


Weekly Rep Call

1/18/2023

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):



Regulatory Changes

- ❖ Best Interest Form
 - ❖ Inherited Accounts
- ❖ Qualified Retirement Plan Rollovers
 - ❖ RightBridge or plan fee disclosure – included in submission
 - ❖ "made best efforts" as last resort only
 - ❖ Analysis Report – included in client file
- ❖ Disclosures
 - ❖ Reg BI, CRS, etc. – document data and method of delivery
 - ❖ Vault is a great tool for sharing & retaining documents secure
- ❖ SEC Marketing Rule
 - ❖ Testimonials (unpaid) approved with certain limitations
 - ❖ Hypothetical performance not permitted with most clients
 - ❖ Check Cambridge for list of compliant software/outputs
 - ❖ Resubmit sales literature
 - ❖ Third-party marketing and lead generation firms must be on approved list
 - ❖ Solicitors are now promoters
- ❖ Any new email addresses created, make sure Multi-Factor Authentication is completed

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

January 25th - First Trust

2023 DAR Annual Branch Meeting

**March 15th - March 17th at the Omni Orlando
Resort at ChampionsGate**

We've discussed it and provided dates, now is the time to **REGISTER** for the

We have a dedicated website ready so you can reserve your attendance and **also book your hotel!**

IMPORTANT UPDATE: Please e-mail Larry if you need to reserve your hotel earlier than Wednesday. The system will not let you book anything before that day. In the meantime, go ahead and book your hotel from Wednesday until you depart and we will work with Omni to get you in once rooms open up in the next couple of weeks. Don't forget to email Larry (or reply to this email).

[Click Here to Register](#)
[Click Here to Reserve Your Hotel](#)

Don't forget to register for BOTH!

Practice Management



Your Duncan Advisor Resources Supervision Team

The most exciting and highly anticipated Enterprise call is here!

Listen to your DAR Supervision Team (Larry, Dennis, Greg, Catherine, and Thomas) as they work through some of their findings in 2022 that will help you gain more time back into your practice in 2023.



We will review:

- Regulatory Review
- Best practices with Hard Copy Correspondence and OBA's
- Best practices with Email Correspondence
- Trade Review best practices
- Important Audit findings
- Branch Operational Training and Support





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