



The 7IM Platform

Adviser User Guide

7IM

www.7im.co.uk

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About 7IM

We launched our platform in 2005 – one of the first open architecture platforms in the UK – and have been developing it in-house ever since. Our platform uses 7IM's own proprietary technology with the benefit of an independent custodian, Pershing Securities, holding all client money.

As a wealth management business we offer:

- A flexible open architecture wrap platform
- Full service discretionary investment management
- Multi asset investments - discretionary MPS & funds

For more about the 7IM Platform, [click here](#). To download a client brochure from our Platform [click here](#)

For more about Pershing and the security of client assets held on our platform [click here](#).

2002

Founded in 2002

600

Over 600 people working as part of the 7IM group

£25 billion

Over £25 billion of assets under management

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Your Platform Service Team



Ravi Patel

Senior Platform Service Manager



Mandy Kaur

Platform Service Team Leader



Mick Gill

Head of Platform Service Team

 0207 760 8707

 PlatformMailbox@7im.co.uk

To see more about the team click [here](#)

You may also get contacted by members of our account opening, transfers, or SIPP teams if they have specific client queries.

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Your Platform Service Team



Joshua Wright



Kai Kai-Samba



Katherine Tointon
(Senior PSM)



Afrika Calleja



Oksana Dmytryk



Victor Veale



Rojan Coskun



Tracy Diggins



David Majekodunmi



Harry Brownlow
(Senior PSM)



Nick Pitcher



Megan Prior

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Your responsibilities

Do sales for ad-hoc withdrawals



We are developing more automation all the time to help you manage some of these tasks.

Tax Wrappers summary

Provided by 7IM (GIA, ISA, SIPP)

- [7IM Platform charges](#) only
- No extra wrapper charges*
- [Electronic applications](#)
- [Illustrations](#) from 7IM Platform
- All money sent direct to 7IM
- All withdrawals direct to client
- [JISA](#) & [APS ISA](#) also available
- [Non-personal accounts](#)

Provided by 3rd party (SIPP, Offshore & Onshore Bond)

- 7IM Platform 'plugs into' 3rd party wrapper
- 7IM Platform charges plus...
- Any 3rd party wrapper charges
- Illustrations from provider
- Money sent to provider
- Withdrawals sent back to provider
- 7IM & provider forms needed
- Onshore bond provided by [Countrywide](#)
- Offshore bonds from [Utmost, Canada Life, Standard Life & others](#)
- SIPPs from [most providers](#)

For more about the accounts / tax wrappers we offer click [here](#)

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7IM Platform 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%

No charge for:

- Dealing (inc shares/ETFs)*
- Cash
- Tax vouchers/CGT reports
- CHAPS payments out
- Transfers in
- Exit/transfer out fees
- Paper statements

*Charges apply to dealing foreign listed securities and foreign currency transactions. 7IM funds and cash are excluded from the above tiers.

Click [here](#) for more on the platform fees & charges

Flat rate **0.25%** pa Platform Fee for all 7IM funds

Family linking available for charges.

We also pay interest on all cash held on our platform. For the current rate click [here](#)

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7IM SIPP charges

Annual fee	Zero*
Income 'payroll' fee	£162 pa (for years in which income is taken)

* A fee of £120pa will be applied for SIPP accounts below £75,000

For more about our SIPP click [here](#)

Other features of our SIPP:

- Flexi Access or Capped Drawdown
- Phased/drip-feed "Tailored" drawdown
- Can accept Pension Sharing Orders & beneficiary drawdown
- Fully automated transfers via Origo or Equisoft
- Employee & employer contributions
- Prefunded tax relief
- Online transfer tracking
- Access to [Secure Lifetime Income](#)
- Can be included in our [Retirement Income Solution](#)

For more information about our SIPP and all the documents click [here](#).

Creating illustrations

- Add Client. Multiple illustrations can be saved for same client.
- Choose **Savings** (GIA/ISA) or **Pension** (7IM SIPP only) illustration
- Choose '**Advised**' wrapper option and relevant illustration type.
- Add **Adviser Charges**. 7IM charges already built in.
- Add new **investment strategy** (rename if you wish)
- Search for **fund** or **model portfolio** by name in Investment section
- Multiple models can be selected on one illustration
- Add **payments in / contributions / transfers** and select strategy
- Select any **income** requirements and tax-free cash (if 7IM SIPP)
- Click **Calculate** then **View PDF**
- All illustrations can be saved and amended later and copied.

Click [here](#) for a guide to our illustrations or [here](#) for a video showing how to create an illustration

Tools > Illustrations > Client Illustrations

Bond & Non 7IM SIPP illustrations should be requested from 3rd party provider.
Click [here](#) for illustrations guide or [here](#) to for a how to video.



Account opening summary

For the following accounts, use online **Account Application** tool

(watch the video on our [Help Centre page](#) to see how this works)

- Individual & Joint Investment Account (GIA)
- ISA
- 7IM SIPP

For all other accounts, send us **scanned application form** (editable PDF forms available on our [Literature Centre page](#) or download blank copies from the Platform)

- Third party SIPPs
- Third party bonds
- Trust, SSAS, limited company, charity
- Individual where POA exists
- Junior ISA & Junior SIPP
- APS ISA

Send all scanned applications securely to platformmailbox@7im.co.uk

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Online account application tool

Number of new applicants (Max two people)

Single Multiple

Applicant 1 Applicant 2

First name
Tim

Last name
Bonbon

Start

Client details ✓

Wrapper type ✓

Additional details ✓

Funding ✓

Investing ✓

Fees and adviser details ✓

Nominated bank details ✓

Income and withdrawals ✓

Summary ✓

Your application summary

Thank you for your application for the 7IM Platform Limited. We are nearly ready to open your 7IM account.

Before we can do so, we need you to review the information contained within this summary and if you are happy that all the details are correct, please sign and return to your Financial Adviser.

Any of the details are incorrect, please let your Financial Adviser know and they will be able to make the appropriate changes online.

Finally, we will need to verify your identity which we will do based on the information provided to us. Where possible, this verification will be done electronically. In the event we are unable to do this, we will need to contact you and request further information.

Additional steps:

In order to complete your additional requests as detailed below, please complete the pre-populated forms provided and return to us using the address provided below.

✉ **ISA requests here**

Our address:

Seven Investment Management
11 Boleynground
London EC2A 3BU

Client details

Full name: Mr Tim Bonbon

Preferred name: Tim Bonbon

Date of birth: 01/04/1970

Permanent residential address: 21C, Leach Gardens, 1st Floor, 100

Company address:

Email address: tim.bonbon@7im.co.uk

Telephone number: 07766 223998

Wrapper selection:

- ISA
- 7IM SIPP

Application reference: A000134

Your signature is required for the completion of this form.

Applicant One Signature:

Signed by: Mr Tim Bonbon

Date:

Authority to sign:

Application reference: A000134

Your signature is required for the completion of this form.

Applicant Two Signature:

Signed by:

Date:

Authority to sign:

Applications in progress

Search applications... Show cancelled applications

Application reference	Practice	Created By	Client Names	Last Updated	Status	Upload	Cancel
	McJunkin Exchange	Shannon Harrison	Tim Bonbon	02/09/2020	In Progress		X

1 - 1 of 1 items

For GIA, ISA, & 7IM SIPP accounts only. **Clients > Account Applications**

Watch the video on our [Help Centre page](#) to see how this works. We can accept e-signatures from clients (eg DocuSign or Adobe Sign).



Online account application tool

1. Complete application online
 - Add client details
 - Select all wrappers (and sub-accounts if required)
 - Include all lump sums, transfers and regular contributions
 - Include [investment instructions](#)
 - Add all other details (fees, bank account, SIPP crystallisation)
2. Submit application to do an electronic ID and bank account check
3. Generate pack for client to sign (can use e-signatures such as DocuSign or AdobeSign)
4. Upload signed declaration (with any additional forms/AML/bank docs).
5. Accounts opened instantly
6. Transfers visible instantly and automatically started (where possible) via Origo / Equisoft
7. Give client new 7IM account reference to deposit money
8. Investment instructions visible in SII Maintenance tab (click [here](#) for a video about this)

If you cannot submit (due to lack of information) then **download summary document** instead for client to sign and complete missing info on. then input missing info and follow steps 2-4 above uploading signed summary document. New pack can be sent to client for their records (not to sign).

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Offline account opening forms

For bonds, trusts, corporates, 3rd party SIPPs where online account opening tool cannot be used

Bond Account Opening Form (Platform) 

PLEASE PRINT CLEARLY IN BLOCK CAPITALS AND COMPLETE ALL APPLICABLE SECTIONS OF THIS FORM.

Section 01 Bond Provider Details

Name of Bond Provider: Reference Number:

CUI - Tim Sanborn

Address of Bond Provider:

Country for country if not UK: City: Postcode:

Contact Name: Company Phone Number:

Company Fax: Email:

Section 02 Bond Provider Bank Details

All payments will be made directly to this account. **Please note we are not able to open an account without the entity bank details.**

Bank:

Account Name:

Sort Code: Account Number:

Account Reference / Sort Number (if applicable):

Section 03 Beneficial Details

Personal Applicants

Self Beneficial OR Joint Beneficial

Non personal Applicants

Please refer to Identity Verification section

Please print full name of Non Personal Applicant:

Trustee Applicant(s)

Individual Trustee(s) OR Corporate Trustee

Non-Trustee Applicant(s)

Company Partnership If other, please specify:

Trust Account Opening Form (Platform) 

PLEASE PRINT CLEARLY IN BLOCK CAPITALS AND COMPLETE ALL APPLICABLE SECTIONS OF THIS FORM.

For Trusts only

Section 01 Entity Details

Please select an account type:

Trust Bare Trust SATS GRSIPs SSAS Other (Please specify):

Name of Trust:

Jugl Entity Identifier (LEI Number less required for Bare Trusts):

Country where trust or scheme was created:

The Residency of Trust or Scheme

Country of Residence of the Beneficiary: Tax Identification Number (TIN):

If a TIN is not available please select one of the following reasons:

The country where you are liable to pay tax does not have TINs for its residents.

No TIN is required. Please only select this reason if the authorities of your country of tax residence do not require the TIN to be disclosed.

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:

UK legislation requires us to collect information about your tax residency. In certain circumstances we may be obliged to share information on your accounts to HMRC. We may use this information with the 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

Pension Account Opening Form (Platform) 

PLEASE PRINT CLEARLY IN BLOCK CAPITALS AND COMPLETE ALL APPLICABLE SECTIONS OF THIS FORM.

Section 01 Trustee Details

Name of Trustee:

Name of Account:

Reference Number:

Company Address (please note we cannot accept a PO Box number or a care of (CO) address):

Country for country if not UK: City: Postcode:

Email:

Telephone:

Section 02 Trustee Bank Details

All payments will be made directly to this account. **Please note we are not able to open an account without the entity bank details.**

Bank:

Account Name:

Sort Code: Account Number:

Account Reference / Sort Number (if applicable):

For **Non-personal** accounts (e.g. Trust, SSAS, Limited Companies, Charities) and **accounts linked to other providers** (e.g. SIPP or Bond)

Send all scanned applications securely platformmailbox@7im.co.uk. Click [here](#) for a guide to AML requirements for non-personal accounts

Electronic AML verification

1. Automatic electronic checks by 7IM include:
 - Identity and address of client
 - Bank account validation (i.e. does the account belong to client)
2. If client 'fails' AML check please send us certified copy documents
3. Reasons for 'failing' bank account check include:
 - Building society or non-high street bank (e.g. Coutts, Handelsbanken, Hoares & Co, HSBC Private, Weatherbys) – no data available
 - Savings account – only current accounts can be validated
 - Client has recently moved and old address still in bank system
 - Joint account where bank only reports one holder to system
4. If client 'fails' bank account check we will ask for evidence:
 - Copy bank statement (less than 6 months old)
 - Scanned copy of a cheque
 - Photo of bank card (must include name, sort code, & account number)

We will repeat the above bank account validation process when we are notified that a client wishes to change their nominated bank account.

MIFID client data requirements

In order for a client to trade in a MIFID reportable security (such as a share or ETF), 7IM will need to capture, and report, certain mandatory client information.

Client Type	MiFID Data Requirement
Individual Client (including POAs, JISA parents / guardians, and trustees / beneficiaries of bare trusts)	<ul style="list-style-type: none"> • Name • Nationality • Date of Birth • National Insurance Number (NINO) • Your service mandate with client – Advised or Discretionary
Non-Personal Client (including trusts, corporates, and SSASs)	<ul style="list-style-type: none"> • Legal Entity Identifier (LEI) • Your service mandate with client – Advised or Discretionary

Where we don't have this mandatory information the account will be blocked from trading any reportable securities.



What to send where

Upload all GIA, ISA, & 7IM SIPP declarations to the platform (Clients > Account Applications).

- Include all additional forms/documents in same PDF file to upload
- Please remove any password protection from PDF file
- If you need to send any extra documents to us separately, email securely to **platformmailbox@7im.co.uk** with the new 7IM account reference (starts with IMF..)

