The smart investment platform

Registering a new client

User Guide

Overview

Registering a client and submitting new business to the Novia Global Europe Limited platform is a straightforward process comprised of the following main stages:

Stage 1: Complete the online application to register a new client

1. Select Clients from the homepage
2. Select Register Client
3. Select the relevant type of application and follow the screens to input the client information
4. Click Submit on the Declaration screen: the new client record is automatically created on the Novia Global Europe Limited back office system.

Stage 2: Print or save the generated documents

GIA

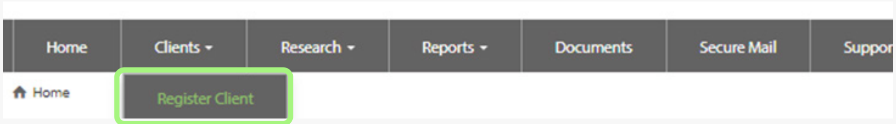
- Intermediary should send the Payment Instruction Form to the client to arrange payment to the relevant bank details.
- If the account is set up in the name of a third-party provider, it is recommended that the Intermediary send them a copy of the Application Summary as confirmation of what has been submitted.

Stage 3: Upload AML documentation via the Secure Mail functionality

- AML documentation must be received and verified by Novia Global Europe Limited Client Services before the Intermediary can place any trades.
- See our Submitting AML Process Guide for more information on how to submit AML documentation for a new client.

A video tutorial of this process is also available to watch in our online support hub.

Stage 1: Registering a new client

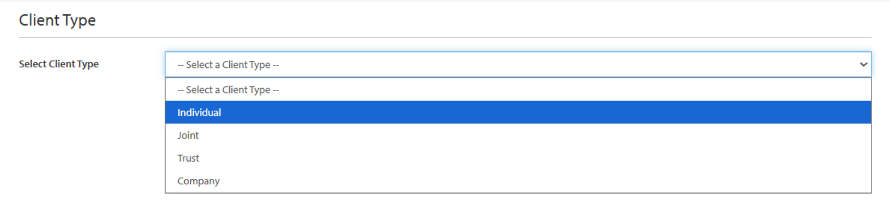


Step 1

After initially logging onto the platform, select **Clients** then **Register Client**.

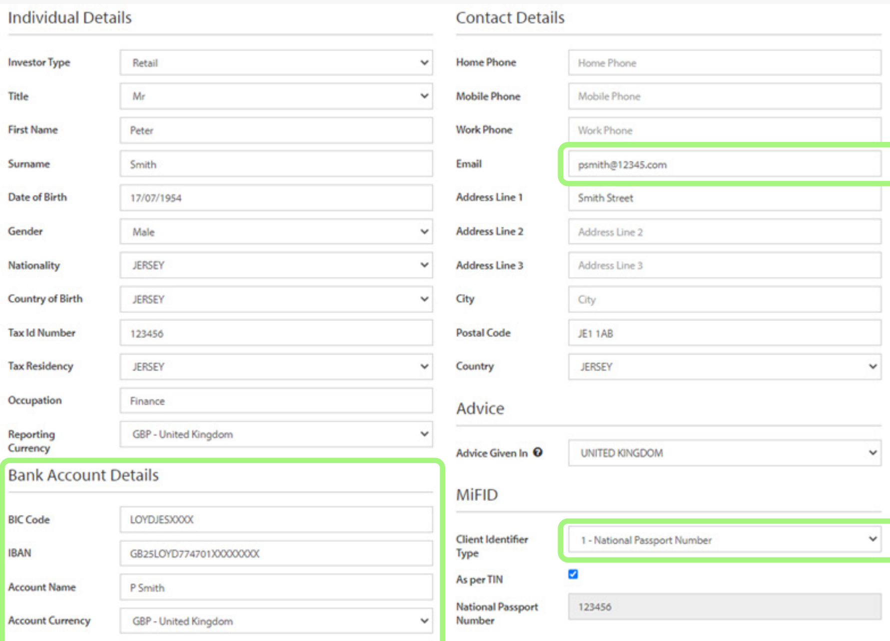
Step 2

Select product type.



Step 3

Select client type.



