



# SERVICE OFFERING FOR COMPLIANCE CONSULTANTS

## GIPS COMPLIANCE & PERFORMANCE EXPERTISE - BEHIND THE SCENES

Longs Peak's **Compliance Consultant Support** is a specialized service that utilizes our expertise in the GIPS standards and investment performance to enhance the services offered by compliance consultants.

## LET US SUPPORT YOUR MOCK SEC EXAMS OR CLIENT'S COMPLIANCE PROGRAM

### WHAT WE DO

We collaborate with compliance firms to provide expertise in resolving intricate compliance challenges relating to the GIPS standards and investment performance. By utilizing our proficient team of experts as an extension of your firm, we provide tailored solutions, comprehensive GIPS compliance guidance, and investment performance data validation. Let our team round out your compliance offering!

### GIPS

- Review GIPS policies and procedures
- Test composite construction
  - Outlier analysis and recommendations
  - Data integrity report
- Review GIPS Reports and disclosures
- Review marketing materials for GIPS purposes
- Provide support related to GIPS verification
- Review GIPS-related error and distribution logs for compliance with the GIPS Standards

### SEC MARKETING RULE

- Test whether performance data included in marketing materials complies with SEC Marketing Rule



### PERFORMANCE

- Evaluate non-GIPS performance policies and procedures
- Test non-GIPS composite construction
  - Outlier analysis and recommendations
  - Data integrity report
- Ensure data consistency across different strategies/composites
- Test calculation methodologies
- Consult on portability issues
- Consult on portfolio accounting systems/system conversions



- Use performance and risk statistics to test whether firms are following the mandate they claim to follow.