

Compliance outsourcing A modern compliant way to fulfil regulatory requirements while maintaining a lean organisation



At first sight, the regulatory requirements set out in the Collective Investment Schemes Act (CISA) concerning compliance seem to be insurmountable for asset managers who have not been regulated before. Art 18 CISA gives the possibility to delegate certain tasks to competent third parties.

Your compliance challenges

You were an unregulated asset manager and need to build compliance capacity and know how. Furthermore you want to stay on top of the latest compliance developments in all the markets you are active in.

Get pro-active and cost effective updates to management and the board on regulatory developments which are relevant for your business. Why don't you delegate the compliance function to a competent and reliable third party that understands your business and is close enough to effectively perform this role? You can add specialised compliance know how to your in-house resources. In the meantime you create a cost effective and efficient yet reliable and comprehensive compliance solution for your business.

Our offering includes a full compliance outsourcing package which ensures that you have the applicable regulatory requirements based on clear, automated and comprehensive system-based compliance reporting.

Of course we will also make sure that any regulatory reporting requirement, be it regular or in particular ad hoc, is adhered to. Complement this package with an annual continued education by attending one of our updates or getting specific tailored knowledge delivered to your team.

Compliance outsourcing –
the new normal.

Leveraging our leadership in regulatory and compliance matters, we offer a unique value proposition.

Our services

- Complete outsourcing of the compliance function.
- Added specialist skills to your existing resources.
- Automated and comprehensive compliance reporting directly generated from the system including pre trade compliance and automatic notification.
- Regular and pro-active support and updates in regulatory developments.
- Provide bespoke and tailored compliance education.

Deloitte compliance outsourcing

- Deloitte will provide you with a complete compliance outsourcing offering.
- During on-boarding we will analyse the specific compliance risks and regulatory risk profile of your business, and agree a bespoke compliance scope with you to ensure appropriate skills, experience and level of involvement is ensured.
- A wide range of skilled professionals are available to suit your needs, and substitution is ensured.
- Documentation of breaches with comprehensive audit trail.

Our distinctive features

- **Full suite of compliance services available** – to minimise efforts on your side, we offer the most comprehensive range of compliance services from outsourcing to support and training.
- **Automated and system based reports** and monitoring ensures accurate, complete and timely review while maintaining a lean cost base. Pre trade checks and email/sms notification included.
- **Tailored compliance programme** – your business drives the amount of compliance you require. We define and agree your tailored compliance programme, skillset and intensity to make sure you get the right level of service provided by specialists who understand your business.
- **Unique combination of operations and compliance know how** – combining operations, risk management and compliance outsourcing creates the most comprehensive, integrated and reliable solution for asset managers.
- **Audit trail and log of breaches** derived directly from the system including documentation suitable for regulatory reporting.

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