



THE FUNDS
COLLECTIVE

Financial Promotions Approval Services

If you're seeking to engage retail investors in the UK, it's crucial that your financial promotions are compliant with UK regulations. As a UK FCA-authorised firm, we specialise in approving financial promotions, ensuring they meet regulatory standards for the UK market.

When submitting your OFR (Overseas Fund Regime) application to the FCA, you'll need to disclose the entity responsible for approving your financial promotions to complete your application. With only a handful of firms providing this service—and even fewer with our expertise in fund distribution—we stand out.

Our deep understanding of the funds landscape, paired with extensive regulatory experience, positions us as the ideal partner for reviewing and approving financial promotions. From targeted marketing to client-facing materials, we ensure your communications are compliant and effective.

What We Offer:

- Expert knowledge of the regulatory environment for funds
- Established processes for reviewing and approving financial promotions
- Guidance on strategies and tactics to enhance investor engagement
- Support for creating compelling brand messaging, highlighting product features and differentiators

We'll work with you to refine communications for retail investors, including websites, fund fact sheets, and other marketing tools, ensuring they not only comply with regulations but resonate with your audience.

Talk to us today to discuss how we can support your fund distribution efforts in the UK.

The Process



Agree commercial terms and fit between The Funds Collective and you.



Agree contractual terms.



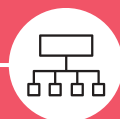
We conduct due diligence on you and your fund products by reference to scheme documentation, portfolios and distribution strategy.



Onboarding process is completed, which includes set up of direct online access to our team.



Consumer duty applies to approvers, and we embed the four outcomes into our reviews and ongoing monitoring.



All reviews and correspondence submitted and recorded for audit purposes on our bespoke, web-based ticketing system.



Promotions are approved by us and distributed by you. We will monitor your products and promotions on an ongoing basis, to check compliance is consistent with the latest regulatory expectations, industry best practice and in response to market and product events.



Marketing materials are reviewed for compliance, with an "approver stamp" indicating the firm providing approval at the bottom of the promotion.

Our expertise extends to additional services to ensure your buyers and distributors (such as platforms) have all they need to maintain listing and access to your funds.

www.fundscollective.uk

Your Key To Fund Distribution In The UK