

IAA Service Provider Categories

Accounting and Audit Service – Companies that provide accounting, auditing, asset verification, and financial consulting services for investment advisers.

Best Execution Quantitative Analysis – Companies that assist investment advisers with evaluating actual commission rates and related costs to evaluate best execution.

Business Continuity Planning – Companies or consultants that provide services with respect to business continuity planning, disaster recovery, and planning for restoration of critical firm functions.

Class Action Law Suit Claim Filing Services – Companies that provide assistance to firms or their clients in filing forms and other methods of making claims in class action lawsuits, settlements, and similar actions.

Client Relationship Management – Companies that provide software products and systems to track multidimensional information on clients and their investments.

Compliance – Companies that provide compliance consulting services to investment advisers, including registration/filing; assistance with development of written compliance policies and procedures; performance of mock audits; and risk management and analytics.

Email Retention/Archiving Solutions – Firms with experience in electronic record keeping services including email retention and retrieval, storage of electronic records and retrieval, and data and communications security.

Executive Recruiting – Executive recruitment firms with a financial services practice.

Insurance – insurance brokerage firms that assist investment advisers in meeting their insurance brokerage needs, including advice on risks and exposure and selection of insurance companies and products such as errors and omissions insurance, directors and officers liability, and fidelity bonds.

Investment Adviser Referral Services – Firms or individuals in the business of referring clients to investment advisers for management of client funds and securities.

Law Firms – Law firms and attorneys with an investment management practice.

Law Firms (International) – Law firms located outside the United States with an investment management practice.

Marketing and Public Relations Services – Firms and individuals that assist investment advisers with advertising their services, obtaining public exposure, developing advertising literature or advertising campaigns, prepares market data or research, and develops or maintains web sites for advisers.

Meeting and Event Management – Firms or individuals that provide services of planning, organizing, and conducting meetings and events for investment advisers or others.

OFAC/AML Tracking – AML consultants and companies that offer OFAC tracking software and services to comply with OFAC and USA PATRIOT Act anti-money laundering regulations.

Performance Measurement, Reporting, and Verification – Companies that provide products or services for investment advisers relating to tools to calculate and analyze performance, including performance attribution, benchmark customization and composite management, portfolio reporting, analytical capabilities, verification services of Global Investment Performance Standards (GIPS).

Portfolio Accounting – Companies that offer basic client and securities accounting systems for investment portfolios.

Portfolio Management – Companies that offer portfolio management systems that allow advisers to manage securities transactions, positions, cash and income, including model portfolios using “what if” scenarios by sector, industry, asset class, country, region, or user-defined settings.

Proxy Voting – Firms that provide proxy voting processing solutions, research and recommendations regarding specific proxy votes, and/or assistance with drafting of proxy voting policies and procedures.

Reconciliation Services – Companies that offer automated reconciliation software products and services to allow an investment adviser to compare and reconcile positions, cash, and transactions from multiple sources of data, for both internal and external reconciliation of systems.

Technology Consultants – Companies that provide research and consulting services to investment management firms to meet their technology and operational needs, including vendor selection, assistance with system implementation, and network security.

Trade Order Routing and Management – Companies that provide a comprehensive trade order management system to automate some or all of trading cycles, including order creation, order management, trade execution, trade notification, and trade confirmation.

Trading Platform and Custody Service – Companies that provide a wide range of services for investment advisers and their clients including trading platforms, custody services, and related brokerage services.

Valuation – Firms that value all or a part of an asset management firm for internal or external restructuring purposes.