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# THE 7IM PLATFORM

# DFM USER GUIDE

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## DFM Model Portfolio Service (MPS)

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

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JUNE 2019

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# DFM MODEL PORTFOLIOS

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## DFM Side

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JANUARY 2018

# DFM Terms of Business

TIM PLATFORM // MARCH 2016

## TERMS OF BUSINESS FOR DISCRETIONARY MANAGERS

**SEVEN**  
Investment Management

IN RELATION TO THE TIM PLATFORM

1. PARTIES

These Terms of Business are made between:

(1) SEVEN INVESTMENT MANAGEMENT LLP (partnership registered number OC376746) of 55 Bishopsgate, London EC2N 3AG (7IM); and

(2) the DISCRETIONARY MANAGER.

2. BACKGROUND

7IM is the provider of an investment platform which enables financial advisers, on behalf of their clients, to purchase, hold and sell investments. 7IM is authorised by the UK Financial Conduct Authority to conduct certain investment business, which includes dealing in investments as agent and arranging safeguarding and administration of assets.

The Discretionary Manager provides discretionary investment management services. The Discretionary Manager is authorised by the UK Financial Conduct Authority to conduct certain investment business, which includes managing investments.

The Discretionary Manager wishes to be granted access to 7IM's investment platform for the purpose of enabling certain discretionary investment management services available for client portfolios on the platform. These Terms of Business govern the relationship between 7IM and the Discretionary Manager, and set out the terms and conditions on which the Discretionary Manager will be given rights to access and use 7IM's investment platform and provide to discretionary investment management service(s) via 7IM's investment platform.

3. DEFINITIONS AND INTERPRETATION

3.1. In these Terms of Business:

'7IM Platform' means the online investment platform provided by 7IM, which may be accessed at <https://platform.7im.co.uk/> or such other website as is notified by 7IM from time to time;

'7IM Platform Adviser Terms of Business' means 7IM's terms of business for intermediaries in relation to the 7IM Platform, which intermediaries must enter into with 7IM prior to 7IM accepting business from the intermediary and under which 7IM grants the intermediary rights to access and use the 7IM Platform;

'7IM Platform Client Terms and Conditions' means 7IM's terms and conditions for clients in relation to the 7IM Platform, which clients must enter into with 7IM prior to 7IM opening an account for the client on the 7IM Platform;

'Adviser' means a financial adviser firm or sole trader, acting as intermediary and which is authorised by the FCA (or an appointed representative of an authorised person), and with whom 7IM has entered into 7IM Platform Adviser Terms of Business;

'Applicable Law' means all applicable statutes, statutory instruments, regulations and other legislative provisions, regulatory rules and guidelines, and regulatory permits and licences which are in force from time to time (including FSMA and regulations made under FSMA, FCA Rules, and the Data Protection Act 1998) and the directions or requests of any regulatory authority or body to which a party is subject from time to time, including the FCA;

TIM PLATFORM // MARCH 2016

### APPLICATION FORM

PLEASE READ THE ABOVE TERMS OF BUSINESS AND RETAIN A COPY FOR YOUR REFERENCE

Please provide bank account details for receipt of DFM Fee payments:

Bank name:

Account name:

Sort code:

Account number:

Please confirm the following in relation to VAT on DFM Fees by ticking yes box below: (If no receives no instruction from you, we will not apply VAT to DFM Fees)

You confirm that DFM Fees are subject to VAT ☐

You confirm that DFM Fees are exempt from VAT ☐

Please provide contact details for receipt of payment statements:

Name:

Email address:

YOU CONFIRM YOUR AGREEMENT TO THESE TERMS OF BUSINESS.

SIGNED FOR AND ON BEHALF OF:

*Print the full name of your legal entity (e.g. partnership, company)*

*Print the FCA register number or the advice number solely*

BY:

*Signature of authorised signatory*

*Print name of authorised signatory*

*Date signed*

Seven Investment Management LLP is authorised and regulated by the Financial Conduct Authority. Member of the London Stock Exchange. Registered office: 55 Bishopsgate, London EC2N 3AG. Registered in England and Wales number OC376746.

## DFM USER SET UP (PLATFORM)

**SEVEN**  
Investment Management

PLEASE PRINT CLEARLY IN BLOCK CAPITALS IN ALL SECTIONS

Tick as appropriate:

☐ New Institution

☐ Renewed/Existing

DFM:

Regulatory Reference Number:

The following personnel from this DFM should be granted access to the 7IM Platform and are authorised on behalf of this DFM to provide Seven Investment Management with instructions in accordance with the permissions highlighted below:

USER ONE

Title Mr/Ms/Mrs/Mr/Ms/Ms

First Name(s)

Surname

Email

☐ Grant Access

☐ Disable Please Remove Access

USER FOUR

Title Mr/Ms/Mrs/Mr/Ms/Ms

First Name(s)

Surname

Email

☐ Grant Access

☐ Disable Please Remove Access

If you have more than four users please use a copy sheet

The signature of the DFM is required for the completion of this form

Discretionary Manager Signature:

Date:

This box must be complete

Company Stamp:

Seven Investment Management LLP is authorised and regulated by the Financial Conduct Authority. Member of the London Stock Exchange. Registered office: 55 Bishopsgate, London, EC2N 3AG. Registered in England and Wales No. OC376746.

