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| **July 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** | | |
| **Review Billing Statements/Fee Calculations Report**: Review billing statements/fee calculations report from custodian or billing program; take any necessary corrective action and document review; maintain in books and records. This can be done monthly or quarterly. |  |  |
| **Quarterly Attestation Review including Quarterly Personal Securities Transaction Reports, Political Contributions:** Refer to the CRP Compliance Questionnaire document. It is to be completed by all Associated Persons each quarter. This is a required document and must be kept on file. |  |  |
| **Quarterly Compliance Meeting with Management**: Review any compliance matters that have arisen since the last regular meeting. |  |  |
| **Review Best Execution Report**: Obtain Post Trade / Best Execution Report from Custodian. Review and document review in file. |  | Use Best Execution Review Form. |
| **Review Terminated Accounts:** Obtain a report that allows you to verify that amounts refunded to terminated client accounts are accurate and in accordance with your firm's procedures. |  |  |
| **Frequency: Annually** | | |
| **Confirm Custodial Statements:** Contact custodian to confirm delivery of client account statements (required to form reasonable belief, upon due inquiry, that statements are being sent). |  |  |
| **Due Diligence of Service Providers:** Annual review and due diligence of service providers; specifically, their services to the firm and fees paid. |  | Use Vendor Due Diligence Form. |
| **Third Party Billing Software Review:** Review random sampling of the calculation of fees by a third party and document if your firm uses third party billing software. |  |  |
| **Social Media Review and Forensic Testing**: Review Social Media accounts for IARs and confirm LinkedIn Endorsements have been shut off for any new hires over the last year. Print off profile, review and file. Forensic testing should include "Googling" your firm name, DBA names and employee names to determine if additional social media sites exist and identify any that were not approved by Compliance. |  |  |
| **Continue Working Through Annual Risk Assessment**: Refer to CRP Risk Matrix (Sent in our June TMIC email). The task is to perform a risk assessment on certain topics over the next few months (June – August). If you identify an area of high risk to your firm, you will be expected by regulators to address those risks and conflicts with policies and procedures. |  | Use 2022 Risk Assessment Spreadsheet. |
| **Review and Complete the New Marketing Rule Implementation Checklist:** Implementation of new Marketing Rule is required prior to November 4, 2022. If your Firm will not be affected by the New Marketing Rule (i.e. no actual or hypothetical performance advertising, no solicitors/promoters, no third party rankings, no testimonials) your Firm does not need to schedule a call and can update the compliance manual as outlined by CRP (See Updated Marketing & Advertising policies and procedures in the Resource Library). If your Firm is affected by the new marketing rule, please schedule a call with your CRP Consultant to coordinate updates. |  | Use Marketing Rule Implementation Checklist. |