

FOCUSING ON

Working in partnership with professional advisers

The circle of advice

Charles Stanley work in partnership with our clients' professional advisers, such as lawyers and accountants, so that the collective and overall level of service around a client is extremely high.



We have a well-established tradition of working collegiately with all members of a client's team, maintaining open communication with everyone who is involved.

We always seek to ensure that clients are well advised in all aspects of their affairs and so we often refer business to other professional advisers, and indeed are often asked to make recommendations. This requires us to have not only a thorough understanding of a client's situation, but a good knowledge of the leading practitioners in the legal, accounting, fiduciary and tax communities.

The ability to match the right adviser to the client is crucial, and in many ways we act as an extension of our professional contacts in the way we build the most appropriate team around a client. Equally, this requires us to also deliver an exceptional level of service to those clients whose professional team we are asked to join.

Charles Stanley in numbers

1792

We have been providing our clients with the highest standard of service for over two centuries.

20

Our business is built on quality service, growing our network to more than twenty offices across the UK.

£23BN

We have created financial security for many tens of thousands of people, and our funds under management and administration were £22.8 billion as at 31 December 2018.

Long tradition of serving a range of clients

- Multi-generational families, trusts and settlements
- Arts, culture, music and entertainment professionals
- Clients who develop and manage emerging technologies
- Entrepreneurs and business owners
- Inherited wealth
- Senior professionals and partners
- Landed estates and agricultural clients
- Sports individuals
- Non-UK domiciled / international clients
- Businesses, companies and institutions
- Family offices
- Charities
- Court of Protection and vulnerable clients

The above is for illustrative purposes only and does not comprehensively represent the entire spread of Charles Stanley clients.

Selectively partnering with p



At Charles Stanley we place great importance on making sure the client enjoys peace of mind and protection at every stage of their financial journey. The Charles Stanley commitment – better support for you, better investment solutions for your clients.

Developing a service

Charles Stanley understands that every client is unique with different financial demands and aspirations. As such, we build our service on a bespoke basis, keeping those individual objectives front of mind.

Adapting to changing circumstances

We are committed to providing a solution that works for your client as their priorities change over the years. We recognise that your client will encounter many different life events and as such, we are ready to flex should their requirements change.

In-house research and support

All our Investment Managers have the support of a central team of researchers and specialists. So, not only do you receive the high standards of personal service that defines Charles Stanley, you also get the comfort and reassurance of over 200 years' experience and success.

Risk Profiling

Risk profiling is absolutely integral to the overall investment process. Our services aim to ensure that the client is not exposed to any unnecessary

risk. That's why we have partnered with three of the main risk profiling firms – Dynamic Planner (DT), Defaqto and FinaMetrica – to make the determining of a client's attitude to risk and, consequently their investment selection, as easy as possible. We also use independently developed software (BITA Monitor) which identifies risk in terms of volatility, concentration and tracking error. Every portfolio managed by Charles Stanley is measured and monitored at the end of each day. It enables us to assess loss potential, asset misalignment and portfolio suitability on a daily basis.

Competitive pricing

At Charles Stanley, we think the benefits of financial security shouldn't just be reserved for the privileged few. That's why we are committed to providing access to an appropriate service at every stage of the financial journey.

Financial stability

We are a firm large enough not to have to plan for further corporate change. Of course, nothing is ever guaranteed but stability and the ability to concentrate on investment markets is key. With over 200 years of service provision for clients, Charles Stanley is steeped

A selection of our services for pro

At Charles Stanley, we combine our heritage with a bespoke and dynamic approach to achieving client objectives.



Bespoke investment management

We will build and manage a bespoke investment portfolio on your client's behalf, managing risk and protecting and growing their investments.

Professional service firms



We are independently owned and as such our interest lie with you and your client - not with others. This allows us to access the entire range of solutions in any market, unfettered by internal conflicts of interest.

in tradition. However we have used innovation and technology to move sensibly and intelligently with the times to enhance client service.

All clients have access to:

- ▶ A dedicated Investment Manager and the surrounding team. At Charles Stanley there are no separate 'relationship managers'. The investment professional who builds and manages the portfolio will also manage the relationship with you and your client
- ▶ Our secure online portal 'My Charles Stanley'. Not only does this provide information on the portfolio, it also has a range of other information such as; newsletters, general market data, price alerts, a debit card facility for ISA and Investment account top-ups, and secure two-way messaging directly with your Investment Manager
- ▶ Quarterly investment reports which includes; performance, allocation and an overview of actual costs.
- ▶ Contract notes, statements and a full year-end tax report incorporating Consolidated Tax Voucher

- ▶ Market commentary through our quarterly magazine, InFocus. **InFocus** contains in-depth features and analysis ranging from regular market and economic updates to the more topical social and political stories by contributors from across Charles Stanley,
- ▶ Through our partnerships, sponsorships and memberships with institutions such as Harlequins FC, Marylebone Cricket Club, Country Life, British Rowing, The Royal Academy of Arts and Goodwood, we provide a calendar of events across the UK to welcome our clients to.