Send all other application forms with accompanying documents securely to 7IM: **platformmailbox@7im.co.uk**

Send all forms relating to third-party SIPP/Bond accounts to provider (who will complete their sections and forward to 7IM if required).

Post anything where we need original documents (e.g. share certs)

Please don't do bank transfers until 7IM account is open (otherwise, cash could be returned to the client)

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Money in: GIA, ISA, Non-Personal

7IM bank details for GIA (GBP only)

Bank:	ROYAL BANK OF SCOTLAND
Swiftcode:	RBOSGB2LXXX
Sortcode:	16-04-00
A/c No:	31266302
A/c Name:	Pershing Securities Ltd Client Hub Account
IBAN:	GB27RBOS16040031266302

For a PDF document showing our bank details that you can send to clients click [here](#)

Please DO NOT use this bank account for 7IM SIPP contributions

1. Cheques payable to 'Pershing Securities Ltd' (our custodian) except [7IM SIPP](#)

2. All new ISA money goes into GIA (individual or joint) first, then moved

3. Electronic payments in

- Please use bank details below to make GBP deposits (contact us if non-GBP payments).
- Please make sure that the 7IM GIA reference is included in the payment reference field.
- Please pay particular attention to the characters used in the reference e.g. the reference will start with a letter 'I', not a number '1' and then zeros should always be used, **never** the letter 'O'.

4. Regular investments

- GIA / ISA (click [here](#))
- 3rd party SIPP (click [here](#))

Electronic payments generally appear on platform day after receipt
Cheques will show on Platform in 3-4 days (if the account is open)

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Money in: 7IM SIPP

7IM SIPP bank details

Sortcode: 16-00-15

A/c No: 16294767

A/c Name: 7IM Trustees Limited

For a PDF document showing our bank details that you can send to clients click [here](#)

Please DO NOT use this bank account for GIA/ISA contributions

7IM SIPP cheques payable to '7IM Trustees Ltd'

Electronic payments in

- Please use these bank details to make deposits.
- Please make sure that the 7IM SIPP reference (IMF...) is included in the payment reference field.

All payments need to be confirmed in advance via:

- [Online 7IM SIPP application](#) (if a new account is being opened)
- [Contribution form](#) (if adding to an existing SIPP account for the first time)
- [Top-up Contribution form](#) (if a repeat top-up to an existing SIPP account)

All member contributions will have tax relief added immediately prefunded by 7IM

SIPP contributions will show on platform once cheques have cleared and payments have been matched to a completed contribution record

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7IM SIPP information

SIPP account information online:

- Crystallised / uncrystallised amounts
- Contributions in current tax year
- Income received in current tax year
- Detail on each arrangement within the SIPP (which includes beneficiary pension amounts)
- Beneficiary details
- All above data for all clients available in a single report

General	Contributions	Income Drawdown	Arrangements	Beneficiaries
Crystallised Value		£547,555.41		
Uncrystallised Value		£0.00		
Total Value		£547,555.41		
Selected Retirement Date		04/07/2032		
Selected Retirement Age		76		

General	Contributions	Income Drawdown	Arrangements	Beneficiaries	
Number	Arrangement Type	Value (£)	Max GAD Income (£)	Income YTD (£)	Next Review Date
6	Transfer In Dependant Flexi-access Drawdown	139,620.42	0.00	0.00	
7	Transfer In Flexi-access Drawdown	110,084.60	0.00	250.00	
9	Transfer In Dependant Flexi-access Drawdown	297,850.39	0.00	1,700.00	

Click one of the options below for more information

[Making contributions](#)

[Drawdown](#)

[Retirement income](#)

[Secure Lifetime Income](#)

[Junior SIPPs](#)

Voluntary and Mandatory 'scheme pays' HMRC payments for exceeding annual allowance can be paid from 7IM SIPP.

For more about using our SIPP wrapper click [here](#) and for the features click [here](#).

For more about the death benefit options click [here](#).

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Junior ISA (JISA)

Available for children aged 18 or under

Parent must have 7IM GIA (can open new GIA if necessary)

Can transfer in existing JISAs or Child Trust Funds (CTF)

JISA fees can be deducted from parent's GIA

Anyone (e.g. parents & grandparents) can pay money into JISA

New contributions go into **parent's GIA** first then into JISA

JISA subscriptions are done online using Cash Movements tool

JISA becomes normal ISA when the child turns 18

Accounts opened using application form

Any regular contributions need to be done manually*

Click here for JISA FAQ document

For more about using our Junior ISA wrapper click here

Editable JISA Forms available to download from help centre page

*Regular contributions have to be made into parent's GIA and then moved into the JISA and invested each month by you.

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7IM portfolio references explained

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

- 1. Client Reference** (e.g. IMF4TRS) – unique to that client
- 2. Account Type** (e.g. X) – the ‘wrapper’ type (see next right)
- 3. Portfolio Suffix** (e.g. D) – the type of portfolio (or ‘sub-account’) see far right.

Letter	Account Type
F	Corporate
JI	Junior ISA
V	Joint GIA
W	Trust
X	Individual GIA
XSH	ISA*
Y	SIPP
Z	Offshore Bond
H	Onshore Bond

Suffix	Portfolio Type
D	Dealing 1
E	Earnings
J,K,N	Dealing 2,3,4
IJD, IKD, IND	*ISA Dealing 2,3,4
W	Cash (GIA & SIPP only)
R	Regular withdrawals only

Knowing the above structure will help you to identify what type of wrapper a client has just from the 7IM reference.

Click [here](#) to watch a video how to add additional portfolios

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Linking clients

Three types of linking are available:

1. Family fee groups for our platform charges (part of the application process)
2. Report groups to show multiple clients on one valuation report
3. Online account linking for viewing purposes (platform and client portal)

Linking clients on our platform

Manage Links

Link Client

Link Client ×

If you proceed, the following clients will be linked for viewing on the Platform

- Mrs Abigail Abbott
- Mr Jacob Abbott

Please note this will not affect any existing fee or report group settings.

Enable these clients to view each other's accounts on the Client Portal and 7iMagine.

Each client will automatically be given access to view all accounts of every linked client. By enabling this function you confirm you have permission from each client to share their account information with each other.

Submit
Cancel

- ▾ Mrs Abigail Abbott
 - ▾ Mrs Abigail Abbott
 - Dealing Portfolio
 - Earnings Portfolio
 - ▾ Mrs Abigail Abbott
 - ISA Dealing Portfolio
 - ISA Earnings Portfolio
- ▾ Mr Jacob Abbott
 - ▶ Mr Jacob Abbott
 - ▶ Mr Jacob Abbott & Mr Lionel Rood
 - ▶ InvestAcc Pension Administration Ltd - Mr Jacob Abbott

You can link as many clients as you like on our platform. This is for your view only unless you tick the relevant box above.

Watch the video on our [platform help centre](#)

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Linking clients

Linking clients for our client portal & 7IMagine app

Manage Links

Link Client

Manage Links ✕

The following clients are linked for viewing on the Platform

- Mrs Abigail Abbott
- Mr Jacob Abbott

Please note this will not affect any existing fee or report group settings.

Enable these clients to view each other's accounts on the Client Portal and 7IMagine.

Each client will automatically be given access to view all accounts of every linked client. By enabling this function you confirm you have permission from each client to share their account information with each other.

Unlink
Submit
Cancel

CHOOSE CLIENT

my11ud

Linked Client Group ✕

 £ 84,150.76 Oscar Payne	 £ 207,785.91 Mr Eddie Moreno	 £ 58,891.99 Mr Zak Gardner
 £ 24,625.51 Mr Cameron Lawrence	 £ 737,403.42 Mr Terry Sample	 £ 47,534.89 Mrs Ashley Quezada

Tap to Toggle Clients ON or OFF to Import a subset of this Group

Import & Classify from this Group

7IM

Home Reports My Documents My Details Contact us Logout

My Group



Name	Value (£)
Mr Zak Gardner	58,890.02
Mr Cameron Lawrence	24,625.51
Mr Eddie Moreno	207,785.91
Mr Oscar Payne	54,152.77
Mrs Ashley Quezada	47,534.89
Mr Terry Sample	737,403.42

Value (£)
= 1,130,192.52
As at 01/06/2020

Investments are grouped by primary account holder. Any jointly held accounts are listed separately under each named account holder.

Maximum of 6 clients can be linked for client portal and 7IMagine app. Watch the video on our [platform help centre](#)

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Adding new portfolios / sub accounts

Mrs Christine Akins
 7IM SIPP - Mrs Christine
 Dealing Portfolio (IMF.
 Summary Add New Portfolio
 Earnings Portfolio (E)
 Dealing Portfolio 2 (J)
 Dealing Portfolio 3 (K)
 Dealing Portfolio 4 (N)
 Create Clear

- Go into client's account
- Click on 'Add new portfolio' button
- Choose which portfolio(s) you want
- Choose withdrawal option if selecting Earnings portfolio
- Confirm

- Portfolios are opened instantly
- Ready to receive
 - cash (cash movements)
 - assets (stock movements)
- Same fee structure as Dealing

Click [here](#) to watch a video how to add additional dealing or earnings portfolios.

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Transfers

Most GIA/ISA fund transfers are done electronically via **Equisoft**

It's important that the client details (e.g. name, address, NINO) you input match those currently held by the transferring provider (otherwise the transfer is likely to get rejected)

Timescales vary hugely, with cash transfers typically being much quicker and manual in-specie transfers usually taking the longest

Offshore funds (ISIN codes starting with IE or LU) have to be transferred manually, so will take longer

Share transfers will require certificates & Crest transfer form if a holding is certificated (please check with the relevant share registrar first)

7IM SIPP transfers are done electronically where possible via **Origo** (cash only) or **Equisoft** (in-specie)

Include transfers in online account application tool for new clients

Standalone transfer forms are available [here](#) for top-up transfers (but will be replaced by a digital online submission in 2026).

Once an in-specie transfer has completed you should enter the book cost online for GIA holdings as we don't usually receive this as part of the transfer. For more info about how to do this click [here](#)

Transfers: Client level

Summary	Assets in Transfer	Charts	Asset Allocation	Fees	CGT	Regular Investments	Regular Withdrawals
Transfer Complete	Reference	Type	Account Type	Forms Received	Source	Status	Chaser Date
▶ Yes	11	Stock - In Specie (In)	Advised ISA Account	27/06/2019	Old Mutual	Paperwork checked and sent to scanning	15/07/2019
▶ Yes	11	Stock - In Specie (In)	Advised Individual Account	27/06/2019	Jupiter	Paperwork checked and sent to scanning	05/07/2019
▶ Yes	11	Stock - In Specie (In)	Advised Individual Account	27/06/2019	Old Mutual	Paperwork checked and sent to scanning	18/07/2019
Comment				Author		Create Date	
Anonymised comment 649909				7im\kimberly.dowuona		27/06/2019	
Anonymised comment 651568				7im\kimberly.dowuona		05/07/2019	

- This section shows automated updates from Origo or Equisoft (for electronic transfers) as each transfer progresses.
- This means you can monitor the progress of the transfer online without having to spend time on the phone.
- Once received, the cash or asset will appear on the [New Platform Assets](#) report as well as the Transaction Listing. Cash will be invested if [instructions](#) are set up.

This section shows transfers into 7IM, transfers out to other providers, deceased client estates, and in-specie transfers between clients.

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Transfers: Firm level

- Firm-level view shows all in progress and completed transfers for all clients
- Each transfer will have its own entry
- Click on column headers to sort
- Click on status link to see more details on that transfer, including automated updates from Origo or Equisoft (for electronic transfers)

Assets In Transfer

In Progress **Completed**

Client Name	7IM Reference	Account Name	Account Type	Type	Forms Received	Source	Status	Chaser Date
Kunkel, Mrs Nancy		7IM SIPP - Mrs Nancy Kunkel	Advised SIPP	7IM SIPP Cash (In)	19/08/2020	Zurich	Transfer Form Forwarded to Provider	02/09/2020
Johnson, Mrs Erin		D. A. Phillips & Co Ltd - Mrs Erin Johnson	Advised SIPP	Cash Transfer (OUT)	14/07/2020	Dapco	Bulk cash payment sent	28/08/2020

1 - 2 of 2 items

Please contact your 7IM Relationship Manager on 020 7760 8707 if you have any questions.

