

Corporate Brochure



Contents



Click below to go directly to that section

Company Overview	3
Background	3
Services	4
Partnership Culture	5
Executive Leadership Team	6
Who We Work With	9
Our History	9
Compliance Consulting	10
FCA Services	10
SEC Services	11
NFA/CFTC Services	12
Regulatory Hosting	13
Investment Advisory	14
Investment Management	15
e-Learning	16
Contact Details	17



Company Overview

We have been delivering pragmatic and commercial regulatory solutions since 2007, currently providing cross-border services to hundreds of clients from across the financial services industry.

Our focus is to help our clients build their business by providing them with institutional-quality compliance infrastructure, advice and support that meets the expectations of institutional investors as well as the regulators.

Our regulatory hosting solutions in the UK, powered by our compliance team, have become the institutional standard, efficiently providing Appointed Representatives with access to the UK and peace of mind that they are in the hands of compliance experts.

Background

RQC Group was founded in 2007 by Robert Quinn, a U.S. lawyer specialising in cross-border regulation, with a commitment to providing investment managers with UK and U.S. regulatory support. This proactive and holistic perspective allowed firms to efficiently and confidently build their business with a firm grasp of their regulatory obligations in the world's two largest financial centres.

His commitment to excellence has seen the company grow, with an elite team of compliance experts now providing tailored guidance from our offices in London and New York.

Whatever your needs as a business, you can be assured that our focus is to deliver excellent customer service while providing your firm with pragmatic tailored advice.

Services

Compliance Consulting

Our team of compliance experts provide the support and solutions tailored to your firm's needs, covering FCA authorisation, SEC registration and CFTC/NFA registration, along with ongoing compliance support, health checks, projects and compliance training.

Our compliance consultants provide ongoing compliance support services covering all aspects of the regulatory compliance obligations of UK authorised and U.S. registered investment firms, providing clients with compliance infrastructure design and benchmarking services, proactive advice, regulatory updates and an objective, collaborative third-party monitoring service.

Regulatory Hosting

With our platform teams working hand-in-hand with our compliance experts to host firms since 2011, we understand the benefits that a strong partnership with a regulatory hosting provider brings to a firm's operations. Our experienced team of regulatory experts manage the regulatory risk, leaving our clients to focus on the markets and attracting institutional capital.

e-Learning

Our industry-leading CPD-certified e-Learning courses have been created by our experienced senior consultants who are at the coalface of regulatory developments in the financial services industry, ensuring top quality, current and relevant content, delivered in an engaging and entertaining way.



Partnership Culture

RQC Group takes its role as a trusted advisor seriously and our focus is providing our clients with advice that efficiently and cost-effectively meets their needs, not cross-selling services that benefit us. We are proud of our long-standing relationship with clients who engage us to help them succeed.

Our Values

- ✓ **People:** Our staff are our biggest asset and our clients are highly valued – both are treated with the utmost respect
- ✓ **Trust:** Achieved through knowledge, collaboration and honesty, with an unflinching commitment to delivering expert advice for our clients
- ✓ **Collaboration:** We show leadership to our clients by consistently collaborating to get the best results for them
- ✓ **Innovation:** We embrace technology to increase efficiencies for our clients and ourselves
- ✓ **Diversity:** We embrace people with different ideas, strengths, interests, and cultural backgrounds to succeed, encouraging healthy debate and differences of opinion

Our Vision

- ✓ To be the best alternative investment management boutique compliance and regulatory hosting consultancy in the UK and U.S.

Our Mission

- ✓ To be recognized as the most sought-after alternative investment management boutique compliance and regulatory hosting consultancy in UK and U.S., by consistently delivering timely best-in-class expertise and innovative technological solutions, in a personable way

Our Promise

- ✓ Institutional quality – our robust suite of over 60 documents that we provide our ongoing clients are thoughtfully designed to meet the needs of an institutional client and due diligence
- ✓ Commitment to technical excellence – we understand the regulations, the legislative intent behind them and how they apply to you – ask to see some of our technical work!
- ✓ Providing our clients with visibility over their peer group
- ✓ Support at the board and operational due diligence level, and during regulatory audits
- ✓ Regulatory hosting as a cost-effective alternative where our compliance expertise is efficiently deployed as and when needed

