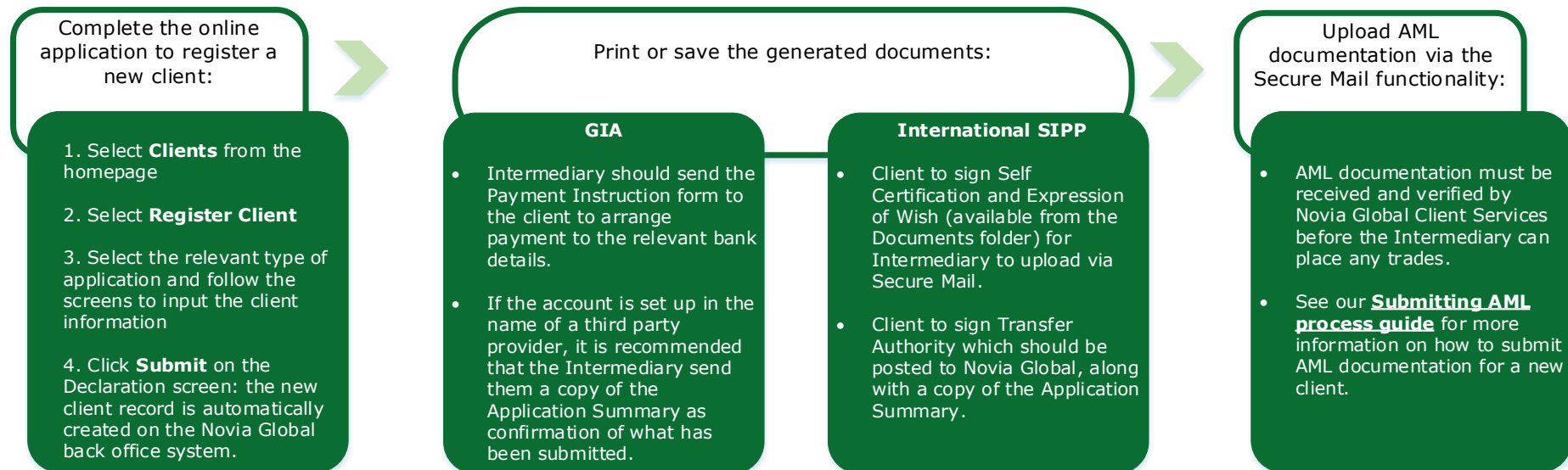


Platform User Guides

Submitting New Business & AML documentation

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Registering a client and submitting new business to the Novia Global platform is a straightforward process comprised of the following main stages:

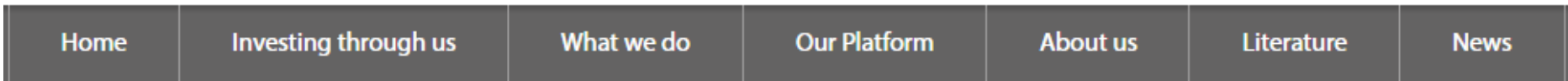


A video tutorial of this process is also available to watch in our online support hub.

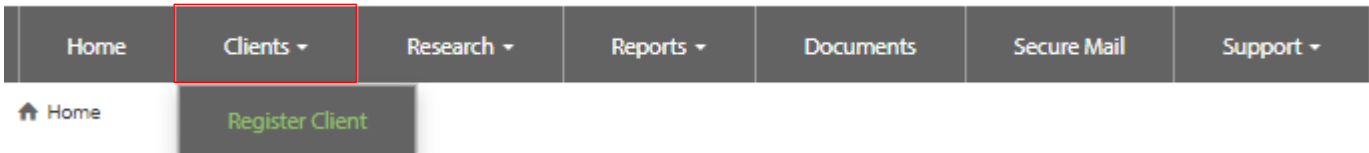
Stage 1 – registering a new client



After initially logging into the platform.



1) Select "Clients / Register Client"



Stage 1 – registering a new client



2) Select Client Type.

Home > Register Client

Client Type

Select Client Type

-- Select a Client Type --	▼
-- Select a Client Type --	
Individual	
Joint	
Trust	
Company	

Stage 1 – registering a new client



3) Complete the client details.