Click on 'more..' on assets in transfer section on homepage. Go to **Practice > Show asset transfer** Summary page of all transfers ever done

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Moving funds between portfolios

- Transactions > Stock Movements > Instruction (watch video [here](#))
- Choose Portfolios to move funds from and to
- Choose either a specific unit quantity or percentage of holding to move

Stock Movements

Client Name
Amaya, Mrs Elizabeth

From Portfolio
ISA

To Portfolio
ISA

bold denotes editable cells *colour denotes modified cells*

Quantity	SEDL	Description	Total Cost (£)	Price	Market Value (£)	Gain/Loss (£)	Quantity To Move	Percentage To Move	Value (£)	Cost (£)
1,886.306	BFW0081	FIRST STATE INV W/VIDE SUSTAINABILITY B ACC	4,511.36	2.5531	4,810.93	304.54	1,886.306	100.00%	4810.93	4511.36
5,714.693	BAH0083	LICHTRIJST FUND PARTNERS LLP SUSTAINABLE FUTURE SIF ENVY ASG 2 NET INC	8,000.00	1.4189	8,087.29	87.29	0.000	0.00%	0.00	0.00
1,352.909	3003008	LICHTRIJST FUND PARTNERS LLP SUSTAINABLE FUTURE GLOBAL ETHI ACC NAV	3,000.00	2.3525	3,181.75	181.75	0.000	0.00%	0.00	0.00
3,784.781	BFV6446	VALLSTRAC INVESTMENT MANAGEMENT LTD GRAVIS CLEAN ENERGY INCOME C INC	4,476.95	1.3291	5,030.41	553.86	0.000	0.00%	0.00	0.00
			£19,987.34		£21,126.38	£1,537.44				

1 - 4 of 4 items

The cut-off for receiving Stock Movements is **12:00 noon**. Instructions received after cut-off will be processed the next working day. Please allow 3-5 working days for the Stock Movement to complete.

Transfers requiring supporting paperwork e.g. inter-spousal transfers, cannot currently be instructed online. Please submit these directly to the 7IM Platform Service Team.

Submit History

Midday cut off for stock movements to be processed that day. Transfers requiring supporting paperwork e.g. inter-spousal transfers, cannot currently be instructed online.

New platform assets report

This report shows a firm-level view of all new inflows:

- Cash or in-specie
- From client or transfers
- Customisable date range can include historic inflows
- Includes details about any SII on that account
- Can be a trigger for further action (e.g. trades or withdrawals)

[Reports](#) > [Practice Administration](#) > [New Platform Assets](#)

New Platform Assets

From Date

To Date

Report Format

Generate Report

Wealth Manager	Client Name	Account	Account Type	Portfolio	Sedol	Isin	StockName	Quantity	Currency	Value	TradeDate	SII Active When Cash Received	Linked To ISA	SII Processed Date	SII Active When Report Run
Daisy Conway	Mrs Sophie Owens Mrs Sophie Owens	Mrs Sophie Owens	Advised ISA Account		B6QQDK4	G80086QQDK47	M&G SECURITIES LIMITED M&G GBL STRATEGIC VALUE STERLING A INC	9937.225	GBP	£18,157.30	13/08/2021	Y	N/A		Y
Daisy Conway	Mrs Mary Privett Mrs Mary Privett	Mrs Mary Privett	Advised Individual Account		CASH		CASH (GBP)	0	GBP	£105,206.48	13/08/2021	N	Y		N
Lily Newman	Mr James Cobb 7IM SIPP - Mr James Cobb	7IM SIPP - Mr James Cobb	Advised SIPP	IMF7JQKY D	CASH		CASH (GBP)	0	GBP	£578,262.78	20/08/2021	Y	N/A	23/08/2021	Y

Check for new cash received or new assets transferred in.
Important to monitor this report regularly in case trades required.

[Reports](#) > [Practice Administration](#) > [New Platform Assets](#) (CSV Option)

[Back to contents page](#)

Standing Investment Instructions (SII)

SIIs are how we automatically invest any cash received.

This can be used for:

- **New** clients via [online account opening](#)
- **Existing** clients (or accounts set up offline) via the [Manage Investments](#) screen

For a video on how to use this click [here](#)

Firm level view of all SIIs available: Transactions > Standing Investment Instructions

Standing Investment Instructions

All Active All Cancelled Awaiting Action Completed Actions

Client name	Wealth Manager		
Mrs Amanda Alejo	Mrs Daisy Conway		
.....	Account type	End date	
IMF7KAAXSH	Advised ISA Account		
Portfolio	Split	Assets	% allocated
SHD	80.00%	EQ Future Leaders Balanced	100%
IJD	20.00%	EQ Future Leaders Adventurous	100%
Mrs Theresa Ammons	Mr Felipe Johnson		

Download a guide to SII

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Standing Investment Instructions (SII)

It's important to check the SII notifications screen:

Standing Investment Instructions

All Active All Cancelled **Awaiting Action** Completed Actions

[Leave in Portfolio](#)
[Invest in Portfolio](#)
[Transfer to ISA](#)

Date	Account	Portfolio	Client Name	Amount	Num of Transactions	Reason	Select ISA
02/09/2021			Cooper, Mr Earle	£200.00	1	No ISA Subscription	<input type="checkbox"/>

◀
▶
1
▶
▶▶
20 items per page
 1 - 1 of 1 items ↻

Standing Investment Instructions

Notifications awaiting action: 1

[more...](#)

Will appear when a cash deposit is added to a GIA and there is an ISA wrapper with allowance available but no pending ISA subscription (eg should this cash go into ISA or not?)

- **Leave in Portfolio:** cash will remain where it is with no further action (no investment)
- **Invest in Portfolio:** cash deposit will be invested as per GIA SII (including any cash movements between sub-accounts)
- **Transfer to ISA:** cash will be moved into ISA and then invested as per ISA SII.

For more about checking and amending the SII download the guide [here](#)

It is important that you check the homepage to see if there are any SII notifications awaiting action as these are cash deposits that will remain in cash in the GIA until you select one of the options above.

Standing Investment Instructions (SII)

Client level SII tab can be used to:

- Edit or cancel an existing SII
- Create a new SII

The screenshot shows a web application interface for managing Standing Investment Instructions (SII). The top navigation bar includes tabs for Summary, Client Details, Manage Investments (selected), Assets in Transfer, Charts, Asset Allocation, Fees, and CGT. Below this, there are sub-tabs for Standing Investment Instructions (SII), Regular Investments, and Regular Withdrawals. A History button is located in the top right corner of the table area. The table has three columns: Account, Account Number, and SII. The first row, 'Advised ISA Account', has a checkmark in the SII column, an 'Edit' button, and a cancel button (marked with an 'x'). The second row, 'Advised Joint Account', has an '+ Add' button. The third row, 'Advised Individual Account', also has an '+ Add' button. The 'Edit' and '+ Add' buttons are highlighted with orange boxes.

Account	Account Number	SII		
Advised ISA Account		✓	Edit	x
Advised Joint Account			+ Add	
Advised Individual Account			+ Add	

Creating a new model

Model Portfolio

Model Description	Risk Profile	
<input type="text"/>	<input type="text"/>	
Created By Benefiel, Michael	Created 18/09/2020 14:08:49	Last Rebalanced N/A
<input type="checkbox"/> For Offshore Custody		
<input type="checkbox"/> Is ISA Eligible		
<input type="checkbox"/> Is Offshore Bond Eligible		

[Create](#) [Cancel](#) [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.

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Add funds and weightings

Add Securities

Security search

Securities

%sustainable%balance Sedol Search Favourites List

Name	MiFID Reportable	Sedol	
7IM SUSTAINABLE BALANCE S ACC		BJBPWR7	Select
7IM SUSTAINABLE BALANCE S INC		BJBPWS8	Select

1 - 2 of 2 items

Finished

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.

Save Amendments

Cancel

Import

Export to Excel

Back to Previous Page

Security Description	OCF	Weighted OCF	MiFID Reportable	Sedol	Currency	Percentage
7IM SUSTAINABLE BALANCE S ACC	1.18%	0.58%		BJBPWR7	GBP	49.00%
BNY MELLON GLOBAL FUNDS PLC SUSTAINABLE GLOBAL EQTY INC W GBP ACC	0.85%	0.00%		BJ066Z7	GBP	49%
CASH (GBP)		0.00%		CASH	GBP	51.00%
Total : 0.58%						Total: 100%

Select all funds required for the model. This is best done using the fund's Sedol code rather than by name. Set up a **favourites fund list** to make this easier. Watch the video [here](#). Click Finished, then enter the weightings (click on pencil icon then click the tick to save), and finally click Save Amendments to save the model. Remember to include a cash weighting in the model, typically 2%.

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Import and clone model portfolio

Import

Security Description	SEDOL	Currency	Percentage
FUND 1	B5ZX1M7	GBP	4
FUND 2	B2PLJL5	GBP	1
FUND 3	B2PLJQ0	GBP	5
FUND 4	BJGZZ06	GBP	3
FUND 5	B8L14S3	GBP	3
FUND 6	B8KT3V4	GBP	3
CASH (GBP)	CASH	GBP	2

Clone Model

You can clone an existing active model portfolio to create a new one with the same funds and weightings, which you can then edit.

Import Existing Model

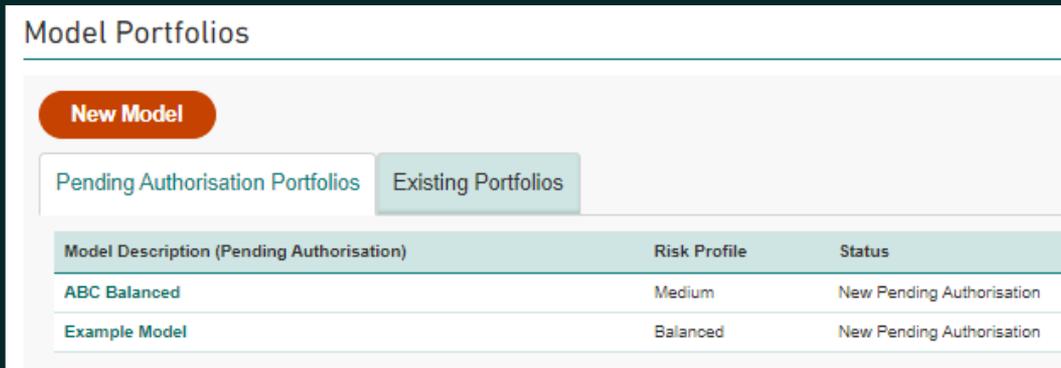
Select files...


Template Model Portfolio Import Spreadsheet.csv
0.95 KB

Model Portfolio

Once import or cloning and editing is complete, click Save Amendments to save the model

Authorise model portfolio



The screenshot shows a web interface titled 'Model Portfolios'. At the top left is a red button labeled 'New Model'. Below it are two tabs: 'Pending Authorisation Portfolios' (selected) and 'Existing Portfolios'. A table is displayed under the 'Pending Authorisation Portfolios' tab with three columns: 'Model Description (Pending Authorisation)', 'Risk Profile', and 'Status'. The table contains two rows of data.

Model Description (Pending Authorisation)	Risk Profile	Status
ABC Balanced	Medium	New Pending Authorisation
Example Model	Balanced	New Pending Authorisation

Authorise

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.

Once authorised the model will appear in the dealing section to be invested in and in the Investing section of the Account Application tool. Models will also appear in the [illustration](#) tool the following day after authorisation.

Dealing: buying

Four different trade types for buying assets:

1. **Invest Cash** – investing a certain £ amount into selected funds (video [here](#))
 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* (*see [separate section](#)*)
- Add all trades to Order Sheet then submit Order Sheet
 - Minimum £10 buy per fund (£30 in a rebalance). 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).
 - Investments done for you if using online [Account Applications](#) tool

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.

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Dealing: buying

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

Client

Baez, Mrs Sara

Portfolio

ISA

Available Cash £1,046.25 (excluding cash buffer of £0.00)

[Use Portfolio Group](#)

Security

7IM SUSTAINABLE BALANCE S ACC

[Use Favourite Funds](#)

Amount

10.00

Transaction Format

Cash (£)

Transaction Fee

0.00 %

[Create Order](#)

Ordersheet

[Submit](#) [Clear](#) [Clear Errors](#)

Trade Type	Description	Sedol	Quantity / Cash	Portfolio name	Client	Number Of Buys	Number Of Sells
Baez, Mrs Sara:ISA							
Invest Cash	7IM SUSTAINABLE BALANCE S ACC	BJBPWR7	£10.00	ISA	Baez, Mrs Sara	1	0

1 - 1 of 1 items

Please note that trades cannot be cancelled once submitted, so please check that everything is correct before submitting them. Watch the videos in our platform help centre [here](#).

Dealing: selling

Five 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. It can be single fund or proportional (video [here](#))
3. **Liquidate** – selling 100% of a holding or 100% of all holdings
4. **Switch** – selling A and buying B (see [separate section](#))
5. **Rebalance** – selling anything not included in the model and investing in model (see [here](#)).

Things to note:

- Trades cannot be cancelled once submitted.
- All trades are into GBP cash. Contact us for trading in other currencies.
- Selling funds does not unlink an account from a DFM model. For more about how you unlink from a DFM model click [here](#).
- For more about how you withdraw cash click [here](#).

