

CAPABILITY STATEMENT



About Us

“Minimise the costs of compliance and governance headcount for your business, without compromising on quality advice and execution of your obligations.”

We are a specialist consulting firm that provides compliance solutions to the financial services sector. We are a diverse team of compliance, legal and financial services professionals, that not only understand how to interpret complex regulation, but also apply it practically to your business' operations.

Our clients benefit from a preventative, solutions-focused approach to regulation and conduct risk, tailored to your firm's risk exposure, and carefully balanced against your commercial goals.

SERVICE OFFERING

We provide a range of services fixed term and retainer solutions tailored to the specific needs of your business. Our services cover the breadth of various regimes, including, but not limited to:

- » Financial services regulatory compliance;
- » Anti-bribery and corruption;
- » Corporate governance
- » AML/CTF;
- » Privacy and data protection; and

‘A highly knowledgeable, client-friendly and diligent service, in which we had full confidence when managing our Australian regulatory and compliance obligations.’

Matthew Cook - Head of Legal, Moneycorp



Our Services

HOW WE HELP

Today's financial institutions are faced with a myriad of complex, ever-advancing regulations, where the costs of non-compliance can result in permanent reputational damage, personal liability and even the derailment of an entire enterprise. As a result, it is crucial that your business has robust, personalised strategies to manage and mitigate risk.

At FS Reg, we are acutely aware that financial services businesses, now more than ever, require a holistic approach to operationalise regulation, governance, and integrity within their ranks.



WHY USE OUR SERVICES

Working with an external compliance provider offers an expert, cost-effective alternative to headcount so you can streamline your budgets to other projects.

OUR VALUE

- » clarity in interpreting complex regulation
- » speed and conviction in the delivery of compliance function tasks
- » detailed and timely communication of risks
- » frameworks and processes in advance of regulatory change
- » approaches to risk that enhance long-term sustainability
- » effective preventative risk management techniques to meet regulator expectations
- » cost-efficiency in meeting your regulatory obligations
- » comprehensive advice that's solution-focused and balances commercial objectives
- » reduced burden on internal stakeholders and resources

WHO WE HELP

- » Payments businesses, FX brokers and remittance firms
- » Crypto-asset funds and brokers
- » Fin-tech firms
- » Trading firms, brokerages, and market participants
- » Funds management firms

Ongoing Solutions

Our ongoing solutions operate as a complete external substitute for compliance headcount. All services may be applied or excluded, as determined by your business’ individual needs.

Training

Training internal stakeholders on compliance matters

Strategic Advisory

Advising the business on the compliance obligations when pursuing commercial initiatives

Regulatory Updates

Updating the business ahead of relevant regulatory change

Reporting Obligations

Advising upon and building robust frameworks for your routine reporting obligations

Regulator Engagement

Liaising with regulators, including, ASIC, APRA, AUSTRAC and the OAIC on the business’ behalf

Sales and Marketing Review

Reviewing sales, marketing and promotional practices to ensure compliance

Building Frameworks, Policies and Processes

Creating efficient and fit-for-purpose compliance frameworks, policies, and procedures

Monitoring and Oversight

Providing independent monitoring and oversight of business practices

Outsourcing Partners and Authorised Representatives Diligence

Regulatory due diligence of outsourcing partners and authorised representatives on an introductory and ongoing basis

Dispute Resolution and Complaints Handling

Advising on responses internal dispute resolution, complaints, and AFCA matters

Risk Management

Creating & administering effective risk management frameworks

Company Secretary

Company secretarial services, which includes administration of board & shareholders meetings, maintenance of corporate registers, making required corporate lodgements, and appointing one of our team to act as your statutory company secretary, if required

Project Solutions

Our project solutions help you to gain licensing, meet statutory requirements and independently identify risks resulting from business transformation.

AML/CTF Independent Reviews

Independent reviews of Part A of your AML/CTF Program

AML/CTF Risk Assessment

Assessing your customer, product, jurisdiction and delivery channel risk from an AML/CTF perspective

M&A Regulatory Due Diligence

Providing due diligence for proposed purchases and sales of financial institutions

Regulatory Remediations

Advising upon and administering compliance remediation plans

AFS Licensing

Determining appropriate authorisations for your proposed business, liaising with ASIC, a review of proposed responsible managers & otherwise aiding you every step of the way to gaining your AFSL

Independent Health Checks

Performing targeted reviews for business compliance with regulatory obligations & industry best practice

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