Your guide to employee compliance reporting

About this guide

This guide is designed to provide you with a brief overview of employee compliance reporting, including why and when it is required. It also includes details on our employee compliance reporting service and runs through how to set this up on your accounts.

Your financial adviser can help you to set up and complete ongoing reporting requirements. This information is not a personal recommendation for any particular product or course of action. Always speak to your financial adviser in the first instance for all your financial planning needs.

What is employee compliance reporting?

At a glance

- The law requires some employers to monitor certain financial transactions made by their employees.
- Employee compliance reporting eases monitoring by keeping your employer informed of your investment activity.
- We offer a reporting service when your employer offers access to our investment products.

In the UK, some companies and organisations are required by law to monitor certain financial transactions made by their employees. These can include, for example, the buying and selling of company shares, funds, such as OEICs and ISAs, and other traded investments like Exchange Traded Funds (ETFs) and Investment Trusts. Monitoring is required to ensure no conflicts of interest arise and that the highest ethical standards are maintained. As such, employees need to disclose their investment holdings and their trading activity to their employer in a timely manner.

To ease the burden of reporting on employees, some investment companies offer an employee compliance reporting service. As an approved broker*, we offer such a service. Providing your employer has registered with us, we will automatically update your employer's compliance and ethics team with details of your investment holdings and transactions once you have signed up to the service. Disclosing this information in this way makes it easier for both you and your employer to meet your compliance obligations.

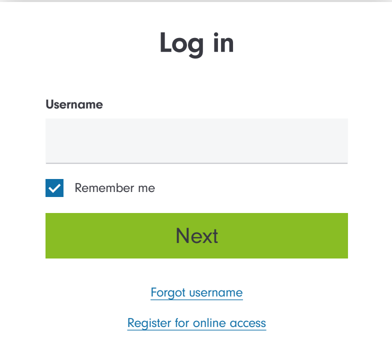
Our accounts – ISAs, Investment Accounts, Pensions, Junior ISAs, Junior Pensions and Trusts – are included within the service. We offer this facility free of charge.

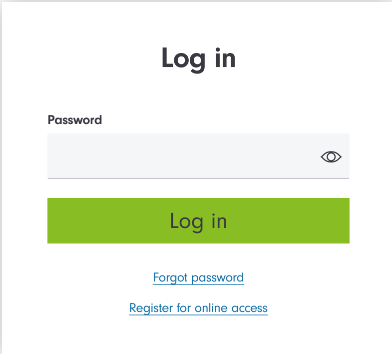
*An approved broker is one that an employer has deemed employees are permitted to use. This 'approval' is granted to brokers that provide the necessary automated compliance reporting. It is not an endorsement of Fidelity.

How to set up your employee compliance reporting

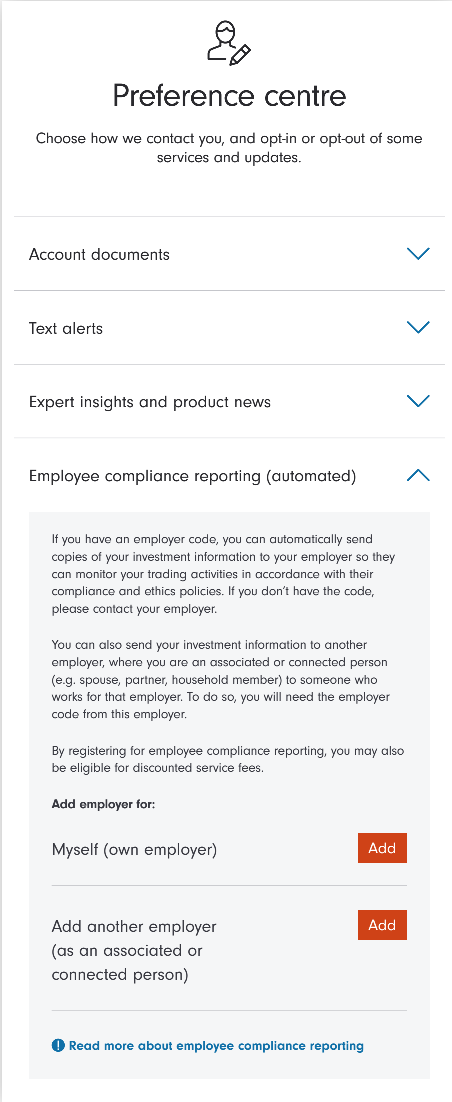
Setting up employee compliance reporting takes only a few moments – visit our website and register for online access or log into your Fidelity account and follow these simple steps. Please ask your employer's compliance team for their Fidelity 'employer code'.

