

May 13, 2021 2nd Quarter Mandatory Webinar Mid-Year check in and Industry Updates!









Updated CPF now available on the website...

CLIENT PROFILE FORM														
Trustmont						Trustmont Advisory Group				MEMBER: FINRA/DIPC				
Croup	Update Address Updated Profile			36-Month Update Update (Other)				www.trustmontgroup.com Telephone: 724-468-5665						
200 Brush Run Road Greensburg, PA 15601	_ opcom		1-1	rmation is required						(Other)		Toll-Fr	ee: 800-	618-3666 468-5675
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Corporation	Retire	ment			•	Trust		state	0	ther				
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Last Name					Last Name									
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City	State			Zip	City				State				Zip	
Mailing Address (if different than legal)					Mailing (if differ	Address ant than legal)								
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Home Telephone		Cell Te	ephone			Telephone				Cell Tel	ephone			
Social Security/ Tax ID #		Birth D	ate		Social 5 Tax ID 4	ecurity/				Birth D	ate			
Drivers License / State ID / Pass	sport #				Drivers	License / Sta	te ID / Pas	sport #						
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Annual Income (all sources)			1		Joint C	wner's An	nual Inco	me (all s	ources	, —				
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\$50,000 - \$99,999 \$500,000 - \$749,999				\$500,000 - \$749,999										
\$100,000 - \$199,999 \$750,000 - \$999,999			\$100,000 - \$199,999											
\$200,000 - \$299,999 \$1,000,000 +			\$200,000 - \$299,999 \$1,000,000 -											
Total Net Worth-excluding primary residence (combined # joint account)						*****								
Less than \$100,000 \$250,000-\$499,999 \$1,000,000-\$2,999,999 Please Note:														
\$100,000 - \$249,999 \$500,000-\$999,999 \$3,000,000 +					Annual	Income it						loyment,	0	
Liquid Net Worth (Combined if joint account)					almony, social security, investment income, etc. Net Worth is the value of your assets minus your liabilities, excluding your									
Less than \$100,000 S250,000-\$499,999 \$1,000,000-\$2,999,999					1	primary residence. Liquid Net Worth is your net worth minus assets that cannot be converted								
\$100,000 - \$249,999 \$500,000-\$999,999 \$3,000,000 + Quickly and easily into cash.														
Investment Objective (choose one)					Growth - Focus is on generating long - term capital growth.									
Preservation of Principal / Income -Focus is on preserving principal and generating current income.				Aggressive Growth / Aggressive Income										
Balanced Growth					Focus is on generating growth and/or income at greater than market rates. Speculation - Focus is on generating maximum possible returns.									
Focus is on generating current income and/or long-term capital growth.														
Risk Tolerance Please indicate your risk tolerance specific to the investments in this account.														
I am willing to accept MINIMAL RISK, even if that means my investment does not generate significant income or returns and may not keep pace with inflation.														
I am willing to accept LOW RISK, including low volatility, and understand I could lose a modest amount of my investment.														
I am willing to accept MODERATE RIBK, including some volatility, to seek higher returns and understand I could lose a portion of my investment. I am willing to accept HIGH RIBK, including high volatility, and understand I could lose a substantial amount of my investment.														
The state of the s						ostantial am	ount of m	y investi	nent.					
I am willing to accept MAXIMUM RISK and understand I could lose all of my investment.														
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Croup			
Liquidity Needs		Investment Time Horizon	
On an annual basis, what are your expected	withdrawal needs from this account?	When do you expect to cease accumulation withdrawing significantly	ng assets in this account, and begin from the principal?
Less than \$1000	\$50,000 to \$99,999	C Less than 1 year 7 to 8 yes	ars
S1,000 to \$9,999	\$100,000 to \$249,999	1 to 3 years 9 to 11 ye	ears
\$10,000 to \$49,999	\$250,000 +	4 to 6 years 12 years	or more
Investment Experience	10.00	111.	
Please check the products/strategies that be	est reflect your investment experience to d	late. None	
Bonds Stocks	Mutual Funds Ann	uities Margin Future	es Options
Active Short Term Trading	Exchange Traded Funds	Inverse/Leveraged Products	Alternative Investments
Affiliations and Aoknowledgments			
Please check all that apply.	Associated Person of Trustmont	Associated person of another FINRA memb	er
	TRUSTED CON	TACT:	
& treated contact material is intended to be a many one	in controlling your assets and recognificatio some	sible financial exploitation. A trusted contact is NOT an auth	cultural marks on the account and no instruction
from them will be accepted to effect transactions	s and/or change information related to the accou	nt. Your trusted contact must be someone other than an acc	count owner, and cannot be the Recistered
Representative. A trusted contact may be contact	ted if: Trustmont has questions or concerns about	it your whereabouts or health status: Trustmont suspects the	at you may be the victim of fraud or financial
exploitation; Trustment suspects that you may no lon	ger be able to handle your financial affairs; Trust	troont needs to confirm the identity of any legal guardian, as	ecutor, trustee, authorized trader, or holder of
power of attorney; or, Trustmont has any other con-	cerns or is unable to contact you. You may provi	de more than one trusted contact person by completing and is form.	signing additional Trusted Contact sections of
		NS TOTAL	
First Name:	Last Na	ime:	
vidress:	10	Act/Quite No:	
Oity: State	e: Zip:	Country: Phone Number:	
telationship to the Primary Owner/Co-Owner:			
			<u></u>
Client declines to provide a Trusted Cont	act		
	ELECTRONIC COMMUNIC	CATIONS AUTHORIZATION:	
By providing an email add		ATIONS AUTHORIZATION: to electronic delivery of all Trustmont dis	closure requirements.
	iress below you are consenting t	o electronic delivery of all Trustmont dis	closure requirements.
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FINRA RULE 3241: Registered Person Being Named a Customer's Beneficiary or Holding a Position of Trust for a Customer