DFM AGREEMENT WITH 7IM AND PLATFORM USER SET UP (MINIMUM OF 2 USERS)  
SEND BACK ORIGINAL SIGNED COPIES TO 7IM

**SEVEN**  
Investment Management

# Authority to Link Models

**DFM MODEL PORTFOLIO  
LINKING REQUEST  
(PLATFORM)**

**SEVEN**  
Investment Management

PLEASE PRINT CLEARLY IN BLOCK CAPITALS IN ALL SECTIONS

**Section 01 DFM Details**

Name of DFM

Model Name

**Section 02 Financial Adviser Details**

Name of Financial Adviser

Model Name

**Section 03 Models to Link**

☐ Access to all Models

Fee for all Models (not including VAT)

Model Name

OR

Model Name

Model Name

Model Name


Seven Investment Management LLP is authorised and regulated by the Financial Conduct Authority and by the Jersey Financial Services Commission.  
Member of the London Stock Exchange. Registered office: 55 Bishopsgate, London EC2N 3MS. Registered in England and Wales number 06378743.

DFM SPECIFIES WHICH MODELS ARE AVAILABLE TO THE ADVISER FIRM AND WHAT  
THE FEE FOR EACH MODEL IS  
7IM NEED THIS FORM BACK – CAN BE SUBMITTED BY EMAIL

SIGNED BY CLIENT AND ADVISER TO APPOINT THE DFM AND AUTHORISE THE FEES  
NO CLIENT CAN BE LINKED TO DFM MODEL UNTIL 7IM HAVE THIS FORM

**SEVEN**   
Investment Management

# Linked Models & Adviser AUM

Practice ▾ Tools ▾ Reports ▾ Research ▾				
Model Portfolios				
MODEL PORTFOLIOS				
New Model				
DFM Portfolios Pending Authorisation Portfolios Existing Portfolios				
30/09/2013  View				
Model Portfolio Name	Status	Is Valid	Total AUM	Last Rebalanced Date
7IM Discretionary Model Portfolio - Adventurous (Adventurous)	Active	Valid	£29,863.36	
Practice				AUM
Atlas Technologica				£29,863.36
7IM Discretionary Model Portfolio - Balanced (Balanced)	Active	Valid	£703,343.92	15/07/2013 11:56
Practice				AUM
Go Nuclear				£143,820.26
Borgman Financial				£63,550.88
Atlas Technologica				£495,972.78
7IM Discretionary Model Portfolio - Moderately Adventurous (Moderately Adventurous)	Active	Valid	£0.00	
Practice				AUM
7IM Discretionary Model Portfolio - Moderately Cautious (Moderately Cautious)	Active	Valid	£27,538.10	
Practice				AUM
Borgman Financial				£27,538.10

SHOWS THE AUM PER MODEL FOR EACH ADVISER FIRM ON THE DATE SELECTED  
LAST REBALANCE DATE IS ALSO CONFIRMED IN THE FAR RIGHT COLUMN

# Creating a New Model

## MODEL PORTFOLIO

The screenshot shows a web form titled 'MODEL PORTFOLIO'. It has two main sections: 'Model Description' and 'Risk Profile', each with a text input field. Below these, there are fields for 'Created By' (Golding, Christopher) and 'Created' (18/10/2017 14:33:42). There are three checkboxes: 'For Offshore Custody', 'Is ISA Eligible', and 'Is Offshore Bond Eligible'. At the bottom, there are three 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

**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



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.

Import

Save Amendments

Cancel

Back to Previous Page

Add Securities

CLICK ADD SECURITIES BUTTON TO START ADDING FUNDS INTO THE MODEL



# Security Search

SECURITY SEARCH

SECURITIES

Search

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

81 - 90 of 131 items

SELECTED SECURITIES

BLACKROCK FUND MANAGERS LTD  
GLOBAL BOND D ACC

Finished

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

# Add Model Percentages

## 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

Equity 71.1%  
Cash 17.2%  
Bonds 11.55%  
Other 0.3%

\*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%

Add Securities

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

# Model Created & Authorised

## MODEL PORTFOLIOS

New Model			
DFM Portfolios	Pending Authorisation Portfolios	Existing Portfolios	
Model Description	Risk Profile	Status	Created
7IM Discretionary Model Portfolio - Adventurous	Adventurous	Active	18/09/2013 12:29:25
7IM Discretionary Model Portfolio - Balanced	Balanced	Active	15/07/2013 11:11:25
7IM Discretionary Model Portfolio - Moderately Adventurous	Moderately Adventurous	Under Review	15/07/2013 11:07:24
7IM Discretionary Model Portfolio - Moderately Cautious	Moderately Cautious	Active	15/07/2013 11:14:47
DFM Ltd (IM)	Cautious	New	30/09/2013 09:24:21
DFM Ltd Aggressive	Aggressive	New	30/09/2013 09:45:05
DFM Ltd Balanced	Balanced	New	30/09/2013 09:18:52
New Model	Demo	Active	20/09/2013 09:52:20

