



# FIN Compliance<sup>TM</sup>

Getting Started  
System Features v3.8



# Compliance Dashboard

FIN Compliance™

Compliance Manager

Dashboard

Settings

FIN Lancer

Log Out

Hi premiumplus@riareview.com! Welcome back.

## Premium Plus

⚙️ Getting Started

🏠 Dashboard

📅 Calendar

## File Portals

☁️ Cloud Storage

☁️ Files Received

☁️ Public Disclosures

☁️ Staff Disclosures  
(Pending)

## Our Help Center

System Overview



Quick Tips

Getting Started



Training Resources

FAQ



System Search

## Compliance Rules and Reviews

Snapshot of the Quarter

**Q1 2021**

[Click Here](#)

Review Center

**36** policies

[SEC Best Practices](#)

## Compliance Calendar

2021 Calendar - Click On Month To View

[January](#)

[February](#)

**March**

[April](#)

[May](#)

[June](#)



# Accessing Compliance Calendar

Navigation		Quick Link	
------------	--	------------	--

Premium Plus

- Getting Started
- Calendar**
- Cloud Directory
- Files Received

Documents

- Disclosures
- Review Center


### Compliance Calendar

2021 Calendar - Click On Month To View

January	February	<b>March</b>	April	May	June
July	August	September	October	November	December


### Compliance Forms, Checklists and Cloud Storage

Forms




Templates

Checklists



Procedure Reviews

Cloud Storage



Upload Books/Records



# Compliance Calendar

View Calendar and/or To-Do lists

Scheduled Tasks

Online To-Do Lists

Compliance Calendar

March 2021

today < >

Sun	Mon	Tue	Wed	Thu	Fri	Sat
28	1	2	3	4	5	6
			SEC Releases Exam Priorities (2021)			
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31	1	2	3
			ADV Filing Due SEC Firm Fees Due			
4	5	6	7	8	9	10
	FINRA CRD Filing System	Client Fees Calculation Check				

Add Task

Date

« March 2021 »

Su	Mo	Tu	We	Th	Fr	Sa
28	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31	1	2	3
4	5	6	7	8	9	10

Frequency

Once

Name

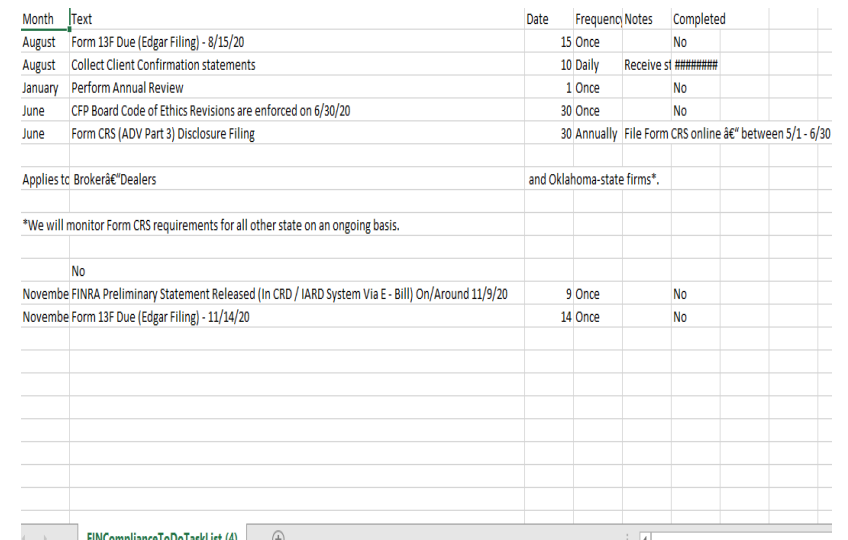
Notes

Save



# Integrate Tasks

# Audit Trail





# Storge - Cloud Directory

Upload/Share Compliance Book/Records Files for Audit Prep

List

Drag/Drop

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Folders

Advertising

Performance

Business cards

Social Media

Marketing

Books & Records

Business Continuity & Cybersecurity

Client Accounts

Office Locations

Advertising / Performance

Name	Date	Actions
1186000444T.jpg	03/06/2019	
ADV Form CRS (SEC Advisors) - template - v1 (1).docx	29/06/2020	
Business Continuity Plan -Template.docx	14/04/2020	

Drag and drop files on this area (up to 5 at time) Max: 10 MB per file.  
To overwrite a file, upload a file with the same name.  
No two files can have the same name in the entire Document Center.

Click [here](#) to refresh the file list after upload



# Files Received

Features	
Files Received	Files Requested

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(Pending)

Send Files Credentials

Allow anyone to send files to your account by using your personal upload link

Copy Personal Send Files Link

Files Received

Name	Date	Sender	Sender Email	Notes	Actions
FIN Compliance _ Fee Schedule (2020) _ All.pdf	7/17/2020	Cory Roberson	Cory@FINcompliance.io	Firm Documentation	 

FIN Compliance<sup>™</sup>

Send Files To Roberson Consulting Team & Staff

Enter your information. Then drag and drop files on this area (up to 5 at time) Max: 10 MB per file.

