



The 7IM Platform

Adviser User Guide

7IM

www.7im.co.uk

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No of slides: 93

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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 technology with the benefit of an independent custodian, Pershing Securities, holding all client money.

- Proprietary platform technology
- Full service DFM
- DFM Models
- Wrap Platform

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



Tatjana Kucmina

Head of Platform Service Team

 0203 823 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



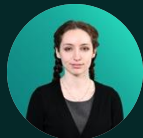
Jack Steventon



Kai Kai-Samba



Katherine Tointon



Afrika Calleja



Tom Wyatt



Victor Veale



Chayma Hafid



Tracy Diggins



David Majekodunmi



Harry Brownlow



Nick Pitcher

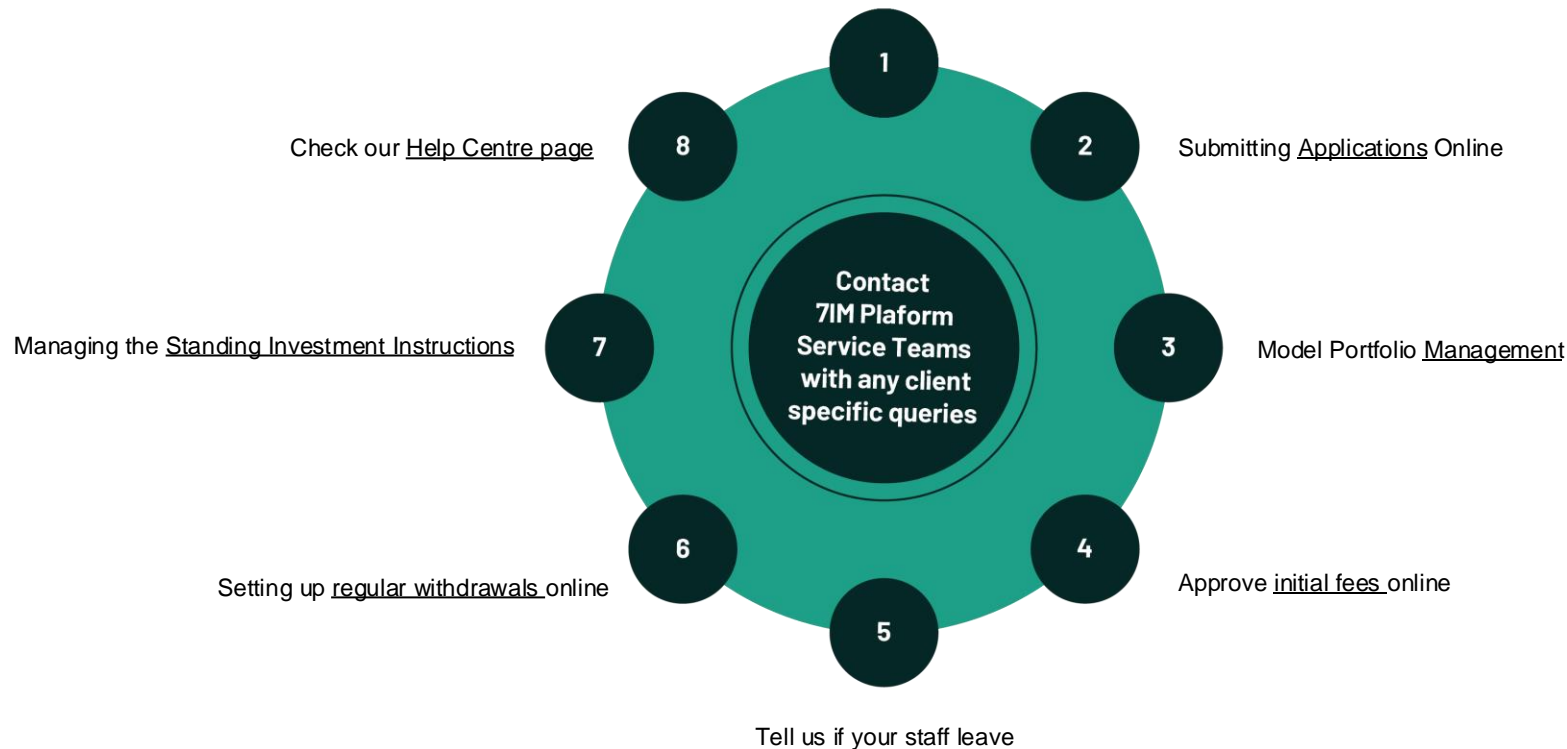


Megan Prior

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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 [CASLP](#)
- Offshore bond from [most providers](#)
- SIPPs from [most providers](#)

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

Click [here](#) for a list of 3rd party SIPP and Bond Providers that we have worked with. *7IM SIPP will have charges in certain circumstances, click [here](#) for more detail.

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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*
- 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.

**Platform fee will apply to cash held in a DFM Model. 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 S class 7IM funds
(which are 0.25% cheaper than normal).

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 (if income is being 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
- Transfers via Origo
- Employee & employer contributions
- In-specie transfers
- Online transfer tracking
- Mandatory & voluntary scheme pays

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**' product option for Platform (Pre-sales)
- Add **Adviser Charges**. 7IM charges already built in.
- Add new **investment strategy** and rename strategy
- 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 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 POSTROOM@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 Service. 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.

If any of the details are incorrect, please let your Financial Adviser know and they will be able to make the appropriate changes for you.

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. If we must see you, please let us know so we can arrange to contact you and request further information.

Additional steps:
In order to complete your additional requests in detail below, please complete the two pre-qualified forms provided and return to us using the address provided below.

Our address:
Seven Investment Management
15 Balmogate Lane
London EC2M 3SL

Client details

Full name: Mr Tim Bonbon

Preferred name: Tim

Date of birth: 02/09/1970

Permanent residential address: 85 East Terrace, East Tower, 5th Floor, London E16 1JL

Current residential address: 210, London E16 1JL

Telephone number: 07786 223389

Investment selection:
GIA
ISA
7IM SIPP

7IM

Application summary

Summary table:

| Investment name | Relationship | Proportion | Trust/Charity address |
|-----------------|--------------|------------|-----------------------|
| Safe Harbour | Daughter | 100% | N/A |

Funding

The information below shows the way you have opted to fund your investments.

