

What **Compliance Consultant** Does

No matter what the issues may be from FCA authorisation to independent compliance reviews; from ad-hoc rule interpretations to a total business review or compliance package, we at Compliance Consultant have the speed of reaction, the qualified and experienced resource as well as the flexibility and cost effective solutions that you need.

A great deal of our work is done under NDAs and we are happy to discuss your needs offering you full confidentiality, something that larger firms struggle to maintain. If you wish to use a Non-Disclosure Agreement of your own or ours we can accommodate even the most demanding of requirements either in the UK, throughout Europe or the Middle East.

FCA Authorisation Applications: Depending on whether you are a stockbroker, an IFA, or even setting up a bank or other finance initiative, on your needs and experience, we can project manage the entire FCA authorisation process for you or simply assist you in completing the Compliance Section of the FCA application together with associated documents.

Compliance Manual: We have a best-selling manual that has been bought by As bought by IFAs, Private Banks, GI Brokers, Payment Providers, Portfolio and Asset Managers and others; even international companies across three continents. We have also launched a "lite" version for small firms who don't need all the whistles and bells.

Compliance Monitoring Programs: We can provide you with tailored Compliance Monitoring Programs as well as other required compliance or governance documentation from Terms-of-Reference to Policies and Procedures.

Compliance Reviews: We specialise in carrying out independent compliance risk assessments and can provide anything you may need from regulatory visit preparation on a periodic basis or a project basis, to mystery shopping, past business review or acting on your behalf in a S166 scenario, as we were appointed as Skilled Persons in 2012, before the regulator changed to using panels of the big firms.

Crisis Management & Remediation: If you incur the wrath of the regulator or stumble upon any major regulatory issues or compliance failures, we can step in and help typically and often at a moments notice, providing practical support, advice and assistance.

Compliance Remedial Work: File assessment, identification of causation from evidence on file and past business reviews and recommendations, including compensation and rectification.

Compliance Outsourcing: We can take away the hassle of carrying out the day to day compliance function for you so that you can concentrate on developing your firm's business.

Compliance Mentorship Program: We can help guide you through the regulatory maze, challenging and leading you into areas that you may not have considered. We can offer a fresh pair of eyes to your regulatory challenges from mapping your regulatory universe through to complaints analysis and assessment.

Consumer Credit License (CCA): We have assisted local government community finance initiatives to set up and shown them the regulatory ropes as they are now regulated by the FCA.

Our focus is on practical and efficient regulatory advice and assistance. Our motto is "Making Compliance Work". With years of experience we have developed a network of the best training partners, software providers and other experts to call upon to give you the best service possible.

FINANCIAL CRIME AND ANTI- MONEY LAUNDERING

All firms are subject to Financial Crime (FC) and Anti-Money Laundering and Counter-Terrorism Financing (AML&CTF) Policies and Procedures to operate within the rules. Specifically firms are required to:

- have FC and AML&CTF policies and procedures in place (to reflect the latest UK legislation, regulation and guidance)
- carry out AML&CTF and Sanctions verification checks
- provide ongoing AML&CTF training
- monitor and report AML&CTF suspicions

Compliance Consultant can provide firms with tailored up to date anti-money laundering policies and procedures, give advice and assistance on FC and AML&CTF verification checks and monitoring. Compliance Consultant can call upon the best AML&CTF training partners in the UK to meet all your FC and AML&CTF requirements.

FCA APPLICATIONS

Compliance Monitoring Applications for FCA/PRA Authorisation from one man IFAs to new banks, can be an intimidating, seemingly complicated and daunting task to the lay-man. At Compliance Consultant we have proven experience in assisting and coaching all manner of firms obtain authorisation. We can project manage the whole application process which involves:

- completing the core details and compliance section of the application
- assisting in producing a comprehensive regulatory business plan
- liaising with the firm's accountants to complete the financial resources and systems section
- being the main contact point for the application with the FCA and organising and attending any pre-authorisation inspections or meetings with the FCA, as required.
- or in any way you may need support and guidance; we offer bespoke pricing.

DEEP DIVE OR CYCLICAL ASSESSMENT?

Risk and Compliance Assistance with preparation and handling of regulatory visits.

Due to our experience with the UK regulators, and as members of the Association of Professional Compliance Consultants (APCC), we are uniquely placed to provide 'regulatory insight' in helping firms to prepare for, and handle any regulatory inspection or visit.

We can advise firms on governance and risk documentation and procedures that need to be in place prior to any inspection.

We can also prepare senior management and other relevant members of staff on how to deal with regulators in an inspection or any interview scenario.

