



Stay ahead of regulatory risk. Promote confidently.

Enable your firm to control and verify every financial promotion with clarity and confidence.

Industry Challenges in Managing Financial Promotions

As regulatory focus on promotions intensifies (especially for the UK's Section 21 Gateway and wider global regimes), firms face major hurdles in verifying that all marketing communications are "clear, fair and not misleading".

Some of the key issues include:

Fragmented Approval Processes & Manual Oversight

Many firms still rely on disjointed email threads, spreadsheets & ad-hoc sign offs. This hinders strong oversight, slows time-to-market, and increases regulatory exposure.

Poor Visibility of Live Promotions Across Channels

With campaigns spanning multiple channels (digital, social, print, third-party partners) it is increasingly difficult to maintain a single source of truth, thus resulting in duplicated versions, uncontrolled edits and unclear accountability.

Lack of Audit Trail & Evidence for Regulators

Regulators increasingly expect firms to demonstrate not just that promotions were approved by a competent person but also tracked, version-controlled and supported with evidence.

Rising Third-Party and Digital Channel Risk

The growth of influencer marketing (finfluencers), remote distribution and appointed representative networks magnifies the risk of non-compliant promotions being published under your brand.

Global & Local Compliance Complexity

Firms operating across jurisdictions must adapt to differing promotion rules, language & translation requirements, and varying marketing conduct expectations. This results in manual processes struggling to scale.

Unlock the Benefits of Ruleguard's Financial Promotions Solution



A single controlled workflow for all marketing compliance activity

Our platform brings together marketing, compliance, product and distribution to ensure every promotion is properly reviewed, approved and monitored.



Automated review & sign off with full audit trail

Only competent approvers sign off materials. Every review, edit and version is recorded, meaning you have robust evidence of oversight.



Centralised visibility of all promotions, live or pending

See at a glance what's in process, where each promotion sits (draft, reviewed, approved, live), who is responsible and how materials are being distributed.



Version control & media channel management

Maintain a single repository for all media assets, channel versions, translations and distribution partner materials, which means no more chaos or duplicate files.



Audience appropriate content oversight

Ensure every promotion is tailored to its target audience, aligned with regulatory expectations and appropriately sign-posted, reducing the risk of mis-selling or misleading content.



MI dashboards & regulatory readiness

Gain real-time management information (e.g., number of promotions overdue for review, number of versions live without sign off, distribution channel risk indicators) so you can intervene early.

Why Ruleguard?

The Financial Promotions module is built on the broader Ruleguard GRC platform, designed specifically for regulated financial services.

Key differentiators

No Code Workflow Builder

Customise review and approval flows without relying on IT.

Workflow Driven Compliance Execution

Manage approvals, sign offs, distribution oversight and media versioning in one controlled environment.

End-to-End Visibility & Audit Trails

Capture every decision, action and version change for internal audit and external regulator readiness.

Designed for Financial Services

Built with the FCA's Financial Promotions regime, Consumer Duty, and global equivalents in mind.

Trusted by Institutions

Used by firms to streamline promotion oversight, reduce risk and demonstrate compliance.

Intuitive experience. End-to-end coverage.



Comprehensive Control

Oversee the full lifecycle of every promotion, from campaign brief, drafting, review, sign-off, versioning, channel go-live, to post-campaign review.



Confidence in Oversight

Ensure that your marketing compliance framework is replicable, auditable and aligned with regulation.



Trusted by Leading Firms

Used by banks, wealth managers, insurers and distributors to manage promotion risk across internal teams and third-party networks.



Innovation That Keeps Pace

Regular feature updates aligned with regulatory change for example, the UK Financial Promotions Gateway, influencer risk, non-authorised distribution.



Expert Support, Every Step of the Way

Dedicated onboarding, configuration and success teams ensure you implement with confidence and derive value quickly.

Leave a compliant, auditable trail of every financial promotion

The Ruleguard Financial Promotions Solution enables your firm to create a transparent, controlled environment for the promotion lifecycle. By automating review processes, enforcing version-control and delivering live dashboards, you can reduce regulatory risk, tighten oversight and promote with confidence.

Schedule a discovery call with us today to see how your firm can improve its financial promotions capability, from brief to review, from live to archive.



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