

IA COMPLIANCE & CONSULTING LLC

SUPERIOR SOLUTIONS THAT WORK FOR YOUR BUSINESS.

IA Compliance & Consulting specializes in regulatory and compliance services for investment advisors, hedge funds and private equity managers.

Our goal is to provide superior solutions to meet the evolving regulatory compliance needs of our clients. IA Compliance and Consulting identifies the unique registration requirements for each client, provides insight into the changing regulatory environment, and delivers practical solutions to the firm on a timely, responsive basis.

With over 25 years of combined experience, Suzette Surman and Karen Haggerty can assist with all aspects of registration, regulatory exams, compliance issues and insight into the changing environment and rules pertaining to Investment Advisors.

“Working with you to meet your investment advisor compliance needs”



WE PROVIDE THE FOLLOWING:

- Investment Advisor Registration
- Web IARD/CRD Administration
- Compliance Manuals
- Business Continuity Plans
- Form ADV documents
- Code of Ethics
- State Registration Applications/Notice Filings
- Compliance Exams/Reviews
- Compliance Training
- Regulatory Responses
- Advertising Reviews
- General Compliance Consulting