

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**

## Upcoming Rep Calls

**October 20th** - Practice Management Tips on Social Media with Cambridge

**October 27th** - No call due to Ignite

**November 3rd** - Helping clients pay less for college with Collegiate Funding Solutions

**November 10th** - Quarterly DWA funds update from Dave Duncan and Tom Walsh

**November 17th** - Franklin Templeton presentation on Social Security Planning

**December 1st** - Duncan Financial Group: Support where you need it for your practice

**December 8th** - The Power of FlexGuard Income by Prudential

## CJ's Compliance Corner



### Reminders: Firm Element

- It is true that some of the products covered in the 2021 Complex Products either cannot or will not be sold by some of the FPs required to take the course. Licensed admins and licensed home office associates also do not sell them and are also required to take the course. Given the regulatory scrutiny on these types of products, Cambridge has decided to include it in Firm Element to ensure that all FPs had general knowledge about them, and that those who do sell these products are properly trained to do so. That was considered a critical enough need to warrant making this a requirement for all FPs in 2021

### Continuing Education

- FINRA continuing education is different from the annual firm element requirements from Cambridge. If you receive notice that

your CE is coming due, make sure to respond as soon as possible due to the time limit for completion

## Annual Compliance Questionnaire (ACQ)

- In addition to Firm Element, the ACQ is due each year. It will be available in RegEd once Cambridge has built the module. We will demonstrate how to access it on the weekly call as soon as it becomes available from Cambridge

## Updates:

### Ohio licensing requirements

- The state of Ohio has revised requirements for new applicants for securities salesperson and investment adviser representative licenses. The new requirements took effect on September 30, 2021. For full details of new requirements, see the recent [announcement](#)

## Around the Product Block



### Advanced Roth Strategies Webinar

Cambridge is hosting a great webinar October 13th at 3pm CST on Advanced Roth Strategies. Since the webinar will have happened by the time this email goes out, [here's the link to see the replay](#)

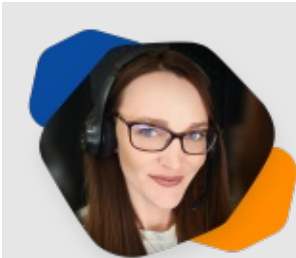
### Low Balance Liquidations

First Trust, Blackrock, Natixis, and Loomis Sayles Funds have announced upcoming account liquidations in November for accounts under \$500. If you get emails about these effected accounts, please schedule client service meetings with your clients. We will continue monitoring these and communicate if more fund families follow suit.

[Check out duncanar.com](#)

That's it! Check out the new site.

## Practice Management



### FMG Suite

Jessi Latimer  
Senior Marketing Consultant  
[jessi.latimer@fmgsuite.com](mailto:jessi.latimer@fmgsuite.com)

As you plan your marketing strategies for 2022, how is your website? What about your social media presence beyond your website? How about your email and greeting card marketing strategies? FMG suite can do all of that and more. Listen in to hear the latest offerings from them and how you can position 2022 as your best marketing year.

### Call Attachments

[FMG website options](#)

[FMG packages](#)

[FMG Presentation](#)

### Larry L. Qvistgaard, II

President, COO

Duncan Advisor Resources

215 Avenida Del Mar, Ste. B, San Clemente, CA 92672

T 800.517.9901 x2230 C 949.306.0060 F 707.676.8633

[www.duncanar.com](http://www.duncanar.com)



Making It All Work Together

Securities offered through Registered Representatives of Cambridge Investment Research, Inc., a Broker/Dealer, Member FINRA/SIPC. Advisory services offered through Cambridge Investment Research Advisors, Inc., a Registered Investment Advisor. Duncan Advisor Resources and Cambridge are not affiliated.

The information contained in this email is confidential and is intended solely for the addressee. If you are not the intended addressee and have received this email in error, please reply to the sender to inform them of this fact.

**DUNCAN ADVISOR RESOURCES** | 311 Main Street Irwin, PA 15642  
[www.duncanar.com](http://www.duncanar.com)

