

COMPLIANCE: EXEMPT REPORTING ADVISOR (ERA)



Assure provides expert assistance for the setup, management, and reporting associated with the Securities and Exchange Commission and State Exempt Reporting Advisor (ERA).

AT A GLANCE

- // Deep ERA and IARD expertise.
- // Largest ERA Form ADV filed in history for each of the past 3 years
- // More than 45 clients in under 3 years
- // Enables growth
- // ERA service referrals from industry leaders AngelList, EquityZen, and Propel(x)

HELPING YOU NAVIGATE THE COMPLEXITIES OF COMPLIANCE

Assure's compliance team offers extensive knowledge and experience to guide you through the intricacies of ERA rules. We can register and update your ERA requirements, including setting up and maintaining your account through the complex Investment Advisor Registration Depository (IARD).

We'll file your annual amendments to Form ADV and any others that come up during the year using our robust information collection and organizational processes that accurately and efficiently populate the form. We'll help with on-going compliance training and consulting for your personnel. Our ERA services complement and supplement your Special Purpose Vehicle (SPV) administration services and ensures compliance with applicable rules and regulations.

OUR SERVICES

- // **Initial Investment Advisor Consultation**
 - Consultation with your counsel regarding investment advisor filing implications.

// **IARD Account Set-Up**

- Registration with the Financial Industry Regulatory Authority (“FINRA”) Entitlement Program including:
 - Filing New Organization Super Account Administrator (“SAA”) Entitlement Form for Investment Adviser firms.
 - Administrative account set-up.

// **Form ADV Filing**

- Accurate and timely filing of:
 - Form ADV Part 1.
 - Form ADV annual and other-than-annual amendments.

// **IARD System Maintenance**

- Payment of initial registration and annual updating amendment fees as applicable.
- Coordination with the SAA to complete the Annual Entitlement User Accounts Certification process.
- Maintenance of administrative user account login credentials.

// **On-Going Consulting and Maintenance**

- Response to SEC and state notice filing requests related to your investment advisory obligations.
- On-going assistance related to a client’s exemption status.

UNIQUE BENEFITS

// **Ongoing Monitoring and Guidance**

Assure provides accurate consulting on the complex ERA exemption requirements. We will monitor your requirements on an on-going basis and highlight any required changes and implications on your investment fund structure.

// **The Ability to Grow at Scale**

Our services are designed to enable growth. You will receive data management and filing services that facilitate volume, both in terms of the number of investment funds you’re advising, as well as the number of investors in each of the funds.

WHY ASSURE

Assure Services is the leading provider of outsourced administrative and transaction services for the private investment marketplace. Our technology, paired with our deep knowledge and commitment to providing seamless SPV and fund administration service experience, is transforming how deals get done.

OTHER SERVICES OFFERED BY ASSURE

// SPV Administration

No other firm can match Assure's specialized expertise, speed, or cost-effectiveness in delivering SPV services to the private investment community.

// Fund Accounting and Fund Taxes

Assure offers comprehensive fund accounting and fund tax services that allow our clients to outsource financial duties to maximize internal bandwidth and consolidate and simplify CFO-focused tasks.

// Cryptocurrency

Assure is one of the largest and most experienced firms for handling SPVs with crypto subscriptions and pre-ICO KYC procedures.

// KYC/AML Services

Assure's KYC/AML services ensure that our clients' investment funds follow applicable state, federal, and international law regarding terrorist and money laundering risk and reporting requirements.

// 506(c) Accreditation

Assure provides third-party verification services to review the fund's accreditation status and each individual investor's status as applicable. We also issue a status letter in accordance with SEC guidelines.

ASSURE SERVICES BY THE NUMBERS

40+

years private equity experience

4

years cryptocurrency experience

3,500

SPVs under management

2,159

entities (largest ADV filing in history)

\$1B

early-stage venture capital initiative for SBA

4,500+

SEC filings prepared and filed

35,000

K1s produced in 2018

\$2B+

assets under management

OUR CLIENTS



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