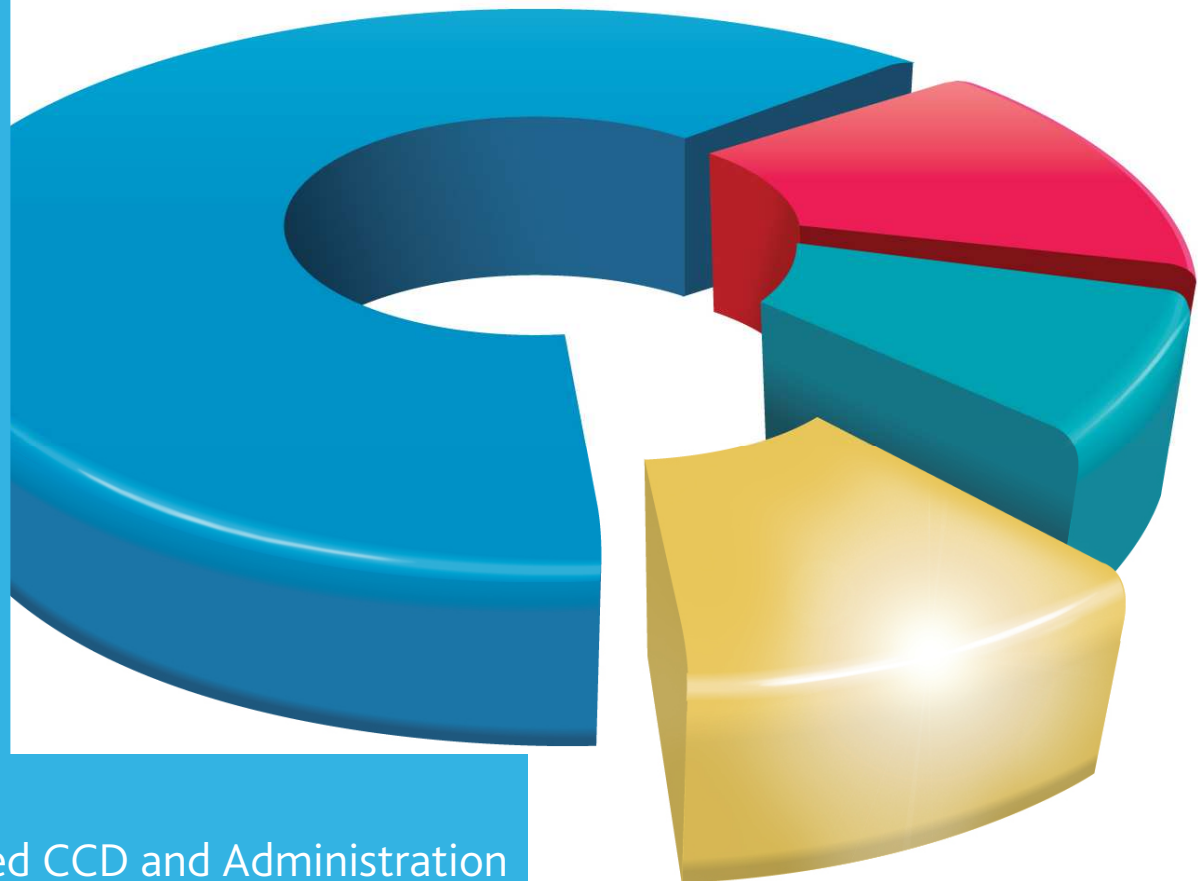


# Client Care Desktop v4.1



Advanced CCD and Administration  
Client Care Desktop V4.1

1

The information contained in this document is the property of Capita Financial Software Ltd. The contents of the document must not be reproduced or disclosed wholly or in part or used for purposes other than that for which the document is supplied without the prior written permission of Capita Financial Software Ltd.  
April 2010 V3

## Table of Contents

|   |           |
|---|-----------|
| <b>1. GETTING READY TO USE STANDARD LETTERS.....</b>                  | <b>4</b>  |
| <b>2. STORING YOUR STANDARD LETTERS IN CCD .....</b>                  | <b>7</b>  |
| 2.1. Copy and Paste existing word letters .....                       | 8         |
| 2.2. Type in a new standard letter .....                              | 11        |
| 2.3 Using Message Maker to set up Standard Letters.....               | 13        |
| 2.4 Copying in and then updating using Message Maker.....             | 18        |
| <b>3. AUTO-TEXT .....</b>   | <b>21</b> |
| 3.1. Copy and paste or free format type.....                          | 22        |
| <b>4. PRODUCING AND VIEWING YOUR LETTERS VIA WORK AND TASKS .....</b> | <b>23</b> |
| 4.1. Entering a letter against a holding .....                        | 24        |
| 4.2. Viewing letters via Tasks.....                                   | 31        |
| 4.3. Entering a Letter against the Client.....                        | 31        |
| 4.4. Viewing letters via Work .....                                   | 40        |
| <b>5. MONEY LAUNDERING .....</b>                                      | <b>41</b> |
| <b>6. SETTING UP TRACKERS .....</b>                                   | <b>43</b> |
| 6.1. Using Trackers .....   | 48        |
| <b>7. SEARCHING YOUR DATABASE .....</b>                               | <b>54</b> |
| 7.1. The Basic Search.....  | 54        |
| 7.2. Using the Browse and find options .....                          | 56        |
| 7.2.1. Using the “Symbols” search.....                                | 60        |
| 7.3. Searching in reports .....                                       | 63        |
| 7.3.1. Modify Search.....   | 65        |
| <b>8. USING A STANDARD MARKETING WIZARD .....</b>                     | <b>67</b> |
| <b>9. VIEWING THE CLIENTS MARKETING DIARY ENTRY .....</b>             | <b>75</b> |

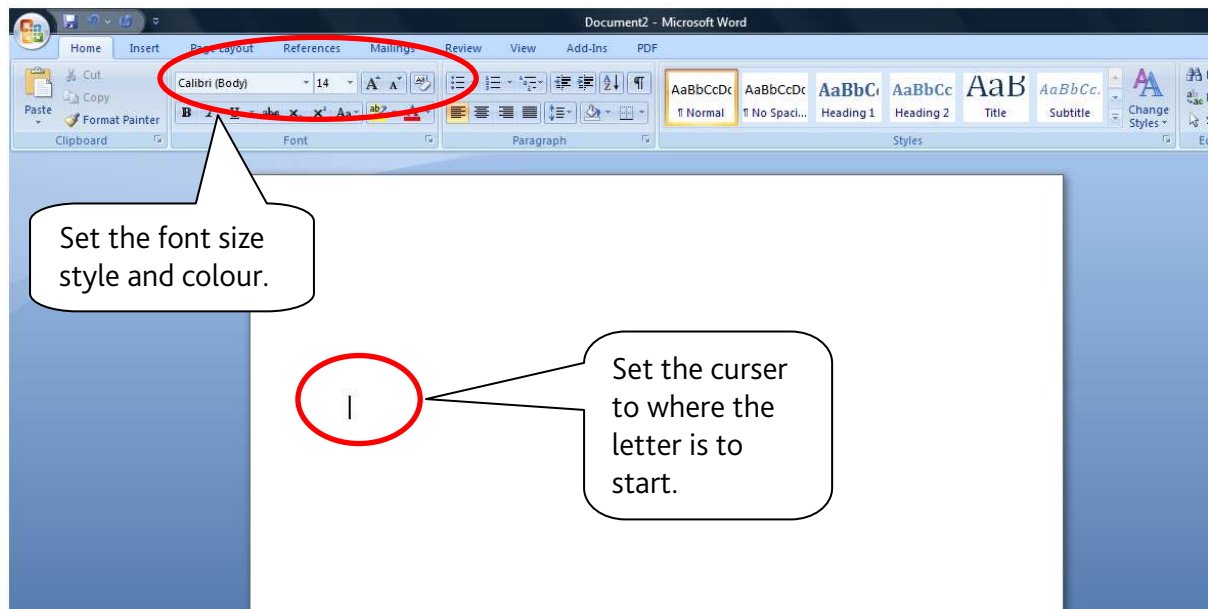
|  |            |
|--|------------|
| <b>10. CREATING A MANUAL CAMPAIGN USING THE DATA TABLE .....</b> | <b>76</b>  |
| <b>11. CLIENT SERVICING .....</b>                                | <b>79</b>  |
| 11.1. Holding Reviews .....                                      | 83         |
| 11.2. Admin reviews section .....                                | 84         |
| <b>12. VALUATIONS .....</b>                                      | <b>86</b>  |
| 12.1. Scheduled Client Valuations.....                           | 86         |
| 12.2. Using Financial Express to Value holdings.....             | 88         |
| <b>13. CONTRACT ENQUIRY .....</b>                                | <b>93</b>  |
| 13.1. What to do if the incorrect fund has been selected.....    | 104        |
| <b>14. BULK VALUATIONS .....</b>                                 | <b>106</b> |

## 1. GETTING READY TO USE STANDARD LETTERS

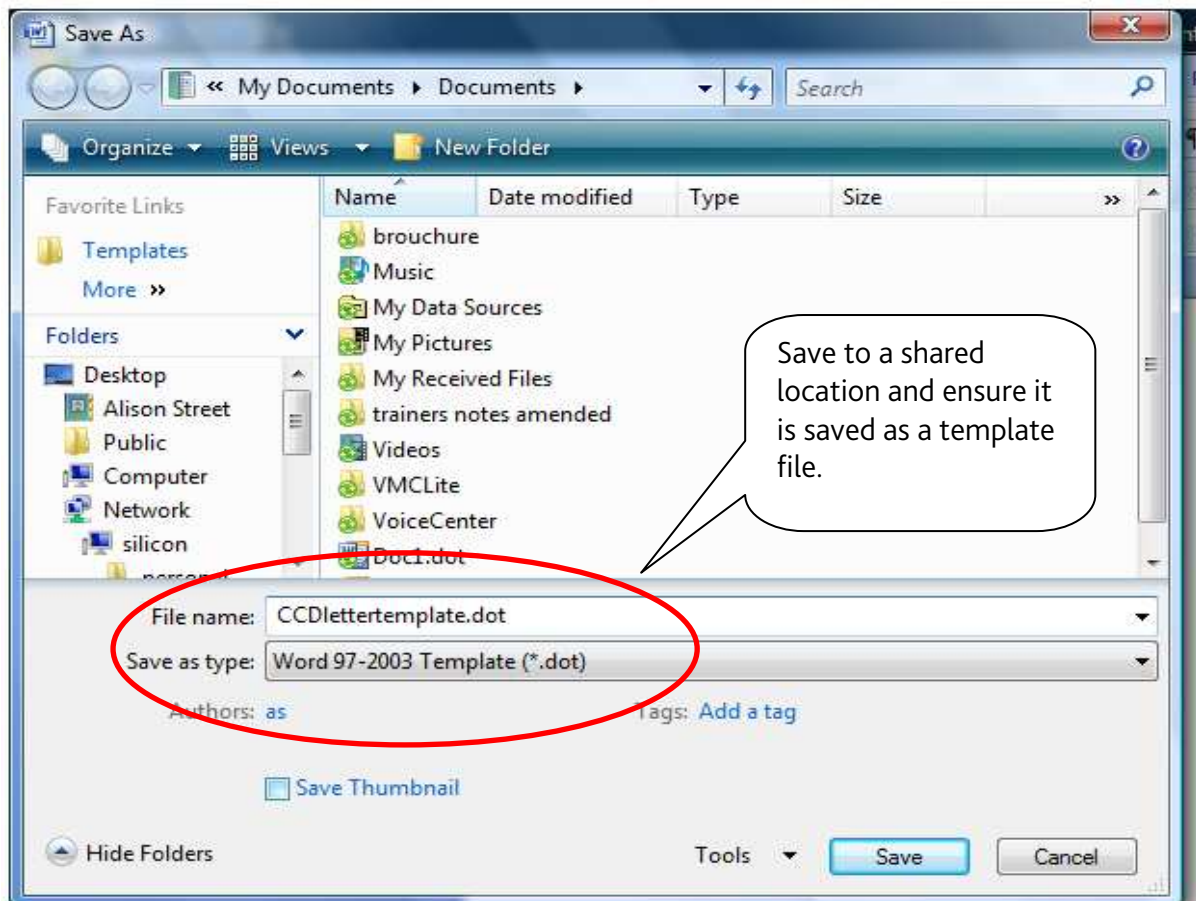
CCD will allow you to store copies of all your standard letters for ease of use and storage. Before you can use these letters some set up is required.

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

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

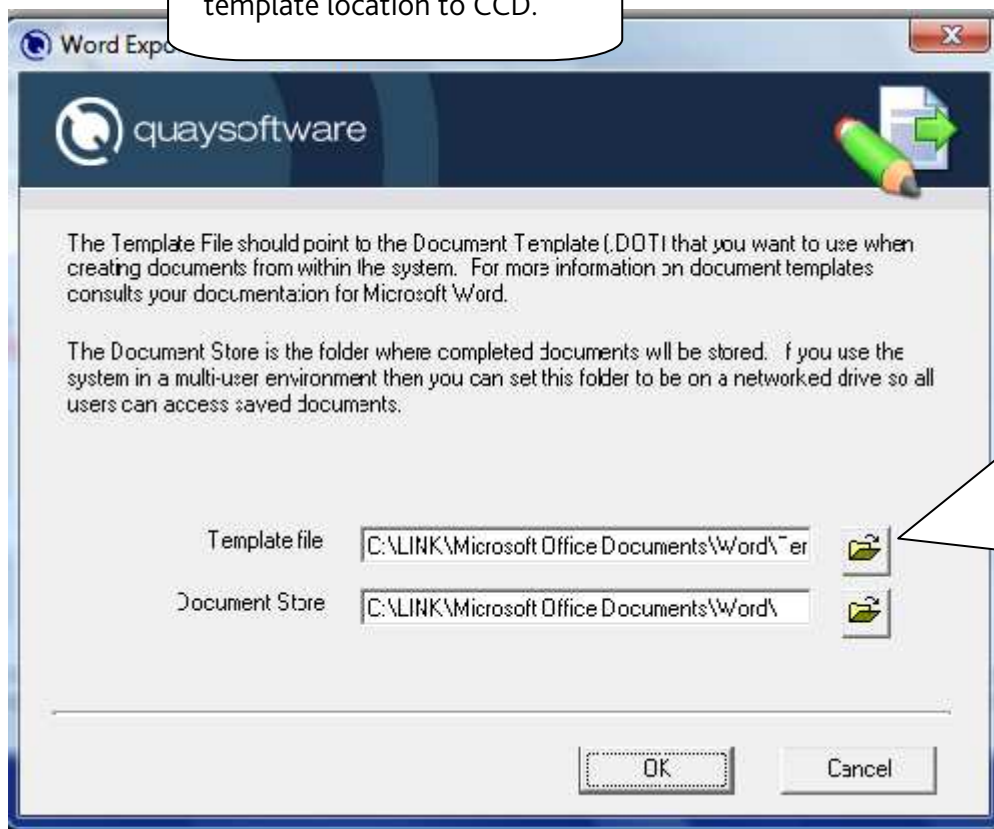
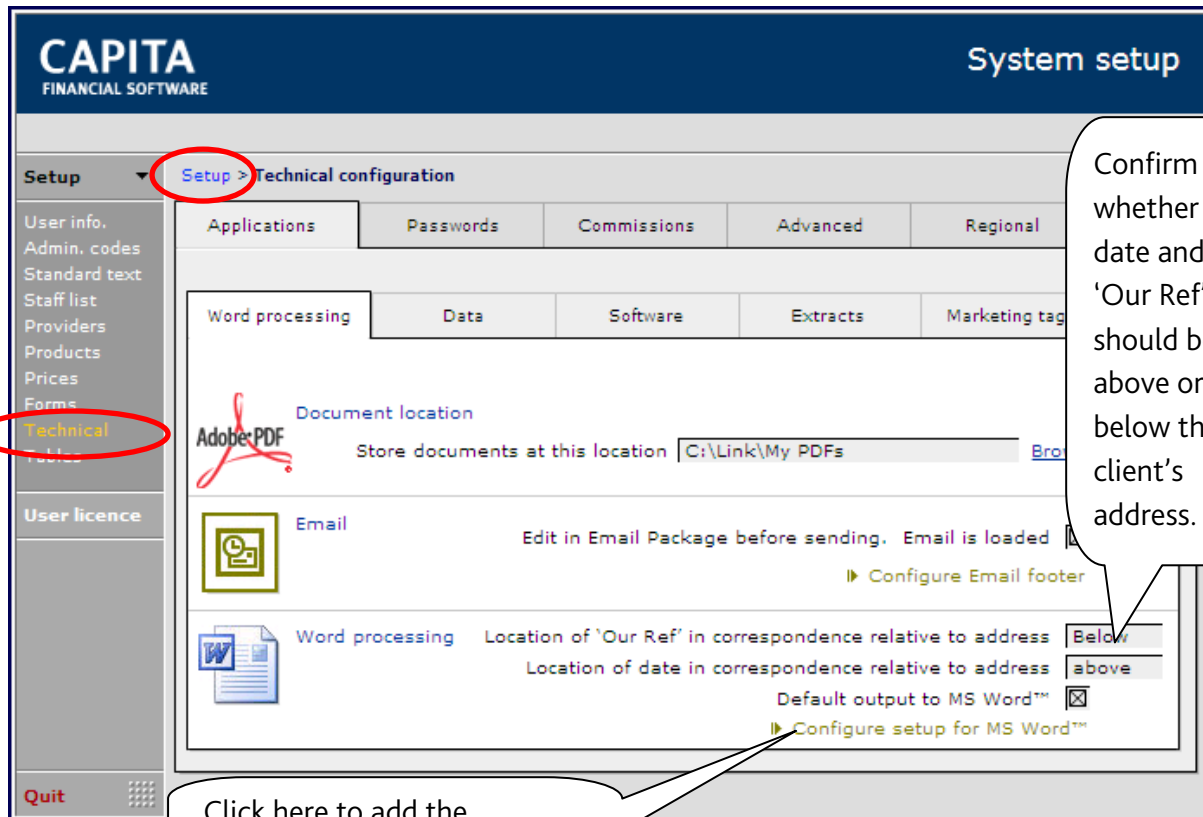


Once the template is set, save it as a template to a shared location. (The template needs to be accessible to all CCD users).



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

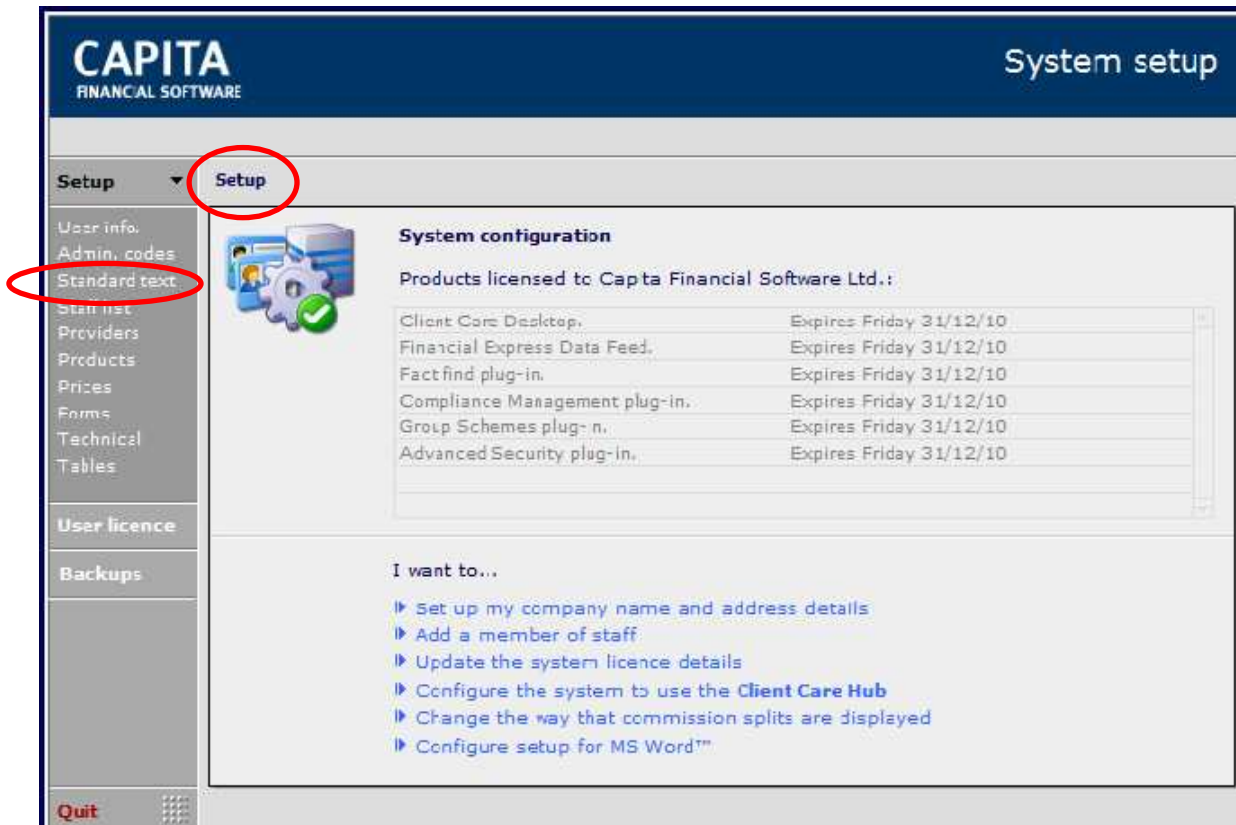




The location of your letter template has now been saved to CCD.

## 2. STORING YOUR STANDARD LETTERS IN CCD

To add new standard letters to your CCD go to the 'Set-up' module and the 'Standard text' section.



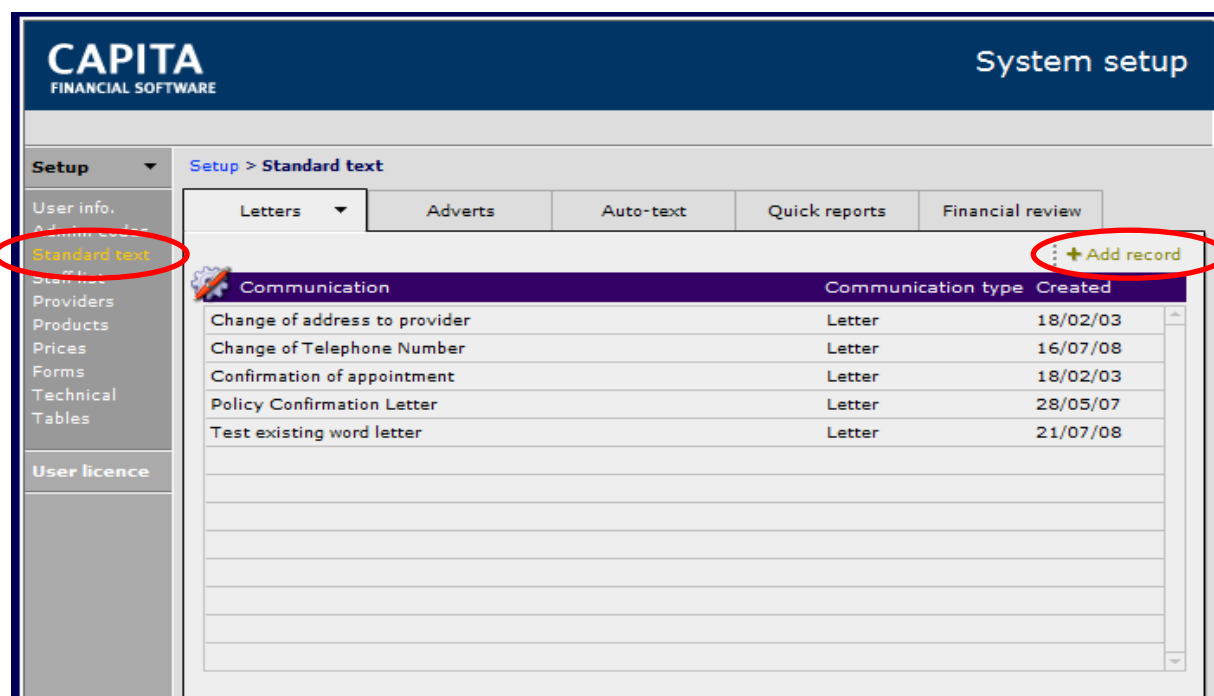
There are 4 ways to add letters to CCD

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

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.



**System setup**

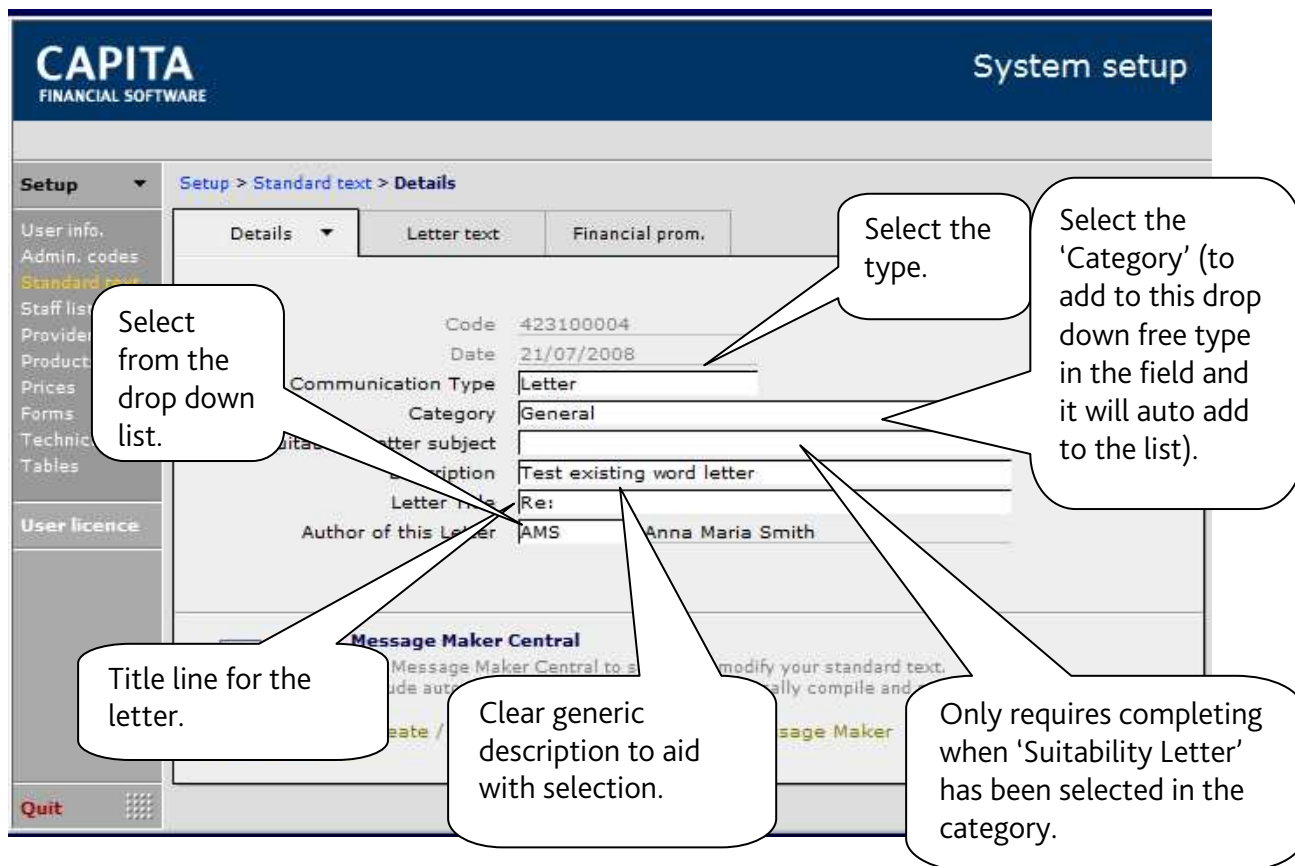
**Setup** > **Standard text**

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

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

**+ Add record**





**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup > Standard text > Details

User info.  
Admin. codes  
Standard text  
Staff list  
Provider  
Product  
Prices  
Forms  
Technic  
Tables

User licence

Details Letter text Financial prom.

Code 423100004  
Date 21/07/2008  
Communication Type Letter  
Category General  
Letter subject Test existing word letter  
Letter title Re:  
Author of this Letter AMS Anna Maria Smith

Message Maker Central

Message Maker Central to s modify your standard text.  
ude aut ally compile and  
eate / sage Maker

Quit

Select from the drop down list.

Select the type.

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

Title line for the letter.

Clear generic description to aid with selection.

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

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

CAPITA

FINANCIAL SOFTWARE

System setup

Setup

User info.

Admin. codes

Standard text

Staff list

Providers

Products

Prices

Forms

Technical

Tables

User licence

Setup > Standard text > Details > Letter text

Details

Letter text

Financial prom.

Re:

COPY AND PASTE THE BODY OF A PREVIOUSLY SAVED LETTER HERE.

Remember ONLY COPY AND PASTE THE MAIN BODY OF THE LETTER, NAME ADDRESS DATE AND SALUTATION WILL AUTO POPULATE FROM THE CLIENT FILE.

Next page

Quit

CAPITA

FINANCIAL SOFTWARE

System setup

Setup

User info.

Admin. codes

Standard text

Staff list

Providers

Products

Prices

Forms

Technical

Tables

User licence

Setup > Standard text > Details > Letter text

Details

Letter text

Financial prom.

Re:

Please find enclosed your new policy documents. These documents are important and should be kept in a safe place.

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

Alison Street

Training Consultant – Quay Software

Capita Financial Software Ltd

Thorley Wash Business Centre,

Thorley Wash, Bishop's Stortford, Herts CM23 4AT

Tel Direct: +44 (0) 1279 756086

Tel Mobile: +44 (0) 7929 007095

Fax: +44 (0) 1279 659748

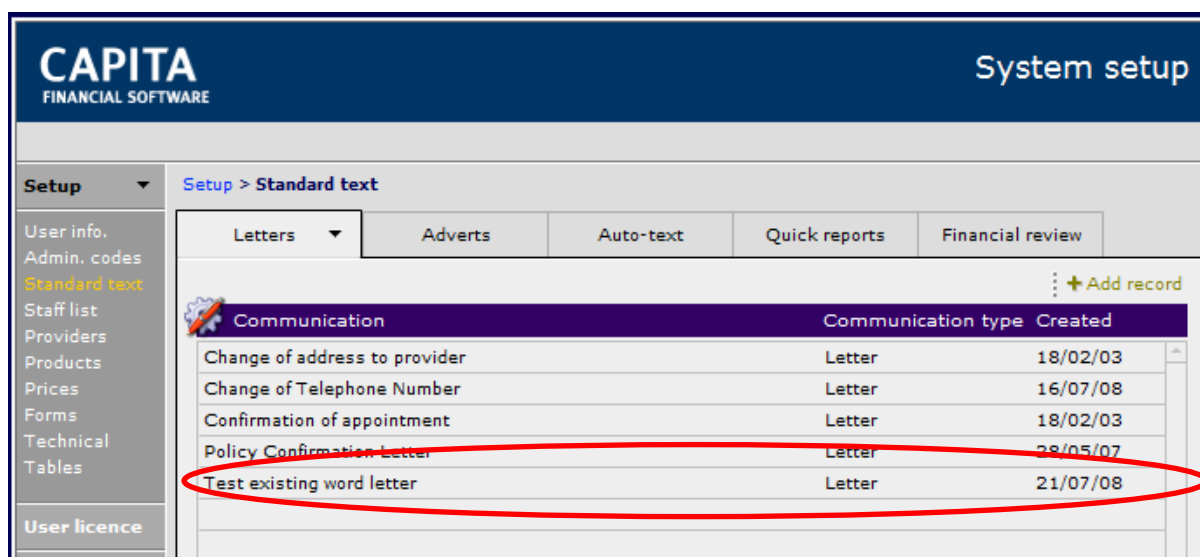
Email: Alison.Street@quaysoftware.co.uk

Web: www.quaysoftware.co.uk www.capitafinancialsoftware.co.uk

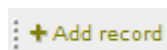
Next page

Quit

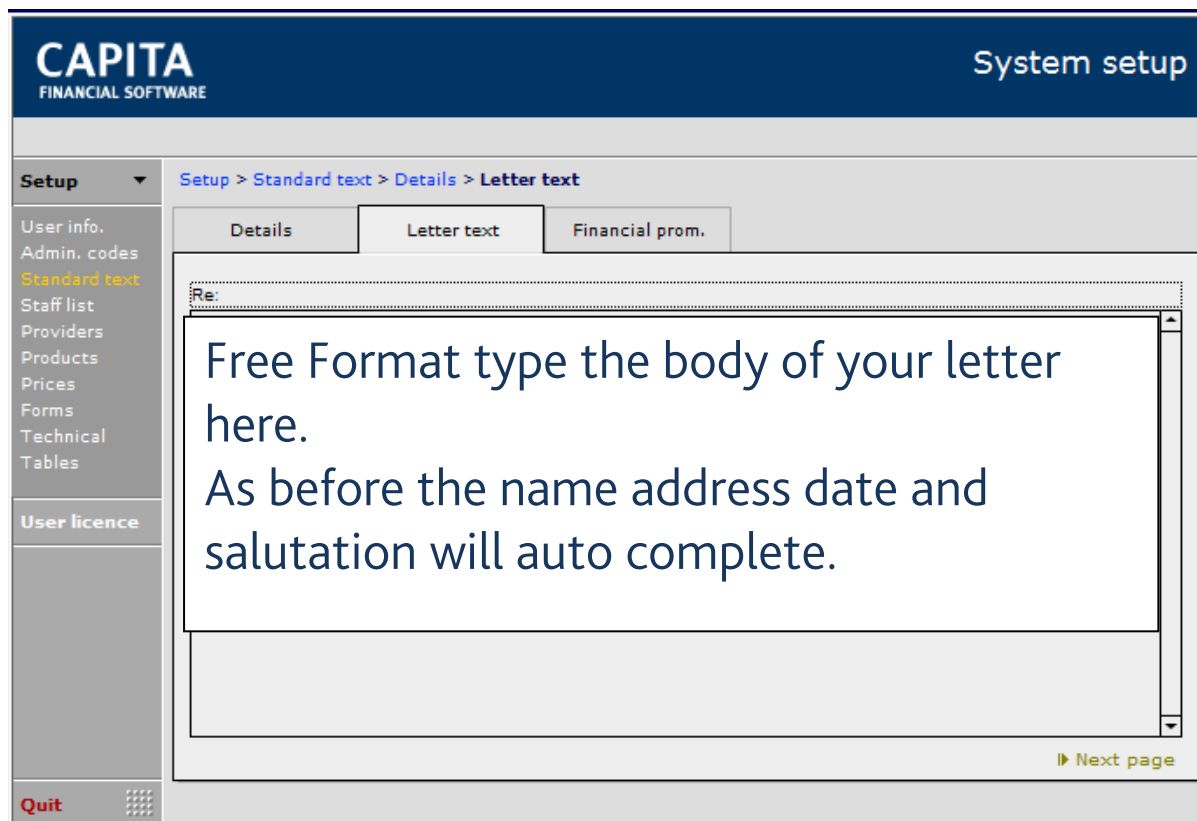
The letter is now available for selection in the clients/holdings module.



## 2.2. Type in a new standard letter



And complete the letter identification fields as above.



**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup > Standard text > Details > Letter text

Details Letter text Financial prom.

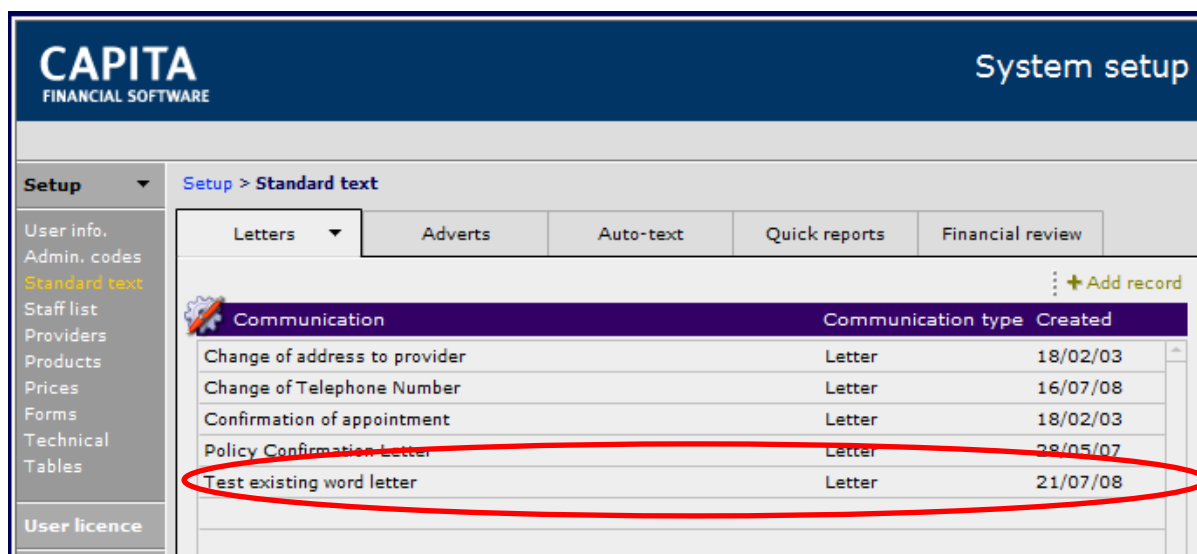
Re:

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

Next page

Quit

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



**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup > Standard text

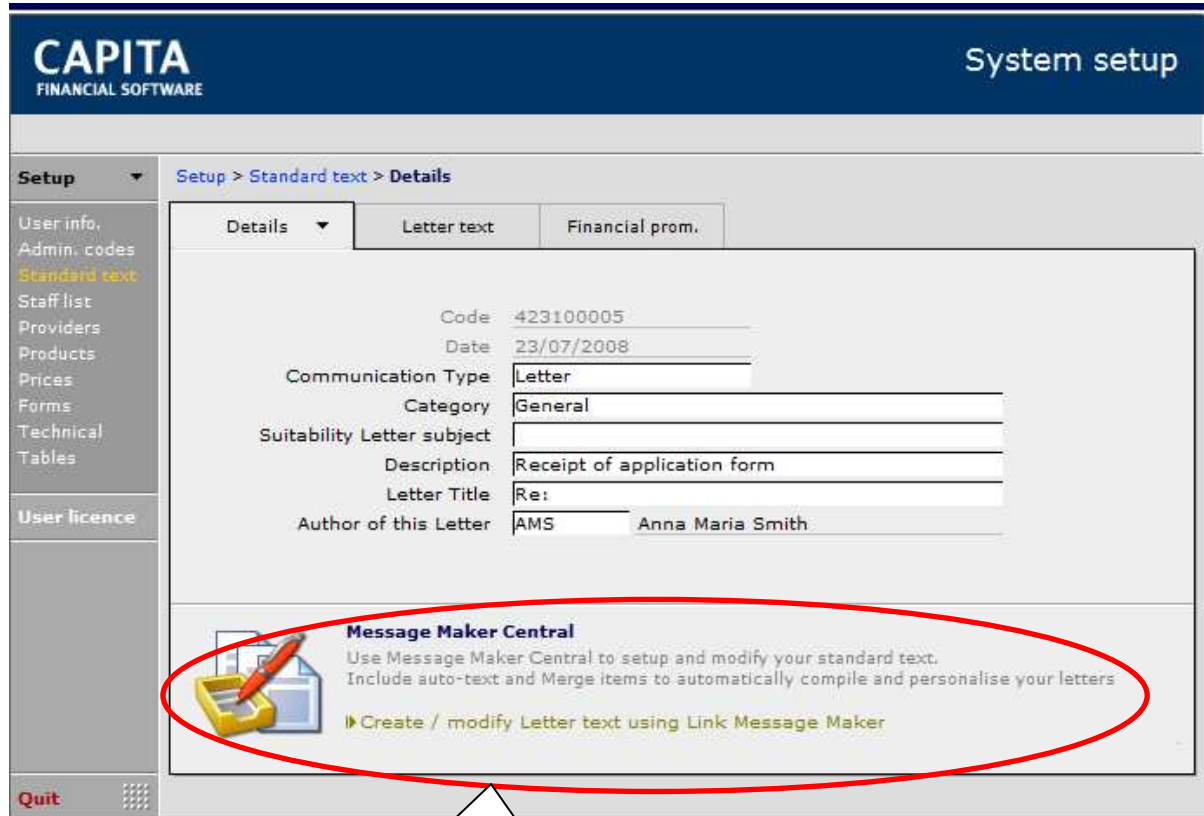
Letters Adverts Auto-text Quick reports Financial review

+ Add record

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

## 2.3 Using Message Maker to set up Standard Letters

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



**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup > Standard text > Details

Details Letter text Financial prom.

