



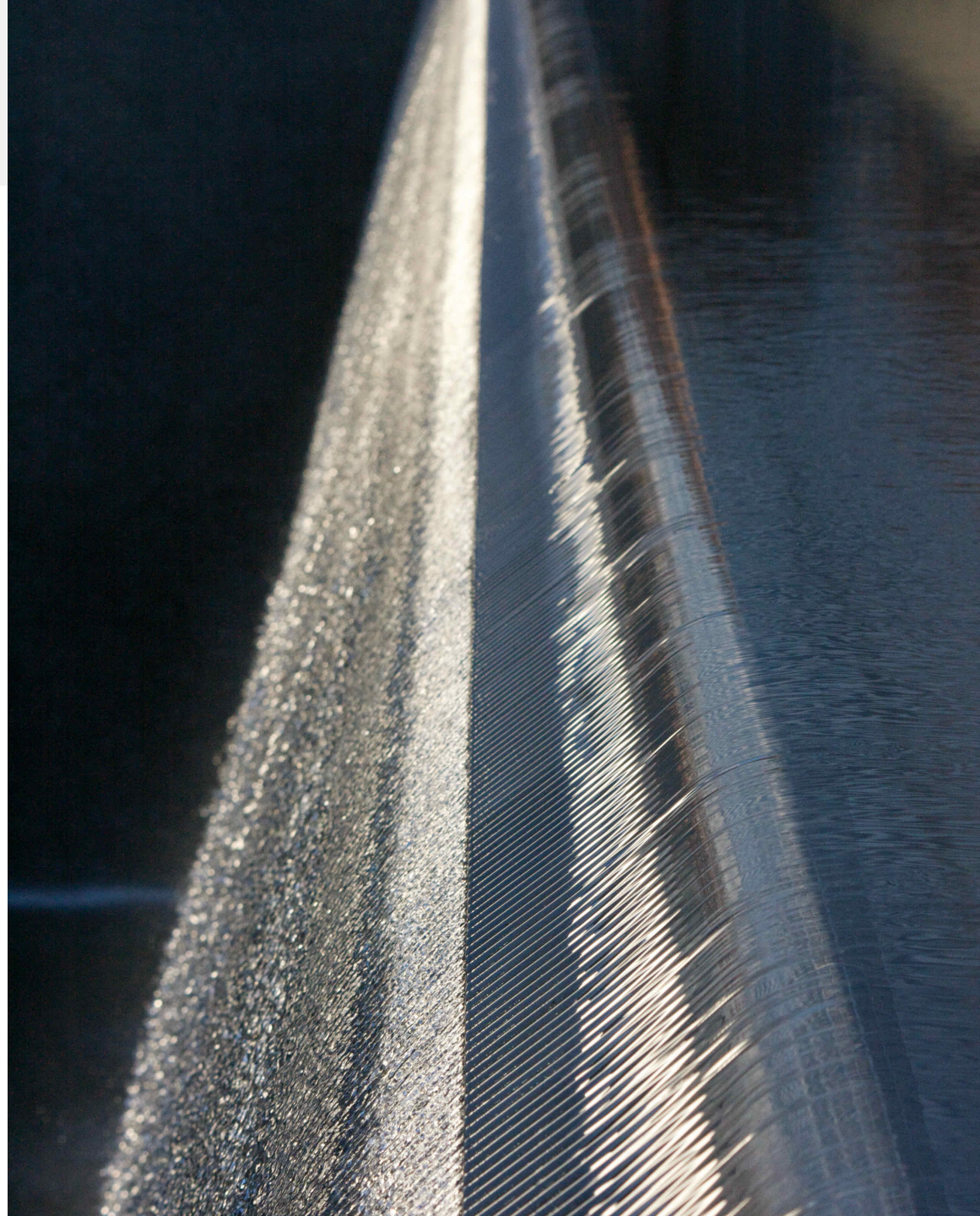
AEVITIUM LTD
RISK & COMPLIANCE WITH PURPOSE

Aevitium LTD Risk & Compliance Consultancy and Advisory

Risk and Compliance with Purpose

Julien Haye – Managing Director

November 2023



Aevitium's Expert Services

Aevitium LTD, comprising **seasoned risk and compliance professionals**, delivers **tailored expert consulting and advisory services**. We empower you to focus on what you do best - pushing the boundaries of innovation and delivering outstanding services to your clients and customers - while **we ensure that you remain compliant** with industry regulations and **set on a sustainable growth path**.



