



Compliance Made Simple

Pinpoint's **Compliance Online System** Makes it Easy to Manage, Deliver, and Track Your Compliance Requirements

Compliance Solutions

- ✓ Comprehensive Risk Profiles
- ✓ Outside Business Activity
- ✓ ADV Part 2B Brochure
- ✓ Sales Material Submission & Review
- ✓ Annual Compliance Meeting
- ✓ Annual Compliance Questionnaire
- ✓ Gifts & Entertainment Tracking
- ✓ Disciplinary Tracking
- ✓ Firm Element
- ✓ Advisor Account Review
- ✓ AuditPro+ Branch Office Exams
- ✓ Incoming Correspondences
- ✓ Annual Individual Review
- ✓ Gov't Regulatory Alerts
- ✓ Written Supervisory Procedures
- ✓ NAIC Training