This guide is designed to assist financial advisers and their support staff with using the arcus for adviser’s portal.

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Contact us

If you are having any issues or have questions about the Portal, please do not hesitate to contact our Support Team:

Email: platformsupport@arcus.partners
Telephone: 0204 582 2798
1. Setting up your Firm, Principal Firm or Network

Please Note: When you set up a Firm, Principal Firm or Network for the first time you will become an ‘Administrator’ or ‘Firm Manager’ for that account, so please ensure that you have the appropriate authorisation from within your Firm before you do this.

If you are personally authorised to provide advice, you can create your ‘Adviser’ user profile at the same time as your Firm Administrator profile.

Additional users may be added for each user type once you have completed the initial set up.

2. Select ‘Log in’.
3. Select appropriate Registration option depending on your Firms Structure.
4. Enter your Firms FCA details (and, if applicable, your own personal individual FCA reference number if you are personally authorised to give advice). Please do not use another person’s FCA reference number. If you are not personally FCA authorised you can proceed without completing this. Click ‘Next’.
5. Enter your Firm’s business details and click ‘Next’.
6. Enter your personal details and click ‘Next’. Note: The authentication telephone number that you select will be used for security purposes when you log in. Your mobile number is recommended so you may login in anywhere rather than just at your desk.
7. Check the summary information that you have supplied. If any amends are needed press the ‘Back’ button or click ‘Register’ to continue.
8. You will now receive a verification email. Click on the link in the email to create a password and complete your registration. Once complete, you will be redirected to a log in page.
9. After logging in for the first time, you will have to accept the Platform Terms and Conditions.

Once the Platform Terms and Conditions have been accepted, you will see the following screen:
There are 4 outstanding Onboarding Checklist items to complete:

1.1 Due Diligence Questionnaire

If you are a Firm that is already set up to do business with Dura Capital, we do not initially require you to complete a due diligence questionnaire. If this is the case, please call our Support Team on 0204 582 2798 so that we can verify this and skip the DDQ process for you.

If you are a new Firm that has not done business with us, you are required to complete and submit a due diligence questionnaire for review.

1.2 Provide Bank Account Details for Fee Payments

Here you will be asked to specify your Firm’s bank details, for receipt of fee payments.

1.3 Submit Onboarding Details

Once steps 1 and 2 have been completed, the onboarding checklist will be updated:

Click ‘Submit onboarding details’ for the DDQ to be submitted for review

Once your DDQ has been submitted the onboarding checklist will be updated:

Once approved, you will receive an email to advise your firm has been authorised. Click the link in the email to log back in and complete stage 4.
1.4 Digitally Sign our Terms of Business

To use the Platform your firm is required to sign our Terms of Business.

An electronic ‘DocuSign’ copy of the Terms of Business will be emailed to the authorised signatory details you provide.

This document requires an electronic signature that can be completed via a ‘click’ on a PC or mobile device.

Press the 'click here' link to open the DocuSign portal and sign the document.

Click ‘Sign’ and then ‘Finish’ to complete the process.
Firm onboarding is now complete. An email confirming this will be sent to the Firm Administrator. When you log in, the portal will have been ‘unlocked’ to permit setting up additional Firm Users as necessary, onboarding clients and purchasing products:

2. Setting up Advisers, Support Users and Additional Firm Administrators

Two methods are available to set up a Firm's staff on the Portal

1. The Firm Administrator can set up all types of staff on the Platform.

2. Advisers can also set themselves up on the Portal, although they will require approval from a Firm Administrator.

Please Note: If you have a number of advisers and / or firms (if you are a Network or Principal Firm) you would like us to set up for you, please contact us to discuss how we can assist with bulk uploading these into the portal.
How to Set up your Staff

By default, the Firm Administrator is the person that initially sets up the Firm on the Portal (see Section 1).

A Firm Administrator can set up three types of Firm staff:

**Firm Admin**

Also known as ‘Firm Managers’, additional Firm Administrators can be added to the Platform if required. This is the highest level of permission that can be granted on the Portal and includes the ability to add/remove Advisers and Support Users.

**Support Users**

Also known as ‘Paraplanners’, can also be added to support a Firm’s Advisers. Furthermore, the Administrator can grant two distinct types of permission to Support Users:

- **Read Access** will allow the Support User to view all of a Firm’s staff, clients and client investments but the Support User will not be allowed to take any actions on the Portal (for example, adding a client or submitting an application form on behalf of an Adviser).

