COMPLIANCE CONSULTANT AN INTRODUCTION

COMPLIANCE CONSULTANT
0203 815 7939

FCA Authorisation Assistance

Thought Leader: Compliance Specialist
www.complianceconsultant.org

Introducing Compliance Consultant

We are delighted to present our company for your consideration in the areas of ad-hoc regulatory compliance support, niche projects and in the provision of ongoing compliance support.

Firstly, we would like to thank you for taking the time to consider your needs further and for looking at the services of Compliance Consultant. It is our belief that any successful company operating in UK Financial Services requires an attentive, supporting and active response regulatory consultancy service, which may include:

- assistance with a compliance change project;
- ongoing compliance support; and
- ad hoc regulatory compliance advice, as required.

In the difficult market environment, it is vital to have regulatory consultants able to provide a high-quality service through:

- thorough understanding of industry risks and issues you face;
- detailed knowledge of the ever-evolving regulatory environment
- the increasing changes to the FCA and their regulatory expectations and standards;
- championing best but pragmatic, cost-effective practice and being a catalyst for improvements to your growing business; and
- dealing effectively and efficiently with any work required.

Undoubtedly you need regulatory consultants that are appropriate for tomorrow's environment. You require a firm with not only verifiable skills and experience in the industry, but also the capacity to deliver seamless regulatory support services that match your requirements.

Compliance Consultant has built its business by concentrating on developing expertise in specific industry sectors. Recognised as a ‘thought leading’ adviser we continually develop our services to meet clients' needs. Our success is based on client relationships that last, built on transparency, technical expertise and, most importantly, adding commercial value through the work we do for our clients.

We believe that Compliance Consultant is well placed to meet your requirements. Indeed, we would be delighted to act for you. Any proposal we provide, therefore, will set out how we will work in partnership with you, our services and the associated costs. We believe we offer you the information you will need to feel confident in choosing Compliance Consultant. However, if you would like more information please do not hesitate to call.

OUR SERVICE TEAM

Key to providing you with the kind of service you deserve are the relationships formed, at all levels, between our people and yours.

Our philosophy when working with clients is to make sure that their needs are our priority, and it is this principle which will form the basis of our relationship. Our specialist team has an in-depth understanding of the financial services regulatory sector and would prove crucial for any future determinations you may have to make.

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OUR TEAM IS HEADED BY:

LEE WERRELL CHARTERED FCSI MISM
lw@complianceconsultant.org

Lee is the owner and CEO, taking responsibility of our Regulatory Consulting team and has been a regulatory professional since 2000. He has a detailed knowledge of FCA, PRA and European regulation affecting numerous types of firm and a variety of retail and wholesale products/financial instruments. Lee is FHEQ Level 6 industry qualified through the CISI Compliance Diploma. FHEQ Level 6 is the equivalent of a degree with honours.

Lee has often white-labelled his services and filled gaps in top-tier consulting practices providing regulatory expertise to clients and has also held Board Level positions at a number of different firms where he has been accountable for compliance, risk and anti-money laundering as well as marketing. This enables him to bring a commercial insight and appreciation from both viewpoints to provide effective and practical regulatory solutions for clients. Assisting Compliance Officers and Money Laundering Reporting Officers he has undertaken large Financial Crime, Remedial and Change projects for a range of brokers, banks and FTSE100 companies.

Compliance Consultant additionally has Pension Transfer, Buy & Sell Side, Training & Competence, Banking, Stockbroking, Training, Risk Management, AML & KYC, GDPR and a complete range of specialities from file reviews through to S166 assistance experts.

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PARTNERING WITH YOU

Below we provide an overview of the services we will provide.

We can provide fixed price project fees if you prefer.

ONGOING RETAINED REGULATORY SUPPORT

Once you have been authorised, Compliance Consultant can also be available, should you wish to engage us, to provide regular ongoing compliance monitoring support and advice.

We can conduct on-site compliance reviews on a monthly, quarterly or six-monthly basis, in accordance with your requirements, ensuring that all areas in the Compliance Monitoring Programme are covered and that this is documented appropriately in your records, policies and procedures.

