




COMPLIANCY SERVICES
INFORMING ACTION . INSPIRING CONFIDENCE

REGULATORY COMPLIANCE SERVICES **FOR CAPITAL MARKET FIRMS**

AN OVERVIEW OF OUR SERVICES





In this brochure we summarise the services that we offer firms in a broad range of Capital Market sectors that include:

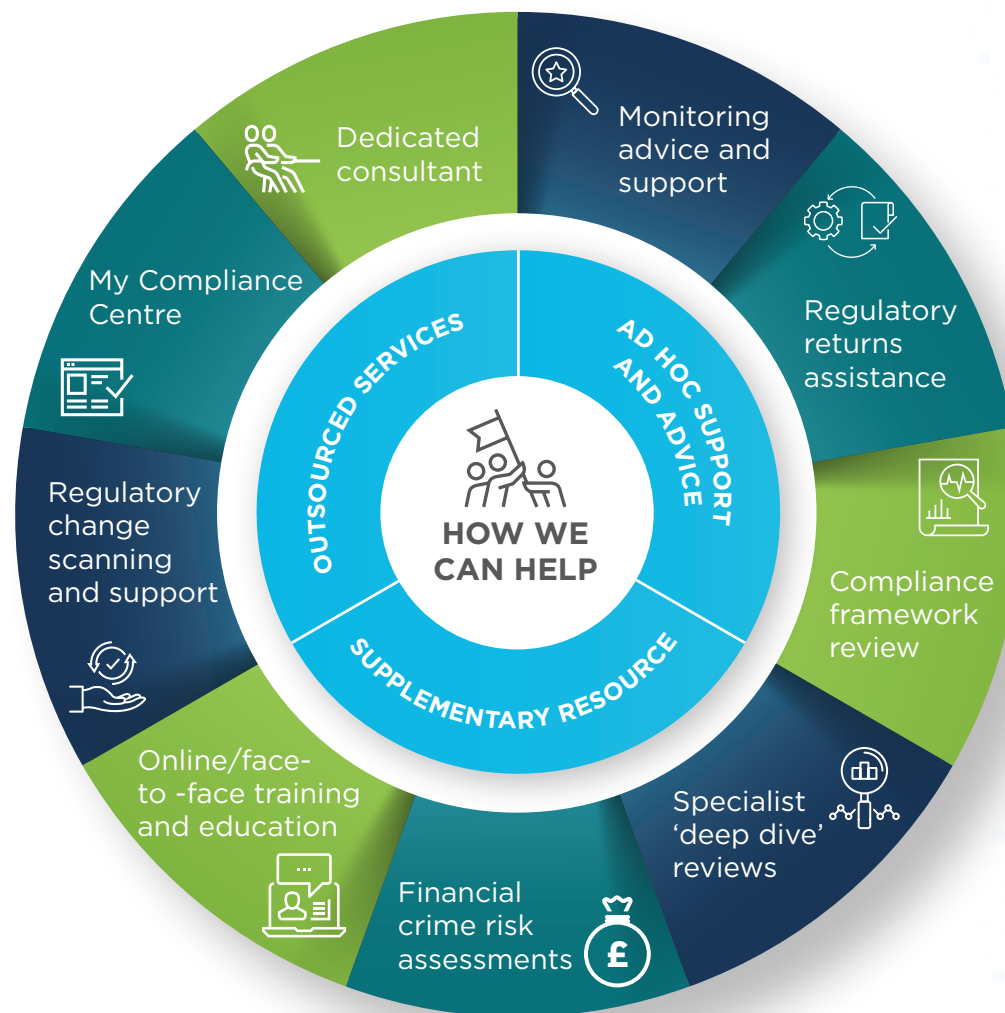
- Asset Management
- Broker Dealers & Traders
- Corporate Finance
- Crowdfunding
- FinTech
- Hedge Funds
- Infrastructure
- Investment Management
- P2P Lending
- Private Equity
- Real Estate
- Venture Capital
- Wealth Management

INCREASING REGULATORY DEMANDS

Financial services compliance is becoming increasingly more complex. Not only do regulators produce a continuous stream of regulatory updates, consultations and thematic reviews, but each year there seems to be something new - The Market Abuse Regulations (2017), MiFID II (2018), SM&CR (2019) and 5th Money Laundering Directive (2020).