Prepayments

| Wrapper | Funding type | Amount | Collection date |
|----------|----------------------|------------|-----------------|
| GIA | Lump sum | £50,000.00 | N/A |
| ISA | Lump sum | £20,000.00 | N/A |
| 7IM SIPP | Regular contribution | £500.00 | 1st |

Any cheque payments should be made out to the following:
7IM SIPP - 7IM Trustees Limited
15 Balmogate Lane - Balmogate Lane Limited

Transfers

| Wrapper | Provider/ Scheme | Type | Taken/Total | Fall/Per fall | Reference number |
|----------|------------------|------------|-------------|---------------|------------------|
| GIA | Share Centre | Investment | £25,000.00 | Full | 9076541 |
| ISA | Robit | Cash | £20,000.00 | Full | Bon12345 |
| 7IM SIPP | ISA | Cash | £20,000.00 | Full | 123456 |

Investments

The information below shows how your investments are split across your portfolios.

GIA - Lump Sum / Cash Transfers

| Investment type | Portfolio ID | Portfolio ID |
|----------------------------------|----------------------------------|----------------------------------|
| ISAT Invest Sustainable Balanced | ISAT Invest Sustainable Balanced | ISAT Invest Sustainable Balanced |
| ISAT Invest Sustainable Balanced | ISAT Invest Sustainable Balanced | ISAT Invest Sustainable Balanced |
| Cash | 100% | 0% |

Application reference: A0000004

Your signature is required for the completion of this form.

Applicant One Signature:

Signed by Mr Tim Bonbon

Date:

Authority to sign:

Applicant Two Signature:

Your signature is required for the completion of this form.

Signed by:

Date:

Authority to sign:

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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
 - Include all lump sums, transfers and regulars
 - Include all cash movement and 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)
4. Upload signed declaration (with any additional forms/AML/bank docs).
5. Accounts opened instantly
6. Transfers visible instantly
7. Give client 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).

Where online account opening tool cannot be used

7im

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 (C/O) address):

 City:

Country for country if not UK: Postcode:

Email:

Telephone:

Section 02 Trustee Bank Details

All payments will be made directly to this account. Please ensure you are able to open an account without the entity bank details.

Bank:

Account Name:

Serv Code: Account Number:

Account Reference / Sort Number (if applicable):

Send all scanned applications securely to POSTROOM@7IM.CO.UK . Click [here](#) for a guide to AML requirements for non-personal accounts

Electronic AML verification

1. 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, 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 SSAs) | <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 **postroom@7im.co.uk** with the new 7IM account reference (starts with IMF..)
- Send any other application forms with accompanying documents securely to 7IM: **postroom@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](#)

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](#)

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 a top-up to an existing account)
- [Employer contribution form](#) (if relevant)

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

SIPP account information online in the client account area:

- Crystallised / uncrystallised amounts
- Contributions in current tax year
- Income received in current tax year
- Detail on each arrangement within the SIPP
- Beneficiary details

| General | Contributions | Income Drawdown | Arrangements | Beneficiaries |
|---------------------------------|---------------|-----------------|--------------------------------------|---------------|
| Crystallised Value | | £24,992.03 | Lifetime Allowance Used | |
| Uncrystallised Value | | £248,806.70 | Lifetime Allowance Protection | |
| Total Value | | £273,798.73 | | |
| Selected Retirement Date | | 11/08/2019 | | |

| General | | Contributions | Income Drawdown | Arrangements | Beneficiaries | | |
|---------|--|---------------|--------------------|----------------|------------------|--|--|
| Number | Arrangement Type | Value (£) | Max GAD Income (£) | Income YTD (£) | Next Review Date | | |
| 1 | Uncrystallised | 0.00 | 0.00 | 0.00 | | | |
| 2 | Transfer In Capped Drawdown Transitioned | 187,213.82 | 23,459.00 | 0.00 | | | |
| 3 | Transfer In Capped Drawdown | 64,250.90 | 8,086.83 | 0.00 | | | |
| 4 | Transfer In Capped Drawdown | 27,926.39 | 3,514.90 | 0.00 | | | |
| 5 | Transfer In Progress | 0.00 | 0.00 | 0.00 | | | |

Click one of the options below for more information

[Making contributions](#)

[Drawdown](#)

[Retirement income](#)

[Secure Lifetime Income](#)

[Junior SIPP](#)s

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](#).

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Junior ISA (JISA)

Currently 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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Junior ISA (JISA) Forms

**Junior ISA (JISA)
Account Opening Form
(PLATFORM)**

7iM

For personal clients opening a Junior Individual Savings Account (JISA) provided by Seven Investment Management LLP (SIM). Please note you must have parental/guardian responsibility for the child named in this application and be a UK resident.

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

Section 01 - Child's Details

Title: First Name(s): Surname:

Date of Birth (DD/MM/YYYY): National Insurance Number:

Gender:

Permanent Residential Address (please note we cannot accept a PO Box number or a care of address):
 City:

Country for country of residence (UK): Postcode:

Is this child a UK Citizen? ☐ Yes ☐ No

If the child is not a UK citizen or where law subjects us to use on non-UK income and gains, we will require you to complete an RDR-4 Form and a supplementary declaration.

Section 02 - Registered Contact's Details

You are the registered contact for this JISA.

Account Number:

Please tick a ONE of the following boxes:

☐ You are the Parent of the child named

☐ You are the Legal Guardian of the child named

☐ You otherwise have Parental Responsibility of the child named

Title: First Name(s): Surname:

Date of Birth (DD/MM/YYYY): National Insurance Number:

Gender:

Permanent Residential Address (please note we cannot accept a PO Box number or a care of address):
 City:

Country for country of residence (UK): Postcode:

**Junior ISA (JISA)
Transfer Form**

7iM

For personal clients transferring a Junior Individual Savings Account (JISA) or a Child Trust Fund (CTF) to Seven Investment Management LLP (SIM).

**PLEASE PRINT CLEARLY IN BLOCK CAPITALS IN ALL SECTIONS.
SECTIONS MARKED WITH AN * ARE MANDATORY**

Section 1 - Transfer Details

Type of account being transferred:
 JISA ☐ CTF ☐

Current JISA / CTF Provider:

Address of Current JISA / CTF Provider:

City:

Country for country of residence (UK): ☐

Postcode:

Have you included a recent valuation? Address of all holdings to be transferred is provided on attached statement with signed up for transfer process.

Section 1b - Stocks and Shares Transfer

Is the transfer to the JISA / CTF account shown as follows (tick one)?

☐ A FULL transfer - 100% of the holdings in the account are currently invested and transfer to the JISA / CTF account.

☐ A PARTIAL transfer - 100% of the holdings in the account are currently invested and transfer to the JISA / CTF account.

☐ A PARTIAL transfer - 100% of the holdings in the account are currently invested and transfer to the JISA / CTF account.

☐ A PARTIAL transfer - 100% of the holdings in the account are currently invested and transfer to the JISA / CTF account.

