The smart investment platform

Registering a new client with AML

User Guide

Overview

Registering a client and submitting new business to the Novia Global platform is a straightforward process comprised of the following main stages:

Stage 1: Complete the online application to register a new client

1. Select Clients from the homepage
2. Select Register Client
3. Select the relevant type of application and follow the screens to input the client information
4. Click Submit on the Declaration screen: the new client record is automatically created on the Novia Global back office system.

Stage 2: Print or save the generated documents

GIA

- Intermediary should send the Payment Instruction Form to the client to arrange payment to the relevant bank details.
- If the account is set up in the name of a third-party provider, it is recommended that the Intermediary send them a copy of the Application Summary as confirmation of what has been submitted.

UK SIPP

- Client to sign Self Certification and Expression of Wish (available from the Documents folder) for Adviser to upload via Secure Mail.
- Client to sign Transfer Authority which should be posted to Novia Global, along with a copy of the Application Summary.

Stage 3: Upload AML documentation via the Secure Mail functionality

- AML documentation must be received and verified by Novia Global Client Services before the Intermediary can place any trades.
- See our Submitting AML Process Guide for more information on how to submit AML documentation for a new client.

A video tutorial of this process is also available to watch in our online support hub.

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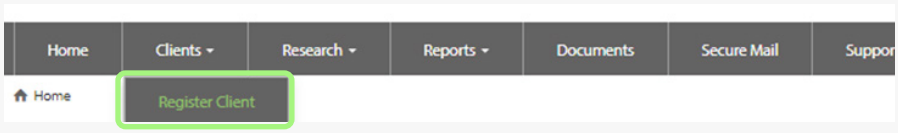
Stage 1: Registering a new client



Step 1

After initially logging onto the platform, select **Clients** then **Register Client**.



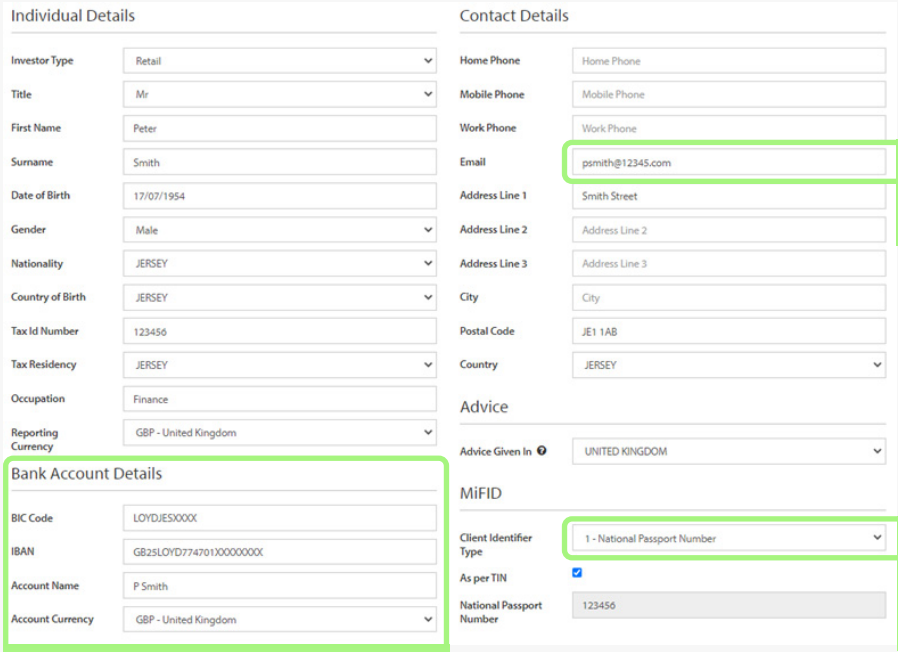
Step 2

Select product type.



Step 3

Select client type.



Step 4

Complete client details.

Email address required as this generates client online access

Option to use client details or our system will generate a unique reference

Enter client bank account, BIC code & IBAN number



Step 5

Select **Product** – eg GIA (GBP). If you wish, fill out the optional **Designation** – eg School Fees Savings. Then, confirm your **Source of Wealth**.

