



ComplianceAsia ESG Consulting



MEET YOUR ESG OBLIGATIONS WITH COMPLIANCEASIA ESG CONSULTING

www.complianceasiaesg.com



Environmental



Social



Governance

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ComplianceAsia ESG Consulting

At ComplianceAsia ESG Consulting, we understand that change is not always easy. Since 2003, we have been helping companies of all sizes respond to industry developments in order to stay competitive. Our years of experience have taught us to always make your business success our priority.

Our team of experts is ready to help you develop strategies for not only surviving but thriving in the future. Give us a call today to set up your first consultation.



The longest established compliance consulting firm in APAC



Wide Range of Service



Knowledgeable & Experienced Teams



APAC Focused



Support multiple languages



About ComplianceAsia ESG Consulting

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.

ComplianceAsia ESG can help you with:

- Implementing ESG corporate governance structures, policies and procedures designed to meet MAS, SFC, HKMA and JFSA standards
- Becoming a United Nations Principles for Responsible Investment (UNPRI) signatory
- Adhering to stewardship codes
- Verification and audit of your ESG adoption and adherence
- Compliance with ESG conditions in ESG training and awareness covering existing regulations and guidelines
- Tracking changes in ESG regulation both in Asia Pacific and globally



Whatever your stage of development we can provide advice on:

- Compliance with local ESG regulatory requirements
- Negative / exclusionary screening
- Positive / best-in-class screening
- An ESG integration strategy with ESG consideration at each phase of the investment process from screening, due diligence, analysis, decision making to monitoring



Our Services



ComplianceAsia ESG Consulting spends time with you to determine your ESG motivations and needs.

Firms may be integrating ESG into their operations for many different reasons:



Existing or expected regulatory requirements



Stakeholders' demands from existing clients or prospects



To avoid long term risk, negative events or liability exposure



For performance as you discover a new investment universe and way to generate alpha



To make a contribution to societal good



To promote ESG financial products



To address specific ESG issues such as governance, climate change, social issues

ComplianceAsia ESG Consulting understands that the best ESG strategy for you depends on your commitment to ESG and there is no one size fits all solution for financial firms.

Our Services



ESG Framework, Policies and Procedures

Whatever your level of ESG integration, ComplianceAsia ESG Consulting can assist you to develop an ESG framework that is commensurate to your needs, local regulatory requirements and investor or stakeholder expectations.

We provide assurance to your Board of Directors and Senior Management that you have an environmental risk management framework, which sets out the responsibilities of the Board and senior management for oversight of environmental risk and ensuring that directors have adequate understanding of environmental risk.

We assist Senior Management to implement that environmental risk management framework, monitor exposures to environmental risk, review the effectiveness of the framework, establish an internal escalation process for managing environmental risk and define what resources are required internally to ensure full compliance.

We provide ESG policies and procedures suitable to whichever local regulatory requirements that you are operating in.

ESG-related Regulatory Gap Analysis

If you have existing ESG policies and procedures in place, ComplianceAsia ESG Consulting can support to revise them to comply with the latest ESG related regulatory requirements and guidelines through our detailed Gap Analysis. We can demonstrate gaps and findings as well as provide our recommendations on the most practical ways for your day-to-day operations.



Verification and ESG Audit



If you have committed to moving to full ESG integration either at a firm level or for a specific product, ComplianceAsia ESG Consulting guides you along this path by:

- Reviewing your existing ESG policy against local regulatory requirements in Asia Pacific
- Reviewing the implementation of your ESG policy into the investment process and operational workflows
- Reviewing the quality and accuracy of your marketing documents, communications with clients and other disclosures in relation to ESG

Full ESG Integration



If you have committed to move to full ESG integration either at a firm level or for a specific product, ComplianceAsia ESG Consulting guides you along this path by:

- Helping you define and identify your ESG ambition level and risk appetite
- Benchmarking ESG policies and performance against peers
- Performing stakeholder mapping and analysis
- Analyzing gaps between the existing process and the outcome
- Adjusting governance models to take ESG into consideration
- Updating the ESG policy and operating procedures
- Developing operating procedures for each stage of the ESG lifecycle
- Deciding upon ESG key performance indicators to measure progress and commitment



ESG Training

ComplianceAsia ESG Consulting 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 ESG compliant way.

We deliver 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 and deliver training in English, Mandarin, Cantonese and Japanese.

