

WEALTH INTERACTIVE USER GUIDE

ADVISER – DEALING

A WEALTH *of* DIFFERENCE

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INTERNATIONAL

Without appointment of fund adviser

- The deal requires your client's approval (either online or print and sign)

With appointment of fund adviser

- Adviser can submit the deal directly to Utmost International or for Firm Authorisation
- Does not require client to approve the deal
- Option for adviser to submit to client for approval (either online or print and sign)



CREATE A DEALING INSTRUCTION

This guide also covers:

- Bulk dealing – go to slide
- Asset review – go to slide

The quickest way to navigate to the Required policy is to enter the policy number in the search bar at the top of your homepage(1).

Alternatively you can view a full list of your clients by selecting the 'Clients' tab(2) and selecting 'View all clients' (3).

The screenshot displays the utmost WEALTH SOLUTIONS user interface. At the top right, it shows the user is signed in as 'Financial Adviser' on '29/06/2022' with a 'Sign off' button. The main navigation bar includes tabs for 'Clients', 'Portfolios', 'Assets', 'Tools', 'Literature', 'Firm Admin', 'Documents', and 'Help'. The 'Clients' tab is highlighted with a black box and the number '2'. A search bar at the top contains the text 'Client name or client reference or policy number' and a 'Search' button, with a black box and the number '1' highlighting the search bar area. Below the navigation bar, a breadcrumb trail reads 'You are here: Home > Clients'. The 'Clients' section features a 'Client actions:' menu with options like 'Create new client', 'Illustration', 'Key Information Documents (KIDs)', '+ Tools', 'Data download report', 'Policy valuation download', and 'Manage Online Access'. A secondary search bar below this menu contains the same text and a 'Search' button, with a black box and the number '3' highlighting the 'View all clients' link. Below the search bar, a section titled 'Last viewed clients (4)' contains a table with the following data:

Add	Client name	Client type	Client reference	Status	Registration Status	Viewed on
☆	Mr Policy Holder	Individual client	264137	Active Client	Registered	30/06/2022
☆	Mr Policy Holder 2	Individual client	263602	Active Client	Registered	30/06/2022
☆	Miss Policy Holder 3	Individual client	265614	Active Client	Registered	30/06/2022
☆	Mrs Policy Holder 4	Individual client	265236	Active Client	Registered	30/06/2022

Select the policy from the left hand side.

You will then choose the type of information you wish to obtain as per the next page of this guide.

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You were last signed in on **30/06/2022** Financial Adviser Sign off

Client name or client reference or policy number Search

Home Clients Portfolios Assets Tools Literature Firm Admin Documents Help

You are here: Home > Clients > Mr Policy Holder

Mr Policy Holder (264137)

Client actions: New investment Illustration Key Information Documents (KIDs) +Tools

Policies (1)

Executive Redemption Bond - QIME

USD 14,402.32

Assigned adviser:

Status: **Contract Issued**

Client details Recent transactions Planning Reports

Status: **Active Client**

Registration Status: **Registered**

Online access: **Full access**

Date of Birth: **01/01/1980**

Residential address: **264137ADDR5, 123 Place, ABC 123**

Country of residence: **United Kingdom**

Telephone:

Email:

Date client last signed in: **04/02/2022**

Client sign in frequency: **0 times within the last 30 days.**

For security purposes, we only allow your client to update their own personal details online. Your client can amend their contact information and bank details. If your client's name or residential address is incorrect, please contact us with appropriate documentation, and we will correct it.

Hover over 'Manage dealing' and select 'Create deal instruction'.

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You were last signed in on 30/06/2022 Financial Adviser Sign off

Client name or client reference or policy number Search

Home Clients Portfolios Assets Tools Literature Firm Admin Documents Help

You are here: Home > Clients > Mr Policy Holder > Executive Redemption Bond Back

Executive Redemption Bond -

Policy actions: + Valuation report + Manage premiums + Manage withdrawals + Policy management + Manage dealing + Illustration + Tools

Create deal instruction

Total policy value:
USD 14,227.96
Value as at 30-Jun-2022 Get current value

Total policy cash flow:
USD 19,000.00
Value as at 01-Jul-2022

View performance

Select Sell/Buy/Conduct Policy management option.

