

ACA Group (“ACA”) is the leading governance, risk, and compliance (GRC) advisor in financial services. Our team has the specialized expertise of former regulators and practitioners and a deep understanding of the global regulatory landscape. Our innovative approach integrates advisory, managed services, and distribution solutions with our ComplianceAlpha® technology platform which enables clients to focus on asset management without sacrificing compliance best practices.

## What We Do

We empower our clients to reimagine GRC and protect and grow their business.

## Our Products

We have expertise in regulatory compliance, cybersecurity, performance, and ESG and provide services such as advisory, distribution solutions, managed services, regulatory technology, and education.

## Who We Are

*1,250+ employees with experience as:*

- » SEC, FCA, FINRA, CFTC, NFA, DOL, and state regulators
- » Compliance management
- » C-suite team members
- » Cybersecurity and technology risk professionals
- » Auditors
- » GIPS® compliance and performance professionals
- » Technology professionals
- » Environmental, Social, and Governance (ESG) consulting professionals

## Who We Work With

*6,300+ clients worldwide, including:*

- » Investment advisers and investment managers
- » Private fund managers
- » Portfolio and private equity firms
- » Commodity trading advisors
- » Investment companies including mutual funds, ETFs, interval / tender offer funds and business development companies
- » Broker-dealers
- » Domestic and international banks

## Our Market Share

*We currently work with:*

- » **80%** of the top 50 money managers<sup>1</sup>
- » **81%** of the top 100 hedge fund managers<sup>2</sup>
- » **77%** of the top 100 private equity funds<sup>3</sup>
- » **72%** of the top 50 real estate funds<sup>4</sup>
- » **80%** of the top 100 mutual funds<sup>5</sup>
- » ACA has the largest market share (**67%**) of GIPS-verified firms in P&I's Top 100 list <sup>6</sup>

<sup>1</sup> As noted in the ADV Ratings September 2021 ranking data

<sup>2</sup> As noted in the May 2021 edition of *Hedge Fund Alert*

<sup>3</sup> As noted in the June 2021 PEI 300

<sup>4</sup> As noted in the June 2021 PERE 100

<sup>5</sup> As noted in the *Mutual Fund Directory* March 2022 ranking data

<sup>6</sup> P&I top 100 list compared to eVestment database as of December 31, 2021.

## For more information, contact:

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212.951.1030

## AML and Financial Crimes

Our AML and Financial Crimes practice offers advisory services and solutions to assist financial services firms in addressing financial crimes-related threats and regulatory concerns. Specific areas include AML, Foreign Corrupt Practices Act (FCPA) and Anti-Bribery, and cybersecurity services.

## Compliance Advisory

Our global team of regulatory compliance professionals includes former SEC, FINRA, FCA, CFTC, NFA, and state regulators, as well as former senior managers from prominent financial institutions and advisory firms. We work with compliance and legal professionals to review and develop compliance programs based on best practices, current regulatory requirements, and robust oversight processes.

## Cybersecurity, Privacy, & Risk

We provide cybersecurity and technology risk assessments, data privacy compliance services, vendor and M&A diligence services, portfolio company oversight, network testing, and advisory services for companies of all sizes. Our award-winning solutions are designed to help firms uncover risks and identify deficiencies in their cybersecurity policies, procedures, and controls.

## ESG Advisory

Gain clarity on your ESG requirements and build a strong compliance program with ACA. Our dedicated advisory practice helps firms of all sizes develop and monitor ESG programs to mitigate risk, make informed choices, grow profitably and sustainably, and combat greenwashing in the process.

## Managed Services

Compliance and risk teams are often challenged to increase the effectiveness of their compliance programs, manage with fewer internal resources, ensure high-quality results, reduce turnaround times, and lower costs. We provide our clients with solutions to these challenges while delivering value and improved outcomes. Our dedicated team of compliance and risk professionals has a proven record of providing high-quality results in a timely manner for over 1,000 firms globally.

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## Performance Services

We provide GIPS® standards verification and advisory services to investment managers around the globe. Our team — comprised of more than 60 professionals with extensive GIPS standards and performance experience — is the largest group of professionals in the world solely dedicated to GIPS standards verification and related services.

## Regulatory Technology

ComplianceAlpha® is our award-winning regulatory technology platform that is transforming risk and compliance management for over 800 leading financial services firms worldwide. By bringing together risk and compliance activities, surveillance, testing, and analytics in one platform, ComplianceAlpha provides risk and compliance officers with a unified view of risks and behavior across their firm.

## ACA Mirabella Regulatory Hosting

ACA Mirabella provides regulatory hosting for discretionary fund and managed account managers, investment advisers/arrangers, placement agents and local marketing offices in the UK.

## ACA Foreside Distribution Solutions

We work with asset management firms throughout the world to facilitate compliance and product distribution through legal underwriting, registered representative licensing, and DTCC/NSCC fund sponsorship. We have experience working with all types of pooled investment vehicles such as mutual funds, exchange traded funds (ETFs), alternative products, closed-end interval funds, business development companies (BDCs) and private placements.

