



## COMPLIANCE AND ANTI MONEY LAUNDERING SERVICES

Gallium has extensive experience in the provision of fund compliance and anti money laundering services to both on-shore and off-shore fund vehicles. We specialise in providing such services to the financial services sector, ranging from start-ups to established funds and we can accommodate a variety of fund structures, asset classes and investor categories. Gallium works with clients that have specialist asset management knowledge and experience, but lack the necessary experience or the resources to manage the compliance and anti money laundering requirements of their funds/businesses.

### Anti-Money Laundering

Gallium assists clients to adhere to the Money Laundering Regulations 2007 by ensuring that it obtains verification of the identity and address of any potential investor and the source of any sums invested prior to accepting new investments. In that respect, any details or information comprising personal data submitted to Gallium is processed on databases at the registered offices of the client or Gallium, in accordance with the provisions of the Data Protection Act 1998. Gallium Fund Solutions Limited is listed on the Commissioner's Office's register.

### Compliance

Gallium also provides a comprehensive compliance support service covering all aspects of the compliance obligations in respect of our clients. This is particularly relevant to our clients requiring Gallium's hosting and incubation services. (Details of these services can be found in the Brochure headed "Other Services". Gallium's services include:

- Assistance with the completion of the compliance manual
- Assistance with the risk assessment evaluation

- Assistance with the preparation of the ICAAP
- Assistance with the preparation of the disaster recovery plan
- Development of control systems to ensure that agreed procedures are adhered to
- Updating compliance policies and procedures

Gallium aims to understand the underlying business of our clients and to ensure that the regulatory requirements specific to that business are adhered to. Our extensive practical experience of working in the regulated sector means that we can identify with the commercial pressures faced by our clients and help them to find the appropriate balance with the regulatory requirements relevant to their business.

### Why Gallium?

Gallium's service enables our clients to ensure that they adhere to the regulations and the rules particular to their schemes and their fund agreements.

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**Gallium provides a wide variety of professional services to enable clients to launch their investment schemes efficiently.**

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### Next Step

If you are interested in the compliance and anti money laundering services then please contact us to obtain further information and to arrange a meeting to discuss your requirements in more detail.



Gallium Fund Solutions Limited is authorised and regulated by the Financial Conduct Authority  
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