Regulatory Compliance & Internal Control Services

Navigate Hong Kong's Evolving Regulation | Compliance & Internal Control Services

Positioning: One-stop regulatory compliance solutions to help institutions navigate evolving regulatory requirements under the Securities and Futures Ordinance (SFO), anti-money laundering rules and virtual asset regimes in Hong Kong.

Service Overview

Hong Kong's regulatory landscape continues to evolve, with the Securities and Futures Commission (SFC) issuing constant updates to rules, codes and circulars. Licensed corporations, fund managers, virtual asset operators and fintech firms are faced with heightened requirements for compliance frameworks, internal controls and risk management.

Moore Hong Kong has established a dedicated compliance advisory platform. Leveraging in-depth local regulatory expertise, cross-border capabilities and practical implementation experience, we assist financial institutions across the entire business lifecycle – from licensing and daily operations to risk mitigation and regulatory inspections – to resolve compliance challenges and drive sustainable development.

Twelve Core Service Modules

01

SFC Licensing & Approvals

- New SFC licence applications (Types 1–9) and approvals for expanded business lines.
- Change of substantial shareholders, responsible officers and business plans.
- Regulatory health checks pre- and post-licensing.

02

Ongoing Compliance Advisory

- Review and enhancement of compliance manuals, policies and procedures.
- Independent compliance reviews and mock inspections to prepare for SFC on-site visits.
- Compliance support for new products, cross-border marketing and outsourcing arrangements.

03

Fund Manager Code of Conduct (FMCC) & Fund Governance Review

- Gap analysis and system optimisation against FMCC requirements.
- Special inspections on liquidity risk management, asset valuation, asset custody, etc.
- Assess governance structure, risk frameworks and record-keeping practices.

04

AML/CFT Framework Design & Testing

- Develop tailored AML/CFT policies aligned with AMLO and SFC rules.
- Independent AML gap analysis, sample file reviews and STR process assessment.
- Deliver targeted AML/CFT and sanctions risk training for all staff levels.

05

Virtual Asset & Fintech Compliance

- Provide compliance advisory for virtual asset trading, advisory and asset management services.
- Support on licensing/readiness for virtual asset businesses.
- Assist with the implementation of new regulatory measures for virtual assets.

06

Cybersecurity & Technology Risk Compliance

- Review and enhance cybersecurity, data protection and technology risk frameworks.
- Assess IT governance, incident response plans, penetration testing and cloud service risks.
- Provide recommendations to strengthen controls over AI applications and digital channels.

07

Outsourced & Ongoing Compliance Function

- Outsourced MLRO / Compliance Officer and Manager-in-Charge (MIC) support.
- Annual compliance monitoring programme and periodic control testing.
- Regulatory change tracking and horizon-scanning updates.
- Continuing professional training (CPT) and staff compliance training.

08

Regulatory Reporting & Assurance

- Financial Resources Rules (FRR) computation and review, and monthly/quarterly returns.
- Business and Risk Management Questionnaire (BRMQ) preparation support.
- Statutory audit of licensed corporations and client assets (client money) compliance.
- ISAE 3402 / SOC 1 internal control reports for asset managers and service providers.

09

Fund Formation & Structuring

- Open-ended Fund Company (OFC) and Limited Partnership Fund (LPF) setup.
- Fund administration, NAV and valuation outsourcing.
- Change-in-control and substantial shareholder approval applications with the SFC.

10

Forensic, Investigation & Remediation

- Forensic accounting and fraud investigation.
- AML transaction-monitoring tuning, look-back reviews and KYC/CDD remediation.
- Post-disciplinary remediation and Independent Reviewer / Skilled Person engagements.

11

Governance, ESG & Operational Resilience

- Climate-related risk disclosure aligned with TCFD and HKMA/SFC expectations.
- Operational resilience, business continuity planning and third-party / outsourcing risk.
- Personal data (PDPO) and cross-border data (e.g. PIPL) compliance.
- Corporate governance, company secretarial and listing-rule compliance support.

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Adjacent Licensing

- Money Service Operator (MSO), Trust or Company Service Provider (TCSP), Stored Value Facility (SVF) and insurance intermediary licensing.

Why Moore Hong Kong

Deep internal control and ESG background

- Strong track record in internal control, risk management and ESG advisory for listed and pre-IPO clients in Hong Kong and Mainland China.
- Ability to integrate regulatory compliance with broader governance, risk and sustainability objectives.

Practical, inspection-ready advice

- Methodology designed around SFC inspections, common deficiencies and latest regulatory circulars, so that recommendations are practical and implementable.
- Support from policy design to implementation, training and periodic review.

Cross-border and bilingual support

- Bilingual (English/Chinese) team experienced in supporting Hong Kong-based and Mainland-related financial institutions, fund managers and fintech/virtual asset operators.
- Seamless coordination across Hong Kong and PRC regulatory considerations.

How We Can Help

Whether you are setting up a new licensed corporation, strengthening fund and AML controls, or preparing to enter Hong Kong's virtual asset market, Moore Hong Kong can act as your trusted compliance and internal control partner throughout your business journey.

We help you identify risks, remediate gaps, establish standardised compliance systems and prepare for regulatory inspections, enabling you to expand your business steadily amid a dynamic regulatory environment.

Should you wish to know more about our Regulatory Compliance & Internal Control Services, please WhatsApp +852 6938 9310 or contact our Compliance & Internal Control Advisory Team.

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