FCA CONSUMER DUTY

Turning regulatory review into a clear delivery plan

DEVLINMAMBO

Business Context

Following an FCA Consumer Duty gap analysis, an investment manager sought independent challenge of its recommendations and a practical approach to delivering the required changes.

What the client needed

Review the gap analysis and recommendations against *FCA PS22/9* and *FG22/5;* challenge regulatory alignment; consider resources and timelines; and present findings to the Board and leadership team.

Our Approach

Reviewed successive gap analyses, relevant policies and procedures, and stakeholder input. Identified implementation considerations and risks, and developed a structured delivery proposal.

Focus Areas

01 Product Governance

02 Governance, Structure & Reporting

03 Consumer Support & Understanding

The Outcome

Devlin Mambo translated regulatory requirements into a structured programme spanning three workstreams, with defined actions, indicative timelines and delivery risks aligned to the FCA's four Consumer Duty outcomes. This provided the investment manager with a practical framework for implementation, stronger governance and ongoing Board oversight.