

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:

r:____Ye

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? |
|---------------------------|----------------------|---------------|-----------------|
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*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 <u>compliance@trustmontgroup.com</u> on <u>no less</u> 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.

| 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



BAE SYSTEMS

Type Secure: FIRST in the Subject line

ach@trustmontgroup.com;

Secure: Client info

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То.,

Cc.

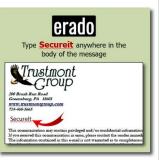
Subject:

Making account changes, including retirement rollover

Keep accurate records of when and how given, note that to send via email you need authorization

SECURE 🤍





Trustmont

Compliance Monthly News: April 2022