

Comment on Notice 2017-22

from Darren Ward,

on Friday, December 8, 2017

Comment:

Morning, I believe this proactive approach by MSRB is tremendous. I am fairly new into the supervisory world and while I try to know and understand all of my firms obligations it is very difficult to accumulate the knowledge. My suggestions are as follows:

1-Run classes 1 day or two day sessions for folks 1 to 2 times a year...

2-offer to firms the ability to bring in an MSRB employee for a day or two who can guide and consult on procedures/ best practices, proactive help vs. exams by FINRA.

I believe most firms truly care and want to be compliant, but may not have the knowledge or experience to identify deficiencies in process or best practices.

thank you-
Darren