

IA Comment Request Form

Individuals who currently are **not** registered as an Investment Adviser Representative (IAR), or with FINRA or a national securities exchange, but for whom an Investment Adviser Public Disclosure (IAPD) report is available, may submit an Investment Adviser (IA) Comment Request Form to provide an update or add context to information that is disclosed through IAPD. **An individual should submit a comment as they would like it to appear on their IAPD report.** FINRA, in consultation with state regulators, reserves the right to reject comments or redact certain information, on a case-by-case basis, that it deems to be inappropriate.

Individuals who are currently registered and wish to provide an update or add context to information that is disclosed through IAPD are required to file an amended Form U4. Individuals not currently registered who have submitted an IA Comment, and who later become registered as an IAR, or with FINRA or a national securities exchange, may provide the updated information through the submission of a Form U4 as the IA Comment will no longer be displayed through IAPD.

All information must be completed in its entirety and this Request Form must be signed and notarized. Please attach a copy of the IAPD report to be updated with the applicable section clearly circled or highlighted. Please note that the total amount of information provided on the IA Comment Request Form cannot exceed 4,000 characters. FINRA will not process any IA Comment Request Form that does not meet all of the herein required criteria as developed in consultation with state regulators. If you have more updates than space permits, please submit additional signed and notarized copies of this form.

SECTION 1

First Name:	Middle Initial:	Last Name:	
Address:	City:	State:	Zip Code:
Individual CRD#:		Phone Number:	

SECTION 2

Please update/clarify the following section(s) of my IAPD report (check all that apply and provide your comment(s) in the appropriate section(s) below):

- ☐ Qualifications
- ☐ Registration
- ☐ Employment History
- ☐ Other Business/Affiliations
- ☐ Disclosure Information

Qualifications

Qualifications Comment:

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Registration

Registration Comment:

Employment History

Employment History Comment:

Other Business/Affiliations

Other Business/Affiliations Comment:

Disclosure Information

Disclosure Type:

Disclosure Number:

of

Page Number on IAPD Report:

Disclosure Comment:

Disclosure Type:

Disclosure Number:

of

Page Number on IAPD Report:

Disclosure Comment:

SECTION 3

I understand that (1) FINRA will review my request and enter the comment(s) to my IAPD report if FINRA, in consultation with state regulators, determines the request is appropriate; (2) FINRA reserves the right to reject comments or redact information, on a case-by-case basis, that it deems inappropriate; (3) FINRA will not post comments that contain confidential customer information, offensive or potentially defamatory language or information that raises significant identity theft, personal safety or privacy concerns; (4) the IA Comment(s) that are posted will remain available through IAPD as long as I am not currently registered and the report is available through IAPD; (5) I will be able to replace or delete the comment via the IA Comment Request Form as long as my report is available through IAPD; and (6) If I become registered as an IAR, or with FINRA or a national securities exchange, the comment(s) will no longer display through IAPD. FINRA will retain a record of the comment and may make it available to regulators upon request.

I further understand that filing an IA Comment will be considered a communication to a regulator and, as such, will be subject to the regulations of any state in which I may be licensed. I understand that any such regulator could initiate disciplinary proceedings against me if, for example, I willfully make a false or misleading statement in an IA Comment.

I swear or affirm that I have read and understand the items and instructions on this form and that the information I have provided is true and complete to the best of my knowledge. I understand that I am subject to administrative, civil or criminal penalties if I provide false or misleading information.

Signature: _____ Date: _____

Print Name: _____
(Please print clearly)

State of _____)
)ss.
County of _____)

Sworn to and acknowledged before me on this the ____ day of _____, 20__.

(SEAL)

(Signature)

(Name typed, stamped, or printed)

Notary Public for _____
My Commission Expires: _____

IA Comment Checklist:

To ensure timely processing of your request, please check the following:

- ☐ Applicable sections of the IAPD report are clearly circled or highlighted.
- ☐ All items on this form are complete.
- ☐ This form is signed and notarized.

IA Comments generally will be posted to IAPD within 30 business days after receipt and review of completed form and attachments.

Please email this signed and notarized form along with the applicable pages of your IAPD report to:
BrokerCheckDispComm@finra.org or you may submit via USPS to:

FINRA
Registration and Disclosure/Regulatory Services and Operations
ATTN: BrokerCheck Disputes/Comments
9509 Key West Avenue – 3rd Fl
Rockville, Maryland 20850-3329

Questions: Call the IARD Call Center at (240) 386-4848