



Investment Adviser and Private Fund Manager **Services Questionnaire**

General Information

Firm Name:

Primary Contact:

Address:

City, State, Zip:

Phone Number:

Email:

Website:

Inception Date of the Firm:

Primary Decision Maker:

Total Number of Employees:

Other Office Locations:

Describe your current compliance need(s):



Firm Profile

Registrations (select all that apply):

- SEC
- FINRA
- State
- NFA
- FSA (UK)
- SFC (Hong Kong)
- None
- Not Applicable
- Other

Types of Clients (select all that apply):

- HNW Individuals
- Banking or Thrift Institutions
- Registered Mutual Funds
- Private Funds (including hedge funds, private equity and venture capital)
- Pension and Profit Sharing Plans
- Charitable Organizations
- Corporations or Other Businesses
- State or Municipal Government Entities
- Other

Total Number of Clients:

Total AUM:

Primary investment strategies:

Affiliates (select all that apply):

- Bank
- Broker-Dealer
- Other Investment Advisers
- Futures Commission Merchant, Commodity Pool Operator, or Commodity Trading Advisor
- Accountant or Accounting Firm
- Insurance Company or Agency
- Pension Consultant
- Real Estate Broker or Dealer
- Other



Compliance Program Overview

Do you maintain compliance policies and procedures or a compliance manual?

yes no

Are your written compliance policies and procedures up to date?

yes no

Name of the Firm's Chief Compliance Officer:

How many employees are dedicated to implementing and overseeing the firm's compliance program?

Have you completed an annual compliance program review?

yes no

Has the firm ever been inspected by the SEC or other regulatory or self-regulatory agency?

yes no

If yes, please list the agency:

Third-Party Service Providers

Outside Legal Counsel:

Auditor:

Primary Client Custodian:

Fund Administrator:

Prime Broker(s):

Are you currently working with, or have you previously worked with, a regulatory compliance consultant?

yes no

If yes, please provide the name of the compliance consulting firm and the reason for potentially wanting to switch:



Other

Is the firm or any of its employees currently involved in any actual or pending litigation or arbitration that you are aware of?

yes no

Does your firm claim compliance with the Global Investment Performance Standards ("GIPS®")?

yes no

How did you hear about ACA? (select all that apply):

- ACA Client
- Outside Legal Counsel
- Auditor
- ACA Insight
- Compliance Alert
- Advertisement
- Hardcopy Mailer
- Other

Any additional comments:

SUBMIT

Thank you for taking the time to fill out this Questionnaire.

We will follow up with you shortly.

Damon Zappacosta, Director of Client Development

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