



Building the bridge -Achieving Regulatory Compliance

It is vital and challenging for an **Alternative Investment Fund Manager** ("AIFM") which operates under an authorisation granted to it by the Cyprus Securities and Exchange Commission ("CySEC") to effectively adhere to the laws, directives, EU regulations, ESMA guidelines and general framework that applies to AIFMs.



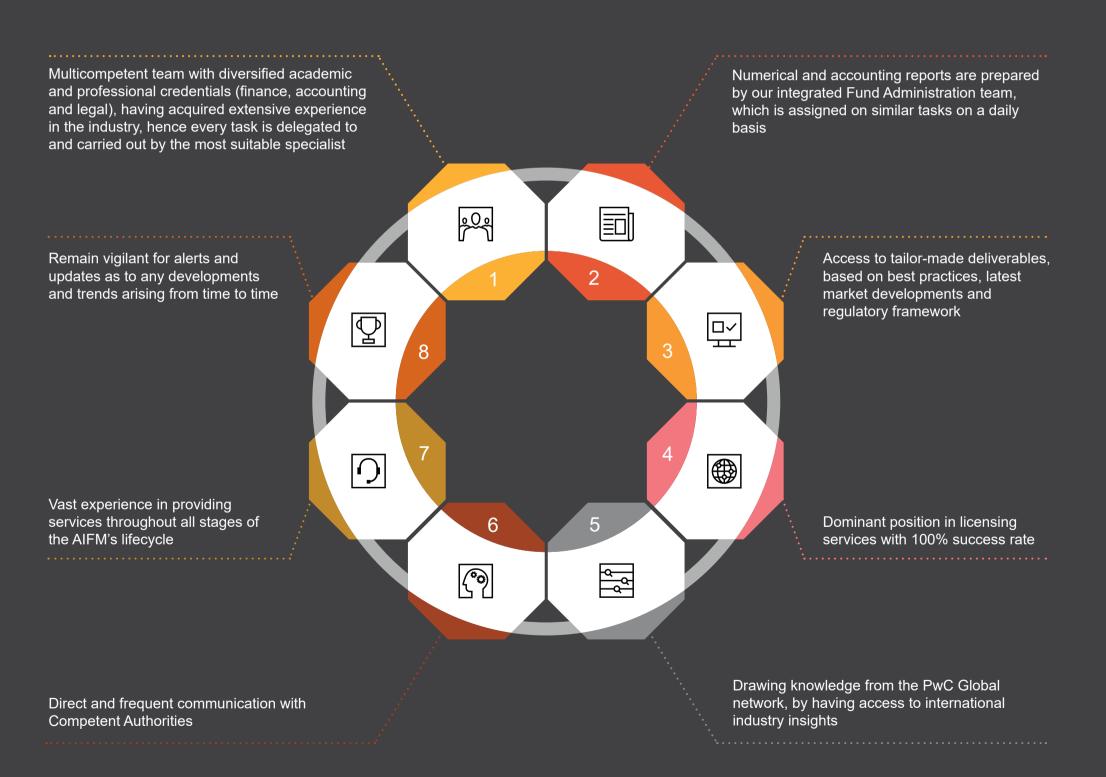
Challenges faced by AIFMs



- Operational effectiveness
- Adherence to remuneration principles
- Identification and mitigation of conflicts of interest
- Disclosures to investors and transparency requirements
- Corporate governance

- · Regulatory and in-house reporting
- Multijurisdictional reporting
- Keeping up with updates and developments
- Anti-money laundering governance
- Compliance with marketing rules
- Key Information Documents

What we bring to you





How can we help?

1

Human Capital

- Trainings on various aspects relating to regulatory compliance (e.g. anti-money laundering, client acceptance procedures, code of conduct etc.).
- Assistance in understanding and assessing the impact on the remuneration requirements on your organisation and identified staff.
- Design remuneration mechanisms adjusted to your organisation's profile.

2

Regulatory Compliance

- Handle queries relating to regulatory compliance issues/matters.
- Provision of updates regarding amendments in the regulatory framework relating to AIFMs and AIFs under management.
- Liaison with CySEC on a need basis on your behalf.
- Assistance in the preparation and submission of notification packages to the CySEC.

