Weekly Rep Call

11/01/2023

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)

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

Rep calls are happening every Wednesday (Except the week of the Annual Branch Meeting) and we are working hard to fill the schedule.

November 8th- Dave Duncan and Tom Walsh 3rd Quarter DWA and Market Review

November 15th- Unlocking ChatGPT presented by BC Partners

November 22nd- Larry's 2024 Business Planning Session

November 29th- A Review of Practice Lab by Capital Group

2024 Annual Branch Meeting

We are excited to announce that the 2024 Annual Branch Meeting will be held at the beautiful Omni Amelia Island in sunny Fernandina Beach, FL . This meeting is designed to meet the needs of our financial professionals and will offer educational sessions on products, marketing and sales, marketplaces trends, and more. Plus a backdrop of the beautiful sunrises.

We are sending this communication out early for some important logistical items to pay attention to:

1. Flying into Jacksonville Airport is your best option
2. There is a PGA tournament that weekend - Review your travel options now
3. If you need a rental car, we would recommend getting that reserved now since those will be taken quickly with the tournament

We are looking forward to hosting you for this annual tradition like no other!

Greg's Groovy Compliance

ACQ, ACM, and FINRA CE Oh My!

For those Financial Professionals who have not completed your required Annual Compliance Meeting and/or Annual Compliance Questionnaire, it is now considered past due.

In order not to lose the ability to run your business and collect revenue (and avoid a letter of caution) please log into your RegEd dashboard.

The Dashboard is easy to get into by just clicking the link on CIR2.com under Popular Links and Resources. From there, the middle top box has your requirements due.

If you have not completed your annual FINRA CE, please go to **https://www.finra.org/registration-exams-ce/finpro** and take care of that this month.

Registration Changes January 2024

On Monday October 30th, everyone got an email from Steve Youhn about a Cambridge change in policy. That policy would allow you to drop state securities licenses IF you only have fee based clients in that particular state.
There are a few areas to clarify with Cambridge so please be on the rep call next week.

Around the Product Block

Amy Webber Interview

My Spotlight on Success is geared toward our enterprise Financial Professionals, but this month I changed it up and interviewed Cambridge's CEO Amy Webber.

Part 1 can be found on the DAR LinkedIn site here -> **https://www.linkedin.com/feed/update/urn:li:activity:7125458982818721792**

Part 2 will drop next Wednesday. Share the post, leave a comment, email me what you thought of it.

Changes to DWA Active

On October 31st, 2023, trade were made only in the Active portfolios. The Investment Policy Committee made the recommendation to remove HAGIX Carillon Eagle Mid Cap Growth I and replace it with VIMCX Virtus KAR Mid Cap Core.

We will have updated face sheets in the coming weeks to reflect the new fund. Allocation did not change.

Business Opprotunity

HRC Financial Group

Kevin Moss
Founder and Lead Portfolio Manager

Eric Noto
Managing Director
Email enoto@hrcfinancialgroup.com

Getting Clients Access to Venture Capital

As part of your business planning and models for 2024, if you're looking to add a small allocation that's not tied to traditional asset classes, tune in to get the easy to understand education about this space for your clients.

The historically attractive return profile of many late-stage venture-backed companies has typically only been available to institutional and high net worth investors. With many high-growth companies staying private longer than ever, a significant portion of their value appreciation has typically occurred before their entry into the public markets.

Presentation
Quarter 3 Commentary

The Compelling Opportunity

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Making It All Work **Together**