

**FORM ADV Uniform Application for Investment Adviser Registration**  
**Part 2A: Investment Adviser Brochure**  
**Item 1: Cover Page**

**Westport Capital Markets, LLC**

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CRD # 41562

January 6, 2015

*This brochure provides information about the qualifications and business practices of Westport Capital Markets, LLC and its supervised personnel. If you have any questions about the contents of this brochure, please contact us at the phone number listed above. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority. Please note, where this brochure may use the terms “registered investment adviser” and/or “registered”, registration itself does not imply a certain level of skill or training. Additional information about the firm and its representatives is also available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)*

## Item 2: Material Changes

The purpose of this Item 2 is to disclose material changes that have been made to this Brochure since the last annual update of this Brochure. There have been material changes made to this Brochure since its last annual update dated September 2013.

Item 10 has been amended to disclose that MLV & Company Financial, LLC, minority owner of Westport Capital LLC and FINRA registered broker-dealer, provides investment products to Westport Capital Markets, LLC.

Item 12 has been amended to disclose situations when Westport Capital Markets, LLC will execute transactions in securities offered through MLV.

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## Item 4: Advisory Business

Established in 1996, Westport Capital Markets, LLC (“Westport”) provides portfolio management services on a discretionary basis for a wide variety of client types. The firm also provides financial planning services and pension consulting services. In addition to its registration as a federal covered adviser, the firm is also a FINRA-licensed broker-dealer. Most of the firm’s advisory clients are also brokerage clients. Westport is principally owned by Christopher E. McClure, the firm’s President and CEO, and by MLV & Co Financial LLC.

### Portfolio Management

Pursuant to the initial contact with a client, portfolios are designed and managed according to each client’s specific objectives, their risk profile, and various other considerations. Such portfolios may be invested in stocks, mutual funds, foreign securities, and options, among other offerings. Accounts having met certain risk-based criteria may also participate in initial public offerings<sup>1</sup> and other, similar investments. Clients remain welcome to impose restrictions on the firm with respect to investing in certain types of securities offerings.

In providing portfolio management services, Westport may recommend the use of a third-party asset manager with which Westport has entered into an agreement to provide portfolio management services to certain of Westport’s clients. In this arrangement, Westport consider the client’s specific objectives, risk profile and other considerations to determine the most appropriate manager(s) to manage the client’s assets. Westport will work with the client to complete any forms required by the third-party manager, including suitability forms, and will deliver to the client the third-party manager’s disclosure brochure. Westport will remain the client’s primary contact to address any questions that the client may have with regard to this program. Additional information about these relationships is disclosed under Item 14 of this brochure.

### Financial Planning

Westport provides comprehensive financial planning services tailored to the specific needs of its clients. Clients complete a questionnaire designed to obtain detailed information specific to the client’s financial situation, goals, objectives, risk tolerance and suitability. Using information gathered from the client, Westport prepares a report for each client showing: (1) projection of needed income and (2) investment recommendations designed to meet the client’s specific financial goals.

Westport’s financial planning services do not provide recommendations specific to any particular product, rather, recommendations focus on the product types, such as fixed insurance products or securities products, which should be used to meet the client’s financial goals and objectives. Recommendations made within a financial plan may consider municipal securities, variable life insurance, variable annuities, mutual fund shares, United States governmental securities, fixed annuity insurance products, and other insurance or investment related products.

<sup>1</sup> These offerings are generally presented to those clients deemed accredited investors [Rule 501, regulation D Securities Act (1933)] and may be introduced in partnership with the firm’s brokerage-based business activities. Please see Item 10 for further information.

Implementation of our investment recommendations is solely at the client's discretion. We encourage clients to discuss their completed financial plans and investment recommendations with their legal and tax professionals.

