



For financial adviser use only.

# Elevate help guide

## How to add a new client - ISA and GIA

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# How to create a new client account

This user guide shows you how to create a new Elevate account and set up transfers and payments into the Elevate Individual Savings Account (ISA) and the General Investment Account (GIA).

## What you will see

The screenshot shows the 'New Client > Create' form in the Elevate system. The form is divided into two main sections: 'What do you want to do?' and 'Tailor the information we request'. The 'Adviser' field is set to 'AA'. The 'What do you want to do?' section has three radio button options: 'Buy a new product' (selected), 'Create a pension illustration', and 'Complete a risk assessment'. Below 'Buy a new product' is a question 'Has advice been given?' with 'Yes' (selected) and 'No' radio buttons. The 'Tailor the information we request' section has four radio button options: 'Single account (ISA, GIA and PIA)' (selected), 'Joint account (GIA)', 'Trust account', and '3rd party Bond (GIA)'. A 'Next' button with a right arrow is at the bottom right. Five numbered callouts (1-5) point to: 1. The 'New Client > Create' menu item; 2. The 'What do you want to do?' section header; 3. The 'Buy a new product' radio button; 4. The 'Single account (ISA, GIA and PIA)' radio button; 5. The 'Next' button.

## What you will need to do

1. Go to **New Client > Create**.
2. Select the adviser in your firm who will be managing this account.
3. In **What do you want to do**, click **Buy a new product** and tell us if advice has been given or not.
4. Click **Single account (ISA, GIA and PIA)**.
5. Click **Next**.

## Notes

1. If your client already has an account open with Elevate you can set up a new ISA/GIA (or arrange further contributions and transfers to existing product wrappers) by navigating to their account and selecting **New Work > Create > New/amend product purchase**.
3. Illustration for the ISA/GIA can be produced using the illustration tool available on our website:  
[www.elevateplatform.co.uk/elevate/adviser/tools-and-support/illustrations.page](http://www.elevateplatform.co.uk/elevate/adviser/tools-and-support/illustrations.page)
5. You can set up Elevate Pension Investment Account (PIA) payments at the same time. Details of how to set up payments and transfers into the PIA are outlined in a separate user guide.

# Step 1: Client details

## What you will see

Account name: New Business  (EL2001986)

1 Client Details	2 Transfer	3 Payments In	4 Pension Details	5 Invest / Allocate	6 Remuneration	7 Payments Out
8 Validate	9 Documents	10 Review	11 Submit			

**Step 1 Client Details**

**Client details**

Title\*

First Name(s)\*

Surname\*

Gender\*

Date of Birth\* (dd/mm/yyyy)

Marital Status

Check for existing Elevate account

**Contact information**

**Residential address**

Line 1\*

Line 2\*

Line 3\*

Line 4\*

Postcode\*

Country\*

Add a different postal address

Contact telephone number\*

Telephone Country

1.

2.

## What you will need to do

1. Go to **Client Details** and add your client's information. This includes name, gender, date of birth etc.

2. Go to **Contact information** and add the relevant details. You can tick **Add a different postal address** if required.

## Notes

1. The system will create the account name from these details. If you want to label your client's account in a particular way, enter a new **Account name** located in the top left-hand corner of the page.

# Step 1: Client details – cont.

## What you will see

Paper document preferences

A valid client email address is required for 'read-only' online access. Paper to be sent via post has been selected.

Give client 'read-only' access to their account

Opt client out of receiving paper

Opt client out of receiving Contract Notes only

Email address

Confirm email address

3.

Depending on how your firm is set up you can select Opt out of receiving Contract Notes here to stop Contract Notes being sent while ensuring your client still receives all other communications from Elevate in the post.

Tax and NI details

UK resident  Yes

Country of Nationality

Is your client:

Solely a UK resident, for tax purposes?  Yes  No

Solely a UK citizen?  Yes  No

Town of Birth

Country of Birth

No National Insurance Number

National Insurance Number

Exit without saving Save and exit Next

4.

5.

6.

7.

## What you will need to do

3. Go to **Paper document preferences**.

Your client will automatically be given 'read-only' access to their account. If this is unsuitable for them, you can change it by un-ticking the **Give client 'read-only' access** box.

Your client will also by default be opted out of receiving paperwork in the post. If this is unsuitable for them, you can change it by un-ticking the **Opt client out of receiving paper** box.

