



## Spire Newsletter

August 2025

# What You Need To Know

### Join Us in Wishing Some Happy Birthdays!

We're sending a big happy birthday to the advisors and Home Office employees in our Spire community who celebrated in August! We're grateful for all you do and hope you had time to celebrate in style.



Patricia Morgan August 25th  
Shannon Lombino August 7th  
Marcus Malone August 14th  
Jeffrey McCoy August 29th

(If we missed you, let us know! We'd love to include you next time!)



*It's a girl*

### *Congratulations to The Dello Iacono's!*

*Carmen Dello Iacono*, Research Analyst with the Corbett Road Team, and his wife *Alessandra* recently

welcomed a

**Baby Girl, Caia,**

to their family!

. Congratulations to them on this wonderful milestone.

## *What's new this Month in the Home office:*



### **Supervision:**

*Andrew Baron, Director of Operations & Supervision*

#### Trade Error? What to Do Next

A trade error has occurred: e.g., Incorrect account, direction (buy vs sell), amount, or position

- As soon as you become aware of an error, inform Spire supervision and begin filling out Spire's trade correction form for submission to Laserfiche detailing the error and the trade(s) as intended. A trade correction form is required for all trade corrections for books and records including those handled directly with the custodian.
- Supervision will provide guidance where necessary and review the signed Trade Correction Form to determine if market action is necessary and perform corrective actions to cancel, move the trade, or rebill as appropriate through Spire's internal trade error account

*Note: Advisors are responsible for all losses and fees. Any gains from trade corrections are not retained by the advisor, Spire, or the custodian.*



### **Operations:**

*Jack O'Brien, Advisor Support Specialist*

The operations team is going to be organizing some upcoming trainings and wants to know what questions are on your mind. Have you had any recent issues on custodian platforms? Would you like more information on Laserfiche and paperwork? Are there topics or articles on Spire Support that you'd like more details on? Please reach out and let us know! We'll be sending out more information about scheduled trainings (that everyone can join) soon!



### **Remote Client Services Program:**

*Jeremy Ziemba, Advisor Support Specialist*

Need Extra Help Without Extra Overhead?  
Jeremy Ziemba, our Remote Client Services Associate (RCSA), supports advisors like you remotely. From account openings and money movement to client communication and custodian coordination, Jeremy handles it all efficiently so you can stay focused on growing your business.

**Save time. Cut costs. Get expert support.**  
**Contact Bob Lord to learn more: [bob.lord@spireip.com](mailto:bob.lord@spireip.com)**



## Cybersecurity

*Latha Reddy, Director Of Technology*

Microsoft will end support for Windows 10 on October 14, 2025. After this date, Microsoft will no longer provide free software updates, technical assistance, or security fixes for Windows 10. If you don't upgrade your device(s), both you and Spire will be at Cyber risk. Please ensure you upgrade your device(s) to Windows 11 Pro by the end of September 2025.

# The Compliance Bulletin



## Compliance:

*Sal A. Malik, Chief Compliance Officer*

I wanted to share the following facts about why policies are what they are:

1. LPL terminated an advisor for texting his assistant.
2. SEC fined 12 firms \$63 Million for record keeping failures related to electronic communications.
3. SEC filed a settled enforcement action against a pair of RIAs for allegedly breaching their fiduciary duties by failing to reasonably address known vulnerabilities in their investment models.
4. FINRA examiners found that some firms and reps are failing to conduct "reasonable investigations" into offerings prior to recommending them, as well as "not identifying conflicts," disclosing, mitigating or eliminating them as Reg BI requires.

**Just a reminder, the policies we introduce are designed to obey regulation. If you have any doubt, please reach out to me.**



## Compliance:

*Jeff Ameen, AVP- Compliance Principal*

### **A Friendly Reminder about Marketing Collateral Submissions**

We've recently come across some items that have been distributed without first being submitted into Laserfiche Forms for review and approval. In many cases, while these pieces aren't technically "marketing" per se, they still need to be submitted for review and approval – specifically newsletters containing market commentary.

While the market commentary itself is exempt from the Marketing Rule, the newsletter containing said commentary still requires certain items to be in place. These items include, but are not limited to, citations for source data used and adequate disclosure language pertaining to the newsletter's content.

It's imperative that newsletters be submitted not only for the review portion of the process, but also for archiving the newsletter in your

Upcoming news: New advisory agreement is in its final stages and will be introduced in the coming weeks.

Marketing Collateral folder in Laserfiche once the content has been approved for use.

