

# How to Assist Us in Handling Your Claim:

## Do's & Don'ts

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### Authorization:

- DO:** Fill out the missing information on the form, i.e. Account Names, Account Numbers, Date of Birth, and Social Security Number.
- DON'T:** Be afraid to handwrite in any missing information. If your spouses, children's or any joint name is not listed in the address line or signature line, please write it in.  
***IT WILL ONLY TAKE LONGER TO GATHER YOUR INFORMATION FROM THE BROKERAGE FIRM WITHOUT IT!***

### Narrative:

- DO:** Describe in detail where the broker engaged in wrongdoing.
- DO:** Describe your initial and subsequent meetings with the broker.
- DO:** Describe how you expressed your concerns to the broker.
- DO:** Write as much detail as you feel necessary to tell you narrative.
- DO:** Write a narrative and highlight these areas of broken misconduct-“SCUM”:
- S:** Suitability issues
  - C:** Churning or excessive trading (broker controls account)
  - U:** Unauthorized activity (refused to sell or bought/sold without prior approval by customer)
  - M:** Misrepresentation / Margin problem / Mutual fund switching  
Misrepresenting prospectus of company or possibility/probability of gain or loss.
- DON'T:** Feel that you have rambled on too much and stopped writing your narrative without telling the whole story. ***THE MORE INFORMATION, THE BETTER!***

### Documents:

- DO:** Send or give our office all account statements, confirmations, account forms, correspondence from the Brokerage Firm or Broker, prospectuses or any other Literature regarding any stocks, bonds, or mutual funds you purchased thru the brokerage firm.
- DO:** Complete Detailed Questionnaire and return it in the enclosed envelope.

## Retainer Agreement:

**DO:** Call if you have any questions about the retainer agreement

**DON'T:** Hesitate to call if you have any questions.

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## CASE PROCESSING:

### Statement of Claim (SOC):

**DO:** Review the Draft of the Statement of Claim and contact us with any changes.

**DON'T:** Think that changes can't be made even if the claim has been filed; we can file an Amendment to the Statement of Claim.

### Answer:

**DO:** Review the Answer and circle and note my inaccuracies, and return a copy to the office.

**DON'T:** Get upset at the brokerage firm's way to twist the truth.

### Discovery - Document Request

**DO:** Provide the requested Documents.

**DO:** Complete the "Diligent Search Affirmation", send it to our office after making attempt to locate the requested documents.

**DO:** Discuss your concerns with our staff members. They are trained to treat your concerns confidently and professionally.

**DON'T:** Call repeatedly as this distracts the staff from preparation for trials and other important work on you claim.