



## SEC coming to your house soon?

It's more likely than ever that your firm will be examined in the next 3 years.

### Will you be ready?

With the increased complexity and visibility of SEC oversight, more investment organizations are selecting independent compliance partners to help them with their compliance programs.

Now would be an excellent time to explore that possibility for your firm.

Here are critical areas to investigate when looking for an outside compliance provider:

1. Team size, depth and experience
2. Communication and transparency
3. Processes and timelines
4. Accountability (i.e., CCO, implementation or traditional consulting)
5. Investment management compliance focus
6. Years in compliance business

It should come as no surprise when your research leads you to the compliance professionals known for building a culture of compliance: *Cipperman*.

#### About Cipperman Compliance Services

- We are a compliance firm devoted exclusively to the investment management industry.

#### Experience: Our DNA

- All our professionals have worked for major asset management firms, law firms and other service providers to the asset management industry.
- Our diversity of experience—legal, financial, compliance and operations—enables us to provide a customized, best-practices perspective.

#### Our Working Style

- You will have 24/7/365 access. We ensure constant communication.

#### Accountability

- Unlike a consulting firm, we hold ourselves accountable for all outcomes
- Cipperman professionals not only stand behind our work, we stand by you, including leading or supporting—as needed—an SEC examination.

#### Flexibility

- We can serve as your CCO or work on a specific set of services to support your in-house compliance department.

Cipperman *Compliance* services LLC

*Building a Culture of Compliance*

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