Platform User Guides

How to process a “Top Up” payment

How to process a top up payment for an existing client is a straightforward process comprised of the following steps:

Submit the online Top Up application:

1. Select the Client
2. Select the appropriate Product
3. Select Top Up from the options along the top of the screen

Save or print the Payment Instruction:

- The pre-populated Payment Instruction form will generate at the end of the application with all the information required for the client to make the payment.
- The Payment Instruction form will automatically upload to the Documents folder as well.

Client sends the payment to Novia Global:

- Client arranges for the payment to be sent to the details on the Payment Instruction.
- On receipt of the payment, Novia Global matches the money with the online expectation. The Cash Receipt Confirmation is uploaded to the Documents folder online; this notifies the Intermediary that the cash has been received.

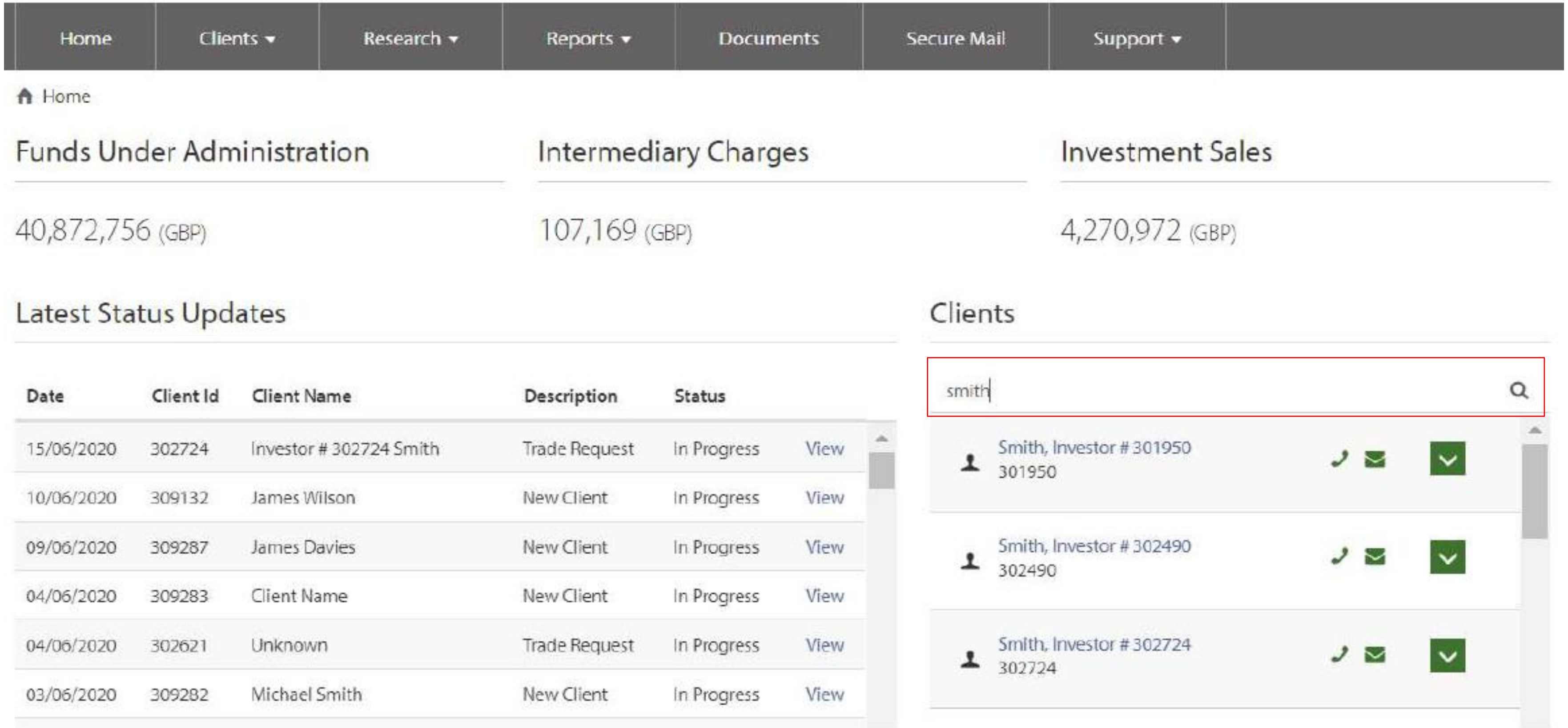
Submit online Trade instruction:

- The newly applied money will sit in the client's cash facility until the Intermediary places a trade instruction.
- Intermediary logs into the web and submits a Buy instruction to trade the new money into the required assets or model portfolio.

