

# Establish and Protect. Comprehensive RIA Compliance Software Starts Here.

Manage complex regulatory tasks with software designed by registered investment advisers compliance experts.



## COMPLIANCE CALENDAR

- Tailored to the unique requirements of each firm
- Automatically generates recommendations for a schedule of compliance calendar activities based on the firm-specific data provided



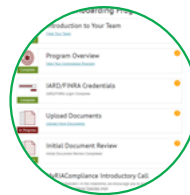
## COMPLIANCE LOG

- All activities completed on the RIA in a Box Platform® are automatically recorded and saved to the log
- Can be easily filtered, printed, and exported in the case of a regulatory exam



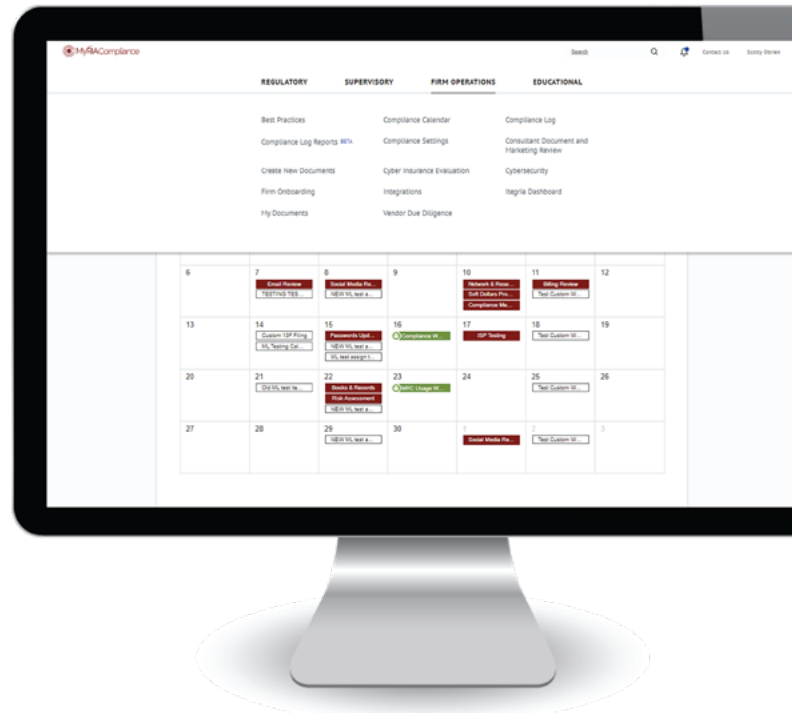
## EMPLOYEE SUPERVISION

- Chief Compliance Officers (CCOs) can manage all employee document attestations, advertising approvals, and outside business activity requests through the RIA in a Box Platform



## ONBOARDING/ONGOING SERVICE

- Help to further customize the online compliance calendar, employee activity reviews, attestations, and other platform features
- Answer any software questions, complete the annual Form ADV amendment, and unlimited Form ADV amendments throughout the year



Contact us to learn more at [sales@comply.com](mailto:sales@comply.com)



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