



## Expert Advice · Practical Approach

*We help people and organizations learn and thrive*



### Fast Facts:

- Founded in 2002 by Laura Rauman, Managing Partner
- Independent, employee owned, majority women-owned
- Long tenured team has extensive experience as former business practitioners who thrive on advising and coaching
- Customized, practical regulatory compliance and business consulting advice

### Our Team: Experienced. Genuine. Honest. Big Picture. Technical.

As experienced business owners and investment industry practitioners, our team provides comprehensive advice for SEC-registered investment advisers, advisers transitioning to SEC registration, 1940 Act funds and private funds. We support Chief Compliance Officers and Senior Management from our nationwide client base by understanding the business needs and goals of our clients and customizing projects and ongoing support engagements based on the unique culture and needs of the people and organization.

Our work is rooted in developing trusted relationships and getting to know the uniqueness of our clients' business models, people and culture. We are then in a great position to help with a wide variety of projects including enhancing existing business practices, processes, and compliance programs, as well as restructuring work flow and team roles. Throughout our engagements, we are coaching our clients' teams so they are able to implement and make stronger business decisions.



### Our Process

Our focus is on unique projects that require a balance of technical, business knowledge with a cultural understanding of firm goals, staff capabilities and needs. We don't just "check a box," but invest time to understand the business needs and become a trusted resource. Our process is efficient, logical, educational and sensitive to the needs of the staff and organization. We frequently help firms see their uniqueness and help develop processes around capitalizing on that uniqueness.



### Our Clients

Since 2002, we have served more than 100 clients nationwide, including institutional advisers, private fund advisers, wealth management firms, 1940 Act funds and other types of pooled investment vehicles. (A partial client list is available on our website)

## Our Services



### Regulatory Consulting

We assist investment advisers and funds with all aspects of CCO support, including navigating the registration process, compliance program development, gap analysis, year-round annual review assistance, implementation of new rules and guidance, mock examinations and service provider due diligence. We look at each project to develop a scope and budget that is customized for the client. (A complete list of services is available on our website)



### Management Consulting

Our team supports many areas of business operations. Our thorough and thoughtful approach adds depth, perspective and a process to support positive and productive work environments. While projects vary, some examples include: support in integrating teams during a merger or acquisition, marketing strategy and materials review, leadership coaching and team building programs.

## Community Involvement: Co-Developed An Innovative Nonprofit



Where Business and Education Meet—Growth Happens Here



We believe in a growth mindset and that every person can learn and thrive when their social and emotional needs are nurtured. This belief led us to create Bloom360 Learning Community, a nonprofit school and adult program. We knew neurodivergent children and young adults in our community could be better served with an educational environment built from the ground up. Our assumption was correct! Learners' social-emotional and sensory needs are met with this unique educational model which paves the way for academic progress. Multi-sensory, project-based learning provides engaging, hands-on learning opportunities. Learners are checking off Common Core standards in the most uncommon ways! Learners'

motivation is on display through their microbusinesses (creating/selling calendars, books, bakery items and more) and in their commitment to community-wide service projects. These bright young people are gaining valuable life skills in creativity, critical thinking, problem solving, communication and collaboration, the same skills employers say are the most important for success and the hardest to find. We are thrilled to volunteer our time and dedicate a percentage of our profits. Bloom360 and Vista360 share the 360 number which underscores our whole-person, whole-organization commitment to wellness. Our sign in front of our building says it all: Better Together. Uniquely Us. For more information, visit: [www.bloom360.org](http://www.bloom360.org)



For more information or to schedule an introductory call, please visit: [www.Vista360LLC.com](http://www.Vista360LLC.com) or contact:

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