

Foreside’s attorneys and compliance analysts understand the regulatory framework under which our clients operate and stay abreast of new regulatory initiatives affecting the industry to ensure your funds remain compliant. Our qualified compliance professionals work with a diverse client base, serving as named fund chief compliance officer (CCO), on a temporary or permanent basis, or as consultant to a fund CCO.

Foreside’s fund CCOs will:

- Conduct periodic reviews of the fund’s compliance program to incorporate new or changed regulations or best practice recommendations as appropriate
- Review the adequacy of the policies and procedures of the fund and its service providers, and the effectiveness of their implementation
- Design or review risk-based testing methods for the compliance program’s policies and procedures
- Perform and document testing of certain key control procedures; this process includes collecting and organizing relevant compliance data and reviewing reports, investigating exceptions and making inquiries to fund management and service providers
- Conduct site visits to advisers and other service providers as necessary
- Prepare quarterly and annual CCO reports for boards of directors and attend meetings quarterly or as requested
- Meet periodically with fund management
- Maintain records relating to the fund’s services, such as compliance policies and procedures under applicable laws and regulations

Compliance Consulting Services for a Fund or Adviser CCO

Foreside’s services include:

- Compliance program design and implementation, monitoring and testing
- Regulatory compliance review
- Service provider compliance program evaluation
- Mock regulatory exams
- CCO support services
- Design and implementation of an operational metrics program
- Vendor selection



Our integrity.
Our guidance.
Your success.

Distribution and Compliance Professionals Dedicated to Your Success

Foreside is committed to delivering innovative services that not only meet current requirements, but also anticipate emerging regulatory and marketplace developments. Clients rely on us to provide the information, operational support and strategic advice that are needed to thrive in today’s complex arena of investments, compliance and risk management. We collaborate with recognized service providers to ensure our clients receive informative and quality services. Foreside is not affiliated with any of its partner service providers.

Discover the Foreside Difference

Precision, expertise and integrity, combined with professional insight, position Foreside to offer cost-effective, tailored solutions that allow our clients to focus on asset management without sacrificing distribution and compliance best practices.

Interested in learning more?

Visit our website, www.foreside.com, or contact Susan Mosher, Business Head, Compliance Services, at 207.553.1953 (smosher@foreside.com) or David Whitaker, Chief Operating Officer, at 207.553.7142 (dwhitaker@foreside.com).