



Global Compliance Solutions

Your secure route through the ever-changing regulatory world

Compliance Solutions

 waystone



Formed by merging four specialist compliance companies – we have the capabilities to help you manage regulatory risk right across your organisation.

We can provide key services from initial registration and licensing to compliance programme integration. Our compliance solutions span business strategies, market activities, operational and technology infrastructure not to mention sales and marketing procedures. And we can do so anywhere in the world.

Our aim at Waystone is simple: to enable our clients to navigate the complex regulatory environment with confidence.

At Waystone, we have brought together the experience, the expertise and the global reach to give you the certainty you need to address the ever-changing regulatory world. And by doing so, provide you with a secure route on the road to success.

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Waystone Compliance Solutions

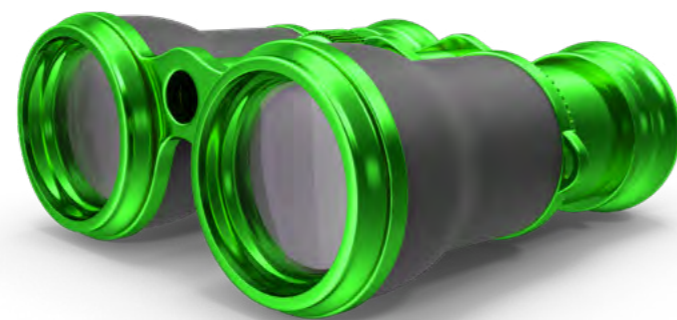
Who is Waystone Compliance Solutions?

We partner with clients to provide compliance solutions on a global basis across their whole organization. With a deeply experienced and long-serving workforce, we are unique in the consultancy market, giving us and our clients peace of mind in the face of ever-changing regulation.

With operations in Asia, the Middle East, Europe and North America and with a team of over 100 professionals, we serve clients globally with local, regional and international services. Our clients are diverse and include hedge funds, private equity, venture capital firms, banks, broker dealers, established businesses and start-ups.

We provide clients with the experience and technical skills necessary to navigate the regulatory landscape with confidence.

We seek to understand your unique organisation, its business strategies, market activities, operational and technology infrastructure and its sales and marketing activities. Each of these pieces of your organisation has regulatory touch points and will factor into your unique compliance programme. Our team of professionals have experience working within leading financial services and corporate organisations and are uniquely qualified to understand your complex business and the potential regulatory challenges.

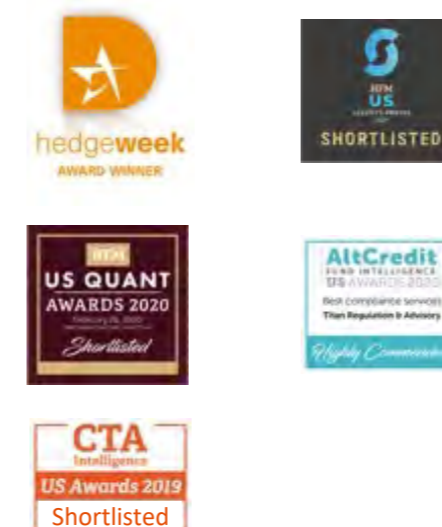


We seek to understand your unique organisation, its business strategies, market activities, operational and technology infrastructure and its sales and marketing activities.

In-house expertise:

Registration and Licensing	Compliance Programmes and Support	Compliance Advisory
Risk Management	Cyber & Data Protection	Outsourcing
Training		

Awards



Recognised by HedgeWeek as best regulatory firm 8 years running

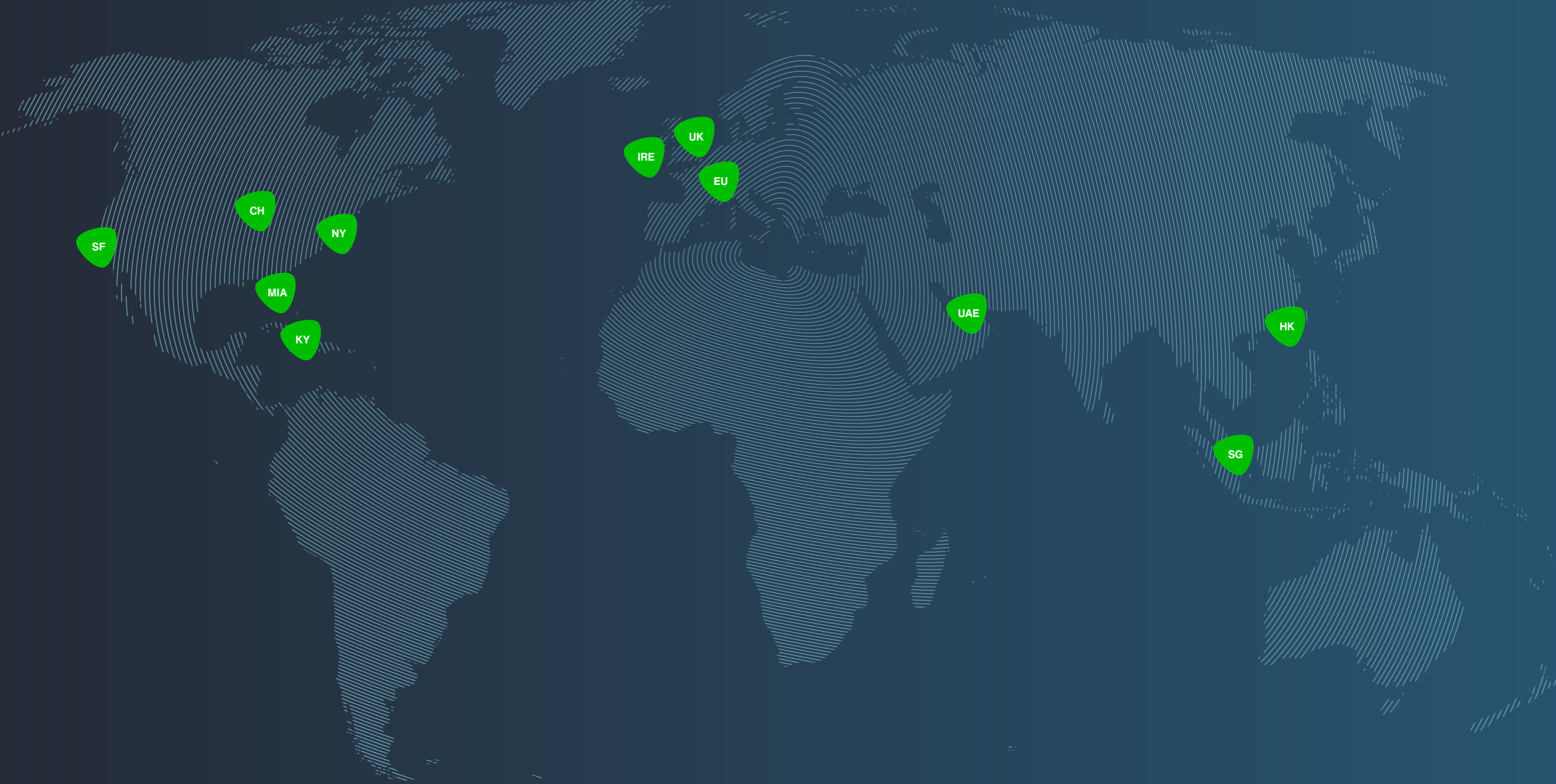
HFM Services Awards shortlisted 2020 and 2021 – best advisory firm.

