

Duncan Advisor Resources
Quarterly Admin & Solo Practitioner Meeting Agenda
07/18/2023

Speaker Presentations

Rep Call Hot Topics:

- NetX360 new reports
- Mandatory Social Media Training & Policies
- RightBridge & Hearsay new look and feel
- WealthPort Program Review
- Team Oak feedback
- Advisory Paperwork Requirements
- eSignature compliance
- E&O – Pricing & Deadlines Announced
- BIA form “best efforts”
- OSJ Trade Review Procedures
- Discontinued Forms
- Undeliverable E-Mail
- Structured Products
- Fraud Risks & Cybersecurity Risks
- Medallion Signature Guarantee

AdView/RegEd Changes:

- Hardcopy Correspondence
- Advertising
- Deadline to pull AdView submissions

Trade Review Changes:

Larry and Thomas presenting

- Account Periodic
- New Account Open

E-mail Surveillance:

Thomas presenting

- When clients E-mail you their frustrations

Regulatory:

- Compliant communication

Branch Visits:

Dennis presenting

- How to prepare for your upcoming review

Ignite! 2023

Open Discussion

OSJ – Larry Qvistgaard

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