

Regular investments dealing tool user guide

Introduction

The regular investments dealing tool allows you to easily view, set up and amend regular investments on your clients' Funds & Shares Service accounts. You are able to place individual or multiple regular investments on a client's account with a single instruction. Deals instructed via this tool are also free of charge.

It is also possible to create and manage regular disinvestments to make cash available. For more information on this facility, please read our [user guide](#).

Please note: Deals must have a consideration of at least £2.50 each and only investments which are able to be dealt regularly are displayed on the regular dealing tool. To place a deal on an investment that is not shown, or ask whether an investment can be dealt regularly, please contact our Dealing Services Team on 0345 83 99 060.

Contents

Regular investments

Access the tool	3
Select a Funds & Shares Service account	4
View, amend and set up assets for regular investments	5
Confirm value of regular investment	6
Review screen	6
Confirmation screen	7
Edit an existing regular investment	8
Confirm amended value of regular investment	9
Review screen	9
Confirmation screen	10
Cancelling an existing regular investment	11
Confirm that the regular investment is to be cancelled	12
Confirmation screen	12
Regular cash movement overview	13
Setting up a regular cash movement	13
Review the cash movement	14
Regular cash movement overview	14

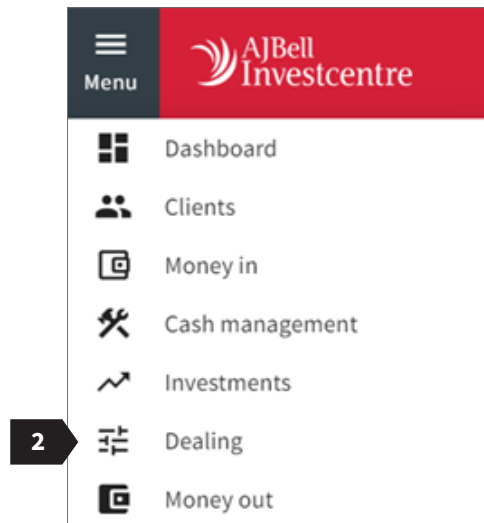
Access the tool

You can find the dealing tool via the main menu: select 'Tools', 'Dealing' and then 'Regular dealing'.

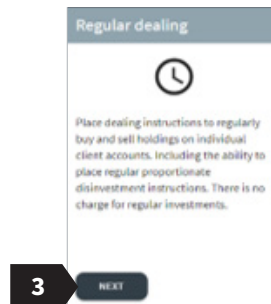
- 1 The main menu can be accessed via any page within our V2.0 site – just look for the icon at the top left of your screen.



- 2 Select 'Dealing'.



- 3 Select 'NEXT' on the regular dealing card.



Select a Funds & Shares Service account

You have a range of options to find the client account you wish to use. Once you have located your client's account, click on the 'View accounts' link and press 'Select'.

- 1 Filter by wrapper type.
- 2 Search for a client using either their client reference or name.
- 3 View or hide the client's Funds & Shares Service accounts.
- 4 Select the client's account on which you wish to place the regular investment instruction.
- 5 Set up a regular cash movement between the client's accounts. (For more information, please see page 13.)
- 6 An 'RI' or 'RD' flag is displayed when a client has an existing regular investment or regular disinvestment, respectively.

The screenshot shows the 'Regular dealing' interface. At the top, there is a 'Filter product' dropdown menu (1) and a 'Search clients' search bar (2). Below the search bar is a table with columns: Client name, Client reference, Cash, Available cash, Assets, Total, Existing regulars, and HIDE ACCOUNTS (3). The table lists three accounts: 'Full SIPP - cash', 'Full SIPP - Funds & Shares Service', and 'Full SIPP - Funds & Shares Service 2'. The 'Full SIPP - Funds & Shares Service' row has an 'RI' flag (6) and a 'SELECT' button (4). Below the table, there is a message: 'There is no regular SIPP cash movement on this account.' and a 'SET UP REGULAR CASH MOVEMENTS' button (5). At the bottom right, there is a 'Feedback' button.

Client name	Client reference	Cash	Available cash	Assets	Total	Existing regulars	HIDE ACCOUNTS
Full SIPP - cash	-	£5,171.37	-	-	£5,171.37		
Full SIPP - Funds & Shares Service		£15,379.56	£12,679.56	£185,538.68	£200,918.24	RI	SELECT
Full SIPP - Funds & Shares Service 2		£19,138.15	£19,138.15	£0.00	£19,138.15		SELECT

View, amend and set up assets for regular investments

Once in your client's account, the tool will show you which of your client's assets are eligible for regular investment.

