

# Private Fund Adviser Compliance Software and Services



Private fund advisers gain access to a customized version of our industry-leading RIA in a Box® online RIA compliance software platform which includes access to our proprietary Private Fund Platform.

	COMPREHENSIVE	SEC	STATE	ERA
<b>SOFTWARE FEATURES</b>				
Compliance calendar, webinars, checklists, status monitor	✓	✓	✓	✓
Compliance log	✓	✓	✓	✓
Employee supervision	✓	✓	✓	✓
Access to the mobile app	✓	✓	✓	✓
Audit prep tool	✓	✓	✓	✓
Annual review tool	✓	✓	✓	✓
<b>Archiving solution</b>	✓	\$	\$	\$
<b>Cybersecurity platform</b>	✓	\$	\$	\$
<b>Automated employee trade monitoring</b>	✓	\$	\$	\$
<b>PRIVATE FUND PLATFORM FEATURES</b>				
Fund inventory	✓	✓	✓	✓
Private fund tailored risk assessment tool	✓	✓	✓	✓
Form ADV updates	✓	✓	✓	✓
Form PF	Customized	✓ <sup>2</sup>	✗	✗
Form D	Customized	✓ <sup>2</sup>	✓ <sup>2</sup>	✓ <sup>2</sup>
Blue Sky filings	Customized	✓ <sup>2</sup>	✓ <sup>2</sup>	✓ <sup>2</sup>
<b>Enhanced compliance consulting</b>	✓	\$	\$	\$

<sup>1</sup> All subscriptions require an annual contract billed on a monthly basis and a one-time set-up fee equal to the monthly subscription fee. Each RIA firm subscription includes one RIA in a Box® Platform user license. For firms with more than one employee, the firm is required to purchase a user license for each additional firm employee to help the firm meet its compliance supervision requirements.

<sup>2</sup> All subscriptions include assistance with up to 3 private funds managed by the adviser. For firms managing more than 3 private funds, there is an additional \$100 charge per month per fund.

# PRIVATE FUND COMPLIANCE CONSULTING SERVICE LEVELS

All compliance software levels include our standard level of service for no additional charge. You can choose to add the enhanced compliance consulting service.

## Standard Service:

Included for ERA firms

Included for state-registered firms

Included for SEC-registered firms

- » Initial compliance expert review call
- » Service bureau administrator for IARD account
- » Assistance with annual Form ADV renewal
- » Unlimited Form ADV amendments
- » Form PF, Form D, and Blue Sky filings

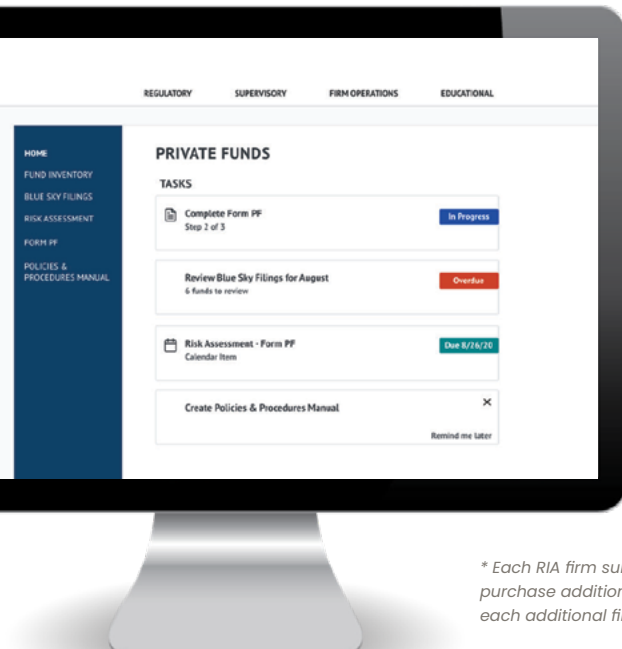
## Enhanced Service:

Optional for ERA firms

Optional for state-registered firms

Optional for SEC-registered firms

- » Unlimited compliance consulting
- » Creation and review of policies and procedures manual
- » Review of filing documents and marketing materials



## Training and onboarding:

We charge a one-time fee equal to the monthly subscription fee that includes a detailed RIA in a Box Platform training session with our onboarding and training expert. This fee also includes additional staff training and assistance with connecting to our technology integration partners.

### How our training expert will help you and your staff:

- Provide Chief Compliance Officer (CCO) training on all available RIA in a Box Platform compliance tools
- Assist with customization of compliance settings and notifications
- Host a training session to assist with staff onboarding to the RIA in a Box Platform

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



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