

Information Notice

Individual Snapshot Reports Now Available Online

Executive Summary

Individuals who are or have been registered as a broker or investment adviser representative can now access their Individual Snapshot Report (Snapshot) online.

Questions regarding this *Notice* should be directed to the Gateway Call Center at (301) 590-6500.

Discussion

Individuals who are or have been registered as a broker or investment adviser representative may review their registration and licensing information via a Snapshot. A Snapshot contains information that has been reported about an individual on Forms U4, U5 and U6, including residential and employment history, professional designations and disclosure events, as well as other information such as examination and continuing education history. While much of the information provided in a Snapshot also is available through FINRA BrokerCheck® and the SEC's Investment Adviser Public Disclosure database, a Snapshot contains some additional information that is not available through these databases.

Until recently, individuals were able to obtain a Snapshot only by completing a form and mailing or faxing it to FINRA. FINRA would then mail the requested Snapshot to the individual or the third party the individual designated. FINRA has improved this process so that individuals now can obtain a Snapshot [online](#) at FINRA's website.¹

Endnotes

1. Individuals who do not have a Social Security number or who are required to have their Snapshot sent to a third party directly from FINRA should contact the Gateway Call Center to obtain a Snapshot.

September 25, 2014

Suggested Routing

- ▶ Compliance
- ▶ Registered Representatives
- ▶ Registration

Key Topic(s)

- ▶ Individual Snapshot Report

© 2014 FINRA. All rights reserved. FINRA and other trademarks of the Financial Industry Regulatory Authority, Inc. may not be used without permission. *Information Notices* attempt to present information to readers in a format that is easily understandable. However, please be aware that, in case of any misunderstanding, the rule language prevails.