

Compliance teams need continuous support and knowledge sharing to stay on top of global regulatory initiatives. Our team helps you to navigate the evolving regulatory landscape while considering the complexity of your firm's unique compliance requirements.

For firms looking to create a more agile and responsive compliance program, ACA's Comprehensive Customized Compliance C³ Solution[®] now provides an option for quarterly reviews with more frequent touchpoints. Introducing C³ Solution: Quarterly.

Benefits

ACA's compliance consulting services paired with innovative regulatory technology and managed services provides firms with a complete view of their compliance program - from development to execution to testing. Your firm will have ACA's consulting team's support year-round as a guide and partner in creating a scalable and resilient compliance program.

- » Frequent touchpoints of review for your program to detect and resolve issues more frequently
- » A proactive approach to your compliance program with less time between reviews which means more recent and accurate data when the SEC calls
- » Fully integrated technology to better manage and simplify your day-to-day activities
- » Scalable levels of support for different firm sizes to best suit your needs

Key Services

- » **Integrated Technology for Streamlined Compliance Management** - To provide a fully tech-enabled experience, clients' quarterly review results and action items will be delivered through ACA's ComplianceAlpha[®] Compliance Management Solution. Firms will have immediate, centralized access to our consultants' findings, compliance activity tracking, reporting, and visual analytics to effectively and efficiently manage their compliance program.
- » **Ongoing Compliance Support** - Our team will provide:
 - » quarterly reviews with an annual strategy session
 - » "on-call" reviews of compliance documents
 - » access to ACA's extensive compliance document library
 - » ongoing marketing and advertising material reviews,
 - » customized compliance manual reviews
 - » unlimited telephone calls
 - » periodic electronic communications reviews
 - » initial and ongoing Form ADV and Form PF reviews
 - » PFRD administration for annual filers
 - » IARD administration assistance
 - » support for Forms 13F, 13H, and Schedule 13G filings
- » **SEC Examination Support** - We will review and help organize documents requested in advance of and during an SEC examination, assist with deficiency letter response writing, and offer a customized SEC examination response program that includes multiple days of on-site assistance during an SEC examination.
- » **Compliance Education and Training** - Our team will keep clients up to date on key regulatory and industry issues by conducting periodic employee compliance training, distributing periodic email alerts, and offering a variety of live and virtual events.

ACA C³ Solution®: Quarterly

Our packaged solutions provide scalable options to receive the best of our consulting, technology, and managed services. **Compare our packaged compliance solutions below.**

Offering	C ³ Solution: Quarterly	C ³ Solution: Annual	Compliance Cornerstone™+	Compliance Cornerstone™
Compliance Program Review	206(4)-7 Compliance Review: Quarterly Reviews with Annual Strategy Session	206(4)-7 Compliance Review: Annual Compliance Program Review/Mock Audit	Annual Compliance Program Review Assistance	Limited Scope Compliance Review
IARD Administration	✓	✓	✓	✓
Ongoing Form ADV Review	✓	✓	✓	✓
Regulatory Filings Support	Form 13F, 13H, Schedule 13G	Form 13F, 13H, Schedule 13G		
Form PF Reasonableness Review	✓	✓		
Unlimited Customized Telephone & Email Consulting	✓	✓	✓	✓
Annual Employee Compliance Training	✓	✓	✓	✓
Periodic Support Services (Monthly, Quarterly)	✓	✓		
Compliance Manual Support	✓	✓	✓	✓
Review of Policies, Procedures, and Compliance Documents	✓	✓		
Marketing and Advertising Reviews	✓	✓		
Electronic Communications Review	✓	✓		
Unlimited SEC Inspection Support: SEC Exam Response, Deficiency Letter Response, Offsite Assistance	✓	✓		
Access to ACA's Library of Compliance Documents	✓	✓	✓	✓
Access to ACA's Private Markets, Hedge Fund, and/or Broker-Dealer Newsletters	✓	✓	✓	✓
Invitations to ACA's Compliance Webcasts	✓	✓	✓	✓
Periodic Email Compliance alerts	✓	✓	✓	✓
ComplianceAlpha® (Compliance Management module)	Included	Add-on	Add-on	Add-on

The compliance consulting needs of your firm are unique. Customized packages available upon request.

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