

## Broker Comment Request Form

Individuals who currently are **not** registered, 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, 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 and notarized. 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 and notarized 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

Broker Qualifications Comment:

## Registration

Registration Comment:

## Employment History

Employment History Comment:

## Other Business/Affiliations

Other Business/Affiliations Comment:

## Disclosure Information

Disclosure Type:

Disclosure Number:

of

Page Number on BrokerCheck Report:

Disclosure Comment:

Disclosure Type:

Disclosure Number:

of

Page Number on BrokerCheck Report:

Disclosure Comment:

## SECTION 3

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.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

State of \_\_\_\_\_ )  
 )ss.  
County of \_\_\_\_\_ )

(SEAL)

(Signature)

(Name – typed, stamped, or printed)

Notary Public for \_\_\_\_\_  
My Commission Expires: \_\_\_\_\_

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

- Please email this signed and notarized 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