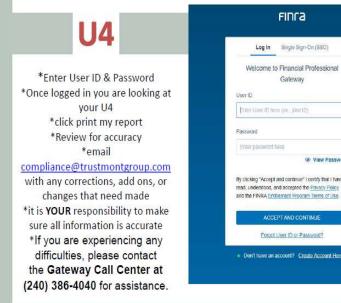


Is your office up-to-date?

- *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

Have you checked you U4 lately?



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



FMAII

2022 Webinar Schedule

*takes place 2-3pm EST

February 10, 2022 May 12, 2022 August 11, 2022 November 10, 2022





