



**PEOPLE-FIRST COMPLIANCE.  
BUSINESS-FORWARD THINKING.**

**Serving Regulated Financial  
Services Companies, including:**

- **Advisors**
- **Broker Dealers**
- **Exempt Reporting Advisers**
- **Private Equity**
- **Private Funds**
- **Registered Investment Companies**

# ■ ■ ■ Welcome to a New Kind of Compliance Partner

At 3iCO, we believe compliance should do more than check boxes. It should build trust, support growth, and feel like a natural extension of your team. Unlike traditional compliance firms we're a group of former CCOs and lawyers who saw a better way... and built it!

Our deep regulatory knowledge and legal insight ensure clients receive actionable, up-to-date, and practical guidance that goes far beyond standard protocols.

## WHAT MAKES US DIFFERENT

Our compliance officers integrate directly into your operations, working as part of your team while maintaining the independence needed for true regulatory oversight. Our approach is hands-on, tailored, and deeply personal. We work alongside you, not above you.

It's the ideal balance between insider understanding and objective governance.

## WHO WE WORK WITH

We support RIAs, Broker-Dealers, Investment Companies, ERAs, Private Funds and Private Equity, whether you need a fully outsourced CCO or independent support for your in-house compliance team.

Our consultative support strengthens your existing framework, keeping your internal team informed, prepared, and proactive.



## HOW WE HELP

Your firm is unique, and so are your compliance needs. We custom-build every engagement to reflect your structure, goals, and growth stage, ensuring solutions are as dynamic as your business, by providing:

- Outsourced CCO placements, or independent compliance consulting support for your internal team
- Custom policies and procedures, compliance calendars, and testing tools
- Real-time education and training modules
- Regulatory filings (ADV, U4/U5, Form CRS, and more)
- Risk assessments and mock regulatory exams
- Ongoing advice, reminders, and alerts

## WHY IT WORKS

We're entrepreneurs too, so we get the urgency, the stakes, and the pace.  
We're a team, not a lone consultant so, you get multiple minds, not one.

We're not just advisors...we're allies!

## SIMPLE, TRANSPARENT PRICING

- Flat monthly pricing
- Hourly rates and custom packages also available



# Standard CCO Package

## OVERVIEW & PRICING

- Outsourced CCO Services – Flat Monthly Fee
- Designated Competent and Experienced CCO with regulatory compliance experience in the investment management industry
- CCO will maintain oversight and will execute on all required aspects of running a 206(4)-7 compliance program

## OUTSOURCED CCO SERVICES

- Provide Independent Third-party CCO to run the program with administrative support
- Establish and maintain compliance program
- Draft and Maintain policies and procedures and Code of Ethics
- Draft and maintain ADV, Brochure, Form CRS
- Testing and training tools, compliance calendar
- Compliance Announcements, Reminders, Email Alerts
- Ongoing recommendations, best practices
- SSA (Super Account Administrator) coordination Annual renewal notifications
- Form U4/U5 filings and update
- Compliance Updates
- Bi-weekly compliance calls
- Marketing and sales Literature Review
- Regulatory Filings as needed (13F, 13H, Form PF)
- Email review
- Annual Risk Assessment
- Code of Ethics Administration
- Annual 206(4)-7 Report
- Compliance Training
- Examination Support\*



## TECHNOLOGY WITH A HUMAN TOUCH

Backed by over 100 years of collective compliance expertise, our custom-built proprietary platform gives you control and clarity with real-time updates, an intuitive client portal to keep everything organized, and built-in education tailored to your team.

## START SMART. STAY READY.

The best time to think about compliance is before you need it. Let's talk about how we can support your business...strategically, respectfully, and with heart.

## YOUR FIRST CALL TO US IS YOUR STRONGEST MOVE.

### Contact Us:

**Laura Lee Flanagan, PhD, JD**  
Counsel, Principal, CEO & Board Member  
lflanagan@3icollc.com  
Tel: 917.913.5619  
3iCO  
1120 Avenue of the Americas, 4th Floor  
New York, NY 10036

**Justin Dausch, Esq.**  
Chief Operating Officer  
jdausch@3icollc.com  
Tel: 781.771.6032  
3iCO  
101 West elm Street, Suite 400  
Conshohocken, PA 19428

