

2019  
Investec  
for Advisers  
Start-Up  
Guide

[www.investecforadvisers.com](http://www.investecforadvisers.com)



Corporate & Investment Banking



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# Contents

This guide will show you how to get set up on the **Investec for Advisers** Platform.

This guide is split into the following sections:

## 1

How to set up your Adviser Firm for the first time

## 2

How to set up your Firm's Financial Advisers, Support Users and additional Administrators

## 3

How to set up your clients and apply for our products via the Platform

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# 1 How to set up your Firm for the first time

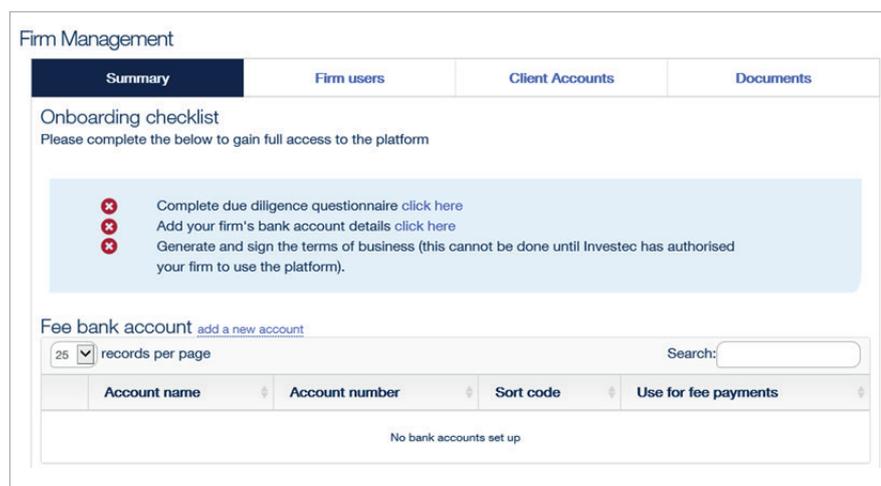
Even though your Adviser firm is set up to submit paper applications with us, you'll need to set up your firm on the platform.

**Please Note:** When you set up a Firm for the first time you will become the Administrator for that Firm, so please ensure that you have the appropriate authorisation from within your Firm before you do this.

1. Go to [www.investecforadvisers.com](http://www.investecforadvisers.com)
2. Select 'Sign up as an IFA Firm' and click 'Create an account'.
3. Enter your contact details and click 'Next'. The telephone number that you enter will be used for our two factor authentication process whenever you log on in future.
4. Enter your Firm's business details and click 'Next'.
5. Enter your Firm's authorisation details and click 'Next'.
6. Check the information that you have supplied and click 'Register'.
7. You will now receive a verification email. Click on the link in the email to create a password and complete your registration. Once complete, you will be redirected to a log in page.
8. After logging in for the first time, you will have to accept the Platform Terms and Conditions.

Once the Platform Terms and Conditions have been accepted, you will see the following screen:

Figure 1



You will see 3 outstanding Onboarding Checklist items to complete:

## Due Diligence Questionnaire

If you are a Firm that is already set up to do business with us, we do not initially require you to complete a due diligence questionnaire. If this is the case, please call our Platform Support Team on 0207 597 4045 so that we can verify this requirement.

If you are a new Firm that has never done business with us, you are required to complete a due diligence questionnaire.

Once this has been done, you can complete the final 2 Onboarding Checklist items.

We will be speaking with all existing Firms in due course to update our Due Diligence requirements.

## Provide bank account details for fee payments

Here you will be asked to specify your Firm's bank details, in order to receive fee payments.

## Digitally sign our Terms of Business

In order to use the Platform, you are required to sign our new Terms of Business. Once you have provided your Firm's bank account details, a link will appear next to the 'Generate and sign the terms of business' checklist item (as seen in Figure 1).

You will be asked to fill in your firm details. An electronic copy of the Terms of Business will be emailed to you. This document requires an electronic signature.

**Please Note:** In order to use the Platform, you are required to sign our latest Terms of Business even if you have already signed a Terms of Business with us in the past.