Section 1c - Current Year Subscriptions Included in the Transfer

The full amount of current year subscriptions must be included in the transfer. The amount of current year subscriptions included in the transfer is:

Section 2 - Registered Contact's Details

Let the Registered Contact's 7iM Platform Number:

Title:

First Name(s):

Permanent Residential Address:

City:

Country for country of residence (UK): ☐

Postcode:

Section 3 - Cash Transfer

Please provide valid bank transfer details as follows:

Bank Name:

Branch Name:

Account Number:

Sort Code:

IBAN:

SWIFT Code:

Bank Address:

City:

Country for country of residence (UK): ☐

Postcode:

**Junior ISA (JISA)
Change Of
Registered Contact**

7iM

To change a Registered Contact between parents or guardians, please complete ALL sections. If you are now 16 years of age and wish to become the Registered Contact for your Junior Individual Account (JISA) provided by Seven Investment Management LLP (SIM), you do not need to complete Section 2 or Section 3.

**PLEASE PRINT CLEARLY IN BLOCK CAPITALS IN ALL SECTIONS.
SECTIONS MARKED WITH AN * ARE MANDATORY**

Section 1 - Child's Details

I apply to become the Registered Contact for the JISA.

Title:

First Name(s):

Permanent Residential Address:

City:

Country for country of residence (UK): ☐

Postcode:

Section 2 - Current Registered Contact's Details

7iM Platform Number:

Title:

First Name(s):

Permanent Residential Address:

City:

Country for country of residence (UK): ☐

Postcode:

Section 3 - New Registered Contact's Details

7iM Platform Number:

Title:

First Name(s):

Permanent Residential Address:

City:

Country for country of residence (UK): ☐

Postcode:

All accounts set up using paper forms

Editable JISA Forms available to download from [help centre page](#)

Only parents or legal guardians can open JISAs

7IM portfolio reference

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

| 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 |

- **Client Reference** (e.g. IMF4TRS) – unique to that client
- **Account Type** (e.g. X) – the ‘wrapper’ type (see list on the left)
- **Portfolio Suffix** (e.g. D) – the type of portfolio (or ‘sub-account’) see below.

Knowing the above structure enables you to identify what type of account a client has just from the 7IM reference.

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

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

Linked Client Group

Mr Zak Gardner

£ 58,690.02

Mr Eddie Moreno

£ 207,785.91

Mr Oscar Payne

£ 54,152.77

Mr Cameron Lawrence

£ 24,625.51

Mr Terry Sample

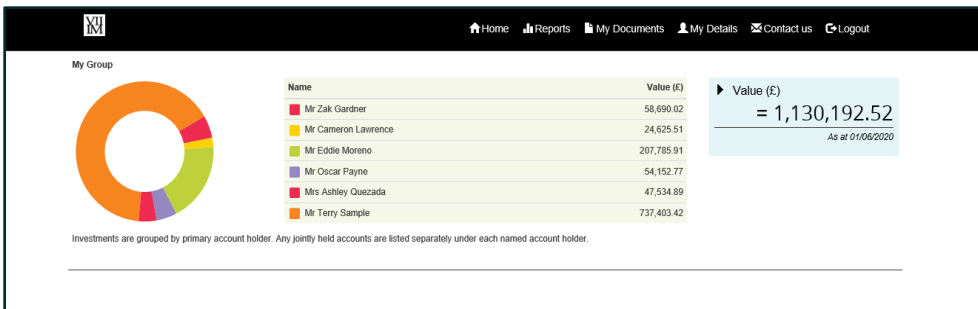
£ 737,403.42

Mrs Ashley Quezada

£ 47,534.89

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

Import & Clients from this Group



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

Adding new sub accounts

The screenshot shows a client account interface for 'Mrs Isabel Cope'. On the left, a sidebar lists the account structure: 'Mrs Isabel Cope' (expanded), 'Mrs Isabel Cope' (with sub-items 'Dealing Portfolio' and 'Withdrawal Portfolio'), and 'Mrs Isabel Cope' (highlighted with an orange bar, with sub-item 'ISA Dealing Portfolio'). The main area has tabs: 'Summary' (selected), 'Assets in Transfer', 'Charts', 'Asset Allocation', and 'Initial'. A button labeled '+ Add new portfolio' is highlighted with an orange box. Below this, a table shows the account details:

| Account | Value (£) |
|-------------------------|-----------|
| ▶ Advised ISA | 44,503.57 |
| Total Value : 44,503.57 | |

- 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



Transfers

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

It's important that the client details (e.g. name, address, NINO) you give us on our transfer form match those currently held by the transferring provider

Timescales vary hugely, with cash transfers via Altus being the quickest (1-2 weeks) and manual in-specie transfers usually taking the longest

Offshore funds have to be transferred manually, so it 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 via **Origo** (cash only) or **Altus** (in-specie)

Include transfers in online account application tool for new clients

Standalone transfer forms are available [here](#) for top-up transfers.

Once an in-specie transfer has completed you should enter the book cost online for GIA holdings as we don't always 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 | II | Stock - In Specie (In) | Advised ISA Account | 27/06/2019 | Old Mutual | Paperwork checked and sent to scanning | 15/07/2019 |
| ▶ Yes | II | Stock - In Specie (In) | Advised Individual Account | 27/06/2019 | Jupiter | Paperwork checked and sent to scanning | 05/07/2019 |
| ▲ Yes | | 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 | | | | 7imkimberly.dowuona | | 27/06/2019 | |
| Anonymised comment 651568 | | | | 7imkimberly.dowuona | | 05/07/2019 | |

- This section shows notes from our transfers team as they process and chase each transfer. If they have any questions, they will contact you.
- 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

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

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 (£) |
|-----------|---------|--|-------------------|--------|-------------------|------------------|------------------|--------------------|-----------|----------|
| 1,285.300 | BTW0001 | FIRST STATE INV WAVE SUSTAINABILITY B AGG | 4,511.39 | 2.5531 | 4,515.03 | 364.54 | 100% | 100.00% | 4015.93 | 4511.39 |
| 5,714.893 | BNH0003 | LIONTRUST FUND PARTNERS LLP SUSTAINABLE FUTRE DEFENSIVE MDD 2 NET INC | 8,000.00 | 1.4189 | 6,987.29 | 97.29 | 0.00% | 0.00% | 0.00 | 0.00 |
| 1,352.509 | 3003006 | LIONTRUST FUND PARTNERS LLP SUSTAINABLE FUTURE GLOBAL ETH-ACC-MW | 3,000.00 | 2.3525 | 3,181.75 | 181.75 | 0.00% | 0.00% | 0.00 | 0.00 |
| 3,784.781 | BF16H48 | VALU-TRAC INVESTMENT MANAGEMENT LTD GRAVIS CLEAN ENERGY INCOME C INC | 4,475.55 | 1.3391 | 5,030.41 | 553.86 | 0.00% | 0.00% | 0.00 | 0.00 |
| | | | £19,967.94 | | £21,125.38 | £1,137.44 | | | | |

