

# Step by step guide: Selling stocks and shares

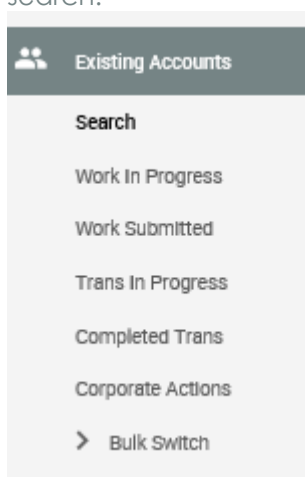
## Selling stocks and shares held in Personal Pension/ISA/GIA

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. If you know the client reference number you can enter this via the top left search button and avoid steps 3-7.



Account Type      Account Code      Adviser  
Individual      EM2005585      Demo Advisor for E100058

3. You now need to search for the client, this is done on the left-hand menu under existing accounts and search.



4. You can search for clients by either the account number, name of individual or adviser.

Account search

Search    Advanced Search    By Investment

Search criteria	
Platform Provider	EIS <input checked="" type="checkbox"/>
Account Holder First Name:	<input type="text"/>
Enter Account Number:	<input type="text"/>
Account Holder Surname:	<input type="text"/>
Select Adviser:	All <input checked="" type="checkbox"/>
Account status:	All <input checked="" type="checkbox"/>

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



sales@embarkplatform.co.uk



0330 058 2121



embarkplatform.co.uk

# Step by step guide: Selling stocks and shares

Step 1 Filter Exit Save **Next step**

Search String:

Field Selection		Search Criteria					
Field Categories	Available Fields	Brackets	Field	Expression	Value	Brackets	Logical
Account Details	Company Code →	<		Equals		>	AND
Holder Details	Account Name →						
Investments	Advisor Code →						
Portfolio	Status →						
Product Details	Client Type →						
	Company Name →						
	Account Number →						

6. Once you have selected the search criteria, click on search, this brings up a list of clients.

Account Name	Account Number	Account Type	Status	Advertiser	Net Value *
	EM2005585	Individ	Active	Demo Adviso	97,950.53

7. 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 Advisor for E100058

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

Product wrapper	Location	Portfolio %	Value (GBP)
Embark 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: , Date of Birth: , Phone Number: , Email: .

Work In Progress: Product Purchase / Transfer: 0, Transactions In Progress: Payments: In: 0 / Out: 3, Transfers: 0, Deals: 0.

Existing Accounts Menu: Search, Cash Account, Summary, Portfolio, **New Work**, Account Holders, Transactions, Reports & Documents, Charges & Remunerations, Contacts, IDV.

8. Now click on "New Work" on the left-hand menu.

# Step by step guide: Selling stocks and shares

9. As we are selling stocks and shares you need to click on "Quote and Deal".

Payment activities

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

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

10. The next screen is where you advise on the wrapper and whether you are buying or selling, the below example is selling within the pension wrapper.

Product Wrapper Details

Account: 001 - Embark Personal Pe Available Funds: £ 47,957.05

Deal Details

Action: Selling

Investment: Find

Order Method: Please select...

Please indicate if advice was given on this trade:

Quote

11. Now click on find and a list of those shares held in the wrapper will be displayed.

Embark - Internet Explorer

Select Investment

Investment	Holding	Market Value GBP
	417.0000	9,084.35

12. Click on the investment (part in blue) to select.

Embark - Internet Explorer

Select Investment

Investment	Holding	Market Value GBP
	417.0000	9,084.35

13. You now need to advise on the quantity you wish to sell by selecting order method as "quantity" and entering the number of shares.

14. You will need to indicate if advice has been given and then select "Quote".

15. The following screen gives a real-time quote and the details. To accept the quote, you need to click on accept. Note you will have a time period of 20 seconds to accept the quote before you will need to requote.

# Step by step guide: Selling stocks and shares

Product Wrapper Details	
Account:	001 - Embark Personal Pe <input type="checkbox"/> Available Funds: £ 57,947.53

Deal Details	
Action:	Buying <input type="checkbox"/>
Investment:	RDSB.XLON.GB <input type="button" value="Find"/>
Investment Name:	ROYAL DUTCH SHELL 'B'ORD EUR0.07
Order Method	Value <input type="checkbox"/> Value : 10000
Please indicate if advice was given on this trade:	Yes <input type="checkbox"/>

Quote Details	
Order ID:	1150069
Number of Units:	417
Unit Price:	£ 23.8150
Stamp Duty:	£ 49.65
PTM Tax:	£ 0.00
Transaction Charges:	£ 9.98
Total Charges:	£ 59.63
Available for 17 seconds	
Reject	<input type="button" value="Accept"/>
Settlement Date:	22/09/2017
Total Amount:	£ 9,990.49

16. Once you accept the transaction is complete. Completed transaction will be displayed in the transactions and then deals page.