



Check Up

Before sharing your finances with any financial professional, find out:

- ☐ The agency that provides their oversight, which means making sure professionals follow rules that protect consumers. These agencies might be FINRA (Financial Industry Regulatory Authority), the SEC (Security and Exchange Commission), or a related state-level authority. Then search for the person on the agency's website to find out more about them.
- ☐ Any license they hold.
- ☐ What qualification and credentials they have, for example a person might be an accredited financial analyst.
- ☐ What complaints they have on file (if any).