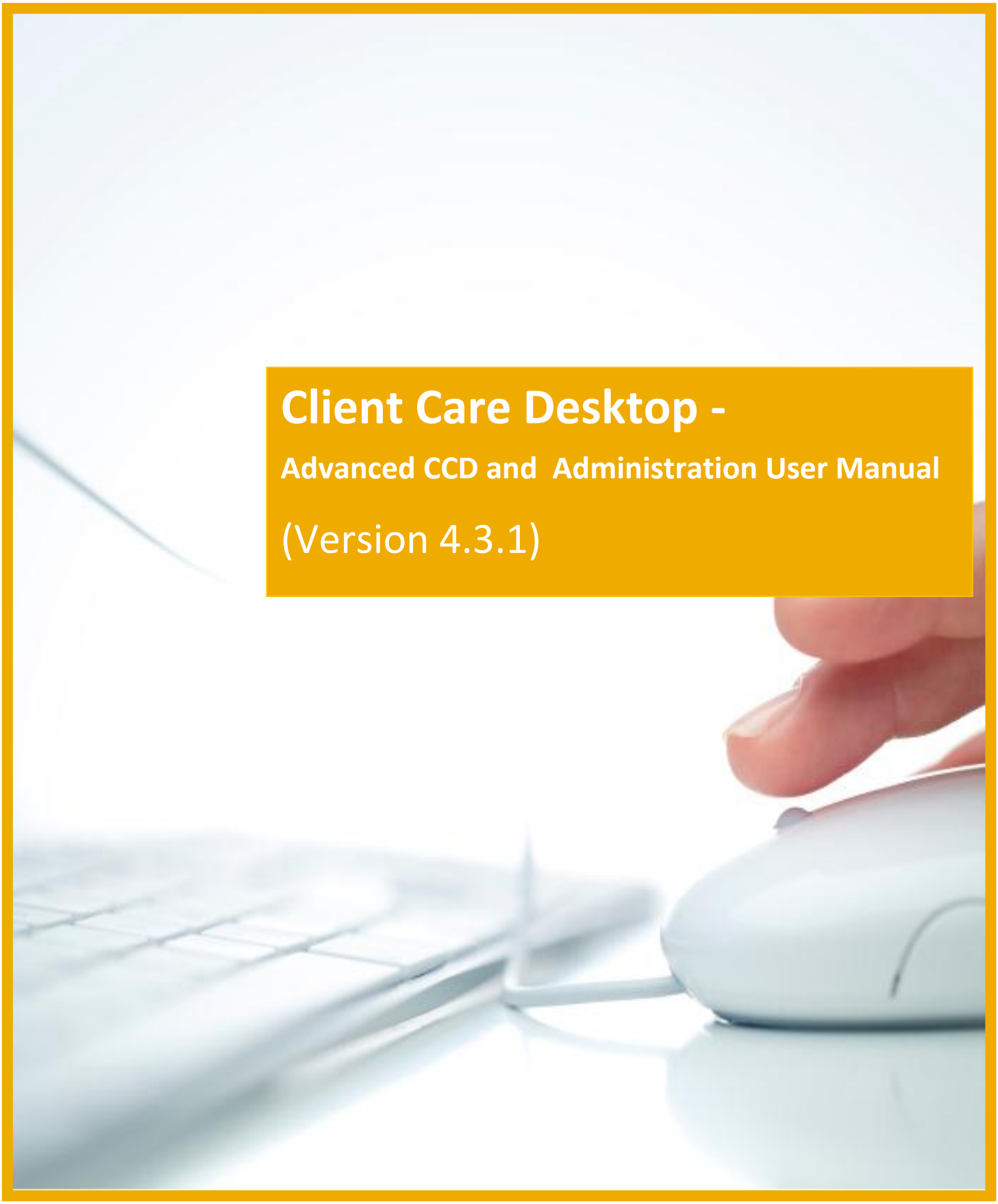
CAPITA
FINANCIAL SOFTWARE

SYNAPTIC
CLIENT CARE
Manage Clients. Better.

Client Care Desktop -

Advanced CCD and Administration User Manual

(Version 4.3.1)



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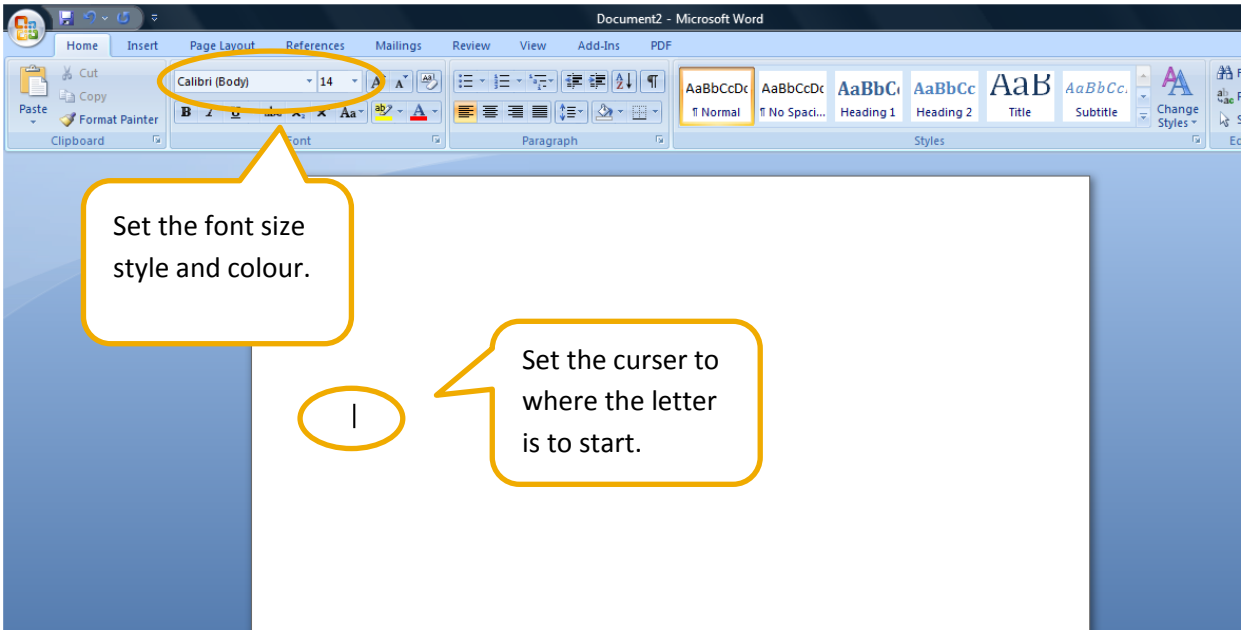
1 Getting Ready to Use Standard Templates

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 curser 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).

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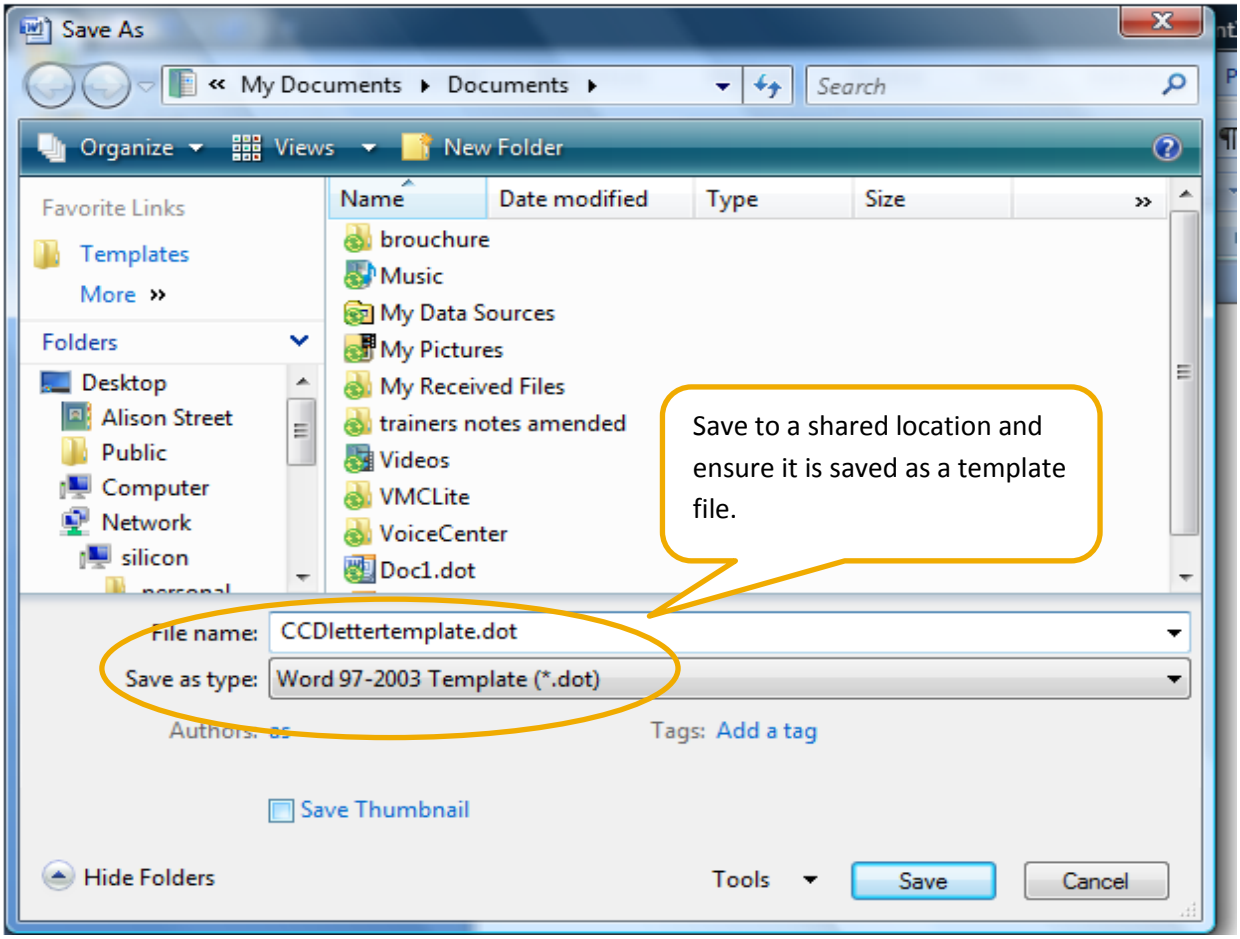

Open up CCD and go to the set-up module.

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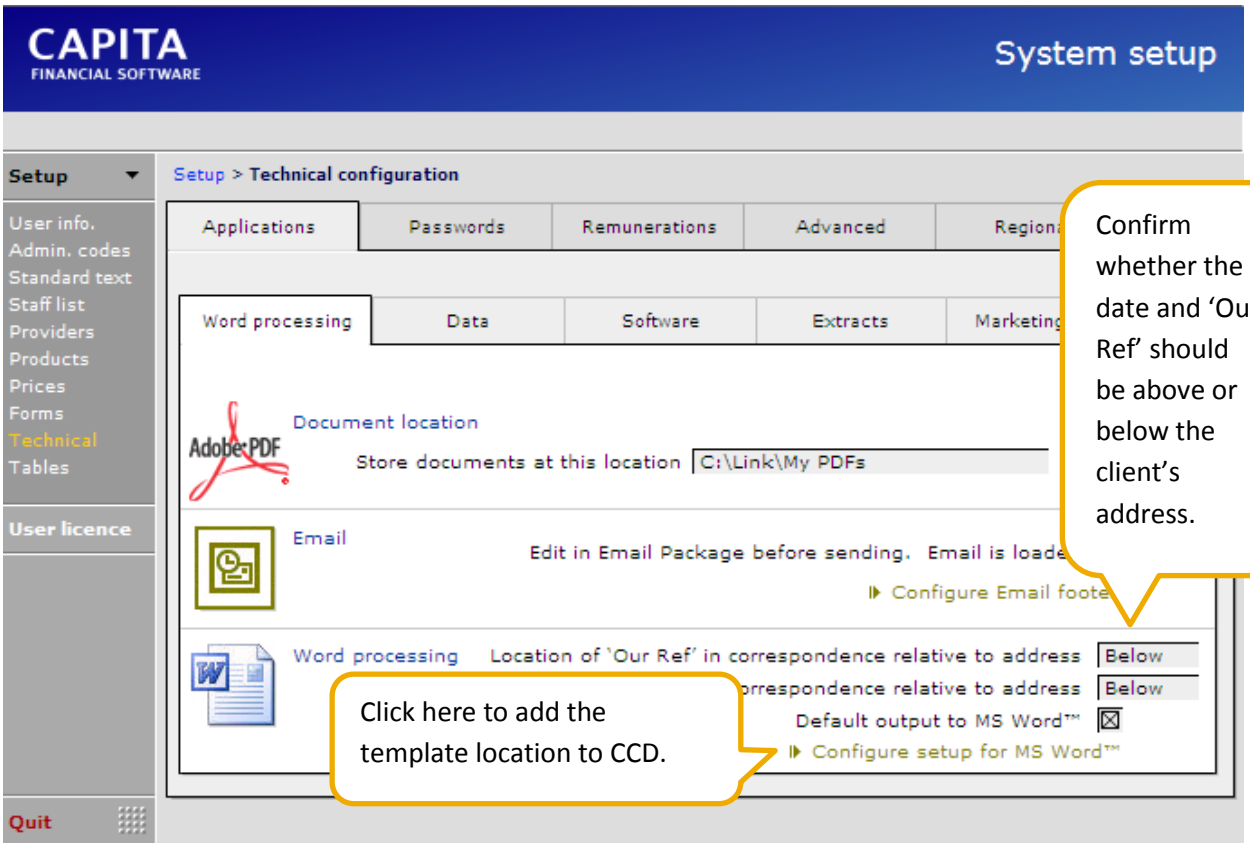

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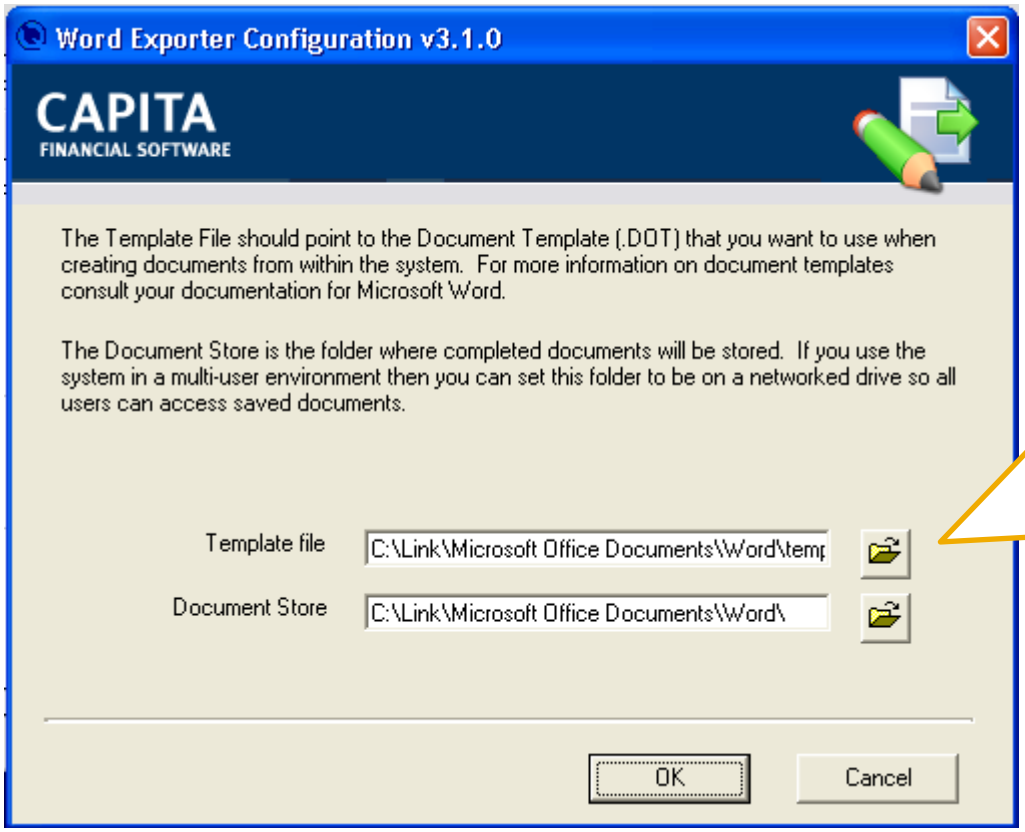

Either type in the full path to where the template has been saved or use the link to browse to where you stored it.

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.

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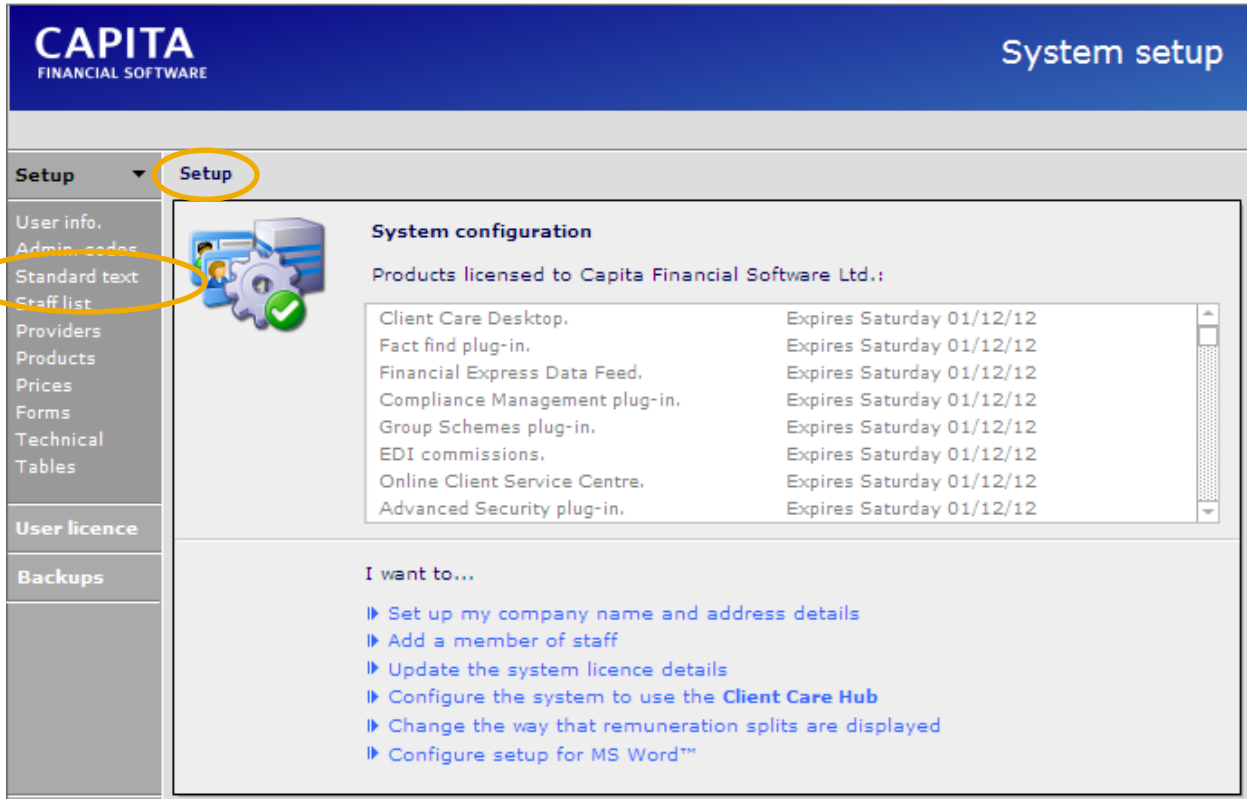

There are 4 ways to add letters to CCD

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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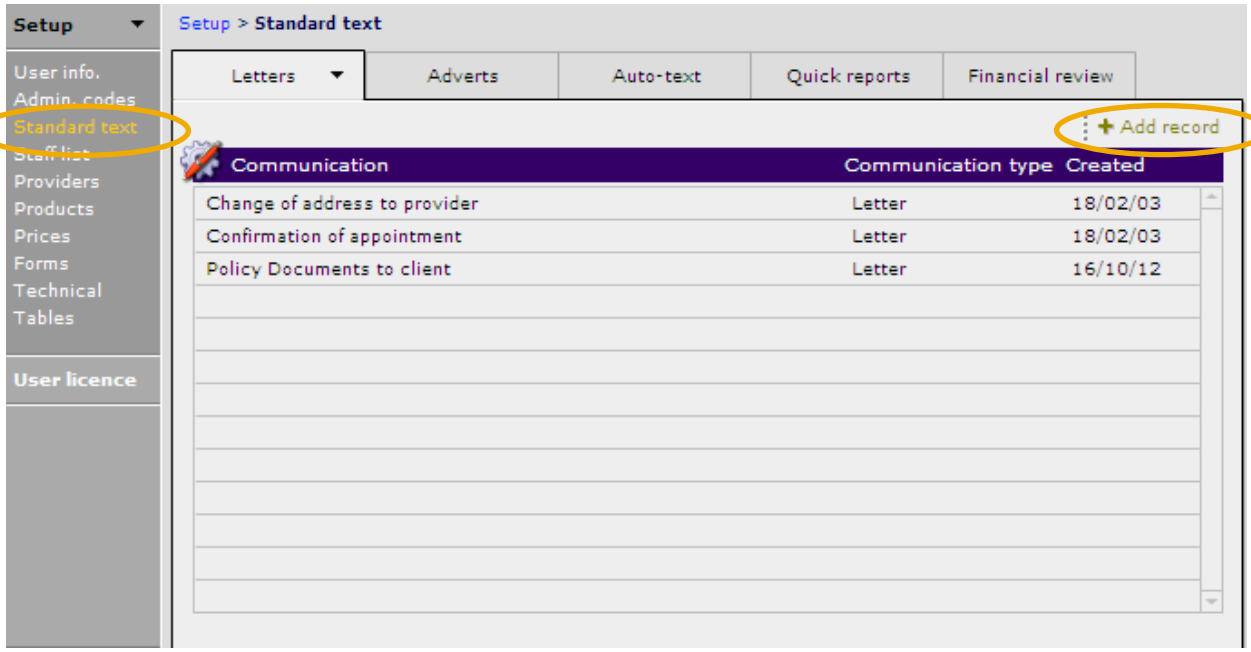

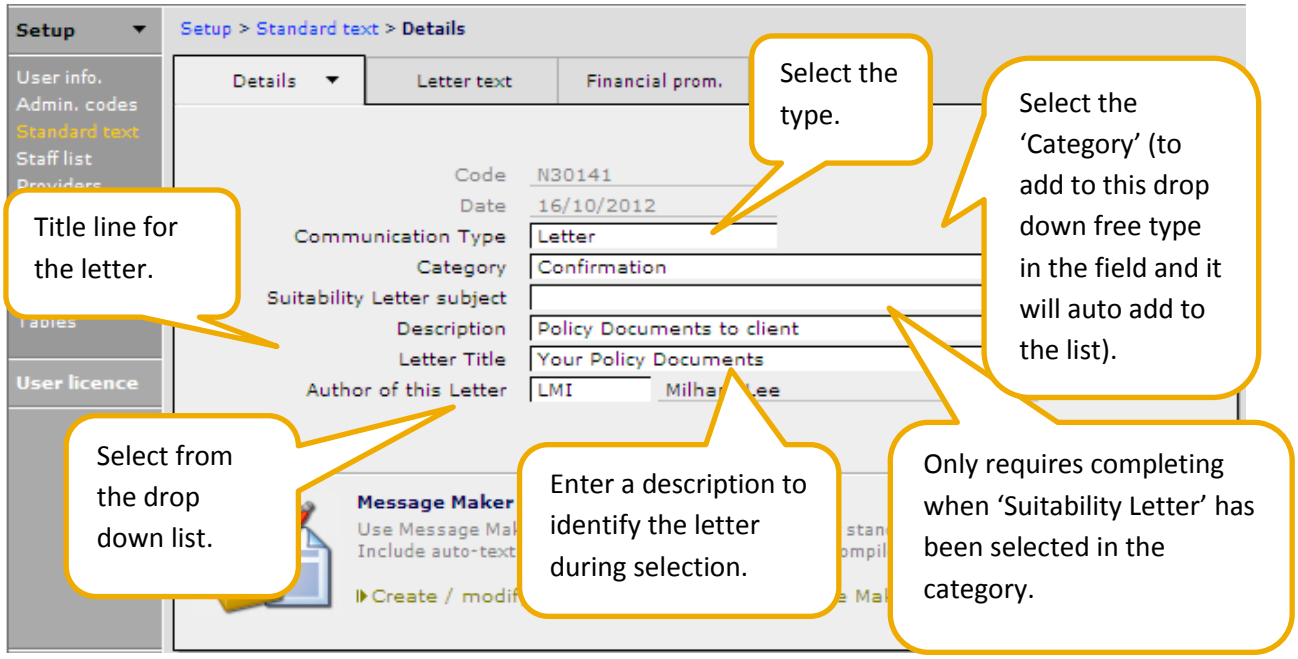

Once all the details have been added go to the letter text tab.

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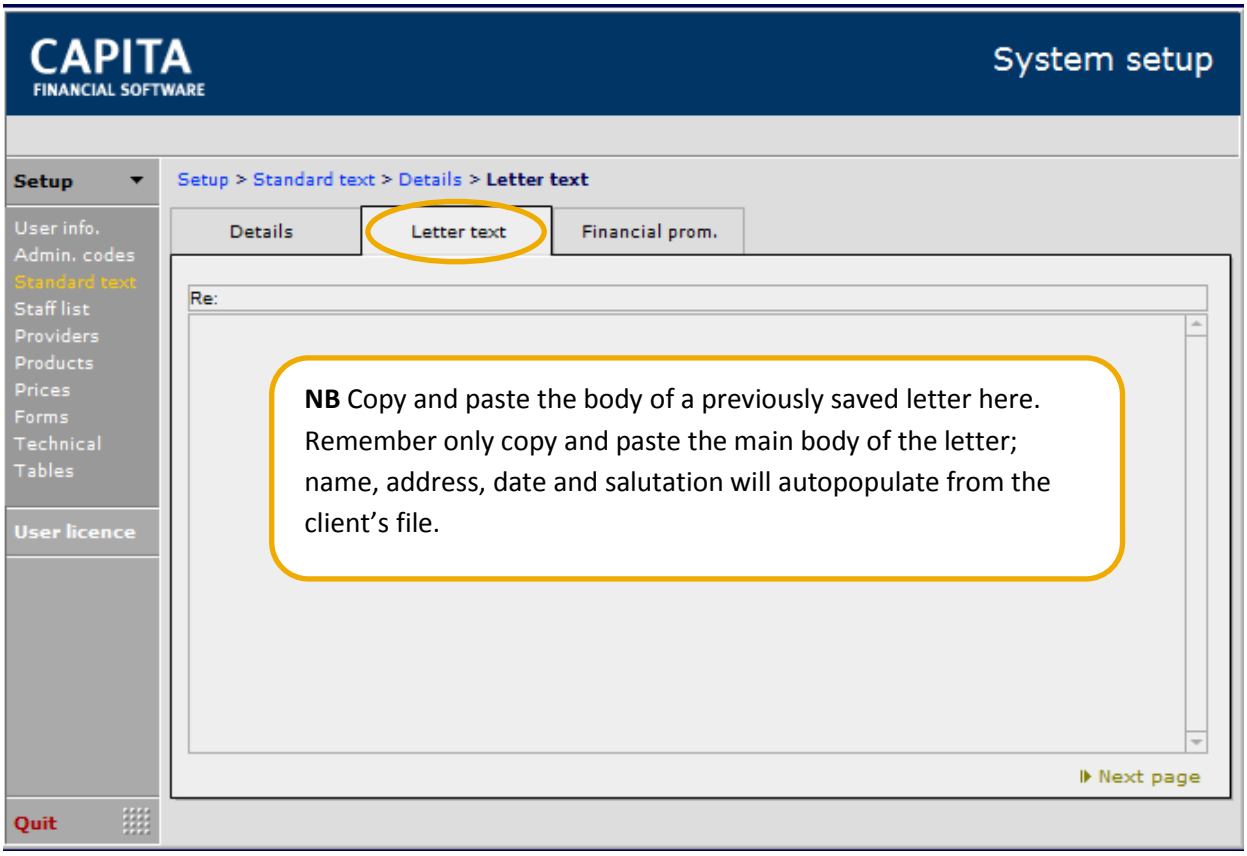

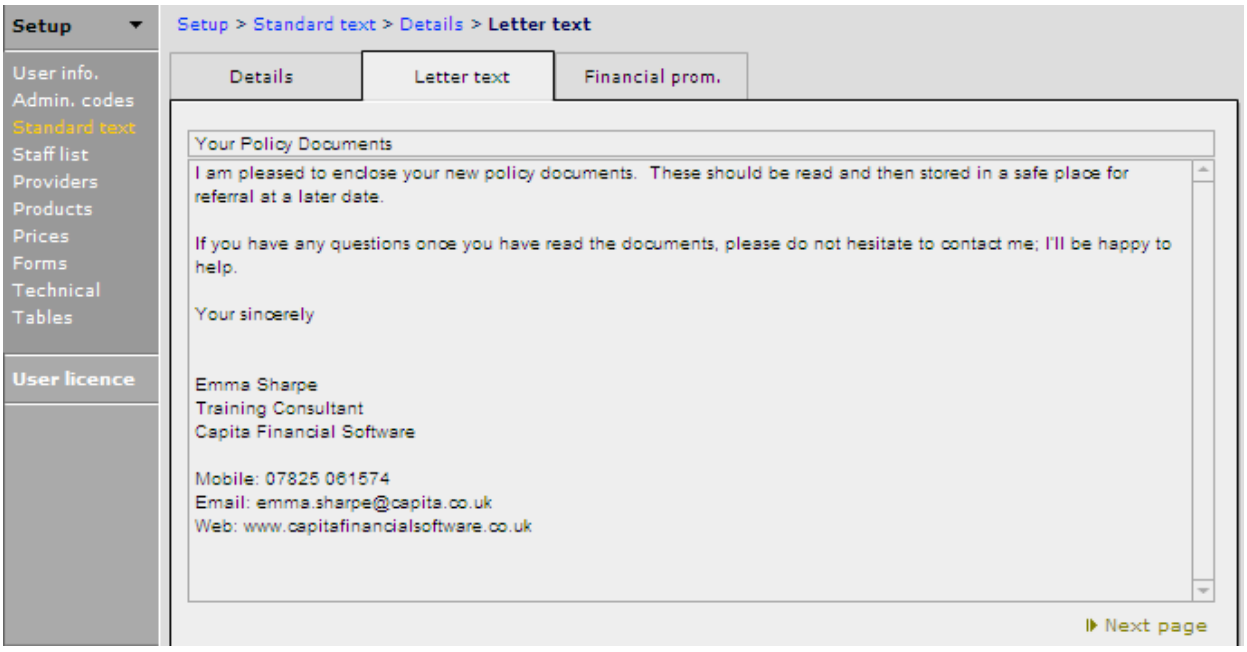

The letter is now available for selection in the clients/holdings module.

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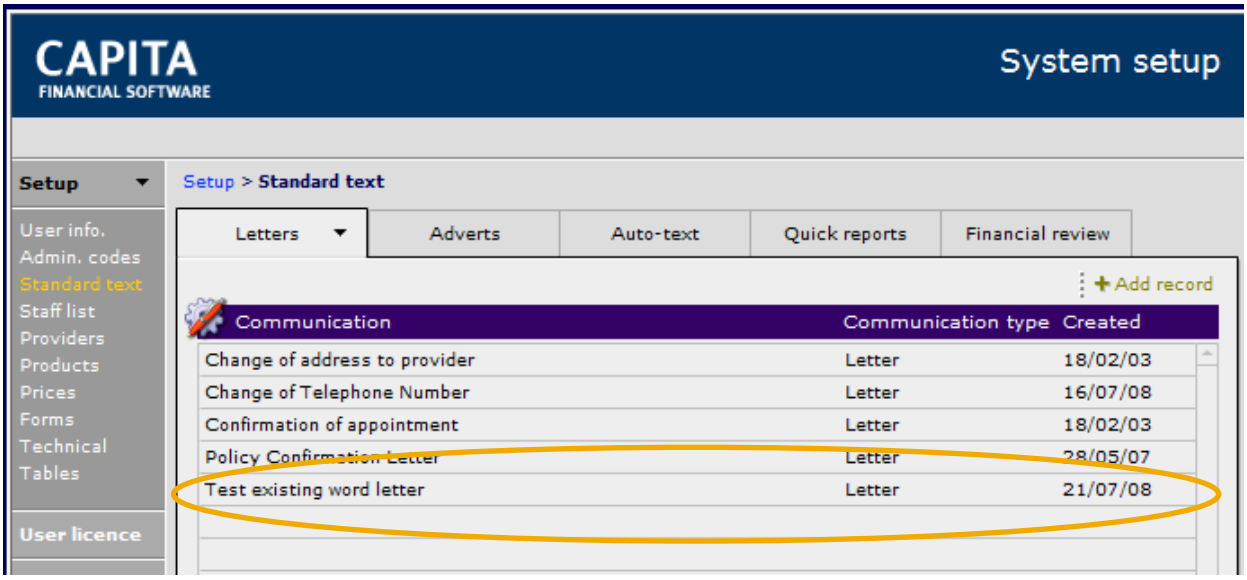
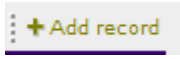
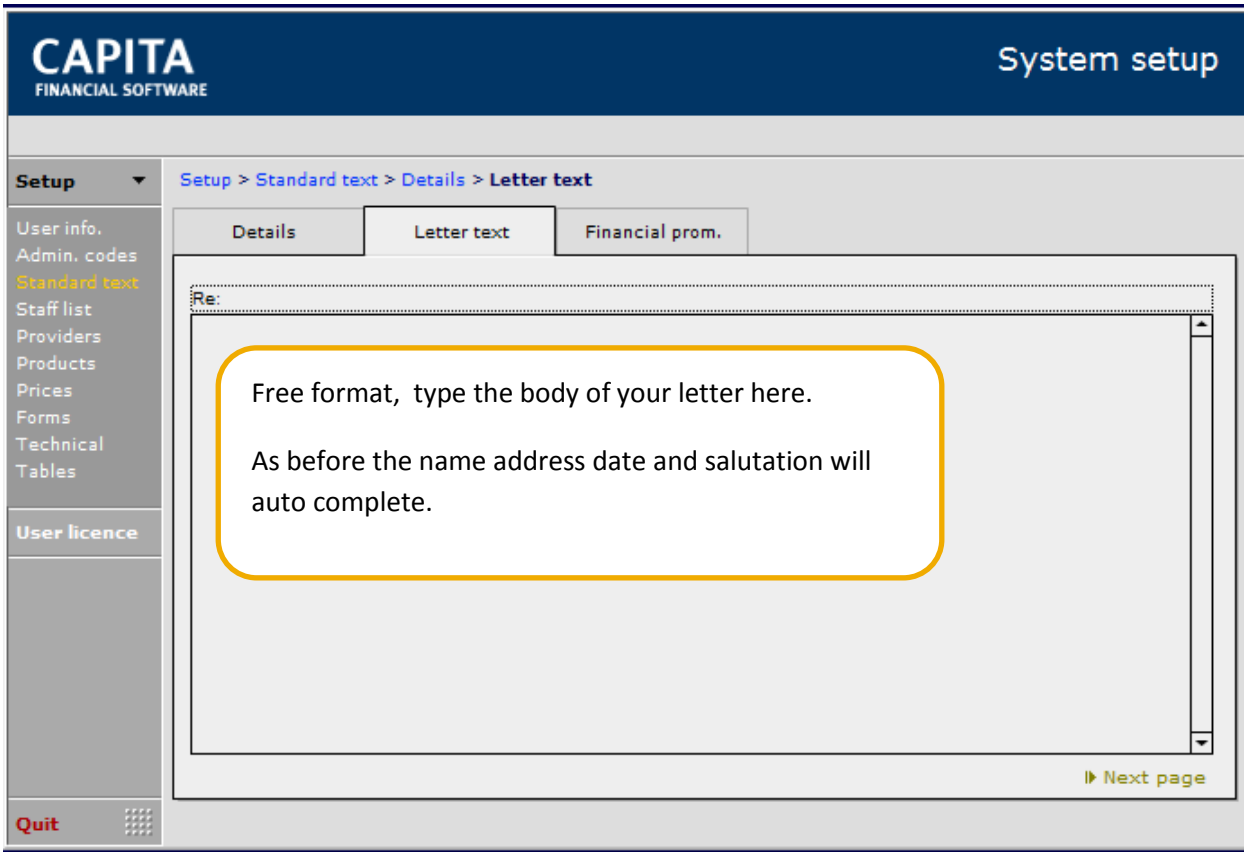


2.2 Type in a New Standard Letter

Click on 

and complete the letter identification fields as above.



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

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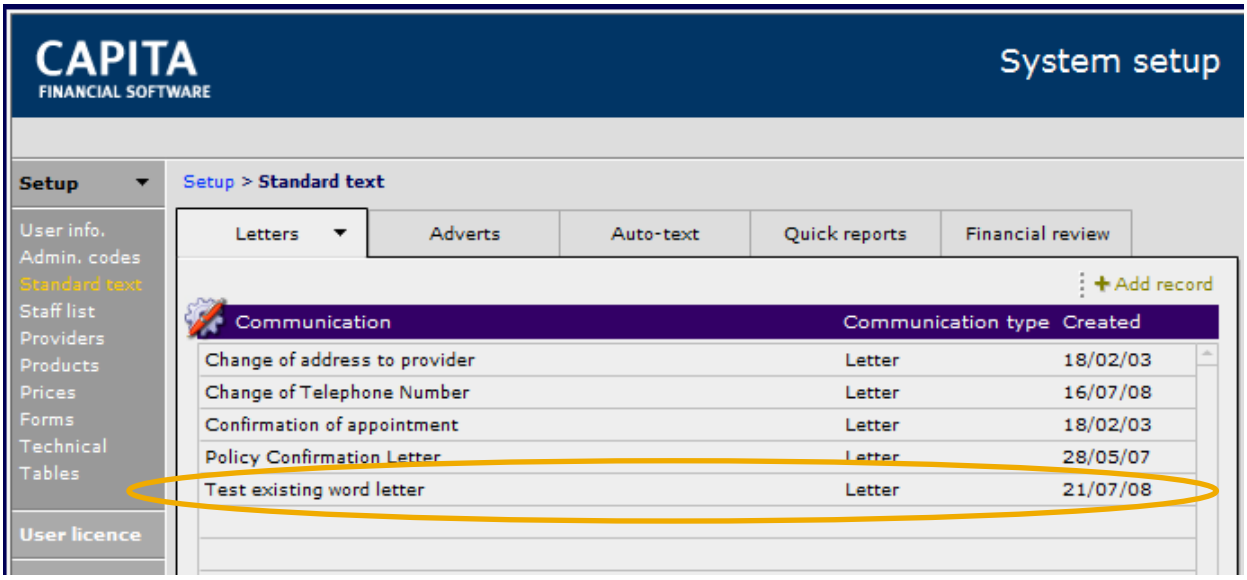
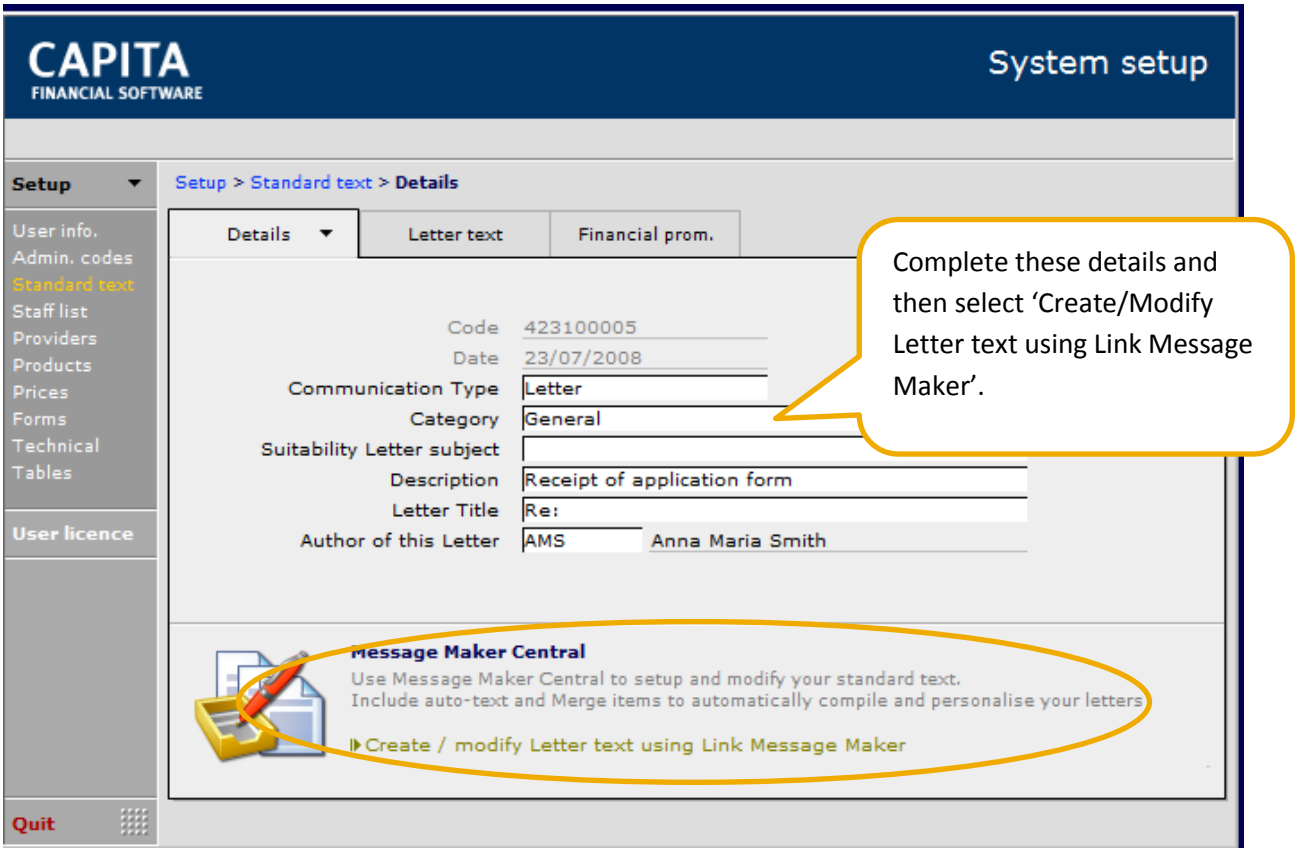


2.3 Using Message Maker to Set Up Standard Letters

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.



This will take you to the message maker screens.

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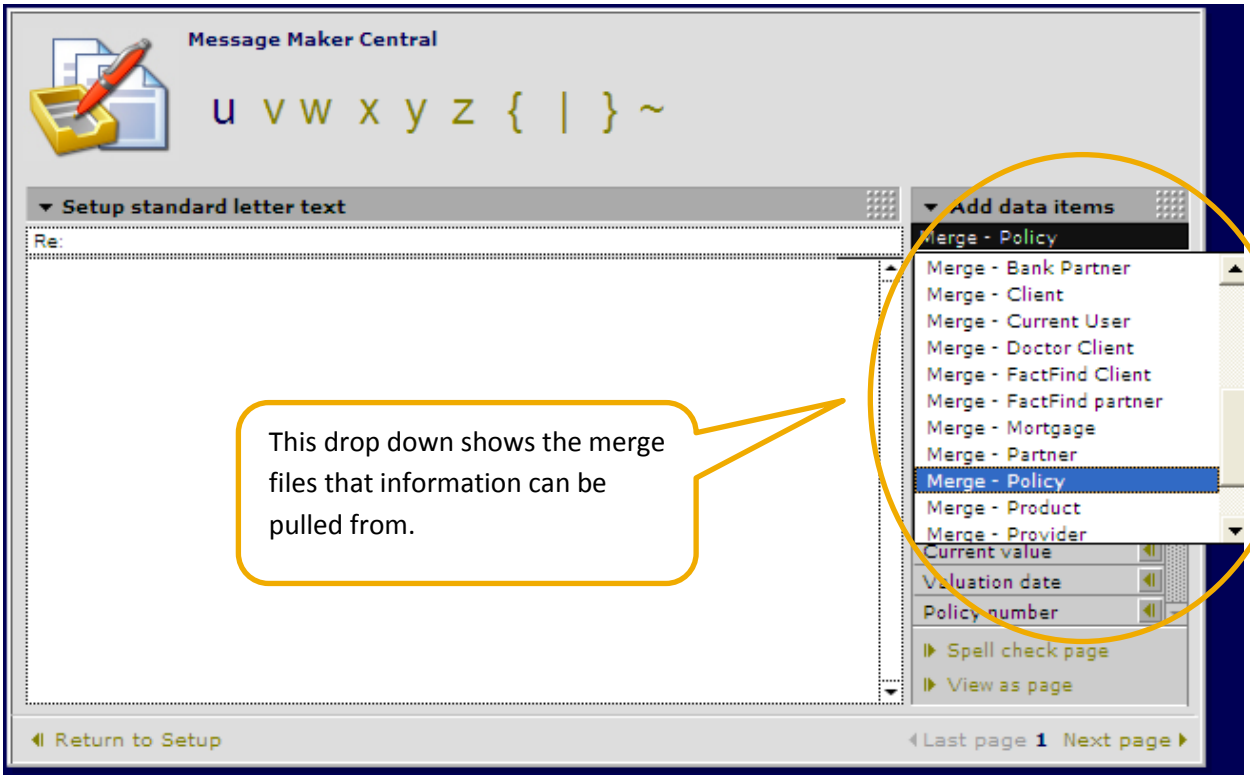

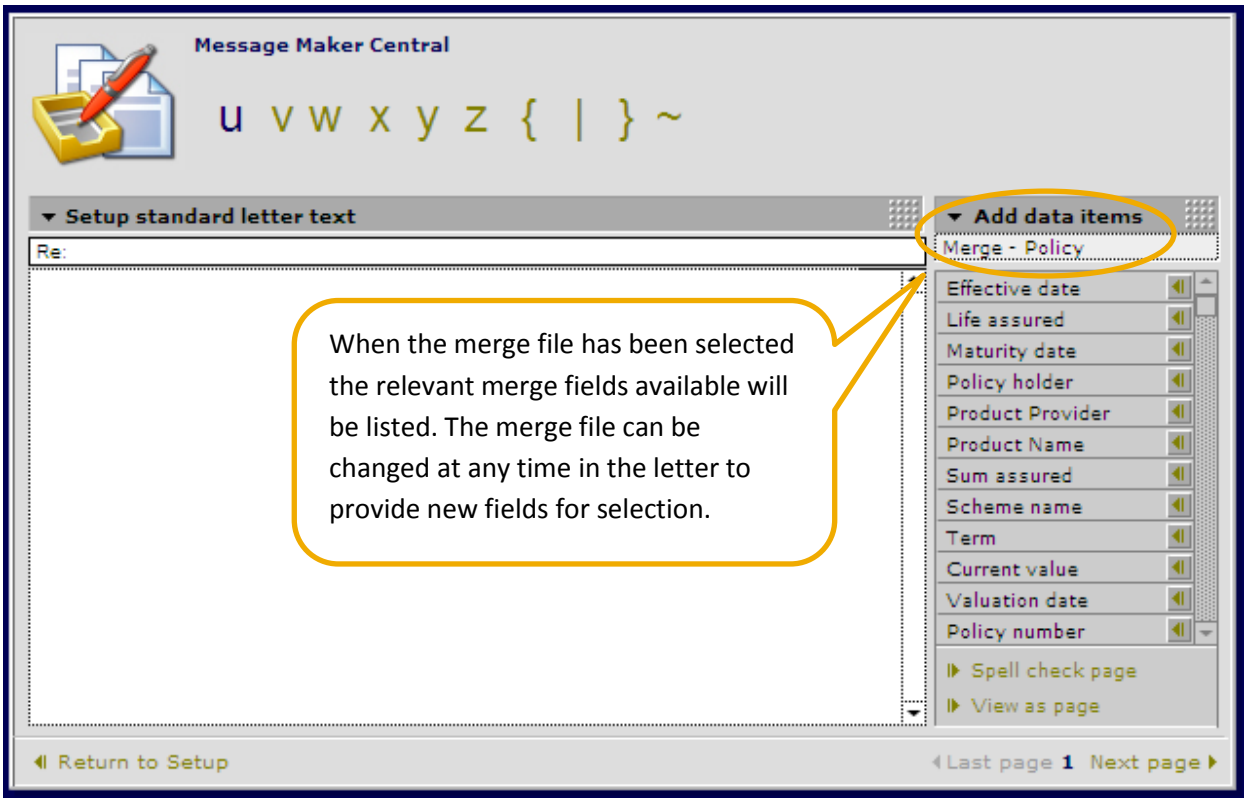

Draft a copy of the letter that you want to save with merge fields so that you can decide which fields and where they are required. This is a letter to confirm to the customer that you have received their application form for a mortgage.

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.

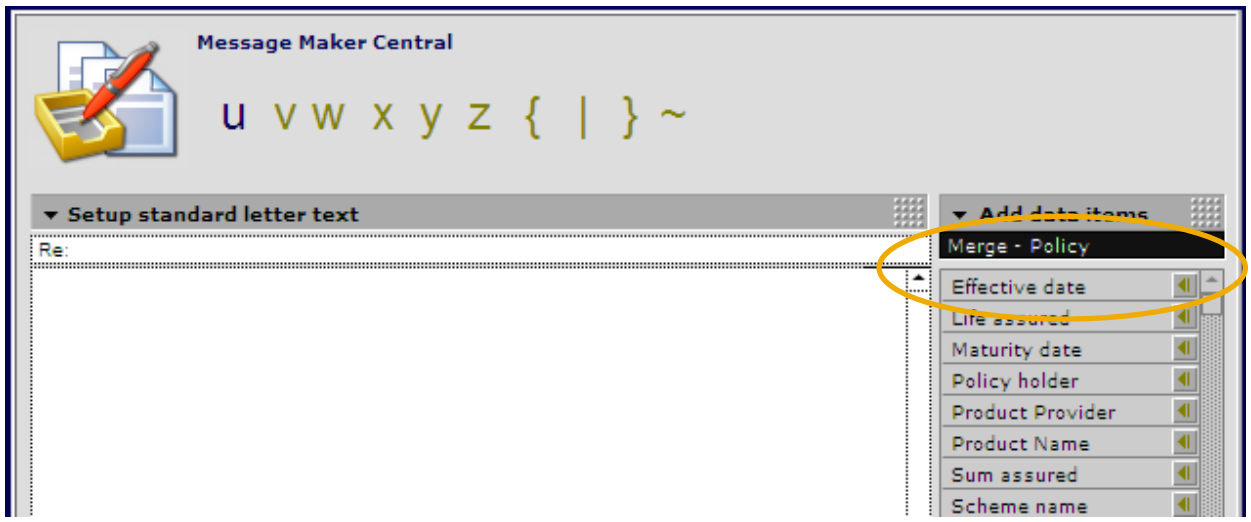
I have forwarded this to *"provider name"* and will update you with the progress of this application.

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'.