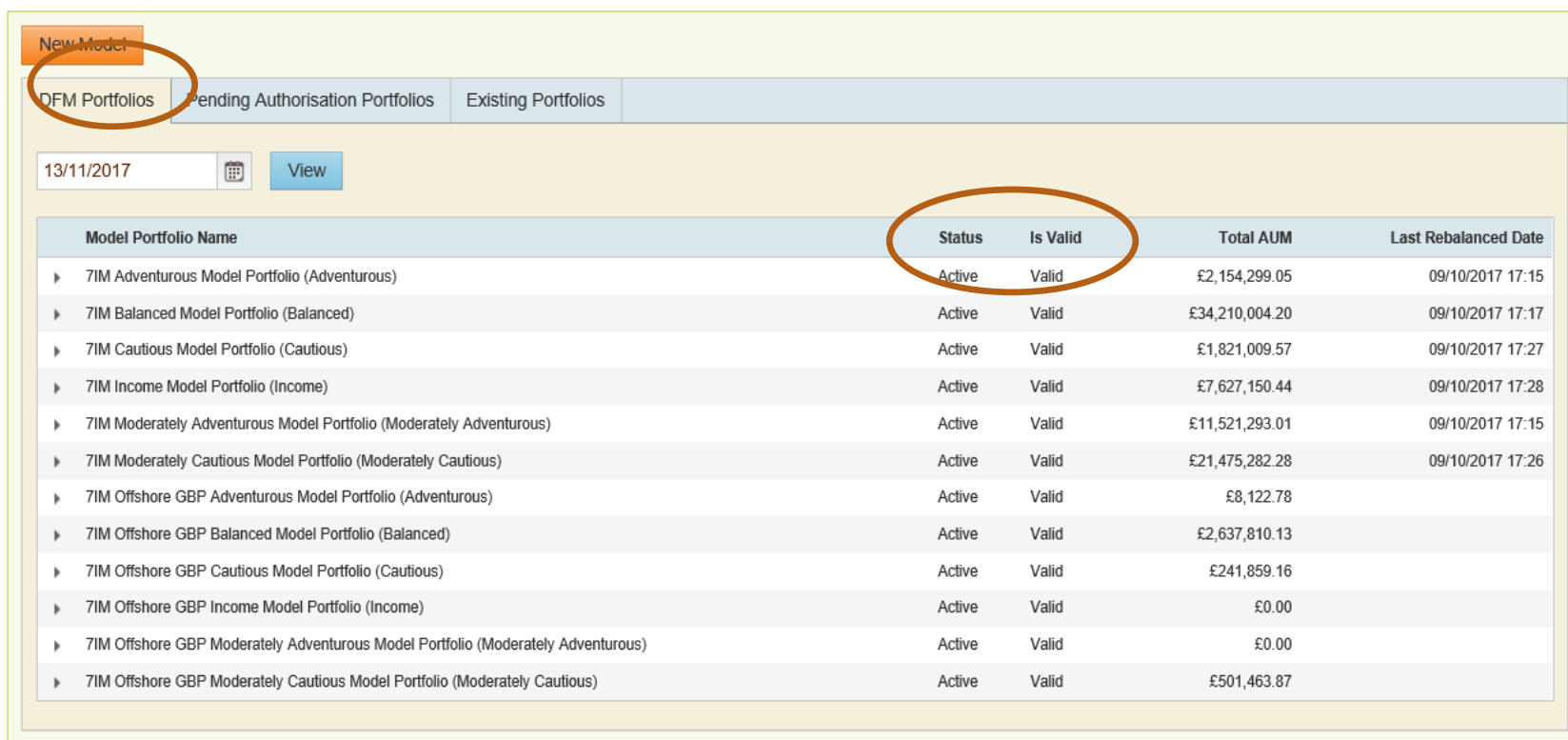
  

New Model			
DFM Portfolios	Pending Authorisation Portfolios	Existing Portfolios	
Model Description (Pending Authorisation)	Risk Profile	Status	Created
DFM Ltd (IM)	Cautious	New Pending Authorisation	30/09/2013 09:24:21
DFM Ltd Aggressive	Aggressive	New Pending Authorisation	30/09/2013 09:45:06
DFM Ltd Balanced	Balanced	New Pending Authorisation	30/09/2013 09:18:53

MODEL AUTHORISATION IS REQUIRED BY A DIFFERENT USER WHICH IS WHY THERE IS A MINIMUM SET UP REQUIREMENT OF TWO USERS.

# MODELS NOW ACTIVE

## MODEL PORTFOLIOS



New Model				
DFM Portfolios Pending Authorisation Portfolios Existing Portfolios				
13/11/2017 View				
Model Portfolio Name	Status	Is Valid	Total AUM	Last Rebalanced Date
▶ 7IM Adventurous Model Portfolio (Adventurous)	Active	Valid	£2,154,299.05	09/10/2017 17:15
▶ 7IM Balanced Model Portfolio (Balanced)	Active	Valid	£34,210,004.20	09/10/2017 17:17
▶ 7IM Cautious Model Portfolio (Cautious)	Active	Valid	£1,821,009.57	09/10/2017 17:27
▶ 7IM Income Model Portfolio (Income)	Active	Valid	£7,627,150.44	09/10/2017 17:28
▶ 7IM Moderately Adventurous Model Portfolio (Moderately Adventurous)	Active	Valid	£11,521,293.01	09/10/2017 17:15
▶ 7IM Moderately Cautious Model Portfolio (Moderately Cautious)	Active	Valid	£21,475,282.28	09/10/2017 17:26
▶ 7IM Offshore GBP Adventurous Model Portfolio (Adventurous)	Active	Valid	£8,122.78	
▶ 7IM Offshore GBP Balanced Model Portfolio (Balanced)	Active	Valid	£2,637,810.13	
▶ 7IM Offshore GBP Cautious Model Portfolio (Cautious)	Active	Valid	£241,859.16	
▶ 7IM Offshore GBP Income Model Portfolio (Income)	Active	Valid	£0.00	
▶ 7IM Offshore GBP Moderately Adventurous Model Portfolio (Moderately Adventurous)	Active	Valid	£0.00	
▶ 7IM Offshore GBP Moderately Cautious Model Portfolio (Moderately Cautious)	Active	Valid	£501,463.87	

