

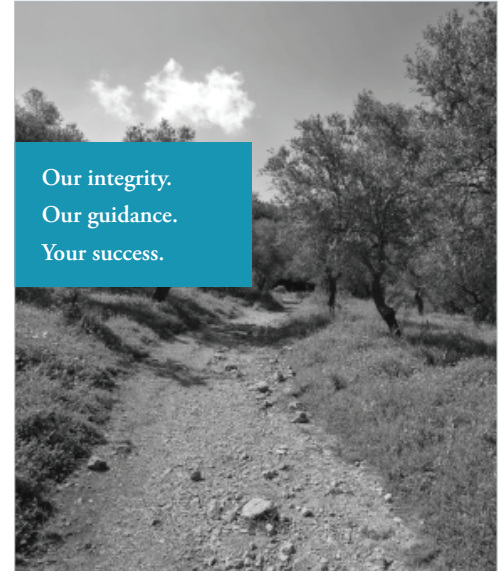
Foreside has strategic-thinking, compliance-focused professionals who can provide comprehensive Series 79 FINRA licensing services for investment bankers and M&A advisers.

### Foreside can:

- Provide licensing and compliance services for registered representatives through a FINRA qualified, limited purpose broker-dealer
- Process, maintain and update all FINRA and state registrations for licensed individuals
- Furnish licensed individuals with required continuing education including the annual “Firm Element” training and ongoing “Regulatory Element” training
- Conduct on-site annual compliance meeting for all registered representatives

### Foreside’s Compensation-Related Services Include:

- Managing the flow of transaction-based compensation through Foreside to the registered representative
- Providing due diligence review of a transaction related to supervisory principal oversight
- Maintaining financial books and records related to transaction-based compensation



Our integrity.  
Our guidance.  
Your success.

### 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](http://www.foreside.com), or contact Mark Redman, Business Head, M&A Services, at 614.416.8834 (mredman@foreside.com) or Meredith Farwell, Chief Compliance Officer, at 207.553.7126 (mfarwell@foreside.com).