

CADARETGRANT

GENERATING A BROKERCHECK REPORT INSTRUCTIONS

To generate a detailed BrokerCheck report, click on the following link or type the address www.finra.org/brokercheck into your browser. Then, click the "Start Search" button.



1. At the next page, select "Individual" and enter the individual's name or CRD number. Click 'Search'.

2. A search results page will be displayed listing the brokers meeting the search criteria. There may be one or more results depending upon the search criteria entered. Click the 'Details' button to the right of the summary information.

The screenshot shows the FINRA BrokerCheck search results page. At the top, the FINRA logo is on the left, and navigation links for 'FINRA Home', 'About FINRA', and 'N' are on the right. Below this is a blue header with 'Investors' on the left and 'Tools & Calculators' on the right. A red navigation bar contains three buttons: 'Protect Yourself', 'Smart Investing', and 'Market Data'. The main heading is 'BrokerCheck®'. Below this, a blue bar indicates '1 Result' and 'You searched for: Individual: Your Name'. The search results are displayed in a table with columns for 'Your Name', '(CRD# 00000)', 'Broker', and 'Details »'. The first result is 'Your Name' with 'Alternate Names: Other Names Used' and 'CADARET, GRANT & CO., INC. (CRD# 10641)'. A yellow arrow points to the 'Details »' button.

3. Click the 'Accept' box to agree to the Terms & Conditions to progress to the Broker Summary.

The screenshot shows a 'Terms & Conditions' dialog box. The title is 'Terms & Conditions'. The text inside the dialog box reads: '1. FINRA collects, compiles, organizes, indexes, digitally converts and maintains regulatory information from registered persons, member firms, government agencies and other sources and maintains information in the proprietary Central Registration Depository ("CRD®") database and system. FINRA releases such information through FINRA BrokerCheck, which provides information from the CRD system to the investing public. Your access to FINRA BrokerCheck information provided through FINRA's CRD database and system does not transfer any rights in CRD, FINRA BrokerCheck or related technologies to you. 2. Your use of FINRA BrokerCheck information is conditioned upon your acceptance, without modification, of all terms and conditions of this Agreement. Any information accessed, requested or provided through FINRA BrokerCheck must be accessed, requested and used in accordance with the terms and conditions specified in this Agreement.' Below the text, it says 'By clicking Accept, I agree to the above Terms & Conditions.' At the bottom, there are two buttons: 'Accept' and 'Decline'.

4. On the Broker Summary page click 'Get Detailed Report.' The FINRA Web site will generate a PDF document detailing the broker's qualifications, registration and employment history in a separate window or browser tab, depending on your browser settings.

The screenshot shows the FINRA website's 'BrokerCheck' section. At the top, the FINRA logo is on the left, and navigation links for 'FINRA Home', 'About FINRA', and 'News' are on the right. Below this is a blue header with 'Investors' and 'Tools & Calculators'. A red navigation bar contains 'Protect Yourself', 'Smart Investing', and 'Market Data'. A link '« Back to search results' is visible. The main heading is 'BrokerCheck®'. Under the 'Broker Summary' tab, there is a form with 'Your Name' (a text input field), 'CRD# 000000' (a text input field), and two checked radio buttons: 'Broker' and 'No Disclosures'. A red button labeled 'Get Detailed Report »' is to the right of the form. A large yellow arrow points to this button. Below the summary is the 'Experience' section, which shows '16 year(s) in securities industry'. It includes a timeline from 1998 to 2015 with blue bars representing registration history and a legend for 'Disclosure Events' (orange dot) and 'Registration History' (blue dot).

5. The PDF file can be saved to your computer. The report is generally several pages in length and provides details needed to complete the ADV2B Questionnaire.