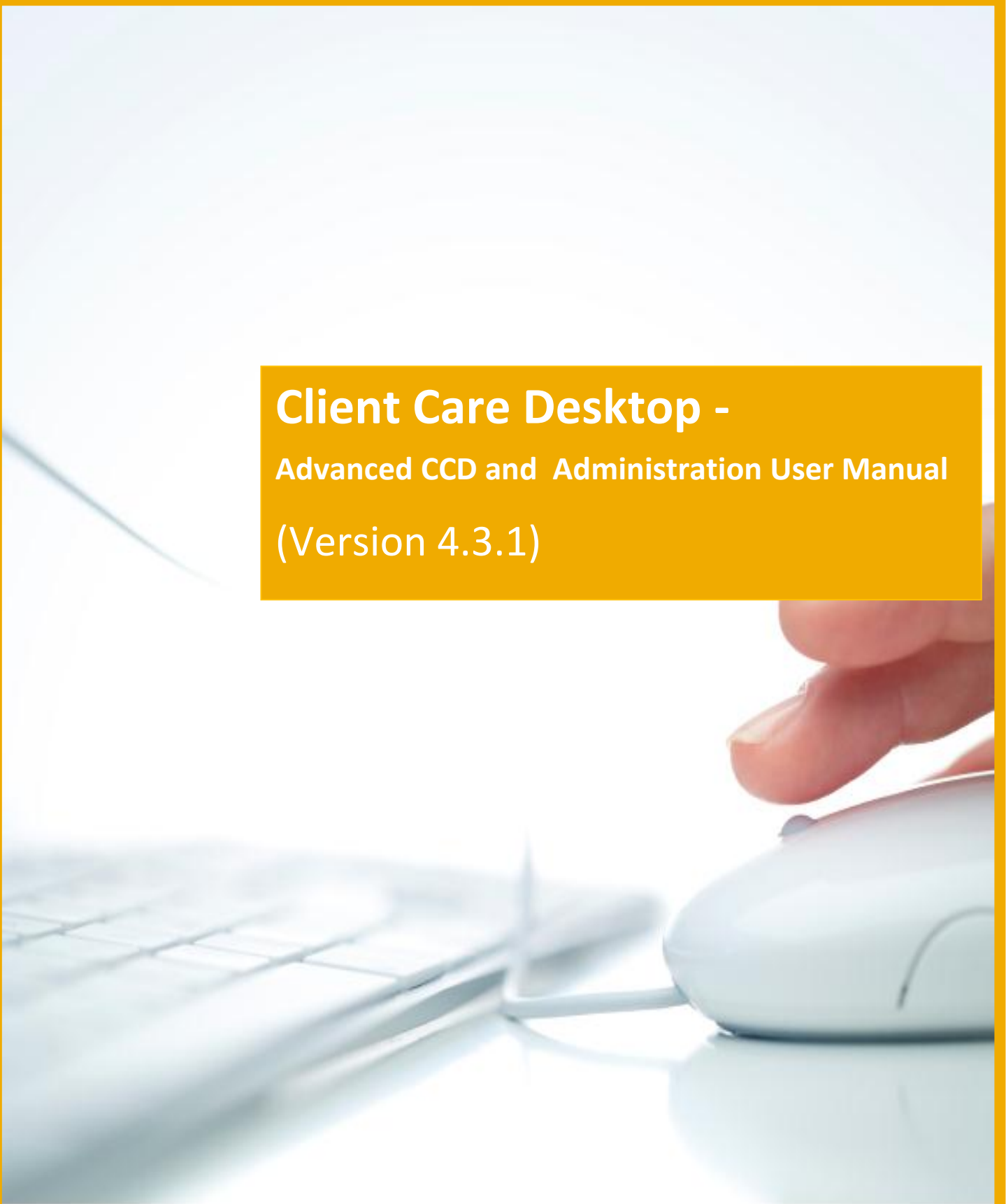


## Client Care Desktop -

Advanced CCD and Administration User Manual

(Version 4.3.1)



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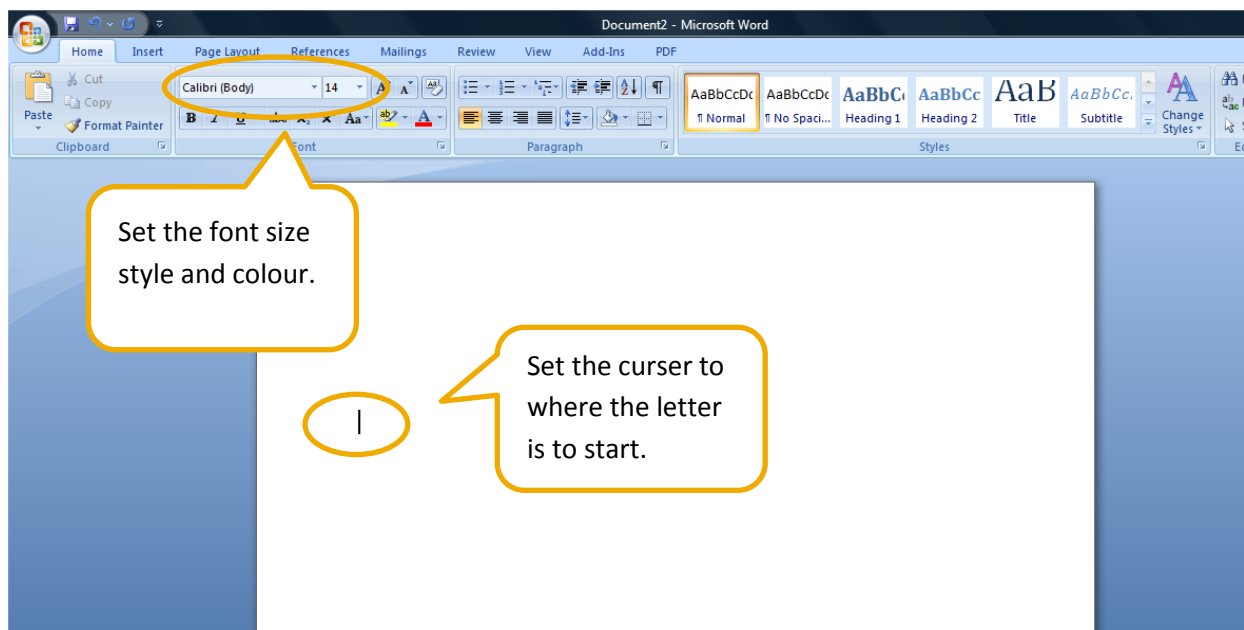
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## 1 Getting Ready to Use Standard Templates

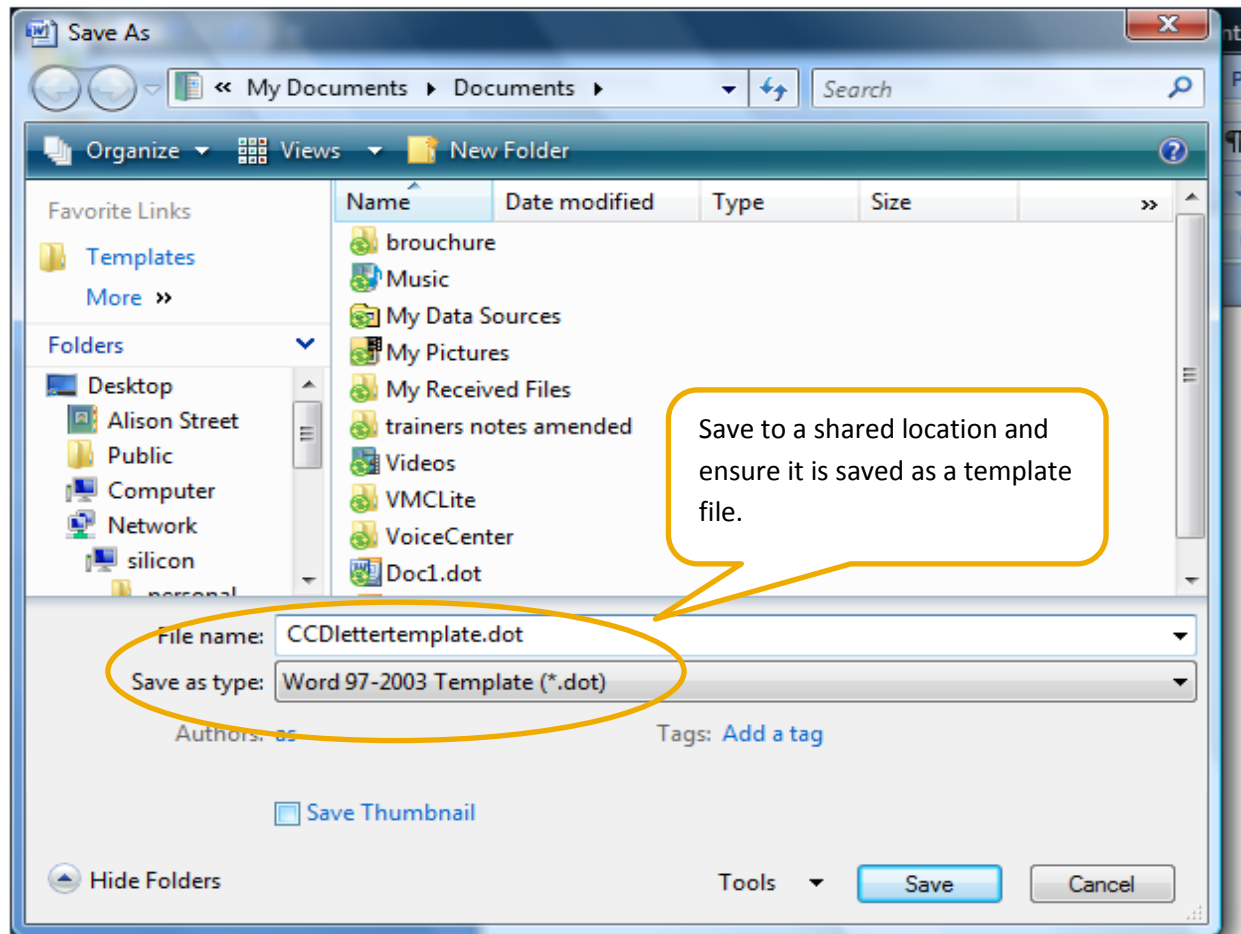
CCD will allow you to store copies of all your standard letters for ease of use and storage. Before you can use these letters some set up is required.

Firstly, if you have a preferred format that you like your letters to be produced in i.e. a company setting for font style, size and colour it is possible to direct your CCD to a pre-saved MS Word template. This ensures that when letters are output from CCD to MS Word they will appear in the company default format.

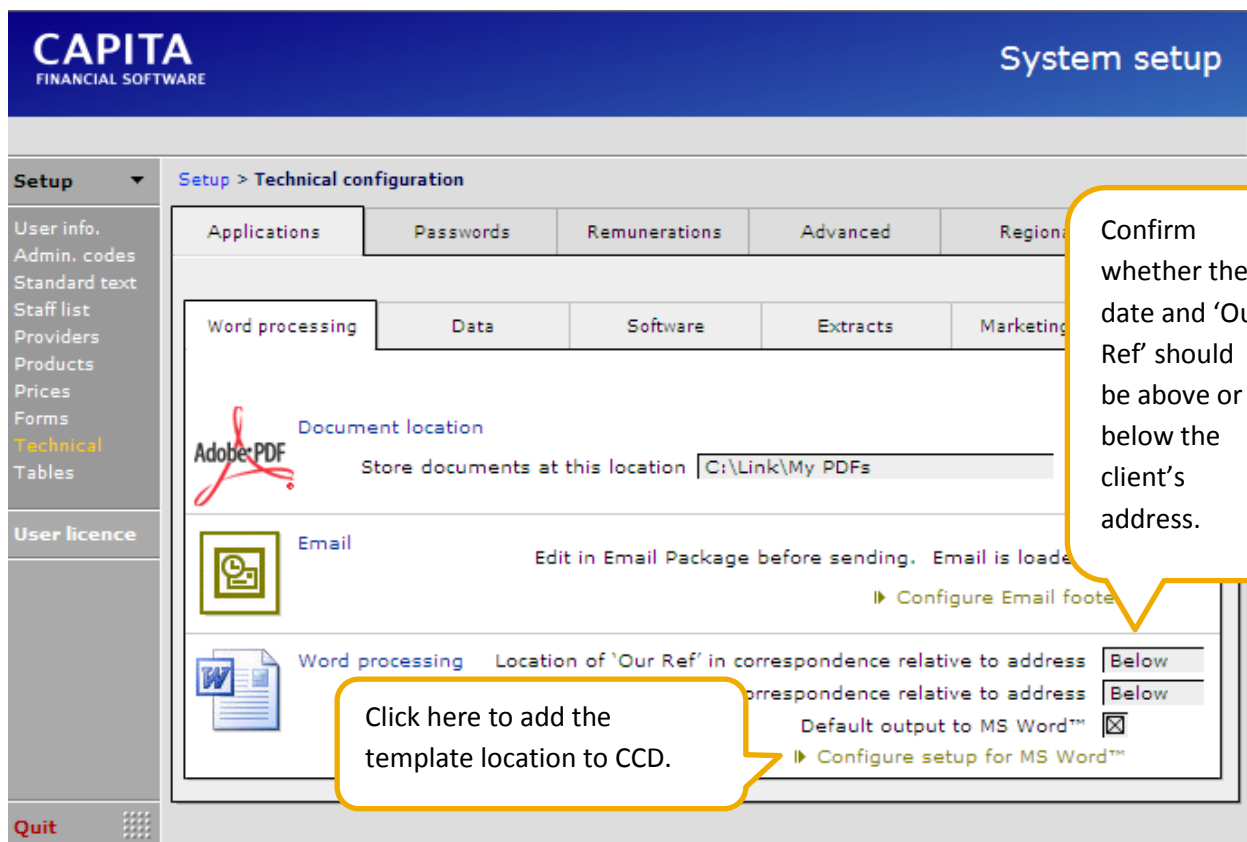
You must first set up a Word document Template (.dot) file. Go into a blank MS Word document set the font style size & colour, set tabs and leave the cursor flashing where printing is to start (below any printed letter head).

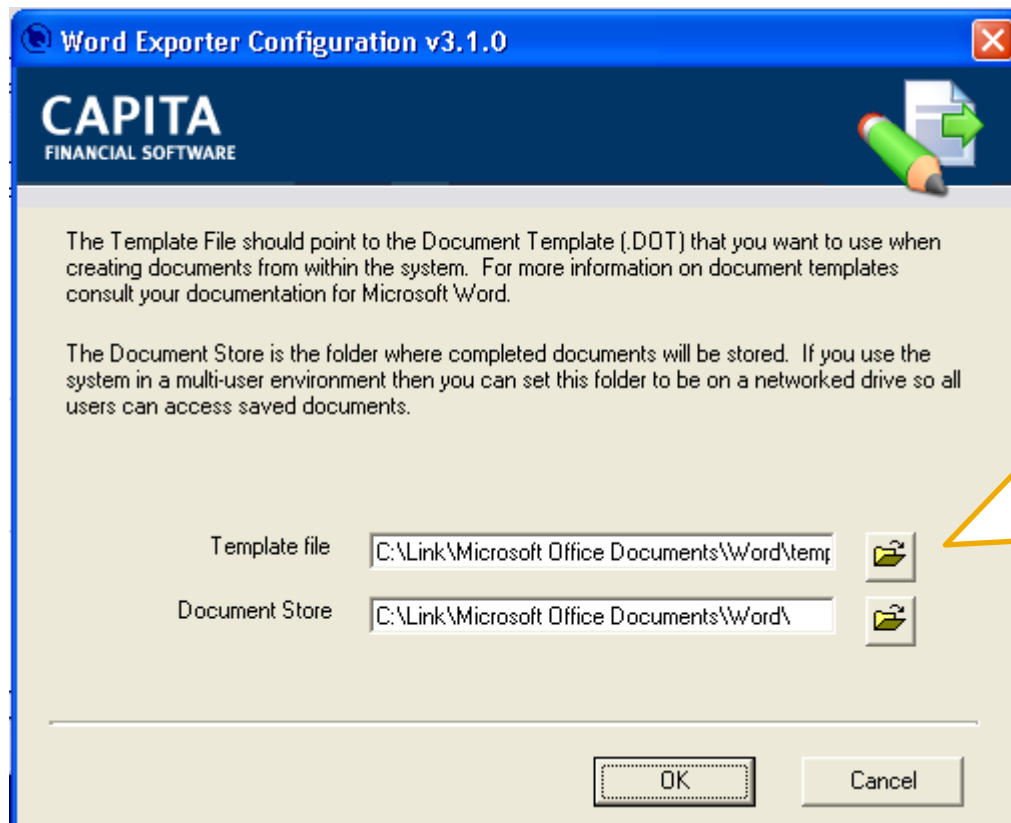


Once the template is set, save it as a template to a shared location. (The template needs to be accessible to all CCD users).



Open up CCD and go to the set-up module.

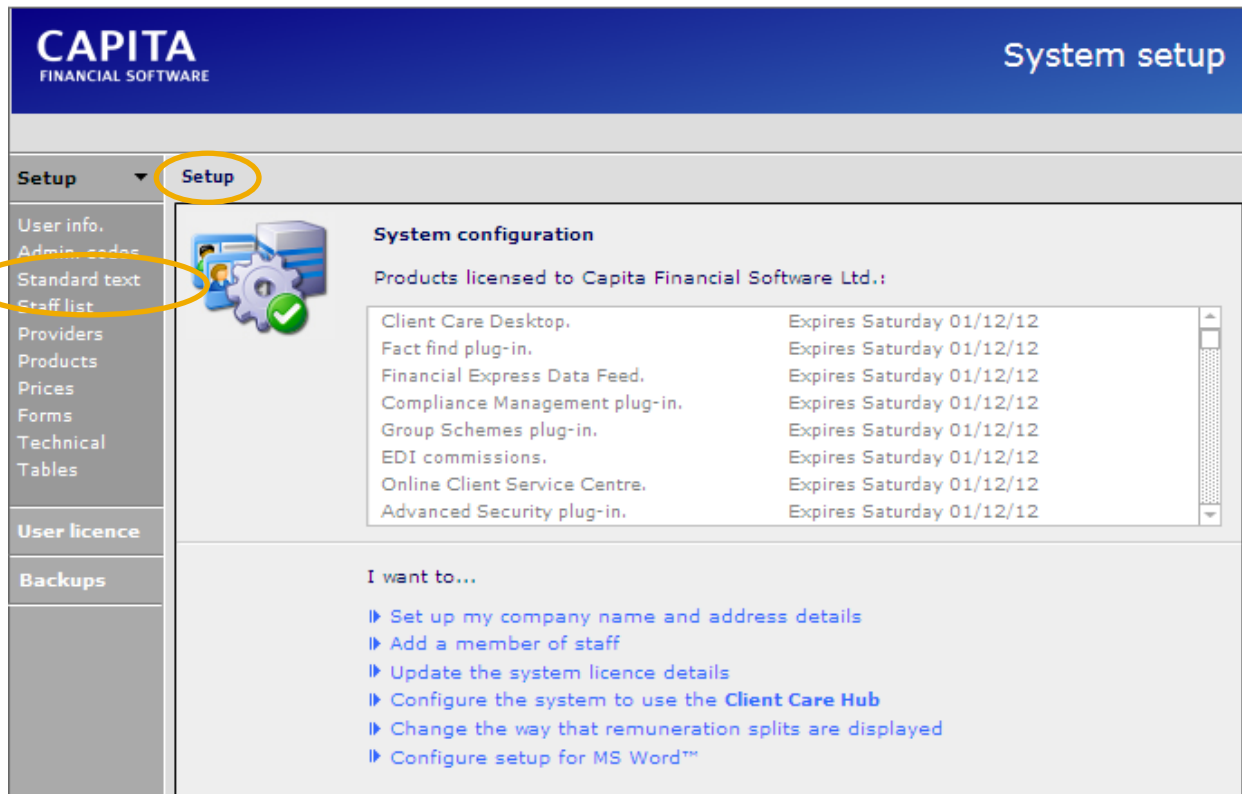




The location of your letter template has now been saved to CCD.

## 2 Storing Your Standard Letters in CCD

To add new standard letters to your CCD go to the **Setup** module and the 'Standard text' section.



There are 4 ways to add letters to CCD

1. Copy and paste existing Word letters.
2. Type new standard letters
3. Use the Message Maker function to create letters that include merge fields from information added to the clients, holdings or providers files.
4. Use existing Word letters and via the message maker function add the merge fields.

**NB** Remember when adding a letter to CCD you only need to start the letter after the salutation line, CCD will automatically address and date the letter, the correct salutation will be selected from information already added to the client's file.

## 2.1 Copy and Paste Existing Word Letters

If you already have letters saved on your system there is no need to retype the body of the letter this can be copy and pasted into the standard letter section of CCD.



Setup > Standard text

Letters | Adverts | Auto-text | Quick reports | Financial review

Standard text + Add record

Communication	Communication type	Created
Change of address to provider	Letter	18/02/03
Confirmation of appointment	Letter	18/02/03
Policy Documents to client	Letter	16/10/12

Setup > Standard text > Details

Details | Letter text | Financial prom.

Select the type.

Select the 'Category' (to add to this drop down free type in the field and it will auto add to the list).

Title line for the letter.

Select from the drop down list.

Enter a description to identify the letter during selection.

Only requires completing when 'Suitability Letter' has been selected in the category.

Code N30141  
Date 16/10/2012  
Communication Type Letter  
Category Confirmation  
Suitability Letter subject  
Description Policy Documents to client  
Letter Title Your Policy Documents  
Author of this Letter LMI Milha Lee

Message Maker  
Use Message Mak  
Include auto-text  
Create / modif

Once all the details have been added go to the letter text tab.

**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup

User info.  
Admin. codes  
Standard text  
Staff list  
Providers  
Products  
Prices  
Forms  
Technical  
Tables

User licence

Quit

Setup > Standard text > Details > Letter text

Details
 Letter text
 Financial prom.

Re:

**NB** Copy and paste the body of a previously saved letter here. Remember only copy and paste the main body of the letter; name, address, date and salutation will autopopulate from the client's file.

Next page

**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup

User info.  
Admin. codes  
Standard text  
Staff list  
Providers  
Products  
Prices  
Forms  
Technical  
Tables

User licence

Quit

Setup > Standard text > Details > Letter text

Details
 Letter text
 Financial prom.

Your Policy Documents

I am pleased to enclose your new policy documents. These should be read and then stored in a safe place for referral at a later date.

If you have any questions once you have read the documents, please do not hesitate to contact me; I'll be happy to help.

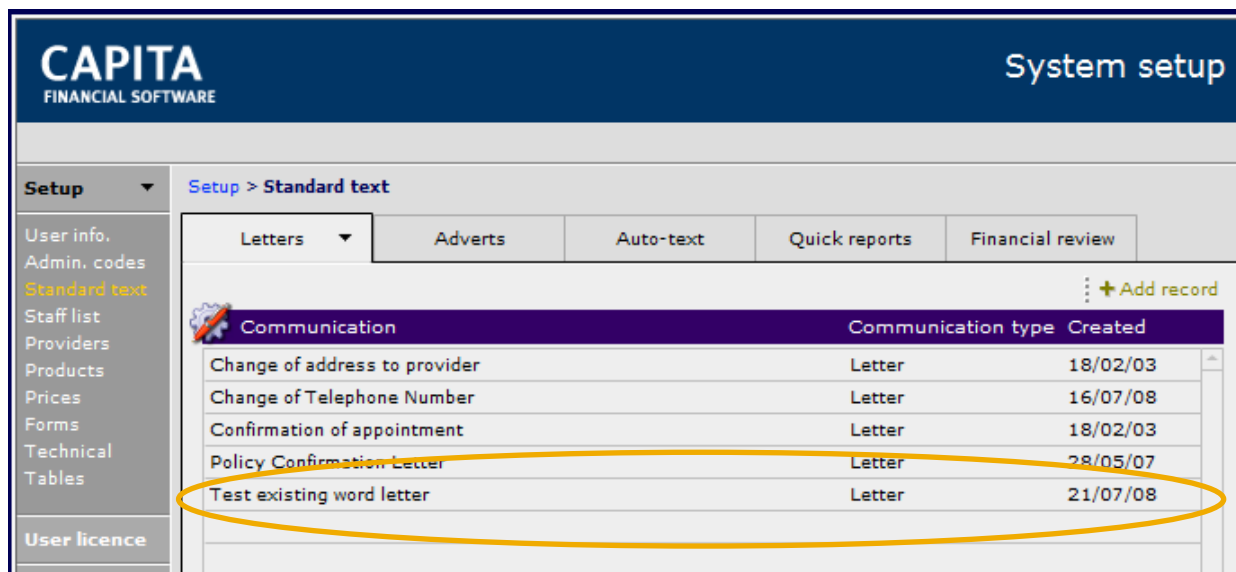
Your sincerely

Emma Sharpe  
Training Consultant  
Capita Financial Software

Mobile: 07825 061574  
Email: emma.sharpe@capita.co.uk  
Web: www.capitafinancialsoftware.co.uk

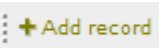
Next page

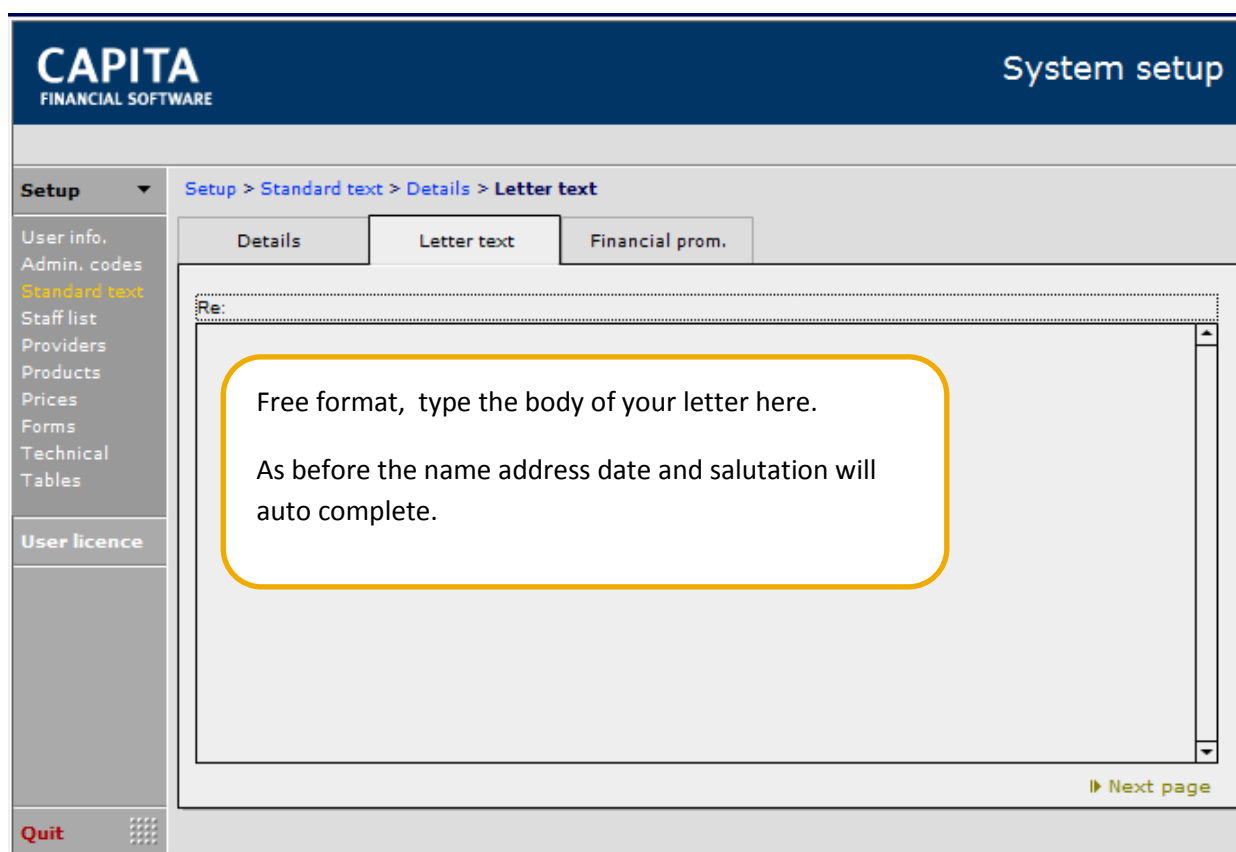
The letter is now available for selection in the clients/holdings module.



