Helping Library Patrons with Financial Information Needs

How Can I Find a Good Financial Professional?

15 Useful Information Resources

1. Investment Professionals: A Primer
   A learning module from the FINRA Investor Education Foundation

2. Top Tips for Selecting a Financial Professional
   An easy-to-follow Investor Bulletin from the U.S. Securities and Exchange Commission

3. Choosing an Investment Professional
   An overview linked to step-by-step guidance from FINRA

4. Investment Adviser Guide
   A useful primer from the North American Securities Administrators Association

5. Professional Designations Database
   A tool for decoding the acronyms often listed with a financial professional’s name

6. Senior Designations for Financial Advisers
   A report from the Consumer Financial Protection Bureau

7. BrokerCheck
   A tool to help investors make informed choices about brokers and brokerage firms

8. Investment Adviser Search
   A searchable database providing access to registration documents for investment advisers

9. Insurance Commissioners
   Contact information to research insurance company and agent licensing information

10. State Securities Regulators
    A convenient compilation of contact information and links to relevant state agencies

    Questions to ask about investments and investment professionals

12. When Your Broker Calls, Take Notes!
    A useful form prepared by the U.S. Securities and Exchange Commission

    A Pace Law School guide on how to prevent and resolve disputes with a broker
14. Making Sense of Financial Professional Titles
   A bulletin explaining what investors need to know about titles used by financial pros

15. FINRA Securities Helpline for Seniors
   Service for seniors needing assistance with brokerage accounts and investment information

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