

**From:** [Alex Roberts](#)  
**To:** [NASAA Comments](#); [Theresa Leets](#); [bill.beatty@dfi.wa.gov](mailto:bill.beatty@dfi.wa.gov); [Erin Houston](#)  
**Cc:** [Jeff Elgin](#)  
**Subject:** [EXTERNAL]NASAA Model Franchise Broker Act Comments  
**Date:** Wednesday, August 27, 2025 3:24:25 PM

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Dear Project Group Members,

I have worked in the franchise industry for 23 years, helping hundreds of individuals explore franchise ownership opportunities and guiding them toward brands that fit their skills, goals, and resources. Over this time, I've seen firsthand the value of providing prospective franchisees with education, experience, and introductions. I appreciate the opportunity to share my concerns regarding the proposed NASAA Model Franchise Broker Act.

**1. Definition of “Franchise Broker” Is Overly Broad**

The current definition is problematic in that it captures entities like my own, which are *not* engaged in the franchise sales process. My role, and that of others like me, is as a lead generator—we introduce prospects to franchisors, but the sales process itself is carried out entirely by the franchisor's staff or their authorized representatives. Our work is no different in nature from lead-generation websites (IFA, Entrepreneur.com) or platforms like LinkedIn and Facebook. Including us in the definition of “franchise sellers” is inaccurate and would create unintended consequences that harm both franchisors and candidates.

**2. New Regulation Is Unnecessary and Burdensome**

For those actually engaged in the sales process, the proposed Act duplicates rules already in place at both the federal and state level. The additional registration and compliance requirements would be costly and burdensome, especially for small operators. Many of us operate across multiple states with multiple brands, and the patchwork of potential state rules would create compliance confusion and unreasonable costs that could drive legitimate operators out of business.

**3. Regulation Should Remain at the Federal Level**

Allowing individual states to create their own rules and fees related to this disclosure process introduces unnecessary complexity. If further regulation is deemed necessary, it should be implemented uniformly at the federal level through the FTC, rather than creating a patchwork system that is inconsistent, confusing, and detrimental to the franchising community.

In summary, while I support efforts to protect prospective franchisees and ensure transparency, the proposed Act goes too far, capturing entities never intended to be included, duplicating existing oversight, and creating undue administrative burden. A more effective

solution would be to enforce existing rules against fraud and misrepresentation, coupled with educational initiatives for prospective franchisees.

Thank you for considering these comments.

Regards,

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