Our retained service offerings are made up of three core components to help your business remain compliant. The main difference between the services are the frequency and level of support resource provided.

- Monthly support
- Quarterly support
- Six-monthly support Activity Frequency

Many firms find that the pressure of having to keep up-to-date with the volume of regulatory publications, hot topic areas of focus and rule changes is onerous. This is often reflected in their compliance monitoring which is often not updated, not focused on the high-risk areas or insufficiently thorough.

Our retained services are tailored to meet the needs of your Firm. Whichever package you choose, we often tend to find that our clients gain a great deal of value having our specialist consultants regularly bringing expert knowledge and insight into their business from all the specialist areas of our business.

Our comprehensive approach usually consists of:

a) Face-to-Face support- completing or assisting in your routine compliance activities - on a suitable frequency set out above;
b) horizon scanning; and
c) ongoing telephone and email assistance - available to you every business day.

In each of our support packages, we also provide our clients with weekly regulatory updates via our digest service delivered straight to their inbox each Friday.

AD HOC ADVICE AND ASSISTANCE

As a regular service to our clients, we can provide additional ad hoc advice via telephone and email to assist you with any compliance issues and address any queries you might have for us.

We will be happy to assist you in addressing any queries the FCA may raise during any review of your business. Should you also require assistance with the preparation of a Compliance Manual and any policies and procedures as required, we will be happy to draft these for you at a heavily discounted price.

In addition, should you require support on larger projects in specific areas, for instance, client file reviews, preparation for a thematic review or assistance with your corporate governance policy, training or ICAAP (where required), we will agree with you an appropriate action plan beforehand, including an estimate of time and costs involved.

ONGOING RETAINED REGULATORY COMPLIANCE SUPPORT.

On-site compliance reviews on a monthly, quarterly or six-monthly basis, in line with your requirements:

POTENTIAL AREAS FOR ADDITIONAL SUPPORT

Our indicative costs.

Monthly face-to-face £ 1,000 - £ 1,300 per month.
Quarterly face-to-face £ 850 - £ 1,150 per month.
Six monthly face-to-face £ 550 - £ 800 per month.

In providing these fee estimates we have included an indicative range based upon general information for your sector and business model, however the scope of work and our final fees will be agreed with you once we have full view of the Firm's permissions and you have clarified your requirements.

AD-HOC ADVICE AND PROJECTS.

This will be provided as a pay as you go service for any support you may require beyond the scope of the Retained Service above. Whether it is related to drafting a new policy, training or simply answering a query you may have at any given time, the scope of work and a fee estimate will be agreed with you beforehand. The cost of our ad-hoc services will indicatively be charged on the basis of time spent at our hourly rates as follows:

Resource	Hourly rate.
Director	£ 165 ph.
Associate Director	£ 128 ph.
Managing Consultant	£ 103 ph.
Senior Consultant	£ 85 ph.
Consultant	£ 65 ph.

OUR GUARANTEE

We guarantee to beat any ‘like for like’ quote by at least 5%

If it is a standard consultancy project with clear outcomes, we can always guarantee to beat it as we operate on a lean, just in time basis.

CALL US TODAY ON 0203 815 7939

‘HONEST' FEES

Before each assignment commences we will agree which of our proposed rates applies and the budgeted number of days for the expected completion of the assignment. We will conduct careful initial detailed budgeting at staff member and activity level. We will also offer a fixed rate for the service.

We guarantee to beat any ‘like for like’ quote by at least 5%

OTHER SERVICES

We will agree terms of reference/letter of engagement and fees for any additional work in advance.

We provide several “off the shelf” templates, if you wish to amend yourself.

Compliance Manual Template

Anti-Money Laundering Template

As well as a number of other policy templates – details available on request.

FLEXIBILITY

The clock does not start running as soon as we pick up the phone to a client. If you have a challenge, we want to encourage you to call us as early as possible, since our aim is to resolve issues before they become problems. We will not charge you for general telephone calls, but obviously will charge you if further action is required and, of course, formally agree our fees with you beforehand.