Communication	Communication type	Created
Change of address to provider	Letter	18/02/03
Change of Telephone Number	Letter	16/07/08
Confirmation of appointment	Letter	18/02/03
Policy Confirmation Letter	Letter	28/05/07
Test existing word letter	Letter	21/07/08

## 2.2 Type in a New Standard Letter

Click on  and complete the letter identification fields as above.



Re:

Free format, type the body of your letter here.

As before the name address date and salutation will auto complete.

Next page

The letter is now available for selection in the clients/holdings module as seen below.

**CAPITA** FINANCIAL SOFTWARE System setup

Setup > Standard text

Letters | Adverts | Auto-text | Quick reports | Financial review

[+ Add record](#)

Communication	Communication type	Created
Change of address to provider	Letter	18/02/03
Change of Telephone Number	Letter	16/07/08
Confirmation of appointment	Letter	18/02/03
Policy Confirmation Letter	Letter	28/05/07
<b>Test existing word letter</b>	Letter	21/07/08

## 2.3 Using Message Maker to Set Up Standard Letters

The advantages to using the Message Maker function in CCD is that information that has been entered on the client's or holding file can be inserted into a standard letter, individually tailoring standard letters.

**CAPITA** FINANCIAL SOFTWARE System setup

Setup > Standard text > Details

Details | Letter text | Financial prom.

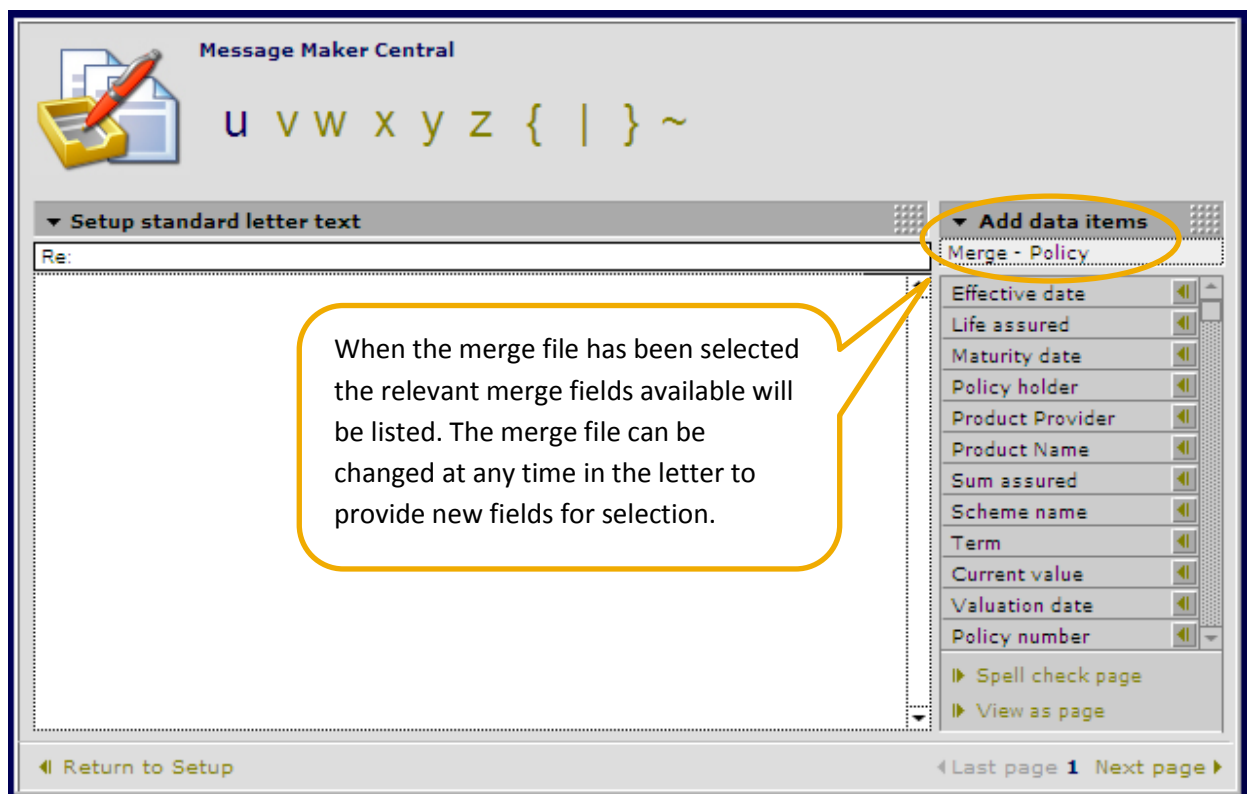
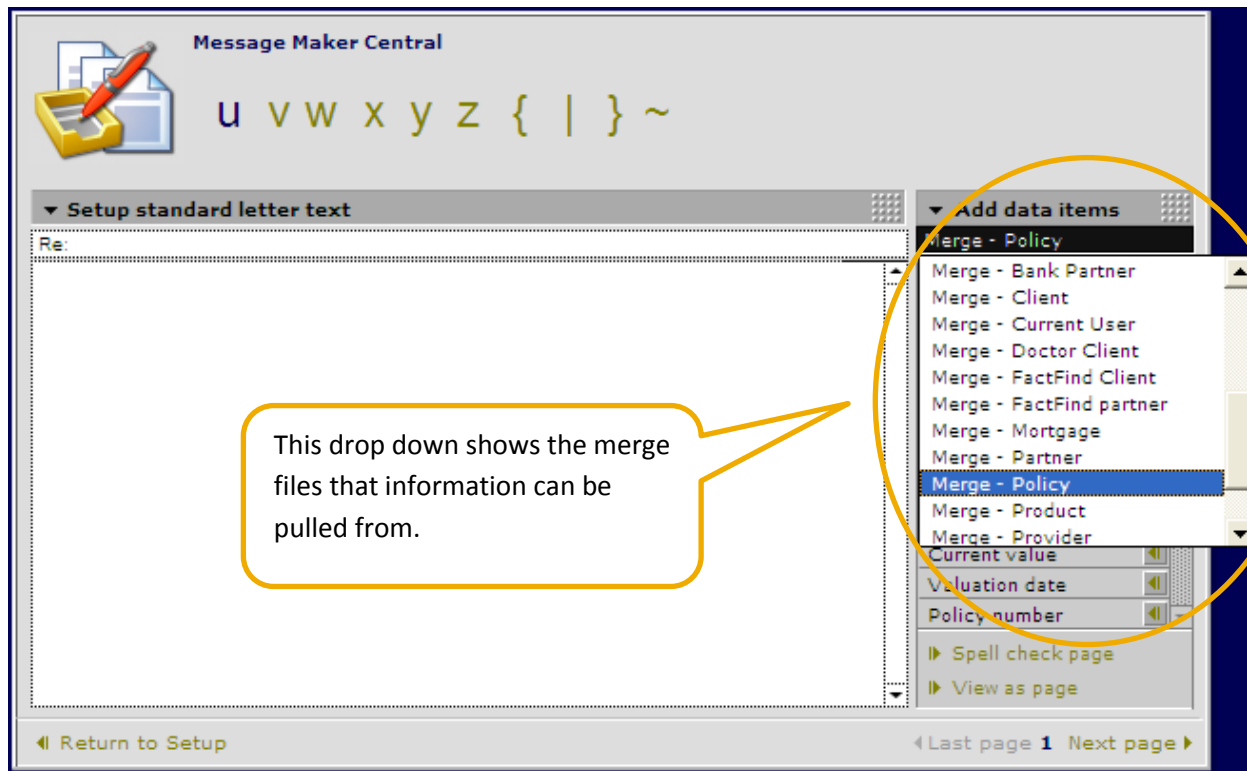
Code: 423100005  
Date: 23/07/2008  
Communication Type: Letter  
Category: General  
Suitability Letter subject:   
Description: Receipt of application form  
Letter Title: Re:   
Author of this Letter: AMS Anna Maria Smith

**Message Maker Central**  
Use Message Maker Central to setup and modify your standard text.  
Include auto-text and Merge items to automatically compile and personalise your letters

[Create / modify Letter text using Link Message Maker](#)

Complete these details and then select 'Create/Modify Letter text using Link Message Maker'.

This will take you to the message maker screens.



Draft a copy of the letter that you want to save with merge fields so that you can decide which fields and where they are required. This is a letter to confirm to the customer that you have received their application form for a mortgage.

The words in *italics* are the merge fields.

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Re:/title - needs the *provider name* – *product type* – application.

I can confirm safe receipt of your “*provider name*” “*product type*” application form.

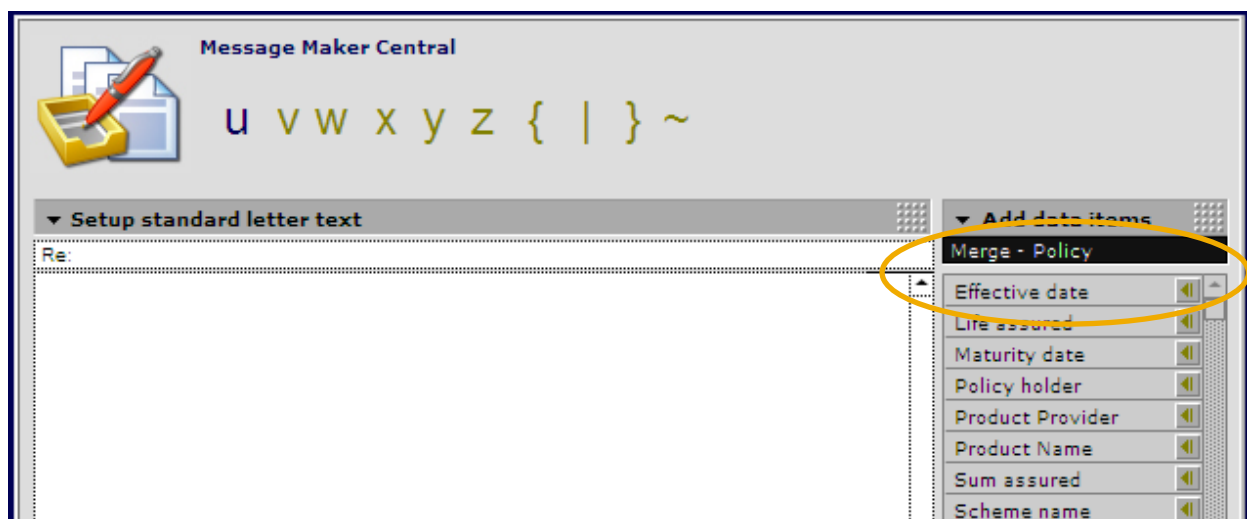
I have forwarded this to “*provider name*” and will update you with the progress of this application.

If you have any further questions please do not hesitate to contact me on 01279 756086.

Yours sincerely

*Adviser name*

The first part of the letter is the title line, look at the information that you want to pull from the main CCD system and look down the list of merge files available to decide where this information will be stored. We want the provider name and product type. This information will be held in “policy” merge file. Select ‘Merge-Policy’ and then the merge fields available will show below the merge file name.



Locate the merge field that you require (in this case it is the ‘Product Provider’) and click into the yellow/gold arrow to the right of the field name. Then place your cursor in the title line where you want the merge field inserted and right click and ‘Paste unformatted text’.

Message Maker Central

u v w x y z { | } ~

▼ Setup standard letter text

Re: <<Policy\_Provider>>

This is how the letter will appear after the merge field has been pasted into the title bar.

▼ Add data items

Merge - Policy

Effective date

Life assured

Maturity date

Policy holder

Product Provider

Product Name

Sum assured

Scheme name

Term

Current value

Valuation date

Policy number

► Spell check page

► View as page

◀ Return to Setup

◀ Last page 1 Next page ▶

We now require the product name so repeat this process and then manually type 'application' after the 2nd merge field has been added.

Message Maker Central

u v w x y z { | } ~

▼ Setup standard letter text

Re: <<Policy\_Provider>><<Policy\_ProductName>> application

▼ Add data items

Merge - Policy

Effective date

Life assured

Maturity date

Policy holder

Product Provider

Product Name

Sum assured

Scheme name

Term

Current value

Valuation date

Policy number

► Spell check page

► View as page

◀ Return to Setup

◀ Last page 1 Next page ▶

Now we have completed the title line, the body of the letter can be typed in. Remember there is no need to type or leave space for the name, address, date and salutation, CCD will insert this information automatically.

To insert a merge field in a letter as you type, unlike the title bar, there is no need to copy and paste the merge field, as you reach the place in the letter where the merge field is required just click onto the merge field name from the right hand drop down and it will place it in the letter where your cursor currently is, and you can continue to type.

The screenshot shows the 'Message Maker Central' window. The main text area contains a letter template with several merge fields: 'Re: <<Policy\_Provider>><<Policy\_ProductName>> application', 'I can confirm safe receipt of your <<Policy\_Provider>> <<Policy\_ProductName>> application form.', 'I have forwarded this to <<Policy\_Provider>> and will update you on the progress of your application.', 'If you have any questions, please do not hesitate to contact me on 01279 756085. I'll be happy to help.', and 'Yours faithfully'. A yellow circle highlights the '<<Client\_Adviser>>' field. A yellow arrow points from the 'Merge - Client' section on the right to the '<<Policy\_ProductName>>' field in the letter body. A yellow speech bubble points to the '<<Client\_Adviser>>' field with the text: 'To select this field the merge file was changed to 'Merge -Client''. Another yellow speech bubble points to the 'Merge - Client' list with the text: 'These fields were all selected from the 'Merge-Policy' file.' The 'Merge - Client' list includes: Address, Client forename, Client occupation, Client surname, his / her, he / she, him / her, Next meeting date, Next meeting time, Next meeting reason, Next review date, and Consultant. At the bottom, there are buttons for 'Return to Setup', 'Last page 1', and 'Next page'.

This letter will now be saved and is available for selection. Don't forget there is a Spell Checker underneath the merge items on the right of the page.

The final way of setting up a standard letter is where you may have a Word document saved with blank spaces that require information to be typed in. These letters can be copied and pasted into CCD and "merge fields" can then be inserted into the letter.

## 2.4 Copying In and Updating Using Message Maker

If you have a letter which you want to save into the 'Standard Text' area of CCD and then add merge fields in, this is what you need to do.

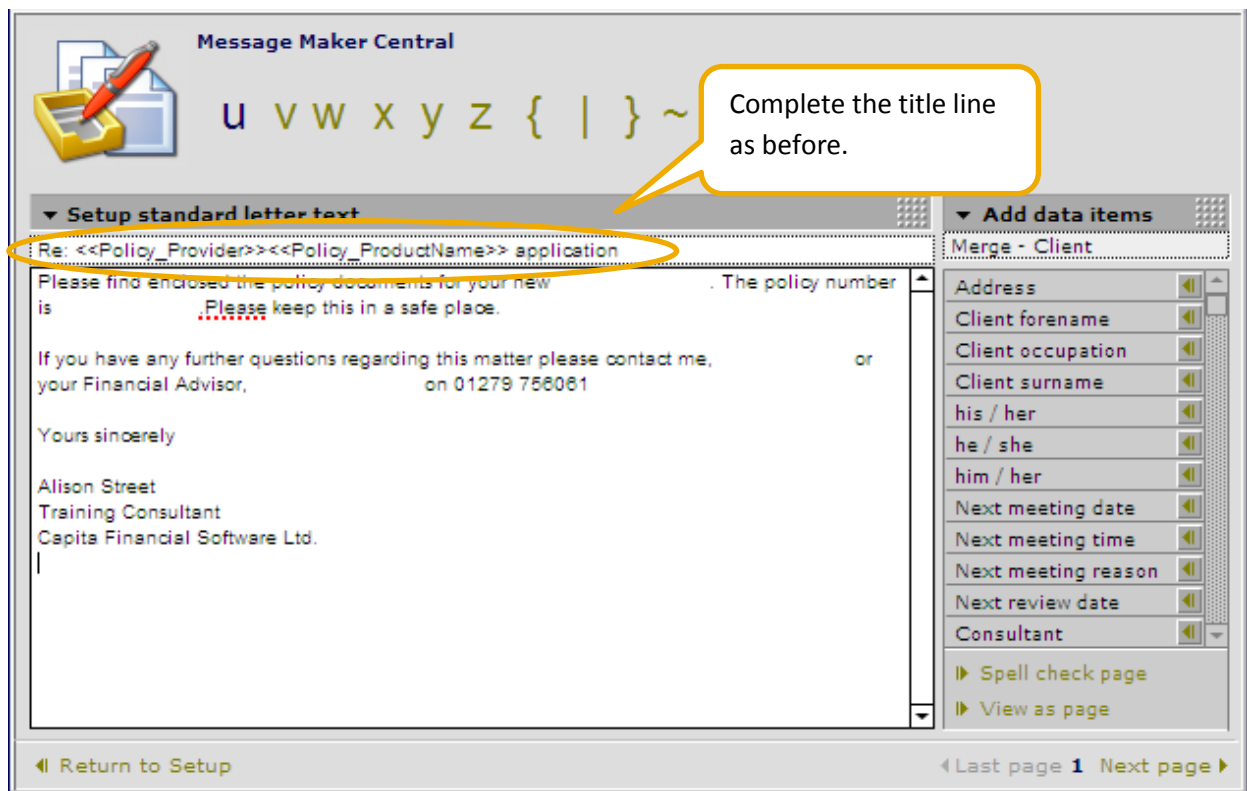
Firstly, set up a standard letter and use the following button;

[Create / modify Letter text using Link Message Maker](#) . Now copy your letter in.

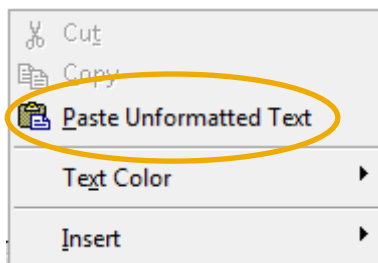
"Dear  
Please find enclosed the policy documents for your new <Product>. The policy number is <Policy Number>. Please keep this in a safe place.  
If you have any further questions regarding this matter please contact me, or your Financial Advisor, on xxxxx xxxxx.

Yours sincerely





To insert the merge fields into the blank spaces in the body of the letter use the same method as when a field is inserted into the title line. Select the field you wish to merge, click onto the gold arrow, and place the cursor where you want the field to be inserted right click and Paste Unformatted Text.



**Message Maker Central**

u v w x y z { | } ~

▼ Setup standard letter text

Re: <<Policy\_Provider>><<Policy\_ProductName>>

Please find enclosed the policy documents for your new <<Policy\_ProductName>>. The policy number is <<Policy\_Number>>. Please keep this in a safe place.

If you have any further questions regarding this matter please contact me, <<CU\_Username>> or your Financial Advisor, <<Client\_Adviser>> on 01279 756061

Yours sincerely

Alison Street  
Training Consultant  
Capita Financial Software Ltd.

▼ Add data items

Merge - Current User

User name category  
User name  
Company name  
User email  
User telephone

► Spell check page  
► View as page

◀ Return to Setup

◀ Last page 1 Next page ▶

### 3 Auto - Text

An 'Auto-text' is a line or paragraph of text, which is used but not regularly within a letter. Therefore it is not appropriate to add it into a letter, but to place it somewhere where it can be accessed when required. This means it does not have to be typed in each time it is required.

To add an 'Auto-text' got to 'Setup' – 'Standard text' – 'Auto-text'.

[illegible]

**Setup** ▾

User info.

Admin. codes

**Standard text**

Staff list

Providers

Products

Prices

Forms


Technical

Tables

Setup > Standard text > Autotext >

Type	Description
Auto - Text	Autotext - Client
	Autotext - Advice
	Autotext - Intro.
	Autotext - Policies
	Autotext - Close
	Autotext - Signature
	Canterbury - Yours sin...
	Kingston - Yours since...
	Edit...

Select the auto-text category – this is an editable list so your own categories can be added, always precede with ‘Auto text’.



**Message Maker Central**

Use Message Maker Central to setup and modify your standard text. Include auto-text and Merge items to automatically compile and personalise your letters

▶ Create / modify text using Link Message Maker

As with letters there are two methods of creating auto-text; copy and paste or free type into the main Auto-text box or use the [▶ Create / modify text using Link Message Maker](#) link to add merge fields to a standard paragraph or sentence.

Please note that only text can be added to the auto text, logo's, graphics etc cannot be added.

### 3.1 Copy and Paste or Free Format Type

**Setup** ▾ Setup > Standard text > Autotext > Emma's formal close

User info.	Type	Autotext - Signature
Admin. codes	Description	Emma's formal close
<b>Standard text</b>	Auto - Text	If you have any questions, please do not hesitate to contact me; I'll be happy to help.
Staff list		Yours sincerely
Providers		Emma Sharpe
Products		Training Consultant
Prices		Capita Financial Software
Forms		Mobile: 07825 061574
Technical		Email: emma.sharpe@capita.co.uk
Tables		Web: www.capitafinancialsoftware.co.uk

**User licence**

 **Message Maker Central**  
Use Message Maker Central to setup and modify your standard text. Include auto-text and Merge items to automatically compile and personalise your letters  
▶ Create / modify text using Link Message Maker

Here a signature paragraph has been set up for Emma Sharpe. To create this, the signature used for E-mails has been copied and pasted into the main auto-text box. This will now be available to add to letters as a merge item.

▶ Create / modify text using Link Message Maker

**Message Maker**  
Letter to Client  
Provider: Skandia Stocks and Shares ISA, Premium: £100  
commenced 01/12/2007

▶ Store new standard  
▶ Spell check text  
▶ Select holding record  
▶ Select enquiry record

▼ Select filter	▼ Select standard message	▼ Add data items
		Autotext - Signature
		Emma's formal close

If you have any questions, please do not hesitate to contact me; I'll be happy to help.

Yours sincerely

Emma Sharpe  
Training Consultant  
Capita Financial Software

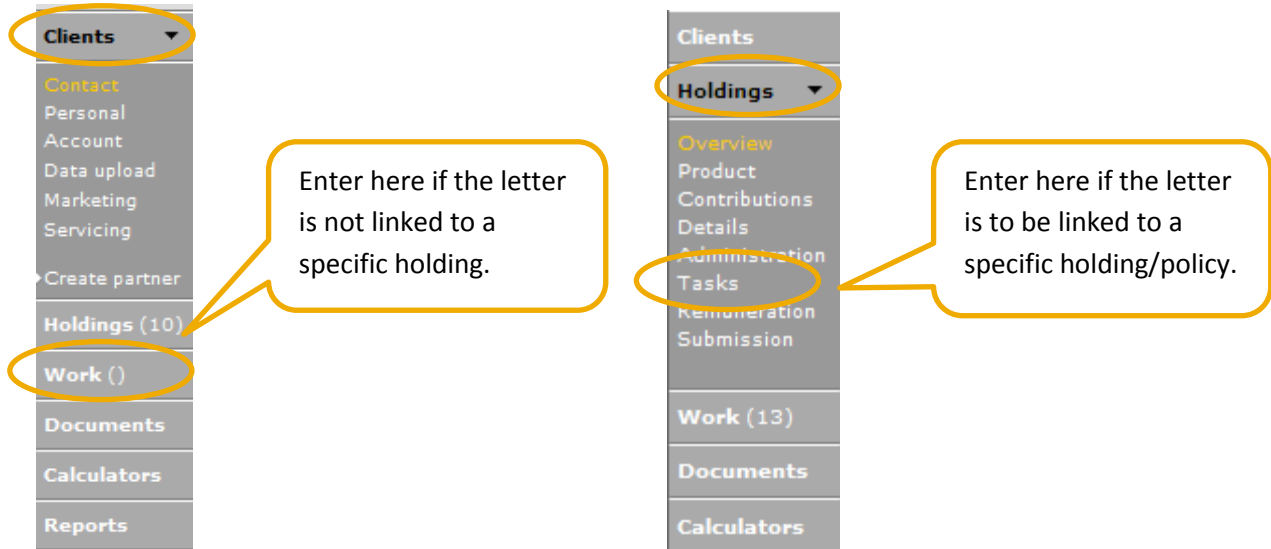
Mobile: 07825 061574  
Email: emma.sharpe@capita.co.uk  
Web: www.capitafinancialsoftware.co.uk

Copy to clipboard

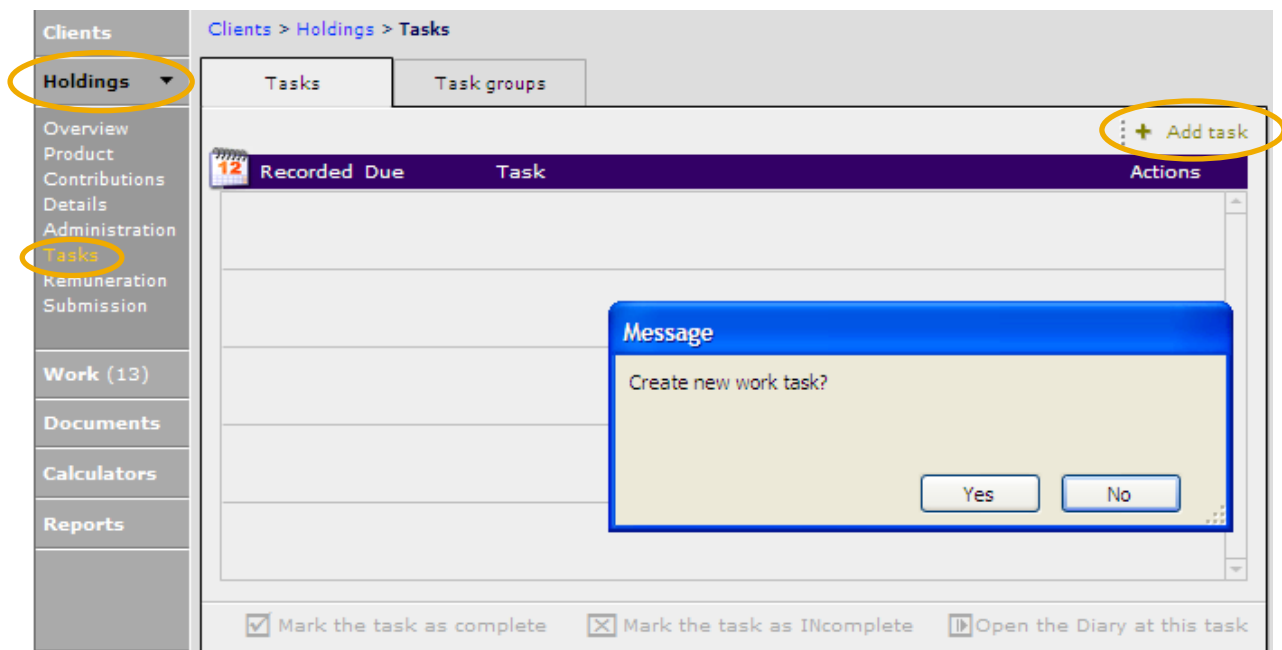
Signature set up to use a merge field to insert the Adviser responsible for the client onto the letter. The rest of the signature is generic so can be used on any letter.


