206(4)-7 Investment Adviser Annual Review Service

DFP PARTNERS
CPAs & Regulatory Consultants

Setting the Standard in Annual Compliance Reviews

DFP Partners provides a tailored, comprehensive annual review of your compliance program in full compliance with SEC Rule 206(4)-7. Our customized risk assessment ensures that the review remains focused on the most relevant regulatory and operational risks unique to your firm.

dfppartners.com | info@dfppartners.com | (212) 751-4422

206(4)-7 INVESTMENT ADVISER ANNUAL REVIEW SERVICE

Optimize Your Compliance with Experience You Can Trust

We provide a team of seasoned compliance professionals with robust CCO expertise, all with diverse perspectives informed by a rich legacy of compliance leadership.

Customized Approach

We begin with a risk assessment that defines the scope of the review, highlighting specific areas of focus based on your firm's unique risk profile. We then develop a precise, customized review scope, which may include:

- **Compliance Manual** – Evaluating reasonable adherence to regulatory standards
- **Code of Ethics** – Ensuring ethical decision-making across operations
- **Business Continuity Plan** – Assessing preparedness for unforeseen disruptions
- **Conflicts of Interest** – Identifying and addressing real and perceived conflicts, and fiduciary risks associated with mitigation and disclosure
- **Custody & Safeguarding** – Reviewing practices to confirm proper handling and protection of client assets
- **Accuracy of Disclosures** – Verifying that all client-facing statements align consistently with regulatory and ethical standards
- **Regulation S-P** – Assessing policies to ensure the protection of client privacy and information
- **Anti-money Laundering** – Validating adherence to financial integrity standards
- **Privacy Policy** – Strengthening security and regulatory adherence
- **Portfolio Management** – Reviewing investment strategies for consistency with fiduciary responsibilities
- **Marketing of Advisory Services** – Evaluating promotional materials for clarity, compliance, and client engagement
- **Valuation of Client Assets & Fee Assessments** – Examining pricing to ensure fairness, accuracy, and transparency
- **Asset Allocation** – Testing allocation methodologies against fair and balanced standards
- **Electronic Communications** – Reviewing and testing policies to confirm secure, compliant management of digital correspondence and client interactions
- **Books & Records Retention** – Verifying that recordkeeping practices meet regulatory requirements and support operational transparency
- **Regulatory Findings** – Analyzing prior regulatory examinations and corrective actions to address gaps and reinforce best practices

What Comes Next?

Our comprehensive evaluation includes:

- **Policy & Procedure Review** – Identifying inconsistencies and gaps
- **Books & Records Testing** – Sampling and assessing compliance effectiveness
- **Personnel Interviews** – Gathering insights into operational weaknesses
- **Exit Interviews** – Discussions on our findings and recommendations
- **Final Report** – Summary findings, action steps, and detailed examination results

The DFP Partners Difference

Unbiased experience and perspective

Our team of compliance professionals offers an objective assessment based on decades of regulatory experience, helping you make informed decisions aligned with industry best practices.

Each request list and scope are unique

We avoid standard templates and cookie-cutter approaches, tailoring our request lists and review scope to your firm's specific needs for a personalized risk-based approach.

Thoughtful, customized review

Every review is conducted with precision and care, ensuring that we assess not just the regulatory landscape, but also your firm's individual strengths and vulnerabilities.

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