

Cipperman *Compliance* services LLC

Outsourcing. Consulting. Tools.



LET US HELP YOU CONQUER THE COMPLEXITIES OF REGULATION

Cipperman Compliance Services offers fund sponsors a unique mix of expertise, experience, independence and flexibility to meet their compliance requirements.

With the increasing complexity and visibility of regulatory oversight, more and more fund sponsors are choosing to utilize independent partners in building and executing compliance programs. The seasoned team of industry professionals at Cipperman Compliance Services provides fund sponsors, boards, compliance officers, and investors with confidence that an independent firm is working to ensure regulatory compliance.

Now, more than ever, you need a partner who can guide and support you through the fund regulatory environment.

*Outsourcing. Consulting. Tools.
Whatever your compliance needs, we'll customize a solution to fit your business.*

We maximize the effectiveness of your compliance process with support that matches your fund's needs.

Outsourced CCO

We can provide the full array of CCO functions:

- Provide a designated CCO
- Review or create the Fund Compliance Manual
- Assist in the implementation of the Fund Compliance Manual
- Report to the board at quarterly meetings
- Conduct the annual 38a-1 compliance review
- Create and maintain a regulatory compliance calendar
- Review compliance of key service providers

Support Your In-house CCO

We can also serve as a support resource for your in-house CCO

- Take responsibility for a specific set of duties, based on your needs
- Develop a flexible program around current processes
- Provide ad hoc services throughout the year at your request

One-Time Assessments/Consulting

- Review current procedures
- Assess processes and make recommendations

Adviser Services

- Draft policies and procedures
- Conduct the 206(4)-7 compliance review
- Advise C-level executives



Cipperman Compliance

Services is an independent

entity. Given the visibility of regulatory oversight in today's

environment, an independent partner implementing the compliance process is extremely valuable to investment managers and fund sponsors.

INTERPRETING THE COMPLEXITIES OF COMPLIANCE REGULATIONS ON A DAILY BASIS

We not only design compliance programs and implement them so our clients can focus on managing their clients' assets and growing their businesses, we also assemble and interpret important industry developments at our blog, *Investment Management Law*.

See for yourself. Visit blog.cipperman.com or scan this QR code with your smartphone and link directly to it.

Or get "Our Take" alerts daily, directly to your inbox: you'll receive this timely, concise, and practical information by becoming part of our e-mail distribution list.

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Solutions to fit your business.

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