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

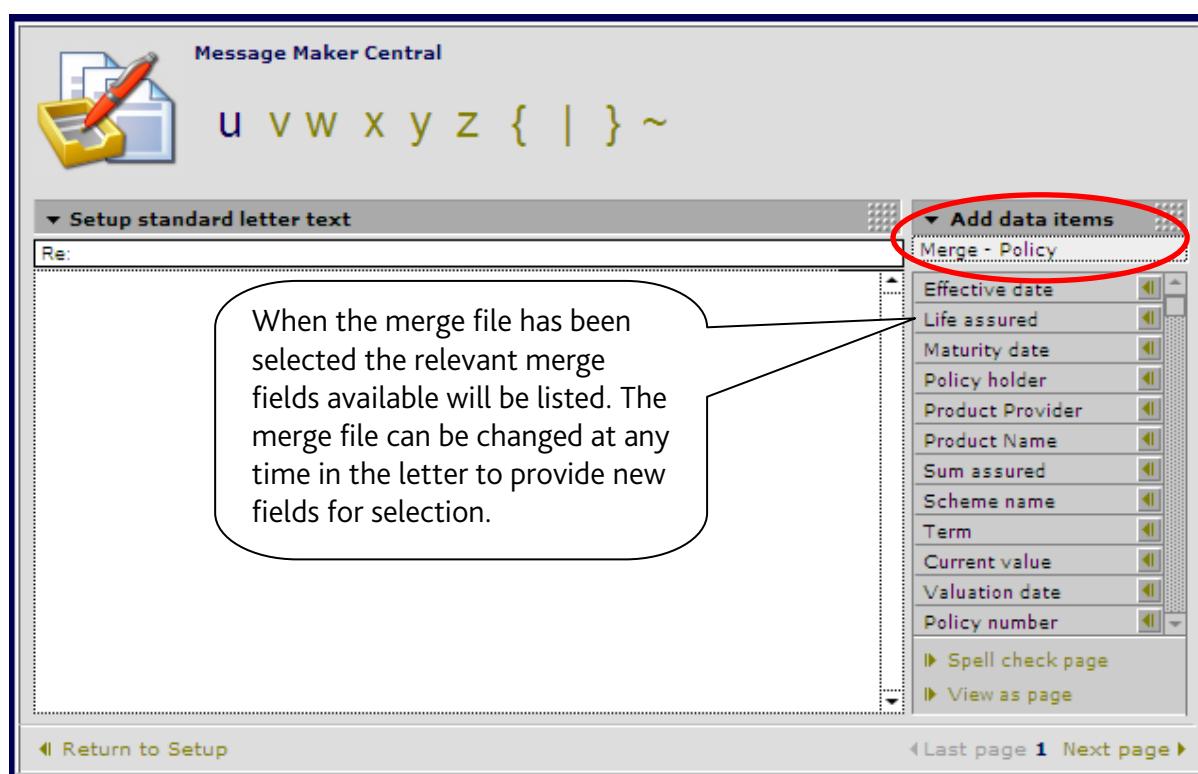
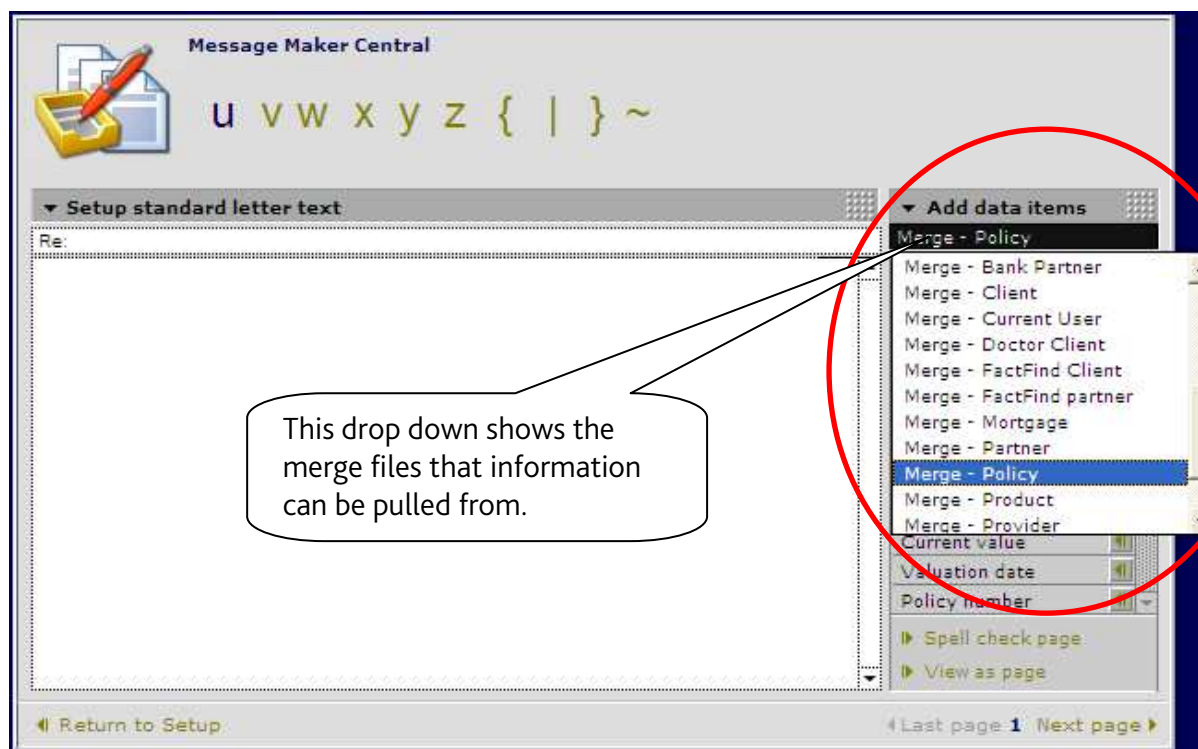
**Message Maker Central**  
Use Message Maker Central to setup and modify your standard text.  
Include auto-text and Merge items to automatically compile and personalise your letters  
Create / modify Letter text using Link Message Maker

Quit

Complete the letter identification details above as before and then click onto the

Create / modify Letter text using Link Message Maker

This will take you to the message maker screens.



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

The words in *italics* are the merge fields.

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

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

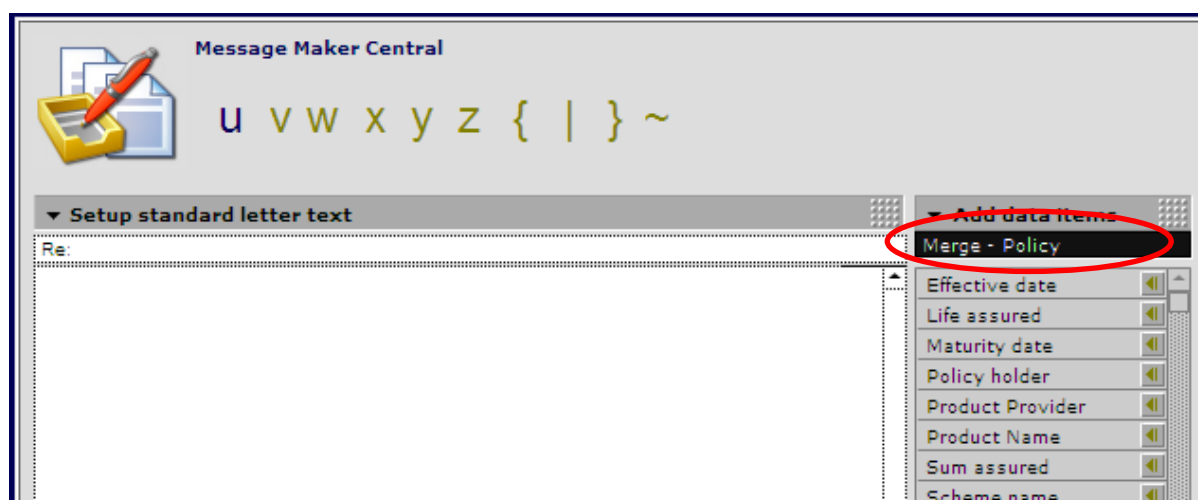
I have forwarded this to "*provider*" and will update you with the progress of this application.

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

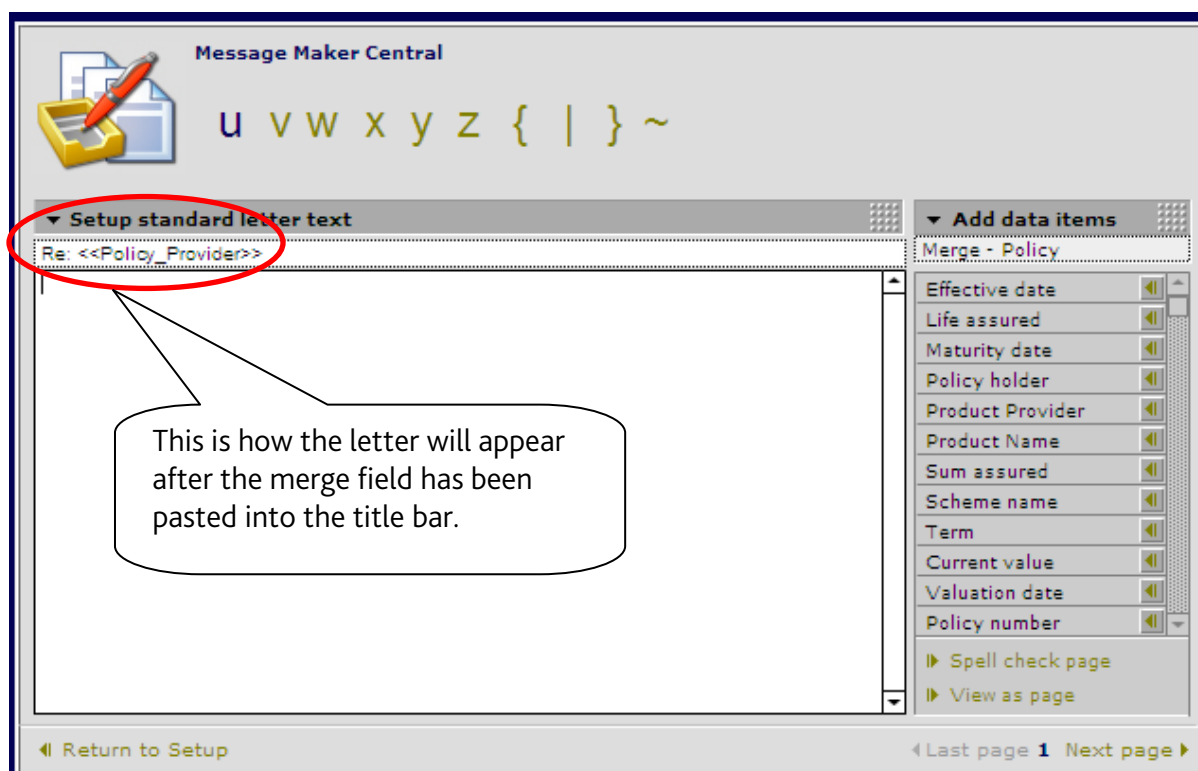
Yours sincerely

*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.

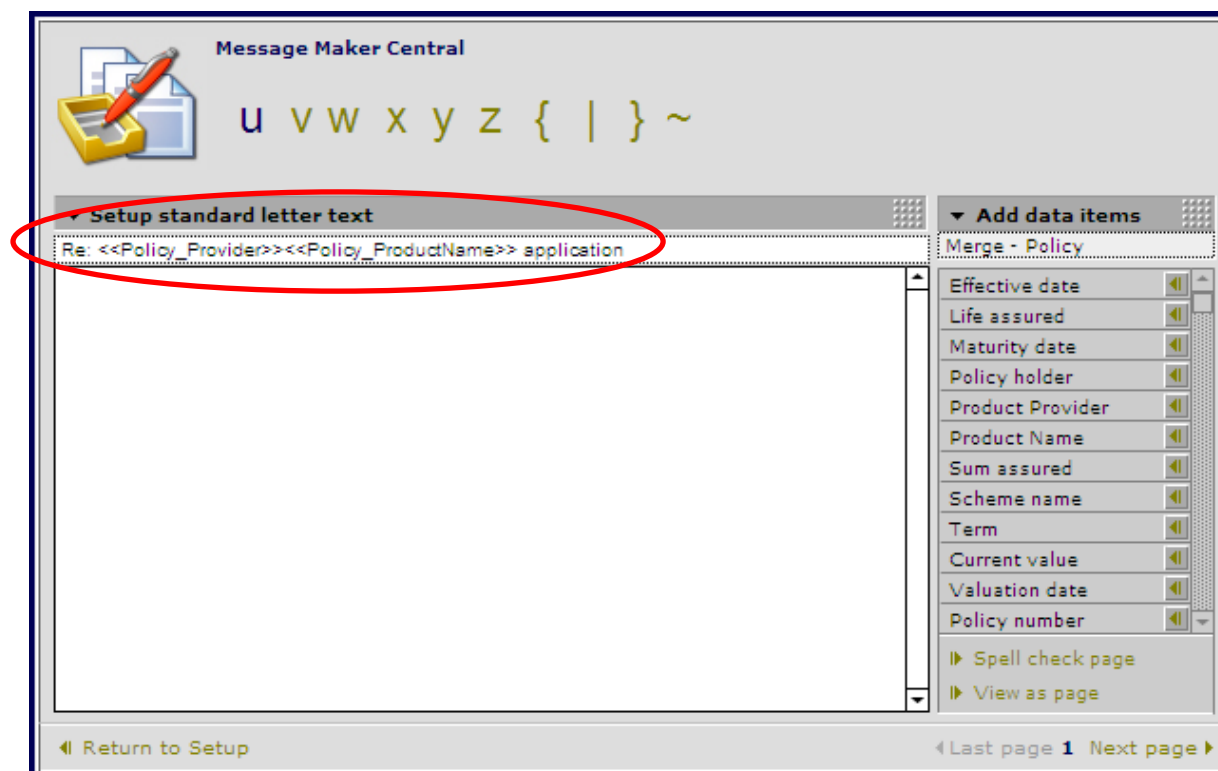


Locate the merge field that you require (in this case it is the 'Product Provider') and click into the yellow/gold arrow to the right of the field name. Then place your cursor in the title line where you want the merge field inserted and right click and 'Paste unformatted text'.



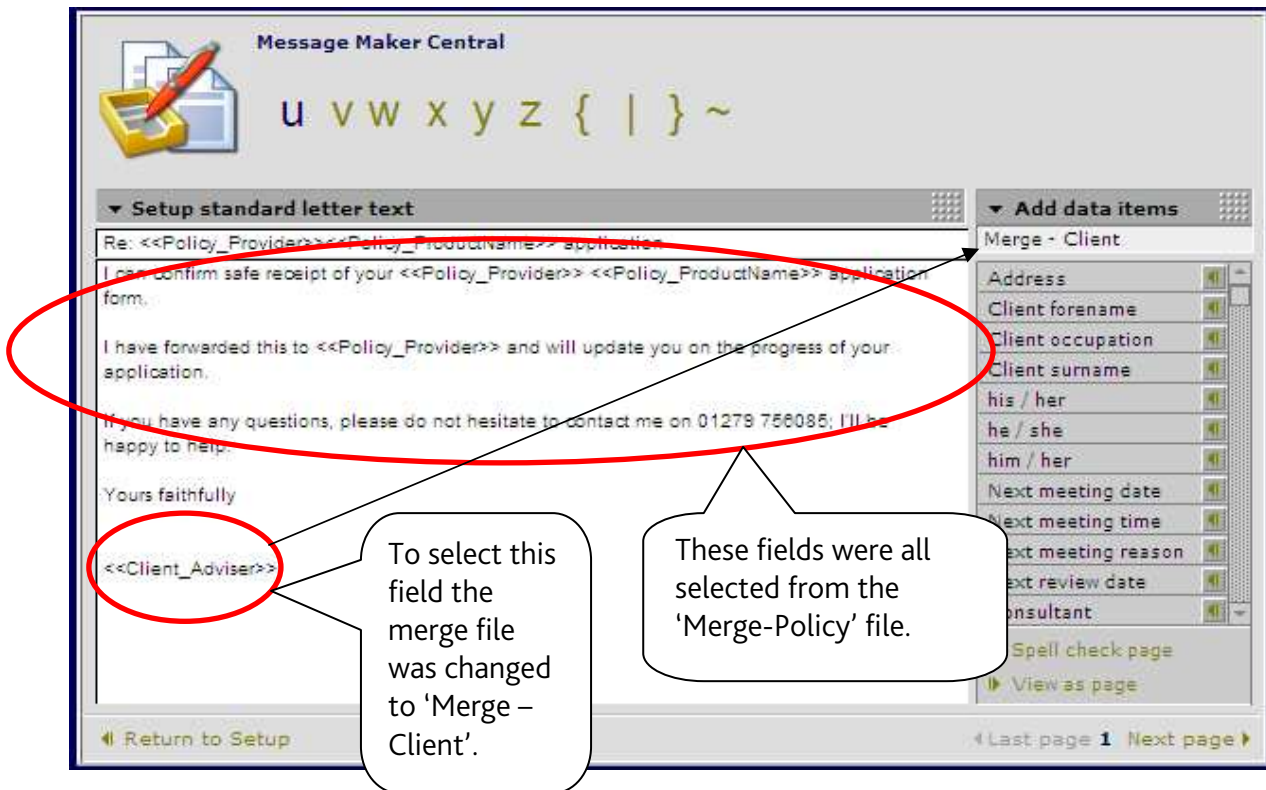
We now require the product name so repeat this process and then manually type 'application' after the 2<sup>nd</sup> merge field has been added.





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

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



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

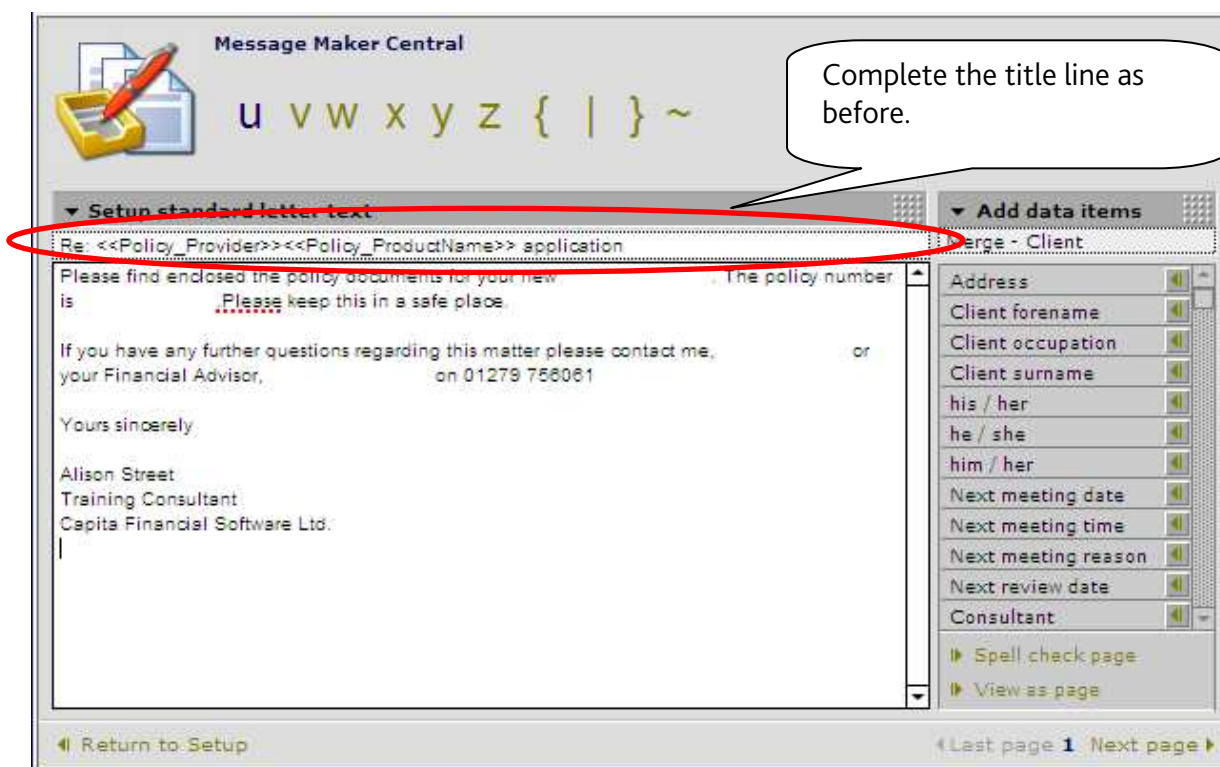
Dear

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

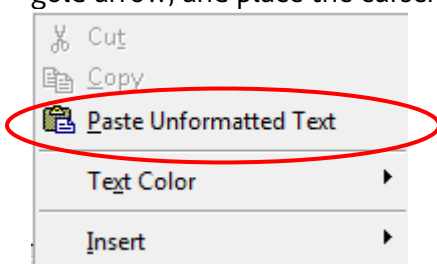
If you have any further questions regarding this matter please contact me, or your  
Financial Advisor, on 01279 756061


Yours sincerely

Alison Street  
Training Consultant  
Quay Software Ltd.



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





Message Maker Central

u v w x y z { | } ~

▼ Setup standard letter text

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

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

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

Yours sincerely

Alison Street  
Training Consultant  
Capita Financial Software Ltd.

▼ Add data items

Merge - Current User

User name category

User name

Company name

User email

User telephone

► Spell check page

► View as page

◀ Return to Setup

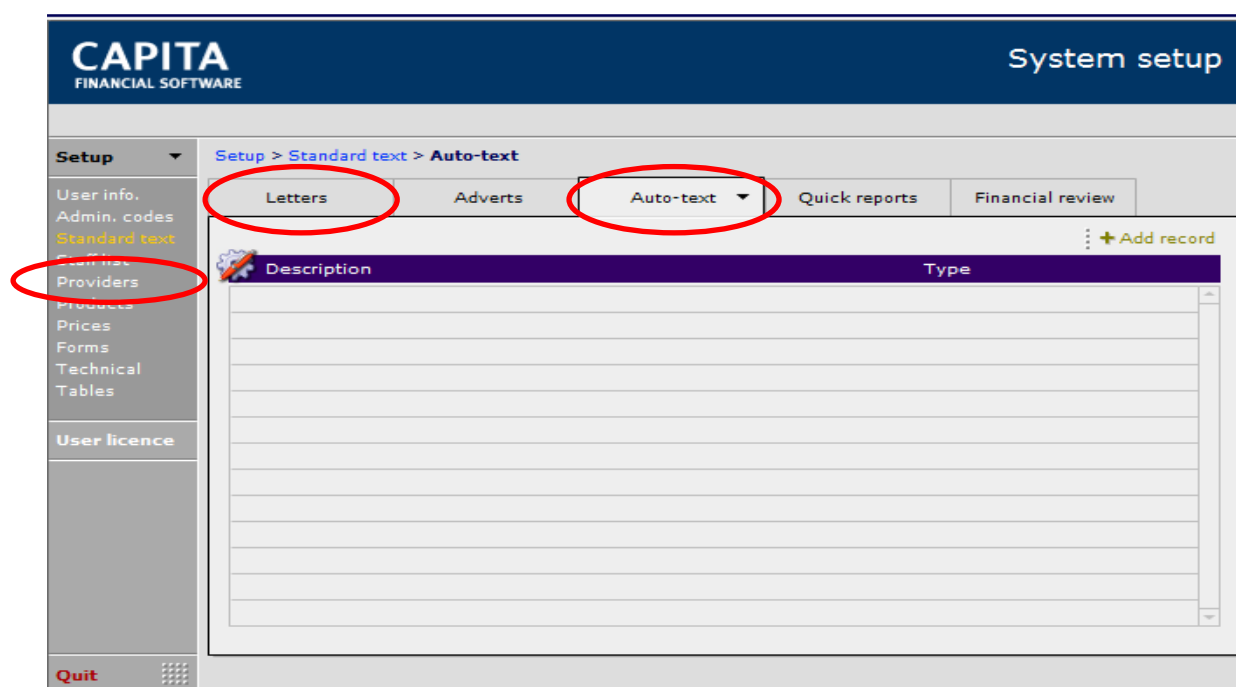
◀ Last page 1 Next page ▶

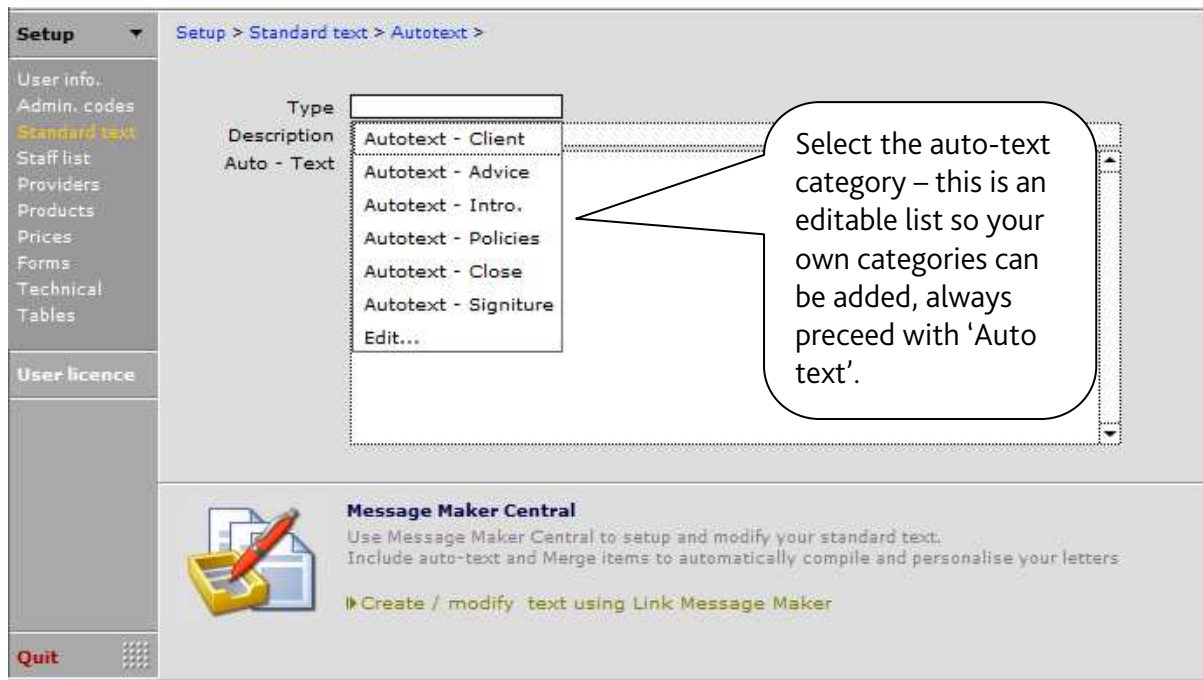
### 3. AUTO-TEXT

An 'Auto-text' is a line or paragraph of text, which is used regularly.

Instead of manually typing the text each time, it can be recorded as a standard in the system and then added as required to your letter.

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



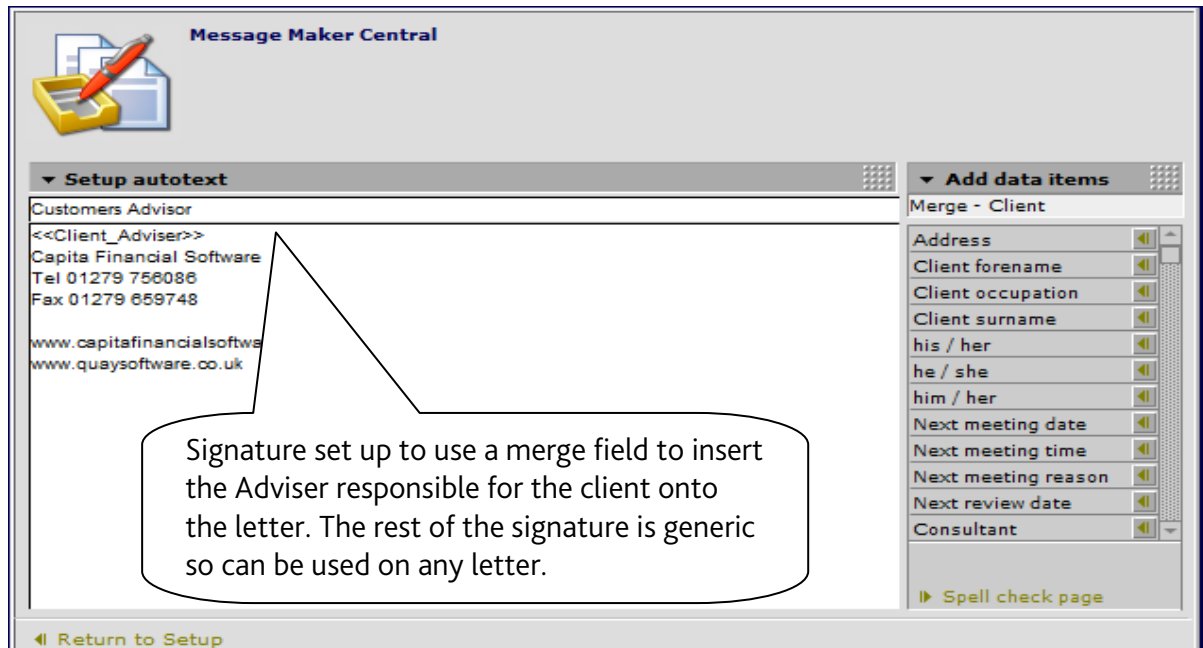


As with letters there are 2 methods of creating auto-text, copy and paste or free type into the main Auto-text box or use the [Create / modify text using Link Message Maker](#) link to add merge fields to a standard paragraph or sentence.

### 3.1. Copy and paste or free format type

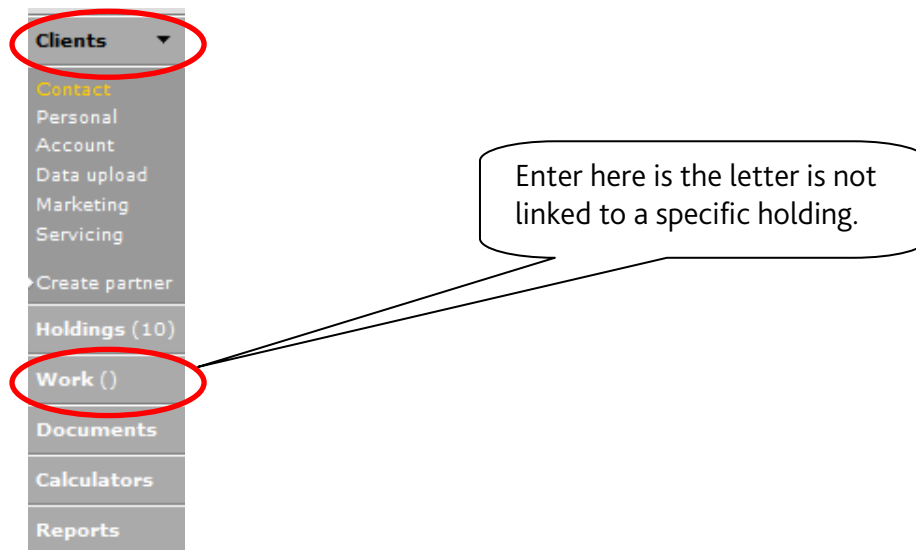


► Create / modify text using Link Message Maker

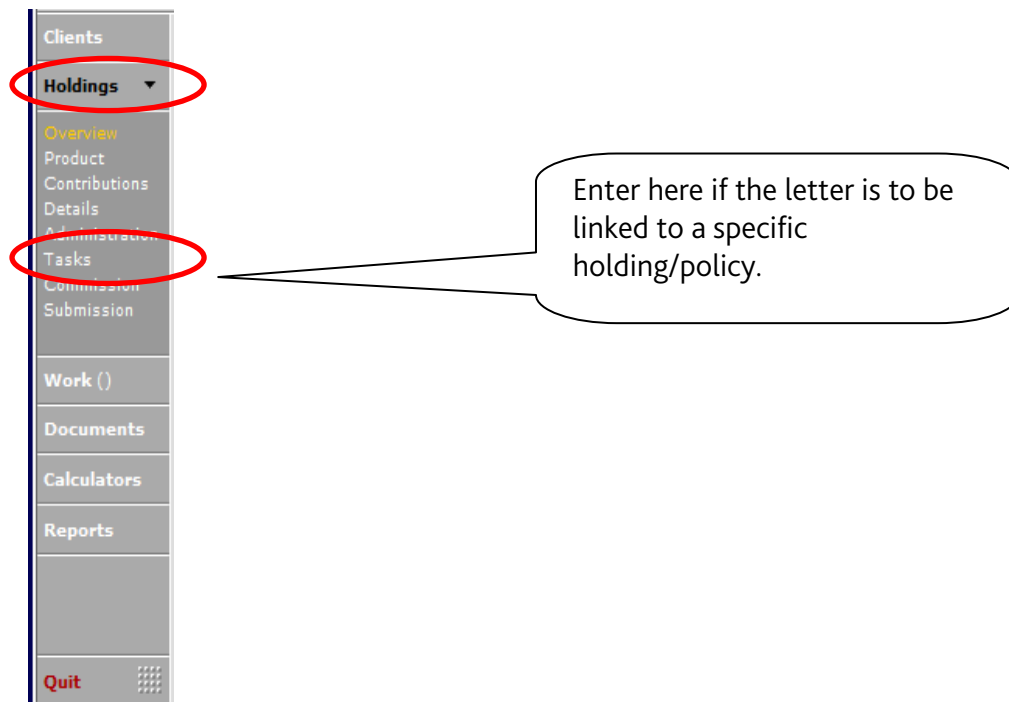


#### 4. PRODUCING AND VIEWING YOUR LETTERS VIA WORK AND TASKS

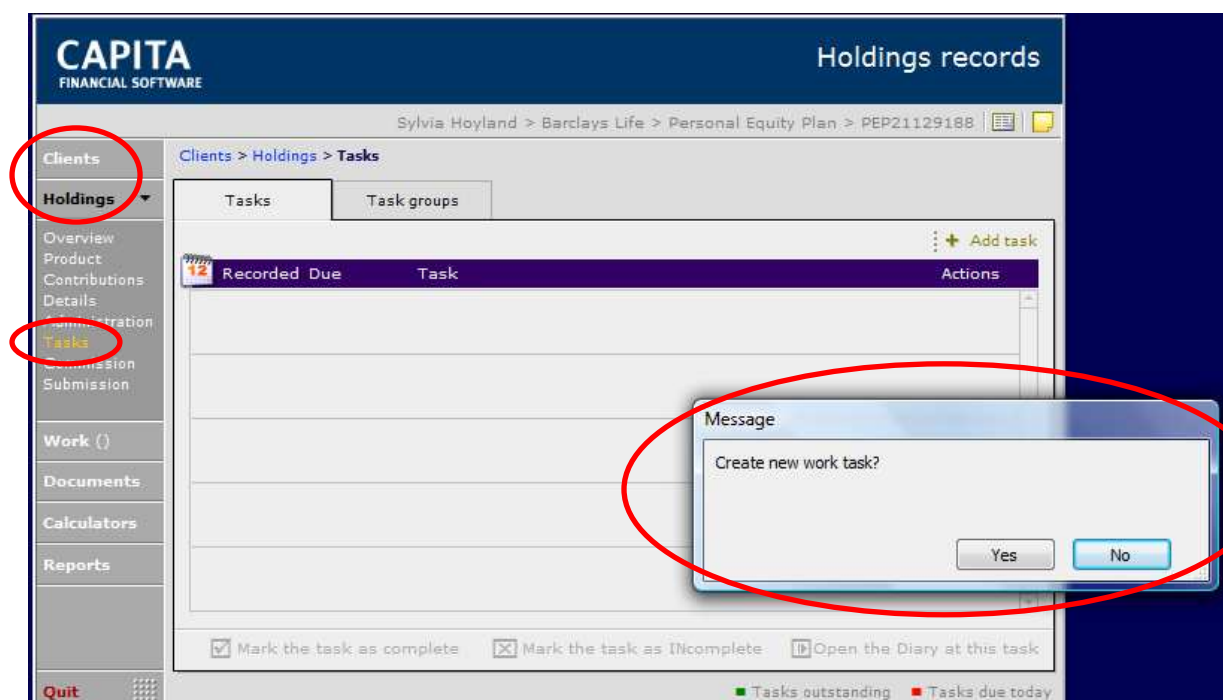
If you wish to produce a letter for your client, firstly find the client in question and if the letter is not linked to 1 particular policy go to Work in the client record. If the letter is to be linked to a specific holding/policy then go to the holding in question and enter the Tasks area of the holding.






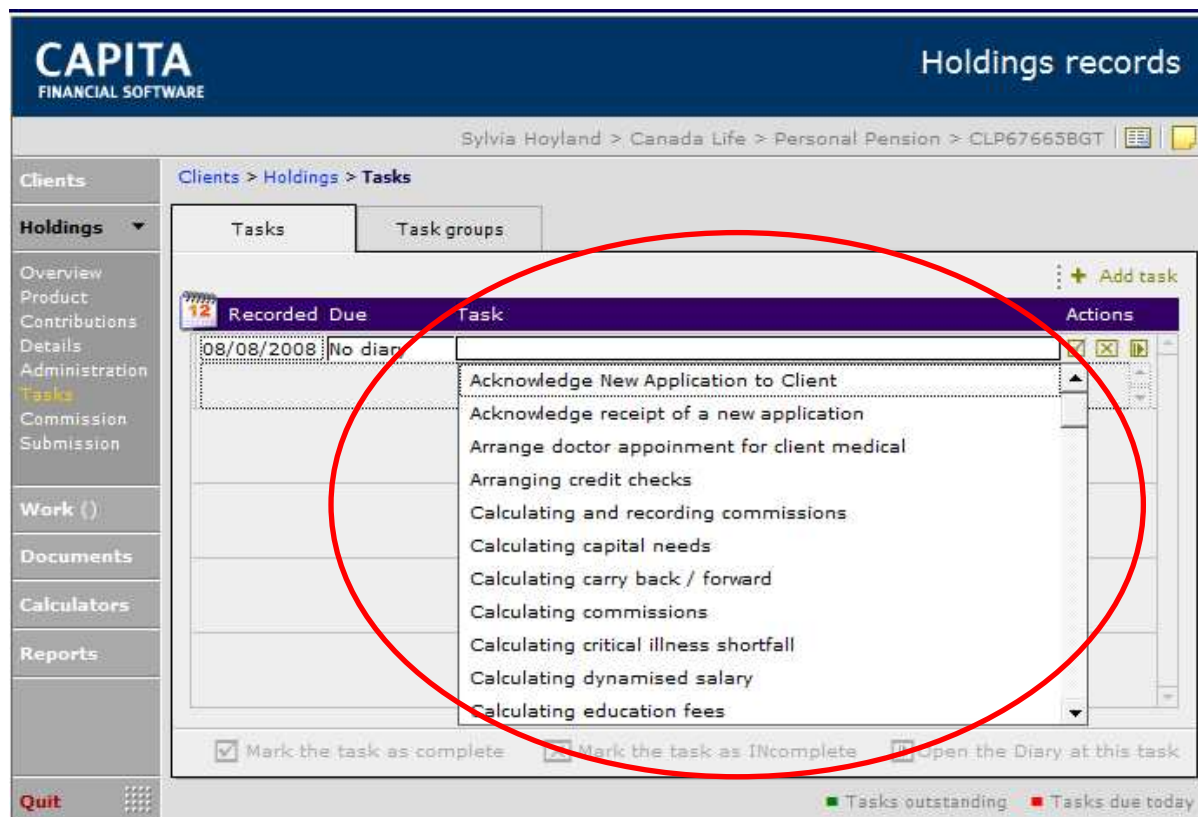


#### 4.1. Entering a letter against a holding





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



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

Clients > Holdings > Tasks > Diary

Diary Account Message

Task Group Client contact Who Date  
Task Corresponding with the client [edit] ams 20/03/2010

**Outstanding** Notify client ☐ Notify Introducer ☒

Type in details of the task here.

