

Compliance FOCUS

your business our focus

About Compliance Focus

Compliance Focus is a member of the Association of Professional Compliance Consultants and as such is subject to its Code of Ethics. We also have comprehensive professional indemnity insurance in place.

We provide specialist compliance support for FSA-authorized firms.

At Compliance Focus we take time to understand your business, your strategy, your culture, your values - you! We'll then deliver solutions that will work for you.

Whether you need support for a specific project, regular reviews throughout the year or short term intensive support, we can help.

Our website gives further examples of just some of the areas where we can assist.

*help with the shades of grey.....
....because compliance isn't black and white.*

The FSA Factsheet "Using a Compliance Consultant" sets out a number of questions to ask when considering the use of external compliance support. When making the decision, you'll want to know that you're getting both quality and value for money.

The next few pages will show that you're making the right choice.

Do we have the necessary experience and qualifications to help you and your firm?

Our Director has operated in the financial services industry for over 22 years, with the last 15 spent specialising in the compliance arena. This includes a number of Head of Compliance roles for firms licensed by the Office of Fair Trading.

This means having experienced the changes that regulation and the industry have seen during this time, in conjunction with a variety of firms.

Experienced in taking a strategic and commercial approach and with numerous technical and commercial qualifications, all gained within the financial services sector, you can be confident that you're dealing with a Company with the knowledge and skills to help your firm.

Can we provide the type and level of service you need?

We can provide bespoke solutions for your business or "model" policies for those that want something simply to provide a foundation from which to work.

Whether you need support for a specific project, regular reviews throughout the year or short term intensive support, we can help. Our website gives further examples of just some of the areas where we provide support.

In short, why not get in touch, ask us and find out for yourself!

How will you satisfy yourself that we are providing the service you need to achieve compliance?

By establishing your needs and objectives, we'll get a full understanding of what compliance support you need from us, how we can help and how we can deliver. We'll agree with you the best approach as well as review points and measures.

You'll be fully informed all along the way and we'll always provide you with written information to support our recommendations.

How do we keep up to date with regulatory and product changes?

Like most firms, we review the important websites to make sure we're aware of impending changes, however, over and above this, we also keep up to date with the Office of Public Sector Information so we become aware of proposed changes, and the impact of European Directives.

In addition, we stay aware of current issues through our network of established industry relationships.

Do we have sufficient resources to support your firm?

We'll always quantify resource requirements carefully – after all our ability to deliver is vital.

Before we agree to take you on as a client, we'll consider what effect this may have on our existing clients. If the resource commitment you need would have an impact we'll tell you so up front. In which case we have a close association with another well established, compliance firm that we've worked with successfully before and whose philosophy and ethics are aligned to our own.

info@compliancefocus.co.uk

What are our charges?

Well, in many ways that depends on what type of support you need. We can agree figures based on a daily rate if you're looking for ad-hoc support or a specified resource commitment.

A fixed fee may be the solution for delivery of specific thematic work such as licence applications, training, or a compliance healthcheck.

Whichever route you prefer, the only surprise you'll have is how competitive we are for the quality of service we provide!

Have you asked for a selection of clients and taken references?

We'll be happy to put you in touch with some of the people we've worked with. In fact, referrals from existing clients are a key part of our business philosophy - we think you'll agree this is the best form of testimonial!

Have you compared us to any other consultants?

We welcome any selection process you wish to consider. We're confident that our innovative and added-value approach, alongside our professionalism, will make us stand out.

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