

Each state has its own laws and regulations for securities brokers and securities including stocks, mutual funds, commodities, real estate, etc. The officials and agencies listed below enforce these laws and regulations. Many of these offices can also provide information to help you make informed investment decisions.

If you have a question or complaint about an investment, call the company or bank involved. If you are not satisfied with the response you get, call your state securities agency. See the "Investing" section in Part I of this Handbook for additional advice and sources of assistance (p. 33).

### Alabama

Securities Commission  
770 Washington Ave., Suite 570  
Montgomery, AL 36130-4700  
334-242-2984  
Toll free: 1-800-222-1253 (AL)  
Fax: 334-242-0240  
E-mail: [asc@asc.alabama.gov](mailto:asc@asc.alabama.gov)  
[www.asc.state.al.us](http://www.asc.state.al.us)

### Alaska

Division of Banking and  
Securities  
Department of Commerce,  
Community and Economic  
Development  
150 3rd St., Suite 217  
PO Box 11807  
Juneau, AK 99811-0807  
907-465-2521  
Toll free: 1-888-925-2521 (AK)  
TTY: 907-465-5437  
Fax: 907-465-2549  
E-mail: [dbsc@commerce.state.ak.us](mailto:dbsc@commerce.state.ak.us)  
[www.commerce.state.ak.us](http://www.commerce.state.ak.us)

### Arizona

Securities Division  
Arizona Corporation Commission  
1300 West Washington, 3rd Floor  
Phoenix, AZ 85007  
602-542-4242  
Toll free: 1-866-837-4399 (AZ)  
Fax: 602-594-7470  
E-mail: [info@azinvestor.gov](mailto:info@azinvestor.gov)  
[www.azinvestor.gov](http://www.azinvestor.gov)

### Arkansas

Arkansas Securities Department  
201 East Markham  
Heritage West Bldg., Suite 300  
Little Rock, AR 72201  
501-324-9260  
Toll free: 1-800-981-4429  
Fax: 501-324-9268  
E-mail: [info@securities.arkansas.gov](mailto:info@securities.arkansas.gov)  
[www.securities.arkansas.gov](http://www.securities.arkansas.gov)

### California

Department of Corporations  
1515 K St., Suite 200  
Sacramento, CA 95814-4052  
916-445-7205  
Toll free: 1-866-275-2677  
TTY: 1-800-735-2966  
Fax: 916-322-8864  
[www.corp.ca.gov](http://www.corp.ca.gov)

### Colorado

Division of Securities  
Department of Regulatory Agencies  
1560 Broadway, Suite 900  
Denver, CO 80202  
303-894-2320  
TTY: 1-800-659-2656  
Fax: 303-861-2126  
E-mail: [securities@dora.state.co.us](mailto:securities@dora.state.co.us)  
[www.dora.state.co.us/securities](http://www.dora.state.co.us/securities)

### Connecticut

Department of Banking  
Government Relations and  
Consumer Affairs  
260 Constitution Plaza  
Hartford, CT 06103-1800  
860-240-8299  
Toll free: 1-800-831-7225  
Fax: 860-240-8178  
E-mail: [banking.complaints@ct.gov](mailto:banking.complaints@ct.gov)  
[www.ct.gov/dob](http://www.ct.gov/dob)

### Delaware

Division of Securities  
Department of Justice  
820 North French St., 5th Floor  
State Office Bldg.  
Wilmington, DE 19801  
302-577-8424  
TTY: 302-577-5783  
Fax: 302-856-5660  
[www.state.de.us/securities](http://www.state.de.us/securities)

### District of Columbia

Dept. of Insurance, Securities and  
Banking  
810 First St., NE, Suite 701  
Washington, DC 20002  
202-727-8000  
Fax: 202-535-1196  
E-mail: [disb@dcgov.org](mailto:disb@dcgov.org)  
[disb.dc.gov](http://disb.dc.gov)

### Florida

Division of Securities  
Office of Financial Regulation  
200 East Gaines St.  
Tallahassee, FL 32399-0370  
850-410-9805  
850-410-9893  
Toll free: 1-800-848-3792, opt. 2 (FL)  
Fax: 850-410-9748  
E-mail: [ofr@flofr.com](mailto:ofr@flofr.com)  
[www.flofr.com](http://www.flofr.com)