US Quant Awards shortlisted 2020 and 2021- best compliance consultancy

AltCredit Funds Intelligence Awards – highly commended for three years

CTA Intelligence Awards shortlisted 2019

Where is Waystone?





Global Solutions

Global Solutions

Registration and Licensing

In order to conduct your regulatory business globally, you must ensure that you obtain the relevant licenses from the local regulatory authorities.

To ensure a smooth application process, Waystone Compliance Solutions advises and guides financial institutions including, fund managers, financial advisers, insurance brokers, trust managers and payment services providers on the respective licensing requirements.

We can advise on all aspects of the licensing journey from what type of licence may be required to the preparation and submission of applications as well as communicating with local regulators.

Compliance Programmes and Support

Compliance policy and procedure documents are the foundation of any compliance programme, both in terms of organisation and management.

These documents facilitate compliance with applicable laws, regulations and standards and are a basis on which controls can be monitored and tested regularly to ensure effectiveness.

In many cases, failure to comply with policy requirements can lead to significant fines and penalties. Waystone Compliance Solutions has the relevant expertise and knowledge to develop well-designed and comprehensive policies and procedures to protect organisations from increasingly rigorous legal and regulatory constraints while reinforcing a culture of compliance and ongoing monitoring.

Compliance Reviews

Our compliance reviews take a risk-based approach and include a thorough examination of an organisation's existing policies, procedures and risk mitigation processes and systems.

We are able to identify any possible non-compliance with legislation and regulations, operational weaknesses and areas not covered or inadequately dealt with in the existing policies and procedures to ensure that you have the best compliance programme foundation in place.

Risk Management

We help organisations identify, build and streamline the necessary internal controls.

Our team will work with your management team to identify the relevant risk factors or key risk indicators to implement risk management strategies. We work to enhance internal control environments, identify process inefficiencies and reduce long-term compliance costs by monitoring and managing risks material to your business based on your risk profile, capital and liquidity needs.

Outsourcing

Whatever the size of your organisation or the industry sector you operate within, there will still be instances when, as a regulated entity, your compliance team will require support.

Many organisations outsource their compliance, finance, technology or MLRO functions to ensure they receive the level of expertise required without the financial burden of a full-time resource.

In the event that you do have a full-time resource, there may be times when additional assistance is required.

There are some key considerations when reviewing your current compliance arrangements or planning for a new organisation with a new team and our team of compliance professionals are here to help you review your needs and ensure that you find the right fit.

Compliance Advisory

The financial services industry continues to experience significant regulatory change.

Our team has a wealth of experience and an exceptional track record in helping organisations to develop controls in order to meet their regulatory requirements and to operate successfully within demanding regulatory regimes.

Ours is not a 'one size fits all' solution. We take the time to understand your business, along with your needs and objectives, to ensure that we provide you with sensible, efficient and effective solutions to managing regulatory risk.

Cyber & Data Protection

Waystone Compliance Solutions is an ISO27001- certified consultancy company dedicated to delivering the highest quality of information security and data protection advisory and support services to its clients.

We offer our clients the strongest independent information security and data protection services globally. Our services are focused on helping our asset managers, the public and private sector, assess information security threats, identify weaknesses, implement a sustainable and pragmatic programme of information security improvements and embed a security culture within an organisation.

Training

Our regulatory compliance training courses help your staff understand the legal boundaries within which an organisation operates. It educates employees on the laws and the regulations pertaining to their industry or specific job function and empowers them within the realm of their job scope.

We provide a range of corporate governance and regulatory training solutions with the provision of customised and interactive online courses for all levels of business stakeholders, from senior management, Director and CEO-level to junior staff and new employees.





US Solutions

US Solutions

Our experience managing SEC, CFTC, FINRA and exchange regulatory compliance programmes gives insight into complex trading strategies and how they intersect with the regulatory environment.

Our specialist professionals have spent more than 20 years in legal and regulatory roles for complex financial services organisations, serving as CCO for hedge fund, broker-dealer and market maker organisations. Our team is uniquely qualified to understand your complex business and any potential regulatory challenges.

