



Company's presentation

October 2021

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PARTNERS

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01. Our Foundations

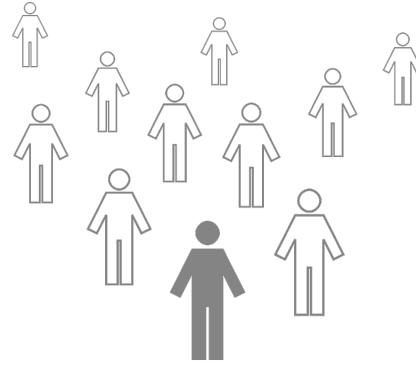
Who we are



Founded in 2020 by Frédérique Winkler and Eric Nolen, NoW Partners is an independent consulting firm offering a wide range of services including assistance in Corporate Services, Compliance, Governance and Risk management related matters.

Located in Luxembourg, the largest investment fund centre in Europe, NoW Partners' team brings solid and reliable advisory and operational support to entities of the Financial Sector and more specifically Banks, Investments Funds Managers, Investments Funds and PSF.

Our story



Background

As highly expert individuals in the **financial, legal and regulatory** fields, Frédérique and Eric have been themselves, throughout their respective careers, consumers of Compliance, Governance and Risk management services for many years and are thus **perfectly aware of their clients' needs**.

An Innovative Mindset

With the aim of setting up a powerful model with **robust fundamentals** and **excellent execution culture** within the compliance and risk management consultancy field, Frédérique, Eric and their team focus on bringing an innovative mindset by thinking “out of the box” and **always anticipating the sector's evolution** and its impact on their clients' activities.

A Reliable Team

To that effect, Frédérique and Eric have built their ideal service company on the **principle of accountability** by gathering a team of dedicated and experimented professionals with the **breadth of skills** and **deep expertise** in order to provide clients with prompt, robust and reliable assistance.

Our values...

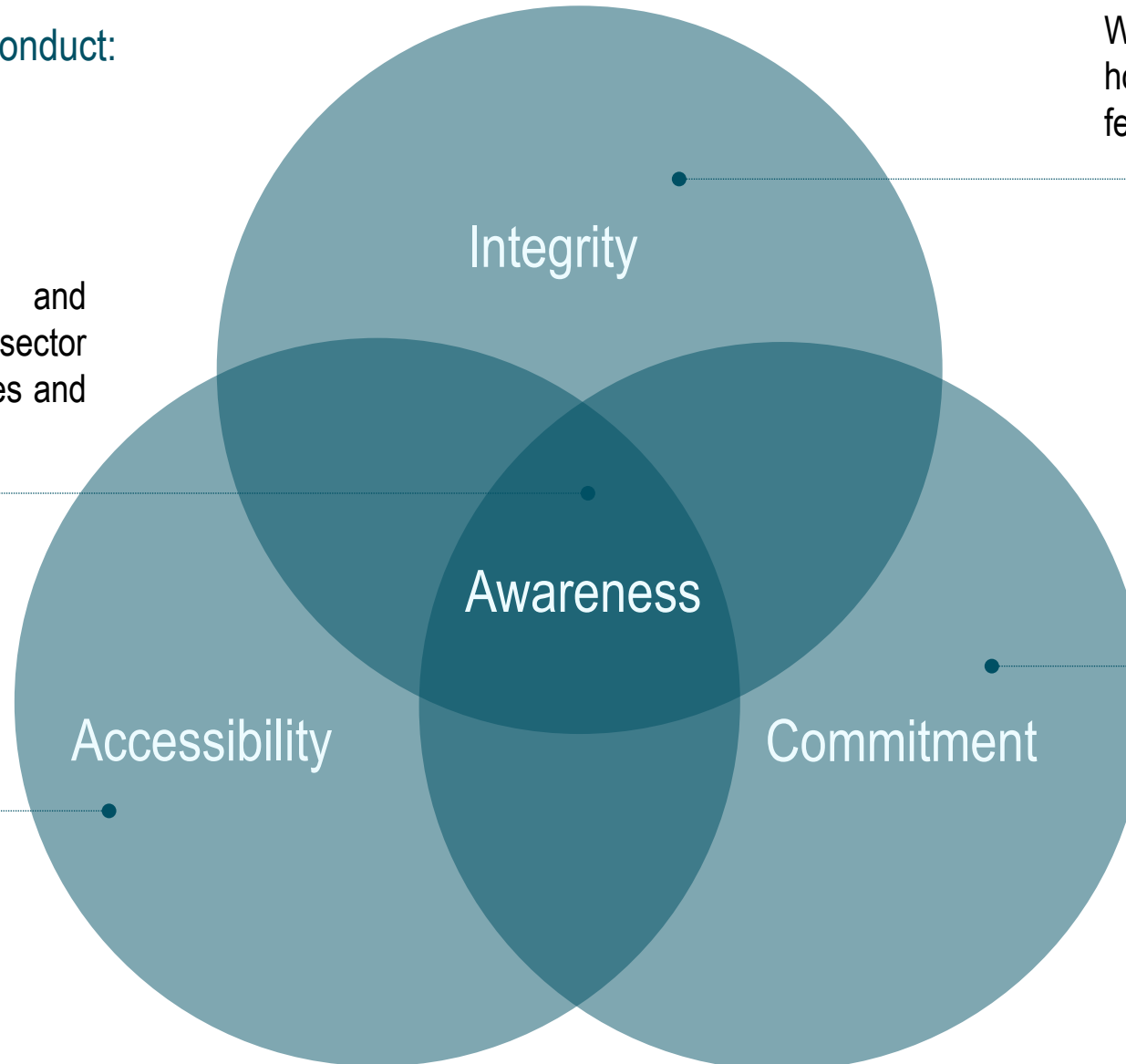
...are the principles, which guide our conduct:
both personal and professional