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

Processing a “top up” payment

1) After initially logging into the platform, search for the required client



Processing a "top up" payment

2) Select the required product

Home > Gerrard, Steven - 308954

Portfolio Value

173,251.60 (GBP)

Portfolio Breakdown

Global Investment Account: 173,251.60 (GBP)

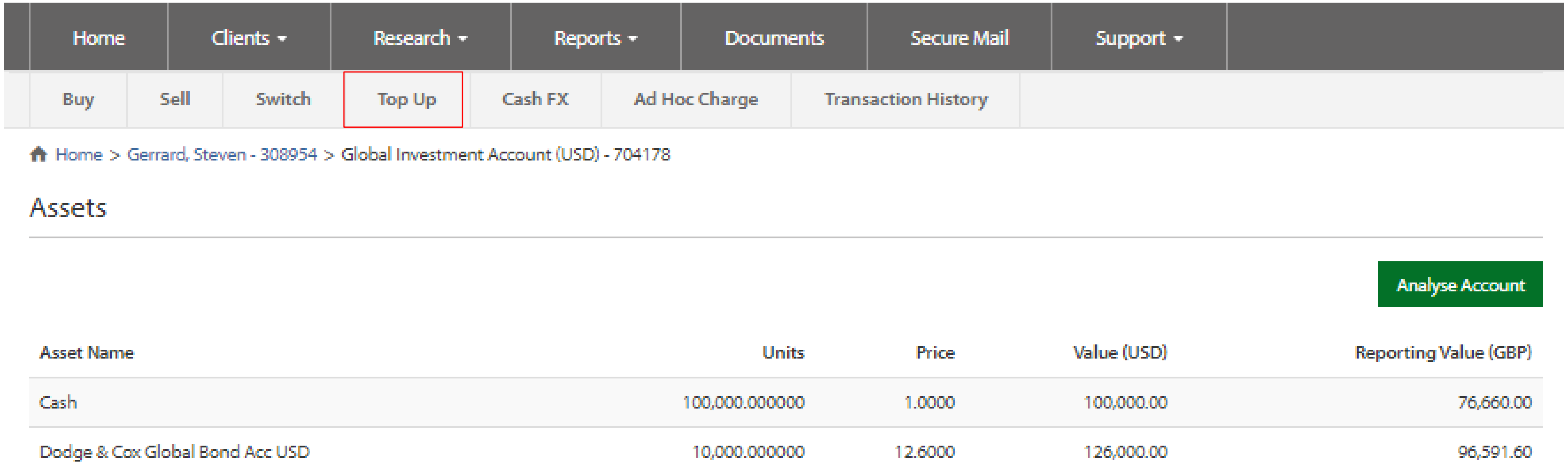
Product Name	Product Value	Reporting Value (GBP)	
Global Investment Account (USD) - 704178	226,000.00	173,251.60	View

Portfolio Asset Allocation

Sector	Weighting (%)
Fixed Interest	55.80
Cash Facility	44.2

Processing a “top up” payment

3) Select “top up” from the process menu



Processing a "top up" payment

4) Enter the appropriate top up amount and source of wealth

Home > Gerrard, Steven - 308954 > Global Investment Account (USD) - 704178 > Top Up

Product Details

Product	Global Investment Account (USD)
Deposit	Deposit
Source of Wealth	-- Select a Source of Wealth --

Next

5) Enter the initial and / or ongoing adviser fee charge

Home > Gerrard, Steven - 308954 > Global Investment Account (USD) - 704178 > Top Up

Charges

Client Charge Type Charge Type C

Initial Charges

Percentage Amount

Initial Charge Value Your Initial Charge

Ongoing Charges - Annual

Ongoing Annual Charge Value 0.25 %

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Processing a “top up” payment

6) After clicking “next” a summary is shown of the top up details you have entered

Product Details

Product	Global Investment Account (USD)
Designation	
Deposit	1,000,000.00
Source of Wealth	Savings From Income

Intermediary Charges

Client Charge Type	Charge Type C
Initial Charge Value	0.00%
Ongoing Annual Charge Value	0.25 %

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7) Tick to confirm the 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

For the General Investment Account 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

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 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 • 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

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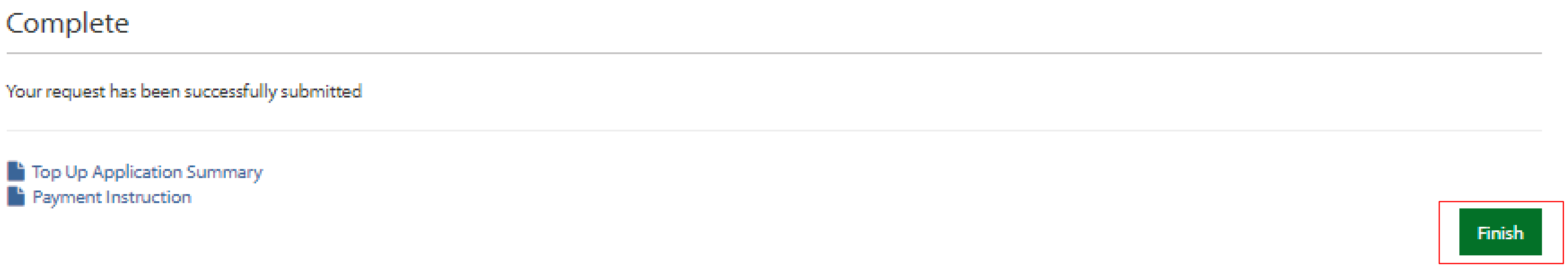
Submit

8) After submitting the case, the relevant documents are then generated



These documents can be opened and printed.

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

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