

Compliance & legal services

- ▶ BFWM retains RIA in a Box: Combined with our BFMW team, RIA in a Box compliance experts with the aid of their online software platform helps us to better manage and automate regulatory responsibilities. The service is designed to assist both our SEC and state-registered duties.
- ▶ Registrations & Licensing: BFWM's registrations & licensing department works closely with all of our advisors to ensure that their licenses move properly and efficiently while transitioning to BFWM, and that their registrations and licenses are maintained and updated annually.
- ▶ Advertising and Correspondence Review: Our compliance team reviews and supervises all fee-based advertising and correspondence.
- ▶ Customized RIA Account Agreements: As a service to our advisors and their varying brands, our compliance team will brand our Wealth Management and Consulting Agreement or Retirement Plan Consulting Agreement with our advisors' logos if so desired.
- ▶ BFWM's Outside General Counsel: BFWM utilizes our outside general counsel off site to assist us and our advisors with various legal needs.