

FOR IMMEDIATE RELEASE

ComplianceMAX announces release of the financial industry's first compliance technology platform designed specifically for small firms

San Diego, CA—ComplianceMAX Financial Corporation, a leader in regulatory compliance technologies and services, announces the release of its new Small Business Compliance™ platform. This release is a significant step towards helping small broker-dealers achieve and maintain regulatory compliance.

“ComplianceMAX is committed to providing regulated firms with the industry’s most comprehensive and compelling compliance solutions,” says Lisa Roth, President and CEO of ComplianceMAX. She adds, “Small firms are an inherently underserved marketplace and yet they comprise almost 85% of NASD member firms. Government agencies such as the SEC, and regulatory organizations such as the NASD and NASAA, hold all broker-dealers to the same standards of compliance, irrespective of their size. This presents many small firms with significant challenges. The Small Business Compliance™ platform is designed specifically for this demographic and it’s the only compliance platform offering enterprise compliance technologies at a price that small firms can afford.” “We’re extremely excited about this new release,” says Mitch Porche, Executive Vice President in charge of product management at ComplianceMAX.

“We are really leveling the playing field between large and small firms when it comes to compliance. Until now, the capabilities provided by Small Business Compliance™ were simply out of reach unless you had a seven figure compliance budget. We’ve been applying our research and development over the last several years toward solving this problem and we believe that this is a major milestone in that effort.”

About Small Business Compliance™

ComplianceMAX Small Business Compliance™ is a comprehensive, web-based compliance platform. The system is built around Resources™, currently in use by more than 300 firms. Resources™ is a systematic monthly compliance program designed for compliance officers and delivered through a series of monthly and annual activity workbooks. Small Business Compliance™ starts with the same centralized web-portal then adds an engine through which compliance officers can administer unlimited Firm Element Training and Compliance Disclosures, such as Outside Business Activities and Personal Investment Accounts. In addition, Small Business Compliance™ automates supervision with a powerful supervisory workflow tool for submitting, reviewing and reporting Advertising & Sales Materials, Customer Complaints and Gift & Gratuities.

ComplianceMAX prices Small Business Compliance™ in a range small firms will appreciate, with minimal set up fees and ongoing licensing rates starting at just \$100 per associated person/year. With Small Business Compliance™, compliance officers and supervisors will have access to powerful oversight tools in an affordable and intuitive package.

About ComplianceMAX

ComplianceMAX Financial Corporation provides innovative, cost-effective regulatory compliance services and technologies to Broker/Dealers, Investment Advisers and Hedge Funds. ComplianceMAX provides a full range of technology enabled products and services including audits, compliance forms management, automated surveillance, licensing/registration services, and customized training. Customers range in size from one-person offices to national firms with thousands of branches and associated persons. ComplianceMAX provides scaleable levels of service ranging from specialized products to comprehensive outsourced compliance programs. Visit ComplianceMAX at www.compliancemax.com.

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