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# 2

## How to set up your Firm's advisers, support users and additional administrators

### There are two ways to set up a Firm's staff on the Platform

- The Firm Administrator can set up all types of staff on the Platform.
- Advisers can set themselves up on the Platform, although they will require approval from the Firm Administrator.

### How to set up staff as the Firm Administrator

By default, the Firm Administrator is the person that initially sets up the Firm on the Platform (see Section 1).

A Firm Administrator can set up three types of Firm staff on the Platform:

#### Advisers

To enable Advisers at your Firm to submit business via the Platform, each Adviser will first need to be set up on the Platform by the Firm Administrator.

#### Firm Admin

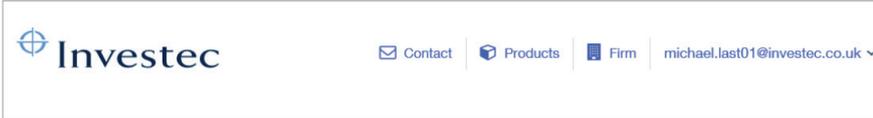
Also known as 'Firm Managers', additional Firm Administrators can be added to the Platform if required. This is the highest level of permission that can be granted on the Platform and includes the ability to add/remove Advisers and Support Users.

#### Support Users

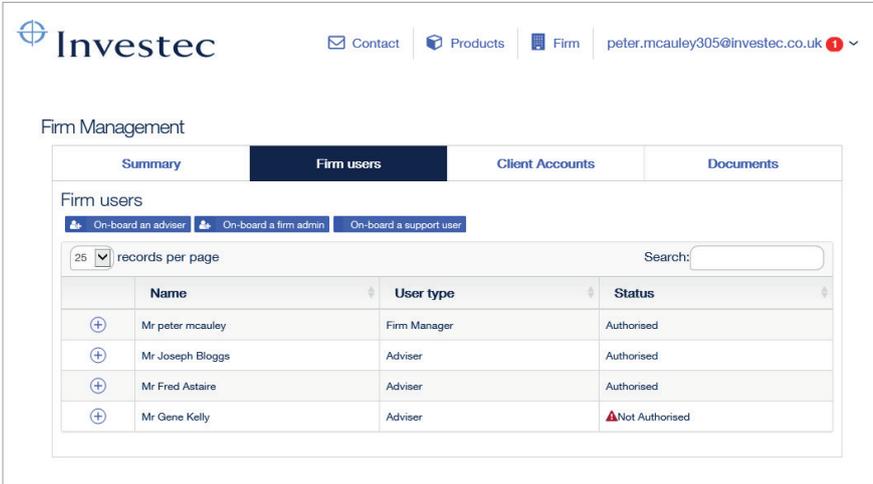
Also known as 'Paraplanners', can also be added to support a Firm's Advisers. Furthermore, the Administrator can grant two different types of permission to Support Users:

- [Read Access](#) will allow the Support User to view all of a Firm's staff, clients and client investments but the Support User will not be allowed to take any actions on the Platform (for example, adding a client or submitting an application form on behalf of an Adviser).
- [Write Access](#) will also allow the Support User to take actions on the Platform (for example, adding a client or submitting an application form on behalf of an Adviser).

1. To set up a member of your Firm on the Platform, log in and navigate to the Firm Management section by clicking 'Firm' in the top navigation toolbar.



2. Then navigate to the 'Firm Users' tab. You will see a summary of the Firm Users that have already been set up.



3. You will also see three blue boxes.



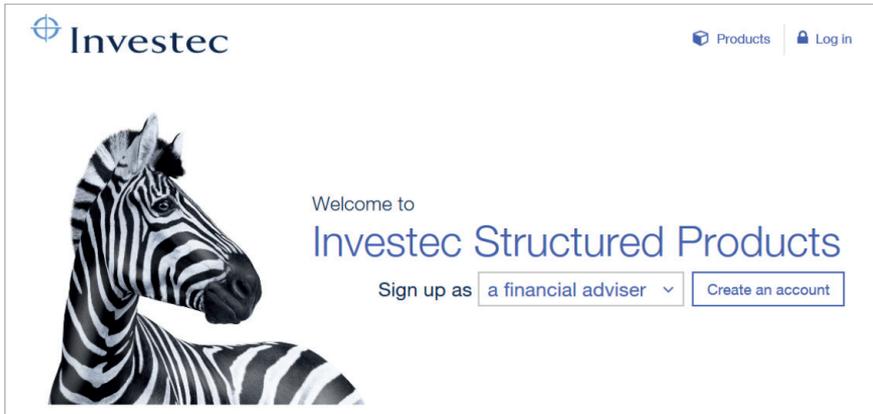
Clicking on each of these boxes will allow you to set up the relevant Firm User (an Adviser, Firm Admin or Support User).