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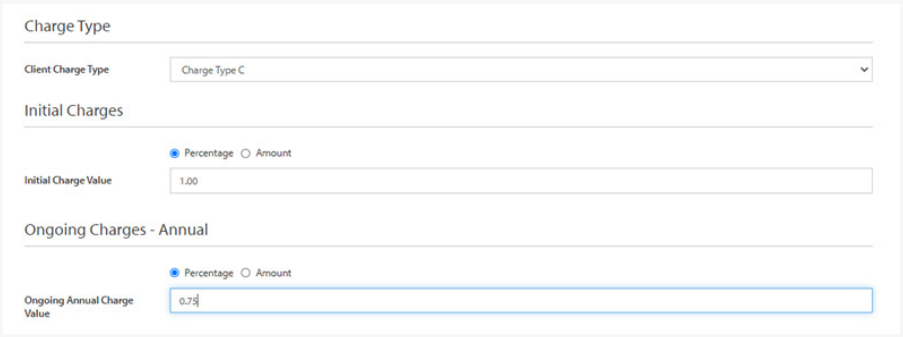
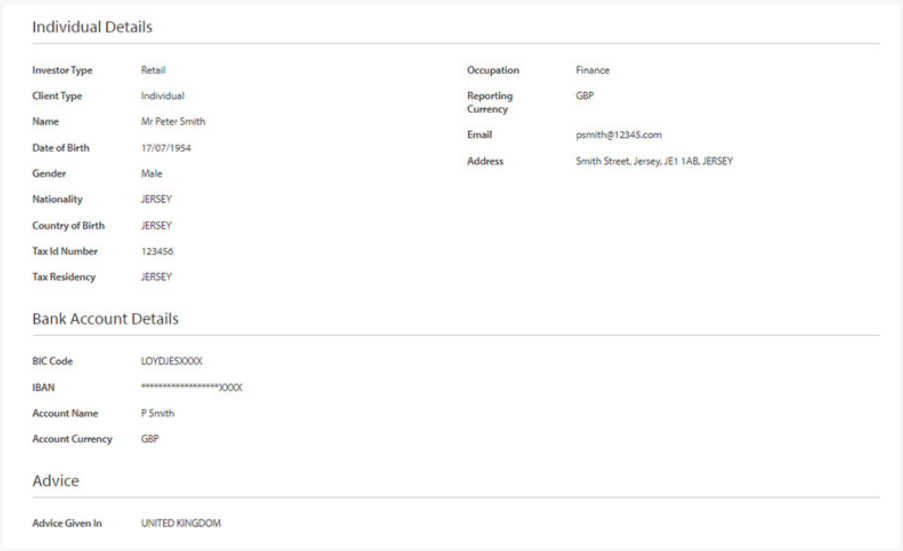


