

SHARD CAPITAL

BACKGROUND

Shard Capital is a leading wealth manager offering investment, dealing, and capital market services to private, corporate, and institutional clients. Founded in 2010 as an institutional fixed income broker, it has grown into a diversified organisation of more than 90 professionals. By combining trusted advice with a highly tailored service, Shard Capital supports clients in achieving their financial goals.

The business expanded rapidly, adopting new technologies and working practices. Shard Capital engaged The DPO Centre to help strengthen its data protection framework, tailoring policies and governance structures to support both growth and compliance.

KEY CHALLENGES



TAILORING POLICIES
TO BUSINESS NEEDS



MAINTAINING MULTI-
SYSTEM GOVERNANCE



PRIORITISING RISK
MANAGEMENT



BB

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James Yates, Chief Risk Officer at Shard Capital

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SOLUTIONS

The designated DPO initially advised on the centralisation of Shard Capital's legacy data stores onto a singular Customer Relationship Management (CRM). This was supported by a data mapping exercise that fed into the organisation's Record of Processing Activities (RoPA). Key policies, including Acceptable Use and Remote Working, were also updated to reflect post-COVID-19 working practices.

To strengthen governance and prioritise risk across business areas with competing demands, the DPO established a formal Data Protection Working Group. Chaired by the DPO and attended by senior leaders from across the firm, the group meets monthly to coordinate cross-functional initiatives, align priorities, and drive improvements in record-keeping, digital infrastructure, and standard operating procedures.

The forum supports strategic risk assessment, allowing Shard Capital to balance competing priorities through collective decision-making. This pragmatic and efficient approach has driven the creation of key resources, including tailored training materials and senior management guidance, and reinforced a strong culture of accountability across the organisation.

OUTCOME

James Yates, Chief Risk Officer at Shard Capital, said: 'We are really pleased with our DPO from The DPO Centre, who understood our needs and was able to translate them into a workable plan that has greatly assisted our business' compliance journey. Shard Capital is growing at a remarkable speed, requiring us to constantly develop new ways of working whilst still maintaining our commitment to data protection. The DPO Centre's advice and support has helped us to ensure that our compliance level has remained high despite the challenges that rapid growth presents.'

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