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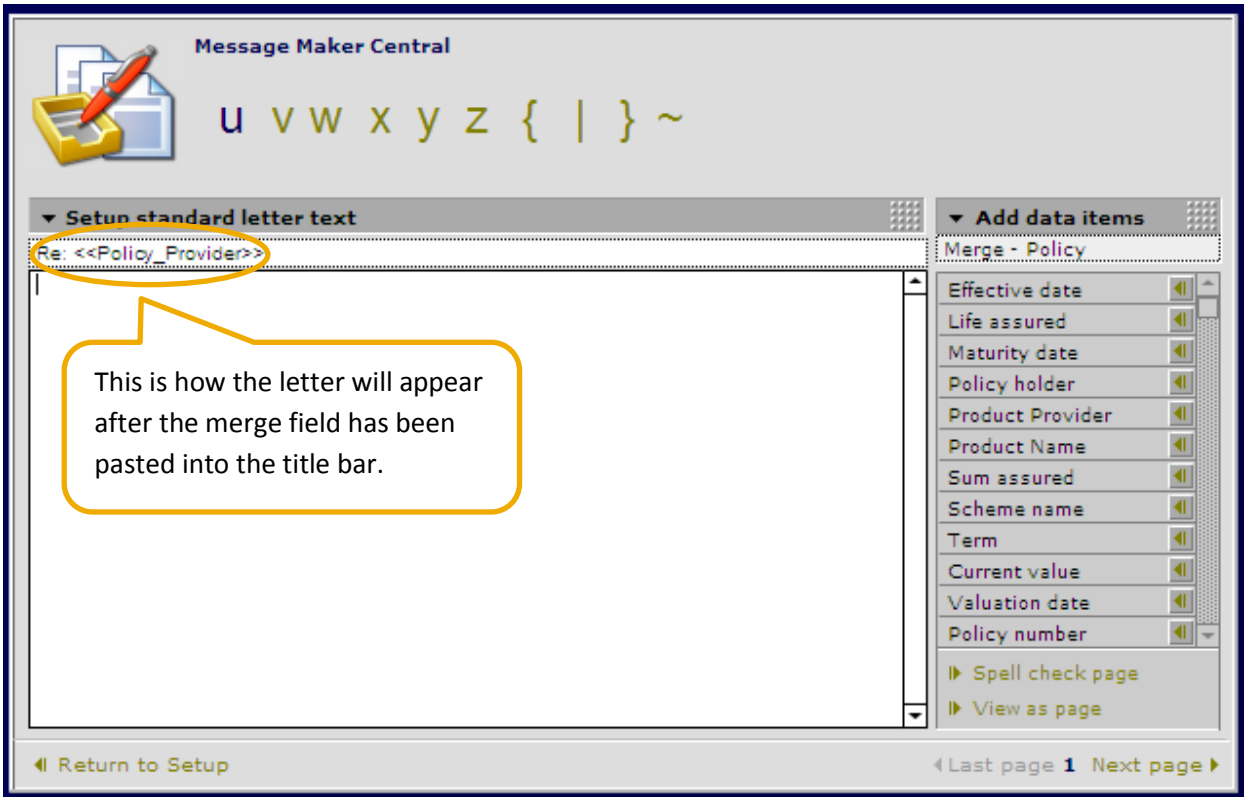
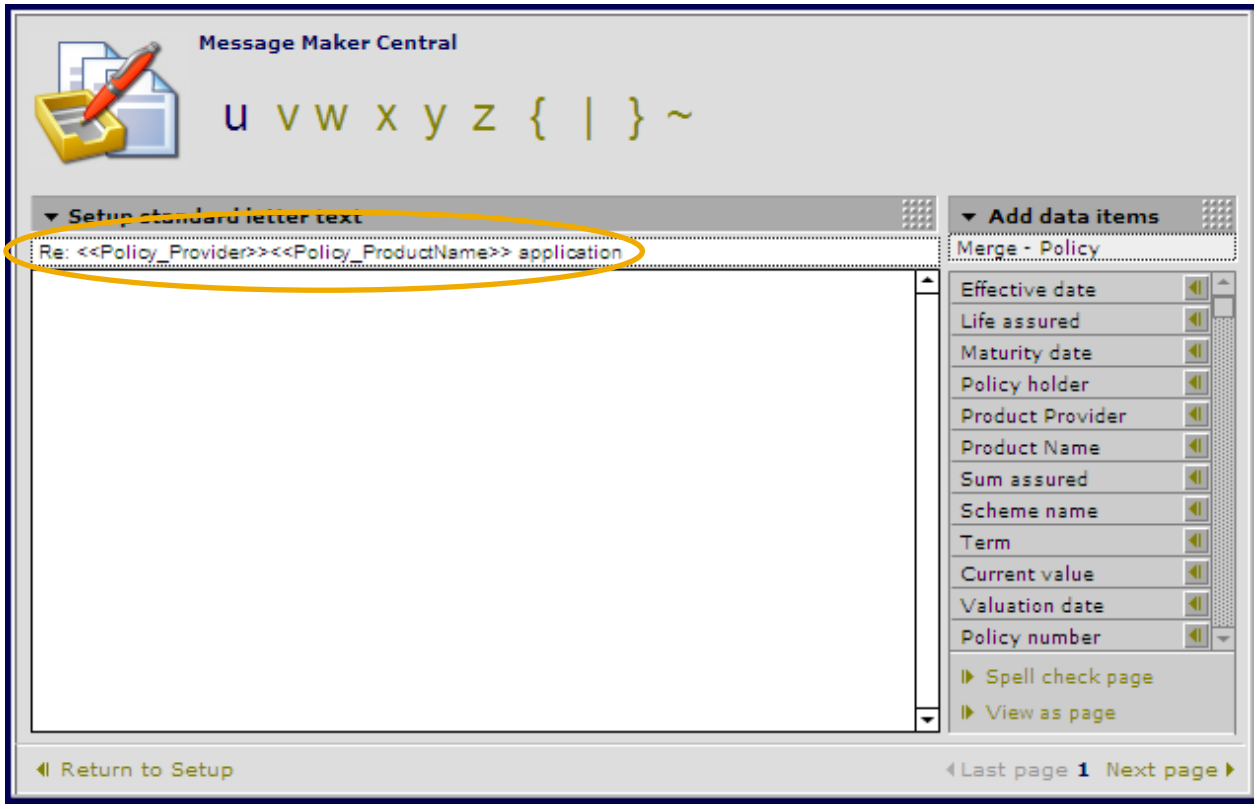


We now require the product name so repeat this process and then manually type 'application' after the 2nd merge field has been added.



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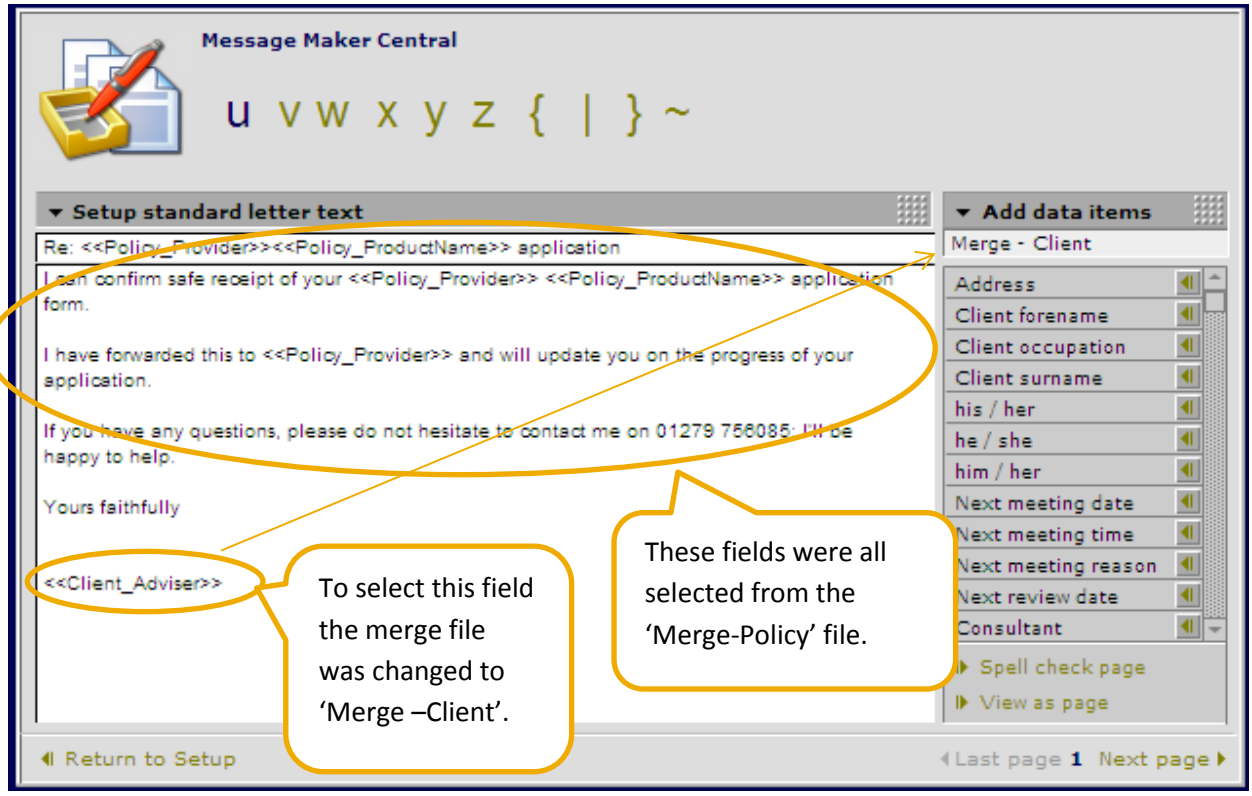
Now we have completed the title line, the body of the letter can be typed in. Remember there is no need to type or leave space for the name, address, date and salutation, CCD will insert this information automatically.

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.

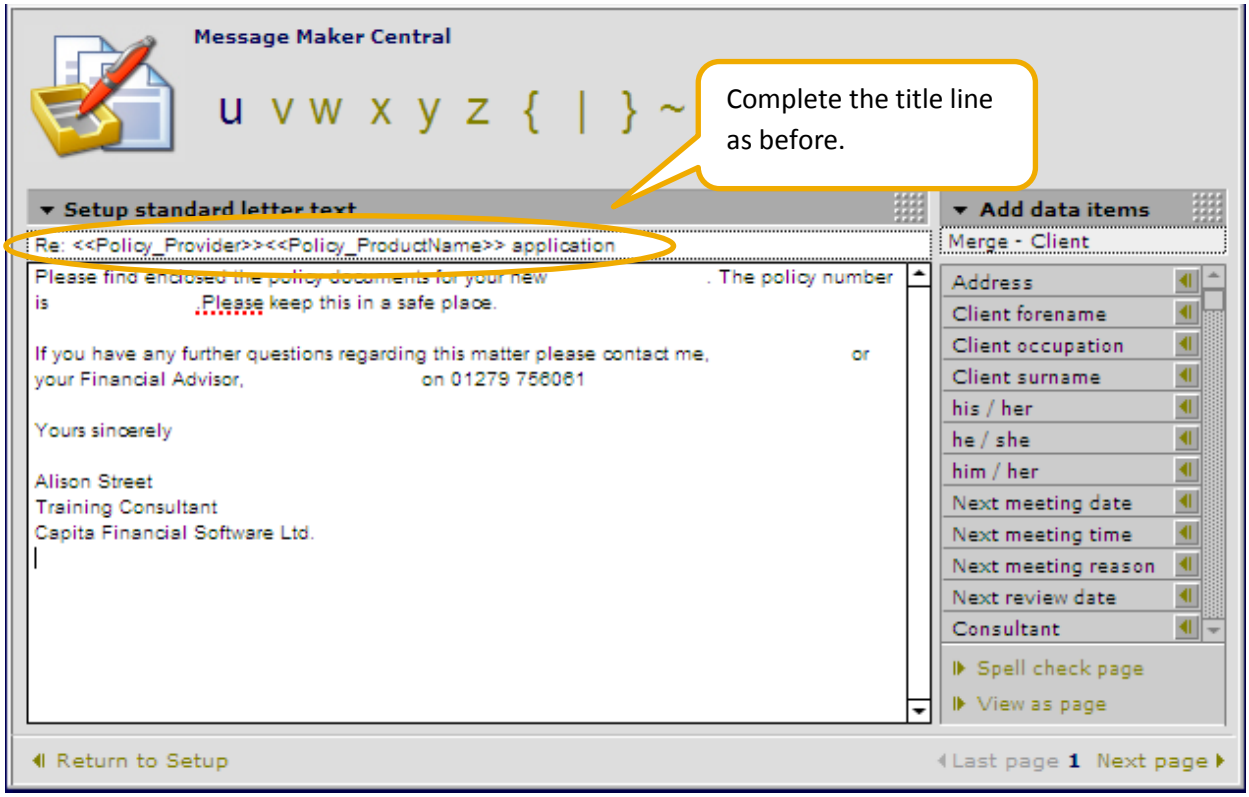
2.4 Copying In and Updating Using Message Maker

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.

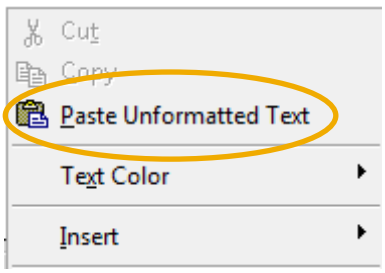
Firstly, set up a standard letter and use the following button;
Create / modify Letter text using Link Message Maker. Now copy your letter in.

"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



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.



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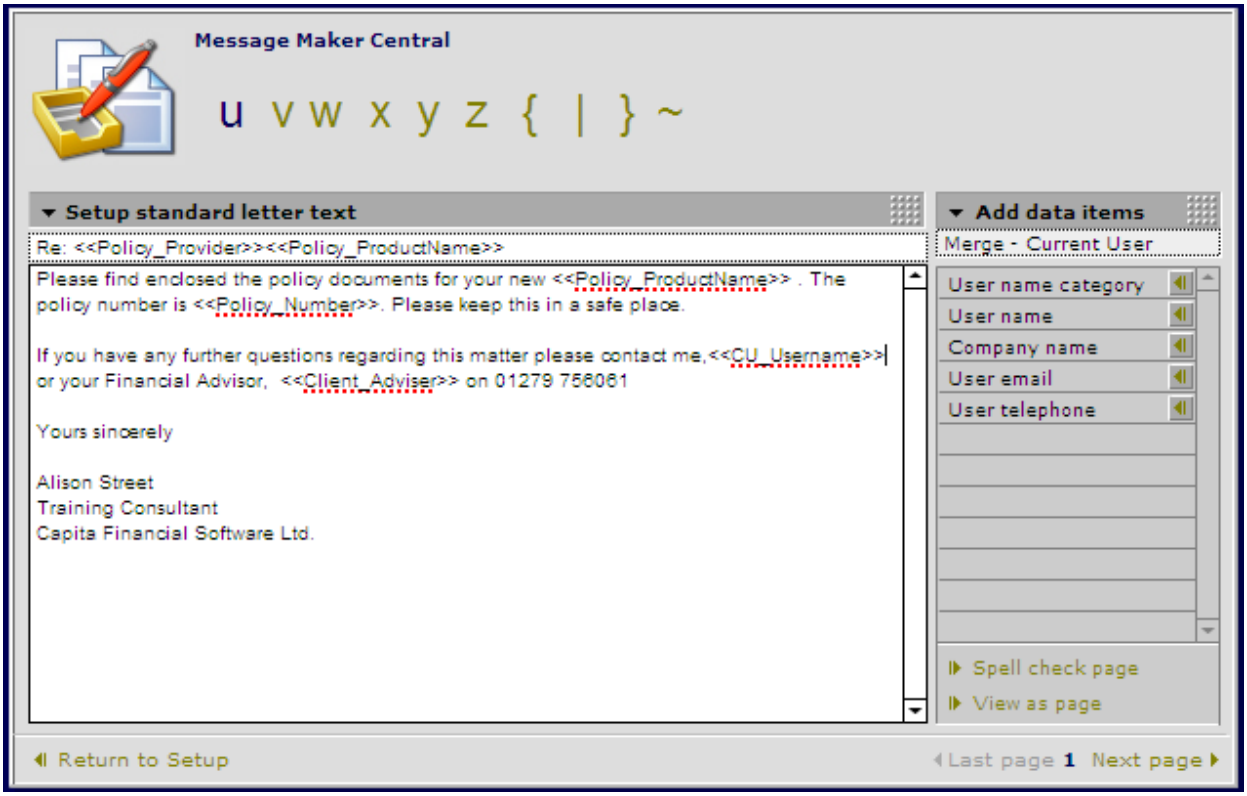

3 Auto - Text

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'.

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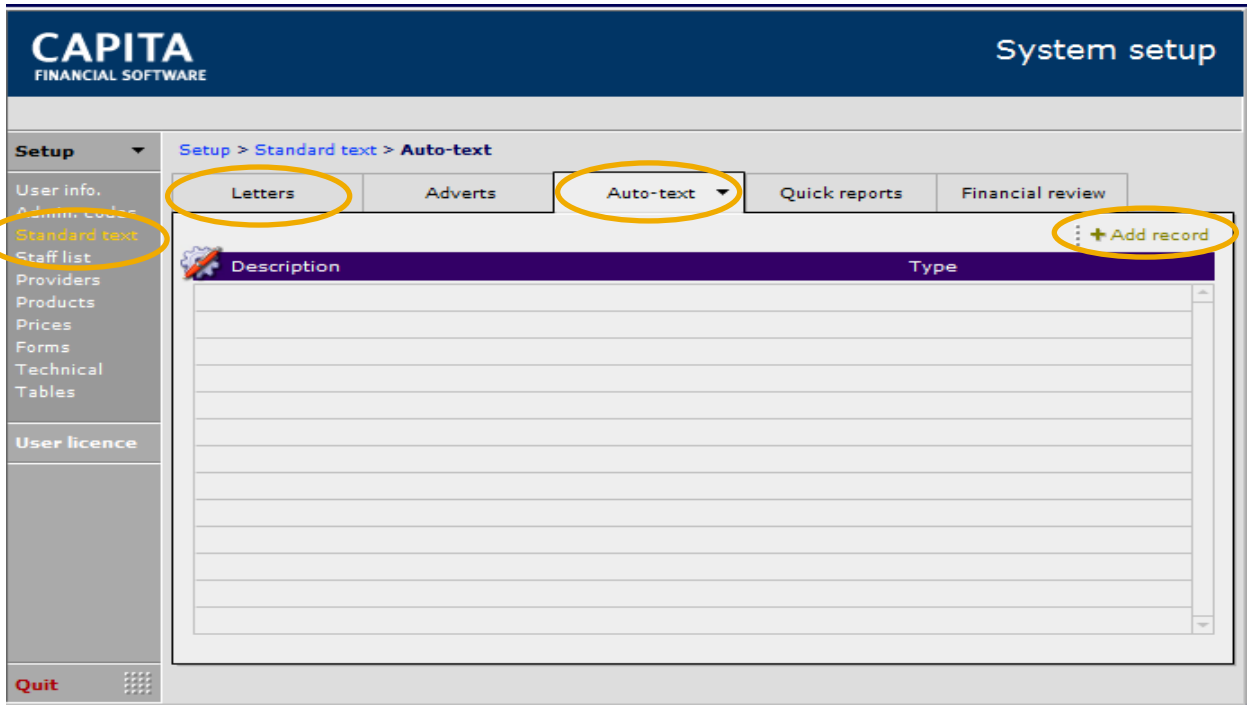

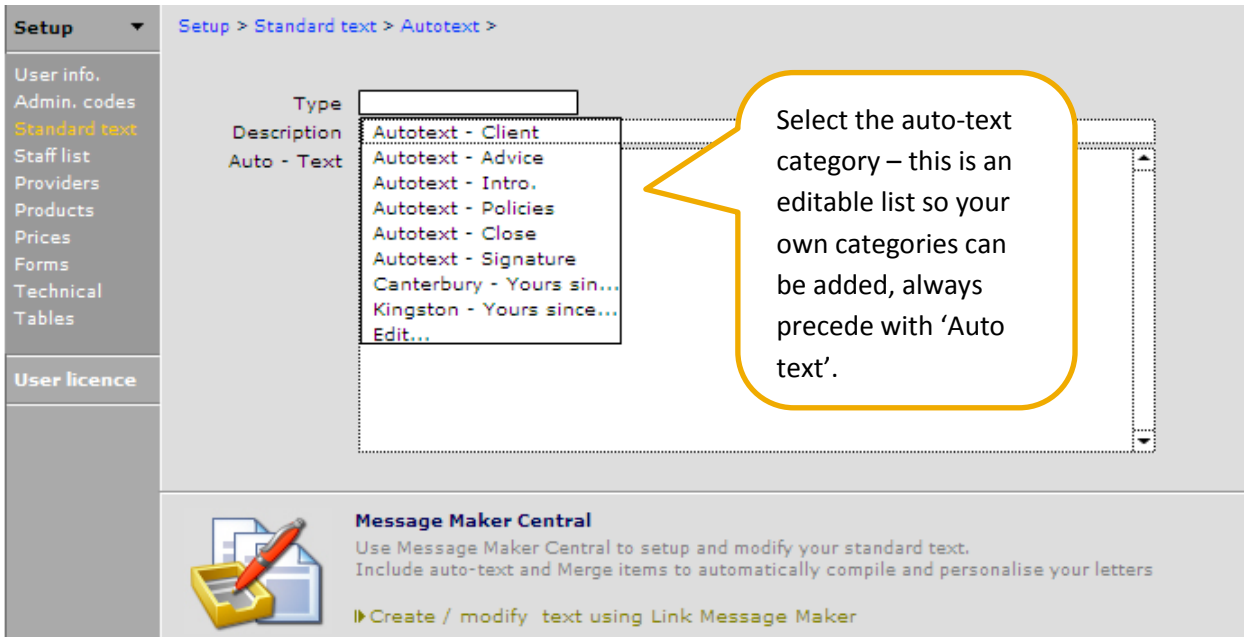

As with letters there are two methods of creating auto-text; copy and paste or free type into the main Auto-text box or use the Create / modify text using Link Message Maker link to add merge fields to a standard paragraph or sentence.

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

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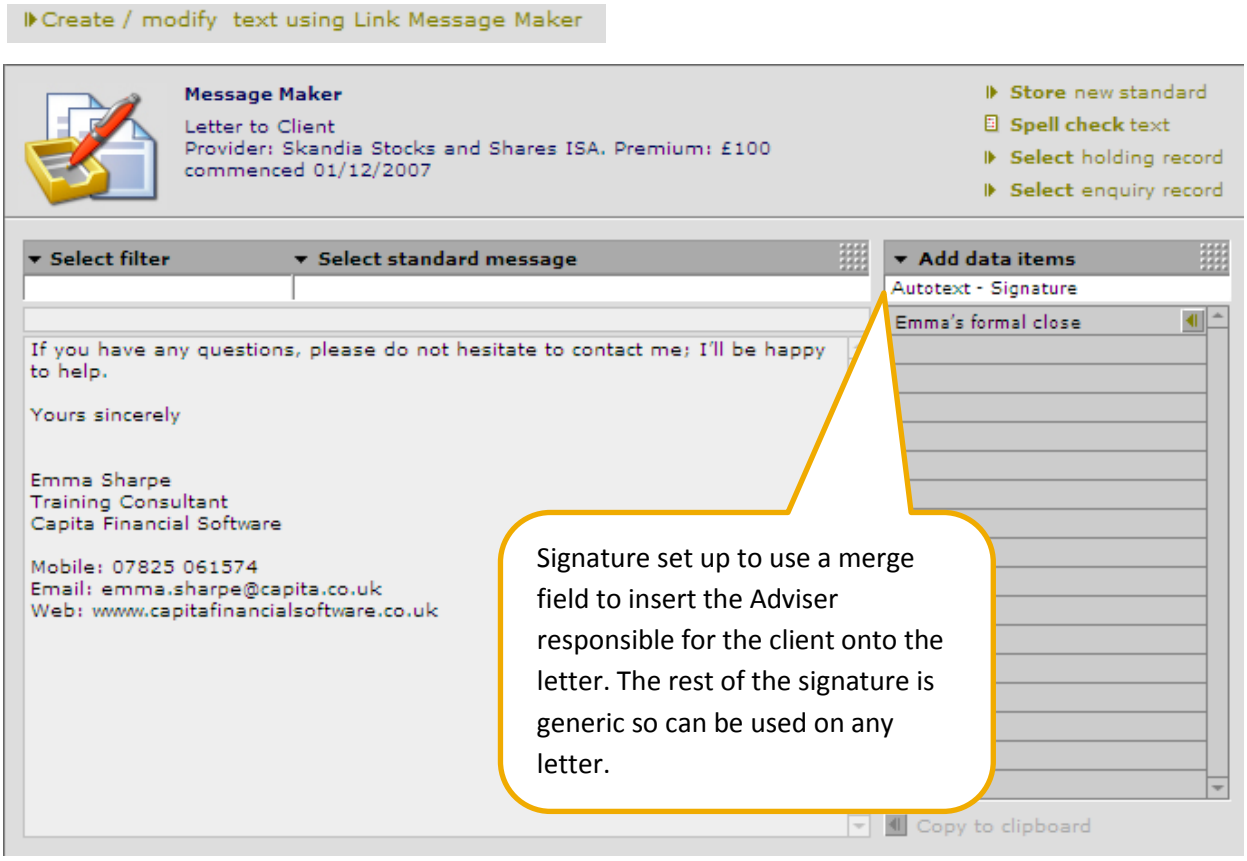
3.1 Copy and Paste or Free Format Type



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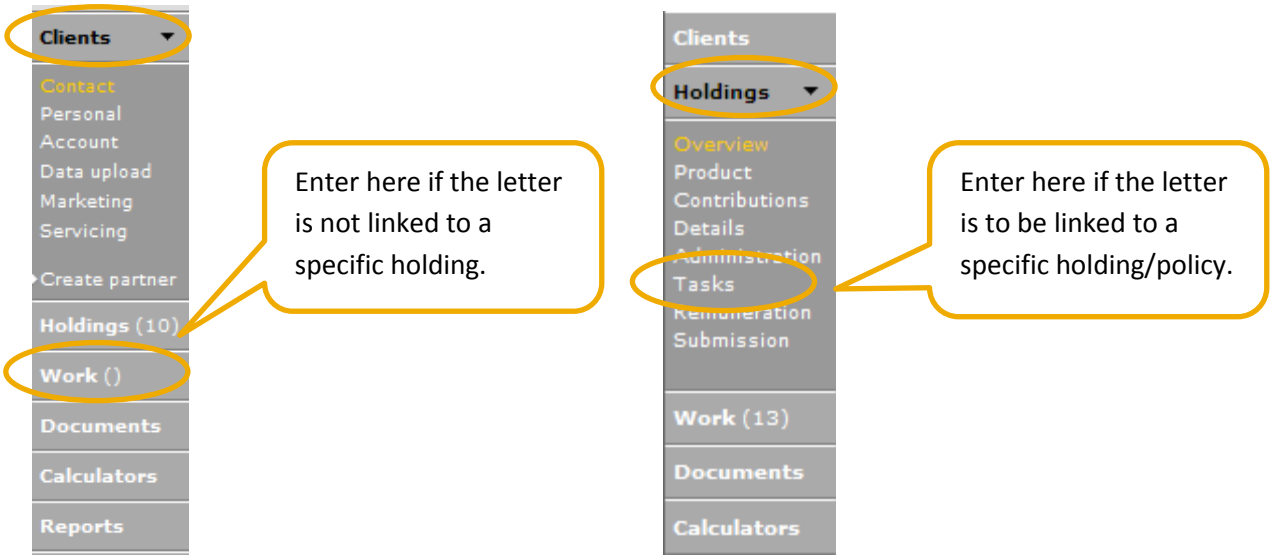
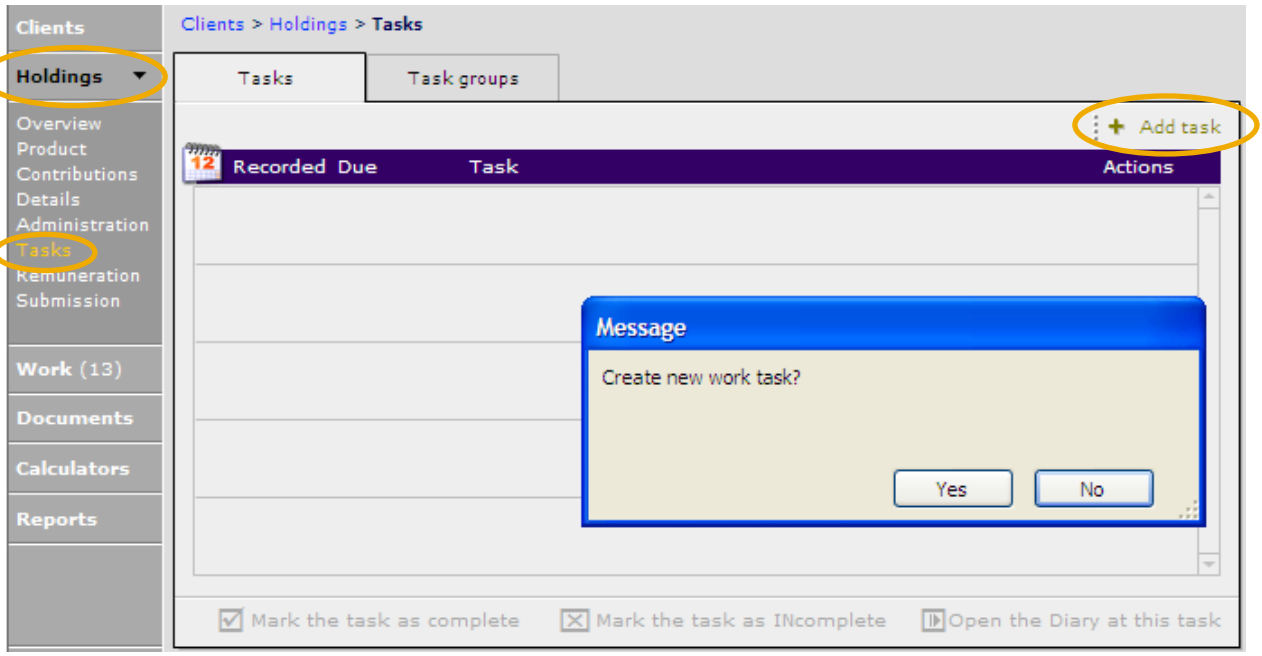
4 Producing and Viewing Your Letters via Work and Tasks

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.

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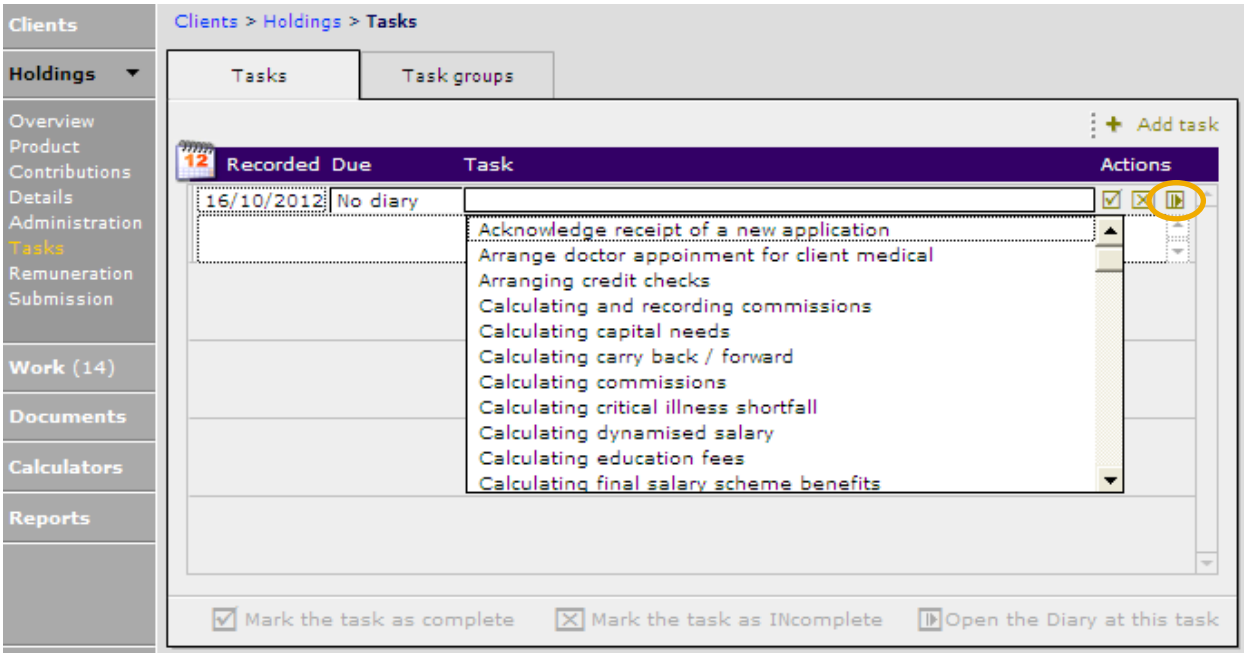
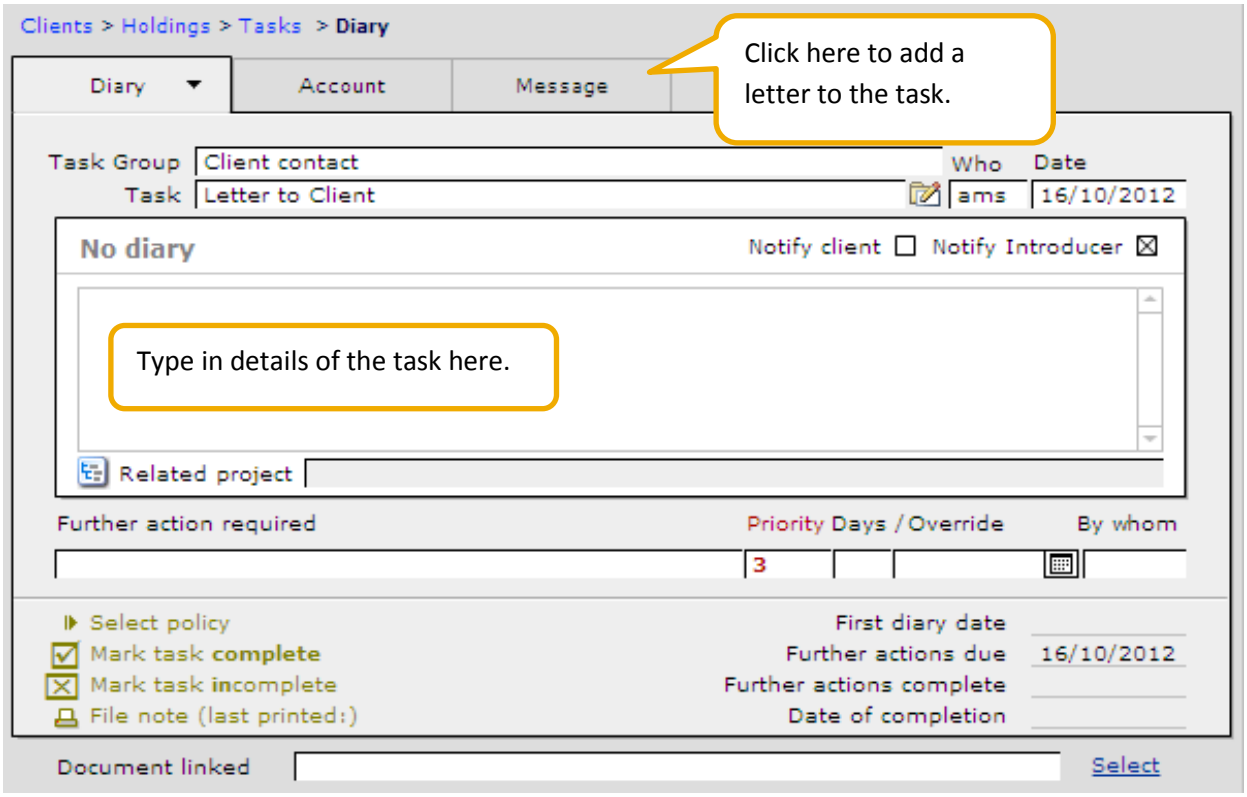


To produce any type of correspondence relating to this task enter the Message tab:



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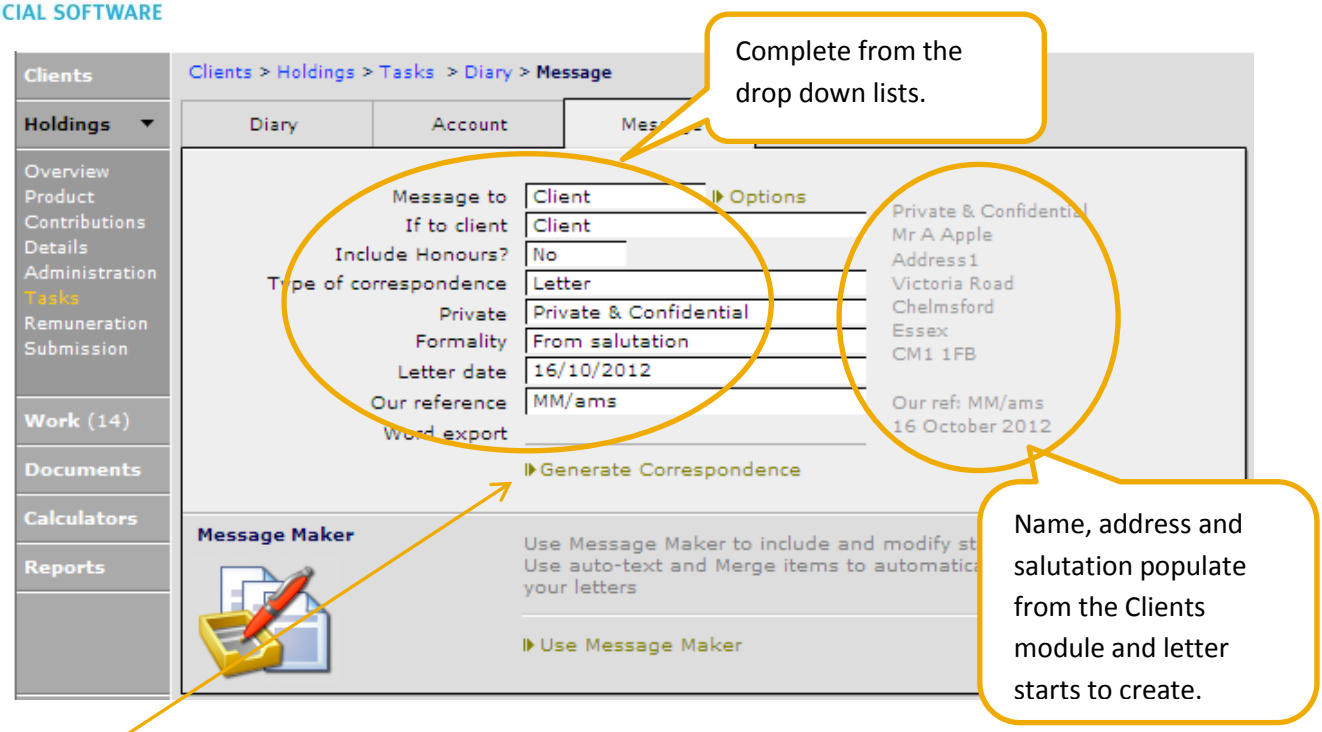

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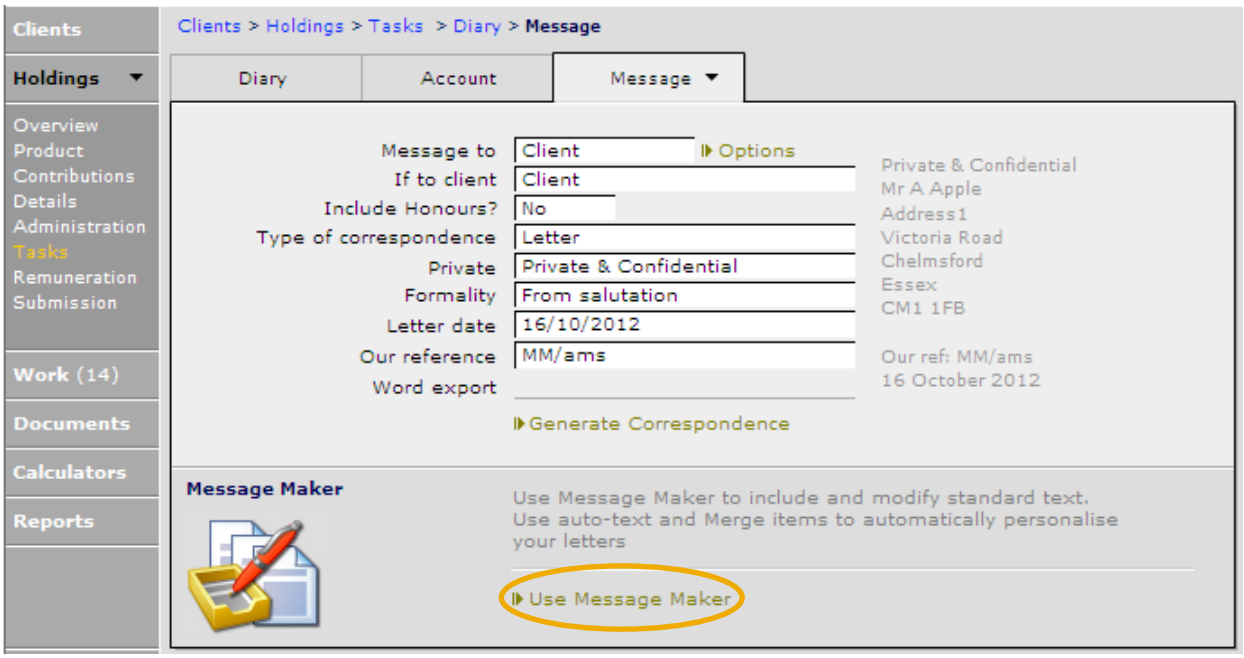

By selecting the Select filter you can search the folders that your letters are saved in.

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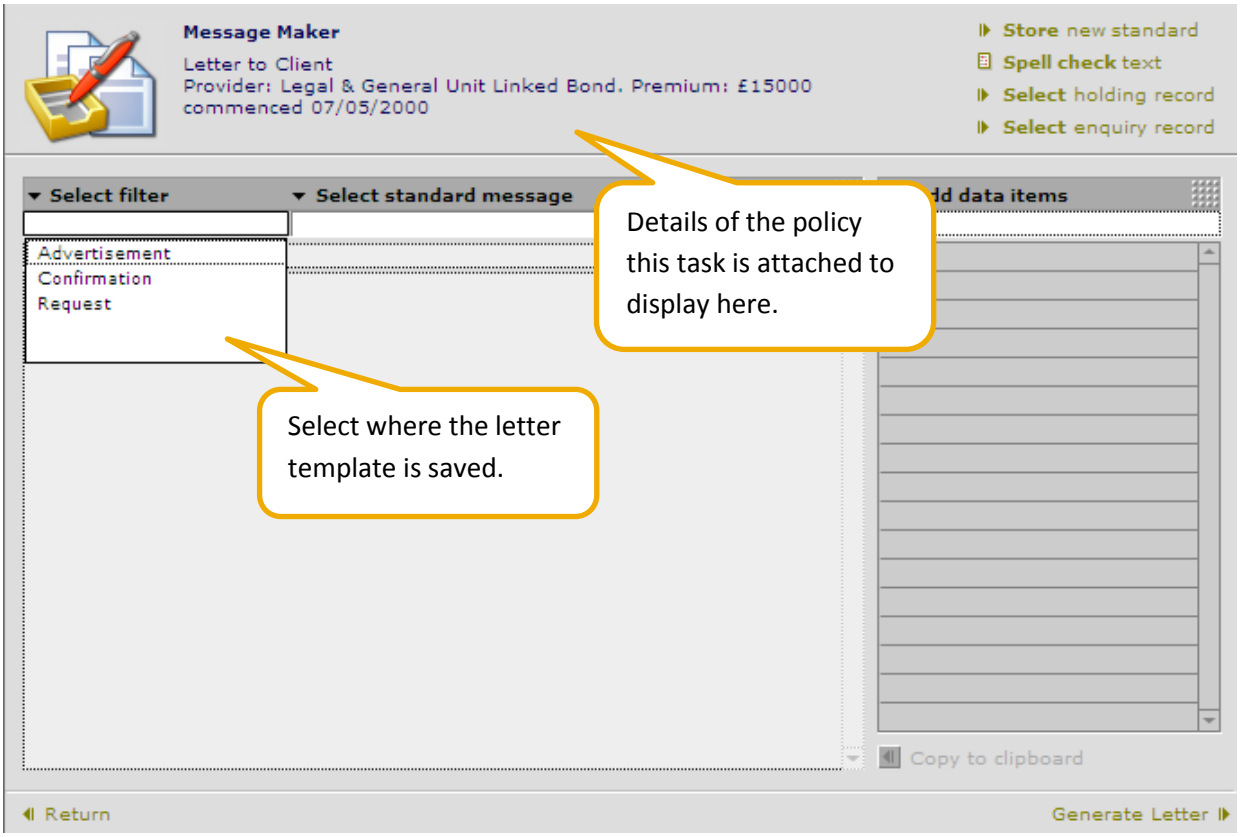
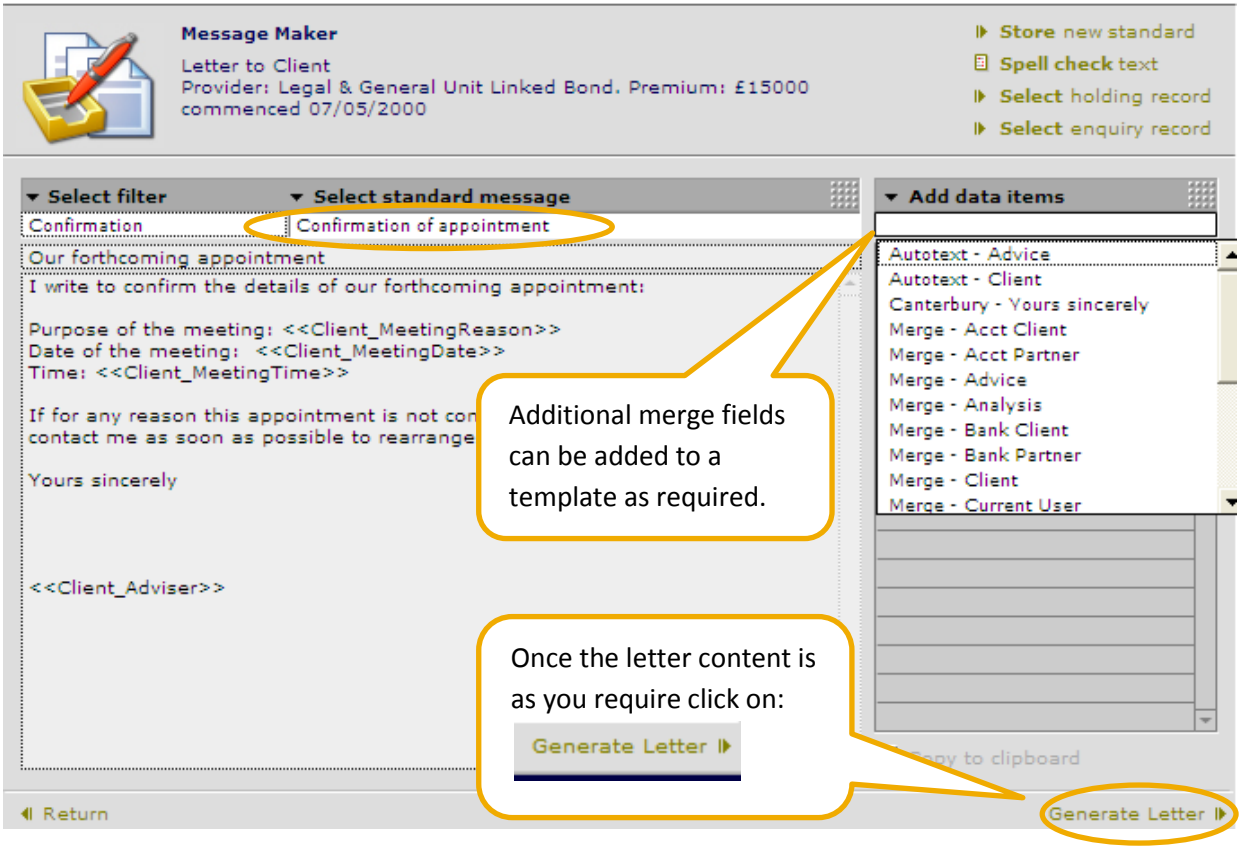


Now select the letter that you want to use.