## 4 Producing and Viewing Your Letters via Work and Tasks

If you wish to produce a letter for your client, firstly find the client in question and if the letter is not linked to a particular policy go to 'Work' in the client record. If the letter is to be linked to a specific holding/policy then go to the holding in question and enter the 'Tasks' area of the holding.



### 4.1 Entering a letter against a holding



Select the task to be performed from the drop down list. Use the  to enter the full details and to access the letter area.

Clients > Holdings > Tasks

Tasks Task groups

Overview  
Product  
Contributions  
Details  
Administration  
**Tasks**  
Remuneration  
Submission

Work (14)  
Documents  
Calculators  
Reports

12 Recorded Due Task Actions

Recorded	Due	Task	Actions
16/10/2012	No diary	Acknowledge receipt of a new application	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>
		Arrange doctor appointment for client medical	
		Arranging credit checks	
		Calculating and recording commissions	
		Calculating capital needs	
		Calculating carry back / forward	
		Calculating commissions	
		Calculating critical illness shortfall	
		Calculating dynamised salary	
		Calculating education fees	
		Calculating final salary scheme benefits	

☒ Mark the task as complete ☒ Mark the task as INcomplete ☒ Open the Diary at this task

To produce any type of correspondence relating to this task enter the Message tab:

Clients > Holdings > Tasks > Diary

Diary Account Message

Task Group Client contact Who Date  
Task Letter to Client ams 16/10/2012

No diary Notify client ☐ Notify Introducer ☒

Type in details of the task here.

Related project

Further action required Priority Days / Override By whom  
3

☒ Select policy  
☒ Mark task complete  
☒ Mark task incomplete  
☒ File note (last printed:)

First diary date  
Further actions due 16/10/2012  
Further actions complete  
Date of completion

Document linked Select

Complete from the drop down lists.

Message to Client  
If to client Client  
Include Honours? No  
Type of correspondence Letter  
Private Private & Confidential  
Formality From salutation  
Letter date 16/10/2012  
Our reference MM/ams  
Word export

Options  
Private & Confidential  
Mr A Apple  
Address1  
Victoria Road  
Chelmsford  
Essex  
CM1 1FB  
Our ref: MM/ams  
16 October 2012

Generate Correspondence

Message Maker  
Use Message Maker to include and modify standard text.  
Use auto-text and Merge items to automatically personalise your letters  
Use Message Maker

Name, address and salutation populate from the Clients module and letter starts to create.

**NB** Do not select 'Generate Correspondence' unless you wish to type a completely new free format letter with no aid from any existing templates, auto-text or merge items functions available within CCD. You are unable to access any of this functionality from within this section.

Message to Client  
If to client Client  
Include Honours? No  
Type of correspondence Letter  
Private Private & Confidential  
Formality From salutation  
Letter date 16/10/2012  
Our reference MM/ams  
Word export

Options  
Private & Confidential  
Mr A Apple  
Address1  
Victoria Road  
Chelmsford  
Essex  
CM1 1FB  
Our ref: MM/ams  
16 October 2012

Generate Correspondence

Message Maker  
Use Message Maker to include and modify standard text.  
Use auto-text and Merge items to automatically personalise your letters  
Use Message Maker

By selecting the Select filter you can search the folders that your letters are saved in.

**Message Maker**  
Letter to Client  
Provider: Legal & General Unit Linked Bond, Premium: £15000  
commenced 07/05/2000

▸ Store new standard  
▮ Spell check text  
▸ Select holding record  
▸ Select enquiry record

▼ Select filter    ▼ Select standard message    Add data items

Advertisement  
Confirmation  
Request

Details of the policy this task is attached to display here.

Select where the letter template is saved.

Copy to clipboard

Return    Generate Letter ▸

Now select the letter that you want to use.

**Message Maker**  
Letter to Client  
Provider: Legal & General Unit Linked Bond, Premium: £15000  
commenced 07/05/2000

▸ Store new standard  
▮ Spell check text  
▸ Select holding record  
▸ Select enquiry record

▼ Select filter    ▼ Select standard message    ▼ Add data items

Confirmation    Confirmation of appointment

Our forthcoming appointment  
I write to confirm the details of our forthcoming appointment:  
Purpose of the meeting: <<Client\_MeetingReason>>  
Date of the meeting: <<Client\_MeetingDate>>  
Time: <<Client\_MeetingTime>>  
If for any reason this appointment is not confirmed please contact me as soon as possible to rearrange  
Yours sincerely  
<<Client\_Adviser>>

Additional merge fields can be added to a template as required.

Once the letter content is as you require click on:

Generate Letter ▸

Autotext - Advice  
Autotext - Client  
Canterbury - Yours sincerely  
Merge - Acct Client  
Merge - Acct Partner  
Merge - Advice  
Merge - Analysis  
Merge - Bank Client  
Merge - Bank Partner  
Merge - Client  
Merge - Current User

Copy to clipboard

Return    Generate Letter ▸



Your letter now starts to take form and any merge items you have included within your letter will be inserted by CCD.

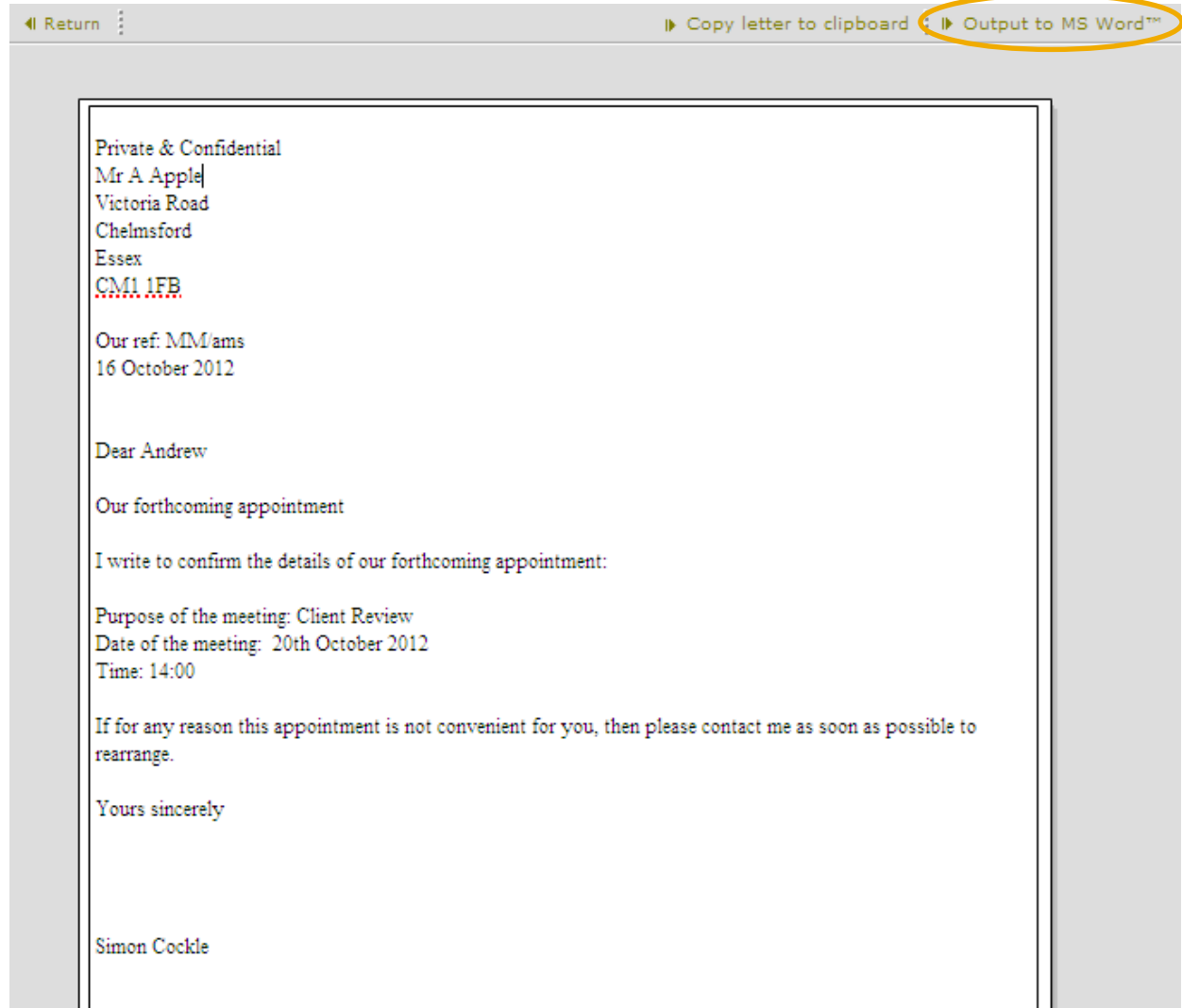
**NB** If you asked for CCD to insert information that you have-not entered within CCD the words MISSING DATA will appear. You will need to manually enter this information on this occasion.

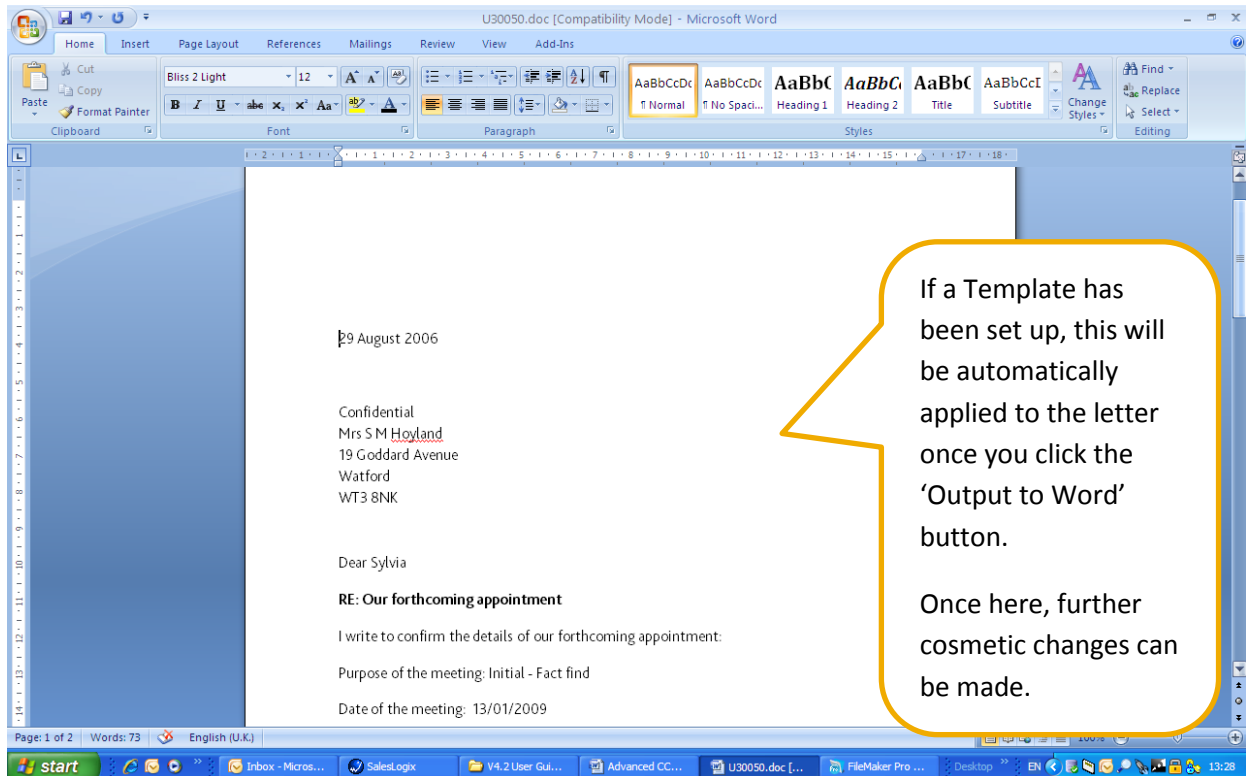
When you are happy with your letter the last stage is to adjust the font style, size and colour to suit your company branding.

This is done by clicking on

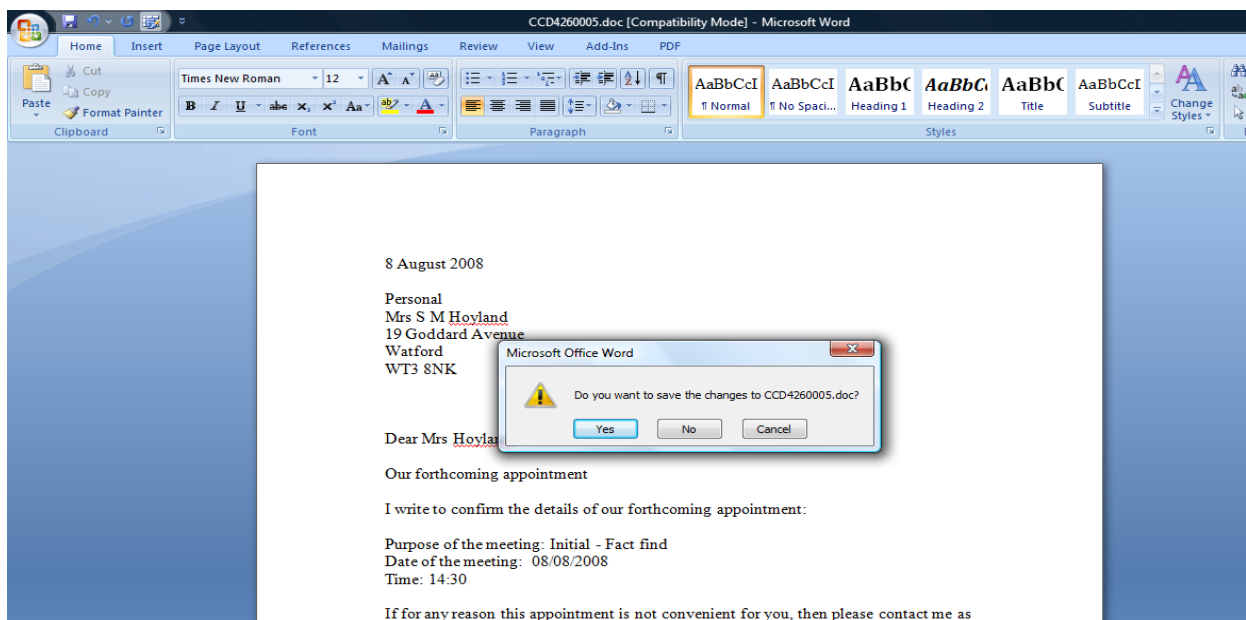
► Output to MS Word™

:





If no changes are made to the letter in the MS Word format when you close the letter it will not prompt you to save, the letter will auto save to CCD. If you have made amendments after outputting the letter to MS Word then you will be prompted to save the changes.



## 4.2 Viewing letters via Tasks

Should you wish to revisit your client's letter at any time simply retrace your steps from the front page of CCD:

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- Find your client
- Find the holding that the task/letter relates to
- Enter the holding
- Click on Tasks
- Select the Message tab
- Click on View Letter to Client

Clients	Clients > Holdings > Tasks > Diary > Message		
Holdings ▾	Diary	Account	Message ▾
Overview	<div> <div> <div>Message to</div> <div>Client</div> <div>► Options</div> </div> <div> <div>If to client</div> <div>Client</div> </div> <div> <div>Include Honours?</div> <div>No</div> </div> <div> <div>Type of correspondence</div> <div>Letter</div> </div> <div> <div>Private</div> <div>Private &amp; Confidential</div> </div> <div> <div>Formality</div> <div>Formal</div> </div> <div> <div>Letter date</div> <div>15/10/2012</div> </div> <div> <div>Our reference</div> <div></div> </div> <div> <div>Word export</div> <div></div> </div> </div> <div> <div>Private &amp; Confidential</div> <div>Mr A Apple</div> <div>Address1</div> <div>Victoria Road</div> <div>Chelmsford</div> <div>Essex</div> <div>CM1 1FB</div> <div>15 October 2012</div> <div>Dear Mr Apple</div> </div>		
Tasks			
Remuneration			
Submission			
Work (13)			
Documents			

This will then display the MS Word copy of the letter.

### 4.3 Entering a Letter Against the Client

If you wish to send a letter to your client but you cannot be specific as to which holding this correspondence refers to, you will need to create and save your letter via your clients general work section.

To produce a letter from the work section of your clients file firstly locate the relevant client and select Work from the main client menu.

**CAPITA** FINANCIAL SOFTWARE Client records


Add record Find record List records My notes

**Clients** Clients

Contact
Postal address
Scanned docs.
Goals
Overview
Add note

Client type: Individual Client Ref.:   
 Title / Initial / Surname: Mrs S M Hoyland  
 Forename: Sylvia Mary  
 Salutation: Sylvia  
 Qualification / Honours:   
 Company name:   
 Personal email address:  ☐  
 Work email address:  ☐  
 Home: 01285 277622 Fax home:   
 Work: 01285 567567 Fax work:   
 Mobile:  Contact: Evenings  
 Current status: Prospect Method: Telephone  
 Intro. date / source: 17/08/2006 Cold calling  
 Introducer: No introducer More  
 Employer: Sylvia Hoyland More  
 Adviser: Clive McDonough More  
 Service manager:  More

☐ Do not mailshot  
☐ Do not share client data with partner

Client Source 

Quit Created: 17/08/2006 By: AMS Last modified: 09/06/2011 by

**CAPITA** FINANCIAL SOFTWARE Work records

Sylvia Hoyland

**Clients** Clients > Work

Outstanding
All tasks
Groups
Tracker set-up

Diary
Account
Message
+ Add record

Task	User	Action by	Status	Relates to
Corresponding with the client	AMS	09/08/08	Outstanding	Policy

Task group: All group tasks shown - click here to filter

Correspondence attached Switch to Relevant section > Diary

Message

Do you wish to create a new Work log entry for the current client?

Yes No

**CAPITA** FINANCIAL SOFTWARE Work records

Sylvia Hoyland

Clients > Work > Diary

Task Group: Client contact    Who:    Date:   

Task: Corresponding with the client    Who: ams    Date: 20/03/2010

**Outstanding**    Notify client ☐    Notify Introducer ☒

Select the Task group and Task from the drop down lists.

Related project:

Document linked:    Select

Further action required:    Priority: 3    Days / Override: 2    By whom: AMS

☐ Select policy    First diary date:     
☒ Mark task complete    Further actions due: 22/03/2010  
☒ Mark task incomplete    Further actions complete:     
☐ File note (last printed:)    Date of completion:   

Quit

To produce any type of correspondence relating to this task enter the Message option on the left hand side.

**CAPITA** FINANCIAL SOFTWARE Work records

Sylvia Hoyland

Clients > Work > Diary

Task Group: Client contact    Who:    Date:   

Task: Corresponding with the client    Who: ams    Date: 20/03/2010

Notify client ☐    Notify Introducer ☒

Click here to add a letter to the task.

Type in details of the task here.

Related project:

Document linked:    Select

Further action required:    Priority: 3    Days / Override: 2    By whom: AMS

☐ Select policy    First diary date:     
☒ Mark task complete    Further actions due: 22/03/2010  
☒ Mark task incomplete    Further actions complete:     
☐ File note (last printed:)    Date of completion:   

Quit

**CAPITA**  
FINANCIAL SOFTWARE

Work records

Gemma Clift

Clients > Work > Diary > Message

Message to: Client

If to client, address how? Client

Include Honours?

Type of correspondence: Letter

Private: Confidential

Formality: Formal

Letter date: 10/08/2008

Our reference:

Word export:

Options: 10 August 2008

Confidential

Miss G H Clift

17 Poachers Lane

Hoddesdon

Hertfordshire

EN11 7SN

Dear Miss Clift

Generate Correspondence

Message Maker

Use Message Maker to include and modify sta  
Use auto-text and Merge items to automatical  
your letters

Use Message Maker

Quit

**NB** Do not select 'Generate Correspondence' unless you wish to type a completely new free format letter with no aid from any existing templates, auto-text or merge items functions available within CCD. You are unable to access any of this functionality from within this section.

By going into **Use Message Maker** at the bottom of the screen you can access your letter templates (from **Setup**), merge items and Auto-texts, or type a new letter.

**CAPITA**  
FINANCIAL SOFTWARE

Work records

Gemma Clift

Clients > Work > Diary > Message

**Clients**  
 Holdings (4)  
**Work**  
 Diary  
 Account  
**Message**  
 Documents  
 Calculators  
 Reports  
 Quit

Message to  Options  
 If to client, address how?   
 Include Honours ?   
 Type of correspondence   
     Private   
     Formality   
 Letter date   
 Our reference   
 Word export

10 August 2008  
 Confidential  
 Miss G H Clift  
 17 Poachers Lane  
 Hoddesdon  
 Hertfordshire  
 EN11 7SN  
 Dear Miss Clift

Generate Correspondence

**Message Maker**  
  
 Use Message Maker to include and modify standard text.  
 Use auto-text and Merge items to automatically personalise  
 your letters  

Use Message Maker

By selecting the 'Select filter' you can search the folders that your letters are saved in.

**Message Maker**  
 Letter to Client

Store new standard  
Spell check text  
Select holding record  
Select enquiry record

**Select filter**  
 Confirmation  
 Our forthcoming appointment  
 I write to confirm details of our forthcoming appointment  
 Purpose of  
 Date of the  
 Time: <<  
 If for any  
 me as soon  
 Yours sincerely  
 <<Client Adviser>>

**Select standard message**  
 Confirmation of appointment  
 Reason>>  
 e>>

**Add data items**

Confirmation of appointment

Reason>>  
 e>>

Return
Generate Letter

**Message Maker**  
Letter to Client

► Store new standard  
► Spell check text  
► Select holding record  
► Select enquiry record

▼ Select filter  
Confirmation

▼ Select standard message  
Confirmation of appointment

▼ Add data items

Our forthcoming appointment  
I write to confirm the details of our forthcoming appointment:  
Purpose of the meeting: <<Client\_MeetingReason>>  
Date of the meeting: <<Client\_MeetingDate>>  
Time: <<Client\_MeetingTime>>  
If for any reason this appointment is not convenient for you, please contact me as soon as possible to rearrange.  
Yours sincerely  
<<Client\_Adviser>>

Additional merge fields can be added to a template as required.