4. Go to **Tax and NI details** then confirm if your client is a **UK Resident** and their **Country of Nationality**.

5. Confirm your client is **Solely a UK Resident for Tax Purposes** AND **Solely a UK Citizen**. You will need to confirm **Town of Birth** and **Country of Birth**.

6. Enter your client's National Insurance number.

7. Click **Next**.

## Notes

3. For your client to have '**read-only**' access, you will need to add a current email address for them. This must be your client's own unique email address. The same email address cannot be used for other clients.

Once the account is active, you can change these settings at any time via the **Account Holders > Contact Details** tab.

4. Clients who are not **UK Resident** will not be able to open an Elevate account.

5. If the answer is **No**, you will be asked to confirm additional details. If the **Main Country of Tax Residence** is not the UK, you will not be able to proceed with the application.

6. If you do not have your client's National Insurance number, please provide it to us within 30 days by completing the **National Insurance number (NINO) verification form** available in the **Literature** tab.

# Step 2: Transfer

Transfer investments from other providers to your client's Elevate ISA/GIA. If you're not making any transfers you can skip this section.

## How to transfer into an Elevate ISA/GIA

The screenshot shows the 'Step 2 Transfer' interface. At the top, there is a progress bar with steps 1-11. Step 2, 'Transfer', is highlighted. Below the progress bar are navigation buttons: 'Exit without saving', 'Save and exit', 'Back', and 'Next'. The main content area has a table with columns: 'Transfer Source', 'Policy Number', 'Transfer Type', and 'Estimated Transfer Value At Valuation Date'. Below the table is an 'Add a transfer' section with three options: 'Elevate Stocks & Shares ISA', 'Elevate General Investment Account', and 'Elevate Pension Investment Account - Scheme 1'. A callout '1.' points to the 'Add' button next to 'Elevate Stocks & Shares ISA'. Below this is a disclaimer section with conditions A-E and a checkbox to confirm that all money to be transferred is free of the above conditions. At the bottom is the 'Add Transfer From' form with fields for 'Product Type' (set to 'ISA (Stocks and Shares)'), 'Product Provider/Manager', 'Account Number' (set to '1234567'), 'Transfer Type' (set to 'Cash Transfer'), 'Tax Year' (set to 'Current'), 'Full or Partial' (set to 'Full transfer'), and 'Subscriptions This Tax Year' (set to '€'). Callouts '2.' and '3.' point to the 'Product Provider/Manager' and 'Account Number' fields respectively.

## What you will need to do

### Setup transfer

1. Under **Add a transfer**, click **Add** next to the Elevate Stocks & Shares ISA or Elevate General Investment Account as appropriate.

### Confirm transfer details

2. In the **Add Transfer From** section select the **Product Provider/ Manager**.
3. Add the **Account Number**.

## Notes

2. If the product provider is not listed or has a different address to the pre-populated details, you can enter or amend in the **Manager Details** section. Select **Other** to choose a provider not listed here.
3. This is the policy reference number of the ceding provider.

## Step 2: Transfer – cont.

### What you will see

The screenshot shows two parts of a web form. The top part, titled 'Add Transfer From', contains the following fields: 'Product Type' (dropdown menu showing 'ISA (Stocks and Shares)'), 'Product Provider/Manager' (dropdown menu), 'Account Number' (text input with '1234567'), 'Transfer Type' (dropdown menu showing 'Cash Transfer'), 'Tax Year' (dropdown menu showing 'Current'), 'Full or Partial' (dropdown menu showing 'Full transfer'), and 'Subscriptions This Tax Year' (text input with '£'). Callout 4a points to the 'Product Type' dropdown, 4b to the 'Tax Year' dropdown, and 4c to the 'Full or Partial' dropdown. The bottom part, titled 'Cash to be transferred', contains 'Valuation Date' (text input with a calendar icon) and 'Estimated transfer value at valuation date' (text input with '£'). Callout 5a points to both the 'Valuation Date' and 'Estimated transfer value' inputs, and 5b points to the 'Save transfer' button. At the bottom of this section are three buttons: 'Cancel transfer' (blue), 'Clear transfer' (blue), and 'Save transfer' (orange).

### What you will need to do

#### Confirm ISA details

4. Next, confirm:

- Transfer Type** – either cash or in-specie.
- ISA **Tax Year** – previous or current.
- If it's a **Full or Partial** transfer.

#### Enter transfer value

5. For **cash transfers**:

- Enter the **Valuation Date** and the **Estimated transfer value**.
- Click **Save transfer**.

