

**DOMINION**  
CAPITAL STRATEGIES



OUR **SERVICE**  
PLATFORM

# OUR VISION

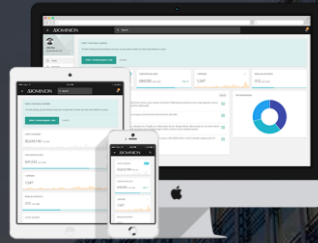
- 100% online operations
- Clear & simple rules
- 24 hrs. turnaround times in all transactions
- Real time support for financial advisers
- Direct support to individual IFAs
- Adapting to local rules & context in different markets



# PILLARS OF OUR SERVICE PLATFORM



PROCESSES



PLATFORM



PEOPLE



OUR **SERVICE**  
PLATFORM

# PILLARS OF OUR SERVICE PLATFORM



PROCESSES



PLATFORM



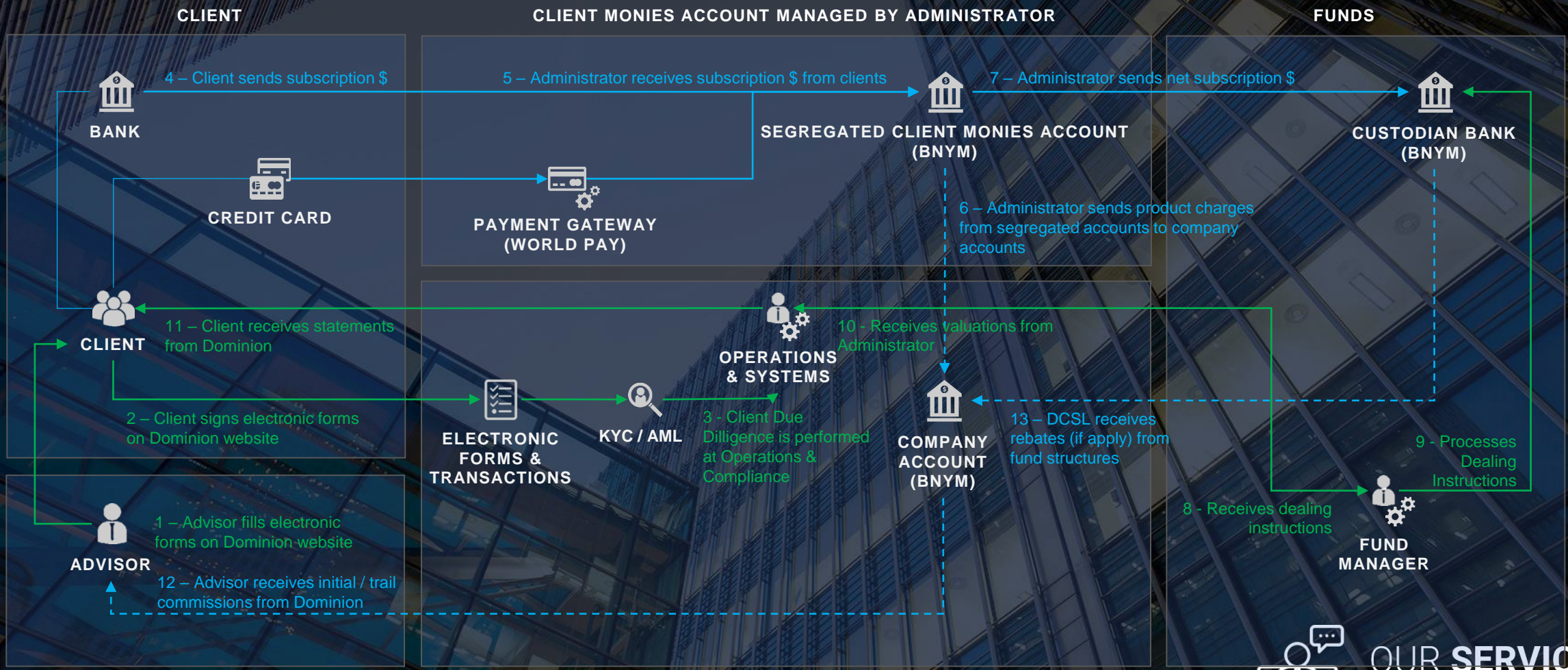
PEOPLE



OUR **SERVICE**  
PLATFORM

# MAINSTREAM PROCESS

— Clients Money Trail  
 - - - Fees / Commissions  
 — Information



4 – Client sends subscription \$

5 – Administrator receives subscription \$ from clients

7 – Administrator sends net subscription \$

11 – Client receives statements from Dominion

10 - Receives valuations from Administrator

2 – Client signs electronic forms on Dominion website

3 - Client Due Dilligence is performed at Operations & Compliance

1 – Advisor fills electronic forms on Dominion website

12 – Advisor receives initial / trail commissions from Dominion

6 – Administrator sends product charges from segregated accounts to company accounts