Once the letter content is as you require click on **Generate Letter ►**

Generate Letter ►

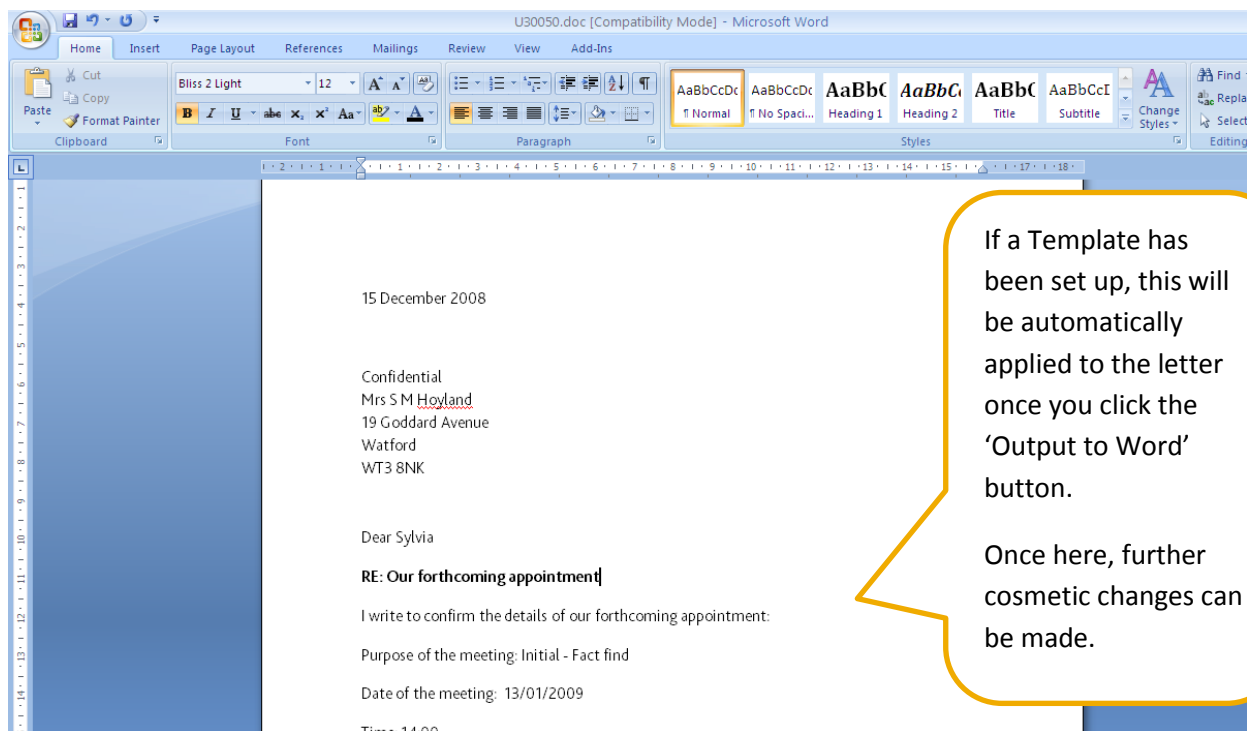
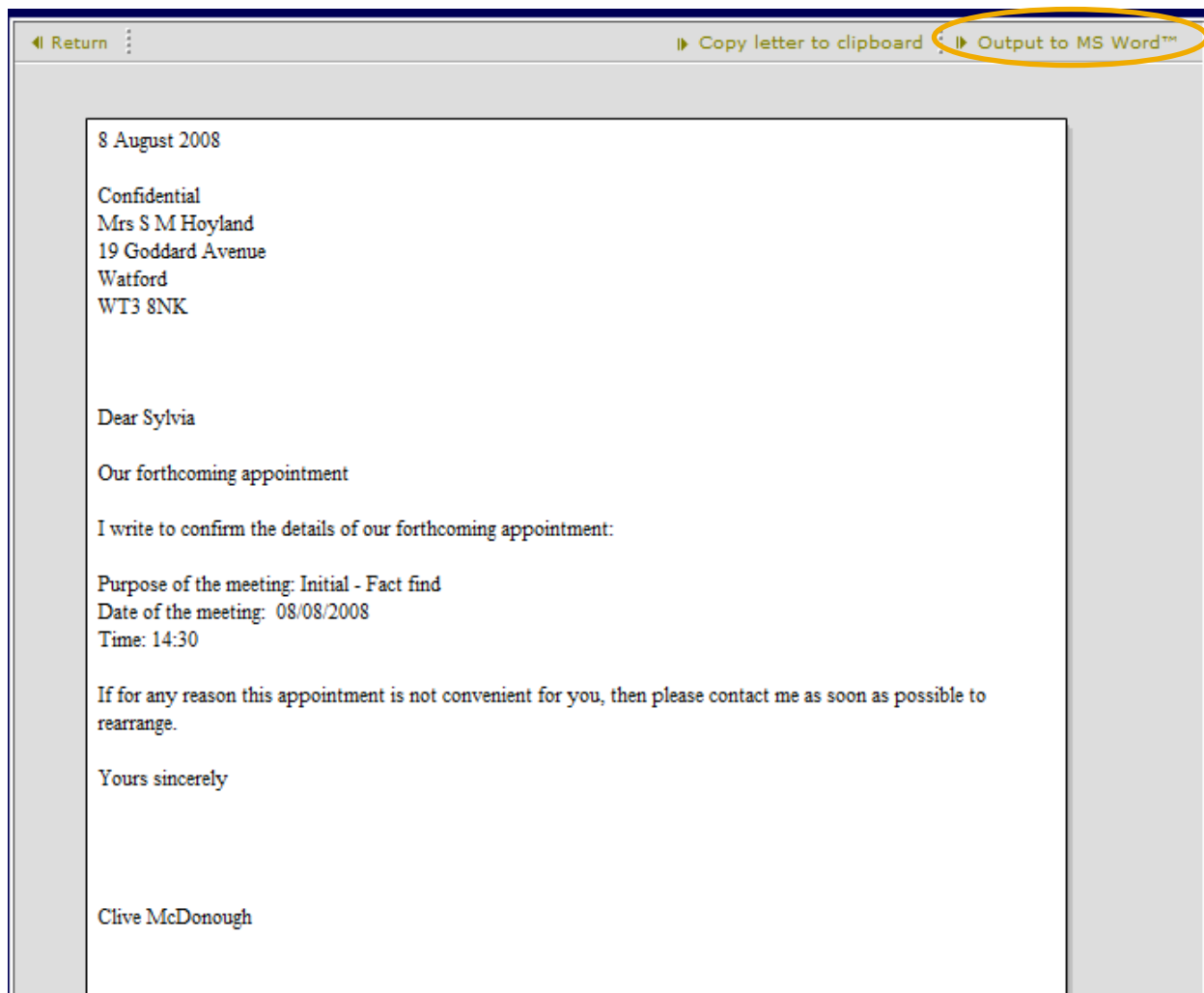
Your letter now starts to take form and any merge items you have included within your letter will be inserted by CCD.

**NB** If you asked for CCD to insert information that you have not entered within CCD the words MISSING DATA will appear. You will need to manually enter this information on this occasion.

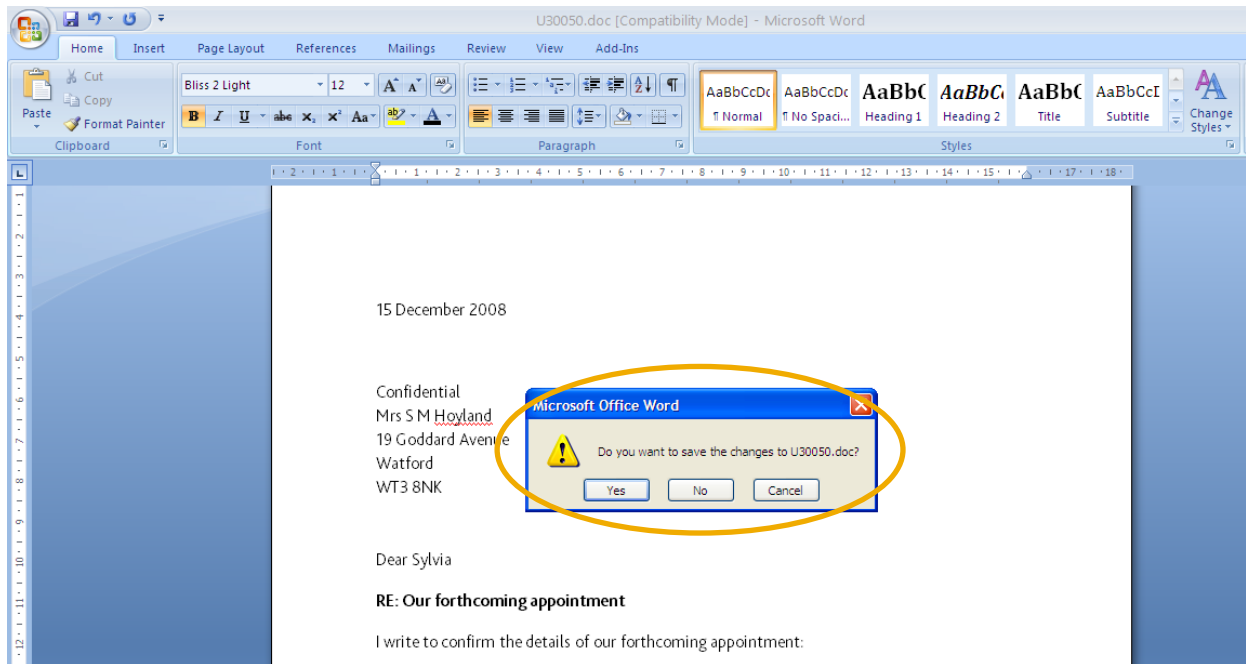
When you are happy with your letter the last stage is to adjust the font style, size and colour to suit your company branding.

This is done by clicking on **► Output to MS Word™**





If no changes are made to the letter in the MS Word format when you close the letter it will not prompt you to save, the letter will auto save to CCD. If you have made amendments after out putting the letter to MS Word then you will be prompted to save the changes.



#### 4.4 Viewing letters via Work

Should you wish to revisit your client's letter at any time simply retrace your steps from the front page of CCD:

- Find your client
- Click on the Work Tab and select the appropriate item
- Select the Message tab
- Click on 'View Letter to Client'

Clients	Clients > Holdings > Tasks > Diary > Message	
Holdings ▼	Diary	Account
Overview	Message ▼	
Product	<div> <div>Message to</div> <div>Client</div> <div>Options</div> </div>	
Contributions	<div> <div>If to client</div> <div>Client</div> </div>	
Details	<div> <div>Include Honours?</div> <div>No</div> </div>	
Administration	<div> <div>Type of correspondence</div> <div>Letter</div> </div>	
Tasks	<div> <div>Private</div> <div>Private &amp; Confidential</div> </div>	
Remuneration	<div> <div>Formality</div> <div>Formal</div> </div>	
Submission	<div> <div>Letter date</div> <div>15/10/2012</div> </div>	
Work (13)	<div> <div>Our reference</div> <div></div> </div>	
Documents	<div> <div>Word export</div> <div></div> </div>	
	<div> <div>Generate Correspondence</div> </div>	
	<div> <div>Private &amp; Confidential</div> <div>Mr A Apple</div> <div>Address1</div> <div>Victoria Road</div> <div>Chelmsford</div> <div>Essex</div> <div>CM1 1FB</div> <div>15 October 2012</div> <div>Dear Mr Apple</div> </div>	

This will then display the MS Word copy of the letter.

## 5 Money Laundering

CCD comes complete with two different Identity forms i.e. a two page version for you to capture Money laundering information plus the newer FCA summary, Confirmation of Verification of Identity.

**CAPITA**  
FINANCIAL SOFTWARE

Documents

Sylvia Hoyland

Clients > Documents > Client Identity

Clients

Holdings (10)

Work (2)

Documents

Details

Calculators

Reports

Quit

General Identity

Details Name Address No verification

Meets the standard evidence ☐

Exceeds the standard evidence ☐

Print Confirmation of Verification of Identity

Date last updated 20/03/2010

HM Treasury listings for suspected terrorists

HM TREASURY

EQUIFAX

For information regarding Anti-Money Laundering Solutions visit the [Equifax website](http://www.equifax.co.uk)

Current Archive

Click here to enter full information.

Once the information has been entered you can either print out a current form from the 'Details' tab, or move onto the 'Archive' tab and print out the older style form.

The other link on the front page will take you to the treasury web page for any advice on foreign nationals [▶ HM Treasury listings for suspected terrorists](#).

## 6 Setting Up Trackers

Trackers are a way of showing your business processes or work flows on CCD utilising the diary and tasks. They require you to have a clear understanding of the processes you wish to track before you attempt to set them up on the system. We strongly recommend that you make a paper representation of the processes you are setting up to refer to during the set up.

The example used in this guide is purely to show the application. This is not to be used as the basis of a real business process.

The steps to follow to set up are;

- Match your paper representation step by step to a task in the admin codes data base.
- Review each task and ensure the number of days for each task to be completed is set from the 1st day the tracker is put in place. This may mean that you either need to set up new tasks or amend existing tasks.
- Attach standard letters as required to the tasks. Set up the tracker in CCD.

Match to admin codes in the data base. Where no task is present a new task will need to be created.

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Business Process	Task in Admin Codes Database
Confirm to client receipt of application	Acknowledge receipt of new application – TSK001
Enter details onto client file	Entering new business in admin system – TSK057
Submit application to provider	Submit application to provider – TSK 128
Update client holding with contract details	Update client file information – TSK139
Complete new business check list	No suitable task in CCD
Send policy to client	Issuing documents to client – TSK070
Set client servicing details	No suitable task in CCD

**NB** Some processes will not have a corresponding task in CCD.

**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup > Administration codes

Tasks Task categories Trackers Planning goals

+ Add record

Task description	Task group
Updating case progress by telephone	Contact
Updating client file information and holdings schedule	Client
Updating client file information and holdings schedule	Client
Updating unit holdings (obtaining details)	Client
Updating unit holdings (recording information)	Client
Updating unit values	Client

Click here to add a new task.

**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup > Administration codes > New task

Admin Code: TSK166

Task description: Complete new business check list

Main task category: Client

Sub task category: Processing new business

Diary days: 1 days \*

Standard letter: \*\*

Standard letter description:

Manually type the task description.

Select the Main task and Sub task category from the drop down lists.

Days to automatically forward diary each task created in the system Work log.

\*\* Set a standard letter code to automatically insert the text of the standard letter chosen into the Message Maker when creating correspondence within the system Work log.

Quit

Once all the tasks required have been located or created move to checking that the number of days from creation are correct. Once the tracker has been set up the number of days will not be amendable in the tracker, if the task is chosen as a standalone task for a client then the days required can be amendable as the task is created in the client file.

Business Process	Task in Admin Codes Database	Number of Days to Complete
Confirm to client receipt of application	Acknowledge receipt of new application – TSK001	1
Enter details onto client file	Entering new business in admin system – TSK057	2
Submit application to provider	Submit application to provider – TSK 128	2
Update client holding with contract details	Update client file information – TSK139	9
Complete new business check list	Complete New Business Checklist – TSK166	11
Send policy to client	Issuing documents to client – TSK070	12
Set client servicing details	Record Client Servicing Details – TSK162	23

**CAPITA**  
FINANCIAL SOFTWARE

System setup

**Setup** ▾  
 User info.  
**Admin. codes**  
 Standard text  
 Staff list  
 Providers  
 Products  
 Prices  
 Forms  
 Technical  
 Tables  
 User licence

Setup > Administration codes > New task

⏪
Back
⋮

Admin Code  
 Task description  
 Main task category  
 Sub task category  
 Diary days  
 Standard letter  
 Standard letter description

11 days \*

Add the number of days for the task to be completed.

\* Set diary days to automatically forward diary each task created in the system Work log.

\*\* Set a standard letter code to automatically insert the text of the standard letter chosen into the Message Maker when creating correspondence within the system Work log.

Quit
⌵

Next, any standard letters already set up in your CCD can be attached to the task. Once a letter has been attached to the task every time the task is used when the Message tab is accessed in the task/work record the selected letter will appear.

**CAPITA**  
FINANCIAL SOFTWARE
System setup

**Setup** ▼  
 User info.  
**Admin. codes**  
 Standard text  
 Staff list  
 Providers  
 Products  
 Prices  
 Forms  
 Technical  
 Tables  
 User licence

Setup > Administration codes > Task
 

◀ Back
⋮

Task description

Main task category

Sub task category

Diary days
 days \*

Standard letter
 \*\*

Standard letter description

\* Set diary days to automatically forward diary each task created in the system Work log.

\*\* Set a standard letter code to automatically insert the text of the standard letter chosen into the Message Maker when creating correspondence within the system Work log.

Quit

Task code TSK128

Attach letter here.

All the preparation has now been done and the tracker can now be added to CCD.

**CAPITA**  
FINANCIAL SOFTWARE
System setup

**Setup** ▼  
 User info.  
**Admin. codes**  
 Standard text  
 Staff list  
 Providers  
 Products  
 Prices  
 Forms  
 Technical  
 Tables  
 User licence

Setup > Administration codes > Trackers
 

Tasks
Task categories
Trackers
Planning goals

Tracker \*
⋮ Add record

Task description	Letter ref.	Diary (days)

Manually type a name for the tracker and click 'Add record' to add the first task.

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**CAPITA** FINANCIAL SOFTWARE System setup

Setup > Administration codes > Trackers

Tracker \* New business - Basic + Add record

Task description	Letter ref	Diary (days)
TSK165 Acknowledge New Application to Client		
TSK001 Acknowledge receipt of a new application		
TSK002 Analysing adviser completion ratios		
TSK003 Analysing adviser conversion rates		
TSK004 Analysing adviser persistency		
TSK005 Analysing adviser profitability		
TSK006 Analysing basis of business execution		
TSK007 Analysing business closure		
TSK008 Analysing business persistency		
TSK009 Analysing client profitability		
TSK010 Analysing costs of performing administration tasks		

\* To add a new tracker, type the new name in the tracker field then select "add record".

Quit

Select each task in the order already set out on your paper list.

**CAPITA** FINANCIAL SOFTWARE System setup

Setup > Administration codes > Trackers

Tracker \* New business - Basic + Add record

Task description	Letter ref	Diary (days)
Acknowledge receipt of a new application	1	More
Entering new business in admin system	2	More

To add a new task to the tracker click + Add record to the right of the tracker name and select the next task. Click + Add record for each task required.

Message  
Are you sure you want to create a new event for the Group Tracker selected?  
Yes No

name in the tracker field then select "add record".

**CAPITA** FINANCIAL SOFTWARE System setup

Setup > Administration codes > Trackers

Tasks Task categories Trackers Planning goals

Tracker \* New business - Basic + Add record

Task description	Letter ref	Diary (days)	
Acknowledge receipt of a new application		1	More
Entering new business in admin system		2	More
Submit application to provider	U30004	2	More
Updating client file information and holdings schedule		9	More
Complete new business check list		11	More
Issuing documents to client and updating document log			More
Set Client Servicing Details		12	More

Once a Tracker has been set up within CCD, it can never be deleted.

## 6.1 Using Trackers

Once a tracker has been created on your system it will be available to use in either the client work module or the holding task module.

As the tracker we have created is linked to a piece of new business we will look at how this is added in the tasks section of a holding.

Clients > Holdings > Tasks

Holdings Tasks Task groups

Overview  
Product  
Contributions  
Details  
Administration  
Tasks  
Remuneration  
Submission

12 Recorded Due Task Actions

To add a tracker, go to the Task Groups tab in the Tasks area.

Clients > Holdings > Tasks > Task groups

Holdings Tasks Task groups

Overview  
Product  
Contributions  
Details  
Administration  
Tasks  
Remuneration  
Submission

Work (12)  
Documents

Select group

Task

Select the tracker required from the drop down of available trackers.

Annuity New Business  
 New Business Process  
 Req Info From Ins Co  
 Test

Create work group

Clients > Holdings > Tasks > Task groups

Tasks Task groups

Select group New Business Process

Task	Correspondence	Diary days
Acknowledge receipt of a new application	N30125	4
Analysing adviser conversion rates		
Analysing business persistency		
Acknowledge receipt of a new application	N30125	4
Writing annual report and accounts	PRE000013	5
Acknowledge receipt of a new application	N30125	4
Analysing the performance of business introducers	PRE000013	5

Create work group

Work Group	Entries	O/s	Due	First	Last

A list of the tasks in the tracker will show so that you can check this is the tracker required.

Once you are happy that the tracker selected is the tracker required click the

Create work group

Create work group

Work Group	Entries	O/s	Due	First	Last
New Business Process	8	5	0	15/10/12	15/10/12

This then creates a summary for the work group showing the number of entries (tasks) in the tracker and the number still outstanding.

Return to the main task list for the holding.

**CAPITA** FINANCIAL SOFTWARE Holdings records

Andrew Apple > Skandia > Stocks and Shares ISA > 525235

**Clients** Clients > Holdings > Tasks

**Holdings** Tasks Task groups

Overview  
Product  
Contributions  
Details  
Administration  
**Tasks**  
Remuneration  
Submission

Work (12)  
Documents  
Calculators  
Reports

Quit

+ Add task

Recorded	Due	Task	Actions
15/10/2012	19/10/2012	Acknowledge receipt of a new application	<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="button" value="▶"/>
15/10/2012	No diary	Analysing adviser conversion rates	<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="button" value="▶"/>
15/10/2012	No diary	Analysing business persistency	<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="button" value="▶"/>
15/10/2012	19/10/2012	Acknowledge receipt of a new application	<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="button" value="▶"/>
15/10/2012	20/10/2012	Writing annual report and accounts	<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="button" value="▶"/>

☒ Mark the task as complete ☐ Mark the task as INcomplete  Open the Diary at this task

■ Tasks outstanding ■ Tasks due today

Each task in the tracker has been added to the holdings task list as an individual task, they are all at this stage outstanding. You can now go into each task and reset the person required to complete it from the staff drop down list as required.

Each task will appear in the diary of CCD in the normal manner and each task needs to be individually completed.

**Clients** Clients > Holdings > Tasks > Diary

**Holdings** Diary Account Message

Overview  
Product  
Contributions  
Details  
Administration  
**Tasks**  
Remuneration  
Submission

Work (12)  
Documents  
Calculators  
Reports

Quit

Task Group: Processing new business Who: ams Date: 15/10/2012

Task: Acknowledge receipt of a new application

**Outstanding** Notify client ☐ Notify Introducer ☒

Related project

Further action required Priority Days / Override By whom

3 4

Select policy  
☒ Mark task complete  
☐ Mark task incomplete  
 File note (last printed)

Document linked

Reselect person to complete the task as required.

Further actions due 19/10/2012  
Further actions complete  
Date of completion

Adviser, Test  
CFS Support,  
Dance, Jonat.  
Hitchcock, Da  
Jon, Palmer  
Lee, Milham

The progress of trackers can be followed in two ways.

1. On the Task groups tab of the holdings task section.

**CAPITA**  
FINANCIAL SOFTWARE

Holdings records

Andrew Apple > Skandia > Stocks and Shares ISA > 525235

Clients > Holdings > Tasks > Task groups

Tasks Task groups

Select group

Task Correspondence Diary days

Shows number of entries/tasks still outstanding. There could be more than 1 tracker outstanding for a client/holding and each tracker will be listed here.

Create work group

Work Group	Entries	O/s	Due	First	Last
New Business Process	8	5	0	15/10/12	15/10/12

2. The other way is from the diary section in the Admin module

**Admin.**

Administration > Diary today > Task groups

By individual Everyone By team For Adviser Task groups

By user All outstanding

Select user super

Trackers outstanding can be viewed "All outstanding" or "By user".

Client	Work Group	Entries	O/s	Due	First	last
SUPE Melissa Brown	New Business Process	8	5	0	30/11/12	30/11/12 ✓

Print task group report

Adding a tracker to a work item rather than a task is performed in the same way although the initial screens vary slightly.

Clients > Work > Task group set-up

Incomplete All tasks Groups **Tracker set-up**

Select tracker

12 Task Correspondence Diary days

Create group


Work Group	Entries	O/s	Due	First	Last
New Business Process	8	5	0	30/11/12	30/11/12

**NB** As with work and tasks, trackers added at task level will be available to view in both tasks and work, while trackers added at work level will only be available at work level.

## 7 Searching Your Database

### 7.1 The Basic Search

Within the clients screen you can search on any of the fields present and that you can complete multiple fields to narrow your search. To search the system, click into Clients module from the main CCD menu.

Select  Find record from the options at the top of the screen. This will blank all the fields for you to select your search criteria.

The screenshot shows the 'Client records' window in Capita Financial Software. The interface includes a top navigation bar with 'Add record', 'Find record', 'List records', and 'My notes' buttons. A left sidebar contains a 'Clients' dropdown menu and a list of functions: Contact, Account, Data upload, Marketing, Servicing, Holdings (), Work (), Documents, Calculators, and Reports. The main area is titled 'Clients' and has tabs for 'Contact', 'Postal address', 'Scanned docs.', 'Goals', and 'Overview'. The 'Contact' tab is active, displaying a form for client details. The 'Client Ref.' field is highlighted with a yellow circle. Other fields include 'Client type', 'Title / Initial / Surname', 'Forename', 'Salutation', 'Qualification / Honours', 'Personal email address', 'Work email address', 'Home', 'Work', 'Mobile', 'Current status', 'Intro. date / source', 'Introducer', 'Employer', 'Adviser', 'Service manager', 'Fax home', 'Fax work', 'Contact', and 'Method'. There are also checkboxes for 'Do not mailshot' and 'Do not share client data with partner'. A 'Client Source' icon is visible in the bottom left of the form area. The bottom status bar shows 'Created: By: Last modified: by'.

The client's surname is the most commonly used method of searching the system. Therefore your cursor will appear in surname field first. This is a free type field so you can enter the full or part surname in order to conduct your search.

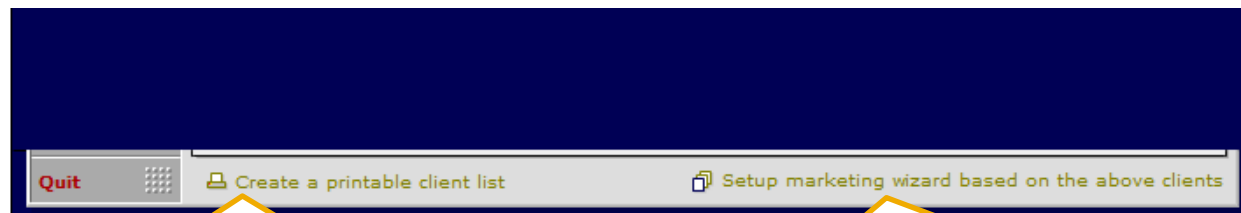
To add additional information move your cursor into the relevant field and then either type or select from the drop down presented. Once you have entered your information press the ENTER key on your keyboard.

This screenshot shows the same 'Client records' window, but the 'Client Ref.' field now contains the text 'pound'. The rest of the interface remains the same, showing the search results for the entered text.

You will then be presented with a list of clients to choose from.

CAPITA FINANCIAL SOFTWARE Client records							
							Return
Client list ▶	Client name	Birth date	Postcode	Type	Adviser	F/find	All
	Pound, Mark Keith	23/12/68	CM12 8YH	Individual	Clive McDonough		Omit
	Pound, Clare	03/04/70	CM12 8YH	Individual	Clive McDonough		Omit

To select a client simply click on the relevant line. At the bottom of the list there are 2 other options available.



