



**JACKO LAW GROUP, PC**  
SECURITIES & CORPORATE COUNSEL

## **Legal Risk Management Tip** **June 2006**

### **Reviewing Sales Practices**

Reviewing sales practices of the firm's top producers is instrumental in helping to identify potential "gaps" in a compliance program. Consider conducting an in-depth analysis of:

- Sales activities based on volume of business;
- Advisers with the highest number of "red flags" on surveillance reports;
- Advisers on pre-approval; and
- Top producers who have been with the firm less than a year.

Analyzing trends and patterns and further investigating adviser marketing efforts, including e-mail communications, will help you in assessing the firm's supervisory control systems and allow you to promptly enhance procedures as necessary.

**Michelle L. Jacko, Esq. is Managing Partner and CEO of Jacko Law Group, PC. She works extensively with client firms on compliance issues. For more information about this topic and other legal services, please contact her at (619) 298-2880, [michelle.jacko@jackolg.com](mailto:michelle.jacko@jackolg.com) or visit [www.jackolg.com](http://www.jackolg.com)**

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