Registration

Annual Compliance Review

Mock Audit

Algorithmic Trading Review

Retainers

State Sexual Harassment Prevention Trainings

Cybersecurity Policy & Procedures

Form PF & Other Regulatory Filings

Exam Support

FINOP Services

Rule 4.24 Review

Rule 3110 Review

Hourly Services

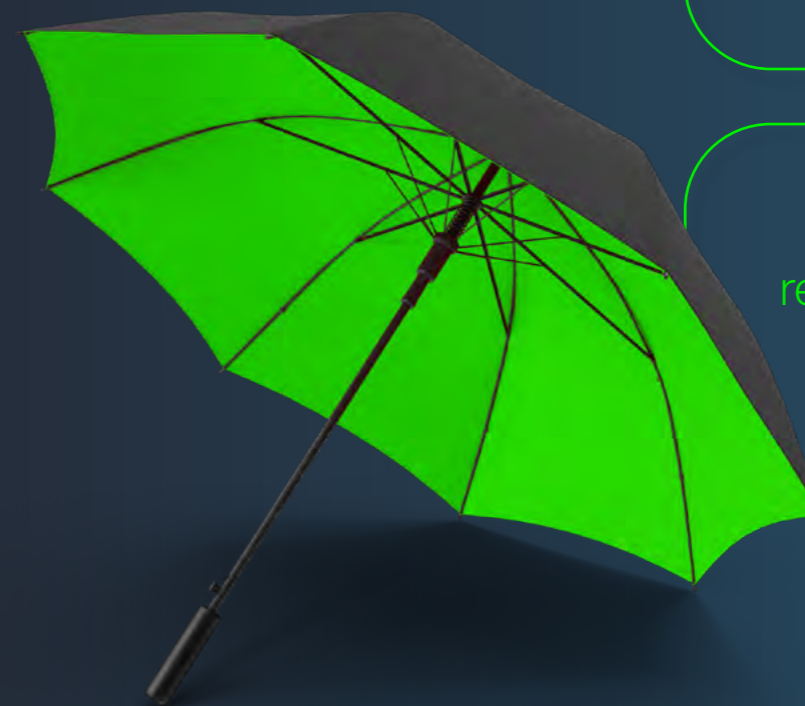
AML Audit

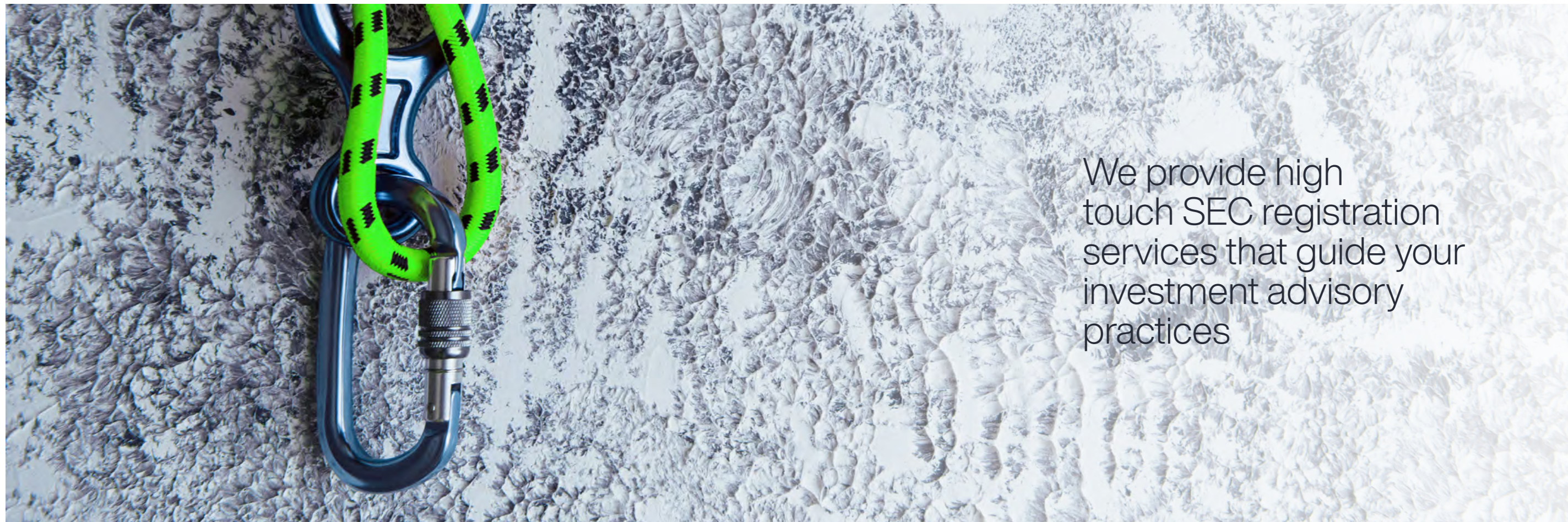
We provide compliance services to investment advisers managing around \$150 billion in regulatory assets under management - of which \$2.6 billion is attributed to private equities/venture capital firms.

Chicago, San Francisco, New York and Miami operations

250 clients (0 enforcement actions)

10-year retainer programme history





We provide high touch SEC registration services that guide your investment advisory practices

Hedge Fund Programmes

For US-based hedge funds we provide high touch registration services with both the Securities Exchange Commission (“SEC”) and the Commodity Futures Trading Commission (“CFTC”).

Our registration programmes work in parallel with your Chief Compliance Officer in order to implement a tailored compliance manual that includes compliance programme policy and procedures design and administration and that is consistent with the Investment Advisers Act of 1940 (the “Adviser’s Act”). Our registration programmes include working closely with you to complete all parts of your Form ADV registration including Form ADV Part 1A, Form ADV Part 2A (the “Brochure”) and Form CRS (your client relationship summary) where applicable. We will file your initial Form D in addition to supporting your ongoing state Blue Sky filings where necessary.

