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Elevate help guide: Switching investments

Standard Life

There's a lot to look forward to

Step 1: Order setup

What you will see

Summary Portfolio **New Work** Cash Account Account Holders Transactions Reports & Documents Charges & Remunerations

Create Work In Progress Work Submitted Disclose And Authorise

Payment activities

- New/amend product payment (including top-up)
- Payments out
- Review Natural Income
- Add bank account
- Transfer Out

Investment activities

- New investment transaction (Buy/Sell/Switch)
- Advanced orders (Stockbroking)
- Move cash into Adviser management
- Move assets to new owner
- Move assets to Discretionary Manager
- Remove Discretionary Manager

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

Product wrapper: EL1119232-003 Elevate ISA (Active)

Order Type: One-Off

Action Date: 05-Sep-2017

Please indicate whether advice was given: Yes No

Next →

What you will need to do

1. Go to the client's account and select **New Work > New Investment Transaction (Buy/Sell/Switch)**.
2. Select:
 - the **Product Wrapper**.
 - **One-Off** or **Regular** under **Order Type**.
 - an **Action Date**.
3. Confirm if advice has been given.
4. Click **Next**.
5. Skip **Step 2** and **Step 3** and go to **Step 4. Switches**.

Notes

2. Under **Order Type**, if you select **Regular**, you'll need to add a start date, frequency and end date. Select an **Action Date** in the future if you don't want the switch to happen straight away.
5. You can click directly on **Step 4. Switches**.

Step 4. Switches

What you will see

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

Batch ID: 11541400 Available Funds: £22.21

Batch Type: One-Off

| Switch From | Available Units | Market Value GBP | Order Value | Order Quantity | Switch All |
|---|-----------------|------------------|----------------------|---|-------------------------------------|
| BlackRock Cntl European D Acc (00PA.LN) | 0.4450 | £11.05 | <input type="text"/> | 0.445 Units 100 % | <input checked="" type="checkbox"/> |
| M&G Strategic Corp Bd I Acc GBP (02FW.LN) | 0.3510 | XD £4.55 | <input type="text"/> | <input type="text"/> Units <input type="text"/> % | <input type="checkbox"/> |

Switch To

Investment: % Allocation:

0M3P.LN Stan Life Inv MF Mgd I I I A (0.6507)

Total (%) 0

Search for investments

Investment Selection Tool

Funds Models Other

Fund name or code:

Show cheapest OCF/TER

More search criteria

Quick-Links

- Favourites
- Fund solutions
- Documents, KiIDs & KiDs

Search Results: 204

| Type | Code | Name | OCF/TER | KIID | Cheapest | Favourite |
|-----------------|------|------------------------------|---------|------|-------------------------------------|------------------------------------|
| Investment Fund | 0M3P | Stan Life Inv MF Mgd I I I A | 0.80 | | <input checked="" type="checkbox"/> | <input type="button" value="Add"/> |
| Investment Fund | 0M3Q | Stan Life Inv MF Mgd I I I I | 0.80 | | <input checked="" type="checkbox"/> | <input type="button" value="Add"/> |

Switch Charges

Adviser Switch Charge:

What you will need to do

- In **Switch From**, select the investments you wish to sell. You can do this in any one of the following ways:
 - In **Order Value**, enter a £ amount.
 - In **Order Quantity** (units), enter the number of units to be sold.
 - In **Order Quantity** (%), enter the % of holding to be sold.
 - Tick **Select All** to sell the whole investment.
- In **Switch To**, click **Find**.
- Use the **Investment Selection Tool** to locate the investments you want, then click **Find**.
- Add** the fund you wish to invest in.
- Enter the **% Allocation**.
- Enter the **Adviser Switch Charge**, if applicable.
- Click **Next** and go to **Step 5. Confirm**.

Notes

- There is a cut-off time which is usually one hour before each fund's valuation point. After the cut-off time, the order will be placed on the next working day. We usually receive confirmation of the sale within 1 working day (or 2 working days if the order was placed after the cut-off time).
- You can search for a specific investment name or code. Use the extra tabs here if you want to search for model portfolios or **Other** to search for stocks & shares.
- Repeat 2-4 to add more investments.
- This is the allocation (into the new funds) of the total value raised from the funds you've switched from (minus any Adviser Switch Charge). The **% Allocation** must total 100% across all the new funds selected.
- The new fund(s) will be purchased at the next valuation point after we receive confirmation of the sale.

Step 5. Confirm

What you will see

| 1. Order Setup | 2. Sell Trades | 3. Buy Trades | 4. Switches | 5. Confirm |
|--|----------------|------------------|-------------|------------|
| Batch ID: | 11541400 | Available Funds: | £ 22.21 | |
| Batch Type: | One-Off | | | |
| Switches | | | | |
| Description | Value (GBP) | Quantity | Status | |
| Switch From OOPA.LN - BlackRock Cnt European ... | -11.05 | 0.4450 | Created | 1 |
| Switch To SMSP.LN - Stan Life Inv MF Mgd I1... | 11.05 | 10.9820 | Created | 1 |
| Estimated Net Order Value | 0.00 | | | |
| Charges information Document | | | | |
| <input type="button" value="Generate"/> | | | | |
| <input type="checkbox"/> | | | | |
| <input type="button" value="Confirm"/> | | | | |
| I confirm I have client authority to make this switch and that any existing Ongoing Adviser Charge applied to this wrapper is for the provision of an ongoing service. | | | | |

What you will need to do

1. Review the information you've entered.
2. Tick the adviser declaration.
3. Click **Confirm**.

Notes

1. Click **Generate** and the hyperlink to view the **Charges Information** document.
3. This records a **Batch ID** and places the trades, which can be viewed in the client's account under **Transactions > Deals**.

Helpful hints

- Where multiple funds are included in a single switch transaction, the 'buys' will only initiate after we have received confirmation of all fund 'sells' from the fund managers.
- Once we have received confirmation of the sale details from the fund manager, we will pre-fund the purchase of the new investment (before full settlement of the 'sell' transaction) meaning your client is back in the market sooner.
- A Contract Note will be produced once the switch is confirmed. The investments switched out of (sold) will be shown in a separate Contract Note as these transactions will complete on different days.
- Where securities have been included in the switch, a trading charge will apply to each separate sale and purchase. For more information, please refer to **Your Guide to Charges**.
- Depending on the fund manager(s) a switch is normally completed within 48 hours, however, further transactions may be restricted until the switch has reached full settlement. You can contact us for details on the progress of the fund switch.

Get to know us better

We hope you've got a good insight into our platform and the potential benefits it can bring to you and your firm.

If there is anything more you want to know, please contact us.

Call us on 0345 600 2399

Our lines are open 8am to 6pm, Monday to Friday. As part of our commitment to quality service and security, telephone calls may be recorded.

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