

Regulatory Services

Regulatory adherence can be a time consuming but essential business within a regulated Firm. Non-compliance however, can prove far more costly in terms of reputation, management time and financial outcome. The Compliance Unit can assist your organisation with your regulatory obligations. All our consultants are Compliance Officers and have a wealth of knowledge and experience.

You can have the reassurance and confidence that our consultants understand the regulatory challenges to your business and will deal with them in a professional, practical and efficient manner to ensure your company achieves its goals.

Services offered include:

- General Compliance Advice
- Assistance with the submission of an Authorisation Application
- Compilation of Compliance Manuals and Associated Documentation
- Devise/Maintain Monitoring Review Programmes
- Money Laundering Training
- Compliance Advice on the Implications of Strategic Developments
- Complaint Resolution Assistance
- Advice on Remedial Action following Regulatory Breaches
- Regular Health Checks and Review Visits
- Regular Business and Regulatory Risk Assessment

Key People

- [Janice Riches](#)
- [Mark Thomas](#)

Links

- [Company Formations](#)
- [Filing Statutory Documents](#)
- [Information Resources](#)

Follow us on:

