

The 7IM Platform

Adviser User Guide



www.7im.co.uk
[@7IM_Updates](#)

This document has been produced by Seven Investment Management LLP from internal and external data. Any reference to specific instruments within this document are part of widely diversified portfolios and do not constitute an investment recommendation. You should be aware that the value of investments may go up and down and you may receive back less than you invested originally. For Professional Advisers only, not to be provided or relied upon by Retail Investors. Not for further distribution. Past performance is not a guide to the future.

Seven Investment Management LLP is authorised and regulated by the Financial Conduct Authority. Member of the London Stock Exchange. Registered office: 1 Angel Court, London EC2R 7HJ. Registered in England and Wales number OC378740.

No of slides: 94

Contents

01	Who are 7IM?	04	12	Money in	19
02	Your Platform Relationship Managers	05	13	7IM SIPP	21
03	Your Platform Service Teams	06	14	Junior ISA (JISA)	22
04	Your responsibilities	07	15	Client linking	25
05	Wrapper summary	08	16	7IM Retirement Income Solution (RIS)	62
06	Platform charges	09	17	Transfers & stock movements	28
07	Illustrations	11	18	New platform assets report	32
08	Account opening	12	19	Standing Investment Instructions (SII)	33
09	Electronic AML verification	16	20	Building Model Portfolios	36
10	MiFID client data requirements	17	21	Dealing	40
11	What to send where	18	22	Linking / unlinking DFM Models	49

Click the link above to take you to the relevant page.

www.7im.co.uk
[@7IM_Updates](#)

This document has been produced by Seven Investment Management LLP from internal and external data. Any reference to specific instruments within this document are part of widely diversified portfolios and do not constitute an investment recommendation. You should be aware that the value of investments may go up and down and you may receive back less than you invested originally. For Professional Advisers only, not to be provided or relied upon by Retail Investors. Not for further distribution. Past performance is not a guide to the future.

Seven Investment Management LLP is authorised and regulated by the Financial Conduct Authority. Member of the London Stock Exchange. Registered office: 1 Angel Court, London EC2R 7HJ. Registered in England and Wales number OC378740.

No of slides: 94

Contents (continued)

23	Valuations	51	34	Client reporting	78
24	MiFID trading	52	35	7IMagine app	85
25	Regular investment	55	36	3rd party software integration	87
26	Regular withdrawals	60	37	7IM Funds & Models	88
27	Secure Lifetime Income (SLI) from Just	63	38	Offshore & Onshore Bonds	90
28	Ad-hoc withdrawals & cash movements	64	39	Other functionality & services	92
29	Bed & ISA	65	40	Our office	93
30	Fees	67			
31	Reports available online	72			
32	CGT reporting	73			
33	MiFID reports	76			

Click the link above to take you to the relevant page.



7IM was founded in **2002** by **7** experienced investment professionals.
To do things the way we think they ought to be done.



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.



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](#).

Your Platform Relationship Managers

Region	Name	Phone	Profile
London & South East	Hayley Stubbs	07818 809 961	
London & South East	Ryan Kell	0203 823 8857	
London & South East	Jess Lawrence	0203 823 8894	
London & South East	Lauren Henry	0203 823 8402	
London & South East	Henry Fletcher	0203 823 8677	
North West	Lisa Walker	07392 085 884	
North West	Karen Lloyd	07968 010 379	
Scotland & North East	Gillian Campbell	07717 806 485	
South & West	Sam Cole	07436 107 919	
South & West	Andy Bailey	07818 809955	
South & West	Rebecca Mooney	07845 023 044	
Development Manager	Jonnie Lewis	07384 259 067	

[Click here](#) to find other regional contacts in our Business Development and Discretionary Teams

Your Platform Service Team



0203 823 8707



PlatformMailbox@7im.co.uk

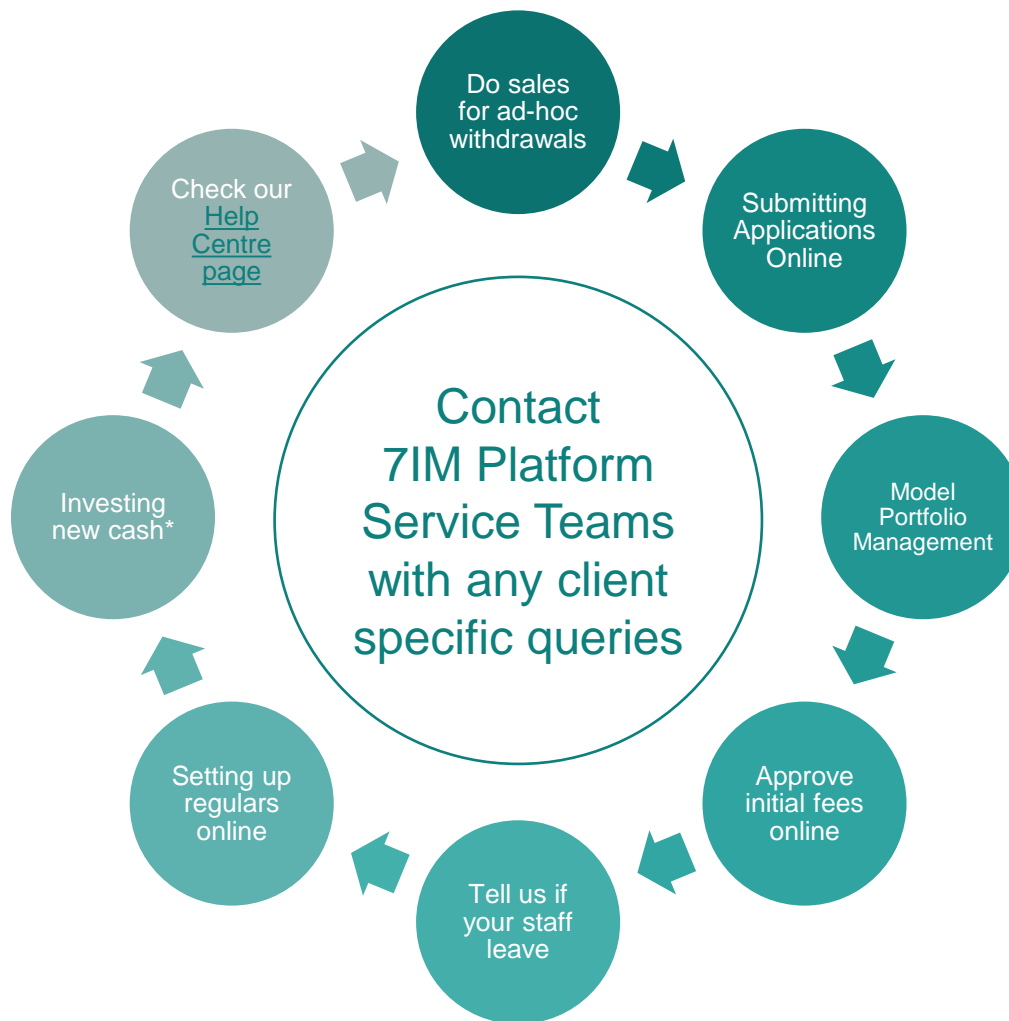
Harry Brownlow Kai Kai-Samba Foyzul Islam Ricardo Caetano	Elise Ioannou Katherine Tointon Victor Veale Louis Fiorellino	Chayma Hafid Jack Steventon William Daus
Ravi Patel, <i>Senior Platform Service Manager</i>		
Mandy Kaur, <i>Platform Service Team Leader</i>		
Mick Gill, <i>Head of Platform Service Team</i>		

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.



