



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****

OBA DBA



MEMBER FINRA • SIPC

OUTSIDE BUSINESS ACTIVITY AND DBA FORM

Complete all sections that apply.

FINRA Rule 3270 Outside Business Activities of Registered Persons: Prohibits any registered person from being an employee, independent contractor, sole proprietor, officer, director or partner of another person, or being compensated, or having the reasonable expectation of compensation, from another person as a result of any business activity, other than a passive investment, outside the scope of the relationship with his/her broker-dealer, unless he/she has provided prior written notice to the broker-dealer and received written approval. Such notice shall be in the form required by the broker-dealer.

Print your name _____ RR # _____

Check the following applicable box(es)—(both may apply)

- I am a Registered Representative
- I am an Investment Advisor Representative

Securities Business Address: _____

NEW Outside Business Activity (OBA)/Doing Business As (DBA) form added to the Trustmont Website.

To be used for all updates & new ventures

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

