

Cognitive GRC Application Services

If you are looking to conduct SFC regulated activities in Hong Kong, Cognitive GRC can help you with planning, preparing, applying and obtaining a license. With a deep understanding of the intricacies of regulatory frameworks and a commitment to staying ahead of the curve, we offer guidance and support throughout the entire application process to provide a one stop shop from start to post launch. From initial consultation to final submission, our team of experts will work tirelessly to ensure your application is successful.

Trust us to be your partner. We can help with regulatory licenses, addition of regulated activities, substantial shareholder changes and uplifting license conditions.

Our work include:

01 Application

- Collating all requisite information and documentation
- Drafting and handling form filing
- Completing questionnaire 1 and 2 in way that is consistent with your future activities
- Supporting liquid capital requirements calculations
- Providing draft compliance manual, compliance monitoring programme and business continuity plan
- Providing pre-submission liaison with regulators for more complex applications
- Identifying ongoing and overseas registration requirements
- Identifying and introducing additional service partners where necessary

02 Post-Application

- Filing the applications and liaising with the relevant regulator during the review and vetting process
- Drafting responses to all enquiries
- Providing ad-hoc advice and guidance relating to the application process as required
- Guiding you through to your license approval and ensuring that your ongoing infrastructure is prepared for your business launch

Our broad global ongoing experience and knowledge gives us the ability to pre-empt potential issues from the start so that you are free to operate from day one.

Our broad investment strategy experience lets us ensure that your governance arrangements are fit for purposes and allows you to focus on your business from day 1.



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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