



Compliance Consulting Overview

Since RQC Group was founded in 2007, we appreciate how significantly the regulatory landscape has changed for our clients in the asset management and wholesale industry.

Throughout this time, we have prided ourselves on our ability to help clients interpret and implement new regulatory initiatives, working as a valued partner to their businesses.

Compliance consulting is at the core of what we do, and will continue to be so as we grow.

FCA compliance

Our team of experienced FCA senior regulatory consultants can help with all stages of FCA authorisation and regulation, from the initial application to the FCA, ongoing compliance support and assistance as well as ad-hoc project work.

SEC compliance

We can help you navigate your way through the SEC registration process as either a Registered Investment Adviser or Exempt Reporting Adviser. We can also provide you with on-going compliance support as well as undertake project work such as SEC Mock Audits and Annual Compliance Reviews.

CFTC/NFA compliance

Our team of experts can help you register as a Commodity Pool Operator or Commodity Trading Adviser and assist you with your on-going compliance obligations, including preparation and submission of Principal and Associated Person applications.