

Work!

## **[Finding state regulators of securities brokers, investment advisors, insurance agents, and insurance brokers](#)**

**Category : Regulation of Financial Advisors and Investment Advisers**

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### **Finding state regulators of brokers investment advisors and insurance agents and brokers**

Summary: Each state may have one or more government organizations that regulate "advisors" who offer securities, insurance, and other services. The various states differ in how their regulatory functions are organized. Some have centralized agencies and some have multiple agencies that split regulatory responsibilities. To find a particular state securities regulator go to the website of the North American Securities Administrators Association, Inc. (NASAA) at <http://www.nasaa.org>. On the left hand side of their home page, there is a link, "Contact Your Regulator," that will provide contact information and websites for securities regulators in each of the fifty United States and the Canadian provinces. See: <http://www.nasaa.org/QuickLinks/ContactYourRegulator.cfm>. These websites provide information on advisor registration requirements. The states regulate the sale of insurance contracts and related products such as annuities. Individual agents / brokers and firms that focus on the sale of insurance products often will present themselves as financial planning or investment advisors. The state agency that regulates investment securities advisors may or may also regulate insurance agents. To locate a state commissioner of insurance, go the website of the National Association of Insurance Commissioners (NAIC) at <http://www.naic.org>. The NAIC "is the organization of insurance regulators from the 50 states, the District of Columbia and the four U.S. territories." The NAIC also provides an interactive map of "State Insurance Department Web Sites" at [http://www.naic.org/state\\_web\\_map.htm](http://www.naic.org/state_web_map.htm). Click on a state on the map to go directly to the appropriate state website. On the left hand panel are other documents with state contact information. The website of a state's securities regulator may provide information that individual investors could find useful in working with advisors and in obtaining help to resolve problems that may occur. State securities-related websites also may contain general investor information and advice. In addition to looking at the investor information and links provided by your own state, you might also look at the websites of certain other states. Some states have invested more resources in on-line public investor education than others have. This information could be useful to persons within and beyond a state's borders.

These states have investor education and links that you might find useful: ->California ( <http://www.corp.ca.gov/pub/tipscont.htm> ) ->Delaware ( <http://www.state.de.us/securities/index.htm> ) ->District of Columbia ( <http://www.disr.washingtondc.gov/disr/site/default.asp> ) ->Georgia ( [http://www.sos.state.ga.us/securities/investor\\_consumer\\_protection.htm](http://www.sos.state.ga.us/securities/investor_consumer_protection.htm) ) ->Hawaii ( <http://www.hawaii.gov/dcca/areas/sec/iep/> ) ->Illinois ( <http://www.cyberdriveillinois.com/departments/securities> ) ->Kansas ( <http://www.securities.state.ks.us/edu.html> ) ->Missouri ( <http://www.sos.mo.gov/securities/investor.asp> ) ->Nevada ( <http://www.sos.state.nv.us/securities/seduc/index.html> ) ->New York ( <http://www.oag.state.ny.us/investors/investors.html> ) ->North Carolina ( <http://www.secretary.state.nc.us/sec/links.asp> ) Of course, if you live in a different state, your

state's rules and regulations could differ significantly from that of these other states. Therefore, use the general information and links provided by other states, but not their particular rules and regulations. 1) National Association of Insurance Commissioners (NAIC) website, <http://www.naic.org/about/background.htm>, July 29, 2005

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