

Corporate Advisory



Financial Services Compliance

Regulatory assurance and support for your business

Introduction

Experience shows us that legal advice and regulatory assurance for financial services businesses do not need to be two different things. You shouldn't have to shop around. Our aim is to make sure that you can get exactly the services you need through a combination of legal and compliance professionals. Advice and assurance from one seamless Shoosmiths team.

Key features

- Legal and compliance in one place
- Access to a wide range of cross sector regulatory expertise
- Help to interpret and implement regulatory requirements – match the pace of change
- Support with regulatory returns, communication with the regulator, and changes in control
- Design and delivery of remediation activity; whether it is a past business review, business wind-down or an administration process
- Shadow “reviews” of your end to end business processes
- Access to our unique “4 P” model, to improve your business model and strategy
- A new to market customer treatment strategy “In your SHOOS”; aiming to improve the way you communicate and treat your customers



Our Core Services

Regulatory Assurance

Regulatory assurance is the traditional foundation of FS Compliance.

We can provide support to include:

- Senior Manager & Certification Regime
- Business and quality assurance
- Compliance monitoring
- Conduct due diligence assessments
- Regulatory healthchecks and/or gap analysis
- Support with policy and process for collections, recoveries and arrears
- Vulnerability programs, including training

Business Model and Strategy

We support all aspects of a firm's business model and strategy, from reviewing the operating model to assessing products and services, developing new offerings and documenting, building, and implementing the plan. We can help with:

- End to end operating model reviews in all or any one of the following areas:
Policy, Process, People, Performance
- Tactical service/product health-checks
- Provision of specialist resource, including
QA and operational management to respond to crisis, implement any changes or simply to support the existing plan
- Review, update, and implementation of regulatory business plans
- Governance and/or Board reviews

Regulatory Support

Dealing with the regulator is a daunting prospect, regardless of your size. We can help with:

- End to end managed authorisations
- Support with regulatory reporting and changes in control
- Help with communicating with FCA – prevent or deal with s166 activity
- Conduct training

Remediation

It is a fact of life that from time to time, firms get things wrong.

Our services in Remediation include:

- Past Business Reviews and redress programs
- Support with wind-down and administration
- S166 Reports

Get in touch



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