

Broker Comment Request Form

Individuals who currently are **not** registered with FINRA or a national securities exchange, or as an investment adviser representative, but for whom a BrokerCheck report is available, may submit a Broker Comment Request Form to provide an update or add context to information that is disclosed through BrokerCheck. **An individual should submit a comment as they would like it to appear on their BrokerCheck report.** FINRA reserves the right to reject or redact comments that it deems inappropriate.

Individuals who are currently registered and wish to provide an update or context to information that is disclosed through BrokerCheck are required to file an amended Form U4. Individuals who have submitted a Broker Comment, and who later become registered with FINRA or a national securities exchange, or as an investment adviser representative, may provide the updated information through the submission of a Form U4 as the Broker Comment will no longer be displayed through BrokerCheck.

All information must be completed in its entirety and this Request Form must be signed. Please attach a copy of the BrokerCheck report to be updated with the applicable sections clearly circled or highlighted. Please note that the total amount of information provided on the Broker Comment Request Form cannot exceed 4,000 characters. FINRA will not process any Broker Comment Request Form that does not meet all of the FINRA-required criteria. If you have more updates than space permits, please submit additional signed copies of this form.

SECTION 1

First Name:	Middle Initial:	Last Name:
Address:	City:	State: Zip code:
Phone Number:		Individual CRD Number:

SECTION 2

Please update/clarify the following section(s) of my BrokerCheck report (check all that apply and provide your comment(s) in the appropriate section(s) below):

- ☐ Broker Qualifications
- ☐ Registration
- ☐ Employment History
- ☐ Other Business/Affiliations
- ☐ Disclosure Information

Broker Qualifications

Registration

Employment History

Other Business/Affiliations

Disclosure Information

Disclosure Type:

Disclosure Number:

of

Page on BrokerCheck Report:

SECTION 3

I understand that (1) FINRA will review my request and add a comment to my BrokerCheck report if FINRA determines the request is appropriate; (2) FINRA reserves the right to reject or redact a comment that it deems to be inappropriate; (3) FINRA will not accept any comments that contain confidential customer information, offensive or potentially defamatory language or information that raises significant identity theft, personal safety or privacy concerns; (4) my comment will be displayed as long as I am not currently registered and my report is available through BrokerCheck; (5) while my report is available through BrokerCheck, I can replace or delete any comment by submitting a new Broker Comment Request Form; and (6) If I become registered with FINRA or a national securities exchange, or as an investment adviser representative, my comment no longer will display through BrokerCheck. FINRA will retain a record of the comment and may make it available to regulators upon request.

I further understand that FINRA will consider any Broker Comment to be a communication to FINRA and, as such, to be conduct covered by FINRA Rule 2010, which requires members to observe just and equitable principles of trade and high standards of commercial honor. Accordingly, FINRA will consider disciplinary action against an individual who, for example, willfully makes a false or misleading statement in a Broker Comment.

I swear or affirm that I have read and understand the items and instructions on this form and that the information I have provided is true and complete to the best of my knowledge. I understand that I may be subject to administrative, civil or criminal penalties if I provide false or misleading information.

Signature: _____ Date: _____

Print Name: _____
(Please print clearly)

Broker Comment Checklist:

To ensure timely processing of your request, please check the following:

- Applicable sections of the BrokerCheck report are clearly circled or highlighted.
- All items on this form are complete.

Broker Comments generally will be posted to BrokerCheck within 30 business days after receipt and review of completed form and attachments.

Please email this signed form along with the applicable pages of your BrokerCheck report to:
BrokerCheckDispComm@finra.org

Questions: Call FINRA's Gateway Call Center at (301) 590-6500