



DWF Retained

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...

About our DWF Retained service



Managing risk



Managing time



Managing costs



Managing reputation



Managing resource

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 is DWF Retained 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.

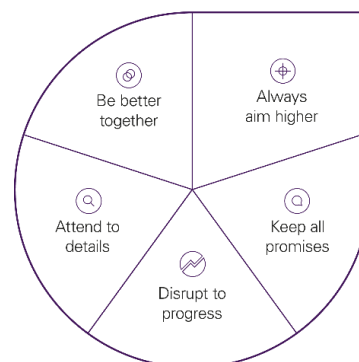
Under DWF Retained, not only do you have access to our Regulatory teams, but through our Flexible Assistance Hours, you benefit from access to our entire firm at no extra cost¹, including Corporate Services, Tax, Data Protection, Internal Audit, Forensic Services and Regulatory Investigations.

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:



¹ Monthly flexible assistance hours paid for as part of your monthly retained fee can be used against the time-costs of any of our services, if you do not wish to utilise the time for Regulatory Consulting assistance.

Our team

Whilst we are focused on providing a personalised service from the subject matter experts in our Regulatory Consulting team, DWF is comprised of over 3500 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.

Contacts

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



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