Client Care Desktop -

Advanced CCD and Administration User Manual

(Version 4.3.1)

CAPITA
FINANCIAL SOFTWARE
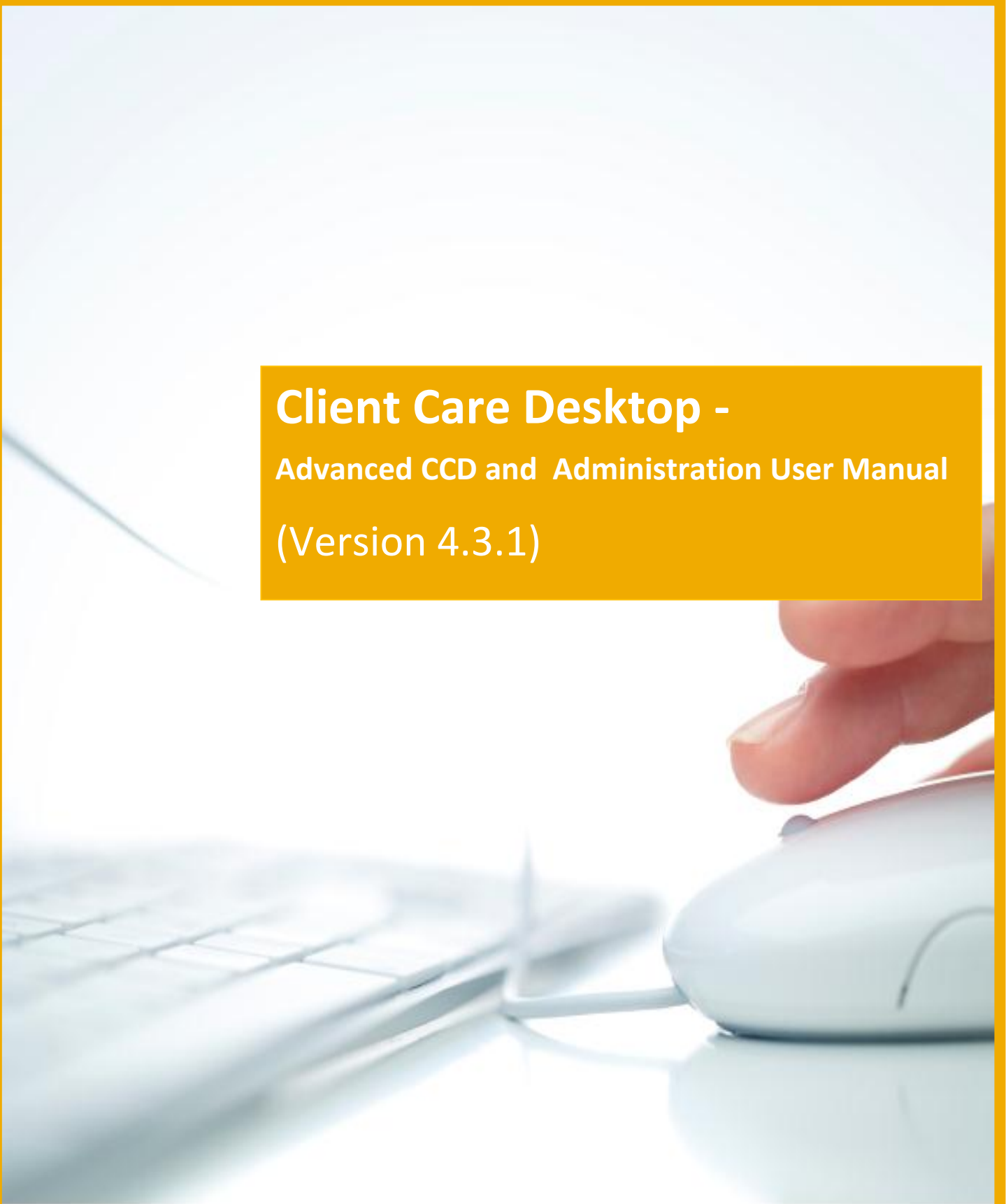
Contents

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 curser flashing where printing is to start (below any printed letter head).

Set the font size style and colour.

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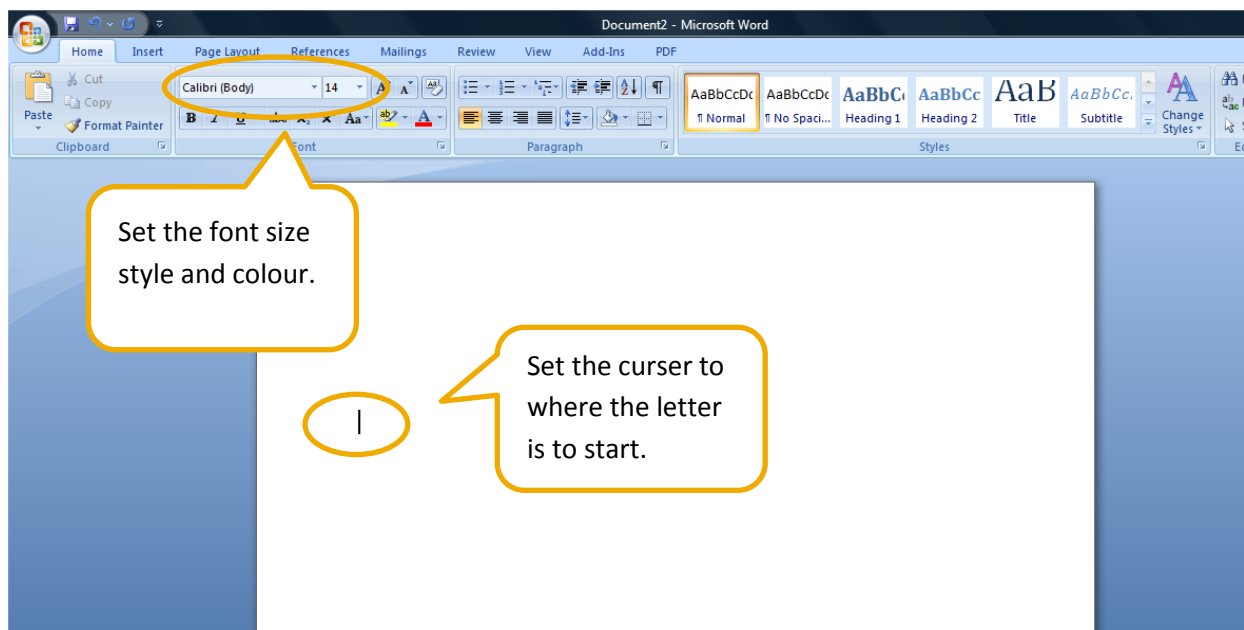
Once the template is set, save it as a template to a shared location. (The template needs to be accessible to all CCD users).

Save to a shared location and ensure it is saved as a template file.
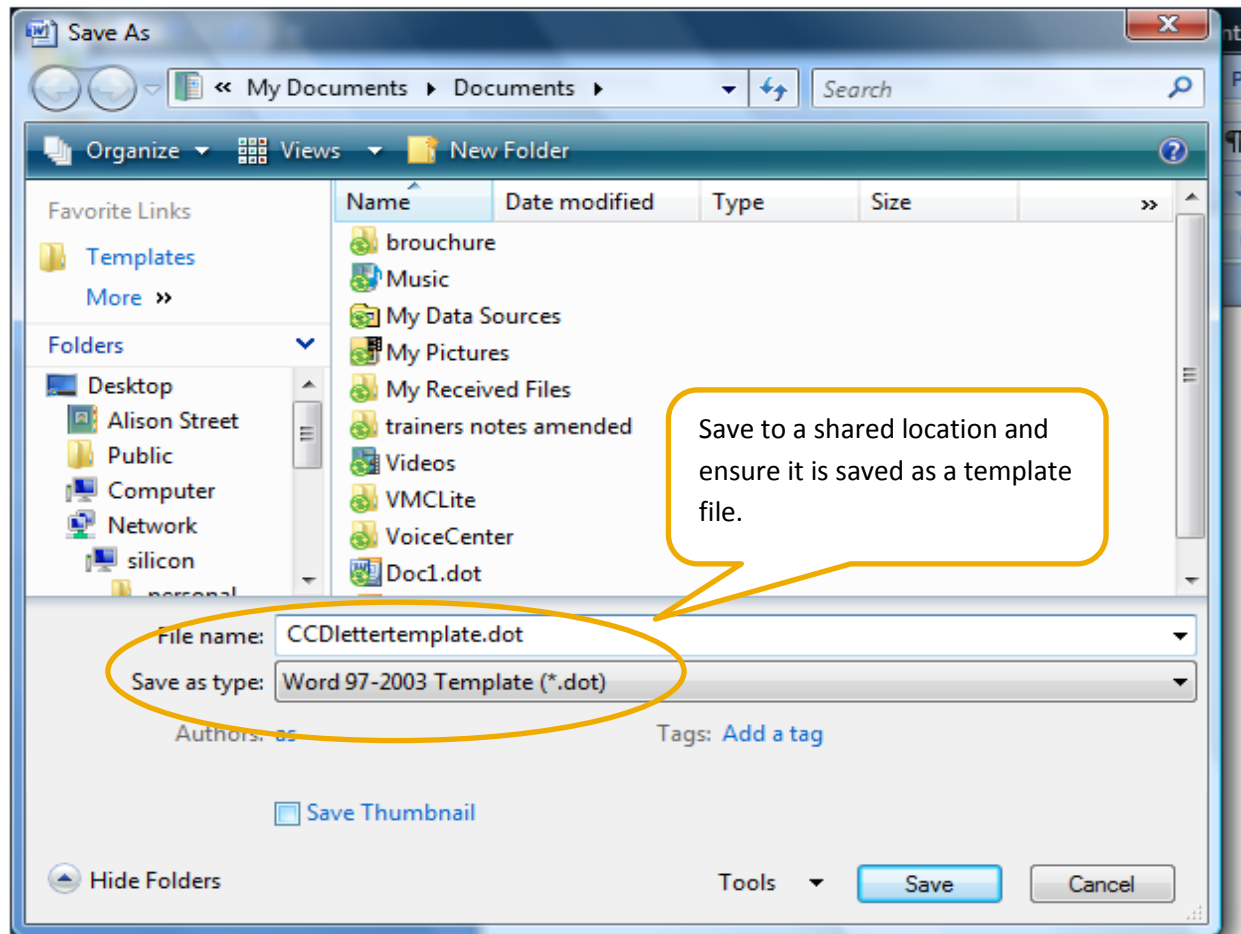
Open up CCD and go to the set-up module.