Email address required as this generates client online access

Option to use client details or our system will generate a unique reference

Enter client bank account, BIC code & IBAN number

Step 4

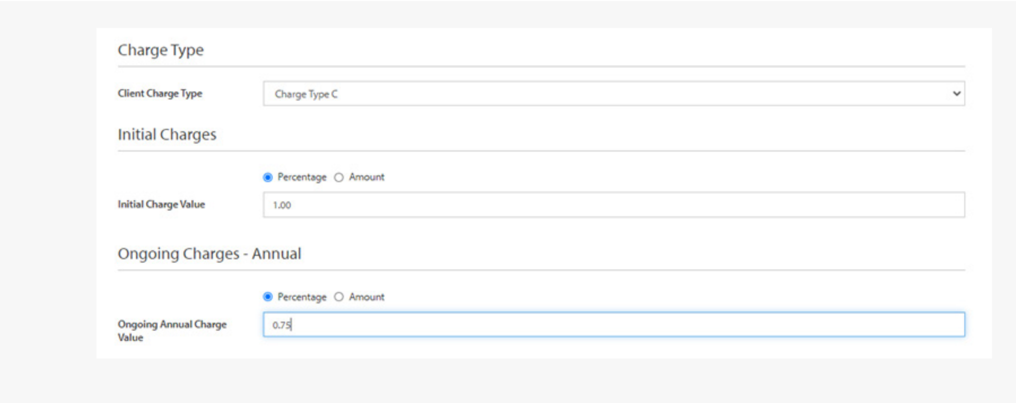
Complete client details.

Step 5

Select **Product** – eg GIA (GBP). If you wish, fill out the optional **Designation** – eg School Fees Savings. Then, confirm your **Source of Wealth**.

Step 6

Enter initial and/or ongoing adviser fee charge – either as % or monetary amount



Charge Type

Client Charge Type	Charge Type C

Initial Charges

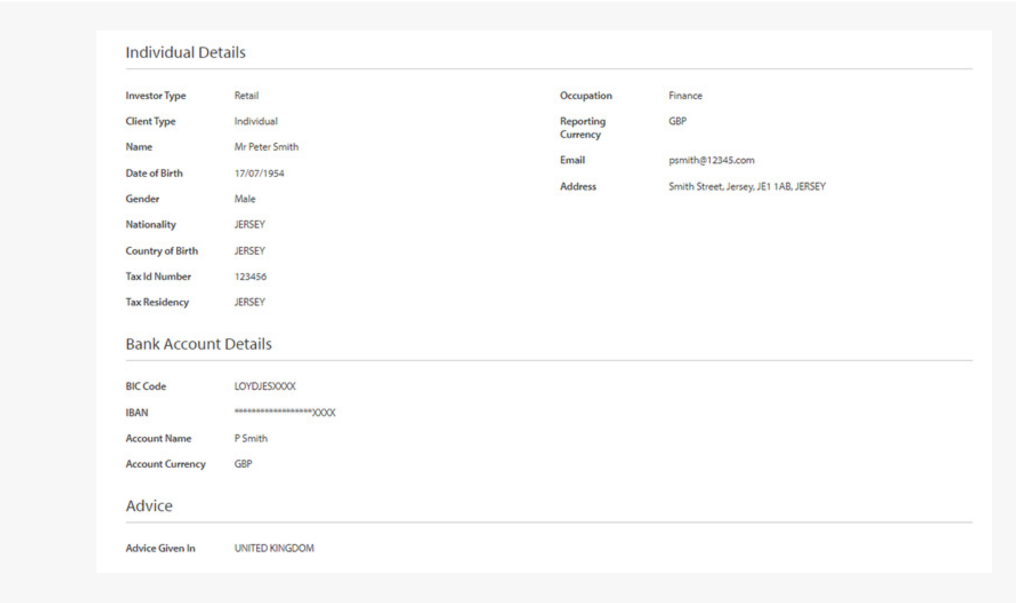
	◉ Percentage ○ Amount
Initial Charge Value	1.00

Ongoing Charges - Annual

	◉ Percentage ○ Amount
Ongoing Annual Charge Value	0.75

Step 7

The application summary details are now displayed for checking.



