

# Transfer Report User Guide



The transfer report can be downloaded from the business reports section of the platform and provides a view of all transfer requests that have been submitted to us. Including transfers into and away from our platform. You can check the status of the transfer and the last date the transfer was reviewed by our transfer team.

## Top tips when using the report

1. When you first use the report in excel, filter the 'transfer in/out' column to remove 'custody to custody'. This will remove any internal transfers from the report, including crystallisation events where assets are moving from an uncrystallised account, to a crystallised sub account.
2. On the 'status narrative' column filter out reference to 'payment has been received' or 'payment received.' Where a payment has been received a separate line will have been created in the report and will be marked as complete, filtering on this basis, will make sure you are not seeing duplicate transfer entries.
3. If you are re-registering assets, there will be a row for each line of stock and any residual cash will be shown in a separate row. Any cash only transfers will only show as a single row.

## A reminder of Transfer Timelines

### Cash Transfers

- Cash transfers typically complete within 20 business days from receipt of the transfer request and where the transfer can be completed electronically. If the transfer cannot be completed electronically, it will take longer.
- We aim to chase the transfer after 25, 45 and 65 days.
- If we receive the cash payment but are missing requirements to invest the payment, these will be chased on day 2 after receipt of the cash and every 3 days thereafter.

### Re-registration

- Re-registrations typically take around 30 business days to complete where the ceding/receiving scheme and fund managers are able to re-register the assets electronically. Where this is not the case and manual stock transfer forms are required the process can take longer to complete, depending on the types and number of funds being re-registered.
- For electronic re-registrations, there is an automated chase process, but we manually chase if the transfer is still outstanding after 60 days.
- For manual re-registrations, we aim to chase the transfer after 25, 45 and 65 days.
- Please note that any funds that cannot be re-registered and are sold to cash will be sent out or received following the last re-registered asset completing.

A	B	C	D	E	F	G	H	I	J	K
ISIN	SEDDL	Stock Name	Stock Description	Asset Type	EFMBroker	IFA	Assigned Adv	Client A/C Number	Client Name	Account Type
GB00BPFJCF57	BPFJCF5	KORT.GB	iShares Global Prop Securities Eq Index (UK) Acc -U2	Managed Fund	Elevate, Part of Standard Life	PLWXXXXSA6	Anne Example	AC123456	Example Client A	Pension
GB00B0CNHB84	B0CNHB8	LO61.GB	L+G Cash Trust Acc -U	Managed Fund	Elevate, Part of Standard Life	PLWXXXXSA6	Anne Example	AC123456	Example Client A	Pension
GB0004509038	B450903	MECS.GB	Vanguard UK Inflation Linked Gd Index Acc -U	Managed Fund	Elevate, Part of Standard Life	PLWXXXXSA6	Anne Example	AC123456	Example Client A	Pension
				Cash	Hargreaves Lansdown Asset Management Ltd	PLWXXXXSA6	Bob Test	AC123456	Example Client B	ISA Portfolio
				Cash	Standard Life	PLWXXXXSA6	Bob Test	AC123456	Example Client D	Collective Retirement Account
				Cash	Aviva	PLWXXXXSA6	Bob Test	AC123456	Example Client D	Collective Retirement Account
				Cash	Skipton Building Society	PLWXXXXSA6	Anne Example	AC123456	Example Client E	ISA Portfolio
				Cash	Aegon Packaged	PLWXXXXSA6	Anne Example	AC123456	Example Client E	Pension
				Cash	Cynergy Bank	PLWXXXXSA6	Anne Example	AC123456	Example Client E	ISA Portfolio
				Cash	Cynergy Bank	PLWXXXXSA6	Anne Example	AC123456	Example Client F	ISA Portfolio
				Cash	British Airways Pension Scheme (APS)	PLWXXXXSA6	Anne Example	AC123456	Example Client F	Collective Retirement Account
				Cash	Aviva	PLWXXXXSA6	Anne Example	AC123456	Example Client F	Collective Retirement Account
				Cash	Elevate, Part of Standard Life	PLWXXXXSA6	Anne Example	AC123456	Example Client F	Pension
				Cash	Elevate, Part of Standard Life	PLWXXXXSA6	Anne Example	AC123456	Example Client G	Pension
				Cash	Elevate, Part of Standard Life	PLWXXXXSA6	Anne Example	AC123456	Example Client G	Pension

