PartnerProgram

Registered Investment Adviser

PartnerPlus

Comprehensive Hands-On Compliance Program

PartnerPlus proactively addresses all of your firm's compliance needs allowing you to devote full attention to your business. We act as your partner working strategically with your firm, not just when you call for assistance. An onsite visit will help ensure that your firm is on the right track. A customized compliance calendar and monthly testing will help your firm stay ahead of regulatory requirements. With PartnerPlus, you can feel confident that your firm is keeping up with ever-changing regulations.

PartnerPlus includes these services:

Registration Services

- Initial Review of Form ADV
- Initial Review of Investment Advisory Contract
- Annual Review of Form ADV and Filing of Annual Amendment
- Updates of Forms U4 and U5
- Annual Firm Registration Renewal Notification and Filing

Regulatory and Compliance

- Initial Onsite Visit
- Initial and Annual Risk Assessment
- Customized Compliance Calendar
- Onsite Compliance Policies and Procedures Testing (pursuant to SEC Rule 206(4)-7, if SEC-registered)
- Custom Compliance Policies and Procedures Manual with Updates
- Advertising and Marketing Review
- Semi-Annual Review of Firm's Business, Regulatory Disclosures and Compliance Program
- Monthly Compliance Testing Tools
- Educational Trainings
- Other-Than-Annual Amendments to Form ADV
- Email Regulatory Alerts
- Compliance Newsletter
- Consulting (on services above)

Regulatory Compliance
PartnerProgram

The Regulatory Compliance PartnerProgram provides expert support, customized to your firm's particular compliance needs. Select the level of support that is best for your firm.

RIA PartnerProgram:
PartnerElite
PartnerPlus
PartnerPro

To learn more about the PartnerProgram or other services, call toll-free (888) Reg-Comp, (888) 734-2667.

You don't know what you don't know. We're here to help.