1 Log in





Once you have your code, log in with your **username** and **password.**

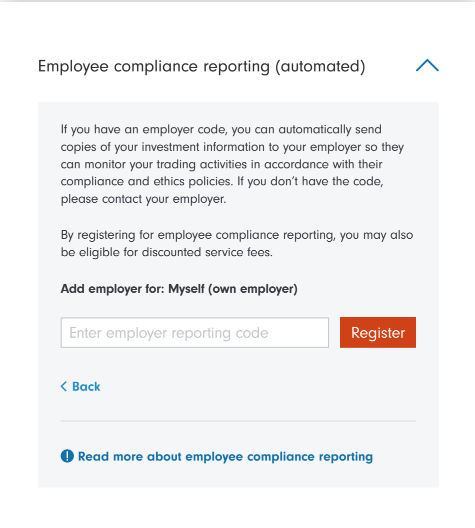


2 Open your Preference Centre

It takes just three clicks:

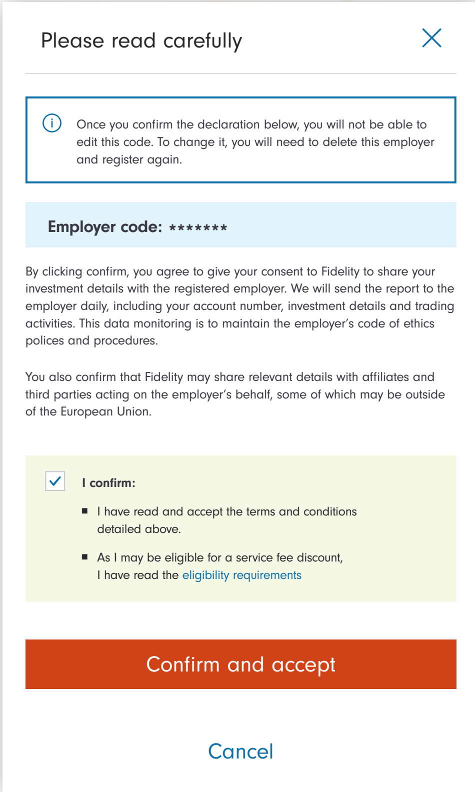
- Click on **Profile** in the main menu.
- Click on **Preference Centre.**
- Select **Employee compliance reporting (automated).**

3 Enter your employer code



- Ask your employer to give you their employer code.
- Enter your **employer code** in the box and hit **Register.**

4 Provide consent

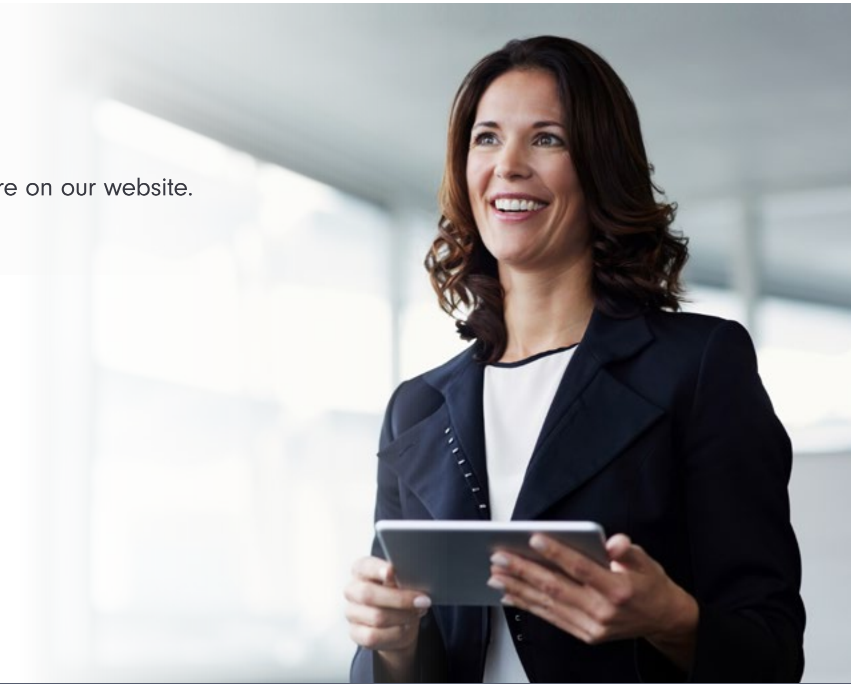


- Please read the terms and conditions and eligibility requirements.
- If you are happy to accept these, tick **I confirm** then click on **Confirm and accept.**
- We can now take care of the admin and send your trading details to your employer automatically, so you don't have to provide manual updates and records.

What happens once employee compliance reporting has been set up?

At a glance

- Data relating to your accounts is securely sent to your employer once you have given consent.
- If you leave your employer, don't forget to turn off consent by adjusting the settings in your online Preference Centre on our website.



Once you have successfully signed up to the service, we securely send the following information to your employer. This usually happens within 24 to 48 hours once you have given your consent for us to release your data:

- **An accounts file**
  This lists your name, account number and account type for all the accounts you hold with us.
- **A holdings file**
  We provide a full breakdown of holdings, for shares, OEICs, mutual funds, ETFs and investment trusts, within each account including volumes and values.
- **A transaction file**
  This only contains data if a transaction has occurred the previous day. It will include a list of all the buys and sells you have made along with a description of the type of transaction.

We will update your employer as and when you make transactions over time.
If you leave your employer at some point in the future, you will need to turn off consent by adjusting the settings in your online Preference Centre on our website.

Here to help you

- If you need further assistance, please call our helpful team on **0800 358 4060.**
- Our lines are open Monday – Friday: 8:30am – 5:30pm.

Your financial adviser can help you to set up and complete ongoing reporting requirements. This information is not a personal recommendation for any particular product or course of action. Always speak to your financial adviser in the first instance for all your financial planning needs.

UKM0726/416748/SSO/0727