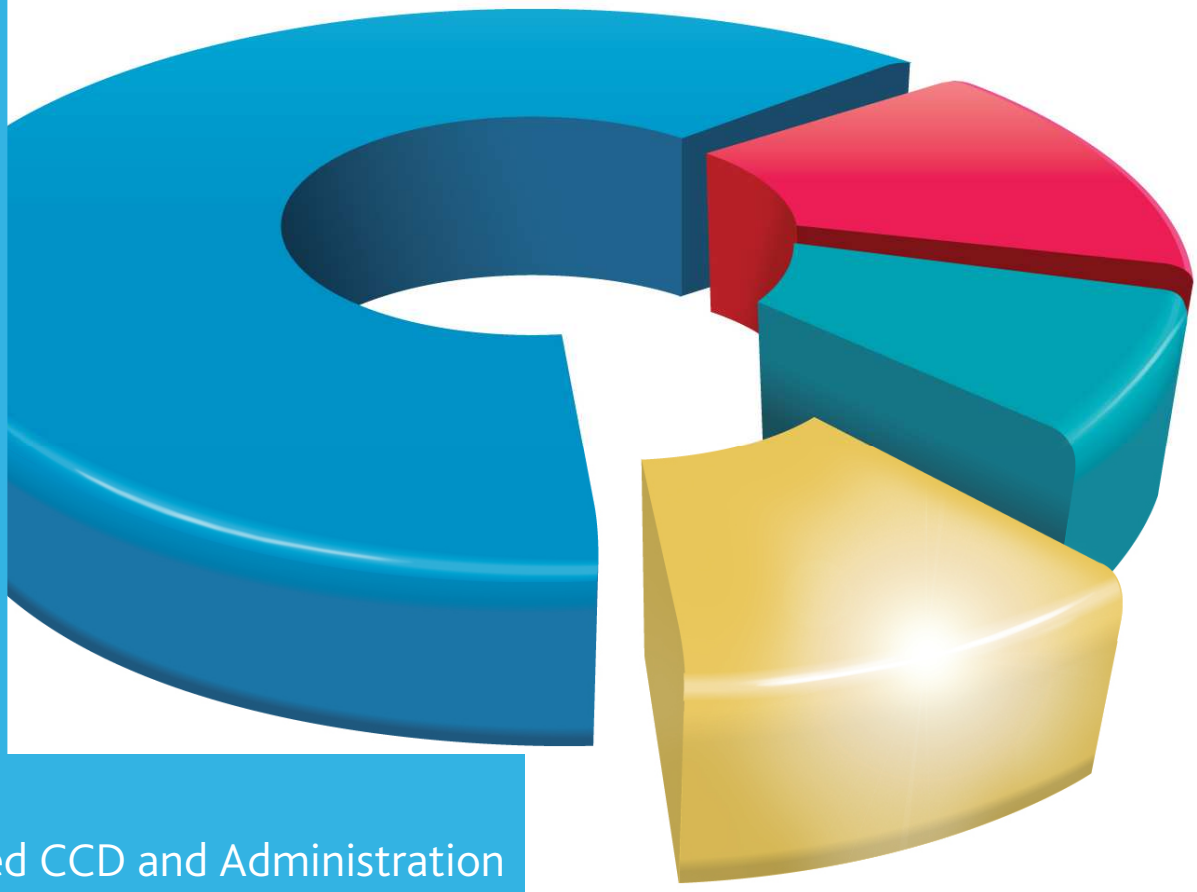
CAPITA
FINANCIAL SOFTWARE

quaysoftware

# Client Care Desktop v4.1



## Advanced CCD and Administration
## Client Care Desktop V4.1

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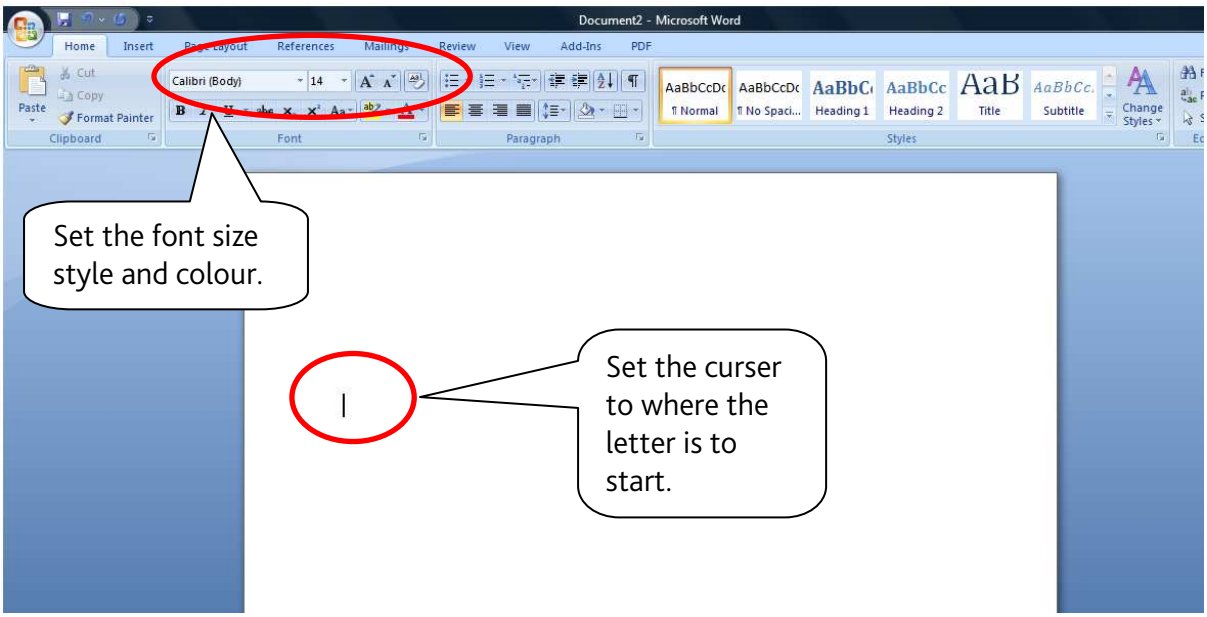
# 1. GETTING READY TO USE STANDARD LETTERS

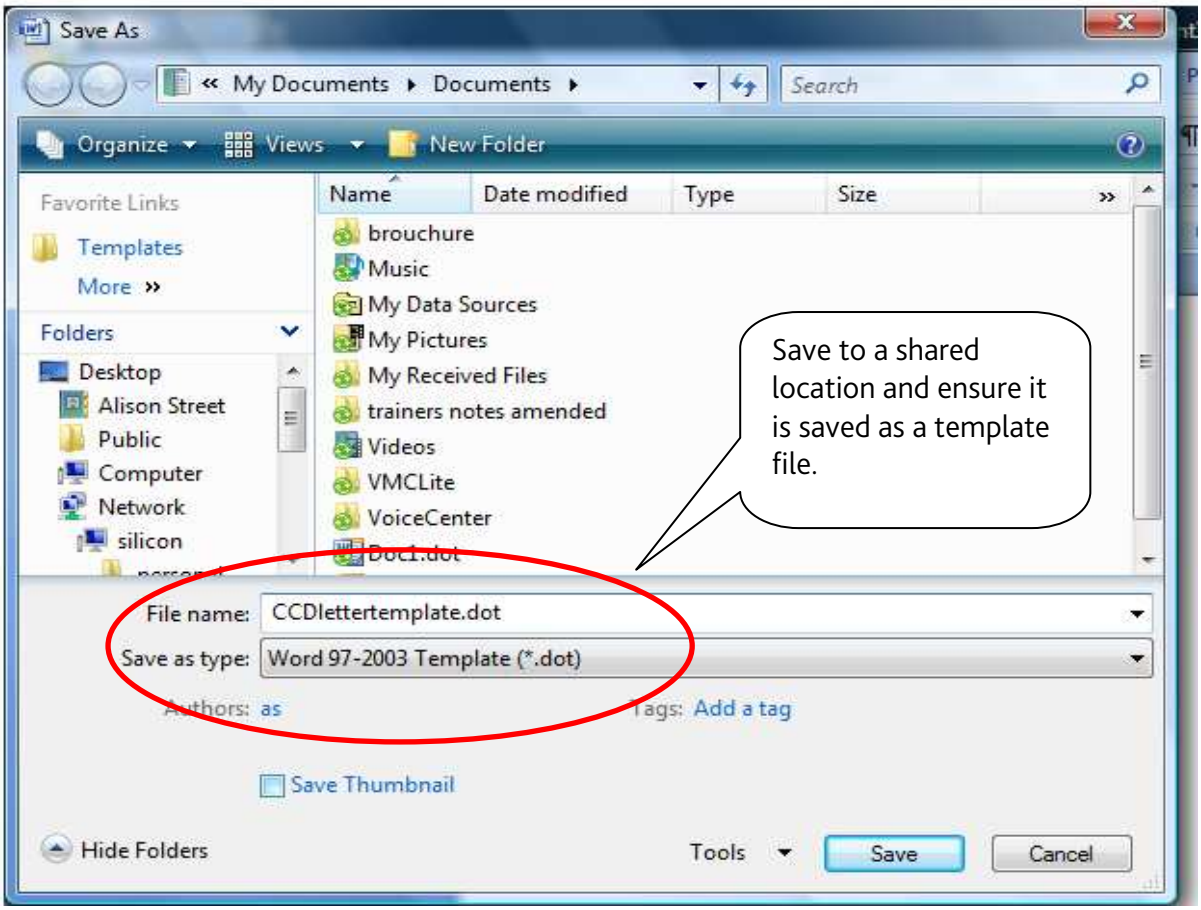
CCD will allow you to store copies of all your standard letters for ease of use and storage. Before you can use these letters some set up is required.

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.

