



Financial Industry Regulatory Authority

# BrokerCheck

An Online Tool to Help Investors Check the Background of Brokers and Brokerage Firms



# FINRA BrokerCheck

Successful investing often starts by selecting a broker or brokerage firm that is right for you. To help you make informed decisions when choosing someone to manage your investments, FINRA provides BrokerCheck®—an important tool that delivers critical information about FINRA-registered securities firms and brokers.

- **Free, convenient and easy to use.** It's easy to view or download a complete BrokerCheck report on an individual broker or brokerage firm. Just visit [www.finra.org/brokercheck](http://www.finra.org/brokercheck) and conduct a simple search. A free report on the broker or firm in question will be generated in seconds, helping you determine whether to conduct, or continue to conduct, business with that party.
- **Comprehensive.** BrokerCheck features professional background information on nearly 850,000 current or former brokers and nearly 4,700 FINRA-registered firms.
- **Current.** Because BrokerCheck information comes from the Central Registration Depository (CRD®), the securities industry's central licensing and registration system, the reports contain the most currently available compliance data on brokers and firms.

## Use BrokerCheck to obtain information about brokers and firms, including:

- Broker employment history
- Broker licensing status
- Criminal events
- Regulatory actions
- Investor complaint information
- Pending investigations and regulatory proceedings

To learn more, visit [www.finra.org/brokercheck](http://www.finra.org/brokercheck) or call (800) 289-9999.

FINRA, the Financial Industry Regulatory Authority, is an independent regulatory organization empowered by the federal government to ensure that America's 90 million investors are protected.

[www.finra.org](http://www.finra.org)

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