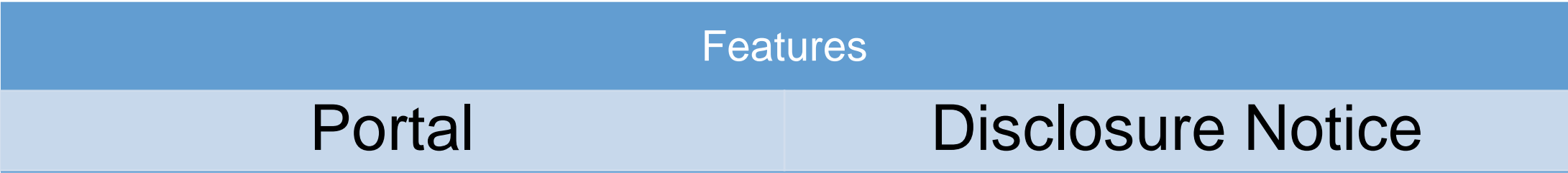
Your Name\*

Your Email\*

Notes



# Public Disclosure



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Staff Disclosures

(Pending)

Disclosure Portal Credentials

Allow anyone to access a portal with your firm's public disclosures

Copy Disclosure Portal Link

Upload Disclosure Files

ADV | Privacy Policy | Continuity Plan | Advertising | Other Public Disclosure Documents

Drag and drop files on this area (up to 5 at a time) Max: 10 MB per file.

Your Disclosure Portal Files

Name	Date	Actions
092920 _ FIN Compliance _ System Overview _ v2.pdf	12/16/2020	
111720 _ Navigation Updates.docx	12/16/2020	

## Public Disclosure Files for Roberson Consulting

Enter Your Name To Access Disclosure Files

Enter

### Public Disclosure Documents/Electronic Delivery Disclaimer

We are required to make available our firm disclosure documents, which may include the: ADV Part 2A, 2B, Part 3 (Form CRS), privacy policy, business continuity plan, and other general information regarding our practice.

At a minimum, our firm brochures will contain a summary of our business services, activities, fees, education, background, brokerage activities, and material changes (when applicable).

The firm Business Continuity plan, an overview of our emergency provisions, and the Code of Ethics, a summary of our firm fiduciary standards is available upon request.

By entering your name above, you specifically acknowledge as part of your acceptance of the terms for viewing this page, that documents to be delivered electronically will contain **public information** regarding the firm's business practices.





# Public Disclosure

Features	
Delivery Preferences	Downloads




## Public Disclosure Files for Roberson Consulting

Receive Files By Postal Mail

Receive Files By Email

Download Files

## Public Disclosure Files for Roberson Consulting

Name	Date	Actions
<a href="#">092920 _ FIN Compliance _ System Overview _ v2.pdf</a>	12/16/2020	
<a href="#">111720 _ Navigation Updates.docx</a>	12/16/2020	
<a href="#">mba_lor14_15.pdf</a>	12/16/2020	



# Public Disclosure

## Features

## Audit Logs

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Disclosures

Review Center

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Guidelines

SEC / State

CRD / IARD

Advertising

Maps

Designations / CF

**Disclosure Receipt Log (Downloads)**

Name	Date	Actions
<a href="#">Cory Roberson</a>	03/23/2021	
<a href="#">Cory Roberson</a>	03/18/2021	
<a href="#">Brandon Pham</a>	03/18/2021	
<a href="#">Cory Roberson</a>	03/09/2021	
<a href="#">Spencer Lin</a>	03/09/2021	

**Disclosure Receipt Log (Emails)**

Name	Email	Date	Actions
<a href="#">Spencer Lin</a>	spencer.lin@redwhale.com	03/18/2021	
<a href="#">Ryan Nguyen</a>	ryan.nguyen@redwhale.com	03/17/2021	



# Disclosure Documents\*

## Review Common Filing Instructions\*

### Menu

### Word Document

Updated on 3/1/2018

### ADV Part 1/2A/B: Making Material Changes (New Rep)

#### Amendment/Login Instructions:

Go to: <http://crd.finra.org> or <http://firms.finra.org>

Follow login instructions (user/password)

- Click on **IARD Main tab**
- Click on Forms: **ADV: New/Draft filing**
- Click on Submit an Amendment box "✓"
- Click on Annual Updating Amendment (for annual update) or other-than-annual amendment (for interim updates)
- Click **Create New Filing Box**
- Access questions on left navigation tab (some answers are already marked from previous amendment)

#### Uploading a new brochure:

Click on "Part 2"

- Change brochure name and/or date by clicking on previous brochure link
- Make sure the amend box is checked "✓"

*Brochure is upload at very end of filing:*

You will be prompted to submit a brochure AFTER clicking on Completeness Check (answering all required questions) and then clicking on Submit Filing. Note: These links are all on the left navigation panel.