Your responsibilities



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

*Where accounts are not set up online with investment instructions

Tax Wrappers summary

Provided by 7IM

<u>GIA</u>	<u>ISA</u>	<u>SIPP</u>
----------------------------	----------------------------	-----------------------------

- [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

<u>SIPP</u>	<u>Offshore & Onshore Bond</u>
-----------------------------	--

- 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](#)
- SIPP 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.

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](#)

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

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 about our
SIPP 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 SIPP
- 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

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 online.

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

Additional steps:
In order to complete your additional requests as detailed below, please complete the pre-populated form(s) provided and return to us using the address provided below:

- ISA transfer form

Our address:
Seven Investment Management
55 Bishopsgate
London EC2N 3AS

Client details

Full name	Mr Tim Bonbon
Preferred name	
Date of birth	07/04/1951
Permanent residential address	88 Test Terrace, Test Town, X39 ZHZ, United Kingdom
Correspondence address	
Email address	tm.bonbon@7im.co.uk
Telephone number	07766 223399

Wrapper selection

- GIA
- ISA
- 7IM SIPP

1 of 14

guardians of beneficiaries, or to separate trusts for their benefit, under the 7IM SIPP. If this is relevant for you, you may wish to discuss the setting up of an appropriate trust with your solicitor.

Beneficiary name	Relationship	Proportion	Trust/Charity address
Sasha Bonbon	Daughter	100%	n/a

Funding

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

Wrapper	Funding type	Amount	Collection date
GIA	Lump sum	£80,000.00	7/1
ISA	Lump sum	£20,000.03	7/1
7IM SIPP	Employer/Contribution Regular contribution	£13,000.00	1st

Any cheque payments should be made out to the following:

- 7IM SIPP: 7IM Trustees Limited
- GIA/ISA/APS: Parishing Securities Limited

Transfers

Wrapper	Provider/ Scheme	Type	Estimated Value	Full/ Partial	Reference number
GIA	Share Centre: Inv-spec		£31,546.50	Full	9876543
ISA	Fidelity	Cash	£431,889.00	Full	Bon12345
7IM SIPP	WVVA	Cash	£470,943.00	Full	123456

Investments

The information below shows how your investments are split across your portfolio(s).

Investment type	Portfolio (B)	Portfolio (S)
LGT Vesta Sustainable Balanced (Balanced)	0%	100%
Cash	100%	0%

3 of 14

Application reference: **A000384**

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:

Signed by:

Date:

Authority to sign:

*If the person signing this form is not the named applicant, please indicate the capacity in which you are signing this form, e.g. as attorney or Court appointed deputy. If signing as an attorney or Court appointed deputy, please also ensure that you have provided us with a certified copy or original of the power of attorney or Court order.

By opening this account and signing here, the account owner:

A. represents and warrants that he/she/it is not a U.S. Person, meaning a person who is in either of the following two categories: (a) a person included in the definition of "U.S. person" under Rule 902 of Regulation S under the U.S. Securities Act of 1933, as amended; or (b) a person excluded from the definition of a "Non-United States person" as used in CFTC Rule 1.7, and

B. agrees to inform us if there are any changes in circumstances which would mean that the representation is no longer accurate, including if the account owner becomes a resident of the U.S.

7IM Investment and Retirement Solutions Limited is authorised and regulated by the Financial Conduct Authority. Registered address: 55 Bishopsgate, London EC2N 3AS. Registered in England and Wales number 10602511.

Seven Investment Management LLP is authorised and regulated by the Financial Conduct Authority, the Jersey Financial Services Commission and the Guernsey Financial Services Commission. Member of the London Stock Exchange. Registered office: 55 Bishopsgate, London EC2N 3AS. Registered in England and Wales number OC378740.

13 of 14

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).

Account opening forms

Where online account opening tool cannot be used

Bond Account Opening Form (Platform)

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

Section 01 Bond Provider Details

Name of Bond Provider: Canada Life International
Name of Account: CLI - Tim Bonbon Reference Number: 123456
Address of Bond Provider:
Country for country if not UK: Postcode:
Contact Name: Company Phone Number:
Company Fax: Email:

Section 02 Bond Provider Bank Details

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

Bank:
Account Name:
Sort Code: Account Number:
Account Reference / Roll Number if applicable:

Section 03 Bondholder Details

Personal Applicants
Sole Bondholder: OR Joint Bondholder:
Non-personal Applicants
Please refer to Identity Verification section
Please print full name of Non-Personal applicant:
Individual Trustee(s) OR Corporate Trustee:
Non-Trustee Applicant(s): Company Partnership if other, please specify

Trust Account Opening Form (Platform)

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

For Trusts only

Section 01 Trustee Details

Please select an account type:
 Trust Bare Trust RATS GRSFS SSAS Other (Please specify):
Name of Account:
The XYZ Family Trust
Legal Entity Identifier (LEI Number (not required for Bare Trusts):
87653876JGHK4KJ4
Country where trust or scheme was created:
UK
Tax Residency of Trust or Scheme:
Country / Countries of Tax Residence: UK Tax Identification Number (TIN): 84753/12
If a TIN is not available please select one of the following reasons:
 The country/territory you are liable to pay tax does not issue TINs to its residents.
 No TIN is required. Please only select this reason if the authorities of your country of tax residence do not require the TIN to be disclosed.
 You are otherwise unable to obtain a TIN or equivalent number. Please explain why you are unable to obtain a TIN in the box below:
UK legislation requires us to collect information about your tax residency. In certain circumstances we may be obliged to share information on your account with HMRC who may in turn share this information with tax authorities of other jurisdictions. If you have any questions about your tax residency or Entity Classification, please contact your tax adviser. You may also refer to the frequently asked questions which are available on our website at www.tim.co.uk

Pension Account Opening Form (Platform)

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

Section 01 Trustee Details

Name of Trustee:
D A Philps & Co
Name of Account:
DP Pensions - Mr A Client
Reference Number:
Company Address (please note we cannot accept a PO Box number or a care of (C/O) address):
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 we are not able to open an account without the entity bank details.

Bank:
Account Name:
Sort Code: Account Number:
Account Reference / Roll Number if applicable:

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

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



Electronic AML verification

- Checks by 7IM include:
 - Identity and address of client
 - Bank account validation (i.e. does the account belong to client)
- If client 'fails' AML check please send us certified copy documents
- 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
- 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 SSASs)	<ul style="list-style-type: none">• Legal Entity Identifier (LEI)• Your service mandate with client – Advised or Discretionary

Where we don't have this mandatory information the account will be [blocked from trading](#) any reportable securities and will be delinked from any DFM model that contains 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)

Money in: GIA, ISA, Non-Personal

- Cheques payable to ‘**Pershing Securities Ltd**’ (our custodian) except [7IM SIPP](#)
- All new ISA money goes into GIA (individual or joint) first, then moved
- 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’.
- Regular investments
 - GIA / ISA (click [here](#))
 - 3rd party SIPP (click [here](#))

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](#)

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



Money in: 7IM SIPP

- 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 new member or employer lump sum or regular contribution is being added to an existing 7IM SIPP account for the **first** time.
 - [Repeat contribution form](#) if a member or employer lump sum contribution is being added to a 7IM SIPP account, **not** for the first time.
- All net member contributions will have tax relief added immediately, prefunded by 7IM, where relevant.