Strategic Enablement

See page 3

Align your risk and compliance activities to your business strategy and focus on the optimisation of your firm's resources (capital, liquidity, technology, etc) to ensure that your firm is well-positioned for success



Policy & Frameworks

Assess, (re)design, roll-out, and embed fit-for-purpose and proportionate risk frameworks, policies and governance to help you to proactively identify and manage risks and to operate safely and efficiently



Transformation

Transform your risk and compliance capabilities and culture, focusing on alignment of capacity, capabilities, innovation and psychological safety



Risk Outsourcing

See page 4

Provide you with cost effective risk & compliance management outsourcing solutions based on your needs and priorities through our Risk Management as a Service Solution



Advisory

Act as an advisor to Board and Executive Teams on risk and compliance matters, through strategic guidance, training and support to help you to make informed decisions



Regulatory Compliance

Guide you through the complexity of the regulatory landscape, regulatory approval process and regulatory delivery to enable compliance by design and to ensure that your firm becomes and stays compliant and avoids costly penalties



Solutions

See page 6

Focus your internal change and delivery on pro-active and innovative solutions and bring to market disruptive solutions working in collaboration with tech prodigies and designers




Trainings

Deliver risk and compliance training and educational material




As an LGBT business owner, I am in the process of applying for the Certified LGBT Business Enterprise® designation (Certified **LGBTBE**®) for Aevitium LTD

Aevitium LTD's **Integrated Risk Framework** provides you with an independent assessment of your risk framework, to unlock both **strategic** and **operational management of risks**, driving value creation, effective risk taking and optimisation of risk resources. This 10 steps **modular approach** delivers ambitious yet targeted **assessments** and **solutions**, while empowering and guiding your people through their **transformative journey**.




Opportunity

Reinforce your risk capabilities to drive risk based strategic decisions and maximise business value creation




Objective

Elevate your organisation risk management to strategic excellence while optimising enterprise-wide risk resources



Deliverables

1) Risk vision and Strategy (items 1,2)
2) Risk framework assessment (items 3-7)
3) Implementation roadmap and communication plan (items 8-10)



Engagement

- Operate as an extension to your team, focusing on coaching and empowerment
- End-to-end enterprise-wide assessment takes 10-15 weeks, customised to your organisational size and complexity
- Support or lead findings implementation, driving lasting impact and continuous improvement














Risk Management Outsourcing

In today's ever changing business landscape, staying ahead of risks is paramount.

That's why Aevitium LTD offers risk management as a service, our risk outsourcing service, freeing you from the burden of navigating complex uncertainties while enabling you to effectively manage your cost base.

By partnering with Aevitium LTD, you can focus on what you do best while our fractional risk experts handle your risk management needs with precision and professionalism.

Services tailored to your needs		Description	RiskSmart	RiskSense	RiskPro
			A streamlined risk activity management to empower your risk journey	Build on the RiskSmart offer to strengthen risk awareness organisation-wide	Build on the RiskSense offer to strengthen risk awareness organisation-wide
	Annual Planning	Collaboratively assess and strategise, identifying potential risks and crafting a customised and proportionate risk management framework for the year ahead.	X	X	X
	Quarterly Risk Register Management	Maintain a centralised risk register, documenting and tracking identified risks, their impact, and mitigation actions throughout the year.	X	X	X
	Risk Process Facilitation	Guide and facilitate risk management meetings, including risk assessment sessions, risk reviews, and risk treatment plan discussions to ensure a structured and efficient approach.	X	X	X
	Annual Risk Process Monitoring and Improvement	Monitor the effectiveness and efficiency of risk processes, identify areas for improvement, and implement enhancements to optimise the risk management workflow.	X	X	X
	Quarterly Risk Reporting and Communication	Provide clear and concise risk reports to leadership, enabling informed decision-making and fostering transparency throughout the organisation.	X	X	X
	Risk Advisory Hotline	Provide a dedicated hotline or email support for you to reach out with risk-related inquiries, clarifications, or guidance on an ad-hoc basis.	X	X	X
	Stakeholder Communication	Facilitate effective communication with internal and external stakeholders, including executives, board members, regulators, and insurance providers, to ensure a coordinated approach to risk management.		X	X
	Annual Training and Education Refresher	Provide tailored training workshops to enhance risk management knowledge and skills across the executive teams and the Board, ensuring you are equipped to manage your risks effectively.		Up to 3 sessions	Up to 5 sessions
	Risk Policy and Framework	Deliver and maintain tailored risk policies and policy frameworks to ensure compliance with relevant industry-specific regulations, driving business objectives.			Up to 5 policies
	Board Meeting Representation	Attend and actively contribute to board meetings, providing valuable insights on risk management. Enhance risk governance and integrate risk considerations into decision-making processes for proactive risk management strategies.			X
	Fractional Risk Officer	Support from a seasoned risk expert	Senior Risk Officer	Senior Risk Officer	Senior Risk Officer and Chief Risk Officer
Monthly Cost in GBP excl. VAT			£800/mo	£1,300/mo	£2,500/mo

Leveraging Aevitium's Expertise

At Aevitium, we are committed to providing you with **holistic and simple solutions** to the challenges you face. We partner with **specialist organisations and experts** to bring you innovative and cost-effective risk and compliance expertise, all while expanding our **bench capacity*** to support you regardless of the size of your organisation.

