

Making It All Work Together

CJ's Compliance Minute



- 1. Pershing Marginal Rate Table Update
- 2. Vulnerable Client
- 3. <u>Customer Complaints</u>
- 4. Customer Reimbursements
- 5. Form U4 Disclosures
- 6. SEC Approves Spot Ethereum ETF Trading
- 7. FCCS RMD Notifications
- 8. New Wyoming ESG Disclosure Requirements
- 9. Pershing: Paper Subscription Fee Reminder
- 10. RILA and Fixed Indexed Annuity Exchanges



Catherine "CJ" Lavoie
Compliance Specialist
311 Main Street
Irwin, PA 15642
T 724-279-4046
www.duncanar.com



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