

# DOCQNET Project

## Online Complaint Filing



## CA Department of Business Oversight

Version 2.0

(6/18/2014)

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# 1. Overview

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The Department of Business Oversight (DBO) Self Service Portal provides the general public the ability to submit complaints to DBO through an online web form. The complaint form can be filled out to include your contact information, along with any information you can provide about the person and/or businesses involved in your complaint. Include as much detail as possible, as this will assist DBO in routing your complaint efficiently.

The Portal also supports uploading of any supporting documents related to your complaint. If you have electronic versions of documents related to your complaint (e.g. receipts, statements, letters, etc.), you can upload them directly to DBO through the Portal. However, if you choose to submit the supporting documents in a hard copy format, please mail them to the Department of Business Oversight 1515 K Street, Sacramento, CA 95814. Include in the letter the complaint ID that is provided to you upon submission of the complaint through the portal.

# 2. Submit a Complaint

## How to Submit a Complaint

Any member of the public has the ability to file a complaint against an individual or organization with whom they've done business. Listed below are the steps to file a complaint.

### Steps to Complete Process

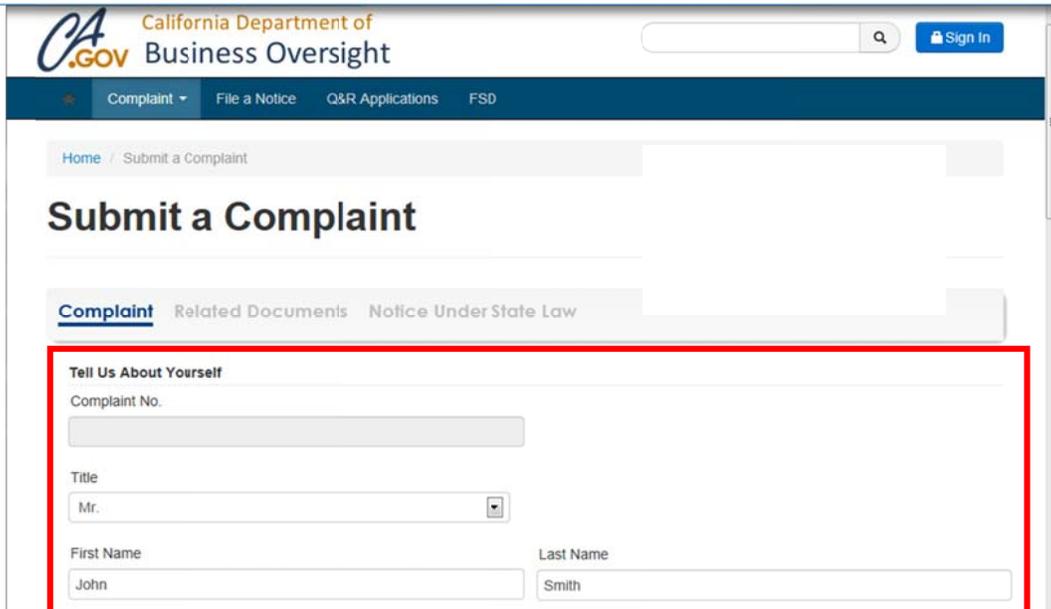
1. With the Portal being open to the homepage, click the hyperlink "File a Complaint" under the For Consumers section.

#### For Consumers

The Department of Business Oversight encourages the public to submit complaints if it is believed that a licensee of the Department is acting in violation of state law or has acted improperly. The Department evaluates and reviews complaints for alleged violations of the laws we administer and take appropriate action as authorized under the law. See a [List of Licensees and Industries Regulated by the Department](#).

[File a Complaint](#)

2. Enter all of the information for the "Tell Us About Yourself" section.



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Complaint | File a Notice | Q&R Applications | FSD

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## Submit a Complaint

Complaint | Related Documents | Notice Under State Law

**Tell Us About Yourself**

Complaint No.

Title  
Mr.

First Name  
John

Last Name  
Smith

Address 1  
123 Main St.

Address 2

City  
Sacramento

State  
California

Zip Code  
95817

Email Address

Home Phone

Other Phone

Military Active Duty  
 No  Yes

Branch of Military

Age

3. Enter the information to “Describe Your Complaint” and “Who are the Person’s/Businesses involved”. Be sure to include as much information and detail as possible, including the known address(es) of any businesses related to your complaint.
4. Click the “Next” button at the bottom of the screen to proceed to the next step of submitting the complaint.

