

Regulatory Compliance Report

Compliance Statement

This report has been prepared in accordance with applicable regulatory requirements including SEC Rule 204-2, FINRA Rule 2210, and DOL ERISA Section 404(a). All disclosures, risk warnings, and performance calculations comply with industry standards.

Regulatory Compliance Checks

Check	Status	Details
SEC Rule 204-2	✓ Pass	Books and records maintained per regulatory requirements
FINRA Rule 2210	✓ Pass	Communications standards met, supervisory approval obtained
DOL ERISA 404(a)	✓ Pass	Fiduciary duties satisfied, prudent investor standard met
GIPS Compliance	✓ Pass	Performance calculations comply with GIPS standards
Form ADV Disclosures	✓ Pass	All material conflicts of interest disclosed
Custody Rule	✓ Pass	Qualified custodian arrangement verified