



**Complyport**  
ComplyMAP Group

# Your Trusted Partner in Governance, Risk, Compliance & Technology

[Complyport.com](https://complyport.com)



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## Introducing Complyport

ComplyMAP Group is a global RegTech, GRC, resourcing, and technology group that brought together Complyport and Gentium from the UK, MAP S.Platis, MAP FinTech, Quadprime, MAP Risk Management Services and MAPiTek from the EU, and Spinebiz from the UAE, Mauritius and India, under one global brand – Complyport.

With over 25 years of British experience and excellence in governance, risk, compliance and technology, we have secured more than 1,500 regulatory authorisations across the EU, the UK, and the UAE, and we support over 1,000 firms worldwide.

From our headquarters in the UK to our presence across the EU, the UAE, Mauritius, and India, we deliver consistent, cross-border regulatory and technology solutions under a single, integrated brand identity.

By combining highly experienced regulatory and technology professionals with AI-enabled systems, we help firms transform compliance from a regulatory obligation into a driver of stronger governance and sustainable growth.

- Authorisations and Applications
- Compliance Support and Advisory
- Financial Crime
- Internal Audit and Health Checks
- Skilled Person s166 and Expert Witness (80+)
- Compliance Resourcing
- Operational Resilience
- Prudential and Regulatory Reporting
- Trade and Transaction Reporting Solutions
- Insurance Advisory
- ESG Services
- Training
- Asset Recovery, Crypto & FATF Advisory
- Digital & Operational Transformation



## Services

### Authorisations and Applications

Complyport offers a comprehensive suite of services designed to support financial firms in navigating regulatory landscapes and achieving compliance. Our dedicated team offers strategic advice, detailed documentation assistance and support to ensure your submissions are accurate, timely and aligned with regulatory expectations.

Our services include:

- International Authorisations
- EU Authorisations
- UAE Authorisations
- FCA and PRA Authorisations
- FCA Interview Preparation
- FCA Sandbox
- FCA Perimeter Guidance
- HMRC Registrations
- Change in Control
- Variation of Permissions

### Compliance and Advisory Support

With our extensive experience in providing tailored GRC solutions our comprehensive suite of support and advisory services is designed to keep you ahead of the curve, reduce risk, and ensure seamless compliance across all areas of your operations.

Our services include:

- Ongoing Compliance Support
- Governance, Risk, and Compliance
- Consumer Duty
- Retail Financial Services Compliance
- Pension Switching and DB Pension Transfers
- IFPR Support
- SM&CR
- Financial Promotions
- AR Monitoring
- Safeguarding Services



## Financial Crime

With our international reach and sector-specific expertise, we are positioned to understand and address the unique challenges posed by Financial Crime. Our team consists of leading specialists in the field, supported by AML/KYC/EDD specialists who bring extensive experience to every project.

Our services include:

- AML Health Checks
- HMRC Supervision – Registration and Compliance Support
- AML Policies, Procedures and Controls
- Financial Crime Assurance Review
- Financial Crime Business Wide Risk Assessment (BWRA) Support
- FCA Annual Financial Crime Reporting (Rep-Crim)
- KYC/CDD/EDD Outsourcing
- AML Training for staff (online or face to face)
- Financial Crime Annual Retainer
- Sanctions Framework Review
- DBS Checks
- FATF MONEYVAL Preparation Evaluation Readiness

## Internal Audit and Health Check Services

At Complyport, we adopt a comprehensive “review-and-recommend” approach, inspired by the FCA’s model for appointing independent experts to undertake assurance reviews. Our seasoned team is dedicated to conducting thorough assessments of past performance, making actionable recommendations, and supporting remedial activities to future-proof your business from an FCA compliance perspective. We also offer the option of appointing a named individual as your Internal Auditor, tailored to your specific needs.

Our services include:

- Risk-Based Internal Audits
- Customised Audit Planning
- Compliance Health Checks
- Anti-Money Laundering (AML) and Counter-Terrorist Financing (CTF) Checks
- Internal Audit Reporting
- Systems Audit Trail Verification
- Extraordinary Investigations and Ad-Hoc Assurance Engagements



## **Skilled Person s166 and Expert Witness**

Complyport delivers Skilled Person (s166) and Expert Witness services, providing independent analysis and expert support to help firms meet regulatory requirements and resolve disputes. Our appointment to the FCA/PRA Skilled Person Panel across eight specialised lots reflects our status as a trusted, regulator-approved consultancy.

Our services include:

- Skilled Person Reviews and Regulatory Investigations (Section 166)
- Financial Services Expert Witness & Special Investigations
- Crypto & Virtual Assets Expert Witness

## **Compliance Resourcing**

At Complyport we ensure organisations have the right expertise in place to navigate regulatory challenges, mitigate risks and maintain robust governance practices, all while allowing firms to focus on their core operations.

