



Making It All Work **Together**

## Quarterly Admin and Solo Practitioner Call

**THANK YOU** FOR JOINING US!  
**SAVE THE DATE FOR NEXT TIME**  
Add to your calendar: October 8th, 4pm - 5pm ET



## Q3 CALL AGENDA

- IAR CE 2024 Requirements
- Trusted Contact **\*this currently does not auto-populate from CLIC**
- Sponsor Company Reimbursements
- Change to Instagram Policies
- RegEd Enhancements
- DocuSign Blank Signed Forms (and altering documents)
- PII Encryption
- Working from non-office locations
- Promissory Language
- New Account Form changes
- Settlement Date Changes
- Update for FINRA Full CAIS Reporting

Reminder: Include statements when quoting performance in E-mail or correspondence  
Hybrid/Virtual Work From Home Locations  
T+1 Settlement in effect May 28th  
Deposits into existing accounts  
Onboarding a new admin  
Vulnerable Clients Process  
Best Practices - Non-Conventional Alternative Funds  
Survey Responses Mandatory  
Annual CE Reminder  
E&O Insurance  
LinkedIn Archiving Reactivation  
PII Encryption  
Marginal Rate Table Updated  
[Creating Cases](#)



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