

# Investment Management Compliance Services

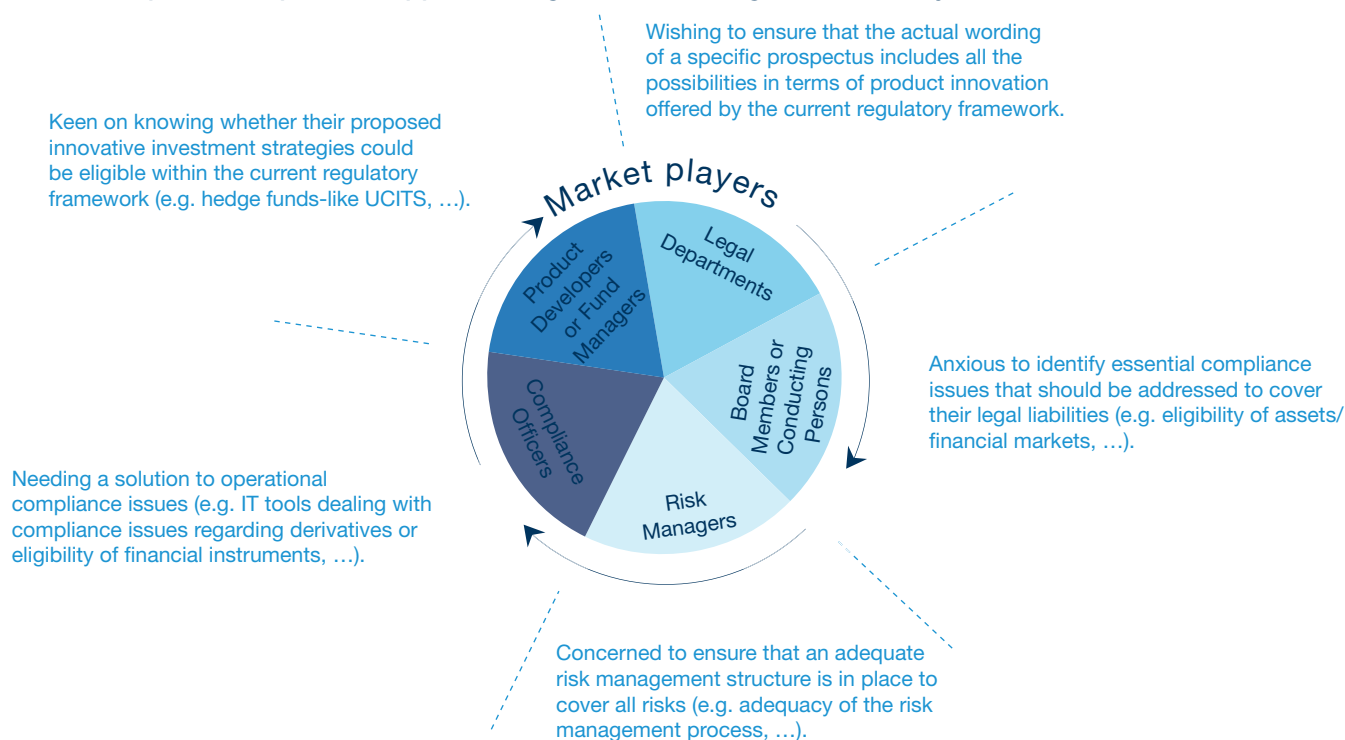
The increasing complexity of the EU and Luxembourg IM regulatory frameworks, as well as the continued focus on tailoring products for different investor types present compliance challenges but also provide market players with concrete opportunities within the UCITS and non-UCITS space to meet client needs.

The key challenge for market players is to cater for the various investors' expectations in terms of risk/return appetite and product innovation while reinforcing the organisational structure to leverage specialist teams with more efficient tools to manage compliance risk.



## Challenges

- Need for experts' compliance support arising at different stages of the life cycle of UCITS and non-UCITS funds.



- Access to up-to-date, reliable and complete information on latest sophisticated products, innovative strategies and new regulatory developments in order to assess any potential impacts in terms of compliance, risk management and product opportunities.

## How can PricewaterhouseCoopers Luxembourg help you?

- **Online access to a dedicated IM Compliance database**

IM Compliance Workbench™ is a PricewaterhouseCoopers Luxembourg proprietary web-based application allowing access to a library of investment compliance-related documents and information. User-friendly navigation and search tools provide access to documents on a comprehensive range of topics, key issues, current regulatory positions and PricewaterhouseCoopers technical opinions.