With the growing spectre of greater personal liability, regulatory actions, and fines, it is more important than ever that you have the right level of resources, skills, knowledge and experience to manage your regulatory compliance obligations.

Many firms use a specialist consultancy firm to strengthen their compliance capabilities. Whether you're seeking a consultancy partner for the first time, or want to benchmark your current provider and costs, Compliancy Services offers a genuinely fresh perspective. A distinctive individual approach which allows us to craft a bespoke support package, rather than offer a 'standard' product or what you may have experienced previously. It's essential to providing you with compliance assurance and value for money.



RETAINED SUPPORT

Compliance Services support hundreds of firms in numerous ways, be it through regular compliance monitoring, reviewing or managing regulatory returns, online and classroom training, benchmarking, compliance assurance reviews and much, much more.

You may be a smaller firm which is seeking someone to manage your compliance on a day-to-day basis or a larger firm that is looking for specialist skills or to fill resource gaps.

With Compliance Services you benefit from a reliable, specialist compliance partner to help you meet your regulatory obligations. We answer your technical questions, we work with you to manage your regulatory risks and we support your firm as it evolves and grows.



Opposite are examples of solutions we have to the day-to-day compliance needs and challenges that firms can face.

Recognising that all firms are different in terms of their size, maturity, and complexity, we take the time to understand your firm and its requirements. For example, its business model, strategy, financial and resourcing challenges, risks, controls, and any concerns you have.

This allows us to tailor a compliance support solution to meet your precise requirements. We then review this, at least annually to ensure it remains appropriate and keeps pace with your company's evolution.

COMPLIANCE HEALTHCHECK

An independent assessment of whether your policies, procedures and documentation meet regulatory requirements. This gives you the peace of mind that you have the right compliance framework in place.

COMPLIANCE MONITORING

We can develop a compliance monitoring plan for you or review the effectiveness of your own plan. Once an approach is agreed, we can either execute the compliance monitoring plan on your behalf or subject your monitoring to independent review.

POLICY SUITE MANAGEMENT

As a regulated firm you must have adequate policies to comply with your regulatory obligations. At least once annually, we will review your policies and work with you to ensure these are up-to-date and fit for purpose.

FINANCIAL CRIME RISK ASSESSMENTS

You are required to periodically identify and assess the financial crime risks to which you are exposed as a result of the products and services you offer, the jurisdictions you operate in, customer types, transaction volumes and distribution channels. We can conduct such assessments or offer a robust independent review of assessments you have conducted yourself.

DATA PROTECTION REVIEW

Independent assurance that you have appropriate policies, procedures and documentation in place to mitigate the risk of non-compliance with data protection obligations.

REGULATORY FILING

You are required to make periodic regulatory returns. We can either review your submissions prior to them being sent or prepare these on your behalf. Our services cover up to 22 different types of returns.

CAPITAL ADEQUACY

All firms have a duty to meet and maintain required capital requirements according to their regulatory permissions. Depending on your firm type this may involve an Internal Capital Adequacy Assessment Process (ICAAP) and/or an Internal Liquidity Adequacy Assessment Process (ILAAP). We can prepare or review these assessments and supporting documentation, ensuring that your firm is complying with its obligations.

SM&CR FRAMEWORK

We undertake a thorough, independent review of your Senior Managers & Certification Regime (SM&CR) policies, procedures, systems and documentation. We seek to identify compliance gaps, offer recommendations for improvement, and support and/or manage any remediation work that is required.

SM&CR SYSTEM

Our simple to use cloud based application has all the tools you need to manage the requirements of the Senior Managers and Certification Regime. Built by subject matter experts, Compliancy.SMCR stores information, evidences compliance, produces reports and documentation, automates reminders and helps readily identify and address gaps in your compliance.