Please reach out to me if you have any questions about a newsletter you are drafting. I'm happy to help to assist you with the citations and disclosure language.

# August Advisor Highlight

*Henry de Vries*



TRANQUILITY  
WEALTH MANAGEMENT

**Where you are in the USA:** Rhinebeck NY, approximately 100 miles up the Hudson River from New York City.

**What motivated you to pursue a career in finance:** Late in my 26-year career in state law enforcement, I found myself responsible for managing several generations of extended family members finances. I learned as much as possible to insure I was making the best decisions and soon found myself becoming a resource to many of my colleagues as we navigated the effects of the 2008/2009 financial crisis on our retirement savings program.

**A noteworthy personal or professional fact:** I was subsequently recruited by my own financial advisor in 2011 and for the past 14 years have enjoyed helping retiring state, federal and local government employees and their families maximize their resources and opportunities as they move into different phases of life.

**Outside interests or hobbies:** When I'm "Out of Office" I'm spending time volunteering with my local rescue squad as an EMT, while in the winter my wife and I are members of a ski patrol in the Catskill Mountains of NY, where I've been helping on the mountain and as an instructor of the Outdoor Emergency Care training for the past 20 years. I also serve as Treasurer to the National Law Enforcement Associates in NYC and am a board member of the Rhinebeck Chamber of Commerce.

**Do you have a favorite quote or motto that guides your professional life?** As for favorite quotes, I recall a compliance officer tell me early on, "The harder you work, the luckier you get." That sounds simple, but it has proved itself repeatedly as our practice continues to grow.

On a personal level, I am motivated daily by the following:  
"To be free is to be powerful, and if your power is kindness, you are always free. No one can stop you from being kind" -Amanda Knox



## Important Announcements

### Important Finance Deadlines

- 8/7/2025 Management Fees ready for review
- 8/12/2025 Cutoff for mid-month pay period
- 8/13/2025 Management Fee review comments due
- 8/14/2025 Management Fees to be processed out of client accounts
- 8/15/2025 First pay day of the month.
- 8/25/2025 Management Fee Reject responses due (or sooner)
- 8/26/2025 Cutoff for end-of-month pay period
- 8/29/2025 Second Pay date of the month (to include prior month mgmt. fees)

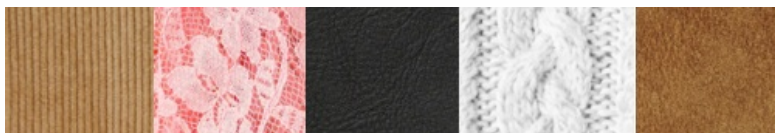
## Wolf of Wardrobe

Just like a well-balanced investment portfolio, a strong wardrobe is built on timeless pieces with a touch of trend. Each month, I will highlight colors, trends, and sharp accessories that help finance professionals look as confident as they feel, because your style should always be working for you.



*Compiled by: Rachel Todd Home Office Mclean VA*

## Five Professional Fabrics to Ease Your Wardrobe from summer into Fall



### Corduroy

A classic fall staple, corduroy adds instant depth and warmth. Its soft ridged texture works well in tailored pants, blazers, and even skirts polished yet seasonally grounded.

### Lace

Delicate yet structured, lace is a go-to texture in Women's fall workwear. It transitions beautifully into fall when layered or styled in deeper tones. Ideal for bringing a soft sophistication to any blouse or dress.

### Leather

Sleek and timeless, leather elevates any look. Whether it's a sleek loafer, a structured bag, or a tailored skirt or jacket, it adds polish and edge to your office look.

### Wool Blend

Breathable yet warm, wool blends are ideal for cool commutes and crisp office environments. Found in tailored suiting, structured blazers, and refined outerwear, this fabric offers a polished, seasonally appropriate upgrade.

### Suede

Soft, matte, and subtly luxurious suede adds tactile interest to shoes, bags, and outerwear. Stick with neutral tones for a versatile, fall-forward finish that's still office-appropriate.



### Spotlight on Business Development: **Matt Rossiter**

With a sharp eye for growth opportunities and a passion for building strong partnerships, Matt is your go-to contact for all things strategy, collaboration, and new ventures. Have questions or ideas? Reach out to Matt directly at [matt.rossiter@spireip.com](mailto:matt.rossiter@spireip.com)



### Fun Fact



#### **Do you want to hear something jawesome ?**

Coming to the end of summer/shark season this fact will blow you out of the water. Scientists have discovered that the Greenland Shark can live for up to 500 years. This means there is a shark swimming today that was potentially alive when English Colonists settled in Jamestown.

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