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](#)

SIPP contributions will show on platform two business days after payments have been received and matched to a completed contribution record. We can accept contributions from clients over 75 who are not eligible for tax relief.

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

Click one of the options below for more information

[Making contributions](#)

[Drawdown](#)

[Retirement income](#)

[Secure Lifetime Income](#)

[Junior SIPPs](#)

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	

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](#).

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.

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 7iM account holder.

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:

Nationality:

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

 City:

Country for country if not UK: Postcode:

Is the child a US Citizen? Yes No

If the child is or becomes a US citizen or otherwise subject to US tax on non-US income and gains, we will require you to complete an IRSW-9 Form and a supplementary declaration.

The child named above will be the beneficial owner of the JISA investment.

Section 02 - Registered Contact's Details

You are the registered contact for this JISA.

Account Number:

Please tick 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:

Nationality:

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

 City:

Country for country if not UK: Postcode:

21

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 if not UK:

Postcode:

JISA Unique CTF Account Reference Number:

Is/are the transfer the current JISA / CTF from Stocks & Shares JISA provided by Seven Investment Management LLP (SIM)?

Type of JISA / CTF with the current provider (tick one):
 Cash (please complete sections 1a and 1b)
 Stocks and Shares (please note that the full balance of the account must be transferred if the current JISA / CTF is a Stocks and Shares JISA / CTF. Please complete sections 1b and 1c)

Transfer Authority
 I/We authorise my current JISA / CTF provider to transfer the JISA / CTF specified to 7iM.
 I/We authorise my current JISA / CTF provider to provide 7iM with any information he/she or we are entitled about the JISA, and to accept any instructions from 7iM relating to the JISA / CTF to be transferred.

Section 1a - Cash Transfer

Please provide our code for branch where account is held:
 - -

Please transfer (tick one):
 The full balance of the account, if you are transferring a CTF, the full balance of the CTF would be transferred.
 Part of the Cash JISA account balance only. The amount to transfer is:
 If I/We are transferring a partial Cash JISA, transfer the full amount of the current year subscription must be included in the transfer.

Section 1b - Stocks and Shares Transfer

We wish to transfer the JISA / CTF assets only as follows (tick one):
 A FULL transfer - I/We (01/02/10) all the holdings as they are currently invested and transfer them to any residual cash to 7iM.
 A FULL CASH transfer - I/We (01) all holdings and send the resulting cash to 7iM.
 A FULL transfer - I/We (01/02/10) the holdings listed below as they are currently invested and transfer them to 7iM and send all remaining holdings and send the resulting cash to 7iM.*
 Detail below the holdings you want to re-invest or sell if you want a FULL transfer to be placed in an investment and/or cash holdings.

I have enclosed a recent valuation/ statement of all holdings to be transferred. Providing an additional statement will speed up the transfer process.

Section 1c - Current Year Subscriptions Included in the Transfer

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

Section 2 - Registered Contact's Details

I am the Registered Contact of the current JISA / CTF.
 Current Registered Contact's 7iM Portfolio Number*

Title:

Full Name:

Permanent Residential Address*

 City:

Country for country if not UK:

Postcode:

Date of Birth (DD/MM/YYYY):

Title and Country of Birth:

Nationality:

JISA Account Number

Tick this box if you are registering because you have subjected the child named above. This does not need to be completed section 2.
 The child named above will be the beneficial owner of the account investment.

22

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 (7iM), 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

7iM Portfolio Number:

Full Name:

The person named above is the current Registered Contact for the JISA, and either (please complete as appropriate):
 of Current contact: Is the current Registered Contact for the change of Registered Contact the same Applicant named in Section 01g, signing below?
 Signature of name of Registered Contact for the JISA:

OR
 Is this box ticked if the person named above is no longer capable of being the Registered Contact, current, for reasons set out below in explanation on Registered Contact will be provided?
 Please note you will be asked to provide the appropriate documentation to support this.

Section 2 - Current Registered Contact's Details

7iM Portfolio Number:

Full Name:

Title:

Child's First Name(s):

Child's Surname:

Permanent Residential Address*

 City:

Country for country if not UK:

Postcode:

Date of Birth (DD/MM/YYYY):

Title and Country of Birth:

Nationality:

JISA Account Number

Tick this box if you are registering because you have subjected the child named above. This does not need to be completed section 2.
 The child named above will be the beneficial owner of the account investment.

Section 3 - New Registered Contact's Details

7iM Portfolio Number:

Full Name:

Permanent Residential Address:

 City:

Country for country if not UK:

Postcode:

Date of Birth (DD/MM/YYYY):

23

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
Jl	Junior ISA
V	Joint GIA
W	Trust
X	Individual GIA
XSH	ISA*
Y	SIPP
Z	Offshore Bond
H	Onshore Bond

- **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.

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

Knowing the above structure 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](#)

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

[Home](#)
[Reports](#)
[My Documents](#)
[My Details](#)
[Contact us](#)
[Logout](#)

My Group

Name	Value (£)
■ Mr Zak Gardner	58,690.02
■ Mr Cameron Lawrence	24,625.51
■ Mr Eddie Moreno	207,785.91
■ Mr Oscar Payne	54,152.77
■ Mrs Ashley Quezada	47,534.89
■ Mr Terry Sample	737,403.42

▶ Value (£)

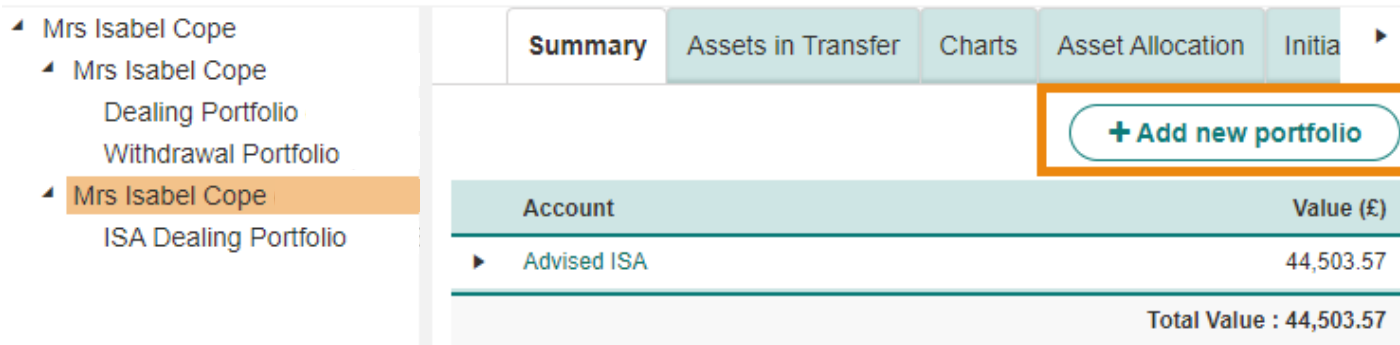
= 1,130,192.52

As at 01/06/2020

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

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

Adding new sub accounts



The screenshot shows a client account interface for Mrs Isabel Cope. The left sidebar lists the account structure: Mrs Isabel Cope (expanded), Dealing Portfolio, Withdrawal Portfolio, Mrs Isabel Cope (selected), and ISA Dealing Portfolio. The main content area has a navigation bar with tabs: Summary (selected), Assets in Transfer, Charts, Asset Allocation, and Initialia. Below the navigation bar, a table lists the account details. A button labeled '+ Add new portfolio' is highlighted with an orange border. The table shows one account, 'Advised ISA', with a value of 44,503.57. The total value is also shown as 44,503.57.