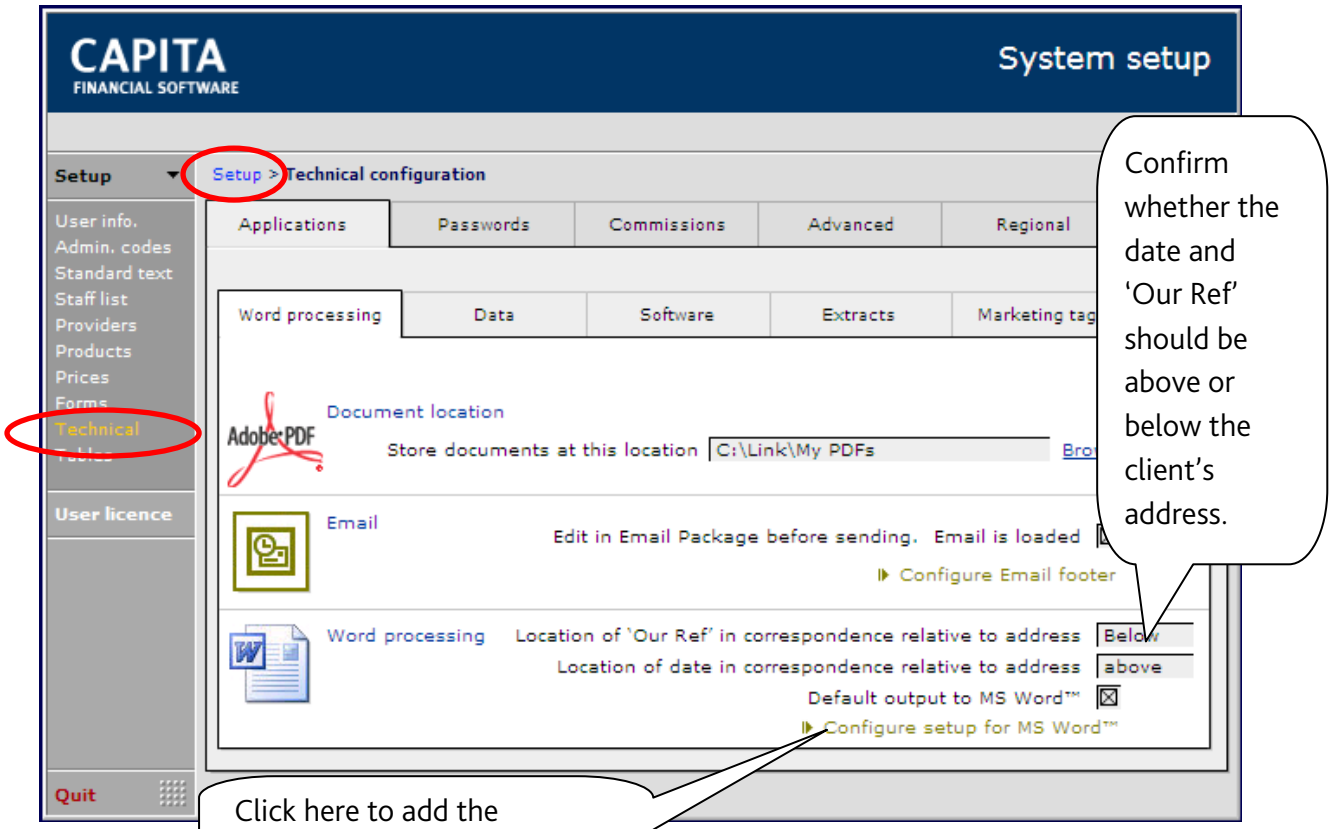
You must first set up a Word document Template (.dot) file. Go into a blank MS Word document set the font style size & colour, set tabs and leave the curser flashing where printing is to start (below any printed letter head).

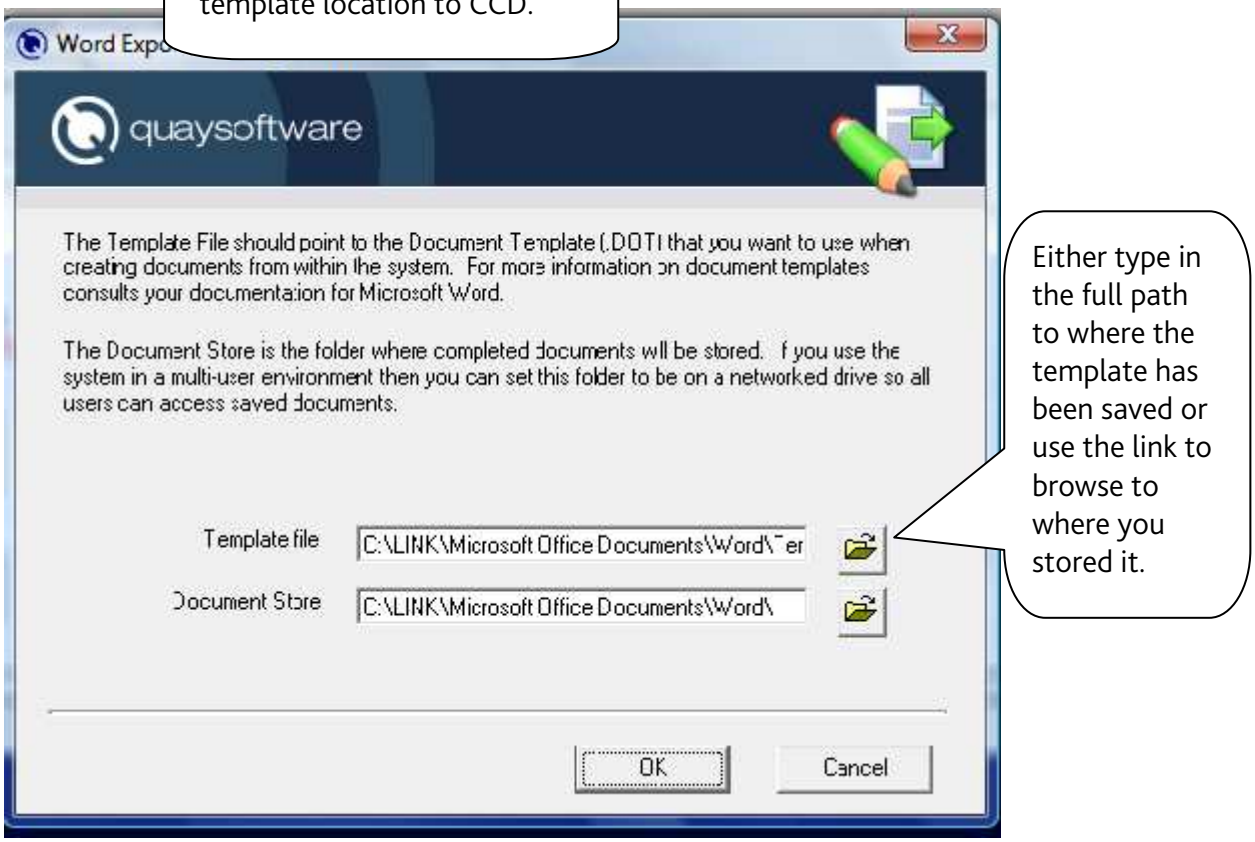



Once the template is set, save it as a template to a shared location. (The template needs to be accessible to all CCD users).




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

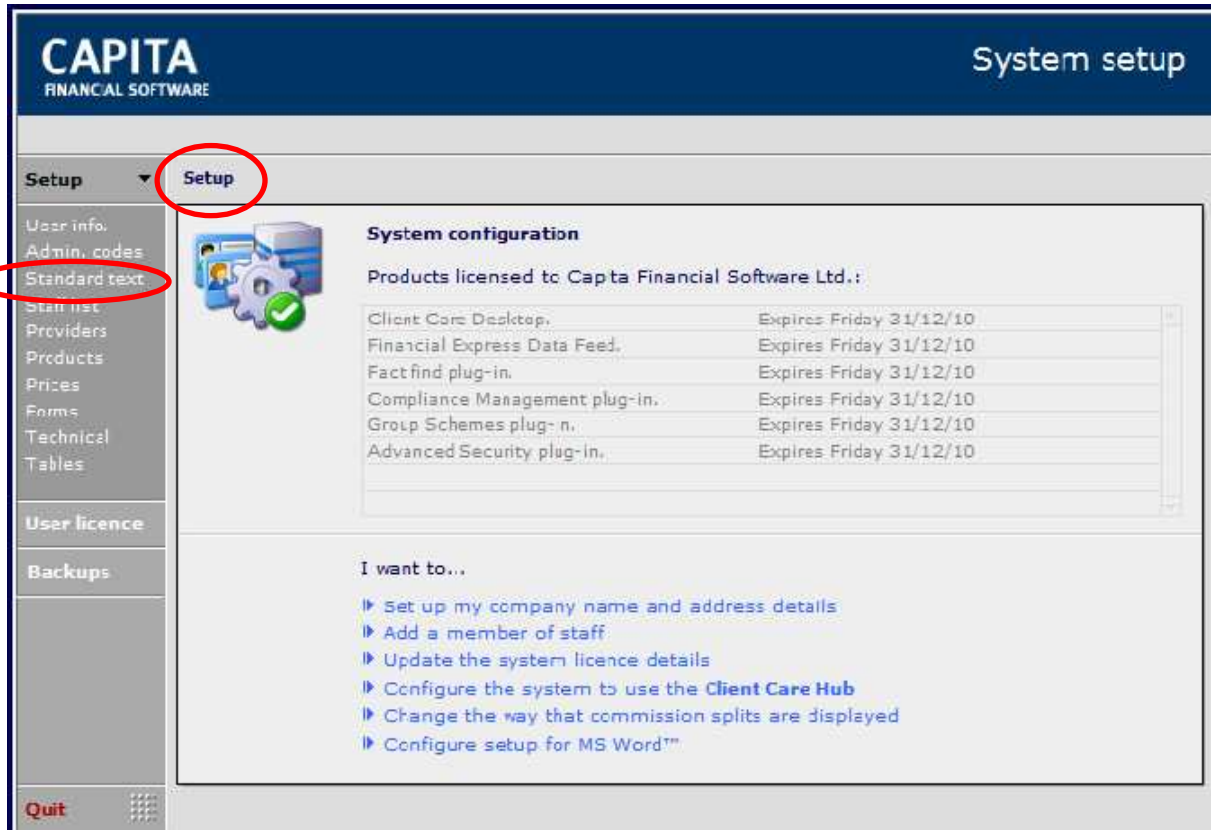


The location of your letter template has now been saved to CCD.