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SYNAPTIC
CLIENT CARE
VERSION 4.3.1

Clients
Fact find
Admin.
Compliance
Contacts
Setup
Updates
Help

Exit   Click to view our new training courses   Logged in as CFS Support (via Remote Support)

CAPITA
FINANCIAL SOFTWARE   System setup
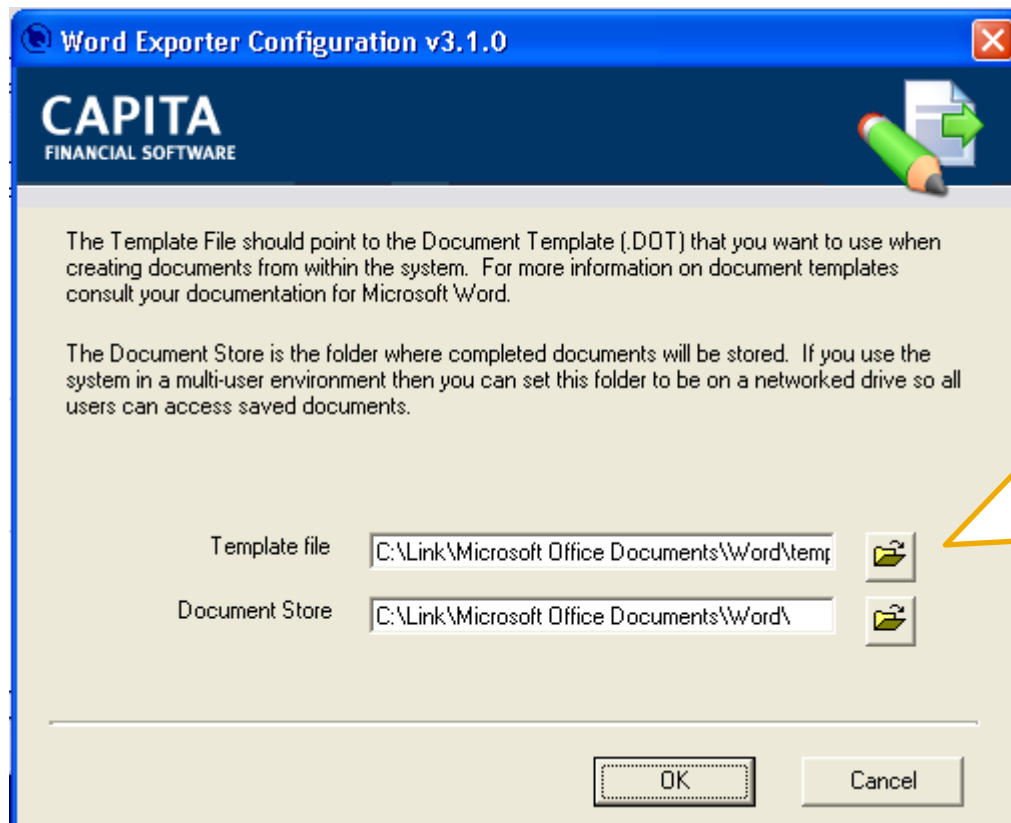
Setup ▼   Setup > Technical configuration

User info. | Applications | Passwords | Remunerations | Advanced | Regiona |
Admin. codes
Standard text
Staff list | Word processing | Data | Software | Extracts | Marketing |
Providers
Products
Prices   Adobe PDF   Document location
Forms   Store documents at this location C:\Link\My PDFs
Technical
Tables   Email
                                  Edit in Email Package before sending. Email is loade
User licence   ▶ Configure Email foote

Confirm whether the date and 'Our Ref' should be above or below the client's address.

Word processing   Location of 'Our Ref' in correspondence relative to address Below
                   orrespondence relative to address Below
                   Default output to MS Word™ ☒
Click here to add the template location to CCD.   ▶ Configure setup for MS Word™

Quit

Either type in the full path to where the template has been saved or use the link to browse to where you stored it.
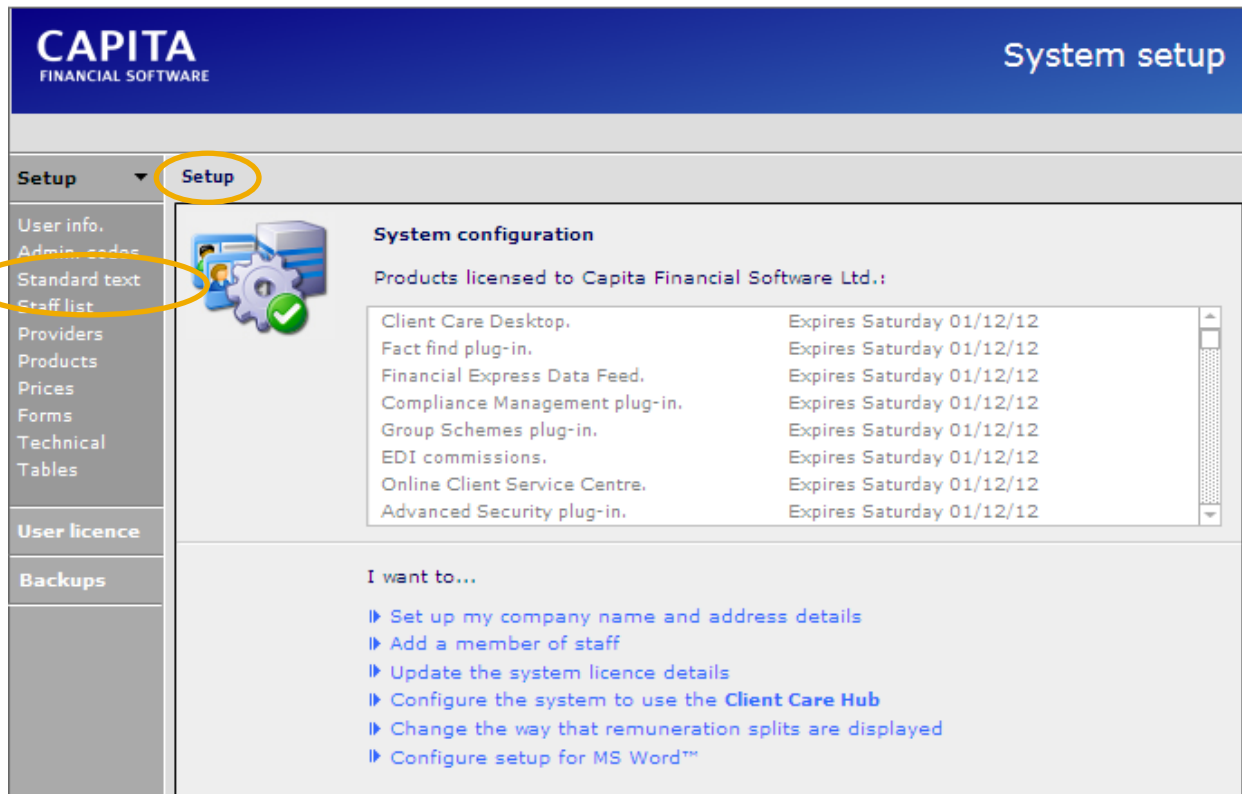
The location of your letter template has now been saved to CCD.

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.

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Setup ▼
Setup > Standard text

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

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

User licence

+ 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 ▼
Setup > Standard text > Details

| Details ▼ | Letter text | Financial prom. |

User info.
Admin. codes
Standard text
Staff list
Providers

Tables

User licence

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   Milhar Lee

Message Maker
Use Message Mak
Include auto-text

▶ Create / modif

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.

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

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

2.2 Type in a New Standard Letter

Click on **+ Add record** and complete the letter identification fields as above.

> Free format, type the body of your letter here.
>
> As before the name address date and salutation will auto complete.

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

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.

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

This will take you to the message maker screens.

This drop down shows the merge files that information can be pulled from.

When the merge file has been selected the relevant merge fields available will be listed. The merge file can be changed at any time in the letter to provide new fields for selection.

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.

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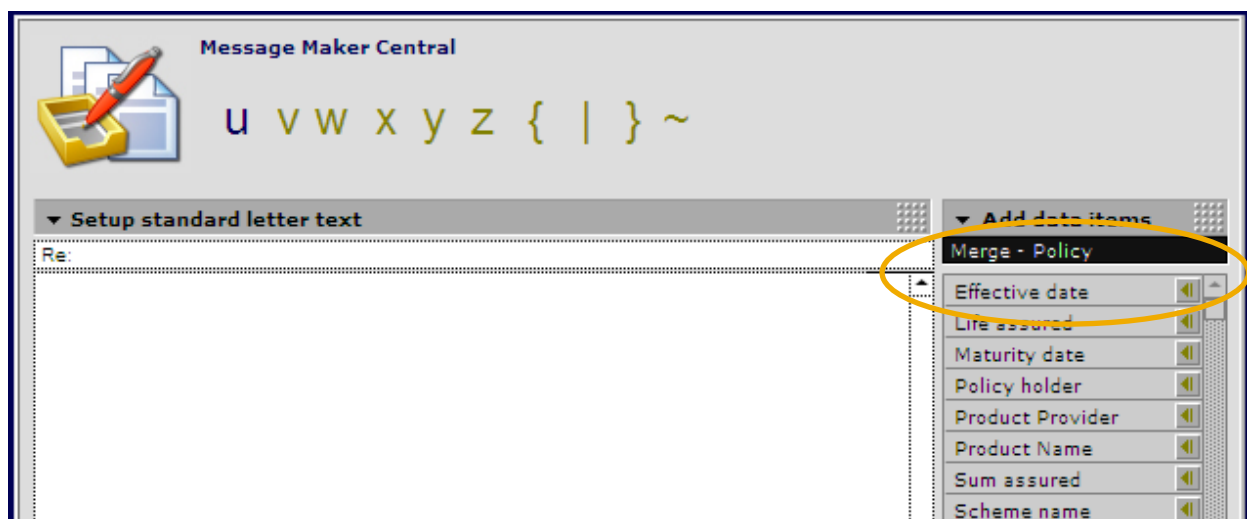
Locate the merge field that you require (in this case it is the 'Product Provider') and click into the yellow/gold arrow to the right of the field name. Then place your cursor in the title line where you want the merge field inserted and right click and 'Paste unformatted text'.

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 curser currently is, and you can continue to type.

