

Purchasing Investment funds

Purchasing as investment through Personal Pension, ISA, GIA

1. Log on using your credentials ensuring you are logged on as a user who has "Read/Write" permissions.
2. You now need to search for the client, this is done on the left-hand menu under "Existing Accounts" and "Search".
3. You can search for clients by the account number, name of individual adviser, or customer name, click on the "Search" button and a list of the clients within those search parameters will appear. If there is more than one matching the details provided, click on the relevant "Account Number", which are shown in blue.

ACCOUNT SEARCH

Search criteria

Platform Provider	EIS	Account Holder First Name:	
Enter Account Number:		Account Holder Surname:	
		Select Adviser:	All
		Account status:	All

Search

4. Click on "New Work" on the left-hand ribbon.
5. Now click on "New Investment Transaction". This opens up the investment wizard which is used for purchases and sales.

NEW BUSINESS

Payment activities

- New/amend prod payment
- Payments out
- Crystallise pension benefits

Investment activities

- **New investment transaction**
- Quote and Deal
- Remove assets from Disc Mgmt

Account activities

- Generate new illustration
- Generate drawdown illustration
- Generate existing illustration
- Generate an Income Illustration

6. Select the product wrapper using the drop-down box and indicate whether advice has been given on the investment. The order type allows you to select either a one off or regular purchase. Once entered click on "Next".



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Step by step guide: Purchasing investments

1 Order Setup 2 Sell Trades 3 Buy Trades 4 Switches 5 Conversions 6 Confirm

Filter

Product wrapper: Please indicate whether advice was given: Yes No

Order Type:

Action Date:

Next

7. As we are purchasing an investment you need to click "Next" on "Step 2 Sell Trades".

8. The next screen "Steps 3 buy Trades" is where you choose the investment for purchasing, the top of the screen shows the available cash.

Batch ID: 149044

Available Funds: **GBP 19800.11**

Available Funds Currency:

Batch Type:

9. To select the investment for purchasing click on the "Find" button.

Investment	Order Value	Order Quantity	Order Settlement Currency	% Allocation	Order Type
<input type="text"/> Find	<input type="text"/>	<input type="text"/>	GBP	<input type="text"/>	At Market
<input type="text"/> Find	<input type="text"/>	<input type="text"/>	GBP	<input type="text"/>	At Market

10. The search wizard pop-up will appear. This is where you locate the fund you are wishing to purchase. The search type is where you choose either Investment Funds or Stocks and Shares. You can search on the SEDOL code if this is known, alternatively you can search the fund name. Once happy click on "Search".

11. This will load the list of investments matching the search criteria.

Search Criteria Cancel **Search**

Search Type: Investment Funds

Name: Henderson

Code:

SEDOL code:

Fund Manager: All

Asset Class: All

Geographical Region: All

IMA Sector: All

Click Banner

Search Results: 79

Type	Code	Sedol	Name	Documents	3 mth perf	6 mth perf	1 yr perf	3 yr perf	Select
Managed Fund	HE69	0745237	Henderson All Stks Crd I Acc		-0.6923	1.2152	4.8741	16.0449	Select
Managed Fund	HE65	0745196	Henderson All Stks Crd I Inc		-0.68	1.1949	4.8902	16.0069	Select
Managed Fund	TU47	0768160	Henderson Asia PacificCapGth I Acc		7.2925	14.1838	26.1084	59.204	Select
Managed Fund	IET2	B625GY9	Henderson AsianDivInc I Acc		2.332	10.632	16.2819	43.9524	Select
Managed Fund	IET1	B619353	Henderson AsianDivInc I Inc		2.3312	10.6074	16.466	43.9562	Select
Managed Fund	029P	B62HN20	Henderson Caut Mngd I Acc		-0.4212	0.212	5.0667	13.9826	Select
Managed Fund	029Q	B4P4R69	Henderson Caut Mngd I Inc		-0.332	0.2569	5.6223	14.557	Select
Managed Fund	060G	B577PM3	Henderson China Oppos I Acc		12.0444	27.3874	35.1816	92.6431	Select
Managed Fund	GSMH	B828988	Henderson Core 3 Income I Acc		0.0785	1.432	4.7658	13.6364	Select
Managed Fund	GSMG	B7M85J4	Henderson Core 3 Income I Inc		0.1399	1.3912	4.82	13.6724	Select
Managed Fund	J6LA	B9DFQH3	Henderson Core 4 Income I Acc		0.3339	1.9508	6.3717	16.8124	Select
Managed Fund	J6LB	B94Q8L3	Henderson Core 4 Income I Inc		0.3053	2.0086	6.3398	16.8284	Select

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12. The documents column allows you to view the KIID and Fund Fact Sheet. Clicking on the document opens the funds library website in a separate browser.

