

Did you know? Securities are

1

**Regulated
at the
State Level**

2

**Regulated at
the Federal
Level**

3

**Exempt
from
Registration**



What is the purpose of requiring the registration of securities products and financial professionals?

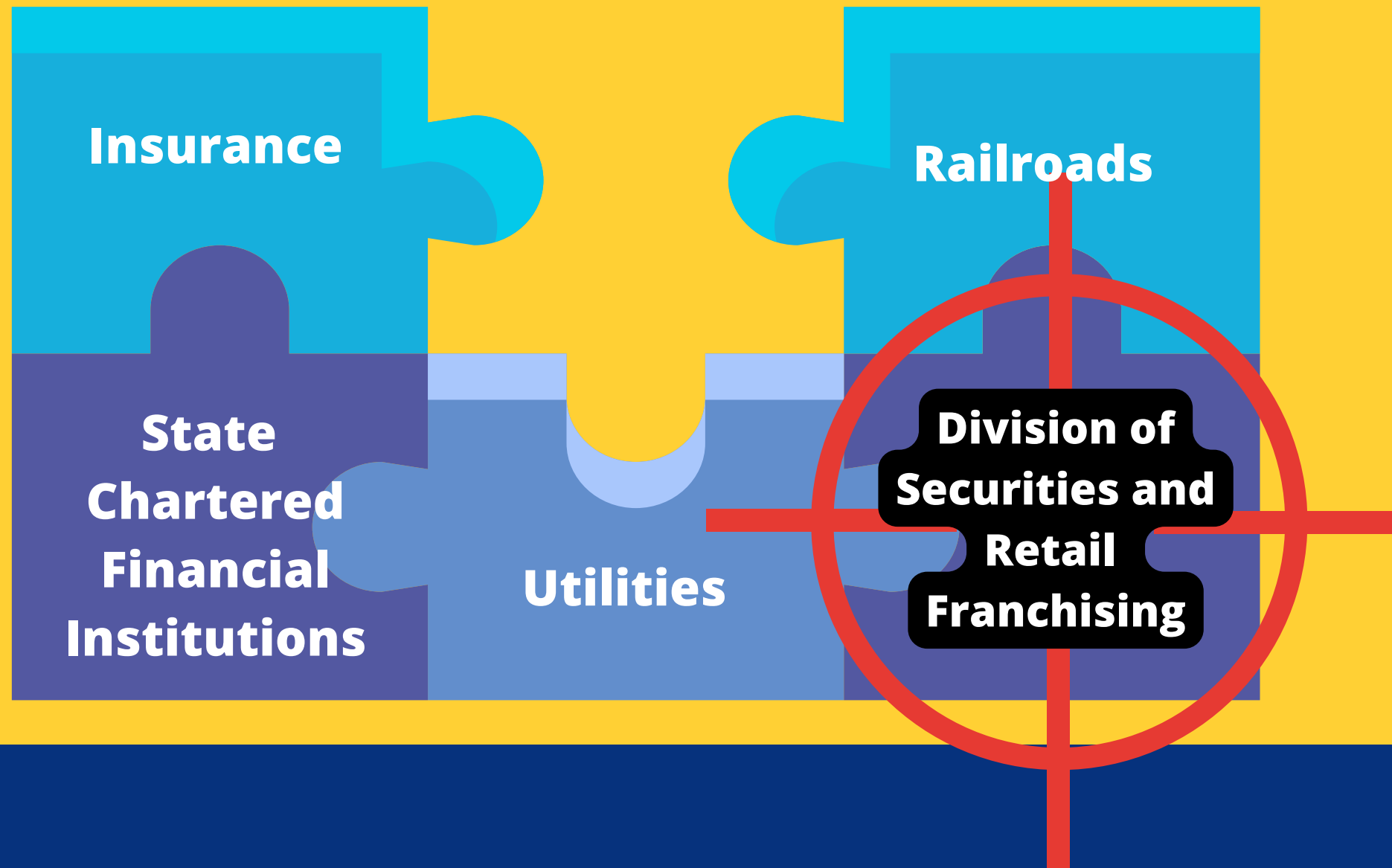
**Everyone in America counts on Fair
Financial Markets**

Know your Investor Advocates!



