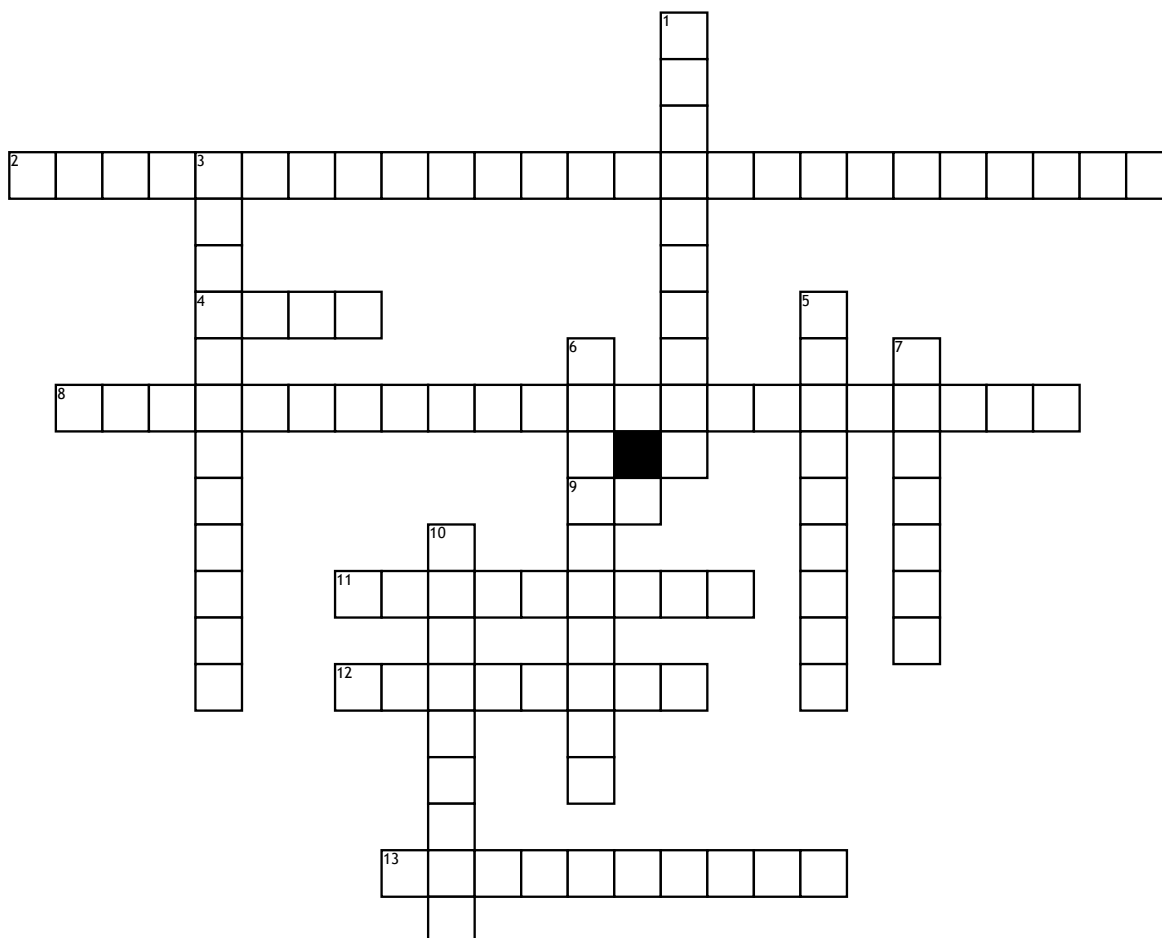


Name: _____

Date: _____

2nd Quarter 2017



Across

2. The new and improved user interface for the _____, which includes enhanced integration with Client Works is expected to be released the weekend of June 17. (3 words)

4. What is the form # for the Account Application - Prudent Process Rationale form that will be required to be retained in the client file beginning June 9th for rollovers?

8. Beginning August 1, 2017, it will be required to test your _____ as part of your annual review. (3 words)

9. In April there was a reminder to advisors to notify Registrations & Licensing Compliance or the Compliance Service Center of any changes to contact information, branch office changes, and updates to which form?

11. The Department of Labor (DOL) established the Best Interest Contract _____ to allow advisors and firms, as fiduciaries, to continue using current compensation and fee practices for retirement accounts, as long as they meet specific conditions.

12. LPL has delayed the requirement to do new mutual fund direct business on the LPL Platform until what date?

13. Beginning April 21st, withdrawals of proceeds from sales of securities prior to _____ are not allowed from cash accounts.

Down

1. In connection with a new Department of Labor (DOL) rule, LPL will provide important disclosures with respect to _____ accounts

3. _____ language is required to be removed from communications and marketing materials. (2 words)

5. LPL has introduced required fiduciary training for all registered representatives. When is this DOL specific training due?

6. Beginning April 22, the liquidation of certain _____ products will now be flagged for the OSJ to review.

7. LPL reduced the list of approved sponsors in the Turnkey Asset Management Program (TAMP) effective what date?

10. Which state is it that accesses all advisors and registered assistants a Professional Privilege Tax of \$400 for doing business in the state?