3

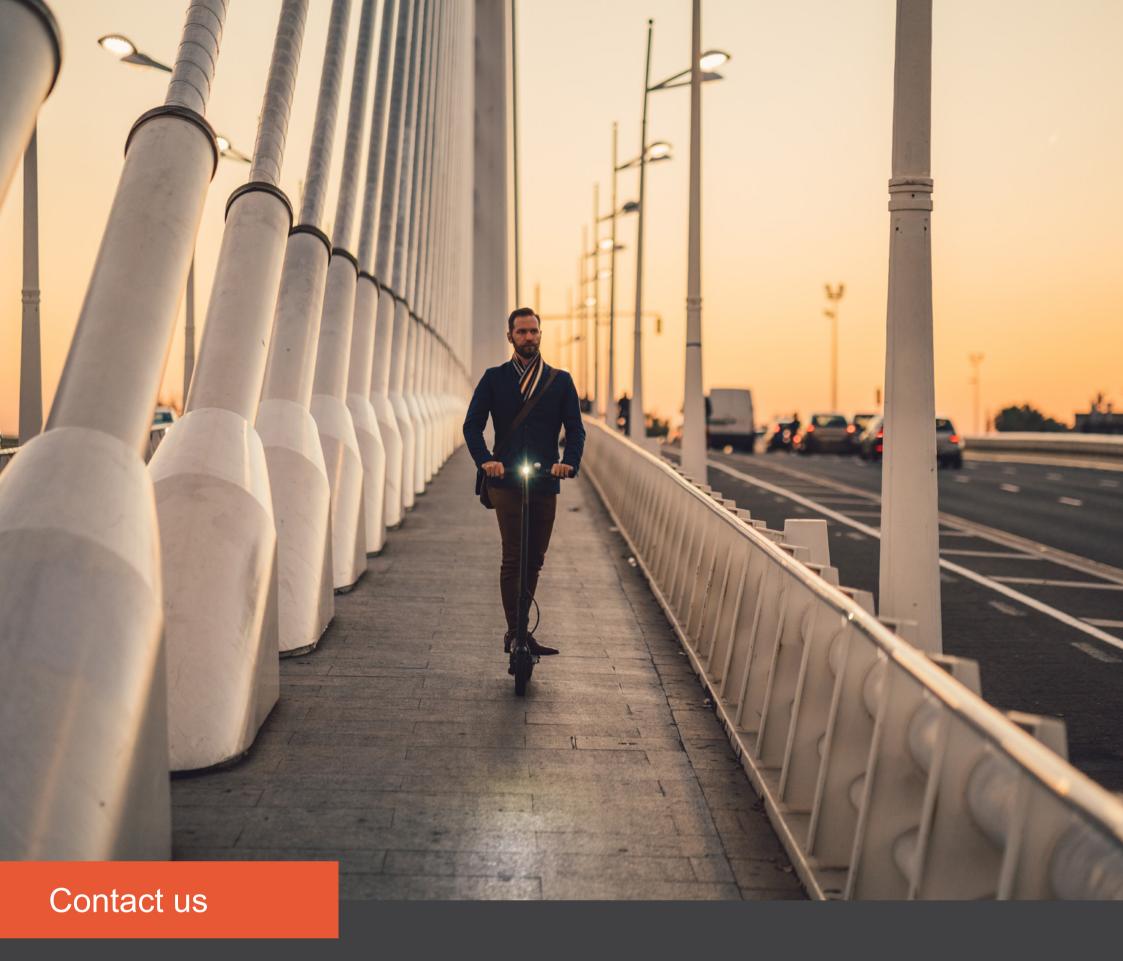
Reporting

- Assistance in the preparation of mandatory reports (XML, RBS-F, quarterly statistical reports)
 which must be submitted to CySEC and provision of guidance throughout the process of their
 submission.
- Assistance with multijurisdictional reporting obligations.

4

Operational Effectiveness

- Review of the current operations and/or organisational structure.
- Assistance with the establishment of monitoring mechanisms, record keeping tools and procedures that will aid the effective implementation of system rules.
- Review and update of existing manuals, policies and procedures as and when required so as to remain compliant with the regulatory framework and ongoing CySEC requirements.





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