



REGISTERED REPRESENTATIVE'S
QUARTERLY CHECKLIST

Reporting Period: _____

Each Registered Representative ("RR") associated with Trustmont Financial Group must complete and submit this form to his or her Supervisor quarterly.

A. GENERAL INFORMATION

- 1. Reporting RR's Name: _____ 2. RR's Branch Code: _____
3. RR's Branch Location: _____
4. RR's Supervisor's Name: _____
5. Business Type (check one): Investment Banking Securities/Investment Advisory
Home Office/Other (Specify): _____

B. RR'S PERSONAL & RELATED CONDUCT

- 1. During the reporting period, have you made any changes to your outside business activities? Yes No
If yes, have you notified and received pre-approval from your Supervisor and the Home Office? Yes No
Have you checked your CRD to ensure that such changes have been reflected accurately? Yes No
2. During the reporting period, have you participated in any private securities transactions? Yes No
If yes, have your received written approval from your Supervisor and the Home Office prior to your participation in such activities? Yes No
Have you provided all information related to the transaction(s) as required? Yes No
3. Have you or your family opened any new personal securities account(s) during the reporting period? Yes No
If yes, have you notified your Supervisor and the firm's Compliance Department? Yes No
If opened with a broker-dealer other than the firm, have you received a copy of a (a/k/a 407 letter) sent to the executing broker-dealer? Yes N/A
4. Have you reviewed your Form U4 to ensure that your information, including but not limited to disclosure events, is current and complete? Yes No

C. RR'S BUSINESS CONDUCT

- 1. Check ALL electronic media you used for communications with any customers, prospective customers and/or the public regarding activities referring to, involving and/or related to Trustmont.
Instant Messaging Text Messaging Chat Rooms Blogs Social Networking or Message Board
Email with other than Trustmont approved email address (emailaddress): _____
Other: _____
I have not used any electronic communications and/or other media other than my Trustmont-approved email address.
2. Have you submitted all outgoing correspondence to your Supervisor for review and/or approval? Yes No
(if Yes attach an "Outgoing Correspondence Log")
OR _____(initial) Check and initial if you have not sent any correspondence during the reporting period.
3. Have you submitted all incoming correspondence received during the reporting period to your Supervisor for review and/or approval? (if Yes attach an "Incoming Correspondence Log")
OR _____(initial) Check and initial if you have not received any correspondence during the reporting period.
4. If and to the extent applicable for this month, provide a copy of the following blotters, logs and all documents associated with each log or blotter to your Supervisor.
Securities Received Blotter Gifts and Gratuities Log
I have attached the blotter with this form. I have submitted my quarterly log.
I do not have anything to report for this period.
Checks Log Cash and Non-Cash Compensation Log
I have submitted the monthly checks log. I have submitted my quarterly log.
Direct Business Blotter
I have submitted my quarterly log.

D. RR'S CUSTOMER ACCOUNTS AND ACTIVITIES

1. During the reporting period, have you opened any new accounts for any customer(s)? Yes No

Customer Name	Acct Type	Custodian	Product Type	Investment \$

2. During the reporting period, did you make any recommendations to any customer(s) of particular securities, investments or investment strategies which were not involved in or resulted in a securities transaction? Yes No

If Yes, did you complete a "Recommended Ticket without Securities Transactions" form for each such recommendation? Yes No

Have you forwarded them to your Supervisor? Yes No

3. During the reporting period, did you recommend any new particular securities, investments or investment strategies to your customers for the firsttime? Yes No

If Yes, did you conduct/complete "reasonable basis suitability" due diligence on the securities, investment(s) or investment strategy(ies)? (Product Due Diligence) Yes No

Did you complete a "Reasonable Basis Suitability Assessment" form (F006) for the investment(s) or investment strategy(ies)? Yes No

Do you have a client which is a government entity? If yes, provide the following information. Yes No

4.

Account Name	Account HeldAt	Account Number	Account Type
			<input type="checkbox"/> Advisory <input type="checkbox"/> Commission Based
			<input type="checkbox"/> Advisory <input type="checkbox"/> Commission Based
			<input type="checkbox"/> Advisory <input type="checkbox"/> Commission Based

E. CERTIFICATION

With my signature below, I certify that: (i) I personally completed this form; and (ii) all information and statements contained herein are accurate and complete to the best of my knowledge and belief. I also understand and agree that false or misleading statements or information, and/or any material omission(s), may result in disciplinary action up to and including termination of my association with the firm.

RR's Name RR's Number RR's Signature Date

With my signature below, I certify that I reviewed this document and discussed each section with the reporting RR who is supervised by me. Furthermore, I agree to contact and report promptly and fully to the firm's CCO any/all violations or potential violations detected during the review of this document, and/or that I detected otherwise.

Supervisor's Name Supervisor's Signature Date