

Regulatory Compliance Solutions

Your trusted partner in compliance

Navigating complex regulatory landscapes can be challenging, but with our expertise, businesses can stay ahead of compliance requirements while focusing on growth. Our tailored regulatory compliance solutions support asset managers, financial institutions, and corporate clients globally.

Comprehensive compliance services

Our solutions are designed to help businesses meet ever-evolving regulatory demands, mitigate risks, and enhance operational efficiency. Our key services include:



Advice and support



AML reviews and services



Mock audits and health check



Ongoing compliance services



Staff compliance training



ESG compliance services



Regulatory reporting and filings



Marketing notifications and advertising reviews



Operational due diligence



Vendor due diligence



Secondments



Gap analysis



Broker deal registration



CFTC registration and NFA membership



Investment adviser registration



Exempt reporting adviser services



Targeted forensic testing



Maintenance of policies and procedures



Investor due diligence support



Drafting of forms, templates and practice management tools



Electronic, expert network and buy-side communication surveillance



Code of ethics administration



Licensing and initial establishment



Internal audit and review services



Authorisation applications



Prudential advice

Global reach, local expertise



Why choose us?

- Access to deep topic expertise
- Augmentation of internal resources without increasing fixed costs
- Benchmarking to industry best practice
- Increased investor confidence
- Support during business change
- Structured programme for standard 'BAU' tasks: training, regulatory reporting, monitoring, policies and procedures

Key figures

250+ Global Compliance Specialists

Supporting

3800+ Clients

We work with a broad range of financial firms, including:



Asset managers



Wealth managers



Secondaries



Credit



Private equity



Hedge funds



Real estate



Brokers/Dealers



Private placement agents



Family offices



Corporate finance advisors



Infrastructures



Private debt



Insurance



Banks



Payment services



Digital assets



Pension funds



Asset owners



Registered Investment Advisers,
Registered Investment
companies, Exempt Reporting
Advisers (SEC)

In a rapidly evolving regulatory environment, proactive compliance is essential. Partner with IQ-EQ to navigate complexities with confidence.

Contact us today to learn how we can support your regulatory compliance needs.

www.iqeq.com