

CompliancePlus Consulting

Compliance Consulting • Funds Consulting
Regulatory Consulting • Compliance Training

Navigating a Changing Regulatory Environment



CompliancePlus is an independent consulting firm focused on providing a complete range of proven and reliable compliance solutions to licensed firms, fund management companies and hedge fund managers in Asia.

Our dedicated team of compliance officers have years of professional experience equipped with in-depth knowledge of both functional and compliance experience in managing and minimizing regulatory, operational and reputational risks.

We have been providing real time compliance support and proactive recommendations to licensed firms and licensed individuals, start-up hedge funds, fund of hedge funds and multi-strategy hedge funds with our solid compliance knowledge.

By partnering with **CompliancePlus**, our clients gain access to compliance solutions that they can trust and the latest knowledge of regulatory policies and procedures. Through building up strong relationships with our clients and by ensuring our availability to them, we are trusted advisors helping clients to navigate a challenging and changing regulatory environment.

To book an introductory meeting and to meet with our consultants, please contact our Hong Kong Office:

Josephine Chung, Director

jchung@complianceplus.hk

Tel: 852-3487 6903

Please see overleaf for details of our service packages.

CompliancePlus Consulting Limited
801, Exchange Square Two, 8 Connaught Place, Central, Hong Kong
Tel: (852) 3487 6903 www.complianceplus.hk

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Tailor Made Package For Start-up Hedge Funds

We serve start-up hedge funds and fully understand their needs at this crucial stage. We provide comprehensive and tailor made support services to them to facilitate successful fund launches.

Services include:

- Advising on license applications and business plans for submission to regulators
- Handling of regulatory inquiries throughout the application processes
- Preparing customized compliance manuals with effective and proven compliance frameworks taking into account each fund's unique operational set up and resources available
- Coordinating with counsels and fund service providers on fund offering documentation, service level agreements and reviewing marketing materials and pitch books to potential clients for fund raising

On-going Compliance Support – Monthly or Retainer Package

The on-going support package provides a full range of compliance support and services that a typical hedge fund manager requires for regulatory compliance purposes:

- Unlimited customized telephone consulting on compliance and regulatory issues
- Regular meetings with compliance officers and management with an update on latest compliance issues, regulatory concerns and advice on new business initiatives and strategies
- Handling of regulatory inquiries and filings
- Review of marketing and presentation materials given to clients
- Review of regulatory circulars to assess compliance implications on operations
- Updating and amending compliance manuals and policies
- On-going preparation for regulatory inspections
- Designing and compiling business continuity plans
- Reviewing regulatory related records such as gifts and benefits records and staff trading records

Special Projects

We also take on special projects for hedge fund managers such as:

- Employee compliance trainings, on site trainings and speaking appointments
- Designing compliance monitoring plans, frameworks and procedures
- Gap analysis of policies and procedures
- Best practices analysis
- Mock regulatory audits
- Operational due diligence
- Anti-Money Laundering reviews
- Assurance reviews on service providers
- Conducting internal investigations
- Regulatory investigation support and litigation support
- Crisis consulting
- Customized services depending on operational needs of hedge fund managers