



You should have received an email from Timothy Friedman on Monday regarding the 2019 CE Program. Please note the completion deadline has changed to **November 1**. Tim's email contains links to FAQs which are not reiterated below.

Everyone is required to complete **Anti-Money Laundering** through the Learning Center.

Additionally, within this tab **licensed** personnel will have to complete:

Annual Compliance Meeting

Firm Elements: Conflicts of Interest, Suitability, and Sales Practices

Reps and licensed admins will also have components to complete through the Compliance Questionnaire tab:

Annual Attestation

Outside Brokerage Accounts and Holdings Attestation

Outside Activity Attestation (one per disclosed Outside Activity)

These should all be identifiable by the red dot located on the icons on your menu within the Compliance Questionnaire tab. If you are a **Registered Investment Advisor** you should see a fourth item noted with the red dot – **AMM Questionnaire**. This also has a November 1 completion deadline so take care of it while you are doing the rest of your CE. Once you have completed the Questionnaire you will have an Asset Management Methodology Attestation going forward.

We would like you to do two extra reviews while you are addressing your CE.

 Many of you were familiar with the old FINRA Snapshot website that enabled you to review your U4 information for accuracy. This has been replaced by FinPro. It takes just a few minutes to set up but then you will have established a user name and password so that you can verify accuracy of the data at least annually. Simply go to <http://www.finra.org/industry/finpro> and select the Create a FinPro Account link mid-page. Once you have completed the process, review your U4.

 Do you have any outside activities listed that you are no longer involved in? Make sure when you complete your Outside Activity Attestation that you update the status to inactive.

 Are you participating in an outside activity that isn't listed? Verify you have disclosed it as part of your Outside Activity Attestation. Please note, there are some Outside Activities that SAI doesn't have to report on your U4, but you do have to disclose. If an Outside Activity is missing from the FinPro review of your U4, but you are attesting to it being a current activity within the Compliance Questionnaire, you have fulfilled your compliance requirements.

If there are any inaccuracies on your U4 that can't be addressed through the Outside Activity Attestation please let us know so we can determine best procedure to make necessary corrections.

 This is also a good time to review your ADV if you haven't looked at it in a year or more. Please note there is a minor update to the information originally disseminated through the Thursday Tip regarding Form ADV emailed 2/28/2019. The BFA designation has been added to the options which can be selected so you will no longer have to request manual addition if you have completed the BFA training. Take a few minutes to verify all the information on your ADV is accurate.

For those offices with interns who are only in for select months, make sure they set aside a little bit of time to knock out their Anti-Money Laundering training while they are in.

If there are any questions about any of the information in today's tip, please do not hesitate to call.