

mourant
CONSULTING

Global Regulatory Consulting



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Global Regulatory Consulting

We are your trusted adviser. Clients appoint us because we take a proactive, 'prevent and detect' approach to governance, risk and compliance matters designed to inspire the confidence of regulators.

For our commercial clients we offer unrivalled regulatory insight, combined with genuine consulting expertise and a strategic perspective, to enable your senior team to navigate complex and ever-changing regulatory expectations in order to prevent and detect regulatory issues before they escalate.

For our public sector clients we offer the same level of unrivalled insight through the lens of our global team's deep understanding of the most effective ways for governments, regulators, and supra-national bodies to enhance standards while supporting their local industries and demonstrating effectiveness to the international community.

We are proud to be an affiliate of Mourant, one of the world's leading providers of offshore legal and governance services. With offices in Jersey, Guernsey and the Cayman Islands, and the benefit of access to Mourant's global network we are well placed to serve your multi-jurisdictional needs.



Mike Jones
Managing Director, Mourant Consulting



Why Us?



Evidencing effectiveness

Our global team are expert in helping you evidence effectiveness to local and international regulators. We work with clients to truly understand their businesses, the unique challenges they face, and the relevant standards that they must meet. We then build straightforward approaches to evidence how they are effectively meeting those standards.

Deep regulatory knowledge and expertise

We combine substantial regulatory knowledge underpinned by unique expertise – several of our team have worked for regulators – to help you build your long-term governance, risk and compliance strategy. We focus on developing your people and culture so that you are set up to navigate the complex international regulatory agenda in a sustainable way.

Access the latest insight and gain a competitive advantage

We work in close collaboration with partners in the public sector including regulators and governments. This enables us to provide you with the latest insights from the perspective of the people who set the standards. In appointing us, you gain ready access to the most recent, substantial regulatory knowledge and expertise in the market – enhancing your governance and risk and compliance function, and giving you a competitive advantage.

Genuine partnering

Benefit from all the advantages of a holistic, long-term approach that's delivered with commercial judgement in genuine partnership with you and your team.

Our Services

Governance



Strategy

We provide trusted advice on strategy with a focus on aligning commercial activity with regulatory requirements in order that you are able to operate confidently as a regulated business.



Advisory

We provide advisory services on new and existing initiatives designed to ensure that your activities incorporate your regulatory obligations by design.



Senior Management

We provide tailored advice for C-Suite executives, and compliance professionals, on the nuances of regulatory matters, their obligations and the latest sector developments.



Board Effectiveness

We provide independent assurance of board effectiveness through our unique tool, mapping against core principles and best practice, then providing tailored support if required.



Corporate Governance

We provide independent advice and assurance on corporate governance arrangements that looks beyond strict obligations towards organisational effectiveness and growth.



Training & Development

We provide bespoke training aligned to the needs and requirements of your people at all levels from new joiner to C-Suite. We deliver training in person wherever possible.

Risk and Compliance



Risk Assessments & Framework

We provide independent assurance of your framework and key risk assessments, such as the Business Risk Assessment, mapping against best practice, and provide tailored ongoing support as required.



Examination and Remediation Support

We provide support ahead of, during, and following examinations by regulators. Through our experience as regulators we offer unique insights into their expectations. This includes support with remediation effectiveness testing, to ensure that remediation plans are not only met, but operate effectively and can be evidenced.



Compliance Framework & Function Reviews

We provide independent assurance of your compliance framework, including key documentation such as the Compliance Monitoring Plan, mapping against the Business Risk Assessment and regulatory requirements, and provide tailored ongoing support as required.



Application Support

We provide support to clients applying for or seeking to expand their regulatory approvals. We offer a unique insight into the regulators' expectations, and how to manage the process successfully.



Financial Crime

We provide independent review and advisory services to help you meet your AML, CFT, CPF, and Sanctions obligations. In particular we are experienced in delivering risk focused financial crime reviews to meet local internal audit requirements.

Our Services

Regulators and Governments



Strategy and Policy Development

We leverage our deep international expertise to understand your position in the global financial services market then work with you and your stakeholder network to develop meaningful insights.



International Assessments

We provide support to jurisdictions preparing for key assessments, such as FATF assessments, utilising our trained assessors.



Risk Assessments

We provide expert support to public-sector organisations seeking to develop their understanding of risk in their jurisdiction, or specific industry sectors.

Sustainability



Sustainability by Design

We support organisations seeking to implement sustainability frameworks including selection of standards and future-proofing implementation – sustainability by design.



Advisory

We provide advisory services on achieving full compliance with international and local standards within your business, particularly where you are serving clients adopting more than one framework.



Assurance

We provide independent assurance on the level of compliance with sustainability standards, your maturity and capability then provide recommendations for enhancement.

Other services



Retained Expert Advice

We provide retained expert advice for clients in need of ongoing, trusted, confidential support on all aspects of governance, risk and compliance. This service often follows engagements where we have provided interim resource or strategic advisory services.



Interim Resource

We can provide interim resource for our clients in both the public and private sectors where key roles need cover, or where projects need to be driven forward. We seek to identify the best person from our team both in terms of their expertise and their cultural fit with your organisation.



Regulatory Updates

We provide regular updates on developments in our core jurisdictions (Cayman, Guernsey and Jersey) tailored to the specific activities of our clients, and their interests. Our updates focus on “what needs to be done” in order that our clients can put the updates into practice.



