

M&A/Investment Banking

January 2016	Responsible Party	Date Completed
Outside Brokerage Account Statement Review		
Outside Business Activity Review		
Written Correspondence Review - Letters, faxes, etc. not sent through email		
E-mail Review		
Submit 12-2014 FOCUS Filing, SSOI, Schedule 1, Custody Report & OBS		
FINRA Contact System (FCS)		
Check CRD for Firm Deficiencies		
Check CRD for Continuing Education Deficiencies		
Log into FinCEN and Check Client Names (Bi Monthly)		
Verify Balance in CRD Account		
Private Securities Transaction Review (if applicable)		
Gift and Gratuity Log Update		
Advertising Review		
Review Rep Social Media Activity (LinkedIn, Twitter, FaceBook, etc.)		
Sales Literature Review		
Update Do Not Call List		
Approve and sign off on Restricted List		
	Responsible	Date
February 2016	Responsible Party	Date Completed
February 2016 Outside Brokerage Account Statement Review		
· · · · · · · · · · · · · · · · · · ·		
Outside Brokerage Account Statement Review		
Outside Brokerage Account Statement Review Outside Business Activity Review		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly)		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly) Verify Balance in CRD Account		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly) Verify Balance in CRD Account Private Securities Transaction Review (if applicable)		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly) Verify Balance in CRD Account Private Securities Transaction Review (if applicable) Gift and Gratuity Log Update Advertising Review Review Rep Social Media Activity (LinkedIn, Twitter, FaceBook, etc.)		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly) Verify Balance in CRD Account Private Securities Transaction Review (if applicable) Gift and Gratuity Log Update Advertising Review		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly) Verify Balance in CRD Account Private Securities Transaction Review (if applicable) Gift and Gratuity Log Update Advertising Review Review Rep Social Media Activity (LinkedIn, Twitter, FaceBook, etc.)		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly) Verify Balance in CRD Account Private Securities Transaction Review (if applicable) Gift and Gratuity Log Update Advertising Review Review Rep Social Media Activity (LinkedIn, Twitter, FaceBook, etc.) Sales Literature Review		



# Monthly Compliance Checklist M&A/Investment Banking

Sales Literature Review Update Do Not Call List

Approve and sign off on Restricted List

File 4530 Customer Complaint Filing - If Complaints Received

M&A/Investment Banking			
March 2016	Responsible Party	Date Completed	
Outside Brokerage Account Statement Review			
Outside Business Activity Review			
Written Correspondence Review - Letters, faxes, etc. not sent through email			
E-mail Review			
Prepare Financial Statements & Net Capital Computation			
Check CRD for Firm Deficiencies			
Check CRD for Continuing Education Deficiencies			
Log into FinCEN and Check Client Names (Bi Monthly)			
Verify Balance in CRD Account			
Private Securities Transaction Review (if applicable)			
Gift and Gratuity Log Update			
Advertising Review			
Review Rep Social Media Activity (LinkedIn, Twitter, FaceBook, etc.)			
Sales Literature Review			
Update Do Not Call List			
Approve and sign off on Restricted List			
	Responsible	Date	
April 2016	Party	Completed	
Outside Brokerage Account Statement Review			
Outside Business Activity Review			
Written Correspondence Review - Letters, faxes, etc. not sent through email			
E-mail Review			
Submit 03-2016 FOCUS Filing, SSOI, Custody Report & OBS			
Check CRD for Firm Deficiencies			
Check CRD for Continuing Education Deficiencies			
Log into FinCEN and Check Client Names (Bi Monthly)			
Verify Balance in CRD Account			
Private Securities Transaction Review (if applicable)			
Gift and Gratuity Log Update			
Advertising Review			
Review Rep Social Media Activity (LinkedIn, Twitter, FaceBook, etc.)			
		·	



Private Securities Transaction Review (if applicable)

Review Rep Social Media Activity (LinkedIn, Twitter, FaceBook, etc.)

Gift and Gratuity Log Update

Approve and sign off on Restricted List

Advertising Review

Sales Literature Review Update Do Not Call List

&A/Investment Banking			
May 2016	Responsible Party	Date Completed	
Outside Brokerage Account Statement Review			
Outside Business Activity Review			
Written Correspondence Review - Letters, faxes, etc. not sent through email			
E-mail Review			
Prepare Financial Statements & Net Capital Computation			
Check CRD for Firm Deficiencies			
Check CRD for Continuing Education Deficiencies			
Log into FinCEN and Check Client Names (Bi Monthly)			
Verify Balance in CRD Account			
Private Securities Transaction Review (if applicable)			
Gift and Gratuity Log Update			
Advertising Review			
Review Rep Social Media Activity (LinkedIn, Twitter, FaceBook, etc.)			
Sales Literature Review			
Update Do Not Call List			
Approve and sign off on Restricted List			
June 2016	Responsible Party	Date Completed	
Outside Brokerage Account Statement Review			
Outside Business Activity Review			
Written Correspondence Review - Letters, faxes, etc. not sent through email			
E-mail Review			
Prepare Financial Statements & Net Capital Computation			
Check CRD for Firm Deficiencies			
Check CRD for Continuing Education Deficiencies			
Log into FinCEN and Check Client Names (Bi Monthly)			
Verify Balance in CRD Account			