Related project

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

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

First diary date  
Further actions due 22/03/2010  
Further actions complete  
Date of completion

Document linked Select

CAPITA FINANCIAL SOFTWARE

Clients > Holdings > Tasks > Diary

Diary Account Message

Message to Client  
If to client Client  
Type of correspondence Letter  
Private Confidential  
Formality Formal  
Letter date 08/08/2008  
Our reference  
Word export

Options

8 August 2008  
Confidential  
Mrs S.M. Hoyland  
19 Goddard Avenue  
Watford  
WT3 8NK  
Dear Mrs Hoyland  
Re:

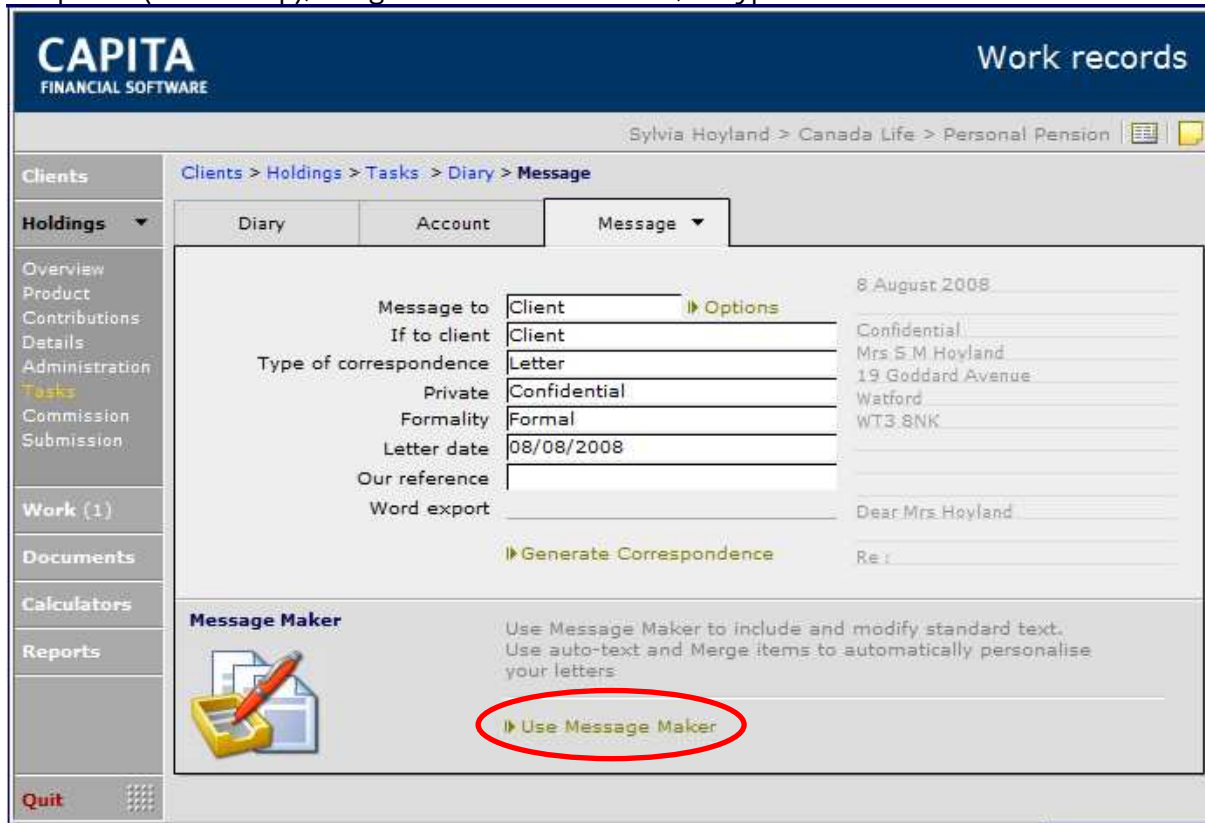
Generate Correspondence

**DO NOT ENTER '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 AVAILABLE WITHIN CCD. YOU ARE UNABLE TO ACCESS ANY OF THIS FUNCTIONALITY FROM WITHIN THIS SECTION.**

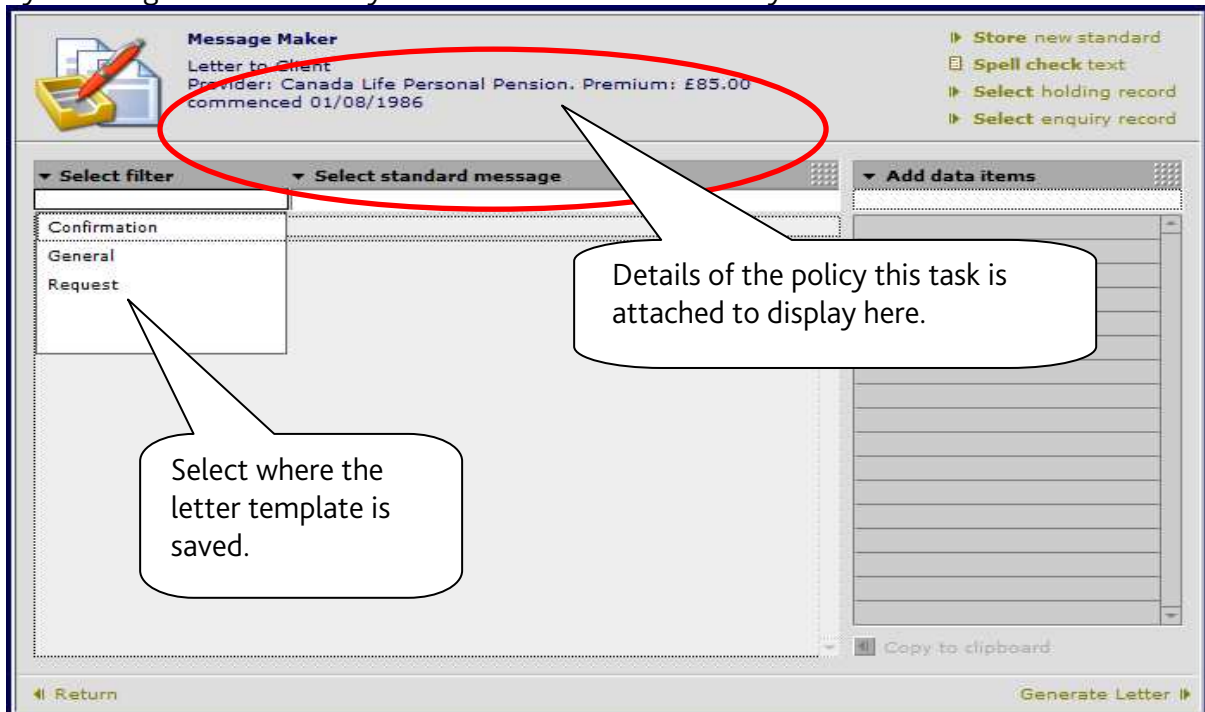
Quit

► Use Message Maker

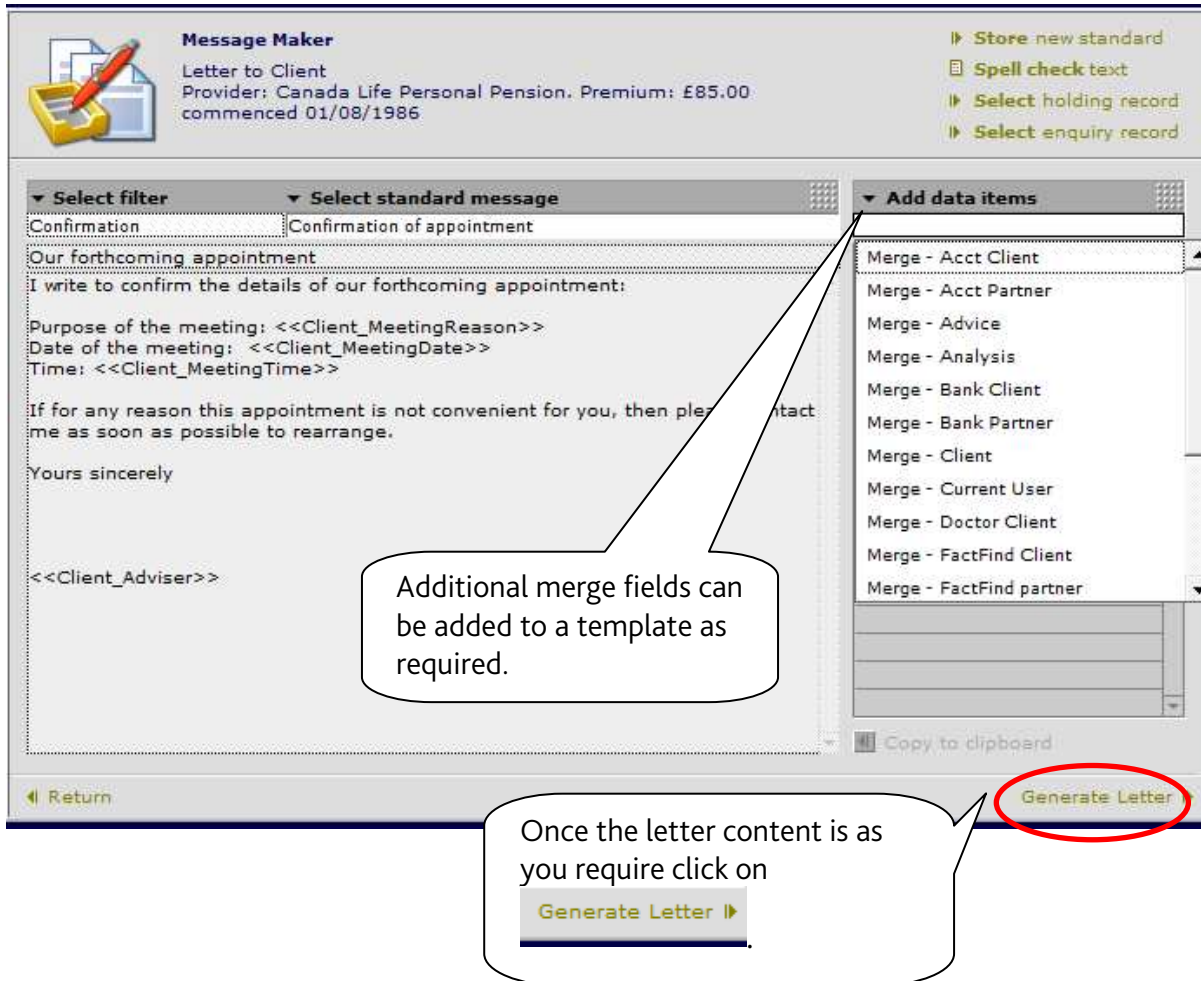
By going into **► Use Message Maker** at the bottom of the screen you can access your letter templates (from Setup), merge items and Auto-texts, or type a new letter.



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



Now select the letter that you want to use.



**Message Maker**  
Letter to Client  
Provider: Canada Life Personal Pension. Premium: £85.00  
commenced 01/08/1986

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

▼ Select filter  
Confirmation

▼ Select standard message  
Confirmation of appointment

▼ Add data items

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

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


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

Generate Letter

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

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

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

This is done by clicking on 

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

8 August 2008

Confidential  
Mrs S M Hoyland  
19 Goddard Avenue  
Watford  
WT3 8NK

Dear Sylvia

Our forthcoming appointment

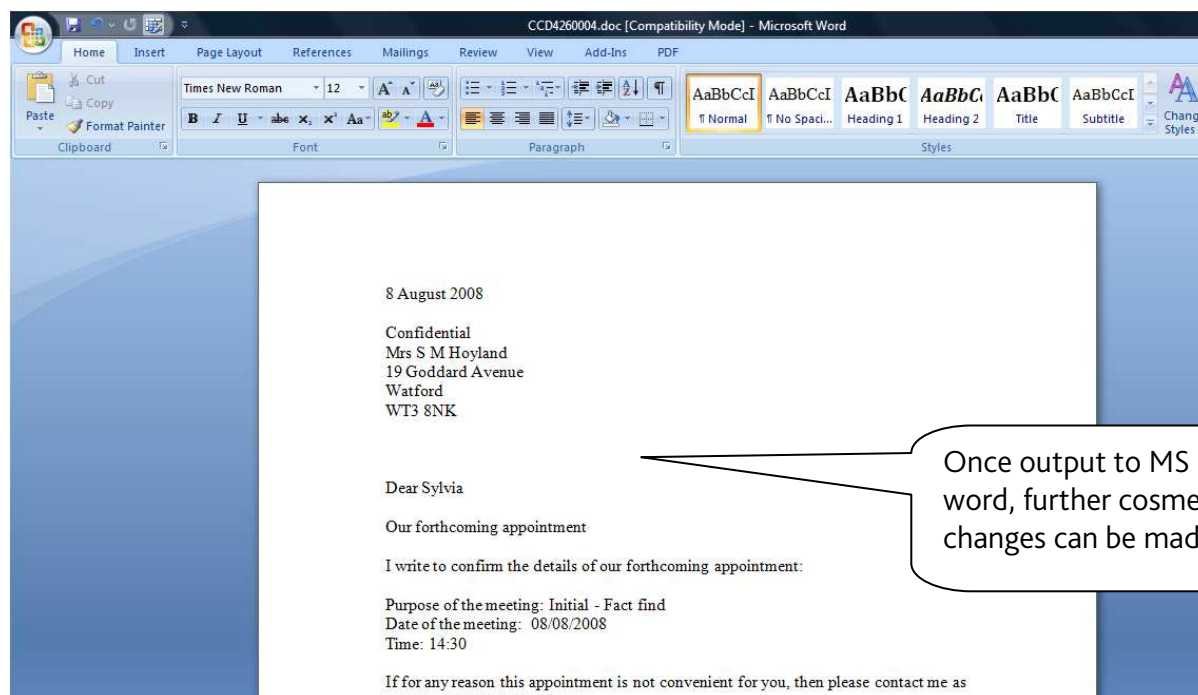
I write to confirm the details of our forthcoming appointment:

Purpose of the meeting: Initial - Fact find  
Date of the meeting: 08/08/2008  
Time: 14:30

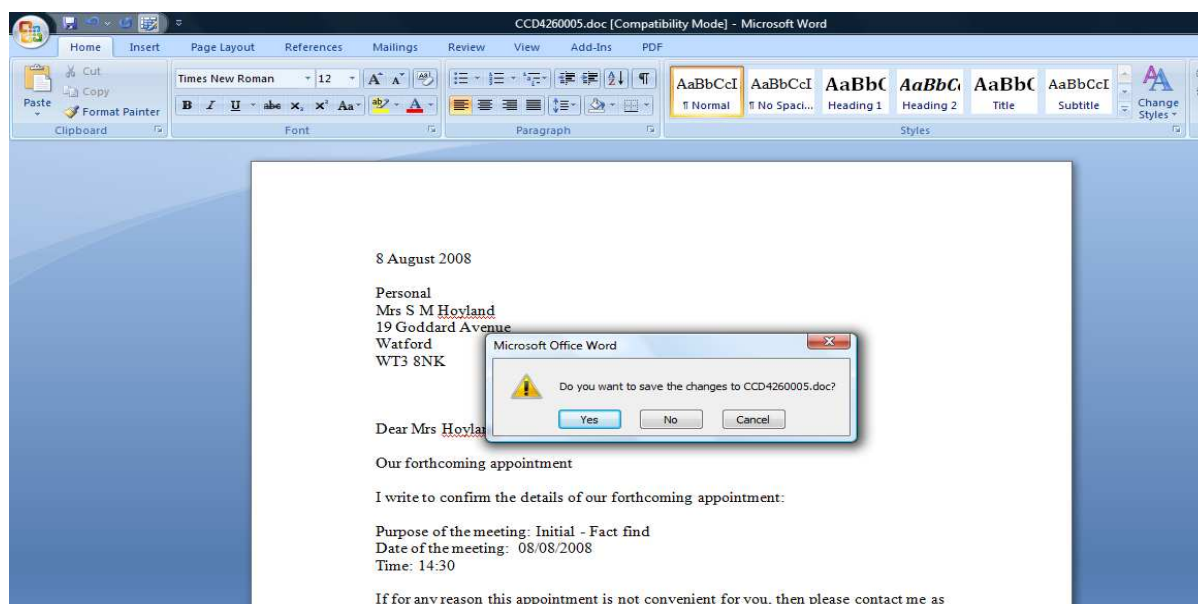
If for any reason this appointment is not convenient for you, then please contact me as soon as possible to rearrange.

Yours sincerely

Clive McDonough



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

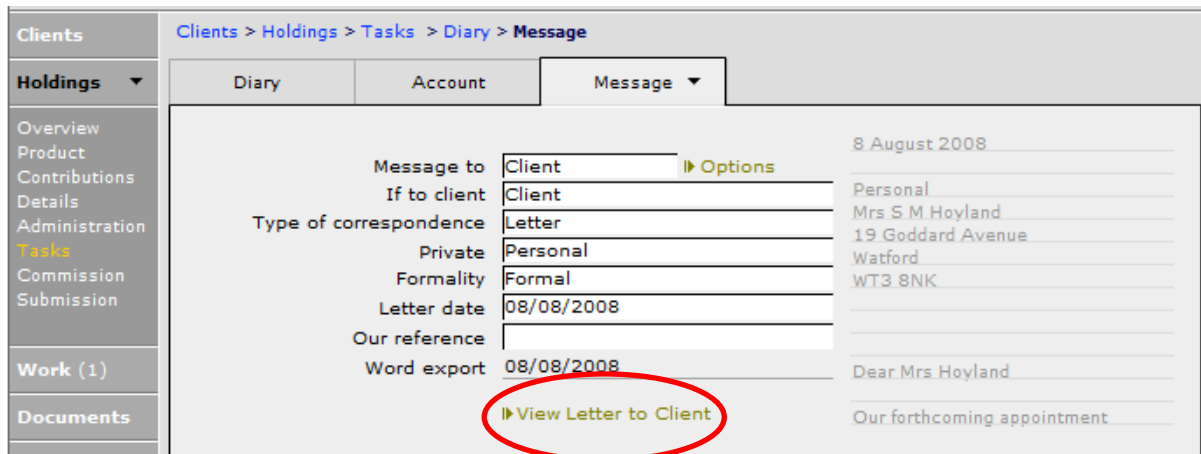




## 4.2. Viewing letters via Tasks

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

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



The screenshot shows the Capita Financial Software interface. On the left is a navigation menu with sections: Clients, Holdings, Overview, Product, Contributions, Details, Administration, Tasks (highlighted), Commission, and Submission. Below this are 'Work (1)' and 'Documents'. The main area has a breadcrumb trail: 'Clients > Holdings > Tasks > Diary > Message'. There are three tabs: 'Diary', 'Account', and 'Message' (selected). The 'Message' tab contains a form with fields for 'Message to' (Client), 'If to client' (Client), 'Type of correspondence' (Letter), 'Private' (Personal), 'Formality' (Formal), 'Letter date' (08/08/2008), 'Our reference' (empty), and 'Word export' (08/08/2008). To the right of these fields is a preview of the letter, starting with '8 August 2008', 'Personal', 'Mrs S M Hoyland', '19 Goddard Avenue', 'Watford', 'WT3 8NK', and 'Dear Mrs Hoyland'. At the bottom of the form, the button 'View Letter to Client' is circled in red.

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





## 4.3. Entering a Letter against the Client

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

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

**CAPITA**  
FINANCIAL SOFTWARE

Client records

 Add record
  Find record
  List records
  My notes

**Clients** ▾ Clients

Contact ▾ | Postal address | Scanned docs. | Goals | Overview

**Client type** Individual **Client Ref.**

**Title / Initial / Surname** Mrs S M **Hoyland**

**Forename** Sylvia Mary

**Salutation** Sylvia

**Qualification / Honours**

**Company name**

**Email address**

**Home** ☒ 01285 277622 **Fax home**   
**Work** ☐ 01285 567567 **Fax work**   
**Mobile** ☐ **Contact** Evenings  
**Current status** Prospect **Method** Telephone

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

**Client Source**  
 Intro. date / source 17/08/2006 Cold calling  
 Introducer No introducer  
 Employer  
 Adviser Clive McDonough  
 Service manager




Add note  
 Create security question

Quit

Created: 17/08/2006 By: AMS Last modified: 20/03/2010 by ams

**CAPITA**  
FINANCIAL SOFTWARE

Work records

Sylvia Hoyland   

**Clients** ▾ Clients > Work

Outstanding | All tasks | Groups | Tracker set-up

**Work** ▸

Add record

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

Message  
 Do you wish to create a new Work log entry for the current client?  
 Yes No

Task group All group tasks shown - click here to filter

Correspondence attached Switch to Relevant section > Diary



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

CAPITA  
FINANCIAL SOFTWARE

Work records

Sylvia Hoyland

Clients

Holdings (10)

Work

Diary

Account

Message

Documents

Calculators

Reports

Quit

Clients > Work > Diary

Task Group

Client contact

Who

ams

Date

20/03/2010

Task

Corresponding with the client

Click here to add a letter to the task.

Type in details of the task here.

Related project

Document linked

Select

Further action required

Priority

Days / Override

By whom

3

2

AMS

Select policy

Mark task complete

Mark task incomplete

File note (last printed:)

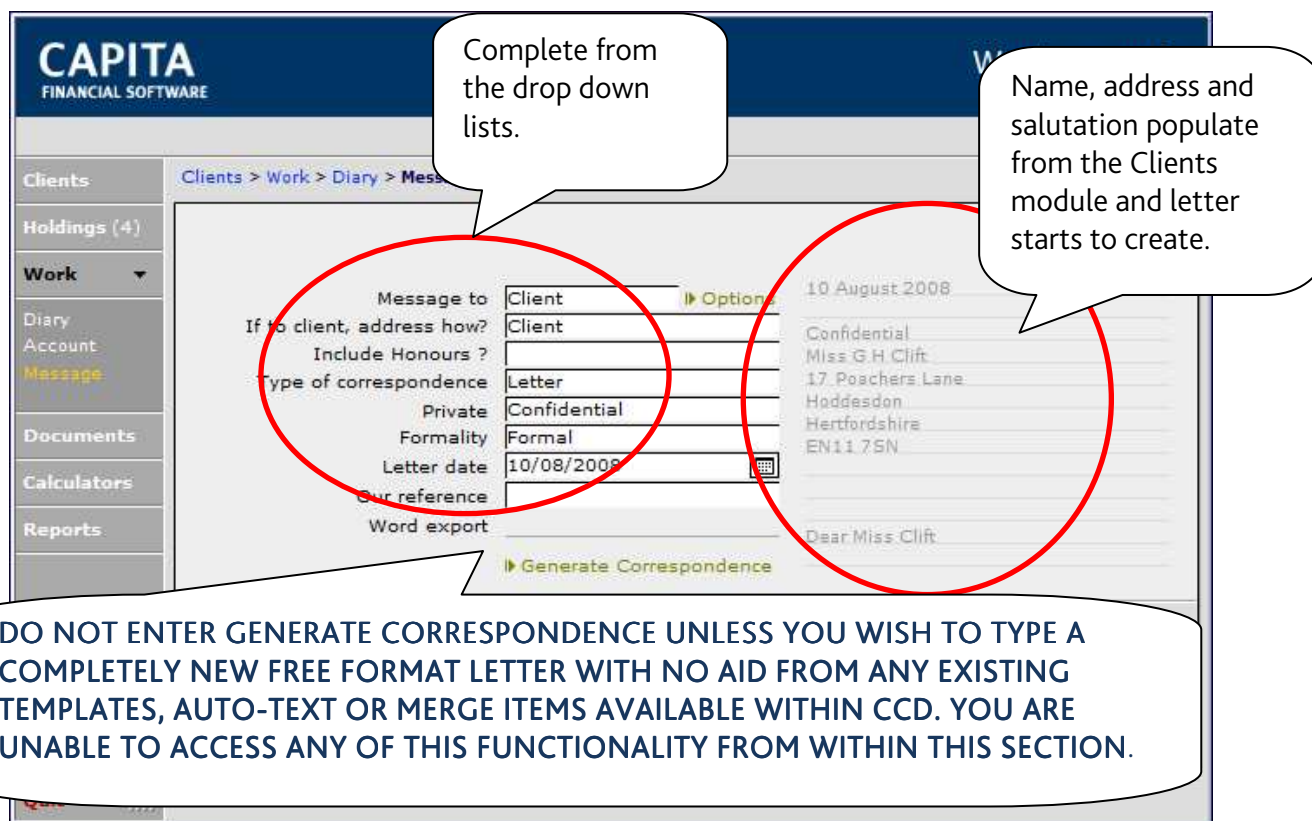
First diary date

Further actions due

Further actions complete

Date of completion

22/03/2010



**CAPITA**  
FINANCIAL SOFTWARE

Clients > Work > Diary > Message

Message to: Client

If to client, address how? Client

Include Honours? ☐

Type of correspondence: Letter

Private: Confidential

Formality: Formal

Letter date: 10/08/2008

Our reference:

Word export:

Generate Correspondence

10 August 2008

Confidential

Miss G.H Clift

17 Poachers Lane

Hoddesdon

Hertfordshire

EN11 7SN

Dear Miss Clift

**DO NOT ENTER 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 AVAILABLE WITHIN CCD. YOU ARE UNABLE TO ACCESS ANY OF THIS FUNCTIONALITY FROM WITHIN THIS SECTION.**

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

CAPITA

FINANCIAL SOFTWARE

Work records

Gemma Clift

Clients

Holdings (4)

Work

Diary

Account

Message

Documents

Calculators

Reports

Quit

Clients > Work > Diary > Message

Message to

Client

Options

If to client, address how?

Client

Include Honours ?

Type of correspondence

Letter

Private

Confidential

Formality

Formal

Letter date

10/08/2008

Our reference

Word export

Generate Correspondence

10 August 2008

Confidential

Miss G.H Clift

17 Poachers Lane

Hoddesdon

Hertfordshire

EN11 7SN

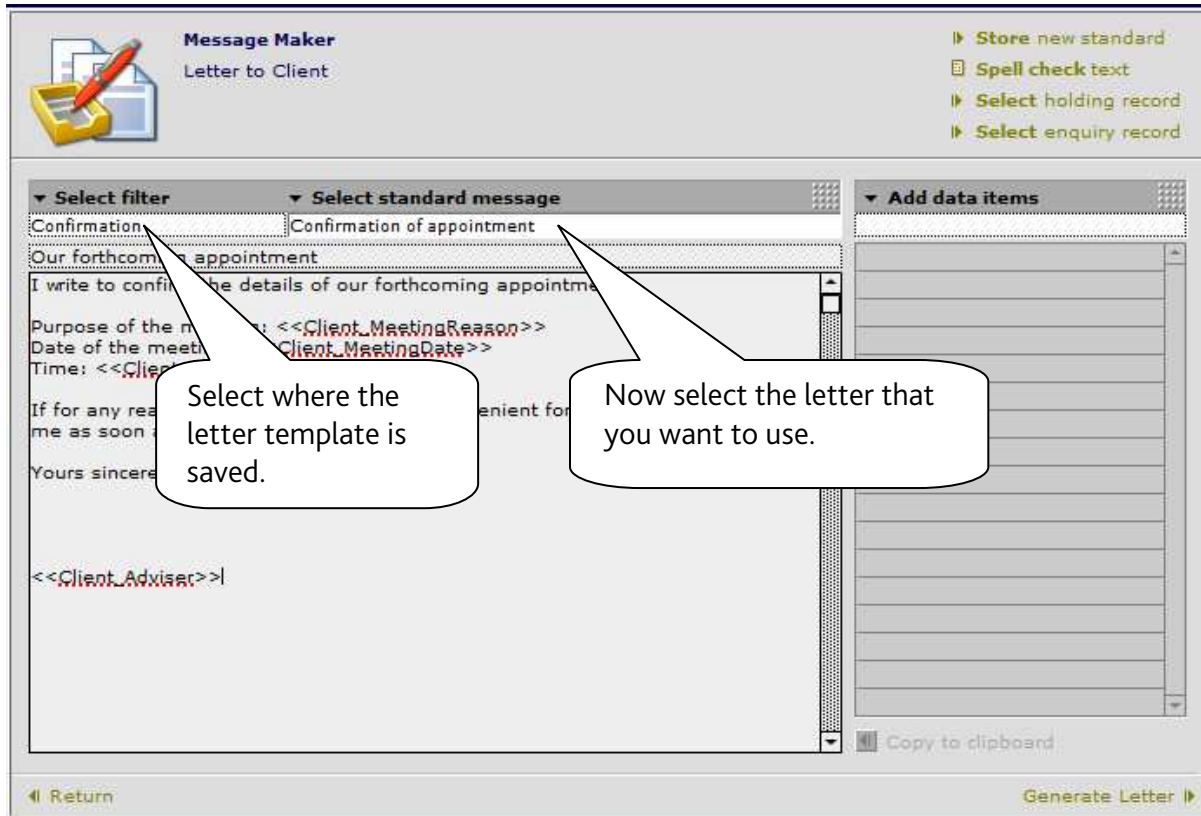
Dear Miss Clift

Message Maker

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

Use Message Maker

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



**Message Maker**  
Letter to Client

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

▼ Select filter  
Confirmation

▼ Select standard message  
Confirmation of appointment

▼ Add data items

Our forthcoming appointment

I write to confirm the details of our forthcoming appointment:

Purpose of the meeting: <<Client\_MeetingReason>>  
Date of the meeting: <<Client\_MeetingDate>>  
Time: <<Client\_MeetingTime>>

If for any reason this appointment is inconvenient for you, please contact me as soon as possible to rearrange.

Yours sincerely

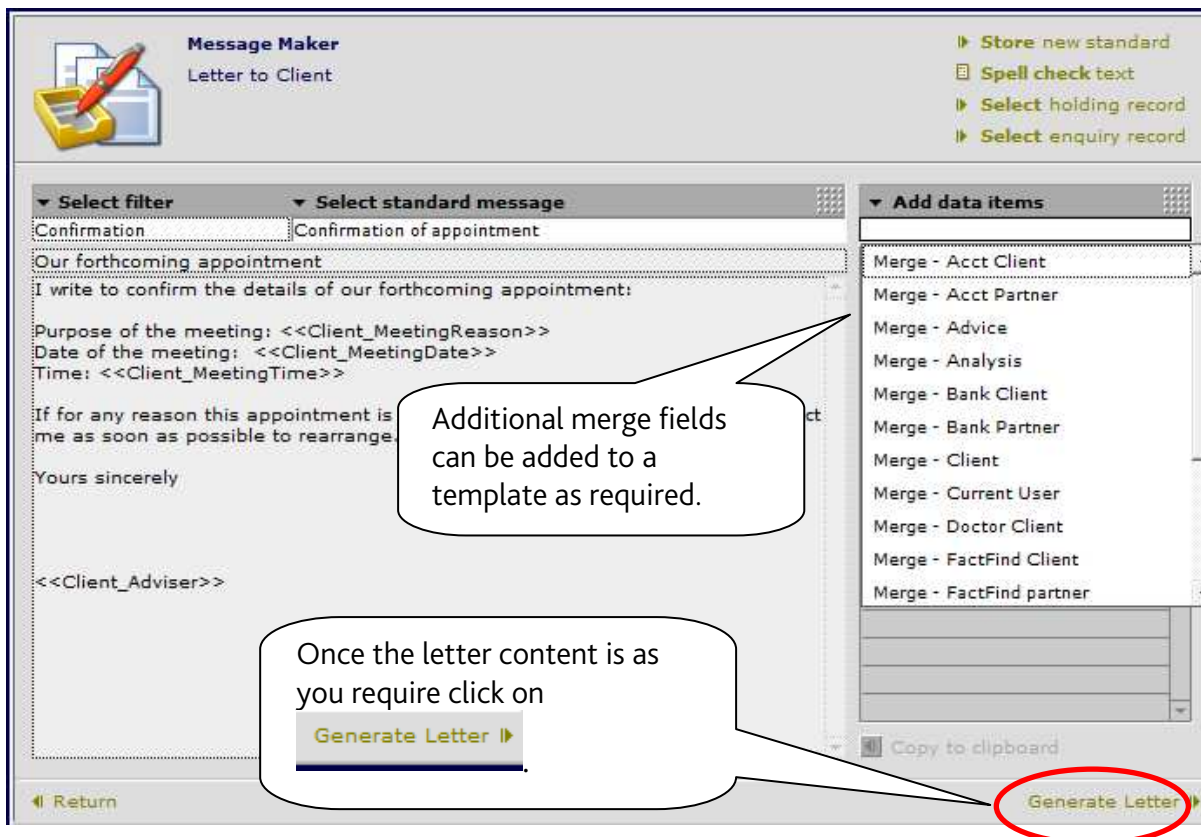
<<Client\_Adviser>>

Copy to clipboard

Return Generate Letter ►

Select where the letter template is saved.

Now select the letter that you want to use.



**Message Maker**  
Letter to Client

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

▼ Select filter  
Confirmation

▼ Select standard message  
Confirmation of appointment

▼ Add data items

Our forthcoming appointment

I write to confirm the details of our forthcoming appointment:

Purpose of the meeting: <<Client\_MeetingReason>>  
Date of the meeting: <<Client\_MeetingDate>>  
Time: <<Client\_MeetingTime>>

If for any reason this appointment is inconvenient for you, please contact me as soon as possible to rearrange.

Yours sincerely

<<Client\_Adviser>>

Copy to clipboard

Return Generate Letter ►

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

Once the letter content is as you require click on

Generate Letter ►

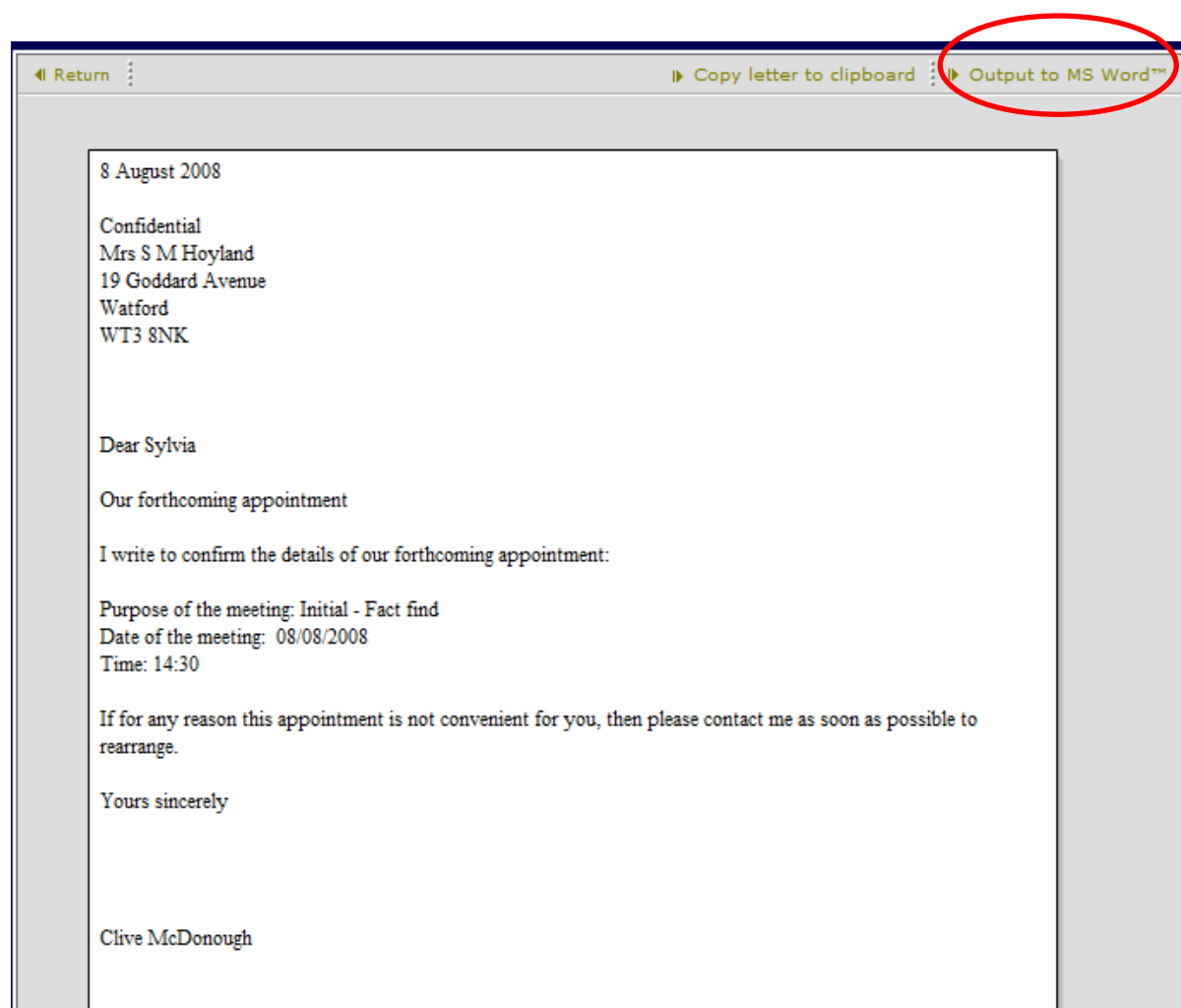
Your letter now starts to take form and any merge items you have included within your letter will be inserted by CCD.

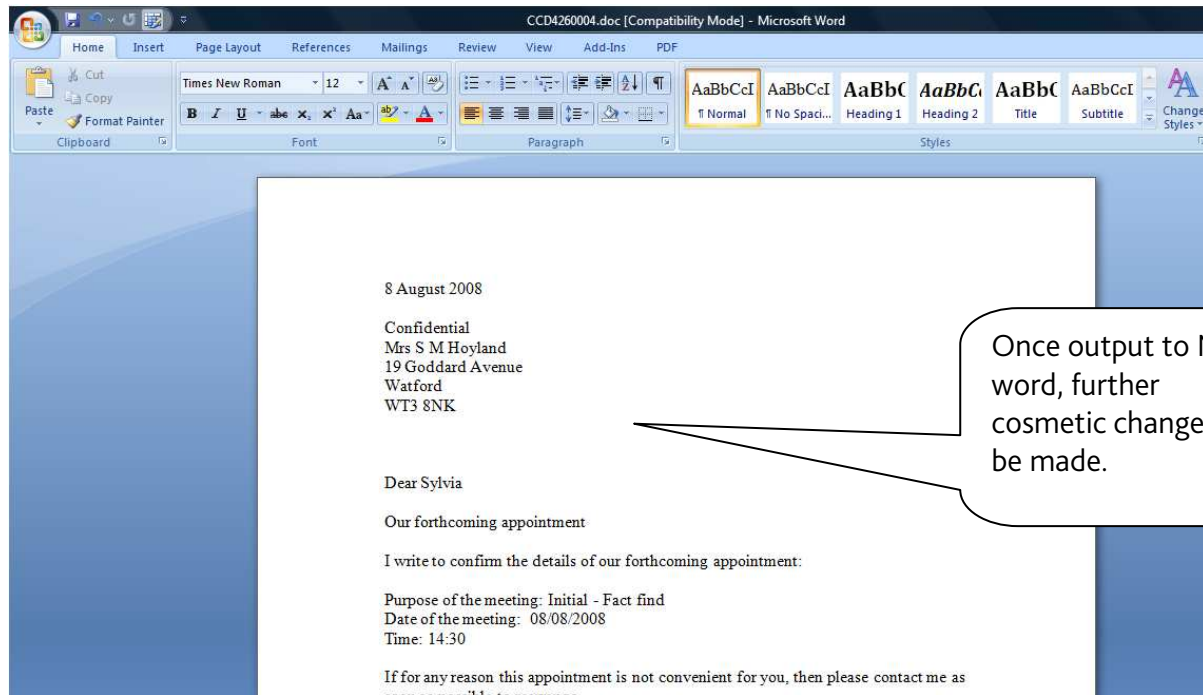
NB. If you asked for CCD to insert information that you have-not entered within CCD the words MISSING DATA will appear. You will need to manually enter this information on this occasion.

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

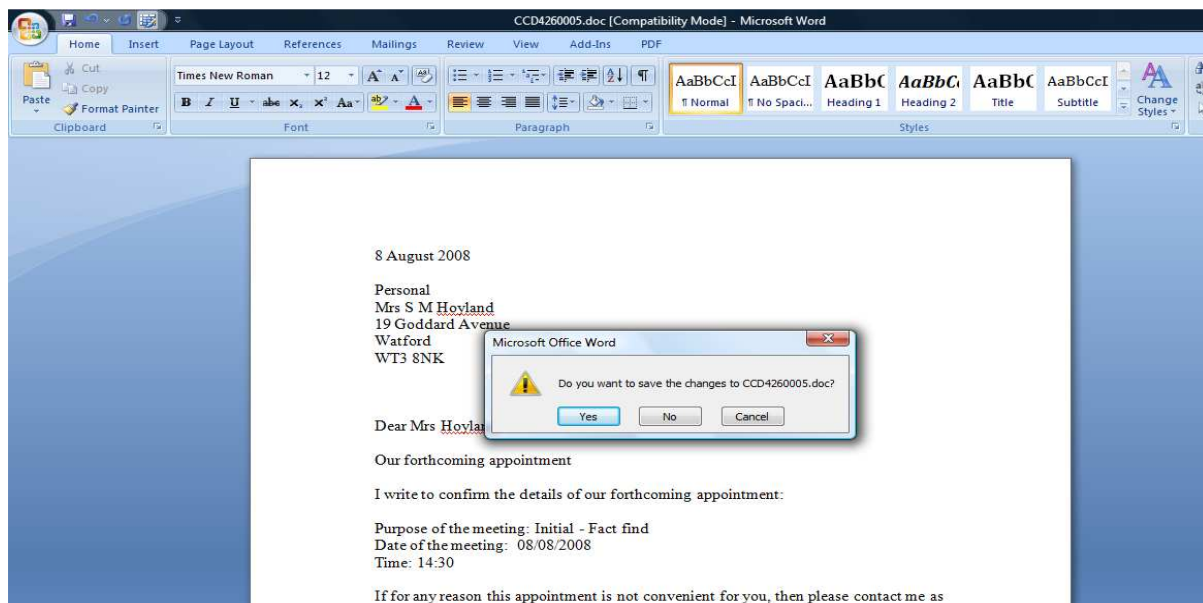
This is done by clicking on

►► Output to MS Word™





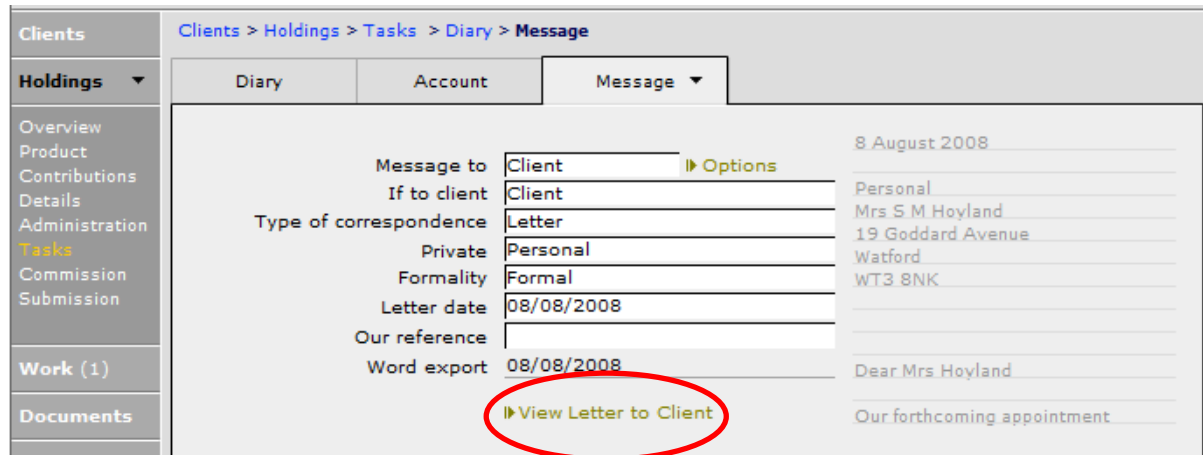
If no changes are made to the letter in the MS Word format when you close the letter it will not prompt you to save, the letter will auto save to CCD. If you have made amendments after out putting the letter to MS Word then you will be prompted to save the changes.



## 4.4. Viewing letters via Work

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

- Find your client
- Click on Work
- Enter the message tab.
- Click on View Letter to Client



The screenshot shows the Capita Financial Software interface. On the left is a navigation menu with sections: Clients, Holdings, Tasks, Work (1), and Documents. The 'Clients' section is expanded, showing a breadcrumb trail: Clients > Holdings > Tasks > Diary > Message. The 'Message' tab is selected. The main area contains a form for creating or editing a message. The form has two columns. The left column contains labels: Message to, If to client, Type of correspondence, Private, Formality, Letter date, Our reference, and Word export. The right column contains input fields with the following values: Client, Client, Letter, Personal, Formal, 08/08/2008, and 08/08/2008. There is an 'Options' link next to the 'Client' field. Below the 'Word export' field, there is a link 'View Letter to Client' which is circled in red. To the right of the form, there is a section for the letter details, including the date '8 August 2008', the type of correspondence 'Personal', the client's name 'Mrs S M Hoyland', the address '19 Goddard Avenue, Watford, WT3 8NK', and the salutation 'Dear Mrs Hoyland'. The letter content is 'Our forthcoming appointment'.

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 FSA summary, Confirmation of Verification of Identity.