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 [Equisoft](#) (formerly Altus)
- It's important that the client details (e.g. name, address, DOB, NINO) you give us on our transfer form match those currently held by the transferring provider
- Timescales vary hugely, with cash & electronic transfers being the quickest (2-3 weeks) and manual in-specie transfers usually taking the longest
- Offshore funds have to be transferred manually, so they 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 cash transfers are usually electronic via [Origo](#) and often only take 2-3 weeks
- 7IM SIPP in-specie transfers are often manual and therefore can take longer
- 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		Stock - In Specie (In)	Advised ISA Account	27/06/2019	Old Mutual	Paperwork checked and sent to scanning	15/07/2019
▶ Yes		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				7im\kimberly.dowuona		27/06/2019	
Anonymised comment 651568				7im\kimberly.dowuona		05/07/2019	

- This section shows notes from our transfers team as they process 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.



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	Transfer Type	Type	Forms Received ↓	Source	Provider Reference	Status	
Logue, Mr Craig		Mr Craig Logue	Advised ISA Account	Full	Cash Transfer (In)	17/01/2024	Abrdn		Unknown	
Logue, Mr Craig		7IM SIPP - Mr Craig Logue	Advised SIPP	Full	7IM SIPP Cash (In)	17/01/2024	Abrdn		Unknown	
Miller, Mrs Kathleen		7IM SIPP - Mrs Kathleen Miller	Advised SIPP	Full	7IM SIPP Cash (In)	17/01/2024	Quilter		Unknown	
Lane, Mrs Suzanne		7IM SIPP - Mrs Suzanne Lane	Advised SIPP	Full	7IM SIPP Cash (In)	16/01/2024	Abrdn		Transfer Form Forwarded to Provider	
Flanagan, Mrs Priscilla		7IM SIPP - Mrs Priscilla Flanagan	Advised SIPP	Full	7IM SIPP Cash (In)	11/01/2024	Quilter		Transfer Form Forwarded to Provider	

Click on the Assets in transfer link on the platform homepage or go to **Practice > Assets in transfer**

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

From Portfolio

To Portfolio

bold denotes editable cells colour denotes modified cells

Quantity	SEDOL	Description	Total Cost (£)	Price	Market Value (£)	Gain/Loss (£)	Quantity To Move	Percentage To Move	Value (£)	Cost (£)
1,888.308	B7W3051	FIRST STATE INV WWIDE SUSTAINABILITY B ACC	4,511.39	2,5531	4,815.93	304.54	1886.306	100.00%	4815.93	4511.39
5,714.693	BMN0053	LIONTRUST FUND PARTNERS LLP SUSTAINABLE FUTRE DEFENSV MGD 2 NET INC	8,000.00	1,4109	8,097.29	97.29	0.000	0.00%	0.00	0.00
1,352.509	3003006	LIONTRUST FUND PARTNERS LLP SUSTAINABLE FUTURE GLOBAL GTH 2 ACC NAV	3,000.00	2,3525	3,181.75	181.75	0.000	0.00%	0.00	0.00
3,784.781	BFN4H46	VALLI-TRAC INVESTMENT MANAGEMENT LTD GRAVIS CLEAN ENERGY INCOME C INC	4,476.55	1,3291	5,030.41	553.86	0.000	0.00%	0.00	0.00
			£19,987.94		£21,126.38	£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
 ▼

Generate Report

Wealth Manager	Client Name	Account	Account Type	Portfolio	Sedol	Isin	StockName	Quantity	Currency	Value	TradeDate	SII Active When Cash Received	Linked To ISA	SII Processed Date	SII Active When Report Run
Daisy Conway	Mrs Sophie Owens Mrs Sophie Owens	Mrs Sophie Owens	Advised ISA Account		B6QQDK4	GB00B6QQDK47	M&G SECURITIES LIMITED M&G GBL STRATEGIC VALUE STERLING A INC	9937.225	GBP	£18,157.30	13/08/2021	Y	N/A		Y
Daisy Conway	Mrs Mary Privett Mrs Mary Privett	Mrs Mary Privett	Advised Individual Account		CASH		CASH (GBP)	0	GBP	£105,206.48	13/08/2021	N	Y		N
Lily Newnan	Mr James Cobb 7IM SIPP - Mr James Cobb	7IM SIPP - Mr James Cobb	Advised SIPP		CASH		CASH (GBP)	0	GBP	£578,262.78	20/08/2021	Y	N/A	23/08/2021	Y

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

Reports > Practice Administration > New Platform Assets (CSV Option)

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

Notifications awaiting action: 1
[more...](#)

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	<input type="checkbox"/>
▶ 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 ↻

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

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

Creating a new model

Model Portfolio

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

[Create](#) [Cancel](#) [Back to Previous Page](#)

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

Add funds and weightings

Add Securities

Security search

Securities

Sedol

Name	MiFID Reportable	Sedol	
7IM SUSTAINABLE BALANCE S ACC		BJBPWR7	<input type="button" value="Select"/>
7IM SUSTAINABLE BALANCE S INC		BJBPWS8	<input type="button" value="Select"/>

1 - 2 of 2 items

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.

Security Description	OCF	Weighted OCF	MiFID Reportable	Sedol	Currency	Percentage
7IM SUSTAINABLE BALANCE S ACC	1.18%	0.58%		BJBPWR7	GBP	49.00% <input type="button" value="edit"/> <input type="button" value="delete"/>
BNY MELLON GLOBAL FUNDS PLC SUSTAINABLE GLOBAL EQTY INC W GBP ACC	0.85%	0.00%		BJ066Z7	GBP	<input type="text" value="49%"/> <input checked="" type="button" value="save"/> <input type="button" value="cancel"/>
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%.

Import and clone model portfolio

Import

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

Clone Model

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

Import Existing Model

Select files...

Template Model Portfolio Import Spreadsheet.csv
0.95 KB

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.

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 - 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](#)).

- Add all trades to Order Sheet, then submit Order Sheet
- No minimum trade size for selling.
- 11am dealing cut-off (for funds that price at midday).

Please note that trades cannot be cancelled once submitted.
All trades 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

Dealing: selling

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

Client

Portfolio

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

Type

Calculation

 View Example

Amount

Transaction Format

Transaction Fee

Create Order

Ordersheet
Submit
Clear
Clear Errors

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

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

Dealing: switching

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

Examples:

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

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

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

7IM Platform will process queued buy trades in accordance with in-built rules linked to settlement periods and buffers. Typically this will be the following day but might not always be the case.

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

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.

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)

Minimum Trade Amount

[Create Order](#) [Export Preview](#)

Ordersheet		Submit	Clear	Clear Errors				
	Trade Type	Description	Sedol	Quantity / Cash	Portfolio name	Client	Number Of Buys	Number Of Sells
▲	Benson, Mrs Jasmine;ISA							
▶	Rebalance	7IM Blended Adventurous Model Portfolio	ISA		Benson, Mrs Jasmine		16	25 ✕

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

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		
		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	506.9456	£ 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 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.

Unlinking from / linking to DFM Model

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

◀ ◁ 1 2 3 4 5 6 7 8 9 10 ... ▶ ▷ 10 items per page 1 - 10 of 187 items ↻

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.

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.

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**

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.

