



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

ComplianceWorks Inc.
Broker Dealer
MONTHLY COMPLIANCE PROGRAM ADMINISTRATION

Task	Period
Client Compliance Calendar and Provide Guidance on Compliance Program	Included in Monthly Agreements
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
Check Log Review	Quarterly
Client: Account Documentation	Annually or Quarterly
Client: List	Quarterly / As needed
Code of Ethics: Review/Doc/3050 Ltr broker accts	As needed
Code of Ethics: Brokerage Statement Review	Monthly or Quarterly
Code of Ethics: Complaint Reporting & Processing	As needed
Code of Ethics: Gift/Non-Cash Review	As needed
Code of Ethics: Pay-to-Play Procedures	As needed
Code of Ethics: Procedure Review	Annually
Code of Ethics: Restricted/Watch Lists	Monthly
Code of Ethics: COE Violation Log	As needed
Correspondence Review: Electronic Correspondence/Email/Social Media	Monthly
Correspondence Review: Hard copy	As needed
Due Diligence Procedures & Documentation	As needed
ERISA: Account Review & Documentation	Annually or Quarterly