PCA

PEAK COMPLIANCE ASSOCIATES

关于我们

Peak Compliance Associates Limited 是一家专注于亚洲金融服务合规咨询的公司。

- 监管牌照申请
- 持续合规咨询和服务
- 合规培训
- 合规项目管理

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PCA总部位于香港，为亚洲的金融机构（主要是在香港和新加坡开展业务的机构）提供各类合规相关服务，包括协助企业和个人的监管牌照申请，以及提供监管、合规和反金融犯罪相关的咨询服务。

PCA的客户主要是非银行金融机构，通常是准备申请或已获得香港证监会（SFC）和新加坡金融管理局（MAS）监管牌照的公司。

PCA曾为各种不同类型的金融机构提供定制合规咨询和合规支持服务，例如 对冲基金和私募基金管理人、第三方资产管理公司、财富管理机构、家族办公室、证券经纪商、投资顾问、企业融资公司、研究机构、数字金融平台运营商、私募股权公司、机构投资者、养老基金和金融科技公司等。

PCA的首席执行官（CEO）Alex　Esson在合规和咨询领域拥有10年以上的经验，曾为伦敦、香港和新加坡的金融机构提供服务。

“我们的使命是提供卓越的合规咨询服务，助力企业专注核心发展；同时致力打造吸引并留住顶尖人才的团队文化。”

Alex Esson
艾利克斯•埃森 创始人和首席执行官

关键统计数据

截至2026

合规咨询与服务覆盖客户

200+

管理合规项目

50+

牌照申请

250+

企业

500+

个人

客户类型包括：

银行
金融科技
财富管理
对冲基金
第三方资产管理
私募股权基金
家族办公室
资产管理
私募信贷基金
企业融资公司
投资顾问
数字金融平台运营商
研究机构
经纪商

专注为亚太地区客户提供以下领域的专业咨询服务：

- 牌照申请与管理
- 合规体系搭建
- 监管政策解读
- 金融犯罪防控

2023 2024 2025

Top Compliance Solutions Providers

Awarded by APAC CIO Outlook

牌照申请与管理

PCA为寻求在香港、新加坡及美国开展受监管活动的企业提供全方位的牌照申请支持服务。

PCA与全球监管机构保持密切合作，包括：香港证券及期货事务监察委员会（证监会，SFC）、香港金融管理局（HKMA）、海关、公司注册处及保险业监管局（IA）；新加坡金融管理局（MAS）；以及美国证券交易委员会（SEC）。

化繁为简，使命必达

PCA凭借其专业知识和团队的丰富经验，指导企业完成通常复杂且耗时的牌照申请流程。我们深知获取牌照是企业迈向成功的关键里程碑，因此我们的服务旨在确保以合规方式实现最快审批速度与最高通过率。

客户类型

PCA提供牌照申请服务的客户类型包括：

- 已持牌机构：当前持有香港或新加坡金融监管机构牌照，需新增、取消或修改牌照许可范围的公司
- 香港或新加坡现有受监管基金管理人，拟向美国投资者提供基金管理相关服务
- 计划将业务拓展至亚洲，并在香港或新加坡设立运营机构的国际金融服务集团
- 由香港或新加坡现有持牌公司分拆成立的新业务实体
- 首次申请机构：新成立的本地公司，需首次申请金融牌照
- 双区持牌机构：同时持有香港与新加坡金融监管机构牌照的公司
- 香港及新加坡基金管理人，拟向美国投资者提供基金管理服务

申请类型

PCA可为各类客户提供全方位牌照申请支持服务，包括但不限于：

- 首次牌照申请 - 为新成立的本地公司提供全流程申请服务
- 受规管业务增项 - 为香港/新加坡现有持牌机构新增业务许可
- 股东变更申请 - 协助完成持牌机构股东结构变更备案
- 牌照条件变更 - 调整现有牌照的经营范围或限制条款
- 牌照注销服务 - 指导机构完成合规退出流程
- 豁免活动申请 - 针对特定情形申请监管豁免资格

