



Regulation is constantly changing and increasing, which benefits investors and increases investor confidence even though firms may be challenged, as firms may be less able to employ dedicated compliance resources. With the increased regulatory complexity and visibility of regulators' oversight, firms are selecting independent compliance partners to help with their compliance program. AMC Compliance helps your firm by assuming the role of your dedicated compliance department by performing the following responsibilities:

- ◆ By managing your deadline-driven regulatory requirements
- ◆ By establishing, maintaining, and monitoring a practical compliance program
- ◆ By conducting SEC mock examinations to identify and address possible areas of weaknesses
- ◆ By explaining and implementing regulatory directives to you

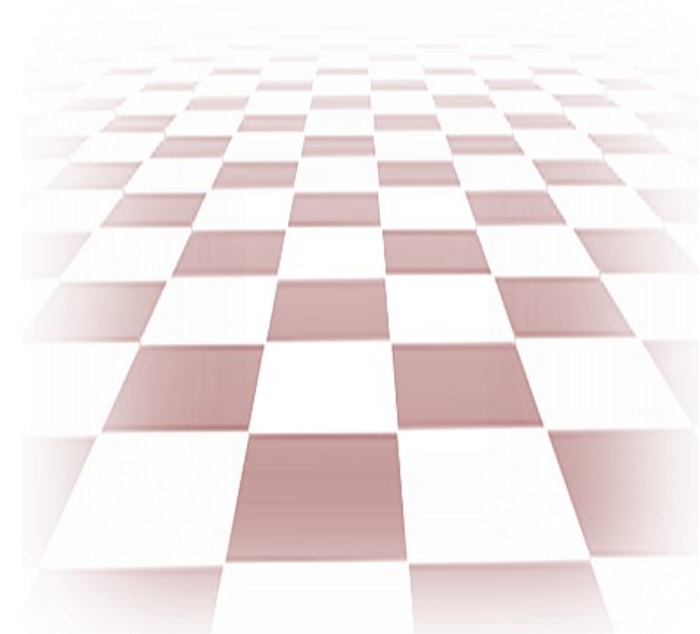
We use our expertise to guide and aid firms achieve their business objectives while meeting the regulatory expectations by, among other functions, aiding the client's efforts in mitigating regulatory risks and preventing adverse regulatory actions. We pride ourselves on providing practical compliance solutions.



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Practical Compliance Products & Solutions



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**AMC Compliance** is a regulatory compliance consulting firm serving the asset management sector. We help investment advisers, mutual funds, broker-dealers, private equity firms and hedge funds, and service providers to the asset management sector understand and implement regulatory directives. We provide comprehensive compliance and regulatory solutions to such entities. AMC Compliance helps by guiding your firm through the challenging, changing regulatory environment by providing tailored compliance products and risk management tools to identify, monitor, assess, manage, and mitigate regulatory risks.

Serving as your independent compliance partner, AMC Compliance supports firms that lack the requisite expertise and resources to develop and implement a robust compliance program.

**PROUDLY  
PROVIDING SOLUTIONS**



### AMC Works with...

- ◆ Investment Advisers
- ◆ Mutual Funds
- ◆ Broker-Dealers
- ◆ Private Equity Firms
- ◆ Hedge Funds
- ◆ Life Insurance Companies

### AMC'S Services Include...

- ◆ **ADMINISTRATIVE:** Establish, maintain, implement, and distribute compliance manuals, administer code of ethics and personal securities transactions, and conduct annual risk assessments.
- ◆ **REGULATORY:** Conduct annual compliance review, prepare and file Form ADV, respond to regulatory inquiries and examinations, and provide regulatory advice.
- ◆ **OPERATIONAL:** Manage obligations under the policies and procedures, portfolio compliance, trading, brokerage, trade errors, valuation, and conflicts of interest.

### AMC Provides...

- ◆ Ongoing regular compliance support to firms, eliminating the need for pre-packaged solutions.
- ◆ Specific solutions to ad hoc projects.
- ◆ Tailored services to meet your firm's specific requirements.
- ◆ Audits of your firm's current compliance program to identify weaknesses and enhancement opportunities to develop and implement a robust compliance program.

### AMC Performs...

- ◆ 38a-1 and 206(4)-7 Implementation
- ◆ SEC and State Examinations
- ◆ FINRA 3120 Review and Report
- ◆ Due Diligence Review



### With AMC Compliance...

you are confident that the management, implementation, and testing of your program is achieved: Designated CCO, maintain established compliance calendar, up to date compliance manual and related policies and procedures, and conduct annual Rule 206(4)-7 review and report.

### With AMC Compliance...

you are confident that we will provide regulatory advice and respond to your inquiries and regulatory inquiries and requests, prepare and file regulatory forms and amendments, and conduct educational and compliance training.

### With AMC Compliance...

you are confident that we will guide you through your SEC, state, and self-regulatory organizations regulatory examinations. We will coordinate the preparation, examination, and response to the examination findings and examination remediation.

