

Form CRS Delivery Requirements

Four instances:

1. New or prospective customers before or at the earliest of (a) recommendation of an account type, a securities transaction or an investment strategy involving securities; (b) placing an order for the retail customer; or (c) the opening of a brokerage account for the retail customer.
2. Existing customers to whom you recommended that the client: i) open a new account different from their current account(s); ii) roll over assets from a retirement account into a new or existing account or investment; or iii) be provided a new brokerage service or investment that does not necessarily involve the opening of a new account and would not be held in an existing account.
3. When completing change of broker dealer form
4. Existing customers upon request.

The account cover page is to be used to confirm delivery of Form CRS.

SECURE



EMAIL

BAE SYSTEMS

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

From	mjh@trustmontgroup.com
To	adj@trustmontgroup.com
Cc	
Subject	Secure: Client Info

erado

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



300 Brush Run Road
Greensburg, PA 15601
www.trustmontgroup.com
724-465-5665

Secureit

This communication may contain privileged and/or confidential information. If you received this communication in error, please contact the sender immediately. The information contained in this email is not warranted as to completeness.

What do I do if a client TEXTS me?

If you receive a business-related text message and have not been approved to communicate through texting, you may respond to the message as follows, however, no further communication is permitted.

Thank you for reaching out to me. I do not have the ability to respond to text messages regarding my securities business. If you wish to discuss your account or confirm/reschedule an appointment, please call _____ or email _____.

Once you have responded, please forward the message string to your Trustmont-approved email account for supervision and archiving purposes.

FINRA has imposed significant fines and suspensions over text messaging violations, therefore, please refer to Trustmont's WSPs regarding communications with the public for more information. As always, reach out to us with any questions.

If you are interested in obtaining approval for business texting, please send us an email or give us a call.



OFFICE CHECK-UP

- *all marketing materials submitted for approval
- *office personnel disclosed
- *electronic device list up-to-date
- *voicemail disclosure added to all phones used for business
- *all personal accounts disclosed
- *pre-clearances submitted
- *monthly/quarterly logs completed
- *quarterly political contributions logs submitted
- *OBAs approved
- *copy of all reports submitted
- *use of online meetings approved
- *professional designations up-to-date and maintained
- *social media/website approved
- *U4 up-to-date
- (<https://finpro.finra.org>)
- *all customer complaints submitted (written or oral)
- *IS YOUR CE COMPLETED??**

2023 Webinar Schedule

*takes place 2-3pm EST

February 9, 2023

May 11, 2023

August 10, 2023

November 9, 2023

links to register on the website

ALL NEW BUSINESS NEEDS PRE-APPROVED

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