



COMPLIANCE HEALTHCHECK



Does your compliance framework meet your regulatory obligations? Even in the best run organisations there can be failings.

Our efficient and effective Compliance Healthcheck gives you the comfort and peace of mind that you have the necessary and appropriate compliance processes, procedures, manuals and documentation in place. If not, you will have a plan of action to remediate any weaknesses or failings identified.



WHO IS IT FOR?

Capital Market firms that are authorised and regulated by the Financial Conduct Authority. This includes Asset Managers, Broker Dealers & Traders, Corporate Finance firms, FinTechs, Investment Managers, Private Equity firms, Venture Capital firms and Wealth Managers.



WHAT ARE THE BENEFITS?

- Provides, where relevant, evidence that your firm's compliance framework meets its regulatory obligations.
- Identifies any weaknesses or failings in your current compliance framework and can help to remediate any area requiring attention.
- Helps a firm, and relevant individuals within it, defend themselves in the event of a regulatory enquiry. Are you or the relevant Senior Manager function holder 'taking reasonable steps' relative to your firm's compliance framework?
- Offers an independent review which can often be required as part of your governance processes and to satisfy your senior management.
- Allows you to allocate resources more effectively to areas that require improvement.

Contact us to discuss
Compliance Healthcheck on
+44 (0)20 7060 4499 or
info@compliance-services.co.uk

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

What makes us stand out is the skill and expertise of our team and Compliance Select, our proprietary online client portal.

You can find out more at www.compliancy-services.co.uk.

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HOW DOES IT WORK?

Compliancy Services use proven methodologies embedded in Compliancy.CAM, our compliance assurance regtech application. This enable us to efficiently carry out a high-level review of your firm's compliance processes, manuals and documentation against the obligations set out in the Financial Conduct Authority Handbook.

The objective is to provide a reasonable assurance that you have sufficiently robust compliance controls in place to mitigate the risk of non-compliance with the rules and regulations. Controls can include documents such as policies and procedures, training, organisation structure, management information, independent checks, verifications or approvals.



WHAT ARE THE DELIVERABLES?

You will receive a detailed Compliance Healthcheck report. This will use a RAG rating to highlight gaps and areas that require attention, for example missing or incomplete policies or procedures.

The Compliance Healthcheck does not test that your controls are efficiently designed or whether they are operating effectively and it does not fix any of the issues identified. If you would like a broader and more comprehensive review, we can provide details of that expanded service.



HOW OFTEN DO WE NEED A COMPLIANCE HEALTHCHECK?

We would normally recommend an annual Compliance Healthcheck. However, there may be reasons to undertake this more often, for example a major restructure of your business or in the event of a merger or acquisition.