

# QUADRANT REGULATORY

YOUR GUIDE TO COMPLIANCE



# ABOUT QUADRANT

Over **12 Years Successfully** Serving Broker-Dealers and Investment Advisers

- Our team has **over a century** of combined experience as regulators, Chief Compliance Officers and Chief Financial Officers
- Our primary clients consist of small to midsize broker-dealers and investment advisers
- We have provided service to **hundreds of firms**
- We are listed in the **FINRA Compliance Vendor Directory**

# BROKER DEALER SERVICES

- Chief Compliance Officer and Compliance Support Services
- Membership Applications
- Written Supervisory Procedures
- FinOp, Accounting and Bookkeeping
- Annual Compliance Meeting
- Firm Element of Continuing Education
- Targeted and Ad-Hoc Training
- Registrations, Licensing and Electronic Filings (CRD)
- Anti-Money Laundering Testing
- Respond to Regulators
- Supervisory Controls Testing and CEO Certification
- Branch Office Inspections

# INVESTMENT ADVISER SERVICES

- Chief Compliance Officer and Support Services
- RIA Registration with the SEC or State Authorities
- Annual 206(4)-7 Review
- Mock Examinations
- Written Procedures
- Code of Ethics
- CFO, Accounting and Bookkeeping
- Review Marketing Material
- Annual and Ad-Hoc Training
- Form ADV Reviews and Amendments
- Liaison with Regulators

# WHY QUADRANT

**Our team will work with you to achieve compliance with applicable rules and regulations**

- Customized Solutions – We will design a compliance program that addresses your precise needs
- Competitive Pricing – We deliver extraordinary consulting services at rates that accommodate your budget
- Easily Accessible – We make customer service a top priority, and are available at a moment's notice

# CONTACT US

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