Executive Leadership Team



Robert Quinn Founder and CEO

Robert is the founder and CEO of the RQC Group. An expert in UK and U.S. cross-border regulation, Robert founded the RQC Group in 2007 as a commitment to delivering premier UK and U.S. compliance expertise to financial services firms who are serious about building an institutional quality business – an ethos that remains core to all our business lines. Robert started his career as a lawyer in San Francisco Bay Area during the dot com boom in the 90s – experiences that allowed him to thrive in an environment where legal and regulatory staff

creatively found pragmatic solutions to help the business to grow from strength to strength. Relocating to London in 2006, Robert has spent the last fifteen years advising firms on all aspects of UK and U.S. regulations during a period where it's become essential for firms to get sound cross-border technical analysis and advice. He has an exceptional ability to translate complex regulatory issues into easy-to-understand advice.

Robert is passionate about helping clients navigate FCA, SEC, CFTC and related regulations in an integrated fashion. His ethos of collaboration and customer service permeates the firm and has helped create a brand known for excellence on the street. He understands the importance of compliance when raising capital from the top tier of institutional allocators and works with c-level executives on both a strategic and day-to-day level.



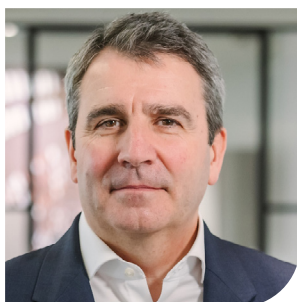
Darryl Noik Executive Director

Darryl is an Executive Director of the RQC Group and CEO of Capricorn Fund Managers, an investment management regulatory hosting platform, where he manages the supervision of investment managers and provides advice from structuring, service provider selection and day-to-day operations. Darryl also serves as the Chief Compliance and Risk Officer and the Chair of the regulatory hosting committee, which has responsibility for the assessment and appointment of hosted investment managers and appointed representatives as

well as ongoing supervision. Darryl joined Capricorn in February 2013 as Chief Operating Officer when the firm was an external hedge fund manager and has extensive experience in hedge fund operations and finance, which brings a practical and commercial perspective to the platform.

Prior to joining Capricorn, he listed an insurance broker on the AIM market and was the COO of the Stenham Group, an international financial services group providing alternative asset management investment solutions (hedge fund of funds (\$3.6bn) and property funds (€3bn)). After qualifying as a chartered accountant with Deloitte, London, in 1991 he remained there until 1998 before joining a client, Primedia, an international media group, as Commercial Director responsible for the European operations, corporate finance and tax planning.

Darryl is a shareholder in Capricorn Fund Managers.



Jonty Campion Executive Director

Jonty is an Executive Director of RQC Group and Capricorn Fund Managers, overseeing the business development strategy of both firms. In CFM he is also a member of the Investment Committee and the Regulatory Hosting Committee.

Before joining Capricorn in 2013 as Business Development Director, he was Head of Marketing and Investor Relations at Clareville Capital Partners LLP, a London-based hedge fund. At both businesses he had responsibility for building AUM and launching their UCITS funds.

Jonty started his career in the Oil and Gas division of Sedgwick Energy Ltd. In 1993 he joined the European Convertible Bond Desk at Tullett and Tokyo International Securities Ltd and later went on to co-manage the Relative Value and Algorithmic Trading Desk at Tullett Liberty Equities Ltd. He graduated from the University of Nottingham.

Jonty is a shareholder in Capricorn Fund Managers.



Barrie Davey Managing Director

Barrie is a Managing Director of the RQC Group where he manages the UK consulting team, which supports FCA, SEC and NFA regulations, and the supervision of appointed representatives on our advisory hosting platform. He also is a member of the regulatory hosting committee, which has responsibility for the appointment of hosted investment managers and appointed representatives as well as ongoing supervision.

Originally working in the life and pensions industry where he qualified as a Chartered Insurer in 1992, Barrie moved into asset management compliance in 1994 and has held senior compliance roles at Legal & General Investment Management, Augustus Asset Managers Limited and State Street Global Advisors Limited where he was Head of UK Compliance and Chief Compliance Officer (SEC). Prior to joining RQC Group in 2012, Barrie was Director of Compliance at Affiliated Managers Group Limited where he had responsibility for compliance oversight of AMG's global operations in London, Dubai, Sydney and Hong Kong.



