Weekly Connections Call

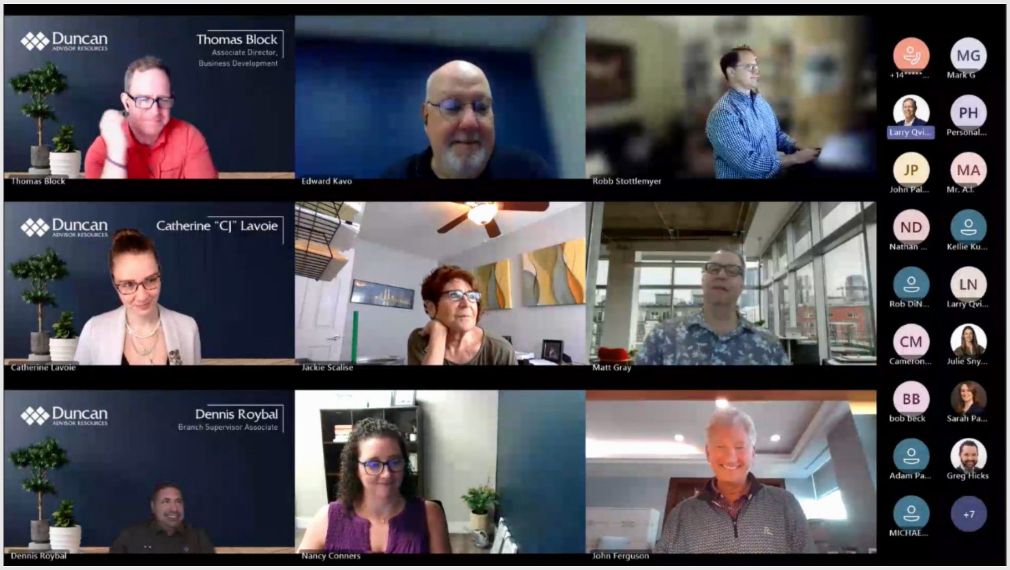
Duncan
ADVISOR RESOURCES

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.

SPECIAL DISCOUNT FOR FINANCIAL PROFESSIONALS!

zocks

Take advantage of this special discount from Zocks!

We’re excited to share that we have partnered with **Zocks AI,** to bring those affiliated with our Enterprise **15% off** your first 12 months using

Zocks.

Zocks AI helps advisors:

- Analyze client sentiment to improve communication and relationships
- Track advisor performance with detailed scorecards
- Streamline processes with a built-in form filler
- Integrate with eMoney for a smoother planning experience
- Gain practice insights and user data to drive growth

Schedule your onboarding call here with our DAR account manager to start leveraging Zocks right away.

ATTENTION IGNITE ATTENDEES

If you attended Cambridge Ignite last week, we'd greatly appreciate your participation in this survey:

https://www.surveymonkey.com/r/DWW3HJH

Thank you for your participation! Your opinion matters to us, and your feedback helps us improve future experiences.

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.

September 10 - Potomac: Bear Market in Diversification

September 24 - Dunam: Advanced Tax Strategies to Supercharge your 4th Quarter

Plan to be a part of our call every Wednesday.

CJ's Compliance Corner

Non Documentary Review

For most natural U.S. citizen clients, you will no longer be required to collect an ID. In the Patriot Act section of the Client Information and Suitability Form/New Account Form, select non-documentary (see screenshot below). Once the non-documentary option is selected, the identity verification process will be automatically initiated.

If verification cannot be completed, your Service Experience Team will notify you via Case to collect and submit the necessary documentation. Non-U.S. citizens and entities must still undergo documentary verification.