\*Premium Plus users only

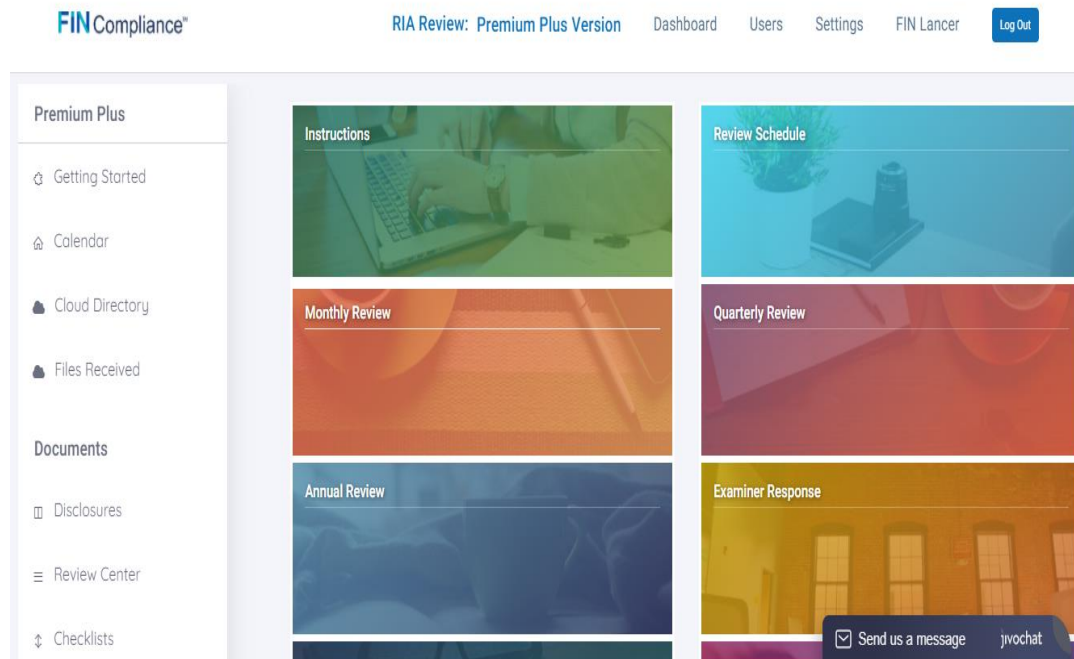


# Review Center\*

Review Regulatory Updates in a Monthly and Quarterly logs

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## ADV Part 1/2A/B: Making Material Changes (New Rep)

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\*Premium Plus users only



# Checklists

## Review To-Do List and Procedures

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Checklists

Calendar Compliance (for All Firms)

Calendar Items  
(Annual To-Do List)

Licensing Checklist  
(tracking to ensure registration)

State De-minimis checklist  
(registration requirements)

Solicitor Checklist  
(sales referrals)

Forensic Testing Forms (for All Firms)

Cybersecurity  
(testing to ensure data security)

Email  
(testing email - SEC 17a-4\* broker dealer rule)

Fee structure  
(reviewing fees)

Fee calculations  
(sampling of fees)

Personal Securities Transactions  
(reviewing access persons activity)

Trading  
(review of errors/best execution)

Custody  
(Custody Rule)

Custody

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To-Do List (Schedule)

Access Persons Log

Advertising Log

Books & Rec ...



# Forms

## Update Forms/Templates

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#### Forms

State-Required Documents

<b>Balance/Income Sheet</b> (GAAP format)	<b>Certification Letter</b> (NY)	<b>Minimum Financial Requirements Worksheet</b> (CA firms)	<b>Client Fee Table Disclosure</b> (MA firms)

Compliance Manual Documents

<b>Compliance Manual</b> (SEC 2019)	<b>Compliance Manual</b> (State 2019)	<b>State Compliance Manual</b> (CA)	<b>State Compliance Manual</b> (WA)

Policies/Procedures Documents

**Business Continuity Plan**

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#### Best Execution

##### Firm Policy

**ADVISORY FIRM's** policy is to obtain best execution for its client transactions, (i.e. the best overall qualitative execution).

**ADVISORY FIRM's** policy is to review applicable brokerage trading reports (Rule 605/606) to ensure that clients receive favorable trading execution. Firm will periodically review as needed.

##### Regulatory Update:

**July 11, 2018.** The SEC Office of Compliance Inspections and Examinations' ("OCIE") issued a risk alert "Compliance Issues Related to Best Execution by Investment Advisers" that identified discrepancies in client trade quality reviews in its examination of more than 1500 investment advisory firms.

##### Best Practices for updating procedures:

- Periodically review transactional quality brokerage reports (Rule 605/606).
- Review metrics in transactional reports and engage trading team for input (e.g. investment committee meetings).
- Check trading costs/quality with other brokers
- Add accurate trading disclosures on the ADV and Compliance manual.
- Add disclosures in ADV 2A and procedures manuals.
- Check best execution quality for bundled/mixed use arrangements.
- Review Procedures



# SEC and State Guidelines

Review SEC/State filing information

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SEC/State Guidelines

As of 9/16/2019

Firm and IA Rep Fees Calculator

Firm and IA Rep Fees Calculator (Renewals)

Initial State Registration Fees (Financials, Fingerprinting, and De Minimis)

Renewal State Registration Fees (De Minimis, Branch Fees and ADV Annual Filing)