### Pension Consulting

Westport provides pension consulting services to plan sponsors as well as plan participants. Westport's pension consulting services are based on each plan sponsor's specific needs. Westport consults on the administration and participation of qualifying and non-qualifying plans, by conducting investment manager evaluations (search and selection), and monitoring and reporting on plan and manager performance on an ongoing basis. Westport also offers retirement plan vendor requests for proposals and consults and guides sponsors through the complex plan design and related regulatory environment.

### Publication of newsletters

Westport also publishes a newsletter, *Retirement Report*, which provides news and updates for plan sponsors and fiduciaries of defined contribution plans.

Questions regarding the firm, its practices, and its personnel may be directed to the firm's President, Chief Executive Officer and owner, Christopher E. McClure. As of June 30, 2014, Westport managed a total of \$153,298,344 in client assets, all of which are managed on a discretionary basis.

## Item 5: Fees and Compensation

Westport's Portfolio Management services are rendered in consideration of a quarterly management fee which is derived from the value of each client's assets under management. The fee is charged quarterly in advance and is based upon the assets under management as of the first day of each calendar quarter. The fee schedule is as follows:

Assets Under Management	Fee (annually)
\$1 to \$500K	1.50%
\$500K to \$1M	1.25%
\$1M+	1.00%

Pursuant to the terms and conditions of the written agreement, portfolio management fees are automatically deducted from client accounts held at the firm's preferred broker-dealer/qualified custodian of record, JP Morgan Clearing Corp ("JP Morgan"). Clients should note that JP Morgan can and will charge additional fees directly to the client's account in the form of custodial and securities execution costs. Certain mutual fund purchases can carry similar costs to the client's account, as well. These additional costs remain separate and distinct from the fees charged by Westport. Item 12 of this document explains these charges in further detail. Clients are strongly encouraged to discuss the cost of services, the value of their accounts, and any questions therein directly with the firm. Statements reflecting such costs and values are provided by JP Morgan, at a minimum, on a quarterly basis. Clients are encouraged to review these statements in detail.

In certain cases, the firm may charge a fixed fee for its advisory services, including financial planning and pension consulting services. Such fees are subject to negotiation but are generally derived from anticipated level of work to be performed or scope of the project involved. These fees are typically paid in advance and may be subject to automatic fee deduction or invoice.

Some clients are charged fees that may exceed the fee range due to additional services that are provided by the investment adviser to the client that include but are not limited to frequent client meetings and personal financial planning services. All fees for additional services are agreed upon in writing by the client.

All fees remain negotiable, but such negotiation remains at the discretion of the firm. Upon termination of the agreement, fees paid in advance will be prorated to the date of termination and excess refunded to the client. The agreement may not be assigned or transferred without written consent from both parties.

Where the firm is dually registered as an investment adviser and broker-dealer and licensed to sell various forms of insurance, firm personnel may receive additional commission-based compensation for their work on behalf of the firm. Sales of insurance, mutual funds, initial public offerings (to qualified clients), bonds, and other offerings may result in a commission which is paid in addition to the advisory fee. If mutual funds are purchased in an advisory account, the firm may recommend no-load funds or load-waived funds. The firm may reduce its commissions or markups to lower the overall cost to the client and reduce the possibility of a conflict of interest. Receipt of both commission and fee-based compensation create a conflict of interest, as this practice gives the firm and its supervised persons an incentive to recommend products based on the compensation received, rather than on a client's needs. The firm and its supervised persons have a fiduciary obligation to act in the best interest of the firm's clients. Further, clients should note that they are under no obligation to pursue such investment offerings through Westport.

Questions regarding the firm's fees and/or its advisory/brokerage services may be addressed directly with the firm.

## Item 6: Performance-Based Fees and Side-by-Side Management

Due to the nature of its advisory practice, Westport does not charge any performance-based fees or offer any services managed on a side by side basis.

## Item 7: Types of Clients

Westport renders advisory services to individuals, pension/profit sharing plans, and trust accounts. The firm does not impose a minimum financial requirement or other similar type of restriction on clients or their accounts.

