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# Ogier Regulatory Consulting

The point of guidance.



# Ogier

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## Who we are

An agile business, anticipating fundamental changes in our clients' needs.

### Who we are

Ogier provides practical advice on a unique combination of six laws: BVI, Cayman, Guernsey, Ireland, Jersey and Luxembourg. Our global network covers Asian, European and US time zones.

Legal services for the corporate and financial sectors form the core of our business, principally in the areas of banking and finance, corporate, investment funds, dispute resolution, private equity and private wealth. We also have strong practices in the areas of employee benefits and incentives, employment law, regulatory, restructuring and corporate recovery and property.

Our corporate and fiduciary services division, Ogier Global, works closely with Ogier's partner-led legal teams to incorporate and administer a wide variety of vehicles, including public and private companies, partnerships and trusts.

Our consulting services provide independent guidance spanning advice and training to implementation and evaluation across regulatory and tech, sustainable investment, comprising of Ogier Regulatory Consulting and Sustainable Investment Consulting. Our tailored advice meets clients' specific needs, delivering flexible solutions and support.

### Where we are

With professionals based in Asia, the Americas, the Middle East and Europe, we are able to provide global coverage across all time zones.

### Our approach

We get straight to the point, managing complexity to get to the essentials. Our clients enjoy the benefits of being able to build long-term, personal relationships across both our legal and administration teams and working with a single service provider who is able to support their commercial objectives.

Supported by market-leading technology, our interactive entity administration platform and client service portal, Ogier Connect, gives clients real time access to statutory information and documents.

Tui Iti  
Global Head of Ogier Regulatory Consulting



We identify solutions and answers, leading to the creation of the most effective system possible using the right resources.



## What we do

We support our clients to navigate the complex and ever-changing regulatory landscape, while effectively mitigating regulatory risk.

We view your business through the regulatory lens. Our team of trusted consultants have experience as regulators, advisors, policy makers, investigators, compliance/risk practitioners, and trainers. We bring together our expertise in regulatory requirements and expectations, practical implementation, commercial understanding and lean thinking, in order to provide tailored and effective solutions for your business.

With teams based in Jersey, Cayman and Dubai we work internationally alongside Ogier's global team of regulatory law specialists. This means that we can provide legal advice and regulatory consulting services, across multiple jurisdictions, in an efficient and cost-effective manner.

In a world where the need to meet these challenges as efficiently as possible through digital solutions, we also have experts dedicated to cyber-security advice. You can see more about this service on our dedicated cyber security consulting page.

Clients need proactive regulatory, compliance and AML consultancy services to help identify, manage and respond to issues even before they arise. At Ogier Regulatory Consulting, we have expertise in regulatory requirements, drawing on experience as regulators, advisors, policy makers and practitioner compliance officers.

Working alongside Ogier's global team of regulatory law specialists, our legal and compliance advice is seamless, high quality and cost effective. With our international team of regulatory lawyers advising on which and how laws must be complied with, our compliance consultants advise on the operational implementation of programmes to meet those legal requirements. For example, regulatory lawyers might advise a regulated client that they need a cybersecurity policy and what this should cover; our compliance consultants will work with the client to develop and implement a policy that is tailored to the client's specific infrastructure.

For many financial services clients our advice begins with a needs assessment and review of the client's latest risk assessments. In conjunction with Ogier's regulatory legal team we can identify applicable regulatory requirements and the appropriate course of action. We then facilitate the approval of the work required by those responsible for governance. We can be engaged in the discharge of those action points or return at a future time to review the completion, reporting any further recommendations.

## Our services

### Advisory

To the point and pragmatic regulatory advice. Assistance in all regulatory matters, including:

- management and mitigation of regulatory risk
- formulation of a regulatory engagement strategy, fostering a co-operative relationship
- regulatory inspections, applications, submissions and inquiries
- identification and assessment of business (ML/TF/PF), customer, compliance and enterprise risks
- design and implementation of systems and controls (including policies and procedures)
- virtual assets and virtual asset service providers
- multi-jurisdictional blockchain investigations
- virtual asset wallet risk screening

### AML/CTF/CPF and compliance function support

Provide support to CO, (A)MLCO and MLRO functions where required, for example with:

- compliance monitoring/testing
- compliance reporting
- ongoing monitoring of customers (eg periodic reviews, transaction monitoring)
- bespoke secondment arrangements
- outsourced AMLCO services (Cayman only excluding funds)

### Assurance

We provide expert, independent assurance. This includes:

- full or themed reviews to test compliance with regulatory requirements (such as third-line internal audit functions and regulatory health checks)
- remediation effectiveness testing
- board (or equivalent) effectiveness assessment
- regulatory due diligence for mergers and acquisitions

### Remediation

Our team can design, create and deliver sustainable and cost effective remediation action plans, supporting both internal and external remediation communication plans.

### Training

We prepare and deliver bespoke training across varied regulatory disciplines, including "train the trainer" services so you can possess the knowledge and make sure your team are up to speed.

