



# GROWTH INVEST



Platform Guide Series - Adviser Edition

# TRANSFERRING & ONBOARDING ASSETS

Operational Process Version

Platform Guide Series - Adviser Edition (Operational Process Version)  
TRANSFERRING & ONBOARDING ASSETS



WEALTHTECH  
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# AN INTRODUCTION TO GROWTHINVEST

## EFFICIENCY / SCALE / CONTROL

At GrowthInvest, we make tax-efficient and private investments more accessible to wealth managers, financial advisers, and their high value clients. We provide tailored digital solutions enabling efficient execution and ongoing administration of private asset portfolios, alongside the ability to consolidate and onboard existing assets.

*GrowthInvest gives you a single clear view of your clients' alternative investment portfolios.*



### OUR CORE OFFERING

-  A market-leading range of investment offers including EIS, SEIS, VCT, IHT and other Private Market investments
-  Reporting on all alternative assets in one online secure portal (including the onboarding of historical assets)
-  An extensive library of educational and research materials
-  Digital administration solutions alongside innovative products, such as our diversified VCT Service, and IHT "Fund of Funds"
-  A clear basis to meet existing and future regulatory requirements for FCA initiatives within the UK such as Higher Risk Investments and Consumer Duty
-  All underpinned by our strong belief in excellent, personalised client service

## DID YOU KNOW...

One of the key ways to maximise the benefits of the GrowthInvest platform is to transfer on the rest of a client's alternative portfolio. This provides a great basis for further investment decisions, including our rolling VCT reinvestment solution, as well as ensuring a single account for the flow of dividends and exits, and bringing all administration, reports and documents under one roof.

Our experienced onboarding team of analysts will ensure that every client portfolio is accurately reflected with the latest valuations, full transactional history, and is backed by all the relevant documentation. This provides the starting point for the ongoing support of the portfolio, using our well-established reporting lines across the entire market.

Best of all, we manage the whole process from start to finish. Read on to find out more about consolidating your client's assets on GrowthInvest.

## A GUIDE TO ONBOARDING ASSETS

GrowthInvest offer all our clients the unique ability to bring on and consolidate their historical and legacy alternative and tax efficient investments. The 4 simple steps below are all managed carefully by our experienced client services team in conjunction with your administration team, and the client. We ensure that the whole process is kept as simple and clear as possible.

### 1. Open a GrowthInvest Account

Once a financial intermediary account has been set up, it is straightforward to set up new clients and submit account applications.

Our account set up and ID checks are typically completed within 48 hours.

### 2. Portfolio Preparation & Analysis

Provide all information relating to the client portfolio, and scan and send all relevant information and documents to GrowthInvest.

We will create a client asset register and provide detailed feedback. Once everything is clear, we prepare the relevant documentation, including transfer forms and Letters of Authority into an Onboarding Pack for client signature.

### 3. Client Sign Off & Portfolio Transfer

Documents are sent to the relevant 3rd party fund managers, custodians and nominees.

We continue to liaise and monitor progress until confirmation is received and all reporting, access and transfers are complete.

### 4. Log in to Review the Portfolio

Once the process is complete, all assets will be visible within the client portal alongside transactional level information and a host of portfolio reports.

Updates, documents and any proceeds will flow directly into the client's platform account.

## LEGACY ASSET PROCESS OVERVIEW

### 1. ANALYSIS AUDIT & PLATFORM REPORTING

STAGE 1: 3-4 WEEKS

- Initial analysis of all client assets on the register
- Audit & Feedback
- Reporting lines established with product providers
- Reconciled portfolio summary
- Sign-off on Portfolio

### 2. ASSET TRANSFER & CONFIRMATION

STAGE 2: 1-12 WEEKS

- Continue transfer process for eligible assets
- All related documentation loaded onto platform
- CREST Transfer for all VCT & Listed assets @ 3-4 weeks
- Non-Custody Funds @ 1 week
- Other Custody assets (up to) 12 weeks
- On-going reporting and any data feed solutions implemented

### 3. BUSINESS AS USUAL

OVERALL PROGRAMME: 4-16 WEEKS

- All agreed assets in custody
- All assets set up for BAU reporting
- All documentation loaded onto platform
- Distributions & Realisations to a single GrowthInvest account
- Access to secondary VCT trading liquidity

