

Investment Adviser Registration & Compliance Consulting Services



DFP Partners Regulatory Services LLC (DFP Partners-RS) offers wide-ranging compliance solutions to investment advisers.

Our Seasoned Professionals:

- » Support your firm's ongoing effort to comply with the rules and regulations of the industry
- » Fulfill your Chief Compliance Officer role
- » Facilitate your registration with the Securities and Exchange Commission (SEC)

INVESTMENT ADVISER REGISTRATION & COMPLIANCE CONSULTING SERVICES

Adviser Ongoing Compliance Services

DFP Partners supports your existing compliance program

DFP Partners–RS assists Registered Investment Advisers (RIAs) through the development of customized compliance programs, the adoption and maintenance of written compliance manuals, the execution of annual reviews, and help with the creation and management of compliance calendars.

DFP Partners–RS provides year-round assistance to facilitate ongoing compliance with two levels of service: RIA Compliance Support and RIA Outsourced CCO.

RIA Compliance Support

DFP Partners–RS supports your Chief Compliance Officer by:

- » Administering the IARD system and making yearly amendments to Form ADV Parts 1, 2, and 3 (if applicable)
- » Delivering an updated Form ADV Part 2 within 120 days of the fiscal year-end and preparing state notice filings and registrations
- » Filing an amended Form ADV, state notice filings, and Section 13 filings
- » Updating your compliance manual, monitoring insider trading policy, and reviewing advertising
- » Facilitating the collection of representative disclosures and certifications
- » Implementing a compliance calendar
- » Conducting your 206(4)–7 Annual Review to test the effectiveness of firm compliance
- » Guiding you through SEC or state regulatory exams
- » Providing ongoing compliance advice

RIA Outsourced CCO

A DFP Partners–RS consultant can act as your Chief Compliance Officer to administer your compliance program. Working closely with management and staff, we will draft, implement, and maintain your compliance program, which includes:

- » Proactively maintaining and updating existing compliance manuals
- » Obtaining periodic disclosures and certifications of representatives
- » Reviewing and approving adviser advertising
- » Administering the Code of Ethics and Insider Trading review
- » Organizing and chairing regular compliance committee meetings
- » Providing internal training on relevant compliance topics
- » Conducting an annual risk assessment with management

INVESTMENT ADVISER REGISTRATION & COMPLIANCE CONSULTING SERVICES

Adviser SEC Registration Services

DFP Partners assists with SEC registration requirements

DFP Partners-RS manages the entire registration process with the SEC. This includes:

- » Creating and filing Form ADV Parts 1, 2 and 3 (when applicable) and supporting documents
- » Developing your customized written compliance manual
- » Drafting your Code of Ethics, BCP, and Insider Trading Policy
- » Reviewing Solicitor Agreements and Disclosure Statements
- » Responding to any follow up inquiries from the SEC

Exempt Reporting Adviser (ERA) Registration

DFP Partners Prepares and Files Your ERA Registration

DFP Partners-RS assists Exempt Reporting Advisers (ERAs) with their federal registration process. Although ERAs are not subject to the same registration requirements and recordkeeping rules as RIAs, they are responsible for anti-fraud rules and pay-to-play provisions. Implementing compliance policies and procedures can help an ERA avoid securities violations and protect their investor information.

Adviser Accounting

DFP Partners' Expert Accountants Put Your Business First

For many decades, DFP Partners, a CPA firm, has been recognized for its accuracy and professionalism in outsourced Client Accounting Services. DFP Partners customizes our services to your business needs so that your company can focus on achieving its strategic goals, while we take on administrative tasks and free up management's time. Our accountants can reliably perform all necessary financial tasks for small to mid-sized financial services firms, asset management companies, and private equity firms, including:

- » Oversight of accounts payable and receivable
- » Preparation of billing and invoicing
- » Preparation or review of bank reconciliations
- » Maintenance of accounting books and general ledger
- » Preparation of financial statements with trial balance
- » Interface with outsourced payroll processing firms



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