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

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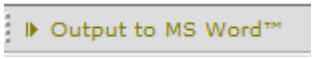
This is done by clicking on 

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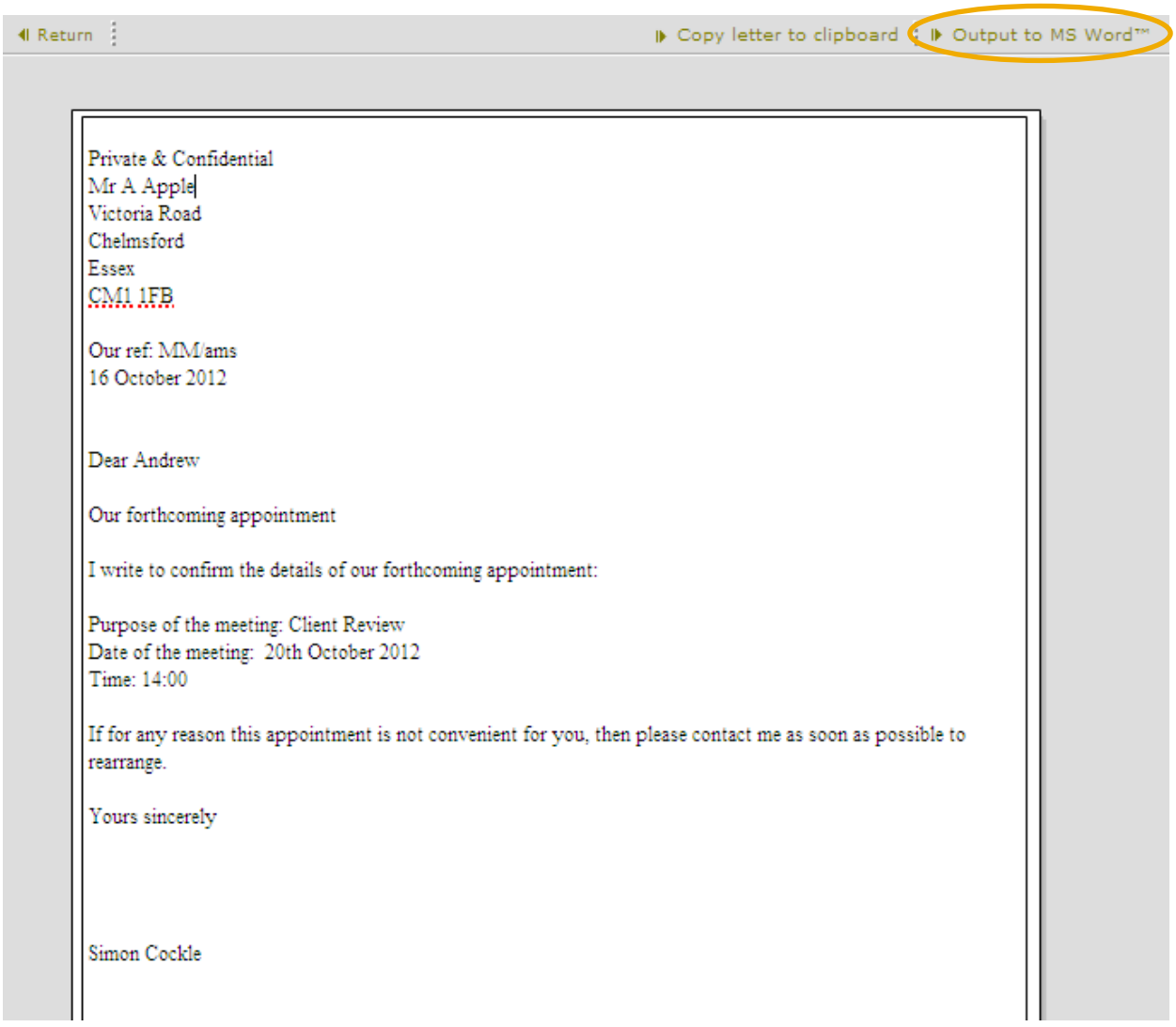

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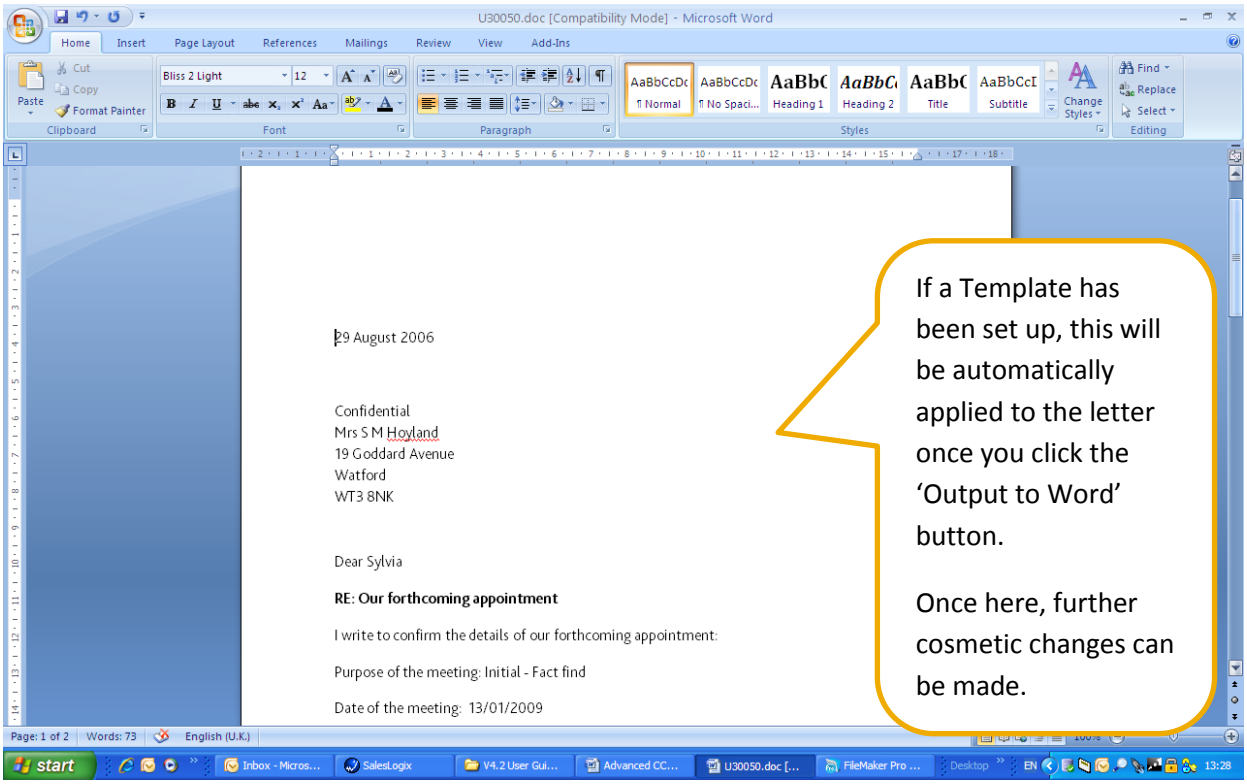

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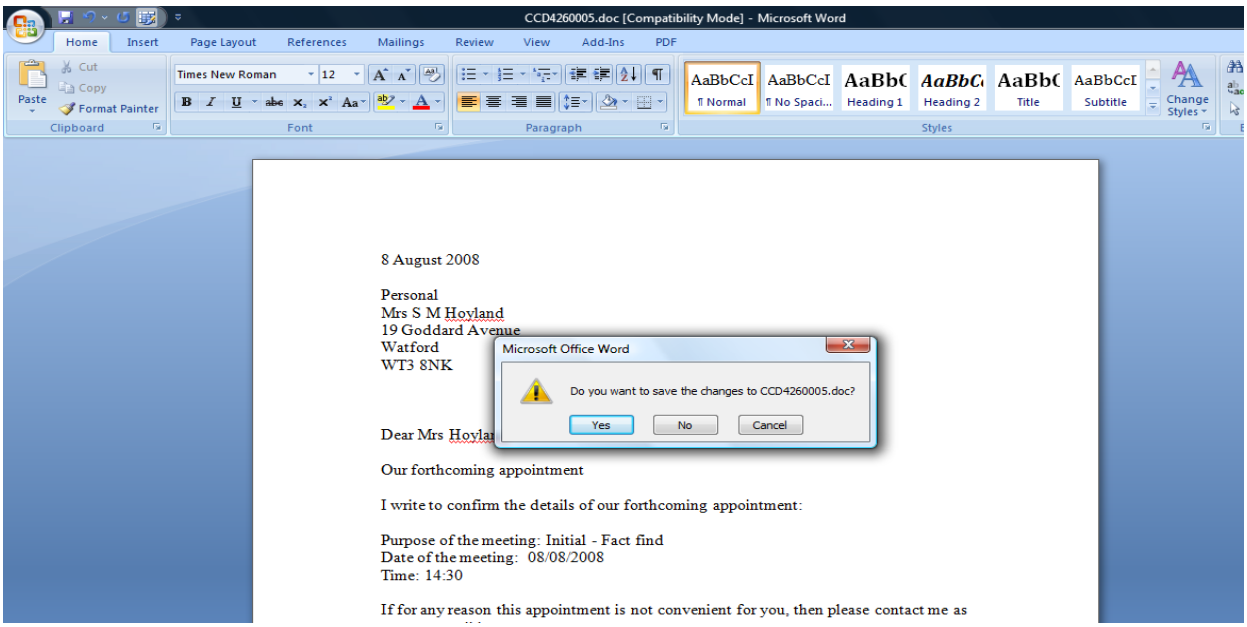

4.2 Viewing letters via Tasks

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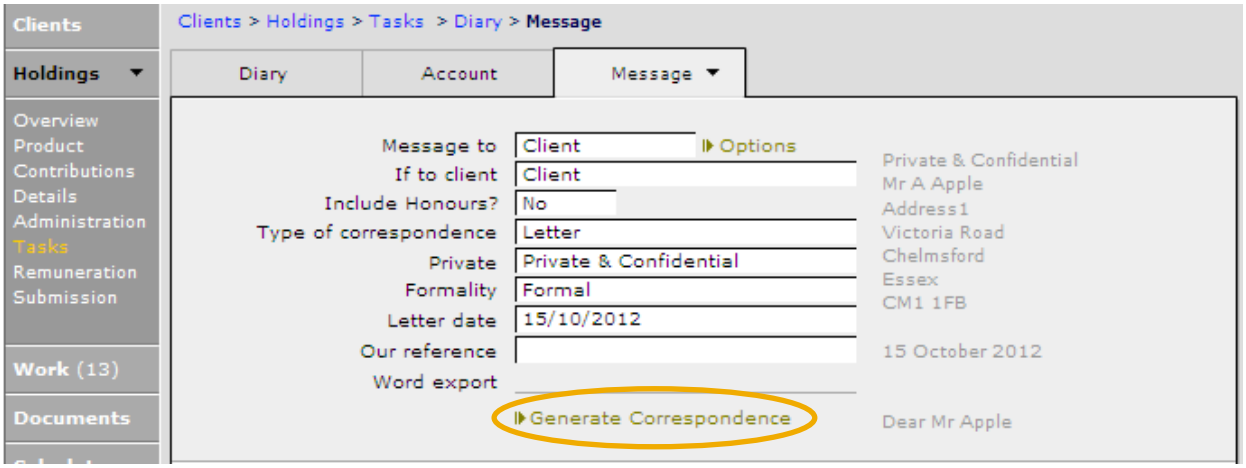
- Find your client
- Find the holding that the task/letter relates to
- Enter the holding
- Click on Tasks
- Select the Message tab
- Click on View Letter to Client



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.

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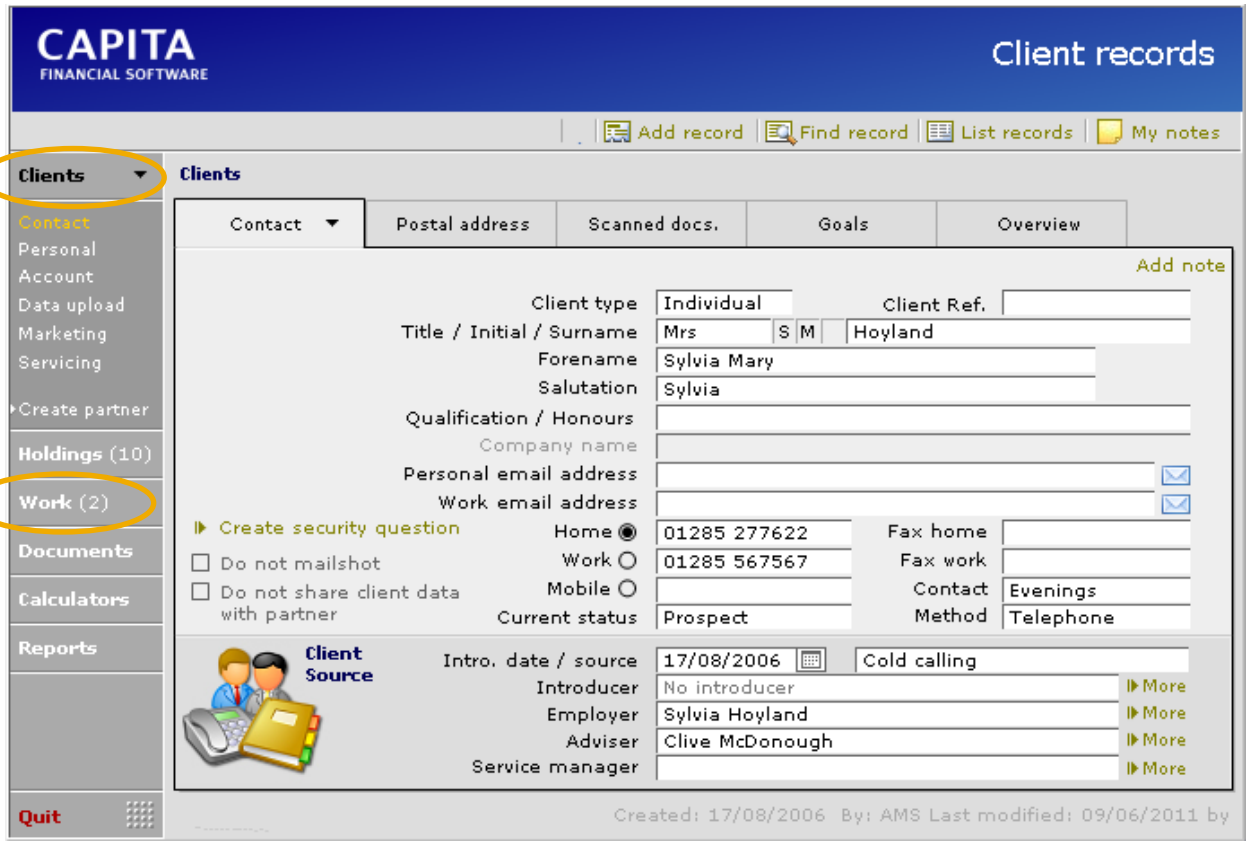

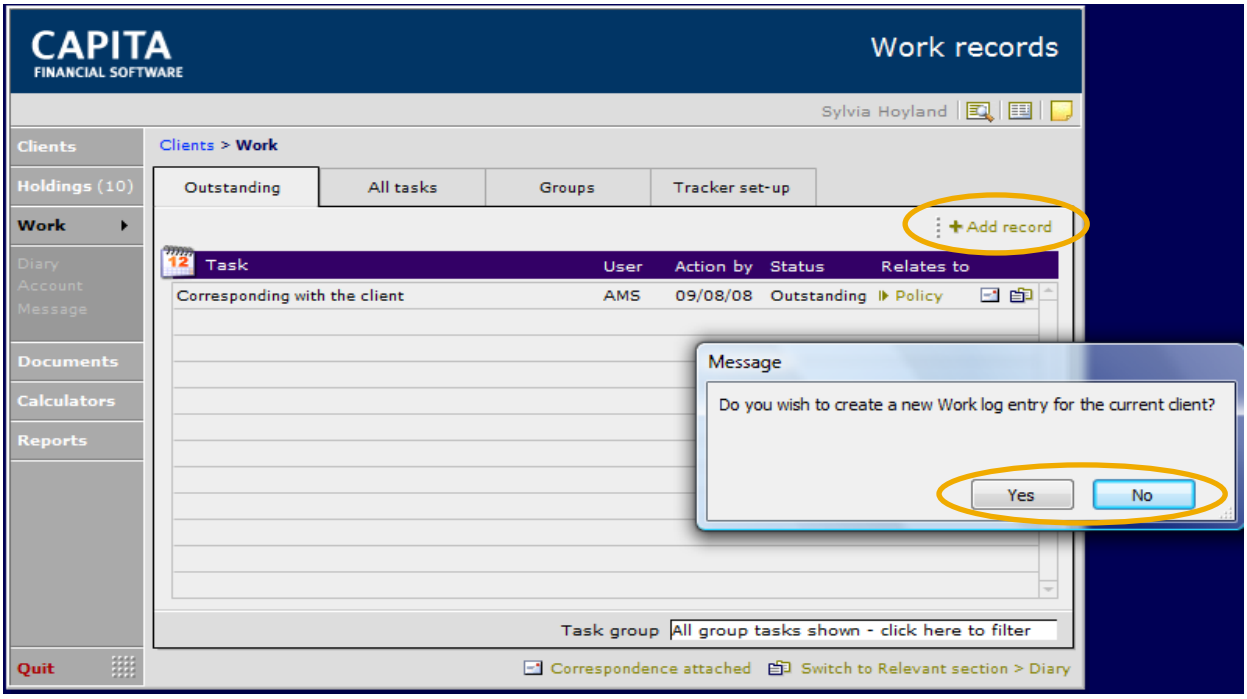

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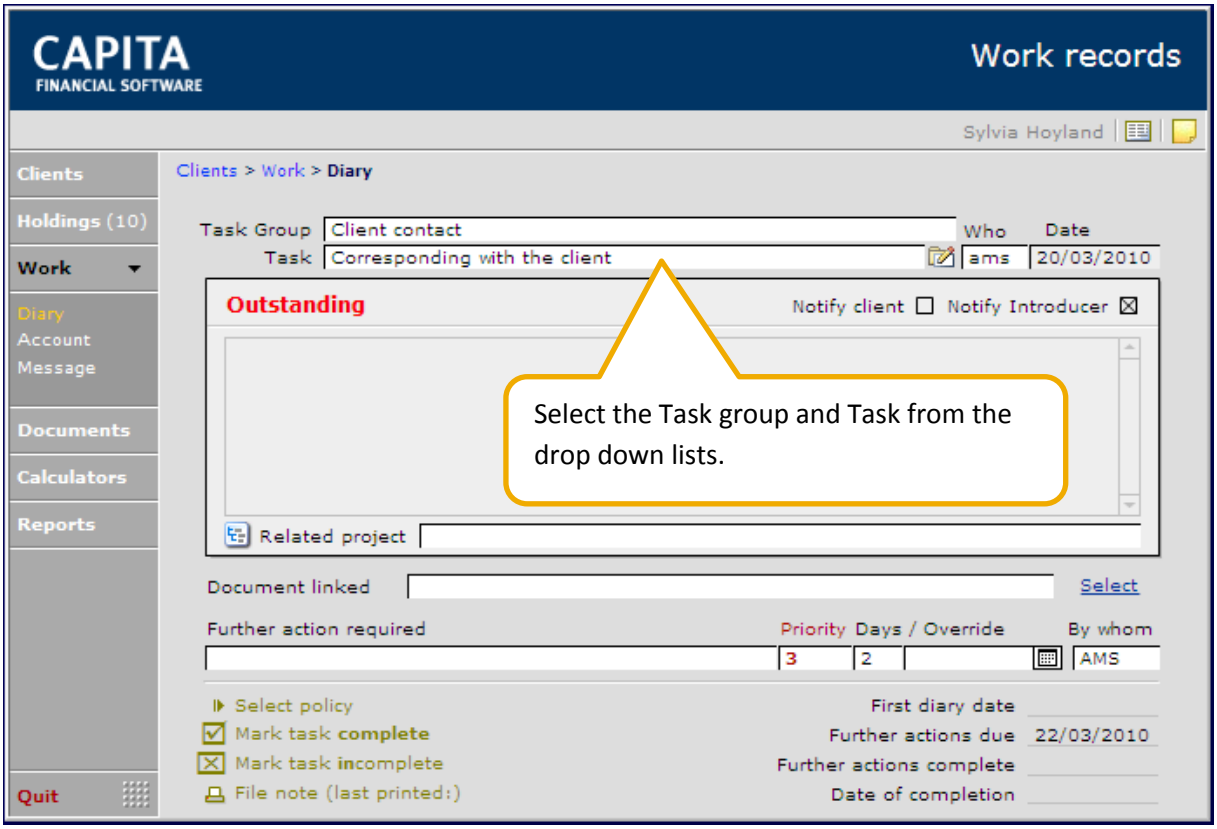
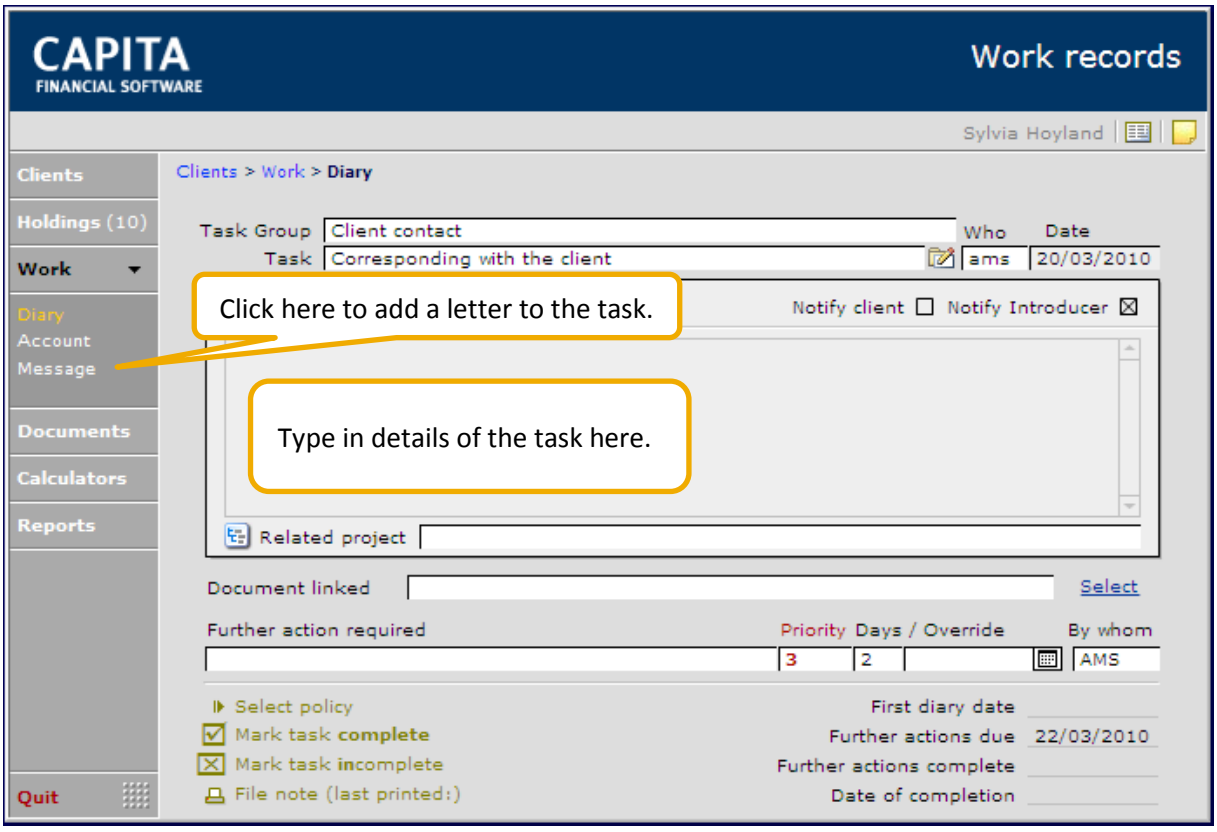


To produce any type of correspondence relating to this task enter the Message option on the left hand side.



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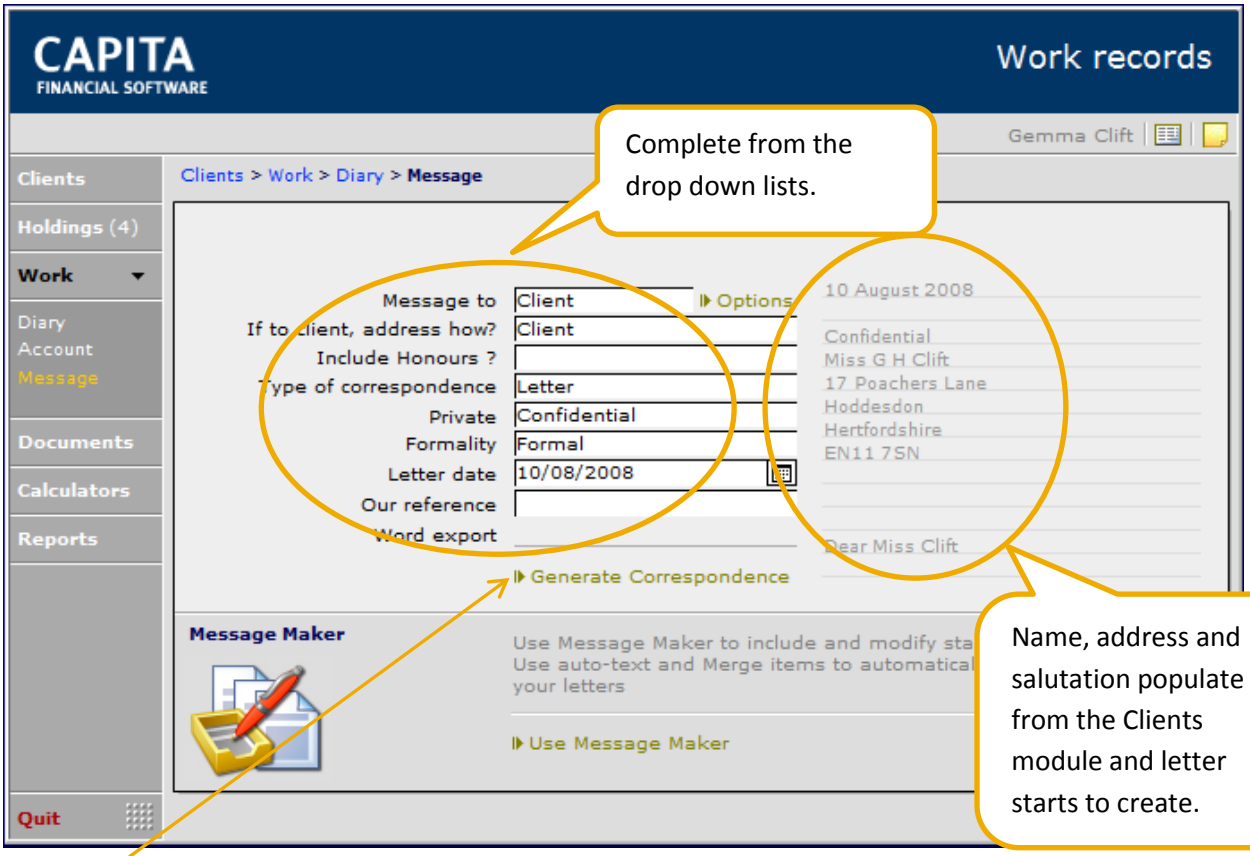

NB Do not select 'Generate Correspondence' unless you wish to type a completely new free format letter with no aid from any existing templates, auto-text or merge items functions available within CCD. You are unable to access any of this functionality from within this section.

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.

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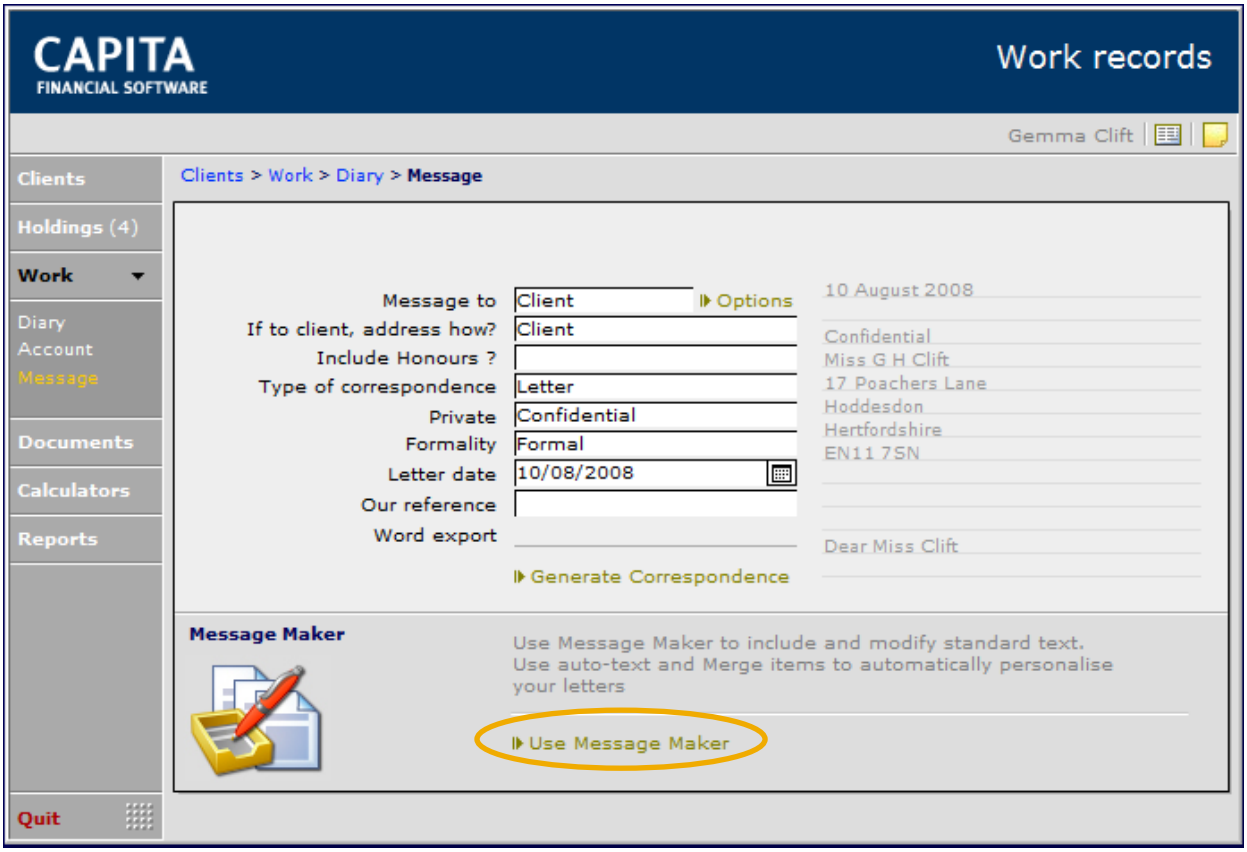

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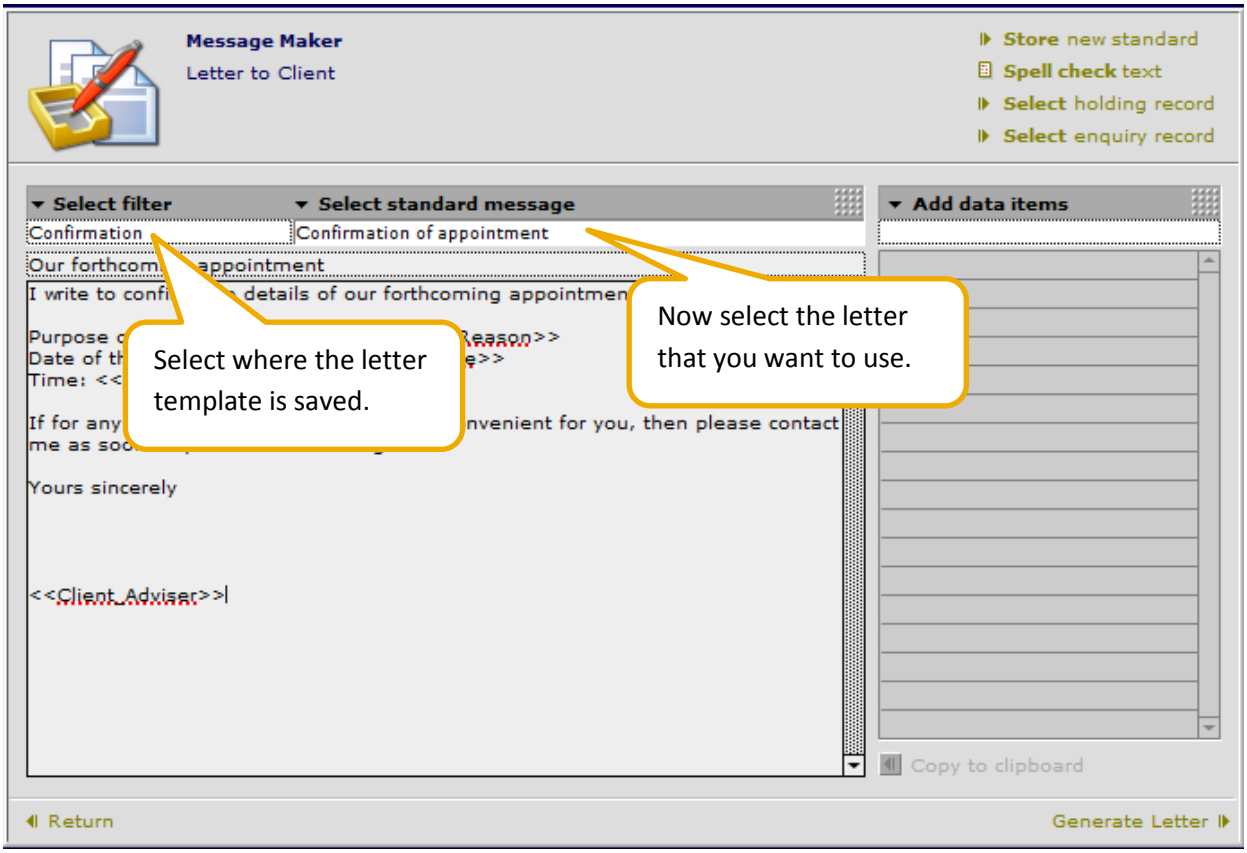

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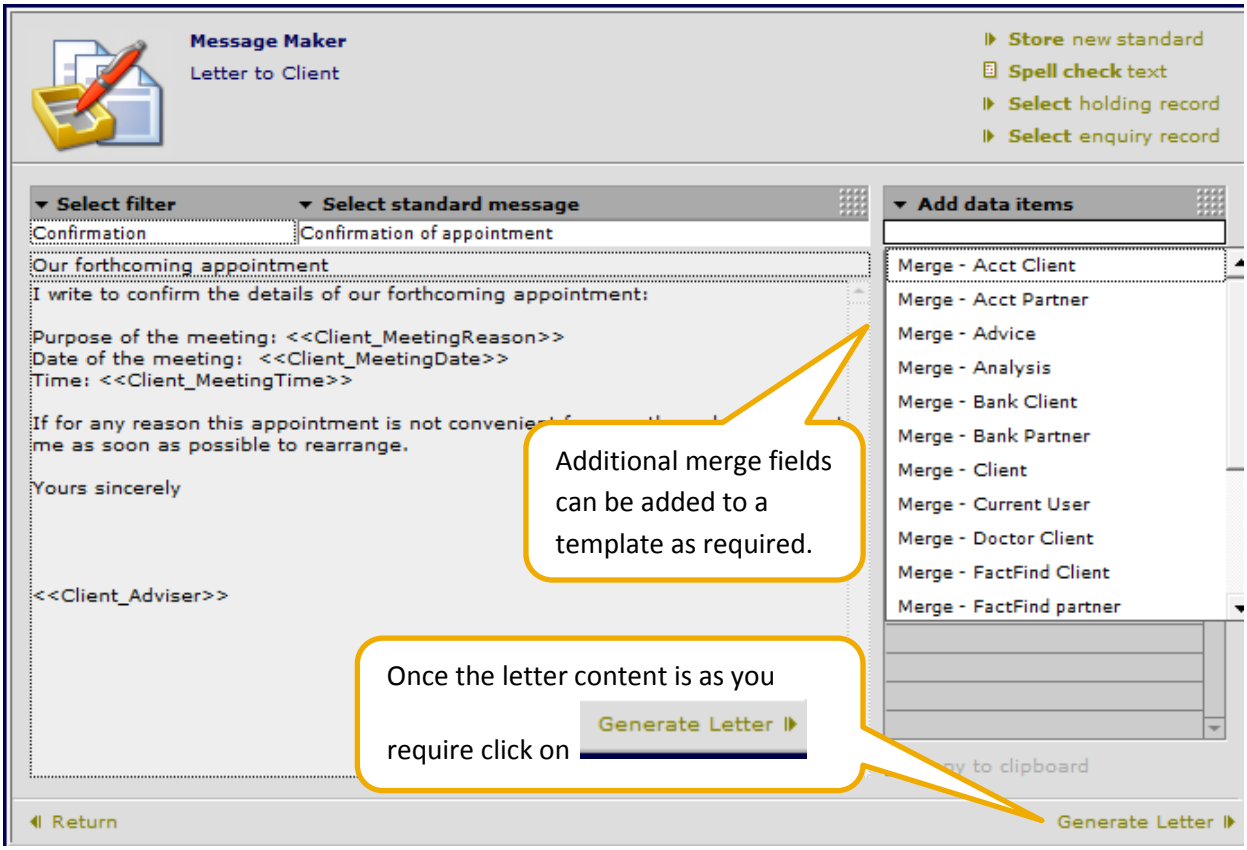

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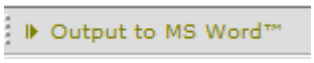
This is done by clicking on 

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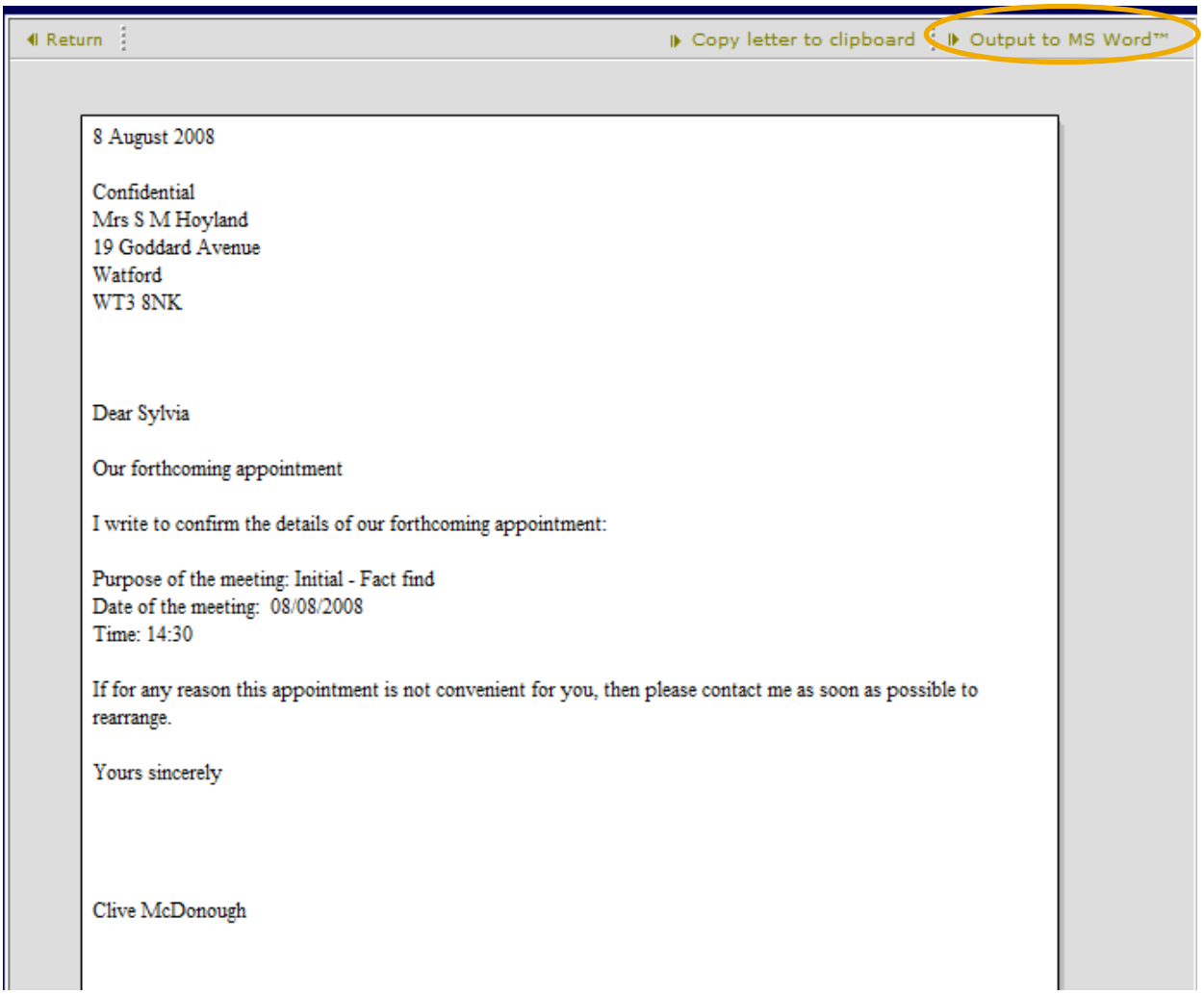

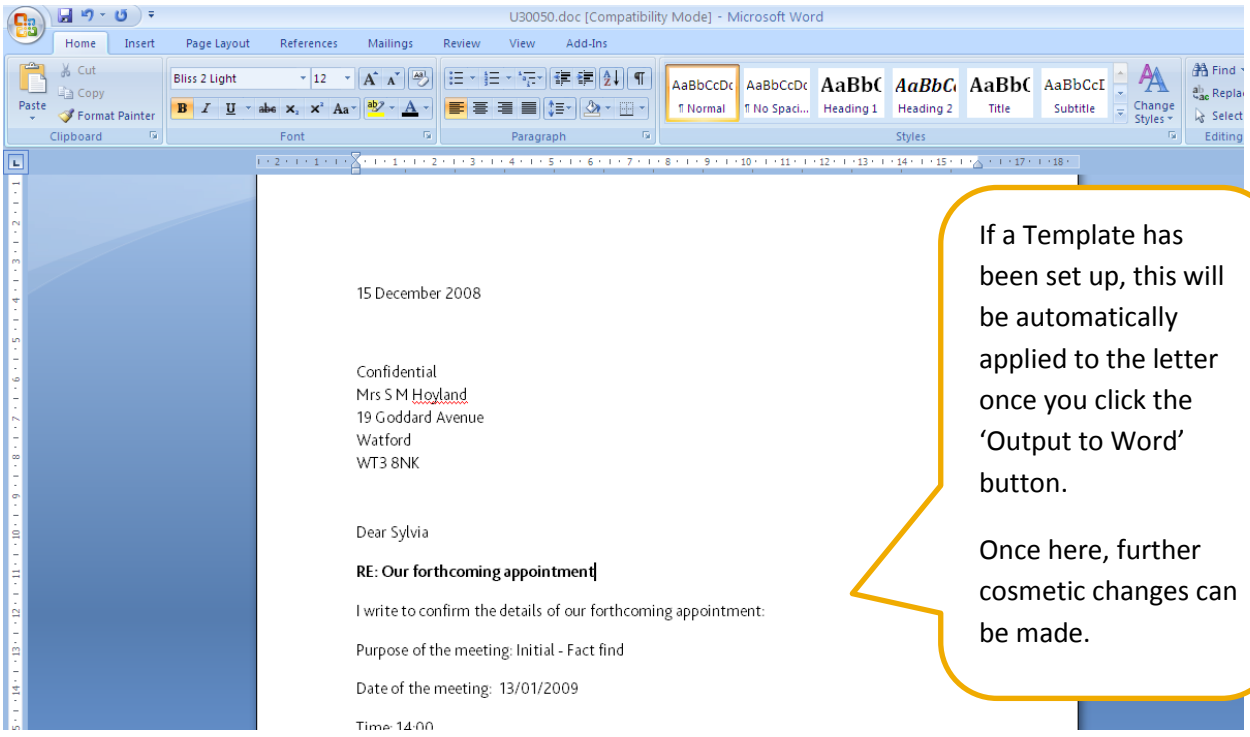

If a Template has been set up, this will be automatically applied to the letter once you click the 'Output to Word' button.

Once here, further cosmetic changes can be made.

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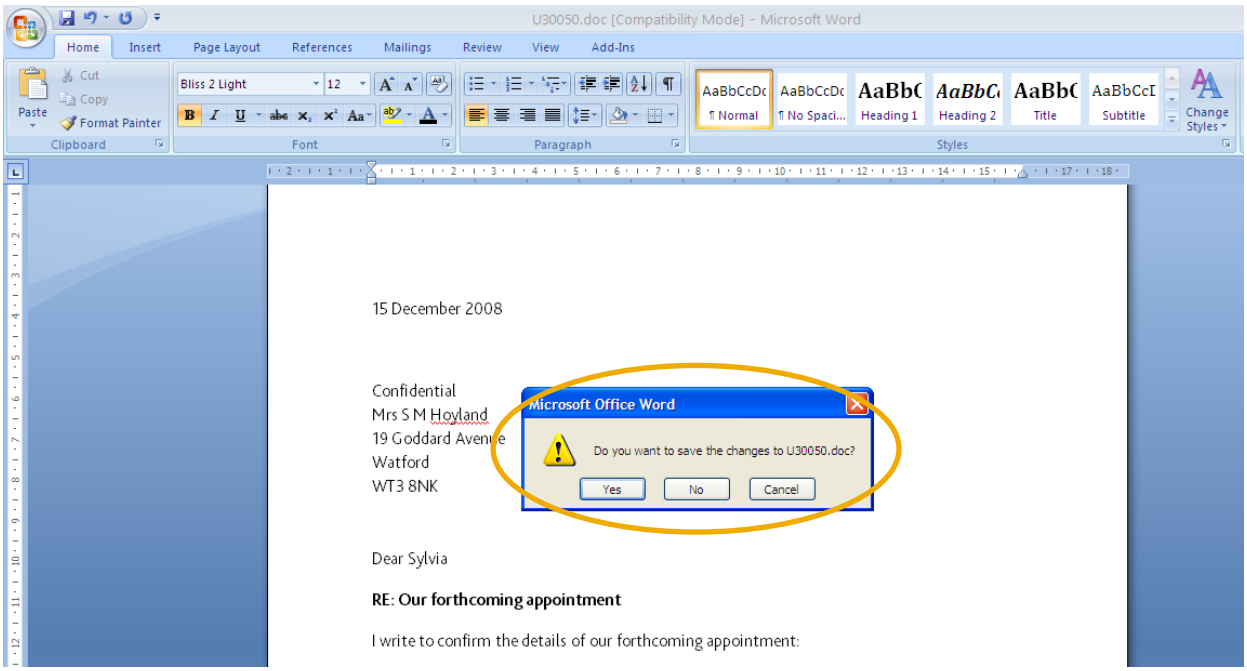
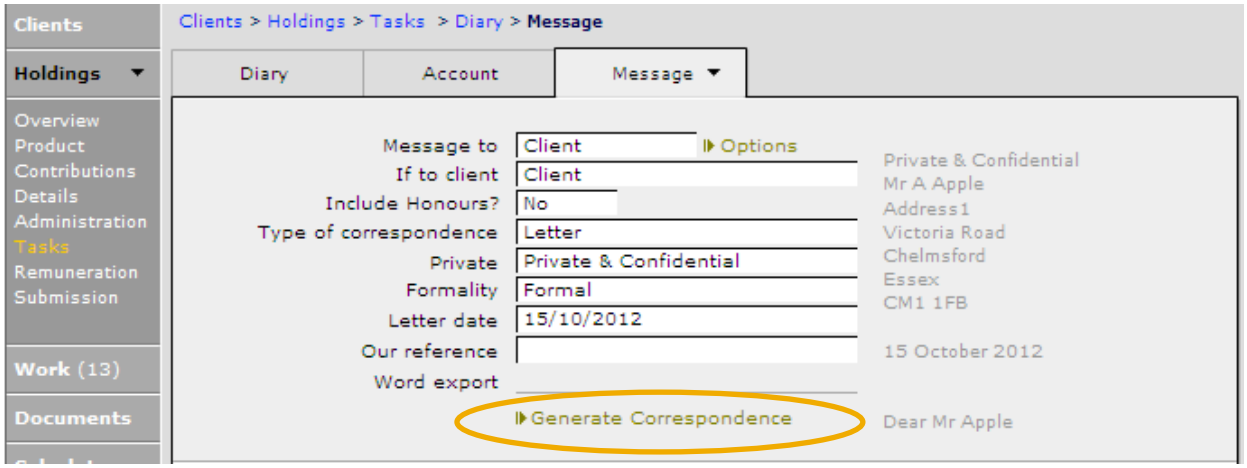


4.4 Viewing letters via Work

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'



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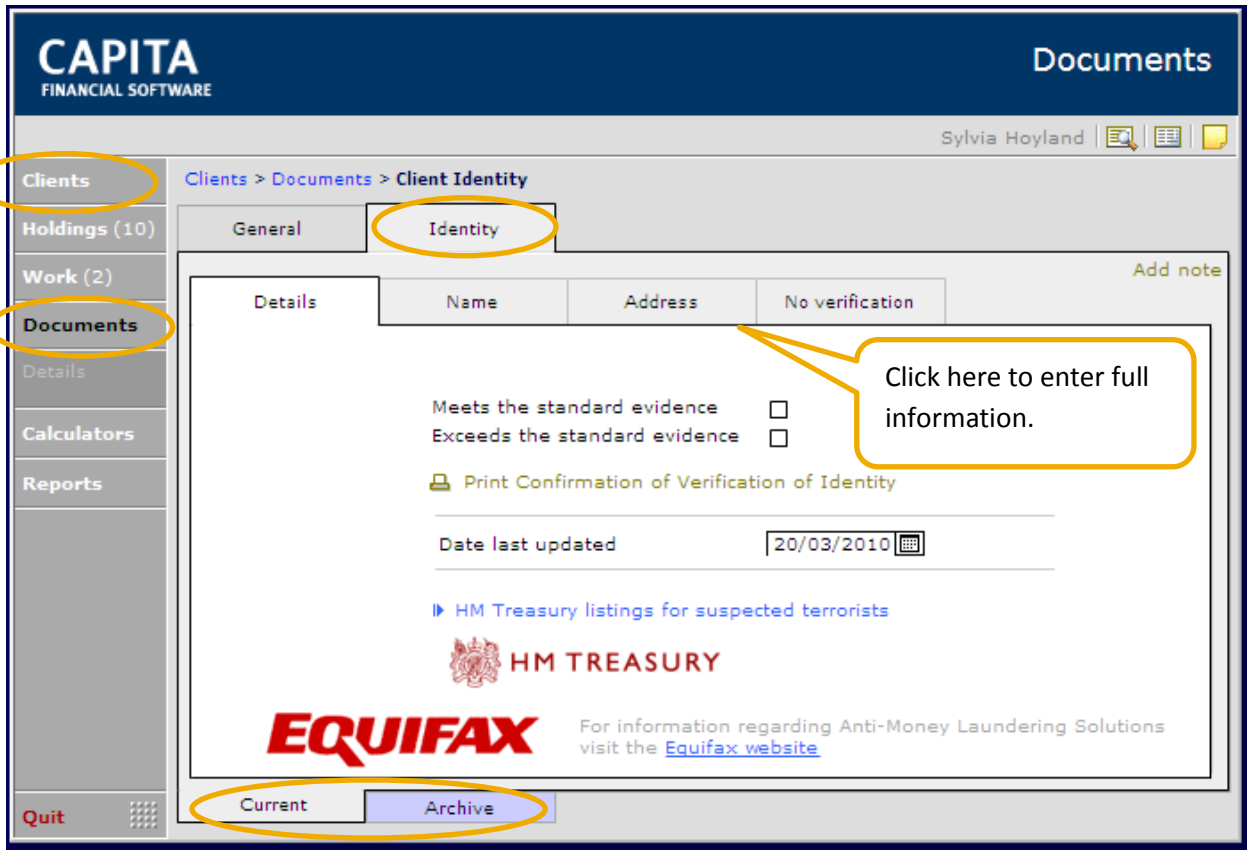
This will then display the MS Word copy of the letter.

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.



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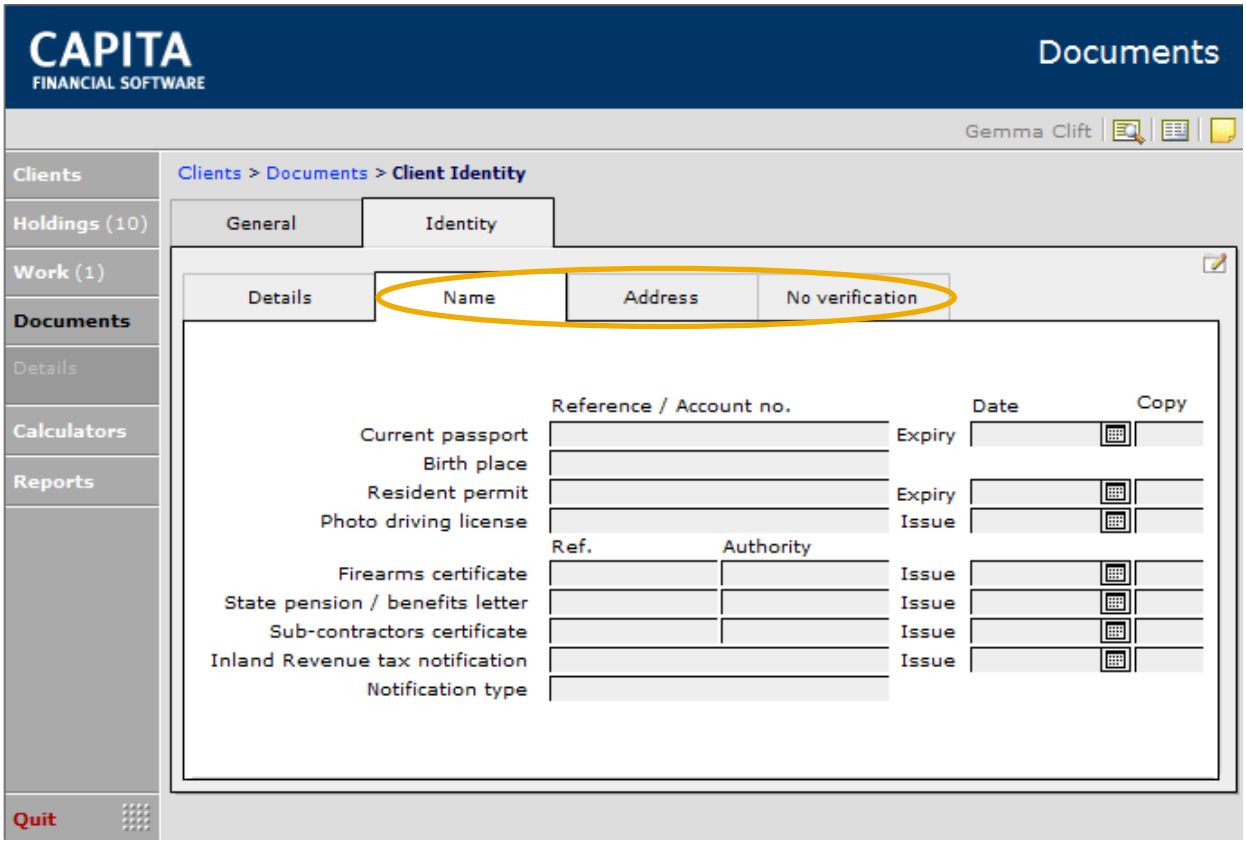

Once the information has been entered you can either print out a current form from the 'Details' tab, or move onto the 'Archive' tab and print out the older style form.

