

ACA Compliance Group



ACA Compliance Group (“ACA”) is a leading provider of risk management and technology solutions that focus on regulatory compliance, performance, and cybersecurity. We partner with our clients to help them build, enhance, and add controls to their business functions. Our clients include leading global bank and insurance company-affiliated or standalone asset management groups, investment companies, broker-dealers, private fund managers, and commodity trading advisors.

OUR PRODUCTS AND SOLUTIONS

Regulatory Compliance

Our team of regulatory compliance professionals includes former SEC, FINRA, FCA, FSA, NYSE, NFA, and state regulators, as well as former senior managers from prominent financial institutions and advisory firms. We work with compliance and legal professionals to review and develop compliance programs based on best practices, current regulatory requirements, and robust oversight processes.

Our compliance offerings include:

- Mock regulatory exams;
- Policy and procedure review and drafting;
- Compliance program reviews;
- Electronic communications reviews;
- Advertising and marketing materials reviews;
- Fee and expense reviews;
- Tailored turnkey registration services;
- Filings services;
- Periodic on-site CCO support;
- Outsourced compliance services and secondments; and
- Education and training.

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Cybersecurity and Risk

We offer financial services firms a holistic, client-focused approach to technology risk and governance. Our team of financial technologists works with CISOs, CTOs, COOs, and CCOs at a broad range of firms to improve security infrastructures, provide advisory services, and conduct cybersecurity reviews.

Our cybersecurity and risk offerings include:

- Cybersecurity and technology risk assessments;
- Mock SEC cybersecurity exams;
- Vendor due diligence;
- M&A IT and cyber due diligence;
- Network penetration and vulnerability testing;
- Domain registration monitoring;
- Ongoing advisory, alerting, and guidance; and
- Cybersecurity awareness training and phishing testing.

Performance

We specialize in providing GIPS® verification and performance-related services to investment managers across the globe. We employ the world's largest group of professionals dedicated solely to GIPS verification and associated services.

Our performance offerings include:

- GIPS verification;
- Independent performance certifications;
- Focused performance reviews; and
- Education and training.

Technology

We provide mission-critical financial software products and services that allow leading investment management firms to increase operational efficiencies, reduce risk, and increase profitability.

Our technology offerings include:

- ComplianceAlpha®
 - Compliance Management Platform
 - Marketing and Advertising Review Solution
- ACA Regulatory Reporting;
- Decryptex® trade surveillance;
- Consulting services.
- NorthPoint Investment Management System:
 - Order Management;
 - Portfolio management;
 - Allocations;
 - Trading compliance;
- NorthPoint Data Management Solutions:
 - Data Warehouse;
 - Price Master;
 - Security Master

AML and Financial Crime

We provide AML and financial crime products and services to banks and other regulated entities.

Our AML and financial crime offerings include:

- AML compliance program reviews and assessments;
- AML risk assessments and mitigation;
- AML regulatory and audit remediation;
- Model risk management and validation;
- Internal audit and controls assessment;
- New York DFS Part 504 readiness assessments/gap analysis;
- AML and global sanctions technology implementation and optimization; and
- Compliance analytics.