

# Outsourced Advisor Chief Compliance Officer



We offer dedicated outsourced Chief Compliance Officers (OCCOs) for registered investment advisors. Our team of professionals include former in-house CCOs and attorneys. We will customize our services to meet your specific needs.

## Why outsource?

Help Mitigate  
Risk



Independent Best  
Practice Perspective



Lower  
Expenses

## We will

- » Advise your Senior Management team on important compliance decisions
- » Create and test your firm's compliance policies and procedures, incorporating new or amended regulations, best practice recommendations, and other guidelines that may be appropriate to your firm's operations
- » Conduct training for all U.S. personnel on Code of Ethics, conflicts of interest, and compliance policies and procedures
- » Review marketing and advertising materials
- » Monitor employee activities, including personal trading, outside business activities, and political contribution
- » Conduct regular site visits
- » Collect, organize, and analyze relevant compliance data and make inquiries of management and service providers as needed
- » Coordinate the annual Form ADV amendment and any interim material revisions
- » Conduct and document annual reviews of your firm's compliance policies and procedures
- » Provide support during regulatory examinations

## Reimagine GRC

ACA Group ("ACA") is a leading governance, risk, and compliance (GRC) advisor in financial services. We empower clients to reimagine GRC and protect and grow their business. Our innovative approach integrates advisory, managed services, and distribution solutions with our ComplianceAlpha® regulatory technology platform with the specialized expertise of former regulators and practitioners and a deep understanding of the global regulatory landscape

For more information, contact us [here](#).

[acaglobal.com](https://acaglobal.com)

09/2022