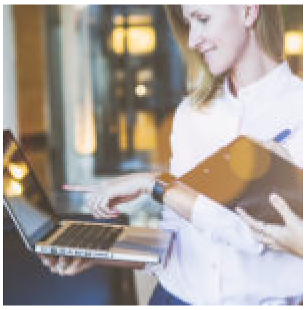


Making Form ADV Filing Simple

If you're in charge of your advisory firm's compliance obligations, you're responsible for guiding your business and your co-workers through an increasingly complicated regulatory landscape.

But you don't have to go through it alone.

At Orion, we're constantly enhancing our portfolio accounting software with new tools to help compliance officers do the job more thoroughly and completely.

As the filing date for Form ADV quickly approaches, you can take advantage of our Disclose reporting tool from Orion to make the process faster and simpler than ever.

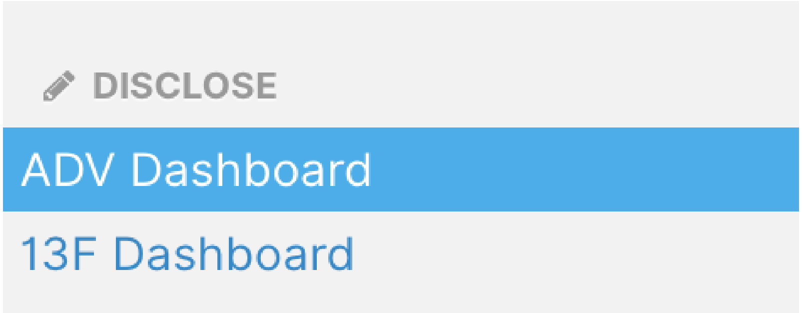
Whether you're new to Form ADV or could just use a refresher, a Form ADV is an SEC-required filing that must specify investment style, AUM, and a firm's key officers. It is an annual filing that must be submitted within 90 days of the fiscal year-end. (If you have more questions, be sure to visit the SEC website for additional information.)

In today's post, we'll show you how to use Orion's Compliance tool to keep track of the information required to be filed in a Form ADV.

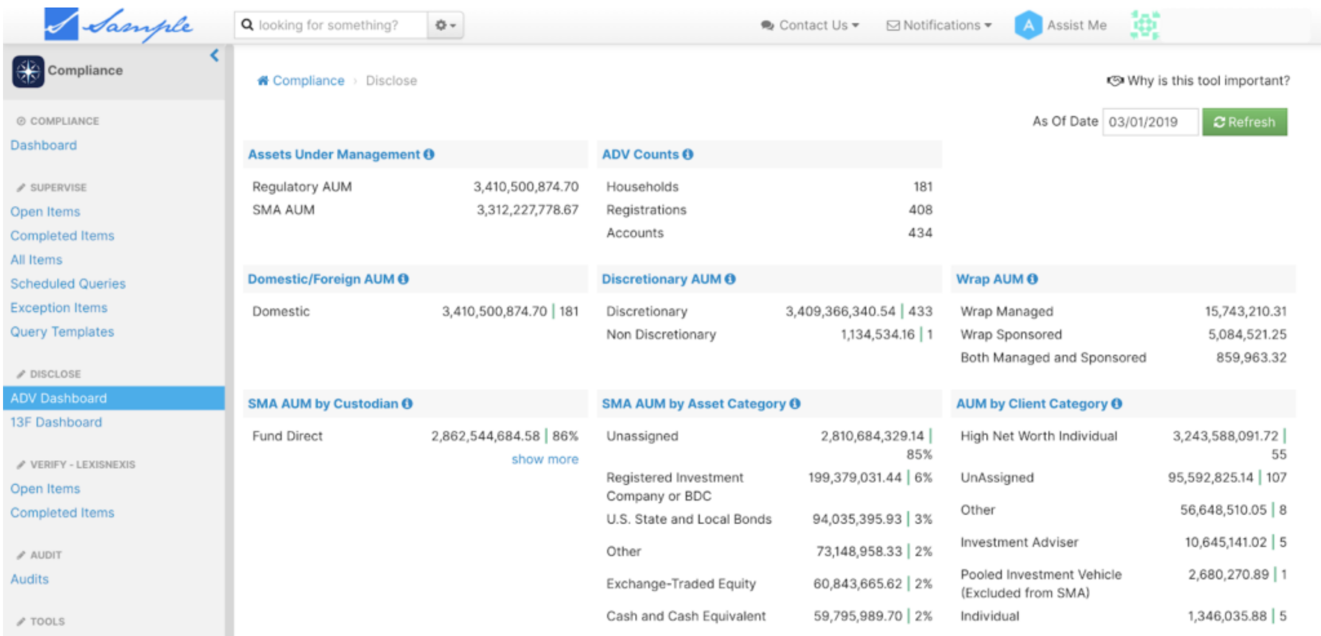
How to Use Orion's Form ADV Compliance Dashboard

In Orion Connect, select the Compliance app. On the left-side navigation menu, click **ADV Dashboard** under the **Disclose** item.

For context, Disclose is a calendaring tool within our compliance app that provides access to one-stop dashboards designed to become a compliance officer's daily desktop. Disclose provides a quick overview of alerts, issues, and other tasks from across the entirety of our compliance solution.



When you load the ADV dashboard, you'll see a quick-view list of everything you need.



Mouse over each of the Information icons to get a short description of how the information is calculated in Orion.

Click the title of each dashboard to get a full view of all the individual data points in each section. You can export any of those views to a spreadsheet to help you compile your Form ADV filing.

Now, instead of keeping information in separate files or different systems altogether, compliance officers can access much of what they need in a single location — helping to reduce confusion and make Form ADV filings faster.

Enhanced Assistance with Regulatory Reporting

In addition to Form ADV, Disclose assists with other regulatory reporting requirements, like Form 13F.

The Disclose dashboards provide visibility into these important data points:

- 13F filing requirements
- ADV counts
- Assets under management
- Domestic/foreign AUM
- Discretionary AUM
- Wrap AUM
- SMA AUM (by custodian and asset category)
- AUM by client category

In each dashboard, Disclose puts more detailed information only one click away so compliance officers can access everything they need when it's time to file.

Other Regulatory Reporting Tools in Orion

In addition to Disclose, Orion's Compliance solution offers a number of other tools and features as your full-time compliance assistant:

- **Verify** helps with anti-money laundering (AML) screening of clients through an integration with an industry leader in domestic and global AML screening data.
- **Inform** offers assistance with Code of Ethics management in accordance with the requirements of Advisers Act Rule 204A-1; specifically, it assists with personal securities trading obligations by enabling firms to monitor employee trade activity in an automated fashion.
- **Audit** helps compliance officers conduct routine mock audits of their business in order to prepare for a real one.

- **Supervise** is a testing and exception reporting system that enables compliance officers to perform continuous testing of policies and procedures in accordance with their requirements.

Maintaining an effective compliance program is complex, but the right technology can help make it easier to identify risks, track information, and respond quickly with resolutions.

Need help navigating today's compliance landscape? Click here to download our new Compliance whitepaper to learn more about how we can help navigate a changing regulatory environment.

And for even more hands-on training on Inform and our other compliance solutions, register for our upcoming roadshow in Scottsdale on March 25-26.

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