

IA COMPLIANCE BUZZWORD BINGO

Uncovered Options	AUM	Compliance	Prohibited Products	Low Priced Securities
California	Surveillance	Non-Discretionary	Arbitration	Policies and Procedures
Strategist Solutions	Variable Annuity	FREE	CDSC Periods	IA Act of 1940
IACU	Qualified Plan	INVEST	Government Entity	NAV
Continuing Education	CFP	Penny Stocks	Wrap Fee Program Brochure	Commission

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Variable Annuity	Arbitration	Prohibited Products	California	Non-Discretionary
Compliance	Wrap Fee Program Brochure	Low Priced Securities	CFP	Policies and Procedures
IACU	CDSC Periods	FREE	IA Act of 1940	AUM
Government Entity	Penny Stocks	Uncovered Options	Commission	Qualified Plan
INVEST	NAV	Strategist Solutions	Surveillance	Continuing Education

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CFP	Penny Stocks	Arbitration	NAV	CDSC Periods
Uncovered Options	IACU	INVEST	Surveillance	Low Priced Securities
Strategist Solutions	Commission	FREE	Qualified Plan	Government Entity
Variable Annuity	Policies and Procedures	Prohibited Products	Wrap Fee Program Brochure	Compliance
IA Act of 1940	AUM	Non-Discretionary	California	Continuing Education