

# Compliance on Demand

**Taking swift, decisive and informed action is necessary to mitigate risks, but how can you be sure you'll get the right results?**

Throughout your project, you'll have access to a dedicated consultant, chosen for their wealth of experience and pragmatic, friendly approach. They'll keep your project on track using carefully structured plans and regular reviews.

Each project is customisable, some of our most popular options are shown below:

## FCA authorisation

Let us take the fear factor away from the FCA application process and ensure that you make a clean submission, helping you get set up more quickly.

## Client money

Our CASS experts can review your client money handling procedures, including a full review of Insurer TOBAs and placement strategy.

## Staff training

Even experienced members of staff can find meeting the IDD CPD requirements challenging. Our face-to-face training is memorable and effective.

## Conduct risk

We can review your transition from TCF to Conduct Risk and ensure that you can evidence how your approach has been embedded in your decision-making processes.

## Compliance audits

Our audits are as thorough as the FCA's but include pragmatic advice and an action plan to ensure that any areas of noncompliance are soon back on track.

## File reviews

We can audit a selection of files from an individual or department to give you peace of mind or identify where further action is needed.

## Gabriel completion

Our experienced consultants can be added as Gabriel users, deliver on-site or remote assistance to ensure that you submit accurate returns and provide relevant fee data.

## Specific topics

We can review a specific area of your business and ensure you know how to achieve and maintain compliance. Topics vary from training to sales, complaints to governance and oversight.

## FCA

We can help you provide information or support you during an investigation. With our experienced consultants on your side, you'll soon feel more in control.

## Buying a business

Are you worried that you're missing something? Let us delve into your potential acquisition and check for compliance red flags.

## Selling a business

We can help you ensure that there are no nasty compliance surprises which can affect the worth of your business.

## Post-acquisition

We're experts in helping new teams bond through the implementation of shared processes. Let us prime your business for future growth with our post-acquisition consultancy.

**For more information, call us on 01892 539 600**