Once you have set up the Firm User, they will receive an email whereby they will be asked to set up a password.

## How an Adviser can set themselves up

Advisers from your Firm can also set themselves up on the Platform, subject to approval from the Firm Administrator.

To do so, the Adviser can visit [www.investecforadvisers.com](http://www.investecforadvisers.com), select 'Sign up as a financial adviser' and press 'Create an account'.



When an Adviser has applied to be set up as part of your Firm, the Firm Administrator will see the Adviser appear in both the 'Firm Users' tab and the 'Summary' tab of the Firm Management dashboard.

The Firm Administrator will need to 'Authorise' the Adviser before their account is activated, and 'Make signatory' if the Adviser is to be granted permission to sign investment applications.

Firm Management

Summary | **Firm users** | Client Accounts | Documents

Firm users

On-board an adviser | On-board a firm admin | On-board a support user

25 records per page Search:

	Name	User type	Status
+	Mr peter mcauley	Firm Manager	Authorised
+	Mr Joseph Bloggs	Adviser	Authorised
+	Mr Fred Astaire	Adviser	Authorised
×	Mr Gene Kelly	Adviser	Not Authorised

<b>Name</b>	<b>Email address</b>	<b>Actions</b>
Mr Gene Kelly	peter.mcauley308@investec.co.uk	Authorise ⓘ
<b>Regulator number</b>	<b>Work number</b>	Make signatory ⓘ
PAD01094	+442075972543	Delegate as firm administrator ⓘ
<b>Is signatory</b>	<b>Mobile number</b>	Lock account ⓘ
false	+447917428816	Reset password ⓘ
<b>Is firm admin</b>		
false		

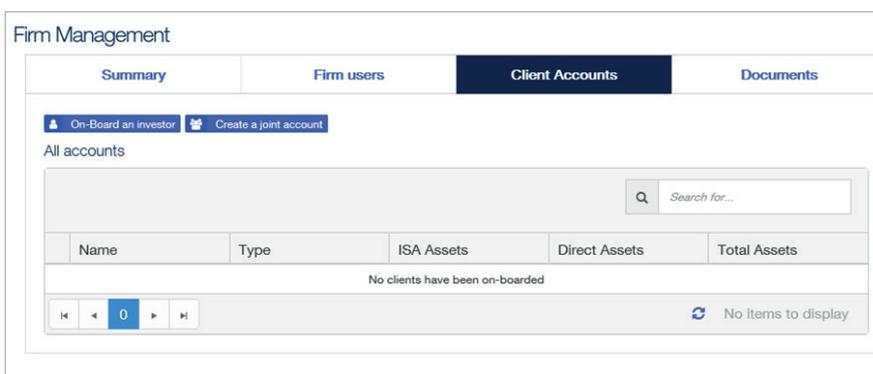
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# 3 How to set up your clients and apply for our products via the Platform

This section describes how to set up a client under your Firm and how to submit the client's application for one of our structured products.

## Part A: Setting up a client

1. In the Firm Dashboard select the 'Client Accounts' tab.
2. Click the 'On-Board an Investor' button.



**Please Note:** The 'Create a joint account' button allows you to link two clients that you have already on-boarded (via the 'On-Board an Investor' button) in order to submit a joint application.

- Input the client's details in the sections that follow and click 'Submit' when you reach the end of the Summary section.

### New Client Onboarding

Client details
Contact details
Tax details
Summary

**Onboarding Information**

Please complete the following form to onboard a new client.

