



Company Overview

Compliance made easy.

ICSGroup At A Glance

- Boutique compliance consulting firm serving the financial services industry
- Founded in 2008 by an industry leading attorney and compliance executive
- Clients include registered investment advisers across all asset classes, manager of managers, broker dealers and public pension plan administrators
- Partner with clients to develop compliance programs and ensure compliance with the Investment Advisor's Act and other regulatory requirements
- Team consists of highly experienced and well-respected compliance professionals
- Exclusive compliance partner to NAIC
- Certified minority and woman-owned business enterprise

Compliance Services

- Development of Customized Compliance Policies and Procedures
- Annual Compliance Reviews and Compliance Testing
- Risk Assessments
- Mock SEC Exams
- SEC Exam Coordination
- Marketing Material Reviews
- Compliance and Ethics Training
- Cybersecurity Programs
- Business Continuity & Disaster Recovery Plans
- Vendor Due Diligence Reviews
- Outsourced CCO

Process

Assessment

Review current policies and procedures

Review marketing materials

Review governing documents

Interview principals and employees

Conduct Risk Assessment

Assess compliance gaps

Development

Prepare and File Form ADV Parts 1 and 2 (if needed)

Draft Compliance Manual

Draft Code of Ethics

Draft Business Continuity Plan

Draft Cybersecurity Program

Assist with selection of IT Consultant(if needed)

Assist with selection of e-mail retention vendor (if needed)

Implementation

Develop books and records organizational plan

Develop Annual Compliance Calendar

Meet with CCO to review compliance calendar, internal compliance functions and CCO responsibilities

Deliver compliance training to all employees

Roll out Compliance Manual and Code of Ethics

Management

Update Form ADV

File Form PF

Review marketing materials

Provide proactive guidance regarding new trends and regulations

Update Compliance Manual as required

Conduct Periodic Testing

Conduct Annual Compliance Review

Conduct Annual Compliance Training

Provide unlimited access to dedicated compliance consultant

Management Team



Medina K. Jett, Founder & President

Employment History

- Securities Attorney – Private Practice
- Chief Compliance Officer – Prudential Retirement
- Chief Compliance Officer – Cigna Retirement and Investments
- Chief Compliance Officer - The Hartford
- State of CT Securities Advisory Council (Present)

Areas of Expertise

27 years of legal and compliance experience. Developed compliance programs for institutional investment advisors. Conducted annual compliance reviews/3130 reviews. Coordinated numerous SEC examinations for RIAs. Key consultant at ICSGroup for first 5 years.

Educational Background

- BA – Wesleyan University
- JD – Georgetown University Law Center
- MBA – University of Connecticut School of Business
- Series 7 and 24 (Expired)

Management Team



Lisa Lazarus, VP, Operations and Business Development

Employment History

- Booz Allen Hamilton
- KRA Corporation
- Commander, Navy Region Hawaii at Joint-Base Pearl Harbor-Hickham

Areas of Expertise

Ms. Lazarus has 15+ years human resource and business operations experience, including expertise in the areas of business operations, recruiting, human resources, workforce analytics, talent management and business development.

Educational Background

- BA – Connecticut College
- MBA – American University, Human Capital Management

Management Team



Curtis Flippen, VP, Compliance Services

Employment History

- Law Clerk/Compliance Specialist – Prudential Financial
- Manager, Regulatory Compliance Group – Deloitte
- Senior Manager, Investment Management Regulatory Compliance Group – Ernst & Young
- Senior Compliance Officer – Bear Stearns (JPMorganChase)
- Director, Compliance – MetLife
- VP Compliance – QMA (Wholly-owned Prudential subsidiary)

Areas of Expertise

Mr. Flippen has 20+ years compliance and legal experience. Expertise includes reviewing marketing materials in accordance with SEC guidelines, drafting policies and procedures and conducting annual compliance reviews. Developed due diligence procedures for alternative asset managers. Oversaw compliance programs for registered investment advisors.

Educational Background

- BS – Hampton University
- JD – Rutgers Law School
- Series 6 and 7 (Expired)

Management Team



Dan Carroll, Senior Consultant (Chicago-based)

Employment History

- Vice President, Manager of Operational Risk – Institutional Capital, LLC
- Directory of Compliance & Operations – InView Asset Management
- Director of Operations & Compliance – Magnetar Capital Management
- SVP, Director of Compliance – Deerfield Capital Management, LLC

Areas of Expertise

Mr. Carroll has 20+ years of compliance, accounting and operations experience including, but not limited to developing policies, procedures, and internal controls to establish and enhance operations, risk and compliance departments, and executing third-party due diligence reviews, mock SEC exams, and SOX testing.

Educational Background

BA – Queens College (CUNY)

Our Competitive Advantage



- ✓ Our Compliance Experience
 - Our vast experience building compliance programs and ensuring their effective implementation helps our clients meet regulatory and investor expectations.
- ✓ Our Institutional Experience
 - We have extensive institutional experience which informs our development of compliance programs that consistently meet or exceed institutional investor expectations.
- ✓ Our Pricing Structure
 - We offer flexible pricing based on our client's specific needs and budget. Our rates are extremely competitive in relation to our level of expertise.
- ✓ Our Quality Service
 - Our mature infrastructure and committed team ensures that every client receives the highest level of hands-on support and responsiveness.

Representative Clients



State of Connecticut Pension Fund



Contact Information

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