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

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Dealing: selling

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

Client: Baez, Mrs Sara Portfolio: ISA Available Cash £11,056.25 (excluding cash buffer of £0.00) Use Portfolio Group

Type: Proportional Sell

Calculation: Assets Only View Example

Amount: 10,000.00 Transaction Format: Cash (£) Transaction Fee: 0.00 %

Create Order

Ordersheet Submit Clear Clear Errors

Trade Type	Description	Sedol	Quantity / Cash	Portfolio name	Client	Number Of Buys	Number Of Sells			
Baez, Mrs Sara:ISA										
Proportional Sell			£10,000.00	ISA	Baez, Mrs Sara	0	21			
Order Type	Security	Sedol	Quantity / Cash	Unit Price	Quantity	Gross Consideration	Transaction Fee	Transaction Charge	Net Consideration	Profit / Loss
Raise Cash	ABERDEEN STANDARD FUND MANAGERS LTD ASI GBL R/EST SHARE PLATFORM 1 GBP ACC	B7MR5W4	£255.48	0.7173	356.1820	£255.48	£0.00	£0.00	£255.48	-£8.20
Raise Cash	ABERDEEN STANDARD FUND MANAGERS LTD ASI UK REAL ESTATE SHARE I ACC	B0XWNN6	£254.19	2.2172	114.6500	£254.20	£0.00	£0.00	£254.20	-£2.02

Please note that trades cannot be cancelled once submitted, so please check that everything is correct before submitting them. Watch the videos in our platform help centre [here](#).

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 the next available dealing date; and
Buy trades will 'queue' and automatically be done by 7IM Platform as soon as possible (typically the day after sell trade where settlement periods are the same).
No minimum sale size; minimum buy size is £10.

Please note that trades cannot be cancelled once submitted.
All trades are from GBP cash. 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.

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Dealing: switching

Switch

Description	Amount	Switch
Sale Proceeds (est)	£494.08	100.00 %
Purchase Amount	£494.08	100.00 %
Amount to Cash (est)	£0.00	0.00 %

Sell

Order Type	Security Description	Sedol	Quantity / Amount	Percentage of Current Holding
Sell Units	ABERDEEN STANDARD FUND MANAGERS LTD ASI UK REAL ESTATE SHARE I ACC	B0XWNN6	222.84	100.00 %

Add Buy

Security

Enter a security name or SEDOL. Use Favourite Funds

Amount **Transaction Format** **Transaction Fee**

Add

Buys

Order Type	Security Description	Sedol	Quantity / Amount	Percentage of Current Holding
Invest Cash	7IM SUSTAINABLE BALANCE S ACC	BJBPWR7	£247.04	50.00 % ✕
Invest Cash	7IM AAP BALANCED S ACC	BJBPWW2	£247.04	50.00 % ✕

Accept Cancel

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)
 - Includes tick box to confirm you have client permission and have disclosed DFM fees when investing in a DFM model (watch DFM MPS video [here](#))
- 7IM Platform will calculate any necessary sale trades (Sell Units) and buy trades (Invest Cash).
- No minimum sale size. Minimum £1 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 the 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.

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Dealing: rebalancing

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

Client Benson, Mrs Jasmine **Portfolio** ISA Available Cash **£1,721.43 (excluding cash buffer of £0.00)** [Use Portfolio Group](#)

7IM Blended Adventurous Model Portfolio (Adventurous) 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
Benson, Mrs Jasmine;ISA								
▶	Rebalance	7IM Blended Adventurous Model Portfolio	ISA		Benson, Mrs Jasmine		16	25 ✕

Please note that trades cannot be cancelled once submitted, so please check that everything is correct before submitting them.

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Monitor trades

16/03/2020 23/09/2020 [View](#)

[In Progress](#) [Completed](#) [Not Submitted \(2\)](#)

[Export to Excel](#)

Type	Status	Submitted Date	Client Name	Input By	Portfolio Name	Description	SEDOL	Quantity/Cash	Number of Sells	Number of Buys																						
Invest Cash	Complete	17/03/2020 12:30:41	Chandler, Noah	Debra Wurm	SIIP	VANGUARD INVESTMENTS UK LTD LIFESTRATEGY 100 PERCENTAGE EQTY ACC NAV	B41XG30	£92,912.98	0	1																						
		<table border="1"> <thead> <tr> <th>Status</th> <th>Trade ID</th> <th>Bargain Reference</th> <th>Submitted Date</th> <th>Type</th> <th>Description</th> <th>Contract Note</th> <th>Quantity/Cash</th> </tr> </thead> <tbody> <tr> <td>Allocated</td> <td>7928228</td> <td></td> <td>17/03/2020 12:30:41</td> <td>Invest Cash</td> <td>VANGUARD INVESTMENTS UK LTD LIFESTRATEGY 100 PERCENTAGE EQTY ACC NAV</td> <td></td> <td>£92,912.98</td> </tr> </tbody> </table>		Status	Trade ID	Bargain Reference	Submitted Date	Type	Description	Contract Note	Quantity/Cash	Allocated	7928228		17/03/2020 12:30:41	Invest Cash	VANGUARD INVESTMENTS UK LTD LIFESTRATEGY 100 PERCENTAGE EQTY ACC NAV		£92,912.98													
Status	Trade ID	Bargain Reference	Submitted Date	Type	Description	Contract Note	Quantity/Cash																									
Allocated	7928228		17/03/2020 12:30:41	Invest Cash	VANGUARD INVESTMENTS UK LTD LIFESTRATEGY 100 PERCENTAGE EQTY ACC NAV		£92,912.98																									
		<table border="1"> <thead> <tr> <th>SEDOL</th> <th>ISIN</th> <th>Unit Price</th> <th>Quantity</th> <th>Gross Consideration</th> <th>Transaction Fee</th> <th>Stamp Duty</th> <th>PTM Levy</th> <th>Transaction Charge</th> <th>Net Consideration</th> <th>FX Rate</th> </tr> </thead> <tbody> <tr> <td>B41XG30</td> <td>GB00B41XG308</td> <td>183.27998113</td> <td>506.9466</td> <td>£ 92,912.98</td> <td>£0.00</td> <td>£0.00</td> <td>£0.00</td> <td>£0.00</td> <td>£ 92,912.98</td> <td>1</td> </tr> </tbody> </table>									SEDOL	ISIN	Unit Price	Quantity	Gross Consideration	Transaction Fee	Stamp Duty	PTM Levy	Transaction Charge	Net Consideration	FX Rate	B41XG30	GB00B41XG308	183.27998113	506.9466	£ 92,912.98	£0.00	£0.00	£0.00	£0.00	£ 92,912.98	1
SEDOL	ISIN	Unit Price	Quantity	Gross Consideration	Transaction Fee	Stamp Duty	PTM Levy	Transaction Charge	Net Consideration	FX Rate																						
B41XG30	GB00B41XG308	183.27998113	506.9466	£ 92,912.98	£0.00	£0.00	£0.00	£0.00	£ 92,912.98	1																						
Liquidate	Complete	17/03/2020 09:37:22	Hale, Elizabeth	Holly Bruce	ISA				5	0																						

You can view trades done by others (e.g. a DFM) in the Orders on Behalf section:

Wealth Manager List

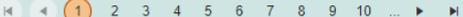
Wealth Managers	Number of Clients				
Talbot, Mr Jeffery	2	Show Clients	Show Orders On Behalf	Show Orders	Show Asset Transfer
Leyva, Mr Joseph	83	Show Clients	Show Orders On Behalf	Show Orders	Show Asset Transfer
Sims, Mrs Kayleigh	239	Show Clients	Show Orders On Behalf	Show Orders	Show Asset Transfer
Wallace, Mrs Madeleine	1	Show Clients	Show Orders On Behalf	Show Orders	Show Asset Transfer
Total	325				

Check trades complete successfully in 'my orders'. This shows trades 'In progress', 'completed' and 'not submitted'. Any trades in 'not submitted' should be reviewed immediately.

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Unlinking from / linking to DFM Model

DFM Model Portfolios						
DFM	Model Portfolio Name	Total AUM  ↓	Last Rebalanced Date			
▶ Teston Gas	Betafolio ESG (No REITs) 60	£20,017,545.63	08/09/2021 11:45	 Link	 Unlink	
▶ Mose Financial Service Corporation	EQ Positive Impact Balanced	£16,300,776.41	18/11/2021 15:29	 Link	 Unlink	
▶ Mose Financial Service Corporation	EQ Future Leaders Balanced	£8,844,768.59	17/11/2021 15:32	 Link	 Unlink	
▶ Mose Financial Service Corporation	EQ Positive Impact Cautious	£8,783,979.57	18/11/2021 15:30	 Link	 Unlink	
▶ Schendel Telecommunications	SCore Responsible Equity 40	£5,171,406.16	30/06/2021 14:11	 Link	 Unlink	
▶ Mose Financial Service Corporation	EQ Future Leaders Cautious	£4,816,655.53	17/11/2021 15:34	 Link	 Unlink	
▶ Teston Gas	Betafolio ESG (No REITs) 80	£4,492,504.03	08/09/2021 11:46	 Link	 Unlink	
▶ Mose Financial Service Corporation	EQ Positive Impact Adventurous	£4,338,735.74	18/11/2021 15:27	 Link	 Unlink	
▶ Vrabel & Co	LGT Vestra Growth	£3,527,779.55	10/11/2021 14:36	 Link	 Unlink	
▶ Mose Financial Service Corporation	EQ Future Leaders Adventurous	£3,468,267.76	17/11/2021 15:31	 Link	 Unlink	


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To unlink an account from a DFM model or to link it without rebalancing, go to: **Tools > DFM Model Portfolios**
 Watch the video [here](#) for more about how to do this.

For a full list of clients in DFM models go to: **Reports > DFM Reports > DFM Model Portfolios**

For a history of linking / unlinking clients in DFM models go to: **Reports > DFM Reports > DFM Model History**

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.

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Account linked to DFM Model

Summary					Client Details	Manage Investments	Assets in Transfer	Charts	Asset Allocation	Fees	CGT
+ Add new account Link Client											
Account										Value (£)	
▶ Advised Individual Investment Account										0.00	
▲ Advised ISA										90,353.85	
Portfolio			Portfolio Reference	Valuation Date	Cash Balance (£)	Current Value (£)					
ISA Dealing Portfolio			Linked to 7IM Blended Balanced Model Portfolio (Balanced)		18/01/2022	1,755.38	90,353.85				
Total Value : 90,353.85											

For a full list of clients that are linked to a DFM model, go to:
Reports > DFM Reports > DFM Model Portfolios
 Watch the video [here](#) for more about using this data.

Portfolio is 'flagged' as being linked to a DFM and the name of the model that the portfolio is linked to appears. This will also appear in the client's [quarterly statement](#) and in the ad-hoc [Client Review Reports](#) you can create.

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Valuations (inc historical valuation)

Summary Assets in Transfer Positions Transactions Orders in Progress Orders Complete Charts Asset Allocation Ini ▶										
Export to Excel										
Quantity	SEDOL	Description	Fact Sheet	Total Cost (£)	Price	Market Value (£)	Assets %	Yield %	Gain / Loss (£)	
Cash										
15.68	CASH	CASH (GBP)		15.68		15.68	0.11		0.00	
Cash Total				£ 15.68		£ 15.68	0.11		£ 0.00	
GBP Mutual Funds										
9,669,928	BJBPX07	7IM AAP ADVENTUROUS S ACC		12,311.52	1.4309	13,836.70	99.89	1.28	1,525.18	Buy Sell
GBP Mutual Funds Total				£ 12,311.52		£ 13,836.70	99.88		£ 1,525.17	
TOTAL PORTFOLIO				£ 12,327.20		£ 13,852.38	100.00	1.28	£ 1,525.17	

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

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

Sullivan, Mrs Laura

Select Account and Portfolios

Mrs Laura Sullivan
 Mrs Laura Sullivan Advised Individual Investment Account
 Dealing Portfolio

Mrs Laura Sullivan Advised ISA
 ISA Dealing Portfolio

Date

23/09/2019

Report Format

PDF

Generate Report

You might also want to create a **Client Review (investment) Report (CRR)** For more about this, click [here](#).

Positions = valuation. Click on fund name to get the latest factsheet (powered by Morningstar).

MiFID reportable securities

- 7IM have to report transaction details for any client trading a **reportable security**.
- A reportable security is one that is listed on a recognised exchange, such as a share, gilt, or ETF.
- There is a column in the Security Search screen and also the Client Holdings report to show whether an investment is reportable or not and which clients hold it.

Sedol	Description ↑	MiFID Reportable	ISA Eligible	Offshore Bond Eligible	Initial Charge	OCF	SDR Label	CFD	KIID	Fact Sheet	Add to Favourites List
B1W5MJ2	ISHARES II PLC BIC 50 UCITS ETF USD DIST	Yes	Yes	Yes	0.00%	0.74%	Not Applicable				<input type="checkbox"/> <input type="button" value="Add"/>

1 - 1 of 1 items

MIFID dealing restrictions

Where an account is restricted due to a lack of mandatory MIFID information, the following dealing restrictions will apply (when attempting to trade in a reportable security):

Order Type	Restriction
Invest Cash / Raise Cash Buy Units / Sell Units	The order will fail on the order sheet.
Model Portfolio / Proportional Sell / Liquidate / Switch	The reportable securities within a group order will fail on the order sheet. The failed order(s) can be removed, allowing the remaining orders to be submitted.
Rebalance (Adviser Model)	The reportable securities within a rebalance will fail on the order sheet. The failed order(s) can be removed, allowing the remaining good orders to be submitted.
Rebalance (DFM Model)	The rebalance will be blocked from being created. An on-screen alert will state the account has been blocked for DFM models containing MIFID reportable securities.
DFM Rebalance	When a DFM rebalances a model that contains a MIFID reportable security, 7IM will unlink any MIFID-restricted accounts from the DFM model group. You can <u>relink</u> once it is sorted. Portfolios delinked by 7IM following a DFM model rebalance will be reported within the DFM Rebalance Exclusions report (Reports > DFM Reports).

