

BDO COMPLIANCE SERVICES

Simplifying Compliance; Strengthening Trust



INTRODUCTION

As regulations across the region continue to change quickly, staying compliant has become more challenging. It now requires more time, effort, and resources, and is no longer just a box-ticking exercise. Financial institutions are facing increased scrutiny from regulators and greater risks related to compliance with regulatory requirements including changing technological risks. To manage these risks effectively, a strategic and risk-based approach is needed, one that combines regulatory understanding, operational efficiency, and smart use of technology.

“Tailored Support. Expert Solutions”



Our team works closely with clients to understand their business and the environment in which they operate with including its technological infrastructure. We serve as a trusted advisor, offering clear, practical, and balanced guidance to help meet regulatory requirements and expectations.



Our Compliance Services team is your dedicated partner for navigating complex regulatory requirements. We offer scalable, specialist support tailored to your business—designed to evolve with your needs and deliver practical, effective solutions.



BDO COMPLIANCE SERVICES:



**Compliance
Management**



**Compliance
Advisory**



**Change
Implementation**



**Resource
Augmentation**



SECTOR EXPERTISE



Bank & Digital
Bank



Storage Value
Facilities



Exchange
House



Virtual Assets



Payment
Services



Asset
Management



Islamic Banking



Insurance
Companies



Wealth
Management



Finance
Company



DNFBPs



Private Equity
& VC



OUR SPECIALISM



Regulatory
Compliance



Financial Crime/
AML



Consumer
Protection



Stored Value
Facilities
Regulation



Corporate
Governance



Fraud
Monitoring



Cyber
Security



Data
Protection



ESG
Compliance



Risk
Management



Blockchain
Tx Analysis



Blockchain
Asset tracing

COMPLIANCE MANGEMENT

Strong compliance is not just about meeting rules, it is about enabling business with confidence. For firms in the UAE, regulatory obligations can be complex and time-consuming, especially when balancing day-to-day operations. Whether it's managing filings, monitoring controls, or aligning digital systems with regulatory standards, having the right support makes all the difference.

At BDO, we provide Compliance Support Services that work alongside your management team offering practical guidance, hands-on help, and tailored solutions to keep your business compliant, resilient, and ready for what's next.

OUR SERVICES INCLUDE:

Policy and Framework Design

Supervisory Examination Readiness Assessment

Fraud & Transaction Monitoring Optimization

Compliance Health Checks and Trainings

Outsourced or Co-Sourced Compliance Support

Agreed Upon Procedures (AUPs) Review

Horizon Scanning and Briefings

ESG Controls Integration

Technology Risk & Cybersecurity Compliance

KEY QUESTIONS TO REFLECT ON:

- Does your organization have clear compliance strategy that aligns with your business model and regulatory landscape?
- Have your organization identified all material compliance risks across the enterprise, including emerging risks?
- Does your people understand their compliance responsibilities and are they equipped to act on them?
- Does your organization have a proactive approach to manage regulatory relationships?
- Has your organization mapped ESG obligations into its compliance strategy and control environment, including product-level disclosures and reputational risks?



COMPLIANCE ADVISORY

Many organisations today face increasing pressure to meet complex and evolving regulatory requirements. In some cases, regulators may require independent third-party reviews, while in others, firms may seek support to strengthen specific areas of their compliance framework. Additionally, firms may seek expert advisory on technology compliance, helping assess, align, and enhance their digital infrastructure to meet regulatory standards and mitigate operational and cybersecurity risks.

BDO can help organisations address these challenges effectively and build a more resilient compliance environment.

OUR SERVICES INCLUDE:



**Independent
Assessment of
Compliance
Framework**



**Independent Review
as required by the
Regulators**



**Skilled Person
Review**



**Enterprise-wide Fraud
Monitoring system**



**Remediation &
Optimization**



**Compliance Maturity
Assessment**



**Regulatory
Reporting**



**Transmittal Letter
Management**



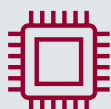
**Pre- licensing
Support**



Thematic Reviews



**ESG Disclosure
Advisory**



**Digital Risk &
Resilience Strategy
and Compliance**



Mystery shopping



AML Audit



Turning Compliance into a Strategic Asset

Compliance doesn't have to be reactive—it can be a strategic enabler. Our services help transform your compliance function into a proactive, insight-driven partner to the business. From enterprise-wide risk assessments to thematic reviews, we help you uncover blind spots, enhance operational efficiency, and build a culture of accountability. The result? A more agile, trusted, and future-ready organization.

CHANGE IMPLEMENTATION

Implementing new regulations can be both expensive and time-consuming. For successful implementation, it's important to spot new rules early, understand how they affect the business, and have clear people in charge. It starts with a detailed review of the new rules to understand how they will affect the organization's structure, systems, and processes. Senior management must be informed of these changes, and the rest of the organization needs to be involved to ensure the new regulations are applied consistently and effectively.

BDO can support your firm in managing regulatory changes in a practical and cost-effective way. Our direct interactions with regulators give us valuable insights, allowing us to provide tailored advice that helps you implement changes efficiently and effectively, while meeting your specific business needs.

OUR SERVICES INCLUDE:

1	Designing an implementation plan
2	Breaking down the rules and identifying Impact areas
3	Communicating insights from regulatory interactions
4	Briefing Senior Management on the key changes and impacts
5	Supporting the firm through the various stages of the implementation plan
6	Reviews of implementation programs to identify any gaps

WHAT OUR CLIENTS SAY



We have utilized BDO professional compliance services for a number of years now. The service received is of excellent value in terms of quality of support to our business needs and array of diverse questions we present. BDO always ensure that their approach not only complies within the spirit of the rules, which is key, but provides us with guidance via respective rules and regulations for those specific areas that can almost present as somewhat a 'grey area'. Customer service is always excellent and offers flexibility in approach depending upon our deadlines and we find this invaluable to our business.



RESOURCE AUGMENTATION

Firms may need to bring in additional staff to fill short-term resource gaps, support large-scale remediation efforts, or handle ad hoc requirements. Through our BDO Regulatory Solutions service, we are able to support firms requiring short to medium-term resource across regulatory compliance specialisms. We have an extensive network of experienced consultants who can work directly within organisations to help meet their objectives. These individuals are subject to robust risk management and quality assurance processes ensuring our clients receive high-quality support and value for money.

TYPICAL AREAS OF RESOURCE AUGMENTATION SUPPORT:



Remediation projects



Clearance of Backlogs



Regulatory Change Projects



Ad Hoc Requirement

CASE STUDY



ISSUE:

A large retail bank had a high volume of Transaction Monitoring (TM) alerts backlogs due to increase in customers and thereby transactions.



SOLUTION:

We provided a team of experts with specific skillset and understand client products and are well conversant with the TM typologies.



IMPACT:

Our client benefitted from bringing TM alerts volume back under control in reasonable timescales and were able to streamline the process of clearing the TM alerts, resulting in operational efficiencies.

In today's dynamic regulatory landscape, your institution's integrity is your greatest asset. We stand beside you—not just to meet compliance, but to build trust, strengthen resilience, and lead with confidence in a world that demands it.

FOR MORE INFORMATION:

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