



FIN Compliance™

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



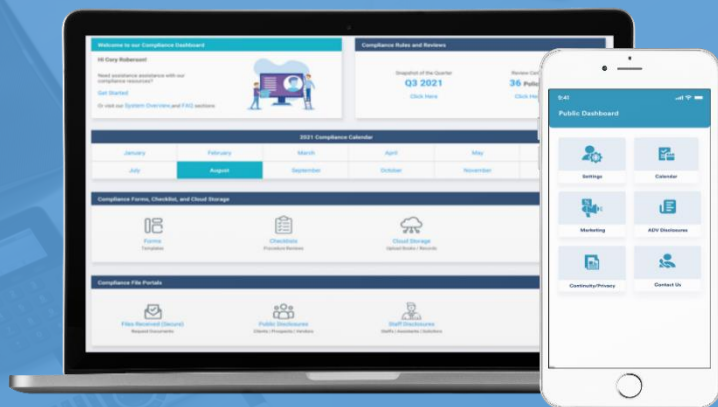
Services for:

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



Cory Roberson, Principal

PRODUCTS & SERVICES



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

RIA Registration Services:

New firms | Existing firms
SEC, State, FINRA

Compliance Consulting:

Assistance with ongoing reviews, policy,
procedures, and filings.

Compliance Technology:

Desktop | Mobile App*

Calendar, Tasks, Documents, Forms,
Checklists, Firm Directory,
Cloud.

Third Party Integrations*:

Zapier automations with popular third-
party technology tools

Cybersecurity Consulting (third party):

Data Monitoring, Policies, and Training



*Coming
Soon

COMPLIANCE CONSULTING



RIA Consults™

Reviews | Registration Services | Mock Audits |
Filings | Compliance workflows | Regulatory
consulting | Compliance systems | and more



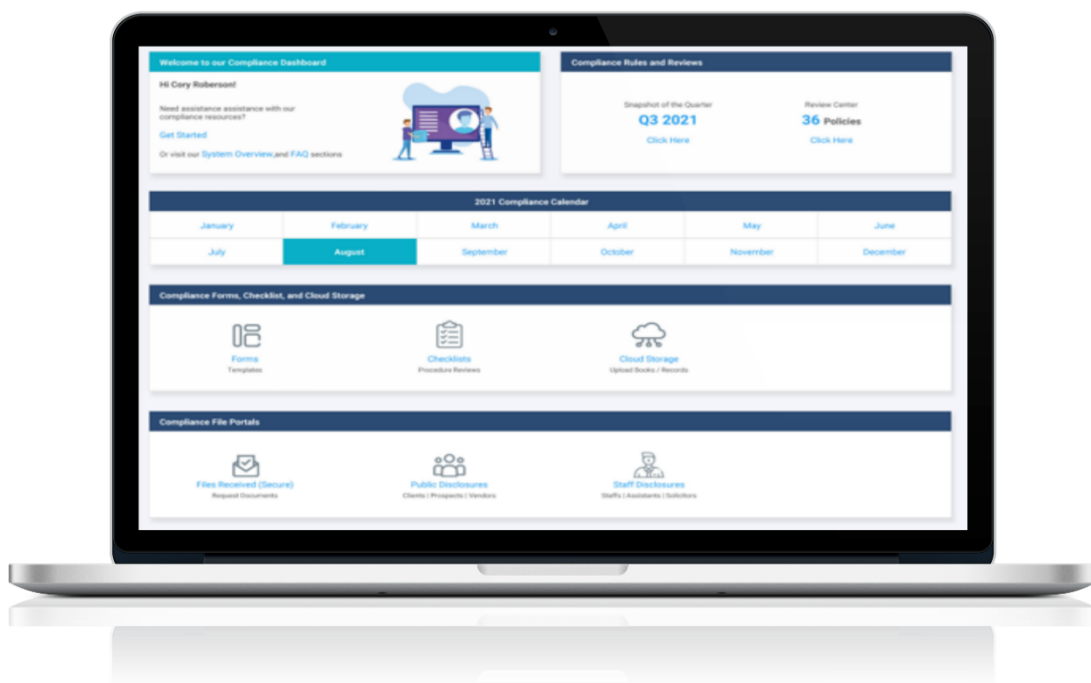
Sign Up for free account to access Calendar updates

