



## Risk Management Update March 2010

### IMPLEMENTING COMPLIANCE SOLUTIONS

With the current market environment requiring heightened internal controls, many firms are seeking outsourcing solutions to meet the demands of day-to-day operations and risk management. As recommended by our clients and colleagues, CCLS has outlined the following vendor reference list that you may wish to explore if you are in need of some additional assistance in a particular area of your organization. This list is provided for informational purposes only.

Each of these vendors has been used by a CCLS client who was satisfied with their services. CCLS neither endorses nor makes any representation or warranty, express or implied, regarding the merchantability or fitness for a particular purpose of any particular vendor. In addition, CCLS will not receive any referral fees should you opt to use the third-party service.

Most importantly, please conduct due diligence on any third-party service provider before engaging their services. For more information, we encourage you to visit the provider's website which is provided below.

### Continuing Education Certification

**National Society of Compliance Professionals – CSCP Certification** – provides certification as a compliance professional which distinguishes individuals as intermediate to advanced proficiency  
860-672-0843  
[www.cscp.org/](http://www.cscp.org/)

**RegEd, Inc.** – provides annual compliance meetings, needs analysis, training plans, tracking and reporting, firm element CE, insurance CE, exam prep licensing training with exam prep self-study, and on-line practice exams  
800-334-8322  
[www.reged.com](http://www.reged.com)

**Securities Training Corporation** – offers needs analysis, diagnostics, firm element CE, insurance CE, insurance pre-licensing, exam preparation licensing training in a classroom or self-study format  
800-STC-1223  
[www.stcusa.com](http://www.stcusa.com)

## **E&O Insurance**

**Marsh** – insurance coverage for a variety of exposures, including fraud, business continuity and operational risk

212-345-6000

**<http://global.marsh.com>**

**Starkweather & Shepley Insurance, Inc.** - provides a variety of insurance, risk management, financial, and related services on a worldwide basis

401-435-3600

**[www.starkweathershepley.com](http://www.starkweathershepley.com)**

**Willis Group** - one of the world's largest professional services firms specializing in risk management, providing a wide range of strategic and operational risk management services across all industries worldwide

212-915-8888

**[www.willis.com](http://www.willis.com)**

## **Electronic Books & Records Solutions**

**CA, Inc. (formerly Orchestra Corporation)** - offers IT security professionals a comprehensive portfolio of identity-centric data loss prevention (DLP) capabilities. As part of CA's Security Management solutions, CA DLP enables businesses to protect all types of sensitive information and assets from loss and misuse, remain compliant with regulations and corporate policies and reduce overall business risk

800-225-5224

**[www.ca.com](http://www.ca.com)**

## **Compliance Science**

**C-TRAC™** - an enterprise scaled tool designed to capture and certify institutional contract data across all clients and counterparty agreements including IMAs, Sub Advisory Agreements, Prospectuses, Subscriptions, High Net Worth, Wrap Accounts, ISDAs, Sec Lendings, Side Letters, etc. C-TRAC™ allows stakeholders to access and review all legal obligations 24x7x365 using secure browser based technology

212-327-1533

**[www.complysci.com](http://www.complysci.com)**

**CSI DocVault™** - a searchable and sortable document tool designed specifically for Investment Advisors, Brokers/Dealers and Hedge Funds to better enable them to quickly and efficiently respond to regulatory exams. Our unique Text Capture system and OCR engine allows you to search documents and even image-scans based on the text within

212-327-1533

**[www.complysci.com](http://www.complysci.com)**

## **Electronic Mail Archiving & Surveillance Tools**

**Global Relay** – messaging services that provide the foundation for mail management, compliance, eDiscovery and business continuity

604-484-6630

**[www.globalrelay.com](http://www.globalrelay.com)**

**LiveOffice AdvisorMail** - provides archiving, retention and compliance monitoring solutions for email, instant message, Bloomberg, Reuters, mobile device and social media communications. Our solutions are specifically aimed to help B/Ds and RIAs meet SEC, FINRA and federal e-discovery requirements. LiveOffice also offers email hosting, email encryption and email continuity solutions

800-374-2032

**[www.advisormail.com](http://www.advisormail.com)**

**Smarsh** – e-mail and instant message archiving, WORM Optical Storage, attachment archiving, virus protections, review and reporting tools, spam filtering

