

Weekly Rep Call

Click [HERE](#) to listen a recording of this week's rep call.

Call Notes (Click on the [red links](#) to learn more):

Compliance and Administration Updates

Compliance Topics

Gifting Requirements

- Gifts given to or received from others in conjunction with securities business are subject to limitations imposed by rule and Cambridge policy.
- Advisors must maintain records of business gifts and gratuities given or received.
 - These gifts should be maintained in a [gifting log](#)
 - Gifts relating to securities business are limited to \$100 per person per calendar year

Entertainment

- Entertainment of clients or prospective clients must be reasonable and not so expensive it raises a suggestion of unethical conduct.

Practice Management

Third-party Manager [Administrative Fee](#)

- Many firms have decided to limit their direct third-party offerings in order to save costs.
- To continue to provide our advisors with such diversity, Cambridge will begin charging a 5 bps administrative fee January 1, 2019 on all assets held directly at third party money managers.
- The administrative fee will be applied one of three ways:
 - Program fee - paid by the third-party manager
 - Program fee - paid by the client
 - Program fee - paid by the client
- Access the complete list of third-party managers [HERE](#)

RetireUp

- [RetireUp](#) who was on our rep call in September will be conducting a webinar for Cambridge reps.
 - The webinar is for October 25th at 2:00 PM ET
 - To register please click [HERE](#)

From Last week's Webinar:

- Watch the webinar [HERE](#)
- [Referral Edge](#) is a phenomenal way to find HNW prospects and 401K plans right in your backyard. Mark

covered how to sign up for access, basic navigation, and how to get additional information and training.

- To get instant access to **Referral Edge** click [HERE](#)
- Once on the web page click on "Register Now"
- The security code needed is **NFS-CFE**

Ignite Next Week

- With Ignite next week, we will not have a rep call on 10/17/19. We are looking forward to seeing everyone there!

Larry L. Qvistgaard
President
Duncan Advisor Resources

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