

Financial Statement Preparation

Some Investment Advisors have limited accounting staff. Others are unsure of accrual accounting methods. Still others seek review of the financial statements they have prepared.

NCCI staff can assist in preparing financial statements that are:

- Required for Investment Advisor application
- Required for state registration
- Necessary for an annual audit

While NCCI does not perform financial audits, NCCI staff does secure the necessary financial information from the firm, create financial statements from that information, and provide instruction and guidance so the firm can prepare future financial statements itself with confidence. Of course, we are always available to review financial statements prepared by the firm for apparent additions and/or omissions and to assess their accuracy for regulatory purposes.