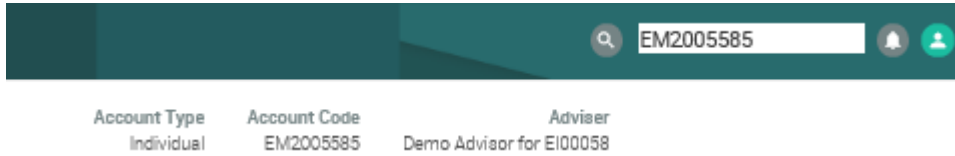


# How to Guide: Selling Stocks and Shares

## Selling shares held in a Personal Pension, ISA or GIA

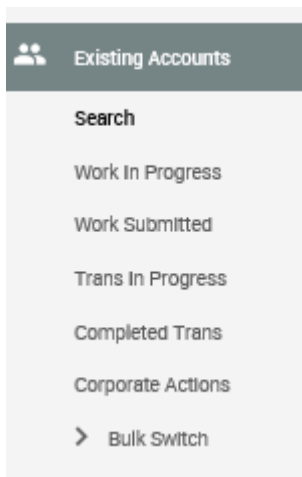
1. Log on using your credentials ensuring you are logged on as a user who has "Read/Write" permissions.
2. If you know the client reference number, enter this via the top left search button and avoid steps 3-7.



The screenshot shows a dark teal header bar. On the right side, there is a search icon, a search input field containing the text "EM2005585", a bell icon, and a user profile icon. Below the header bar, the following account details are displayed:

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.



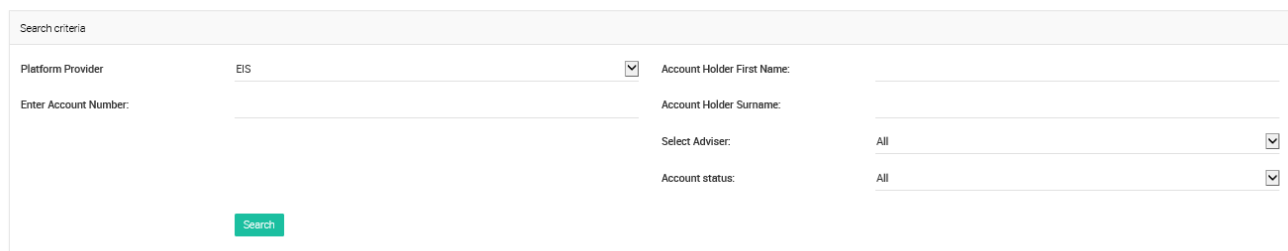
The screenshot shows a vertical menu with a dark teal header containing a person icon and the text "Existing Accounts". Below the header, the menu items are:

- Search
- Work In Progress
- Work Submitted
- Trans In Progress
- Completed Trans
- Corporate Actions
- > Bulk Switch

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

Account search

[Search](#) [Advanced Search](#) [By Investment](#)



The screenshot shows a search form with the following fields and options:

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"/>

# How to Guide: Selling Stocks and Shares

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

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	Adviser	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 Adviser for E100038

Portfolio As At: 20-Sep-2017 Go

Product Wrappers Asset Class Sectors Geographical Top 10

Breakdown by Product Wrapper

Product wrapper	Location	Portfolio %	Value (GBP)
Ember Personal Pension	Wrap	100.00%	97,950.53
Total		100.00%	97,950.53

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

8. 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 &

# How to Guide: Selling Stocks and Shares

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

Payment activities	Investment activities	Account activities
<a href="#">→ New/amend prod payment</a>	<a href="#">→ New investment transaction</a>	<a href="#">→ Generate new illustration</a>
<a href="#">→ Payments out</a>	<a href="#">→ Quote and Deal</a>	<a href="#">→ Generate drawdown illustration</a>
<a href="#">→ Crystallise pension benefits</a>	<a href="#">→ Remove assets from Disc Mgmt</a>	<a href="#">→ Generate existing illustration</a>
<a href="#">→ Change pension payments</a>		<a href="#">→ Generate an Income Illustration</a>

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 <input type="checkbox"/>
Available Funds:	£ 47,957.05

Deal Details	
Action:	Selling <input checked="" type="checkbox"/>
Investment:	<input type="text"/> <input type="button" value="Find"/>
Order Method	Please select... <input checked="" type="checkbox"/>
Please indicate if advice was given on this trade:	<input checked="" type="checkbox"/>

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

Select Investment

Investment	Holding	Market Value GBP
<a href="#">RDSB.XLON.GB - ROYAL DUTCH SHELL 'B' ORD EUR0.07</a>	417.0000	9,084.35

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

Select Investment

Investment	Holding	Market Value GBP
<a href="#">RDSB.XLON.GB - ROYAL DUTCH SHELL 'B' ORD EUR0.07</a>	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”.

# How to Guide: Selling Stocks and Shares

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 period of 20 seconds to accept the quote before you will need to requote.

Product Wrapper Details		Quote Details	
Account:	001 - Embark Personal Pe	Available Funds:	£ 57,947.53
Deal Details			
Action:	Buying	Order ID:	1150069
Investment:	RDSB.XLON.GB <input type="button" value="Find"/>	Number of Units:	417
Investment Name:	ROYAL DUTCH SHELL 'B'ORD EURO.07	Unit Price:	£ 23.8150
Order Method:	Value <input type="button" value="Value :"/> 10000	Stamp Duty:	£ 49.65
Please indicate if advice was given on this trade:	Yes	PTM Tax:	£ 0.00
		Transaction Charges:	£ 9.98
		Total Charges:	£ 59.63
		Available for 17 seconds	
		<input type="button" value="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.



service@embarkplatform.co.uk



0330 024 2345



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