

# Compliance health check

## Look after the beating heart of your business

Make sure your compliance function and approach is fit for a successful future with our health checks.

Since the findings of the Royal Commission, you're seeing more and more intense regulatory scrutiny. But we've faced this challenge before. We've been helping UK firms reinforce compliance for over 20 years, so we know what 'good' looks like.

We'll work collaboratively with you to get you where you need to be, so you can focus on running your business and reaching your commercial goals.

Our compliance health checks are:



Flexible



Scalable



Delivered by experts

## What we do

We don't believe in tick-box compliance. We'll give you tailored support and advice, in line with your business goals and risk appetite.

### Light touch reviews



We touch upon every aspect of your risk and governance arrangements to form a view on where deeper dives may be needed.

### Risk-based reviews



We investigate the areas that commonly pose the greatest risk or have the biggest impact on your compliance function, such as culture, customer approaches and staff competency arrangements.

### Comprehensive review



We deliver a programme of reviews across your whole compliance function, ascertaining gaps and weaknesses and providing actions on how to achieve improvements.

## How we do it better



### Keep it simple

We have the smartest minds in the industry, including ex-regulators and experts in regulatory litigation. We really know our stuff and can turn even the most complex regulatory matters into simple, straightforward action plans.



### Focus on culture

Culture is almost always the root cause of compliance issues. We understand the link between culture, conduct risk and compliance better than anyone else, so we'll work with you to make sure you're getting the basics right.



### Drive value

We make the most of resources by only focusing on the areas that matter most to ASIC and APRA. But best of all, we'll find the most efficient route to compliance, saving you time and money down the road.



Get your compliance up to scratch

To get the ball rolling, email us:

✉ [hello@tccgroup.com.au](mailto:hello@tccgroup.com.au)