

Outsourced Compliance Service

Firms seeking a strategic and cost-effective alternative
for business as usual Compliance activities

Compliance services

- File reviews
- Real-time transaction monitoring or quality assurance
- Thematic/desk based reviews
- Regulatory reporting assistance or quality assurance
- Compliance advice
- Compliance training
- Complaints handling or quality assurance
- Policies and procedures reviews

Working in partnership with firms,
a flexible package of services can
be developed and priced to meet a
firm's ongoing needs.

Benefits

- Access to a bench of subject matter experts across disciplines
- Nimble resources able to react quickly to changing priorities
- Independent quality assurance
- Resources externally managed
- Administration cost savings compared to full time employees
- Level of support tailored to the firm's needs from function support to full outsourced model
- Delivery of business as usual activities uninterrupted by changing demands on existing resources
- Business familiarity transferable to support regulatory change projects

SERVICES

- CONSULTANCY AND ADVICE ON NEW AND EXISTING FINANCIAL SERVICES REGULATION
- COMPLIANCE HEALTH CHECKS
- REGULATORY GAP ANALYSIS AND IMPACT ASSESSMENT
- PROJECT IMPLEMENTATION SUPPORT
- REMEDIAL IMPLEMENTATION SUPPORT
- TRAINING
- RISK MANAGEMENT HEALTH CHECKS
- FILE REVIEWS
- RISK MANAGEMENT FRAMEWORK DEVELOPMENT SUPPORT
- DATA MANAGEMENT HEALTH CHECKS
- FCA or PRA AUTHORISATION
- INTERIM RESOURCING
- STAFF AUGMENTATION / SWAT TEAMS
- SEARCH AND SELECTION

“K&E has provided us with effective and practical solutions to complex regulatory and compliance issues, and has demonstrated a deep understanding of our business. They tailor their approach to our business and I consider them to be a valuable partner.”

“K&E’s approach is refreshingly practical. They offer a top tier service and a genuine alternative to the usual suspects.”

OUR TRACK RECORD

includes:

Managing and providing SME support to regulatory change projects (MiFID II, SM&CR, GDPR)

Reviewing and implementing governance frameworks

Reviewing and implementing operational risk frameworks

KYC/AML remediation

Full scope compliance risk assessments

Client file reviews



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