

Investment Adviser Registration & Compliance Services



Securities and Exchange Commission Registration and Adviser Regulatory Compliance Services

DFP Partners offers wide-ranging compliance solutions to investment advisers.

Our compliance professionals can:

- » Facilitate your registration with the Securities and Exchange Commission
- » Support your firm's ongoing compliance with the rules and regulations of the industry
- » Fulfill your Chief Compliance Officer role

INVESTMENT ADVISER REGISTRATION & COMPLIANCE SERVICES

Adviser Regulatory Compliance Services

Per the Investment Advisers Act of 1940 (the Act) Rule 206(4)–7, DFP Partners assists Registered Investment Advisers through the development of a customized compliance program, the adoption of written policies and procedures, the designation of a knowledgeable Chief Compliance Officer, and the execution of the annual review.

COMPLIANCE SERVICES OVERVIEW

- » Administer your Investment Advisor Registration Depository (electronic filing system) and make yearly amendments to Form ADV (Uniform Application for Investment Adviser Registration) Parts 1 and 2
- » Deliver updated Form ADV Part 2 within 120 days of fiscal year-end and prepare state notice filings and registrations
- » File an amended Form ADV upon a material change to your business
- » Draft and update your compliance manual, monitor insider trading policy, and review marketing/ performance material
- » Conduct your annual review to test effectiveness of firm compliance and to prepare for regulatory exams

Adviser Securities and Exchange Commission Registration Services

DFP PARTNERS CAN ASSIST WITH SECURITIES AND EXCHANGE COMMISSION REGISTRATION REQUIREMENTS

- » Creating and filing Form ADV Parts 1 and 2 and supporting documents
- » Developing your written compliance manual
- » Drafting your Code of Ethics, Business Continuity Policy, and Insider Trading Policy
- » Developing Solicitors Agreements and Disclosure Statements
- » Reviewing marketing materials
- » Licensing appropriate personnel such as:
 - Series 65, if applicable
 - Investment Adviser representative registration

INVESTMENT ADVISER REGISTRATION & COMPLIANCE SERVICES

Registered Investment Adviser Services

Registered Investment Adviser Compliance Service Options

DFP Partners can provide year-round assistance, on a retainer basis, to facilitate ongoing compliance via two levels of service: Registered Investment Adviser Compliance Support and Registered Investment Adviser Outsourced Chief Compliance Officer.

Registered Investment Adviser Compliance Support

DFP Partners can be engaged to support your designated, in-house Chief Compliance Officer with the responsibilities of administering the firm's compliance manual pursuant to the requirements of the Act.

ASSIST YOUR CHIEF COMPLIANCE OFFICER

- » Monitor policies and procedures, assist with applications and revisions
- » Serve as web Investment Advisor Registration Depository administrator
- » Prepare routine Form ADV amendments, state notice filings and Section 13 filings
- » Facilitate the collection of representative disclosures and certifications
- » Implement a compliance timeline to foster completion of activities
- » Review marketing material compliance
- » Conduct the annual review of effectiveness and draft summary report
- » Guide you through regulatory exams conducted by regulatory authorities
- » Draft communications and responses to regulators
- » Provide ongoing compliance advice

Registered Investment Adviser Outsourced Chief Compliance Officer

A DFP Partners consultant can act as the designated Chief Compliance Officer to administer your adviser firm compliance program. Working closely with management and staff, your DFP Partners Chief Compliance Officer will plan, draft, implement, and maintain your compliance program, provide the annual written compliance report, and handle the matters required of a Chief Compliance Officer under the Act.

INVESTMENT ADVISER REGISTRATION & COMPLIANCE SERVICES

Exempt Reporting Adviser Registrations

Exempt Reporting Adviser Registration Requirements

DFP Partners can assist Exempt Reporting Advisers with their federal registration process. Although Exempt Reporting Advisers are not subject to the same registration requirements and record keeping rules as Registered Investment Advisers, they are responsible for anti-fraud rules and pay-to-play provisions. Implementing compliance policies and procedures can help an Exempt Reporting Adviser avoid securities violations and protect their investor information.

ADDITIONAL SUPPORTIVE SERVICES

- » Proactively maintain and update existing compliance manuals
- » Obtain periodic disclosures and certifications of representatives
- » Review and approve adviser marketing materials
- » Administer the Code of Ethics and Insider Trading review
- » Deliver privacy notices in accordance with Securities and Exchange Commission Regulation S-P
- » Organize and chair periodic compliance committee meetings
- » Provide internal training on relevant compliance topics
- » Conduct a risk assessment annually with management