



**FIN** Compliance™



Our FIN Compliance Team supports the lifecycle of the firm: from Compliance Program setup, client disclosures and managing teams to assistance with transitioning the practice for the future.

### **FIN Compliance**

is a consortium of compliance, consulting, and business management solutions designed to help boutique investment advisors to structure, maintain, and develop their internal regulatory review programs. *Serving the investment community to make a Social Impact. Since 2012.*

### **Compliance Management**

We work with companies who are seeking to manage their compliance obligations.

Since 2012, we served more than 180+ SEC and State registered firms with compliance services. Bi Berk E&O Policy #N9PL147432

### **Business Management**

We provide firms with task-management processes and a business directory to connect with other firms for continuity, succession planning, partnerships, and deal flow

### **Needs Analysis Workflow**

We work with firms in determining their compliance management priorities. During/after a need's analysis, we provide firms with compliance/business service options to address those needs and will provide firms with sample workflows for task delegation purposes.

### **Audit Preparation**

We help firms in addressing compliance deficiencies while acting as an intermediary for resolving issues between (you) the advisor and regulators/examiners. We can also assist firms in audit prep measures.

### **Regulatory Changes**

We research regulatory updates from state, SEC, and/or FINRA jurisdictions. We're here to help as some rules/regulations may be amended over time.

## Our Products and Services



Compliance / Task Management System

### **RIA Registration Services:**

Registering new firms/updating jurisdictions.  
(SEC/State, FINRA)

### **RIA Compliance Consulting:**

Assistance with ongoing reviews, policy & procedures, and filings.

### **Compliance Management System:**

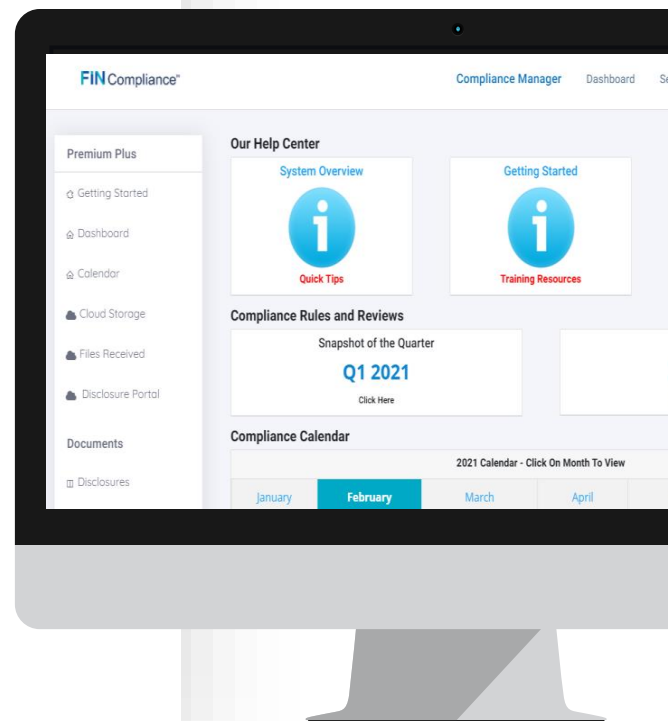
Online system for internal review processes.

### **Business Management System:**

Team Projects, Task Delegation processes,  
Business/Firm Directory,  
E-contracts, workflows, and more.

### **Mergers/Transitions:**

Business Succession/Partnership/Deal Flow  
Matchmaking Services.





COMPLIANCE CONSULTING

## RIA Consults™

### **Compliance Consulting Services for:**

Registered Investment Advisors | Financial Planners | Private Fund Advisors

|  
Robo-Advisors | Fund Managers | FinTech Entrepreneurs

### **Includes:**

Mock Audits | Reviews | Registration Services | Filings | compliance workflows | systems development | regulatory consulting | compliance systems | and more

