August – Compliance Call Notes

- ➔ ***FORM CRS –*** SEC is looking for delivery, so make sure you have "documentation" (via email, note in CRM, DocuSign, snail mail) of how it was delivered
- ➔ ***TRUSTED Contact –*** not required but remember to ASK!
- ➔ **OBA** – system is going through an update.
- ➔ **CYBERSECURITY = BE AWARE**! Admin. emails are the emails that are getting "hacked" the most. HIGHLY recommend you get your own Cybersecurity insurance – it will help the process and cost, if there is a hack, go smoother. See email for additional information and resources.
- ➔ **SECURE emails** - PLEASE make sure you are adding ***SECURE/ENCYPT/SENSITIVE*** to **ALL** email that have non-public information them, this includes *date of births!*
- ➔ **FPE** (Financial Planning Engagement) - make sure you have an FPE on file when consulting mortgages and re-fi's (and any other "outside" advice)… this is to protect YOU.
- ➔ **CORRESPONDENCE** – needs to be ***submitted ON-TIME***... Due on the 15th and 30th of each month.
- ➔ **Cashier's Checks** – can only be accepted if they are over $10k
- ➔ **Firm Elements** classes are now available – see link in email
- ➔ Check Trade Review Daily!
- ➔ **Ignite** in Nashville – register and book your hotel TODAY… they are almost full. See link in email
- ➔ **Accelerate** – HIGHLY recommend you send your staff to the Admin conference… see link in email

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)