

# Compliance Solutions for FCA Authorised Firms

## Introduction

IQ-EQ offers a range of compliance solutions for traditional investment advisory firms, from authorisation services through to quarterly monitoring.

Our team of dedicated compliance consultants have extensive experience and will work with you to develop a long-term strategic partnership to power your success.

Our project-based solutions are tailored to meet your firm's specific needs. Our goal is to provide the regulatory compliance expertise and guidance you need so that you can focus on what matters most – growing your business and protecting your clients.

## Our clients



Asset  
Managers



Wealth  
Managers



Secondaries



Credit



Private  
Equity



Hedge Funds



Brokers



Real  
Estate



Private  
Placement  
Agents



Family  
Offices



Corporate  
Finance  
Advisers



Infrastructure



Private  
Debt



E-money

## Our UK team

Our UK team consists of specialist consultants with extensive knowledge of UK and EU regulatory initiatives. We can steer you through the ever-changing regulatory environment in line with your firm's needs and obligations, providing diligent support tailored to you.

## Our services

- Regulatory consulting
- FCA authorisations / variation of permissions
- Ongoing compliance support:
  - Regular monitoring – compliance monitoring program
  - Compliance documentation – manual and policies
  - Ad-hoc advice/on-hand compliance support
  - FCA reg data reporting submissions/preparation of FCA returns
  - Regulatory updates – new regulation horizon scanning
- Project work:
  - Marketing NPPR and other FCA notifications
  - FCA thematic compliance projects: conflicts reviews, FCA mock interviews
  - New regulation implementation projects
- Compliance health check – review of compliance function performance
- KYC / AML services (both investor and investment)
- Our compliance oversight includes:
  - AML
  - Market abuse
  - FCA part IV permissions
  - Marketing and financial promotions
  - Sufficient regulatory capital – IFPR
  - Anti-bribery and corruption – G&E
  - Governance – senior management
  - Conflicts of interest
  - Control effectiveness and breaches
  - Staff – certifications, joiners/leavers, training
- Tailored compliance training

## About us

We are IQ-EQ, a leading investor services group employing over 5500 people across 25 jurisdictions worldwide. We bring together that rare combination of global expertise with a deep understanding of the needs of our clients. We have the know how and the know you to service fund managers, asset owners and HNWI's.

## Key contacts

For more information on our compliance solutions for FCA authorised firms, please contact Rachel Aldridge, Andrew Shrimpton, Jacques Vermeulen or Andrew Frost.



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