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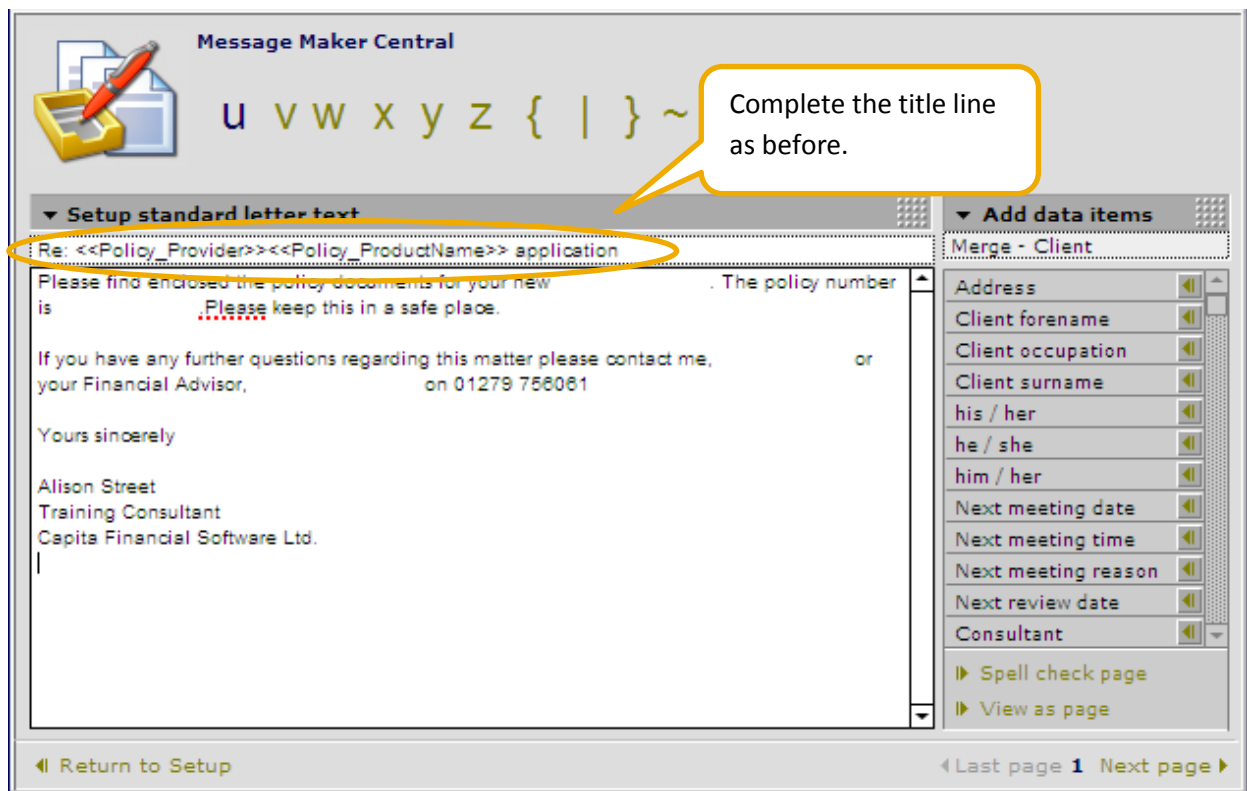
Firstly, set up a standard letter and use the following button;

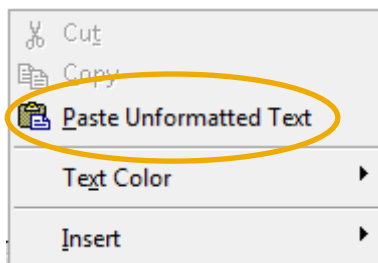▶ Create / modify Letter text using Link Message Maker . Now copy your letter in.

"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

Message Maker Central

u v w x y z { | } ~

Complete the title line as before.

▼ Setup standard letter text

Re: <<Policy_Provider>><<Policy_ProductName>> application

Please find enclosed the policy documents for your new   . The policy number
is   . Please keep this in a safe place.

If you have any further questions regarding this matter please contact me,   or
your Financial Advisor,   on 01279 756061

Yours sincerely

Alison Street
Training Consultant
Capita Financial Software Ltd.

▼ 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 |

▶ Spell check page
▶ View as page

◀ Return to Setup   ◀ Last page 1 Next page ▶

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 curser where you want the field to be inserted right click and Paste Unformatted Text.

✂ Cut
📋 Copy
📋 Paste Unformatted Text
Text Color   ▶
Insert   ▶

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'.

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

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 > Standard text > Autotext > Emma's formal close

Setup

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

Type   Autotext - Signature
Description   Emma's formal close
Auto - Text   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

> 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.

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

▶ 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

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

Emma's formal close

> 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.

◀ Copy to clipboard

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.

Enter here if the letter is not linked to a specific holding.

Enter here if the letter is to be linked to a specific holding/policy.
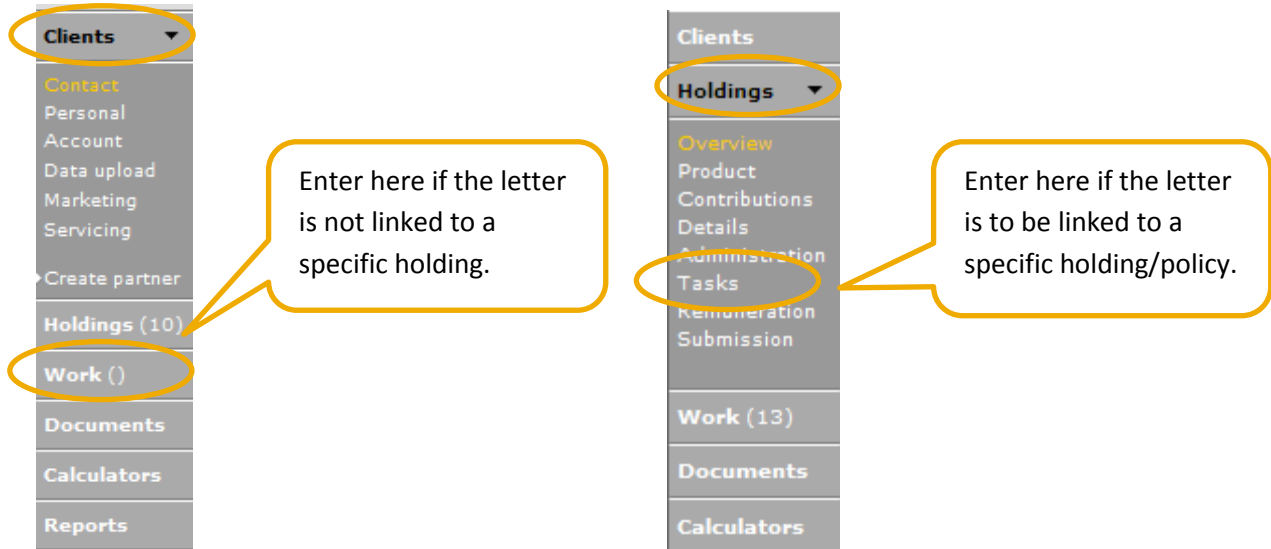
4.1 Entering a letter against a holding
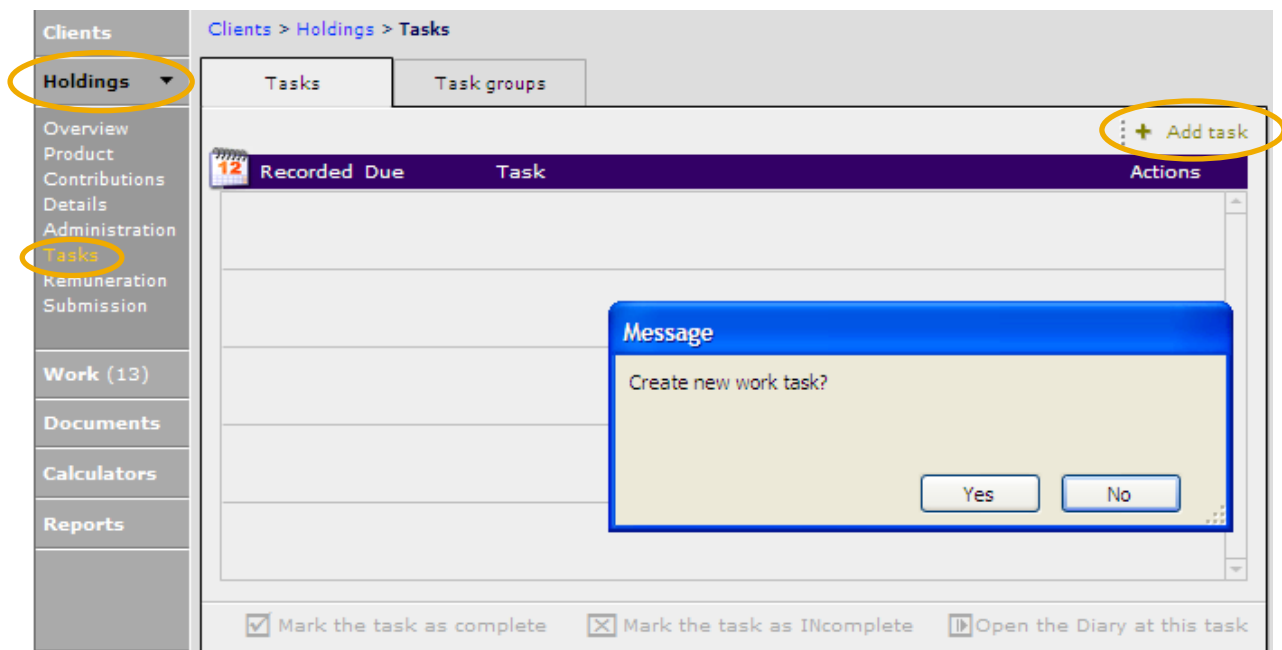
Select the task to be performed from the drop down list. Use the [icon] to enter the full details and to access the letter area.

Clients > Holdings > **Tasks**

| Tasks | Task groups |

Clients

Holdings ▼

Overview
Product
Contributions
Details
Administration
Tasks
Remuneration
Submission

Work (14)

Documents

Calculators

Reports

+ Add task

Recorded	Due	Task	Actions
16/10/2012	No diary		☑ ☒ ▷

Acknowledge receipt of a new application
Arrange doctor appoinment 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 |

Click here to add a letter to the task.

Task Group Client contact
Task Letter to Client   Who Date
                                            📝 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   First diary date
☑ Mark task **complete**   Further actions due   16/10/2012
☒ Mark task incomplete   Further actions complete
🖶 File note (last printed:)   Date of completion

Document linked   Select

Complete from the drop down lists.

