

A man in a blue suit and glasses is talking on a mobile phone in an office setting. He is standing near a desk with a laptop, a glass of water, and a desk lamp. The background shows a window with a view of a city.

# BDO THIRD PARTY ATTESTATION FOR ASSET MANAGERS

INVESTMENT INDUSTRY SPECIALISTS  
BACKED BY BDO'S GLOBAL RESOURCES

Rapidly evolving regulatory frameworks and heightened demands from investors globally require more stringent controls and transparency from asset managers. With a dedicated team of asset management audit and assurance specialists backed by BDO's global resources, our Third Party Attestation practice focuses on addressing asset managers' immediate reporting needs and strengthening their controls and reporting for the challenges ahead.

## DIVERSIFIED EXPERIENCE THAT SPANS THE ASSET MANAGEMENT INDUSTRY

Asset managers count on us to help them strengthen their internal controls over client assets and communicate the effectiveness of their control environments to investors. We understand the investment industry's workflows, decision-making, regulatory requirements and emerging risks because we are industry natives who have performed this work for clients across asset classes, fund structures and regulatory regimes.

### Our expertise spans:

- ▶ **Asset classes:** Public equities and fixed income, private equity, real estate, hedge funds and other alternatives
- ▶ **Vehicle types:** Separately managed accounts, closed-end funds, mutual funds, ETFs and private funds
- ▶ **Geographies and regulatory regimes:** North America, EMEA and APAC
- ▶ **Third parties:** Fund administration, fund accounting, information technology, data security and integrity, and performance reporting

## GLOBAL TPA CAPABILITIES

Our professionals provide a full range of business attestation services to clients in accordance with U.S. and international professional standards.

### U.S.

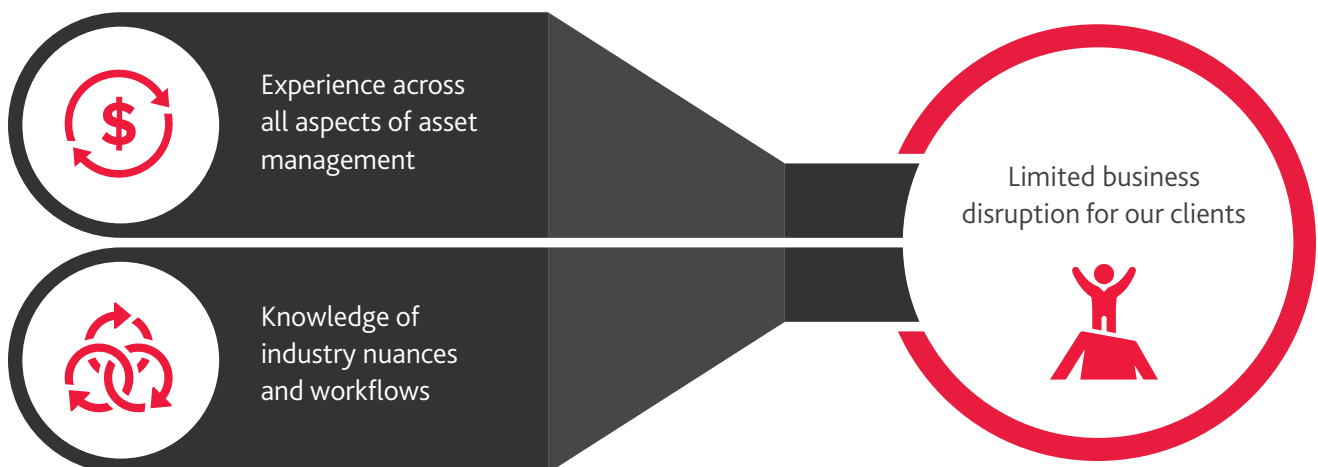
- ▶ SSAE 21: SOC 1, SOC 2, and SOC 3
- ▶ Compliance programs for investment companies/advisers
- ▶ WebTrust for Certification Authorities
- ▶ SOC for Cybersecurity
- ▶ SOC for Supply Chain
- ▶ HITRUST
- ▶ Payment card industry services