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BILLING ARRANGEMENTS, INCLUDING PAYMENT TERMS.

The firm has a 30-day payment terms. Our proposed fees exclude necessary disbursements, like travel, which will be billed at cost, and VAT (if applicable), which is payable at the standard rate prevailing at the time of billing.

Billing is usually conducted fortnightly.

RELEVANT EXPERIENCE.

Compliance Consultant has the expertise and experience to meet your needs.

EXPERTISE, KNOWLEDGE AND RESOURCES

The Regulatory Compliance Team is the fastest growing and dynamic teams within Compliance Consultant. Client gains come not only from financial services businesses that need regulatory-focused expertise that even larger firms cannot provide, but also from start-ups, referrals and even clients of the Big 4 who are trying to find a partner-led, responsive service and value for money.

We don't operate from flashy, swish city premises. We run a lean and reactive mobile team. At the heart of our success is a team with niche expertise knowledge and qualification, gained from working in-depth at the heart of major City financial businesses, the regulators and key people within the industry. Because we advise many FCA-regulated clients, we understand that maintenance of robust systems, policies and procedures, compliance with the regulations as well as hitting deadlines are crucial. We are also long-term members of the Association of Professional Compliance Consultants (APCC) the only trade body recognised by the regulators.

We currently act for several UK Financial Services regulated entities and our clients include CFD traders, asset managers, wealth managers, private equity Firms, currency traders, stock brokers, corporate finance firms, investment funds and insurance firms.

REGULATORY COMPLIANCE EXPERIENCE AND EXPERTISE

We provide all regulated clients with help and support and advice, and often act as a sounding-board for their ideas and concerns. We advise many clients on regulatory related matters, helping them achieve full compliance and providing advice, when needed, on appropriate regulations.

We also perform FCA compliance health check audits and we have a depth of experience of aiding with the implementation of Change Projects and Risk Mitigation Programmes (RMP).

Examples of our services include:

- assisting with Part 4A permissions applications and Variation of Permission applications to the FCA/PRA;
- file review projects for clients covering suitability, appropriateness and a range of other conduct of business areas;
- regulatory health check audits;
- regulatory training;
- reviewing and advising on all required FCA compliance policies and procedures;
- undertaking regulatory project work, including s166 Skilled Persons reviews;
- Process assessment and remodelling;
- undertaking outsourced compliance monitoring;
- review and updating compliance manuals/plans and monitoring programmes;
- reviewing and advising on corporate governance structures and arrangements;
- managing issues raised by the regulators;
- Crisis Management planning
- Strategy for growth preparation (*ask for Pathfinder*)
- consultancy advice on ad hoc, and
- regulatory issues;

WHAT MAKES US DIFFERENT

Our company believe the expertise and experience of the Regulatory Compliance team at Compliance Consultant provides our clients with a unique, flexible and cost-effective offering.

UNDERSTANDING YOUR BUSINESS

The very nature of our work enables us to gain a unique, detailed knowledge and understanding of your business and what makes it prosperous. We truly believe that we have the knowledge and experience to understand exactly what rules and requirements would be applicable to your business.

Because of this, we have the ability to identify risks as well as any areas for potential improvement. The continued development of a strong, long-term relationship will not only allow us to focus on your specific strategic needs, but will also allow us to feedback insights, suggested improvements and intelligence to senior management.

ACCESS TO HIGH LEVEL EXPERTISE

We recognise the importance to our clients of easy access to excellent quality, professional advice. As such, the directors and senior consultants on the team will not only lead the assignment and ensure the utmost quality and efficiency, but will also be highly visible to your senior management.

PROACTIVE ADVICE.

We see keeping you informed on advancements as a component of developing the relationship between our two firms. We will keep you up-to-date with new requirements and industry best-practice through regular meetings, our newsletters, email alerts and keeping you informed of any relevant seminars. We recognise the importance to our clients of easy access to our experts.

