and help us regulate consumer financial products and services under existing federal consumer financial laws, enforce those laws judiciously, ..."

[<https://www.consumerfinance.gov/complaint/>](<https://www.consumerfinance.gov/complaint/>)

[<https://complaint.consumerfinance.gov/submit-a-complaint/s/products>](<https://complaint.consumerfinance.gov/submit-a-complaint/s/products>)

#### # Better Business Bureau (BBB):

As a consumer of a business, you can file a complaint against a bad business by contacting your local

Better Business Bureau. "BBB welcomes the opportunity to assist you with your marketplace challenge. File a complaint, post a review, tell us about a misleading advertisement, or report a scam."

The BBB sends your complaint to the business and asks for a response within 14 days. Your complaint may be publicly filed on the BBB's website. If the company is a member of the BBB, it is required to respond to all better business bureau complaints so it doesn't lose its accreditation. Other companies are not required to respond, but many do so when they consider that a complaint could become available for everyone to read online.

[<https://www.bbb.org/>](<https://www.bbb.org/>)

#### # North American Securities Administrators Association (NASAA):

The North American Securities Administrators Association (NASAA) represents state and provincial securities regulators in the United States, Canada and Mexico.

NASAA members are the closest regulators to local communities, small businesses and the investing public throughout North America. Members of NASAA have a multifaceted mission of protecting investors from fraud and abuse, conducting investor education, providing guidance and assistance via the established regulatory framework, and ultimately helping power the North American economy by ensuring the integrity of the financial markets.

[<https://www.nasaa.org/contact-your-regulator/>](<https://www.nasaa.org/contact-your-regulator/>)

#### # United States Senate:

All questions and comments regarding public policy issues, legislation, or requests for personal assistance should be directed to the senators from your state. Please be aware that as a matter of professional courtesy, many senators will acknowledge, but not respond to, a message from another senator's constituent.

[<https://www.senate.gov/senators/senators-contact.htm>](<https://www.senate.gov/senators/senators-contact.htm>)

[<https://financialservices.house.gov/forms/form/?ID=3107>](<https://financialservices.house.gov/forms/form/?ID=3107>)

#### # United States House of Representatives:

Find Your Representative. Not sure of your congressional district or who your member is? This service will assist you by matching your ZIP code to your congressional district, with links to your member's website and contact page.

[<https://www.house.gov/representatives/find-your-representative>](<https://www.house.gov/representatives/find-your-representative>)

#### # Financial Crimes Enforcement Network (FinCen):

FinCEN is a bureau of the U.S. Department of the Treasury. FinCEN's mission is to safeguard the financial system from illicit use and combat money laundering and promote national security through the strategic use of financial authorities and the collection, analysis, and dissemination of financial intelligence. \[Primarily focus to combat money laundering and terrorism financing\].

[<https://www.fincen.gov/contact>](<https://www.fincen.gov/contact>)

#### # Freedom of Information Act (FOIA):

The Freedom of Information Act (FOIA), Title 5 of the United States Code, section 552, provides that any person has the right to request access to Federal agency records or information. All agencies of the

United States government are required to disclose records upon receiving a written request for them, except for those records that are protected from disclosure by the nine exemptions and three exclusions of the FOIA. This right of access is enforceable in court.

[<https://www.cftc.gov/FOI/foiarequests.html>](<https://www.cftc.gov/FOI/foiarequests.html>)

#### # Canadian Securities Administrators (CSA):

The Canadian Securities Administrators (CSA) is the umbrella organization of Canada's provincial and territorial securities regulators whose objective is to improve, coordinate and harmonize regulation of the Canadian capital markets.

While the CSA co-ordinates initiatives on a cross-Canada basis, provincial or territorial regulators handle all complaints regarding securities violations in their respective jurisdictions. This provides a more direct and efficient service since each regulator is closer to its local investors and market participants. Enforcement of securities regulations is also done on an individual basis by each province or territory.

For more information or if you wish to make a complaint contact your local securities administrators:

[<https://www.securities-administrators.ca/about/contact-us/>](<https://www.securities-administrators.ca/about/contact-us/>)

#### # Investment Industry Regulatory Organization of Canada (IIROC):

IIROC regulates all investment dealers in Canada. They set and enforce rules regarding the proficiency, business and financial conduct of approximately 174 Canadian investment firms and the more than 31,000 registered individuals. IIROC monitors all equity and debt market activity on all Canadian marketplaces, including stock exchanges and alternative trading systems, to detect manipulative trading practices and other breaches of the marketplace trading rules. While IIROC regulates the trading activity of public companies that trade on Canada's marketplaces, the public companies are regulated by the provincial securities commission that has been designated as their principal regulator.

