

RIAB Platform for SEC-Registered Firms

Achieve 360-Degree Compliance

Arm your compliance team with one solution to document, track, manage, and report on all compliance activities. Four software tiers for SEC-registered firms, a la carte features, enhanced consulting options, and additional packages for state-registered firms create a customized compliance solution that fits your needs now and will easily scale as your firm grows.

Software Features	Comprehensive	Premium	Advanced	Standard
Custom Compliance Calendar	✓	✓	✓	✓
Compliance Log	✓	✓	✓	✓
Registration Tracker	✓	✓	✓	✓
Marketing and Advertising Review Tool	✓	✓	✓	✓
Form ADV Filings	✓	✓	✓	✓
Employee Supervision	✓	✓	✓	✓
Vendor Due Diligence	✓	✓	✓	✓
Intelligent Policy Builder	✓	✓	✓	□
Audit Prep Tool	✓	✓	✓	□
Risk Assessment	✓	✓	✓	□
Annual Review	✓	✓	✓	□
Continuing Education	✓	✓	✓	\$
Cybersecurity Platform	✓	✓	\$	\$
Archiving Solution	✓	✓	\$	\$
Automated Employee Trade Monitoring	✓	\$	\$	\$
Regulatory Filings	\$ (some included)	\$	\$	\$
COMPLY Fiduciary Suite	\$	\$	\$	\$
Private Fund Platform	\$	\$	\$	\$

On-Going Compliance Support Services

Expert Compliance Consulting

COMPLY's Consulting Services provide industry-leading expertise and support to help your firm stay compliant and ahead of regulatory changes. Our service levels – Standard, Enhanced, and Comprehensive – offer increasing levels of support to meet the needs of your firm. You can add additional services packages or a la carte engagements.

Standard Service

Foundational service offering, included with all solutions tiers:

- Initial compliance expert review call
- Service bureau administrator for IARD account
- Assistance with annual form ADV renewal
- Unlimited form ADV amendments

Enhanced Service

Expert guidance when you need it

Enhanced is designed for firms that want expert consulting and regulatory guidance but prefer to drive their own compliance program. With Enhanced, our consultants are available when you reach out, providing unlimited access to expert advice. However, the responsibility remains with you to initiate engagement. Enhanced includes:

- All Standard Service features, plus
- Onboarding assistance
- Creation or review of your Policies and Procedures
- Marketing and advertising review
- ADV filings
- Regulatory exam support

Migrate to COMPLY for best-in-class compliance program management.

Talk to an expert today!

sales@comply.com



COMPLY™ is not a law firm, investment advisory firm or CPA firm. COMPLY does not provide legal advice or opinions to any party or client. You should always consult your relevant regulatory authorities or legal counsel if applicable.

One Platform. One Solution. One COMPLY.

COMPLY's solutions are designed specifically to address the unique use cases and regulatory challenges faced by financial services firms. As the only regulatory compliance technology provider and partner to deliver employee and firm compliance software, services, education, and support in one comprehensive offering, COMPLY ensures that firms remain vigilant in their compliance efforts as they evolve and scale.

Learn more at [COMPLY.com](https://comply.com)

Comprehensive Service

Proactive and continuous compliance support

With Comprehensive, our consultants drive the compliance process, taking a hands-on, proactive approach, ensuring your compliance program is continuously updated and aligned with regulatory expectations.

The Comprehensive Advantage:

- ✓ **All Enhanced Service features, plus**
- ✓ **Proactive Compliance Consulting** – We don't wait for you to ask; we take charge. Our team reviews your compliance documents, updates your manuals, and actively schedules monthly compliance calls, shoring up your compliance program without the guesswork.
- ✓ **End-to-End Policy & Procedure Management** – While Enhanced clients manage their own updates, Comprehensive includes an **annual update to compliance manuals** and a full annual consistency review, ensuring your policies remain aligned with the latest regulations.
- ✓ **Comprehensive Risk Management** – With **cybersecurity program development, business continuity planning, and annual compliance reviews**, we help mitigate compliance risks before they become liabilities.
- ✓ **Annual Compliance Meeting & Training** – Beyond just answering questions, we provide **structured, expert-led training sessions** tailored to your firm's needs, ensuring your team is prepared for evolving regulations.
- ✓ **Dedicated Support & Exam Readiness** – A **Dedicated Client Success Manager** works alongside your compliance consultant to provide personalized support and ensure you get the most out of your partnership. Plus, our **Regulatory Exam Support Services** help you navigate exams with confidence.

A La Carte Service Offerings

In addition, managed services and custom consulting for project-based engagements or ongoing partnerships can be scoped based on your firm's needs. We also offer tailored mock audits and one-off consulting engagements.

With innovative software, expert consultants, and award-winning support at your disposal, you can rest assured your regulatory obligations will be met, while you focus on delivering exceptional service to your clients.

Contact us to learn more at sales@comply.com.