Confirm that you understand the prices are indicative prices and may not represent the final true value.

The click 'Next'.

Required information for deal instruction for Mr Policy Holder (264137)

Deal Instruction Options

Please choose the type of deal instruction you'd like to undertake for the following policy.

Policy: Executive Redemption Bond - QIME

I'm making a **Sell** ?

I'm making a **Buy** ?

I am conducting **policy management**

Within policy management you can modify assets relating to regular premiums, regular withdrawals and charge deduction assets if they exist for this policy.

Required client information

Before you enter the deal instruction please ensure :

- The client has registered an Online Service Account for Wealth Interactive before selecting the 'Submit to client' button, where applicable.
- If the client does not have an active Online Service Account and you do not have the appropriate dealing authority the instruction must be submitted offline to our Dealing Team
- You know which assets you would like to buy or sell on behalf of your client.
- Your client's policy holds sufficient shares/units, or amount in their transaction account (if appropriate), to fulfil the requested instruction.

I understand that all figures generated in this process are for indicative purposes only and may not represent the final true value.



Next

All assets held by the client will be listed here. Enter the percentages of assets to sell, or the number of units, or the monetary amount.

The currency of the proceeds can be exchanged to another currency.

Then click 'Next'.



Deal Instruction

Exit without saving | Save and exit



1. Assets to sell

Select assets that you want to sell. [Skip this step](#) ▶

Assets

Sell % of all assets [Update](#)

Asset name	Available no. of units	Indicative value ?	Dealing frequency	Sell % of units	Sell no. of units	Indicative sell amount	Indicative residual value ?	Select currency ?	Indicative sell amount ?
AMAZON COM INC COM USD0.01 USD ▶	1.000000	▲ USD 3,225.70		<input type="text"/> %	<input type="text"/>	USD <input type="text"/>	USD 3,225.70	USD ▼	<input type="text"/>
NVIDIA CORP COM U0.001 USD ▶	10.000000	▲ USD 2,645.60		<input style="border: 2px solid black;" type="text" value="50"/> %	<input type="text" value="5"/>	USD 1,322.80	USD 1,322.80	<input style="border: 2px solid black;" type="text" value="USD"/> ▼	<input type="text" value="1,322.80"/>

Indicative asset sale amount: **USD 1,322.80**

Bank deposits

Bank deposit name	Indicative value ?	Deposit type	Actions ?	Indicative sell amount	Indicative residual value ?
Indicative bank deposit sale amount: USD 0.00					

Indicative sale total: **USD 1,322.80**

Key ▲ Select the alert to view information about blocked units. ▲ Select the alert to view the holdings calculation based on the latest price and foreign exchange rate if applicable.

[Back](#)

[Next](#)

Enter the SEDOL/ISIN code of the assets you want to buy in the search field.

Once all the assets have been selected click on 'Add asset(s)' and scroll down to input the allocation for each asset.

Click the fund name to view the fund fact sheet, x-ray report, Fund Manager's website.



2. Assets to buy

Select assets that you want to buy or [Skip this step](#) ▶

[▶ Transaction accounts](#) [▶ Instruction summary](#)

New assets Existing assets New bank deposits Existing bank deposits

US0378331005 Search [Advanced asset search](#) | [View asset basket](#)

1 assets found for 'US0378331005'

Asset name	SEDOL	ISIN	Asset currency	asset class	Retail/Non-retail ?	✓
APPLE INC COM NAV USD	2046251	US0378331005	USD	Equity	Retail	<input checked="" type="checkbox"/>

[Add asset\(s\)](#)

Enter the amount or percentage of the sale proceeds, or cash from the transaction account, to be invested in each asset.

Asset buy amounts ?

Available amount USD 122.09	(Total cash amount includes proceeds of sales at USD 1,322.80)	Indicative sale amount proceeds USD 1,322.80	Split equally across all buys
		Advanced allocation ?	

