

strength



in numbers

Thesis Asset Management,
Financial Planners and
joined-up advice

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"We help Financial Planners to focus on their core business and generate new sources of revenue."

**Giles Marriage, Associate Director,
Investment Manager**



Let's stick together

We are specialist asset managers. We are clear about our proposition and the role that Thesis has in a collaborative relationship with Financial Planners to the benefit of clients, who require a range of wealth management services.

Our focus is to deliver capital growth and income through proactive management. In supporting Financial Planners, we can achieve this through white-labelled discretionary managed portfolios, white-labelled collective investment vehicles or through a simple referral relationship.

Recent years have seen a huge increase in the complexity of investment products, taxation rules and compliance responsibilities. Add to this the volatility in stock markets and economic conditions generally and it is increasingly difficult for Financial Planners to offer the ongoing active asset management that high net worth clients require to complement your strategic financial planning solutions.

At Thesis, we have many years experience working in partnership with Financial Planners, Tax Advisers, Lawyers and other professionals to provide a value-added service.

In fact, more than half our client referrals come from Financial Planners.

The reason for this is that we enable you to focus on your core business and enhance your client relationships by providing comprehensive strategic financial planning solutions. This joined-up approach can generate new sources of revenue for your own business without exposing yourselves to the ongoing compliance risks and challenges of active investment.

In the pages of this brochure we'll explain what makes Thesis different, our approach to asset management, Thesis investment options and how a partnership will work to benefit all parties.

Open, accountable and accessible

With more than £1.3 billion under management and over 35 years experience Thesis has a proven track record. But it's not just what we do that's different - it's how we do it.

By building investment portfolios around each client's needs, the focus is on the individual. We don't believe in off-the-shelf investment solutions.

Our Investment Managers, who between them have an average of more than 20 years investment experience each, are involved in our entire investment process; from research through to asset allocation decisions and stock selection as well as managing the client relationship.

We continuously research a broad range of asset types such as individual stocks, corporate bonds, gilts, cash and property, to ensure that clients have a much more personalised portfolio than just the collective funds which most Financial Planners' regulatory permissions will allow them to recommend.

By combining all these elements, Thesis Investment Managers are able to deliver informed management of your clients' assets and give a full and clear appraisal when discussing their portfolio.

We are open, accountable and accessible; communicating in plain English at all times - an approach which enables us to work comfortably alongside other professional advisers, and also ensures that we build strong long-term relationships.

The way

you want to work

Thesis investment management solutions, fee structures and remuneration packages for Financial Planners are fully tailored to suit your business model. We work in a completely open way, devising genuine options, all with the ultimate aim of enhancing your own service offering and delivering capital growth and income for the client.

With the increase in regulation and compliance duties and the sheer complexity of investment vehicles, you may find that you do not have the time or the in-house expertise to maintain the level of service that high net worth clients require in the ongoing management of their assets.

If you wish to involve us directly in the client relationship then we will always ensure that there is synergy and consistency with your own advice and planning solutions.

Alternatively, Thesis can provide white-labelled investment management, working discreetly and confidentially behind the scenes on your behalf. This enables you to maintain the face-to-face relationship, while benefiting from our specialist expertise.

We can provide this service for both collective investment vehicles, or for discretionary investment management, where clients may have specific instructions on risk, or on ethical or green investments, for example.

The bottom line is to provide flexibility, choice, professionalism and accountability – for you and the client.

The drive for efficiency

To complement your own tax planning strategies, it is important that our investment management expertise can be accessed within many of the tax wrapper solutions employed by Financial Planners. In addition to having our own PEP and ISA wrappers, we can be appointed within other tax wrappers such as SIPP and both onshore and offshore investment bonds available from many different providers.

True, seamless joined-up advice for clients can only be achieved where Financial Planners and Investment Managers combine their strengths to maximise the tax-efficiency of investment growth and income. Our primary role is always to proactively manage the underlying investment strategy.

Supporting your business

Investment conditions have rarely been more volatile than during the early years of the 21st century. And there is no reason to believe that this will change in the near future. This brings opportunities and risks for clients who entrust their present and future lifestyle to the financial markets.

