

THE PRACTICAL CCO™ COMPLIANCE TRAINING

Certificate in Regulatory Compliance

for Private Fund Analysts & Associates



THE PRACTICAL CCO™ COMPLIANCE TRAINING is a division of Activus Risk Management, LLC. Our proprietary training program helps organizations deliver, document and maximize the impact of their Compliance training initiatives.

We deliver onsite Compliance training programs that are comprehensive, efficient and practical, as well as tailored to the responsibilities and business activities of employees, C-suite executives and senior management, board committees and directors, senior advisors and other consultants.

We offer Analyst and Associate Programs, Summer Intern Programs and Compliance Training Advisory Services utilized by the world's leading asset managers, asset owners and regulatory authorities.

For our academic institution clients, we offer specialized Compliance training programs for undergraduate and graduate students.

For more information about our training programs, contact us at training@activusrisk.com.



Other firms advise. We execute.

As part of their onboarding process, Analysts and Associates require targeted, practical Compliance training that is tailored to their unique business activities.

New Analysts and Associates serve an integral role in deal execution. They also help meet investment objectives and execute on your Firm's strategic plan. Oftentimes, however, they have little or no direct experience working for a registered investment adviser or private fund, and their mid-year hire date almost always ensures they do not receive any direct Compliance training until the Firm delivers its firm-wide training program—which typically occurs at year-end.

The result is that new Analysts and Associates operate for several months without understanding the regulatory risks and pitfalls associated with their specific business activities and industry interactions, and the associated liability.

To solve this problem, ACTIVUS has developed a unique on-site program to deliver practical, independent Compliance training that is specifically tailored to the unique job responsibilities of Private Equity, Hedge Fund and Credit Fund Analysts and Associates.

SAMPLE TOPICS INCLUDE:

Firm/Industry-Specific:

- Code of Ethics & Personal Trading
- Conflicts of Interest
- Political Contributions/ Pay-to Play
- Fiduciary Duty & Private Fund Clients
- Expert Networks & Consultants
- Current Regulatory Developments
- Cybersecurity
- Portfolio Company Valuations

Analyst/Associate Specific:

- Insider Trading Pitfalls
- NDAs: Legal & Regulatory Checklist
- Deal Flow: Key Roles of Solicitors and Finders
- FCPA/Anti-Corruption
- Ethical Considerations
- Advertising Rule Compliance: Pitchbooks, CIMs and Other Marketing Materials
- Electronic Messaging, Social Media Platforms and Apps



About Us

Activus Risk Management is a leading risk management firm that provides customized Governance, Regulatory Compliance and Audit, Enterprise Risk Management, ESG & Responsible Investing and Diligence services. With offices in Los Angeles and New York, we offer practical solutions to real-world challenges for asset owners, asset managers, stock exchanges, regulators and non-financial industry businesses around the world.

Our Philosophy

The word "activus" means *practical* in Latin. We founded Activus Risk Management as an alternative to traditional advisory firms because we believe that risk management and regulatory compliance services should be both legally sound and actionable.

Not only do we understand the scope of our clients' risk and regulatory compliance requirements, we know how to operationalize them in a risk-based and practical way that makes sense for each organization.

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FIRM BENEFITS:

- Strengthens existing Analyst/Associate training programs that have traditionally focused on financial modeling requirements.
- Mitigates legal, regulatory, operational and reputational risks and increases confidence of key stakeholders.
- Incorporates key regulatory developments, industry best practices AND your Firm's specific Compliance policies and procedures.
- Satisfies requirements under Advisers Act Rule 206(4)-7 (the "Compliance Rule") and Advisers Act Rule 204-2 (the "Books and Records Rule").
- Demonstrates to the U.S. SEC and other regulators your Firm's strong commitment to Compliance and Tone at the Top.

ANALYST/ASSOCIATE BENEFITS:

- Promotes judgment and ethical decision-making through practical case study analysis and SEC enforcement examples.
- Fosters confidence in executing professional responsibilities, industry interactions and SEC exam interviews.
- Establishes a competitive advantage among industry peers.

PRICING:

Half-Day Program (3 hours): \$750 per attendee

Full-Day Program (6 hours): \$1,250 per attendee

Group discounts available. Please contact us at training@activusrisk.com.

Program Includes:

- Expert training delivered by former CCOs, regulators, and/or expert legal counsel.
- Detailed case studies and hypotheticals that map regulatory compliance risks to Analyst/Associate job responsibilities.
- Summaries of leading SEC Enforcement actions that highlight the intersection of Analyst/Associate business activities and regulatory risk.
- Robust Q&A segment.
- Each participant receives the ACTIVUS RISK MANAGEMENT | *Certificate in Regulatory Compliance for Private Fund Analysts & Associates*.

For more information, contact us at:

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