Name	Min trade size	Unit price	Dealing cycle	Retail/Non-retail	Buy percentage	Indicative buy units	Indicative buy amount	Indicative total
Assets Split Equally					<input type="text" value="50.00"/>		USD 661.40	
APPLE INC 2.3% SNR 11/05/2022 USD2000 USD	USD 0.00	USD 1.00		Retail	<input type="text" value="50.0"/>	<input type="text" value="0.000000"/>	USD <input type="text" value="661.40"/>	USD661.40 Add
APPLE INC 3% SNR 09/02/2024 USD2000 USD	USD 0.00	USD 1.02		Retail	<input type="text"/>	<input type="text"/>	USD <input type="text"/>	USD0.00
APPLE INC 3.85% 04/05/2043 USD	USD 0.00	USD 1.06		Retail	<input type="text"/>	<input type="text"/>	USD <input type="text"/>	USD0.00
Transaction Account								
Transaction account allocation	N/A	N/A	N/A	N/A	N/A	N/A	N/A	USD 122.09

Asset total **USD 661.40**

Transaction account total **USD 122.09**

Back **Next**



4. Manage transaction accounts

Let us help you manage your transaction accounts

Actions

[FX calculator](#)
[Transaction accounts](#)
[Instruction summary](#)



Manually manage accounts
Manually manage the transfer of account balances between different transaction accounts.

Transaction account ▼	Estimated current balance ▼	Inter-account transfer amount ▼	Estimated closing balance ▼
USD Account	USD -539.31	USD 0.00	USD -539.31

Show more transaction accounts

Transaction accounts used in this instruction
1 (USD)

Negative balance in one or more accounts
USD 0.00 ?

Total estimated closing balance
USD -539.31 ?

Back

Next

The 'Transaction account' is the cash held by the client.

If there is insufficient cash for the buy, or an exchange is required, select 'Manually manage accounts' prior to moving to the next step.

You can directly manage transaction accounts from the policy page by hovering over '+ Policy management' and choosing 'Manage transaction accounts'.

Enter the amount required to clear the negative balance under 'Transfer amount'.

Select 'Transfer from/to' as the 'Action type'.

Choose the currency to transfer from/to under 'Counter transfer amount'.

Click 'Save'.

Exchange values are auto populated as an indicative value. Then click on 'Next'.



4. Manage transaction accounts

Let us help you manage your transaction accounts

FX calculator Transaction accounts Instruction summary

Actions

Manually manage accounts
Manually manage the transfer of account balances between different transaction accounts.

Transaction account	Estimated current balance	Estimated closing balance	Transfer amount	Action type	Counter transfer amount
USD Account	USD -539.31	USD -539.31	USD <input type="text"/>	Select action <input type="text"/>	Select account <input type="text"/>

+ Select another transaction account

Show more transaction accounts Clear all Save

Total estimated closing balance USD -539.31

Review the orders placed.

Select the 'Edit' option if changes are required.



Review your deal instruction before submitting.

Print instruction summary

Lead policyholder: **Mr Policy Holder (264137)** Policy type: **Executive Redemption Bond - OIME**

Assigned adviser

Name: _____ Authority to deal? **Yes**

Your comments

Add comments explaining your deal instruction to your client. These comments will only be visible to your client if you send the instruction to them for their online approval. Utmost International does not receive these comments.

[+ Add comments](#)

Sell details **Edit**

Indicative sell total: **USD 3,225.70**

▶ Assets being sold

Buy details **Edit**

Indicative buy total: **USD 3,225.70**

▶ Assets being bought

Confirm the declaration and select one of the submission options.

The options you see will depend on the permissions you have.

If firm authorisation is required, you need to obtain that before you get the option to 'Create Dealing Instruction Approval Form'.

Without firm authorisation
Adviser inputs deal > Adviser downloads approval form > Obtains signature > Upload and submit

With firm authorisation
Adviser inputs deal > submits for firm approval > Authorisation received > Adviser downloads approval form > Obtains signature > Upload and submit

Acknowledgement

I confirm that I have read the declarations below and the information provided in this instruction is correct. Where I have selected the Create a Dealing Instruction Approval Form or 'Submit to Client' button, I confirm that the client has an active Online Service Account for Wealth Interactive.

