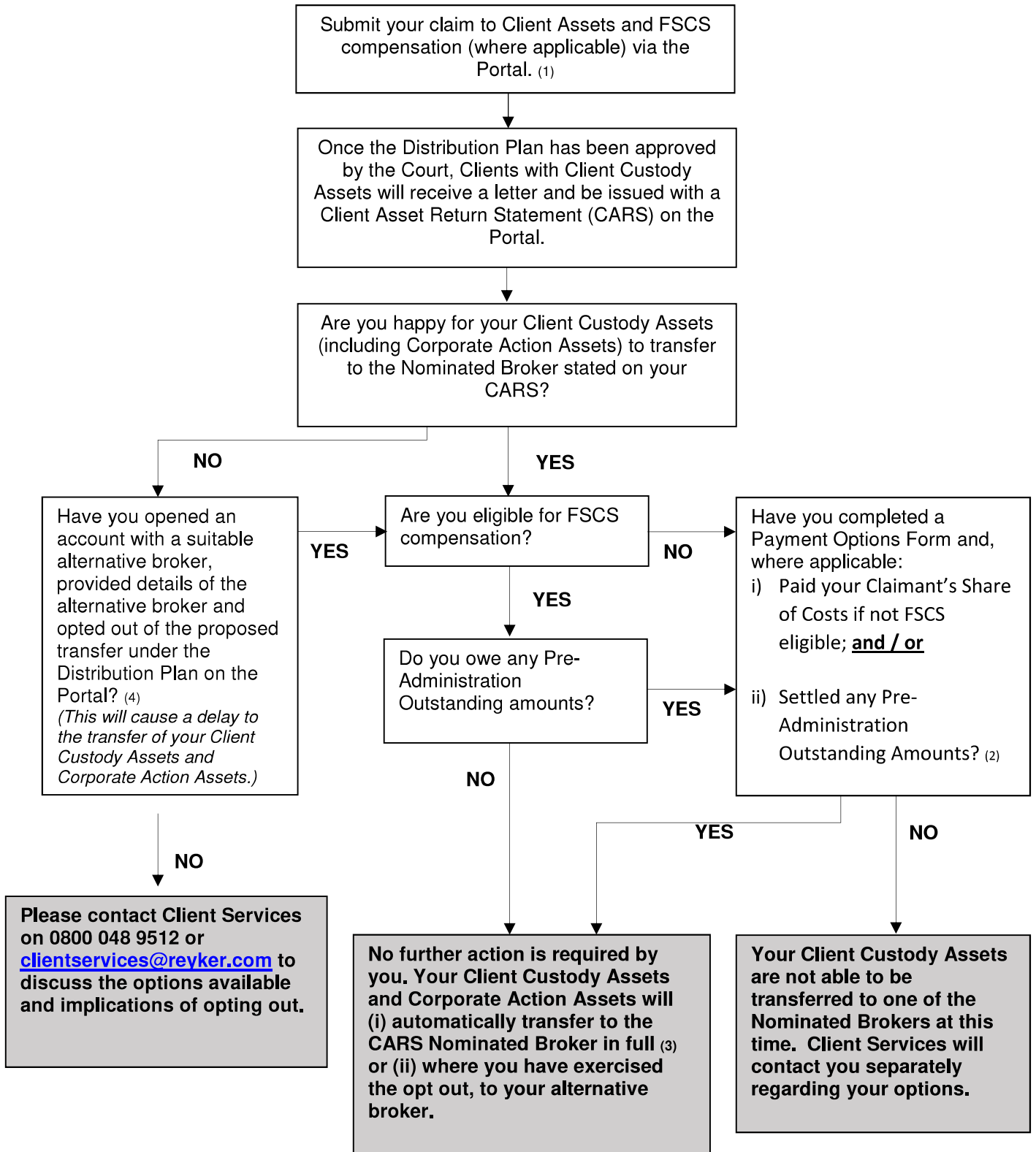


**THIS DOCUMENT IS IMPORTANT AND REQUIRES YOUR IMMEDIATE ATTENTION.**

**FLOWCHART: STEP BY STEP GUIDE TO THE RETURN OF CLIENT CUSTODY ASSETS  
(INCLUDING CORPORATE ACTION ASSETS)**



*This diagram explains at a high level the steps which Clients will be required to take in relation to the transfer of Client Custody Assets (including Corporate Action Assets) and are not intended to be exhaustive. This is a summary of how the majority of Client Custody Assets will be transferred.*

## Notes

Capitalised terms within this document are as defined within the JSAs' glossary of key terms which is available at <https://smithandwilliamson.com/reyker-securities-plc/>

- (1) All Clients are asked to submit a claim to Client Assets and apply for FSCS compensation via the Portal in the first instance:
  - a. Clients with Client Assets (i.e. Client Money and Client Custody Assets) with a total value of less than £85,000 (as valued at 8 October 2019) are automatically treated by the FSCS as if they have submitted a claim for compensation to the FSCS and, therefore, these Clients do not have to complete anything in this regard when submitting their claim;
  - b. Clients with Client Assets with a total value of equal to or greater than £85,000 (as valued at 8 October 2019) will not be treated as having automatically claimed compensation from the FSCS. Such Clients are asked as part of the online claims process to confirm whether they wish to submit a claim for FSCS compensation or not (if not already done so). If you do not confirm you wish to receive FSCS compensation, you will have to pay for your share of the costs before your Client Custody Assets can be distributed or transferred.
- (2) If you are required to settle any amounts due to the Company (which may be in respect of your Claimant's Share of Costs for the return of Client Custody Assets or, alternatively, a Pre-Administration Outstanding Amount, the JSAs will notify you in writing of the options available and request that you complete a Payment Options Form via the Portal. A transfer of Client Custody Assets to a Nominated Broker or an alternative broker will be delayed until such amounts are paid in full.
- (3) Certain Client Custody Assets may be excluded from the transfer, such as Tainted or Non-Returnable Client Assets in accordance with the terms of the Distribution Plan.
- (4) Should you wish to opt out of the transfer to one of the Nominated Brokers under the Distribution Plan you will be required to notify the JSAs via the Portal. Further details will be provided in writing once the Distribution Plan has been approved by the Court. Please note, any Clients that choose to opt out will need to have selected and opened a new account (if not already done so) with an alternative broker and will experience a delay in the transfer of their Client Custody Assets (including Corporate Action Assets) as the bulk transfers of Client Custody Assets to the JSAs' Nominated Brokers will be completed as a priority in the interests of all Clients generally.