ONCE AUTHORISED THE MODEL IS SHOWN AS ACTIVE UNDER THE **DFM PORTFOLIOS** TAB AS INDICATED ABOVE

# Amending Existing Models .....

**MODEL PORTFOLIOS**

New Model

DFM Portfolios Pending Authorisation Portfolios **Existing Portfolios**

Model Description Risk Profile Status Created For Offshore Custody

**SEVEN** Investment Management

Logged in as: Jones, Jamie Selected client: None Help Logout

Practice Tools Reports Research

**MODEL PORTFOLIO**

**ACTIVE**

**Model Description**  
71M Adventurous Model Portfolio

**Risk Profile**  
Adventurous

**Created By**  
Mr Jamie Jones

**Created**  
09/10/2017 16:24:07

☐ For Offshore Custody

☒ Is ISA Eligible

☒ Is Offshore Bond Eligible

**Asset Allocation Pie Chart:**

- Cash 7.15%
- Equity 76.94%
- Other 0.82%
- Bonds 5.5%
- Index Linked 0%
- Property 2.11%
- Commodities 6%
- Not Classified 1.5%

\*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.

Edit Model Clone Model Delete Model **Rebalance Portfolios** Export to Excel Back to Previous Page

SELECT EXISTING MODELS TAB > EDIT

# Amending Existing Models Continued.....

## MODEL PORTFOLIO

### ACTIVE

#### Model Description

7IM Moderately Adventurous Model Portfolio

#### Risk Profile

Moderately Adventurous

#### Created By

Mr Robert Deford

#### Created

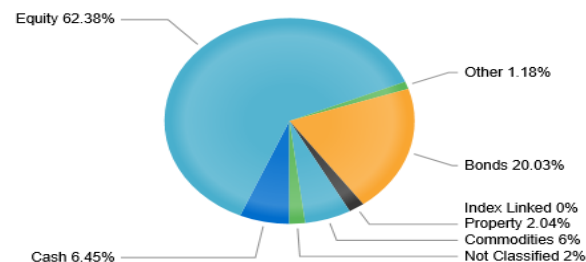
09/10/2017 16:23:10

☐ For Offshore Custody

☒ Is ISA Eligible

☒ Is Offshore Bond Eligible

■ Cash ■ Equity ■ Other ■ Bonds ■ Index Linked ■ Property ■ Commodities ■ Not Classified



\*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	
7IM EMERGING MARKETS EQ VALUE C GBP INC	BWBSHQ1	GBP	9.00%	
7IM EUROPEAN EX UK EQUITY VALUE C GBP INC	BWBSHS3	GBP	11.00%	
7IM UK EQUITY VALUE C GBP INC	BWBSHV6	GBP	6.00%	
7IM US EQUITY VALUE C GBP INC	BWBSHX8	GBP	5.00%	
BLACKROCK FUND MANAGERS LTD ISHARES MID CAP UK EQUITY INDEX UK D DIS	BNB74C0	GBP	3.00%	
BMO UCITS ETF ICAV BARCLAYS GBL HIGH YLD BD GBP DIS HDG	BZ0G2Y0	GBP	4.00%	
CASH (GBP)	CASH	GBP	2.00%	

AMEND THE PERCENTAGES USING THE PENCIL TOOL AND/OR ADD NEW SECURITIES.  
SAVE AMENDMENTS

# Or... Import Model Portfolio

## MODEL PORTFOLIO

### NEW PENDING AUTHORISATION

#### Model Description

Liontrust Balanced 2

#### Risk Profile

Balanced 2

#### Created By

Mrs Jasmine Brown

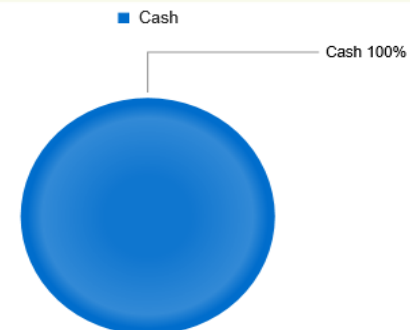
#### Created

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
CASH (GBP)	CASH	GBP	100.00%
			Total: 100%

Add Securities

CLICK ON IMPORT BUTTON


# Import Model Portfolio

Security Description	SEDOL	Currency	Percentage
FUND 1	B5ZX1M7	GBP	4
FUND 2	B2PLJL5	GBP	1
FUND 3	B2PLIQ0	GBP	5
FUND 4	BJGZZ06	GBP	3
FUND 5	B8L14S3	GBP	3
FUND 6	B8KT3V4	GBP	3
CASH (GBP)	CASH	GBP	2

## IMPORT EXISTING MODEL



Select files...

 Template Model Portfolio Import S..x

Upload File

TEMPLATE NEEDS TO BE IN CSV FORMAT WITH THE INFORMATION AS SHOWN ABOVE. IMPORT FUNCTION WILL ONLY WORK IF ALL FUNDS ARE ALREADY LOADED ON THE PLATFORM. IF THEY'RE NOT, PLEASE CONTACT US.



# Import Model Portfolio

## 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

■ Cash ■ Equity ■ Other ■ Bonds

Equity 71.1%

Cash 17.2%

Bonds 11.55%

Other 0.3%

\*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%

Add Securities

ONCE THE MODEL HAS BEEN SUCCESSFULLY IMPORTED THEN CLICK SAVE AMENDMENTS.

