



## SEC Compliance Services

RQC Group was founded in 2007 to provide integrated FCA and SEC compliance advice. Since that time, we have witnessed dynamic shifts in the regulatory environment and have grown our SEC team to meet our clients' needs. Throughout the changing landscape, we have always remained committed to providing our clients with pragmatic advice allowing them the ability to confidently understand their regulatory obligations. We seek to identify regulatory solutions that directly fit the needs of your business.

Our senior consultants work together to ensure that we share our experience and knowledge to deliver industry-leading advice to our clients.

Our SEC-Compliance services include:

- Assistance with SEC registrations and Exempt Reporting Adviser notifications
- Provision of on-going compliance advisory assistance
- Ad-hoc assistance, including project work

### SEC Registration and Notification

Our experts in both the US and UK have extensive experience and understand the expectations of the SEC. We work with you to ensure your Form ADV is drafted in line with all regulatory requirements and industry focus areas.

Our goal is to ensure that your Form ADV properly represents your business to the SEC and is consistent with other client disclosure documents. Once your registration is complete, we will draft appropriate policies and procedures to assist you in adhering with your on-going regulatory requirements.

### On-going compliance

RQC Group provides a wide range of SEC compliance monitoring services which can be tailored to your specific needs. We often partner with clients on an on-going, retained basis allowing us to work proactively and better understand their business and areas of risk. RQC Group consultants work collaboratively, to benefit clients through our varied experience and shared insight from seeing issues across our diverse client base and the wider industry.

Our on-going compliance monitoring services start with a comprehensive initial assessment of your business and includes at least quarterly monitoring visits. Our approach takes into account both regulatory requirements and industry best practices.

### Ad-hoc/Project work

Our senior consultants have extensive experience working with investment advisers. We assist firms with a variety of projects, including SEC required Annual Compliance Reviews and Mock Audits.

Our core strength lies in delivering bespoke advice for our clients, as opposed to a tick-box, one size fits all approach. We work hard to understand your business and provide you with clear compliance solutions.