
THE 7IM PLATFORM

OFFSHORE PLATFORM USER GUIDE

For Financial Adviser use only. It should not be distributed to or relied upon by retail clients.

AUGUST 2019

PLATFORM RELATIONSHIP MANAGERS

London & South East	South West & International	Scotland & North
Hayley Stubbs Hayley.Stubbs@7im.co.uk 0203 823 8807 07818 809 961	Sam Cole Sam.Cole@7im.co.uk 0203 823 8845 07436 107 919	Lisa Walker Lisa.Walker@7im.co.uk 07392 085 884
Chris Coombs Chris.Coombs@7im.co.uk 0203 823 8780 07384 258 515	Sam Waring Sam.Waring@7im.co.uk 0203 823 8462 07500 060 082	Hazel Willox Hazel.Willox@7im.co.uk 07717 806 485
Paul Clarke Paul.Clarke@7im.co.uk 0203 823 8487 07384 114 235		

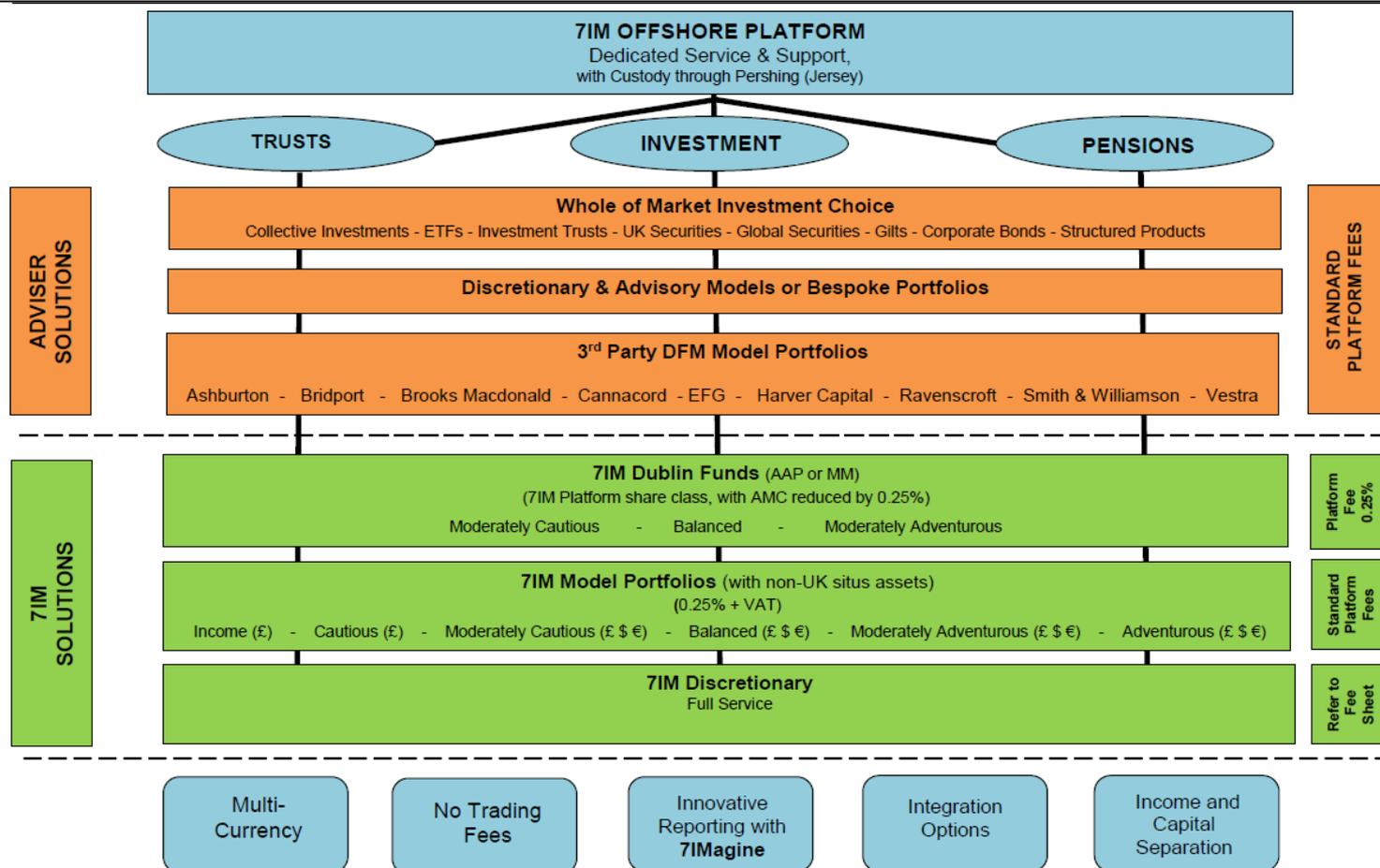
CLICK [HERE](#) TO FIND OTHER REGIONAL CONTACTS IN OUR BUSINESS DEVELOPMENT AND DISCRETIONARY TEAMS.

PLATFORM SERVICE TEAMS

London & South East (PS1)	South & West (PS2)	North & Scotland (PS3)
<p>0203 823 8707 PS1@7im.co.uk</p>	<p>0203 823 8644 PS2@7im.co.uk</p>	<p>0203 823 8599 PS3@7im.co.uk</p>
 <p> Samantha Bird Joined the 7IM Platform Service Team in May 2018, having previously worked at IFDS and Cofunds.</p> <p> Thomas Horscroft Joined the 7IM Platform Service Team in October 2017, having previously worked at Transact.</p> <p> Jasmin Hinksman Joined 7IM Platform Service Team in February 2019 having previously worked at Transact.</p> <p> Alice Cowlen Joined 7IM Platform Service in October 2018 having previously work for AJBell.</p>	 <p> Elise Ryan Joined the 7IM Platform Service Team in October 2017 having previously worked at Northern Trust, BNY Mellon and JP Morgan.</p> <p> Katherine Tointon Joined 7IM Platform Service Team April 2019, having previously worked at DST (IFDS).</p>	 <p> Sarah Joslin Joined 7IM in 2015 working within Operations before moving to Platform in October 2017. Previously worked at BNP Paribas.</p> <p> Mandy Kaur Joined 7IM in 2013 working within Operations before moving to Platform in March 2017. Previously worked at OPAL, a third party administration company.</p>

ALL TEAM MEMBERS ARE AVAILABLE TO ANSWER YOUR QUERIES, WHATEVER YOUR REGION. YOU MAY ALSO GET CONTACTED BY OUR ACCOUNT OPENING AND TRANSFERS TEAMS IF THEY HAVE SPECIFIC CLIENT NEW BUSINESS QUERIES.

Offshore Platform Investment Choices



Offshore Platform Fees & Charges

Tier Value (non 7IM funds)	Platform Fee (pa)
£0 - £500,000	0.30%
£500,000 - £1m	0.25%
£1m – £2m	0.15%
£2m – £5m	0.08%
Balance over £5m	0.05%

Notes

CASH

Interest is payable on cash held on the 7IM Platform at a rate of Base Rate minus 0.75%. This will be calculated on a daily basis and paid to the portfolio six-monthly. If Base Rate is 0.75% or below, interest will not apply.

If accrued interest is less than £10 over a six-month period, no interest will be credited for that period.

Please note that 98% of the total portfolio may be invested at any point in time, with a minimum of 2% of the portfolio held in cleared cash (to cover fees or charges).

TRANSFERRING CASH AND INVESTMENTS

There are no charges for cash transfers.

7IM makes no charge for transferring investments from or to another provider, but you should be aware that third party charges may apply.

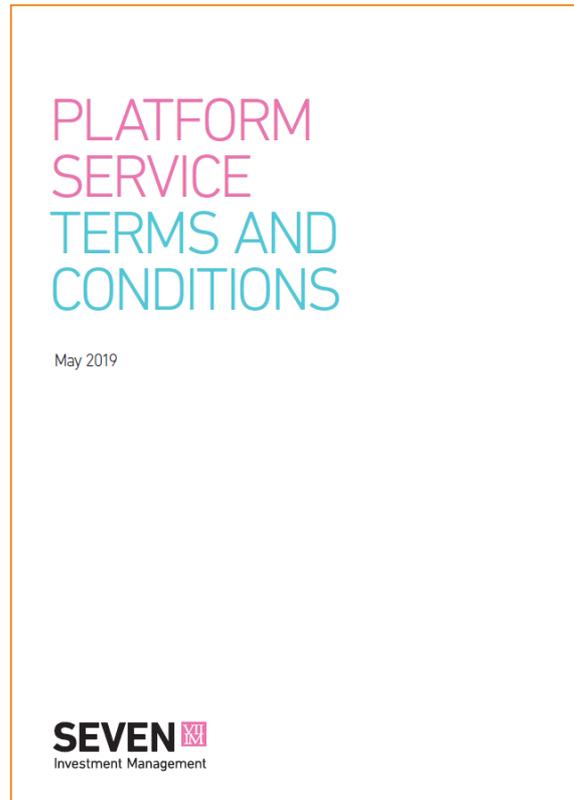
FOREIGN LISTED SECURITIES AND FOREIGN EXCHANGE TRANSACTIONS

All foreign listed security trades are charged at £25 per trade. Foreign exchange conversions are carried out via the custodian (Pershing) at market rates. 7IM charges an additional 0.50% on each such transaction.

FLAT RATE PLATFORM CHARGE OF 0.25% ON AMOUNT IN 7IM S CLASS FUNDS
 ABOVE TIERS APPLY TO VALUE OF INVESTED IN **NON-7IM FUNDS**
 NO INITIAL OR TRADING CHARGES INCLUDING ETF/SHARE TRADING*

*CHARGES FOR FOREIGN LISTED SECURITIES (£25) AND FX TRANSACTIONS (0.5%) DO APPLY

Offshore Client Terms & Conditions



BASIS FOR CLIENT'S CONTRACT WITH 7IM.
ADDITIONAL SUPPLEMENT FOR CLIENTS OF JERSEY BASED INTERMEDIARIES
COPIES AVAILABLE FROM WWW.7IM.CO.UK/PRIVATE-CLIENT/REGULATORY-AND-LEGAL/TERMS-AND-CONDITIONS

SEVEN 
Investment Management

Submitting A Client (Personal)

**ACCOUNT OPENING FORM
(PLATFORM OFFSHORE)**

SEVEN
Investment Management

PLEASE PRINT CLEARLY IN BLOCK CAPITALS AND COMPLETE ALL APPLICABLE SECTIONS OF THIS FORM.
For personal clients opening an Individual or a Joint Account.

