

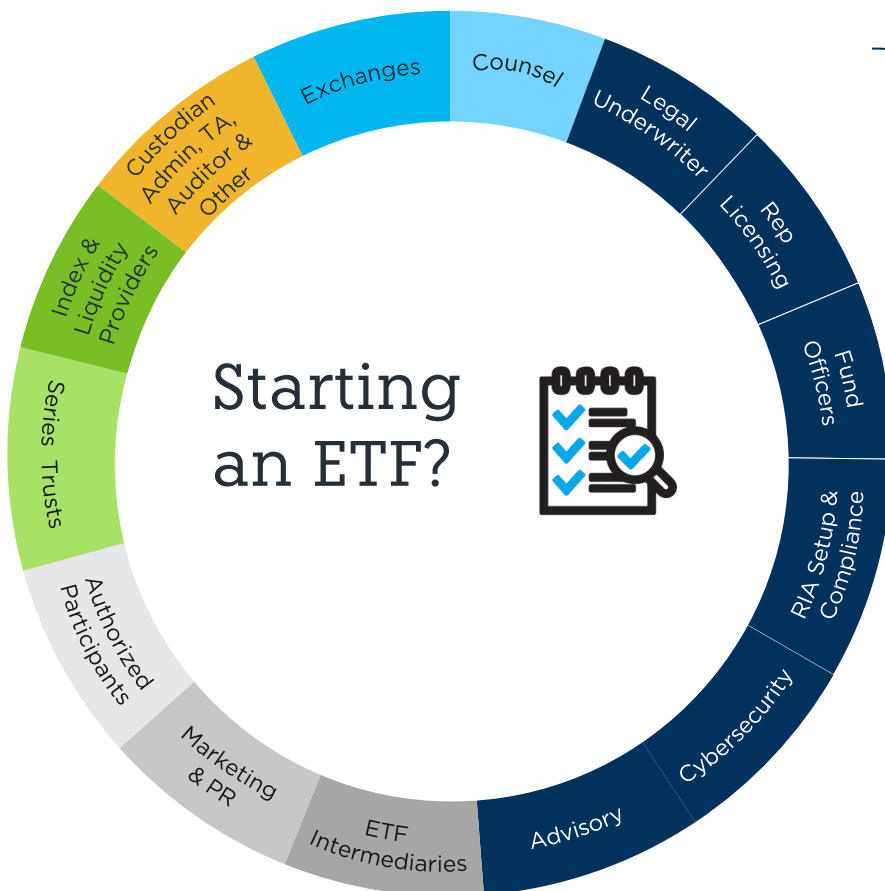
# ACA Foreside's ETF Platform

ACA Foreside 

ACA Foreside advises ETF issuers and asset managers regarding the regulatory, financial, operational, and distribution requirements of exchange-traded funds. We closely follow the expanding U.S. and international ETF marketplaces and the rapid product innovation in the market today. We also understand the various ETF strategies, such as index and active management, for equity, bond, and commodity fund types.



## Looking to launch an ETF?



### Reimagine GRC.

Our team is the 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.

*Solutions provided by ACA Group and ACA Foreside.*

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

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



## Legal Underwriter – *Our Anchor Role*

### Our team provides:

- » Marketing material compliance review and approval per FINRA and SEC requirements via our proprietary advertising compliance software.
- » Facilitation, negotiation, and coordination of Authorized Participant (“AP”) agreements.
- » AP order verification and confirmation.
- » Electronic transfer of AP orders to custodians and advisors utilizing encryption software.
- » Provide materials in support of the Chief Compliance Officer’s review of the distributor under the Funds’ Rule 38a-1 program.



## Complementary Services – *Required services to launch an ETF*

- » RIA Registration + Set Up: Our registration professionals will draft and file the required forms and will guide you through business model decisions to help ensure regulatory obligations are met.
- » Distribution Consulting: Our team will help bridge the gap between the complex distribution landscape and your product to increase exposure and availability.
- » Registered Rep Licensing: We can assist your firm with all your registered representative compliance needs
- » Fund Officer Solution: Our qualified compliance professionals will provide a hands-on tailored approach when working with your firm. Our Fund Officers include Fund CCO and Fund PFO.
- » Ongoing Compliance Consulting: Our proactive compliance solutions, offered via various pricing tiers, allows you to grow with confidence within an offering customized to your needs.



## Why work with ACA Foreside?

- » Largest third-party distributor of ETFs in the U.S., supporting over 130 unique brands and over 700 funds. (as of 2/15/22)
- » First third-party distributor for semi-transparent ETFs.
- » We support all semi-transparent ETF structures including Precidian, Fidelity, Blue Tractor and New York Stock Exchange (NYSE).
- » Each team member has access to the 500+ compliance professionals who serve alongside them.
- » Comprehensive, tailored, and cost-effective solutions are at the core of our high-touch client service model.