

# Getting the Most Out of the Orion Compliance App



This week's Tech Tip comes from the Orion Compliance Team. We'll take a dive into the Compliance App within Orion Connect, and show you how to gather data for your 13F Report.

## What?

Now I know what you're thinking, Compliance? Boo!!! But hold on, the Compliance App within Orion Connect can be a valuable resource. When it comes time to file your 13F Report Orion has you covered!

Orion's Compliance app can help you create a compliance testing regimen that can automatically run the right reports when you need them - including a regulatory filing dashboard that allows you to capture all your Form ADV and 13F regulatory reporting numbers with one click!

## Why?

Filing a 13F securities report can be a manual, time-intensive operation - but it doesn't have to be. In this week's Tech Tip, we'll open the Compliance app and look at some of the items included in the 13F tile that can help you file your report.

## How?

### As of Date

The 13F tile defaults the "As of" date to the current date. Before you verify the

13F values, be sure to change the “As of” date to the last day of the desired quarter.

### **13F Securities Value**

Did you know the 13F Securities Value provides you with the aggregate totals of ALL 13F securities within your database?

### **SEC 13F Securities List Date**

How do you know when the quarterly 13F list has been updated in Orion? The SEC releases their securities list 5 to 10 days into the new quarter. The SEC 13F Securities List Date tells you when the 13F list was last updated in Orion by displaying the last date of the quarter for the reporting period.

### **13F Form Report Detail - Run**

Unlike the 13F Securities Value, running the 13F Form Report Detail will return ONLY those 13F securities that meet the SEC’s minimum requirements of \$200,000 or 10,000 shares.

You can access this data in five easy steps:

1. Navigate to the Compliance app
2. Go to Compliance>Disclose: Dashboard
3. Change the “As-of” date (upper right corner) to the last day of the quarter, then refresh your screen.  
This will ensure you have the 13F values for the last day of the quarter.
4. The “13F Securities Value” is the aggregated total of ALL securities within your client database that match the SEC’s 13F Securities list.
5. Click “Run.”

Now you’re one step closer to filing your 13F Securities Report!

If you have questions about the using the Compliance app, feel free to contact Orion Compliance via Chat, Phone (402.313.4168) or Email (compliance@orionadvisor.com)

## **Want to learn more about our Compliance**

# **tool?**

Find out how you can gain additional compliance control with our brand-new employee trade monitoring function by registering for our upcoming webinar.

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