## **Item 8: Methods of Analysis, Investment Strategies, and Risk of Loss**

Westport utilizes both fundamental and technical analysis with respect to the management of client accounts. Fundamental analysis incorporates evaluating securities based upon their economic, financial, quantitative/qualitative values and other factors. The primary risk in using fundamental analysis is that while the overall health and position of a company may be good, market conditions may negatively impact the security. Technical analysis involves the analysis of past market data rather than specific company data in determining the recommendations made to clients. Technical analysis may involve the use of charts to identify market patterns and trends which may be based on investor sentiment rather than the fundamentals of the company. The primary risk in using technical analysis is that spotting historical trends may not help to predict such trends in the future. Investment strategy is developed at the onset of each client relationship. Where the majority of accounts are managed on a more conservative basis, some accounts may call for a more balanced approach and require more risk-based investment allocations. As with all investments, investing in securities carries an inherent risk of loss-including loss of principle. Accordingly, clients are encouraged to review these risks prior to investing with Westport. Questions regarding risk and the firm's account management practices may be addressed directly with the firm.

## **Item 9: Disciplinary Information**

In 2006, Westport's broker-dealer business was subject to an administrative censure and fine by FINRA, its principal regulator. FINRA found certain inconsistencies with Westport's municipal securities trade reporting functions. FINRA also found that the firm had failed to maintain a minimum net capital requirement due to an accounting miscalculation. The firm was also cited for its transaction deposit methods. In order to avoid the expense of a protracted legal argument, the firm consented to FINRA's findings. Questions about these findings may be addressed directly with the firm or reviewed in further detail by visiting the SEC's Investment Adviser Public Disclosure (IAPD) website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) or FINRA's Brokercheck website at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck>.

## **Item 10: Other Financial Industry Activities and Affiliations**

As previously stated throughout this brochure, Westport is registered with both the SEC and FINRA as an investment adviser and broker-dealer, respectively. The firm is also licensed to sell various forms of insurance. The firm's brokerage services typically offer corporate equity securities, mutual funds, government securities offerings, variable insurance/annuities, and private placements. Firm personnel, including members of senior management, are involved in a variety of additional business activities, including providing brokerage services as a registered representative of Westport and providing insurance related services as an insurance agent. Such activities may be reviewed in Item 4 of the firm's brochure supplements (Part 2B). Westport is affiliated with MLV & Company Financial, LLC ("MLV"), a FINRA registered broker-dealer that provides investment products to our broker-dealer and registered investment advisor, as more fully described in Item 12 of this brochure. As minority owner of Westport, MLV has the ability to share in the revenues generated by Westport's broker-dealer and advisory business.

Where firm personnel are registered as investment adviser representatives, registered representatives, and insurance agents, they may receive additional income from their involvement in client transactions involving such services. Clients should note that such income can create a conflict of interest, particularly where the representative involved may have a vested interest in selling products that carry a commission or similar type of incentive. In such cases, firm personnel must be prepared to justify the additional cost to the client, and recommendations of such products are only made when in the client's best interests based upon the price, the value, and other similar considerations.

To prevent any unethical activity and in order to promote a fair environment, the firm has developed a Code of Ethics which firm personnel must acknowledge and adhere-to throughout their employment. For further information about the Code of Ethics, please see Item 11.

## **Item 11: Code of Ethics, Participation or Interest in Client Transactions and Personal Trading**

Pursuant to Rule 204A-1 of the Investment Advisers Act, Westport has adopted a Code of Ethics which is designed to reinforce the firm's policy of fairness to clients and their accounts. Where personnel may recommend, purchase, or sell securities for client accounts that they have similarly recommended, purchased, and/or sold for their own accounts, a conflict of interest is created. Accordingly, said personnel must adhere to the Code of Ethics, particularly those portions that govern fair treatment and fiduciary obligations. In no event may Westport personnel place their own interests ahead of those of the firm's clients. Westport's Code of Ethics requires that all client transactions be placed ahead of, and all client interests be considered in advance of, those of Westport and its personnel. It should be noted, as discussed in Item 12 of this brochure, that the firm may use block trades/order aggregation when placing the same order for multiple advisory clients, including orders for firm personnel. In this situation, clients and firm personnel receive the same price for execution; therefore, clients are neither advantaged nor disadvantaged. Clients should also note that the personal trading practices of firm personnel are reviewed to identify and resolve potential conflicts of interest. Firm personnel with access to client accounts are required to acknowledge and adhere-to the Code of Ethics. A copy of the Code will be made available to any client, prospective or otherwise, upon request.

