

August 12, 2021 3<sup>rd</sup> Quarter Mandatory Webinar Staying the Course Through Summer and Beyond...







3<sup>rd</sup> Quarter 2021 Webinar

Staying the Course Through Summer and Beyond...



The window to complete your Anti-Money
Laundering Training through Al Insight is now
open...MUST BE COMPLETED BY 9/1/2021, details
were sent via email



### **Annual Compliance Meeting**

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



#### **Keeping your Broker Dealer Informed**



It is very important that you keep the back office informed when you will be away from the office for an extended time period.

For example: illness, vacation, hospitalization, etc.



#### **Voicemail Message**



Please check all phones used for business purposes to make sure you have the proper message; this includes cell phones when used for securities business

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







# Protecting Seniors and Vulnerable Adults

### **UTMA/UGMA**



Emails have gone out to all Representatives that we show having UTMA/UGMA accounts on record. Please review the list and take proper action to ensure that the customers best interests are being met.

Reminder that this might not be a complete list.



## COMPLIANCE



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

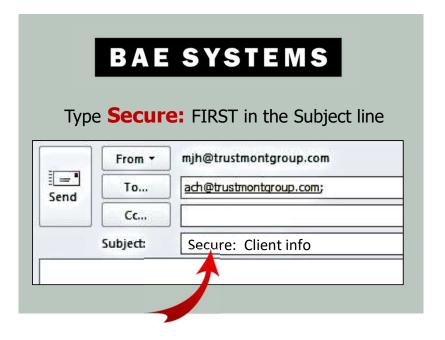
All new business, updates and paperwork related to client files should be sent to Audrey in our Operations Department

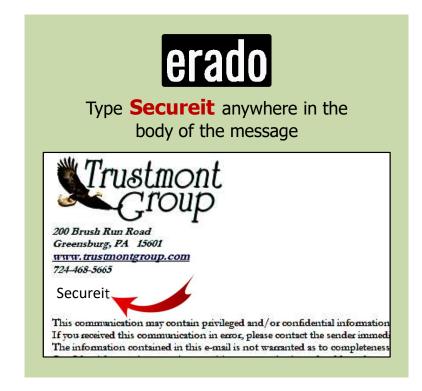


\*Make sure to check the website for additional important reminders\*













Questions



# Thank You!

for attending our webinar

\*Please call Compliance with any questions\*

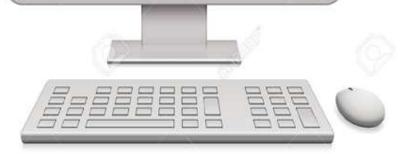


#### **MANDATORY**



Webinar Schedule - 2021

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



## Peter D. Dochinez

- Alternative Investments
- Information from the recent TNDDA conference