



# Compliance Consulting

All RIA in a Box® software packages include our standard level of service.

You can choose to add **enhanced** compliance consulting support.

## STANDARD SERVICE

- Initial compliance expert review call
- Service bureau administrator for IARD account
- Assistance with annual form ADV renewal
- Unlimited form ADV amendments

## ENHANCED SERVICE

- Unlimited compliance consulting
- Creation and review of policies and procedures manual
- Review of filing documents and marketing materials
- Firm and individual registration support

## ADDITIONAL SERVICES AVAILABLE:



We can assist our clients with these additional regulatory filings:

- **Form 13F:** For firms which exercise investment discretion with respect to \$100 million or more in 13(f) securities
- **Form PF:** For private equity and hedge fund advisers managing at least \$150 million in private fund assets under management



We also provide on-site and virtual mock audit services:

- **On-site mock audit:** Conducted by a former regulator and includes on-site review of Form ADVs, books and records, policies and procedures, and advertising materials
- **Virtual mock audit:** Conducted by a former regulator and includes virtual review of files including Form ADVs, books and records, policies and procedures, and advertising materials

Talk to an expert today!

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

# COMPLY™