Valuations (inc historical valuation)

Summary Assets in Transfer Positions Transactions Orders in Progress Orders Complete Charts Asset Allocation Ini										
Export to Excel										
Quantity	SEDOL	Description	Fact Sheet	Total Cost (£)	Price	Market Value (£)	Assets %	Yield %	Gain / Loss (£)	
Cash										
15.68	CASH	CASH (GBP)		15.68		15.68	0.11		0.00	
Cash Total				£ 15.68		£ 15.68	0.11		£ 0.00	
GBP Mutual Funds										
9,669.928	BJBPX07	7IM AAP ADVENTUROUS S ACC		12,311.52	1.4309	13,836.70	99.89	1.28	1,525.18	Buy Sell
GBP Mutual Funds Total				£ 12,311.52		£ 13,836.70	99.88		£ 1,525.17	
TOTAL PORTFOLIO				£ 12,327.20		£ 13,852.38	100.00	1.28	£ 1,525.17	

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

Positions

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

Client Search

Select Account and Portfolios

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

Date

Report Format

[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%			x Add

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 relink 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

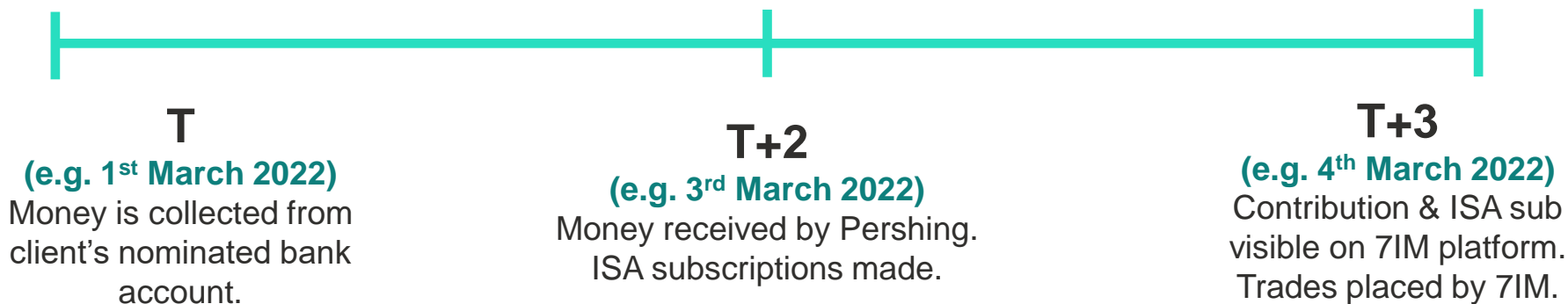
- Individual GIA & ISA (not joint GIA or JISA yet). Click [here](#) for FAQ.
- Paperless Direct Debit (DD) set up online by you
 - No signatures or paper required.
 - DD must be from client's own nominated bank account
 - Client's email address is mandatory (all DDs will be confirmed by email)
 - Collection 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.

Regular investment: GIA & ISA

- We use Go Cardless to handle & process all DDs on our behalf.
- Timeline for collections, visibility on platform, and trades is as follows:



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.



Regular investment: GIA & ISA

Edit Regular Investment

Name Mr Nicholas Beaudoin **Email** NicholasPBeaudoin17388@uat.7im.com

Account

Portfolio(s)

Regular Investments

Regular Type

Amount

Security

SEDOL	Security Name	MIFID Reportable	Amount	Percentage	
CASH	CASH (GBP)		£4.00	2.00 %	
BJBPWR7	7IM SUSTAINABLE BALANCE S ACC		£98.00	49.00 %	X Delete
BF1T8V3	BROWN ADVISORY FUNDS US SUSTAINABLE GROWTH B GBP ACC		£98.00	49.00 %	X 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 **_**_00

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.

Regular investment: 3rd party SIPP

Edit Regular Investment

Name Mr Nathan Armstrong Email NathanArmstrong77264@uat.7im.com Documents ⓘ
Account [Order Execution Policy](#)
Portfolio(s)

Regular Investments

Regular Type

Amount
 ⓘ

Security

SEDOL	Security Name	MiFID Reportable	Amount	Percentage	
CASH	CASH (GBP)		£13.00	2.00 %	
BJBPWR7	TIM SUSTAINABLE BALANCE S ACC		£448.50	68.00 %	X Delete
3002876	LIONTRUST FUND PARTNERS LLP SUSTAINABLE FUTURE UK GROWTH 2 ACC NAV		£188.50	29.00 %	X 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		Sirmans, Mr William	Advised Individual Account			Monthly	1st	110.00	✓
Sell & Withdrawal	Bateman, Mrs Mildred		Sirmans, 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).

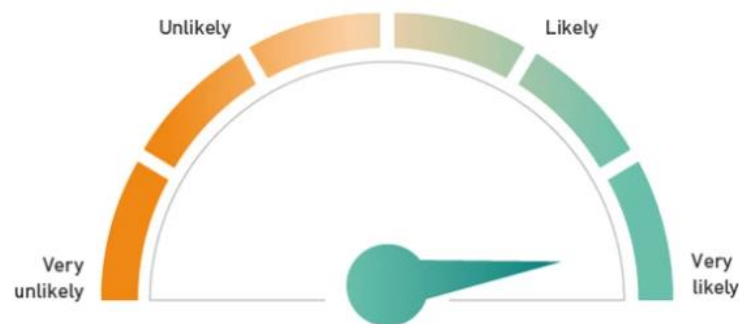
Click [here](#) to find out more about our **Tailored Drawdown** (phased drawdown) option
Click [here](#) to find out more about **Death Benefits** from 7IM SIPP
Click [here](#) for **HMRC New Starter Checklist** form



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](#)

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

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.

Bed & ISA

Bed and ISA Instruction

Client Name

From Portfolio
 Proportional Sale

To Portfolio

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

- ISA subscription can be funded by:
- Proportional sales
 - Specific fund sales
 - Existing cash

Sell

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

ISA Subscription

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

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.



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.

