



Compliance Win Book

&
FAQs



By Compliance Consultant -
Real Stories, Real Impact



<https://ComplianceDoctor.co.uk>
0800 689 0190

Compliance Consultant
Making Compliance Work

Compliance Win Book

Six Real Examples of Transformative Compliance Success

 WELCOME

Dear Reader,

At **Compliance Consultant**, we believe that compliance is more than a legal necessity — it is a strategic foundation that powers trust, growth, and resilience.

Through years of partnering with small and medium-sized FCA-authorized firms, we have seen how a proactive and dynamic compliance approach not only meets regulatory requirements but also unlocks new opportunities for firms ready to grow.

This Win Book shares real examples of how firms turned challenges into achievements through intelligent, practical support.

We invite you to explore these stories and imagine what's possible when compliance truly works for you.

Let's make compliance your competitive advantage.

Warm regards,

Lee Werrell, Chartered FCSI

Founder and CEO

Compliance Consultant

"Making Compliance Work"

■ CASE STUDIES

Case Study 1: Wealth Manager – SMCR Upgrade

Sector: Wealth Management

Challenge: Gaps in Senior Managers & Certification Regime (SMCR) documentation and unclear responsibilities mapping.

Our Solution: Delivered an updated SMCR governance map, clear Statements of Responsibilities (SoRs), and implemented a simple Fitness and Propriety (F&P) tracker.

Impact: Successfully passed an FCA supervision visit with commendations on internal governance clarity.

Client Comment:

"Compliance Consultant made what felt like a regulatory maze into a straightforward path to success."

Case Study 2: Payment Services Provider – AML Overhaul

Sector: Payment Services

Challenge: Outdated AML framework and risk assessment post-Brexit changes.

Our Solution: Built a refreshed AML Risk Matrix, updated the AML/CTF policy, and conducted AML awareness training for all staff.

Impact: Passed thematic review without findings; risk rating improved internally.

Client Comment:

"They spotted risks we didn't know we had. Professional, clear, and practical."



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Case Study 3: Insurance Broker – Consumer Duty Implementation

Sector: Insurance

Challenge: No vulnerability assessments or product value assessments for Consumer Duty compliance.

Our Solution: Introduced a full Consumer Duty toolkit, including dashboards, outcomes testing templates, and vulnerability identification processes.

Impact: Successfully documented and integrated Consumer Duty into regular MI reporting cycles.

Client Comment:

"Finally, a framework that fits our scale and actually works operationally."

Case Study 4: Mortgage Advisor – Financial Promotions Audit

Sector: Mortgage Advice

Challenge: Use of non-compliant social media and website promotions without FCA-required disclaimers.

Our Solution: Conducted a full financial promotions audit, built compliant templates, and trained key staff on approval processes.

Impact: Increased engagement on LinkedIn and website traffic after compliance updates.

Client Comment:

"They cleaned it up, then levelled it up. Clear guidelines made it easy."



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The advertisement features a photograph of three professionals in business attire shaking hands. The text is arranged in a clean, professional layout with a mix of bold and italicized fonts. A hand icon points to the 'LEARN MORE' button.

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Case Study 5: Wealth Firm – Risk Register Neglect

Sector: Wealth Management

Challenge: Risk register outdated by more than three years and missing operational risks.

Our Solution: Built a live Risk Register integrated with quarterly governance reviews and board MI packs.

Impact: Boosted risk oversight and operational resilience audit results.

Client Comment:

"Our board packs are now actually useful for managing risk — not just a tick-box."

Case Study 6: IFPRU Investment Firm – Regulatory Reporting Breaches

Sector: Investment

Challenge: Consistent errors in RegData submissions risking FCA scrutiny.

Our Solution: Rebuilt the reporting workflow, implemented a four-eyes review control, and ran refresher reporting training for the compliance team.

Impact: Achieved 12 months without submission errors and improved regulator confidence.

Client Comment:

"From red flags to best in class in just three months."



