

COMPLAINT/ETHICAL CLAIM FORM



| | |
|----------|------------------------|
| NIRI ID: | Full Name: |
| Address: | City, State, Zip Code: |
| Phone: | Email: |

STATEMENT OF THE COMPLAINT

This statement should include, but is not limited to, the nature of the complaint, the facts, supporting items, and requested outcome. (use additional sheets if needed).

COMPLAINT CONTENT

Nature of the violation

.....

.....

Specify the factual basis for each alleged violation

.....

.....

Outline your supporting documents and indicate which violation they support

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.....

Requested outcome

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.....

Please print, attach supporting documents, and email this form to certification@niri.org or mail it to:

NIRI – Investor Relations Charter
225 Reinekers Lane, Suite 560
Alexandria, VA 22314

Investor Relations Charter

Please provide evidence that an attempt has been made to resolve the subject of the complaint prior to and independent of the Certification Council involvement unless the alleged acts involve falsification or misrepresentation of credentials or other acts not resolved without the Certification Council involvement.

I (we) hereby grant permission to the Certification Council and Complaint Review Panel to share with the respondent both my identity and all information I have provided and may subsequently provide in support of this complaint.

I (we) have not initiated civil, criminal or administrative legal proceedings against the respondent and will immediately report to the Certification Council any such action of which I become aware of during the course of evaluation and decision-making on this complaint.

.....
Signature

.....
Date

| | |
|----------------------------|----------|
| FOR OFFICE USE ONLY | Claim #: |
| Received by: | Date: |
| Reviewed by: | Date: |
| Action/Order: | Date: |
| Action taken: | Date: |
| Attachments: | |
| Comments; | |

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