State Corporation Commission

a/k/a "SCC"
or
"Commission"



Division of Securities and Retail Franchising

The major thrust of the Division's activities is to protect Virginia investors and to promote fair financial markets via:

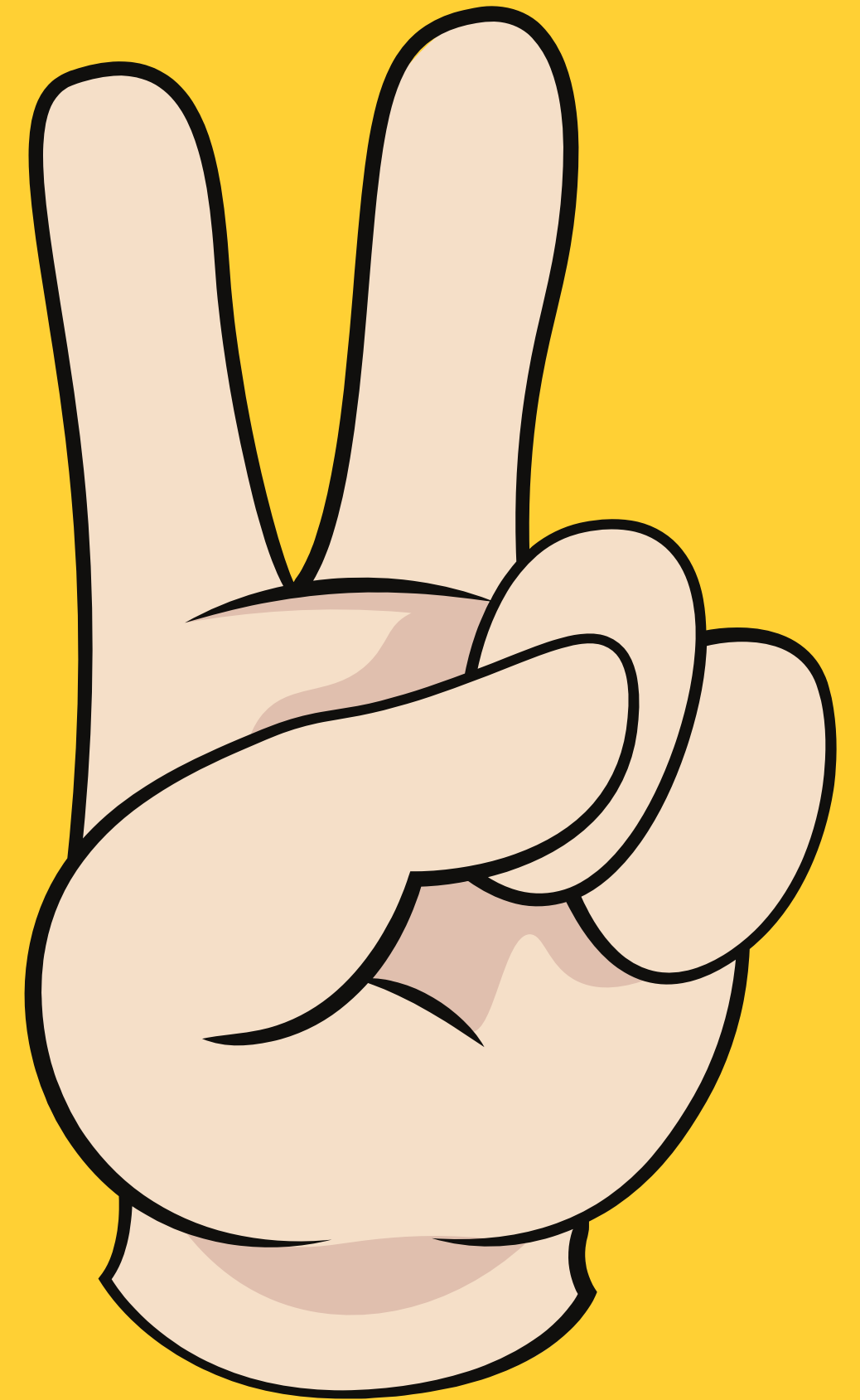
- Registration
- Compliance
- Enforcement
- Outreach



What are Securities?



Know the Red Flags!



