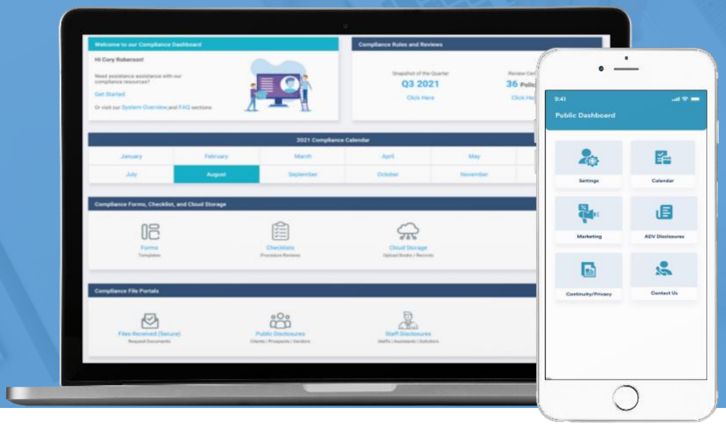
FIN Compliance™

FIN Compliance™

Segmented Compliance Management Solutions

Our Products and Services



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:
Compliance reviews, Team Projects, Task Delegation processes, Firm Directory, E-contracts, Vendor Offers.

Mobile Disclosure App:
Disclosure system for Staff, Clients, Prospects, Marketers, and vendors

Mergers/Transitions:
Business Succession/Partnership/Deal Flow Matchmaking Services.

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

FIN Compliance | 2950 Buskirk Ave., Suite #300, | Walnut Creek, CA 94597
650-305-2688 | FINCompliance.io | Cory@FINCompliance.io | Email to schedule call

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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

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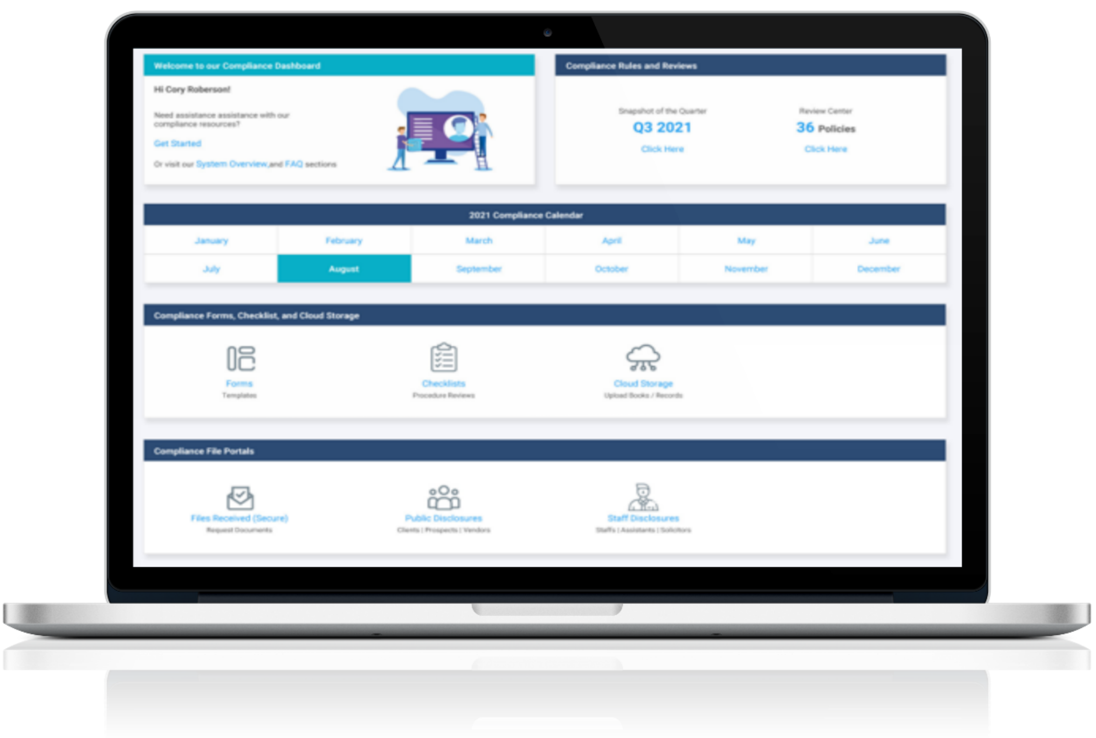
COMPLIANCE MANAGER

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:



