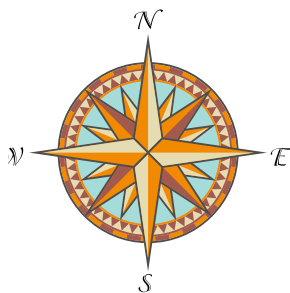


# Cross-Border Solutions



**GLOBAL**  
SALES  
COMPLIANCE<sup>®</sup>

## Rationale

Increasingly Alternative Investment Fund Managers (AIFMs), Asset Managers and Global Financial Institutions are expanding their product and service offering overseas to achieve significant Assets/Committed Capital growth rates. Fundraising in one's home jurisdiction alone limits the potential for significant business growth. Additionally, investment managers realise that investment performance alone cannot achieve significant business growth.

With increasing investor demand from emerging countries whose Sovereign Wealth Funds, Pension funds and Institutional Investor segments demand a range of diverse investment options from overseas managers, combined with the increasing trend for Private Banking (Wealth Management) access to clients in regions not previously accessed (i.e., Asia), clients need experienced "Cross-Border Solutions" expertise to build and/or refine its global marketing, compliance infrastructure and global distribution framework.



## Target Clients

- ▶ **Alternative Investment Fund Managers (AIFMs)** with an existing network of global affiliates or proposed expansion overseas
- ▶ **Asset Managers** with an existing network of global affiliates or proposed expansion overseas
- ▶ **Global Financial Institutions** requiring cross-border compliance, risk and regulatory platform build-out and/or refinement
- ▶ **Private Banks (Wealth Management)** expanding overseas into new regions (i.e., Asia, Europe) requiring cross-border banking compliance, risk and regulatory platform



## Who We Are

Global Sales Compliance Ltd. is the Financial Service industry's expert on cross-border marketing compliance for financial products & services globally. To expand our marketing compliance offering, we are offering clients "Cross-Border Solutions" as a value-added service to supplement our expertise in cross-border marketing compliance solutions.

## Services

"Cross-Border Solutions" advisory service is provided under the following assumptions:

- ▶ **Private Placement** to exempt investors (Professional Clients, Institutions, etc.)
- ▶ **Compliance** with EU Directives AIFMD, NPPR & MiFID-II
- ▶ **Marketing of Alternative Investment Funds** (AIFs, private funds), UCITS & Segregated Managed Accounts (SMAs)
- ▶ **No Retail Client distribution**



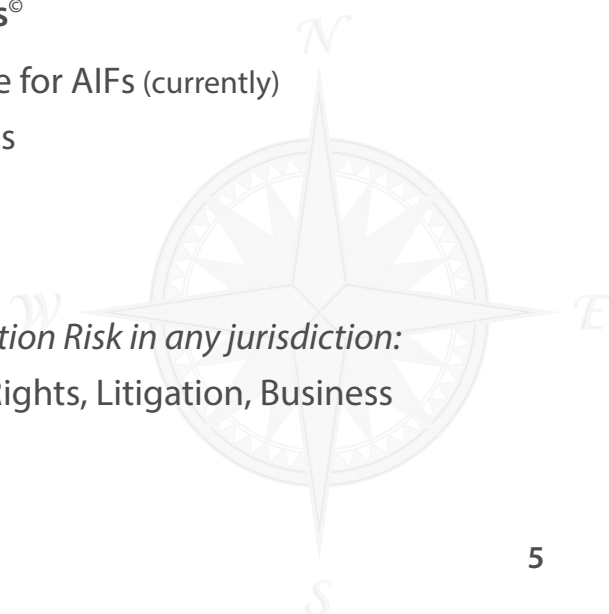
## Building Blocks

### 1 DISTRIBUTION PLAN

- ▶ **Strategic Marketing & Distribution Plan:** Customised to fit your business model, product & service offering. Compliant with local marketing regulations.
- ▶ **Direct Sales Strategic Plan:** Institutional & Exempt Investors (Professional Clients)
- ▶ **Wholesale Distribution Strategic Plan:** Third Party Distributors, Referral Agents, Consultants, Advisors