COMPLIANCE MANAGER

Compliance documentation,
Task, Disclosure, and review
system

RIA Review™

DESKTOP DASHBOARD FOR
24/7 ACCESS TO RESOURCES

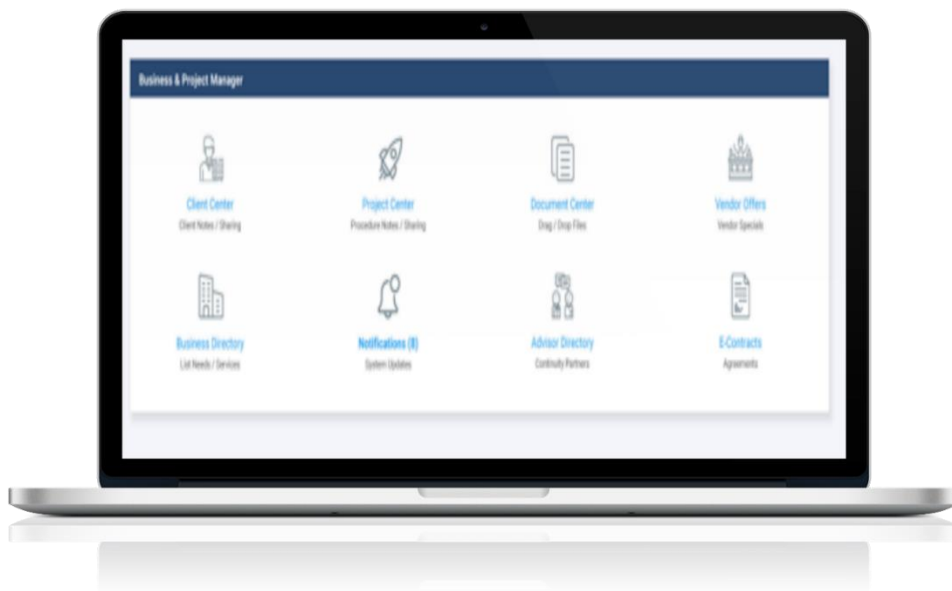


BUSINESS MANAGER

Compliance documentation,
Task, Disclosure, and review
system

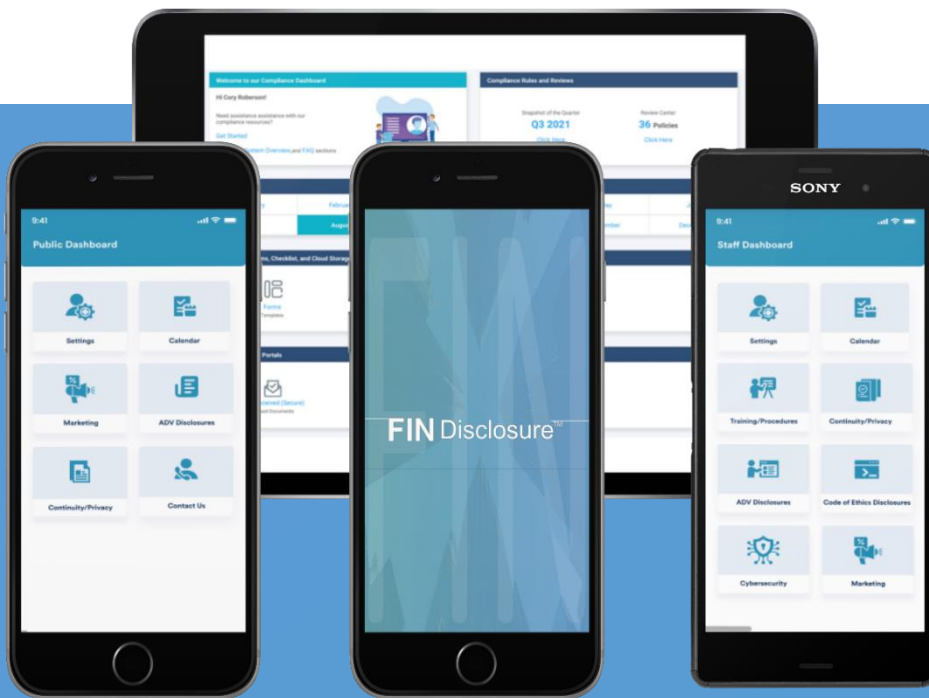
FINLancer™

BUSINESS COLLABORATION
TOOLS AVAILABLE



MOBILE DISCLOSURE APP INTEGRATION

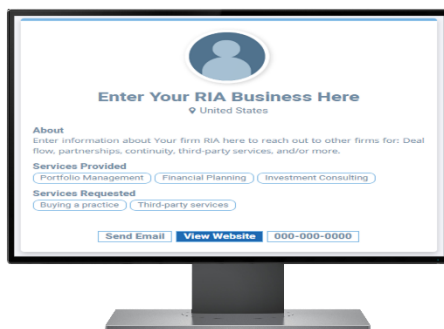
Upload via Disclosure Center and
deliver disclosures for
clients, prospects, solicitors, and
more via app



FIN Disclosure™

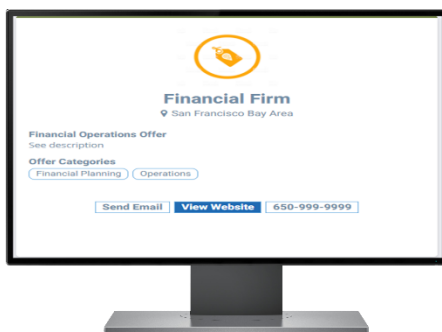
For Disclosure reporting documentation
ADV, Continuity, Employee Training,
Procedures, Code of Ethics forms, and
Marketing Materials

FIRM ADVERTISING



Succession Planning/Partnerships
Vendor/Affiliate Referrals
Introduction with capital providers/partners
Compliance/Transition Referrals