If your business is not required to register with the SEC due to a relevant exemption, we will work with you to file Form ADV ERA as an exempt reporting adviser and tailor a compliance programme consistent with your exemption status that meets all relevant aspects of the Adviser’s Act.

Broker-Dealer Programmes

We steer clients through the extensive, multistep process of applying for FINRA membership, including preparing your application, ensuring you have completed all required qualifications and examinations for the business as well as individuals as necessary.

Our team works with the Financial Industry Regulatory Authority (“FINRA”) and exchange regulated broker-dealers from launch to ongoing administration and support, providing high-quality registration services, FINRA Rule 3120/3130 and exchange annual reviews, market access reviews, anti-money laundering programmes, Financial and Operations Principal (“FINOP”) services, and more.

Our team provides extensive FINRA examination experience. We support your broker-dealer through various FINRA Exam enquiries such as cycle exams (e.g. sales practice cycle exam), trading and marketing making surveillance, sweep, or similar FINRA examination efforts. Our consultants have the extensive experience necessary to evaluate each broker-dealer’s unique and complex risk characteristics in order to create a comprehensive compliance programme to ensure FINRA compliance.

Private Equity/Venture Capital Solutions

We provide high touch SEC registration services that guide your investment advisory practices through all parts of Form ADV submission including a comprehensive administrative support.

We perform a complete regulatory risk assessment of your business and generate your compliance manual containing all applicable compliance policies and procedures.

Private equity and venture capital firms that, for compensation, engage in the business of advising investment vehicles on the value of purchasing or selling securities of privately held companies for compensation are required to register with the SEC.

If you fulfill the classifications of a venture capital firm, our team will walk you through your Form ADV ERA filing obligations. Our services to venture capital advisers include assuring that your business remains within the venture capital fund exemption including adherence to not exceeding the 20% basket for non-qualifying investments, borrowing and redemption limitations to ensure that you remain within the exemption as necessary.

Investor Dispute Investigations and Customer Complaint Review

We work closely with you to identify an appropriate course of action with hostile or otherwise challenging investors in order to address and re-evaluate existing policies related to such disputes.

Post Enforcement Action and Remediation

Regulators in the US often require sanctioned advisory firms to address and resolve identified deficiencies with the help of qualified professionals.

Regulators such as the SEC may identify deficiencies that advisory firms are expected to remediate, with serious consequences for advisers that do not remediate any identified issues.

GIPS Verification

We work closely with advisers to assess whether the organisation has complied with all composite construction requirements of the Global Investment Performance Standards (GIPS[®]) on a company-wide basis.

FINOP Services

Waystone provides Financial and Operations Principal (“FINOP”) (Series 27 licensed principal) services to broker-dealers, allowing you to focus on your core business. This offering gives you access to a Series 27 licensed professional who will provide ongoing assistance.

Reach out to us today to learn more about how we can ensure you stay aware of the nuances of broker-dealer regulation.

CTA/CPO Programmes

Our team assists organisations that carry out business as futures professionals with registration and ongoing Commodity Futures Trading Commission compliance obligations.

This includes adherence to the National Futures Association’s (“NFA”) rules, regulations and filing requirements. Our team assists Commodity Pool Operators (“CPO”) and Commodity Trading Advisers (“CTA”) to navigate their compliance obligations and the rules and requirements of the NFA and CFTC. Our services include, but are not limited to, Filing Form 8-R, implementing policies and procedures reasonably designed to meet your compliance obligations, extensive quarterly and annual Form PQR & Form PR filing requirements, NFA annual questionnaire support and ongoing individual registration support as necessary (including Principal & Associated Person registration and maintenance).

Our team provides extensive and continuous support that helps your business stay on top of all CFTC and NFA related operations. This includes ongoing marketing review and analysis, operational support and guidance and compliance programme administration. Our ongoing communication regarding changes to the NFA rules and regulations are designed to ensure that you stay on top of all compliance changes.



We provide clients with the experience and technical skills necessary to navigate the regulatory landscape with confidence.



UK Solutions

UK Solutions

Waystone Compliance Solutions provides specialist regulatory services to the Financial Services Industry.

As a truly global partner, we work with clients to align investment strategies and operational processes with the ever-shifting regulatory environment.

We can provide key services from initial authorisation through to development and integration of governance, risk management and compliance frameworks. We are trusted advisors to our clients and can support them in all aspects of their regulatory obligations.

Our aim is simple – to enable our clients to navigate the complex regulatory environment with confidence, allowing them to focus on the important task of building and growing their business.



Start-Up Services

- FCA authorisation
- Corporate governance
- Compliance infrastructure
- Financial crime framework
- Risk management framework
- Training
- Ongoing compliance support
- Cyber security and data protection

Ongoing Compliance Support

- Reg Tech (CORE)
- Documentation-FCA compliant
- Compliance monitoring and technical support
- Regulatory updates
- Regulatory reporting
- Regulatory advice
- Secondments
- Training
- Cyber security and data protection

Compliance Advisory

- Prudential
- Financial crime
- Market abuse
- CASS
- ESG
- Consumer duty
- Governance (SMCR)
- M&A regulatory due diligence
- Regulatory interaction
- Compliance and risk management framework
- Cyber security and data protection

Assurance/Independent Review

- FCA Skilled Persons Services
- Mock regulatory interviews
- AML audit and assurance reviews
- Compliance health check and effectiveness
- Internal audit co-sourcing
- Governance reviews
- Thematic reviews and technical deep dives
- Operational due diligence reviews
- Cyber security and data protection

FCA Authorisation

We manage your regulatory application to the FCA by setting out a clear plan, guiding and working with you throughout every stage of the application lifecycle. We will advise and support you with:

- FCA regulated activities for which you will need permission
- obligations specific to your regulatory activities
- guidance with and review of your Regulatory Business Plan and financial projections
- support with Prudential requirements including ICARA, liquidity policy, stress testing, wind-down plans and remuneration policy
- FCA competency requirements for senior management and other staff
- the completion of the necessary forms, including ownership disclosure forms and FCA Approved Persons Forms
- preparing your senior management for meetings with the FCA
- liaising with your other advisers and with the FCA
- project managing your FCA application from start to finish.