**CAPITA**  
FINANCIAL SOFTWARE

Documents

Sylvia Hoyland

Clients > Documents > Client Identity

Clients

Holdings (10)

Work (2)

Documents

Details

Calculators

Reports

General

Identity

Details

Name


Address

No verification

Add note


Meets the standard evidence ☐

Exceeds the standard evidence ☐

 Print Confirmation of Verification of Identity

Date last updated 20/03/2010

[HM Treasury listings for suspected terrorists](#)

 **HM TREASURY**

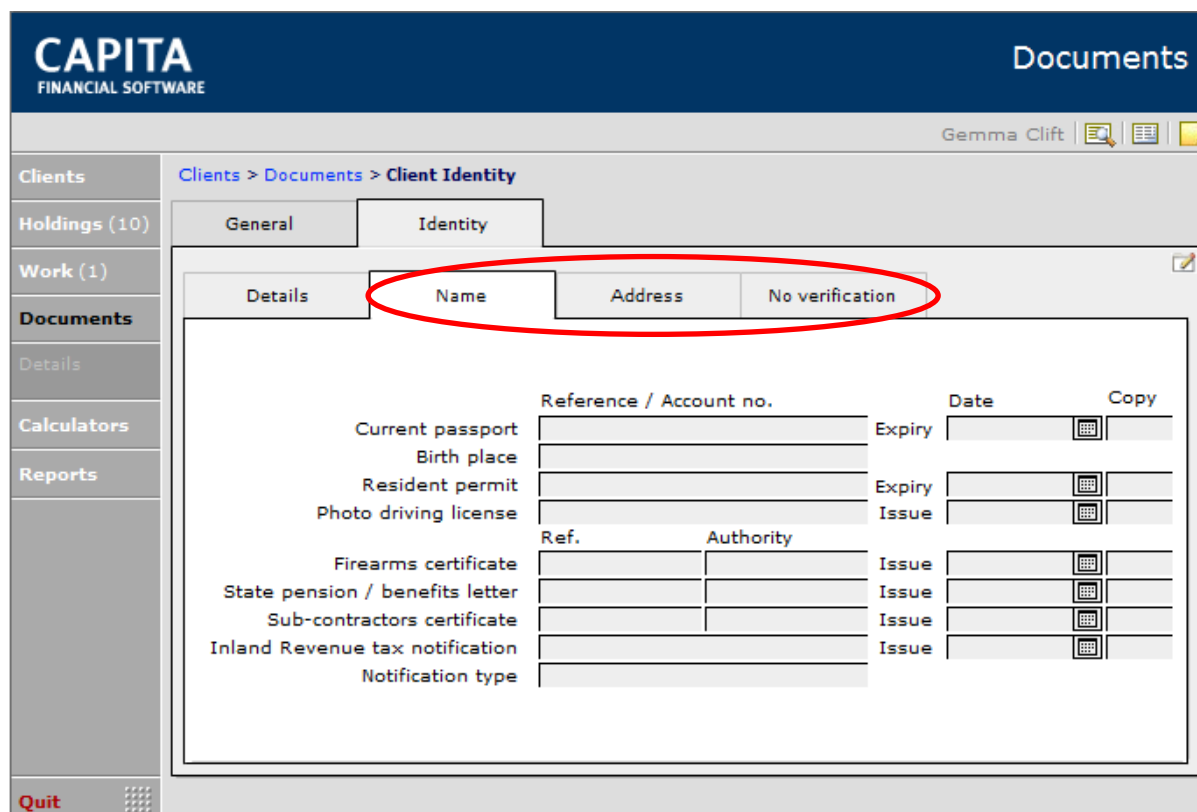
**EQUIFAX** For information regarding Anti-Money Laundering Solutions visit the [Equifax website](#)

Quit

Current

Archive

Click here to enter full information.



**CAPITA**  
FINANCIAL SOFTWARE

Documents

Gemma Clift

Clients > Documents > Client Identity

General Identity

Details Name Address No verification

|                                 | Reference / Account no. | Date      | Copy |
|---------------------------------|-------------------------|-----------|------|
| Current passport                |                         | Expiry    |      |
| Birth place                     |                         |           |      |
| Resident permit                 |                         | Expiry    |      |
| Photo driving license           |                         | Issue     |      |
|                                 | Ref.                    | Authority |      |
| Firearms certificate            |                         | Issue     |      |
| State pension / benefits letter |                         | Issue     |      |
| Sub-contractors certificate     |                         | Issue     |      |
| Inland Revenue tax notification |                         | Issue     |      |
| Notification type               |                         |           |      |

Quit

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 this 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 the CCD system utilising the diary and tasks. They require you to have a clear understanding of the process 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 process 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.

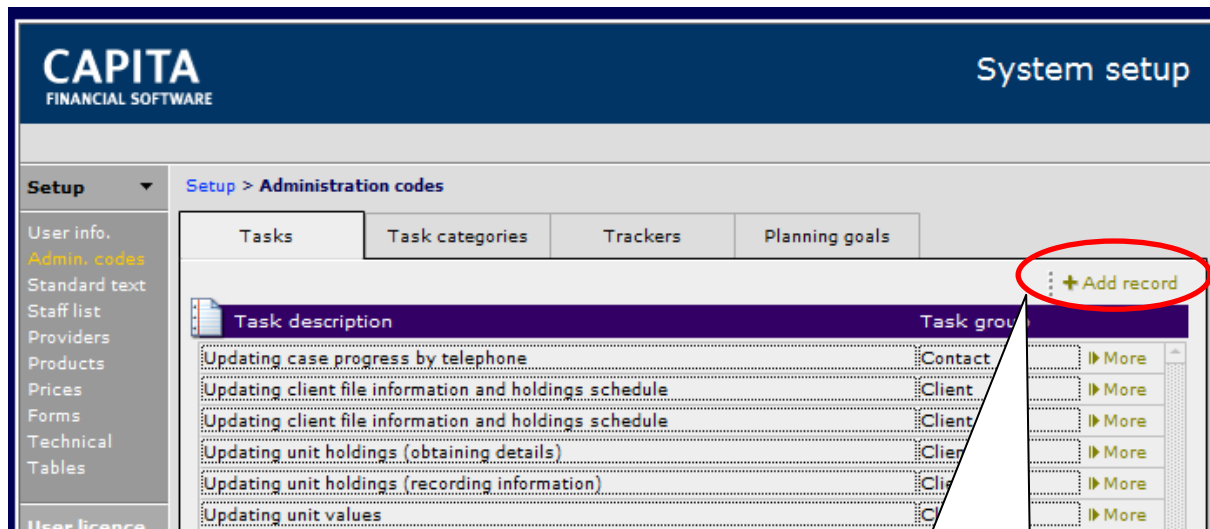
The steps to follow to set up are;

- 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 1<sup>st</sup> day the tracker is put in place.
- Review each task and attach standard letters as required.
- Set up the tracker in CCD.

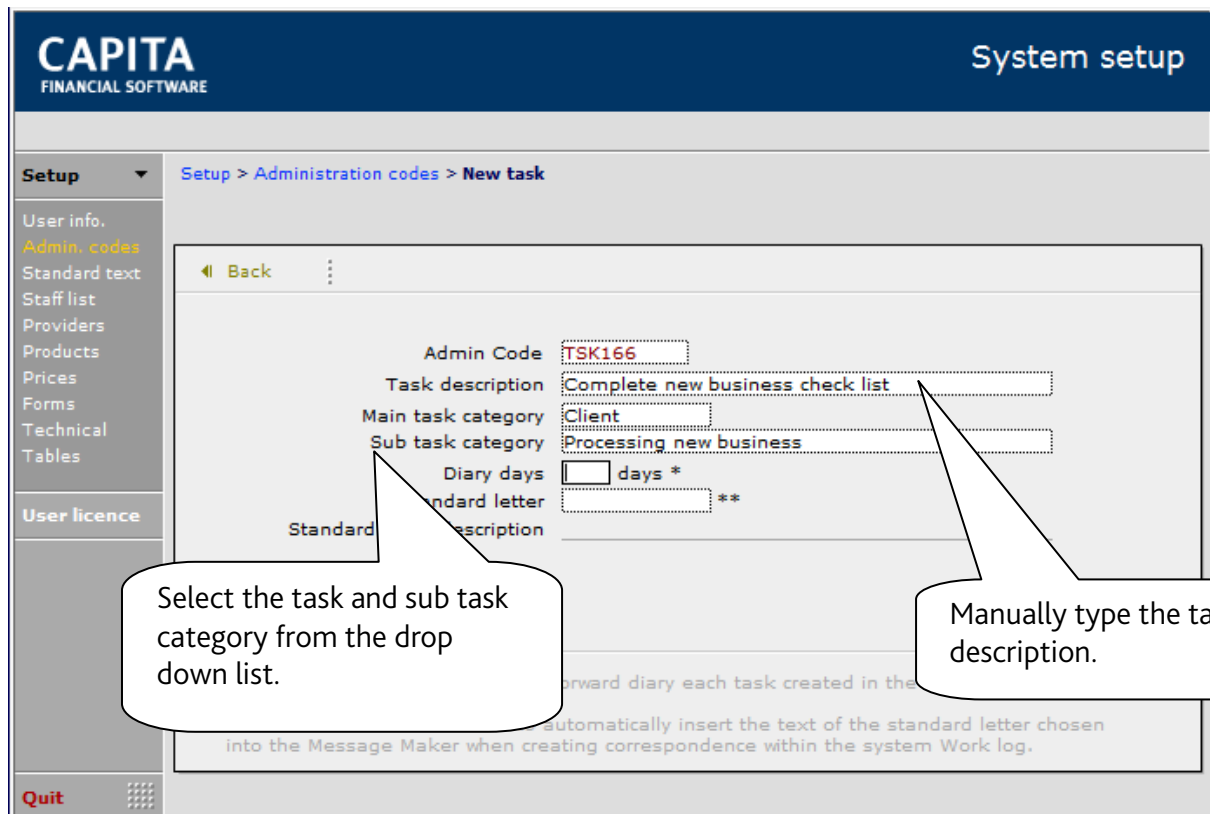
Match to admin codes in the data base. Where no task is present a new task will need to be created.

| BUSINESS PROCESS                            | TASK IN ADMIN CODES DATABASE                    |
|---|---|
| Confirm to client receipt of application    | Acknowledge receipt of new application – TSK001 |
| Enter details onto client file              | Entering new business in admin system – TSK057  |
| Submit application to provider              | Submit application to provider – TSK 128        |
| Update client holding with contract details | Update client file information – TSK139         |
| Complete new business check list            | No suitable task in CCD                         |
| Send policy to client                       | Issuing documents to client – TSK070            |
| Set client servicing details                | No suitable task in CCD                         |

Some processes will not have a corresponding task in CCD.



Click here to add a new task.



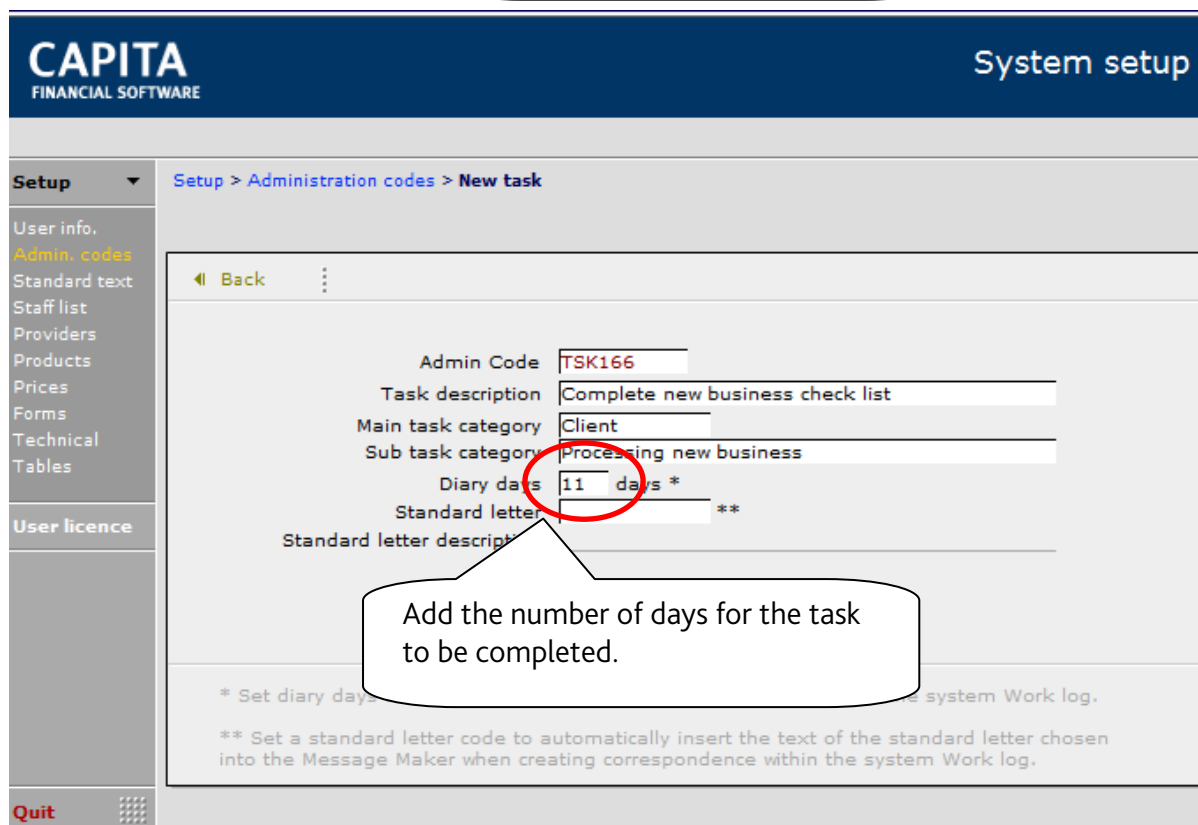
Select the task and sub task category from the drop down list.

Manually type the task description.

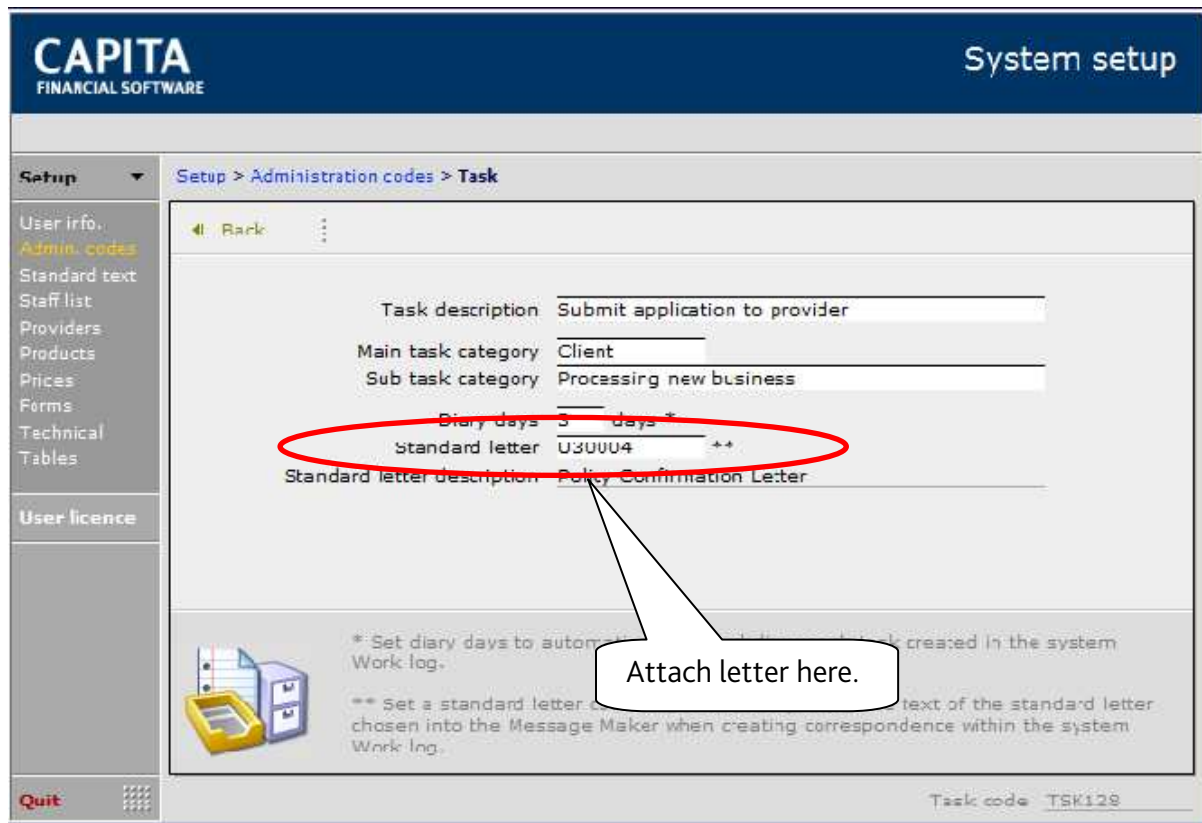
Once all the tasks required have been located or created move to checking that the number of days from creation are correct. Once the tracker has been set up the number of days will not be amendable in the tracker, if the task is chosen as a standalone task for a client then the days required will be 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            | No suitable task in CCD                         | 11                         |
| Send policy to client                       | Issuing documents to client – TSK070            | 12                         |
| Set client servicing details                | No suitable task in CCD                         | 23                         |

Days from start of tracker for task to be completed.



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 already selected letter will appear.



**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup > Administration codes > Task

Task description: Submit application to provider

Main task category: Client

Sub task category: Processing new business

Diary days: 5 days \*

Standard letter: U30004 \*\*

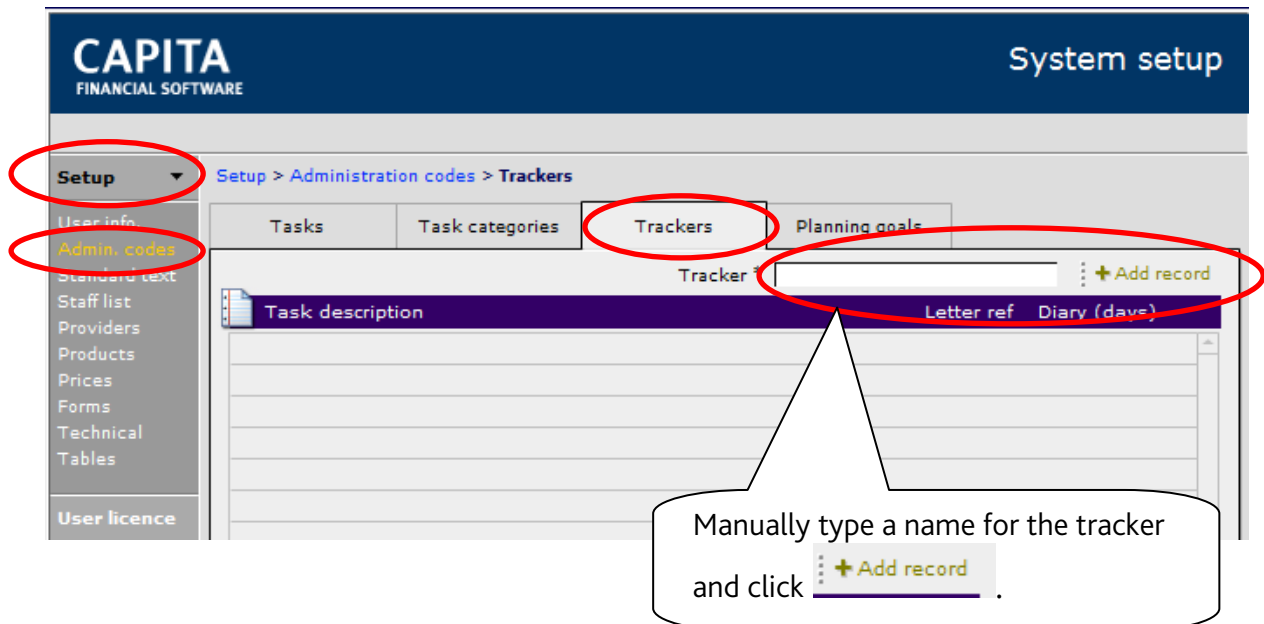
Standard letter description: Policy Confirmation Letter

\*: Set diary days to automatically create tasks created in the system Work log.

\*\* Set a standard letter. Text of the standard letter chosen into the Message Maker when creating correspondence within the system Work log.

Task code: TSK128

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



**CAPITA**  
FINANCIAL SOFTWARE

System setup

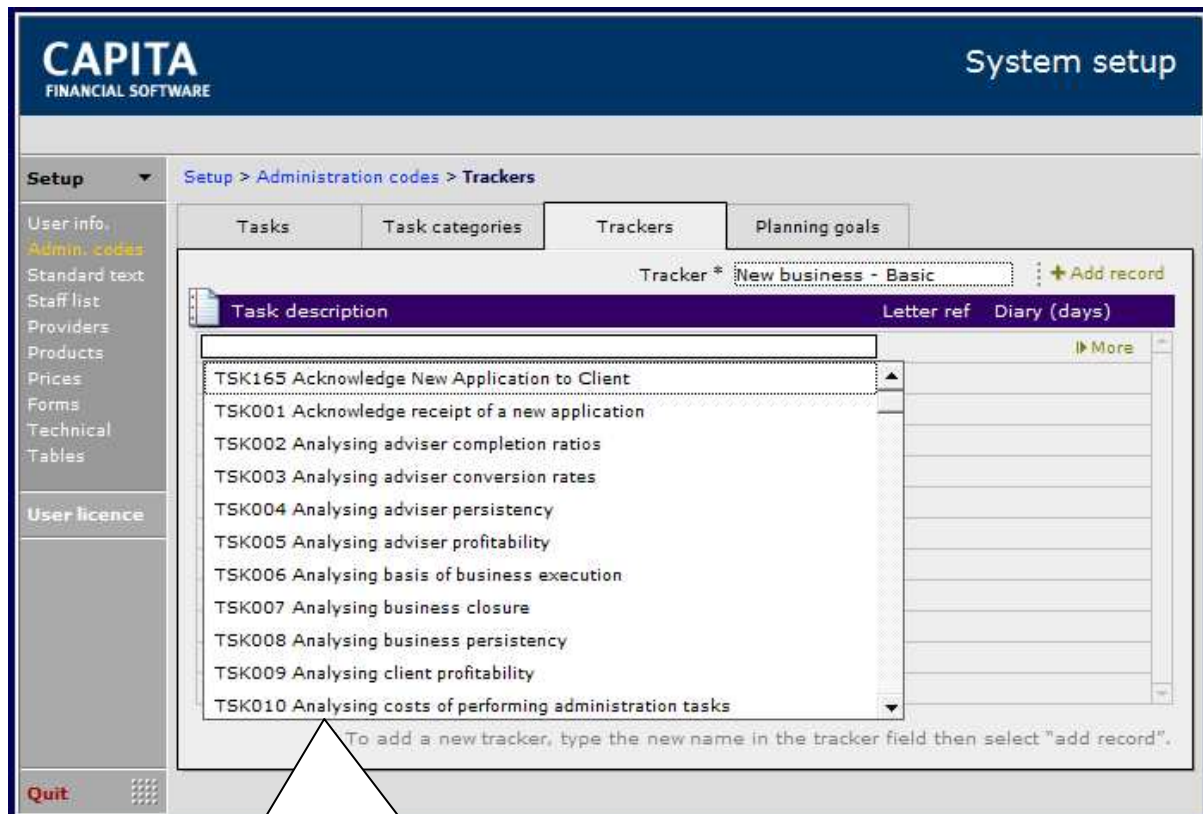
Setup > Administration codes > Trackers

Tasks Task categories Trackers Planning goals

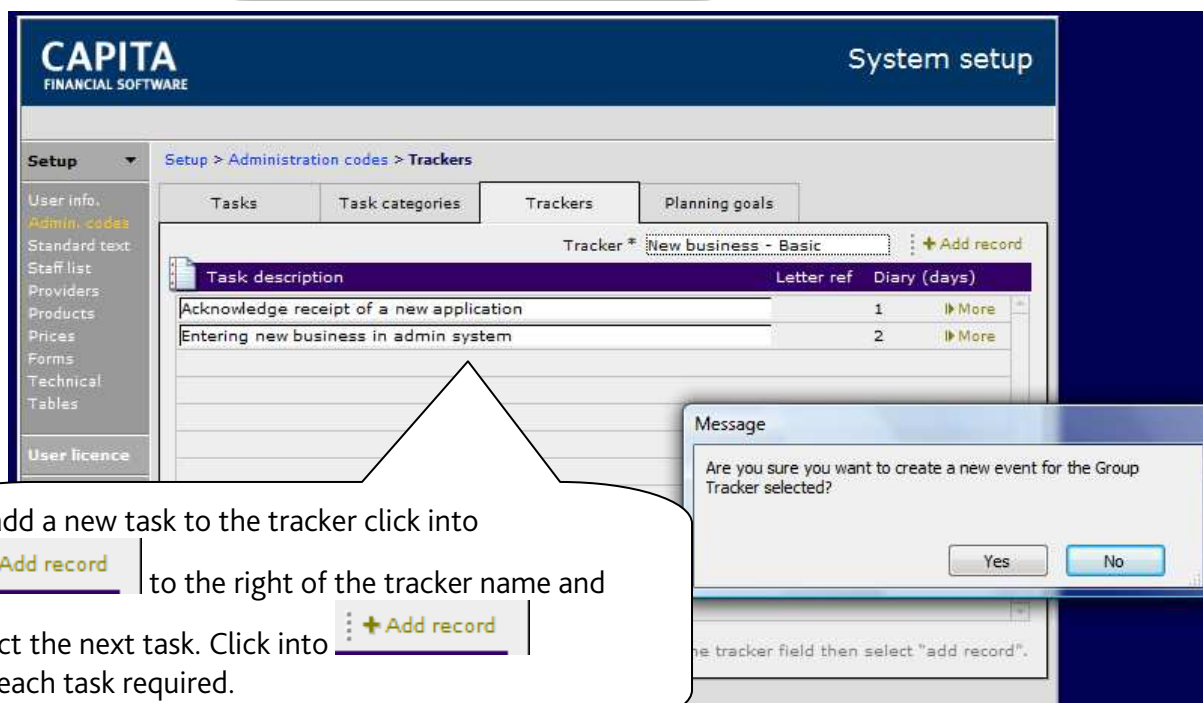
Tracker: [ ] + Add record

Task description Letter ref Diary (days)

Manually type a name for the tracker and click + Add record.

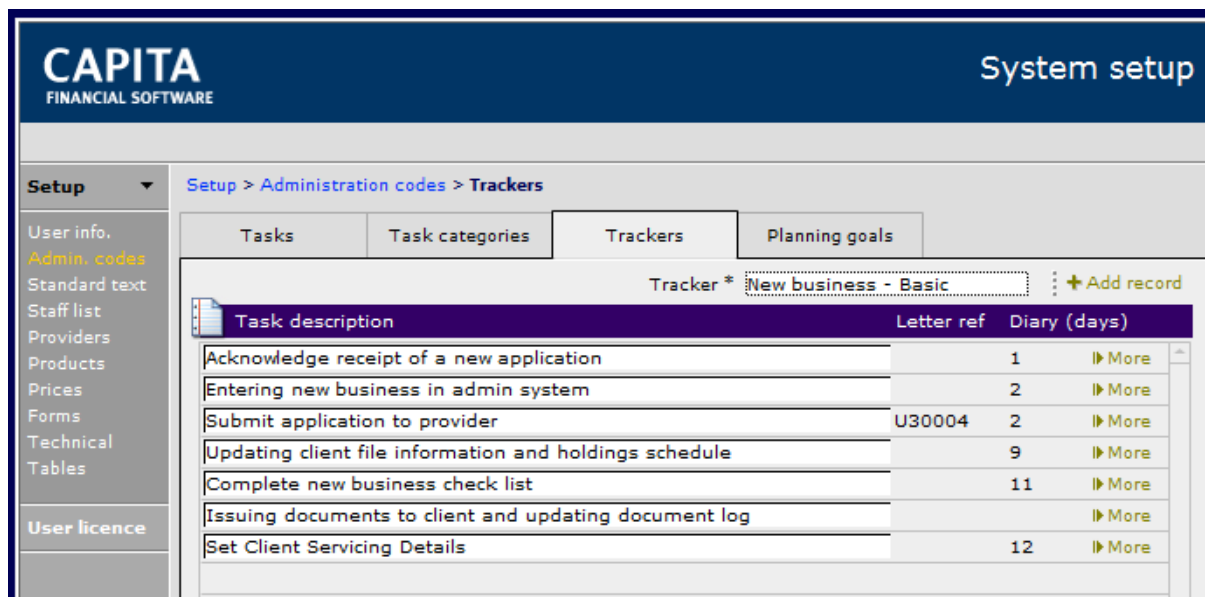


Select each task in the order already set out on your paper list.



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



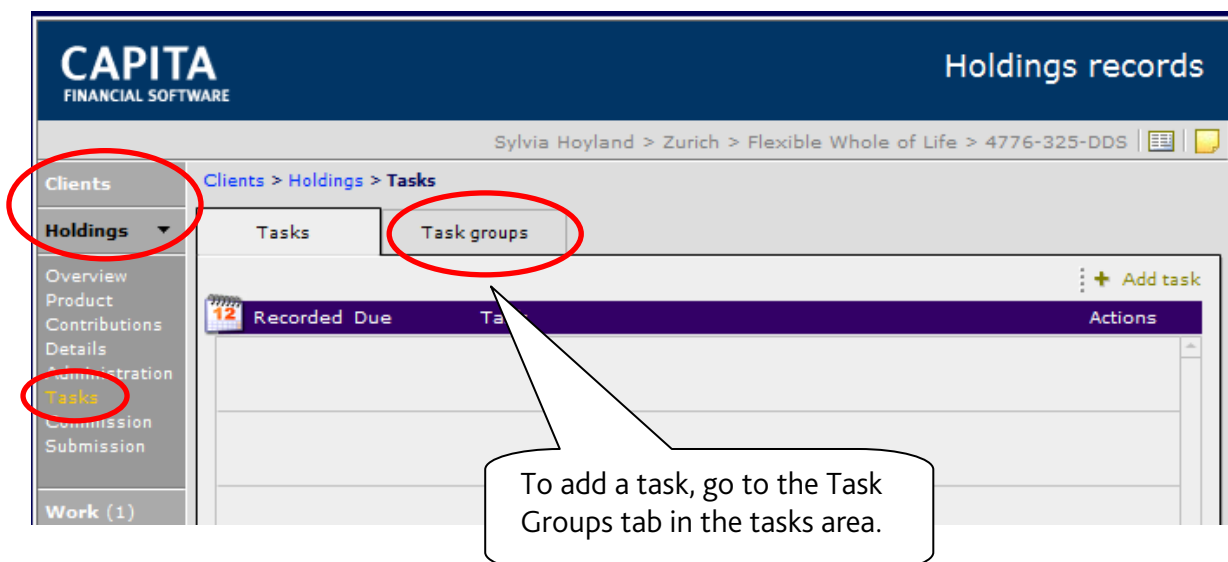


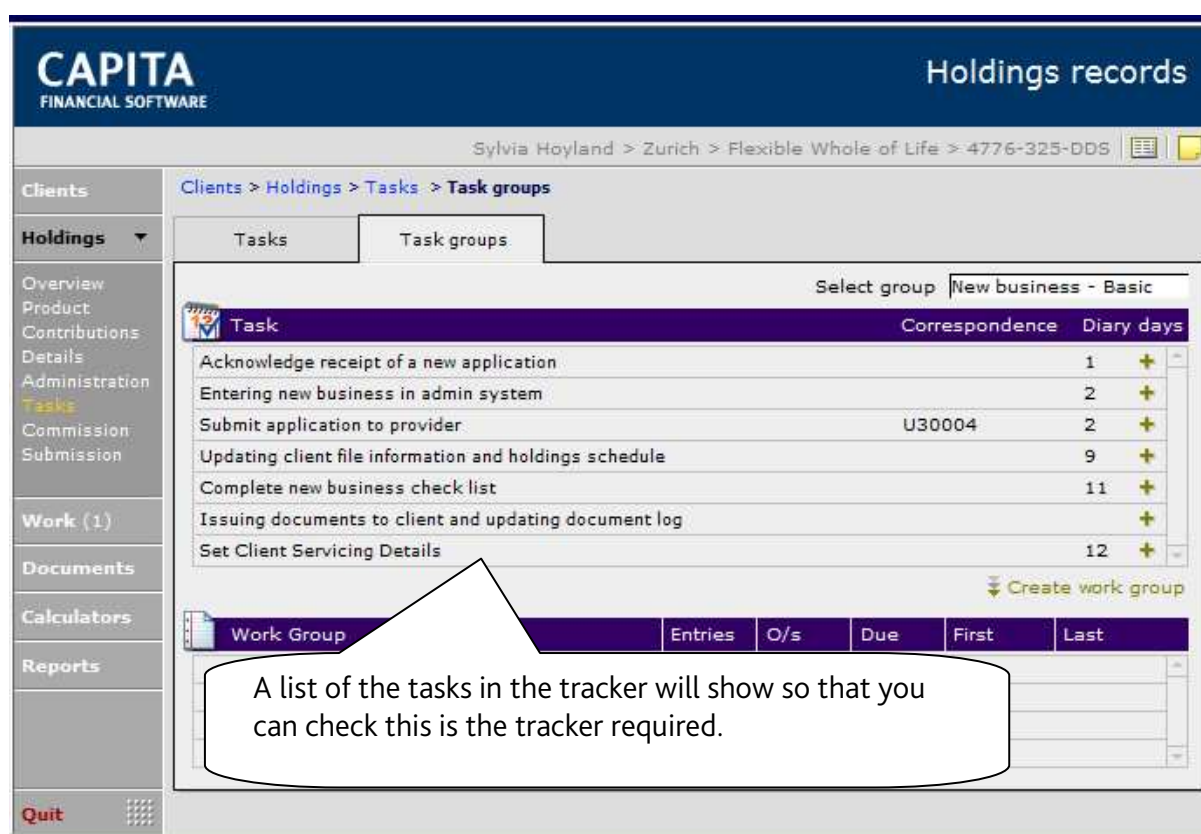
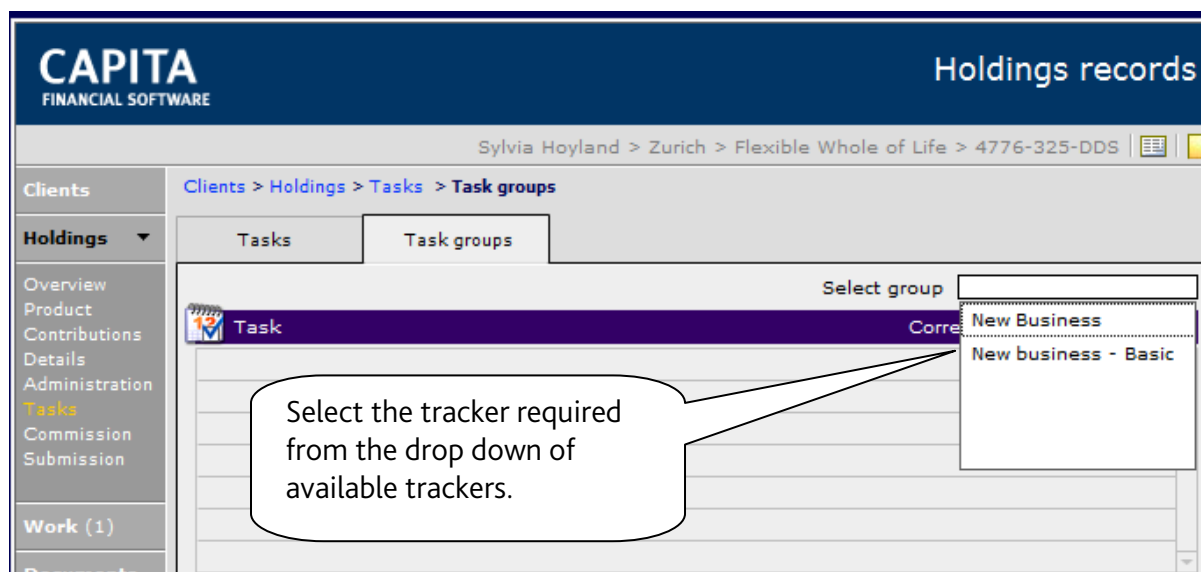
Once a Tracker has been set up within CCD, it can never be deleted.

## 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.

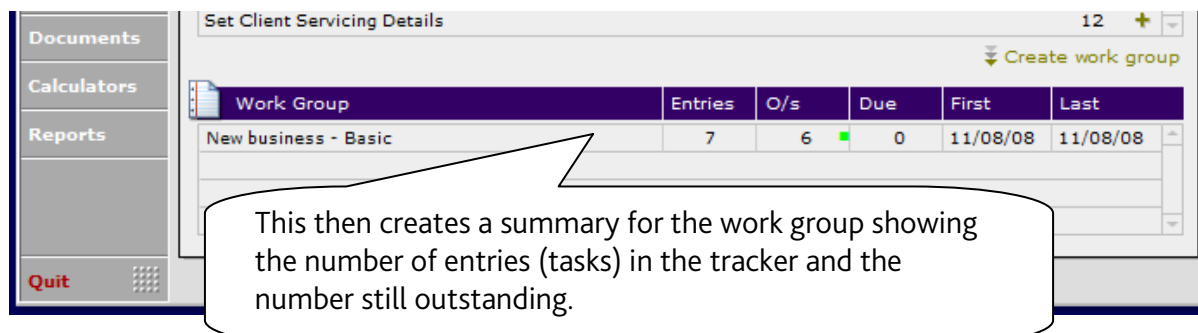
As the tracker we have created is linked to a piece of new business we will look at how this is added in the tasks section of a holding.



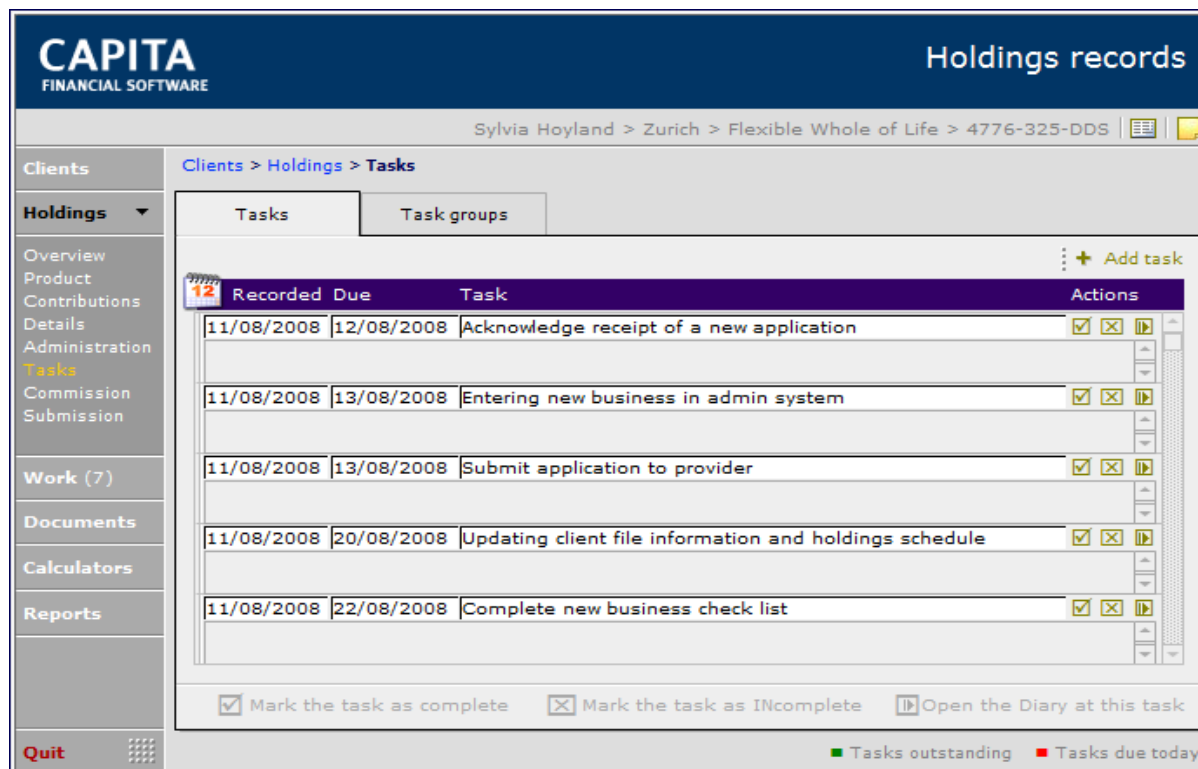


Once you are happy that the tracker selected is the tracker required click into

the [Create work group](#).



Return to the main task list for the holding.



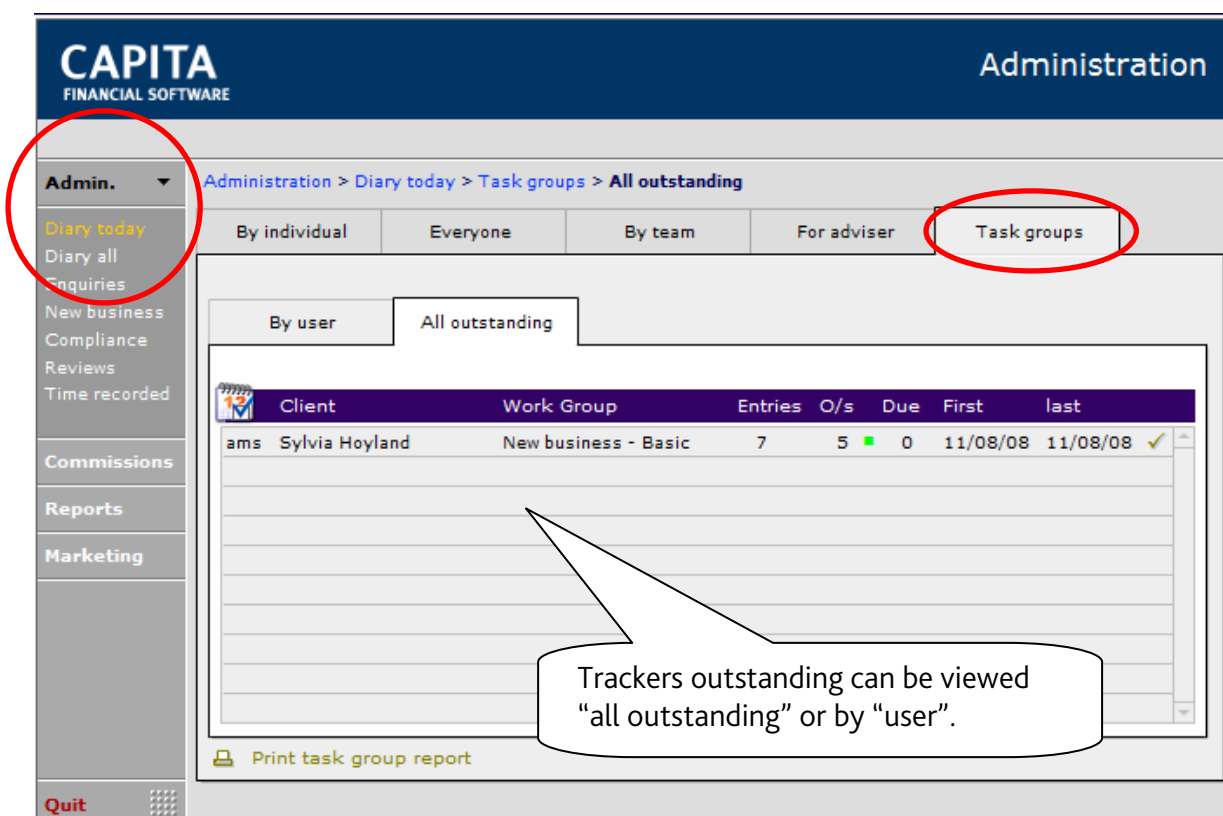
Each task in the tracker has been added to the holdings task list as an individual task, they are all at this stage are outstanding. You can now go into each task and reset the person required to complete each task from the staff drop down as required. Every task in the tracker will have defaulted to the person adding the tracker to the holding record although this might not be the person who will be completing each task. Each task will appear in the diary of CCD in the normal manner and each task needs to be individually completed.

