

## Understanding our transfer tracker

*Our Transfer Tracker allows you to easily keep track of all transfers into Quilter, meaning you can:*

1

Spend less time making phone calls

2

Immediately provide transfer updates to your clients

3

Access transparent information on the status of a transfer

4

Track transfers for the CRA, ISA, JISA and CIA

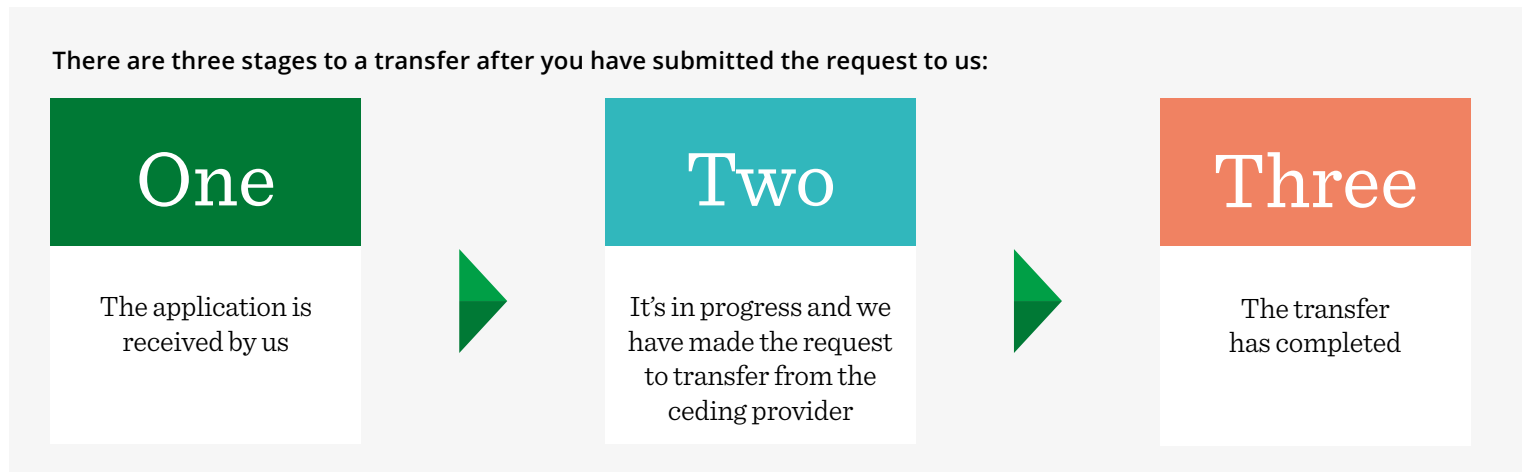
Found under the **'activity'** tab, on the clients dashboard or sub-account page, the Transfer Tracker allows you to view when an ISA, JISA, pension or Collective Investment Account transfer application has been received by us, requested from the ceding provider, and finally completed.

A summary of the total pending cash transfers for all clients within your business can also be found on the business performance screen, which you can access by clicking on the **'business performance'** button from our platform's homepage (see right).



### Transfer stages

Each separate transfer will have its own entry on the **'activity'** tab on a clients dashboard or sub-account page.



The Transfer Tracker will show a summary progress bar, **always coloured orange** (unless the transfer is rejected when it shows as red), showing the latest status of the transfer at that point in time.



The following screens show examples of the various stages of the transfer process, and a few examples of the comments that you may see at different stages of a transfer.

Please note these few examples are not a comprehensive list of all the different comments that may be used.

### Transfer application received

This screen below shows the start of the transfer process, when the application has been received by us.

**It shows:**

- ▶ where the transfer is coming from and the activity status
- ▶ a blue comments box below each transfer, which provides more detail on what stage the transfer is at and if you need to take any action.