Section 01 Account selection

Please open the following account(s) (tick all that apply):

Individual Account		Investment Account	
Applicant One	<input type="checkbox"/>	Joint Account	<input type="checkbox"/> (Please note that joint accounts are not available for US clients)
Applicant Two	<input type="checkbox"/>		

Section 02 Individual details

Applicant One	Applicant Two
If you have an existing 7IM personal account, please provide your account number below and move to Tax Residency .	If you have an existing 7IM personal account, please provide your account number below and move to Tax Residency .
<input type="checkbox"/>	<input type="checkbox"/>
Title: <input type="text"/>	Title: <input type="text"/>
First Name(s): <input type="text"/>	First Name(s): <input type="text"/>
Surname: <input type="text"/>	Surname: <input type="text"/>
Date of Birth (DD/MM/YYYY): <input type="checkbox"/> <input type="checkbox"/>	Date of Birth (DD/MM/YYYY): <input type="checkbox"/> <input type="checkbox"/>
National Insurance Number: <input type="checkbox"/> <input type="checkbox"/>	National Insurance Number: <input type="checkbox"/> <input type="checkbox"/>
Nationality: <input type="text"/>	Nationality: <input type="text"/>
Permanent Residential Address (please note we cannot accept a PO Box number or a care of (C/O) address): <input type="text"/> <input type="text"/>	Permanent Residential Address (please note we cannot accept a PO Box number or a care of (C/O) address): <input type="text"/> <input type="text"/>
City: <input type="text"/>	City: <input type="text"/>

01

PERSONAL ACCOUNT OPENING FORM TO BE COMPLETED AND ORIGINAL RETURNED WITH AML EVIDENCE (IVC NOT ACCEPTABLE), BANK STATEMENT AND ANY TRANSFER PAPERWORK (IF APPLICABLE).

Submitting A Client (Non-Personal)

<p>TRUST ACCOUNT OPENING FORM (PLATFORM OFFSHORE)</p> <p>SEVEN  Investment Management</p> <p>PLEASE PRINT CLEARLY IN BLOCK CAPITALS AND COMPLETE ALL APPLICABLE SECTIONS OF THIS FORM.</p> <p>For Trusts only</p> <p>Section 01 Entity Details</p> <p>Please select an account type:</p> <p><input type="checkbox"/> Trust <input type="checkbox"/> Bare Trust <input type="checkbox"/> RATS <input type="checkbox"/> QROPS <input type="checkbox"/> SSAS <input type="checkbox"/> Other (Please specify):</p> <p>Name of Account:</p> <p>Legal Entity Identifier (LEI) Number (not required for Bare Trusts):</p> <p>Country where trust or scheme was created:</p> <p>Tax Residency of Trust or Scheme</p> <table border="1"> <thead> <tr> <th>Country / Countries of Tax Residence</th> <th>Tax Identification Number (TIN)</th> </tr> </thead> <tbody> <tr><td></td><td></td></tr> <tr><td></td><td></td></tr> <tr><td></td><td></td></tr> </tbody> </table> <p>If a TIN is not available please select one of the following reasons:</p> <p><input type="checkbox"/> The country where you are liable to pay tax does not issue TINs to its residents.</p> <p><input type="checkbox"/> No TIN is required. (Note only select this reason if the authorities of your country of tax residence do not require the TIN to be disclosed).</p> <p><input type="checkbox"/> You are otherwise unable to obtain a TIN or equivalent number. Please explain why you are unable to obtain a TIN in the box below:</p> <p><small>UK legislation requires us to collect information about your tax residency. In certain circumstances we may be obliged to share information on your account with HMRC who may in turn share this information with tax authorities of other jurisdictions. If you have any questions about your tax residency or Entity Classification, please contact your tax adviser. You may also refer to the Frequently Asked Questions which are available on our website www.7im.co.uk</small></p> <p style="text-align: right;">01</p>	Country / Countries of Tax Residence	Tax Identification Number (TIN)							<p>CORPORATES AND PARTNERSHIPS ACCOUNT OPENING FORM (PLATFORM OFFSHORE)</p> <p>SEVEN  Investment Management</p> <p>PLEASE PRINT CLEARLY IN BLOCK CAPITALS AND COMPLETE ALL APPLICABLE SECTIONS OF THIS FORM.</p> <p>For Corporates and Partnerships only</p> <p>Section 01 Entity Details</p> <p>Please select an account type: <input type="checkbox"/> Corporate <input type="checkbox"/> Partnership</p> <p>Name of Account:</p> <p>Legal Entity Identifier (LEI) Number:</p> <p>Country of Incorporation:</p> <p>Registered Office Address:</p> <p>City: _____</p> <p>Country (or country if not UK): _____ Postcode: _____</p> <p>Company Registration Number: _____</p> <p>Date of Incorporation / Registration (DD/MM/YYYY): <input type="checkbox"/><input type="checkbox"/><input type="checkbox"/> / <input type="checkbox"/><input type="checkbox"/><input type="checkbox"/> / <input type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input type="checkbox"/></p> <p>Are operations carried out in any other countries? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, please list country / countries below:</p> <p>Please state Correspondence Address if different from above:</p> <p>City: _____</p> <p>Country (or country if not UK): _____ Postcode: _____</p> <p>Tax Residency of Entity</p> <table border="1"> <thead> <tr> <th>Country / Countries of Tax Residence</th> <th>Tax Identification Number (TIN)</th> </tr> </thead> <tbody> <tr><td></td><td></td></tr> <tr><td></td><td></td></tr> <tr><td></td><td></td></tr> </tbody> </table> <p style="text-align: right;">01</p>	Country / Countries of Tax Residence	Tax Identification Number (TIN)							<p>CHARITIES ACCOUNT OPENING FORM (PLATFORM OFFSHORE)</p> <p>SEVEN  Investment Management</p> <p>PLEASE PRINT CLEARLY IN BLOCK CAPITALS AND COMPLETE ALL APPLICABLE SECTIONS OF THIS FORM.</p> <p>For Charities only</p> <p>Section 01 Entity Details</p> <p>If the charity is not a registered charity, please complete a form according to your entity type.</p> <p>Name of Account:</p> <p>Legal Entity Identifier (LEI) Number:</p> <p>Country of Incorporation / Establishment:</p> <p>Are operations carried out in any other countries? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, please list country / countries below:</p> <p>Registered Address:</p> <p>City: _____</p> <p>Country (or country if not UK): _____ Postcode: _____</p> <p>Please state Correspondence Address if different from above:</p> <p>City: _____</p> <p>Country (or country if not UK): _____ Postcode: _____</p> <p>Charity Reference: _____</p> <p>Nature and Purpose of Charity: _____</p> <p>Tax Residency of Charity</p> <table border="1"> <thead> <tr> <th>Country / Countries of Tax Residence</th> <th>Tax Identification Number (TIN)</th> </tr> </thead> <tbody> <tr><td></td><td></td></tr> <tr><td></td><td></td></tr> <tr><td></td><td></td></tr> </tbody> </table> <p style="text-align: right;">01</p>	Country / Countries of Tax Residence	Tax Identification Number (TIN)						
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SPECIFIC FORMS DEPENDING ON THE ACCOUNT TYPE BEING APPLIED FOR

Anti-Money Laundering

- Individuals – proof of ID, address and bank details
- Corporate – certificate of incorporation, reports and accounts, signatory list, list of directors, bank statement dated within last 3 months, AML on at least 2 directors & AML on beneficial owners with at least 25% shareholding.
- Trusts – copy of trust deed, signatory list, AML on settlor, personal trustees, beneficiaries. For corporate trustees please provide same AML as for corporate applicants outlined above. Bank statement within last 3 month

ABOVE IS A GUIDELINE FOR THE DOCUMENTATION WE REQUIRE BUT WE RESERVE THE RIGHT TO REQUEST MORE INFORMATION/DOCUMENTATION ON A CASE BY CASE BASIS. MUST BE CERTIFIED COPIES OF DOCUMENTATION OR ORIGINALS.

APPOINTING INVESTMENT MANAGER

APPOINTMENT OF THIRD PARTY DISCRETIONARY MODEL PORTFOLIO MANAGER

SEVEN
Investment Management

PLEASE PRINT CLEARLY IN BLOCK CAPITALS AND DO NOT INCLUDE YOU COMPLETE ALL SECTIONS OF THIS FORM

Section 1 – Client Details

Client (to):
□□□□□□□□
□□□□□□□□

Client (if relevant):
□□□□□□□□

Section 2 – Financial Adviser Details

Financial Adviser Name:
□□□□□□□□

Financial Adviser Firm:
□□□□□□□□

Section 3 – Third Party Discretionary Model Portfolio Manager ("Third Party DM") Details

Third Party DM:
□□□□□□□□

Section 4 – Third Party DM Fees

By signing this authority form, you are:

- acknowledging that you have agreed with the Third Party DM, or that you have authorised your Financial Adviser, as your agent, to agree on your behalf to the Third Party DM, fee terms set out below;
- authorising Seven Investment Management LLP ("7IM") to include the fees set out below from each of your portfolios that are, or your Financial Adviser's investment, under the Third Party DM model portfolio in accordance with the "Payment for Services" terms in the 7IM Terms and Conditions;
- authorising 7IM to pay these fees on behalf of you, or to the order of, the Third Party DM (7IM acting as agent of the Third Party DM) in respect of those portfolios.

Seven Investment Management LLP is authorised and regulated by the Financial Conduct Authority, Member of the London Stock Exchange, Registered office: 55 Abchurch Lane, London EC4N 3JF, Registered in England and Wales No. 02378742

Section 5 – Declarations

You will have discussed your appointment of the Third Party DM and changes in relation to the Third Party DM's services with your Financial Adviser. By signing this authority form, you make the following declarations:

- you have authorised your Financial Adviser to act as your agent to sign 7IM instructions to look after your portfolio in the Third Party DM's model portfolio available on the 7IM Platform from time to time;
- you accept and acknowledge that this authority form is supplementary to the 7IM Terms and Conditions, and that any terms in Third Party DM model portfolio or the 7IM Platform will be subject to the terms relating to model portfolios in the 7IM Terms and Conditions and;
- you instruct 7IM to facilitate payment of the fees set out in the Third Party DM fees' section of this form.

Your signature is required for the completion of this form.

Please sign in the spaces below:

Client Signature
Name: _____
Date: _____

Named Client Signature
Name: _____
Date: _____

Financial Adviser Signature
Name: _____
Date: _____

If a client will be investing in a discretionary model portfolio provided by a third party investment manager they will need to sign this appointment form.

7IM need original copy of this form before you will be able to invest.

SIGNED BY CLIENT AND ADVISER TO APPOINT THE INVESTMENT MANAGER AND AUTHORISE THE FEES. SEPARATE FORM PER INVESTMENT MANAGER.

