

COMPLI-SERVE

About us

Compli-Serve was authorised by the Financial Services Board as a compliance practice in 2003 (licence number CO194) and provides compliance related services across a wide spectrum of the financial services sector including insurance brokers, financial advisers, asset managers, hedge fund managers, private equity funds, auditors and call centres. Compli-Serve has offices in Cape Town, Pretoria, Durban, and Bloemfontein with a satellite office in Port Elizabeth. Compli-Serve is actively involved in the local financial services industry via various initiatives and acts as the compliance judge for the FPI Planner of the Year competitions. Whatever the size of your business Compli-Serve offers a range of efficient, cost effective services and solutions backed by a national network of experienced and professional staff.

Value proposition

- Access to team of independent compliance professionals.
- Access to the Compli-Serve compliance documentation library.
- Free access to the online FICA training/testing.
- Free access to the online Compli-News portal.
- Discounts on Compli-Serve seminars and workshops.
- Discounts on regulatory exam training via Fit4FAIS (www.fit4fais.co.za).
- A free weekly newsletter, these include summaries of relevant FAIS Ombud case law.

Services or products offered

Outsource service:

- Compliance risk review
- Compliance risk management plan
- Assistance with implementation of compliance processes and documentation
- Quarterly onsite reviews with qualified compliance officer

- Formal written feedback reports
- Telephonic and email support during business hours
- Assistance with complaints and interaction with the Ombud office
- Assessment and advice on qualifications and skills
- Processing of license profile changes

Key individual

Richard Rattue

Contact person

Richard Rattue

Contact details

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Regions supported

- Cape Town
- Johannesburg
- Durban
- Pretoria
- PE
- Bloemfontein

Quote reference and pricing

To qualify for the preferred rate or service enhancement, please quote the following reference.

Quote reference: Allan Gray Adviser Services

Pricing: 10% discount