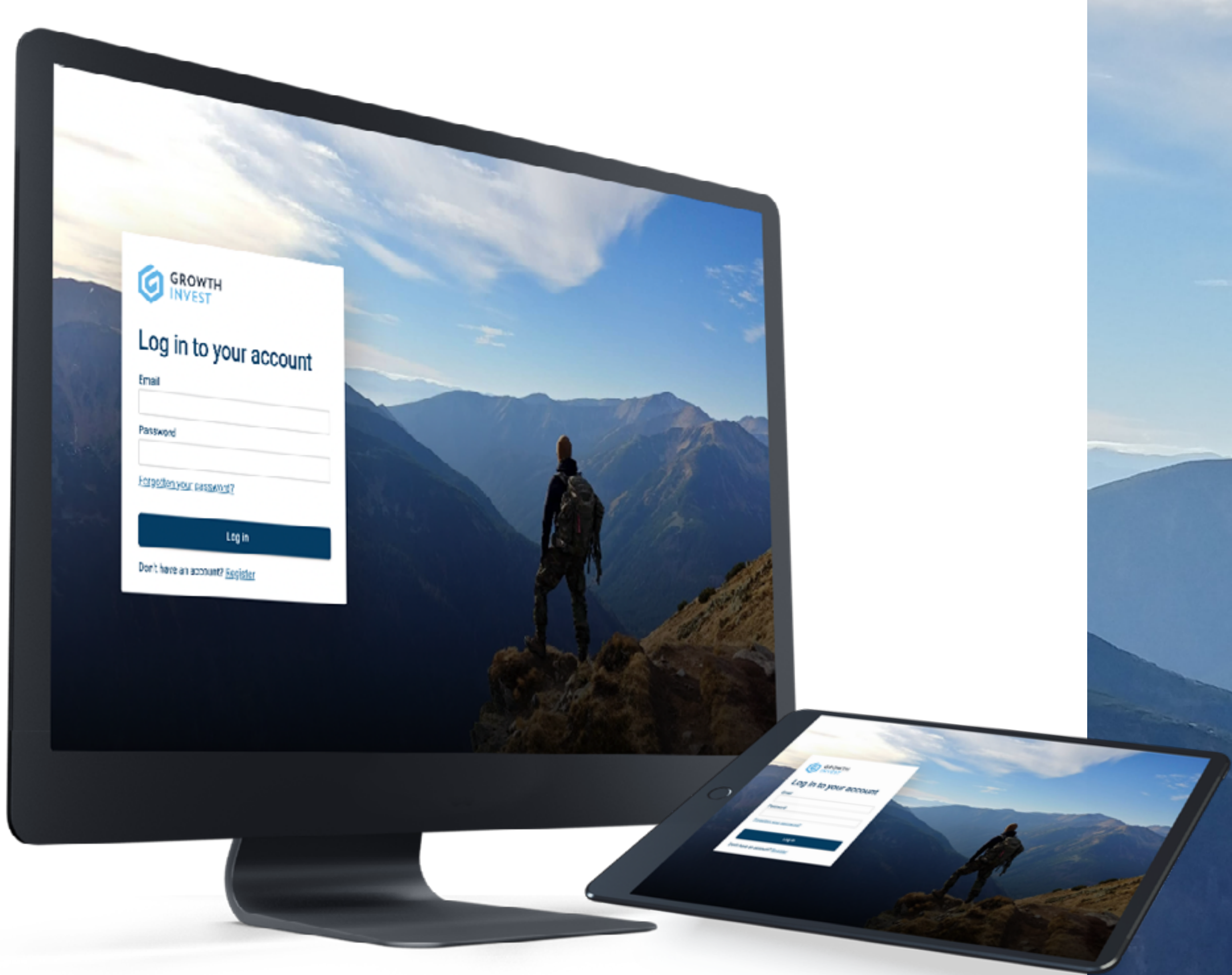
Platform Guide Series - Adviser Edition

SETTING UP A CLIENT ACCOUNT



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INTRODUCTION

Welcome to the GrowthInvest client portal, which is the access point for clients. This guide will take you through how to set up client accounts, and how they will securely be provided with access to the portal. Once they are registered, your clients will have all they need to keep track of their account, all within a secure, branded portal:

- A summary view of their portfolio on the client dashboard
- A detailed portfolio view, including up to date valuation, details and all documents
- Access via their desktop and mobile devices
- Review and edit their personal information, upload relevant documents, and reset passwords and security.