Update Do Not Call List

Approve and sign off on Restricted List

July 2016	Responsible Party	Date Completed
Outside Brokerage Account Statement Review	- 4	•
Outside Business Activity Review		
Written Correspondence Review - Letters, faxes, etc. not sent through email		
E-mail Review		
Submit 06-2016 FOCUS Filing, SSOI, Custody Report & OBS		
Check CRD for Firm Deficiencies		
Check CRD for Continuing Education Deficiencies		
Log into FinCEN and Check Client Names (Bi Monthly)		
Verify Balance in CRD Account		
Private Securities Transaction Review (if applicable)		
Gift and Gratuity Log Update		
Advertising Review		
Review Rep Social Media Activity (LinkedIn, Twitter, FaceBook, etc.)		
Sales Literature Review		
Update Do Not Call List		
Approve and sign off on Restricted List		
Approve and sign off on Restricted List File 4530 Customer Complaint Filing - If Complaints Received		
	Responsible Party	Date Completed
File 4530 Customer Complaint Filing - If Complaints Received	Responsible Party	Date Completed
File 4530 Customer Complaint Filing - If Complaints Received  August 2016	•	
File 4530 Customer Complaint Filing - If Complaints Received  August 2016  Outside Brokerage Account Statement Review	•	
File 4530 Customer Complaint Filing - If Complaints Received  August 2016  Outside Brokerage Account Statement Review Outside Business Activity Review	•	
File 4530 Customer Complaint Filing - If Complaints Received  August 2016  Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email	•	
August 2016  Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review	•	
August 2016  Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation	•	
August 2016  Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies	•	
August 2016  Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies	•	
August 2016  Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly)	•	
August 2016  Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly) Verify Balance in CRD Account	•	
August 2016  Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly) Verify Balance in CRD Account Private Securities Transaction Review (if applicable)	•	
August 2016  Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly) Verify Balance in CRD Account Private Securities Transaction Review (if applicable) Gift and Gratuity Log Update	•	



&A/Investment Banking	Responsible	Date
September 2016	Party	Completed
Outside Brokerage Account Statement Review		
Outside Business Activity Review		
Written Correspondence Review - Letters, faxes, etc. not sent through email		
E-mail Review		
Prepare Financial Statements & Net Capital Computation		
Check CRD for Firm Deficiencies		
Check CRD for Continuing Education Deficiencies		
Log into FinCEN and Check Client Names (Bi Monthly)		
Verify Balance in CRD Account		
Private Securities Transaction Review (if applicable)		
Gift and Gratuity Log Update		
Advertising Review		
Review Rep Social Media Activity (LinkedIn, Twitter, FaceBook, etc.)		
Sales Literature Review		
Update Do Not Call List		
Approve and sign off on Restricted List		
	Danie a state	D-1-
October 2016	Responsible Party	Date Completed
Outside Brokerage Account Statement Review		
Outside Business Activity Review		
Written Correspondence Review - Letters, faxes, etc. not sent through email		-
E-mail Review		
Submit 09-2016 FOCUS Filing, SSOI, Custody Report & OBS		
Check CRD for Firm Deficiencies		
Charle CDD for Continuing Education Deficiencies		



**M&A/Investment Banking** 

November 2016	Responsible Party	Date Completed
Outside Brokerage Account Statement Review		
Outside Business Activity Review		
Written Correspondence Review - Letters, faxes, etc. not sent through email		
E-mail Review		
Prepare Financial Statements & Net Capital Computation		
Check CRD for Firm Deficiencies		
Check CRD for Continuing Education Deficiencies		
Log into FinCEN and Check Client Names (Bi Monthly)		
Verify Balance in CRD Account		
Private Securities Transaction Review (if applicable)		
Gift and Gratuity Log Update		
Advertising Review		
Review Rep Social Media Activity (LinkedIn, Twitter, FaceBook, etc.)		
Sales Literature Review		
Update Do Not Call List		
Approve and sign off on Restricted List		
Pay State Renewal Fees		
December 2016	Responsible	Date
	Responsible Party	Date Completed
Outside Brokerage Account Statement Review		
Outside Brokerage Account Statement Review Outside Business Activity Review		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly)		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly) Verify Balance in CRD Account		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly) Verify Balance in CRD Account Private Securities Transaction Review (if applicable)		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly) Verify Balance in CRD Account Private Securities Transaction Review (if applicable) Gift and Gratuity Log Update		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly) Verify Balance in CRD Account Private Securities Transaction Review (if applicable) Gift and Gratuity Log Update Advertising Review		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly) Verify Balance in CRD Account Private Securities Transaction Review (if applicable) Gift and Gratuity Log Update Advertising Review Review Rep Social Media Activity (LinkedIn, Twitter, FaceBook, etc.)		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly) Verify Balance in CRD Account Private Securities Transaction Review (if applicable) Gift and Gratuity Log Update Advertising Review Review Rep Social Media Activity (LinkedIn, Twitter, FaceBook, etc.) Sales Literature Review		
Outside Brokerage Account Statement Review Outside Business Activity Review Written Correspondence Review - Letters, faxes, etc. not sent through email E-mail Review Prepare Financial Statements & Net Capital Computation Check CRD for Firm Deficiencies Check CRD for Continuing Education Deficiencies Log into FinCEN and Check Client Names (Bi Monthly) Verify Balance in CRD Account Private Securities Transaction Review (if applicable) Gift and Gratuity Log Update Advertising Review Review Rep Social Media Activity (LinkedIn, Twitter, FaceBook, etc.)		

Verify Everything on Annual Compliance Checklist is Completed