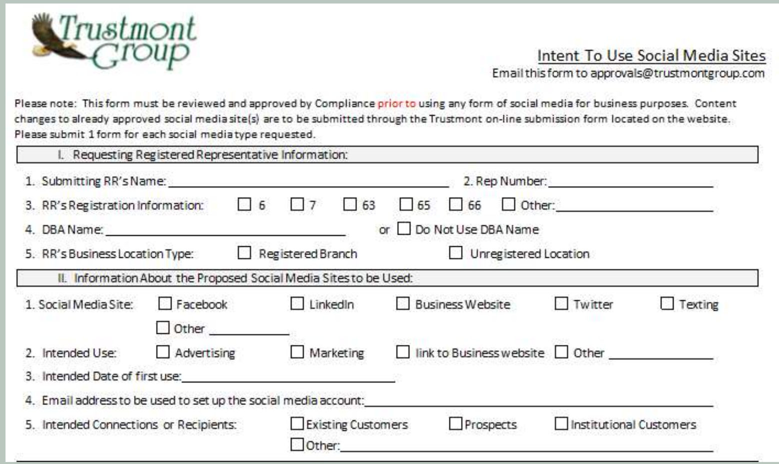
Is your office up-to-date?
*approvals
*office personnel
*electronic devices
*voicemail disclosure
*personal accounts
*pre-clearances
*monthly/quarterly logs
*political contributions
*OBAs
*consolidated reports
*online meetings
*professional designations
*social media/website
*U4 (https://finpro.finra.org)
*customer complaints
(written or oral)

All new business, CPFs, negative response letters, client account changes/add-ons and checks go to Audrey in operations

Do you want to use Social Media in your business?



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Intent To Use Social Media Sites
Email this form to approvals@trustmontgroup.com

Please note: This form must be reviewed and approved by Compliance prior to using any form of social media for business purposes. Content changes to already approved social media site(s) are to be submitted through the Trustmont on-line submission form located on the website. Please submit 1 form for each social media type requested.

I. Requesting Registered Representative Information:

1. Submitting RR's Name: ______ 2. Rep Number: ______
3. RR's Registration Information: ☐ 6 ☐ 7 ☐ 63 ☐ 65 ☐ 66 ☐ Other: ______
4. DBA Name: ______ or ☐ Do Not Use DBA Name
5. RR's Business Location Type: ☐ Registered Branch ☐ Unregistered Location

II. Information About the Proposed Social Media Sites to be Used:

1. Social Media Site: ☐ Facebook ☐ LinkedIn ☐ Business Website ☐ Twitter ☐ Texting ☐ Other ______
2. Intended Use: ☐ Advertising ☐ Marketing ☐ link to Business website ☐ Other ______
3. Intended Date of first use: ______
4. Email address to be used to set up the social media account: ______
5. Intended Connections or Recipients: ☐ Existing Customers ☐ Prospects ☐ Institutional Customers ☐ Other: ______

Complete and submit the above form to compliance today!

Form CRS Delivery

Form CRS Delivery is at the Point of Discussion

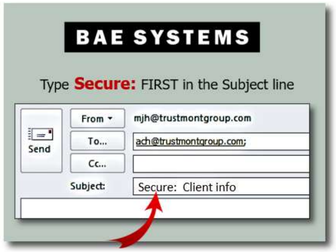
Send a Form CRS to existing clients as well as prospects at the point of discussion when:

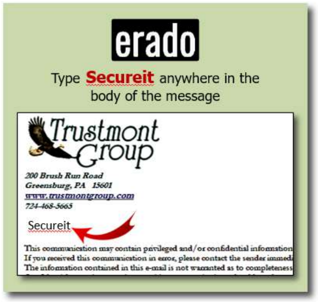
- Entering a new investment advisory contract
- Opening a new account for a prospect
- Making recommendations to clients around account strategies or investments
- Making account changes, including retirement rollover
- Keep accurate records of when and how given, note that to send via email you need authorization

SECURE EMAIL

2022 Webinar Schedule
*takes place 2-3pm EST

~~February 10, 2022~~
~~May 12, 2022~~
August 11, 2022
November 10, 2022





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Compliance Monthly News: June 2022