### Notes

- 4a. If you are keying a transfer to the Elevate GIA, only re-registration Transfer Type is available.
- 4b. If the ISA transfer is from the current year, please add the ISA subscriptions made by your client this tax year.
- 4c. Current year's ISA can only be transferred in its entirety. Partial transfers are not permitted.

## Step 2: Transfer – cont.

### What you will see

The screenshot shows the 'Investment Breakdown' table with the following data:

Investment	Type	Units held	Value
Artemis Strategic Bond I Mly I	Investment Fund		

Below the table, the 'Valuation Date' is set to 30-Aug-2017. The 'Transfer amount at valuation date' and 'Estimated transfer value at valuation date' are both £0.00.

The 'Search for investments' section shows the 'Investment Selection Tool' with 'Funds' selected. The search criteria are 'BUH9' and 'Show cheapest OCF/TER' is checked. The search results are:

Code	Name	OCF/TER	KIID	Cheapest	Favourite	Action
BU10	Artemis Strategic Bond I Mly I	0.58		✓	★	Add
BUH9	Artemis Strategic Bond I Qly A	0.58		✓	★	Add

At the bottom, there are buttons for 'Cancel transfer', 'Clear transfer', and 'Save transfer'. Below these are 'Exit without saving', 'Save and exit', 'Back', and 'Next' buttons.

Callouts 6a through 7 point to specific elements: 6a points to the Valuation Date field, 6b points to the search criteria input, 6c points to the 'Add' button for the search results, 6d points to the 'Add' button for the selected fund, and 7 points to the 'Next' button.

### What you will need to do

6. For **re-registration transfers**:
  - a. Enter the **Valuation Date**.
  - b. Use the **Investment Selection Tool** to search for investment using the search criteria or by adding the fund name or code. Click **Add** next to the fund to include it in the transfer.
  - c. Add in the number of units currently held.
  - d. Once you've added all the required funds, click **Save transfer** to complete.
7. Once all transfer details have been entered, click **Next**.

### Notes

6. Repeat 6b. and 6c. to include any other funds in the re-registration transfer from the same ISA or GIA.
- 6d. Details of all the transfers you have keyed are displayed at the top of the page. Click **Edit** if you need to make a change or **Remove** if you want to delete transfer details.
7. Before you move on you can repeat steps 1 to 7 to add further transfers from other providers.

# Step 3: Payments in

Set up payments into the Elevate ISA/GIA.

If you're not making any payments in, skip to the next section.

## What you will see

The screenshot shows the 'Step 3 Payments In' form. At the top, there is a progress bar with steps 1-11. Step 3, 'Payments In', is highlighted. Below the progress bar, there are navigation buttons: 'Exit without saving', 'Save and exit', 'Back', and 'Next'. The main form is divided into two sections: 'Add payments' and 'Additional Pension details'. The 'Add payments' section has a table with columns for 'Source of Payment/Product Wrapper', 'Frequency', 'Method', 'Payment Amount', 'Start Date', 'Total Annualised (New) Payments', and 'Total (New) Payments In Current Input Period'. Below the table, there are dropdown menus for 'From whose bank account will the payment be made?', 'Payment type', and 'Payment method'. There are also input fields for 'Elevate Cash Account', 'Elevate Stocks & Shares ISA', 'Elevate Stocks & Shares ISA - next tax year', and 'Elevate General Investment Account'. The 'Additional Pension details' section has dropdown menus for 'Employment status', 'Source of wealth', and input fields for 'Employer', 'Job title', and 'Relevant earnings (£)'. Numbered callouts 1-4 point to the 'Add' button, the dropdown menus, the input fields, and the 'Save payment' button respectively.

Source of Payment/Product Wrapper	Frequency	Method	Payment Amount	Start Date	Total Annualised (New) Payments	Total (New) Payments In Current Input Period
Elevate Stocks & Shares ISA			£14,000.00		£0.00	£0.00
Transfer	Single	Cash	£14,000.00			

**Add payments**

From whose bank account will the payment be made? Individual

Payment type Single

Payment method Direct Credit

Elevate Cash Account £

Elevate Stocks & Shares ISA £ 6000

Elevate Stocks & Shares ISA - next tax year £

Elevate General Investment Account £ 2000

Elevate Pension Investment Account - Scheme 1 £

Pension payment eligible for tax relief  Yes  No

Pension gross amount £0.00

**Additional Pension details**

Employment status Employed

Employer

Job title Customer services

Source of wealth Income from Employment

Relevant earnings (£) 50000

## What you will need to do

### Add payment details

1. Click **Add**.

2. Select **From whose bank account will the payment be made**, the **Payment type** and **Payment method**.

3. Enter the payment amount(s) next to the **Elevate Stocks & Shares ISA** and/or **Elevate General Investment Account**. For regular contributions you need to add the **Frequency** and **Start date** for the payments.