## **Item 12: Brokerage Practices**

Westport recommends that advisory clients hold their accounts and place transactions through Westport, with JP Morgan as clearing firm, in Westport's capacity as a broker-dealer; however, as discussed further below, clients may direct Westport to use a brokerage firm other than Westport. When executing through Westport/JP Morgan, advisory clients who are charged advisory fees may also incur transaction and other expenses in the execution of securities transactions. As noted in Item 5 above, the firm may reduce its commissions or markups to lower the overall cost to the client and reduce the possibility of a conflict of interest.

As part of its fiduciary duty to clients, Westport must seek the best execution available for client accounts and the transactions made therein. Westport conducts periodic reviews of its trading practices to ensure clients are receiving best execution. Such reviews consider not only pricing and execution, but also speed, the inherent nature of the security at hand, and the availability of same. Westport may also review firm reputation, experience, and availability of related services in determining best execution. The firm's recommendation of Westport as broker-dealer provides

convenience to both the firm and the client; however, the firm and its personnel may benefit financially if such recommendations are accepted by the client.

Accordingly, this arrangement creates a conflict of interest and clients should note that the services rendered by Westport as broker-dealer, and JP Morgan as clearing firm, may cost more or less than similar services rendered by other brokerage firms.

Not all advisers recommend the use of a particular broker. At the client's suggestion, the firm will not object to directing brokerage to another broker-dealer. Clients should note, however, that such decisions could incur greater cost to their accounts, as Westport may not be able to attain the most favorable execution for the client and the client may pay higher commissions as the firm may not be able to aggregate orders to reduce transaction costs.

In placing indications of interest for securities offered, when Westport's affiliate, MLV & Company Financial, LLC ("MLV"), is participating in the offering, unless otherwise directed by the client, Westport will execute transactions in the securities offered through MLV. Westport does not receive any direct or indirect benefit when placing transactions through MLV.

Westport will often combine orders into block trades to reduce commission and execution pricing. Allocations of such trades are performed in a timely and efficient order to ensure fairness to each account participating in the trade. Each account will then receive the same execution price (average share price) for the securities sold/purchased during that period (daily). In certain cases, orders may not filled within the given time period. However such orders are actively traded until the entire trade is completed, which may take several days. Clients should note that the timing of such trades may place a secondary role in consideration of the overall price afforded to those participating accounts. Westport does not participate in any soft dollar arrangements.

### **Item 13: Review of Accounts**

Accounts are subject to regular review on an ongoing basis by Westport's President and CEO, who reviews account performance and asset allocation, as well as suitability. More frequent review may be necessary to adjust for market changes or overall stability. Brokerage account statements are delivered on a quarterly basis (at a minimum) by JP Morgan. Clients will receive other supporting documentation from others involved with client accounts including mutual funds issuers and others sponsors or underwriters (where applicable). Questions related to client accounts and supporting documentation may be directed to the firm.

### **Item 14: Client Referrals and Other Compensation**

Westport has entered into agreements with three unaffiliated investment advisers who manage limited partnerships. Through these arrangements, an investment adviser representative of Westport may solicit clients to invest in one of the offerings managed by one of these investment advisers. The investment adviser representative of Westport determines whether the client may be a suitable candidate for investment and is responsible for ensuring that the client qualifies to invest under applicable regulations. The investment adviser representative of Westport will also deliver to, and receive acknowledgement of receipt from, the investor the unaffiliated investment adviser's disclosure brochure, a solicitors disclosure statement, and other documents required by the agreement and by applicable regulations, including, but not limited to Rule 206(4)-3 of the Investment Advisers Act of 1940. Westport receives a solicitor's fee for these referrals.

