



# CA Training

By CA | ComplianceAsia

## YOUR EXPERIENCED COMPLIANCE TRAINING PROVIDER



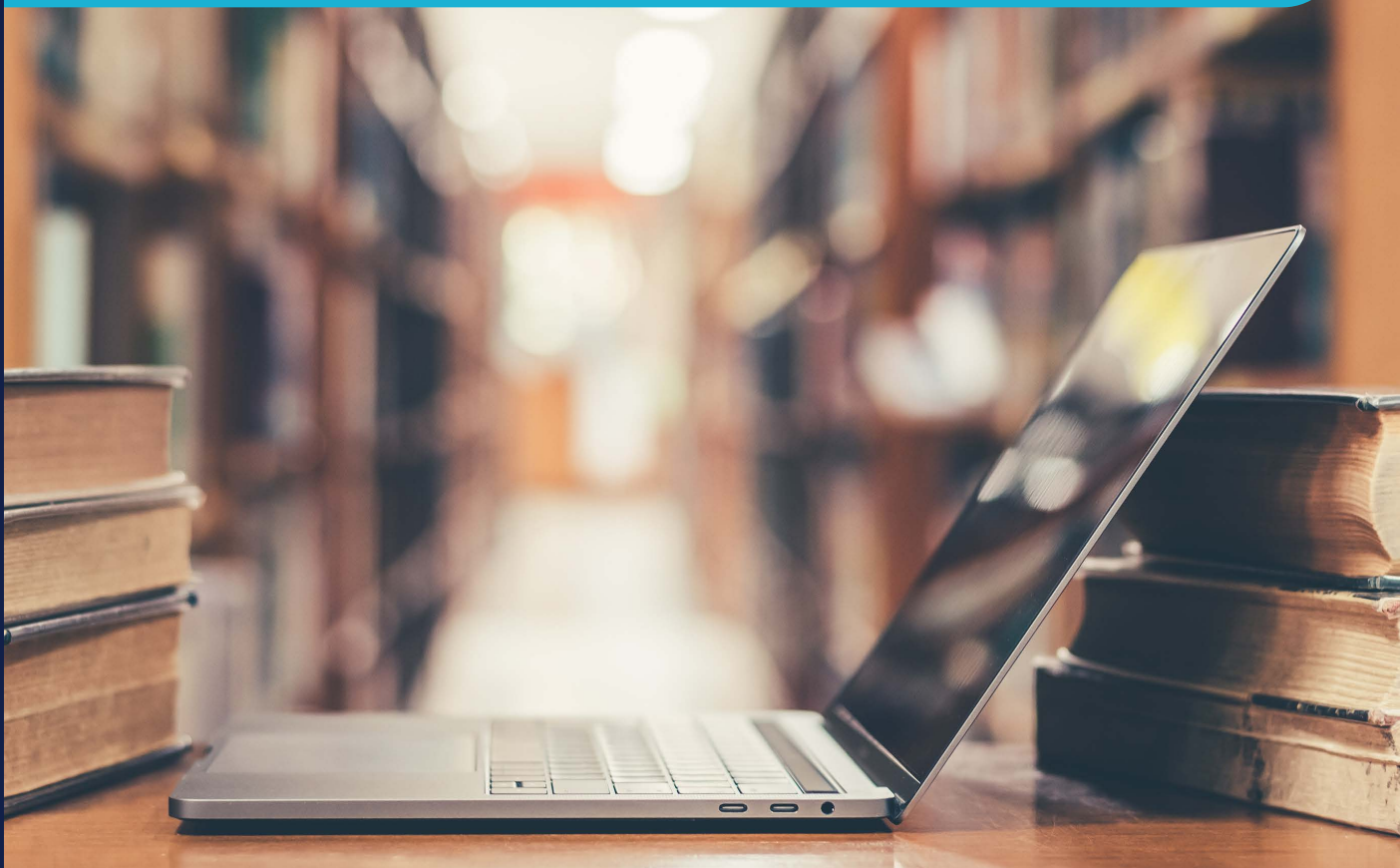
Knowledgeable  
& Experienced  
Trainers



Rich  
In Content



Cost  
Effective





# ComplianceAsia Training

Keeping up with regulation is a critical business function in financial services and keeping up with regulatory change is tough in itself.