牌照申请服务

- 牌照类型分析
- 申请材料准备
- 牌照咨询支持
- 申请流程咨询
- 监管机构联络
- 供应商介绍

持续的合规咨询和支持

PCA通常以长期顾问形式受聘，为香港证监会（SFC）及新加坡金管局（MAS）持牌机构提供定制化的监管合规、反金融犯罪咨询与支持服务。

我们胜在专属定制，精准解决每位客户的需求。

PCA根据客户的具体需求定制化合规咨询和支持服务，服务范围涵盖应客户要求提供的临时性合规咨询，直至按月提供的持续性合规支持与合规监测服务。

合规咨询内容

PCA提供一系列合规内容的咨询，包括但不限于：

- 监管通知、备案与申请
- 合规政策与流程
- 强制性监管义务与要求
- 个人账户交易（PAD）
- 反洗钱（AML）
- 恐融资（CFT）
- 机构风险评估（IRA）
- 适当性与产品尽职调查
- 市场营销与客户获取
- 投资者识别
- 跨境活动
- 投资与交易
- 风险管理
- 业务外包
- 技术与网络安全
- 环境、社会与治理（ESG）
- 利益冲突内控

合规咨询服务

- 监管通知支持
- 牌照申请支持
- 提供亚洲金融监管的动态
- 维护内部合规政策
- 协助监管文件准备
- 合规计划的提供与执行
- 提供和维护合规登记册
- 提供和维护合规日历
- 协助年度监管审计
- 定期合规访问
- 定期合规培训
- 临时合规咨询

合规培训

我们通过线上培训平台、网络研讨会及线下培训等多种形式提供合规培训课程。PCA的在线课程专为金融从业者设计，旨在帮助其满足香港证监会（SFC）规定的持续专业培训（CPT）要求。

我们的合规培训助您保持行业领先优势。

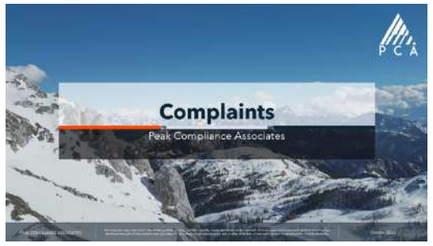
所有课程均由专家团队开发，每个模块都经过精心设计，内容涵盖：监管体系概述、香港证监会具体政策和指引解读、实务经验分享、真实案例分析。

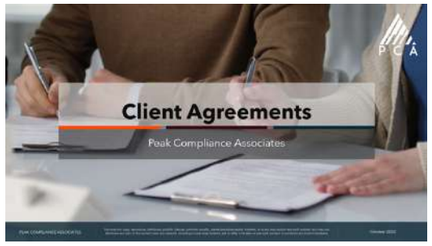
完成每门课程后，您将获得培训证书。经公司合规部门批准后，该证书可折算为相应的CPT学时。

