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## Regulatory consulting - speaking your language in regulation.

In today's fast-paced world, the ever changing nature of financial regulation has become one of the most challenging and complex areas that businesses have to contend with on a day-to-day basis. Working with expert advisers is the key to staying ahead in a competitive world.

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### **We believe that businesses should control their own destiny**

Financial regulation is now an intrinsic cost of operating in the financial services sector. Irrespective of the nature of your firm's activities, if you provide advice or services to retail or wholesale clients, you are likely to be affected by regulation in one way or another. You can make regulation work for you by working with a partner who will help you to maximise the value that your business can gain from regulation.

### **Our business is about how regulation impacts your business**

Our team specialises in helping businesses anticipate and adapt in an ever-changing regulatory climate. We provide consultative problem-solving together with core compliance support to meet all of the regulatory needs of your business. Our regulatory offering is comprised of a full range of regulatory services; from ad-hoc support, ongoing services and one-off project assistance, to help you to navigate the domestic and international regulatory framework.

From a project perspective, our highly experienced team bring years of expertise, with pragmatism and insight to help you navigate those issues that represent volatility, uncertainty, complexity or ambiguity to your business.

We also specialise in providing routine regulatory support where you don't have the internal resources or 'know-how'.

Our role is simple; we work alongside you and partner with your business to translate financial regulation into solutions and advice that is bespoke to the needs of your business, and we deliver this in a manner that is tailored to your culture.

### **What makes us different?**

Trust, transparency, accountability, disclosure, comparability, good conduct and an ethical culture are all themes that will be increasingly important to your clients and how they choose their partners, and how regulators evaluate firms.

Our unique platform of connected services means that we can address the majority of regulatory, legal and operational issues where your business, or individuals within your business are likely to need support or expertise. We can truly operate as business advisors to help your business not just survive but prosper.



### Typically, we can assist with:

- New authorisations and applications
- Variations of permission Individual applications
- Health checks
- Change projects
- Governance reviews
- Board Effectiveness Reviews
- Three Lines of Defence reviews
- Due Diligence reviews/M&A support
- Past Business reviews
- Redress projects
- Internal Audits
- Shadow Skilled Persons reviews
- Target operating models
- Conduct and Culture Evaluations
- Senior Managers & Certification Regime (SMCR) implementation
- Senior Managers & Certification Regime (SMCR) Health Checks

Our team understands in detail how financial regulation impacts firms and we work across a range of sub-sectors and markets. Please contact our specialists to discuss in more detail how we can help.

### Contacts



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### Beyond borders, sectors and expectations

DWF is a global legal business, connecting expert services with innovative thinkers across diverse sectors. Like us, our clients recognise that the world is changing fast and the old rules no longer apply. That's why we're always finding agile ways to tackle new challenges together. But we don't simply claim to be different. We prove it through every detail of our work, across every level. We go beyond conventions and expectations.

Join us on the journey.

