



2017 Monthly Compliance Checklist

Retail Broker Dealer

General Compliance	Responsible Party	Completed
Outside Brokerage Account Statement Review	_____	_____
Outside Business Activities Review	_____	_____
Private Securities Transaction Review (if applicable)	_____	_____
Prepare Financial Statements & Net Capital Computation	_____	_____
Check CRD for Firm Deficiencies	_____	_____
Check CRD for Continuing Education Deficiencies	_____	_____
Verify Balance in CRD Account	_____	_____
Gift and Gratuity Log Update	_____	_____
Update Do Not Call List	_____	_____
Approve and Sign Off on Restricted List	_____	_____

Communications With the Public	Responsible Party	Completed
Written Correspondence Review - Letters, faxes, etc. not sent through email	_____	_____
E-mail Review	_____	_____
Advertising Review	_____	_____
Review Rep & Firm Social Media Activity (LinkedIn, Twitter, Facebook, etc.)	_____	_____
Sales Literature Review	_____	_____

Books & Records	Responsible Party	Completed
Review Trade Blotter/Order Tickets	_____	_____
Review Checks Received & Forwarded Blotter	_____	_____
Review Securities Received & Forwarded Blotter	_____	_____
Review a Aample Customer Account Statements	_____	_____
Review Selected Clearing Firm reports	_____	_____
Report 1: _____	_____	_____
Report 2: _____	_____	_____
Report 3: _____	_____	_____
Report 4: _____	_____	_____

Anti-Money Laundering	Responsible Party	Completed
Verify OFAC Checks completed for all new clients	_____	_____
Complete Bi-Monthly FinCEN Checks	_____	_____
Review Wire Transfer Reports	_____	_____
Review all 3rd Party Wires	_____	_____
Review AML Clearing Firm reports	_____	_____
Report 1: _____	_____	_____
Report 2: _____	_____	_____
Report 3: _____	_____	_____
Report 4: _____	_____	_____



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Equities	Responsible Party	Completed
Review selected Equity Clearing Firm reports		
Report 1: <u>ex. High Volume Trading</u>		
Report 2: <u>ex. Excessive Mark-Up/Commission</u>		
Report 3: _____		
Report 4: _____		
Commission/Mark-Up Review		
Verify Daily OATS Reviews Have Been Conducted		
FINRA Rule 4560 Short Interest Reporting (Verify Completed by Clearing Firm)		
FINRA Rule 4521(d) - Margin Balance Reporting (Verify Completed by Clearing Firm)		
Review FINRA Report Cards		
Firm Summary Scorecard		
OATS Compliance Report Card		
Best Execution Report Card		
Market Order Timeliness Report Card		
Executing Firm 10 Second Compliance Report Card		
Reporting Firm 10 Second Compliance Report Card		
Contra Executing Firm 20 Minute Compliance Report Card		
Contra Reporting Firm 20 Minute Compliance Report Card		
Reg NMS Trade Through Report Card		
FINRA Rule 4530 Disclosure Timeliness Report Card		
Review FINRA Risk Monitoring Reports		
Canceled and As-Of Trades Report		
Customer Debits Report		
Sales Practice Complaint Report		
Registered Representative Composition Report		
Customer Complaint Report		
SEC Rule 605 Report (if applicable)		
SEC Rule 606 Report (if applicable)		
SEC Rule 611 Report (if applicable)		

Private Placements	Responsible Party	Completed
Review and Approve Due Diligence for New Offerings		
Verify That Conflicts of Interest are Disclosed for New Offerings		
Review and Approve New Subscription and Suitability Documents		
File FINRA Rule 5122 & Rule 5123 filings (as needed)		

Options	Responsible Party	Completed
Verify New Accounts Approved by S4		
Verify That Options Disclosures Sent to New Customers		
Options Blotters/Transaction Reports Reviewed by S4		
Clearing Firm Options Reports Reviewed by S4		
Report 1: _____		
Report 2: _____		
Report 3: _____		



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Mutual Funds/VAs & 529 Plans	Responsible Party	Completed
Review and Approve Due Diligence for New Products	_____	_____
Review and Approve New Selling Agreements	_____	_____
Verify That Conflicts of Interest Are Disclosed for New Offerings	_____	_____
Review and Approve New Subscription and Suitability Documents	_____	_____

Municipal Securities	Responsible Party	Completed
Review and Approve All Political Contributions	_____	_____
Review MSRB Report Cards	_____	_____
Clearing Firm Municipal Securities Reports Reviewed by S53	_____	_____
Report 1: _____	_____	_____
Report 2: _____	_____	_____
Report 3: _____	_____	_____