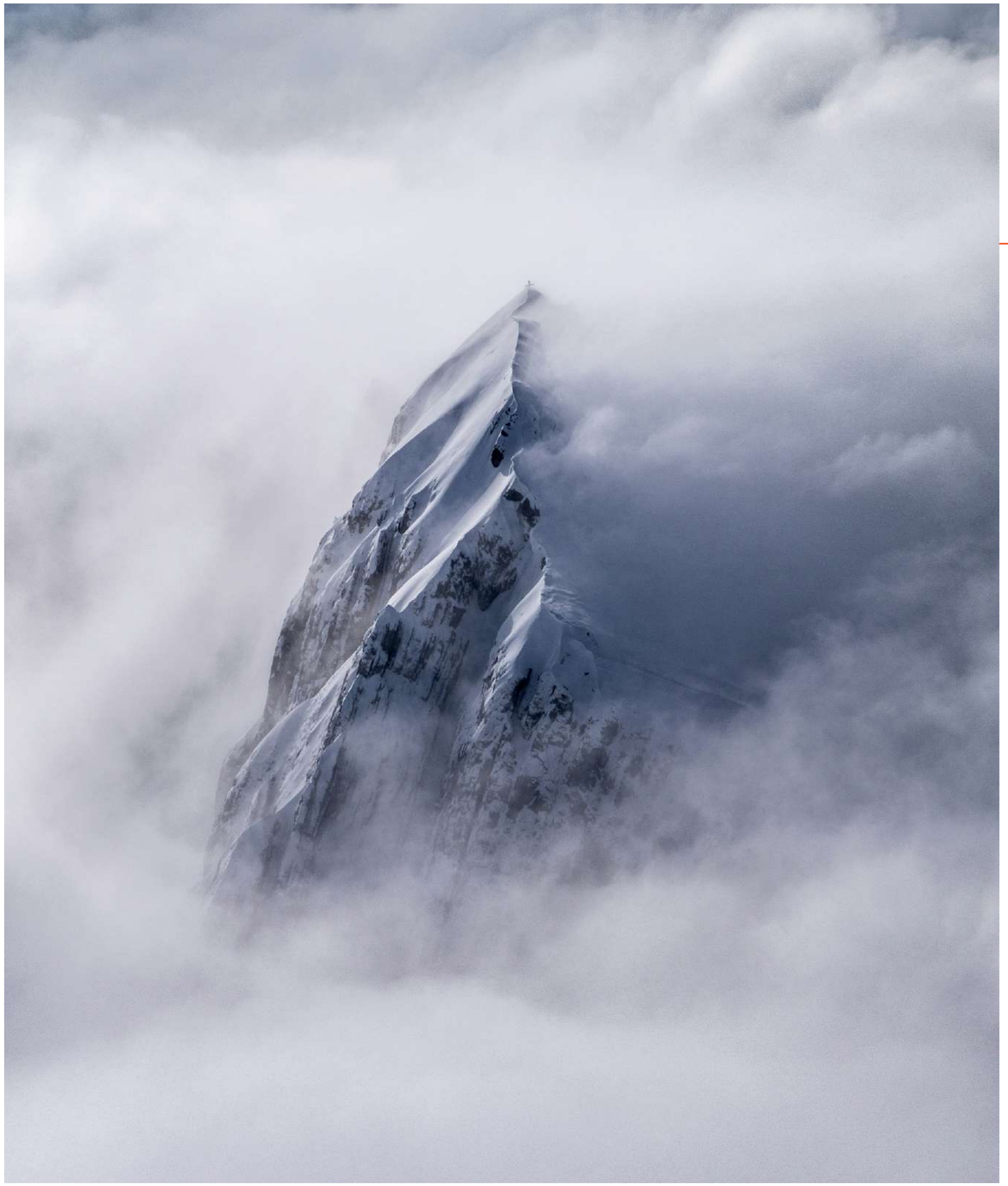
我们的在线课程支持随时随地学习，自主安排学习进度！

PCA在线培训平台：

@ pcacompliancetraining.thinki ic.com







专项监管合规项目

我们的监管项目团队专门负责处理与监管合规问题相关的特殊专项任务。这些项目通常具有独特性，且往往超出我们其他三大业务部门的服务范畴。
"我们确保客户获得应有的专业关注与支持。"
在处理定制化监管委托时，PCA为客户提供量身打造的解决方案，服务范围涵盖小型咨询到大型项目。

专项监管合规项目

- 监管检视期支持
- 撰写合规意见和监管评估材料
- 撰写合规政策和流程
- 提供专门合规咨询
- 针对新法规的合规性差距分析
- 定制化合规追踪器与登记簿（例如，流动资金计算）

行业奖项认可

自2023年起，PCA凭借卓越的合规服务，连续三年被《亚太CIO展望》杂志评为行业先驱，进一步巩固了其作为该领域顶尖合规解决方案提供商的地位。

“作为咨询机构，我们坚信让客户感受到自身价值与专业托付至关重要。为此，我们投入额外资源确保顾问团队能够提供客户应得的服务品质。在多数情况下，这意味着更低的客户与顾问配比，从而促成更具深度与意义的互动，最终实现更优的成果。”

Alex Esson
艾利克斯·埃森 创始人和首席执行官

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本刊物仅供就有关事宜提供一般指引。@2026 Peak Compliance Associates保留所有权利。在本文件中，PCA是指Peak Compliance Associates Limited的法律实体。

