Weekly Connections Call

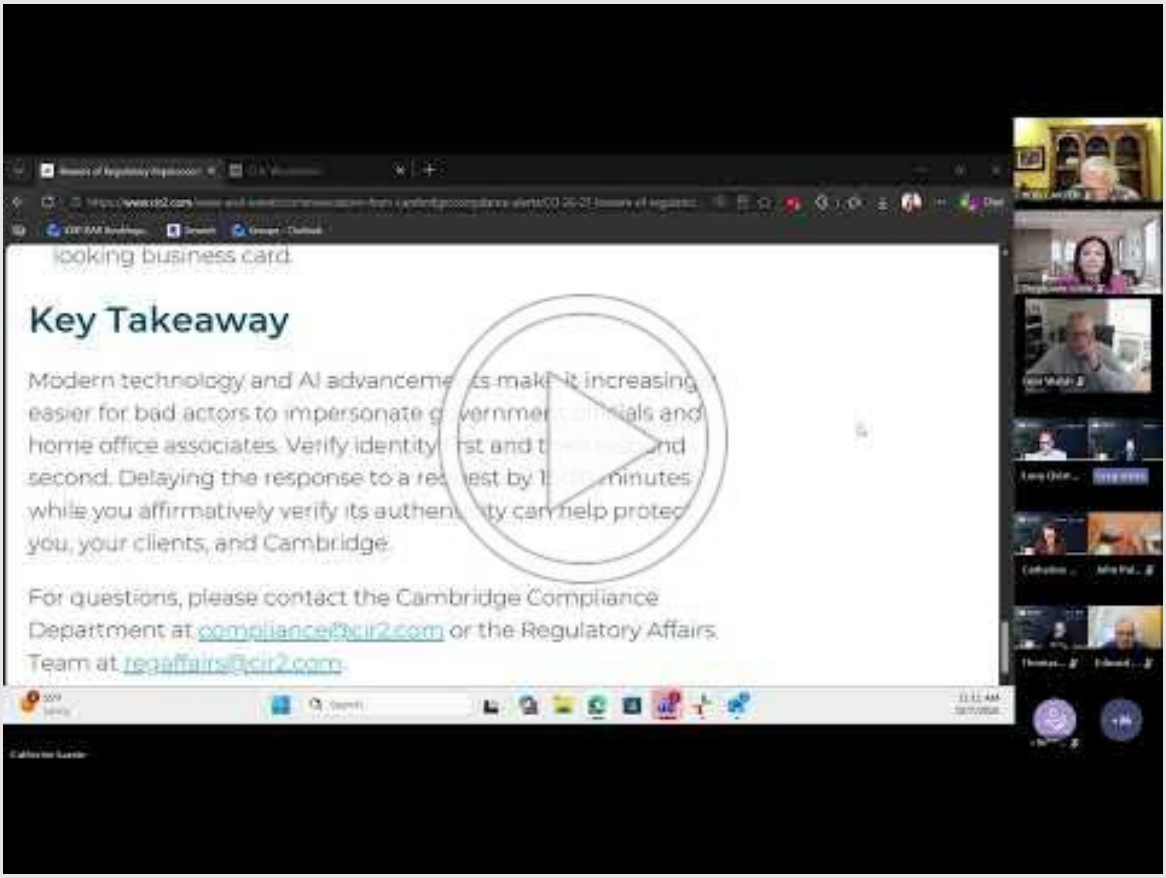
Duncan ADVISOR RESOURCES

Making It All Work **Together**

Today's Connection Call

AI Notes

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



Connection Calls are every Wednesday.

Got an idea for a call? **Reach out to Thomas Block.**

SPECIAL DEAL FOR FINANCIAL PROFESSIONALS!

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 a **6 month free trial.**

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, or scan the QR Code below.

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, and we are working hard to fill the schedule.

October 14 - Stay tuned...

Plan to be a part of our call every Wednesday.

Adam's Compliance Avenue



Beware of Regulatory Impersonation Scams

Reviewed the September 22, 2026 Compliance Alert **(CO-26-27)** regarding regulatory impersonation scams. Discussed the increasing risk of bad actors impersonating regulators, law enforcement, Cambridge Home Office associates, auditors, and IT personnel through digital or in-person contact.

Unexpected requests should be independently verified through Cambridge Compliance/Regulatory Affairs, Cambridge Security, the OSJ, Regional Director, or the appropriate regulatory agency before responding or granting access.

Remember: Verify First, Respond Second

Regardless of the title or affiliation presented, do not rely solely on the person's appearance, business card, E-mail address, badge, or stated authority. Independently verify the individual's identity, using one of the following methods:

- For written requests you need to validate, you can forward the information directly to Cambridge's Regulatory Affairs or Compliance Department and a team member will verify the authenticity. This is the best option.
    - Ordinary E-mails appearing "phishy" should be forwarded to Cambridge for evaluation: securityreview@cir2.com
- If you receive a technology related request seeking access to your system, contact the Cambridge Security Team, your OSJ, or Regional Director to verify authenticity
- For in-person visits from a state regulator, you may contact the state regulatory office directly and ask whether they were sending an individual to your office. Additionally, you should contact Cambridge Regulatory Affairs or Compliance Department before providing any information to the person. If a person shows up in your office unannounced, tell them you are going to verify their identity but do not call any phone number they provide you, even if it is on an official-looking business card.

