



Compliance Support Services for ACP Members!

Adviser Compliance Services (ACS) has partnered with ACP to provide a menu of compliance services packages to ACP members at special ACP member rates. ACS, a compliance consulting firm founded in 2012 by Lori Neidel (Law office of Lori J. Neidel, LLC), offers outsourced chief compliance officer support to independent registered investment advisors.

Available to New Certified Members:

FREE

Within the first two years of membership, **NEW** Certified members are eligible to receive two hours of compliance consultation **at no cost**. New Certified members should contact MaryKate Foust at marykate@acplanners.org for details.

Available to All Certified Members:

ADV Annual Updating Amendment Service

\$950

This service covers the drafting and filing of the advisor's ADV annual updating amendment. ACS will provide documents for the advisor to use for updating their ADV. From the information provided, ACS will prepare a draft of the updated ADV for the advisor's review and approval. Upon approval, the ADV annual updating amendment filing is made in IARD on behalf of the advisor and a confirmation of the filing is sent to the advisor.

Ongoing Tailored Services

\$400 per month minimum

price based on complexity

This service provides comprehensive ongoing compliance support to the advisor for a fixed monthly fee. The service includes drafting and filing of all the advisor's regulatory filings, maintaining the firm's compliance policies and procedures, performing ongoing testing and reviews in core compliance areas, and assisting the advisor when undergoing regulatory examination. The fixed fee is based upon the scope and complexity of the engagement.

Remote Audit Service

\$2,500 minimum

price based on complexity

This service is a type of "check-up" of the advisor's overall compliance program conducted remotely. The service consists of a review of the firm's documents, testing of the firm's policies and procedures in core compliance areas, and making a report to the advisor of any deficiencies, gaps or violations found.

ACS will also provide ad hoc services at the discounted ACP rate of \$325 per hour