

REGULATORY COMPLIANCE CONSULTANCY

Bespoke Solutions

Compliance Consultant

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COMPLIANCE
CONSULTANT
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Compliance Consultant

“Making Compliance Work”

Helping To Identify The Resources You Need

The Financial Services marketplace is subject to increasing scrutiny and oversight, additionally the financial and reputational expense of making mistakes keeps growing.

THE SENIOR MANAGERS & CERTIFICATION REGIME

Numerous regulatory initiatives impact the industry each year on both a local and international level, making further requirements on all firms to become more aware of legislation and reporting at different levels across their organisation.

Combined with the struggle to maintain robust and effective systems and controls on their existing business, as new rules are implemented, is in itself, creating further risks and increasing the need to change the business models.

Conduct and Operational Risk frameworks require both horizontal and vertical integration to ultimately affect strategy and drive out greater opportunities.

We have a “100-point” project plan to ensure you are properly ready for the 9th December deadline. You can engage us to benchmark your business, create a risk management framework and implement the changes for SMCR from the SORs to The Directory, or purchase the project plan from us and run it yourself.



It's A Fact - 80% of Businesses Fail

The reason many fail is not down to economic down-turns, legislation or changes in fashion, but simply a failure to review and execute an effective strategy.

This does not mean they don't know how to run their business, it means that they have not been able to absorb and appreciate all of the recent regulatory changes.

You may be a business with a solid business plan, perhaps a firm that doesn't fully use the Balanced Scorecard, an established business with a new business idea, have needs for strategic development, a firm that is sick of the ups and downs of business life where it seems almost impossible to get stability and growth at the same time, we can help focus your efforts and streamline your processes by benchmarking your risk management and creating a framework.

Pathfinder Evolution is a way to provide you and your firm with long term sustainable growth, development of a great culture. We achieve this together by using the Balanced Scorecard and Strategy Map that we compile over time together, help your sales, marketing, and ultimately your whole developed and comprehensive business plan generate a clarity that gives you the market leading edge.



COMPLIANCE MONITORING PROGRAMME

As we all know, firms are required to have a Compliance Monitoring Programme (CMP). This effectively follows and tests the processes in governance and operation and then outlines and assess the risks against any regulatory rules applicable. The firm is obliged to carry out certain tests to prove these risks are being mitigated Any 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.

DEEP DIVE OR CYCLICAL ASSESSMENT?

Compliance coaching with preparation and handling of regulatory visits. Due to our experience with the UK regulators, previously appointed as a “skilled Person” for S166 Report work, 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.



COMPLIANCE MENTORSHIP PROGRAMME

We can help guide you through the regulatory maze, provide challenge and lead you into areas that you may not have considered. We can offer a fresh view of all your regulatory challenges from clarify mapping your regulatory universe through to complaints analysis and assessment.

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.

RESPONDING TO A S166 SKILLED PERSONS REPORT OR MANAGING A RISK MITIGATION PLAN (RMP) TAKES CARE AND SKILL

RISK STRATEGY FORMULATION

For ICAP, a worldwide Inter-Dealer Broker we were faced with strategy setting involving defining a risk appetite and applying identified risks across the strategy for the next three years. Advising on strategy setting to an existing highly profitable organisation required a great amount of dexterity and understanding of the previous regime before we identified the way to enhance the existing strategy and provide links to the other areas of effective management.

We redesigned the global risk framework and saved them 18% of their regulatory capital, £99M.

EXPERIENCE & PROFESSIONALISM

When it comes to financial regulatory compliance, you don't simply have to be right; you have to record it in the right way.

At Compliance Consultant we know and appreciate the need for good governance, best practice adoption and delivering coherent strategies for our clients in the complex and fluid world of financial regulation.

Compliance Consultant is a regulatory compliance consultancy firm specialising in offering bespoke regulatory expertise to a discrete and select group of clients. We make sure that quality takes precedent over quantity. Key to our success is the successful and long-term development of close business relationships with our clients. Couple this with extensive qualified practitioner compliance experience as well as being able to offer regulatory insight and we are obviously ideally situated to assist all sizes of firms.

Founder & CEO, Lee Werrell Chartered Fellow of the Chartered Institute of Securities and Investment (FCSI) and a Fellow of the Institute of Sales Management (FISM).

Compliance Consultant and is also a member of the Association of Compliance Consultants (APCC). The APCC is the only trade body of its kind recognised by the UK regulators

**COMPLIANCE CONSULTANT PROVIDES A TOTAL
END TO END SOLUTION.**



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