

# COMPLY

## MANAGED SERVICES

Your regulatory compliance program backed by our industry-leading expertise. Let us help you navigate the complex regulatory landscape with our robust consulting and outsourcing services.

You and your staff are experts in financial advisory services, guiding clients to make the best decisions for their financial future. **We are experts in compliance.** Arming firms, such as yours, with the knowledge to navigate the complexities of the regulatory landscape with conviction.

### Introducing your partner in compliance.

COMPLY's Managed Services gives you access to industry experts with decades of specialized knowledge in managing the regulatory obligations placed on financial firms.

Our robust consulting and outsourcing services are here to help with everything from audit preparation to technology implementation, all while adding an additional layer of oversight and rigor to your existing compliance program.

# COMPLY

complysci  
by COMPLY

RIA in a Box  
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NRS  
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illumis  
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## Packages and service modules

Our team of experts can help you elevate your compliance program with decades of in-depth knowledge spanning regulatory and compliance positions across the financial services industry.

Choose from any of our Managed Service modules to create your tailored offering.



**1. ComplySci Code of Ethics Administration:** Streamline the review process of initial, quarterly and annual reporting, with services including:

- » Certification and attestation management
- » Employee personal trading system maintenance and administration
- » Gifts and entertainment maintenance and administration
- » Outside business activities maintenance and administration
- » Private placements administration
- » List maintenance
- » Standard report creation and maintenance



**2. Email Review:** Ensure email compliance with an evaluation of a sample size of your firm's supervised persons' emails and receive reports regarding any potential issues.



**3. illumis Political Contribution Administration:** Mitigate pay-to-play risk. Engage COMPLY experts to review and report on political contributions submissions made by your covered associates.



**4. Licensing and Registration:** Take the administrative burden out of filing. Our staff will file amendments to Form ADV, Form BD, Form U4 and Form U5, as applicable via IARD/FINRA.



**5. Advertising Review:** Leverage COMPLY experts to evaluate new marketing materials to ensure consistency with regulatory requirements. Plus, receive recommended disclaimers.



**6. Broker Feed Maintenance:** Stay connected — always. Lean on our staff to establish or re-establish electronic broker data feed connections.