# ASSET ONBOARDING

## STAGE 1 (ALL): INITIAL ANALYSIS, AUDIT AND PLATFORM REPORTING

Applies to: VCT, EIS/SEIS MANAGED FUNDS, EIS/SEIS SINGLE COMPANY

Action	Who	Notes	SLAs
Supply of client's asset register and any relevant documentation available within files.	Adviser	<p>If possible Asset Register to include: Investment Amount, Full Product Name, Number of Shares, Share Issue Price, Share Issue Date, and latest known Share Price/Valuation.</p> <p>If possible documentation to include:</p> <ul style="list-style-type: none"> <li>• Share Certificates</li> <li>• EIS3 certificates</li> <li>• Subscription agreements</li> <li>• Valuation reports</li> </ul> <p>Please send to: <a href="mailto:clientservices@growthinvest.com">clientservices@growthinvest.com</a> using the agreed password.</p>	-
Letters of Authority ("LOA") distributed to clients for digital signature.	GI	Sent to client's email address for digital signature.	1 week
Letters of Authority distributed to Product Providers/Single Companies.	GI	Enables GrowthInvest to gather and accurately reflect all the history for each investment on the platform e.g. dividends, exits etc.	1 - 2 weeks*
Investments reconciled, uploaded and made live on the platform based on information captured via the Asset Register provided and LOAs.	GI	<p>Provides a complete and reconciled portfolio summary for both new and legacy investments.</p> <p>Captures accurate life to date performance accounting for historical distributions and corporate actions.</p>	1 - 2 weeks*
<p>Welcome Letter sent to client.</p> <p>Demonstration to Client Partner/Manager available on request</p>	GI	Soft copy sent to client email with Client Partner/Manager cc.	24 hrs
Legacy Portfolio Reporting Live.	-	Business As Usual and GI platform fees applied to legacy.	3 - 5 weeks

\* Assumes GI has an existing relationship/agreed procedure with the product provider. If this is a new relationship the agreement of LOA and operational flow of information may take longer.

## STAGE 2 (VCT): CREST TRANSFER AND DOCUMENT UPLOAD

Applies to: VCTs & LISTED ASSETS (CREST TRANSFER)

Action	Who	Notes	SLAs
Supply to GI of either: <ul style="list-style-type: none"> <li>Scanned copies of all physical share certificates held by the clients and other documentation available</li> <li>Soft copy of third-party valuation statement if VCTs are held in a third-party Crest Account</li> </ul>	Adviser	<p>If VCTs are held in a third-party Crest Account, the third-party valuation statement should include:</p> <p>If possible documentation to include:</p> <ul style="list-style-type: none"> <li>Name of third-party provider</li> <li>A/C number/Client reference number</li> <li>VCT ISIN/SEDOL</li> <li>Share quantity and initial investment amount</li> </ul> <p>Please send to: <a href="mailto:clientservices@growthinvest.com">clientservices@growthinvest.com</a> using the agreed password.</p>	-
GI to review all share certificates to ensure the client is in possession of the latest active share certificates.	GI	<p>If share certificates are missing or lost, these will need to be replaced by the provider.</p> <p>GI can assist on sourcing new share certificates on request.</p> <p>All investments with active share certificates can progress to the next step whilst replacement share certificates are sourced.</p>	1 week*
GI to supply either: <ul style="list-style-type: none"> <li>Pre-populated Crest Transfer Forms and covering letter to the Client Partner/Client Manager</li> <li>Nominee transfer authority emailed to the client for digital signature</li> </ul>	GI	<p>Crest transfer forms are required if the client holds physical share certificates.</p> <p>Nominee transfer authority is required if the client holds shares in another Crest account.</p>	1 week*
Client Partner/Manager to obtain <b>WET SIGNATURE</b> on Crest Transfer forms, and post along with the original VCT share certificates and covering letter to the GI Crest Custodian.	Adviser	<p>VCT share certificates, signed Crest transfer forms, and covering letter should be sent to the following address using recorded or tracked delivery:</p> <p><b>James Brearley – Client Services, Walpole House, Unit 2, Burton Road, Blackpool, FY4 4NW</b></p>	-
Shares transferred into Crest.	GI	<p>Physical Share Dematerialisation</p> <p>Nominee Transfer</p>	10 days  2 weeks**
All Share dematerialised in Crest and held in GI custody.	-	<p>Business As Usual – distribution and realisations paid onto platform.</p> <p>Access to secondary trading liquidity including VCT fund manager sponsored buy backs.</p>	3 – 4 weeks

\*The original share certificate is required to transfer into Crest. If share certificates are missing or lost, these will need to be replaced by the provider and will delay the process.

\*\* Dependent on Third-party Crest custodian and can vary depending upon provider.