# CLONE A MODEL

**SEVEN**<sup>VM</sup>  
Investment Management

Logged in as: Jones, Jamie   Selected client: None   Help ▾   Logout

Practice ▾   Tools ▾   Reports ▾   Research ▾

## MODEL PORTFOLIO

**ACTIVE**

Model Description	Risk Profile	Created By
7IM Adventurous Model Portfolio	Adventurous	Mr Jamie Jones

**Created**  
09/10/2017 16:24:07

☐ For Offshore Custody  
☒ Is ISA Eligible  
☒ Is Offshore Bond Eligible

Asset Class	Percentage
Equity	76.94%
Cash	7.15%
Other	0.82%
Bonds	5.5%
Index Linked	0%
Property	2.11%
Commodities	6%
Not Classified	1.5%

\*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.

Edit Model   **Clone Model**   Delete Model   Rebalance Portfolios   Export to Excel   Back to Previous Page

EDIT, CLONE, DELETE

CLONE IS USEFUL WHEN CREATING A SERIES OF MODELS WITH SIMILAR FUNDS AS ONLY THE FUND WEIGHTINGS AND MODEL NAME NEED CHANGING.

# TO REBALANCE

## MODEL PORTFOLIOS

New Model

DFM Portfolios Pending Authorisation Portfolios **Existing Portfolios**

Model Description	Risk Profile	Status	Created	For Offshore Custody
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**SEVEN** Investment Management

Logged in as: Jones, Jamie Selected client: None Help Logout

Practice Tools Reports Research

## MODEL PORTFOLIO

**ACTIVE**

**Model Description**  
7IM Adventurous Model Portfolio

**Risk Profile**  
Adventurous

**Created**  
09/10/2017 16:24:07

☐ For Offshore Custody  
☒ Is ISA Eligible  
☒ Is Offshore Bond Eligible

**CONFIRM REBALANCE**

This action will rebalance all client portfolios attached to the model. Do you wish to proceed?

OK Cancel

**Assets:** Cash 7.15%, Equity 76.94%, Other 0.82%, Bonds 5.5%, Index Linked 0%, Property 2.11%, Commodities 6%, Not Classified 1.5%

\*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.

Edit Model Clone Model Delete Model **Rebalance Portfolios** Export to Excel Back to Previous Page

SELECT **EXISTING PORTFOLIOS** > **REBALANCE** > **OK** - WILL CREATE REBALANCE TRADES FOR **ALL** CLIENT PORTFOLIOS LINKED TO THE MODEL.  
NO PURCHASE TRADES LESS THAN £30 WILL BE DONE.  
PLEASE USE INTERNET EXPLORER BROWSER **NOT CHROME** TO DO THIS.

# Fee Statements

## STATEMENTS

Start date: 30/09/2012 End date: 30/09/2013 Update Statements

Statement Type	Period	Created	Comments	Download Statement
Ongoing Payment	July 2013	20/08/2013		
Ongoing Payment	June 2013	16/07/2013		
Ongoing Payment	May 2013	19/06/2013		

1 - 3 of 3 items

Fees paid monthly in arrears

DFM Fee Calculations (For period)												
Practice	Wealth Manager	Model	Average Qualifying Asset Balance For Period (£)	Annual Payment Rate(%)					VAT on Amount Paid (£)	Carried Forward including VAT (£)	VAT on Amount Not Paid (£)	Reason
			144,774.49						19	6.03	-	-
Sample Practice	Sample WM	7IM Discretionary Model Portfolio - Balanced (Balanced)	144,774.49	0.25	36.19	6.03	42.22		36.19	6.03	-	-

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Investment Management

### ONGOING PAYMENTS MONTHLY STATEMENT

June 2016

#### PAYMENT BY BACS\*

£ 45.67

#### Platform

Calculated Payment £ 42.88  
Vat on Items Above £ 8.57  
Total Payable £ 51.45

#### Carried Forward

Carried Forward This Month £ 5.78  
Previous Months Carried Forward £ 0.00  
Total Carried Forward £ 5.78

\*Please see attached sheets for full breakdown

AVAILABLE AS AN EXCEL DOWNLOAD: PRACTICE > STATEMENTS  
% FEE BASED ON AVERAGE VALUE OF ACCOUNTS DURING THE MONTH. DEDUCTED  
AND PAID OUT **AROUND 20<sup>TH</sup> EACH MONTH** (EG FEES FOR JUNE PAID 20<sup>TH</sup> JULY)

**SEVEN**   
Investment Management

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# Communication With IFA Users

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It is important that any IFA firm using your models is aware of when any rebalances are going to happen.

- To avoid trading on client accounts in the period leading up to a DFM rebalance (otherwise client will get excluded from rebalance)
- To know whether to 'manually' invest any top-up cash or let it get swept up in the DFM rebalance
- To know whether to de-link an account if they don't want a rebalance to affect a client (eg if selling for withdrawals)
- To know whether any extra cash needs to be ring-fenced in a sub-account to avoid being invested

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WE STRONGLY RECOMMEND AT LEAST A FEW DAYS NOTICE IS GIVEN TO THE IFA USER FIRMS PRIOR TO A REBALANCE TAKING PLACE SO THAT THEY CAN PREPARE FOR IT.

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# Corporate Action Notifications

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1. Any CA notifications affecting the investments in the DFM model will be sent by 7IM to the DFM for a decision.
2. DFM to advise 7IM on appropriate course of action.
3. DFM can forward to IFA if CA is client specific.

