



2016 Annual Compliance Checklist

Investment Banking/M&A

General Compliance	Responsible Party	Completed
Annual Compliance Meeting - FINRA Rule 3110(a)(7)	_____	_____
Internal Audit of the Business Activities - FINRA Rule 3110(c)(1)	_____	_____
OSJ and Branch Office Audits (if applicable) - FINRA Rule 3110(c)(1) & (2)	_____	_____
Privacy & Electronic Storage Audit - SEC Rule 17a-3(f)(3)(v)	_____	_____
Renew Fidelity Bond - FINRA Rule 4360	_____	_____
BCP Annual Review & Sign off by CCO - FINRA Rule 4370(b)	_____	_____
FINRA Contact Questionnaire Update - FINRA Rule 4517(c)	_____	_____

Financial	Responsible Party	Completed
PCAOB CPA Notice Filing - SEC Rule 17a-5 FINRA & Reg Notice 14-39	_____	_____
PCAOB CPA Audit of the Firm's Financial Statements - SEC Rule 17a-5	_____	_____
Notarize Facing Page Form for CPA Audit - SEC Form X-17A-5 Part III	_____	_____
Send Original Notarized Bound CPA Audit Reports To:		
SEC Washington D.C. Office	_____	_____
SEC Local Office	_____	_____
Each state that the firm is registered in that requires a copy	_____	_____
Upload Audited Financial Statements to FINRA Gateway	_____	_____
File FOCUS Schedule 1 Report	_____	_____
Pay & File Form SIPC-6 Filing	_____	_____
Pay & File Form SIPC-7 Filing	_____	_____
Pay FINRA Annual Assessment - FINRA By-Laws, Schedule A, Sect. 2	_____	_____
Pay Annual FINRA Registration Fees Through CRD Account	_____	_____

Anti-Money Laundering	Responsible Party	Completed
AML Training Attended by All Associated Persons - FINRA Rule 3310(e)	_____	_____
Senior Executive Approval of Changes in AML program - FINRA Rule 3310	_____	_____
Update Customer Identification Program - FINRA NTM 03-34	_____	_____
Independent Review and Testing of the Anti-Money Laundering Compliance Program - FINRA Rule 3310(c)	_____	_____
CEO/Senior Executive Officer Review and Approval of the Findings of the Independent Review and Testing of the AMLCP - FINRA Rule 3110	_____	_____

Rule 3120/3130 Supervisory System Compliance Certification	Responsible Party	Completed
Test the Supervisory & Compliance System - FINRA Rule 3120(a)(1)	_____	_____
Executive Officer Annual Compliance Certification - FINRA Rule 3130(b-c)	_____	_____
CEO and Compliance Officer Meeting - FINRA Rule 3130(c)(2)	_____	_____

