

INVESTMENT PARTNER

Canaccord Genuity Wealth Management

Company profile

Investing with Canaccord Genuity Wealth Management gives you access to a broad range of wealth management solutions.

We have successfully grown our business and reputation over the years. Now, in the UK and Europe, our investment professionals manage and administer £32.4 billion of assets (as at 30 June 2021).

Our core wealth management services include portfolio management and stockbroking services.

We have enough size and scale to deliver experience and expertise, combined with a highly developed and up-to-date technical infrastructure. This provides efficient and effective investment management, as well as economies of scale that allow us to be price competitive. At the same time we are small enough to provide a personal, relationship-led service with direct access to our people and knowledge.

Our Canaccord Genuity Group

We are part of Canaccord Genuity Group Inc., a publicly traded company under the symbol CF on the Toronto Stock Exchange. Established in 1950, it is now a leading global financial services firm, operating in wealth management and capital markets.

The Group has offices in 10 countries, including wealth management offices in the UK, Channel Islands, Isle of Man, Canada and Australia. Canaccord Genuity, our international capital markets division, operates in North America, the UK and Europe, Asia, Australia and the Middle East.

Why select Canaccord Genuity Wealth Management?

- You can be confident that we will work with you to build exactly the relationship you want.
- We will always keep you informed about your client's portfolio and any decisions we are making on their behalf.
- You can choose whether you want updates face to face, by phone or by email.
- We offer experience, expertise and a highly efficient, competitive service.

Our investment approach

Creating a sustainable relationship

Throughout your relationship with us, you will be supported by a dedicated team with an in-depth understanding of your own and your clients' needs. The lead manager will personally look after the relationship and oversee your clients' investment management.

At the start, they'll spend time getting to know you, and will build an enduring relationship that works for you.

You can choose how we work together. You may wish to retain the responsibility for assessing the risk and ongoing suitability of your clients' investments or we can agree a joint 'hybrid' working relationship. Whichever working relationship you choose, we will make sure it enables both of us to use our time and resources efficiently and ensures compliance. You will continue to deliver the very best for your clients, supported by the combined strength and expertise of our partnership.

Our main objective is the same as yours: to ensure your clients feel confident, valued and satisfied.

Keeping you informed

We will communicate with you regularly in whichever way suits you, and work in synergy with you to help your clients protect and increase their assets.

Each client's personal Investment Manager will always be on hand to discuss their portfolios honestly, share knowledge and insights, and alert you to appropriate opportunities. They will be available to meet your clients if you wish.

- We will provide consolidated quarterly client valuations, with a market commentary.
- We'll also provide you and your clients with comprehensive tax reporting.
- Your clients can access their accounts online at any time, no matter where they are, through our easy-to-use Wealth Online portal and app, including their investments, statements and historical valuations.

Our investment process

Our goal is to meet your clients' personal investment needs and achieve the best possible returns for their chosen level of risk.

Based on a global asset allocation framework, our rigorous, robust and highly analytical investment process includes in-depth research, continuous monitoring and the interaction of a number of investment committees.

Like a combination lock, each layer of our investment process must be aligned before we can start to create risk-adjusted portfolios for your clients.

- Our in-house experts select investments from the open market to create a range of quality investment opportunities.
- We offer nine different risk profiles to suit each client's attitude to risk.
- We offer many different investments, including equities, funds, exchange-traded funds (ETFs), investment trusts, alternatives, bonds and cash.
- Our specialist investment committees combine their knowledge to agree the best positioning for each client's portfolio.
- We check each client's portfolio against their objectives and an industry benchmark to make sure it's on track.
- We actively manage and monitor clients' investments to maximise returns and minimise losses.
- As we don't offer tax advice at Canaccord Genuity Wealth Management, we'll work closely with any tax, accountancy or legal professionals supporting a client, to make sure the decisions we make on their behalf dovetail with their other arrangements.



* Directs – direct bond, equity, alternative and cash holdings, rather than via a fund or other investment vehicle

Fund charges and investment terms

The fee scale for our discretionary portfolio management service is as follows:

Fund value	Rate
On the first £1 million	0.75% p.a.
Thereafter above £1 million	0.5% p.a.

Minimum investment: £100,000 for segregated portfolios.

Additional charges: £30 fixed transaction charge.

Adviser fee: advisers can nominate an initial charge/ongoing fee which is added to the annual management fee.

Adviser charges may be paid out of the client's SIPP cash account by AJ Bell Investcentre. In addition, you may receive initial and ongoing payments from Canaccord Genuity Wealth Management.

AJ Bell Investcentre will not accept investment instructions – these must be arranged directly with Canaccord Genuity Wealth Management.

As your client's adviser, you are responsible for transferring cash between AJ Bell Investcentre and Canaccord Genuity Wealth Management. You must transfer cash using AJ Bell Investcentre's online cash movement facility.

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Investment involves risk. The value of investments and the income from them can go down as well as up and investors may not get back the amount originally invested. The investments described in this factsheet may not be suitable for all investors. Investors should make their own investment decisions based upon their own financial objectives and financial resources and, if in any doubt, should seek advice from an investment adviser.

Any tax benefits depend upon the investor's individual circumstances and clients should discuss their financial arrangements with their own tax adviser before investing. The levels and bases of taxation may be subject to change in the future.

This document is for information only and is not to be construed as a solicitation or an offer to purchase or sell investments or related financial instruments. This has no regard for the specific investment objectives, financial situation or needs of any specific investor.

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