FINRA adopted a new rule to limit any associated person of a member firm who is registered with FINRA (each a "registered person") from being named a beneficiary, executor or trustee, or to have a power of attorney or similar position of trust for or on behalf of a customer.¹ New FINRA Rule 3241 (Registered Person Being Named a Customer's Beneficiary or Holding a Position of Trust for a Customer) protects investors by requiring all member firms to affirmatively address registered persons being named beneficiaries or holding positions of trusts for customers. The rule requires the member firm with which the registered person is associated, upon receiving required written notice from the registered person, to review and approve or disapprove the registered person assuming such status or acting in such capacity. The rule does not apply where the customer is a member of the registered person's "immediate family."² Rule 3241 becomes effective February 15, 2021.

Crypto Currency



As part of Trustmont's ongoing training, we want to address crypto-currency and investors' increased interest in participating in this space. With all the hype around Bitcoin and other digital currencies, clients are looking to their financial advisor for guidance. Educating investors on the complexity, volatility, and risks associated with crypto-currency is very beneficial, but advisors must stay away from providing specific recommendations to clients regarding this asset class. This is also true of other commodities, such as gold, silver, and other precious metals.



As an alternative to direct ownership of digital currencies, you may want to research available ETFs that provide indirect exposure to this asset class. Clients who meet the suitability and best interest requirements may benefit from having them a part of their portfolio.