Individual Details

Investor Type	Retail	Occupation	Finance
Client Type	Individual	Reporting Currency	GBP
Name	Mr Peter Smith	Email	psmith@12345.com
Date of Birth	17/07/1954	Address	Smith Street, Jersey, JE1 1AB, JERSEY
Gender	Male		
Nationality	JERSEY		
Country of Birth	JERSEY		
Tax Id Number	123456		
Tax Residency	JERSEY		

Bank Account Details

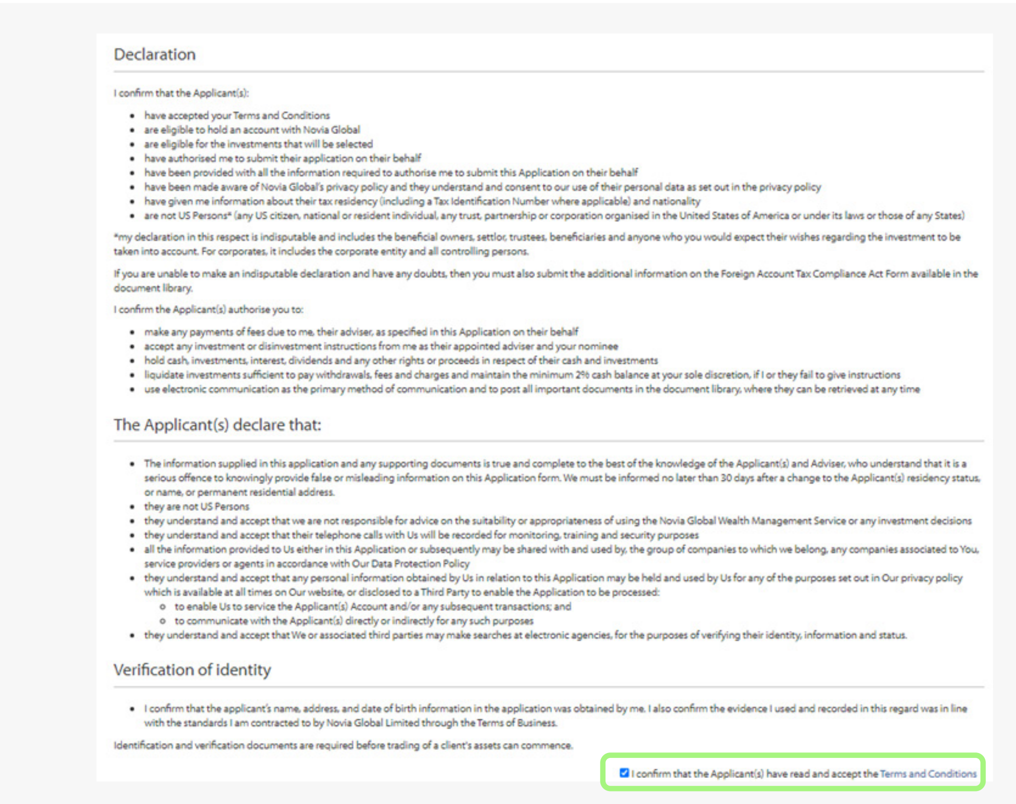
BIC Code	LOYDJESXXXX
IBAN	******************XXXX
Account Name	P Smith
Account Currency	GBP

Advice

Advice Given In	UNITED KINGDOM

Step 8

Tick to confirm application details are correct and accept declaration.



Declaration

I confirm that the Applicant(s):

- have accepted your Terms and Conditions
- are eligible to hold an account with Novia Global
- are eligible for the investments that will be selected
- have authorised me to submit their application on their behalf
- have been provided with all the information required to authorise me to submit this Application on their behalf
- have been made aware of Novia Global's privacy policy and they understand and consent to our use of their personal data as set out in the privacy policy
- have given me information about their tax residency (including a Tax Identification Number where applicable) and nationality
- are not US Persons* (any US citizen, national or resident individual, any trust, partnership or corporation organised in the United States of America or under its laws or those of any States)

*my declaration in this respect is indisputable and includes the beneficial owners, settlor, trustees, beneficiaries and anyone who you would expect their wishes regarding the investment to be taken into account. For corporates, it includes the corporate entity and all controlling persons.

If you are unable to make an indisputable declaration and have any doubts, then you must also submit the additional information on the Foreign Account Tax Compliance Act Form available in the document library.

