

INVESTMENT ADVISER REGISTRATION & COMPLIANCE SERVICES



SEC Registration and Adviser Regulatory Compliance Services for Advisers

SDDco Regulatory Services LLC (SDDco-RS) of the SDDco Group offers wide-ranging compliance solutions to investment advisers.

Seasoned professionals can:

- Facilitate your registration with the Securities Exchange Commission (SEC)
- Fulfill your chief compliance officer role
- Support your firm's ongoing compliance with the rules and regulations of the industry





Adviser SEC Registration Services

SDDco CAN ASSIST WITH SEC REGISTRATION REQUIREMENTS

- Creating and filing Form ADV Parts 1 and 2 and supporting documents
- Developing your customized written compliance manual
- Drafting your Code of Ethics, BCP, and Insider Trading Policy
- Developing Solicitors Agreements and Disclosure Statements
- Reviewing planned marketing materials
- Licensing appropriate personnel such as:
 - Series 65, if applicable
 - IA rep registration
 - Corresponding license, if needed

Exempt Reporting Adviser Registrations

Exempt Reporting Advisers (ERAs) Registration Requirements

SDDco-RS can assist Exempt Reporting Advisers (ERAs) with their federal registration process. Although ERAs are not subject to the same registration requirements and recordkeeping rules as RIAs, they are responsible for anti-fraud rules and pay-to-play provisions. Implementing compliance policies and procedures can help an ERA avoid securities violations and protect their investor information.

Adviser Regulatory Compliance Services

Per the Investment Advisers Act of 1940 (the Act) Rule 206(4)-7, SDDco-RS assists registered investment advisers (RIAs) through the development of a customized compliance program, the adoption of written policies and procedures, the designation of a knowledgeable Chief Compliance Officer (CCO), and the execution of the annual review.

COMPLIANCE SERVICES OVERVIEW

- Administer your IARD system and make yearly amendments to ADV Parts 1 and 2
- Deliver updated ADV Part 2 within 120 days of fiscal year-end and prepare state notice filings and registrations
- File an amended ADV upon a material change to your business
- Draft and update your compliance manual, monitor insider trading policy, and review marketing/performance material
- Conduct your annual review to test effectiveness of firm compliance and to prepare for regulatory exams

RIA Compliance Service Options

SDDco-RS can provide year-round assistance, on a retainer basis, to facilitate ongoing compliance via two levels of service: RIA Compliance Support and RIA Outsourced CCO.



RIA Compliance Support

SDDco-RS can be engaged to support your designated, in-house CCO with the responsibilities of administering the firm's compliance manual pursuant to the requirements of the Act.

ASSIST YOUR CCO

- Monitor policies and procedures, assist with applications and revisions
- Serve as web IARD administrator
- Prepare routine ADV amendments, state notice filings and Section 13 filings
- Facilitate the collection of representative disclosures and certifications
- Implement a compliance timeline to foster completion of activities
- Review marketing material compliance
- Conduct the annual review of effectiveness and draft summary report
- Guide through regulatory exams conducted by regulatory authorities
- Draft communications and responses to regulators
- Provide ongoing compliance advice to CCO, management, and staff

RIA Outsourced CCO

An SDDco-RS consultant can perform, with proper knowledge and authority, as designated CCO to administer your adviser firm compliance program. Working closely with management and staff, your SDDco-RS CCO (SDDco-CCO) will plan, draft, implement, and maintain your compliance program, provide the annual written compliance report, and handle the matters required of a CCO under the Act.

ADDITIONAL SUPPORTIVE SERVICES

- Proactively maintain and update existing compliance manuals
- Obtain periodic disclosures and certifications of representatives
- Review and approve adviser marketing materials
- Administer the Code of Ethics and Insider Trading review
- Deliver privacy notices in accordance with SEC Regulation S-P
- Organize and chair periodic compliance committee meetings
- Provide internal training on relevant compliance topics
- Conduct a risk assessment annually with management