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| **March 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. (Or Monthly) |  |  |
| **Correspondence and Email Review**: Review staff correspondence, including email. (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 firm’ 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. |  |  |
| **Frequency: Annually** | | |
| **For State Advisors Only\* For each state your firm is registered, review state requirements on submitting year end financials.** Each state varies for year-end requirements. Work with your CRP representative to ensure you are complying with the state rule(s). For states that do require financials, submissions are due 120 after fiscal year end. |  |  |
| **Update Investment Management Agreement for Plan Sponsors (\*For those offering Retirement Services (3-38 or 3-21 services) to Plan Sponsor):** If your firm is offering retirement planning services as a 3-21 or 3-38 fiduciary, please update your client agreement with the attached, and tailor to your firm. The updated sections have been highlighted and reflected in our TMIC publication. |  |  |