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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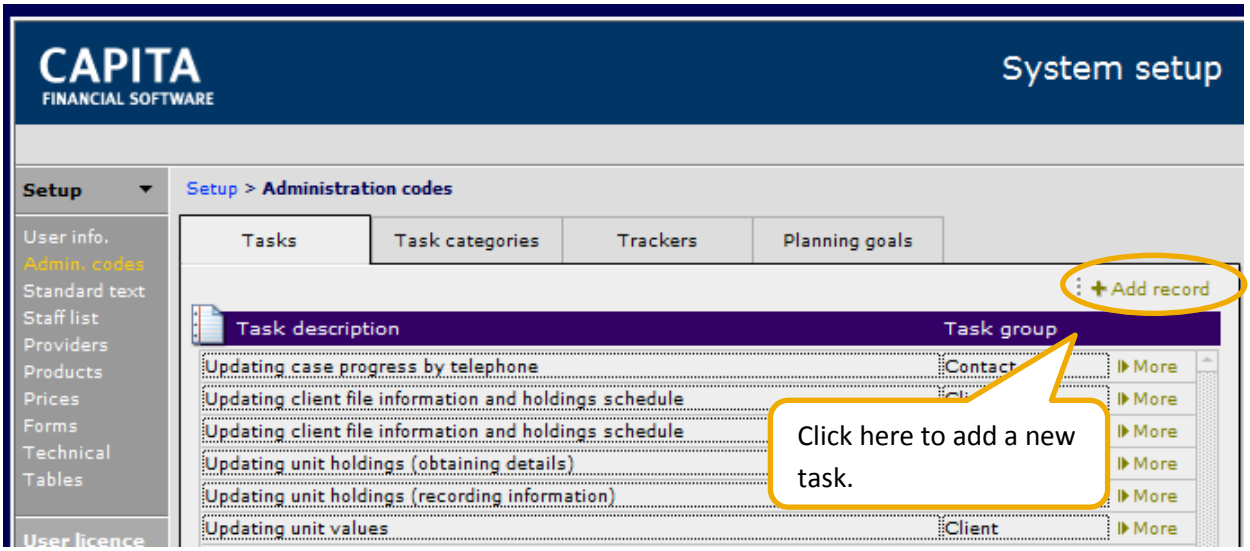
Business Process	Task in Admin Codes Database
Confirm to client receipt of application	Acknowledge receipt of new application – TSK001
Enter details onto client file	Entering new business in admin system – TSK057
Submit application to provider	Submit application to provider – TSK 128
Update client holding 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.



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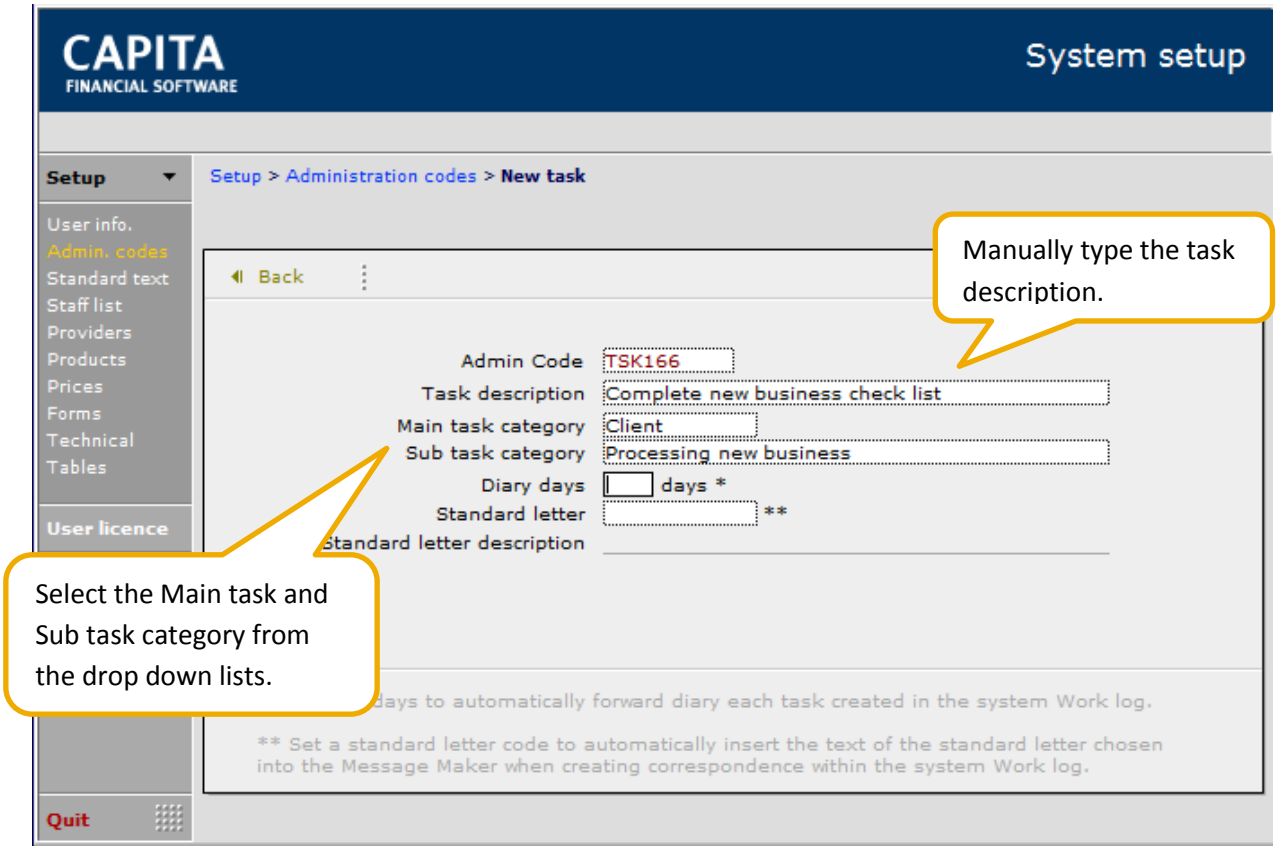

Once all the tasks required have been located or created move to checking that the number of days from creation are correct. Once the tracker has been set up the number of days will not be amendable in the tracker, if the task is chosen as a standalone task for a client then the days required can be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

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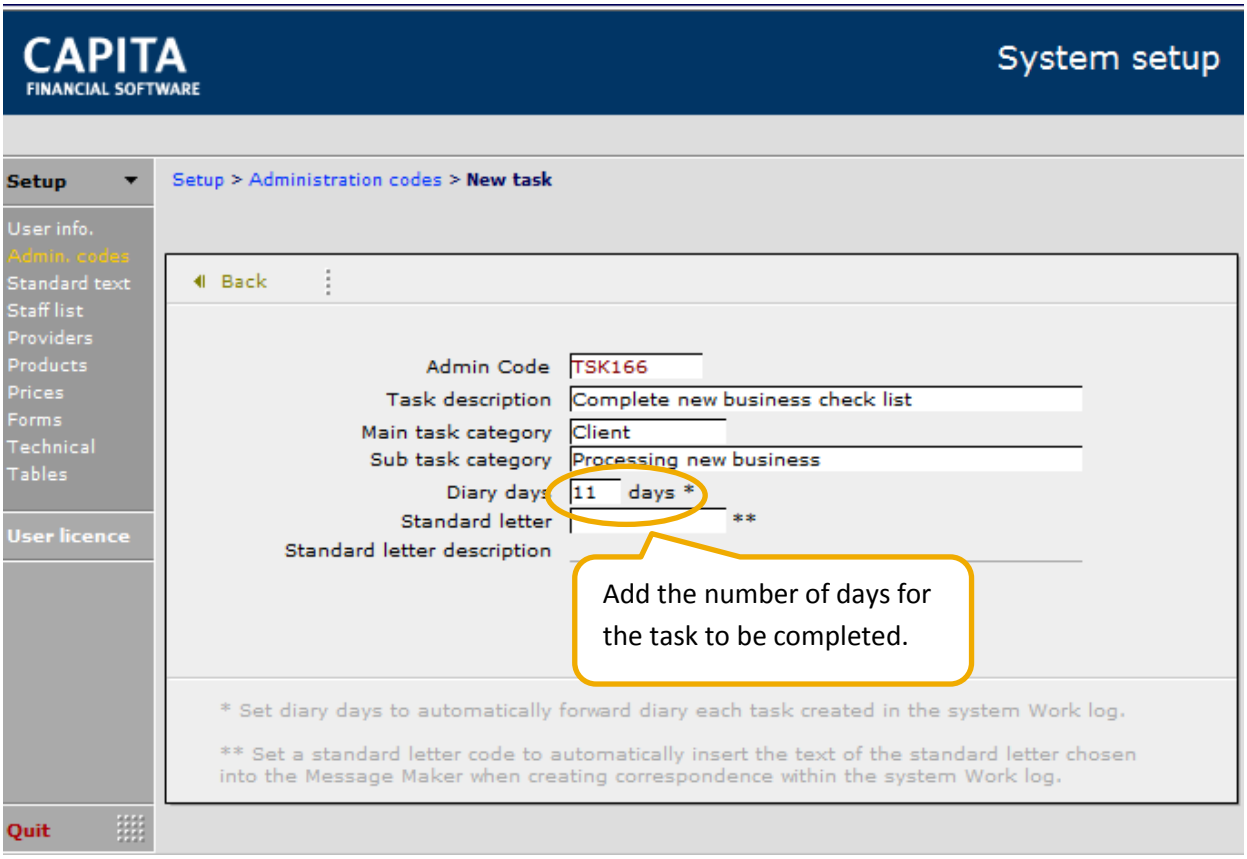

Next, any standard letters already set up in your CCD can be attached to the task. Once a letter has been attached to the task every time the task is used when the Message tab is accessed in the task/work record the selected letter will appear.

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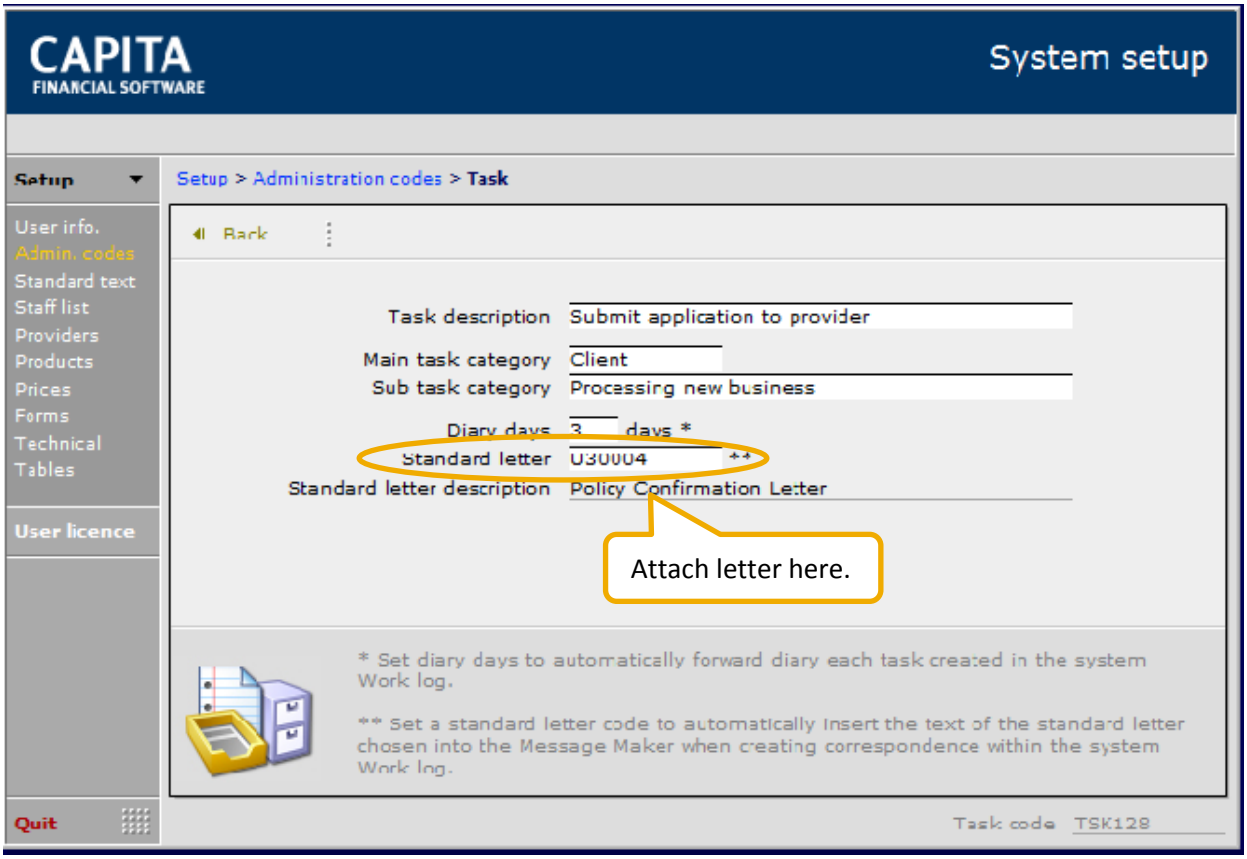
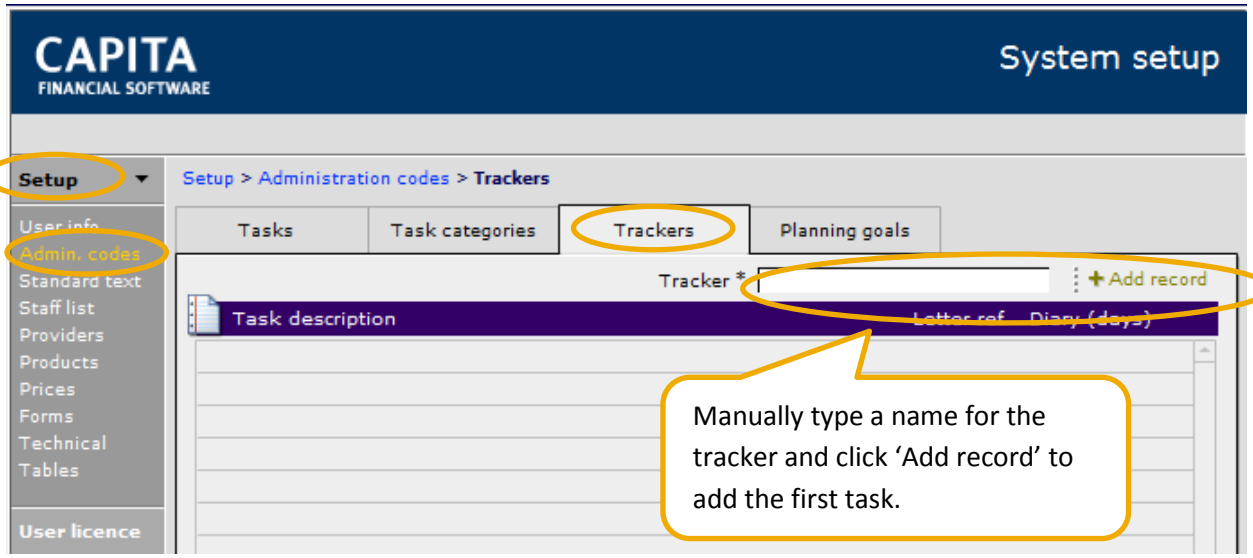


All the preparation has now been done and the tracker can now be added to CCD.



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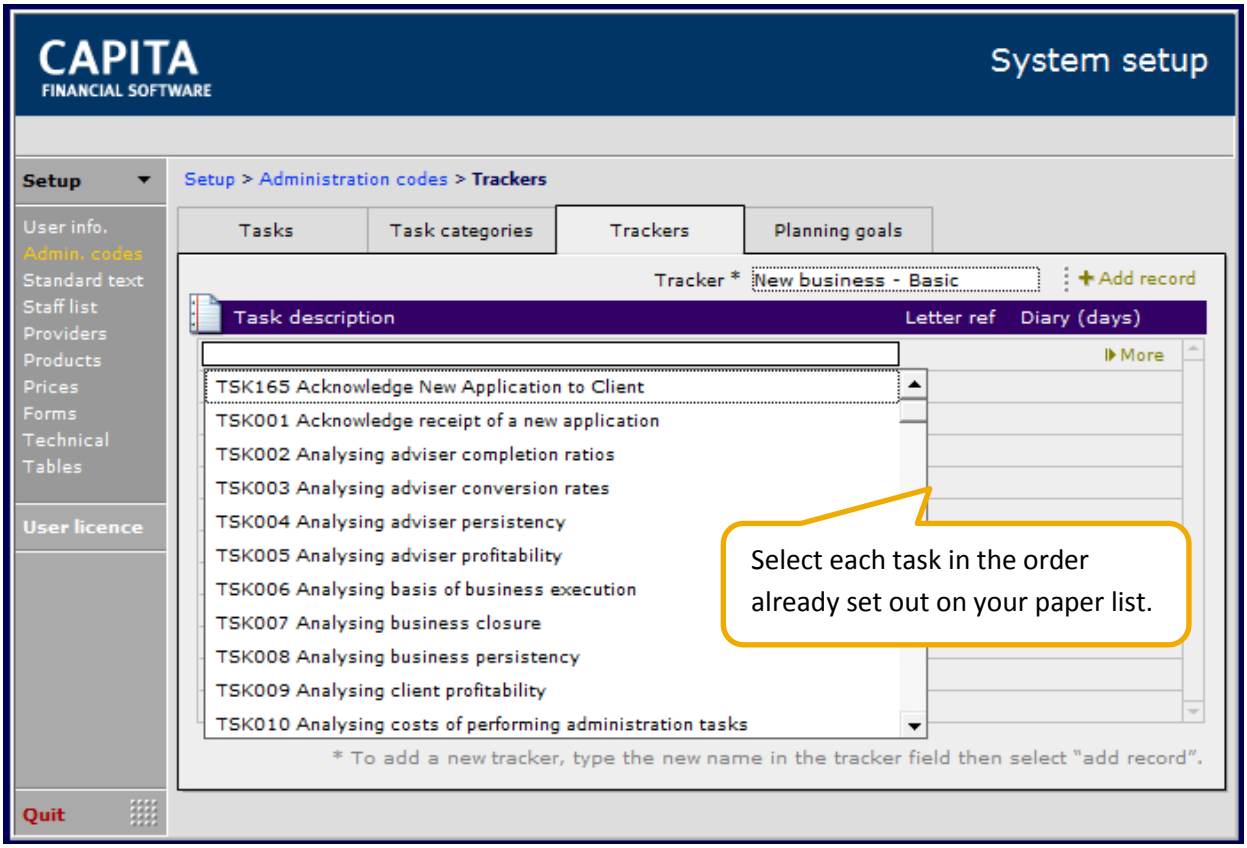

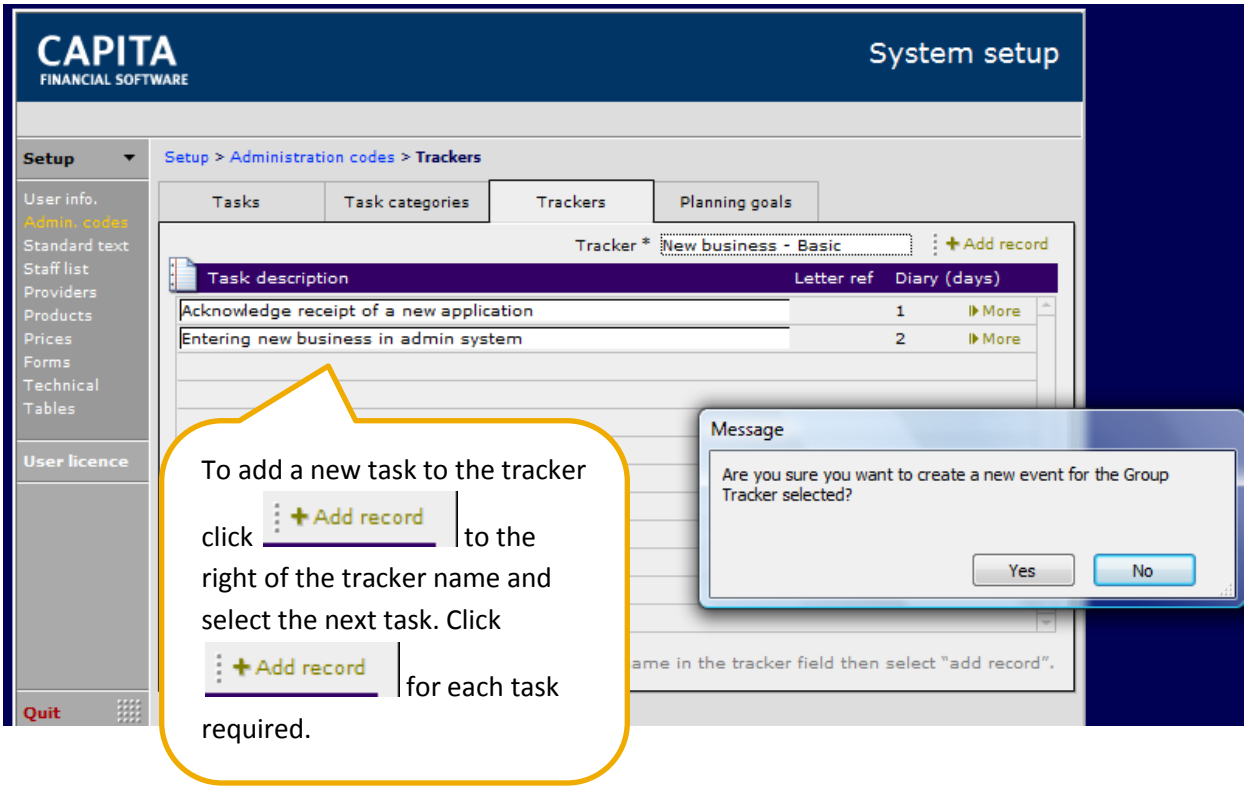

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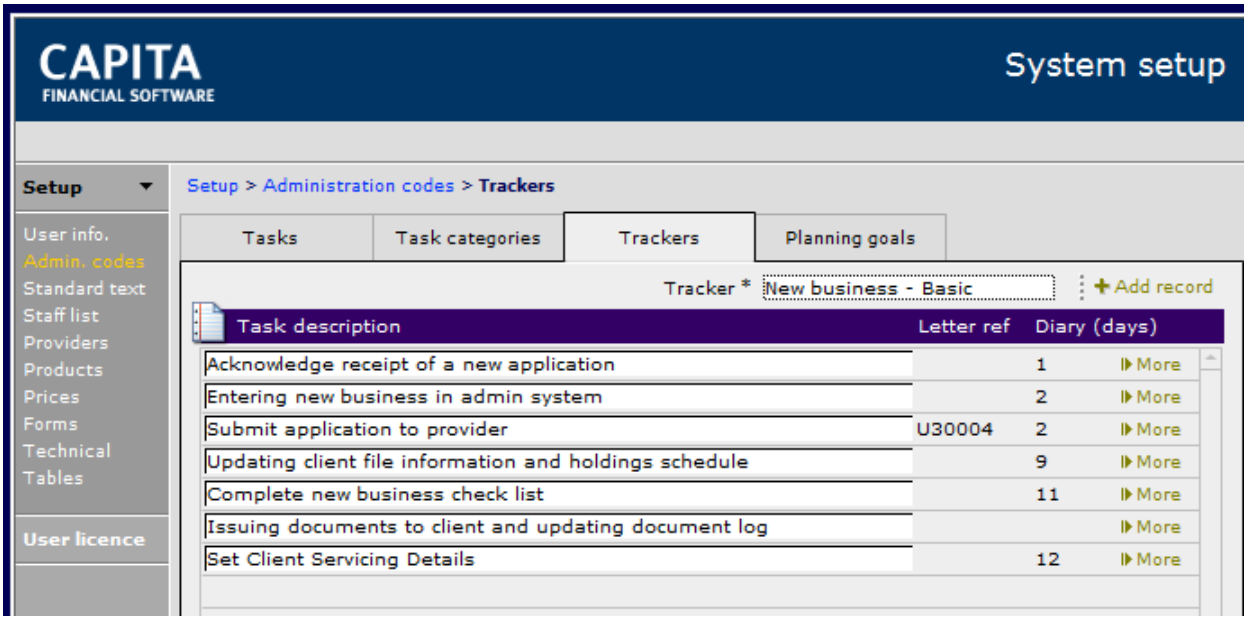
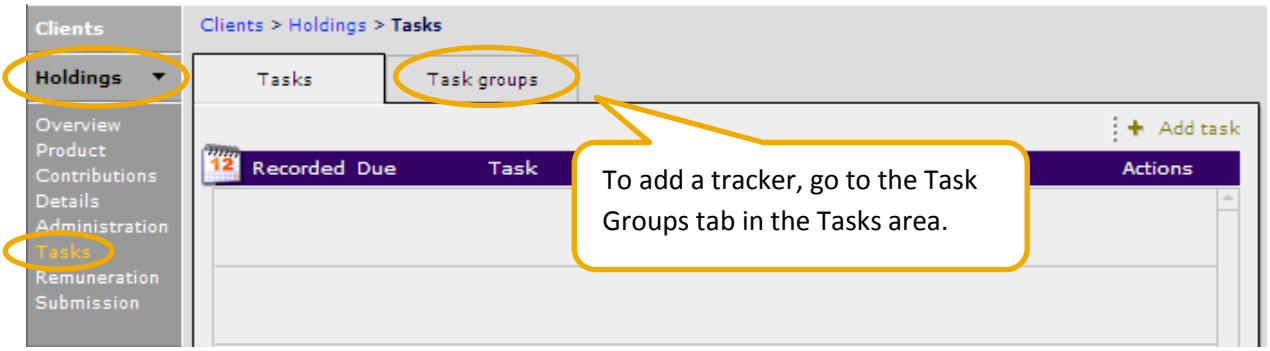


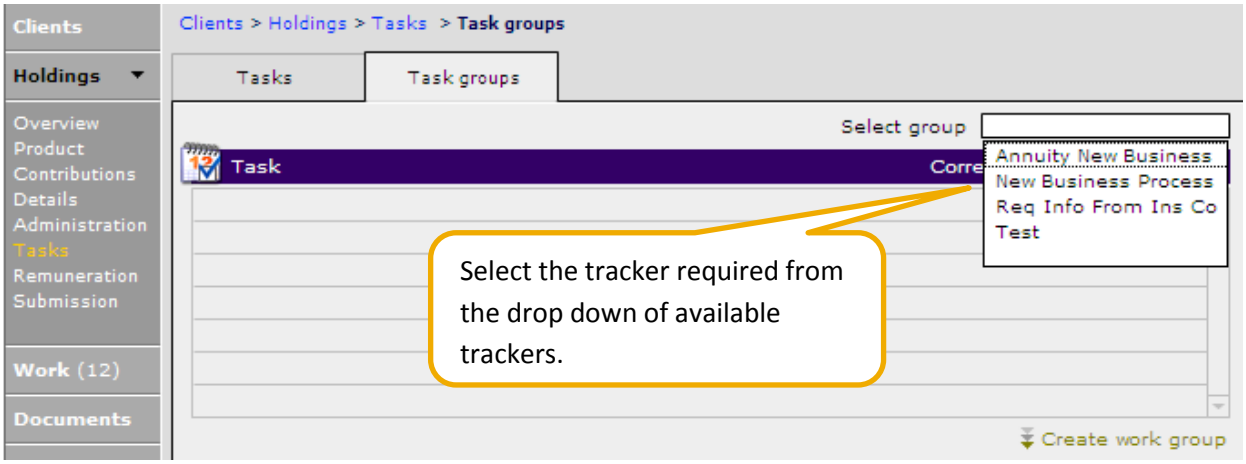
Once a Tracker has been set up within CCD, it can never be deleted.

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.





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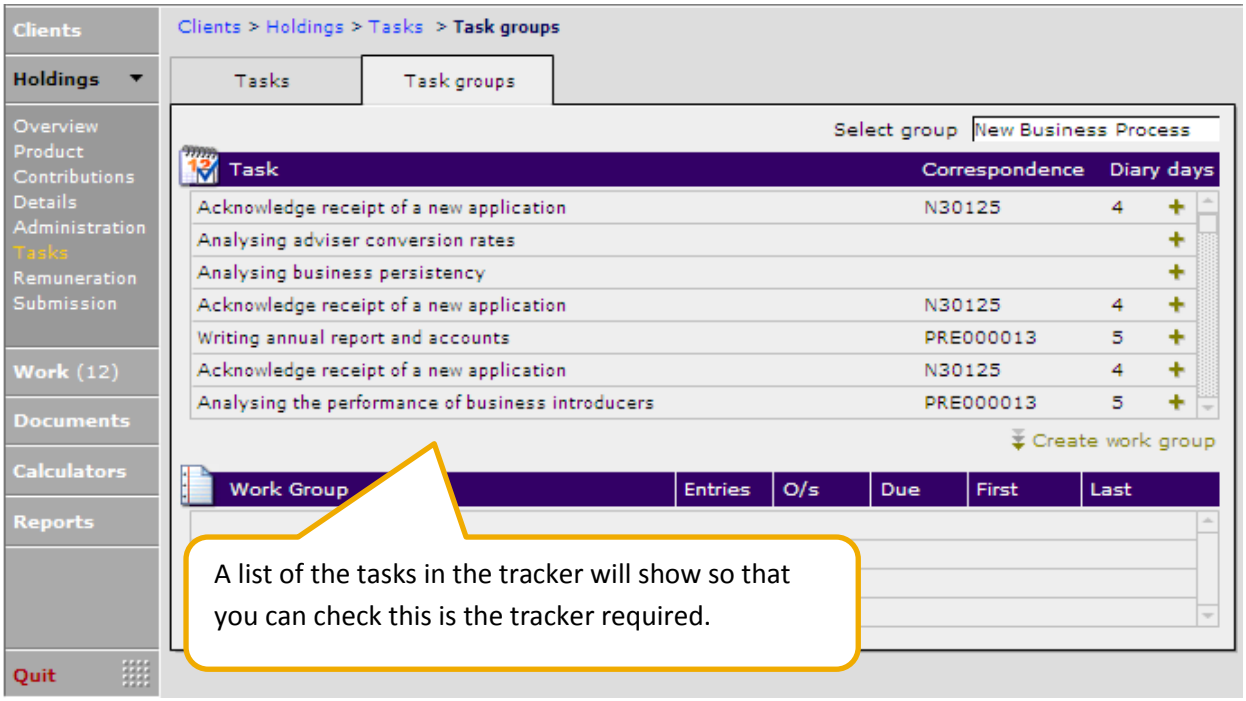
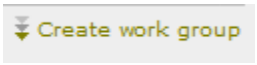
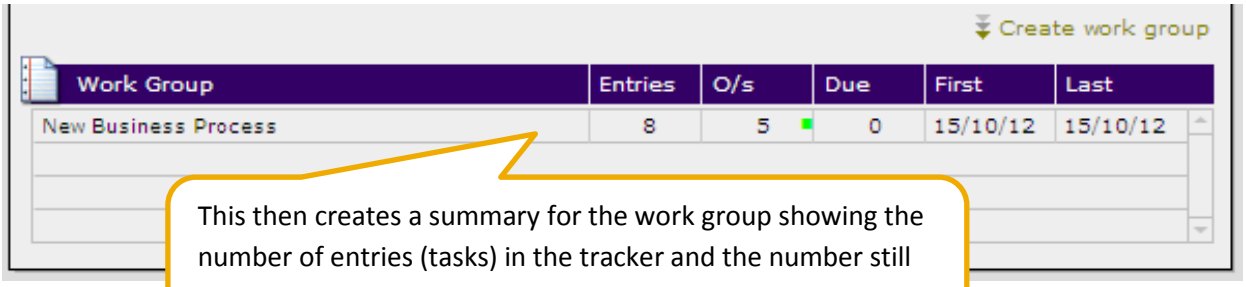


Once you are happy that the tracker selected is the tracker required click the 

.



Return to the main task list for the holding.

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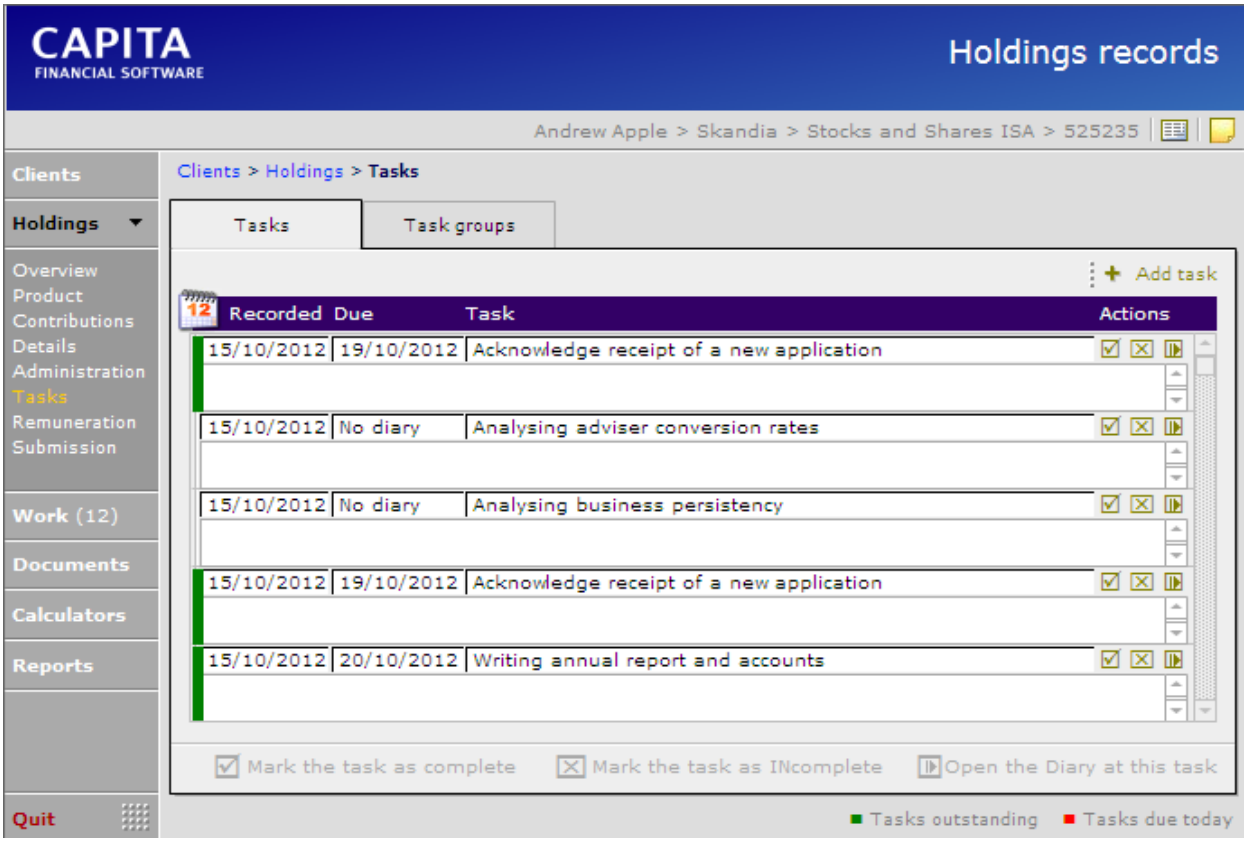
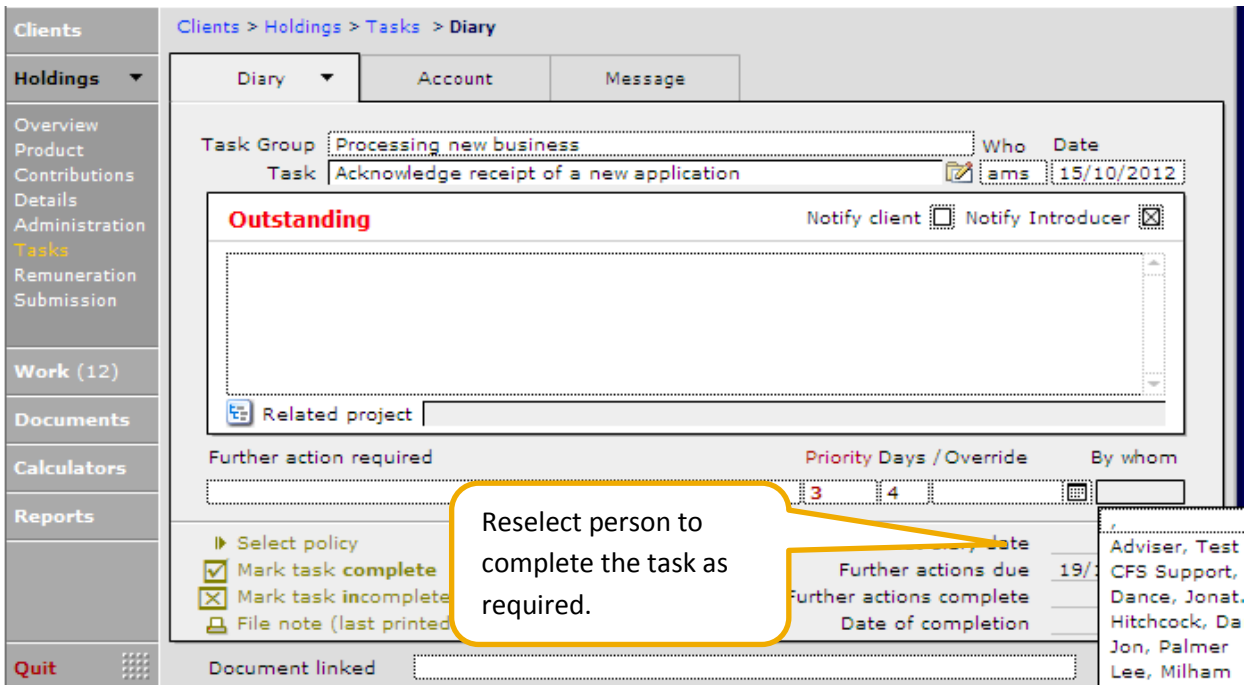


Each task in the tracker has been added to the holdings task list as an individual task, they are all at this stage outstanding. You can now go into each task and reset the person required to complete it from the staff drop down list as required.

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



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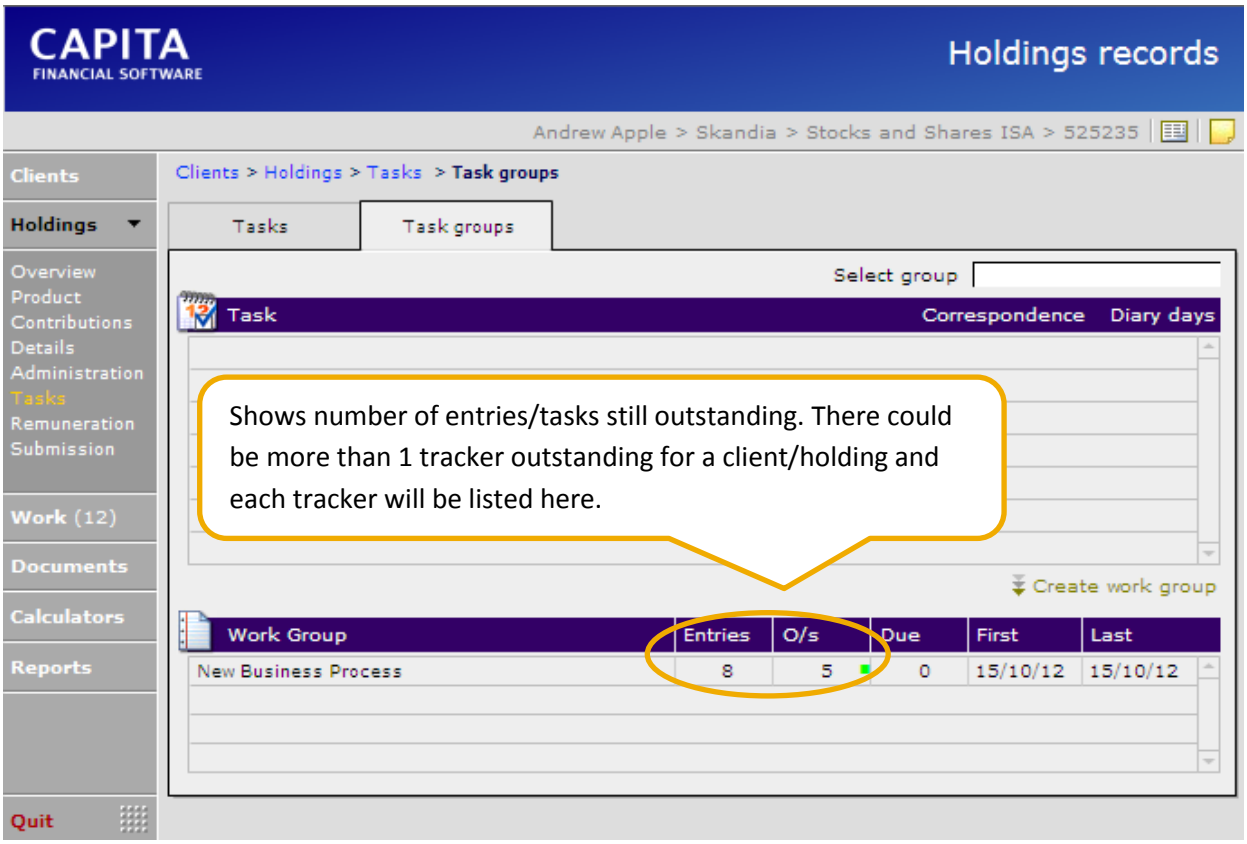
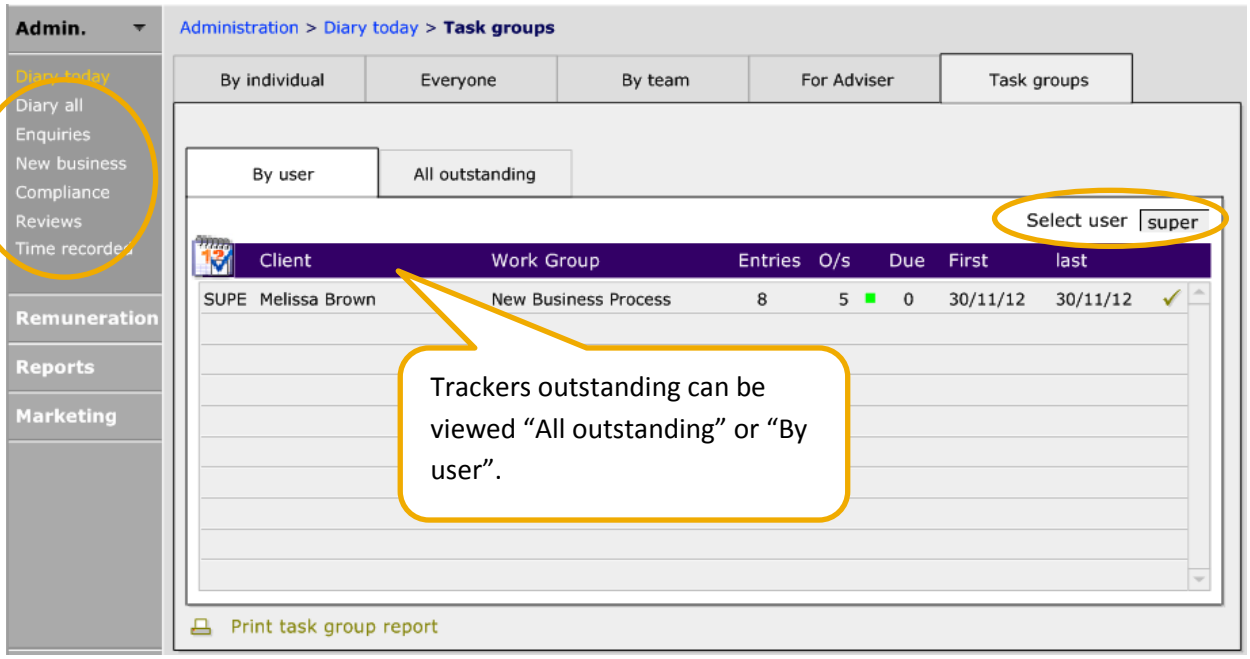
The progress of trackers can be followed in two ways.

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



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



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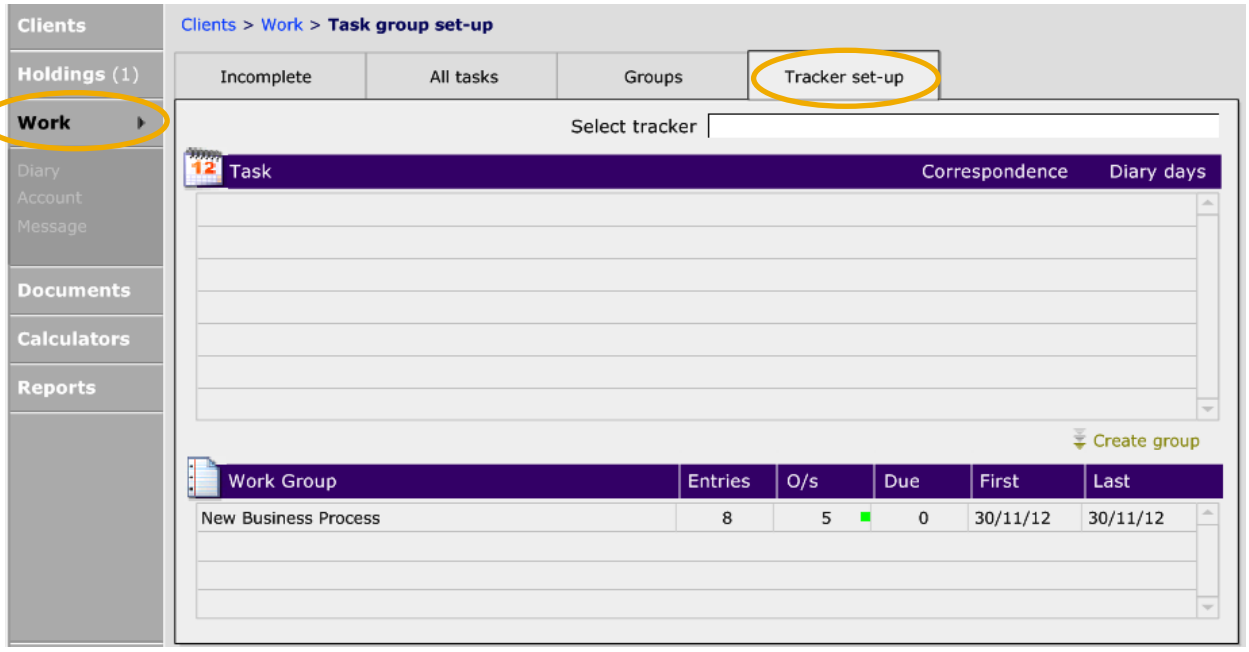
Adding a tracker to a work item rather than a task is performed in the same way although the initial screens vary slightly.



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

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

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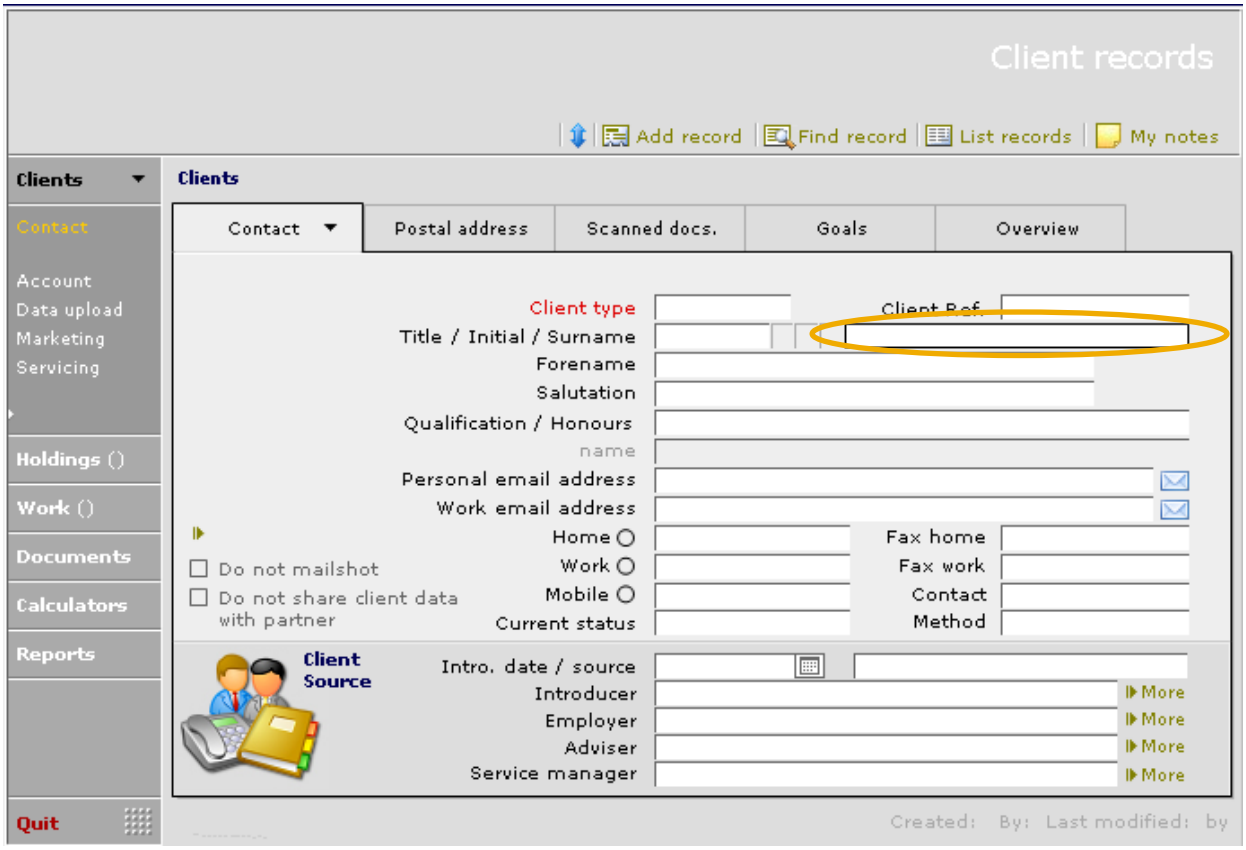
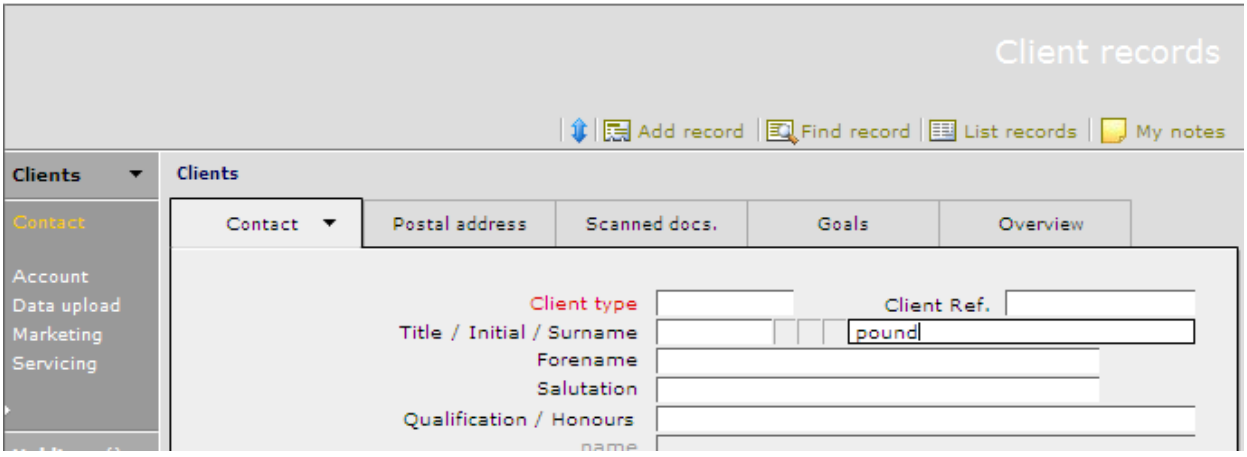


The client's surname is the most commonly used method of searching the system. Therefore your cursor will appear in surname field first. This is a free type field so you can enter the full or part surname in order to conduct your search.

