

Execution-Only Stockbroking: A Summary of Key Information



This is a summary of our execution-only stockbroking services. Please refer to our full *Terms of Business*, which are applicable to your portfolio(s) and are legally binding, available at www.redmayne.co.uk/terms.

Service Information

Redmayne Bentley is a trading name of Redmayne Bentley LLP, a Limited Liability Partnership, authorised and regulated by the Financial Conduct Authority (FCA), 12 Endeavour Square, London E20 1JN.

Redmayne Bentley offers execution-only stockbroking investment services and securities trading as defined by FCA rules. 'Execution-Only' means that each investment decision is yours alone. We cannot provide personal investment advice to execution-only stockbroking clients and, therefore, cannot assess the suitability of any transaction you make. We may provide you with generic information on market events or views on particular sectors and/or investments.

Please contact your Redmayne Bentley office if you wish to discuss our investment management services, or visit www.redmayne.co.uk/information/service-levels for more detail.

We will place all orders in accordance with our Order Execution Policy. This means that when executing orders on your behalf we will take all sufficient steps to achieve the best outcome for you. For more details, see our Order Execution Policy at www.redmayne.co.uk/orderexecution.

Instructions relating to your portfolio(s) and transactions should be made by telephone. Any other method of instructing us could lead to a delay in execution of the deal. We will record the time and date that an instruction is placed. Our records will be conclusive evidence of your instruction. Telephone calls are recorded for regulatory and training purposes. We will only communicate with you in English.

Contract Notes and Statements

We issue contract notes no later than the following working day of the transaction or deal. The contract note contains details of the transaction; you should check this carefully and contact us immediately if the details are incorrect or you do not receive or are unable to view the contract note. We will issue you with a quarterly statement listing the investments held by us on your behalf. Our client portal *myRB* enables you to view online your portfolio valuation, balances, contract notes and statements; please visit: www.myrb.redmayne.co.uk.

Investment Risk

Investing in financial markets always exposes the investor to risk. Stock market investments can fall in value and you may get back less than you originally invested. The level of risk to which you are exposed will vary according to the type of financial instruments you invest in. The generic risks associated with the main types of financial instruments are detailed in our *Guide to Investing*, available at www.redmayne.co.uk/guide.

Protection of Client Assets

We participate in the Financial Services Compensation Scheme (FSCS). Eligible investments are covered by the Compensation Scheme up to £85,000 in total. We hold client money in accordance with FCA client asset rules that ensure segregation and protection of client money. Funds will be held by us in a pooled client deposit account in UK banks or building societies, which are members of the FSCS, and may be placed in accounts with notice periods of, or on deposit for fixed terms of up to, 95 days. We do this in order to better spread the risk of default by the institutions with whom they are held.

We may deposit your money with a third party outside the UK. The legal and regulatory regime may be different from that of the UK and if that institution fails your money may be treated differently than in the UK. In the event of an institution being declared in default we will make a claim on your behalf through any available compensation scheme.

Our Nominee facility is operated by Redmayne (Nominees) Limited. Our standard Nominee service enables us to hold client assets in a pooled portfolio so that your holdings can be pooled with those of our other clients and registered in the name of Redmayne (Nominees) Limited. You will remain the beneficial owner. For more details, visit www.redmayne.co.uk/information/protection-of-client-assets.

Conflicts of Interest

We are committed to treating our clients fairly and acting in their best interests. This includes the identification and either prevention or management of any situation where our own interests, or our duty to any persons for whom we are acting, conflicts with our duty to a client. Details of how we manage these potential conflicts can be found in our *Conflicts of Interest Policy*, available at www.redmayne.co.uk/conflicts or in hard copy on request.

Use of Your Personal Data

Your personal information will be held by Redmayne Bentley LLP. It is important that you understand how the personal information you provide to us will be used. Therefore, we strongly advise that you read our full *Privacy Policy*, available at www.redmayne.co.uk/privacy or in hard copy on request.

Our Charges

All charges are detailed in our *Schedule of Charges*, available at www.redmayne.co.uk/terms or in hard copy on request.

Contact Information

If you have any questions or require more information on any aspect of this guide, please contact us at info@redmayne.co.uk or at:

Redmayne Bentley LLP
3 Wellington Place,
Leeds
LS1 4AP

Alternatively, contact can be made by telephoning 0113 243 6941 or by contacting your Redmayne Bentley office directly.