



COMPLIANCE RISK CONCEPTS AND PHOCION INVESTMENT SERVICES LAUNCH STRATEGIC PARTNERSHIP

September 12, 2017





Compliance Risk Concepts

- Leading authority in compliance
 - A business-focused team of senior compliance executives providing top tier compliance risk management services to clients on an as-needed, project or part-time basis.
 - Provides clients with the critical skills and expertise required to establish, maintain and enhance a balanced and effective compliance operational risk management program.
 - Helps organizations demonstrate a commitment to a strong risk management culture.
- Differentiated by providing
 - Tailor-made services that meet client varied and unique needs
 - Best-in-class industry service quality
 - Clients with strongest commitment to adopt a leading compliance culture



Phocion has been serving clients since 2010

- Leading authority in
 - Performance
 - Compliance
 - Due diligence
- Differentiated by providing
 - In-depth and customized solutions
 - Professionals experienced across the full breadth of the finance industry



CRC Management Team

Top-Tier Compliance Professionals

Mitch Avnet

Founder and Managing Director
Industry Experience: Compliance
Career: 20 years +

Roland Reyes

Director of Professional Services
Industry Experience: Compliance
Career: 20 years +

David J. Amster

Principal and Head of Fund and Dealer Advisory
Industry Experience: Compliance
Career: 20 years +



Phocion Management Team

Experience with depth and breadth

Ioannis Segounis, B.Eng, MBA, CFA, CIPM

Founder and Managing Director

Industry Experience: Performance and Research

Career began: 1999

Founded firm: 2010

David Rowen, CFA, FRM, CIPM

Managing Director

Industry Experience: Investment Management and Research

Career began: 1994

Joined team: 2015

Kosta Segounis, CPA, CA, CFA

Managing Director

Industry Experience: Compliance and Operations Due Diligence

Career began: 1995

Joined team: 2015



Phocion Value Proposition to CRC Clients

- Broadest suite of performance measurement and due diligence services previously unavailable by CRC
- Offer compliance services that meet Canadian cross-border requirements
- Culturally similar with premium service standard



CRC Value Proposition to Phocion Clients

- Senior professionals proficient in all aspects of the U.S. investment management compliance
- Flexible, customized approach
- Culturally similar with premium service standard



CRC & Phocion – Common Beliefs

- Services only provided by professionals with > 10 years of experience
- Consistently go beyond client expectations
- Deliver highest quality of products and services in the industry
- Focus on value creation for the client, measured by operational efficiencies and cost savings



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Disclaimer: The material in this presentation has been prepared by Compliance Risk Concepts (CRC) and Phocion Investment Services (Phocion) and is general background information about CRC and Phocion's activities current as at the date of this presentation. This information is given in summary form and does not purport to be complete, and is for informational purposes only.