



SENTINEL
REGULATORY SERVICES



Sentinel offers professional and efficient access
to the UK financial services market for
Appointed Representatives using its FCA licence.



Appointed
Representatives
previously managed



Combined years
of experience



FCA Approval as an
Appointed Representative
confirmed

Overview

Under our Regulatory Hosting umbrella, you will be able to market investment services, arrange deals, receive and transmit orders and provide investment advice to professional clients within as little as 5 weeks as opposed to a potential 12 months wait to receive full FCA authorisation. With the assurance that Sentinel's highly experienced team will support you every step of the way to ensure regulatory compliance.

We also offer a full suite of pragmatic and practical focused compliance consultancy services to new and existing financial services firms.

About us

Sentinel Regulatory Services was founded by three highly experienced compliance professionals with combined compliance experience in excess of 50 years. During that time, we have developed an unrivalled reputation for providing focussed compliance support which is pragmatic and practical.

We identified an opportunity to leverage our experience by offering regulatory hosting and compliance consulting services, enhanced by utilising technology coupled with the agility and flexibility of a conflict free independent company.

Between the three Executive Directors, we have successfully managed over 100 Appointed Representatives and worked with hundreds of consultancy clients. This has enabled us to maintain longstanding client relationships and help a wide variety of financial services firms.

We are proud of our proven track record of pragmatic and, most importantly, compliant regulatory support. We know how critical it is for clients that we are on hand to offer responsive, practical advice and support, combined with efficient processes and transparent fees.



Why use Sentinel?

- ✓ Experienced team
- ✓ Responsive, practical and proactive support
- ✓ Regulatory technology is used to streamline compliance administration
- ✓ Trusted professionals with over 100 previous Appointed Representative relationships managed
- ✓ Agile decision making with no layers of bureaucracy
- ✓ Well capitalised including professional indemnity insurance
- ✓ Simple, transparent and highly competitive charging structure

Who might need Sentinel's Regulatory Hosting services?

- ✓ New business start-ups testing their product, services or market
- ✓ Firms requiring quick access to the UK financial markets
- ✓ New entrants into the UK market
- ✓ Temporary users concurrently seeking direct FCA authorisation
- ✓ Satellite offices of larger groups (often regulated overseas)
- ✓ Family offices providing services to third parties
- ✓ Firms winding down their regulated business
- ✓ Representative offices potentially providing regulated services
- ✓ Corporate finance firms





Our Regulatory Hosting service enables firms to perform regulated activities with professional clients and eligible counterparties in or from the UK including:

- ✓ Providing Investment advice
- ✓ Arranging transactions
- ✓ Marketing investment services
- ✓ Receiving and transmitting orders



Key benefits of becoming an Appointed Representative with Sentinel



Quick and efficient access to UK financial services



No regulatory capital requirement



No FCA reporting or returns



All Senior Management Functions performed by Sentinel



Comprehensive compliance support and infrastructure provided



Access to senior personnel



Compliance training provided



Flexibility to apply for direct FCA Authorisation



Steps to becoming an Appointed Representative of Sentinel



Step 1

Sign Sentinel's engagement letter



Step 2

Sentinel will commence onboarding your business and staff



Step 3

Sentinel will submit the FCA application on your behalf in as little as 2 weeks and conclude the required Appointed Representative agreement with you.



Step 4

Sentinel will finalise the implementation of your compliance monitoring infrastructure whilst awaiting FCA approval



Step 5

Your Firm and Approved Persons will appear on the FCA register. FCA approval as an Appointed Representative of Sentinel





Our compliance consultancy service is both practical and focussed led depending on the firm type and the financial services area operated in. All Executive Directors have substantial experience working with an array of financial services firms for which we can offer a full suite of consulting services.



Compliance Consulting



Direct FCA application support



Compliance health checks



Corporate governance reviews



Financial crime control reviews



Compliance monitoring



Prudential and Reg Data support



Compliance staff training

Meet the team



Alex Lander

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Get in touch to find out more about Sentinel Regulatory Services

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Sentinel Regulatory Services Ltd (FRN:1007903)

is authorised and regulated by the Financial Conduct Authority