That is why the Thesis approach - specialist expertise, genuine accountability, and clear, regular communication - is more important than ever. Working in partnership with Financial Planners and other professional advisers minimises the risks that clients face, while still helping them to capitalise on the opportunities that exist.

You will find us flexible and responsive. Thesis offers a choice of fee structures, remuneration terms and investment styles. Our investment solutions are compatible with a range of different tax structures.

We can be as visible or low-profile as you require, depending on your own relationship with your clients or your business model.

Your needs and those of the client are our first priority. Online portfolio valuations are available at all times, and you and the client will both receive six-monthly portfolio reviews. Your Thesis contact will be accessible as often as you need to provide ongoing support as necessary.

"Most of our client referrals come from Financial Planners, firms we have forged strong relationships with based on mutual appreciation and trust in the specialist skills that each party is able to give clients."

Kate Nathoo, Regional Director



Investing to suit

Thesis offers two distinct approaches to investment management: the Personal Investment Portfolio and the Optima Investment Portfolio - both of which benefit from the same level of research, expertise and tactical decision-making. The choice of solution depends on your client's objectives in terms of the style of reporting, level of engagement and our ability to personalise their portfolio to their own preferences.

Thesis Personal Investment Portfolio

This service is for investments of at least £100,000. The structure of any portfolio will be based on your client's individual investment needs and attitude to risk. Included within such a portfolio will be a wide range of asset classes, such as individual stocks, collective investments, cash deposits, gilts, bonds and hedge funds. What's more, if clients have existing assets, such as personally owned stocks and shares, we can incorporate them into the portfolio.

The Thesis Personal Investment Portfolio also offers an ethical investment option for clients wishing for us to construct and manage portfolios based on their own preferences or beliefs.

Your clients also benefit from genuine choice in terms of how Thesis management fees are paid, including the option of a fully transparent, management fee-only solution.

Thesis Optima Investment Portfolio

Available for investments of £10,000 upwards, this service offers a range of unit trust funds designed to meet different investment objectives. Our Optima Investment Portfolio provides the investor or their adviser with a portfolio account within which to invest these funds.

Optima funds are invested in different asset classes in varying proportions with different levels of risk. This is coupled with a choice of styles, including relative and absolute return approaches to investments, as well as multi-manager and direct investment.

An investment into Optima can be across one or any combination of trusts and has the ability to blend together different asset mixes, levels of risk and investment styles to mirror the asset allocation strategy you propose for your client based on the bigger picture of their entire wealth.

To help Financial Planners mix and match different combinations of Optima Funds and create desired mixes in isolation or in relation to a client's other assets, we can provide you with access to our Optima portfolio modelling tool - Optimiser.

Expertise

Each of our clients has a dedicated Investment Manager who is involved in research, asset selection and management of clients' investment portfolios. We offer personal and informed management of your clients' assets.

Accountability

Clients and their advisers can easily judge how well we are managing their portfolios, based on clear and recognisable benchmarks and performance data.

Access

With six offices in London and the South-East, you always have easy access to a dedicated Thesis Investment Manager and their team.

Communication

We believe that communication is vital to developing trust and an effective partnership. This is why we make sure that you, and the client, are aware of what is happening at every stage.

Any change to a client's portfolio is communicated and we complement this with clear, detailed six-monthly reports. We are happy to support you in any way required to ensure your client receives the best joined-up advice to reach their personal financial objectives.

Heritage

Thesis grew out of a legal background, so you can rely on us to apply the highest standards of governance and integrity. As a firm, we have more than 35 years experience in asset management.

Style

Our people are grounded in the real world - we are open, approachable and straightforward, always happy to recognise that we play just one part in a collaborative process of delivering against the client's aspirations.



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Visit our website
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Thesis Asset Management plc and Thesis Unit Trust Management Limited are authorised and regulated by the Financial Services Authority.

Thesis Asset Management plc is an Inland Revenue approved ISA and PEP manager.

Investors should be aware that the value of their investments and the income from them can fall as well as rise and investors may not receive back the full amount they invest.

Past performance is not necessarily a guide to future performance.

Investments denominated in foreign currencies are subject to fluctuations in exchange rates which can be favourable or unfavourable.