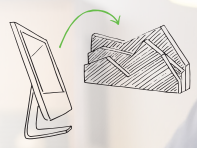




REPORTING

POLICIES & PROCEDURES



REVIEW & OVERSIGHT

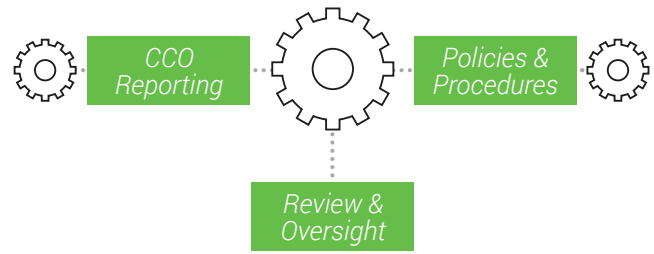


SUPPORT SERVICES

# FUND CCO SUPPORT SERVICES



*Stakes have never been higher for Chief Compliance Officers (“CCOs”) due to a quickened pace of regulation at both the federal and state levels. CCOs are finding it difficult to maintain a clear picture of all the factors affecting their firm, including regulatory changes, new product development, conflicts of interest, decentralized systems, and lack of resources. As a result, firms are increasingly outsourcing critical functions to help CCOs gain the enterprise-wide visibility to make good decisions.*



ALPS provides the leading compliance program support, tools and expertise to allow CCOs to focus on the needs of the board and strategic initiatives, with the comfort of knowing that the fund compliance program is reasonably designed to prevent violations of federal securities laws. Our solutions are flexible based on your routine and ad hoc support needs.

**Learn More**  
**Gary Harris, SVP, National Sales Director**  
610.608.9518 | gary.harris@alpsinc.com | alpsinc.com

DENVER | BOSTON | DALLAS | GRAND CAYMAN | MIAMI | NEW YORK  
SAN FRANCISCO | SEATTLE | TORONTO



## Fund CCO Support Services

### CCO REPORTING

Our compliance team delivers detailed reporting offering insightful information at the right time for decision makers at your firm.

- Quarterly compliance 38a-1 representations
- Detailed annual report to the fund CCO
- Fund policy and procedure amendments
- Updates on issues and initiatives
- Annual risk assessments
- Regulatory updates

### COMPLIANCE POLICIES AND PROCEDURES

We help you stay ahead of regulatory changes with scheduled monitoring of policies and updates to operational procedures.

- Implement fund policies and procedures
- Maintain and recommend updates to fund policies and procedures in line with industry best practices
- Conduct annual review of fund policies and procedures
- Maintain compliance calendar

### REVIEW AND OVERSIGHT

Due diligence is critical because of the significant role third party providers play with funds. Our experts conduct formal reviews of all service providers through initial and ongoing on-site due diligence visits, quarterly questionnaires, code of ethics monitoring and regulatory filing reviews.

- Adviser
- Sub-Adviser
- Administrator
- Accountant
- Custodian
- Distributor
- Pricing Vendors
- Transfer Agent

### *Don't have a Fund CCO?*

ALPS can also provide an experienced and highly qualified Fund CCO when combined with any other ALPS service. The appointed Fund CCO will provide support for and attend board meetings, focus on risk mitigation, and be responsible for compliance and regulatory oversight and issue resolution, in addition to the items listed.

### Learn More

**Gary Harris, SVP, National Sales Director**

610.608.9518 | gary.harris@alpsinc.com | alpsinc.com

DENVER | BOSTON | DALLAS | GRAND CAYMAN | MIAMI | NEW YORK  
SAN FRANCISCO | SEATTLE | TORONTO



ALP001054 083118