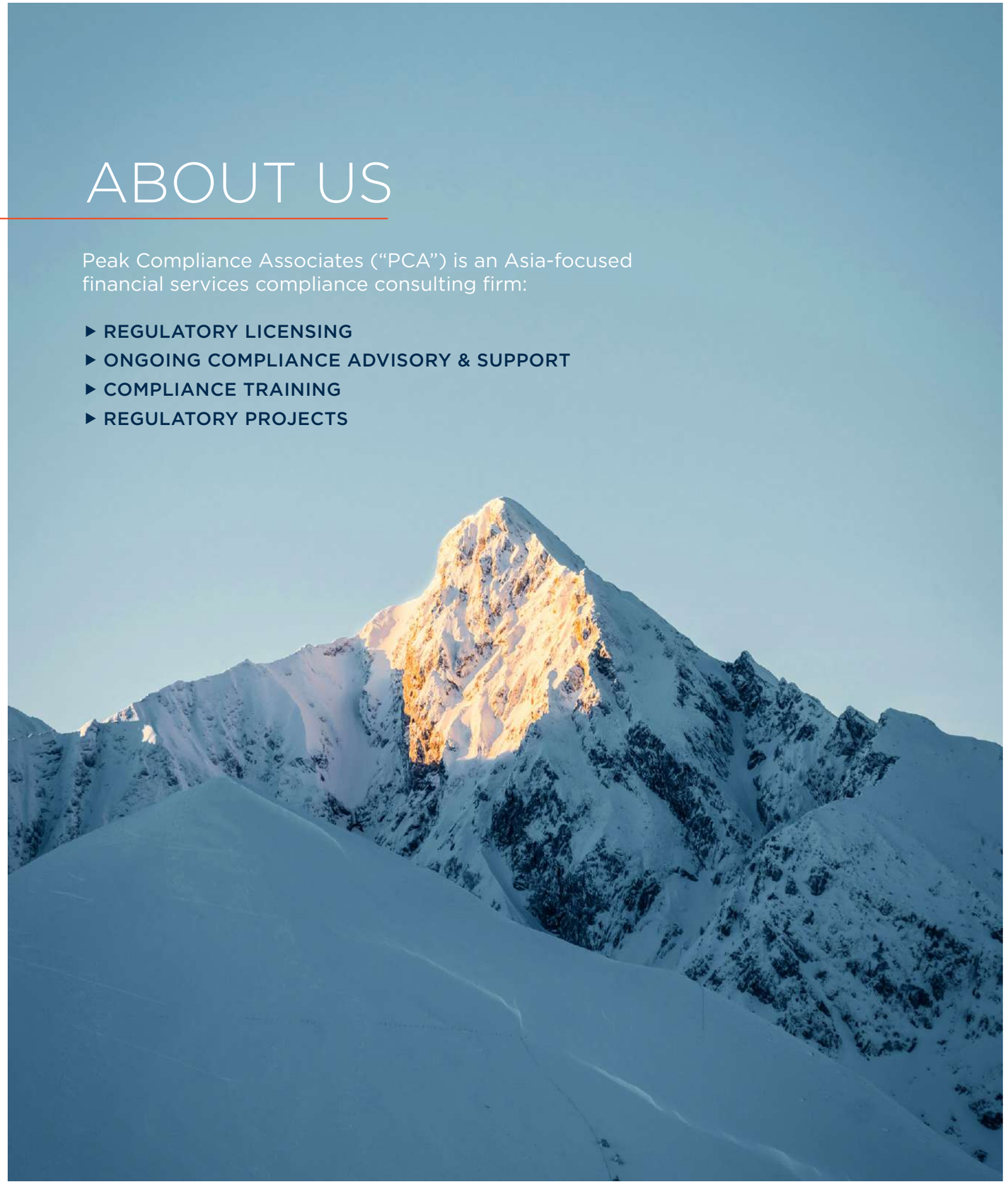
PCA

PEAK COMPLIANCE ASSOCIATES

ABOUT US

Peak Compliance Associates (“PCA”) is an Asia-focused financial services compliance consulting firm:

- **REGULATORY LICENSING**
- **ONGOING COMPLIANCE ADVISORY & SUPPORT**
- **COMPLIANCE TRAINING**
- **REGULATORY PROJECTS**



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SINGAPORE

PCA has operations in Hong Kong and Singapore and provides an array of compliance-related services to financial institutions in Asia. PCA’s services includes licensing for corporates and individuals, advisory and support on regulatory, compliance, and AML-related matters, and compliance training to financial institutions.

