STATE OF ALASKA
DEPARTMENT OF COMMERCE, COMMUNITY AND ECONOMIC DEVELOPMENT
DIVISION OF BANKING AND SECURITIES
550 W. 7TH AVE., SUITE 1850, ANCHORAGE, AK 99501
TELEPHONE (907) 269-8140

INFORMATION ABOUT FILING A COMPLAINT

Please read the following information before you file your complaint with the Division

State Authority:
The Alaska Division of Banking and Securities administers a number of programs covering financial institutions and securities located at Title 06, chapters 01, 05, 10, 13, 15, 20, 26, 35, 40, 45, 50, 55, 60 and Title 45, chapter 55. The focus of a Division investigation is regulatory in nature and is designed primarily to locate and stop violations of state statutes and regulations. Federal regulatory agencies have exclusive authority to regulate some of the institutions in Alaska. If you are not sure whether the Division has authority over the person or company that is the subject of your complaint, please call our office before filing a complaint.

State Remedies:
The Division cannot represent complainants in claims for monetary damages. Division staff can investigate alleged violations and may suspend or revoke licenses, issue stop orders and cease and desist orders, impose civil penalties, seek other court remedies, or refer matters to an appropriate district attorney for criminal prosecution in some circumstances. You are encouraged to consult with independent legal counsel and consider other forums if you are seeking to recover money.

How to file a Complaint:
You can file a complaint with the Division by completing the attached complaint form and submitting it, along with supporting documentation, through our web portal. If you do not want to submit your complaint via the portal, you may print a copy of the complaint form and mail it with copies of your supporting documentation to our Anchorage office.

What should I say in my Complaint?
The more information that you can provide, the more likely we will be able to promptly decide how we can help. It is very important that you provide us with the names, addresses, telephone numbers, and other identifying information concerning any person or entity that you mention in your complaint. It is equally important for you to provide us with the details of the conduct you believe violates Alaska law. You should present the events in the order in which they occurred and use dates whenever possible.

What will the Division do with my Complaint?
After a complete complaint is received, it will be assigned to an investigator or examiner who will be in contact with you to gather additional information if necessary and conduct the investigation. You should be aware that it may take many months before the Division can make a final decision as to whether we should bring an enforcement action based upon your complaint. Pursuant to Alaska law, investigations are conducted on a confidential basis.

Is there anything else I should know about the Complaint process?
There are a couple important things to know about the process:

- Your complaint and any related information from the investigation are generally not available for public inspection under the Alaska Public Records Act. While in most instances your complaint will be treated as a confidential matter, there may be some circumstances when information must be disclosed such as in an administrative hearing or court proceeding.
- The Division may share information about your complaint with other state and federal regulators and law enforcement agencies for the express purpose of assisting these agencies with the enforcement of state and federal laws. You should be aware that federal agencies may not be able to fully protect all shared information from eventual public disclosure.

I have read the above information and wish to proceed with making my complaint to the Division of Banking and Securities.

☐ AGREE

☐ DO NOT AGREE

ALASKA DIVISION OF BANKING AND SECURITIES

COMPLAINT FORM

Please mail all correspondence to:
STATE OF ALASKA
Division of Banking & Securities
550 W. 7th Avenue, Suite 1850
Anchorage, Alaska 99501

COMPLAINT REGARDING:

☐ Securities ☐ Mortgage Lending ☐ Money Transmitter ☐ Currency Exchange ☐ Payday Lending

☐ State Bank/Credit Union/Trust Company ☐ Other state chartered institution

Your Contact Information:

Name: _____

Address: _____

Phone (day): _____ Phone (cell): _____

E-mail Address: _____

Firm(s) and/or individuals complaining against:

Firm Name: _____ Agent Name: _____

Address: _____

Phone (day): _____ Phone (cell): _____

Complaint detail: Please describe the facts involving the alleged violation of Alaska law and list the facts of your complaint in date order, starting with the earliest event and moving forward, including specific dates if possible (please attach additional pages if necessary).

_____

_____

_____

_____

_____

Have you complained directly to the firm(s) or individual(s)? ☐ **Yes** ☐ **No**

If yes, when and with whom did you speak? _____

Have you contacted any other government or regulatory agency about this matter? ☐ **Yes** **No**

If yes, please provide the name of the agency and the name and phone number of the person handling the complaint. _____

_____

Please attach all relevant documents to this complaint.

I hereby certify that I have read the information contained in and attached to this complaint and that all information I have given is accurate and complete to the best of my knowledge. I understand that I can be held responsible if I make a false report. I will cooperate with the Division, **but I understand that the Division's attorneys or employees are not my personal attorneys and that I am encouraged to seek private legal counsel in order to protect my interests. By signing my name below, I certify that I have read and agree to the above statement.**

Name: _____

Date: _____