

## **FINRA Investor Education and BrokerCheck® Notification**

Our relationship with you is important to us, so we want to make sure you are aware that important investor information regarding your rights and responsibilities is available through the FINRA web site at [www.finra.org](http://www.finra.org). From that site, you can also research the professional backgrounds of current and former broker dealer firms and representatives registered with FINRA to conduct securities business via the FINRA BrokerCheck® tool.

FINRA BrokerCheck is a free resource you can use to conduct that research and can help you make an informed decision as to the firms and representatives with whom you choose to engage in a business relationship. This information is obtained through form filings that registered representatives, brokerage firms and regulators complete as part of the securities industry registration and licensing process.

Through BrokerCheck you can:

- Search for both representatives and brokerage firms
- Obtain online delivery of a background report
- View explanatory information to help you better understand the content provided
- See links of additional resources and tools

To get started, go to <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/> and click on the Start Search button. This website also allows you to submit questions you have about BrokerCheck via email.

Alternatively, you can learn more about BrokerCheck by calling FINRA's BrokerCheck Hotline (800)289-9999. The hours of operation are Monday through Friday from 8 a.m. to 8 p.m., Eastern Time.

Thank you.

Ed. Oct/2011