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.

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

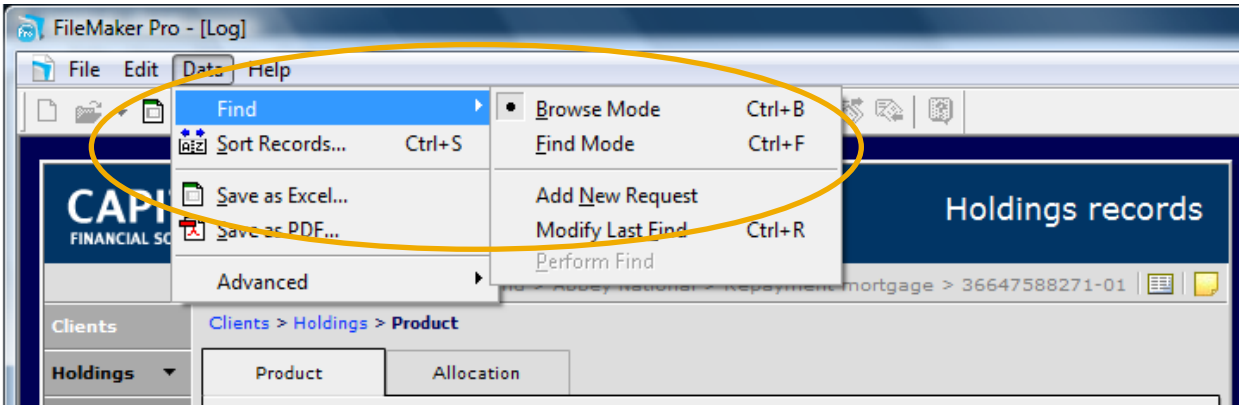
There are 3 options for the type of list required:

- 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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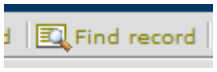
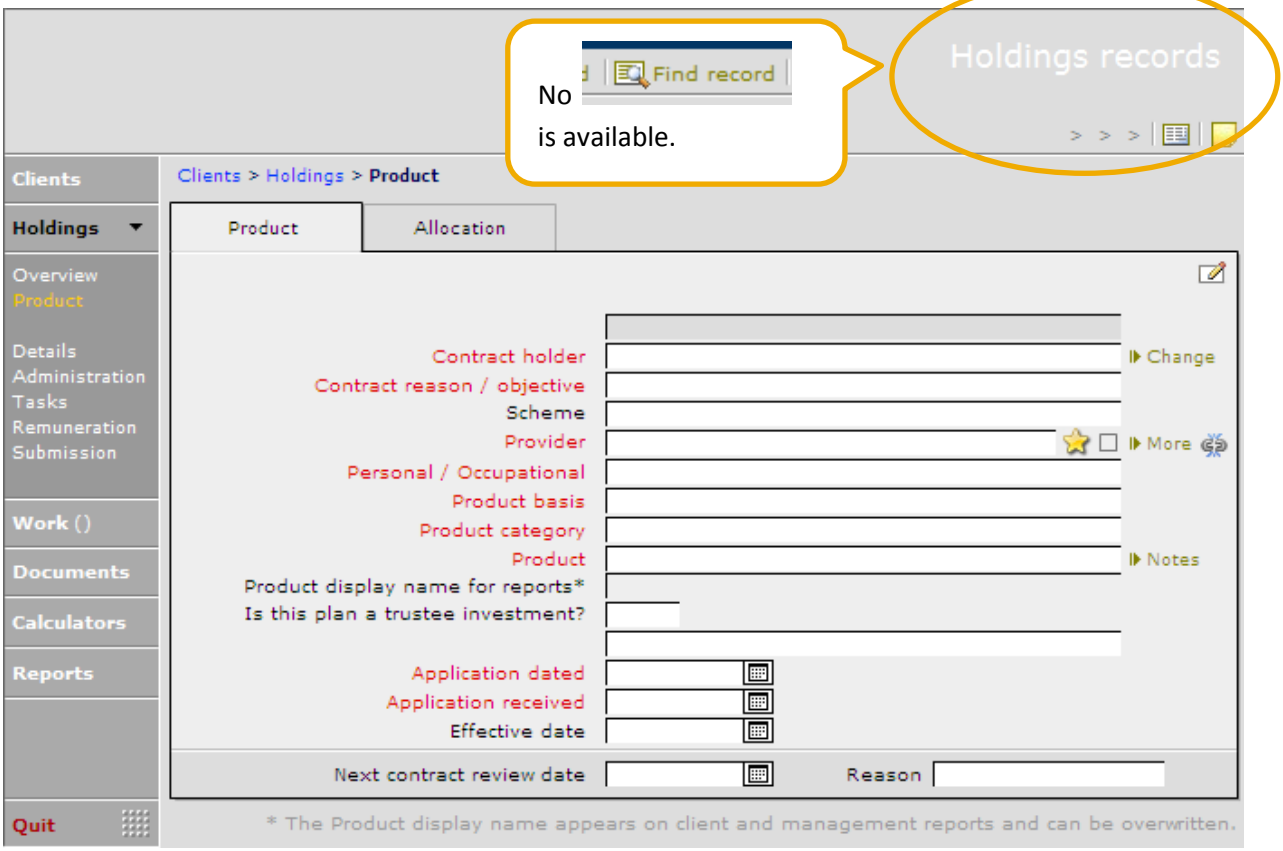
The “Find” mode however will change the screen you are in to a search screen similar to the basic client search, however this facility is available in nearly all of the CCD screens allowing you to conduct searches in many different places, and especially where the 

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.

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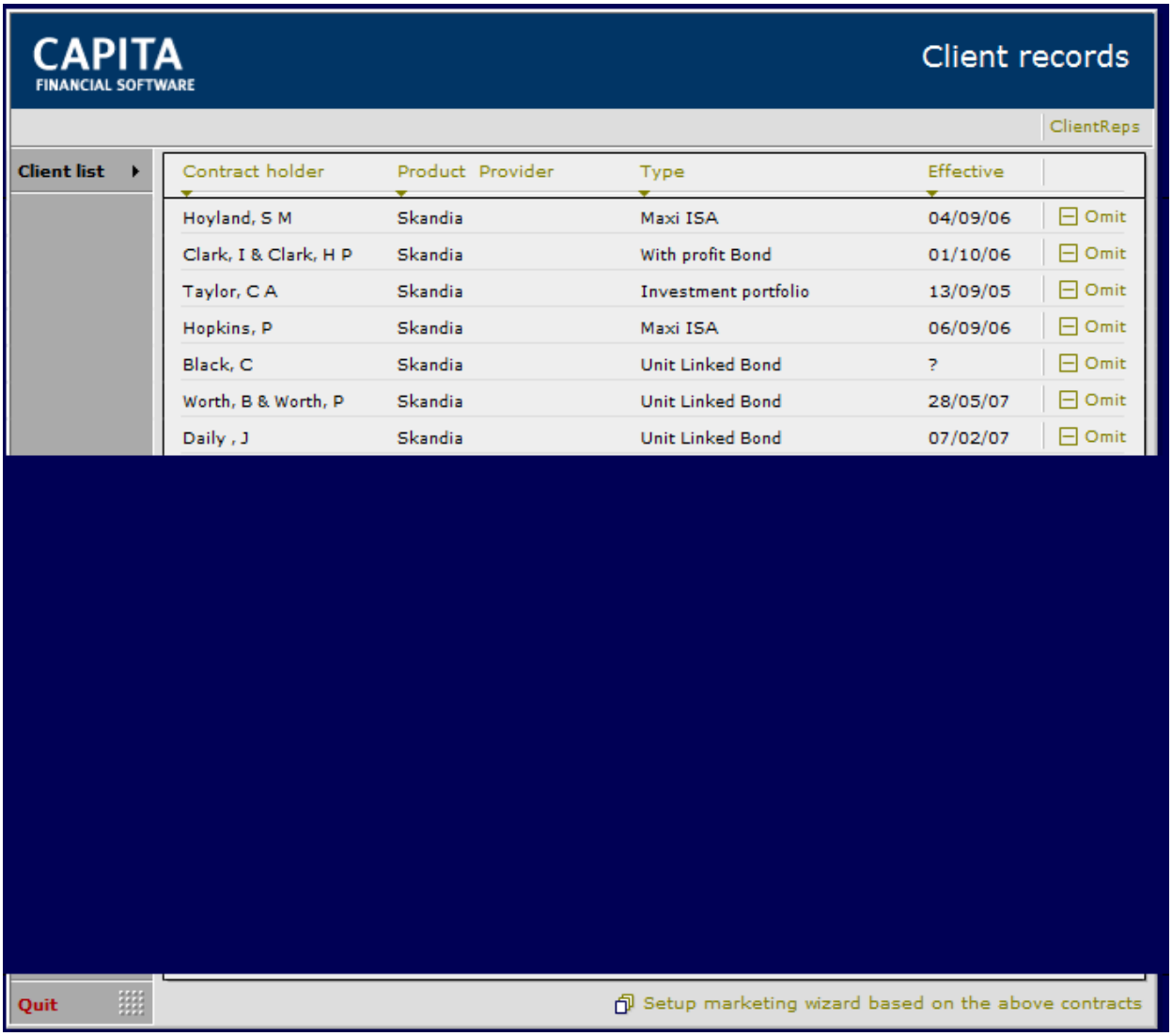

You can then select individual records for view from the list presented.

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

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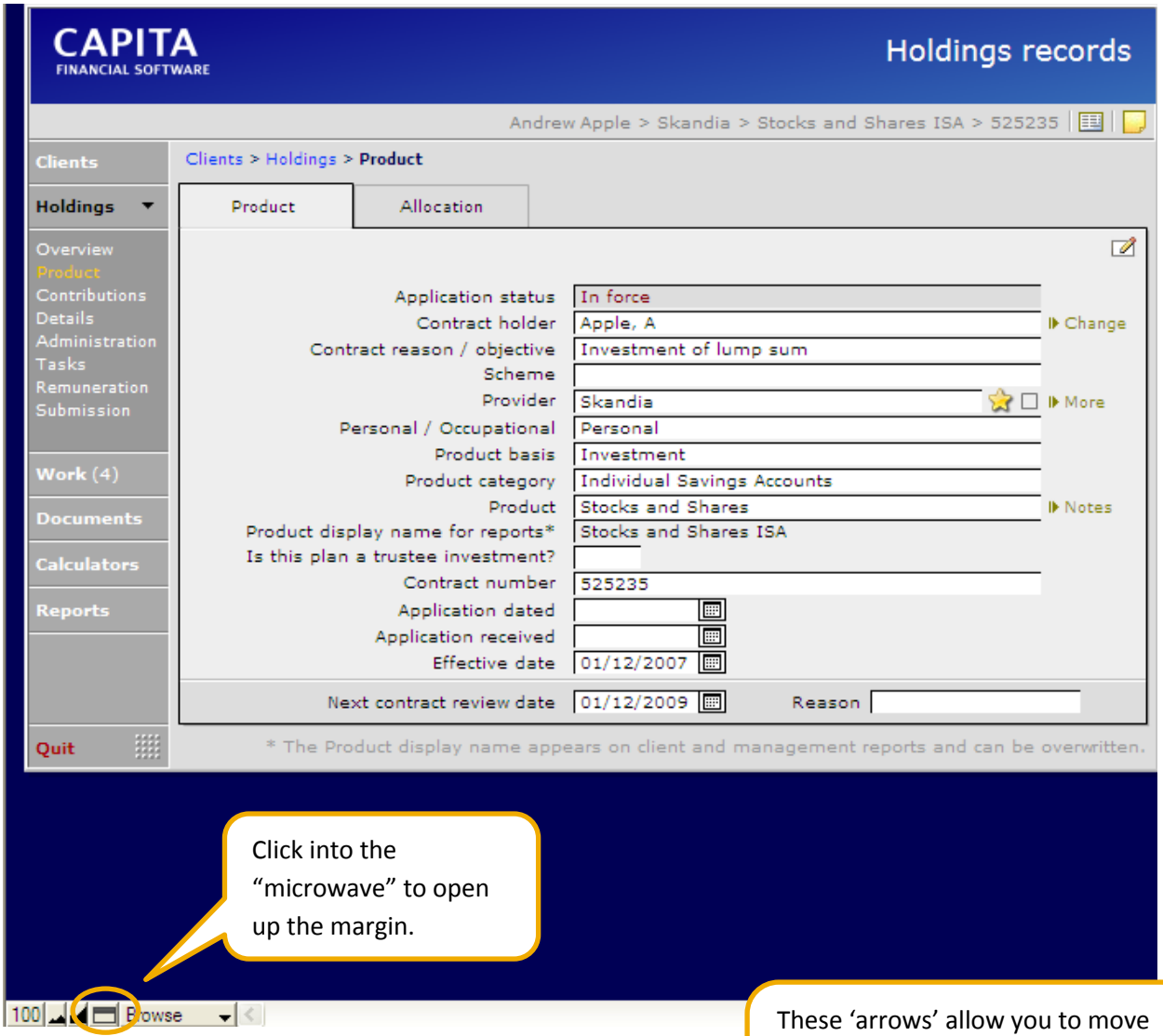

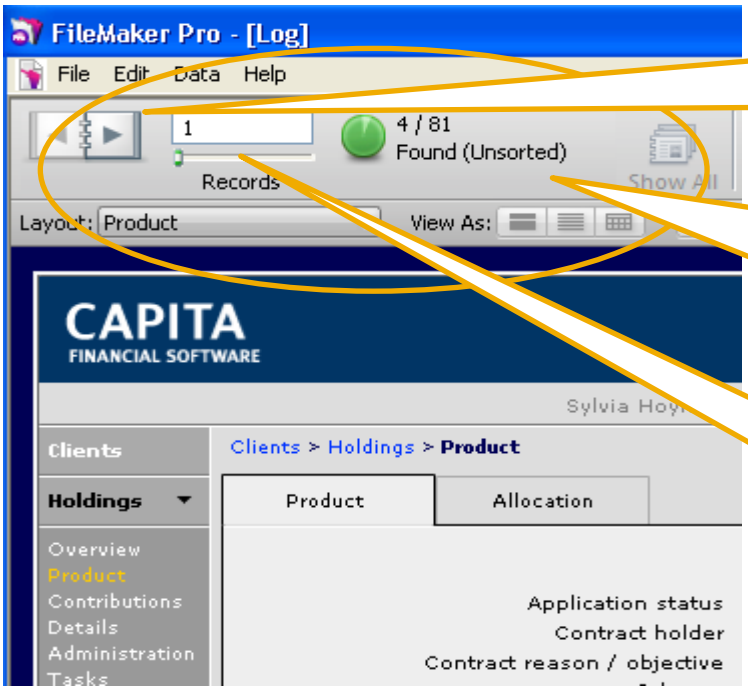

These 'arrows' allow you to move through the records selected click onto the page to move to the next record.

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.

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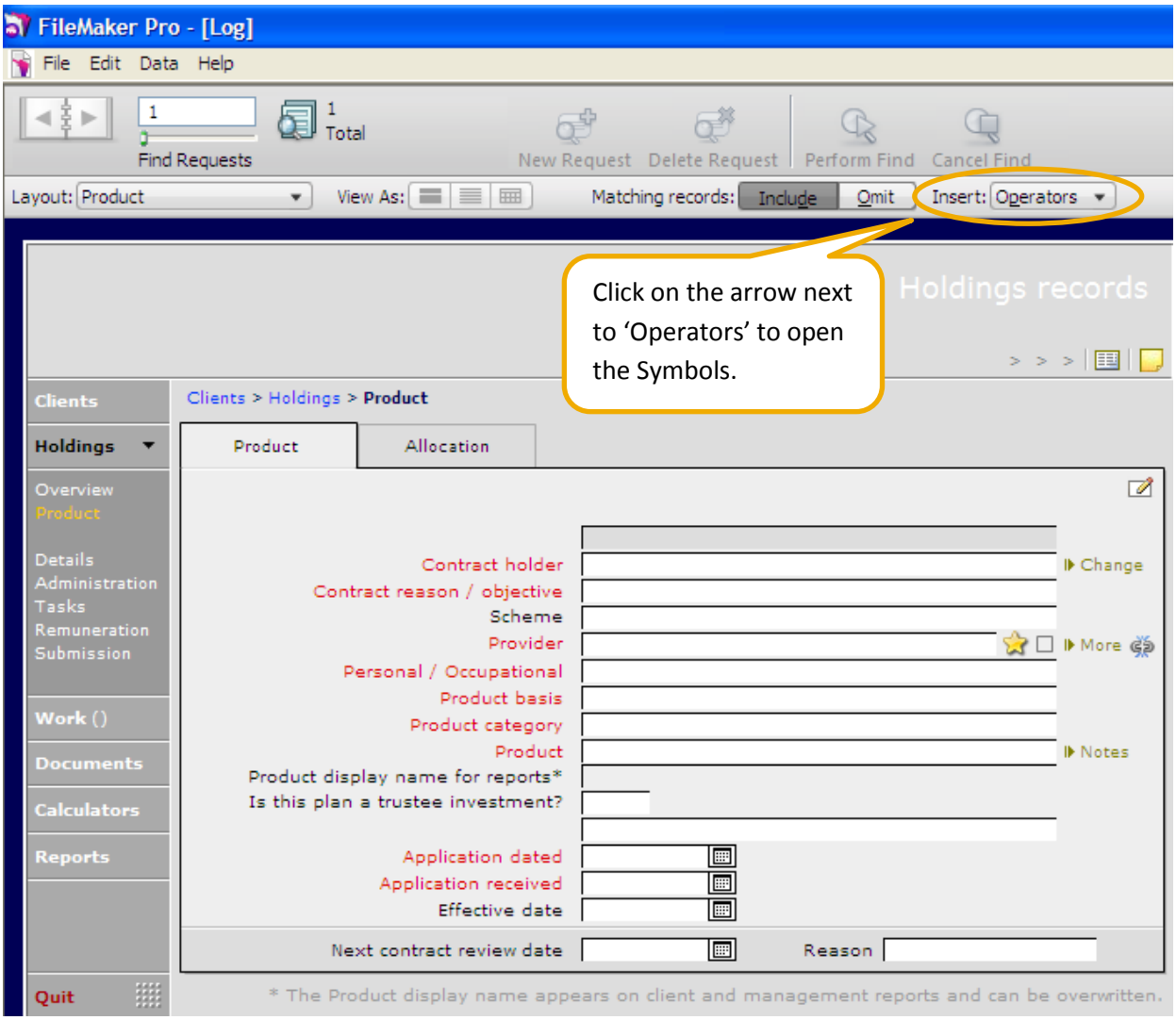
7.2.1 Using the "Symbols" Search

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.



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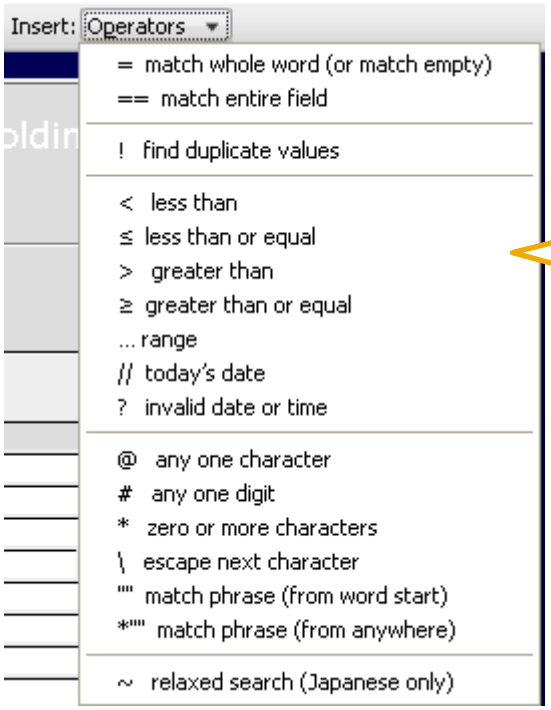

These characters can be used by themselves or in addition to any other letters or numbers to conduct a search.

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:

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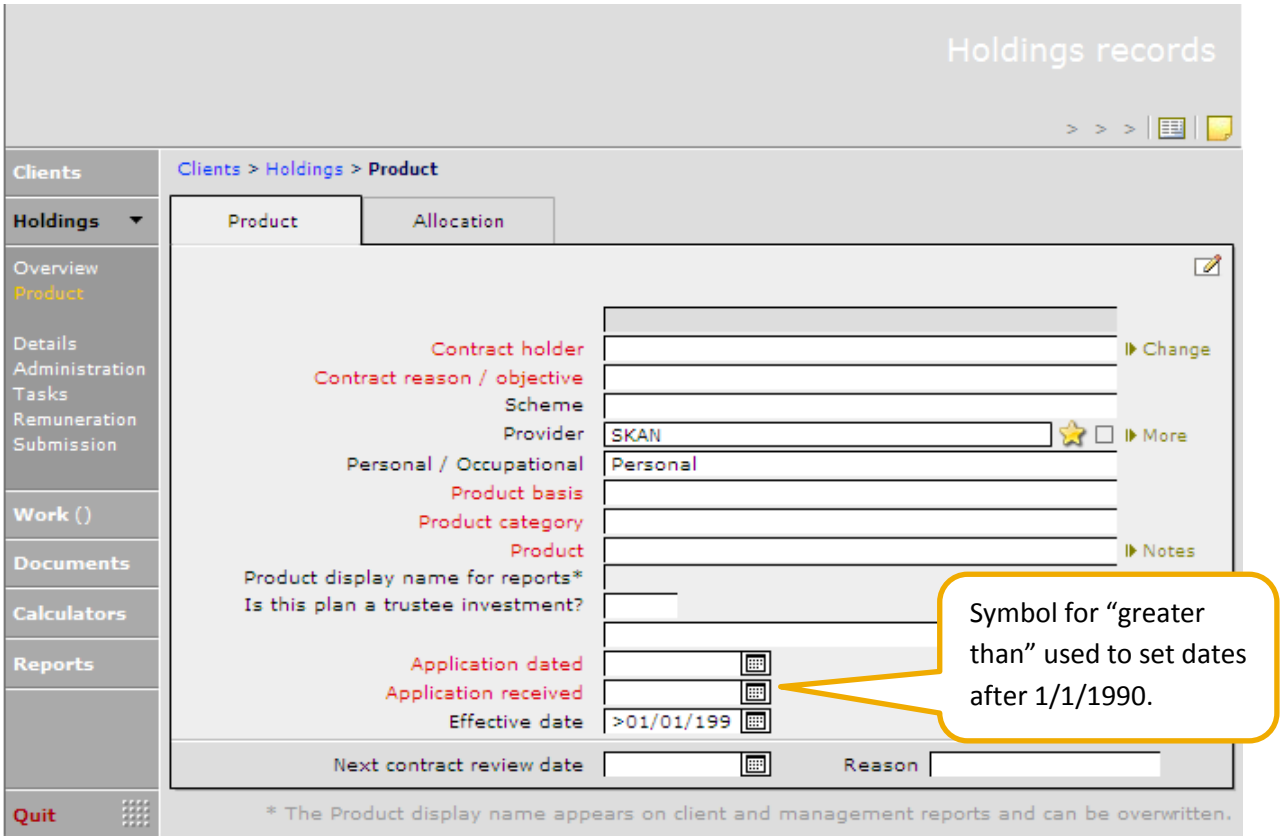

The information is then returned. If the menu does not appear automatically to show how many plans met these criteria, don't forget the 'microwave' button.

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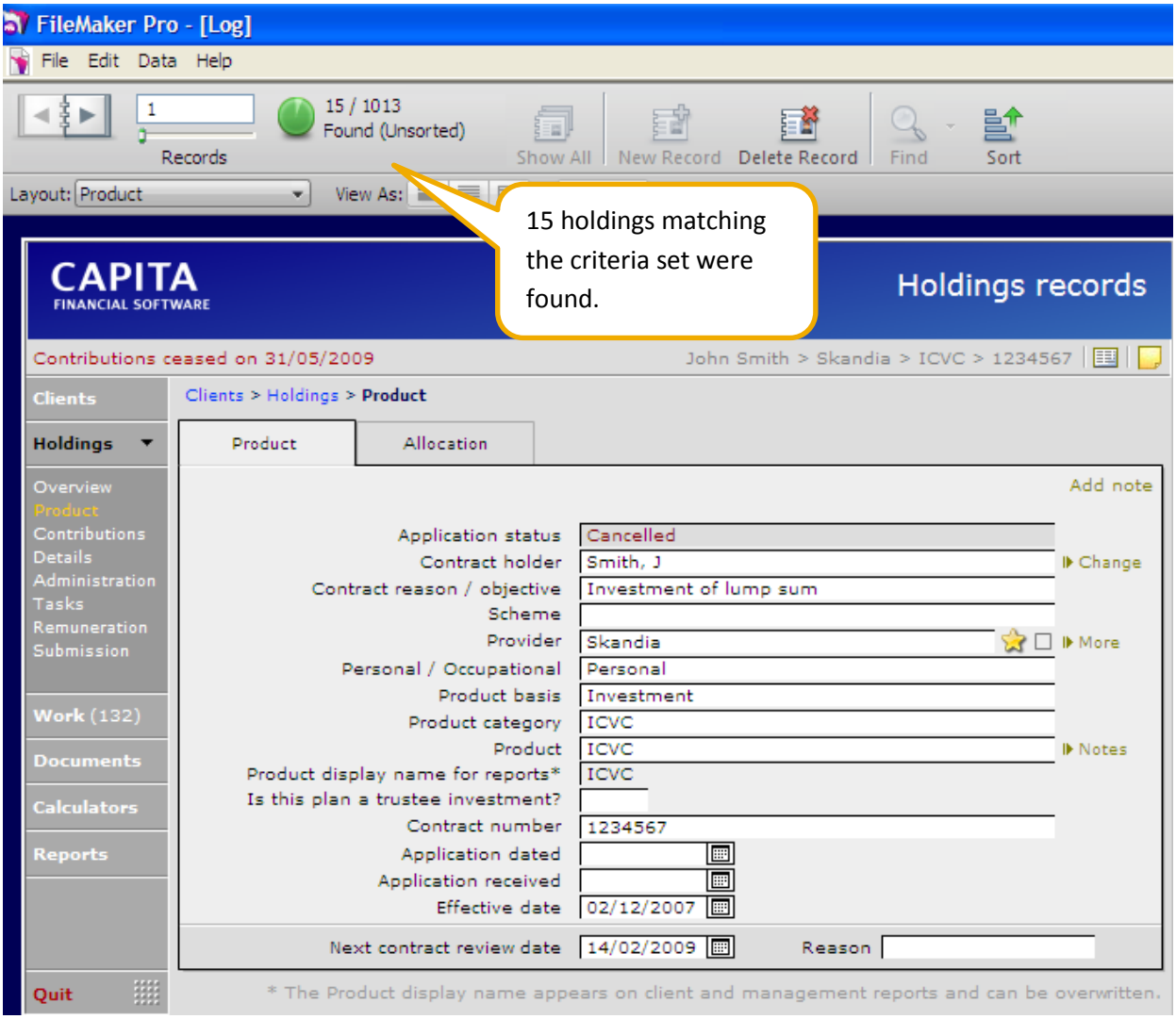

Care does need to be taken when using the symbols as you may get unexpected results. Remember that where you specify certain criteria the system will take this as literally correct.

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.

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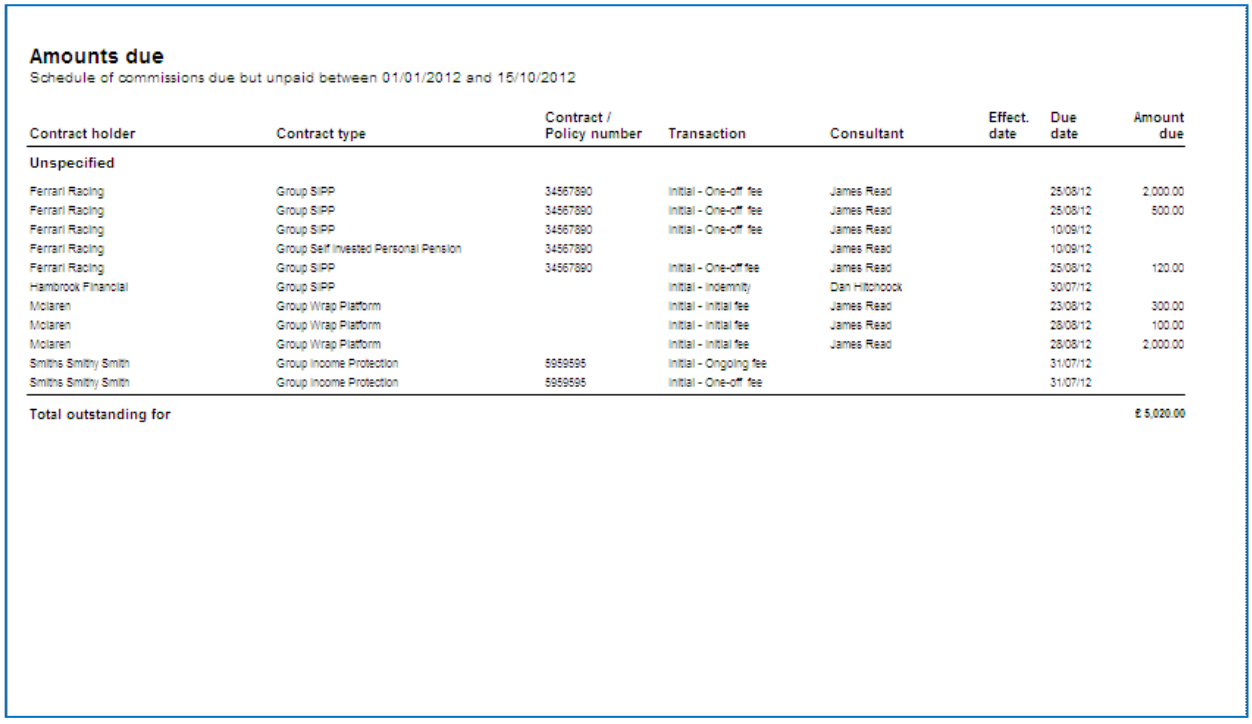
To start the search of a report, enter a CCD report, the report we will use on this example is in the Remuneration reports - Due not paid schedule for (Provider).



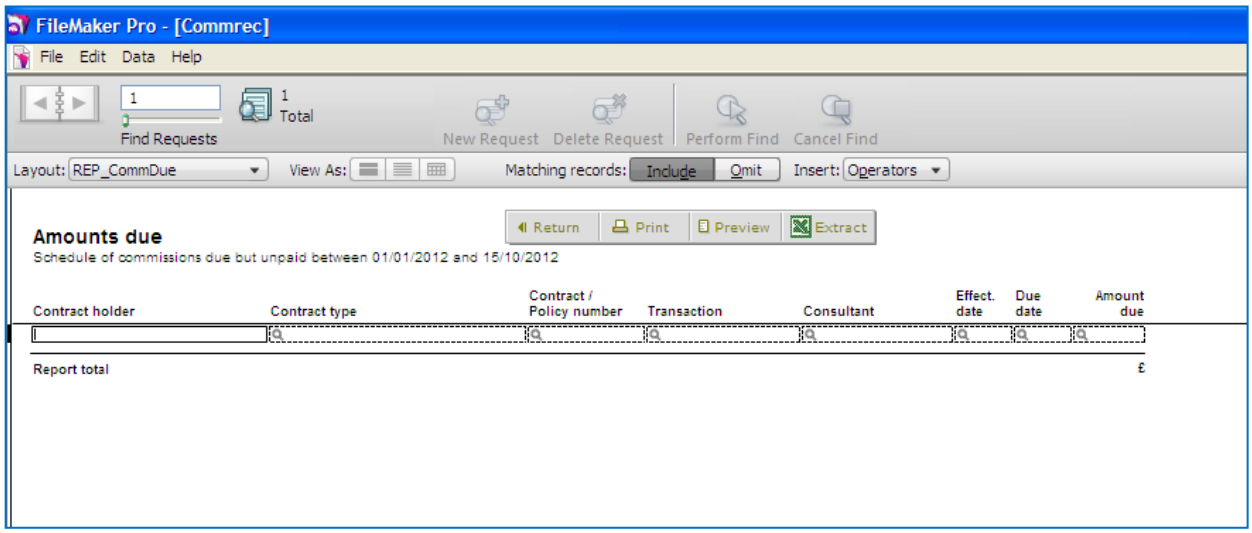
Amounts due

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.



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

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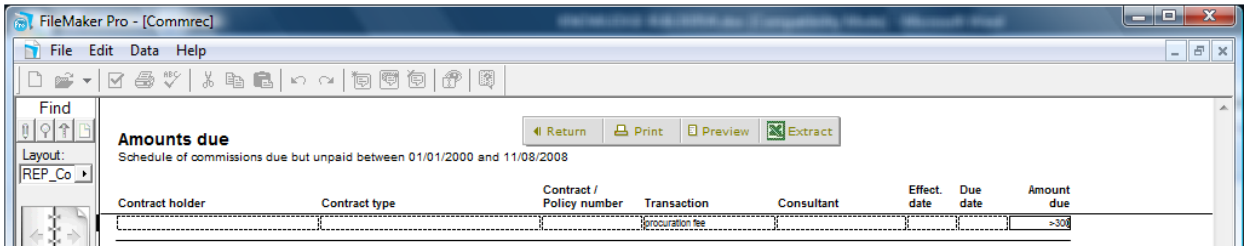
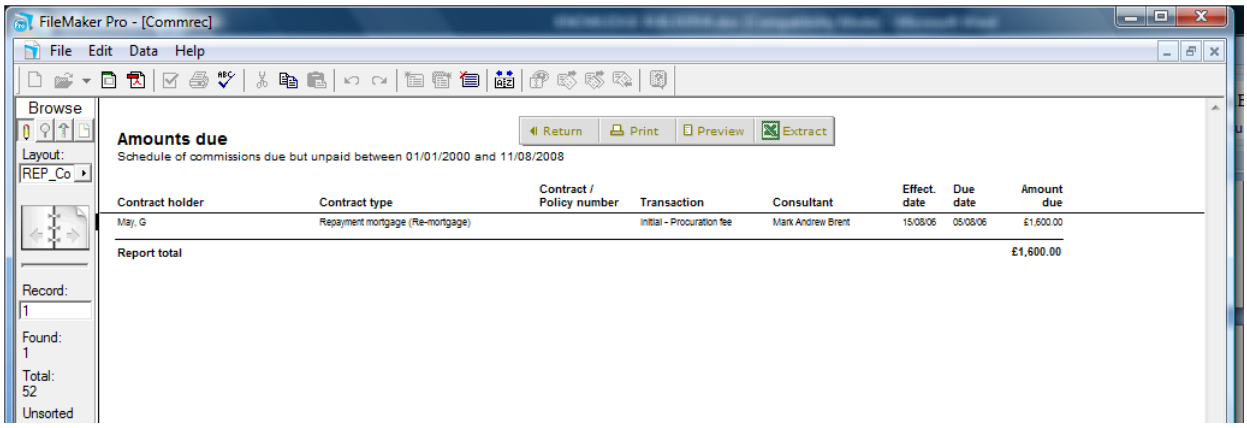
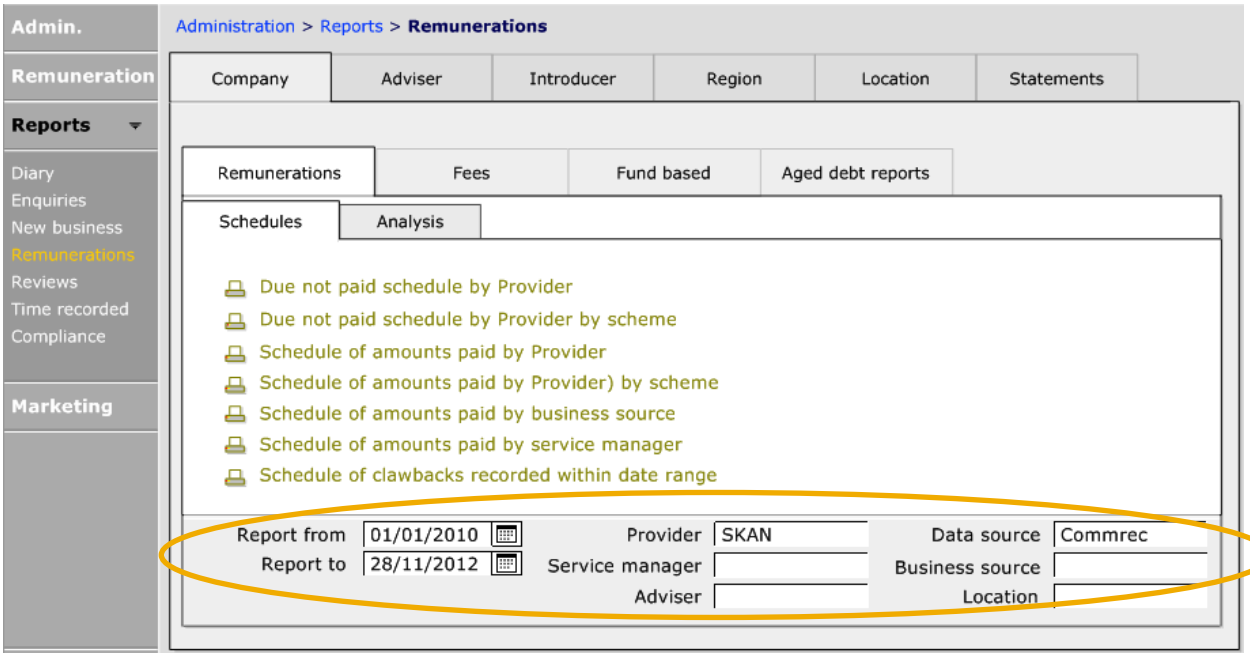




7.3.1 Modify Search

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.



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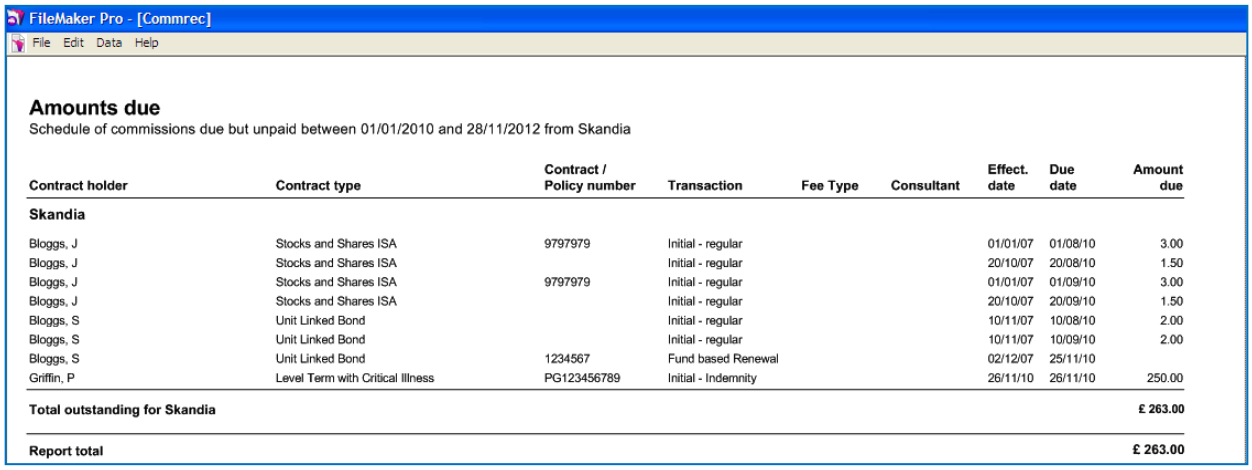
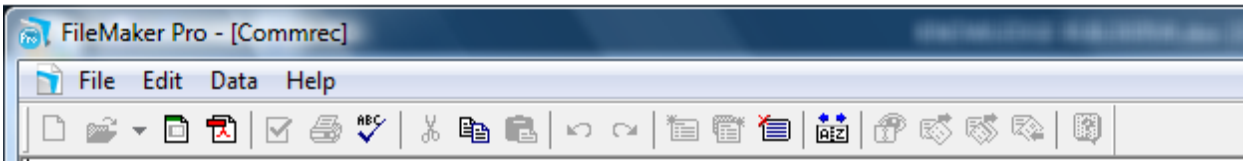
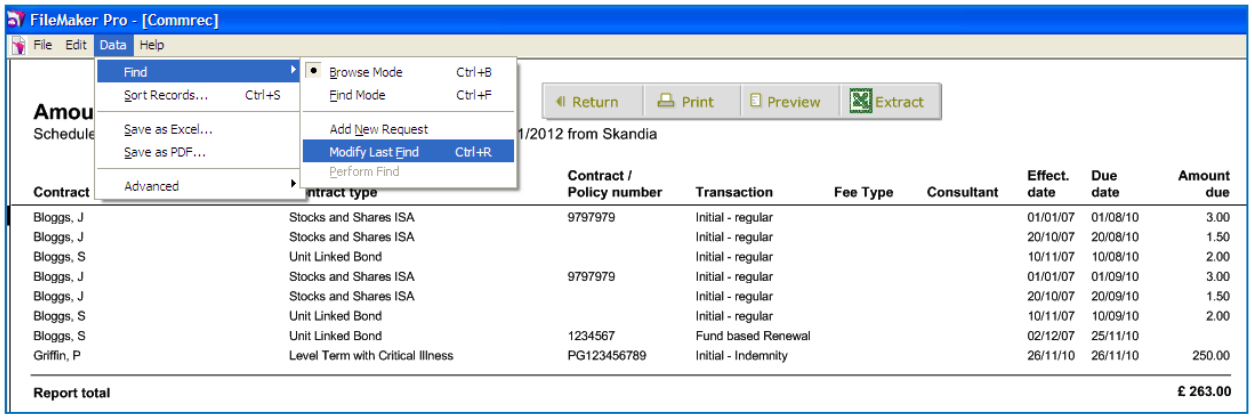


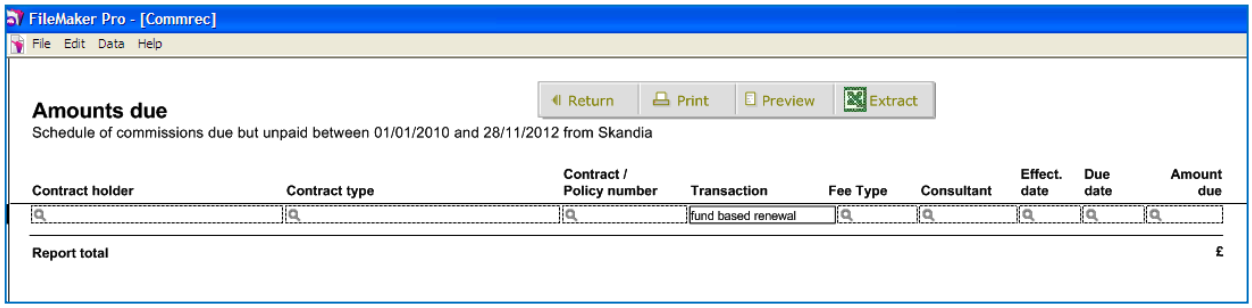
Once you have your report on screen you will see at the top of the screen the FileMaker toolbar.



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.

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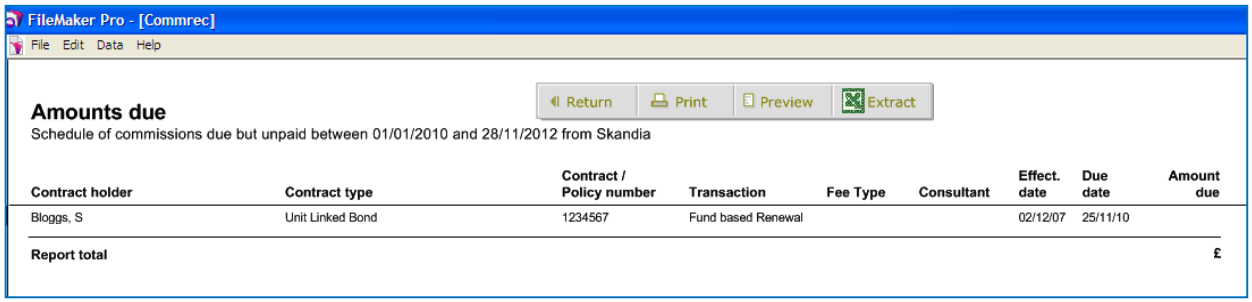
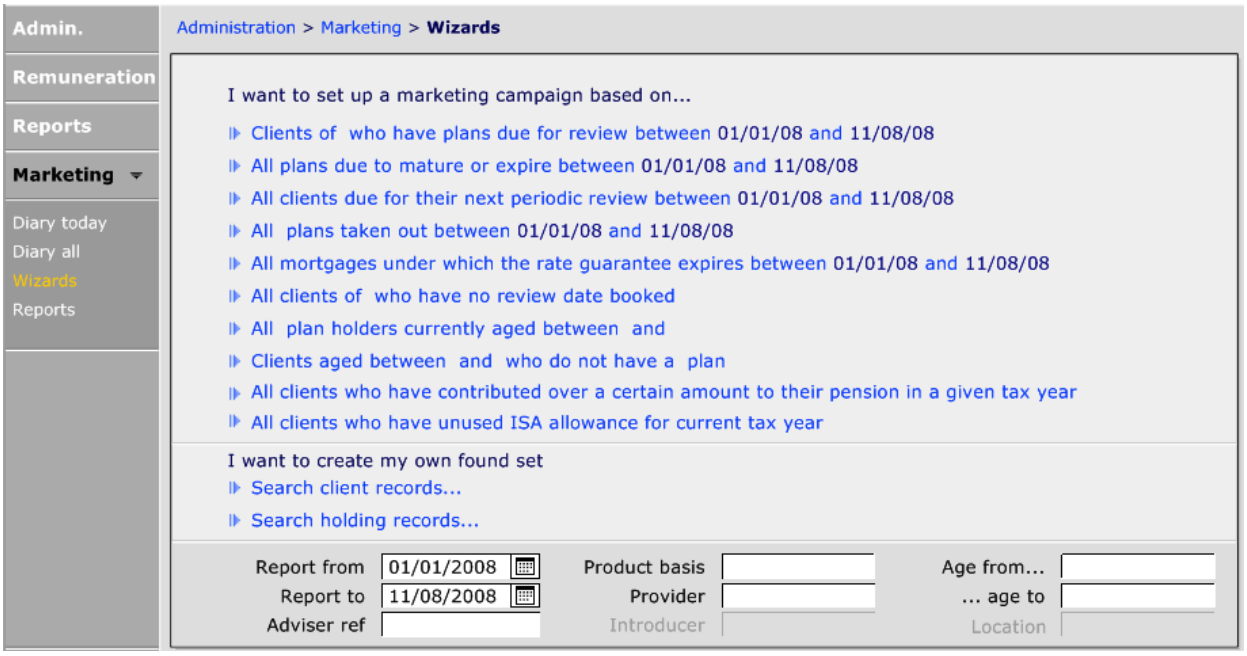


As you can see from the example the report is still for Skandia between the date ranges selected however it now only displays any fund based renewal amounts.

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.

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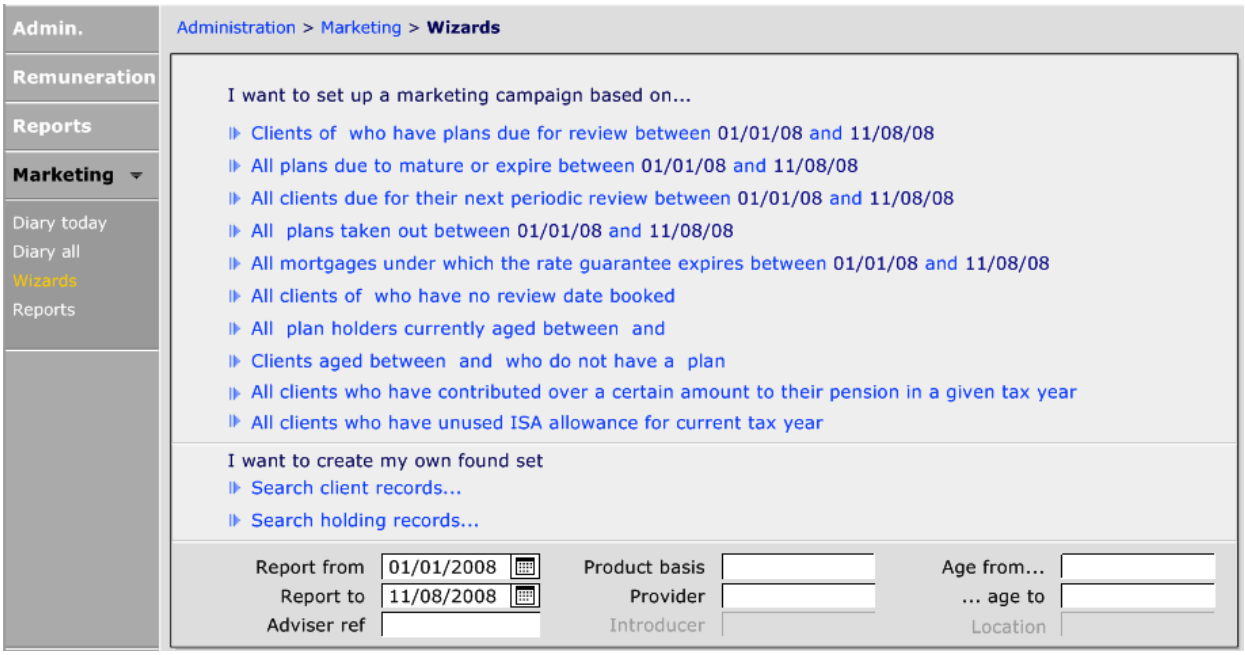
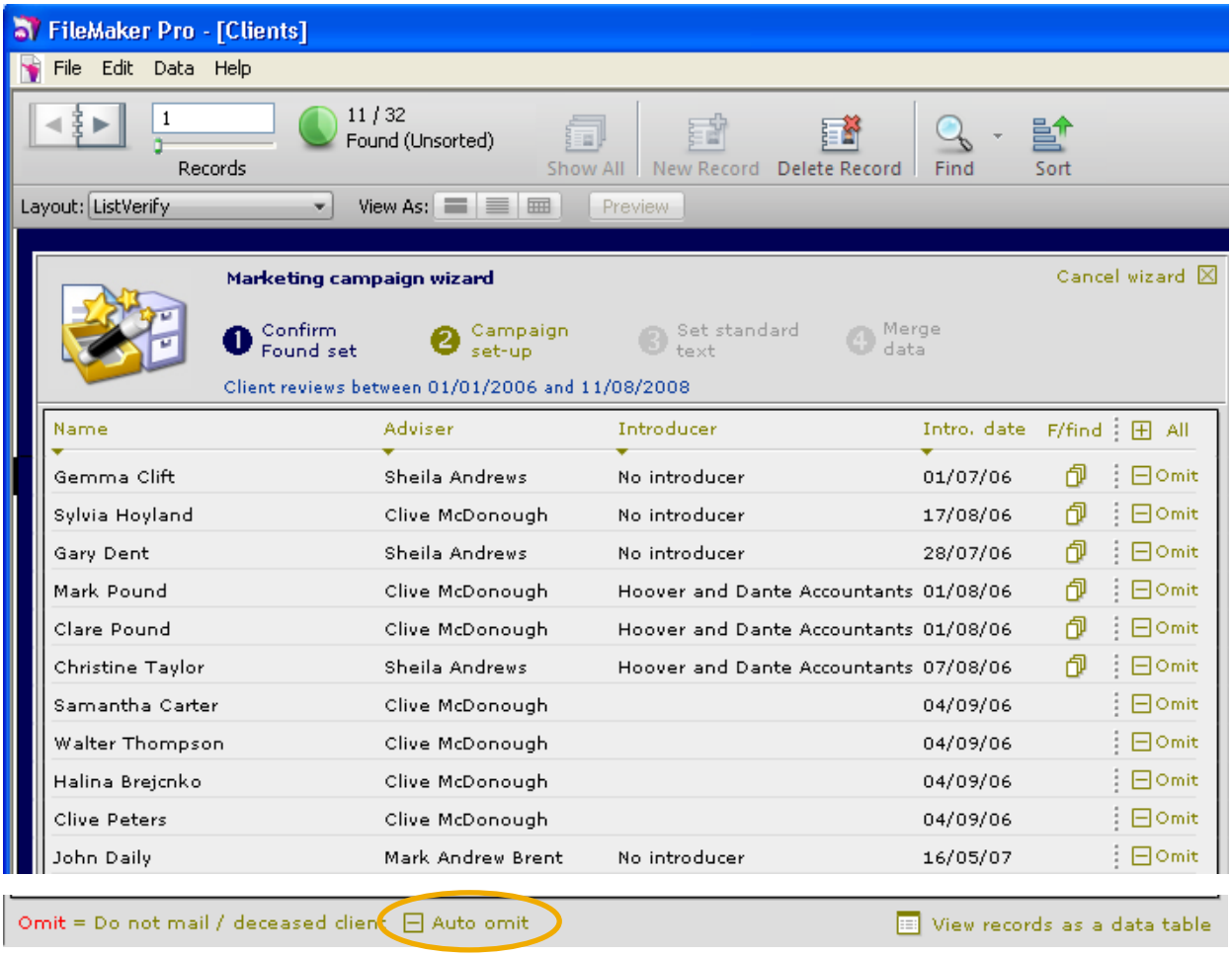


The information is returned in the list format with additional options at the bottom of the page.