L	M	N	O	P	Q	R	S	T	U
Transfer Report	Number of Units/Shares	Estimated Val	Status Description	Status Narrative	Update Date	Transfer Complete Actual Value	Request Date	Transfer In/Out	TIFC Request
Accumulation	1826.196	2912.7626	Pending - Mailed to Provider		13-May-2021 09:10:08		30-Apr-2021 09:29:05	In	N
Accumulation	6036.75	5936.0703	Pending - Mailed to Provider		13-May-2021 09:10:08		30-Apr-2021 09:29:05	In	N
Accumulation	22.4918	4671.9696	Pending - Mailed to Provider		13-May-2021 09:10:08		30-Apr-2021 09:29:05	In	N
		11299.87	Completed		11-May-2021 15:18:48	11299.87	5-May-2021 08:48:53	In	N
Accumulation		8146.86	Completed		27-Apr-2021 08:40:03	8146.86	26-Apr-2021 08:38:21	In	N
Accumulation		4326.33	Electronic - Transfer Requested	We have sent a request to the current provider and we're waiting for their response. Next chase date due around 17/05/2021	7-May-2021 12:48:51	4326.33	26-Apr-2021 16:55:14	In	N
Accumulation		9267.1	Electronic - Transfer Requested		6-May-2021 11:47:32	9267.1	16-Apr-2021 16:44:48	In	N
		6772.32	Pending - Awaiting Signed Transfer Authority		19-Apr-2021 11:01:03	6772.32	16-Apr-2021 17:05:12	In	N
Accumulation		30771.1	Completed		21-Apr-2021 14:27:54	30771.1	21-Apr-2021 14:29:06	In	N
		6498	Pending - Awaiting Signed Transfer Authority		14-Apr-2021 08:55:26	6498	13-Apr-2021 09:28:08	In	N
		6498.97	Pending - Awaiting Signed Transfer Authority		14-Apr-2021 08:55:49	6498.97	13-Apr-2021 09:30:50	In	N
Accumulation		88853.36	Completed		28-Apr-2021 08:22:08	88853.36	28-Apr-2021 08:20:15	In	N
Accumulation		21358	Electronic - Transfer Requested	We have sent a request to the current provider and we're waiting for their response. Next chase date due on 15/05/2021	7-May-2021 14:34:29	21358	27-Apr-2021 17:54:26	In	N
Accumulation		88765.87	Completed		15-Apr-2021 09:26:08	88765.87	15-Apr-2021 09:22:35	In	N
Crystallised		66000	Pending		15-Apr-2021 17:08:49	66000	15-Apr-2021 17:08:49	In	N
Crystallised		258000	Pending		15-Apr-2021 17:08:49	258000	15-Apr-2021 17:08:49	In	N

For financial advisers only

IBIN	SEDD	Stock Name	Stock Description	Asset Type	EFMD/Issuer	IFA	Assigned Adv	Client AIC	Client Name	Account Type	Arrangement Tag	Number of Units/Shares	Estimated Val	Status Description	Status Narrative	Update Date	Transfer Complete	Request Date	Transfer In/Out	IFEC Request
GB00BF45757	BF4575	IGBT GB	Shares Global Prop Securities (S) Index (UK) A22-U2	Managed Fund	Ellevest, Part of Standard Life	RLW00005846	Anne Example	AC123456	Example Client A	Pension	Accumulation	1825.195	2292.7026	Pending - Mailed to Provider		13-May-2021 09:10:00		30-Apr-2021 09:20:05	In	N
GB00B0C9H864	B0C9H8	LOSI GB	L+G Cash Trust Acc-U	Managed Fund	Ellevest, Part of Standard Life	RLW00005846	Anne Example	AC123456	Example Client A	Pension	Accumulation	6530.75	6936.6703	Pending - Mailed to Provider		13-May-2021 09:10:00		30-Apr-2021 09:20:05	In	N
GB0045029030	B45029	MECS GB	Vanguard UK Inflation Linked Gilt Index Acc-U	Managed Fund	Ellevest, Part of Standard Life	RLW00005846	Anne Example	AC123456	Example Client A	Pension	Accumulation	22.4915	4671.8595	Pending		13-May-2021 09:10:00		30-Apr-2021 09:20:05	In	N
				Cash	Hargreaves Lansdown Asset Management Ltd	RLW00005847	Bob Test	AC123456	Example Client B	ISA Portfolio		11269.87		Completed		11-May-2021 15:18:40	11269.87	5-May-2021 09:46:53	In	N
				Cash	Aviva	RLW00005846	Bob Test	AC123456	Example Client D	Collective Retirement Account	Accumulation	8146.96		Completed		27-Apr-2021 09:40:05	8146.96	27-Apr-2021 09:30:21	In	N
				Cash	Standard Life	RLW00005846	Bob Test	AC123456	Example Client D	Collective Retirement Account	Accumulation	4326.33		Electronic - Transfer Requested	We have sent a request to the current provider and we're waiting for their response. Next chase date due around 17/05/2021	7-May-2021 12:48:51	4326.33	26-Apr-2021 16:55:14	In	N
				Cash	Aviva	RLW00005846	Bob Test	AC123456	Example Client D	Collective Retirement Account	Accumulation	92071		Electronic - Transfer Requested		6-May-2021 11:47:32	92071	16-Apr-2021 16:44:48	In	N
				Cash	Slipston Building Society	RLW00005846	Anne Example	AC123456	Example Client E	ISA Portfolio	Accumulation	6772.32		Pending - Awaiting Signed Transfer Authority		19-Apr-2021 11:01:03	6772.32	16-Apr-2021 17:06:12	In	N
				Cash	Argon Packaged	RLW00005846	Anne Example	AC123456	Example Client E	ISA Portfolio	Accumulation	30771.1		Completed		21-Apr-2021 14:27:54	30771.1	21-Apr-2021 14:23:56	In	N
				Cash	Cynergy Bank	RLW00005846	Anne Example	AC123456	Example Client F	ISA Portfolio		6489		Pending - Awaiting Signed Transfer Authority		14-Apr-2021 08:55:26	6489	13-Apr-2021 09:28:06	In	N
				Cash	Cynergy Bank	RLW00005846	Anne Example	AC123456	Example Client F	ISA Portfolio		6489.97		Pending - Awaiting Signed Transfer Authority		14-Apr-2021 08:55:49	6489.97	13-Apr-2021 09:28:50	In	N
				Cash	British Airways Pension Scheme (APS)	RLW00005846	Anne Example	AC123456	Example Client F	Collective Retirement Account	Accumulation	88953.36		Completed		28-Apr-2021 08:22:00	88953.36	28-Apr-2021 08:20:15	In	N
				Cash	Aviva	RLW00005846	Anne Example	AC123456	Example Client F	Collective Retirement Account	Accumulation	21359		Electronic - Transfer Requested	We have sent a request to the current provider and we're waiting for their response. Next chase date due on 15/05/2021	7-May-2021 16:34:29	21359	27-Apr-2021 17:54:26	In	N
				Cash	Ellevest, Part of Standard Life	RLW00005846	Anne Example	AC123456	Example Client F	Pension	Accumulation	80765.67		Completed		15-Apr-2021 09:20:05	80765.67	15-Apr-2021 09:23:35	In	N
				Cash	Ellevest, Part of Standard Life	RLW00005846	Anne Example	AC123456	Example Client G	Pension	Crystallised	65000		Pending		15-Apr-2021 17:08:49	65000	15-Apr-2021 17:08:49	In	N
				Cash	Ellevest, Part of Standard Life	RLW00005846	Anne Example	AC123456	Example Client G	Pension	Crystallised	258000		Pending		15-Apr-2021 17:08:49	258000	15-Apr-2021 17:08:49	In	N

