

Alyssa Heim

Director, Financial Services Compliance and Regulation– Los Angeles

Alyssa Heim is a Director at Duff & Phelps in the Financial Services Compliance and Regulation practice. Alyssa joined Duff & Phelps in January 2015 as a result of Duff & Phelps' acquisition of Kinetic Partners. Alyssa began her career with Kinetic Partners in 2013. Alyssa is responsible for managing the Financial Services Compliance and Regulation practice in Los Angeles.

With over ten years of regulatory experience, Alyssa has worked extensively with private fund managers and traditional registered investment advisers through all phases of their business. Alyssa has assisted numerous clients to register with the SEC and NFA, establish customized compliance infrastructures and assist with the ongoing implementation of compliance programs. Alyssa has also assisted advisers with identifying appropriate service providers, conducting compliance and operational risk assessments as well as conducting mock examinations. Alyssa also has significant experience assisting advisers through regulatory examinations including SEC and NFA audits.

Prior to joining Kinetic Partners, Alyssa was a compliance consultant with RIA in a Box (2009 – 2013), a New York compliance consulting firm, specializing in SEC and state registrations. Alyssa managed the registration team, corresponded with state securities divisions and the SEC throughout the registration process. Alyssa assisted with registering hundreds of advisers impacted by Dodd Frank with the appropriate regulator.

B.A in Economics – New York University (New York)

Rose Kaufman

Senior Vice President, Financial Services Compliance and Regulation

Rose Kaufman is a Senior Vice President at Kroll in the Financial Services Compliance and Regulation practice. Rose joined Kroll in September 2018. As part of the Financial Services Compliance and Regulation practice in Los Angeles, Rose is responsible for managing client relationships, including preparing and delivering work product to clients, working through any outstanding issues, upcoming tasks or relevant regulatory updates, and collaborating with junior members of the team.

With over twenty years of regulatory experience, Rose has worked extensively with private wealth advisers and private fund managers. Rose has assisted numerous clients to register with the SEC and the State of California and establish customized compliance programs, including drafting relevant policies and procedures. Rose has also assisted advisers with the ongoing implementation of compliance programs and conducting compliance and operational risk assessments as well as conducting mock examinations. Rose also has experience assisting advisers through regulatory examinations including SEC audits.

Prior to joining Kroll, Rose acted as a Senior Compliance Consultant with Greyline Solutions, formerly Vista Compliance, where she worked closely with broker dealer and investment adviser firms to design, implement and monitor compliance policies and procedures to ensure compliance with FINRA, state and SEC regulations. Rose also worked as an outsourced Chief Compliance Officer of an Oakland based municipal advisor firm where she was involved with developing and implementing their compliance program in accordance with MSRB rules. Prior to joining Greyline Solutions, Rose served as Vice President and Regional Compliance Manager of the San Francisco Private Wealth Management Department for Goldman Sachs. In this role, she was responsible for formulating and implementing policies and procedures, facilitating training, reviewing and approving marketing correspondence, conducting various trade surveillances and performing forensic reviews. Rose joined Goldman Sachs as an analyst in the Global Compliance Department in New York. Prior to joining Goldman Sachs, Rose was an examiner with the NASD where she led investigations surrounding client inquiries.

Rose holds a Bachelor of Science in Accounting from Babson College in Wellesley, Massachusetts.

MUNICIPAL ADVISOR COMPLIANCE SUPPORT SERVICES

**Federal Support Only

Services
Draft and File Form MA and Form MA-I Annual and OTA Amendments
Draft and File Form A-12 Annual Amendments
Collect Contribution and Municipal Activity Information (quarterly)
Draft and File Quarterly G-37 Report
Assist with Registration and Licensing of new Municipal Advisor Representatives
Review of the Company's Marketing Materials (as needed)
Maintenance of a Comprehensive Compliance Calendar
Draft Updates to Written Supervisory Procedures
Conduct Firm Element Continuing Education Program Needs Analysis and create training plan for the year
Performance of the Company's Rule G-44 Annual Review and CEO Certification
Quarterly Review of Electronic Communications
Comprehensive SEC Exam Support and Interview Preparation
Consultation with Kroll Team – routine meetings, calls, and e-mails
Fees Based on the Specific Services Selected by the Company

Financial Services Compliance and Regulation

Kroll's Financial Services Compliance and Regulation experts help a wide range of financial services firms identify, remediate and manage regulatory risk in their businesses. We operate globally, meeting our clients' diverse needs, wherever and whenever they arise.

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Equity Firms



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Wealth Managers



Venture
Capital Firms



Brokers |
Dealers



Real
Estate



Family
Offices



CPOs and
CTAs

SERVICES OFFERED

- Registration Assistance
- Ongoing Compliance Support
- Compliance Secondments
- Operational Due Diligence and M&A Regulatory Reviews
- Mock Regulatory Examinations (Complete and Targeted)
- Annual and Periodic Compliance Reviews
- AML and Financial Crime Prevention
- Asset Management Cyber Security Services