Distributor Portal.

Holdings, accounts, and bank statements

Version Ci UK 1.0.0

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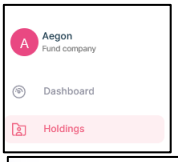
Searching for details of the holdings within the accounts you manage

You can view the details of the holdings within the accounts that you manage.

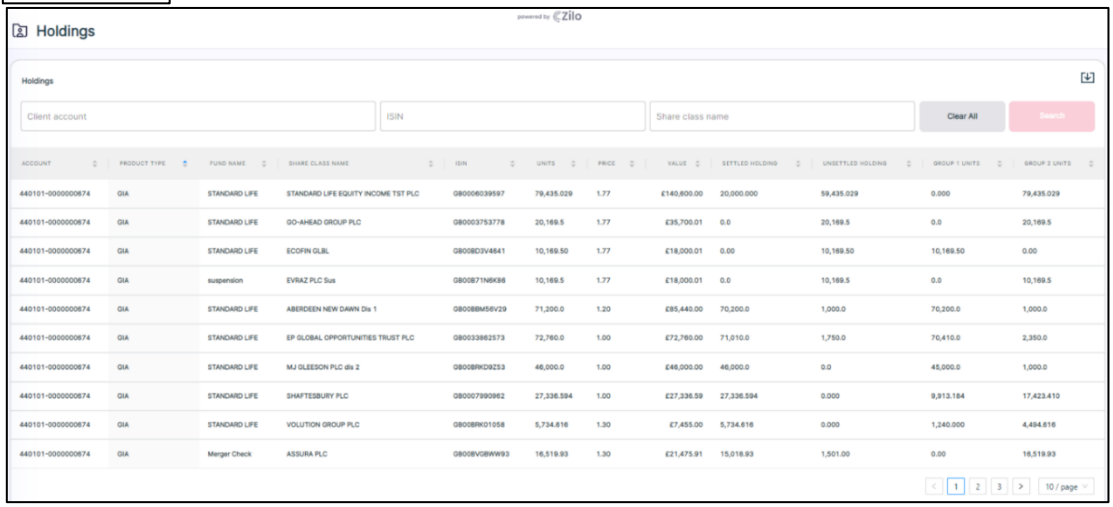
View details:

1. Select *Holdings* from the left-hand side navigation panel.

   Information



Result



Column name	Purpose
ACCOUNT	The Investor account number.
PRODUCT TYPE	Selected from the available products for instance: ISA or GIA.
FUND NAME	The name of the fund.
SHARE CLASS NAME	The share class name.
ISIN	The International Securities Identification Number.
UNITS	The number of share units held.
PRICE	The price of each unit in pounds.
VALUE	The total value of the holding (number units times price per unit).
SETTLED HOLDING	The total number of settled holding in units.
UNSETTLED HOLDING	The total number of unsettled holdings in units.
GROUP 1 UNITS	The total number of Group 1 (bought before XD) units.
GROUP 2 UNITS	The total number of Group 2 (bought after XD) units.

You can search holdings by account number, ISIN, and share class name.

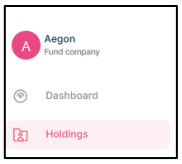
Searching holdings: account number

You can view the details of the holdings within the accounts that you manage. You can search by account number.

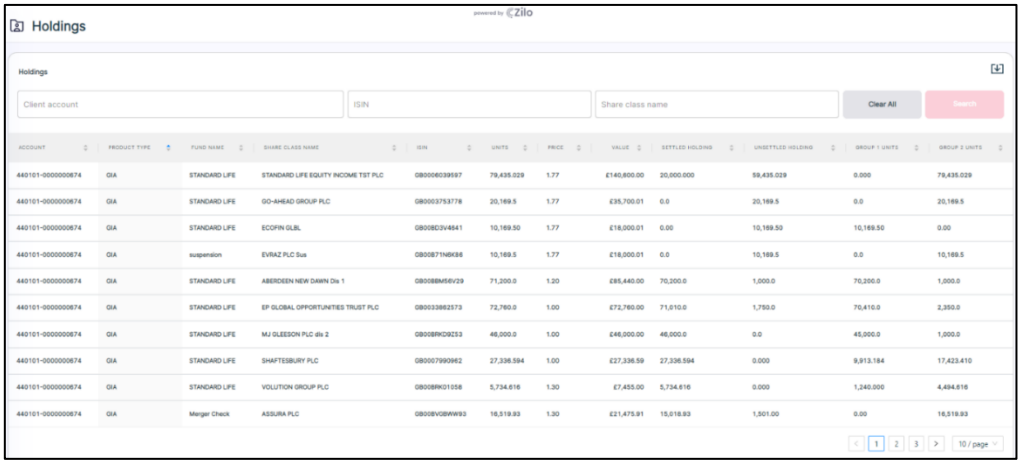
Search holdings based on account number:

1. Select *Holdings* from the left-hand side navigation panel.

   Information

   Result

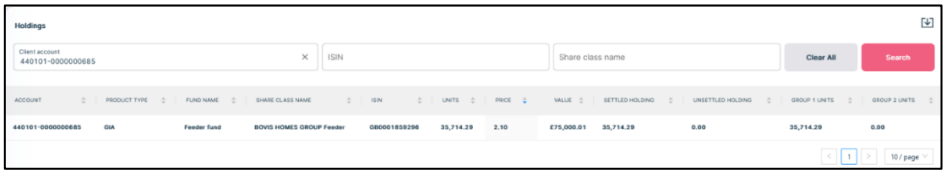
2. Enter an *Account* number.

   Information

   The *Search* button becomes available.

3. Select *Search*.

   Result

Column name	Purpose
ACCOUNT	The Investor account number.
PRODUCT TYPE	Selected from the available products for instance: ISA or GIA.
FUND NAME	The name of the fund.
SHARE CLASS NAME	The share class name.
ISIN	The International Securities Identification Number.
UNITS	The number of share units held.
PRICE	The price of each unit in pounds.
VALUE	The total value of the holding (number units times price per unit).
SETTLED HOLDING	The total number of settled holding in units.
UNSETTLED HOLDING	The total number of unsettled holdings in units.
GROUP 1 UNITS	The total number of Group 1 (bought before XD) units.
GROUP 2 UNITS	The total number of Group 2 (bought after XD) units.

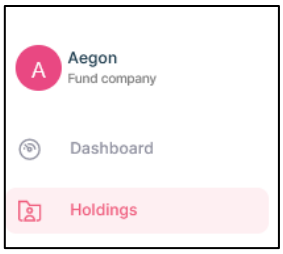
Searching holdings: ISIN

You can view the details of the holdings within the accounts you manage. You can search for details based on the ISIN.

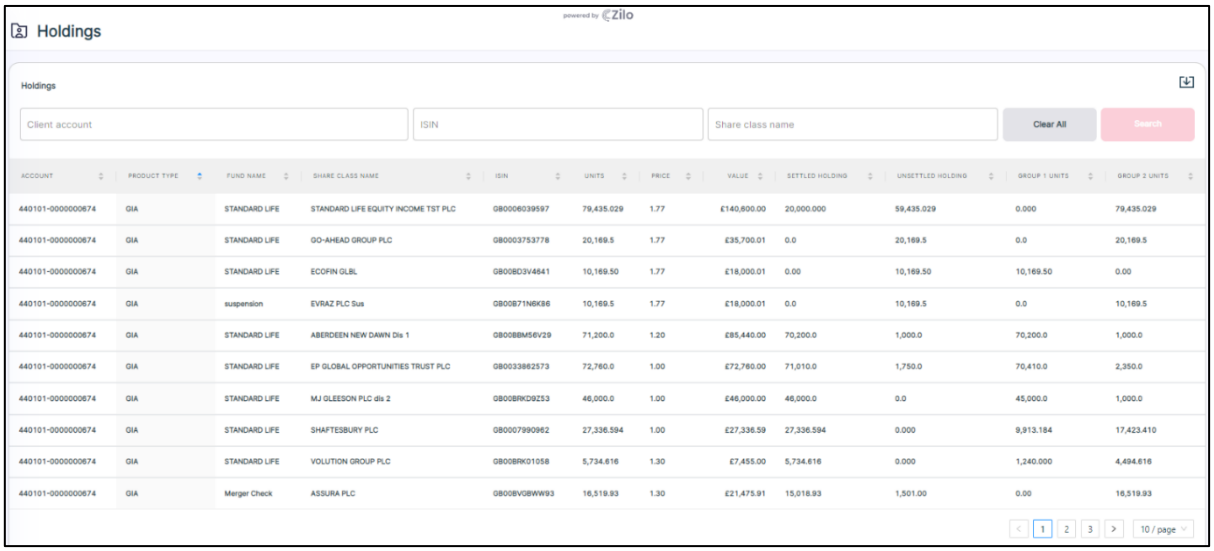
Search holdings based on ISIN:

1. Select *Holdings* from the left-hand side navigation panel.

   Information

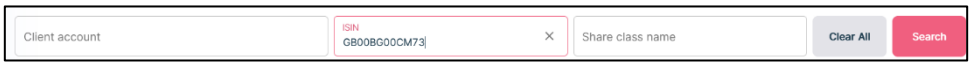
   

   Result

2. Enter an *ISIN*.

   Information

   The *Search* button becomes available.

3. Select *Search*.

   Result

Column name	Purpose
ACCOUNT	The Investor account number.
PRODUCT TYPE	The product type: ISA or GIA.
FUND NAME	The name of the fund.
SHARE CLASS NAME	The share class name.
ISIN	The International Securities Identification Number.
UNITS	The number of share units held.
PRICE	The price of each unit in pounds.
VALUE	The total value of the holding (number units times price per unit).
SETTLED HOLDING	The total number of settled holding in units.
UNSETTLED HOLDING	The total number of unsettled holdings in units.
GROUP 1 UNITS	The total number of Group 1 (bought before XD) units.
GROUP 2 UNITS	The total number of Group 2 (bought after XD) units.

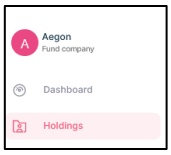
Searching holdings: share class name

You can view the details of the holdings within the accounts you manage. You can search for details based on the share class name.

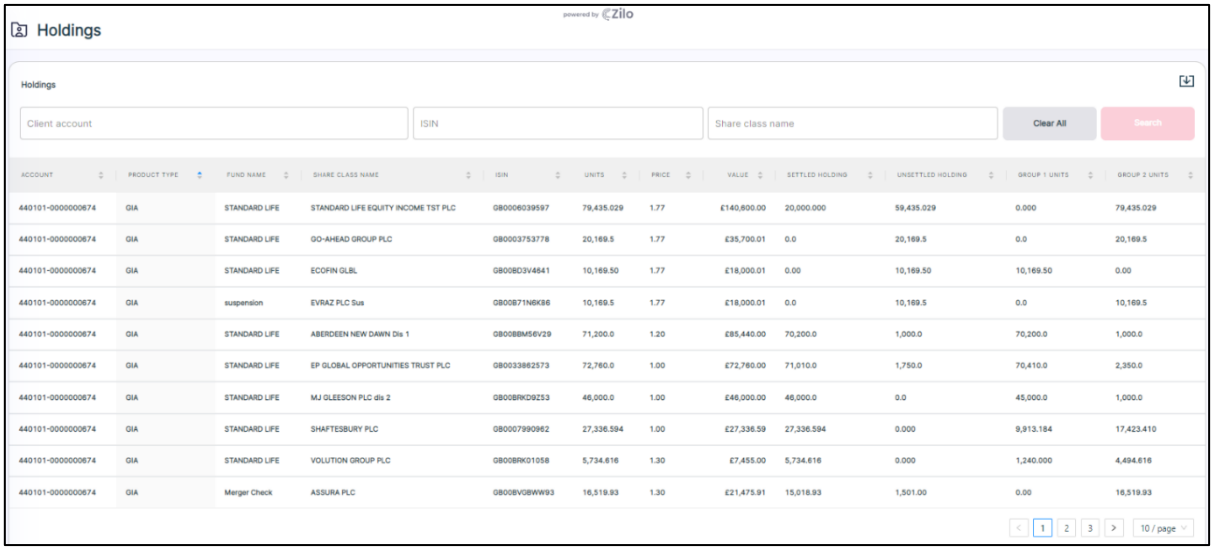
Search holdings based on share class:

1. Select *Holdings* from the left-hand side navigation panel.

   Information

   Result

2. Enter a *share class name*.

   Information

   The *Search* button becomes available.

3. Select *Search*.

   Result

Column name	Purpose
ACCOUNT	The Investor account number.
PRODUCT TYPE	The product type: ISA or GIA.
FUND NAME	The name of the fund.
SHARE CLASS NAME	The share class name.
ISIN	The International Securities Identification Number.
UNITS	The number of share units held.
PRICE	The price of each unit in pounds.
VALUE	The total value of the holding (number units times price per unit).
SETTLED HOLDING	The total number of settled holding in units.
UNSETTLED HOLDING	The total number of unsettled holdings in units.
GROUP 1 UNITS	The total number of Group 1 (bought before XD) units.
GROUP 2 UNITS	The total number of Group 2 (bought after XD) units.

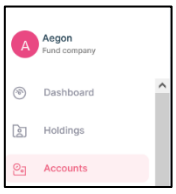
Viewing accounts

You can view accounts.

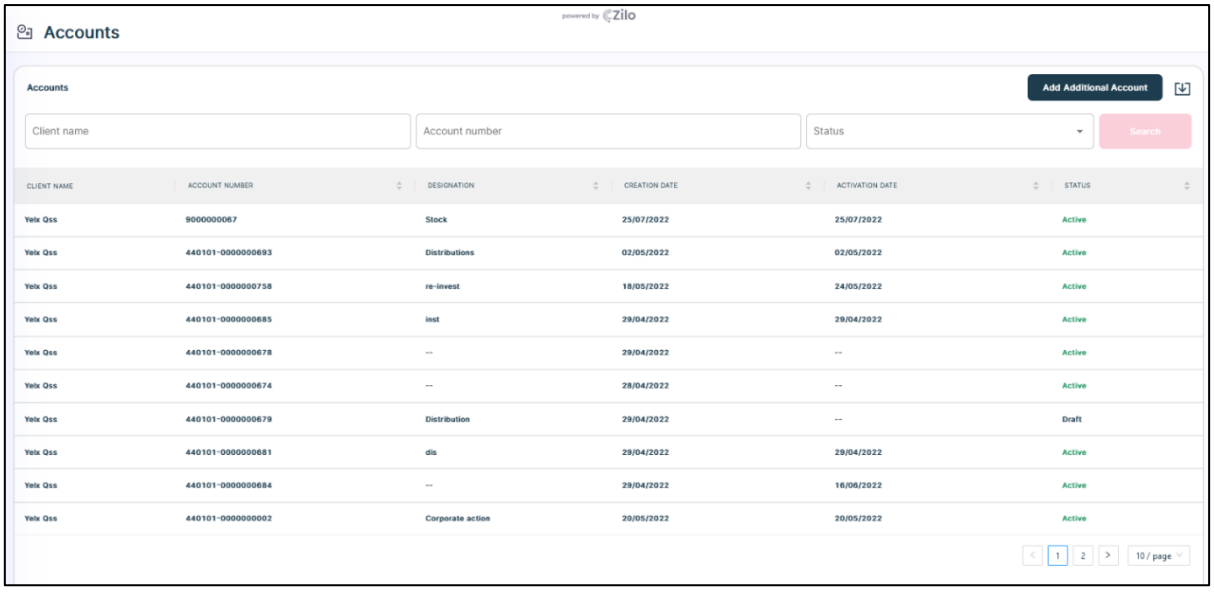
View accounts:

1. Navigate to the *Accounts* screen.

   Information



   Result



Column name	Purpose
CLIENT NAME	The name of the client.
ACCOUNT NUMBER	The Investor account number.
DESIGNATION	An account designation.
CREATION DATE	The date on which the account was created.
ACTIVATION DATE	The date on which the account became active.
STATUS	The status of the account: Active, Inactive, Pending, Draft, Closing.

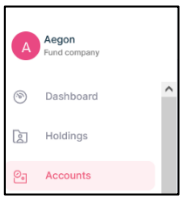
Searching for an account using the account number

You can search for accounts using the account number.

