



## **Chief Operating Officer Center ("COO Center") Supported by Investment Business Advisors, LLC**

Providing "Best Practice" Advice to Alternative Firm CEOs, CIOs, COOs, CFOs and Functional Heads

### **Regulator Related Initiatives**

#### **Initial SEC Registration**

- Changes/Expansion
- ADV Updates

#### **International Office Set-up/ Registration**

- Investment Teams/Functions
- Marketing & Client Service
- Back-Office Functions

#### **Regulatory Planning and Implementation**

- US
- UK
- Europe
- Middle East
- Japan
- PRC/China/Hong Kong
- Singapore
- Australia
- South America/Latin America

#### **Re-registration Following Acquisition, Spin-off or Major Global Reorganization**

#### **Mock SEC & Other Regulator Audits**

- **Official SEC & Other Regulator Audits**
  - "Sweep" Audit
  - "Comprehensive Audit"

#### **Regulator Enforcement Actions**

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