13 – DCSL receives rebates (if apply) from fund structures

9 - Processes Dealing Instructions

8 - Receives dealing instructions

PAYMENT GATEWAY (WORLD PAY)

OPERATIONS & SYSTEMS

KYC / AML

ELECTRONIC FORMS & TRANSACTIONS

COMPANY ACCOUNT (BNYM)

SEGREGATED CLIENT MONIES ACCOUNT (BNYM)

CUSTODIAN BANK (BNYM)

FUND MANAGER

BANK

CREDIT CARD

CLIENT

ADVISOR

FINANCIAL ADVISOR

DOMINION CAPITAL STRATEGIES LIMITED

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# MAINSTREAM PROCESS

- Security – Accounts & assets segregation
- Control – Platform 100% owned by Dominion Capital Strategies
- Flexibility – We can adapt our processes to different markets' requirements
- Endorsement – By top tier service providers & auditors

 BNY MELLON pwc worldpay EPE Administration

OUR **SERVICE**  
PLATFORM

# MAINSTREAM PROCESS

- Assessed by Dominion – ie. New account (48 hrs.)
- Automatic – ie. Redemptions (24 hrs.)
- Real Time – ie. Change of beneficiaries, address, etc.

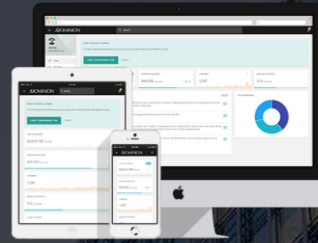


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# PILLARS OF OUR SERVICE PLATFORM



PROCESSES



PLATFORM



PEOPLE



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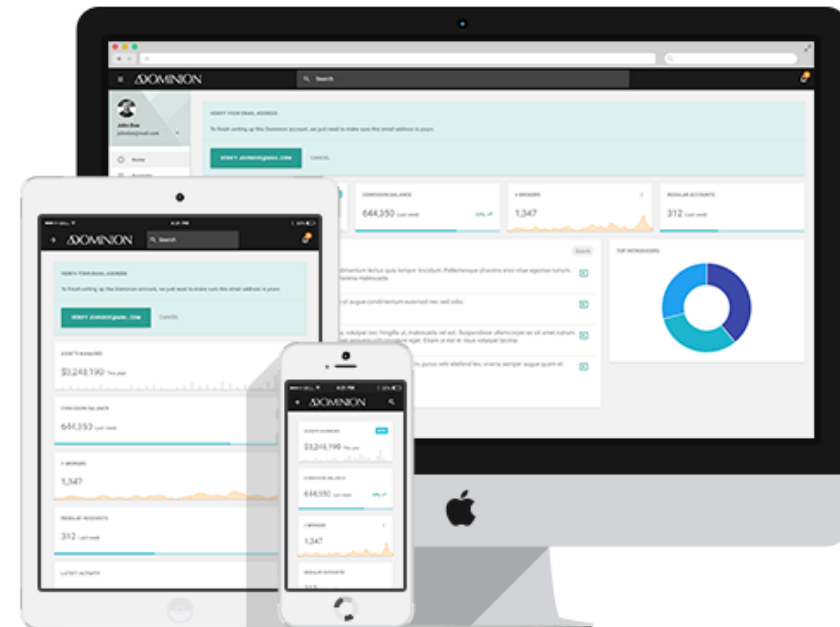
# BACK END

In compliance with +20 international standards  
Integrated to 100% of our operational processes:

- Product management
- Payments
- Consolidation / Deconsolidation of transactions
- Accounts segregation
- Generation & payment of commissions
- Accounts maintenance
- Front end

# FRONT END

- 100% online operation – paperless
- New accounts' opening
- Service & accounts' amendments
- Change of payment methods
- Change of funds
- Redemptions & transfers
- Beneficiaries
- Sales, AUM and operational reports
- Multilevel contracts' management & commissions





Direct Clients  
i.galliazzi+directclients...