### Georgia

Division of Securities and  
Business Regulation  
Office of the Secretary of State  
Two Martin Luther King, Jr. Dr., SE  
Suite 802, West Tower  
Atlanta, GA 30334  
404-656-3920  
Toll free: 1-888-733-7427  
Fax: 404-657-8410  
E-mail: [securities@sos.state.ga.us](mailto:securities@sos.state.ga.us)  
[www.sos.ga.gov/securities](http://www.sos.ga.gov/securities)

**Hawaii**

Business Registration Division  
Department of Commerce and  
Consumer Affairs  
335 Merchant St., Room 201, 2nd Floor  
Honolulu, HI 96813  
808-586-2744  
Fax: 808-586-2733  
E-mail: [breg@dcca.hawaii.gov](mailto:breg@dcca.hawaii.gov)  
[www.hawaii.gov/dcca](http://www.hawaii.gov/dcca)

**Idaho**

Department of Finance  
PO Box 83720 (Zip 83720-0031)  
800 Park Blvd., Suite 200  
Boise, ID 83712  
208-332-8000  
Toll free: 1-888-346-3378 (ID)  
Fax: 208-332-8097  
E-mail: [finance@finance.idaho.gov](mailto:finance@finance.idaho.gov)  
[finance.idaho.gov](http://finance.idaho.gov)

**Illinois**

Securities Department  
Secretary of State  
300 W. Jefferson St., Suite 300A  
Springfield, IL 62702  
217-782-2256  
Toll free: 1-800-628-7937 (IL)  
Fax: 217-524-2172  
[www.sos.state.il.us](http://www.sos.state.il.us)

**Indiana**

Securities Division  
Office of the Secretary of State  
302 West Washington, Room E-111  
Indianapolis, IN 46204  
317-232-6681  
Toll free: 1-800-223-8791 (IN)  
Fax: 317-233-3675  
[www.state.in.us/sos](http://www.state.in.us/sos)

**Iowa**

Securities and Regulated  
Industries Bureau  
340 Maple St.  
Des Moines, IA 50319-0066  
515-281-4441  
Toll free: 1-877-955-1212 (IA)  
Fax: 515-281-3059  
E-mail: [iowasec@iid.state.ia.us](mailto:iowasec@iid.state.ia.us)  
[www.iid.state.ia.us](http://www.iid.state.ia.us)

**Kansas**

Office of the Securities  
Commissioner  
618 South Kansas Ave., 2nd Floor  
Topeka, KS 66603-3804  
785-296-3307  
Toll free: 1-800-232-9580 (KS)  
Toll free: 1-888-407-2267 (KS)  
Fax: 785-296-6872  
[www.ksc.ks.gov](http://www.ksc.ks.gov)

**Kentucky**

Division of Securities  
Department of Financial Institutions  
1025 Capitol Center Dr., Ste. 200  
Frankfort, KY 40601-3868  
502-573-3390  
Toll free: 1-800-223-2579  
Fax: 502-573-2182  
E-mail: [kfi@ky.gov](mailto:kfi@ky.gov)  
[www.kfi.ky.gov](http://www.kfi.ky.gov)

**Louisiana**

Securities Division  
Office of Financial Institutions  
8660 United Plaza Blvd., 2nd Floor  
Baton Rouge, LA 70809  
225-925-4660  
Fax: 225-925-4548  
[www.ofi.state.la.us](http://www.ofi.state.la.us)

**Maine**

Office of Securities  
121 State House Station  
Augusta, ME 04333-0121  
207-624-8551  
Toll free: 1-877-624-8551 (ME)  
TTY: 1-888-577-6690  
Fax: 207-624-8590  
[www.maine.gov/pfr/securities/  
index.shtml](http://www.maine.gov/pfr/securities/index.shtml)