To speak with someone on the appropriate team directly, call 800-777-6080 and ask for:
Regulatory Affairs (regaffairs@cir2.com)
Compliance Department (compliance@cir2.com)
Security Team (security@cir2.com)

Also highlighted that modern technology and AI can make fraudulent communications appear highly legitimate **(example)**, so taking additional time to independently verify a request is appropriate and can help protect clients, representatives, and the firm.

Tom's Business Block



FMG and Cambridge Testimonials Platform

AI is changing how prospects find and choose a financial advisor, and reviews are a big part of it. Only 10% of SEC-registered firms use testimonials today, but 81% of consumers check reviews before hiring an advisor. That gap is exactly what AI search tools like ChatGPT and Google are picking up on when they decide who to recommend.

Two weeks ago, FMG and Cambridge held a webinar on the venture that will allow you to publish client testimonials approved by compliance. This dashboard widget can work on any website even if FMG is not the host or creator. Utilizing this widget will now get you picked up more by AI agents as clients are searching for Financial Professionals near them.

Watch the replay here -> WATCH ME
Cambridge FAQ's -> FAQ
Guide to Testimonials -> Why Testimonials Matter

CAAP Model Name Changes = Updated Paperwork

Because American Funds wanted to rebrand their Tax-Aware models to Capital Group, BlacRock wanted to get out of Long Horizon over to Target Allocation, and Richard Bernstein thought a longer name to their models was key by adding the Janus Henderson name, Wealthport paperwork has been updated. If you have any Wealthport paperwork that has yet to be signed, you have until October 31st 2026 to get it done.

As a reminder, do not save Cambridge paperwork on your desktop. Always generate it directly from CLIC.

Daily AUA in Business Analytics

Business Analytics in CLIC® Workstation now includes daily AUA data and enhanced AUA trend views, giving you greater visibility into recent asset activity and longer-term trends.

In CLIC® Workstation, go to Reporting > Business Analytics to see a daily refreshed view of AUA, helping you monitor newly acquired business, track assets transitioning to your firm, and gain a more current perspective on your book of business.

Two enhanced trend views include:

- AUA Trend Analysis | Daily provides daily AUA history for the most recent 32 days, with data through the latest available business day. Use this when you want a more current view of activity between month-end reporting cycles.
- AUA Trend Analysis | Monthly provides 24 months of history and client segmentation analysis. Use this when you want to evaluate longer-term monthly trends and client segmentation.

With these enhanced features you can:

- Monitor recent AUA movement and daily trends
- Track assets associated with newly acquired or transitioning business
- Explore activity by client, platform, program, sponsor, registration type, or FP code

CLIC Workstation Indy/Zocks Integration

Effective today, Indy now can connect to your Zocks account as the next generation of Cambridge technology moves closer to more integration with application systems in CLIC Workstation.

With the Zocks integration, Indy can assist financial professionals with a variety of tasks related to client and meeting management as well as firm-wide analytics.

Here's a detailed breakdown of what Indy can do:

Client Contacts

- Search for contact information for specific clients.
- Look up client-associated details such as phone numbers, emails, addresses, or other relevant contact data.

Meeting Management

- Retrieve past meeting records or upcoming meeting schedules.
- Generate transcripts of meetings for documentation purposes.
- Provide AI-generated meeting summaries for quick overviews or action items discussed during meetings.

Firmwide Analytics

- Access and analyze firm-wide data insights over specified date ranges.
- Aggregate and summarize account-level details across the firm.

User Lookups

- Display lists of all account users.
- Show active user profiles or specific user-related data.

Key Outputs

- Provide tailored insights for optimizing workflows, tracking action items, or improving client engagement.

Hiring that Next Gen Advisor with Stephanie



Stephanie Little
Supervisor - Hiring Support
Email: stephanie.little@cir2.com

This session focused on Stephanie's presentation from this year's Ignite: preparing your business for a junior financial professional.

MATERIALS FROM THE PRESENTATION:
Hiring that Next Gen Advisor
build-your-team
New Hire Checklist 2025
KCU Cambridge Tech Links

Team Oak Feedback Form

A feedback form is now available to make it easier to share experiences with Team Oak at Cambridge here.

The form is flexible, and you may complete as much or as little as your schedule allows.

Your feedback and timely review of these items help us coordinate effectively with Team Oak leadership and improve the overall experience for our branch. Forms should be submitted directly to CJ **(catherine.lavoie@duncanar.com).**

Thank you for your participation!

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

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Constant Contact

Try email marketing for free today!