

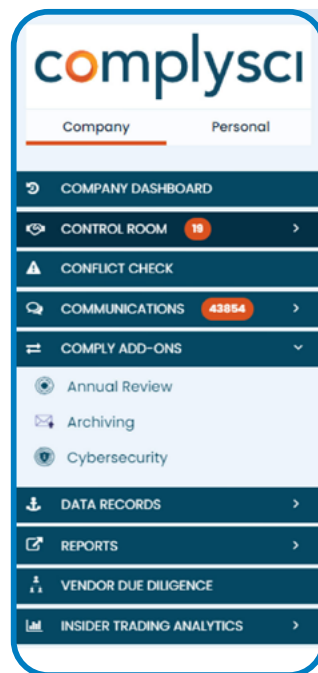


Solutions for Small- and Medium-Sized Investment Advisers

As a small- to medium-sized registered investment adviser (RIA), **your compliance processes are unique.** Unlike larger firms with the multi-person compliance teams, you may be managing the pressures of complying with regulatory requirements, such as those set by the Securities and Exchange Commission (SEC), without the backing of a large compliance department. Your dedicated Chief Compliance Officer (CCO) manages all regulatory and risk-based compliance priorities.

Integrating compliance processes onto one software platform, including archiving and communication, cybersecurity, and vendor due diligence, enable small- and medium-sized firms to achieve the highest standard of compliance. These capabilities are the foundation for your compliance strategy and empower you to do more with less.

With the COMPLY™ team, your firm is backed by **the most trusted name in the compliance space** — so you always know the details are covered and the conflicts are checked.



Compliance Solutions for SMBs Include:

ARCHIVING AND COMMUNICATIONS

Enabling firms to meet all books and records requirements from social media to off-channel communications.

CYBERSECURITY

Strengthening your cyber program to ensure new and proposed regulatory requirements are met.

VENDOR DUE DILIGENCE

Thoroughly vet all third-party vendors to reduce risk and potential damage to your firm or your clients.

Targeted solutions for small- and medium-sized investment advisers. Prioritize cybersecurity, archiving and communications, and vendor due diligence without overburdening your compliance team.

Talk to an expert today!

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COMPLY™

Bring your compliance activities onto one software platform, streamlining your processes, eliminate manual efforts, and elevate your compliance program.