Use of Personal Devices



Trustmon		Cyber Security & Electr	onic Device	e Disclosure				
important than it is today. According	son is our priority, and our obligation to ply, to ensure that our customer's non- dures addressing the protection of Dig letailed information.	public information is protected from	any potential cyt	er-crimes, the firm				
Are your computers and devices and anti-malware software?	used for your securities business p	rotected with up-to-date antiviru	s software, fire	wall software,				
Are your computers and devices	log-in privileges protected by a stro	ong password that is frequently c	hanged?	les No				
Do all of your devices "time out"	after 15 minutes or less of non-use	? Yes No						
Do all of your devices have Softw	vare auto-update set to "ON"?	Yes No						
Do you certify that ONLY associa	ted personnel have access to your	computers and devices?	No No					
information? Yes No of encryption upon request)? Associated persons are requ for business purposes by cor This is an initial report	ired to disclose the use and/or terr impleting the table below: of electronic device(s)	he device or the data is encrypte nination of use of any electronic. Thave a new device to report	d (be prepared	to provide proof				
I have a retired device	to report ge of a previously reported device t	I have no changes in devices o report						
Device Description (example: "primary office computer) Include smartphones, tablets and other devices	Device Type (example: iMar, Dell PC desktop, IPhone, etc.)	Operating System Used	% Business Use	% Personal Use				
If you cannot certify the truth and a	ccuracy of any item listed above, please	attach a detailed written explanatio	n.					
I verify that the statements made in penalties of 18Pa. C.S. 4909 relating	this certification are tur and correct. It to unsworn falsification.	understand that false statements her	ein are made sub	ject to the criminal				
Registered Representative's Signatu	Registered Representative's Signature/Date			Compliance Initials/Date				

This includes cell phones when used for securities business

1. cell phone must have trade instructions disclosure

Please do not leave trade instructions on this voicemail as such instructions cannot be honored. If you are calling during market hours and need immediate assistance, please call the home office of Trustmont Financial at 1-800-618-3666.

Thank you

2. cell number must be provided on form



Did you know?









Helpful Tips from Operations Department



If you are NOT completing the NEW CPF and your customer wishes to received form CRS electronically you need their authorization in writing FIRST!

You can do this by using the bottom of the required checklist for brokerage/advisory and write the following statement along with getting the client's signature(s) and date. We are in the process of updating the cover sheets on the website to include this:

"I gi	ive Trustmont and my
representative/advi	sor the authorization
to email me form	CRS and all other
disclosure document	s to the email address
below	<i>"</i>





COMPLIANCE



May's **Check Log** was due **May 15th**May's **Correspondence Log** was due **May 15th**

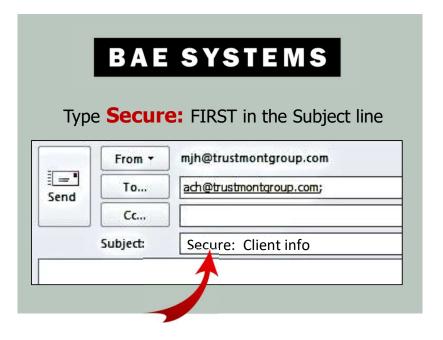
All new business, updates and paperwork related to client files should be sent to Audrey in our Operations Department

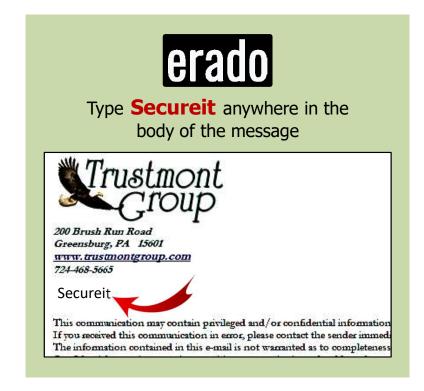


Make sure to check the website for additional important reminders









Annual Compliance Meeting

*The annual compliance meeting will be held online again this year...details to follow please watch your emails







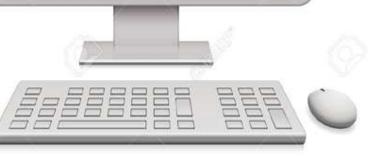
Questions



Thank You!

for attending our webinar

Please call Compliance with any questions





MANDATORY



Webinar Schedule - 2021

August 12, 2020 2:00-3:00 pm EDT

November 11, 2020 2:00-3:00 pm EST



OPEN FORUM