Declarations

The following declarations 1 to 10 apply where you are submitting a dealing instruction to Utmost International and requesting a transaction to buy or sell or both on behalf of the policyholder(s). All references to Utmost International mean Utmost International Isle of Man Limited.

I can confirm that:-

1. I am:
 - a. the Fund/Investment Adviser or Discretionary Asset/Fund Manager for this policy and as such I have authority under a current appointment form to request transactions to buy and or sell assets; or
 - b. the non-discretionary Fund Adviser or non-Discretionary Fund Manager for the policy and as such I have authority under the appointment to request transactions to buy and sell assets subject to the policyholders prior approval; and I am acting in accordance with the terms of my appointment and the relevant statutory provisions in the jurisdiction which governs my appointment.
2. I have ensured that I have had the opportunity to read any relevant offering documents for any asset(s) relating to this dealing instruction where I wished to do so.
3. I have received or had sight of information concerning, and accept the levels of risk associated with this type of asset, including the risk that this investment could result in a loss of a significant proportion, or the entire sum invested.
4. The Policyholder(s) may wish to invest into professional/non retail type investment schemes and, if so, they will make sure that they have had the opportunity to read the offering documents for funds of this nature. Where they decide to invest in professional/non retail type investment schemes, they accept the levels of risk associated with these, including the risk that the investment into such a scheme could result in a loss of a significant proportion, or all, of the sum invested. The Policyholder(s) meet the minimum criteria of a class of investor in a fund(s) of this nature; and I further confirm that the policyholder(s) are aware and accept the levels of risk associated with investments into Non-Investment Grade/Highly Speculative bonds where relevant.
5. I understand that the buying and/or selling of assets will not begin until Utmost International has received this instruction in accordance with the Policy Terms.
6. I understand that where I submit this instruction to the policyholder/lead policyholder, the instruction will only be submitted to Utmost International once the policyholder/lead policyholder has approved the instruction.
7. I will indemnify Utmost International from any losses arising from changing the assets if the request is made without sufficient lawful and/or policyholder authority.
8. Where this deal instruction is submitted by me as Fund Adviser without Policyholder authority, I will indemnify Utmost International from any losses arising from changing the asset(s).
9. I understand that an Asset Dealing Charge/Investment Dealing Charge may apply, in accordance with the Policy Terms.
10. The Policyholder(s) understand that the provider of the Asset may require the number of units or shares to be purchased or sold rather than a cash value. Where they instruct to buy or sell such an Asset using a cash value, they understand that the previous day's closing price will be used to convert the cash value into the number of units or shares to buy or sell the Asset. I also understand that market movements may result in a different cash value being applied to purchase or sell the asset than the cash value submitted. By requesting the number of units or shares to be purchased for these assets, this difference in cash value can be avoided.

The following declarations 1 to 4 apply where you are creating a dealing instruction approval form or where you are submitting the dealing instruction to the policyholder(s) for approval:

1. I can confirm that I am submitting the completed Dealing Instruction Summary and Approval form ("the form") to the policyholder(s) for their approval.
2. I understand that the instruction has not been submitted to Utmost International, and that it will be returned to me as the Financial Adviser, Fund/Investment Adviser or Discretionary Asset/Fund Manager once all the policyholder(s) have signed it.
3. I agree that I will send the completed/signed form to Utmost International.
4. I understand that I will be sending the form and dealing instruction through Wealth Interactive to Utmost International on behalf of the policyholder(s). The instruction is authorised by the policyholder(s) and not by me.

[Back](#) [Create Dealing Instruction Approval Form](#) [Submit to Utmost International](#) [Submit to client](#)

Trade order can only be cancelled immediately after submission and prior to approval by the Firm Authorisation/Client.

Orders placed directly without Firm Authorisation/Client approval cannot be cancelled.



Instruction confirmation

You can view the status of this instruction within the 'Transaction tracking' section.

