

# Regulatory Compliance Consulting Solutions in Asia

We offer a comprehensive range of regulatory compliance consulting solutions for regulated firms, from help with initial regulatory applications and authorisations, through development of suitable policies and procedures, to ongoing regulatory advice and reporting.

**Licence applications** – we process your Hong Kong Monetary Authority (HKMA), Securities and Futures Commission (SFC), Insurance Authority (IA) and Customs & Excise licences in Hong Kong, Monetary Authority of Singapore (MAS) licences in Singapore, Registered Investment Adviser (RIA) and Exempt Reporting Adviser (ERA) registrations with the US Securities and Exchange Commission (SEC) as well as SEHK and SGX stock exchange memberships.

**Ongoing compliance support** – we implement your compliance programme covering governance and senior management responsibilities, regulatory correspondence, notifications and submissions, staff certifications, fitness and propriety and ethics, horizon scanning and regulatory updates, monitoring regulatory financial and capital adequacy, reviewing operational resilience and internal controls, anti-bribery and corruption measures and client categorisation and suitability to ensure that your regulatory risks are reduced and compliance needs are addressed.

**AML/CTF and CDD services** – we offer comprehensive client onboarding services covering KYC and customer due diligence procedures, sanctions, PEP and adverse media screening, AML policies and procedures, AML audits and remediations and the provision of MLRO and AMLCO services for Cayman Islands funds.

**Internal audit, mock inspections, compliance health checks and inspection remediation** – we undertake internal audits, mock regulatory inspections, and compliance health checks providing recommendations for improvements and support you through the regulatory inspection and remediation process for the SFC, IA, HKMA, MAS and SEC.

**Compliance policies and procedures** – we draft and customise all types of compliance and internal compliance manuals, operational and procedural manuals, risk management frameworks and internal controls documentation such as business continuity plans.

**Compliance training** – we offer specialist online training for employees, senior management, and Boards to meet their regulatory continuous professional

development and regulatory knowledge requirements and administer, document, and retain the CPT records for you.

**Research and advisory services** – we undertake regulatory change tracking to scan for important regulatory changes in APAC and globally that may affect your business, guiding you through changes that you may need to implement and maintaining guides on important compliance topics like cross border marketing rules, accredited and professional investor rules, insider dealing rules and AML and CTF/CFT rules.

**ESG Consulting** – we offer specialised ESG compliance services for asset managers to meet the SFC and MAS expectations on climate risk management including drafting frameworks, policies and procedures, relevance and threshold assessments, investor disclosures and UN PRI filings.

## Why use IQ-EQ's regulatory compliance consulting services?

IQ-EQ represents the largest independent regulatory compliance firm in the Asia-Pacific region with 100+ regulatory compliance specialists now part of our team in Asia.

- Access to deep topic expertise
- Augmentation of internal resources without increasing fixed costs
- Benchmarking to industry best practice
- Increased investor confidence
- Support during business and key stakeholder changes

Structured programme for standard 'BAU' tasks, e.g., training, regulatory reporting, monitoring, policies & procedures etc. We serve financial services firms across different jurisdictions, from hedge funds to private equity and venture capital firms, wealth managers and others which operate under a regulatory framework.

- Private equity/venture capital companies
- Real estate funds
- Hedge funds
- Debt funds
- Broker dealers
- Corporate finance
- Financial Advisers
- Insurance Brokers

## Key contacts



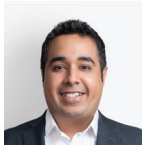
**Sridhar Nagarajan**  
Managing Director, Singapore & Regional  
CEO, Asia, Middle East and Africa

E sridhar.nagarajan@iqeq.com  
T +65 6955 1688



**Philippa Allen**  
Managing Director, Regulatory Compliance  
APAC

E philippa.allen@iqeq.com  
T +852 3180 0480



**Jayesh Peswani**  
Business Development Director  
Greater China

E jayesh.peswani@iqeq.com  
T +852 3180 0417



**Sukanya Lal**  
Business Development Director, SEA

E sukanya.lal@iqeq.com  
T +65 6955 1562



**Keith Chan**  
Director, Regulatory Compliance

E keith.chan@iqeq.com  
T +65 6955 1694



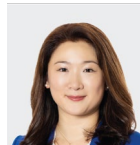
**Yishan Lee**  
Managing Director, Regulatory Compliance  
Singapore

E yishan.lee@iqeq.com  
T +65 6955 1707



**Rachel Wu**  
Business Development Director  
Greater China

E rachel.wu@iqeq.com  
T +852 3180 0495



**Catherine Law**  
Business Development Director  
Greater China

E catherine.law@iqeq.com  
T +852 3180 0449



**Sudip Baniya**  
Business Development Director, SEA

E sudip.baniya@iqeq.com  
T +65 6955 1589

## Key facts and figures\*

People worldwide	Worldwide location	Assets under administration	Minimum senior team experience	Funds under administration
<b>5800<sup>+</sup></b>	<b>25</b>	<b>\$750<sup>+</sup> bn</b>	<b>20yrs</b>	<b>800<sup>+</sup></b>

## Our locations worldwide

### THE AMERICAS

Bermuda  
British Virgin Islands  
Cayman Island  
Curaçao  
USA (Austin, Bedford NH, Chicago, Dallas, Fort Worth, Houston, New York, Rapid City SD, San Francisco & West Palm Beach)

### MIDDLE EAST

United Arab Emirates

### EUROPE

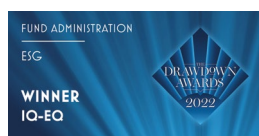
Belgium  
Cyprus  
France  
Guernsey  
Ireland  
Isle of Man  
Jersey  
Luxembourg  
Switzerland  
The Netherlands  
UK

### AFRICA

Mauritius  
South Africa

### ASIA

Mainland China  
Hong Kong  
India  
Japan  
Philippines  
Singapore



\*Correct as of August 2024

This document is provided for information purposes only and does not constitute legal, tax, investment, regulatory, accounting or other professional advice. For more information on the legal and regulatory status of IQ-EQ companies please visit [www.iqeq.com/legal-and-compliance](http://www.iqeq.com/legal-and-compliance)

Reference: IH\_0004\_23082024  
© IQ-EQ 2024

Find out more  
[www.iqeq.com](http://www.iqeq.com)

Follow us