The progress of trackers can be followed in 2 ways.

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

| Work Group           | Entries | O/s | Due | First    | Last     |
|----------------------|---------|-----|-----|----------|----------|
| New business - Basic | 7       | 5   | 0   | 11/08/08 | 11/08/08 |

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



**CAPITA**  
FINANCIAL SOFTWARE

Administration

Admin. ▾ Administration > Diary today > Task groups > All outstanding

Diary today  
Diary all  
Inquiries  
New business  
Compliance  
Reviews  
Time recorded

Commissions  
Reports  
Marketing

Quit

By individual Everyone By team For adviser **Task groups**

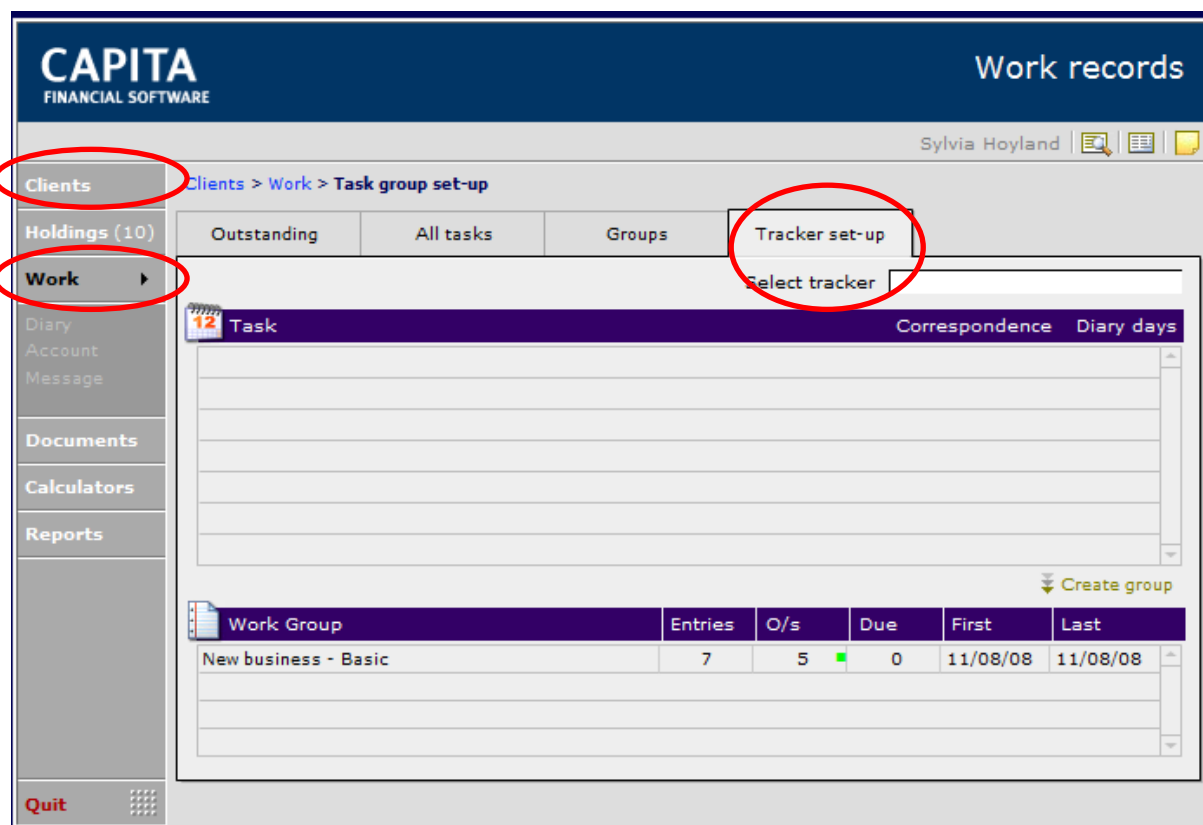
By user All outstanding

| Client             | Work Group           | Entries | O/s | Due | First    | Last     |
|--------------------|----------------------|---------|-----|-----|----------|----------|
| ams Sylvia Hoyland | New business - Basic | 7       | 5   | 0   | 11/08/08 | 11/08/08 |

Trackers outstanding can be viewed "all outstanding" or by "user".

Print task group report


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

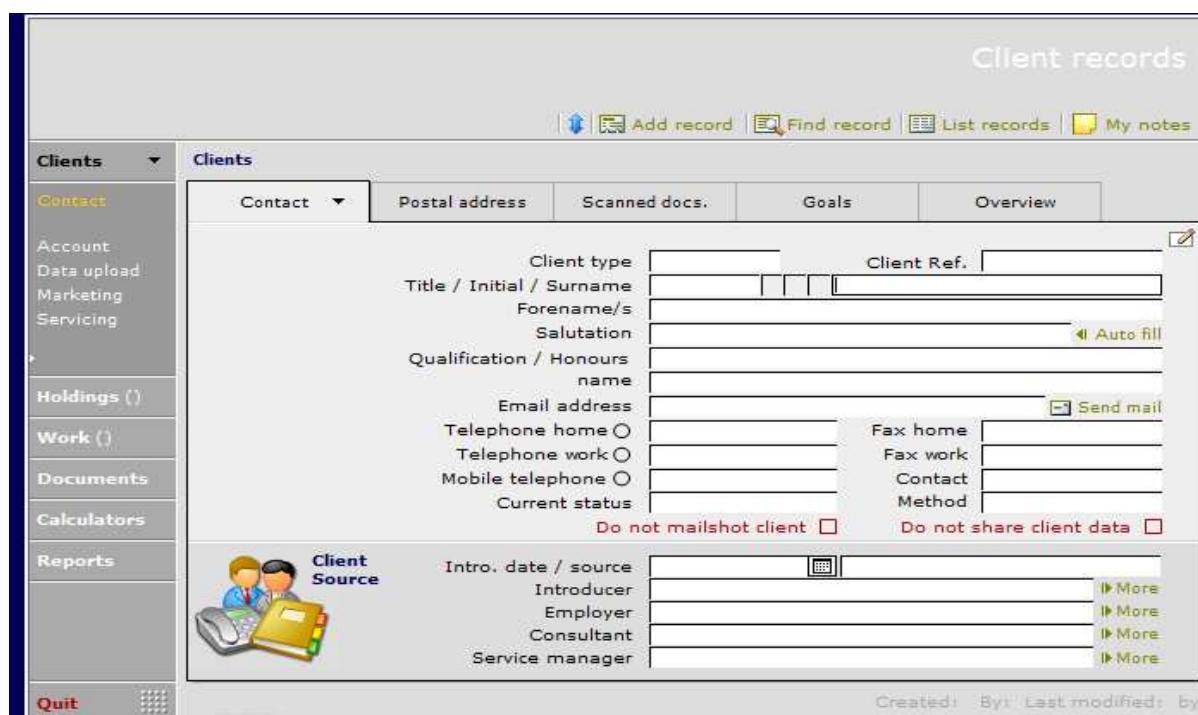


NB. As with work and tasks, trackers added at task level will be available to view in both tasks and work, while trackers added at work level will only be available at work level.

## 7. SEARCHING YOUR DATABASE

### 7.1. The Basic Search

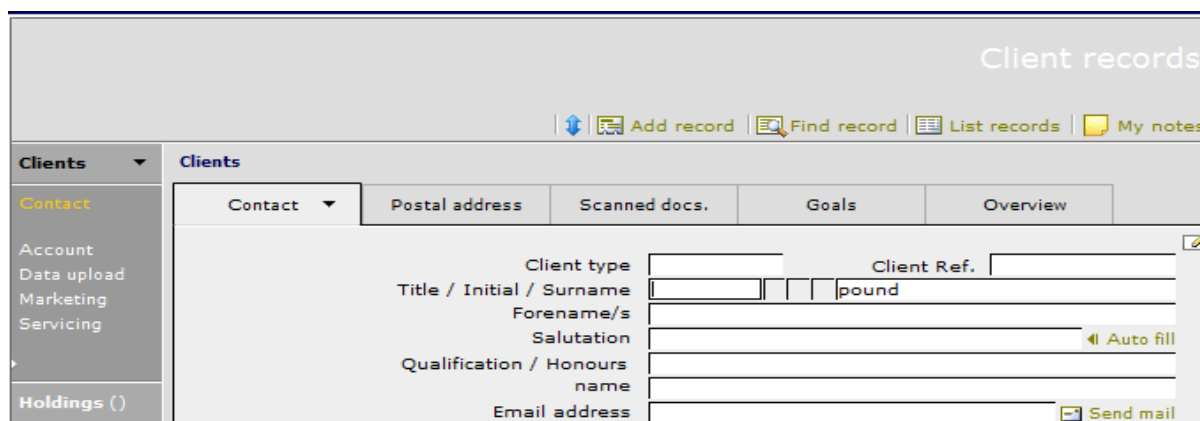
Within the clients screen you can search on any of the fields present and that you can complete multiple fields to narrow your search. To search the system, click into Clients module from the main CCD menu. Select  **Find record** from the options at the top of the screen. This will blank all the fields for you to select your search criteria.



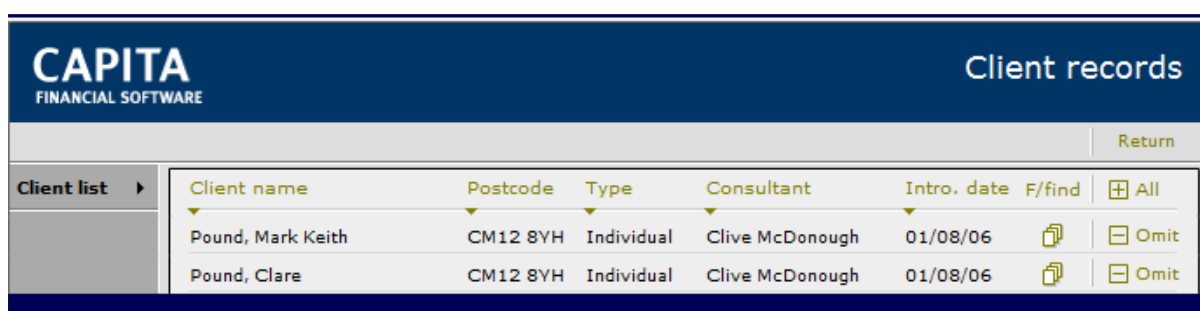
The clients surname is the most commonly used method of searching the system. Therefore your cursor will appear in surname field first. This is a free type field so you can enter the full or part surname in order to conduct your search.

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.



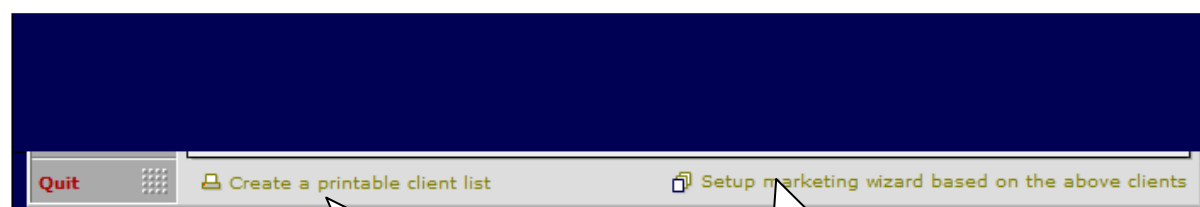


You will then be presented with a list of clients to choose from.



| Client name       | Postcode | Type       | Consultant      | Intro. date | F/find |      |
|-------------------|----------|------------|-----------------|-------------|--------|------|
| Pound, Mark Keith | CM12 8YH | Individual | Clive McDonough | 01/08/06    |        | Omit |
| Pound, Clare      | CM12 8YH | Individual | Clive McDonough | 01/08/06    |        | Omit |

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

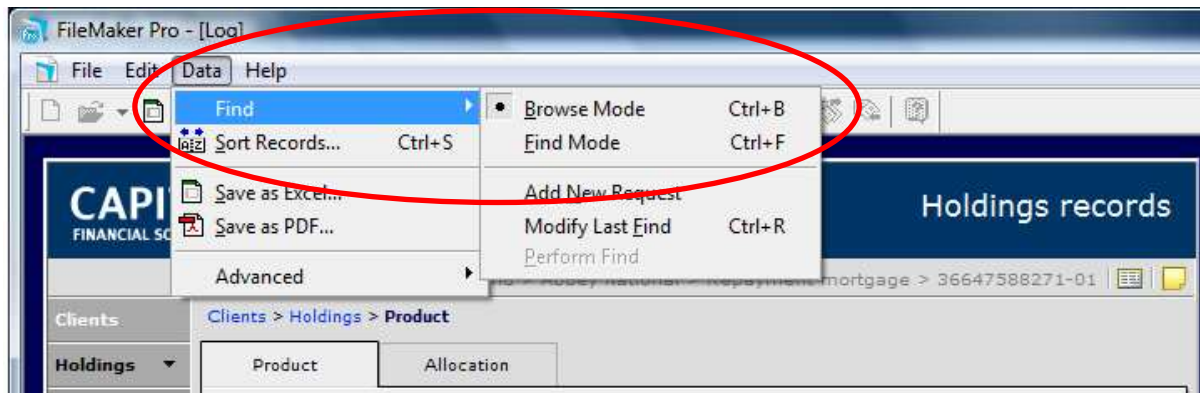


Gives a hard copy of the clients selected addresses and telephone numbers (will give the favoured telephone number as set on the front page of the clients record.)

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

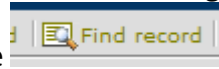
## 7.2. Using the Browse and find options

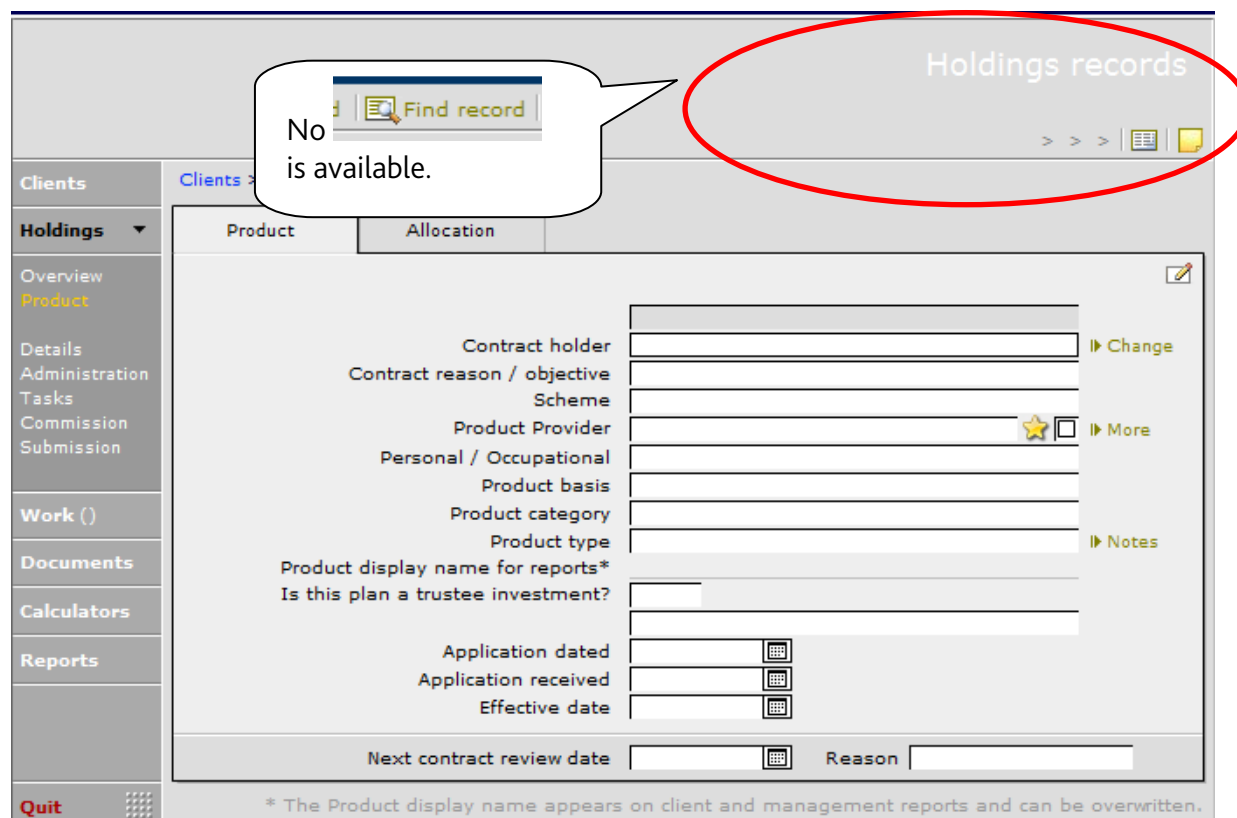
At the top of the screen on the main filemaker menu bar select the data option.



This option can be used to change the screen you are on into a “find” mode if needed, this option is not available for all but is dependent on the user level allocated to the staff member in their security details.

Browse mode is the default mode for CCD allowing you to view, add or make amendments to the information in the screen.

The “Find” mode however will change the screen you are in into 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.

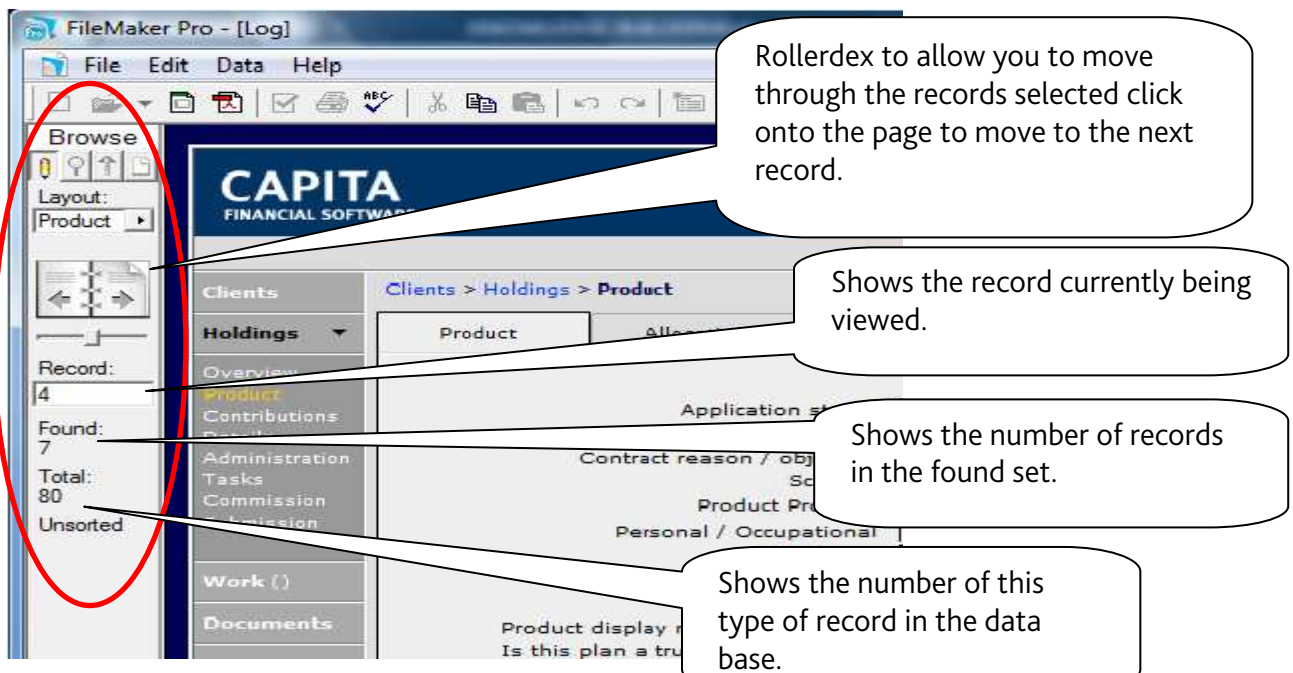
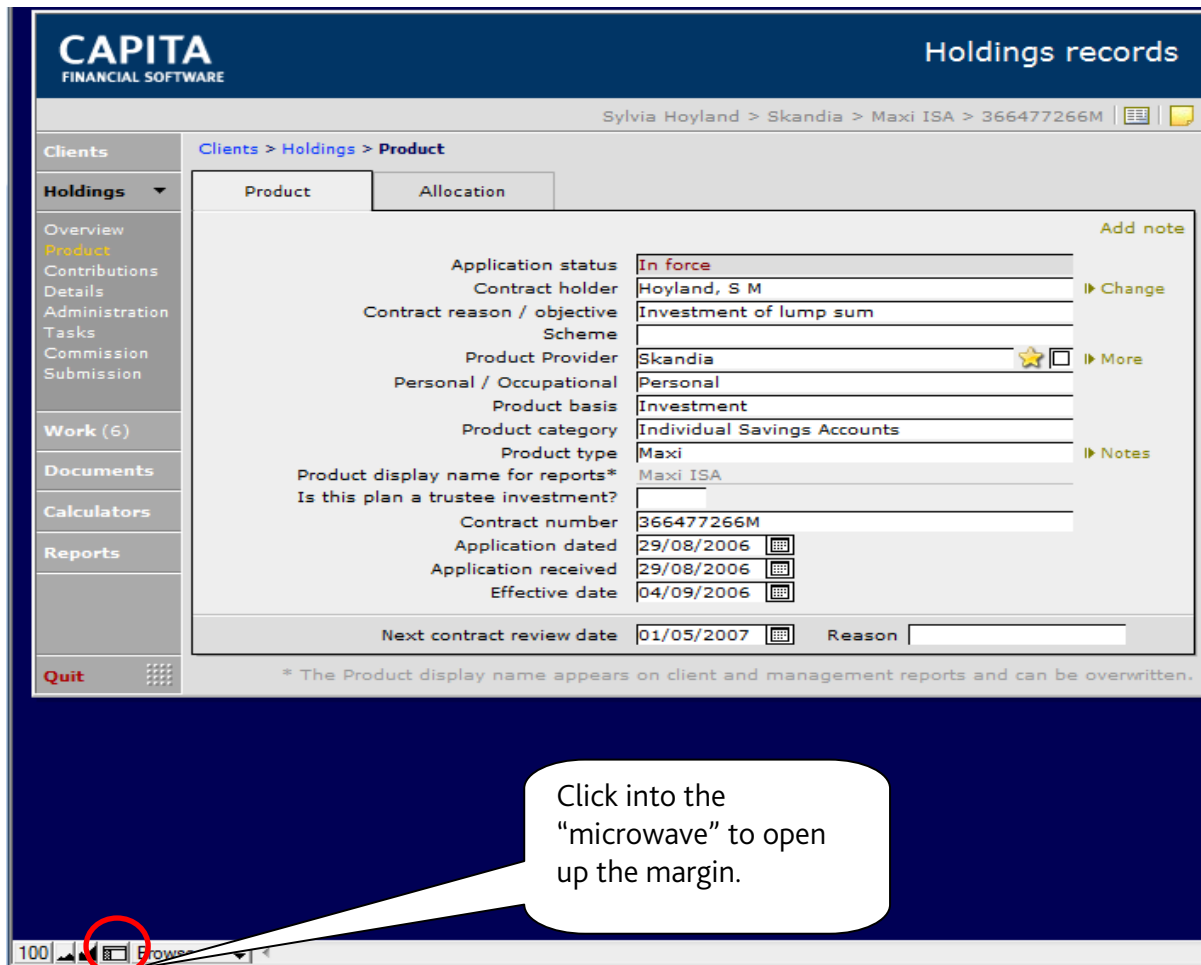


This will display a list of all the records that match the criteria set with the option to switch straight to a marketing campaign.

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

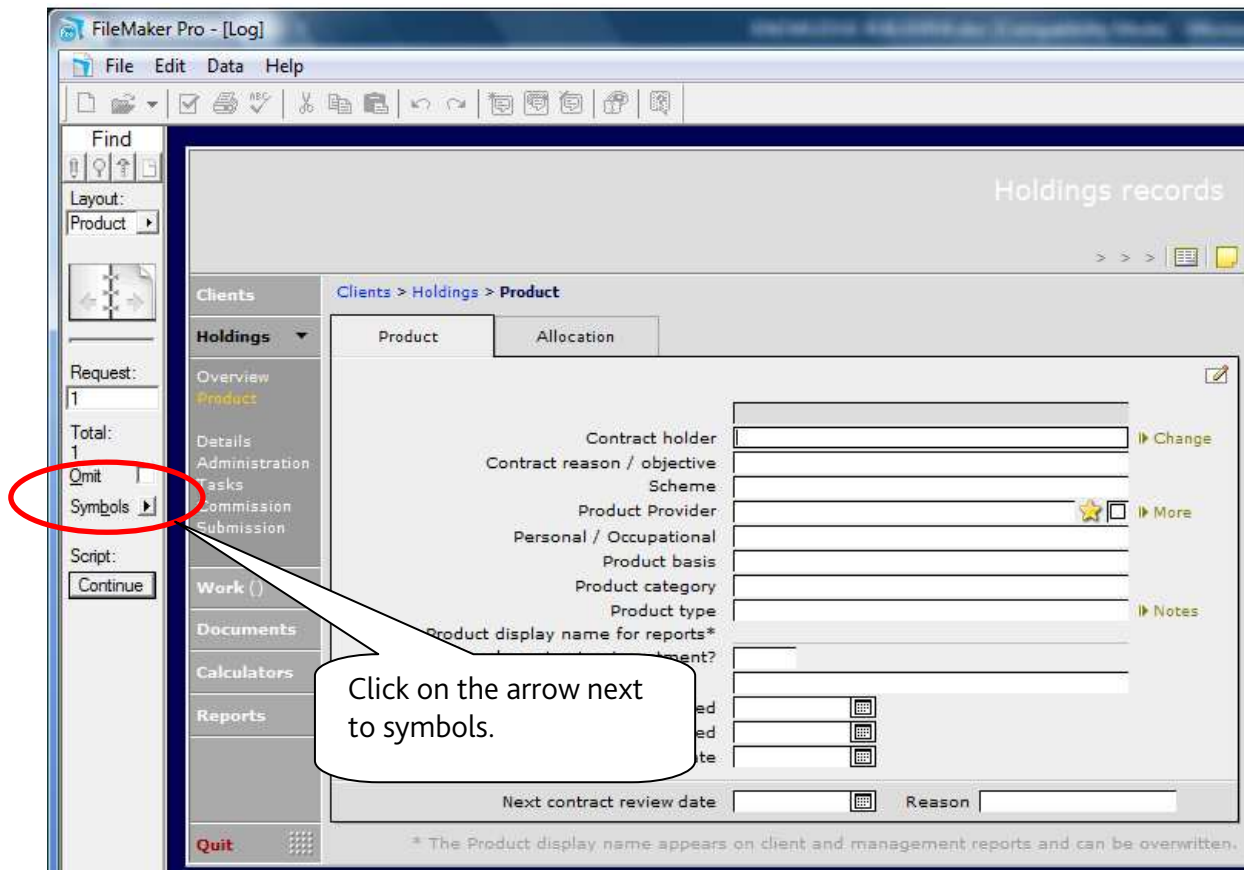
You can then select individual records for view from the list presented.

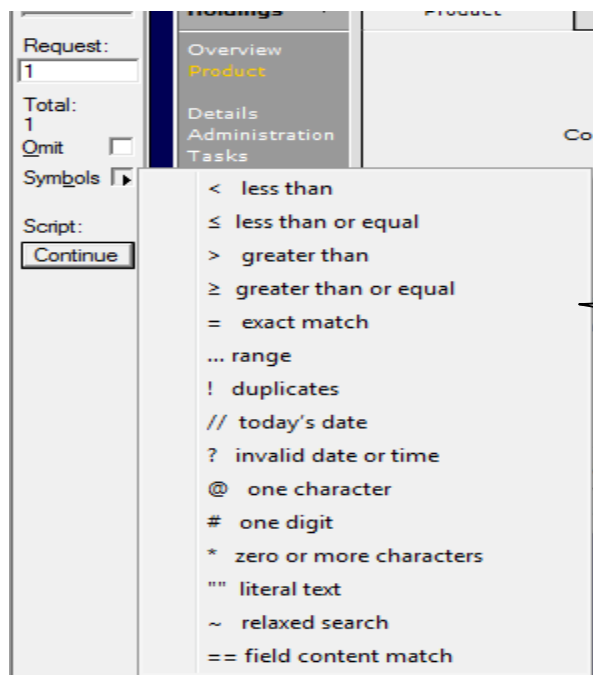
The second way to view records in a found set is to use the “microwave” on the bottom menu bar.



### 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 and change to 'Find' mode.





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.

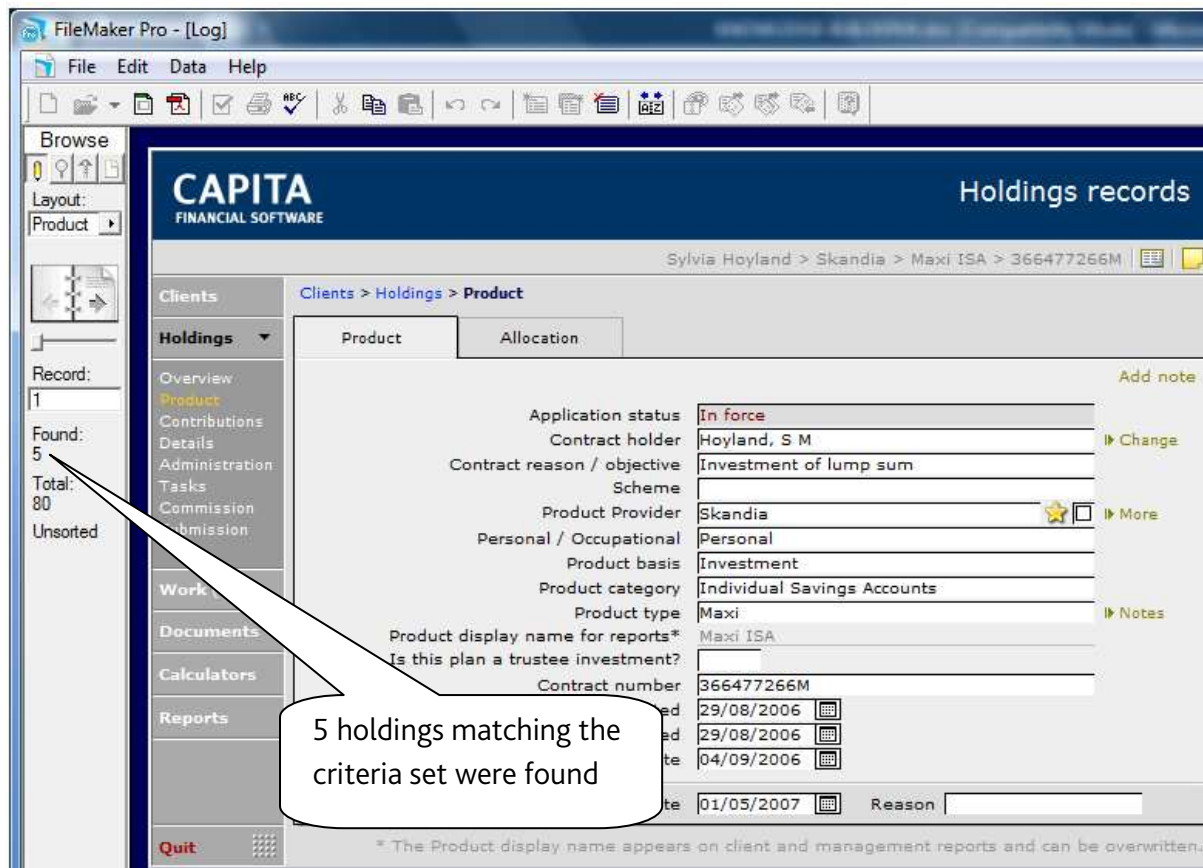
By ticking the omit option in the margin you will reverse the effect of the search i.e. search for everything except the criteria I have entered.

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:



The information is then returned.



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 '=' (exact match) and nothing else it would search for all clients where this field was blank.

### 7.3. Searching in reports

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

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

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

FileMaker Pro - [Commrec]

File Edit Data Help

Return Print Preview Extract

**Amounts due**  
Schedule of commissions due but unpaid between 01/01/2000 and 11/08/2008

| Contract holder       | Contract type                         | Contract / Policy number | Transaction               | Consultant        | Effect. date | Due date | Amount due |
|-----------------------|---------------------------------------|--------------------------|---------------------------|-------------------|--------------|----------|------------|
| Clift, G H            | Repayment mortgage                    | 5887876211               | Initial - Non Indemnity   |                   | 18/08/06     | 18/08/06 | £742.50    |
| Hoyland, S M          | Unit Linked Bond                      | 00056543345              | Initial - Non Indemnity   | Clive McDonough   | 06/09/06     | 06/09/06 | £1,100.00  |
| Pound, M K & Pound, C | Decreasing Term with Critical Illness |                          | Initial - indemnity       | Clive McDonough   | 10/09/06     | 10/09/06 | £726.00    |
| Pound, M K            | Flexible Whole of Life                | 7299100-ul               | Initial - indemnity       | Clive McDonough   | 01/10/06     | 01/10/06 | £890.00    |
| Cheung, T             | Personal Pension                      |                          | Initial - indemnity       | Clive McDonough   | 01/08/06     | 25/07/06 | £240.00    |
| May, G                | Repayment mortgage (Re-mortgage)      |                          | Initial - Procuration fee | Mark Andrew Brent | 15/08/06     | 05/08/06 | £1,600.00  |
| May, G                | Let to buy interest only              |                          | Initial - Procuration fee | Mark Andrew Brent | 15/08/06     | 05/08/06 | £250.00    |
| May, G                | Buy to let interest only              |                          | Initial - Procuration fee | Mark Andrew Brent | 21/08/06     | 05/08/06 | £250.00    |
| Tony Cheung           | Up front Fee                          | Client fee               | Client fee                | Clive McDonough   |              | 11/07/06 | £595.00    |
| Geoffrey May          | Mortgage Fee                          | Client fee               | Client fee                | Mark Andrew Brent |              | 28/07/06 | £1,250.00  |
| Christine Taylor      | Monthly service fee                   | Client fee               | Client fee                | Shella Andrews    |              | 07/08/06 | £75.00     |
| Christine Taylor      | Monthly service fee                   | Client fee               | Client fee                | Shella Andrews    |              | 07/09/06 | £75.00     |
| Hopkins, P            | Maxi ISA                              | S18675678                | Renewal                   | Shella Andrews    | 06/09/06     | 06/12/06 | £0.10      |
| Hopkins, P            | Maxi ISA                              | S18675678                | Initial - regular         | Shella Andrews    | 06/09/06     | 06/12/06 | £7.50      |
| Devinar Patel         | Up front Fee                          | Client fee               | Client fee                | Clive McDonough   |              | 10/09/06 | £595.00    |
| Christine Taylor      | Monthly service fee                   | Client fee               | Client fee                | Shella Andrews    |              | 07/10/06 | £75.00     |
| Christine Taylor      | Monthly service fee                   | Client fee               | Client fee                | Shella Andrews    |              | 07/11/06 | £75.00     |
| Christine Taylor      | Monthly service fee                   | Client fee               | Client fee                | Shella Andrews    |              | 07/12/06 | £75.00     |
| Gemma Clift           | Monthly service fee                   | Client fee               | Client fee                |                   |              | 01/12/06 | £50.00     |
| Worth, S & Worth, P   | Unit Linked Bond                      | s18675788                | Initial - indemnity       | Mark Andrew Brent | 28/05/07     | 28/05/07 | £1,500.00  |
| Clark, I & Clark, H P | Unit Linked Bond                      |                          | Suspense                  | Shella Andrews    | 01/10/06     | 28/08/06 | £403.00    |
| Dent, G P             | Income Protection                     |                          | Suspense                  | Shella Andrews    | 01/10/06     | 01/10/06 | £583.00    |
| Christine Taylor      | Monthly service fee                   | Client fee               | Client fee                | Shella Andrews    |              | 07/01/07 | £75.00     |
| Gemma Clift           | Monthly service fee                   | Client fee               | Client fee                |                   |              | 01/01/07 | £50.00     |
| Christine Taylor      | Monthly service fee                   | Client fee               | Client fee                | Shella Andrews    |              | 07/02/07 | £75.00     |
| Gemma Clift           | Monthly service fee                   | Client fee               | Client fee                |                   |              | 01/02/07 | £50.00     |
| Christine Taylor      | Monthly service fee                   | Client fee               | Client fee                | Shella Andrews    |              | 07/03/07 | £75.00     |
| Gemma Clift           | Monthly service fee                   | Client fee               | Client fee                |                   |              | 01/03/07 | £50.00     |

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

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

FileMaker Pro - [Commrec]

File Edit Data Help

Find

Layout: REP\_Co

Request: 1

Total: 1

Quit

Symbols

Script: Continue

Return Print Preview Extract

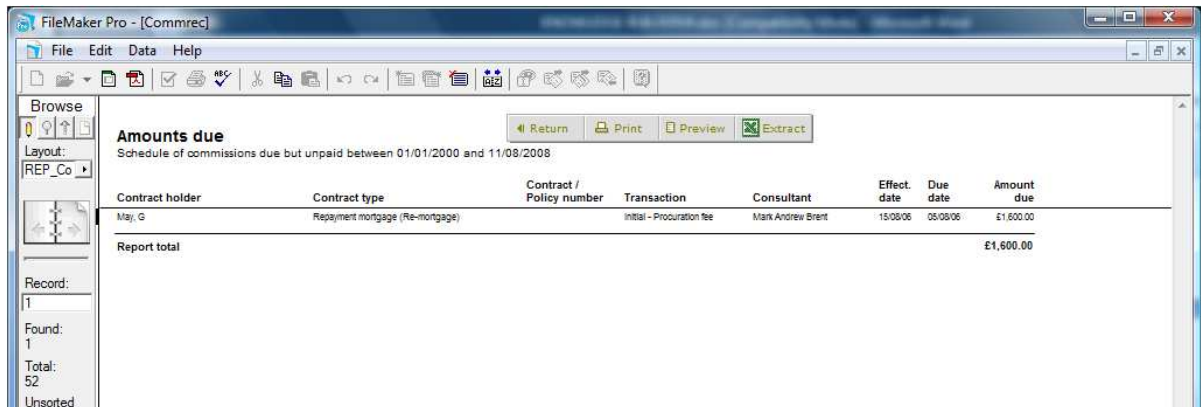
**Amounts due**  
Schedule of commissions due but unpaid between 01/01/2000 and 11/08/2008

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

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



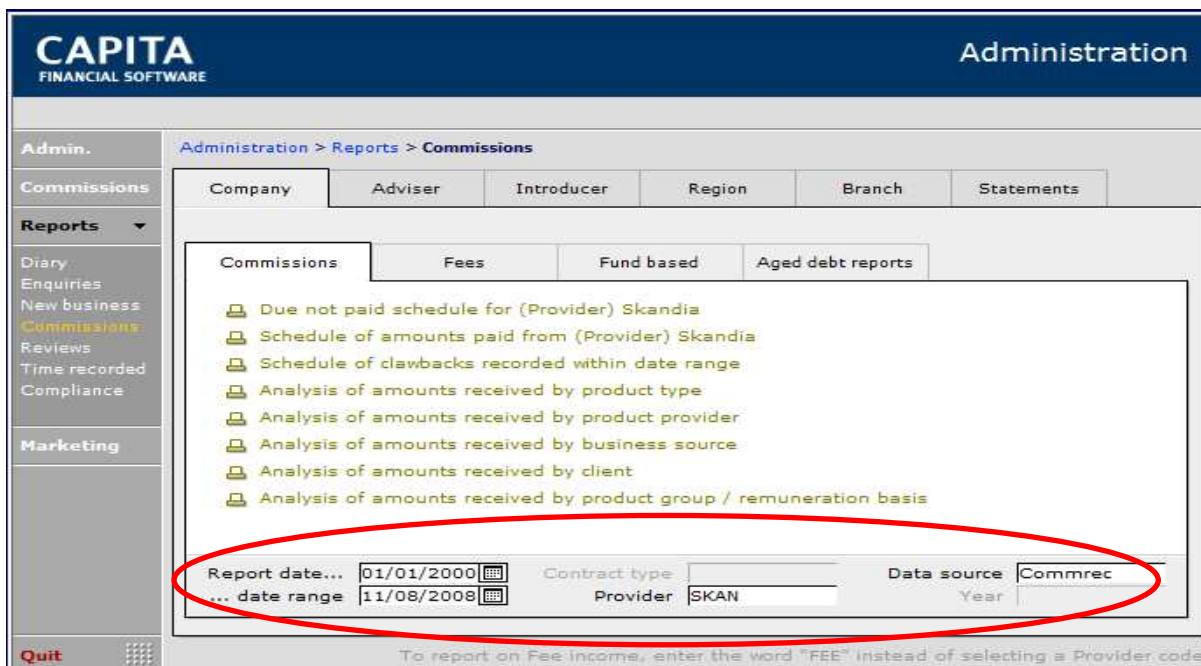
| Contract holder | Contract type | Contract / Policy number | Transaction               | Consultant | Effect date | Due date | Amount due |
|-----------------|---------------|--------------------------|---------------------------|------------|-------------|----------|------------|
|                 |               |                          | Initial - Procurement fee |            |             |          | >300       |



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

### 7.3.1. Modify Search

When using reports you have the option to modify the search criteria that you have entered. A report is in itself a “found set” the find criteria being set by the scripting behind the report. Once the report has been run you have the option to modify it. This report has been run for ‘Amount due but not paid’ on the date range 1/1/2000 to 11/08/2008 for Skandia.