Regular Investments – it will not be possible to set up a regular investment into a reportable security for a restricted account. Any regulars into a model portfolio will exclude the reportable security.

MiFID complex securities

- You will be able to buy complex securities via our platform.
- Responsibility for appropriateness and advice is with you.
- You will have to confirm this via the usual order confirmation screen when placing trades on our platform:

Confirm Order Submission

By clicking the Confirm button you accept the below information and confirm that, where appropriate to do so, required documents including Key Investor Information Documents (KIIDs) have been provided to the underlying investor.

- You are responsible for ensuring that all order details are correct. Any transaction carried out will be a valid and binding obligation. You agree to indemnify 7IM against any loss, damage, cost, expense or payment incurred, and make good any loss suffered by any 7IM Platform client, arising from or in connection with any error made by you.
- We operate an order execution policy which sets out how we provide dealing services through the 7IM Platform, including how we deal with investment instructions and the price we obtain for clients when executing investment instructions. A copy of our order execution policy is available [here](#).
- When a portfolio with an active Regular Investment is rebalanced we will update the regular investment instruction to match the target allocation of the model.
- If you wish to withdraw any proceeds from sales placed, please go to the Cash Movement screen and complete a withdrawal instruction.
- This order contains a MiFID II Complex Security. You are responsible for ensuring that if required under FCA Rules an Appropriateness Test has been satisfactorily performed.

Confirm **Cancel**

Regular contributions

- Direct debits (DDs) can be set up for individual GIA, ISA, & 7IM SIPP as part of the [account opening process](#). Not available for joint GIA or JISA yet.
- For existing GIA or ISA accounts, new DDs can be set up digitally without signature. Transactions > Regular > Investment > Instruction
- For existing 7IM SIPP accounts, please send us a completed [Contribution Form](#) (this will become a digital process in 2026)
- DD must be from client's nominated bank account (own or joint)
- Client's email address is mandatory (as all DDs will be confirmed by email)
- Collection on 1st or 15th each month
- For ISAs, DD cash will be added to GIA to begin with and then subscribed automatically into ISA
- Minimum DD £50pm (net if pension)
- Invested as per the [Standing Investment Instruction](#)
- No minimum investment per fund (but only whole numbers of ETF/IT shares can be bought)
- To view all DDs, go to: Transactions > Regular > Investment > Summary

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Regular contributions



T (e.g. 1st March)

Money is collected from client's nominated bank account.



T + 2 (e.g. 3rd March)

GIA/ISA - money received by our custodian, Pershing. ISA subscriptions made.

7IM SIPP - money received into SIPP bank account + any tax relief added.



T + 3 (e.g. 4th March)

GIA/ISA - Contribution & ISA subscription visible on 7IM platform. Trades placed by 7IM.

7IM SIPP – money (contribution + tax relief) sent from SIPP bank account to Pershing.



T + 4 (e.g. 5th March)

-

7IM SIPP - Contribution visible on 7IM platform. Trades placed by 7IM.

T is either 1st or 15th depending on which date you have selected.
Next working day if 1st or 15th is weekend or bank holiday.
T+2/3/4 refers to number of working days after the collection date.

T is either 1st or 15th depending on which date you have selected. Next working day if 1st or 15th is weekend or bank holiday.
T+2/3 refers to number of working days after the collection date.

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Regular withdrawals

Instructions Summary										
Export to Excel						Clear filters				
Type	Wealth Manager	Provider	Client	Account Type	Account	Source Portfolio	Frequency	Instruction Date	Amount(£)	Last Actioned
Withdrawal	Fitzgerald, Mr Declan		Robertson, Mrs Rhiannon	Advised Individual Account			Monthly	1st	500.00	✓
Sell & Withdrawal	Bateman, Mrs Mildred		Simans, Mr William	Advised Individual Account			Monthly	1st	110.00	✓
Sell & Withdrawal	Bateman, Mrs Mildred		Simans, Mr William	Advised ISA Account			Monthly	1st	140.00	✓

- Three types of instruction:
 - **Withdrawal** – payments from existing cash
 - **Sell & withdrawal** – sell each month, then pay out
 - **Sell** – sell each month and retain in account
- All instructions set up and amended online (click [here](#) for FAQ or [here](#) for video)
- All withdrawals automatically routed via a unique sub-account (suffix 'R')
- GIA/ISA payments can be on any date of the month / quarter / year
- 7IM SIPP payments on 1st, 8th, 15th, or 22nd of each month (click [here](#) for more)
- Colour-coded status to highlight any payments that will fail or have failed

Go to **Transactions > Regular > Withdrawal & Sell Down**

All sells will be carried out 6 working days before withdrawal (this will be longer for SIPP withdrawals). Withdrawals from 3rd party accounts require authorisation first.

Please amend any regular withdrawals before you close a portfolio as the regular withdrawal will be cancelled upon closure of that portfolio

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7IM SIPP income & withdrawals

- **PCLS** paid at any point in the month.
 - Typically 5 working days from receipt of *Taking Benefits* form to payment
 - Needs cash available to pay out (sales required if no cash)
- **Income** paid through payroll on **1st, 8th, 15th, or 22nd** (see timeline below for deadlines)
 - Needs cash available (set up regular sales or create a cash pot)

10 working days before

Cut off to receive one of these forms:

- **Taking Benefits**
- **Pension Income**
- **Existing Income Amendment**

5 working days before

Cut off for cleared / settled cash (from transfers or from sales) to be available on platform.

1st 8th
15th or
22nd
Client paid

These forms will be replaced by a fully digital process in 2026

Please note that transfers need to be complete before any income can be paid out from that money.

Click [here](#) to find out more about our **Tailored Drawdown** (phased drawdown) option
Click [here](#) for more information about setting up or managing withdrawals from 7IM SIPP

Please send us a copy bank statement or cheque with the form to verify client's bank account

If you wish to avoid emergency tax being applied please send us a current P45 or HMRC Starter checklist form.

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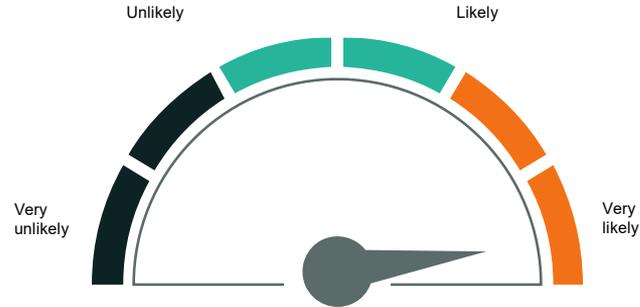
Retirement Income Solution

For clients requiring an income from GIA, ISA, or pension wrappers

- One investment strategy for clients who require a long-term stream of income from their investments, such as those in pension drawdown, is to split the total investment into different 'buckets' that have different time frames for use.
- The multiple sub-account structure that the 7IM platform has is used to create different 'buckets' for different time horizons.



For a technical guide to our Retirement Income Solution click [here](#).



For more about how we can help you manage a client's income requirements, then ask us about our award-winning Retirement Income Solution.

For a video showing how to use the Retirement Income Solution tool on our platform click [here](#)

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Secure Lifetime Income (SLI) from Just

- **SLI** is insured guaranteed income for life
- Sustainable income
- Not dependent on investment performance
- Death/cash-in value in early years
- Can be held alongside other assets in [7IM SIPP](#)
- Held by SIPP, not client directly
- Income paid monthly into 7IM SIPP cash on 1st
- [Withdrawals from 7IM SIPP](#) in the usual way
- Withdrawals are independent of SLI
- SLI can form part of a client's SIPP income
- Can be used within a [RIS](#) plan to increase success

Click [here](#) to find out more about how to open and use our 7IM SIPP

For more about **SLI** click [here](#)

For more about how **SLI** works click [here](#)

For an adviser guide to **SLI** click [here](#)

For more about **Just** click [here](#)

Ad-hoc withdrawals & cash movements

- GIA/ISA Withdrawals
 - All payments out by CHAPS free of charge (midday cut-off)
 - Withdrawals require cleared/settled cash
 - Withdrawals can be input after sales and will 'queue' pending settlement
 - Click [here](#) to watch a video on how to do this
 - Use **Transactions > Cash Movements > Cash Withdrawal** to instruct
- 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 14.30)
- Click [here](#) for more about withdrawals from a 7IM SIPP, as this will require a crystallised pension pot.

Any 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.

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Bed & ISA

Bed and ISA Instruction

Client Name
Cope, Mrs Isabel

From Portfolio
Individual Investment Account Proportional Sale

To Portfolio
ISA

For a video on this tool click [here](#)

ISA subscription can be funded by:

- Proportional sales
- Specific fund sales
- Existing cash

Sell

Quantity	SEDOL	Description	Total Cost (£)	Price	Market Value (£)	Gain/Loss (£)	Raise Cash Amount	Percentage Amount
31.457	B5WM6Y4	AXA INVESTMENT MANAGERS UK LTD US SHT DURATION HIGH YLD BD ZI GROSS ACC	47.26	1.505	47.34	0.08	£ 20.00	42.25 %
0.700	0601492	BAILLIE GIFFORD & CO JAPANESE SML COS B NAV ACC	34.86	62.46	43.72	8.87	£ 13.12	30.00 %

ISA Subscription

ISA Subscription Year	2020/2021	Estimated subscription from this transaction	£33.12
Remaining ISA allowance before transaction	£20,225.00	Estimated remaining ISA allowance after transaction	£20,191.88

CGT top tip!
To estimate the capital gains on a proportional sale, multiply the Percentage Amount proportion in the Sell section by the total Gain/Loss figure.

Don't forget our ISA is a flexi ISA so you can replace any withdrawals made in the same tax year.

Go to: Transactions > Bed & ISA > Instruction

Instruction cut-off is 2.30pm. Instruction will be processed the same day. All trades in GIA and ISA will be placed at the same time.

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Bed & ISA

Buys in ISA can be:

- Into a linked DFM model
- Into your own model
- Into your selection of funds
- Replicated from the GIA sales

All GIA sale trades and ISA buy trades will be placed at the **same time** to minimise any out-of-market time. No additional charges for using bed & ISA tool.

Buy

Model Portfolio

LGT Vestra Growth (Moderately Adventurous) Use Securities

Copy sales Clear

Estimated Quantity	SEDOL	Description	Price	Invest Cash Amount	Percentage Amount	Remove
0.560	0601492	BAILLIE GIFFORD & CO JAPANESE SML COS B NAV ACC	62.46	£ 35.00	3.50 %	
2.506	3387476	FIRST STATE INV (UK) ASIA PACIFIC LEADERS B NAV	9.9748	£ 25.00	2.50 %	
2.962	B0CNGT7	LEGAL & GENERAL(UNIT TRUST MNGRS) L&G US INDEX TRUST(I)ACC	7.428	£ 22.00	2.20 %	
7.667	B18B9X7	LFS LTD LF LINDSELL TRAIN UK EQUITY ACC	4.6956	£ 36.00	3.60 %	

You can also use this to restart a lapsed ISA. We will write directly to the client to confirm this action.

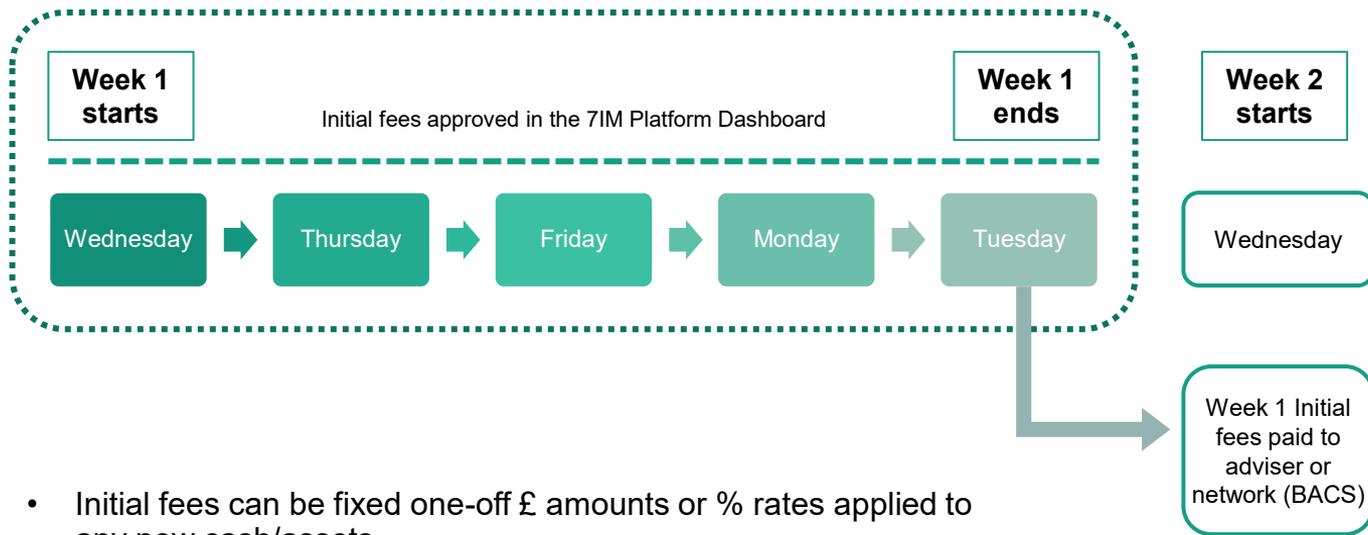
I can confirm that my client has read and agreed to an ISA declaration for the current tax year.