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# DFM MODEL PORTFOLIOS

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Adviser Side

SIGNED BY CLIENT AND ADVISER TO APPOINT THE DFM AND AUTHORISE THE FEES  
NO CLIENT CAN BE LINKED TO DFM MODEL UNTIL 7IM HAVE THE **ORIGINAL** OF THIS  
FORM AND FLAGGED THE CLIENT ON 7IM SYSTEMS

**SEVEN**   
Investment Management



# Linking to a DFM - Rebalance

The screenshot shows a web interface for the 'Rebalance' function. At the top, there is a navigation bar with tabs: 'Invest Cash', 'Sell Units', 'Raise Cash', 'Buy Units', 'Model Portfolios', 'Liquidate', 'Switch', and 'Rebalance'. The 'Rebalance' tab is selected. Below the navigation bar, the interface is divided into sections. The top section contains client and portfolio information: 'Client' is 'Baker, Mr Daniel', 'Portfolio' is 'ISA (IMF0JV7XSHD)', and 'Available Cash' is '£1,034.43 (excluding cash buffer of £0.00)'. There is a 'Use Portfolio Group' button. The middle section contains a table for rebalancing allocations. The first row shows 'Passive Growth (1)' with a value of '100.00 %'. The second and third rows are labeled 'Select a model portfolio...' and both have a value of '0.00 %'. Below this table, there is a 'Minimum Trade Amount' field set to '£ 30.00'. At the bottom, there are two buttons: 'Create Order' and 'Export Preview'.

Client	Portfolio	Available Cash
Baker, Mr Daniel	ISA (IMF0JV7XSHD)	£1,034.43 (excluding cash buffer of £0.00)

Model Portfolio	Allocation
Passive Growth (1)	100.00 %
Select a model portfolio...	0.00 %
Select a model portfolio...	0.00 %

Minimum Trade Amount: £ 30.00

Create Order Export Preview

## TRANSACTIONS > INSTRUCTION TO DEAL > REBALANCE



SELECT CLIENT, ACCOUNT AND RELEVANT MODEL – THEN “CREATE ORDER”  
IF NO AUTHORITY FORM HAS BEEN SENT TO 7IM AN ERROR MESSAGE WILL SHOW

# Submit Rebalance

**ORDERSHEET**

ClearClear ErrorsSubmit

Bastian, Mrs Margeret;ISA (IMF0HPXXSHD)

Trade Type	Description	Sedol	Quantity / Cash	Portfolio name	Client	Number Of Buys	Number Of Sells
 Model Portfolio Rebalance				ISA (IMF0HPXXSHD)	Bastian, Mrs Margeret	14	1 

A MODEL PORTFOLIO REBALANCE TRADE WILL APPEAR ON THE ORDER SHEET.  
CLICK SUBMIT TO SUBMIT THE TRADES AND MONITOR THROUGH TO COMPLETION.


# 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

<input checked="" type="checkbox"/>	Abbott, Mr Ewan
<input checked="" type="checkbox"/>	Ahmed, Mrs Maddison
<input checked="" type="checkbox"/>	Ali, Mrs Harriet
<input checked="" type="checkbox"/>	Allan, Mrs Lucy
<input checked="" type="checkbox"/>	Allen, Mr Joshua
<input checked="" type="checkbox"/>	Anderson, Mr Michael
<input checked="" type="checkbox"/>	Armstrong, Mr James
<input checked="" type="checkbox"/>	Armstrong, Mrs Alicia
<input checked="" type="checkbox"/>	Armstrong, Mrs Mollie
<input checked="" type="checkbox"/>	Banks, Mrs Kate
<input checked="" type="checkbox"/>	Barnes, Mrs Lily
<input checked="" type="checkbox"/>	Barnett, Mr Ryan
<input checked="" type="checkbox"/>	Barry, Mrs Chloe
<input checked="" type="checkbox"/>	Bell, Mr Hayden
<input checked="" type="checkbox"/>	Blackburn, Mrs Madison
<input checked="" type="checkbox"/>	Bolton, Mr Josh
<input checked="" type="checkbox"/>	Bolton, Mr Mohammed
<input checked="" type="checkbox"/>	Booth, Mrs Megan

[Remove](#)

**Selected Portfolios**  
select all | unselect all

<input type="checkbox"/>	Oliver, Mr Kyle
<input type="checkbox"/>	Rowe, Mrs Leah

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

# Account Now Linked To DFM Model

Summary	Assets in Transfer	Charts	Morningstar X-Ray™	Initial Payments	
<b>Account</b>					<b>Value (£)</b>
Wealth Manager Account Individual Investment Account					32,307.43
<b>Portfolio</b>		<b>Portfolio Reference</b>	<b>Valuation Date</b>	<b>Cash Balance (£)</b>	<b>Current Value (£)</b>
Dealing Portfolio (IMF D)		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
<b>Portfolio</b>		<b>Portfolio Reference</b>	<b>Valuation Date</b>	<b>Cash Balance (£)</b>	<b>Current Value (£)</b>
ISA Dealing Portfolio (IMF SHD)		IMF SHD	07/10/2015	569.70	8,186.27
Wealth Manager Account SIPP					122,532.07
<b>Portfolio</b>		<b>Portfolio Reference</b>	<b>Valuation Date</b>	<b>Cash Balance (£)</b>	<b>Current Value (£)</b>
Dealing Portfolio (IMF D)		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.

# How To See DFM Rebalances

The screenshot shows the SEVEN Investment Management interface. The top navigation bar includes 'Practice', 'Clients', 'Tools', 'Dealing', 'Reports', and 'Research'. The 'Dealing' menu is open, showing options: 'Instruction To Deal', 'My Orders', 'Wealth Manager Orders', and 'Orders on Behalf'. Below the menu, there are date pickers for '10/02/2014' and '10/02/2014'. A status bar shows 'In Progress', 'Completed', and 'Not Submitted'. Below this is an 'Export to Excel' button and a table of DFM Rebalance orders.

