FOR PROFESSIONAL FINANCIAL ADVISERS ONLY

Investment Proposition

BUCKINGHAM

RESEARCH

Increased Regulatory Pressure

The regulatory landscape for UK financial advisers has never been more demanding.

- **Consumer Duty** has significantly increased oversight, documentation, and governance requirements for firms managing investments and models in-house.
- **Many advisers are feeling pressure** to outsource to Discretionary Fund Managers (DFMs) or Managed Portfolio Services (MPS) to stay compliant.
- **But outsourcing isn't always the best solution** – losing control over investment decisions, potentially higher costs for clients, and a lack of tailored oversight can all be unintended consequences.

A Fully Supported Investment Proposition

What if you could **retain control** while remaining **fully compliant with Consumer Duty**?

Our service is designed to give IFAs the **best of both worlds**: the ability to manage investments in-house while ensuring a **structured, compliant and robust governance framework**. By partnering with Buckingham Research, you gain:

- **An expertly structured investment process.**
- **Ongoing oversight, and compliance support.**
- **More time to focus on client relationships** without the administrative headache.

How The Process Works

This brochure outlines a **6-step structured approach** to help you build and manage a compliant, tailored investment proposition.

1 Investment Philosophy

- Agree on a philosophy to dictate the investment process, including the option to utilise the **Buckingham Research Investment Philosophy.**

2 Strategic Asset Allocation

- Agree on the **number of risk profiles you require**.
- Align these to your **risk profiling providers**.

3 Fund Selection

- Align to **fund availability on the platforms** you utilise.
- Take into consideration any **cost constraints**.
- **Utilise our experience and knowledge** of fund selection.

4

Risk Management & Monitoring

- Agree on **agenda and frequency of committee meetings**.
- **Portfolio review packs** prepared and presented.
- **Performance reporting**.

5

Communication

- Ability to **utilise your own branding**.
- **Quarterly client reporting**.
- 'Macro & Market' **client-friendly** reaction pieces.

6

Investment Proposition Agreement

- Once proposition is agreed and built, receive a **thorough and robust process document outlining the proposition and governance in place.**

How to Get Started

For a confidential discussion on how we can strengthen your investment proposition, contact:

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Retain control, enhance compliance and streamline your investment proposition with a rigorous, structured approach.

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