**COMPLIANCE HEALTHCHECK SERVICE PROPOSAL**

**Prepared for:** Santiago Perez  
**Proposal Date:** 01/08/2025  
**Valid Until:** 31/08/2025  
**Proposal Reference:** 001

**EXECUTIVE SUMMARY**

We are pleased to present this proposal for a comprehensive compliance healthcheck for Santiago Perez, a Investment Fund 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 Investment Funds 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, Santiago Perez 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 | N/A | Documentation review and initial assessment |
| Phase 2 | N/A | Stakeholder interviews and process evaluation |
| Phase 3 | N/A | Gap analysis and risk assessment |
| Phase 4 | N/A | Report preparation and recommendations |
| **Total Project Duration** | **N/A** | **Complete compliance healthcheck** |

**PROJECT TEAM**

**Project Lead:** N/A  
N/A  
N/A

**Senior Compliance Consultant:** N/A  
N/A  
N/A

**Additional Team Members:**  
N/A

**INVESTMENT**

**Professional Fees**

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

**Total Professional Fee:** N/A

**Payment Terms**

* 50% upon contract execution
* 50% upon delivery of final report
* Payment terms: N/A
* All fees are exclusive of applicable taxes

**WHY CHOOSE US**

* **Regulatory Expertise:** Deep knowledge of UK compliance requirements
* **Industry Experience:** Proven track record with Investment Funds
* **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:** ali  
**Title:** N/A  
**Phone:** N/A  
**Email:** N/A

**Office Address:**  
N/A

*We look forward to partnering with Santiago Perez 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:** N/A  
**Date:** 01/08/2025  
**Electronic Signature:** N/A