



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 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 more than 660,000 current and former registered brokers and more than 5,100 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 or call (800) 289-9999.

FINRA, the Financial Industry Regulatory Authority, is the largest non-governmental regulator for all securities firms doing business with the U.S. public.

www.finra.org