

General Compliance Issues

In the normal course of business, procedural and compliance questions arise on issues and topics that are unusual or outside the firm's experience. The compliance officer or executive representative must have a reliable answer. The firm can either invest additional time to research the manuals, interpretations, information on the Internet, etc., or the firm can contact:

- a colleague - who can only tell you how s/he's addressed the question, if at all, and whose answer may or may not be accurate for your specific situation
- an attorney - unless experienced with the subject, you'll pay handsomely for the research time
- the local District Office of the SEC or the State Securities Division - though generally well meaning, these entities that police the securities industry are not in the business of giving pro-active business advice

NCCI - the source for accessible, experienced, professional compliance and regulatory information that encourages Broker Dealer Investment Advisor independence and self-reliance.

Whether the question is simple or complex, NCCI is available to answer your questions. In most cases, we will provide the answer immediately - saving you time, effort, and money.