Westport does not compensate others for client referrals.

### **Item 15: Custody**

The firm does not maintain or accept custody of client funds or securities. All accounts are held in the custody of JP Morgan and/or similar custodians and subject to regular audit and inspection by appropriate parties.

### **Item 16: Investment Discretion**

Westport maintains the authority to direct brokerage to a preferred broker-dealer (currently JP Morgan). Such authority also extends to making decisions regarding the type and amount of securities to be bought and/or sold for a client's account. In certain cases, the firm also maintains the authority to negotiate the commission rates paid on transactions. Discretionary authority is granted via the execution of the advisory agreement and authorized only upon full disclosure to the client. Any and all trades made on behalf of a client are made in accordance with the client's stated investment objectives and goals.

### **Item 17: Voting Client Securities**

Westport does not vote proxies for securities held in client accounts. All proxies are directed to clients by the broker-dealer or transfer agent of record. Questions regarding such actions may be addressed directly with the firm.

### **Item 18: Financial Information**

Although Westport requires payment of fees in advance for services, such payments would not serve as a retainer for services. The firm does not require prepayment of fees for services six (6) months or more in advance of such services. Further the firm does not maintain any financial hardships or other similar financial issues that might prevent the firm from meeting its contractual agreements with clients. The firm has not been the subject of any bankruptcy or other similar proceeding within the past ten (10) years. Questions related to the financial status of the firm may be directed to senior management.

**FORM ADV Uniform Application for Investment Adviser Registration**  
**Part 2B: Brochure Supplements**  
**Investment Adviser Representatives and/or Supervised Persons: Supplemental information**  
**Item 1: Cover Page**

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***Christopher E. McClure***, President/Chief Executive Officer/Chief Compliance Officer  
***Robert C. Batick, Jr.***, Representative\*  
***Robert P. Noonan***, Representative  
***Eric E. Lawton***, Senior Financial Advisor  
***Frank J. Fava***, Senior Financial Advisor

CRD # 41562

September 24, 2014

*\*Mr. Batick is located at the firm's Whitfield, CT office at 99 Whitfield St, Unit 10, Guilford, CT 06437. Phone number (203) 689-5584.*

*This brochure supplement provides information about the qualifications and business practices of the supervised personnel named above. This information is provided as a supplement to the Form ADV Part 2A which has been provided for your review. Should you have any questions about this supplement, or if you have not received the Form ADV Part 2A please contact the firm immediately. The information in this brochure supplement has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority. Please note, where this brochure supplement may use the terms "registered investment adviser" and/or "registered", registration itself does not imply a certain level of skill or training. Additional information about the firm and its representatives is also available on the SEC's Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)*



## Item 2: Educational Background and Business Experience

**Christopher E. McClure, President/CEO/CCO:** In addition to serving as President and CEO, Mr. McClure (born 1965) serves as Chief Compliance Officer and Chief Financial Officer. Prior to joining Westport in 2001, Mr. McClure was a First Vice President with Prudential Securities from 1997 to 2001. He has also held Financial Consultant positions with Merrill Lynch Pierce Fenner & Smith and Shearson Lehman Brothers. Mr. McClure began his investment career in 1987 with U.S. Trust Co. He graduated from Providence College with a BS degree in finance.

**Robert C. Batick, Jr. Representative:** Prior to joining Westport in June 2011, Mr. Batick (born 1968) was a financial consultant with RBC Capital Markets from 2005 to 2011. Prior to this, he was a broker with Salomon Smith Barney. Mr. Batick is a graduate of Yale University.

