

Making It All Work Together

CJ's Compliance Minute



- 1. E&O Announcement
- 2. Account Change/Update Form
- 3. Technology Update Now, Later, Next
- 4. Pershing Duplicate Interest and IRS B Notices
- 5. Changes to Communication Review Submission Status Process
- 6. Borrowing from and Lending to Clients
- 7. Industry Holiday Calendar
- 8. Regulatory and Compliance Training Requirements and Deadlines
- 9. CLIC Account Periodic Reminder
- 10. <u>Understanding Best Interest Analysis Form Section 7: Fees</u>



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