**Describe Your Complaint (Provide as much detail as possible)**

Inquiry/Complaint Description

**Who Are the Persons/Businesses Involved?**

Individual Name(s)

Organization Name(s)

In submitting this complaint, you agree the information provided is true and correct to the best of your knowledge and that the information may be used by the Department for its investigation. Consumer complaints are considered to have been received by the Department in confidence. However, the Department may, at its sole discretion, disclose your complaint to the person or entity for the purpose of corrective action. The Department may also choose to disclose your complaint to others for the purpose of facilitating an investigation of the person or entity complained against or initiating legal proceedings against the same under the Department's investigation.

Next

5. For each related document that needs to be attached to support the complaint, click “Browse”.
6. Find and select the document that will be attached and then click “Open”.
7. After attaching all of the related documents, click the “Next” button.

# Submit a Complaint

Complaint Related Documents Notice Under State Law

Upload related documents:

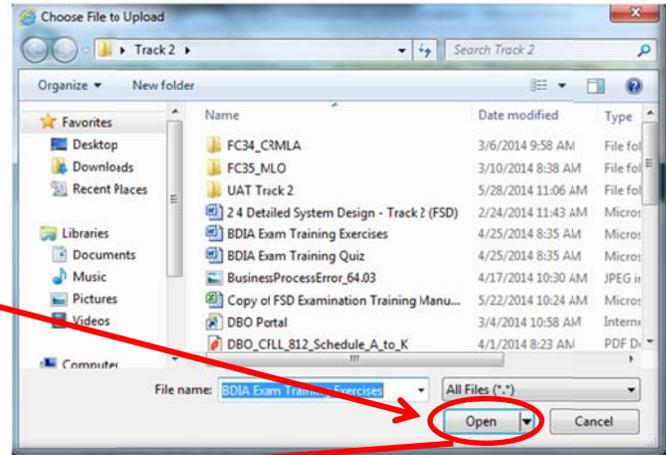
Document 1

Document 2

Document 3

Document 4

Document 5



8. Review the "Notice Under State Law" and then click the "Submit" button.

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Complaint File a Notice Q&R Applications FSD

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## Submit a Complaint

Complaint Related Documents **Notice Under State Law**

### NOTICE REQUIRED UNDER STATE LAW

The following notice is required by state law under the Information Practices Act of 1977 (California Civil Code Section 1798.17). The California Department of Business Oversight requests the information in the attached form to determine whether:

- A license, qualification, registration, certificate or other authority should be accepted, granted, approved, denied, revoked, or limited in any way;
- Business entities or individuals licensed or otherwise regulated by the Department of Business Oversight are conducting themselves in accordance with applicable laws; and/or
- Laws administered by the Department of Business Oversight are being or have been violated and whether administrative action, civil action, or referral to a self-regulatory organization or other government agency is appropriate.

All information you provide is voluntary. **Failure to provide all or any part of the information requested may hinder the Department of Business Oversight from investigating your complaint.**

We may share your personal information, as needed, with licensed business entities or individuals to facilitate resolution of your complaint. We may also share your information with other government agencies or self-regulatory organizations.

The Commissioner is responsible for the performance of all duties, the exercise of all powers and jurisdiction, and the assumption and discharge of all responsibilities vested by law in the Department. The Commissioner has and may exercise all the powers necessary or convenient for the administration and enforcement of, among other laws, the laws described in Financial Code Section 300. The Commissioner may issue such

9. Now that the complaint has been submitted, you may copy the complaint id to allow you to check on the status of the submitted complaint.



Sign In

Home / Submit a Complaint

## Submit a Complaint

Your complaint has been submitted successfully! The complaint id for this complaint is **complaint-6963**

## How to Check the Status of a Complaint

### Steps to Complete Process

1. At the top of the DBO Self Service Portal page click on the dropdown for "Complaint" and select "Complaint Status".



2. Enter the Complaint ID number and then click the "Check" button.



3. If the complaint id was correctly entered, then the status of the complaint will be displayed at the bottom of the screen.

