

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**Division of Banking and Securities**

Department of Commerce,
 Community and Economic
 Development
 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**Securities Division**

Arizona Corporation Commission
 1300 W. Washington St., 3rd Floor
 Phoenix, AZ 85007
 602-542-4242
 Toll-free: 1-866-837-4399 (AZ)
 ✉: SecuritiesDiv@azcc.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
 916-445-2205
 Toll-free: 1-866-275-2677
 TTY: 1-800-735-2966
www.corp.ca.gov

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. 36).

Colorado**Division of Securities**

Department of Regulatory
 Agencies
 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
 ✉: banking.complaints@ct.gov
www.ct.gov/dob

Delaware**Division of Securities**

Department of Justice
 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
 202-442-7843
 ✉: disb@dc.gov
disb.dc.gov

Florida**Division of Securities**

Office of Financial Regulation
 Attn: Securities Area Financial
 Manager
 200 E. Gaines St.
 Tallahassee, FL 32399-0374
 850-410-9500
 Toll-free: 1-800-848-3792
 (FL Consumer Helpline)
 TTY: 1-800-640-0886
 ✉: ofr@flofr.com
www.flofr.com

Georgia**Division of Securities and Business Regulation**

Office of the Secretary of State
 Suite 802, West Tower
 Two Martin Luther King Jr. Dr., SE
 Atlanta, GA 30334
 404-656-3920
 Toll-free: 1-888-733-7427
 ✉: securities@sos.state.ga.us
www.sos.ga.gov/securities

Hawaii

Securities Enforcement Branch
Business Registration Division
Department of Commerce and
Consumer Affairs
335 Merchant St.
Honolulu, HI 96813
808-984-8244
✉: seb@dcca.hawaii.gov
www.hawaii.gov/dcca

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

Securities Department
Secretary of State
213 State Capitol
Springfield, IL 62756
217-782-2256
Toll-free: 1-800-628-7937 (IL)
TTY: 1-888-261-5112
www.sos.state.il.us

Indiana

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

Kentucky

Division of Securities
Department of Financial
Institutions
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

Securities Division
Office of Financial Institutions
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: 207-624-8563
www.maine.gov/pfr/securities

Maryland

Securities Division
Office of the Attorney General
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

Securities Division
Office of the Secretary of the
Commonwealth
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

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

Minnesota

Department of Commerce
Market Assurance Division
85 7th Pl., E, Suite 500
St. Paul, MN 55101
651-296-4973
651-296-2488
Toll-free: 1-800-657-3602 (MN)
TTY: 651-296-2860
✉: securities.commerce@state.mn.us
www.commerce.state.mn.us

Mississippi

Securities Division
Business Regulation and
Enforcement
Office of the Secretary of State
PO Box 136
Jackson, MS 39205
601-359-1350
Toll-free: 1-800-804-6364
www.sos.state.ms.gov

Missouri

Commissioner of Securities
600 W. Main St.
Jefferson City, MO 65101
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**Bureau of Securities**

Department of Banking & Finance
PO Box 95006
Lincoln, NE 68509-5006
402-471-3445
Toll-free: 1-877-471-3445
www.ndbf.org

Nevada**Securities Division**

Office of the Secretary of State
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
www.sos.nh.gov/securities

New Jersey**Bureau of Securities**

Department of Law and
Public Safety
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**Securities Division**

Regulation & Licensing
Department
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](http://www.rld.state.nm.us/securities)

New York**Investor Protection Bureau**

Office of the Attorney General
120 Broadway, 23rd Floor
New York, NY 10271
212-416-8200
Toll-free: 1-800-771-7755
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)
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**

22nd Floor
77 S. High St.
Columbus, OH 43215-6131
614-644-7381
614-466-6140 (Enforcement)
Toll-free: 1-800-788-1194 (Investor
Protection Hotline)
✉: securitiesgeneral.questions@
com.state.oh.us
www.com.ohio.gov/secu

Oklahoma**Department of Securities**

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

Oregon**Division of Finance and
Corporate Securities**

Department of Consumer &
Business Services
PO Box 14480
Salem, OR 97309-0405
503-378-4140
Toll-free: 1-866-814-9710
TTY: 503-378-4100
✉: dcbs.dfcsmail@state.or.us
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**

PO Box 11855
San Juan, PR 00910-3855
787-723-3131
www.cif.gov.pr

Rhode Island**Securities Division**

Department of Business
Regulation
1511 Pontiac Ave.
Cranston, RI 02920
401-462-9527
TTY: 711 (In Rhode Island Only)
✉: SecuritiesInquiry@dbr.state.
ri.us
www.dbr.state.ri.us

South Carolina

Securities Division
Office of the Attorney General
PO Box 11549
Columbia, SC 29211-1549
803-734-9916 (Securities)
803-734-3970 (Attorney General)
www.scattorneygeneral.com/securities

South Dakota

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

Tennessee

Securities Division
Department of Commerce and Insurance
500 James Robertson Pkwy.
Suite 680
Davy Crockett Tower
Nashville, TN 37243
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

Division of Securities
Department of Commerce
PO Box 146760
Salt Lake City, UT 84114-6760
801-530-6600
Toll-free: 1-800-721-7233 (UT)
E-mail: security@utah.gov
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
Toll-free: 1-877-550-3907
www.vermontsecurities.info

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: 804-371-9206
✉: SRF_General@scc.virginia.gov
www.scc.virginia.gov/srf

Washington

Division of Securities
Department of Financial
Institutions
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

Securities Commission
State Auditor's Office
200 W. Main St.
Clarksburg, WV 26301
304-627-2415
Toll-free: 1-888-368-9507 (Check
Registration & Background)
Toll-free: 1-888-509-6567
(Enforcement)
✉: securities@wvsao.gov
www.wvsao.gov/securitiescommission

Wisconsin

Division of Securities
Department of Financial
Institutions
PO Box 1768, 4th Floor
Madison, WI 53701-1768
608-266-1064
Toll-free: 1-800-472-4325 (WI)
TTY: 608-266-8818
www.wdfi.org

Wyoming

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