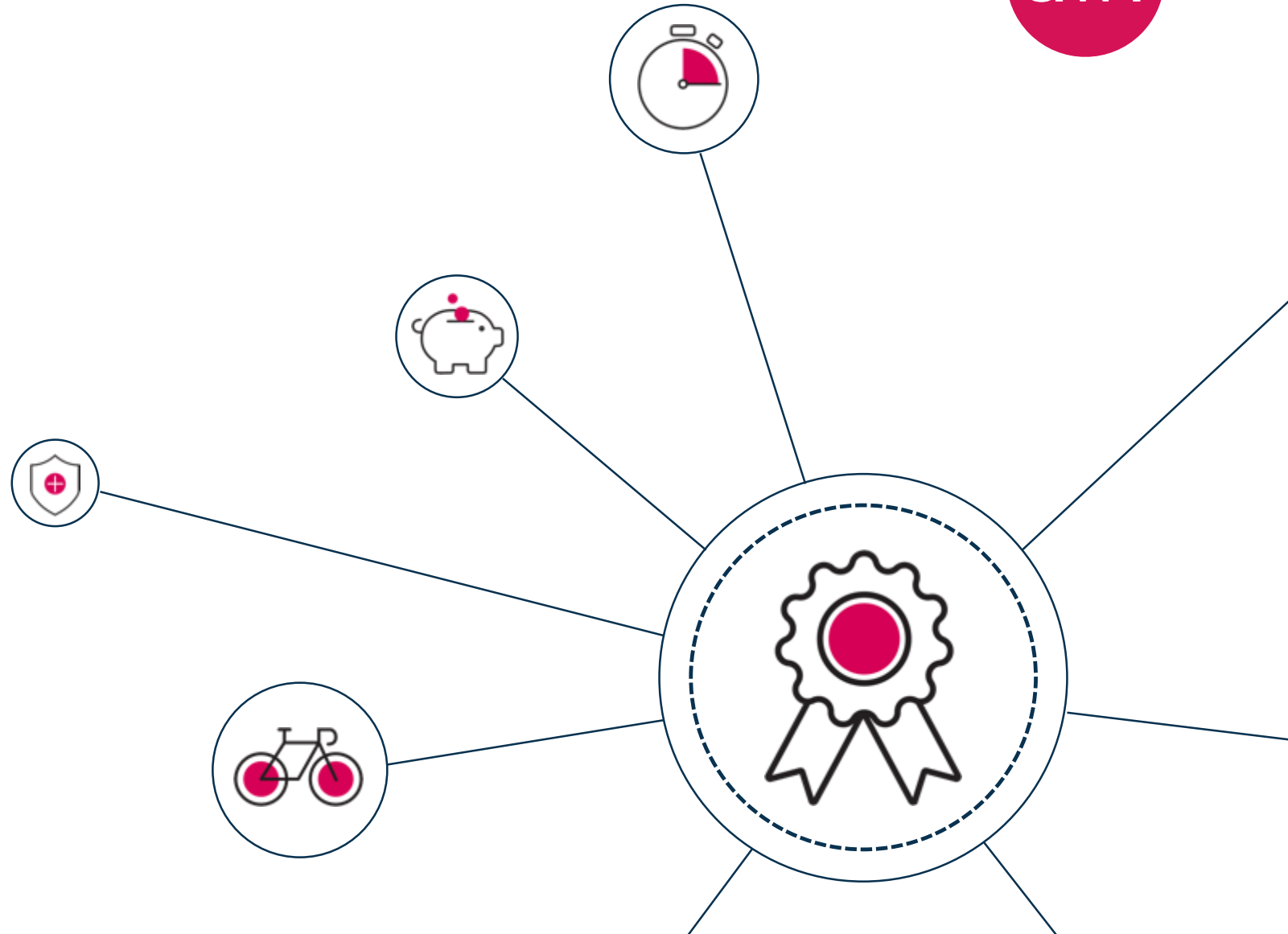


Retained services

Regulatory Consulting

dwfgroup.com



Retained Services

DWF believe that being better together is about providing our clients with access to cost-effective, expert support to ensure that your business can continue to rise to its regulatory challenges, even during unprecedented times



Managing risk



Managing time



Managing costs



Managing reputation



Managing recourse



About our retained services

We provide horizon scanning, expert-led consultancy services and core compliance support to provide you with practical, usable advice and solutions that work for your business.

Practically, this means that you can opt for ad-hoc, or light-touch compliance support, through to us acting as your 'outsourced' compliance function.

Our clients trust us to provide an exceptional level of regulatory advice to both retail and wholesale firms across the financial services spectrum. Our approach enables you to manage day-to-day compliance and regulatory change more effectively, helping you to put customer outcomes, good regulatory outcomes and commercial value for your business at the heart of what we do.

Why are DWF Regulatory Consulting's retained services right for your business?

Our clients come to us for a variety of reasons, depending on their business model. Your current needs may include:

Your compliance requirements do not necessitate full-time compliance resource within your business

There is a need to reduce regulatory costs and seek savings by using a provider of on-demand services

You would like to have a regulatory sounding board, to check that nothing is being missed

You want access to a wide range of subject matter experts to provide specialist input into your business

You have a need for expertise and resource to deliver a specific project.

Or alternatively, clients come to us simply for the peace of mind they get by partnering with a professional services firm that values relationships and focusses on providing enhancing client insights.

With our retained services, not only do you have access to our Regulatory teams, but through our Flexible Assistance Hours, you benefit from access to our entire firm at no extra cost*, including Corporate Services, Tax, Data Protection, Internal Audit, Forensic Services and Regulatory Investigations.