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

CSV

Generate Report

| Wealth Manager | Client Name | Account | Account Type | Portfolio | Sedol | isin | Stock Name | Quantity | Currency | Value | Trade Date | 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 | GB00B6QQDK47 | M&G SECURITIES LIMITED M&G GLOBAL STRATEGIC VALUE STERLING A INC | 9997.225 | GBP | £18,157.30 | 13/08/2021 | Y | N/A | | Y |
| Daisy Conway | Mrs MaryPrivett Mrs Mary Privett | Mrs MaryPrivett | Advised Individual Account | | CASH | | CASH (GBP) | | GBP | £105,206.48 | 13/08/2021 | N | Y | | N |
| Lily Newman | Mr James Cobb & Mrs SIPP - Mr James Cobb | Mr James Cobb | Advised SIPP | IMF7JQKY D | CASH | | CASH (GBP) | | 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)

Standing Investment Instructions (SII)

SIIs are automated cash movements and investments set up for:

- **New** clients via [online account opening](#)
- **Existing** clients via the [Manage Investments](#) screen

For a video on this tool 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 | | Account type | End date | |
| 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

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 cash arrives in GIA but we're not sure what to do with it (eg should it go into ISA or not?)

- **Leave in Portfolio:** cash will remain where it is with no further action
- **Invest in Portfolio:** cash 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

Summary Client Details **Manage Investments** Assets in Transfer Charts Asset Allocation Fees CGT

Standing Investment Instructions (SII) Regular Investments Regular Withdrawals History

| 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 | | |
| <div><button>Create</button><button>Cancel</button><button>Back to Previous Page</button></div> | | |

- 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...

CSV

Template Model Portfolio Import Spreadsheet.csv

0.05 KB

Clear

Upload File

Model Portfolio

Model Description

Balanced (Copy)

Risk Profile

Balanced

Create

Cancel

Export to Excel

Back to Previous Page

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

Authorise model portfolio

Model Portfolios

New Model

Pending Authorisation Portfolios

Existing Portfolios

| 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

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](#)*).

Please note that trades cannot be cancelled once submitted.
All trades are into GBP cash. Contact us for trading in other currencies.

Raise cash sale trades from ETFs/Equities will get rounded up to the nearest whole share.

*Rebalance will also adjust existing holdings to bring them in line with the selected model portfolio

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Dealing: selling

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

Client
Portfolio

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

Type

Proportional Sell

Calculation

Assets Only
View Example

Amount
Transaction Format
Transaction Fee

10,000.00
Cash (£)
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 | B0XWNN6 | £254.19 | 2.2172 | 114.8500 | £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

Amount

Transaction Format

Transaction Fee

0.0000

0.00 %

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 % ✕ |

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 £30 buy per fund. Buy trades below this amount will be highlighted in red and will need to be removed from the order sheet before submitting. Other trades will not be recalculated.
- Sell trades will get placed at next available dealing date; and
- Buy trades will 'queue' and automatically be done by 7IM Platform as soon as possible (typically 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 | | | | | | | | |
|-------------------------|------------|---|-------|-----------------|---------------------|--------|----------------|-----------------|
| | | | | | | | | |
| | 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 | SIPP | VANGUARD INVESTMENTS UK LTD LIFESTRATEGY 100 PERCENTAGE EQTY ACC NAV | B41XG30 | £92,912.98 | 0 | 1 | | | | | | | | | | | | | | | | |
| <table> <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> <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> </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 | | | | | | | | | | | | | | | | | | | |
| SEDOL | ISIN | Unit Price | Quantity | Gross Consideration | Transaction Fee | Stamp Duty | PTM Levy | Transaction Charge | Net Consideration | FX Rate | | | | | | | | | | | | | | | | |
| B41XG30 | GB00B41XG308 | 183.27998113 | 508.9456 | £ 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 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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...


 items per page
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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 | <div>Buy</div> <div>Sell</div> |
| 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 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 (7IM Funds only) to see latest 'look through'. Fund factsheets available.

MiFID reportable securities

- 7IM will 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 | Standard AMC | Other Expenses | KIID | Fact Sheet | Add to Favourites List |
|---------|---|------------------|--------------|------------------------|----------------|-------|--------------|----------------|---|---|---|
| B1W5MJ2 | ISHARES II PLC BRIC 50 UCITS ETF USD DIST GBP | Yes | Yes | No | 0.00% | 0.74% | 0.74% | 0.00% |  |  |   |

1 - 1 of 1 items

Research > Security Search. Reports > Practice Admin > Client Holdings by Security

To invest in these a client will need to provide mandatory information

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 investment: GIA & ISA

- Individual GIA & ISA (not joint GIA or JISA yet). [Click here for FAQ.](#)
- Paperless Direct Debit (DD) set up online by you
- No signatures or paper required.
- DD must be from client's own nominated bank account
- Client's email address is mandatory (all DDs will be confirmed by email)
- Collection on 1st or 15th each month
- Includes automatic subscription to ISA accounts
- Minimum DD £50pm
- No minimum investment per fund (but only whole numbers of ETF/IT shares can be bought)
- Can allocate to cash if you want to place trades or let DFM rebalance invest cash
- Investments into DFM models will automatically update if the model changes
- Investments into adviser models will need updating by you if model changes
- DDs and investments managed by you online
- Go to: Transactions > Regular > Investment > Instruction / Summary

Regular investments for new clients can be set up as part of the online [application process](#).
No initial fees will be paid on regular contributions.

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Regular investment: GIA & ISA



T (e.g. 1st March 2022)

Money is collected from client's nominated bank account.



T + 2 (e.g. 3rd March 2022)

Money received by Pershing.
ISA subscriptions made.



