

Thursday TIP

Business as Usual in Unusual Times

I know you are being inundated with emails about preparation for getting through the impact of COVID-19 when there is still so much uncertainty. What will the impact be tomorrow? How long will this crisis last? Below are a few points to consider to make sure you are meeting the needs of your clients while maintaining personal safety and compliance.

Phone calls

Check your voicemail message. Does it provide an alternate number for clients to call in the event you are not in the office? Per our previous recommendations, you can utilize our office number as your alternate number. Please be assured, regardless of where we are working, that phone line will be answered.

Can you check your received voicemail messages remotely? If you have more than one person in your office and everyone is working remotely, who is responsible for remotely checking voicemails and when?

If you don't currently forward your office line to an alternate phone when you leave for the day, consider checking with your phone company to verify the procedure for this.

Mail

If you are working from home/quarantined and a client wants to send a check for an investment, please be aware that you can not direct them to send the check to your home. You can provide them with Securities America's address to send brokerage checks to. You can provide mailing instructions to send directly to sponsors. Or you can have them send the check to our office for processing. Please note, if receipt of the check in your office would have required approval of a sponsor transaction prior to forwarding the check on to the appropriate parties, collect the relevant information to enter the sponsor transaction and inform client you will call them back with mailing instructions upon transaction approval.

We checked with the USPS to see if they would be expanding Informed Delivery to businesses so you could sign up to get emails of what is being dropped off at your office rather than having to go in daily to check the mail. They are looking to expand this service to business accounts in the future, but they did not provide a time frame. If this becomes available while we are still dealing with COVID-19 I will send out an update.

Working from home

If you are going to be working from home on a laptop that you have already set up according to the security requirements there is nothing extra for you to do. But if you will be working directly from a home computer, take the time to ensure that it meets all the security requirements. Once your home computer meets the security requirements, you can access your office computer remotely as needed. Per Jim Nagengast's email on 3/16 GoToMyPC has been Safeguard reviewed and meets SAI's security minimums.

Client Service

We have the ability to enter trades on your behalf. Having us enter trades on your behalf saves you the \$10 phone in charge you incur if you call trading to execute the trades for you. Plus, our potential call volume to execute trades on behalf of reps is going to be significantly lower than the potential call volume faced by the trade desk so we should be able to effect your trades more efficiently. In the

unlikely event that everyone in the trade department has to work from home, their calls will be redirected to them there. But again, for efficiency, reach out to us first if you are unable to enter trades. There are two options that have met the Safeguard review for conducting virtual meetings with your clients. Go to meeting offers a 14 day free trial – <https://www.gotomeeting.com> and Cisco Webex has a completely free version with unlimited time – <https://www.webex.com>

Some clients may have concerns about sending paperwork to you electronically. If you send them an encrypted email they will be able to reply to that email and the paperwork comes back to you encrypted. To refresh, type [encrypt] before your subject. If a client calls and wants to send you something encrypted simply shoot them an email titled [encrypt] Test and they can then attach their documents via reply.

Stay informed

For all the latest updates from Securities America, including access to resources, please check the new addition to their website under the News menu>Coronavirus (COVID-19) Updates.

If you have questions we haven't addressed above, please let us know.