



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****

Marketing/Advertising Approval

*all business cards, letterhead, marketing pieces, newsletters, email blasts, social media posts, etc. need prior approval using the approvals request on the Trustmont website



2023 Webinar Schedule

*takes place 2-3pm EST

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

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