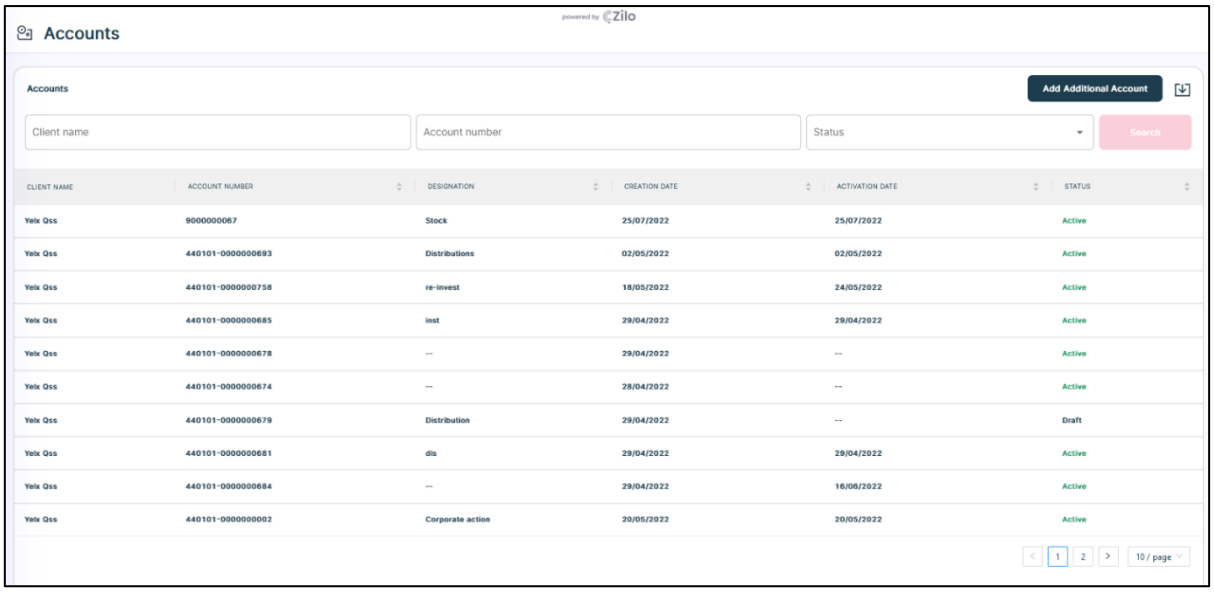
Search using the account number:

1. Navigate to the *Accounts* screen.

   Information

   Result

2. Enter the *Account Number*.

   Information

   Result

   The *Search* button becomes available.

3. Select *Search*.

   Result

Column name	Purpose
CLIENT NAME	The name of the client.
ACCOUNT NUMBER	The Investor account number.
DESIGNATION	The account designation.
CREATION DATE	The date on which the account was created.
ACTIVATION DATE	The date on which the account became active.
STATUS	The status of the account: Active, Inactive, Pending, Draft, Closing.

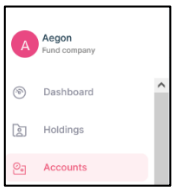
Searching for an account using account status

You can search for accounts using the account status.

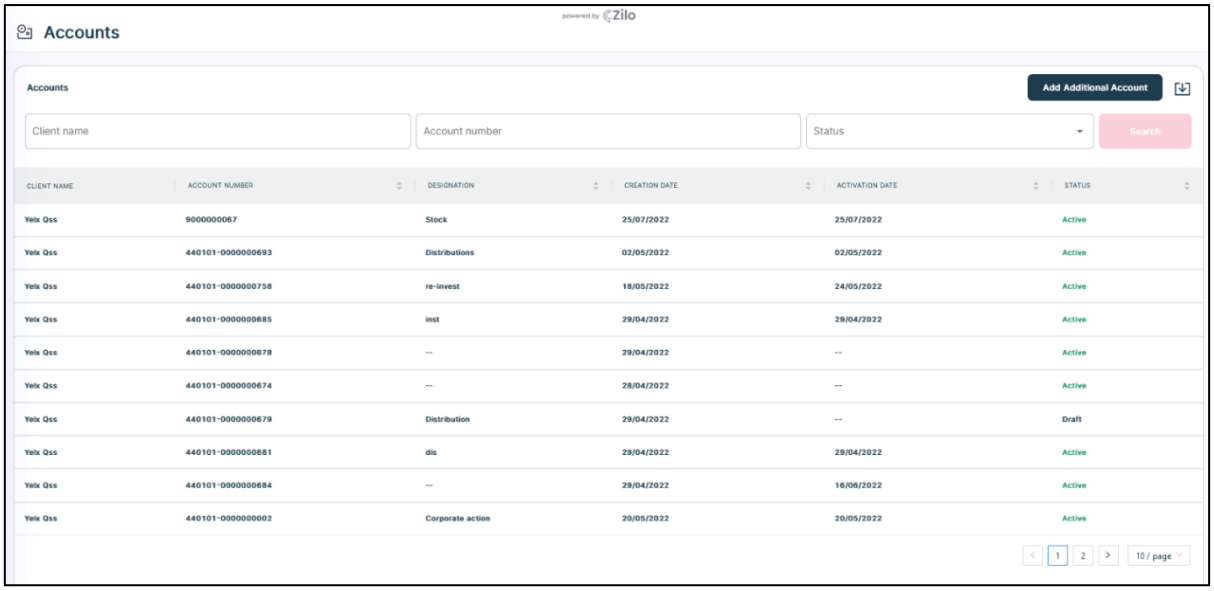
Search using the account status:

1. Navigate to the *Accounts* screen.

   Information

   Result

2. Select the status from the drop-down menu.

   Information

   Result

   The *Search* button becomes available.

3. Select *Search*.

   Result

   All accounts with that status are displayed.

Column name	Purpose
CLIENT NAME	The name of the client.
ACCOUNT NUMBER	The Investor account number.
DESIGNATION	The account designation.
CREATION DATE	The date on which the account was created.
ACTIVATION DATE	The date on which the account became active.
STATUS	The status of the account: Active, Inactive, Pending, Draft, Closing.

Adding an account

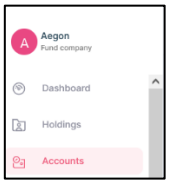
You can manually add an account. You must be a super user to perform this action.

Note, it is the responsibility of our investors to grant and manage all access rights assigned to their investor reference(s). We shall not be liable for any consequences arising from an incorrect or inappropriate grant of access rights by an investor. We strongly recommend that our investors carry out regular reviews of the access rights they have granted, to ensure these are still valid and necessary

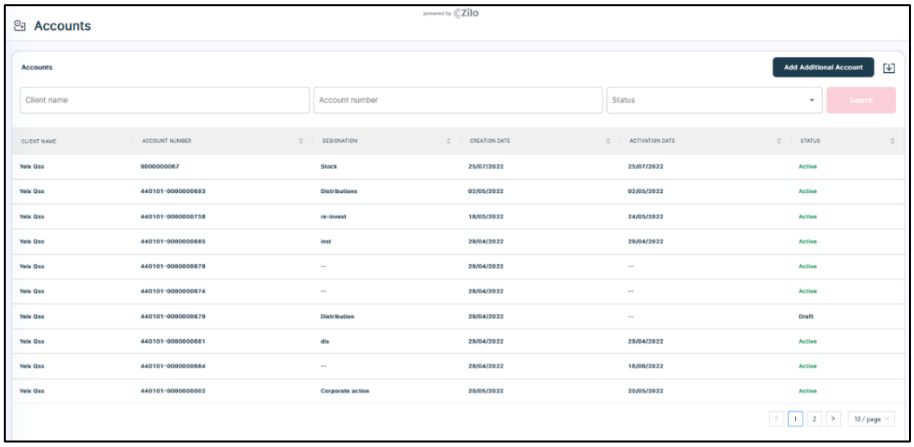
Add an account:

1. Navigate to the *Accounts* screen.

   Information

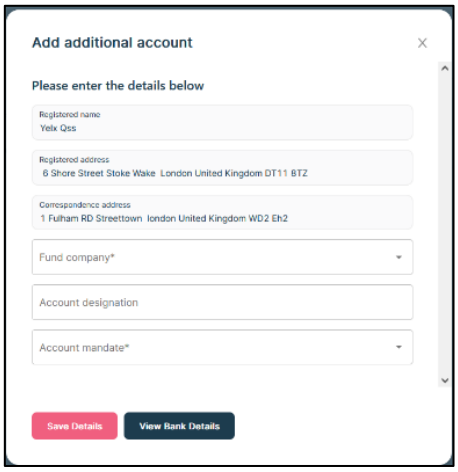
   Result

2. Select *Add Additional Account*.

   Information

   Result



3. Enter the account details.
4. Select *Save Details*.

Result

CLIENT NAME	ACCOUNT NUMBER	DESIGNATION	CREATION DATE	ACTIVATION DATE	STATUS
Yelx Qss	9000000103	acc	08/08/2022	08/08/2022	Active

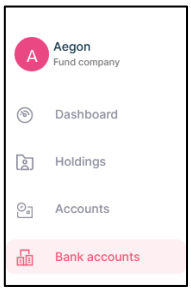
Viewing bank account details

You can view detailed information about a bank account.

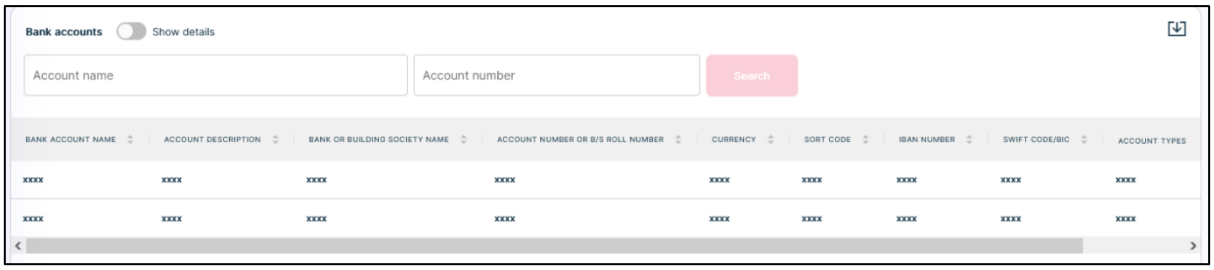
View bank account details:

1. Navigate to *Bank Accounts*.

   Information

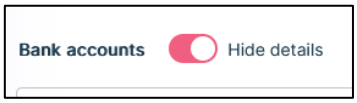
   Result

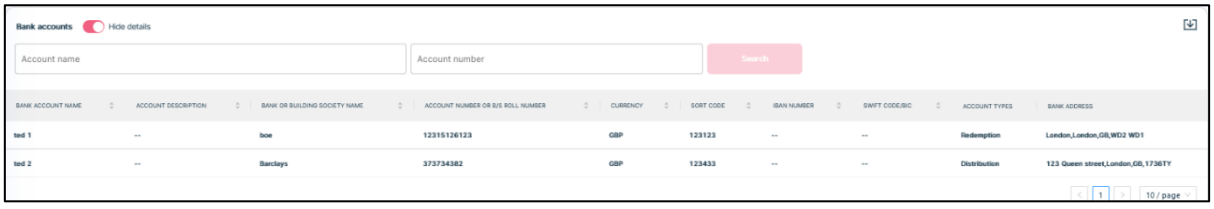
2. Select *Show Details*.

   Information

   By default, bank account details are hidden. Use the slider to view the hidden details.

   Result

Column name	Purpose
BANK ACCOUNT NAME	The name of the bank account.
ACCOUNT DESCRIPTION	An account description.
BANK OR BUILDING SOCIETY NAME	The name of the institution.
ACCOUNT NUMBER OR BS ROLL NUMBER	The bank account number or building society roll number.
CURRENCY	The currency of the bank account.
SORT CODE	The accounts sort code.
IBAN NUMBER	The accounts IBAN number.
SWIFT CODE/BIC	The accounts SWIFT code/BIC.
ACCOUNT TYPES	The account type.
BANK ADDRESS	The bank's address.

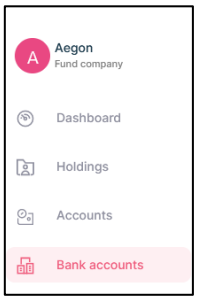
Searching for bank account details using the account name

You can view detailed information about a bank account. You can search for a particular bank account using the name of the account.

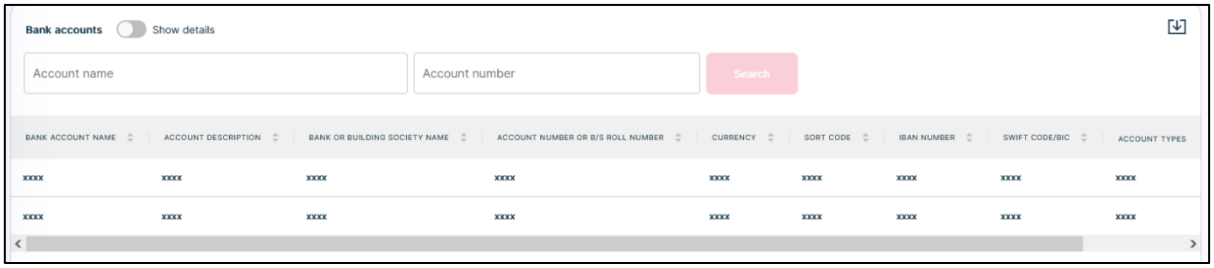
View bank account details:

1. Navigate to *Bank Accounts*.

   Information

   Result

2. Enter the *Account name*.

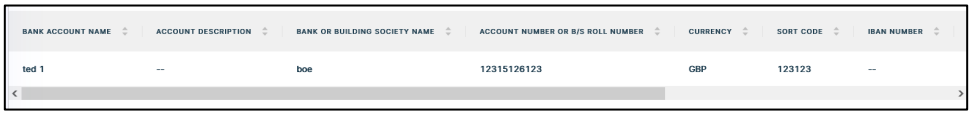
   Information

   Result

   The search button becomes available.

3. Select *Search*.

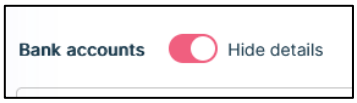
   Result

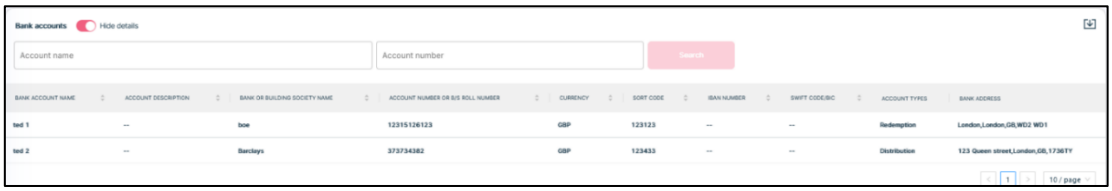
4. Select *Show Details*.

   Information

   By default, bank account details are hidden. Use the slider to view the hidden details.



Result



Column name	Purpose
BANK ACCOUNT NAME	The name of the bank account.
ACCOUNT DESCRIPTION	An account description.
BANK OR BUILDING SOCIETY NAME	The name of the institution.
ACCOUNT NUMBER OR BS ROLL NUMBER	The bank account number or building society roll number.
CURRENCY	The currency of the bank account.
SORT CODE	The accounts sort code.
IBAN NUMBER	The accounts IBAN number.
SWIFT CODE/BIC	The accounts SWIFT code/BIC.
ACCOUNT TYPES	The account type.
BANK ADDRESS	The bank's address.

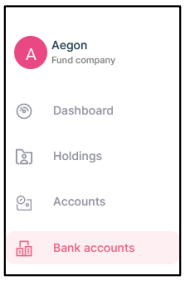
Searching for bank account details using the bank account number

You can view detailed information about a bank account using the account number as a search term. You can search for a particular account using the bank account number.