PCA’s clientele consists primarily of non-banking financial institutions and are typically firms that are seeking to be or are currently licensed and regulated by the Securities and Futures Commission (“SFC”) in Hong Kong and the Monetary Authority of Singapore (“MAS”) in Singapore.

PCA provides tailored compliance services to a variety of different types of financial institution, such as hedge fund and private equity or private credit fund managers, external asset managers, wealth managers, family offices, retail brokers, inter-dealer brokers, investment advisors, corporate finance firms, research houses, online platform operators, private placement companies, asset owners, pension plans, and FinTech companies.

“Our mission is to provide quality compliance advice to allow organizations to do what they do best. We strive to foster a culture that attracts and retains outstanding people.”

Alex Esson

FOUNDER AND CHIEF EXECUTIVE OFFICER

KEY STATISTICS

Experience as of 2026

Compliance
ADVISORY & SUPPORT
services
provided to clients
200+

Compliance
REGULATORY PROJECTS
50+

LICENSING APPLICATIONS

250+
CORPORATE

500+
INDIVIDUAL

CLIENTS
consist of:

Banks
FinTech Firms
Wealth Managers
Hedge Fund Managers
External Asset Managers
Private Equity Fund Managers
Family Offices (Single and Multi)
Asset Management Companies
Private Credit Fund Managers
Corporate Finance Advisors
Private Placement Firms
Investment Advisors
Research Houses
Brokers

An
ASIA-PACIFIC
financial services compliance consulting group, advising clients on matters relating to

LICENSING
COMPLIANCE
REGULATORY
FINANCIAL CRIME

2023 2024 2025
Top Compliance Solutions Providers
Awarded by APAC CIO Outlook

REGULATORY LICENSING

PCA provides a wide range of licensing application support services to companies who are seeking to conduct regulated activities in Hong Kong, Singapore, and the United States of America.

PCA works with regulators globally, including: the Securities and Futures Commission, the Hong Kong Monetary Authority, the Customs and Excise Department, the Companies Registry, and the Insurance Authority in Hong Kong; the Monetary Authority of Singapore in Singapore; and the Securities and Exchange Commission in the United States of America.

"We make the complex straight forward, and we deliver."

PCA utilises its expertise and team's vast experience to guide companies through the often complex and lengthy licensing application process. PCA understands that obtaining a license is often a critical milestone in a business's path to success, and therefore our service is tailored towards ensuring the quickest license application process with the best chances of success in a compliant manner.

TYPES OF **CLIENTS**

EXAMPLES OF THE TYPES OF CLIENTS FOR WHOM PCA PROVIDES LICENSING APPLICATION SUPPORT INCLUDES:

- Companies who are currently licensed by the financial regulators in Hong Kong or Singapore and are **seeking to add, remove, or modify licensing permissions**
- Existing regulated fund managers in Hong Kong or Singapore who are **seeking to provide fund management-related services to investors in the United States of America**
- Overseas financial services groups who are **expanding their businesses into Asia** and setting up an operation in Hong Kong or Singapore
- Spin-off ventures of existing Hong Kong or Singaporean licensed companies
- Newly incorporated local companies seeking **first time licensing**
- Companies who are currently licensed by the financial regulators in Hong Kong and Singapore
- Fund managers in Hong Kong and Singapore who are seeking to provide **fund management-related services** to investors in the United States of America

TYPES OF **APPLICATIONS**

PCA IS ABLE TO SUPPORT CLIENTS ACROSS A VARIETY OF DIFFERENT TYPES OF LICENSING APPLICATION SUCH AS:

- **First time licensing** applications for newly incorporated companies
- **Addition** of regulated activity license applications for companies currently regulated in Hong Kong or Singapore
- **Change of shareholder** applications
- **Change of licensing condition** applications.
- **Cessation** of license applications
- **Exempted activities** applications

REGULATORY LICENSING **SERVICES**

- License Category Analysis
- Application Drafting
- Requisition Support
- Application Process Advisory
- Regulatory Liaison
- Vendor Introductions

ONGOING COMPLIANCE ADVISORY & SUPPORT

PCA is typically engaged by its clients on a retained basis to provide bespoke regulatory, compliance, and financial crime-related advice and support to companies who are licensed and regulated by the SFC in Hong Kong and the MAS in Singapore.

