



## Corporate Profile

# King Irving

Consulting Group

## King Irving Consulting Group

Our consultants are experienced in funds management strategy, operations, product development, regulation, compliance, marketing and distribution for retail, institutional and superannuation.

Our services are tailored to the specific needs of clients, which range from some of the largest fund managers of the world to specialist boutique managers and start-ups.

Due to our consultants' backgrounds in senior leadership and operational roles in funds management companies, we bring a hands-on, practical approach to our solutions for our clients.

## Why King Irving?

King Irving provides the following unique value propositions:

- We have experience in all aspects of funds management, having built and run funds managers. As a result, we understand how to efficiently establish funds management businesses.
- A particular expertise is operations, product development and compliance. As a result, we can help you select the most appropriate service providers for your business due to our industry contacts and expertise.
- King Irving is also a funds management legal practice. We provide a commercially informed approach in preparing legal documents.
- Due to our combination of commercial and legal skills, King Irving is able to provide a superior result.

## Consulting Services

We provide a variety of Consulting Services for our clients. They include the following:

- **Fund Establishment and Structuring:** Determine Fund structure and legal requirements for the selected markets: institutional, wholesale or retail.
- **Selection of outsourced Service Providers:** An independent process for selection and due diligence of trustee/RE, registry, fund administration and custody providers, including implementation and transition management.
- **Project management:** Management of projects on an end to end basis.
- **Product development and management:** Design or modification of products.
- **Marketing and distribution strategies:** Formulation of marketing and distribution strategies to effectively distribute product.
- **Marketing support material:** Preparation of material including fact sheets, websites, manager presentations and other member and investor communications.
- **Investment and research consultant liaison:** Preparation of due diligence material required for research and consultant review and preparation of portfolio managers so that they are 'consultant ready.'
- **Middle Office operational support:** bridging the gap between your custodian and your back office.

## Compliance Services

We provide a variety of Compliance Services for our clients. They include the following:

- **Licensing:** Obtaining a funds management AFSL or an ACL. Includes preparation of ASIC proofs and lodgement and management of applications.
- **Compliance manual and system design:** Provision of turnkey compliance process including preparation of Compliance manuals and policies from a whole of system view.
- **Ongoing AFSL compliance reviews:** Independent review and sign off of ongoing compliance with Corporations Act, ASIC and other financial service law requirements applying to AFSL and other licenses.
- **Risk Management system design and review:** Creation and ongoing review of risk management systems.
- **Staff Training:** Training and creation of training modules to meet ongoing AFSL educational requirements.

## Legal Services

We provide a variety of Legal Services for our clients including:

- **Fund documentation:** Preparation of trust deeds and constitutions for business and legal requirements.
- **Offer documents:** prepare or review offer documents including Information Memorandums and Product Disclosure Statements.
- **Service provider documentation:** Review or preparation to ensure meets business and legal requirements.
- **Management of legal processes:** Liaise with Service provider law firms to ensure incorporation of commercial terms and timely and cost efficient outcomes.
- **Review of marketing material for regulatory compliance**
- **Corporations and Superannuation Industry (Supervision) Acts and other relevant funds management regulatory requirements:** Advice on day to day issues.
- **Regulatory updates:** Provision of updates to Senior Management and Boards on relevant regulatory requirements.

## Benefits of Appointing King Irving

King Irving is an independent expert representing our client's interests.

Rather than having to appoint product or operational specialists, we provide this specialist resource. This can save you significant costs due to the efficiencies we provide to projects.

*Our experience is it costs less to appoint us compared to adding resources to your business. You benefit from the expertise and convenience of our services, without the ongoing costs.*

**King Irving** Consulting Group

Level 29, Chifley Tower, 2 Chifley Square, Sydney NSW 2000

An Australian registered company, ABN 73 160 482 137

**T** +61 2 9293 2865 **W** [www.kicg.com.au](http://www.kicg.com.au)

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