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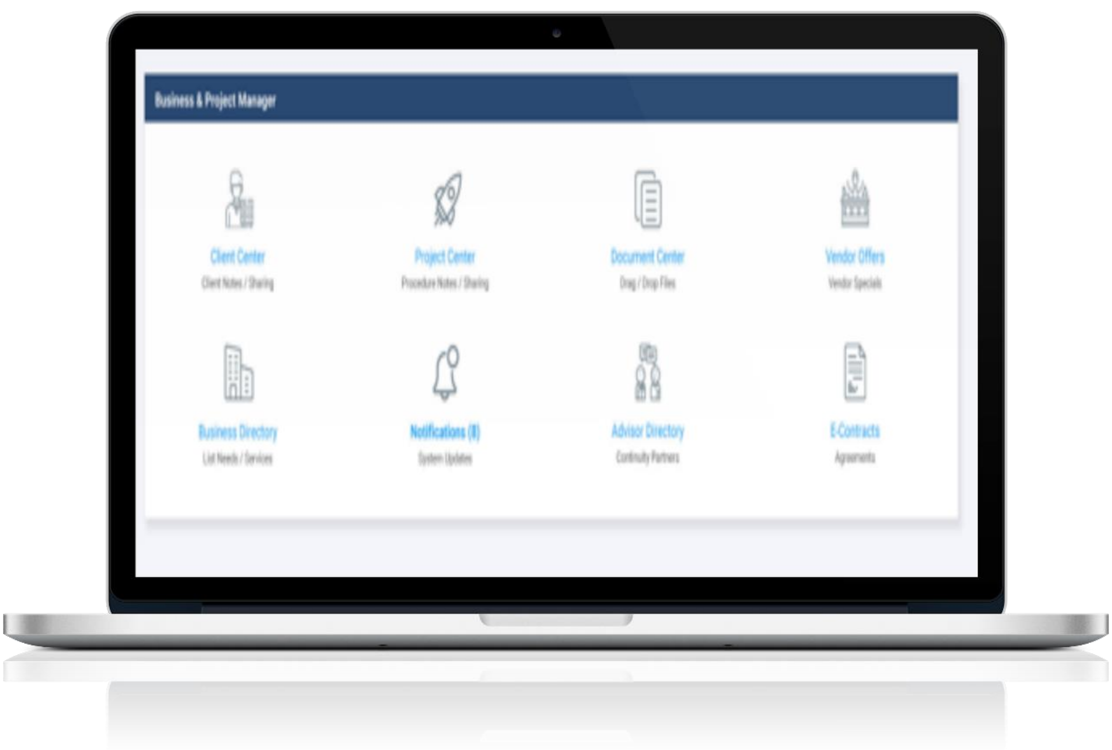
BUSINESS MANAGER

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.



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MOBILE DISCLOSURE APP

FIN Disclosure™

ADV, Continuity, Training, and Marketing Materials

Mobile disclosures for
clients, prospects, solicitors, and more
(coming in Q3 2021)

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Other Business Management Solutions

FIRM DIRECTORY

FIN Continuity™

Succession Planning/Partnerships

Vendor/Affiliate Referrals

Introduction with capital providers/partners

Compliance/Transition Referrals

OFFERS DIRECTORY

FINVentures™

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

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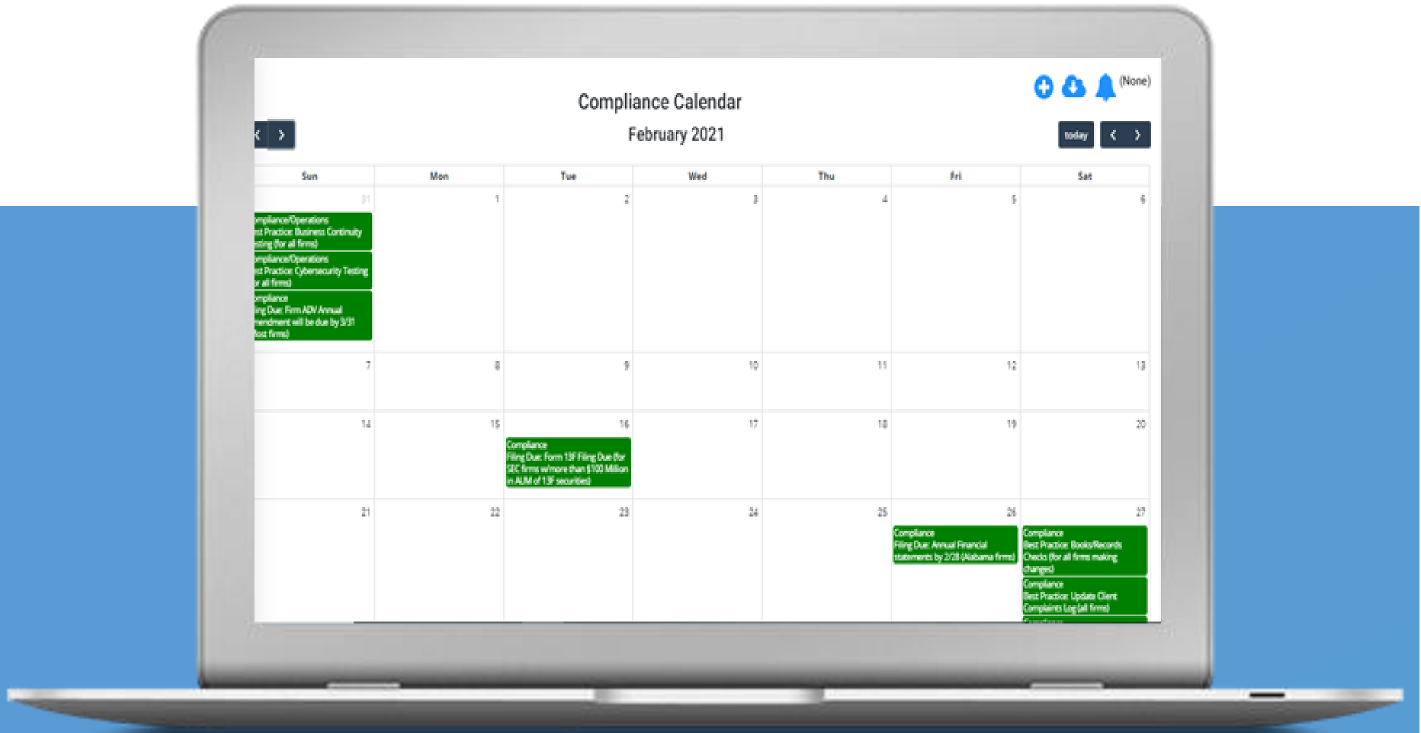
FIN COMPLIANCE CALENDAR

Getting Started
Sign Up for free account
to access Calendar updates



Regulatory Updates | Suggested Tasks

THANK YOU.

Cory Roberson, Principal

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