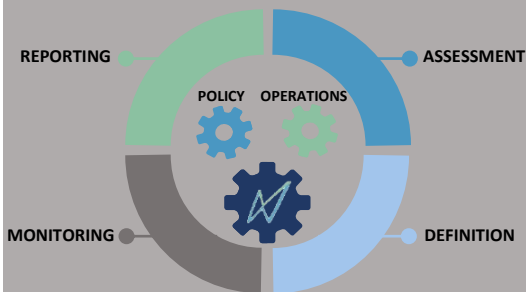


The regulatory environment for ESG is rapidly advancing not only in the EU but also globally. The regulatory demands vary by region, financial product, financial instrument and sustainable investment objectives. The most far-reaching regulation was adopted by the EU on 27. November 2019 concerning “sustainability-related disclosures” (2019/2088) for financial market participants. Additionally, financial products with sustainable investing objectives in Hong Kong (Confirmation from management of ESG funds) and the EU (Taxonomy TR) are subject to more detailed disclosure regulations. WaVeritas manages regulatory duties on behalf of its clients and ensures their compliance with evolving regulatory frameworks in the EU, Switzerland and Hong Kong. The WaVeritas compliance framework is based on two pillars which cover corporate cover corporate and product specific criteria. Together with the client, WaVeritas assesses the situation and prepares the necessary documentation and processes so that all obligations are met on a continuous basis.



## 4 STEP PROCESS



## BENEFITS FOR CLIENTS



Efficient, transparent & structured process



Aligned with regulation



Delegation of responsibility & work



Flat Fee

## 2 PILLARS APPROACH

- Strategy (Definition of an adequate Strategy, Formulation and Documentation)
- Risk Management (Definition of sustainability risks, formulation & documentation)
- Conflict of Interest (Identification of potential conflicts, documentation)
- Operations & responsibilities (Definition of responsibilities, integration, management, documentation)



- Product-specific reports including taxonomy/SDG aligned share of fund revenues
- Suitability provisions
- Prevention of mis-selling / Awareness regarding the limitation of ESG ratings