



Adviser Compliance guidance and support for an uncertain regulatory landscape

Cipperman Compliance Services offers Advisers 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 Advisers are choosing to utilize independent partners in building and executing compliance programs. The seasoned team of industry professionals at Cipperman Compliance Services provides Advisers, 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 regulatory environment.

Cipperman
Compliance
Services LLC

Adviser & Fund Compliance Solutions

500 East Swedesford Road, Suite 104 | Wayne, PA 19087

610.687.5344 | www.cippermancs.com

At Cipperman Compliance Services, we have developed a number of models to support your compliance needs. We work with you to understand which components of your compliance program would benefit from additional resources. We then structure the relationship to maximize the effectiveness of your compliance process.

Administrative

- Maintain and implement the compliance manual and related policies and procedures
- Distribute the compliance manual and obtain applicable certifications
- Establish and run the compliance committee to review material compliance matters
- Conduct the annual risk assessment
- Inform personnel of compliance responsibilities
- Investigate misconduct and violations of policies/procedures
- Maintain a compliance calendar
- Assist in the Code of Ethics process
- Monitor insider trading policy
- Conduct compliance training

Regulatory

- Conduct the Annual Review required by Rule 206(4)-7
- Prepare and file ADV amendments and state notice filings
- Prepare 13F filings
- Respond to regulatory inquiries and examinations
- Provide regulatory advice and respond to internal inquiries
- Manage licensing requirements

Operational

- Monitor the client agreement form
- Ensure delivery of privacy notices
- Review marketing materials for compliance with applicable SEC and FINRA rules
- Review RFP's
- Participate in Board/client meetings
- Manage the firm's obligations under applicable policies and procedures including proxy voting, AML, portfolio compliance, record retention, trading, brokerage, fair valuation, trade errors, correspondence and client complaints

“ We do the heavy lifting to not only design compliance programs, but also implement them so our clients can focus on managing their clients' assets and growing their businesses. Let us know how Cipperman Compliance Services can help you. ”

