

Via Email Only
pubcom@finra.org

Ms. Marcia E. Asquith
Office of the Corporate Secretary
FINRA
1735 K Street, NW
Washington, D.C. 20006-1506

Re: Regulatory Notice 12-10, FINRA BrokerCheck

Dear Ms. Asquith:

I am an attorney in San Francisco, CA, with a practice almost exclusively representing the victims of the securities industry, and I often use BrokerCheck. Disclosing more information about brokers can only help the investing public. In this day and age, most of us have come to realize that transparency in general is a good thing. With respect to finding out information about your financial adviser, the pros of as much additional information as possible about a broker will clearly outweigh any perceived cons that the securities industry has. Determining a broker's background, including test scores, education, complaint history, disciplinary history and work history, will help the public choose brokers that are best suited for them. Any arbitrary time limitations on supplying this information would only detract from the needed transparency.

Enhancing the amount of information about brokers and brokerage firms on BrokerCheck will only improve this service, and make it more likely that the public will use it and benefit from it. Allowing third parties to access this information may also make this information more widely available to the public, and may also help people to understand and distill the information contained on BrokerCheck, which may also prove to be a significant benefit to the investing public. It is difficult to see a downside to such access.

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