Product Purchases Funded by Cash

- When marking Savings from Earned Income (cash) as the source of funds, you are only exempt from completing investment exchange documentation if no investments were sold to raise the cash.
- If another product was liquidated to generate funds, whether the sale/s occurred recently or several years ago, you must still complete the Investment Exchange section of the Annuity/Alternative Investment Disclosure or submit a full Investment Exchange Disclosure.
- During OSJ review, the supervision team will review the transaction history of funding accounts to determine whether any sales occurred to raise the cash. If sales are identified, the appropriate investment exchange paperwork will be requested.
    - To avoid transactions being sent back for revised or additional paperwork, please be proactive in providing this documentation up front. These measures ensure trade keys are in good order and will save everyone time by preventing NIGOs.

Action Item:

When selecting "Savings from Earned Income" confirm the true source of funds. If the cash was generated by the liquidation of any investment, whether weeks or years ago, proactively provide the investment exchange documentation.

Resource:

For Cambridge's description of when investment exchange details are required, please review the full Switching policy **here**.

Around the Business Block

Reminders About Clearing Firms Technology Updates

This month and beyond, both NFS and Pershing will be doing several technology updates. Here's a summary of

what's coming up (or recently happened) and when:

NFS:

Wealthscape Login Security Update – MFA Replacing VIP Access that is happening September 4th. Multi-factor Authentication and updated password recovery along with the discontinuation of VIP Access are all part of this enhancement. More details are here **->** **LINK**

Last week, Wealthscape Investor login experience changed. Multi-factor Authentication (MFA) was introduced on August 25, adding an extra layer of security. Also within Wealthscapre Investor, password requirements for "Forgot Password" and "Change Password" will be updated: minimum length will increase from 6 to 8 characters. This will go into effect on September 11th. More details here **->** **LINK**

Beginning September 12, the Wealthscape Investor Virtual Assistant will be decommissioned in an the effort to simplify the platform. For assistance, please have clients refer to the Help Center, which can be opened by clicking the question mark icon found on the left-hand sidebar in Wealthscape Investor. More details here **->** **LINK**

Fidelity is working to increase the adoption of eDelivery through a Click to Agree email that will be sent to select clients with email addresses not yet fully enrolled in eDelivery during the week of September 15, 2025. More details can be found here **->** **LINK**

Pershing:

Pershing has announced that investors with Asset Management Accounts (AMA)/Corestone who use paper checks will have the ability to order books of checks within the NetXInvestor application via a link to vendor Harland Clarke. The new NetXInvestor check order functionality will replace the current process for all check orders including initial orders.

There was no effective date in the story, just a coming soon. Link to the story is here **->** **LINK**

Pershing has announced a more secure NetXInvestor login process through enhanced Multi-factor Authentication (MFA). With this change, investors will be required to enter a passcode at each login for NetXInvestor or the mobile app. This change will be implemented prior to November 1.

As part of this update, the "Remember My Device" feature on the One-Time Passcode (OTP) will be removed.

Details and pictures of the changes can be found here -> LINK

And finally, last week Next360's Platform Tool Navigation went through an update. 'Resources' sub-head will change to 'Support' The 'Marketing Center' will change to 'Resources' – Details can be found here **-> LINK**

Roadmap to Revenue - Finishing the Year Strong

I currently have openings in my calendar for consultations on actionable items you can do to increase revenue for the rest of the year.

Items we could discuss:

- Tech stack options
- Branding
- Digital Marketing/Social Media
- Referrals
- Converting Commission to Advisory clients
- Refinancing your Annuity Book of Business
- Plus a whole lot more

You can email me **Thomas.block@duncanar.com** or call me directly (412) 688-6017 to find a time that works for you.

Business Opportunity - Ignite Recap

Ignite 2025 was packed with big ideas, powerful connections, and plenty of moments that reminded us why this community is so special.

A few of our own Financial Professionals shared their firsthand experiences—what inspired them, what they're bringing back to their practices, and how Ignite is shaping their next steps.

This was a great chance to hear real stories, get fresh insights, and see why events like Ignite fuel both growth and culture at Cambridge and Duncan Advisor Resources.

Visit our LinkedIn page to see some of the Ignite highlights!

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Intended solely for Financial Professionals and staff of Duncan Advisor Resources Enterprise