

Program Highlights

NAPLIA and **Regulatory Compliance** have formed a strategic alliance offering compliance services and resources in tandem with reduced costs on professional liability (errors and omissions) insurance.

North American Professional Liability Insurance Agency, LLC (NAPLIA) is the leading independent agency in the country specializing in professional insurance products for financial professionals.

Regulatory Compliance LLC brings 25 years of experience to assisting broker-dealers and investment advisers in meeting critical compliance requirements and regulatory filing deadlines.

Comprehensive Regulatory Compliance Services & Trusted Resource

Broker-dealers and investment advisers can choose from a comprehensive suite of compliance services from Regulatory Compliance:

- Registration and Ongoing Compliance
- CCO Outsourcing and Consulting
- FinOp, Accounting and Bookkeeping
- Exams and Testing
- General Solicitation Reviews and Testing
- Supervisory Procedures Customized and Templates
- Web CRD and IARD Filings

Clients who take advantage of Regulatory Compliance's Partner Program — a package of affordable compliance services customized to a firm's specific requirements — receive ongoing regulatory compliance support. We stay up-to-date with the latest securities regulations to provide clients with calendars, ongoing regulation updates, filing deadline reminders, and reporting requests to facilitate accurate, timely filings and peace of mind.

Errors & Omissions Insurance & Professional Liability Resources

NAPLIA specializes in providing Errors & Omissions Insurance to investment advisers, broker-dealers, third party administrators, and other investment professionals. Our client resources include industry-leading white papers, legal opinions, articles and additional topical information for the growth of your business. A comprehensive risk management program that includes sufficient insurance and bonding requirements is part of your compliance plan.

Learn more about program at www.naplia.com/regulatory-compliance

Contact

Paul Smith, AIF
NAPLIA Senior VP - Investment Advisory Division
161 Worcester Road, Suite 504
Framingham, MA 01701
PaulS@naplia.com | 508-656-1315