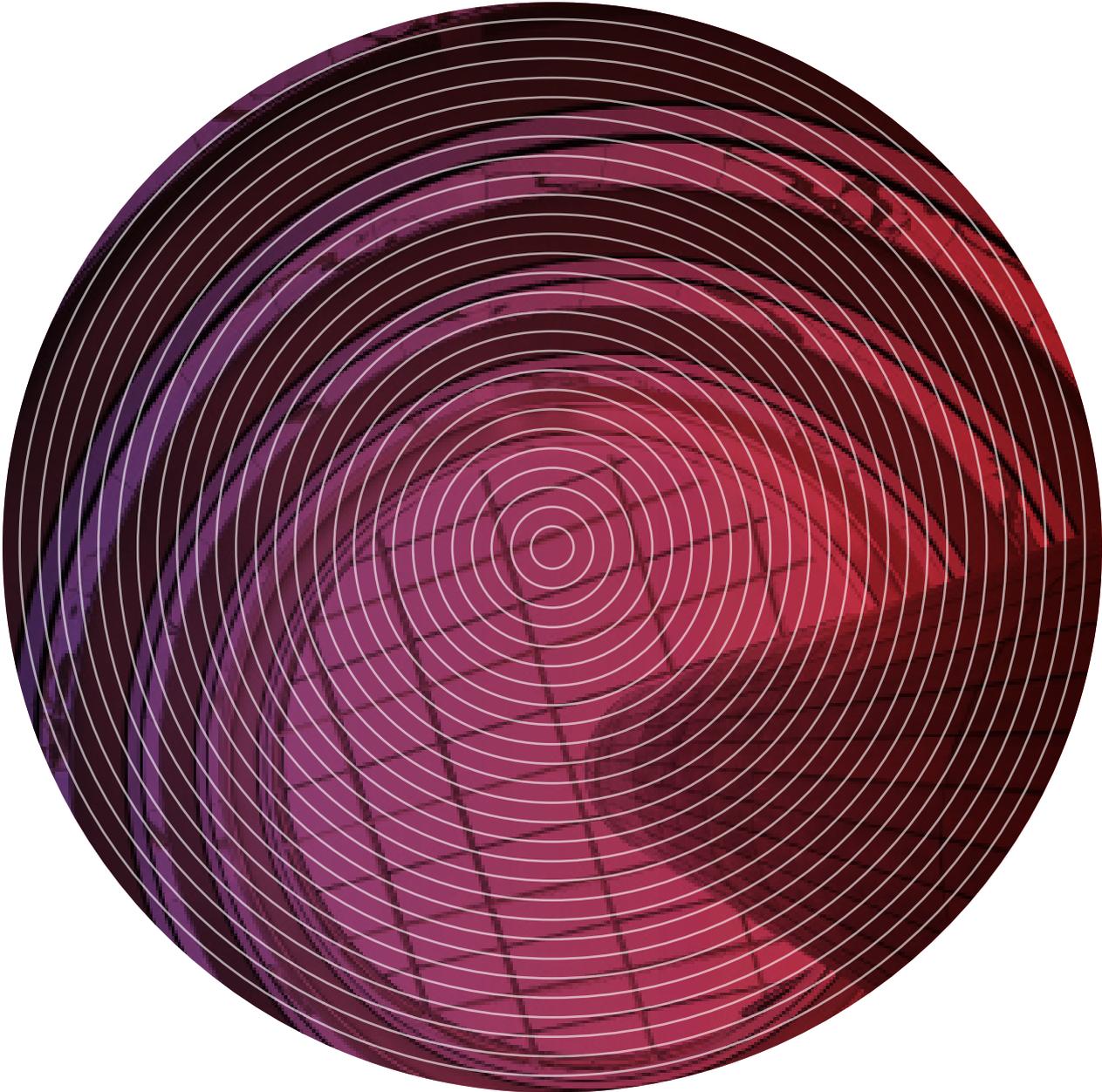

Financial Services
Compliance Support
Expertise

MCCANN FITZGERALD



We provide tailored compliance solutions to clients in the financial services sector. We recognise that the compliance function plays a critical role in ensuring proper risk-management within the context of the client's business. Our team of lawyers and compliance professionals has immense experience in providing practical and commercially focused compliance support, delivered with the excellence and integrity for which McCann FitzGerald is well-known.

We provide on-going compliance support services such as reporting to regulatory authorities, know-how and training. We also provide flexible resourcing and technology-based solutions to support the compliance function during busy periods and for projects. For large-scale projects, such as those involving high-volume document reviews, we can help clients better manage the cost of legal compliance. We combine project-management expertise, legal know-how and a variety of advanced technological platforms, which allows for a project-based pricing system, enabling us to deliver cost-effective solutions and without any compromise on quality.

We work with newly established, domestic and EU passporting clients to build their compliance function. We assist with all initial compliance tasks, including the development of appropriate compliance procedures, regulatory filings and registrations and company secretarial filings.

What we Offer

New Entrants

- Licensing applications and liaising with the Central Bank of Ireland (“**Central Bank**”) and other relevant authorities
- Registration with the Central Credit Register
- Compliance-checking customer-facing documentation
- Preparing procedure and process documents and staff handbooks
- Company establishment and company secretarial service

Projects

- Implementing strategy for legal/regulatory changes, including changes to business documentation, procedures and processes
- High-volume documents review using advanced technology and subject-matter experts
- Assisting firms with preparing for, and dealing with Central Bank inspections and Central Bank themed visits
- Providing advice in relation to regulatory investigations (*eg* Administrative Sanctions Procedure)

Reporting and Filings

- Acting as appointed reporting agent for certain reports and filings to the Central Bank via its Online Reporting System, including for non-regulated entities required to submit quarterly statistical information and market-abuse related information
- Acting as appointed reporting agent for certain mandatory reporting to the Central Credit Register, including for non-regulated credit information providers
- Monitoring deadlines by which mandatory reporting must be completed, implementing reminders and preparing schedules of required information for completion
- Integrating with our company secretarial service for filings with the Companies Registration Office

Knowledge and Training

- Providing monthly or other periodic updates with respect to specified areas of law and regulation
- Staff, executive and board training and CPD to meet minimum competency requirements

Assurance Reviews

- Conducting risk reviews and providing advice
- Analysing existing compliance processes and frameworks and identifying where they can be improved, providing pragmatic solutions for remediation
- Assurance-testing and reporting with respect to controls and processes, including providing independent third party reports where required by the Central Bank
- Pre-and post-implementation support to provide oversight and assurance of compliance with legislative changes and new regulatory obligations

On-call Access to Legal Advice

- Direct access to top-tier legal advice within McCann FitzGerald to support compliance work (where relevant, protected by legal privilege) across all areas of the business, ranging from interpretation of legal and regulatory requirements through to specialist areas such as data protection and cyber-security

Your Key Contact



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This document is for general guidance only and should not be regarded as a substitute for professional advice. Such advice should always be taken before acting on any of the matters discussed.