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

| Diary | Account | Message |

Message to   Client   ▶ Options
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

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 st...
Use auto-text and Merge items to automatica...
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.

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

| Diary | Account | Message ▼ |

Message to   Client   ▶ Options
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

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.

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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

dd 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 con
contact me as soon as possible to rearrange

Yours sincerely

<<Client_Adviser>>

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

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

> Once the letter content is as you require click on:

Generate Letter ▶

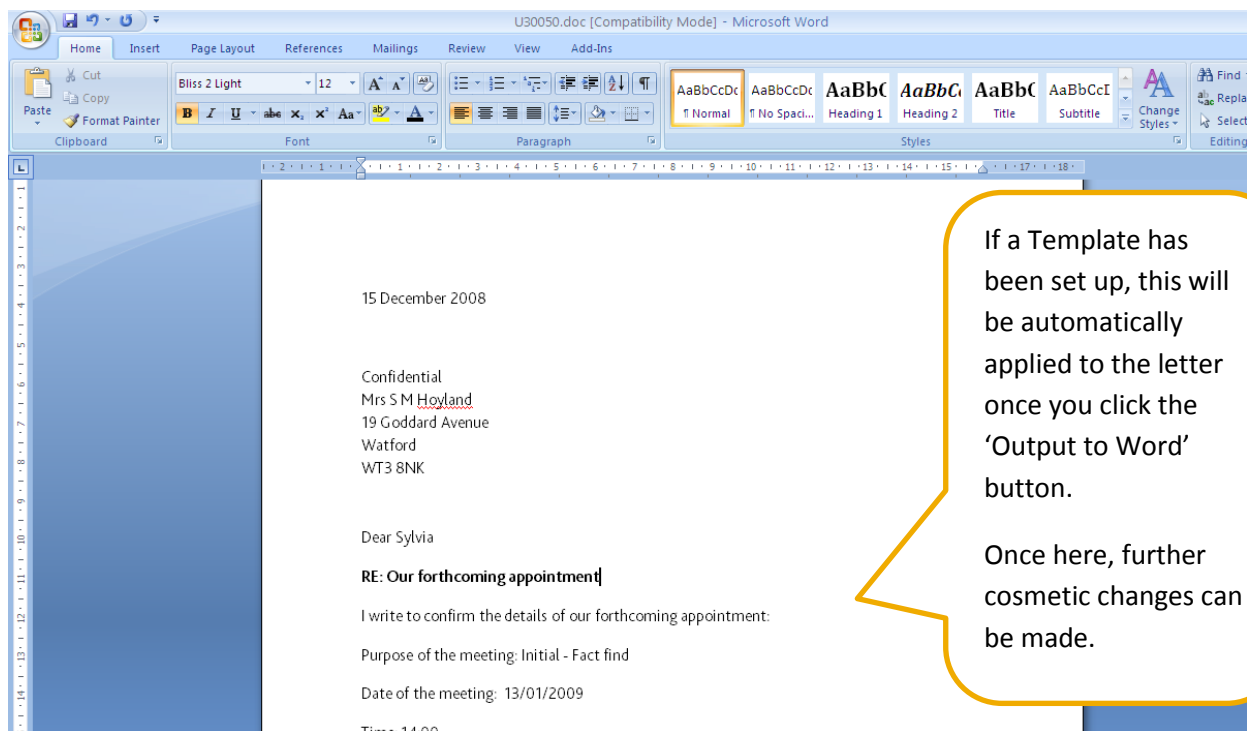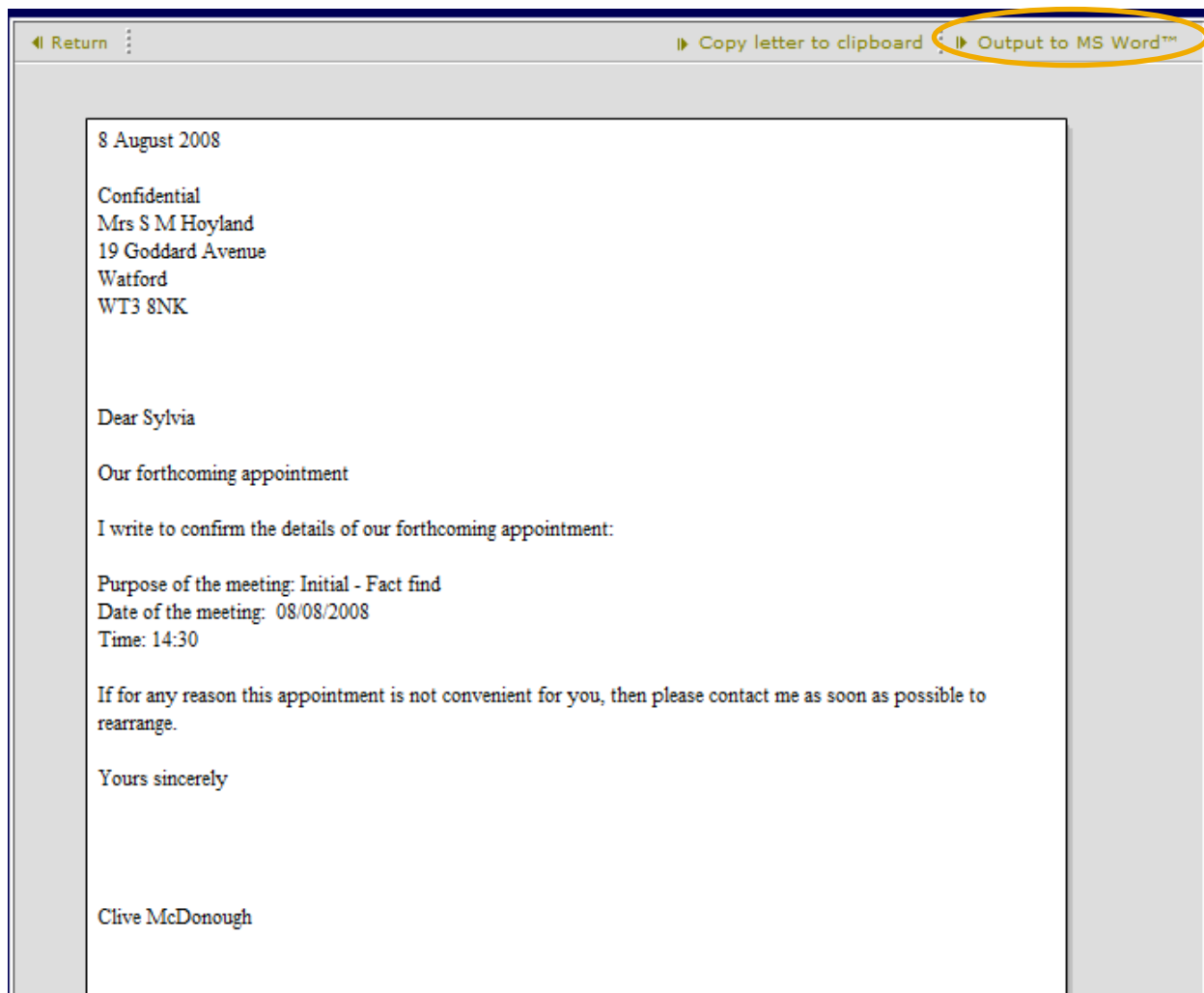opy to clipboard

◀ 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™ :

◀ Return   ▶ Copy letter to clipboard ▶ Output to MS Word™

Private & Confidential
Mr A Apple
Victoria Road
Chelmsford
Essex
CM1 1FB

Our ref: MM/ams
16 October 2012

Dear Andrew

Our forthcoming appointment

I write to confirm the details of our forthcoming appointment:

Purpose of the meeting: Client Review
Date of the meeting: 20th October 2012
Time: 14:00

If for any reason this appointment is not convenient for you, then please contact me as soon as possible to rearrange.

Yours sincerely

Simon Cockle

If a Template has been set up, this will be automatically applied to the letter once you click the 'Output to Word' button.

Once here, further cosmetic changes can be made.

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:

- 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

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.

Work records

Sylvia Hoyland

Clients > Work > **Diary**

Task Group | Client contact | Who | Date
Task | Corresponding with the client | ams | 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 | Days / Override | By whom
| 3 | 2 | | 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

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

Work records

Sylvia Hoyland

Clients > Work > **Diary**

Task Group | Client contact | Who | Date
Task | Corresponding with the client | ams | 20/03/2010

> Click here to add a letter to the task.

Notify client ☐ Notify Introducer ☒

> Type in details of the task here.

Related project

Document linked Select

Further action required Priority | Days / Override | By whom
| 3 | 2 | | 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

CAPITA FINANCIAL SOFTWARE

Work records

Gemma Clift

Clients > Work > Diary > **Message**

Complete from the drop down lists.

Message to	Client ▸ Options
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	

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

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.

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.

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

Select where the letter template is saved.

Now select the letter that you want to use.

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 a Template has been set up, this will be automatically applied to the letter once you click the 'Output to Word' button.

Once here, further cosmetic changes can be made.

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'

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.

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.

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.

Click here to add a new task.

CAPITA
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System setup

Setup > Administration codes > **New task**

◀ Back

Admin Code: TSK166
Task description: Complete new business check list
Main task category: Client
Sub task category: Processing new business
Diary days: [ ] 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 > Administration codes > **New task**

◀ Back

Admin Code TSK166
Task description Complete new business check list
Main task category Client
Sub task category Processing new business
Diary days 11 days *
Standard letter **
Standard letter description

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.

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.

Attach letter here.

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

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

Screen 1: System setup — Trackers

CAPITA
FINANCIAL SOFTWARE — System setup

Setup ▼

Setup > Administration codes > **Trackers**

| Tasks | Task categories | Trackers | Planning goals |

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

User licence

Tracker * New business - Basic   ⊹ ✚ Add record

Task description	Letter ref	Diary (days)
		▶ More

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

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

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

Quit

Screen 2: System setup — Trackers

CAPITA
FINANCIAL SOFTWARE — System setup

Setup ▼

Setup > Administration codes > **Trackers**

| Tasks | Task categories | Trackers | Planning goals |

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

User licence

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]

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

Quit

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.

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

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

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].

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.

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.

Reselect person to complete the task as required.

The progress of trackers can be followed in two ways.

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

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

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

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 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.

