



Smart investing starts by selecting an investment professional or firm who is right for you. That's where BrokerCheck comes in.

## Check out your broker with BrokerCheck.

**BrokerCheck** is a free, online tool from FINRA—the Financial Industry Regulatory Authority. FINRA oversees the people and firms that sell stocks, bonds, mutual funds and other securities.

**BrokerCheck** is easy to use. Simply type in the name of your current or prospective broker or firm. Visit [brokercheck.finra.org](http://brokercheck.finra.org) or call (800) 289-9999.

### BrokerCheck can tell you...



**...if a broker or brokerage firm is registered.** Individuals and firms must be registered with FINRA (for brokers), the Securities and Exchange Commission, or SEC (for certain investment advisers), and in those states where required by law. Individuals with these registrations have particular knowledge and take on specific legal responsibilities.



**...about regulatory actions and other important disclosures.** **BrokerCheck** contains information about criminal, regulatory, civil judicial and customer complaint events involving the broker. These include final regulatory actions, convictions or guilty pleas for certain crimes, and details of arbitration or civil litigation awards against the broker.

Visit [brokercheck.finra.org](http://brokercheck.finra.org) or call (800) 289-9999.



...about a broker's experience. **BrokerCheck** provides an overview of a broker's work history, as well as brokerage firm history.



...about what a broker or brokerage firm is able to do. Brokers and investment advisers are qualified to perform certain tasks for clients, based on the exams they have passed and state licenses they hold. Generally speaking, individuals and firms must register in each state where they have customers.

## While there's a lot that BrokerCheck can tell you, there are some things it can't.

It doesn't provide opinions or recommendations about brokers and firms. It can't tell you if someone is a "good" broker or how well your money will be managed. Also, some information is removed after a certain time, such as bankruptcies over 10 years old.



## Where BrokerCheck Information Comes From

BrokerCheck information comes from FINRA's Central Registration Depository (CRD®). Information in the CRD database is obtained through forms that brokers, brokerage firms and regulators complete as part of the securities industry registration and licensing process. Information about investment adviser firms and representatives comes from the SEC's Investment Adviser Registration Depository database.

## More About FINRA

FINRA is an independent, non-governmental regulator for all securities firms doing business with the public in the United States. We're authorized by Congress to protect America's investors by making sure the securities industry operates fairly and honestly.