Submit History

Go to: Transactions > Bed & ISA > Instruction

Instruction cut-off is 2.30pm. Instruction will be processed the same day. All trades in GIA and ISA will be placed at the same time.

Initial fees: paid weekly



- Initial fees can be fixed one-off £ amounts or % rates applied to any new cash/assets.
- % fee rate applies to the value of cheque/deposit/re-reg asset.
- As new ISA subscriptions 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.

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Initial fees dashboard

Initial Fees

From To

Awaiting Approval In Progress Completed Cancelled

bold denotes editable cells **colour denotes modified cells** Cancel Approve 2 of 2 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 checked="" type="checkbox"/>
<input type="text"/>	Short, Mr Ls	<input type="text"/>	<input type="text"/>								
Beck, Mr Mark	Short, Mr Leon	SIPP		01/09/2020	CASH	£254.00	1.00 %	£2.54	<input type="text"/>	£6,370.01	<input checked="" type="checkbox"/>
Beck, Mr Mark	Short, Mr Leon	SIPP		01/09/2020	CASH	£253.20	0.50 %	£1.27	<input type="text"/>	£6,370.01	<input checked="" type="checkbox"/>

1 of 2 items per page

- Fee % or £ can be amended (downwards only) prior to approval.
- Which account the fee is taken from (*Fee Source Portfolio*) can be changed (eg ISA transfer fees from GIA).
- *Source Cash* lets you know if there is enough cash to pay the fee (if not then fund sales will be required).
- Unwanted fees (eg on in-specie transfers) can be cancelled. Wanted fees need to be approved.
- Approved fees will be deducted from the client's 7IM account on the day of approval (if before 17:00).

Practice> Initial fees > Awaiting Approval

All initial fees need to be approved online before they can be paid. Weekly cut-off is 17:00 on Tuesday for Wednesday BACS payment.

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Ongoing fees: paid monthly

In client's account:

Summary	Assets in Transfer	Positions	Transactions	Orders in Progress	Orders Complete	Charts	Asset Allocation	In	
Start Date	09/09/2020	End Date	24/09/2020	View					
Trade Date	Settle Date	Transaction	Quantity	Security / Description	Price	Amount	Charges	Cash Balance	Contract Note
<div style="text-align: right;">Fees</div>									
Currency: GBP Closing Balance: £ 3,697.41									
11/09/2020	11/09/2020	Fees		CASH (GBP) Adviser Ongoing Payment Aug 20 IMF0RFUXSHD		(51.90)	0.00	3,697.41	
11/09/2020	11/09/2020	Fees		CASH (GBP) 7IM Fees Aug 20 for IMF0RFUXSHD		(17.18)	0.00	3,749.31	
11/09/2020	11/09/2020	Fees		CASH (GBP) Adviser Ongoing Payment Aug 20 IMF0RFUXIJD		(124.89)	0.00	3,766.49	
11/09/2020	11/09/2020	Fees		CASH (GBP) DFM Fee Aug 20 for IMF0RFUXIJD		(39.96)	0.00	3,891.38	
11/09/2020	11/09/2020	Fees		CASH (GBP) 7IM Fees Aug 20 for IMF0RFUXIJD		(40.81)	0.00	3,931.34	

Use Transaction filter and date range to view fees over a chosen period. ISA fees can be deducted from Individual or Joint GIA. Any increase in fees needs a signed authority from the client

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Ongoing fees: how to monitor

Fees tab for each client's wrapper shows all fee rates

Portfolio	Fee Description	Fee Start Date		
71M Fee				
All Portfolios	Platform Fee	29/10/2025		
Fee Kind		Fee Amount		
Non-71M Holdings		Tiered Fee		
71M Funds		Tiered Fee		
Cash		Nil Fee		
Adviser Ongoing Fee				
Portfolio	Fee Description	Fee Start Date	Is Cash Included	
All Portfolios	Adviser Ongoing Fee	29/10/2025	Y	
Fee Kind		Fee Amount		
All Holdings		1.000%		
DFM Fee				
Portfolio	Fee Description	Fee Start Date	DFM Provider	DFM Model Portfolio
IMF XSHD	DFM Model Fee	29/10/2025	Vidaurri Energy	Hybrid Balanced
Fee Kind		Fee Amount		
All Holdings		0.210%		

Fees deducted & paid monthly in arrears around 20th of each month.

If there is insufficient cash for a fee to be paid we will sell largest fund in client's account and pay the fee the following month.

Downloadable **Ongoing Fees** report shows what fee rates every client in firm is set up on:
Reports > Practice Admin > Ongoing Fees

Plus firm's fee monthly ongoing fee statement
Practice > Statements

Practice	Clients	Tools	Transactions	Reports	Research	[Platform UAT1] - Version 8.30.7563.1 - Built 15/09/2020 02:03		
Summary								
Initial Fees								
Statements								
Assets In Transfer	019		End date: 24/09/2020			Update Statements		
Wealth Managers								
Statement Type	Recipient	Owner	Period	Created	Comments	Offshore	71M Statement	Back Office Upload File
Ongoing Payment	Wealth Manager Practice	MoJunkin Exchange	August 2020	03/06/2020			Download	Upload
Ongoing Payment	Wealth Manager Practice	MoJunkin Exchange	July 2020	19/08/2020			Download	Upload
Ongoing Payment	Wealth Manager Practice	MoJunkin Exchange	June 2020	20/07/2020			Download	Upload
Ongoing Payment	Wealth Manager Practice	MoJunkin Exchange	May 2020	19/06/2020			Download	Upload

Changing fee rate

- **Reduction** in fee rate: email 7IM (no client authority required)
- **Increase/addition** of fee rate: use this form signed by the client
- Use this form if fees are to be changed from the level set on the application.
- To change which account we collect fees from, email 7IM
- **Charge ad-hoc** fee: use this form signed by the client with fee detail
- Send all forms to platformmailbox@7im.co.uk

**Instruction To Amend
Initial Or Ongoing Payments
(Platform)**

PLEASE PRINT CLEARLY IN BLOCK CAPITALS AND COMPLETE ALL APPLICABLE SECTIONS OF THIS FORM.

Section 01 Client details

Your account number:

Client name:

Section 02 Initial payments to be updated

You agree to your Financial Adviser receiving the below payments per contribution into the listed portfolio(s), including any transfers and regular contributions.

Portfolio number(s)	Percentage Value or Fixed Value:
<input type="text"/>	<input type="text"/> % or £ <input type="text"/>
<input type="text"/>	<input type="text"/> % or £ <input type="text"/>
<input type="text"/>	<input type="text"/> % or £ <input type="text"/>
<input type="text"/>	<input type="text"/> % or £ <input type="text"/>

The initial fee will change from the date we receive the form.

Section 03 Ongoing charge to be updated

You agree that your Financial Adviser will receive an ongoing fee (as a % of the value of your investments or a fixed value) as specified below:

Portfolio number(s)	Percentage Value or Fixed Value (per annum):
<input type="text"/>	<input type="text"/> % or £ <input type="text"/>
<input type="text"/>	<input type="text"/> % or £ <input type="text"/>
<input type="text"/>	<input type="text"/> % or £ <input type="text"/>
<input type="text"/>	<input type="text"/> % or £ <input type="text"/>

Please note that any changes will be effective from the first of the following month.
Values are calculated using average daily asset balances.



Fees can only be changed from the date authority received by 7IM.
All adviser fees have to be agreed in writing by your client.
Reports > Practice Admin > Initial / Ongoing Fees to check existing set up

Reports available online

- Cash holdings (£ and %)
- Fund holdings (aggregated by fund or clients in a fund)
- DFM model clients: model history, all clients in models, portfolio drift, rebalance exclusions
- SIPP information (contributions, carry forward, withdrawals, beneficiary, etc)
- New inflows (includes cash and in-specie transfers) (click [here](#))
- ISA subscriptions (includes GIA values for possible bed & ISA)
- Regular withdrawals (fixed £ and natural income sweeps)
- Account values (inc. historical values)
- Fee rates by account (inc. family group linking and DFM fees)
- Individual client valuations and transactions
- CGT (click [here](#))
- Client statements (click [here](#))
- Adviser Fee statements (initial and ongoing fees)
- Contract notes (click [here](#))

You can also export lists of trades placed, regular investments set up, your client list, portfolio groups, model portfolios.

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CGT reporting: online

CGT dashboard summary in client's account:

Capital Gains Tax Dashboard		Realised Gains and Losses							
Export to: Excel PDF									
Current Tax Year	2020 / 2021	CGT Allowance	£12,300.00						
Realised Gain/Loss	£6,700.46	Total Allowable Loss Brought Forward	£0.00						
Unrealised Gain/Loss	£97,838.80	Unused Allowable Loss Brought Forward	£0.00						
Unused CGT Allowance	£5,599.54								
Unrealised Gain/Loss Positions									
Mrs Sarah Burke - Discretionary Individual Account									
Portfolio ID	Quantity	SEDOL	Description	Unit Price	CGT Cost	Market Value	Notional Gain / Loss	Notional Gain / Loss	
170866.701	B2PB2M7		7IM AAP MODERATELY ADVENTUROUS C ACC	£1.8186	£248,186.09	£310,738.18	£62,552.09	20.13 %	✓
19990.449	B1LBFZ8		7IM SUSTAINABLE BALANCE C ACC	£1.7830	£29,554.95	£35,642.97	£6,088.03	17.08 %	✓
25097.2389	B1RON64		FUNDROCK PARTNERS LIMITED FP MITON INCOME A GBP DIS	£0.7129	£0.00	£17,890.57	£17,890.57	100.00 %	✗
32621.302	3059979		PREMIER PORTFOLIO MANAGERS PAN EUROPEAN PROPERTY A DIS	£0.6504	£9,908.78	£21,216.89	£11,308.11	53.30 %	?
Total					£287,649.82	£385,488.61	£97,838.80		

Gain/loss figures rely on accuracy of book cost data.

GREEN: Verified. All buys & sells done by 7IM.

ORANGE: Unverified (i.e. book cost data for transfer sourced from outside 7IM).

RED: No data for transfer in, so it needs attention.

You can edit most orange or any red positions.

CGT allowance and total B/F losses can be edited to reflect gains or losses incurred outside 7IM.

As we don't get book cost data with electronic in-specie transfers, we recommend you get this data from the current provider for each holding before starting in-specie transfers so you can input online once the transfer has completed.

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CGT reporting: online

Realised Gains/Losses in client's account:

Summary	Assets in Transfer	Charts	Asset Allocation	Fees	CGT	Regular Investments	Regular Withdrawals	
Capital Gains Tax Dashboard		Realised Gains and Losses						
Tax Year	2020 / 2021					Export to: Excel PDF		
Total Chargeable Gain	£3,010.18	Allowable Losses Carried Forward	£0.00					
Total Allowable Loss	£0.00	Allowable Losses Brought Forward	£0.00					
Net Chargeable Gain (Allowable Loss)	£3,010.18	CGT Allowance	£12,300.00					
		Unused CGT Allowance	£9,289.82					
		Gain Liable for CGT	£0.00					
Transaction	Trade Date	Portfolio ID	Identification	Quantity	CGT Cost	Proceeds	Realised Gain/Loss	30 Days
▲ 7IM AAP ADVENTUROUS S ACC (BJBPX07)								
Sale	29 Jun 2020		Section 104 holding	30769.365	£40,487.47	£43,492.50	£3,005.03	
Sale	21 May 2020		Section 104 holding	24.095	£31.58	£32.85	£1.27	
Sale	25 Jun 2020		Section 104 holding	24.549	£32.30	£34.49	£2.19	
Sale for Fees	29 Apr 2020		Section 104 holding	24.297	£31.85	£32.46	£0.61	
			Total		£40,583.20	£43,592.30	£3,009.10	
▲ SEI INVESTMENT GLOBAL LTD AGGRESSIVE STERLING WEALTH A GBP (BYV1RB9)								
Sale for Fees	24 Jul 2020		Section 104 holding	2.56	£34.33	£34.49	£0.16	
			Total		£34.33	£34.49	£0.16	

Realised CGT report downloadable for any tax year. Shows all disposals made in taxable accounts for the client. 50% of jointly held asset disposals included on each individual's report.

