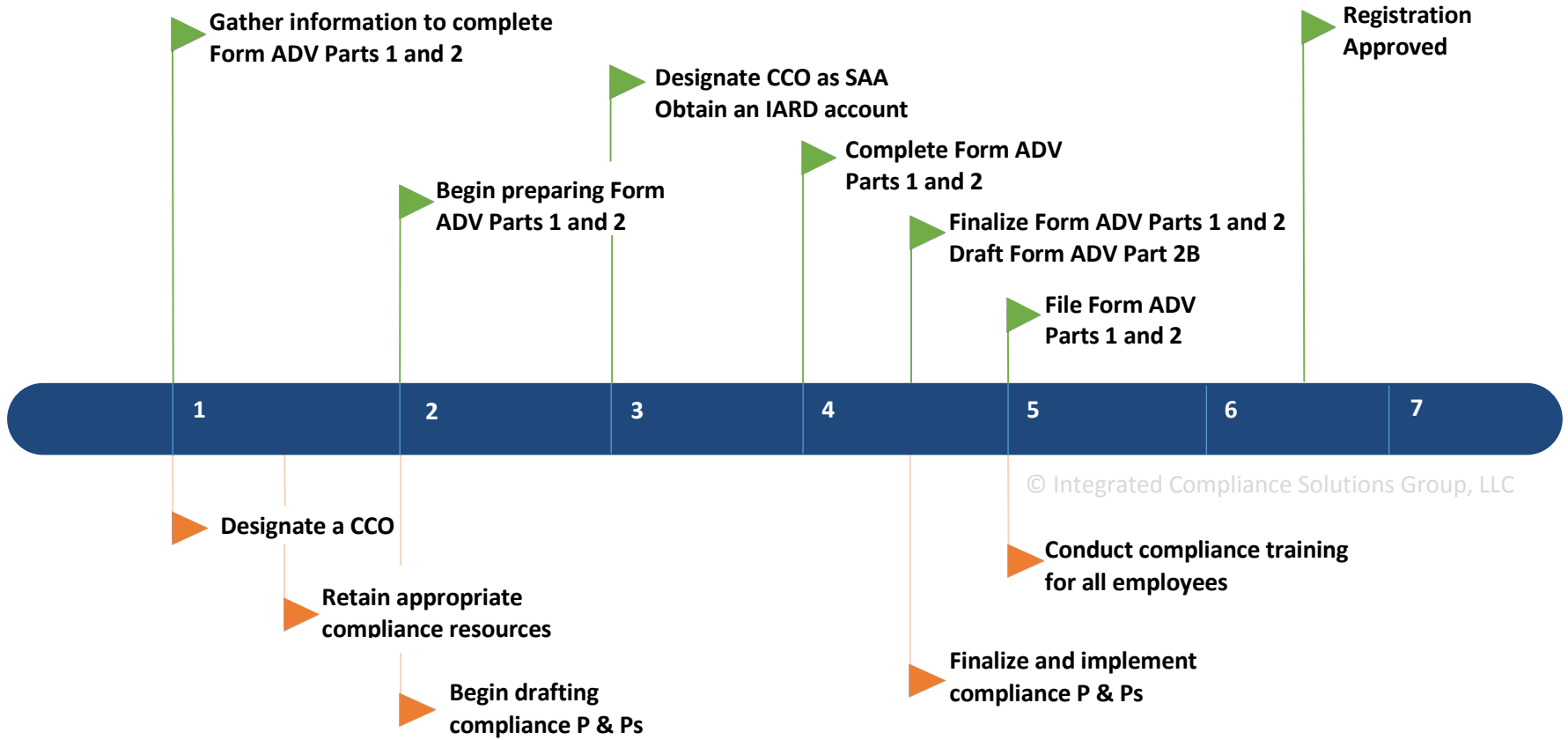


# SEC REGISTRATION TIMELINE



## KEY COMPLIANCE POLICIES AND PROCEDURES



**KEEP  
CALM**

**AND**

**FOLLOW THE  
COMPLIANCE MANUAL**

**ICS  
GROUP**

The following is a list of key compliance policies and procedures that can help build the foundation of an effective compliance program:

- Gifts & Entertainment
- Marketing & Communications
- Cybersecurity
- Social Media
- Personal Securities Trading
- Trade Allocation
- Whistleblowing
- Conflicts of Interest
- E-mail retention/monitoring
- Investment Guidelines
- Political Contributions/Pay-to-Play
- Third Party Solicitors
- Proxy Voting
- Best Execution