## 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.



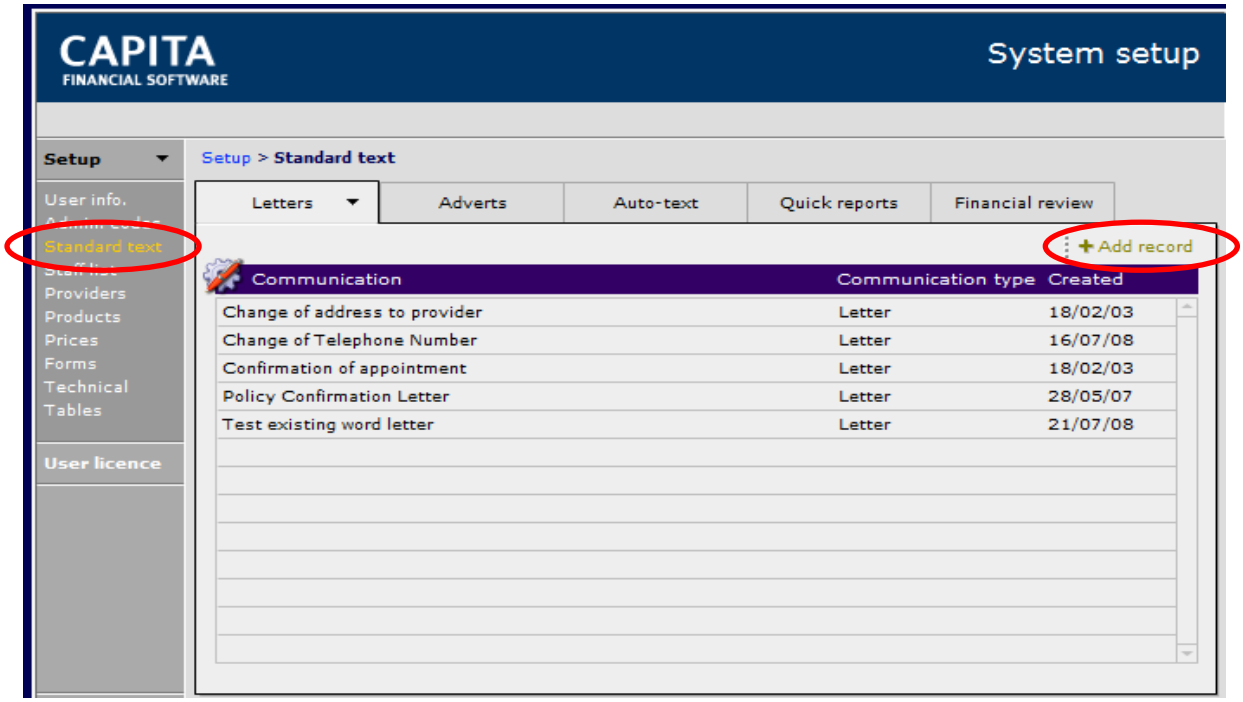

There are 4 ways to add letters to CCD

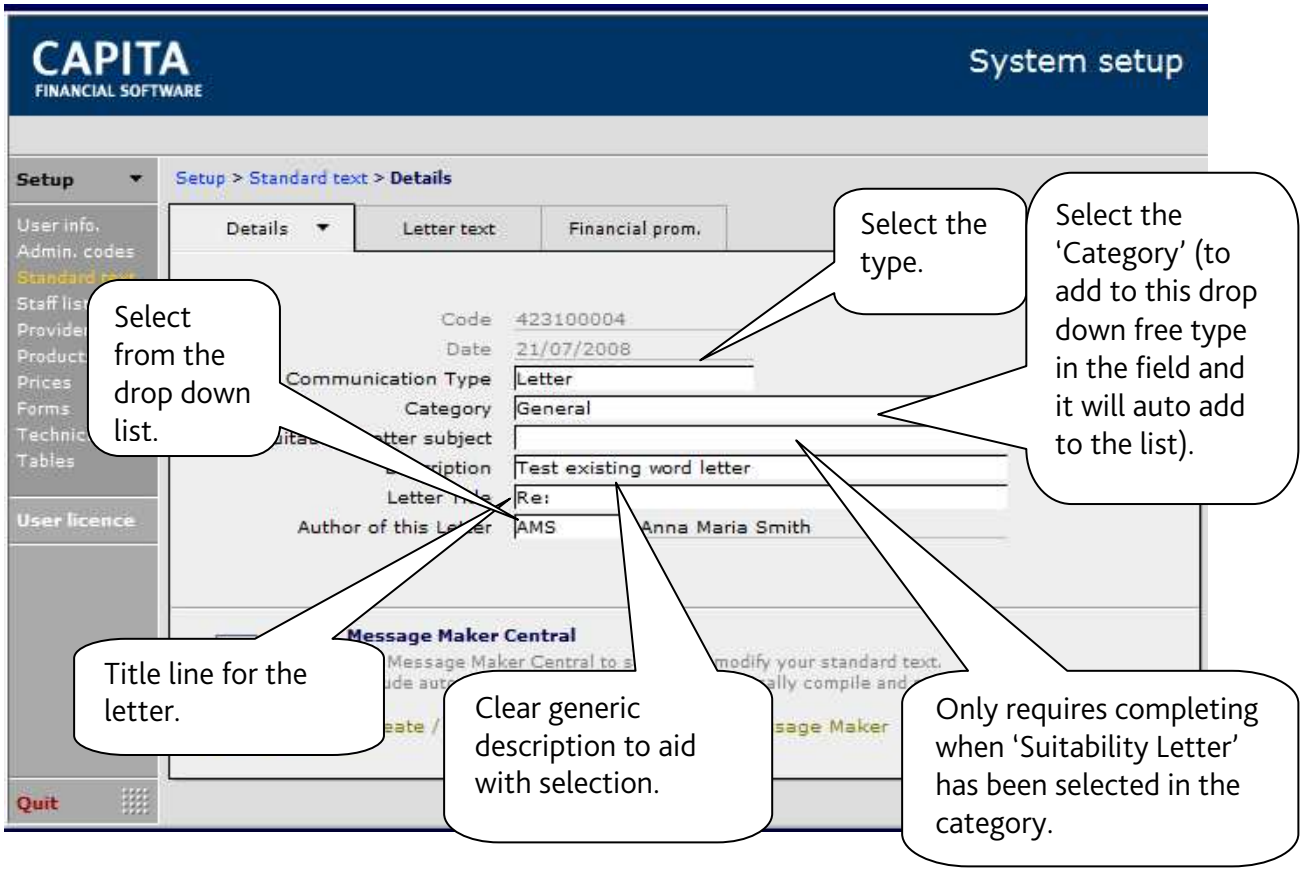
1. Copy and paste existing word letters.
2. Type new standard letters
3. Use the Message Maker function to create letters that include merge fields from information added to the clients, holdings or providers files.
4. Use existing word letters and via the message maker function add the merge fields.

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.

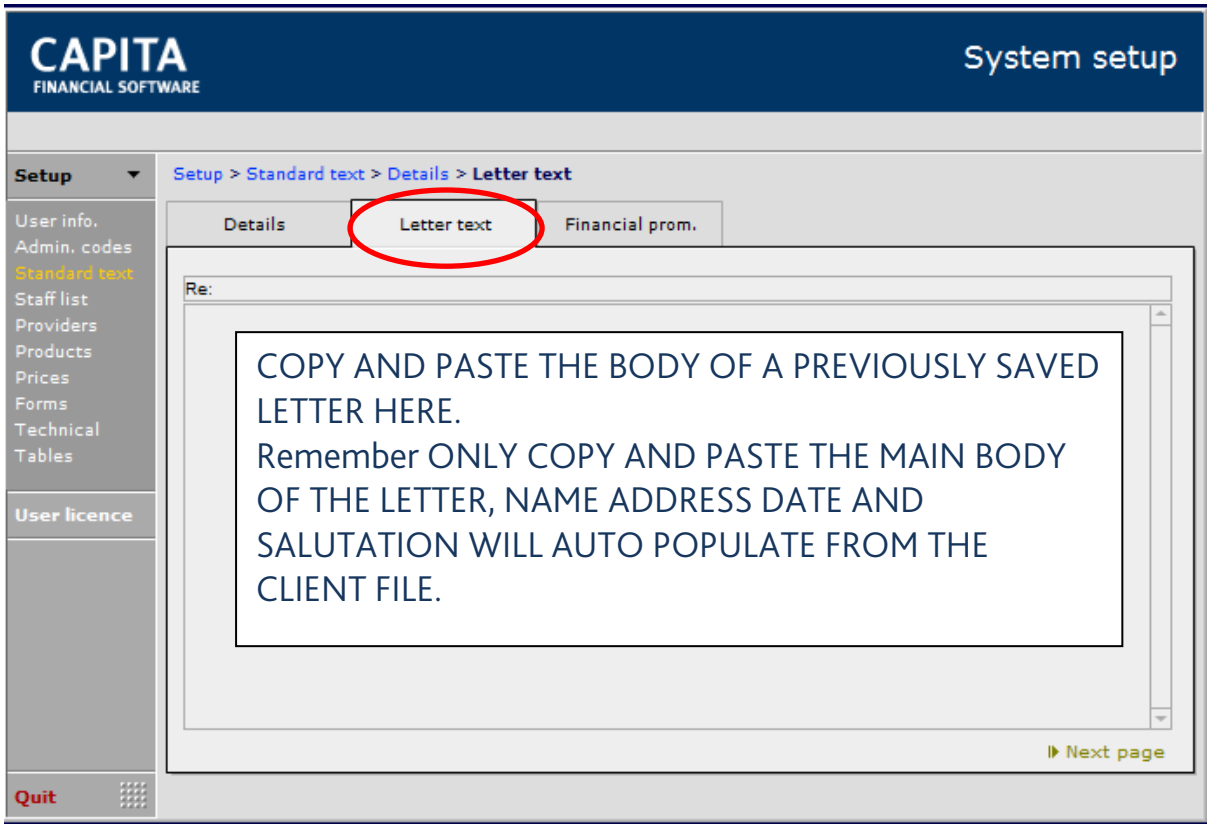
## 2.1. Copy and Paste existing word letters

