

RADIO ROUNDUP

a collection of features, oddities,
and helpful tips



**NORTH AMERICAN
PRECIS SYNDICATE, INC.**

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192 WORDS, 60 SECONDS

INVESTING WISDOM

INVESTING SOME TIME AND EFFORT IN RESEARCHING YOUR STOCK BROKER—JUST AS YOU WOULD IF HE OR SHE WERE A SECURITY—CAN PAY DIVIDENDS. THAT'S THE WORD FROM EXPERTS WHO SAY BEFORE WORKING WITH A BROKER OR OTHER FINANCIAL PROFESSIONAL, MAKE SURE THAT PERSON IS LICENSED TO SELL YOU AN INVESTMENT. ONE WAY TO DO THIS IS BY USING A FREE ONLINE TOOL FROM THE FINANCIAL INDUSTRY REGULATORY AUTHORITY, WHICH IS ALSO KNOWN AS FINRA. THE TOOL, CALLED BROKER-CHECK, CAN BE USED TO RESEARCH A SPECIFIC FIRM OR INVESTMENT PROFESSIONAL. WHEN RESEARCHING INDIVIDUALS, THE TOOL CAN REVEAL EMPLOYMENT HISTORY, APPROVED LICENSES AND REGISTRATIONS, AND ANY DISCIPLINARY ACTIONS AND SANCTIONS IMPOSED BY THE S-E-C OR OTHER REGULATORS ON THE BROKER. WHEN RESEARCHING A FIRM, THE TOOL CAN BE USED TO FIND INFORMATION ON ANY LEGAL ISSUES IT MAY HAVE HAD OVER THE LAST TEN YEARS. THE TOOL CAN ALSO BE USED TO IDENTIFY RED FLAGS, SUCH AS WHETHER THE FIRM HAS FREQUENTLY CHANGED ITS NAME. FINRA IS THE LARGEST INDEPENDENT REGULATOR FOR ALL SECURITIES FIRMS DOING BUSINESS IN THE UNITED STATES. TO LEARN MORE, VISIT FINRA--DOT--ORG--SLASH--INVESTORS.