

Thank you for the opportunity to comment on the proposed Broker Check expansion.

With regard to expanding Broker Check to include professional designations, while I have no objection to posting the information, I am concerned that the information will not be kept current. Further, this will put an additional burden on firms to not only maintain records on securities industry continuing education, but will require them to ensure a rep meets requirements of other organizations as well. I believe this is an unfair burden on firms.

With regard to the releasing of historical examination information, I do not feel this would serve any purpose whatsoever. I believe that the fact that a representative has qualified by passing the appropriate examinations is sufficient. The scores received on the examinations have zero relevance on an individuals ability to do their job and do it well.

While I realize that there is a push from other regulatory bodies to increase the information given to investors, I would also point out that we, as an industry, give out more information about our professionals than any other industry in the country. I would prefer time be spent on how to make the information more meaningful. For instance, many individuals have disclosures on their record which were later determined to be unfounded. There should be a way to have these complaints and disclosures removed from their record. At the very least, these disclosures should be separated (even more clearly than they currently are) and CLEARLY delineated at unfounded disclosures.

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