Clients can be added to the GrowthInvest platform in the following ways:

- By intermediary users with the appropriate access level on the platform.
- By GrowthInvest via a secure data transfer (often used for initial set up of multiple clients) .
- By the client registering themselves directly on the platform.

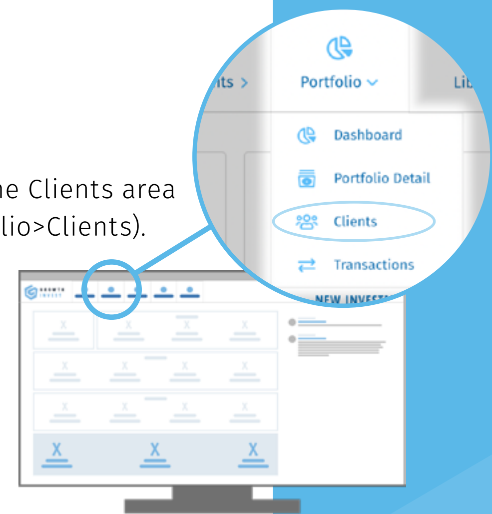
This guide focuses primarily on the set up of client accounts by intermediary users via the “Create a Client” functionality.

Please note that for new client accounts, there are a series of checks and a 48 hour minimum period in advance of a full investment account being authorised.

1 NAVIGATION

After logging into the GrowthInvest portal, navigate to the Clients area which can be found underneath the Portfolio tab (Portfolio>Clients).

In this section, you can view a summary of all available existing clients, their status, adviser, and portfolio summary, as well as add new clients to the portal.



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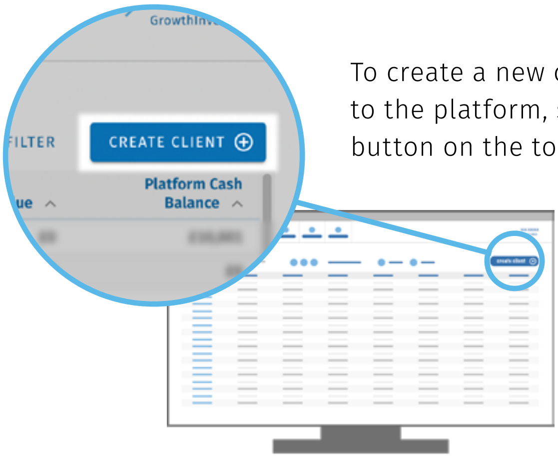

To create a new client and add their details to the platform, select the CREATE CLIENT button on the top right hand side.

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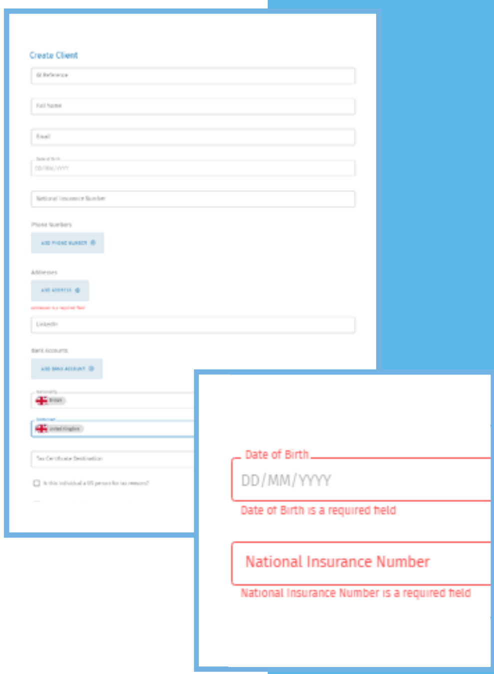
This will result in an initial pop screen to capture the key client details such as name, email, address, Date of Birth, national insurance number et cetera.