From here, you can set up, amend or remove any regular investments for current holdings, and also add regular investments for new assets which are currently not held. Once you have made your selection(s), please press 'Next'.

- 1** This shows you whether you are viewing regular investments or disinvestments.
- 2** Search for a security; please note, only securities eligible for regular investments will be shown.
- 3** Select all investments in the client's portfolio.
- 4** Edit or delete all existing regular investments.
- 5** Edit an existing regular investments.
- 6** Delete an existing regular investment.
- 7** Add an asset currently held in the client's portfolio to the regular investments order.
- 8** Add new assets for a regular investment.
- 9** List of new assets which can added.

Dealing
REGULAR DEALING

Regular dealing

Full SIPP | Funds & Shares Service - [REDACTED]

Available cash: £777.50

0 Assets in order
NEXT

INVESTMENTS **2**
DISINVESTMENTS **1**

2 Search investment name, SEDOL or ISIN

Investment name	SEDOL	Value (£)	Amount (£)	Adviser Charge	Frequency	Next deal date	<input type="checkbox"/> Add all	⋮
			£300.00					
ARTEMIS HIGH INCOME I INC	▼ [REDACTED]	£17,852.52	£150.00	N/A	Monthly	10/03/2021	<input type="checkbox"/>	⋮
ISHARES JAPAN EQUITY INDEX (UK) D ACC	▼ [REDACTED]	£10,464.38	£150.00	N/A	Monthly	10/03/2021	<input type="checkbox"/>	⋮
ISHARES NORTH AMER EQ INDEX D ACC	▼ [REDACTED]	£18,790.11	N/A	N/A	N/A	N/A	+ ADD TO ORDER	⋮
JOHCM FUNDS UK LTD UK DYNAMIC Y GBP ACC	▼ [REDACTED]	£17,254.37	N/A	N/A	N/A	N/A	+ ADD TO ORDER	⋮

INVESTMENTS **2**
DISINVESTMENTS

2 Search investment name, SEDOL or ISIN

2 Search investment name, SEDOL or ISIN

Results from client's existing portfolio

Investment name	SEDOL	Value (£)	Amount (£)	Adviser Charge	Frequency	Next deal date	<input type="checkbox"/> Add all	⋮
			£300.00					
VANGUARD INV UK LT FTSE UK EQTY INC IDX GBP	▼ [REDACTED]	£17,017.36	N/A	N/A	N/A	N/A	+ ADD TO ORDER	⋮

Results from Funds & Shares Service universe

Investment name	SEDOL							
Vanguard SRI European Stk E Dist	▼ [REDACTED]	+ ADD TO ORDER						
Vanguard Em Mkts Stk Idx E Acc	▼ [REDACTED]	+ ADD TO ORDER						

Confirm value of regular investment

The assets which you selected for regular investment will now appear and the tool will allow you to assign a regular investment value and add an adviser charge if required.

- 1 Select whether you would like to add adviser charging to the regular investment.
- 2 If you elect to add adviser charging, you will need to elect the basis on which it applies.
- 3 Input the value of the regular investment per line of stock.
- 4 Input the cash value or percentage of the adviser's charge (if applicable).
- 5 Once you have input the value for each asset, the 'REVIEW' button will take you to the next screen to review your instruction.

Please note: Deals must have a consideration of at least £2.50 each and only investments which are able to be dealt regularly are displayed on this tool. To place a deal on an investment that is not shown, or ask whether an investment can be dealt regularly, please contact our Dealing Services Team on 0345 83 99 060.

Review screen

- 6 If you are happy with the orders you have entered, please press 'SUBMIT'.
- 7 Otherwise, selecting 'EDIT' will take you back to the above screen where you can amend the values.

Full SIPP - F&SS

Regular investment

Available cash: £12,679.56

Type
Amount (£)

1 / 1 Assets with amount

Add adviser charging? Yes No

Type £ %

Investment name	SEDOL	Value (£)	Adviser's charge (£)
AJ Bell plc		£150	£2.5

The adviser charge you enter will be the amount/percentage deducted. If your charge is subject to VAT, you must add this to the amount/percentage entered.

Investments will only be made if there is sufficient available cash at the deal date.

REVIEW

Full SIPP - F&SS

Regular investment

Available cash: £12,679.56

Type
Amount (£)

1 / 1 Assets with amount

Add adviser charging? Yes No

Investment name	SEDOL	Value (£)
AJ Bell plc		£150.00

EDIT SUBMIT

Please note: Only whole units in exchange traded investments can be bought or sold. Your instruction amount must be the equivalent to at least one unit, otherwise your instruction will not be accepted.

Confirmation screen

Once the regular investment has been set up, you will have the option to print off a receipt confirming this.

