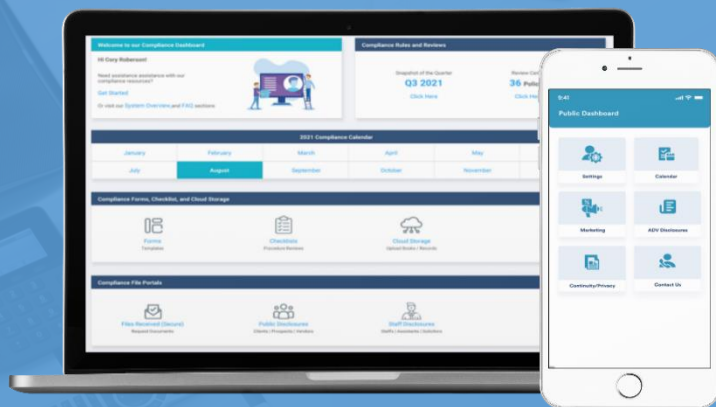




FIN Compliance™

SERVICES/OVERVIEW



All Bundled
Packages
start at
\$200/mo. &
up

RIA Registration Services:
New firms | Existing firms
SEC, State, FINRA

Compliance Consulting:
Assistance with ongoing reviews, policies,
procedures, and filings.

Compliance Technology:
Desktop | Mobile App*
Calendar, Tasks, Documents, Forms,
Checklists, Firm Directory,
Cloud.

Zapier Integrations*:
Calendar to/from tech stack

Virtual Technology & Marketing Support
With Third-Party Vendors



*Coming
Soon

COMPLIANCE CONSULTING



Procedure Reviews | Registration Services | Mock Audits | Filings | Integration workflows | Regulatory Consulting | Technology | and more

