



REGULATION AND COMPLIANCE

Ongoing Consulting

Today's complex and constantly changing regulatory environment provides significant challenges to all investment businesses. This is particularly the case for boutique investment firms which often have no dedicated internal compliance resource to guide them through the regulatory maze and ensure they remain, at all times, on the right side of the FSA and of UK financial services law.

Senior management is responsible for ensuring a firm's compliance arrangements are comprehensive, proportionate and effective. Our compliance support enables management to better meet these obligations. IMS can either directly support management in the absence of a dedicated internal compliance resource, or can work with existing internal resources to strengthen and enhance the effectiveness of compliance.

Compliance support process

IMS provides a complete ongoing compliance support service covering all aspects of the compliance obligations of investment firms. This service was pioneered by IMS in 1996 and since that time we have built up a client base of many hundreds of firms. We have developed and refined our service offering over many years in response to changes in regulatory thought and process. Currently our service includes the following main elements;

- Regulatory Updates
- Proactive Advice & Business Monitoring
- Ad hoc (Reactive) Advice
- Compliance Infrastructure Design & Benchmarking
- Maintenance of Compliance Policies & Procedures
- Compliance Monitoring
- Regulatory Training

Although the basic structure of our service may be the same across all clients, every client is different in a number of ways. We reflect this by gearing the focus and method of delivery of our service, to the specific nature, size and scope of our clients' business activities, the risks arising there from and the particular needs and requirements of management.

How we work

IMS is the established market leader in the development of effective, yet pragmatic compliance support solutions. Our aim is to make compliance simple, but effective and to embed it into business practices so that compliance is the natural result of doing business.

We are dedicated to understanding regulatory requirements and how they should be met. We have a substantial staff complement totally dedicated to the highest standards of client service and this is evident across all aspects of our working practices. Our extensive expertise often means we have ready solutions for seemingly challenging issues, simply because we have seen it before.

As the regulatory environment and FSA expectations evolve, IMS is constantly challenging and reviewing its own regulatory processes and we strive to ensure our knowledge and practices are leading edge and at the forefront of regulatory thinking.

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