SENTINEL
REGULATORY SERVICES



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

over **100**

Appointed Representatives previously managed

over **100**

Combined years of experience

from **5-10** weeks

FCA Approval as an Appointed Representative confirmed

SENTINEL
REGULATORY SERVICES

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 who have since been joined by two former colleagues. Together, our team has more than 100 years of combined compliance experience and a strong reputation for delivering focused, pragmatic and practical regulatory support.

We identified an opportunity to leverage our experience to provide regulatory hosting and compliance consulting services that combine technical expertise with technology, agility and the flexibility of a conflict-free independent firm.

Our three executive directors have successfully managed more than 100 Appointed Representatives and supported hundreds of consultancy clients. This depth of experience has enabled us to build longstanding client relationships and support a wide range of financial services firms.

We are proud of our proven track record in delivering pragmatic and, most importantly, compliant regulatory support. We understand how important it is for our clients to receive responsive, practical advice and support, underpinned by efficient processes and transparent fees.



SENTINEL
REGULATORY SERVICES

Why use Sentinel?

- A stable and experienced team, working together for nearly a decade, providing clients with continuity, stability and trusted regulatory support.
- 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



SENTINEL
REGULATORY SERVICES

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

SENTINEL
REGULATORY SERVICES

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 Representitive 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



SENTINEL
REGULATORY SERVICES

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

SENTINEL
REGULATORY SERVICES

Meet the team



Alex Lander

alex@sentinel-rs.com



Ian Manson

ian@sentinel-rs.com



Lauren Foulstone

lauren@sentinel-rs.com



Vishan Singh

vishan@sentinel-rs.com



Mark Ford

mark@sentinel-rs.com



Rachel Conner

rachel@sentinel-rs.com

Get in touch to find out more about Sentinel Regulatory Services

Website: www.sentinel-rs.co.uk

Office: 020 3475 2418

LinkedIn: www.linkedin.com/company/sentinel-regulatory-services

Sentinel Regulatory Services Ltd (FRN:1007903)
is authorised and regulated by the Financial Conduct Authority