

**TRIAD Advisors Compliance Department Independent RIA Support Tools**

1. Assistance with questions and Guidance on Form ADV Part 2a & 2b, Code of Ethics, Policies and Procedures.
2. Provide templates and sample procedures for regulatory initiatives elected by Triad for example Retirement Plan fee disclosure drafts, investment performance presentation procedures and cash solicitation/referral arrangement procedures.
3. Assistance with State and SEC Audit Inquiries and Responses.
4. E&O Insurance for sanctioned advisory activities.
5. Provides ongoing Advertising, Email and website reviews to assist you to stay in compliance.
6. Social Media platforms and tools to help you to Grow and Protect your firm.
7. Periodic Branch Audits to ensure policies and procedures are understood and followed. Audits focus on Registered Rep activities but also includes some advisory activities.
8. Provides valuable insight, best practices, and up-to-date information on compliance issues via special webinars, newsletters and direct emails.
9. Connect you with Compliance experts for advanced support services including, Annual Registration Renewal, SEC to State Transitions, Mock SEC and State Examinations, Compliance Program Design and Manuals.