4. Click **Save payment**. Repeat the steps 1 to 4 to add more payments and payment types.

## Notes

You can enter payment details for the PIA, ISA and GIA all at the same time.

3. For payment by Direct Debit (either regular or single contributions), the date should be at least 10 days in the future. You can also set up next tax years ISA subscription. See **Hints and tips** at the end of this guide for more information.

4. If a third party is making a contribution on your client's behalf, you will be asked to confirm their details and tick the confirmation box.



# Step 3: Payments in - cont.

## What you will see

**Bank Details**

Account Name	Owner	Account Number	Sort Code	Bank Name	Direct Debit	Withdrawal	
test	Individual	12345678	40-43-00	test	YES	YES	View Edit Remove

**5.**

Owner\*

Account Name\*

Account Number\*

Sort Code\* (nn nn nn)

Use Account for Direct Debits  Tick box if account to be used for Direct Debit.

Nominated account for withdrawals

**6.**

Cancel Clear **Save bank account**

**7.**

**Step 3 Payments In**

Source of Payments/Product Wrapper	Frequency	Method	Payment Amount	Start Date	Total Annualised (New) Payments	Total (New) Payments in Current Input Period	
Elevate Pension Investment Account - Scheme 1			€35,375.00		€39,500.00	€37,625.00	
Individual	Single	Direct Credit	€35,000.00		€35,000.00		Edit Remove
Individual	Monthly	Direct Debit	€250.00	07-Sep-2017	€3,000.00	€1,750.00	Edit Remove
Individual	Monthly	Direct Debit	€125.00	07-Sep-2017	€1,500.00	€875.00	Edit Remove

## What you will need to do

- Once you have added the payment details you can then add the **Bank Details** you want to use. Click **Add** to enter appropriate bank details for the payments and choose whether this bank account will be used for payments in and/or withdrawals.
- Click **Save bank account**.  
If you need to add more bank details, for example if you're also setting up contributions from a third party on your client's behalf, click **Add** again and enter the details for the additional bank account.
- When you have entered all payments, click **Next**.

## Notes

- We will need to verify the account before withdrawals can be authorised. This is normally automatic. If for any reason the bank details cannot be verified automatically you will be notified at the end of this wizard and required to provide further information. Check the additional bank verification list at the end of this guide.
- Details of the payments you have keyed will be displayed at the top of the page.  
Click **Edit** if you need to make a change or remove if you want to delete payment details.

# Step 4: Pension details

If you're adding a PIA contribution or transfer confirm extra pension details otherwise you can skip this step.

## What you will see

The screenshot shows a multi-step process bar at the top with steps 1 through 11. Step 4, 'Pension Details', is highlighted. Below the bar are navigation buttons: 'Exit without saving', 'Save and risk', 'Back', and 'Next'. A callout bubble with the number '2.' points to the 'Next' button. The main form area is titled 'Additional client details' and contains the following fields and options:

- Intended retirement date: 01-Aug-2050 (with a calendar icon) or Intended age of retirement: 70
- Total value of all actual or intended Elevate Investments excluding the Pension Investment Account values: £ 0.00
- Are there any pension protections?:  No  Yes
- Has the client opted out of, or declined to join, a pension their employer will contribute to?:  No  Yes

## What you will need to do

1. Enter additional pension details if necessary. Skip this step if you're not adding an Elevate PIA.
2. Click **Next**.

## Notes

# Step 5: Invest/allocate

This step lets you choose investments and select how to allocate any cash transfers or other payments that you have set up.

## What you will see

The screenshot shows the 'Step 5 Invest / Allocate' interface. It includes a search for investments section, a list of investment funds, and an allocation table. Numbered callouts 1 through 7 point to specific elements: 1. 'Find' button in the search results; 2. 'Add' button next to a fund; 3. 'Quick Links' pop-up window; 4. 'Add' button in the fund list; 5. Allocation settings (All Payments, 5.00%); 6. 'Add investment' button; 7. Allocation table showing percentages for different investment types.