T + 3 (e.g. 4th March 2022)

Contribution & ISA sub 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 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 investment: GIA & ISA

Edit Regular Investment

Name

Mr Nicholas Beaudoin

Email

NicholasPBeaudoin1738@uat.7im.com

Account

Portfolio(s)

Documents

Paper Direct Debit Instruction

Direct Debit Guide

Order Execution Policy

Regular Investments

Regular Type

Funds, Securities & Cash

Amount

£200.00

Security

BROWN ADVISORY FUNDS US SUSTAINABLE GROWTH B GBP ACC

| SEDOL | Security Name | MFID Reportable | Amount | Percentage | |
|--------|--|-----------------|---------|------------|------------------------|
| CASH | CASH (GBP) | | £4.00 | 2.00 % | |
| BUBPW7 | 7IM SUSTAINABLE BALANCE S ACC | | £98.00 | 49.00 % | Delete |
| BF1TB3 | BROWN ADVISORY FUNDS US SUSTAINABLE GROWTH B GBP ACC | | £98.00 | 49.00 % | Delete |
| | | | £200.00 | 100.00 % | |

☒ Confirm Regular Investment Instruction

Set Up A Monthly Direct Debit

Total Monthly Contribution

£200.00

Preferred Monthly Collection Date

☐ 1st
 ☒ 15th

Please ensure you have read the Direct Debit Guide

☒ Confirm Direct Debit Instruction

Bank Details for

Name

Nicholas Beaudoin

Bank

Nicholas Beaudoin

Account Number

****9911

Sort Code

xx-xx-xx

Save

Cancel

Edit

Delete Regular Investment

We must have the client's email address, as all regular DD contributions will be confirmed to the client by email.

Go to: *Transactions > Regular > Investment > Instruction / Summary*

Remember to allocate the investment £ amount or % to each fund before saving. You will need to confirm that you have given your client all the DD information and that they agree to it.

Regular investment: 3rd party SIPP

Set standing order/DD up with SIPP provider to send cash to 7IM (**min £50 per month**)

Set up regular investment online

Choice of investment dates – 10th or 25th each month

No minimum investment per fund (but only whole numbers of ETF/IT shares can be bought)

- Investments into DFM models will automatically update if model changes
- Investments into adviser models will need updating by you if the model changes
- DFM rebalance process will also invest cash so could leave regulars in cash

Remember to factor in tax relief, which will usually follow separately

- Invest gross amount and use existing cash in 7IM account until tax relief starts coming in (typically after 2 months)
- Invest net amount at start then increase to gross amount after 2 months
- Invest net amount only and let tax relief help provide a cash buffer

7IM will invest into chosen funds using any available cash in the client's account. It is your responsibility to ensure cash is there. This might involve moving cash from SIPP provider to 7IM.

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Regular investment: 3rd party SIPP

Edit Regular Investment

Name Mr Nathan Armstrong Email NathanArmstrong77264@uat.7im.com

Account

Portfolio(s)

Documents 1
[Order Execution Policy](#)

Regular Investments

Regular Type Funds, Securities & Cash

Amount £650.00

Security LIONTRUST FUND PARTNERS LLP SUSTAINABLE FUTURE UK GROWTH 2 ACC NAV

| SEDOL | Security Name | MiFID Reportable | Amount | Percentage | |
|---------|--|------------------|---------|------------|------------------------|
| CASH | CASH (GBP) | | £13.00 | 2.00 % | |
| BUBPWR7 | 7IM SUSTAINABLE BALANCE S ACC | | £448.50 | 68.00 % | Delete |
| 3002876 | LIONTRUST FUND PARTNERS LLP SUSTAINABLE FUTURE UK GROWTH 2 ACC NAV | | £188.50 | 29.00 % | Delete |
| | | | £650.00 | 100.00 % | |

☒ Confirm Regular Investment Instruction

Preferred Monthly Investment Date 10th 25th

[Save](#) [Cancel](#) [Edit](#) [Delete Regular Investment](#)

Go to: *Transactions > Regular > Investment > Instruction / Summary*

Investment dates are either 10th or 25th each month. Contributions will remain in cash until invested.

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 or 15th of each month (click [here](#) for more info)
- 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. 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

7IM SIPP income & withdrawals

- **PCLS** paid at any point in the month.
- Typically 4 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 or 15th** (see timeline below for deadlines)
- Needs cash available (set up regular sales or create a cash pot)

10 working days before

Cut off for 7IM to receive either **Taking Benefits** or **Pension Income Amendment** form. This will either be separate, for an existing 7IM SIPP client, or will accompany main application form for a new client.

5 working days before

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

1st or 15th

Client paid

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

To avoid emergency tax being applied please send us current P45 or HMRC New Starter checklist form (see below).

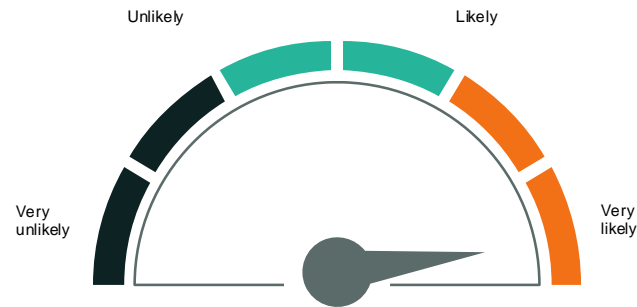
Click [here](#) to find out more about our **Tailored Drawdown** (phased drawdown) option
 Click [here](#) to find out more about **Death Benefits** from 7IM SIPP
 Click [here](#) for **HMRC New Starter Checklist** form

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

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

The Retirement Income Solution incurs a slightly higher platform fee of 0.05% up to a portfolio size of £1m starting in April 2024.

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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

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

ISA subscription can be funded by:

- Proportional sales
- Specific fund sales
- Existing cash

Bed and ISA Instruction

Client Name
Cope, Mrs Isabel

From Portfolio
Individual Investment Account Proportional Sale

To Portfolio
ISA

| 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 |

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.

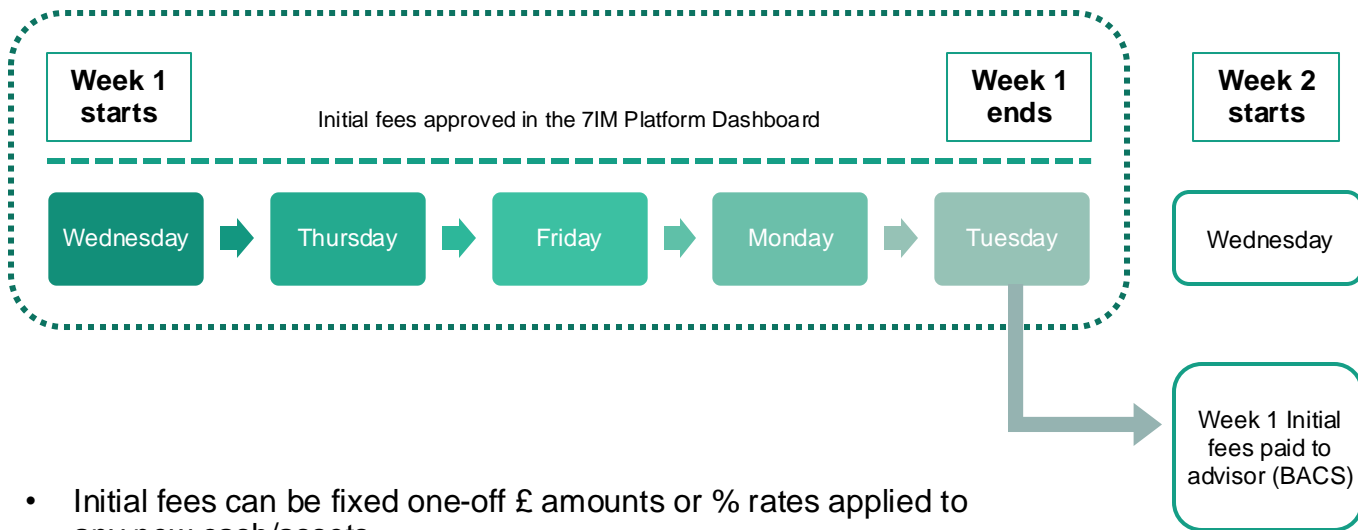
☒ I can confirm that my client has read and agreed to an [ISA declaration](#) for the current tax year.

