Trustmont Group

May 12, 2022
2nd Quarter Mandatory Webinar

Your presenters today are:
Tony & MaryLynne

*There will be a quick 3 question survey immediately after the webinar ends

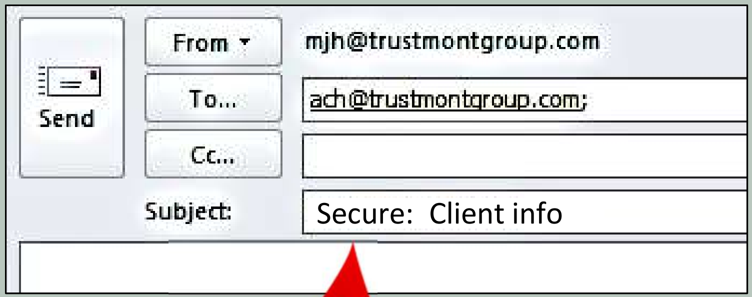
IMPORTANT: In order to get credit for attending this webinar you need to be logged in with your Trustmont approved email using a computer or the GoToWebinar app. If you are in listen only mode it will *NOT* register your attendance today and you will have to view the make-up link.

- If you have an idea of something you want to see featured in our monthly newsletter, please send us an email or give us a call
- If you have any comments or questions throughout the webinar, they may be typed in at any time and we will address them as we go or at the end
- The link to view this webinar and a pdf of the slides will be available on the Trustmont website along with all other webinars within a few days
- Remember to send all personal and confidential information via SECURE email

Secure Email

BAE SYSTEMS

Type **Secure:** FIRST in the Subject line



erado

Type **Secureit** anywhere in the body of the message

SECURE portal needs to be set up by you, it **CAN NOT be initiated by the customer*

April’s **Check Log** is due **May 15th**

April’s **Correspondence Log** is due **May 15th**

MANDATORY

Webinar Schedule - 2022

August 11, 2022, *2:00-3:00 pm EST*

November 10, 2022, *2:00-3:00 pm EST*

****LINKS to register are on the Trustmont website***

Check your email DAILY

Make sure to check your email and the website for additional important reminders

Trustmont Group

2nd Quarter 2022

Did You submit your political contributions log?

*This form is required only if you made contributions during the 1st quarter
*It should be emailed to compliance@trustmontgroup.com or faxed to 724-468-5675 quarterly or as contributions are made throughout the year

***Reminder all political contributions of $250 or more per individual per election must be pre-approved by the compliance department prior to making the donation.**

MaryLynne's Compliance Bulletin

- ✓ Pre-Clearance requests
- ✓ Check log requirements
- ✓ updated ADV 2A is Available on the Trustmont website
- ✓ Closer look at Texting in your business

Trustmont Group

2nd Quarter 2022

Text Messaging

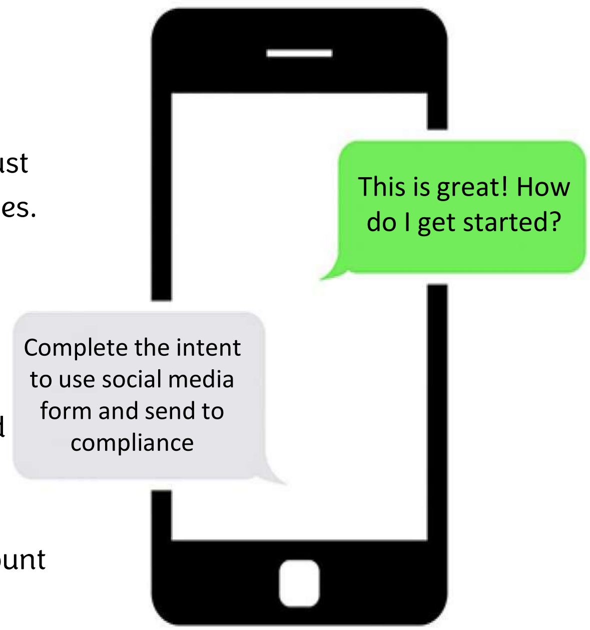
Use of text messaging to engage in the business of Trustmont Financial Group and Trustmont Advisory Group **is prohibited by registered representatives, associated persons and office personnel** of Trustmont unless:

1. prior approval is given;
2. the Telemessage application (app) has been properly installed on a cell phone currently disclosed to Compliance as being used for business purposes, and
3. archiving service is established.

Prohibited texting activities:

These texting activities are prohibited:

1. Accepting or confirming orders.
2. Sending/receiving personal and confidential information is not allowed because the messages themselves are not encrypted. This includes but is not limited to pictures of driver's licenses, social security cards, passports, etc.
3. Providing advice, making investment product or security recommendations, or planning of any kind. Associates must not suggest new products or services through text messages.
4. Accepting or confirming monetary transactions.
5. Texting client-specific data, like account numbers, fund balances, etc.
6. The use of Emojis is prohibited as they are not business appropriate and in certain circumstances could be deemed misleading or promissory.
7. Users may not text or request through texting non-public information such as a client's social security number, account number, date of birth, etc.
8. Users may not send, receive, or request through text any pictures, videos and/or documents of any kind.
9. The use of any approved or non-approved marketing material is prohibited from being sent via text message.



Permitted texting activities:

Examples of permitted activities include:

1. Administration-type tasks, including confirming and scheduling appointments.
2. Addressing client questions, for example, a client sends a text asking you "How is the market doing today?" Your response should be short and efficient. For example, *The DJIA is up 150. Do we need to schedule an appointment to review your plan?*
3. Addressing general questions concerning products and services is permitted, although nothing specific to a client's account.

FROM THE DESK of Tony Hladek

- Industry News
- New Rollover Requirements
  (presentation following the regular webinar)

- TD Ameritrade & Charles Schwab Merger Update
  - ✓ Coming in 2023
  - ✓ Have been advised no paperwork will be required


ANY
QUESTIONS?
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Please join us in welcoming

The Department of Labor's Fiduciary Advice Exemption: PTE 2020-02 "Improving Investment Advice for Workers & Retirees," is a new prohibited transaction exemption under ERISA and the Code for investment advice fiduciaries with respect to employee benefit plans and individual retirement accounts.

InvestorCOM

InvestorCOM is here to help us meet the PTE 2020-02 requirements.


Thank you for
Attending!
Have a wonderful rest of your week!