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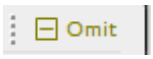
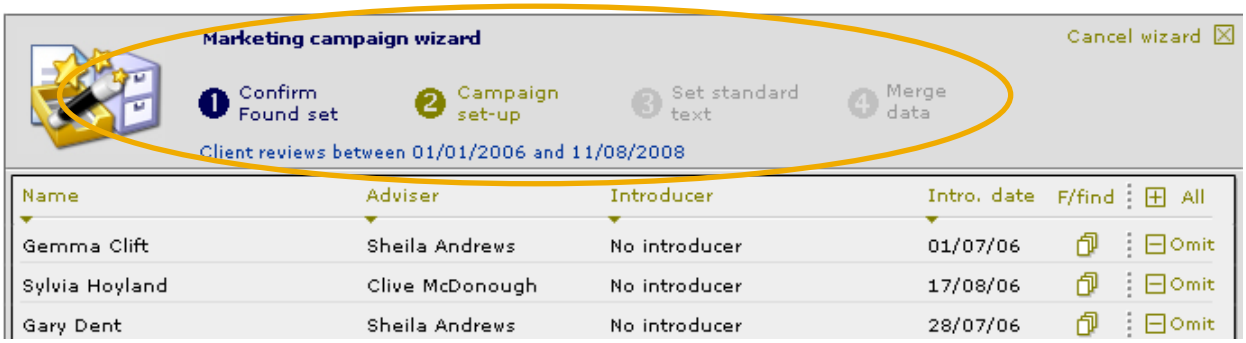
At this point you have the option to omit any clients that you do not wish to contact, or that have the deceased/do not mail flag logged against their record. To omit the records already flagged as deceased/do not mail use the link at the bottom of the page.

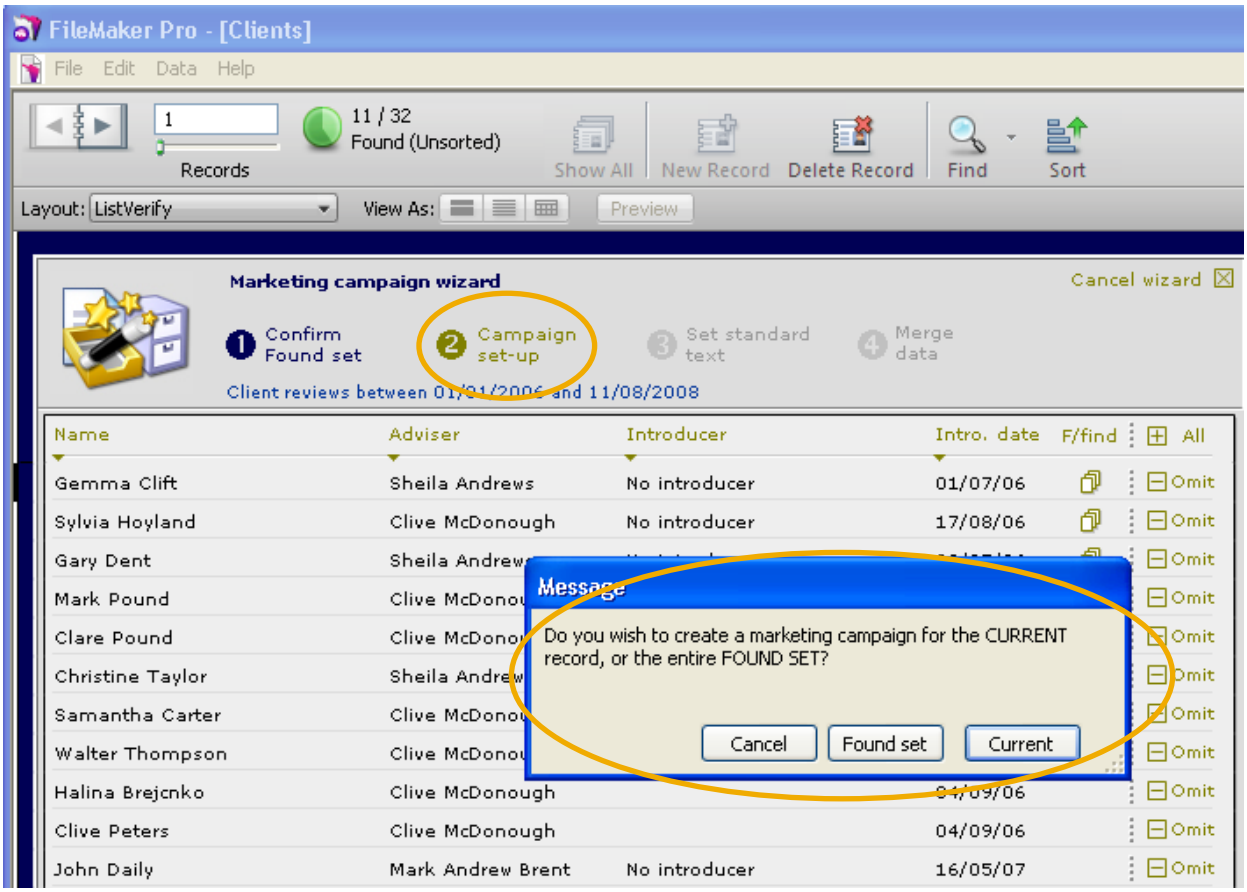
To omit individual records use the 

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:

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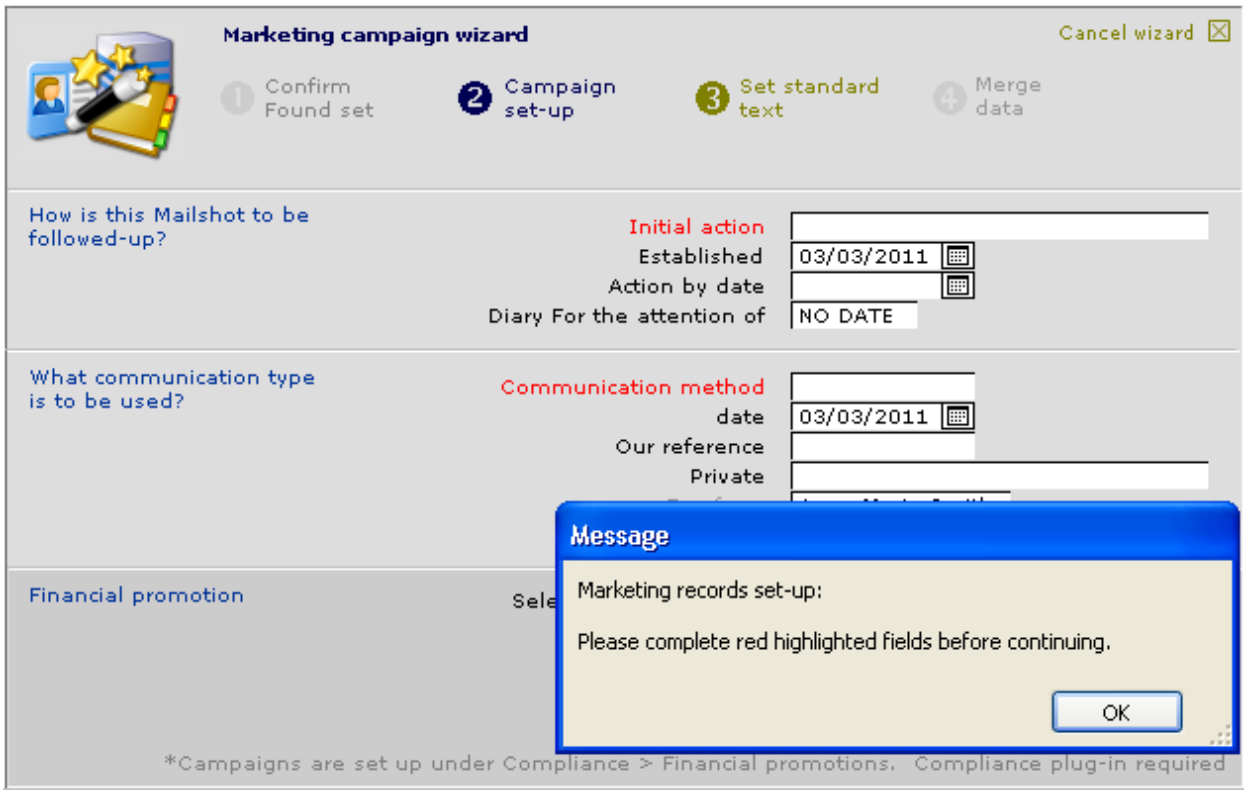

Complete the fields as required. If the Compliance module is being used to monitor campaigns select the campaign code from the drop down box.

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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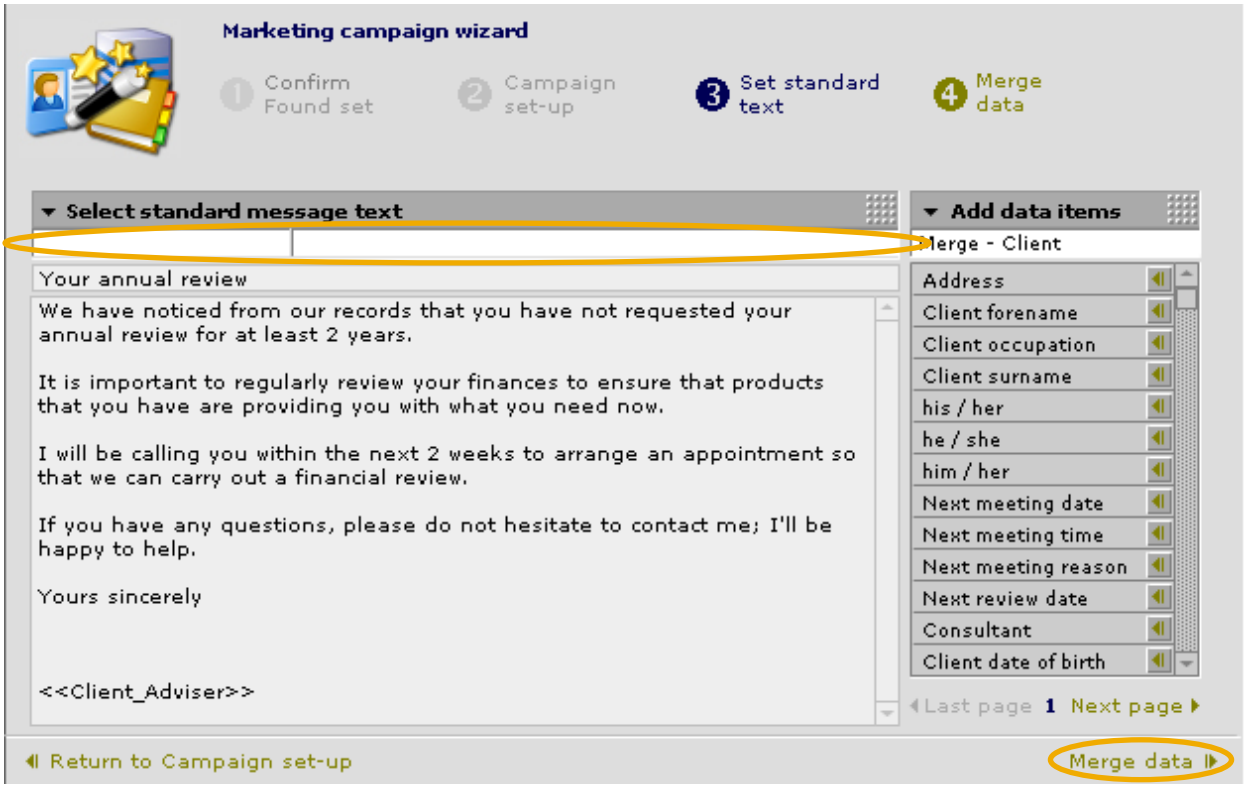

Select/type/create your letter using merge fields where required in exactly the same way as in Work/Tasks.

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.

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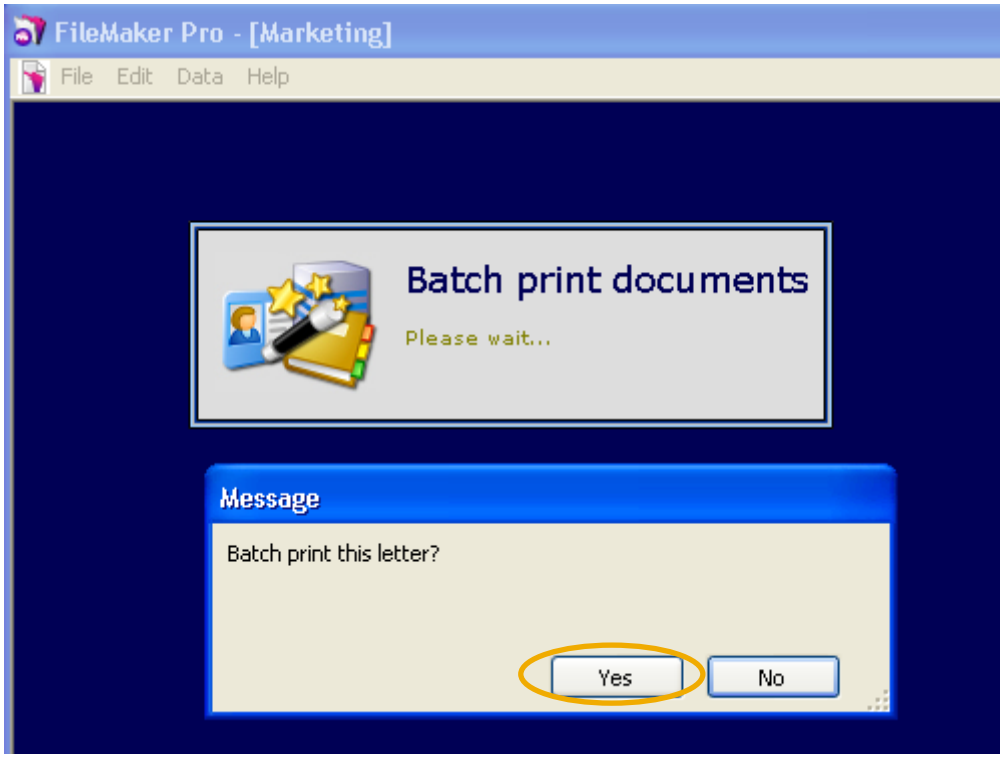
Once the data has been merged you will get the option to view the letters or to batch print them.

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



You will then be asked to select your printer.

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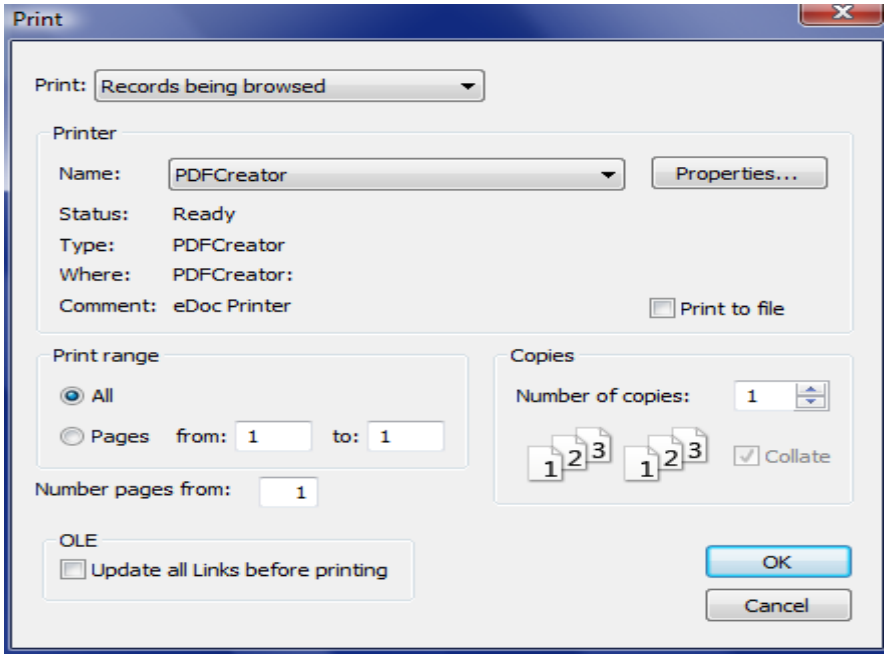

Once letters have been sent to the printer you will be returned to the merged data screen.

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.

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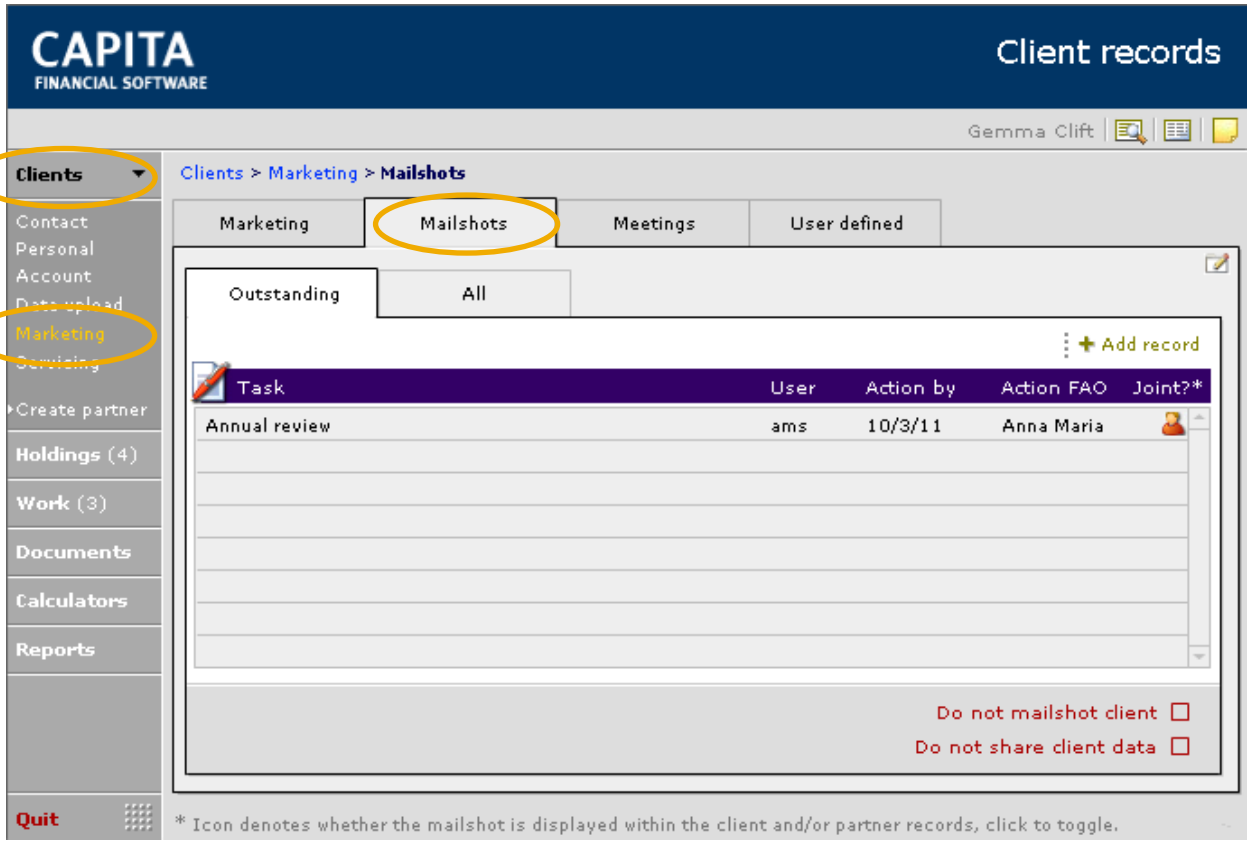

If a date was set for the work to be done by, then the marketing record will appear in 'Outstanding'. All completed campaigns will show in the all tab.

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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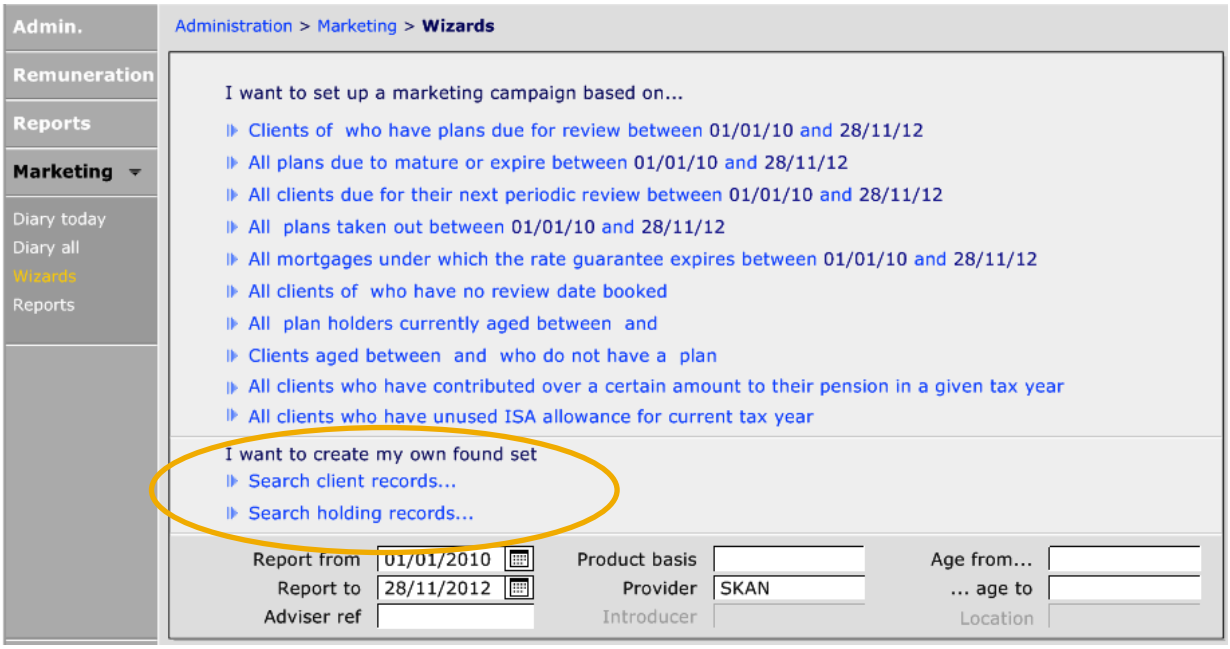
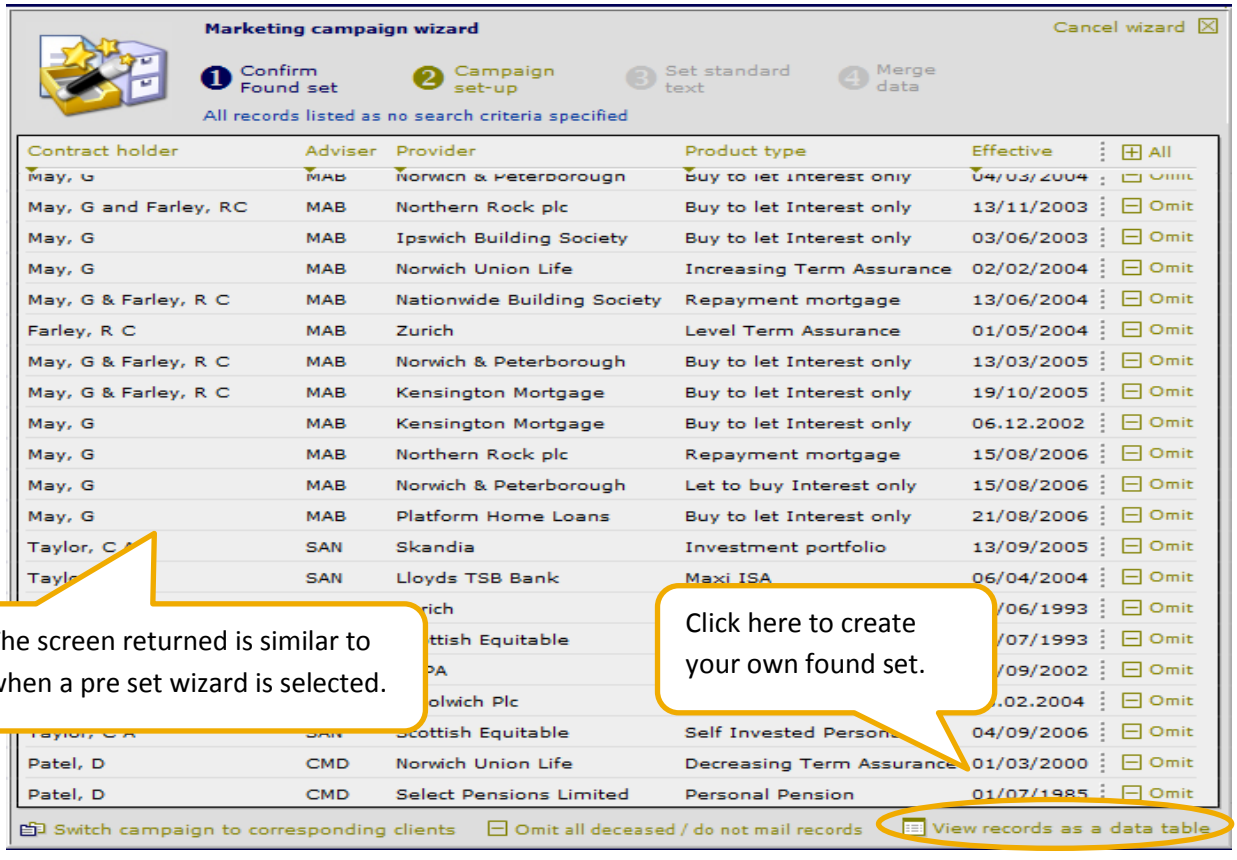


The example below shows the screen to Search holding records.



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.

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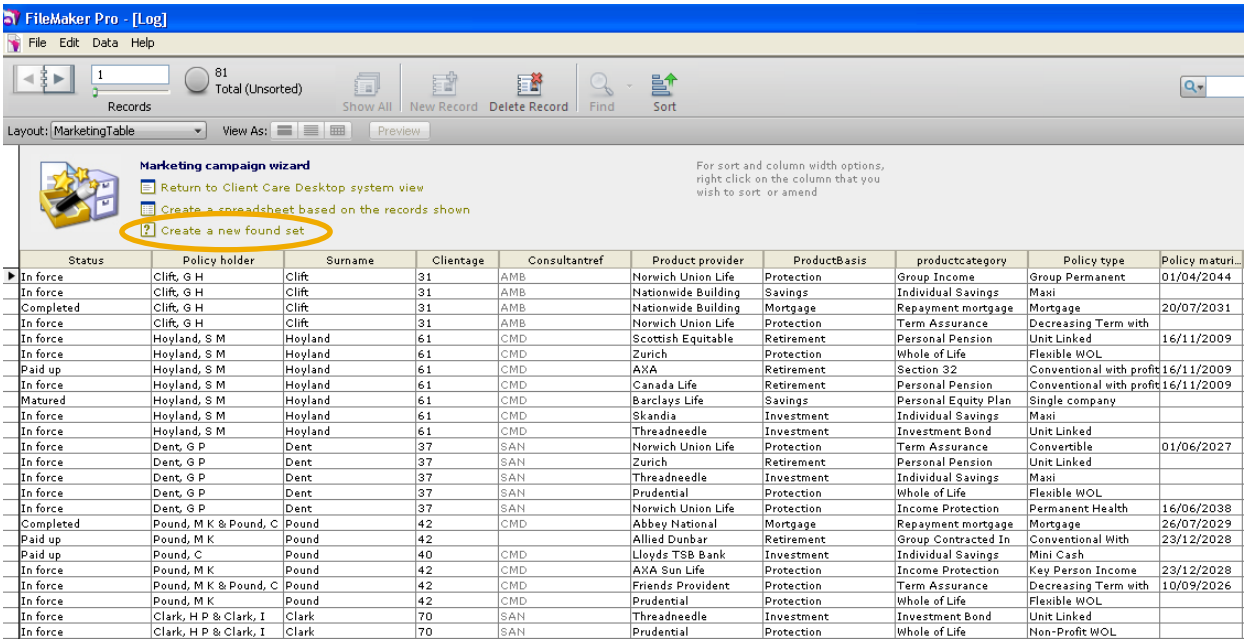


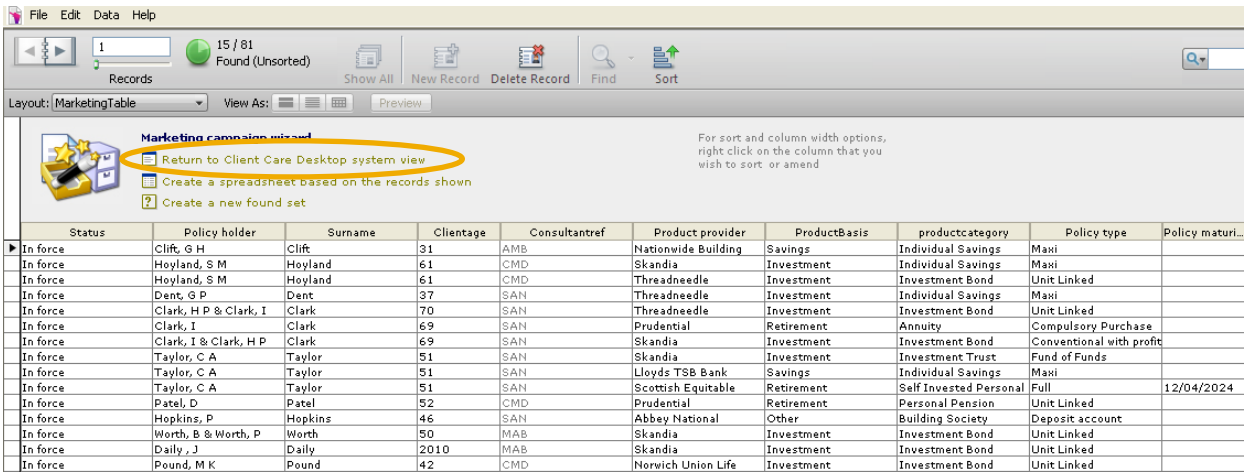
Status	Policy holder	Surname	Clientage	Consultantref	Product provider	ProductBasis	productcategory	Policy type	Policy maturi...
In force	Clift, G H	Clift	31	AMB	Norwich Union Life	Protection	Group Income	Group Permanent	01/04/2044
In force	Clift, G H	Clift	31	AMB	Nationwide Building	Savings	Individual Savings	Maxi	
Completed	Clift, G H	Clift	31	AMB	Nationwide Building	Mortgage	Repayment mortgage	Mortgage	20/07/2031
In force	Clift, G H	Clift	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		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.



Status	Policy holder	Surname	Clientage	Consultantref	Product provider	ProductBasis	productcategory	Policy type	Policy maturi...
In force	Clift, G H	Clift	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

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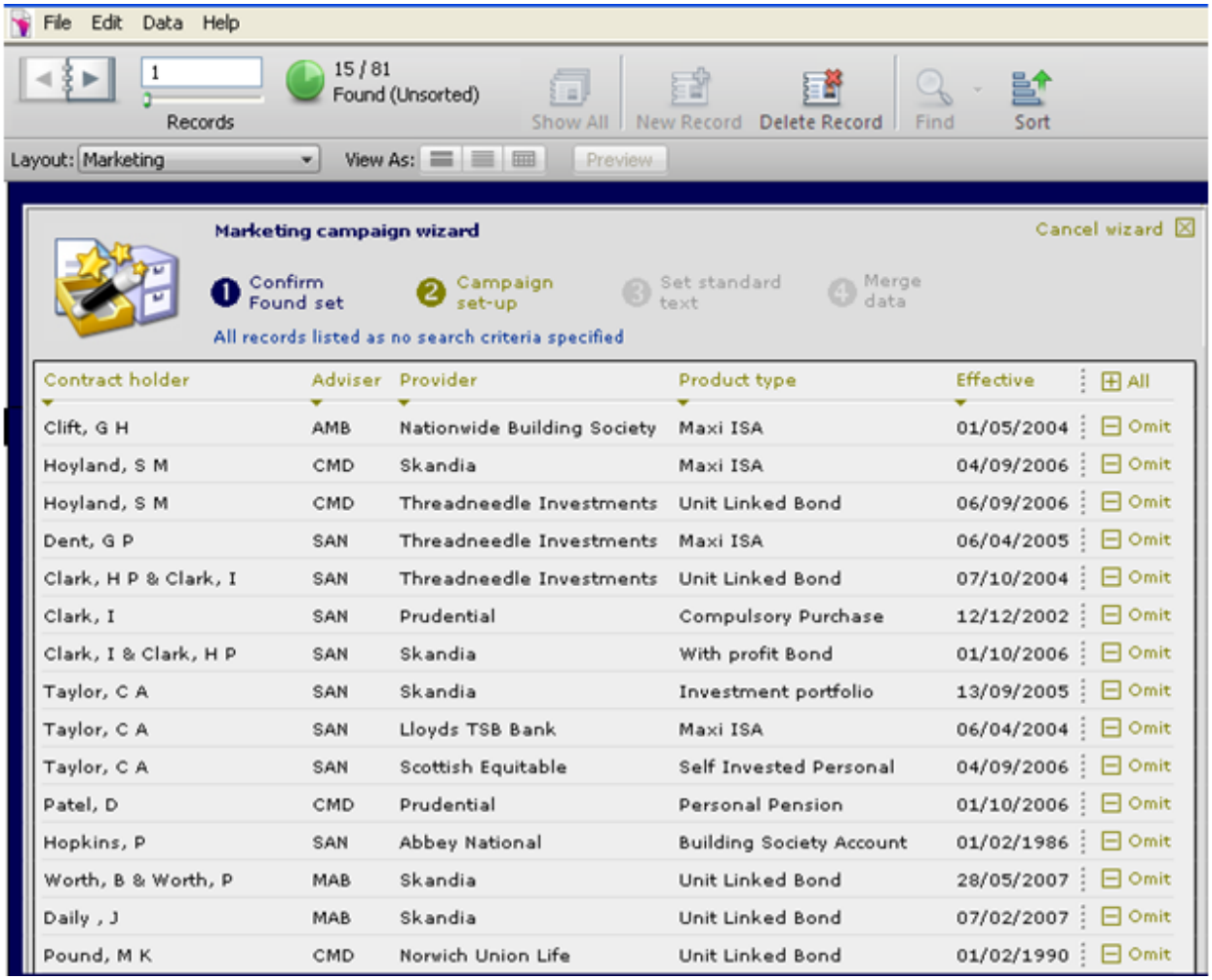

Continuing the campaign from this point onwards is exactly the same as previously described in this guide.

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.

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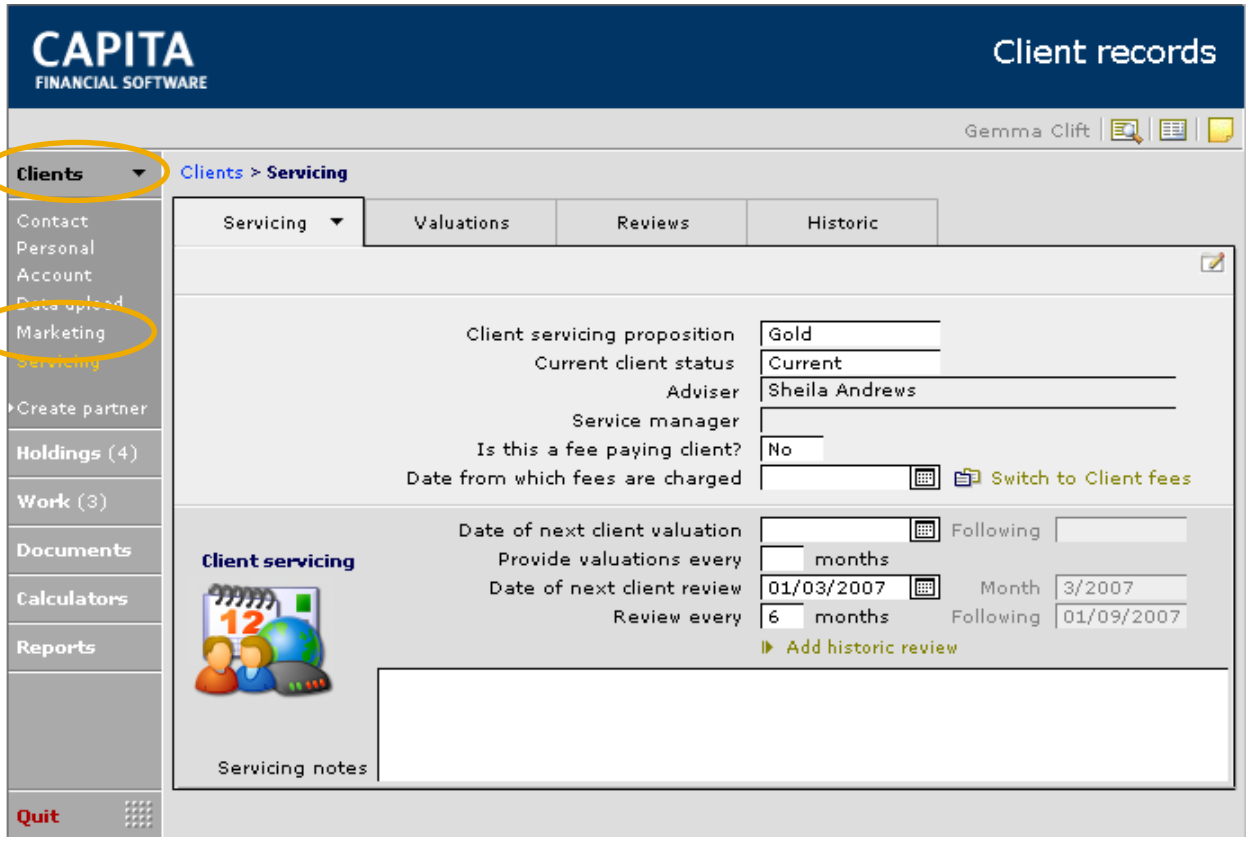

The top half of the servicing screen shows general information regarding the servicing proposition for the client. The bottom half of the screen allows more detailed information to be added around valuations and reviews.

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:

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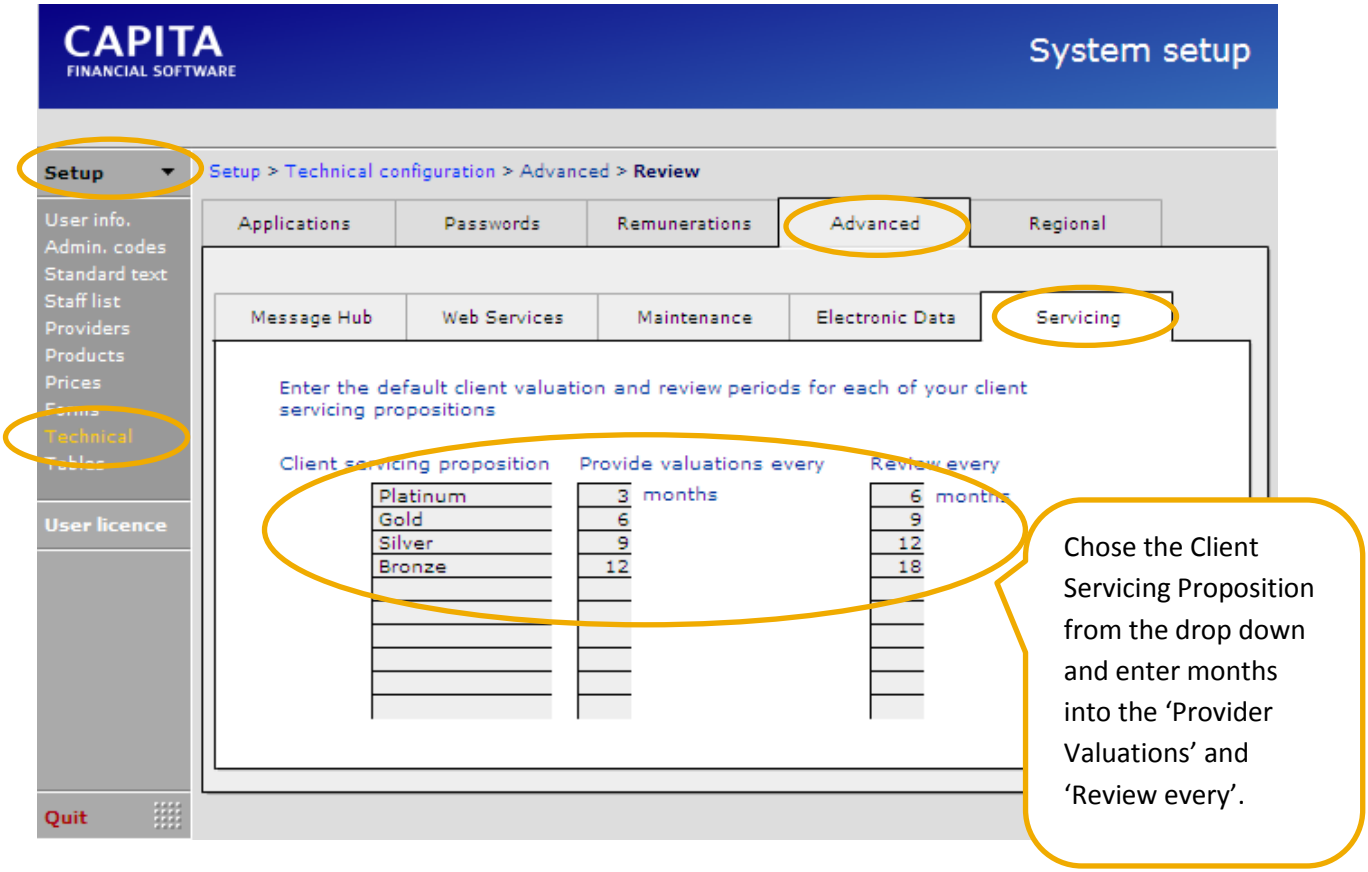

Now that this has been set up, when you are on a client's record and you chose a servicing proposition, the months for the 'Valuations' and 'Reviews' will automatically pull through.

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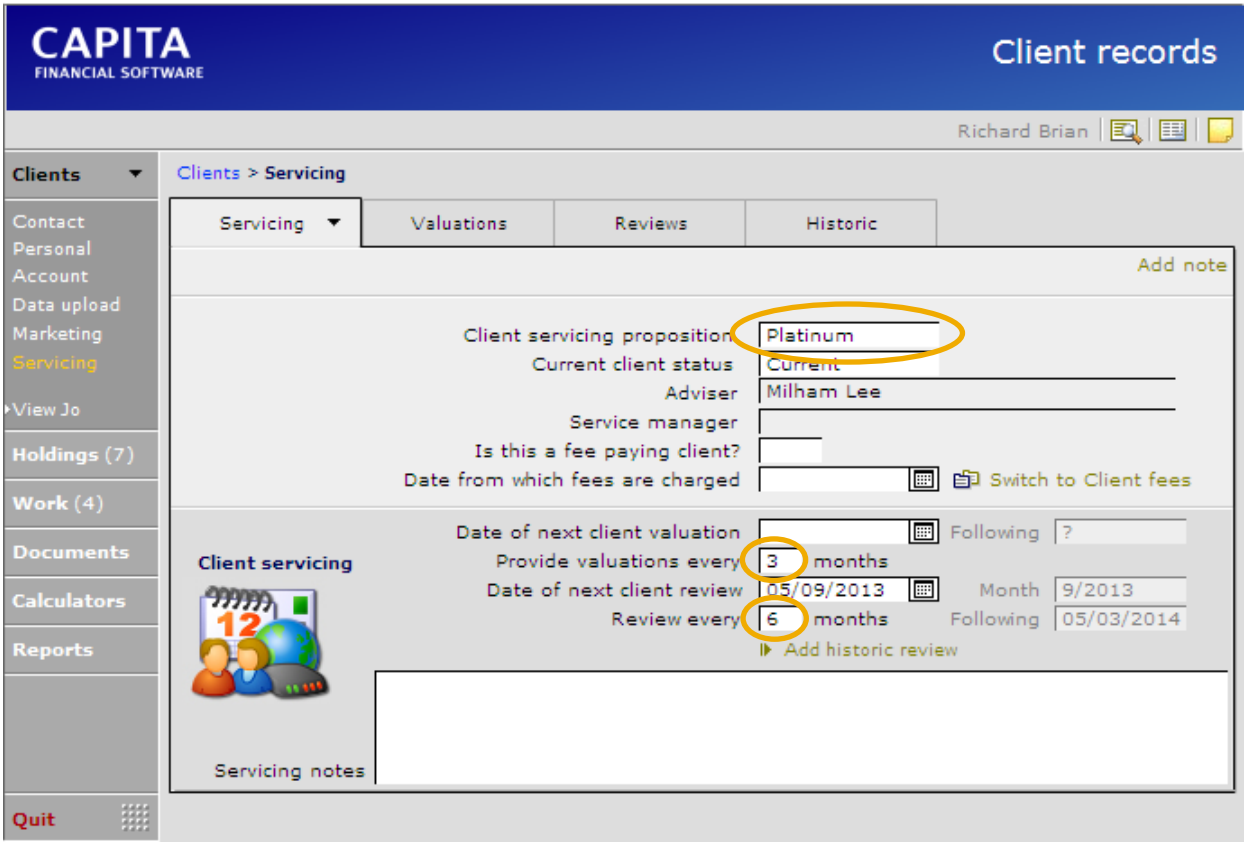
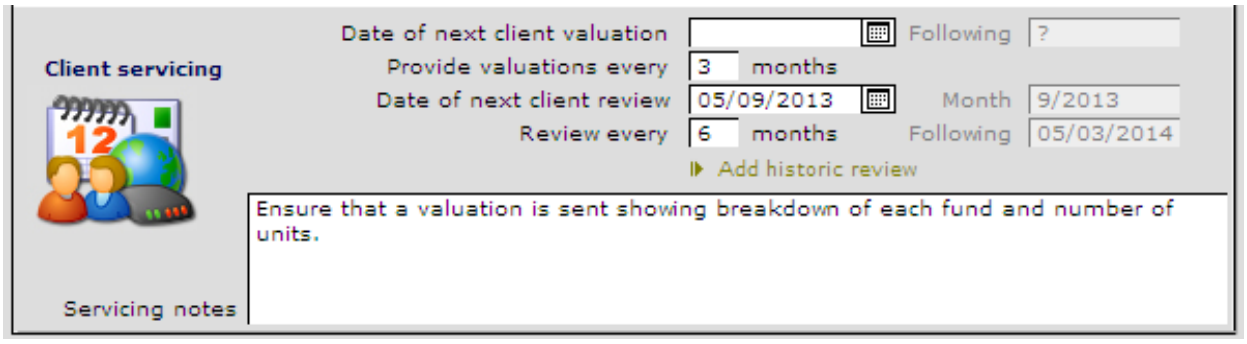


Just complete the 'Date of the next client valuation' and 'Date of next client review'.

Additional notes for servicing this client can be added.



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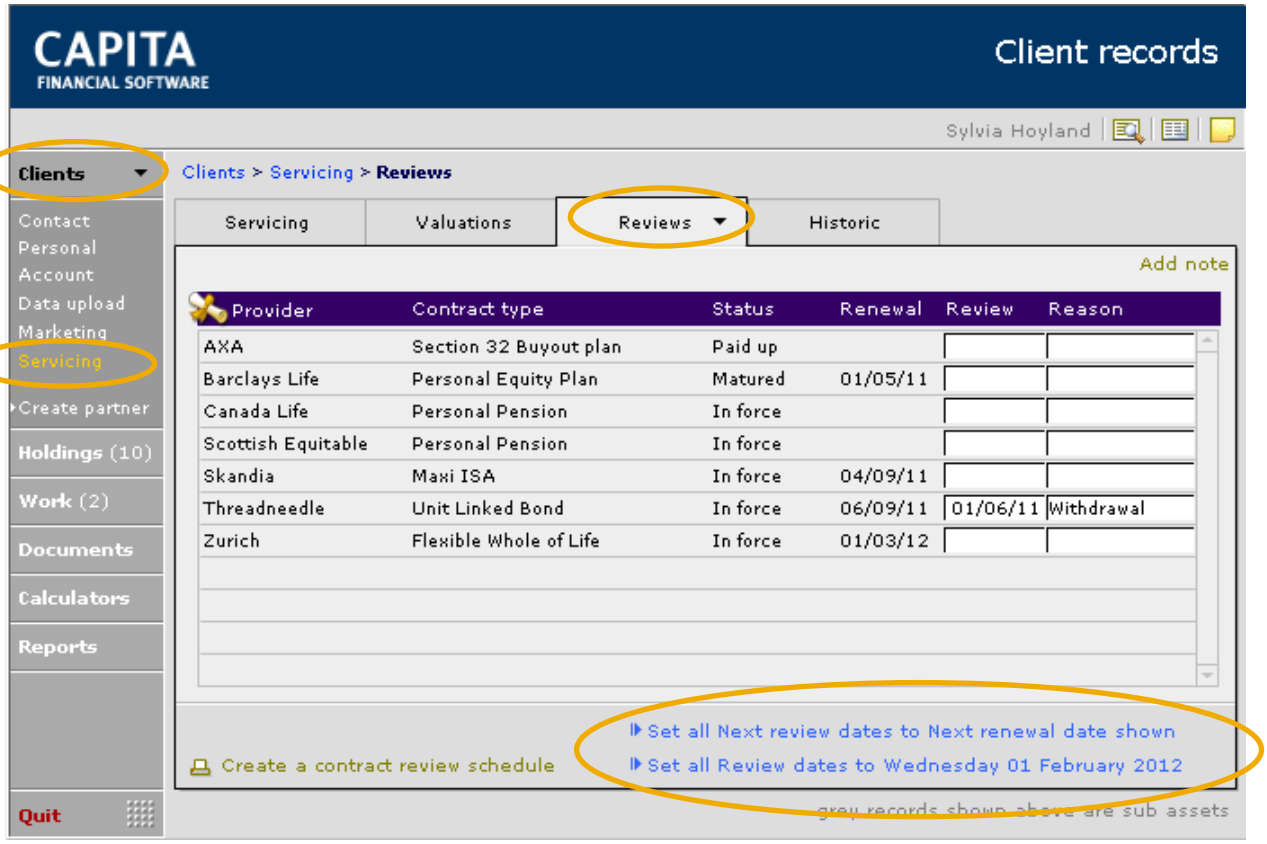
11.1 Holding Reviews



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.