Administration > Reports > Commissions

Company: [ ] Adviser: [ ] Introducer: [ ] Region: [ ] Branch: [ ] Statements: [ ]

Commissions: [ ] Fees: [ ] Fund based: [ ] Aged debt reports: [ ]

Due not paid schedule for (Provider) Skandia

Schedule of amounts paid from (Provider) Skandia

Schedule of clawbacks recorded within date range

Analysis of amounts received by product type

Analysis of amounts received by product provider

Analysis of amounts received by business source

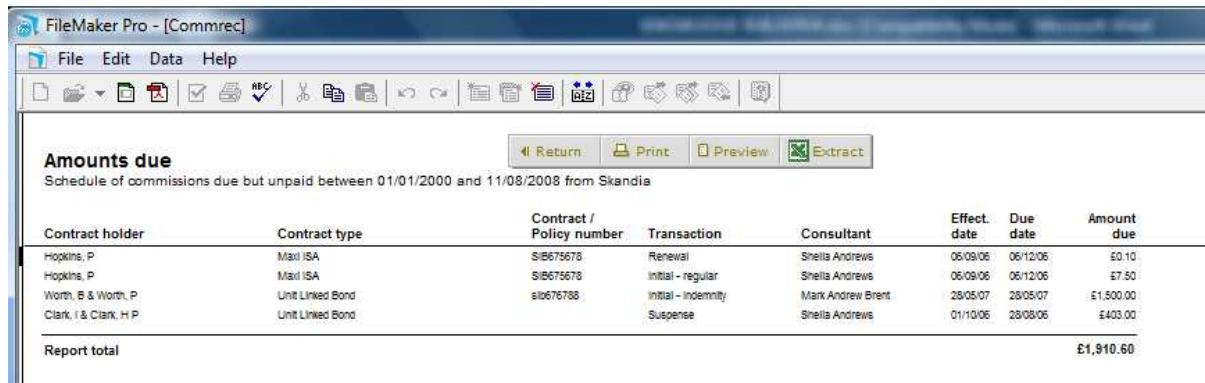
Analysis of amounts received by client

Analysis of amounts received by product group / remuneration basis

Report date... 01/01/2000 ... date range 11/08/2008 Contract type [ ] Data source Commrec Provider SKAN Year [ ]

To report on Fee income, enter the word "FEE" instead of selecting a Provider code

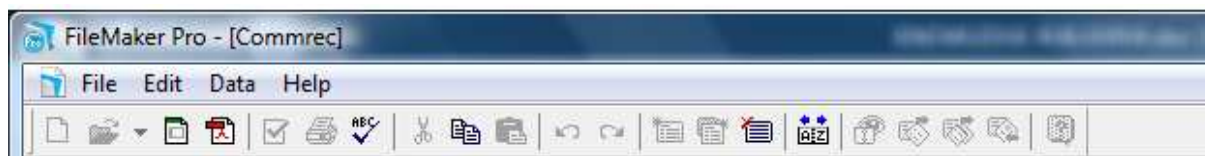




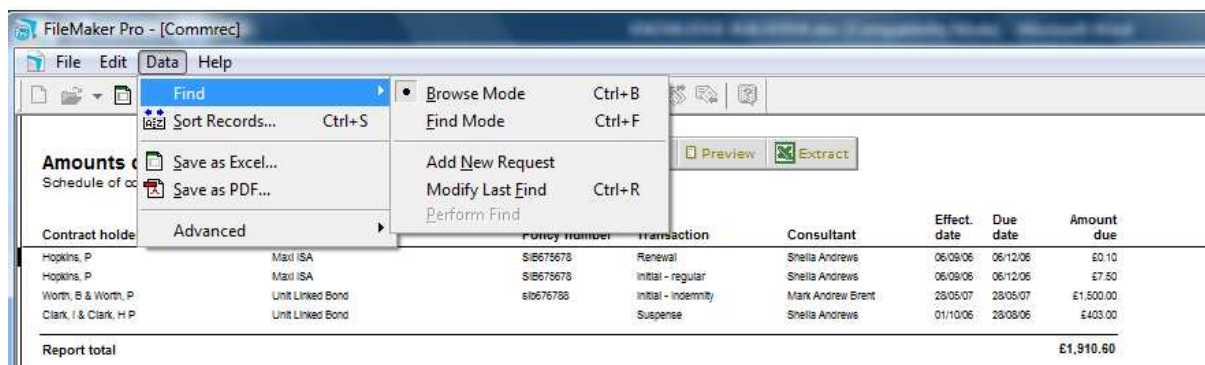
**Amounts due**  
Schedule of commissions due but unpaid between 01/01/2000 and 11/08/2008 from Skandia

| Contract holder       | Contract type    | Contract / Policy number | Transaction         | Consultant        | Effect. date | Due date | Amount due       |
|-----------------------|------------------|--------------------------|---------------------|-------------------|--------------|----------|------------------|
| Hopkins, P            | Maxi ISA         | SI6675678                | Renewal             | Shelia Andrews    | 06/09/06     | 06/12/06 | £0.10            |
| Hopkins, P            | Maxi ISA         | SI6675678                | Initial - regular   | Shelia Andrews    | 06/09/06     | 06/12/06 | £7.50            |
| Worth, B & Worth, P   | Unit Linked Bond | slb676788                | Initial - indemnity | Mark Andrew Brent | 28/05/07     | 28/05/07 | £1,500.00        |
| Clark, I & Clark, H P | Unit Linked Bond |                          | Suspense            | Shelia Andrews    | 01/10/06     | 28/08/06 | £403.00          |
| <b>Report total</b>   |                  |                          |                     |                   |              |          | <b>£1,910.60</b> |

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



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



The search criteria can be entered in the same way as for the "find" search. In the example below there is a need to find any amount due greater than £500.

Find

Layout: REP\_Co

Request: 1

Total: 1

Quit

Symbols

**Amounts due**  
Schedule of commissions due but unpaid between 01/01/2000 and 11/08/2008 from Skandia

Return Print Preview Extract

| Contract holder     | Contract type | Contract / Policy number | Transaction | Consultant | Effect. date | Due date   | Amount due |
|---------------------|---------------|--------------------------|-------------|------------|--------------|------------|------------|
|                     |               |                          |             |            |              | 01/01/2000 | >500       |
| <b>Report total</b> |               |                          |             |            |              |            |            |

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

FileMaker Pro - [Commrec]

File Edit Data Help

Browse

Layout: REP\_Co

Record: 1

Found: 1

Total: 52

Unsorted

**Amounts due**  
Schedule of commissions due but unpaid between 01/01/2000 and 11/08/2008 from Skandia

Return Print Preview Extract

| Contract holder     | Contract type    | Contract / Policy number | Transaction         | Consultant        | Effect. date | Due date | Amount due |
|---------------------|------------------|--------------------------|---------------------|-------------------|--------------|----------|------------|
| Worth, B & Worth, P | Unit Linked Bond | slb676758                | Initial - indemnity | Mark Andrew Brent | 28/05/07     | 28/05/07 | £1,500.00  |
| <b>Report total</b> |                  |                          |                     |                   |              |          | £1,500.00  |

As you can see from the example the report is still for Skandia between the date ranges selected however it now only displays amounts greater than £500.

## 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.

CAPITA

FINANCIAL SOFTWARE

Administration

Admin.

Commissions

Reports

Marketing ▾

Diary today

Diary all

Wizards

Reports

Administration > Marketing > Wizards

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

▸ Clients of who have plans due for review between 01/01/00 and 11/08/08

▸ All plans due to mature or expire between 01/01/00 and 11/08/08

▸ All clients due for their next periodic review between 01/01/00 and 11/08/08

▸ All plans taken out between 01/01/00 and 11/08/08

▸ All mortgages under which the rate guarantee expires between 01/01/00 and 11/08/08

▸ All clients of who have no review date booked

▸ All plan holders currently aged between and

▸ Clients aged between and who do not have a plan

I want to create my own found set

▸ Search client records...

▸ Search holdings records...

Report date... 01/01/2000

Product basis

Age from...

... date range 11/08/2008

Provider SKAN

... age to

Adviser ref

Introducer

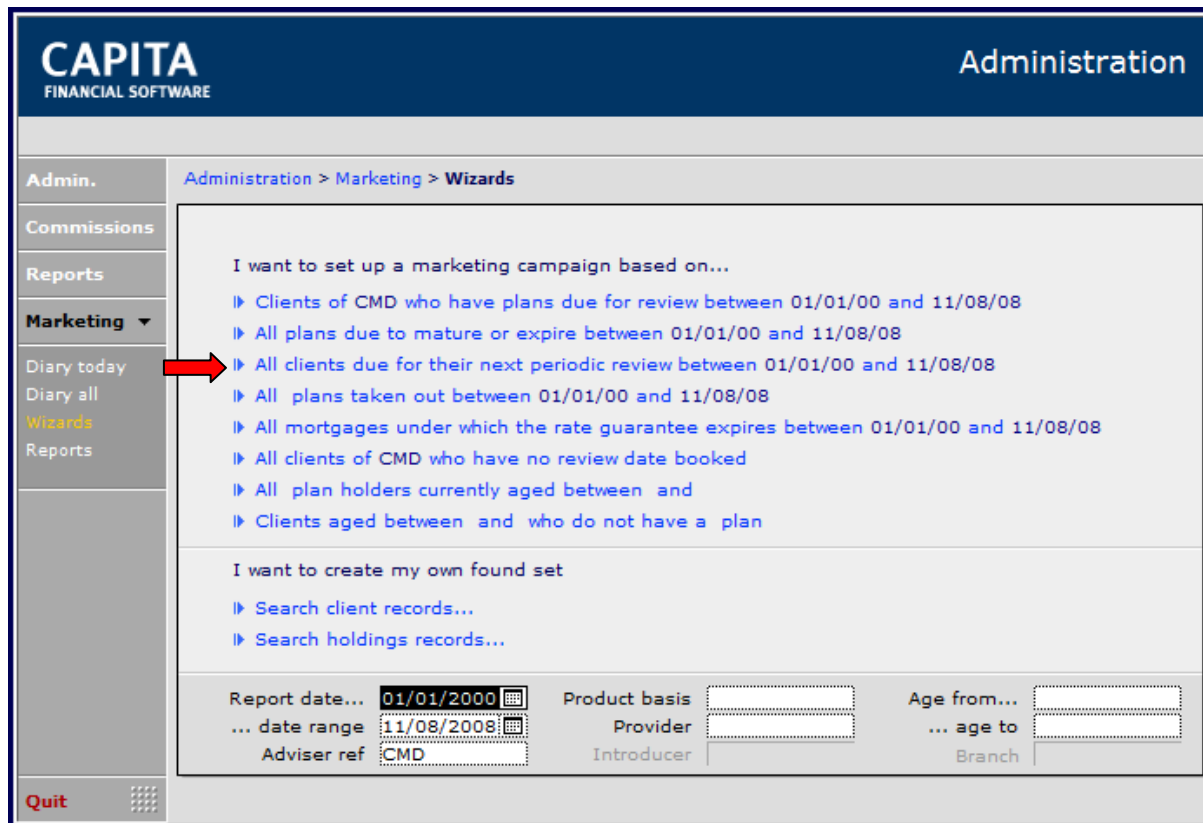
Branch

Quit

The screen is split into two parts. The upper eight 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 Clive's clients with reviews due between 01/01/2000 and 11/08/2008.





**CAPITA**  
FINANCIAL SOFTWARE

Administration

Admin. Administration > Marketing > Wizards

Commissions

Reports

Marketing ▾

Diary today

Diary all

Wizards

Reports

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

- Clients of CMD who have plans due for review between 01/01/00 and 11/08/08
- All plans due to mature or expire between 01/01/00 and 11/08/08
- All clients due for their next periodic review between 01/01/00 and 11/08/08
- All plans taken out between 01/01/00 and 11/08/08
- All mortgages under which the rate guarantee expires between 01/01/00 and 11/08/08
- All clients of CMD who have no review date booked
- All plan holders currently aged between and
- Clients aged between and who do not have a plan

I want to create my own found set

- Search client records...
- Search holdings records...

Report date... 01/01/2000 Product basis ... date range 11/08/2008 Age from... ... age to Adviser ref CMD Provider Introductor Branch

Quit

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



Browse

Layout: Marketing

Record: 1

Found: 2

Total: 80

**Marketing campaign wizard** Cancel wizard

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

Policy renewals between 01/01/2000 and 11/08/2008 by Clive McDonough

| Contract holder | Adviser | Provider   | Product type     | Effective  |      |
|-----------------|---------|------------|------------------|------------|------|
| Hoyland, S M    | CMD     | Skandia    | Maxi ISA         | 04/09/2006 | Omit |
| Patel, D        | CMD     | Prudential | Personal Pension | 01/10/2006 | Omit |

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

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

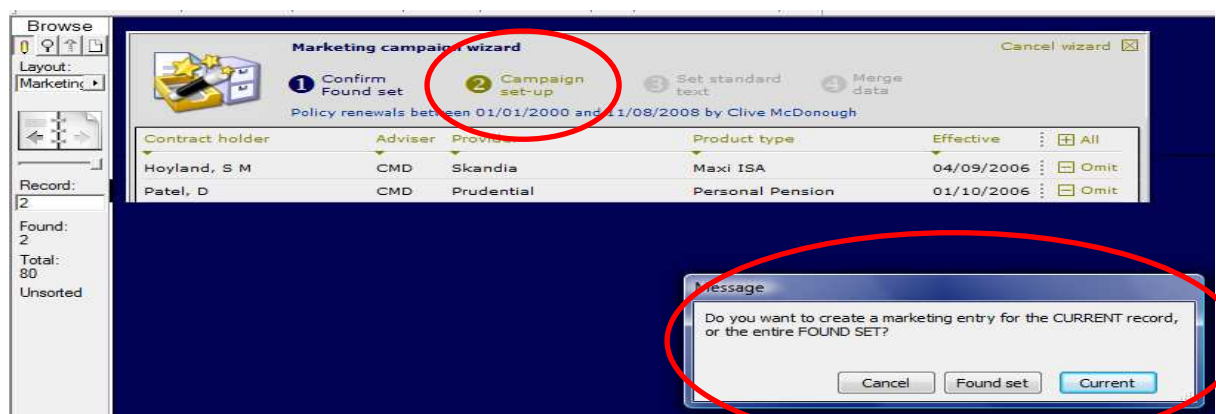


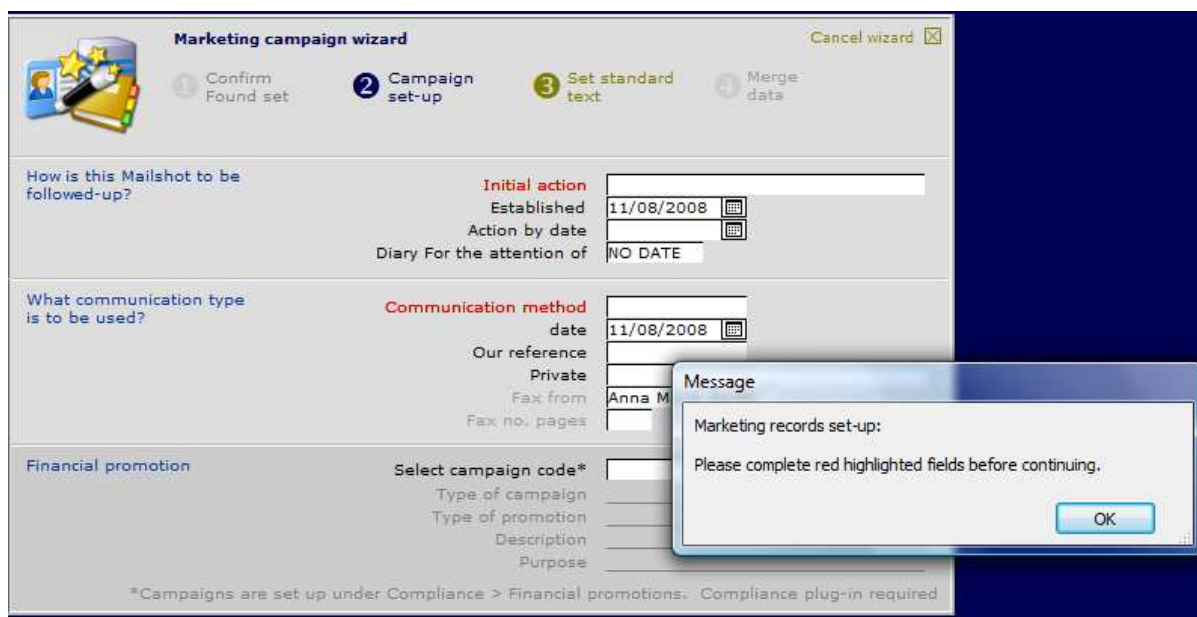
To omit individual records use the  at the end of each record.

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.





**Marketing campaign wizard** Cancel wizard

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

How is this Mailshot to be followed-up?

Initial action  
Established 11/08/2008  
Action by date  
Diary For the attention of NO DATE

What communication type is to be used?

Communication method  
date 11/08/2008  
Our reference  
Private  
Fax from Anna M  
Fax no. pages

Financial promotion

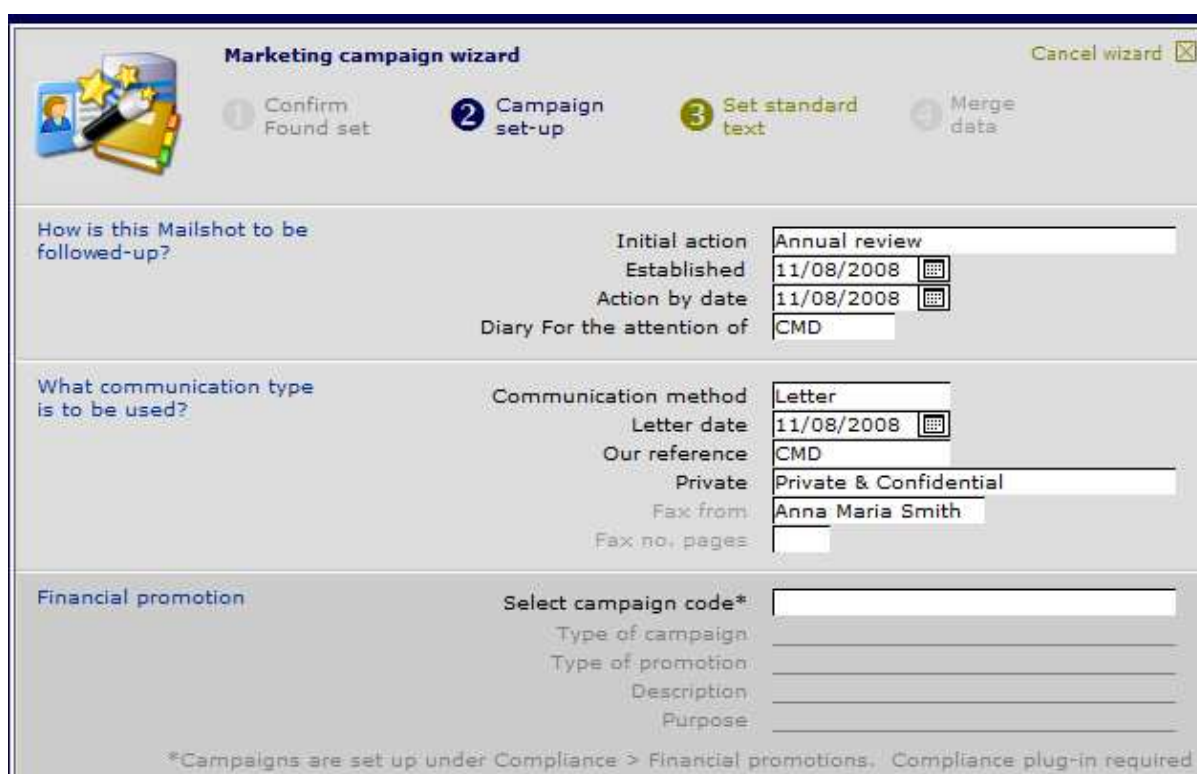
Select campaign code\*  
Type of campaign  
Type of promotion  
Description  
Purpose

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

**Message**

Marketing records set-up:  
Please complete red highlighted fields before continuing.

OK



**Marketing campaign wizard** Cancel wizard

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

How is this Mailshot to be followed-up?

Initial action Annual review  
Established 11/08/2008  
Action by date 11/08/2008  
Diary For the attention of CMD

What communication type is to be used?

Communication method Letter  
Letter date 11/08/2008  
Our reference CMD  
Private Private & Confidential  
Fax from Anna Maria Smith  
Fax no. pages

Financial promotion

Select campaign code\*  
Type of campaign  
Type of promotion  
Description  
Purpose

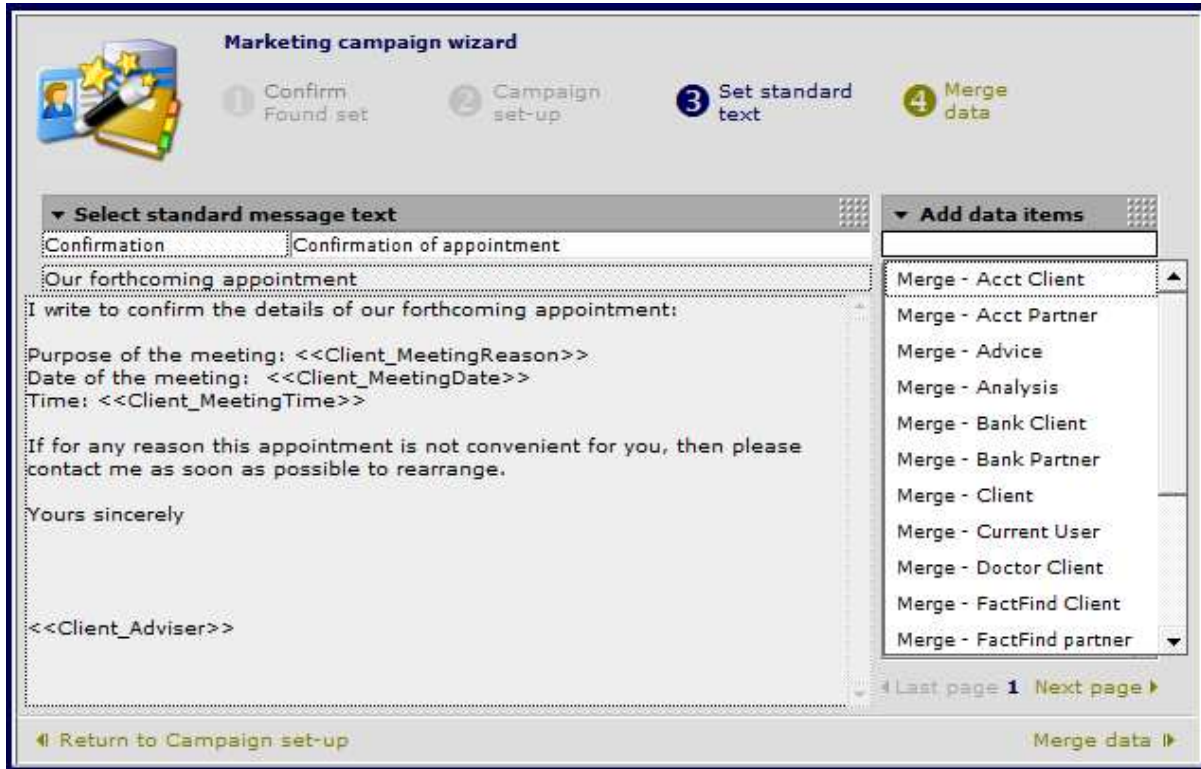
\*Campaigns are set up under Compliance > Financial promotions. Compliance plug-in required

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

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

**3 Set standard text**

Click onto the **3 Set standard text** and you will see the letter selection screen similar to the screen seen in Work/Tasks.



**Marketing campaign wizard**

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

**Select standard message text**

Confirmation   Confirmation of appointment

Our forthcoming appointment

I write to confirm the details of our forthcoming appointment:

Purpose of the meeting: <<Client\_MeetingReason>>

Date of the meeting: <<Client\_MeetingDate>>

Time: <<Client\_MeetingTime>>

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

Yours sincerely

<<Client\_Adviser>>

**Add data items**

- Merge - Acct Client
- Merge - Acct Partner
- Merge - Advice
- Merge - Analysis
- Merge - Bank Client
- Merge - Bank Partner
- Merge - Client
- Merge - Current User
- Merge - Doctor Client
- Merge - FactFind Client
- Merge - FactFind partner

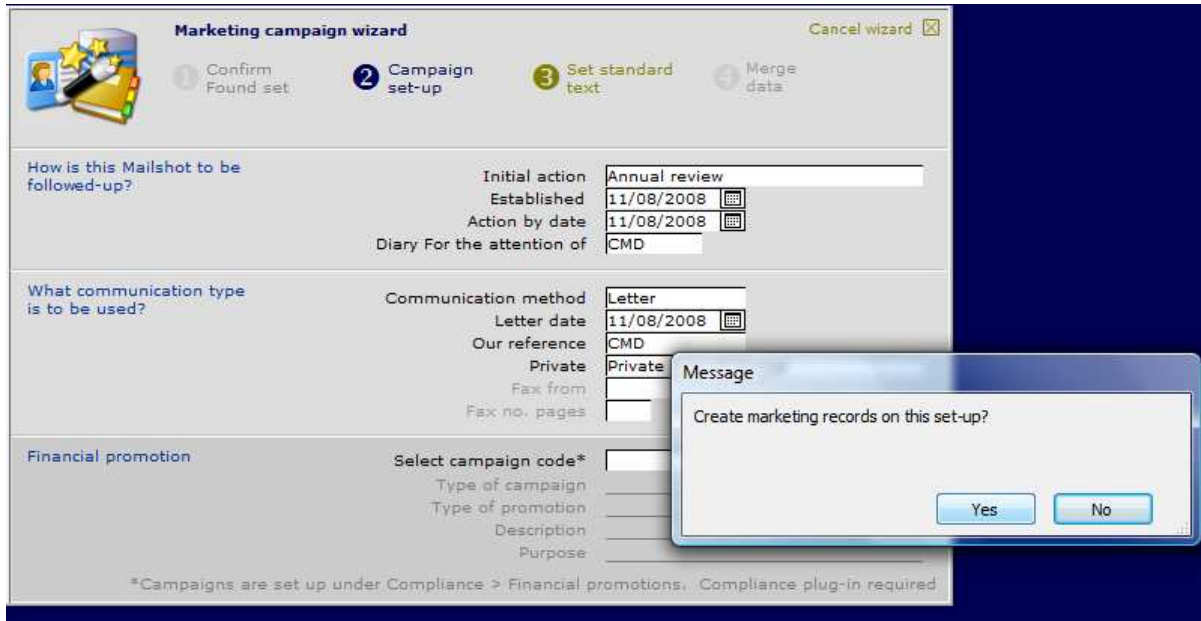
◀ Last page 1 Next page ▶

◀ Return to Campaign set-up   Merge data ▶

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

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





**Marketing campaign wizard** Cancel wizard

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

How is this Mailshot to be followed-up? Initial action: Annual review  
Established: 11/08/2008  
Action by date: 11/08/2008  
Diary For the attention of: CMD

What communication type is to be used? Communication method: Letter  
Letter date: 11/08/2008  
Our reference: CMD  
Private: Private  
Fax from:   
Fax no. pages:

Financial promotion Select campaign code\*  
Type of campaign:   
Type of promotion:   
Description:   
Purpose:

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

**Message**  
Create marketing records on this set-up?  
Yes No

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



**Marketing campaign wizard** Exit wizard


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

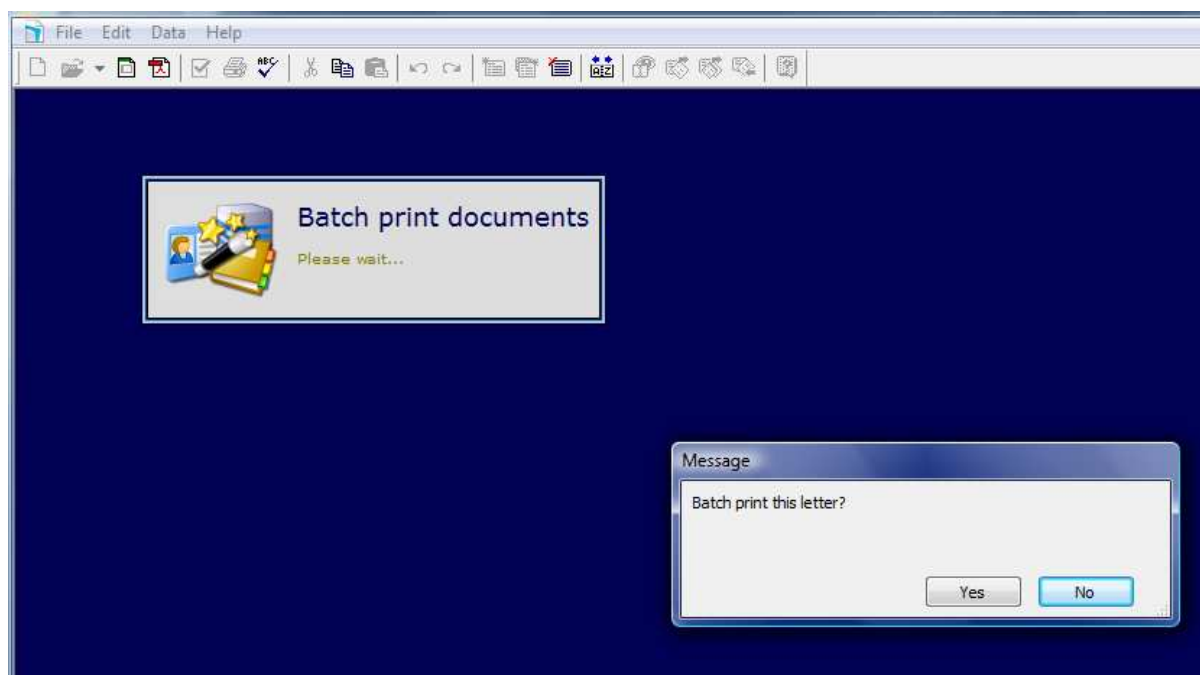
Congratulations, the marketing campaign is now complete.  
You can view Letter dated 07/04/2010 for Victoria Plum and manually select print / preview options or batch Print all 87 Letters dated 07/04/2010

- View Letter dated 07 April 2010 for Victoria Plum
- Batch Print all 87 Letters dated 07/04/2010**
- Batch Export all 87 Letters dated 07/04/2010 to MS Word

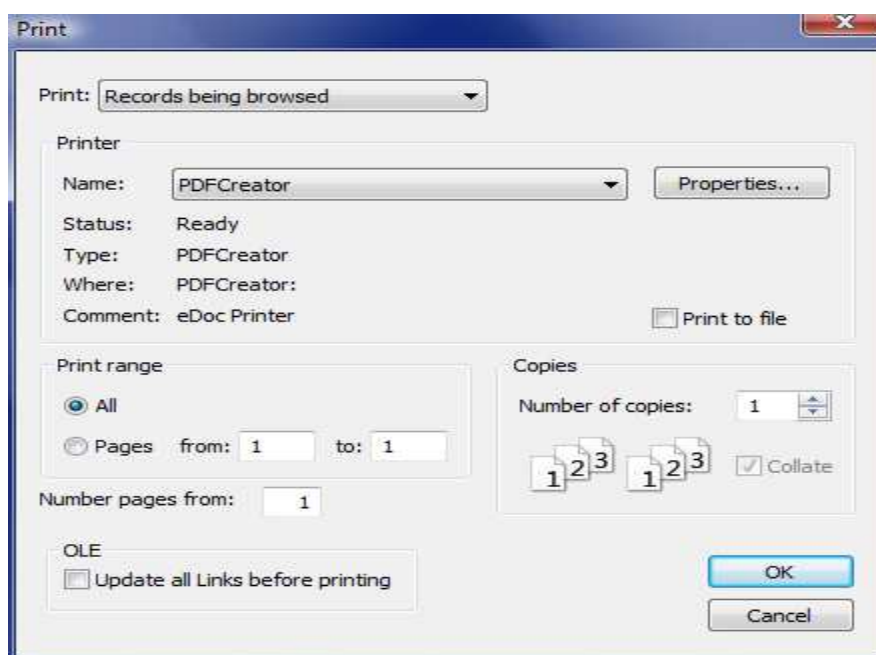
Select "Open marketing log entry" below to open the marketing record corresponding to this Victoria Plum.

Open corresponding marketing log entry

 Batch Print all 87 Letters dated 07/04/2010 will ask you to confirm that these letters should be batch printed.



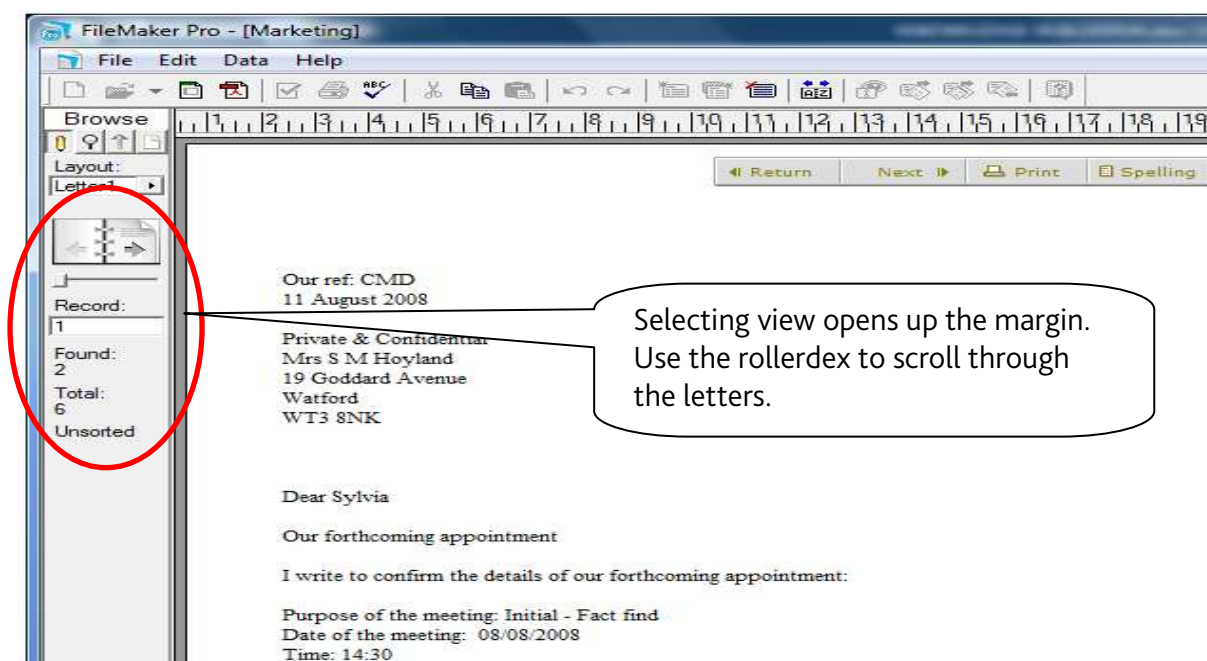
You will then be asked to select your printer.



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

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

[View Letter dated 07 April 2010 for Victoria Plum](#) will allow you to scroll through the letters, check that all merge fields have been added and amend any that have missing data or need additional information.



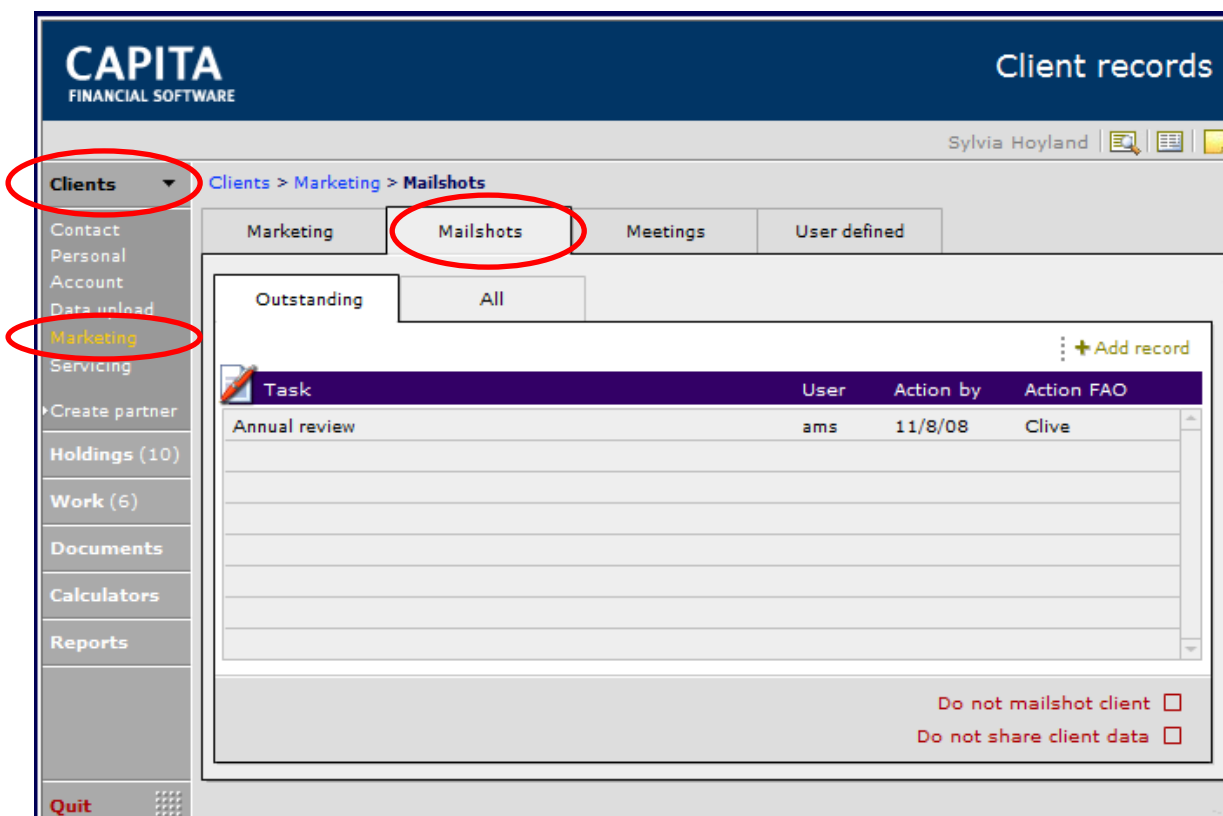
Another option which is available is to export all of these letters to Word using the [Batch Export all 87 Letters dated 07/04/2010 to MS Word](#). During the export, any document template stored in CCD will be applied to the letters. Once the letters are in Word, further formatting can be completed.

## 9. VIEWING THE CLIENTS MARKETING DIARY ENTRY

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

To view this go to the clients file and select marketing – mailshots.





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

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

## 10. CREATING A MANUAL CAMPAIGN USING THE DATA TABLE

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

**CAPITA**  
FINANCIAL SOFTWARE
Administration

---

**Admin.**  
  
**Commissions**  
  
**Reports**  
  
**Marketing ▼**  
  
 Diary today  
 Diary all  
 Wizards  
 Reports

Administration > Marketing > **Wizards**

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

- Clients of CMD who have plans due for review between 01/01/00 and 11/08/08
- All plans due to mature or expire between 01/01/00 and 11/08/08
- All clients due for their next periodic review between 01/01/00 and 11/08/08
- All plans taken out between 01/01/00 and 11/08/08
- All mortgages under which the rate guarantee expires between 01/01/00 and 11/08/08
- All clients of CMD who have no review date booked
- All plan holders currently aged between and
- Clients aged between and who do not have a plan

---

I want to create my own found set

- Search client records...
- Search holdings records...

Report date...    
 ... date range    
 Adviser ref

Product basis   
 Provider   
 Introducer

Age from...   
 ... age to   
 Branch

**Quit**

The example below shows the screen returned for Search the holdings record.

