



FCA compliance: assurance, improvement and protection

Are you thinking about the work needed to stay compliant with FCA requirements, but are concerned about the scope, cost and litigation risks of outputs?

As lawyers operating under legal privilege, we can provide the know-how and certainty you want.

Let's get that conversation started.

What makes us different?

We are **deeply embedded** in the commercial and general insurance market, with a wide network of clients among insurers, brokers, MGAs and service providers.

We are **solicitors**, and so can provide advice and materials protected by **legal privilege**, which limits the rights of third parties to gain access to confidential material.

We are **experts** in helping financial services clients, especially in relation to insurance products and services, whether offered alone or in combination with other offerings (e.g. consumer credit).

We can provide a wide range of services under a **fixed-fee** monthly, quarterly or annual **retainer**, giving certainty over the **cost-effectiveness** and the **high quality** of deliverables.

We have insurance specialists in multiple UK locations and can **meet the needs of local markets** in terms of skill-set and price selection.

Just some of the ways we can help...

1

Consumer Duty

- Assurance on manufacturer/distributor status
- Information-sharing assessments
- Audits of and reports on implementation progress

2

Product governance

- Audit of target market analysis
- Product design to ensure customer understanding and performance certainty
- Product performance monitoring

3

Distribution

- Assurance on introducer/appointed representative status
- Assurance for distribution agreement compliance
- Controls design and enforcement over customer and data ownership

4

Business acquisitions and disposals

- Due diligence
- Asset and share sale agreements
- Change in control

5

Customer interactions

- Customer journey analysis
- Complaints handling
- Liability management

6

Regulatory relationship

- Authorisations, appointments and approvals
- Reporting and notifications
- SMCR

Contact us



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