SEC Registration Fees (and Notice Filing Fees)

State fingerprinting process for advisors

Solicitor Center

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SEC / State

Initial State Registration Fees (Financials, Fingerprinting, and De Minimis)

State	Contact	Financial Statements	Firm Registration Fee	IA Rep Registration Fee (+\$10 annual processing fee)	Branch Fees	Firm De Minimis Rule
Alabama	View	View	250	70	0	View
Alaska	View	View	250	75	0	View
Arizona	View	View	250	40	0	View
Arkansas	View	View	300	75	50	View
California	View	View	125	25	0	View
Colorado	View	View	100	24	0	View
Connecticut	View	View	340	125	125	View
Delaware	View	View	300	65	0	View
District of Columbia	View	View	250	45	0	View
Florida	View	View	200	50	100	View
Georgia	View	View	250	250	0	View
Hawaii	View	View	100	50	0	View
Idaho	View	View	150	30		

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# CRD and IARD Account Guidelines

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CRD/IARD Guidelines

Setting up FINRA E-Bill for paying fees (overview)

Paying firm fees electronically using E-Bill (overview)

Checking annual renewal fees due on FINRA Preliminary/Final statements (overview)

Checking Rep Registration Status (overview):

Checking Firm Registration Status (overview):

Checking Firm and Rep Filings (ADV, U4):

Advisor Exam Qualification process (overview)

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Continuity/Succession Team

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News & Updates

Steps to Reset Passwords (overview)

Completing CRD/IARD User Certification (overview)

There are two ways to complete certification process (choose one)

Method #1	Method #2
Login through <a href="https://crd.finra.org">https://crd.finra.org</a>	Login through <a href="https://firms.finra.org">https://firms.finra.org</a>
Click on <b>Account Management</b>	Click on <b>User Administration</b>
On left box, you'll see a text box to click "User Accounts Certification"	On left box, you'll see a text box to click "User Accounts Certification"
Click on this box	Click on this box
Complete instructions as provided.	Complete instructions as provided.

Filing an SAA Entitlement Form (complete instructions)

Amending an SAA Entitlement Form (overview)

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# Advertising Guidelines

## Overview of Disclosures for marketing materials

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Advertising

- General Rules
- Websites
- Business Cards
- Social Media
- Disclosures

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Disclosures

Firms should consider the following guidelines for advertising disclosures:

Compliance Steps - review general rules + include disclosures

**Example of Disclosures to include when firm references performance/market data**

- Insert information about firm
- Insert sources of data
- Time of Performance material (e.g. Insert 1, 3, 5, and/or 10-year data)
- Gross or Net of Fees\*
- Inherent Limitations of results
- Hypothetical analysis of model or actual results
- Potential for loss
- Disclaimer for Risks or potential for losses
- Investment Strategies & Benchmarks
- Performance Benchmarks (e.g. Russell, S&P, Third Party custom portfolio benchmarks)
- Strategies Used
- Investment Products
- Market Risk factors (e.g.: Market-related events; Interest-rate changes; Currency fluctuations; Equity/Credit/Debt changes; Equity/Liquidity issues; Dynamic Risk Hedging)

\* Gross--before deduction of advisory fees; Net - after deduction of advisory fees

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# Designations Maps

## Overview of Advisor Qualifications

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Designations

Series 65

CFP

CIC

Series 7

CFA

CFhC

PFS

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Advertising

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- Designations
- Client Onboarding
- Client Delivery
- Custody Center
- Cybersecurity / Business Continuity

CFP

Regulator: CFP Board

Education: Bachelor's

Materials (Coursework, Testing):  
Must have passing grade in coursework in following:  
General principles of financial planning  
Insurance planning  
Investment planning  
Income tax planning  
Retirement planning  
Estate planning  
Interpersonal communication  
Professional conduct and fiduciary responsibility  
Financial plan development (capstone) course

Exam: Yes

Continuing Education: Yes

Work Experience: Yes (3 years work experience)

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# Client Onboarding Maps

See Common Client Onboarding Documents

Menu

Documents

The screenshot displays the FIN Compliance user interface. At the top, the navigation bar includes the FIN Compliance logo, the user's role 'RIA Review: Premium Plus Version', and links to 'Dashboard', 'Settings', 'FIN Lancer', and a 'Log Out' button. The left sidebar contains a 'Premium Plus' section with links to 'Getting Started', 'Calendar', 'Cloud Directory', and 'Files Received'. Below this is a 'Documents' section with a list of document types: 'Disclosures', 'Review Center', and 'Checklists'. The main content area is titled 'Client Onboarding' and features a grid of six document tiles: 'New Account Paperwork', 'Client Agreements', 'Privacy Policy Notice(s)', 'ADV Part 2A & B Brochure(s)', and 'Client Notes/Suitability/Due Diligence Documentation'. Below the grid, a section titled 'Client Notes/Suitability Documentation:' provides guidelines for firms, including a list of documentation requirements such as financial status, existing assets, tax status, age, investment objectives, liquidity requirements, time horizon, risk tolerance, and investment experience. A 'Send us a message' button with a 'jvachat' label is located at the bottom right of the main content area. The right sidebar contains a 'Maps' section with a list of document types: 'Disclosures', 'Review Center', 'Checklists', 'Forms', 'Guidelines', 'SEC / State', 'CRD / IARD', 'Advertising', and 'Maps'.

