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Investment Managers & Stockbrokers
Established 1919

Member of the London Stock Exchange

Authorised & Regulated by
the Financial Conduct Authority

Icon Web Portal Guide

ONLINE VALUATION & DEALING FUNCTIONALITY

The Icon service was first launched in 1999 when it initially provided little more than a way for clients to trade equities and access a live valuation of their portfolio. Over the next 18 years we added significant functionality to the system expanding on the information that clients can access about their portfolio and activity on their account.

In January 2018, we moved from the system supported by Crealogix for most of this period, to that hosted by JHC based on their Figaro system. In addition to this introducing new functionality, the key attraction of the revised arrangement, was that the system is based on a single rather than dual database. As such, whereas on the old system, such things as cash postings and corporate actions were not reflected online until the following day, these are now visible to clients in real time as they are posted to their account.

Functionality:-

Portfolio Valuation- provides the ability to view a current valuation of a client's portfolio. In the case of listed securities these are based on a 15-minute delayed market price feed. Other holdings are based on their bid price from the previous day. It is possible to view a portfolio simply as a series of holdings or to include sector weightings based on our stock classifications. The original cost base of each holding is stated, the current price and value, along with the gain/loss on the position in monetary terms and as a percentage of the cost base. The valuation automatically updates to account for any transactions placed on the account. The Portfolio page includes a pie chart to reflect the asset type breakdown of the portfolio. An "Info" button provides a link to the latest market information on any listed securities covered by a Digital Look hosted news service, whilst in the case of funds, this links to our Funds Library hosted funds service.

If a client holds two or more accounts, it is possible for these to be grouped as such allowing connected accounts to be viewed in aggregate.

Historical Valuation- provides the ability to view the portfolio as at the close of business on any specific date.

Cash Statement- allows the client to view all the cash movements on their account over a set time period which includes all settled transactions. In the case of distributions, it is possible to drill down to see the base dividend or interest information. In the case of transactions, it is possible to drill down to see all contract note information relating to the trade. It is also possible to filter out income and capital entries over a period.

Stock History- allows the client to view all trades and corporate events on their account over a set time period to include where appropriate those transactions placed earlier that day. In the case of trades, the user may drill down to see the associated contract note details, whilst for corporate action driven entries, details of the corporate action terms may also be viewed.

Gains/Losses Report- provides the ability for a client to view the gains/losses over a stated period of time to include the current and previous tax years. This only extends to those accounts marked as being liable to capital gains (i.e. does not include ISAs).

Performance- provides a client the ability to review the performance of their portfolio over a selected period. The facility presents this alongside any recorded benchmark, also summarising the extent of cash and stock additions or withdrawals for the period. The client is presented with a note of the top 10



contributors to performance for the selected period, along with the valuation of each holding, at both the selected start and end dates. Performance for set time periods is also displayed.

Documents (mail)- the mechanism through which a client may access their documents. An e-mail notification is issued to inform them that they have a document to view. All communications are delivered through this mechanism, such as contract notes, corporate action notifications, quarterly valuation reports and the annually issued capital gains and tax reports where applicable.

Messages- the mechanism through which a client may access their secure mail.

Research- provides the ability to access a company news service driven by Digital Look's Sharecast service which in addition to providing journalist coverage of company developments, also supports access to the London Stock Exchange's Retail News Service. A fund research facility is supported by Funds Library, providing access to fund group literature such as a fund's Key Investor Information Document (KIID), latest client newsletter and fund accounts and reports. This also extends to provide a detailed analysis of each fund's portfolio along with a comprehensive charting facility.

Unit Trust Terms- this facility provides a client with the ability to review the terms we have in place with over 2000 funds. This can be filtered at a fund group level.

Trades – as Icon is primarily a dealing system, we have concentrated on providing clients with a range of dealing related features to assist them with the placing and management of their trades:-

Clients may place a Buy/Sell/Invest or Raise instruction. Our Limits facility enables them to set a price target for their instruction, which is complimented by a Stop Loss facility.

b) Funds (Unit Trusts, OEICs, Offshore Funds)- a link to the EMX gateway enables us to communicate over 95% of our fund orders to the underlying fund management group within a few seconds of the order being placed. In all other instances the order is passed through for manual execution by our experienced dealing team. Clients may place a Buy/Sell/Invest or Raise instruction.

c) Switch orders- clients may place a switch instruction where a sale is coupled up with as many as 6 purchase orders. See "Switching rules" for the timing details of the purchase order submissions.

Switching Rules- The system considers the projected settlement date for each of the purchases and if these all fall after the latest sales settlement date for fund purchase orders or the same date for crest settled securities, the purchase side trades will be automatically submitted for execution.