

## About

Thistle Initiatives is an award-winning compliance consultancy providing firms operating in the financial services sector with expert compliance advice and resources to manage strategic and hands-on projects, across all regulatory areas. Our clients range from niche start-ups to long-established market leaders and our expertise is split into specialist practice areas, covering Investments, Payment Services, Fintech, General Insurance, Consumer Credit and Regulatory Technology.

We advise and support firms in relation to compliance with FCA regulation, PRA requirements and other key legislation impacting the financial services industry.

We are a member of the Association of Professional Compliance Consultants (APCC), the body for compliance consultancies which advise firms regulated by the FCA in the UK. The APCC promotes high professional standards and sets best practice guidance for members to follow.

## Areas of Expertise



### Investments

We provide specialist compliance support to firms on all types of investment regulation, such as MiFID II, MIFIR, AIFMD, GDPR, SMCR and many others.



### Payment Services

Our team will use its experience and knowledge to provide a tailored solution for your firm to support compliance with PSD2.



### Fintech

We pride ourselves on providing innovative regulatory solutions to new and exciting business models and are passionate about helping firms reach their goals.



### General Insurance

We support personal lines, commercial and London market brokers, MGAs and insurers as well as e-traders, call centres and secondary intermediaries.



### Consumer Credit

As well as credit broking as a primary or secondary activity, we support lenders and debt management businesses.



### Regulatory Technology

Our regulatory technology facilitates compliance management, workflow, monitoring of firms authorised by the FCA, file review checking, e-learning and much more.

## Services

Our expertise covers practical assistance across a range of regulatory and business issues, including:

Acquisition Due Diligence

AISP and PISP

Capital Adequacy

Client Assets

Compliance Audits

Cyber Security

Supervision and Enforcement  
Support

FCA Authorisation

Financial Crime

MiFID II Services

Past Business Review and  
Remediation

and much more...

## Strategic partners



Compliance Star is a technology-enabled compliance platform that facilitates compliance management, workflow and monitoring of firms authorised by the FCA. Its failsafe calendar-based task-management system supports both automatic and manual task setting, notifies actions, populates deadlines into a calendar, issues reminders, and monitors completion. If you are looking for control, we think Compliance Star is just the solution you need.

Request a free demo at [compliancestar.co.uk](https://compliancestar.co.uk)

# RESOLUTION

Building Tomorrow

Resolution Compliance is one of the UK's leading networks for financial innovation with specific experience in P2P lending, Investment Platforms and Corporate Finance. Bringing years of industry knowledge to provide an Appointed Representative solution, tailored to your offering.

Find out more at [resolutioncompliance.co.uk](https://resolutioncompliance.co.uk)