

## **February – Compliance Call Notes**

Ñ **Emails... Be AWARE of communication done via email** (with clients and within the office). There have been a higher number of phishing scams lately

Ñ **Annual Client letter** will be going out in April... please make sure client information is updated by March 15<sup>th</sup>

### **Always:**

- Submit **all** advertising into Advview
- 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)