

management team



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your regulatory consultants

We are lawyers, regulatory consultants, business advisors, corporate and funds services experts.

We bridge the gap between legal advice and its implementation.

We adopt an integrated approach to solving your business issues.

We are Arendt - the leading legal and business services firm in Luxembourg.

Responding to the need of clients for a practical, yet legally effective approach to the regulatory issues they face, our consulting practice was established in 2013 within Arendt Regulatory & Consulting. The value we create stems from the smart combination of talents from different backgrounds, culture and competences. Working closely with the lawyers of Arendt creates a unique service offering in Luxembourg. Our services range from the classic regulatory consulting, where we work with funds, their asset managers and asset servicers on the practical implementation of rules and regulations, to topics such as risk management, fund distribution, fund governance and compliance of Luxembourg regulated entities.

our approach

We are a young and enthusiastic firm. Our approach builds on trust and on our commitment to deliver pragmatic and value-added services. We believe that the extent and depth of the regulatory challenges and their complex implementation call for true teamwork with our clients, enabling us to define solutions together which are tailored to their particular needs and environments.

Our service offering consists of bespoke advice and support which allow our clients to meet regulatory requirements and make their strategic business decisions.

It also encompasses the provision of innovative tools allowing for the automation of tasks and processes in an outsourced or insourced mode.





service range

our services focus on four main topics:


Compliance & Risk management

We help regulated entities to adopt consolidated and harmonised sets of compliance and risk management controls so that they can conform to the rules, standards and specifications applicable to their business and products. Our services include:

- AML consulting and support
- Compliance support (including on-site)
- CAROL – our proprietary, web-based compliance monitoring tool

- Risk management consulting and support services (i.e. Policies, RMP, Reporting, etc.), incl. PRIIPS KID support

- Investment compliance

Business & Operations

We help asset managers and asset servicers in the design of their set-up and operations and in meeting their regulatory requirements:

- Support to strategy definition, design and implementation, including their target operating model
- Seeking of regulatory authorisation for regulated entities and/or activities
- Regulatory and tax reporting services and advice: FATCA, CRS, AIFM Annex IV, EMIR

- Project management assistance
- Incident management services (inspections, breaches, errors...)

Governance

We help our clients in setting up the right governance model between stakeholders and propose tools helping to assess that governance:

- Governance Radar – to facilitate an objective evaluation of the level of directors' information (Board pack assessment)
- Governance consulting services – governing bodies composition and functioning, design of decision table & responsibilities
- Board assessment – made easier and quicker with Assessyourboard.com



- Governance training

Fund distribution & Cross-border activities

We help fund managers seeking to offer their services or distribute their products on a cross-border basis and advise them with regards to admissible marketing of their funds. Our services include:

- UCITS and AIF cross-border notification and maintenance services (via passport or private placement)
- Exercise of management passports
- Distribution advisory
- Distribution risk monitoring – consulting and compliance