We anticipate, apprehend and understand the evolution of the sector in which we perform our services and our clients' needs

We stay close to our clients and remain always available

We perform our services with honesty and authenticity to feed your trust

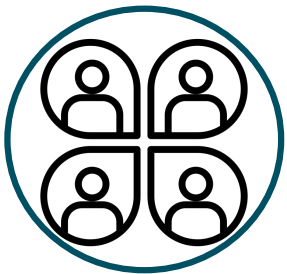
We are reliable to our clients and dedicated to providing superior quality services on time



What we do in a nutshell

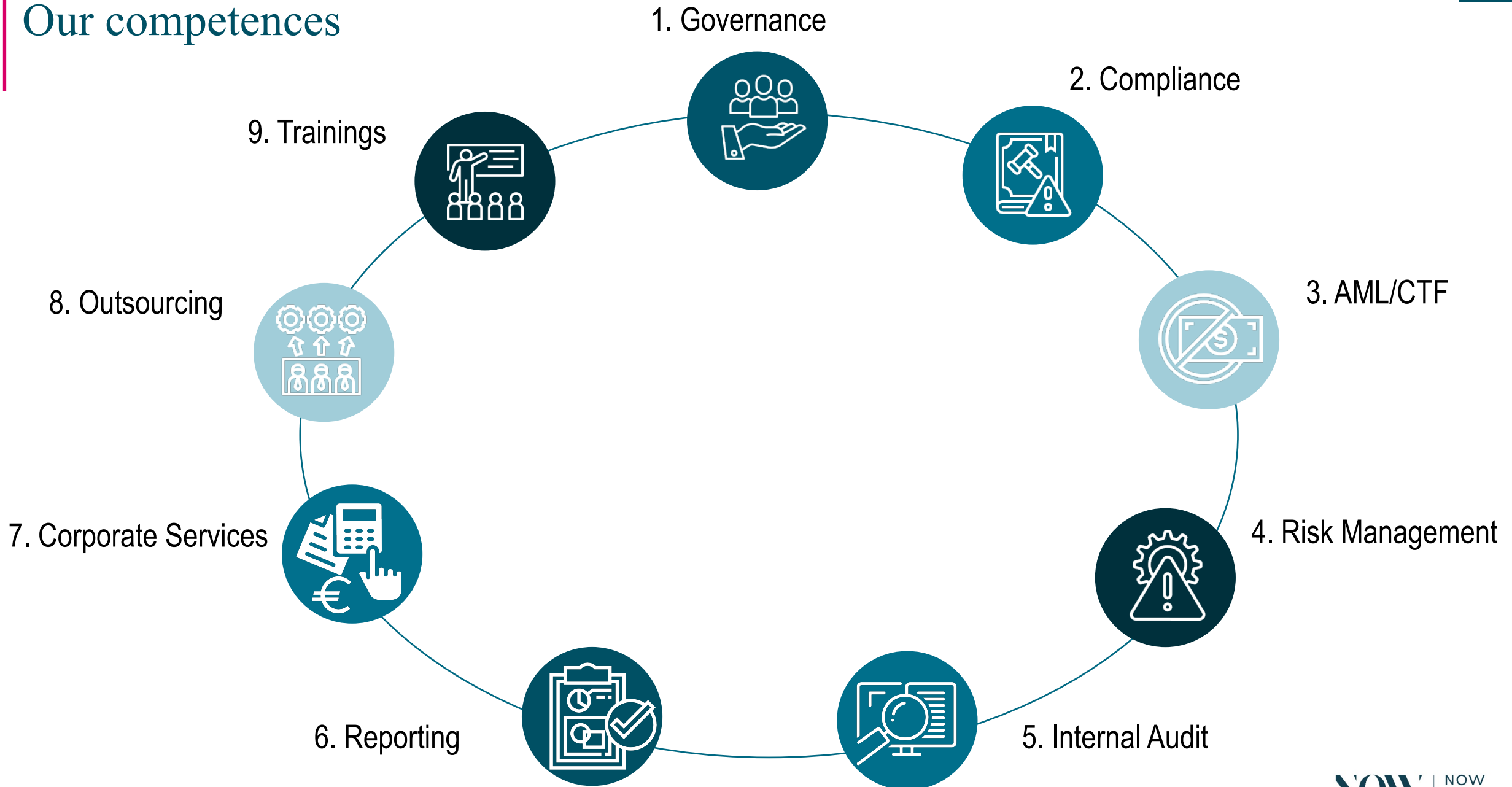


Today's financial world is more and more regulated and complex. Actors of the financial sector (operating companies, investment firms, banks etc.) need some help navigating the ever changing legal and regulatory framework they have to comply with to perform their activity/ies.



NoW Partners' team assists actors of the financial sector in creating a compliant internal organization in terms of governance, compliance including anti-money laundering and counter terrorism financing, risk management, internal audit and reporting. NoW Partners is also a training entity that can provide official trainings to professionals (NoW Academy).

Our competences





02. Our Competences

1.

Governance



- Drafting and set up of Corporate Governance framework
- Drafting of Corporate Governance policy
- Gap analysis on the basis of the principles of Corporate Governance