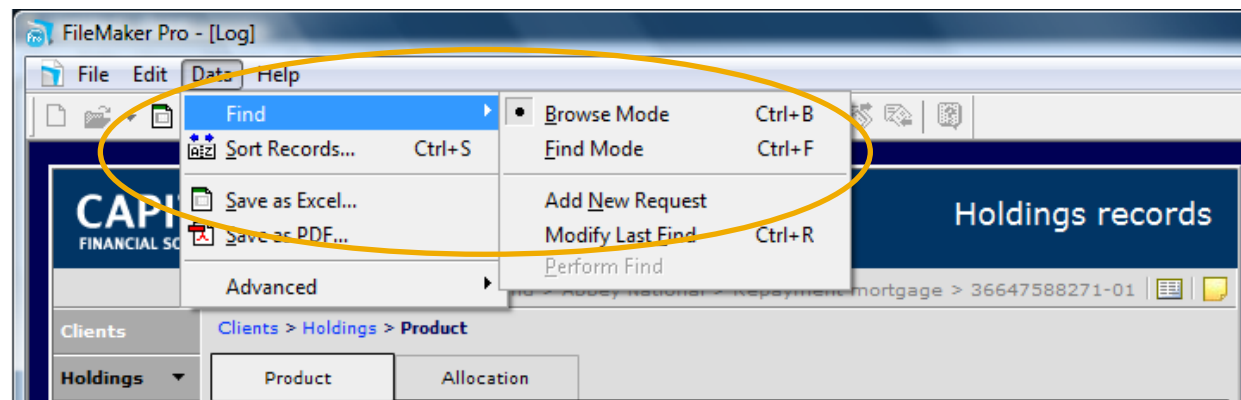
There are 3 options for the type of list required:

- Status
- Contact
- General

Will take you through to the Marketing section, with the clients listed as the found set. (Marketing wizard is covered later in this section).

## 7.2 Using the Browse and Find Options

At the top of the screen on the main filemaker menu bar select the Data option.




This option can be used to change the screen you are on into a “Find” mode if needed. Browse mode is the default mode for CCD allowing you to view, add or make amendments to the information on the screen.

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The “Find” mode however will change the screen you are in to a search screen similar to the basic client search, however this facility is available in nearly all of the CCD screens allowing you to conduct



searches in many different places, and especially where the  button is not available.

Searches can now be made by provider, product type, product category, policy number or any of the other fields available.

This option will not automatically present you with a list but will display one of the records in the found set. There are 2 ways to view all the found records. The first is to click onto the icon at the top of the screen for the list view.

This will display a list of all the records that match the criteria with the option to switch straight to a marketing campaign.

CAPITA FINANCIAL SOFTWARE						Client records
						ClientReps
Client list ▶	Contract holder	Product	Provider	Type	Effective	
	Hoyland, S M	Skandia		Maxi ISA	04/09/06	 Omit
	Clark, I & Clark, H P	Skandia		With profit Bond	01/10/06	 Omit
	Taylor, C A	Skandia		Investment portfolio	13/09/05	 Omit
	Hopkins, P	Skandia		Maxi ISA	06/09/06	 Omit
	Black, C	Skandia		Unit Linked Bond	?	 Omit
	Worth, B & Worth, P	Skandia		Unit Linked Bond	28/05/07	 Omit
	Daily, J	Skandia		Unit Linked Bond	07/02/07	 Omit

 Quit
  Setup marketing wizard based on the above contracts

You can then select individual records for view from the list presented.

The second way to view records in a found set is to use the “microwave” on the bottom menu bar.

**CAPITA**  
FINANCIAL SOFTWARE

## Holdings records

Andrew Apple > Skandia > Stocks and Shares ISA > 525235

Clients > Holdings > Product

Product Allocation

Application status: In force

Contract holder: Apple, A Change

Contract reason / objective: Investment of lump sum

Scheme:

Provider: Skandia More

Personal / Occupational: Personal

Product basis: Investment

Product category: Individual Savings Accounts

Product: Stocks and Shares Notes

Product display name for reports\*: Stocks and Shares ISA

Is this plan a trustee investment?:

Contract number: 525235

Application dated:

Application received:

Effective date: 01/12/2007

Next contract review date: 01/12/2009 Reason:

\* The Product display name appears on client and management reports and can be overwritten.

Quit

Click into the "microwave" to open up the margin.

FileMaker Pro - [Log]

File Edit Data Help

1 4 / 81 Found (Unsorted)

Records Show All

Layout: Product View As:

**CAPITA**  
FINANCIAL SOFTWARE

Sylvia Hoy

Clients > Holdings > Product

Product Allocation

Application status

Contract holder

Contract reason / objective

These 'arrows' allow you to move through the records selected click onto the page to move to the next record.

Shows the number of records found that match the search criteria. In this example, it has found 4 records out of a total of 81 records.

Shows the number of the record currently being viewed.

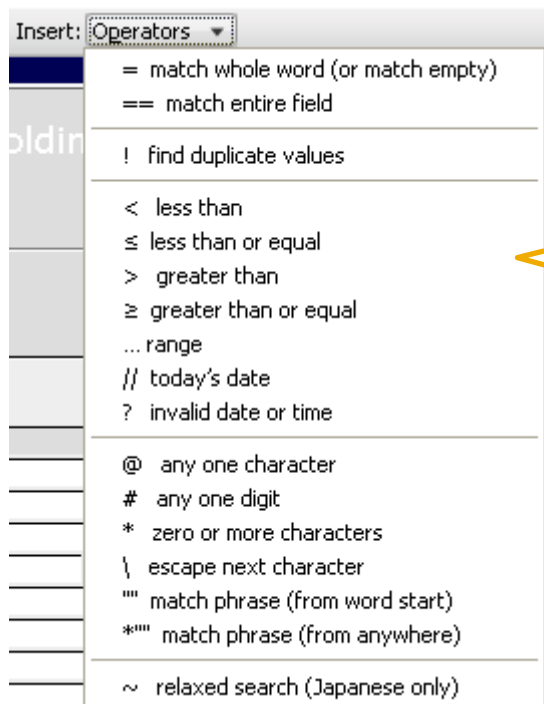
### 7.2.1 Using the “Symbols” Search

Combining both the records menu and the find facility will give you greater options when it comes to searching for data in your system. When you are in a CCD screen, open up the margin using the ‘Microwave’ and change to ‘Find’ mode.

The screenshot shows the FileMaker Pro interface for the 'Holdings records' screen. The top menu bar includes 'File', 'Edit', 'Data', and 'Help'. Below the menu bar, there are buttons for 'Find Requests', 'New Request', 'Delete Request', 'Perform Find', and 'Cancel Find'. The 'Layout' is set to 'Product', and the 'View As' is set to 'Table'. The 'Matching records' section shows 'Include', 'Omit', and 'Insert: Operators' (highlighted with a yellow circle). A callout box points to the dropdown arrow next to 'Operators' with the text: 'Click on the arrow next to ‘Operators’ to open the Symbols.'

The main content area displays the 'Holdings records' screen. The left sidebar shows a navigation menu with 'Clients', 'Holdings', 'Overview', 'Product', 'Details', 'Administration', 'Tasks', 'Remuneration', 'Submission', 'Work ()', 'Documents', 'Calculators', 'Reports', and 'Quit'. The 'Holdings' section is expanded, showing 'Product' and 'Allocation' tabs. The 'Product' tab is active, displaying a form with various fields for contract details, including 'Contract holder', 'Contract reason / objective', 'Scheme', 'Provider', 'Personal / Occupational', 'Product basis', 'Product category', 'Product', 'Product display name for reports\*', 'Is this plan a trustee investment?', 'Application dated', 'Application received', 'Effective date', 'Next contract review date', and 'Reason'. The 'Product' field has a star icon and a 'More' button. The 'Product display name for reports\*' field has a 'Notes' button. The 'Is this plan a trustee investment?' field has a 'Change' button. The 'Application dated', 'Application received', and 'Effective date' fields have calendar icons. The 'Next contract review date' field has a calendar icon. The 'Reason' field has a text input area.

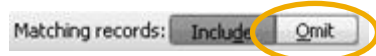
\* The Product display name appears on client and management reports and can be overwritten.



These characters can be used by themselves or in addition to any other letters or numbers to conduct a search.

These symbols can be entered by simply clicking on the relevant box in CCD and then either click on the character on the list or you can free type the character from your keyboard.

By ticking the omit option in the upper margin you will reverse the effect of the search i.e. search for everything except the criteria I have entered.



The example below shows how these additional characters could be used on the holdings screen.

The search criteria are all Skandia personal policies where the application is dated after 01/01/1990:

Holdings records

Clients > Holdings > Product

Product Allocation

Contract holder

Contract reason / objective

Scheme

Provider SKAN

Personal / Occupational Personal

Product basis

Product category

Product

Product display name for reports\*

Is this plan a trustee investment?

Application dated

Application received

Effective date >01/01/199

Next contract review date

Reason

Symbol for “greater than” used to set dates after 1/1/1990.

\* The Product display name appears on client and management reports and can be overwritten.

The information is then returned. If the menu does not appear automatically to show how many plans met these criteria, don't forget the 'microwave' button.

**FileMaker Pro - [Log]**

File Edit Data Help

Records: 1 / 15 / 1013 Found (Unsorted)

Show All New Record Delete Record Find Sort

Layout: Product View As: [Table]

**CAPITA FINANCIAL SOFTWARE** **Holdings records**

Contributions ceased on 31/05/2009 John Smith > Skandia > ICVC > 1234567

**Clients** Clients > Holdings > Product

**Holdings** Product Allocation

Overview  
Product  
Contributions  
Details  
Administration  
Tasks  
Remuneration  
Submission

Work (132)  
Documents  
Calculators  
Reports

Quit

Add note

Application status: Cancelled

Contract holder: Smith, J Change

Contract reason / objective: Investment of lump sum

Scheme: More

Provider: Skandia More

Personal / Occupational: Personal

Product basis: Investment

Product category: ICVC Notes

Product display name for reports\*: ICVC

Is this plan a trustee investment?

Contract number: 1234567

Application dated:

Application received:

Effective date: 02/12/2007

Next contract review date: 14/02/2009 Reason:

\* The Product display name appears on client and management reports and can be overwritten.

Care does need to be taken when using the symbols as you may get unexpected results. Remember that where you specify certain criteria the system will take this as literally correct.

If you were looking for clients where the telephone number is blank then using the character '\*' (zero or more characters) will not work. This would have the effect of searching your system for every telephone number field that contained at least 1 numeric character in it. If however you searched the telephone number field with the symbol '==' (this is two '='s) and is used to find all records where the field that this is added to is empty.

### 7.3 Searching in reports

The same search principals can be applied to the reports in CCD however care needs to be taken when doing this as some reports are specifically titled. Most reports created at client level will show the clients name at the top of the report therefore modifying the search on that style of report will most likely result in multiple clients appearing on the report. However the clients name in the title will not change.

Within the Admin area most reports are not specifically titled and may be more easily modified.

To start the search of a report, enter a CCD report, the report we will use on this example is in the Remuneration reports - Due not paid schedule for (Provider).

Amounts due							
Schedule of commissions due but unpaid between 01/01/2012 and 15/10/2012							
Contract holder	Contract type	Contract / Policy number	Transaction	Consultant	Effect. date	Due date	Amount due
<b>Unspecified</b>							
Ferrari Racing	Group SIPP	34567890	Initial - One-off fee	James Read		25/08/12	2,000.00
Ferrari Racing	Group SIPP	34567890	Initial - One-off fee	James Read		25/08/12	500.00
Ferrari Racing	Group SIPP	34567890	Initial - One-off fee	James Read		10/09/12	
Ferrari Racing	Group Self Invested Personal Pension	34567890		James Read		10/09/12	
Ferrari Racing	Group SIPP	34567890	Initial - One-off fee	James Read		25/08/12	120.00
Hambrook Financial	Group SIPP		Initial - indemnity	Dan Hitchcock		30/07/12	
Molaren	Group Wrap Platform		Initial - Initial fee	James Read		23/08/12	300.00
Molaren	Group Wrap Platform		Initial - Initial fee	James Read		28/08/12	100.00
Molaren	Group Wrap Platform		Initial - Initial fee	James Read		28/08/12	2,000.00
Smiths Smithy Smith	Group Income Protection	5959595	Initial - Ongoing fee			31/07/12	
Smiths Smithy Smith	Group Income Protection	5959595	Initial - One-off fee			31/07/12	
<b>Total outstanding for</b>							<b>£ 5,020.00</b>

As before to conduct a search use both the margin (microwave) and the find mode (filemaker menu bar – data – find – find mode).

This will have the effect of clearing the entire report ready to accept new search details.

FileMaker Pro - [Commrec]

File Edit Data Help

Find Requests 1 Total

New Request Delete Request Perform Find Cancel Find

Layout: REP\_CommDue View As: Matching records: Include Omit Insert: Operators

Amounts due

Schedule of commissions due but unpaid between 01/01/2012 and 15/10/2012

Return Print Preview Extract

Contract holder	Contract type	Contract / Policy number	Transaction	Consultant	Effect. date	Due date	Amount due
Report total							£

The example below shows how to find any unpaid procurement fees where it is greater than £300.



Contract holder	Contract type	Contract / Policy number	Transaction	Consultant	Effect. date	Due date	Amount due
			Procurement fee				>308

Contract holder	Contract type	Contract / Policy number	Transaction	Consultant	Effect. date	Due date	Amount due
Maj. G	Repayment mortgage (Re-mortgage)		Initial - Procurement fee	Mark Andrew Brent	15/08/06	05/08/06	£1,600.00
Report total							£1,600.00

### 7.3.1 Modify Search

When using reports you have the option to modify the search criteria that you have entered. A report is in itself a “found set” the find criteria being set by the scripting behind the report. Once the report has been run you have the option to modify it.

This report has been run for ‘Amount due but not paid’ on the date range 1/01/2010 to 28/11/2012 for Skandia.

Admin. Administration > Reports > Remunerations

Remuneration Company Adviser Introducer Region Location Statements

Reports

Diary Enquiries New business Remunerations Reviews Time recorded Compliance

Marketing

Remunerations Fees Fund based Aged debt reports

Schedules Analysis

- Due not paid schedule by Provider
- Due not paid schedule by Provider by scheme
- Schedule of amounts paid by Provider
- Schedule of amounts paid by Provider) by scheme
- Schedule of amounts paid by business source
- Schedule of amounts paid by service manager
- Schedule of clawbacks recorded within date range

Report from 01/01/2010 Report to 28/11/2012 Provider SKAN Service manager Adviser Data source Commrec Business source Location

FileMaker Pro - [Commec]

File Edit Data Help

**Amounts due**  
Schedule of commissions due but unpaid between 01/01/2010 and 28/11/2012 from Skandia

Contract holder	Contract type	Contract / Policy number	Transaction	Fee Type	Consultant	Effect. date	Due date	Amount due
<b>Skandia</b>								
Bloggs, J	Stocks and Shares ISA	9797979	Initial - regular			01/01/07	01/08/10	3.00
Bloggs, J	Stocks and Shares ISA		Initial - regular			20/10/07	20/08/10	1.50
Bloggs, J	Stocks and Shares ISA	9797979	Initial - regular			01/01/07	01/09/10	3.00
Bloggs, J	Stocks and Shares ISA		Initial - regular			20/10/07	20/09/10	1.50
Bloggs, S	Unit Linked Bond		Initial - regular			10/11/07	10/08/10	2.00
Bloggs, S	Unit Linked Bond		Initial - regular			10/11/07	10/09/10	2.00
Bloggs, S	Unit Linked Bond	1234567	Fund based Renewal			02/12/07	25/11/10	
Griffin, P	Level Term with Critical Illness	PG123456789	Initial - Indemnity			26/11/10	26/11/10	250.00
<b>Total outstanding for Skandia</b>								<b>£ 263.00</b>
<b>Report total</b>								<b>£ 263.00</b>

Once you have your report on screen you will see at the top of the screen the FileMaker toolbar.



Click into Data and then find and then Modify last find.

FileMaker Pro - [Commec]

File Edit Data Help

**Amounts due**  
Schedule of commissions due but unpaid between 01/01/2010 and 28/11/2012 from Skandia

Find (Ctrl+B) | Sort Records... (Ctrl+S) | Save as Excel... | Save as PDF... | Advanced | Modify Last Find (Ctrl+R) | Perform Find

Contract holder	Contract type	Contract / Policy number	Transaction	Fee Type	Consultant	Effect. date	Due date	Amount due
Bloggs, J	Stocks and Shares ISA	9797979	Initial - regular			01/01/07	01/08/10	3.00
Bloggs, J	Stocks and Shares ISA		Initial - regular			20/10/07	20/08/10	1.50
Bloggs, S	Unit Linked Bond		Initial - regular			10/11/07	10/08/10	2.00
Bloggs, J	Stocks and Shares ISA	9797979	Initial - regular			01/01/07	01/09/10	3.00
Bloggs, J	Stocks and Shares ISA		Initial - regular			20/10/07	20/09/10	1.50
Bloggs, S	Unit Linked Bond		Initial - regular			10/11/07	10/09/10	2.00
Bloggs, S	Unit Linked Bond	1234567	Fund based Renewal			02/12/07	25/11/10	
Griffin, P	Level Term with Critical Illness	PG123456789	Initial - Indemnity			26/11/10	26/11/10	250.00
<b>Report total</b>								<b>£ 263.00</b>

The search criteria can be entered in the same way as for the "find" search. In the example below, we are finding any 'Fund based renewal' remuneration.

FileMaker Pro - [Commec]

File Edit Data Help

**Amounts due**  
Schedule of commissions due but unpaid between 01/01/2010 and 28/11/2012 from Skandia

Return | Print | Preview | Extract

Contract holder	Contract type	Contract / Policy number	Transaction	Fee Type	Consultant	Effect. date	Due date	Amount due
			Fund based renewal					
<b>Report total</b>								<b>£</b>

By pressing enter on the keyboard the report will now apply your new criteria to the report, retaining the original report details.

FileMaker Pro - [Commrec]

File Edit Data Help

**Amounts due**  
Schedule of commissions due but unpaid between 01/01/2010 and 28/11/2012 from Skandia

Return Print Preview Extract

Contract holder	Contract type	Contract / Policy number	Transaction	Fee Type	Consultant	Effect. date	Due date	Amount due
Bloggs, S	Unit Linked Bond	1234567	Fund based Renewal			02/12/07	25/11/10	
<b>Report total</b>								<b>£</b>

As you can see from the example the report is still for Skandia between the date ranges selected however it now only displays any fund based renewal amounts.

## 8 Using a Standard Marketing Wizard

Within the Admin module is the marketing section. Under Wizards there are a number of pre-set marketing campaigns that can be run.

Admin. Administration > Marketing > **Wizards**

Remuneration

Reports

**Marketing** ▾

Diary today

Diary all

Wizards

Reports

I want to set up a marketing campaign based on...

- Clients of who have plans due for review between 01/01/08 and 11/08/08
- All plans due to mature or expire between 01/01/08 and 11/08/08
- All clients due for their next periodic review between 01/01/08 and 11/08/08
- All plans taken out between 01/01/08 and 11/08/08
- All mortgages under which the rate guarantee expires between 01/01/08 and 11/08/08
- All clients of who have no review date booked
- All plan holders currently aged between and
- Clients aged between and who do not have a plan
- All clients who have contributed over a certain amount to their pension in a given tax year
- All clients who have unused ISA allowance for current tax year

I want to create my own found set

- Search client records...
- Search holding records...

Report from 01/01/2008 Product basis Provider Age from...  
Report to 11/08/2008 ... age to  
Adviser ref Introducer Location

The screen is split into two parts. The upper nine links need to be completed by using the options at the bottom of the screen. The other two links below allow you to create your own searches.

The example below is for all of clients with reviews due between 01/01/2008 and 11/08/2008.

Admin. Administration > Marketing > **Wizards**

Remuneration

Reports

Marketing ▾

Diary today

Diary all

Wizards

Reports

I want to set up a marketing campaign based on...

- Clients of who have plans due for review between 01/01/08 and 11/08/08
- All plans due to mature or expire between 01/01/08 and 11/08/08
- All clients due for their next periodic review between 01/01/08 and 11/08/08
- All plans taken out between 01/01/08 and 11/08/08
- All mortgages under which the rate guarantee expires between 01/01/08 and 11/08/08
- All clients of who have no review date booked
- All plan holders currently aged between and
- Clients aged between and who do not have a plan
- All clients who have contributed over a certain amount to their pension in a given tax year
- All clients who have unused ISA allowance for current tax year

I want to create my own found set

- Search client records...
- Search holding records...

Report from 01/01/2008 Product basis Age from...  
Report to 11/08/2008 Provider ... age to  
Adviser ref Introducer Location

The information is returned in the list format with additional options at the bottom of the page.

FileMaker Pro - [Clients]

File Edit Data Help

1 11 / 32 Found (Unsorted)

Records Show All New Record Delete Record Find Sort

Layout: ListVerify View As: Preview

**Marketing campaign wizard** Cancel wizard

1 Confirm Found set 2 Campaign set-up 3 Set standard text 4 Merge data

Client reviews between 01/01/2006 and 11/08/2008

Name	Adviser	Introducer	Intro. date	F/find	All
Gemma Clift	Sheila Andrews	No introducer	01/07/06		Omit
Sylvia Hoyland	Clive McDonough	No introducer	17/08/06		Omit
Gary Dent	Sheila Andrews	No introducer	28/07/06		Omit
Mark Pound	Clive McDonough	Hoover and Dante Accountants	01/08/06		Omit
Clare Pound	Clive McDonough	Hoover and Dante Accountants	01/08/06		Omit
Christine Taylor	Sheila Andrews	Hoover and Dante Accountants	07/08/06		Omit
Samantha Carter	Clive McDonough		04/09/06		Omit
Walter Thompson	Clive McDonough		04/09/06		Omit
Halina Brejcnko	Clive McDonough		04/09/06		Omit
Clive Peters	Clive McDonough		04/09/06		Omit
John Daily	Mark Andrew Brent	No introducer	16/05/07		Omit

Omit = Do not mail / deceased client Auto omit View records as a data table

At this point you have the option to omit any clients that you do not wish to contact, or that have the deceased/do not mail flag logged against their record. To omit the records already flagged as deceased/do not mail use the link at the bottom of the page.

To omit individual records use the  **Omit** at the end of each record.

You now need to follow the four steps across the top of the screen to complete the marketing wizard.



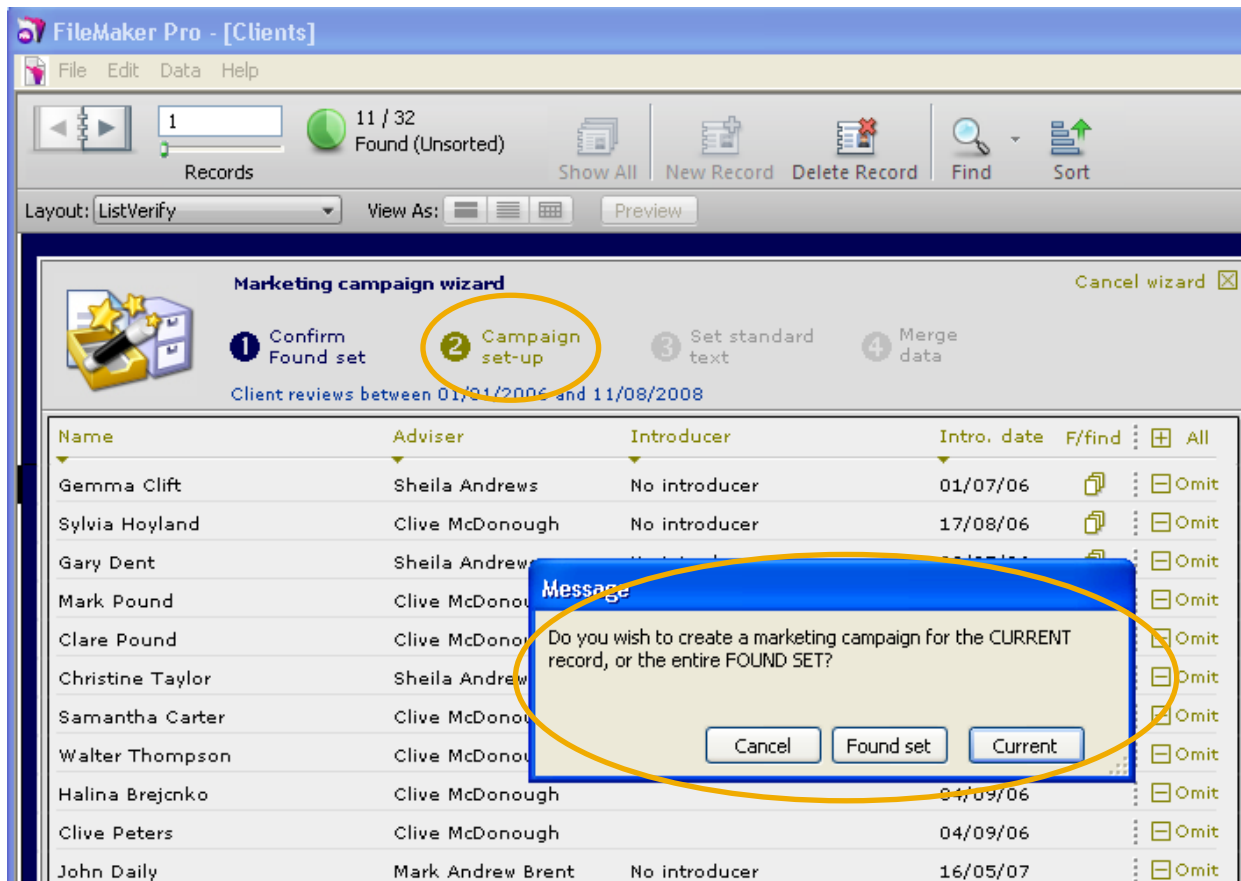
**Marketing campaign wizard** Cancel wizard ☐

1 Confirm Found set 2 Campaign set-up 3 Set standard text 4 Merge data

Client reviews between 01/01/2006 and 11/08/2008

Name	Adviser	Introducer	Intro. date	F/find		All
Gemma Clift	Sheila Andrews	No introducer	01/07/06			Omit
Sylvia Hoyland	Clive McDonough	No introducer	17/08/06			Omit
Gary Dent	Sheila Andrews	No introducer	28/07/06			Omit

1. Confirm the found set has been completed (as above).
2. Campaign set-up. This will now check that you wish to use the list of clients found, just one client from the list or to cancel the marketing wizard.



