

Contacting Your Local Securities Administrator

State securities regulators protect the investing public. Each state has its own laws and regulations for securities brokers and securities, including stocks, mutual funds, commodities, real estate, etc. The agencies listed below enforce these laws and regulations; they also license securities professionals, register securities, and investigate consumer complaints. While these agencies do not provide investment advice, many of them offer educational resources so investors can 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. 35).

Alabama

Securities Commission
PO Box 304700
Montgomery, AL 36130-4700
334-242-2984
Toll free: 1-800-222-1253 (AL)
✉: asc@asc.alabama.gov
www.asc.state.al.us

Alaska

Department of Commerce, Community and Economic Development
Division of Banking and Securities
PO Box 110807
Juneau, AK 99811-0807
907-465-2521
Toll free: 1-888-925-2521 (AK)
TTY: 907-465-5437
✉: dbsc@alaska.gov
www.commerce.state.ak.us

Arizona

Arizona Corporation Commission
Securities Division
1300 W. Washington St., 3rd Floor
Phoenix, AZ 85007
602-542-4242
Toll free: 1-866-837-4399 (AZ)
✉: info@azinvestor.gov
www.azinvestor.gov

Arkansas

Arkansas Securities Department
201 E. Markham St.
Heritage West Building, Suite 300
Little Rock, AR 72201-1692
501-324-9260
Toll free: 1-800-981-4429
✉: info@securities.arkansas.gov
www.securities.arkansas.gov

California

Department of Corporations
Consumer Services Office
1515 K St., Suite 200
Sacramento, CA 95814
Toll free: 1-866-275-2677
TTY: 1-800-735-2966
www.corp.ca.gov

Colorado

Department of Regulatory Agencies
Division of Securities
1560 Broadway, Suite 900
Denver, CO 80202
303-894-2320
TTY: 1-800-659-2656
✉: securities@dora.state.co.us
www.dora.state.co.us/securities

Connecticut

Department of Banking
Securities and Business Investments Division
260 Constitution Plaza
Hartford, CT 06103-1800
860-240-8230
Toll free: 1-800-831-7225
www.ct.gov/dob

Delaware

Department of Justice
Division of Securities
820 N. French St., 5th Floor
State Office Building
Wilmington, DE 19801
302-577-8424
TTY: 302-577-5783
www.state.de.us/securities

District of Columbia

Department of Insurance, Securities and Banking
Attn: Consumer Protection Advocate
810 1st St., NE, Suite 701
Washington, DC 20002
202-727-8000
✉: disb@dc.gov
disb.dc.gov

Florida

Office of Financial Regulation
Division of Securities
200 E. Gaines St.
Attn: Securities Area Financial Manager
Tallahassee, FL 32399-0374
850-410-9500
Toll free: 1-800-848-3792 (FL)
✉: ofr@flofr.com
www.flofr.com

Georgia

Office of the Secretary of State
Division of Securities and Business Regulation
237 Coliseum Dr.
Macon, GA 31217-3858
404-656-3920
Toll free: 1-888-733-7427
✉: securities@sos.state.ga.us
www.sos.ga.gov/securities

Hawaii

Department of Commerce and Consumer Affairs
Securities Enforcement Branch
Business Registration Division
PO Box 40
Honolulu, HI 96810
808-586-2744
Toll free: 1-877-587-2267
✉: seb@dcca.hawaii.gov
www.hawaii.gov/dcca/sec

Idaho

Department of Finance
Securities Bureau
PO Box 83720
Boise, ID 83720-0031
208-332-8000
Toll free: 1-888-346-3378 (ID)
✉: finance@finance.idaho.gov
finance.idaho.gov

Illinois

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

Indiana

Office of the Secretary of State
Securities Division
302 W. Washington St., Room
E-111
Indianapolis, IN 46204
317-232-6681
Toll free: 1-800-223-8791 (IN)
www.state.in.us/sos/securities

Iowa

Securities Bureau
340 Maple St.
Des Moines, IA 50319-0066
515-281-5705
Toll free: 1-877-955-1212 (IA)
✉: iowasec@iid.state.ia.us
www.iid.state.ia.us

