# RIA in a Box® Platform Overview

## Effectively manage and automate your regulatory responsibilities with the support of an integrated compliance platform backed by an expert compliance consulting team.

With innovative tools and knowledgeable professionals at your disposal, you can rest assured your regulatory obligations will be met with the level of precision expected by the SEC and state regulators, allowing you to focus on delivering exceptional service to your clients.

| | COMPREHENSIVE | PREMIUM | ADVANCED | STANDARD |
|---|---|---|---|---|
| **SOFTWARE FEATURES** | | | | |
| Compliance calendar, webinars, checklists, status monitor | ✓ | ✓ | ✓ | ✓ |
| Compliance log | ✓ | ✓ | ✓ | ✓ |
| Employee supervision | ✓ | ✓ | ✓ | ✓ |
| Registration tracker | ✓ | ✓ | ✓ | ✓ |
| Access to the mobile app | ✓ | ✓ | ✓ | ✓ |
| Vendor due diligence | ✓ | ✓ | ✓ | ✓ |
| Marketing review tool | ✓ | ✓ | ✓ | ✓ |
| Compliance document templates | ✓ | ✓ | ✓ | ✗ |
| Audit prep tool | ✓ | ✓ | ✓ | ✗ |
| Risk assessment tool | ✓ | ✓ | ✓ | ✗ |
| Annual review tool | ✓ | ✓ | ✓ | ✗ |
| Continuing education | ✓ | ✓ | ✓ | ✗ |
| **Compliance consulting** | ✓ | See below | See below | See below |
| **Archiving solution** | ✓ | ✓ | $ | $ |
| **Cybersecurity platform** | ✓ | ✓ | $ | $ |
| **Automated employee trade monitoring** | ✓ | $ | $ | $ |

**FEATURED ADD-ONS AVAILABLE:**

- RolloverAnalyzer
- Virtual Desktop
- Private Fund Platform

# COUPLE YOUR TECHNOLOGY WITH COMPLIANCE CONSULTING

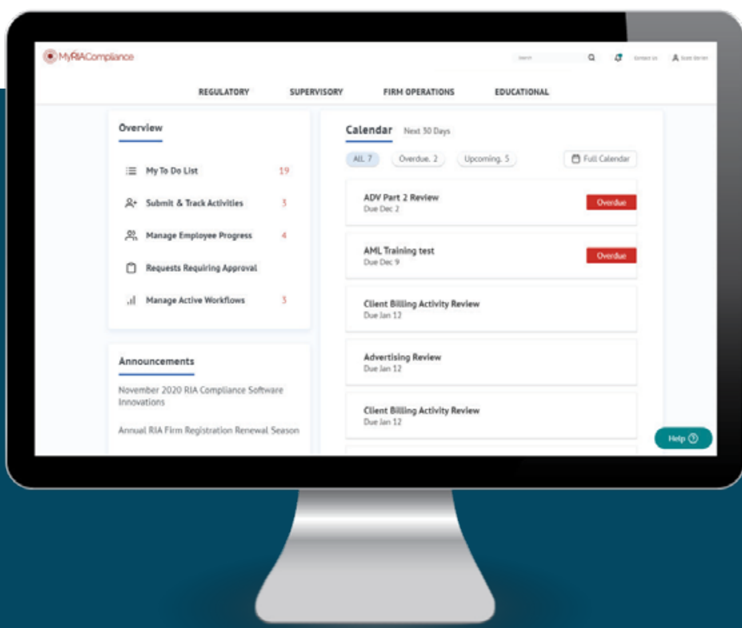
Take your compliance program to the next level with the support of our industry-leading consulting team. Our robust consulting services are designed to provide you with unparalleled support, guidance, and expertise, allowing you to navigate even the most complex regulatory challenges with precision.

All software packages include our standard service offering. The standard service offering includes an initial compliance expert review call, assistance with the Form ADV, annual renewal, and unlimited Form ADV amendments.

## Our Enhanced Service Level Includes:

- Unlimited compliance consulting
- Review of marketing materials
- Review of filing documents
- Firm and individual registration support[1]

[1] *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.*




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