Investment Type	Single	Regular	Cash Transfer	Protect from automatic disinvestment to cover fees etc.
Expand All	%	€	%	€
Cash	10.00 %	10.00 %	N/A	
Enquest Pfc	20.00 %	20.00 %	N/A	
Abbeycrest Pfc	20.00 %	20.00 %	N/A	
Star Life Inv Assn Pfc Oth R Pt 1 A	5.00 %	5.00 %	N/A	<input type="checkbox"/>
<b>Remainder to be allocated:</b>	<b>45.00%</b>	<b>45.00%</b>	<b>N/A</b>	

## Quick links

Quick links provides you with easy access to fund solutions, funds with discounted share prices and extra fund information.

You can also select from your **Favourites** list for quick access to your preferred investment solutions. Add funds, securities and model portfolios to your **Favourites** by ticking the 'star' next to the investment. Next time you view your **Favourites** this investment will be on there!

## What you will need to do

1. Use the **Investment Selection Tool** to locate the investments you want then click **Find**.
2. Click **Add** next to the investment you want to select.
3. In the pop-up window, indicate which product wrappers you want to invest in.
4. Input the amount to be invested – either as a percentage or a £ amount.
5. To protect this fund from automatic disinvestment tick the box.
6. Click **add investment**.
7. The investments you have selected will be displayed at the top of the page. Expand each row by clicking on the + icon to view your selection, make amendments and remove funds if entered in error.
8. When you've completed the allocation, click **Next**.

## Notes

1. You can search for a specific investment name or code.  
Use the extra tabs here if you want to search for model portfolios or **Other** to search for stocks & shares or discretionary managers.
6. To add further investments, repeat steps 1 to 6.
7. The total must come to 100%. **Remainder to be allocated** is displayed (and the text will turn from red to black).

Product cash is used to pay charges for each product wrapper so you will need to consider this when setting your cash allocation.

If you have keyed a pension transfer and intend to crystallise it immediately you should consider investing this transfer 100% in cash. This ensures you will be able to set up pension benefits when the money is received, rather than waiting for trades to settle.

# Step 6: Remuneration

Here you can include the level of charges you've agreed with your client. You can also use this step to confirm the automatic disinvestment strategy. You can redirect all ISA charges so that they are taken from the GIA wrapper cash - helping you maximise the ISA allowance.

## What you will see

The screenshot shows the 'Step 6 Remuneration' form with the following sections and callouts:

- 1.** Summary details: Frequency (Monthly), Disinvestment strategy (Least volatile stock (LVS)), and Take Elevate Individual Savings Account charges from Elevate General Investment Account (No).
- 2.** Initial Adviser Charge: Single Payments table for Elevate Stocks & Shares ISA and Elevate General Investment Account.
- 3.** Cash Transfers: Table for Elevate Stocks & Shares ISA.
- 4.** Ongoing Adviser Charge: Table for Adviser annual charge amount (E) and Total annual charge amount (E) for Elevate Stocks & Shares ISA and Elevate General Investment Account.
- 5.** Bottom navigation buttons: End without saving, Save and exit, Back, Next.

## What you will need to do

1. In **Summary Details**, choose the **frequency, disinvestment strategy** and, if applicable, choose if you want to **take Elevate ISA charges from the Elevate GIA**.
2. Select the **Initial Adviser Charge** amount.
3. If you're setting up a regular payment, you can select a **Spread Initial Adviser Charge** - this is paid from money held in wrapper cash (not as a deduction from the regular payment received). This can be either a **£ Total charge amount** (divided over a number of payments) or a specified **£ Deduction amount** for each payment over a period of time.
4. Select the **Ongoing Adviser Charge** amount.
5. Click **Next**.

## Notes

2. An Initial Adviser Charge cannot be selected for in-specie transfers.
4. Any Ongoing Adviser Charge, Spread Initial Adviser Charge and Elevate Portfolio Charge are paid using product wrapper cash. Ensure that you set up and maintain sufficient cash in each product wrapper to pay these charges (and any withdrawal commitments). Where there is not enough cash we will sell investments automatically. Product cash allocation is not normally required for your Initial Adviser Charge as this is normally deducted immediately before the money is allocated to investments. The exception to this is where you have elected to pay ISA charges from the GIA - here you will need to ensure an additional cash allocation in the GIA enough to cover any Initial Adviser Charge set for the ISA. Details about the adviser charging options and how they are calculated are shown in separate user guides.

# Step 7: Payments out

Set up regular withdrawals and natural income payments from the Elevate ISA or GIA.  
If you're only setting up an Elevate PIA skip to **Step 8. Validate**.

