

MyRIACompliance

Private Fund Adviser Compliance Software and Services

Private fund advisers gain access to a customized version of our industry-leading MyRIACompliance® online RIA compliance software platform which includes access to our proprietary Private Fund Platform.

	Comprehensive	SEC	State	ERA
Monthly Price ¹	Customized	\$800	\$600	\$300
MyRIACompliance® Software Features				
Compliance Calendar, Webinars, Checklists, Status Monitor	✓	✓	✓	✓
Compliance Log	✓	✓	✓	✓
Employee Supervision	✓	✓	✓	✓
Access to the MyRIACompliance® Mobile App	✓	✓	✓	✓
Audit Prep Tool	✓	✓	✓	✗
Annual Review Tool	✓	✓	✓	✗
Archiving Solution <i>Optional Enhancement for All Software Packages</i>	✓	\$100/mo	\$100/mo	\$100/mo
Cybersecurity Platform <i>Optional Enhancement for All Software Packages</i>	✓	\$150/mo	\$150/mo	\$150/mo
Automated Employee Trade Monitoring <i>Optional Enhancement for All Software Packages</i>	✓	\$100/mo	\$100/mo	\$100/mo
Private Fund Platform Features				
Fund Inventory	✓	✓	✓	✓
Private Fund Tailored Risk Assessment Tool	✓	✓	✓	✓
Form ADV Updates	✓	✓	✓	✓
Form PF	Customized	✓ ²	✗	✗
Form D	Customized	✓ ²	✓ ²	✓ ²
Blue Sky Filings	Customized	✓ ²	✓ ²	✓ ²
Enhanced Compliance Consulting <i>Optional Enhancement for All Software Packages</i>	✓	\$600/mo	\$400/mo	\$300/mo

RIAINaBox.com | (866)-611-7638

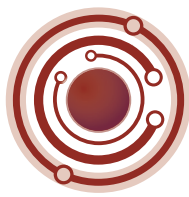


1. All subscriptions require an annual contract billed on a monthly basis and a one-time set-up fee equal to the monthly subscription fee. Each RIA firm subscription includes one MyRIACompliance® user license. For firms with more than one employee, the firm is required to purchase a user license for each additional firm employee to help the firm meet its compliance supervision requirements.

Each additional user license is \$10 for exempt reporting adviser (ERA) firms, \$15 for state-registered firms, and \$20 for SEC-registered firms.

2. All subscriptions include assistance with up to 3 private funds managed by the adviser. For firms managing more than 3 private funds, there is an additional \$100 charge per month per fund.

RIA in a Box LLC is not a law firm, investment advisory firm, or CPA firm. RIA in a Box LLC does not provide legal advice or opinions to any party or client. You should always consult your relevant regulatory authorities or legal counsel if applicable.



MyRIACompliance

Private Fund Compliance Consulting Service Packages

All compliance software packages include our standard level of service for no additional charge. You can choose to add the enhanced compliance consulting service.

STANDARD SERVICE

Included for ERA Firms

Included for State-Registered Firms

Included for SEC-Registered Firms

- Initial Compliance Expert Review Call
- Service Bureau Administrator for IARD Account
- Assistance with Annual Form ADV Renewal
- Unlimited Form ADV Amendments
- Form PF, Form D, and Blue Sky Filings

ENHANCED SERVICE

\$300/mo for ERA Firms

\$400/mo for State-Registered Firms

\$600/mo for SEC-Registered Firms

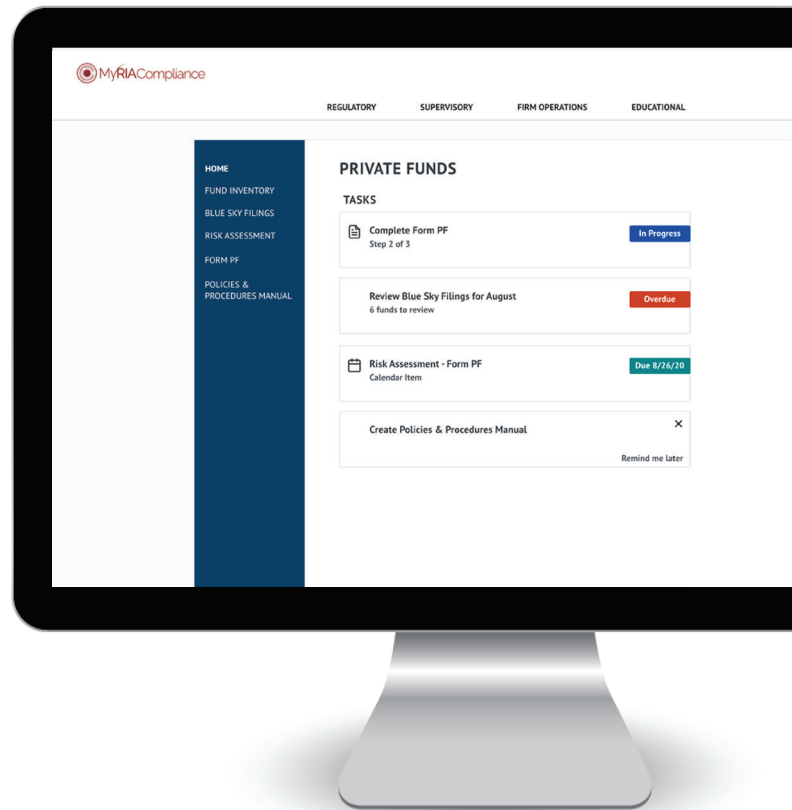
- Unlimited Compliance Consulting
- Creation and Review of Policies and Procedures Manual
- Review of Filing Documents and Marketing Materials

Training and Onboarding:

We charge a one-time fee equal to the monthly subscription fee that includes a detailed MyRIACompliance® software training session with our onboarding and training expert. This fee also includes additional staff training and assistance with connecting to our technology integration partners.

How our training expert will help you and your staff:

- Provide Chief Compliance Officer training on all available MyRIACompliance® compliance tools
- Assist with customization of compliance settings and notifications
- Host a training session to assist with staff onboarding to MyRIACompliance®



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