

## Our Stockbroking Service at a glance

At Canaccord Genuity Wealth Management (CGWM), we recognise the increased demand from clients for innovative and sophisticated investment services, which is why we are committed to providing a high-quality stockbroking service. If you take an active interest in financial markets and wish to make your own investment decisions, this service is ideal.

We can help you in two ways, depending on how involved you want to be:

- Our execution-only service means we take and execute your orders but do not offer advice
- With our advisory stockbroking service, we give you individually tailored guidance, which includes ideas about companies we think will offer solid investment opportunities.

All our clients benefit from having direct access to a qualified and experienced team of investment professionals who are close to the market and can draw on a wide range of in-house and external research. We also have access to the latest market information systems and dealing technology, so we can respond to your requests immediately and execute your orders with skill and efficiency.

### Important information

**Investment involves risk. The value of investments and the income from them can go down as well as up and you may not get back the amount originally invested. The investments discussed in this document may not be suitable for all investors.**

## What investments can I trade in?

Our award-winning service allows you to trade any of the following investments:

- UK equities, including smaller companies
- International equities
- Fixed interest securities
- Preference shares and PIBS
- Investment trusts
- Offshore funds
- Unit trusts/OEICs
- Exchange traded funds
- Foreign exchange
- Structured products

## How does the advisory stockbroking service work?

Before we engage in an advisory relationship, we carry out a full suitability assessment. Getting to know you in this way ensures that we fully understand your personal objectives and attitude to risk, as well as your level of investment knowledge and experience. Armed with this important information, our Stockbrokers can ensure that advice is appropriately tailored to your individual needs and circumstances for every single transaction. We use a third-party risk analysis tool to add an extra layer of governance to our risk management framework.

Our aim is to build a lasting relationship with you, based on trust and integrity, and founded on providing quality investment ideas. Periodically, we will help you assess your investments to make sure they are still suitable for you.

## How do you select investments for me?

Our advice is based on top-quality multi-asset research by our industry-leading teams. We use a committee-based approach to drive our investment process, with each committee focusing on a specific asset class. Our investment process comprises around 90 experienced individuals drawn from around the group who monitor and oversee our approved lists. They use our latest in-house research as well as other trustworthy external research.

We also have the competitive advantage of using Quest<sup>®</sup>, Canaccord Genuity's proprietary analytical tool, which is only licensed to institutional investors. Quest<sup>®</sup> acts as both a valuation and a risk management tool across 14,000 global stocks and helps to identify companies that are more likely to offer attractive cash returns for investors. This enables us to take a clear-sighted view of corporate performance in a marketplace where subjectivity is inherent.

With its focus on cash flow returns, rather than published earnings numbers, Quest<sup>®</sup> is an innovative, insightful and impartial tool for analysing corporate performance and valuation.

## How will my Stockbroker provide me with ideas?

Based on our research – and your individual objectives and circumstances – your personal Stockbroker will send you suitable investment ideas on an ongoing basis. As an advisory stockbroking service client you will also receive our Intelligent Investing newsletter every other month. It includes our views about what's happening in the markets, and our analysis of suggested equity and investment trust stock picks. We offer thought-provoking, sometimes controversial, ideas that help us to stand out from the crowd.

## How does the execution-only stockbroking service work?

With our execution-only service, we simply take and execute your orders. Our continued investment in technology means we operate a straight-through processing platform with seamless settlement for both our nominee service and third-party custodians.

Our experienced dealers are familiar with the intricacies of trading a wide range of financial assets across many different markets. Large or sophisticated orders are skilfully supported by our institutional trading desks and we have direct links to a variety of multilateral trading facilities.

## Do you offer any specialist stockbroking services?

Our specialist stockbroking services include:

**Active equity trading** – this advisory service identifies and takes advantage of any opportunities that arise from times of market volatility. We'll work with you to pinpoint opportunities in the equity markets that could help you achieve your investment objectives.

**Fixed income trading** – the Canaccord Genuity Group employs several industry-leading teams specialising in fixed income trading, such as niche fixed interest securities.

