

Client Case Study: Compliance Health Check

COMPLIANCE HEALTH CHECK |
REGULATORY ALIGNMENT |
GOVERNANCE & CONTROLS | RISK-
BASED ASSESSMENT |
COMPLIANCE FRAMEWORK |
OPERATING MODEL REFINEMENT |
POLICY STANDARDISATION | GRC
TOOLS OPTIMISATION |
REPORTING ENHANCEMENTS

The ask?



PX Partners was engaged to perform a **compliance health check** for an asset management firm to assess the effectiveness of its newly embedded compliance function.

As part of the engagement, we conducted structured workshops with key stakeholders to evaluate the firm's **risk and compliance framework**, considering its **growth, expanded regulatory footprint, and increasing business complexity**. The objective was to assess whether key compliance activities were aligned with industry expectations and identify opportunities to enhance oversight and efficiency.

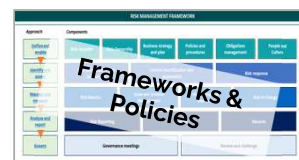
The px Difference



Our lived experience in shaping and refining compliance frameworks brought immediate and tangible benefits to our client as we delivered value from day one, applying a practitioner lens when assessing the effectiveness of the newly embedded compliance function.

We considered the firm's **operational complexity, regulatory obligations, and risk maturity** to provide **pragmatic recommendations**, ensuring that compliance activities were **better targeted, more efficient, and aligned with business priorities**. Our insights enabled the firm to recalibrate its **compliance model, enhance reporting effectiveness, and strengthen its governance structure** for long-term sustainability.

Below are some examples of our outputs:



The so what?



The PX Partners team leveraged our expertise in **compliance frameworks and regulatory governance** to deliver a **targeted assessment** of the firm's compliance function. Our review focused on:

Resetting the compliance operating model by identifying areas where compliance responsibilities could be refined, ensuring alignment with regulatory requirements and industry norms.

Maximising risk alignment by streamlining compliance procedures, improving risk identification and assessment, and enhancing monitoring activities to focus on key risk areas.

Improving compliance insights and efficiency by refining reporting structures, strengthening risk metrics, and optimising the use of **GRC tools**.

