



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****

What type of Public Communication is my piece?

Institutional: any written (including electronic) communication that is distributed or made available only to institutional investors but does not include the firm's internal communications.

Retail: any written (including electronic) communication that is distributed or made available to more than 25 retail investors within any 30 calendar-day period.

- ✓ Retail investor means any person other than an institutional investor, regardless of whether the person has an account with the firm.

Correspondence: any written (including electronic) communication that is distributed or made available to 25 or fewer retail investors within any 30 calendar-day period.

*Thank you, Trisha Allison, for this month's suggestion

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

BAE SYSTEMS

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

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

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

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