Allison Gill Managing Director (U.S.)

Allison is a Managing Director of RQC Group and leads the U.S. regulatory practice. Based in New York, Allison has over 25 years' experience in the asset management industry. Prior to joining RQC Group, she was a Director on the regulatory and compliance team at Kinetic Partners (acquired by Duff & Phelps, now Kroll).

From developing risk-based policies and procedures to implementing appropriate monitoring and controls, Allison has experience structuring all aspects of a fund manager's compliance program. A long-term focus on the private fund industry enables her to provide clients with comprehensive guidance contemplating regulatory requirements, as well as industry best practices. As RQC Group's U.S technical lead, Allison focuses on the more complex issues of our clients including drafting Form ADV disclosure language, assisting with SEC examinations, managing large-scale review projects, and developing multi-jurisdictional compliance programs.

Allison received a B.A. in English from Rutgers College.



Matthew Raver Managing Director [in](#)

Matthew is a Managing Director of the RQC Group where he supervises the teams dealing with technical regulation, regulatory change, regulatory submissions and technology. With over 22 years' experience in regulatory compliance, Matthew is an invaluable member of our team as the "consultants' consultant" and advises the group on technical regulatory matters and change. Matthew is also a member of the regulatory hosting committee, which has responsibility for the appointment of hosted investment managers and appointed representatives as

well as ongoing supervision.

Matthew started his career in the compliance departments of Morgan Grenfell Asset Management and Nomura Asset Management. He then joined IMS Consulting as a compliance consultant. After seven years he went back into the industry and became the registered Compliance Officer and Money Laundering Reporting Officer (FCA) and Chief Compliance Officer (SEC) at GML Capital LLP, a boutique asset manager specialising in emerging market credit.



Janet Millerd Chief Operating Officer [in](#)

Janet joined RQC Group in 2023 as the COO. She is qualified accountant with over 15 years of experience leading Finance and Operations teams in dynamic growing SME companies and has a proven track record of building efficient and effective Finance and Operations functions in successful professional services companies.

Prior to joining RQC Group, Janet has worked in the consulting industry for over 15 years for Healthcare consultancy Akeso as their Finance and Operations Director and Baringa Partners as the Head of Finance and Operations.

She gained her accounting qualification in South Africa completing her training with KPMG.



Who We Work With

RQC Group advises a diverse group of clients, a number of whom we have worked with for many years. Our happy clients are the biggest source of referrals, so it is important to us as a trusted advisor to provide a personal, high-touch service to our clients. It's fair to say that we aim to support our clients a bit differently from our competitors, so feel free to ask your peers and service providers about us.

- ✓ Investment Managers
- ✓ Hedge Funds
- ✓ Introductory Services
- ✓ Wealth Managers
- ✓ Fund of Funds
- ✓ Family Offices
- ✓ Private Debt
- ✓ Venture Capital
- ✓ Private Equity
- ✓ Corporate Finance
- ✓ Advisory & Marketing
- ✓ Asset Managers
- ✓ Fund Managers
- ✓ Proprietary Traders
- ✓ Brokers

Our History

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2007 November Robert Quinn Consulting Limited is founded in London to provide integrated FCA and SEC advice.
- 2011 September** Robert Quinn Advisory regulatory hosting platform is launched.
- 2017 January** Dedicated offices open in New York.
- 2019 February** e-Learning division launched, providing SMCR, FCA compliance, Financial Crime and Cyber Security courses.
- 2019 September** Robert Quinn Consulting and Capricorn Fund Managers announce regulatory hosting platform for investment managers.
- 2019 December** Capricorn Fund Managers, part of the Capricorn Capital family office, acquires a majority stake in Robert Quinn Consulting.
- 2020 May** Robert Quinn Consulting rebrands to RQC Group.



Compliance Consulting

FCA Services

Our experts have been undertaking FCA applications since 2003, so we understand the big picture and help our clients meet the FCA's expectations and Threshold Conditions. We save our clients time and money by managing their application proactively and efficiently.

