

**THE WAY
COMPLIANCE
SHOULD BE**

About Effecta

Effecta Compliance Limited (“Effecta”) was established in the UK to assist financial services firms with their regulatory obligations. Our purpose is to ensure that your compliance requirements are managed with confidence and pragmatism and that any work we undertake for you is “effective” and relevant to your specific business needs. We are a team of experienced consultants, entirely solutions focused, to provide a truly tailored compliance consultancy service.

We are truly different to other consultants out there. We know when financial services firms are provided with generic advice or templates which is at best unhelpful, wasting valuable time and money to work through and, at worst, exposes a business to audit, regulatory failings and findings for not being an accurate reflection of a firms actual and intended operation. Our approach is very different. We are driven by truly getting to know you and your business and its requirements before providing advice or any other compliance support services to ensure we meet our promise to give you workable solutions.

Effecta are aware of the pressures placed on Senior Management, Compliance Officers and MLROs in navigating today’s increasingly complex regulatory and compliance challenges. Our consultants and our core support team will assist to ease these demands and allow your business to focus on its commercial and strategic aims. We want our consultants to be an extension of your team, there to support you meet your compliance obligations and provide a valuable insight into what industry standards and best practices are developing to ensure you are not left behind the regulatory curve.

“ We will always look for solutions which not only comply with the regulations that your business needs to meet, but also ensure that our advice can be integrated into your business model practically, efficiently and in a cost-effective manner. Our consultants have a proven track record, business and regulatory experience, and the ethos to make a positive difference to the way we help handle your compliance arrangements. ”

Effecta provides compliance consultancy services to start-ups, emerging and established firms requiring retained and ad-hoc compliance support and project management services both in the UK and internationally, with specific Middle East expertise, to the following types of firms:

Asset Managers & Advisers	Hedge Funds	Private Equity & Venture Capital firms	Corporate Finance advisers
Real Estate & Infrastructure firms	Broker Dealers	FinTech Providers	Payment Service Providers
Investment Banks	Wealth Managers	Family Offices	Digital & crypto assets



Effecta Consulting Services

Our team provides regulatory advice and solutions throughout your business life cycle from start-up phase to on-going support once you have received your regulatory licence. These include:

- UK FCA authorisations & registration and UAE DFSA/FSRA authorisations.
- Appointed Representative* (“A/R”) solutions.
- On-going retainer and/or ad hoc support for regulated firms including those providing A/R services.
- Design and implementation of compliance policies and procedures.
- Project management of regulatory and compliance projects.
- Independent regulatory health checks and compliance assurance & thematic reviews.
- In-house secondment and temporary staff placement.
- Compliance and AML training.
- Draft and review of FCA financial returns & preparation of non-financial returns.
- Financial crime services.
- ICAAP initial drafting & reviews.
- Regulatory updates and thought leadership information.
- Event driven applications / notifications e.g., Changes in Control, Variations of Permission, Change of Legal Status etc, preparation for regulatory inspections and change events.

* Appointed Representative “readiness” assistance in conjunction with preparing your FCA authorisation.

Why choose Effecta?

Effecta has strong relationships globally, particularly in the UK and the UAE. We work in partnership with our affiliates who provide corporate and legal services as well as your existing service providers. Our consultants will be an extension of your team, there to support you and assist you in making the right choice for your business now and in the future.

- Partnership - Responsive to your needs with pro-active, timely application and delivery.
- Staff - Practitioner based, highly experienced, “user-friendly” staff.
- Professional - Proven approach based on industry-recognised methodologies and client feedback.
- Expertise - Detailed knowledge of regulatory requirements and their application.
- Dedication - Commitment to understanding and meeting your specific requirements.
- Business-minded advice - practical solutions to facilitate your strategic business needs.
- Ethos – Passion for offering and delivering a first-class service to clients as a trusted adviser.



The EFFECTA Team



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