

COMPLIANCE



Regulation Partners is a **consulting firm** specialized of financial and banking regulations and risk management. We intervene for all kinds of regulated institutions, from the authorization application to delegated controls. We also operate with credit institutions, investment firms, payment and electronic money institutions, asset management companies, financing companies, insurance mutual companies and intermediaries on strategic missions related to the implementation of new regulations.

Regulation Partners accompanies you from strategic planning on regulatory developments and their impact to the implementation of the most effective processes.

The consulting firm has proven record since its creation in 2011 by Marie-Agnès Nicolet. Our fields of expertise are very wide on topics related to the regulation of banking and financial companies: risk management, governance, fight against money laundering, compliance, fight against fraud and against corruption, commercial practices, solvency and liquidity standards, contingency and continuity plans, protection of client data, payment services (DSP 2), investment services (MiFiD 2).

The firm also works in the context of the development of Fintechs, by finding for innovative firms the most appropriate and optimised regulatory framework.



Created in 2011 by Marie-Agnès Nicolet



+ than **250** clients



Regulatory experts team



Expertise, performance, adaptability, timeliness, ethic

Contact:

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MISSIONS

Our contacts in financial institutions:

- Senior management
- Supervisory bodies (board of directors and supervisory body)
- Compliance managers
- RCCI/RCSI
- Permanent control
- Inspection/audit/periodic control
- Risk function
- Compliance function

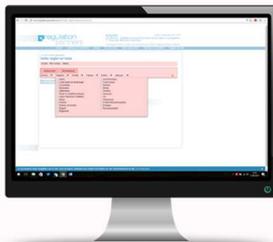


Our activities:

Implementation of risk mapping, assessments, audits, periodic and permanent controls, writing of procedures, strategic analyses, preparation of recovery plans, agreement applications...

REGULATORY WATCH

We put in place a daily and continuous regulatory watch. We can give you access to our results and analyses in the form of a database gathering texts and syntheses. The elements of the regulatory watch are gathered and analysed by our experts. The client subscribers receive a periodic report about regulatory evolutions and multi-annual syntheses (quarterly or monthly) in addition.



TRAINING



In order to train teams, the management and directors of banking and financial institutions, we regularly organize training sessions on different themes by always adapting our contents to the evolutions of regulation and work roles.

Our schedule of training sessions is adaptable to your needs. We offer monthly training sessions on precise themes coming from our program which can be translated into intra-company training sessions which will be totally adapted to your activity.

The themes of these training sessions are as varied as our areas of competencies. We adapt to your activity and to your needs and expectations.

We have at our disposal an e-learning tool which allows us to offer you training sessions in a different format.

CONFERENCES

We regularly organize conferences on themes which are always related to the regulatory news and evolutions. This is an opportunity for you to meet with, listen to and exchange with experts in areas which are of interest to you.



OUR CLIENTS

Our clients:

- Credit institutions
- Investment firms
- Financing firms
- Payment institutions
- Electronic money institutions
- Insurance companies
- Mutual companies
- Asset Management firms
- IOBSP, IAS, CIF, CIP, IFP (intermediaries)
- Fintechs

