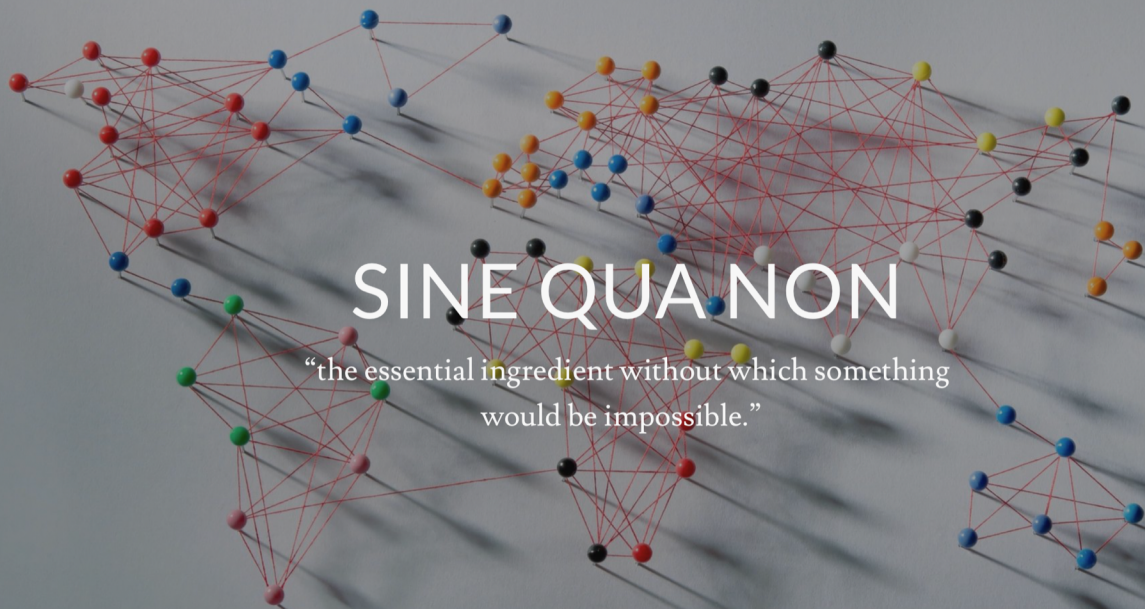




Essential Compliance & Financial Services

www.SQN-Global.com



We appreciate many financial service institutions are overwhelmed with the ever-changing regulatory requirements and ongoing reporting demands, not to mention the costs associated with building a team to manage everything in-house.

SQN Global is designed to solve these, and other, issues as an outsourced partner and is uniquely qualified to provide cost-efficient and customizable packages of essential compliance / regulatory, financial services / reporting and accounting / business operations functions.

The following is an expanded list of the services we provide, but please know we are capable of creating customized solutions to meet your specific needs.

At SQN Global, our expertise and services have been refined via real world experience across a variety of industry perspectives. Our background further allows us to understand how FINRA / SEC rules impact all areas of your business, from the back office to the front.

COMPLIANCE / REGULATORY

Listed below is an expanded view of the various compliance / regulatory functions we can perform for your firm, which includes the critical role of Chief Compliance Officer (“CCO”).

Chief Compliance Officer Duties Oversight and Testing Creating/Updating Controls, Policies & Procedures Registration and Licensing Registered Representative Compliance Client KYC and AML

- Assisting in required third party annual audit
- Liaison between firm and regulator
- Day to day compliance with books and records of all items, and retention of such
- Supervisory Controls & Testing
- Series 24 responsibilities as desired
- Supervisor of sales/ traders/ or any other roles desired
- Options principal
- Trading Review / Oversight - Trade Reporting Supervisor
- Review trade reporting to regulators
- Review trade exception reporting (market manipulation, best ex, insider trading, etc.)
- Outsourced Day to Day CCO
- Form BD Updates / Electronic Filing
- Outside Business Activities
- WSPs - draft and maintenance of membership applications
- FINRA Registration and Licensing
- Review firm communications (internal and external)
- Annual and Targeted training, internal
- Institutional Sales Activities
- Multi-State Registrations
- Preparation of Continuing Education Needs Analysis and Training Plan
- Customer Account Review (KYC) and required Principal Sign Offs
- Review of New Accounts and ensuring ongoing renewal
- Equities, Credit and other Trade Reviews
- 15a-6 Business Review, Supervision, Testing
- AML testing and review
- FinCen Reporting
- Clearing Arrangement and Agreement
- Hiring And Supervision Of Registered Representatives And Associated Persons
- Employee Brokerage Account Review
- Approval Of Advertising/Sales literature including Signage, Letterhead, and Business Cards
- Cold Calling Oversight and Maintenance of Do Not Call List
- Branch Office Audits (Includes reviews of OSJ, Non-OSJ, and Non Branch Locations)
- Outsourcing Arrangements
- Privacy and Customer Information Safeguarding
- Customer Complaints
- Assist with achieving annual regulatory certifications/ audits

FINANCIAL SERVICES / REPORTING

Listed below is an expanded view of the various financial and reporting functions we can perform for your firm, which includes the critical role of the Financial and Operations Principal (“FinOp”).

Chief Financial Officer Duties FINOP (Series 27/28) Duties Prepare / Maintain Financial Books & Records Liaison Between Auditors and Regulators

- Review the monthly close
- Preparation and Maintenance of Financial Books and Records
- Ongoing net capital calculations: Preparation and Compliance with Net Capital
- Opining on changes to business and impact to net capital calculations
- Electronic filing of any and all other financial reports/ filings (FOCUS, SSOI, SIPC, OBS, annual audit, withdrawals of equity, etc..)
- Assisting and preparation of the annual required audit and financials, notes to (financial).
- Liaison between firm and outside auditors during annual financial audit
- Liaison between firm and regulator on financial matters
- Serve as day to day FINOP (27/28)
- Preparation and Maintenance of Regulatory Financial Reports
- Fidelity Bond Application/Renewal
- Clearing Agreement
- Escrow Account Review and Establishment
- Banking relationship management
- Ongoing tax documentation assist
- 401(k) assist
- Other business filing assists (annual business state filings, EE Benefit filings, etc.).
- FINOP / Chief Financial Officer / Controller duties

ACCOUNTING / BUSINESS OPS

While many of our services are specific to financial institutions, SQN Global also provides accounting services to a broad spectrum of companies interested in outsourcing these functions.

These functions typically include (though not limited to) the following range of services:

Accounts Receivable and Accounts Payable
Monthly Books, Journals and Close
Budgeting and Forecasting
Tax Filings
(Branch) Office Supervision
Business Consulting Projects
New Business Line Startup and Applications

- Bank Reconciliations
- Accounts payable and receivable
- Client invoicing and Vendor payments
- Journal Entry posting; to include recording all expenses and revenues items (including accruals)
- General preparation and maintenance of accounting books and related reports/ records
- Preparation of financial statements and board presentations
- Budgeting and Forecasting to meet your Firm's demands
- Work with outsourced payroll processing entities
- Preparation of some tax filings (CRT, UBT, 1099, 1096, Sales and Use tax, etc..)
- Coordinating with outsourced tax firm on others

For more information or to request a
proposal, please contact:

Erin Baskett

CEO

erin.baskett@sqn-global.com

U.S.A. | +1 636.675.3746

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