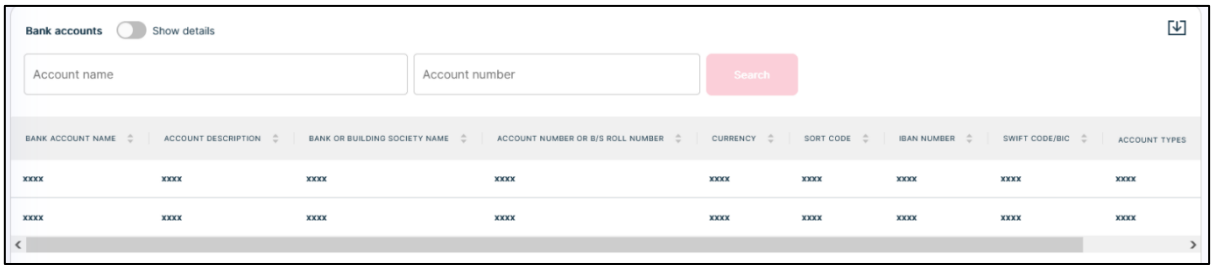
View bank account details:

1. Navigate to *Bank Accounts*.

   Information

   Result

2. Enter the bank *Account number*.

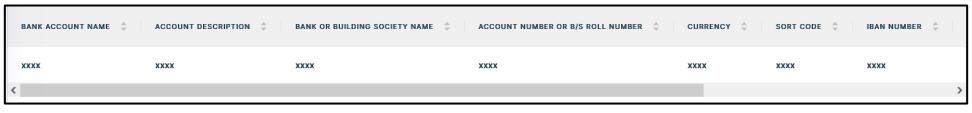
   Information

   Result

   The search button becomes available.

3. Select *Search*.

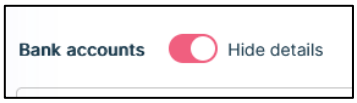
   Result

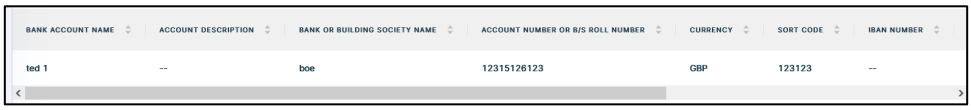
4. Select *Show Details*.

   Information

   By default, bank account details are hidden. Use the slider to view the hidden details.



Result



Column name	Purpose
BANK ACCOUNT NAME	The name of the bank account.
ACCOUNT DESCRIPTION	An account description.
BANK OR BUILDING SOCIETY NAME	The name of the institution.
ACCOUNT NUMBER OR BS ROLL NUMBER	The bank account number or building society roll number.
CURRENCY	The currency of the bank account.
SORT CODE	The accounts sort code.
IBAN NUMBER	The accounts IBAN number.
SWIFT CODE/BIC	The accounts SWIFT code/BIC.
ACCOUNT TYPES	The account type.
BANK ADDRESS	The bank's address.

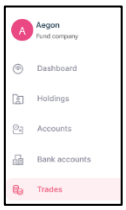
Viewing trades

You can view detailed information about trades. By default, you can see trades for the current day.

View trades:

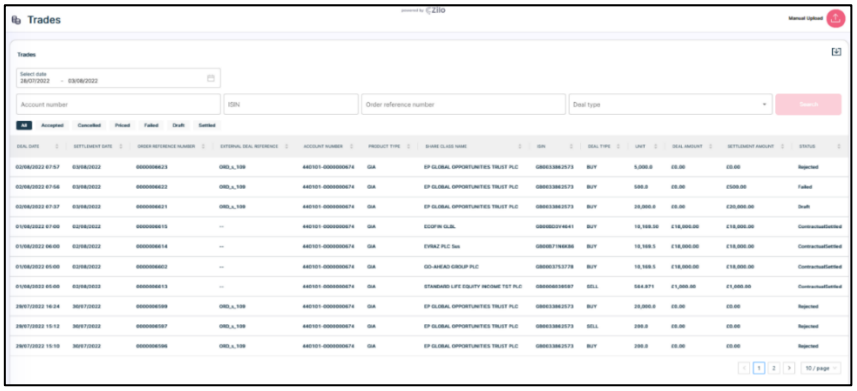
1. Select *Trades* from the left-hand side navigation panel.

   Information

   Result

   By default, you can see trades for the current day.

Column name	Purpose
DEAL DATE	The date on which the deal was completed.
SETTLEMENT DATE	The date on which the trade was settled.
ORDER REFERENCE NUMBER	A generated order reference number.
EXTERNAL DEAL REFERENCE	A deal reference number generated by an external system.
ACCOUNT NUMBER	The Investor account connected with the deal.
PRODUCT TYPE	The type of investment product associated with the deal: GIA, ISA.
SHARE CLASS NAME	The share class name related to the deal.
ISIN	The International Securities Identification Number.
DEAL TYPE	The deal type: buy/sell.
UNIT	The number of units in the deal.
DEAL AMOUNT	The deal amount in pounds.
SETTLEMENT AMOUNT	The settlement amount in pounds.
STATUS	The deal status from allowed statuses.

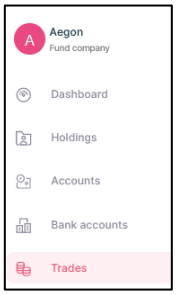
Viewing trades using a filter

You can view trades at each stage in the trading process using the appropriate filter. The available filters are accepted, cancelled, priced, failed, draft and settled. Select the appropriate filter to see the shares in that stage of the process. The use of filters is illustrated with accepted trades.

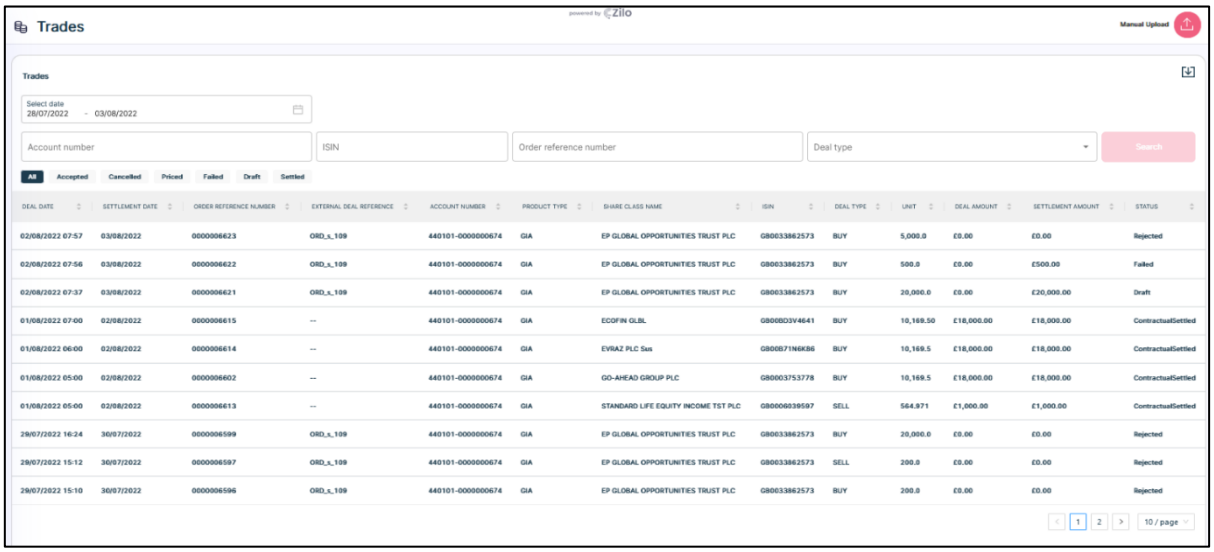
View accepted trades using a filter:

1. Select *Trades* from the left-hand side navigation panel.

   Information

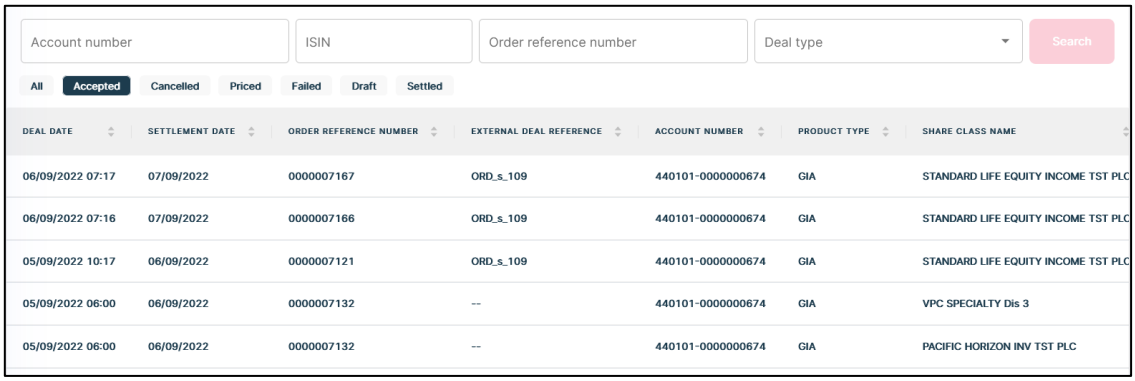
   Result

2. Select *Accepted*.

   Information

   Result



Column name	Purpose
DEAL DATE	The date on which the deal was completed.
SETTLEMENT DATE	The date on which the trade was settled.
ORDER REFERENCE NUMBER	A generated order reference number.
EXTERNAL DEAL REFERENCE	A deal reference number generated by an external system.
ACCOUNT NUMBER	The Investor account connected with the deal.
PRODUCT TYPE	The type of investment product associated with the deal: GIA, ISA.
SHARE CLASS NAME	The share class name related to the deal.
ISIN	The International Securities Identification Number.
DEAL TYPE	The deal type: buy/sell.
UNIT	The number of units in the deal.
DEAL AMOUNT	The deal amount in pounds.
SETTLEMENT AMOUNT	The settlement amount in pounds.
STATUS	The deal status from allowed statuses.

Viewing trades by date range

You can view trades by setting a date range.

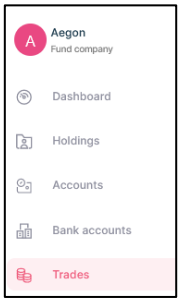
You can select:

- A date range
- Today
- Previous day
- Last 7 days
- Last 30 days
- Last 90 days

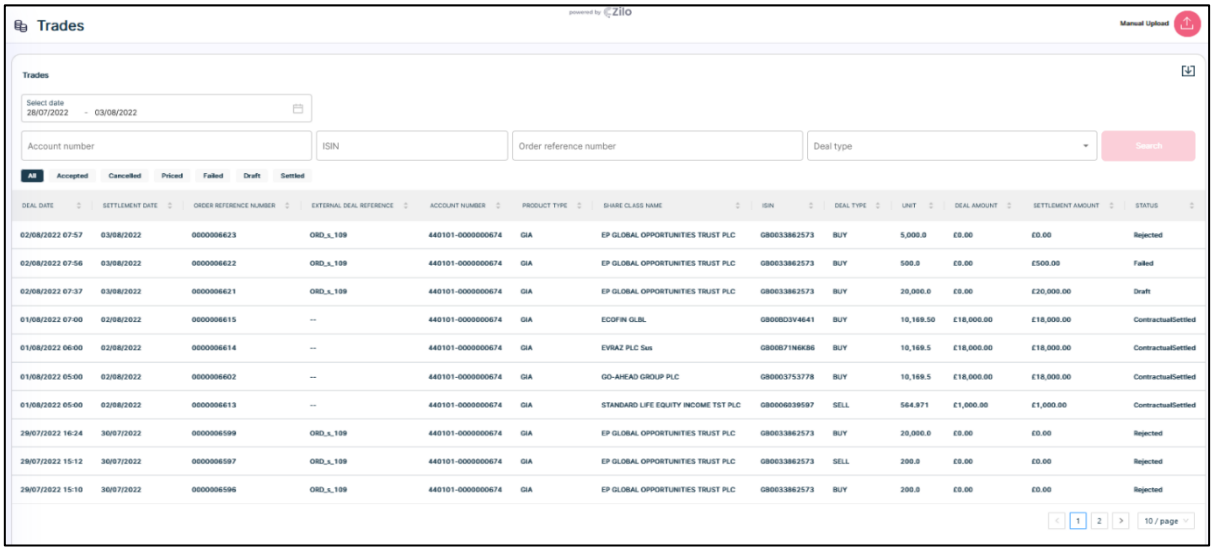
View trades by date range:

1. Select *Trades* from the left-hand side navigation panel.

   Information

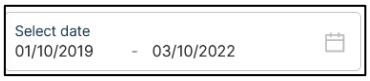


   Result



2. Select *Select Date*.

   Information

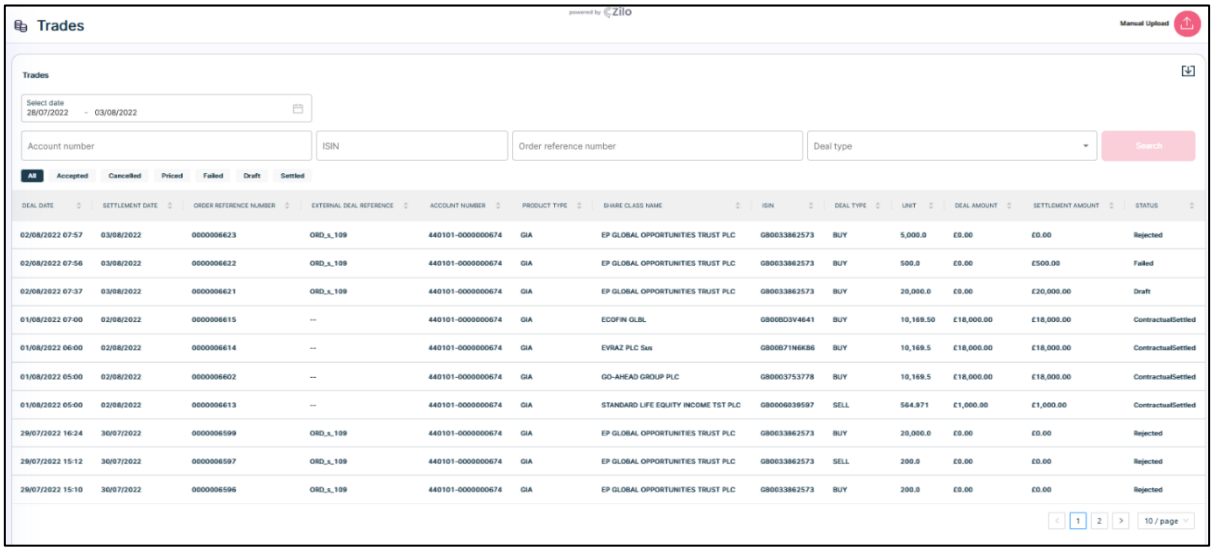


Result

A pop-out calendar is visible**.**

3. Select the required date range.
4. Select *Search*.

Result



Column name	Purpose
DEAL DATE	The date on which the deal was completed.
SETTLEMENT DATE	The date on which the trade was settled.
ORDER REFERENCE NUMBER	A generated order reference number.
EXTERNAL DEAL REFERENCE	A deal reference number generated by an external system.
ACCOUNT NUMBER	The Investor account connected with the deal.
PRODUCT TYPE	The type of investment product associated with the deal: GIA, ISA.
SHARE CLASS NAME	The share class name related to the deal.
ISIN	The International Securities Identification Number.
DEAL TYPE	The deal type: buy/sell.
UNIT	The number of units in the deal.
DEAL AMOUNT	The deal amount in pounds.
SETTLEMENT AMOUNT	The settlement amount in pounds.
STATUS	The deal status from allowed statuses.

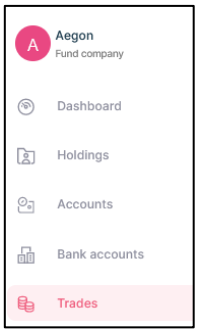
Searching for a trade by account number

You can search for a particular trade by the account number associated with that trade.

