

## KEY FACTS REGULATORY SERVICES

COMPLIANCE, RISK MANAGEMENT, AML/CFT, AND DIRECTORSHIPS ARE A CRUCIAL PART OF ANY REGULATED ENTITY; THEY ENSURE THAT THE ENTITY'S BUSINESS IS CARRIED OUT IN ACCORDANCE WITH ANY APPLICABLE REGULATIONS, HENCE AVOIDING ANY REGULATORY ISSUES WHICH MAY ARISE FROM THE LACK OF COMPLIANCE.

We offer regulatory services to investment funds, fund managers, investment firms, payment service providers and electronic money institutions. Our services are offered either on an ongoing basis, by being appointed and approved as the entity's compliance officer, MLRO, risk manager and/or director, or otherwise, on an ad hoc basis.

Members of our experienced regulatory services team will be on hand to support your entity in its journey, taking care of regulatory issues so you can focus on your business and your clients. Services can be carried out remotely or from your offices, depending on the needs of your entity.

### COMPLIANCE SERVICES

When appointed as compliance officer, we will take care of all regulatory compliance aspects, from creating and maintaining the compliance monitoring programme and compliance policies, to preparing and presenting compliance reports to the board of directors, as well as liaising with regulatory authorities and handling compliance visits.

Otherwise, we can provide ad hoc services to aid you in your compliance journey, as per below.

#### Compliance

- > Creating or reviewing your entity's compliance monitoring programme, compliance policies and procedures
- > Assisting with personal questionnaires, regulatory notifications and correspondence
- > Providing compliance training to directors and/or staff members

#### Reporting

- > Annual fund/financial return and preparation of financial statements, including AAFR
- > Interim financial returns and half-yearly reports
- > Preparation of relevant Annexes, as applicable
- > Quarterly reporting for MIFID firms
- > FATCA/CRS reporting and CBM reporting
- > XBRL conversions
- > Tax returns

### AML/CFT SERVICES

As your MLRO, we will ensure that your entity is well guarded against any ML/FT risks, by drafting and maintaining a business risk assessment (BRA) and AML-CFT/KYC-CDD policies and procedures, as well as preparing and presenting MLRO reports for your board of directors and liaising with regulatory authorities as required, among other tasks.

Otherwise, we can also provide our services ad hoc, as per below, to support and supplement your in-house AML/CFT function.

- > Creating or reviewing your entity's BRA, AML/CFT policies and KYC/CDD procedures, including supporting your KYC/CDD function
- > Assisting with regulatory notifications and correspondence, including the REQ
- > Providing AML/CFT training to directors and/or staff members

## RISK MANAGEMENT

We can be appointed as your entity's risk manager and accordingly draft a risk management policy, maintain a risk register, and operate a business continuity plan. We will also present risk reports to your board of directors, as well as liaising with regulatory authorities as required, among other tasks.

Otherwise, we can also provide ad-hoc services as per below, to support your entity's risk management processes.

- > Drafting or reviewing your entity's risk management policies and procedures
- > Drafting or reviewing your entity's business continuity plan
- > Creating risk reports as per your request and present them to your entity's management

## DIRECTORSHIPS

We can also be appointed as one of your entity's non-executive directors, where we will attend and vote during board meetings, offer guidance and our expertise for your entity's benefit, and be responsible for the entity's general governance, its proper administration, management and supervision of its affairs.

## HOW WE CAN ASSIST

For more information, please contact Jesmar Ciappara, Senior Manager – Regulatory Services in our Malta office, at [jciappara@tridenttrust.com](mailto:jciappara@tridenttrust.com).



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