

NAMA Client Brochure Webinar
October 19, 2-3ET/11-12PT
OUTLINE

- I. Introductions

- II. Rule G-10: Investor and MA Client Education and Protection
 - A. Updated Rule Effective 10/13
 - B. New Responsibilities for MAs
 - 1. Inform clients
 - 2. New recordkeeping requirements

- III. Client Brochure
 - A. Language That Must Be Sent to Clients
 - B. Link to MSRB Brochure
 - C. Timing of When Information Must Be Sent to Clients
 - 1. Current Clients
 - 2. Future Clients
 - 3. Ongoing Obligations
 - D. Combining Brochure/Complaint Language With Other Information Sent to Clients

- IV. Rule G-8: Books and Records
 - A. Written Complaints Must be Documented in Electronic Complaint Log
 - B. What is a Complaint?
 - 1. Components of a Complaint for G-10 Purposes
 - 2. Difference from Form MA-I Standards
 - C. Electronic Complaint Log
 - 1. Components of Complaint Log
 - 2. MSRB Sample Electronic Log
 - D. Client Complaint Product and Problem Codes Guide
 - 1. Likely Used Product and Complaint Codes
 - E. Six Year Record Retention Requirement

- V. Internal Procedures for Monitoring/Executing Both Complaint Requirements

- VI. Questions