

# Investment Firms

## MiFID Services and Solutions

We design and deliver business and compliance solutions to make trade happen.

## Why us

We are specialist accountants with a niche focus on three markets; **Financial Services, International Trade and Government**. Our focus on these markets, combined with our multidisciplinary and diverse team is what makes us unique.

The implementation of MiFID II into Irish law has led many investment firms to consider how they can best demonstrate the manner in which they satisfy their **regulatory requirements** in a **cost-efficient** and **compliant** manner.

**At EisnerAmper, we design and deliver business and compliance solutions to make your regulated business model better.**

## Specialist services

### ACCOUNTING AND SUPPORT SERVICES

- Provision of flexible secondment resources to meet ad hoc requirements
- Preparation of management accounts and boardpacks
- Preparation of statutory financial statements and audit liaison services
- VAT, corporation tax and payroll compliance services
- Preparation of management accounts
- Preparation and filing of regulatory returns

### COMPLIANCE AND RISK MANAGEMENT

- Fulfilling Pre-Approval Controlled Function (“PCF”) roles (PCF 11, 12, 13, 14, 15 and 39)
- Supporting PCF role-holders to meet their objectives
- Outsourcing of activities to fulfil:
  - Compliance function
  - Finance function
  - Internal Audit function
  - Risk Management function

### BOARD SUPPORT AND TRAINING

- Preparing compliance briefings for discussion with the board covering new / pending legislation, marketplace intelligence, regulatory sanctions and impacts thereof
- Supporting the board in responding to and implementing any changes required relating to evolving needs
- Supporting board members through regulatory engagements e.g. PRISM interview preparation
- Providing support structures for boards to enable them to demonstrate their compliance with regulatory requirements and expectations

### AUDIT

- Providing senior management and the Audit Committee with recommendations to improve the internal control, risk management and governance environment
- Outsourcing of the Internal Audit Function
- PCF Role Holder for Head of Internal Audit



## Global capability

Through EisnerAmper Global, we leverage the **experience and expertise of 200 partners** and **1,700 professionals** across **Ireland, Singapore, Cayman, London and the US.**

Membership of Allinial Global and Premier International Associates provides our clients with access to accountants in virtually every country worldwide.



**200**  
partners

**1,700**  
professionals

## Case studies

### Compliance Outsourcing

Irish subsidiaries of a German insurance company with €4.5 bn AUM invested in UCITS and AIF looking to outsource its compliance function.

- Outsourcing of all compliance function activities for the MiFID firm and Asset Manager.
- PCF 39 Head of Compliance role holder.
- Preparation of risk based annual compliance plan for board approval.
- Carrying out monthly monitoring activities.
- Reviewing and updating policies for new legislation and practices.
- Board reporting and attendance at board meetings on compliance matters.

### Global Wealth Manager

Irish subsidiary of a global wealth manager looking for PCF Role Holder and support services.

- Provision of PCF 12 Head of Compliance role to a leading global wealth management firm.
- Compliance monitoring programme services and management of regulatory inspections.
- Developing policies and procedures, annual compliance plan and training programmes.
- Reporting to the board on compliance matters.
- Engaging directly with the regulator on all compliance matters.

### US Based Proprietary Trading Firm

Irish subsidiary of US parent that trades on multiple exchanges and trading venues. To help the board protect the assets, reputation and sustainability of the organisation, the company outsourced its internal audit function.

- Assisting management with developing a plan for the documentation of all relevant internal controls and policies and procedures including Standard Operating Procedures (“SOPs”).
- Presenting quarterly Internal Audit Reports to the board on the system of internal control.
- Providing senior management with recommendations to improve the internal control, risk management and governance environment.

### Board Support & Training

Regulated entities seeking assistance in board training and responding to Central Bank of Ireland queries.

- Facilitating board effectiveness and engagement via quarterly workshops.
- Presenting to the board and facilitating a discussion on the requirements of being a director of a regulated entity.
- Providing board training on the regulatory reporting process.
- Preparing an annual board training plan.



## Key contacts

Your **specialist team** of regulatory and industry experienced professionals providing business and compliance solutions.

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