Kansas

**Office of the Securities
Commissioner**
109 S.W. 9th St., Suite 600
Topeka, KS 66612
785-296-3307
Toll free: 1-800-232-9580 (KS)
✉: ksc@ksc.ks.gov
www.ksc.ks.gov

Kentucky

**Department of Financial
Institutions**
Division of Securities
1025 Capitol Center Dr., Suite 200
Frankfort, KY 40601-3868
502-573-3390
Toll free: 1-800-223-2579
✉: kfi@ky.gov
www.kfi.ky.gov

Louisiana

Office of Financial Institutions
Securities Division
PO Box 94095
Baton Rouge, LA 70804
225-925-4660
✉: ofila@ofi.louisiana.gov
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
www.maine.gov/pfr/securities

Maryland

Office of the Attorney General
Securities Division
200 Saint Paul Pl.
Baltimore, MD 21202-2020
410-576-6360
Toll free: 1-888-743-0023 (MD)
TTY: 410-576-6372
✉: securities@oag.state.md.us
www.oag.state.md.us

Massachusetts

**Office of the Secretary of the
Commonwealth**
Securities Division
One Ashburton Pl., 17th Floor,
Room 1701
Boston, MA 02108
617-727-3548
Toll free: 1-800-269-5428 (MA)
TTY: 617-878-3889
✉: securities@sec.state.ma.us
www.sec.state.ma.us/sct

Michigan

**Office of Financial and
Insurance Regulation**
Securities Division
PO Box 30220
Lansing, MI 48909
517-373-0220
Toll free: 1-877-999-6442
✉: ofir-sec-info@michigan.gov
www.michigan.gov/ofir

Minnesota

Department of Commerce
Market Assurance Division
85 7th Pl. E, Suite 600
St. Paul, MN 55101
651-296-4973
Toll free: 1-800-657-3602 (MN)
TTY: 651-296-2860
✉: securities.commerce@state.mn.us
www.commerce.state.mn.us

Mississippi

Secretary of State's Office
Securities Division
Business Regulation and
Enforcement
PO Box 136
Jackson, MS 39205-0136
601-359-1048
Toll free: 1-888-236-6167
www.sos.ms.gov

Missouri

Office of the Secretary of State
Securities Division
600 W. Main St.
Jefferson City, MO 65101-1276
573-751-4136
Toll free: 1-800-721-7996 (MO)
✉: securities@sos.mo.gov
www.sos.mo.gov

Montana

Montana State Auditor's Office
Securities Division
840 Helena Ave.
Helena, MT 59601
406-444-2040
Toll free: 1-800-332-6148 (MT)
✉: stateauditor@mt.gov
www.sao.mt.gov

Nebraska

Department of Banking and Finance

Bureau of Securities
PO Box 95006
Lincoln, NE 68509-5006
402-471-3445
Toll free: 1-877-471-3445
www.ndbf.ne.gov

Nevada

Office of the Secretary of State

Securities Division
555 E. Washington Ave., Suite 5200
Las Vegas, NV 89101
702-486-2440
✉: nvsec@sos.nv.gov
www.sos.state.nv.us

New Hampshire

Bureau of Securities Regulation

107 N. Main St., #204
Concord, NH 03301
603-271-1463
Toll free: 1-800-994-4200
✉: securities@sos.nh.gov
www.sos.nh.gov/securities

New Jersey

Department of Law and Public Safety

Bureau of Securities
PO Box 47029
Newark, NJ 07101
973-504-3600
Toll free: 1-866-446-8378 (NJ)
✉: Askbureauofsecurities@dca.lps.state.nj.us
www.njsecurities.gov

New Mexico

Regulation & Licensing Department

Securities Division
2550 Cerrillos Rd., 3rd Floor
Santa Fe, NM 87505
505-476-4580
Toll free: 1-800-704-5533 (NM)
www.rld.state.nm.us/securities

New York

Office of the Attorney General

Investor Protection Bureau
120 Broadway, 23rd Floor
New York, NY 10271
212-416-8200
www.oag.state.ny.us

North Carolina

Securities Division

PO Box 29622
Raleigh, NC 27626-0622
919-733-3924
Toll free: 1-800-688-4507 (Investor Hotline)
✉: secdiv@sosnc.com
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)
✉: ndsecurities@nd.gov
www.ndsecurities.com

