

Compliance Readiness

Whether you're a startup or an existing business launching a new venture, understanding, embedding, and demonstrating regulatory standards can be difficult. The challenge is compounded by other pressures associated with launching a new business or expanding into new areas.

Prior to the launch of your new venture, it is crucial that you ensure your business meets all regulatory requirements including the establishment of an effective and efficient compliance function. The cost of noncompliance can be significant.

You face not only the wrath of the regulator, but also risk business failure due to poor customer outcomes, reputational damage, and significant costs in terms of fines and expensive remediation exercises.

Our experienced team of regulatory specialists recognizes the challenges facing new ventures. We can work with you to understand your business and help you embed appropriate regulatory requirements with a fit-for-purpose compliance function from the outset, maximizing your chances of success.

Having worked with regulators, the Big Four, and in compliance functions across the financial services sector, we know what good looks like. You can rely on us for peace of mind that your new venture is compliance ready, giving you more time to focus on other aspects of your business.

We can:

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Practices

Financial Services Regulatory
Consulting

- Understand your business model, including legal entities, lines of business, and jurisdictions
- Build a fit-for-purpose compliance operating model
- Review and design your compliance infrastructure prior to launch
- Review and draft internal compliance policies and procedures, identifying gaps and areas for improvement
- Design firm-wide compliance training and testing programs

Representative experience

Designing the compliance framework for a new online retail bank, including drafting all required policies and procedures and designing compliance monitoring arrangements.

Developing a detailed compliance plan for establishing an effective and sustainable compliance program for a corporate bank.

Supporting a fintech to obtain regulatory authorization, including designing the compliance infrastructure necessary to satisfy the regulator.

Latest thinking and events

[Hogan Lovells Publications](#)

Hong Kong and the cauldron of compliance

Investigations, White Collar Crime, and Fraud Alert