Adviser *	<input type="text" value="Choose an adviser..."/>
Title	<input type="text" value="Choose a title..."/>
First name(s) ⓘ	<input type="text" value="First name(s)"/>
Last name	<input type="text" value="Last name"/>
Gender	<input type="text" value="Choose a gender..."/>
Date of birth	<input type="text" value="dd/mm/yyyy"/>
Business/occupation	<input type="text" value="Enter occupation"/>
Nationality	<input type="text" value="Choose a country..."/>
Passport Number (optional)	<input type="text"/>

[Add another nationality](#)

**Please Note:** The client's own unique email address must be entered. Please do not enter an email address specific to your Firm when onboarding a client, or a shared email address.

- Once you have completed the client ('investor') onboarding, you (the Firm Adviser/Support User/Administrator) will now see client appear in the 'Client Accounts' tab of the Firm Dashboard.

✉ Contact
📦 Products
🏢 Firm
✉ michael.last01@investec.co.uk

#### Firm Management - Last Chance Saloon FS Ltd

Summary
Firm users
Client Accounts
Documents

👤 On-Board an investor
👥 Create a joint account

All accounts

Name	ISA Assets	Direct Assets	Total Assets	Onboarded ▼
⊕ Mr Glenn Richards	£0.00	£0.00	£0.00	09/08/2019

🔄 1 - 1 of 1 items

- Clicking on the client's name (see above figure) will take you through to the client's dashboard.

**Investec** | Contact | Products | Firm | michael.last01@investec.co.uk

Mr Glenn Richards advised by Mr Michael Last | IBP000091

<b>Total account value</b> £0.00	<b>ISA allocation 2019/2020*</b> £0.00 / £20,000.00	<b>Direct investments value</b> £0.00
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\* Indicative only and solely captures orders placed on this platform

**Summary** | People | ISA | Direct | Documents

**Information:** You must specify a bank account for maturity payments AND a bank account for income payments before you are able to apply for a Plan on your client's behalf

[Link a bank account](#)

Account name	Account type	State
Mr Glenn Richards	Individual	Active

**Holdings**

Product	Account	Invested	Maturing	Cost	Value	Status
There are no holdings currently for this client						

No items to display

**Orders**

Product	Account	Ordered	Amount	Status
There are no orders currently for this client				

No items to display

**Bank accounts**

Account name	Acc. number	Sort code	Maturity payments	Income payments
There are no bank accounts configured for this client				

No items to display

- You will see a prompt for Information, stating that the client's bank account details (for the payment of maturity proceeds and income payments) must be added prior to submitting a product application.

7. Once the client's bank account details have been added, you will see three new options appear on the client's dashboard:



To submit an application for a Direct investment (not an ISA) or a new ISA (not an ISA Transfer) for one of our structured products

To submit an application for an ISA Transfer in to one of our structured products

To reinvest a maturing Direct or ISA Investec Structured Product investment back in to one of our structured products

**Investec** | Contact | Products | Firm | michael.last01@investec.co.uk

Mr Glenn Richards advised by Mr Michael Last | BFP000091

<b>Total account value</b>	<b>ISA allocation 2019/2020*</b>	<b>Direct investments value</b>
£0.00	£0.00 / £20,000.00	£0.00
<small>* Indicative only and solely captures orders placed on this platform</small>		

Summary | People | ISA | Direct | Documents

Link a bank account | Apply for a plan | **Transfer Existing ISA** | Reinvest a matured plan

<b>Account name</b>	<b>Account type</b>	<b>State</b>
Mr Glenn Richards	Individual	Active

Holdings

Product	Account	Invested	Maturing	Cost	Value	Status
There are no holdings currently for this client						

Orders

Product	Account	Ordered	Amount	Status
There are no orders currently for this client				

Product applications will be covered further in the following section.

## Part B: Submitting a client's direct investment application (New business and/or New ISA subscriptions)

1. On the client dashboard, click 'Apply for a plan'.
2. You will see a 'Select plans' screen. Enter the investment details, including any fee amount. Once you have input the details, click the 'Add order' button.

If you wish to add an additional investment, repeat this step, otherwise press 'Next'.