**Maryland**

Securities Division  
Office of the Attorney General  
200 Saint Paul Place  
Baltimore, MD 21202-2020  
410-576-6360  
Toll free: 1-888-743-0023 (MD)  
TTY: 410-576-6372  
Fax: 410-576-6532  
E-mail: [securities@oag.state.md.us](mailto:securities@oag.state.md.us)  
[www.oag.state.md.us](http://www.oag.state.md.us)

**Massachusetts**

Securities Division  
Office of the Secretary of the  
Commonwealth  
One Ashburton Place, 17th Floor,  
Room 1701  
Boston, MA 02108  
617-727-3548  
Toll free: 1-800-269-5428 (MA)  
TTY: 617-878-3889  
Fax: 617-248-0177  
E-mail: [securities@sec.state.ma.us](mailto:securities@sec.state.ma.us)  
[www.sec.state.ma.us/sct](http://www.sec.state.ma.us/sct)

**Michigan**

Securities Division  
Office of Financial and Insurance  
Regulation  
PO Box 30220  
611 W. Ottawa St., 3rd Floor  
Lansing, MI 48909  
517-373-0220  
Toll free: 1-877-999-6442  
Fax: 517-241-6356  
E-mail: [ofis-sec-info@michigan.gov](mailto:ofis-sec-info@michigan.gov)  
[www.michigan.gov/ofis](http://www.michigan.gov/ofis)

**Minnesota**

Department of Commerce  
Division of Securities and  
Registration  
85 Seventh Place East, Suite 500  
St. Paul, MN 55101  
651-296-4026  
Toll free: 1-800-657-3602 (MN)  
TTY: 651-296-2860  
Fax: 651-296-4328  
E-mail: [securities.commerce@  
state.mn.us](mailto:securities.commerce@state.mn.us)  
[www.commerce.state.mn.us](http://www.commerce.state.mn.us)

**Mississippi**

Securities Division  
Business Regulation and  
Enforcement  
Secretary of State's Office  
PO Box 136 (Zip 39205)  
700 North St.  
Jackson, MS 39202  
601-359-1350  
Toll free: 1-800-256-3494  
Fax: 601-359-1499  
[www.sos.state.ms.us](http://www.sos.state.ms.us)

Automotive

BBB

Corporate Contacts

Federal Agencies

National Consumer

State &amp; Local

Trade &amp; Professional

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**Missouri**

Commissioner of Securities  
 PO Box 1276  
 Jefferson City, MO 65102  
 573-751-4136  
 Toll free: 1-800-721-7996 (MO)  
 Fax: 573-526-3124  
[www.sos.mo.gov](http://www.sos.mo.gov)

**Montana**

Securities Division  
 State Auditor  
 840 Helena Ave.  
 Helena, MT 59601  
 406-444-2040  
 Toll free: 1-800-332-6148 (MT)  
 Fax: 406-444-3497  
 E-mail: [stateauditor@mt.gov](mailto:stateauditor@mt.gov)  
[www.sao.mt.gov](http://www.sao.mt.gov)

**Nebraska**

Bureau of Securities  
 Department of Banking & Finance  
 PO Box 95006  
 1230 O St., Suite 400 (Zip: 68508)  
 Lincoln, NE 68509-5006  
 402-471-3445  
 Fax: 402-471-3062  
[www.ndbf.org](http://www.ndbf.org)

**Nevada**

Securities Division  
 Office of the Secretary of State  
 555 East Washington Ave., Ste 5200  
 Las Vegas, NV 89101  
 702-486-2880  
 Fax: 702-486-2888  
 E-mail: [nvsec@sos.nv.gov](mailto:nvsec@sos.nv.gov)  
[www.sos.state.nv.us](http://www.sos.state.nv.us)

**New Hampshire**

Bureau of Securities Regulation  
 Department of State  
 State House, Room 204  
 107 North Main St.  
 Concord, NH 03301-4989  
 603-271-1463  
 Fax: 603-271-7933  
[www.sos.nh.gov/securities](http://www.sos.nh.gov/securities)

**New Jersey**

Bureau of Securities  
 Department of Law and Public  
 Safety  
 153 Halsey St., 6th Floor  
 PO Box 47029 (Zip: 07101)  
 Newark, NJ 07102  
 973-504-3600  
 Fax: 973-504-3601  
[www.njsecurities.gov](http://www.njsecurities.gov)

