

Affidavit of Unauthorized Activity

- 1 **Complete** the Affidavit of Unauthorized Activity as soon as possible. Delays on your part could slow the investigation. If you are unable to complete the affidavit, someone with power of attorney may complete it for you. If this affidavit is requested in a lawsuit, it may be provided to the requesting party.
- 2 **Include** a complete listing of all unauthorized transactions that occurred in the account such as:
 - Deposits
 - Withdrawals
 - Purchase or sale of securities – include the name of the security, symbol, number of shares, and the dollar amount of the transaction
 - Changes to account profile - email, phone number or bank account
- 3 **Sign** the Affidavit of Unauthorized Activity in front of a Notary Public.
- 4 **Send** the completed Affidavit of Unauthorized Activity along with any supporting documents (for example, police report) to:



Fax document to:
866-996-6417



Mail document to:
Capital One Investing, LLC
PO Box 259008
Plano, TX 75025

Other Steps to Take if Unauthorized Activity Has Occurred

Secure your computer

- Some types of malware may require the assistance of a computer professional to have them removed.
- Set your computer's operating system to receive automatic updates if possible; if not, download and install updates regularly.
- Make sure you are using the most recent version of your Internet browser; previous versions can have security weaknesses that put you at risk.
- Use an Internet browser that supports advanced security features such as phishing site detection, and support for extended security certificates, such as:
 - Microsoft Internet Explorer – versions 9 and above
 - Mozilla Firefox – most recent version
 - Google Chrome – most recent version
 - Apple Safari – versions 7 and above
- Use anti-virus and anti-spyware software and set them to auto-update as well.
- Protect any computer connected to the internet with a firewall.
- Use identity theft protection software like Trusteer's Rapport to fight online fraud. It's FREE.

Change your password for all of your financial accounts.

Need more tips on how to keep your money safe and secure?
<https://www.capitaloneinvesting.com/main/secure-protect-account.aspx>

Investment products are offered by Capital One Investing, LLC, a registered broker-dealer and Member [FINRA/SIPC](#). Investment advisory services are provided by Capital One Advisors, LLC, an SEC-registered investment advisor. Insurance products are offered through Capital One Agency, LLC.

All are subsidiaries of Capital One Financial Corporation.

Account Information

Account Numbers _____

Account Holder(s)
Name _____

Affidavit of Unauthorized Activity

Except as may be provided below, I, _____, did not authorize any person other than myself to use my name or personal information to obtain access to or perform transactions in the above-referenced account (the "Account").

I did not authorize the following transactions in my Account:

Date of Transaction	Description of Transaction (purchase, sale, transfer, etc.)	Stock Symbol	Number of Shares	Dollar Amount

Additional transaction details may be listed on a separate sheet and attached

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Additional Information

Please check Yes or No to the below questions and provide any additional information needed:

I have filed a police report: yes no

If yes: I have filed a police report with the law enforcement agency named below:

Report Number _____

Police Department Address

Street Address _____

City _____ State _____ Zip code _____

Officer Name _____

Badge Number _____

If charges are brought against the person(s) who has committed this fraud, I am willing to cooperate fully with law enforcement officials, including assisting in prosecution and authorizing the release of information.

yes no

I am aware that my computer has been infected with malware (viruses, trojans, etc).

yes no

If yes: the following is a list of malware I know my computer to be infected with:

Additional information may be listed on a separate sheet and attached.

Please check "I agree" or "I disagree" to the below:

I did not receive any money, goods, or services nor did I benefit in any other way as a result of these unauthorized transactions.

I agree with the above I disagree with the above

I did not knowingly share with any other person my Capital One Investing username, logon ID, password, or other related confidential information.

I agree with the above I disagree with the above

I have no direct knowledge of who may have entered these transactions.

I agree with the above I disagree with the above

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