

JANUARY 2024

### **Security Set up (for all products)**

- Send platformmailbox@7im.co.uk a request to set up the security, including the ISIN and term sheet/brochure.
- For listed products, also provide any contacts at the product provider for structured products prior to placing trades.
- In order to make the process as efficient as possible for the most popular providers, we have a list of Pre-Approved (see below), where we require no additional documentation to set up the security.
- Please complete a Non-Standard Assets Form (see end of document) for securities that are not on the Pre-Approved structured product providers, see below. This form should be completed by the structured product provider and can take up to 3 days for us to process.
- We will not be able to set up the security if the ISIN has not been set up on the London Stock Exchange.
- Our platform service team will confirm when the security has been set up and this will include the SEDOL, so you are able to locate on the platform.
- 7IM does not accept Bearer Structured Products or Deposits.

### **Non-listed products**

- Once we have confirmed the security is set up and the SEDOL code of the security, please place the trade on the platform in the usual way.
- Send an email to platformmailbox@7im.co.uk confirming the below information attaching the application form with the Financial Adviser section completed and signed by the adviser.
  - Client name
  - 7IM Portfolio reference
  - Investment amount in £
  - SEDOL code
  - PDF copy of completed Application Form (Adviser Section only)
- The form should be in the form of an editable PDF document, please do not send paper copies in the post.
- Please note that we only need a digital application to be completed for Meteor (also known as MB).

**Please note that we require the trade to be input on our platform and all the above information at least five working days before the application deadline otherwise the trade will be rejected.**

**Listed products**

- Once we have confirmed the security is set up and the SEDOL code of the security, please place the trade on the platform in the usual way.
- Send an email to platformmailbox@7im.co.uk confirming the below information.
  - Client name
  - 7IM Portfolio reference
  - Investment amount in £
  - SEDOL code
  - Settlement location: Euroclear or Paper (if Euroclear, please confirm the trading counterparty).

**Please note that we require the trade to be input on our platform and all the above information at least one working day before the agreed trade date otherwise, the trade will be rejected.**

**Please note if we do not have a relationship with the counterparty, we will need to set up, which can take some time to go through our approval process.**

**Pre-approved structured product providers**

Provider/Broker	Product Type	Fixed deposit structured product	Counterparty (Product Issuer)
Meteor (also known as MB)	Not listed – application required	Yes	Morgan Stanley
Walker Crips	Not listed	Non Standard Asset form required	Goldman Sachs HSBC
James Brearley (including IDAD)	Not listed	Non Standard Asset form required	SG (Societe Generale)
Tempo	Not listed	Non Standard Asset form required	Barclays
Causeway Securities	Not listed	Non Standard Asset form required	Citigroup
Hilbert	Not listed	Non Standard Asset form required	Credit Suisse
Marianna	Not listed	Non Standard Asset form required	
Fortem	Not listed	Non Standard Asset form required	
Atlantic House	Listed	N/A	

**Maturity (for all products):**

- Once we receive notification that the product has matured or kicked out, we will then process this as a corporate action. Unfortunately, this process is often paper-based and, therefore, can cause delays.
- We would normally receive the maturity payment 15 business days after the maturity/kick out date.  
**Without the above notification and correct payment reference, we are unable to apply the proceeds to a clients account.**
- If this confirmation is sent directly to you, please ensure it is forwarded to the platformmailbox@7im.co.uk