- **Write Access** will also allow the Support User to take actions on the Platform (for example, adding a client or submitting an application form on behalf of an Adviser).

**Advisers**

To enable Advisers at your Firm to submit business via the Platform, each Adviser will first need to be set up and / or authorised on the Platform by the Firm Administrator.

1. To set up a member of your Firm on the Platform, log in and navigate to the Firm Management section by clicking ‘Firm’ in the top navigation toolbar.

2. Then navigate to the ‘Firm Users’ tab. You will see a summary of the Firm Users that have already been set up.
3. You will also see three blue boxes.

Clicking on each of these boxes will allow you to set up the relevant Firm User.

Once you have set up the Firm User, they will receive an email requesting them to set up a password.

**How Advisers Can Set Themselves Up**

Advisers from your Firm can also set themselves up on the Portal but will be subject to approval from the Firm Manager. The Adviser can visit [www.portal.arcusforadvisers.com](http://www.portal.arcusforadvisers.com), select ‘Register as an Individual adviser’.
When an Adviser has applied to be set up as part of your Firm, they will receive a confirmation email explaining they need to be authorised.

The Firm Manager will see the Adviser appear in both the ‘Firm Users’ tab and the ‘Summary’ tab of the Firm Management dashboard.

The Firm Administrator will need to ‘Authorise’ the Adviser before their account is activated, and ‘Make signatory’ if the Adviser is to be granted permission to sign investment applications. This can be accessed by clicking on the blue circle to the left of the users’ name with the plus sign in the centre:

This will load an expanded view where distinct options are available, including ‘Authorise’ and ‘Make Signatory’.

Once authorised the new user will receive an email inviting them to verify their email address and set up their password.
3. Onboarding your Clients

This section describes how to set up a client and submit the client’s application for a structured product.

1. In the Firm Dashboard select the ‘Client Accounts’ tab.

2. Click the ‘Set up a new client’ button.

3. Input the client’s details, check the information is correct on the summary page and click ‘Submit’.

Please Note: The ‘Create a joint account’ button allows you to link two clients to allow a joint application.
Please Note: The client’s own unique email address must be entered. Please do not enter an email address specific to your Firm when onboarding a client, or a shared email address.

4. You will now be prompted to add the clients bank account (for income and maturity payments). Note: The client can amend this as necessary once the application has been submitted.

5. Once you have completed the client (‘investor’) onboarding, the Client will appear in the ‘Client Accounts’ tab of the Firm Dashboard.

6. Once the above steps have been completed, three new options appear on the client’s ‘Summary’ tab on their dashboard.

   - To apply for a Direct investment or a current years ISA
   - To transfer an existing ISA from another Plan Manager into an Arcus ISA
   - To reinvest a maturing Arcus Direct Investment or ISA
4. Submitting a Client’s Investment Application (Direct and ISA)

1. On the client dashboard, select the ‘Summary’ tab and click ‘Apply for a plan’.

2. You will see a ‘Select plans’ screen. Enter the investment details, including any fee amount. Once you have input the details, click the ‘Confirm order’ button.
3. If you made an error and wish to remove this order, click the red 'bin' button.

4. If you wish to add an additional investment, repeat step 2, otherwise click ‘Next’.

5. You will be presented with the ‘Additional options’ screen. When complete, press ‘Next’.
6. You will be presented with the ‘Compliance’ screen. When complete, press ‘Next’.

![Compliance screen](image)

7. You will be presented with the ‘Summary’ screen. If there are any errors, click the ‘Back’ button and amend accordingly. When complete, press ‘Submit’.

![Summary screen](image)
8. The client will now receive an email with a link prompting them to electronically sign a product application form via DocuSign. For security, this includes a two-factor (2FA) process that will send a 6-digit code to the client’s mobile device that they will need to key to confirm their ID.

Please Note:
- The signature process does not require the client to log into the Portal and can be completed on a PC or mobile device.
- You (the Firm Adviser/Support User/Administrator) can verify the status of the signatures by expanding the application in the ‘Orders’ section of the client dashboard (to expand the application, click the ‘+’ sign to the left of the Product name).

9. A welcome email will be sent to the client once they have digitally signed the application form, prompting the client to set up a password to access their account on the Portal if they haven’t used the Portal before.

