

AVOID THE CRM-2 WHACK-A-MOLE! BLG'S CRM-2 ROAD-MAP FOR COMPLIANCE SERVICE



The new client relationship disclosure and reporting requirements for dealers, portfolio managers and investment fund managers (CRM-2) will be phased in over the next three years. CRM-2 is complex and creates significant new compliance challenges for you, your executive and compliance staff. Your conversations with your clients will be expected to change. Your account opening procedures and documentation, pre-trade procedures, trade confirmations and client account statements will also need significant modifications.

Avoid playing “**whack-a-mole**” with CRM-2 and plan your CRM-2 Road-Map for Compliance with the help of BLG’s CRM-2 experts.

We are pleased to introduce **BLG’s CRM-2 Road-Map for Compliance Service** for dealers, portfolio managers and investment fund managers.

BLG’s CRM-2 Road-Map for Compliance Service consists of:

- Customized check-list for compliance with CRM-2, tailored to your business.
- Customized CRM-2 compliance project plan and process map templates, tailored to your business and a one-hour presentation of your customized plan and map to your executive and compliance staff.
- Two hours of in-person training provided by BLG’s CRM-2 experts for your firm’s executive, compliance staff and representatives to assist them in understanding the new CRM-2 requirements and their role in fulfilling the expectations of the securities regulators.
- One hour of follow-up discussion with your executive and compliance staff.

BLG’s CRM-2 Road-Map for Compliance Service is available for fixed fees, depending on the applicable services (travel costs and other disbursements extra).

BLG’s CRM-2 experts can also assist you, on a fee-for-service basis, with all aspects of your compliance obligations including:

- Additional training sessions for your representatives, including “training the trainer” sessions
- Reviewing and revising your
 - Account opening documentation
 - Policies and procedures manual
 - Relationship disclosure information
 - Creating template CRM-2 statements

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YOUR TEAM BLG'S CRM-2 ROAD-MAP FOR COMPLIANCE SERVICE



For more information about **BLG's CRM-2 Road-Map for Compliance Service**, please contact:



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