



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?

U4

*Enter User ID & Password

*Once logged in you are looking at your U4

- *click print my report
- *Review for accuracy
- *email compliance@trustmontgroup.com with any corrections, add ons, or changes that need made

*it is **YOUR** responsibility to make sure all information is accurate

*If you are experiencing any difficulties, please contact the **Gateway Call Center** at (240) 386-4040 for assistance.

FINRA

Log In Single Sign-On (SSO)

Welcome to Financial Professional Gateway

User ID

Password

[View Password](#)

By clicking "Accept and continue" I certify that I have read, understood, and accepted the [Privacy Policy](#) and the [FINRA Enrollment Program Terms of Use](#).

ACCEPT AND CONTINUE

[Forgot User ID or Password?](#)

Don't have an account? [Create Account Here](#)

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

2022 Webinar Schedule

*takes place 2-3pm EST

February 10, 2022

May 12, 2022

August 11, 2022

November 10, 2022

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

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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.

