Outbound email compliance for FCA-regulated businesses

Comply with guidelines that require organisations to maintain audit trails, prove delivery to the right person, and protect sensitive data.

Prevent FCA - SM&CR	Put prevention methods in place to stop a breach	"If a firm breaches one of our requirements, the Senior Manager responsible for that area could be held accountable if they didn't take reasonable steps to prevent or stop the breach."
Encrypt ICO - GDPR	Encrypt emails containing personal data	"Have a policy governing encrypted email, including guidelines that enable staff to understand when they should or should not use it. For example, there may be a guideline stating that any email containing sensitive personal data (either in the body or as an unencrypted attachment) should be sent encrypted."
Audit FCA - COBS	Keep auditable copies of outbound emails	"Keep a copy of relevant electronic communications, made with, sent from or received on equipment: (1) provided by the firm to an employee or contractor; or (2) the use of which by an employee or contractor has been sanctioned or permitted by the firm."
Authenticate ESMA - MIFID II	Authenticate recipients to prevent unauthorised access	"Have sound security mechanisms in place to guarantee the security and authentication of the means of transfer of information, minimise the risk of data corruption and unauthorised access and to prevent information leakage maintaining the confidentiality of the data at all times."
Revoke ICO - GDPR	Have the capability to revoke misfired emails	"[in the event of a data breach] act quickly. Try to recall the email as soon as possible. If you can't recall it, contact the person who received it and ask them to delete it. In the future, consider turning off the Autofill tool when sending work emails. The 72 hours following a personal data breach are particularly critical."
Reply FCA - Consumer Duty	Provide customers a secure way to communicate with you	"Ensure consumers receive communications they can understand, products and services meet their needs and offer fair value, and the support they need."

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