Trustmont Group

Compliance Monthly News
March 2024

2024 Webinar Schedule
*takes place 2-3pm EST

~~February 8, 2024~~
May 9, 2024
August 8, 2024
TBA

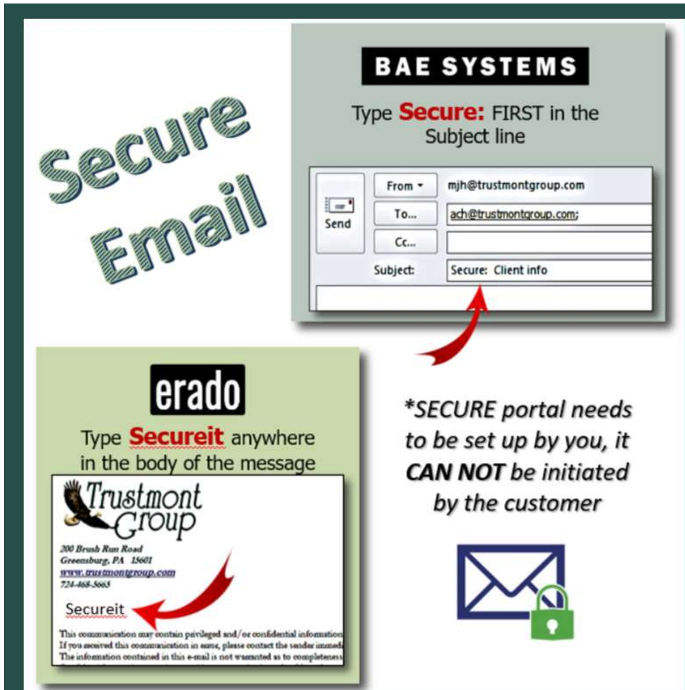
links to register on the website

CHECK LIST

*ALL new business submitted for approval FIRST
*all marketing materials submitted for approval
*office personnel disclosed
*electronic device list up-to-date
*voicemail disclosure added to all phones used for business
*signature added to email
*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??**

Are you using Intelliflo Portfolio for consolidated reporting?

*What is that? –Intelliflo Portfolio (Portfolio Pathway) is Trustmont's approved automated system for creating Performance Reports. The system utilizes direct data feeds from various custodians.
*Do the reports need pre-approved before being given to clients? –No. These reports are considered correspondence and are reviewed monthly.
*What are the submission requirements? –you must submit a copy of all reports provided to prospects and/or clients by sending SECURE to reports@trustmontgroup.com on at least a monthly basis. **Note:** The Document Vault is not an approved method for transmitting documents.
*What data is included? –historical data is available back to when each rep individually joined Trustmont or 2011 whichever is later
*Who do I contact if I want to start using? –everything NEEDS to come through Trustmont to set up and get training



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.