

COMPLIANCEASIA'S INTERNAL AUDIT SERVICES

ComplianceAsia is the longest established compliance consulting firm in Asia Pacific, founded in 2003 with key offices in Hong Kong, Singapore, Shanghai and Japan. With over 70 staff including compliance experts in the region with multiple language skill sets, ComplianceAsia has unparalleled experience in dealing with the SFC, HKMA, MAS, CSRC, AMAC, JFSA, Asian exchanges and other regulatory bodies.

In addition to our licensing and ongoing compliance support services, ComplianceAsia offers internal audit and independent compliance reviews in Singapore and Hong Kong for small to mid-size financial institutions to meet specific regulatory requirements of the MAS in Singapore and the SFC in Hong Kong.

ComplianceAsia Group has a dedicated and operationally independent team of internal auditors working in ComplianceAsia Internal Audit to conduct internal audits primarily for asset and wealth manager. Since 2016 we have undertaken close to 100 internal audit reviews for Singapore based fund managers and now provide internal audits, independent valuation reviews and SFC inspection support in Hong Kong.

We conduct these reviews on a wide set of policies and procedures or on specific issues like valuation, risk management or cyber security.

ComplianceAsia Internal Audit provides practical, cost-effective and easy to implement internal audits during which we will:

- Review your compliance structure and monitoring program for sufficiency;
- Review compliance and operational policies and procedures for adequacy and completeness;
- Review your corporate governance framework by interviewing the board and staff across a variety of seniority levels to ascertain compliance culture, work processes and uncover internal control concerns;
- Review through sampling your investment management and trading processes to ensure investment and exchange compliance;
- Review your client onboarding, professional investor categorisation and AML and KYC processes using either a substantive or sampling approach;
- Review your marketing process including product and investor suitability procedures and processes to ensure fair dealing outcomes; and
- Provide recommendations for improvements based on regulatory guidelines and industry best practices.

Contact us

Hong Kong

Suite 1102, ChinaChem Tower,
34 - 37 Connaught Road,
Central

☎ +852 2868 9070

🌐 www.complianceasia.com

Philippa Allen

CEO

✉ philippa.allen@complianceasia.com

Zi Jia Tan

Head of Internal Audit

✉ zijia.tan@complianceasia.com

Singapore

137 Telok Ayer Street #03-06
Singapore 068602

☎ +65 6533 8834

Alex Duperouzel

Managing Director

✉ alex.duperouzel@complianceasia.com

Gerallt Owen

Regional Head of Client Relations

✉ gerallt.owen@complianceasia.com

COMPLIANCEASIA

内部审计服务概览

ComplianceAsia成立于2003年，是亚太地区最早成立的合规咨询公司，办公室位于香港、新加坡、上海和日本。我们有超过70名员工，其中包括合规咨询专家，他们能操多种语言。本公司具有长期处理与香港证监会、香港金融管理局、新加坡金融管理局、中国证监会、中国证券投资基金业协会、日本金融厅等亚洲各大交易所的沟通经验，拥有丰富的经验，创造了卓越的辉煌业绩。

除了牌照申请和持续合规支持服务外，ComplianceAsia还在新加坡和香港为中小型金融机构提供内部审计和独立合规审查服务，确保符合新加坡金管局和香港证监会的特定监管要求。

ComplianceAsia集团在ComplianceAsia Internal Audit拥有专业且独立运作的内部审计师团队，主要为资产和财富经理进行内部审计。自2016年以来，我们为新加坡的基金经理进行了近100次内部审计审查，现在开始在香港提供内部审计、独立估值审查和证监会检查的服务支持。

我们全面针对一系列制度和程序或特定问题（如估值、风险管理或网络安全）进行审查。

ComplianceAsia Internal Audit提供实用、经济有效又易于执行的内部审计，在此期间我们将：

- 检查你的合规结构和监控计划是否足够；
- 检查合规和运营制度和程序的充分性和完整性；
- 通过与董事会和各资历的员工面谈，了解合规文化、工作流程并揭示内控问题，从而检查你的公司治理框架；
- 通过抽样检查你的投资管理和交易流程，确保投资和交易合规；
- 使用实务或抽样方法检查你的客户引导、专业投资者分类以及AML和KYC流程；
- 检查你的营销流程，包括产品和投资者的适当性程序和过程，确保公平交易结果；及
- 就监管准则和行业惯例提供改善建议。

联系我们

香港
中环干诺道中33-37号
华懋大厦1102室
☎ +852 2868 9070

🌐 www.complianceasia.com

Philippa Allen
首席执行官
✉ philippa.allen@complianceasia.com

Zi Jia Tan
内部审计主管
✉ zijia.tan@complianceasia.com

新加坡
137 Telok Ayer Street #03-06
Singapore 068602
☎ +65 6533 8834

Alex Duperouzel
董事总经理
✉ alex.duperouzel@complianceasia.com

Gerallt Owen
区域客户服务主管
✉ gerallt.owen@complianceasia.com