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[You can use BrokerCheck, a free online tool offered by FINRA, to review a broker's qualifications, registration, and employment history.](#) BrokerCheck also contains a disclosure section with information about customer disputes, disciplinary events, and certain criminal and financial matters on the broker's record.

[How to Spot an Investment Scam | Charles Schwab](#)

[schwab : learn : story : how-to-spot-investment-scam](#)

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[One sign of an unscrupulous broker is if they churn accounts \(trade frequently\) in order to generate commissions for themselves.](#) Also to be avoided are brokers who recommend investments below breakpoints in order to protect their commissions.

[4 Dishonest Broker Tactics and How to Avoid Them - Investopedia](#)

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