Under the FINRA procedures, you may be required to produce the following:

Discovery Check List

List 2 – All Customer Cases

1		Tax Returns [3 yrs. Prior to claim through present]
2		Financial Statements
3		Monthly Statements, Confirmations from other firms
4		Other Brokerage Statements, Confirmations
5		Account Agreements, Forms, or Documents
6		Account Analysis (P & L)
7		Notes, Diaries or calendars concerning the account
8		Recordings and Notes of phone calls
9		All Correspondence with broker
10		Written Statements of fact by third parties
11		Prior Complaints about investments
12		Complaints and Answers in other filed Claims
13		Actions taken to reduce losses

Please begin to locate and gather the items listed above as we move forward with your claim.