



Compliance & Enforcement and Regulatory Regimes

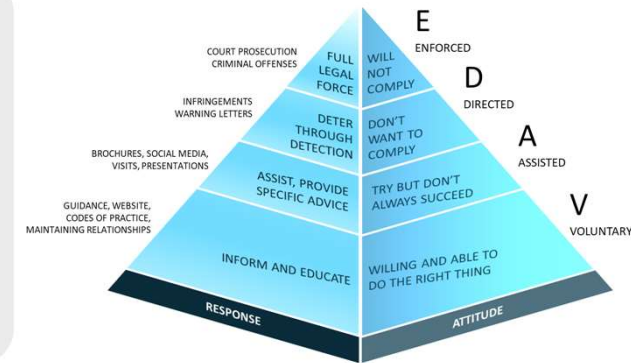
X4 Service Offering:

Why:

To answer the question: “How do we know we are operating as an effective and efficient Regulator?”

An intelligence & evidence-led, research & risk-based approach guides the development of appropriate compliance tools.

A robust regulatory regime maximises effectiveness and enables appropriate and proportionate responses to unlawful behaviors.



Deliverables:

- A tailored view of what being a Regulator means for your organisation.
- Support in establishing or strengthening your Regulatory Regime.
- A roadmap for Regulatory Stewardship: an approach to regulatory design, implementation, monitoring and review.

What's involved:

- We work with your team, to understand and define your obligations as a regulator, and ensure your Strategies and Policies align with those obligations, as well as providing real-life examples of how your people contribute.
- We will assist in establishing and strengthening your regulatory operating model, by identifying risks, defining appropriate solutions, and providing implementation advice for a future proof model.

Result:

- A systematic regulatory framework helps decision makers to make informed choices and respond to compliance risks in appropriate and proportionate ways. A systematic risk-management framework will therefore help develop a cost-effective compliance strategy, where resources are allocated appropriately to ensure the best possible compliance outcomes.