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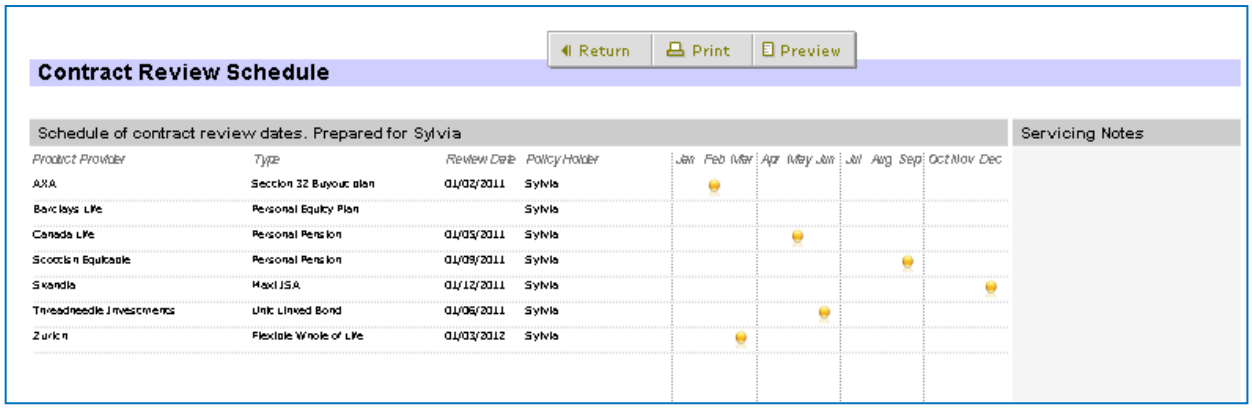
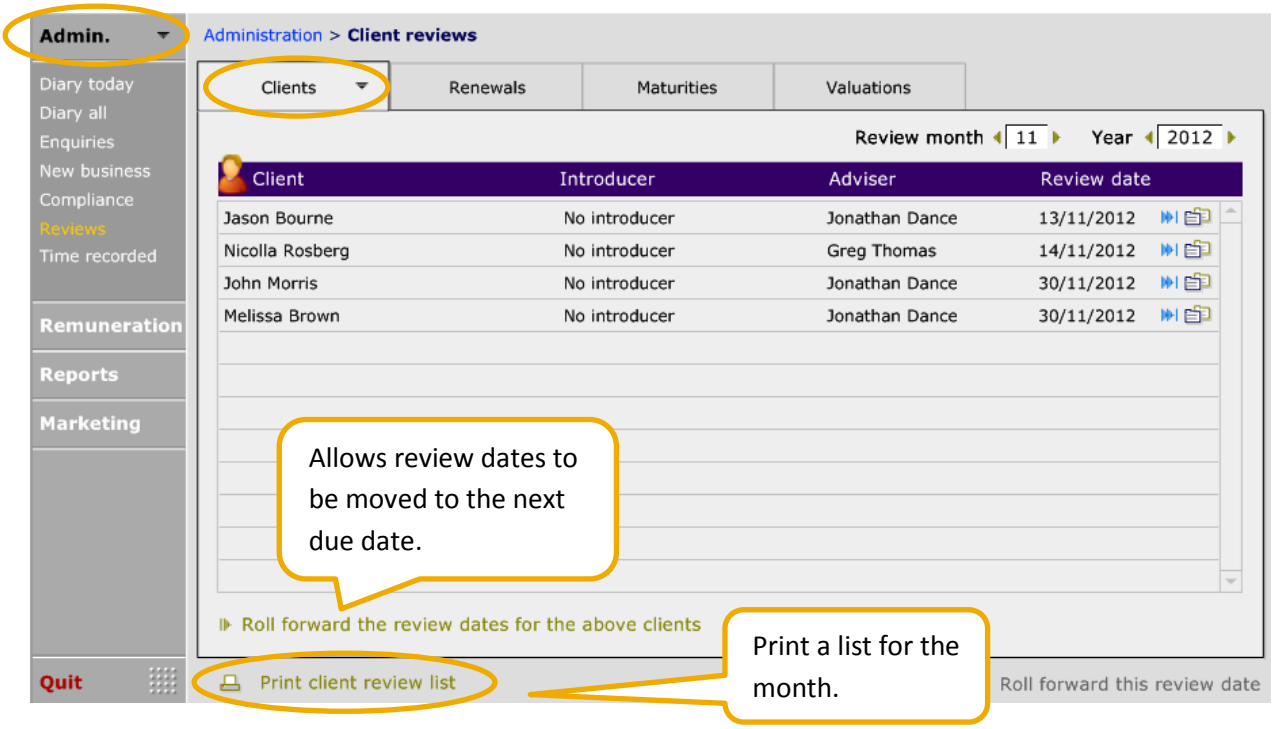


11.2 Admin reviews section

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

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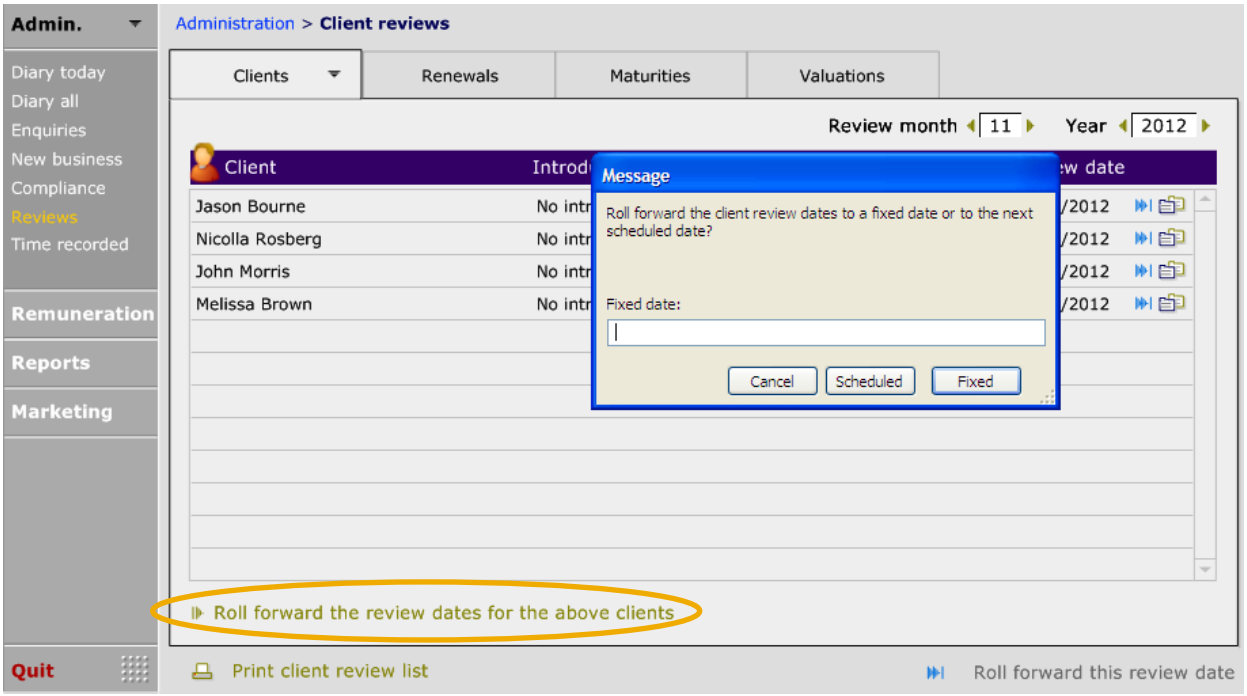
If the **>Roll forward the review dates for the above clients** button is used to roll forward all dates, the following appears:



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:

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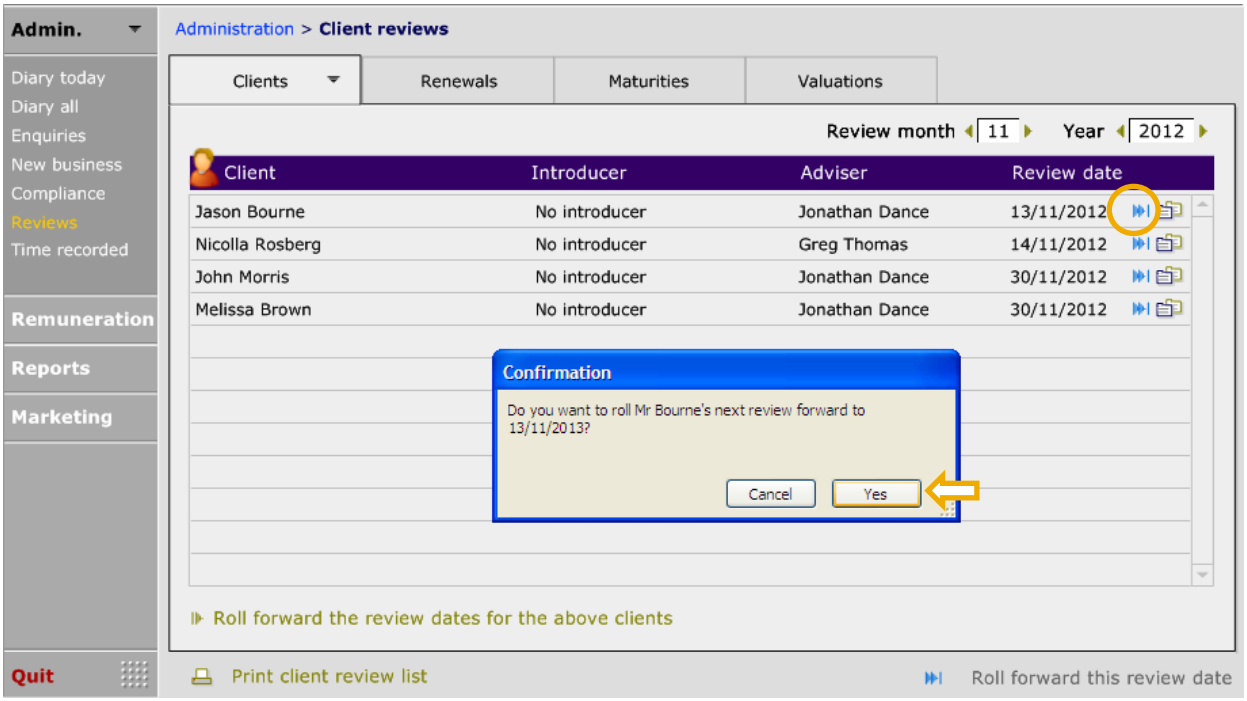
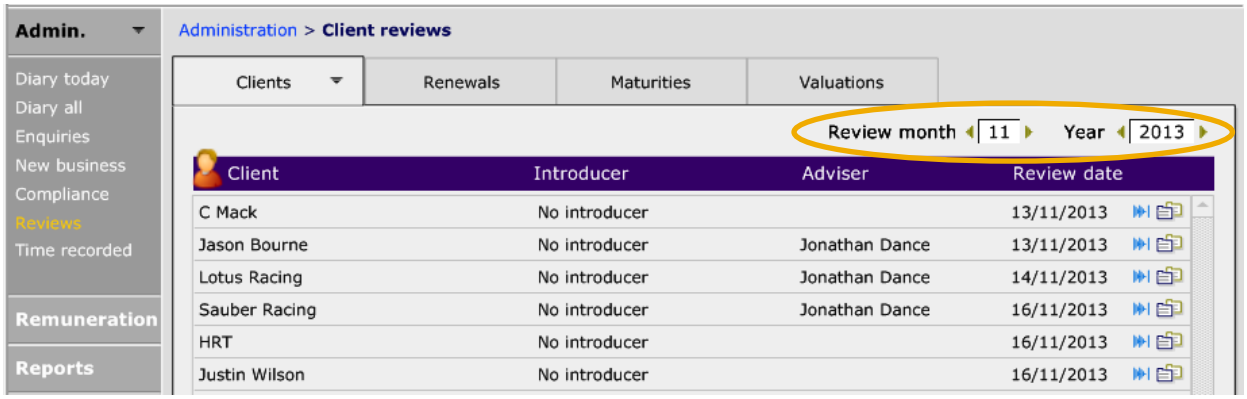


Select 'Yes' and these clients will be placed back into this diary for the appropriate month:



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:

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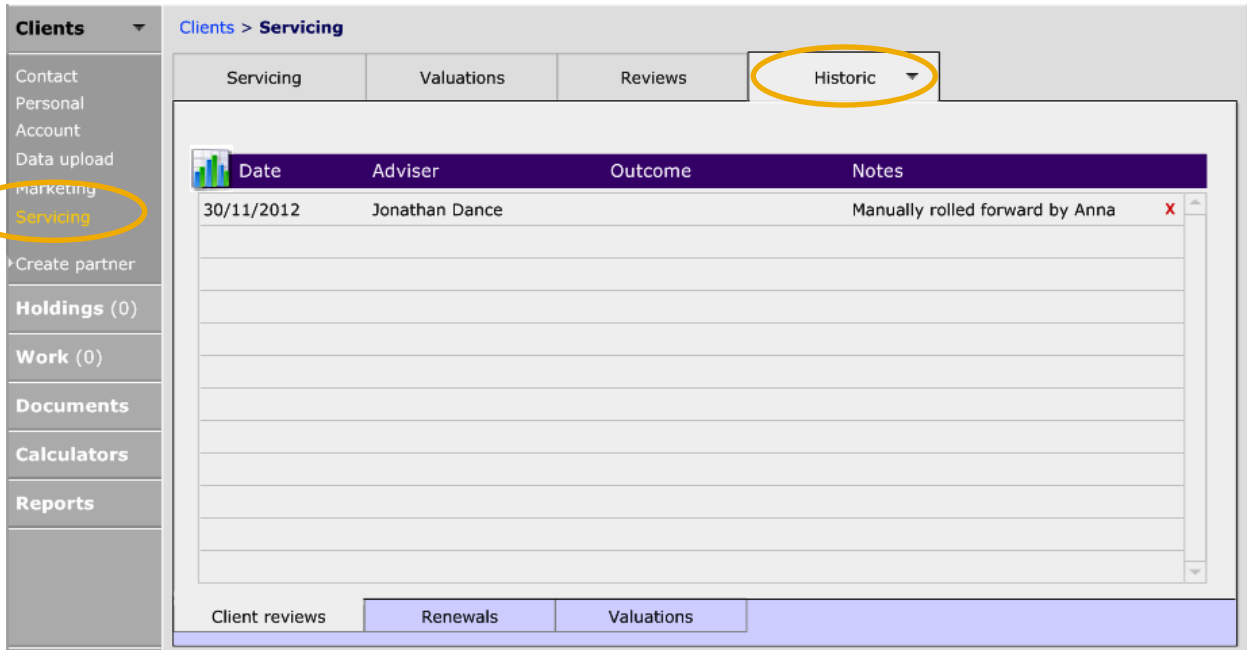
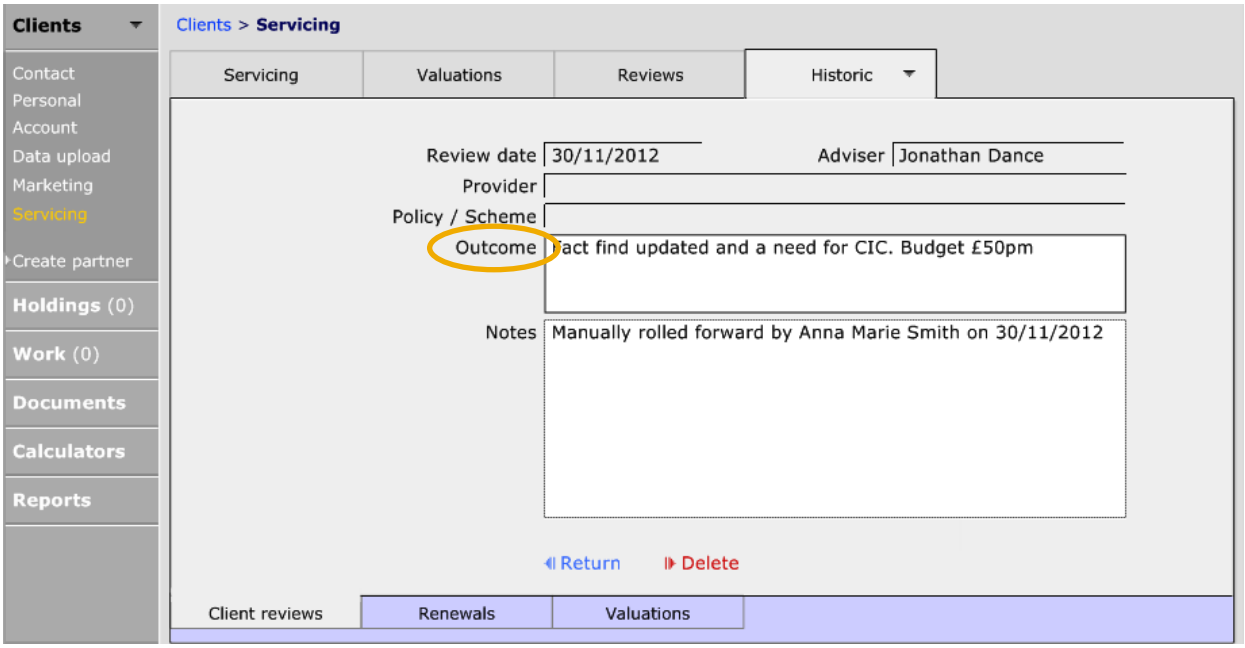


Click onto the line entry and the following will appear. The 'Outcome' can be recorded.



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.

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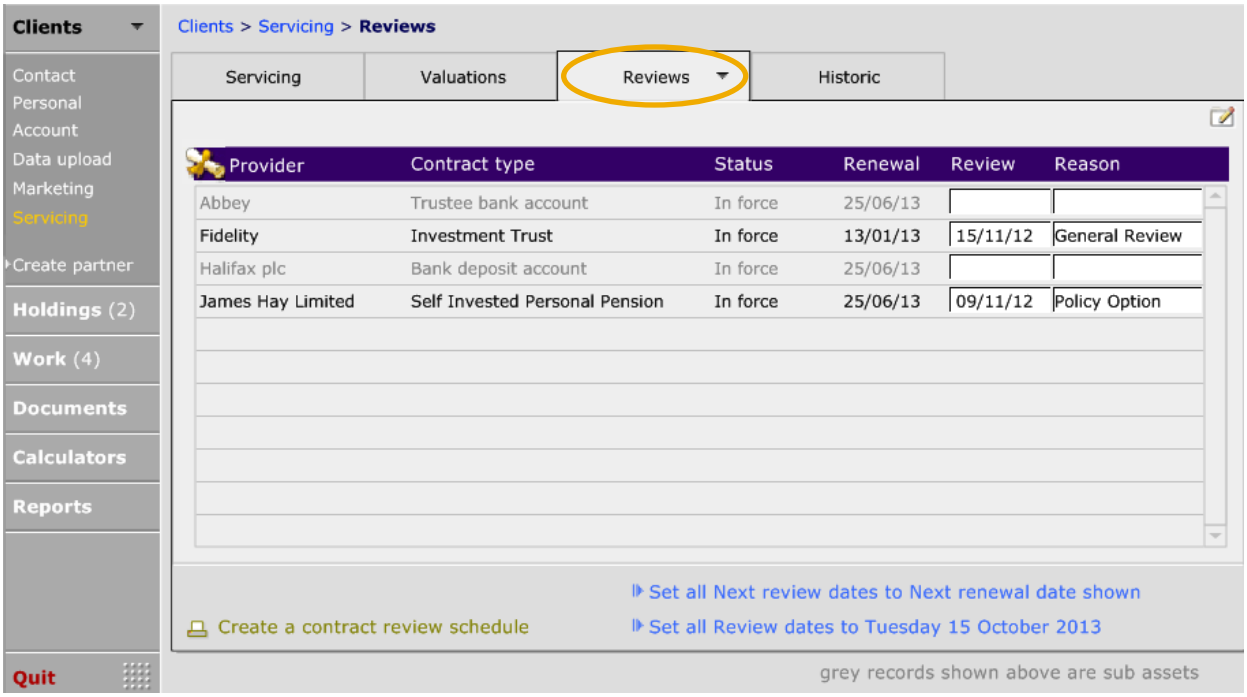
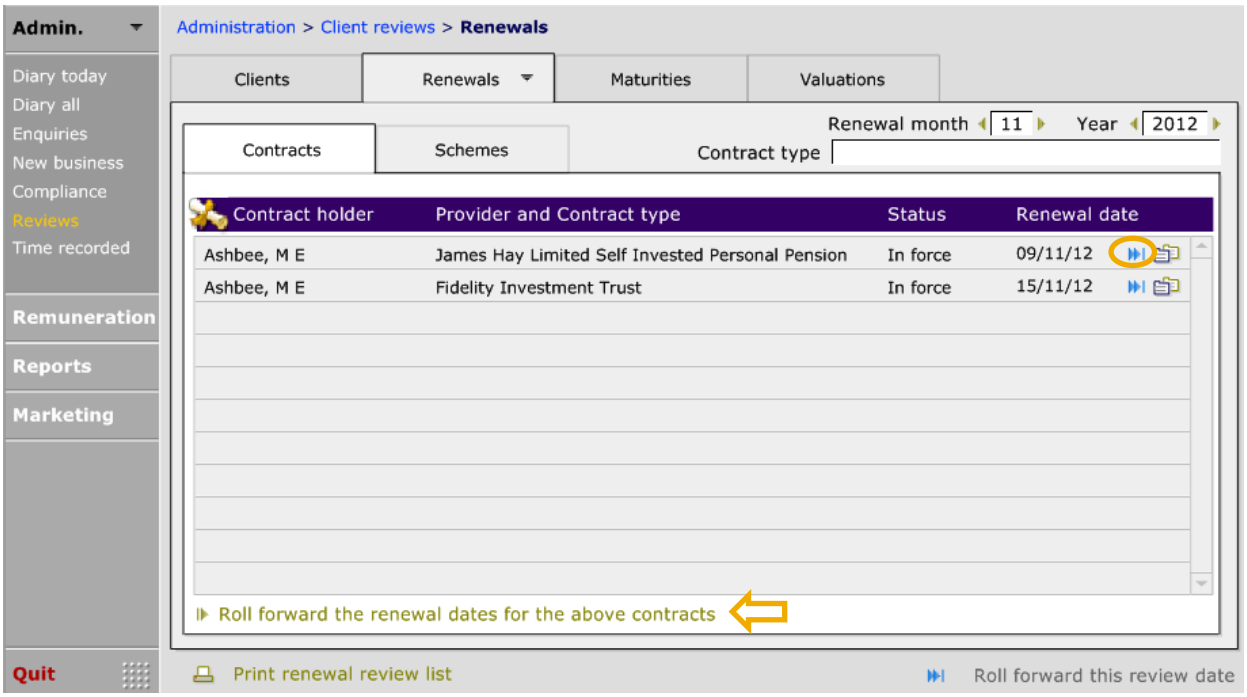


Once this information has been set, within Admin > Reviews > Renewals there will be a list of all holdings which need to be reviewed.

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).



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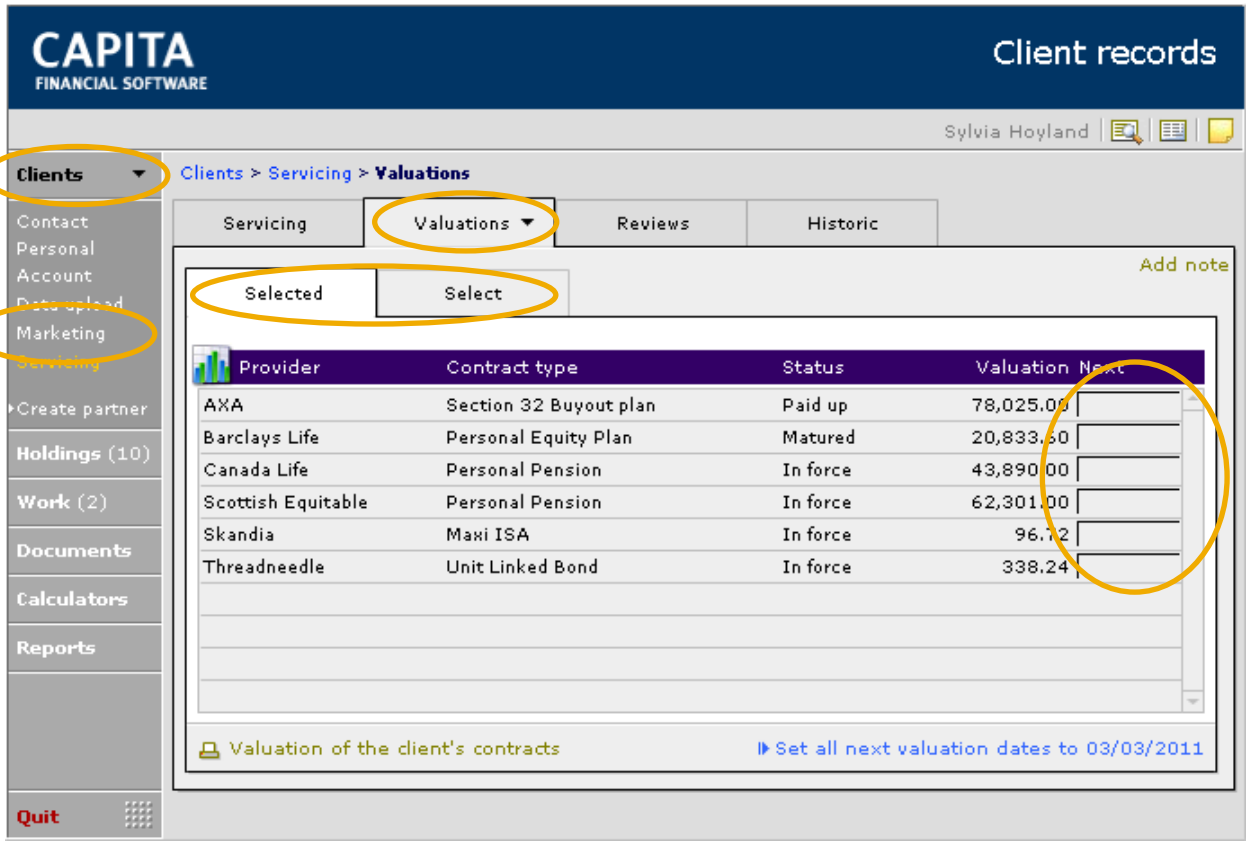
12 Valuations

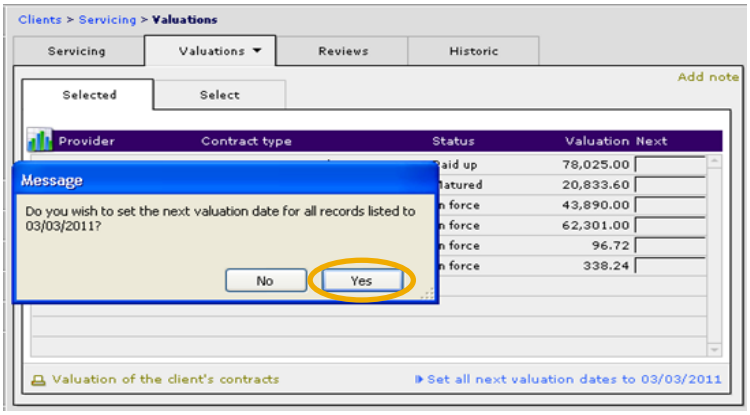
12.1 Scheduled Client Valuations

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.

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.



Select 'Yes' to this pop up message box.

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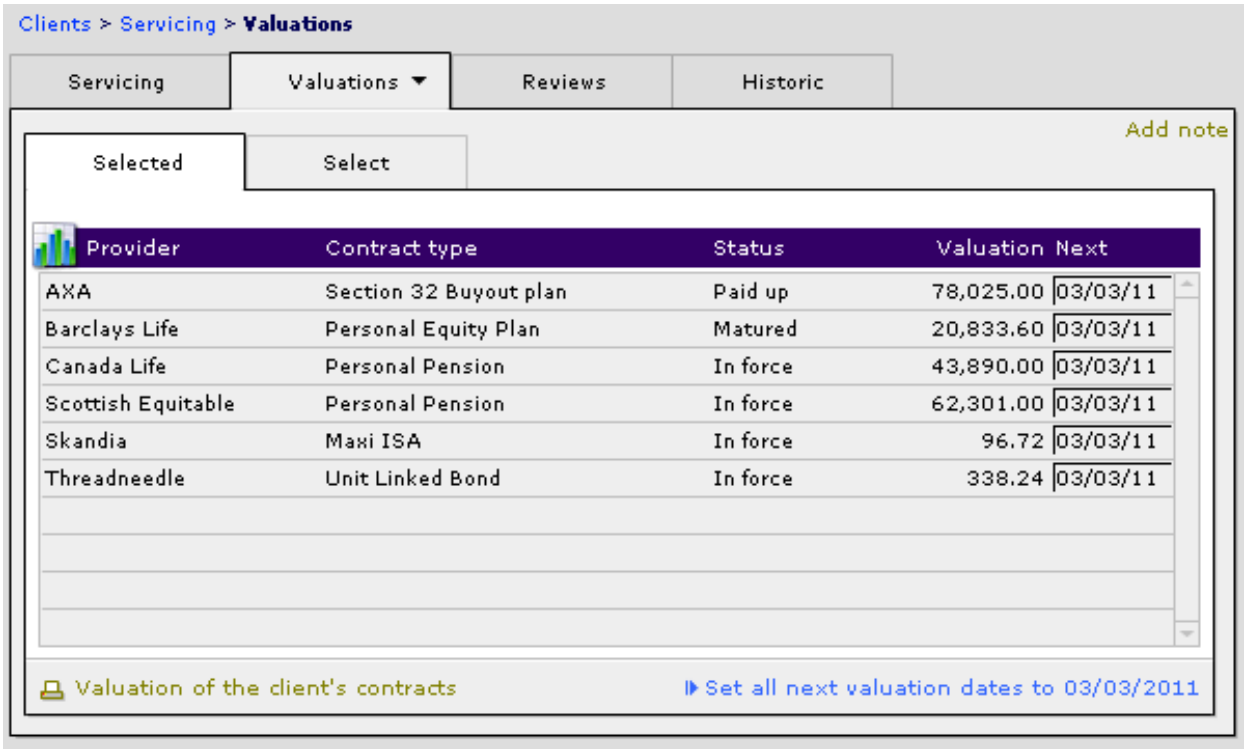

If any policy valuation dates have been set on the individual holdings then these dates will have fed through to the selected screen.

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.

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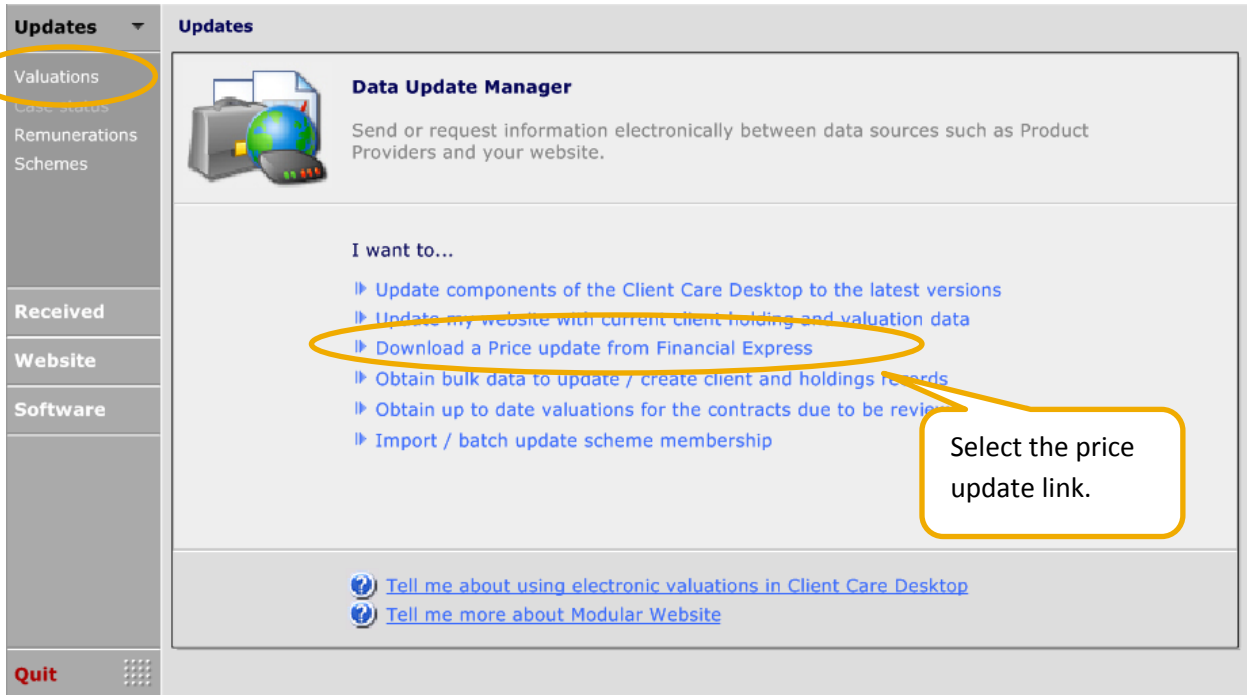
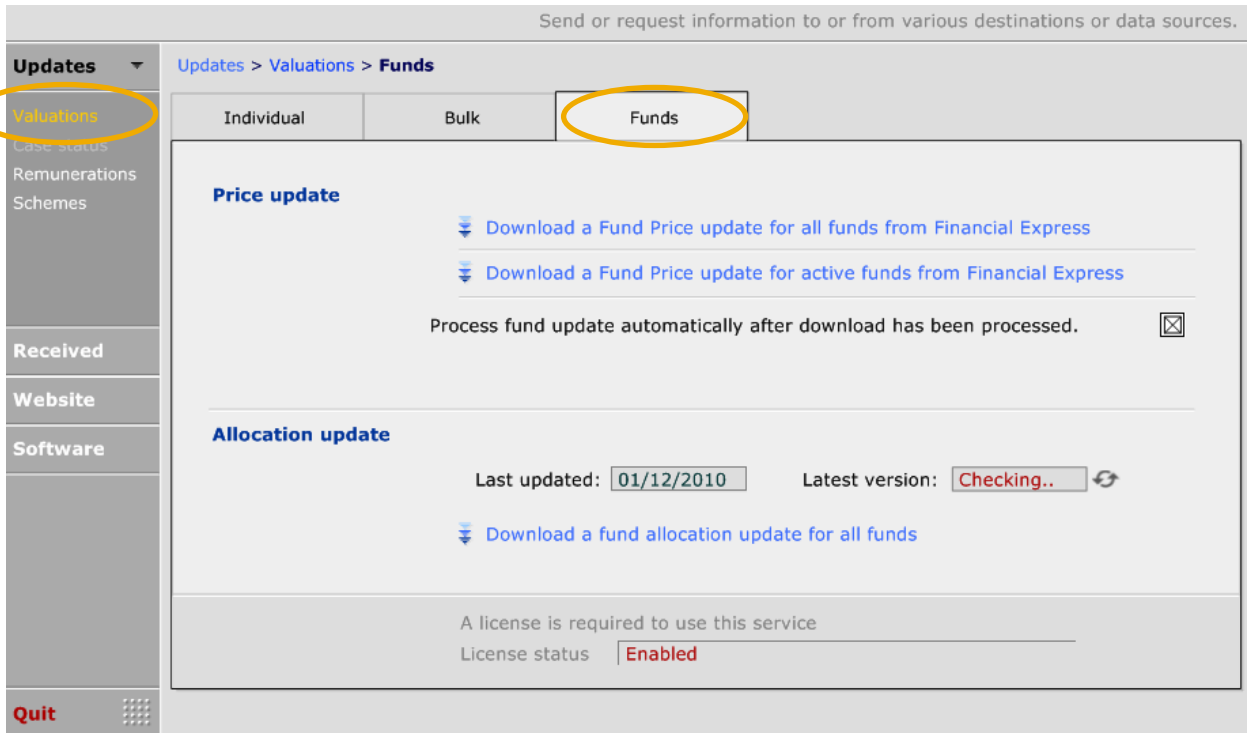


You can select to download the price update from the front screen or select Valuations from the menu on the left hand side.



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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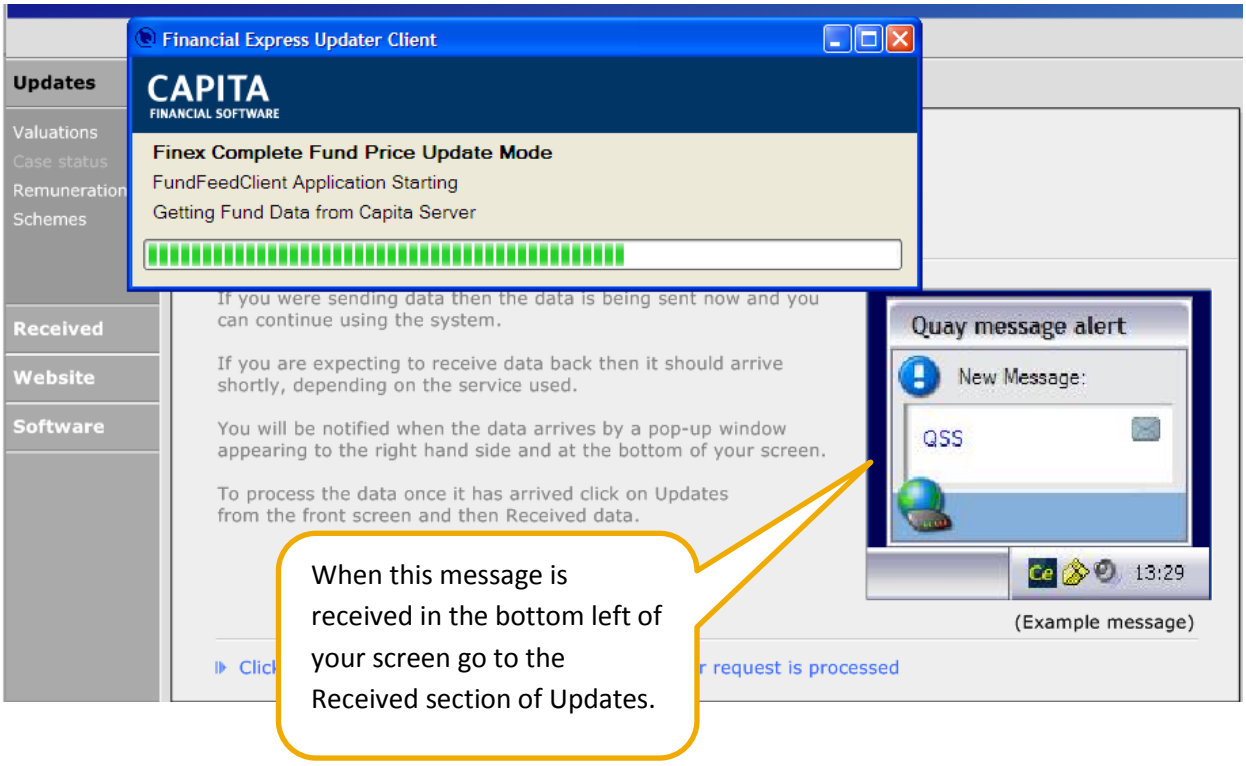

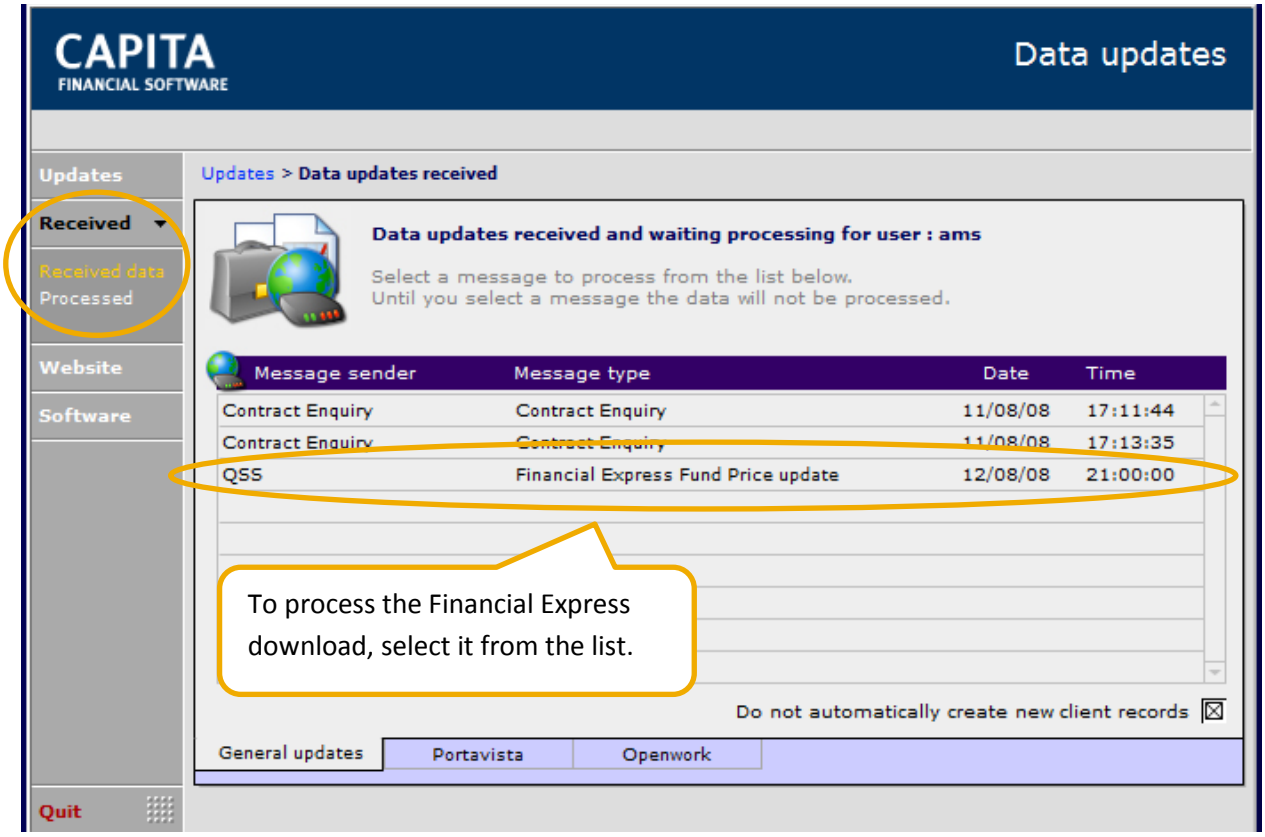

Once the update is started it will automatically run through each step as below.

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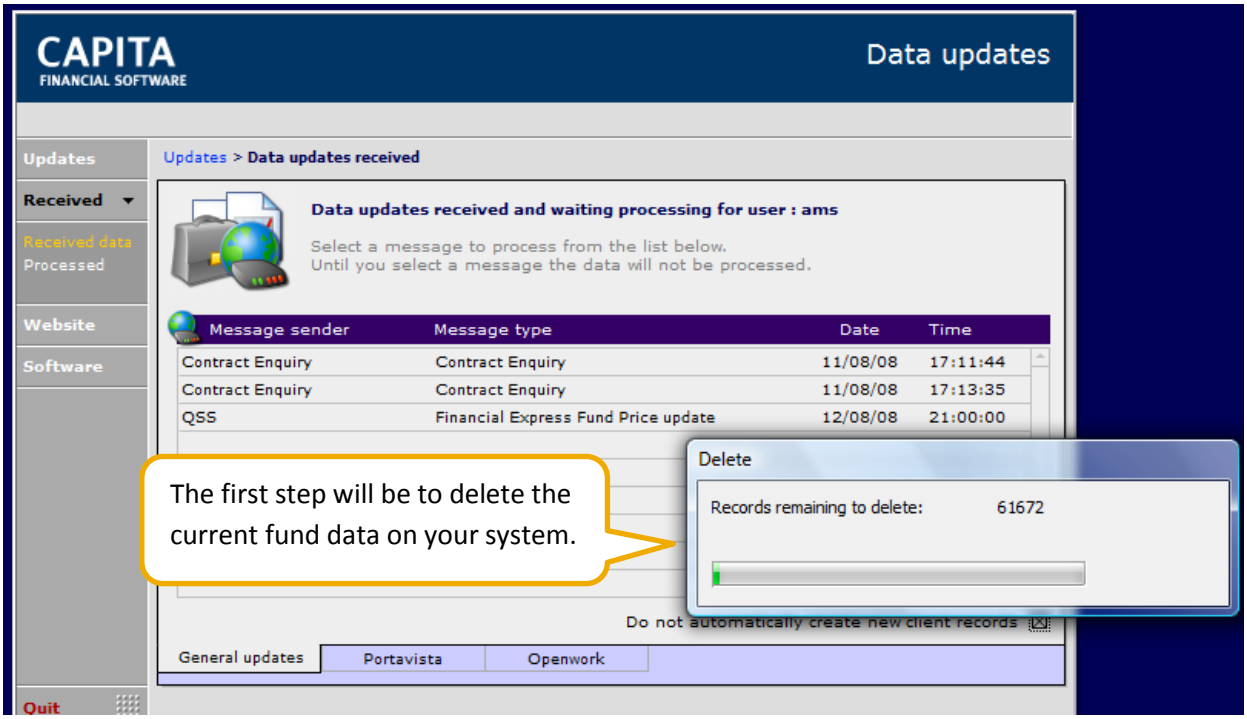

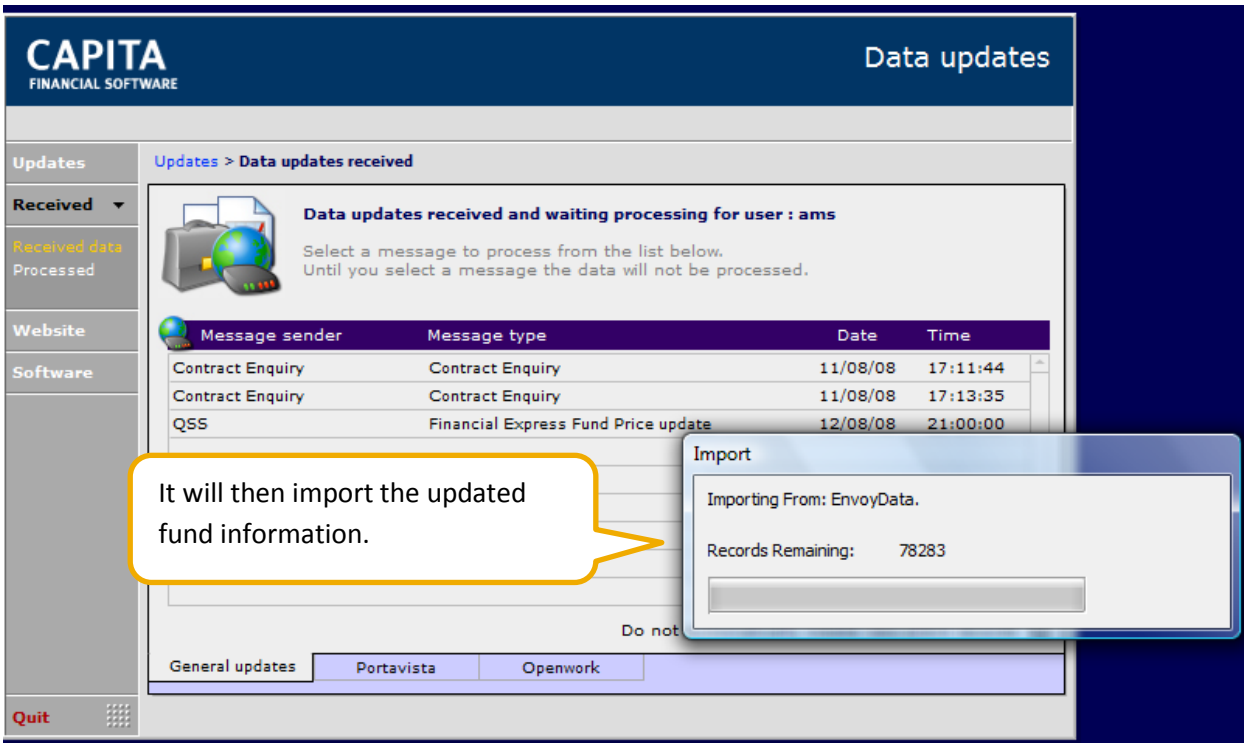

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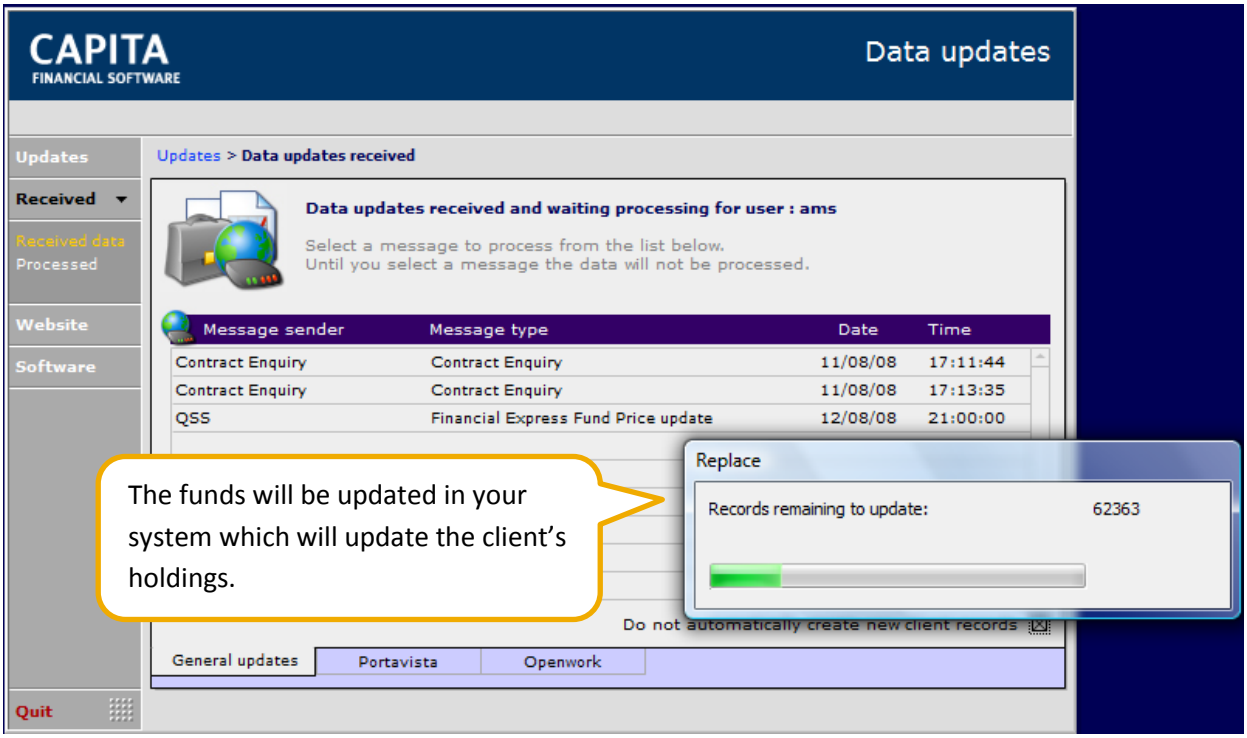

Whilst this process is happening, CCD cannot be used. Once this has been finished, a message appears asking if this information needs to be reviewed.

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.

