

## **BrokerCheck Tool**

[BrokerCheck](https://brokercheck.finra.org/) is a free tool to research the background and experience of financial brokers, advisers and firms.

<https://brokercheck.finra.org/>

### **Use BrokerCheck to:**

- Help you make informed choices about brokers and brokerage firms-and provides easy access to investment adviser information.
- Find out if a person or firm is registered, as required by law, to sell securities (stocks, bonds, mutual funds and more), offer investment advice or both.
- Get you a snapshot of a broker's employment history, regulatory actions, and investment-related licensing information, arbitrations and complaints.

### **Want more information?**

- Browse the list of [brokers barred by FINRA](#).
- Check out the new [SEC Action Lookup](#) tool for formal actions that the SEC has brought against individuals, including those who are not brokers.
- Go to your [state securities regulator](#) to do additional research on brokers and investment advisers.
- BrokerCheck does not have information regarding civil litigation not involving investments, civil protective orders, criminal matters unless they are felonies, or misdemeanors that are investment-related or involve theft or a "breach of trust." Consider doing an internet search to check for that type of information.

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The information presented in this publication is for general informational purposes and is not a substitute for legal advice. If you have a specific legal issue or problem, United Policyholders recommends that you consult with an attorney. Guidance on hiring professional help can be found in the "Find Help" section of [www.uphelp.org](http://www.uphelp.org). United Policyholders does not sell insurance or certify, endorse or warrant any of the insurance products, vendors, or professionals identified on our website.

Source: <https://uphelp.org/buying-tips/brokercheck-tool/> Date: July 27, 2024