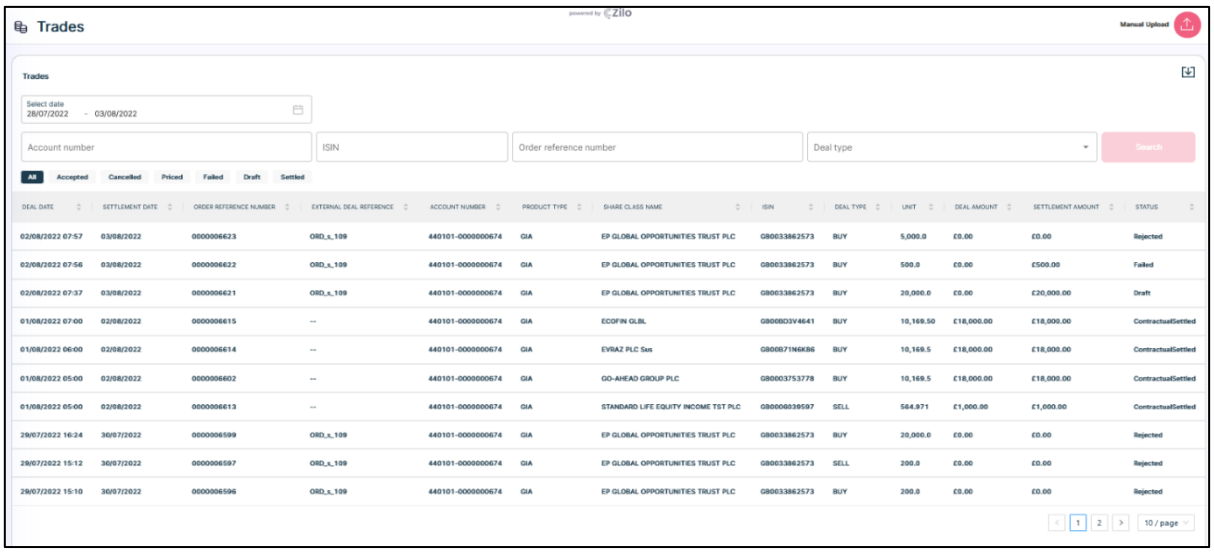
Search for a trade by account number:

1. Select *Trades* from the left-hand side navigation panel.

   Information



   Result



2. Enter the *Account Number*.

   Information

   Result

   The search button becomes available.

3. Select *Search*.

   Result

Column name	Purpose
DEAL DATE	The date on which the deal was completed.
SETTLEMENT DATE	The date on which the trade was settled.
ORDER REFERENCE NUMBER	A generated order reference number.
EXTERNAL DEAL REFERENCE	A deal reference number generated by an external system.
ACCOUNT NUMBER	The Investor account connected with the deal.
PRODUCT TYPE	The type of investment product associated with the deal: GIA, ISA.
SHARE CLASS NAME	The share class name related to the deal.
ISIN	The International Securities Identification Number.
DEAL TYPE	The deal type: buy/sell.
UNIT	The number of units in the deal.
DEAL AMOUNT	The deal amount in pounds.
SETTLEMENT AMOUNT	The settlement amount in pounds.
STATUS	The deal status from allowed statuses.

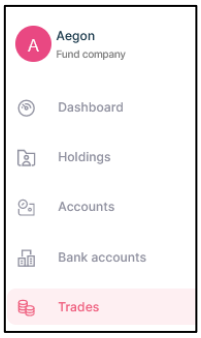
Searching for a trade by ISIN

You can search for a particular trade by the ISIN associated with that trade.

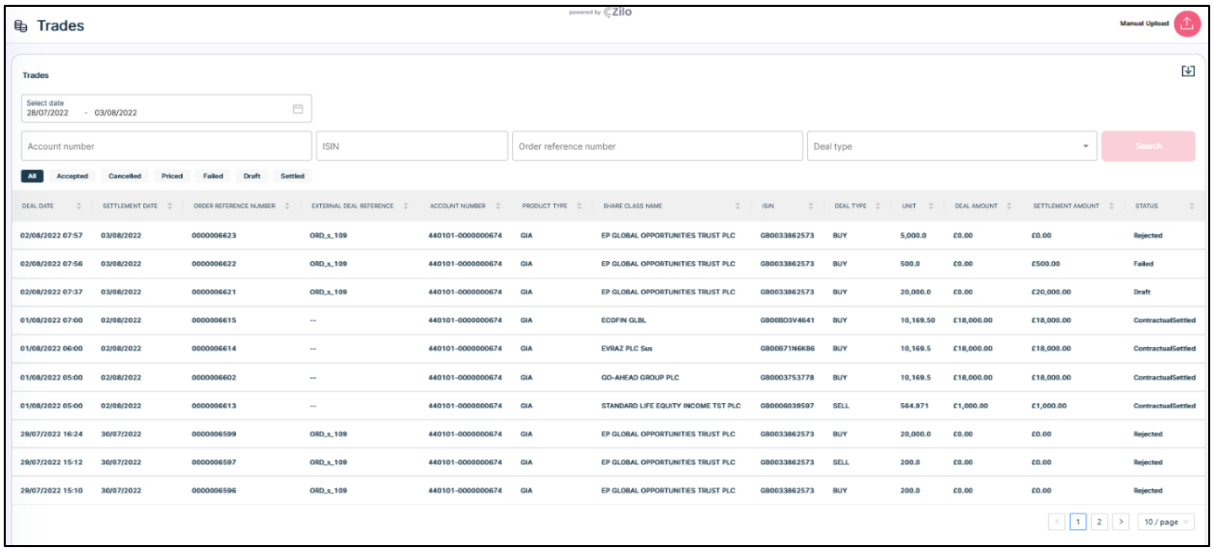
Search for a trade by ISIN:

1. Select *Trades* from the left-hand side navigation panel.

   Information

   Result

2. Enter the *ISIN*.

   Information

   Result

   The search button becomes available.

3. Select *Search*.

   Result

Column name	Purpose
DEAL DATE	The date on which the deal was completed.
SETTLEMENT DATE	The date on which the trade was settled.
ORDER REFERENCE NUMBER	A generated order reference number.
EXTERNAL DEAL REFERENCE	A deal reference number generated by an external system.
ACCOUNT NUMBER	The Investor account connected with the deal.
PRODUCT TYPE	The type of investment product associated with the deal: GIA, ISA.
SHARE CLASS NAME	The share class name related to the deal.
ISIN	The International Securities Identification Number.
DEAL TYPE	The deal type: buy/sell.
UNIT	The number of units in the deal.
DEAL AMOUNT	The deal amount in pounds.
SETTLEMENT AMOUNT	The settlement amount in pounds.
STATUS	The deal status from allowed statuses.

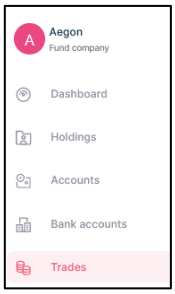
Searching for a trade by order reference number

You can search for a particular trade by the order reference number for that trade.

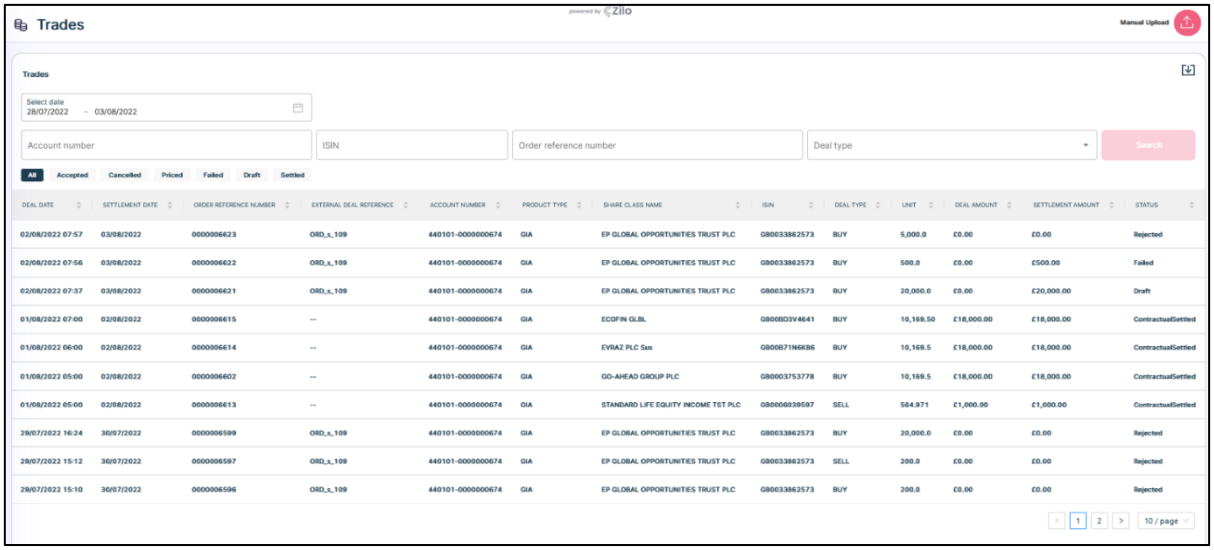
Search for a trade by order reference number:

1. Select *Trades* from the left-hand side navigation panel.

   Information

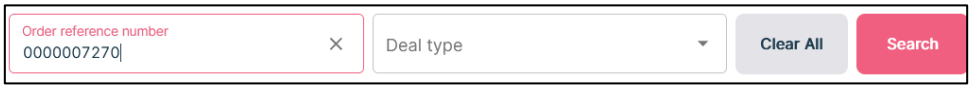


   Result



2. Enter the *Order Reference Number*.

   Information



   Result

   The search button becomes available.

3. Select *Search*.

   Result

Column name	Purpose
DEAL DATE	The date on which the deal was completed.
SETTLEMENT DATE	The date on which the trade was settled.
ORDER REFERENCE NUMBER	A generated order reference number.
EXTERNAL DEAL REFERENCE	A deal reference number generated by an external system.
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DEAL TYPE	The deal type: buy/sell.
UNIT	The number of units in the deal.
DEAL AMOUNT	The deal amount in pounds.
SETTLEMENT AMOUNT	The settlement amount in pounds.
STATUS	The deal status from allowed statuses.

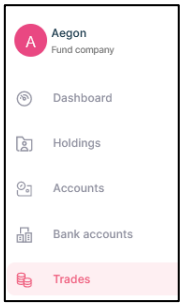
Viewing the deal date for a trade

You can view detailed information about trades. By default, you can see trades for the current day. You can view the deal date for a particular trade by searching for that trade and navigating to the deal date column.

View deal date:

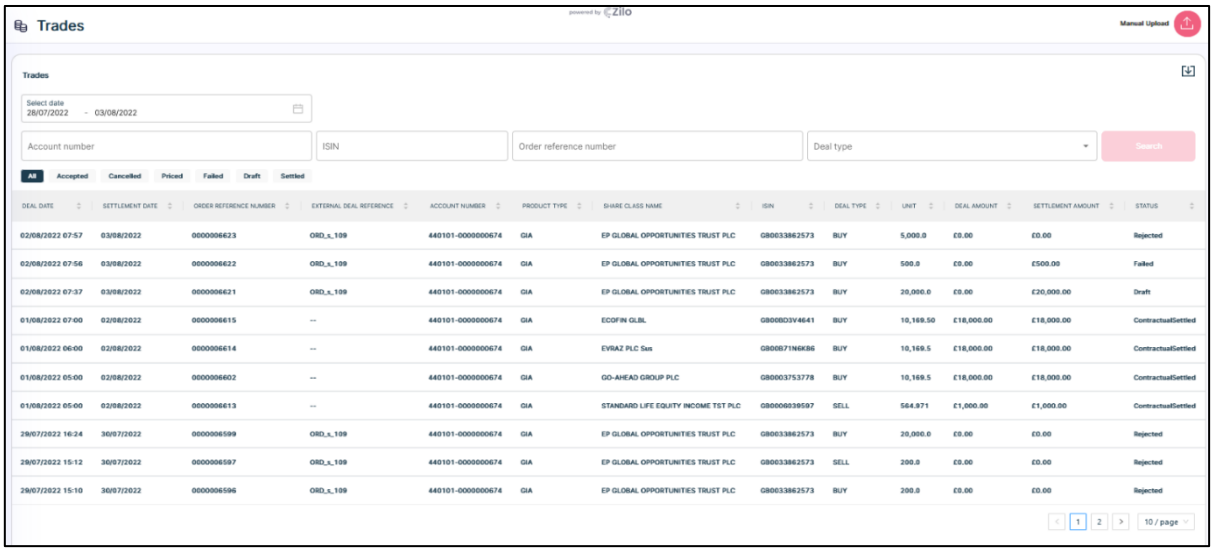
1. Select *Trades* from the left-hand side navigation panel.

   Information

   Result

   By default, you can see trades for the current day.

2. Enter the *Order Reference Number*.

   Information

   Result

   The search button becomes available.

3. Select *Search*.

Result

DEAL DATE	SETTLEMENT DATE	ORDER REFERENCE NUMBER	EXTERNAL DEAL REFERENCE	ACCOUNT NUMBER	PRODUCT TYPE	SHARE CLASS NAME	ISIN
15/09/2022 11:00	16/09/2022	0000007270	--	440101-0000000674	GIA	HIKMA PHARMACEUTICALS PLC	GB

You can see the deal date in the first column.

Column name	Purpose
DEAL DATE	The date on which the deal was completed.
SETTLEMENT DATE	The date on which the trade was settled.
ORDER REFERENCE NUMBER	A generated order reference number.
EXTERNAL DEAL REFERENCE	A deal reference number generated by an external system.
ACCOUNT NUMBER	The Investor account connected with the deal.
PRODUCT TYPE	The type of investment product associated with the deal: GIA, ISA.
SHARE CLASS NAME	The share class name related to the deal.
ISIN	The International Securities Identification Number.
DEAL TYPE	The deal type: buy/sell.
UNIT	The number of units in the deal.
DEAL AMOUNT	The deal amount in pounds.
SETTLEMENT AMOUNT	The settlement amount in pounds.
STATUS	The deal status from allowed statuses.

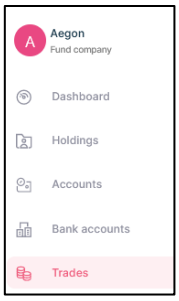
Viewing the number of units in a trade

You can view detailed information about trades. By default, you can see trades for the current day. You can view the number of units in a particular deal.

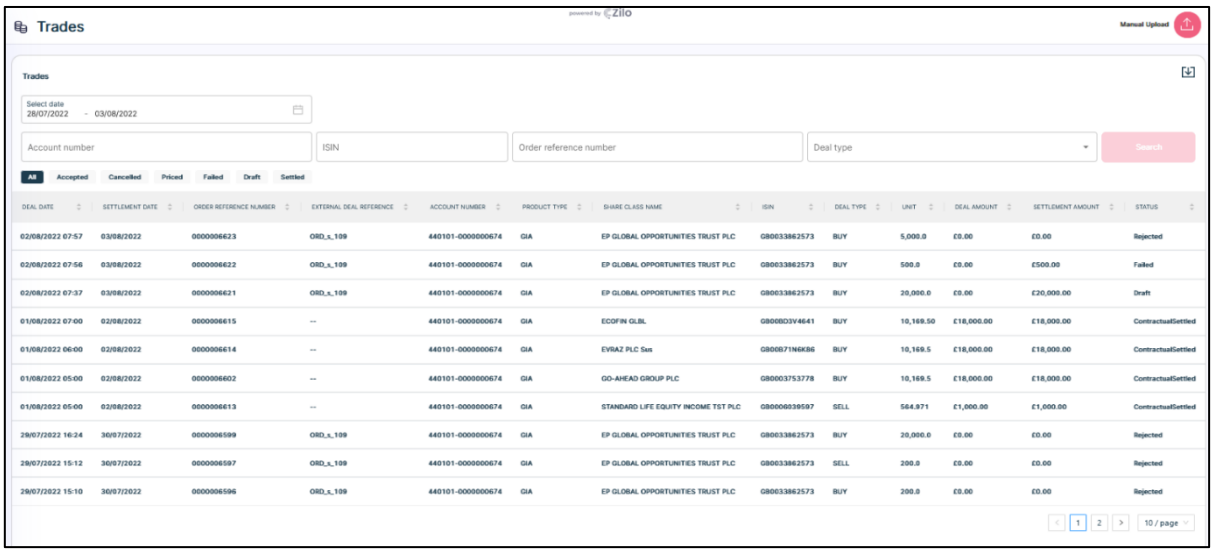
View units:

1. Select *Trades* from the left-hand side navigation panel.

   Information

   Result

2. Enter the *ISIN*.

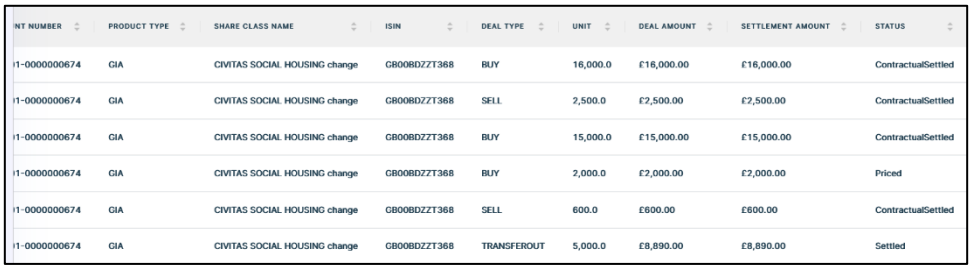
   Information

   Result

   The search button becomes available.