If you have set up a regular investment within a SIPP account, then a message will appear if a regular cash movement isn't currently in place.

- 1** If there is no regular cash movement set up, you will be notified.
- 2** If you wish to set up a cash movement, you can do this here; for more information, please see page 13.
- 3** Otherwise, you can print a receipt of the instructions you have given.
- 4** Press the 'X' button to exit this page.

Full SIPP - F&SS

Regular investment

Available cash: £12,679.56

From the next deal date and each month thereafter, the following investments will be made:

Investment name	SEDOL	Value (£)
AJ Bell plc		£150.00

1 There is no regular cash movement instruction in place to move money from this account. To set up a instruction, click the button below. Cash movements can be set up at any time from the client dashboard.

2 SET UP CASH MOVEMENT

PRINT RECEIPT **3**

4 X

Edit an existing regular investment

You can easily identify and edit existing regular investments using the regular investment tool.

- 1 An 'RI' or 'RD' flag is displayed when a client has an existing regular investment or regular disinvestment
- 2 To change existing regular investments, first select the account

You can either edit all or just one regular investment.

- 3 To edit all, press the action menu and select 'Edit All'.
- 4 If you would just like to edit just one regular investment, select the icon indicated on the investment that you would like to amend.

Dealing REGULAR DEALING

Regular dealing Filter product

Search clients

Client name	Client reference	Cash	Available cash	Assets	Total	Existing regulars	HIDE ACCOUNTS ^
Full SIPP - cash	-	£5,171.37	-	-	£5,171.37		
Full SIPP - Funds & Shares Service		£15,379.56	£12,679.56	£185,538.68	£200,918.24	RI 1	SELECT 2
Full SIPP - Funds & Shares Service 2		£19,138.15	£19,138.15	£0.00	£19,138.15		SELECT

There is no regular SIPP cash movement on this account. SET UP REGULAR CASH MOVEMENTS

Regular dealing

Full SIPP | Funds & Shares Service - 0 Assets in order NEXT

Available cash: £12,679.56

INVESTMENTS **13** DISINVESTMENTS

Search investment name, SEDOL or ISIN

Investment name	SEDOL	Value (£)	Amount (£)	Adviser Charge	Frequency	Next deal date	<input type="checkbox"/> Add all	3
ARTEMIS GLOBAL INCOME I ACC		£1,000.37	£22.50	N/A	Monthly	10/03/2021		
ASI GLOBAL SMALLER COMPANIES P1 ACC		£90,487.35	£22.50	N/A	Monthly	10/03/2021		4
ASI GLOBAL UNCONS EQ P1 ACC		£1,379.08	£26.25	N/A	Monthly	10/03/2021		
ASI UK INCOME UNCONSTRAINED EQ P3 ACC		£1,398.58	£30.00	N/A	Monthly	10/03/2021		
ASI UK REAL ESTATE SHARE I ACC		£1,203.54	£26.25	N/A	Monthly	10/03/2021		
BNY MELLON GLOBAL INC W NET ACC		£14,271.57	N/A	N/A	N/A	N/A	<input type="checkbox"/> ADD TO ORDER	
BNY MELLON FD HMGR UK INCOME INSTL W GBP ACC		£9,662.15	N/A	N/A	N/A	N/A	<input type="checkbox"/> ADD TO ORDER	
FIL INV SVCS UK AMER SPECIAL SITS W ACC NAV		£3,813.81	N/A	N/A	N/A	N/A	<input type="checkbox"/> ADD TO ORDER	

Confirm amended value of regular investment

On this screen, simply amend the current value of the regular investments and adviser charge if required. Once completed, press 'Review'.

- 1 Edit the amount of each regular investment.
- 2 Edit the amount of adviser charging applied to each regular investment.
- 3 The indicative total of the regular investment.
- 4 The total of the regular investment; if a percentage-based adviser charge is selected, this amount will be indicative.
- 5 A count of assets is shown here.
- 6 Once you have made all amendments you wish to make, press 'REVIEW'.

Review screen

- 7 If you are happy with the amendments you have made, you can 'SUBMIT' the changes.
- 8 If not, you can return to the previous screen by pressing 'EDIT'.

Full SIPP - F&SS

Regular investment

Available cash: £777.50

Type
Amount (£)

Assets with amount 3 / 3

Add adviser charging? Yes No

Type £ %

Investment name	SEDOL	Value (£)	Adviser's charge (%)
ARTEMIS HIGH INCOME I INC		£200	2%
ISHARES JAPAN EQUITY INDEX (UK) D ACC		£200	2%
ISHARES NORTH AMERICAN EQ IDX (UK) D ACC		£200	2%
Total		£600.00	£12.00

The adviser charge you enter will be the amount/percentage deducted. If your charge is subject to VAT, you must add this to the amount/percentage entered.

