



# ALTERNATIVE REGULATORY SOLUTIONS, LLC

*A COMPLIANCE RISK MANAGEMENT AND REGULATORY ADVISORY FIRM  
OFFERING PRO-BUSINESS SOLUTIONS*

PRESENTED BY:

KIMBERLY MCMANUS  
PRESIDENT AND OWNER

# PROFESSIONAL BACKGROUND

- Alternative Regulatory Solutions, LLC ('ARS'):
  - founded in July 2009 by Kimberly McManus
  - comprised of a team of 7 industry professionals with extensive experience, with particular expertise in the municipal market
  - combined experience of over 100 years with municipal advisors, broker dealers and asset managers
- Clients include:
  - large national firms
  - medium size regional firms
  - small boutique firms
  - municipal advisors - over 75 since inception
  - broker dealers - over 30 since inception
  - registered investment advisers - over 20 since inception

*references available upon request*

# MUNICIPAL ADVISOR SERVICES

ARS provides services to Municipal Advisors ('MAs'), including:

- Implementing the requirements of the Dodd-Frank Financial Reform Bill and adherence to ALL MSRB Rules pertaining to MA's by:
  - writing written supervisory procedures
  - establishing a surveillance program
  - assessing the supervisory infrastructure
  - training
  - preparing filings, including registration
  
- Providing on-going support comprising of:
  - supporting or acting in the capacity of the CCO for the Municipal Advisor
  - executing the surveillance program to ensure compliance with the rules
  - updating written supervisory procedures for rule changes or interpretive guidelines, by issuing bulletins
  - establishing and executing the continuing education program
  - conducting training sessions, both ad hoc and the annual meeting (includes on-site visits)
  - responding to miscellaneous questions and inquiries
  - assisting in audits and/or regulatory inquiries

# PACKAGES

ARS tailors its services to each individual client. Options for compliance coverage include the following:

- Initial Package:
  - review, update, or create WSPs and/or surveillance programs
  - review or create templates - G-10 disclosures, G-20 gift logs, G-42 engagement letters and disclosures, G-44 certifications, etc.
  - review and update registration documents - Form MA, Form MA-I's, Form A-12
- Ongoing Support - standard services and premium services (distinction is in frequency of review):
  - execute surveillance reviews - registration files, continuing education, record retention, deal documentation, cusip applications, e-mails, gifts/entertainment, political contributions, advertisements, supervision, etc.
  - prepare and submit filings - G-37, registration changes, registration affirmations
  - conduct training and answer daily questions
- Hourly Support:
  - mock audits
  - provide particular services or provide guidance at client's request
  - support client during an SEC Audit or other regulatory inquiry

# CONTACT INFORMATION

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