3. Select *Search*.

   Result



NT NUMBER	PRODUCT TYPE	SHARE CLASS NAME	ISIN	DEAL TYPE	UNIT	DEAL AMOUNT	SETTLEMENT AMOUNT	STATUS
I1-0000000674	GIA	CIVITAS SOCIAL HOUSING change	GB00BDZZT368	BUY	16,000.0	£16,000.00	£16,000.00	ContractualSettled
I1-0000000674	GIA	CIVITAS SOCIAL HOUSING change	GB00BDZZT368	SELL	2,500.0	£2,500.00	£2,500.00	ContractualSettled
I1-0000000674	GIA	CIVITAS SOCIAL HOUSING change	GB00BDZZT368	BUY	15,000.0	£15,000.00	£15,000.00	ContractualSettled
I1-0000000674	GIA	CIVITAS SOCIAL HOUSING change	GB00BDZZT368	BUY	2,000.0	£2,000.00	£2,000.00	Priced
I1-0000000674	GIA	CIVITAS SOCIAL HOUSING change	GB00BDZZT368	SELL	600.0	£600.00	£600.00	ContractualSettled
I1-0000000674	GIA	CIVITAS SOCIAL HOUSING change	GB00BDZZT368	TRANSFEROUT	5,000.0	£8,890.00	£8,890.00	Settled

4. Navigate to the *Unit* column for the required deal.

Result

You can see the number of units in that deal.

Column name	Purpose
DEAL DATE	The date on which the deal was completed.
SETTLEMENT DATE	The date on which the trade was settled.
ORDER REFERENCE NUMBER	A generated order reference number.
EXTERNAL DEAL REFERENCE	A deal reference number generated by an external system.
ACCOUNT NUMBER	The Investor account connected with the deal.
PRODUCT TYPE	The type of investment product associated with the deal: GIA, ISA.
SHARE CLASS NAME	The share class name related to the deal.
ISIN	The International Securities Identification Number.
DEAL TYPE	The deal type: buy/sell.
UNIT	The number of units in the deal.
DEAL AMOUNT	The deal amount in pounds.
SETTLEMENT AMOUNT	The settlement amount in pounds.
STATUS	The deal status from allowed statuses.

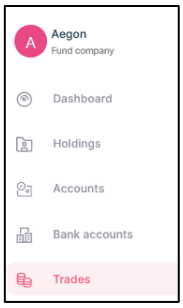
Viewing the share class in a trade

You can view detailed information about trades. By default, you can see trades for the current day. You can view the share class in a deal.

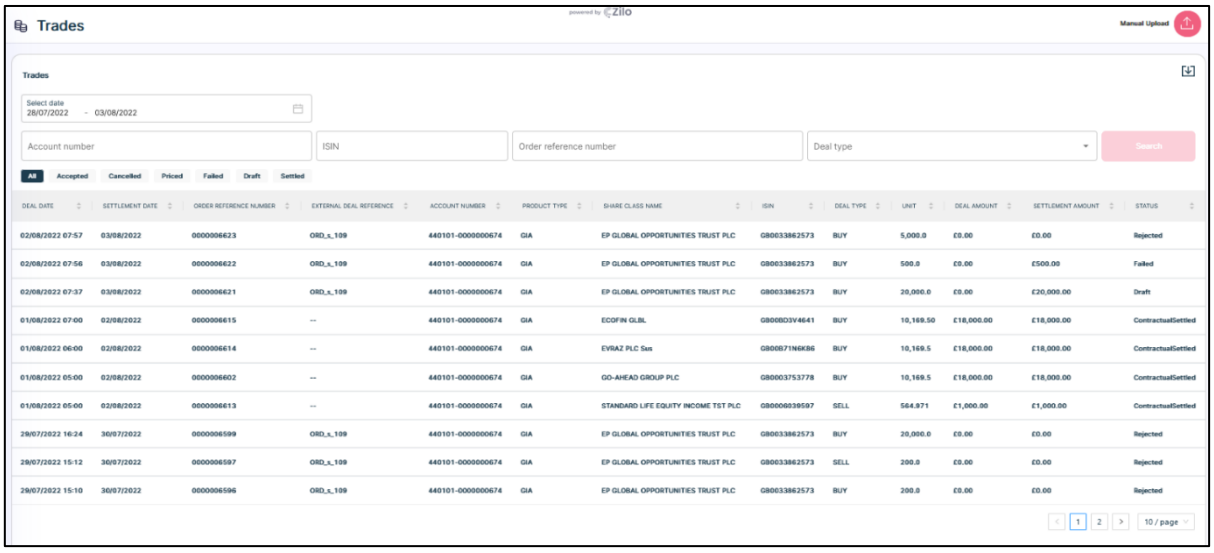
View share class:

1. Select *Trades* from the left-hand side navigation panel.

   Information

   Result

2. Enter the *Account Number*.

   Information

   Result

   The search button becomes available.

3. Select *Search*.

   Result

4. Navigate to the Share *Class name* column for the required deal.

Result

You can see the share class name.

Column name	Purpose
DEAL DATE	The date on which the deal was completed.
SETTLEMENT DATE	The date on which the trade was settled.
ORDER REFERENCE NUMBER	A generated order reference number.
EXTERNAL DEAL REFERENCE	A deal reference number generated by an external system.
ACCOUNT NUMBER	The Investor account connected with the deal.
PRODUCT TYPE	The type of investment product associated with the deal: GIA, ISA.
SHARE CLASS NAME	The share class name related to the deal.
ISIN	The International Securities Identification Number.
DEAL TYPE	The deal type: buy/sell.
UNIT	The number of units in the deal.
DEAL AMOUNT	The deal amount in pounds.
SETTLEMENT AMOUNT	The settlement amount in pounds.
STATUS	The deal status from allowed statuses.

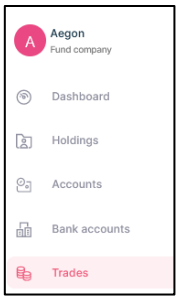
Viewing the account number associated with a trade

You can view detailed information about trades. By default, you can see trades for the current day. You can view the account associated with a deal.

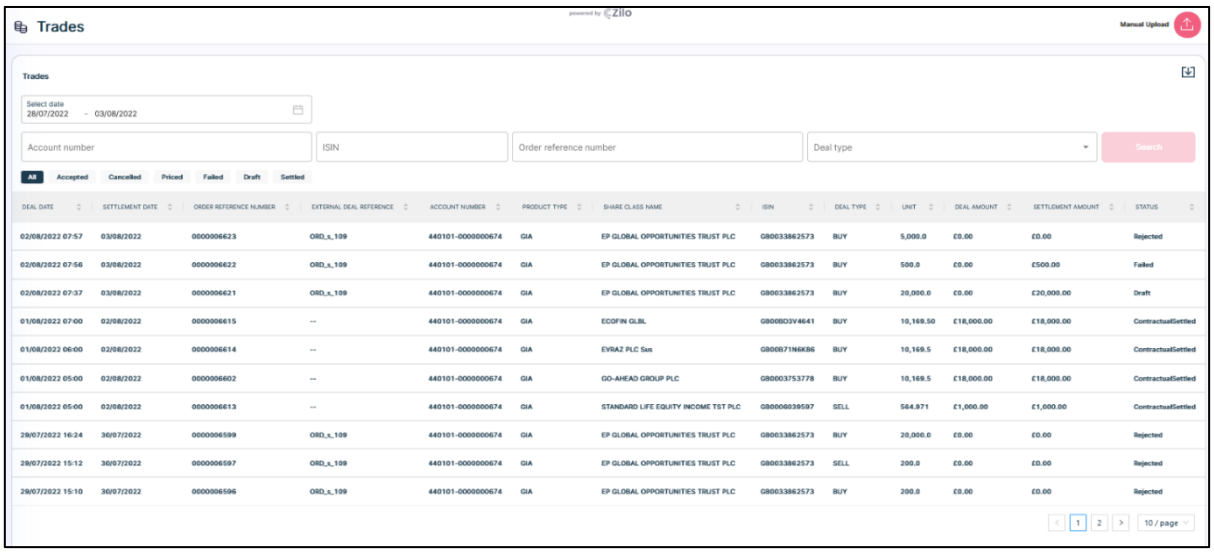
View the account:

1. Select *Trades* from the left-hand side navigation panel.

   Information

   Result

2. Enter the *Account Number*.

   Information

   Result

   The search button becomes available.

3. Select *Search*.

   Result

4. Navigate to the *Account number* column for the required deal.

Result

You can see the account number.

Column name	Purpose
DEAL DATE	The date on which the deal was completed.
SETTLEMENT DATE	The date on which the trade was settled.
ORDER REFERENCE NUMBER	A generated order reference number.
EXTERNAL DEAL REFERENCE	A deal reference number generated by an external system.
ACCOUNT NUMBER	The Investor account connected with the deal.
PRODUCT TYPE	The type of investment product associated with the deal: GIA, ISA.
SHARE CLASS NAME	The share class name related to the deal.
ISIN	The International Securities Identification Number.
DEAL TYPE	The deal type: buy/sell.
UNIT	The number of units in the deal.
DEAL AMOUNT	The deal amount in pounds.
SETTLEMENT AMOUNT	The settlement amount in pounds.
STATUS	The deal status from allowed statuses.

Viewing the product type associated with a trade

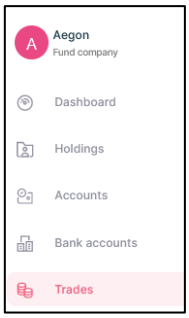
You can view detailed information about trades. By default, you can see trades for the current day.

You can view the product type associated with a deal.

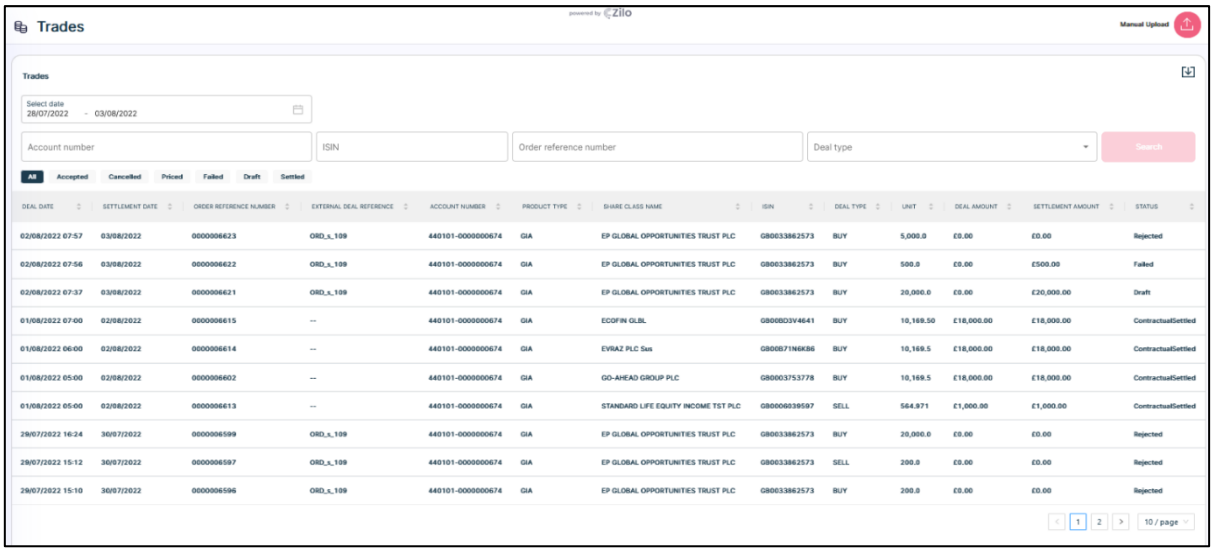
View product type:

1. Select *Trades* from the left-hand side navigation panel.

   Information



   Result



2. Select a date range using the pop-out calendar.
3. Enter the *Account Number*.

   Information

   Result

   The search button becomes available.

4. Select *Search*.

   Result

DEAL DATE	SETTLEMENT DATE	ORDER REFERENCE NUMBER	EXTERNAL DEAL REFERENCE	ACCOUNT NUMBER	PRODUCT TYPE	SHARE CLASS NAME
06/10/2022 08:58	06/10/2022	0000007646	--	440101-0000000674	GIA	STANDARD LIFE EQUITY INCOME TST PLC

5. Navigate to the *Product type* column for the required deal.

Result

You can see the product type associated with a deal.

Column name	Purpose
DEAL DATE	The date on which the deal was completed.
SETTLEMENT DATE	The date on which the trade was settled.
ORDER REFERENCE NUMBER	A generated order reference number.
EXTERNAL DEAL REFERENCE	A deal reference number generated by an external system.
ACCOUNT NUMBER	The investor account connected with the deal.
PRODUCT TYPE	The type of investment product associated with the deal: GIA, ISA.
SHARE CLASS NAME	The share class name related to the deal.
ISIN	The International Securities Identification Number.
DEAL TYPE	The deal type: buy/sell.
UNIT	The number of units in the deal.
DEAL AMOUNT	The deal amount in pounds.
SETTLEMENT AMOUNT	The settlement amount in pounds.
STATUS	The deal status from allowed statuses.

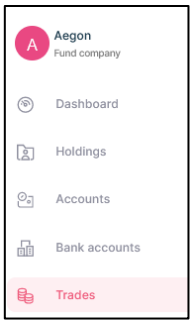
Viewing the deal type associated with a trade by account number

You can view detailed information about trades. By default, you can see trades for the current day. You can view the deal type associated with a deal by account number.

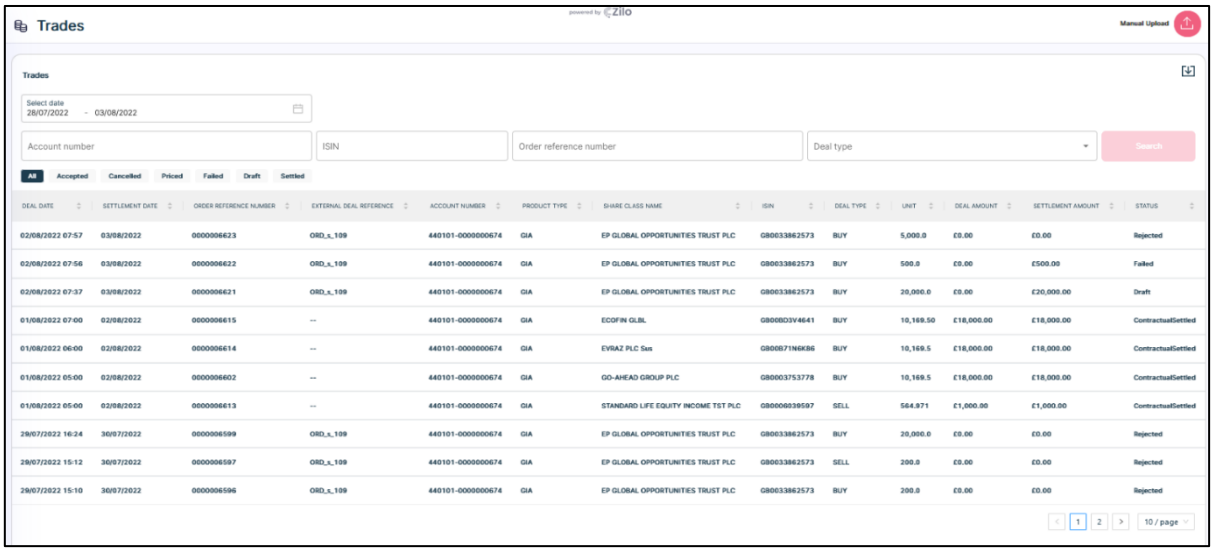
View deal type:

1. Select *Trades* from the left-hand side navigation panel.

   Information

   Result

2. Select a date range using the pop-out calendar.
3. Enter the *Account Number*.

   Information

   Result

   The search button becomes available.

