

Call Toll Free 800 666 1656 or Fax your order to 513 424 5752

## 2006 Compliance Module

As a current Practice Builder user you already have tools to enhance your practice and improve efficiency and profitability. The newly updated Compliance Module is now available for Practice Builder Registered Investment Advisers who want the latest tools to comply with the new regulations and system requirements.

Introductory Offer

The Compliance Module was developed for the Registered Investment Adviser, the financial planner who practices under a broker/dealer's RIA, or those who are considering practicing as an investment advisor.

Practice Builder Compliance Module reflects all of the recent developments at the regulatory level including the new proxy voting rules, the new custody rules, the new Code of Ethics rules, and more:

- Disaster Recovery planning
- Anti-Money Laundering compliance
- Best Execution compliance
- Soft Dollar disclosure guidance

Jeffrey B. Kelvin, JD, LLM, CLU, ChFC is the principal author of the Compliance Module. Mr. Kelvin is a noted authority of RIA and NASD compliance. Mr. Kelvin has served as professor of taxation at The American College, and is the president and Chief Operating Officer of Financial Planners Assistance Corporation.



### Compliance System Testing Step-by-Step

SEC Rule 206(4)-7, requires all RIAs to develop a Compliance System Test, which must be completed no later than April 4, 2006. For example, all registered investment advisers must have a written compliance manual, develop system to test their compliance, make sure they are operating properly, detect weaknesses in these systems, and explain what remediation efforts are being employed. Practice Builder Compliance Module provides step-by-step instructions for the new requirements as set forth by SEC Rule 206(4)-7 that are due April 4, 2006.

Order now to get step-by-step instructions, policy guidance and sample documents that you can edit/adapt and employ for your practice. Your Best Practices may not be enough unless you are compliant with the new regulations.

Name: \_\_\_\_\_

Firm: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Credit Card # \_\_\_\_\_ Exp. date \_\_\_\_\_

American Express / Discover/ Master Card / VISA

Signature: \_\_\_\_\_

**2006 Compliance Module** \$500.00

For Delivery in Ohio add  
Appropriate Sales Tax \_\_\_\_\_

Shipping: \$15.00

Total: \_\_\_\_\_