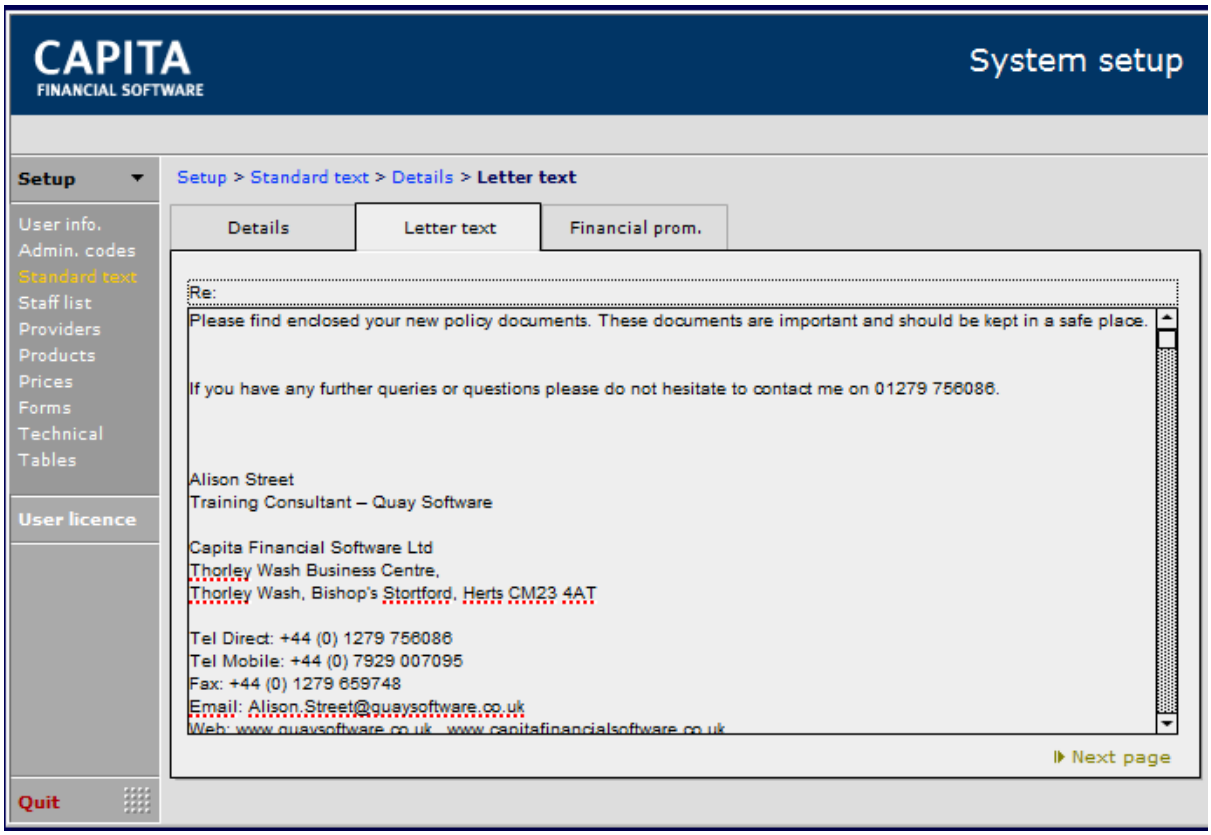
If you already have letters saved on your system there is no need to retype the body of the letter this can be copy and pasted into the standard letter section of CCD.



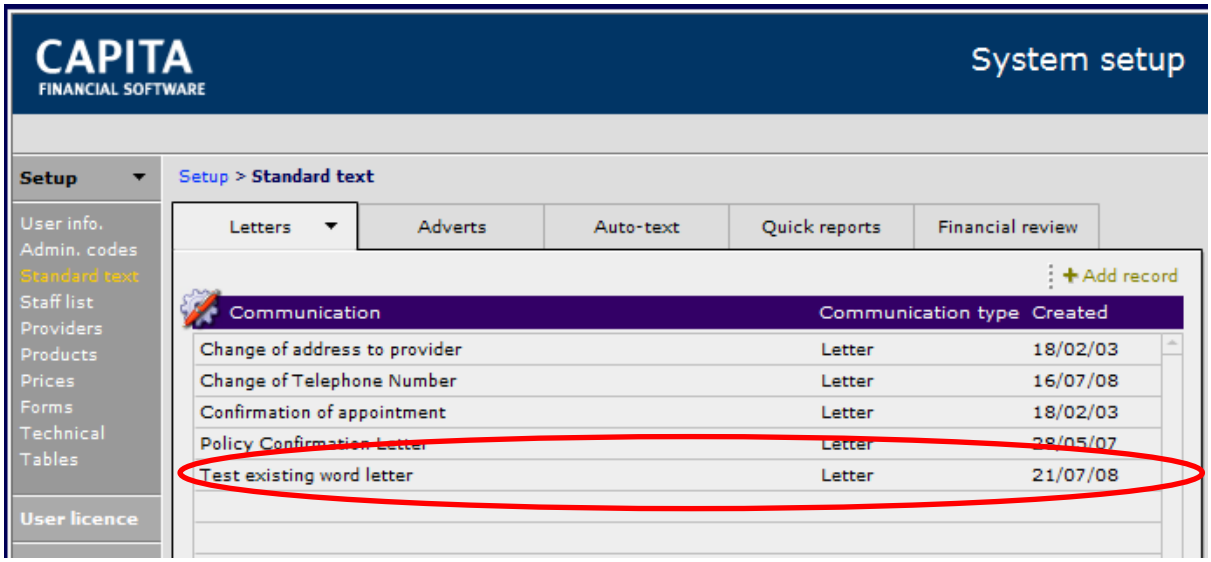



Once all the details have been added go to the letter text tab.

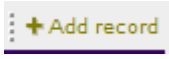


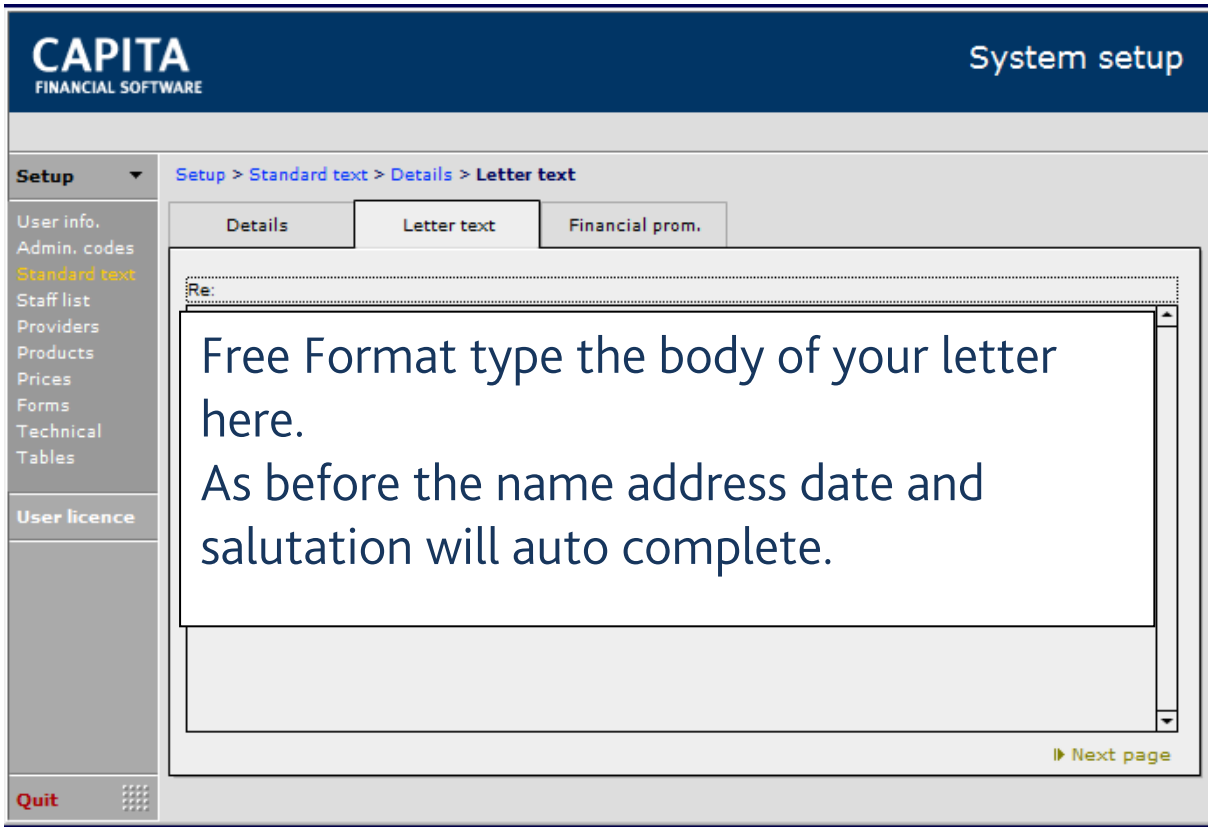
The letter is now available for selection in the clients/holdings module.



