

August – Compliance Call Notes

- Friendly Reminder the **Share Class Conversion** is in the final stages... see bulletin [HO-19-37](#) for more details

- **FIXED ANNUITIES** with NYL and Security Benefit need to be completed with a disclosure and need to be submitted into Trade Review

<https://www.cir2.com/internal/communications-from-cambridge/bulletins/home-office/annuity-disclosure-updates/>

- **Firm Element – Due October 15th** (complete early to avoid compensation from being placed on hold – having technology issues is not a valid excuse for courses not being completed, plan accordingly) ... you can complete most of your courses in person at a CIR conference and the rest of your courses can be completed online (available via Knowledge Center on CIR2.com, we suggest using CHROME as your browser when completing the courses).
www.cir2.com → education and events → KNOWLEDGE CENTER (on left side of screen) → scroll to bottom, under MY LEARNING select 2019 Supervisor Firm Continuing Education

- **Email Disclosure – Make sure your email disclosure is on any emails sent from your phone!!**

- **Trade Review – check DAILY and RESPOND. Not a good practice to leave items in the queue for months... respond and clean up outstanding items with urgency and thoroughness.**

- **Variable Annuities –** the VADAP form is no longer valid... all additional purchase need to use the standard VAD from

- **Forms –** CIR updating forms all the time, make sure you pull the correct forms from the website or via CLIC

- CIR National Conference in Colorado this year... please see link to register and view the agenda
<https://web.cvent.com/event/770794d5-a2c5-46b0-9438-0fad80f3c35e/summary>
 - You must complete ONE of the Cybersecurity course for your Firm Element (CIR is only offering this course twice, so plan accordingly)
 - There is a “branch” lunch on Thursday (PREFERRED PARTNERS ENTERPRISE lunch)... this is not required and nothing will be presented, but if you need a place to eat lunch and what to get to know more of the advisors in the branch, please join us.
 - We are working on a Happy Hour for Thursday Night – more details to come
 - **Annuities – if you sell/service annuities HIGHLY recommend you attend the Morningstar Annuity Intelligence Demo on Thursday afternoon**

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)