

Financial Crime Compliance Support

Overview

Financial Crime regulations directly affect your Firm's day-to-day operations and investment onboarding process.

We recognise the importance of assisting you in meeting these obligations in line with jurisdictional requirements.

IQ-EQ:

- Understand each Firm we partner with
- Effectively assist you with the development and integration of Financial Crime best practice in line with jurisdictional requirements
- Keep pace with the latest regulatory and enforcement trends

How we can help

We provide comprehensive support and expertise with relevant regulations.

Our team help clients identify, prevent, and mitigate financial crime (AML/KYC) risks, including market abuse, anti-bribery and corruption.

Key Services:



Regulatory Guidance and Updates:

Timely updates on regulatory changes and evolving industry best practices.

Aim: Ensure you remain in compliance with the latest regulations.



Risk Assessment, Mitigation and Control Mapping:

Map and risk weigh each of your financial crime controls. Conduct thorough and proportionate risk assessments.

Aim: Know and manage your Financial Crime Risk exposure.



Policy and Procedure Development:

We assist in the creation and implementation of robust bespoke policies and procedures that align with regulatory requirements.

Aim: Rely on processes that bolster your institution's defence against financial crimes.



Training and Education:

Equip your staff with the knowledge and skills required to identify and report suspicious activities.

Aim: Foster and maintain a culture of compliance within your Firm.

**Investment Due Diligence:**

We undertake due diligence reviews on the investment target, applying specialist knowledge, peer group practice - applying a risk-based approach. We take on the responsibility for gathering and reviewing all the relevant AML documentation.

Aim: Centralise and complete reviews efficiently and swiftly to meet tight deadlines.

**Customer Due Diligence:**

Conduct comprehensive AML/KYC due diligence on clients, customers, and counterparties to ensure that you are dealing with legitimate entities and individuals.

Aim: Minimise the risk of fraudulent activities.

**Suspicious Transaction Investigation Support:**

In the event of a suspicious transaction, our team provides guidance and support throughout the investigation process.

Aim: Gather evidence, help report STORs (Market Abuse) and/or SARs (Money Laundering) and if needed liaise with regulatory authorities effectively.

**Reporting and Record-Keeping:**

Ensure compliance with record-keeping requirements and assist in the preparation of timely and accurate regulatory reports.

Aim: Compile reliable MI and retain the necessary information.



Tailored Solutions: Our services are tailored to the specific needs and size of your institution, whether you are a small financial firm or a large institution with a diverse range of financial products and services.

Aim: Develop customised strategies to mitigate the risk of financial crime.

Why IQ-EQ

One dedicated team

Unrivalled technical expertise

Committed service delivery

With extensive experience in Financial Crime risk mitigation, we specialise in working with a lean workforce, providing deal and legal teams with seamless support in a time-efficient manner.

Our team possesses enhanced industry experience and in-depth knowledge of peer group practice, allowing us to effectively assist you with your regulatory obligations in this area.

Contact us today to find out how we can help your business thrive.

[MAKE AN ENQUIRY](#)

“We have been a client of IQ-EQ for 12 years now, which by itself is a testament. We are indebted to IQ-EQ for being on their toes, prompt service, problem solving and supporting/resolving investor queries. The team from top to bottom have been a great asset for us.” - **Nalanda Capital Ptd Ltd**

About us

IQ EQ® is a leading investor services group, employing over 5,000 people across 25 jurisdictions and 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 contacts



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