Investments will only be made if there is sufficient available cash at the deal date.

REVIEW

Full SIPP - F&SS

Regular investment

Available cash: £777.50

Type
Amount (£)

Assets with amount 3 / 3

Add adviser charging? Yes No

Type £ %

Investment name	SEDOL	Value (£)	Adviser's charge (%)
ARTEMIS HIGH INCOME I INC		£200.00	2%
ISHARES JAPAN EQUITY INDEX (UK) D ACC		£200.00	2%
ISHARES NORTH AMERICAN EQ IDX (UK) D ACC		£200.00	2%
Total		£600.00	£9.00

EDIT SUBMIT

Confirmation screen

Confirmation will be provided once the regular investment has been amended successfully.

- 1 Confirmation that the regular investment has been set up.
- 2 A summary of the new regular investments is displaced here.
- 3 As there is no regular cash movement into the account, the message shown here is displayed.
- 4 If you wish to set up a cash movement, you can do so here.
- 5 If not, you can print a receipt of the new instructions here.
- 6 If you do not wish to set up a cash movement or print a receipt, you can exit this page.

The screenshot shows a web interface for 'Full SIPP - F&SS'. The main heading is 'Regular investment' with 'Available cash: £777.50' on the right. Below the heading, a message states: 'From the next deal date and each month thereafter, the following investments will be made:'. A table lists three investments: ARTEMIS HIGH INCOME I INC, ISHARES JAPAN EQUITY INDEX (UK) D ACC, and ISHARES NORTH AMERICAN EQ IDX (UK) D ACC. Each investment has a value of £200.00 and an adviser's charge of 2%. A 'Total' row shows £600.00 and £9.00. A yellow warning box contains the text: 'There is no regular cash movement instruction in place to move money from this account. To set up a instruction, click the button below. Cash movements can be set up at any time from the client dashboard.' At the bottom, there are two buttons: 'SET UP CASH MOVEMENT' and 'PRINT RECEIPT'. A close button (X) is in the top right corner.

Investment name	SEDOL	Value (£)	Adviser's charge (%)
ARTEMIS HIGH INCOME I INC	[REDACTED]	£200.00	2%
ISHARES JAPAN EQUITY INDEX (UK) D ACC	[REDACTED]	£200.00	2%
ISHARES NORTH AMERICAN EQ IDX (UK) D ACC	[REDACTED]	£200.00	2%
Total		£600.00	£9.00

Cancelling an existing regular investment

To cancel a regular investment, select the account and assets to be cancelled.

1 An 'RI' or 'RD' flag is displayed when a client has an existing regular investment or regular disinvestment.

2 To cancel an existing regular investment, first select the account.

You can either cancel all or just one regular investment.

3 To cancel all, press the action menu and select 'Delete all'.

4 If you would just like to cancel just one regular investment, select the icon indicated.

Dealing REGULAR DEALING

Regular dealing Filter product

Search clients

Client name	Client reference	Cash	Available cash	Assets	Total	Existing regulars	HIDE ACCOUNTS ^
Full SIPP - cash	-	£5,171.37	-	-	£5,171.37		
Full SIPP - Funds & Shares Service		£15,379.56	£12,679.56	£185,538.68	£200,918.24	RI 1	2 SELECT
Full SIPP - Funds & Shares Service 2		£19,138.15	£19,138.15	£0.00	£19,138.15		SELECT

There is no regular SIPP cash movement on this account. SET UP REGULAR CASH MOVEMENTS

Regular dealing

Full SIPP | Funds & Shares Service - 0 Assets in order NEXT

Available cash: £12,679.56

INVESTMENTS **13** DISINVESTMENTS

Search investment name, SEDOL or ISIN

Investment name	SEDOL	Value (£)	Amount (£)	Adviser Charge	Frequency	Next deal date	<input type="checkbox"/> Add all	
			£300.00					
ARTEMIS GLOBAL INCDHE I ACC		£1,000.37	£22.50	N/A	Monthly	10/01/2021		3
ASI GLOBAL SMALLER COMPANIES P1 ACC		£20,497.15	£22.50	N/A	Monthly	10/01/2021		4
ASI GLOBAL UNCONS EQ P1 ACC		£1,279.08	£26.25	N/A	Monthly	10/01/2021		
ASI UK INCOME UNCONSTRAINED EQ P3 ACC		£1,336.36	£20.00	N/A	Monthly	10/01/2021		
ASI UK REAL ESTATE SHARE I ACC		£1,203.54	£26.25	N/A	Monthly	10/01/2021		
BNY MELLON GLOBAL INC W NET ACC		£24,271.37	N/A	N/A	N/A	N/A	<input type="checkbox"/> ADD TO ORDER	
BNY MELLON FD MMGR UK INCOME INSTL W GBP ACC		£9,662.15	N/A	N/A	N/A	N/A	<input type="checkbox"/> ADD TO ORDER	
FIL INV SVCS UK AHER SPECIAL SITS W ACC NAV		£3,813.81	N/A	N/A	N/A	N/A	<input type="checkbox"/> ADD TO ORDER	