Search Results: 79

Type	Code	Sedol	Name 1	Documents	AMC	AMC	AMC	AMC	
Managed Fund	HE69	0745237	Henderson All Stks Crd I Acc		0.50	0.50	0.50	0.50	Select
Managed Fund	HE65	0745196	Henderson All Stks Crd I		0.50	0.50	0.50	0.50	Select
Managed Fund	TU47	0768160	Henderson Asia PacificCapGth I Acc		0.75	0.75	0.75	0.75	Select
Managed Fund	IET2	B625GY9	Henderson AsianDivinc I Acc		0.75	0.75	0.75	0.75	Select

Total Order Value (GBP): Allocate Amount

Investment	Order Value	Order Quantity	Order Settlement Currency	% Allocation	Order Type
HE69.GB <input type="text"/> Find Henderson All Stks Crd I Acc GBP 2.5840000	4500	1741.49	GBP	45.00	At Market
GN31.GB <input type="text"/> Find Aviva Inv Gbl Eqty Inc 2 Acc GBP 1.5861000	5500	3467.62	GBP	55.00	At Market

13. Click on “Select” on the right-hand side of the fund you wish to purchase, this brings you back to the wizard. You now need to enter either the amount you wish to invest or order quantity (number of units). You may also confirm the “Total Order Value” and provide the “Allocation” as a percentage. In the below example we are investing £10,000 in two separate funds. Once you have input the detail, click on “Allocate Amount”.

14. When you are happy click on “Next”. As we are not carrying out a switch click “Next” through to “Step 6 Confirm”. This screen provides a summary of the investments to be purchased.

15. You have the option to tick the box to provide you with alerts as the purchase progresses. Click on “Confirm”, which will take you to the confirmation screen.

Batch ID: 149044
 Available Funds: GBP 19800.11
 Available Funds Currency: GBP
 Batch Type: One-Off

Investment Description	Live Price	End of Day Price	Buy Value (GBP)	Buy Quantity	Status
HE69.GB - Henderson All Stks Crd I Acc			4500.00	1,741.4861	Created
GN31.GB - Aviva Inv Gbl Eqty Inc 2 Acc			5500.00	3,467.6250	Created
Estimated Total Buy Trade Value			10,000.00		Created
Estimated Net Order Value			-10,000.00		

Fees & Charges

Stamp Duty: £0.00
 PTM Tax: £0.00
 Transaction Charge: £0.00
 Total Charges: £0.00
 Charges Information Document (ID: 807028) Complete

Turn on alerts to progress on this order.

Confirm

16. The top of the screen confirms the order and the bottom of the screen confirms when the order will be placed.

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17. Click on "Track deal/switch", this takes you to the transactions section.

1 Order Setup 2 Sell Trades 3 Buy Trades 4 Switches 5 Conversions 6 Confirm

ⓘ This batch is now confirmed. The batch number is 149044.

Batch ID:	149044
Available Funds:	GBP 9800.11
Available Funds Currency:	GBP
Batch Type:	One-Off

Investment Description	Live Price	End of Day Price	Buy Value (GBP)	Buy Quantity	Status
HE69.GB - Henderson All Stks Crd 1 Acc			4,500.00	1,741.4900	Authorised
GN31.GB - Aviva Inv Gbl Eqty Inc 2 Acc			5,500.00	3,467.6250	Authorised
Estimated Total Buy Trade Value			10,000.00		
Estimated Net Order Value			-10,000.00		

[Track deal / switch](#) [New deal switch](#) [Portfolio Summary](#)

ⓘ Today's dealing cut-off has been missed for Fund order HE69.GB. The order will be executed on next business day at the 11:00:00 cut-off.

ⓘ Today's dealing cut-off has been missed for Fund order GN31.GB. The order will be executed on next business day at the 11:00:00 cut-off.

ⓘ Notes: (1) All transactions are subject to the price available at the point the transaction takes place. This could lead to differences stated above.
(2) All fees and charges are subject to the price available at the point the transaction takes place. This could lead to differences in order value and therefore fees and charges that are stated above.

The investments show as authorised, once the deal has been completed the order status will change to "fulfilled".