

3Points Compliance Consulting Limited



3POINTS COMPLIANCE

Company profile

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INTRODUCTION

Meet 3Points Compliance – We specialize in tailored compliance and RegTech solutions, backed by industry veterans in governance, risk, and technology.

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WHY YOU SHOULD PARTNER WITH US

We firmly uphold the belief that trust is cultivated through three fundamental pillars in every successful client relationship: authenticity, logic and empathy.

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SERVICES

We deliver tailored compliance solutions that navigate evolving regulations, mitigate risks, and uphold ethical standards through proactive insights, crisis-ready strategies, and unwavering integrity.

04

OUR CLIENTELE

Trusted by forward-thinking organizations who rely on our expertise to turn regulatory challenges into strategic advantages. 3Points services a wide range of clients since its inception in January 2024

05

THE MANAGEMENT TEAM

Discover the seasoned leaders behind our success, whose expertise in compliance, ethical governance, and regulatory innovation drives our commitment to safeguarding your business with integrity and foresight.



Retainer Services



Special Engagements

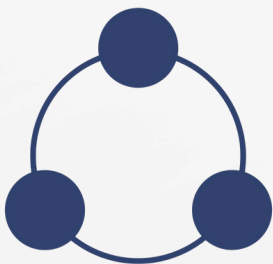


Regulatory Technology

“We have been impressed with their deep industry knowledge in private equity funds and real estate related investments, responsiveness, and ability to provide customized solutions to address our specific needs. The (management) team’s prior experience in major institutions have been invaluable in helping us identify specific areas for improvement.”

Private equity fund client

INTRODUCTION



3POINTS COMPLIANCE

3Points Compliance Consulting Limited is a professional services firm headquartered in Hong Kong, specializing in the provision of tailored regulatory compliance and regulatory technology solutions to the asset management and financial industry in Asia Pacific.

Our seasoned management team are industry veterans in the compliance, corporate governance and technology expertise in AI and cybersecurity. Our organization provides an on-demand solution that bolsters our clients’ agility and cost efficiency, enabling them to concentrate on their core competencies.

WHY YOU SHOULD PARTNER WITH US



3POINTS COMPLIANCE

AGILITY



PARTNERSHIP



"One of the standout qualities of 3Points is their ability to deliver customized, pragmatic advice, rather than taking a one-size-fits-all approach. The team takes the time to carefully understand our unique situation and requirements, and then develop tailored solutions that address our specific needs."

Private equity fund client

EXPERIENCE & EXPERTISE



Our comprehensive suite of services is designed to provide you with the agility required to optimize cost efficiency and navigate the dynamic market landscape. We aim to facilitate the exchange of industry trends and best practices, fostering a cross-pollination of business intelligence.

Bespoke delivery to your satisfaction - Our dedication to ethical conduct and professional standards ensures that our clients can rely on us to act in their best interests at all times.

FRESH, OBJECTIVE POINT OF VIEW



We stay abreast of the latest regulatory and technological developments, ensuring that our clients receive informed and up-to-date guidance.

We approach each engagement without preconceived notions or biases, which allow us to operate independently so you can discharge your responsibilities effectively. During times of crisis management, we are committed to demonstrating a proof of honest endeavor.

SERVICES



3POINTS COMPLIANCE

OUTSOURCED COMPLIANCE SUPPORT

- Support licensed corporations with compliance to SFC (HK) and MAS (Singapore) requirements
- Develop compliance program for new start-up funds with customised policies and control mechanisms.
- Support regulatory filings
- Advise on compliance manual and policies
- Regulatory change management

CLIENT SUITABILITY

- Assessment of client suitability framework
- Support assessment of investors as individual or corporate professional investors

CORPORATE TRAININGS

- Anti-Money Laundering
- Market Misconducts
- Conflicts of Interests
- AI Governance
- Cybersecurity
- HKEX's Corporate Governance Code

ANTI-MONEY LAUNDERING (AML)

- Clients' background check and sanctions list screening
- Offering natural persons to act as AML Compliance Officer, Money Laundering Reporting Officer (MLRO) and Deputy MLRO (Cayman only)
- Advice on suspicious activity reporting
- Advice and training on AML best practice and compliance
- Perform independent review of AML program as required by SFC, MAS, and Cayman Island

SPECIAL ENGAGEMENTS

- SFC (mock) inspection support
- Regulatory remediation
- License application support (SFC)

REGULATORY TECHNOLOGY

- Compliance platform development and process automation with AI
- AI governance framework
- AI strategy & tool development
- Cybersecurity review

COMMUNITY

- Board governance
- Governance training for NGOs

ONGOING COMPLIANCE SUPPORT



3POINTS COMPLIANCE

MONTHLY RETAINER PLAN:

We are dedicated to empowering licensed firms and individuals to seamlessly fulfill their SFC licensing obligations with confidence and ease. Our ongoing support services are meticulously designed to deliver high-value, tailored solutions that address the unique compliance challenges faced by each client.