**Institutional dealing** – we can provide institutions with anonymous trade execution on an agency-only model and have full access to a range of third-party algorithms. As part of the Canaccord Genuity Group we also have access to meaningful UK small-cap, mid-cap and retail liquidity.

For our institutional clients, we offer FIX (Financial Information eXchange) connectivity, which lets you route orders directly to our trading desk from your own portfolio management, order management or trading platform.

**Lower counterparty costs** – through our relationship with our capital markets division, Canaccord Genuity Limited, we are able to offer clients extremely competitive rates on a variety of stock transactions.

## How can I check my investments?

All our stockbroking clients can receive a clearly laid out valuation report each quarter, with a market commentary from our Chief Investment Officer also included for advisory clients. You can choose whether we send this by post or online, whichever suits you best.

You can also view your account online at any time, no matter where you are, through our easy-to-use Wealth Online portal and app, including your investments, statements and historical valuations.

## About Canaccord Genuity Wealth Management

CGWM is a specialist firm, focused solely on wealth management. We have successfully grown our business and reputation over the years. Now, in the UK and Europe, our investment professionals manage and administer over £33.3bn of assets (as at 30 June 2022).

We have enough size and scale to deliver experience and expertise, combined with a highly developed and up-to-date technical infrastructure. This provides efficient and effective investment management, as well as economies of scale that allow us to be price competitive. At the same time we are small enough to provide a personal relationship-led service with direct access to our people and knowledge.

We are part of Canaccord Genuity Group Inc., a publicly traded company under the symbol CF on the Toronto Stock Exchange. Established in 1950, it is now a leading global financial services firm, operating in wealth management and capital markets.

The Group has offices in 10 countries, including wealth management offices in the UK, Channel Islands, Isle of Man, Canada and Australia. Canaccord Genuity, our international capital markets division, operates in North America, the UK and Europe, Asia, Australia and the Middle East.

# How can we help?

If you're actively interested in financial markets and feel confident about making your own investment decisions, please contact us about our stockbroking service. We will be delighted to answer your questions and provide more details of what we can do for you.

## Jersey

PO Box 3  
37 Esplanade  
St Helier  
Jersey  
JE4 0XQ

## Guernsey

Trafalgar Court  
Admiral Park  
St Peter Port  
Guernsey  
GY1 2JA

## Isle of Man

55 Athol Street  
Douglas  
Isle of Man  
IM1 1LA

T: +44 1534 708 090

T: +44 1481 733 900

T: +44 1624 690 100

E: [CGWM\\_international@canaccord.com](mailto:CGWM_international@canaccord.com)

[canaccordgenuity.com/wealth-management-uk](http://canaccordgenuity.com/wealth-management-uk)

## Important information

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

The investments described in this brochure 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 adviser.

Any tax benefits depend upon the investor's individual circumstances and clients should discuss their financial arrangements with their own tax adviser before investing. The levels and bases of taxation may be subject to change in the future.

This document is for information only and is not to be construed as a solicitation or an offer to purchase or sell investments or related financial instruments. This has no regard for the specific investment objectives, financial situation or needs of any specific investor.

Quest® is used under licence and with permission of Canaccord Genuity Ltd. Quest® is at this stage registered in the UK and in the US, and common law trade mark rights are asserted in other jurisdictions.

CGWM does not make any warranties, expressed or implied, that the products, securities or services mentioned are available in your jurisdiction. Accordingly, if it is prohibited to advertise or make the products, securities or services available in your jurisdiction, or to you (by reason of nationality, residence or otherwise) then such products, securities or services are not directed at you.

Canaccord Genuity Wealth Management (CGWM) is the trading name of Canaccord Genuity Wealth (International) Limited (CGWIL), a subsidiary of Canaccord Genuity Group Inc.

CGWIL is licensed and regulated by the Guernsey Financial Services Commission, the Isle of Man Financial Services Authority and the Jersey Financial Services Commission. CGWIL is registered in Guernsey no. 22761 and has its registered office at Trafalgar Court, Admiral Park, St. Peter Port, GY1 2JA.

CGWIL is a member of the London Stock Exchange.

The products and services offered by CGWM in the UK may differ from those offered by other Canaccord Genuity Group Inc. offices.