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### Client Onboarding

New Account Paperwork

Client Agreements

Privacy Policy Notice(s)

ADV Part 2A & B Brochure(s)

Client Notes/Suitability/Due Diligence Documentation

#### Client Notes/Suitability Documentation:

Firms should consider the following guidelines:

Documentation that includes

- Financial status - client's debt/income ratio.
- Existing assets - summary of house, stocks, bonds, income producing vehicles.
- Tax status - future/current tax obligations.
- Age - determining if the client near or far from retirement.
- Investment objectives - is client seeking an aggressive, growth, or passive portfolio?
- Liquidity requirements - does client need access to money sooner or later?
- Time horizon - when does client expect to achieve results?
- Risk tolerance - does client like safe investments, in-between, or like to live on wild side?
- Investment experience - how familiar is client with securities products/investing?

Some jurisdictions may expect explicit guidelines for suitability reviews. For example, broker dealers must formulate a risk-based assessment for making recommendations in securities products based on (ref. FINRA Rule 2111):

- Reasonable Basis - are the risks/rewards appropriate given the client's objectives.
- Customer Specific - are the recommendations specific to the customer.
- Quantitative - does the costs/fees outweigh benefits for the clients.

See sample investment policy statement templates in Forms section.

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# Client Delivery Maps

See Overview of Client Documentation

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Client Delivery

Initial Delivery

Annual/Ongoing Delivery

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Annual/Ongoing Delivery:

Rule 204-2 and similar state guidelines

Firms should consider the following paperwork in their delivery review:

- Annual Offer Letter - cover letter to include a summary of documents for clients.
- ADV Brochure - Offer complete brochure or summary of material changes
- Privacy Policy Notice - Provide update for policy
- Business Continuity - Offer summary

See sample templates in Forms and Disclosure Documents sections

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# Custody Center Maps

See Overview of Custody Rule Requirement for Advisors

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## Custody

### Examples of custody

Maintaining ability to transfer client funds or securities in an account without approval of client (outside of discretionary authority).  
Serving as advisor/sub-advisor to Pooled Investment Vehicles.  
Maintaining check writing authority or serving as a trustee over a client trust.  
Moving assets to a third party without a written authorization.  
Access to client account passwords with ability to move funds or securities.  
Physical possession of client assets.

### Definitions

**Control** - the power to manage a person or corporation  
**Custody** - holding, directly or indirectly, client funds or securities, or having any authority to obtain possession of them.  
Custody including possession of client funds, authorization for withdrawing client funds and other access to client funds.  
**Independent certified public accountant** - a certified CPA who meets standards of independence.  
**Independent representative** - a person who is an agent for an advisory client.  
**Independent party** - a person who acts as a gatekeeper for pooled investments, does not control the investment advisor and has not business relationship with investment advisor  
**Independent representative** - person who acts as an agent for an advisory client, does not control the investment advisor and has not business relationship with investment advisor  
**Qualified custodian** - a bank, registered broker-dealer, registered merchant or financial institution who holds financial assets for clients.  
**Related person** - person controlling or under common control with the investment advisor.



# Cybersecurity & Continuity Maps

Review Data protection and Continuity planning

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Business Continuity

Procedures	Maintenance
Overview	Firm Information/Main contact
What is your Standard Business Disruption (SBD) plan?	Emergency Contacts
How often is this plan tested?	Firm Policy
Where will you store the BCP Plan?	Designated Persons
	Emergencies
	Business Description
	Custodian
	Office Locations
	Plan Location
	Custody of Funds/Securities
	Books and Records
	Risk Assessment
	Primary Systems
	Critical Vendors
	Communication Processes (Firm, Customers Vendors, staff)
	Critical Business Constituents
	Alternative Brokers
	Regulatory Reporting

Download Continuity Plan

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# Continuity & Succession Team Maps

Download and Ceate your Team/Succession List

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Business Continuity/Succession Team

Continuity Team

Succession Team

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Maps

Stakeholders/Designation Person/Authorization Levels for succession plan

- Principal/equity owners - full authorization
- Designated persons - Someone with authorization to continue business operations and/or estate matters
- Staff - someone who will continue business operations from admin. Admin gives them access to information needed to fulfill their business operations only.
- Contributors - works with admin/staff to continue business operations. They can be a succession partner or third-party worker.