- Evaluation of the organizational structure of the company in accordance with the strategy and objectives
- Annual assessment of the internal control system in cooperation with the Board of Directors
- Board of Directors & Committees Evaluations
- Supporting and training Board members and other committees' members on Corporate Governance issues
- Ad hoc crisis management missions

2.

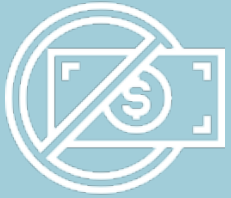
Compliance



- Gap analysis
- Assistance for implementation of new regulations (e.g. MiFiD II, DAC 6, GDPR...)
- Preparation for CSSF on-site inspection (mock audit)
- Drafting of Compliance Monitoring Plan
- Drafting/updating of policies and procedures
- Drafting of periodic and annual Compliance reports
- Drafting and support on the implementation of control systems
- Compliance Risk Assessment
- Awareness and training programs
- Cooperation with the authorities
- Regulatory watch
- Remediation plans

3.

AML/CTF



- Operational support for KYC profiling (onboarding / recertification)
- Ongoing monitoring
- Due diligence
- KYC process implementation and optimization
- AML/CTF risk assessment
- AML/CTF risk reports
- Name screening
- Forensic investigation
- Business and Functional analysis and specification
- Annual and periodical AML/CTF training
- Remediation plans

4.

