



Form CRS Automator

Market Challenge:

The Securities and Exchange Commission (SEC) finalized and adopted a series of rules to improve upon the quality and transparency of retail investors' relationships with both registered investment advisers as well as broker-dealers. All registered investment advisers and broker-dealers that either offer or currently provide services to retail investors will be required to file Form CRS with the SEC and then distribute copies accordingly to their current and prospective clients and customers by June 30, 2020.

Investment advisers and broker-dealers are challenged to compile compliant and accurate information while interpreting and understanding the SEC's Form CRS robust requirements and implementing by the upcoming deadline.

Our Solution:

Our team of compliance experts uniquely brings together data-driven solutions to support financial services firms in navigating a clear and strategic path through the complex and overlapping regulatory requirements they face globally.

CSS has developed the first comprehensive, fully customizable and web-based software tool to create the Form CRS, which investment advisers and broker-dealers are required to file with the SEC or FINRA, respectively, by June 30, 2020. Form CRS is also required to be provided to your existing retail clients by July 30, 2020.

Benefits:

- Built in conjunction with compliance experts
- Allows compliance teams to bypass endless hours researching the adapting release and instructions
- Maps directly to your Form ADV Part 1, or Form BD, to produce the correct descriptions applicable to your business
- Provides ability to collaborate with colleagues
- Enables shared access by authorized personnel
- Minimizes response time to inquiries

Features:

- Consistent with SEC and FINRA data
- Exports to Microsoft Word for customization
- Complies with mandated requirements
- Gives structure to your Form CRS
- Builds the framework for two/four compliant pages to provide consistency with your regulatory filings
- Embedded with requirements and logic from the SEC Release (524 pages) and CRS Instructions (18 pages)
- Web-based with no software configuration needed

We Feel Your Pain:

- Understanding the SEC's requirements in the 500-plus page adopting release
- Preparation time and cost
- Tools in the market that are not tailored precisely to your business

Don't wait to comply.

Form CRS Automator is available for purchase today. Visit: www.compliancesolutionsstrategies.com/form-crs/ or email our compliance experts at FormCRS@cssregtech.com for more information on the tool or regulation.

Regulatory Reporting
Regulatory Data Management
Trade Monitoring & Analysis
Compliance Services

Driven by Data. Backed by Service.

CSS uniquely brings together innovative technology-driven solutions to support financial services firms in navigating a clear and strategic path through the complex and overlapping regulatory requirements they face globally. Our services cover a full range of compliance disciplines spanning regulatory reporting, regulatory data management and distribution, post-trade monitoring and analytics, and compliance management and best practice.

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