



cutting through complexity

Your Regulatory Scout

The future of regulatory
compliance

kpmg.lu

January 2014



THE TAKEAWAY

OUR OFFERING TO YOU IN ONE SENTENCE AND A FIVE-MINUTE READ ...



0:30

Focus on **your** core business
whilst KPMG's **Centre of Excellence**
for investment management regulation
concentrates on scanning **your regulatory**
compliance watch.

THE REGULATORY TEAM

THAT WILL WORK WITH YOU



1:30

Charles is the Head of the Regulatory Centre of Excellence for Investment Management Regulation. He has strong ties with decision makers across the European and global regulatory network.



Charles Muller
Partner



Anne-Sophie Minaldo
Partner

Anne-Sophie is leading the regulatory practice for Banks and PSFs. She is an experienced practitioner with a clear view of the industry and how best to transform regulation into strategic vision and operational execution.



Gabrielle Jaminon
Director



Sven Muehlenbrock
Partner



Dee Ruddy
Director



Thomas Ertl
Manager



Sandrine Periot
Director



Juergen Rieder
Senior Manager



Laetitia Hamon
Manager



Sébastien Leleu
Manager



Sophie Grall
Senior Manager



Stefan Junglen
Manager



Audrey Guyot
Assistant Manager



Kian Navid
Senior Adviser



Berengere D'Havrincourt
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Michal Pochec
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Virginie Dobritch
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Isabelle Lauterbach
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Nancy Che
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Daniel Meyer
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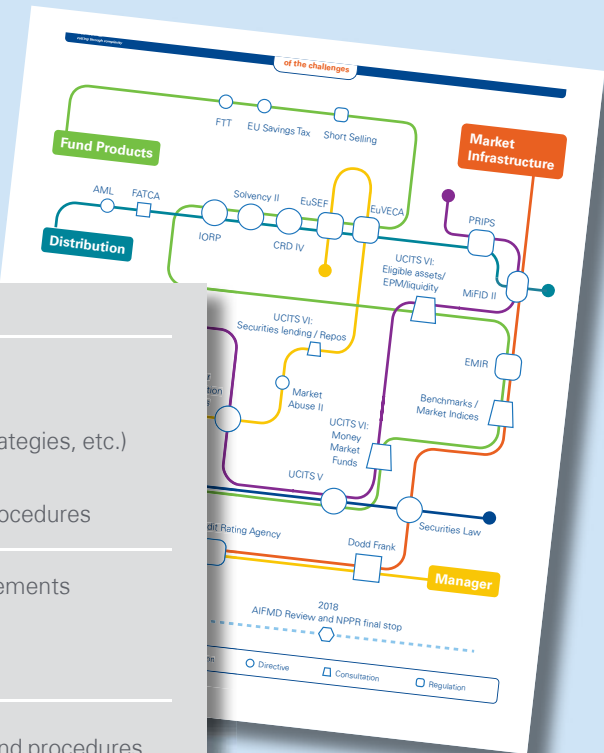


Clara Braunstein
Adviser

Our regulatory team comprises over 20 experts.

KEEP TRACK OF REGULATION, UNLOCK HIDDEN OPPORTUNITIES, AVOID LAST-MINUTE RUSH

- Do you see regulatory opportunities for your business?
- Are you up-to-date with all the rights, responsibilities, and liabilities for conducting officers, heads of, or supervisory functions?
- Do you have the resources and experience to maintain an overview of the whole regulatory landscape?



For whom?	Why?
Board members Service providers	<ul style="list-style-type: none">✓ Ensure compliance at the top level✓ Be aware of global and EU opportunities✓ Make strategic decisions (location, opt-in or opt out strategies, etc.)✓ Identify and review new responsibilities and duties✓ Review effectiveness of policies, arrangements and procedures
Asset Manager	<ul style="list-style-type: none">✓ Adapt existing products to upcoming regulatory requirements✓ Assess new product opportunities✓ Review marketing strategy
Compliance officer	<ul style="list-style-type: none">✓ Establish and maintain adequate compliance policies and procedures✓ Ensure compliance with upcoming laws, rules, and regulations✓ Report to Senior Management & BoD

With our expertise, we identify key regulations that apply to your business ...
... and give a helping hand in matching these requirements to your target operating business model.

Take control of compliance and secure peace of mind!



Timeline of regulatory developments in Investment Management									
December 2012	June 2013	December 2013	2014	2015					
• UCITS V									
• UCITS VI									
• AIFMD									
• EUVECA & EuSEF									
• ELTIF									
• MiFID II / MiPR									
• PRIIPs									
• Solvency II									
• ICSD									
• CRD IV									
• CRAs									
• FTT									
• FATCA									
• EMIR									
• Short-Selling Regulation									
• MMF									
• SLL									

Matrix of how the various regulatory initiatives may impact your business									
Service	R&D	KYC	Liquidity mgt.	Marketing	Fund managing	Derivatives trading/short selling	Investment services	RM	PM
Regulation									
UCITS V, VI	x								
AIFMD									
PRIIPs									
MiFID II / MiPR									
Short-Selling									
EMIR									
CRAs									
MMF									
ICSD									
FATCA									
EuVECA									
EuSEF									
ELTIF									
SLL									
CRD IV									
Solvency II									

What can you expect from Your Regulatory Scout?

- Update on regulatory developments**
 - European Regulation
 - Options add-on module for Luxembourg
- 6x 1.5 hours**
Conference calls for regulatory updates and insights
- Regularly updated**
A dashboard for decision makers
- Updated every 3 months**
Regulatory "Bible"
- One year full service**
- Initial get-to know seminar**
To ensure a regulatory watch tailored to your vision and goals.
- 2x half day workshops**
Regulatory updates and strategic priority discussions
- Ongoing**
Ad-hoc alerts depending on the news

Optimize your time and money, let us keep a watch on regulation

A dedicated relationship officer guides you through the regulatory wilderness, showing you how to tame the directives and take control.

Take Ownership
KPMG sorts through the multitude of regulations to give you a clear understanding of impacted areas and your responsibilities

Non-compliance is not an option
Regulators are introducing sanctions and are enforcing them for non-compliant entities. Don't be caught out

Create success stories
Take a proactive approach to avoiding sanctions and to unlocking the hidden opportunities of mandatory compliance exercises

Outsource **your** regulatory research to **our experts.**

CONTACT DETAILS



5:00

Contact Us

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