



# COMPLIANCE SERVICES

## SKRC Takes Compliance Consulting to Another Level

**S**eward & Kissel Regulatory Compliance ("SKRC") offers a wide array of compliance services, from the compliance help needed during the formation/start-up phase of your business to the ongoing compliance consulting and support required as your firm grows and matures. SKRC brings to each compliance engagement a practical, tailored approach based on our extensive legal, compliance, governmental and regulatory experience coupled with the real world knowledge gathered from our large network of relationships within the financial services space.

### SKRC's Compliance Services

- Flexible fee arrangements available
- SEC, CFTC and state registration
- Prepare and update Form ADV
- Prepare customized compliance manual
- Mock audits
- Personal trading review
- Electronic communications review
- Insider trading review
- Gifts and entertainment review
- Political contributions review
- Marketing material review
- Annual compliance review
- Periodic compliance testing and assessments
- Risk assessments
- Compliance calendar and reminders
- Implementation of new regulatory and compliance obligations
- Day to day phone and email support
- Compliance training
- Review of third party service providers
- State and local lobbyist and pay to play laws
- Cybersecurity procedures and assessment
- SEC and NFA exam preparation
- Response to exams and other regulatory inquiries and investigations, including any potential civil or criminal enforcement actions
- Regulatory filings, including blue sky, Form D, Form PF, 13D, 13G, 13F, 13H, Forms 3, 4 and 5, HSR filings, tax filings, ERISA and DOL filings
- Coordinated compliance software offering with various vendors
- Online registered investment adviser compliance subscription service



## Why Use SKRC for Compliance Consulting and Support?

- SKRC is a service provided by Seward & Kissel LLP, a leading law firm with over 75 years experience in the financial services sector, dating back to the very first hedge fund, including extensive interdisciplinary expertise in relevant securities laws, and in dealing with examinations, enforcement matters and investigations
- Deep relationships with many senior level personnel throughout the investment management community bring tremendous value to each compliance initiative
- Over 75 lawyers at the firm devoted to investment management-related matters
- SKRC's legal advice is protected by the attorney-client privilege
- Proprietary in-house blue sky software, Client Management System
- Seward & Kissel name is well respected by asset allocators
- Washington, D.C. office complements New York City office by providing key input on legislative/regulatory issues
- Strategic alliance in the investment management area with Simmons & Simmons, a world-renowned international law firm with over 20 offices in the EU and Asia
- Proactive legal practice provides clients with guidance on numerous legal and regulatory issues as they develop and submits comment letters to regulators on proposed regulations that may impact the industry
- Insurance premium credit available for performing mock audit

## Contact Us

If you'd like to hear more about SKRC's compliance service offerings, please contact any of the attorneys listed below, or visit our web site, [www.sewkis.com](http://www.sewkis.com).

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