**Marketing campaign wizard** Cancel wizard

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

All records listed as no search criteria specified

| Contract holder       | Adviser | Provider                    | Product type              | Effective  |   |
|-----------------------|---------|-----------------------------|---------------------------|------------|---|
| May, G                | MAB     | Norwich & Peterborough      | Buy to let interest only  | 04/03/2004 | <input checked="" type="checkbox"/> All |
| May, G and Farley, RC | MAB     | Northern Rock plc           | Buy to let Interest only  | 13/11/2003 | <input type="checkbox"/> Omit           |
| May, G                | MAB     | Ipswich Building Society    | Buy to let Interest only  | 03/06/2003 | <input type="checkbox"/> Omit           |
| May, G                | MAB     | Norwich Union Life          | Increasing Term Assurance | 02/02/2004 | <input type="checkbox"/> Omit           |
| May, G & Farley, R C  | MAB     | Nationwide Building Society | Repayment mortgage        | 13/06/2004 | <input type="checkbox"/> Omit           |
| Farley, R C           | MAB     | Zurich                      | Level Term Assurance      | 01/05/2004 | <input type="checkbox"/> Omit           |
| May, G & Farley, R C  | MAB     | Norwich & Peterborough      | Buy to let Interest only  | 13/03/2005 | <input type="checkbox"/> Omit           |
| May, G & Farley, R C  | MAB     | Kensington Mortgage         | Buy to let Interest only  | 19/10/2005 | <input type="checkbox"/> Omit           |
| May, G                | MAB     | Kensington Mortgage         | Buy to let Interest only  | 06.12.2002 | <input type="checkbox"/> Omit           |
| May, G                | MAB     | Northern Rock plc           | Repayment mortgage        | 15/08/2006 | <input type="checkbox"/> Omit           |
| May, G                | MAB     | Norwich & Peterborough      | Let to buy Interest only  | 15/08/2006 | <input type="checkbox"/> Omit           |
| May, G                | MAB     | Platform Home Loans         | Let to buy Interest only  | 15/08/2006 | <input type="checkbox"/> Omit           |
| T                     | SAN     | Skandia                     |                           | 09/09/2005 | <input type="checkbox"/> Omit           |
| A                     | SAN     | Lloyds TSB Bank             |                           | 04/04/2004 | <input type="checkbox"/> Omit           |
|                       |         |                             |                           | 01/06/1993 | <input type="checkbox"/> Omit           |
|                       |         | Scottish Equitable          | Personal Pension          | 13/07/1993 | <input type="checkbox"/> Omit           |
|                       |         |                             | Private Medical Insurance | 18/09/2002 | <input type="checkbox"/> Omit           |
|                       |         | Ipswich Plc                 | Repayment mortgage        | 13.02.2004 | <input type="checkbox"/> Omit           |
| Taylor, C A           | SAN     | Scottish Equitable          | Self Invested Personal    | 09/09/2006 | <input type="checkbox"/> Omit           |
| Patel, D              | CMD     | Norwich Union Life          | Decreasing Term Assurance | 01/09/2000 | <input type="checkbox"/> Omit           |
| Patel, D              | CMD     | Select Pensions Limited     | Personal Pension          | 02/07/1985 | <input type="checkbox"/> Omit           |

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

This takes you into a spreadsheet style screen where you will see more fields available for selection. Now using the **Create a new found set** 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,

Marketing campaign wizard

Return to Client Care Desktop system view

Create a spreadsheet based on the records shown

Create a new found set

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

| Status    | Policy holder         | Surname | Clientage | Consultantref | Product provider    | ProductBasis | productcategory      |
|-----------|-----------------------|---------|-----------|---------------|---------------------|--------------|----------------------|
| In force  | Clift, G H            | Clift   | 28        | AMB           | Norwich Union Life  | Protection   | Group Income         |
| In force  | Clift, G H            | Clift   | 28        | AMB           | Nationwide Building | Savings      | Individual Savings   |
| Completed | Clift, G H            | Clift   | 28        | AMB           | Nationwide Building | Mortgage     | Repayment mortgage   |
| In force  | Clift, G H            | Clift   | 28        | AMB           | Norwich Union Life  | Protection   | Term Assurance       |
| In force  | Hoyland, S M          | Hoyland | 58        | CMD           | Scottish Equitable  | Retirement   | Personal Pension     |
| In force  | Hoyland, S M          | Hoyland | 58        | CMD           | Zurich              | Protection   | Whole of Life        |
| Paid up   | Hoyland, S M          | Hoyland | 58        | CMD           | AXA                 | Retirement   | Section 32           |
| In force  | Hoyland, S M          | Hoyland | 58        | CMD           | Canada Life         | Retirement   | Personal Pension     |
| Matured   | Hoyland, S M          | Hoyland | 58        | CMD           | Barclays Life       | Savings      | Personal Equity Plan |
| In force  | Hoyland, S M          | Hoyland | 58        | CMD           | Skandia             | Investment   | Individual Savings   |
| In force  | Hoyland, S M          | Hoyland | 58        | CMD           | Threadneedle        | Investment   | Investment Bond      |
| In force  | Dent, G P             | Dent    | 35        | SAN           | Norwich Union Life  | Protection   | Term Assurance       |
| In force  | Dent, G P             | Dent    | 35        | SAN           | Zurich              | Retirement   | Personal Pension     |
| In force  | Dent, G P             | Dent    | 35        | SAN           | Threadneedle        | Investment   | Individual Savings   |
| In force  | Dent, G P             | Dent    | 35        | SAN           | Prudential          | Protection   | Whole of Life        |
| In force  | Dent, G P             | Dent    | 35        | SAN           | Norwich Union Life  | Protection   | Income Protection    |
| Completed | Pound, M K & Pound, C | Pound   | 39        | CMD           | Abbey National      | Mortgage     | Repayment mortgage   |
| Paid up   | Pound, M K            | Pound   | 39        |               | Allied Dunbar       | Retirement   | Group Contracted In  |
| Paid up   | Pound, C              | Pound   | 38        | CMD           | Lloyds TSB Bank     | Investment   | Individual Savings   |

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 shows all bonds held on a single basis with a contribution greater than £2000.

Marketing campaign wizard

Return to Client Care Desktop system view

Create a spreadsheet based on the records shown

Create a new found set

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

| Status   | Policy holder | Surname | Clientage | Consultantref | Product provider   | ProductBasis | productcategory |
|----------|---------------|---------|-----------|---------------|--------------------|--------------|-----------------|
| In force | Hoyland, S M  | Hoyland | 58        | CMD           | Threadneedle       | Investment   | Investment Bond |
| In force | Daily, J      | Daily   | 2007      | MAB           | Skandia            | Investment   | Investment Bond |
| In force | Pound, M K    | Pound   | 39        | CMD           | Norwich Union Life | Investment   | Investment Bond |

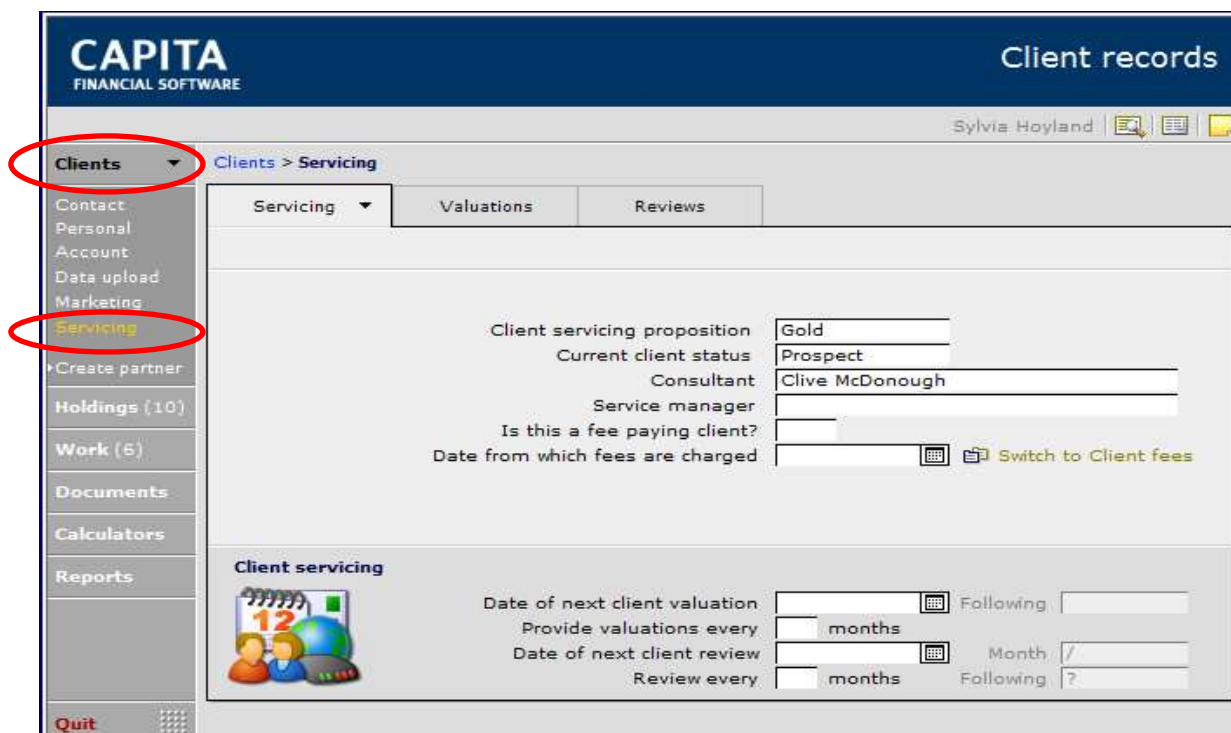
Click onto the **Return to Client Care Desktop system view**



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.



**CAPITA**  
FINANCIAL SOFTWARE

Client records

Sylvia Hoyland

**Clients** ▾ Clients > Servicing

Contact  
 Personal  
 Account  
 Data upload  
 Marketing  
**Servicing**  
 Create partner  
 Holdings (10)  
 Work (6)  
 Documents  
 Calculators  
 Reports  
 Quit

Servicing ▾ Valuations Reviews

Client servicing proposition: Gold  
 Current client status: Prospect  
 Consultant: Clive McDonough  
 Service manager:  
 Is this a fee paying client?:  
 Date from which fees are charged:

Switch to Client fees

**Client servicing**

Date of next client valuation: Following:  
 Provide valuations every: months  
 Date of next client review: Month /  
 Review every: months Following: ?

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 section of CCD. For instance, part of your servicing proposition to 'platinum' clients may be to send valuations every 3 months and offer a review every 6 months. However for 'gold' clients, it could be a valuation every 6 months and a review each 12 months.

This can be set up as follows:



**CAPITA**  
FINANCIAL SOFTWARE

System setup

Setup > Technical configuration > Advanced > Review

Applications Passwords Commissions Advanced Regional

Message Hub Web Services Maintenance Electronic Data Servicing

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

Client servicing proposition Provide valuations every Review every

Platinum months months

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

Quit

Setup > Technical configuration > Advanced > Review

Applications Passwords Commissions Advanced Regional

Message Hub Web Services Maintenance Electronic Data Servicing

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

Client servicing proposition Provide valuations every Review every

Platinum 3 months 6 months

Gold 6 12

Platinum

Gold

Silver

Bronze

Edit...

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

CAPITA

FINANCIAL SOFTWARE

Client records

Cynthia Black

Clients

Clients > Servicing

Servicing

Valuations

Reviews

Add Note

Client servicing proposition

Platinum

Current client status

Current

Adviser

Sheila Andrews

Service manager

Is this a fee paying client?

Date from which fees are charged

Switch to Client fees

Client servicing

Date of next client valuation

Following

01/04/0001

Provide valuations every

3

months

Date of next client review

Month

/

Review every

6

months

Following

?

Servicing Notes

Quit

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

Client servicing

Date of next client valuation

18/08/2009

Following

17/11/2009

Provide valuations every

3

months

Date of next client review

18/08/2009

Month

8/2009

Review every

6

months

Following

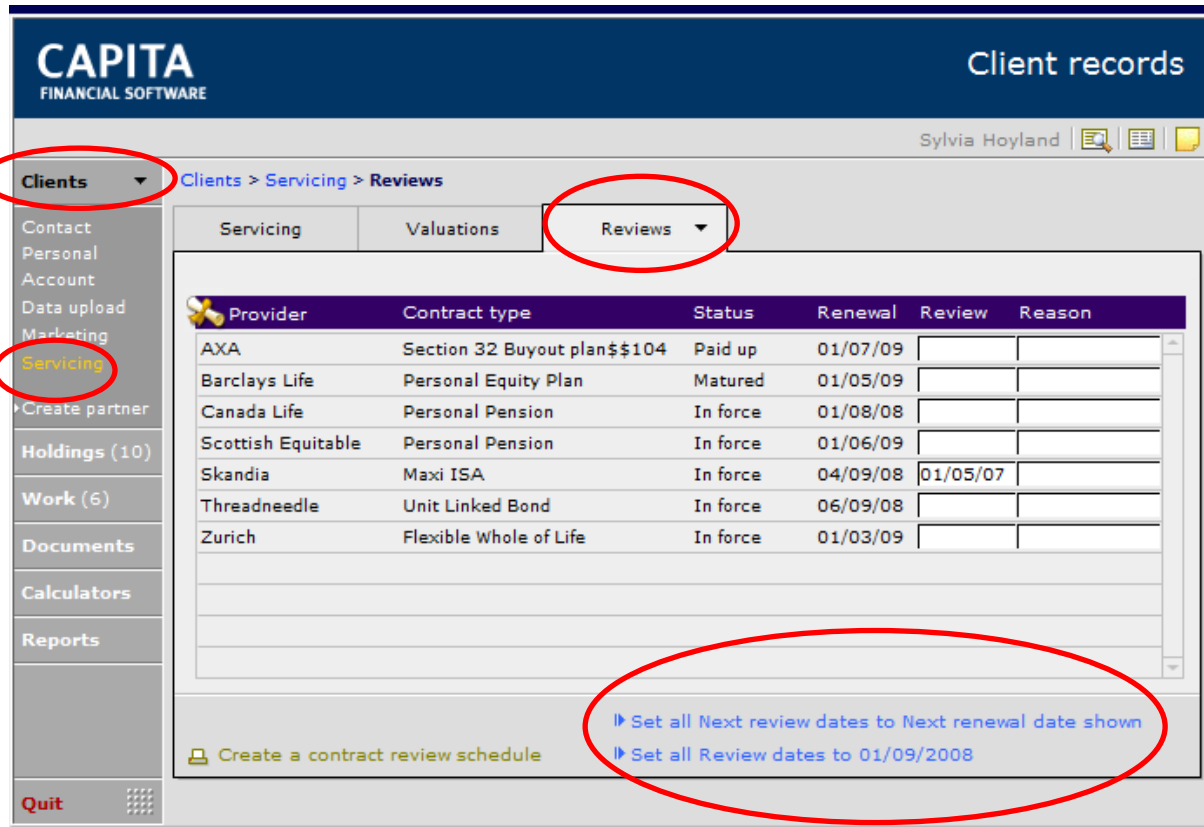
18/02/2010

Servicing Notes

Any notes can be added here.



## 11.1. Holding Reviews



**CAPITA**  
FINANCIAL SOFTWARE

Client records

Sylvia Hoyland

Clients > Servicing > Reviews

Servicing Valuations Reviews

| Provider           | Contract type               | Status   | Renewal  | Review   | Reason |
|--------------------|-----------------------------|----------|----------|----------|--------|
| AXA                | Section 32 Buyout plan\$104 | Paid up  | 01/07/09 |          |        |
| Barclays Life      | Personal Equity Plan        | Matured  | 01/05/09 |          |        |
| Canada Life        | Personal Pension            | In force | 01/08/08 |          |        |
| Scottish Equitable | Personal Pension            | In force | 01/06/09 |          |        |
| Skandia            | Maxi ISA                    | In force | 04/09/08 | 01/05/07 |        |
| Threadneedle       | Unit Linked Bond            | In force | 06/09/08 |          |        |
| Zurich             | Flexible Whole of Life      | In force | 01/03/09 |          |        |

[Set all Next review dates to Next renewal date shown](#)  
[Set all Review dates to 01/09/2008](#)

Create a contract review schedule

Quit

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](#)

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 01/09/2008](#)

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](#)

[Return](#) [Print](#) [Preview](#)

| Contract Review Schedule                                 |               |     |     |     |     |     |     |     |     |     |     |     |     | Notes |
|--|---------------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-------|
| Schedule of contract review dates. Prepared for Sylvia   |               |     |     |     |     |     |     |     |     |     |     |     |     |       |
|  | Policy Holder | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec |       |
| Personal Pension - Canada Life (01/08/2008)              | Sylvia Mary,  |     |     |     |     |     |     |     |     |     |     |     |     |       |
| Maxi ISA - Skandia (04/09/2008)                          | Sylvia Mary,  |     |     |     |     |     |     |     |     |     |     |     |     |       |
| Unit Linked Bond - Threadneedle Investments (06/09/2008) | Sylvia Mary,  |     |     |     |     |     |     |     |     |     |     |     |     |       |
| Flexible Whole of Life - Zurich (01/03/2009)             | Sylvia Mary,  |     |     |     |     |     |     |     |     |     |     |     |     |       |
| Personal Equity Plan - Barclays Life (01/05/2009)        | Sylvia Mary,  |     |     |     |     |     |     |     |     |     |     |     |     |       |
| Personal Pension - Scottish Equitable (01/06/2009)       | Sylvia Mary,  |     |     |     |     |     |     |     |     |     |     |     |     |       |
| Section 32 Buyout plan\$104 - AXA (01/07/2009)           | Sylvia Mary,  |     |     |     |     |     |     |     |     |     |     |     |     |       |

## 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.

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.

CAPITA  
FINANCIAL SOFTWARE

Administration

Admin. ▾

Administration > Client reviews

Clients ▾

Renewals

Maturities

Valuations

Review month ▾ 9 ▹ Year ▾ 2008 ▹

| Client         | Introducer    | Consultant      | Review date |  |
|----------------|---------------|-----------------|-------------|--|
| Sylvia Hoyland | No introducer | Clive McDonough | 01/09/2008  |  |
|                |               |                 |             |  |
|                |               |                 |             |  |
|                |               |                 |             |  |
|                |               |                 |             |  |
|                |               |                 |             |  |
|                |               |                 |             |  |
|                |               |                 |             |  |
|                |               |                 |             |  |
|                |               |                 |             |  |
|                |               |                 |             |  |
|                |               |                 |             |  |
|                |               |                 |             |  |
|                |               |                 |             |  |
|                |               |                 |             |  |

Quit

Print client review list

Switch to Clients > Contact

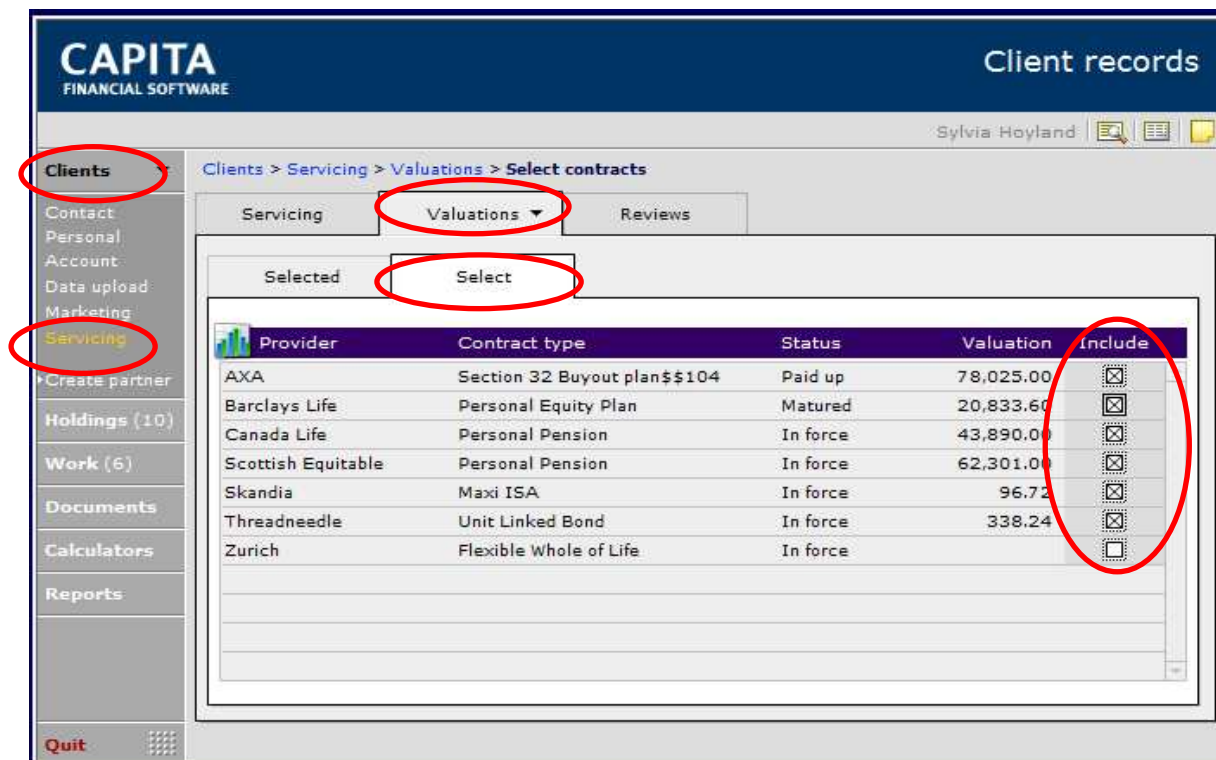
Print a list for the month.

Renewals, Maturities and Valuations display in the same way as the clients with the option to print lists as required. The only difference being that on the valuations tab the date is set daily or for the next 7 days and not for a month at a time.

## 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.



**Client records**

Sylvia Hoyland

Clients > Servicing > Valuations > Select contracts

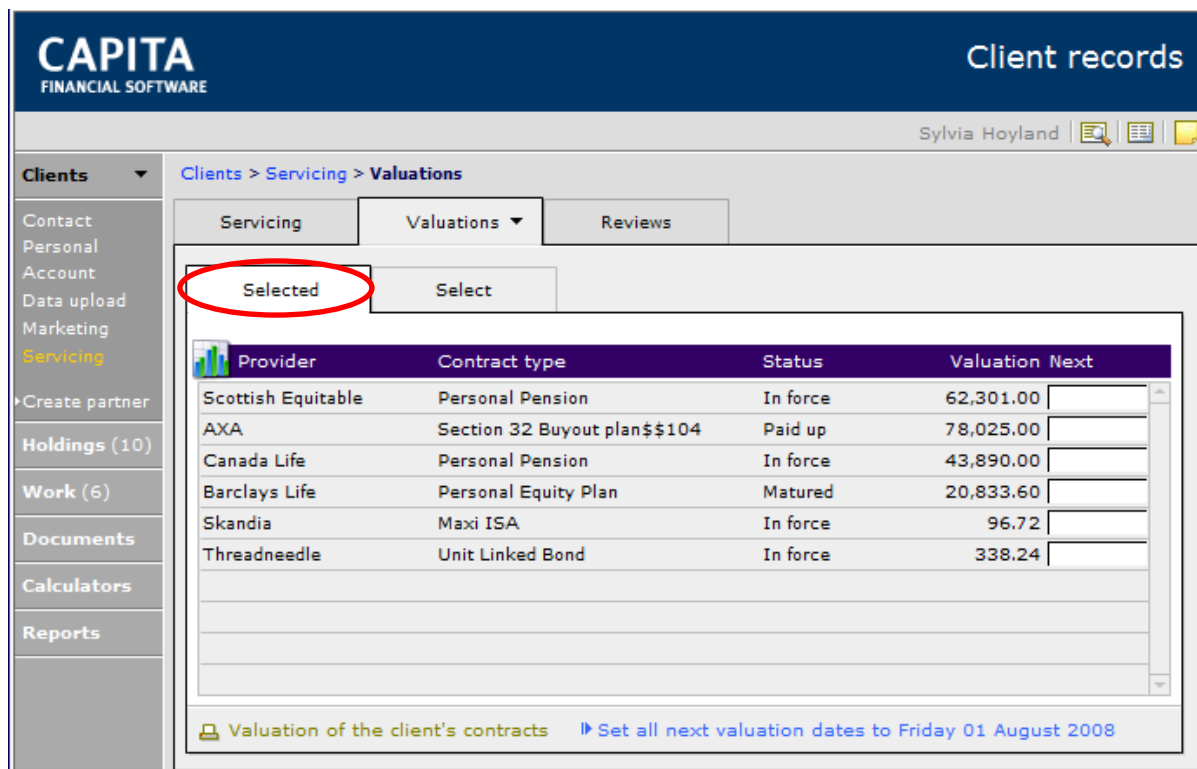
Servicing Valuations Reviews

Selected Select

| Provider           | Contract type               | Status   | Valuation | Include                             |
|--------------------|-----------------------------|----------|-----------|-------------------------------------|
| AXA                | Section 32 Buyout plan\$104 | Paid up  | 78,025.00 | <input checked="" type="checkbox"/> |
| Barclays Life      | Personal Equity Plan        | Matured  | 20,833.60 | <input checked="" type="checkbox"/> |
| Canada Life        | Personal Pension            | In force | 43,890.00 | <input checked="" type="checkbox"/> |
| Scottish Equitable | Personal Pension            | In force | 62,301.00 | <input checked="" type="checkbox"/> |
| Skandia            | Maxi ISA                    | In force | 96.72     | <input checked="" type="checkbox"/> |
| Threadneedle       | Unit Linked Bond            | In force | 338.24    | <input checked="" type="checkbox"/> |
| Zurich             | Flexible Whole of Life      | In force |           | <input type="checkbox"/>            |

Quit

Mark the check box for each holding that will require valuation. These will now appear in the 'Selected' tab.



**CAPITA**  
FINANCIAL SOFTWARE

Client records

Sylvia Hoyland

Clients > Servicing > Valuations

Servicing Valuations Reviews

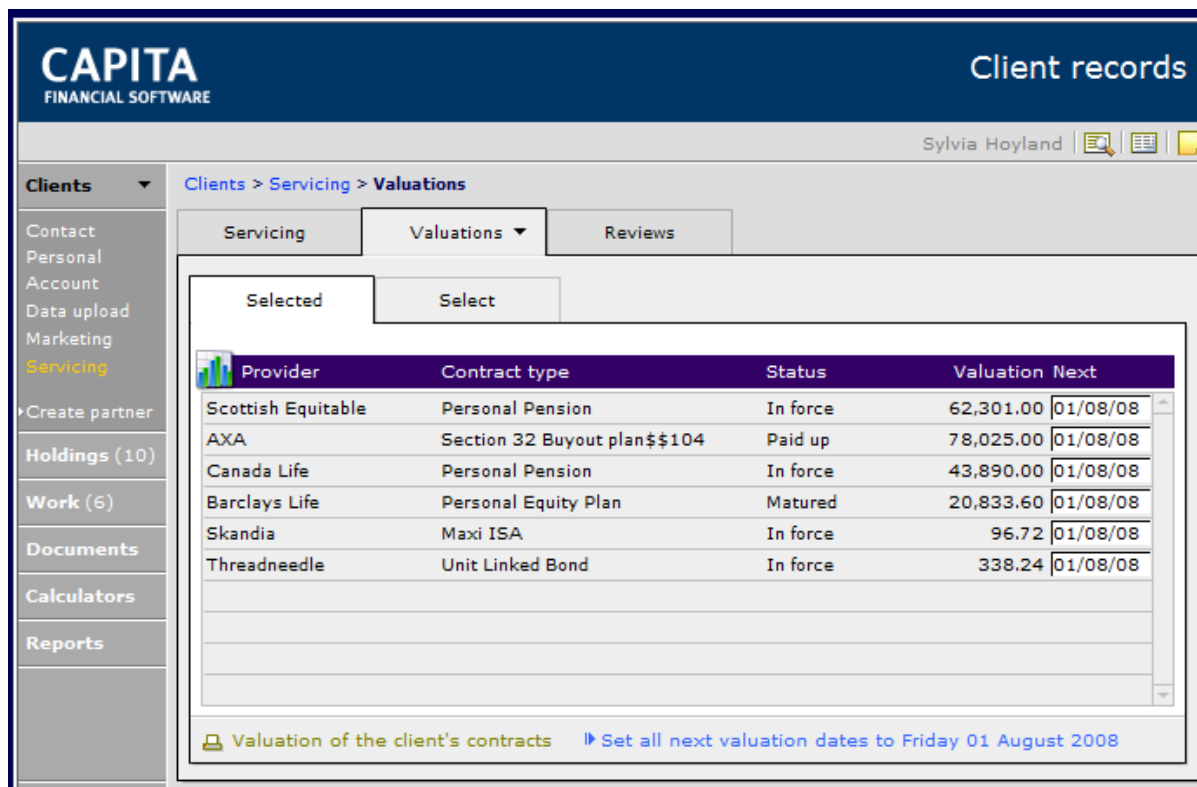
Selected Select

| Provider           | Contract type                | Status   | Valuation | Next |
|--------------------|------------------------------|----------|-----------|------|
| Scottish Equitable | Personal Pension             | In force | 62,301.00 |      |
| AXA                | Section 32 Buyout plan \$104 | Paid up  | 78,025.00 |      |
| Canada Life        | Personal Pension             | In force | 43,890.00 |      |
| Barclays Life      | Personal Equity Plan         | Matured  | 20,833.60 |      |
| Skandia            | Maxi ISA                     | In force | 96.72     |      |
| Threadneedle       | Unit Linked Bond             | In force | 338.24    |      |

Valuation of the client's contracts [Set all next valuation dates to Friday 01 August 2008](#)

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

Using the blue link [Set all next valuation dates to Friday 01 August 2008](#) at the bottom of the screen, this will insert the next due valuation date as set on servicing tab.



**CAPITA**  
FINANCIAL SOFTWARE

Client records

Sylvia Hoyland

Clients > Servicing > Valuations

Servicing Valuations Reviews

Selected Select

| Provider           | Contract type               | Status   | Valuation | Next     |
|--------------------|-----------------------------|----------|-----------|----------|
| Scottish Equitable | Personal Pension            | In force | 62,301.00 | 01/08/08 |
| AXA                | Section 32 Buyout plan\$104 | Paid up  | 78,025.00 | 01/08/08 |
| Canada Life        | Personal Pension            | In force | 43,890.00 | 01/08/08 |
| Barclays Life      | Personal Equity Plan        | Matured  | 20,833.60 | 01/08/08 |
| Skandia            | Maxi ISA                    | In force | 96.72     | 01/08/08 |
| Threadneedle       | Unit Linked Bond            | In force | 338.24    | 01/08/08 |

Valuation of the client's contracts Set all next valuation dates to Friday 01 August 2008

These will appear in the admin reviews tab 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.

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



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

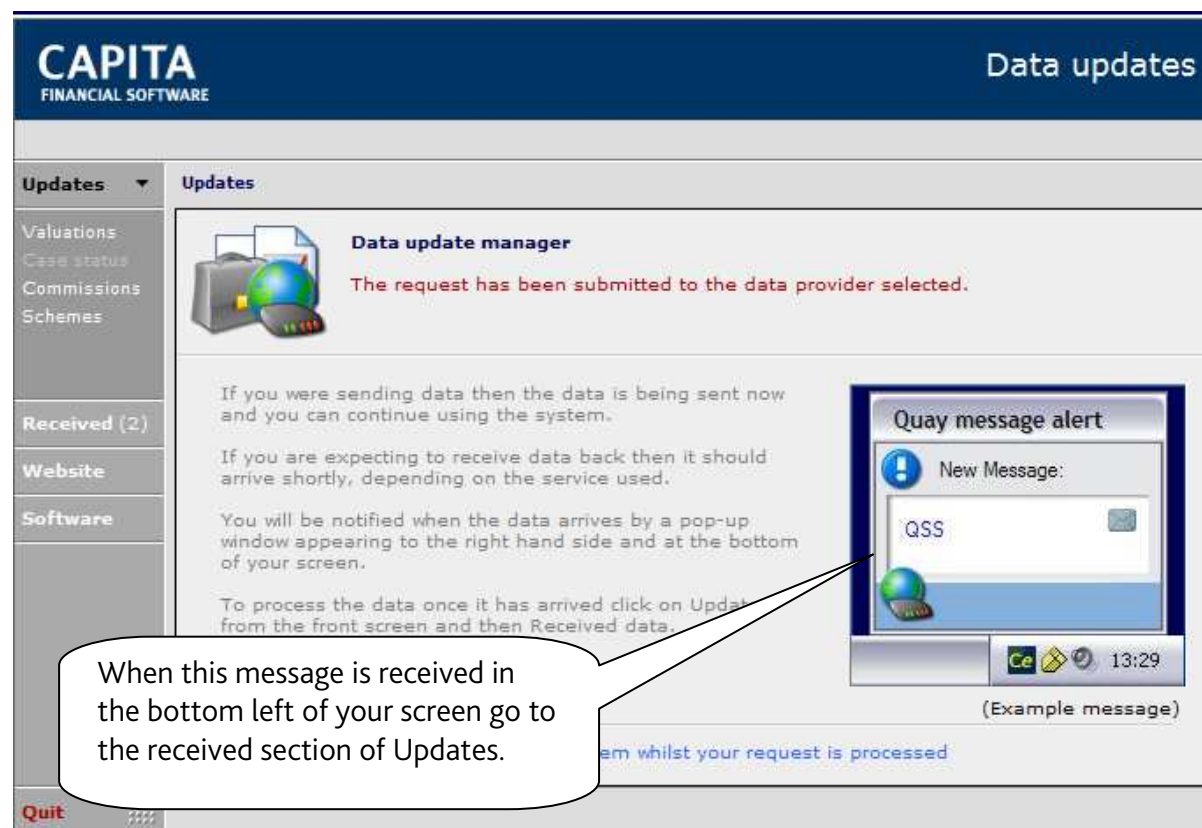


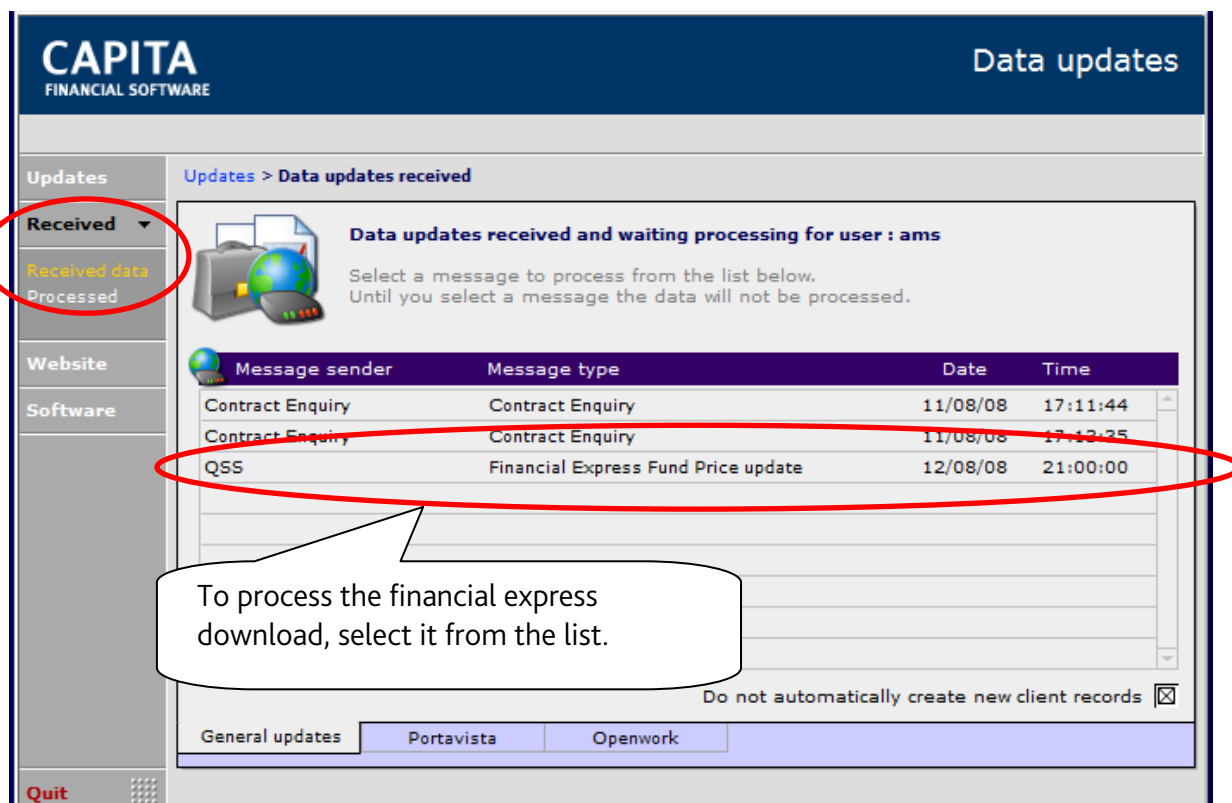


There are two options:

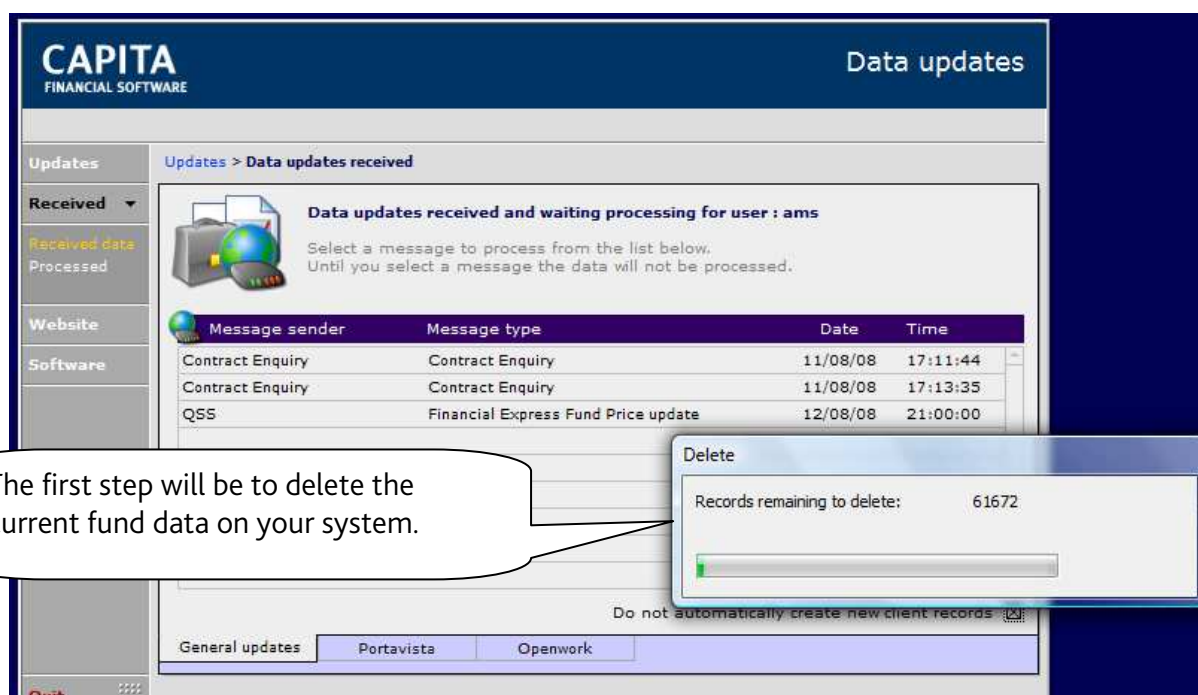
- Download all fund prices
- Download the fund prices for the funds being used for your clients.

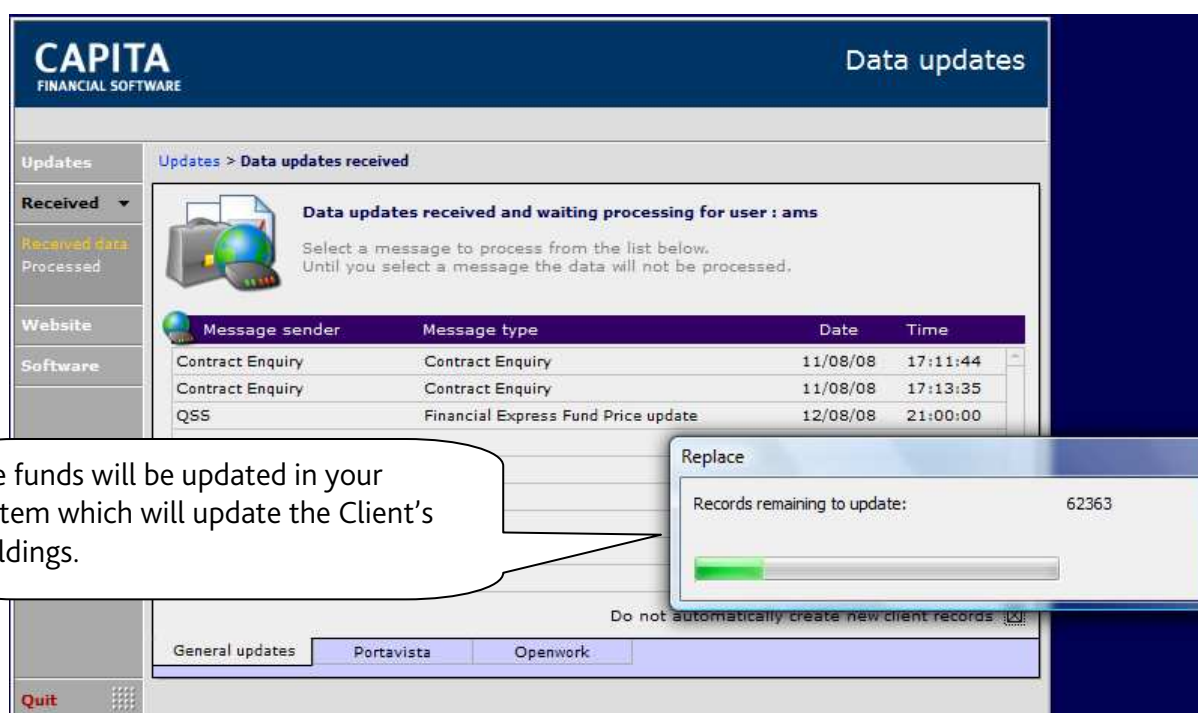
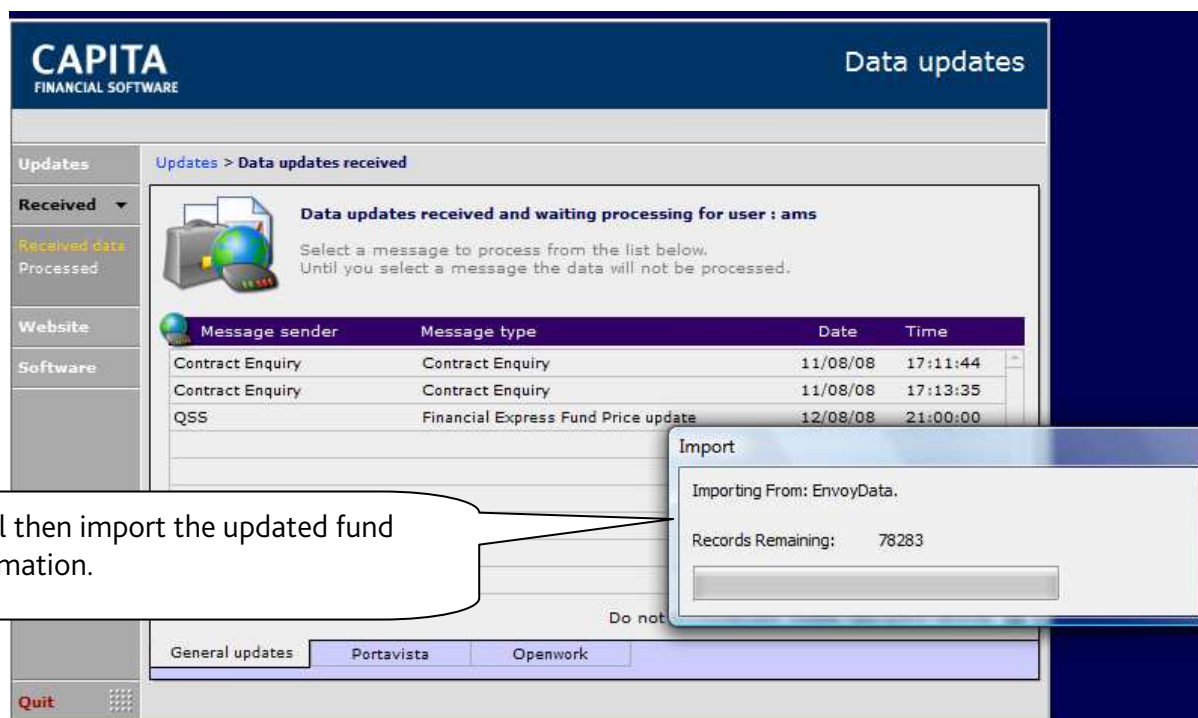
Once either option has been selected, the following will appear:





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





Whilst this process is happening, CCD cannot be used.