4. Select *Search*.

   Result

DEAL DATE	SETTLEMENT DATE	ORDER REFERENCE NUMBER	EXTERNAL DEAL REFERENCE	ACCOUNT NUMBER	PRODUCT TYPE	SHARE CLASS NAME
06/10/2022 08:58	06/10/2022	0000007646	--	440101-0000000674	GIA	STANDARD LIFE EQUITY INCOME TST PLC

5. Navigate to the Deal *type* column for the required deal.

Result

You can see the deal type associated with a deal.

Column name	Purpose
DEAL DATE	The date on which the deal was completed.
SETTLEMENT DATE	The date on which the trade was settled.
ORDER REFERENCE NUMBER	A generated order reference number.
EXTERNAL DEAL REFERENCE	A deal reference number generated by an external system.
ACCOUNT NUMBER	The Investor connected with the deal.
PRODUCT TYPE	The type of investment product associated with the deal: GIA, ISA.
SHARE CLASS NAME	The share class name related to the deal.
ISIN	The International Securities Identification Number.
DEAL TYPE	The deal type: buy/sell.
UNIT	The number of units in the deal.
DEAL AMOUNT	The deal amount in pounds.
SETTLEMENT AMOUNT	The settlement amount in pounds.
STATUS	The deal status from allowed statuses.

Filtering trades by the deal type

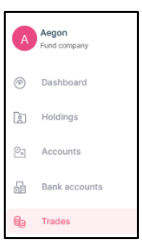
You can view detailed information about trades. By default, you can see trades for the current day. You can filter the deals by deal type.

Deal type
BUY
SELL
SWITCHOUT
SWITCHIN
TRANSFEROUT
TRANSFERIN
REINVESTBUY
CONVERSIONIN
CONVERSIONOUT
MERGEIN
MERGEOUT
CANCELBUY
CANCELSELL
CANCELTRANSFEROUT
CANCELTRANSFERIN
CANCELCONVERSIONIN
CANCELCONVERSIONOUT
CORRECTIVEBUY
CORRECTIVESELL
CORRECTIVECONVERSIONIN
CORRECTIVECONVERSIONOUT
REBOOKBUY
REBOOKSELL
REBOOKCONVERSIONIN
REBOOKCONVERSIONOUT
REBOOKSWITCHOUT
REBOOKSWITCHIN

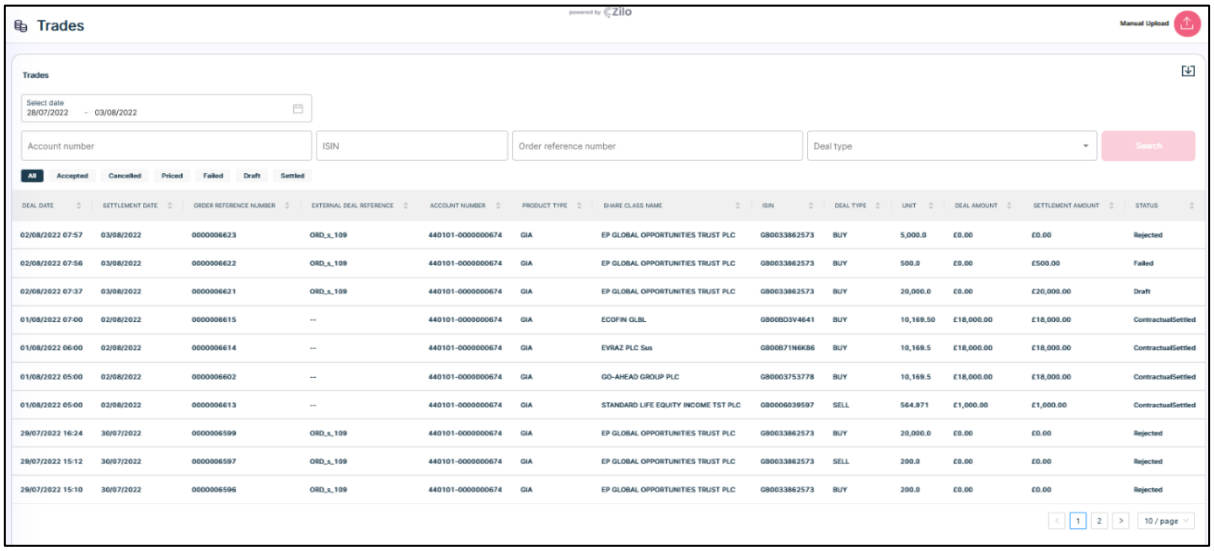
Filtering by deal type:

1. Select *Trades* from the left-hand side navigation panel.

   Information



Result



2. Select the deal type from the drop-down menu.

Information

Result

You can see the deal type associated with a deal.

Column name	Purpose
DEAL DATE	The date on which the deal was completed.
SETTLEMENT DATE	The date on which the trade was settled.
ORDER REFERENCE NUMBER	A generated order reference number.
EXTERNAL DEAL REFERENCE	A deal reference number generated by an external system.
ACCOUNT NUMBER	The Investor account connected with the deal.
PRODUCT TYPE	The type of investment product associated with the deal: GIA/ ISA.
SHARE CLASS NAME	The share class name related to the deal.
ISIN	The International Securities Identification Number.
DEAL TYPE	The deal type: buy/sell.
UNIT	The number of units in the deal.
DEAL AMOUNT	The deal amount in pounds.
SETTLEMENT AMOUNT	The settlement amount in pounds.
STATUS	The deal status from allowed statuses.

Manually uploading a trade

Deals should be completed over SFTP using a service such as Calastone. However, if an automated deal cannot be completed, contact Aegon using a secure message for a manual deal template. You can then submit a deal manually.

If you are unable to select manual upload it is because either:

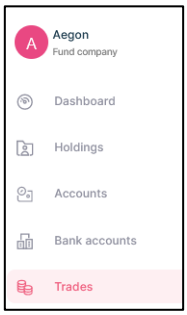
- You do not have sufficient user rights (Dealer or Super user) to upload a trade manually, or
- Aegon has not enabled a trade to be manually uploaded. In this case, send Aegon a secure message and request permission.

You can manually upload a trade using the approved deal template available here. The file must be in csv format.

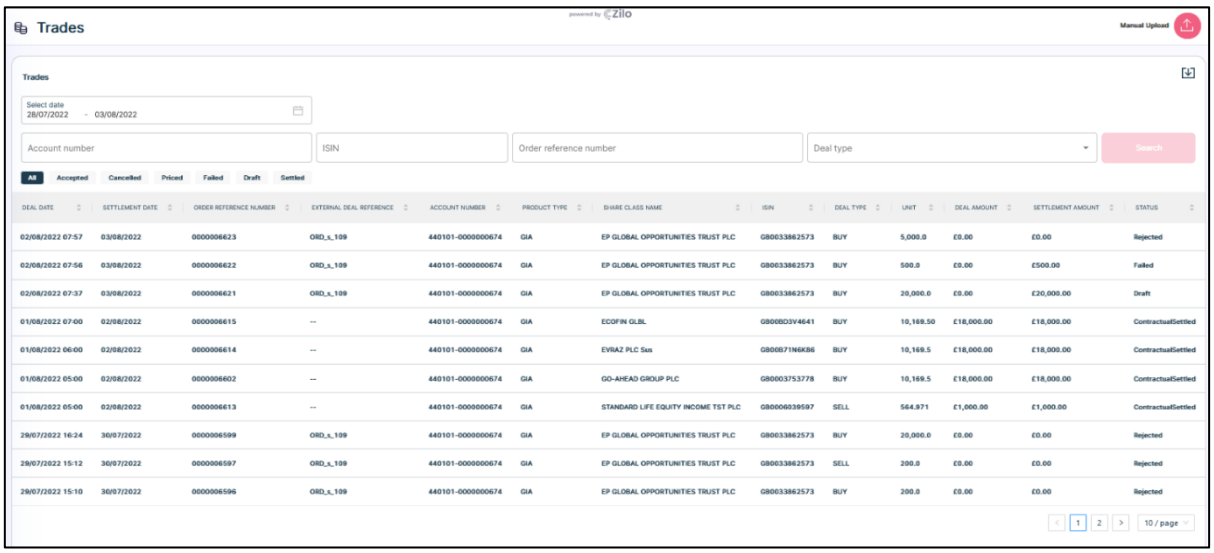
Manually upload a trade:

1. Select *Trades* from the left-hand side navigation panel.

   Information

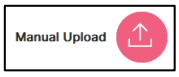


   Result

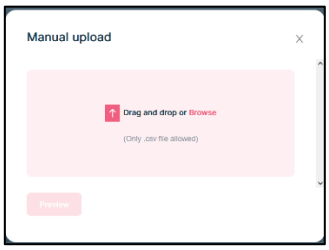


2. Select *Manual Upload*.

   Information



Result



3. Drag and drop the file.

   Information

   The file must be CSV format.

   Result

   The *Preview* button becomes available.

4. Select *Preview*.

   Note

   You must carefully check the details of the proposed trade.

5. Select *Submit*.

   Result

   The trade is submitted to the trade queue.

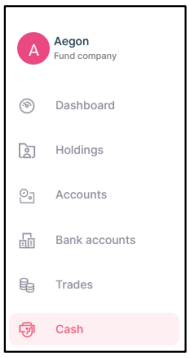
Viewing cash positions

You can view information about cash positions.

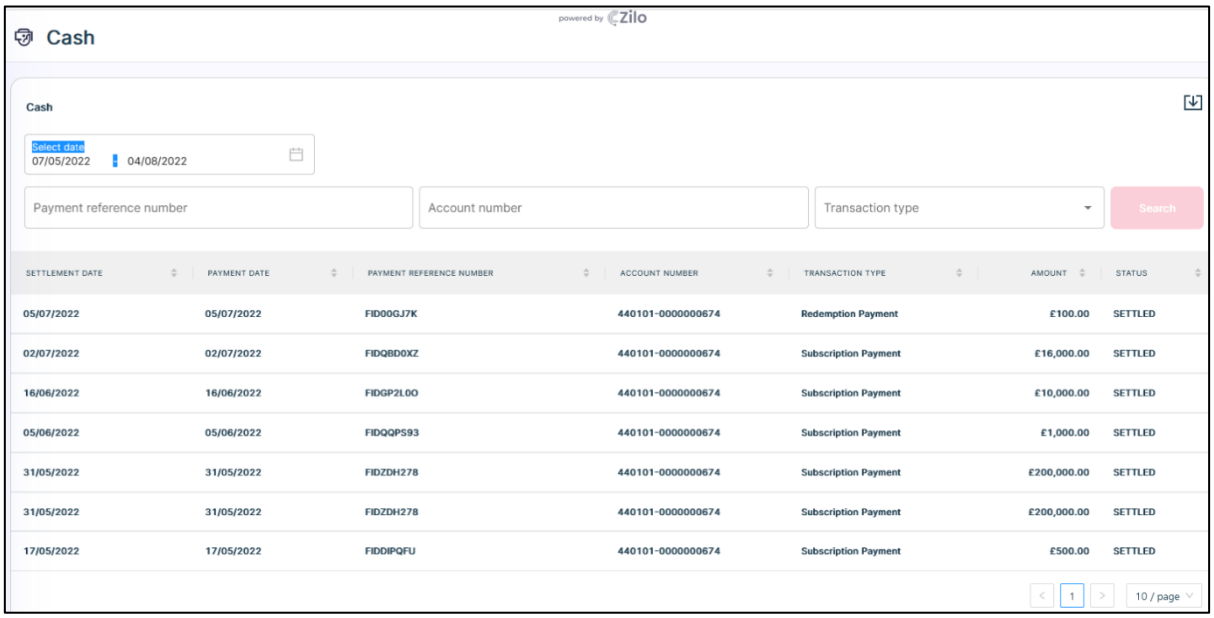
View cash positions:

1. Select *Cash* from the left-hand side navigation panel.

Information



Result



Column name	Purpose
SETTLEMENT DATE	The date on which the trade was settled.
PAYMENT DATE	The date on which the payment was made.
PAYMENT REFERENCE NUMBER	A generated unique payment reference number.
ACCOUNT NUMBER	The bank account number associated with the payment.
TRANSACTION TYPE	The transaction type: subscription/redemption.
AMOUNT	The amount of the payment in pounds.
STATUS	The payment status.

Viewing a cash position by date

You can view information cash positions based on date.

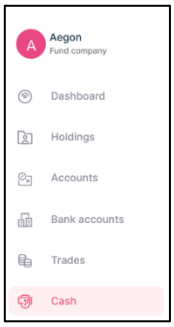
You can select:

- A date range
- Today
- Previous day
- Last 7 days
- Last 30 days
- Last 90 days

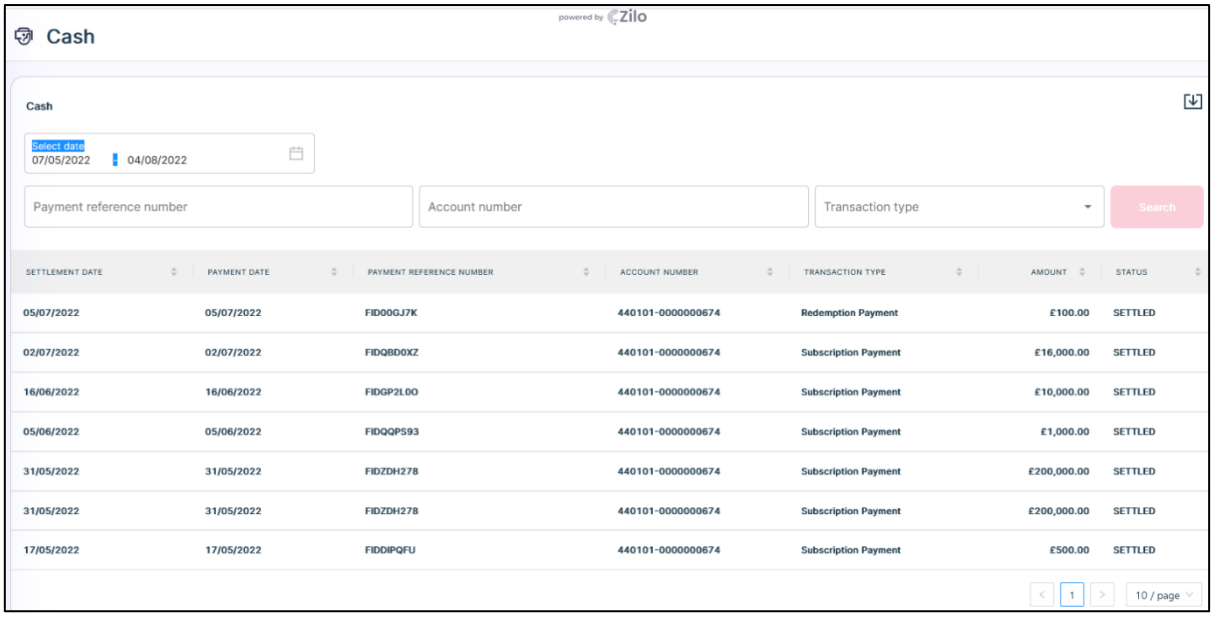
View cash positions by date:

1. Select *Cash* from the left-hand side navigation panel.

   Information

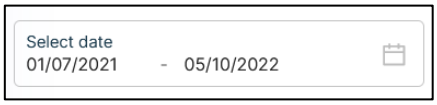


   Result

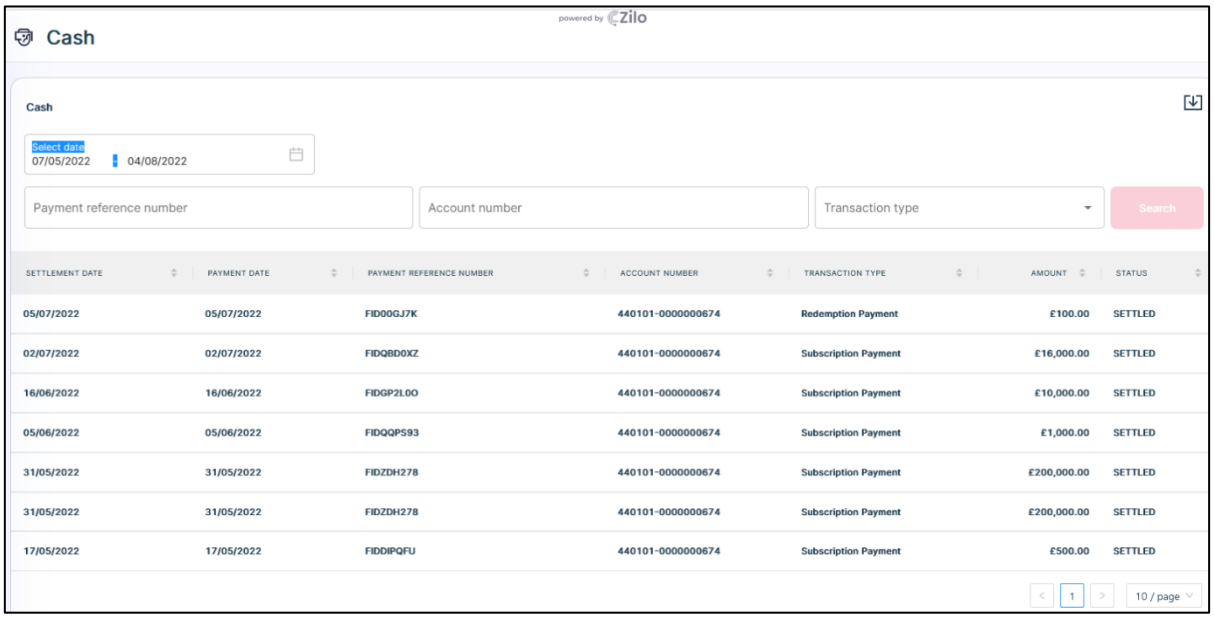


2. Select *Select date*.

Information



Result



Column name	Purpose
SETTLEMENT DATE	The date on which the trade was settled.
PAYMENT DATE	The date on which the payment was made.
PAYMENT REFERENCE NUMBER	A generated unique payment reference number.
ACCOUNT NUMBER	The bank account number associated with the payment.
TRANSACTION TYPE	The transaction type: subscription/redemption.
AMOUNT	The amount of the payment in pounds.
STATUS	The payment status.