- Expert Consultation: Enjoy access to our seasoned compliance consultants via telephone and email, ensuring you receive timely, insightful guidance whenever you need it.
- Regulator Correspondence Management: Rely on us to expertly handle all communications and enquiries from regulators, ensuring prompt and professional responses.
- Financial and Risk Management Reviews: Benefit from expert reviews of your Financial Resources Return (FRR) and Business & Risk Management Questionnaire (BRMQ) to ensure accuracy and regulatory alignment.
- Customised compliance calendar, essential forms, customizable policies, comprehensive checklists, and more—your all-in-one resource hub.
- Quarterly Compliance Conference Calls: Participate in our interactive quarterly calls, where we discuss emerging regulatory trends, share best practices, and address your pressing compliance questions.
- AML/KYC Name Search Services: safeguarding your firm against financial crime risks.
- Stay ahead of the curve with curated updates on regulatory changes and timely reminders for key compliance deadlines and industry events.
- Policy and Procedure Reviews: Enhance your compliance framework with our expert evaluation and refinement of your internal policies and procedures.
- Targeted Compliance Training: Equip your team with practical, engaging training sessions designed to foster a culture of compliance and awareness.
- Ad Hoc Compliance Support: Access flexible, on-demand advice and assistance to address any unforeseen compliance challenges that arise.

REGULATOR INSPECTION SUPPORT



3POINTS COMPLIANCE

OBJECTIVE:

- provide insights on how to handle SFC's enquiries and request for information
- provide additional bandwidth and compliance expertise so EXS' management can focus on core business activities
- pre-empt and address any concerns before they may become the subject of SFC's scrutiny and criticism in the post-inspection report.

PRE-INSPECTION

- walk through' what to expect from the upcoming SFC inspection to review a list of questions expected to be asked by SFC and assess applicability based on SFC's key regulatory foci to review relevant written policy and procedure documentation (eg. Compliance manual, personal trade records, investment process/memo, marketing materials, FRR returns, business continuity plan, anti-money laundering assessments)
- to support preparation of the presentation deck for SFC inspection's opening meeting.
- to conduct mock interviews for the responsible officers and managers-in-charge, and discussions with staff members to understand the relevant business activities and workflows
- to test sampled transactions covering the key processes and controls to assess the operating effectiveness of the relevant internal control procedures

ON-SITE INSPECTION

- during the SFC's onsite inspection, to help manage communications with the SFC.
- to advise handling the SFC audit questionnaire, enquiries and requests, including those made for information and documents about specific transactions or clients, ensuring a comprehensive understanding of the inspection's landscape.
- to help understand regulatory concerns in SFC enquiries, managing the flow of information and addressing concerns proactively.

FINDINGS STAGE

- to help respond to SFC concerns as to areas of weakness identified (if any) during the inspection
- to proactively address potential regulatory breaches and non-compliance, where necessary providing feedback to the SFC on its interpretation of various codes such as the Code of Conduct for Persons Licensed by or Registered with the SFC ("SFC Code of Conduct"), the Fund Manager Code of Conduct ("FMCC"), and the Guideline on Anti-Money Laundering and Counter-Financing of Terrorism (For Licensed Corporations) ("AML Guideline").

CORPORATE TRAININGS



3POINTS COMPLIANCE

In-person events and webinars

[Please click here for our upcoming and past events.](#)

Online Course

ON-DEMAND TRAINING
WILL BE AVAILABLE FROM
Q3 2025

Corporate Training

Flexible corporate training tailored to your needs—offered face-to-face or remotely.

[Contact us:](#)
enquiry@3pointscompliance.com

WE OFFER [10+ Training Topics](#)



Regulatory Knowledge



Ethics & Conduct



AI Governance & Cybersecurity

Cybersecurity

Annual requirement: LCs should provide adequate cybersecurity awareness training to all internal system users on an annual basis.

[See more](#)

AI Governance

LCs need to equip its senior management with adequate training to be fit and proper to perform management oversight and ongoing monitoring of its deployment of AI learning models.

(SFC)

[See more](#)

Anti-Money Laundering

Annual requirement: LCs has responsibility to provide staff training annually to remind staff of their responsibilities, informed of new developments, and be adequately trained to implement its AML/CFT systems.

(SFC)



Certificate of attendance issued upon completion of the training.



3POINTS COMPLIANCE

OUR CLIENTELE

\$200+ Billion
Assets Under Advisement



SFC licensed corporations

Asset management

- Cayman island funds
- Alternatives funds
- Private equity funds
- Real estate & infrastructure funds

Wealth Management

- Family offices
- Trusts
- Insurance brokers
- Wealth managers

Designated non-financial
business & professions
(DNFBP)

- Trust and company service providers
- Accounting firms
- Law firms

Listed companies

MEET THE MANAGEMENT TEAM



3POINTS COMPLIANCE



TRINNIE SO

CPA

Managing Director,
Founder

Ms. Trinnie So brings over 20 years of experience leading the Compliance function for global investment managers in Asia, with a special focus on ethics, corporate governance and regulatory relations.

She has provided guidance on domestic and international regulations across a wide spectrum of asset classes, from public and private equities to alternatives and capital markets.

Trinnie is a frequent panel speaker at industry events, and is an advocate for promoting industry best practices.

DR. ANDY GREEN

BSc, PhD, MIEE.

Chief Technology Officer,
Founder

Dr. Andy Green began lecturing and researching Machine Learning and AI for Integrated Circuit Design in 1989.

Based in Hong Kong, he has 33 years of experience in providing high technology solutions to blue chip companies.

Dr. Green is a recognised expert in successfully implementing new technologies, having led several groundbreaking projects. He has advised multiple governments and international companies on technology developments.



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