Clients with a tailored service have access to:

- ▶ Incorporate existing investments where appropriate
- ▶ Incorporate restricted holdings where appropriate
- ▶ Individual planning to maximise tax allowances where appropriate

Professional advisers: Overview

Dynamic passive portfolios

Our Dynamic Passive Portfolios are designed to offer your clients outstanding investment expertise and a versatile range of low-cost model portfolios.

Financial planning services

We advise on everything from investments to lifestyle protection. When creating a tailored financial plan, we look objectively at your client's plans, applying a long-term view to provide a solution that works for your client as priorities change over the years.

Inheritance Tax Portfolio Service

Designed to mitigate Inheritance Tax by investing in Alternative Investment Market (AIM) stocks that qualify for business relief.

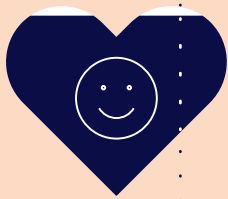
Accountability, clarity and transparency

By serving alongside other professional advisers we aim to jointly achieve accountability, clarity and transparency on behalf of a client, which only works when the 'circle of advice' is maintained.

This aspect of our dedicated service means working as a team with clients and their advisers to refine long-term strategy, to deliver investment performance and to behave with professional integrity while going the extra mile. The longevity of our relationships with clients and their professional advisers has been deeply treasured by Charles Stanley throughout its history.

As testament of our dedicated service to clients and their advisers, our 2018 Private Client Survey yielded significantly high results.

OVERALL SATISFACTION WITH CHARLES STANLEY



95%

of survey respondents

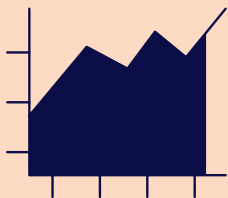
SATISFACTION WITH THEIR INVESTMENT MANAGER



96%

of survey respondents

SATISFACTION WITH THE INVESTMENT PERFORMANCE



90%

of survey respondents



"Without doubt I would recommend them to family and friends"

Client comment

Court of Protection & Personal Injury Mandates

Our Court of Protection team is dedicated to the provision of high quality investment management to Deputies and their advisers for clients of the Court who do not have the capacity to make their own decisions.

Charles Stanley Direct (platform)

With our online investment platform, you could join many thousands of existing clients who are taking advantage of our low cost, easy to use, execution-only investment solution.

Holistic Wealth Management solution

Combining our financial planning and investment management services, we set out to safeguard wealth, generate income and optimise capital growth; ensuring a smooth investment journey across generations.

How you can find out more

For more information about how Charles Stanley can partner with you, please contact Business Development Director; Glenn Baker.



T | 020 7149 6379

E | glenn.baker@charles-stanley.co.uk

www.charles-stanley.co.uk/advisers/professional

Glenn joined Charles Stanley in 2018 as its Business Development Director, responsible for building relationships with lawyers, accountants, professional trustees and investment consultants on behalf of the entire service offering of Charles Stanley.

He was previously a Director at Kleinwort Benson and before this was at Schroders. Working in business development at both for over 10 years in total, he is experienced in building relationships with professional advisers and their underlying client mix, including multi-generational families, landed estates, inherited wealth, agricultural clients, entrepreneurs and business owners, senior professionals, arts and entertainment clients, and non-UK domiciled and international clients. He holds a BA in English, an MA in Reading Postmodernity and a PhD in English Literature from the University of Leicester.

LONDON (HEAD OFFICE)

Charles Stanley & Co. Limited
55 Bishopsgate,
London EC2N 3AS

T | 020 7739 8200

www.charles-stanley.co.uk

The value of investments can fall as well as rise. Investors may get back less than invested. Past performance is not a reliable guide to the future.

Charles Stanley is a trading name of Charles Stanley & Co. Limited, which is authorised and regulated by the Financial Conduct Authority. A member of the London Stock Exchange and a wholly owned subsidiary of Charles Stanley Group PLC. Registered in England number 1903304. Registered office: 55 Bishopsgate, London EC2N 3AS.