Our services include:

- Compliance Resourcing Solutions
- AML/CDD Compliance Managed service
- Data Protection Officer Support service

## **Operational Resilience and Cybersecurity**

At Complyport, we prioritise your organisation's operational resilience, recognising its criticality in today's increasingly interconnected and digital world. Our suite of services are designed to ensure your operations' robustness against potential threats and disruptions. They are geared towards improving your business continuity planning, enabling your organisation to adapt and respond swiftly to unforeseen challenges. We provide comprehensive assessment and evaluation of your IT systems, identifying and addressing gaps to ensure your IT security controls meet regulatory and compliance standards.

Our services include:

- FCA Operational Resilience Policy (PS21/3)
- IT & Cybersecurity Audit
- REP018 Operational and Security Risk Report
- SOC 1
- SOC 2
- DORA



## **Prudential and Regulatory Reporting**

Complyport provides extensive Prudential and Regulatory Reporting services, ensuring that financial institutions comply with regulatory requirements and maintain robust financial health. Our variety of specialised services are tailored to meet the specific needs of each client helping financial institutions meet regulatory requirements and maintain financial health.

Our services include:

- Risk Management Consulting
- Prudential Advice and Support
- MIFIDPRU 8 Disclosures support
- ICARA Support Services
- IFPR Services
- AIFMD Reporting
- RegData Support Services

## **Trade and Transaction Reporting Solutions**

Complyport assists firms with trade and transaction reporting, a crucial aspect of compliance for financial institutions. Accurate and timely reporting of transactions is essential to maintain transparency, prevent market abuse and ensure adherence to regulatory frameworks such as EMIR, REFIT, MiFIR and SFTR. Our team of experienced consultants, award-winning technology and a tenured client service team are committed to ensuring your success in meeting your regulatory obligations.

Our services include:

- EMIR, MiFIR & SFTR Transaction Reporting
- EMIR, MiFIR & SFTR Advisory Support

## **Insurance Advisory**

We provide advice with interpreting and implementing the FCA's guidance regarding regulatory boundaries. Additionally, we advise on understanding and applying the FCA's fundamental risk pillars, including governance, culture and control in a proportional manner. We also conduct compliance monitoring and offer assurance to the board and senior management through various compliance assessments.

Our services include:

- Practically interpreting and adhering to the FCA Handbook as it relates to your business model
- Overseeing the compliance management of your ARs and Introducer Appointed Representatives (IARs)
- Ensuring ongoing compliance with SYSC, ICOBS, CASS 5, MIPRU and the Insurance Act 2015



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## ESG Services

At Complyport, we understand the importance of Environmental, Social, and Governance (ESG) factors in today's business landscape. Our ESG services are designed to help organisations embrace sustainable practices, foster positive social impact, and achieve responsible governance based on current and proposed rules. By integrating ESG principles into your business strategy, you can drive long-term value, mitigate risks, and enhance your reputation.

Our services include:

- ESG Policy - Develop and implement an ESG policy tailored to your firm's needs
- ESG Checklist - Measure, monitor, and enhance your ESG practices
- ESG Reviews - Identifying your firms next steps for development

## Compliance Training Services

Complyport offers a comprehensive suite of compliance training services, tailored to the unique needs of financial institutions. Our bespoke training solutions equip your team with the necessary skills and knowledge to excel in regulatory compliance, ensuring your organisation remains compliant and prepared for any regulatory challenges.

Our services include:

- Executive Training: Tailored sessions for senior management to navigate complex regulatory landscapes
- FCA Interview Preparation: Specialised training with mock interviews to build confidence
- MLRO Training: In-depth training for Money Laundering Reporting Officers on AML regulations and best practices
- eLearning Platform: User friendly, branded portal with comprehensive online training modules covering essential compliance topics
- Law Enforcement Support & Investigations Training: Specialist tactical support and accredited programmes delivered by former law enforcement professionals to enhance investigative outcomes and operational effectiveness



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## **Asset Recovery, Crypto & FATF Advisory**

At Complyport, we provide world-leading forensic intelligence and investigative support to help your organisation navigate the complex world of digital assets. In an era where crypto-assets and decentralised finance are increasingly subject to rigorous regulatory oversight, our specialist services, equip firms and law enforcement with the tools to identify, investigate and mitigate financial crime. We combine high-level policing expertise with cutting-edge blockchain analytics to ensure your digital asset operations remain secure, compliant and resilient against sophisticated criminal activity.

