

Year-End Reminders for Investment Advisers

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| <input type="checkbox"/> Fund IARD for Your Renewal Fees | <input type="checkbox"/> Best Execution Review |
| <input type="checkbox"/> Written Supervisory Procedures | <input type="checkbox"/> Business Continuity Plan |
| <input type="checkbox"/> Code of Ethics Review & Compliance | <input type="checkbox"/> Review Contracts |
| <input type="checkbox"/> Annual Amendment to ADV Parts 1 and 2 | <input type="checkbox"/> Review Compliance Violations |
| <input type="checkbox"/> 13 Filings & Form PF | <input type="checkbox"/> Calculate AUM |
| <input type="checkbox"/> Third Party Review | <input type="checkbox"/> Compliance Certifications |
| <input type="checkbox"/> U-4s | <input type="checkbox"/> Personal Securities Holding Report |
| <input type="checkbox"/> SEC and Regulatory Reviews | <input type="checkbox"/> Independent Third-Party CPA |