

JULY 2023

What business continuity plans do 7IM have in place?

We have invested in technology and infrastructure to ensure that our platform remains fully operational in the current disruptive period. This has been in place for some time and is stress tested regularly to ensure we are prepared and fully able to work from home on an ongoing basis. For full details click [here](#).

What business continuity plans do Pershing have in place?

Pershing has now started implementing strategies such as work-from-home, work transfer and social distancing in order to reduce close physical proximity in the work place and therefore the potential transmission of disease. Pershing will continue to work closely with 7IM to ensure both businesses are able to operate as usual.

What business continuity plans do 7IM have in place to ensure that advisers will be paid their fees?

The Finance Team are now working from home and have full capability to execute their roles remotely. We do not expect any changes to how and when you are paid your fees.

Are 7IM still able to receive phone calls?

Yes, 7IM has the technology and resource to ensure all phone lines are able to be answered remotely and you are able to contact your Platform Relationship Manager as usual.

How will 7IM ensure trading can still happen?

There is no change during this time to the automation of our trades through the platform. Our Dealing Team are able to work remotely to ensure trades are executed and monitored.

How do we send forms to 7IM?

To avoid all our staff travelling unnecessarily, we are asking that no post be sent to our offices unless we have stated otherwise. We have however put in additional security measures to ensure that any 7IM forms that are sent electronically arrive safely and securely to postroom@7im.co.uk. Please contact your Platform Relationship Manager beforehand who will happily guide you through how to do this.

Can we accept e-signatures from clients and advisers?

We are currently accepting e-signatures for existing clients during this period. We are able to accept e-signatures from a recognised service – such as DocuSign or Adobe.

How can I contribute to a 7IM SIPP?

You can now complete the form found [here](#) and email us, rather than completing our 7IM SIPP Contribution Form, as long as the top-up is a repeat of a previous contribution.

Can 7IM accept copies of transfer forms?

We are requesting all signed 7IM transfer forms to be sent via email. 7IM can transfer assets electronically. We have however put in additional security measure to ensure that any 7IM forms that are sent electronically arrive safely and securely to postroom@7im.co.uk. Please contact your Platform Relationship Manager beforehand who will happily guide you through how to do this.

For any providers, requesting original forms we will contact them to talk through alternatives. Given the current environment some providers, similar to 7IM, will be reviewing their requirements and the need for signatures. Stock Transfer Forms, Crest Transfer Forms and Share certificates will still need to be sent via the post, unfortunately 7IM do not own these forms and no industry change has been made, at present, to transfer in any alternative way.

Can I send a cheque direct to Pershing?

Unfortunately this is not possible, as 7IM need to process a cheque before sending to Pershing. Pershing have many processing teams and provide services for many other providers and therefore we cannot guarantee the cheque will be received and processed correctly. We encourage clients to make payments electronically for the foreseeable future. Click [here](#) for our GBP bank details. Should your client wish to send payments in any other currencies please contact the Platform Service Team for details.

How will the changes to 7IM's working environment affect tax year end processing?

Our BCP allows us to remain operational, and as with every tax year end, we will work closely with you to ensure your clients' needs are met. We have introduced an editable ISA Declaration Form for clients that need to renew their ISAs and scanned versions of this form are being accepted. Please click [here](#) for our tax year end guidance. Your Platform Relationship Manager is available to support you should you wish to discuss any particular difficulties you face during this period.

How do my employees and I receive platform training over this period?

The health and wellbeing of you and your employees and 7IM staff is our priority at this time. 7IM can offer alternatives to face-to-face meetings and offer various forms of virtual meetings to suit your needs. Please contact your Platform Relationship Manager to arrange. We also have a suite of training videos available on our [Platform Help Centre](#).