Our services include:

- **Crypto-asset Investigative Support:** Specialist tracing and recovery services for digital assets and virtual currencies.
- **Forensic Intelligence & Data Analysis:** In-depth analysis of complex financial data to identify illicit activity and patterns of crime.
- **Economic Crime Investigations:** Expert advisory on combating money laundering and fraud within digital ecosystems.
- **Blockchain Security & Risk Assessment:** Evaluation of crypto-related protocols to ensure alignment with UK and international standards.
- **Law Enforcement Advisory:** Technical support and training for authorities and regulated firms on crypto-asset seizure and management.

## **Digital & Operational Transformation**

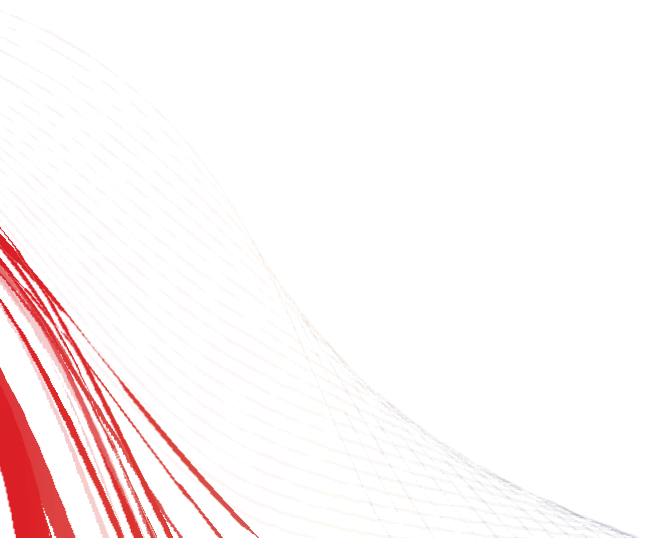
At Complyport, we drive digital and operational excellence by integrating strategic consulting with cutting-edge technology to modernise your business infrastructure. In an increasingly digital landscape, our solutions empower organisations to enhance agility, automate complex workflows and safeguard their assets against emerging threats. By combining deep technical expertise with global delivery capabilities, we ensure your operations are not only efficient and scalable but also fully resilient and compliant with evolving international standards.

Our services include:

- **Digital Transformation:** Strategic modernisation of legacy systems through RPA and digital-first process re-engineering.
- **Application Development:** Bespoke software engineering and API integration to enhance connectivity and data flow.
- **IT Infrastructure & Cloud:** Secure, scalable architecture and managed cloud services tailored for regulated environments.
- **Cyber Security:** Comprehensive threat detection, 24/7 SOC monitoring and robust operational resilience frameworks.



- **Artificial Intelligence:** Advanced machine learning and NLP solutions to automate tasks and drive data-led intelligence.
- **Finance & Accounting Outsourcing:** Full-scope managed services providing robust financial oversight and back-office efficiency.
- **Global Delivery Models:** Scalable, cross-border service deployment designed to optimise costs and operational performance.





## **RegTech Solutions @ *complyport.tech***

Since 2011, Complyport has been at the forefront of providing technology solutions to the financial services industry which help clients meet their regulatory obligations with increased efficiency and consistency. We are focused on leveraging innovative technology to simplify and enhance regulatory compliance for our clients. The company's mission is to help financial institutions navigate the complex and ever-evolving landscape of financial regulations with confidence and ease.

Our solutions include:

- **Transaction Reporting and Monitoring:** Award-winning global RegTech solutions for complex regulatory frameworks. Transaction reporting solutions for EMIR, MiFIR, ASIC, MAS, SFTR, FATCA and CRS. Advanced monitoring solutions for Best Execution Monitoring & Trade Surveillance.
- **ComplyPortal:** A powerful GRC platform that streamlines compliance monitoring, attestations, approvals, learning and more.
- **ViCA:** A GRC Agentic AI platform that offers instant access to vast amounts of information to get through complex regulatory information quickly.
- **COMPDEFAI:** GRC tool for streamlined compliance and enhanced digital operational resilience and security
- **UnifyInsure:** An innovative insurance technology platform that transforms insurance operations through a fully unified digital ecosystem.

These solutions are designed to reduce the cost of compliance and save valuable time and effort, allowing financial firms to focus on their core business activities. By providing easy access to information you need and streamlining compliance processes, these solutions help organisations respond efficiently to regulatory changes and help minimise the risk of non-compliance.



## Contact Us

For tailored compliance solutions and expert guidance on navigating the complexities of regulatory requirements, please feel free to reach out to us. Our team of experienced professionals is ready to assist with all your compliance needs. Whether you're looking for a comprehensive compliance framework or specific support services, we're here to help you achieve your goals confidently and efficiently.



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AIMA



Complyport is a Member of APCC (The Association of Professional Compliance Consultants) and a Member of AIMA (The Alternative Investment Management Association)

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