Weekly Rep Call

02/19/2020

Duncan ADVISOR RESOURCES

Making It All Work **Together**

Click the button below to listen to the recording of this week's rep call.

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

Do YOU have a topic you would like discussed on the next call? Let us know!
Contact your OSJ, or reply to this E-mail

Compliance/Administration

Fee-based annuity updates:

- Based on the **Private Letter Ruling** last fall, Cambridge is working to approve multiple fee-based annuity products for direct-billing in the near future. Currently, Nationwide is still the only approved vendor, but Lincoln's approval is set to be announced soon, so stay tuned for updates!
    - To view the list of approved products, click **here**

Signature Pages - compliant collection:

- Be sure not to request that a client **only** return signature pages to you. CIR has monitoring this closely, and full details of their document policy are as follows:
    - **Per the Compliance Manual, page 28:**
        - Client-signed documents must be returned with all pages intact. The firm is unable to accept signed or initialed pages unless accompanied by the full documentation that evidences that the client was provided with all information and agreements.This policy covers all signed documents, both wet signature and e-signature, and all forms of document transmission (e.g., mail, fax, email, etc.). Supervisors should confirm during correspondence review that advisors are requiring clients to submit complete documents along with signature pages.
- Also be sure that when submitting revised documents to trade review, the full document is uploaded (not just the pages with revised sections), as this policy also clarifies that CIR will not accept partial documents

Firm Element Training Deadline Moved Up

- Typically, we have until October to complete all portions of our annual Firm Element - due to the looming deadline to comply with Regulation Best Interest, this training is due much sooner than the rest (May 31st)
  - We are working to make this available as a networking breakfast at the branch meeting, but the training will otherwise be available **live** and through the **Knowledge Center University** along with the other Firm Element requirements
  - All OTHER parts of Firm Element will fall under the original deadline of October (Cyber Security, etc.)

Client Solutions Webinar Series: A Closer Look at the SECURE Act

- Monday, March 2, 2020: 3:00 p.m. – 4:00 p.m. CT
- Registration Link available **here**

FinTech

Branch Meeting Announcement:

- Hotel room block has now closed!
  - We have a number of reserved rooms available on standby - reply to this E-mail if you still need hotel rooms for the nights of the conference, or if you are looking for a room-sharing arrangement

Where are you with your 2020 marketing plan? What is holding you back?

- A recent report from Cambridge shows that only 32% of our branch advisors are using social media, and our goal is to actively promote new ways to get involved in this space
  - Not only is the younger generation heavily entrenched in social media, but even older generations are increasingly active online in order to view pictures of children and grandchildren, or stay connected with family and friends
  - When clients pass away, there is a greater chance of retaining the assets if heirs are familiar with you and with your brand through your online presence
  - Minimal cost for CIR social media attestation
- Branch marketing spotlight: Bluecap Financial
  - Check out their recent **video**, posted on Facebook
    - Created with minimal cost (recorded and edited on Shawn's Apple iPhone & iMovie)
    - Low-cost, effective way of reaching clients - with even a few shares, their brand is getting exposure to hundreds of Facebook users
    - Pre-approval of Cambridge was received

2020 Branch Meeting

The 2020 branch meeting will take place March 11th-13th at the Reunion Resort in Florida - see our weekly **E-mail** reminder for additional conference information

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