



News, Insights, and Disruptive Thinking from RiskPro WealthTech Visionaries

Behind
the
SHIELD

CHECK OFF YOUR OBLIGATIONS WITH RISKPRO®

Disclosure Obligation

RiskPro is a powerful tool for providing uniform disclosure for ensuring that firms consistently capture and align investor intent with recommended investments. The RiskPro proposal is highly configurable to include firm-specific disclosures to support Reg-BI for every investment proposal. RiskPro can be used to include a Form CRS as an attachment to the proposal as well.

Care Obligation

RiskPro's investor proposals provide documented support that the investment professional has provided diligence, care, and skill in making an investment recommendation that aligns with the investor and clearly communicates the potential risks and rewards of the investment.

Compliance Obligation

RiskPro provides a secure bi-directional monitoring capability whereby the home office and the investment representative see the same compliance alerts on the same accounts.

RiskPro provides compliance aging alerts so that your firm's investor follow up and review campaigns align with alert durations.

RiskPro can embed "point of action" prompts specific to your firm's training materials and provide scripted user engagement as part of our onboarding.

Conflict of Interest Obligation

Your firm's conflict of interest disclosures can be included and delivered via the RiskPro proposal.

At RiskPro, we have created an automated compliance "team member" with your business in mind. Give your compliance team and investment representatives a huge boost by allowing them to see the same information and alerts on every investor account under your fiduciary responsibility.

Our solutions-driven development team understands that it takes ALL members of your firm moving forward in the right direction to achieve your business goals in the most compliant way possible.

Let us supply you with the cutting-edge technology that paves your way.

"If everyone is moving forward together, then success takes care of itself." - Henry Ford



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