



Compliance Update

October 30, 2023

Kingswood Team,

A few important reminders as we enter the last two months of the year.

Annual Attestation

Annual attestations have been assigned and are now available to be completed in the Quest system. Since this is the first attestation assigned since the Benchmark/Kingswood mass transfer it's critical that you complete this attestation thoroughly and in a timely manner. All fields are required. If you do not have a recent (within 12 months) ADV2b brochure which is required if you are an IAR please contact Rebecca Abergel at rabergel@kingswoodus.com. Your attestation is due before the end of the year.

FINRA Continuing Education

As previously mentioned FINRA now requires annual completion of CE through their FinPro system. It is extremely important that you complete the assigned CE as soon as possible. **Failure to complete by due will result in suspension of your licenses.** For information on creating a FinPro or logging into your existing account please go to <https://www.finra.org/registration-exams-ce/finpro>

IAR Continuing Education

This state mandated CE was assigned through our Quest system. Our deadline to complete has already passed and you may be out of compliance if you have not completed.

Firm Element Continuing Education

Firm element CE has been live in our Quest system for over a month now. The due date for completion is 11/30/2023. As mentioned in the welcome email only the ACM portion can be skipped if you attend the compliance portion of our annual conference in Scottsdale.

As always we appreciate your attention to these items. Failure to complete any of the above items by the assigned due date may result in fine and/or suspension. For any questions regarding your continuing education or the Quest System please contact Rebecca Abergel at rabergel@kingswoodus.com

Best Regards,

Mike Alsoraimi

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