



Fund Compliance guidance and support for an uncertain regulatory landscape

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.

Cipperman
Compliance
Services LLC

Fund Compliance Solutions

At Cipperman Compliance Services, we have developed a number of models to support your fund's 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.

Outsourced CCO

We can provide the full array of CCO functions, including:

- 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 process
- 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

“ 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. ”

