

Manage firm-wide regulatory compliance requirements and employee code of ethics monitoring in one platform with COMPLY Program Management.

COMPLY

© 2024 COMPLY.com

© COMPLY[™] Program → Management

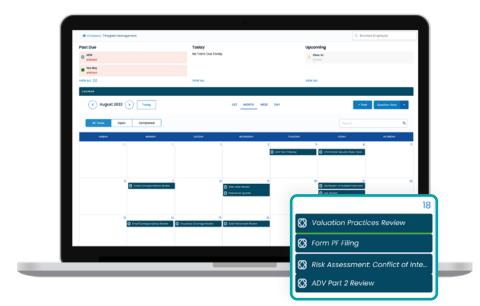
Level up your compliance program management with software and service designed by compliance experts for compliance professionals.

COMPLY Program Management is a centralized, comprehensive platform for managing the full scope of a firm's compliance program. Fully integrated with our employee trade monitoring platform, COMPLY Program Management offers an all-in-one solution for firm compliance, eliminating information silos and offline data management.



COMPLIANCE CALENDAR

The Compliance Calendar **automatically populates with deadlines and requirements** tailored to your firm's policies and procedures. Our compliance experts monitor regulatory changes and publish best-practice instructions and updated compliance guidelines, ensuring your calendar remains up to date. Organize your team, view task status updates, identify any gaps to swiftly reallocate resources or responsibilities, and document your compliance program throughout the year.



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.

COMPLY with Confidence.

Simultaneously execute and document your annual review, simplifying compliance with Rule 206(4)-7 of the Investment Advisers Act of 1940 and the SEC's 2023 updates to annual review requirements for investment advisers.



ANNUAL REVIEW TOOL

The Annual Review tool is a **guided**, **digital**, **and documented annual review solution**. The tool automatically builds written documentation while firms execute compliance activities throughout the year, and the integrated Risk Assessment module guides firms through a comprehensive review of their compliance policies and procedures to identify potential compliance breaches.

a complysci		196 - 196 + <u>A</u> Clouds
	🖷 É Company É hogram Management / Activity Wanagement	Q, beauti-
Company Personal	Annual Review Tool	
5 (00001000000	The Annual Review tool is meant to capture your key compliance activity from the year, and to toothose generation of an Annual Review report.	
+ FINTED BIOM		
▲ 5049007.0H04	Please follow the steps below which will incorporate your activities in MyRACompliance along with additional commentary, into the final Annual Review report. To watch a video on how to	
CINAMEANING	use the Annual Review Tool, click here.	
4 servesconce	Selected Year: 2023 -	
	Description for the second	
CALDERS	2023 Annual Report	
III TADA MANAGAMANT	Los generated on Net-13-2013	
a second	an Bearing out of the second	
II AMONINETER		
CHINCATON NOT	E Enter Firm Background	
• 100		
POINCIA COMPREMINER		
II NUMERO ACOUNTLAND	Complete Risk Assessment	
gi severa	Annual Review Checklist	
M RECORDERATION ANALYTICS		
AND CODE		
1 ann -	Review Key Regulatory Developments Connect	

ANNUAL REVIEW SERVICE

Too busy to DIY? Engage **expert support and hands-on guidance** for your annual review with our software and annual review service. Your expert compliance consultant will keep your firm on track with monthly check-ins, review and set up of regular compliance testing activities, and documentation of results.



Talk to an expert today!

sales@comply.com