Once submitted, the FCA can take up to 6 months to undertake a thorough review of your application. Waystone has a proven track record in supporting firms with their authorisation.



Variation of Permission (VoP)

We are well equipped to assist organisations to vary their scope of permission. We assist by completing of the Variation of Permission (VoP) form directly onto the FCA Connect system and, where required by the nature of the application, assist in the preparation of the supporting documentation, such as business plans and financial projections. We will also prepare any enhancements to compliance policies and procedures that are required to conduct any new areas of business in compliance with the required standards. We design any necessary enhancements to the monitoring programme which will enable you to demonstrate control over the new areas of operation.

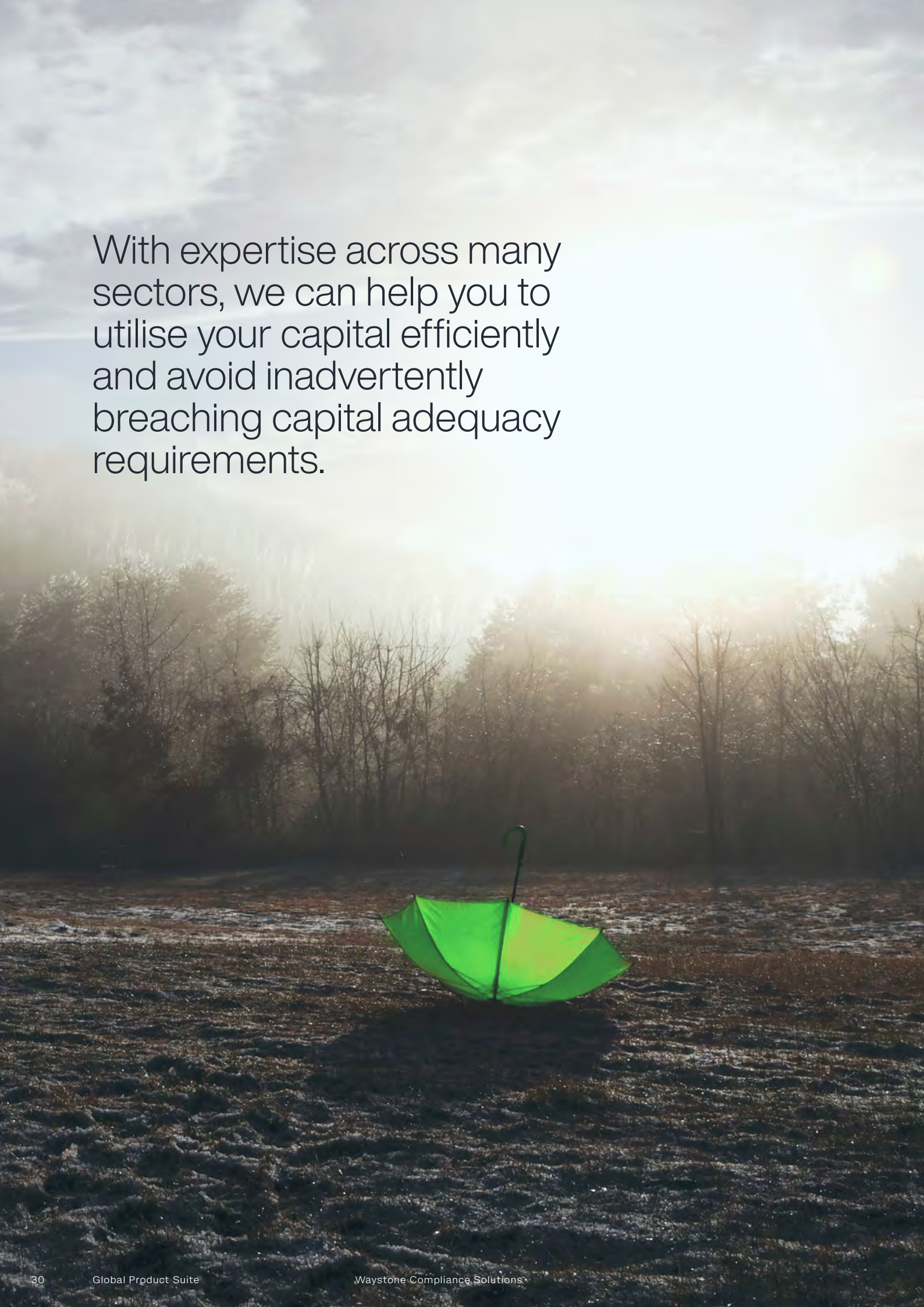
Our considerable experience in handling complex authorisations, means we are able to anticipate the regulator's likely areas of focus and assist you in addressing these as part of the initial filing, enabling the application to be processed with efficiency.

Compliance Advisory

Our experienced Compliance Advisory Team has an exceptional track record in helping organisations understand regulatory developments and assisting them with developing controls to operate successfully while meeting regulatory requirements.

The financial services industry continues to experience waves of significant regulatory change. This makes it challenging for organisations to digest new regulation, design and implement controls to manage the changing landscape, and continue to provide assurance to senior management and regulators that the controls are robust and effective.

We don't provide a 'one size fits all' solution. We take the time to understand your business, along with your needs and objectives, to ensure that we provide you with sensible, efficient and effective solutions to managing regulatory risk. Our compliance professionals offer technical insight and draw on an in-depth knowledge of peer-group best practices.



With expertise across many sectors, we can help you to utilise your capital efficiently and avoid inadvertently breaching capital adequacy requirements.