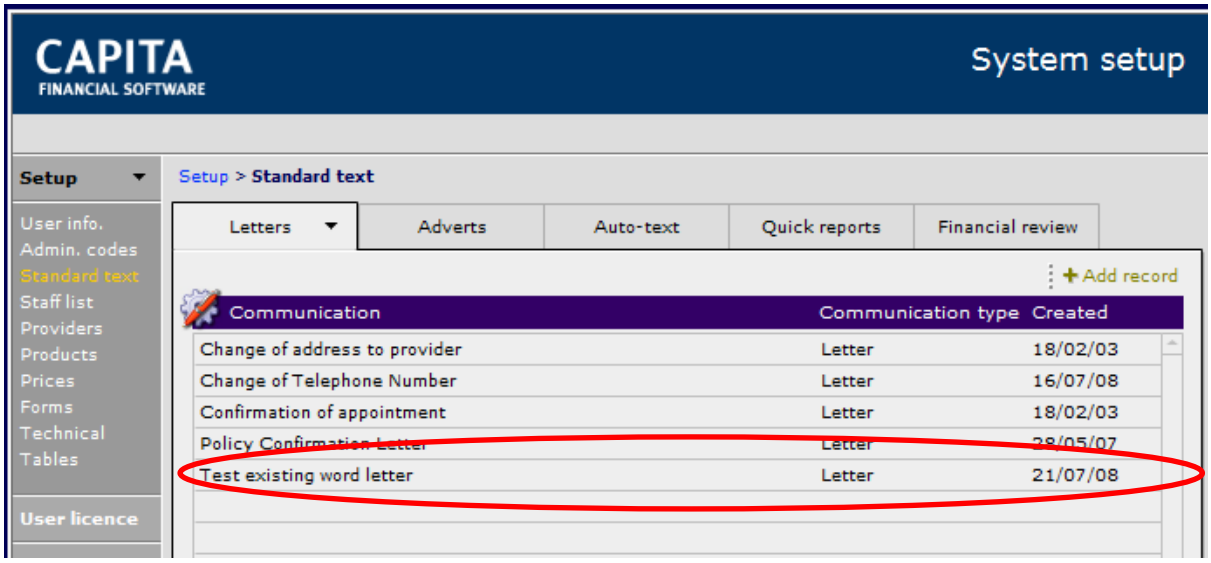

## 2.2. Type in a new standard letter




And complete the letter identification fields as above.

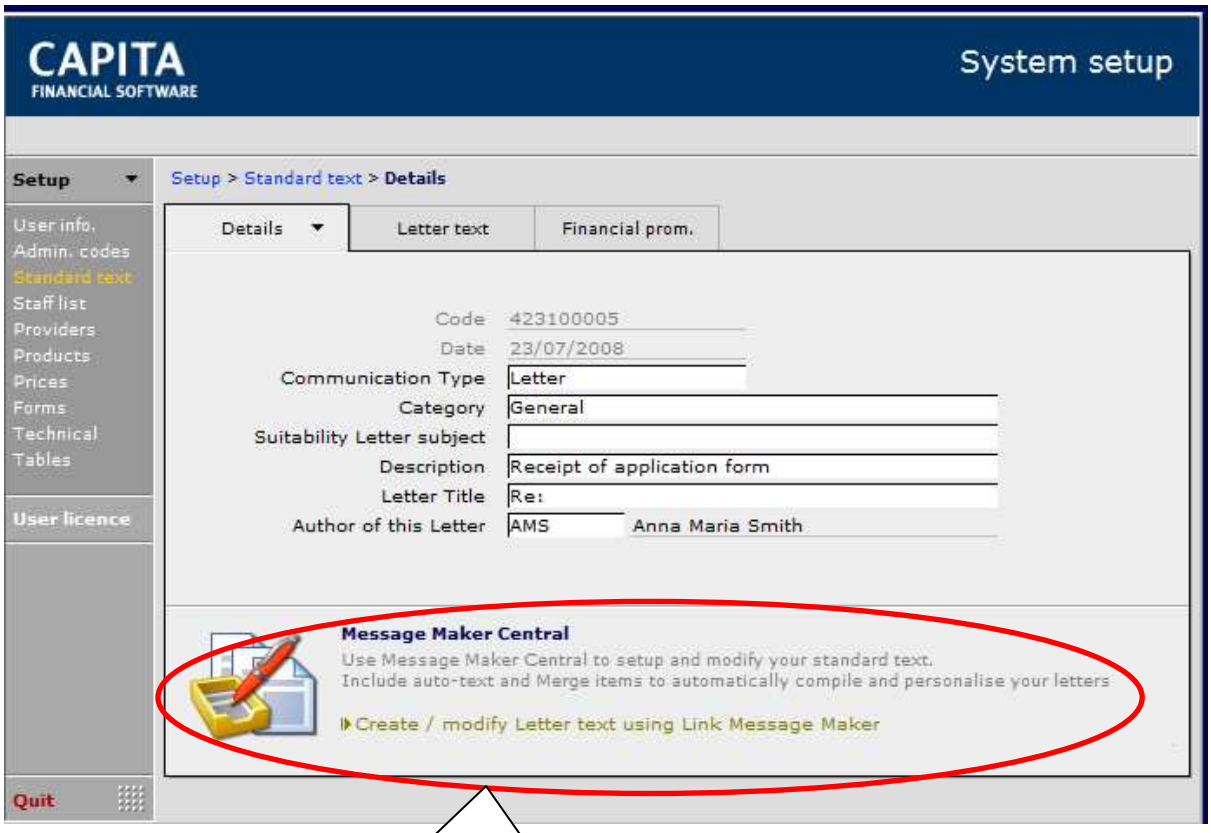



The letter is now available for selection in the clients/holdings module.



## 2.3 Using Message Maker to set up Standard Letters

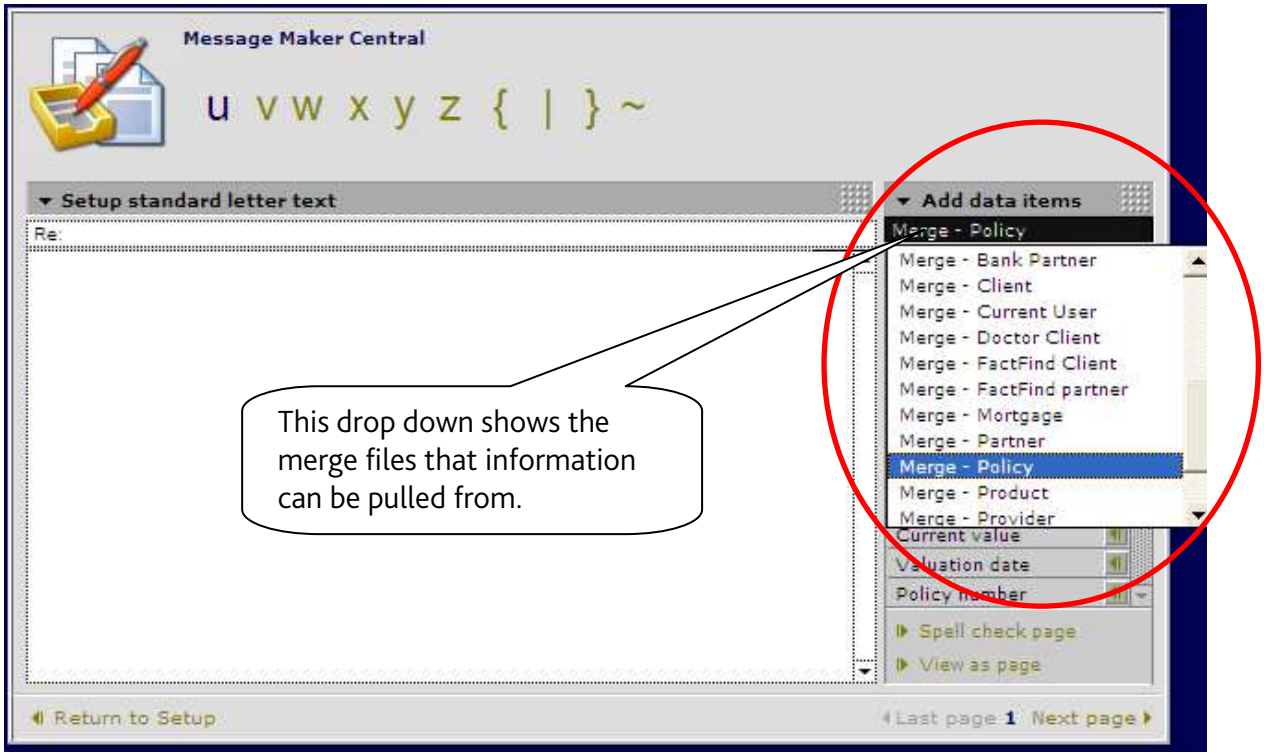
The advantages to using the message maker function in CCD is that information that has been entered on the client's or holding file can be inserted into a standard letter, individually tailoring standard letters.

