

SUPPORTING COMPLIANCE

Checking your Compliance Health



In an increasingly complex and developing regulatory environment, maintaining compliance is more than just meeting obligations; it's about managing risks, protecting your reputation, and securing your firm's future.

Devlin Mambo's Compliance Health Check service is designed to help you excel in your compliance activity.



What is a Compliance Health Check?

Our *Compliance Health Check* comprehensively reviews your firm's existing compliance programme. We focus on several key areas including:

- **Compliance Documentation:** We conduct a thorough review of your compliance documents, ensuring they meet regulatory requirements across your jurisdiction(s) of operation.
- **Governance Reporting:** We evaluate your firm's governance reporting and MI to ensure they reflect industry best practice, regulatory expectations, and internal governance structures.
- **Senior Management Systems and Controls:** We critically assess the systems, controls, and oversight at the senior management level.
- **Compliance Risk-Management:** We review your firm's risk management strategies to ensure effective alignment with your governance arrangements, and system and controls.
- **Prudential Supervision and Regulatory Reporting:** We evaluate your firm's adherence to regulatory and prudential reporting requirements.
- **The Compliance Function:** We assess the compliance function in its entirety, from its independence to resourcing.

We also offer retained support across Governance, Risk, and Compliance providing firms with tailored services to complement the existing compliance programme and function.

SUPPORTING COMPLIANCE



Empowering success;
driving innovation

Why Choose Us?

As a practitioner led consultancy, Devlin Mambo provide an unbiased and objective view of your firm's compliance programme built on our significant experience and expertise across the investment management industry. Our team offers insights and recommendations that are practical, actionable, and specifically tailored to your firm's needs.

The Benefits

Our **Compliance Health Check** allows you to consider your compliance areas and identify gaps and issues, following on with strategic recommendations to remediate these. Doing so can ensure your firm's adherence to regulatory requirements and effective compliance risk management in a demonstrable and evidenced manner.

Innovation: Compliance Monitoring Platform

To help our clients deliver efficiency and enhanced governance over compliance monitoring activity, Devlin Mambo have designed an affordable Compliance Monitoring Platform (CMP). Our CMP solution enhances efficiency instantly by establishing a unified, secure, user-friendly and all encompassing compliance environment.

Read
more
about
our
CMP



We are Devlin Mambo - a diverse team of professionals on a mission to transform how consultants support the asset management industry.

We're innovative in our approach to problem-solving for our clients. Through our deep understanding of industry issues, we can provide bespoke consultancy services and offer specialist software solutions.

When you work with us, you're not just getting consultants; you're getting a partner committed to making a difference and delivering exceptional value.

GET IN TOUCH

If you need more details on how we can assist you, get in touch

E: enquiries@devlinmambo.com

devlinmambo.com