

To whom it may concern:

I believe that if a complaint winds up as a FINRA violation then the complaint and resulting damages asserted by FINRA should be posted to the U-4. Moreover, if the party has more than one complaint even if it does not result in a penalty should be posted to the U-4. If the FINRA rep is clean for 5 years after the last complaint with FINRA asserted damages or complaints with FINRA asserted damages should be lifted from the U-4.