Home

Inbox

Accounts

Advisors

Commissions

Transactions

Illustrator

Sales Tools

Reports

Conventions

Help Center

Webinars



TRANSACTION  
18MSS-182604

Transaction Type: New Account Draft  
Account Number: MSS-160211 | Account Owner:  
Advisor: DCSL Direct Clients



ACCOUNT OWNER

PAYMENT DETAILS

FUND CHOICE

BENEFICIARIES

DOCUMENTS

Account Owner

Forename \*

Surnames \*

Former name

Sex \*

Federico

Rambla Republica de Mexico 6205

Federico

Mill Court, La Charroterie, GUERNSEY

Manage addresses...

Email \*

Document Type \*

Document Number \*

Country of Birth \*

Occupation \*

Country of Birth \*

Nationality \*

Telephone: (Area Code) + Nu...

Mobile \*

Country of Residence \*

City \*

Postcode \*

Residential Address \*

Please specify the jurisdiction(s) in which you pay tax or claim to be tax resident:

TIN 1 \*

Jurisdiction 1 \*

Tax Identification Number

Has your client dual nationality?

ACTIONS

SEND TO CLIENT

Or you can also send it to Dominion CS in the case the application has already been physically signed by the client(s).

Save Cancel

ACTIVITY

Type your request to Dominion here...

The transaction was created  
Direct Clients · a few seconds ago

# PILLARS OF OUR SERVICE PLATFORM



PROCESSES



PLATFORM



PEOPLE



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# OUR TEAM

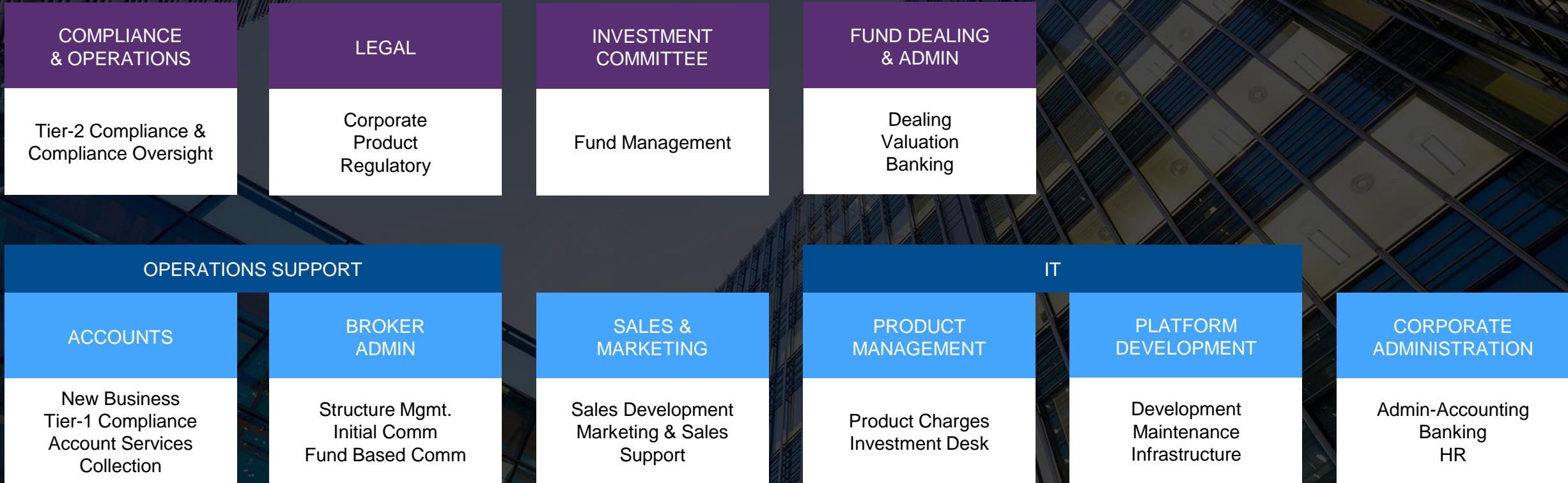
- GLOBAL Sales & DAM (London)
- Head Office (Guernsey)

- LATAM Sales & Back Office (Uruguay)