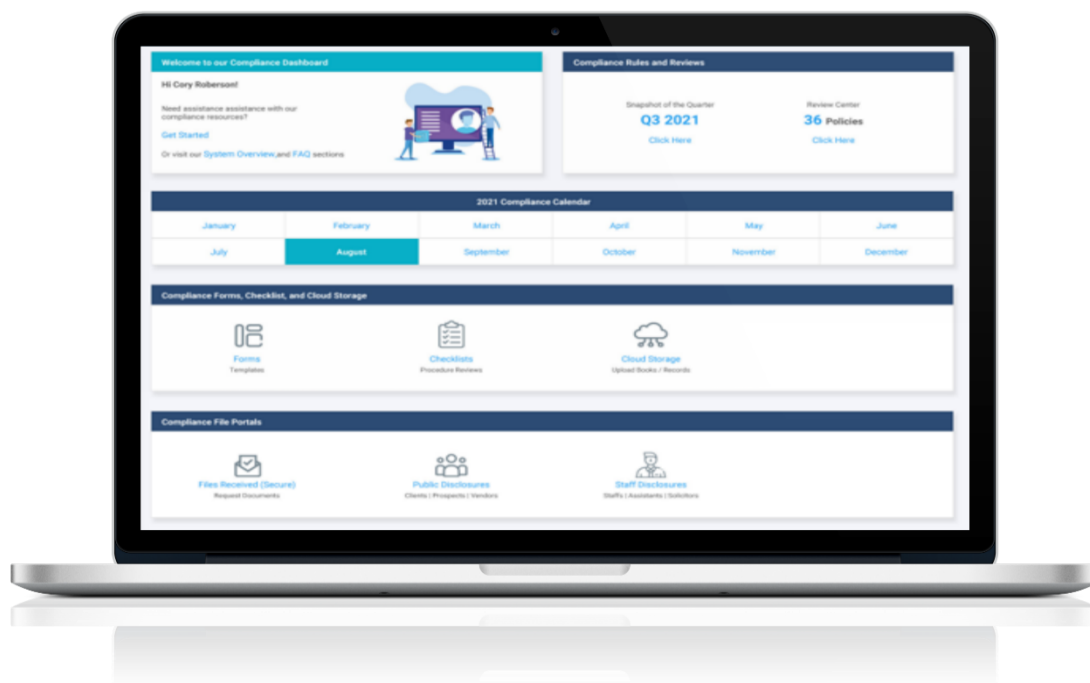


Sign Up for free account to access Calendar updates

COMPLIANCE MANAGER

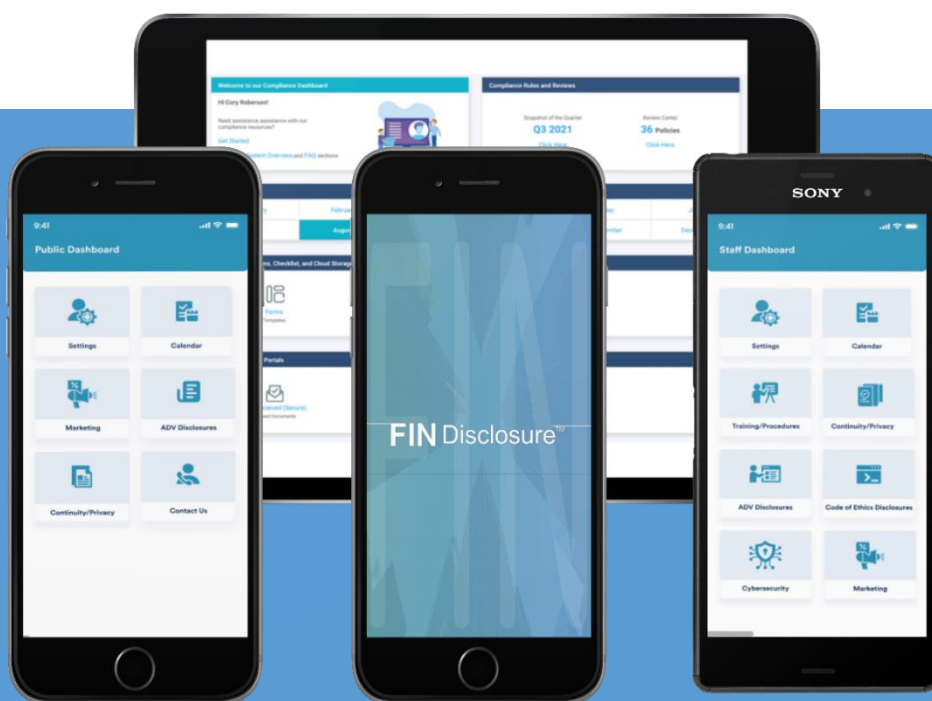
Forms, Checklists, Firm
Directory, File Sharing, Cloud,
Guidelines, Disclosure center,
and more.

DESKTOP DASHBOARD FOR
24/7 ACCESS TO RESOURCES



DISCLOSURE CENTER DOCUMENTS/REPORTING

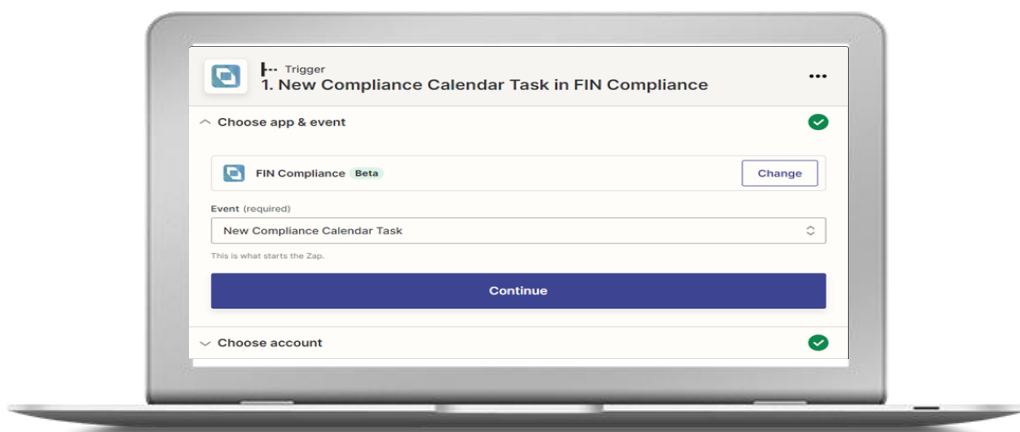
Desktop/Mobile Solutions
for clients, staff prospects,
solicitors, and vendors



Delivery and reporting solutions for:
ADV, Continuity, Employee Training,
Personal Securities, Marketing approvals,
State Registration, Gifts/Entertainment,
and More.

INTEGRATIONS (ZAPIER) (Beta available now)

TRANSFER CALENDAR EVENTS TO/FROM TECH STACK



+


zapier



Transfer
Documents to

Transfer
Documents From



Wealthbox

DocuSign

And More than 3000 Zapier connection available



Virtual Technology & Marketing Support

A consultant will be assigned to work with your firm marketing and technology portals on either a monthly or quarterly basis

From there, we assist with setup, campaigns, tech integrations, automations, and maintenance.

Prospective Lead Generation

Work with our team to compile a prospect leads list from LinkedIn, Yelp, Yellow Pages, or a directory of your choice

FIN Lancer Business Directory

A business directory profile that is advertised to our network of business owners

ABOUT US

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, **disclosure, and training programs.**

Nearly 200 Firms Served since 2011



FIN Disclosure™

FINLancer™

Services for:

Registered Investment
Advisors | Financial Planners
| Private Fund Advisors |
Robo Advisors | Fund
Managers | FinTech
Entrepreneurs



Cory Roberson, Principal



FIN Compliance™