The screenshot shows the 'Product application' interface on the Investec platform. At the top, there is a progress bar with four steps: 'Select plans' (highlighted in dark blue), 'Additional options' (current step), 'Compliance', and 'Submit'. Below the progress bar is a section titled 'Information' with a sub-header 'Please complete the following to apply for a plan on behalf of your client.' The form contains several input fields and a summary box. The input fields are: 'Account' (Direct Account), 'Product' (FTSE 100 Kick-Out Deposit Plan £.), 'Amount to invest' (£ 10,000.00), 'Deduct fees from amount to invest' (Yes selected), 'Fee type' (As a monetary value), and 'Fee amount' (£ 150.00). A summary box on the right displays: 'FTSE 100 Kick-Out Deposit Plan 87', 'Applications close: 06/09/2019', 'Maturity: 6 Years', 'Pay out: At Maturity', 'Initial Investment: Protected', and 'Return: Paid At Maturity (0.055 AER)'. At the bottom of the form, there are 'Exit' and 'Next' buttons, and an 'Add order' button is positioned above the 'Next' button.

3. You will be presented with the 'Additional options' screen. When complete, press 'Next'.
4. You will be presented with the 'Compliance' screen. When complete, press 'Next'.
5. You will be presented with the 'Summary' screen. Check the inputs and when complete, press 'Submit'.
6. The client will now receive an email with a link prompting them to electronically sign a product application form via DocuSign. This does not require the client to log in to the Platform.

**Please Note:** You (the Firm Adviser/Support User/Administrator) can verify the status of the signature by expanding the application in the 'Orders' section of the client dashboard (to expand the application, click the '+' sign to the left of the Product name).

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7. When the client is reviewing the application form, they will see the “Method of payment” section.

Depending on the payment method that was selected during the application process (in the ‘Additional options’ screen), the “Method of payment” section in the application form will instruct the client how to send us their investment amount:

**If you selected payment via Cheque:**

**3. Method of payment**

You have selected the method of payment as a cheque. The cheque should be made payable to **Investec Bank plc** and sent to the address below with the payment reference written on the back of the cheque. Bankers drafts or Building Society cheques must be made payable to “Investec Bank plc reference (your name)”. Application Forms with post dated cheques will not be accepted.

<b>Address:</b>	<b>Investec Structured Products, PO Box 914, , Newport, NP20 9PE</b>
<b>Payment reference:</b>	<b>RICG08280001</b>
<b>Payment amount:</b>	<b>£20,000.00</b>

**If you selected payment via Bank transfer:**

**3. Method of payment**

You have selected the method of payment as electronic funds transfer. The monies should be sent to the account below using the payment reference:

<b>Bank name:</b>	<b>HSBC Bank plc</b>	<b>Account name:</b>	<b>Investec Bank plc Holding</b>
<b>Sort code:</b>	<b>40 02 50</b>	<b>Payment reference:</b>	<b>RICG08270001</b>
<b>Account number:</b>	<b>41340794</b>	<b>Payment amount:</b>	<b>£100,000.00</b>

**Please Note:** The client's investment (either a cheque or a bank transfer) must arrive with us before the offer close date of the product, otherwise their application will be cancelled.

8. A welcome email will be sent to the client once they have signed the application form, prompting the client to set up a password to access their account on the Platform if they haven't used the Platform before.

9. Once the client has digitally signed their application form, the Authorised signatory selected during the application process will receive an email with a link prompting them to sign the financial adviser section of the application form. This does not require the signatory to log in to the Platform.

Again, outstanding signatures can be verified by logging on to the client's dashboard and expanding the relevant product application (see Figure 2).

**Please Note:** A Firm's Administrator, Adviser or Support User can view the outstanding signatures against an application, but only the Authorised signatory selected during each sale can sign the application.

Figure 2

The screenshot displays the Investec client dashboard for Mr Glenn Richards, advised by Mr Michael Last. The account ID is IBP000091. Key account metrics include a total account value of £0.00, an ISA allocation of £0.00 / £20,000.00, and direct investments value of £0.00. The dashboard is divided into sections: Summary, People, ISA, Direct, and Documents. Under the Direct section, there is an order for 'FTSE 100 Kick-Out Deposit Plan 87' with a status of 'Pending signatures'. The order details show the application ID, payment reference, account type, product name, and amount. A signature table indicates that both Mr G Richards and Mr M Last have not signed the application.

