



Registered Investment Adviser

PartnerPro

Expert Support for Your Firm's Essential Compliance Needs

PartnerPro provides you with expert compliance support and resources so that you can focus on your business. We track all new regulations and provide you with direct access to our experts for quick answers to your questions. Our monthly compliance testing tools will assist your firm in meeting regulatory requirements.

PartnerPro 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 Services

- Initial Risk Assessment
- Custom Compliance Policies and Procedures Manual with Updates
- Educational Trainings
- Monthly Compliance Testing Tools
- Email Regulatory Alerts
- Compliance Newsletter

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



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.