Most of the fields on the form are required at this stage and will become red if left blank or filled out incorrectly.



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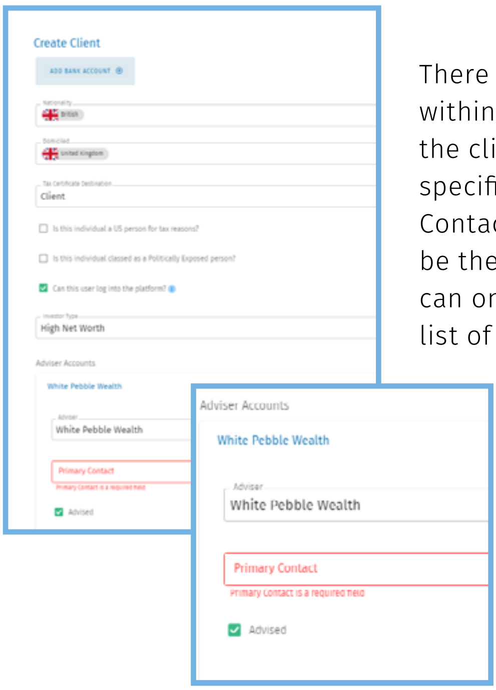

There is an Adviser Account section within the pop-up which requires the client to be associated with a specific intermediary firm and "Primary Contact". This would most commonly be the relevant financial adviser, and can only be selected from a drop down list of registered users.

Please note that the selection of the Primary Contact will feed into any agreed client structure or client visibility (see "Visibility" notes below).

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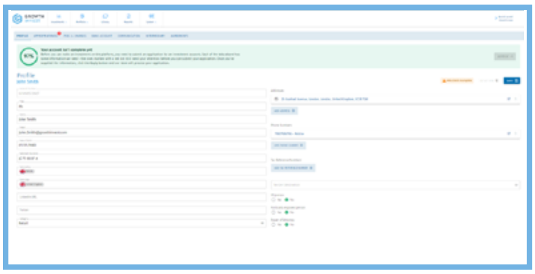
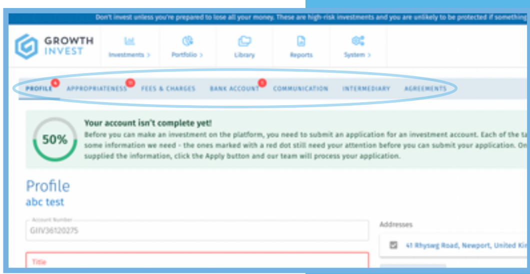
5 Once you have completed and checked all the details in the initial pop up form, simply press the "submit" button at the bottom of the form which will create both the client and the account.



You will now be able to see and access the account via the Client section, to add any additional information that may be required, and allow you to run final checks in advance of submitting the client's account application.

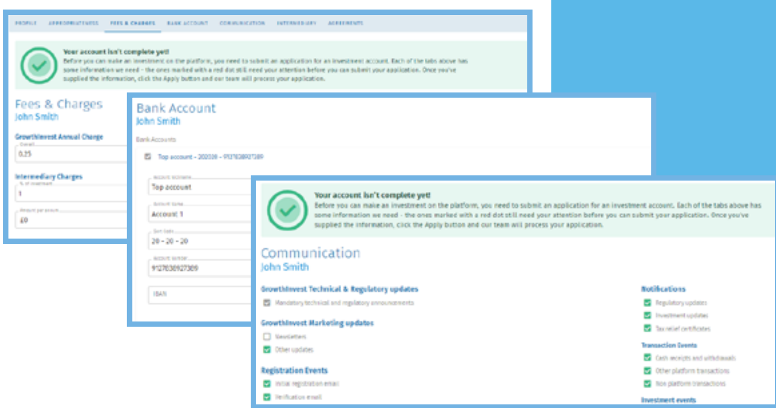
6 When you are in the relevant Client Account, you will see a number of different tabs at the top. There are some sections, such as Appropriateness, which are likely to require further attention and answers as part of our client due diligence process.

