

IA Compliance Buzzword Bingo

Series 66	Advice	CSA	PAC	Managed Account
Brokerage Account	Rules and Regulations	No Load Shares	Advisor Solutions	Ongoing Advice
RIA	Stock	FREE	Advisory Fee	INVEST
Lobbyist	Pre-Approval	Low-Priced Securities	Exhibit A	New Issues
Disclosure Brochure	Annual Review Certification	OSJ Manager	Sub-Advised	Burn-Off Periods

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Stock	Advisor Solutions	PAC	Brokerage Account	No Load Shares
CSA	Sub-Advised	Managed Account	Annual Review Certification	Ongoing Advice
Lobbyist	Advisory Fee	FREE	INVEST	Advice
Exhibit A	OSJ Manager	Series 66	Burn-Off Periods	Pre-Approval
Low-Priced Securities	New Issues	RIA	Rules and Regulations	Disclosure Brochure

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Annual Review Certification	OSJ Manager	Advisor Solutions	New Issues	Advisory Fee
Series 66	Lobbyist	Low-Priced Securities	Rules and Regulations	Managed Account
RIA	Burn-Off Periods	FREE	Pre-Approval	Exhibit A
Stock	Ongoing Advice	PAC	Sub-Advised	CSA
INVEST	Advice	No Load Shares	Brokerage Account	Disclosure Brochure