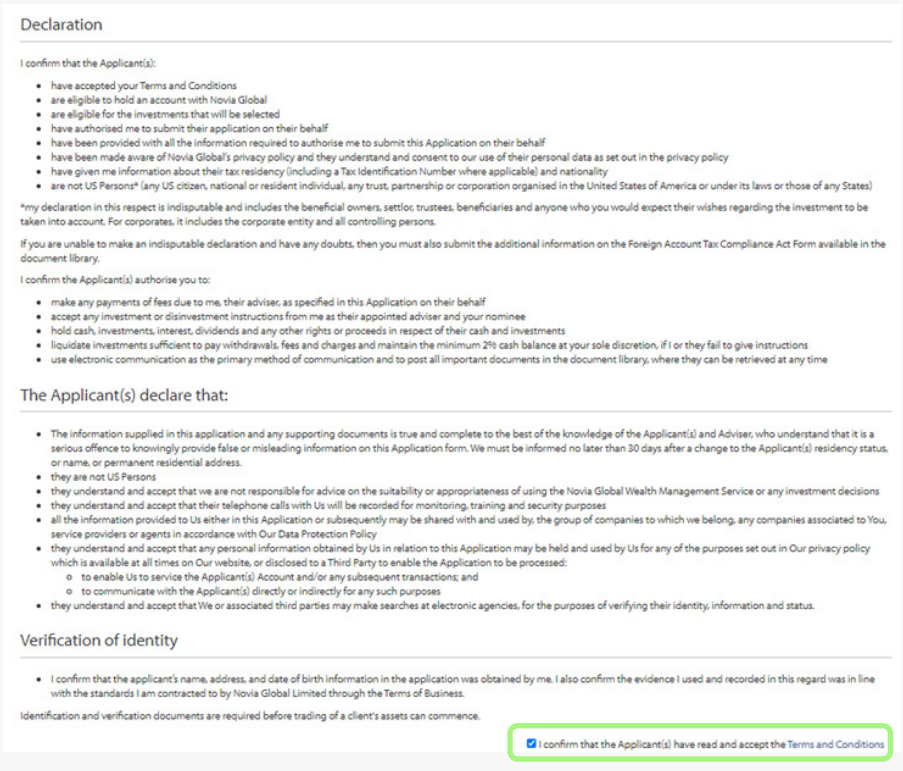
Step 6

Enter initial and/or ongoing adviser fee charge – either as % or monetary amount



Step 7

The application summary details are now displayed for checking.



Step 8

Tick to confirm application details are correct and accept declaration.

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Stage 2: Print or save the generated documents



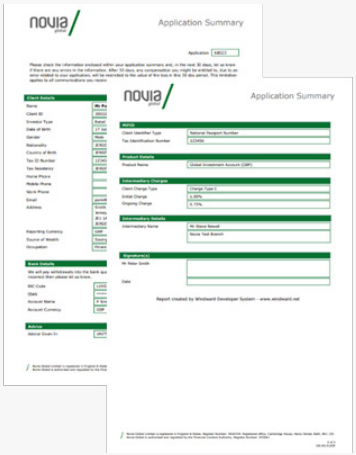
Step 9

After submitting the case, the relevant documents are generated. These documents can be opened and printed.

Welcome Letter



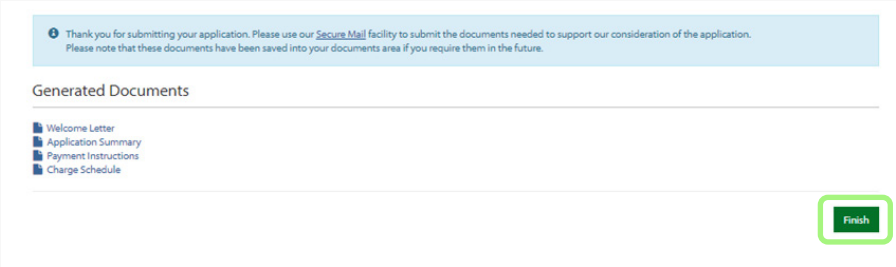
Application Summary



Payment Instruction Details

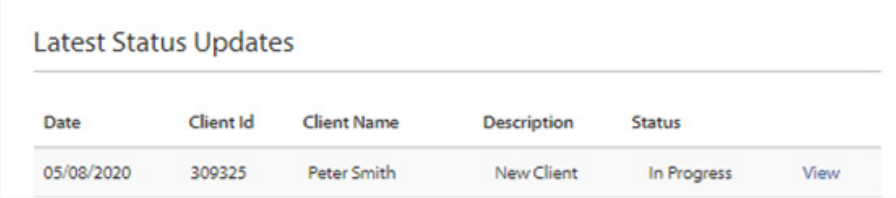


The application summary can be signed by client and retained by the adviser if required. It does not need to be submitted to Novia Global.



Step 10

After reviewing the documents, click "finish" to complete the process.



Step 11

You will then be returned to the homepage with the new client information now being displayed.

Once the client has been created, proceed to upload AML documents when available.