 Print application summary

Submission date: **01/07/2022** This instruction is awaiting authorisation Instruction number: **1288434**

What to do next

You can track the status of this instruction in the 'Transaction tracking' section of the policy details. Where applicable this instruction will be sent to an authorised user within your firm to approve the deal before being sent to the client for review. **When this instruction has been sent to the client/lead policyholder's Online Service Account, please contact the client to ensure they access their Online Service Account and authorise this instruction.**

You can generate the following documents:

Transaction report 

Instruction actions

Edit instruction 

Cancel instruction 

[View instruction summary](#)

[Finish and return to policy details page](#)

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ADVISER - BULK DEALING

From your homepage select the 'Assets' tab.

Then click on 'Bulk deal'.

You are here: [Home](#) > [Assets](#)

Assets

Asset actions: [+ Research assets](#) | [+ Asset management](#) | **[Bulk deal](#)**

[View asset basket ?](#) | [View watchlist ?](#) | [View all invested assets ?](#)

Basket of assets (0)

You currently have no assets in your basket. If you would like to use an asset which is not shown in the search results, please use the Asset Review option that can be found in Assets/Asset Management options.
To add assets to your basket you must go to 'Quick search of asset universe' or 'Asset research area'

Note
Bulk deal requires a sale order to be placed first then a buy order

Click 'Start' to proceed.

You can create multiple deal instructions for up to five assets.

Tick to confirm you have the required information to place the deal and click 'Next'.

Create a bulk instruction

- Create multiple deal instructions by bulk selling up to 5 assets
- Select which policies you want to include in the instruction
- Choose assets to buy or keep amount in transaction accounts (where applicable)
- Track the progress of instructions

Start

What is a bulk instruction

Use this feature to create bulk dealing instructions for many policies, for up to 5 assets, across all products or for individual products/product companies.

Required information for a bulk deal instruction

Required information

Before you enter the bulk deal instruction process please ensure:

- You know which assets you would like to buy and sell on behalf of your clients.
- The policies hold sufficient value to complete the requested instruction.

You must track the status of all bulk deal instructions via the Bulk deal status page. This will help you to monitor any transactions that fail and/or any transactions which are outstanding policyholder approval before they can be processed.

I understand that all figures generated in this process are for indicative purposes only and may not represent the final true value.

Next

Enter the SEDOL/ISIN of the assets to be sold, or

Click 'View all assets under management' to view all assets.

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Bulk deal instruction
Exit without saving | Save and exit

1. Select assets to sell 2. Specify percentage to sell 3. Select policies 4. Select assets to buy 5. Manage future regular premiums - redirect 6. Review and submit

1. Select assets to sell
Search for and select assets to sell

Search by Asset name, ISIN or SEDOL Search View all assets under management

Selected assets
0 asset(s) selected

Bulk deal asset selection
Use this step to search and select asset(s) you wish to use in a bulk deal.

1. Enter an **asset name, ISIN or SEDOL** to find your required asset(s).
2. You can select up to 5 assets to perform the bulk deal on in one go.

Please note: Loading all assets under management may take a little time.

Next

Press 'Select' for asset(s) to be sold.

Then click 'Next'.



1. Select assets to sell

Search for and select assets to sell

Search by Asset name, ISIN or SEDOL View all assets under management

Selected assets
0 asset(s) selected

All assets under management

Displaying 1 - 10 of 850 assets Go to page < Prev Page 1 of 85 Next >

Show:

