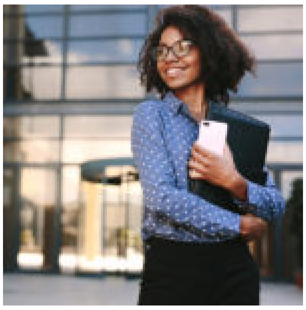
It’s Time to Simplify Your Regulatory Filings with the Compass App



It’s finally Fall, which means it’s finally time for football, pumpkin-flavored everything and of course, preparing your Form ADV filings!

After the rollout of our compliance app, “Compass” last year, we’ve worked hard to add new tools and solicit feedback from advisors like you to help build out a robust compliance toolkit.

In August, we featured an additional capability to the Compass toolkit, designed to help you create a testing regimen that can automatically run the right reports at the right time, saving you the time it takes to complete a manual review.

Now, we’re highlighting our latest addition to the compliance toolkit – a regulatory filing dashboard that allows you to capture all of your Form ADV and 13f regulatory reporting numbers with one click!

Let’s jump in and see how you can use this new dashboard to help save time and prepare now for your regulatory filings.

Ready When You Need It

Finding the right regulatory data at the right time can be a cumbersome process – but it doesn’t have to be. All too often as-of dates are mismatched, data fields go missing, or household information doesn’t align with one another.

Now you can easily track the information needed for your regulatory filings and update that data at any point in time, all in one dashboard using a single click!

Users can drill down further to access each report individually using the hyperlink at the head of the columns. Disclose provides a single location to track and monitor all of your pertinent regulatory filing information.

What’s included in the dashboard:

- 13f filing requirements
- ADV Counts
- Assets under management
- Domestic/Foreign AUM
- Discretionary AUM
- Wrap AUM
- SMA AUM by custodian
- SMA AUM by asset category
- AUM by client category

Why it Matters Now

In order to complete your regulatory filings on time and in good order, it is critical to have the right information available when you need it. This latest addition to your compliance toolkit will save you time when analyzing and confirming your information, prior to filing. But this information is only as good as the level of organization that goes into your dashboard.

That’s why now – yes, football and pumpkin-spice season, is the perfect time to ensure the data fields and report headings in your “Disclose dashboard” are organized correctly. Confirming that your dashboard matches your firm’s unique regulatory needs will create a smoother process when it comes time to pull the information for your regulatory filings.

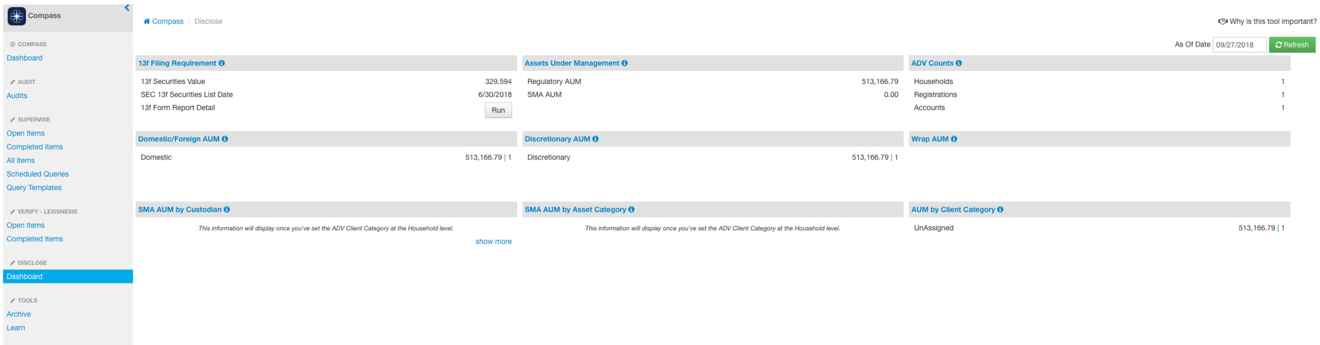
And after all, a smoothly-run compliance department allows you to spend less time on regulatory filings and more time on what really matters: enhancing client relationships and building a better business.

How to Use the Dashboard in Your

Business

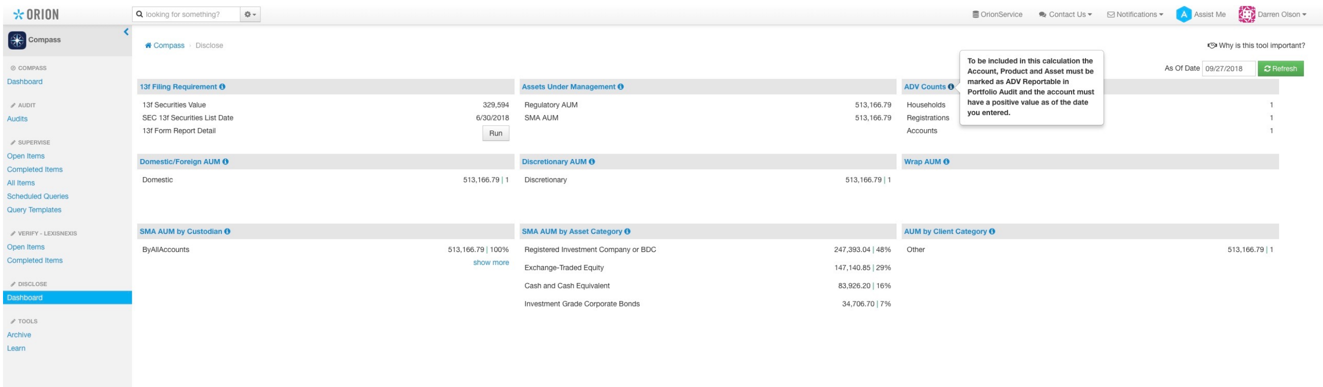
The “Disclose dashboard” will help streamline your compliance filing process. But first, you have to make sure that your dashboard is tailored to meet your firm’s specific regulatory needs.

To access the “Disclose dashboard”, enter Orion connect, open the Compass app and locate “Disclose” on the left-side navigation menu.



Each heading in the column is a hyperlink. Simply click the link to access the specific query and make any required edits directly in the respective report or in Portfolio Audit.

Additionally, next to each heading is an information symbol that describes which fields need to be checked in order to report properly on the Disclose dashboard.



If you’d like to learn more about the “Disclose dashboard”, please check out our recent webinar here, or register here for our upcoming webinar on October 16th where you can hear about the latest enhancements to Orion’s Compass app.

Not working with Orion yet? Click here to get in touch with us.

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