Cyber and Data

We provide assurance on data, information and cyber-security arrangements including testing the operational effectiveness of those arrangements. We regularly review and advise on enhancements to Data Protection arrangements and compliance with cross-border data protection rules.

Our Team – Jersey



Mike Jones
Managing Director, Mourant Consulting

Prior to establishing Mourant Consulting in 2021, Mike was Director of Policy and Risk at the Jersey Financial Services Commission (JFSC). He has over 20 years of regulatory experience at the Jersey and Australian Financial Services regulators. At the JFSC, Mike regularly deputised as Director General and worked closely with the current Director General and Chair. He sat on the Executive Board as well as attending Board of Commissioner meetings. He also sat on the High-Risk Business Committee and Risk Committee and chaired and attended Enforcement Review Committees.

As CRO, Mike oversaw the building of the JFSC's new risk model and ERM framework; and was JFSC lead on the Island Joint Financial Crime Strategy Group as well as policy lead on all international, domestic, financial crime, risk and data matters, including leading on the JFSC policy response on key initiatives such as AIFMD and Fintech.

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Jon Stevens
Deputy Managing Director, Mourant Consulting

Prior to joining Mourant Consulting, Jon was an Executive Director, and Head of Risk and Compliance at a large fund services, and trust company business in Jersey. His duties included leading the process of embedding a comprehensive programme of change following significant regulatory action and embedding continuing improvement into 'Business as Usual'. He also actively coached and mentored the Boards and senior leadership to drive cultural change from the top towards a Compliance First culture.

Jon worked at the JFSC for a numbers of years, latterly as Director of Policy. He provided a leadership role to the team of policy specialists developing and maintaining Jersey's regulatory rules while overseeing strategic projects to develop Jersey's Anti-Financial Crime framework in particular preparations for Jersey's next MONEYVAL assessment.

Jon is a frequent expert speaker and panellist at industry events and conferences on all aspects of Jersey's conduct of business, prudential, and AML/CFT/CPF regulatory regimes.

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Geoff Cook
Chair, Mourant Consulting

Geoff has an outstanding leadership and governance record in a wide range of significant business enterprises. His extensive international network includes C-Suite executives, government ministers and senior regulatory officials. He has a deep knowledge of the CDOTs International Finance Centres, and a comprehensive knowledge of corporate governance along with experience as a director of bank, private capital, fund, financial services and social enterprise boards.

Geoff has extensive experience of international regulation in either an approved capacity or through direct interaction on jurisdictional and policy matters with global intergovernmental organisations, regulators, commissions, financial institutions and monetary authorities worldwide.

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Tony Shiplee
Associate Director, Mourant Consulting

Prior to joining Mourant Consulting, he spent 13 years at the JFSC in a number of roles within the Supervision Division including Funds Supervisor, Head of Unit of the Relationship Managed Supervision Unit and Special Advisor on financial crime supervision matters.

In 2021 Tony trained as an FATF assessor, and was a member of a FATF Mutual Evaluation Team assessing the AML/CFT technical compliance and effectiveness of France in 2021.

Tony was actively involved in the production of Jersey's first ML NRA which was published in 2020, being a member of the Funds and Investment Business working groups and Team Leader of the TCSP working group as well as being the primary author of the TCSP chapter of the NRA.

Since joining, he has supported multiple clients with their remediation effectiveness testing. He has also provided support to the Island agencies in preparation for the upcoming MONEYVAL assessment.

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Our Team – Jersey



Dominic Hind
Associate, Mourant Consulting

Dominic has six years' experience investigating financial services complaints and independently assessing firms against the legal and regulatory frameworks of Jersey and Guernsey.

Prior to joining Mourant Consulting in 2021, he worked in a senior investigative-analyst role at the Channel Islands Financial Ombudsman (CIFO). He also has experience of working for a Jersey-based law firm.

Dominic also possesses a Masters Degree in International Financial Services through which he gained extensive experience in qualitative research, including data collection methods such as interviews.

Since joining Mourant Consulting, he has supported clients with remediation effectiveness testing. He has also provided interim support (via secondments) for clients and Island agencies with their financial crime responsibilities and obligations.

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Our Team – Guernsey



Sally Rochester
Director, Mourant Consulting

Sally is a Director of Mourant Consulting and has over 20 years of experience in the financial services industry. Previously, Sally was a Director at a Big 4 professional services firm where she led the Guernsey advisory team and the risk and regulatory team across Jersey, Guernsey, Isle of Man and Gibraltar.

Sally has developed her regulatory expertise over the last decade through delivering engagements both for clients and local regulators and more recently held the role of Executive Director of Supervision for a local regulator.

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About Mourant

Legal | Governance | Consulting

Mourant is a law firm-led, professional services business with over 60 years' experience in the financial services sector.

We advise on the laws of the British Virgin Islands, the Cayman Islands, Guernsey and Jersey and provide specialist entity management, governance, regulatory and consulting services.

We bridge the gap between legal advice and its implementation, taking an integrated approach to deliver the best results for our clients.

Our clients include many of the world's leading financial institutions, corporations, public organisations, private equity houses and investment funds, as well as family offices. We routinely work in partnership with the most prestigious international legal and accountancy firms.