At ComplianceAsia, our training division helps you stay on top of the fast changing and complex regulatory environment and meet regulatory expectations about what your teams need to know to operate in an ethical and compliant way.

We are financial compliance experts, and from that knowledge we deliver accurate, up to date and relevant courses.

Since 2003, we have been delivering solutions for some of the most complex and challenging compliance issues in the Asian region. Our unmatched track record allows us to repackage our knowledge into a variety of training solutions for the financial industry ecosystem.

ComplianceAsia delivers the full suite of training options from highly customised in person training to standardised online training, so that you and your staff can be in compliance with continued professional training requirements around the Asia Pacific region.

We provide content to some of the leading industry associations in the region, and we can deliver training in English, Mandarin, Cantonese and Japanese. Our training covers specific jurisdictions, cross border issues, conduct issues, regulatory capital, insurance, risk management, sales and suitability regulation, market abuse and insider dealing, product rules, ESG, privacy, AML, sanctions, financial crime, CDD, KYC, induction training and more.

If you operate in the Asian region, or if you trade or raise capital in the Asian region, we understand the different rule sets and we can help you meet your training goals year on year.

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## Values



Knowledgeable & experienced trainers



Rich in content



Cost effective



Deliver up-to-date knowledge & information



CPT/CPD compliant



Flexible

# About ComplianceAsia Training

ComplianceAsia's expert team provides a unique combination of online training for employees and class-based training to Responsible Officers, CEOs, C-Suite employees and senior management from financial institutions, all at a cost-effective price.

Over  
**50**

years of training experience among  
our course developers



**Thousands**  
of training courses  
delivered to our clients

Focused content based on Asia and  
delivered in **Mandarin, Cantonese,  
Japanese and English**



**"Compliance Training"**  
podcast episodes  
available

IBF accredited courses  
(eligible for FTS funding  
support)

Hong Kong compliant  
CPT courses

Technical content direct  
to industry associations

## In Person, Classroom Training



Since 2003, we have been delivering compliance training to our clients. Each year we present dozens of courses that are customised for each client. Topics include AML, insider dealing, conflicts of interest, your compliance manual, induction training, recent enforcement cases in specific jurisdictions or covering specific areas, sales practices and suitability and many more from our extensive training library and knowledge of current compliance topics in our consulting practice.



We can present to a boardroom, a training venue, by video call, over lunch or over a full day.



We prepare the training materials, certification for attendees, and can provide the recording of some of our previous events/webinars for playback to staff members who could not attend.






All of this can be done in English, Mandarin, Cantonese or Japanese.






# Online Compliance Training to Fulfil Your CPT/CPD Requirements

Online Compliance Training, or OCT, is our web-based platform providing courses that are Asian focused, giving you a specialist view of the regulatory landscape and the compliance requirements in Asia. Courses meet both Hong Kong SFC and Singapore MAS requirements for continuous professional training.



-  We have a wide range of topics for banking, fund management, securities broking, insurance, wealth management, corporate finance, trust companies, Cayman Islands funds, money service operators, accountants, lawyers and real estate agents.
-  Courses are cost effective, and within half an hour, one hour or one and a half hours, we can cover critical knowledge points to demonstrate competence and ongoing understanding of the current rules.
-  Each course is based on rule sets in the Asian region. These are not courses designed for the UK or the US that are just badged for an Asian audience.

Clients of ComplianceAsia are given corporate logins on our OCT platform, at [www.onlinecompliance.training](http://www.onlinecompliance.training), so that they can be billed monthly in arrears for courses undertaken. Larger corporations receive volume discounts. Industry associations can seek discounts for their members or exclusive content arrangements.

