

# SILVER

**Withstand scrutiny. Inspire confidence.**

## Silver Makes Investment Firms Shine

Silver prepares investment firms for success under regulator examination and investor due diligence. We combine multi-faceted industry expertise and innovation savvy to align firm processes with regulator and investor expectations without creating unmanageable complexity. Silver's customized guidance of private equity, venture capital, hedge fund and crypto/digital asset firms reflects each client's size, strategy and culture.

Our stringent, yet practical, approach reflects Silver's roots in regulatory compliance rigor and investment firm business realities. We calibrate best practices with business considerations to find sustainable approaches for each client. Silver gets to know a client quickly and becomes an extension of their team. We take on ownership and the heavy-lifting, carrying out the routine and most time consuming tasks.

### Regulatory Compliance Services

#### Registration and Foundation Services

- Draft and file Form ADV
- Customized Compliance Manual, Code of Ethics and related policies and procedures
- Initial staff training session

#### Ongoing Maintenance Services

- Compliance calendar management
- Updates to Form ADV, Form CRS, Form PF and other regulatory filings
- Updates to Compliance Manual, Code of Ethics and related policies and procedures
- Employee Code of Ethics disclosure review
- Annual Review planning and implementation
- Annual, new employee and thematic trainings

#### Compliance Assessment Services

- SEC Preparedness Reviews
- Mock SEC Exams
- Forensic testing of specific firm practices

#### Exam Support Services

- Prepare firms for regulator exam process and interviews
- Lead initial document and follow-on request production
- Develop deficiency letter responses and any resulting disclosures, policies or procedures

### Due Diligence Preparation Services

#### Due Diligence Response Services

- Comprehensive, standard DDQ
- Timely responses to custom investor DDQs
- Proactive updating of standard DDQ

#### Mock Due Diligence Review

- Assess firm against investor expectations to identify and obviate red flags
- "Hot seat" key personnel so they are confident and consistent during investor diligence interviews

### ESG Services

#### ESG Program Development Services

- Define ESG priorities and integration approach
- Create ESG policies and procedures
- Construct an analysis-based ESG diligence strategy
- Build ESG reporting and monitoring tools and train firm personnel

#### ESG Program Maintenance Services

- Identify material ESG risks and opportunities during the investment process
- Develop internal ESG reporting and ESG case studies
- Advise on membership in ESG industry organizations and manage on-going membership obligations

#### ESG Diligence Support and Investor Relations Services

- Respond to investor ESG due diligence questionnaires
- Report on ESG-related efforts and focus areas in investor communications