

The Ins and Outs of Outsourcing Compliance

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Compliance is one extremely important element of operating a registered investment adviser, fund or broker-dealer, and many financial services professionals fall short in this area. For that reason, firms should decide whether outsourcing compliance is worthy of consideration. As they make this decision, firms should recognize that there are many options available, not just outsourcing the chief compliance officer position. In this excerpt from [Modern Compliance Volume II: Best Practices For Securities & Finance](#), [Mark Alcaide](#) explores how outsourcing can benefit RIAs and broker-dealers.