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 money goes into GIA first, the GIA needs to have an initial fee rate set up. ISA initial fee rate **only** applies to ISA transfers.

All initial fees need to be approved online before they can be paid.

See next page for details. Initial fee rate report available online. Above process also applies to ad-hoc fees.

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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

2 of 2 items selected

| WM | Client Name | Account Type | Portfolio | Date | Description ↑ | Transaction Value | Initial Rate | Fee Amount | Fee Source Portfolio | Source Cash | ✓ |
|--|---|-----------------------------------|-------------------------------|------------|---------------|-------------------|--------------|------------|-------------------------------|-------------|-------------------------------------|
| <input type="text" value="Beck, Mr Mark"/> | <input type="text" value="Short, Mr Leon"/> | <input type="text" value="SIPP"/> | <input type="text" value=""/> | 01/09/2020 | CASH | £254.00 | 1.00 % | £2.54 | <input type="text" value=""/> | £8,370.01 | <input checked="" type="checkbox"/> |
| Beck, Mr Mark | Short, Mr Leon | SIPP | | 01/09/2020 | CASH | £253.20 | 0.50 % | £1.27 | <input type="text" value=""/> | £8,370.01 | <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.
- *Source Cash* lets you know if there is enough cash to pay the fee.
- Unwanted fees can be cancelled. Wanted fees need to be approved.
- Approved fees will be deducted from 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>Fees</div> | | | | | | | | | |
| <div>Currency: GBP Closing Balance: £ 3,697.41</div> | | | | | | | | | |
| 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

The Ongoing Fees report shows what fee rate an account is set up on

Firm's ongoing payment statement

Practice ▾

Clients ▾

Tools ▾

Transactions ▾



Reports ▾

Research ▾

Summary

Initial Fees

Statements

Assets In Transfer 019  End date: 24/09/2020  [Update Statements](#)

Wealth Managers

Reports ▾

Research ▾

Client Administration ▶

Client Valuation Reports ▶

Practice Administration ▶

Cash Buffers ▶

Tax ▶

Loans ▶

MIFID Reports ▶

Client Review Report Monitor ▶

McJunkin Exchange July 2020

McJunkin Exchange June 2020

McJunkin Exchange May 2020

McJunkin Exchange April 2020

McJunkin Exchange March 2020

McJunkin Exchange February 2020

Client Holdings by Security

Aggregated Security Holdings

New Platform Assets

Unused ISA/JISA Allowance

Missing Book Costs

Unsettled Trades

Regular Payments









Income Sweeps

Portfolio Values

Ongoing Fees

Initial Fee Rates

Client Contract Note Settings

| Statement Type ▾ | Recipient | Owner | Period | Created | Comments | Offshore | 7IM Statement | Back Office Upload File |
|------------------|-------------------------|-------------------|-------------|------------|----------|----------|---|---|
| Ongoing Payment | Wealth Manager Practice | McJunkin Exchange | August 2020 | 03/09/2020 | | |  |  |
| Ongoing Payment | Wealth Manager Practice | McJunkin Exchange | July 2020 | 19/08/2020 | | |  |  |
| Ongoing Payment | Wealth Manager Practice | McJunkin Exchange | June 2020 | 20/07/2020 | | |  |  |
| Ongoing Payment | Wealth Manager Practice | McJunkin Exchange | May 2020 | 19/06/2020 | | |  |  |

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.

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

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"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> | <input type="text"/> % or £ <input type="text"/> |
| <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> | <input type="text"/> % or £ <input type="text"/> |
| <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> | <input type="text"/> % or £ <input type="text"/> |
| <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <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 charges 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"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> | <input type="text"/> % or £ <input type="text"/> |
| <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> | <input type="text"/> % or £ <input type="text"/> |
| <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> | <input type="text"/> % or £ <input type="text"/> |
| <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <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)
- Portfolio drift (for clients in a DFM model)
- 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 Year2020 / 2021

Realised Gain/Loss£6,700.46

Unrealised Gain/Loss£97,838.80

Unused CGT Allowance£5,599.54

CGT Allowance£12,300.00

Total Allowable Loss Brought Forward£0.00

Unused Allowable Loss Brought Forward£0.00

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 | B1RQN64 | | 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.
We recommend getting book cost data for each holding before starting in-specie transfers.

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 | | | | | |
|--|-----------------|------------------|----------------|------------------|----------------------------|
| 7iM | | | | | |
| 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 | | | | | | | | |
|--|------------|--------------|---------------------------------|------------|------------------|------------------|--------------------------|--------|
| 7iM | | | | | | | | |
| 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 | | | | | | | | | |
|--|--------------------|---------------------|----------------------|----------------------------------|-----------------------------|-----------------------------|-------------------|--------------------------|------------------------|
| 7iM | | | | | | | | | |
| 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 many 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. |
| <u>MIFID 10% Notification</u> | This report shows any accounts with a discretionary element (eg DFM MPS) that have dropped by 10% since the start of the quarter. You will get an email notification when any new accounts are added to this. Click here for more. |
| <u>MIFID Costs & Charges</u> | This report shows all the MIFID costs and charges transaction data for you to be able to calculate your own summary. |
| <u>Client MIFID relationships</u> | 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. |

MiFID 10% drop notification (awaiting cancellation by FCA)

- This applies if any of the following falls by 10% or more during a quarter:
 - Accounts you manage on a discretionary basis
 - Accounts invested in 7IM or third party DFM models
- Details of those accounts will be shown on our platform:
 - **Reports > MIFID > MIFID 10% Notification**
- We will notify you by email if you have any clients on this list so you can log into our platform and check the report
- **It is your responsibility to communicate this to your clients. If you would like 7IM to notify your clients instead, please speak to your PRM.**
- This will be calculated at tax wrapper level (eg GIA, ISA, SIPP), not dealing portfolio/sub-account level (eg D, J, K) therefore, it will include wrappers where any dealing portfolio is managed on a discretionary basis even if some aren't.