Investment Red flags



A. If it sounds too good to be truth...



B. Guaranteed returns aren't



C. Beware the “halo” effect: Finfluencers



D. FOMO: Cryptocurrency

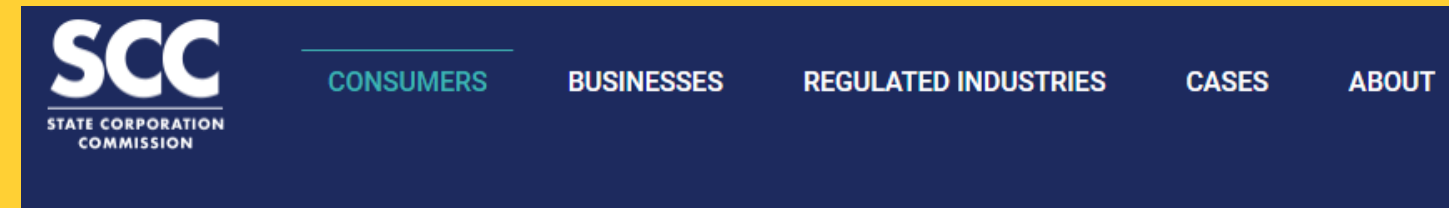


E. High pressure tactics

Do your Homework!



Contact us!



COVID-19 Update: The SCC building is open to the public, including the Commission courtrooms and for in-person Office of the Clerk is open for limited desk service from 8:30 to 10:30 a.m. Monday through Friday.

Home > Investments >

Investments

CHECK REGISTRATION STATUS

Access information about investment advisors, brokers, broker-dealers and agents, investment firms and individuals, securities or franchises registered for sale, and trademarks and service marks registered in Virginia.

Search



Check their registration status!

Broker Dealer Firms/Investment Advisor Firms

Filter By:

Firm Name:

Enter filter value

VA File Number:

CRD Number:

http://



Check their registration status!

BrokerCheck by FINRA

INDIVIDUAL FIRM

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Refine Results

We found 3 results 1 of 1 page List View

- CHARLES SCHWAB & CO., INC.**
(CHARLES SCHWAB & CO., INC.)
CRD#: 5393/SEC#: 801-29938,8-16514
- CHARLES SCHWAB INVESTMENT ADVISORY, INC**
(CHARLES SCHWAB INVESTMENT ADVISORY, INC...)
CRD#: 151739/SEC#: 801-70737
- CHARLES SCHWAB INVESTMENT MANAGEMENT, INC**
(CHARLES SCHWAB INVESTMENT MANAGEMENT, INC...)
CRD#: 106753/SEC#: 801-35905



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< Back to Results Detailed Report Share

