

Grassi Fund Administration Services, Inc.

Compliance and Regulatory Services

Grassi Fund Administration Services, Inc., (GFAS) provides comprehensive Compliance and Regulatory Services to enable our clients to establish and maintain rigorous compliance programs, risk assessments, mock audits and AML, KYC to manage their ongoing programs.

Through a hands-on, consultative approach to client needs we can identify the stringent yet ever-changing, and sometimes obscure, regulatory requirements. We combine experienced professionals with a robust technology platform to produce customized solutions to carve through the multitude of requirements and comply with a governing landscape that can be very overwhelming. Using a collaborative approach to our client's specific requirements, we can serve as your complete outsourced compliance resource.

GFAS provides services for:

- Alternative Investment Funds
- Broker/Dealers

Services include:

COMPLIANCE PROGRAM

- Consult to analyze relevant requirements
- Develop a tailored compliance program and customized compliance manual
- Ongoing monitoring and surveillance
- Create and test business continuity and disaster recovery plans

RISK ASSESSMENT

- Examine core compliance needs and make key risk assessments
- Due diligence

REGULATORY SERVICES

- Registration services
- Form ADV (Parts 1&2), Form PF, FATCA, Schedule I3F and other regulatory filings
- Regulatory reviews and governance
- Disclose requisite state and federal registration requirements changes
- Annual reviews

MOCK AUDITS

MOCK REGULATORY EXAMS

SEC, AIFMD, FINRA, CFTC, ESMA COMPLIANCE SERVICES AVAILABLE

DOMESTIC AND INTERNATIONAL CAPABILITIES



488 Madison Avenue, New York, NY 10022
www.grassicpas.com/gfas

(212) 661- 6166