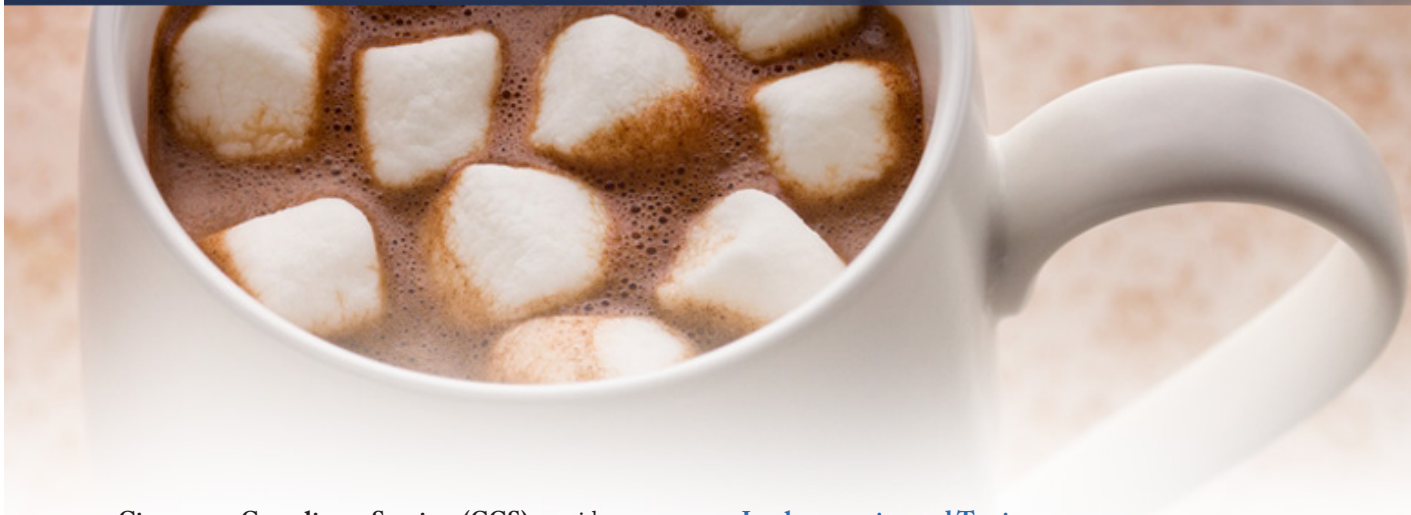


WE CAN HELP YOU SLEEP AT NIGHT.

Effective compliance requires experience and expertise.
Sometimes that requires the comfort of an outside resource.



Cipperman Compliance Services (CCS) provides compliance services to investment organizations lacking the requisite expertise or resources.

With the increasing complexity and visibility of regulatory oversight, investment firms are choosing to utilize independent partners to build and execute compliance programs.

CCS offers an independent third-party perspective—and a seasoned team of industry professionals to implement the compliance process.

Our services range from acting as your Chief Compliance Officer (CCO) and compliance department to performing mock audits. We leverage our implementation skills and operational know-how to meet all SEC compliance requirements.

Dedicated to client service, we use an integrated approach to maximize the effectiveness of your regulatory compliance program. Our experience enables us to understand your needs and where you would benefit from our resources. We have a full complement of models to support your compliance efforts, which can include:

Management

- Designate a person to serve as CCO
- Maintain a compliance calendar and manage licensing requirements

Implementation and Testing

- Implement/Maintain the Compliance Manual and related policies and procedures
- Conduct the Annual Review required by Rule 206(4)-7

Response and Resolution

- Provide regulatory advice and respond to internal inquiries

Reporting and Filing

- Prepare/file ADV amendments and state notice filings
- Prepare 13F filings

Review and Approval

- Review marketing materials for compliance with applicable SEC and FINRA rules
- Prepare compliance materials for Boards/clients

Education and Training

- Conduct compliance training

Additional Services

- Available upon request

CCS gives you the confidence that you'll satisfy your regulatory obligations. So, rather than worrying about whether your internal appointee has the knowledge set or justifying the time and expense of an executive search for a CCO, make the right call. We can evaluate your situation, develop a plan, and see to it that you rest assured.

Cipperman *Compliance* Services LLC

Outsourcing. Consulting. Tools.

Solutions to fit your business.

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