### 2 MARKETING COMPLIANCE PLATFORM

- ▶ **GSC bespoke Marketing Compliance service**
  - Customised GSC Sales Road Maps<sup>®</sup>
  - Customised GSC Summary Country Matrix<sup>®</sup>: compliance records
  - Sales Road Map E-MANUAL<sup>®</sup>
  - Bespoke Legal Advice
  - Private Placement Fund Registrations
  - Licensing Registrations & Exemptions
  - Sales Team Training
- ▶ **Sales Road Maps Online<sup>®</sup> Sales Road Maps<sup>®</sup>**
  - Online SRMO Sales Road Maps<sup>®</sup> available for AIFs (currently)
  - 61 SRMO Sales Road Maps<sup>®</sup>: 55 countries
  - UCITs module under planning
  - SMA module under planning
- ▶ **“Risk Gauge”:** *Coaching on 5-factor Distribution Risk in any jurisdiction:* Regulatory, Sanctions, Investor Rescission Rights, Litigation, Business Franchise & Reputation Risks



## Building Blocks

### 3 DISTRIBUTION OPERATIONS PLATFORM

- ▶ **Governance, risk control & regulatory reporting framework based on Distribution Plan**
  - Client onboarding frameworks (KYC)
  - RFP management processes
  - Fund data reporting: third party vendors
  - MiFID II client and third-party reporting (data hubs)
- ▶ **CRM database, monitoring and control functions**
  - Sales reporting, internal and external
  - Training and competence (CPD) requirements
- ▶ **Compliance Policies**
  - Third Party Distributors (due diligence)
  - Wholesale Distributors (Consultants & Advisors)
- ▶ **Distribution Agreement Management Procedures (Funds)**
  - Terms of business, rebates, special share classes
- ▶ **Segregated Managed Accounts Agreement Procedures**



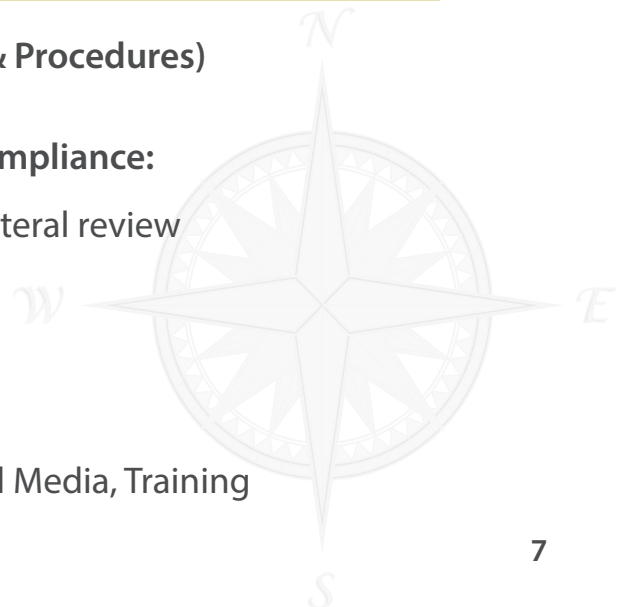
## Building Blocks

### 4 REGULATORY & COMPLIANCE INFRASTRUCTURE

- ▶ Cross-Border Banking regulatory frameworks
- ▶ Governance, Policies & Compliance Controls
- ▶ Investment Advisory Compliance framework (Suitability)
- ▶ Compliance Infrastructure build-out
- ▶ **Financial Crime Advisory:**
  - Anti-Money Laundering
  - KYC
  - Sanctions
- ▶ Conflicts Policies & program development
- ▶ **Monitoring:** Local Regulations Compliance
- ▶ Professional Ethics & Conduct Advisory
- ▶ **Centres of Excellence (COEs):** Compliance operations and cost-efficiency analysis
- ▶ Regulatory inspections preparedness & exam management
- ▶ Coaching and mentoring Compliance professionals