Any sections that require further information will be marked with a red dot.



7 Please check all sections carefully, including Fees and Bank Account.

Within the Communication tab you can define which updates and notifications the client will receive.



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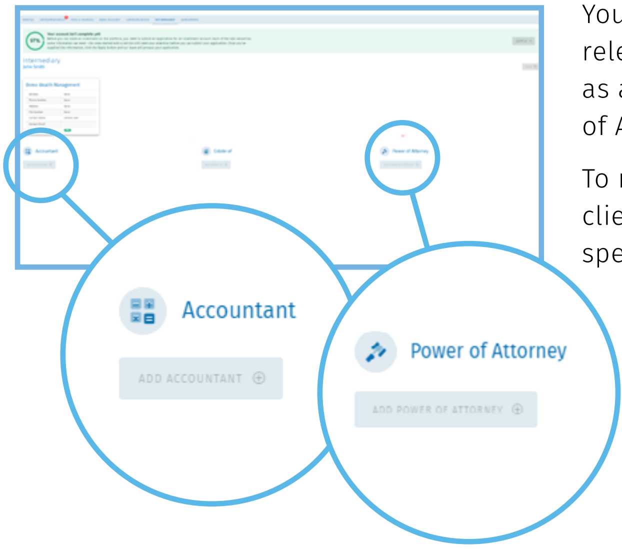
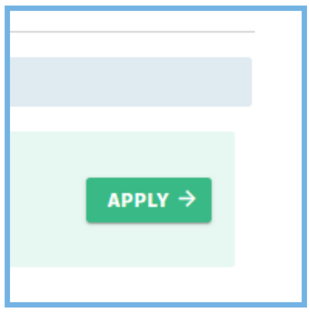
8 As the GrowthInvest portal offers the option of a consolidated account view for each client, within the Intermediary section you will see all accounts relating to the client.



You can also add related relevant third parties, such as an Accountant or Power of Attorney..

To request a consolidated client account view, or specific third party account access please contact the GrowthInvest client services team who will be pleased to help.

9 Once you have completed all sections, you will see that the banner at the top changes and the previously greyed-out Apply button is now green. This means that we have all the information we need to set up the full client account and get the application form signed.



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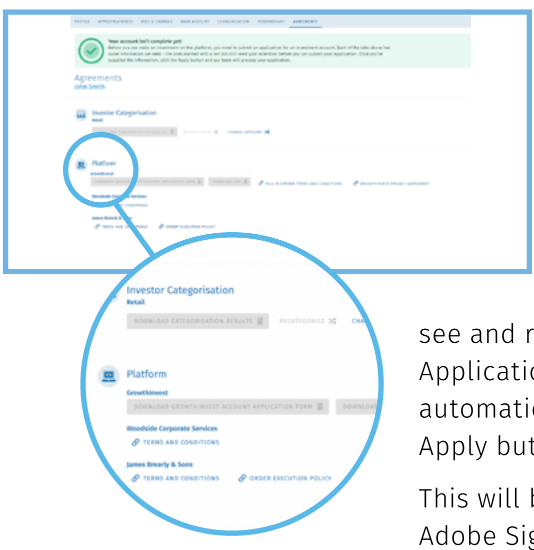


Within the Agreements tab, you and your client will have easy access to any relevant terms and conditions, (including those of our main custodians).

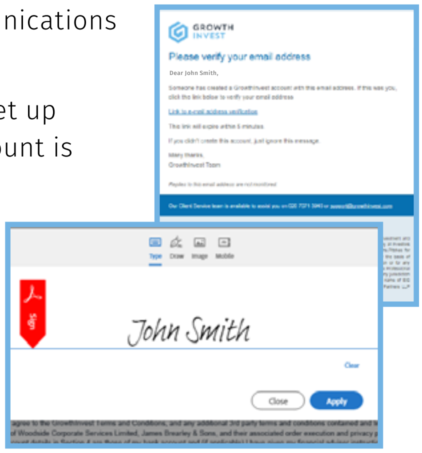
You will also be able to see and review the Platform Account Application form, which will be automatically generated once the Apply button is pressed.

