



NEWGATE  
COMPLIANCE

# Focussing on Compliance



# “Hello

...and nice to meet you”

**We are Newgate Compliance,  
a compliance consultancy with  
a difference.**

Our clients will tell you that we're not your average compliance adviser, and we'd like to show you why. At Newgate we realised that something was missing in the compliance space; a firm that combines good customer service and focused on personal relationships. This along with our innovative and easy to use compliance software solution makes us unique.

Newgate is comprised of an unrivalled combination of experienced professionals, most of whom are ex-regulators, and all of which have been in the industry for a long time. Our customer focused approach, which puts you at the forefront of everything we do, seeks to provide appropriate, pragmatic and flexible solutions to help you meet the regulatory regime.

Our approach is to ensure that we understand your business and apply our solutions to your team. We will work in partnership with you to assist with your regulatory requirements. We will simplify the regulations and help you and your team navigate a tricky landscape.

Our aim is to build long-term relationships with our customers, helping to encourage business growth, productivity and innovation. And we'd love to do the same for you. Our proactive approach is always tailored to your needs. And if those needs change, or the regulatory landscape shifts, well, we can help with that too.

We hope to meet you soon.

Martin and Aron



# Newgate

## Compliance Key Stats

“We’re here with you every step of the way...”



Based in the heart of the City of London



Customer service focused



Unique compliance system



Flexible and tiered fee structure



Strong senior management team with unparalleled regulatory experience



Personal approach



Compliance advisers with a difference



Advisers who are ex-regulators and have worked with financial regulations for many years

# What we can

# do for you

## Authorisation

Our team is unrivaled in their experience when dealing with FSA/ FCA authorisation applications. We have a 100% success rate in obtaining authorisation for over 500 applications. Our team have a combined knowledge of over 20 years' experience of working within the authorisation department at the regulator. When we work with you, we will project manage your application, liaise with the FCA using our technical knowledge and understanding to minimise application times, and ensure that the license obtained fully covers the needs of your business. Most importantly, we make things easy for you so you can focus on what you are good at; running and growing your business.

## Ongoing consulting

Our consulting team provides ongoing compliance support service that is customised to your needs. We are highly experienced in helping our clients implement a governance, risk and compliance framework that covers the firm's compliance obligations. Using a combination of our software solution and consulting services, we provide support that covers regulatory training, compliance monitoring, management of regulatory developments and their impact on your firm. Regular on-site visits by our team will provide you with essential advice on compliance issues and an opportunity to discuss developments at your firm.

## Regulatory training

We offer compliance training on a variety of topics. Our training is either provided online - which is perfect for those busy team members - or alternatively we can provide training face-to-face.

**15 training courses typically centre on subjects such as:**



Compliance  
induction



Senior manager &  
certification regime



Anti-bribery



Anti-money  
laundering



Market  
abuse



Financial  
promotions

**If you can't find what you're looking for though, don't worry at all. We can tailor our courses to your requirements. Just drop us a line and we can have a chat about what you need.**



**+44 (0) 203 696 8750**

## Regulatory umbrella:



Aldgate Advisors Limited is our flexible regulatory licensing solution that enables our clients to operate quickly under the regulatory umbrella and minimise any delay to begin operating the business prior to FCA approval. Aldgate may also provide you with a stronger FCA application as we can provide you with FCA history. We can provide regulatory coverage for a wide variety of firms including investment advisory, corporate finance and fundraising. If you feel that our regulatory umbrella may well be of interest to you, please feel free to give us a call to discuss further.

### **Newgate Insights:**

We know how much content you get in your inbox and on your social feeds daily. And we know how hard it can be to keep on top of industry trends. That's why we created **Newgate Insights**. Here we set out our views covering a range of regulatory hot topic issues and the latest enforcement action in a simple, easy to digest format. This means you can stay on top of what's hot in compliance without having to scabble around to find what's relevant. Better still, we make all our insights simple, jargon free and easy to digest.