### Compliance Training

We are passionate about the need for quality training to ensure knowledge and competence for your staff and board.

At a minimum, regulated entities in the Cayman Islands must provide training for its staff and board.

This must cover the Proceeds of Crime Act and the Anti-Money Laundering Regulations as well as the firms' own procedures to comply with the laws and how to recognise suspicious activity. We can provide this and more, working with you to instil a positive approach to training.

We can also conduct and report on competence assessments and assist in devising development plans and appraisal criteria.

Ogier also delivers training for compliance staff or prospective compliance staff through our highly successful Compliance Training Series (CTS).

## Cayman auditing services

Discover assurance with tailored service designed to strengthen and support your organisation's governance, risk management, and control processes.

Our independent audits act as a robust third line of defence, ensuring the integrity and efficiency of your operations while aligning with your strategic goals. Partner with Ogier Regulatory Consulting Cayman to reinforce your internal audit function with a commitment to independence and objectivity. Enhance stakeholder confidence and secure your organisation's future by choosing our expert services.

### **Importance of independent audits**

Our independent audits bring an unbiased perspective to your regulatory and operational assessments. Our services enhance the credibility of your reports, providing stakeholders with reliable information backed by our specialised knowledge.

### **Third line of defence function**

We provide full independent third line of defence services, serving as your organisation's internal auditors from the stages of developing your strategic plan, assessing risks and executing on the audit program to board reporting. We work in harmony with your operational management and risk functions while maintaining the necessary independence to provide objective support and oversight.

### **Risk-based audit approach**

Navigate your risks with confidence through our risk-based audit strategy. We prioritize risks that matter most, ensuring that our audit plans are attuned to your organisation's unique challenges and objectives.

### **Comprehensive audit services:**

#### **Operational audits**

Streamline your processes with our operational audits, designed to enhance efficiency and drive effectiveness across your organisation.

#### **Compliance audits**

Stay ahead of regulatory requirements with our compliance audits, ensuring your operations meet legal and policy obligations.

#### **Cybersecurity and IT audits**

Safeguard your digital assets with our cyber and IT audits, focusing on the security and integrity of your information systems.

#### **AML and regulatory compliance**

Navigate the complexities of AML and regulatory compliance with our specialised services. We help to identify issues before onsite inspections so you can be confident you are compliant.

### **Value-added recommendations**

Beyond compliance, our audits deliver strategic insights. We identify opportunities for cost reduction, revenue enhancement, and process optimization, adding tangible value to your business.

### **Continuous Improvement**

Embrace a culture of perpetual advancement with our support. We provide the tools and techniques for continuous monitoring and self-assessment, fostering an environment of relentless progress.

Georgia Scott  
Head of Ogier Regulatory Consulting  
Cayman Islands

Georgia was nothing but professional and provided valid and valuable suggestions. I'm feeling very grateful and if or when I am looking for another independent review, Georgia will be my go-to. Client feedback





## Cyber security consulting

Cyber security, compliance and governance are becoming ever more relevant in today's world as the rapid expansion of technology brings about greater security challenges.

We are at the forefront of the ever-evolving financial services market and provide clients with the most up-to-date advice.

Our cyber security experts help you navigate regulations and security risks. We deliver a range of compliance and governance solutions as well as leverage our Ogier Preferred Partner Network, to provide specialised services face-to-face in your jurisdiction.

### Cyber compliance

Stay confident and compliant, develop business driven cyber policies and procedures that stay in line with requirements and budget, and understand your responsibilities to the regulator.

- Policy development, gap analysis and mapping
- Data Protection Act health checks
- The Cayman Islands Monetary Authority (CIMA) and Dubai Financial Services Authority (DFSA)-specific health checks
- Third-party outsourced risk assessments

### Cyber strategy, transformation and assessments

Take advantage of the Ogier preferred partner network and work with specialised services firms managed by Ogier Regulatory Consulting in your jurisdiction.

- Virtual chief information security officer (VCISO)
- Cyber security health check

- Microsoft 365 configuration assessment
- Cyber security solution configuration and performance assessments
- Security incident and event management (SIEM)

### Cyber testing and risk management solutions

We offer a variety of internal and external security testing and monitoring solutions, basic log accumulation, eyes on glass event monitoring, penetration testing and advanced sandbox, cyber-ranger testing environments.

- Penetration, red team/blue team testing, sandbox exercises
- Dynamic application security testing (DAST)
- Managed incident and event management solutions
- Extended detection and response solutions (XDR)

### Cyber training, education and awareness

Cyber training for your employees is a business necessity. Our training content is adaptive and innovative with ongoing development and uses input from educators, IT experts and policy writers.

- Employee cyber security training and testing solutions covering social engineering, cyber awareness and phishing
- Onsite (Cayman and Dubai) IT, Cyber training, testing and awareness solutions

### Digital identification

Digital identification is here to stay. Digital ID solutions offer multiple authentication approaches including facial and voice recognition, passwordless token exchange and increased accountability for your business.

