

Protect your business and your customers with regulatory due diligence

Armed with our unique business and regulatory experience, our compliance experts shine a light into all corners of regulated businesses to identify risks and gaps in compliance. Whether you're buying or selling, you'll have the confidence of a fair acquisition price.

We not only understand risk, but also connect the dots between compliance, conduct and commercial success. In practice, this means:



We make sure to understand the strategic drivers behind the acquisition so our outputs enable you to accurately assess the materiality of the risk.



We quickly recognise poor customer outcomes and the drivers behind them which can influence the acquisition value.



We help protect your business from regulatory risks and the chances of expensive and disruptive rectification and section 166 reviews further down the line.

Expertise you can trust

Our experts have extensive sector expertise, gained from their time in industry or at the regulator, enabling us to compare the target firm against market peers.

We are the chosen due diligence provider for a number of significant financial services firms and have undertaken a number of projects for asset managers, IFA consolidators and national advisory firms, as well as one-off acquisitions.

Nervous about DB transfer risk?

Legacy defined benefit transfers is one of the main reasons acquisitions fail. If this is applicable to you, we will put this concern to the front of the queue.

What we do

Choose from a range of tailored options. Whether you have specific concerns or want a detailed review, we dial the level of scrutiny up or down to meet your risk appetite and needs.



Choose your focus
We conduct deep dives or broader reviews from the modules overleaf or bespoke to your needs.



Compliance assessment
As part of our due diligence process, we'll examine the key drivers as outlined in the FCA's framework for assessment.



Get transitional support
We support your business integration plans to ensure a smooth transition, including managing 'change in controller' notifications.



Get post-acquisition success
We'll help you merge the cultures of acquired firms with your own and ensure a smooth cultural transition. We'll also check your new clients are still receiving good outcomes.

Modular approach

We can undertake anything from an initial triage/red flag type review to a detailed systems and controls review, and everything in between. Choose from our range of modules or we will design a review to meet your needs:



- Business model
- Business mix and profile
- Business strategy
- Customer acquisition



- Training and competence
- Continued professional development



- Corporate governance
- Systems and controls environment
- Advice proposition, product/service governance
- Advice process & controls
- Capital adequacy



- Complaints handling
- Customer outcomes review



- Regulatory interactions
- Outsourcing
- Data protection and information security
- Professional indemnity status and quality



We can create bespoke models for a review of any area of particular concern, depending on the target firm's specific activities or your risk profile.



Our reports delineate between those findings that could impact the acquisition decision itself and those that aren't business critical, but are necessary to deliver business and regulatory improvements in the future.

How we do it better



Compliance focus

We tie together holistic approach to compliance and expert services. Our focus is on outcomes that matter to you, your customers and the regulator.



Commercially-minded

We know where to look for risks that can undermine the value of an acquisition and cost you in the future.



Discrete

Because we offer a range of other services, we can easily carry out on-site due diligence activity with discretion.



Start growing
in confidence

Connect with us:

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