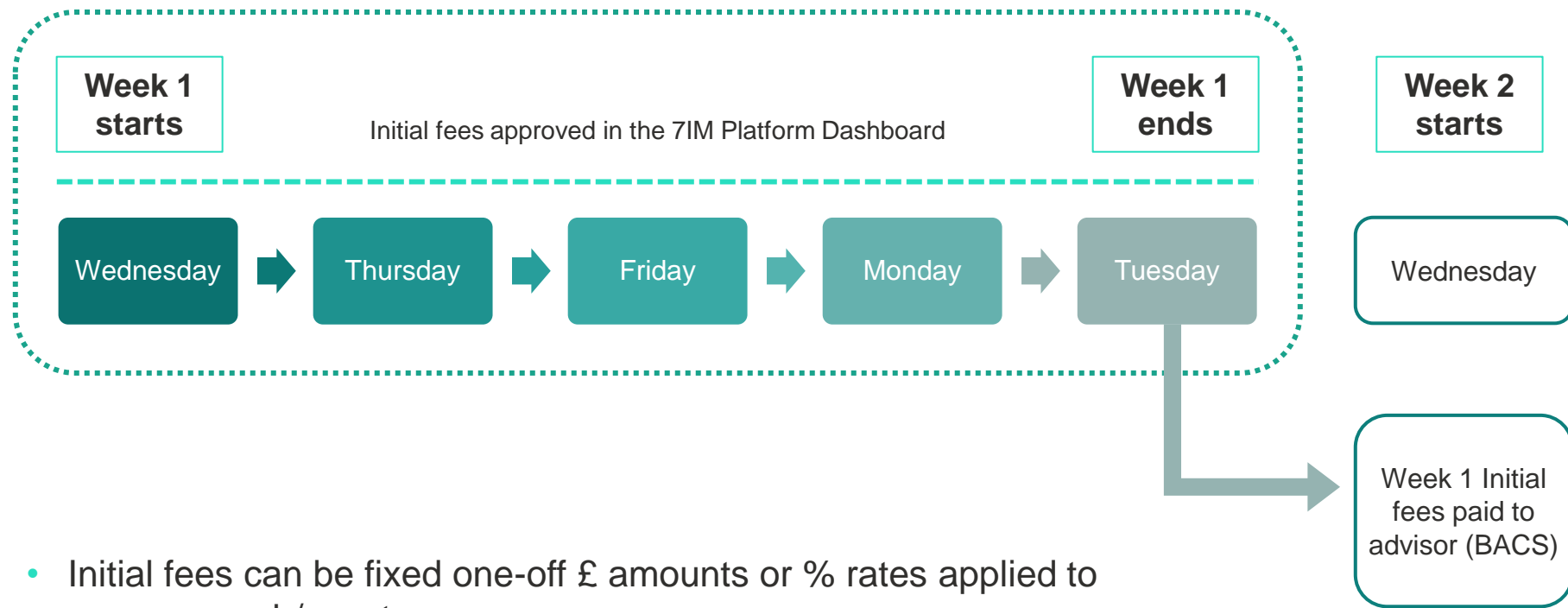
Submit

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.

Initial fees dashboard

Initial Fees

From To

[Awaiting Approval](#) [In Progress](#) [Completed](#) [Cancelled](#)

bold denotes editable cells **colour denotes modified cells**

[Export to Excel](#) [Cancel](#) [Approve](#) 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 checked="" type="checkbox"/>
	Short, Mr Le										
Beck, Mr Mark	Short, Mr Leon	SIPP		01/09/2020	CASH	£254.00	1.00 %	£2.54		£8,370.01	<input checked="" type="checkbox"/>
Beck, Mr Mark	Short, Mr Leon	SIPP		01/09/2020	CASH	£253.20	0.50 %	£1.27		£8,370.01	<input checked="" type="checkbox"/>

20 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.

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
		Fees							
▲ Currency: GBP Closing Balance: £ 3,897.41									
11/09/2020	11/09/2020	Fees		CASH (GBP) Adviser Ongoing Payment Aug 20		(51.90)	0.00	3,697.41	
11/09/2020	11/09/2020	Fees		CASH (GBP) 7IM Fees Aug 20 for		(17.18)	0.00	3,749.31	
11/09/2020	11/09/2020	Fees		CASH (GBP) Adviser Ongoing Payment Aug 20		(124.89)	0.00	3,766.49	
11/09/2020	11/09/2020	Fees		CASH (GBP) DFM Fee Aug 20 for		(39.96)	0.00	3,891.38	
11/09/2020	11/09/2020	Fees		CASH (GBP) 7IM Fees Aug 20 for		(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

Ongoing fees: how to monitor

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

Firm's ongoing payment statement

Reports ▾ Research ▾ [Plk]

- 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

5/09/2020 02:03

Practice ▾ Clients ▾ Tools ▾ Transactions ▾ Reports ▾ Research ▾

- Summary
- Initial Fees
- Statements
- Assets In Transfer 019 End date: 24/09/2020 [Update Statements](#)
- Wealth Managers

Statement Type ↓	Recipient	Owner	Period	Created	Comments	Offshore	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 that 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 style="width: 100%; border: 1px solid black;" type="text"/>	<input style="width: 100%; border: 1px solid black;" type="text"/> % or £ <input style="width: 100%; border: 1px solid black;" type="text"/>
<input style="width: 100%; border: 1px solid black;" type="text"/>	<input style="width: 100%; border: 1px solid black;" type="text"/> % or £ <input style="width: 100%; border: 1px solid black;" type="text"/>
<input style="width: 100%; border: 1px solid black;" type="text"/>	<input style="width: 100%; border: 1px solid black;" type="text"/> % or £ <input style="width: 100%; border: 1px solid black;" type="text"/>
<input style="width: 100%; border: 1px solid black;" type="text"/>	<input style="width: 100%; border: 1px solid black;" type="text"/> % or £ <input style="width: 100%; border: 1px solid black;" 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 style="width: 100%; border: 1px solid black;" type="text"/>	<input style="width: 100%; border: 1px solid black;" type="text"/> % or £ <input style="width: 100%; border: 1px solid black;" type="text"/>
<input style="width: 100%; border: 1px solid black;" type="text"/>	<input style="width: 100%; border: 1px solid black;" type="text"/> % or £ <input style="width: 100%; border: 1px solid black;" type="text"/>
<input style="width: 100%; border: 1px solid black;" type="text"/>	<input style="width: 100%; border: 1px solid black;" type="text"/> % or £ <input style="width: 100%; border: 1px solid black;" type="text"/>
<input style="width: 100%; border: 1px solid black;" type="text"/>	<input style="width: 100%; border: 1px solid black;" type="text"/> % or £ <input style="width: 100%; border: 1px solid black;" 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)
- New inflows (includes cash and in-specie transfers) (click [here](#))
- ISA subscriptions
- Regular withdrawals (fixed £ and natural income sweeps)
- Account values (inc. historical values)
- Fee rates by account (inc. family group linking and DFM model links)
- Individual client valuations and transactions
- 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.

CGT reporting: online

CGT dashboard summary in client's account:

Capital Gains Tax Dashboard
Realised Gains and Losses

Export to: Excel PDF

Current Tax Year	2020 / 2021	CGT Allowance	£12,300.00
Realised Gain/Loss	£6,700.46	Total Allowable Loss Brought Forward	£0.00
Unrealised Gain/Loss	£97,838.80	Unused Allowable Loss Brought Forward	£0.00
Unused CGT Allowance	£5,599.54		

Unrealised Gain/Loss Positions

Mrs Sarah Burke - Discretionary Individual Account

Portfolio ID	Quantity	SEDOL	Description	Unit Price	CGT Cost	Market Value	Notional Gain / Loss	Notional Gain / Loss	
170866.701		B2PB2M7	7IM AAP MODERATELY ADVENTUROUS C ACC	£1.8186	£248,186.09	£310,738.18	£62,552.09	20.13 %	
19990.449		B1LBFZ8	7IM SUSTAINABLE BALANCE C ACC	£1.7830	£29,554.95	£35,642.97	£6,088.03	17.08 %	
25097.2389		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 AGGRESIVE 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.