[<https://www.iiroc.ca/investors/how-make-complaint/>](<https://www.iiroc.ca/investors/how-make-complaint/>)

#### # European Securities and Markets Authority (ESMA):

The European Securities and Markets Authority (ESMA) is an independent European Union (EU) Authority that contributes to safeguarding the stability of the EU's financial system by enhancing the protection of investors and promoting stable and orderly financial markets.

[<https://www.esma.europa.eu/investor-corner/file-complaint/>](<https://www.esma.europa.eu/investor-corner/file-complaint/>)

#### # European Union Financial Conduct Authority (FCA):

The FCA is the conduct regulator for around 51,000 financial services firms and financial markets in the UK. Financial markets need to be honest, fair and effective so consumers get a fair deal. The FCA aims to address harm and add public value through the use of statutory powers to investigate and, where appropriate, take civil, criminal and/or disciplinary action where there has been a contravention. Preventing, detecting and punishing market abuse is a high priority for them.

The FCA works closely with the financial services industry, law enforcement agencies and other regulators to combat market abuse and other related financial crime. They also aim to educate market participants.

[EU Market Abuse Regulation]([https://ec.europa.eu/info/law/market-abuse-regulation-eu-no-596-2014\\_en](https://ec.europa.eu/info/law/market-abuse-regulation-eu-no-596-2014_en))

[<https://www.fca.org.uk/markets/market-abuse/how-report-suspected-market-abuse-individual>](<https://www.fca.org.uk/markets/market-abuse/how-report-suspected-market-abuse-individual>)

## # Australian Securities and Investments Commission (ASIC):

ASIC is Australia's integrated corporate, markets, financial services and consumer credit regulator. They regulate Australian corporations, financial markets, and financial services organizations and professionals. ASIC's role under the ASIC Act is to maintain, facilitate and improve the performance of the financial system and entities in it.

[<https://asic.gov.au/about-asic/asic-investigations-and-enforcement/asic-s-approach-to-enforcement/>](<https://asic.gov.au/about-asic/asic-investigations-and-enforcement/asic-s-approach-to-enforcement/>)

[<https://asic.gov.au/about-asic/contact-us/how-to-complain/report-misconduct-to-asic/>](<https://asic.gov.au/about-asic/contact-us/how-to-complain/report-misconduct-to-asic/>)

## ## Australian Financial Complaints Authority (AFCA):

AFCA considers complaints that [previously  
(<https://www.afca.org.au/about-afca/rules-and-guidelines/previous-edr-schemes>)] would have been handled by the Financial Ombudsman Service, the Credit and Investments Ombudsman and the Superannuation Complaints Tribunal. They are the dispute resolution scheme for financial services.

[<https://www.afca.org.au/make-a-complaint>](<https://www.afca.org.au/make-a-complaint>)

## # Escalation to the Office of Ombudsman:

Ombudsman institutions protect people from maladministration and violation of their rights in more than 100 countries worldwide. The Ombudsman promotes fairness, accountability and transparency in the public sector by investigating public complaints and systemic issues within their jurisdiction. The [\*Ombudsman Act\*](<https://www.ombudsman.on.ca/what-we-do/the-ombudsman-act>) sets out the Ombudsman's powers of investigation, which include the authority to issue summonses, request documentation from public sector bodies, require evidence under oath, and inspect premises. It is an offence under the [\*Ombudsman Act\*](<https://www.ombudsman.on.ca/what-we-do/the-ombudsman-act>) to mislead the Ombudsman or to obstruct an Ombudsman investigation. Government (regulated) organizations must co-operate with the Ombudsman's investigations.

If your complaint with your broker or FINRA is not resolved to your full satisfaction, you can easily escalate it to the Ombudsman. You can hold your broker accountable, and ensure they action your requests in a timely manner. Brokers \*must\* provide you with the information on how to escalate further, but generally try to avoid this happening at all costs as they do not want unresolved complaints escalated. Take a look at the annual escalations that actually make it to the Ombudsman.

