



Dear Continuum Advisors and Admins,

Thank you to those who were able to join us for our quarterly Continuum Compliance Corner on June 2, 2022 at 10:00am PST / 1:00pm EST. Please click [here](#) to watch our recorded call.

We did an in-depth dive into the **new prohibited transaction exemption under ERISA**, expressly covering prohibited transactions resulting from both rollover advice and advice on how to invest assets within a plan or IRA. ***As a reminder, this new rule goes into effect JULY 1, 2022.*** Failure to comply with the updated process and paperwork could result in delays to opening new qualified accounts, delays in account transfers, or penalties if found during regulatory audits.

Please use this month to become familiar with the RightBridge platform and the physical checklists to capture all pertinent data for discussing a rollover or transfer of qualified assets.

Dual-registered advisors can sign in to Triad's website, click on FrontPoint in the top left, then click on the Applications icon and select RightBridge. On the Triad home page, you can locate the DOL PTE link under Recent Messages (Click on the Load More button if you don't see the DOL PTE link below).



[DOL PTE: Five Ways to Help You Prepare](#)

May 20, 2022

This will give you the following pop up where you should click on the Access DOL resources link to access many useful documents.

DOL PTE: Five Ways to Help You Prepare

With the July 1 mandate for DOL PTE now only six weeks away, we want to ensure you and your teams are fully prepared for the change to the rollover process in your business...[Read More](#)

[Access DOL resources.](#)

For your convenience, here is a list of some of the resources for your reference:

- [List of Rollover & Transfer Scenarios applicable to DOL PTE 2020-02](#)
- [Who to Contact with DOL PTE & RightBridge Questions](#)
- [RightBridge Reference Guide](#)

Attached are the documents that capture the information you need to input into RightBridge. These documents can be found in the FORMS folder on Egnyte.

- *Dual-registered advisors* can use these documents when speaking with clients if you don't have access to RightBridge at the time, but you WILL need to input all the data onto RightBridge before submitting the new account paperwork for applicable accounts. You will need to download and include the RightBridge report with your new account paperwork.
- *RIA-only IARs* will need to complete the applicable document and submit it with your new account paperwork for applicable accounts for Continuum review and approval.
 1. [Investment Wizard Checklist](#)
 2. [Product Profiler Checklist](#)
 3. [Annuity Wizard Checklist](#)

I will also be out on maternity leave in July. During my leave, please email supervision@continuumadvisory.com for Compliance and Supervision related items and someone from the Continuum Home Office team will respond. When submitting items via Schwab Compliance Technologies/My Compliance Office, please send them to COMPLIANCE instead of Alina Lee Santiago - this will enable the item to be reviewed by multiple team members instead of just myself. For client complaints or other more sensitive issues, please contact Jon Sullivan via phone at 925.237.9240.

Please feel free to reach out if you have questions.

Sincerely,

Alina Lee Santiago | CCO
Continuum Advisory, LLC

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