

Compliance Management Services

Igniting stronger, smarter compliance through expert-led guidance

What this service delivers

US Regulatory Consulting's (USRC) Compliance Management Services helps financial institutions and fintechs build, assess, and enhance the essential components of a strong compliance management system (CMS). Our expert advisors combine regulatory insight with practical operational experience to strengthen governance, reduce risk, and ensure exam-ready performance.

Challenges we solve



Fragmented or outdated policies and governance frameworks



Limited visibility into inherent or residual risk



Ineffective or inconsistent oversight mechanisms



Weak documentation or process gaps ahead of regulatory exams



Remediation challenges and recurring control issues

Core services

Compliance management

Strengthen your compliance foundation with expert-led strategies, program reviews, risk analysis, and remediation support. USRC blends deep regulatory insight with practical operational experience to help institutions reduce risk exposure, reinforce governance, and improve overall CMS maturity.

Key services provided

- Compliance management system reviews**
 USRC performs comprehensive CMS evaluations that assess:
 - Board and management oversight structures
 - Policies, procedures, and implementation practices
 - Complaint management and escalation processes
 - Issue identification, documentation, and remediation workflows
 - Compliance risk assessment and control strength
 - Effectiveness of monitoring, testing, and internal audit programs
- Examination preparation and response**
 USRC prepares institutions for upcoming exams by identifying vulnerabilities, strengthening documentation, and helping teams anticipate examiner priorities. Recommendations ensure a confident, well-supported supervisory experience
- Compliance remediation**
 Consultants diagnose root causes behind regulatory findings and design comprehensive remediation strategies that are both sustainable and exam defensible, ensuring long term resilience.
- Third-party risk management (TPRM) reviews**
 USRC conducts independent, end-to-end assessments of institutions TPRM programs against regulatory expectations and company's risk appetite.
- Risk and control assessments**
 USRC leverages an industry standard methodology to evaluate:
 - Inherent risks across products, processes, and business lines
 - Effectiveness of policies, procedures, training, and system controls
 - Residual risk relative to control maturity

Deliverables include strengths, opportunities for enhancement, and directional risk insights for management.



Real-world use case

Use case: Strengthening CMS governance ahead of a multi-agency exam

A mid-sized regional bank faced an upcoming multi-agency compliance examination. Recent internal audits revealed inconsistent issue management practices, unclear escalation routes, and deficiencies in documentation supporting board-level oversight.

USRC conducted a risk and control assessment to evaluate inherent risks and the strength of corresponding controls. The consultants then performed a full CMS review, assessing board governance, policies, complaint processes, and monitoring/testing practices. Gaps were identified in complaints tracking, inconsistent application of policies across business lines, and incomplete monitoring documentation.

USRC provided actionable remediation guidance, helped standardize oversight processes, and supported the bank through exam preparation, including pre-exam documentation, supervisory engagement planning, and strengthening corrective-action evidence. The bank entered the exam with confidence and improved supervisory outcomes.



Why institutions choose us



Former regulators, auditors, lawyers and industry experts



Clear alignment to supervisory expectations



Practical, actionable recommendations



Transparent, collaborative engagement model

[Schedule a consultation →](#)



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