



**State of Wisconsin**  
*Department of Financial Institutions*

Scott Walker, Governor

Jay Risch, Secretary

## **Resource List for Wisconsin Consumers**

### **Department of Financial Institutions (DFI)**

DFI is dedicated to protecting Wisconsin citizens through financial regulation and education. The Department includes the divisions of Securities, Banking, Corporate & Consumer Services, and the Office of Credit Unions. Like us on Facebook at <https://www.facebook.com/WIDFI> for updates on DFI, financial literacy, financial scams, and other current financial topics.

**DFI Website:** [www.wdfi.org](http://www.wdfi.org)

**Phone:** (608) 261-9555

#### **Division of Securities – Check Before You Invest!**

The Division oversees registration of securities offerings, broker-dealer and investment adviser firms, and the firms' agents or representatives. Before investing through a financial professional, call 608-266-2139 to be sure the person is registered to sell securities or provide investment advice in Wisconsin. You can also visit [www.wdfi.org](http://www.wdfi.org) and scroll down to click on **Securities Broker Check** or **Investment Adviser Check** to review online the background of financial professionals.

**Website:** <https://www.wdfi.org/fi/securities/>

**Phone:** (608) 261-2139

### **Department of Agriculture, Trade & Consumer Protection (DATCP)**

DATCP's Bureau of Consumer Protection provides services to the public concerning various financial and fraud scams that do not involve securities, including identity theft, credit cards, imposter, grandparent scams, phishing, spoofing, contests, lotteries, sweepstake or prize promotions, charitable solicitations, and inheritance scams.

**DATCP Website:** <http://datcp.wi.gov/>

**Phone:** 800-422-7128

**Email:** [DATCPHotline@wisconsin.gov](mailto:DATCPHotline@wisconsin.gov)

#### **Bureau of Consumer Protection's Identity Theft Assistance Team**

The Identity Theft Assistance team within the Bureau educates Wisconsin citizens on best practices for protecting their identities and helps victims of identity theft.

**Website:** <http://datcp.wi.gov/>

**Phone:** 800-422-7128

**Email:** [DATCPWisconsinPrivacy@wisconsin.gov](mailto:DATCPWisconsinPrivacy@wisconsin.gov)



### **Office of the Commissioner of Insurance (OCI)**

OCI regulates the Wisconsin insurance industry, including annuity products – concerns about variable or fixed annuities should be directed to OCI.

**OCI Website:** <https://oci.wi.gov/>

**Phone:** 800-236-8517

**Complaint Email:** [ocicomplaints@wisconsin.gov](mailto:ocicomplaints@wisconsin.gov)

### **North American Securities Administrators' Association (NASAA)**

NASAA is comprised of state securities regulators who focus on investor protection. In addition to providing tools to the states, NASAA has investor education materials available to the public on its website, such as its brochure, "Cutting through the Confusion," which describes the roles of various financial professionals. NASAA's new website, Serve Our Seniors, has resources for investors, caregivers, policymakers, and the securities industry.

**NASAA Website:** [www.nasaa.org](http://www.nasaa.org)

**Senior Website:** <http://serveourseniors.org/>

### **Financial Industry Regulatory Authority (FINRA)**

FINRA is a self-regulating organization of the securities industry. It oversees broker-dealers to ensure compliance with securities regulations, and provides investor education through their non-profit arm, the Save and Invest Organization. They also maintain a toll free Securities Helpline for Seniors to answer investment-related questions, investigate broker misconduct, and provide assistance regarding brokerage accounts and investments.

**FINRA Website:** [www.finra.org](http://www.finra.org)

**Senior Website:** [www.finra.org/industry/senior-investors](http://www.finra.org/industry/senior-investors)

**FINRA Securities Helpline for Seniors:** 844-574-3577 (Toll Free)      Mon – Fri 9 am – 5 pm Eastern Time

### **Securities and Exchange Commission (SEC)**

The SEC is a federal agency which oversees the securities markets, including exchanges, broker-dealers, investment advisers, and securities products. They promote investor education and provide information and assistance for securities-related questions or concerns through the Office of Investor Education and Advocacy.

**SEC Investor Website:** [www.investor.gov](http://www.investor.gov)

**Investor Assistance Phone:** 800-732-0330