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Questions?

If you have questions or are interested in particular topics, let us know. You can email [Compliance Exchange](#) or call us at 1-800-225-7637, opt. 3.

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Notice To Members - BrokerCheck Link Now Required on Registered Representative Websites

On December 7th, 2015, FINRA published [Notice to Members 15-50](#) which will “require each of its member’s websites to include a readily apparent reference and hyperlink to BrokerCheck on: (1) the initial Web page that the member intends to be viewed by retail investors; and (2) any other Web page that includes a professional profile of one or more registered persons who conducts business with retail investors.”

As a result, a link will be required to be apparent on each site by **Monday June 6th 2016**. The BrokerCheck link will be required on the initial landing page and on any page that includes a professional profile (i.e. bio page). It would not be required on any directory or list of registered persons limited to names and contact information.

We have heard from some of our approved Web site vendors that they are looking to assist representatives with the process of adding a link. We **strongly recommend** that you contact your vendor early on in this process for assistance in complying with the regulation. [Contact information can be found here.](#)

Below are some Frequently Asked Questions that will assist you with adhering to the new regulation.

Frequently Asked Questions

Q: What does the BrokerCheck need to look like?

A: FINRA has developed specific guidance to assist you in complying with the regulation including icons, source code, and links that can be used on the website. The guidance can be found by clicking the following link: <http://www.finra.org/industry/rule-2210-brokercheck>.

Q: Is the BrokerCheck link required on email or on my Social Media Pages (i.e. Facebook, LinkedIn, and Twitter)?

A: No, BrokerCheck is not required on your email signature or on Social Media Pages. It is currently a requirement for websites only.

Q: What is meant by “readily apparent”?

A: FINRA has clearly stated that the link cannot be included in the footer of your page. The three factors that FINRA states should be considered are as follows:

3. font color (i.e., whether the font color of the description and hyperlink contrasts or blends in with the website's background).

Although not an exhaustive list, these factors should help member firms and individuals.

Q: Does the link need to point directly to the representative?

A: No. The link simply needs to point to the generic BrokerCheck site. Instructions are provided if you would like to utilize a deep link.

Q: Does the rule apply to websites viewed on a mobile device?

A: Yes, the rule does still apply with respect to mobile device applications.

Q: Will this update to my website require Compliance approval?

A: Compliance will need to approve the change to your website. However, if your website vendor develops an approved enterprise solution, an individual submissions may not be needed.

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Compliance Exchange, December 2015