



#### Dealing Checklist – Please ensure you have checked the following before submitting your instruction:

- Provide the correct full fund name, including share class/currency where applicable and security identifiers if available.
- Ensure sufficient cash is available within the bond/account/policy (in the required currency) to complete the requested purchase(s).
- Ensure that you hold sufficient shares/units to fulfil the requested cash or unit sale instruction.
- Ensure that all requested investment amounts meet any minimum investment levels for the selected asset. If in doubt, please check with the relevant fund manager.

We aim to provide accurate and timely dealing in the major markets, carrying out currency conversions, purchases and sales at often preferential rates. If you have any questions or need any clarification of these guidance notes, terms and restrictions then please call our Dealing Desk on +44 (0)1624 655005, e-mail [omifmivdealing@ominternational.com](mailto:omifmivdealing@ominternational.com), or alternatively contact your financial adviser. **A delay in the placement of deals may occur if the instructions are illegible, unclear, incomplete or relate to an asset which is not normally permitted. We are unable to backdate transactions delayed by the need to clarify your instructions. The security identifier provided in the form prevails where applicable, in case of dispute.**

## GUIDANCE NOTES - TERMINOLOGY

### Order Type

- **Trade** – Select to request the purchase or sale of a security/fund.
- **FX** – Select to request the completion of a currency conversion. Please complete the buy/sell, currency to invest/redeem, cash value and counter currency fields for all FX requests.
- **MM\*** – Select to request investment into a fixed term or call notice deposit. Details of the requested deposit should be entered in the full security/fund name field (for example deposit term).

\*Inapplicable to any clients who are permitted access to SFC authorised funds only within WMP.

## FORM REQUIREMENTS

### (PLEASE ALSO REFER TO THE KEY POINTS BELOW)

- **Buy/Sell** – Enter either buy or sell in the relevant section indicating what action should be taken for each order type.
- **Currency to invest or redeem** – In the case of a purchase (buy) insert here the currency of the cash to be used to purchase the stock. In the case of a sale (sell) insert here the currency of the portfolio cash account that you wish the proceeds to be credited to.
- **Cash or units** – For purchases, sales or switch orders please state either the cash amount or the number of shares/units.
- **Counter currency** – Please complete this field ONLY when requesting a currency conversion. In the case of a BUY, the counter currency will be the currency utilised to purchase the currency requested in the 'currency to invest/redeem' field. In the case of a SELL, the counter currency will be the currency received on completing the conversion of the currency requested in the 'currency to invest/redeem' field.
- **Security Identifier** – If known, please provide a recognised security identifier for all security/fund purchase or sale requests, such as a SEDOL or an ISIN number. For Old Mutual International funds, please provide the relevant OMI ID number (can be found in the monthly fund performance brochure or on Old Mutual International's website). Providing this information will remove the potential need to seek clarification and enable us to act upon your instructions more efficiently.
- **Security/Fund name** – Please ensure the full name of the security/fund is clearly stated and please do not use abbreviations.
- **Share class** – Where applicable please include confirmation of income/accumulation unit requirements and confirmation of required share class for example A, B or C.
- **Base currency of security/fund** – If known, please provide confirmation of the base currency of the requested security/fund.
- **Contact details** – Make sure that your telephone and fax numbers and the name of a person to contact are clearly marked on the form. We will contact you if there is any doubt over what we think you require or if the instructions are unclear.

## GENERAL GUIDANCE NOTES – KEY POINTS

- **Sufficient cash** – An instruction to purchase an investment will not be actioned unless there is sufficient cash within the bond/account/policy to meet the purchase price and all costs of the purchase, except where the purchase is made simultaneously with a sale which will provide cash sufficient to meet the purchase price and all costs of the purchase.
- **Sufficient holding** – An instruction to sell a holding cannot be actioned unless there are sufficient shares/units held to cover the sale.
- **Client confirmation** – Where required, signed confirmation should always be provided with the corresponding dealing instruction.

[www.oldmutualinternational.com](http://www.oldmutualinternational.com)  
[www.oldmutualinternational.com/hk](http://www.oldmutualinternational.com/hk)

Calls may be monitored and recorded for training purposes and to avoid misunderstandings. Old Mutual International Isle of Man Limited is registered in the Isle of Man under number 24916C.

Registered and Head Office: King Edward Bay House, King Edward Road, Onchan, Isle of Man, IM99 1NU, British Isles. Phone: +44 (0)1624 655 555 Fax: +44 (0)1624 611 715. Licensed by the Isle of Man Financial Services Authority.