I confirm the Applicant(s) authorise you to:

- make any payments of fees due to me, their adviser, as specified in this Application on their behalf
- accept any investment or disinvestment instructions from me as their appointed adviser and your nominee
- hold cash, investments, interest, dividends and any other rights or proceeds in respect of their cash and investments
- liquidate investments sufficient to pay withdrawals, fees and charges and maintain the minimum 2% cash balance at your sole discretion, if I or they fail to give instructions
- use electronic communication as the primary method of communication and to post all important documents in the document library, where they can be retrieved at any time

The Applicant(s) declare that:

- The information supplied in this application and any supporting documents is true and complete to the best of the knowledge of the Applicant(s) and Adviser, who understand that it is a serious offence to knowingly provide false or misleading information on this Application form. We must be informed no later than 30 days after a change to the Applicant(s) residency status, or name, or permanent residential address.
- they are not US Persons
- they understand and accept that we are not responsible for advice on the suitability or appropriateness of using the Novia Global Wealth Management Service or any investment decisions
- they understand and accept that their telephone calls with Us will be recorded for monitoring, training and security purposes
- all the information provided to Us either in this Application or subsequently may be shared with and used by, the group of companies to which we belong, any companies associated to You, service providers or agents in accordance with Our Data Protection Policy
- they understand and accept that any personal information obtained by Us in relation to this Application may be held and used by Us for any of the purposes set out in Our privacy policy which is available at all times on Our website, or disclosed to a Third Party to enable the Application to be processed:
  - to enable Us to service the Applicant(s) Account and/or any subsequent transactions; and
  - to communicate with the Applicant(s) directly or indirectly for any such purposes
- they understand and accept that We or associated third parties may make searches at electronic agencies, for the purposes of verifying their identity, information and status.

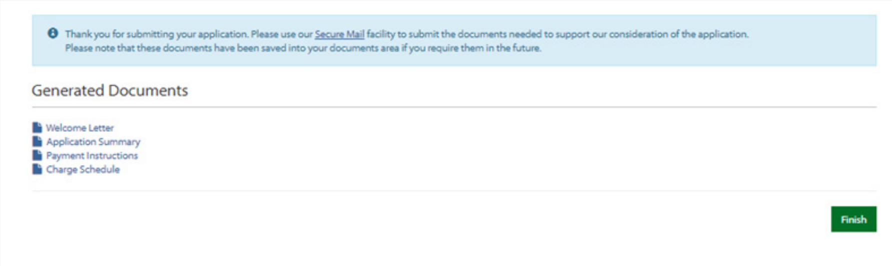
Verification of identity

- I confirm that the applicant's name, address, and date of birth information in the application was obtained by me. I also confirm the evidence I used and recorded in this regard was in line with the standards I am contracted to by Novia Global Limited through the Terms of Business.

Identification and verification documents are required before trading of a client's assets can commence.

☑ I confirm that the Applicant(s) have read and accept the Terms and Conditions

Stage 2: Print or save the generated documents

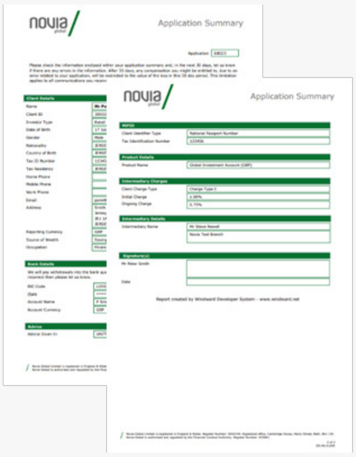


Step 9

After submitting the case, the relevant documents are generated. These documents can be opened and printed.

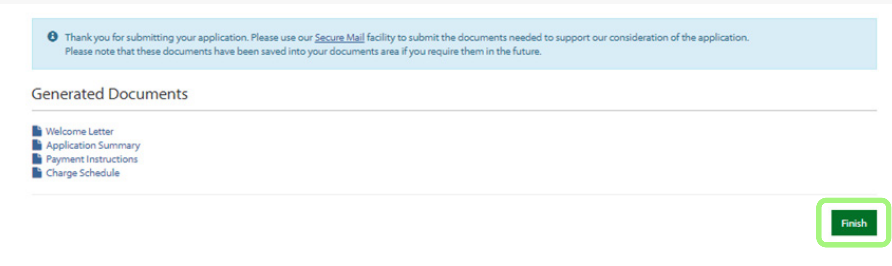
Welcome Letter

Application Summary



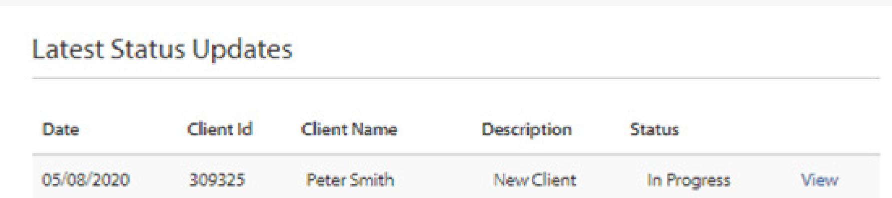
Payment Instruction Details

The application summary can be signed by client and retained by the adviser if required. It does not need to be submitted to Novia Global.



