

Compliance

Compliance supervises the investment advisory activity of CAPTRUST. Compliance handles day to day account supervision, contracting, licensing and communication with regulators; approves marketing materials, advertising and correspondence; oversees recordkeeping; and coordinates continuing education. We engage the compliance consulting services of Securities Compliance Management with a full team of support persons each specializing in a different area of compliance.

Resources



Contact Us



Meet the Team



Manuals and Other Information