Individual Details		Contact Details	
Investor Type	Retail	Home Phone	Home Phone
Title	Mr	Mobile Phone	Mobile Phone
First Name	Peter	Work Phone	Work Phone
Surname	Smith	Email	psmith@12345.com
Date of Birth	17/07/1954	Address Line 1	Smith Street
Gender	Male	Address Line 2	Address Line 2
Nationality	JERSEY	Address Line 3	Address Line 3
Country of Birth	JERSEY	City	City
Tax Id Number	123456	Postal Code	JE1 1AB
Tax Residency	JERSEY	Country	JERSEY
Occupation	Finance		
Reporting Currency	GBP - United Kingdom		
Bank Account Details		Advice	
BIC Code	XXXX	Advice Given In	UNITED KINGDOM
IBAN	1XXXXXXXX		
Account Name	P Smith		
Account Currency	GBP - United Kingdom		
		MiFID	
		Client Identifier Type	1 - National Passport Number
		As per TIN	<input checked="" type="checkbox"/>
		National Passport Number	123456

Email address required as this generates client online access

Enter client bank account, BIC code & IBAN number

Option to use client details or our system will generate a unique reference

Back

Next

Stage 1 – registering a new client



Product Details

Product	<input type="text" value="Global Investment Account (GBP)"/>
Designation ⓘ	<input type="text" value="Designation"/>
Deposit	<input type="text" value="100,000.00"/>
Source of Wealth	<input type="text" value="Savings From Income"/>

Select product – eg GIA (GBP)
Optional – eg “school fees savings”
Confirm source of wealth details

Back

Next

Charge Type

Client Charge Type	<input type="text" value="Charge Type C"/>
--------------------	--

Initial Charges

Percentage Amount

Initial Charge Value	<input type="text" value="1.00"/>
----------------------	-----------------------------------

Ongoing Charges - Annual

Percentage Amount

Ongoing Annual Charge Value	<input type="text" value="0.75"/>
-----------------------------	-----------------------------------

Enter initial and / or ongoing adviser fee charge – either as % or monetary amount

Back

Next

Stage 1 – registering a new client



4) The application summary details are now displayed for checking.

Individual Details

Investor Type	Retail	Occupation	Finance
Client Type	Individual	Reporting Currency	GBP
Name	Mr Peter Smith	Email	psmith@12345.com
Date of Birth	17/07/1954	Address	Smith Street, Jersey, JE1 1AB, JERSEY
Gender	Male		
Nationality	JERSEY		
Country of Birth	JERSEY		
Tax Id Number	123456		
Tax Residency	JERSEY		

Bank Account Details

BIC Code	LOYDJESXXX
IBAN	*****XXXX
Account Name	P Smith
Account Currency	GBP

Advice

Advice Given In	UNITED KINGDOM
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Stage 1 – registering a new client



5) Tick to confirm application details are correct and accept declaration.

Submission

The Novia Global Terms and Conditions form the basis of the contract between Novia Global Limited and the Applicant(s) to use the Novia Global Wealth Management Service. If the Applicant(s) do not understand any point, they should seek clarification from you, as their adviser.

The Applicant(s) must authorise the application for Novia Global Limited's acceptance of its contractual and regulatory obligations.

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
- 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 and includes the beneficial owners, settlor, trustees, beneficiaries and anyone who you would expect their wishes regarding the investment to be taken into account. For corporates, it includes the corporate entity and all controlling persons.

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 are not US Persons
- 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 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

Stage 2 – print or save the generated documents

6) After submitting the case, the relevant documents are generated.

 Thank you for submitting your application. Please use our [Secure Mail](#) facility to submit the documents needed to support our consideration of the application. Please note that these documents have been saved into your documents area if you require them in the future.

Generated Documents

-  Welcome Letter
 -  Application Summary
 -  Payment Instructions
 -  Charge Schedule
-

Finish

These documents can be opened and printed.

Stage 2 – print or save the generated documents



Welcome Letter

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Mr Smith
Smith Street
Jersey
JE1 1AB
JERSEY

05 August 2020
Novia Global Client ID: 309325

Dear Mr Smith,

Welcome to the Novia Global Wealth Management Service

Thank you for choosing the Novia Global Wealth Management Service as the way to help you manage your investments. Your intermediary now has access to the technology, tools, information and investments designed to give you the service and choices that international clients seek.

As part of our wealth management service, you'll be able to keep in touch with your investments through your internet-enabled devices. To get started, simply follow the easy steps detailed on your welcome email.

To help make sure our service runs smoothly for you, we have also included some important information overleaf about the set-up and management of your account. Please read this, along with the information supplied by your intermediary, and let us know if you have any questions. For your convenience, your documents including access to your terms and conditions with us are now available through your online account.

Our customer services team can be contacted by email on clientservices@novia-global.com, or by telephone on +44(0)1225 517 517.

Yours sincerely

Bill Vasilieff

Bill Vasilieff
Chief Executive Officer

Novia Global Limited is registered in England & Wales. Register Number: 0642249. Registered office, Cambridge House, Henry Street, Bath, BA1 1JS.
Novia Global is authorised and regulated by the Financial Conduct Authority. Register Number: 633663.

1 of 2
GS-WL-10114

Application Summary

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Application Summary

Application

Please check the information enclosed within your application summary and, in the next 30 days, let us know if there are any errors in the information. After 30 days, any compensation you might be entitled to, due to an error related to your application, will be restricted to the value of the loss in this 30 day period. This limitation applies to all communications you receive from us.

