July – Compliance Call Notes

- **Signature Guarantee from**: Please make sure you submit the *Signature Gart. Request Form* to OUR office and/or CIR with the documents being stamped.

- **Investment proposals:** ALL investment proposals, used with TPMM, need to be submitted into Adview. (A TEMPLATE of the proposal needs to be uploaded). This includes, but not limited to… Brinker, Eqis, Howard Capital, AssetMark, SEI, Frontier, Clark Capital, etc…

- **Financial Planning Engagement:** make sure if you are providing advise on weather or not clients should re-finance or consolidate loans, make sure you have an FPE on file for that advise. *(Remember: if you are going to refer your clients to a lender, you need to provide them with three names)*

- **CRS forms** need to be FIRST attachment in an email

- **Firm Element** courses are now available: Remember you have until October 15th to complete all courses. https://cambridgeinc-repadvisor.sabacloud.com/Saba/Web_spf/PRODTNT081/app/me/plans

- **New Accounts/paperwork:** needs to be approved in Trade Review BEFORE mailed to sponsor company

- **Use a "VAULT":** make sure you are using some sort of VAULT when "providing/sharing" documents to/with clients. Sharing files thought services like Dropbox or Google drive is not acceptable. (Sending documents via email is secure and still acceptable)

- **Imposter FINRA Website:** FINRA has issued a warning to member firms of a new imposter website, finnra.org. This website is not connected to FINRA, and you should delete any emails originating from this address. FINRA has requested that the Internet domain registrar suspend services for "finnra.org". (CO-20-51)

Always:

- Submit all advertising into Adview
- Submit correspondence ***ON TIME***
- CyberFraud – be mindful of communications with clients & within the office
- **Make sure you U-4** and OBA are current and up to date
  (when changes occur, you need to report within 24 hours)