

## 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-strategies 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:**

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**Please see overleaf for details of our service packages.**



## Tailored 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 tailored 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 – Retainer Package

On-going compliance support package - offered on a monthly plan basis or retainer basis

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

## Special Projects

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

- Gap analysis of policies and procedures
- Best practices analysis
- Anti-Money Laundering reviews
- Operational due diligence
- Employee compliance trainings, on site trainings and speaking appointments
- Mock regulatory audits
- Designing compliance monitoring plans, frameworks and procedures
- 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