



Compliance Monthly News January 2023

Form CRS Delivery Requirements

Three instances:

1. New or prospective customers before or at the earliest of (a) recommendation of an account type, a securities transaction or an investment strategy involving securities; (b) placing an order for the retail customer; or (c) the opening of a brokerage account for the retail customer.
2. Existing customers to whom you recommended that the client: i) open a new account different from their current account(s); ii) roll over assets from a retirement account into a new or existing account or investment; or iii) be provided a new brokerage service or investment that does not necessarily involve the opening of a new account and would not be held in an existing account.
3. Existing customers upon request.

The account cover page is to be used to confirm delivery of Form CRS.



LinkedIn for personal use:

- *you are not permitted to display any "Skills" that are investment-related. You are, however, permitted to display "Skills" that are not investment-related, such as "Insurance".
- *you can only display what is considered Business Card Information.
- *no "advertising" of your securities business.
- *Personal must remain personal.

If you want to convert to a business profile, complete the Intent to Use Social Media Form located on the Trustmont website and return to compliance.

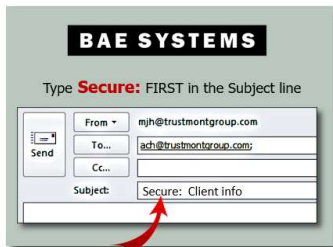
NOTE: there is a \$10 monthly charge for this service for the review and archiving.



OFFICE CHECK-UP

- *all marketing materials submitted for approval
- *office personnel disclosed
- *electronic device list up-to-date
- *voicemail disclosure added to all phones used for business
- *all personal accounts disclosed
- *pre-clearances submitted
- *monthly/quarterly logs completed
- *quarterly political contributions logs submitted
- *OBAs approved
- *copy of all reports submitted
- *use of online meetings approved
- *professional designations up-to-date and maintained
- *social media/website approved
- *U4 up-to-date (<https://finpro.finra.org>)
- *all customer complaints submitted (written or oral)
- *IS YOUR CE COMPLETED??**

SECURE  EMAIL



2023 Webinar Schedule

*takes place 2-3pm EST

- February 9, 2023
- May 11, 2023
- August 10, 2023
- November 9, 2023

links to register on the website

ALL NEW BUSINESS NEEDS PRE-APPROVED

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