

RESOLUTION

Building Tomorrow

REGULATORY INCUBATION FOR FINANCIAL SERVICES



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resolutioncompliance.co.uk

Our expertise

Resolution Compliance is a leading provider of Appointed Representative services in the UK, offering regulatory incubation for financial services firms.

Bringing years of industry experience, we provide total network solutions tailored to your offering.

Through our permissions with the Financial Conduct Authority, we are able to avail these to these types of firms:



Corporate finance
firms



Retail investment
platforms



Stock trading
platforms



Insurtech
platforms



Peer-to-Peer
(P2P) lending



Credit
brokers



Insurance
brokers



Credit information
service providers

Our services

The complex world of compliance can be hard to navigate, especially if you are trying to establish and grow a business. We provide a range of services; working alongside emerging firms and established businesses, tailoring our solutions to best fit your business needs.

Our aim is to ensure you remain compliant with the required financial regulation but with consideration for the commercial needs of your business.

We are an umbrella provider for Appointed Representative (AR) status for insurance brokers, equity crowdfunding platforms, peer-2-peer lending platforms, consumer credit firms and corporate finance firms.

Our services include:



AR status

Whether you are an existing AR of another network or are looking to be a part of the financial power of a leading network, we can provide solutions. We have access, via our network of ARs, to leading providers of financial products and services.



Fully integrated solutions

We can help provide fully integrated IT solutions through third parties for peer-2-peer lending, crowdfunding and robo-advice, which can be tailored to your specific requirements.



Regulatory incubation

Looking at starting a new business venture? Need support and guidance to get regulated? Looking for a short-term solution until you get directly authorised? No problem. We can provide you with regulatory authorisation.



Compliance solutions

We know that being active in the regulatory environment means you need to be able to evidence and implement sustainable compliant behaviours. We apply this to all our AR firms, aiming to achieve the highest standard in compliance controls.

AR application process

We have broken down the FCA Appointed Representative application process into 3 simple steps;

STEP 1: ASSESSMENT OF REQUIREMENTS



We will sit with you and decipher what your firm's regulatory and compliance needs encompass. This will include what permissions you require in accordance with the Regulated Activities Order giving consideration to your current business structure, as well as future growth needs.

STEP 2: APPOINTED REPRESENTATIVE TAKE-ON



We will complete the necessary and regulatory due diligence on the firm and key individuals as per the requirements set out under the FCA's Threshold Conditions (COND). This will include a review of the firm's business plan, financials, financial promotions and marketing material. All individuals will be subject to the successful completion of in-house regulatory training modules and assessments.

During the process, the firm is assessed first and subject to FCA approval, then listed on the FCA Register. Next, follows the Approved Persons who hold significant influence functions as assessed by Resolution Compliance.

STEP 3: ON-GOING OVERSIGHT & SUPPORT



As an Appointed Representative you will be provided with regulatory support from your dedicated Compliance & Supervision Manager along with their support staff. This will include regulatory supervision onsite visits, audits and regular reporting via Attestations to ensure that you remain compliant with FCA regulations.

Some of our clients

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Contact us

If you'd like to know more about how we can help you with Appointed Representative services, our expert team is here to help.

Contact us today on 0203 859 0058, email info@resolutioncompliance.co.uk or visit resolutioncompliance.co.uk.

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