### 5 SPECIALIST ADVISORY

- ▶ US SEC Regulatory Compliance (Policies & Procedures)
- ▶ US SEC Registered Investment Advisor compliance:
  - Brochures, Fact Sheet & Marketing Collateral review
  - Form ADV
  - Private Fund Materials
  - RFP responses
- ▶ **General US SEC Advisory:** Websites, Social Media, Training





## Expert Consultant Panel



### **Cathy Brand**

*Expertise: Distribution  
Plan & Marketing  
Compliance Platform*

Cathy is a leading industry expert in

cross-border marketing compliance with over 20 years of experience specifically dedicated to cross-border financial product & services marketing regulations in 70+ jurisdictions worldwide. Cathy's diverse 30+-year career includes experience at Global Financial Institutions Citigroup, UBS, Zurich Insurance, a US Family Office and key leadership roles as CEO of Global Sales Compliance Ltd.® and Sales Road Maps Online Ltd.®.

Cathy realized the value of building a global marketing compliance platform at Citigroup Alternative Investments, which was key to growth of CAI's third-party AIF distribution business from start-up mode to facilitating Citi fund and services marketing globally, resulting in \$billions in Sales Revenue. During Cathy's leadership of the industry's unique cross-border marketing compliance consultancy for nearly 2 decades, GSC/ SRMO has provided cross-border regulatory solutions to support Client financial product and services marketing cross-border (overseas), resulting in significant growth in Client Assets under Management (AUMs).

Cathy holds an MBA in International Finance from the George Washington University (Washington, D.C. USA) and a BBA in International Business from the University of Georgia (USA).



### **Felicity Youl**

*Expertise: Regulatory  
& Compliance  
Infrastructure*

Felicity Youl is a leading industry expert in

compliance, risk and legal matters impacting financial services in the Asia Pacific region, founded on 30 years' experience at global financial institutions and international law firms. In Felicity's leadership role as Chief Compliance Officer for Citigroup and BNP Paribas, she built a large-scale Compliance and Operational Risk framework and teams across the Asia Pacific region, supporting all aspects of Compliance for all business lines. Prior to this Felicity was a lawyer for Lovells in London and Hong Kong, and Clayton Utz in Sydney. Felicity started her career as an Associate to Burchett J, Federal Court of Australia and is admitted to practice as solicitor in Australia (NSW), Hong Kong and England & Wales (current practising certificate).

Felicity holds Economics and Law degrees from Sydney University, along with Graduate Diplomas in Legal Practice (University of Technology, Sydney) and Applied Finance and Investment (Securities Institute of Australia). In 2020 Felicity was awarded a Certificate in International Corporate Governance from INSEAD, the Company Director's Course Certificate from the Australian Institute of Company Directors, and a Certificate in the Leading Sustainable Corporations Programme from Said Business School, University of Oxford.



## Expert Consultant Panel



### **Caroline Maurice**

*Expertise: Regulatory & Compliance Infrastructure (GRC)*

Caroline is a Principal Consultant for Global

Sales Compliance Ltd®. Caroline has over 30 years compliance experience gained at leading global investment banks including Goldman Sachs and UBS. At Goldman Sachs International she created the global cross-divisional Rules of the Road programme, comprising guidance and training material for the revenue producing divisions with respect to 30 overseas jurisdictions. Her experience encompasses a wide spectrum of disciplines, including risk management and conduct risk, where she initiated the conduct risk programme for the company. Caroline is a Fellow of the Association of Chartered Certified Accountants and Fellow of the Chartered Governance Institute. She recently completed a Certificate in ESG from the International Association for Sustainable Economy and closely follows ESG European and UK regulatory developments.



