



Monthly Compliance Checklist

M&A/Investment Banking

January 2017	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	_____	_____

February 2017	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	_____	_____
Complete CPA Financial Audit - Upload to FINRA, Mail to SEC and States	_____	_____



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March 2017	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	_____	_____

April 2017	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 03-2017 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	_____	_____
File 4530 Customer Complaint Filing - If Complaints Received	_____	_____



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May 2017	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 2017	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	_____	_____



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July 2017	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 06-2017 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	_____	_____
File 4530 Customer Complaint Filing - If Complaints Received	_____	_____

August 2017	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	_____	_____



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September 2017	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	_____	_____

October 2017	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 09-2017 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	_____	_____
File 4530 Customer Complaint Filing - If Complaints Received	_____	_____



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November 2017	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 2017	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	_____	_____
Verify Everything on Annual Compliance Checklist is Completed	_____	_____