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■ OUR TRIED & TESTED METHODOLOGY

1. How We Work:

- **Discovery Phase:** One-to-one consultation call and initial gap analysis
- **Deep-Dive Review:** Focused investigation of key compliance areas
- **Targeted Upgrades:** Delivery of actionable solutions, templates, and risk mitigations
- **Audit Trail:** Production of Compliance Continuity Reports with clear next steps

We tailor every review to fit the specific profile and permissions of each client — **no cookie-cutter templates** here.

■ Ready to Future-Proof Your Compliance?

Our Continuity Check-Up programme offers bespoke, agile solutions without the heavy costs of full-time compliance hires.

Book a free discovery call today to learn how we can make compliance work for you.

 info@complianceconsultant.org

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**COMPLIANCE
BUSINESS TALK**
Get The Facts

**FREE & NO
OBLIGATION**



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Free Online Discussion
For up to 30 minutes
**Speak to the
Specialists**

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Frequently Asked Questions (FAQs)

1. How is Compliance Consultant different from other regulatory consultancies?

At Compliance Consultant, we take a unique approach to regulatory compliance. Unlike larger consultancies that offer one-size-fits-all solutions, we focus on tailoring our services to fit the specific needs of your business. We understand that no two companies are the same, so we create bespoke compliance strategies that align with your unique objectives, regulatory landscape, and internal culture.

2. What makes your solutions bespoke and tailored to my business?

We listen closely to your needs and challenges. By understanding your business model, risk profile, and compliance objectives, we craft a solution specifically for you. Our process includes a thorough review of your current systems, policies, and processes to ensure our recommendations fit seamlessly into your operations, ensuring efficiency and compliance.

3. How do you ensure you understand my company's specific needs?

We believe in communication and collaboration. From the initial consultation to ongoing engagements, we focus on understanding the nuances of your business. We take the time to ask the right questions, gather insights, and involve you in the process, ensuring that every solution we offer is grounded in your reality. Your feedback shapes our approach every step of the way.

4. What happens after we engage your services?

Once we've completed our engagement, we don't just disappear. We offer a comprehensive 12-month enquiry service, meaning you have access to ongoing support for a full year post-engagement. If questions or issues arise as you implement our recommendations, we're here to help, ensuring your compliance strategies remain effective and adaptable to any changes in your business or regulatory environment.

5. Can I rely on you for ongoing support and advice after the engagement?

Absolutely. Our 12-month enquiry service provides continued support and advice even after we've completed our formal engagement. Whether you encounter a new compliance challenge or need clarification on our recommendations, we're available to assist you with any queries you have. This ongoing partnership ensures you stay on track and ahead of any regulatory changes.



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6. Do you offer standardised templates or approaches, or do you customise everything?

While we have proven frameworks and best practices, we don't believe in using standardised templates. Every business is different, and our approach is to fully customise our services to meet your specific compliance needs. Our solutions are flexible, scalable, and designed with your business in mind.

7. How do you help my business stay compliant with evolving regulations?

Regulations are constantly changing, and staying up-to-date can be a challenge. Our team keeps a close eye on any regulatory shifts, and we proactively update your compliance strategy as needed. You'll never be left in the dark—our bespoke approach ensures you're always prepared for new or changing regulatory requirements.

8. How do you ensure your recommendations are practical and implementable?

We focus on creating solutions that are not only compliant but also practical. By involving you throughout the process and understanding your day-to-day operations, we ensure our recommendations are actionable and integrated smoothly into your business processes. Our goal is to make compliance manageable and beneficial, not burdensome.

9. How can I trust that your recommendations will add value to my business?

Our approach is designed with both compliance and business growth in mind. By understanding your unique business challenges, we ensure our solutions don't just keep you compliant, but also help you optimise operations, reduce risks, and build trust with stakeholders. Our results speak for themselves—by working closely with clients like you, we've helped numerous businesses achieve lasting compliance success.

10. What if I need additional support after the 12-month enquiry period?

Our commitment to your success doesn't end after 12 months. If you require further support, we offer ongoing consultancy services at competitive rates, ensuring your business continues to thrive in a compliant environment. Our goal is a long-term partnership that adapts to your evolving needs.

ⁱ Additional projects or development to the original will be quoted at the costs applicable at that time.