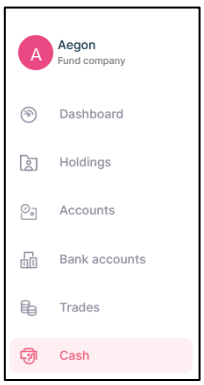
Viewing a cash position by payment reference number

You can view a particular cash position by the payment reference number.

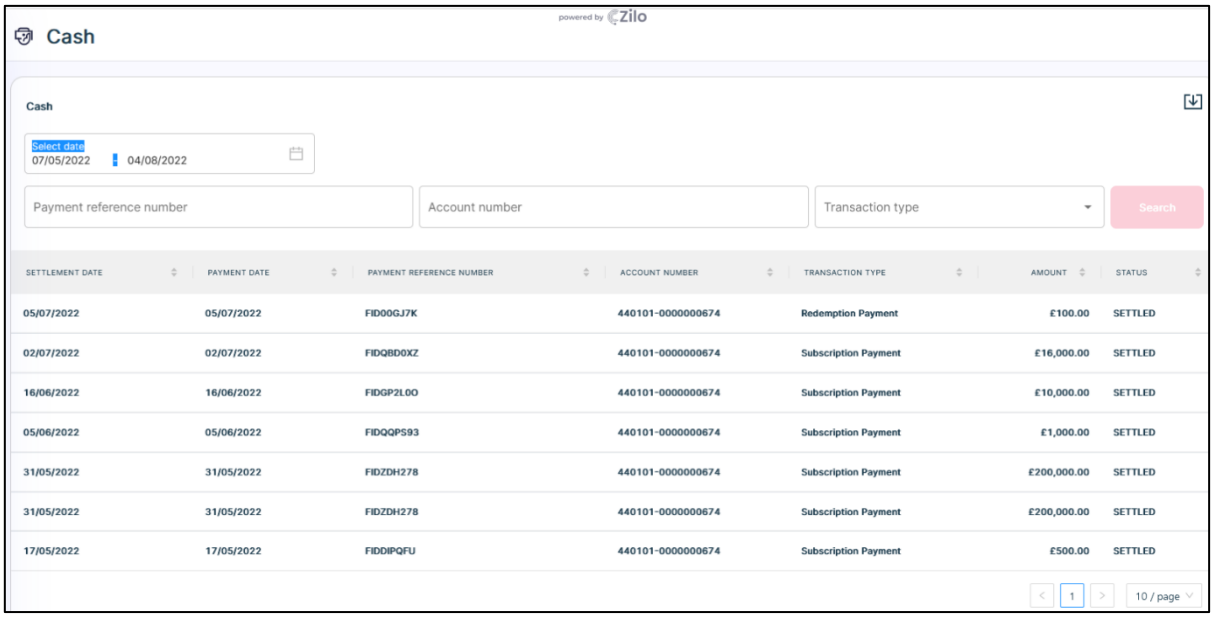
View cash positions by payment reference number:

1. Select *Cash* from the left-hand side navigation panel.

   Information



   Result



2. Select a date range.
3. Enter the *Payment reference number*.

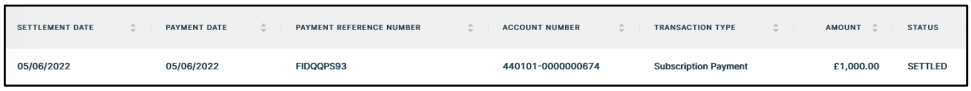
   Information

   Result

   The search button becomes available.

4. Select *Search*.

Result



SETTLEMENT DATE	PAYMENT DATE	PAYMENT REFERENCE NUMBER	ACCOUNT NUMBER	TRANSACTION TYPE	AMOUNT	STATUS
05/06/2022	05/06/2022	FIDQQPS93	440101-0000000674	Subscription Payment	£1,000.00	SETTLED

Column name	Purpose
SETTLEMENT DATE	The date on which the trade was settled.
PAYMENT DATE	The date on which the payment was made.
PAYMENT REFERENCE NUMBER	A generated unique payment reference number.
ACCOUNT NUMBER	The bank account number associated with the payment.
TRANSACTION TYPE	The transaction type: subscription/redemption.
AMOUNT	The amount of the payment in pounds.
STATUS	The payment status.

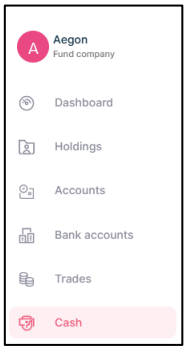
Viewing a cash position by account number

You can view a particular cash position by account number.

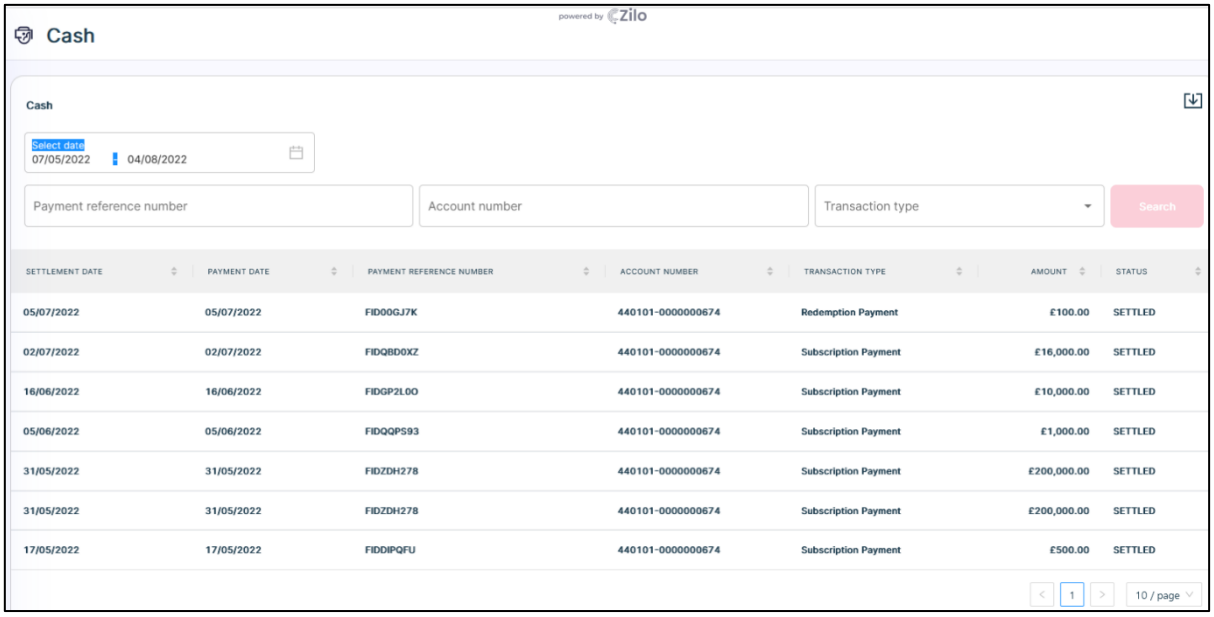
View cash positions by account number:

1. Select *Cash* from the left-hand side navigation panel.

   Information

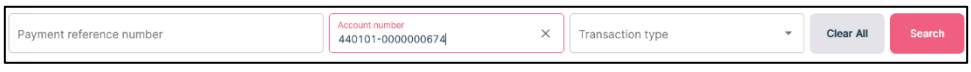


   Result



2. Enter the *Account number*.

   Information

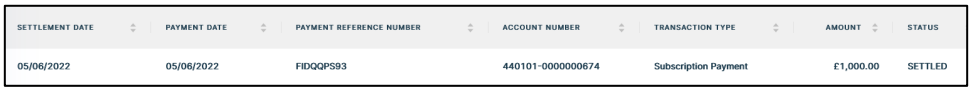


   Result

   The search button becomes available.

3. Select *Search*.

   Result



SETTLEMENT DATE	PAYMENT DATE	PAYMENT REFERENCE NUMBER	ACCOUNT NUMBER	TRANSACTION TYPE	AMOUNT	STATUS
05/06/2022	05/06/2022	FIDQQPS93	440101-0000000674	Subscription Payment	£1,000.00	SETTLED

Column name	Purpose
SETTLEMENT DATE	The date on which the trade was settled.
PAYMENT DATE	The date on which the payment was made.
PAYMENT REFERENCE NUMBER	A generated unique payment reference number.
ACCOUNT NUMBER	The bank account number associated with the payment
TRANSACTION TYPE	The transaction type: subscription/redemption.
AMOUNT	The amount of the payment in pounds.
STATUS	The payment status.

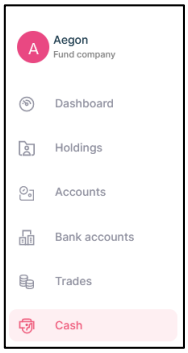
Viewing a cash position by transaction type

You can view a particular cash position by transaction type. There are two transaction types: subscription and redemption. Redemption is used as an example.

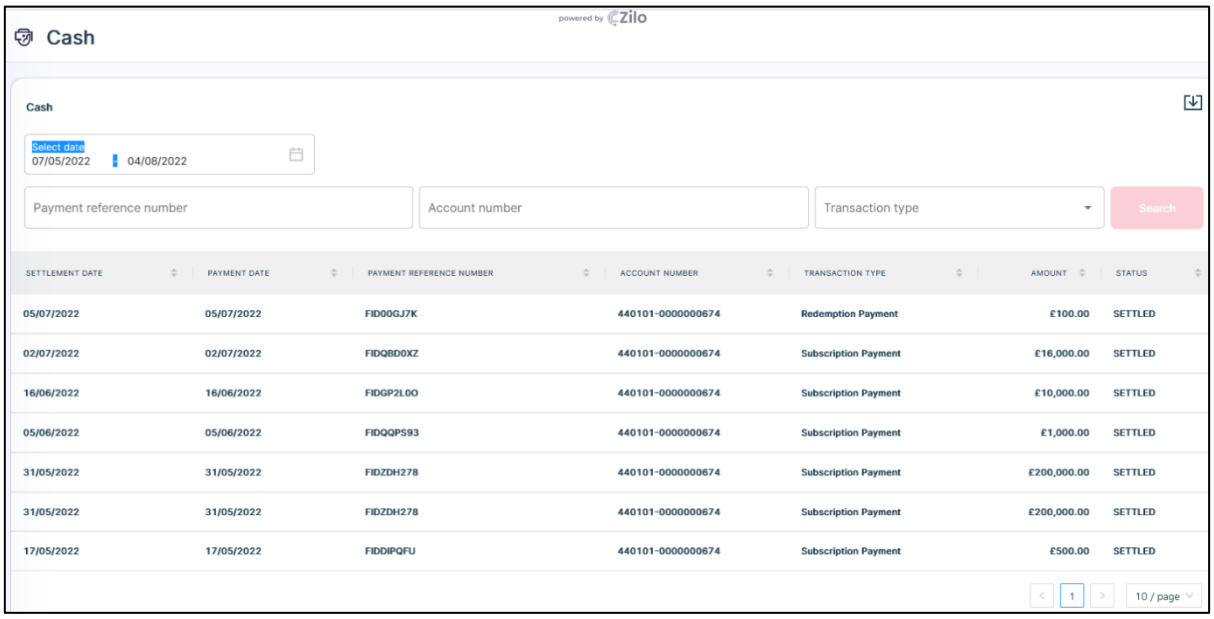
View cash positions by transaction type:

1. Select *Cash* from the left-hand side navigation panel.

   Information



   Result



2. Select *Transaction type*.

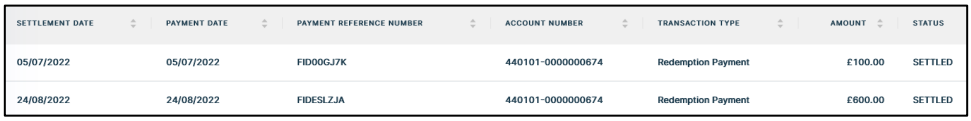
   Information

   Result

   The search button becomes available.

3. Select *Search*.

Result



SETTLEMENT DATE	PAYMENT DATE	PAYMENT REFERENCE NUMBER	ACCOUNT NUMBER	TRANSACTION TYPE	AMOUNT	STATUS
05/07/2022	05/07/2022	FID00GJ7K	440101-0000000674	Redemption Payment	£100.00	SETTLED
24/08/2022	24/08/2022	FIDESLZJA	440101-0000000674	Redemption Payment	£600.00	SETTLED

Column name	Purpose
SETTLEMENT DATE	The date on which the trade was settled.
PAYMENT DATE	The date on which the payment was made.
PAYMENT REFERENCE NUMBER	A generated unique payment reference number.
ACCOUNT NUMBER	The bank account number associated with the payment.
TRANSACTION TYPE	The transaction type: subscription/redemption.
AMOUNT	The amount of the payment in pounds.
STATUS	The payment status.

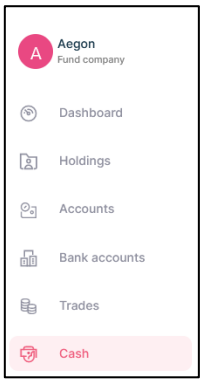
Viewing a payment date associated with a cash position

You can view a payment date associated with a cash position.

