

# Compliance reviews with Strategi – your path to regulatory confidence

Strategi's compliance review service is your trusted solution for achieving and maintaining compliance excellence.

Our expert reviews are tailored to empower you, offering the peace of mind and regulatory confidence you seek in today's complex landscape.

We proudly offer our comprehensive compliance review service to all FAPs, regardless of size or advice services (we offer different review services for other licence types).

## Why choose Strategi?

For over two decades, Strategi has been at the forefront of providing expert compliance reviews for financial advisers. Our seasoned team comprises individuals with financial adviser qualifications, law degrees, and business expertise.

## A compliance review is vital to:

- Understand your level of compliance with regulations and obligations.
- Provide independent assurance to regulators, insurers, and product providers.
- Ensure your business adheres to good conduct principles.
- Identify areas that may require improvement.

## Key benefits at a glance

### In-depth compliance analysis:

Gain a clear understanding of your level of compliance with legislation, regulations, the Code of Professional Conduct for Financial Advice Services, FAP licence standard conditions, product provider contracts, and good conduct obligations.

### Expert guidance:

Leverage the expertise of our experienced team, well-versed in financial advice compliance, to enhance your business's compliance status.

### Independent assurance:

Obtain an independent assurance review that can be valuable for regulators, professional indemnity insurers, and product providers.





### What's Included in the review?

Our comprehensive reviews encompass:

- Evaluation of FAP policies, processes, and controls to ensure alignment with FAP licence or authorised body agreement commitments.
- Assessment of advice documents and client files to ensure suitability and compliance with FMCA duty obligations.
- Identification of compliance with good conduct obligations.
- Recognition of any significant changes that have occurred.
- Evaluation of authorised bodies operating under the FAP licence.
- Verification of compliance with product provider agreements.

### When should you schedule a compliance review?

Strategi recommends an annual compliance review for a proactive stance on compliance.

If you have made a significant acquisition or undergone a major business change, then consider booking a review for six months after the event to ensure things have properly bedded down.

Don't wait for challenging times; embrace the benefits of regular reviews to stay well-prepared and fine-tune your processes consistently. It's about maintaining a lasting commitment to regulatory excellence.

#### Concerned about cost and time?

The good news: reviews are more efficient than you might think. As you establish a review routine, each subsequent one tends to be quicker, streamlining processes and saving you money. Begin your journey to regulatory excellence today!

#### Tailored to your unique business

We acknowledge that every business is distinct. Contact us today to explore how we can customise our compliance review to align with your business size and operational methods.

#### Stay compliant with confidence

With Strategi's compliance review service, you not only meet your compliance obligations but also gain valuable insights to enhance your business practices. Partner with us to navigate the complex regulatory environment with confidence.

Contact us for a compliance review tailored to your needs.

# Your compliance, our commitment

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