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....)

7IM

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: IMFXXX (IMF XXX)

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

7IM

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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

7IM

Mrs Barbara Ramirez
1387 Sunny Day Drive
Los Angeles
CA
90017

Portfolio Number: IFAINO-TR
SEDOL: IMFORFLXSHD
ISIN: G800BJBPW930
Bargain Reference: IM46X6FD
Order Type: Block

Mrs Barbara Ramirez
ISA Dealing Portfolio

We have sold on your behalf in our capacity as Agent

Company: 7IM
Stock: AAP BALANCED S INC

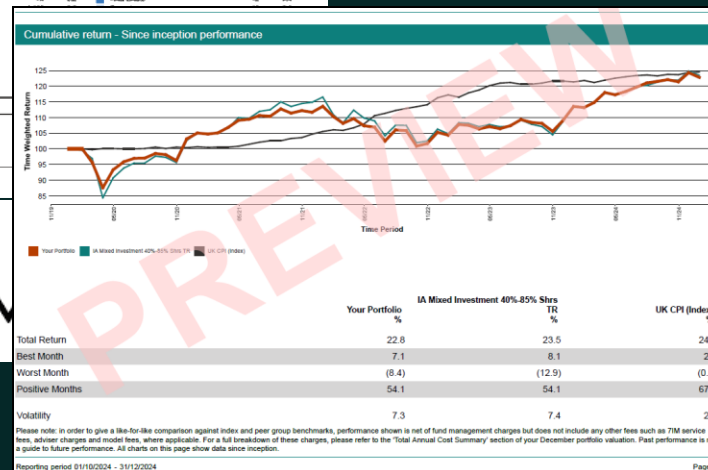
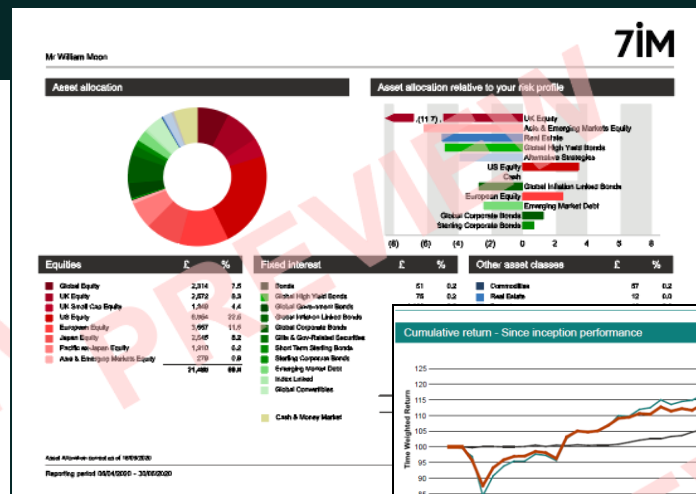
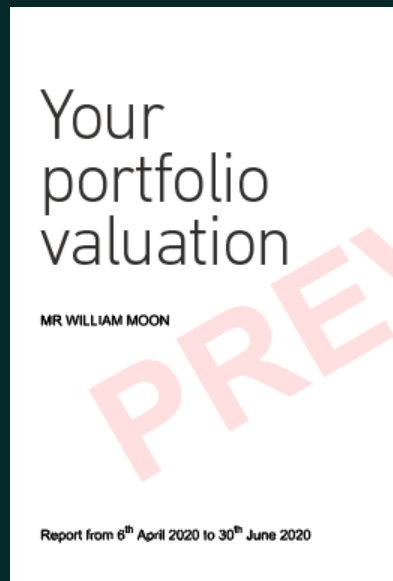
| Bargain Date | Settlement Date | Time | Quantity | Price | Consideration |
|---------------|-----------------|----------|----------|-------------|---------------|
| 23 Sep 2020 | 29 Sep 2020 | 01:00:00 | 122.032 | £1.18620405 | £145.00 |
| Commission* | | | | | £0.00 |
| Total Charges | | | | | £0.00 |
| 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. Ask us if you would like to personalising these statements.

Electronic vs. paper statements

- Default is for clients NOT to receive paper statements, as long as we have their email address.
- Email address should be input as part of the application process.
- Clients will get an email notification that their report is available online via 7IM website. They should then log in and download it.
- 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 |

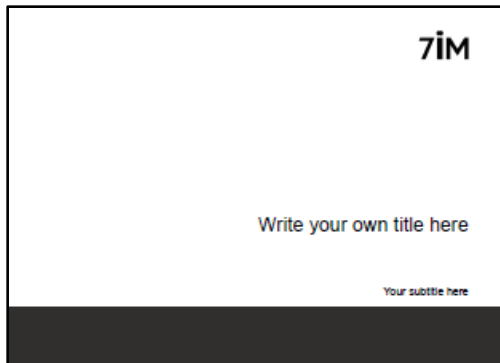
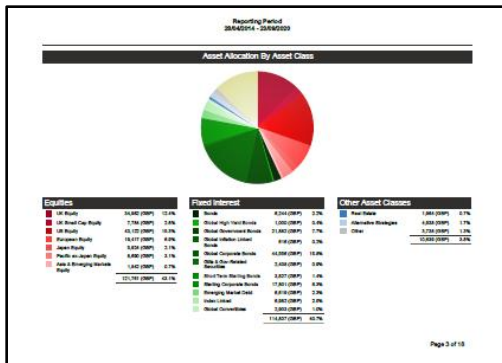
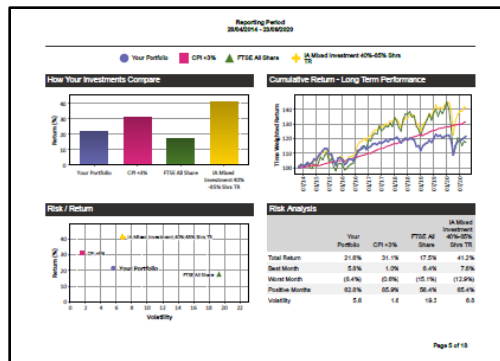
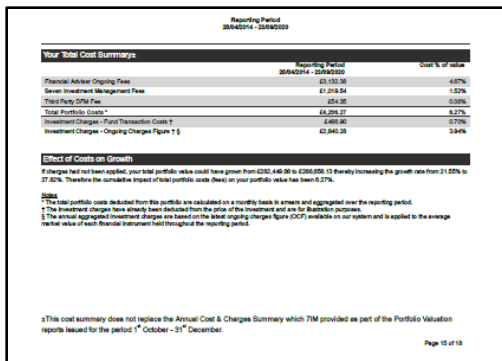
Go to **Report Pack Contents** tab and tick the Electronic Only option. Scroll to bottom of page then click **Save**. The process is now complete.