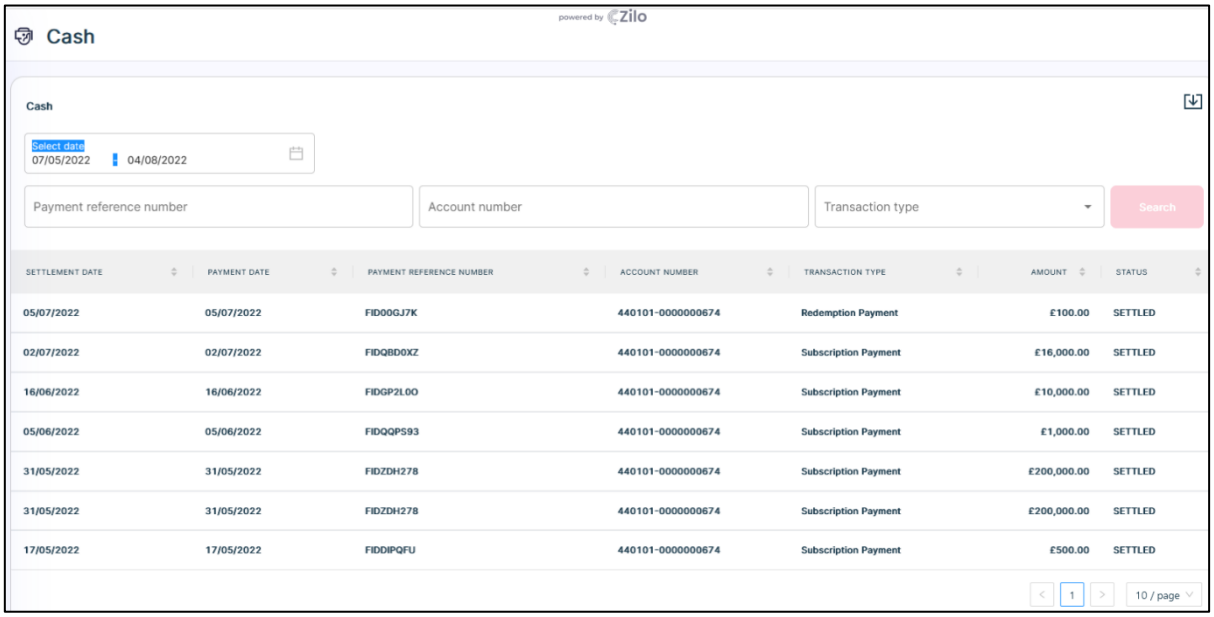
View cash positions by payment date:

1. Select *Cash* from the left-hand side navigation panel.

   Information

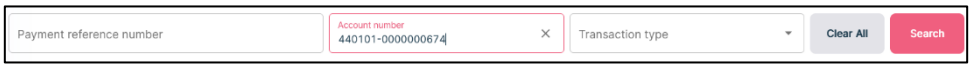


   Result



2. Enter the Account number.

   Information

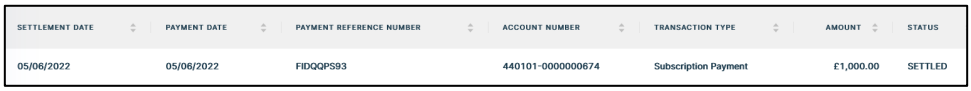


   Result

   The search button becomes available.

3. Select *Search*.

   Result



SETTLEMENT DATE	PAYMENT DATE	PAYMENT REFERENCE NUMBER	ACCOUNT NUMBER	TRANSACTION TYPE	AMOUNT	STATUS
05/06/2022	05/06/2022	FIDQQPS93	440101-0000000674	Subscription Payment	£1,000.00	SETTLED

4. Navigate to the *Payment date* column.

Column name	Purpose
SETTLEMENT DATE	The date on which the trade was settled.
PAYMENT DATE	The date on which the payment was made.
PAYMENT REFERENCE NUMBER	A generated unique payment reference number.
ACCOUNT NUMBER	The bank account number associated with the payment.
TRANSACTION TYPE	The transaction type: subscription/redemption.
AMOUNT	The amount of the payment in pounds.
STATUS	The payment status.

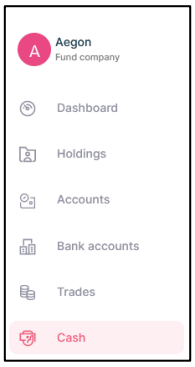
Viewing a settlement date associated with a cash position

You can view a settlement date associated with a cash position.

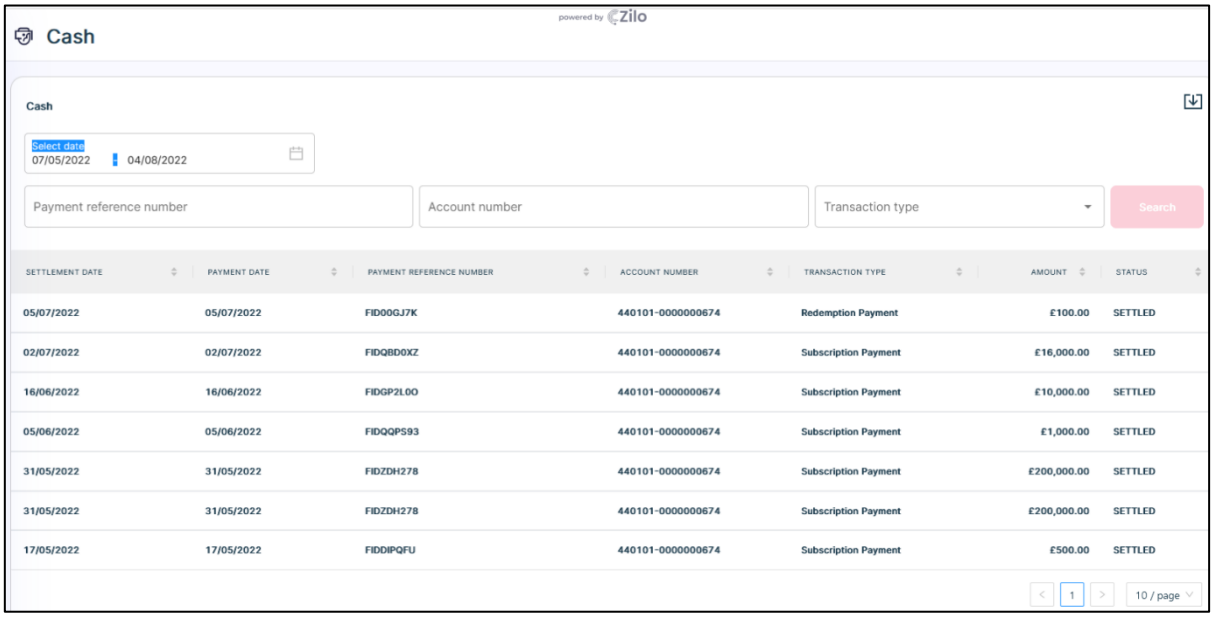
View cash positions by settlement date:

1. Select *Cash* from the left-hand side navigation panel.

   Information

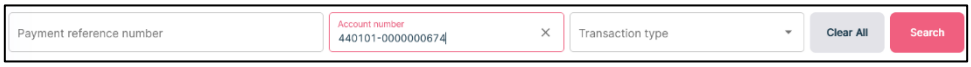


   Result



2. Enter the *Account number*.

   Information

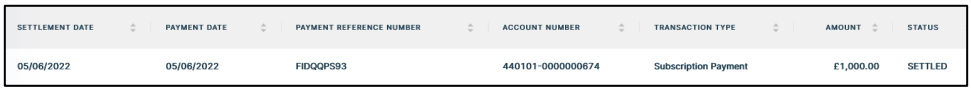


   Result

   The search button becomes available.

3. Select *Search*.

   Result



SETTLEMENT DATE	PAYMENT DATE	PAYMENT REFERENCE NUMBER	ACCOUNT NUMBER	TRANSACTION TYPE	AMOUNT	STATUS
05/06/2022	05/06/2022	FIDQQPS93	440101-0000000674	Subscription Payment	£1,000.00	SETTLED

4. Navigate to the *Settlement date* column.

Column name	Purpose
SETTLEMENT DATE	The date on which the trade was settled.
PAYMENT DATE	The date on which the payment was made.
PAYMENT REFERENCE NUMBER	A generated unique payment reference number.
ACCOUNT NUMBER	The bank account number associated with the payment.
TRANSACTION TYPE	The transaction type: subscription/redemption.
AMOUNT	The amount of the payment in pounds.
STATUS	The payment status.

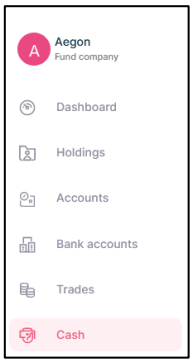
Viewing an account number associated with a cash position

You can view an account number associated with a cash position.

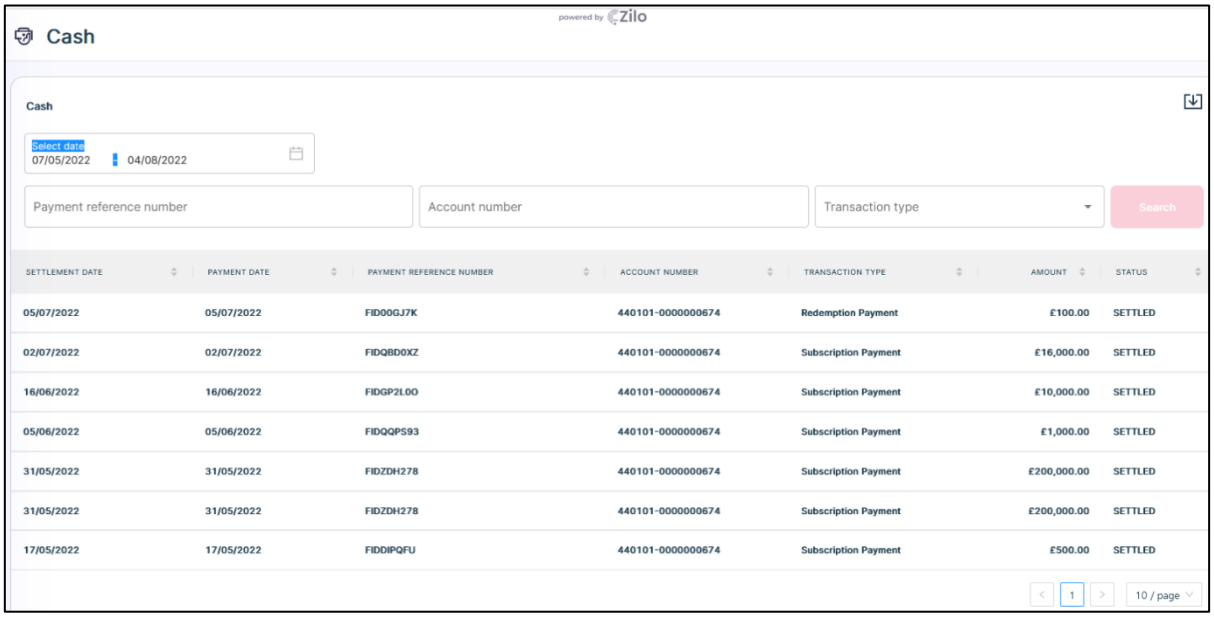
View cash positions by account number:

1. Select *Cash* from the left-hand side navigation panel.

   Information

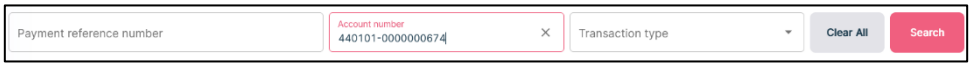


   Result



2. Enter the *Account number*.

   Information

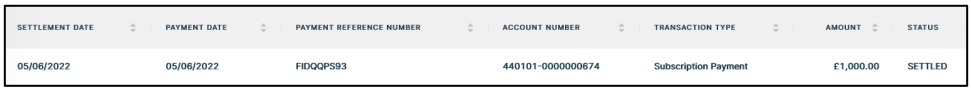


   Result

   The search button becomes available.

3. Select *Search*.

   Result



SETTLEMENT DATE	PAYMENT DATE	PAYMENT REFERENCE NUMBER	ACCOUNT NUMBER	TRANSACTION TYPE	AMOUNT	STATUS
05/06/2022	05/06/2022	FIDQQPS93	440101-0000000674	Subscription Payment	£1,000.00	SETTLED

Column name	Purpose
SETTLEMENT DATE	The date on which the trade was settled.
PAYMENT DATE	The date on which the payment was made.
PAYMENT REFERENCE NUMBER	A generated unique payment reference number.
ACCOUNT NUMBER	The bank account number associated with the payment.
TRANSACTION TYPE	The transaction type: subscription/redemption.
AMOUNT	The amount of the payment in pounds.
STATUS	The payment status.

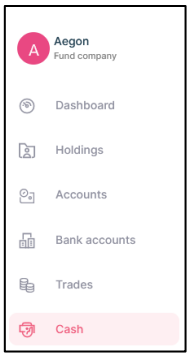
Viewing a payment amount with a cash position

You can view a payment amount associated with a cash position. Payment amounts are in pounds.

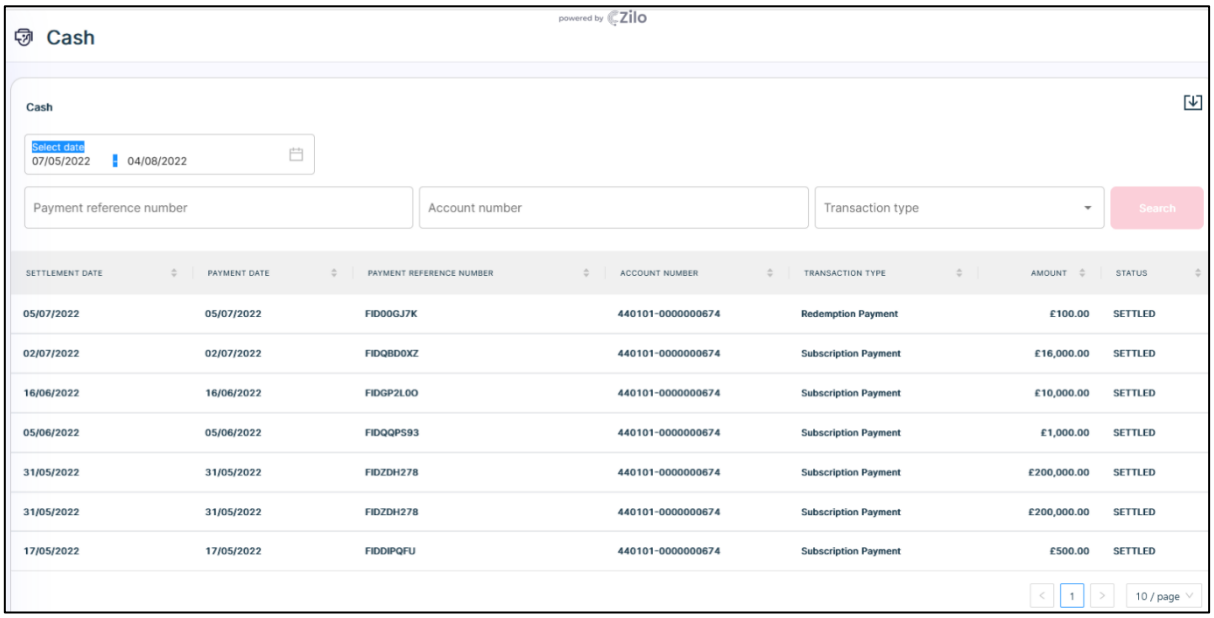
View cash positions by payment amount:

1. Select *Cash* from the left-hand side navigation panel.

   Information

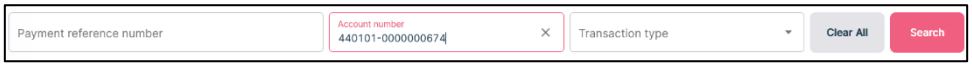


   Result



2. Enter the *Account number*.

   Information

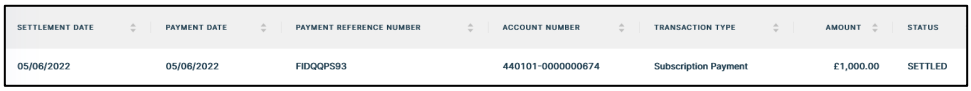


   Result

   The search button becomes available.

3. Select *Search*.

   Result



SETTLEMENT DATE	PAYMENT DATE	PAYMENT REFERENCE NUMBER	ACCOUNT NUMBER	TRANSACTION TYPE	AMOUNT	STATUS
05/06/2022	05/06/2022	FIDQQPS93	440101-0000000674	Subscription Payment	£1,000.00	SETTLED

4. Navigate to the *Amount* column.

Column name	Purpose
SETTLEMENT DATE	The date on which the trade was settled.
PAYMENT DATE	The date on which the payment was made.
PAYMENT REFERENCE NUMBER	A generated unique payment reference number.
ACCOUNT NUMBER	The bank account number associated with the payment.
TRANSACTION TYPE	The transaction type: subscription/redemption.
AMOUNT	The amount of the payment in pounds.
STATUS	The payment status.

Document history

Document history is recorded in reverse chronological order.

Creator	Date	Approver	Date	Notes
RG	05/07/23			First version published