

Check the Background of Your Investment Professional



FINRA BrokerCheck

Look Up a Securities Firm or Broker in BrokerCheck

START SEARCH

FINRA BrokerCheck is a free online tool to help investors check the professional background of current and former FINRA-registered securities firms and brokers. It should be the first resource investors turn to when choosing whether to do business with a particular broker or brokerage firm.

Features of FINRA BrokerCheck include:

- Search capabilities for both a broker and brokerage firm
- Online delivery of a report on a broker or brokerage firm
- Explanatory information to help investors better understand the content, context and source of the information provided
- Links to additional resources and tools

The information made available through FINRA BrokerCheck is derived from the Central Registration Depository (CRD[®]), the securities industry online registration and licensing database, as reported on industry registration/licensing forms brokers, brokerage firms and regulators complete. BrokerCheck features professional background information on approximately 660,000 currently registered brokers and 5,100 currently registered securities firms. Information is also available on thousands of formerly registered firms and brokers.

For questions regarding BrokerCheck, FINRA provides a toll-free hotline, (800) 289-9999, available Monday through Friday from 8 a.m. until 8 p.m., Eastern Time; or, you may also [email us](#).

Please note that in order to access BrokerCheck, your computer must have cookies enabled.

Investment Adviser Public Disclosure

[Look up an Investment Adviser Firm](#)

This Web site allows you to search for information about Investment Adviser (IA) firms regulated by, and electronically registered with, the Securities and Exchange Commission (SEC) or state regulators. The SEC regulates IA firms with more than \$25 million in assets under management (and certain other IA firms that meet other statutory criteria). IA firms regulated by the SEC must submit their required registration forms (Form ADV) to the SEC via the Investment Adviser Registration Depository (IARD[®]). Some state-regulated IA firms also submit their registration forms (also on Form ADV) through the IARD.

Additional Investor Resources

[List of State Securities Regulators](#)

Additional information may be obtained through state disclosure programs.

[Professional Designations Database](#)

Learn about the designations that many investment professionals hold.

[Invest Wisely](#)

[Investor Center](#)

