ILLUSTRATIVE SCENARIO

# Professional visibility after a FINRA matter

Current, verified professional information alongside official disclosures



Illustration

### The situation

In this scenario, a financial advisor faces continuing search visibility from a FINRA disciplinary matter. Prospects encounter the issue before current professional information. The advisor needs accurate context and a plan coordinated with the firm's compliance reviewer.

### The approach

**1. Separate the sources**
Distinguish official disclosures from third party reporting, outdated biographies and unrelated results. Verify current professional status.

**2. Strengthen accurate information**
Prepare current biographical, credential and service information for compliance review, including required links or disclosures.

**3. Review and monitor**
Assess source specific correction options where justified. Track agreed name searches and the accuracy of the advisor's public profiles.

**EXAMPLE FOCUS**

## Current status

Verify professional information

## Compliance review

Use the firm's designated reviewer

## Official records

Keep disclosures distinct from search work

**PRACTICAL DELIVERABLE**

A source assessment and a professional content plan reviewed by the firm's compliance contact.

### How success would be measured

Measure the accuracy and visibility of approved professional information against a documented baseline. Official disclosures remain part of the record. Reputation work does not change a regulatory finding or provide expungement.

## Review financial advisor search results

Share a general description and public links so we can assess the concern.

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