

Intermediary Services

Big
Ideas

Small
Details



Canaccord Genuity
Wealth Management
is an award winning
wealth manager
committed to
providing investors
with a broad array
of investment
opportunities.

Focused Wealth Management

Drawing upon our global reach we focus on both the bigger picture and the finer details in our drive to meet the individual needs of investors in today's ever changing world.

Our attention to building long-term relationships helps us understand the needs of our intermediary clients providing the peace of mind that their clients' investments are being appropriately managed.

We are tireless in our pursuit of our clients' success and, to this end we are constantly advancing, evolving, and creating value that makes dreams possible.

“ We have a long history of working with third party intermediaries and pride ourselves on being able to offer a range of investment solutions leveraging our international investment expertise. ”

Making Intermediaries A Priority

Our focus on intermediaries ensures our services have the flexibility to suit all requirements, from outsourced discretionary portfolio management to execution-only stockbroking services.

Trust Companies, Lawyers, Accountants, IFAs and other third party introducers can access our services directly or through third party platforms. Our goal is to work with you to help you match or exceed your clients' expectations.

“The range of wealth management services we offer intermediaries and the expertise that we have developed all stem from four key pillars. By remaining focused on these, we strive to deliver appropriate market-leading wealth management solutions to all our valued clients.”

Pillars

Global Perspectives

Our global reach and perspective provides access and insight which helps us uncover investment opportunities for our international client base. Our global network helps us maintain our investment expertise in today's constantly changing, inter-connected world.

Always Advancing

Whilst the service we offer is based around traditional values, we employ the latest thinking in wealth management. We take a decidedly forward looking view of the ever-changing financial world enabling us to deliver sound investment opportunities for our clients worldwide.

Client Focused

The service we deliver to our clients is at the heart of everything we do. Due to the bespoke nature of many of our services we require a detailed understanding of our clients' needs and goals which helps us retain our focus on traditional client servicing values, and leads us to develop meaningful, long term relationships.

Impartiality

Our approach is founded upon providing impartial advice and thought. We are not tied to any one product provider and, thanks to this impartiality we are able to select stocks, bonds and funds on a best in class basis, helping us to maintain our position as pioneers in multi-manager and multi-asset investing.

“Our investment services are built upon our long-standing, multi-asset class expertise and maintain a focus on the individual needs of our clients.”

Intermediary Services

Stockbroking

Our trading and dealing capabilities combine fast and responsive execution with a focus on excellent service. Our stockbroking team can provide a host of services for many different markets, drawing upon our extensive, global in-house research capabilities.

The depth of product knowledge and quality of service helps us stand out from our competitors.

In addition to offering international dealing across most geographies and investment exchanges, we participate in leading IPOs which complements the high quality and wide coverage of our research.

Our approach to our clients is simple: we listen to your requirements, understand your circumstances and work together to find the best investment opportunities.

Portfolio Management

Building and managing a portfolio requires a range of resources, including insights into markets locally and internationally, asset allocation and a broad array of investment choices.

Specifically tailored to meet your investment objectives, the portfolio management service draws upon a sophisticated investment process and a philosophy founded upon three central principles:

1. We aim to grow our clients' wealth, but with a focus on capital preservation.
2. We manage portfolios more efficiently than ever, in order to maximise risk-adjusted returns.
3. We believe that asset allocation is the main driver of investment returns.

Discretionary Service

We manage discretionary portfolios based on individual stocks and bonds and alternative asset classes, or by investing exclusively into third party collective investment funds. This discretionary service is available via segregated, bespoke accounts, a series of risk-rated portfolios or via our range of in-house, multi-manager investment funds.

Advisory Service

We also offer an advisory portfolio management service whereby we will ascertain your investment objectives and risk parameters and tailor a portfolio to meet your specific requirements. We will advise you of any changes that we think are appropriate and will have ongoing responsibility for the portfolio, however no transaction will be undertaken without your authority.

A key aspect of our portfolio management capabilities is our broad range of expertise. Like many wealth managers we have a core competency in the UK equity universe of portfolios, however, thanks to our global perspectives and forward looking approach, we can offer clients portfolio options to help meet today's challenging markets and investment objectives.

Complementary Investment Services

Thanks to our broad, international client base, we have developed other services designed to complement and enhance our core investment proposition whilst managing risk:

Cash Management

A bespoke offering designed to provide clients with proactive management for their cash investments. We aim to provide a potentially superior rate of return over bank rates across a diversified array of banking institutions with a much reduced administration burden and improved risk management.

Investment Funds

We manage a range of investment funds designed to mirror our wealth management services, from multi-manager funds to specialist, single manager funds. With two fund families we can offer these unitised products within a regulated investment vehicle.

Pension Fund Management

We manage pension funds on behalf of institutions who wish to leverage our international investment perspectives, combined with our third party fund selection experience.

“Designed to ensure our investment views are consistent with your, and your clients’ investment objective, our risk framework is fully integrated into the portfolio construction process with the aim of keeping downside risk to a minimum.”

Portfolio Risk Management

Managing clients' risk in today's world is more challenging than ever as the traditional approach to portfolio risk management, diversification across a range of asset classes, is no longer sufficient. As the world has become ever more inter-connected, different asset classes are increasingly behaving in a more similar, or correlated, fashion resulting in less diversified, or higher risk, portfolios.

