

# Supplementary Terms to our Standard Terms of Business

You have been introduced to Canaccord Genuity Wealth Limited ("CGWL") by your Financial Adviser for the provision of certain investment services which are complementary to those services provided to you by the Financial Adviser. The purpose of these supplementary terms ("Terms") is to confirm the scope of the service(s) provided to you by CGWL.

In respect of your account(s) with us, CGWL shall provide dealing, execution, settlement and custody services together with such Discretionary Portfolio Management as your Financial Adviser may request from time to time in accordance with the account opening form and CGWL's updated standard Terms of Business, a copy of which is enclosed ("the Standard Terms").

Where the contents of these Terms are inconsistent with the Standard Terms, these Terms shall prevail.

- CGWL's services will be provided to you on the basis of a recommendation made to you by your Financial Adviser after your financial Adviser has undertaken all legal and regulatory requirements including those of assessing the suitability of the service for you. Your Financial Adviser is responsible for reviewing the ongoing suitability of CGWL and the services it provides for meeting your financial needs.
- CGWL's responsibility is limited to portfolio management services solely in respect of the cash and investments held in and/or recorded in your account with CGWL. For services including advice relating to assets you hold elsewhere, or relating to any other personal financial needs you should consult directly with your Financial Adviser.
- For discretionary portfolio management services, your Financial Adviser has sole responsibility for the assessment of your appetite for risk for the purposes of determining the suitability of that risk profile model's parameters for you. For the avoidance of doubt, we have no responsibility for the assessment of your appetite for risk either on an initial or ongoing basis, but we do undertake to ensure the appropriateness of the underlying allocation of assets within the selected risk profile parameters, in general terms and in accordance with the guidance offered by your Financial Adviser. Our overall responsibility therefore, is to manage your discretionary portfolio within the selected risk profile parameters.
- Where you wish to use the services under this Agreement but have less than £250,000 to invest, CGWL may exercise its discretion by investing your assets in a fund (where available) which will track the performance of the model portfolio that is in accordance with your selected risk profile. In such cases, your Financial Adviser acknowledges that they will be required to confirm that your risk profile parameters are and continue to be suitable in light of your investment objectives and attitude to risk for the purposes of determining whether the relevant fund is and continues to be suitable.
- CGWL is not responsible for any advice given by your Financial Adviser (including but not limited to advice concerning the purchase or sale of any investment product, pension or pension product or insurance product, notwithstanding that CGWL may advise on or manage the underlying investments of such products).
- To the extent that CGWL agrees with your Financial Adviser to facilitate the collection of fees ("Adviser Charge") from you on behalf of your Financial Adviser, we will not provide such facilitation until you have provided CGWL with an express instruction authorising the payment of the fee, such instruction to include the amount of the fees, the CGWL account to be debited and the name of the Financial Adviser to whom it shall be paid. We reserve the right, in our absolute discretion, to cease the facilitation of the Adviser Charge subject to us notifying you in writing of that decision.
- If you appoint another third party Adviser or you otherwise wish to cease to pay the Adviser Charge please notify us in writing.
- CGWL will not monitor whether your Financial Adviser adheres to guidelines (whether compulsory or otherwise) and regulations of regulatory bodies they may be subject to, or to other regulations which CGWL itself would ordinarily have to adhere to if it managed and/or advised you in respect of your assets in the absence of your Financial Adviser.
- Upon receipt of a written, email, or verbal request from any officer or employee of your Financial Adviser, CGWL shall provide to your Financial Adviser such information and documentation relating to your account (including but not limited to account valuations) as may be requested from time to time. You acknowledge and agree that all communications between CGWL and any officer or employee of your Financial Adviser shall be acted upon by CGWL in accordance with CGWL's Standard Terms as amended from time to time.
- We shall accept instructions and information provided to us by your Financial Adviser in respect of your account and the services provided to you as if those instructions and information had been provided to us by you.