The screenshot displays the 'ACTIVITIES' tab in the Transfer Tracker. The interface includes a navigation bar with tabs for 'ACTIVITIES', 'ASSET HOLDINGS', 'TRANSACTIONS', 'MONEY IN / OUT', 'FEES & CHARGES', 'ROLES', and 'DOCUMENTS'. A 'FILTER THE LIST' dropdown is located in the top right. The main table lists activities with columns for 'Activity date', 'Activity type', 'Assigned adviser', 'Activity status', 'Action', and 'Delete'. The first entry is a 'Transfer' activity dated '23/06/2022 14:51' by 'Ann Other', with a status of 'Pending'. Below this entry is a detailed view showing the transfer source as 'Countrywide Assured' (last updated 23 June 2022) and a progress bar with three stages: '1. Pending review of transfer application', '2. Transfer requested by Quilter', and '3. Transfer received'. A blue comment box below the progress bar reads: 'Thank you for your transfer application, which we are now processing. Please remember that if the transfer cannot be carried out electronically, we will need a signed transfer authority.' Below the detailed view, another activity entry is visible: a 'Top Up' activity dated '23/06/2022 14:51' by 'Ann Other' with a status of 'Submitted/Traded'. A third entry is partially visible at the bottom: a 'Transfer' activity dated '22/06/2022 12:26' by 'Ann Other' with a status of 'Pending'.

The screenshot displays the 'ACTIVITIES' tab in the Transfer Tracker. The interface includes a navigation bar with tabs for 'ACTIVITIES', 'ASSET HOLDINGS', 'TRANSACTIONS', 'MONEY IN / OUT', 'FEES & CHARGES', 'ROLES', and 'DOCUMENTS'. A 'FILTER THE LIST' dropdown is located in the top right. The main content area shows a table of activities with columns for 'Activity date', 'Activity type', 'Assigned adviser', 'Activity status', 'Action', and 'Delete'. The first activity is a 'Transfer' on 23/06/2022 at 14:51, assigned to 'Ann Other', with a status of 'Pending'. Below this entry, a detailed view is shown, including a progress bar with three stages: '1. Pending review of transfer application', '2. Transfer requested by Quilter', and '3. Transfer received'. A blue comment box states: 'We have sent a request to the current provider and we're waiting for their response.' A 'TRANSFER HISTORY' button is visible next to the activity. Below this, another activity is shown: a 'Top Up' on 23/06/2022 at 14:51, assigned to 'Ann Other', with a status of 'Submitted/Traded', and a 'VIEW' button. The bottom activity is another 'Transfer' on 22/06/2022 at 12:26, assigned to 'Ann Other', with a status of 'Pending', and a 'TRANSFER HISTORY' button.

### Transfer application in progress

This screen shows the second stage of the transfer process.

- ▶ The orange status bar shows the transfer has been requested by Quilter.
- ▶ The blue comments box shows that we have sent a request to the current provider and we're waiting for their response.
- ▶ Clicking on the 'Transfer History' button will then show you an additional level of detail, which you can see an example of on the next page.

**Tip:** We will typically wait 25 working days before chasing a manual cash transfer or re-registration, after which any update will be provided on the Transfer Tracker.

Quilter

System admin | Remuneration statement  
Dummy User876440 | Example Wealth Management

Clients > Rachel Tester > CRA Uncrystallised > Transfer History

Transfer History VIEW FUNDS

Date	Status	Notes
04/07/2022	Asset Received	This asset has been received and will become available on completion of the transfer
04/07/2022	Electronic - Transfer Requested	We have sent an electronic request to the current provider and we're waiting for their response.

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## Transfer History

On this screen you will be able to see a full audit history of the transfer and the activities that have taken place. This will include:

- ▶ Details of when a transfer request was made.
- ▶ When a transfer has been chased and any associated notes that have been added.
- ▶ A note to say if the transfer has been received or cancelled.

This example is for a transfer that is being completed by re-registration. Clicking the 'View Funds' button in the top right of the screen, will show you further information on the assets being re-registered.