VENDOR ADVERTISING



THIRD PARTY INTEGRATIONS ADD-ON SERVICE

FIN Cybersecurity

Cybersecurity Training
Data Security
Dark Web Monitoring
Risk Assessments
Tech Portal

Starting at \$250 & up

Discounts may be available with
selected compliance packages

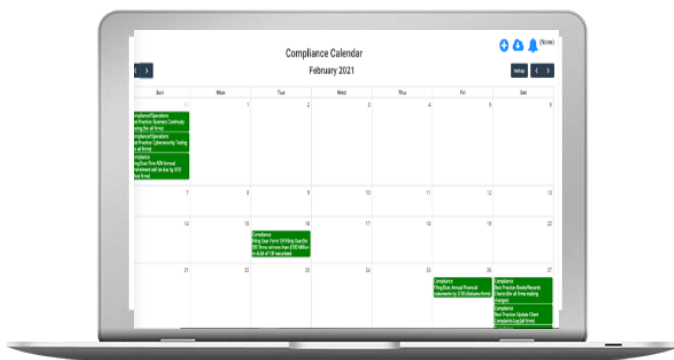


GLACIER CYBERSECURITY

COMPLIANCE CALENDAR INTEGRATIONS (COMING SOON)

TRANSFER SEC/STATE
COMPLIANCE EVENTS/TASKS
TO/FROM TECH STACK

FIN Compliance™



+


zapier

 **REDTAIL**



Transfer
Documents to

Transfer
Documents From

MORNINGSTAR



Wealthbox

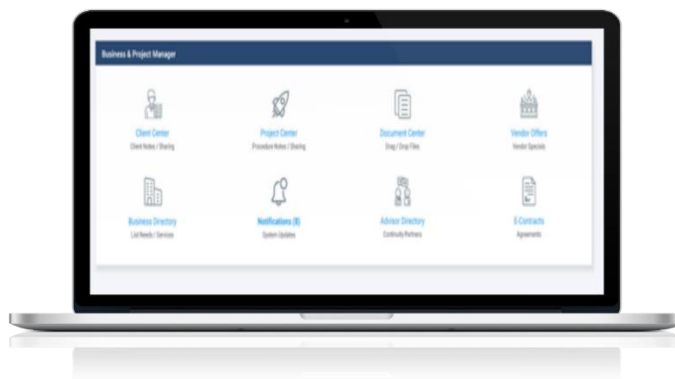
DocuSign

And More than 3000 Zapier connection available

CLOUD DOCUMENTS & FILES
INTEGRATIONS
(COMING SOON)

TRANSFER COMPLIANCE
OR BUSINESS DOCUMENTS
TO/FROM TECH STACK

FIN Compliance™



+





Transfer
Documents to

Transfer
Documents From



And More than 3000 Zapier connection available