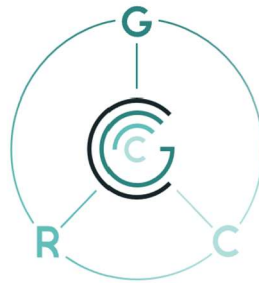


# Cognitive GRC Ongoing Services

Cognitive GRC provides integrated governance, risk and compliance solutions to a range of financial services firms that are tailored to meet SFC regulations and international obligations. While we have traditionally focused on buy side liquid and private equity asset managers where we provide co-sourced solutions, we have significant experience and involvement in supporting sell side institutions on markets compliance and deliver assistance to retail firms on a project basis.

## GOVERNANCE RISK & COMPLIANCE

Collectively, with limited resources, Risk and Compliance need to deliver assurance to the Governance team that Firms are robustly braced against the unforeseen.



The Risk function is to help identify the key areas and how frequently they need to be looked at. We perform risk assessments with the comprehensive participation of senior management to provide guidance on the appropriate use of limited resources.

Governance is the oversight that our clients bring to bear. We help you to look in the right direction through using appropriate risk and compliance tools.

Compliance looks at both changes to rules that are coming up and how the internal controls are working to help the firm comply with those rules. We help to manage compliance obligations and bring assurance that adequate and effective arrangements are in place.

01

### Governance

- Review and update of your governance and regulatory frameworks
- Quarterly/semi-annual/annual governance, risk and compliance assurance reviews
- Unlimited telephone and e-mail consulting
- Marketing and advertising reviews

02

### Risk

- Regulatory risk management
- Risk policy review
- Risk disclosure review
- Risk governance review
- Operational Resilience

03

### Compliance

- Compliance documentation maintenance
- Compliance education and training
- Periodic compliance alerts
- Regulatory inspection support and off-site assistance
- SFC application and submission support
- SEC/CFTC support



## About Cognitive GRC

We are a Hong Kong provider of governance, risk and compliance advisory services and a partner to our clients working together to mitigate the regulatory, operational, and reputational risks associated with their regulatory activities. We work with Hong Kong, Chinese, US and European firms on local, inbound and outbound regulatory matters. We have been successfully advising international regulated firms since 2005.

- At the forefront of regulatory change in three major jurisdictions and experience with multiple regulators.
- 20 years of consulting experience baked into our robust working documents, standards of care and service (FCA, SEC, CFTC, NFA, SFC plus).
- Continual consistent improvement in technical support and servicing based on delivering to hundreds of firms with similar needs.

We are an independently owned institutional style consulting firm matched to boutique partner led businesses. This means:

- Unlike large corporate service providers, we have a team dedicated to offering the solutions that address your specific needs. We are independently owned; investing back in the company and people to provide consistent service. We are dedicated to service standard over growth objectives.
- We combine the agility and personalised attention of a boutique firm with the experience, resources and reach of an institutionally experienced firm.
- We provide real solutions that allow you to get on with your core competence and avoid the administrative pitfalls that beset most firms.

## Contact

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