

● **RISK AND REGULATORY SERVICES**

It is a fact of life that all regulated businesses today face ever increasing pressure in the areas of compliance, regulation and risk management. Not only are our businesses required to comply with regulations and laws imposed within Guernsey, we need to be alert to developments in the UK and EU which could have an impact on the way we operate.

It is vital to ensure that there are appropriate policies and procedures in place to address these risks. In any business this can become a huge burden on staff and managers. Failure to meet the relevant requirements could place your organisation, and potentially your staff, at risk of investigations, prosecution, penalties and even possible loss of licence.

Collas Crill is pleased to be able to offer our services in regulatory risk assessment and management. We have a highly experienced team of lawyers with expertise in financial services, able to deal with all legal compliance issues that could affect your business. The assistance we are able to provide ranges from strategic matters to specific operational issues.

Our services include:

- General regulatory and compliance advice and support
- Anti-Money Laundering compliance
- Guernsey Financial Services Commission investigations
- Regulatory audits and reporting - either one-off reviews or periodic health checks
- Foreign investigation and enforcement (including freezing and tracing orders)
- Licence applications and extensions
- Registration of non-regulated financial services businesses
- Review of client agreements, terms of business and promotional material
- Preparation, review and refresh of internal procedures manuals
- Data protection compliance
- Corporate governance compliance
- Training and updates on latest developments

We can also carry out reviews of specific areas for certain purposes, for example, pre-disposal due diligence or other transactional work. We will work with you to tailor our services to meet the requirements of your business.

FOR MORE INFORMATION, PLEASE CONTACT MICHAEL ADKINS OR EMAIL RISK@COLLASCRIILL.COM



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