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CGT reporting: online

UNREALISED CGT REPORT MR NICHOLAS BEAUDOIN					
Security	Quantity	CGT Cost (£)	Unit Price (£)	Market Value (£)	Unrealised Gain/(Loss) (£)
SEI INVESTMENT GLOBAL LTD AGGRESSIVE STERLING WEALTH A GBP (BYV1RB9)					
Section 104 Holding	1,619.08	21,711.84	13.4300	21,744.24	32.40
	1,619.08	21,711.84		21,744.24	32.40

REALISED CGT REPORT: TAX YEAR 06 APR 2020 TO 05 APR 2021 MR NICHOLAS BEAUDOIN								
Transaction	Trade Date	Portfolio ID	Identification	Quantity	CGT Cost (£)	Proceeds (£)	Realised Gain/(Loss) (£)	30 Day
BJBPX07 7IM AAP ADVENTUROUS S ACC								
Sale for Fees	29/04/2020		Section 104 holding 04 Nov 2015	24.297	31.85	32.46	0.61	
Sale	21/05/2020		Section 104 holding 04 Nov 2015	24.095	31.58	32.85	1.27	
Sale	25/06/2020		Section 104 holding 04 Nov 2015	24.549	32.30	34.49	2.19	
Sale	29/06/2020		Section 104 holding 04 Nov 2015	30,769.365	40,487.47	43,492.50	3,005.03	
					40,583.20	43,592.30	3,009.10	

All CLIENTS CGT REPORT TAX YEAR 06 APR 2020 - 05 APR 2021 MRS SHANNON HARRISON MCJUNKIN EXCHANGE									
Client ID	Client Name	Chargeable Gain (£)	Allowable (Loss) (£)	Net Chargeable Gain / (Loss) (£)	Allowable (Losses) B/F* (£)	Allowable (Losses) C/F* (£)	CGT Allowance (£)	Unused CGT Allowance (£)	Gain Liable To CGT (£)
	Mrs Abigail Abbott	0.00	0.00	0.00	0.00	0.00	12,300.00	12,300.00	0.00
	Mr Jacob Abbott	0.00	0.00	0.00	0.00	0.00	12,300.00	12,300.00	0.00
	Mrs Kimberly Adair	0.00	(8.40)	(8.40)	(40.04)	(48.44)	12,300.00	12,300.00	0.00

Unrealised CGT report can be used to help calculate how much to sell to maximise CGT 'efficiency' for planned disposals. Individual reports available on client website – click [here](#) for guide.

MIFID MI reports

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

Report	Content
<u>Complex Securities</u>	The report displays ALL complex securities available on the 7IM Platform, not just those held by clients of a specific practice.
<u>MIFID Restricted Accounts</u>	The report displays any client accounts that are MIFID-restricted by 7IM. Typically, this is due to insufficient information about the client (e.g. NINO, LEI, etc.).
<u>DFM Rebalance Exclusions</u>	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. Reports > DFM Reports > DFM Rebalance Exclusions
<u>Client Holdings By Security</u>	The report displays a Complex Security and MIFID Reportable column. You can identify all MIFID reportable securities held by their clients by selecting the All Securities Held option when running the report.
MIFID Costs & Charges	This report shows all the MIFID costs and charges transaction data for you to be able to calculate your own summary.
Client MIFID relationships	This report shows the MIFID category of each client. Advisory clients will be categorised as 'Execution Only'. This category affects how 7IM report listed securities.

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Client welcome letter

- Client will need to register for online access to their account or to use our app. To register, they will need the following:
 - National Insurance number
 - Access to their email account
- Username will be their email address
- They will create their own password
- For added '2FA' security, they can add their mobile phone number
- For more info about registering click [here](#)
- For more detail, about our client portal, click [here](#)

Welcome letters are sent automatically to clients and contain the client's 7IM reference (IMF....)



28th September 2020

Dear Mrs Smith

Welcome to Seven Investment Management

I am very pleased to confirm that an account has been opened for you, as instructed by your Financial Adviser, and I would like to take this opportunity to welcome you as a client of Seven Investment Management.

Your Financial Adviser will be placing instructions with us in connection with the investments in your account and you will be able to view your holdings, transactions and valuation online.

Your client reference is: IMFXXXX (I m f XXXX)

You should contact your adviser for any account related queries, however if you need to speak to us, you will need to have this reference to hand.

You can keep up to date with your investments via our secure client website or our app, 7IMagine. You will need to register for access either via <https://www.7im.co.uk> or by downloading 7IMagine from the Apple app store, Google Play or Microsoft Store.

To register you will need:

- Your National Insurance Number OR the last 4 digits of the bank account number that we have on record for you
- Your mobile phone to receive a security code
- Access to your email account, to verify your account

If you have any questions, please do not hesitate to contact your adviser. Thank you for choosing to invest with us.

Yours sincerely



Dean Proctor
Chief Executive



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Contract Notes

To switch off paper contract notes on/off (default is off):

Click on 'Client Details' tab in the client area (click [here](#) for video)

Click on 'Contact Details' tab

Tick box to switch off paper CNs

7IM must have the client's email address saved to be able to notify them of this change.

Email Address:
BarbaraDRamirez54706@uat.7im.com

Turn off paper contract notes

✕

Confirm turning off paper contract notes

Are you sure you want to proceed ?

By selecting confirm, an email notification will be sent to the client.

Confirm
Cancel

Contract Note


Mrs Barbara Ramirez
1387 Sunny Day Drive
Los Angeles
CA
90017

Mrs Barbara Ramirez
ISA Dealing Portfolio

We have sold on your behalf in our capacity as Agent

Company: 7IM
Stock: AAP BALANCED S INC

Portfolio Number: IFANO-TR
SEDOL: JBPWX3
ISIN: G800JBPWX30
Bargain Reference: IM46X6FD
Order Type: Block

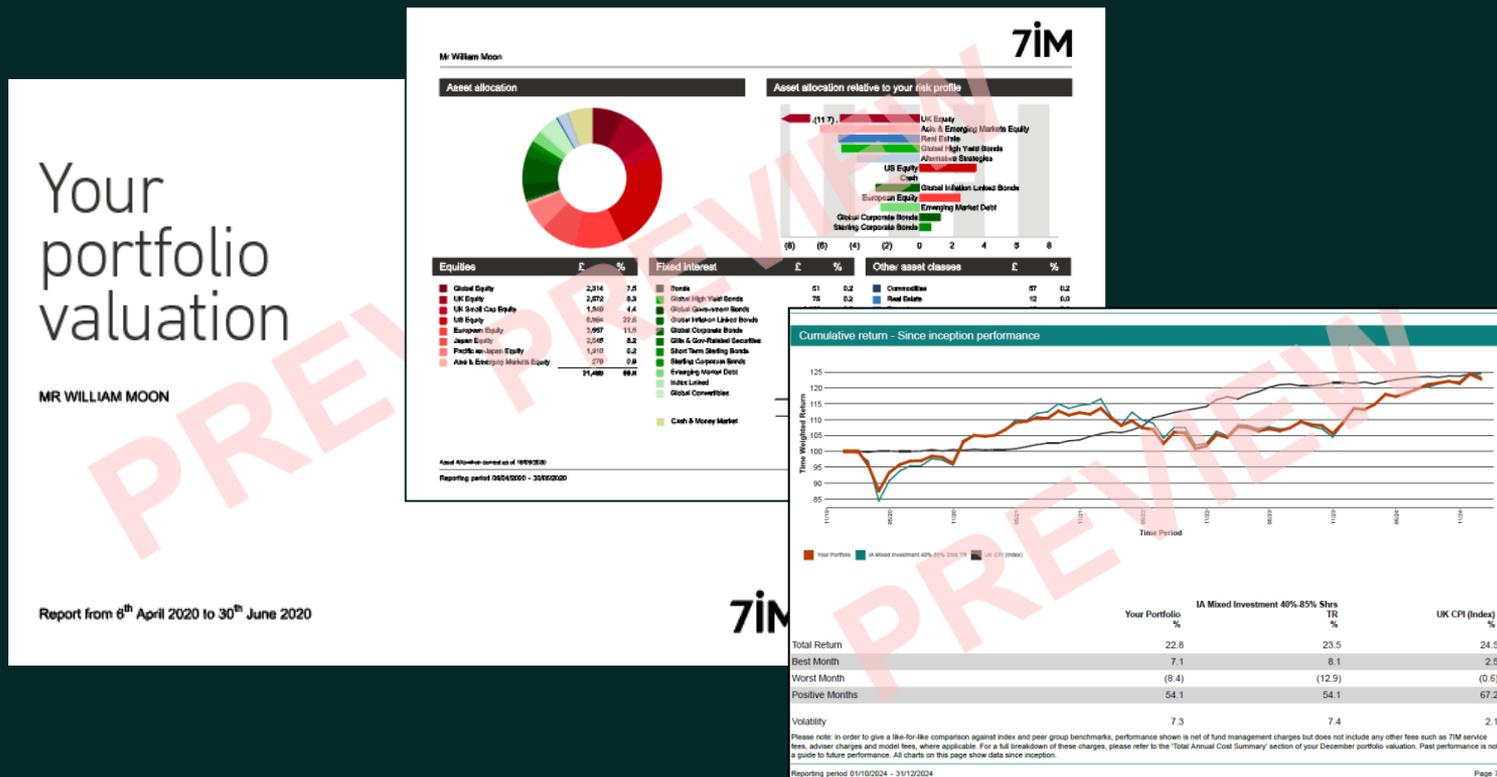
Bargain Date	Settlement Date	Time	Quantity	Price	Consideration
23 Sep 2020	29 Sep 2020	01:00:00	122.032	£1.18820405	£145.00
Commission*					£0.00
Total Charges					£0.00
Total					£145.00

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

A PDF Contract Note is generated for each trade and is viewable online.
Client can opt in to receive paper copies in the post. Paper copies can be turned off online as above.

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Client reporting: statements



Reports will be generated quarterly: 01/01 – 05/04; 06/04 – 30/06; 01/07 – 30/09; 01/10 – 31/12.
Clients will get email notification that their report is available online.

Electronic vs. paper statements

- Default is for clients NOT to receive paper statements, as long as we have their email address so we can notify them that their statement is ready.
- Email address should be input as part of the application process.
- Clients will get an email notification that their report is available to download from the 7IM website.
- Copies of all statements are available on the 7IM platform:
Reports > Client Valuation Reports > Report Pack Monitor.

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Switching off paper statements

Step 1: Ensure 7IM have an email address for that client (ask 7IM if you're not sure).

Step 2: Go online and tick the electronic only reporting box for that client (see instructions below).

Go to **Reports > Client Valuation Reports > Manage Report Groups** and search for client by surname.

Report Group

Basics Clients Accounts **Report Pack Contents** Report Packs

General Settings

- Include Asset Allocation Page
- Include Performance Page
- Include Additional Risk Analysis Charts
- Exclude Closed Accounts in Performance Calculations
- Exclude 'Since Inception' in Investments At A Glance
- Include 7IM Fund Look-Throughs
- Large Text (Visual Improvement)
- Electronic Only**

Manage Report Groups

Please search for a specific report group by entering the surname of a client

Client Surname

abbott

Client Name	Group ID	Group Name
Abbott, Mr Jacob	21013	Lionel Rood

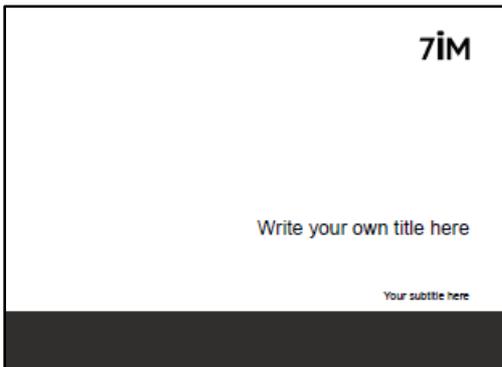
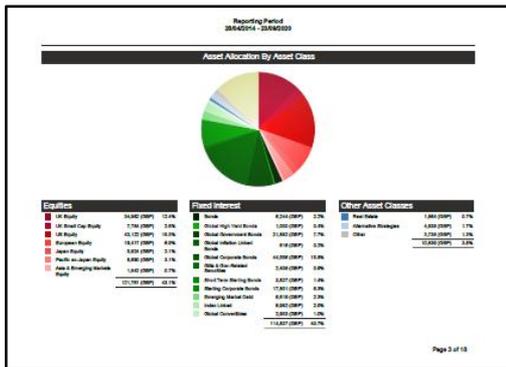
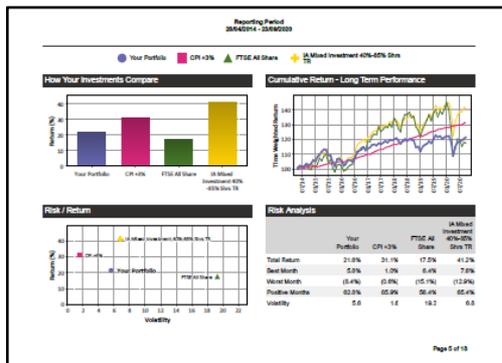
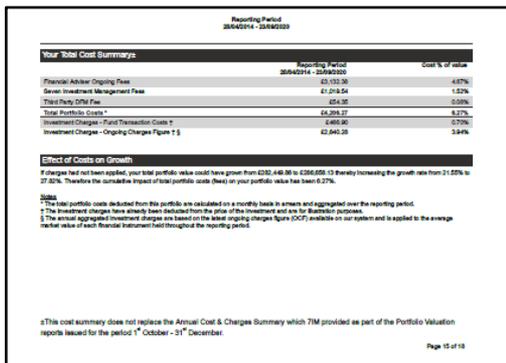
Go to **Report Pack Contents** tab and tick the **Electronic Only** option. Scroll to bottom of page then click **Save**. The process is now complete.

