

FCA Compliance Services

Over the last ten years we have guided our clients through the ever-evolving regulatory landscape. We have helped clients tailor their compliance infrastructure in response to revised regulatory obligations brought about by the implementation of new European Directives such as MiFID II and AIFMD, as well as new FCA regimes, including the Senior Managers and Certification Regime.

Our senior consultants work together to ensure that we share our experience and knowledge to deliver industry-leading advice to our clients.

Our FCA compliance services include:

- Assistance with FCA Authorisation and Event Driven Reporting
- Provision of on-going compliance advisory assistance
- Ad-hoc assistance, including Project Work

FCA Authorisation and Event Driven Reporting

At RQC Group we have an experienced in-house applications team responsible for managing your FCA application. For FCA authorisations we will project manage the application process from collating required documentation, to completing relevant forms and assisting you with responding to enquiries from the FCA Case Officer.

For firms already registered, we can also assist you with FCA Event Driven Reporting, such as Variation of Permission or Change of Control applications.

Collectively our applications team has processed over 500 FCA applications. We have unparalleled experience across our sector so you can be secure in the knowledge that our advice on how best to proceed is based on first-hand experience and will meet the FCA's expectations.

On-going compliance

Our in-depth understanding of regulatory requirements and industry best-practices allow us to act as an additional compliance resource so that we can provide you with solutions that are specific to your firm.

We provide a wide range of FCA compliance monitoring services which can be tailored to your needs. We typically like to work with clients on an on-going, retained basis as it allows us to work proactively and better understand your business and risk appetite. Our approach to compliance consulting ensures that our recommendations are always pragmatic, as well as commercial. Our consultants take great efforts to work collaboratively, which allows you to leverage our experience and knowledge of the regulatory issues we see across our client-base and the wider industry.

Our on-going compliance monitoring services start with a comprehensive initial assessment by two senior consultants to learn about your business and identify any priorities. On-going compliance monitoring is undertaken by a senior consultant dedicated to your firm who will follow up visits with any recommendations intended to strengthen your compliance programme. Our written reports can be provided to the Fund Boards, Regulators, Clients, Investors as well as other External Stakeholders to demonstrate the firm's on-going commitment to maintaining a robust and effective compliance culture.

Ad-hoc Assistance and Project Work

Our senior consultants have extensive experience working in-house with a variety of different financial services clients and have fluent cross-border expertise in the UK and the US. We have experience in undertaking specialised projects for clients, including providing compliance health checks as well as projects to assess the impact of a specific regulatory development on a firm.

Our core strength lies in delivering bespoke advice to our clients based on regulatory best practice applied to your firm, as opposed to a tick-box, one size fits all approach.