



# Resources™ Fact Sheet

A complete compliance program at an affordable price

	Investment Advisers		Broker-Dealers	
	Resources™	ResourcesPLUS™	Resources™	SBC Resources™
<b>Cost per Month*</b>	<b>\$150</b>	<b>\$300</b>	<b>\$150</b>	<b>\$300</b>

**Features Included:**

Monthly Compliance Workbooks	X	X	X	X
On-line Business Continuity Plan	X	X	X	X
On-line Policies & Procedures (IA's Only)	X	X		
Forms & Documents Library	X	X	X	X
Quarterly Newsletter—OBSERVATIONS™	X	X	X	X
Monthly Web Seminar on Compliance Related Topics	X	X	X	X
Annual Updates & Amendments—IARD, ADV Part 1 & II, Schedule F		X		
Annual Updates & Amendments—CRD, Form BD, U4, U5				X (hourly rate)
ComplianceMAX Consultant Dedicated to Your Account (Primary + Backup)		X		X
One Hour of Consulting Time/Month Included		X		
Additional Consulting Available at \$150/hour (billable in 10 minute increments)	X	X	X	X
Number of RR Licenses included with unlimited access to and use of:				<b>10</b>
ComplianceMAX Firm Element Training				X
Insurance CE (additional fee: \$25/course/RR)				<b>Optional</b>
ComplianceMAX Compliance Forms & Disclosures including: Outside Business Activities   Personal Investment Accounts Private Securities Transactions   Advertising Review Complaints Review   Annual Attestations   Form BR				X
ComplianceMAX CCO Tools including: AML Self Audit   3012 Gap Analysis Workbook Detached Office (RR) Self Audit				X
Additional RR Licenses Available for \$100 Each per Year				X

**SBC Resources™ Sample Pricing\***

<b>25</b> Registered Representatives	<b>\$425/month</b>
<b>50</b> Registered Representatives	<b>\$633/month</b>
<b>100</b> Registered Representatives	<b>\$1,050/month</b>

\*Minimum one year contract, discounts available for multi-year contracts. Initial set-up fee of \$1,500. Pricing subject to change without notice.

To reach us, visit our website at  
[www.compliancemax.com](http://www.compliancemax.com)  
 or call us at **1.888.879.7990**