

# Weekly Connections Call



# Duncan

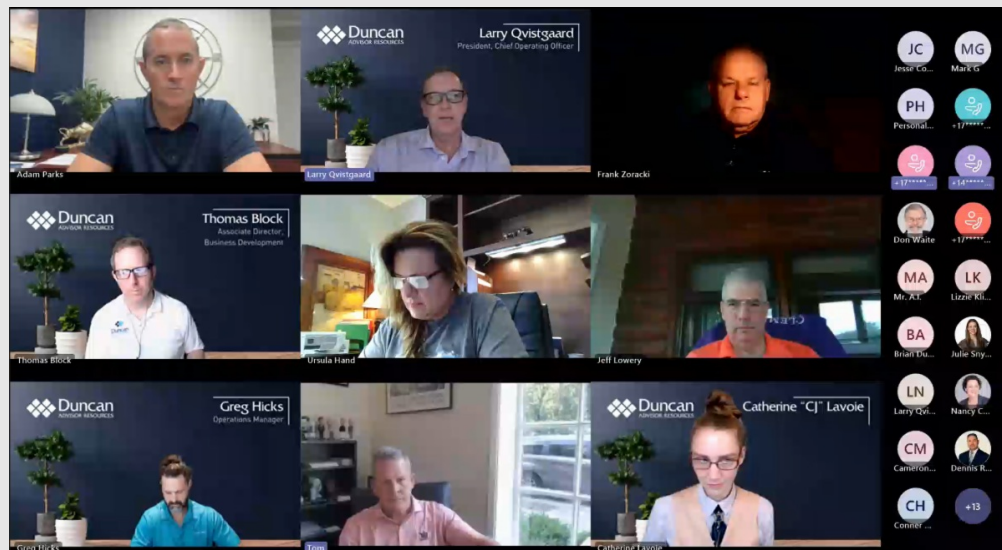
ADVISOR RESOURCES

Making It All Work **Together**

## Today's Connection Call

Click the button below to view the recording of today's call.

### AI Driven Notes



**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.**

## Connecting With You

I have an issue with compensation!  
Is this product approved?  
Is this an OBA?

When it comes to support, our OSJ enterprise is second to none. But who do you contact? Click the link below and save to your favorites the OSJ contact list. It is the most comprehensive page on who to contact depending on need.

## **UPDATED DAR OSJ Contact List**

### **Upcoming Connection Calendar**

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

#### **BlueRock Proxy Vote Discussion**

11 am EST, August 14th - **Danny Church's Zoom Meeting (CLICK FOR ZOOM LINK)**

Meeting ID: 704 430 7567

Passcode: **Bluerock**

**August 20 - NO CALL DAY!!!**

**August 27 - Growing Your Retirement Plan Business with DAR**

**Plan to be a part of our call every Wednesday.**

### **CJ's Compliance Corner**



#### **FCCS/NFS: "Click to Agree" eDelivery Email to Clients**

This will be the fourth round of E-mails to clients, as part of NFS pushing for eDelivery engagement. Clients will be receiving this batch the week of September 15<sup>th</sup> – for full details, check out the Cambridge **announcement**.

#### **FCCS/NFS: Wealthscape Login Security Update, MFA Replacing VIP Access - Launch Date September 4**

Quick update to the **previously announced** transition from VIP to MFA login experience. The launch date has been moved from August 7<sup>th</sup> to September 4<sup>th</sup>

#### **Bulk Client Emails**

We also discussed the importance of obtaining preapproval for any client communication intended for use with more than one client. This applies to:

- Mass E-mails sent to multiple clients at the same time (e.g., newsletters, special alerts such as the new Big Beautiful Bill).
- Template or standardized E-mails used with more than one client, even if sent at different times (e.g., annual review reminders, standardized meeting summaries).

All such communications must be submitted through the Cambridge Communication Review module in RegEd and receive approval prior to use.