CGT reporting: online

UNREALISED CGT REPORT MR NICHOLAS BEAUDOIN



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

REALISED CGT REPORT: TAX YEAR 06 APR 2020 TO 05 APR 2021 MR NICHOLAS BEAUDOIN



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

ALL CLIENTS CGT REPORT TAX YEAR 06 APR 2020 - 05 APR 2021 MRS SHANNON HARRISON MCJUNKIN EXCHANGE



Client ID	Client Name	Chargeable Gain (£)	Allowable (Loss) (£)	Net Chargeable Gain / (Loss) (£)	Allowable (Losses) B/F* (£)	Allowable (Losses) C/F* (£)	CGT Allowance (£)	Unused CGT Allowance (£)	Gain Liable To CGT (£)
	Mrs Abigail Abbott	0.00	0.00	0.00	0.00	0.00	12,300.00	12,300.00	0.00
	Mr Jacob Abbott	0.00	0.00	0.00	0.00	0.00	12,300.00	12,300.00	0.00
	Mrs Kimberly Adair	0.00	(8.40)	(8.40)	(40.04)	(48.44)	12,300.00	12,300.00	0.00

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



MIFID MI reports

There are 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 <u>All Securities Held</u> 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.
MIFID Costs & Charges	This report shows all the MIFID costs and charges transaction data for you to be able to calculate your own summary.
Client MIFID relationships	This report shows the MIFID category of each client. Advisory clients will be categorised as 'Execution Only'. This category affects how 7IM report listed securities.

Reports > MIFID Reports

Reports > Practice Admin > Client Holdings by Security

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.

ALERT The value of one or more of your client accounts has depreciated by 10% or more within this reporting period. For further details, please check the MIFID II 10% Notification screen.

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

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

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

IFANO-TR
Portfolio Number:
SEDOL: BJBWPX3
ISIN: GB00BJBPWX30
Bargain Reference:
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	£1.18820405	£145.00
Commission*					£0.00
Total Charges					£0.00
Total					£145.00

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

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

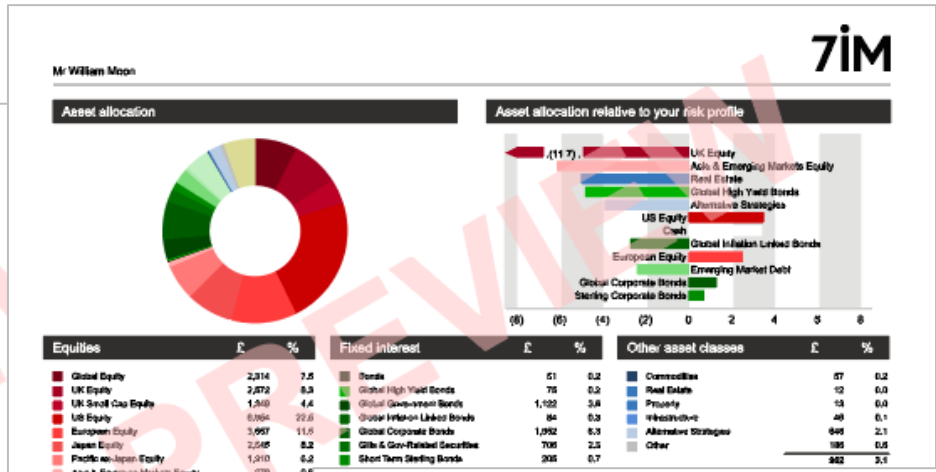


Client reporting: statements

Your portfolio valuation

MR WILLIAM MOON

Report from 6th April 2020 to 30th June 2020



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.

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

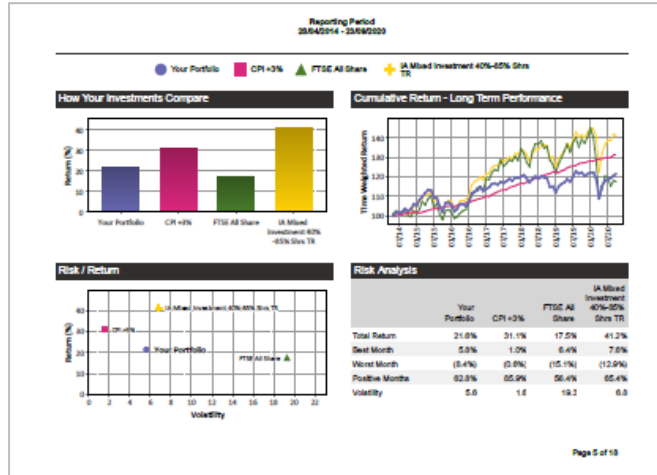
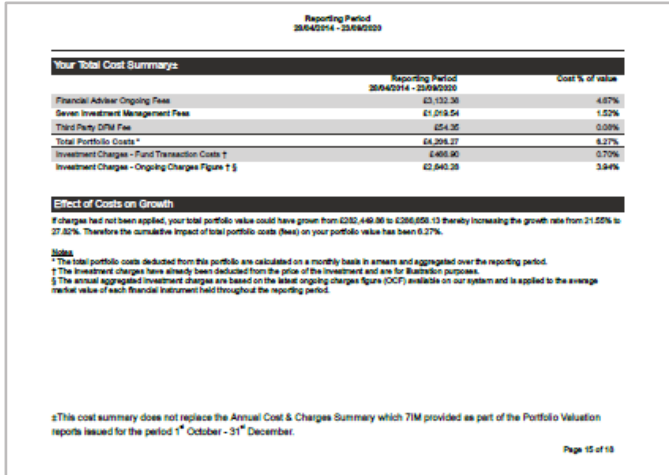
Client Name	Group ID	Group Name
Abbott, Mr Jacob	21013	Lionel Rood

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.

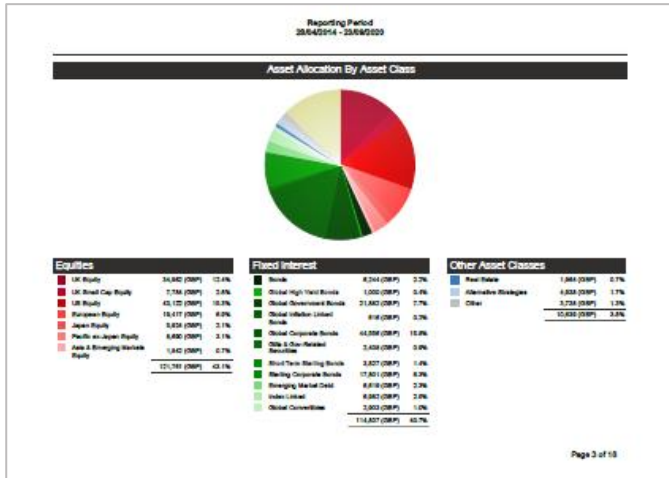
Reports > Client Valuation Reports > Manage Report Groups

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

Client Review Report (CRR)



Page 5 of 18



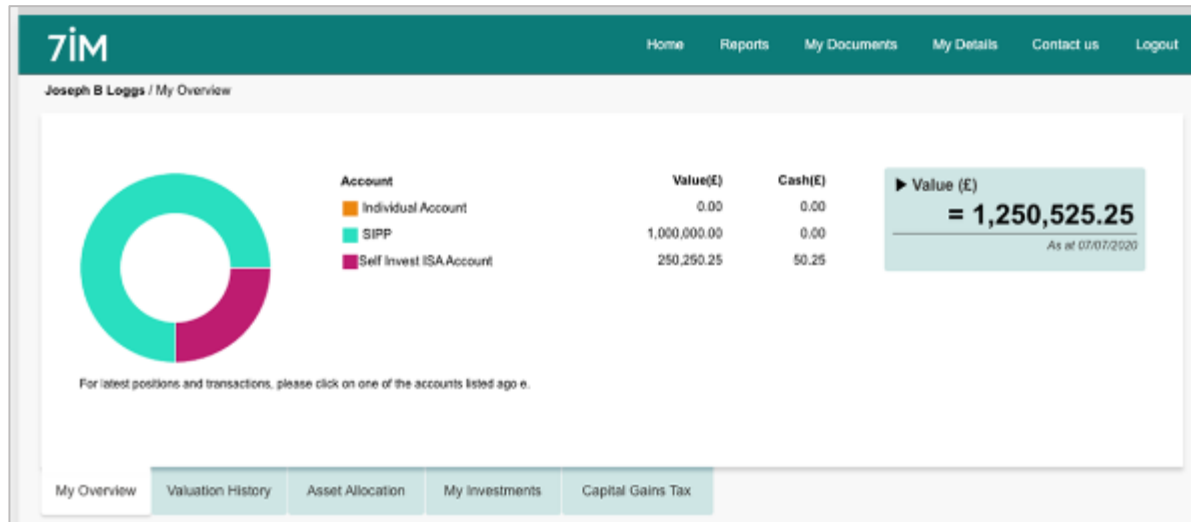
Page 3 of 18

Write your own title here

Your subtitle here

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.

