Weekly Rep Call

1/20/2021

Duncan
ADVISOR RESOURCES
Making It All Work Together

Click the button below to view the recording of last 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

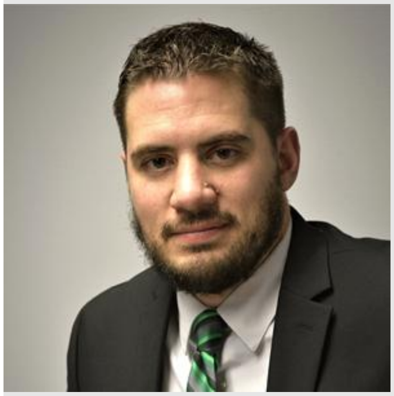
Cloud Office Training Opportunity

EXCLUSIVE EDUCATIONAL OFFER

January 26th - 3PM ET

By financial professional request, we are offering a demonstration on how to start converting your paper into a digital filing system. For more information, see the **announcement E-mail**, and simply reply to this message to request an invitation for the presentation!

Compliance/Administration



Compliance Year in Review

Branch Audit Alerts: Key areas of continued audit focus

- Outside Business Activities (OBA) – Continued stricter focus going forward, especially with regard to ensuring OSJ & CIR approval is obtained PRIOR to beginning proposed. Along with OBA's, Advertising, Private Securities Transactions & Political Contributions are will ALSO remain areas of focus for confirming that PRE-approval has been obtained
- Hard-copy correspondence - Late submissions from individual reps continue to be scrutinized more heavily. We regularly send E-mails with reminders of upcoming/late correspondence, but if you would like an additional way to give yourself a reminder, you can also use Outlook
- Personally identifiable information (PII) in E-mails - With cyber-security constantly at the front and center of public concern, auditors are conducting more thorough examinations of E-mail records. Be sure to use a trigger word (e.g. "secure") whenever PII is involved
- Client notes - We are seeing a much greater interest in viewing client notes during regular branch reviews. Ensure completeness, storage security, and relevance to client investment & money management choices. Cambridge may

also reach out for information (mostly related to advisor-directed accounts) in a capacity outside the scope of a regular audit

FinTech

FMG Suite

Chau Haner | VP, Marketing

Are you looking for a marketing solution from innovative service professionals working together to create beautiful and purposeful website designs, automated marketing tools, and award-winning educational content? FMG Suite's goal is to empower financial professionals with the tools to grow their businesses and enrich their communities. Watch the recording to find out how!

•Importance of a modern website
•How automations can save time
•Marketing solutions available to Cambridge advisors

Q: Is content pre-approved by Cambridge, or does it need to be submitted to AdView for approval prior to usage?
A: All content that is in our platform that is viewable by advisors is approved and ready to use. However, if making any modifications to the content, it automatically routes to Cambridge's compliance team for review before the advisor can use it. That's all managed within the FMG Suite platform so the advisor doesn't have to download the content and submit it separately. Also, just to add, there may be content in there that hasn't been approved by Cambridge's compliance team yet. In that case, the system will alert the advisor if content needs to go through compliance

Helpful links:
Presentation Slides
Services Flyer

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