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

To select a client simply click on the relevant line. At the bottom of the list there are 2 other options available.
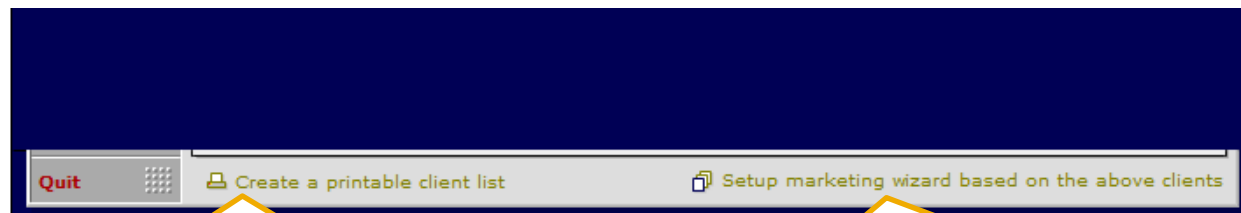
There are 3 options for the type of list required:
- Status
- Contact
- General

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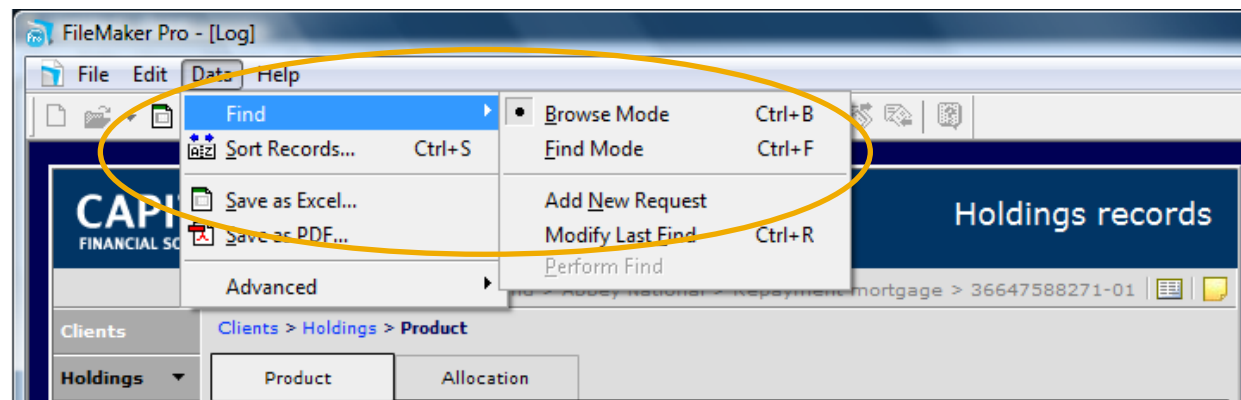
This option can be used to change the screen you are on into a "Find" mode if needed. Browse mode is the default mode for CCD allowing you to view, add or make amendments to the information on the screen.

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 [🔍 Find record] 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.

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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.

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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.

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

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.

Click on the arrow next to 'Operators' to open the Symbols.

Insert: Operators ▼

=	match whole word (or match empty)
==	match entire field
!	find duplicate values
<	less than
≤	less than or equal
>	greater than
≥	greater than or equal
...	range
//	today's date
?	invalid date or time
@	any one character
#	any one digit
*	zero or more characters
\	escape next character
""	match phrase (from word start)
*""	match phrase (from anywhere)
~	relaxed search (Japanese only)

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.

Matching records: Include Omit
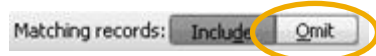
The example below shows how these additional characters could be used on the holdings screen.

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

Holdings records

> > > | 🖽 | 🗋

Clients > Holdings > **Product**

Clients	
Holdings ▼	**Product** | Allocation

Overview
Product

Details
Administration
Tasks
Remuneration
Submission

Work ()

Documents

Calculators

Reports

Quit

✏️

Contract holder		⮞ Change
Contract reason / objective	
Scheme	
Provider	SKAN ⭐ ☐ ⮞ More
Personal / Occupational	Personal
Product basis	
Product category	
Product	⮞ Notes
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.

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 '=')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
Unspecified							
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	
Mclaren	Group Wrap Platform		Initial - Initial fee	James Read		23/08/12	300.00
Mclaren	Group Wrap Platform		Initial - Initial fee	James Read		28/08/12	100.00
Mclaren	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	
Total outstanding for							**£ 5,020.00**

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

1   Find Requests   1   Total   New Request   Delete Request   Perform Find   Cancel Find

Layout: REP_CommDue ▼   View As: ▦   Matching records: Include Omit   Insert: Operators ▼

Return   Print   Preview   Extract

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

Report total   £

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

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.

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
Skandia								
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
Total outstanding for Skandia								**£ 263.00**
Report total								**£ 263.00**

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.

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.

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   ◀ Return   🖶 Print   🗔 Preview   📊 Extract

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
Bloggs, S	Unit Linked Bond	1234567	Fund based Renewal			02/12/07	25/11/10	
Report total								**£**

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.

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.

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

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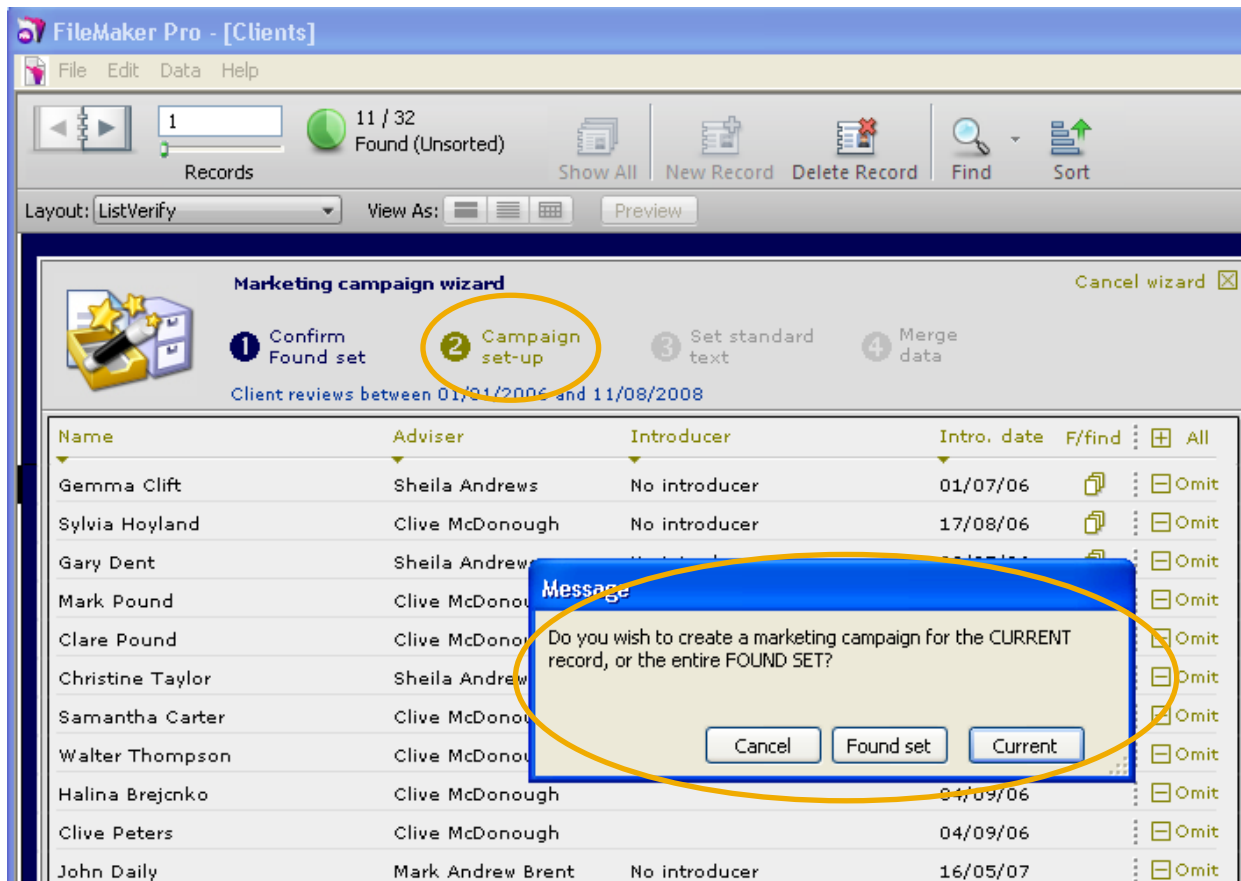
1. Confirm the found set has been completed (as above).
2. Campaign set-up. This will now check that you wish to use the list of clients found, just one client from the list or to cancel the marketing wizard.

The following screen will now appear:

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.

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
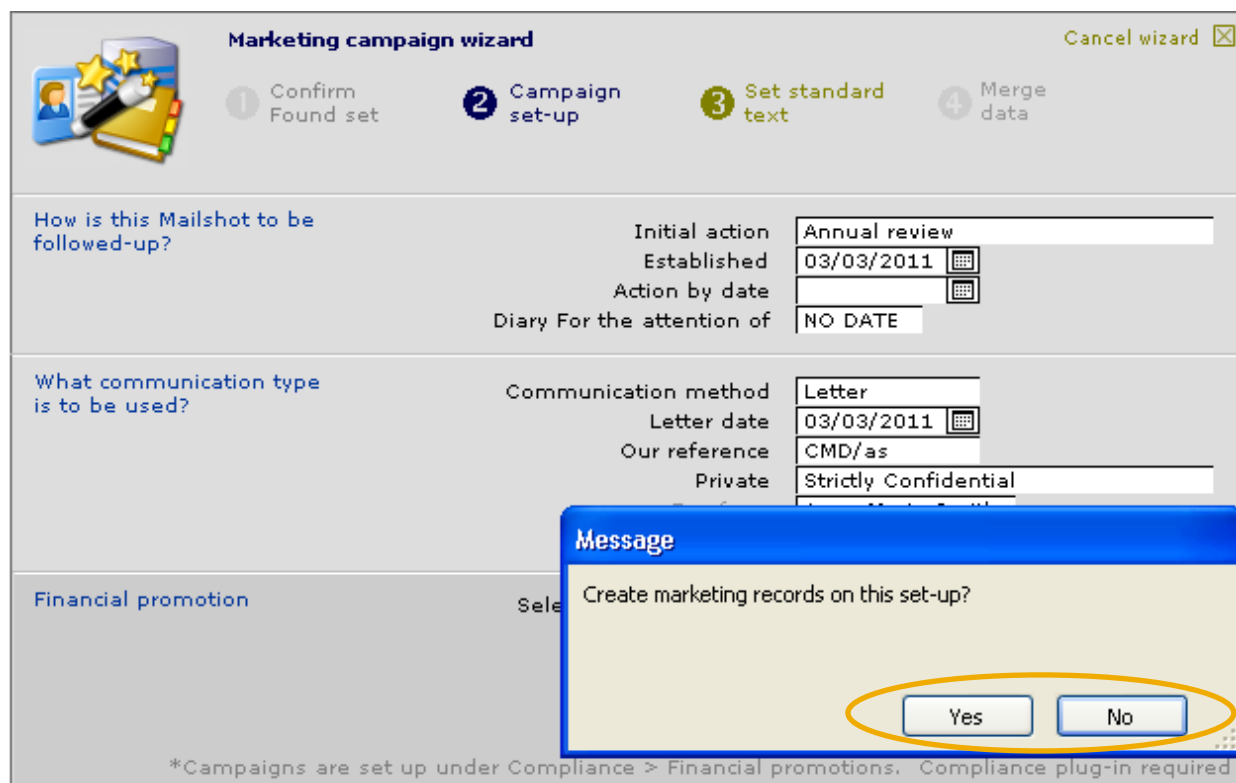
Address	
Client forename	
Client occupation	
Client surname	
his / her	
he / she	
him / her	
Next meeting date	
Next meeting time	
Next meeting reason	
Next review date	
Consultant	
Client date of birth	

