

**Duncan Advisor Resources**  
**Quarterly Admin & Solo Practitioner Meeting Agenda**  
**10/10/2023**

Rep Call Hot Topics:

- Structured Products
- Changes to Forms
  - IRA/ESA Distribution Request
  - Beneficiary Distribution Request
  - Roth Conversion/  
Recharacterization Request
  - QRP Distribution Request
  - WealthPort Wrap Client Agreement  
and Application
  - Etc.
- ACM, ACQ & AML
- Missouri ESG Disclosure Requirements
- Cybersecurity Requirements
- Fiduciary Review Process
- Getting "Paperwork Missing" E-mails
- RightBridge 5500s
- DBA OBAs
- Communications Review
- Ignite Takeaways
- Compliance Minute
- Netx360 Client Enrollment

AdView/RegEd Changes:

- Hardcopy Correspondence
- Advertising
- Deadline to pull AdView submissions

Trade Review Changes:

- Account Periodic

Technology changes:

- RightBridge

Regulatory:

- Wrap programs
- FINRA CE

Branch Visits:

- Changes to computer inspection

Ignite! 2023

Open Discussion

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