Risk Management



- Set up of the Risk management function
- Drafting/updating of risk management policies, procedures and supporting documents
- Risk identification and quantification, Risk Management system, KRI set up
- Risk functional analysis and specification and support on the implementation of controls system
- Supply of an approved Conducting Officer on a permanent or temporary basis
- Support services, periodic and annual draft risk reporting generation, risk registers etc.
- Board preparation
- Risk Management Function and audit
- Gap analysis, Remediation plans, action plans
- Assistance for implementation of new regulations and regulatory watch
- Risk management awareness and training programs

5.

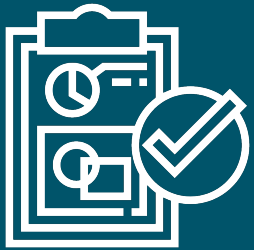
Internal Audit



- Externalization of the Internal Audit function
- Preliminary Risk Assessment
- Pluri-annual Internal Audit Plan
- Internal Audit Charter
- Audit of operations, functions, activities and processes
- On-site and off-site controls
- Follow-up of previous recommendations
- Drafting of annual Internal Audit Reports
- Presentation of conclusions to the Senior Management
- Recommendations on the improvement of controls and services
- Audit support on ad-hoc issues and topics

6.

Reporting



- Global data management – controls, completeness, validation and publication
- Regulatory solutions (RMP review, KRI set-up, Board preparation,...)
- Risk reporting
- AIFM reporting
- KIID / PRIIPS KID – EPT production
- MiFID II EMT production
- Stress Test Set up
- Solvency II / Transparisation
- Tax, FATCA and CRS Reportings
- Set-up and take over of Factsheets
- Interim resources at junior, middle and senior management level

7.

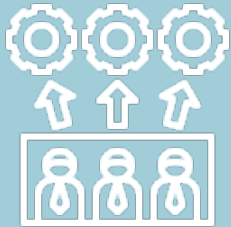
Corporate Services



- Structuring and Restructuring analysis and execution
- Corporate governance review - Entity and substance compliance health check
- Company set up / incorporation
- Ultimate beneficial owner register services
- Directorship and monitoring
- Advanced Company Secretarial Services - day to day administration
- KYC and AML management
- Financial accounting and preparation of annual financial statements
- IFRS Services
- Tax compliance, including FATCA, CRS, VAT and corporate tax registration and filing
- Audit support
- Interim resources at junior, middle and senior management level

8.

Outsourcing



- Independent Director mandates
- Acting Conducting Officer
- Compliance Officer Mandates
- RC Mandates
- Interim resources at junior, middle and senior management level

9.

Training



NoW Academy

NoW Partners is an authorized training entity

- Extended choice from catalogue (e.g. ESG, AML, GDPR, DAC 6, FATCA CRS, etc.)
- Preparation and performance of trainings tailored to the client's needs

