



Check out your broker with BrokerCheck

FINRA oversees the people and firms that sell stocks, bonds, mutual funds and other securities. Simply type in your current or prospective broker's name to see employment history, certifications, and licenses—as well as regulatory actions, violations or complaints you might want to know about. You also can get information about your broker's firm.

There's no reason not to check.

BrokerCheck can tell you...



...if a broker or brokerage firm is registered.

Individuals and firms can be registered as brokers or investment advisers—or both. Individuals with these designations have particular knowledge and take on legal responsibilities. Individuals and firms must be registered with FINRA (for brokers), the SEC (for certain investment advisers), and in those states where required by law.



...what has been disclosed to regulators.

From the time they register—and throughout their careers in the securities industry—individuals and firms must inform FINRA if certain events occur; these events include regulatory actions, criminal convictions, and for brokers, customer complaints.



...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. Individuals and firms must register in each state where they have customers.

BrokerCheck cannot tell you...

...FINRA's opinion of a broker or brokerage firm.

No opinions, no recommendations, just facts. FINRA can't tell you if someone is a "good" broker—but BrokerCheck gives you information about that person's experience, credentials, and history so you can make an informed decision.

...how well your money will be managed.

FINRA can't guarantee that a broker or firm will perform well for you. Do your homework and make sure you're actively involved with managing your money.

...info that's older or from other financial industries.

Some information is removed after a certain time period, such as bankruptcies over 10 years old. It's also possible that a broker has worked in other parts of the financial services industry (for example, insurance or banking). BrokerCheck may not have information about those industries.

...information that FINRA has not received.

Brokers and brokerage firms are required to update their professional and disciplinary information, generally within 30 days. BrokerCheck does not have information until it is reported. Under most circumstances, information reported to FINRA is available in BrokerCheck by the next business day. If you are aware of missing or incorrect information in BrokerCheck, please contact us.

More about BrokerCheck

BrokerCheck is a free tool which is part of FINRA's ongoing efforts to help investors make informed choices about brokers and brokerage firms. BrokerCheck also provides information about formerly registered brokers who, although no longer registered in the securities industry, may work in other financial services industries. These individuals could still seek to gain the trust of potential investors, so we feel it's important to include them here.

The Data

The information contained in BrokerCheck is collected through FINRA's registration process. The information is drawn from filings by regulators, firms and investment professionals. It includes current licensing status and history, employment history and, if any, reported regulatory, customer dispute, criminal and other matters.

[Learn more about BrokerCheck](#)

[Download the BrokerCheck Brochure](#)

[View recent changes to BrokerCheck](#)

Need Assistance?

Call the BrokerCheck Hotline at (800) 289-9999.

Monday-Friday

8 a.m. – 8 p.m. ET

[Email](#)

[Submit Feedback](#)

[Sitemap](#) | [Privacy](#) | [Legal](#)

©2016 FINRA.