

VCOMPLY GLOBAL Consulting Limited is an independent firm which specialises in providing compliance and regulatory services as follows :

- (1) SFC licensed corporations (for Types 1, 2, 3, 4, 5, 6, 8 & 9 Regulated Activities), Responsible Officers and Licensed Representatives
- (2) Insurance brokers, Responsible Officers/Chief Executives and Technical Representatives
- (3) Fund management companies, private equity firms
- (4) various listed companies; and
- (5) various financial institutions (e.g. Money Lenders Licence, Money Service Operators-MSO Licence etc.)

VCOMPLY GLOBAL provides cost-effective and comprehensive compliance solutions and valuable insights to the financial institutions primarily in Hong Kong, China and overseas, enhancing your competitiveness in the finance industry.

VCOMPLY GLOBAL team members have the proven track records of providing practical and tested compliance solutions to our clients, with extensive industry experience in different business divisions of the financial institutions.

To book a preliminary meeting and to meet with our consultants, please contact our Hong Kong Office :

Anthony Chung, Managing Director
Email : anthonychung@vcomplyglobal.com

Please see overleaf for details of our service packages.

VCOMPLY GLOBAL CONSULTING LIMITED

www.vcomplyglobal.com

Mobile / WhatApps : (852) 5288 3188

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Wechat : VCOMPLY GLOBAL (Anthony Chung)



On-going Compliance Retainer Services

VCOMPLY GLOBAL assists licensed corporations, responsible officers and licensed representatives to meet their on-going compliance and regulatory obligations in Hong Kong.

We provide on-going compliance and regulatory services to various licensed corporations in Hong Kong on a retainer basis, among others, for the following SFC regulated activities :

- Type 1 - dealing in securities
- Type 2 - dealing in futures contracts
- Type 3 - leveraged foreign exchange trading
- Type 4 - advising on securities
- Type 5 - advising on futures contracts
- Type 6 - advising on corporate finance
- Type 8 - securities margin financing
- Type 9 - asset management

Our standard Retainer Services include :

- provide unlimited telephone call and/or email enquiries
- handle correspondences and enquiries with regulators
- review compliance policies and procedures
- review all necessary forms and procedural manuals
- conduct regular compliance review/conference call
- provide compliance training
- provide ad hoc compliance advice and assistance

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Licensing Services – SFC & Insurance Brokers

VCOMPLY GLOBAL team members have the proven track records to obtain licences and registrations for various financial institutions including securities houses and fund management companies in Hong Kong.

VCOMPLY GLOBAL guides you on the set up of your financial institution, initial business and/or compliance planning, and also assists you to prepare the tailor-made application and the supporting documentations to the regulator(s) (e.g. SFC, PIBA / Insurance Authority).

Our Licensing Services include :

- advise on the corporate structure and the business plan
- assess the competence, fitness and properness of the RO(s), and review their CV(s)
- prepare and submit licensing applications
- liaise with the regulators' case officer(s) (e.g. SFC, PIBA / Insurance Authority)
- handle correspondences and enquiries with regulators
- negotiate licensing conditions
- prepare compliance manuals and other requisite documents for licence application
- (if necessary) assist to liaise with other advisers (e.g. auditors, company secretary, custodians, fund administrators, legal practitioners or tax advisers etc.) to address the important accounting, legal and/or tax issues etc. regarding the licence application

Ad hoc Compliance Services / Projects

VCOMPLY GLOBAL provides Ad hoc Compliance Services and/or offers tailor-made projects, among others, the following :

- Offshore Fund Setup (with Cayman lawyers)
- Funds Authorization
- review offering documentations for funds distribution
- assist in the implementation of new regulatory requirements
- assist in corporate governance issues
- secondment of compliance staff to meet the short-term needs of customers
- other customized services

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Compliance Policies and Procedures

VCOMPLY GLOBAL assists you to draft and customize compliance manuals, operational manuals, AML policies and procedures, BCP-business contingency plan and internal control documentations for difference types of the regulated activities.

VCOMPLY GLOBAL also has expertise to assist you to review and/or develop internal manuals such as :

- Client On-boarding Procedures
- Customer Service Manuals
- Marketing Program Manuals
- Risk & Internal Control Manuals
- Staff Handbooks
- Trading Manuals

AML and KYC

VCOMPLY GLOBAL assists you to prepare and review AML and KYC (i.e. Anti-Money Laundering and Know Your Clients) policies and client on-boarding procedures, and AML CPT trainings.

VCOMPLY GLOBAL also assists you to draft policies and procedures of your existing operations.

VCOMPLY GLOBAL team members have provided AML CPT trainings for years.

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Compliance Reviews

VCOMPLY GLOBAL offers clients compliance reviews and analysis.

1. Compliance Review and Analysis

VCOMPLY GLOBAL would conduct reviews of your existing compliance policies & procedures and also perform the analysis to update critical compliance processes and documents for the clients. This would include :

- Compliance policies and procedures
- KYC documentations
- AML policies and procedures
- Marketing Program Manuals

2. On-site Review

VCOMPLY GLOBAL also offers on-site compliance reviews to our clients.

By way of the mock review and/or samplings, we may also interview staff to evaluate the effectiveness and the compliance status of our clients' operation.

We make recommendations on how to address the findings and the time frame for the implantation procedures.

3. SFC MIC Regime Compliance Review

VCOMPLY GLOBAL also provides SFC MIC-Manager in charge Regime Compliance Review to SFC licensed corporations.

We would review the MIC submission to the SFC. We would also provide templates on the organization chart and the board resolution.

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CPT Compliance Trainings

VCOMPLY GLOBAL expert team provides the professional compliance on-site trainings to the financial institutions to ensure that the compliance training needs of the Responsible Officers and Licensed Representatives are met. Topics include but not limited to :

- AML - Anti-Money Laundering / CTF - Counter Terrorist Financing
- Market Misconduct and Insider Dealings
- Professional Investors
- Recent Enforcement Actions
- Staff dealings
- Suspicious Transactions Reporting
- Suitability Obligations
- Other training topics are also available upon request

Trading Activities Monitoring

VCOMPLY GLOBAL assists the SFC Licensed Corporations to conduct Trade surveillance checkings, so as to enable the same to report any suspicious transactions to the JFIU – Joint Force Intelligence Unit timely.

Other Licenses Applications

VCOMPLY GLOBAL also renders license application services for various licenses to meet the growing needs of our clients:

- Money Lenders Licence
- Money Service Operators Licence
- Insurance Brokers Licence
- Trust Company Registration

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