



Setting Our Sights on Your Compliance Needs



Compliance Resource

Looking forward... An on-demand compliance resource providing the tangible tools and on-going consulting needed to complete and document a robust annual review that satisfies the requirements of Rule 206(4)-7.

Mock SEC Exam/Third-Party Compliance Review

Looking back... Conducted by an experienced industry leading team of compliance professionals, we will help your firm prepare for an SEC exam and identify possible deficiencies and internal control weaknesses.

Encourage Simplicity.
Demand FOCUS.

www.focus1associates.com