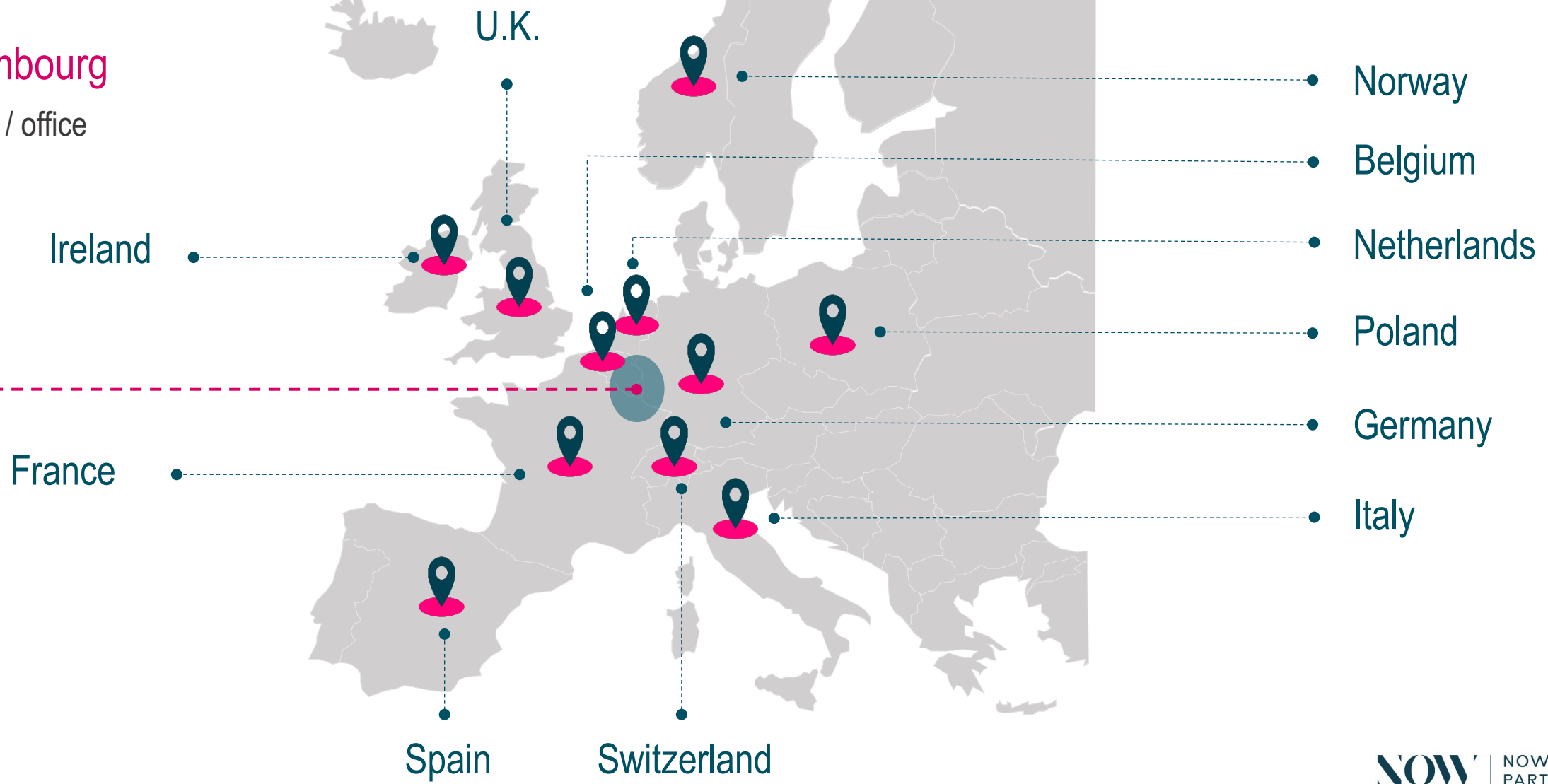
Assisting professionals worldwide



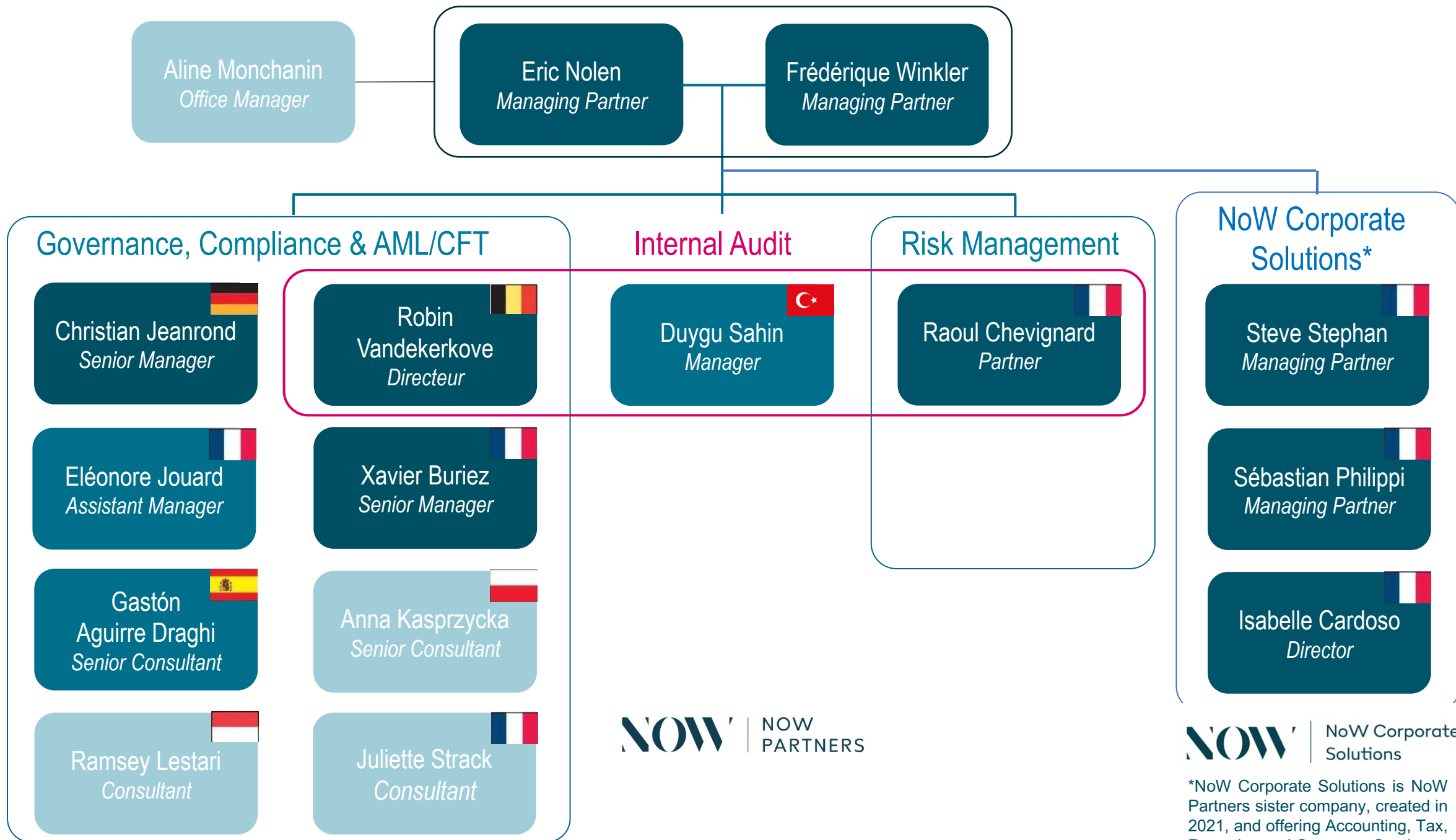
Focus on Pan-European clients

Luxembourg

Our HQ / office



03. Our internal organization



*NoW Corporate Solutions is NoW Partners sister company, created in 2021, and offering Accounting, Tax, Reporting and Corporate Services.



04. Our Team



Eric Nolen

Managing Partner

About Eric

Eric has over 20 years of experience in various senior Legal and Compliance roles in the financial services industry, particularly in the asset management sector. He is at the board of several Asset Management Companies. Eric also holds several Compliance Officer, RC and Conducting Officer mandates.

Languages: French | English

Working Experiences / Professional Career

- Partner in charge of Governance, Risk, Internal audit and Compliance at Mazars, Luxembourg (2015 - 2020)
- General Counsel at Olkad Luxembourg (2012 - 2014)
- General Counsel at Natixis Bank, Luxembourg (2006 - 2012)
- Head of Legal – Treasury, Financial Markets & Financial Products at Banque Internationale à Luxembourg (2004 - 2006)
- Financial Lawyer at Crédit Industriel et Commercial, France (2000 - 2004)

Academic background

- Master 2 in Financial and Banking Law at Université Paris I Panthéon-Sorbonne
- Master 2 in Corporate and Economic Law at Université Paris I Panthéon-Sorbonne
- Master 1 in corporate Law at Université Paris II, Panthéon - Assas



Frédérique Winkler

Managing Partner

About Frédérique

Frédérique has more than 18 years of experience in risk management, compliance, and performance analysis in various analyst and management roles in the financial service industry, particularly in the asset management sector. She is at the board of several Asset Management Companies and holds a number of RC mandates.

