

COMPLIANCE.NETWORK

THE COMPLIANCE COMMUNITY





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Based in South Florida since 2014, **Compliance.Network** brings a unique and diverse expertise to the financial and regulatory industries. Representing local and international clients throughout Latin America, **Compliance.Network** is the gateway to the Americas for foreign, financial institutions that have a presence in the U.S. or strive to establish one. When your firm partners with our team of experts, you will be free to dedicate more time and effort to growing your business. You will feel peace-of-mind, knowing that your regulatory matters are in the accomplished hands of our incomparable professionals.

Our Objective

Compliance.Network strives to achieve compliance, operational efficiency, and rule adherence for your institution while empowering you with best-in-class, results-based consulting. Once we understand your goals, we collaborate with you to ensure that your firm achieves them. We combine expert, customized advice with the market's latest trends and tools to deliver proven results and success for your firm. Furthermore, the insights we provide are a direct result of our deep and unparalleled experience executing regulatory audits and inquiries.

Our network allows us to partner with software and service providers to ensure that your compliance program adheres to the constantly-changing regulatory environment.

We will not only help your firm navigate with operational efficiency, but also foresee the future with procedures designed to scale with your firm's growth.



Our Approach

With our friendly and collaborative approach, Compliance.Network will provide Pre-Audit Assessments and Mock Examinations in advance of State or Regulatory Examinations.

This process will provide your firm with the opportunity to begin the remediation process, limiting your exposure to burdensome fines and the stress that comes along with regulatory scrutiny.

Our Services

Our practical and solutions based experience is augmented by academic preparation in SEA Adherence and Compliance Operations Management. Following are the type of clients we provide solutions to and the specific services we can provide with proven results:

INVESTMENT ADVISOR

- WebCRD Administration
- IARD administration
- Procedure compliance testing
- ADV Part 1 and Part 2 Administration
- Pre-Audit Assessments
- Customized Compliance Support
- Code of Ethics and Procedures
- Cyber Security Assessments SEC Rule 206(4)-7 Audit

BROKER-DEALER

- Examination Support
- Supervisory Procedure
- Firm Element Continuing Education
- Business continuity & disaster recovery plans
- CEO Certification and Testing
- Cyber Security Assessments
- Pre-Audit Assessments AML
- AML Independent Testing
- Supervisory Procedure Customization

FINOP SERVICES

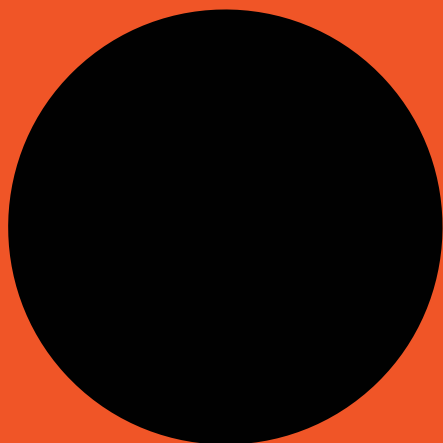
- Accounting Services
- Focus Filing
- Financial Audits
- Accounting Software Implementation Services

FUTURES/ FOREX / CTA/ CPO

- Policies and Procedures
- Pre-Audit Assessments
- BASIC Administration
- Compliance Support Services
- CPO and CTA exemption monitoring
- Cyber Security Assessments
- Registration Testing Materials
- Ethics Training

BANKING PRIVATE WEALTH MANAGEMENT

- Policies and Procedures
- Best Practices Assessment
- Vulnerability Assessment
- Risk and AML Gap Analyses & Remediation
- Enhanced Due Diligence Customer Identification Program - PEPs and High-Risk Situations *Country Escalation Assessments
- Product Offering & Suitability Review
- Transactions Monitoring Design, Reporting, Escalation, & Testing
- Transactions Monitoring design, reporting, escalation, & testing
- Cyber Security Assessments
- Pre-Audit Assessments



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Contact Us Today
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