While using the regulatory umbrella, firms will benefit from compliance oversight and assistance from our experienced team. **We will always ensure that best practice is adopted** in respect of regulation and compliance procedures and provide any training that is required. This will benefit any of our clients who want to use the regulatory umbrella as a stepping stone to full authorisation.





The gateway is our unique on-line compliance solution. The gateway has been designed by our compliance experts to simplify the compliance infrastructure within your business.

This system has been designed for firms within the industry and does not attempt to adapt an off-the-shelf system into a compliance product.

**A compliance system built by compliance, for compliance.**

The gateway is a safe and secure environment that enables you to manage your compliance functions from anywhere in the world. Using The gateway, you can feel reassured in the knowledge that your team will always know when to file with compliance. It also gives you the ability to track and monitor their compliance filings. Filings include personal account trading, gifts and benefits and declarations of interest. Not only will it make the process more efficient, but it will allow your firm to evidence full details of any employee compliance filing, if required to do so, by the regulator.

**The key benefits of using The gateway for your business include:**

- Online storage of all compliance documents and monitoring;
- Access from any location with an internet connection via secure and protected login details;
- Improves controls and governance within the firm;
- Reduces compliance risk by leading users through the correct process;
- Increases compliance knowledge and understanding by instilling correct processes and procedures;
- Easy to update company compliance materials;
- The ability to undertake quality assurance monitoring.

**Because all of our experienced professionals at Newgate have access to the data on The gateway in real-time, we often spot potential compliance issues before they even occur. Our clients tell us this is invaluable, especially given how busy we know you can be.**



Efficient



Quick



Convenient



Secure



Cost saving



Consolidation

## Our pricing structure at Newgate:

From our experience, we feel we have a good understanding of what our clients don't want; and that is fixed fees every month or high hourly costs. We listened to our clients and this is why we have introduced a unique pricing structure which is designed to be more transparent and fairer for all.

**Low monthly fees of £250 and variable tiers based on the assistance provided each month.**

We do not to overcomplicate the way we work with clients - the compliance landscape is complicated enough after all! Crucially we want to avoid our clients having to pay out large monthly fees when they simply don't need our services. Instead they pay for what they get. If you want to chat more about how the fee structure looks, just drop us a line.

 **+44 (0) 203 696 8750**

“

A unique pricing structure which works for all our clients, no matter what size they are.

”



Newgate has provided valuable compliance support to our business for the past five years. The team have an excellent knowledge of the U.K. regulatory system, take a high touch approach to client service and are flexible and commercial in their approach. We have also benefited from their gateway compliance system and online training.”

**Bill Prew**

**Founder & CEO, INDOS  
Financial Limited**



Newgate has provided invaluable support, seeing us through our GDPR implementation, in addition to advising on FCA compliance. They are trusted advisors, responding quickly and comprehensively to any questions we might have and are a pleasure to deal with.”

**Sarah McMurdo**

**Finance Director, Clearwater  
Corporate Finance LLP**



We have worked with Newgate over the last few years and they have been consistently responsive and knowledgeable in their compliance advice. Their input is always clear and considered and particularly useful when implementing new regulations appropriately.”

**Zillah Richards**

**Partner & Chief Compliance  
Officer, Ferox Capital LLP**



Newgate provides an excellent service for our compliance monitoring programme and any queries we have. They offer a fair and independent view on our compliance function which is invaluable to the smooth operation of our business. They are always friendly, responsive and professional.”

**Matthew Parker**

**Head of Legal &  
Compliance, Daiwa  
Corporate Advisory Limited**



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We would love to chat to you in more detail about your requirements. Just let us know when you're free for a coffee and we will come to you. No upfront fees, no expectations, no compliance lingo, just a chat.

Drop us a line on:

 **+44 (0) 203 696 8750**

 **info@newgatecompliance.com**

Or find us at our offices near Bank, and we can chat in person:

 **7 Princes Street, London, EC2R 8AQ**

