

Background Asia Group

Operational Risk Solutions for Financial Institutions in Asia



-
- . Compliance Consulting
 - . Fraud Investigation
 - . Commercial Intelligence
 - . Security Consulting

To the Financial Industry in Asia
and Australia

Compliance

ComplianceAsia assists financial institutions, such as asset managers, hedge funds, banks, investment banks and wealth managers address regulatory compliance issues drawing upon our substantial practical experience in the industry in the Asia Pacific region. We typically provide a fully outsourced function for smaller firms and supplement the resources of larger firms for specific projects.

Our work includes the production of compliance and trading manuals, assistance with licensing, conducting training and mock inspections, providing temporary staff, routine monitoring and post inspection or audit support.



Fraud Investigation and Commercial Intelligence

Fraud is a major cause of business failure. Background Asia provides an independent and experienced team to investigate fraud, employee and corporate malfeasance issues in the financial industry. We also advise on fraud prevention, integrity management and anti corruption programs.

Background Asia assists firms with pre and post transactional intelligence to understand clients, potential clients and joint venture partners or to aid decision making when a deal goes wrong.



Security Consulting

Financial institutions and their staff are sometimes faced with threats to their physical security. Background Asia Risk Solutions provides security consulting, assessments, advice, crisis management and response for firms and executives operating in Asia Pacific, the Gulf and the Middle East.

Our personnel have the experience and resources to provide close protection, prepare threat assessments and address extortion attempts, civil disturbance, organized crime and terror issues. We work discreetly to respond to a security crisis or to enhance your security posture.



Contact Us

Singapore

| | |
|-----------------|--|
| Philippa Allen | philippa.allen@complianceasia.com |
| Alex Duperouzel | alex@backgroundasia.com |
| Bryan Toki | bryan@backgroundasia.com |
| Ian Gordon | ian@backgroundasia.com |
| Abigail Cheadle | abigail.cheadle@complianceasia.com abigail@backgroundasia.com |

Hong Kong

| | |
|-------------|--|
| Nick Lemmon | nick.lemmon@complianceasia.com nick@backgroundasia.com |
|-------------|--|

Shanghai

| | |
|-------------|--|
| Mike Wadley | mike@backgroundasia.com |
|-------------|--|

Sydney

| | |
|-----------------|--|
| Michelle Knight | michelle.knight@complianceasia.com michelle@backgroundasia.com |
|-----------------|--|

www.complianceasia.com

www.backgroundasia.com

Regional Headquarters

6 Battery Road #24-02

Singapore 049909

Fax: +65 6221 2413

| | | |
|-----------------------|------------------------|---|
| ComplianceAsia | Background Asia | Background Asia Risk Solutions |
| Tel: +65 6533 883 | Tel: +65 6535 8435 | Tel: +65 6534 0866 |