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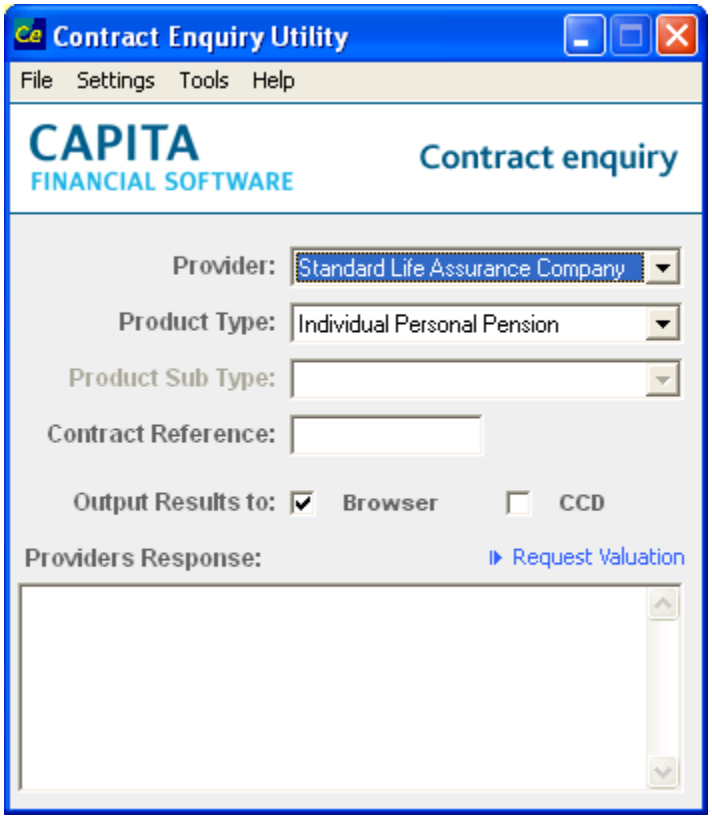
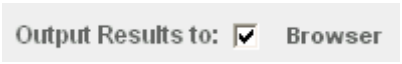
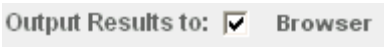


You will need to select the Provider, Product Type and Product Sub Type from the drop down menus and then type in the Contract reference number. The contract reference number which is supplied by the provider must be entered in full. Then select how you want the valuation returned:

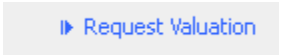


and/or



- 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.

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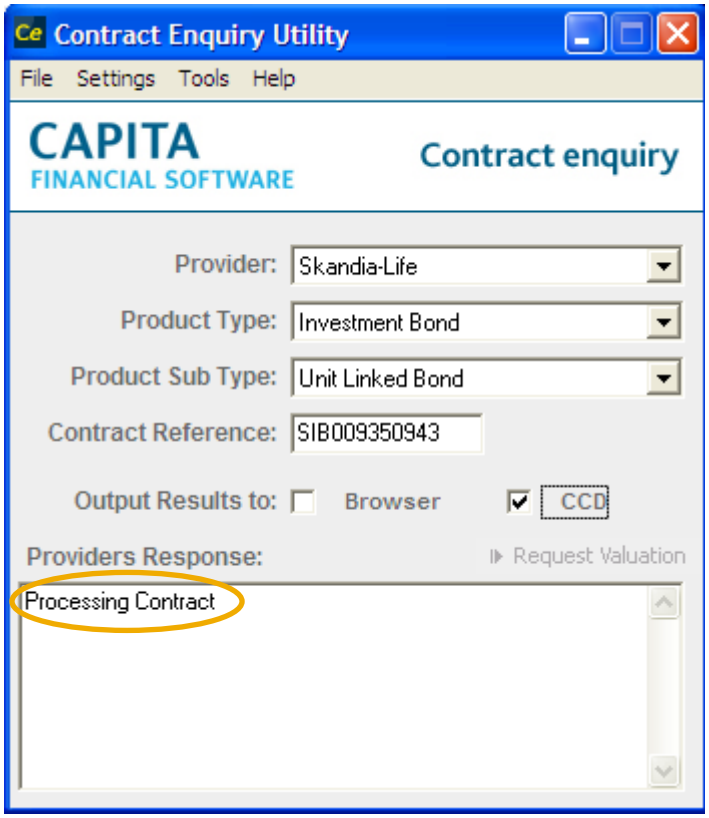

When the

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.

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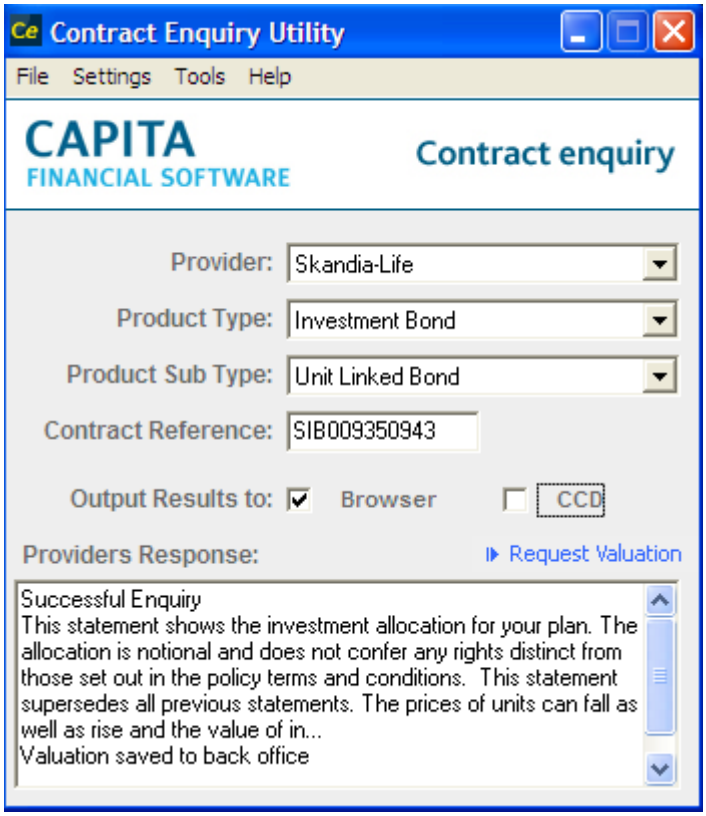

If you have also ticked then a valuation report similar to the one on the next page will appear.

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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:

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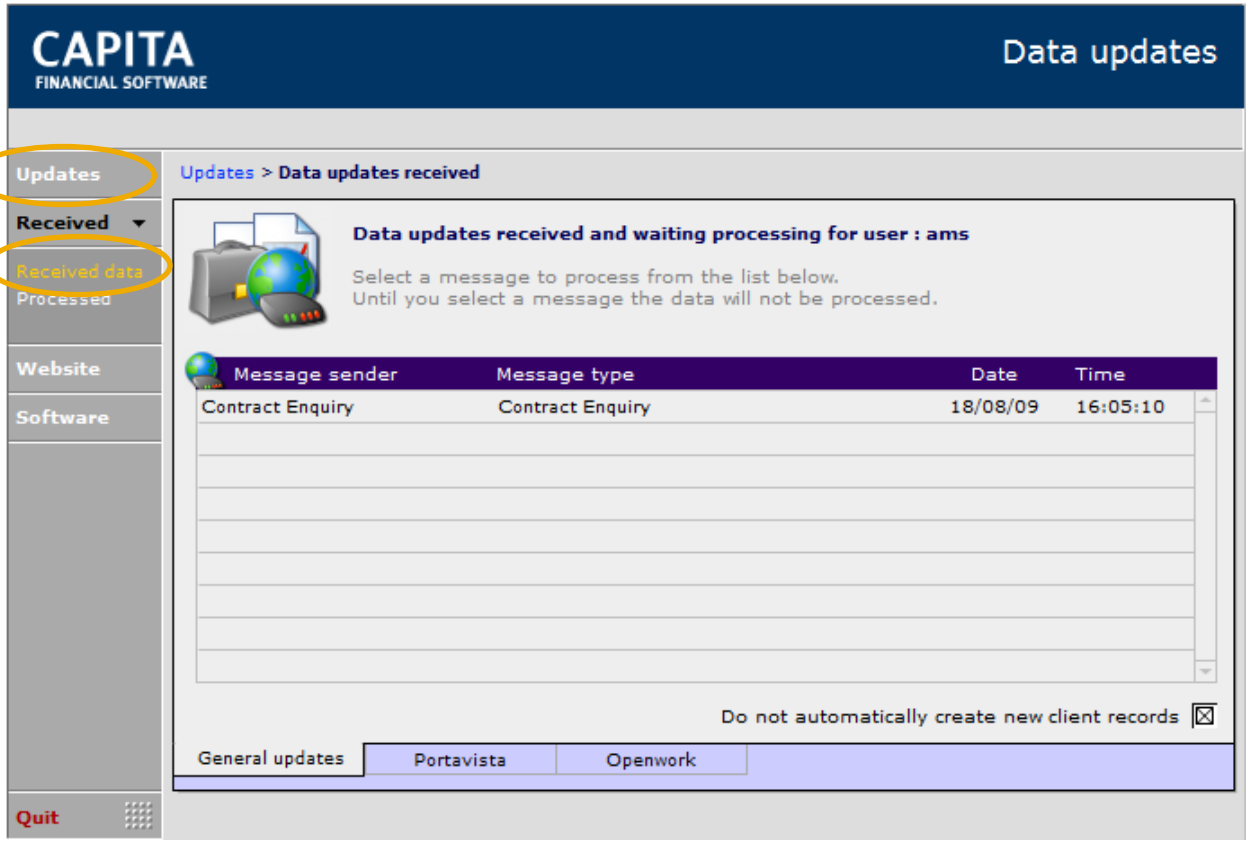

To process the download simply click onto the relevant message the system will populate the details back into CCD.

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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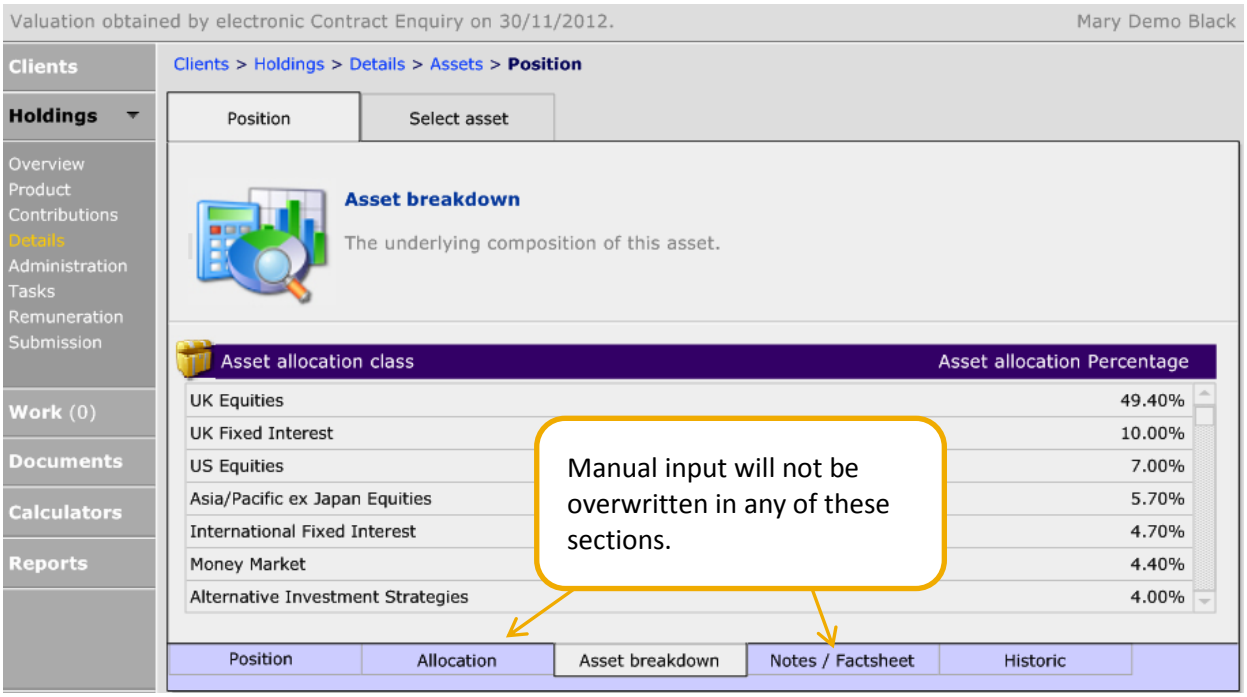

There will be some occasions where manual input is needed to ensure that all the funds match correctly and the manual information is not overwritten.

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**:

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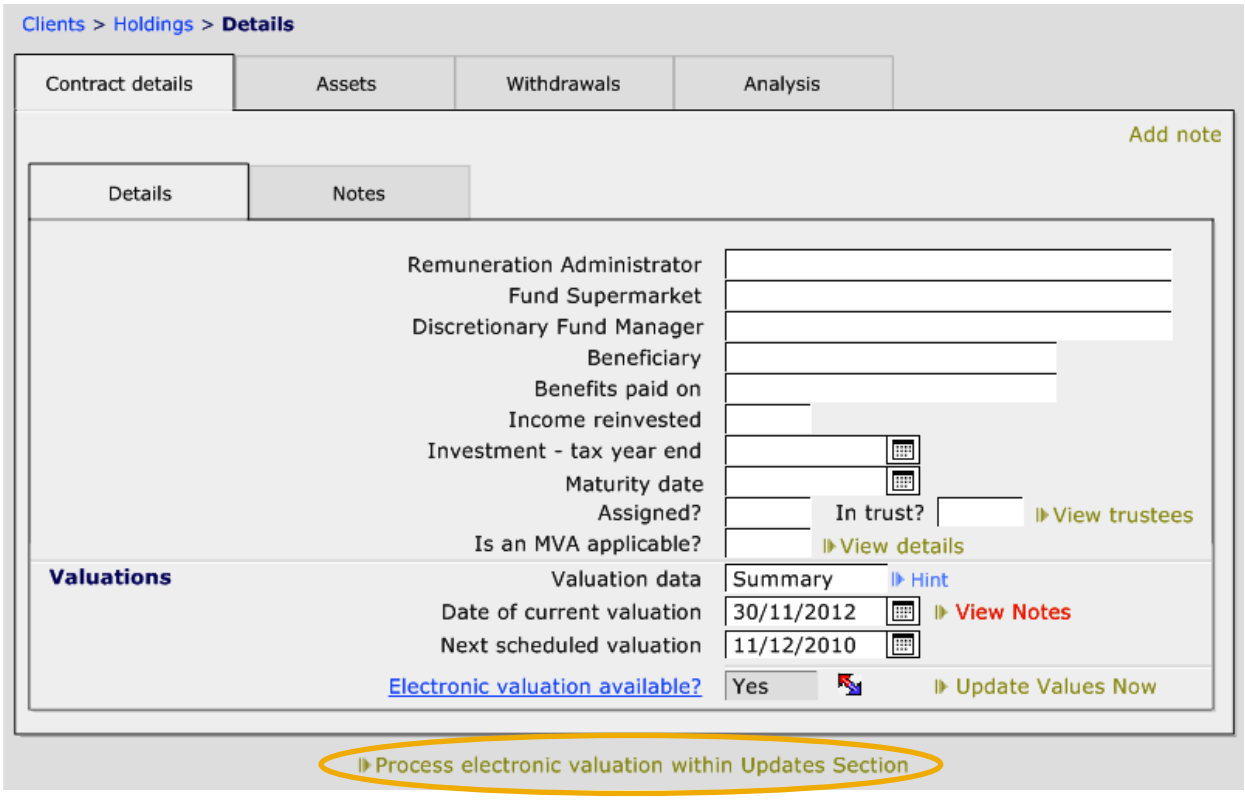
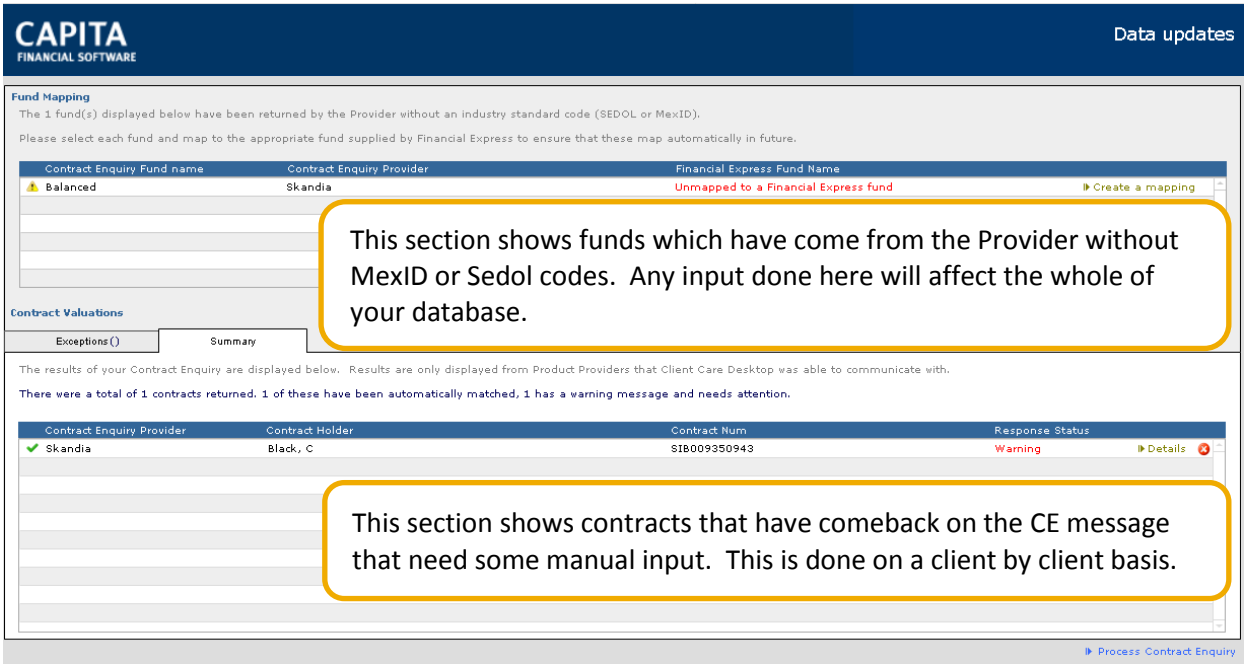


If a Contract Enquiry message is received and needs some manual input these are the screens that will be used:



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.

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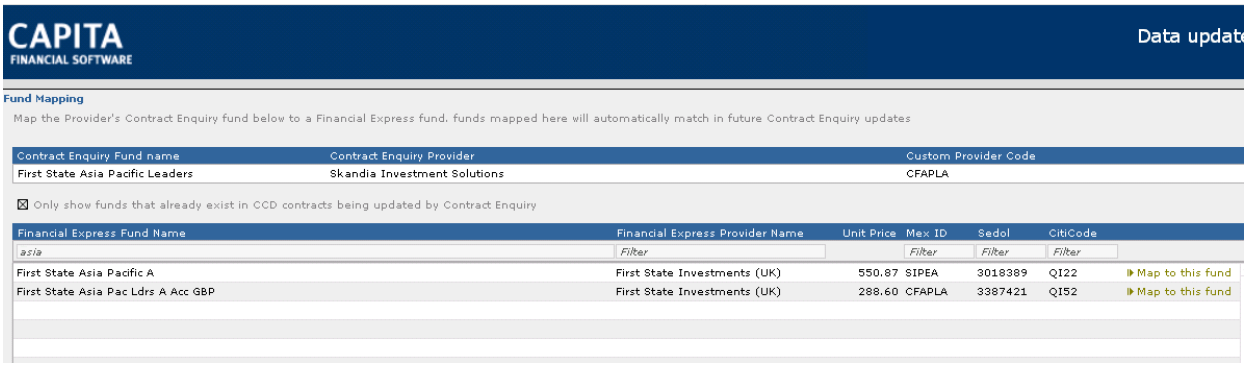
13.1 Fund Mapping

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.

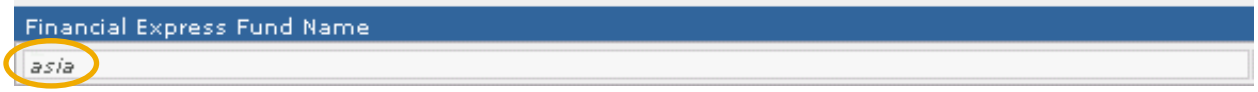
The

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

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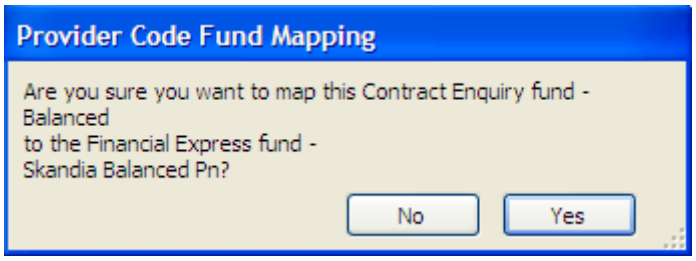
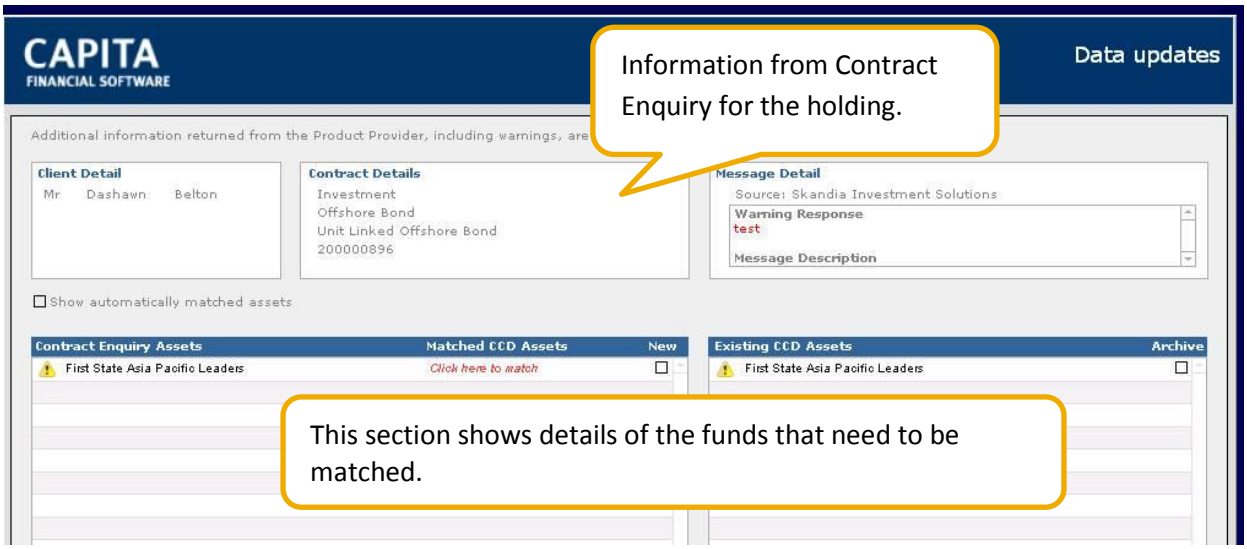
- Type in either of these code with a maximum of 10 characters

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 ✔.

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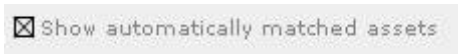
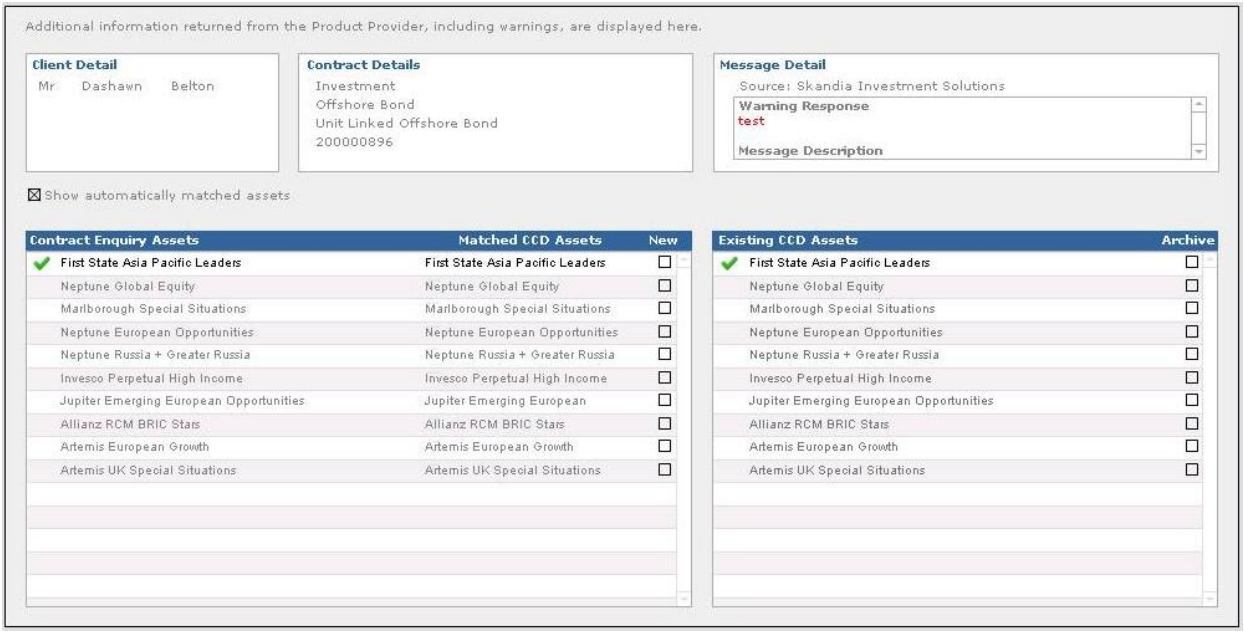
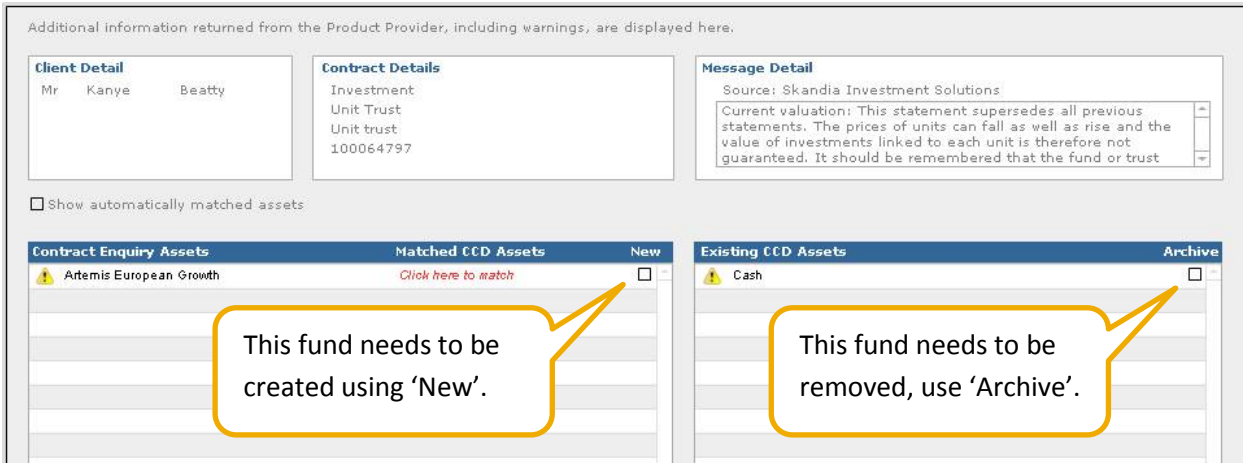
The screen shot below shows the fund after it has been matched, and also a list of all the other funds that were auto matched. This was achieved by clicking on:





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.



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:

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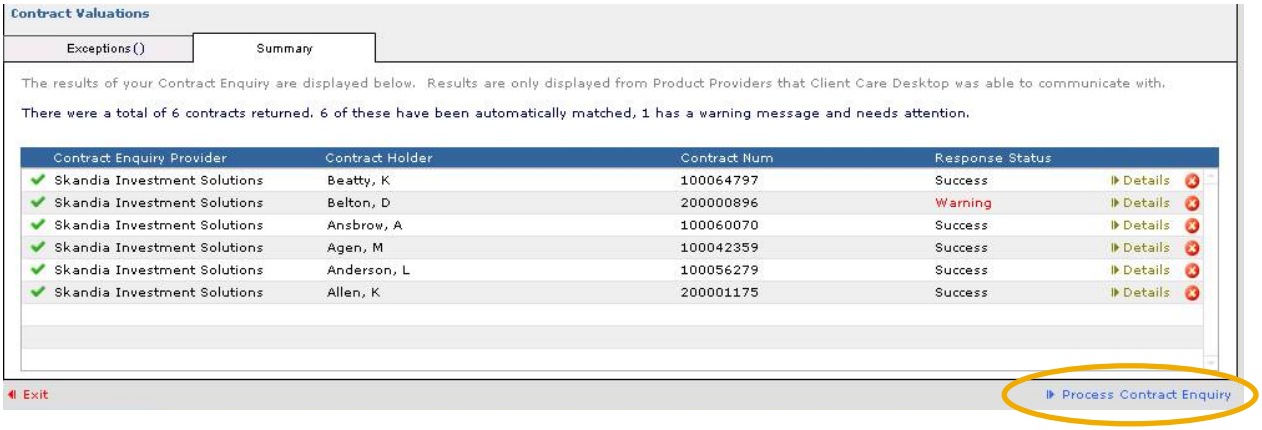
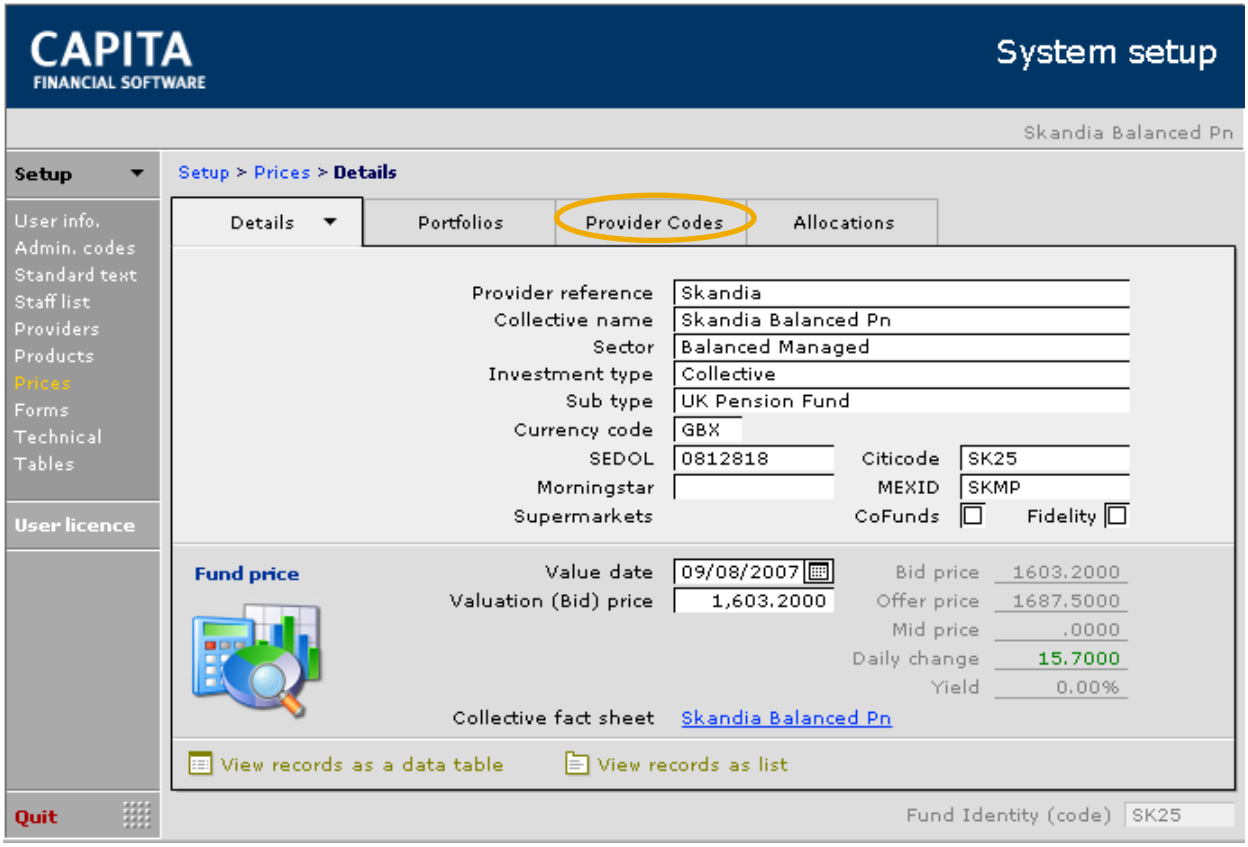


If any of these updates should not be processed, use the at the end of the line.

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:

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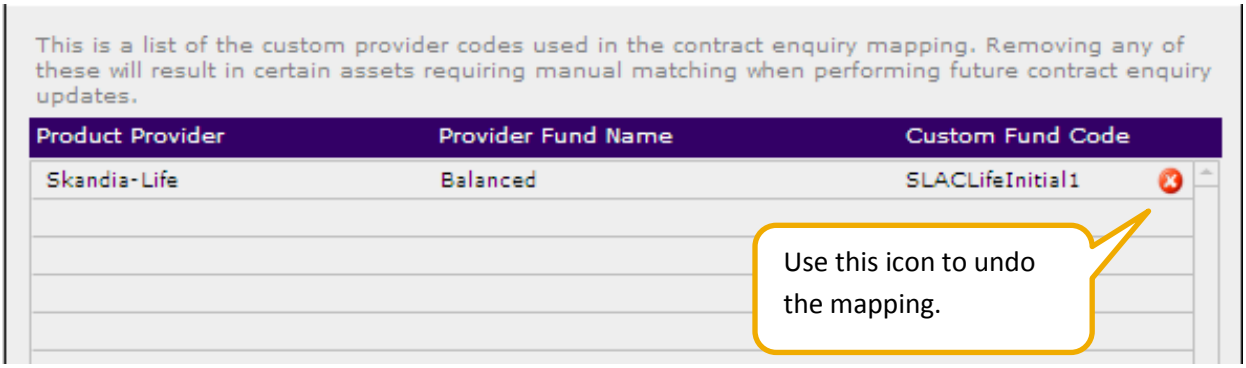
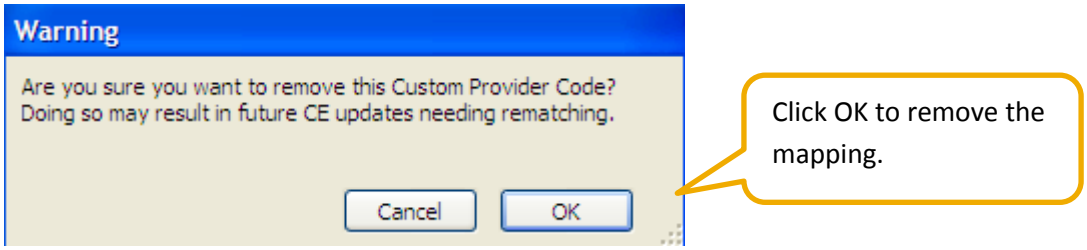
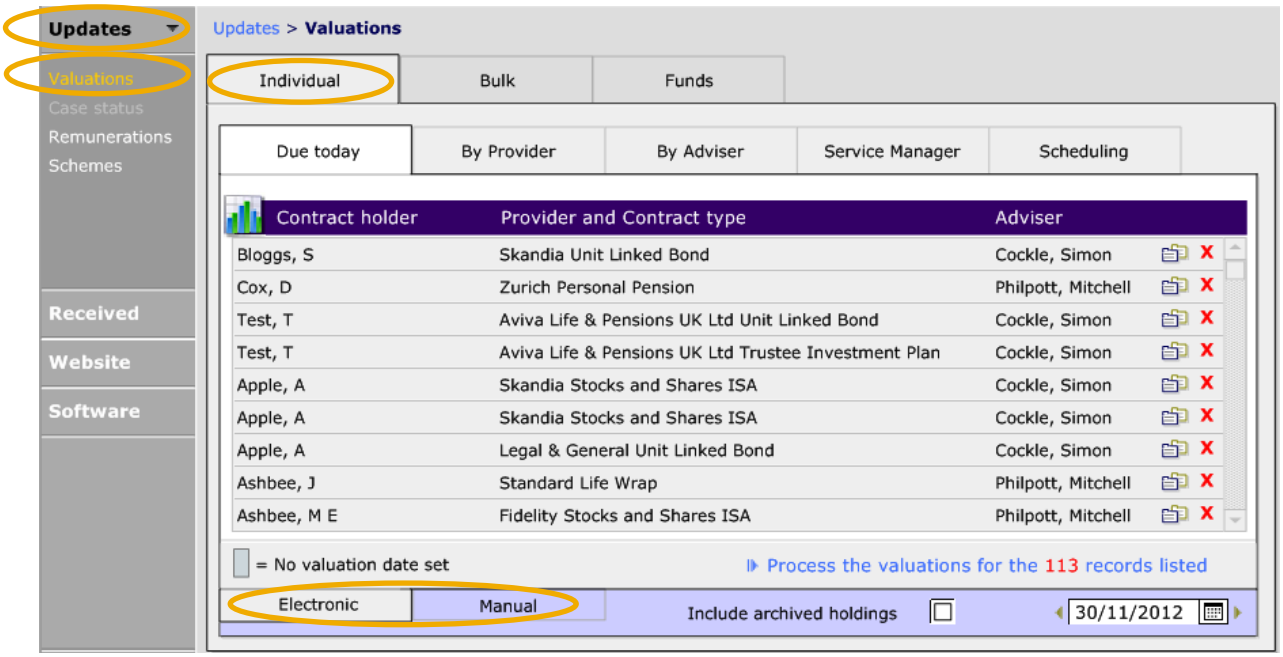




14 Bulk Valuations

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.



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.

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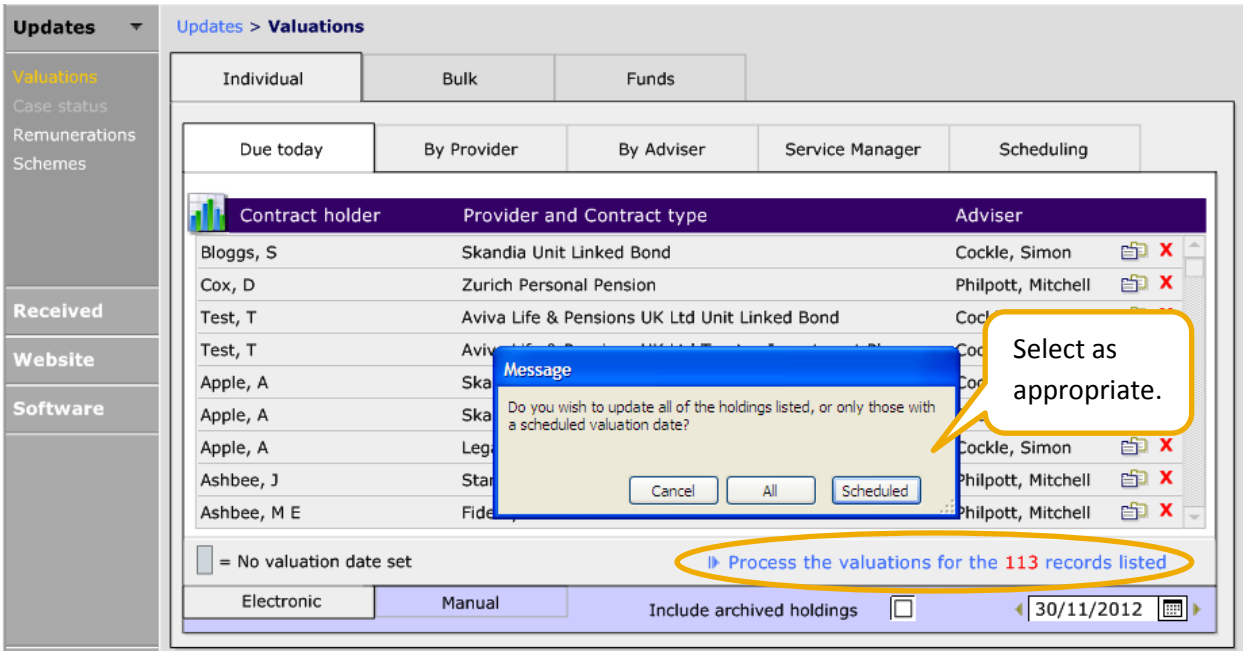
The other Holdings in this list are there as they do not have a 'valuation' date recorded. Dates can be recorded against the client record. By clicking on the item in the list (which will move you back to the Client Module).

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.

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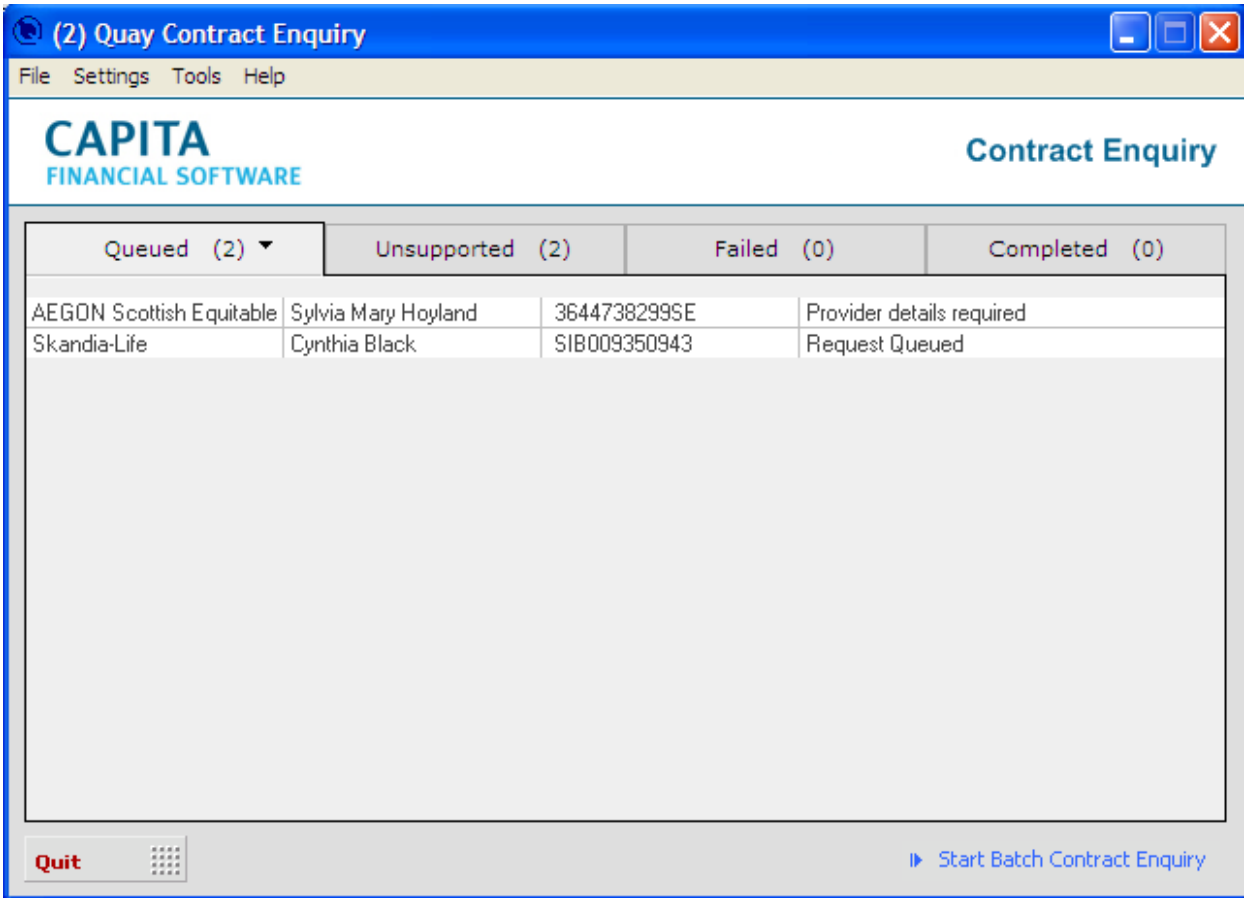

All the holdings waiting for valuation via contract enquiry will be listed here, click onto the

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.

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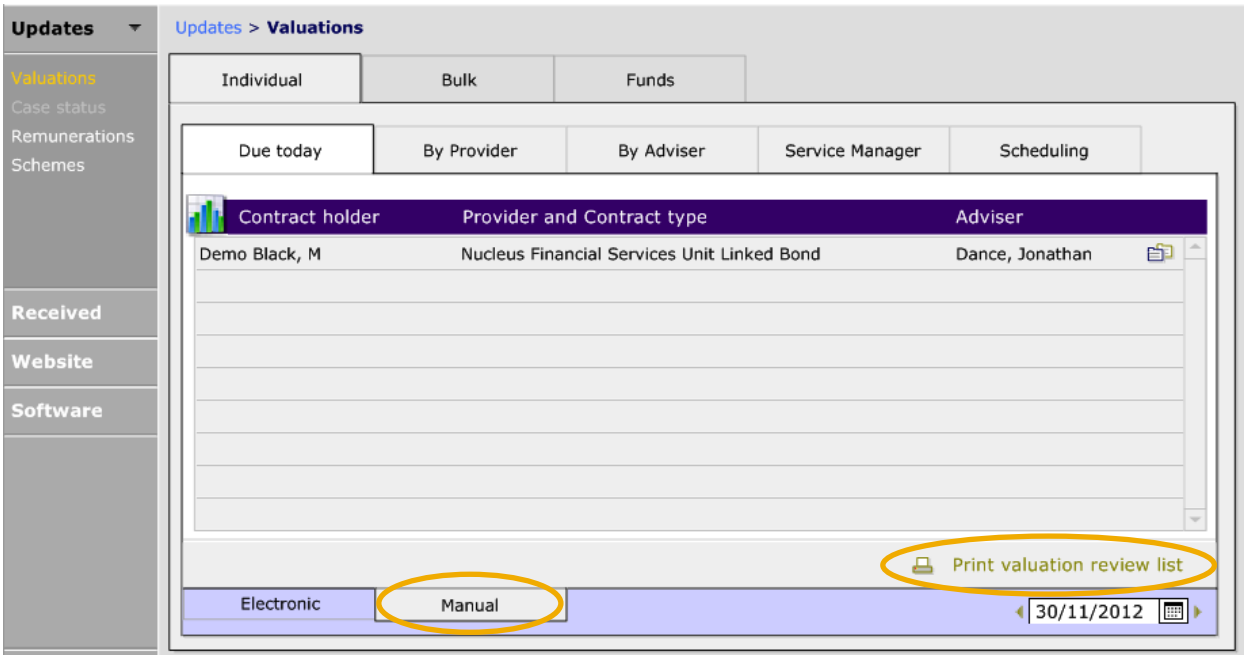
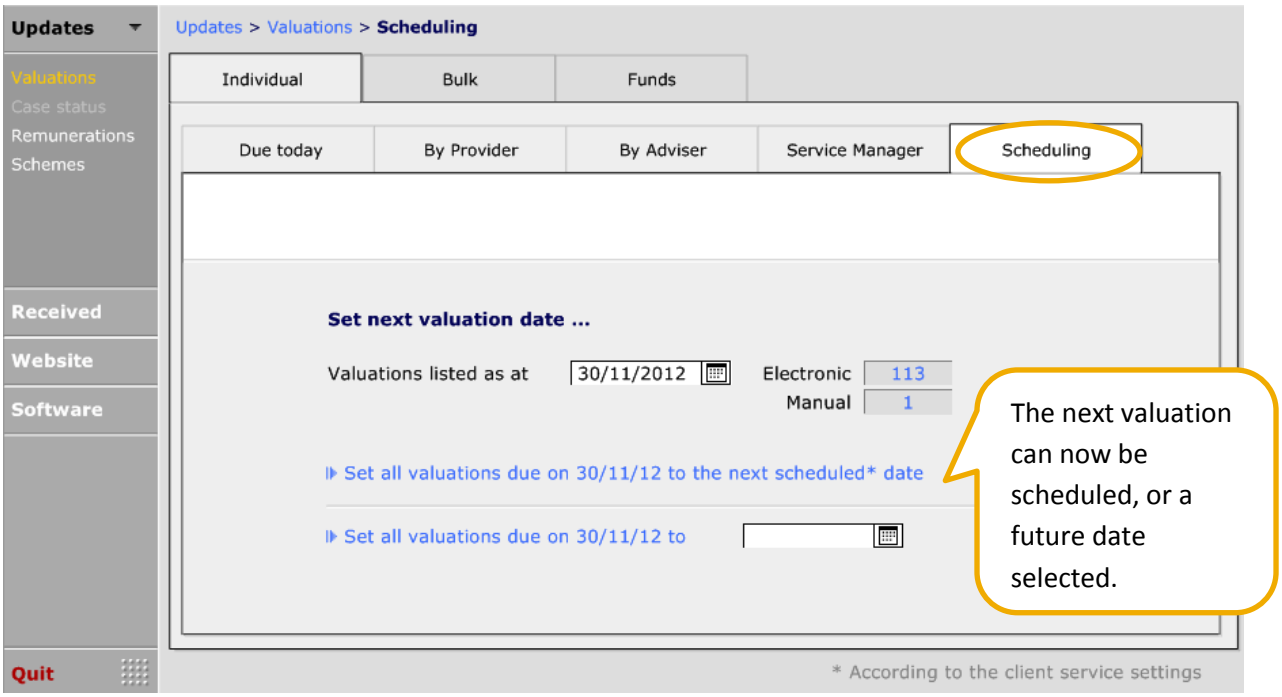


Once all the valuations have been completed go to the Scheduling tab.



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

This option will look at the "rule" set up in each Client's servicing details and re-diarise the valuation accordingly.

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.

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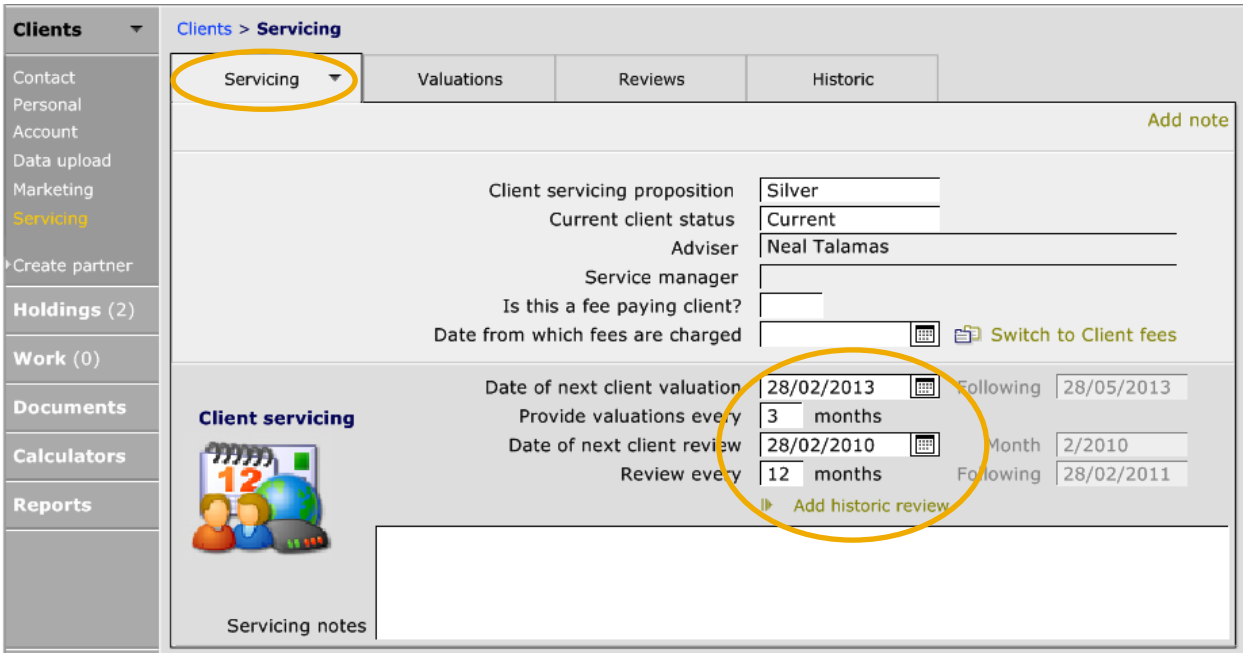

As you will see from the clients record the front "rule" screen has not changed but the dates set for each contract to be valued have been changed and carried forward into the valuation diary in the 'Updates' module.

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