Partnership



Aevitium LTD

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Risks & Controls Consulting

- Risk Transformation & Project Management, incl. risk and compliance remediation
- Enterprise Risk Management, including
 - Governance & 3 lines models, and risk strategy and appetite
- Multi-disciplinary Risk Management, incl.
 - Financial Risk, Non-Financial Risk (e.g. strategic risk, operational risk and resilience, third party, change, technology and cyber security risk, etc.) Capital (ie. ICAAP & ICARA) and Liquidity (ie. ILAAP)
 - Policy and standard setting as well as risk management frameworks (Risk identification, assessment, management, incident and event management, etc.)
- Conduct & Risk Culture
- Regulatory Compliance
- Training & Education
- Governance, Risk and Compliance platform rollout

Specialist Expertise**

- Geopolitical Risk
- Conduct, Ethic & Controls
- Financial & Model Risk
- Environmental, Social, & Governance
- Credit Risk & Payment
- SOX & Financial Controls
- Modelling & Model Validation

Sectorial Expertise

- Retail and Investment Banking
- Asset / Investment Management
- Pension Funds & Management
- Payment & FinTech
- Social Housing
- Non-Profit & Charities
- Education

* Currently 12 seasoned risk and compliance industry experts and consultants; ongoing discussions to expand the size of our bench & expertise

** Aevitium works in partnership with independent consultants on a mission basis to supplement its expertise depending on your requirements

At Aevitium, we believe that **standardised system-based solutions** are best to establish sustainable and efficient risk and compliance functions. We work in partnership with selected specialist solution providers covering key capabilities at a cost-effective price-point.



Coming soon

- Model Risk
- Climate Risk Modelling
- Cyber Risk Monitoring
- Compliance Regulatory platform



Governance, Risk and Compliance system

In partnership with
[Goat Risk Services](#)
& [Braithwate](#)



**AML / KYC Automation;
end-to-end client /
customer due-diligence**

In partnership with
[Muinmos](#)



Cyber protection and response

In partnership with
[Kudelski Security](#)



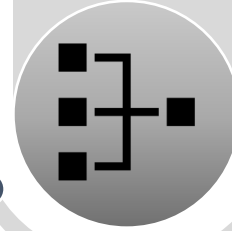
Crisis preparation and response

In partnership with
[CSA International](#)



**Risk & Compliance
Online Regulatory
Trainings**

In partnership with
[Braithwate](#)



What My Clients Say



"Julien was expert and patient in translating a jumble of fragmented thoughts into a clear and eloquent vision and thoughtful and perceptive mission statements, drawing on his own extensive experience while appreciating the nuances of our firm"

Head of Risk, Asset Management

"Julien Haye were standout sessions, in terms of audience numbers, participation, and quality of content covering top challenges facing senior finance leaders"

Arusha Phunwasi - Senior Producer at CFO Executive Dialogue

"Thank you as well for your fantastic presentation at the training course this week- I personally really enjoyed your session and thought you were extremely engaging with the audience and gave ample opportunity for questions and discussion which is great; I'm sure the participants would agree too"

Katelyn Zdunek / Training Course Producer at Risk.net





Julien Haye

Managing Director & Founder

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Overview



Julien Haye is an accomplished Chief Risk Officer and Commercially Astute Risk Expert, known for his expertise in risk management and his dedication to servant leadership. As an Award-Winning LGBT Role Model, Julien is committed to nurturing inclusive, risk-aware, and high-performing cultures in the workplace.

Experience



Risk Management, Culture, Strategy and Transformation

With over 23 years of experience spanning the financial services industry, non-profit and charity sectors, and more recently, the housing sector, Julien Haye has held various leadership roles, ranging from front-office trader to Chief Risk Officer, transformation leader and non-executive director. Julien provides a rare blend of experience in advising firms on how to strategically align their risk and compliance functions to drive business success while enhancing efficiency and effectiveness.

Education



Master in Business Administration (MBA), GARP Financial Risk Management (FRM)

Julien Haye, who completed his MBA at HEC Paris in 2008, has been consistently expanding his expertise in the areas of risk and business through the completion of various certifications – including FRM in 2010, the CBI Certification in Climate Risk in 2022, the CISI Level 4 Certificate in Managing Operational Risk in Financial Institutions in 2021, and the LIBF Certification in Principles of Payments in 2022.