## What you will see

The screenshot shows the 'Step 7 Payments Out' interface. At the top, there is a progress bar with steps 1-11. Below it, the 'Specify where to pay natural income' section has two rows for 'Elevate Stocks & Shares ISA' and 'Elevate General Investment Account', each with radio buttons for 'Pay into wrapper cash' and 'Pay out to client'. Below this is a table with columns for 'Payment Value', 'Frequency', 'Start date', 'End date', 'Destination account', and 'Action'. The 'Add regular payment out' section includes fields for 'Per frequency', 'Frequency' (set to 'Monthly'), 'Annualised amount' (£0.00), 'Start date', 'End date' (with a 'or until notified' checkbox), and 'Destination account' (set to 'Nominated bank account outstanding'). The 'Income payment strategy' section shows a table for 'Regular Payment Out Amount' with columns for 'Investment', 'Value (£)', and 'Allocation (%)'. The table shows 'Cash' with a value of 18,000.00 and an allocation of 100%. At the bottom, there are navigation buttons: 'Exit without saving', 'Save and exit', 'Back', and 'Next'.

1. Pay into wrapper cash / Pay out to client radio buttons

2. Add button in the table

3. Frequency dropdown

4. Destination account dropdown

5. Save button in the 'Add regular payment out' section

6. Save button in the 'Income payment strategy' section

7. Next button at the bottom

## What you will need to do

1. Select where the **Distribution and dividends** will be paid by selecting **Pay into wrapper cash** or **Pay out to client**.
2. Set up regular withdrawals from the ISA/GIA by clicking **Add**.
3. Confirm the **payment amount, frequency, start date** for the regular payment and, if applicable, **end date**.
4. Select **Destination account** where the money will be paid.
5. In **Income Payment Strategy**, select which investments will be sold to fund regular withdrawals.
6. Click **Save**.
7. Click **Next**.

## Notes

1. If you select **Pay out to client**, payment to your client's bank account will be made at various frequencies and amounts depending on when dividends and distributions are received  
**Pay out to client** cannot be set up from the Elevate PIA.
2. You cannot set pension payments out during this application.
3. The start date must be at least 10 days in the future.
4. Payments can be made to the Elevate Cash Account or to your client's verified bank account.
5. The total allocation must be 100%.

# Step 8: Validate

If you have entered all information correctly, you will see 'All data entered has been successfully validated'. Any errors will be highlighted.

## What you will see

1 Account 2 Transfer 3 Payments In 4 Invest / Allocate 5 Remuneration 6 Payments Out 7 Pension Details  
8 Members 9 Validate 10 Review 11 Submit

Step 9 Validate

Exit without saving Save and exit < Back Next >

Field	Reason	Page
Total allocation of Elevate Stocks & Shares ISA Single Contributions must equal 100%		Go To Step 4 Invest / Allocate

Exit without saving Save and exit < Back Next >

1.

2.

## What you will need to do

1. If applicable correct any errors highlighted and click through each screen again until you return to **Step 8. Validate.**
2. When you see **All data entered has been successfully validated** click **Next.**

## Notes

# Step 9: Documents

Produce the documents you need to open the new account.

## What you will see

1 Client Details 2 Transfer 3 Payments In 4 Pension Details 5 Invest / Allocate 6 Remuneration 7 Payments Out  
8 Validate 9 Documents 10 Review 11 Submit

Step 9 Documents Exit without saving Save and exit Back Next

Please note  
Your orders contain securities trading instructions. If, for any reason, we are unable to complete your instructions, we will notify you through an Elevate alert.

### Client documents

Name	Date Requested	Status	Include	Consolidate
Direct Debit Forms	23-Aug-17 3:03 pm	Complete	Required	<input type="checkbox"/>
Transfer Form		Complete	Required	<input type="checkbox"/>
Charges Information	23-Aug-17 3:03 pm	Complete	Required	<input type="checkbox"/>
Disclosure Illustration (ID: 73150389)	23-Aug-17 3:03 pm	Complete	Required	<input type="checkbox"/>
Adviser Charges Agreement	23-Aug-17 3:03 pm	Complete	Required	<input type="checkbox"/>

To consolidate the above client specific documents into one printable version please select each of the documents required once they have completed and then generate a consolidated version by clicking the following button. Consolidate documents

### Adviser documents

Name	Date Requested	Status
Disclosure Illustration (ID: 73150389)	23-Aug-17 3:03 pm	Complete

Exit without saving Save and exit Back Next

1.

