

ENJOY THE PEACE OF MIND THAT COMES WITH COMPREHENSIVE, PROACTIVE COMPLIANCE SOLUTIONS. DESIGNED BY COMPLIANCE PROFESSIONALS AND TAILORED TO FULFILL A BROKER-DEALER'S ONGOING COMPLIANCE OBLIGATIONS, EACH LEVEL PROVIDES DEDICATED CONSULTANTS TO DELIVER EXTENSIVE SUPPORT SERVICES TO YOUR FIRM.

Hands-on, Tailored Approach + Experienced Consultants



All Partner engagements are supported by a dedicated 3-person team combined with state-of-the-art technology



- Consultant
- Compliance Associate
- Registration Associate

FORESIDE'S PARTNER PROGRAMS: Choose which program suits your firm

Partner PRO

Core compliance consulting program with expert support

Partner PLUS

Proactive, customized compliance program

Partner ELITE

Comprehensive solution with outsourced compliance functions

Award Winning Compliance Firm voted by:

- 2019 Fund Intelligence Operations + Services Awards
- 2019 Best ETF Distributor, etfexpress
- 2020 Private Asset Management Awards
- 2020 Top 10 Hedge Fund Solutions Provider



Partnership for Growth.

Financial firms must innovate or risk becoming obsolete.

At Foreside, we pair comprehensive and customized advice with best-in-class technology to help firms in the investment management space continue to innovate, improve and grow.

We tap state-of-the-art technology to help firms drive operational efficiency and flourish in today's regulatory environment. Foreside's suite of services and platform-based model automate and simplify compliance and distribution for firms, and are designed to scale as clients grow. With Foreside as a partner, firms can dedicate time and effort to portfolio management, client service, sales, and other value-adding work.

Interested in learning more?



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General Services

	ELITE	PLUS	PRO
Compliance announcements, reminders, email alerts + newsletters	•	•	•
Educational trainings — online webinars	•	•	•

Consulting

	UNLIMITED		
Consulting on compliance services contracted	UNLIMITED	•	•
Comprehensive review of FINRA Membership Agreement	•	•	•
Review of disciplinary actions + customer complaints	•	•	
Advertising + sales literature review	•	OPTIONAL	
Regulatory correspondence	•	OPTIONAL	
Personal account monitoring	•	OPTIONAL	OPTIONAL
FINRA Chaperone	•		
Electronic communications reviews	•		

Custom Manuals + Templates

Written Supervisory Procedures manual + updates (WSP) <i>template forms + letter package</i>	•	•	•
Anti-Money Laundering compliance program + updates (AML)	•	•	•
Information protection + identity theft prevention program + updates	•	•	•
Business continuity plan + updates (BCP)	•	•	•
Continuing education training plan (<i>annual</i>)	•	•	•
Annual Compliance Meeting — PowerPoint template	•	•	•

Examinations, Testing, Meetings + Onsite

3120 Testing monthly module/tools	•	•	•
3120 Testing + 3130 Certification with report (<i>onsite</i>)	•	OPTIONAL	
Anti-Money Laundering Independent Testing	•	OPTIONAL	
Conduct Annual Compliance Meeting (<i>onsite</i>)	•	OPTIONAL	
Branch Exams (<i>onsite</i>)	•	OPTIONAL	
Mock exam testing	•		
Compliance visits (<i>onsite</i>)	•		

Rep Services

Annual Compliance Questionnaires (ACQ)	•	•	•
Needs Analysis Questionnaire (NAQ), with CCO questionnaire	•	•	•
Firm element recommendation, training + tracking	•	•	•
Regulatory element notification + tracking	•	•	•

Electronic Filings + Registration Services

SAA (Super Account Administrator) Coordination	•	•	•
Renewal of firm + registered registrations (<i>manage tracking annually</i>)	•	•	•
Web CRD/IARD filings, notifications + reports	•	•	•
Web CRD pre-hire searches + reports	•	•	•