Internal Audit Co-Sourcing

Internal audit functions within financial services companies face many challenges. To be effective, internal auditors must develop knowledge of complex business environments with varied risk profiles, grasp the risks inherent in the development and deployment of new products and services and adjust to a world of ever-changing regulation. Not only must internal auditors be skilled in each business area but must also learn the technicalities of new FCA regulations and how these regulations apply to the business.

Recruiting a large team of skilled auditors with experience in all risk areas is a costly solution, particularly for global organisations with a centralised internal audit department. As internal audit teams strive to provide value-added assurance and consulting to their business, co-sourcing has become the preferred solution for many internal audit functions.

Our IIA qualified resources and deep FCA knowledge have consistently served a number of our clients through their risk-based audit cycle. We augment internal audit functions with insight and scalability, ensuring that Heads of Internal Audit have a reliable partner to help add value to regulatory audits.

Prudential Rules and Regulatory Reporting

Financial reporting rules are complex and apply across the board, from the largest global institutions to the sole trader. For smaller companies it can be difficult to keep up with the nuances of regulatory reporting. The risk of failing to complete, or inadequately completing, prudential returns can not only lead to routine fines but also alert the regulator to internal failures at an organisation. With expertise across many sectors, we can help you to utilise your capital efficiently and avoid inadvertently breaching capital adequacy requirements.

We manage the entire regulatory reporting process for you, freeing up your resources and ensuring your reports meet the regulator's requirements. Reports are prepared over RegData (the FCA's reporting platform) for clients to review and submit and meet their reporting deadlines.

Regulatory Technology

Waystone's clients benefit from using our proprietary RegTech platform, CORE.

We designed CORE to help our clients stay in control of their own compliance framework. Our ongoing compliance support services integrate with that framework, creating a reliable single source of truth for compliance.

CORE gives our clients real-time oversight of their compliance framework, ensuring that our clients stay in control over their regulatory obligations. Clients that rely on Waystone to deliver ongoing compliance support such as outsourced compliance monitoring can also demonstrate oversight of the delivery of our services, as we deliver this service via CORE.

Financial Crime

Supervisory authorities can impose severe penalties on businesses, senior management and individuals that fail to implement proportionate controls to the risks the business face. These penalties apply even if no money laundering has taken place, thereby ensuring that this is an area that every organisation must treat with the utmost importance.

Our financial crime prevention services can provide you with the assurance that you are adequately managing the associated risks of financial crime in line with regulatory requirements. Many of our clients use our services to augment, advise and scale their compliance team.

We have a wide range of clients that rely on us to support them with their AML/CTF obligations. Our consultants work with clients across a number of industries, meaning we will be able to help you with your AML/CTF requirements, regardless of what sector you are in.



Middle East Solutions

Middle East Solutions

For over 15 years, we have been providing compliance and regulatory services in the Middle East.

In 2006 we were the first specialist compliance consultancy to set-up in the Dubai International Financial Centre ("DIFC"). In 2017 we opened our Abu Dhabi Global Market ("ADGM") office, and in 2019, we added our third UAE office 'onshore'. We are uniquely placed to provide the widest range of specialist compliance consultancy services on both a regional and international basis.

Our consultants comprise individuals who have held senior positions in global and local financial services firms, for international and regional regulators and within international and regional exchanges.

We do not provide a 'one size fits all' solution. We take the time to understand your business, along with your needs and objectives, to ensure that we provide you with effective solutions to managing regulatory risk.

We believe the key to our success is to build long-term relationships with our clients and realise that this can only be achieved if we provide our clients with a combination of technical expertise and a high level of personal service.



Compliance Advisory

Our consultants have held senior positions in global and local financial services firms, in international and regional regulators and in international and regional exchanges.

Our collective experience means we are uniquely placed to provide value-added, timely, and solution-oriented advice to you on a wide variety of compliance, risk and governance issues, and to build long term relationships based on an understanding and appreciation of your evolving regulatory obligations and business needs.

Our experienced team of consultants can provide you with effective solutions to manage regulatory risk across a range of areas including:

- assurance reviews
- compliance remediation
- data protection
- financial crime prevention
- corporate governance
- risk management
- prudential rules and regulatory reporting.

Authorisation

We can help you to consider all your options before you launch any regulatory authorisation application.

The UAE is strategically located between the East and West, providing a platform for businesses and financial institutions to reach into and out of the emerging markets of the region.

The UAE is an excellent base from which to take advantage of the region's rapidly growing demand for financial and business services. It also fills the time-zone gap between Europe and the US in the west and Asia and India in the east. There are several options open to you on how and where in the UAE you establish your business.

We can assist your firm in setting up in either the DIFC or the ADGM as well as with the Central Bank of the UAE and the Securities & Commodities Authority (SCA).

Find out more about the set up process in our helpful guides



Documentation

We work with you to create a comprehensive and practical suite of manuals, policies and procedures to meet the precise needs of your business.

Inadequate and ineffective compliance documentation can expose your business to a great degree of risk. With our support, you will remain up to date with the requirements of your regulator as well as meeting the demands of your business. We can also assist you to evidence ongoing staff awareness of these documents.

UAE Outsourcing and Support

We offer our clients operating in the financial centres of the DIFC and the ADGM various outsourcing options.

Within the financial centres of the DIFC and the ADGM, many organisations choose to outsource their key functions to ensure they receive the level of expertise required without the financial burden of a full-time resource, which is sometimes not required depending on the size and complexity of the operation.

Outsourcing can be to external third parties or internally back to the head office. In the latter example, many firms employ outside consultants to review the business being undertaken in the UAE to ensure that out of sight isn't always out of mind. Even if you have a full-time resource there are times when the individuals holding key positions require assistance, even if this is to obtain an expert view on an issue or provide an independent review of the business and its operations.

