

I would like to see three types of additional information available on brokercheck.

First, to my understanding, with respect to customer complaints against broker-dealers, only concluded arbitrations are available under the disclosure section. That should be changed to include pending customer complaints and pending arbitration proceedings as well.

Second, the name and address of the attorney prosecuting any customer complaints or arbitration proceedings, for both brokers and broker-dealers, should be made available.

Third, ownership information pertaining to broker-dealers should reflect the actual owners, not some maze of corporate subsidiaries.

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