Quilter

System admin | Remuneration statement  
Dummy User876440 | Example Wealth Management

Clients > steve taylor > CIA > Transfer History > View Funds

Re-registration transfer history Reference - 1011423

SHARE-CLASS CONVERSION

What's this?

Instrument	Fund code	Date requested	Status	Offshore Fund Indicator	Quantity	Fund Price	Value of fund	Share Class Conversion
<a href="#">REREG BlackRock Corporate Bond Acc -U</a>	00PB.GB	04/07/2022	Pending	No	200	-	-	✓
<a href="#">Jupiter Financial Opportunities Acc -U</a>	09PR.GB	04/07/2022	Pending	No	500	-	-	✗
<a href="#">Fidelity Multi Asset Allocator Defensive Acc -U</a>	DDT9.GB	04/07/2022	Complete	No	400	1.34	536.40	✗
<a href="#">HSBC GIF Global Emerging Markets Equity Acc -U</a>	F4GC.LU	04/07/2022	Pending	Yes	300	-	-	✗

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## Re-registration Transfer History

Here you can see an example of a re-registration involving four funds.

### This screen shows:

- ▶ Details of when the re-registration was requested and the status of each fund.
- ▶ It includes details of whether the fund is offshore or not. An offshore fund can sometimes take longer to re-register due to additional administrative requirements.
- ▶ Where assets are received you also see a fund price and value.
- ▶ You can find out more information on the history of the transfer by clicking on the asset name.

Where Quilter offer a better value share class, we will convert clients to the new share class. You can find details of this in the column on the right and by clicking on the 'Share-class conversion' button. More details are on page 8.

The screenshot shows the Quilter system interface. At the top left is the Quilter logo. At the top right, it displays 'System admin | Remuneration statement' and 'Dummy User:876440 | Example Wealth Management'. Below the header, a breadcrumb trail reads: 'Clients > Rachel Tester > CRA Uncrystallised > Transfer History > View Funds > Fund History'. The main heading is 'REREG JPM Global Equity Income (C Net Share Class) Inc -U Re-registration detail'. On the left side, there is a navigation menu with icons and labels for 'HOME', 'CLIENTS', 'PORTFOLIOS', and 'ASSETS'. The main content area contains a table with the following data:

Date	Status	Notes
04/07/2022	Asset Received	This asset has been received and will become available on completion of the transfer

### Re-registration of asset complete

For ISA and Collective Investment Accounts, when an asset has been re-registered it will show as 'complete' and you will see the balance on your client's account.

If you are reviewing a transfer to the Collective Retirement Account then assets that have been re-registered will show as 'asset received.' The difference between the descriptions is because all assets must be re-registered under a pension before they can be credited to the account itself. So, although a fund has been 'received', we may be awaiting receipt of other funds before we can add all the assets to your client's pension.



The screenshot displays the Quilter system interface. At the top left is the Quilter logo. At the top right, it shows the user role 'System admin' and the current page 'Remuneration statement', with a sub-user 'Dummy User876440' and 'Example Wealth Management'. Below the header, a breadcrumb trail reads 'Clients > steve taylor > CIA > Transfer History > View Funds > Conversion History'. The main heading is 'Re-registration share-class conversion Reference - 1011423'. A table with six columns is shown: 'Source instrument', 'Source code', 'Conversion', 'Target instrument', 'Target instrument code', and 'Target instrument share class'. The table contains one row of data. On the left side of the interface, there is a vertical navigation menu with icons and labels for 'HOME', 'CLIENTS', 'PORTFOLIOS', and 'ASSETS'.

Source instrument	Source code	Conversion	Target instrument	Target instrument code	Target instrument share class
REREG BlackRock Corporate Bond Acc -U	00PB.GB	YES	BlackRock Corporate Bond Acc -U2	BK1PJT5	Super-clean

### Re-registration share class conversion

On this screen you will see details of the asset being converted and the target instrument that the fund is converting to.