7IM Portfolio Reference

- Each 7IM portfolio number is made up of three separate parts:

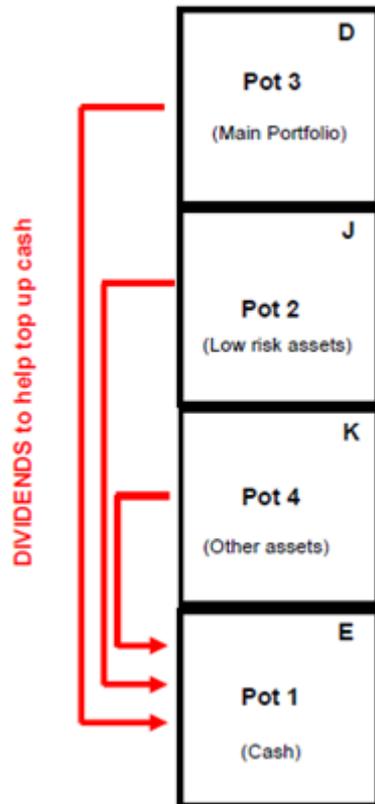
Letter	Account Type
F	Corporate
V	Joint GIA
W	Trust
X	Individual GIA
Z	Offshore Bond

- Client Reference** (eg JOF5UHW) – unique to that client
- Account Type** (eg X) – the ‘wrapper’ type (see list on left)
- Portfolio Suffix** (eg D) – the type of portfolio (or ‘sub account’) see below.

Suffix	Portfolio Type
D	Dealing 1
E	Earnings
J,K,N	Dealing 2,3,4
W	Cash (GIA only)

KNOWING THE ABOVE STRUCTURE ENABLES YOU TO IDENTIFY WHAT TYPE OF ACCOUNT A CLIENT HAS JUST FROM THE 7IM REFERENCE
NOTE JO IN CLIENT REFERENCE IS ALWAYS THE LETTER O **NOT** A ZERO

Flexibility for Segregating Income



The ability to have multiple portfolios (or sub accounts) within an account allows you to segregate different 'pots' for different purposes.

Multiple Dealing portfolios can be used to split the total investment into different 'pots' that have different time frames for use (see example diagram) or perhaps to segregate some satellite shares from the rest of the account which will be managed by a third party DFM model provider.

The Earnings portfolio can be used to automatically collect up any dividends or income derived from the Dealing portfolios and then either:

- Hold until requested;
- pay out the natural income on a given frequency; or
- pay out a fixed amount on a given frequency

ANY OF THESE ADDITIONAL PORTFOLIOS CAN BE SET UP AS PART OF THE ACCOUNT OPENING PROCESS (SEE ACCOUNT OPENING FORM) OR AT A LATER DATE BY REQUEST TO THE PLATFORM SERVICE TEAM (PS2@7IM.CO.UK)

Bank Account Details

- If any income needs to be paid to your client, please state the account that you would like income to be paid to on the application. This will be your client's **DEFAULT** bank account.

Section 3 – Bank Details*

Please note that 7IM are not able to open an account without your bank details. We will also need to verify your bank account. Please send us a statement (dated within the last three months) for the account detailed below.

Currency of Account (tick one):

GBP

USD

EUR

Bank/Building Society:

Branch Sort/Swift Code/BIC:

IBAN Number:

Account Name:

Account Number:

Further Payment Details / Reference (if applicable):

- If capital payments should be sent to a separate bank account, please *enclose a signed letter from the client's requesting for the additional bank account to be set-up.*
- When requesting capital withdrawals please specify the bank account you would like the payment sent to – **ELSE** the payment will be made to the default bank account.

IF ADDITIONAL BANK ACCOUNTS ARE REQUIRED OR EXISTING DETAILS NEED TO BE CHANGED, PLEASE SEND US A SIGNED LETTER OF INSTRUCTION FROM THE CLIENT/S WITH THE NEW OR ADDITIONAL BANK DETAILS THAT ARE TO BE ADDED.

Money In

■ Electronic Payments

- Please use bank details below to make deposits in GBP (for other currencies ask your PRM for details)
- Please make sure that the 7IM GIA reference **only** is included in the payment reference field.

7IM Offshore Bank details (GBP only)	
Bank:	ROYAL BANK OF SCOTLAND, JERSEY
BIC code:	RBOSJESXXX
Sortcode:	16-10-28
A/c No:	50812656
A/c Name:	Pershing (Channel Islands) Limited Client Money Account
IBAN:	GB42RBOS16102850812656

Note that cheques are not acceptable so please ensure payments are only sent electronically

New Platform Assets Report

New Platform Assets Report										
02 August 2014 - 02 September 2014										
Wealth Manager	Client Name	Account	Acc. Type	Portfolio	SEDOL	ISIN	Stock Name	Quantity	Value (£)	Trade Date
07 August 2014										
Sharon Lloyd	Mr Mark Tucker	Mr Mark Tucker	ISA Account	IMFONQLX5HD	CASH		CASH (GBP)		6,107.73	07-Aug-2014
08 August 2014										
Mona Crozier	Mr Todd Rhem	Mr Todd Rhem	Individual Account	IMFOQMGX D	B830G15	GB008830G150	F&C FUND MANAGEMENT LTD UK PROPERTY SC 2 ACC	35,211.79	21,021.44	08-Aug-2014 (Physical)
Mona Crozier	Mr Todd Rhem	Mr Todd Rhem	Individual Account	IMFOQMGX D	B4T65D5	GB0084T65D53	JUPITER UNIT TRUST MANAGERS STRATEGIC BOND I ACC	22,049.51	19,872.12	08-Aug-2014 (Physical)
11 August 2014										
Mona Crozier	Mr Todd Rhem	Mr Todd Rhem	Individual Account	IMFOQMGX D	3142556	GB0031425563	KAMES CAPITAL PLC HIGH YIELD BOND B INSTL ACC NAV	4,156.2138	10,112.07	11-Aug-2014 (Physical)
Mona Crozier	Mr Todd Rhem	Mr Todd Rhem	Individual Account	IMFOQMGX D	B7LGOW7	GB0087LGOW70	STANDARD LIFE INVESTMENTS LTD EURP EQTY INCOME PLATFORM 1 RETL ACC NAV	18,215.818	12,578.02	11-Aug-2014 (Physical)
Mona Crozier	Mr Todd Rhem	Mr Todd Rhem	Individual Account	IMFOQMGX D	B7K3T22	GB0087K3T226	STANDARD LIFE INVESTMENTS LTD GBL ABST RTN STRAT PLATFORM 1 RETL ACC	17,863.828	9,994.81	11-Aug-2014 (Physical)
Mona Crozier	Mr Todd Rhem	Mr Todd Rhem	Individual Account	IMFOQMGX D	B7C0H94	GB0087C0H946	STANDARD LIFE INVESTMENTS LTD GBL IDX LKD BD PLATFORM 1 RETL ACC NAV	18,773.337	9,657.00	11-Aug-2014 (Physical)
Mona Crozier	Mr Todd Rhem	Mr Todd Rhem	Individual Account	IMFOQMGX D	B7KVX24	GB0087KVX245	STANDARD LIFE INVESTMENTS LTD GBL SMALLER COS PLATFORM 1 RETL ACC NAV	18,060.087	11,643.34	11-Aug-2014 (Physical)
Mona Crozier	Mr Todd Rhem	Mr Todd Rhem	Individual Account	IMFOQMGX D	BCSZKG9	GB008CSZKG98	STANDARD LIFE INVESTMENTS LTD UK PROPERTY PLATFORM ACC NAV	28,367.420	17,786.37	11-Aug-2014 (Physical)
12 August 2014										
Sharon Lloyd	Mr Harrison Bowman	Mr Harrison Bowman	ISA Account	IMF0T1NX5HD	CASH		CASH (GBP)		15,000.00	12-Aug-2014

CHECK FOR NEW CASH RECEIVED OR NEW ASSETS TRANSFERRED IN IMPORTANT TO MONITOR THIS REPORT REGULARLY
REPORTS > PRACTICE ADMINISTRATION > NEW PLATFORM ASSETS (CSV OPTION AND CUSTODY SET TO OFFSHORE)

CREATING A NEW MODEL

MODEL PORTFOLIO

The screenshot shows a form titled 'MODEL PORTFOLIO' with the following fields and options:

- Model Description:** A text input field.
- Risk Profile:** A text input field.
- Created By:** Golding, Christopher
- Created:** 18/10/2017 14:33:42
- For Offshore Custody
- Is ISA Eligible
- Is Offshore Bond Eligible
- Buttons:** 'Create' (highlighted with an orange circle), 'Cancel', and 'Back to Previous Page'.

- Enter name and risk profile for model
- Model name cannot be changed once the model has been created
- Tick relevant ISA / Offshore Bond eligibility boxes
- If creating a model to be held in offshore custody, you must tick the 'For Offshore Custody' box
- You will not be able to tick the 'ISA Eligible' & 'Offshore Bond Eligible' boxes if you are creating a model for offshore custody

GO TO: **TOOLS > MODEL PORTFOLIOS > NEW MODEL**

EITHER... ADD SECURITIES

MODEL PORTFOLIO

Model Description
Liontrust Balanced

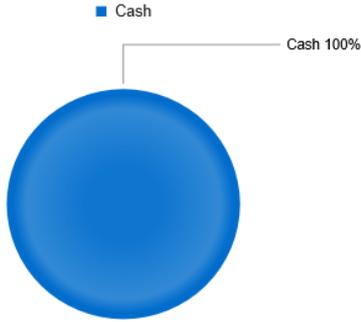
Risk Profile
Balanced

Created By
Staff, Internal

Created
24/01/2018 08:48:49

Is ISA Eligible

Is Offshore Bond Eligible



Cash 100%

*Please note that the sum of assets may not always be exactly 100% as some short positions cannot be included in the pie chart totals.

Save Amendments Cancel Export to Excel Back to Previous Page

Security Description	Sedol	Currency	Percentage
CASH (GBP)	CASH	GBP	100.00%
			Total: 100%

Add Securities

CLICK ADD SECURITIES BUTTON TO START ADDING FUNDS INTO THE MODEL

SECURITY SEARCH

The screenshot shows a web interface titled "SECURITY SEARCH". It has a search bar with "blackrock" entered and a dropdown menu set to "Name". A "Search" button is below the search bar. To the right, a "SELECTED SECURITIES" box contains "BLACKROCK FUND MANAGERS LTD GLOBAL BOND D ACC". Below the search bar is a table of search results:

Name	Sedol	
BLACKROCK FUND MANAGERS LTD CORPORATE BOND TRACKER D ACC	B84DSW8	Select
BLACKROCK FUND MANAGERS LTD CORPORATE BOND TRACKER D DIS	B7J60R4	Select
BLACKROCK FUND MANAGERS LTD EMERGING MARKETS EQUITY TRACKER A ACC	B65W262	Select
BLACKROCK FUND MANAGERS LTD EMERGING MARKETS EQUITY TRACKER D ACC	B84DY64	Select
BLACKROCK FUND MANAGERS LTD EUROPEAN DYNAMIC D ACC	B5W2QB1	Select
BLACKROCK FUND MANAGERS LTD EUROPEAN DYNAMIC D INC	B8440Z8	Select
BLACKROCK FUND MANAGERS LTD GLOBAL BOND D ACC	B8DCRV8	Select
BLACKROCK FUND MANAGERS LTD GLOBAL BOND D INC	B80LD76	Select
BLACKROCK FUND MANAGERS LTD GLOBAL PROP SECURITIES EQTY TKR D ACC	B5BFJG7	Select
BLACKROCK FUND MANAGERS LTD GLOBAL PROPERTY SECS EQTY TRACKER D INC	B848DD9	Select

At the bottom of the table, there are navigation arrows and a page indicator "81 - 90 of 131 items". A "Finished" button is located at the bottom left of the interface.

