

Regulatory Compliance Services

Helping you to navigate the rapidly changing regulatory and business landscape, guiding you through the complexities of these changes, Xcina Consulting Limited provides high quality Regulatory Compliance Assurance and Advisory Services that come from years of experience of being in our clients' shoes.

We take a holistic approach to regulatory compliance, delivering streamlined and integrated compliance frameworks that are proportionate to your business needs.

Our approach is to provide simplified, effective and sustainable compliance models to ensure you meet your continuing compliance and regulatory obligations with value driven disciplines.

We are specialists in Asset Management, Banking and Insurance regulation and can support you on all aspects of Regulatory Compliance at both local and international levels.

A Snapshot of Key Regulatory Developments & Initiatives

Cross Sector

- The Senior Managers & Certification Regime, SM&CR
- The Fifth & Sixth Anti-Money Laundering Directives
- The Data Protection Act 2018

Asset Management

- Alternative Investment Fund Management Directive review, AIFMD II
- The FCA's Asset Management Market Study & follow up rule changes
- The FCA's Temporary Permissions Regime, TPR for inbound passporting EEA firms and funds

Banking & Payments

- Capital Adequacy Requirements, CRD V & CRR II
- The Payment Services Directive, PSD2

Insurance

- The Insurance Distribution Directive 2018, IDD

REGULATORY CALENDAR

Did you know? Our Regulatory Calendar is now live!

In addition to keeping users abreast of financial services regulatory developments, it provides insightful analysis of key impacts and challenges. To view our Regulatory Calendar [click here](#)

HOW WE CAN HELP THE REGULATORY COMPLIANCE LIFECYCLE

We assist organisations in achieving, maintaining and improving compliance across a broad range of regulatory regimes. Wherever your firm is positioned within the Regulatory Lifecycle, we can provide specialist compliance services and resources to support you in meeting your compliance obligations.

1. Authorisation Support

Helping you navigate the regulatory authorisation process with the FCA or other regulatory authorities.

2. Day to Day Support

The implementation of integrated frameworks, compliance plans and ongoing monitoring programmes.

3. Compliance Advisory

Providing advice on the changing regulatory landscape, helping you to meet increasing regulatory demands.

4. Remediation

Supporting you on all aspects of Compliance Remediation post regulatory or internal audit assessment.

Regulatory Compliance Services

Authorisation Support

Successfully navigating you through the regulatory authorisation process with the FCA or other regulatory authorities.

- Project Management support of your authorisation application
- Working with you to achieve key milestones and timelines
- Technical advices on all aspects of the FCA and PRA requirements relevant to your operations and business activities
- Assistance with drafting your Regulatory Business Plan
- Working with you on all supporting compliance documentation
- FCA Approved Persons support and guidance in relation to the SM&CR

Day to Day Support

Implementation of a streamlined, integrated compliance framework proportionate to your business activities, delivery of the Compliance Plan and ongoing Monitoring Programmes.

- Practical and efficient solutions for the day to day management of compliance risk across your business lines and activities
- Working with you to define your compliance strategy and assessment of your regulatory risk environment
- Streamlined, integrated and tailored Compliance Framework proportionate to your business model
- Supporting you on the drafting of your Compliance Plan, its execution and delivery, and execution of your compliance monitoring programmes
- Review of the Compliance Manual, policy enhancement and re-writes as required
- Strengthened compliance governance, supporting you on the design and operational effectiveness of compliance governance and oversight, committee structure and escalation procedures
- Design and delivery of Compliance Training
- Short and long-term secondments of highly experienced compliance personnel to address resource constraints and/or skills gaps within your team

Compliance Advisory

Advising you on all aspects of the changing regulatory landscape, providing technical support, interpretational guidance and advice on how best to meet increasing regulatory demands and gain assurance that your compliance and regulatory risks are appropriately identified and effectively managed.

- Highly experienced compliance professionals and subject matter experts who bring practical advice and solutions to support you on all aspects of compliance risk
- Strengthened corporate governance
- Compliance Assurance Assessments (Functional reviews and Third-Party Oversight)
- Financial Crime Compliance (Anti-Money Laundering, Sanctions, Anti-Bribery & Corruption measures together with enhancement of MLRO oversight and reporting)
- Brexit planning and passporting capabilities
- Tailored Regulatory Compliance Training Programmes
- Technical Advice & Project Management of Regulatory Change implementation

Remediation

Supporting you on all aspects of Compliance Remediation post regulatory or internal audit assessment.

- Providing tailored solutions, subject matter expertise and compliance resource support to address regulatory failures promptly & effectively, driving the remediation plan to full implementation
- Project Management support to oversee full implementation of Remediation gaps and address control failures effectively
- Practical, tailored solutions and advice to address compliance gaps and assistance with devising new and enhanced procedures where control deficiencies are identified
- Tailored Compliance Training programmes to support remediation actions
- Enforcement Notices – Supporting you to bring forward practical solutions to compliance gaps identified and assisting in the liaising with Regulators on Section 166, Skilled Persons report failures.

CONTACT US

If you have any questions please contact us on:

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