COMPLIANCEWORKS INC.

ComplianceWorks, Inc.
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Full-service compliance support for Financial Advisory Firms.

ComplianceWorks Inc.

INVESTMENT ADVISER MONTHLY COMPLIANCE PROGRAM ADMINISTRATION

Task	Period
ComplianceWorks Administrative Tool (CAT) CAT is included with all Monthly Agreements and provides: • **Compliance Calendar –** a cloud based, interactive calendar that provides the allocation of all tasks (*CWI tasks and client tasks)* that allows the Client to plan resource allocation and monitors the effectiveness of the compliance program. • **Electronic Form Delivery/Return –** compliance forms delivered electronically to Client staff members, allows staff members to complete and as necessary sign form and then it auto returns. No more printing and scanning and greatly eases the monitoring of who has yet to complete. • **Secure File Delivery –** Provides a secure data room for each Client to enable the exchange of documents between ComplianceWorks and the Client	
ADV Offer/Provision	Annually
ADV Part 1	Annually / As needed
ADV Part 2A & 2B	Annually / As needed
Advertising, Public Communications & Website Review	As needed
Attestations For Covered Persons	Annually or Quarterly
Best Execution: Expense	Annually
Best Execution: Price	Annually or Quarterly
Business Continuity Plan: Review & Testing	Annually
Client: Account Documentation	Annually or Quarterly
Client: Reconciliation of Statements to Firm	Quarterly
Client: Reconcile IPS vs. Current Portfolio Construction	Quarterly
Code of Ethics: Review/Doc/3050 Ltr broker accts	As needed
Code of Ethics: Brokerage Statement Review	Monthly or Quarterly
Code of Ethics: Complaint Review & Documentation	As needed