**Robert P. Noonan, Representative:** Prior to joining Westport in June of 2010, Mr. Noonan (born 1943) served as a financial advisor with Bengal Partners. He has served in various roles throughout his thirty (30) year career with Merrill Lynch, Chase Securities, and Hambrecht & Quist. He is a graduate of Bucknell University with BA in philosophy.

**Eric E. Lawton, Senior Financial Advisor:** Mr. Lawton (born 1975) joined Westport Capital Markets, LLC in November of 2013 specializing in portfolio/asset management and wealth planning strategies. Prior to joining the firm, Mr. Lawton was a Vice President of Investments at Merrill Lynch. He also held Financial Advisor positions at Prudential Securities and Legg Mason Wood Walker. Mr. Lawton began his investment career in 1998 after graduating from Manhattanville College with a BA in Finance and Economics with a minor in Philosophy.

**Frank J. Fava, Senior Financial Advisor:** Prior to joining Westport in July 2014, Mr. Fava (born 1968) was a registered representative of LPL Financial from 2011-2014. Prior to that time Mr. Fava held financial advisory positions at Morgan Stanley, Smith Barney and UBS. He attended William Paterson University in Wayne State, NJ.

## Item 3: Disciplinary Information

None of the Investment Advisor Representatives are subject to any disciplinary history responsive to this item at this time.

## Items 4 & 5: Other Business Activity & Additional Compensation

**Christopher E. McClure, President/CEO/CCO:** In addition to his advisory duties, Mr. McClure is also a registered representative and a licensed insurance agent of Westport Capital Markets, LLC. In his capacity as a registered representative, Mr. McClure receives commission on the sale of securities products. In his capacity as an insurance agent, Mr. McClure receives compensation for the sale of insurance products.

**Robert C. Batick, Jr. Representative:** Mr. Batick also serves as President of Whitfield Wealth Management, LLC and Whitfield Retirement Services, LLC. Both of these entities serve as other business names through which Mr. Batick offers Westport's advisory services. Mr. Batick is also a licensed insurance agent of Westport Capital Markets, LLC. In his capacity as an insurance agent, Mr. Batick receives compensation for the sale of insurance products.

**Robert P. Noonan, Representative:** Mr. Noonan may refer clients to third-party investment advisers who manage limited partnerships. Mr. Noonan receives solicitor fees for these referrals. Please refer to Item 14 of Form ADV Part 2A for additional information.

**Eric E. Lawton, Senior Financial Advisor:** In addition to his advisory duties, Mr. Lawton is also a registered representative and licensed insurance agent of Westport Capital Markets, LLC. In his capacity as a registered representative, Mr. Lawton receives commission on the sale of securities products. In his capacity as an insurance agent, Mr. Lawton receives compensation for the sale of insurance products. Mr. Lawton is sole partner in 53 Parmalee Hill LLC, a rental property since 04/2004.

**Frank J. Fava, Senior Financial Advisor:** Mr. Fava also serves as Managing Director of FAVA Wealth Management. This entity serves as another business name through which Mr. Fava offers Westport Advisory Services. Mr. Fava is also a registered representative of Westport Capital Markets LLC. In his capacity as a registered representative, Mr. Fava receives commissions on the sales of securities products.

The sales practices of the firm's representatives who also serve as registered representatives and/or licensed insurance agents of Westport Capital Markets, LLC give these representatives an incentive to recommend investment products based on the compensation received, rather than on the client's needs. All investment adviser representatives of Westport Capital Markets, LLC have a fiduciary duty to act in the best interest of the firm's clients.

## Item 6: Supervision

Firm President Christopher McClure remains responsible for the supervision and oversight of all aspects of firm business. This extends to monitoring trading activity, performance, and suitability as well as reviewing communications with clients and enforcing firm policies. Questions regarding firm personnel and their activities may be addressed directly with Mr. McClure. For further review of firm personnel, please visit the SEC's Investment Adviser Public Disclosure website; [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) or FINRA's Brokercheck website; <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck>.