

# ROBERT QUINN

FINANCIAL REGULATORY EXPERTS

Robert Quinn Consulting is an independently owned financial regulatory compliance consultancy, established in 2007.

We specialise in providing tailored, integrated advice to financial services companies on their FCA, SEC and CFTC regulatory obligations and needs. Our team of senior compliance consultants offers bespoke, pragmatic, commercial advice, with a strategic outlook that will help you to keep growing your business.

## OUR SERVICES

### Ongoing Compliance Monitoring

We deliver on-going integrated compliance support and reviews, covering all areas of a client's compliance and regulatory responsibilities with respect to the FCA, SEC and CFTC. We provide a suite of compliance policies, tailored to the nature of your business. We can also function as your in-house compliance team if required.

### AIFMD / MiFID II

We have successfully helped our clients through the process to achieving AIFMD and/or MiFID II compliance. We are extremely knowledgeable in the intricacies of the AIFMD and MiFID II regulations and can assist in any regulatory queries in these areas.

### Senior Managers & Certification Regime

We can provide assistance in complying with the Senior Managers & Certification Regime, including policies and procedures, background checks and training.

### FCA, SEC & NFA Compliance Projects & Audits

We work on a variety of regulatory projects and reviews, depending on a client's specific requirements.

### Robert Quinn Advisory – Appointed Representative Sponsorship on our platform

Our regulatory umbrella allows firms to market and provide investment advice in their own name as an Appointed Representative. We provide our

own UK regulatory permissions to our clients, so that they are able to quickly start and operate their business, with all the relevant FCA permissions and procedures, whilst maintaining their brand.

### FCA Compliance and Authorisations

We are extremely experienced in helping our clients with their FCA obligations and authorisations. We manage the entire FCA application process and draft all documentation to make your life easier. We have an excellent relationship with the FCA and can make this process much more straight forward and quicker for you. We will work with you and the FCA case officer from start to finish until you receive your authorisation.

### SEC Compliance and Registration

Our experienced team has been advising on US compliance regulations for over 20 years. Our unique experience, including a U.S. lawyer, allows us to quickly understand your business and your comprehensive U.S. regulatory obligations in the context of your European business.

### CFTC/NFA Compliance and Registration

Rule changes in the U.S. have required many UK firms to register with the Commodities Futures Trading Commission, through its self-regulatory organisation, the National Futures Association. In your role as a Commodity Pool Operator or Commodity Trading Adviser, we can assist you in maintaining compliance with the requirements.

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