I generally agree with the creation of a registration category for Operations Professionals. You state that this is not a competency examination and go on to state that its purpose is to impress upon these persons that they are functioning in a regulated industry. My suggestion is that you either make it a competency examination or impress upon these individuals by a reminder that as associated persons (fingerprinted) they are subject to FINRA regulations and can be to sanctioned.

Brian Marcotte

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