



**Complyport**  
ComplyMAP Group

# Your Trusted Partner

In Governance, Risk, Compliance & Technology

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# Contents

-  Introducing Complyport
-  Services
-  RegTech Solutions
-  Contact Us



# Introducing Complyport

Complyport is a leading international RegTech and GRC advisory with over 25 years of heritage and a global team of 260 specialists operating across the UK, EU, UAE, Mauritius and India. As one of the UK's largest independent firms, we have achieved over 1,500 successful authorisations and provide ongoing regulatory support to more than 1,000 clients worldwide.

Complyport is on the FCA & PRA (Bank of England) Skilled Persons & Consultancy Panel for 8 Regulatory Categories (8 Lots), placing Complyport among the top 10 UK GRC advisory firms.

By integrating expert advisory with digital transformation and forensic intelligence, we provide the scale and technical depth required to manage complex global frameworks with absolute confidence.

Our services include:

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

# Services

## *Authorisations & 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

# Services

## *Compliance & 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

# 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

# Services

## *Internal Audit & 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

# Services

## *Skilled Person s166 & 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 8 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

# Services

## *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

# Services

## *Operational Resilience & 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

# Services

## *Prudential Reporting and Risk Management*

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

# Services

## *Regulatory Reporting & Trade Surveillance*

Complyport supports financial institutions in meeting their compliance obligations through a comprehensive suite of reporting and monitoring solutions. With deep expertise across jurisdictions, we deliver scalable services that enable firms to meet evolving regulatory and tax transparency requirements with accuracy and efficiency.

### Transaction Reporting

- EMIR Reporting (EU & UK)
- MiFID II / MiFIR Reporting (EU & UK)
- SFTR Reporting (EU & UK)
- ASIC Reporting
- MAS Reporting
- CSA Reporting

We also provide ancillary services related to the aforesaid:

- XMLCon.Vert Service
- UPI Link Service

### Tax Reporting

- CRS Reporting
- FATCA Reporting

### Trade Surveillance

Our trade surveillance solutions helps firms monitor trading activity and detect potential misconduct:

- Market Abuse Surveillance
- Best Execution Monitoring

# Services

## *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

# Services

## *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 firm's next steps for development

# Services

## *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

# Services

## *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

# Services

## *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*

## *Technology Solutions*

For over 25 years, Complyport has led the way in delivering technology solutions that help financial services firms meet regulatory obligations with greater efficiency and consistency. We are committed to using innovative technology to simplify and strengthen compliance, empowering institutions to master the complex, shifting regulatory environment with confidence and ease.

Our solutions include:

- **Regulatory Reporting & Trade Surveillance (MAP FinTech):** Award-winning global RegTech solutions for complex regulatory frameworks, covering Transaction Reporting (EMIR EU/UK, MiFIR EU/UK, SFTR EU/UK, ASIC, MAS, CSA), Tax Reporting (CRS and FATCA) and advanced Trade Surveillance capabilities for Market Abuse detection and Best Execution Monitoring.
- **GRC Platform (ComplyPortal):** A flagship compliance management software designed to streamline GRC workflows and board-level reporting.
- **GRC Agentic AI Platform (ViCA):** A GRC Agentic AI platform that offers instant access to vast amounts of information to get through complex regulatory information quickly.
- **Cybersecurity & Resilience (COMPDEF AI):** Cutting-edge AI-driven compliance monitoring, transforming reactive obligations into a strategic advantage.
- **Insurance Technology (UnifyInsure):** A bespoke digital framework tailored for the insurance sector to manage risk and regulatory lifecycle.
- **GRC eLearning (Learning Management System):** A comprehensive monitoring and learning solution to ensure staff remain compliant with evolving global standards.

# Why Choose Complyport



More than 1,500 firms authorised across the UK, EU and UAE.



Supporting over 1,000 regulated firms globally, including 250+ FCA-regulated firms.



Direct presence and regulatory cover in the UK, EU, UAE, Mauritius, and India.



A global network of associates providing seamless, cross-border support.



A team of 260+ multidisciplinary, qualified consultants and advisors.



Serving all financial services firms, payment institutions and professional firms.



8 Lots FCA/PRA Skilled Persons & Consultancy Panel– trusted by the Regulator for independent, expert assessments.



Approved by HMRC Economic Crime Supervision and registered for AML supervision.

# Contact Us

For tailored compliance solutions and expert guidance on navigating complexities of regulatory requirements, please feel free to reach out to us. Our team of experienced professionals are ready to assist with all your compliance needs.

Whether you are looking for a comprehensive compliance framework or specific support services, we are here to help you achieve your goals confidently and efficiently.

Complyport provides bespoke, practical compliance solutions for regulated and non-regulated firms.

With over 25 years of leadership in regulatory compliance, Complyport is a premier global provider of governance, risk and technology-enabled consulting services.

Our diverse team of 260+ multidisciplinary, qualified consultants and advisors, includes former regulators, industry practitioners and legal and compliance experts, delivering tailored support across a wide range of regulatory services and RegTech solutions. By unifying our global operations, we provide firms with a single, integrated platform for cross-border expertise and innovation.

# Contact Us

## Global Offices

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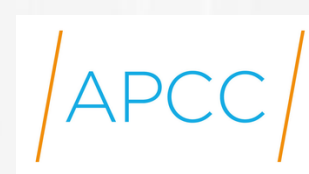
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Complyport is a Member of the APCC (The Association of Professional Compliance Consultants) and a Member of AIMA (The Alternative Investment Management Association)



A Government-backed and industry-supported scheme that provides a clear statement of the basic controls organisations should have in place to protect themselves. The certification defines a focused set of controls which provide clear guidance on basic cyber security for organisations of all sizes and offers a sound foundation of cyber security measures that all types of organisations can implement at a low cost.



The certification process, vetted also by the Bank of England, covers an audit of policies and practice in areas such as: Anti-Bribery, Sanctions, Remuneration, Customer Treatment, Information Security, Cyber Security, Records Management, Anti-Money Laundering, Health & Safety, Whistleblowing, Business Continuity, Diversity & Inclusion, and Environmental.



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**THANK YOU**