You can check if a fund is available on our platform by going to **Research > Security Search** and typing in a SEDOL code or part of the fund name.

This is best done before you start to build your models.

SEARCH AND SELECT ALL SECURITIES REQUIRED FOR THE MODEL. THIS IS BEST DONE BY THE FUND'S SEDOL CODE RATHER THAN BY NAME.

ADD FUND WEIGHTINGS

MODEL PORTFOLIO

NEW PENDING AUTHORISATION

Model Description
Liontrust Balanced 2

Risk Profile
Balanced 2

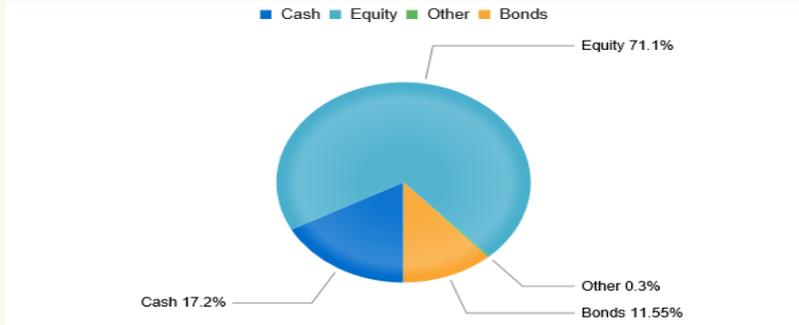
Created By
Mrs Jasmine Brown

Created
24/01/2018 08:59:43

For Offshore Custody

Is ISA Eligible

Is Offshore Bond Eligible



*Please note that the sum of assets may not always be exactly 100% as some short positions cannot be included in the pie chart totals.

Import Save Amendments Cancel Back to Previous Page

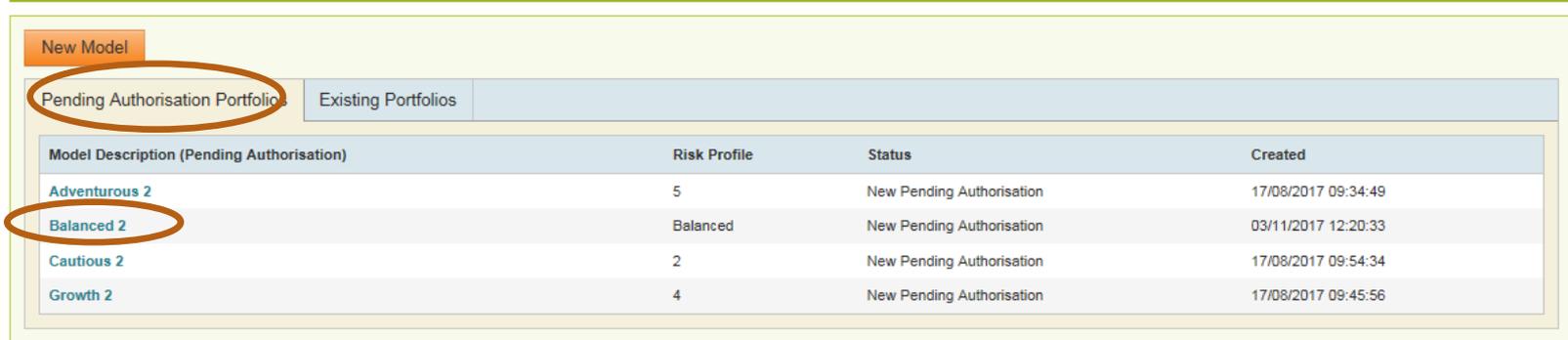
Security Description	Sedol	Currency	Percentage
ARTEMIS FUND MANAGERS GLOBAL EMERGING MARKETS INSTL GBP ACC	BW9HL13	GBP	22.00%
CAPITA FINANCIAL MANAGERS CF LINDSELL TRAIN UK EQUITY FUND ACC	B18B9X7	GBP	10.00%
CASH (GBP)	CASH	GBP	16.00%
FIDELITY FUNDS ASIAN SPECIAL SITUATIONS Y USD ACC NAV	B2PMB23	USD	15.00%
LEGAL & GENERAL(UNIT TRUST MNGRS) STERLING CORPORATE BOND INDEX I INC	B72V3J9	GBP	12.00%
SCHRODER UNIT TRUSTS ASIAN INCOME Z ACC	B5BJ7M1	GBP	25.00%
			Total: 100.00%

Add Securities

EDIT (CLICK THE PENCIL ICON) AND ACCEPT (TICK ICON) MODEL PERCENTAGES. ENSURE THERE IS CASH WITHIN THE MODEL (2% RECOMMENDED). SAVE AMENDMENTS.

AUTHORISE MODEL PORTFOLIO

MODEL PORTFOLIOS



The screenshot shows a web interface for 'MODEL PORTFOLIOS'. At the top left, there is a 'New Model' button. Below it, there are two tabs: 'Pending Authorisation Portfolio' (which is selected and circled in orange) and 'Existing Portfolios'. The 'Pending Authorisation Portfolio' tab displays a table with the following data:

Model Description (Pending Authorisation)	Risk Profile	Status	Created
Adventurous 2	5	New Pending Authorisation	17/08/2017 09:34:49
Balanced 2	Balanced	New Pending Authorisation	03/11/2017 12:20:33
Cautious 2	2	New Pending Authorisation	17/08/2017 09:54:34
Growth 2	4	New Pending Authorisation	17/08/2017 09:45:56

Another user at your firm needs to authorise any new models or changes to existing models before they can be used.

Models requiring authorisation will appear in the Pending Authorisation tab of other users, as above.

AUTHORISE MODEL PORTFOLIO

MODEL PORTFOLIO

Model Description Balanced 2	Risk Profile Balanced	Created By Mrs Kathleen Headrick
Created 03/11/2017 12:20:33		
<input checked="" type="checkbox"/> Is ISA Eligible		
<input type="checkbox"/> Is Offshore Bond Eligible		

*Please note that the sum of assets may not always be exactly 100% as some short positions cannot be included in the pie chart totals.

Buttons: Export to Excel, **Authorise**, Cancel, Back to Previous Page

Security Description	Sedol	Currency	Percentage
ARTEMIS FUND MANAGERS GLOBAL INCOME UNITS INSTL ACC	B5ZX1M7	GBP	4.00%
ARTEMIS FUND MANAGERS UK SMALLER COS I ACC	B2PLJL5	GBP	1.00%
ARTEMIS FUND MANAGERS UK SPECIAL SITUATIONS I ACC	B2PLJQ0	GBP	5.00%
BLACKROCK FUND MANAGERS LTD ASIA SPECIAL SITUATIONS D ACC	BJGZZ06	GBP	3.00%
BNY MELLON FD MNGR THE BOS CO US OPP INS W NET	B8L14S3	GBP	3.00%
BNY MELLON FUND MANAGERS LIMITED NEWTON ASIAN INC INSTL W ACC	B8KT3V4	GBP	3.00%
CASH (GBP)	CASH	GBP	2.00%

ONCE AUTHORISED THE MODEL WILL APPEAR IN THE DEALING SECTION TO BE INVESTED IN. MODELS WILL ALSO APPEAR IN THE ILLUSTRATION TOOL UNDER “PUBLIC PORTFOLIOS”

DEALING – Buying

Four different trade types to buy assets:

1. **Invest Cash** – investing a certain £ amount into selected funds
 2. **Buy Units** – buying a certain number of units regardless of cost
 3. **Model Portfolio** – investing a certain £ amount into a model portfolio
 4. **Rebalance** – linking an account to a DFM model for the first time or rebalancing an existing account*
- Add all trades to Order Sheet then submit Order Sheet
 - Minimum £30 buy per fund. Buy trades below this amount will be highlighted in red and will need to be removed from the order sheet before submitting.
 - 11am dealing cut off (for funds that price at midday).

Please note that trades cannot be cancelled once submitted.

All trades are from GBP cash. Contact us for trading in other currencies.

INVEST CASH TRADES INTO ETFs / EQUITIES WILL GET ROUNDED DOWN TO THE NEAREST WHOLE SHARE. *REBALANCE WILL ADJUST EXISTING HOLDINGS TO BRING THEM IN LINE WITH THE SELECTED MODEL PORTFOLIO

DEALING – Buying

Invest Cash | Sell Units | Raise Cash | Buy Units | Model Portfolios | Liquidate | Switch | Rebalance

Client: Portfolio:
Available Cash £8.49 (excluding cash buffer of £303.21) [Use Portfolio Group](#)

Security:

Amount: Transaction Format: Transaction Fee:

Create Order

ORDERSHEET

Submit
Clear
Clear Errors

Trade Type	Description	Sedol	Quantity / Cash	Portfolio name	Client	Number Of Buys	Number Of Sells			
▲ Adams, Mr Sebastian; Individual Investment Account (IMF4UALX D)										
Invest Cash	7IM AAP BALANCED S ACC	BJBPWW2	£50.00	Individual Investment Account (IMF4UALX D)	Adams, Mr Sebastian	1	0 ✕			
Order Type	Security	Sedol	Quantity / Cash	Unit Price	Quantity	Gross Consideration	Transaction Fee	Transaction Charge	Net Consideration	Profit / Loss
Invest Cash	7IM AAP BALANCED S ACC	BJBPWW2	£50.00	1.2364	40.4390	£50.00	£0.00	£0.00	£50.00	NA

PLEASE NOTE THAT TRADES CANNOT BE CANCELLED ONCE SUBMITTED, SO PLEASE CHECK THAT EVERYTHING IS CORRECT BEFORE SUBMITTING THEM.

DEALING – Selling

Four different trade types to sell assets:

1. **Sell Units** – selling a certain number of units, with proceeds unknown
 2. **Raise Cash** – selling an unknown number of units to generate a specific £ amount. Can be single fund or proportional across all funds in portfolio.
 3. **Liquidate** – selling 100% of a holding or 100% of all holdings
 4. **Switch** – selling A and rebuying B (*see separate section*)
 5. **Rebalance** – selling anything not included in model and investing in model*
- Add all trades to Order Sheet then submit Order Sheet
 - No minimum trade size for selling.
 - 11am dealing cut off (for funds that price at midday).

Please note that trades cannot be cancelled once submitted.

All trades will go into GBP cash. Contact us for trading in other currencies.