Product	Account	Ordered	Amount	Status
FTSE 100 Kick-Out Deposit Plan 87	Direct	09/08/2019 11:57	£10,000.00	Pending signatures

Signer	Signed
Mr G Richards	No
Mr M Last	No

10. Once the Authorised signatory has signed the application form, the client will receive an acknowledgment email. This email will inform the client that a copy of their signed application form has been loaded into their document store (accessible by logging in to the platform), as well as a PDF acknowledgment letter.
11. You (the Firm Adviser/Support User/Administrator) can verify the status of the client's investment via the client's dashboard. For example, if a direct or new ISA investment is awaiting payment this will be flagged under the 'Status' column.

Product	Account	Ordered	Amount	Status
<a href="#">FTSE 100 Kick-Out Deposit Plan 87</a>	Direct	09/08/2019 11:57	£10,000.00	Pending payment

<a href="#">View product</a> <a href="#">Cancel Order</a> <a href="#">Download</a>	
Application Id: 190809-0001 Payment Reference: RIG08090001 Account: Direct account Product name: FTSE 100 Kick-Out Deposit Plan 87 Amount: £10,000.00	
Signer	Signed
Mr G Richards	<input checked="" type="checkbox"/> Yes
Mr M Last	<input checked="" type="checkbox"/> Yes

## Part C: Submitting a client's ISA transfer

1. On the client dashboard, click 'Transfer existing ISA'.

The screenshot shows the Investec client dashboard for Mr Glenn Richards (IBP000091). The dashboard includes a navigation bar with 'Contact', 'Products', and 'Clients' links, and a user profile for 'michael.last03@investec.co.uk'. Below the navigation, there are tabs for 'Summary', 'People', 'ISA', 'Direct', and 'Documents'. The 'Summary' tab is active, showing account details and a table of holdings. The account name is 'Mr Glenn Richards', the account type is 'Individual', and it is advised by 'Mr Michael Last' from 'Last Chance Saloon FS Ltd'. The 'Holdings' table is empty, indicating no current holdings. The 'Orders' table shows one order: 'FTSE 100 Kick-Out Deposit Plan 87' with an amount of £10,000.00 and a status of 'Pending payment'.

2. Select the number of ISAs that you are transferring (these instructions will assume that one ISA is being transferred) and click 'Next'.

The screenshot shows the 'Existing ISA Transfer' form. The form has a progress bar with steps: 'Information', 'Existing ISA', 'Subscriptions', 'Notice', 'Transfer notes', 'Allocations', 'Declaration', and 'Summary'. The 'Information' step is active. The form contains a section titled 'Information' with the following text: 'As well as being subject to the terms and conditions of the ISA receiving the transfer proceeds, the transfer will be undertaken subject to the terms and conditions applying to your ISA. For example:'. Below this text are three bullet points: 'Some ISA products do not allow only part of an ISA to be transferred, or may place conditions on how such a transfer is undertaken, e.g. when deciding which investments are sold to facilitate the transfer.', 'Your existing ISA provider may need you to give them specific information before the transfer can go ahead.', and 'There may be outstanding fees to pay before the transfer goes ahead. If you are not sure what conditions apply please check with your existing ISA provider before completing this form.' Below the text is a dropdown menu labeled 'How many ISAs are you transferring?' with the value 'Number of ISAs to transfer'. At the bottom of the form are two buttons: 'Exit' and 'Next'.

3. You will now be prompted to insert the details of your existing ISA. It is important that these details match those held by your existing ISA provider, in order to prevent delays to your transfer request. Insert the details and click 'Next'.
4. You will now be prompted to note how much of your previous or current year's ISA you wish to transfer to us. Insert the amounts and click 'Next'.

- You will now be prompted for instructions around notice for your existing ISA provider. Enter the information and click 'Next'.
- Add any notes for your existing ISA provider in the 'Transfer notes' section and click 'Next'.
- You will now reach the 'Allocations' screen. In this section you will choose which products to invest the client's ISA transfer proceeds in to, and how much. You can allocate ISA transfer proceeds in percentage or cash terms (see 'Allocation Method'). Each time you choose a Product and give it an allocation, click 'Add order'. When you have allocated all ISA transfer proceeds, click 'Next'.