This will be sent to the client via Adobe Sign, our digital partner.

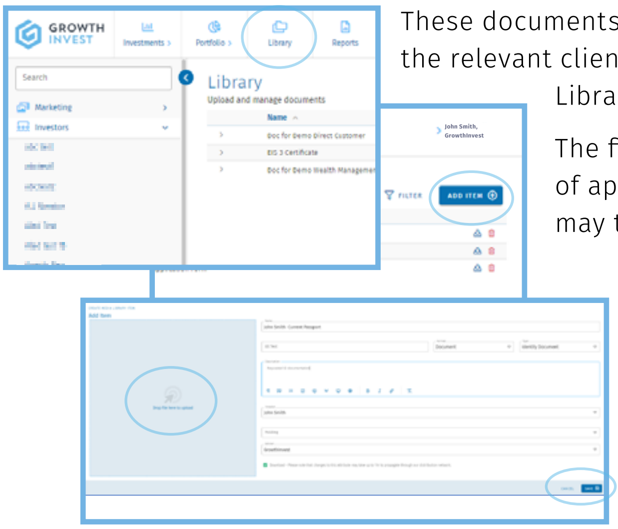
11 The client will initially receive 2 communications as part of the process outlined above.

1. The initial account verification and set up email can be sent either when the account is created or at a later stage.

2. The account application form will be sent to the client via Adobe Sign, our digital partner and require sign off from the primary contact (usually the financial adviser) in advance of arriving in the client's inbox.



12 Alongside the account application form, we also require copies of client identification documents in order to run independent ID and AML (anti-money laundering) checks.

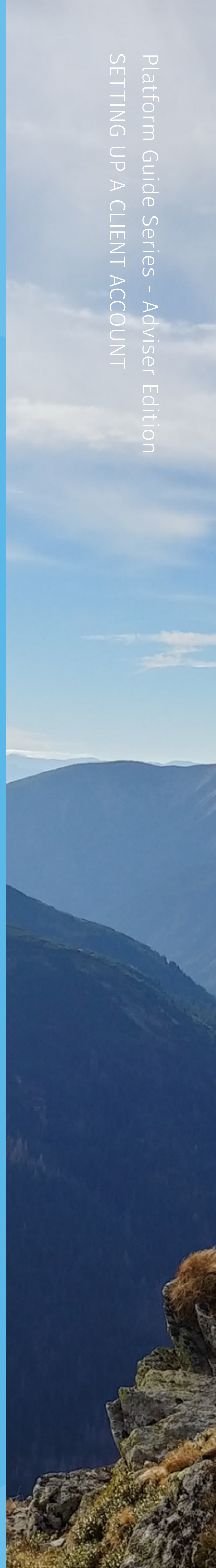


These documents can be uploaded directly into the relevant client account on the portal in the Library section.

The final checks and confirmation of approval for a new client account may take up to 48 hours.

Please note additional documentation or information may be required at this stage if there any flags or matches to industry standard databases used by GrowthInvest and our chosen custodians.

Support
If you have any questions, please do not hesitate to contact the GrowthInvest Client Services team **via the portal**, by email at **clientservices@growthinvest.com** or call us on **0300 303 0037.**



ADDITIONAL HINTS & TIPS

- Please check that the client does not already have a GrowthInvest account before creating a new account.
- Please let your clients know that they are being set up with a GrowthInvest platform account, and to be on the look out for communications from GrowthInvest.
- Each client account has the option to be set up with Multi-Factor Authentication. This can be confirmed at Firm level.
- When sending the client a verification email, if initial email has not been received, please ask the client to check Spam/Junk folders.
- Any restrictions on client visibility (for intermediary users) are controlled at firm level, and will automatically be applied to new clients.
- Any restrictions on the visibility of investment offers and any bespoke client panels are controlled at firm level, and will automatically be applied to new clients.

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