## STAGE 2 (EIS): DOCUMENT UPLOAD

Applies to: EIS/SEIS MANAGED FUNDS

Action	Who	Notes	SLAs
Supply to GI any relevant documentation held in files for upload to the platform.  (N.B. these may have already been provided as part of the Initial Analysis, Audit and Platform Reporting stage.)	Adviser	If possible documentation to include: Share Certificates/Contract notes, EIS3 certificates, subscription agreements, valuation reports.  Please send to: <a href="mailto:clientservices@growthinvest.com">clientservices@growthinvest.com</a>	-
GI to review all documentation provided, reconcile with materials sourced from the provider under LOA, and upload to the platform.	GI	Documentation available and supplied under LOA varies by product provider.	1 week
On-going / Business as Usual – additional tax certificates and documentations	GI / Adviser	Any on-going documentation is either loaded up automatically by GI to the platform when available via integration or product provider portal.  If not any documents can be loaded by Adviser / client into document library, or sent via post to GrowthInvest for the same.	-
Document Library fully populated.	-	Business As Usual - all available documentation digitised on the platform.	1 week

## STAGE 2 (SINGLE COMPANY): NOMINEE TRANSFER AND DOCUMENT UPLOAD

Applies to: EIS/SEIS SINGLE COMPANY INVESTMENTS

Action	Who	Notes	SLAs
Supply to GI any relevant documentation held in files for upload to the platform.  (N.B. these may have already been provided as part of the Initial Analysis, Audit and Platform Reporting stage.)	Adviser	Ideally documentation to include: <ul style="list-style-type: none"> <li>• Share Certificates/Contract notes</li> <li>• EIS3 certificates</li> <li>• Subscription agreements</li> <li>• Valuation reports</li> <li>• Company updates</li> </ul> Please send to: <a href="mailto:clientservices@growthinvest.com">clientservices@growthinvest.com</a>	-
GI to review all documentation provided, reconcile with materials sourced from the company under LOA, and upload to the platform.  GI to review all share certificates to ensure the client is in possession of the latest active share certificates.	GI	If share certificates are missing or lost, these will need to be replaced by the company.  GS can assist on sourcing new share certificates on request. All investments with eligible share certificates can progress to the next step whilst replacement share certificates are sourced.	1-2 weeks*
Adviser/Support Team to post all original share certificates to GI.	Adviser	Please send to the following address using recorded or tracked delivery:  <b>GrowthInvest - Client Services, Warnford Court, 29 Throgmorton Street, London, EC2N 2AT.</b>	-
Pre-populated Stock Transfer Forms distributed to the client for digital signature.	GI	Sent to client's email address for digital signature.  (Stock Transfer forms have traditionally required a wet signature, but digital signatures have been approved since March 2020 due to Corona virus restrictions.)	1 week
GI supply the company with the original share certificates and signed Stock Transfer Forms.  Investee Company cancels share certificates and reissues shares in the name of the GI Nominee.	Investee Company	Shares to be reissued in the name of GrowthInvest Nominees Ltd.  Please send to:  <b>FAO: Beth Williamson GrowthInvest Nominees Limited 4th Floor, 50 Mark Lane, London, United Kingdom, EC3R 7QR</b>	4-8 weeks**
All shares transferred into GI custody.	-	<b>Business As Usual – legal obligation for the company to report to the Nominee on a go forward basis</b>	6-12 weeks

\* Dependent on agreeing processes with external companies which vary by entity. This may take longer or shorter dependent upon the third-party company.

\*The original share certificate is required for the transfer. If share certificates are missing or lost, these will need to be replaced by the provider, or require an indemnity and cause delays

\*\* The time-line for re-registration is wholly dependent upon the investee company. 6-12 weeks is a guide based on GI previous experience.



# THE COMPLETE ALTERNATIVE INVESTMENT PORTFOLIO

The GrowthInvest platform provides one transparent reporting solution across tax efficient and alternative investments.

Once the asset onboard process is complete, our secure online portal consolidates reporting across all assets, whether new investments on platform or the client's legacy portfolio. This provides a complete portfolio and reporting solution for you and your clients.



## KEY BENEFITS



### A clear view of portfolio performance

- Advanced portfolio analytics with flexible reporting formats
- Daily price updates



### Intelligently build your client's portfolio

- Providing the tools you need to give a clear view on deployment timings
- Creating easy portfolio diversification (by product, fund manager, sector) with whole of market access



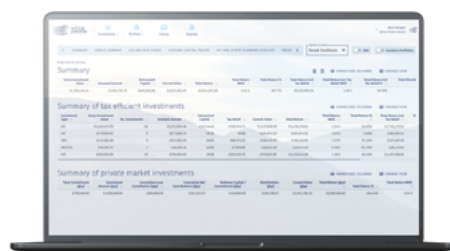
### Efficient administration & monitoring

- A digital application process with all documents in one place
- One account for investment proceeds including realisations, dividends and coupons
- No need to deal with multiple providers to collate information
- Tax related information in one place when you need it. e.g. EIS3 certificates



### Efficient liquidity management

- All proceeds from all investments flowing to one account
- An efficient reinvestment process with access to secondary VCT markets
- True transparency on cash returns
- Enabling potential tax relief benefits



### PORTFOLIO SUMMARY

All investments in one place



### INTERACTIVE CHARTS & REPORTS

Filter and analyse by tax year, fund manager and more



### DOCUMENT LIBRARY

All applications, tax & share certificates, in one place



### INVESTMENT DETAIL

Drill down to individual holding level across the entire portfolio





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