



MOORE STEPHENS

Financial services
firms require
bespoke solutions

Financial services

PRECISE. PROVEN. PERFORMANCE.

Financial services firms require bespoke solutions

In an increasingly complex, and at times highly volatile sector, it is vital that you keep ahead of all the new rules and regulations and how they affect your business. We know this because we're there, providing regulatory and strategic solutions to over 150 FSA-regulated companies, LLPs and funds.



The Financial Services Sector Group is one of the fastest growing and dynamic departments within Moore Stephens LLP. At the heart of that success is a team with niche expertise and knowledge, gained from working closely with leading City financial businesses and key people within the industry. This knowledge is used to ensure that our clients focus their time on building their business rather than dealing with compliance.

Our clients are varied, and include asset and investment managers and advisers, brokers, hedge fund managers, private equity firms, corporate finance firms, banks and funds. Based both here in the UK and internationally, they encompass all types of business structures, including corporate entities, limited liability partnerships, unit trusts and limited partnerships.

As an indication of our experience and expertise in the financial services sector, the Financial Services Sector team is the current holder of Complanet's prestigious 'Best Regulatory Accountancy Firm' award. The awards, recognise the successes and achievements of compliance professionals from across the financial services industry.

What makes us different

All accountants offer audit and tax services. Many consultants provide FSA-compliance solutions. So what makes Moore Stephens different?

Breadth

Not only do we provide audit, tax and FSA-compliance under one roof, but we also offer remuneration planning, corporate finance, UK, international and personal tax planning, payroll and company secretarial, IT solutions and business continuity planning, to name but a few. Our aim is to become our clients' first port-of-call for all of their business requirements.

Integration

We ensure clients receive a totally integrated and efficient service, where audit and tax teams work together, alongside FSA specialists and IT experts. Specific assignments are not considered in isolation but as part of the service offering as a whole, to ensure that all information is used to increase the value clients receive from our services.

Valuable relationships

The very nature of the work means we gain a detailed knowledge and understanding of our clients' business at numerous levels. As such, we are able to quickly identify risks as well as any areas for potential improvement. And through the development of strong, long-term relationships we gain an understanding into what makes them successful. This not only allows us to focus on the specific strategic needs of our clients, but also means we can feedback insights, improvements and intelligence to senior management.



Proactive advice

While we react quickly to our clients' requirements, we are proactive too. All clients receive ongoing communication on issues that affect them, including monthly FSA-update emails, our specialist newsletter Financial Insight, invitations to free seminars and other regular updates and checklists.

Services

The Financial Services Sector Group assist on all aspects of your business, including:

Traditional accountancy

As you would expect from a leading firm of accountants, Moore Stephens provides all of the traditional compliance services, including:

- effective and perceptive auditing that really adds value;
- assistance with every aspect of accounting, from basic day-to-day outsourcing requirements to the preparation of management accounts and financial statements;
- help with tax compliance issues, including LLP returns and VAT partial exemption;
- strategic tax planning and advice, including structuring and transfer pricing;
- outsourced payroll and company secretarial support.

FSA-related services

We provide our clients with assistance and advice, and act as a sounding-board for their ideas and concerns. FSA-related services we provide include:

- FSA applications, variations of permissions and waiver applications;
- preparation of FSA returns on GABRIEL;
- outsourcing compliance monitoring;
- general compliance reviews, including corporate governance and SYSC;
- reviewing and updating compliance manuals and compliance monitoring programmes;
- advising on the impact and implementation of new regulation;
- reviewing and advising on training and competence procedures;
- reviewing and advising on money laundering procedures;
- assisting with the preparation and review of ICAAPs;
- dealing with issues raised by the regulators during a visit;
- annual regulatory reviews and reports;
- assistance with the preparation of liquidity policies;
- consultancy advice on ad hoc regulatory issues;
- running seminars for staff on general compliance or specific regulatory issues.

Strategic support

As well as assurance, regulatory and compliance advice, we provide financial sector businesses with a range of more strategic services, including:

- remuneration planning for directors, members and staff;
- corporate finance support, including business grooming, exit strategies and flotation advice;
- business continuity planning;
- internal audit, corporate governance and risk advisory;
- IT systems advice and support.

The financial services sector is highly specialised. So are we.

For more information on the Financial Services Sector team, or to learn how we could help you, contact one of the team on the back page of this brochure.