Intent To Use Social Media Sites

Email this form to approvals@trustmontgroup.com

Please note: This form must be reviewed and approved by Compliance prior to using any form of social media for business purposes. Content changes to already approved social media site(s) are to be submitted through the Trustmont on-line submission form located on the website. Please submit 1 form for each social media type requested.

|  |
| --- |
| I. Requesting Registered Representative Information: |

1. Submitting RR’s Name: 2. Rep Number: \_\_\_\_\_\_\_

3. RR’s Registration Information:  [ ]  6 [ ]  7 [ ]  63 [ ]  65 [ ]  66 [ ]  Other:

4. DBA Name: or [ ]  Do Not Use DBA Name

5. RR’s Business Location Type: [ ]  Registered Branch [ ]  Unregistered Location

|  |
| --- |
| II. Information About the Proposed Social Media Sites to be Used: |

1. Social Media Site: [ ]  Facebook [ ]  LinkedIn [ ]  Business Website [ ]  Twitter [ ]  Texting
 [ ]  Other

2. Intended Use: [ ]  Advertising [ ]  Marketing [ ]  link to Business website [ ]  Other

3. Intended Date of first use:

4. Email address to be used to set up the social media account: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

5. Intended Connections or Recipients: [ ] Existing Customers [ ] Prospects [ ] Institutional Customers

[ ] Other: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |
| --- |
| III. Acknowledgment: |

With my signature below, I acknowledge and certify that:

* I am not permitted to use any email address(es) other than the Trustmont-approved one(s) to open any social media site(s) for the purpose of communicating with the public regarding or related to securities and/or investments including but not limited to securities advice and investment banking activities;
* I am not permitted to use any social media site/texting for the purpose, directly or indirectly for substantively communicating directly or individually with any customers, or prospective customers. Instead, associated persons must use, for these purposes, only their TFG approved electronic messaging account;
* Making any recommendation(s) of investments, securities and/or investment strategies;
* Posting, disclosing, communicating, disseminating, sending, and/or sharing any customers’ or prospective customers’ non-public personal information;
* Accepting or requesting, or acting upon, any customers’ or prospective customers’ authorizations or instructions;
* Making an endorsement of any investments or any securities products;
* Making or posting any statements which are or may appear to be testimonials for or about any investments, securities products or types of products or services;
* Like, endorse, recommend and/or indicate a favorite (e.g., social plug-ins) for any links, websites, posts, products, persons and/or services in ways that may be construed as an endorsement or testimonial.
* I have read and will follow the firm’s policies and procedures located in the WSP’s, governing communications with the public, including the use of social media sites/texting;
* When I wish to make any changes to my social media site(s)/texting including the contents and/or set-up(s) after the initial approval, I will submit a request through the firm’s on-line approvals submission form and will not make any changes until written approval is obtained; and
* I understand there is a cost associated with archiving each form of social media/texting requested once approved and set up.

 \_\_\_\_\_\_\_\_\_

Registered Representative’s Name Signature Date

|  |
| --- |
| IV. Home Office Use Only |

[ ]  Use of the proposed social media site(s) is approved [ ]  Use of the proposed social media site(s) is rejected

Principal Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Reason rejected: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
System Set-up Notification (date and person notified) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

System Set-up Completion (date completed) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Rev 12-26-19