

Outsourced Compliance

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

Guide



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

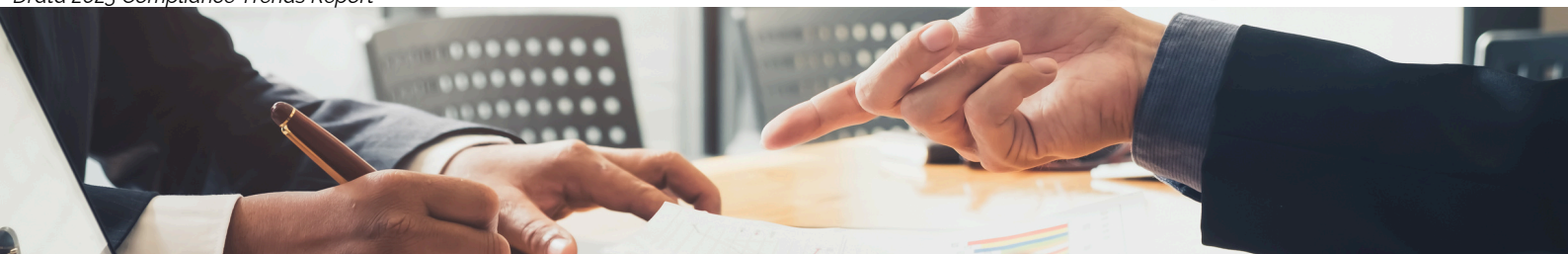


Risk monitoring and reporting

- 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

*Data 2023 Compliance Trends Report



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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Experienced Professionals
help you grow your business

