



Trade Execution Service

Rocq Capital Management Limited (RCML) has introduced a service to enable clients to buy and sell investment products on an Execution-Only basis. This is in addition to our discretionary portfolio and fund offerings.

Advisers and wealth managers may place orders to purchase structured products, funds, bonds, equities and ETFs that they have selected. We will execute these orders via a network of brokers.

We will not offer any advice, comment or recommendations with regard to the holdings being traded and accept no liability in connection with the suitability of such investments or responsibility for their selection or performance. The trades are instigated by the client adviser and we merely provide the facility to acquire, hold and sell assets.

We will arrange custody of assets in collaboration with Butterfield Bank (Channel Islands) Limited, with whom we have an existing relationship. Butterfield Bank will settle all trades and provide custody of assets in client accounts.

We will provide a quarterly valuation of holdings and can also issue a contract note for each trade if required. Holdings can be viewed via the Client Portal on our website, www.rocqcapital.com.

Custody and Administration Charges

RCML will provide this service charged on a percentage per annum basis, charged quarterly based on the average monthly portfolio value and subject to a minimum charge. This charge includes the cost of custody at Butterfield Bank. There are no establishment charges or exit penalties. Minimum account sizes will apply.

Trade Execution Charges

RCML passes on the cost of trading in full to clients and as a result the fees for this service are set by settlement agents, the custodian and any brokers used. Minimum trading sizes will apply.

Loans Against Portfolios

There is an opportunity to borrow against the value of your portfolio, subject to certain criteria. This lending facility is available via Butterfield Bank (Channel Islands) Limited, to whom RCML can make an introduction.

About Rocq Capital

Rocq Capital was established following a management buyout of the Edmond de Rothschild Group's Channel Islands operations in 2016. The business, which is privately owned, has been present in Guernsey since 1996. It is licensed and regulated by the Guernsey Financial Services Commission and provides investment management and broking services for private clients, trust companies, pension funds and institutional investors.

About Butterfield Bank (Guernsey) Limited

The origins of Butterfield Bank date back to the eighteenth century and it has had a presence in the Channel Islands since 1973, providing banking, global custody and trust services. Butterfield Bank has over \$14.3bn in client assets and maintains conservative capital ratios.¹ It is licensed under the Banking Supervision (Bailiwick of Guernsey) Law, 2020 and The Protection of Investors (Bailiwick of Guernsey) Law 2020, as amended.

SUMMARY

How Our Service Works

Custody and trade execution service provided by Rocq Capital Management Limited (RCML) in conjunction with Butterfield Bank (Guernsey) Limited

- RCML conducts due diligence on client prior to account opening
- Client or adviser remits funds directly to designated account at Butterfield Bank
- Adviser sends dealing instructions to RCML
- RCML uses brokers to execute trades in a timely manner
- Settlement occurs in client account at Butterfield Bank
- Client and/or adviser can see their holdings via the RCML website

Advantages of Our Approach

- Low custody cost
- No entry or exit penalties
- Opportunity to invest in a broad range of securities
- Assets held in Rocq Capital account at Butterfield Bank, but ownership rests with individual client
- Online access to view portfolios
- Dedicated relationship manager

For more information please contact Jamie Gregson or Harry Bazzaz on +44(0)1481 716 336 or info@rocqcapital.com

¹ Source: Butterfield Bank, Q2 2022

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