Succession Vendors List

Admin - Principal of Firms

Name

Email

Phone

Address

Fax

Admin - Responsible for monitoring, updating, and testing the firm's BCP

Name

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# Client Objectives Maps

## Client Risk Tolerance & Portfolio Instructions

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Premium Plus

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Documents

Disclosures

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Checklists

Client Objectives / Risk Tolerance

Client Information Questionnaire

Investment Policy / Guidelines

Verification / Due Diligence

Third Party Disclosures

CRD / IARD

Advertising

Maps

Designations

Client Onboarding

Client Delivery

Custody Center

Cybersecurity / Business Continuity

FIN Compliance<sup>®</sup>

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Client Information/Questionnaire :

Overview	Overview
Individuals	<b>Age</b>
Entities	<b>Net Worth</b>
Name	Source of Income (salary, bonus, investments, etc.)
Home Address	Assets (cash, stocks, bonds, funds, property, business, etc.)
Principal Office Address	Debts (home, vehicle, credit cards, loans, etc.)
Phone/Email	Relationships (single, married, divorced, etc.)
Job Contact information (if necessary)	Financial Picture (upcoming events)
Legal documentation	Investment History (experience)
Beneficial Owners (information)	Time Horizon (when will they need the funds)
	Risk Tolerance (risk ranking, volatility, etc.)
	<b>Client Objectives (investment goals)</b>
<a href="#">Download IPS</a>	

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# News/Updates

## Review Regulatory News Links

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### Premium Plus

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### Documents

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☰ Review Center

⬆️ Checklists

### News & Updates

#### SEC News and Announcements

<a href="#">SEC - General News</a>	SEC General Information
<a href="#">SEC - Office of Compliance Inspection (OCIE)</a>	SEC Regulatory Division/Unit
<a href="#">SEC - Division of Investment Management (IM)</a>	SEC Regulatory Division/Unit

#### General News and Announcements

<a href="#">NASAA (State registrants) - General News</a>	News from North American Securities Administrators Association
<a href="#">FINRA (Broker-Dealers) - General News</a>	News from Financial Industry Regulatory Authority (SRO)
<a href="#">SIFMA (Securities Markets) - General News</a>	News from Securities Industry and Financial Markets Association

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# Resources/Training

Review Regulatory Filing and Risk Alert Resources

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↕ Checklists

Resources

Firm AssessmentsGeneral Information

<a href="#">Business Continuity Assessment</a>	Review your Continuity needs and score your firm.
<a href="#">Cybersecurity Assessment</a>	Review your Cybersecurity needs and score your firm.

General Information

<a href="#">SEC - ADV Part 1A Instructions</a>	Instructions for Form ADV filing/electronic version.
<a href="#">SEC - ADV Part 2A/B Instructions</a>	Instructions for Form ADV filing/paper version.
<a href="#">SEC - ADV Part 3/Form CRS Instructions</a>	Instructions for Form ADV filing/paper version.
<a href="#">SEC - Form ADV Glossary of Terms</a>	Glossary for Form ADV terms.
<a href="#">SIFMA – Securities Markets Regulations</a>	Guidelines on security market regulations from SIFMA association.
<a href="#">RIA - Maintaining Your Compliance</a>	Guidelines on starting your compliance program.

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# Go to Business Manager Portal

Access Business Dashboard by clicking FIN Lancer

Menu

Data

The screenshot shows the FIN Compliance Business Manager Portal. At the top, the 'FIN Compliance' logo is on the left, and navigation links for 'Compliance Manager', 'Dashboard', 'Settings', 'FIN Lancer' (circled in red), and 'Log Out' are on the right. A welcome message 'Hi premiumplus@riareview.com! Welcome back.' is displayed. The left sidebar contains a 'Premium Plus' section with links to 'Getting Started', 'Dashboard', and 'Calendar', followed by a 'File Portals' section with links to 'Cloud Storage', 'Files Received', 'Public Disclosures', and 'Staff Disclosures (Pending)'. The main content area is titled 'Our Help Center' and includes three cards: 'System Overview' with a 'Quick Tips' link, 'Getting Started' with a 'Training Resources' link, and 'FAQ' with a 'System Search' link. Below these is a 'Compliance Rules and Reviews' section with a 'Snapshot of the Quarter Q1 2021' card (with a 'Click Here' link) and a 'Review Center' card showing '36 policies' and a link to 'SEC Best Practices'. At the bottom is a 'Compliance Calendar' section for '2021' with a 'Click On Month To View' header and buttons for January, February, March (highlighted), April, May, and June.



# Business Manager Portal

Portal	
Menu	Data

**FIN**Compliance™

Business Manager

Dashboard

Settings

RIA Review

Log Out

premiumplus@riareview.com

Pro

Dashboard

Business Tasks

Client Center

Project Center


Document Center

Business Resources

Advisor Directory


**Business Tasks & Projects**

Client Center




Add/Share Client Files

Project Center




Add and Share Files

Document Center



Drag/Drop Files


Notifications (4)



System Updates


**Business Resources**

Advisor Directory




Continuity Partners

E-Contracts



Agreements

Offers



Vendor Specials



# Client Center

Click to Create/Upload/Share Client Documents

Menu

Folders

FIN Compliance®

FIN Lancer: Pro Version

Dashboard


Settings






















RIA Review

Log Out

Pro

Advisor Directory | Invoicing / Billing | E-Contracts | Vendor Offers | Chat / Messaging

Client Center 

Client	Folders	Tools
Client A	<a href="#">View Folders</a>	  
Client B	<a href="#">View Folders</a>	  
Client C	<a href="#">View Folders</a>	  
Client D	<a href="#">View Folders</a>	  
Client E	<a href="#">View Folders</a>	  
Client F	<a href="#">View Folders</a>	  
Client G	<a href="#">View Folders</a>	  

Getting Started

Calendar

Client Center

Project Center

Document Center

Files Received

Tools

FIN Compliance®

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Settings





RIA Review

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Folders for Client A 

Folder	Documents	Tools
ADV Documents	<a href="#">View Documents</a>	 
Investment Objectives	<a href="#">View Documents</a>	 

Getting Started

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Client Center

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Document Center

Files Received

Tools



# Client & Project Center: Sharing Files

## Sharing Documents to Third Parties

Sharing




Sending Link

Document Center for folder Investment Objectives (Client A)

Drag and drop files on this area (up to 5 at time) Max: 10 MB per file.