**Investec**

### Existing ISA Transfer

Information Existing ISA Subscriptions Notice Transfer notes **Allocations** Declaration Summary

Amount left to allocate: £25,000.00 (50.00%)

Allocation Method  Percentage  Value

Product to purchase	Fees	Allocation
EVEN 30 Deposit Growth Plan 75	0.0%	50.00 % <input type="button" value="✖"/>
<b>Total:</b>		50.00% / 100.00%

Product

Percent to invest

Deduct fees from amount to invest  Yes  No

**FTSE 100 Kick-Out Deposit Plan 87**  
Applications close: 06/09/2019

Maturity	Initial Investment
6 Years	Protected
Pay out	Return
At Maturity	5.5% per annum

- You will be prompted to provide some compliance information. One you have finished, click 'Next'.

**Investec**

### Existing ISA Transfer

Information Existing ISA Subscriptions Notice Transfer notes **Allocations** Declaration Summary

Have you provided the customer with the Key Information Documents for these products?  Yes  No

Have you assessed the suitability and/or appropriateness of the selected Investec plans for the customer?  Yes  No

Have you provided the customer with investment advice in relation to these products in accordance with the guidance set out in the Plan brochures?  Yes  No

Signatory

- 
9. In the following two screens, you will be prompted to agree to a transfer declaration, and review the transfer information that you have provided. When you are happy, press 'Confirm'.
  10. The client will now receive an email with a link prompting them to electronically sign the ISA transfer product application form via DocuSign. This does not require the client to log in to the Platform.
  11. Once the client has digitally signed the ISA transfer product application form, the Authorised signatory selected during the application process will receive an email with a link prompting them to sign the financial adviser section of the application form. This does not require the signatory to log in to the Platform.

**Please Note:** A Firm's Administrator, Adviser or Support User can view the outstanding signatures against an application, but only the Authorised signatory selected during each sale can sign the application.

12. The client will now receive a second email, stating that attention is required on their account.



13. **Important:** Since this is an ISA transfer, the client or a Firm user will need to log in to the Platform and download the application form from the Document Store.

The last two pages of the application form contain the instruction to the existing ISA manager.

The instruction must be printed (either by the client, or by a Firm user depending on your preferred process for each client) and the signature box on the last page must be signed and dated in wet ink by the client.

The instruction must then be posted directly to the existing ISA Manager.

Investec will continue to contact the existing ISA managers to check for receipt of the instruction and chase the funds as per our usual process.

## Part D: Reinvesting a client's maturing Investec Structured Product

**Please Note:** We can only process plans that have already kicked out or matured.

1. On the client dashboard, click 'Reinvest a matured plan'.

The screenshot displays the Investec client dashboard for Mr Glenn Richards (IBP000091). The dashboard includes a navigation bar with 'Contact', 'Products', and 'Clients' links, and a user profile for 'michael.last03@investec.co.uk'. The main content area is divided into several sections:

- Summary:** Shows account details for Mr Glenn Richards, including 'Total account value' (£0.00), 'ISA allocation 2019/2020\*' (£0.00 / £20,000.00), and 'Direct investments value' (£0.00). A note states: '\* Indicative only and solely captures orders placed on this platform'.
- Navigation:** A menu bar with 'Summary', 'People', 'ISA', 'Direct', and 'Documents' tabs. Below this, there are three buttons: 'Apply for a plan', 'Transfer Existing ISA', and 'Reinvest a matured plan'.
- Account Information:** A table with columns 'Account name', 'Account type', and 'Advised by'. The values are: Mr Glenn Richards, Individual, and Mr Michael Last / Last Chance Saloon FS Ltd.
- Holdings:** A table with columns 'Product', 'Account', 'Invested', 'Maturing', 'Cost', 'Value', and 'Status'. A message states: 'There are no holdings currently for this client'.
- Orders:** A table with columns 'Product', 'Account', 'Ordered', 'Amount', and 'Status'. It lists three orders:

