



WealthTek

Execution Only Share Sales
Service Application Form

Contact Details:

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WealthTek Execution Only Share Sales Service Application Form

OVERVIEW

This service is for the exclusive use of Clients of WealthTek LLP (in Investment Bank Special Administration) that have been subject to the Distribution Plan prepared by the Joint Administrators in accordance with the requirements of Rule 144 of Part 5 of the Investment Bank Special Administration Regulations 2011 which provides for a return of all custody assets, client money and corporate actions assets held by WealthTek LLP.

If you have opted out of the Nominated Broker process and have not selected another broker to whom to transfer your custody assets and instead you wish to liquidate your custody assets then this service will facilitate that request.

GHCCM will require confirmation from the JSAs that you have opted for this liquidation service.

GHCCM upon completion of the relevant onboarding process will instruct the JSAs to transfer your custody assets to its custodian to facilitate liquidation of these assets. This will be by means of an in-specie transfer through the CREST system. Where custody assets are held outside of CREST we will arrange a transfer in accordance with the requirements of the custody location of that asset.

When the custody assets have successfully transferred GHCCM will sell these assets in the Market at open, on a best endeavour's basis, the business day following the transfer of the assets.

Standard UK settlement in CREST is 2 working days. Payment will be made the business day following settlement to your nominated bank account. This bank account must be in the same name as the account holder we have on record. Note: exceptions to this time frame may occur.

Where an asset is not CREST eligible settlement time frames will vary and may take up to 8 weeks.

SPECIFIC TERMS AND CONDITIONS OF THIS SERVICE

1. You will be categorised as a Retail client for the purposes of the FCA rules.
2. You will be classified as an Execution Only client for the purposes of the FCA rules.
3. All orders will be executed by us on your behalf on an Execution Only basis.
4. Orders may be grouped with orders of other clients.
5. Contract notes will be provided to you by either email or post.
6. No online portal access will be activated.
7. A closing statement when all assets have been liquidated will be provided to you.
8. The account will be closed when all assets have been liquidated.
9. If an asset cannot be liquidated immediately we will continue to attempt execution for a period of three (3) months after which time the asset will be certificated where possible and returned to you, at your own risk, to the contact address you have provided. If certification is not possible please note that you will automatically revert to our standard Execution Only terms of business and we will continue to hold the asset electronically for you and provide you with a quarterly statement confirming the asset held. You should note that under these circumstances a custody fee may apply.
10. We will not accept any responsibility for assets that may be suspended after transfer to us.
11. Payment will be made by BACs the business day following settlement of the transaction.
12. No corporate events will be processed with the exception of assets that remain in our custody as described in point 9.



WealthTek Execution Only Selling Service

Fees and Charges

SECURITIES DEALING COMMISSION ON CONSIDERATION

(Stocks, shares, OEICs, unit trusts, investments trusts, gilts and fixed interest)

1.00% on first £10,000

0.50% on the balance subject to a minimum of £20

INTERNATIONAL DEALING COMMISSION ON CONSIDERATION

Dealing commission	1.75%
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Minimum commission per transaction	£30
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Transaction charge	£50
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(Other charges may apply)

SETTLEMENT CHARGES

CHAPS payments	£20
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Faster payments	No charge
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Note:

Stock and/or cash must be held by GHC Capital Markets Ltd prior to trading.

These fees and charges are correct as of 1st July 2024 and may be subject to change at any time in accordance with our terms of business.

All fees and charges are subject to VAT where applicable at the standard rate.

MONEY HELD ON YOUR BEHALF

We can deal with money we are holding on your behalf only in accordance with the rules of the FCA. These require us, among other things, to hold your money in an account at a deposit taking institution approved by the FCA, segregated from the Company's own money.

We do not pay interest on client money cash accounts.

You can ask us for help at any time

Here at GHC, we value our clients and their peace of mind. If you experience challenges or have concerns during your relationship with us or have anything you wish to discuss, you are able to speak to us at any time during our office hours, in a safe and confidential environment. Where appropriate, we will make a note on our records so that we can be aware of what you disclose, and so that you don't have to mention it again. Equally, if you are thinking of becoming a client we can cater for your needs from the get go.

Let us know if..

- You require any adjustments or additional support
- There is a better way in which we can communicate with you
- There is a change in your personal circumstances
- There is something we should be aware of
- You have been subject to events which affect your finances and/or your investments
- You have a temporary need



Application Forms

SECTION 1 - CLIENT DETAILS

Name of account
Number of existing account (if applicable)

Full names and addresses of all applicants

Applicant 1	Applicant 2
Name:	Name:
Email:	Email:
Address:	Address:
County:	County:
Post code:	Post code:
Tel No.	Tel No.
Date of birth:	Date of birth:
Nationality*:	Nationality*:
Occupation*:	Occupation*:
National Insurance Number:	National Insurance Number:

Applicant 3	Applicant 4
Name:	Name:
Email:	Email:
Address:	Address:
County:	County:
Post code:	Post code:
Tel No.	Tel No.
Date of birth:	Date of birth:
Nationality*:	Nationality*:
Occupation*:	Occupation*:
National Insurance Number:	National Insurance Number:

* Note that these fields are compulsory for individuals to comply with international money laundering and tax regulations.



GHC Capital Markets Limited
22-30 Horsefair Street
Leicester LE1 5BD

Registered in England number 3113332
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