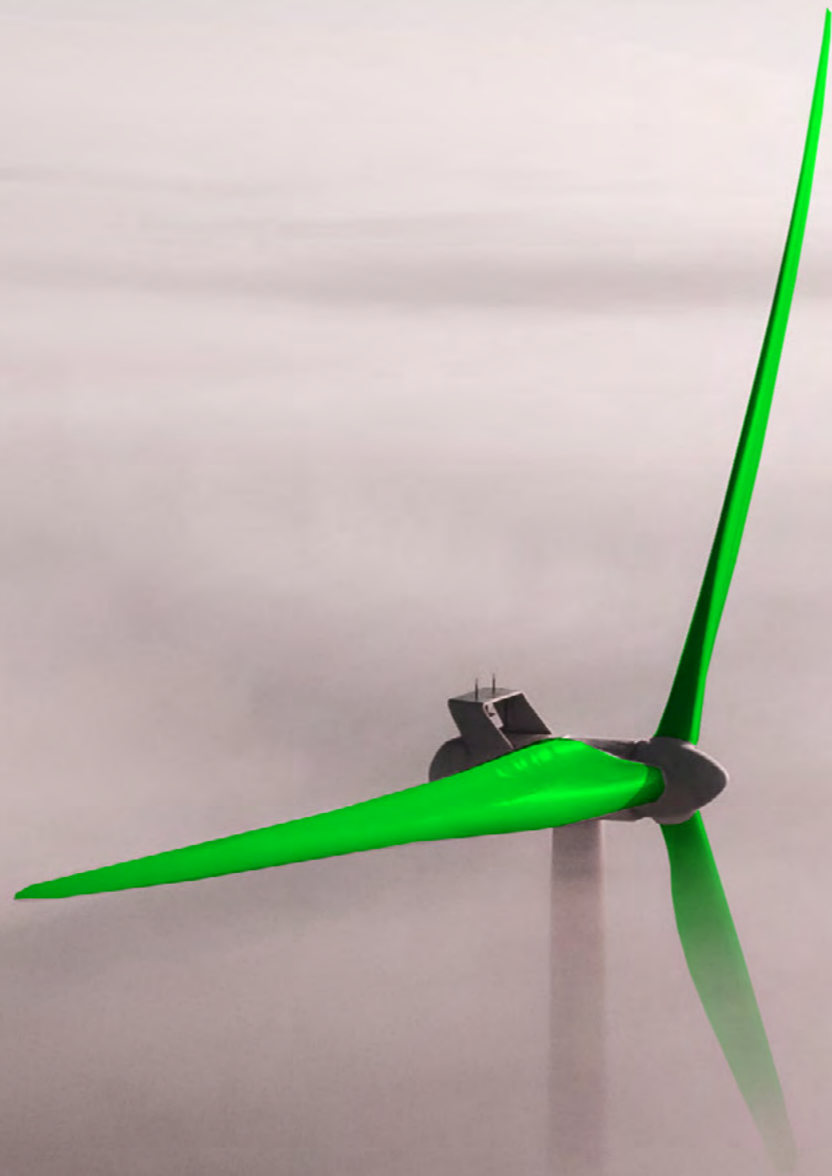
As a regulated firm, the key roles that can be outsourced to Waystone are:

- Compliance Officer & MLRO
- Finance Officer
- Data Protection Officer
- Independent non-executive director services in the UAE.

In addition to any of our other services, we can also act as your Risk Officer or Company Secretary on an outsourced basis.



We work with you to create a comprehensive and practical suite of manuals, policies and procedures to meet the precise needs of your business.



APAC Solutions

APAC Solutions

Licensing

Our team has a deep understanding of the rules, guidelines and processes in relation to obtaining licenses and registrations in Singapore.

We follow the process thoroughly and assist clients from initial business set up to maintaining all ongoing regulated activities.

We advise and guide financial institutions such as fund managers, financial advisers, insurance brokers, trust managers and payment services providers on the respective licensing requirements to ensure a smooth application process.

Setting up a Fund Management Company in Singapore

Singapore's strong infrastructure and attractive tax system have developed it into a leading fund management centre, where institutions can manage fund operations with a presence and substance.

Singapore's success as an international financial centre is premised on its robust supervisory framework and pro-business environment. Supplemented by an extremely attractive tax environment for budding businesses, Singapore's mature infrastructure and government support for the wealth management sector continue to be attractive to fund managers who intend to establish a presence in Singapore. These factors have attracted leading financial institutions and global investors to operate with confidence in Singapore. Fund Management continues to be one of the main Regulated Activities in Singapore, with approximately 900 Singapore fund management companies in existence. Waystone Compliance Solutions can work with you to ensure that your company setup and licensing is a seamless process and ensure that you are in compliance with the Securities and Futures Act.

Payment Services Act

The Payment Services Act ("PSA") came into effect in Singapore on 28 January 2020 and streamlines the payment services regulatory framework under a single piece of legislation.

MAS has introduced two parallel regulatory frameworks. The first framework is a designation regime which enables MAS to designate significant payment systems and regulate operators, settlement institutions and participants of these designated payment systems for financial stability reasons and efficiency reasons. The second framework is the licensing framework for payment service providers.

If you would like to apply for a Payment Services Act (PSA) licence or are seeking additional help in that regulatory space, please reach out to our experienced regulatory team that understands the licensing requirements for PSA firms. We have worked with a number of clients on license applications and have assisted with the entire process. We have also assisted firms with drafting policies and procedures such as Anti-Money Laundering/Countering Financing of Terrorism policies and procedures and Technology Risk Management Policy.

Policies and Procedures

Our team has the relevant expertise to develop comprehensive compliance policies and procedures to protect organisations from legal and regulatory constraints while reinforcing a culture of compliance and ongoing monitoring.

Compliance Review

We assist companies to evaluate the effectiveness and the compliance status of their operations by taking a risk-based review, including a thorough examination of existing policies, procedures and risk mitigation processes and systems.