ADVICE AND SUPPORT

On demand and proactive support from your Account Management Team, which is led by a specialist Consultant. They can answer your questions, provide advice or deal with specific issues for you. A set number of hours support per month and the option to purchase additional hours, if your requirements change.

ONLINE/FACE TO FACE LEARNING

Our specialist e-learning system has over 30 training courses, in addition to which we offer a broad range of face-to-face training topics, from Financial Crime and Data Protection through to Market Abuse and Conduct Rules.

RESOURCE AUGMENTATION

We can offer highly qualified team members at various levels on a part-time or secondment basis and to fill key roles such as SMF 16 (Compliance Oversight) or SMF17 (Money Laundering Reporting Officer).



MY COMPLIANCE CENTRE™ – OUR CLIENT PORTAL

Underpinning and enhancing our service is My Compliance Centre, our proprietary online regtech portal. You will enjoy the Lite Edition as a free extension of our service. As well as being a gateway into other regtech platforms for e-learning and SM&CR, it offers templated documents, a range of compliance management tools, and summaries of regulatory developments that may affect your business.



REGULATORY UPDATES

Alerts about notable or relevant regulatory developments.



COMPLIANCE MANAGEMENT TOOLS

All the tools you need to manage your compliance in a single, shared platform.



TASK REMINDERS

Automated email reminders of when activities are due.



FILE TRANSFER

Securely share files and information with your Compliance Services' account team.



LIBRARY

A range of customisable policies, procedures, forms and letters.



REGTECH GATEWAY

Access other relevant regtech solutions, for example e-learning and SM&CR.



DEEP DIVE REVIEWS

We offer a range of particularly focussed consultancy services designed to assess your compliance and manage your regulatory risks.

The Compliance Healthcheck we offer, either stand-alone or as part of our retained support, ensures that the policies, procedures and documentation you have in place are sufficient to meet your regulatory obligations.

Our 'deep dive' reviews go further by offering a more detailed evaluation of the effectiveness of your compliance policies, procedures and systems and helping you to address any issues that are identified. For example, could the policies and procedures could implemented more efficiently, how are they communicated, adhered to and how do you manage breaches.

GOVERNANCE

- Governance Effectiveness
- Compliance Effectiveness
- Internal Audit Co-Sourcing
- Internal Controls
- Remuneration

FINANCIAL CRIME

- Financial Crime
- Onboarding
- Market Abuse

CONDUCT AND CULTURE

- Conduct and Culture
- Conduct of Business
- Conflict of Interest

CLIENTS AND PRODUCTS

- Financial Promotions
- Product Governance
- Dispute Resolution
- CASS

RISK MANAGEMENT/OPERATIONS

- Risk Management Framework
- Operational Resilience/Business Continuity
- Outsourcing
- Monitoring Appointed Representatives
- Transaction Reporting

We find time and again that our recommendations don't just help our clients mitigate regulatory risk, but offer the ability to benchmark against your peers, regulatory expectations and ultimately provide reassurance and peace of mind.

WHY COMPLIANCY SERVICES?



ABOUT COMPLIANCY SERVICES

INSPIRING CONFIDENCE. INFORMING ACTION

Compliance Services is one of the UK's leading providers of compliance consultancy and regtech services. Our services help firms become authorised by the Financial Conduct Authority or the Prudential Regulation Authority; to manage their ongoing compliance and regulatory obligations; and empower their staff with focused compliance training.

Our team of ex-regulators, industry practitioners and subject matter experts help to minimise the regulatory burden, offering practical, usable advice and solutions that work for your business and the regulator. It's through the breadth and depth of their collective expertise and experience that we provide an outstanding service and ensure that compliance makes a positive contribution to your business.

By using our proprietary online client portal, My Compliance Centre, you get access to regtech apps and time saving features that include your compliance monitoring plan, document library and management, automated task reminders, compliance registers and summaries of regulatory changes that affect your business.

It's a proven formula, we've successfully managed more than 1,100 new FCA applications and over 600 firms rely on our ongoing compliance support and guidance.



GET IN TOUCH

Contact us to discuss your compliance management requirements.

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