

## FINRA PUBLIC DISCLOSURE PROGRAM

FINRA's BrokerCheck Hotline provides certain information regarding the disciplinary history of FINRA members and their associated persons in response to written inquiries, electronic inquiries, or telephonic inquiries via FINRA's (1) toll-free telephone listing (1-800-289-9999), or (2) website ([www.finra.org](http://www.finra.org)). Additionally, FINRA has prepared an investor brochure that includes information describing BrokerCheck.

FINRA's BrokerCheck 經紀商查詢熱線提供有關FINRA會員及其相關人士的紀律歷史記錄與某些信息。查詢可通過FINRA的（1）免費電話列表（1-800-289-9999），或（2）網站（[www.finra.org](http://www.finra.org)）。另外，FINRA準備了一份投資者手冊，其中包含描述 BrokerCheck 經紀商查詢的信息。