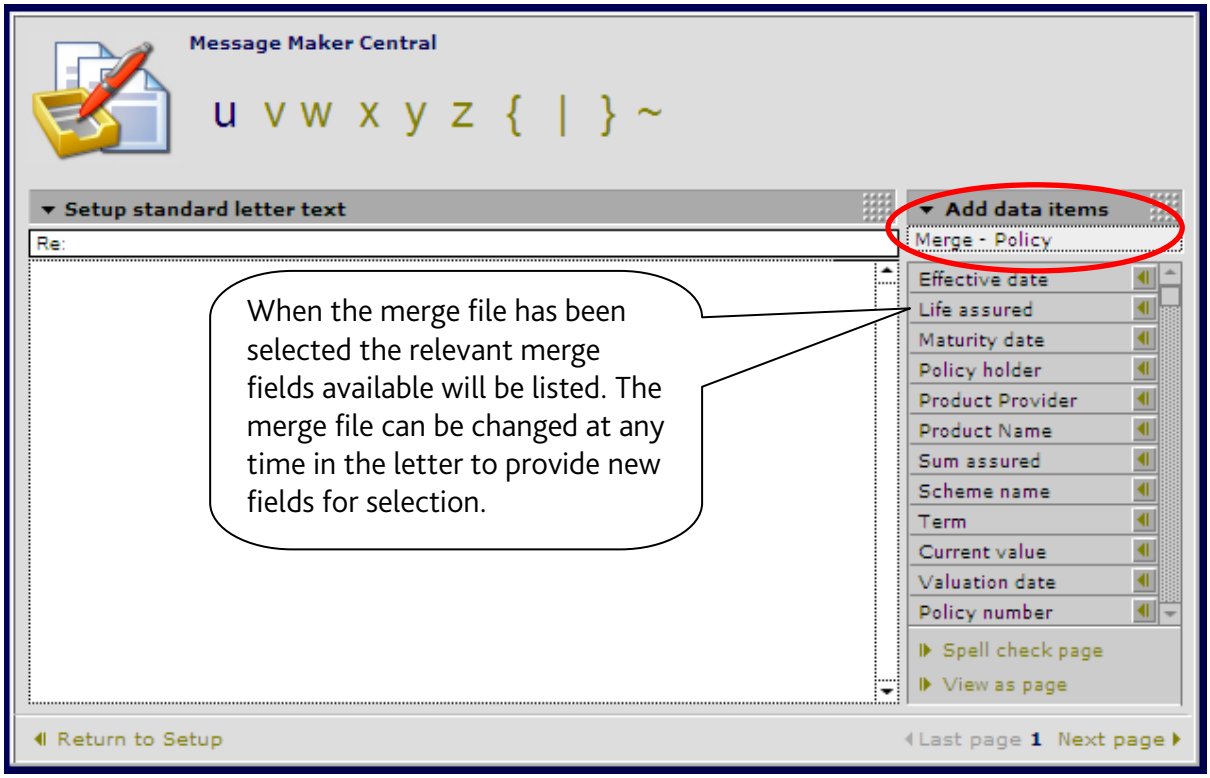



Complete the letter identification details above as before and then click onto the

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.

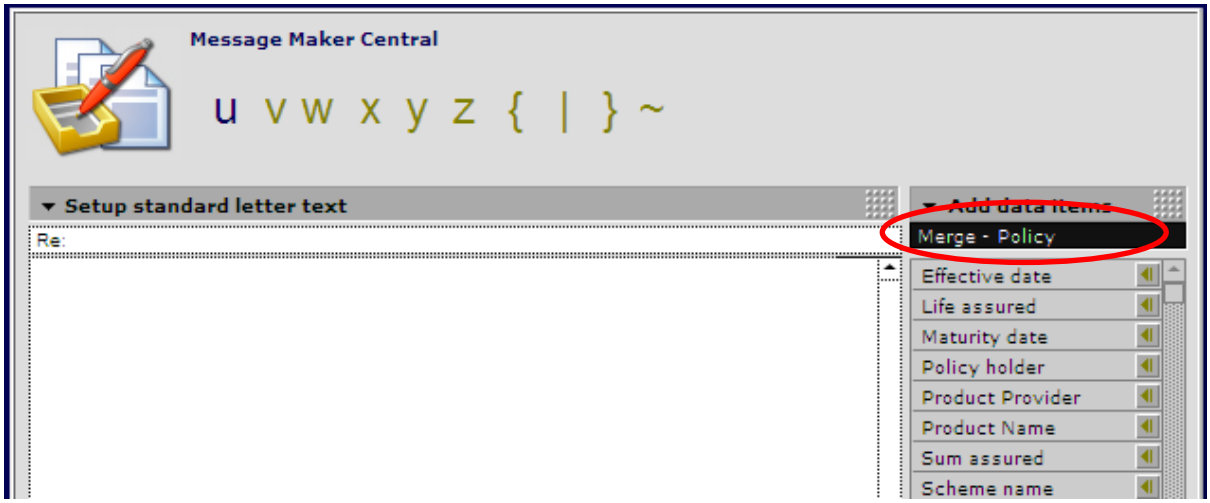
I have forwarded this to "*provider*" and will update you with the progress of this application.

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

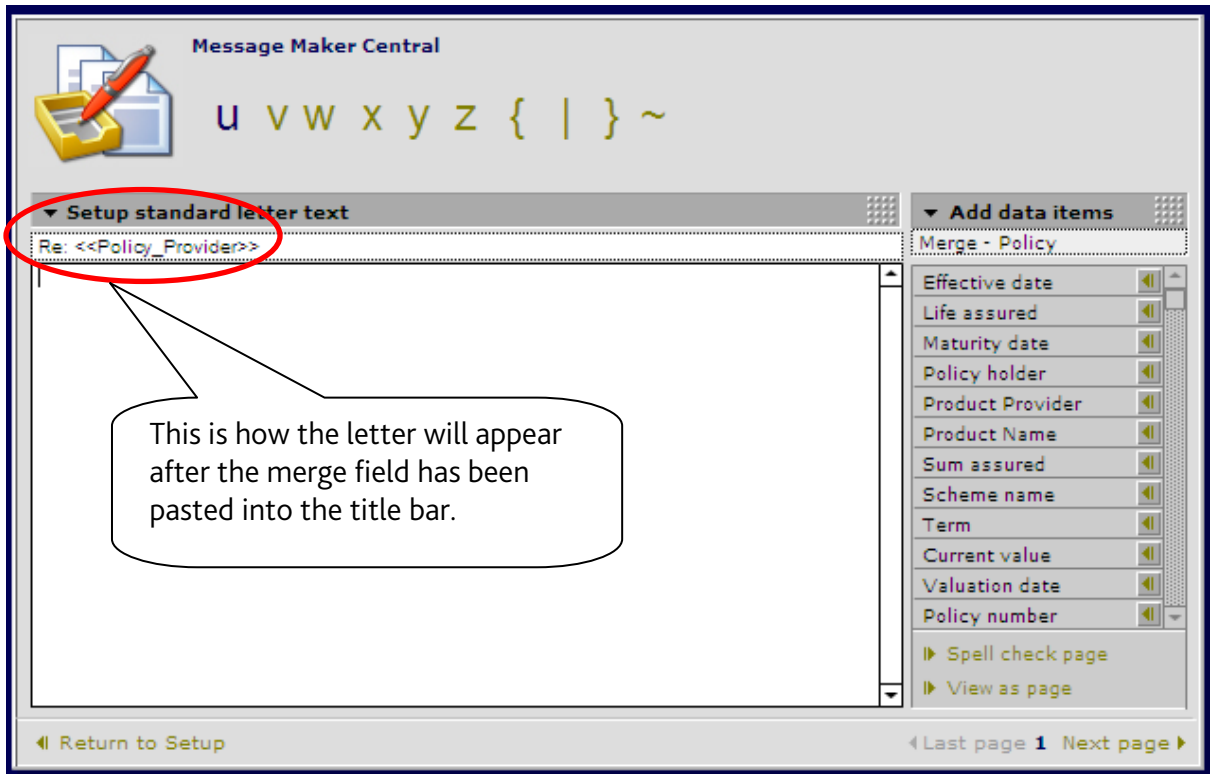
Yours sincerely

*Adviser name.*

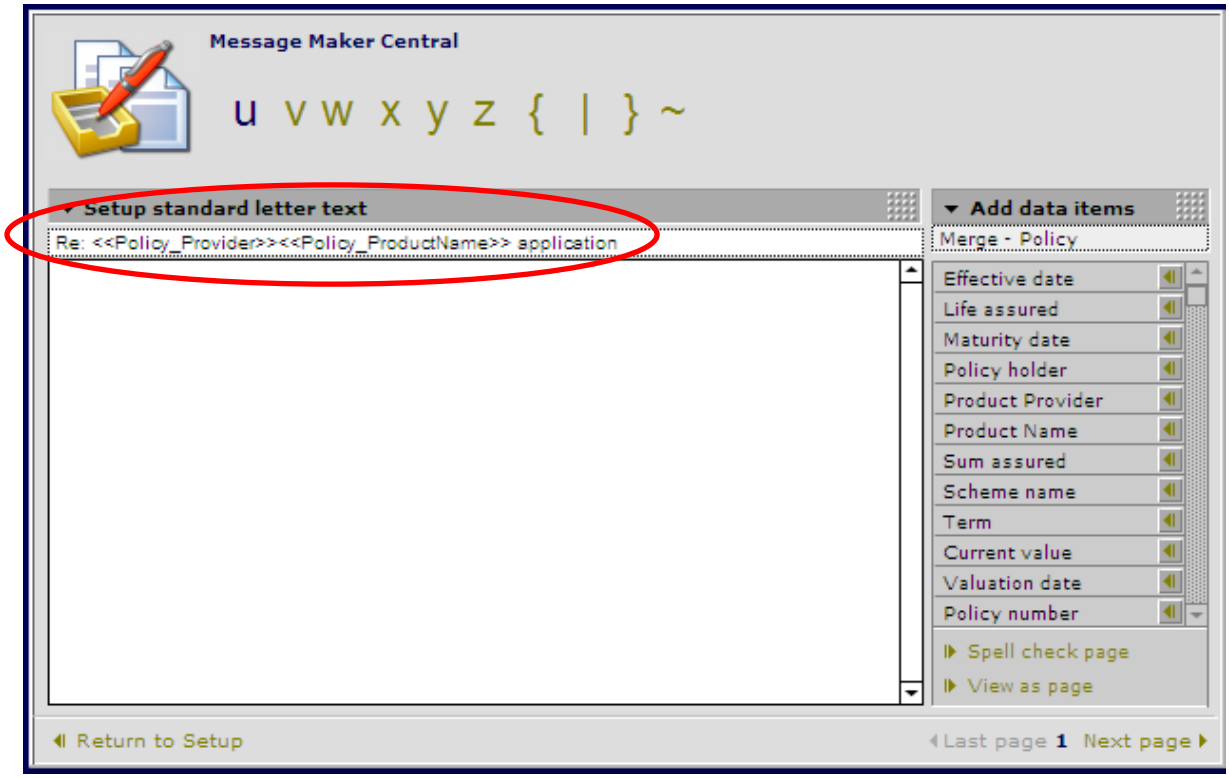
The first part of the letter is the title line, look at the information that you want to pull from the main CCD system and look down the list of merge files available to decide where this information will be stored. We want the provider name and product type. This information will be held in "policy" 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'.

