



**Financial  
Services  
Compliance**

# FSC – A PEDIGREE SECOND TO NONE

- **THIS PRESENTATION IS TO INTRODUCE YOU TO FSC.**
- **FSC IS A COMPLIANCE & MANAGEMENT CONSULTANCY FIRM THAT JUDICIOUSLY AVOIDS BOX TICKING.**
- **INSTEAD WE ARE FOCUSSED ON THE OUTCOMES AND RISKS THAT MATTER.**
- **WE BELIEVE IN HAVING FUN – If Life were all work and no play it would not be worth living.**

# FSC – A PEDIGREE SECOND TO NONE

- **FSC – Founded in 1995 by Ronald Smith who was Deputy Chief Executive at IMRO, Ben Goh and Miles Halford. One of the oldest firms in the compliance industry in the UK.**
- **Track record of setting exemplary compliance standards and of being at the “cutting edge” of compliance professional practice.**
- **Ronald Smith won two Awards at The 2005 Compliance Register OStCaR (Outstanding Service to Compliance and Regulation) Awards prior to his retirement.**

# FSC's MAIN SERVICES

- **Strategic Compliance and Business Advice to firms who are newly formed or wishing to expand their business.**
- **Deal with FSA authorisation applications.**
- **Deal with regulatory issues including enforcement actions and investigations.**
- **Corporate Governance reviews.**
- **Act as “expert witness” in litigation cases.**
- **Provide cutting edge compliance support and training.**

# PRINCIPAL CONSULTANTS

- **Ben Goh, Managing Director and Principal Consultant** has been involved with compliance since 1987. Extensive experience of the financial services industry ranging from retail products, hedge funds, securities trading and private banking. Widely acknowledged as a leader and innovator in the compliance world.
- **Clive Briault, Principal Consultant**, who was formerly a Managing Director at the Financial Services Authority. He has extensive experience as a senior regulator both at the FSA and Bank of England.

# FSC's KEY VALUES

- **Professional Integrity and Pride. We have our “finger on the pulse”.**
- **“Can do” attitude.**
- **“Add value” culture. We help our clients to grow in a manner that is both profitable and compliant.**
- **Focussed on delivery Quality and cultivating a long-term relationship with clients. Many clients have been with us since before they got authorisation.**
- **Majority of clients come from referrals from other clients or professional contacts.**

# FSC PROFILE SUMMARY

- **Highly experienced and knowledgeable team of consultants.**
- **Quality is paramount in everything we do.**
- **Excellent service with a dedicated consultant to look after your affairs long term.**
- **We use our experience to help you grow in a manner that is profitable and compliant.**
- **FSC is in the consultancy business for the long term – we are not just a “flash in the pan”. We are proud of our heritage and track record.**

# FSC: MORE INFORMATION

- **See our website at [www.FSC.eu.com](http://www.FSC.eu.com)**
- **Contact Ben Goh, our Managing Director, see website for contact details.**
- **For more information about The OStCaR Awards, please see The Compliance Register website at [www.ComplianceR.com](http://www.ComplianceR.com)**