As online user experiences advance, and cyber security becomes more embedded into your client service lines, it is necessary to stay ahead of the curve and be compliant.

We can advise digital ID solutions for your business.

### eKYC (electronic Know Your Customer)

Are you ready to streamline your KYC onboarding requirements? Let us provide solutions ready for your jurisdiction from the outset, compliant with local data protection acts and GDPR regulations.

### Virtual asset, crypto and blockchain

Want to expand into virtual assets? Let us remove the complexity and allow you to concentrate on building a successful practice.

- Virtual asset forensics
- Blockchain analytics
- AML controls and risk assessments
- Investigations

## Virtual assets

Our in-house expertise allows us to provide the following virtual asset related services:

### **Investigations**

We assist with establishing virtual asset AML controls and are experienced in performing multi-jurisdictional blockchain investigations.

### **Blockchain analytics**

Our team are experienced with various blockchain analytics tools for investigative purposes, and we can support your onboarding process including risk-rating your customers and their virtual assets.

### **Virtual assets/decentralised finance AML compliance, risk reporting, forensics and audits**

We perform effectiveness reviews of existing AML controls for transactions in both fiat and virtual assets.

### **Training**

Our team can provide training on national and international regulatory frameworks, and current themes involving virtual assets. Training can be provided for those experienced in virtual assets or for those requiring an introduction to the digital eco-system.

### **Remediation and monitoring**

We identify applicable regulatory requirements, guidance and best practice enabling us to assist with effective monitoring and reporting. We can also assist with the implementation of recommendations.

Andy Carpenter  
Senior Consultant – eDiscovery and Digital Forensics  
Jersey



We bring together our expertise in regulatory requirements and expectations, practical implementation, commercial understanding and lean thinking, in order to provide tailored and effective solutions for your business.



## Contact us

### Jersey



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# Ogier | To the point.

Ogier is a professional services firm with the knowledge and expertise to handle the most demanding and complex transactions and provide expert, efficient and cost-effective services to all our clients.

## We have three divisions:

**Legal:** Practical advice on BVI, Cayman, Guernsey, Irish, Jersey and Luxembourg law.

**Corporate and Fiduciary:** Corporate administration services with a strong reputation in governance and regulatory compliance.

**Consulting:** Independent guidance on sustainable investing, regulatory compliance and tech.

### Core legal services

- Banking and Finance
- Corporate
- Dispute Resolution
- Investment Funds
- Private Wealth
- Regulatory
- Tax

### Core corporate and fiduciary services

- Corporate Administration
- Debt Capital Markets
- Funds
- Investor Services
- Private Wealth
- Real Estate

### Core sector services

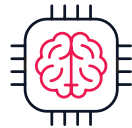
- Aviation and Marine
- Family Office
- Private Equity
- Real Estate
- Restructuring and Insolvency
- Sustainable Investing and ESG
- Technology and Web3

1,100  
Employees

110 Partners  
40 Directors

## Investment in technology

Our continued investment in our people and technology is transforming the delivery of professional services to our global client network, from live client portals to digital contracts, digital collaboration areas and document compilation.



## Sustainability

As an international firm, we support efforts to protect global and local ecosystems. We are continuously and actively reducing our global carbon emissions and environmental impact. We are embedding sustainability at every level.



## Corporate Social Responsibility

We're committed to being a good corporate citizen and supporting causes that empower people and enable our communities to thrive. We achieve this through community partnerships, pro bono work and volunteering.



## Innovation

Whether we're pioneering new ways to service clients or fostering a culture of continuous improvement, innovation is at the heart of everything we do. We are committed to providing a market-leading service that empowers clients.



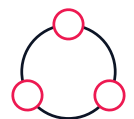
## Client Centric

We understand what our clients need to succeed, and do everything to ensure they meet their goals as simply and effectively as possible.



## Diversity, Equity and Inclusion

We believe in putting people first. As a global business we recognise diversity, equity and inclusion can be complex, challenging and nuanced. So we're meeting it with courage, drive and openness.



**Best Offshore Law Firm**  
WealthBriefing European Awards 2023



**Law Firm of the Year**  
- Caribbean, Guernsey and Jersey Citywealth  
IFC Awards 2023



**Offshore Firm of the Year**  
HFM Asian Services Awards 2023



**Offshore Firm of the Year**  
The Lawyer European Awards 2023

**Legal  
Corporate and Fiduciary  
Consulting**

Beijing  
British Virgin Islands  
Cayman Islands  
Dubai  
Hong Kong  
Guernsey  
Ireland  
Jersey  
London  
Luxembourg  
Shanghai  
Singapore  
Tokyo

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Our network of locations also includes Beijing, Dubai, Hong Kong, London, Shanghai, Singapore and Tokyo. Regulatory information can be found at [ogier.com](http://ogier.com).