



complete
COMPLIANCE SUPPORT



Reducing the worry of your Regulatory Responsibilities

**Supporting directly authorised firms
with clear, tailored compliance support**

www.completecompliance.biz



Independent Compliance Consultancy for Financial Advisers, Wealth Managers and Mortgage Professionals



Founded in 2012, Complete Compliance Support provides financial advisers, wealth managers and mortgage brokers with a personal, responsive compliance service tailored to their business.

Our focus is on delivering practical, cost-effective solutions that help firms meet their regulatory responsibilities without the cost or constraints of a traditional network.

We take the time to understand each client's business, providing support that is relevant, proportionate and aligned to how they operate in practice.

There are no fixed retainers or unnecessary ongoing fees - you only pay for the support you actually use, ensuring you receive real value from the services provided.

Providing a personal compliance service that is right for your business.



Member of the Association of Professional Compliance Consultants



Working with Complete Compliance

We provide a personal, responsive compliance service built around how your business actually operates. Rather than applying a standard template, we take the time to understand your processes, structure and regulatory responsibilities, allowing us to deliver practical, relevant guidance that works in practice.



Direct, Personal Support

Work directly with experienced consultants who understand your business.



Practical, Relevant Advice

Clear, pragmatic guidance designed to work in practice.



Tailored to Your Business

Support aligned to your structure, processes and objectives.

Our Services

Supporting firms to deliver compliant advice and maintain professional standards.



File Checking

Review client files to identify gaps and ensure compliance across all stages of the advice process.

Training and Competence

Structured training and development to maintain high standards across regulated roles.

Complaint Handling

Independent complaint investigations with clear, professional client communication.

FCA Reporting & Regulatory Returns

Support with accurate and timely completion of regulatory reporting requirements.

Compliance Audits

Detailed audits to assess compliance, identify gaps and suggestions for improvements

Our Services: Regulatory and Compliance Support

**Supporting firms in meeting their
FCA regulatory responsibilities
with confidence and clarity.**

Our consultants provide expert guidance across key areas of the FCA Handbook, including COBS, ICOBS, MCOBS, TC, SYSC and DISP, helping firms maintain robust governance structures and effective compliance frameworks.

We work closely with directly authorised firms to ensure they remain compliant, resilient and regulator ready as regulatory expectations evolve.

FCA Authorisation Support

Guidance through the direct authorisation process, from planning to submission.

Compliance Monitoring

Structured programs to identify and manage regulatory risk.

Governance & Systems and Controls

Strengthening oversight frameworks to support effective regulatory management.

RMAR Support

Accurate preparation and submission of regulatory returns.

Independent Compliance Reviews

Clear, practical assessments with actionable recommendations. We provide guidance across all areas of the FCA Handbook, helping firms maintain robust governance and effective compliance frameworks.



Our Approach

We work closely with each client to understand how their business operates, including their processes, systems and regulatory responsibilities. This allows us to provide compliance support that is aligned to FCA requirements while remaining practical and proportionate. Through a clear understanding of day-to-day operations, we deliver guidance that can be implemented effectively, helping firms maintain high standards and operate with confidence.

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Step 1: Understand Your Business

Build a clear understanding of your processes, systems and regulatory responsibilities.

2

Step 2: Develop a Tailored Framework

Design a compliance structure aligned to FCA requirements and your business.

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Step 3: Provide Ongoing Support

Deliver practical guidance to help you maintain compliance and adapt to change.

Our Service Models: Practical FCA Compliance Without the Cost of a Network

Flexible engagement options designed around your business

Subscription Services

Ongoing compliance oversight, including file checks, audits and regulatory guidance.

Project Packages

Support for defined projects such as FCA authorisation, restructuring or thematic reviews.



Pay As You Go

Flexible access to compliance support when you need it.

Flexible options designed to ensure you only receive - and pay for - the support you need.

Client Testimonials

What our clients say about us



“A trusted compliance partner who understands our business and provides practical, responsive support.”

- Managing Director, Mortgage Firm

“Professional, pragmatic and always up to date with regulatory change - exactly what we need.”

- Director, Financial Services Firm

“Complete Compliance supported our transition from network to directly authorised with professionalism and minimal disruption.”

- Director, IFA Firm



Get in touch.

Speak with our team to discuss your compliance requirements and how we can support your business.

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