◄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

Message

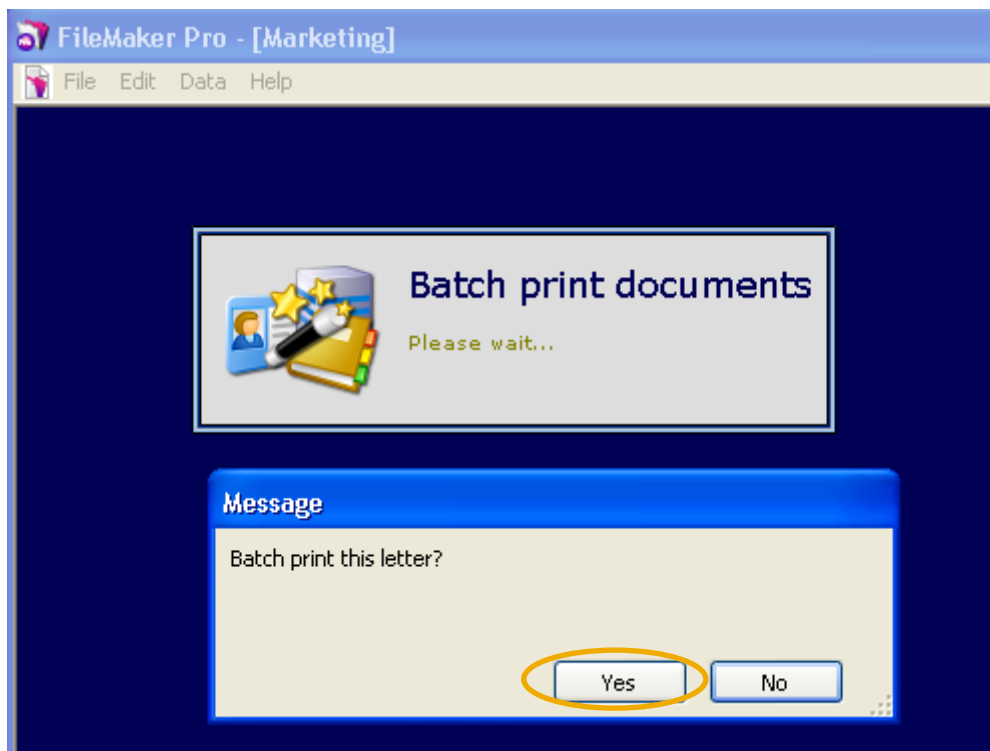Create marketing records on this set-up?

Yes   No

Financial promotion

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

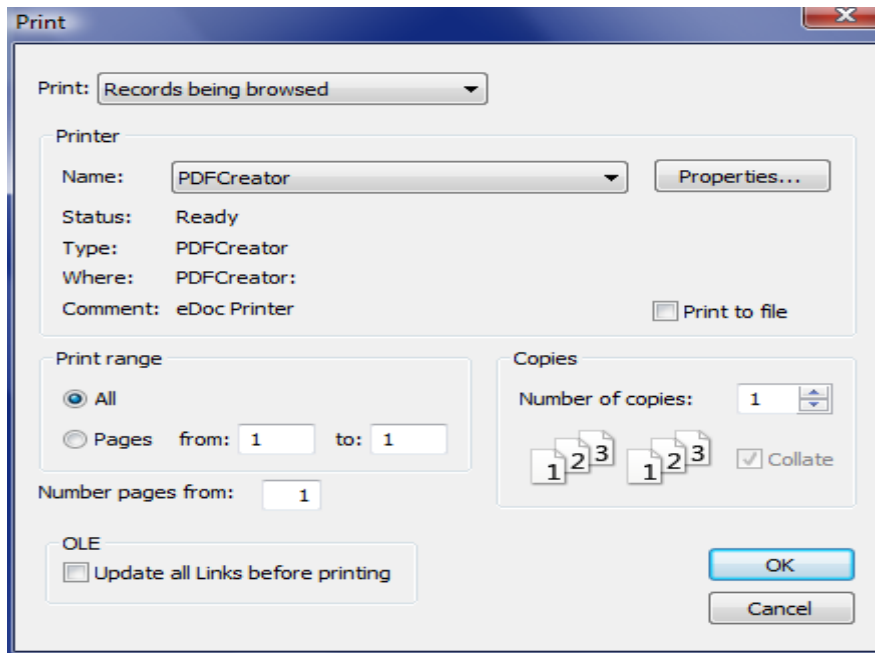Once the data has been merged you will get the option to view the letters or to batch print them.

 - will ask you to confirm that these letters should be batch printed.

You will then be asked to select your printer.

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

[W] 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.

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.

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Admin.

Remuneration

Reports

Marketing ▾

Diary today
Diary all
Wizards
Reports

Administration > Marketing > **Wizards**

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

The example below shows the screen to Search holding records.

Marketing campaign wizard   Cancel wizard ✕

❶ Confirm Found set   ❷ Campaign set-up   ❸ Set standard text   ❹ Merge data
All records listed as no search criteria specified

Contract holder	Adviser	Provider	Product type	Effective	⊞ All
May, G	MAB	Norwich & Peterborough	Buy to let Interest only	04/03/2004	⊟ Omit
May, G and Farley, RC	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	SAN	Lloyds TSB Bank	Maxi ISA	06/04/2004	⊟ Omit
		rich		/06/1993	⊟ Omit
		ttish Equitable		/07/1993	⊟ Omit
		PA		/09/2002	⊟ Omit
		olwich 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

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

Click here to create your own found set.

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

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.

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.

Click onto the ▣ Return to Client Care Desktop system view .

File Edit Data Help

15 / 81
Found (Unsorted)

Show All | New Record Delete Record | Find | Sort

Records

Layout: Marketing ▾ View As: ▤ ▤ ▦ Preview

Marketing campaign wizard   Cancel wizard ☒

❶ Confirm   ❷ Campaign   ③ Set standard   ④ Merge
   Found set   set-up   text   data

All records listed as no search criteria specified

Contract holder	Adviser	Provider	Product type	Effective	⊞ All
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.

The top half of the servicing screen shows general information regarding the servicing proposition for the client. The bottom half of the screen allows more detailed information to be added around valuations and reviews.

It is possible to set up some standard servicing information within the Setup>Technical of CCD. For instance, part of your servicing proposition to 'Platinum' clients may be to send valuations every 3 months and offer a review every 6 months. However for 'Gold' clients, it could be a valuation every 6 months and a review each 12 months.

This can be set up as follows:

CAPITA — FINANCIAL SOFTWARE

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.

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

Additional notes for servicing this client can be added.

11.1 Holding Reviews

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 .

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.

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

If the **>Roll forward the review dates for the above clients** button is used to roll forward all dates, the following appears:
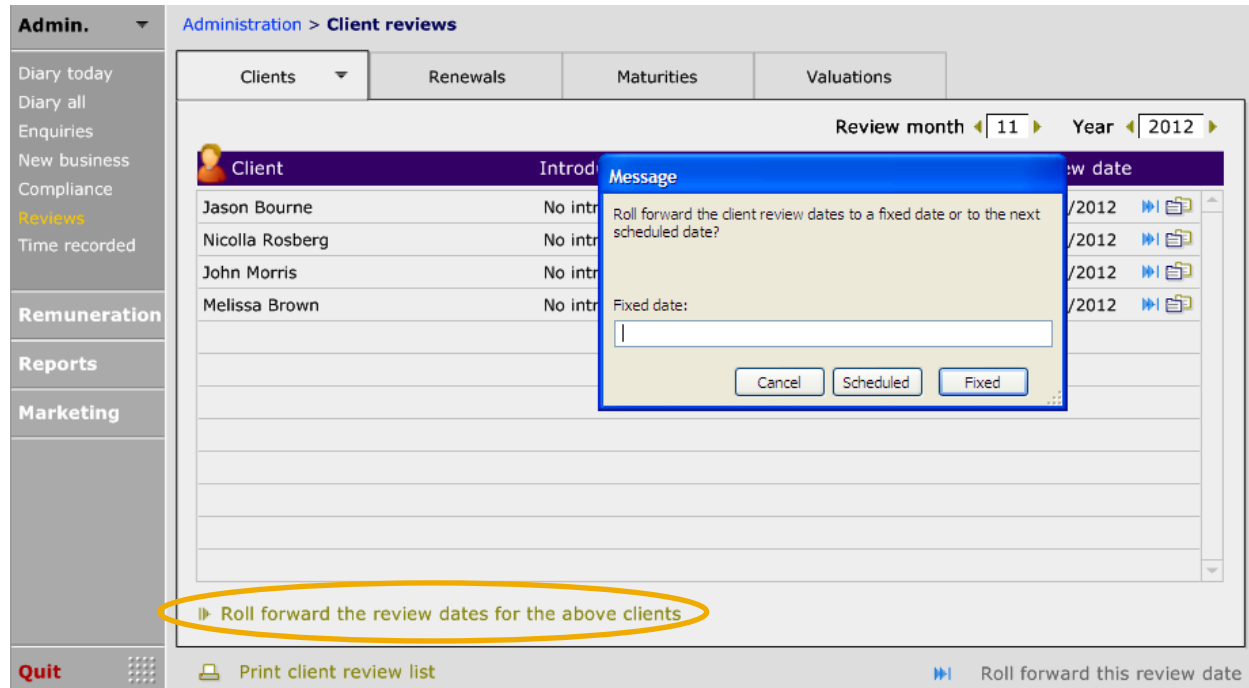
If the Review dates are to be rolled over to their next scheduled dates (as shown in Clients > Servicing) use the 'Scheduled' button.