Once authorised, firms can depend on our compliance consultants to provide best-in-class ongoing compliance support covering all aspects of the compliance expectations of the UK and U.S. regulators, including policy and procedure design, educative and effective templates, proactive advice and guidance, and timely regulatory updates.

Our services include:

- ✓ FCA authorisation
- ✓ Variation of permission
- ✓ Change in control
- ✓ Mock audits and compliance 'health check' reviews
- ✓ Targeted 'deep dive' compliance review
- ✓ Policy and procedure gap analysis
- ✓ Assistance with compliance remediation projects
- ✓ Compliance training (e-learning and classroom-based)
- ✓ Ongoing compliance assistance includes:
 - Provision of policies and procedures
 - Development and execution of the compliance monitoring programme
 - Strategic compliance planning
 - Marketing and financial promotions review
 - General regulatory and compliance advice
 - FCA RegData reporting and CONNECT filings
 - Assistance with correspondence and interaction with the FCA
 - Quarterly regulatory updates, with tailored updates for time-sensitive issues

SEC Services

Our team supports registered investment advisers and private fund managers, both in the U.S. and UK. We work with our clients to help them meet their regulatory obligations and the expectations of institutional investors. Our team of senior regulatory experts can help manage initial registration with the SEC and provide comprehensive ongoing compliance support services.

Our services include:

- ✓ Registration for registered investment advisers
- ✓ Registration for exempt reporting advisers
- ✓ Assessment and development of risk-based policies and procedures
- ✓ Targeted training
- ✓ Annual compliance review, in accordance with Rule 206 (4)-7
- ✓ Policy and procedure gap analysis
- ✓ Mock audit and interview preparation
- ✓ Ongoing compliance assistance includes:
 - Review and updating of compliance policies and procedures
 - Development and maintenance of the compliance monitoring program
 - Quarterly onsite monitoring meetings
 - Annual compliance training
 - Annual compliance review
 - Form ADV
 - Form PF
 - Marketing materials review
 - Targeted compliance testing
 - Employee electronic communications review
 - Ad-hoc regulatory queries
 - Assistance with regulatory examinations
 - Quarterly regulatory updates, with tailored updates for time-sensitive issues



NFA/CFTC Services

Compliance with the U.S. Commodities Futures Trading Commission (“CFTC”) regulations means that firms must register as a member of the National Futures Association (“NFA”) and comply with their rules. Our team of senior regulatory experts can help manage initial registration with the NFA and provide comprehensive ongoing compliance support services.

Our services include:

- ✓ Registration as a Commodity Pool Operator (“CPO”) or Commodity Trading Adviser (“CTA”)
- ✓ Assessment and development of risk-based policies and procedures
- ✓ Review of NFA Self-Examination Questionnaire
- ✓ Policy and procedure gap analysis
- ✓ Ongoing compliance assistance includes:
 - Review and updating of policies and procedures
 - Development and maintenance of the compliance monitoring program
 - Quarterly onsite review meetings
 - Assistance identifying associated persons, principals and branch offices
 - Form 7R and Form 8R/8T
 - Marketing materials review
 - Assistance with regulatory filings and annual updates e.g., CPO-PQR and CTA-PR, NFA registration update, NFA Self Examination Questionnaire
 - Frequent industry updates
 - Ad-hoc regulatory queries
 - Assistance with regulatory examinations
 - Quarterly regulatory updates, with tailored updates for time-sensitive issues





As compliance consulting experts, we understand the work, resources and cost involved in setting up and maintaining a regulatory license, and the benefits that a strong partnership with a regulatory hosting provider can bring to a firm’s operations, leaving our clients to focus on running funds and building their businesses.

Regulatory Hosting platforms allow businesses or start-ups to operate under their regulatory license, providing firms with a turnkey solution, and is often easier and more commercially attractive than committing the time and expense of obtaining and maintaining direct regulatory authorisation.

At RQC Group, we offer two regulatory hosting solutions – **Investment Advisory**, and **Investment Management** through Capricorn Fund Managers.

Having advised and run platforms since 2011, we know the benefits of working with experienced, well resourced, independent Regulatory Hosting Platforms.

