



COMPLIANCE PACKAGES

SILVER

- Unlimited compliance questions via email/ phone
- Annual Amendment filing
- Unlimited other-than-annual amendments
- Unlimited Part 2Bs
- Unlimited U4 and U5 filings
- Monthly creation and review of policies and procedures
- Mandatory 60 min call per month
- Management and routine updating of compliance technology of choice (currently Smart RIA or Orion Compliance)
- Assignment of time-sensitive compliance tasks

GOLD

- Unlimited compliance questions via email/phone
- Annual Amendment filing
- Unlimited other-than-annual amendments
- Unlimited Part 2Bs
- Unlimited U4 and U5 filings
- Monthly creation and review of policies and procedures
- Monthly Email review
- Unlimited Advertising review
- Annual compliance review with remediation
- Assignment of time-sensitive compliance tasks
- Mandatory 60 min call per month
- Management and routine updating of compliance technology of choice (currently Smart RIA or Orion Compliance)
- 1 in-person visit every 24 months (cost of travel included)

PLATINUM

- Unlimited compliance questions via email/phone
- Annual Amendment filing
- Unlimited other-than-annual amendments
- Unlimited Part 2Bs
- Unlimited U4 and U5 filings
- Monthly creation and review of policies and procedures
- Monthly Email review
- Unlimited Advertising review
- Billing cycle reviews
- Quarterly Code of Ethics certs
- Questionnaire for access persons
- Form 13 F
- Monthly ad hoc testing
- Annual compliance review with remediation
- Mandatory 60 min call per month
- Management and routine updating of compliance technology of choice (currently Smart RIA or Orion Compliance)
- 1 Annual in-person visit (cost of travel included)
- Assignment of time-sensitive compliance tasks

DIAMOND

- Unlimited compliance questions via email/phone
- Annual Amendment filing
- Unlimited other-than-annual amendments
- Unlimited Part 2Bs
- Unlimited U4 and U5 filings
- Monthly creation and review of policies and procedures
- Assignment of time-sensitive compliance tasks
- Monthly Email review
- Unlimited Advertising review
- Annual compliance review with remediation
- Billing cycle reviews
- Quarterly Code of Ethics certs
- Questionnaire for access persons
- Form 13 F
- Monthly ad hoc testing
- Review of client agreements
- Vendor due diligence and review
- Respond to routine regulatory inquiries and requests
- Outsourced CCO and Compliance Department
- Mandatory 60 min call per month
- Management and routine updating of compliance technology of choice (currently Smart RIA or Orion Compliance)
- 2 in-person visits a year (cost of travel included)



COMPLIANCE TASKS

Daily

- Advertising
- Social Media Posts
- Trading Blotter

Weekly

- Email Reviews
- Text Message Reviews

Monthly

- Trade Reviews
- Client Account Reviews
- Trade Error Log View

Quarterly

- Form 13F
- IAR State Registration Review
- Social Media and Website Auditing
- Code of Ethics Certifications
- Quarterly Access Person Transactions
- Fee Audit
- OBA Audit
- Branch Audit
- Client File Review
- Billing Review

Annually

- Form 13H
- ADV Annual Amendment
- Annual Compliance Review
- Annual Compliance Questionnaire for IARS
- Code of Ethics Attestations
- Best Execution Reviews
- Annual Compliance Meeting

Continuous

- IAR Onboarding
- Review Compliance Policies and Procedures
- Creation and Review of Standard Operating Procedures



COMPLIANCE DOCUMENTATION

- Adviser Profile
- Compliance Questionnaire
- Business Risk Evaluation
- Business Risk Inventory
- Background Check
- OBA Disclosures
- Social Media Approval
- Social Media Archive
- Access person forms
- Client Profiles
- Website Disclosures
- Website Archive
- Email Archiving
- Email Reviews
- IAR Agreement
- Compliance Manual Certification
- Compliance Review Report and Remediations
- Annual Amendment
- Form CRS
- Heightened Supervision
- Self Assessments
- Client Agreements
- Client Risk Review
- Investment Policy Statement
- Secure Emails
- Vendor Due Diligence
- Cybersecurity Reviews
- Compliance Manual
- Code of Ethics
- Business Continuity Plan
- Privacy Policy
- Cybersecurity Policy
- Training - Compliance, Product
- Custody Review
- Performance Results Disclosure
- Email Disclosures
- Website and Social Media Disclosures
- Succession Planning
- ADV Part 2A
- ADV Part 2B
- Compliance Exceptions