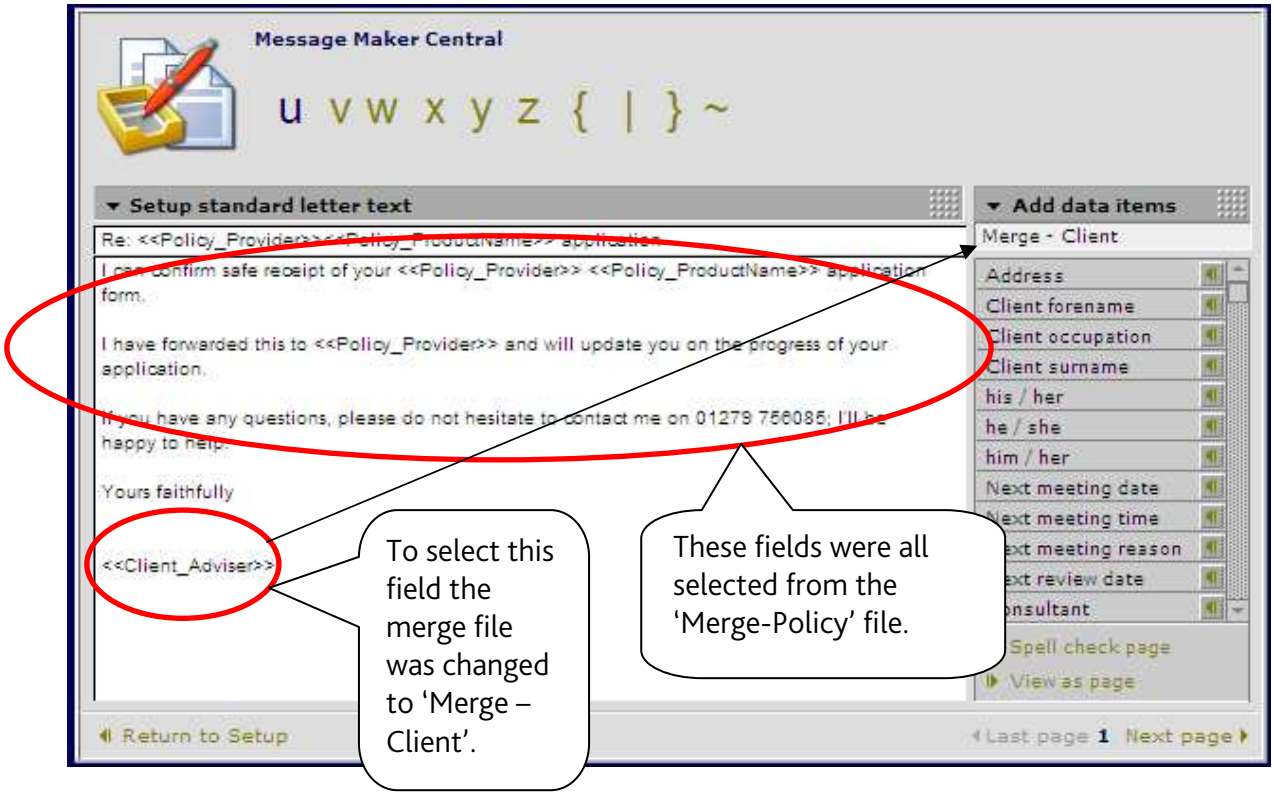



We now require the product name so repeat this process and then manually type 'application' after the 2nd merge field has been added.




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 curser currently is, and you can continue to type.




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

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

## 2.4 Copying in and 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.

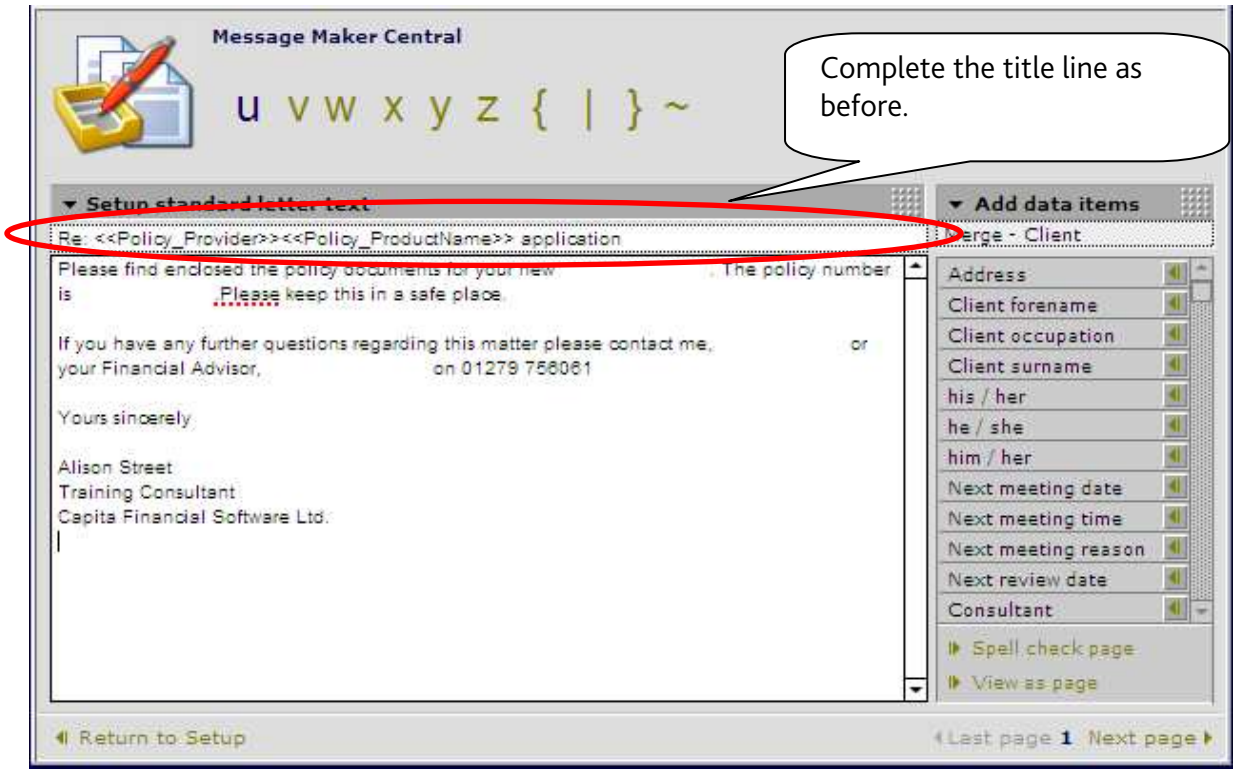
Dear

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

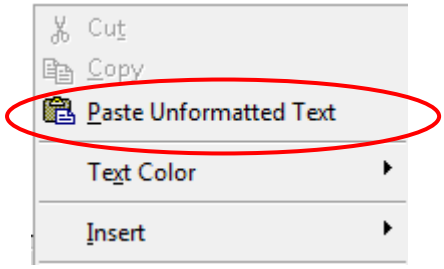
If you have any further questions regarding this matter please contact me, or your Financial Advisor, on 01279 756061

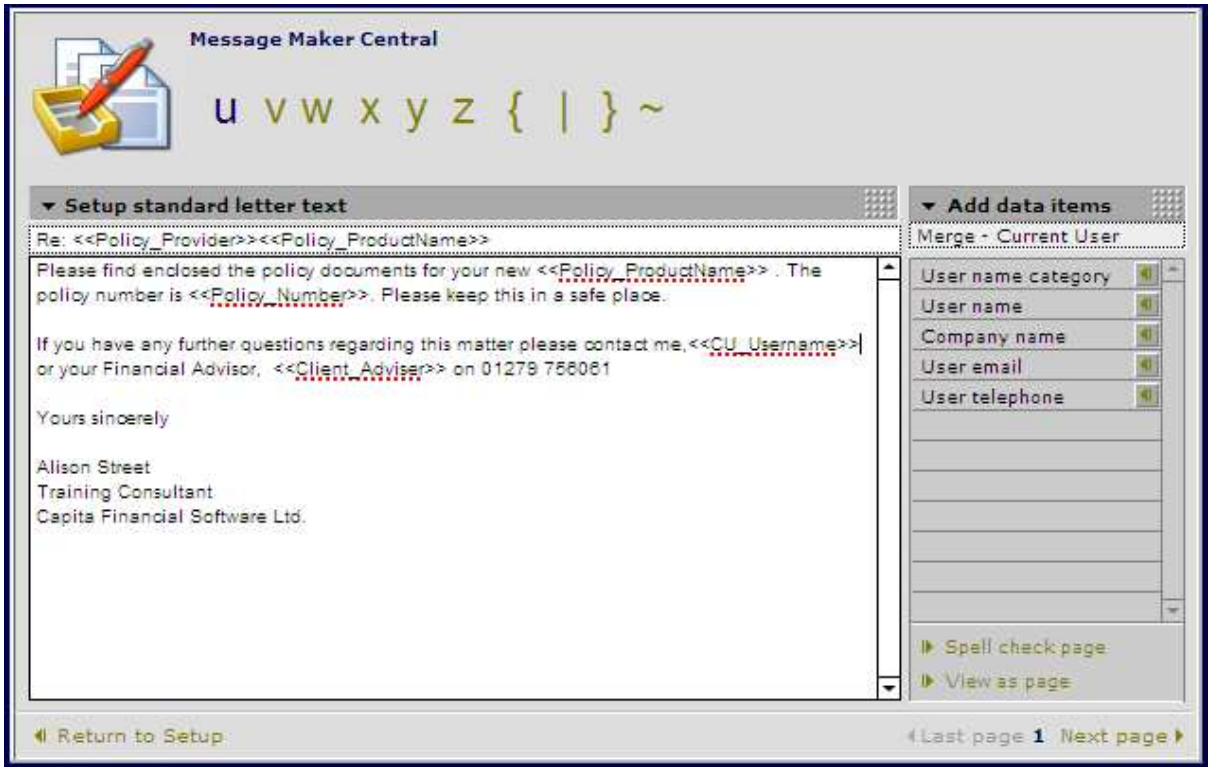
Yours sincerely

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 curser where you want the field to be inserted right click and copy.



