

# Regulatory Compliance Continuity Package

Proactively Navigate Regulatory Changes

## Package Overview

Our Regulatory Compliance Continuity Package offers continuous support and expert guidance for clients in financial and trading. This package ensures your organization stays ahead of regulatory changes, understands necessary adjustments, and remains compliant with evolving regulations. We provide an initial in-depth analysis followed by ongoing monthly oversight to maintain compliance and strategic alignment.

**Following the first month, the package can be terminated with a simple 1-month notice.**

## Overall Benefit of the Package

This package ensures that your organization receives continuous expert oversight from an objective perspective. The initial engagement provides a thorough understanding of your current compliance status and identifies any gaps, setting a strong foundation for ongoing oversight. Regular reviews of regulatory documents, compliance plans, and progress help in timely identification and resolution of issues, maintaining alignment with regulatory requirements, and ensuring sustained compliance. This structured approach minimizes risks, improves coordination, and provides clear, actionable insights on a regular basis, ultimately leading to enhanced compliance and strategic success.

## Pricing

Our regulatory compliance continuity package includes an initial engagement fee followed by a monthly retainer fee. This ensures continuous access to expert, objective oversight for your compliance efforts.

- First Month Fee: £30,000
- Monthly Retainer Fee: £15,000

## Package Inclusions

### Initial Engagement (First Month)

- One-Time Fee: £30,000
- Meeting Allocation: Up to 4 hours of meetings
- Purpose: To understand your organization's regulatory environment, undertake a review to establish the current compliance status, and identify any gaps and shortfalls. This initial engagement will produce a comprehensive baseline report, high-level

requirements to meet those shortfalls, and identify forthcoming regulatory changes and their potential impacts on your organisation.

### **Ongoing Monthly Oversight**

- Monthly Retainer Fee: £15,000
- Meeting Allocation: Up to 2 hours of meetings per month
- Purpose: To maintain regular oversight, review regulatory documents and compliance plans, and ensure continuous alignment with regulatory requirements. Each month a regulatory oversight report will be delivered.

## **Tangible and Intangible Benefits**

An objective perspective from experts in regulatory compliance brings significant value to your organization. This package includes crucial tangible deliverables while providing intangible benefits through sustained expert guidance and unbiased insights.

### **Deliverables**

#### **Initial Baseline Compliance Report (First Month)**

- Description: A comprehensive report detailing the current compliance status, a gap analysis, and high-level requirements to meet any identified shortfalls. An assessment of forthcoming regulatory changes and their potential impacts on your operations, processes, and systems.
- Purpose: To provide a clear understanding of where the organization stands in terms of meeting existing and future regulations, identify any areas needing improvement or attention, and provide high-level change requirements to meet forthcoming regulatory changes.

#### **Monthly Compliance Review (Ongoing)**

- Description: A report reviewing the current status in meeting existing regulations, progress in meeting new requirements, and a review of the status and progress of any regulatory change projects.
- Purpose: To provide an objective assessment of compliance status, identify any issues or areas for improvement, ensure continuous alignment with regulatory requirements, assess progress of any regulatory change projects.

## **Suggested Allocation of Meeting Hours**

### **First Month**

#### **Initial Engagement Meetings (4 hours):**

- Kick-off Meeting (2 hours): Understanding your regulatory environment, pain points, objectives, and key activities such as regulatory reporting.
- Compliance Lifecycle Assessment (1 hours): Discuss and understand the current regulatory change work and their key milestones.

- **Baseline Report Review (1 hour):** Review the baseline compliance report with stakeholder feedback.

### **Ongoing Monthly Meetings**

#### **Document and Plan Review (1 hour):**

- Review key regulatory documents and compliance plans, discuss findings, and provide feedback.

#### **Progress Assessment (1 hour):**

- Assess compliance progress, discuss any emerging issues, and plan next steps.
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- **Templates:** Downloadable templates for the compliance oversight report available on our downloads page.