ACCOUNTS <b>ACTIVITIES</b> ASSET HOLDINGS ROLES DOCUMENTS						
FILTER THE LIST <span>▼</span>						
Activity date	Activity type	Reference number	Assigned adviser	Activity status <span>📌</span>	Action	Delete
<span>+</span> 29/06/2022 12:10	Transfer	CRA AC1234567-001	Ann Other	Complete	<b>TRANSFER HISTORY</b>	
29/06/2022 12:10	Top Up	CRA AC1234567-002	Ann Other	Submitted/Traded	<b>VIEW</b>	
<span>-</span> 28/06/2022 16:15	Transfer	CRA AC1234567-003	Ann Other	Complete	<b>TRANSFER HISTORY</b>	

Transferring from: AXA Elevate  
Last Updated: 29 June 2022

📌 This transfer is now complete.

### Completed transfer

This example shows a completed transfer and that the cash proceeds are available for investment.

- ▶ The orange status bar shows as fully complete as does the activity status.
- ▶ The blue comment box below the status bar also confirms the transfer is complete.

<span style="background-color: #006633; color: white; padding: 2px 5px;">ACTIVITIES</span> <span style="padding: 2px 5px;">ASSET HOLDINGS</span> <span style="padding: 2px 5px;">TRANSACTIONS</span> <span style="padding: 2px 5px;">MONEY IN / OUT</span> <span style="padding: 2px 5px;">FEES &amp; CHARGES</span> <span style="padding: 2px 5px;">ROLES</span> <span style="padding: 2px 5px;">DOCUMENTS</span>						
						FILTER THE LIST <span>▼</span>
Activity date	Activity type	Assigned adviser	Activity status <span>?</span>	Action	Delete	
<span>⊖</span> 23/06/2022 14:51	Transfer	Ann Other	Rejected	<span style="border: 1px solid black; padding: 2px 5px;">TRANSFER HISTORY</span>		
<p>Transferring from: Quilter Last Updated: 23 June 2022</p> <div style="border: 2px solid red; height: 10px; width: 100%;"></div> <p>1. Pending review of transfer application      2. Transfer requested by Quilter      3. Transfer received</p> <div style="background-color: #e0f2f1; padding: 10px; border: 1px solid #ccc; margin-top: 10px;"> <p><span style="color: #006633; font-weight: bold; font-size: 1.2em;">i</span> There is a query on your transfer which we are working to resolve, we will contact you should your input be required.</p> </div>						
23/06/2022 14:51	Top Up	Ann Other	Submitted/Traded	<span style="border: 1px solid black; padding: 2px 5px;">VIEW</span>		
<span>⊕</span> 22/06/2022 12:26	Transfer	Ann Other	Pending	<span style="border: 1px solid black; padding: 2px 5px;">TRANSFER HISTORY</span>		

### Transfer rejected

In the rare event a transfer is rejected you will receive details from us about why it's been rejected and what action you need to take.

- ▶ The progress status bar is red and the activity status shows **'rejected'**.
- ▶ This is the only time the status bar will show as any colour other than orange.
- ▶ The blue comment box details what action is needed to progress the transfer.

**Please note that** for ISA and CIA transfers involving re-registration, the Transfer Tracker may update to complete as soon as the first asset is received. Additional notes will be provided to confirm the status of the remaining assets and confirmation will be provided when all assets have been received.

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*Please be aware that calls and electronic communications may be recorded for monitoring, regulatory and training purposes and records are available for at least five years.*

*Quilter is the trading name of Quilter Investment Platform Limited which provides an Individual Savings Account (ISA), Junior ISA (JISA) and Collective Investment Account (CIA) and Quilter Life & Pensions Limited which provides a Collective Retirement Account (CRA) and Collective Investment Bond (CIB).*

*Quilter Investment Platform Limited and Quilter Life & Pensions Limited are registered in England and Wales under numbers 1680071 and 4163431 respectively.*

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