

Foreside’s Sarbanes-Oxley (SOX) professionals interact with leading service providers, audit firms and advisers, and continuously monitor emerging regulatory requirements to ensure your funds remain compliant. With a variety of SOX services, we can meet your specific needs.

Foreside can:

- Provide a qualified professional to serve as Principal Financial Officer or Principal Executive Officer of your fund
- Establish, maintain and/or supervise fund disclosure controls and procedures
- Review and certify Form N-CSR, Form N-Q and SOX Sections 302 and 906
- Attend Board meetings and present materials to the Board and/or audit committee
- Participate in valuation committee meetings
- Establish internal and external controls over financial reporting and sub-certifications
- Oversee the fund’s budgeting process, including the procedures and authorizations under which the fund administrator makes payments
- Perform a due diligence review of fund service providers’ operations
- Review the fund service providers’ policies to ensure compliance with Board policies
- Serve as liaison to the fund’s auditor and audit committee
- Provide representation at SEC examinations
- Review all shareholder communications
- Consult with other certifying officers as necessary
- Assist with contract negotiations

Sarbanes-Oxley Consulting Services

Foreside can provide:

- Treasurer outsourcing services
- Assistance with certification reviews for fund SEC filings
- Assistance with fund procedure design
- Assistance with disclosure control committee structure
- Assistance with fair valuation pricing procedures
- Fund contract review
- Assistance with contract negotiations



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 Trudi Bakke, Managing Director, Sarbanes-Oxley Services, at 207.553.7127 (tbakke@foreside.com) or David Whitaker, Chief Operating Officer, at 207.553.7142 (dwhitaker@foreside.com).