CHARLES SCHWAB & CO., INC.
CHARLES SCHWAB & CO., INC.
CRD#: 5393/SEC#: 801-29938,8-16514

MAIN ADDRESS
211 MAIN STREET
SAN FRANCISCO, CA 94105 UNITED STATES

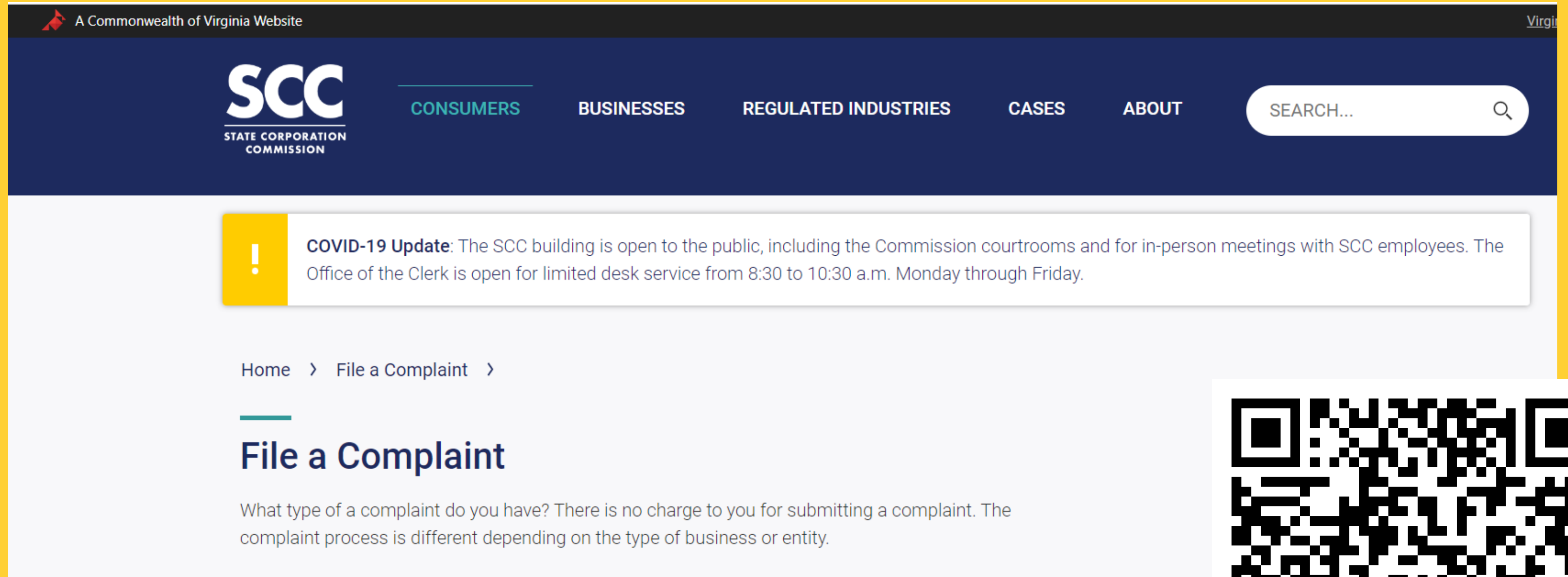
Relationship Summary

- 293 Disclosures
- Approved 06/13/1971
SEC Registration Status
- Corporation
Company Type
- SEC
4 Self-Regulatory Orgs
53 U.S. States & Territories

Report any suspected fraud!



Report it! File a Complaint online




A Commonwealth of Virginia Website

Virgi

SCC
STATE CORPORATION
COMMISSION

[CONSUMERS](#) [BUSINESSES](#) [REGULATED INDUSTRIES](#) [CASES](#) [ABOUT](#)

SEARCH... 

! **COVID-19 Update:** The SCC building is open to the public, including the Commission courtrooms and for in-person meetings with SCC employees. The Office of the Clerk is open for limited desk service from 8:30 to 10:30 a.m. Monday through Friday.

Home > [File a Complaint](#) >

File a Complaint


What type of a complaint do you have? There is no charge to you for submitting a complaint. The complaint process is different depending on the type of business or entity.

Or Call Us: (804) 371-9051



The next time you are considering an investment...

Wear your Police Officer Hat!

1. License and **Registration**
2. Verify 
3. Call us if anything sounds suspicious



Resources

\$afe Online Crui\$ing

DIVISION OF SECURITIES
AND RETAIL FRANCHISING
SCC

(804) 371-9051

Resources



SCC Commonwealth of Virginia
STATE CORPORATION COMMISSION



Look up the registration status of a financial professional



Investment Adviser Public Disclosure

Look up an Investment Advisor Firm or Representative



Contact the Division or file a complaint



Virginia Department of Agriculture and Consumer Services
Office of Charitable and Regulatory Programs

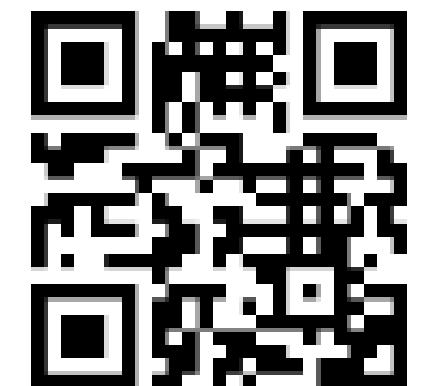
To look up a Charity in Virginia:



To report fraud to the Federal Trade Commission:



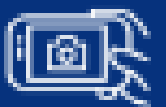
REPORT Internet Fraud to the FBI's Internet Crime Complaint Center: IC3.gov



Staying safe is as easy as taking a picture!



Staying safe is as easy as taking a picture!



Resources

Crypto Celebrity Endorsements:



Meme Stocks:



The HoweyTrade Investment Program Explained

There are a lot of fraudulent investment promotions – like the fake HoweyTrade Program – trying to con you. Watch this video showing investors what real scams can look like.





*you
Got
this*

Questions?

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Principal T&O Coordinator

State Corporation Commission

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