

Compliance Regulatory Support Services

Jeremiah Associates provides comprehensive regulatory support services to facilitate compliance with applicable rules, regulations and laws. These services feature on-site visits by our Compliance experts and ongoing support via phone and email. We do not sell compliance products or provide anything “off-the-shelf.” Our staff brings their real life experience gained “from the trenches” to promote a culture of compliance throughout your organization.

Specifically, clients may choose one or of more of the following services:

- **File Review** - review files to facilitate compliance with applicable FINRA rules; we advise you regarding filing requirements, review activities of your firm related to these files which include org charts, FINRA files, Registered Rep files, RR Attestation Files, RR disclosure files and customer account files. We create files as required after our review.
- **Web CRD Administration** –serve as the FINRA Web CRD administrator on your behalf or assist someone designated by your firm to file electronic forms, advise you of relevant CRD requirements, perform required quarterly review of Web CRD and the NASD contact system; monitor relevant training requirements, facilitate exam scheduling and assist with filings and applications.
- **Policies & Procedures** – review Written Supervisory Procedures, Compliance Manual, Firm Element Needs Analysis and Business Continuity Plans for adequacy and accuracy; incorporate updates and revisions as required.
- **Annual Compliance Meeting** – facilitate the development, delivery and documentation of the annual compliance meeting including meeting agenda, meeting materials and attendance requirements; assist in delivery and follow-up support.
- **CEO Certification** –review, as per NASD Rule 3013, effectiveness of Policies and Procedures; work closely with your CEO and senior management on completion of certification and documentation of required activities, including CEO Certification Report, CEO Annual Compliance and Supervision Certification.
- **Interface with Regulators** - guide your firm in its dealings with FINRA and other regulatory authorities, including FINRA examinations, response letters and information requests.
- **Communications with the Public** - facilitate compliance with applicable rules and regulations, regarding e-mail, instant Messaging and written correspondence.
- **Application of Rule** - ensure compliance with multiple, complex FINRA rules and regulations regarding critical aspects of your business, including research, Anti-Money Laundering, Registration & Licensing, Disclosure Requirements, Transaction Documentation, and Books & Records.
- **Supplementary Support Services** – Policies & Procedures, Manuals, Anti-Money Laundering effectiveness testing as required by NASD Rule 3011 and, filing membership applications as necessary

A major benefit of Jeremiah Associates’ **Compliance Regulatory Support Services** is leveraging our subject matter expertise. This permits your firm to concentrate on core business activities while we proactively review regulatory changes and continually analyze the impact on your business. We keep up-to-date on requirements which can prevent regulatory violations during an examination.

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