



# Compliance Monthly News November 2023

## Form CRS Delivery Requirements

### Four 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. When completing change of broker dealer form
4. Existing customers upon request.

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



## Thinking about creating a website for the new year?

**Step 1: complete the intent to use social media form on the Trustmont website and email to [compliance@trustmontgroup.com](mailto:compliance@trustmontgroup.com)**

**Step 2: contact one of the approved providers below and tell them you are with Trustmont**

### • Broadridge

<https://www.broadridgeadvisor.com/customerService.html>

or

1-800-233 2834

### • FMG Suites

<https://fmgsuite.com/contact/>

or

858-251-2420

**Step 3: you will be advised of the requirements that need to be included on your website**



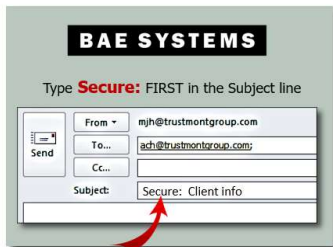
## OFFICE CHECK-UP

- \*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**