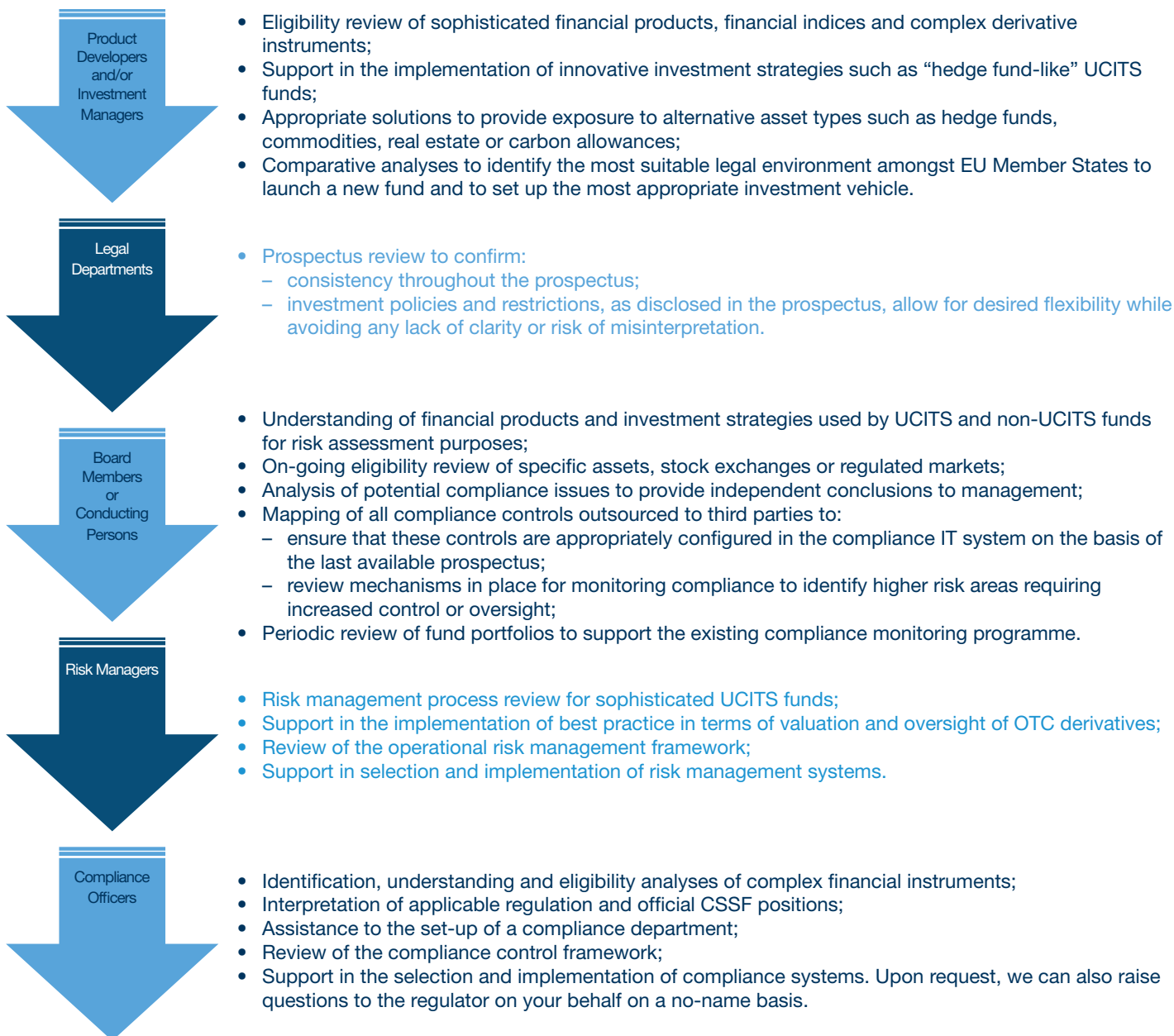
The compliance database includes:

- Technical notes, product, index and stock exchange analyses;
- Applicable directives, laws, regulations, circulars and official CSSF positions;
- PricewaterhouseCoopers weekly IM Regulatory Watch.

- **Organisation of training sessions and bespoke workshops**

Whereas public sessions on compliance tend to be generic with regard to contents, duration and target audience, our in-house compliance training dedicated modules are adapted to your specific individual needs.

• Assistance in the form of ad hoc advice or analyses



**Why PricewaterhouseCoopers Luxembourg?**

A multidisciplinary team of professionals highly experienced in compliance issues combining their expertise as auditors and industry practitioners. A detailed knowledge of the risks associated with complex financial instruments and sophisticated investment fund strategies. Our membership of various technical working groups means we can anticipate the potential consequences from future regulatory changes on your business. The expertise accumulated by our dominant audit practice. The breadth and quality of our international IM network covering all the major financial centres.

**Your contacts**

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