



Compliance Program Support

✓ Annual and other-than-annual Form ADV amendments
✓ Annual filings of Form PF
✓ Compliance Manual revisions and maintenance
✓ Annual Review and CCO Report
✓ Marketing material review
✓ Employee disclosures and certifications
✓ Website review
✓ Employee social media reviews
✓ Employee political contributions reviews

✓ Email surveillance
✓ Annual and new hire compliance training
✓ OFAC sanctions monitoring
✓ In-person and telephone advice
✓ Regulatory updates
✓ Compliance Management System administration
✓ Forensic Testing
✓ SEC examination preparation
✓ Form D filings (ex filing fees)