



M.S. HOWELLS & CO.

Whistleblower Program Complaint Form

Instructions: As an Associated Person (AP) of M.S. Howells & Co. (the Firm) who is reporting a questionable matter to the Firm, you may do so on an anonymous or known basis, at your sole discretion.

Anti-Retaliation: Please be advised that federal law prohibits the Firm, as well as its officers, APs, or agents, from discharging, demoting, suspending, threatening, harassing, or otherwise discriminating against anyone who in good faith reports suspicious or illegal activities of the Firm.

Part I

___ I would like to discuss this matter with the Chief Compliance Officer.

___ I am an AP or officer of the Firm and wish to remain anonymous.

___ I hereby authorize the disclosure of my identity if the Chief Compliance Officer reasonably believes it is necessary or appropriate (see Instructions above).

Please provide your information below:

You may contact me using the preferred method below

Do not contact me

Name:		
Address:		<input type="checkbox"/> Preferred method of contact
Telephone Number:		<input type="checkbox"/> Preferred method of contact
Email:		<input type="checkbox"/> Preferred method of contact
When is the best day/time to contact you?		

Part II

1. Summary description of alleged matter:

2. Alleged matter is:

___ Ongoing

___ Completed

___ Unclear whether ongoing or completed

3. Department(s) suspected of alleged matter, if applicable:

4. Individual(s) suspected of alleged matter, if applicable:

5. Describe all relevant facts of the alleged matter:

6. Describe how you became aware of the alleged matter:

7. List individuals you have discussed this matter with and their involvement, if any:

8. Who, if anyone, may be harmed or affected by this matter:

Please deliver to:

M.S. Howells & Co.

Attn: Chief Compliance Officer, Confidential – To be opened only by the Chief Compliance Officer

23350 N. Pima Rd.

Scottsdale, AZ 85255

Phone: (480) 563-2025

Email: confidential@mshowells.com