Helping consumers access investments that suit their circumstances

Ensuring consumers only access higher risk investments knowingly

Addressing access to high risk investments

Addressing the firms and individuals who cause consumer harm

Delivering our counter-fraud approach

Improving the quality of advice

Improving firm resilience and looking at what happens when the firm cannot pay

Protecting consumers from scams

Ensuring cost of redress is met in a fair and sustainable way

Q32021	• Q42021	Q12022	Q22022	• Q32022	• Q42022	• Q12023	• Q12023
Reviewing the regulatory regime to enable firms to support more consumers to invest in straightforward products (consultation Q1 2022 / Policy statement Q3 2022)							
$\mathbf{\mathcal{L}}$	he Consumer Du y Statement Q3	5	tation Q4				
	al promotions re olicy statement	\mathbf{J}	ation				
	HRIconsume	er campaign (we	ebsite and can	npaign launch	Q42021)		
\smile	firms and individ	\mathbf{i}	ne perimeter (1	L in 10 applica	tions stopped in	n 2020/21, this f	igure
Tackling out	t of date permiss	sions (Q4 2021	update on nur	nber of firms	who have given	up or varied per	rmissions)
Regulatory following rev	oversight of the view)	market (1,025	supervisory ca	ases opened i	n 2020/21, this	figure has been	updated
Acting agair	nst firms and ind	ividuals who ca	use consumer	harm (80 live	e investigations i	in 2020/21)	
Tackling the	e adverts hosted	by online platfo	orms which exp	DOSE CONSUM	ers to scams		
Fighting frau	ud and exiting fra	audsters who a	re FCA-superv	/ised			
Addressing misuse of the AR regime through targeted supervision and consulting on cross-sector regime change (consultation Q4 2021)							
Tackling poor advice through ongoing supervision and by preventing 'phoenxing'							
Supporting	firms to demons	strate good ad	/ice				
Reviewina c	apital requireme	ents for non-MI	FID adviser firr	I I I			
Reviewing aspects of the compensation regime to ensure it remains appropriate and proportionate (Discussion Paper Q4 2021)							