Our ESG training covers a variety of topics suitable for different levels of knowledge including:

- Awareness of ESG and responsible investment
- Local ESG regulatory requirements
- UNPRI requirements and technical guides
- The TCFD recommendations
- Training on specific ESG topics including governance, reporting and compliance



Adoption of Stewardship Principles

Singapore, Japan and Hong Kong have all implemented stewardship or responsible ownership codes for investors in listed companies in those countries.

ComplianceAsia ESG Consulting assists firms by providing a range of policies and procedures from voting guidelines, ownership policies, engagement questionnaires for investment managers through to a full responsible investment policy.

We can assist with analysis of and reporting on your voting practices and level of engagement as a responsible investor.

Becoming a UN PRI Signatory



If your firm is planning to become a signatory to the United Nations Principles of Responsible Investment (UNPRI), ComplianceAsia ESG Consulting will assist you to:

- Write a responsible investment policy
- Write a policy of ownership and engagement
- Define your ESG operating procedures
- Complete and submit the PRI application form Ongoing support to meet the minimum PRI requirements in the first year
- Verification of your continued adherence to the PRI requirements





Our Principals & Team



Philippa Allen
CEO and Founder

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“

“Our launch of ComplianceAsia ESG Consulting is something I am very excited about as I see clients’ increasing interest in ESG governance and compliance reflecting the increasing challenges that we all see in dealing with climate change and other sustainability issues.”

”



Alex Duperouzel
Managing Director

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“

“Protecting the environment is an international priority. Members of the G20 are committed to implementing a range of financial services regulations to ensure that capital is deployed in a responsible manner. Our strength is understanding regulation and regulators and how firms can meet their responsibilities, while maintaining appropriate standards of operational integrity.”

”



Rachel Wu
Regional Head of Business Development and Compliance Manager

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Regional Head of Regulatory Advisory and Projects

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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.

For more information, please visit www.complianceasia.com



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



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 processes reviews for a variety of MAS licensed clients in Singapore.



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 meet those two conflicting issues. By keeping up with the fast changing and complex operating environment, we can meet the regulatory expectations and rules that your company and your teams need to know.

We deliver the full suite of training options from highly customised in person training, to standardised online training, so that we can help meet regulatory expectations on an annual basis. We provide content to some of the leading industry associations in the region, and we can deliver training in English, Mandarin, Cantonese and Japanese. We cover specific jurisdictions, cross border issues, conduct issues, regulatory capital, insurance, risk management, sales regulation, exchange regulation, product rules, privacy, AML, sanctions, financial crime, CDD, KYC, induction training and more.



Specializes in providing Singapore Certified Compliance Officer Course to senior managers and compliance officers to increase professional standards in Singapore. Courses enable individuals to acquire key regulatory knowledge, gain practical know-how on compliance matters and be equipped with relevant skillsets to carry out compliance tasks within an organisation. Courses are mostly conducted face to face with some online component and provides CPD hours to participants.

We also provide Certified Compliance Courses on key regulatory topics such as customer due diligence know-how, Sanctions and Anti-bribery to enhance skillsets of compliance officers and senior managers within the financial institutions. Attendees will also be entitled to CPD hours.

For more information, please visit www.compliancecollege.com



Our online compliance training platform provides courses that are Asian focused, giving you a specialist view of the regulatory landscape and the compliance requirements in Asia. Most importantly, you will be entitled to CPT or CPD hours required by the SFC or MAS upon successful completion of any of our online courses.

If you are in the asset management industry and are in Singapore, we have a partnership with the Investment Management Association of Singapore (“IMAS”) where we have provided them with the course content specifically for fund managers to meet the MAS requirement of at least 6 hours of compliance and ethics training. Members of IMAS will receive special pricing, but anyone can purchase a set of courses from IMAS that ComplianceAsia has designed and delivered. Please see www.imas.org.sg/learn

Our own online training platform is flexible and cost-effective.

For more information, please visit www.onlinecompliance.training



CPTnow is the retail extension of our popular Online Compliance Training (OCT) platform. Offering a concise, cost effective and communicative solution to obtaining your SFC mandated CPT hours across all competence levels outside of the corporate environment. Topic Areas include AML and CTF, SFC Regulation, Personal Data Protection and Investment Sales and Suitability.

For more information, please visit www.cptnow.com



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Disclaimer

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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. The ComplianceAsia Group also includes AML Services Limited, CA Internal Audit, CA Training, OnlineCompliance.Training and CPTnow.

About this publication

This publication contains general information only, and none of ComplianceAsia, or their related entities is, by means of this communication, rendering professional advice or services. Before making any decision or taking any action that may affect your finances or your business, you should consult a qualified professional adviser or consultant.

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