

FINRA BrokerCheck

FINRA, the Financial Industry Regulatory Authority, is charged with regulating the securities industry and oversees virtually all U.S. stockbrokers and brokerage firms.

We are advising you, our customer, that available to you is the FINRA BrokerCheck search tool. This program provides you with a reference tool regarding our firm and your broker.

FINRA BrokerCheck Hotline Number:
1-800-289-9999

For all other inquiries, you may call the FINRA Call Center at **301-590-6500**.

FINRA Regulation Website: **WWW.FINRA.ORG**

In addition, please be aware that available on the FINRA website is an investor brochure that includes information describing the FINRA BrokerCheck resource.