



No Room for Complacency: Risk Isn't Going Anywhere



During the webinar **‘Duty Bound: The UK Consumer Mandate in a Global Age’**, participants responded to a short survey that revealed several noteworthy trends.

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Firms should not be complacent. Whilst the Chancellor marked a shift towards more measured risk-taking, firms still need robust risk management to avoid harm... and have the evidence to demonstrate good outcomes.

Priscilla Gaudoin, Ruleguard’s Head of Risk and Compliance

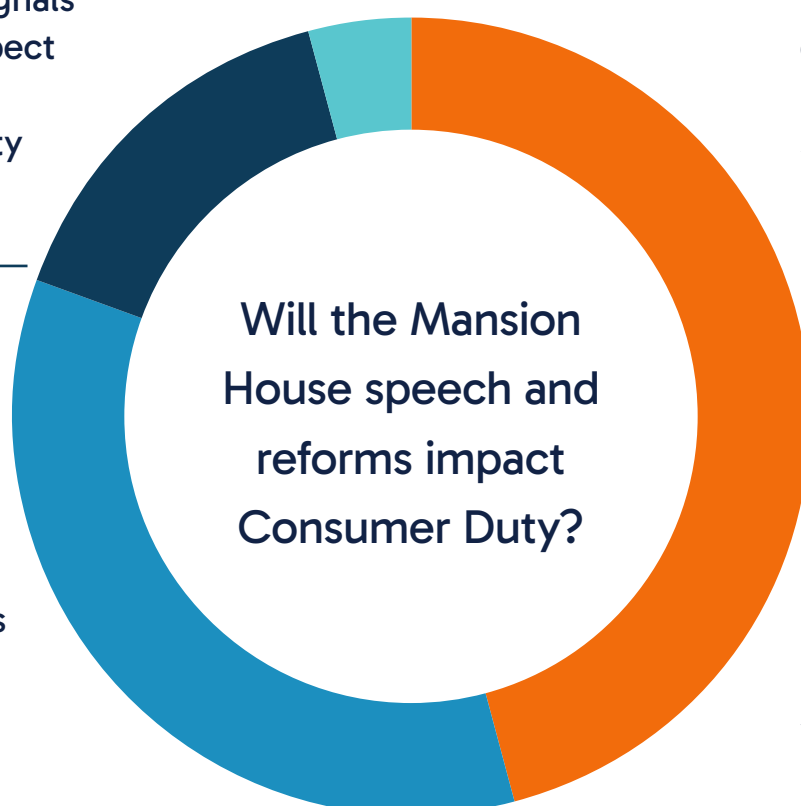
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4%

No, the speech signals intent, but we expect minimal practical change to the Duty in the short term

15%

Yes, it will lead to a major shift, particularly in how it applies to wholesale markets and professional clients



45%

Unsure – it’s too early to assess the real impact of the speech or the FCA’s response.

34%

Somewhat, it may refine certain aspects, but the core principle so the Duty remain intact

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In recent months, we’ve seen evidence of regulators coordinating their efforts globally to protect consumers. Firms operating cross-border need to be mindful that regulators are focusing their efforts on four common principles: Transparency, Fairness, Suitability and Complaints handling.

Priscilla Gaudoin, Ruleguard’s Head of Risk and Compliance

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8%

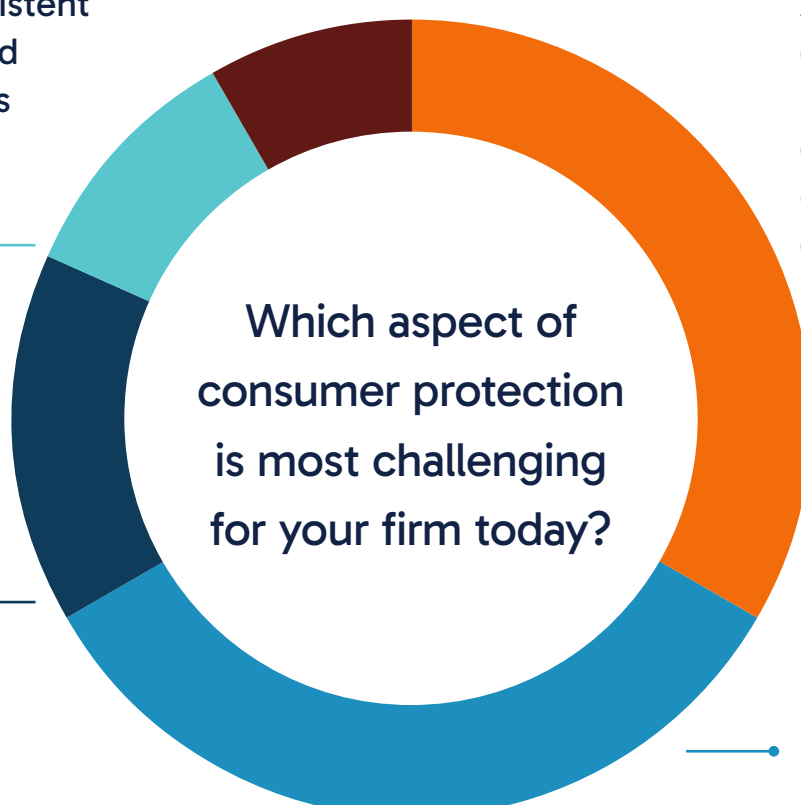
Navigating inconsistent ESG disclosure and labelling standards cross-border

10%

Managing marketing and promotions by influencers

15%

Monitoring & responding to international scams and frauds targeting your customer base



33%

Aligning with emerging global best practices on consumer outcomes and digital conduct

33%

Not currently active across border



Championing consumer interests

Enjoy peace of mind knowing that you’re not only meeting but exceeding the FCA’s Consumer Duty requirements while ensuring the best possible outcomes for your consumers. Explore the ways Ruleguard can enhance your capabilities.



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