"We believe that we are different from our competitors by offering a more focused solution for each client."

PCA tailors its compliance advisory services and level of support to suit each client's needs and requirements. This ranges from PCA providing compliance advice to clients on an ad hoc basis upon request through to providing monthly compliance support and compliance monitoring.

ADVISORY
TOPICS

PCA PROVIDES ADVICE ON A RANGE OF TOPICS, INCLUDING BUT NOT LIMITED TO:

- **Regulatory notifications**, filings, and **applications**
- **Compliance policies** and **procedures**
- **Mandatory regulatory obligations** and requirements
- **Personal Account Dealing** ("PAD")
- **Record keeping**
- **Know-Your-Customer** ("KYC")
- **Anti-Money Laundering** ("AML")
- **Counter-Financing of Terrorism** ("CFT")
- **Institutional Risk Assessments** ("IRA")
- **Suitability** and **product due diligence**
- **Marketing** and **client acquisition**
- **Investor identification**
- **Cross-border** activities
- **Investment** and **trading**
- **Risk management**
- **Outsourcing**
- **Technology** and **cyber security**
- **Environmental, Social and Governance** ("ESG")
- **Business Contingency Planning** ("BCP")
- **Conflicts of interest**

COMPLIANCE ADVISORY SERVICES

- Regulatory Notification Support
- Licensing Application Support
- Provision of Regulatory Updates in Asia
- Ongoing Maintenance of Compliance Policies
- Regulatory Filings Support
- Provision & Execution of a Compliance Plan
- Provision & Maintenance of Compliance Registers
- Provision & Maintenance of a Compliance Calendar
- Assistance with the Annual Regulatory Audit
- Periodic Compliance Visits
- Periodic Compliance Training
- Ad-Hoc Advisory Support

COMPLIANCE TRAINING

We deliver our compliance training courses online, via our Training Platform and Webinars, as well as in-person via classroom training sessions.

PCA's online training courses are tailored specifically for financial professionals seeking to fulfil their Continuous Professional Training (CPT) requirements mandated by the SFC.

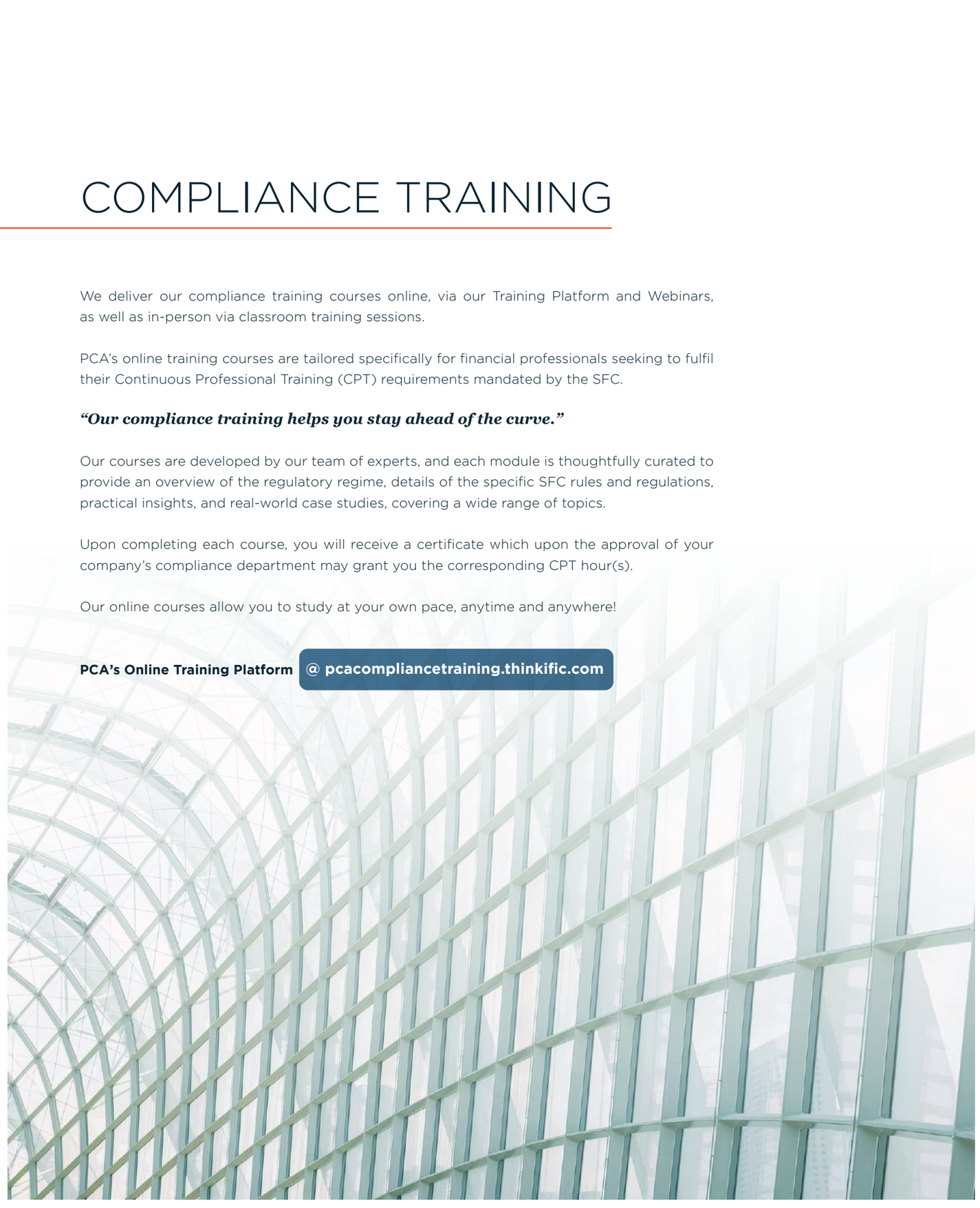
"Our compliance training helps you stay ahead of the curve."

