

January – Compliance Call Notes

→ Reminder:

- Check your Fee Billing every month/quarter
- Compensation Statements
- Correspondence
- Update States on website
- Update logs in Compliance Binder/folders
- Signatures on EMAILS and PHONES (make sure they have been submitted into AdView)
- OBA & PST –submit *before* you engage

→ READ: **SECURE ACT** <https://www.cir2.com/internal/communications-from-cambridge/cambridge-special-report-/cambridge-special-report-the-secure-act1/>

→ **CIR 1099** -- will be available on CIR2 website, by the end of the month. CLIC → Reports → Reconciliation → 1099, select tax year & CLIC → Reports → Production → YTD Payout with Adjustments, select tax year

→ **Cyber Security:** see CIR resources -- <https://www.cir2.com/internal/compliance/compliance-resources/cybersecurity/>
HIGHLY recommend you get cyber security insurance --
<https://www.cir2.com/Internal/Compliance/Compliance-Resources/Cybersecurity/Cyber-Insurance-FAQS/>

→ **529 Accounts:** additional information is now being required in CLIC and *remember* share classes

→ **C-Share:** Remember time horizon

→ Pay to Play – if you make ANY political contribution to a campaign or party, this NEEDS to be disclosed to CIR. There are limitations, so please confirm you can make the contribution BEFORE you write the check.

→ View CIR's conference schedule: <https://www.cir2.com/Internal/Education--Events/Conferences-Workshops--Events/>

- 1) **Ignite** is in Orlando, DISNEY WORLD
- 2) **Accelerate** is in Chicago (admin conference – HIGHLY recommend going)
- 3) **CIR Connect** there will be a conference in Denver

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)