### BlueRock Webinar

11 am EST, August 14th - [Danny Church's Zoom Meeting \(CLICK FOR ZOOM LINK\)](#)

Meeting ID: 704 430 7567

Passcode: [Bluerock](#)

### Horsemouth Key Financial Data

As mentioned by Larry, the key financial data for 2025 has been approved by Cambridge Advertising for your use.

**You can access the front and back through these two links -> [Front](#) | [Back](#)**

Once you have customized it, please reference tracking number **8216558.1**

### CIRStatements App – Client Version

**Calling all Financial Professionals!** Do you have clients that are tech savvy that would like to test out the new CIRStatements Client app? Please reach out to me before the end of the month.

### CLIC Enhancement - Form Generation

Cambridge is pleased to announce a new enhancement to the CLIC<sup>®</sup> system from the Client and Account Management Team. The form population capability has expanded from 10 to 15 forms. This update includes the addition of five new forms now available in eSignature envelopes. This advancement represents a meaningful step toward streamlining workflows, minimizing manual input, and enabling support for a wider range of business scenarios.

### Effective August 13th - eSignature Tab Removal in Webcapture

Effective Wednesday, August 13, the eSignature tab will no longer be available in WebCapture. This change is part of an ongoing effort to streamline the submission process for new account and maintenance paperwork.

Going forward, once documents are signed in DocuSign, they will be automatically routed to Cambridge. There is no longer a need to upload signed documents through WebCapture. This update applies to all NFS, Pershing,

and Direct business paperwork.

## Review Your Held Compensation Report

The Qualified Compensation Statement provides resources for identifying held compensation. You are advised to review and verify your qualified compensation using this resource. Compensation may be held due to missing paperwork, account status, or licensing requirements.

For the states of Texas, Puerto Rico, and the Virgin Islands, compensation cannot be released if a license is not held at the time of trade, regardless of transaction type.

Reports are available as a resource to you to easily identify any outstanding held compensation. These should be pulled regularly for review. Reports included are:

- Qualified Compensation Statement – Pending: Items that will not pay out on the next compensation run if not addressed
- Qualified Compensation Statement: Unpaid items that have been through a compensation cycle
  - Both reports have items coded as follows:
    - Not Payable: The trade will not pay to the financial professional regardless of conditions
      - (i.e. the financial professional is not licensed in a state)
    - Not Payable Now: The trade will not pay until the 'qualified' reason is corrected
      - (i.e. all account paperwork is not on file)

To avoid most scenarios in which compensation could be held, please ensure you:

- Have the appropriate state securities registration (where applicable)
- Have the appropriate insurance appointment (where applicable)
- Ensure all account paperwork is complete and on file.

## Cambridge Focus List

With over 10,000 unique Mutual Funds and ETFs available in the United States, the Cambridge Focus List seeks to provide a resource for financial professionals to narrow down their universe of investment choices to a more manageable list of candidates covering 23 of the largest Morningstar categories.

Floating Rate is the newest category to be added. You can access the focus list and methodology by click here  
-> [Cambridge Focus List](#)

## Business Opportunity - Innovators ETFs



**Adam Parks, AIF®**  
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Adam D. Parks, AIF® is the President and CEO of Trinity Wealth Management Group and the visionary founder behind this independent, fee-based advisory firm established in 2015. Adam leads a dedicated team of financial professionals, grounded in a fiduciary-first philosophy and backed by Cambridge Investment Research, delivering personalized wealth strategies free from corporate influence.

Adam combines his economics background and deep industry expertise with a passion for service. A six-year U.S. Army veteran and former USF instructor, he has earned numerous honors—including “Best in the Bay” Top 10 Financial Advisor in 2021, 2023, and 2024—and channels that same leadership into philanthropic efforts and niche initiatives like his “Reggae2Retire” program.

**Trinity Wealth Management Group** is a Veteran owned and operated, independent, objective financial services firm committed to understanding our clients needs and developing strategies to help them achieve their long term and short term goals. They design personalized investment and tax strategies to help accumulate, preserve and protect their wealth as well as their income.

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