Strengthening distribution governance across the UK and Ireland

DEVLINMAMBO

£300bn+
Client assets under management

30+
UK and Irish funds

6 months
Programme duration

Business Context

A global investment manager needed an effective distribution governance framework across its UK and Irish fund ranges, supporting regulatory compliance, appropriate distribution and stronger oversight of third-party distributors.

What the client needed

A consistent framework covering distribution policy, local procedures, clear accountabilities, risk-based due diligence and evidence of effective oversight across entities and jurisdictions.

Our Approach

Designed and implemented a distribution governance framework through four parallel workstreams, bringing together client teams and Devlin Mambo specialists through regular governance meetings.

Focus Areas

01 Distributor Universe

02 Contractual Control

03 Distributor Due Diligence

04 MI & Governance Reporting

The Outcome

The investment manager established a distribution governance policy and supporting procedures across its UK and Irish operations, with clearer accountabilities, risk-based distributor oversight and improved reporting. The framework supported Consumer Duty and MiFID obligations and created a foundation for ongoing oversight of distribution activity.