RAISE CASH SALE TRADES FROM ETFs / EQUITIES WILL GET ROUNDED UP TO THE NEAREST WHOLE SHARE. *REBALANCE WILL ALSO ADJUST EXISTING HOLDINGS TO BRING THEM IN LINE WITH THE SELECTED MODEL PORTFOLIO

DEALING – Selling

Invest Cash
Sell Units
Raise Cash
Buy Units
Model Portfolios
Liquidate
Switch
Rebalance

Client Portfolio Available Cash £19,450.99 (excluding cash buffer of £722.29)

Type

Calculation

Amount Transaction Format Transaction Fee

ORDERSHEET

Trade Type	Description	Sedol	Quantity / Cash	Portfolio name	Client	Number Of Buys	Number Of Sells			
Adams, Mr Sebastian;ISA (IMF4UALXSHD)										
Proportional Sell			£19,999.98	ISA (IMF4UALXSHD)	Adams, Mr Sebastian	0	6 <input type="button" value="X"/>			
Order Type	Security	Sedol	Quantity / Cash	Unit Price	Quantity	Gross Consideration	Transaction Fee	Transaction Charge	Net Consideration	Profit / Loss
Raise Cash	7IM AAP INCOME FUND S ACC	BJBPWF5	£3,332.18	1.2143	2,744.1160	£3,332.18	£0.00	£0.00	£3,332.18	£64.52 <input type="button" value="X"/>
Raise Cash	ARTEMIS FUND MANAGERS MONTHLY DISTRIBUTION I ACC	B75F9Z6	£3,345.56	0.9286	3,602.8000	£3,345.56	£0.00	£0.00	£3,345.56	£66.66 <input type="button" value="X"/>

PLEASE NOTE THAT TRADES CANNOT BE CANCELLED ONCE SUBMITTED, SO PLEASE CHECK THAT EVERYTHING IS CORRECT BEFORE SUBMITTING THEM.

DEALING – Switching

1. **Selling fund A** – either £ or % amount; and
2. **Buying fund B, C, D, etc** – either £ or % amount

Examples:

- Sell 100% of Fund A and reinvest 100% of proceeds into Fund B
- Sell 100% of Fund A and reinvest 50% into Fund B and 50% into Fund C
- Sell 50% of Fund A and reinvest 100% of proceeds into Fund B
- Sell £5,000 Fund A and reinvest 100% of proceeds into Fund B
- Sell £5,000 Fund A and reinvest £4,500 into Fund B, £500 in cash

Sell trades will get placed at next available dealing date; and

Buy trades will 'queue' and automatically be done by 7IM Platform as soon as possible (typically day after sell trade where settlement periods are the same).

No minimum sale size; minimum buy size is £30.

All trades will be in GBP. Contact us for trading in other currencies.

7IM PLATFORM WILL PROCESS QUEUED BUY TRADES IN ACCORDANCE WITH IN-BUILT RULES LINKED TO SETTLEMENT PERIODS AND BUFFERS. TYPICALLY THIS WILL BE THE FOLLOWING DAY BUT MIGHT NOT ALWAYS BE THE CASE.

DEALING – Switching

SWITCH

Summary

Description	Amount	Switch
Sale Proceeds (est)	£5,962.66	100.00 %
Purchase Amount	£5,962.66	100.00 %
Amount to Cash (est)	£0.00	0.00 %

Sell

Order Type	Security Description	Sedol	Quantity / Amount	Percentage of Current Holding
Sell Units	ARTEMIS FUND MANAGERS MONTHLY DISTRIBUTION I ACC	B75F9Z6	6,421.134	100.00 %

Add Buy

Security

Amount Transaction Format Transaction Fee

Buys

Order Type	Security Description	Sedol	Quantity / Amount	Percentage of Current Holding
Invest Cash	7IM AAP BALANCED S ACC	BJBPWW2	£2,981.33	50.00 % ✖
Invest Cash	7IM BALANCED S ACC	BJBPWK0	£2,981.33	50.00 % ✖

ORDERSHEET

Trade Type	Description	Sedol	Quantity /	Portfolio name	Client
Adams, Mr Sebastian:ISA (IMF4UALXSHD)					
Switch	ARTEMIS FUND MANAGERS MONTHLY DISTRIBUTION I ACC	B75F9Z6			
Order Type	Security	Sedol	Quantity / Cash		
Sell Units	ARTEMIS FUND MANAGERS MONTHLY DISTRIBUTION I ACC	B75F9Z6	6421.134		
Invest Cash	7IM AAP BALANCED S ACC	BJBPWW2	£2,981.33	1,2364	2,411,2990
Invest Cash	7IM BALANCED S ACC	BJBPWK0	£2,981.33	1,2364	2,430,9600

Issue with Order

When your order is placed it will be queued and released in accordance with our trade dated cash process which is designed to ensure that monies are available to complete all instructions. You can track the progress of your orders in the My Orders section of the Platform.

PLEASE NOTE THAT TRADES CANNOT BE CANCELLED ONCE SUBMITTED, SO PLEASE CHECK THAT EVERYTHING IS CORRECT BEFORE SUBMITTING THEM.

DEALING – Rebalancing

- Brings an account in line with a model portfolio (either adviser or DFM).
 - Multiple adviser models (including a cash model) can be blended by %
 - Single DFM model can be selected per portfolio (aka sub-account)
 - Client must sign authority form before DFM model can be used
- 7IM Platform will calculate any necessary sale trades (Sell Units) and buy trades (Invest Cash).
- No minimum sale size. Minimum £30 buy per fund. Buy trades below this amount will be highlighted in red and will need to be removed from the order sheet before submitting. Other trades will not be recalculated.
- **Sell trades** will get placed at next available dealing date; and
- **Buy trades** will 'queue' and automatically be done by 7IM Platform as soon as possible (typically day after sell trades where settlement periods are the same).

7IM PLATFORM WILL PROCESS QUEUED BUY TRADES IN ACCORDANCE WITH IN-BUILT RULES LINKED TO SETTLEMENT PERIODS AND BUFFERS. TYPICALLY THIS WILL BE THE FOLLOWING DAY BUT MIGHT NOT ALWAYS BE THE CASE.

DEALING – Rebalancing

Invest Cash | Sell Units | Raise Cash | Buy Units | Model Portfolios | Liquidate | Switch | Rebalance

Client: Henson, Mr Steve (IMF4TVE) | Portfolio: ISA (IMF4TVEXSHD) | Available Cash £0.00 (excluding cash buffer of £3,379.19) | Use Portfolio Group

7IM Balanced Model Portfolio (Balanced) | 100.00 %

Minimum Trade Amount: £ 30.00

Create Order | Export Preview

ORDERSHEET Submit Clear Clear Errors

Trade Type	Description	Sedol	Quantity / Cash	Portfolio name	Client	Number Of Buys	Number Of Sells			
Henson, Mr Steve;ISA (IMF4TVEXSHD)										
Rebalance				ISA (IMF4TVEXSHD)	Henson, Mr Steve	27	5			
Order Type	Security	Sedol	Quantity / Cash	Unit Price	Quantity	Gross Consideration	Transaction Fee	Transaction Charge	Net Consideration	Profit / Loss
Sell Units	ARTEMIS FUND MANAGERS MONTHLY DISTRIBUTION I INC	B6TK3R0	44815.854	0.7495	44,815.8540	£33,589.48	£0.00	£0.00	£33,589.48	£233.04
Sell Units	INVESCO FUND MANAGERS IP MONTHLY INCOME PLUS Z INC	B8N45Q5	15118.73	2.2220	15,118.7300	£33,593.81	£0.00	£0.00	£33,593.81	£237.37

PLEASE NOTE THAT TRADES CANNOT BE CANCELLED ONCE SUBMITTED, SO PLEASE CHECK THAT EVERYTHING IS CORRECT BEFORE SUBMITTING THEM.

MONITOR TRADES

12/08/2016 19/08/2016 View

In Progress Completed Not Submitted

Export to Excel

Type	Status	Submitted Date	Client Name	Input By	Portfolio Name	Description	SEDOL	Quantity/Cash	Number of Sells	Number of Buys
Sell Units	Allocated	12/08/2016 08:35:19	Ward, Mrs Elyse	David Olson	Trust (offshore) (JOF644RW J)	TRELIGGA PLC ARDEVORA UK INCOME C NAV	B4XXXL5	2249.88	1	0
Status		Trade ID	Bargain Reference	Submitted Date	Type	Description	Contract Note	Quantity/Cash		
Allocated		2641853	IMSYL551	12/08/2016 08:35:19	Sell	TRELIGGA PLC ARDEVORA UK INCOME C NAV		2249.88		
SEDOL	ISIN	Unit Price	Quantity	Gross Consideration	Transaction Fee	Stamp Duty	PTM Levy	Transaction Charge	Net Consideration	FX Rate
B4XXXL5	IE00B4XXXL53	1.5701993	2249.88	£3,532.76	£0.00	£0.00	£0.00	£0.00	£3,532.76	-
Sell Units	Allocated	12/08/2016 08:35:12	Ward, Mrs Elyse	David Olson	Individual Investment Account (offshore) (JOF4UHWX D)	TRELIGGA PLC ARDEVORA GLOBAL EQUITY C ACC NAV	B4XSRG3	1740.21	1	0

You can view trades done by others in the Orders on Behalf section:

WEALTH MANAGER LIST

Wealth Managers	Number of Clients	Show Clients	Show Orders On Behalf	Show Orders	Show Asset Transfer
Williams, Mr Craig	40	Show Clients	Show Orders On Behalf	Show Orders	Show Asset Transfer
Wisdom, Mr Edward	124	Show Clients	Show Orders On Behalf	Show Orders	Show Asset Transfer
Garcia, Mr Jason	64	Show Clients	Show Orders On Behalf	Show Orders	Show Asset Transfer

CHECK TRADES COMPLETE SUCCESSFULLY IN "MY ORDERS"
 THIS SHOWS TRADES "IN PROGRESS", "COMPLETED" & "NOT SUBMITTED"
 ANY TRADES IN "NOT SUBMITTED" SHOULD BE REVIEWED IMMEDIATELY

PORTFOLIO POSITIONS

Quantity	SEDOL	Description	Fact Sheet	Unit Price	Original Price	Local Market Value	Market Value	Accrued Interest	Gains or Losses	
Mutual Funds - £										
26282.343	BJBPWT9	7IM AAP MODERATELY CAUTIOUS S ACC		£1.1311	£29,235.07	£29,727.96	£29,727.96	£0.00	£492.89	<input type="button" value="Buy"/> <input type="button" value="Sell"/>
						29,727.96	29,727.96		492.89	

POSITIONS

Please select the client you wish to create a download for. You will then be presented with the accounts that belong to that client together with the portfolios in each account. Select the portfolio(s) you wish to use in the download and supply the date(s) you want to use and click the Generate button below.

Client Search

Select Account and Portfolios

Mr Morgan Dixon

Mr Morgan Dixon (JOF63H6X) Wealth Manager Offshore Account Individual Investment Account (offshore)

Dealing Portfolio (offshore) (JOF63H6X D)

Earnings Portfolio (offshore) (JOF63H6X E)

Dealing Portfolio 2 (offshore) (JOF63H6X J)

Date

Report Format



To download go to:
 Reports > Client Admin >
 Positions and choose
 options.

