

Compliance hotline Responding with confidence



Regulatory compliance is an increasingly broad subject, which can, at times, stretch the finite resources of a compliance department. Deloitte is here to help with expert knowledge when you need it.

Context

The hotline service is part of the suite of fund industry compliance services proposed by Deloitte.

The main objective of the hotline service is to provide expert support every business day with a wide array of compliance problems a client may encounter.

In today's fast-changing environment, compliance departments and investment fund boards face many regulatory challenges with finite resources. The hotline can help in terms of breadth of knowledge, delivering timely ad hoc compliance expertise and to assist with absorbing peak volumes.

Main challenges

We divide the types of assistance in three themes.

Business compliance:

- Conduct of business rules such as policies on inducements, conflicts of interests and personal transactions
- Oversight, control and management reporting best practice
- MiFID interpretation
- UCITS and AIFMD interpretation

Investment compliance:

- Eligibility of assets for UCITS and other investment fund structures
- Review of investment objectives
- Risk management models
- Counterparty risk
- Securities lending and repo analysis

Marketing compliance:

- Private placement rules
- Review of marketing material and websites
- Gifts and hospitality rules

Our services

Deloitte is well placed to respond to your most complex compliance needs by providing:

- Actionable responses on a timely basis
- Direct contact with compliance specialists for real-time questions and answers
- Independent and expert advice
- Volume-resistant support
- Marketing knowledge of more than 30 countries' regulatory frameworks
- Guidance on the latest developments in marketing legislation
- Experienced, knowledgeable and multilingual staff

How can we help?

Expert opinion when you need it, peace of mind 52 weeks a year:

- *Rapidity*: usually, an answer is provided within 48 hours, depending on the scale and nature of the question
- *Security and expertise*: we have a professional team of fund industry experts to give you sound and up-to-date advice
- *Time-saving*: compliance enquiries are time-sensitive, and compliance teams have limited resources
- *Cost reduction*: in externalising part of your compliance service, you can be more flexible and improve your cost efficiency

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The fund industry Compliance hotline can be contacted on:

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