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](#).

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.



Cashflow tool: My Future



The screenshot shows the 'TELL US ABOUT YOUR MONEY AND PENSIONS' app interface. At the top, it displays the time '12:43 Wed 22 Apr' and battery level '68%'. The main title is 'TELL US ABOUT YOUR MONEY AND PENSIONS'. Below the title, there are controls for 'CONTACT US' and 'MORE'. The main text reads: 'Slide and Drop investments held in each person's name onto the correct line, and provide some details for each. We assume that any employment income you earn will be fully spent, unless you include it as Savings or Contributions here. Enter the most recent information you have received from your product provider, then touch Accept to advance.' The screen shows a list of assets and liabilities for Kieran, Lauren, and Joint. On the right side, there are buttons for 'Bank', 'Pension', 'Investments', and 'Other'. At the bottom, there are buttons for 'Previous', 'Personal', 'Money', and 'Accept'.

Easy interactive way to quickly gather client data and build a cashflow plan which can then be amended with the client in real time. Click [here](#) for more info OR [here](#) to watch a demo.

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:



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. .

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.

7IM & Utmost Offshore Bond



Ongoing charge basis

PREMIUM BAND	STANDARD UTMOST TERMS (FULL ONGOING CHARGE PA)	UTMOST TERMS FOR 7IM CUSTOMERS (FULL ONGOING CHARGE PA)
£100,000 - £249,999	0.35%	0.20%
£250,000 - £374,999	0.30%	0.18%
£375,000 - £499,999	0.30%	0.17%
£500,000 - £749,999	0.30%	0.16%
£750,000 - £999,999	0.30%	0.15%
£1,000,000+	0.25%	0.14%

Up front charge basis

PREMIUM BAND	STANDARD UTMOST TERMS (FULL INITIAL CHARGE)	UTMOST TERMS FOR 7IM CUSTOMERS (FULL INITIAL CHARGE)
£100,000 - £249,999	1.75%	1.0%
£250,000 - £374,999	1.5%	0.90%
£375,000 - £499,999	1.5%	0.85%
£500,000 - £749,999	1.5%	0.80%
£750,000 - £999,999	1.5%	0.75%
£1,000,000+	1.25%	0.70%

**£166 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

7IM & Onshore Bond



Countrywide Assured

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

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

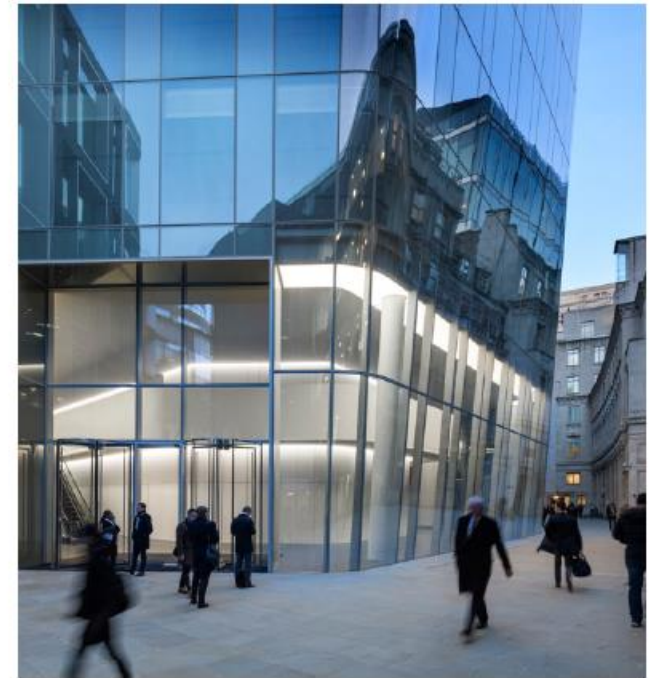
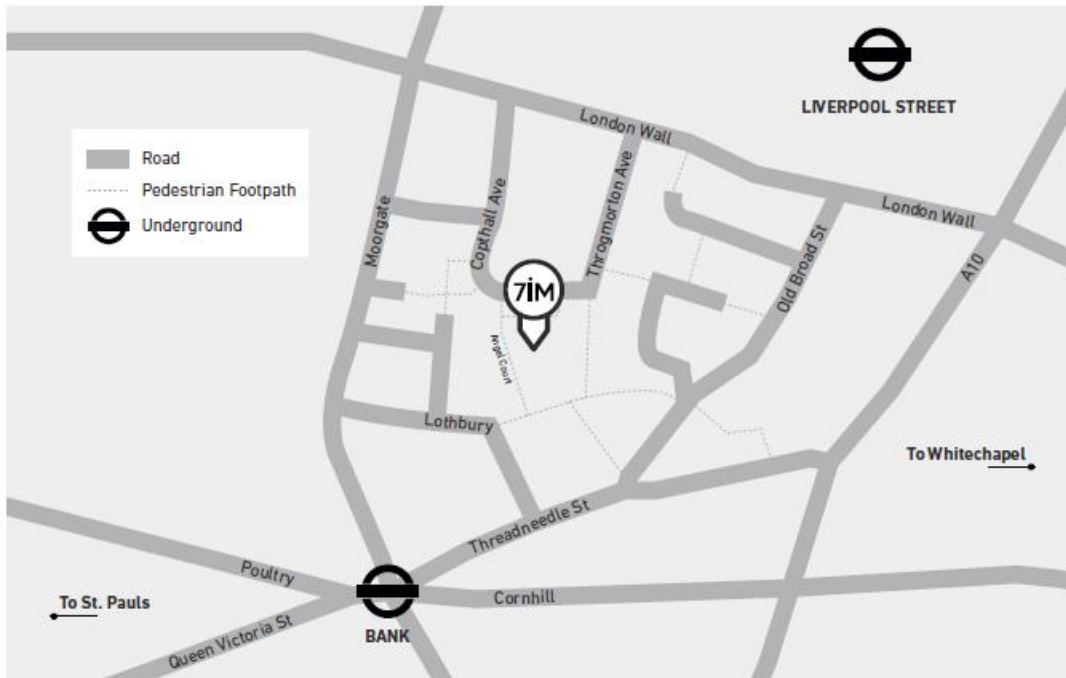
Need further training or help?

- 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](#)

Contact your [Platform Relationship Manager](#) for any of the above

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 94 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.

Seven Investment Management LLP is authorised and regulated by the Financial Conduct Authority. Member of the London Stock Exchange. Registered office: 1 Angel Court, London EC2R 7HJ. Registered in England and Wales number OC378740.



7IM