



Financial Industry Regulatory Authority

BrokerCheck[®]

An Online Tool to Help Investors Check
the Background of Individual Investment
Professionals and Firms



FINRA BrokerCheck[®]

Successful investing often starts by selecting an investment professional or 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, as well as investment adviser firms and representatives.

- ▶ **Free, convenient and easy to use.** It's easy to view or download a complete BrokerCheck report on an individual or firm. Just visit www.finra.org/brokercheck and conduct a simple search. A free report will be generated in seconds, helping you determine whether to conduct, or continue to conduct, business with that party.
- ▶ **Comprehensive.** BrokerCheck features licensing and disciplinary information on nearly 1.3 million current and former securities brokers and more than 17,000 current and former FINRA-registered firms. It also features professional background information on approximately 441,000 current and former investment adviser representatives, and 45,700 current and former investment adviser firms.
- ▶ **Current.** BrokerCheck information comes from the Central Registration Depository (CRD[®]), the securities industry's central licensing and registration system for brokers and firms, and the SEC's Investment Adviser Public Disclosure (IAPD) database for investment adviser firms and representatives—so the reports contain the most currently available compliance data.

Use BrokerCheck to obtain information about investment professionals and firms, including:

- ▶ Employment history
- ▶ Licensing status
- ▶ Criminal events
- ▶ Regulatory actions
- ▶ Investor complaint information
- ▶ Pending investigations and regulatory proceedings

To learn more, visit 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 investors are protected.

www.finra.org