

12 Important Things Compliance Departments Should Know About Wholesaler Masterminds Schedulers

At Wholesaler Masterminds Schedulers* we understand the importance of compliance. Specifically, we appreciate how critical it is that we maintain the highest integrity when it comes to how we access, maintain and disseminate your firm's critical proprietary information.

As such, we are proud to offer the following assurances:

- We maintain full Errors and Omissions plus Cyber coverage from Beazley Insurance along with full Business Liability coverage provided by State Farm – each in the amount of \$1 million
- All of our schedulers have undergone background checks as provided by Express Services
- Prospective schedulers are subject to an extensive interview process wherein the candidate meets with multiple members of the scheduling and leadership team
- In addition, prospective schedulers must successfully complete pre-assignment testing that helps ensure their competency and comprehension of the procedures we follow
- Our schedulers are bound by strict Non-Disclosure Agreements
- Schedulers are required to have current and updated virus protection on their remote devices
- Our role is to schedule appointments, not sell product. At no time, subject to immediate dismissal, are schedulers permitted to discuss product features, benefits, performance returns, etc.
- We compensate schedulers for their time spent increasing their knowledge of both wholesaling and financial services through weekly continuing education
- Wholesaler clients receive our call and/or email scripting for approval prior to use
- Our Real Time calls logs allow for scheduler's activities to be reviewed and tracked on an as needed basis, by both wholesalers and home office personnel
- For further review and monitoring of our security processes, and compliance with our outlined procedures, each scheduler is assigned to a dedicated On-Boarding Specialist who reports to our Scheduling Coordinator
- We maintain direct contact to a 30+ year veteran of wholesaling and distribution sales management who, exclusively to our firm, serves the role of consultant to our efforts and best practices.

We welcome the opportunity to elaborate on any of the aforementioned capabilities as you require and look forward to establishing a mutually beneficial partnership with your firm.

**All services, insurance coverages, policies and procedures outlined in this document reflect the practices of Milrich Associates, LLP, the provider of scheduling services to Wholesaler Masterminds Schedulers.*



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