Duncan ADVISOR RESOURCES

Making It All Work **Together**

Weekly Rep Call

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

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

Compliance and Administration Updates

Compliance Topics

Investment Exchange Disclosure (Switching investments)
- Effective July 2, the updated policy and new forms must be used
- There are three separate forms and instructions, depending on the investment you are selling.
  - Investment Company Product
    - Form
    - Instructions
  - Annuity
    - Form
    - Instructions
  - Alternative Investment
    - Form
    - Instructions

Annual Professional Privilege Tax
- Tennessee imposes an annual $400 tax on advisors registered in Tennessee. This professional privilege tax due date to June 30.
- Contact licensing@cir2.com if you no longer wish to be licensed in Tennessee
- To pay this tax click HERE

2018 Firm Element Continuing Education
- The instructions to access the 2018 CE are available here
- The CE credit you relieved while attending the annual branch meeting will post by the end of next week.

Practice Management

Guest Speakers from Advisors Asset Management

- Randy Pegg, Managing Director, Advisor Consulting Group and Chris Brigati, Managing Director, Head of Municipal Trading joined us this week. During their time they discussed:
  1. Quick sheet on our Capital Markets Municipal Trading Desk.
  2. Comparing individual bonds to bond mutual funds

3. An overview on how AAM Supports Financial Advisors

- For additional information contact your AAM relationship manager
  - To find out who your relationship manager is please contact capitalmarkets@aamlive.com.

Larry L. Qvistgaard
President
Duncan Advisor Resources

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