CROSS BORDER PERMISSIONS

Once firms are authorised, the kind of business they carry on sometime changes thus necessitating a change/variation of permissions with the FCA. Equally a firm may wish to market into other EU countries using an ISD (Investment Services Directive) passport which will require a notification to the regulator (who in turn will notify the other relevant EU authorities).

Compliance Consultant has in depth experience of advising and assisting firms in the application process and of varying permissions or completing a cross border ISD application.

COMPLIANCE MONITORING PROGRAMME

Firms are required to have a Compliance Monitoring Programme (CMP), effectively this outlines the risks and rules applicable to the firm and sets out certain tests to check that these risks are being mitigated against and that the rules, from mapping your regulatory universe, have been complied with. A CMP will vary greatly from firm to firm depending on their business activity and the instruments they trade. Compliance Consultant has in-depth experience of producing practical CMPs tailored for a range of clients.

Leave nothing to chance. Let Compliance Consultant produce a tailored CMP for you.

COMPLIANCE OUTSOURCING

Many firms have neither the time and/or expertise to carry out the day to day compliance functions required by the FCA. Opportunity costs in spending time on compliance issues that could be better spent generating revenue for your firm, are another issue. Add to this the agency problem of always managing Compliance “in-house” and you could be building yourself a raft of issues.

Compliance outsourcing can be the ideal solution to these problems.

Compliance Consultant can provide a range outsourcing packages to a large range of clients. Services can include:

- maintaining up to date compliance manual and compliance monitoring program
- carrying out customer classification and notification work
- carrying out compliance, KYC and transaction monitoring
- providing ongoing regulatory advice and rule interpretation
- organising or assisting in carrying out all ongoing training and assessment requirements.

CRISIS MANAGEMENT AND REMEDIATION

Risk management

There are occasionally times when a firm faces a crisis that can have or impact their regulatory standing and framework.

Such a crisis may be the outcome of a transaction or venture that inadvertently creates a serious rule breach or senior management or system failure. These which will require prompt but considered remedial action and appropriate notification to the FCA. Compliance Consultant is available for clients at very short notice to advise and assist in any crisis.

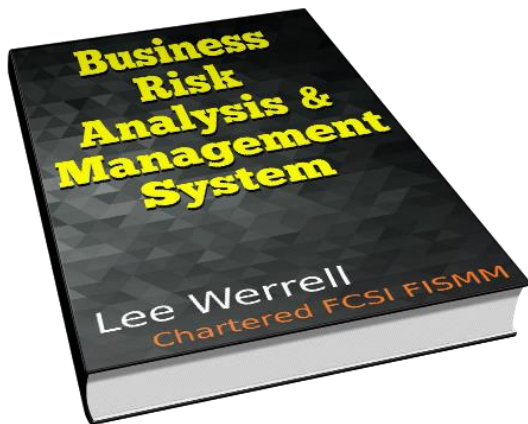
WHO DO WE ADVISE?

- Risk Assessment Compliance Consultant advises the following types of clients in the United Kingdom:
- Broker/Dealers (Institutional & Retail)
- Fund Managers
- Start-up Banks/Challenger Banks
- Corporate Finance Advisers
- Investment Banks
- Equity and Fixed Income Derivatives
- Capital Markets
- Wholesale Markets
- Commodity brokers/OMPs/EMPs
- Consumer Credit Licences

Get our Printed Books at Amazon's "Createspace"

"Compliance Manager Guidebook & Reference"

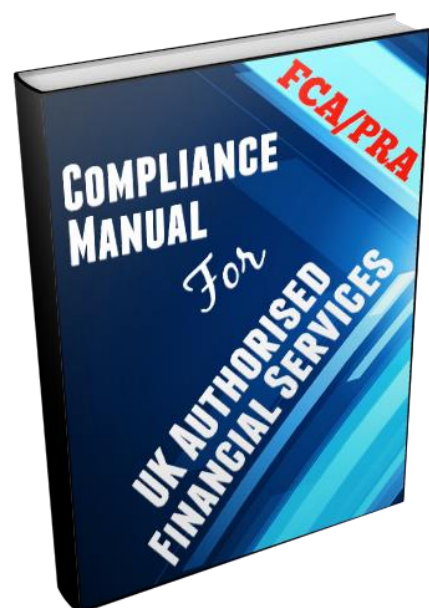
<https://www.createspace.com/4411309>



"Business Risk Analysis & Management System"

<https://www.createspace.com/4956260>

Or Get Our Ever-Popular



"Template Compliance Manual"

<http://fca-compliance-risk-assessment-fully-editable-template-manual.co.uk/>