



INVESTMENT ADVISER COMPLIANCE

“We Manage Compliance So You Can
Manage Your Business”

Who We Are

Investment Adviser Compliance Consultants (IACC) was established in May 2019 and provides outsourced CCO services, as well as a full suite of tailored compliance products, to US SEC registered investment advisers (RIAs). Giselle Casella, IACC's Founder and CEO, has over 20 years of RIA compliance experience and consults with a diverse range of investment management firms, including private fund advisers and money managers. As a small, independent boutique firm, IACC takes pride in providing personalized compliance services tailored to meet the needs of each client at a reasonable price. Unlike larger competitors, ACC focuses solely on RIA compliance and provides attentive and prompt service directly to a small family of clients. ACC understands that SEC regulations and requirements can be daunting. We shoulder the burden of compliance and protect our clients against regulatory risk and costly deficiencies so they can focus on their business.

Our Services

Outsourced CCO Solution

IACC provides an Outsourced CCO Solution for RIAs who seek a cost-effective alternative to hiring an in-house CCO. For clients who choose our Outsourced CCO Solution, IACC offers the following services:

- Obtain the Chief Compliance Officer title
- Assist with initial and annual registration and filings including IARD Administration, Form ADV, Form PF, 13D, 13F, 13H, and Form D.
- Create and maintain a customized compliance program
- Create, review, and update compliance policies and procedures
- Perform the annual compliance program review and reporting
- Manage all aspects of an SEC examination
- Perform risk assessment and risk management support
- Review and approve marketing, advertising, and client/investor communications
- Review and approve employee and proprietary trading, as well as other Code of Ethics activities such as gifts and entertainment, political and charitable contributions, and outside business activities
- Perform electronic communication surveillance and social media reviews
- Anti-money laundering OFAC reviews
- Chaperone expert network consultations
- Conduct vendor due diligence
- Conduct sub-adviser/fund adviser due diligence for compliance
- Participate on internal committees
- Provide unlimited phone and email consulting
- Conduct employee compliance training
- Provide regulatory updates and alerts to all employees

Customized Compliance Solution

IACC's Customized Compliance Solution offers clients a carefully tailored program with fair and flexible payment options. With the Customized Compliance Solution, clients may choose any of the services offered under our Outsourced CCO Solution a la carte, as well as:

- SEC mock audits
- SEC corrective action reviews
- Focused and risk-based reviews
- Secondment, compliance staffing, and CCO support

New RIA Solution

IACC simplifies the SEC registration process by helping clients set up their business and navigate through compliance requirements. When clients choose the New RIA Solution, IACC will:

- Provide new RIA business planning and start-up counseling
- Assist with FINRA Entitlement Set-Up
- Draft and file SEC registration documents: Form ADV Part 1, 2A, and 2B
- Create a tailored compliance program and manual
- Provide operational consulting and ongoing support for any additional registration requirements as they arise
- Train staff on IARD
- Assist with Form ADV amendments and ongoing registration requirements