

Cognitive GRC Monitoring Services

Ensuring Compliance and Trust

Given the regulator's focus on market manipulation, managing the risk of sharing material non-public information (MNPI) is crucial to ensure compliance with regulatory standards and to avoid legal consequences and reputational damage. Effective MNPI management involves establishing stringent compliance protocols, processes and controls and is important to safeguard firms from potential compliance issues.

At Cognitive GRC, we can tailor to your specific needs. Our monitoring services include Expert Network Chaperoning and Electronic Communication Review to ensure that potential MNPI and conflicts matters are identified and reviewed.

01 Expert Network Chaperoning

Expert network call chaperoning is critical for firms engaging with expert networks. They ensure that the exchange of information during consultations does not breach any regulatory requirements, particularly concerning MNPI, safeguarding both you and the experts.

We offer comprehensive expert network monitoring solutions including silent or announced chaperoning, risk and conflicts of interest review, and regular reporting aligning with industry best practices and internal policies.

Expertise: Our dedicated and highly trained team ensures that expert networks call remain within legal boundaries.

Risk Mitigation: We actively identify potential risk, manage conflicts of interest, and monitor for MNPI.

While we cannot eliminate the risk, our experience will help you mitigate it effectively.

02 Electronic Communication

Monitoring electronic communication is essential for firms to mitigate risks associated with non-compliance.

With increasing volume of electronic communication, a function independent from business operations dedicated to review and escalation can significantly enhance the effectiveness of monitoring programs. Consistent and continuous monitoring can provide management with the ability to focus on real risk sooner.

We can conduct reviews of your internal communications and identify potential MNPI and other breaches. We can help implement an email monitoring process that flag potential MNPI-related content and regular review the flagged emails for compliance.

We can provide risk-based support or volume-based review services based on your current technology and resources.



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.

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