Working Experiences / Professional Career

- Acting Conducting Officer Risk and Compliance at Greenwich Dealing Luxembourg (2019-2020)
- Founder and Executive Director at Viet and Winkler Advisory (2016-2020)
- Global Investment Risk manager, Investment Support at AXA Investment Managers (2003-2015)
- Consultant at BI-SAM Technology (now B-ONE) (2001 – 2003)

Academic background

- MSc/M2 in International Wealth Management at ESCP-Europe Paris
- Master of Business Administration (MBA) at The Seidman School of Business, USA
- MSc/M2 in Inorganic Chemistry and Biochemistry at University of Michigan, USA



Raoul Chevignard

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Partner

About Raoul

Raoul has more than 20 years of experience in the financial industry. When completing his engineering studies he specialized in financial mathematics and risk management. He today holds various mandates as Independent Fund Director, Conducting Officer or Risk Manager. In the meantime he also created and headed for 4 years the AIFM department with a Luxembourg based Management Company.

Languages: French | English | Swedish

Working Experiences / Professional Career

- Holds various positions as Conducting Officer, Risk Manager, RC (Responsable du Contrôle) and Independent Board Member for Luxembourg investment funds and AIFMs) (since 2012)
- Institutional Director, Head of AIFM, Pure Capital, Luxembourg (2013-2017)
- Senior Philanthropy Advisor. Co-set up Fondation de Luxembourg (2009-2012)

Academic background

- MSc. Aeronautical Engineering, ISAE (French Grande Ecole), Toulouse – Specialization at KTH School of Physics, Stockholm



About Robin

Robin has over 10 years of experience in various internal control roles in the financial services industry, particularly in investment firms and management companies. He held different positions as chief compliance officer, AML/CFT Compliance Officer, RC of funds and data protecting officer. Furthermore, he has a strong experience of the implementation of internal control functions and remedial action plans. He is also an expert on the audit of the AML/CFT functions. Languages: French | English

Working Experiences / Professional Career

- Compliance Officer and AML/CFT Compliance Officer (RC) at Alter Domus Management Company S.A., Luxembourg (2019-2020)
- Conducting Officer and Compliance Officer at JTC Global AIFM Solutions, Luxembourg (2019 – 4 months)
- Chief Compliance Officer, MLRO and DPO at Victory Asset Management S.A., Luxembourg (2017 - 2019)
- Manager in the Internal Audit department incl. Governance, Risk & Compliance at Mazars, Luxembourg (2015 - 2017)
- Compliance Officer and MLRO at Mayfair Trust S.à r.l., Luxembourg (2014 – 2015)

Academic background

- Master 2 in Business Administration - Finance at Louvain School of Management, UCLouvain – Belgium
- Baccalaureate in economics and management, UCLouvain – Belgium



Christian Jeanrond

Senior Manager

About Christian

Christian has 17 years of experience in navigating fund actors through the shoal waters of legal and regulatory challenges, Christian is a practical problem solver in a pressurized environment, with a strong understanding of operational implications of asset servicing, fund governance and depositary banking business.

Languages: French | English | German

Working Experiences / Professional Career

- Senior Legal Advisor at Pictet & Cie (Europe) S.A. (2016-2020)
- Senior Legal Advisor at FundPartner Solutions (Europe) S.A. / Pictet Group (2007-2016)
- Legal Advisor at Caceis Bank Luxembourg (2005-2007)
- Junior Legal Advisor at Banque de Luxembourg (2003-2005)

Academic background

- LL.M, (French-German magister class) at University of Cologne
- Master 1 in Private Law at Université Paris I Panthéon Sorbonne
- LL.B in Foreign Commercial Law at Université Paris I Panthéon Sorbonne



Xavier Buriez

Senior Manager

About Xavier

Xavier has 24 years of extensive experience and expertise in the financial services industry in Luxembourg, primarily in renowned private banks. He has worked 11 years as a senior lawyer, 5 years as a Client Relationship Manager and 8 years as a Head of Credit.

