

Weekly Rep Call

3/23/2022



Making It All Work Together

Today's Rep Call

Click the button below to view the recording of today'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

March 30th - No Call due to Branch Meeting

April 6th - TBD

April 13th - Russel Investments: Inflation Concerns and the Case for Real Assets

CJ's Compliance Corner



Updates:

Alternatives: new concentrations

Watch the recording for an review of the new guidelines, as well as an overview of the new alternative investment disclosure form

Vulnerable clients

FINRA has updated their rules to allow additional action to be taken when financial exploitation is suspected - use the **Vulnerable Client Intake Form** to submit any concerns to Cambridge

Amendments to FINRA Rule 2165 became effective on March 17, 2022 to permit firms to:

- place a hold on a securities transaction (in addition to the already-permitted hold on a disbursement of funds or securities) where there is a reasonable belief of financial exploitation; and
- extend a temporary hold on a disbursement or transaction for an additional 30 business days, beyond the current maximum of 25 business days (for a total of 55 business days) after first imposed unless it is terminated or extended by an order of a state regulator, agency, or court.

Repurchase at NAV

Changes are coming that can impact your compensation statement -

tune in after the branch meeting for more detail

NASAA Continuing Education

Changes are coming that can impact your CE requirements - tune in after the branch meeting for more detail

Around the Product Block



Upcoming Cambridge Connect Event

With the return of more in person events, Cambridge has announced this years Cambridge Connect: Growing your Business...The Cambridge Way. With insightful sessions, an engaging keynote, and peer networking opportunities, learn how they can help you turn industry trends into strategy opportunities for your business. Join them and your peers as they equip independent business owners like you to build up your business for the next ten, remain relevant in a digital era, and become a sought-after resource for your next generation of advisory clients.

Click the links below to sign up and see the agenda.

[June 14-16 | Denver, Colorado](#)

[July 27-29 | Providence, Rhode Island](#)

[August 25 | Virtual](#)

2022 Annual Branch Meeting



We are looking forward to seeing so many of you at the Omni ChampionsGate next week.

You can see the full agenda by [clicking this link](#)

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



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