

COMPLIANCE: KYC/AML COMPLIANCE AND 506(c) ACCREDITATION



Assure's KYC/AML services ensure that your investment funds are following applicable state, federal, and international rules regarding terrorist and money laundering risk, screening, and reporting requirements. We also provide 506(c) third-party accreditation verification services for investment funds and for each fund investor as applicable.

AT A GLANCE

- // Deep experience with KYC/AML and 506(c) procedures for various investment structures
- // Industry best-standard KYC/AML and 506(c) integration with SPV fund administration
- // Seamless data integration with deal onboarding, using our state-of-the-art information and data management system

KYC/AML COMPLIANCE

Safeguard your funds and make sure you're meeting all compliance regulations with our Know Your Customer (KYC) identification and verification services, and investor anti-money laundering (AML) transaction monitoring. Using best-practice policies and procedures, we identify, screen, and report potential indicators of fraud, money laundering, or sanction violations related to your investment funds.

OUR SERVICES

- // Customer identification program and procedures.
- // Screening of clients and investor transactions against sanctions and other watch-lists.
- // Processes to assess money laundering, terrorist financing, and sanction risks applicable to investment funds.
- // Processes and systems to monitor customer transactions and activity.
- // Processes and systems to identify and report suspicious activity.
- // Retention of required records.

KYC/AML BENEFITS

// State-of-the-Art Technology

As an Assure KYC/AML client, you'll benefit from our state-of-the-art information and data management system that ensures identity verification and screening processes integrate seamlessly with SPV deal onboarding.

// The Ability to Grow at Scale

Our KYC/AML services are designed to enable your investment portfolio to grow and scale at volume. KYC/AML management is an on-going requirement for the life of an investment fund and we'll be there with you the entire time.

506(c) ACCREDITATION

With our 506(c) accreditation verification services, we'll ensure an accurate and seamless process, review the basis for accreditation, and provide a status letter to investors, managers, and/or portfolio companies as required.

// Our Services

- Investor accreditation information collection .
- Licensed attorney or certified public accountant review of collected information as needed.
- Issuer/manager review of collected information.
- Accreditation status letter delivery.

// Unique 506(c) Benefits

BEST PRACTICE VERIFICATION

Our industry best-practice verification services ensure accurate information collection, a thorough review by a licensed CPA and a prompt status letter.

STATE-OF-THE-ART INTEGRATION

We ensure the verification process integrates seamlessly with deal onboarding.

GROW AT VOLUME

Our 506(c) verification services are designed to grow along with your investment fund volume, ensuring each investor's accreditation status is current and accurate.

WHY ASSURE?

Assure Services is the leading provider of outsourced administrative and transaction services for the private investment marketplace. Our deep knowledge and commitment to providing seamless SPV and fund administration service, coupled with our innovative technology, 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.

// Exempt Reporting Advisor

Assure provides expert assistance related to the setup, management and reporting associated with SEC and State Exempt Reporting Advisor (ERA).

// Cryptocurrency

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

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

AMASIA



hackVC

VELORUM CAPITAL



upshift CAPITAL



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