

Regulatory Hosting

RQC Advisory

The costs required to obtain your own FCA authorisation can be prohibitive. New firms are spending as much time and resources on navigating the ever-changing regulatory and political landscape as they do on managing and marketing their own products and services.

Our RQC Advisory regulatory platform allows businesses to operate under our regulatory license, providing managers with a turnkey solution.

Benefits

Setting up a firm in today's regulatory environment can seem prohibitive to doing business. Currently, it involves significant cost and time, even if it is solely for advising, arranging deals or marketing activities. The completion and submission of an FCA application and the subsequent wait for regulatory approval can take on average six months. However by using our RQC Advisory regulatory platform, you can be an Appointed Representative and operating under your own firm name, in a matter of weeks.

In addition, a new client, market or fund can all trigger new regulatory issues and new headaches. As compliance consultancy is at the core of our business, we provide you with an experienced, wellresourced, independent regulatory platform, which can prove to be the perfect remedy for any regulatory issues.

Our Advisory regulatory platform

Our Advisory regulatory platform allows firms to provide investment advice and arrange deals in their own name, as well as marketing of investment services and funds to professional clients. Since founding our RQC Advisory regulatory platform in 2011, we have refined our processes to ensure that on-boarding and set-up is as seamless as possible.



Factfinding

Understanding the Appointed Representatives business to determine the arrangements



Agreement of Terms

Between Principal and Appointed Representatives



FCA Approval

Appointed Representative and Approved Persons



Onboarding

Due diligence sign off, training, set-up of compliance procedures and policies



Ongoing monitoring and support

Regular compliance guidance and ad-hoc assistance

Once you are an Appointed Representative of RQC Advisory, our primary focus is to provide you with pragmatic and comprehensive regulatory and compliance solutions. In addition, as a professional services firm solely focused on the financial regulatory compliance arena, we are committed to consistently providing excellent customer service.

Working with your executive team, our dedicated and experienced team members will deliver the most strategic and appropriate compliance solution to assist you with your requirements.

The value of partnership

As regulatory hosts and compliance experts, we understand the benefits that a strong partnership between business and compliance can bring to operations, as well as to the ability to attract institutional capital.

With the FCA stressing the importance of compliance monitoring for Appointed Representatives, you can be reassured that we are robustly reviewing all aspects of your business to ensure your activities meet the FCA's requirements and expectations. We bespoke our compliance monitoring programme specifically to your business and ensure that our experts are skilled at providing you with pragmatic and commercial advice to help build your business.