




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****

 **Political Contributions Quarterly Log**

Registered Representative: _____ Quarter: _____ Year: _____

List below any political contributions that have been made by the adviser, or a member of the immediate household below (note: this comprises all political contributions, including but not limited to state representatives, school board candidates, political action committees, presidential campaigns, etc.):

Recipient of Contribution	Date of Contribution	Dollar Amount	Prior approval?

*Required quarterly for **ONLY** the reps that are making political contributions to any government entity, official, or candidate.






*Form should be faxed 724-468-5675 or emailed to compliance@trustmontgroup.com on **no less** than a quarterly basis.

*All advisors and registered representatives **MUST** have all political contributions of \$250 pre-approved by the firm's compliance department prior to making the donation.

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



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Secureit

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