

DESIGNED BY EXPERIENCED COMPLIANCE EXPERTS AND TAILORED TO FULFILL THE ONGOING COMPLIANCE OBLIGATIONS OF INVESTMENT ADVISOR FIRMS, EACH PROGRAM IS SUPPORTED BY A TEAM OF THREE COMPLIANCE PROFESSIONALS, COMBINED WITH PROPRIETARY TECHNOLOGY TO DELIVER CUSTOMIZED, PROACTIVE COMPLIANCE SERVICES TO YOUR FIRM.

**ForesideConnect® Technology + Consulting Team**



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 ESSENTIALS**

Primary program with a dedicated consultant

**Partner PRO**

Customized program with expert support

**Partner PLUS**

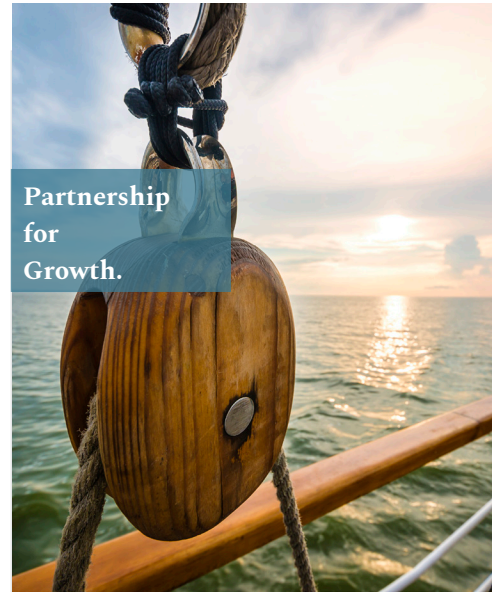
Proactive compliance partnership with unlimited consulting

**Partner ELITE**

Comprehensive solution with outsourced compliance functions, including CCO

**Award Winning Compliance Firm voted by:**

- 2019 Fund Intelligence Operations + Services Awards
- 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?**



[www.foreside.com](http://www.foreside.com)



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## General Services

	ELITE	PLUS	PRO	ESSENTIALS
Compliance announcements, email alerts, educational trainings + newsletters	•	•	•	•
Access to ForesideConnect® (state-of-the-art compliance technology)	•	•	•	•

## Consulting

Review of Form ADV, Firm Brochure + Form CRS*	•	•	•	•
Compliance calendar (customized for Pro, Plus, Elite)	•	•	•	•
Review of investment advisory contract(s)*	•	•	•	
Brochure supplements (Form ADV Part 2B)	•	•	•	
Risk assessment* with annual updates	•	•	•	
Consulting on compliance services contracted	•	•	5 HOURS	
Monthly service calls with compliance consultant	•	•		
Regulatory exam support	•	•		
Advertising + sales literature review	•	•		
Online training courses	•	•	OPTIONAL	OPTIONAL
Best execution solution	•	OPTIONAL	OPTIONAL	
Personal account monitoring / Code of ethics solution	OPTIONAL	OPTIONAL	OPTIONAL	
Electronic communications reviews	OPTIONAL			

## Custom Manuals + Templates

Compliance testing tools	•	•	•	•
Custom compliance policies + procedures	•	•	•	

## Examinations, Testing, Meetings + Onsite

CCO/Staff training	•			
Initial onsite visit (within first 3 months)	•	•		
Compliance visits (onsite)	•	OPTIONAL		
Annual compliance review — SEC Rule 206(4)-7 testing	•	OPTIONAL	OPTIONAL	OPTIONAL
Mock examination (SEC or State)	OPTIONAL	OPTIONAL	OPTIONAL	OPTIONAL

## Electronic Filings + Registration

SAA (Super Account Administrator) coordination	•	•	•	•
Annual renewal notifications for firm + investment advisor representatives	•	•	•	•
Web CRD/IARD				
Form U4 filings + updates	•	•	•	•
Form U5 filings + updates	•	•	•	•
Annual updating amendment to Form ADV	•	•	•	•
Other-than-annual amendments to Form ADV	•	•		
Form ADV-W, partial filings	•	•		
Exam waiver requests	•	•		
Form ADV-E	•	•		
Form PF, Form 13F, and Form 13H	OPTIONAL	OPTIONAL	OPTIONAL	OPTIONAL

\*Services provided via one-time implementation fee