

CF Compliance Consulting Group

Overview

CF Compliance Consulting Group (CF CCG) and its consultants believe in delivering tailored compliance support solutions designed specifically for your organization's unique needs. We steer clear of one-size-fits-all services or subscription software that often introduce more complications than they solve. Our mission is clear: to safeguard your organization and minimize risk so you can confidently focus on what you do best.

We offer customized compliance solutions, regulatory response support, and compliance strategies tailored to the financial services and insurance companies we serve. Our consultants have a deep institutional knowledge of the financial services and insurance industry with real-world experience applying practical solutions to comply with the complex and ever-growing framework of regulations.

Clients We Serve

- Insurance Companies
- Insurtechs
- Registered Investment Advisers
- Wealth Managers
- Private Fund Advisers
- Institutional Asset Mangers
- Investment Companies
- Broker Dealers

Services We Provide

- Governance and Strategy Development
- Compliance Risk Assessment (CRA)
- Compliance Monitoring and Testing
- Compliance Issues Management and Remediation

- People Skills and Responsibilities
- Policies and Procedures
- Regulatory Reporting
- Technology and Data Assessment
- Communications and Training
- Compliance Maturity Assessment
- Gap Assessment
- Risk Ranking
- Resources Assessment and Effort needed
- New Business Feasibility Respond to Regulatory Requests
- Marketing Review and Approval
- State and Federal Regulatory Monitoring
- Third-Party Risk Management (Counterparty due diligence, Cybersecurity and outsourced IT, Vendor due diligence)
- Policies and Procedures Management
- Market Conduct Exams
- Updating Variable Product Registration Statements
- Mock Exams
- Compliance Audits and Reviews
- Privacy and Data Protection Compliance
- Human Capital Roles and Responsibilities Management
- Operational and Compliance Due Diligence
- Regulatory and Administrative Filings

Our consultancy operates as a subsidiary of Carlton Fields. Certain services may be offered in collaboration with Carlton Fields attorneys, as appropriate to meet client needs.

Insights

03.05.2025

Crypto Business Compliance: U.S. Licensing and Regulations

Our Team

Key Contacts



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Related Capabilities

Practices

- Insurance
- Life, Annuity, and Retirement Solutions
- Financial Services Regulatory

Industries

- Insurance
- Securities & Investment Companies
- Life, Annuity, and Retirement Solutions