**FileMaker Pro - [Clients]**

File Edit Data Help

1 11 / 32 Found (Unsorted)

Records Show All New Record Delete Record Find Sort

Layout: ListVerify View As: Preview

**Marketing campaign wizard** Cancel wizard ☐

1 Confirm Found set 2 Campaign set-up 3 Set standard text 4 Merge data

Client reviews between 01/01/2006 and 11/08/2008

Name	Adviser	Introducer	Intro. date	F/find		All
Gemma Clift	Sheila Andrews	No introducer	01/07/06			Omit
Sylvia Hoyland	Clive McDonough	No introducer	17/08/06			Omit
Gary Dent	Sheila Andrews	No introducer				Omit
Mark Pound	Clive McDonough	No introducer				Omit
Clare Pound	Clive McDonough	No introducer				Omit
Christine Taylor	Sheila Andrews	No introducer				Omit
Samantha Carter	Clive McDonough	No introducer				Omit
Walter Thompson	Clive McDonough	No introducer				Omit
Halina Brejcnko	Clive McDonough	No introducer	04/09/06			Omit
Clive Peters	Clive McDonough	No introducer	04/09/06			Omit
John Daily	Mark Andrew Brent	No introducer	16/05/07			Omit

**Message**

Do you wish to create a marketing campaign for the CURRENT record, or the entire FOUND SET?

Cancel Found set Current

The following screen will now appear:

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**Marketing campaign wizard** Cancel wizard

1 Confirm Found set 2 Campaign set-up 3 Set standard text 4 Merge data

How is this Mailshot to be followed-up?

Initial action

Established

Action by date

Diary For the attention of

What communication type is to be used?

Communication method

date

Our reference

Private

Financial promotion

Select campaign code\*

Type of campaign

Type of promotion

Description

Purpose

\*Campaigns are set up under Compliance > Financial promotions. Compliance plug-in required

**Message**

Marketing records set-up:

Please complete red highlighted fields before continuing.

OK

**Marketing campaign wizard** Cancel wizard

1 Confirm Found set 2 Campaign set-up 3 Set standard text 4 Merge data

How is this Mailshot to be followed-up?

Initial action

Established

Action by date

Diary For the attention of

What communication type is to be used?

Communication method

Letter date

Our reference

Private

Fax from

Fax no.  pages

Financial promotion

Select campaign code\*

Type of campaign

Type of promotion

Description

Purpose

\*Campaigns are set up under Compliance > Financial promotions. Compliance plug-in required

Complete the fields as required. If the Compliance module is being used to monitor campaigns select the campaign code from the drop down box.

3. Set Standard Text. Here you can attach a letter which you have already created and saved in the Standard Text area of Setup, or free type a new letter to be sent to all the clients in the found set.

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**Marketing campaign wizard**

1 Confirm Found set   2 Campaign set-up   **3 Set standard text**   4 Merge data

**Select standard message text**

Your annual review

We have noticed from our records that you have not requested your annual review for at least 2 years.

It is important to regularly review your finances to ensure that products that you have are providing you with what you need now.

I will be calling you within the next 2 weeks to arrange an appointment so that we can carry out a financial review.

If you have any questions, please do not hesitate to contact me; I'll be happy to help.

Yours sincerely

<<Client\_Adviser>>

**Add data items**

Merge - Client

Address

Client forename

Client occupation

Client surname

his / her

he / she

him / her

Next meeting date

Next meeting time

Next meeting reason

Next review date

Consultant

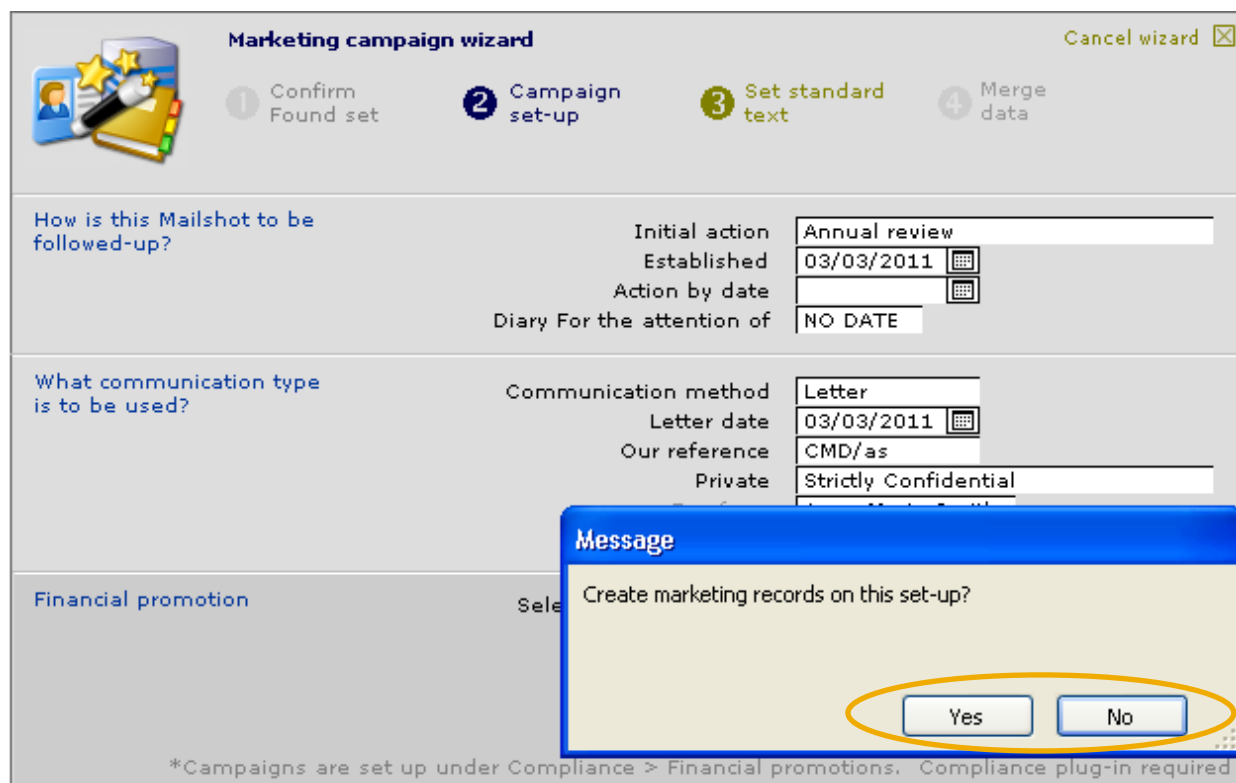
Client date of birth

◀ Last page 1 Next page ▶

◀ Return to Campaign set-up   Merge data ▶

Select/type/create your letter using merge fields where required in exactly the same way as in Work/Tasks.

4. Merge Data. Click onto the Merge data link and you will be asked to confirm that marketing records should be created for the found set.



**Marketing campaign wizard** Cancel wizard ☒

1 Confirm Found set   **2 Campaign set-up**   3 Set standard text   4 Merge data

How is this Mailshot to be followed-up?

Initial action Annual review

Established 03/03/2011

Action by date

Diary For the attention of NO DATE

What communication type is to be used?

Communication method Letter

Letter date 03/03/2011

Our reference CMD/as

Private Strictly Confidential

Financial promotion

Select

**Message**


Create marketing records on this set-up?

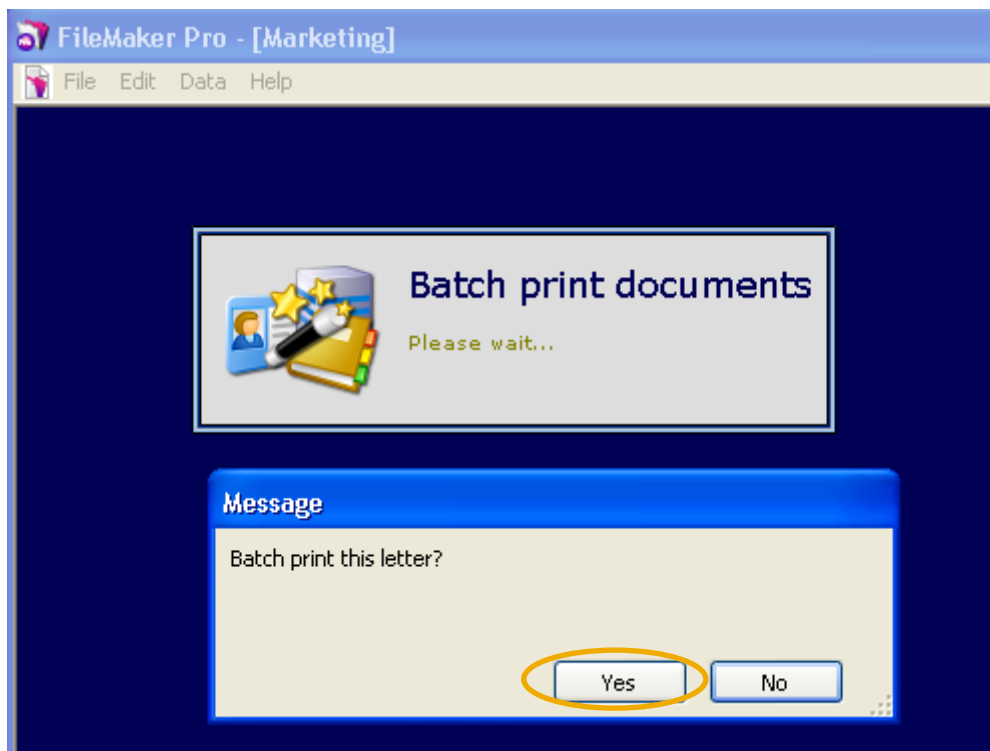
Yes No

\*Campaigns are set up under Compliance > Financial promotions. Compliance plug-in required

Once the data has been merged you will get the option to view the letters or to batch print them.



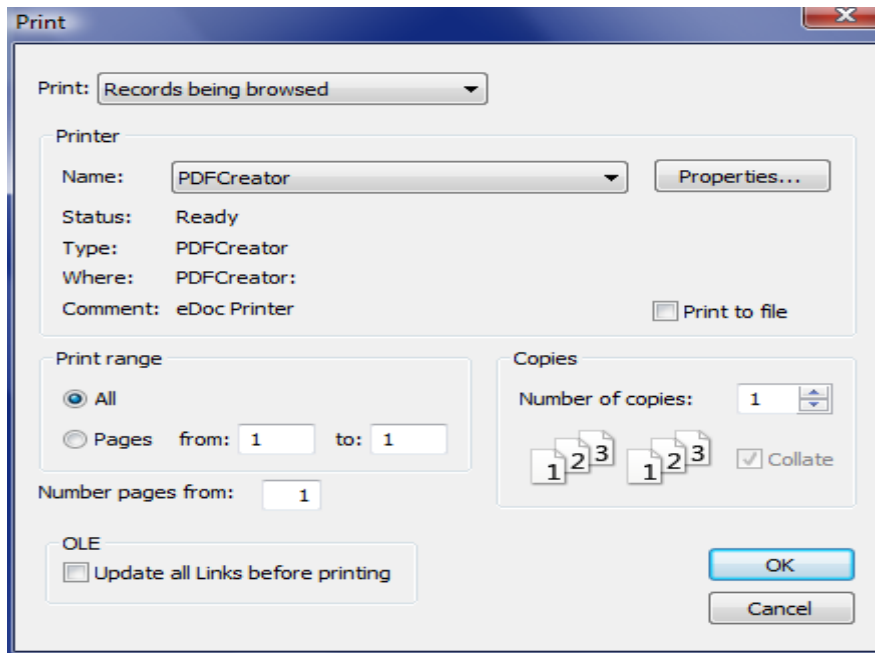
 Batch Print all 11 Letters dated 03/03/2011 - will ask you to confirm that these letters should be batch printed.



You will then be asked to select your printer.

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Once letters have been sent to the printer you will be returned to the merged data screen.

There is no option for additional formatting to these letters they will print in standard font and size.

It is also possible to view each letter by using [View Letter dated 03 March 2011 for Gemma Clift](#).

There will be an arrow at the top of the page, which allows scrolling through the letters.

Alternatively you can export all of these letters to Word using the

[Batch Export all 11 Letters dated 03/03/2011 to MS Word](#).

During the export, any document template stored in CCD will be applied to the letters. Once the letters are in Word, further formatting can be completed.

## 9 Viewing the Client's Marketing Diary Entry

After entering a marketing campaign on the system each corresponding client will now have an entry in their marketing diary.

To view this go to the clients file and select Marketing – Mailshots.

**CAPITA** FINANCIAL SOFTWARE

Client records

Gemma Clift

Clients > Marketing > Mailshots

Marketing Mailshots Meetings User defined

Outstanding All

+ Add record

Task	User	Action by	Action FAO	Joint?*
Annual review	ams	10/3/11	Anna Maria	

Do not mailshot client ☐

Do not share client data ☐

Quit

\* Icon denotes whether the mailshot is displayed within the client and/or partner records, click to toggle.

If a date was set for the work to be done by, then the marketing record will appear in 'Outstanding'. All completed campaigns will show in the all tab.

To view the details of the campaign click into the relevant line, you will be able to make any additional notes, complete the task or view the letter that was sent.

## 10 Creating a Manual Campaign Using the Data Table

The process for creating your own marketing campaign is similar to that of the wizards. However, you are able to search for more detailed information.

Admin. Administration > Marketing > Wizards

Remuneration

Reports

Marketing ▾

Diary today

Diary all

Wizards

Reports

I want to set up a marketing campaign based on...

- Clients of who have plans due for review between 01/01/10 and 28/11/12
- All plans due to mature or expire between 01/01/10 and 28/11/12
- All clients due for their next periodic review between 01/01/10 and 28/11/12
- All plans taken out between 01/01/10 and 28/11/12
- All mortgages under which the rate guarantee expires between 01/01/10 and 28/11/12
- All clients of who have no review date booked
- All plan holders currently aged between and
- Clients aged between and who do not have a plan
- All clients who have contributed over a certain amount to their pension in a given tax year
- All clients who have unused ISA allowance for current tax year

I want to create my own found set

- Search client records...
- Search holding records...

Report from 01/01/2010 Product basis Provider SKAN Age from...  
Report to 28/11/2012 ... age to  
Adviser ref Introducer Location

The example below shows the screen to Search holding records.

Marketing campaign wizard Cancel wizard

1 Confirm Found set 2 Campaign set-up 3 Set standard text 4 Merge data

All records listed as no search criteria specified

Contract holder	Adviser	Provider	Product type	Effective	
May, G	MAB	Norwich & Peterborough	Buy to let interest only	04/03/2004	Omit
May, G and Farley, R C	MAB	Northern Rock plc	Buy to let Interest only	13/11/2003	Omit
May, G	MAB	Ipswich Building Society	Buy to let Interest only	03/06/2003	Omit
May, G	MAB	Norwich Union Life	Increasing Term Assurance	02/02/2004	Omit
May, G & Farley, R C	MAB	Nationwide Building Society	Repayment mortgage	13/06/2004	Omit
Farley, R C	MAB	Zurich	Level Term Assurance	01/05/2004	Omit
May, G & Farley, R C	MAB	Norwich & Peterborough	Buy to let Interest only	13/03/2005	Omit
May, G & Farley, R C	MAB	Kensington Mortgage	Buy to let Interest only	19/10/2005	Omit
May, G	MAB	Kensington Mortgage	Buy to let Interest only	06.12.2002	Omit
May, G	MAB	Northern Rock plc	Repayment mortgage	15/08/2006	Omit
May, G	MAB	Norwich & Peterborough	Let to buy Interest only	15/08/2006	Omit
May, G	MAB	Platform Home Loans	Buy to let Interest only	21/08/2006	Omit
Taylor, C A	SAN	Skandia	Investment portfolio	13/09/2005	Omit
Taylor, C A	SAN	Lloyds TSB Bank	Maxi ISA	06/04/2004	Omit
Taylor, C A	SAN	Rich		06/1993	Omit
Taylor, C A	SAN	Scottish Equitable		07/1993	Omit
Taylor, C A	SAN	PA		09/2002	Omit
Taylor, C A	SAN	Norwich Plc		02.2004	Omit
Taylor, C A	SAN	Scottish Equitable	Self Invested Person	04/09/2006	Omit
Patel, D	CMD	Norwich Union Life	Decreasing Term Assurance	01/03/2000	Omit
Patel, D	CMD	Select Pensions Limited	Personal Pension	01/07/1985	Omit

Switch campaign to corresponding clients Omit all deceased / do not mail records View records as a data table

The screen returned is similar to when a pre set wizard is selected.

Click here to create your own found set.

This takes you into a spreadsheet style screen where you will see more fields available for selection.

Now using the option and combining this with the search techniques as described previously in this guide you will be able to conduct searches for more specific information.

FileMaker Pro - [Log]

File Edit Data Help

Records: 1 / 81 Total (Unsorted)

Show All New Record Delete Record Find Sort

Layout: MarketingTable View As: Preview

**Marketing campaign wizard**

- Return to Client Care Desktop system view
- Create a spreadsheet based on the records shown
- Create a new found set

For sort and column width options, right click on the column that you wish to sort or amend

Status	Policy holder	Surname	Clientage	Consultantref	Product provider	ProductBasis	productcategory	Policy type	Policy maturi...
In force	Cliff, G H	Cliff	31	AMB	Norwich Union Life	Protection	Group Income	Group Permanent	01/04/2044
In force	Cliff, G H	Cliff	31	AMB	Nationwide Building	Savings	Individual Savings	Maxi	
Completed	Cliff, G H	Cliff	31	AMB	Nationwide Building	Mortgage	Repayment mortgage	Mortgage	20/07/2031
In force	Cliff, G H	Cliff	31	AMB	Norwich Union Life	Protection	Term Assurance	Decreasing Term with	
In force	Hoyland, S M	Hoyland	61	CMD	Scottish Equitable	Retirement	Personal Pension	Unit Linked	16/11/2009
In force	Hoyland, S M	Hoyland	61	CMD	Zurich	Protection	Whole of Life	Flexible WOL	
Paid up	Hoyland, S M	Hoyland	61	CMD	AXA	Retirement	Section 32	Conventional with profit	16/11/2009
In force	Hoyland, S M	Hoyland	61	CMD	Canada Life	Retirement	Personal Pension	Conventional with profit	16/11/2009
Matured	Hoyland, S M	Hoyland	61	CMD	Barclays Life	Savings	Personal Equity Plan	Single company	
In force	Hoyland, S M	Hoyland	61	CMD	Skandia	Investment	Individual Savings	Maxi	
In force	Hoyland, S M	Hoyland	61	CMD	Threadneedle	Investment	Investment Bond	Unit Linked	
In force	Dent, G P	Dent	37	SAN	Norwich Union Life	Protection	Term Assurance	Convertible	01/06/2027
In force	Dent, G P	Dent	37	SAN	Zurich	Retirement	Personal Pension	Unit Linked	
In force	Dent, G P	Dent	37	SAN	Threadneedle	Investment	Individual Savings	Maxi	
In force	Dent, G P	Dent	37	SAN	Prudential	Protection	Whole of Life	Flexible WOL	
In force	Dent, G P	Dent	37	SAN	Norwich Union Life	Protection	Income Protection	Permanent Health	16/06/2038
Completed	Pound, M K & Pound, C	Pound	42	CMD	Abbey National	Mortgage	Repayment mortgage	Mortgage	26/07/2029
Paid up	Pound, M K	Pound	42	CMD	Allied Dunbar	Retirement	Group Contracted In	Conventional With	23/12/2028
Paid up	Pound, C	Pound	40	CMD	Lloyds TSB Bank	Investment	Individual Savings	Mini Cash	
In force	Pound, M K	Pound	42	CMD	AXA Sun Life	Protection	Income Protection	Key Person Income	23/12/2028
In force	Pound, M K & Pound, C	Pound	42	CMD	Friends Provident	Protection	Term Assurance	Decreasing Term with	10/09/2026
In force	Pound, M K	Pound	42	CMD	Prudential	Protection	Whole of Life	Flexible WOL	
In force	Clark, H P & Clark, I	Clark	70	SAN	Threadneedle	Investment	Investment Bond	Unit Linked	
In force	Clark, H P & Clark, I	Clark	70	SAN	Prudential	Protection	Whole of Life	Non-Profit WOL	

The “spreadsheet” displayed is too large to display in full on the screen and the scroll bars along the bottom and the side need to be used to view all the columns available.

The example below will search for all bonds held on a single basis with a contribution greater than £2000.

policy number	Policy Joint	Introducer	Value bid	Valuation_D...	Current cont...	::policy frequency	level indexed
					>2000	S	

A list of holdings have now been found which meet the search criteria.

File Edit Data Help

Records: 15 / 81 Found (Unsorted)

Show All New Record Delete Record Find Sort

Layout: MarketingTable View As: Preview

**Marketing campaign wizard**

- Return to Client Care Desktop system view
- Create a spreadsheet based on the records shown
- Create a new found set

For sort and column width options, right click on the column that you wish to sort or amend

Status	Policy holder	Surname	Clientage	Consultantref	Product provider	ProductBasis	productcategory	Policy type	Policy maturi...
In force	Cliff, G H	Cliff	31	AMB	Nationwide Building	Savings	Individual Savings	Maxi	
In force	Hoyland, S M	Hoyland	61	CMD	Skandia	Investment	Individual Savings	Maxi	
In force	Hoyland, S M	Hoyland	61	CMD	Threadneedle	Investment	Investment Bond	Unit Linked	
In force	Dent, G P	Dent	37	SAN	Threadneedle	Investment	Individual Savings	Maxi	
In force	Clark, H P & Clark, I	Clark	70	SAN	Threadneedle	Investment	Investment Bond	Unit Linked	
In force	Clark, I	Clark	69	SAN	Prudential	Retirement	Annuity	Compulsory Purchase	
In force	Clark, I & Clark, H P	Clark	69	SAN	Skandia	Investment	Investment Bond	Conventional with profit	
In force	Taylor, C A	Taylor	51	SAN	Skandia	Investment	Investment Trust	Fund of Funds	
In force	Taylor, C A	Taylor	51	SAN	Lloyds TSB Bank	Savings	Individual Savings	Maxi	
In force	Taylor, C A	Taylor	51	SAN	Scottish Equitable	Retirement	Self Invested Personal	Full	12/04/2024
In force	Patel, D	Patel	52	CMD	Prudential	Retirement	Personal Pension	Unit Linked	
In force	Hopkins, P	Hopkins	46	SAN	Abbey National	Other	Building Society	Deposit account	
In force	Worth, B & Worth, P	Worth	50	MAB	Skandia	Investment	Investment Bond	Unit Linked	
In force	Daily, J	Daily	2010	MAB	Skandia	Investment	Investment Bond	Unit Linked	
In force	Pound, M K	Pound	42	CMD	Norwich Union Life	Investment	Investment Bond	Unit Linked	

Click onto the **Return to Client Care Desktop system view**

File Edit Data Help

1 15 / 81 Found (Unsorted)

Records Show All New Record Delete Record Find Sort

Layout: Marketing View As: Preview

**Marketing campaign wizard** Cancel wizard

1 Confirm Found set 2 Campaign set-up 3 Set standard text 4 Merge data

All records listed as no search criteria specified

Contract holder	Adviser	Provider	Product type	Effective	
Clift, G H	AMB	Nationwide Building Society	Maxi ISA	01/05/2004	Omit
Hoyland, S M	CMD	Skandia	Maxi ISA	04/09/2006	Omit
Hoyland, S M	CMD	Threadneedle Investments	Unit Linked Bond	06/09/2006	Omit
Dent, G P	SAN	Threadneedle Investments	Maxi ISA	06/04/2005	Omit
Clark, H P & Clark, I	SAN	Threadneedle Investments	Unit Linked Bond	07/10/2004	Omit
Clark, I	SAN	Prudential	Compulsory Purchase	12/12/2002	Omit
Clark, I & Clark, H P	SAN	Skandia	With profit Bond	01/10/2006	Omit
Taylor, C A	SAN	Skandia	Investment portfolio	13/09/2005	Omit
Taylor, C A	SAN	Lloyds TSB Bank	Maxi ISA	06/04/2004	Omit
Taylor, C A	SAN	Scottish Equitable	Self Invested Personal	04/09/2006	Omit
Patel, D	CMD	Prudential	Personal Pension	01/10/2006	Omit
Hopkins, P	SAN	Abbey National	Building Society Account	01/02/1986	Omit
Worth, B & Worth, P	MAB	Skandia	Unit Linked Bond	28/05/2007	Omit
Daily, J	MAB	Skandia	Unit Linked Bond	07/02/2007	Omit
Pound, M K	CMD	Norwich Union Life	Unit Linked Bond	01/02/1990	Omit

Continuing the campaign from this point onwards is exactly the same as previously described in this guide.

## 11 Client Servicing

Within the Clients Servicing screens there are a number of fields that can be completed in order to record next review and valuation dates.

**Quit**

valuations and reviews.

months and a review each 12 months.

This can be set up as follows:

**System setup**

Setup > Technical configuration > Advanced > Review

Applications Passwords Remunerations **Advanced** Regional

Message Hub Web Services Maintenance Electronic Data **Servicing**

Enter the default client valuation and review periods for each of your client servicing propositions

Client servicing proposition	Provide valuations every	Review every
Platinum	3 months	6 months
Gold	6	9
Silver	9	12
Bronze	12	18

Chose the Client Servicing Proposition from the drop down and enter months into the 'Provider Valuations' and 'Review every'.

Now that this has been set up, when you are on a client's record and you chose a servicing proposition, the months for the 'Valuations' and 'Reviews' will automatically pull through.

CAPITA  
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Client records

Richard Brian

**Clients** ▾

Clients > Servicing

Contact  
Personal  
Account  
Data upload  
Marketing  
Servicing  
View Jo  
Holdings (7)  
Work (4)  
Documents  
Calculators  
Reports

Servicing ▾

Valuations

Reviews


Historic

Add note

Client servicing proposition Platinum  
 Current client status Current  
 Adviser Milham Lee  
 Service manager   
 Is this a fee paying client?   
 Date from which fees are charged  Switch to Client fees

Date of next client valuation  Following ?  
 Provide valuations every 3 months  
 Date of next client review 05/09/2013 Month 9/2013  
 Review every 6 months Following 05/03/2014  
Add historic review

Servicing notes



Just complete the 'Date of the next client valuation' and 'Date of next client review'.

Additional notes for servicing this client can be added.

Date of next client valuation  Following ?  
 Provide valuations every 3 months  
 Date of next client review 05/09/2013 Month 9/2013  
 Review every 6 months Following 05/03/2014  
Add historic review

Servicing notes

Ensure that a valuation is sent showing breakdown of each fund and number of units.