### INTERNATIONAL

- ▶ GS007 or ASAE 3402 in Australia
- ▶ DRS and ODD in Australia
- ▶ AAF 01/20 in the U.K.
- ▶ ASAE 3402 in New Zealand
- ▶ ISAE 3000 and 3402 in Europe
- ▶ ISO 27001
- ▶ ISMAP in Japan

## KNOWLEDGE TO ADD VALUE FROM DAY ONE

Our investment industry experience means that asset managers don't need to waste precious time getting us up the learning curve. This allows us to begin adding value for our clients immediately, limiting the operational burden and reducing audit fatigue on their teams.



## CONSULTATIVE APPROACH THAT STRENGTHENS YOUR BUSINESS

BDO does more than simply providing reports that satisfy RFP, compliance and financial statement reporting requirements. We partner with asset management clients to provide guidance on how to strengthen their controls and processes and build reporting that best positions them for the future. This process involves developing a detailed understanding of each asset manager's business and analyzing the optimal reporting solutions.

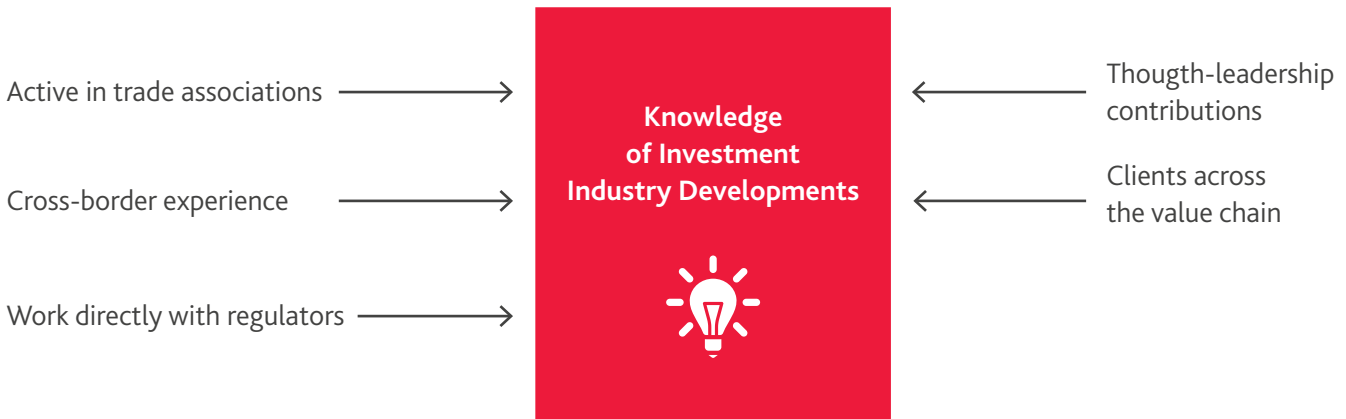
### More than just SOC reports for asset managers

Our approach to third party attestation for asset managers comprises the following steps:



## REAL-TIME INSIGHT ON INDUSTRY DEVELOPMENTS

Our team stays at the leading edge of developments related to new control and reporting requirements across the asset management industry. We are active in industry organizations and associations, collaborate across teams and contribute research and thought leadership to SIFMA, AICPA and a wide variety of industry groups. We continuously expand our depth of industry knowledge to keep our clients informed of real-time developments that directly affect their business.





## CONTACT US

BDO's Third Party Attestation team has a demonstrated track record across the asset management industry, extensive SOC and other attestation capabilities, and a commitment to outstanding communication and client service. Our team of industry veterans is ready to help with your firm's attestation needs.

At BDO, our purpose is helping people thrive, every day. Together, we are focused on delivering exceptional and sustainable outcomes — for our people, our clients and our communities. Across the U.S., and in over 160 countries through our global organization, BDO professionals provide assurance, tax and advisory services for a diverse range of clients.

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