

Regulatory Hosting and AIFM Solutions



About us

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IQ EQ® is a leading investor services group that brings together that rare combination of global expertise and a deep understanding of the needs of clients. We have the *know-how* and the *know you* that allows us to provide a comprehensive range of compliance, administration, asset and advisory services to funds and asset managers, private wealth and institutional investors and global banks, insurance companies and corporations.

With a strategic focus of growing our Regulatory Compliance services globally, over the past couple of years we have acquired a number of specialist regulatory business in the U.S. and the UK, as well as growing our teams organically. We know that our clients are looking for a range of regulatory services including hosting and appointed representative, compliance advisory, filings and regulatory reporting, marketing support, operational due diligence reviews and secondments. With our large team of experts we are able to meet all your compliance needs across multiple regulated sectors including asset management, broker-dealers, banks, and digital assets, and have expertise in the key global regulatory regimes including the FCA, SEC, FINRA, CFTC/NFA, MAS, HKMA and SFC.

Key facts and figures*

People worldwide

4750⁺

Worldwide locations

25

Assets under administration

\$750⁺_{bn}

Minimum senior team experience

20_{yrs}

Our locations

We know that investor services need to be truly international to meet your needs and those of your investors, your businesses or your families. That's why we have offices in 25 countries, across four continents.



THE AMERICAS

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

EUROPE

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

AFRICA

Mauritius
South Africa

MIDDLE EAST

United Arab Emirates

ASIA

Mainland China
Hong Kong
India
Japan
Philippines
Singapore

Why choose us?

Our platform gives you fast access to regulated permissions

We know that many investment professionals wish to conduct regulated activities in the UK but do not necessarily want to build an in-house compliance team or fund platform structure

By becoming an Appointed Representative (AR), you can avoid some of the challenges of being directly regulated by the FCA. We support MiFID and AIFM managers, as well as “arranging/adviser functions” such as corporate finance firms or financial intermediaries, across all asset classes.

Challenge	Our solution
12 month timeframe for FCA authorisation	Set up as an AR in 6-8 weeks
Large and variable compliance costs	Fixed monthly fee
Increasing regulatory burden, particularly around filings	Access to 60+ dedicated compliance staff
Directors want to focused on fund raising and deal sourcing	We take away the compliance burden so you can focus on your core role
Need individuals to hold SMF 16 and SMF 17 roles	We provide this
Need to hold regulatory capital	Not necessary under a platform model
Investors due diligence	Our institutional grade platform gives comfort that there is independent risk governance and robust processes

Our expertise

We serve financial services firms across different jurisdictions, from hedge funds to private equity firms, corporate finance firms and others which operate under a regulatory framework

We have c.100 appointed representatives

Our hosted AIFM platform manages c£6bn of assets

As well as offering hosting services, we have a dedicated compliance consulting team who can assist firms with the process of FCA authorisation and support those firms once they are regulated

PE/VC Funds



Real Estate Funds



Hedge Funds



Debt Funds



Listed Funds



Corporate Finance



AIFMD/ManCo solutions

Since the implementation of the AIFMD (Alternative Investment Fund Management Directive) in 2014, there are complex AIFM set-up requirements:

- Costly
- Resource intensive
- Can take up to 12 months to establish

Our solution is the [AIF ManCo Platform](#)

- provides both emerging and established funds access to an FCA regulated AIFM within 6-8 weeks
- state-of-the-art technology which reduces compliance risks and increases efficiency

A key differentiator is that we hold an NFA licence in the US to enable the funds on our platform to trade US commodities

Our AIF ManCo platform offers:

- Portfolio management through a secondment model
- Risk management
- Valuation services
- AIFM reporting

In the UK, Luxembourg and Ireland

MaxComply™ - AML and verification platform

As well as using MaxComply internally to support the onboarding and monitoring of our appointed representatives, in addition we offer it to clients to support the onboarding of their investors.

A top-tier secure SaaS platform hosted on a private cloud and shaped with state-of-the-art technology, MaxComply provides segregated data environments for our clients and boasts a range of advanced features, such as SSO, two-factor authentication and a selection of API integrations.



MaxComply™ - AML and verification platform

The platform provides:

- End-to-end simple management of AML / KYC and verification projects for global entities and individuals
- Specialised due diligence reports, created by expert risk analysts, with regional specific language capabilities and local market insights
- Detailed assessment of anti-bribery and anti-corruption, anti-money laundering, and related reputational and integrity risks
- Comprehensive, dedicated module to meet the regulatory requirements of the UK Senior Managers and Certification Regime (SM&CR)
 - Including the specific accountability, conduct, and competency requirements of this legislation
- Workflow configurations that enable us to provide a far broader solution such as managing the risks associated with employee-related activities as standard, including:
 - Policy attestations
 - Personal account dealing
 - Gifts and entertainment logs
 - Outside business interests
 - Training records

Key contacts

We would love the opportunity to speak with you about our tailored solutions. Our goal is to enable you to start regulated activities quickly so that you can get on with what you do best, while we take care of your compliance needs



Rachel Aldridge

Managing Director, UK Regulatory and Compliance Solutions



Andrew Shrimpton

Chair, UK Regulatory and Compliance Solutions



Edwin Chan

Chief Commercial Officer, UK & Ireland

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