


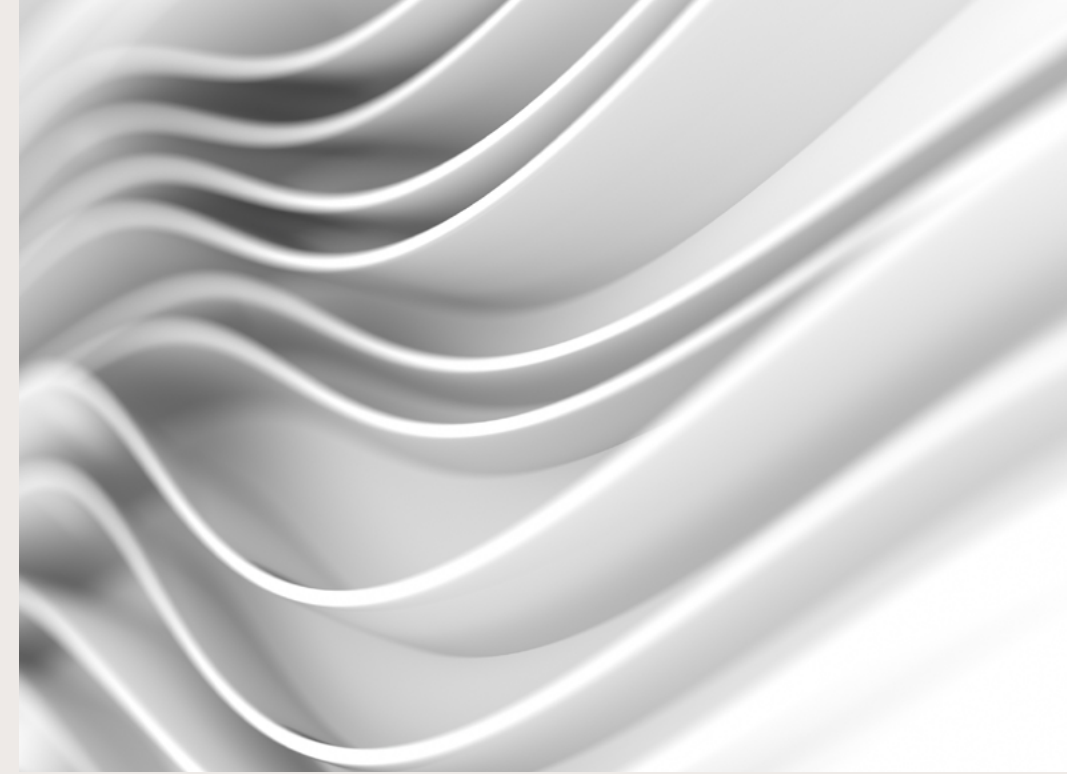
Compliance **confidence**
for visionary **growth**

About us

Founded in 2003, Cosegic provides assistance with FCA authorisation, SEC registration, ongoing consulting, prudential services, online training and compliance software. We service over 800 clients across the following sectors: wholesale investment firms (including hedge funds, private market firms, corporate finance and brokers), capital markets (including asset managers and broker/dealers), wealth management, payment services and cryptoassets, consumer credit and insurance and lending.



**Our breadth of
experience allows
us to balance your
business objectives
with your compliance
obligations.**



Cosegic's wide range of financial sector experts come together on a regular basis to discuss their interactions with the FCA and the regulatory trends that they are seeing, providing the consultancy a more informed understanding of the FCA than competitors, and ensuring they offer clients solutions that are most appropriate to their needs. This breadth of experience allows Cosegic to balance firms' business objectives with their compliance obligations.

To support firms in being both commercially successful, whilst managing their compliance risk, Cosegic actively works with clients to build compliance into what they do on a day-to-day basis, rather than a bolt on, or an afterthought. Cosegic has built its services and offerings specifically to help clients confidently navigate regulation to ensure they keep their vision and objectives intact.

**Compliance confidence for visionary
growth. *That is the Cosegic difference.***

Our Services

Our proven service offerings minimise your time and resources, reduce your regulatory burden and make sure compliance makes a positive contribution to your business



We have built our service offerings to help our clients confidently navigate regulation in a way that will keep their vision and objectives intact.



FCA authorisation and applications

We know what the FCA is looking for after successfully managing over 1,500 applications across all financial sectors. We work closely with our clients to ensure a complete application, which at the core reflects the client's business plan, reaches the Regulator, to help ensure authorisation is achieved efficiently.



SEC compliance and registration

Our in-house SEC specialist team can help with all aspects of an application for SEC registration, as well as a full ongoing advisory service following a firm's registration.



Compliance Advisory

We provide industry-leading ongoing consultancy services support which is constantly adapted to the ever-evolving regulatory environment. We also routinely solve client specific issues, offer ad-hoc project support, assist with changes in business structure and the effect and impact of new regulation on systems, policies, procedures and controls.