Languages: French | English | Spanish

Working Experiences / Professional Career

- Senior Lawyer, Quintet Private Bank (Europe) SA, Luxembourg, (2018 – 2021)
- Head of Credit, Natixis Bank, Degroof Petercam and Edmond de Rothschild, Luxembourg (2010 - 2018)
- Client Relationship Manager, Banque Internationale à Luxembourg, Kaupthing Bank and self employed (2005 - 2010)
- Senior Lawyer, Banque Internationale à Luxembourg, Luxembourg (2000 - 2005)
- Lawyer, Company law, Compagnie Fiduciaire, Luxembourg (1999 - 2000)
- Lawyer, contract law, and general banking law, at SGBT, Luxembourg (1997 - 1999)

Academic background

- DEA in Comparative Business Law at Université Nancy II
- Magistère in Comparative Business Law at Université Nancy II
- Master 2 in Business Law at Université Nancy II



Eléonore Jouard

Assistant-Manager

About Eléonore

Eleonore is a passionate and dedicated business law professional with over 4 years of experience in the investment sector. She joined NoW Partners as the company's first employee in April 2020, where she took up the role of Assistant Manager. Being French and Spanish, and having lived across the world, Eleonore has a truly international profile that she has been cultivating by offering clients her expertise in three languages.

Languages: French | English | Spanish

Working Experiences / Professional Career

- Legal Manager at Sandra&Cocoa S.L. (2019-2020)
- Junior legal counsel at Springwater Capital LLC (2018-2020)

Academic background

- LLM in International Business Law at IE Law School with certificate in Business Administration
- Master in Business law at Université Lyon III Jean Moulin
- LLB in private law at Université Paris I Panthéon Sorbonne



Anna Kasprzycka

Senior Consultant

About Anna

Anna has over 4 years of experience working as a legal professional in public institutions and investment companies. Dedicated, dynamic, with long-standing interest in financial sector regulatory matters, Anna is set to bring her knowledge and expertise of the Luxembourg fund industry to our clients.

Languages: English | Polish | French

Working Experiences / Professional Career

- Compliance Analyst at Aberdeen Standard Investments Luxembourg S.A.(2019)
- Junior Legal Associate at Blackstone Group (2016-2017)
- Legal at European Investment Bank (2016)

Academic background

- Master in Law at M. Curie-Skłodowska University
- Master in Administration at Jagiellonian University



Gastón Aguirre Draghi

Senior Consultant

About Gastón

Gastón has over 6 years of experience working as a legal professional in law firms and international companies. Client oriented, dynamic with long-standing interest in financial sector regulatory matters and corporate finance cross-border transactions, Gastón now brings his knowledge and expertise of the Luxembourg fund industry to our clients.

Languages: English | Spanish | Portuguese

Working Experiences / Professional Career

- Foreign Associate Seegman (2020-2021)
- Semi Senior Legal Counsel at Votorantim S.A.(2018-2019)
- Mid-Level Associate at Bomchil Law Firm (2015-2018)
- Junior Associate at Marval O Farell & Mairal Law Firm (2013-2015)

Studies

- LLM in International Business Law at IE Law School with certificate in Business Administration – Madrid (Spain)
- Post- Graduate Advanced Courses in Corporate Finance & Accounting at University Torcuato Di Tella – Buenos Aires (Argentina)
- LLB in Business Law at University of Buenos Aires (Argentina)



Juliette Strack

Consultant

About Juliette

Juliette gained her first experience in France, from law firms to insurance companies. She worked one year in Crédit Mutuel, where she was in charge of compliance controls in the depositary department and of the implementation of legal and regulatory developments (regulatory watch). As of today, Juliette has a good knowledge of the fund industry and investment companies. She joined NOW Partners in 2021 as Consultant in the Compliance and Regulatory department. Languages: French | English

Working Experiences / Professional Career

- Financial lawyer at Banque Fédérative du Crédit Mutuel (2019-2020)
- Legal Intern at Pernet & Hirtz Avocats (2018)
- Legal Intern at Exème Avocats, Bordeaux, France (2017)

Studies

- Master degree in Banking and Financial Law at Université de Strasbourg
- Internship achievement in the law firm named "l'ERAGE" (Strasbourg's bar school)

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