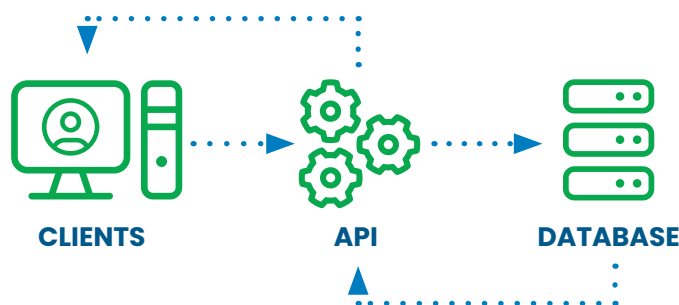




Compliance API

Registered investment adviser (RIA) firms and technology providers can access the platform open application programming interface (API) for no additional charge. Firms can access their compliance data via the API to help better automate internal processes and data management. Technology firms can utilize the API to push and pull relevant compliance data to and from the RIA in a Box® online software platform.

INTEGRATE. AUTOMATE. ENGAGE.



TECHNOLOGY PROVIDERS

- Empower firms to seamlessly track registration and notice filing compliance data in real-time
- Help firms ensure consistent and accurate registration and Form ADV filing information
- Connect to the RIA in a Box Platform to ensure that required compliance obligations are addressed quickly



RIA FIRMS

- Ensure compliance is at the forefront of a firm's technology roadmap and implementation
- Allows compliance data to be accessed in CRM and other key technology systems
- Enable streamlined operation and assistance to address regulatory compliance requirements

Talk to an expert today!

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COMPLY™