

Financial institutions  
Energy  
Infrastructure, mining and commodities  
Transport  
Technology and innovation  
Life sciences and healthcare

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 **NORTON ROSE FULBRIGHT**

# Regulatory Compliance Consulting

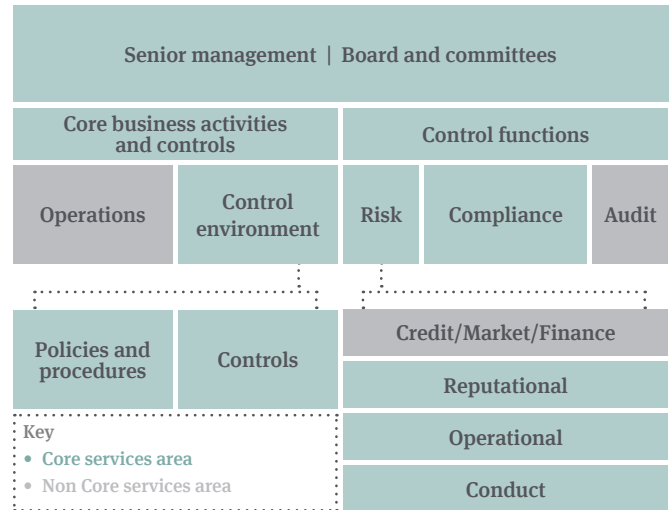


## Our consulting team provides practical risk and compliance advisory and assurance solutions.

We help clients maintain and enhance their governance, risk, compliance, financial crime and control arrangements. It is complementary to and works in alignment with our legal service offering.

### We focus on

- Helping risk and compliance functions discharge their responsibilities
- Delivering independent assurance, attestation and remediation services
- Improving the efficiency and effectiveness of control environments and governance frameworks



### Why us?

- **We combine our regulatory and risk consulting skills with our legal services** – Giving clients the full breadth of services from one provider.
- **We tailor our teams to the needs of each assignment** – Ensuring that our solutions are robust, efficient and sustainable and in line with the client’s risk appetite and operating model.
- **We have cross jurisdictional coverage** – Meaning that we understand the challenges faced by multi-jurisdictional businesses and can resource assignments requiring skills in multiple territories.
- **We bring practical experience to our assignments** – Using individuals in our teams who have worked in industry firms.

### How we build our consulting teams

We strongly believe that to achieve the best outcomes for clients, our teams must contain the right balance of technical, operational and practical skills, tailored to meet the objectives of each assignment.

To achieve this, we follow an agile resourcing model, using our Norton Rose Fulbright lawyers and our network of industry professionals to support our own risk and compliance consultants. This involvement ensures that our solutions are both compliant and considered in the context of wider industry practice.



**Our services**

**Strategic change drivers – Impact assessment**

**Organisational tools and techniques**

- Helping management identify, assess and mitigate conduct, operational and regulatory risk
- Supporting the development of an effective and sustainable control environment
- Facilitating the implementation and embedding of regulatory change

**Assurance**

- Targeted assurance
- Reviews of internal controls
- Preparation for regulatory visits

**Remediation**

- Managing and delivering remediation projects

**Governance and conduct**

Organisational governance arrangements	Individual accountabilities and personal responsibilities	Board reporting and management information
Risk appetite and strategic risk assessment	Conduct risk, corporate ethics and whistleblowing	Regulator engagement

**Risk and control framework**

Operational risk assessment and measurement	Control environment design and development	Internal monitoring and surveillance
Policies and procedures	Regulatory change	Training and education

Regulator mandated (skilled persons) reviews
Controls testing
Post implementation reviews
Risk and compliance function effectiveness
Risk and compliance framework effectiveness

**End to end remediation project delivery including client engagement and redress**

**Regulatory change drivers – Impact assessment**

## Contacts

If you would like further information please contact:



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## Norton Rose Fulbright

Norton Rose Fulbright is a global law firm. We provide the world's preeminent corporations and financial institutions with a full business law service. We have more than 4000 lawyers and other legal staff based in more than 50 cities across Europe, the United States, Canada, Latin America, Asia, Australia, the Middle East and Africa.

Recognized for our industry focus, we are strong across all the key industry sectors: financial institutions; energy; infrastructure, mining and commodities; transport; technology and innovation; and life sciences and healthcare. Through our global risk advisory group, we leverage our industry experience with our knowledge of legal, regulatory, compliance and governance issues to provide our clients with practical solutions to the legal and regulatory risks facing their businesses.

Wherever we are, we operate in accordance with our global business principles of quality, unity and integrity. We aim to provide the highest possible standard of legal service in each of our offices and to maintain that level of quality at every point of contact.

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