



Required Office Documents

The following list of documents must be kept in office files in paper form there are also some files that must be placed as bookmarks on your computer system for quick reference. The KCD Operations Binder you receive at time of hire is to be kept onsite also.

Rep File

- Current U4
- OBA Form Current
- KCD Financial Representative Agreement
- Special Supervision Letter
- Current Insurance Licenses and Appointment Forms
- Code of Ethics (IAR Only)

Approved Letterhead, Fax Covers, Business Cards, Website Info

Approved Advertising

Approved Seminars

Customer Complaint File (even if empty)

Do Not Call List

Office Review History File

Transaction, Correspondence and Checks Blotters

KCD Compliance Manual (kcdfinancial.com) bookmarked

FINRA Manual (finra.org) bookmarked

MSRB Rulebook (msrb.org) bookmarked (if applicable)

Characteristics and Risks of Standardized Options (if applicable)