

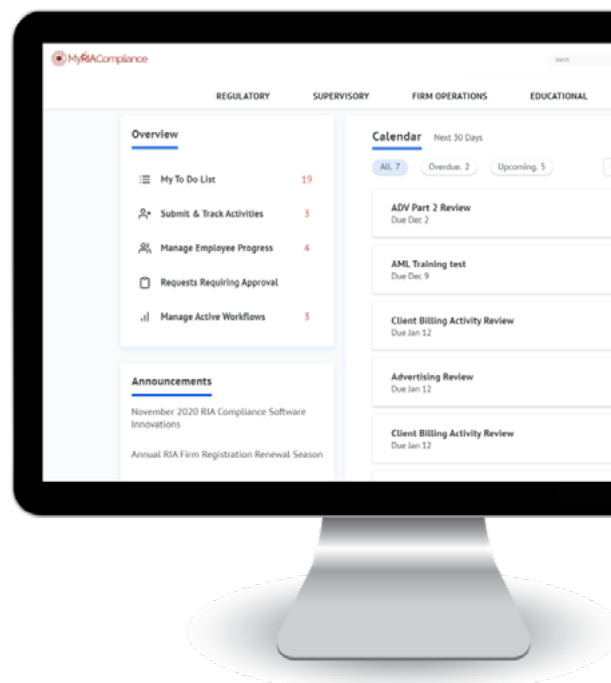


# Comprehensive Solution

As part of the Comprehensive Solution, our experienced team of compliance consultants will develop and implement a specialized compliance program designed to support the complex regulatory needs of your firm.

## SOFTWARE FEATURES

- Customized compliance calendar
- Annual firm risk assessment
- Employee supervision
- Cybersecurity program
- Third-party due diligence platform
- Compliance officer and firm training
- Assistance with audit and response



## SERVICE FEATURES

- Proactive compliance consulting and outreach based on your firm's goals
- Assistance building a tailored compliance program
- Compliance training for firm employees
- Help with the firm's annual compliance review
- Assistance with conducting your firm's risk assessment
- Creation and review of policies and procedures manual
- Review of filing documents and marketing materials
- Firm and individual registration support<sup>1</sup>

<sup>1</sup> Includes assistance to help prepare and file paperwork required for up to three (3) new individual investment adviser representatives to be registered per 12 months and to help prepare and file the firm's application for registration or notice filing in up to three (3) additional jurisdictions per 12 months.

Talk to an  
expert today!

[sales@comply.com](mailto:sales@comply.com)

# COMPLY™