
**Compliance solutions for
investment advisory firms**

COMPLY



COMPLY
136 Madison Ave.
New York, NY 10016



COMPLY.com
info@COMPLY.com

INTRODUCTION

Back your investment advisory firm with the expert resources to help you navigate state or Securities and Exchange Commission (SEC) regulations with ease.

Whether you are part of a large investment adviser or are a newly founded breakaway, as a state- or SEC-registered adviser, you're faced with an ever-growing number of regulatory requirements to meet and track. And with regulators hyper-focused on evolving their supervisory scope and presence to meet the changing industry, registered investment advisers (RIA) are tasked with navigating increasingly complex regulations all while maintaining client trust and protecting their best interest.

We get it. We can help.

Offering a suite of robust solutions to meet your unique compliance needs, COMPLY provides the depth and breadth of compliance solutions to help you navigate complexity with ease.



SAY GOODBYE TO ADMINISTRATIVE BURDENS AND HELLO TO COMPREHENSIVE COMPLIANCE

Strengthen your program with integrated capabilities for total compliance program management. Ready to tackle the most intricate regulatory challenges with ease?



Employee personal trade monitoring: Ensure all outside trading activities are accounted for with robust employee trade monitoring and account review. Plus, proactively identify and reconcile brokerage accounts employees have failed to disclose with an intuitive undisclosed account alerts feature.



Firm-wide risk management: Monitor, verify and mitigate firm-wide risk associated with gifts and entertainment, MNPI, conflicts of interest, outside business activities and more.



Integrated broker feeds: Save valuable time and resources by eliminating the need for manual statement tracking and staff chasing. With over 300 integrated broker feeds, you receive daily automated delivery of critical information directly to your systems.



Automated calendar and to-do lists: Leverage a virtual personal assistant with our industry leading compliance calendar. Get reminders and deadlines, ensuring compliance to-dos are on track and ahead of schedule.



Filings and reporting administration: Save time and increase the efficacy of your program with accurate and comprehensive filings that are audit ready and ahead of schedule.



IT infrastructure and an on-from-anywhere virtual desktop: Protect and secure your firm's proprietary data and client information with a secure virtual desktop experience — from anywhere, on any device.



Communications monitoring and archiving: Take control of the communication channels within your firm, ensuring employees are acting in the best interest of your clients and representing your firm in the most professional and compliant manner via text, email and social channels.

Our team of regulatory experts provides unparalleled support, allowing you to focus on driving growth and innovation



Consulting and Managed Services: Increase your compliance program's efficiency and effectiveness with services delivered by decades of experienced consultants with expertise spanning legal, investigative and educational functions within the regulatory landscape.

Professional Data Services: Outsource administrative and burdensome daily tasks such as statement tracking management and uploads so you can focus on high-value work that drives your firm's strategy forward.



Continuing Education: Achieve critical continuing education (CE) accreditation with on-demand and virtual courses designed to address the most relevant regulatory topics.



Intuitive capabilities built on your workflows

Achieve strategic compliance initiatives without creating additional resource drains with comprehensive regulatory compliance technology solutions designed uniquely for investment advisory firms like you.



For the compliance office

- » Compliance program management.
- » Compliance calendar.
- » Policies and procedures management.
- » Filings (Form ADV, FINRA Entitlements, CRS, etc.).
- » Corporate registrations.
- » Annual reviews.
- » Risk assessments.
- » Marketing materials review.



For employees

- » Onboarding/offboarding.
- » Trade monitoring.
- » Cryptocurrency trade review.
- » Undisclosed account alerts.
- » Political contribution verification.
- » Gifts and entertainment review.
- » Outside business activities.
- » Communications archiving and review.
- » Registration and licensing.
- » Rep tracking.
- » Conflicts of interest.
- » MNPI management.



For firm-wide systems compliance

- » Vendor due diligence.
- » Virtual desktop.
- » Cybersecurity module.
- » Phishing attack module.

Our expertise is your expertise

Navigate the complex and ever-changing compliance landscape with the support of our deep bench of consulting experts who serve as an extension of your compliance office.

- » On-site and remote compliance reviews.
- » Annual reviews.
- » Regulatory filings.
- » Mock audits.
- » Email reviews.
- » Vendor reviews.
- » Bespoke consulting.
- » Outsourcing via flexible managed services packages.
- » Cybersecurity training.



Remove data management from your to-do list

Gain critical insight from your compliance data without the hassle of manual data management processes. Our ongoing or ad-hoc data services remove the administrative burden so you can focus on the value-add.

- » Reporting and audit trails.
- » Global broker feeds via ByAllAccounts or direct feed.
- » Campaign finance data.
- » Manual data entry.
- » OCR enhanced data processing.

Stay up to speed and credentialed

Advance your regulatory knowledge and your firm's reputation with continued education opportunities designed to elevate and accredit chief compliance officers (CCO) and compliance professionals.

Continued education courses and opportunities includes:

- » Investment Adviser Certified Compliance Professional (IACCP) certification.
- » IAR continuing education courses.
- » Cybersecurity training.
- » Virtual and in-person educational opportunities.
- » On-demand courses.

ABOUT COMPLY

As a global market leader in regulatory compliance solutions, COMPLY combines the power of regulatory technology, services and education to empower Chief Compliance Officers (CCOs) and compliance professionals to easily navigate the regulatory landscape. COMPLY enables firms to scale their growth, while remaining vigilant in their compliance efforts, by providing solutions designed to manage the burden of complex compliance tasks. Our deep bench of industry expertise — which includes expansive knowledge in technology enablement and regulatory compliance protocols and processes from our product portfolio offerings ComplySci, RIA in a Box and NRS — supports more than 7,000 clients, including private equity firms, hedge funds, broker-dealers, registered investment advisers and other financial service sector participants.

COMPLY continually supports clients in their work to proactively address core compliance challenges — minimizing risk, addressing critical priorities and meeting new demands as the industry evolves and the firm scales.

Learn more at [COMPLY.com](https://www.comply.com).

COMPLY™

COMPLY™ is not a law firm, investment advisory firm or CPA firm. COMPLY does not provide legal advice or opinions to any party or client. You should always consult your relevant regulatory authorities or legal counsel if applicable.