-  Our platform also allows whitelabelling of training so you can identify specific training areas for us to design, deploy, monitor and report on to your HR or Compliance teams. This work is designed from your own manuals and can be styled and fully branded as yours.
-  By working with our consultants, we can fully manage a firm's regulatory training from design and delivery to regulatory monitoring, approvals, remediation and reporting.
-  Our simple portal [www.CPTnow.com](http://www.CPTnow.com) provides a quick way for individuals to find a single specific course.



# Our Partnership with IMAS



We have partnered with the Investment Management Association of Singapore (IMAS) to be a key course provider for online training courses for fund management industry practitioners in Singapore. With our knowledge and expertise, we create the content for several training programmes on IMAS' online portal, iLearn. Upon completion, participants will be awarded the CPD hours to fulfil the MAS requirements.

These courses are accredited by the IBF and are eligible for funding under the IBF Financial Training Scheme<sup>1</sup> (FTS).

You can access iLearn through the following link: [www.imas.org.sg/ilearn/](http://www.imas.org.sg/ilearn/) or email [iLearn@imas.org.sg](mailto:iLearn@imas.org.sg) if you have any queries.

<sup>1</sup>These courses are recognised under the Financial Training Scheme (FTS) and are eligible for FTS claims subject to all eligibility criteria being met. Please note that in no way does this represent an endorsement of the quality of the training provider and course. Participants are advised to assess the suitability of the programme and its relevance to participants' business activities or job roles. The FTS is available to eligible entities based on the prevalent funding eligibility, quantum and caps. FTS claims may only be made for recognised programmes with specified validity period. Please refer to [www.ibf.org.sg](http://www.ibf.org.sg) for more information

## CA Podcast



In addition to our comprehensive training courses, ComplianceAsia also has CA podcast, where our compliance experts hold extensive discussions on topical regulatory developments. Each episode offers insights into the latest changes and give tips.

For added flexibility to fulfil your training needs, we have also provided the option to do a test based on the content, and get a CPT certificate for those who need the Hong Kong CPT. The podcast content is free, while the test requires a payment.

For individuals, please visit [www.CPTnow.com](http://www.CPTnow.com)

For corporate customers, please visit [www.onlinecompliance.training](http://www.onlinecompliance.training)

Tune in to our latest podcast episodes by searching for "ComplianceAsia" on iTunes, Google Podcasts, or Spotify.



ComplianceAsia





## Our Team



**Philippa Allen**  
CEO and Founder

Philippa Allen, CEO and Founder of ComplianceAsia, has over 30 years' extensive business and regulation experience in Asia.

Prior to founding ComplianceAsia, Philippa was the Head of Compliance, APAC for Dresdner Bank and GT Asset Management (LGT Asset Management). She is involved in numerous submissions to regulators and lobbying efforts with financial industry bodies.

She graduated from the University of Western Australia with a Bachelor of Jurisprudence and Bachelor of Laws (LLB) degree. Upon graduation, she commenced practice as a barrister and solicitor for Freehill Hollingdale and Page, in Perth, Western Australia.

Philippa is a frequent speaker at financial industry conferences and technical panels, and a member of various industry representative bodies including AIMA, ASIFMA, HKVCA, IBF, SFAA and SVCA.



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**Alex Duperouzel**  
Managing Director

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Alex Duperouzel is the Managing Director of ComplianceAsia. He supervises the training, AML and Mainland China practices within the group.

He was previously the head of the HK Licensing and Ongoing Support practice for SFC and HKMA regulated firms in Hong Kong.

Prior to ComplianceAsia, Alex worked for international accounting firms in Hong Kong and Australia, in their insolvency and business reconstruction practices.

Alex is a Chartered Accountant registered in Australia and holds a Bachelor of Commerce from the University of Western Australia with a major in Accounting and Finance.