**New Mexico**

Securities Division  
 Regulation & Licensing Department  
 PO Box 25101 (Zip: 87504-5101)  
 2550 Cerrillos Rd.  
 Santa Fe, NM 87505  
 505-476-4580  
 Toll free: 1-800-704-5533 (NM)  
 Fax: 505-984-0617  
[www.rld.state.nm.us](http://www.rld.state.nm.us)

**New York**

Bureau of Investor Protection  
 and Securities  
 Office of the Attorney General  
 120 Broadway  
 New York, NY 10271  
 212-416-8200  
 Fax: 212-416-8816  
[www.oag.state.ny.us](http://www.oag.state.ny.us)

**North Carolina**

Securities Division  
 Two South Salisbury St.  
 Raleigh, NC 27601  
 919-733-3924  
 Toll free: 1-800-688-4507  
 (Investor Hotline)  
 Fax: 919-821-0818  
[www.sosnc.com](http://www.sosnc.com)

**North Dakota**

Securities Department  
 600 E. Boulevard Ave.  
 State Capitol – 5th Floor  
 Bismarck, ND 58505-0510  
 701-328-2910  
 Toll free: 1-800-297-5124 (ND)  
 Fax: 701-328-2946  
 E-mail: [ndsecurities@nd.gov](mailto:ndsecurities@nd.gov)  
[www.ndsecurities.com](http://www.ndsecurities.com)

**Ohio**

Division of Securities  
 77 South High St., 22nd Floor  
 Columbus, OH 43215-6131  
 614-644-7381  
 Toll free: 1-800-788-1194 (Investor  
 Protection Hotline)  
 Fax: 614-466-3316  
[www.securities.state.oh.us](http://www.securities.state.oh.us)

**Oklahoma**

Department of Securities  
 120 North Robinson, Suite 860  
 First National Center  
 Oklahoma City, OK 73102  
 405-280-7700  
 Fax: 405-280-7742  
 E-mail: [general@securities.  
state.ok.gov](mailto:general@securities.state.ok.gov)  
[www.securities.state.ok.gov](http://www.securities.state.ok.gov)

**Oregon**

Division of Finance and  
 Corporate Securities  
 Department of Consumer &  
 Business Services  
 PO Box 14480  
 350 Winter St., NE  
 Salem, OR 97309-0405  
 503-378-4140  
 Toll free: 1-866-814-9710  
 TTY: 503-378-4100  
 Fax: 503-378-6444  
 E-mail: [dfcsmail@state.or.us](mailto:dfcsmail@state.or.us)  
[dfcs.oregon.gov](http://dfcs.oregon.gov)

**Pennsylvania**

Securities Commission  
 Office of the Secretary  
 1010 North 7th St.  
 Eastgate Office Building, 2nd Floor  
 Harrisburg, PA 17102-1410  
 717-787-8061  
 Toll free: 1-800-600-0007 (PA)  
 Fax: 717-783-5122  
 E-mail: [pscwebmaster@state.pa.us](mailto:pscwebmaster@state.pa.us)  
[www.psc.state.pa.us](http://www.psc.state.pa.us)

**Puerto Rico**

Office of the Commissioner  
of Financial Institutions  
PO Box 11855 (Zip: 00910-3855)  
Centro-Europa Building – Suite 600,  
1492 Ponce de Leon Ave.  
San Juan, PR 00907  
787-723-8445  
Toll free: 1-800-981-7711  
Fax: 787-723-4225  
E-mail: [querellas@ocif.gobierno.pr](mailto:querellas@ocif.gobierno.pr)  
[www.cif.gov.pr](http://www.cif.gov.pr)

**Rhode Island**

Securities Division  
Dept. of Business Regulation  
Building 69-1  
1511 Pontiac Ave.  
Cranston, RI 02920  
401-462-9500 (Business Regulation)  
401-462-9527 (Securities)  
TTY: 711 (In Rhode Island Only)  
Fax: 401-462-9645  
[www.dbr.state.ri.us](http://www.dbr.state.ri.us)

