FIN Group Compliance Back Office

Internal training one-pager — how consultants deliver compliance work on RegReview, InvestPrep, and ADScanner. Consultants bring judgment; the back office supplies structure, consistency, and proof of work.

The Operating Model — Six Layers

Layer	What it means in practice
1. Intake & firm record	One firm record per client: registrations, CRD/IARD, entities, funds, reps, renewal dates. No email-folder archaeology.
2. Workflow engine	Templated workflows for 206(4)-7 annual review, 3120/3130, 3310 AML testing, marketing review, personal trading, vendor DDQ, and filing/renewal cycles — each with an owner and due date.
3. Deliverable templates	Redlines, gap-scan findings, testing workpapers, WSP/manual updates, and review memos come from shared templates. Same output regardless of who staffs it.
4. Evidence & audit trail	Approvals, attestations, marketing sign-offs, and change logs timestamped as work happens. Exam/DRL responses are exported, never reconstructed.
5. Staffing model	Every engagement has a primary and backup consultant plus back-office technology support. Vacations and capacity spikes do not stall clients.
6. QA & supervision	Tier-based review cadence with a named reviewer before anything leaves the shop. Scope caps and step-up triggers keep work inside the priced fee.

The Technology Stack

- **RegReview (Compliance OS)** — manual/policy management, annual review, testing workpapers, marketing log, vendor log, personal trading, filings and renewals.
- **InvestPrep (Private Capital OS)** — subscription documents, capital calls, distributions, investor reporting, NAV close for private-fund clients.
- **ADScanner (Marketing Review)** — AI pre-review of ads, websites, and social content against the Marketing Rule and FINRA 2210 before a human signs off.

Non-Negotiables for Consultants

- Open the workflow first. If the work is not in a workflow, it is not tracked, staffed, or billable.
- Use the template. Client-specific edits are fine; structure, headings, and rule citations stay standard.
- Log evidence the day it happens — approvals, attestations, and marketing sign-offs are not batched at quarter end.
- Keep the firm record current: registrations, reps, funds, and renewal dates before anything else.
- Escalate out-of-scope asks through the step-up trigger instead of absorbing them into the fee.
- Primary/backup hand-off: notes, open items, and next due dates updated before any planned absence.

Onboarding Path for a New Consultant

Week 1	Platform access, this one-pager, workflow and template walkthrough, evidence hygiene session.
Week 2-3	Shadow one full engagement cycle end to end (intake through deliverable and evidence export).
Week 4	Own a client file with reviewer sign-off on every deliverable; graduate to standard QA cadence after.

Offered to Other Consulting / Service Firms

Model	What the partner gets	Indicative price
Shared Back Office	Seats in our workflow engine and template library; onboarding plus quarterly refresh training.	From $1,500/mo
Co-Branded Back Office	Partner brand on deliverables and client portal; FIN Group bench for overflow and specialty work.	From $3,500/mo
White-Label Back Office	Private-labeled Compliance OS on partner domain with SSO; FIN Group operates the back office behind the brand.	$15K-$50K build + hosting

Pricing is indicative and scoped per firm by seat count, client volume, and bench usage. Platforms are licensed, not sold; partner workspaces and evidence export in full. Client contracts stay with the partner firm in the co-branded and white-label models.

Internal use. Do not share SOPs, hour budgets, or QA thresholds with clients or prospects. Questions: cory@fincompliance.io • 650-305-2688 • fincompliance.io/back-office