Herb Executive Advisory

STRATEGY · OPERATIONS · COMPLIANCE · GROWTH

Fractional Chief Operating Officer · Fractional Chief Compliance Officer

Executive leadership for investment management firms

Institutional-grade operations and compliance leadership, without a full-time C-suite.

Growing investment firms need seasoned executive leadership before they are ready to hire full-time. We partner with founders, CEOs, CIOs and managing partners as embedded COOs and CCOs, building the business around the investment process: the operating platform, the compliance program, and the controls that let a firm launch, pass due diligence and scale with confidence.

29+ **years of executive leadership in institutional asset management**

Our founder has led operations, compliance, finance, technology, HR and administration across SMA, mutual fund, hedge fund and private fund structures.

FRACTIONAL

Chief Operating Officer

- Strategic planning & executive decision support
- Organizational design, roles & hiring
- Operating workflows, controls & documentation
- Technology, OMS & CRM implementation
- Vendor selection, negotiation & oversight
- Fund administration oversight
- Budgeting, forecasting & cash management
- Fee calculations & partner capital accounts
- Audit & tax coordination
- Board, investor & KPI reporting
- Business development & capital formation support

FRACTIONAL

Chief Compliance Officer

- SEC regulatory compliance oversight
- Compliance program design & implementation
- Policies, procedures & compliance calendars
- Monitoring, testing & recordkeeping
- Annual compliance reviews
- Marketing Rule review
- Vendor & service-provider due diligence
- Cybersecurity & AI governance
- Operational & enterprise risk management
- Business continuity planning
- Coordination with counsel, auditors & administrators

LAUNCH & STRATEGIC PROJECTS

RIA Formation · SEC Registration · Fund Launch Buildout · Build vs. Outsource Strategy · OMS & Technology Implementation · Operational Due Diligence Readiness · M&A Integration · Vendor RFPs · Board Governance

WHO WE SERVE

Registered Investment Advisers · Hedge & Private Funds · Mutual Funds · Family Offices · Wealth Managers · Institutional & Emerging Managers

HOW AN ENGAGEMENT WORKS

Executive retainer
One monthly fee for ongoing leadership and availability, not hourly billing.

Embedded, part-time
Typically 8–10 hours a week, as your COO and/or CCO.

Flexible term
Month-to-month on 30 days' notice, with scope revisited as you grow.

Long-term alignment
Optional growth-linked incentives, so our success tracks yours.

Build the business behind the investment process, from launch through scale.

HERBEXECUTIVEADVISORY.COM

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