

Filing a Complaint with the Corporations, Securities, and Commercial Licensing Bureau (Bureau)

Before filling out a statement of complaint form, please take the time to read the following information; this will help you understand the Bureau's functions, roles, and responsibilities.

WHAT WE CAN DO:

- We investigate allegations against persons and business entities accused of violating laws and regulations administered by the Bureau. When appropriate, we are empowered to bring administrative actions against the person or business entity to enforce compliance with the applicable laws and regulations.
- The Bureau administers laws and regulations that affect the following :
 - Cemeteries (Private)
 - Continuing Care Communities
 - Forensic Polygraph Examiners
 - Mortuary Science
 - Investments & Securities
 - Pre-Paid Funeral Contract Seller/Provider
 - Professional Employer Organizations
 - Professional Investigator
 - Security Alarm Contractors
 - Security Alarm Systems Registration
 - Security Guard Agency
 - Transportation Company (Taxi, Limousine and Transportation Network Company)
 - Unarmed Combat (Professional Boxing and Mixed Martial Arts)
 - Vehicle Protection Product Warrantors

WHAT WE CANNOT DO:

- We cannot act as a court of law, so we cannot order that monies be refunded, contracts be canceled, damages be awarded, etc. If you have this type of problem you should consult an attorney.
- We cannot act as your attorney.
- We cannot take action in matters involving the internal affairs of a business entity. We only have jurisdiction over regulated activities, not over the way business is being conducted as it relates to non-regulated activities.
- We cannot conduct criminal prosecutions.

HOW YOU CAN HELP US:

- Summarize your allegations using these guidelines.
 - Tell us WHAT happened. Start from the beginning. Be specific as to what was said and who said it.
 - Tell us WHO was present during these conversations or acts.
 - Tell us WHEN and WHERE these conversations/acts took place.
 - Tell us WHEN and WHERE the money and agreements changed hands.
 - Tell us HOW you know the representations were false or HOW you know your money was misused.
- Attach copies of all documents such as contracts, agreements, certificates, notes, correspondence, legible copies of the front and back of checks involved, prospectus, advertising, plans or specifications, etc. Documentary evidence is especially important. **Please do not send originals; we cannot be responsible for their safekeeping and they will not be returned.**
- The Bureau may ask you to provide other documents at a later date to support your allegations

WHAT HAPPENS NEXT:

- If the statement of complaint alleges violations of the laws and regulations administered by the Bureau, the Bureau will investigate.
- If the Bureau does not have jurisdiction over the matter, you will be notified.
- If the Bureau issues a Formal Complaint or other initiating order, you may be needed as a witness on behalf of the Bureau, as determined by the Bureau's attorney.
- The respondent may request a compliance/settlement conference between them and the Bureau prior to the contested case hearing to demonstrate compliance with the laws and regulations or settle the matter.
- If you are needed as a witness at a contested case hearing, the Bureau's attorney will generally contact you to discuss what is expected and the documents you should keep in front of you during the contested case hearing. Note: Many hearings are conducted by phone or videoconference.
- The administrative law judge presiding over the contested case hearing will determine whether a violation of a law or regulation has occurred and issue a proposal for decision, or a hearing report will be issued in matters commenced under the Unarmed Combat Regulatory Act or the Occupational Code.
- The Unarmed Combat Commission and the Board of Examiners in Mortuary Science must accept the administrative law judge's findings of fact and conclusions of law. The Commission or Board will make a decision and the Bureau will issue a "Final Order" about the decision, including any penalties, which may include: License limitation, suspension, revocation, fine, probation, or other less common penalties.
- For cases commenced under other statutes the Bureau is responsible for enforcing, the respondent and Bureau are given 21 days from the date the proposal for decision was issued to file exceptions, and either party may choose whether to respond to those exceptions. After the exceptions, responses, or the 21-day period lapses, either a "Final Order" is issued by the Bureau Director, or the Bureau Director determines to close the matter without taking disciplinary action.