Duncan
ADVISOR RESOURCES

Making It All Work **Together**

Weekly Rep Call - Recording

Click HERE to listen to a recording of this week's rep call.

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

Compliance/Administration

- FINRA 2017 Regulatory and Examination Priorities Letter

High-risk and Recidivist Brokers

- Rep advisors with one or more disclosure on their form U4 will receive increase attention from regulators
- Investment news has an article on requirements to attempt to remove a yes answer on your U4
- Additional scrutiny will be placed on any reps being recruited to join Cambridge that already has a yes answer

Product Suitability and Concentration

- Products with longer lock up periods are receiving increased scrutiny
- Most of these products have an addition document requirements. This is not always enough or does not explain what you are trying to accomplish. Additional rationale can always be included with trade submissions
- Providing this can help all parties involved understand why this transaction is the most appropriate investment for your client

Senior Investors

- Investor protection lies at the heart of FINRA's mission, and protecting senior investors will remain a top priority in 2017. FINRA will assess firms' controls to protect senior investors from fraud, abuse and improper advice
- FINRA in its report "National Senior Investor Initiative" define a senior as investors aged 65 years old or older

Links

FINRA Priorities Letter
Letter from FINRA CEO, Robert Cook
Investment News Article

Practice Management

- Annual Branch Meeting

Register to Join Our Annual Meeting

Registration is still open so if you have not yet done so register to attend the conference Today!

Room Block Has Closed

On April 12th, our room block closed. Rooms are still available but the hotel rates will increase. If you have not

done so reserve your room today.

Preliminary Agenda Available

- Advisor Panel

We will be having an advisor panel with three successful advisors from our group. These reps will be discussing things that they have put in place to increase their practice in a great way

- Cambridge Hosted Workshops

On Wednesday from 1:00 PM - 5:00 PM Jim Silvers from Cambridge will be hosting certain technology workshops

- CIRStatements
- Retirement Center
- Wealthport

- **First Timer's Breakfast**

For those who have not attended a previous branch meeting we will be having a first timers breakfast to welcome all new reps to the meeting

Top advisor recognition

We will be recognizing our top advisors at this year's meeting

Links

Register for the conference
Reserve your room here
Review the Preliminary Agenda

Best Regards,

Larry L. Qvistgaard
President
Duncan Advisor Resources

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