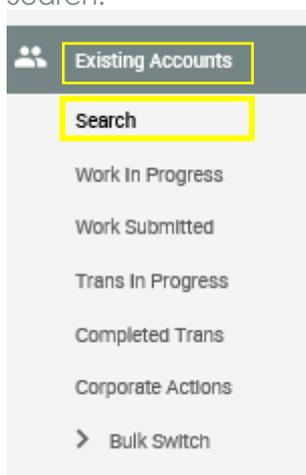


# Step by step guide: Selling investment funds

## Selling on investment held in Personal Pension, ISA, GIA

1. Log on using your credentials ensuring you are logged on as a user who has "Read/Write" permissions. If you do not have the correct permissions, please contact your Embark platform Super User.
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 either the account number, account holder name or the name of individual adviser.

Account search

The screenshot shows a search interface with tabs for 'Search', 'Advanced Search', and 'By Investment'. The 'Search' tab is active. Below the tabs is a 'Search criteria' section with the following fields:

- Platform Provider: EIS (with a dropdown arrow)
- Enter Account Number: (text input)
- Account Holder First Name: (text input)
- Account Holder Surname: (text input)
- Select Adviser: All (with a dropdown arrow)
- Account status: All (with a dropdown arrow)

A green 'Search' button is located at the bottom left of the form.

4. You can also use the advanced search facility which allows you to search on investments and portfolios.

The screenshot shows the 'Advanced Search' interface. At the top, there are buttons for 'Exit', 'Save', and 'Next step'. Below these is a 'Step 1 Filter' section with a 'Search String' input field. The main area is divided into 'Field Selection' and 'Search Criteria'.

**Field Selection:**

Field Categories	Available Fields
Account Details	Company Code →
Holder Details	Account Name →
Investments	Advisor Code →
Portfolio	Status →
Product Details	Client Type →
	Company Name →
	Account Number →

**Search Criteria:**

Brackets	Field	Expression	Value	Brackets	Logical
←	⌵	Equals	⌵	⌵	AND ⌵



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# Step by step guide: Selling investment funds

5. Once you have selected the search criteria, click on search and this will show a list of clients.

Account Name	Account Number	Account Type	Status	Adviser	Net Value *
[Redacted]	EM2005585	Individ	Active	Demo Adviser [Redacted]	97,950.53

6. Now click on the account number in blue, this brings up the client details.

**Mr SIPP ADVISER CASH ACCRUALS**  
97,950.53

Account Type: Individual | Account Code: EM2005585 | Adviser: Demo Adviser for E100059

**Portfolio**

Product Wrappers (Selected) | Asset Class | Sectors | Geographical | Top 10

Breakdown by Product Wrapper (As At: 20-Sep-2017)

Product wrapper	Location	Portfolio %	Value (GBP)
Emberk Personal Pension	Wrap	100.00%	97,950.53
<b>Total</b>		<b>100.00%</b>	<b>97,950.53</b>

**Client Details**

Title: Mr  
First Name: SIPP ADVISER  
Surname: [Redacted]  
Date of Birth: [Redacted]  
Phone Number: [Redacted]  
Email: [Redacted]

**Work In Progress**

Product Purchase / Transfer: 0  
Transactions In Progress: [Redacted]  
Payments: In: 0 / Out: 3  
Transfers: 0  
Deals: 0

7. Now click on “New Work” on the left-hand menu.

- Existing Accounts
  - Search
  - Cash Account
  - Summary
  - Portfolio
  - New Work**
  - Account Holders
  - Transactions
  - Reports & Documents
  - Charges & Remunerations
  - Contacts
  - IDV

8. Now click on “New Investment Transaction”.

New Business

Payment activities	Investment activities	Account activities
<ul style="list-style-type: none"> <li>→ New/amend prod payment</li> <li>→ Payments out</li> <li>→ Crystallise pension benefits</li> <li>→ Change pension payments</li> </ul>	<ul style="list-style-type: none"> <li>→ New investment transaction</li> <li>→ Quote and Deal</li> <li>→ Remove assets from Disc Mgmt</li> </ul>	<ul style="list-style-type: none"> <li>→ Generate new illustration</li> <li>→ Generate drawdown illustration</li> <li>→ Generate existing illustration</li> <li>→ Generate an Income Illustration</li> </ul>

# Step by step guide: Selling investment funds

9. This opens up the investment wizard which is used for purchases and sales. 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 sale. Once entered click on next.

10. This now brings up a list of existing investments that may be sold.

Investment	Available Units	Market Value	Sell All	Order Settlement Currency	Order Value	Order Quantity	Order Type
GNOLGB - Aberdeen Asia Pfc & Jpn ...	19,876.6900	GBP 30,005.85	<input type="checkbox"/>	GBP		Units %	At Market
GPQLGB - Newton UK Equity I W Inc	39,833.5830	GBP 58,527.48	<input type="checkbox"/>	GBP		Units %	At Market

11. You can select a value to sell, quantity or percentage and enter into the respective fields, you can also tick the sell all. In the below example we are selling 50% of the holding.

Investment	Available Units	Market Value	Sell All	Order Settlement Currency	Order Value	Order Quantity	Order Type
GNOLGB - Aberdeen Asia Pfc & Jpn ...	19,876.6900	GBP 30,005.85	<input type="checkbox"/>	GBP		Units 50 %	At Market
GPQLGB - Newton UK Equity I W Inc	39,833.5830	GBP 58,527.48	<input type="checkbox"/>	GBP		Units %	At Market

12. Click on next.

13. The next screen is where you choose the investment you wish to purchase, this can be skipped if you are only selling.

14. When you are happy click on next, as we are not carrying out a switch click next on the following screen.

15. Likewise click next on the screen for conversions.

# Step by step guide: Selling investment funds

16. The final screen provides a summary of the investments to be sold.

Batch ID:	710536
Available Funds:	GBP -716.39
Available Funds Currency:	GBP <input checked="" type="checkbox"/>
Batch Type:	One-Off

Investment Description	Live Price	End of Day Price	Sell Value (GBP)	Sell Quantity	Status
GNOL.GB - Aberdeen Asia Pcf & Jpn Eqty I Acc			15,002.92	9,938.3400	Created
Estimated Total Sell Trade Value			15,002.92		
Estimated Net Order Value			15,002.92		

Fees & Charges	
Stamp Duty:	£0.00
PTM Tax:	£0.00
Transaction Charge:	£0.00
<b>Total Charges:</b>	<b>£0.00</b>

17. Now tick the box to activate alerts and click on confirm, you are now shown the confirmation screen.

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

ⓘ This batch is now confirmed. The batch number is 705896.

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

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

Batch 710536								
710536.1152500	GNOL	Aberdeen Asia Pcf & Jpn Eqty I Acc	Sell 9,938.3400	9,938.3400	Authorised	£-15,002.92	20/09/2017 13:55:20	H
Batch Total							£-15,002.92	

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

21. As you have ticked the box for alerts you will receive email confirmation when the deal has completed.