2.

4.

## What you will need to do

1. Go to **Client documents** where the relevant paper work will be generated.
2. You can check the boxes next to each document and click **Consolidate documents** so that you can print them all in one go.
3. Once you've reviewed the application with your client give them the **Charges Information document, Elevate Terms & Conditions Declaration** and any other relevant documentation.
4. Click **Next**.

## Notes

3. Ask your client to sign the Terms and Conditions, Adviser Charges Agreement, any transfer request documents and Direct Debit agreement (if applicable). Send all completed paperwork and transfer forms to us at Elevate, PO Box 6877, Basingstoke, RG24 4RT.

# Step 10: Review

Review your information before submitting the application.

## What you will see

1 Client Details	2 Transfer	3 Payments In	4 Pension Details	5 Invest / Allocate	6 Remuneration	7 Payments Out
8 Validate	9 Documents	10 Review	11 Submit			

### Step 10 Review

Exit without saving Save and exit Back Next

2.

Information successfully saved.

Account Information		Edit
Client 1		
Client Name:	Mr Test Test	
Role:	Client	

### Elevate Stocks & Shares ISA

Payments(s) in							Edit
Payment type	Amount	Initial Adviser Charge	Elevate Entry Charge	Net Amount For Investment	OAC Frequency	OAC Value	
Single	£4,000.00	£0.00	£0.00	£4,000.00	Monthly	0.00%	
Cash Transfers	£14,000.00	£0.00	£0.00	£14,000.00	Monthly		

Single Investment Selection							Edit
Investments	% Allocation	Amount	Fund Manager Initial Charge	TER	Fund Manager Rebate (FMR)	Diff. between FMR and selected OAC	
Cash	100.00%	£4,000.00	0.000000%	0.0000%	0.00%	0.00%	
<b>Total</b>	<b>100.00%</b>	<b>£4,000.00</b>					

Transfer Investment Selection							Edit
Investments	% Allocation	Amount	Fund Manager Initial Charge	TER	Fund Manager Rebate (FMR)	Diff. between FMR and selected OAC	
Cash	100.00%	£14,000.00	0.000000%	0.0000%	0.00%	0.00%	
<b>Total</b>	<b>100.00%</b>	<b>£14,000.00</b>					

Distributions and Dividends		Edit
Destination	Wrapper Cash	

## What you will need to do

1. Check the details carefully and make any corrections if necessary.
2. Click **Next**.

## Notes

1. Be aware that once you have completed this process, you won't be able to make any further changes.

You can still make amendments here by clicking **Edit** or navigating directly to the relevant section.

If applicable, make any necessary amendments and click through each screen again until you return to **Step 10. Review**.



# Step 11: Submit

## What you will see

1 Client Details	2 Transfer	3 Payments In	4 Pension Details	5 Invest / Allocate	6 Remuneration	7 Payments Out
8 Validate	9 Documents	10 Review	11 Submit			

**Step 11 Submit** End without saving Save and exit Back

**1. Bank Details**

Owner\*

Account Name\*

Account Number\*

Sort Code\* (nn.nn.nn)

Postcode\*

Use Account for Direct Debits  Tick box if account to be used for Direct Debit.

Nominated account for withdrawals

**2. Make Declarations**

Please tick the boxes below to confirm you agree to the following declarations and that you have completed Anti Money Laundering verification.

I confirm that I/we have:

- a) Assessed the suitability of the Elevate platform for my client(s).
- b) Supplied my client(s) with all relevant documentation, including the Elevate Terms and Conditions, product wrapper Terms and Conditions and Charges Information Document.
- c) Instructed my client(s) to read all documentation carefully before proceeding and ask for further information if they do not understand any of the content.
- d) Explained all applicable data protection, anti-money-laundering and counter-terrorism financing requirements to my client(s).
- e) Understood that Elevate will issue confirmation of any appropriate declarations direct to my client(s).
- f) Informed my client(s) as the contract (owner(s), controller(s), and payee(s)), that an identity verification check(s) will be carried out to comply with current Money Laundering Regulations, and that:
  - (1) The information in the Client Details section was obtained by means in relation to my client(s).
  - (2) The evidence obtained to verify identity meets, or exceeds, the standard evidence set out within the guidance for the UK Financial Sector issued by JML SG.