Asset Name	Portfolios containing asset	Policies invested in asset	SEDOL	ISIN	Indicative value invested	Select
DIAGEO ORD GBX28.935185 GBP	0	1	0237400	GB0002374006	USD 7,393.83	<input type="button" value="Select"/>
SPIRENT ORD GBX3.333333 GBP GBP	0	1	0472609	GB0004726096	USD 6,532.75	<input type="button" value="Select"/>
UTM IM USD Deposit (PPB) USD	0	1	0758097	GB0007580979	USD 107.46	<input type="button" value="Select"/>
UTM IM GBP Deposit (PPB) GBP	0	1	0758075	GB0007580755	USD 1,762.20	<input type="button" value="Select"/>
LLOYDS BANKING GROUP ORD GBP0.10 GBP	0	3	0870612	GB0008706128	USD 44,720.90	<input type="button" value="Select"/>
INTL BUSINESS MCHN COM USD0.20 USD	0	1	2005973	US4592001014	USD 3,217.75	<input type="button" value="Select"/>
BROOKS MACDONALD HIGH INCOME FUND GBP	0	1	0870076	GB0001094027	USD 26,391.22	<input type="button" value="Select"/>
AMAZON COM INC COM USD0.01 USD	0	36	2000019	US0231351067	USD 341,924.20	<input type="button" value="Select"/>
GLAXOSMITHKLINE ORD GBP0.25 GBP	0	1	0925288	GB0009252882	USD 25,775.38	<input type="button" value="Select"/>
ADVANCED MICRO DEV COM USD0.01 USD	0	3	2007849	US0079031078	USD 8,283.31	<input type="button" value="Select"/>

Displaying 1 - 10 of 850 assets Go to page < Prev Page 1 of 85 Next >

Enter the percentages to be sold for each asset.

Then click 'Next'.



2. Specify percentage to sell

Enter the percentage to sell for your selected assets.

Instruction summary

Asset name	No. of policies invested	No. of available units	Indicative value of available units ?	Dealing frequency	Sell(%) ?
UTM IM USD Deposit (PPB) USD	1	53.250000	▲ USD 107.46	Daily	50
DIAGEO ORD GBX28.935185 GBP	1	150.000000	▲ GBP 5,609.25		50

Indicative value to sell **USD 3,750.65**

Key

▲ Select the alert to view information about blocked units. ▲ Select the alert to view the holdings calculation based on the latest price.

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Select the policies that you want to sell the assets from.

Then click 'Next'.



3. Select policies

Confirm the policies you would like to include in this instruction.

[Instruction summary](#)

Show: ▼ Collapse all products

▼ Executive Redemption Bond QIME(2 policies containing selected assets) 2 policies selected

Global options: Select to Deal with all available policies Select to Deal with all available policies not linked to a model portfolio

Displaying 1-2 of 2 policies Show key information

Policy ▼	Client name ▼	Selected assets held	Indicative value	? Linked to model portfolio	Auto-rebalance active	Deal
21043698	266255PRFDNM	UTM IM USD Deposit (PPB)	USD 53.73	Not linked	N/A	<input checked="" type="checkbox"/>
21103828	504235PRFDNM	DIAGEO ORD GBX28.935185	GBP 2,804.63	Not linked	N/A	<input checked="" type="checkbox"/>

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The proceeds from the sale can be used to buy assets or put into the appropriate transaction account(s) for each policy.

Click on the applicable button.



4. Select assets to buy

Select the options that apply to this buy instruction.

Executive Redemption Bond QIME Policies ▶ View affected policies (2)

<p>Buy assets</p> <p>The choice of assets will be restricted to those available for the product.</p> <p>Buy assets</p>	<p>Put proceeds into transaction account(s)</p> <p>Place the income generated from the sale of assets into the appropriate transaction account(s) for each policy.</p> <p>Select</p>
--	--

Back **Next**

Instruction summary

Buy options

The choice of assets available to buy will be restricted to those available for the product.

Any amount not used to purchase assets can be placed in the transaction account, where available.

Key

- Select the alert to view information about why the policy will not be submitted as part of the instruction.
- Selecting this icon will display an overlay stating any considerations which may be associated to the asset.

Enter the SEDOL/ISIN for the asset to be purchased and click 'Search'.

Select the fund by ticking the check box.

Click 'Add asset(s)'.

Select assets to buy

Select assets to buy

Search
Advanced asset search | View asset basket

1 ' assets found ' for 'US0378331005'

Asset name	SEDOL	ISIN	Asset currency	asset class	Retail/Non-retail	?	✓
APPLE INC COM NAV USD	2046251	US0378331005	USD	Equity	Retail		<input checked="" type="checkbox"/>

Add asset(s)

Assets | Enter the percentage for each asset you wish to buy.

