

# Compliance Essentials™



## Expert advice and guidance to support your firm's CCO

If you are seeking to stay current with increasingly complex securities laws without sacrificing your other responsibilities, AdvisorAssist professionals can help.

With *Compliance Essentials™*, you receive cost-effective guidance, advice and tools to support your existing compliance activities.

*Compliance Essentials™* is ideal for advisors that wish to supplement their internal compliance activities with our resources and expertise.

## Components of our *Compliance Essentials™* Service

### **Initial Assessment & Enhancement**

We conduct an initial review of your regulatory filings and each component of your compliance program to identify opportunities for enhancement or replacement. Our objective is to ensure that your compliance documents meet today's regulatory standards, reflect your specific business practices and address any specific questions or issues that are important to you.

### **Firm Maintenance**

We provide you with the tools and templates necessary to guide you through a "year in the life of compliance". We provide guidance throughout the year to help you perform each applicable compliance-related task, stay ahead of new regulatory developments and keep your compliance program current.

### **Compliance Modules**

Our *Compliance Essentials™* service includes three additional consulting hours for you to use throughout the year. These consulting hours may be used towards our Compliance Modules (see below) or other compliance topics that are relevant to your firm.

### **Support & Communications**

Our service model centers around your Advisor Portal, a secure, cloud-based website to maintain compliance-related documents, tasks, and workflows.

Your Advisor Portal also serves as your primary communication and collaboration hub where you can access Advisor Alerts, templates, and submit questions or requests to our team so that the most appropriate consultant can follow up with your request promptly.

## About AdvisorAssist

AdvisorAssist is a management consulting firm focused on serving investment advisory firms by providing expertise and resources in the areas of strategy, compliance, marketing and operations & technology. With a focus on **people, process and technology**,

AdvisorAssist delivers actionable solutions to top investment advisors seeking to **build, grow, protect and optimize** their businesses.

## Why AdvisorAssist?

### **Real-World Experience**

We bring real-world entrepreneurial experience to our client relationships and provide guidance from initial setup to ongoing strategic, operational and regulatory support.

### **Breadth of Expertise**

Our consultants are all former practitioners that have held leadership positions across all functional areas within the advisory firm.





**AdvisorAssist**

Firm Maintenance		Compliance Modules
Service Bureau for IARD/CRD	Serve as service bureau for your IARD/CRD Account, including ADV filings and confirming proper payment of fees	Social Media
Compliance Calendar	On-line calendar to help you map out a "Year in Compliance" for your firm	Risk Assessment Reviews
Risk Assessment Checklists	Provide you with quarterly checklists and/or topic-based risk assessments for all required policies and business practices	Business Continuity Planning
Annual ADV Amendments and Renewals	Administer your annual renewal process . Review and file Form ADV 1, 2A and 2B to reflect updates and changes in your business	Annual CCO Report
Interim ADV Amendments	Review and file Form ADV1, 2A and 2B for regulatory and/or business model changes.	Privacy and Data Security Review
Annual U-4 Review	Review background, outside business activities and related information for Investment Advisor Representatives ("IARs")	Mock SEC or State Examinations
Regulatory Monitoring	AdvisorAssist monitors for federal and state regulatory changes and provides guidance on how these may impact Advisors.	Advertising Review
Newsletter and AdvisorAlerts	Access to Advisor InSights newsletter and periodic alerts on relevant regulatory topics	Other compliance topics relevant to your firm
Webinars and Podcasts	Periodic webinars and podcasts to help you effectively manage your compliance program	

## **Additional Compliance Services**

**Compliance Advantage™** Ideal for firms seeking a more comprehensive partnership with experts to take a proactive approach to managing and implementing your compliance program.

**Mock Regulatory Exams.** Ensure that your compliance program and business activities will withstand regulatory scrutiny with an online or on-site mock examination designed to test and evaluate all facets of your compliance program.

## **Stay Connected.**



We would welcome the opportunity to learn more about you. Please call us at 617.800.0388 or email us at [info@advisorassist.com](mailto:info@advisorassist.com).



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