POSITIONS = VALUATION
 CLICK ON FUND NAME (7IM FUNDS ONLY) TO SEE LATEST 'LOOK THROUGH'
 FUND FACTSHEETS AVAILABLE

ACCOUNT LINKED TO DFM MODEL

Summary	Assets in Transfer	Charts	Morningstar X-Ray™	Initial Payments			
Account					Value (€)		
Wealth Manager Account Individual Investment Account					32,307.43		
Portfolio					Cash Balance (€)		
Portfolio Reference					Valuation Date		
Current Value (€)							
Dealing Portfolio (IMF D)	Linked to 7IM Discretionary Model Portfolio - Adventurous (Adventurous)			IMF D	07/10/2015	2,278.34	32,307.43
Earnings Portfolio (IMF E)				IMF E	08/10/2015	0.00	0.00
Dealing Portfolio 2 (IMF J)				IMF J	08/10/2015	0.00	0.00
Wealth Manager Account ISA					8,186.27		
Portfolio					Cash Balance (€)		
Portfolio Reference					Valuation Date	Current Value (€)	
ISA Dealing Portfolio (IMF SHD)	Linked to 7IM Discretionary Model Portfolio - Adventurous (Adventurous)			IMF SHD	07/10/2015	569.70	8,186.27
Wealth Manager Account SIPP					122,532.07		
Portfolio					Cash Balance (€)		
Portfolio Reference					Valuation Date	Current Value (€)	
Dealing Portfolio (IMF D)	Linked to 7IM Discretionary Model Portfolio - Adventurous (Adventurous)			IMF D	07/10/2015	2,091.07	107,910.74
Dealing Portfolio 2 (IMF J)				IMF J	07/10/2015	51.27	14,621.33

PORTFOLIO IS 'FLAGGED' AS BEING LINKED TO A DFM AND THE NAME OF THE MODEL THAT THE PORTFOLIO IS LINKED TO APPEARS.

DFM MODEL PORTFOLIO GROUPS

MANAGE PORTFOLIO GROUPS

You may either create a new portfolio group or select an existing one from the list below.

Select group: DFM Group 7IM Discretionary Model P... Delete Export to Excel

New Portfolio Group

⚠ This portfolio group is linked to 7IM Discretionary Model Portfolio - Balanced(Balanced) Unlink

Available Portfolios
select all | unselect all

- Abbott, Mr Ewan
- Ahmed, Mrs Maddison
- Ali, Mrs Harriet
- Allan, Mrs Lucy
- Allen, Mr Joshua
- Anderson, Mr Michael
- Armstrong, Mr James
- Armstrong, Mrs Alicia
- Armstrong, Mrs Mollie
- Banks, Mrs Kate
- Barnes, Mrs Lily
- Barnett, Mr Ryan
- Barry, Mrs Chloe
- Bell, Mr Hayden
- Blackburn, Mrs Madison
- Bolton, Mr Josh
- Bolton, Mr Mohammed
- Booth, Mrs Megan

Remove

Selected Portfolios
select all | unselect all

- Oliver, Mr Kyle
- Rowe, Mrs Leah

Go to:

Tools >
Portfolio
Groups

CLIENT ACCOUNTS ARE AUTOMATICALLY ENTERED INTO A DFM MODEL GROUP AND CAN ALSO BE REMOVED BY CLICKING THE “REMOVE” BUTTON WHEN THE CLIENT CHECKBOX IS SELECTED.

DE-LINKING FROM DFM MODEL

Please remember that when closing an account, you need to delink that account from the DFM model so that you can liquidate the assets ready for closure. Go to:

Reports > Portfolio Groups
> Select the DFM model

Don't forget to click Save otherwise your delinking won't take effect.



Available Portfolios
select all | unselect all

- Andrewartha, Mr Robert
- Andrewartha, Mrs Elaine
- Anthony, Mr Roy
- Ashman, Mr Peter
- Ashman, Mrs Margaret
- Bailey, Mr Colin
- Bailey, Mrs Bridget
- Balkwill, Mr Richard
- Bannell, Mrs Linda
- Bardsley, Mr John
- Bareham, Mr Adam
- Barr, Mr Norman
- Barr, Mrs Jean
- Bartlett, Mrs Julie
- Bateman, Mr Geoffrey
- Batting, Mrs Rosemary
- Beckwith-Smith, Miss Anne
- Bennett, Mr Michael

Selected Portfolios
select all | unselect all

- Banfield, Mr Lewis
- Burnett, Mr Leslie
- Chow, Mr Chuan
- Chow, Mrs Mary
- Coombs, Mr Richard
- Cowen, Mr Stuart
- Curgenven, Mr Christopher
- Ellis, Dr Michael
- Greaves, Mr Mark
- Gripper, Mrs Susan
- Huddart, Mrs Evelyn
- Jordan, Mr Robert
- ISA (IMF0TNZXSHD)
- Jordan, Mrs Sue
- Kirk, Mr David
- Marriott, Mr Tom
- Ritchie, Mrs Penelope
- Roberts, Mr Jonathan

3

Save Cancel

IF YOU NEED TO RE-LINK A PORTFOLIO TO A DFM MODEL AFTER IT HAS BEEN DE-LINKED, THIS IS DONE BY REBALANCING THAT PORTFOLIO TO THE DFM MODEL AS IF IT WAS A NEW CLIENT. **DO NOT CLICK ORANGE UNLINK BUTTON.**

REGULAR INVESTMENTS

- Client sets standing order up with their bank to ensure monies are in their 7IM account no later than the 5th of the month. This will ensure there is enough time each month for the cash to be available when we go to trade on the 10th of the month (or the next working day if 10th falls on a non-working day)
- Complete Regular Investment Instruction Form (no client signature required)
- Investment dates – only 10th of month is available
- Min **£200pm** (or **£500pm** if advisory model portfolio) min **£30 per fund**).
 - Regulars into adviser models will need updating by you if model changes

7IM WILL INVEST INTO CHOSEN FUNDS USING ANY AVAILABLE CASH IN THE CLIENT'S ACCOUNT. IT IS YOUR RESPONSIBILITY TO ENSURE CASH IS THERE.

CASH MANAGEMENT

Standard 2% Cash Buffer should cover one year's worth of:

- Adviser Ongoing Fees
- 7IM Platform Fees
- Third Party DFM Fees

Make additional cash available over and above 2% Cash Buffer to cover:

- Adviser Initial Fees
- Regular Withdrawals / Income (earnings portfolio?)

Reports > Cash Buffers > All Cash Buffer report to see cash balances

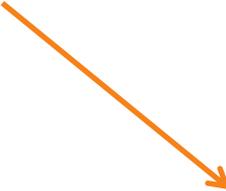
Reports > Practice Admin > Regular Payments report to see clients with regular withdrawals set up and cash balances of those accounts.

IT IS YOUR RESPONSIBILITY TO ENSURE SUFFICIENT CASH BALANCE IS MAINTAINED IN A CLIENT'S PORTFOLIO

WITHDRAWALS & CASH MOVEMENTS

Payments Out

- Can be made using **cleared cash only**
- **CHAPS**
 - All adhoc withdrawals submitted on Platform go via CHAPS
 - Money is in the client's account on the same day (midday cut off), otherwise next day.
- Use **Transactions > Cash Movements > Cash Withdrawal** to instruct



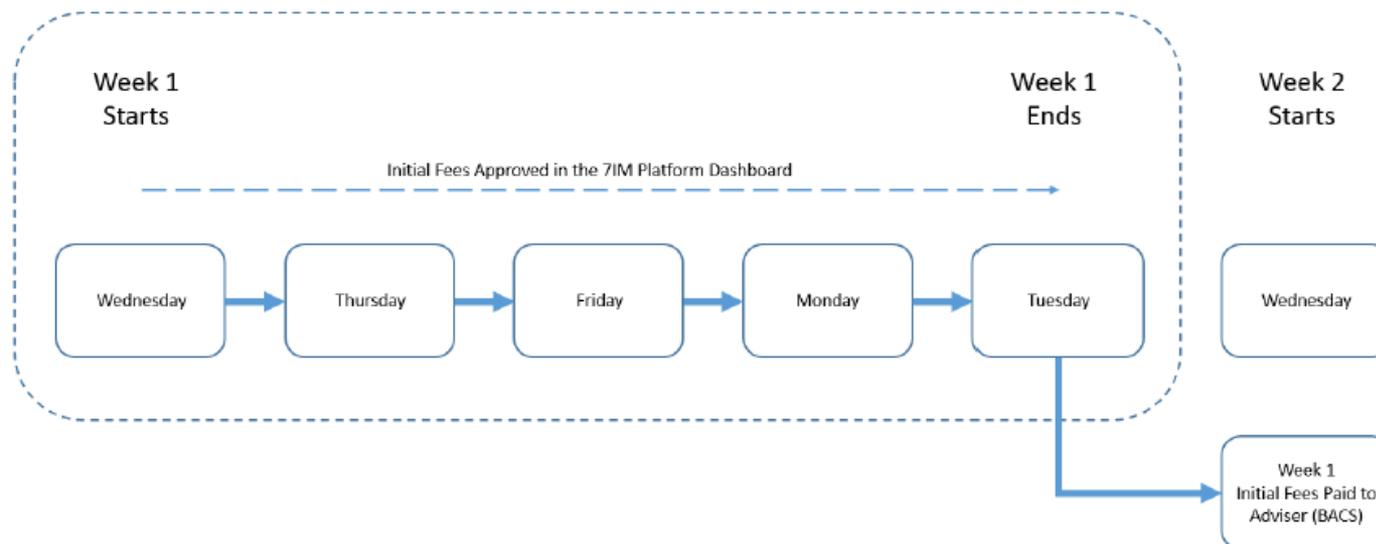
Valuation as at the close of business (£):		30/10/2015
Total Value of Asset(s):		140,539.43 >
Opening Cash Balance:		1,317.12 >
Unrealised Gains and Losses:		2,397.87 >
Sales Pending Settlement:		0.00 >
Purchases Pending Settlement:		0.00 >
Sales in Progress:		0.00 >
Purchases in Progress:		0.00 >
Target Cash Buffer:		709.29 >
Trade Dated Cash Available To Invest:		607.83 >
Cash Available to Withdraw:		607.83 >
Total Accrued Interest:		0.00 >
Total Portfolio Value:		141,856.55 >

- **Cash Movements Between Accounts / Sub-Accounts**

- **Transactions > Cash Movements > Cash Movement** to instruct
- Moved monies will show in the new account the following day (if instruction received before 2.30pm)

THE CASH BUFFER SHOWN ON SCREEN IS A **TARGET** AMOUNT ONLY (NOT HOW MUCH IS ACTUALLY HELD IN CASH) AND WILL NOT PREVENT YOU MOVING OR WITHDRAWING ALL THE CASH

INITIAL FEES – PAID WEEKLY



- Initial fees can be fixed one-off £ amounts or % rates applied to any new cash/assets (GBP only)
- % fee rate applies to value of cheque/deposit/re-reg asset.
- As new ISA money goes into GIA first, the GIA needs to have an initial fee rate set up. ISA initial fee rate only applies to ISA transfers.