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)



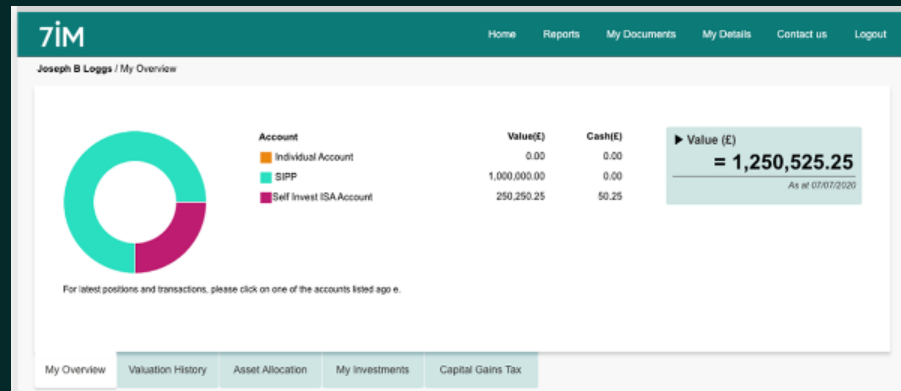
Click [here](#) for a video about how to create these reports. You choose report period and options within the report. This report can include MiFID ex post costs & charges for the period.

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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](#).

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



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Client reporting: 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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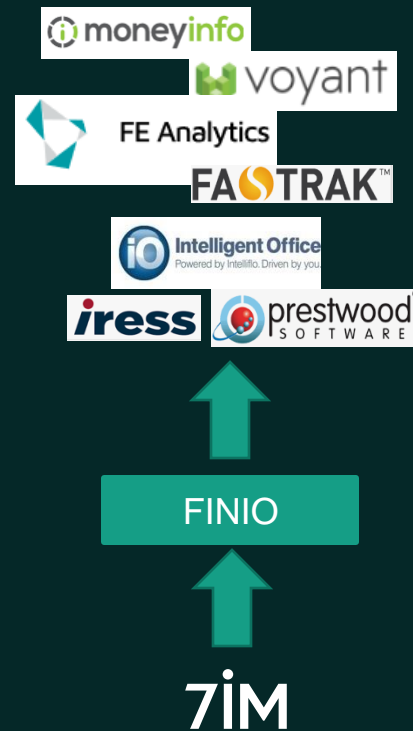
3rd party software integration

- '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



| 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% |

**£171 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](#)

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

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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.

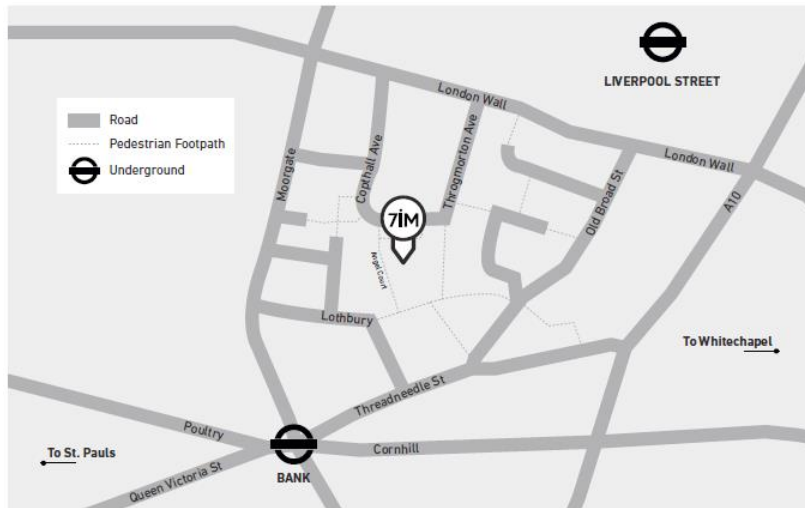
Need further training or help?

- 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 sustainability: 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

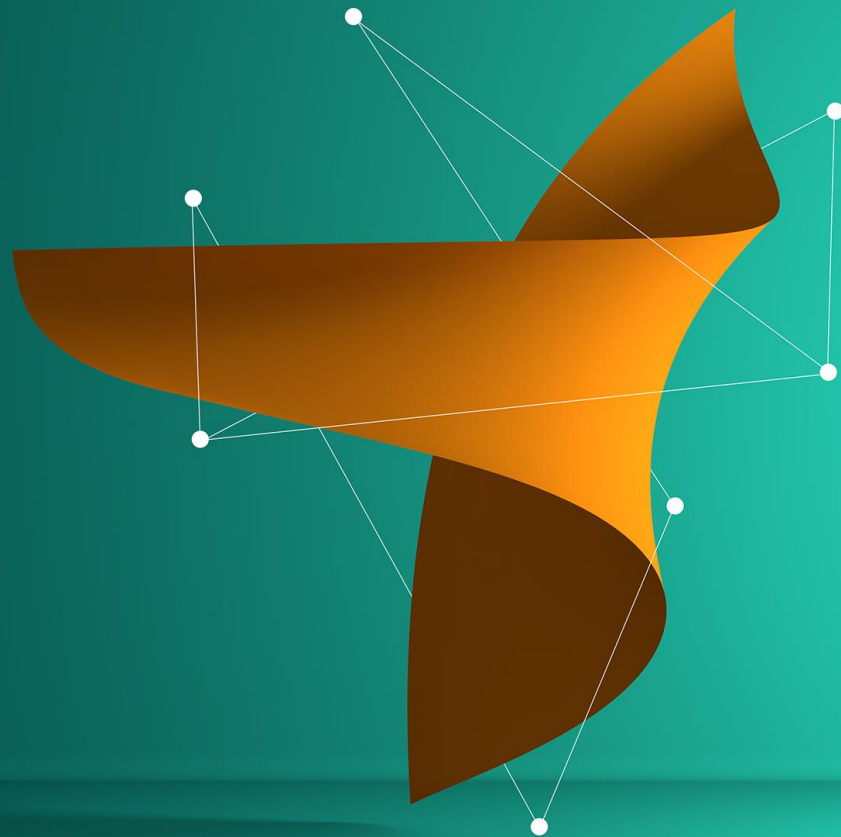
Website - <https://www.7im.co.uk/financial-adviser/platform/help-centre>

Twitter - @7IM_Updates

Thank you

This presentation consists of 93 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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