Product	Account	Ordered	Amount	Status
EVEN 30 Deposit Growth Plan 75	ISA	12/08/2019 16:36	£25,000.00	Pending payment
FTSE 100 Kick-Out Deposit Plan 87	ISA	12/08/2019 16:36	£25,000.00	Pending payment
FTSE 100 Kick-Out Deposit Plan 87	Direct	09/08/2019 11:57	£10,000.00	Pending payment
- Bank accounts:** A table with columns 'Account name', 'Acc. number', 'Sort code', 'Maturity payments', and 'Income payments'. It lists one account:

Account name	Acc. number	Sort code	Maturity payments	Income payments
glyn richards	22345616	00-00-00	Yes	Yes

2. You will now reach the 'Matured plans' section where you will be prompted to enter details of the maturing plan(s) that you wish to reinvest, as well as how much of each maturity amount is to be reinvested and how much is to be encashed. You can also specify "New funds", if the client wishes to add new monies to the maturity funds that are being reinvested. When you have entered this information, click 'Next'.
3. You will now reach the 'New plans' section where you will be asked how to allocate the maturity funds (which you specified in the previous section) to one or more new structured products.
4. Specify which type of funds to reinvest (direct or ISA), choose which product to reinvest into, choose the amount to reinvest and specify the fee amount.
5. When done, click 'Add order'.

'Fund from' allows you to choose which type of available funds you are reinvesting (ISA or direct non-ISA maturity funds, or New funds), depending on the types of maturity funds available (as you specified in the previous 'Matured plans' section).

'Account' specifies whether the maturity funds or New funds will be reinvested as an ISA investment or a direct investment.

**Please Note:** If you try and reinvest maturing ISA funds into a direct account, you will be prompted with a warning that the ISA status of these funds will be lost.

If you reinvest maturity direct funds into an ISA account, this will be treated as a current year's ISA subscription.

6. You will now be able to either choose another product in which to reinvest any outstanding maturity proceeds (again, clicking 'Add order' when finished) or proceed by clicking 'Next'.
7. You will now reach the 'Additional options' section. If you specified 'New funds' in the 'Matured Plans' section (i.e. you are adding new monies to your maturity funds for reinvestment), you will be required to fill in this 'Additional option' section.

Otherwise there will be no questions to answer in this section and you will be prompted to click 'Next'.

8. You will now reach the 'Compliance' section. Once you have submitted your responses, click 'Next'.
9. At the 'Submit' section you will be asked to review the information that you provided. Once you are happy, click 'Submit'.
10. The client will now receive an email with a link prompting them to electronically sign their reinvestment product application form via DocuSign. This does not require the client to log in to the Platform.
11. Once the client has digitally signed the reinvestment product application form, the Authorised signatory selected during the application process will receive an email with a link prompting them to sign the financial adviser section of the application form. This does not require the signatory to log in to the Platform.

**Please Note:** If the client is adding new funds to their maturity funds, they will need to send us the new funds. Instructions for how to send us the funds are specified in section 3 of their application form.

Please refer to Part B, step 7 of this document for further explanation around how to do this.

12. Once the Adviser has signed the application form, the client will receive an acknowledgment email. This email will inform the client that a copy of their signed application form has been loaded into their document store (accessible by logging in to the platform), as well as a PDF acknowledgment letter.
13. You (the Firm Adviser/Support User/Administrator) can verify the status of the client's investment via the client's dashboard. For example, if a direct or new ISA investment is awaiting payment this will be flagged under the 'Status' column.

Orders				
Product	Account	Ordered	Amount	Status
<a href="#">EVEN 30 Deposit Growth Plan 75</a>	ISA	28/08/2019 12:10	£15,000.00	Pending signatures

<a href="#">View product</a>	<a href="#">Cancel Order</a>	<a href="#">Download</a>	<a href="#">Resend DocuSign</a>
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Application Id: 190828-0003	
Payment Reference: N/a - rollover	
Account: isa	
Product name: EVEN 30 Deposit Growth Plan 75	
Amount: £15,000.00	

Signer	Signed
Mr G Richards	<input type="checkbox"/> No
Mr M Last	<input type="checkbox"/> No

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## Get in touch with us

If you are having difficulties with the Platform, please don't hesitate to get in touch with our Platform Support Team:

**Email:** [FinProdPlatformSupport@investec.co.uk](mailto:FinProdPlatformSupport@investec.co.uk)

**Tel:** +44 207 597 4045

