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

Pre-Clearance Request

*Located on the Trustmont website

*Required when you want to make a trade in yours or anyone in ***your household's*** (in-laws, parents, dependent children, etc) personal accounts.

*This is required whether the account is at Trustmont (TD Ameritrade or RBC) or elsewhere (Schwab, E-Trade, Fidelity, Robinhood, etc.)

*You must receive approval prior to executing the trade.

2022 Webinar Schedule
*takes place 2-3pm EST

~~February 10, 2022~~
~~May 12, 2022~~
~~August 11, 2022~~
November 10, 2022

Form CRS Delivery

Form CRS Delivery is at the Point of Discussion

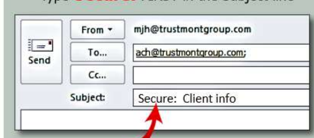
Send a Form CRS to existing clients as well as prospects at the point of discussion when:

- 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

BAE SYSTEMS

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



erado

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

Trustmont Group

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