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:

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

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:

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

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.

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).

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:

Now need to record the next valuation date.

 button can be used to set all valuation dates to the date specified within the 'Servicing' tab.

Select 'Yes' to this pop up message box.

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.
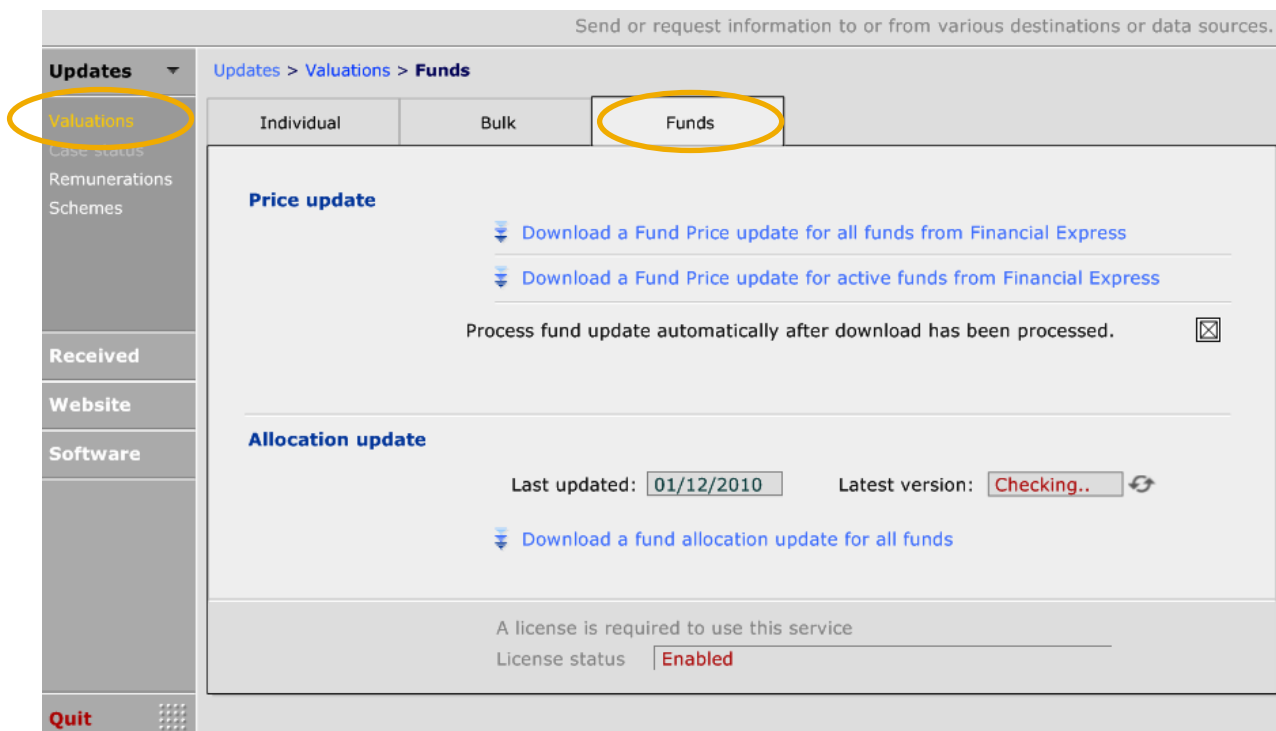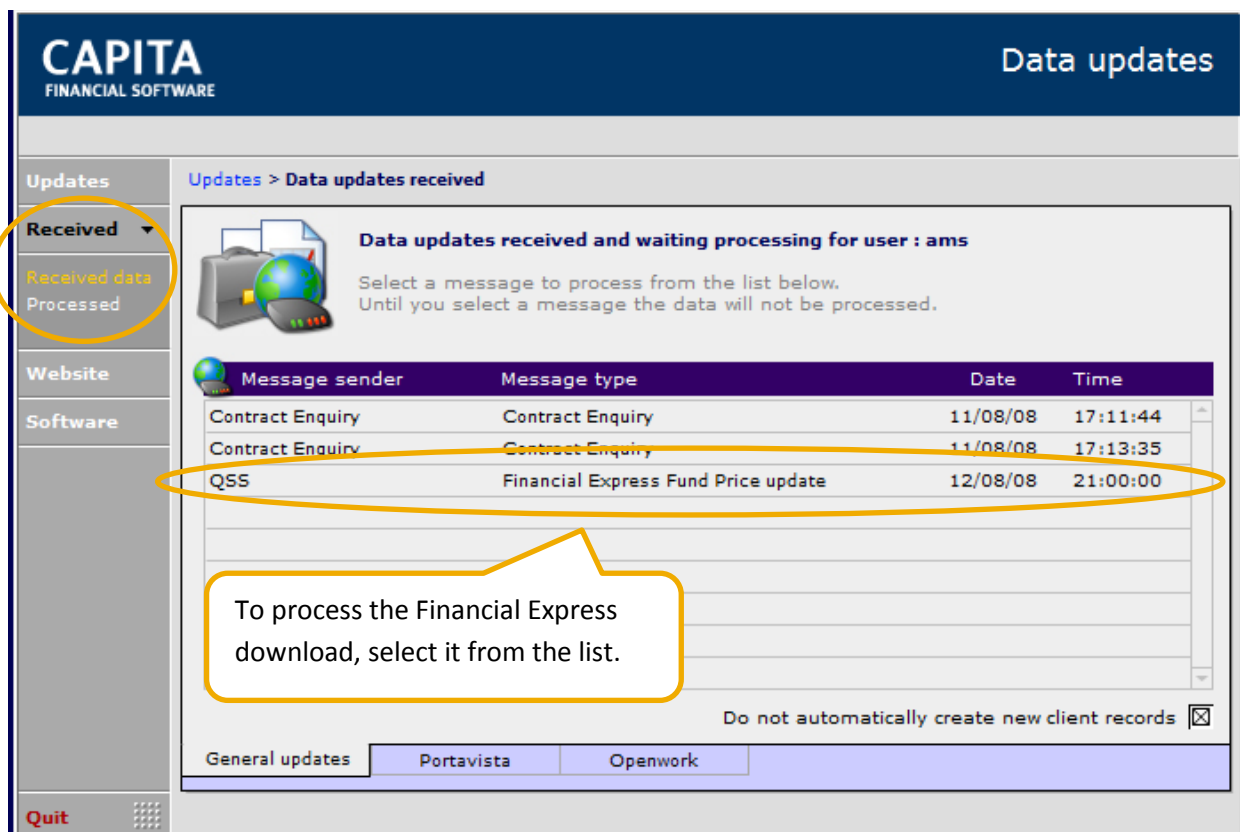

There are two options for updating the Prices on CCD:

- 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:

When this message is received in the bottom left of your screen go to the Received section of Updates.

To process the Financial Express download, select it from the list.
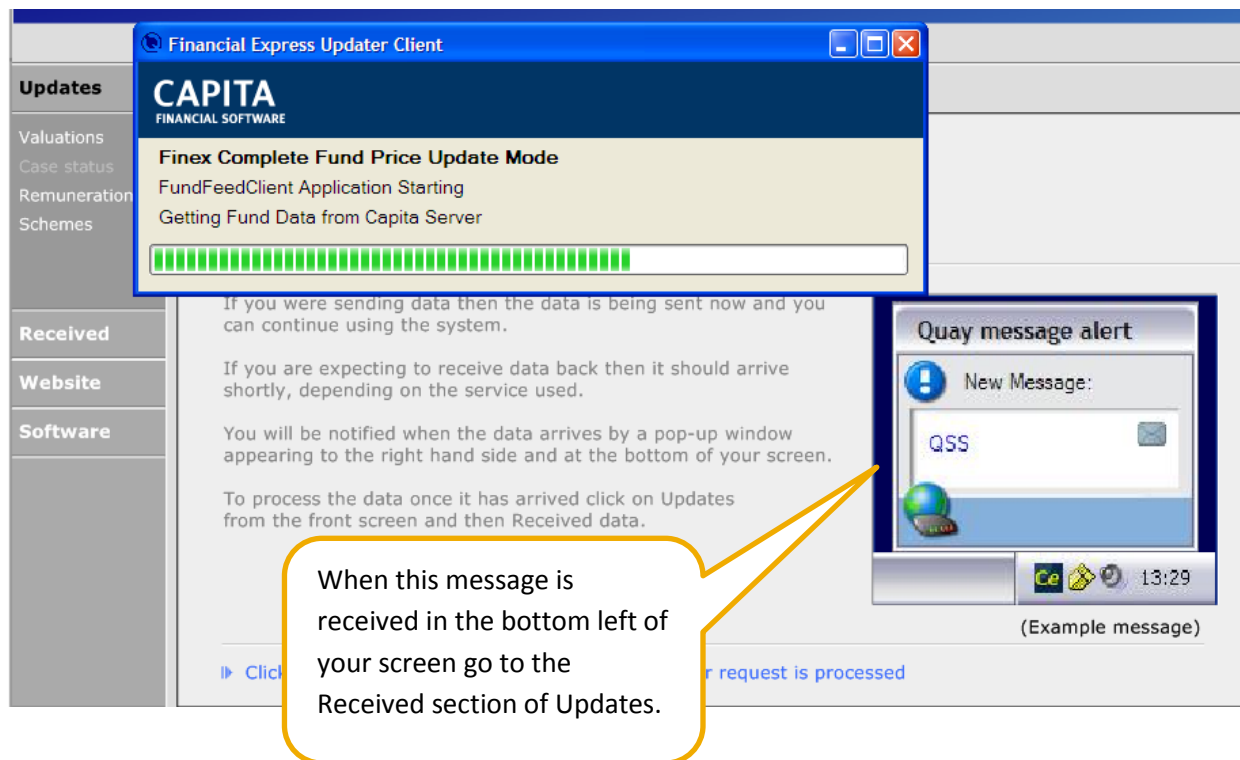
Once the update is started it will automatically run through each step as below.

The first step will be to delete the current fund data on your system.

Delete

Records remaining to delete: 61672

It will then import the updated fund information.

Import

Importing From: EnvoyData.