### **Tony van Gool**

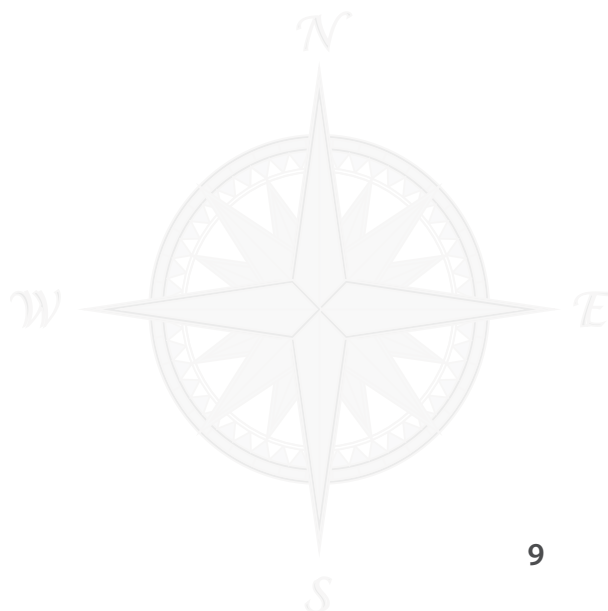
*Expertise: Distribution Operations Platform*

Tony van Gool has over 25 years' experience in business development

and distribution management with an evidenced history of results in wholesale asset management distribution across multi-channel intermediated target markets in the UK and Europe.

Tony has developed and implemented client and sales governance and risk-control frameworks and analytics across pan-European sales teams, enabling distribution across multi-disciplinary channels. Tony headed up UK distribution for Artemis for 17 years, before focusing in the final 2 years on pan-European business management. Previously Tony worked at Invesco and Fidelity.

Tony earned a PhD in Materials Science (Electrochemistry) and a BSc in Metallurgy & Materials Science from University of Nottingham.



## Expert Consultant Panel



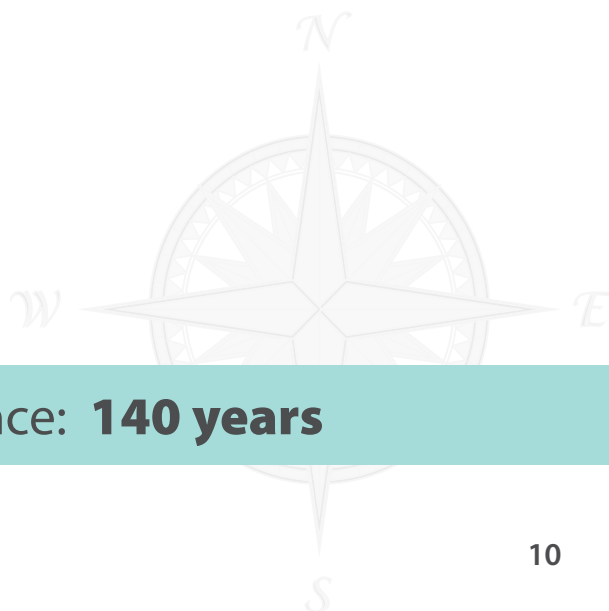
### **Amy S. Yuter**

*Expertise: Specialist  
Advisory, US SEC  
regulatory compliance*

Amy is a leading  
industry expert in

US Securities Law Compliance with over 25 years' experience. Amy served as Chief Compliance Officer of BrightSphere Investment Group with responsibility for oversight of investment advisers, investment companies, transfer agents, broker-dealers, and private funds. Prior to joining the BrightSphere organization in 1995, Amy was a Securities Compliance Examiner with the U.S. Securities and Exchange Commission (SEC).

Amy received her MBA and BBA from Temple University and earned a Certification in Public and Administrative Law from The Philadelphia Institute. Amy previously served as a Director of the National Society of Compliance Professionals, has participated as a member of various committees at the Investment Adviser Association and the Investment Company Institute and founded the Philadelphia Compliance Roundtable and the annual Investment Management Compliance Testing Survey.



Total Expert Panel Experience: **140 years**