

A bald eagle is shown in flight, facing right, with its wings spread wide. The eagle's head is white, and its body is dark brown. The tail feathers are also white.

Trustmont Group

August 11, 2022 3rd Quarter Mandatory Webinar

**WE HAVE SOME
EXCITING
NEWS!**

**Trustmont has been named as one of
the Fast 50 companies
between 2019-2021
by Pittsburgh Business Times**

***this is based on growth and revenue during that 3year period of time**



3rd Quarter 2022



Your presenters today are:
Jess, Tony & MaryLynne

NOTE: Please remember that 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 and you would have to view the make-up link.

*****You MUST be able to see the slides*****

- 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, they may be typed in at any time and we will address them as we go or at the end
 - Remember to send all personal and confidential information via SECURE email



3rd Quarter 2022

Secure

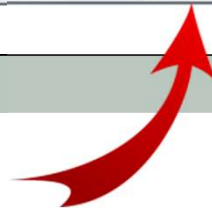


Email

BAE SYSTEMS

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

 Send	From ▾	mjh@trustmontgroup.com
	To...	ach@trustmontgroup.com;
	Cc...	
	Subject:	Secure: Client info



erado

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



Trustmont
Group

200 Brush Run Road
Greensburg, PA 15601
www.trustmontgroup.com
724-468-5665

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 e-mail is not warranted as to completeness.



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



3rd Quarter 2022



REMINDER



July's Check Log is due **August 15th**
July's Correspondence Log is due **August 15th**

MANDATORY

Webinar Schedule - 2022

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

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



Make sure to check the website for additional important reminders



3rd Quarter 2022



- **Do you use an information import system such as LaserApp?**
 - ✓ **Are your forms up-to-date?**
 - ✓ **Are you using the correct client data?**
 - ✓ **Are you transmitting info securely?**
- **Look for a new question on the 2022 ARQ regarding this topic**





Signature and disclosures are REQUIRED on all outgoing emails

- ✓ **BAE systems automatically adds disclosure when you hit send**
- ✓ **If you are a non-registered branch your address CANNOT be listed on your email**
- ✓ **Signature should be same for initiated emails, replies and forwards**
- ✓ **Double check your signatures. If you wish to send a test email to compliance, we will confirm that it is compliant**



ANTI-MONEY LAUNDERING

- **Information was sent via email to all representatives and advisors mid June**
- **Training is to be completed through AI Insight**
- **Due by September 1, 2022**



FROM THE DESK of

Tony Hladek

- InvestorCOM changes in progress
 - Adding additional client circumstances
 1. Account Consolidation
 2. Client driven
 3. Financial Professional Recommendation
- Schwab merger moving forward as planned
- Annual Compliance meeting to be held online this year



MaryLynne's - Compliance Bulletin

- ✓ Handling trading errors
- ✓ Marketing
- ✓ Advertising
- ✓ Client email address changes



What is the proper way to handle trading errors?



Marketing Approval

- Effective immediately-certain pieces will have an expiration date in your approval. Please make note of this and resubmit if needed beyond that date



New Marketing Rule

- Changes to be implemented
- Testimonials
- Endorsements
- 3rd Party Ratings

Client email address changes

- ❖ CANNOT take instruction via email
- ❖ New Client Profile Form (CPF) is required after verbal confirmation with client

Trustmont Group
200 Brush Run Road
Greensburg, PA 15601

CLIENT PROFILE FORM

MEMBER: FINRA/SIPC
www.trustmontgroup.com
Telephone: 724-468-5665
Toll-Free: 800-618-3666
Fax: 724-468-5675

Trustmont Financial Group
 Update Address
 Updated Profile
 Trustmont Advisory Group
 36-Month Update
 Update (Other)

The following information is required by FINRA. All spaces must be completed.

Check if new account
If Other (please specify)

Account Registration (ex. John and Jane Smith)
 Individual
 Joint Tenants
 Corporation

529 Plan
 Partnership
 Retirement

Refirement Type Please Choose
 Trust
 Estate
 Other

Custodian/UGMA/UTMA
(Provide custodian and minor information)

Primary Owner First Name (Entity, Trust, Estate)
Last Name
M.I.

Co-Owner First Name (Trustee, Executor)
Last Name
M.I.

Legal Address (No POBox)
City
State
Zip

Mailing Address (if different than legal)
City
State
Zip

Home Telephone
Cell Telephone

Social Security/ Tax ID #
Birth Date

Drivers License / State ID / Passport #
Expiration Date

State/Country Issued
Citizenship
Employer

Email Address

NOTE: Must have written documentation of permission to receive disclosures via email

TRUSTED CONTACT:

person is intended to be a resource in protecting your assets and responding to possible financial exploitation. A trusted contact is NOT an authorized party on the account, and no instructions will be accepted to effect transactions and/or change information related to the account. Your trusted contact must be someone other than an account owner, and cannot be the Registered Representative. A trusted contact may be contacted if Trustmont has questions or concerns about your whereabouts or health status; Trustmont suspects that you may be the victim of fraud or financial loss; or Trustmont suspects that you may no longer be able to handle your financial affairs. Trustmont needs to confirm the identity of any legal guardian, executor, trustee, authorized trader, or holder of a power of attorney. If you have any other concerns or are unable to contact you, you may provide more than one trusted contact person by completing and signing additional Trusted Contact sections of this form.

Last Name: _____
Apt/Suite No: _____
State: _____ Zip: _____ Country: _____ Phone Number: _____

Owner/Co-Owner: _____
I agree to provide _____ as a Trusted Contact

ELECTRONIC COMMUNICATIONS AUTHORIZATION:

By providing an email address below you are consenting to electronic delivery of all Trustmont disclosure requirements.

Email address we should use for notification: _____

PRE-DISPUTE ARBITRATION AGREEMENT:
PLEASE READ THE FOLLOWING CUSTOMER AGREEMENT BEFORE SIGNING YOUR NAME.
This agreement contains a pre-dispute arbitration clause. By signing an arbitration agreement, the parties agree as follows:



3rd Quarter 2022

ANY QUESTIONS?

WHEN? WHERE? WHO? WHAT? HOW? WHEN? WHERE? WHAT? WHERE? When? What? Where? WHEN? WHAT? WHERE? HOW? WHEN? What? What? What? When? What? WHEN? WHERE? WHEN? What? What? When? How? What? WHEN? WHERE? HOW? When? Why? WHEN? What? WHEN? Why? WHERE? When? When? HOW? HOW? When? Why?



Thank you for
Attending!

Have a wonderful rest of your week!