Records Remaining: 78283

The funds will be updated in your system which will update the client's holdings.
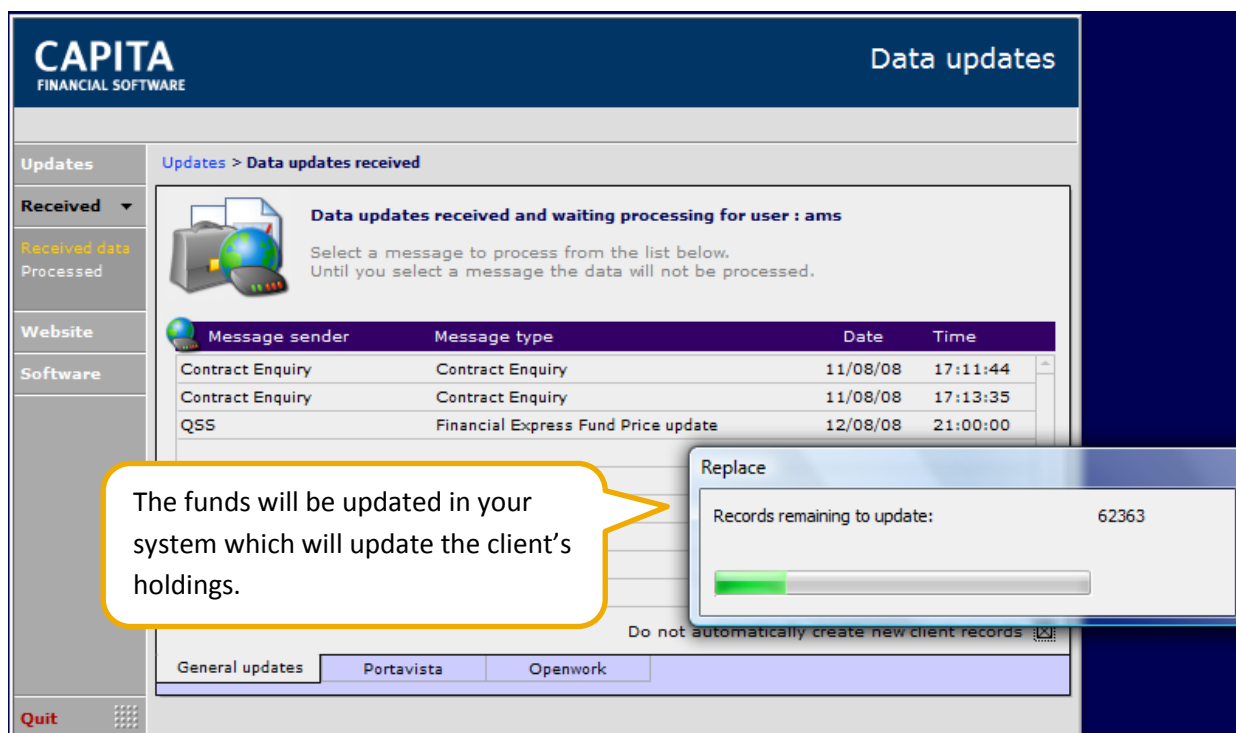
Whilst this process is happening, CCD cannot be used. Once this has been finished, a message appears asking if this information needs to be reviewed.

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. 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:

 and/or

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

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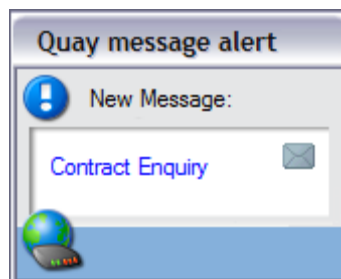
Once this message is received then the contract enquiry window will confirm its status in the Providers response box.

If you have also ticked 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

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:

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**:

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

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.

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.

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.

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 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

- 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

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

3.   Fund Code

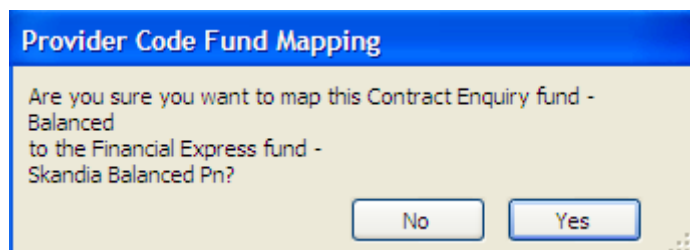| Mex ID	Sedol	CitiCode
Filter	Filter	Filter

- 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:

Provider Code Fund Mapping

Are you sure you want to map this Contract Enquiry fund -
Balanced
to the Financial Express fund -
Skandia Balanced Pn?

No   Yes

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:

CAPITA
FINANCIAL SOFTWARE   Data updates

Information from Contract Enquiry for the holding.

Additional information returned from the Product Provider, including warnings, are

Client Detail
Mr   Dashawn   Belton

Contract Details
Investment
Offshore Bond
Unit Linked Offshore Bond
200000896

Message Detail
Source: Skandia Investment Solutions
Warning Response
test

Message Description

☐ Show automatically matched assets

Contract Enquiry Assets	**Matched CCD Assets**	**New**	**Existing CCD Assets**	**Archive**
⚠ First State Asia Pacific Leaders	Click here to match	☐	⚠ First State Asia Pacific Leaders	☐

This section shows details of the funds that need to be matched.

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:

Contract Enquiry Assets	**Matched CCD Assets**	**New**
⚠ First State Asia Pacific Leaders	Click here to match	☐

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
Mr   Dashawn   Belton

Contract Details
Investment
Offshore Bond
Unit Linked Offshore Bond
200000896

Message Detail
Source: Skandia Investment Solutions
Warning Response
test

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	☐	✔ First State Asia Pacific Leaders	☐
Neptune Global Equity	Neptune Global Equity	☐	Neptune Global Equity	☐
Marlborough Special Situations	Marlborough Special Situations	☐	Marlborough Special Situations	☐
Neptune European Opportunities	Neptune European Opportunities	☐	Neptune European Opportunities	☐
Neptune Russia + Greater Russia	Neptune Russia + Greater Russia	☐	Neptune Russia + Greater Russia	☐
Invesco Perpetual High Income	Invesco Perpetual High Income	☐	Invesco Perpetual High Income	☐
Jupiter Emerging European Opportunities	Jupiter Emerging European	☐	Jupiter Emerging European Opportunities	☐
Allianz RCM BRIC Stars	Allianz RCM BRIC Stars	☐	Allianz RCM BRIC Stars	☐
Artemis European Growth	Artemis European Growth	☐	Artemis European Growth	☐
Artemis UK Special Situations	Artemis UK Special Situations	☐	Artemis UK Special Situations	☐

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
Mr   Kanye   Beatty

Contract Details
Investment
Unit Trust
Unit trust
100064797

Message Detail
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	☐	⚠ Cash	☐

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:

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:

This is the 'Provider Codes' tab:

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

= 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:

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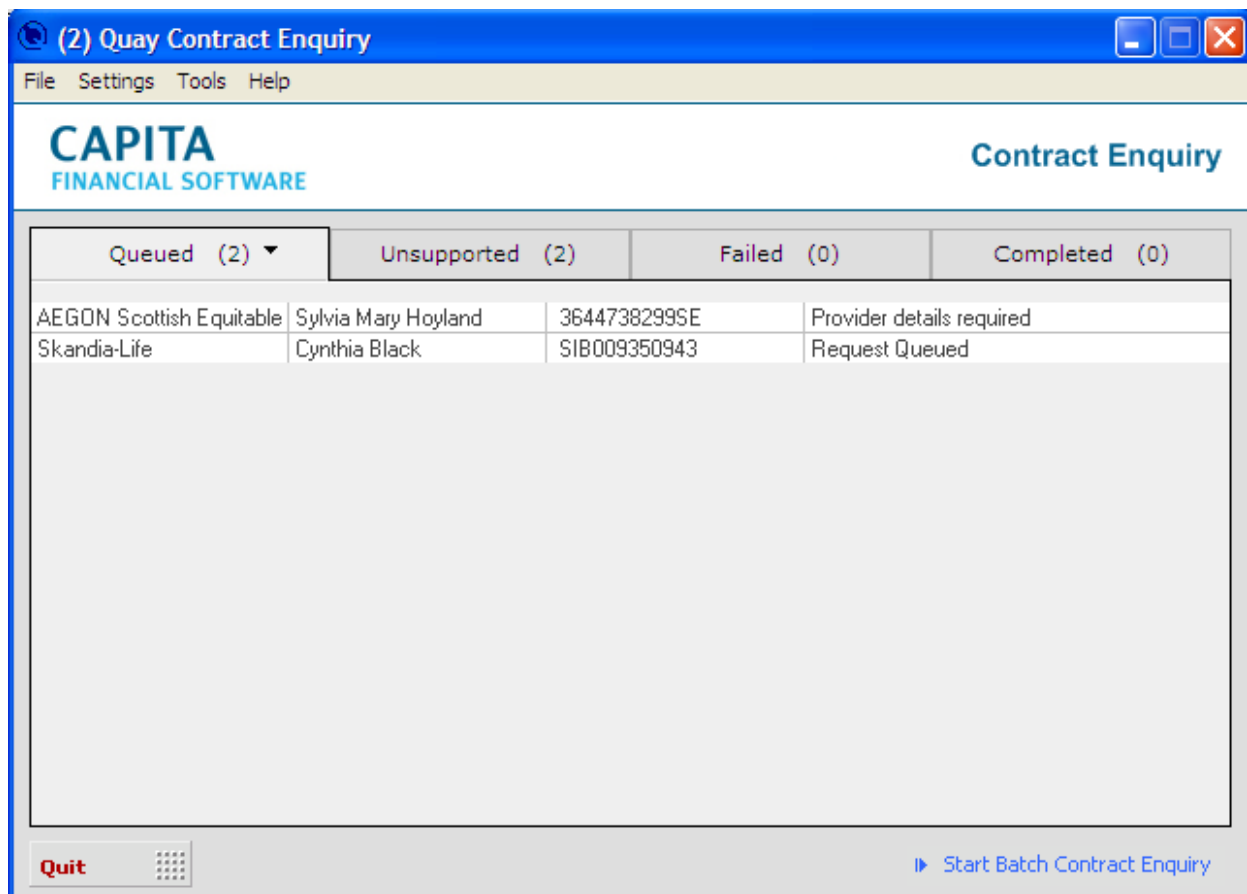
All the holdings waiting for valuation via contract enquiry will be listed here, click onto the

▶ 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.

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

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.

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.