10. Once the client has digitally signed their application form, the adviser firms authorised signatory (Selected during the application process) will receive an email with a link prompting them to sign the financial adviser section of the application form. For security, this includes a two-factor (2FA) process that will send a six-digit code to the signatory’s mobile device that they will need to key to confirm their ID. (Note – the authorised signatory can select which phone number is used for security verification by selecting “My Account” from the drop down options at the top of the screen where the login email address is shown).
**Please Note:** A Firm’s Administrator, Adviser or Support User can view the status of the client and adviser signatures against an application, but only the authorised signatory selected during each application process can sign the application.

11. Once the Authorised signatory has signed the application form, the client will receive an acknowledgement email. This email will inform the client that a copy of their signed application form and an acknowledgement letter has been loaded into their document store (accessible by logging in to the platform).

12. You (the Firm Adviser/Support User/Administrator) can verify the status of the client’s investment via the client’s dashboard. For example, if a direct or new ISA investment is awaiting payment this will be flagged under the ‘Status’ column.

Once payment is received and matched, the status moves to ‘Awaiting Strike’, and ‘Active’ once the plan has struck. **Note:** This status also updates to reflect when a plan has matured.
5. Making Payments

When the client and adviser are reviewing the application form, they will see there is a section detailing how to make payment.

Please ensure the unique payment reference on the client’s application is quoted so we can match the payment to the investment.

Please Note: The client’s investment (either a cheque or a bank transfer) must arrive with us before the offer close date of the product, otherwise their application will be cancelled.
6. Submitting an ISA Transfer

The ISA transfer process requires the transfer request to the ceding ISA manager to be printed and signed in Ink before posting to the existing ISA Manager. The product application still needs a digital signature and is submitted via the portal.

1. On the client dashboard, ‘Summary’ Tab, click the green ‘Transfer existing ISA’ button:

2. Select the number of ISAs that you are transferring (these instructions will assume that one ISA is being transferred) and click ‘Next’.

3. You will now be prompted to insert the details of your existing ISA provider.

4. It is important that these details are correct as the information provided will be used to generate correspondence that you need to send to the existing ISA provider. Incorrect information will likely cause delays. Insert the details and click ‘Next’.

5. You will now be prompted to note how much of your previous or current year’s ISA you wish to transfer to us. Insert the amounts and click ‘Next’.

6. You will now be prompted for instructions around notice for your existing ISA provider. Enter the information and click ‘Next’.

7. Add any instructions for your existing ISA provider in the ‘Transfer notes’ section and click ‘Next’.
8. You will now reach the ‘Allocations’ screen. In this section you will choose which products to invest the client’s ISA transfer proceeds in to, and how much. You can allocate ISA transfer proceeds in percentage or cash terms (see ‘Allocation Method’). Each time you choose a Product and give it an allocation, click ‘Add order’. When you have allocated all ISA transfer proceeds, click ‘Next’.

![Allocations Screen](image)

9. You will be prompted to provide some compliance information. One you have finished, click ‘Next’.

10. In the following two screens, you will be prompted to agree to a transfer declaration and review the transfer and application information that you have provided.

Before you can proceed, you must also accept that you understand the ISA transfer form must be printed and signed in Ink by the client before posting to the existing ISA Manager. The product application still needs a digital signature and is submitted via the portal.

![Review Screen](image)

In order for the ISA transfer to be successfully processed the ISA transfer form(s) must be accessed via the “Documents” tab, printed, signed by the client in ink and posted directly to the coding ISA Manager(s).
11. The client will now receive an email with a link prompting them to electronically sign a product application form via DocuSign. For security, this includes a two-factor (2FA) process that will send a 6-digit code to the client’s mobile device that they will need to key to confirm their ID.

Please Note:

- The signature process does not require the client to log into the Portal and can be completed on a PC or mobile device.
- You (the Firm Adviser/Support User/Administrator) can verify the status of the signatures by expanding the application in the ‘Orders’ section of the client dashboard (to expand the application, click the ‘+’ sign to the left of the Product name).

12. Once the client has digitally signed the ISA transfer product application form, the Authorised signatory selected during the application process will receive an email with a link prompting them to sign the financial adviser section of the application form. This does not require the signatory to log in to the Platform.