Reports > Client Valuation Reports > Manage Report Groups

Individual reports can be customised and managed by you on the platform. Firm level customisation also available to apply to all clients.

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Client Review Report (CRR)



Click [here](#) for a video about how to create these reports. You choose report period and options within the report. This report can include costs & charges for the period (the % numbers are not annualised – if you want to show an annual figure, choose a period of 12 months).

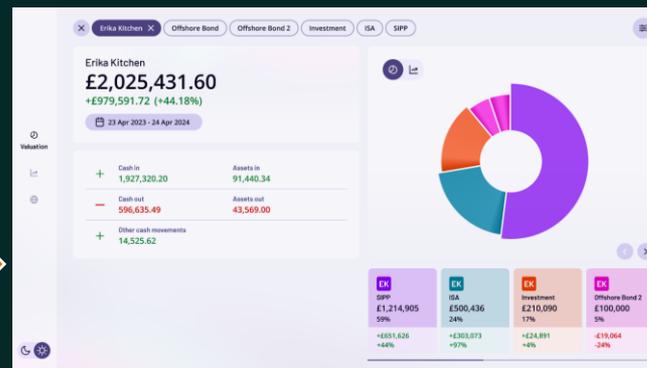
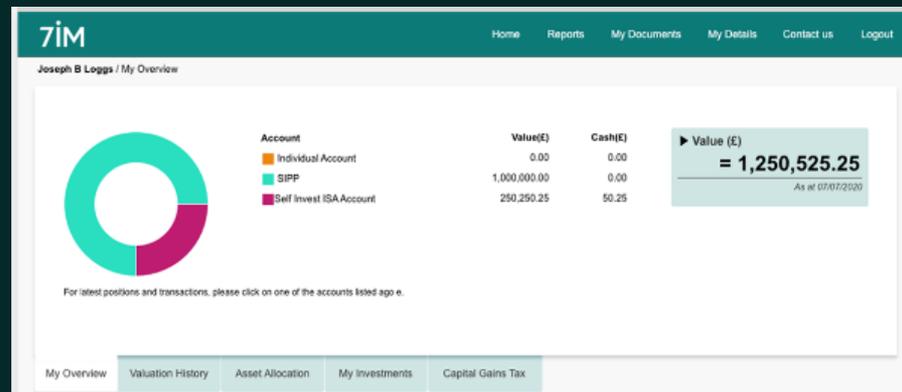
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Client portal

- Client will need to register for online access to their account or to use our app. To register, they will need the following:
 - National Insurance number
 - Access to their email account
- Username will be their email address
- They will create their own password
- For added '2FA' security, they can add their mobile phone number
- For more about what clients can see when they log in and how to register for access, watch the video [here](#).

We will be launching the online reporting view to clients in late 2026 which will replace the current portal view

Clients have a 'View only' [website](#) once registered. For more detail click [here](#).

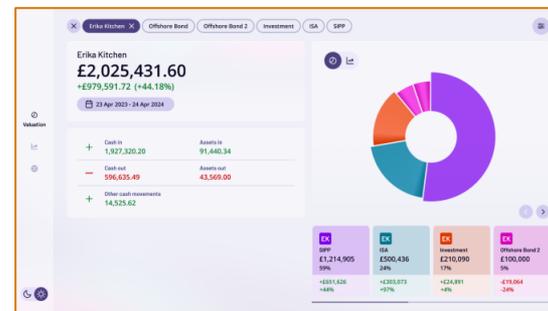


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Client reporting: 7IMagine app



We will be launching the online reporting view to clients as a new app in late 2026 which will replace the current 7imagine app



Free 7IMagine app available for most tablets & phones (& desktop). Use existing platform login details. Click [here](#) for more information about our App.

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3rd party software integration

- 'Integration' includes:
 - Bulk valuations
 - Transactions
- We integrate via the FINIO hub:
 - We send data to FINIO
 - Other software providers collect it from FINIO

Click [here](#) for more information about our direct integration with FE:



Click [here](#) for more information about integration.



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7IM Multi Asset Funds



Sustainable Balance

Ethical & ESG investments
Strategic asset allocation
1% AMC



Pathbuilder

Passive investments
Strategic asset allocation
4 risk profiles
0.22% AMC



Multi Manager

Active managers
Strategic asset allocation
Active tactical asset allocation
4 risk profiles
0.65% AMC



AAP

Passive & active investments
Strategic asset allocation
Active tactical asset allocation
6 risk profiles
0.25% AMC

Click [here](#) for more about our range of funds.

Click [here](#) for 7IM fund factsheets, KIIDs and prices.

S Class Funds are available on the 7IM Platform only and have an AMC 0.25% lower than C Class to offset flat 0.25% platform charge. This doesn't apply to Pathbuilder funds. .

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7IM Discretionary Model Portfolio Service



Responsible Choice

Ethical & ESG investments
Strategic asset allocation
5 risk profiles
0.30% fee



Passive

Passive investments
Strategic asset allocation
6 risk profiles
0.15% fee



Active

Active managers
Strategic asset allocation
Active tactical asset allocation
6 risk profiles
0.25% fee



Blended

Passive investments
Strategic asset allocation
Active tactical asset allocation
6 risk profiles
0.25% fee

Click [here](#) for 7IM Model factsheets and holdings.

Subject to normal platform tiered charges. These models are also available on many other platforms. No VAT on DFM fee.

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7IM & Utmost Offshore Bond

utmost[™]
WEALTH SOLUTIONS

PREMIUM BAND	UTMOST TERMS FOR 7IM CUSTOMERS (FULL INITIAL CHARGE)	UTMOST TERMS FOR 7IM CUSTOMERS (FULL ONGOING CHARGE PA)
£100,000 - £249,999	1.0%	0.20%
£250,000 - £374,999	0.90%	0.18%
£375,000 - £499,999	0.85%	0.17%
£500,000 - £749,999	0.80%	0.16%
£750,000 - £999,999	0.75%	0.15%
£1,000,000.00 - £1,749,999.99	0.70%	0.14%
£1,750,000.00 - £2,499,999.99	0.65%	0.13%
£2,500,000.00 - £3,749,999.99	0.6%	0.12%
£3,750,000.00 - £4,999,999.99	0.55%	0.11%
£5,000,000.00+	0.5%	0.1%

For more about Utmost click [here](#)
Life assured or capital redemption versions – IOM or Dublin
01624 643 251 – welcome@utmostwealth.com

Plus £178 per quarter administration charge



For more information on Utmost's charges, please refer to the **Utmost Charges Guide**.

For more about using third party bond wrappers on our platform click [here](#)

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7IM & Countrywide Onshore Bond

Product charges summary

Value of client assets ¹	Annual administration charge
The first £0 to £100,000	0.25% ²
On the next £400,000 (up to £500,000)	0.20% ²
On the next £500,000 (up to £1,000,000)	0.15% ²
On the balance over £1,000,000.01	0.10% ²



Countrywide Assured

For more about
using third party
bond wrappers on
our platform click
[here](#)

For more information, KFDs, forms, trust documents, charges and further help, click [here](#) to visit Countrywide Assured's website

Minimum investment £50,000

Remember to use the 7IM Platform account opening form **not** the Discretionary or Managed Investment Service forms.

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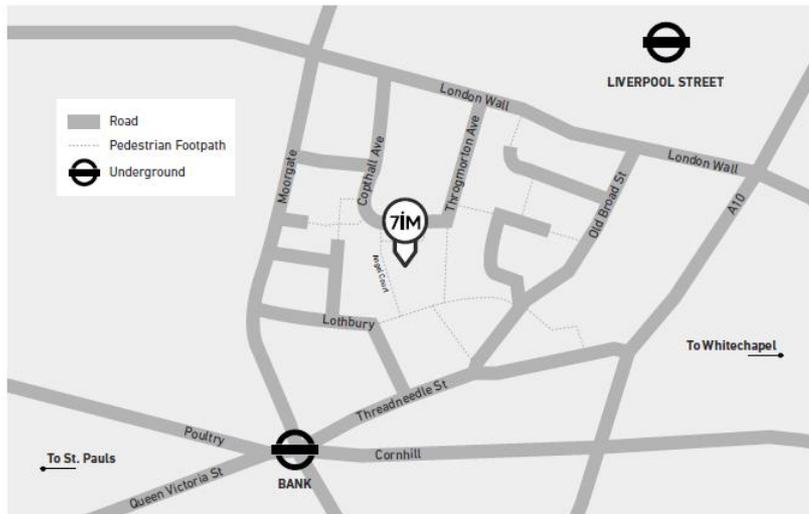
Need further training or help?

- Online **Platform Help Centre**: click [here](#) for videos and documents
- Consumer Duty information: click [here](#)
- Process on death of a client: click [here](#)
- DFM Model Portfolios (including [7IM Models](#) & [3rd Party DFM Models](#))
- 7IM offshore custody platform: click [here](#)
- 7IM Multi-Asset Funds: click [here](#)
- 7IM Investment Updates: click [here](#)
- More information about security of client assets on our platform: click [here](#)
- What we are doing about ESG: click [here](#)

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Our office (you're welcome to visit)

Our address: 1 Angel Court, London, EC2R 7HJ



Click [here](#) for **Platform Service Team** contact details

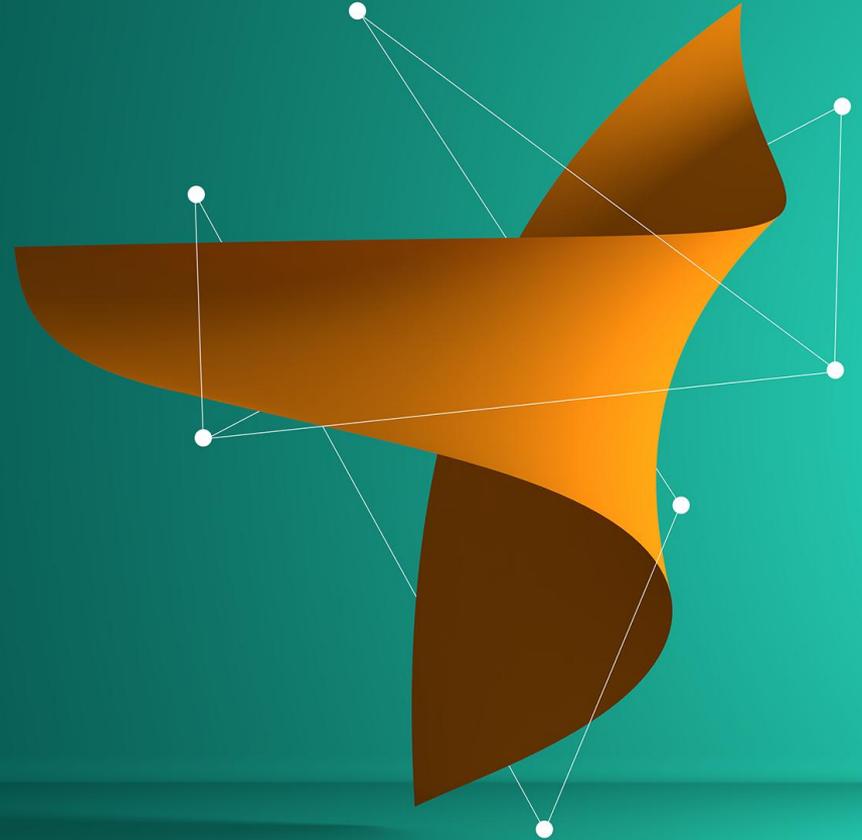
Website - <https://www.7im.co.uk/financial-adviser/platform/help-centre>

Twitter - @7IM_Updates

Thank you

This presentation consists of 89 slides. You should be aware that the value of investments may go up or down and you may receive back less than you invested originally. Past performance is not a guide to the future. This presentation is for Professional Advisers only and is not to be provided to or relied upon by Retail Investors.

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