

## Compliance Effectiveness

Our clients tell us that their biggest challenge is achieving a compliance operating model that provides credible challenge whilst serving as a strategic business partner, encouraging growth as opposed to hindering opportunity.

Our clients tell us that their biggest challenge is achieving a compliance operating model that provides credible challenge whilst serving as a strategic business partner, encouraging growth as opposed to hindering opportunity.

An efficient, effective, and sustainable compliance function is integral. Not only will this ensure that you are agile and responsive to regulatory change, but it will enable you to embed and maintain compliance within core business process.

Our forward-thinking team of regulatory specialists will work with you to design and implement a compliance function that meets your needs. We have worked with regulators, the Big Four, and in compliance functions across the sector. This gives us the insight, knowledge, and technical ability to understand your business. We provide a dynamic and tailored solution to match the scale and complexity of your organization.

We can:

- Undertake a current state analysis
- Identify gaps and opportunities for enhancement
- Develop and design a detailed implementation

### Contacts

**Lisa Davey,**  
London

---

### Practices

Financial Services  
Regulatory Consulting

---

plan

- Support you in delivering and embedding change to your compliance operating model

To ensure ongoing success, we'll look at how you monitor and manage your compliance risks, how compliance interacts with the rest of the business, and the materials and systems you use to demonstrate and embed compliance.

## Representative experience

Reviewing the EMEA compliance operating model for a global investment bank and preparing a report with recommendations for change.

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

Supporting a large insurance firm to optimize its compliance function, including identifying activities for modification and standardization.

Reviewing and designing compliance policies and procedures and compliance monitoring arrangements for a new online retail bank.

Leading a review of a full product life cycle for a large retail bank, resulting in recommendations for change to enhance the process and to ensure regulatory compliance.

## Latest thinking and events

Hogan Lovells Publications

Hong Kong and the cauldron of compliance

*Investigations, White Collar Crime, and Fraud Alert*