Step 10

After reviewing the documents, click “finish” to complete the process.

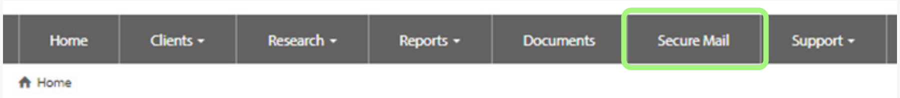


Step 11

You will then be returned to the homepage with the new client information now being displayed.

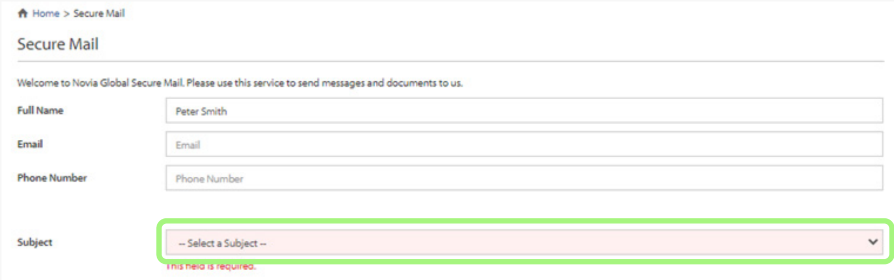
Once the client has been created, proceed to upload AML documents when available.

Stage 3: Submitting client AML



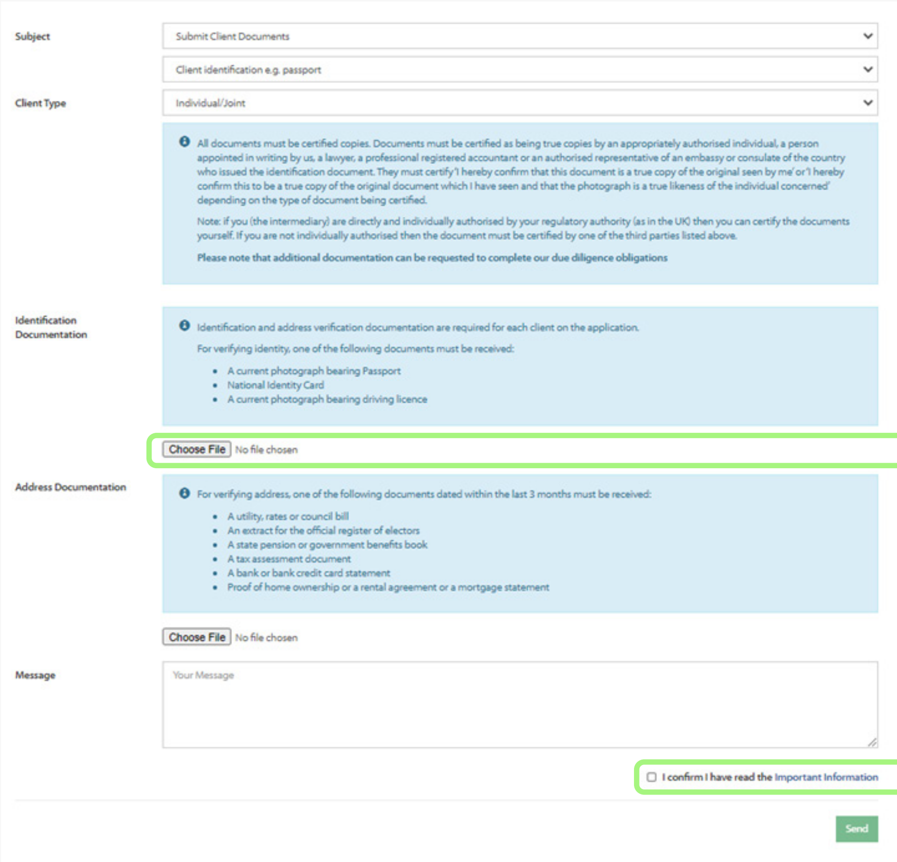
Step 12

From the homepage, select client Secure Mail.



Step 13

Enter the client details and select the subject Submit Client Documents.



Step 14

Upload the required documents.

Client ID and name details can be copied from the "latest activity" section of the homepage.

Choose file(s) to upload certified ID and proof of address (valid within last 3 months).

Tick declaration and then click "send" to submit the documents.