

# Fund Chief Compliance Officer Support

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*Foreside can assume the Fund CCO role on an outsourced basis, support an internal Fund CCO, or fill the role on an interim basis.*

## **The Brief:**

A large fund complex with multiple registered product types and highly engaged fund boards suffered a period of higher than normal turnover within its internal fund compliance team, leaving the role of Fund CCO open.

## **The Approach:**

Foreside was engaged to perform a gap analysis of existing compliance manuals, while supporting day-to-day compliance operations. The engagement's consultative nature allowed Foreside to raise and implement several recommendations intended to improve internal communication and efficiency.

## **The Result:**

A replacement Fund CCO candidate was hired and on-boarded with Foreside's support. Our deep familiarity with the firm's compliance program allowed for a smooth transition, minimizing risk and disruption to the business.

*All situations are evaluated independently, and results may differ. It is important to note these case studies are not testimonials, but examples of strategies that have been deployed to assist our clients. These examples may not be representative of your experience with Foreside and do not guarantee that you will experience the same or similar results.*

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