April – Compliance Call Notes

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

- õ **Check Trade Review –** *daily* and manually (there have been some issue with the "Alerts" on the CLIC Dashboard). After 30 days, if there is no response within CLIC/TradeReview, the trade will be rejected.

- õ **Completing Disclosure Forms…** make sure you are verifying your numbers in CLIC and within CIRStatements when completing the forms. Additionally, make sure you complete the forms in their entirety. If you need guidance, please reach out to one of us.

- õ **Good Friday** – some of the markets are closed and CIR closes early.

- õ **Branch Meeting** - we have a few spots open, please reach out to Stacey for information
  - ➔ There will be CLIC Investor/Advisor Training
  - ➔ How to leverage CIR for operational and practice management best practices

- õ **Admin. Conference -** October 16th – 18th in Dallas… ***HIGHLY*** recommend they attend. *Want to share hotel rooms, to save on costs, let me know.*

- õ **529 Accounts** – C-shares are not allowed if account holding period is longer that 5years

- õ **Client Termination** – see attached bulletin

- õ **Personal Emails** – DO NOT USE FOR WORK/SECURITIES related business. If you receive a securities email to your personal email, forward it to your Smarsh approved email address and respond accordingly.

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)