Asset name	SEDOL	ISIN	Dealing frequency	Retail/Non-retail	?	Min trade size	Buy percentage	Indicative buy amount
							Total buy percentage: 0.00%	Indicative buy total: 0.00
							Split equally	

Enter the percentage for each asset you wish to buy.

Then click 'Save'.

Select assets to buy

Select assets to buy

US0378331005 [Advanced asset search](#) | [View asset basket](#)

1 'assets found' for 'US0378331005'

Asset name	SEDOL	ISIN	Asset currency	asset class	Retail/Non-retail	<input type="checkbox"/>
APPLE INC COM NAV USD	2046251	US0378331005	USD	Equity	Retail	<input checked="" type="checkbox"/>

Assets | Enter the percentage for each asset you wish to buy.

Asset name	SEDOL	ISIN	Dealing frequency	Retail/Non-retail	<input type="checkbox"/>	Min trade size	Buy percentage	Indicative buy amount
APPLE INC COM NAV USD <input type="checkbox"/>	2046251	US0378331005	Daily	Retail		USD 0.00	<input type="text" value="100"/>	USD 3,750.65

Total buy percentage: **100.00%**

Indicative buy total: **3,750.65**

You then have the chance to review the assets you have chosen. If you need to make any changes click 'Edit'.

Then 'Next' to proceed.



4. Select assets to buy

Select the options that apply to this buy instruction.

Executive Redemption Bond QIME Policies ▶ View affected policies(2)

▼ Asset(s) selected to buy (1) Remove Edit

Asset name	SEDOL	ISIN	Deal frequency	Asset split (%)	Retail/Non-retail	?
APPLE INC COM NAV US D	2046251	US0378331005	Daily	100.0	Retail	

Back Next

Instruction summary

Buy options

The choice of assets available to buy will be restricted to those available for the product.

Any amount not used to purchase assets can be placed in the transaction account, where available.

Key

 Select the alert to view information about why the policy will not be submitted as part of the instruction.

 Selecting this icon will display an overlay stating any considerations which may be associated to the asset.

Redirect of future premiums is only applicable for regular premiums.

Click 'Next'.

Review the bulk dealing instructions, tick the acknowledgement of declaration and press 'Submit'.

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Bulk deal instruction
Exit without saving | Save and exit

1. Select assets to sell 2. Specify percentage to sell 3. Select policies 4. Select assets to buy 5. Manage future regular premiums - redirect 6. Review and submit

5. Manage future regular premiums - redirect
Manage the impact of the deal instruction on regular premiums.

Bulk management of regular premiums, if applicable, is not possible for this deal instruction.

Assets being sold

UT14 1M USD Deposit (47B) USD	50.0
DIAGEO ORD GBX28.935185 GBP	50.0

Assets sale
If regular premiums are being applied, bulk redirection is only possible when an asset is being sold for 100%. This deal instruction does not include an asset that is being sold 100%.

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ASSET REVIEW

From your homepage select the 'Assets' tab.

Hover over the 'Asset Management' tab and select 'Asset Review' from the drop down.

The screenshot displays the utmost WEALTH SOLUTIONS website interface. At the top right, it shows the user is logged in as a Financial Adviser on 01/07/2022, with a 'Sign off' button. A search bar is present with the placeholder text 'Client name or client reference or policy number'. The main navigation menu includes 'Home', 'Clients', 'Portfolios', 'Assets' (highlighted with a black box), 'Tools', 'Literature', 'Firm Admin', 'Documents', and 'Help'. Below the navigation, a breadcrumb trail reads 'You are here: Home > Assets'. The 'Assets' section features an 'Asset actions:' menu with options: '+ Research assets', '+ Asset management' (highlighted with a black box), and 'Bulk deal'. A dropdown menu under '+ Asset management' lists 'Corporate actions' and 'Asset review' (highlighted with a black box). Below this is a search bar with the text 'Enter Asset name, SEDOL or ISIN to search Basket' and buttons for 'View basket', 'View watchlist', and 'View all invested assets'. A message box states: 'Basket of assets (0) You currently have no assets in your basket. If you would like to use an asset which is not shown in the search results, please use the Asset Review option that can be found in Assets/Asset Management options. To add assets to your basket you must go to 'Quick search of asset universe' or 'Asset research area''. The footer contains links for 'About Utmost International', 'Help', 'Legal and regulatory information', 'Privacy policy and cookies', and 'Contact us', along with the copyright notice '© Utmost International 2022'.

