



# SALEM ADVISORY GROUP, LLC

REGISTERED INVESTMENT ADVISORY

## Internship Syllabus 2016

- A. Registered Investment Advisor
  - 1. Owner
  - 2. Management
  - 3. IARs
  - 4. Clientele
  
- B. Maine Office of Securities
  - 1. Investment Adviser Licensing (RIA)
  - 2. Investment Adviser Licensing (IAR)
  - 3. Chapter 515
  
- C. Ethics
  
- D. Written Supervisory Policy & Procedures
  
- E. Business Continuation Policy
  
- F. Cyber Security Policy
  
- G. Blue Sky Laws
  
- H. ADV
  - 1. Part 1
  - 2. Part 2A
  - 3. Part 2B
  
- I. Salem Client Paperwork
  - 1. Investment Management Agreement
  - 2. Investment Policy Questionnaire
    - a. Patriot Act
  
- J. CRM System
  
- K. Custodian
  - 1. Required Documentation
  
- L. Morningstar Office
  - 1. Performance Calculations
  - 2. Billing
  
- M. Client Reviews
  
- N. Marketing

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*If you would like a copy of Salem Advisory Group, LLC's Form ADV, you may visit the IARD Public Disclosure website, [www.advisorinfo.see.gov](http://www.advisorinfo.see.gov) or contact our office at the address or phone number above.*