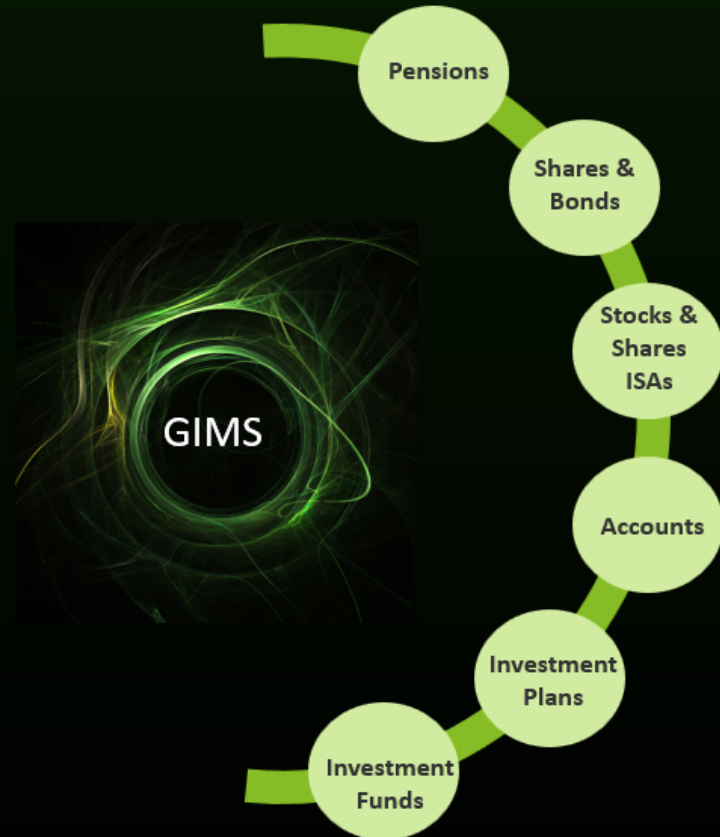


Version for Directors and below in non-A&A service lines

What needs to be recorded on Global Independence Monitoring System (GIMS)?

The below applies to any holdings that you, or your Immediate Family Members (IFMs) have direct or Indirect control of. See next slide for more details



MANDATORY

Pensions – must record both: (i) the provider or wrapper / scheme; and (ii) the underlying funds

Deloitte Pensions – [see what to record here](#)

Shares / Share Options

Notes / Bonds / Structured Products

Investment Funds

Illiquid Investments (e.g. EIS/VCT/Crowdfunding)

Debentures

Investment Accounts / Brokerage Accounts / Securities Accounts - must record both: (i) the provider or wrapper; and (ii) the underlying holding(s)

Stocks and Shares ISAs – must record both: (i) the provider; and (ii) the underlying holding(s)

Child Trust Funds/Junior Stocks and Shares ISAs – must record both: (i) the provider; and (ii) the underlying holding(s)

Life Assurance / Endowment Policies

Insurance Products that are underwritten by Lloyds Banking Group (LBG) or affiliates of LBG

Cryptocurrency Exchanges

Cryptocurrency tokens – *mandatory to record if they're registered with the local financial regulator*

DON'T FORGET

ALL HOLDINGS MUST BE PRE-CLEARED PRIOR TO ACQUISITION

ALL HOLDINGS MUST BE RECORDED ON GIMS WITHIN 10 WORKING DAYS OF ACQUISITION

FOR PENSIONS, INVESTMENT & SECURITIES ACCOUNTS, ALWAYS RECORD BOTH THE PROVIDER / WRAPPER AND UNDERLYING HOLDINGS IN GIMS

THE VALUE OF YOUR INVESTMENT DOES NOT MATTER OR HOW LONG YOU HAVE HELD IT FOR – EVEN IF YOU HAVE SUBSEQUENTLY DISPOSED OF WITHIN THE 10 DAY REPORTING WINDOW IT NEEDS TO BE RECORDED ONTO GIMS



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