# Fi360 Complaint Form

Fi360 takes all complaints seriously and shall investigate any legitimate complaint against a candidate, designee, Fi360, Inc., the designation program, a specific policy or an Fi360 employee. To file an official complaint, complete this form and submit it to Fi360. Please include any relevant documentation that you feel demonstrates the alleged violation.

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| **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? |  |
| **Have you initiated legal action against the designee?**(Yes / No)If yes, provide more information. |  |

Return this form to Fi360support@broadridge.com. Complaints are generally acknowledged within 3 business days.