ALL INITIAL FEES NEED TO BE APPROVED ONLINE BEFORE THEY CAN BE PAID.

SEE NEXT PAGE FOR DETAILS. INITIAL FEE RATE REPORT AVAILABLE ONLINE.
ABOVE PROCESS ALSO APPLIES TO AD-HOC FEES.

INITIAL FEES DASHBOARD

INITIAL FEES

From To ?

Awaiting Approval | In Progress | Completed | Cancelled

bold denotes editable cells colour denotes modified cells Cancel Approve 0 of 10 items selected

[Export to Excel](#)

WM	Client Name	Account Type	Portfolio	Date	Description	Transaction Value	Initial Rate	Fee Amount	Fee Source Portfolio	Source Cash	<input type="checkbox"/>
											<input type="checkbox"/>
Crowe, Mrs Rosanne	Webster, Mrs Linda	GIA	IMW34QFX D	30/04/2018	KAMES CAPITAL PLC INVESTMENT GRADE BOND B ACC	£2,754.03	1.00 %	£27.54	IMW34QF...	£2,252.13	<input checked="" type="checkbox"/>
Crowe, Mrs Rosanne	Webster, Mrs Linda	GIA	IMW34QFX D	30/04/2018	BNY MELLON FD MNGR INSIGHT GBL ABS RTN INSTL W	£6,205.17	1.00 %	£62.05	IMW34QFX D IMW34QFXSHD	£2,252.13	<input type="checkbox"/>
Crowe, Mrs Rosanne	Webster, Mrs Linda	GIA	IMW34QFX D	30/04/2018	BNY MELLON FD MNGR INSIGHT GBL MULTI STRT W	£10,600.13	1.00 %	£106.00	IMW34QFX D	£2,252.13	<input type="checkbox"/>
Crowe, Mrs Rosanne	Webster, Mrs Linda	GIA	IMW34QFX D	30/04/2018	LEGAL & GENERAL UT ALL STOCKS IDX LKD GILT IDX	£4,068.17	1.00 %	£40.68	IMW34QFX D	£2,252.13	<input type="checkbox"/>
Markham, Mrs Amanda	Smith, Mrs Sarah	GIA	IMW000ZX D	01/05/2018	CASH	£20,000.00	1.00 %	£200.00	IMW000ZXSHD	£17,789.91	<input type="checkbox"/>

- Fee % or £ can be amended (downwards only) prior to approval.
- Which account the fee is taken from (*Fee Source Portfolio*) can be changed.
- *Source Cash* lets you know if there is enough cash to pay the fee.
- Unwanted fees can be cancelled. Wanted fees need to be approved.
- Approved fees will be deducted from client's 7IM account on day of approval (if before 5pm)

PRACTICE > INITIAL FEES > AWAITING APPROVAL

ALL INITIAL FEES NEED TO BE APPROVED ONLINE BEFORE THEY CAN BE PAID.

WEEKLY CUT-OFF IS 5PM ON TUESDAY FOR WEDNESDAY BACS PAYMENT.

ONGOING FEES – PAID MONTHLY

In client's account:

Summary	Assets in Transfer	Positions	Transactions	Orders in Progress	Orders Complete	Charts
Start Date	02/08/2015	End Date	02/11/2015	View		
Trade Date	Settlement Date	Activity	Quantity	Security Narrative Description	Unit Cost (£)	Amount (£)
		Fees				
19/10/2015	19/10/2015	Fees		CASH (GBP) Adviser Ongoing Payment Sep 15 IMF4 D		-119.61
19/10/2015	19/10/2015	Fees		CASH (GBP) DFM Fee Sep 15 for IMF4 D		-4.25
19/10/2015	19/10/2015	Fees		CASH (GBP) 7IM Fees Sep 15 for IMF4 D		-61.67

USE ACTIVITY FILTER AND DATE RANGE TO VIEW FEES OVER A CHOSEN PERIOD.
ANY INCREASE IN FEES NEEDS A SIGNED AUTHORITY FROM THE CLIENT

ONGOING FEES – HOW TO MONITOR

Firm's Ongoing Payment statement:

The screenshot shows a software interface with a top navigation bar containing 'Practice', 'Clients', 'Tools', 'Transactions', 'Reports', and 'Research'. A dropdown menu is open under 'Reports', showing 'Statements' as the selected item. Below this, a submenu for 'Practice Administration' is visible, with 'Fees' highlighted. The main area displays a table of statements with columns for Statement Type, Recipient, Owner, Period, Created, Comments, 7IM Statement, and Back Office Upload File. The first row is highlighted in green.

Statement Type	Recipient	Owner	Period	Created	Comments	7IM Statement	Back Office Upload File
Ongoing Payment	Wealth Manager Practice	Bureau of Ellingson	September 2015	21/10/2015			
Ongoing Payment	Wealth Manager Practice	Bureau of Ellingson	August 2015	17/09/2015			
Initial Payment	Wealth Manager Practice	Bureau of Ellingson	August 2015	11/09/2015			
Ongoing Payment	Wealth Manager Practice	Bureau of Ellingson	July 2015	26/08/2015	Statement adjusted		
Initial Payment	Wealth Manager Practice	Bureau of Ellingson	July 2015	14/08/2015			
Ongoing Payment	Wealth Manager Practice	Bureau of Ellingson	June 2015	22/07/2015			
Ongoing Payment	Wealth Manager Practice	Bureau of Ellingson	May 2015	22/06/2015			
Initial Payment	Wealth Manager Practice	Bureau of Ellingson	May 2015	15/06/2015			
Ongoing Payment	Wealth Manager Practice	Bureau of Ellingson	April 2015	21/05/2015			
Ongoing Payment	Wealth Manager Practice	Bureau of Ellingson	March 2015	21/04/2015			

Back Office Upload Files are only available for Ongoing Payment and Initial Payment statement types. These files are automatically generated and will not fully represent the corresponding statement file where modifications have been made.

Also use the Fees reports to see what fee rate an account is set up on

THERE NEEDS TO BE SUFFICIENT CASH FOR FEES TO BE PAID OTHERWISE THEY WILL CARRY OVER TO THE NEXT MONTH.
FEES DEDUCTED & PAID MONTHLY IN ARREARS AROUND 25TH OF EACH MONTH.

REPORTS AVAILABLE ONLINE

- Cash holdings (£ and %)
- Fund holdings (aggregated by fund or clients in a fund)
- New inflows (includes cash and in-specie transfers)
- Regular withdrawals (fixed £ and natural income sweeps)
- Account values (inc historical values)
- Fee rates by account (inc family group linking and DFM model links)
- Individual client valuations and transactions
- Client statements (see page 36 of this guide)
- Adviser Fee statements (initial and ongoing fees)

YOU CAN ALSO EXPORT LISTS OF TRADES PLACED, REGULAR INVESTMENTS SET UP, YOUR CLIENT LIST, PORTFOLIO GROUPS, MODEL PORTFOLIOS.

MIFID MI REPORTS

There are 4 reports available on platform to help you manage your clients' accounts relating to MIFID:

Report	Content
Complex Securities	The report displays ALL complex securities available on the 7IM Platform not just those held by clients of a specific practice.
MIFID Restricted Accounts	The report displays any client accounts that have been marked as MIFID restricted by 7IM. Typically this is due to insufficient information about the client (eg NINO, LEI, etc).
DFM Rebalance Exclusions	The report displays portfolios that 7IM have delinked from a DFM model as a result of a DFM rebalance, and when the rebalance/delink occurred.
Client Holdings By Security	The report displays a Complex Security and MIFID Reportable column. You can identify all MIFID reportable securities held by their clients by selecting the <u>All Securities Held</u> option when running the report.

REPORTS > MIFID REPORTS

REPORTS > PRACTICE ADMIN > CLIENT HOLDINGS BY SECURITY

MIFID 10% DROP NOTIFICATION

- 7IM will inform you by email if any of the following fall by 10% or more during a quarterly reporting period*:
 - Accounts you manage on a discretionary basis
 - Accounts invested in 7IM models
 - Accounts invested in third party DFM models
- **It is your responsibility to communicate this to your clients.**
- This will be calculated at account/tax wrapper level (eg GIA, ISA, SIPP) not dealing portfolio/sub account level (eg D, J, K)
- Will include accounts where any dealing portfolio is discretionary
- *Reporting periods are:

01/01 – 05/04

06/04 – 30/06

01/07 – 30/09

01/10 – 31/12

WHERE YOU HAVE CLIENTS IN THE 7IM DISCRETIONARY MANAGED SERVICE OR MIS WE WILL BE CONTACTING YOUR CLIENTS DIRECTLY BY EMAIL OR LETTER TO NOTIFY THEM OF THE 10% DROP.

CONTRACT NOTES

Contract Note 

Mr Marcos Larsen
2618 Breezeewood Court
Moundridge
KB
67107

Portfolio Number: IFANO-TR
SEDOL: IMF0680XSHD
B2PB2M7
IDIN: GB00B2PB2M73
Bargain Reference: IMDYR629
Order Type: Market

Mr Marcos Larsen
IDA Dealing Portfolio

We have bought on your behalf in our capacity as Agent

Company: Foltz & Co
Stock: 7IM AAP MODER ADVNTRS C ACC

Bargain Date	Settlement Date	Time	Quantity	Price	Consideration
24 Apr 2012	30 Apr 2012	10:05:47	32,801.751	£1.07910002	£35,396.37
Commission*					£0.00
Total Charges					£0.00
Total					£35,396.37

We advise you to retain this contract note for Capital Gains and VAT purposes. * indicates items outside the scope of VAT. EAOE.

Cleared by: Penning Securities Limited Capstan House, One Clove Crescent, East India Dock, London, E114 2BH, Member of the London Stock Exchange, Authorized and Regulated by the Financial Services Authority. Registered in England No 2474912 Seven Investment Management Limited is authorized and regulated by the Financial Services Authority. No 417350. Member of the London Stock Exchange. Registered Office: 125 Old Broad Street, London EC2N 1AR. Telephone: 0207 790 9777. Registered in England and Wales number 403291.

Address 1
Address 2
Address 3
Address 4
Postcode

Seven Investment Management
55 Bishopsgate
London
EC2N 3AS

7IM portfolio number:

Dear 7IM

I do not wish to receive from you any contract notes for trades placed in my 7IM account. Please do not send further contract notes with immediate effect.

I am aware that I can download these at any time by logging into my account on your website.

My email address for your records is _____

Yours sincerely

Mr X

A PAPER AND ONLINE CONTRACT NOTE IS GENERATED FOR EACH TRADE

PAPER CONTRACT NOTES CAN BE TURNED OFF WITH A SIGNED CLIENT AUTHORIZATION LETTER

ELECTRONIC VS PAPER STATEMENTS

- Default is for clients NOT to receive paper statements, as long as we have their email address.
- Email address should be input as part of the application process.
- Clients will get email notification that their report is available online via 7IM website. They should then login and download it.
- Copies of all statements are available on the 7IM platform: Reports > Client Valuation Reports > Report Pack Monitor.