Client Details

Name
Client ID
Investor Type
Date of Birth
Gender
Nationality
Country of Birth
Tax ID Number
Tax Residency
Home Phone
Mobile Phone
Work Phone
Email
Address

Product Details

Product Name

Intermediary Charges

Client Charge Type
Initial Charge
Ongoing Charge

Intermediary Details

Intermediary Name

Signature(s)

Mr Peter Smith
Date

Report created by Windward Developer System - www.windward.net

Bank Details

We will pay withdrawals incorrect then please let us know

BIC Code
IBAN
Account Name
Account Currency

Advice

Advice Given In

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GS-AS-01202

Payment Instruction details

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Payment Instructions

Novia Global Client Services
Cambridge House
Henry Street
BATH
BA1 1JS

Application

Expected Payment(s)

Client Name
Client ID
Product Name
Deposit
Date and Time Submitted
Intermediary

The payment currency for this Account is GBP only.

To pay by bank transfer, please pay into the account detailed below. Please make sure your name(s) on the bank transfer is the same as it appears on the application and include the Payment Reference from the table below.

Novia Global Clearing Account GBP

Beneficiary Bank¹
Beneficiary BIC
Beneficiary IBAN
Sort Code²
Account Number³
Intermediary BIC
Payment Reference

In accordance with Anti Money Laundering rules and regulations, where a third party is providing all or part of the initial monies or the application is being made under a power of attorney or equivalent, the identity of these individuals as well as the applicant must be verified and confirmed using the Third Party Payer / Verification of Identity Form.

Report created by Windward Developer System - www.windward.net

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1 of 2
GS-FI-0917

The application summary can be signed by client and retained by the adviser if required. It does not need to be submitted to Novia Global

Stage 2 – print or save the generated documents



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

 Thank you for submitting your application. Please use our [Secure Mail](#) facility to submit the documents needed to support our consideration of the application. Please note that these documents have been saved into your documents area if you require them in the future.

Generated Documents

-  Welcome Letter
-  Application Summary
-  Payment Instructions
-  Charge Schedule

[Finish](#)

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

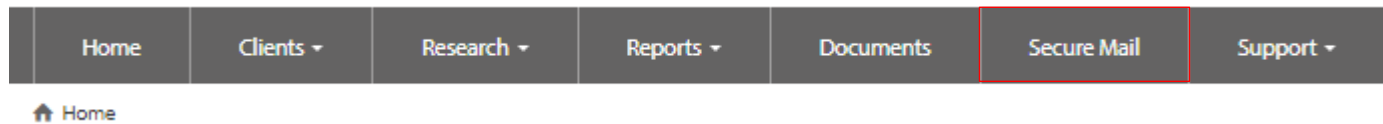
Latest Status Updates

Date	Client Id	Client Name	Description	Status	
05/08/2020	309325	Peter Smith	New Client	In Progress	View

9) Once the client has been created, proceed to upload AML documents when available.

Stage 3 – submitting client AML

10) From the homepage, click “Secure Mail”



11) Enter the client details and select the subject “submit client documents”

Home > Secure Mail

Secure Mail

Welcome to Novia Global Secure Mail. Please use this service to send messages and documents to us.

Full Name	<input type="text" value="Peter Smith"/>
Email	<input type="text" value="Email"/>
Phone Number	<input type="text" value="Phone Number"/>
Subject	<div style="border: 1px solid red; padding: 5px;"><input type="text" value="-- Select a Subject --"/> ▾ <small>This field is required.</small></div>

Stage 3 – submitting client AML



12) Upload the require documents.

Subject: Submit Client Documents

Client identification e.g. passport

Client Type: Individual/Joint

Identification Documentation

All documents must be certified copies. Documents must be certified as being true copies by an appropriately authorised individual, a person appointed in writing by us, a lawyer, a professional registered accountant or an authorised representative of an embassy or consulate of the country who issued the identification document. They must certify 'I hereby confirm that this document is a true copy of the original seen by me' or 'I hereby confirm this to be a true copy of the original document which I have seen and that the photograph is a true likeness of the individual concerned' depending on the type of document being certified.

Note: if you (the intermediary) are directly and individually authorised by your regulatory authority (as in the UK) then you can certify the documents yourself. If you are not individually authorised then the document must be certified by one of the third parties listed above.

Please note that additional documentation can be requested to complete our due diligence obligations

Address Documentation

For verifying address, one of the following documents dated within the last 3 months must be received:

- A utility, rates or council bill
- An extract for the official register of electors
- A state pension or government benefits book
- A tax assessment document
- A bank or bank credit card statement
- Proof of home ownership or a rental agreement or a mortgage statement

Message

Your Message

I confirm I have read the Important Information

Send

Choose file(s) to upload certified ID and proof of address (valid within last 3 months).

Client ID and name details can be copied from the "latest activity" section of the homepage.

Tick declaration and then click "send" to submit the documents.