# Fi360 Complaint Form

Fi360, Inc.

Professional Development

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Pittsburgh, PA 15219

[Fi360\_Professional.Development@broadridge.com](mailto:Fi360_Professional.Development@broadridge.com)

To file a grievance against Fi360 or an AIF®, AIFA® or PPC® Designee, please complete this form and submit it to Fi360’s Professional Development Team. Please include any relevant documentation that you feel demonstrates the alleged violation.

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| **Please Provide Your Full Name**  (person filing the complaint) |  |
| **Contact Information**  (person filing the complaint) |  |

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| **Who is this complaint filed against?** (Designee full name & company name) |  |
| **Designee Location**  (Address, city, state, zip) |  |
| **Designee Contact Information**  (Phone, email) |  |
| **Did you pay a fee to the designee?**  (Yes / No) |  |
| **Did you sign a written contractual agreement?**  (Yes / No)  If yes, provide a copy of the contract, letter of engagement, proposal or other document outlining the arrangement between you and the designee. If not, what is your business relationship with the designee? |  |
| **Detailed Complaint**  Please describe your complaint and the reasons you believe a violation exists. If possible, please refer to the area of the [Code of Ethics](https://fi360.zendesk.com/hc/en-us/articles/203684238-Code-of-Ethics) or [Conduct Standards](https://fi360.zendesk.com/hc/en-us/articles/203684218-Conduct-Standards) you feel has been violated.    You may use additional pages if needed. |  |
| **Have you notified any other regulatory authorities (e.g., FINRA) in connection with your grievance?**  (Yes / No)  If yes, which one(s)? |  |
| **Have you initiated legal action against the designee?**  (Yes / No) |  |

Return this form to [Fi360\_Professional.Development@broadridge.com](mailto:Fi360_Professional.Development@broadridge.com). Your submission will be reviewed within ten (10) business days. Upon review, you will be contacted using the contact information provided in the form.