Compliance Monthly News
March 2023

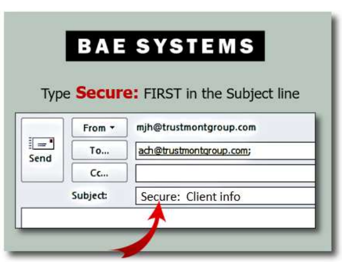
Form CRS Delivery Requirements

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.

SECURE EMAIL



Are you using the correct forms?

*From time-to-time when rules and regulations change, we are required to update existing forms and/or create new forms.

*Remember to always check the Trustmont website for the most up-to-date version.

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??**

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