REPORTS WILL BE SENT QUARTERLY FROM 1ST JANUARY 2018 – MIFID2 REQUIREMENT.
CALENDAR QUARTERS: 01/01 – 05/04; 06/04 – 30/06; 01/07 – 30/09; 01/10 – 31/12.

Client Reporting- Statements

YOUR PORTFOLIO VALUATION

MRS ROSA MUNOZ

Report from 6th April 2014 to 30th September 2014

SEVEN
Investment Management

Client details

Name: Mrs Rosa Munoz
Address: 1578 White River Way
Salt Lake City
UT
84116
Inception Date: 22/03/2006
Financial Adviser: Virginia Olivier

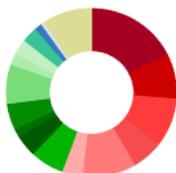
Investment summary

	Since Inception	Report Period
Opening Value	0.00	145,303.09
Cash Introduced	119,263.45	0.00
Assets Introduced	103,128.60	0.00
Cash Withdrawn	(103,892.07)	(702.00)
Assets Withdrawn	0.00	0.00
Other Cash Movements	(4,527.60)	(510.77)
Investment Gain/(Loss)	33,436.28	3,318.33
Portfolio Value at 30/09/2014	£ 147,408.86	£ 147,408.86

Accounts included in this report valued as at 30/09/2014

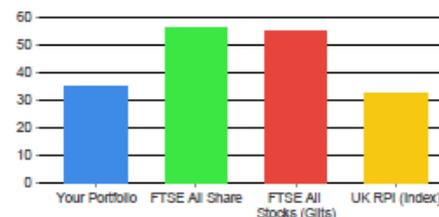
Client	Portfolio	Value	% of Total Value
Mrs Rosa Munoz	Wealth Manager ISA Account - IMC001CXSH	146,571.87	99.43
	Wealth Manager Individual Account - IMC001CX	836.78	0.57
	Subtotal	£ 147,408.86	

Asset allocation

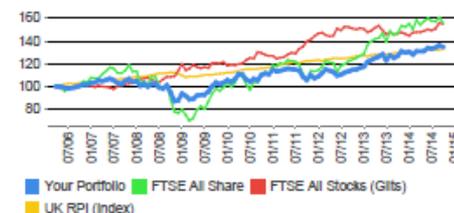


Equities	£	%	Fixed interest	£	%	Other asset classes	£	%
UK Equity	26,113	17.7	Global High Yield	9,528	6.5	Private Equity	4,449	3.0
US Equity	12,051	8.8	Global Corporate Bonds	3,501	2.4	Real Estate	2,056	1.4
European Equity	13,954	9.5	Corporate Bonds	2,558	1.7	Hedge Fund/Other Strategies	192	0.1
Japan Equity	8,581	5.8	Gilt	2,501	1.7	Currency Funds	744	0.5
Far East Equity	15,011	10.2	Sterling Corporate Bonds	7,417	5.0			
Emerging Markets Equity	5,887	3.9	Emerging Market Bonds	11,162	7.6			
	82,037	55.7	Index Linked	3,145	2.1			
			Convertible Bonds	4,442	3.0			
			Cash & Money Market	13,680	9.3			
				44,254	30.0			

How your investments compare



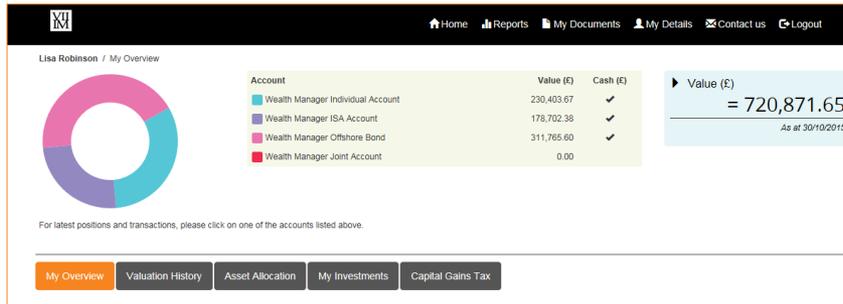
Cumulative return - long term performance



CUSTOMISED AND MANAGED BY YOU ON THE PLATFORM (INC PAPER OR ELECTRONIC).
OPTIONAL EXTRA RISK ANALYSIS, ACCOUNT LEVEL DETAIL AND BENCHMARKS.
REPORTS AVAILABLE [ONLINE](#) FOR CLIENT TO DOWNLOAD. EMAIL NOTIFICATION SENT.

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Investment Management

CLIENT REPORTING – WEBSITE

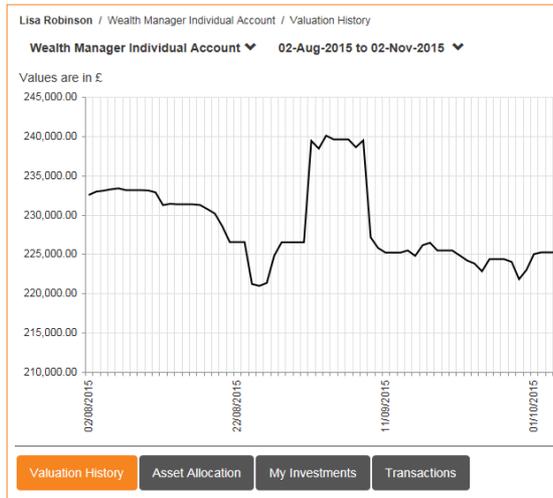


Lisa Robinson / Wealth Manager Individual Account / My Investments

Wealth Manager Individual Account Generate Report

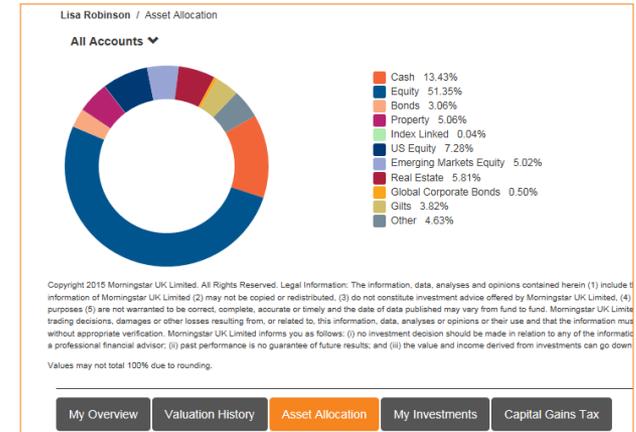
Dealing Portfolio - IMF4JTEX D £226,604.31

Quantity	Description	Unit Price (£)	Original Price (£)	Market Value (£)	Estimated Income (£) ¹	Gains or Losses (£)
Equities - USD						
731	ISHARES VI PLC MSCI EMG MKTS MINIMUM VOLATILITY ETF USD	15.7473	13,248.90	11,511.30	0.00	-1,737.60
Mutual Funds - GBP						
3553.97	FIL INVESTMENT SERVICES(UK) LIMITED CASH ACC	1.8639	2,790.59	6,624.24	0.00	3,833.66
5060.249	FIRST STATE INVESTMENTS(UK) GLOBAL LISTED INFRASTRUCTURE B GBP ACC	1.8439	9,772.14	9,330.59	284.42	-441.55



Details (£)

+	Cash in: 433,387.43	Assets in: 303,694.91
-	Cash out: 3,689.10	Assets out: 0.00
Other Cash Movements:		-2,095.26
Investment gain/loss:		-10,426.33
		= 720,871.65
		As at 30/10/2015



CLIENTS HAVE A “VIEW ONLY” WEBSITE ACCESSED [HERE](#).
CAN DOWNLOAD THEIR QUARTERLY VALUATION FROM “MY DOCUMENTS”
THEY CAN ALSO DOWNLOAD TRANSACTIONS, CGT, & CONTRACT NOTES

Client Reporting – 7IMAGINE APP



FREE 7IMAGINE APP ON MOST APPLE & ANDROID TABLETS & PHONES
USE EXISTING PLATFORM LOGIN DETAILS
CLIENTS NEED TO LOG IN TO WEBSITE FIRST TO CREATE THEIR PIN

3RD PARTY SOFTWARE INTEGRATION

- 'Integration' includes:
 - Bulk valuations
 - Transactions
 - Fee reconciliation
- Check link below for list of software providers and who does what
- To use any integration service you will need an extra:
 - 7IM Data Services username*
 - 7IM Data Services password*
 - Request both from 7IM (no form required)
- www.7im.co.uk/intermediaries/integration-services

FOR MORE INFORMATION GO TO:

WWW.7IM.CO.UK/INTERMEDIARIES/INTEGRATION-SERVICES

* THIS IS NOT THE SAME AS YOUR NORMAL 7IM LOGIN – A NEW ONE IS REQUIRED.

7IM OFFSHORE FUNDS

7IM Fund Name	SEDOL		AMC	OCF
	Inc	Acc		
7IM AAP Moderately Cautious (Dublin) Fund S	BYZVYL4	BYZVYN6	0.25%	0.62%
7IM AAP Balanced (Dublin) Fund S	BYZVY47	BYZVYB4	0.25%	0.48%
7IM AAP Moderately Adventurous (Dublin) Fund S	BYZWJP6	BYZWJQ7	0.25%	0.49%

7IM Moderately Cautious (Dublin) Fund S	BYY8DY2	BYY8DZ3	0.65%	1.17%
7IM Balanced (Dublin) Fund S	BYY8F24	BYY8F35	0.65%	1.18%
7IM Moderately Adventurous (Dublin) Fund S	BYY8F02	BYY8F13	0.65%	1.29%

S CLASS FUNDS ARE AVAILABLE ON THE 7IM PLATFORM ONLY AND HAVE AN AMC 0.25% LOWER THAN C CLASS TO OFFSET 0.25% PLATFORM CHARGE.

7IM OFFSHORE MODELS

7IM Offshore Models (non UK Situs holdings)		
£	€	\$
Income	-	-
Cautious	-	-
Moderately Cautious	Moderately Cautious	Moderately Cautious
Balanced	Balanced	Balanced
Moderately Adventurous	Moderately Adventurous	Moderately Adventurous
Adventurous	Adventurous	Adventurous

MODEL FEE IS 0.25% + VAT (IF APPLICABLE)

Third Party DFMs

- 7IM
- Affinity Private Wealth
- Ashburton
- Bridport & Co Jersey
- Brooks Macdonald International
- Canaccord
- EFG Asset Management UK Ltd
- EQ Investors
- Harver Capital
- Invesco Asset Management
- James Hambros
- LGT Vestra Jersey
- Ravenscroft
- Rowan Dartington
- Smith & Williamson International
- Sparrows Capital
- Tilney Asset Management Ltd
- Waverton

THESE DFMS HAVE AGREEMENTS IN PLACE TO PROVIDE MODEL PORTFOLIO SERVICES ON PLATFORM
OTHER PROVIDERS CAN BE ADDED ON A REQUEST BASIS