

NEWS

For Immediate Release



Media Contact:

Jonny Swift

Impact Communications, Inc.

913-649-5009

JonnySwift@ImpactCommunications.org

CoastalOne Moves Forward Successfully with Due Diligence and Compliance Conference

Independent Broker-Dealer Holds Conference for Registered Representatives in Sarasota, Florida in January 2021

SARASOTA, FL (January 13, 2021) – [CoastalOne](#), an independent broker-dealer (Coastal Equities) and registered investment advisor (Coastal Investment Advisors) based in Wilmington, Delaware, held their 2020 Due Diligence and Compliance Conference last week at The Ritz-Carlton in Sarasota, Florida, taking place Monday, January 4th through Wednesday, January 6th 2021.

“We were very excited to hold our 2020 Conference in-person, albeit a bit late in early 2021, and were happy to welcome our Registered Representatives to sunny Florida,” said Charles Reiling, President and CEO of CoastalOne. “While some disagreed with the decision to hold our conference in-person, I can assure you that it was not made lightly. We continued to monitor the situation up until the last minute, and after hearing that many of our attendees and sponsors wished to proceed in-person, we were able to hold the conference safely. We held extensive conversations with the venue and were confident in their ability to keep us safe by using outdoor spaces and social distancing tactics, along with the use of masks. Although some in our community were not comfortable attending in person, we livestreamed most of the event and hope those that attended virtually were still able to enjoy the conference. Either way, we were proud to carry out this event in a responsible manner and had a great conference.”

At the conference, Representatives using the CoastalOne platform gathered to learn about the latest compliance protocols and practices, including updates around Regulation Best Interest, required documentation, and the due diligence procedures to protect their practices.

“I want to thank everyone who made the trip to Sarasota to attend our Due Diligence and Compliance Conference, and I missed seeing those of our reps who could not make it,” said Frank Skinner, Chief Compliance Officer at

CoastalOne. “I want to extend a special thanks to Linde Murphy of Argent Financial Group, a Governor on the FINRA Board of Governors, who kicked off the conference with an excellent overview of 2020 compliance issues, as well as a look into what might come in 2021. Reg BI was of course the highlight, but she also gave us insight into the regulators’ temperatures on other hot topics at the advisor level, including business continuity planning, share class selection, 529 plans, and more. I hope that those who attended feel the same way I do in that this conference was an important first step back to ‘normalcy’ in our community.”

Another highlight of the conference featured a panel on Delaware Statutory Trusts and 1031 Exchanges, led by Rosemarie Leong, Lead Analyst of INTuition Due Diligence. In addition, each of the conference sponsors provided a representative to speak at the conference, with sponsors including Bourne Financial Group, Carter Exchange, CNL Securities, Cottonwood Communities, ExchangeRight, Legendary Capital, Mackenzie Capital Management, Megatel Capital Investments, Moody National Companies, Myriad Advisor Solutions, Resolute Capital Partners, SC Distributors, Sealy & Company, Shopoff Realty Investments, Sovereign Partners, Triton Pacific, Union Square Capital Partners, Waypoint Real Estate Investments, and WealthForge.

NEW WEBSITE AND TECH PLATFORM ANNOUNCED

CoastalOne recently announced the launch of Phase Two of their new tech platform, including a brand new website with Representative and Client portals. They’ve implemented RightSignature for electronic signatures, the Black Diamond Wealth Platform to guide the complete wealth management process, and Altigo for electronic processing of non-traded investments. In this next phase, they’ll be implementing eMoney Advisor’s financial planning software. They’ve also replaced Zoom with GoToMeeting, with GoToMeeting licenses included for all representatives. CoastalOne also has a new phone system available for both home office and representative use – the VOIP system utilizes Yealink phones on a Jive system – as well as fax numbers. All of these details and more were unveiled at the conference last week, with the new website and tech platform set to officially launch in 2021.

ABOUT COASTALONE

CoastalOne is located in Wilmington, Delaware, including Coastal Equities, Inc. (CEI), a FINRA registered independent broker-dealer; Coastal Investment Advisors, Inc. (CIA), a SEC Registered Investment Advisor; and Coastal Insurance Services, a division comprised of several insurance agencies providing access to a number of fixed and variable personal lines and business insurance. The goal of CoastalOne is to become the firm of choice for independent advisors and their clients, and their mission is to build life-long client relationships from a foundation of personal service, trust, and collaboration. Learn more at www.Coastal-One.com.

###