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| **September 2022** | **Date Completed** | **Notes** |
| **Frequency: Weekly** | | |
| **Review Trade Blotter -** Download Blotter from Custodian and review for any irregular trading patterns, trade errors, trade discrepancies or large amounts of trading in one account. This can be done weekly or monthly. |  | Use Trade Blotter Review Form. |
| **Correspondence and Email Review** **-** Review staff correspondence, including email. This can be done weekly or monthly. |  |  |
| **Frequency: Monthly** | | |
| **Review of Company Financials -** The CCO should review the company's accounting records to confirm the company is in compliance with its home state's net capital requirements. If the firm is SEC registered, please make sure the company is solvent at all times. |  |  |
| **Frequency: Quarterly** | | |
| **Mutual Fund Share Class Review-** Are your firms mutual fund holdings in the lowest available share class? If not, be sure there is documentation on the rationale for holding the higher share class. |  |  |
| **Quarterly Review of States-** Are you properly notice filed? You will need to be notice filed in any state where you have more than 5 households. The exceptions to this rule are the following states: Texas, Louisiana, New Hampshire, and Nebraska. Each of these states require notice filing when 1 household is present. Send a list of states that require notice filing to CRP so they can update your ADV accordingly. |  |  |
| **Review Cash Balance Report-** Review cash balance report to determine if there is enough cash for fees or if there is too much cash and funds need to be invested. Be mindful of scheduled distributions. Perform random performance review and take note and action on any abnormal or unusual balances. |  |  |
| **Frequency: Annually** | | |
| **Create CRP Client Portal Account-** Did you know you can access all of CRP documents and publications through our new client portal? Be sure to sign up so you can access our information anytime you want!  Please go to https://www.thecomplianceresource.com/ and select "Client Portal" and follow the prompts for "Sign Up". |  |  |
| **Review of Solicitors-** Review of solicitor relationships, agreements and ensure client disclosure statements are being reviewed and retained. Update Agreements to new Promotor Agreement in preparation for new Marketing Rule updates |  |  |
| **Review Part 2A and Client Agreements-** Review of Part 2A and client agreements for accuracy and consistency between documents. |  |  |
| **Supervised Person Review (semi-annually)-** CCO should maintain an up-to-date list of access persons pursuant to the firm's Code of Ethics. This list/roster of access persons should be reviewed semi-annually. |  |  |
| **Verify E & O Coverage-** Confirm E & O coverage is appropriate for the services provided and the current registered personnel. |  |  |