Monitoring and Ongoing Support

Our ongoing compliance support services help clients to objectively analyse whether they are meeting the specified guidelines, industry requirements and regulations to help them mitigate ongoing risk.

The regulatory space is evolving and several ongoing requirements must be met periodically. Companies must establish a monitoring and surveillance process that allows them to identify, analyse and mitigate any potential compliance violations.

We assist companies to evaluate their compliance status and its effectiveness



Compliance Training

We provide a range of corporate governance and regulatory training solutions including customised and interactive online courses for all levels of business stakeholders.

Complex business operations and the evolving regulatory space continually challenge the risk framework. Organisations must ensure that there are no gaps in their risk framework and that their operations are effective and agile. Our regulatory compliance training courses increase your employees' understanding of the legal boundaries within which an organisation operates. The training we provide educates employees on the laws and regulations of Singapore in relation to their industry or specific job function and empowers them within the realm of their job scope.

Our corporate compliance training programmes cover the following topics:

- MAS regulations and compliance
- Anti-Money Laundering (“AML”) and Counter Terrorist Financing (“CTF”)
- customer due diligence
- duties of Responsible Officers
- market misconduct and insider trading
- roles of different regulators
- cross border operations
- tax compliance
- risk management
- regulator inspection interviews
- preparation for regulatory inspection
- interpretation of policies and procedures
- regulatory changes
- gifts and entertainment
- conflicts of interest.

Audits

We understand the changes that can occur within the regulatory regime and we provide assistance with internal audits to ensure that they meet best practice standards.

The CEO and directors of the company are ultimately responsible for ensuring that there are adequate internal controls and reasonable measures in place to ensure that internal controls are effective to address the risks arising during the course of the company's operations.

Corporate Compliance

We assist clients with all financial business processes, including incorporation, company secretarial services, accounting and payroll, in order to ensure tax compliance.

AML and KYC

We assist regulated institutions with their AML and CFT obligations in Singapore.

Regulated financial institutions have a responsibility to appropriately detect, deter and prevent money laundering, associated predicate offences and terrorism financing. Our AML and KYC compliance services help to protect the integrity of the financial system from illegal activities and illicit fund flows in the ordinary course of conducting its business.

KYC AML Compliance & Regulatory Requirements

An integral part of a comprehensive AML compliance programme is Know Your Customer (KYC) regulatory processes that protect corporate service providers from criminal affiliation, money laundering and terrorism financing. Through the completion of a fundamental due diligence form of the individuals and their belongings, our KYC practices and offerings ensure that your clients are free of criminal offences. As part of the Financial Actions Task Force (FATF), Singapore requires corporate service providers to have Internal Policies, Procedures and Controls (IPPC) that protect themselves from working with any criminal affiliates.

Risk Management

We help organisations to identify, build and streamline the necessary internal controls.





Cyber Security and Data Protection Solutions

Cyber Security and Data Protection Solutions

We are an ISO27001-certified consultancy company. We are dedicated to delivering the highest level of information security and data protection advisory support services to our clients.

Waystone Compliance Solutions offers one of the strongest independent information security and data protection services globally. Our services are focused on helping our clients to assess information security threats, identify weaknesses, implement a sustainable and pragmatic programme of information security improvements, and embed a security culture within an organisation.



Services

All of our services are tailored to meet the specific needs of our clients, taking into account each client's unique requirements, risk appetite and culture.

The key differentiator of Waystone Compliance Solutions and a significant factor in our success to date, is our independence from any manufacturer or supplier of information technology products. Waystone Compliance Solutions is not a development house or systems integrator and is therefore trusted by its clients to provide transparent and independent recommendations and advice when it comes to information technology investment decisions.

All Waystone Compliance Solutions team members spend time with the founders and key staff members to ensure a consistency of approach and philosophy when it comes to our customers and their data governance.

One of our base principles is that of appropriate levels of information security, based on an organisation's risk appetite and regulatory environment. Security for the sake of security alone is of no value and will often lead to the creation of "Shadow IT" systems. Our architects and strategists ensure that security is "right sized" and not excessive.

The Waystone Compliance Solutions team meet on a regular basis to affirm these principles and participate in active discussions. We are an organisation that utilises collaboration and information sharing technologies, in a secure manner, to ensure that all of our team members have direct lines of communication in order to share expertise and knowledge.

Waystone Compliance Solutions can provide clients with a Cyber Security Annual Services solution that includes the following:

	Institutional	Professional	Emerging Manager
Technology and Cybersecurity Risk Assessment (Annual Report)*	✓	✓	✓
Weekly External Network Vulnerability Scan	✓	✓	✓
Internal credentialed vulnerability scan (Once per contract year)	✓	✓	✓
Written Information Security Program (Information Security, Vendor Management, Incident Response)	✓ (Bespoke)	✓ (Bespoke)	✓ (Templates Only)
Table Top Exercises (TTE) (replaces WISP on subsequent years)	✓	✓	✓
Staff Cybersecurity Training	✓ (Live or WBT)	✓ (Live or WBT)	✓ (WBT only)
Staff Phishing Tests	✓	✓	✓
Regulatory Exam Support (2 Days Onsite), ADV-C Support, SEC Incident Reporting	✓	✓	✓
Industry News and Cybersecurity Notifications	✓	✓	✓
Vendor Diligence	✓ (20)	✓ (5)	✓ (1)
External Penetration Test	✓	✓	
Spam and Spoof Testing	✓	✓	
DNS and Dark Web monitoring	✓	✓	
Advisory Hours (VCISO)	✓ (4 Hours Per Quarter)	✓ (2 Hours Per Quarter)	
Technology Maturity Assessment	✓		
Board Documents and PowerPoint Decks	✓		

Leadership Team



Matthew Brown

Head of Region – Asia and
Middle East Client Solutions



Tom Fisher

Associate Director



Karl Cowman

Director, Compliance Solutions



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