

1LoD Risk & Controls Strengthening Programme at a Global Investment Bank



CLIENT CHALLENGE

A global investment bank faced increasing regulatory scrutiny from the FCA and internal audit requirements. It needed to strengthen its non-financial risk controls across its EMEA Fixed Income and Equities trading desks. Key themes included Governance, Conduct, Market Abuse, Surveillance, and Conflicts of Interest.



OUR DELIVERY

F2B deployed a Senior Project Manager to lead a front-to-back risk and control remediation programme:

- Delivered a comprehensive risk assessment, identifying gaps across Trade Execution, Order Management, and Unauthorised Trading.
- Implemented a refreshed governance model, embedding RCSAs, Quarterly Risk Reviews, and Front Office deep dives.



OUTCOMES DELIVERED

- ✓ Strengthened front-to-back control frameworks, reducing inherent conduct, surveillance, and trading risks.
- ✓ Successfully aligned front-office controls with MiFID II, SMCR, and FCA governance standards.
- ✓ Improved transparency through structured risk reviews, deep dives and enhanced operational risk reporting.
- ✓ Elevated regulatory confidence in 1LoD governance practices, supporting sustainable compliance across Global Markets.