## 11.1 Holding Reviews

**CAPITA**  
FINANCIAL SOFTWARE

Client records

Sylvia Hoyland

**Clients** > **Servicing** > **Reviews**

Servicing Valuations **Reviews** Historic

Add note

Provider	Contract type	Status	Renewal	Review	Reason
AXA	Section 32 Buyout plan	Paid up			
Barclays Life	Personal Equity Plan	Matured	01/05/11		
Canada Life	Personal Pension	In force			
Scottish Equitable	Personal Pension	In force			
Skandia	Maxi ISA	In force	04/09/11		
Threadneedle	Unit Linked Bond	In force	06/09/11	01/06/11	Withdrawal
Zurich	Flexible Whole of Life	In force	01/03/12		

Create a contract review schedule

Set all Next review dates to Next renewal date shown

Set all Review dates to Wednesday 01 February 2012

grey records shown above are sub assets

All the clients' current policies/holdings will be listed. Any review dates that have been entered on the individual policies will pre-populate the screen.

If no dates have been entered on the individual policies then there are 2 other options. Both show as blue links at the bottom of the page.

[Set all Next review dates to Next renewal date shown](#)

- Selecting this will take the renewal date of the policy as the review date and input this date into the review column.

[Set all Review dates to Wednesday 01 February 2012](#)

- Selecting this will set all the contracts to the same date as specified on the Servicing tab. This option is usually taken when an adviser is due to visit a client.

At the bottom of the screen is a report that will give you a chart of the clients review dates:

[Create a contract review schedule](#)

Contract Review Schedule												
Schedule of contract review dates. Prepared for Sylvia												
Product Provider	Type	Review Date	Policy Holder	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
AXA	Section 32 Buyout plan	01/02/2011	Sylvia									
Barclays Life	Personal Equity Plan		Sylvia									
Canada Life	Personal Pension	01/05/2011	Sylvia									
Scottish Equitable	Personal Pension	01/09/2011	Sylvia									
Standard	Maxi ISA	01/12/2011	Sylvia									
Threadneedle Investments	Unit Linked Bond	01/06/2011	Sylvia									
Zurich	Flexible Whole of Life	01/03/2012	Sylvia									

## 11.2 Admin reviews section

The Admin Module within CCD contains screens and reports to help you to remember to contact your clients when they are due to be reviewed. Within Admin > Reviews you will see a series of screens outlining when clients should be contacted.

### 11.2.1 Client Reviews

The first screen shows any clients due for review within a specified month and year. These dates can be changed using the arrows next to the relevant box.

**Admin.** Administration > Client reviews

Diary today  
Diary all  
Enquiries  
New business  
Compliance  
Reviews  
Time recorded

Remuneration  
Reports  
Marketing

Quit

Clients Renewals Maturities Valuations

Review month 11 Year 2012

Client	Introducer	Adviser	Review date
Jason Bourne	No introducer	Jonathan Dance	13/11/2012
Nicola Rosberg	No introducer	Greg Thomas	14/11/2012
John Morris	No introducer	Jonathan Dance	30/11/2012
Melissa Brown	No introducer	Jonathan Dance	30/11/2012

Roll forward the review dates for the above clients

Print client review list

Roll forward this review date

Allows review dates to be moved to the next due date.

Print a list for the month.

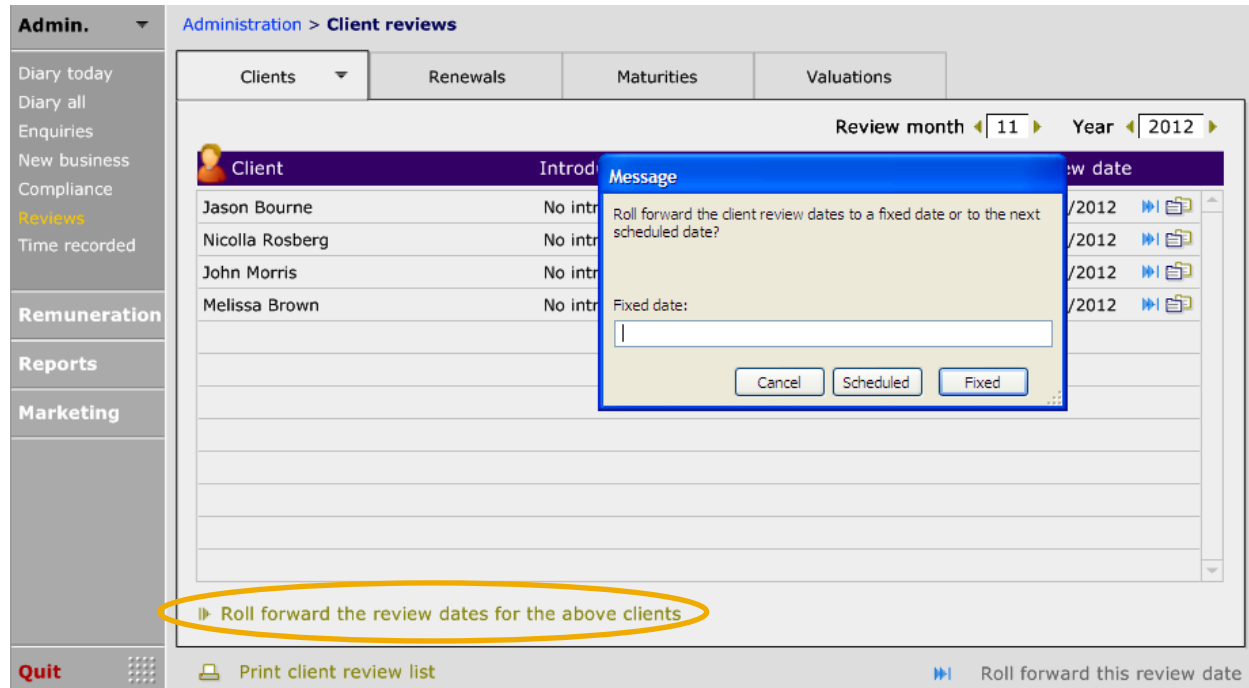
Once a review has been completed for a client, or perhaps they have declined for this year, it is possible to roll forward the date to the next due date.

This can either be done for all the items showing in the list, or each item can be done individually.

#### Rolling forward all items at the same time

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If the **>Roll forward the review dates for the above clients** button is used to roll forward all dates, the following appears:



If the Review dates are to be rolled over to their next scheduled dates (as shown in Clients > Servicing) use the 'Scheduled' button.

If all the Review dates are to be moved to a fixed date in the future, record the date and click the 'Fixed' button.

#### Rolling forward reviews one by one

If the Reviews are to be moved one by one, use the blue arrow next to the date:

**Admin.** Administration > Client reviews

Diary today  
Diary all  
Enquiries  
New business  
Compliance  
**Reviews**  
Time recorded

Remuneration  
Reports  
Marketing

Quit

Clients Renewals Maturities Valuations

Review month 11 Year 2012

Client	Introducer	Adviser	Review date
Jason Bourne	No introducer	Jonathan Dance	13/11/2012
Nicola Rosberg	No introducer	Greg Thomas	14/11/2012
John Morris	No introducer	Jonathan Dance	30/11/2012
Melissa Brown	No introducer	Jonathan Dance	30/11/2012

**Confirmation**  
Do you want to roll Mr Bourne's next review forward to 13/11/2013?  
Cancel Yes

Roll forward the review dates for the above clients

Print client review list Roll forward this review date

Select 'Yes' and these clients will be placed back into this diary for the appropriate month:

**Admin.** Administration > Client reviews

Diary today  
Diary all  
Enquiries  
New business  
Compliance  
**Reviews**  
Time recorded

Remuneration  
Reports

Clients Renewals Maturities Valuations

Review month 11 Year 2013

Client	Introducer	Adviser	Review date
C Mack	No introducer		13/11/2013
Jason Bourne	No introducer	Jonathan Dance	13/11/2013
Lotus Racing	No introducer	Jonathan Dance	14/11/2013
Sauber Racing	No introducer	Jonathan Dance	16/11/2013
HRT	No introducer		16/11/2013
Justin Wilson	No introducer		16/11/2013

Once a Review is rolled forward, a line will be entered into the 'Historic' tab within Clients > Servicing. In here the 'Outcome' of the review can be added:

**Clients** ▾ Clients > **Servicing**

Servicing Valuations Reviews **Historic** ▾

Date	Adviser	Outcome	Notes
30/11/2012	Jonathan Dance		Manually rolled forward by Anna

Client reviews Renewals Valuations

Click onto the line entry and the following will appear. The 'Outcome' can be recorded.

**Clients** ▾ Clients > **Servicing**

Servicing Valuations Reviews Historic ▾

Review date 30/11/2012 Adviser Jonathan Dance

Provider

Policy / Scheme

**Outcome** Fact find updated and a need for CIC. Budget £50pm

Notes Manually rolled forward by Anna Marie Smith on 30/11/2012

Return Delete

Client reviews Renewals Valuations

### 11.2.2 Policy Reviews

The 'Renewals' tab show all plans which are due for Review within a certain month. This is added in one of two place:

- In the 'Next Review date' field on the Product section of a Holding;
- Within Clients > Servicing.

**Clients** ▾ Clients > Servicing > **Reviews**

Servicing Valuations **Reviews** ▾ Historic

Provider	Contract type	Status	Renewal	Review	Reason
Abbey	Trustee bank account	In force	25/06/13		
Fidelity	Investment Trust	In force	13/01/13	15/11/12	General Review
Halifax plc	Bank deposit account	In force	25/06/13		
James Hay Limited	Self Invested Personal Pension	In force	25/06/13	09/11/12	Policy Option

[Set all Next review dates to Next renewal date shown](#)  
[Set all Review dates to Tuesday 15 October 2013](#)

[Create a contract review schedule](#)

grey records shown above are sub assets

Once this information has been set, within Admin > Reviews > Renewals there will be a list of all holdings which need to be reviewed.

When the renewal has been carried out there are the same buttons here that can be used for the client reviews. There is the blue arrow that will allow each holding renewal date to be moved individually, or the [Roll forward the renewal dates for the above contracts](#) - which will roll forward the dates for all the holdings (for more information refer to section 11.2.1).

**Admin.** ▾ Administration > Client reviews > **Renewals**

Clients Renewals ▾ Maturities Valuations

Contracts Schemes Contract type

Renewal month 11 Year 2012

Contract holder	Provider and Contract type	Status	Renewal date
Ashbee, M E	James Hay Limited Self Invested Personal Pension	In force	09/11/12
Ashbee, M E	Fidelity Investment Trust	In force	15/11/12

[Roll forward the renewal dates for the above contracts](#)

[Print renewal review list](#) [Roll forward this review date](#)

## 12 Valuations

### 12.1 Scheduled Client Valuations

In the valuations tab there are 2 sections 'Select' and 'Selected'. Initially you need to go to the Select tab, where there will be list of all the client's holdings, select the holdings that require regular valuations. Once done, move back to the 'Selected' tab to record the dates:

**CAPITA FINANCIAL SOFTWARE** Client records

Sylvia Hoyland

Clients > Servicing > Valuations

Servicing Valuations Reviews Historic

Selected Select

Provider	Contract type	Status	Valuation Next
AXA	Section 32 Buyout plan	Paid up	78,025.00
Barclays Life	Personal Equity Plan	Matured	20,833.60
Canada Life	Personal Pension	In force	43,890.00
Scottish Equitable	Personal Pension	In force	62,301.00
Skandia	Maxi ISA	In force	96.72
Threadneedle	Unit Linked Bond	In force	338.24

Valuation of the client's contracts Set all next valuation dates to 03/03/2011

Now need to record the next valuation date.

Set all next valuation dates to 03/03/2011 button can be used to set all valuation dates to the date specified within the 'Servicing' tab.

Clients > Servicing > Valuations

Servicing Valuations Reviews Historic

Selected Select

Message

Do you wish to set the next valuation date for all records listed to 03/03/2011?

No Yes

Valuation of the client's contracts Set all next valuation dates to 03/03/2011

Select 'Yes' to this pop up message box.

Clients > Servicing > **Valuations**

Servicing Valuations ▾ Reviews Historic

Selected Select Add note

Provider	Contract type	Status	Valuation	Next
AXA	Section 32 Buyout plan	Paid up	78,025.00	03/03/11
Barclays Life	Personal Equity Plan	Matured	20,833.60	03/03/11
Canada Life	Personal Pension	In force	43,890.00	03/03/11
Scottish Equitable	Personal Pension	In force	62,301.00	03/03/11
Skandia	Maxi ISA	In force	96.72	03/03/11
Threadneedle	Unit Linked Bond	In force	338.24	03/03/11

Valuation of the client's contracts Set all next valuation dates to 03/03/2011

If any policy valuation dates have been set on the individual holdings then these dates will have fed through to the selected screen.

These will appear in the **Admin > Reviews** section as specified above. This information will also appear in the **Updates > Valuations** area of CCD, to allow bulk updates of valuations using Contract Enquiry.

## 12.2 Using Financial Express to Value holdings

The Financial Express download performs several functions.

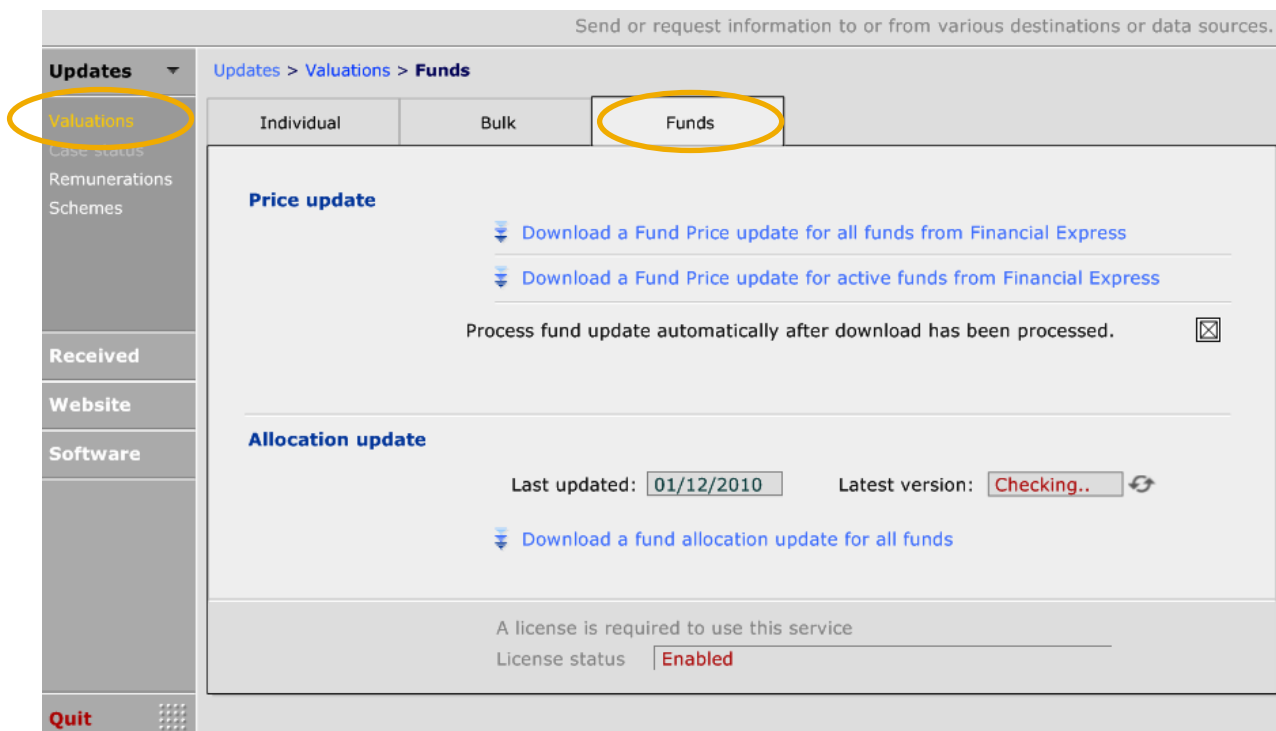
- Deletes the existing fund data table.
- Imports the new fund data table from financial express.
- Updates funds attached to Clients holdings with the new bid price (and therefore a new value) where an exact match can be made between the fund attached to the holding and the fund information on the fund data table.
- A monthly Asset Allocation update.

To access the Financial Express price feed you will need to go to the Updates Module from the main CCD menu.





You can select to download the price update from the front screen or select Valuations from the menu on the left hand side.

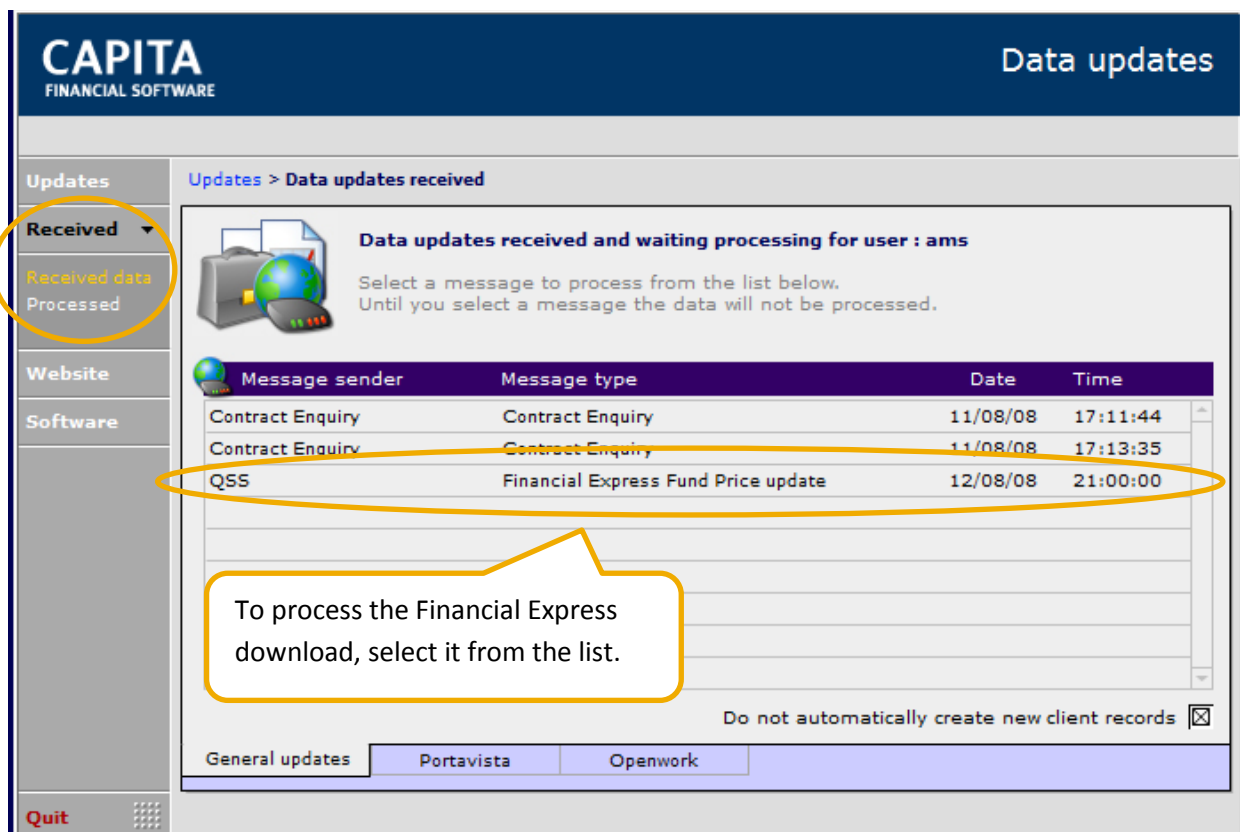
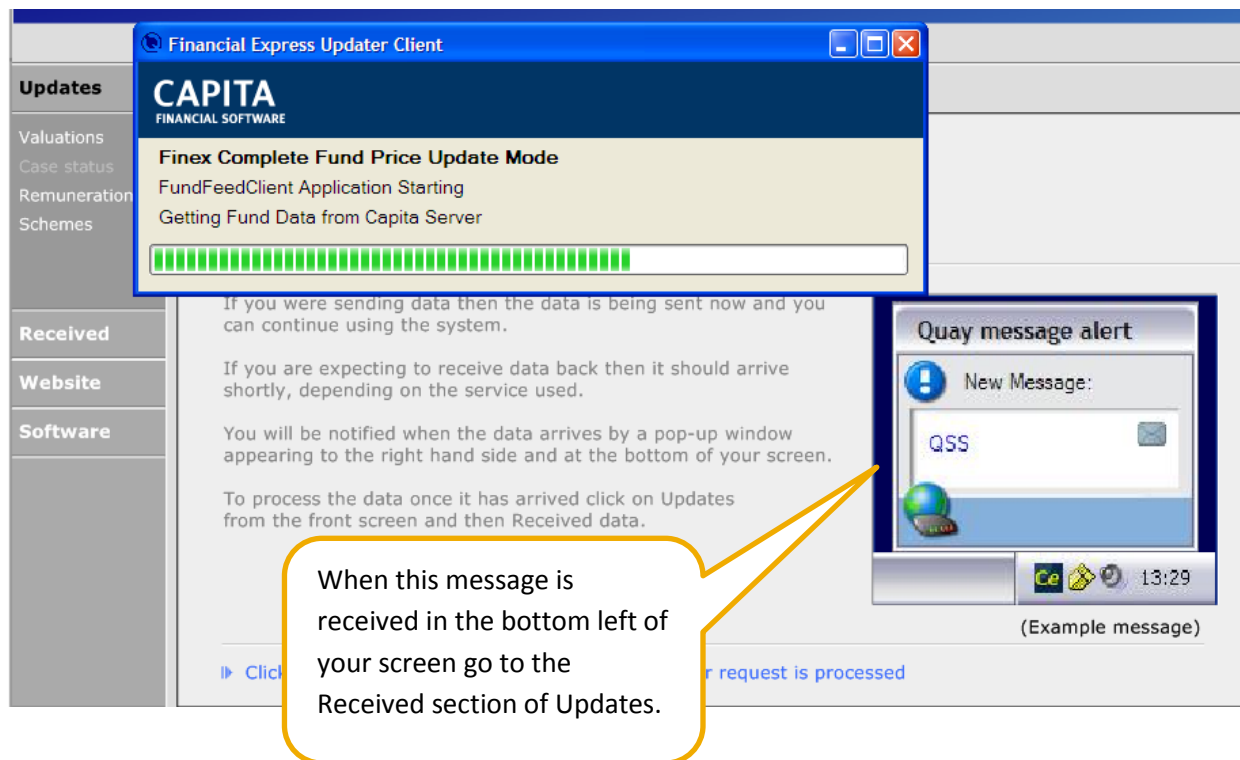


There are two options for updating the Prices on CCD:

- Download all fund prices; or
- Download the fund prices for the funds being used for your clients.

Once either option has been selected, the following will appear:

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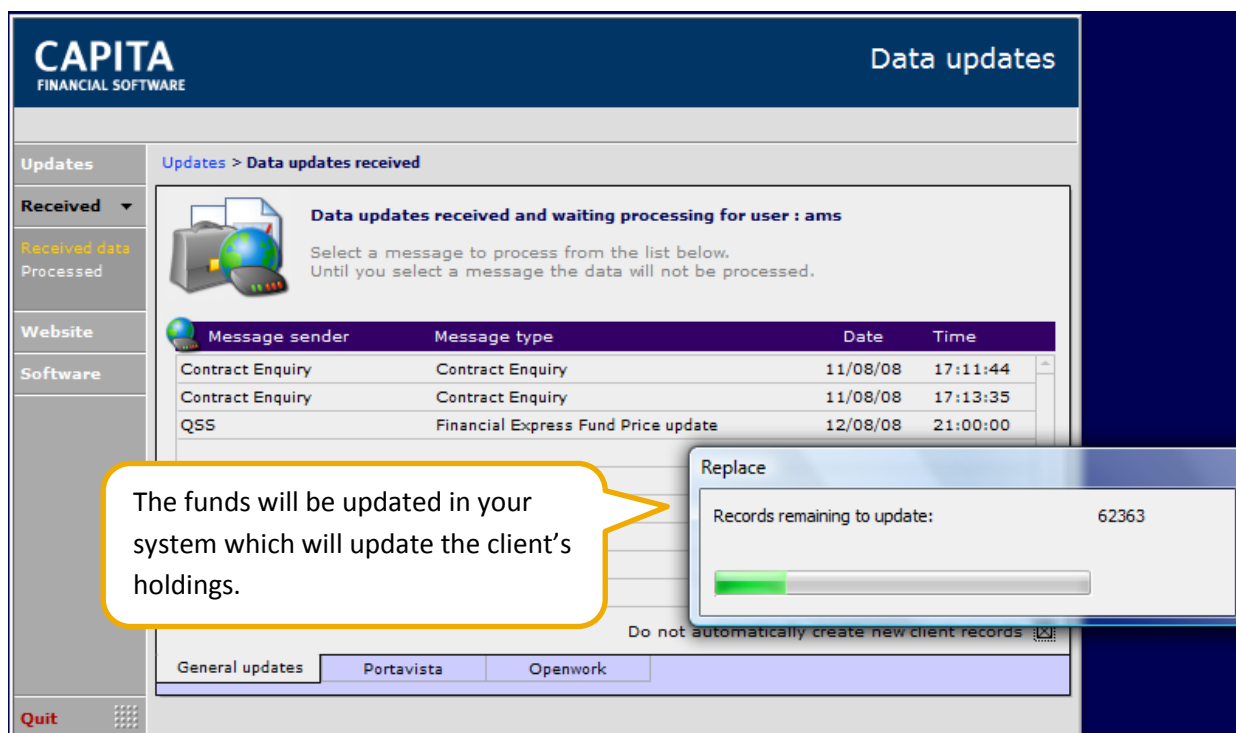
Once the update is started it will automatically run through each step as below.

The screenshot shows the 'Data updates' window in CAPITA Financial Software. The left sidebar has a 'Received' dropdown menu. The main area is titled 'Data updates received and waiting processing for user : ams'. It contains a table with columns: Message sender, Message type, Date, and Time. The table lists three messages: two 'Contract Enquiry' messages from 11/08/08 and one 'Financial Express Fund Price update' from 12/08/08. A 'Delete' dialog box is open in the foreground, showing 'Records remaining to delete: 61672' and a progress bar. A yellow callout bubble points to the dialog box with the text: 'The first step will be to delete the current fund data on your system.'

Message sender	Message type	Date	Time
Contract Enquiry	Contract Enquiry	11/08/08	17:11:44
Contract Enquiry	Contract Enquiry	11/08/08	17:13:35
QSS	Financial Express Fund Price update	12/08/08	21:00:00

The screenshot shows the same 'Data updates' window. The 'Delete' dialog box is replaced by an 'Import' dialog box. The 'Import' dialog box shows 'Importing From: EnvoyData.' and 'Records Remaining: 78283' with a progress bar. A yellow callout bubble points to the dialog box with the text: 'It will then import the updated fund information.'