[[https://www.finra.org/sites/default/files/Office\\_of\\_Ombudsman\\_Report.pdf](https://www.finra.org/sites/default/files/Office_of_Ombudsman_Report.pdf)]([https://www.finra.org/sites/default/files/Office\\_of\\_Ombudsman\\_Report.pdf](https://www.finra.org/sites/default/files/Office_of_Ombudsman_Report.pdf))

## # Lodge an official complaint with your broker's compliance department:

Adjusted Cost Base (ACB) Issues on transfer? Margin calls without having a margin account?  
Questionable activity around your GME holdings? Refusal or delay in DRS transfer requests?

\*\*\*Brokers typically make every effort to resolve your concerns when you lodge an official complaint as they become a matter of public record.\*\*\* \*For official complaints, they must action and respond quickly, and if you are not satisfied with full resolution of your complaint\* you can escalate to the FINRA, the SEC and the Ombudsman.\*

## # DRS Transfer issues and an escalation resource:

\*\*\*Legally, your broker must still EXPEDITE your transfer request to Computershare, even though Computershare is not a broker and does not fall under the ACATS 3-day rules.\*\*\* You should not have to transfer between brokers only to transfer to Computershare. You can hold your broker accountable

through FINRA Rule 11870 (2) by lodging an \*official complaint,\* and escalating to the Ombudsman if they do not resolve your complaint in a timely manner.

From the FINRA website: FINRA regulations for broker to broker transfers and non ACATS transfer requests:

[<https://www.finra.org/rules-guidance/rulebooks/finra-rules/11870>](<https://www.finra.org/rules-guidance/rulebooks/finra-rules/11870>)

>(2) If a customer desires to transfer a portion of his or her account \*outside\* of the Automated Customer Account Transfer Service (ACATS), authorized alternate instructions should be transmitted to the carrying member indicating such intent and specifying the designated assets to be transferred. Although such transfers are not subject to the provisions of this Rule, \*\*\*members must expedite all authorized account asset transfers\*\*\*\\*\\*, whether through ACATS or via other means permissible\\*\\* \*under this Rule\*, and coordinate their activities with respect thereto.

<https://preview.redd.it/sohphtm5gpg81.png?width=450&format;=png&auto;=webp&s;=199943cab35d539b84baf047d7d5c33b2b3fa480>

\*\*\*When filing a complaint with one of the agency links above, the most common pre-identified options to report on are complaints we see posted about here on this sub on a daily basis. So many of the posts could be an official complaint on record:\*\*\*

- \* Fraudulent investment scheme, such as a Ponzi scheme or the promise of high-yield returns
- \* Unregistered securities offering
- \* General trading practices or pricing issues
- \* After hours trading
- \* Algorithmic trading
- \* Bankrupt companies, trading in
- \* Front running
- \* Market Maker activities
- \* Pricing information: inaccurate quotes
- \* Trade execution
- \* Manipulation of a security
- \* Abusive naked short selling
- \* Orchestrating trading by multiple parties
- \* Pump & Dump scheme
- \* Suspicious end of day trading
- \* Wash sales
- \* Insider trading
- \* Material misstatement or omission in a company's public filings or financial statements, or a failure to file
- \* Municipal securities transactions or public pension plans
- \* Specific market event or condition
- \* Bribery of, or improper payments to, foreign officials (Foreign Corrupt Practices Act Violations)
- \* Initial coin offerings and cryptocurrencies

\*\*\*Share the Story:\*\*\* \*When you submit a complaint, where appropriate it may be beneficial to contact the agency you reported to through another social media platform like their social media pages, Facebook or Twitter to let them know to check their inbox about the complaint. That way your complaint is official and internal to the agency - and at the same time your complaint is made public. You can also include screenshots or time stamps of your complaint on these other social media platforms for all to see.\*

\*If an\* official \*complaint is not made, the 'powers that be' have\* \*\*\*plausible deniability\*\*\* \*and can say

they didn't know about the issue, or it obviously wasn't as important to investors against some other topic they prefer to focus on.\*

\*\*\*Credits: A special thanks to\*\*\* **[\*\*jkhanlar\*\*]**(<https://www.reddit.com/user/jkhanlar/>) \*\*\*and\*\*\* **[\*\*yesbabyyy\*\*]**(<https://www.reddit.com/user/yesbabyyy/>) \*\*\*for their contributions to this post.\*\*\*

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