



Trillium

COMPLIANCE PROGRAM ROADMAP

Regulatory Filings

<input type="checkbox"/>	Form ADV Annual Update	<input type="checkbox"/>	Form PF
<input type="checkbox"/>	IARD User Entitlement Certification	<input type="checkbox"/>	IARD Registration Renewal

Compliance Training

<input type="checkbox"/>	Annual Compliance Training		
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Reviews, Testing and Surveillance

<input type="checkbox"/>	Annual Review under Rule 206(4)-7)	<input type="checkbox"/>	Compliance Manual Review & Update
<input type="checkbox"/>	Test 1: Custody Rule (Rule 206(4)-2)	<input type="checkbox"/>	Q1 Transactions report review
<input type="checkbox"/>	Test 2: Marketing Rule (Rule 206(4)-1)	<input type="checkbox"/>	Q2 Transaction report review
<input type="checkbox"/>	Test 3: Code of Ethics (Rule 204A-1)	<input type="checkbox"/>	Q3 Transaction report review
<input type="checkbox"/>	Website Review	<input type="checkbox"/>	Q4 Transaction reports review
<input type="checkbox"/>	Email Surveillance	<input type="checkbox"/>	Annual Holdings report review

Employee Certifications & Attestations

<input type="checkbox"/>	Compliance manual & Code of Ethics	<input type="checkbox"/>	Disciplinary Questionnaire
<input type="checkbox"/>	Electronic Communications	<input type="checkbox"/>	Conflicts of Interest – Political Contributions, Gifts, OBAs, etc.

Compliance Meetings

<input type="checkbox"/>	January	<input type="checkbox"/>	July
<input type="checkbox"/>	February	<input type="checkbox"/>	August
<input type="checkbox"/>	March	<input type="checkbox"/>	September
<input type="checkbox"/>	April	<input type="checkbox"/>	October
<input type="checkbox"/>	May	<input type="checkbox"/>	November
<input type="checkbox"/>	June	<input type="checkbox"/>	December