Select the product for the buy order.



Asset review request

Exit

Select product

Select the product for the asset you wish to review

Select product: ?

Select product group

Select one product to base the asset review on.
Please note that we cannot accept an online asset review for a;

- Flexible Investment Account
- Wealth Management Plan
- Silk Life Plan

Select the Asset type.

Choose the category the asset relates to.



Asset review request

Exit

Request asset review

Choose an asset type

* Required information

* Asset : Asset type ?
 Bank deposit ?

Asset review

- If you wish to purchase an Asset which we do not currently hold, you can send us a request and we will carry out an asset review. Carrying out such a review is solely to satisfy ourselves that the Asset is acceptable for regulatory purposes and our own administrative requirements.
- An asset review will normally be completed within 2 to 5 working days.

Ensure SEDOL/ISIN number is provided for review.

If this is a new issue asset please click on 'Request new issue asset' to proceed with the asset review.

Asset identifier

SEDOL: ?

ISIN: ?

Next

New Issues asset

For New Issues a SEDOL or ISIN number may not be issued yet. Use the link below to request a review for a new issues asset.

[Request new issue asset](#)

Request asset review

Please complete the fields below to request an asset review.

* Required information

Enter the asset name, purchase value and upload fund prospectus for review and approval.

Click 'Submit'.

Asset review request for a Equity Instruments asset.

ISIN: US0378331005 Edit

* Asset name: ABC SHARE ✓

* Currency: GBP ✓

* Expected deal amount: GBP 1000 ✓

Product: Collective Investment Bond

Upload supporting document: Choose File No file chosen
fileUpload.uploadbtn

Comments: Maximum length of comment should not exceed more than 256 characters.

Cancel **Submit**

Equity Instruments

- A stock or any other security representing an ownership interest.

You will get confirmation that the asset has been sent for review.

Once the review has been completed you will receive a notification on your homepage – click on 'View Alerts'.

Asset review request confirmation

Thank you for submitting this request.

What happens next

We will review your request and perform an asset review. Carrying out such a review is solely to satisfy ourselves that the Asset is acceptable for regulatory purposes and our own administrative requirements.

An asset review will normally be completed within 2 to 5 working days when we will contact you with the outcome of the review.

ISIN: **US0378331005**
SEDOL:
Asset name: **ABC SHARE**
Currency: **GBP**
Stock exchange:
Expected deal amount: **GBP 1000.00**
Product: **Collective Investment Bond**
Uploaded document:
Comment:

[Return to assets](#)

Obtaining contract notes

Contract notes for completed trades can be obtained at policy level via the 'Deal Instructions' tab.

You may need to change the date range as this will default to the last 30 days.

Select the 'PDF' link in the final column to open the contract notes as a document in PDF format.

Policy summary	Payment summary	Latest activity (1)	Transaction tracking	Documents	Assets	Asset transfers	Deal instructions		
Show:	10 deals	All types	All statuses	Viewing deals initiated between: 1 June 2022 to 1 July 2022 Change date range					
Date initiated	Order reference	Asset name	Type	Unit	Indicative amount	Status	Completion date	Settlement date	Contract note
01/07/2022	12884341	APPLE INC 3.85% 04/05/2043	Buy	3,046.60	USD 3,225.70				PDF
01/07/2022	12884342	AMAZON COM INC COM USD0.01	Sell	1.00	USD 3,225.70				

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www.utmostinternational.com

Calls may be monitored and recorded for training purposes and to avoid misunderstandings.

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