Confirm that the regular investment is to be cancelled

Review the regular investments which are to be cancelled and confirm you want to proceed.

- 1 Details of the regular investment(s) that you are about to cancel are displayed here.
- 2 If you are happy with the details shown, press 'CONFIRM' to cancel the regular investments.
- 3 If not, cancel the instruction by exiting the screen.

Confirmation screen

Confirmation of the cancelled regular investment is now shown.

- 4 Details of the regular investment(s) you have just cancelled are displayed here.
 - 5 If the customer has a cash movement set up, you can amend it here; if not, an option to set up a cash movement will be displayed.
- For information on how to do so, please see page 13.
- 6 If you would not like to amend or set up a cash movement, you can exit this page here.

Full SIPP - F&SS

Regular investment

Available cash: £12,679.56

To complete process, please confirm that you would like to cancel the following regular investment

Investment name	SEDOL	Value (£)	Adviser Charge
ASI GLOBAL SMALLER COMPANIES P1 ACC		£22.50	0.20%

CONFIRM

Full SIPP - F&SS

Regular investment

Available cash: £12,679.56

Thank you - the request has been received and the regular investments have been cancelled.

Investment name	SEDOL	Value (£)	Adviser Charge
ASI GLOBAL SMALLER COMPANIES P1 ACC		£22.50	0.20%

There is a regular cash movement from SIPP Cash to Funds & Shares Service of £150.00 per month. To edit the cash movement, please click the button below, or do so from the client's dashboard.

AMEND CASH MOVEMENT

Regular cash movement overview

- 1 As this customer does not currently have a cash movement set up, you will first need to press 'CREATE'.

Setting up a regular cash movement

- 2 Select the account for the cash movement to come from.
- 3 Select the account for the cash movement to go to.
- 4 Input the amount of cash you would like to move.
- 5 Select the frequency for the cash movement.
- 6 Input the start date.

Please note: You are able to select a start date up to 12 months in the future.

- 7 To progress to the review screen, press 'SUBMIT'.

SIPP cash management tools

CASH FLOW ONE-OFF CASH MOVEMENT **REGULAR CASH MOVEMENTS** REGULAR INVESTMENTS REGULAR DISINVESTMENTS

Existing regular cash movements
There are currently no regular cash movements set up for this client.

1 CREATE

Set up a new regular cash movement
It is not possible to set up a regular cash movement from an account that is already the recipient of an existing regular cash movement. You will need to delete all the existing cash movements in order to set up a new one. Alternatively, you can enter a one-off cash movement.

2 From
SIPP cash account

3 To
Funds & Shares Serv

4 Amount
£150.00

5 Frequency
Monthly

6 Start date
7 April

7 SUBMIT
CANCEL

Review the cash movement

- 1 A summary of the instruction you have just provided is displayed here.
- 2 If the details displayed in the summary shown are correct, press 'CONFIRM' to set up the regular cash movement.
- 3 Otherwise, 'EDIT' will take you back to the previous screen.

Regular cash movement overview

- 4 Once submitted, you will be taken back to the first screen; here, you can see an overview of all cash movements that have been set up.
- 5 Here you also can edit or delete existing regular cash movements.

Existing regular cash movements
There are currently no regular cash movements set up for this client.

CREATE

Confirm set-up of regular cash movement
Please confirm the details below are correct and click 'Confirm', or click 'Edit' to amend any incorrect details.

From SIPP cash account

To Funds & Shares Service

Amount £150.00

Frequency Monthly

Start date 07/04/2021

Note: This regular cash movement will move £150.00 from SIPP cash account to the Funds & Shares Service every month.

CONFIRM

EDIT

SIPP cash management tools

CASH FLOW ONE-OFF CASH MOVEMENT REGULAR CASH MOVEMENTS REGULAR INVESTMENTS REGULAR DISINVESTMENTS

Existing regular cash movements

From	To	Amount	Frequency	Next due date	Actions
SIPP cash account	Funds & Shares Service	£150.00	Monthly	07/04/2021	