I confirm that my client(s) has/have:

- Supplied and checked the information in this application; and signed all of the documentation required by Elevate, including the Elevate Terms and Conditions Declaration.
- Read and agreed to be bound by the Elevate Terms and Conditions and the relevant product wrapper Terms and Conditions and the Charges Information Document; and has/have given me authority to accept these on their behalf.
- Confirmed they wish to proceed and has/have authorised me to submit this application on their behalf.

If the evidence exceeds the standard set out within the guidelines, please detail the evidence obtained

Please confirm this by ticking the box

Name:

Position:

Date:

**3. Submit Application**

PLEASE NOTE: Once submitted, no further changes can be made to this account. It will be activated using the data input entered by you during this online application process. Please check that information is correct before proceeding.

1.

2.

## What you will need to do

1. When you have reviewed the application with your client and they agreed to proceed, complete the **Make Declarations** section and enter your user details.
2. Now go to the **Submit Application** section. You can submit the account by clicking the **Submit** button.
3. Send all completed paperwork and transfer forms to us at Elevate, PO Box 6877, Basingstoke, RG24 4RT

## Notes

3. You can **Save and Exit** at any time before submitting the application and resume it later on by navigating to **New Client > Work in Progress**.

Be aware that once the account application has been submitted, you won't be able to make any further changes.

We will activate the account once we receive the signed **Terms and Conditions Declaration**.

### Bank verification

If we have been unable to verify the bank account details for any reason, you can send us one of the following documents so that we can confirm these details:

- **Original/certified copy of the client's current bank account statement** (including online accounts) – dated within six months and containing client name, sort code, account number
- **Personal cheque for the investment**
- **Voided personal cheque** – stating account name, sort code, account number
- **Letter from the branch manager** – on headed paper, listing account name, sort code, account number, branch address
- **Pre-printed paying-in slip from client's bank account** – containing the client name, sort code, account number
- **Certified copy of passbook** – showing transactions made in last 12 months and containing client name, sort code, account number

### Hints and tips

- Single payments in via Direct Credit will require the client to contact their bank in order to send the payment to Elevate. Contact us to request our payment details
- Alternatively, a one-off Direct Debit payment can be requested if a mandate has been signed by your client and you have set up their bank account for Direct Debit payments. In this case, Elevate can collect the payment directly from the clients bank account on the selected payment date without further instruction from the client
- Throughout the process you always have the option to **Save and Exit** or **Exit Without Saving**
- To retrieve work that has been previously saved, go to **New Client > Work in Progress**. Complete the **Search** criteria section and click **Search**. Find the case and click **Resume**
- If you make any amendments by returning to previous screens, you'll need to move through each step in sequence so that the correct paperwork can be regenerated at the end of the process
- It's advisable that you place some money into wrapper cash when choosing where to invest and review this regularly when the account is active. This is where all ongoing platform and adviser charges are paid. If there is not enough cash available when the charge is due we will automatically sell investments to pay the charge. Please see our charge user guides for more information
- If any regular payments have been set to commence within a 10 day period of this application being keyed – or the application is delayed and the original date set can no longer be applied – the first collection will instead commence 10 working days from receipt of the signed Direct Debit Mandate and the account activation date. Subsequent regular contributions will revert to the date and frequency you have specified
- Payments selected for 'next year' Elevate ISA contributions are held in the Elevate Cash Account until 6 April. Money held here will earn interest at the applicable rate and incur Elevate Portfolio Charge deductions. If there is not enough available cash on 6 April, the payment into the Elevate ISA may be delayed
- Clients with on-line access to view their account can also be set up with paperless communications. Further flexibility allows you to stop just contract notes from being sent in the post – even for those clients who do not have on-line access to their account (depending on your firm's Elevate settings). For these clients you must ensure contract notes are passed to them in a durable medium and within regulatory timeframes. **See Setting up client access and paperless communications** help guide for more information

## Get to know us better

**We hope you've got a good insight into our platform and the potential benefits it can bring to you and your firm.**

If there is anything more you want to know, please contact us.

### **Call us on 0345 600 2399**

Our lines are open 9am to 5pm, Monday to Friday. As part of our commitment to quality service and security, telephone calls may be recorded.

### **Email us at [Elevate\\_Enquiries@abrdn.com](mailto:Elevate_Enquiries@abrdn.com)**

Please be aware that emails are not secure as they can be intercepted, so think carefully before sharing personal or confidential information in this way.

### **Address**

Elevate, PO Box 6877, Basingstoke, RG24 4RT

For more information visit [abrdn.com/adviser](http://abrdn.com/adviser)

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