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Consumer Complaint & Inquiry Forms

COMPLAINT FORM

Before filling out this [form](#), please take the time to read these guidelines. They will help you to understand the Department of Corporations' regulatory responsibilities, and how we provide assistance.

If you have questions about this form, please call our toll-free Consumer Services Office: 1-866-ASK-CORP (1-866-275-2677)

HOW THE DEPARTMENT OF CORPORATIONS CAN HELP:

We evaluate and review complaints for alleged violations of the laws we administer and take appropriate action as authorized under the law.

In general, the Department regulates:

- Securities professionals, such as securities brokers and agents, investment advisers, and financial planners;
- Finance lenders and brokers offering personal or commercial loans;
- Bill payers, check sellers, and proraters, including consumer credit counselors;
- Mortgage lenders and servicers; and
- Escrow agents.

The Department also regulates certain business or investment transactions, including:

- The offer and sale of certain securities and investments, such as stocks, bonds, notes, limited partnership interests or other types of investment vehicles or investment contracts;
- The offer and sale of franchises; and
- Off-exchange commodities transactions.

When you submit a complaint to the Department of Corporations, we review it to determine whether it is a matter over which we have jurisdiction. If we are not the proper regulatory authority, we will attempt to direct you to the correct agency.

However, the Department cannot give you legal or financial advice, we cannot act as your private attorney, and we cannot act as a court of law. Do not rely upon the Department to order that money be refunded to you or for your contract to be cancelled, because the Department may not have the authority to obtain such relief for you under the law. If your complaint involves a sum of money you need to recover or a contract you need cancelled, you should seek the assistance of a private attorney.

You should always file your complaint with the Department, regardless of whether you are resolving your dispute through another forum. The Department relies upon complaints received from investors, borrowers and consumers to ensure that our licensees are complying with the licensing laws, and to locate and stop investment fraud.

The Department of Corporations investigations are generally confidential. However, in some cases, the Department may request the complaint be resolved directly between the individual or organization licensed by the Department and you. In such cases, unless you direct us otherwise, your complaint will be sent to the Department's licensee.

HOW YOU CAN HELP US:

- Summarize your complaint. Make sure your complaint tells us **WHAT** happened, **WHO** was involved, and **WHEN** and **WHERE** the event took place. Please provide any other relevant information that may assist us in understanding and resolving your complaint.
- Provide us with copies of all documents supporting your complaint. (Please do not send originals; we cannot be responsible for their safekeeping.)
- Type or print clearly in ink.
- Upon completion of your complaint, mail the form and your supporting documents to:

Department of Corporations

Consumer Services Office
1515 K Street, Suite 200
Sacramento, CA 95814

- ⇒ [Click here](#) to download the [complaint form](#) which is in Adobe PDF format.
- ⇒ [Click here](#) to download the [complaint form](#) which is in MS Word format.
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- ⇒ [Click here](#) for instructions for viewing and printing MS Word documents.

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