



Knowledgeable

Experienced

Affordable

ABOUT

- Trinity Compliance Partners is a regulatory compliance consulting firm that provides customized compliance support services and solutions.
- The co-founders and principals of Trinity are Andrew Rhee and Dave Santiago.
- Andrew and Dave are Chartered Professional Accountants (CPA, CAs) and former compliance accountants/examiners at the Ontario Securities Commission, with over 15 years of regulatory compliance experience.
- While at the OSC, they planned, conducted and supervised compliance reviews of registrants.
- Andrew has worked on a variety of projects for the OSC, including helping to develop the compliance review programs for Exempt Market Dealers and Investment Fund Managers, and is a former member of the CSA Compliance Committee.
- Dave has also worked on a variety of initiatives for the OSC, including helping to plan and conduct the OSC's KYC and suitability sweep in 2012 and draft the 2011 annual summary report for registrants, and is a former member of the CSA's cost disclosure and performance reporting (CRM2) committee.

SERVICES

- We offer a range of services to help registered Portfolio Managers, Exempt Market Dealers, Scholarship Plan Dealers and Investment Fund Managers meet their ongoing regulatory obligations.
- Our services include:
 - mock regulatory compliance reviews
 - reviews of anti-money laundering compliance regime, including policies and procedures, risk assessment and ongoing training program
 - regulatory assistance, including helping companies respond to regulator inquiries, letters or reports, or supporting them during an OSC compliance review
 - new registrant services, including a preliminary compliance assessment and help establishing an effective compliance system
 - developing or revising an organization's written policies and procedures manual
 - operational compliance support, and
 - engagement as a Compliance Consultant or Monitor under imposed terms and conditions.

CONTACT

- To set up a meeting or for more information, please contact us.

Trinity Compliance Partners Inc.

100 King Street West, Suite 5600, Toronto, ON, M5X 1C9
Telephone: 416-306-5783 Fax: 416-644-8801

Andrew Rhee, CPA, CA – Director

Mobile: 647-921-9535

arhee@trinitycompliancepartners.com

Dave Santiago, CPA, CA, CFA, CFE - Director

Mobile: 647-921-9577

dsantiago@trinitycompliancepartners.com

www.trinitycompliancepartners.com

Insightful Regulatory Consultants