

Thornton & Associates, LLC to Leverage Best-in-Class Capabilities of COMPLY's Premier Compliance Technology to Bolster Innovative Automation and Drive Comprehensive Compliance Management for Clients

COMPLY's Leading Code of Ethics Monitoring and Direct Broker Feed Ingestion Engine to Support Thornton & Associates' Robust Compliance and Regulatory Services

NEW YORK, NY, April 17, 2024 – [Thornton & Associates, LLC](#), a leader in the compliance industry, providing customized regulatory and compliance services to FINRA member broker-dealers and SEC/State Registered Investment Advisers, today announced plans to enhance compliance services offerings with the use of COMPLY technology and automation. [COMPLY](#), the global market leader of compliance software, consulting, and education resources for the financial services sector, has proven to be an innovator in the regulatory technology space, continuing to provide integral automation solutions as well as cutting-edge technology capabilities which solve for today's core compliance challenges.

Founded and staffed by former NASD/FINRA examiners and compliance professionals, Thornton & Associates, LLC enables firms to scale growth while maintaining compliance with customized service offerings designed to address the evolving regulatory landscape. With the decision to integrate COMPLY's premier compliance technology, the firm will be better positioned to continue its growth and serve larger segments of the market with enhanced capabilities.

"The partnership between Thornton & Associates and COMPLY signifies a new era of compliance excellence," said Thornton & Associates President Steven L. Thornton. "With their robust compliance management platform integrated into our operations, we are poised to elevate our service standards and redefine the client experience in regulatory compliance."

The strategic integration will allow Thornton & Associates, LLC to tailor compliance management solutions to meet the unique needs and business models of each client, strengthening its ability to help clients maintain compliance with FINRA, SEC, and state securities regulations effectively. Thornton & Associates, LLC will leverage, among other solutions, COMPLY's Code of Ethics monitoring, backed by over 300 direct broker feeds. As the most powerful source of data on employee trades available on the market, this solution will enable clients to track preclearances against actual trades effectively and efficiently, enabling more comprehensive compliance.

"COMPLY is known in the market for introducing cutting-edge technology solutions backed by the knowledge and expertise of our own in-house compliance and regulatory experts," said COMPLY Chief Product Officer David Bliss. "Recognizing the need for enhanced automation capabilities, given today's evolving and data-driven landscape, we saw the potential impact our solutions could have for Thornton & Associates from the very first meeting. Like many of our clients, continued growth requires, among other things, investments in automation technology, which drives scalability. With the integration of COMPLY's technology, I look forward to seeing the heights our new client will reach."

About COMPLY

As a global market leader in regulatory compliance solutions, [COMPLY](#) combines the power of regulatory technology, services and education to empower Chief Compliance Officers (CCOs) and compliance professionals to easily navigate the regulatory landscape. COMPLY enables firms to scale their growth, while remaining vigilant in their compliance efforts by providing solutions designed to manage the burden of complex compliance tasks. Our deep bench of industry expertise – which includes expansive knowledge in technology enablement and regulatory compliance protocols and processes – supports more than 7,000 clients, including investment management firms, private equity firms, hedge funds, broker-dealers, registered investment advisers and other financial service sector participants.

COMPLY continually supports clients in their work to proactively address core compliance challenges – minimizing risk, addressing critical priorities, and meeting new demands as the industry evolves and the firm scales.

About Thornton & Associates, LLC

Thornton & Associates, LLC (TAA), a leading provider of regulatory and compliance services, provides customized compliance support to FINRA member Broker Dealers and SEC/State Registered Investment Advisers nationwide. Recognizing the multifaceted challenges inherent in navigating the regulatory landscape, TAA is committed to assisting Broker Dealers and RIAs in effectively managing compliance with SEC, State, and FINRA regulations while focusing on business growth.

Offering a full spectrum of compliance services, including general compliance support, FinOp registration, AML Independent Testing, Series 24 registration, Written Supervisory Procedures/Code of Ethics maintenance, CRD assistance, ADV and Form CRS updates, among others, TAA provides comprehensive coverage for its clients' compliance needs.

TAA understands that each client's business is unique. Therefore, TAA has adopted a tailored approach to compliance solutions, recognizing that there is no one-size-fits-all solution. Through meticulous customization, TAA develops practical and time-efficient policies, procedures, and systems aimed at ensuring adherence to all relevant rules and regulations.

Backed by over 25 years of experience, TAA's consultants boast unparalleled expertise in addressing clients' outsourced compliance requirements. Supported by a team of highly qualified professionals, TAA has forged strategic partnerships with leading regulatory service providers, such as COMPLY, to provide clients with access to cutting-edge compliance technologies.

For further information about TAA's compliance solutions, interested parties are encouraged to contact TAA at (877) 542-6759.

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Media Contacts

Brianna Fredriksen

COMPLY

bfredriksen@comply.com