



ETF Financial Promotion Support

Partnering with The Funds Collective

Why We're Speaking

ETF providers who need to expand ETF distribution in the UK often come up against compliance resourcing issues, lack of retail permissions, and financial promotion rules; all of which create friction.

The Funds Collective can remove that friction by providing expert financial promotion approval for both retail and professional investor communications.

What We Offer

We specialise in helping firms find a way to market compliantly – not just by applying the rules, but by understanding how to work within them to get results. We've supported a wide range of fund types and promotional formats, including creative and engaging digital content across platforms like social media.

Thanks to our close contact with the regulator and deep experience in financial promotions, we often help clients go further than they thought possible – while still remaining fully compliant.

1. Retail Financial Promotion Approval

- Prospectuses & supplements (under the OFR)
- Factsheets, web pages, presentations, videos, commentaries
- Clear, fast, reliable reviews – mapped to FCA rules (COBS & Consumer Duty)

2. Professional Investor Materials

- Pitch decks, due diligence packs, institutional sales content
- Review & sign-off (where required) with clear disclaimers & record-keeping

3. End-to-End Coverage

- Consistent treatment of all materials across fund lifecycle
 - One partner for all client communications – no duplication or delays
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Why This Matters

- **Retail materials must be pre-approved** by an FCA-authorized firm with financial promotion permissions (s21 FSMA)
- **Professional materials still require oversight** and can cross into retail if not handled properly
- **Firms often partner with distributors who don't have retail permissions** – or no permissions to approve promotions for others

We bridge that gap. And we do it efficiently, affordably, and in a way that keeps you moving.

Additional benefits of using us to approve retail financial promotions:

- **Expands the reach of professional materials** – approved retail content can be shared by advisers with their clients
- **Reduces regulatory risk** – if a professional document is passed to a retail investor, under COBS 4.5, it is treated as a retail communication
- **Supports sales efforts** – more compliant, versatile content means more useful collateral for client-facing teams

The Regulatory Landscape

Communication Type	Needs Approval?	Our Role
Retail Investor Promotions	Yes	Full review & FCA-compliant approval
Professional-Only Materials	Not always, but review recommended	Disclaimers, clarity, optional sign-off, distribution controls
OFR Prospectus + Supplements	Yes	Approver must be named in application

How We Work

- **Quick onboarding** – one agreement, easy submission process
- **Online portal** – unlimited users, centralised submission, tracking, approval and monitoring of all financial promotions
- **Review templates once**, then monthly updates are quick
- **Clear guidance** on what can/can't be said, and for whom
- **One point of contact** for all client communications

Future Opportunity

If you want to grow:

- We can explore a broader role, including **packaged solutions that combine financial promotions, compliance, and distribution support**
 - This creates a more **comprehensive, "in-a-box" UK distribution service** that reduces complexity and contact points for your clients
 - With a single partner managing communications, approvals, and oversight, you benefit from a **more joined-up, proactive approach**
 - And with scale comes efficiency — enabling us to offer **more attractive pricing and streamlined workflows** across multiple clients and materials
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Indicative Pricing

Our pricing is flexible and based on the level of activity, complexity of funds, and the number of sub-funds involved. We normally expect to cover:

- Prospectus and supplements
- Monthly factsheets and web pages
- Social media posts and other digital communications

Pricing typically ranges from £3,000 to £6,000 per fund, per year.

Final pricing is determined by:

- Volume, nature and frequency of communications
- Complexity and nature of the funds
- Level of scale across the fund range

We'll always aim to keep things efficient and scalable — and we'll tailor our proposal accordingly.

Let's Get Started

Our first step is simple: we'd just like to understand a little more about the funds you'd be promoting, what they do, and what your marketing plans look like.

We can then create a packaged proposal for you.

To get started, please share:

- Prospectus and supplements
- Factsheets
- Any other marketing materials (or links)

We'll review and return a tailored proposal. Simple.

We would also welcome a follow-up call to talk through the options in more detail, to see if this proposal matches your requirements and expectations.

Learn more at: www.fundscollective.uk