Type	Status	Submitted Date ▲	Client Name
▶ DFM Rebalance	Complete	10/02/2014 09:36:07	
▶ DFM Rebalance	Complete	10/02/2014 09:36:14	
▶ DFM Rebalance	Complete	10/02/2014 09:36:21	
▶ DFM Rebalance	Complete	10/02/2014 09:36:27	

On the right, the 'GROUP ORDER STATUS' box is highlighted. It contains a table with the following data:

Type of Group	Status of Group	Total
Rebalance	New	9

Below the table is a link that says 'more...'.

ADVISERS CAN SEE WHEN A DFM HAS PLACED A BULK REBALANCE AS THE “DFM REBALANCE” WILL APPEAR IN THE GROUP ORDER STATUS BOX ON THE HOMEPAGE. ALL TRADES WILL BE VISIBLE UNDER **DEALING > ORDERS ON BEHALF**.

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# Communication With DFMs

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It is important to know when a DFM rebalance is going to happen.

- To avoid you trading on client accounts in the period leading up to a DFM rebalance (if any trades are still pending/unsettled that account will be automatically excluded from the DFM rebalance)\*
- To know whether to 'manually' invest top-up cash or let it get swept up in the next DFM rebalance
- To know whether to de-link an account\*\* if you don't want a client included in the rebalance (remember to relink afterwards though!)
- To know whether any extra cash (eg bed & ISA or withdrawals) needs to be ring-fenced in a sub-account to avoid being invested

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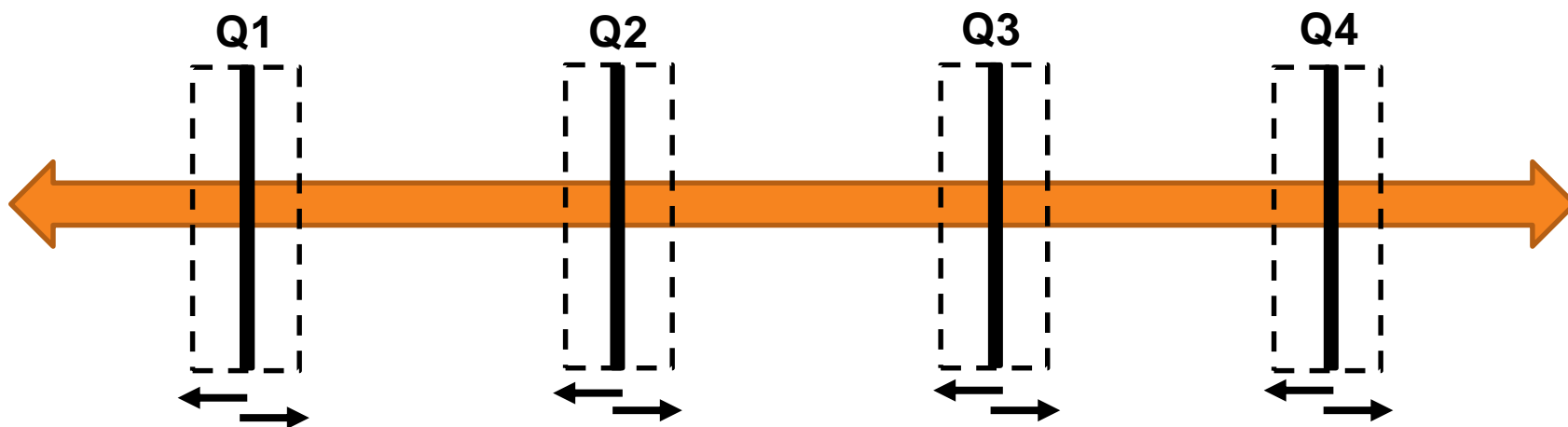
\* SEE PAGE 32 FOR MORE ABOUT UNSETTLED TRADES

\*\* SEE PAGE 33 FOR HOW TO DELINK AN ACCOUNT FROM A DFM

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# No Trading 'Windows'

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- Typically 7 working days either side of rebalance (depends on settlement times for each fund and how 7IM handles 'queue & release' mechanism).
- This allows all prior trades to complete before DFM rebalance and allows DFM rebalance to complete before trading resumes

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THIS IS WHY IT'S IMPORTANT TO KNOW WHEN THE DFM REBALANCE IS DUE TO HAPPEN SO YOU KNOW WHEN THESE NO TRADE WINDOWS ARE.

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# Unsettled Trades

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It's important to check if there any accounts that have any unsettled trades in them, as these will be automatically excluded from the DFM rebalance.

- Download *Unsettled Trades* report (Reports > Practice Administration).
- You won't be able to rebalance an account until all trades have settled.
- If an account is excluded from a DFM rebalance it will remain linked to the DFM model and therefore get rebalanced next time (assuming all trades have settled).



