

# Regulatory Risk Diagnostic

*fscom's targeted, independent compliance review tailored for capital markets firms*

Our **Regulatory Risk Diagnostic** provides an independent, focused review of strategic areas within your compliance framework to identify key risks, prioritise actions, and guide leadership where it counts.

## Regulatory challenges

- **Limited objectivity:**  
Internal reviews overlook systemic issues shaped by culture and leadership.
- **Data gaps:**  
Poor record-keeping limits ability to evidence control effectiveness.
- **Fragmented frameworks:**  
Siloed processes and inconsistent documentation blur risk visibility and weaken decision making.
- **Increasing regulatory pressure:**  
Conduct rules and SM&CR demand clear accountability, robust evidence and strong governance.

## When do you need a Regulatory Risk Diagnostic?

### Leadership changes:



Stepping into a new role? Gain a clear, independent view of your organisation's risks and controls. Our diagnostic helps leaders spot weaknesses and strengthen oversight from day one.

### Acquisitions or restructuring:



Change is your opportunity to align processes, streamline controls and governance frameworks. We assess integration risks and help maintain consistent regulatory standards across the firm.

### Governance maturity exercises:



As firms grow, governance frameworks must keep evolving along with it. We benchmark current approach against best practices to drive continuous improvement and ensure compliance.

## Our services



### Independent diagnostic review

Assessment of targeted compliance areas to identify weaknesses, gaps and red flags.



### Remediation planning

Actionable, prioritised recommendations to close gaps and enhance compliance.



### Governance & culture insights

Review of management information, board oversight and risk culture indicators to uncover potential conduct risks and reputational exposures.



### Clarity of accountability

Evaluation of Senior Manager and Certified Functions to ensure alignment with regulatory expectations and accountability.

## Key benefits

- ✓ Enable Senior Managers to mitigate accountability risk
- ✓ Spot issues early before regulators do
- ✓ Drive targeted remediation addressing root causes
- ✓ Show credible, documented oversight
- ✓ Strengthen culture and build trust
- ✓ Enable confident decision-making
- ✓ Avoid costly fines and reputational harm
- ✓ Support smooth leadership transitions

## Contact us today to schedule your Regulatory Risk Diagnostic.

Take control of regulatory risk and stay ahead of change with diagnostics that strengthen governance and safeguard compliance.



+44 (0) 28 9042 5451



[info@fscm.co](mailto:info@fscm.co)



[www.fscm.co](http://www.fscm.co)



[@fscm-limited](https://www.linkedin.com/company/fscm-limited)