Message sender	Message type	Date	Time
Contract Enquiry	Contract Enquiry	11/08/08	17:11:44
Contract Enquiry	Contract Enquiry	11/08/08	17:13:35
QSS	Financial Express Fund Price update	12/08/08	21:00:00



Whilst this process is happening, CCD cannot be used. Once this has been finished, a message appears asking if this information needs to be reviewed.

## 13 Contract Enquiry

In order to use contract enquiry you must first ensure that you have signed up for this free service with the relevant product providers. You will also then need to configure your individual machines ready for use.

Documentation on how to sign up and implement contract enquiry can be found on our website [www.capitafinancialsoftware.co.uk](http://www.capitafinancialsoftware.co.uk). Select 'Downloads' at the top right of the screen and then select Quay Software on the left of the screen.

Once signed up for contract enquiry there are a number of options available in order to get information from the contract enquiry providers.

The first option is to connect to contract enquiry using the "CE" icon which you will find in your systems tray.



This option is designed to get individual valuation information one at a time on an ad-hoc basis.

Once you have clicked on the icon the following screen will appear.

You will need to select the Provider, Product Type and Product Sub Type from the drop down menus and then type in the Contract reference number. The contract reference number which is supplied by the provider must be entered in full. Then select how you want the valuation returned:

Output Results to: ☒ Browser and/or ☐ CCD

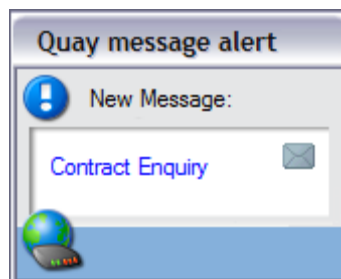
☒ Browser - Selecting this will produce an on-screen valuation indicating the client's contract details and fund information.

☐ CCD - Selecting this will produce an entry back into CCD to update the client's holding with the values returned.

Once you have completed all details click on the [Request Valuation](#) link.

The system will now connect to the provider's server.

When the ☐ **CCD** link has been selected a confirmation message will pop up informing you that a message has been received into CCD.



Once this message is received then the contract enquiry window will confirm its status in the Providers response box.

The screenshot shows the 'Contract Enquiry Utility' window with the following details:

- Provider:** Skandia-Life
- Product Type:** Investment Bond
- Product Sub Type:** Unit Linked Bond
- Contract Reference:** SIB009350943
- Output Results to:** ☒ Browser ☐ CCD
- Providers Response:** [Request Valuation](#)
- Successful Enquiry:**

This statement shows the investment allocation for your plan. The allocation is notional and does not confer any rights distinct from those set out in the policy terms and conditions. This statement supersedes all previous statements. The prices of units can fall as well as rise and the value of in...

Valuation saved to back office

If you have also ticked **Output Results to:** ☒ **Browser** then a valuation report similar to the one on the next page will appear.



## Valuation Report

### Valuation

Current contract status:	In Force	Date:	09/04/2010
Contract holder:	Mary Demo Black	Time:	16:40:43
Contract provider:	Skandia-Life	Contract number:	SIB009350943
Product type:	Investment Bond		
Product sub-type:	Unit Linked Bond		
Product Name:	The Skandia Investment Bond		

### Current holdings

Fund name	Type of units held	Number of units held	Units valid at (date)	Unit price	Price valid (date)	Current value	Valuation currency
Balanced	Accumulation	14.4084	09/04/2010	8.4190	09/04/2010	121.30	GBP
Deposit	Accumulation	26.2599	09/04/2010	4.3880	09/04/2010	115.23	GBP
Cautious Life	Accumulation	45.4951	09/04/2010	2.7470	09/04/2010	124.98	GBP

### Current valuation (GBP)

Current valuation amount	361.51
Current valuation timestamp	09/04/2010 16:38:38

If you have chosen to export the information from contract enquiry back into CCD then you will now need to go to the **Updates > Received** area of the system. This can be done by manually navigating to, or using a quick link button on the 'Details' page of a Holding:

► [Process electronic valuation within Updates Section](#)



**CAPITA**  
FINANCIAL SOFTWARE

Data updates

Updates

Received ▼

Received data

Processed

Website

Software

Quit

**Data updates received and waiting processing for user : ams**

Select a message to process from the list below.  
Until you select a message the data will not be processed.

Message sender	Message type	Date	Time
Contract Enquiry	Contract Enquiry	18/08/09	16:05:10

Do not automatically create new client records ☒

General updates

Portavista

Openwork

To process the download simply click onto the relevant message the system will populate the details back into CCD.

If the message returned matches a holding record with no exceptions then the holding will be updated automatically. The new information will not overwrite the existing data that has been manually entered on a fund.

For instance:

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Valuation obtained by electronic Contract Enquiry on 30/11/2012. Mary Demo Black

**Clients** Clients > Holdings > Details > Assets > **Position**

**Holdings** Position

Overview  
Product  
Contributions  
**Details**  
Administration  
Tasks  
Remuneration  
Submission

**Asset breakdown**  
The underlying composition of this asset.

Asset allocation class	Asset allocation Percentage
UK Equities	49.40%
UK Fixed Interest	10.00%
US Equities	7.00%
Asia/Pacific ex Japan Equities	5.70%
International Fixed Interest	4.70%
Money Market	4.40%
Alternative Investment Strategies	4.00%

Manual input will not be overwritten in any of these sections.

**Work (0)**

**Documents**

**Calculators**

**Reports**

**Position** **Allocation** **Asset breakdown** **Notes / Factsheet** **Historic**

There will be some occasions where manual input is needed to ensure that all the funds match correctly and the manual information is not overwritten.

The main reasons why a Contract Enquiry may need some manual input are:

- The Provider has sent fund information without a MexID or Sedol code and therefore cannot be matched to a fund in Financial Express.
- The client has done a fund switch and the funds on the Contract Enquiry message are different to those on CCD.

There is a link in the Clients module, which means if an individual CE update is done, it is simple to move from Clients to **Updates > Received**:

Clients > Holdings > Details

Contract details | Assets | Withdrawals | Analysis

Add note

Details | Notes

Remuneration Administrator

Fund Supermarket

Discretionary Fund Manager

Beneficiary

Benefits paid on

Income reinvested

Investment - tax year end

Maturity date

Assigned?  In trust?  [View trustees](#)

Is an MVA applicable?  [View details](#)

**Valuations**

Valuation data [Summary](#) [Hint](#)

Date of current valuation 30/11/2012  [View Notes](#)

Next scheduled valuation 11/12/2010

[Electronic valuation available?](#) Yes ☐ [Update Values Now](#)

[Process electronic valuation within Updates Section](#)

If a Contract Enquiry message is received and needs some manual input these are the screens that will be used:

**CAPITA**  
FINANCIAL SOFTWARE

Data updates

**Fund Mapping**

The 1 fund(s) displayed below have been returned by the Provider without an industry standard code (SEDOL or MexID). Please select each fund and map to the appropriate fund supplied by Financial Express to ensure that these map automatically in future.

Contract Enquiry Fund name	Contract Enquiry Provider	Financial Express Fund Name	
Balanced	Skandia	Unmapped to a Financial Express fund	<a href="#">Create a mapping</a>

This section shows funds which have come from the Provider without MexID or Sedol codes. Any input done here will affect the whole of your database.

**Contract Valuations**

Exceptions (0) | Summary

The results of your Contract Enquiry are displayed below. Results are only displayed from Product Providers that Client Care Desktop was able to communicate with. There were a total of 1 contracts returned. 1 of these have been automatically matched, 1 has a warning message and needs attention.

Contract Enquiry Provider	Contract Holder	Contract Num	Response Status	
Skandia	Black, C	SB009350943	Warning	<a href="#">Details</a>

This section shows contracts that have comeback on the CE message that need some manual input. This is done on a client by client basis.

[Process Contract Enquiry](#)

**NB** We recommend that you always start with the 'Fund Mapping' at the top of the screen as changes made here may affect the exceptions in the 'Contract Valuations' section underneath.

## 13.1 Fund Mapping

When a fund(s) comes in from the Provider without a MexID or Sedol code, it cannot be mapped to a fund within Financial Express. Therefore this needs to be done manually.

**CAPITA** Data update  
 FINANCIAL SOFTWARE

**Fund Mapping**

Map the Provider's Contract Enquiry fund below to a Financial Express fund. Funds mapped here will automatically match in future Contract Enquiry updates

Contract Enquiry Fund name	Contract Enquiry Provider	Custom Provider Code
First State Asia Pacific Leaders	Skandia Investment Solutions	CFAPLA

☒ Only show funds that already exist in CCD contracts being updated by Contract Enquiry

Financial Express Fund Name	Financial Express Provider Name	Unit Price	Mex ID	Sedol	CitiCode
<i>asia</i>	<i>Filter</i>		<i>Filter</i>	<i>Filter</i>	<i>Filter</i>
First State Asia Pacific A	First State Investments (UK)	550.87	SIPEA	3018389	Q122
First State Asia Pac Ldrs A Acc GBP	First State Investments (UK)	288.60	CFAPLA	3387421	Q152

In this example the top part of the screen shows a fund which has been sent by the provider within a Contract Enquiry valuation. It cannot be mapped to a fund on Financial Express and so this needs to be done manually.

The ☒ Only show funds that already exist in CCD contracts being updated by Contract Enquiry in the middle of these 2 sections should be checked when the mapping is first attempted.

By checking this box, it will list all the funds that are present on the contracts that the Contract Enquiry was requested for. If the required fund is not displayed, remove the check from the box and search the whole Financial Express database to find the correct fund to map to.

When searching for the fund to map to, there are a number of options:

### 1. Financial Express Fund name

Financial Express Fund Name

asia

- Filter by this section and either enter in a maximum of 15 characters starting at the beginning of the fund's name, or:
- Type in various words from the funds name, with a carriage return (the enter key) between each word (maximum of 10). When the search is done, a list of all funds with either word in their names will be returned.

### 2. Financial Express Provider

Financial Express Provider Name

Filter

- Use this filter and type in the name the provider (maximum 15 characters)

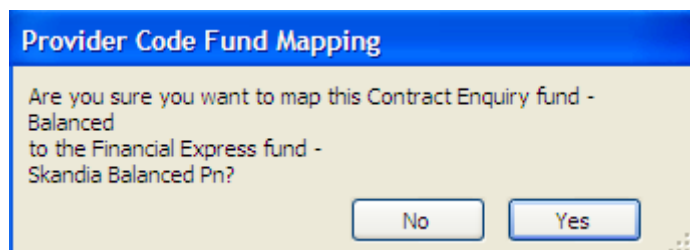
### 3. Fund Code

Mex ID	Sedol	CitiCode
<input type="text" value="Filter"/>	<input type="text" value="Filter"/>	<input type="text" value="Filter"/>

- Type in either of these code with a maximum of 10 characters

It is possible to use a number of these fields to search on.

Once a fund has been selected, this message will be displayed:



Now that the mapping of the fund has been completed, if there are any items left in the 'Contract Valuations' section, they will need to be dealt with. Click onto the first one to deal:

Contract Enquiry Assets = funds that have been sent over on the Contract Enquiry update.

Existing CCD Assets = funds that are currently showing on the client's holding.

In the example above, the fund which has come in on the Contract Enquiry update needs to be manually matched to the appropriate fund which already exists on the clients holding.

To do this:



Click on 'Click here to match' and choose the fund that this one needs to be matched to. Choose the appropriate fund and now the ⚠️ will be replaced with a ✅.

The screen shot below shows the fund after it has been matched, and also a list of all the other funds that were auto matched. This was achieved by clicking on:

☒ Show automatically matched assets

Additional information returned from the Product Provider, including warnings, are displayed here.

Client Detail	Contract Details	Message Detail
Mr. Dashawn Belton	Investment Offshore Bond Unit Linked Offshore Bond 200000896	Source: Skandia Investment Solutions Warning Response <b>test</b> Message Description

☒ Show automatically matched assets

Contract Enquiry Assets	Matched CCD Assets	New	Existing CCD Assets	Archive
✓ First State Asia Pacific Leaders	First State Asia Pacific Leaders	<input type="checkbox"/>	✓ First State Asia Pacific Leaders	<input type="checkbox"/>
Neptune Global Equity	Neptune Global Equity	<input type="checkbox"/>	Neptune Global Equity	<input type="checkbox"/>
Marlborough Special Situations	Marlborough Special Situations	<input type="checkbox"/>	Marlborough Special Situations	<input type="checkbox"/>
Neptune European Opportunities	Neptune European Opportunities	<input type="checkbox"/>	Neptune European Opportunities	<input type="checkbox"/>
Neptune Russia + Greater Russia	Neptune Russia + Greater Russia	<input type="checkbox"/>	Neptune Russia + Greater Russia	<input type="checkbox"/>
Invesco Perpetual High Income	Invesco Perpetual High Income	<input type="checkbox"/>	Invesco Perpetual High Income	<input type="checkbox"/>
Jupiter Emerging European Opportunities	Jupiter Emerging European	<input type="checkbox"/>	Jupiter Emerging European Opportunities	<input type="checkbox"/>
Allianz RCM BRIC Stars	Allianz RCM BRIC Stars	<input type="checkbox"/>	Allianz RCM BRIC Stars	<input type="checkbox"/>
Artemis European Growth	Artemis European Growth	<input type="checkbox"/>	Artemis European Growth	<input type="checkbox"/>
Artemis UK Special Situations	Artemis UK Special Situations	<input type="checkbox"/>	Artemis UK Special Situations	<input type="checkbox"/>

There may be occasions when a client does a fund switch, that a new fund will need to be created and an old fund archived.

Additional information returned from the Product Provider, including warnings, are displayed here.

Client Detail	Contract Details	Message Detail
Mr. Kanye Beatty	Investment Unit Trust Unit trust 100064797	Source: Skandia Investment Solutions Current valuation: This statement supersedes all previous statements. The prices of units can fall as well as rise and the value of investments linked to each unit is therefore not guaranteed. It should be remembered that the fund or trust

☐ Show automatically matched assets

Contract Enquiry Assets	Matched CCD Assets	New	Existing CCD Assets	Archive
⚠ Artemis European Growth	Click here to match	<input type="checkbox"/>	⚠ Cash	<input type="checkbox"/>

This fund needs to be created using 'New'.

This fund needs to be removed, use 'Archive'.

This will change the ⚠ to a ✓ and the exception will be dealt with.

Once all the funds have been matched, the Contract Enquiry message can be processed:

Contract Valuations

Exceptions ()

Summary

The results of your Contract Enquiry are displayed below. Results are only displayed from Product Providers that Client Care Desktop was able to communicate with.

There were a total of 6 contracts returned. 6 of these have been automatically matched, 1 has a warning message and needs attention.

Contract Enquiry Provider	Contract Holder	Contract Num	Response Status	
✓ Skandia Investment Solutions	Beatty, K	100064797	Success	<a href="#">Details</a>
✓ Skandia Investment Solutions	Belton, D	200000896	Warning	<a href="#">Details</a>
✓ Skandia Investment Solutions	Ansbro, A	100060070	Success	<a href="#">Details</a>
✓ Skandia Investment Solutions	Agen, M	100042359	Success	<a href="#">Details</a>
✓ Skandia Investment Solutions	Anderson, L	100056279	Success	<a href="#">Details</a>
✓ Skandia Investment Solutions	Allen, K	200001175	Success	<a href="#">Details</a>

Exit

Process Contract Enquiry

If any of these updates should not be processed, use the at the end of the line.

## 13.2 Incorrect Fund Selection

If the incorrect fund has been selected for mapping this can be undone. To do this, navigate to Setup > Prices and select the incorrectly chosen fund, select the 'Provider Codes' tab:

**CAPITA** FINANCIAL SOFTWARE System setup

Skandia Balanced Pn

**Setup** ▾ Setup > Prices > Details

Details ▾ Portfolios **Provider Codes** Allocations

Provider reference	Skandia		
Collective name	Skandia Balanced Pn		
Sector	Balanced Managed		
Investment type	Collective		
Sub type	UK Pension Fund		
Currency code	GBX		
SEDOL	0812818	Citicode	SK25
Morningstar		MEXID	SKMP
Supermarkets		CoFunds	<input type="checkbox"/>
		Fidelity	<input type="checkbox"/>

**Fund price**

Value date	09/08/2007	Bid price	1603.2000
Valuation (Bid) price	1,603.2000	Offer price	1687.5000
		Mid price	.0000
		Daily change	15.7000
		Yield	0.00%

Collective fact sheet [Skandia Balanced Pn](#)

☐ View records as a data table ☐ View records as list

**Quit** Fund Identity (code) SK25

This is the 'Provider Codes' tab:

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This is a list of the custom provider codes used in the contract enquiry mapping. Removing any of these will result in certain assets requiring manual matching when performing future contract enquiry updates.

Product Provider	Provider Fund Name	Custom Fund Code
Skandia-Life	Balanced	SLACLifeInitial1

Use this icon to undo the mapping.

### Warning

Are you sure you want to remove this Custom Provider Code?  
Doing so may result in future CE updates needing rematching.

Cancel

OK

Click OK to remove the mapping.

## 14 Bulk Valuations

By selecting the contracts to be valued in the Clients servicing section of CCD and setting the next valuation date, you will be able to take advantage of the bulk updates facility in the Updates Module of CCD. To see these entries go to Updates > Valuations.

**Updates** > **Valuations**

Individual Bulk Funds

Due today By Provider By Adviser Service Manager Scheduling

Contract holder	Provider and Contract type	Adviser
Bloggs, S	Skandia Unit Linked Bond	Cockle, Simon
Cox, D	Zurich Personal Pension	Philpott, Mitchell
Test, T	Aviva Life & Pensions UK Ltd Unit Linked Bond	Cockle, Simon
Test, T	Aviva Life & Pensions UK Ltd Trustee Investment Plan	Cockle, Simon
Apple, A	Skandia Stocks and Shares ISA	Cockle, Simon
Apple, A	Skandia Stocks and Shares ISA	Cockle, Simon
Apple, A	Legal & General Unit Linked Bond	Cockle, Simon
Ashbee, J	Standard Life Wrap	Philpott, Mitchell
Ashbee, M E	Fidelity Stocks and Shares ISA	Philpott, Mitchell

☐ = No valuation date set [Process the valuations for the 113 records listed](#)

Electronic Manual Include archived holdings ☐ 30/11/2012

All valuations selected as due today in the Clients servicing section will appear in either the 'Electronic' or 'Manual' tabs of **Updates > Valuations**. Those Holdings that have an **X** next to them are due today. The **X** can be used to remove the Holding from this valuation list.



The other Holdings in this list are there as they do not have a 'valuation' date recorded. Dates can be recorded against the client record. By clicking on the item in the list (which will move you back to the Client Module).

Under 'Electronic' valuations all contracts that can be valued by Contract Enquiry will be listed. This list may comprise of more than one client.

To process all the contract enquiry valuations on bulk click onto the

[▶ Process the valuations for the 27 records listed](#) link. The following message will be displayed:

**Updates > Valuations**

Individual Bulk Funds

Due today By Provider By Adviser Service Manager Scheduling

Contract holder	Provider and Contract type	Adviser
Bloggs, S	Skandia Unit Linked Bond	Cockle, Simon
Cox, D	Zurich Personal Pension	Philpott, Mitchell
Test, T	Aviva Life & Pensions UK Ltd Unit Linked Bond	Cockle, Simon
Test, T	Aviva Life & Pensions UK Ltd Unit Linked Bond	Cockle, Simon
Apple, A	Skandia Unit Linked Bond	Cockle, Simon
Apple, A	Skandia Unit Linked Bond	Cockle, Simon
Apple, A	Legg Mason UK Unit Linked Bond	Cockle, Simon
Ashbee, J	Standard Life UK Unit Linked Bond	Philpott, Mitchell
Ashbee, M E	Fidelity UK Unit Linked Bond	Philpott, Mitchell

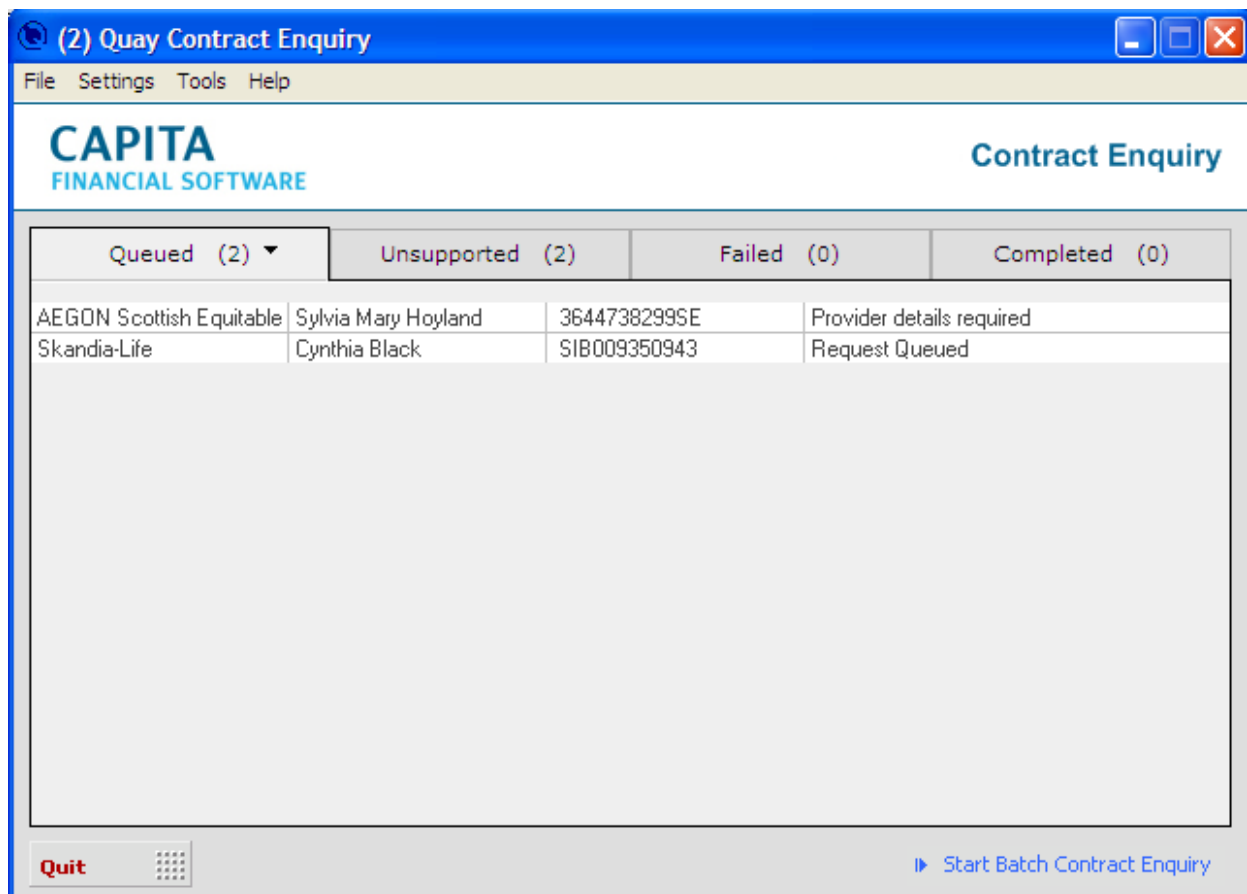
Message: Do you wish to update all of the holdings listed, or only those with a scheduled valuation date?

Buttons: Cancel All Scheduled

[▶ Process the valuations for the 113 records listed](#)

Electronic Manual Include archived holdings ☐ 30/11/2012

This will take you through to the bulk contract enquiry screen. Confirm whether 'All' of the valuations should be done, or just those that have been 'Scheduled' for today.



All the holdings waiting for valuation via contract enquiry will be listed here, click onto the

► [Start Batch Contract Enquiry](#)

to start the Contract Enquiry update. All the valuations will then carry over to the received tab in the updates section ready for update to the Client's holdings.

Any holdings that cannot be valued via contract enquiry will be listed in the Manual tab. You will need to perform manual valuations on these before proceeding.

**Updates** ▾ Updates > Valuations

Valuations  
Case status  
Remunerations  
Schemes

Received  
Website  
Software

Individual Bulk Funds

Due today By Provider By Adviser Service Manager Scheduling

Contract holder	Provider and Contract type	Adviser
Demo Black, M	Nucleus Financial Services Unit Linked Bond	Dance, Jonathan

Electronic Manual

Print valuation review list

30/11/2012

Once all the valuations have been completed go to the Scheduling tab.

**Updates** ▾ Updates > Valuations > Scheduling

Valuations  
Case status  
Remunerations  
Schemes

Received  
Website  
Software

Individual Bulk Funds

Due today By Provider By Adviser Service Manager Scheduling

**Set next valuation date ...**

Valuations listed as at 30/11/2012 Electronic 113 Manual 1

▸ Set all valuations due on 30/11/12 to the next scheduled\* date

▸ Set all valuations due on 30/11/12 to [ ]

The next valuation can now be scheduled, or a future date selected.

Quit

\* According to the client service settings

On the scheduling tab there are two options for resetting the valuation dates for all the contracts listed for valuation today.

▸ Set all valuations due on 03/03/11 to the next scheduled\* date This option will look at the “rule” set up in each Client’s servicing details and re-diarise the valuation accordingly.

▸ Set all valuations due on 03/03/11 to [ ] Here you have the option to move all the valuations due today to another date on mass. This is especially useful if there is staff sickness/holiday and you want to move the diary forward a couple of days.

Clients

Contact

Personal

Account

Data upload

Marketing

Servicing

Create partner

Holdings (2)

Work (0)

Documents

Calculators

Reports

Clients > Servicing

Servicing

Valuations

Reviews

Historic

Client servicing proposition

Current client status

Adviser

Service manager

Is this a fee paying client?

Date from which fees are charged

Silver

Current

Neal Talamas

Date of next client valuation

Provide valuations every

Date of next client review

Review every

28/02/2013

3 months

28/02/2010

12 months

Following

Month

Following

28/05/2013

2/2010

28/02/2011

Switch to Client fees

Add historic review

Client servicing

12

Servicing notes

As you will see from the clients record the front “rule” screen has not changed but the dates set for each contract to be valued have been changed and carried forward into the valuation diary in the ‘Updates’ module.