To overwrite a file, upload a file with the same name.

No two files can have the same name in the entire Document Center.

Document	Type	Group	Tools
clientcenter.png	Client Folder	Investment Objectives	  

### Share File

#### Fileshare URL

<https://storage.googleapis.com/premiumplusiareviewcom/documentCenter%2Fclientcente>

Copy URL

OR

#### Email Address

E-Mail URL

#### Email Text



# Project Center

Click to Create/Upload/Share Project Documents

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Tools

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View Documents

Advisory Agreement

View Documents

Agency Cross Transactions

View Documents

Annual Compliance Reviews

View Documents

Best Execution

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Document Center for project Advertising

Drag and drop files on this area (up to 5 at time) Max: 10 MB per file.

To overwrite a file, upload a file with the same name.

No two files can have the same name in the entire Document Center.

Document

Type

Group

Tools

Getting Started

Calendar

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Project Center

Document Center

Files Received

Tools



# Document Center

Storing Client/Project Documentation

Menus

Documents

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Advisor Directory | Invoicing / Billing | E-Contracts | Vendor Offers | Chat / Messaging

Document Center

Drag and drop files on this area (up to 5 at time) Max: 10 MB per file.

To overwrite a file, upload a file with the same name.

No two files can have the same name in the entire Document Center.

Document	Type	Group	Tools
082819 - ADV Form CRS (SEC) - update.docx	Client Folder	ADV Documents	<div><div></div><div></div><div></div></div>
5 - RIA Review - Product Overview.docx	Client Folder	ADV Documents	<div><div></div><div></div><div></div></div>
























































# Sample Compliance Procedures Folder

Create a Full Procedures folder in Client or Project Center

Photo #1

Photo #2

Advertising	<a href="#">View Documents</a>	   
Advisory Agreement	<a href="#">View Documents</a>	   
Agency Cross Transactions	<a href="#">View Documents</a>	   
Annual Compliance Reviews	<a href="#">View Documents</a>	   
Best Execution	<a href="#">View Documents</a>	   
Books and Records	<a href="#">View Documents</a>	   
Business Continuity Plan	<a href="#">View Documents</a>	   
Client Correspondence/Complaints	<a href="#">View Documents</a>	   










































Client File Contents	<a href="#">View Documents</a>	   
Code of Ethics	<a href="#">View Documents</a>	   
Compliance Directory	<a href="#">View Documents</a>	   
Corporate Records	<a href="#">View Documents</a>	   
Custody	<a href="#">View Documents</a>	   
Cybersecurity/Data Breaches (new info)	<a href="#">View Documents</a>	   
Directed Brokerage	<a href="#">View Documents</a>	   
Disaster Recovery/Business Continuity	<a href="#">View Documents</a>	   
Disclosure Documents	<a href="#">View Documents</a>	   
Email & Other Electronic Communications (new info)	<a href="#">View Documents</a>	   
ERISA	<a href="#">View Documents</a>	   



















































# Sample Project Procedures Folder

Create a Full Procedures folder in Client or Project Center

## Photo #3

FINRA - Branch Office Review	<a href="#">View Documents</a>	   
Insider Trading	<a href="#">View Documents</a>	   
Invoicing/Billing/Fees	<a href="#">View Documents</a>	   
Mock Audit Documents	<a href="#">View Documents</a>	   
Performance	<a href="#">View Documents</a>	   
Political Contributions	<a href="#">View Documents</a>	   
Principal Transactions	<a href="#">View Documents</a>	   
Privacy Policy	<a href="#">View Documents</a>	   
Proxy Voting	<a href="#">View Documents</a>	   
Quarterly Reviews	<a href="#">View Documents</a>	   
Quarterly Reviews - Checklist	<a href="#">View Documents</a>	   

## Photo #4

Registration and Licensing	<a href="#">View Documents</a>	   
Regulation S-ID (Identity Theft)	<a href="#">View Documents</a>	   
Regulatory Requirements	<a href="#">View Documents</a>	   
Robo-Advisory ("Internet Advisors") (new)	<a href="#">View Documents</a>	   
Safe Senior Act	<a href="#">View Documents</a>	   
SEC - Compliance Manual - 2019	<a href="#">View Documents</a>	   
SEC - Examination Notes	<a href="#">View Documents</a>	   
Soft Dollar Policy	<a href="#">View Documents</a>	   
Solicitor Arrangements	<a href="#">View Documents</a>	   
Supervision/Internal Controls	<a href="#">View Documents</a>	   
Trading	<a href="#">View Documents</a>	   
Valuation of Securities	<a href="#">View Documents</a>	   



