



Is your office up-to-date?

- *approvals
- *office personnel
- *electronic devices
- *voicemail disclosure
- *personal accounts
- *pre-clearances
- *monthly/quarterly logs
- *political contributions
- *OBAs
- *consolidated reports
- *online meetings
- *professional designations
- *social media/website
- *U4 (<https://finpro.finra.org>)
- *customer complaints (written or oral)

****All new business, CPFs, negative response letters, client account changes/add-ons and checks go to Audrey in operations****

PRE-DISPUTE ARBITRATION AGREEMENT:
PLEASE READ THE FOLLOWING CUSTOMER AGREEMENT BEFORE SIGNING YOUR NAME.

This agreement contains a pre-dispute arbitration clause. By signing an arbitration agreement, the parties agree as follows:

(A) All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
 (B) Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
 (C) The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
 (D) The arbitrators do not have to explain the reason(s) for their award unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
 (E) The Panel of Arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
 (F) The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
 (G) The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

I agree that all controversies that may arise between us concerning any order or transaction, or the continuation, performance or breach of this or any other agreement between us, whether entered into before on, or after the date this account is opened, shall be determined by arbitration before a panel of independent arbitrators set up by the Financial Industry Regulatory Authority (FINRA). If I do not notify you in writing within five (5) days after I receive from you a written demand for arbitration, then I authorize you to make such a designation on my behalf. I understand that judgment upon any arbitration award may be entered in any court of competent jurisdiction.

No person shall bring a putative or certified class action to arbitration, nor seek to enforce any pre-dispute arbitration agreement against any person who has initiated in court a putative class action; who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until:

(i) The class certification is denied; (ii) The class is decertified; or (iii) The customer is excluded from the class by the court.

Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein.

I/we acknowledge that all personal and suitability information provided herein is true and accurate. I/we agree to report promptly, in writing, any inaccuracy or discrepancy in our account or change in our personal information contained in the new account form to Trustmont. I/WE HAVE CAREFULLY READ THE CUSTOMER AGREEMENT IMBEDDED INTO THIS FORM AND AGREE TO ALL THE TERMS AND CONDITIONS CONTAINED THEREIN. Evidenced by the signatures below.

Account Owner's Signature	Date	Co-Owner's Signature	Date
Signature of Registered Representative	REP #	Signature of Principal	Date

Client Profile Form Procedure

- *A copy of the principally signed client provide form is to be sent to every client
- *Document the date sent so that it can be recalled later if requested

2022 Webinar Schedule

*takes place 2-3pm EST

February 10, 2022

May 12, 2022

August 11, 2022

November 10, 2022

Form CRS Delivery

Form CRS Delivery is at the Point of Discussion

Send a Form CRS to existing clients as well as prospects at the point of discussion when:

- Entering a new investment advisory contract
- Opening a new account for a prospect
- Making recommendations to clients around account strategies or investments
- Making account changes, including retirement rollover
- Keep accurate records of when and how given, note that to send via email you need authorization

SECURE



EMAIL

BAE SYSTEMS

Type **Secure:** FIRST in the Subject line

From	mjh@trustmontgroup.com
To...	ach@trustmontgroup.com
Cc...	
Subject	Secure: Client info

erado

Type **Secureit** anywhere in the body of the message

200 Brink Run Road
Greensburg, PA 15601
www.trustmontgroup.com
724-668-5665

Secureit

This communication may contain privileged and/or confidential information. If you received this communication in error, please contact the sender immediately. The information contained in this e-mail is not warranted as to completeness.



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