Alex is a member of the Institute of Chartered Accountants in both England and Wales. He has also participated a number of times at the Jesus College Economic Crime Symposium, and also participated at the inaugural Kennedy School of Government program on corruption control and organizational integrity at Harvard.



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**Susana Leung**  
Chief Operating  
Officer /  
Regional Head of  
Training

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Susana has extensive experience in the financial industry and has taken various senior management positions in top tier global financial organisations. She graduated from Hong Kong University of Science and Technology with a Master of Business Administration degree. Susana was also elected as an Associate member of The Hong Kong Institute of Bankers in 1998.

Her experience includes working for Deutsche Bank AG as their Head of Strategy and Business Development, where she played an important role in expanding the group's operation in the North Asia region. Thereafter, she served as the COO of LGT Investment Management (Asia) Ltd., where she established the infrastructure and operating platform, successfully obtaining a full banking licence for LGT.



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# Our Group Companies



ComplianceAsia is the longest established compliance consulting firm in Asia Pacific and the largest firm operating in the region. We have offices in Hong Kong, Singapore, Shanghai, Tokyo and London. We have an unmatched track record of completing complex compliance consulting projects for financial firms in the APAC region.

With 70 multilingual staff, including compliance experts with experience in dealing with the SFC, HKMA, MAS, CSRC, AMAC, JFSA and Asian Exchanges, we provide independent, unbiased advice on Asian Financial industry rules and regulations with practical advice on compliance.



ComplianceAsia has been actively engaged in AML/KYC projects since being founded in 2003.

Since those early days financial crime related intelligence, strategy and tactics have broadened to include a much wider range of crimes, anti-corruption policy and procedures, stopping terrorist financing, dealing with tax crime and the ever changing world of sanctions enforcement and screening. There has also been a considerable broadening of the impact of global rules beyond just banks to securities firms, asset managers and custodians and then to accountants, law firms, trust companies, real estate agents. Soon that will be further extended to dealers in commodities, auction houses and the art world.

We have always been at the forefront of these developments, monitoring policy formation and then providing up to date relevant guidance and support to institutions and companies impacted by the rules.

We draft manuals across multiple jurisdictions and rule sets, draft and review procedures, conduct mock inspections, undertake due diligence, review risk assessments, screen against customer lists, review PEP decisions, remediate client files, respond to regulatory inquiries, employee background screening, conduct training and take on the function of the reporting or compliance officer for clients. We have provided services to a number of startups to ensure that they have relevant and effective AML in the changing world of fintech and regtech.

If you have an AML/CFT or KYC issue then we have probably dealt with it before and can help you with it.



For more information, please visit [www.hkamlservices.com](http://www.hkamlservices.com)



At CA Internal Audit, our team conducts internal audits and independent compliance reviews for Singapore-based fund managers to comply with the requirements of MAS under the Securities and Futures Act. Our audit includes a document review and on-site review of various operational processes, focusing on how the process meets local compliance requirements in relation to handling client assets, reporting to clients and investors, and market protection. Detailed risk-based reports are also produced at the end of each audit to highlight strengths and weaknesses in a fund manager's regulatory status in Singapore.

CA Internal Audit also conducts ad hoc audits such as AML audits and process reviews for a variety of MAS licensed clients in Singapore.

For more information, please visit [www.complianceasia.com](http://www.complianceasia.com)



ComplianceAsia ESG Consulting is a specialist service to help Asian based financial industry firms deal with the fast changing regulatory landscape of ESG investing in our region.

ComplianceAsia ESG Consulting offers a broad range of ESG services designed for firms in Asia Pacific starting on their journey towards ESG compliance and investment all delivered in an accessible and cost effective way.

Whether you are responding to regulatory requirements or investor or stakeholder demands, our team of experts can help you with understanding your ESG obligations now and over the medium to long term.

For more information, please visit [www.complianceasiaesg.com](http://www.complianceasiaesg.com)



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