1	Columns A to D	These columns will only be shown for re-registrations and show details of the asset being re-registered. Column 'C' shows the platform's internal reference for the asset and can be disregarded.
2	Column E	Confirms the asset type e.g. Managed fund, Exchange Traded Instrument or Cash.
3	Column F	This shows the ceding or receiving provider depending upon whether the assets are being transferred to or away from our platform.
4	Column G and H	States the name of the assigned adviser and the adviser ID for the platform
5	Column L	Data will only show in this field relating to pensions. 'Accumulation' refers to uncrystallised assets and crystallised assets are also denoted.
6	Column M	Provides the estimated units for re-registered assets. Nothing will be shown in this field for cash transfers.
7	Column N	Confirms the estimated transfer value.
8	Column O	This confirms the status of the transferring assets, which include: <b>'Pending'</b> - means a newly submitted instruction where the transfer is yet to be requested There are multiple statuses that denote the transfer as in progress: - <b>'Electronic - Transfer Requested'</b> - Transfer requested on Origo or Altus - <b>'Pending - Mailed to Provider'</b> - Transfer requested manually - <b>'Pending - Mailed to Provider/Broker/Nominee'</b> - Re-reg requested manually - <b>'Electronic - Transfer Delay'</b> - There is a delayed transfer through Origo or Altus. When this occurs, you will usually be contacted by us, or the other provider. - <b>'Pending - electronic transfer sent'</b> - Origo or Altus transfer out - <b>'Electronic - Discovery Requested'</b> - Re-Reg electronic transfer requested <b>'Awaiting transfer authority'</b> means we require a signed transfer authority to be sent to us before the transfer can proceed further.
9	Column P	This will display any notes or further information relating to the transfer, where appropriate.
10	Column Q	Shows the date that the transfer was last reviewed by our team
11	Column R	Shows the value of the assets when the application is completed. Please note that for a cash transfer the estimated value of the assets will be shown until the transfer is complete.
12	Column S	This is the date the transfer was first requested on the platform.
13	Column T	Confirms whether the transfer is coming into the platform or leaving the platform. As outlined earlier in this guide, 'custody to custody' should be filtered out of the report as these account for movements of money internally, for example Bed and ISAs and benefit crystallisation events.

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Please be aware that calls and electronic communications may be recorded for monitoring, regulatory and training purposes and records are available for at least five years.

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