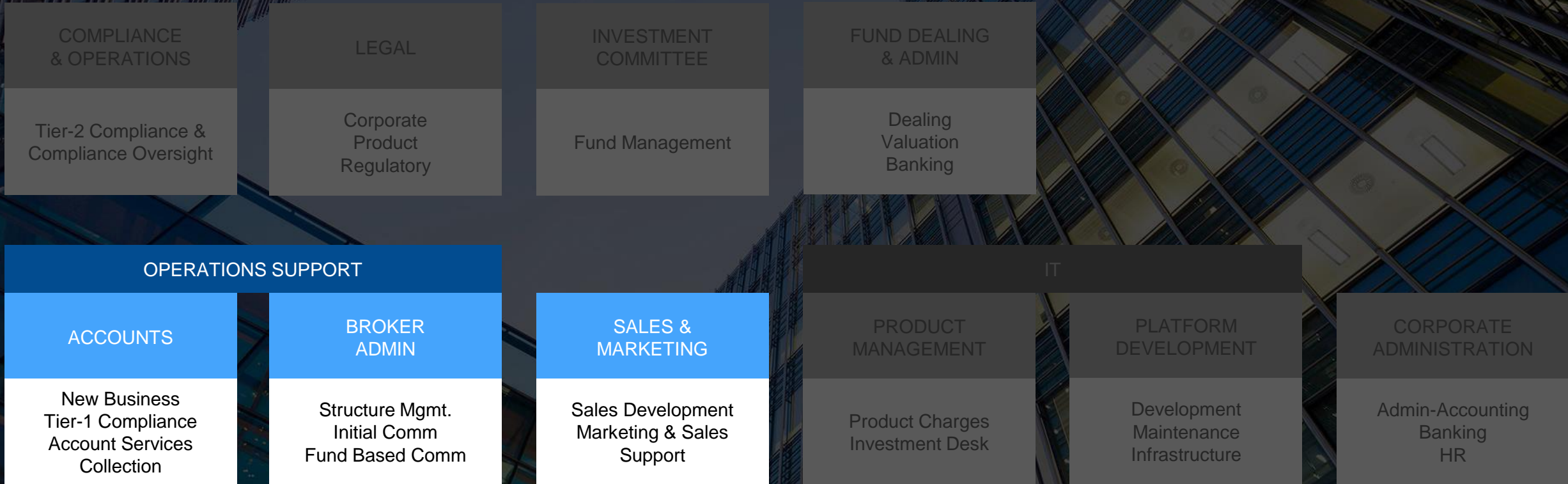
OUR **SERVICE**  
PLATFORM

# OUR TEAM (60)



OUR **SERVICE**  
PLATFORM

# OUR TEAM (60)



OUR **SERVICE**  
PLATFORM

# OUR TEAM

Financial services / technology background

Strong relationship with financial advisors

Real time support in every transaction

Accessible to individual IFAs in every market

Training for IFAs and administrative staff:

- Face to face
- Webinars
- Help Center



how to

- Top article suggestions
- How to submit a new business?
  - How to create an Illustration?
  - How to input a top-up?
  - How to start a change of payment method procedure?
  - How to initiate an increase procedure?
  - Introduction to our Platform

Operations Forms

Legal Documents

Webinars

### Recent activity

#### Webinars

Introduction to our Platform

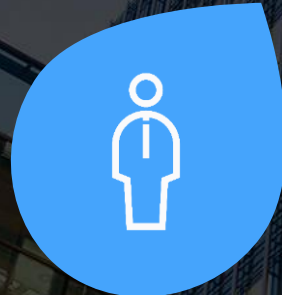
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# THE WAY OF THE FUTURE

**Institutional Strength  
& Robust Jurisdiction**



**High Quality Distribution**



**Modern, Transparent  
& Flexible Solutions**



**Hi Tech Service Platform**



**Active & Cost-Efficient Asset  
Management**



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# NEW ACCOUNT PROCESS OUTLINE

- 1. Advisor** – Sets up the account and attaches due diligence documents at platform level:
  - **Client's ID**
  - **Proof of Address**
  - **Product Illustration**
- 2. Client** – Receives welcome email with link to approve & digitally sign transaction at platform level.
- 3. Dominion** – Reviews the application and approves.



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# DOMINION

## CAPITAL STRATEGIES

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