
Execution Only Service

Target Market

Ravenscroft Peterborough's Execution Only Service is offered to retail clients via our platform Pershing Securities. The service can be utilised via General Investment Accounts and tax-efficient wrappers such as ISAs and SIPPs.

Our Execution Only Services have been deemed potentially suitable for the following target markets:

Type of investor

We provide this service to clients whom we categorise as retail clients for the purpose of the FCA client categorisation regime but can include elective professionals. Our end client can be a private individual, trust, charity, pension fund or company. The service is available to UK resident investors and overseas domiciled investors.

1. Client's knowledge and experience

This service can be available to clients who themselves have limited knowledge and experience of investments, previous knowledge and experience of investments or active investors.

2. The client's capacity for loss and ability to withstand loss

This service offers no capital guarantee and the investor is responsible for making their own judgement with regard to their ability to withstand loss.

3. The risk/reward profile of the service

When we deal on an execution-only basis, we do not advise on the merits of particular transactions, their taxation consequences or the composition of underlying investments. The investor is responsible for making their own appraisal of the risks of the transaction.

4. The type of financial needs and objectives of the investor

The service can accommodate a wide range of scenarios. This can range from "one-off" transactions through to more regular investing.

5. Distribution

We do not undertake direct marketing and our customer base has been formed primarily from "word of mouth" or introductions. Overseas domiciled investors come to us via the reverse solicitation route.

The service is not suitable for:

This service is not for investors who are unable to make their own investment decisions or investors who when asking us to deal in complex products are unwilling to enter into an appropriateness assessment as required by the FCA.

Disclaimer

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