

As an advisor who was unfairly saddled with a client's non-investment related complaint that was added to my record and never removed even though settled (it was settled as advised by my B/D at the time to avoid any legal fees – even though the legal counsel and they agreed the complaint was bogus)

I am still stinging from the fact that 10 years later, this is still on my record and that there is now consideration to permanently prevent the fair removal of meritless claims that are over a year old.

Please note my complaint that making it even harder for those who may be falsely accused without any recourse is a travesty and that FINRA has an obligation to protect both the consumer and the advisor equally....

Scott

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