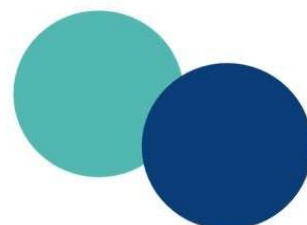


FOR PROFESSIONAL FINANCIAL ADVISERS ONLY

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:



sam@buckingham-research.com



07449 990 204



www.buckingham-research.com

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



Disclaimers:

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