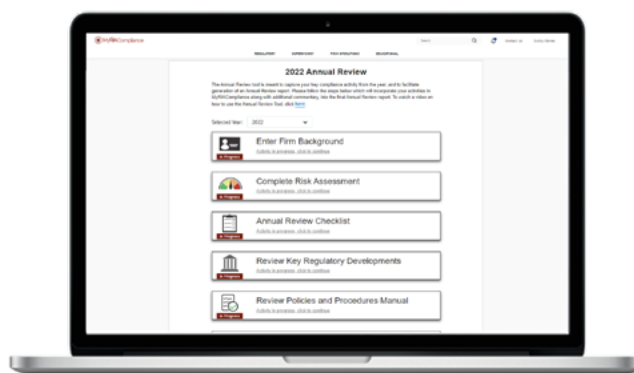




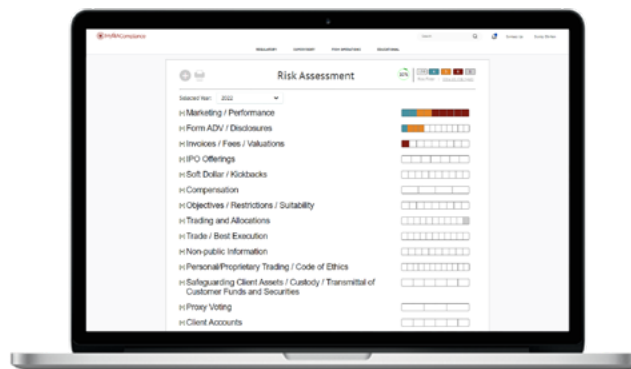
# Annual Review and Risk Assessment Tools

The RIA in a Box® Platform combines our team of compliance experts with an online software platform to help registered investment adviser (RIA) firms better manage and automate regulatory responsibilities. The service is designed to assist both Securities and Exchange Commission (SEC) and state-registered firms.



## ANNUAL REVIEW TOOL

- Centralizes the annual review process
- Breaks down each component of the process into manageable sections
- Upon completion, the data is automatically aggregated, collected, and generated into a professional report readily available for download in the event of a regulatory exam



## RISK ASSESSMENT TOOL

- Determine what types of risks may be present at the firm
- Assess whether adequate controls are in place to manage or mitigate such risks
- Make modifications to update the firm's current policies and procedures to address newly identified risks

Talk to an  
expert today!

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