### COMPLIANCE MANAGER

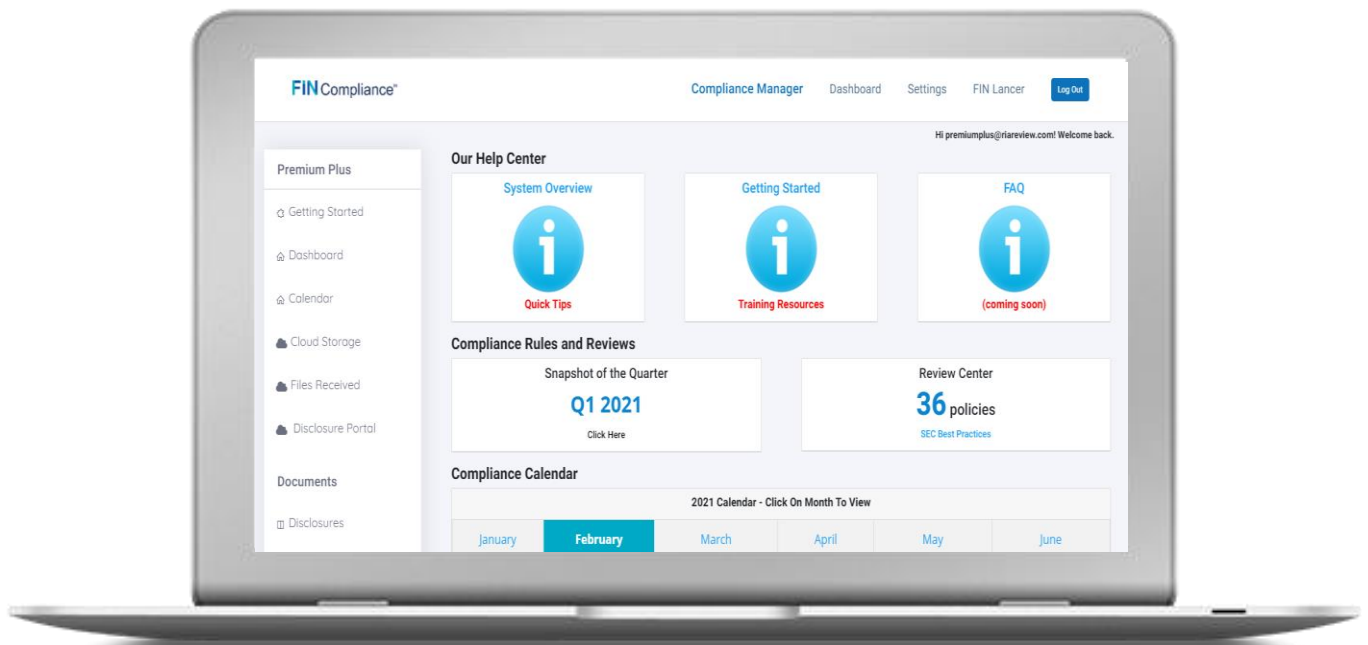
# RIA Review™

Compliance documentation and review system for SEC and State-Investment Advisors.

### Premium Plus Software includes:

Calendar (set alerts/integration), SEC/State Guidelines, CRD Guidelines, News, Checklists, Forms Agreements, operations maps, Compliance Cloud directory\* (10GB), review center\*, training videos, and more.

### SYSTEM FEATURES INCLUDES:





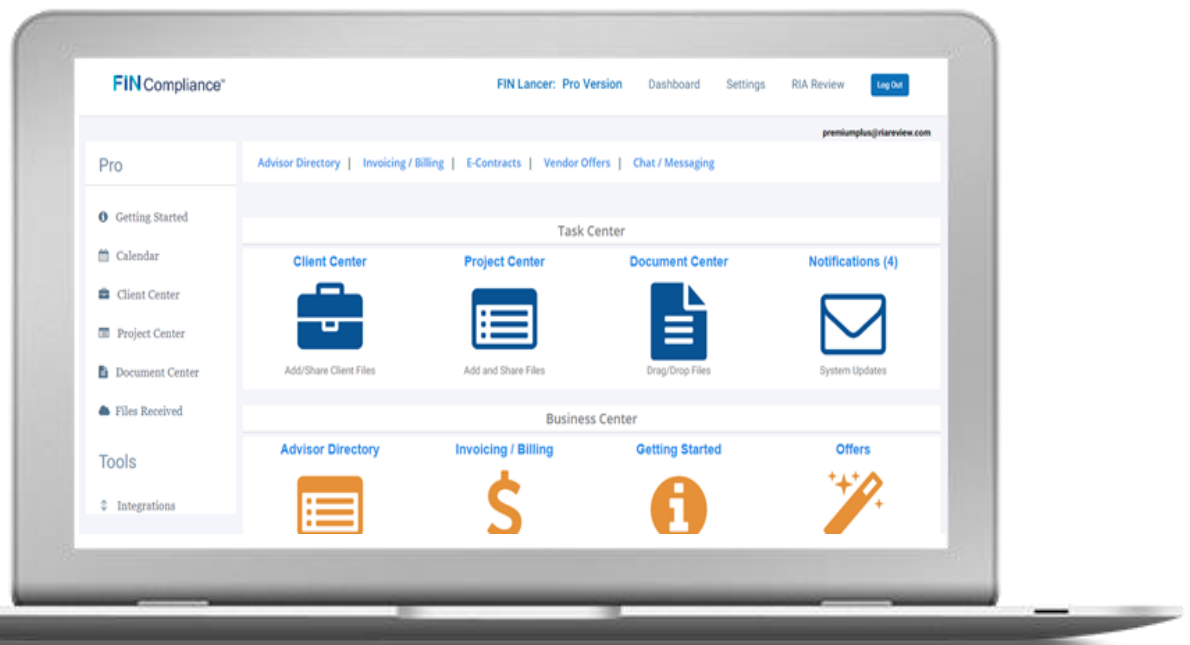
BUSINESS MANAGER

# FINLancer™

FIN Lancer provides business/collaboration management tools for professional firms in the investment/securities industry.