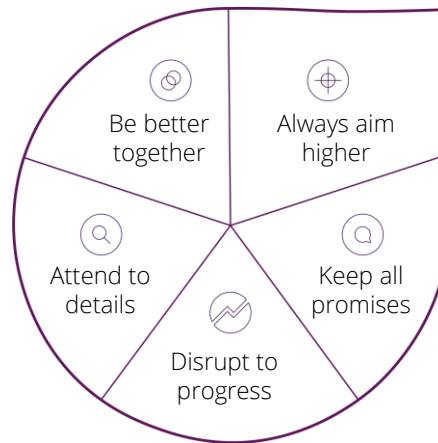




Why DWF?

We provide a tailored retained compliance services to meet your needs. These can be selected by customising our three core service offerings, or indeed by creating a solution entirely bespoke to the needs of your firm.

We recognise that businesses of every size are facing an array of challenges in today's social and economic climate. It's our business to support your business, so that achieving compliance with your FCA or PRA requirements is one less obstacle to overcome. Our approach sets us apart. Whereas some firms advise from a technical stand-point we work hard to focus on what's important to your firm, what's important to your customers, how we can improve your compliance framework and ultimately we do this by putting our values at the heart of our retained services:



Our team

We will allocate a team who are hand-selected based upon how closely their knowledge and experience fit the needs of your business. In addition, the core delivery team will be supported by subject matter experts from across our Financial Services legal practice, who will equally have extensive experience of providing firms in your specific sub-sector with legal advice and representation on complex issues. But the support for your business doesn't end there - DWF is comprised of over 4,000 people globally.

Our services in detail

Our services are always tailored to your needs, although we have three popular core offerings, depending on the specific compliance needs of your business:

Standard

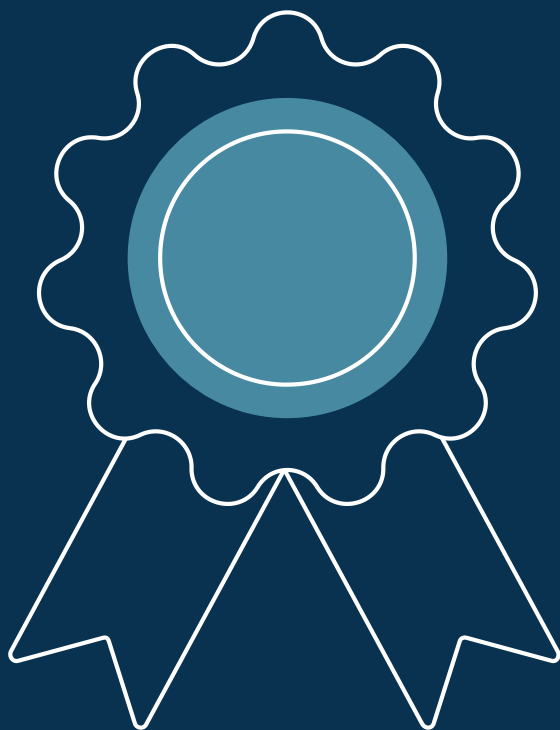
- Intended for firms who may have an established in house compliance capability but need additional overflow or specialist input, or for smaller firms with lighter-touch requirements.

Enhanced

- Aimed at firms whose staff may wear multiple hats. This option is ideal for firms who want to free-up their internal resources to focus on areas of the business, whilst ensuring that key regulatory and compliance business as usual activity is maintained.

Ultimate

- Designed for those firms who wish to engage a third-party provider to provide a full suite of compliance delivery and support, effectively sub-contracting the day-to-day compliance within the business. You can tailor the frequency of interaction, but the objective is that our team effectively become the compliance team for your business.



Or go bespoke...

Alternatively, you may wish to create your own bespoke support package. This could include any combination of support elements including:

- FCA Returns
- Thematic Projects and Reviews
- Policies and Procedures drafting and refresh
- Expert support & helpdesk facilities
- Flexible Assistance Hours for access to our wider team
- Thematic Compliance review meetings
- **Compliance Monitoring Plan (CMP): Drafting and implementation**
- Financial Crime Controls review, including client on-boarding
- **Training** and Workshops in a range of areas including Conduct Rules
- Financial Promotions and Marketing – approvals and reviews
- **Board and Senior Management briefings**
- Regulatory updates and horizon scanning
- **Backlog/remediation support**
- Financial Reporting and support

Flexible and cost effective

Keeping pace with the ever changing regulatory landscape and burgeoning demand placed on compliance can place a strain on budgets, resources or both. The talent pool is finite and lead times to securing the right candidate are often lengthy.

Our retained compliance services offer you a flexible approach to executing your compliance strategy. Once engaged, ad-hoc services can be requested as and when needed, or for those wishing have a monthly-retainer, contracts can be varied with just three months' notice.

Understanding your needs

Firms must meet the demands of a complex and ever changing regulatory landscape, but be flexible enough in their approach to ensure regulatory compliance while delivering good customer and commercial outcomes. Working with our expert regulatory practitioners is the key to staying ahead in a competitive world

DWF's retained compliance support provides you with budget certainty and on-demand access to a highly reliable regulatory team and range of subject matter specialists.



Contact Us

Please contact a member of the senior team to discuss your needs



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DWF is a leading global provider of integrated legal and business services.

Our Integrated Legal Management approach delivers greater efficiency, price certainty and transparency for our clients.

We deliver integrated legal and business services on a global scale through our three offerings; Legal Advisory, Mindcrest and Connected Services, across our eight key sectors. We seamlessly combine any number of our services to deliver bespoke solutions for our diverse clients.

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