

Outsourced Compliance

Outsourcing your compliance functions ensures best industry practices are followed, removing significant risks from your business.

Guide



74%

Percentage of organizations that report they are unable to properly address compliance vulnerabilities due to limited budgets and resources.*

Let's solve for that.

NexTier Solutions provides consulting services tailored specifically to our clients' needs. Our unique collaborative approach provides a comprehensive business solution that combines accounting, compliance, and human resource management services in a single, convenient engagement.

Compliance Services

At **NexTier**, we provide personalized and professional guidance on the following compliance services:



CCO and Compliance Services

- Outsourced Chief Compliance Officer
- Implementation and oversight of a fully tailored compliance program
- Annual compliance reporting (Rule 206(4)-7 and/or Rule 38a-1)
- Ongoing testing of compliance policies and procedures
- Annual risk assessment and risk management reviews



Regulatory exams and SEC filings

- Manage regulatory examinations conducted by the SEC
- Assist with initial SEC registration and ongoing required filings
- Annual updates on Form ADV and Form CRS



Due diligence and marketing reviews

- Annual reviews of service providers
- On-site due diligence visits and reviews of each advisor's and subadvisor's operations
- Reviews of marketing and advertising materials for compliance with applicable rules and regulations



Risk monitoring and reporting

- Risk assessments and compliance calendars
- Business Continuity Program (BCP) and cybersecurity assessments
- Code of Ethics testing and monitoring

Giving you back
time to grow your business



Compliance



Andy Chica

Chief Compliance Officer

I have over 25 years of experience in compliance serving as CCO for RIAs, B/Ds, registered funds, and multiple series trusts leading them from initial registration through regulatory exams and audits.

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Joe Farley

Director of Compliance Operations

I have over 25 years of experience in all aspects of investment advisory services. I understand how a compliance program integrates and elevates portfolio management for advisory firms. My specialties are risk reporting and data management.

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Mark DeAngelis

Senior Compliance Consultant

I have over 20 years of experience in compliance, serving as a senior analyst and investigator at FINRA, as well as an outsourced CCO for private fund advisors and ETF sponsors.

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Kendra Fortier

Director of Business Operations

I have over 15 years of experience in tax, relationship management, financial reporting, compliance and human resources.

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Jill Blecha

Compliance Officer

I have over 15 years of experience in the investment advisory industry with roles in portfolio management, risk, and compliance, including financial security.

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Alicia Hastings

Compliance Officer

I have several years of experience ensuring that organizational processes and documentation align with regulatory requirements. I specialize in vendor oversight and streamlining administrative workflows.

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Experienced Professionals
help you grow your business

