

Recent Changes

Trusted Contact Update and Temporary Holds

Updated: May 14, 2025

As part of our regulatory obligations and to help assure the protection of your assets with us, we encourage all clients to provide us with the name of a trusted contact.

Additionally, as part of our regulatory requirements the firm or your advisor have conditions in place to exercise a temporary hold on your account if we have reason to believe you are a vulnerable client where financial exploitation has occurred, is occurring, has been attempted or will be attempted, or if we reasonably believe that you do not have the mental capacity to make decisions involving financial matters.

We have recently reviewed and have updated our policies, procedures and disclosures so that we continue to ensure we act in your best interests. Thus, two new sections on Trusted Contact and Temporary holds have been added in in our Relationship Disclosure & Agreement (RDA). The updated RDA is posted on our website, and a hard copy will be available by request to your advisory team.