# Notifications Log

Documentation of Activities

## Log

FIN Compliance™

FIN Lancer: Pro Version


Dashboard

Settings

RIA Review

Log Out

Pro

 Getting Started

 Calendar

 Client Center

 Project Center

 Document Center

 Files Received

Tools

[Advisor Directory](#) | [Invoicing / Billing](#) | [E-Contracts](#) | [Vendor Offers](#) | [Chat / Messaging](#)

### Notifications

Type	Item	Go To Location	Tools
New Advisor Directory Listing	ZRC Wealth Management, LLC	<a href="#">Advisor Directory</a>	
New Offer	Financial Firm	<a href="#">Offers</a>	
New Offer	Your Business Here	<a href="#">Offers</a>	
New Shared Folder Document (by shared user)	screenshot-chat.png	<a href="#">Folder Documents</a>	



# Advisor Directory

List your firm for opportunities

Menus

Add Profile

FINCompliance<sup>®</sup>

FIN Lancer: Pro Version

Dashboard

Settings

RIA Review

Log Out

Getting Started

Calendar

Client Center

Project Center

Document Center

Files Received

Tools

Integrations

Advisor Directory

ZRC Wealth Management, LLC

Walnut Creek, Santa Rosa, and Napa, California

About

For more than 20 years, ZRC Wealth Management has provided investment management and financial planning services to discerning individuals, families, and companies across the United States. As an independent and privately held firm – we specialize in helping individuals and families grow, manage, and protect their wealth. As a Fiduciary – we place the interests of clients above all else. ZRC is comprised of a team of experts, registered with the SEC as a fee-only investment advisor. Clients have entrusted with more than \$200 million in assets to manage and advise on.

Services Provided

Investment ManagementFinancial PlanningWorld-class, high touch service

Atlas Park Finance

San Francisco Bay Area

About

Park Atlas Ventures, LLC provides personalized confidential financial planning and third-party referral services to individuals, high-net worth individuals, and small business owners.

Services Provided

Financial PlanningThird Party Referrals

Services Requested

MarketingOperations

Send Email

View Website

415-895-2502

Add/Edit Business Entry

Business

Name

Location

Services

Provided

Requested

Contact

Email

Phone

Website



# E-Contracts (Approve Me Integration)

Documentation	
Menus	Documents

WPsignature

Powered by  
approve me

What kind of document are you creating?

+ Basic

Basic Benefits

+ 1 or more signers

+ Customizable for each recipient

+ Send signer invites email with WordPress

+ Perfect for sales contracts, estimates, etc.

+ Stand Alone

Stand Alone Benefits

+ 1 signer

+ Same document for everyone

+ Stored on a Wordpress page

+ Great for automating contracts

1. Enter Your Documents Name

Enter the document's name here

2. What Needs To Be Signed? (copy and paste the content below)

Add Media

VisualText

ParagraphBBIListListQuoteListListListLinkListTableInsertText

WPsignature

Document Access Control

Required a Specific Wordpress member (or) user role to sign this document.

ActiveCampaign

ActiveCampaign

You need to add your ActiveCampaign API credentials to use this feature. You can do this under the Misc settings tab.

Send newsletters and automate your email marketing with ActiveCampaign.

Get a free account

Document URL Redirect



# Offers Section

View Offers from Third Party Vendors

Menus

Data

FIN Compliance™

Business Manager DashboardSettingsRIA ReviewLog Out

Pro

Getting Started

Calendar

Business Tasks

Client Center

Project Center

Document Center

Business Resources

Advisor Directory

Invoicing / Billing

E-Contracts

Vendor Offers

NAFPA

Chicago, IL

Join NAPFA's fee only network

The National Association of Personal Financial Advisors (NAPFA) believes those providing financial planning services must be comprehensive in their advice, and display a high level of competence. "Fee only" Advisors can join here - https://www.napfa.org/membership

Offer Categories

MembershipStudy GroupsAdvisor Resource Listing

Send EmailView Website888-333-6659

Atlas Park Consulting

San Francisco Bay Area

\$500 off (new clients with minimum service)

For advisors seeking to improve their firm operations with a business analysis and for those seeking to take their firm to the next level with a Business Improvement Plan. Firms of any size can benefit from having a roadmap to achieve goals. More details: https://youtu.be/5MO0XFvb6LU

Offer Categories

Advisor Business CoachingOperations, Processes & System

Send EmailView Website415-895-2502

38



# Help Center

View System Training Materials

Menus

Guides/Videos

## Getting Started

Email a Question



(email us)

FAQ



System Search

View Demo



System Overview

## Features Guides



System Overview

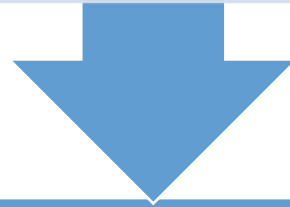




# Contact Us

Email Cory Roberson, Founder

**cory@fincompliance.io**



Contact Office

**650-305-2688**