



# Compliance Monthly News August 2023

## Form CRS Delivery Requirements

### Three 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. Existing customers upon request.

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

## What do I do if a device is lost or stolen?

To start...all devices used for your securities business should be password protected and that password should be changed regularly.

1. Contact the compliance department to determine if any additional action is necessary
2. If stolen, contact the police and make a report
3. If it is a cell phone, contact your provider to have phone disabled, frozen and/or tracked

NOTE: As a precaution you might want to consider having a locator app downloader on your portable devices, there are several options available, we are not able to recommend a certain one but do some research to find the best one to fit your needs.

Some devices may already have the software capable of this installed



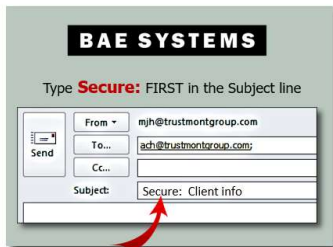
### OFFICE CHECK-UP

- \*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??**

SECURE



EMAIL



### 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**