866-SMARSH-1

**[www.smarsh.com](http://www.smarsh.com)**

## **GIPS Verification and Performance Services**

**Ashland Accounting** – provides GIPS consultation and verification, SEC compliance and CCO record-keeping and reporting services, performance computation, SAS 70 audits, and analytics consulting

541-857-8800

**[www.ashlandpartners.com](http://www.ashlandpartners.com)**

**CAPS Incorporated** – provides GIPS consulting and verification services

(503) 288-2704

**[www.vincentperformance.com](http://www.vincentperformance.com)**

**Deloitte & Touche LLP** – audit, tax, consultant and financial advisory services, including GIPS verifications

714-241-5115

**[www.deloitte.com](http://www.deloitte.com)**

## **Hedge and Private Fund Auditing Services**

**Harb, Levy & Weiland, LLP** – offers a full range of audit, accounting, taxation, consulting and compliance services

415-974-6000

**[www.hlwcpa.com](http://www.hlwcpa.com)**

**Rothstein, Kass & Company** – provides audits, reviews and compilations, forecasts, projections and budgets; year-end planning; review and evaluation of internal controls and due diligence

310-273-2770

[www.rkco.com](http://www.rkco.com)

**Spectrum Capital Investment Group** – a full service CPA firm providing reviews, audits, tax planning and preparation and business consulting

949-502-6700

[www.SWMadvisors.com](http://www.SWMadvisors.com)

### **Hedge and Private Fund Administration**

**BGT Fund Administration (NAV Lite only)** – provides hedge fund administration including fund accounting / NAV calculations, partner allocations, and year-end reporting services

213-503-1542

[www.bgtconsulting.com](http://www.bgtconsulting.com)

**HedgeCount, LLC** - fund administration incorporating not only the core accounting and investor reporting services, but also comprehensive tax compliance and investor K-1 reporting services

888-828-3777

[www.hedgecount.com](http://www.hedgecount.com)

**Hedge Solutions, Inc.** – offers fund administration including portfolio systems implementation, GIPS compliance, anti-money laundering compliance, and SEC audit assistance

310-806-9269

[www.hedge-solutions.com](http://www.hedge-solutions.com)

### **Personal Trading Surveillance and Archiving**

**ComplySci's Personal Trading Control Center - PTCC™** provides affordable Code of Ethics management and Personal Trading Surveillance using advanced technology and is inclusive of all regulatory requirements including amended SEC Rules 17j-1 and 204A-1

212-327-1533

[www.complysci.com](http://www.complysci.com)

**Financial Tracking, LLC** – provides employee trade monitoring and pre-clearance, portfolio management process checking, performance dispersions and AML and risk management monitoring

203-340-2356

[www.financial-tracking.com](http://www.financial-tracking.com)

**Schwab Designated Brokerage Services**, a segment of **Charles Schwab & Co., Inc.** (Member SIPC), - the registered broker-dealer is committed to meeting the high standards that corporate compliance departments expect. We offer efficient, accurate employee trade surveillance solutions while providing employees with personalized financial services to help them achieve their financial goals. Our trade surveillance technology solutions include Schwab Trade Rules™, a ground-breaking web-based application that can proactively block restricted trades that are not compliant with your firm's employee trade monitoring policy  
800-589-4276

[www.designatedbrokerage.schwab.com](http://www.designatedbrokerage.schwab.com)

### Proxy Voting Services

**Broadridge Financial Solutions** – supplies proxy tools to help vote, keep records, and maintain compliance

800-353-0103

[www.broadridge.com](http://www.broadridge.com)

**Proxy Governance** - provides a full range of proxy analysis, voting and reporting services designed to meet the needs of investment advisors, mutual funds, pension funds, money managers, and other fiduciaries

703-245-5710

[www.proxygovernance.com](http://www.proxygovernance.com)

**Risk Metrics - Institutional Shareholder Services** – offers research and voting, social investment research and voting, social investment portfolio screening, proxy distribution, securities class action, and corporate governance advisory services to financial institutions and corporations

301-556-0500

[www.issproxy.com](http://www.issproxy.com)

For more information, or to learn about how CCLS may be of assistance, please do not hesitate to contact us at (619) 278-0020.

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