The benefits of using our regulatory hosting platform include:

- ✓ Hosting is less costly than obtaining your own regulatory license
- ✓ You can spend more time marketing and managing your own product
- ✓ We manage your regulatory risk and reporting, leaving you to focus on the markets and building your business
- ✓ We manage your regulatory capital requirements
- ✓ Your firm can get up and running quickly, as opposed to waiting 9–12 months for FCA authorisation
- ✓ We can take care of all your regulatory compliance needs and obligations
- ✓ Our experts are skilled at providing you with pragmatic and commercial advice to help build your business

We offer two Regulatory Hosting solutions:

Investment Advisory

Our advisory 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. Robert Quinn Advisory LLP has been authorised and regulated by the Financial Conduct Authority (FRN – 548030) since 2011.

While the FCA application process averages between 9 and 12 months, our clients can be conducting business in as little as 2 months through our advisory platform.

Once an Appointed Representative on our platform, our primary focus is to provide our clients with pragmatic and comprehensive regulatory and compliance solutions. Working with their executive team, our dedicated and experienced team will deliver the most strategic and appropriate compliance solution to assist our clients with their requirements.

With the FCA stressing the importance of compliance monitoring for Appointed Representatives, our clients can be assured that we are robustly reviewing all aspects of their business to ensure activities meet the FCA's requirements and expectations.

Our hosting platform focuses on corporate governance, with monthly Risk Committee and Governance Committee meetings, as well as Quarterly Board meetings, to meet the expectations of the FCA and institutional investors.



Investment Management



Capricorn Fund Managers' Regulatory Hosting Platform allows investment managers to be authorised and regulated by the Financial Conduct Authority (FRN – 505252).

This Platform places heavy emphasis on strong corporate governance, with monthly Investment Committee and Governance Committee meetings, as well as Quarterly Risk Committee and Board meetings, to meet the expectations of the FCA and institutional investors. Backed by an extensive team of experts, **Capricorn Fund Managers** provides more than just a regulatory hosting solution, with strategic guidance and supervision to help firms build their businesses.

Onboarding Process

Capricorn Fund Managers' Welcome Pack provides detailed requirements for the onboarding of Individuals and the UK Entity. Main onboarding comprises the following tasks and processes:

- ✓ Personnel Screening & Record Checks
- ✓ Onboarding of the UK entity as an Appointed Representative
- ✓ Onboarding of Individuals – Approved Persons (for advisory and marketing activities)
- ✓ Onboarding of Individuals – Seconded (for investment management and trading activities)
- ✓ Legal Agreements (Appointed Representative, secondment and investment management where applicable)
- ✓ Fund Notification – filed with the FCA at least 30 days before commencement of regulated activity
- ✓ Service Provider Agreements & Set-up (including reporting set-up)
- ✓ Compliance Policies and Procedures



e-Learning



With extensive expertise across the UK and the U.S., we offer specialised e-Learning courses designed to efficiently meet your needs.

Each course has been created by our senior compliance consultants, based on their extensive experience of delivering highly customised compliance training solutions to financial investment firms. We offer over 20 CPD-certified online training courses across the topics of:

- ✓ Anti-Money Laundering
- ✓ Market Abuse
- ✓ Anti-Bribery
- ✓ SMCR (Senior Managers & Certification Regime)
- ✓ Cyber Security
- ✓ FCA Compliance

Benefits of our Courses

- ✓ **Accessible:** All courses are accessible on our bespoke web or app platforms immediately upon purchase
- ✓ **Automated:** All courses are delivered through fully automated, interactive online visual solutions
- ✓ **Affordable:** Courses cost from as little as £20 per learner
- ✓ **Fast:** Courses take from 30 to 90 minutes to complete and can be viewed and completed in multiple sittings
- ✓ **Measurable:** All courses include regular 'Check Your Knowledge' sections throughout and an end-of-course Quiz
- ✓ **Certified:** A certificate is issued on successful completion of each course, for compliance-filing (all UK learners receive a CPD-certified certificate on completion of our courses)



Contact Details

Contact our experienced consultants who are available to help you with solutions that directly fit the regulatory compliance needs of your business.

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