What Can

COMPLIANCE SOFTWARE

Do For You?

SmartRIA

SOFTWARE FOR FINANCE COMPLIANCE

> **Compliance isn't rocket science, but it is an ever-moving target, which makes it scary to manage.**
>
> *- Smart RIA CEO, Mac Bartine*

When you provide sound, knowledgeable investment advice to your clients, you're creating more secure and stable financial futures. Your efforts go toward college funds, comfortable retirements, new homes, and starting families. It's important and engaging work, but it can be confusing – especially when it comes to RIA compliance regulations. And with so much on your plate already, the idea of managing *that* as well can be daunting.

Built To Address
YOUR NEEDS.
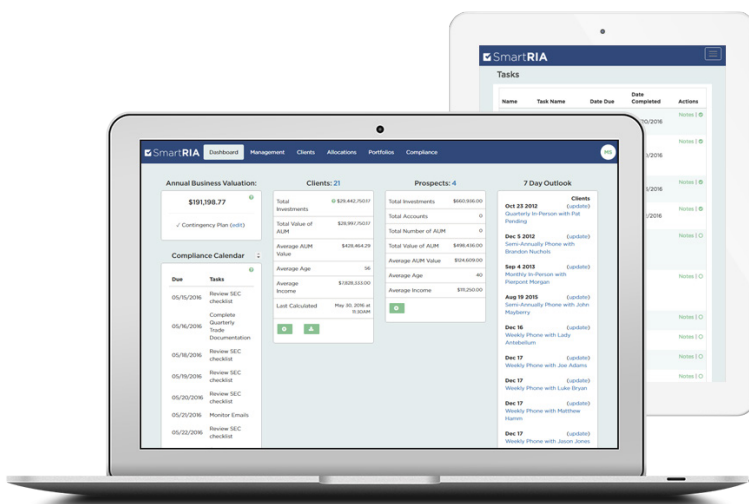
The best way to make it less scary – and much less complex – is with tailored solutions built to address your needs. Tools like Smart RIA are designed to be intuitive, practical, and user-friendly for wealth management professionals. Our compliance software will help to streamline the process for your CCO and other staff with a range of convenient features. Here are a few ways that the Smart RIA application can keep you audit-ready.

COMPLIANCE, FASTER.

When it comes to compliance, it pays to hit the ground running.

Requirements can change from year to year based on your book of business, AUM, and new mandates like the Department of Labor Fiduciary Rule, which makes navigating the world of SEC and state compliance for RIAs complex, confusing, and tedious.

To begin to tackle your RIA compliance, you shouldn't have to master an entirely new skill set. You want the ability to complete your obligations quickly and smoothly, not stagger under the weight of extra duties. With an application like Smart RIA, **you don't need to learn to code**, and you don't need to waste time with protracted set up and training.

Requirements Change
QUICKLY

You can't get compliant yesterday, but you can start tomorrow with our **proprietary 24-hour onboarding process.** That means in 5 minutes' time, you can complete all of our onboarding workflow, and be ready to fully manage compliance for your clients and your team within a day of the first login.

WORK, SIMPLIFIED.

Uncomplicating compliance doesn't have to be a mind-bending ordeal.

While it's not usually the most thrilling aspect of the work, careful oversight of your compliance tasks is vital to your success as a registered investment advisor. To keep from becoming overwhelmed under compliance deadlines and a slew of other assorted tasks, our app provides a streamlined approach.

Simple workflows make it easier to stay on track for compliance by keeping you updated on your next steps. Ease of integration allows for everyone on your team to get up to speed quickly with zero to little interruption of their normal workdays.

Stay
ON TRACK

With
WORKFLOWS

TASKS, MANAGED (AFFORDABLY).

By purchasing one solution that consolidates your compliance workflow, rather than spending on separate applications to do individual jobs, you profit.

Automating and simplifying compliance saves not only time, but money. Whether you're a one-person advisory or part of a large, well-known national firm, Smart RIA keeps your budget under control. **For a price that won't break the bank**, you can optimize your work to stay ahead of an audit. The Smart RIA app features include:

AUTOMATIC COMPLIANCE ALERTS.

A good RIA compliance software package will automatically alert you when your firm is out of compliance. Gone are the days of paper to-do lists and tasks slipping through the cracks. If a document is missing, or if a new client means your firm needs to register in another state, Smart RIA will alert all relevant roles to the deficiency so you can proactively correct it.

STAY ON TRACK WITH THE TASK LIBRARY.

As part of the Smart RIA application, you will have access to a customizable task library that comes populated with 22 default compliance calendar tasks. From there, the CCO can create new tasks or edit existing ones, assign any or all of those tasks to staff members, set frequency and due dates, and add any notes or instructions as necessary.

Our team of experts compiled the task library based on the most common requirements that the SEC and states ask RIAs to complete to remain compliant. You can apply years of industry know-how even when creating your own custom tasks and add them to the task library.

ASSIGN AND SWITCH ROLES.

