

AIG Financial Advisors, Inc.
Common Acronyms

Branch Acronyms

ACAT	Automated Customer Account Transfer
CE	Continuing Education
CTR	Client Transaction Record
DLJ	Donaldson, Lufkin&Jenrette (IRA Custodian)
E&O	Errors and Omissions Insurance
EOI	Explanation of Investment
ERISA	Employee Retirement Income Act
FLS	First Line Supervisor
GDC	Gross Dealer Concession
HOD	Home Office Direct-bi monthly packet of homeoffice information
ICA	Independent Contractor Agreement
IT	Investment Transfer (Form)
NAF	New Account Form
NB	Non-Brokerage (Account)
NRA	Non-Registered Assistant
OSJ	Office of Supervisory Jurisdiction-used to describe a Branch Manager
PCR	Product Cross Reference (Record)
RA	Registered Assistant
RPD-150	Form to use for ACATs
RR	Registered Representative
STC	SunAmerica Trust Company (IRA Custodian)
TR	Transaction Review
VUL	Variable Universal Life

Investment Advisory Acronyms

ADV	* is not an acronym, it's the actual name of the form. Creates an RIA entity
AUM	Assets Under Management
DBA	Doing Business As-used to describe the name of a business entity
IA	Investment Advisory
IAR	Investment Advisory Representative
IARD	Investment Advisory Registration Depository
MAP	Managed Assets Program
RIA	Registered Investment Advisor
SIAS	SunAmerica Investment Advisory Service
V2A	Vision2020 Advisor

Industry Acronyms

NASD	National Association of Securities Dealers
SEC	Securities and Exchange Commission
SIPC	Securities Insurance Protection Corporation

Compliance Acronyms

ACM	Annual Compliance Meeting
ACQ	Annual Compliance Questionnaire
BOE	Branch Office Examination
OBA	Outside Business Activity
OBAQ	Outside Business Activities Questionnaire
Reged	www.REGED.com website for most of your compliance requirements
SBOE	Satellite Office Examination

V2020 Acronyms

IFA	Items For Attention
PES	Portfolio Evaluation Service (used for costs basis information)

Regional Management Acronyms

AMC	Asset Management Conference
MAC	Management Advisory Committee
MBO	Multiple Branch Office
NEC	National Education Conference
RM	Regional Manager
RMA	Regional Management Associate
RMD	Regional Management Department
RVP	Regional Vice President
FOV	Formal Office Visit

Misc. Acronyms

ISD	Insurance Services Division
MRD	Minimum Required Distribution
SSU	SunAmerica Securities University (Department that fun the training Programs)