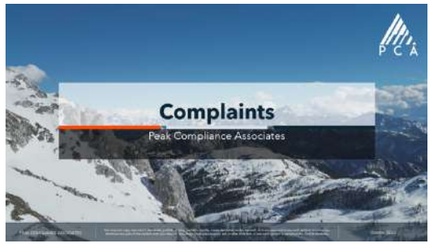
Our courses are developed by our team of experts, and each module is thoughtfully curated to provide an overview of the regulatory regime, details of the specific SFC rules and regulations, practical insights, and real-world case studies, covering a wide range of topics.

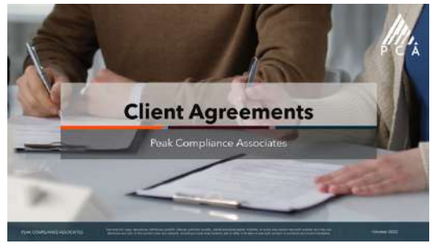
Upon completing each course, you will receive a certificate which upon the approval of your company's compliance department may grant you the corresponding CPT hour(s).

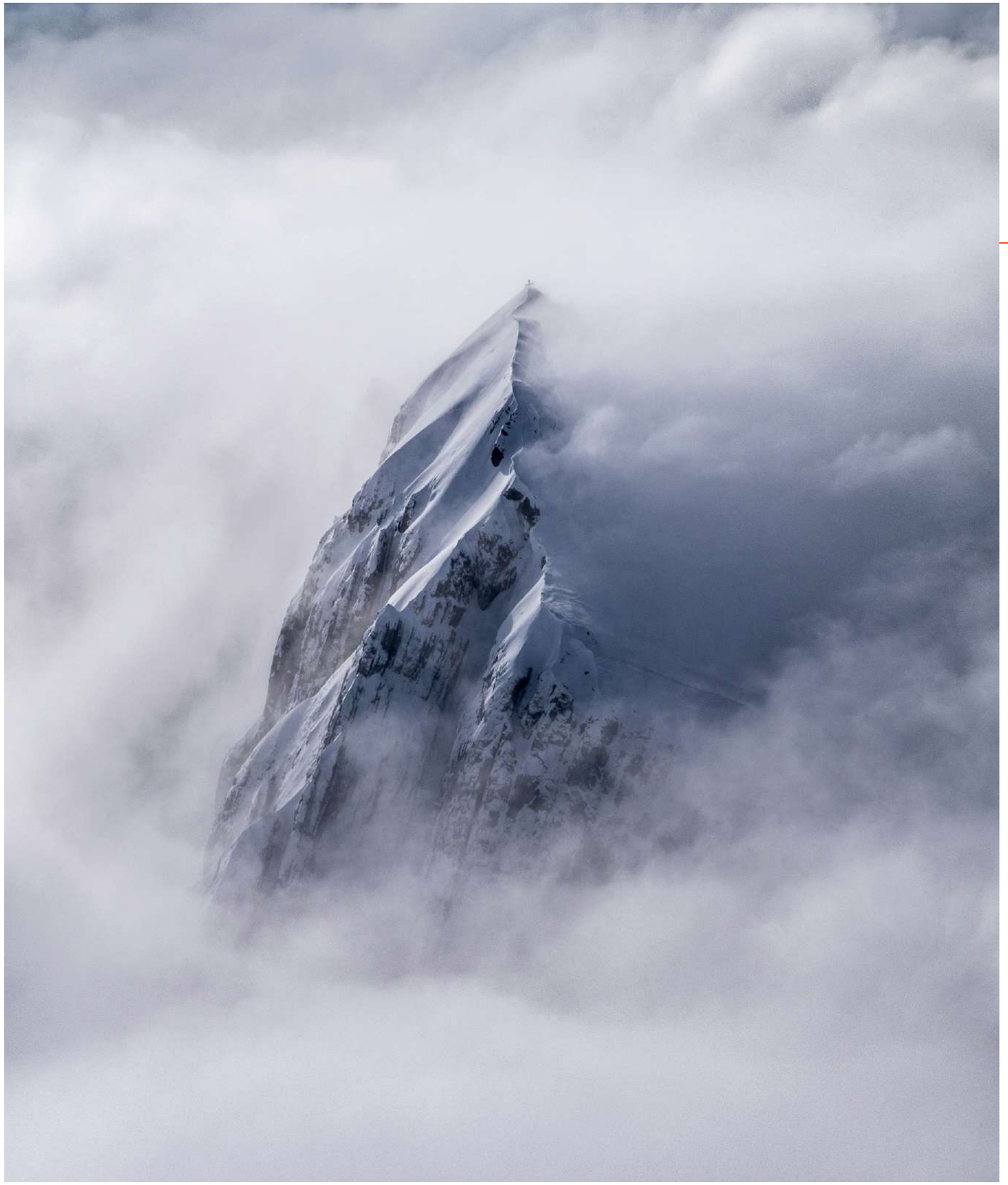
Our online courses allow you to study at your own pace, anytime and anywhere!

PCA's Online Training Platform @ pcacompliancetraining.thinkific.com









REGULATORY PROJECTS
(Ad-Hoc)

Our Regulatory Projects team is responsible for handling special ad-hoc projects that are connected to regulatory and compliance issues. These projects are typically unique and generally fall outside of the scope of services of our other three business lines.

"We ensure clients receive the attention and expertise they deserve."

When working on bespoke regulatory mandates, PCA provides tailored solutions to clients ranging from small engagements to large projects.

COMPLIANCE PROJECTS AD-HOC
SERVICES

- Supporting Financial Institutions during Inspections
- Writing Compliance Opinions and Regulatory Assessments
- Drafting Compliance Policies and Procedures
- Providing Ad-Hoc Advice to Clients
- Gap Analysis Against a New Regulatory Updates and Developments
- Designing Customised Compliance Trackers and Registers (e.g., liquid capital computation)

RECOGNITION

For 3 years consecutively, PCA was recognized by APAC CIO Outlook as an industry pioneer for its exceptional compliance services, establishing its position as a top compliance solutions provider in the field.

"As a consultancy, we believe it is fundamentally important for our clients to feel valued and in a safe pair of hands. To this end, we allocate additional resources to ensure our team of consultants are able to provide the service our clients deserve.

In many cases, this means a lower client-to-consultant ratio, which enables deeper and more meaningful interactions and better outcomes."

Alex Esson
FOUNDER AND CHIEF EXECUTIVE OFFICER OF PCA

AWARDED BY APAC CIO OUTLOOK

PEAK COMPLIANCE ASSOCIATES

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In this document, "PCA" refers to the legal entity of Peak Compliance Associates Limited.