



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****

2022 Annual Representative Questionnaire Reminders:

1. **Read each question carefully the order and format have changed**
2. **If you are unable to certify with your initials an explanation needs to be included**
3. **Some questions require more than just your initials**
4. **Some questions require follow up documentation to be returned with your ARQ**
5. **Sign and return ethics policy**
6. **Review for accuracy, sign and return certification of holdings**

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

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

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



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