

**From:** [REDACTED]  
**To:** [Annie.Nova@NbcUni.com](mailto:Annie.Nova@NbcUni.com)  
**Cc:** [Diamaris.Martino@nbcuni.com](mailto:Diamaris.Martino@nbcuni.com)  
**Subject:** Public Records Act request  
**Date:** Tuesday, November 19, 2019 3:08:15 PM  
**Attachments:** [2019-11-18 Martino PRA request.pdf](#)  
[2019-11-19 documents.pdf](#)  
[2019-11-19 CAP fnl ltr to Nova.pdf](#)

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Dear Annie Nova,

Please see attached in response to your Public Records Act request dated November 18, 2019.

Sincerely,

[REDACTED]  
Consumer Advisor

State of Vermont  
Office of the Attorney General  
Consumer Assistance Program  
109 State Street  
Montpelier, VT 05609-1001

Email: [ago.cap@vermont.gov](mailto:ago.cap@vermont.gov)  
Website: <http://www.uvm.edu/consumer>  
Phone: (800) 649-2424 (toll free from VT phone)  
Fax: (802) 304-1014

**THOMAS J. DONOVAN, JR.**  
ATTORNEY GENERAL

**JOSHUA R. DIAMOND**  
DEPUTY ATTORNEY GENERAL

**SARAH E. B. LONDON**  
CHIEF ASST. ATTORNEY  
GENERAL



**ADDRESS REPLY TO:**  
**CONSUMER ASSISTANCE PROGRAM**  
109 State Street  
Montpelier, Vt 05609  
website: ago.vermont.gov/cap  
e-mail: ago.cap@vermont.gov

**STATE OF VERMONT**  
**OFFICE OF THE ATTORNEY GENERAL**  
**PUBLIC PROTECTION DIVISION**  
TEL: 1-800-649-2424  
FAX: (802) 304-1014

November 19, 2019

*Via email to [Annie.Nova@NbcUni.com](mailto:Annie.Nova@NbcUni.com).*

Annie Nova  
CNBC  
NBCUniversal

Re: Public Records Request 2019-11310

Dear Annie Nova,

I write in response to your Public Records Act request dated November 18, 2019, a copy of which is attached for your convenience.

The documents pertaining to your request are attached (PRA-CAP001). We located one complaint in reference to your request. This matter was opened and closed in 2009, so no documents directly related to the complaint are available. The attached includes information as logged in the Consumer Assistance Program database.

No redactions were necessary for your request.

Sincerely,

A handwritten signature in black ink, appearing to read "M. [unclear]".

Consumer Assistance Program  
Office of the Attorney General  
State of Vermont

Matter Name	Matter #	Matter Type	Opened Date	Matter Summary	Status	Claimed Losses	Status Date
JAMES STEPHENSON (Fisher Investments)	CAP09-10-1505	Legacy Matter	10/27/2009	Feels that professional investment manager to lied to consumer about they were doing with his account claiming he would get cash during bear markets, which is the only reason why he agreed to having fisher manage his investment accounts. Informed company that he wanted to be prudent because he is living on his investments because he is retired. Fisher investments lost 41% of his money so he fired them although they continued to assure him that the market would come bouncing back.	Closed	\$0.00	11/13/2009