Focusing on:

Advisory dealing

What is advisory dealing?

Advisory dealing means that, if asked, we can comment on individual investments, as and when you require. We do not offer recommendations or manage your portfolio, and responsibility for its continuing suitability remains with you.

Is the Charles Stanley Advisory Dealing service right for me?

Our experience tells us that the people who benefit from our Advisory Dealing service most are those who prefer to take an active interest in the markets and prefer not only to make their own investment decisions, with our advice, but to do so on a stock by stock basis, rather than within the context of a comprehensively managed portfolio.

Designed for your peace of mind

Our focus on clients has endured since the foundation of Charles Stanley in 1792. We continue to stand out because of the time and attention we give to our clients to help them achieve their individual goals.

When you join Charles Stanley, you can expect a personal and ongoing relationship with your highly qualified investment manager, for whom you will have a direct telephone number and email address. All Charles Stanley investment managers are backed by a dedicated support team. You will, of course, be kept fully informed about the progress of your investments on a regular basis.

Our regulatory status

As an independently-owned firm, we are not tied to any products or providers. When advising you on your investments, or managing them for you on your behalf, we consider the whole of the investment market available to retail investors, and where appropriate we will also advise you on direct investments such as shares, gilts and corporate bonds. We can advise on all retail investments, and are not limited to advising solely on products.

Our Advisory Dealing investment service is classed as 'restricted', as it is deigned specifically for investors seeking specialist expertise and advice on individual investments. This service does not extend automatically to advice or management in relation to your overall financial planning arrangements, or to any individual aspect of your financial requirements other than Stockmarket and stockmarket based investments. Clients who seek a broader overview of their financial planning and pension requirements should speak to their existing Financial Adviser, or where appropriate we would of course be delighted to introduce them to the professionally qualified advisers in our Personal Financial Planning division.

Our business is authorised and regulated by the Financial Conduct Authority.

CHARLES STANLEY

Administration

We will provide you with comprehensive records at least every three months (quarterly).

Custody of your investments

The money and investments that we look after for clients are held in trust on your behalf, and we therefore keep your assets ring-fenced from those of Charles Stanley and hold them instead in the name of our nominee, Rock (Nominees) Limited – they remain your property at all times. We hold substantial insurance cover at Lloyd's of London and we are a participant in the Financial Services Compensation Scheme (fscs.org.uk).

Fees and charges

In contrast to our Discretionary and Advisory Managed services, the arrangements for holding your securities, handling the paperwork, providing valuations, online access to your portfolio, financial planning and tax guidance and so on, are charged separately. You can choose your own menu of administration facilities, which are individually priced. Alternatively, in certain circumstances your Investment Manager may feel that a regular administration charge would be more appropriate for you, covering a bundled selection of relevant administration facilities. We aim to combine our service and administration facilities to meet your needs. To achieve this, your Investment Manager will be pleased to discuss your requirements with you.

Detailed terms

We will provide you with a copy of Our Services and Business Terms before you open your account. You can also access this at charles-stanley.co.uk

Other investment management services

We also offer Discretionary Investment Management services, entrust us to make investment decisions on your behalf without consulting you each time). These include:

- a range of model portfolio services, including our Personal Portfolio Services
- our Inheritance Tax Portfolio Service
- specialist Awards and Damages (Court of Protection) investment

For information on these services, please speak to your Charles Stanley contact directly.

020 7739 8200
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Important information

Investors should note that the value of investments, and the income from them, can go down as well as up and that past performance is no guarantee of future returns. You may not recover what you invest.

This document is not intended to constitute financial advice; if you are in any doubt as to its contents you should seek independent financial advice.

Charles Stanley & Co. Limited is a wholly owned subsidiary of Charles Stanley Group PLC, is authorised and regulated by the Financial Conduct Authority and is a member of the London Stock Exchange.

Charles Stanley & Co. Limited is registered in England No. 1903304. Registered office: 25 Luke Street, London, EC2A 4AR.

101.03 August 2019