All promotional material is approved by Old Mutual Wealth Limited. Old Mutual Wealth Limited is authorised and regulated by the Financial Conduct Authority. Financial Services register number 165359. The rules made under the Financial Services and Markets Act 2000 (as amended) for the protection of retail clients in the UK do not apply. Old Mutual International Isle of Man Limited is a member of the Association of International Life Offices. Old Mutual International is registered in the Isle of Man as a business name of Old Mutual International Isle of Man Limited. Old Mutual International is the registered business name of Old Mutual International Isle of Man Limited Singapore Branch. Old Mutual International Isle of Man Limited Singapore Branch, 50 Collyer Quay, OUE Bayfront, #05-07, Singapore, 049321. Phone: +65 6216 7990 Fax: +65 6216 7999. Registered in Singapore Number T08FC7158E. Authorised by the Monetary Authority of Singapore to conduct life assurance business in Singapore. Member of the Life Insurance Association of Singapore. Member of the Singapore Finance Dispute Resolution Scheme. Old Mutual International's Hong Kong office: 24th Floor, Henley Building, 5 Queen's Road Central, Hong Kong. Phone: +852 3552 5888 Fax: +852 3552 5889 Email: [hongkong@ominternational.com](mailto:hongkong@ominternational.com). Authorised by the Insurance Authority of Hong Kong to carry on long term business. Old Mutual International Middle East Limited, registered in the Dubai International Financial Centre under number 0962 Office 7 and 8, Level 2 Gate Village 7, Dubai International Financial Centre (DIFC), PO Box 482062, Dubai, UAE. Old Mutual International Middle East Limited is authorised and regulated by the Dubai Financial Services Authority.

PDF 1218/INT16-0420/July 2016

- Where a fund adviser is appointed, only written instructions (including facsimile copies) signed by an authorised signatory of your company will be accepted. On no occasion will Old Mutual International accept verbal communications in respect of investment dealing instructions. Whilst we will accept faxed instructions, we cannot accept responsibility for a failure to action an instruction resulting from an error in transmission or if the fax is illegible, incomplete or unclear.
- It is your responsibility to request a foreign exchange transaction if funds are held in a different currency to that required for settling the purchase(s) or if you wish the proceeds of a sale to be converted to another currency.
- Instructions to purchase or sell investments will, in the absence of any specific instruction, be implemented so as to obtain the best price available to Old Mutual International. If an instruction has reference to a specific price or price range at which the investment is to be purchased or sold, then this will be taken to be the price before any costs of the purchase or sale.
- If Old Mutual International has cause to reject an instruction, or if we have to defer carrying out an investment instruction whilst ascertaining that it is a permitted investment, then we accept no responsibility for any of the consequences of such rejection or delay.
- Where a fund adviser is appointed please notify us immediately of any changes to your authorised signatory list, regarding the provision of investment dealing instructions.

## INVESTMENT RESTRICTIONS

### CIB/CIP/CRB/IPB/IPBR

- Only Pooled Funds (ie collective investments), as defined in the Policy Terms, can be held.
- Medium Term Notes cannot be held.

### EIA/EIB/Executive Investment Plan/ Executive Investment Portfolio/ERB/IA/SLP

- Equities - Only equities quoted on a recognised Stock Exchange can be held.
- Bonds - Only bonds rated Baa3/BBB- or higher (Moody's/S&P) can normally be held.
- We do not allow certain investments, for example precious metals, private company shares, options, futures, commodities, stocks that are difficult to value or any illiquid investments. These types of investments should not therefore be requested.
- For IA only – Collective Investment Schemes that are authorised or recognised by the Monetary Authority of Singapore (MAS) under sections 286 and 287 of the Singapore Securities and Futures Act (Cap 289) for IA.

### WMP

- At inception, we accept any SFC authorised underlying funds that are listed in the WMP's Investment Choice Brochure available at the time. Please provide the ISIN of the underlying fund which is available in the Brochure at 'Security identifier' on the front page.
- If leaving Hong Kong to reside in another jurisdiction after inception, we accept other underlying assets subject to our criteria and approval.

### All Bonds/Accounts/Policies

- Old Mutual International internal funds are not acceptable.
- Before sending instruction to purchase an asset, it is your responsibility to ensure that you are aware of any charges which will apply to the investment, including initial charges, redemption charges (early or otherwise) ongoing and performance related fees.
- Where an asset deals on an infrequent basis, for example, monthly or quarterly, but is otherwise within the normal permissible range of investments within the bond, Old Mutual International may accept the investment but reserves the right to return the asset in specie as part of any payment made from the bond.
- Old Mutual International reserves the right to decline to deal on certain instruments.
- The EEA or Swiss based investors cannot access any Hong Kong domicile funds according to a European financial directive, the Alternative Investment Fund Managers Directive (AIFMD).