Ohio

Division of Securities

77 S. High St., 22nd Floor
Columbus, OH 43215-6131
614-644-7381
Toll free: 1-800-788-1194 (Investor Protection Hotline)
✉: securitiesgeneral.questions@com.state.oh.us
www.com.ohio.gov/secu

Oklahoma

Department of Securities

120 N. Robinson Ave., Suite 860
First National Center
Oklahoma City, OK 73102
405-280-7700
✉: general@securities.state.ok.gov
www.securities.ok.gov

Oregon

Department of Consumer and Business Services

Division of Finance and Corporate Securities
PO Box 14480
Salem, OR 97309-0405
503-378-4140
Toll free: 1-866-814-9710
TTY: 503-378-4100
✉: cp.ins@state.or.us
www.dfcs.oregon.gov

Pennsylvania

Securities Commission

Office of the Secretary
1010 N. 7th St.
Eastgate Office Building, 2nd Floor
Harrisburg, PA 17102-1410
717-787-8061
Toll free: 1-800-600-0007 (PA)
✉: pscwebmaster@state.pa.us
www.psc.state.pa.us

Puerto Rico

Office of the Commissioner of Financial Institutions

Securities Division
PO Box 11855
San Juan, PR 00910-3855
787-723-3131
✉: valores@ocif.gobierno.pr
www.ocif.gobierno.pr

Rhode Island

Department of Business Regulation

Securities Division
1511 Pontiac Ave.
Cranston, RI 02920
401-462-9527
✉: securitiesinquiry@dbr.ri.gov
www.dbr.state.ri.us

South Carolina

Office of the Attorney General

Securities Division
PO Box 11549
Columbia, SC 29211-1549
803-734-9916
www.scag.gov/scsecurities

South Dakota**Department of Labor and Regulation**

Division of Securities
445 E. Capitol Ave.
Pierre, SD 57501-3185
605-773-4823
✉: drr.securities@state.sd.us
www.dlr.sd.gov/securities

Tennessee**Department of Commerce and Insurance**

Securities Division
500 James Robertson Parkway
Davy Crockett Tower, Suite 680
Nashville, TN 37243-0575
615-741-2947
Toll free: 1-800-863-9117 (TN)
✉: Securities.1@tn.gov
www.state.tn.us/commerce/securities

Texas**State Securities Board**

PO Box 13167
Austin, TX 78711-3167
512-305-8300
www.ssb.state.tx.us

Utah**Department of Commerce**

Division of Securities
PO Box 146760
Salt Lake City, UT 84114-6760
801-530-6600
Toll free: 1-800-721-7233 (UT)
✉: securities@utah.gov
www.securities.utah.gov

Vermont**Department of Banking, Insurance, Securities, & Health Care Administration**

Securities Division
89 Main St.
Montpelier, VT 05620-3101
802-828-3301
www.vermontsecurities.info

Virginia**State Corporation Commission**

Division of Securities and Retail Franchising
PO Box 1197
Richmond, VA 23218
804-371-9051
Toll free: 1-800-552-7945 (VA)
TTY: 804-371-9206
✉: SRF_General@scc.virginia.gov
www.scc.virginia.gov/srf

Washington**Department of Financial Institutions**

Division of Securities
PO Box 41200
Olympia, WA 98504-1200
360-902-8760
Toll free: 1-877-746-4334
TTY: 360-664-8126
✉: investorcomplaints@dfi.wa.gov
www.dfi.wa.gov

West Virginia**State Auditor's Office**

Securities Commission
Building 1, Room W-100
1900 Kanawha Blvd.
Charleston, WV 25305
304-558-2251
✉: securities@wvsao.gov
www.wvsao.gov/securitiescommission

Wisconsin**Department of Financial Institutions**

Division of Securities
PO Box 1768, 4th Floor
Madison, WI 53701-1768
608-266-1064
TTY: 608-266-8818
www.wdfi.org

Wyoming**Office of the Secretary of State**

Compliance Division
200 W. 24th St.
State Capitol Building
Cheyenne, WY 82002-0020
307-777-7370
✉: compliance@wyo.gov
soswy.state.wy.us