

CEI Compliance Adding Value To Your Business



Understanding how YOUR business works
Providing ways to do the things you want
Testing existing and new arrangements
Reporting and offering alternatives

Allocation of Responsibilities, AML & CDD (EDD/SDD), ANTI MONEY LAUNDERING & COUNTER
TERRORIST FINANCING MEASURES, **Approved persons**, Arrow Preparation, **Audits**, Authorisation, CCA,
Change of control, Claims handling, Client assets, Client money, Collective Schemes, **Complaints handling**,
Compliance Health-checks, *COMPLIANCE MANUAL CONSTRUCTION*, Compliance procedures, Conflicts of
interest, Customer records, **Data Protection**, *Documentation*, Financial promotions, Fraud
Detection, FSA, HMRC, Management structure, **Operational Risk**, **Outsourcing**, PA Dealing, **PCI**
DSS, *Policy Management*, Post MiFID recording requirements, **PROCEDURES & RECORDS**, Product
providers, Regulatory reporting, Remuneration policies, Representatives, Risk Framework, **RISK MANAGEMENT**
PROCEDURES, Risk Strategies, Sales practice advice, Scope of advice, **Support**, Training Needs Analysis, Training &
Competence, **TREATING CUSTOMERS FAIRLY**, Variation, *Version Control*



The regulatory environment is growing and expanding rapidly with more challenging and complex requirements. Complying with regulatory demands in addition to controlling expenses, will affect your ability to manage risk; adding increased pressure on day-to-day operations.

Businesses are increasingly looking outside their own organisations for compliance expertise for reviews, improving existing compliance management, dealing with additional volumes of legislation, managing staff size, reducing expenses, and ultimately, managing risk.

CEI Compliance consultants possess a broad range of regulatory experience. They have come directly from the industry having spent years as operations and compliance professionals. Together, this team of professionals can readily assist you with the difficulties and challenges your firm faces today.

Unlike some consultancies, we make it our job to **understand** how regulatory changes affect your business. This requires certain skills as well as confidentiality, integrity, knowledge, and a level of insight that can only be gained with experience. Our consultants apply these values and skills as they work with you to evaluate your needs to identify the potential compliance issues within your remits and compliance implications of such actions as corporate restructuring, new product launches or expanding or selling into new markets.

Our experts will **work with you** and your team to identify compliance and process gaps; **provide** recommendations of best practices and solutions to resolve challenges, enabling you to optimise your workflow and mitigate risk through regulatory consulting, process **testing** and optimisation, product and technology optimisation, staff education, and product training.

We are able to tailor the solutions to suit your specific needs and unique challenges, for you to make your **reports** in the comfortable knowledge that all is well.

COMPREHENSIVE, DETAILED AND TAILORED TO YOUR NEEDS.

CEI Compliance is continually expanding its consulting offerings to address the dynamic environments and multi-faceted challenges you face. Each one of our consulting engagements focuses on your immediate needs to improve your speed to market and staff preparedness.

Whether you need our pre-defined services or a tailored consulting or training service, we're committed to helping you make sense of the complex regulatory compliance environment.

Take the proactive steps to bring your compliance program to the next level and beyond by partnering with CEI Compliance Ltd

Learn more by contacting us at consulting@cei-compliance-limited.co.uk or call **07092 289901**



Job Done! 

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Find our Terms of Business [here](#)