13. The client will now receive a second email, stating that attention is required on their account.

14. **Important:** Since this is an ISA transfer, the client or a Firm user will need to log in to the Platform and download the application form from the Document Store.

15. The last two pages of the application form contain the instruction to the existing ISA manager.

   The instruction must be printed (either by the client, or by a Firm user depending on your preferred process for each client) and the signature box on the last page must be signed and dated in wet ink by the client. The instruction must then be posted directly to the existing ISA Manager.

   Arcus will continue to contact the existing ISA managers to check for receipt of the instruction and chase the transfer proceeds.
7. Reinvesting a Maturing Arcus Structured Product

1. On the ‘Summary’ tab of the client dashboard, click ‘Reinvest / Top up a matured plan’.

2. You will now see the ‘Matured plans’ section where you will be prompted to enter details of the maturing plan(s) that you wish to reinvest, as well as how much of each maturity amount is to be reinvested and how much is to be encashed (if applicable). You can also specify ‘New funds’, if the client wishes to add new monies to the maturity funds that are being reinvested. When you have entered this information, click ‘Next’.
3. You will now reach the ‘New plans’ section where you will be asked how to allocate the maturity funds (which you specified in the previous section) to one or more new structured products.

4. Specify which type of funds to reinvest (direct or ISA), choose which product to reinvest into, choose the amount to reinvest and specify the fee amount. Click ‘Confirm order’ and repeat if more than one new product is required.

   **Fund from** allows you to choose which type of available funds you are reinvesting (ISA or direct non-ISA maturity funds, or New funds), depending on the types of maturity funds available (as you specified in the previous ‘Matured plans’ section).

   **Account** specifies whether the maturity funds or New funds will be reinvested as an ISA investment or a direct investment.

   **Please Note:** If you try and reinvest maturing ISA funds into a direct account, you will be prompted with a warning that the ISA status of these funds will be lost.

   If you reinvest maturing direct funds into an ISA account, this will be treated as a current year’s ISA subscription.
5. You will now be able to either choose another product in which to reinvest any outstanding maturity proceeds (again, clicking ‘Add order’ when finished) or proceed by clicking ‘Next’.

6. You will now reach the ‘Additional options’ section. If you specified ‘New funds’ in the ‘Matured Plans’ section (i.e. you are adding new monies to your maturity funds for reinvestment), you will be required to fill in this ‘Additional option’ section.

7. Otherwise there will be no questions to answer in this section and you will be prompted to click ‘Next’.

8. You will now reach the ‘Compliance’ section. Once you have submitted your responses, click ‘Next’.

9. At the ‘Submit’ section you will be asked to review the information that you provided. Once you are happy, click ‘Submit’.

10. The client will now receive an email with a link prompting them to electronically sign their reinvestment product application form via DocuSign. This does not require the client to log in to the Platform.

11. Once the client has digitally signed the reinvestment product application form, the Authorised signatory selected during the application process will receive an email with a link prompting them to sign the financial adviser section of the application form. This does not require the signatory to log in to the Platform.

Please Note: If the client is adding new funds to their maturity funds, they will need to send us the new funds. Instructions for how to send us the funds are specified on their application form.
12. Once the Adviser has signed the application form, the client will receive an acknowledgment email. This email will inform the client that a copy of their signed application form has been loaded into their document store (accessible by logging into the platform), as well as a PDF acknowledgment letter.

13. You (the Firm Adviser/Support User/Administrator) can verify the status of the client’s investment via the client’s dashboard. For example, if a direct or new ISA investment is awaiting payment this will be flagged under the ‘Status’ column.

8. Reinvesting a Maturing Investec Structured Product

If you have existing Plans with Investec Structured Products, you are able to roll your client (or ISA transfer) into an Arcus product using a seamless digital process.

Already Registered on the Investec for advisers platform? Your entire back book of clients and Plans (including historic paper applications) are available.

Not yet registered on the Investec for advisers platform? Complete the registration and authorisation process using Investec For Advisers. Once registered, if you are unable to see your client data, please contact Investec to arrange for this to be made available to you. This should take no more than 5 working days.

There is a user guide available on the Arcus for Advisers website.

If you have any questions about any of this process please call our support line on telephone 0204 582 2798 or Email: platformsupport@arcus.partners
Contact us

If you are having any issues or have questions about the Portal, please do not hesitate to contact our Support Team:

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Telephone: 0204 582 2798
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