

# CONSUMER DUTY DOCUMENT CHECKLIST

Following on from our Consumer Duty Risk Assessment, there may be documents/ processes/policies that need reviewing in line with the new rules. If you're looking for a checklist of what documents need reviewing or creating then look no further!

PRODUCT & SERVICES	REVIEWED / CREATED / UPDATED?		
	YES	NO	N/A
PROD			
CENTRALISED INVESTMENT PROPOSITION / CENTRALISED RETIREMENT PROPOSITION			
PLATFORM DUE DILIGENCE			
FILE CHECKING			
VULNERABILITY			

  

PRICE & VALUE	REVIEWED / CREATED / UPDATED?		
	YES	NO	N/A
ONGOING SERVICES			
ANNUAL SUITABILITY REPORT / PROCESS			
FAIR VALUE ASSESSMENT			
FAIR VALUE STATEMENT			

  

CONSUMER UNDERSTANDING	REVIEWED / CREATED / UPDATED?		
	YES	NO	N/A
ADVICE & SALES PROCESS			
CLIENT ONBOARDING PROCESS			
DOCUMENT DISCLOSURE PROCESS			
INFORMATION TO CONSUMERS			
TESTING UNDERSTANDING			

CONSUMER UNDERSTANDING (CONT.)	REVIEWED / CREATED / UPDATED?		
	YES	NO	N/A

FINANCIAL PROMOTIONS

SUITABILITY REPORTS

PENSION TRANSFER PROCESS

INSISTENT CLIENT PROCESS

EXECUTION ONLY PROCESS

CUSTOMER SUPPORT	REVIEWED / CREATED / UPDATED?		
	YES	NO	N/A

CLIENT AGREEMENT / TERMS OF BUSINESS /  
FEE AGREEMENT

DISPUTES & COMPLAINT HANDLING

CHANNELS OF SUPPORT

CULTURE, GOVERNANCE & ACCOUNTABILITY	REVIEWED / CREATED / UPDATED?		
	YES	NO	N/A

BOARD REPORT

CONSUMER DUTY CHAMPION APPOINTED

STATEMENTS OF RESPONSIBILITIES

FIT & PROPER ASSESSMENTS

STAFF DECLARATIONS

CONDUCT RULES TRAINING

MONITORING	REVIEWED / CREATED / UPDATED?		
	YES	NO	N/A

ONGOING MONITORING PROCESS