

## Lesson 70

## 1 TOPIC QUESTION

今日のトピック

## Complaint Statistics

苦情の統計



## 2 ARTICLE

記事

Directions: Read the following article aloud.

課題: 以下の記事をはっきりとした声で音読しましょう。

## FY 2011 Annual Complaint Data

During FY 2011, SHL closed 33,632 files relating to complaints, questions, and other contacts received from investors. Comparable data for prior fiscal years is not available due to a change in reporting methodology.

## TEN MOST COMMON COMPLAINTS

Rank	Complaint Type	FY 2011	FY 2010	Change	Rank in FY 2010
1	Advance fee fraud	1,144	1,217	Down 6%	1
2	Manipulation of securities/prices	803	788	Up 2%	2
3	Account administration and processing (matters relating to daily activity in an account)	621	660	Down 6%	4
4	Account administration and processing (maintenance, including account closing and redemption issues)	599	777	Down 23%	3
5	Delivery of funds/proceeds	487	494	Down 1%	5
6	Transfer of account	462	350	Up 32%	n/a
7	Retirement or 401(k) plans	426	306	Up 39%	n/a
8	Short selling	391	269	Up 45%	n/a
9	Misrepresentations or omissions: inaccurate, misleading or non-disclosure by broker-dealers, investment advisers, and associated persons	383	444	Down 14%	6
10	Theft/forgery (by persons or entities other than registered representatives or investment advisers)	371	369	Up 0.5%	n/a

## Lesson 70

## 3 VOCABULARY

語い

Directions: First repeat after your tutor and then read aloud by yourself.

課題: 先生の後が続いてくり返した後、今度はひとりで発音してみましょう。

**advocacy** 指示、弁護

**fiscal** 年度

**methodology** 方法論

**fraud** 詐欺

**omission** 省略、手抜き

## 4 Questions

質問

Directions: Read the questions aloud and answer them.

課題: 質問を声に出して読んだ後、答えてみましょう。

1. Which customer complaint increased the most compare to the previous year?
2. Which customer complaint decreased the most compare to the previous year?
3. Which of one of these complaints do you think is the worst? Why?
4. Describe a time when you filed for a complaint.