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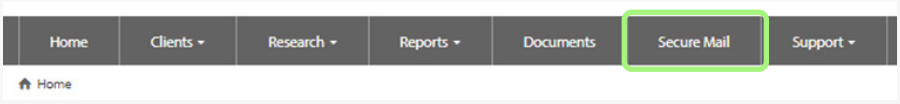
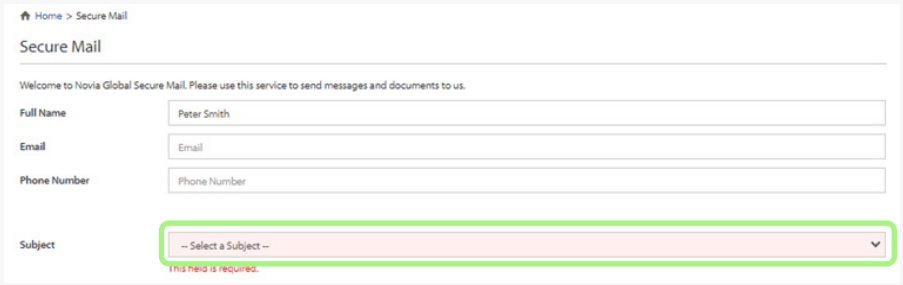
Stage 3: Submitting client AML



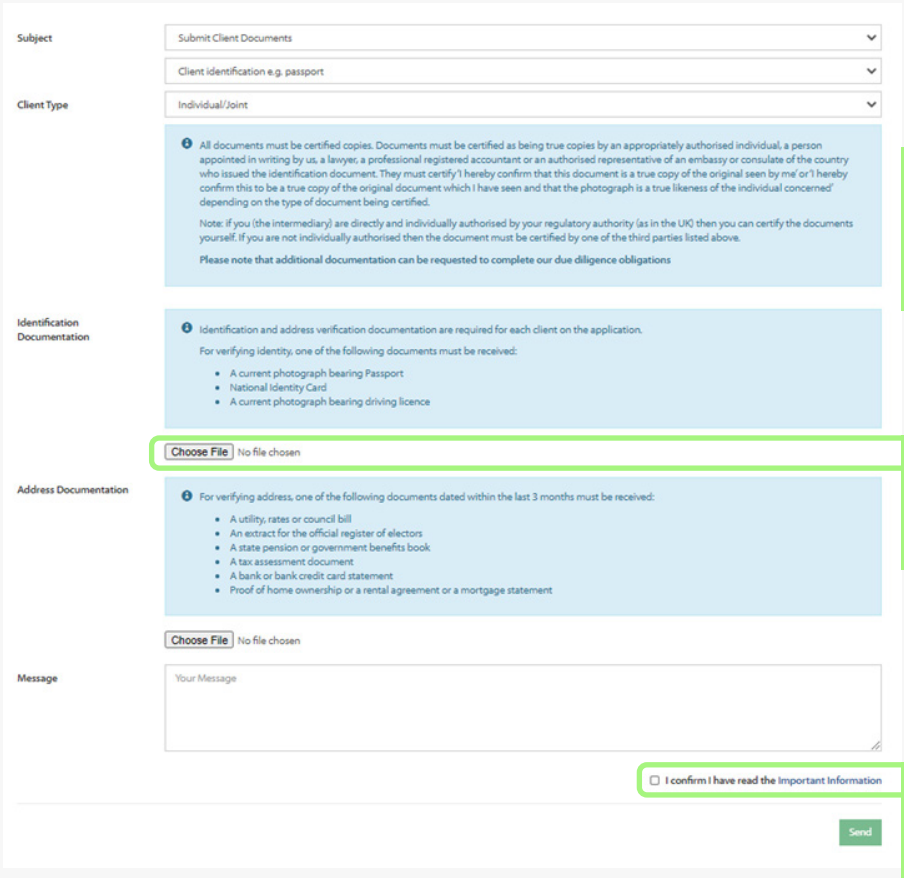
Step 12

From the homepage, select client Secure Mail.



Step 13

Enter the client details and select the subject Submit Client Documents.



Step 14

Upload the required documents.

Client ID and name details can be copied from the "latest activity" section of the homepage.

Choose file(s) to upload certified ID and proof of address (valid within last 3 months).

Tick declaration and then click "send" to submit the documents.

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