



Compliance Quick Reference Sheet

Securities disclaimer

The following disclaimer must be used as part of your email signature or when doing any investment-related business, regardless of the form of communication (business card, letterhead, fax cover sheet, website, etc.):

- **Securities offered through The Leaders Group, Inc., Member FINRA/SIPC, 26 W Dry Creek Circle, Suite 800, Littleton, CO 80120. (303) 797-9080.**

Note: if you are registered with TLG Advisors, Inc., there is a separate disclaimer. We can provide that to you when necessary.

Business Cards and Stationery guidelines

All business cards and stationery must be approved by Compliance prior to use. Representatives may design their own cards or stationery and submit a draft to Compliance before printing. Representatives who sell any investment-related products must use the disclaimer listed above.

Equity-indexed annuities

All equity-indexed annuities must be run through The Leaders Group for supervision – no exceptions.

Email

As required by the SEC, FINRA and each state, The Leaders Group, Inc. uses an email archive system to capture and retain investment-related email. **This is required of all representatives.** We are using Global Relay for this service. Your options for this are listed on our website (www.leadersgroup.net).

Additionally, all emails containing non-public information (SSN, date of birth, account/policy numbers, logins, passwords, etc.) must be encrypted or password-protected for security. Detailed instructions are listed within the Compliance Manual, which can be found on our website (www.leadersgroup.net).

Social Networking sites

The Leaders Group, Inc. welcomes the use of social media sites such as Facebook, Twitter and LinkedIn by its registered representatives as a means of contacting existing and prospective customers. Business-card information is allowed on LinkedIn, but Compliance must approve prior to posting. Soliciting business is prohibited in all forms of social media. Please review the full Social Media guidelines on our website (www.leadersgroup.net).

Websites

Any websites must be approved by Compliance prior to going live. If it is an existing website, Compliance still must review to ensure content is proper and any required disclaimers are in place.

Personal trading or brokerage accounts

If you or immediate family members hold any personal trading accounts at online brokerage firms, you will be required to transfer these accounts to TD Ameritrade as soon as possible once you are registered with The Leaders Group.

Security of customer information

Any documents or files containing customer information must be stored in a locked cabinet or office to prevent access by unauthorized people. Extraneous or unnecessary paperwork should be shredded, never left in an open trash can.

Please do not hesitate to call or email us with questions.

The Compliance Team
(303) 797-9080 x160
compliance@leadersgroup.net