# De-linking & Closing Accounts

Please remember that when closing or emptying an account, you need to delink that account from the DFM model so that you can liquidate the assets. Go to:  
**Tools > 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

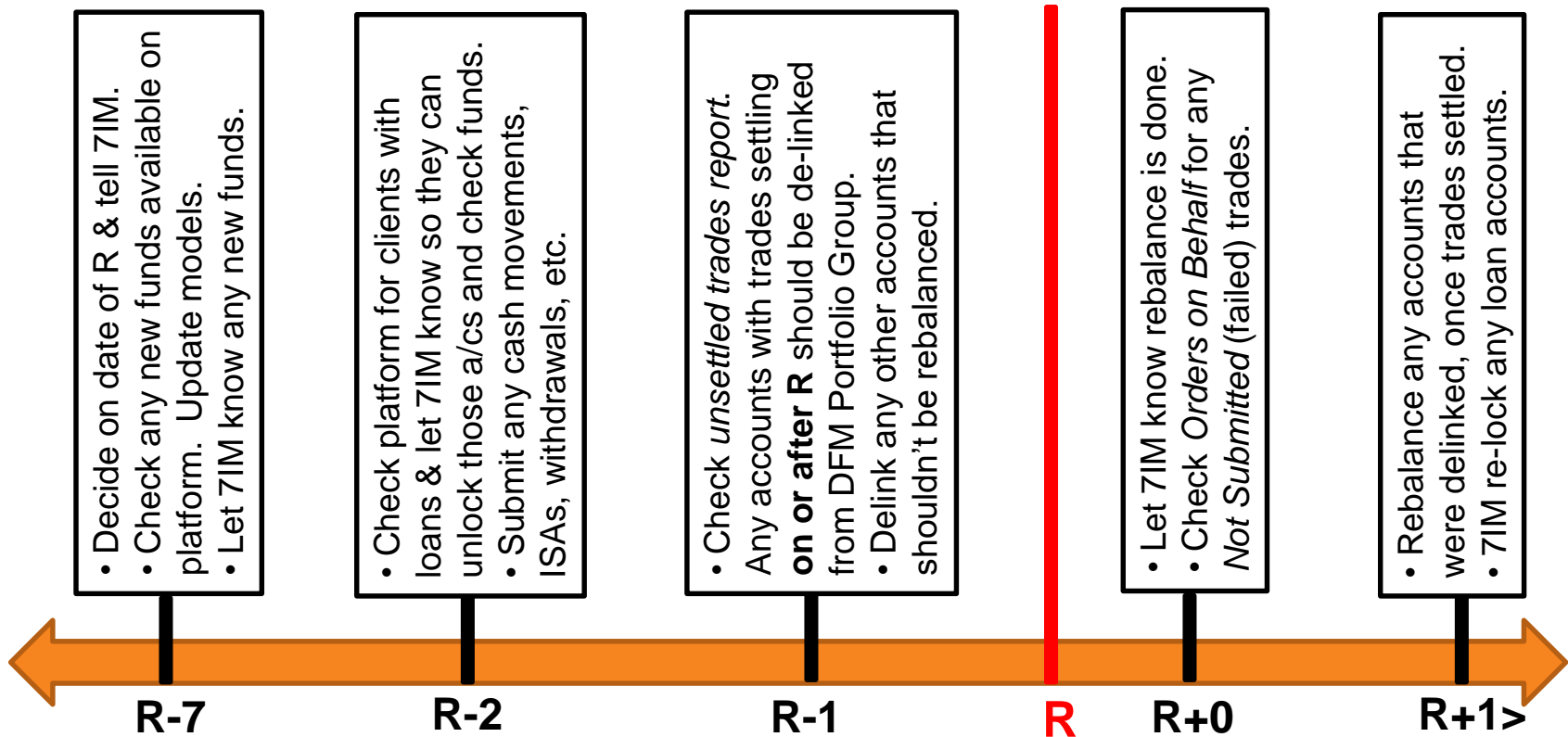
**Selected Portfolios**  
select all | unselect all

- ☐ Banfield, Mr Lewis
- ☐ Burnett, Mr Leslie
- ☐ Chow, Mr Chuan
- ☐ Chow, Mrs Mary
- ☐ Coombs, Mr Richard
- ☐ Cowen, Mr Stuart
- ☐ Curgenvin, 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.**

# Rebalance Checklist Timeline



7IM NEED TO BE INVOLVED WHEN REBALANCING ACCOUNTS WITH LOANS. WE NEED TO UNLOCK ACCOUNTS AND CHECK ANY FUNDS ARE ELIGIBLE AS SECURITY. WE MAY NEED TO ADD ANY NEW FUNDS IF THEY'RE NOT ALREADY LOADED.

# DFM Fees Reported Separately

Your investments at a glance		Previous Reporting Period 01/10/2013 - 05/04/2014	
Opening Value			0.00
Cash Introduced			0.00
Assets Introduced			0.00
Cash Withdrawn			0.00
Assets Withdrawn			0.00
Financial Adviser Fees			0.00
3rd Party DFM Fees			0.00
Seven Investment Management Fees			0.00
Other Cash Movements			
Investment Gain/(Loss)			

Trade Date	Settlement Date	Activity	Quantity	Security Narrative Description	Unit Cost (£)	Amount (£)
		Fees				
19/02/2015	19/02/2015	Fees		CASH (GBP) Adviser Ongoing Payment Jan 15 IMFO XSHD		-63.60
19/02/2015	19/02/2015	Fees		CASH (GBP) DFM Fee Jan 15 for IMFO XSHD		-5.45
19/02/2015	19/02/2015	Fees		CASH (GBP) 7IM Fees Jan 15 for IMFO XSHD		-21.20

DFM FEES WILL BE DEDUCTED AT THE SAME TIME AS ADVISER AND 7IM FEES BUT WILL BE RECORDED SEPARATELY BOTH ONLINE AND ON THE SIX MONTHLY CLIENT VALUATIONS

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# Corporate Action Notifications

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1. Any CA notifications affecting the investments in the DFM model will be sent by 7IM to the DFM for a decision.
2. DFM to advise 7IM on appropriate course of action.
3. DFM can forward to IFA if CA is client specific.