



Pulse

what you need to read
by AALU

September 19, 2019

Upcoming Webinars:

The SEC's Standard of Care Proposal: Where Are We Now?

October 1, 2019

2:00 pm ET

Tune in as AALU Counsel **Brad Campbell, Partner at Drinker Biddle**, discusses the latest developments around the SEC's recently finalized standard of care rule. The final rule left a number of unanswered questions for brokers and advisors, and recent lawsuits by a group of 8 states and a group of financial advisors has thrown more questions into the mix. Brad will discuss the latest developments and key issues facing brokers and advisors as implementation of the rule continues.

Register Today

Business Insurance and Employee Benefits



Six Trends In Executive Compensation

In this piece, Rodney Morris and Catalina Ganis of The Elliot Group discuss six key trends in executive compensation, including more rapid hiring decisions, the use of private equity-backed equity grants, and changing rules around salary history disclosure.

[Read more >>](#)

NQDC Panel: The Value of Supplementary Plan Options

At this year's PLANADVISER National Conference, a panel including Fulcrum Partners' and AALU Member Phillip L. Currie Jr., discussed ways to underscore the value of NQDC plans to clients, including helping highly valued employees save for retirement while avoiding discrimination testing.

[Read more >>](#)

Wealth Transfer



Strategies for Buy-Sell Agreements Using Insurance

A well-crafted buy-sell agreement is an essential tool for closely-held business planning. This *JD Supra* analysis describes how creating a separate entity to hold life

insurance can avoid pitfalls in buy-sell agreement planning while delivering value to clients—a technique that is being increasingly used by advisors.

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Three Key Wealth Management Industry Trends

A number of structural trends are impacting the world of wealth managers. In this *Financial Adviser* piece, Russ Prince discusses three structural trends impacting the world of wealth managers: wealth management services are becoming increasingly commodified, relatively few advisors have business savvy, and an increasingly greater concentration of assets among fewer advisors.

[Read more >>](#)

Assets Under Management



Retirement Tools That Are Misunderstood Yet Useful

In this *Forbes* piece, Steve Parrish looks at several retirement planning tools that get a bad rap, but offer viable planning tools in the right situation—including long-term care insurance, reverse mortgages, and trusts.

[Read more >>](#)

Using Life Insurance In Retirement Planning

In this *Forbes* piece, Jacob Alphin discusses how indexed universal life (IUL) can deliver value for clients and is a popular choice for those who want exposure to market gains while preventing losses.

[Read more >>](#)

Practice Management and Marketing



Five Habits of Successful Team Leaders

While successful leaders have different qualities, this *Wealth Management* piece discusses the five qualities that studies have shown are particularly important for great leaders, including empowering others and total commitment.

[Read more >>](#)

How These Financial Advisors Are Using Social Media to Grow Their Business

This *CNBC* piece provides examples of how advisors are using social media to grow their brands and their businesses.

[Read more >>](#)

Tax and Regulatory Development



Will FINRA Suitability Become A Non-Factor In Wake Of SEC's Reg BI?

In a just-released paper, former SEC and FINRA attorney Hank Sanchez looks at how FINRA's suitability rule may be phased out given the recent finalization of the SEC's standard of conduct rule, as well as potential enforcement aspects of any new FINRA procedures.

[Read more >>](#)

Upcoming Events

Webinar | The SEC's Standard of Care Proposal: Where Are We Now? | October 1, 2019 | [Register Today](#)

Webinar | Instant Replay: Transform your practice like Benjamin Yin | October 10, 2019 | [Register Today](#)

TRANSFORM 2020 | April 26-28, 2020 | Marriott Marquis | Washington, D.C. | [Register Today](#)

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