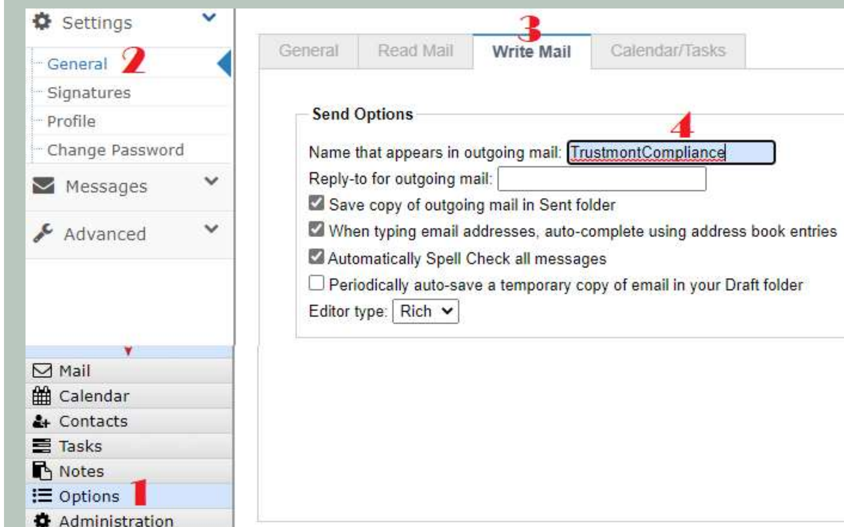
Is your office up-to-date?
*approvals
*office personnel
*electronic devices
*voicemail disclosure
*personal accounts
*pre-clearances
*monthly/quarterly logs
*political contributions
*OBAs
*consolidated reports
*online meetings
*professional designations
*social media/website
*U4 (https://finpro.finra.org)
*customer complaints
(written or oral)

**All new business, CPFs, negative response letters, client account changes/add-ons and checks go to Audrey in operations**

# Email Reminders

1. **Make sure you have an email signature (DO NOT need to include disclosure it is automatically added by the carrier)**
2. **Make sure the name that appears in outgoing mail is yours and is spelled correctly**




**2022 Webinar Schedule**
*takes place 2-3pm EST

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

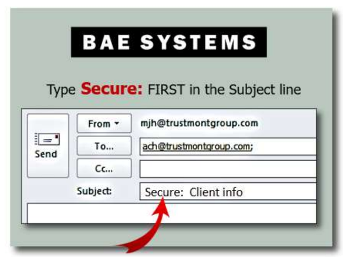
# Form CRS Delivery

**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**





Trustmont Group

## Compliance Monthly News: February 2022