Smart RIA has different assignable roles for everyone in your RIA firm, including the Chief Compliance Officer, advisors, and admin support roles. Each role has access only to what they need to see to perform their jobs, so confidential items (like human resources information) are restricted only to the roles with clearance.

We also recognize that most firms have one or more people filling multiple roles, and have given those individuals the ability to switch between them. For example, if your CCO is also an advisor, they can switch seamlessly between those roles within the software and carry out the duties for both without mixing up their workflows.

INTEGRATE AND GENERATE.

Smart RIA allows you to easily integrate your preferred tools, so you don't have to leave the app to get the data you need. Our straightforward audit report option (just Sort, Select, and Export) keeps you in a state of data readiness, so you're always prepared. These features have the benefit of maximizing your productivity and lessening the double work during the lead-up to an audit.

CURRENT DOCUMENTS AT YOUR FINGERTIPS.

A logical place for everything + archiving old versions of documents in place = the ability to access the most recent version of your files, reducing confusion and the possibility of falling out of compliance due to outdated documentation. This saves time and embarrassment, but more importantly, it keeps a common mistake from creating huge consequences for your firm with both auditors and clients.

☑ Smart**RIA**

All the tasks and storage you require are integrated into Smart RIA, with no need to leave the software to complete compliance tasks. Compliance checklists and questionnaires are completed and stored within the software without having to take the extra step of downloading and opening them in a word processing program, and digital signatures are incorporated to make them legal.

DATA, SECURED.

What good is having your compliance process in line if you can't keep your data safe from leaks or cyber crime?

Safeguarding client records is one of the most important compliance tasks, the solemn duty of any fiduciary, and your business depends on your ability to fulfill your responsibilities. As part of your Code of Ethics and Privacy-related compliance obligations, you're charged with keeping your clients'information protected from leaks and theft due to poor management practices, lax protocols, user error, or targeting by cyber criminals. Cybersecurity should be one of your major concerns. Smart RIA is painstakingly designed and coded make sure your sensitive data stays as secure possible.

On top of that, as a cloud-based option, Smart RIA's client information is backed up off-site. This provides added reassurance that your clients'records and your entire book of business are safe in case a fire or natural disaster takes down physical servers.

Safeguarding Client Records is
IMPORTANT

BUILD YOUR BUSINESS

Market your compliance.

Apart from the built-in features and seamless functionality of our software, using Smart RIA can also help to make your firm more visible in a crowded industry landscape. For clients who want to see financial expertise backed by efficient business processes, quality customer care, and a demonstrable commitment to ethics and privacy, our software is a powerful indicator of your dedication to serving their best interests along with raising their portfolios.

Smart RIA not only makes compliance more efficient, it also allows you to market your compliance to potential clients and prospects. Establishing your firm as one that takes its fiduciary responsibilities seriously is an investment in the future of your business.

Stand Out in a
CROWDED MARKET

EASILY PROVE YOUR CULTURE OF COMPLIANCE

Demonstrate your professionalism.

When the auditors come knocking, they will be diligent and thorough. They'll want to see that your firm demonstrably values and understands compliance. It ought to be an intrinsic part of your team's workflows, with documentation and oversight at every step. Firms that ignore compliance until it's too late run the risk of failing their audit and losing much more than their good reputation.

The simple act of investing in and using compliance software shows that your firm has a culture of compliance. But, Smart RIA's functionality not only calls attention to missing documents or needed compliance tasks, it also automatically creates a digital "audit trail" to show how compliance problems were addressed within your firm.

You Must Show
DOCUMENTATION AND OVERSIGHT

NO-SWEAT AUDITS

Because the responsibilities faced by RIAs are serious, the solutions you use must be able to stand up to them and ensure greater preparedness for the day your audit comes (and it will come). Poor audit results are entered into your firm's permanent record, and desirable clients factor in that information when deciding whether to trust you with their money.

Lining up your compliance and the necessary documentation to pass with flying colors might not make your auditor your best friend, but it can provide a clear picture to them – one of responsibility, accountability, and professionalism – to consider while you're under review.

PAINLESS CLIENT ONBOARDING

With Smart RIA's software, you can get clients started on the right foot for compliance from Day One. Each client's information is stored in Smart RIA, and through our integrations and simple workflows, all client care activities are easily documented within the software. The CCO can track required documents for advisors or admin support to complete when taking on new clients, since those documents appear seamlessly in the client creation screen.

As long as the proper documentation isn't completed after onboarding a new client, the advisor and the CCO remain alerted. A compliance software program like Smart RIA can save you the consequences of such common oversights.

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As you can see, a solid compliance software solution takes much of the stress and guesswork out of RIA compliance. With turnkey features in place to keep your firm audit-ready, Smart RIA can help you spend less time worrying over minutiae, and more time implementing growth strategies. No complications or delays. No inconvenience to you or your team. Just the right tools to make compliance a more convenient and integrated part of your work.

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