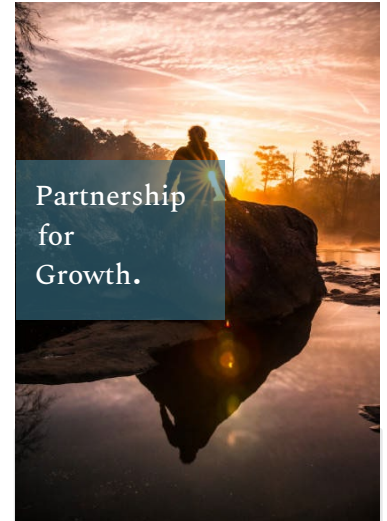
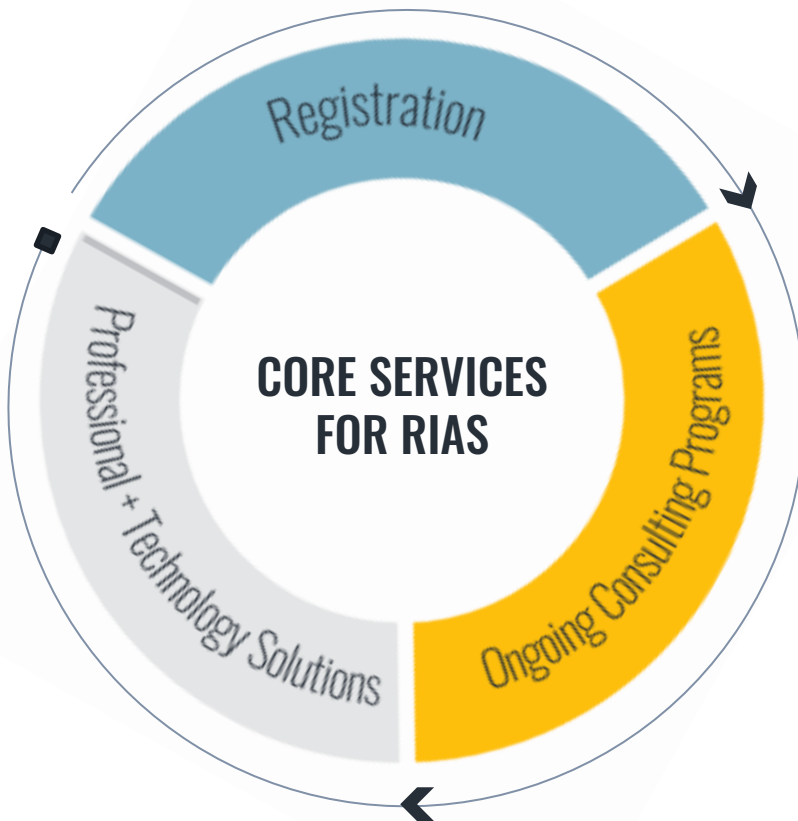


**FORESIDE OFFERS GOVERNANCE, RISK AND COMPLIANCE CONSULTING FOR ESTABLISHED RIAs AS WELL AS THOSE CONTEMPLATING CREATION. WE WILL IMMERSE OURSELVES INTO YOUR BUSINESS, EXAMINING YOUR HISTORY AND CULTURE TO YOUR MOST PRESSING CHALLENGES AND PRIORITIES. FROM THERE WE WILL CREATE A STRATEGIC AND THOUGHTFUL COMPLIANCE PROGRAM TO GET YOU FROM WHERE YOU ARE TODAY TO WHERE YOU WANT TO BE TOMORROW.**

### Foreside's RIA Platform:



**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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## Registration

- Separation from existing affiliation & assistance with Broker Protocol
- Selection of legal entity structure
- Formation of legal entity
- Partnership / Articles of Incorporation
- Shareholder / Operating / Partnership agreements
- Employment agreements
- Registration with SEC or State, including preparation of Form ADV & Form CRS (if applicable)
- IAR registrations, including exam waiver requests
- Investment management agreements
- Tailored compliance policies + procedures manual

## Ongoing Consulting

**PartnerESSENTIALS**

Introductory program with dedicated consultant

**PartnerPRO**

Customized program with expert support


**PartnerPLUS**

Proactive compliance partnership with unlimited consulting

**PartnerELITE**

Comprehensive solution with outsourced compliance functions, including CCO

## Professional + Technology Solutions

<b>Best Execution</b>	 <b>FORESIDE</b>
<b>Code of Ethics</b>	 <b>FORESIDE</b>
<b>Online Training + Education</b>	 <b>FORESIDE</b>
<b>Electronic Communication Reviews</b>	 
<b>Cybersecurity</b>	 <b>BlueVoyant</b>
<b>Asset Management + Trading Platform</b>	 <b>GEOWEALTH</b>
<b>Counsel</b>	<b>BARITZ &amp; COLMAN LLP</b>
<b>Marketing Program</b>	 <b>RevBuilder 360</b>
<b>Business Insurance</b>	Various
<b>Custodian</b>	Various