Our solution to this problem challenges conventional thinking about portfolio diversification and recognises that markets behave differently to each other when in different states, resulting in a bold approach to portfolio diversification.

Whilst we believe that asset allocation is the main driver of investment returns, this framework helps us stay true to our investment philosophy; to grow our clients' wealth, but with a focus on capital preservation.

The value of investments and the income from them can go down as well as up and investors may not get back the amount originally invested.

“ Our research capabilities are an element of our wealth management services that provide an advantage for our clients. ”

A Clear Advantage

Quest™, our proprietary stock research tool, is a key input into our stock selection process which helps us identify stocks for our Approved Stock List. Developed to make professional investors' lives easier, Quest™ is innovative, insightful and impartial.

Usually only licensed to institutional fund managers, clients of Canaccord Genuity Wealth Management gain the benefits of Quest™ in order to take a clear-sighted view of corporate performance in a market place where conflicts of interest are endemic.

Third party fund selection has long been a core competency of our wealth management proposition, with funds being used for specialist and geographic areas where we recognise that superior expertise and knowledge is required. Our edge here comes from the strength, depth and experience of our Fund Selection process.

Thanks to our impartiality, our bottom-up fund selection process can seek out managers from the entire universe of Funds. We have no ties with any particular group which means that we are free to purchase the very best Funds for our portfolios and, importantly, we are not hindered from selling them, should the situation change.

In-House Administration Service

For those intermediaries who want to invest with us directly, we understand that ease of administration is a key factor in the choice of wealth manager. As such we invest an enormous amount of time and effort in assuring our clients are serviced as they would expect to be.

All of our portfolio administration and operations are carried out in-house through our operations centre in the Channel Islands. By having this service in-house, we control the quality of our processes, ensuring trades are settled on time and problems are resolved face-to-face rather than through a third party.

Custody Service

To provide greater efficiency and ease of administration, we can offer you a full custody service. This ensures the following protections are in place:

- All assets are fully 'ring fenced' and do not form part of our balance sheet.
- All cash deposits are held through quality banks with appropriate creditworthiness, as rated by a combination of Moody's, Fitch and S&P.
- Where assets are held with third-party custody agents, we regularly monitor their credit worthiness and performance.
- We are subject to regular external and internal compliance and audit checks.

On-Line Valuations

Being flexible in our reporting standards is an important aspect of providing top of the range client servicing. Our custom built, on-line tool is designed to provide a comprehensive valuation of your clients' portfolios, with all the functionality and security you would expect:

- Portfolio valuations detailing a breakdown of current value and income.
- Transaction history for current holdings, contract details and previous cash transactions.
- Income reports.
- The ability to send and receive secure messages.
- The ability to produce consolidated valuations of client portfolios.
- Easy to use and navigate.

Key Strengths

Client Focus

Putting our clients at the centre of everything we do ensures we provide appropriate wealth solutions. Coupled with transparent fees and charges, our business is built around our clients.

Impartiality

Being impartial in our selection of investment tools allows us to select bonds, stocks and funds on a best in class basis meaning we are able to truly deliver upon our clients' needs.

Forward Looking

Taking a decidedly forward looking view of the ever-changing financial world enables us to deliver sound investment opportunities for our clients worldwide.

Award Winning

We are proud winners of multiple client and peer-voted industry awards for our range of services.

Established Research

Two key aspects that help differentiate us from our peers and provide a distinct advantage for your clients are the proprietary stock valuation tool, Quest™ and our long standing expertise in third party fund selection.

Global Perspectives

Our global reach provides access and insight which helps us uncover investment opportunities for our international client base.

Accolades and Awards

Portfolio Management

Defaqto 5 Star Rating

Discretionary Portfolio Management Service 2013

Incisive Media Gold Standard

Discretionary Portfolio Management – 2012 Winner

Money Marketing Financial Services Awards

Best Discretionary Adviser – 2012 Winner

Defaqto 5 Star Rating

Discretionary Portfolio Management Service 2012

Daily Telegraph Wealth Management Awards

Best Discretionary Service – 2010 Winner

Stockbroking

City of London Wealth Management Awards

Best Advisory Service – 2013 Winner

City of London Wealth Management Awards

Best Advisory Service – 2012 Winner

Shares Magazine Awards

Best Advisory Stockbroker – 2011 Winner

Financial Times/Investors Chronicle Investment Awards

Best Stockbroker for Bonds – 2011 Winner

Financial Times/Investors Chronicle Investment Awards

Advisory Stockbroker of the Year – 2010 Winner

Wealth Management

Citywealth Offshore Awards

UK Offshore Investment Manager of the Year – 2012 Winner

Spear's Wealth Management Awards

Asset Manager of the Year for High Net Worths – 2011 Winner

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Important Disclosures

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Investment involves risk. The investments discussed in this document may not be suitable for all investors. Investors should make their own investment decisions based upon their own financial objectives and financial resources and, if in any doubt, should seek advice from an investment advisor. Past performance is not necessarily a guide to future performance. The value of investments and the income from them can go down as well as up and investors may not get back the amount originally invested.

Where investment is made in currencies other than the investor's base currency, the value of those investments, and any income from them, will be affected by movements in exchange rates. This effect may be unfavourable as well as favourable. Levels and bases for taxation may change.

The tax treatment of all investments depends upon individual circumstances and may be subject to change. Investors should discuss their financial arrangements with their own tax advisor as the value of any tax reliefs available is subject to individual circumstances.

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