

STAFF DIRECTORY

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President

CEO

FINRA and Regulatory Matters
Financial Oversight and Reporting
New Business Initiatives
Broker Relations
Office Audits

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CCO

Compliance Oversight
Inquiries / Complaints – Escalated Problem Resolution
Communications with the Public (Advertising)
New Products – Due Diligence and Selling Agreements
Office Audits
Corporate Business

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Assistant CCO

Clearing House Trading
Clearing House Customer Service Issues
Compliance
Office Audits

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Compliance Officer

Clearing House Trading
Compliance

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Licensing & Registrations

Coordinator/Recruiting

Securities Registration
Agent Insurance Appointments
Annual Renewals
Recruiting

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Office Coordinator

Commission Specialist

Commission Processing
Direct and Brokerage Business Workflow
Rep Business Processing

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Administrative Assistant

Rep Business Processing
General Office Information