

# Equiniti Investment Services



Leading the way  
in outsourced  
Investment Services



Equiniti Investment Services is part of the award-winning Equiniti group of companies.

Equiniti Group is a proven financial and business process outsourcing (BPO) provider. It is also the UK's leading share registrar with a well-established client heritage covering around 50% of FTSE100 companies

As well as being a leader in the complex, commercial BPO field Equiniti is also a major player in the fast-growing HR, pension services and employee benefits markets and administers in excess of 4million sharesave, SIP and flex accounts.

The Equiniti Group has over 2,700 employees in 23 office locations and supports more than 1,600 clients in both the public and private sectors.

Who we are



A driving force

Equiniti Investment Services is a provider of outsourced investment administration services including custody, settlement and securities trading. These services are provided to both financial and non-financial corporate clients. We also provide a number of these services on a branded or "white-label" basis.

Through our sister company peterevans, we supply award winning front to back office software solutions for the financial services industry with a specific focus on the securities and investment market.

## Our Solutions

- Outsourced investment administration
- Branded (white-labelled) investment platforms
- Front to back office software solutions
- Custody, settlement and clearing services
- Certificated and online investment dealing
- Executive and Employee Share Dealing Services
- Corporate and Workplace ISA

## Outsourced investment administration

Equiniti Wealth Solutions is a dedicated service for the financial services, wealth management and retail stockbroking market. It provides centralised pooling of custody and business processes, as well as a customer interface. It is designed to reduce the cost of processing at the same time as reducing regulatory risk; enabling firms to focus on customer service and business growth.

As one of the UK's leading registrars administering around 20m holdings, we provide custody services and are in the unique position of having experience in processing significant volumes of transactions and providing financial services outsourcing within the retail environment.

We have the systems and processes which deliver solutions at scale, achieving cost reductions while addressing ongoing regulatory requirements.

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## Branded (white-labelled) investment platforms

Extending a firm's product range can open up exciting new revenue streams, but not without incurring cost and risk. Our branded investment platforms allow corporate entities to offer new investment services under their own brand at minimal cost and time-to-market while removing much of the regulatory burden.

We are able to offer considerable flexibility in supporting every aspect of the trade lifecycle, from execution to post-trade processing. You can also choose to benefit from the support of our award winning contact centre, product launch and ongoing promotional services.

## Our core capabilities

- Transaction execution
- Trade capture and support
- Cash processing
- Clearance and settlement
- Custody
- Asset servicing and corporate actions
- Support services
- Data management
- Investment management services
- Reporting

## Front to back office software solutions

peterevans is part of the Equiniti Group and is a leading provider of front to back office solutions for the financial services sector. With more than 27 years experience of providing solutions to this sector, peterevans provides configurable, fully integrated, browser based, front to back solutions that can be either deployed as a single application or integrated as components into your existing platform.

## Retail investment products

### *Certificated and online investment dealing*

Employees and shareholders from within the Equiniti Group's corporate client base have access to our complementary certificated and online investment dealing services. They can choose to trade online, with the Equiniti Investment Account or Equiniti Shareview Dealing ISA, by telephone or by post where Equiniti is the registrar.

### *Executive and Employee Share Dealing Services*

Equiniti's Executive Share Dealing Services (ESDS) provides specialist services to the corporate executive market. With 30% of FTSE 100 firms on board and over 20 years experience in the industry, the ESDS team offers a wealth of knowledge and experience.

### *Employer Sponsored ISAs*

We offer a suite of employer-sponsored ISAs:

- The Corporate ISA for employees who have maturing share save schemes and want to mitigate any potential Capital Gains Tax liability and potentially diversify their investments
- The corporate funded Workplace ISA with the option of payroll deduction
- The employee Workplace ISA, which benefits from corporate sponsor endorsement and plan savings

It is our direct involvement with retail customers which gives us such an intimate knowledge of investor needs and a full appreciation of the importance of the investor experience.

Who we work with

We go where you go





## Financial institutions, wealth managers and retail stockbrokers

Equiniti Wealth Solutions is designed specifically to meet the existing and ever-changing needs of financial institutions, wealth managers and retail stockbrokers.

Our multi-channel administration service and execution-only investment solutions enable established financial firms to reduce operational costs and efficiently extend their branded product offering while new entrants can gain instant access to a reliable and trusted infrastructure at a low cost of entry.

## Corporate clients

We work with non-financial corporate entities, providing fully-branded investment services.

We provide front office services with our award-winning customer support team, launch marketing and ongoing promotional support, and cover every aspect of back office processing.

Our Executive Share Dealing Services and Shareview Dealing offering provides investment services to employee and corporate executive shareholders.

# Informed investing

Providing insight



## Working with you

We will work with you to understand your business objectives and customer base, help identify your strengths and, reinforced by Equiniti's services, create a compelling investment solution. We will ensure that at every stage you have the information and detail you need to make informed decisions, tracking all progress and developments.

## Supporting your customers

For your customers or employees to make informed choices they need access to information they can understand, when they want it.

We provide investors with telephone and online support, market data and product information 24-hours a day through our online services and day-to-day support from our award winning, UK-based customer services team. Our weekly, monthly and periodic updates support over 320,000 investors in the UK.

# Our people

Access to our expertise



Our team is comprised of over 150 recognised industry practitioners. We draw across industry disciplines and we do not merely follow trends in our business, we shape them.

Within our team are Fellows of the Chartered Institute of Securities and Investment, committee members at Euroclear UK & Ireland and members of the Association of Private Client Investment Managers and Stockbrokers (APCIMS). We are not only aware of the conversations taking place in regulatory and political circles, we are also aware of issues coming down the line that will affect the business and operations of our clients.

We operate at consistently high standards, from our award winning customer services team through to our relationship managers, operational, technical and investment trading specialists.

Your assurance

Our experience



Outsourcing to a third party is an important decision but our clients know that we have the breadth and depth of knowledge to support their business:

- We administer over £11 billion of assets and transact 2500+ corporate actions annually
- Corporate clients have chosen us to provide ISA's for their employees based on long and trusted relationships
- We are a specialist provider of trading, custody, settlement and technology
- We have a detailed knowledge of the investor market through our direct provision of retail investment services



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