

Marcia E.Asquith
Office of the Corporate Secretary
FINRA
1735 K Street,NW
Washington,DC 2006-1506

Ms.Asquith,

Thank you for the opportunity to offer my comments on Ways to Facilitate and Increase Investor Use of BrokerCheck Information.

Let me start by stating the key is to facilitate and increase Investor use of BrokerCheck,not facilitate use of third parties who will then sell the information.FINRA's current practice of prohibiting an individual(or business) from using BrokerCheck information for anything other than that individual's own personal or professional use is good. The point is to help Investors,not For Profit firms such as Intellius,Lexis-Nexis,Experion,Trans Union and others.

I support the ideas of adding the ability to search by zip code or other indicator of location and adding educational content.

I am against unifying the searches with IAPD if the result is a "back door" method to automate data collection by third parties.

I believe the current format and information is sufficient for an Investor. The educational background and designations of a Registered Representative can be verified through the granting Institutions.

I don't believe that the test scores are meaningful and don't know what my scores from 1983 are.

Linking to some organizations may be helpful but not for firms such as AARP which have products to sell and resulting conflicts of interest.

I am against FINRA making BrokerCheck information available in general search engines.

I have been involved in a divorce where my reputation and business were deliberately trashed and believe that great mischief can be done with information in general search engines.We as Registered Representatives can't use testimonials and must be compliant in our advertising and it would be difficult to counter mischief in a compliant fashion. There must be a balance between Investor Education and the Common Law privacy rights and reputations of Registered Representatives.

Currently there is context for the Disclosures on BrokerCheck. Disclosure information taken out of context can be harmful to Registered Representatives. I fully agree that "Rogue Brokers" must be exposed and stopped. many "accusations" and customer complaints are spurious, unfounded and thus harmful to Registered Representatives. My hope is that you view Registered Representatives as the Industry Representatives closest to the client and thus afford us due regard and consideration.

Thanks again for taking my comments.

Sincerely,

Tony Ristaino
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