

[BrokerCheck Tool](#)

[BrokerCheck](#) 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.

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. United Policyholders does not sell insurance or certify, endorse or warrant any of the insurance products, vendors, or professionals identified on our website.

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