Regulatory Reporting and Prudential Services

Regulators expect firms to hold sufficient capital based on formulaic requirements, to regularly stress test liquidity risks and to have a robust wind-down plan. Our specialist Prudential Team can help you interpret the requirements and avoid common errors that are likely to lead to unwanted attention from the regulator.



Compliance training

Ensuring your management and staff receive appropriate compliance training is a requirement of the FCA's regulations. We offer two options, online training courses using our PortAll software and bespoke classroom training and workshops.



Financial Crime

Under UK legislation, relevant firms must be able to demonstrate that they have robust governance, effective risk procedures and adequate internal control mechanisms to manage their financial crime risk. We help a broad range of firms across all financial sectors, with a special emphasis on those organisations for whom financial crime is especially complex and demanding.



Compliance Software

Our compliance software offering, PortALL, is a compliance management and learning management system. Built by our own team, it offers a full suite of compliance training courses, as well as a user friendly, effortless way to assist its clients in meeting their compliance obligations by automating and streamlining key regulatory processes.

Our Sectors

We help clients across a broad range of sectors to manage their compliance obligations, minimising the regulatory burden and costs. Our success comes from focusing on defined sectors where we know we can make the greatest difference.

Wholesale Investment Firms

Our large team of wholesale industry experts work with clients including hedge fund managers, private markets firms, brokers and corporate finance firms.

Capital Markets

Our capital markets team use their experienced regulatory knowledge to help asset managers and broker dealers with a full service offering over a large spectrum of regulatory issues.

Wealth Management

Cosegic's experienced Wealth Management Team can help you interpret the regulations, using our in-depth knowledge to simplify complex regulations.

Payments and Cryptoassets

Our industry-leading team know the regulatory landscape inside out, with our experience extending from traditional and challenger banks, authorised e-money and payment institutions through to fintechs and cryptoassets.

Insurance, Mortgages and Claims

We advise clients ranging from insurance brokers, insurance companies, managing general agents and intermediaries involved in insurance mediation, such as motor dealerships and call centres.

Consumer Credit and Lending

We have eased the compliance burden for lenders and brokers as well as numerous consumer credit firms in sectors ranging from motor sales, healthcare and agriculture to retail, training, and utilities.

Why choose Cosegic?

01

Our 360 degree perspective of regulatory affairs

Our multi-sector experts frequently meet to discuss their interactions with the FCA and any regulatory trends they are seeing, providing us with a more informed understanding of the FCA than competitors.

02

Direct, proportionate advice

Our 360° perspective ensures that we have our fingers on the pulse of regulation, meaning the advice we offer our clients is practical, helpful and directly proportionate to their needs.

03

Our understanding of the role of compliance in firms

We have watched the evolution of compliance over 20 years and understand how compliance should become a core part financial services firms' businesses, in order for them to be successful.

04

Compliance confidence for visionary growth

Our experience allows us to provide a service that balances clients' business objectives with their compliance requirements, meaning they confidently navigate regulation whilst keeping their vision and objectives intact.

What is the Cosegic difference?

Our understanding of the regulatory landscape

We have been servicing clients with their compliance queries since 2003, and in that time that we have seen a great deal of evolution in compliance. With more responsibility being placed at the feet of senior management and firms having to prioritise the needs of the consumer more than ever before, we firmly believe that we are on the way to compliance becoming an integrated part of every process throughout financial services firms' organisations.

We have designed our service offering accordingly to ensure that our clients fully meet their regulatory obligations and adopt them easily, whilst seeking to minimise disruption to the day-to-day running of their businesses.

Our unique perspective of the Regulator

With increasingly complex regulation, businesses are seeking multi-sector specialist partners more than ever, to guide them through all aspects of their compliance journey. Our wide range of financial sector experts come together on a regular basis to discuss their interactions with the FCA and the regulatory trends that they are seeing.

This provides us with a more informed understanding of the FCA than our competitors, ensuring that we offer our clients solutions that are most appropriate to their needs.

Our investment in our employees

The investment in our employees is our first priority, as they make the Cosegic difference. We have a diverse and inclusive team, with a feeling of family that spans our organisation. We trust and help each other and speak up openly and honestly with no place for egos, politics or silo thinking.

We constantly work to create an environment where people feel respected and in which they know their voice will be heard, as this brings out the best in everyone, naturally resulting in the best service for our clients.

Inspiring compliance confidence

Our breadth of experience allows us to balance firms' business objectives with their compliance requirements. We have built our services and offerings specifically to help our clients confidently navigate regulation in a way that will keep their vision and objectives intact.



**Strong partnerships ensure
compliance makes a positive
contribution.**

Get in touch

Contact us now to find more about our services
and how these can benefit your company:

Cosegic Limited

Cannon Place, 4th Floor, 78 Cannon Street, London, EC4N 6HL

T: +44 (0)20 7060 4499

E: info@cosegic.com

www.cosegic.com