**South Carolina**

Securities Division  
Office of the Attorney General  
PO Box 11549  
Columbia, SC 29211-1549  
803-734-9916  
803-734-3970  
Fax: 803-734-3677  
[www.scattorneygeneral.com/securities/index.html](http://www.scattorneygeneral.com/securities/index.html)

**South Dakota**

Division of Securities  
445 East Capitol Ave.  
Pierre, SD 57501-3185  
605-773-4823  
Fax: 605-773-5953  
[www.state.sd.us/dcr/securities](http://www.state.sd.us/dcr/securities)

**Tennessee**

Securities Division  
Department of Commerce  
and Insurance  
500 James Robertson Pkwy.  
Davy Crockett Tower, Suite 680  
Nashville, TN 37243  
615-741-2241  
Toll free: 1-800-863-9117 (TN)  
Fax: 615-532-8375  
[www.state.tn.us/commerce](http://www.state.tn.us/commerce)

**Texas**

State Securities Board  
PO Box 13167  
208 East 10th – 5th Floor (Zip: 78701)  
Austin, TX 78711-3167  
512-305-8300  
Fax: 512-305-8310  
[www.ssb.state.tx.us](http://www.ssb.state.tx.us)

**Utah**

Division of Securities  
Department of Commerce  
PO Box 146760  
160 East 300 South, 2nd Floor  
(Zip: 84111)  
Salt Lake City, UT 84114-6760  
801-530-6600  
Toll free: 1-800-721-7233 (UT)  
Fax: 801-530-6980  
[www.securities.utah.gov](http://www.securities.utah.gov)

**Vermont**

Securities Division  
Department of Banking, Insurance,  
Securities, & Health Care  
Administration  
89 Main St.  
Montpelier, VT 05620-3101  
802-828-3420  
Fax: 802-828-2896  
[www.bishca.state.vt.us/SecuritiesDiv/securindex.htm](http://www.bishca.state.vt.us/SecuritiesDiv/securindex.htm)

**Virginia**

Division of Securities and  
Retail Franchising  
State Corporation Commission  
PO Box 1197  
Richmond, VA 23218  
804-371-9051  
Toll free: 1-800-552-7945 (VA)  
TTY: 804-371-9203  
Fax: 804-371-9911  
[www.scc.virginia.gov/srf](http://www.scc.virginia.gov/srf)

**Washington**

Securities Division  
Department of Financial Institutions  
PO Box 9033  
Olympia, WA 98507-9033  
360-902-8760  
Toll free: 1-877-746-4334  
TTY: 360-664-8126  
Fax: 360-902-0524  
[www.dfi.wa.gov](http://www.dfi.wa.gov)

**West Virginia**

Securities Commission  
State Auditor's Office  
State Capitol Bldg 1, Room W100  
Charleston, WV 25305  
304-558-2257  
Toll free: 1-888-368-9507  
Toll free: 1-888-509-6567  
(Fraud Complaint)  
(Enforcement/Registration/CRD Req.)  
Fax: 304-558-4211  
E-mail: [securities@wvsao.gov](mailto:securities@wvsao.gov)  
[www.wvsao.gov/securities](http://www.wvsao.gov/securities)

**Wisconsin**

Division of Securities  
Department of Financial Institutions  
PO Box 1768  
345 W. Washington Ave., 4th Floor  
(Zip: 53703)  
Madison, WI 53701-1768  
608-266-1064  
Toll free: 1-800-472-4325 (WI)  
TTY: 608-266-8818  
Fax: 608-264-7979  
[www.wdfi.org](http://www.wdfi.org)

**Wyoming**

Compliance Division  
Office of the Secretary of State  
200 West 24th St.  
State Capitol Bldg.  
Cheyenne, WY 82002-0020  
307-777-7370  
Fax: 307-777-7640  
E-mail: [compliance@state.wy.us](mailto:compliance@state.wy.us)  
[soswy.state.wy.us](http://soswy.state.wy.us)

Automotive

BBB

Corporate Contacts

Federal Agencies

National Consumer

State &amp; Local

Trade &amp; Professional

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