

Foreside has strategic-thinking, compliance-focused professionals who provide a range of distribution services. As a limited purpose broker-dealer, we provide statutory / medallion distribution services for registered funds and placement agent services for private placements.

Foreside can:

- Serve as principal underwriter
- Apply for and maintain an NSCC membership participant number for domestic or foreign funds, such as SICAVs and collective trusts
- Form a broker-dealer, including corporate entity, registration with the SEC and relevant state jurisdictions and obtaining FINRA membership
- Maintain broker-dealer agreements
- Register with states and FINRA
- Renew filings and state-specific requirements
- Submit annual reports to state jurisdictions and regulatory organizations
- Maintain relevant insurance
- Maintain Form BD

Marketing Material Overview

Foreside and its affiliated broker-dealer firms review thousands of pieces of material each year. This material includes fund fact sheets, websites, article reprints, presentations, annual and semi-annual reports, shareholder letters and broker-dealer use only communications.

We facilitate the sales material review process by (i) providing comments in connection with applicable SEC and FINRA rules and (ii) using a proprietary web-based database to monitor and track the use of materials for compliance with these rules.

Our services include:

- Provision of an established framework and standards for the compliance review process
- Coordination of all communication between Foreside and client staff with timely reviews and approvals
- Maintenance of an “Advertising and Sales Literature Compliance Manual” to current regulatory requirements
- Provision of ongoing education to meet the changing SEC and FINRA regulatory landscape



Our integrity.
Our guidance.
Your success.

Distribution and Compliance Professionals Dedicated to Your Success

Foreside is committed to delivering innovative services that not only meet current requirements, but also anticipate emerging regulatory and marketplace developments. Clients rely on us to provide the information, operational support and strategic advice that are needed to thrive in today’s complex arena of investments, compliance and risk management.

We collaborate with recognized service providers to ensure our clients receive informative and quality services. Foreside is not affiliated with any of its partner service providers.

Discover the Foreside Difference

Precision, expertise and integrity, combined with professional insight, position Foreside to offer cost-effective, tailored solutions that allow our clients to focus on asset management without sacrificing distribution and compliance best practices.

Interested in learning more?

Visit our website, www.foreside.com, or contact Mark Fairbanks, Business Head, Medallion Distribution Services, at 207.553.7112 (mfairbanks@foreside.com) or David Whitaker, Chief Operating Officer, at 207.553.7142 (dwhitaker@foreside.com).