ADVISERS THAT CAN MEET YOUR NEEDS

The next few years will be tremendously important for your Firm to achieve its commercial objectives. Compliance Consultant can meet your needs both now and in the future. We have significant experience of collaborating with financial services sector firms and are able to identify the areas where the Firm is likely to need assistance, as regulation changes. Our proactive, 'hands-on' approach will ensure that you have the support you need throughout the Firm's lifecycle.

CERTAINTY OF COSTS

We always take an honest and clear approach to fees, to ensure that both clients and ourselves receive value from a relationship. We take pride in this principle and believe this sets us apart from our competitors.

CONTACT US

To help your company get the best advice and cost-effective support,
CALL US NOW ON
0203 815 7939

Making Compliance Work!

WHY COMPLIANCE CONSULTANT?

This document demonstrates that Compliance Consultant can meet your needs as they arise.

The numerous features of our service offering are summarised below:

A strong team: we have people that you know and can trust, and our team possesses the right skills and credentials to meet your needs. We will build a strong and valuable relationship with your team to ensure that we provide a positive and beneficial service.

Breadth of service: as a leading professional services firm we can offer all the regulatory, advisory and compliance services that you may require, providing a 'one-stop-shop' facilitated by our client liaison.

The right reputation: tradition and integrity combined with thoughtful innovation means that Compliance Consultant will reflect and support your high standards and position. *At the time of writing (Sept 2018) we are the only compliance consultancy with a 5* rating on Google.*

The right price: we are sensible in calculating our fees, to ensure that both of our organisations receive value from the relationship.

COMPLIANCE CONSULTANT CULTURE

Our objective is to assist businesses grow successfully and sustainably against the background of an improving economic climate. This is supported by our central philosophy to provide excellent services, across a broad variety of activities, with an over-riding emphasis on personal contact; we do not just want to provide a service, we want to partner with you as a trusted business adviser. The following values embody the kind of firm we are and what we want to be, and guide us in everything we do:

DELIVERING EXCELLENCE AND VALUE

We are consistent, reliable and dedicated to quality and service excellence, in all we do. We understand what real value is, and how to deliver it. This means being commercially astute, robust in our advice and being a reliable partner and expert adviser.

WORKING AND GROWING TOGETHER

Whether with clients or colleagues, we build relationships that are genuine and enduring. Our company believes in teamwork, collaboration and respect. It is very important to us that we enjoy collaborating. We listen, challenge and support each other so that we, our firm and our clients all develop, grow and succeed.

DOING WHAT'S RIGHT

To us, this means a lot more than simply upholding professional standards. It means being open, honest, straightforward and fair in every interaction, whether inside our firm, with our clients or in the wider community. We are accountable and take responsibility for our actions.

MAKING THINGS HAPPEN

We are ambitious, innovative and always seeking to improve. We encourage initiative and new ideas. Our company believe opportunities are there to be created and make room for people to pursue them. We don't sit back and wait- we explore, we adapt, and we progress.

ENSURING CUSTOMER SATISFACTION

As a firm, we understand the importance of listening to our clients and taking their views on board and therefore take client feedback, both positive and negative, very seriously. We are keen to understand what we do well, where we can improve, and how we can anticipate and meet our clients' changing needs.

OUR PROMISE

Whatever your project we have the right consultants.

Due to our extensive network we also have connections with huge number of specialists at realistic cost.

CALL US NOW ON
0203 815 7939
Or email
macairns@complianceconsultant.org

MAKING COMPLIANCE WORK!

The main method of obtaining feedback is an online survey, sent annually to clients. This survey asks a range of questions about the client's experience with Compliance Consultant, including quality of services, timeliness and viewpoints on the assigned service team. Feedback received is discussed with the relevant team members, with further discussion of any negative feedback to ensure that improvements are made. Similarly, positive feedback is also shared amongst relevant teams, so that positive behaviours and actions can be repeated and developed further.

With us you always have direct contact with the owner, whatever your issue may be.

Our critical success factors for all projects are profit centre buy-in, client response rates, timely remedial action, tiered analysis, integrations with other processes and change management.

Contact Details

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