

Comment on Notice 2014-08

from Joseph Mooney, Government Credit Corporation

on Tuesday, March 18, 2014

Comment:

I am astounded that MSRB will not consider passing MSRB's Series 52 exam as documentation of one's ability to continue to perform as a Financial Advisor. The best approach would be to require any one who has successfully completed MSRB's prior exams to offer continuing education. If the existing personnel have problems with the Series 52 exam I believe that the most cost effective approach would be to edit Series 52 and any other exam that would be helpful in improving the ability of the financial community to meet its obligations to its clients. Adding continuing education program would also be a strong step forward. This approach is frequently used in professions that deal with life and death issues.