

## NexTier Consulting: Compliance Search and Interim Staffing Solution

### Opportunity

Since the 2008 financial crisis, investment managers find themselves challenged with ever increasing regulatory scrutiny, a heightened need to identify and mitigate enterprise risk while delivering solid returns for investors. Initially, the Dodd-Frank reforms gave the SEC increased oversight over all types of investments managers, particularly hedge funds. Last year, the SEC brought its focus to private equity funds, publicly noting that over 50% of private equity funds have significant compliance issues. Consequently, institutional investors have begun to see compliance as far more than just a “check the box” item on their due diligence list and properly understood it as a central part of their investment review process. A thorough review of an investment manager’s compliance program has become an essential part of the due diligence process.

We offer numerous solutions to help you successfully meet the compliance demands of regulators and potential investors. Our compliance search and interim staffing (**CSIS**) solution can effectively address your needs by bringing together our executive search and compliance expertise to maintain the stability of your compliance program in the midst of employee turnover. The CSIS solution is customized for you based on your size, investment approach and organizational demands. It can also easily be used alongside our Review and Assessment solution or Outsourced Chief Compliance Officer solution to more completely meet your compliance needs.

### Benefit

We provide a best in class solution to the compliance puzzles you face as you approach regulators and institutional investors. Leveraging our resources, you can meet regulators and potential investors armed with industry-wide best practices and superior experience.

Our compliance solutions allow you to focus on the aspects of its business that you best understand – investing, while having our experienced professionals manage your compliance functions. As an investment manager, you should understandably focus your efforts on building, implementing and refining your investment strategy while empowering us to help you meet the demands of establishing a compliance program. We allow managers, like you, to focus your efforts on the things you know best, while at the same time having the compliance program you need to attract additional capital and withstand regulatory scrutiny.

### Search and Staffing Tasks

Possible elements of your compliance program with which we can assist include, but are not limited to, the following:

- searching for the proper leadership for your compliance program that understands your culture and values and can bring the appropriate capabilities to meet your company’s needs,
- building your internal compliance team to meet the ever changing needs of your business,
- maintaining continuity in your compliance program by providing staffing assistance at senior and junior levels,
- training employees with customized educational and informational materials to support your compliance culture during any transition and
- providing necessary counsel and advice on an as needed basis.

### The Complete Solution

Our CSIS solution allows you to continue to meet the array of critical compliance activities for registered investment advisers while challenged with staff changes. By utilizing the CSIS solution, you can avail yourself of our extensive experience, manage your compliance transition and continue to concentrate your efforts on refining and improving the things you know best. In addition, we will work with your existing compliance software providers or will help you select new providers to make sure that your compliance program fits your needs.

With our compliance solution, you gain a complete answer which combines knowledge of the regulatory environment with the practical elements, real-world challenges of running a registered investment advisor. We are well-positioned to bring you the necessary solutions to solve your compliance needs.

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