## 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 web site [www.capitafinancialsoftware.co.uk](http://www.capitafinancialsoftware.co.uk). Select 'Downloads' at the top left of the screen and then select Quay Software.

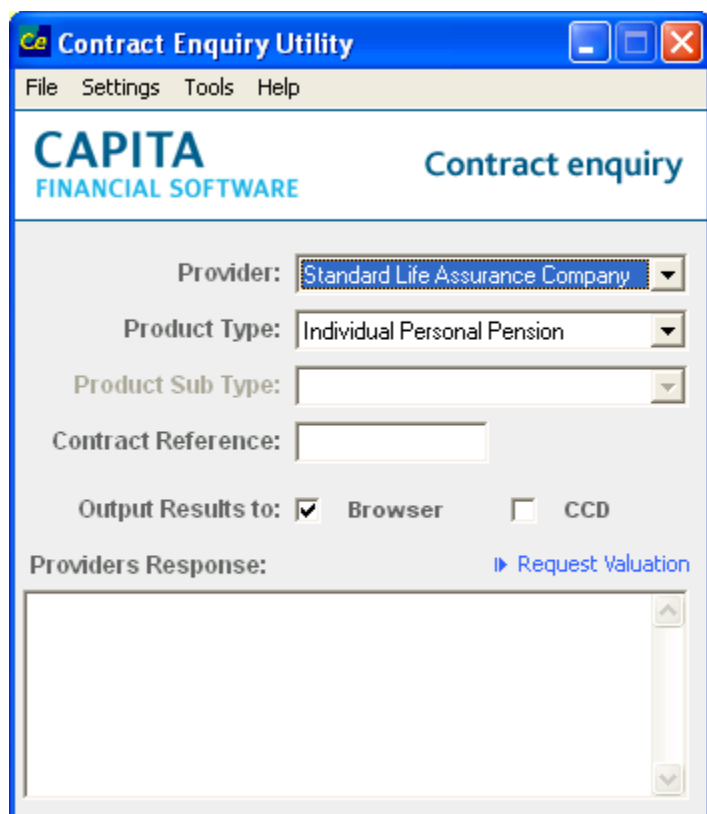
Once signed up for contract enquiry there are a number of options available in order to get information from the contract enquiry providers.

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



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

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



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

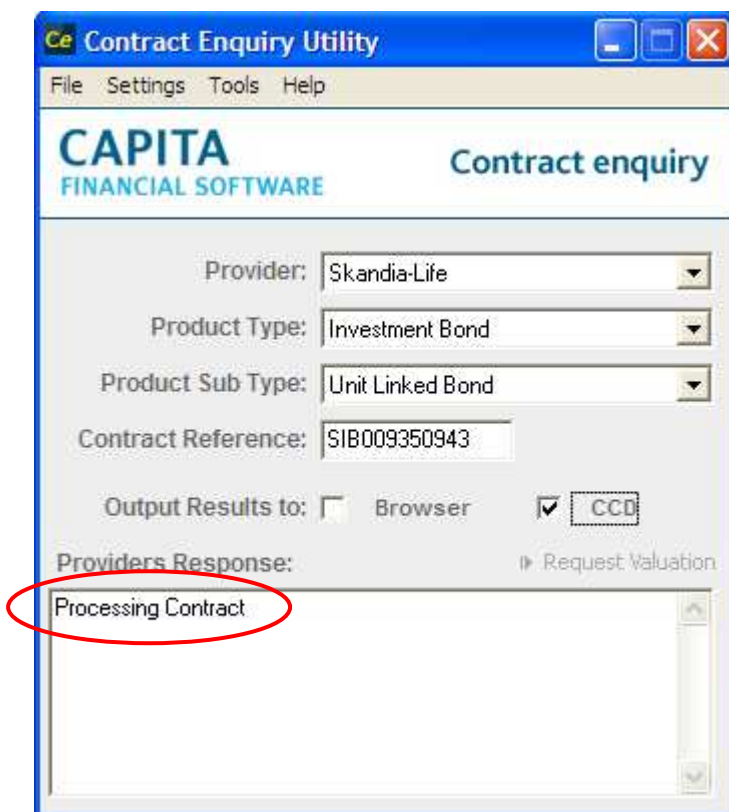
Output Results to: ☒ Browser and/or ☐ CCD

Output Results to: ☒ Browser will produce an on screen valuation indicating the client's contract details and fund information.

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

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

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



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



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



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





Valuation Report

### Valuation

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

### Current holdings

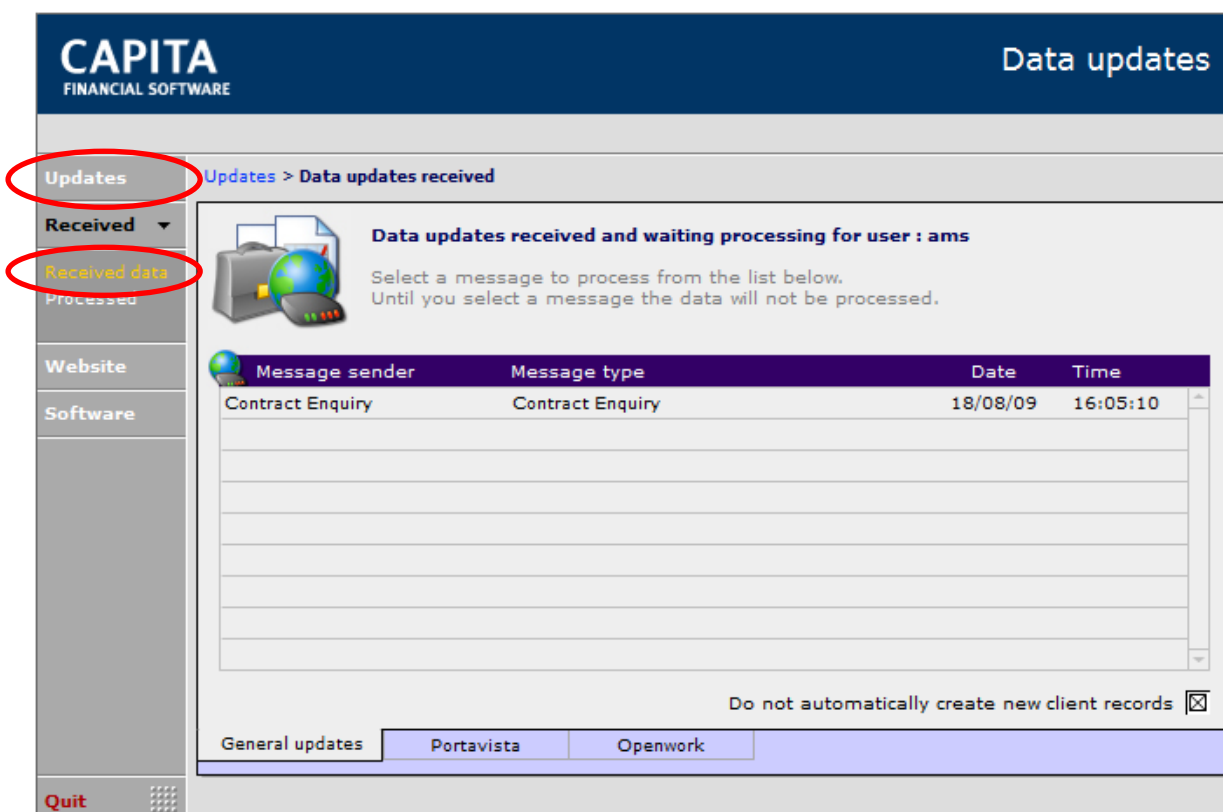
| Fund name     | Type of units held | Number of units held | Units valid at (date) | Unit price | Price valid (date) | Current value | Valuation currency |
|---------------|--------------------|----------------------|-----------------------|------------|--------------------|---------------|--------------------|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

### Current valuation (GBP)

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

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

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



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

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

For instance:

Valuation obtained by electronic Contract Enquiry on 16/05/2007. Cynthia Black

Clients > Holdings > Details > Assets > Position

Position Select asset

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

| Asset class     | Allocation % |
|-----------------|--------------|
| Cash            | 0%           |
| Gilts           | 25%          |
| Corporate Bonds | 25%          |
| UK Equity       | 50%          |
| Overseas Equity |              |
| Other           |              |

Important note: Please ensure that percentages are entered as whole numbers if using the Portavista integration.

Position Allocation Asset breakdown Notes / Factsheet Historic

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

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 an additional button now in the Clients module, which means if an individual CE update is done, it is simple to move from Clients to Updates > Received:

Clients > Holdings > Details

Contract details | Assets | Withdrawals | Analysis

Add note

Details | Notes

Self employed / employed: Self employed

Does this plan have premium waiver cover?: Yes Basis Own occupation

Return on death before retirement: Return of contributions

Insured lump sum:

In trust / beneficiaries nominated?: [View trustees / beneficiaries](#)

Selected retirement date: 16/11/2009 To age: 60 [Auto fill](#)

Commission administrator:

Fund Supermarket:

Discretionary Fund Manager:

Is a GAR applicable?: GAR Rate (if applic.):

Valuation data: Summary [Hint](#)

Date of current valuation: 18/12/2008 [View Notes](#)

Next scheduled valuation: 20/03/2010 [Valuation and reports](#)

[Electronic valuation available](#) [Update Values Now](#)

[Process electronic valuation within Updates Section](#)

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

CAPITA FINANCIAL SOFTWARE

Data updates

Fund Mapping

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

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

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

Contract Valuations

Exceptions () | Summary

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

| Contract Enquiry Provider | Contract Holder | Contract Num | Response Status |                         |
|---------------------------|-----------------|--------------|-----------------|-------------------------|
| Skandia                   | Black, C        | SI8009350943 | Warning         | <a href="#">Details</a> |

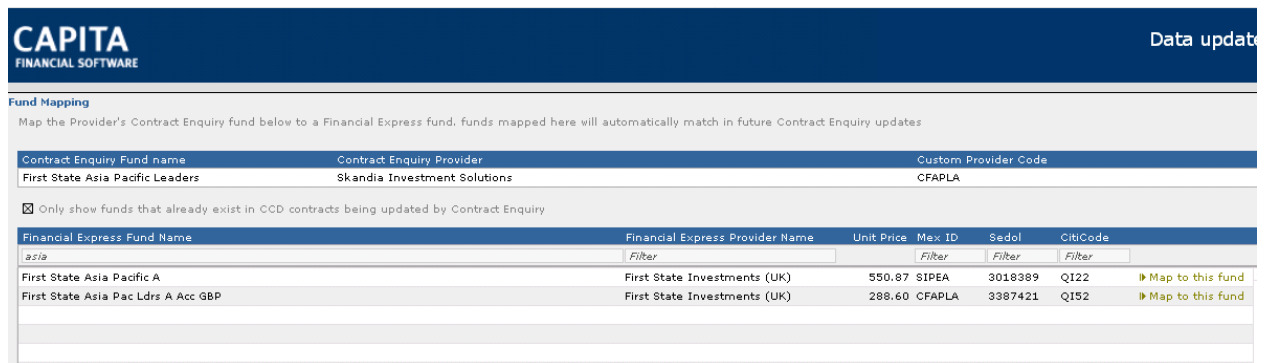
This section shows contracts that have comeback on the CE message that need some manual input. This is done on a client by client basis.

[Process Contract Enquiry](#)

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.

## 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.

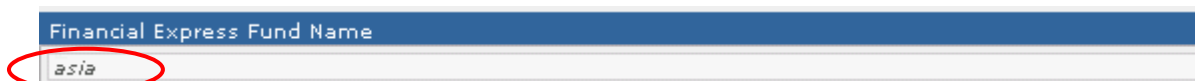


In this example the top part of the screen shows a fund which has been sent by the provider within a Contract Enquiry valuation. It cannot be mapped to a fund on Financial Express and so this needs to be done manually.

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

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

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



- 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.

| Financial Express Provider Name |
|---------------------------------|
| Filter                          |

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

| Mex ID | Sedol  | CitiCode |
|--------|--------|----------|
| Filter | Filter | Filter   |

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

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

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

**Provider Code Fund Mapping**  
 Are you sure you want to map this Contract Enquiry fund -  
 Balanced  
 to the Financial Express fund -  
 Skandia Balanced Pn?

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

**CAPITA**  
 FINANCIAL SOFTWARE

Data updates

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

**Client Detail**  
 Mr Dashawn Belton

**Contract Details**  
 Investment  
 Offshore Bond  
 Unit Linked Offshore Bond  
 200000896

**Message Detail**  
 Source: Skandia Investment Solutions  
 Warning Response  
 test  
 Message Description

☐ Show automatically matched assets

| Contract Enquiry Assets          | Matched CCD Assets                  | New                      | Existing CCD Assets              | Archive                  |
|----------------------------------|-------------------------------------|--------------------------|----------------------------------|--------------------------|
| First State Asia Pacific Leaders | <a href="#">Click here to match</a> | <input type="checkbox"/> | First State Asia Pacific Leaders | <input type="checkbox"/> |
|                                  |                                     |                          |                                  |                          |
|                                  |                                     |                          |                                  |                          |
|                                  |                                     |                          |                                  |                          |
|                                  |                                     |                          |                                  |                          |
|                                  |                                     |                          |                                  |                          |
|                                  |                                     |                          |                                  |                          |
|                                  |                                     |                          |                                  |                          |
|                                  |                                     |                          |                                  |                          |
|                                  |                                     |                          |                                  |                          |

Information from the Contract Enquiry for the holding.

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

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

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

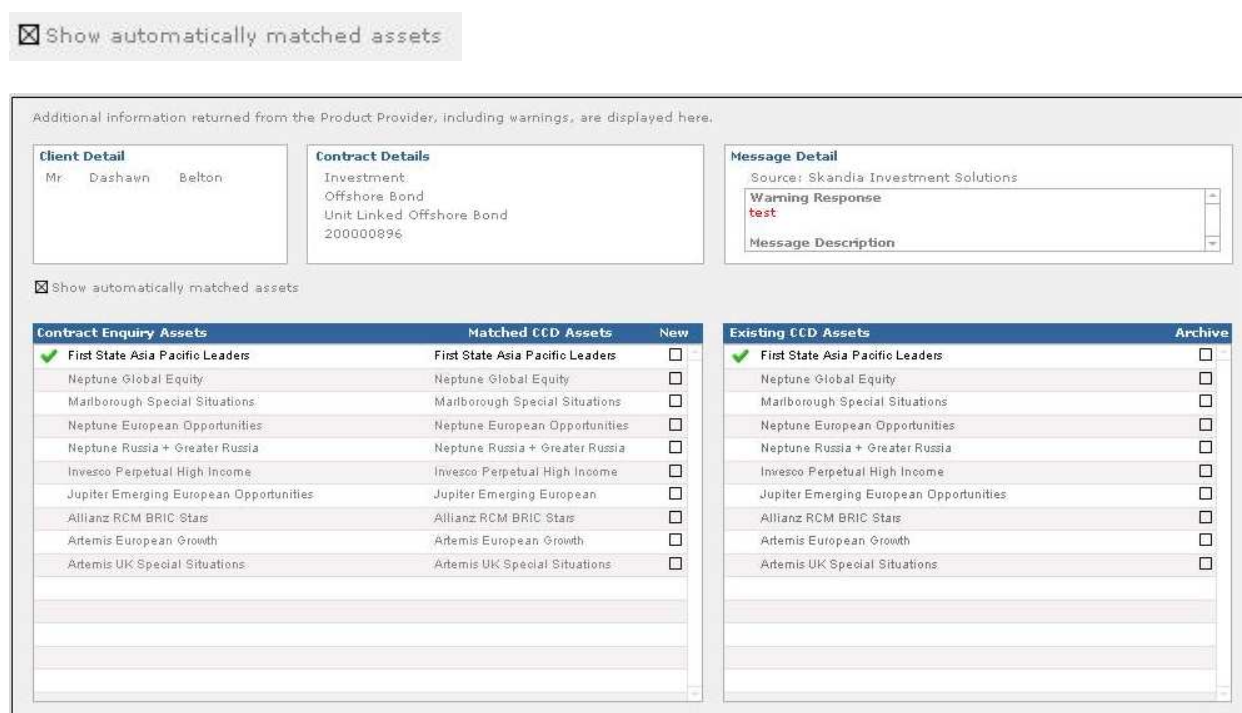
In the example above, the fund which has come in on the Contract Enquiry update needs to be manually matched to the appropriate fund which already exists on the clients holding.

To do this:



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

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



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



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

**Client Detail**  
 Mr. Kanye Beatty

**Contract Details**  
 Investment  
 Unit Trust  
 Unit trust  
 100064797

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

☐ Show automatically matched assets

**Contract Enquiry Assets**  
 ⚠ Artemis European Growth

**Matched CCD Assets**  
 Click here to match

**New**  
☐

**Existing CCD Assets**  
 ⚠ Cash

**Archive**  
☐

This fund needs to be created using 'New'.

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

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

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

**Contract Valuations**

Exceptions () Summary

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

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

| Contract Enquiry Provider      | Contract Holder | Contract Num | Response Status |           |
|--------------------------------|-----------------|--------------|-----------------|-----------|
| ✅ Skandia Investment Solutions | Beatty, K       | 100064797    | Success         | Details ⚠ |
| ✅ Skandia Investment Solutions | Belton, D       | 200000896    | Warning         | Details ⚠ |
| ✅ Skandia Investment Solutions | Ansbro, A       | 100060070    | Success         | Details ⚠ |
| ✅ Skandia Investment Solutions | Agen, M         | 100042359    | Success         | Details ⚠ |
| ✅ Skandia Investment Solutions | Anderson, L     | 100056279    | Success         | Details ⚠ |
| ✅ Skandia Investment Solutions | Allen, K        | 200001175    | Success         | Details ⚠ |

Exit Process Contract Enquiry

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

## 13.1 What to do if the incorrect fund has been selected

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:

Setup > Prices > Details

Details Portfolios **Provider Codes**

Provider reference Skandia Life Assurance Company Ltd.  
 Collective name Skandia Balanced Pn  
 Sector Balanced Managed  
 Investment type Collective  
 Sub type UK Pension Fund  
 Currency code GBX  
 SEDOL 0812818 Citicode SK25  
 Morningstar MEXID SKMP  
 Supermarkets CoFunds ☐ Fidelity ☐

**Fund price** Value date 06/04/2010 Bid price 1580.8000  
 Valuation (Bid) price 1,580.8000 Offer price 1663.9000  
 Mid price .0000  
 Daily change -2.1000  
 Yield 0.00%

Collective fact sheet [Skandia Balanced Pn](#)

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

Setup > Prices > Details > Provider Codes

Details Portfolios Provider Codes

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

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

Use this icon to undo the mapping.

**Warning**

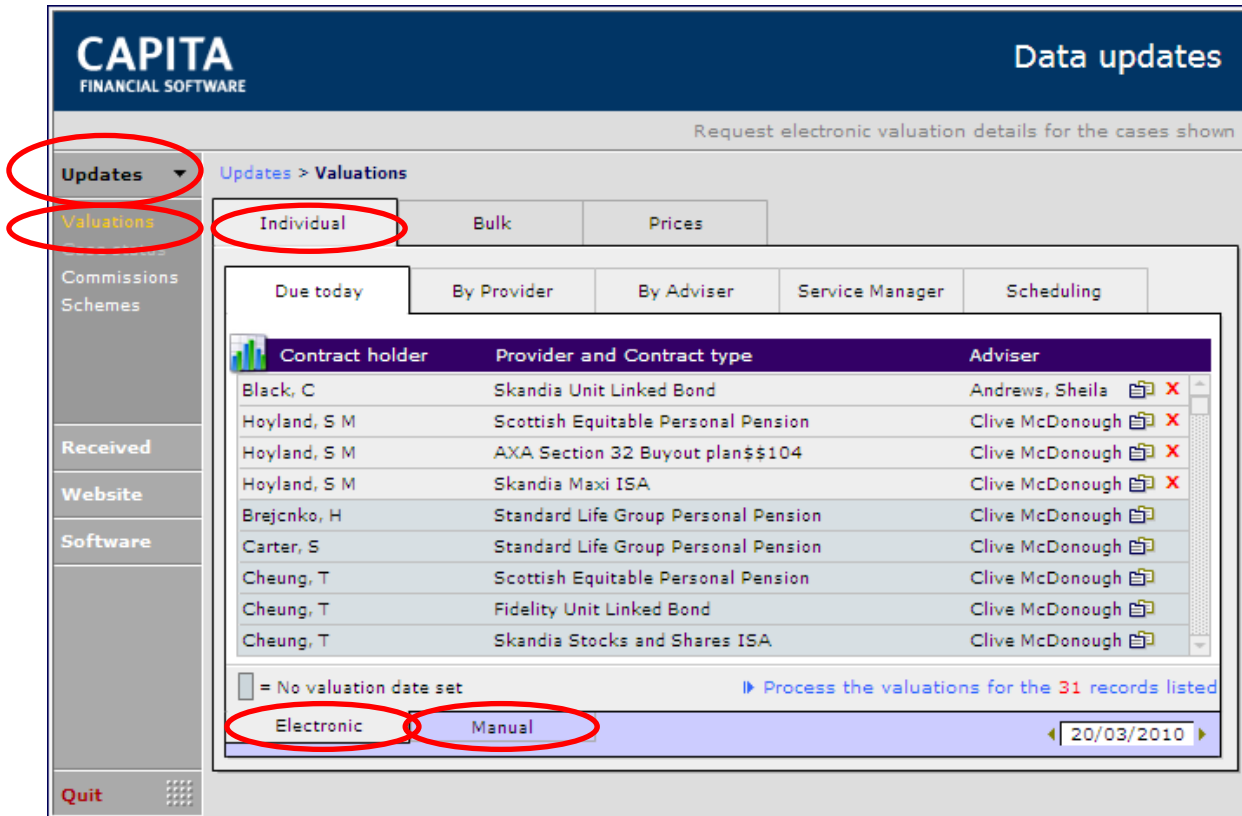
Are you sure you want to remove this Custom Provider Code?  
 Doing so may result in future CE updates needing rematching.

Cancel OK

Click OK to remove the mapping.

## 14. BULK VALUATIONS

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



**CAPITA FINANCIAL SOFTWARE** Data updates

Request electronic valuation details for the cases shown

Updates > Valuations

Individual Bulk Prices

Due today By Provider By Adviser Service Manager Scheduling

| Contract holder | Provider and Contract type           | Adviser           |
|-----------------|--------------------------------------|-------------------|
| Black, C        | Skandia Unit Linked Bond             | Andrews, Sheila X |
| Hoyland, S M    | Scottish Equitable Personal Pension  | Clive McDonough X |
| Hoyland, S M    | AXA Section 32 Buyout plan \$104     | Clive McDonough X |
| Hoyland, S M    | Skandia Maxi ISA                     | Clive McDonough X |
| Brejcnko, H     | Standard Life Group Personal Pension | Clive McDonough   |
| Carter, S       | Standard Life Group Personal Pension | Clive McDonough   |
| Cheung, T       | Scottish Equitable Personal Pension  | Clive McDonough   |
| Cheung, T       | Fidelity Unit Linked Bond            | Clive McDonough   |
| Cheung, T       | Skandia Stocks and Shares ISA        | Clive McDonough   |

☐ = No valuation date set [Process the valuations for the 31 records listed](#)

Electronic Manual 20/03/2010

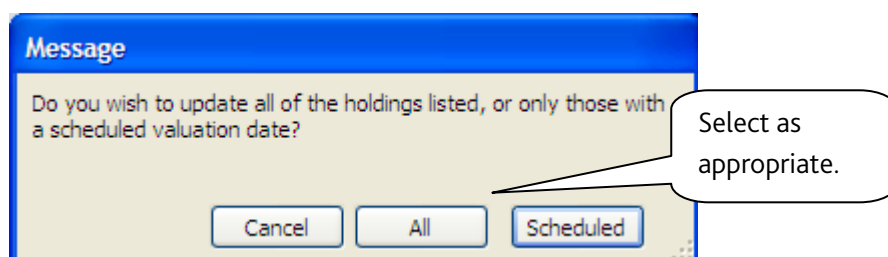
All valuations selected as due today in the Clients servicing section will appear in either the 'Electronic' or 'Manual' tabs of Updates > Valuations. Those Holdings that have an X next to them are due today. The X can be used to remove the Holding from this valuation list.

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

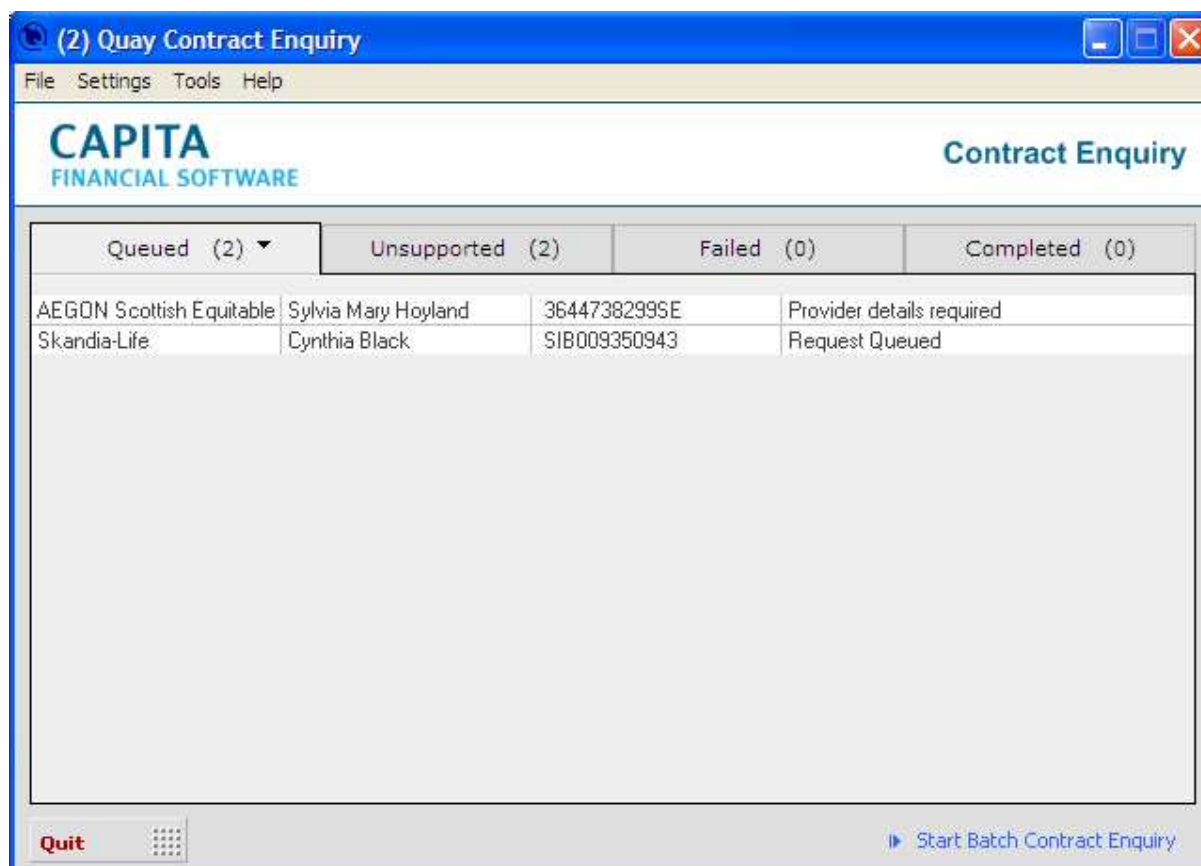
Under 'Electronic' valuations all contracts that can be valued by Contract Enquiry will be listed. This list may comprise of more than 1 client.

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

[Process the valuations for the 31 records listed](#) link. The following message will be displayed:

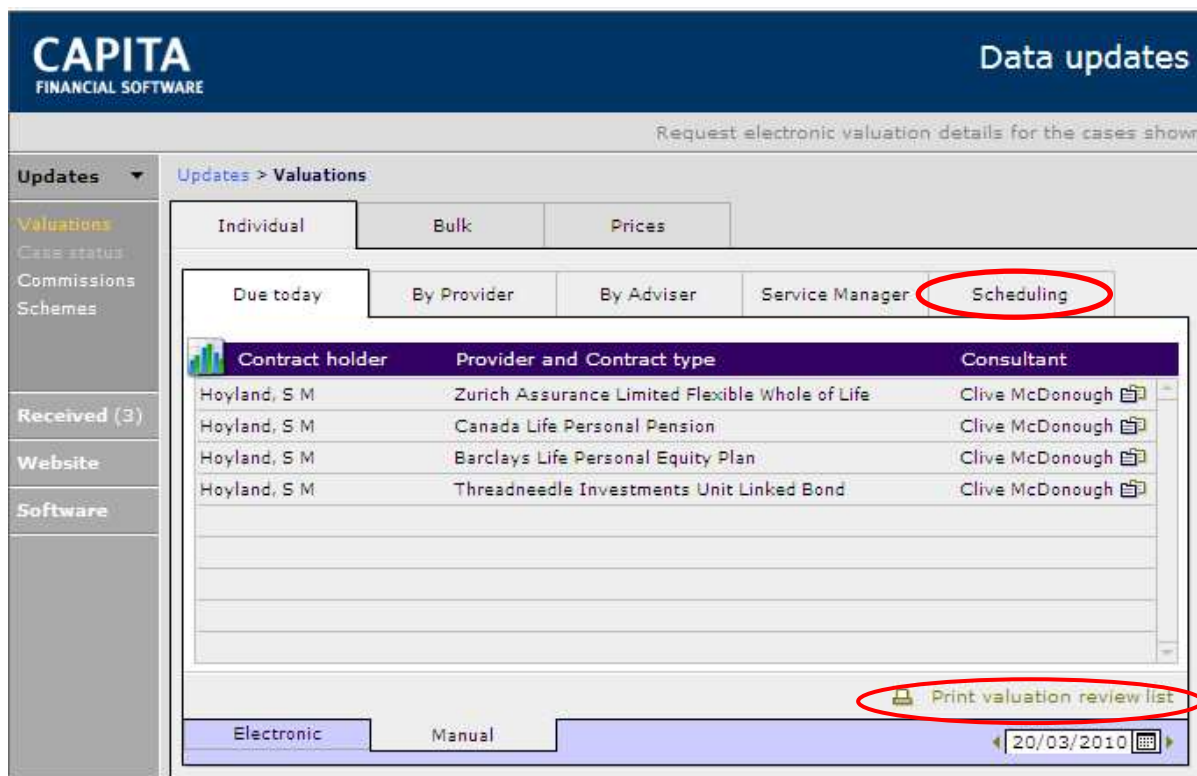


This will take you through to the bulk contract enquiry screen.



All the holdings waiting for valuation via contract enquiry will be listed here, click onto the [Start Batch Contract Enquiry](#) to start the Contract Enquiry update. All the valuations will then carry over to the received tab in the updates section ready for update to the Client's holdings.

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



**CAPITA**  
FINANCIAL SOFTWARE

**Data updates**

Request electronic valuation details for the cases shown

Updates > Valuations

Individual Bulk Prices

Due today By Provider By Adviser Service Manager **Scheduling**

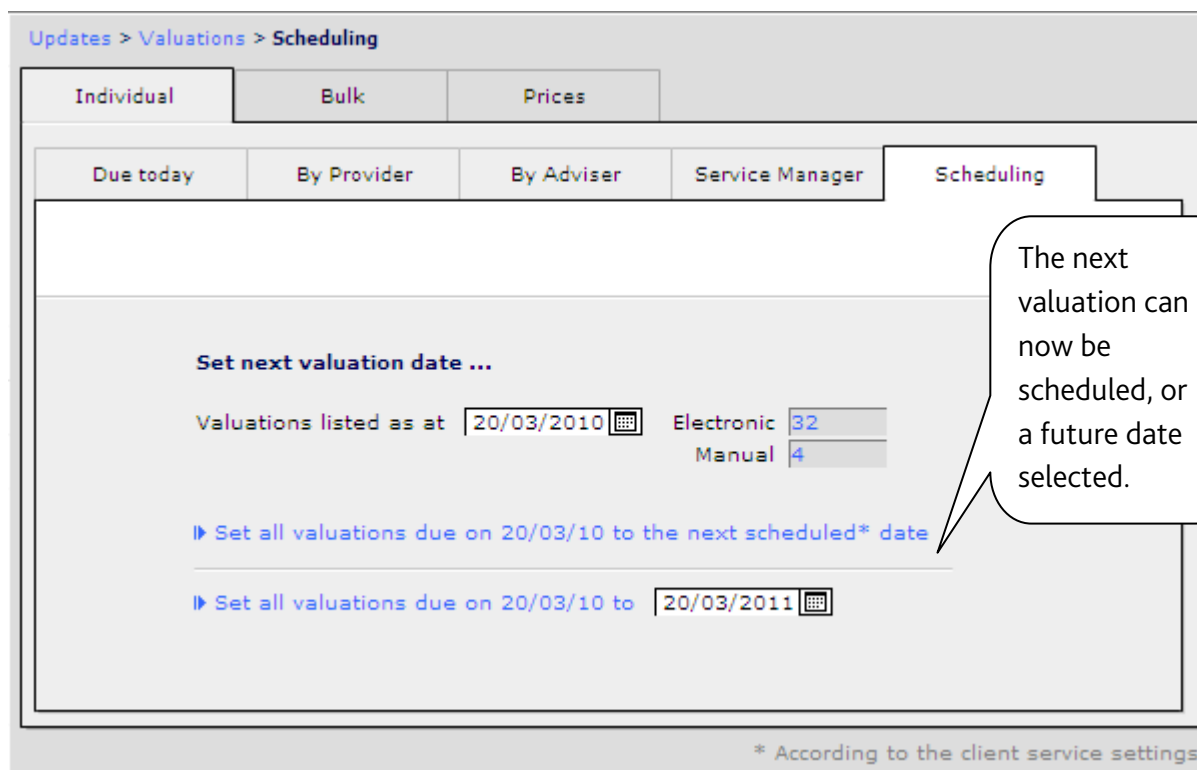
| Contract holder | Provider and Contract type                      | Consultant      |
|-----------------|---|-----------------|
| Hoyland, S M    | Zurich Assurance Limited Flexible Whole of Life | Clive McDonough |
| Hoyland, S M    | Canada Life Personal Pension                    | Clive McDonough |
| Hoyland, S M    | Barclays Life Personal Equity Plan              | Clive McDonough |
| Hoyland, S M    | Threadneedle Investments Unit Linked Bond       | Clive McDonough |

Electronic Manual

Print valuation review list

20/03/2010

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



Updates > Valuations > Scheduling

Individual Bulk Prices

Due today By Provider By Adviser Service Manager **Scheduling**

**Set next valuation date ...**

Valuations listed as at 20/03/2010

|            |    |
|------------|----|
| Electronic | 32 |
| Manual     | 4  |

► Set all valuations due on 20/03/10 to the next scheduled\* date

► Set all valuations due on 20/03/10 to 20/03/2011

\* According to the client service settings

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

On the scheduling tab there are 2 options for resetting the valuation dates for all the contracts listed for valuation today.

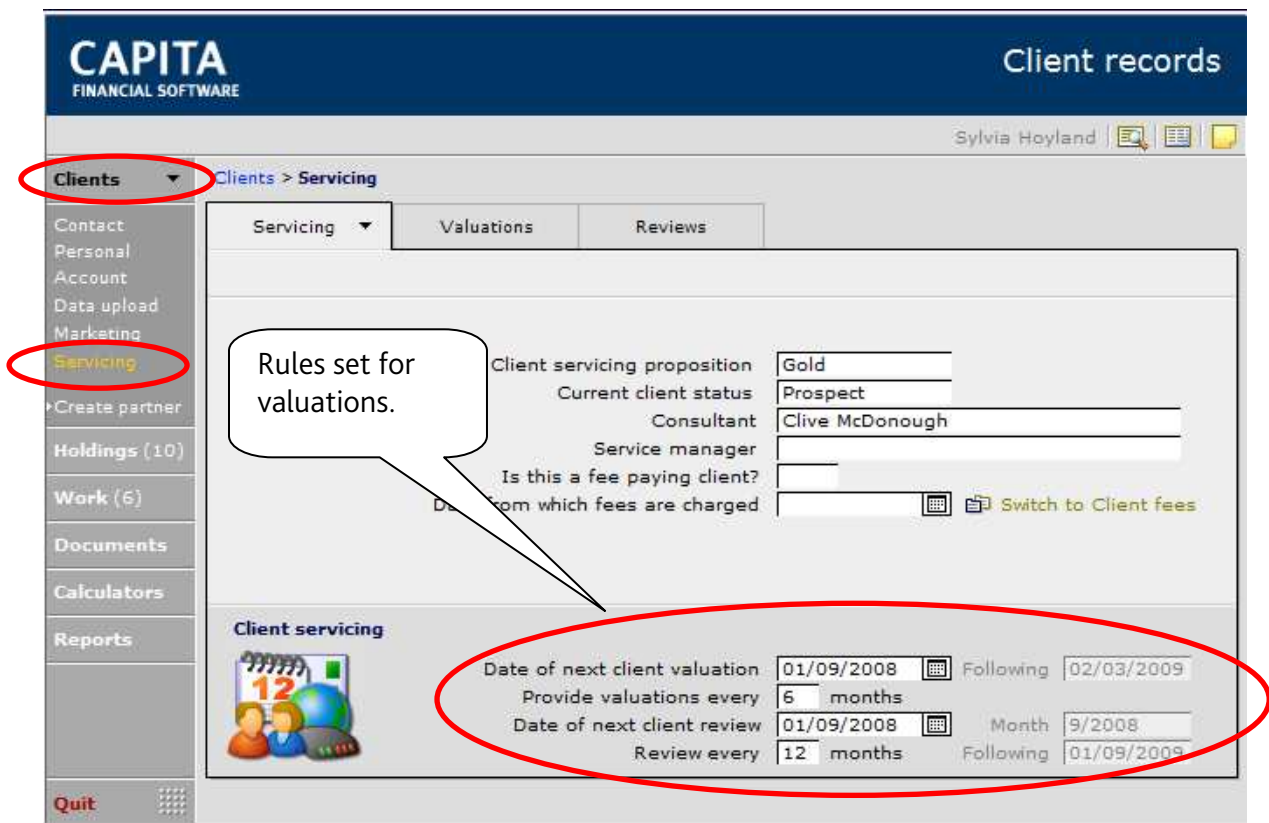
► Set all valuations due on 01/09/08 to the next scheduled\* date

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

► Set all valuations due 01/09/08 to next fall due on 01/01/2000

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.

To demonstrate this, the screen shot below shows all of the client’s valuations set in servicing after ► Set all valuations due on 01/09/08 to the next scheduled\* date has been selected.



**CAPITA**  
FINANCIAL SOFTWARE

Client records

Sylvia Hoyland

**Clients** ▾ Clients > Servicing

Contact  
Personal  
Account  
Data upload  
Marketing  
**Servicing**  
Create partner  
Holdings (10)  
Work (6)  
Documents  
Calculators  
Reports  
Quit

Servicing ▾ Valuations Reviews

Rules set for valuations.

Client servicing proposition Gold  
Current client status Prospect  
Consultant Clive McDonough  
Service manager  
Is this a fee paying client?  
Date from which fees are charged

Switch to Client fees

**Client servicing**

Date of next client valuation 01/09/2008 Following 02/03/2009  
Provide valuations every 6 months  
Date of next client review 01/09/2008 Month 9/2008  
Review every 12 months Following 01/09/2009



**CAPITA**  
FINANCIAL SOFTWARE


Client records

Sylvia Hoyland



Clients > Servicing

Servicing **Valuations** Reviews

Add note

Client servicing proposition: Gold  
 Current client status: Prospect  
 Adviser: Clive McDonough  
 Service manager:  
 Is this a fee paying client?:  
 Date from which fees are charged:   [Switch to Client fees](#)

**Client servicing**

Date of next client valuation: 20/03/2010  Following: 18/09/2010  
 Provide valuations every: 6 months  
 Date of next client review: 10/04/2010  Month: 4/2010  
 Review every: 12 months Following: 10/04/2011

Servicing notes

**CAPITA**  
FINANCIAL SOFTWARE










Data updates

Request electronic valuation details for the cases shown

Updates > Valuations

Individual Bulk Prices

Due today By Provider By Adviser Service Manager Scheduling

| Contract holder | Provider and Contract type           | Adviser   |
|-----------------|--------------------------------------|---|
| Hoyland, S M    | Scottish Equitable Personal Pension  | Clive McDonough  X |
| Hoyland, S M    | AXA Section 32 Buyout plan \$104     | Clive McDonough  X |
| Hoyland, S M    | Skandia Maxi ISA                     | Clive McDonough  X |
| Black, C        | Skandia Unit Linked Bond             | Andrews, Sheila    |
| Black, P        | Skandia Unit Linked Bond             | Andrews, Sheila    |
| Brejcnko, H     | Standard Life Group Personal Pension | Clive McDonough    |
| Carter, S       | Standard Life Group Personal Pension | Clive McDonough    |
| Cheung, T       | Scottish Equitable Personal Pension  | Clive McDonough    |
| Cheung, T       | Fidelity Unit Linked Bond            | Clive McDonough    |

☐ = No valuation date set [Process the valuations for the 32 records listed](#)

Electronic Manual **20/03/2010**



As you will see from the clients record the front “rule” screen has not changed but the dates set for each contract to be renewed have changed and carried forward in the valuation diary in the updates section.