**COMPLIANCE HEALTHCHECK SERVICE PROPOSAL**

**Prepared for:** Jeff  
**Proposal Date:** 05/08/2025  
**Valid Until:** 04/09/2025  
**Proposal Reference:** N/A

**EXECUTIVE SUMMARY**

We are pleased to present this proposal for a comprehensive compliance healthcheck for Jeff, a Broker operating in UK. Our team of experienced compliance professionals will conduct a thorough assessment of your current regulatory compliance framework to identify potential risks, gaps, and opportunities for improvement.

**ABOUT OUR FIRM**

IQ-EQ is a leading compliance consultancy with extensive experience in UK regulatory requirements. Our team combines deep regulatory knowledge with practical business insight to deliver actionable compliance solutions for Brokers across various sectors.

**SERVICE OVERVIEW**

**Compliance Healthcheck Objectives**

Our compliance healthcheck is designed to:

* Assess current compliance policies, procedures, and controls
* Identify regulatory gaps and potential risk areas
* Evaluate the effectiveness of existing compliance monitoring systems
* Provide recommendations for compliance framework enhancement
* Ensure alignment with current UK regulatory requirements
* Support ongoing regulatory compliance and risk management

**Scope of Services**

**Phase 1: Documentation Review and Assessment**

* Review of current compliance policies and procedures
* Assessment of regulatory compliance framework
* Evaluation of internal controls and monitoring systems
* Analysis of compliance training programs and effectiveness
* Review of incident management and reporting procedures

**Phase 2: Stakeholder Interviews and Process Evaluation**

* Interviews with key personnel across compliance-sensitive areas
* Assessment of compliance culture and awareness levels
* Evaluation of compliance reporting lines and governance structures
* Review of technology systems supporting compliance activities

**Phase 3: Gap Analysis and Risk Assessment**

* Identification of compliance gaps against UK regulatory requirements
* Risk assessment of identified deficiencies
* Benchmarking against industry best practices
* Priority ranking of compliance improvement areas

**Phase 4: Recommendations and Action Plan**

* Detailed compliance improvement recommendations
* Implementation roadmap with timelines and responsibilities
* Cost-benefit analysis of recommended improvements
* Ongoing compliance monitoring suggestions

**DELIVERABLES**

Upon completion of the compliance healthcheck, Jeff will receive:

1. **Executive Summary Report** - High-level findings and strategic recommendations
2. **Detailed Compliance Assessment Report** - Comprehensive analysis of current state
3. **Gap Analysis Matrix** - Specific regulatory gaps and compliance deficiencies
4. **Risk Assessment Dashboard** - Prioritized risk areas with impact ratings
5. **Implementation Roadmap** - Detailed action plan with timelines and resource requirements
6. **Compliance Framework Templates** - Customized policy and procedure templates
7. **Management Presentation** - Summary presentation for senior leadership

**TIMELINE**

| **Phase** | **Duration** | **Key Activities** |
| --- | --- | --- |
| Phase 1 | 2 weeks | Documentation review and initial assessment |
| Phase 2 | 3 weeks | Stakeholder interviews and process evaluation |
| Phase 3 | 2 weeks | Gap analysis and risk assessment |
| Phase 4 | 4 weeks | Report preparation and recommendations |
| **Total Project Duration** | **11 weeks** | **Complete compliance healthcheck** |

**PROJECT TEAM**

**Project Lead:** Santiago Perez  
Principal  
10 years

**Senior Compliance Consultant:** Waj  
6 years  
6 years

**Additional Team Members:**  
n/a

**INVESTMENT**

**Professional Fees**

| **Service Component** | **Fee** |
| --- | --- |
| Compliance Healthcheck (Complete Assessment) | 10000 |
| Additional Consultancy Hours (if required) | 500 per hour |
| Travel and Expenses (if applicable) | At cost |

**Total Professional Fee:** 100000

**Payment Terms**

* 50% upon contract execution
* 50% upon delivery of final report
* Payment terms: 30 days
* All fees are exclusive of applicable taxes

**WHY CHOOSE US**

* **Regulatory Expertise:** Deep knowledge of UK compliance requirements
* **Industry Experience:** Proven track record with Brokers
* **Practical Approach:** Focus on implementable, business-focused solutions
* **Senior Team:** Direct involvement of experienced compliance professionals
* **Ongoing Support:** Available for implementation guidance and follow-up

**ADDITIONAL SERVICES**

Following the compliance healthcheck, we can provide:

* Compliance framework implementation support
* Ongoing compliance monitoring and advisory services
* Regulatory training programs
* Compliance technology solution recommendations
* Periodic compliance reviews and updates

**TERMS AND CONDITIONS**

**Engagement Terms**

* This proposal is valid for 30 days
* Work will commence upon execution of engagement letter
* All work performed in accordance with professional standards
* Confidentiality agreement covers all client information

**Assumptions**

* Client will provide reasonable access to personnel and documentation
* Key stakeholders will be available for scheduled interviews
* Existing documentation is substantially complete and current
* No material regulatory changes during engagement period

**Limitations**

This healthcheck provides a point-in-time assessment based on available information and does not constitute a guarantee of regulatory compliance. Ongoing compliance monitoring is recommended to maintain regulatory adherence.

**NEXT STEPS**

1. **Review Proposal:** Please review this proposal and contact us with any questions
2. **Engagement Meeting:** Schedule a meeting to discuss specific requirements and expectations
3. **Contract Execution:** Execute engagement letter and begin project initiation
4. **Project Kickoff:** Commence compliance healthcheck assessment

**CONTACT INFORMATION**

**Primary Contact:** Teff  
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*We look forward to partnering with Jeff to strengthen your compliance framework and support your ongoing regulatory obligations. Please contact us to discuss this proposal or arrange a meeting to explore your specific compliance needs.*

**Proposal Prepared By:** Santiago Perez  
**Date:** 05/08/2025  
**Electronic Signature:** Santiago Perez