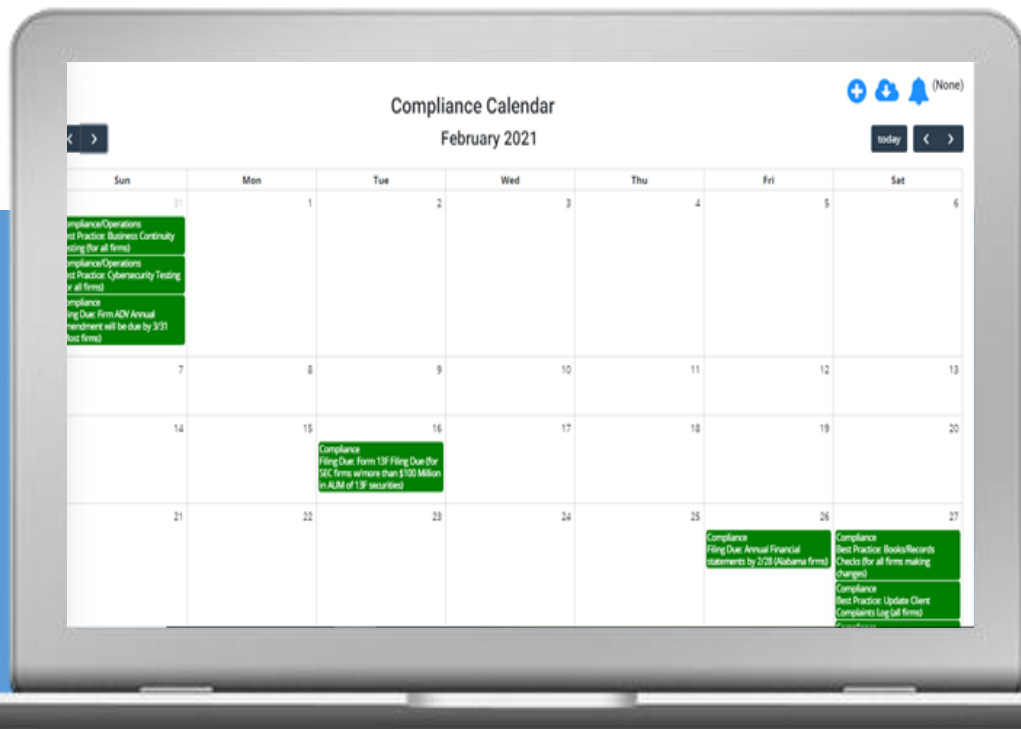
### System features include:

Our solution enables firms to utilize a: client center to setup tasks related to customer assignments, a project center for task delegation, compliance reporting, e-contracts, and onboarding. Firms can also connect with other firms through our advisor directory for succession planning, deal flow, partnerships, mergers/acquisitions, and continuity purposes.



FIN Compliance Calendar

**Sign Up for free account  
to access Calendar updates  
@ FINCompliance**



**More than 180 firms served since 2012.**

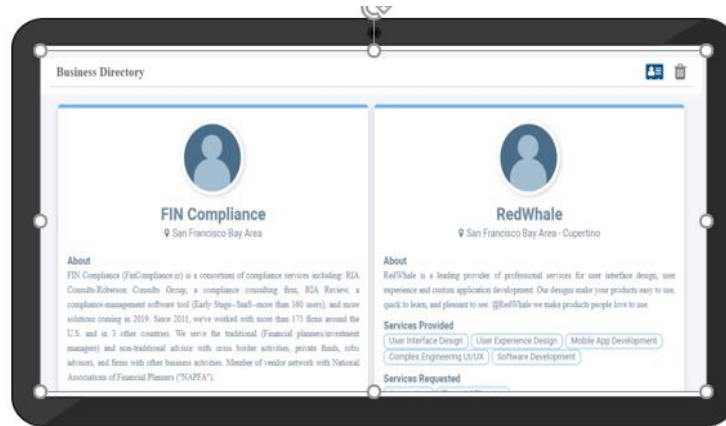
**THANK YOU.**



Cory Roberson, Principal

FIRM DIRECTORY/REFERRALS/SERVICES

## FIN Continuity™



Succession Planning/Partnerships

Matchmaker Services

Deal Flow/Mergers/Acquisition Referrals

Referrals

Introduction with capital providers/partners

Compliance/Transition Referrals

BUSINESS/TECH STRATEGY

## FIN Ventures™

HYBRID COMPLIANCE MANAGER (RIA/BD)

## B-D Review™

**Workflows to connect with other firms for deal flow succession planning, partnerships or more.**





**FIN** Compliance™