

# Regulatory consulting

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[dwfgroup.com](http://dwfgroup.com)

# Regulatory consulting – speaking your language in regulation.

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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.

## 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.

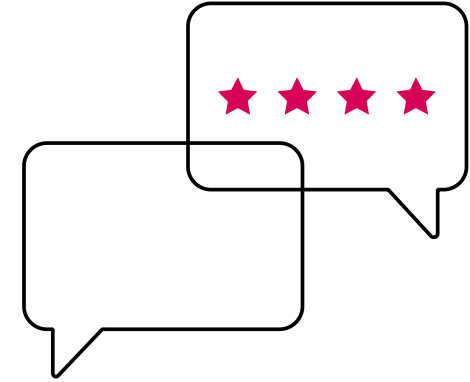
We also specialise in providing routine regulatory support where you don't have the internal resources or 'know-how'.

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 Integrated Legal Management approach 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.



## What our clients are saying

*" I think that you and your team did an absolutely stellar job with the FCA, where other people have suggested to call it a day, you were very supportive of our "survival effort" and organised a team to complete something which seemed impossible. I really appreciated your honest and incisive views on a constantly developing situation, your enthusiasm, work ethic, professionalism and, above all, I think you really cared for us and the outcome."*



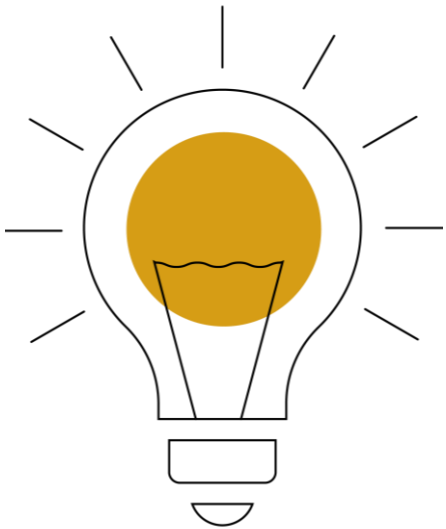
## Typically, we can assist with:

- 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



# Your team

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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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