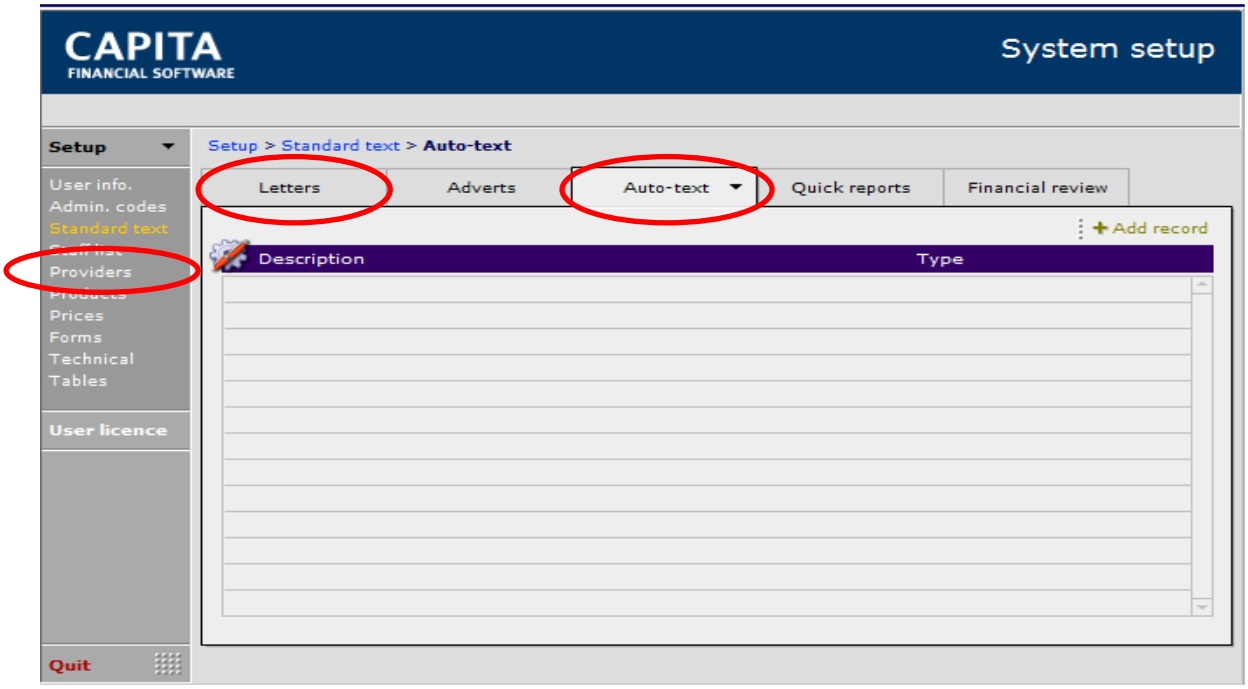


## 3. AUTO-TEXT

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

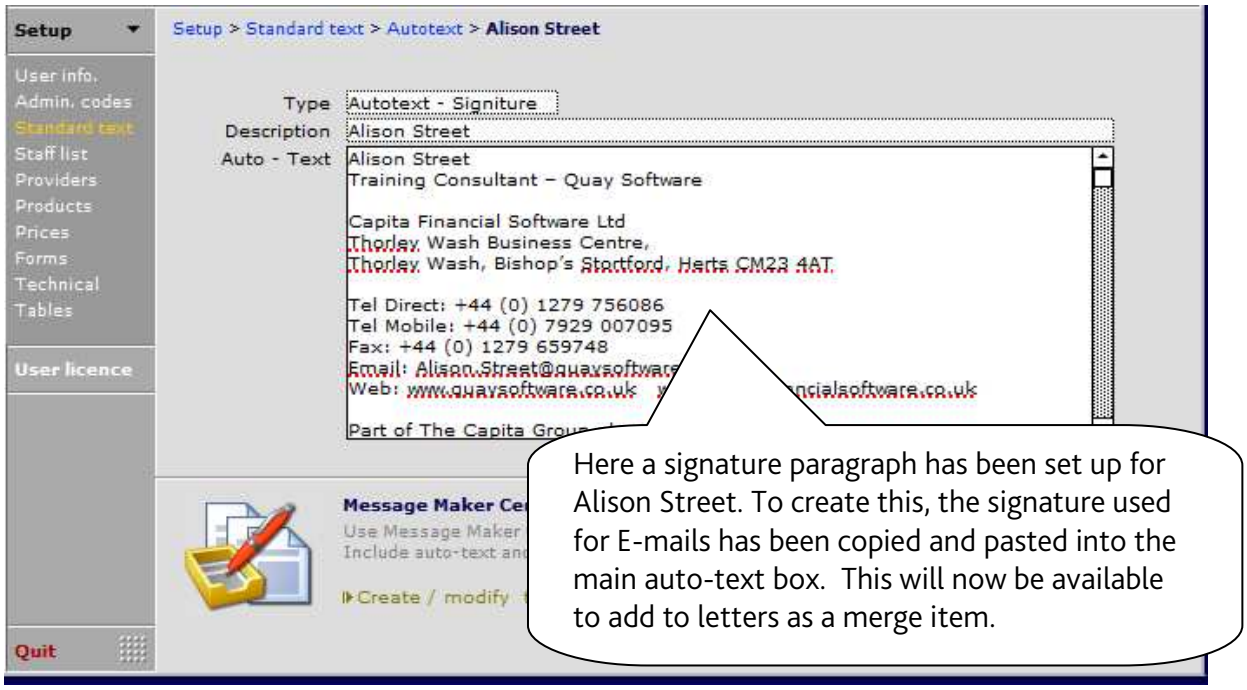
Instead of manually typing the text each time, it can be recorded as a standard in the system and then added as required to your letter.

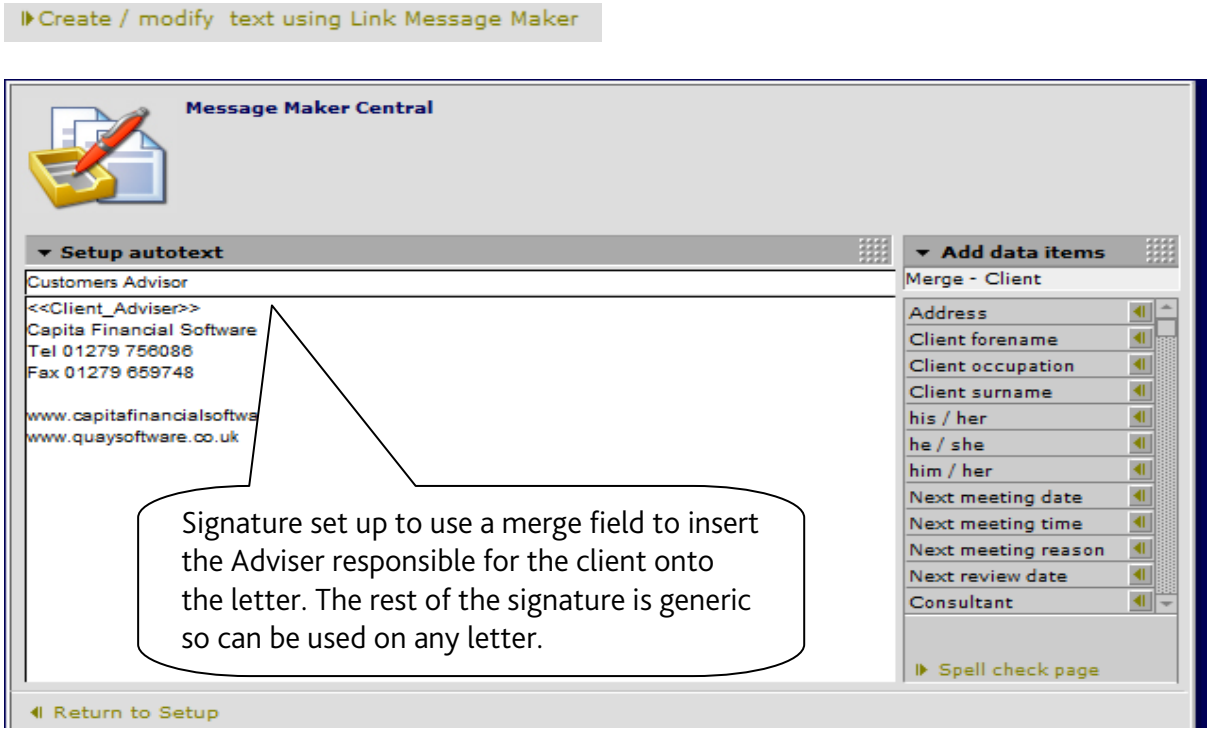
To add an 'Auto-text' got to 'Set-up' – 'Standard text' – 'Auto-text'.




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.

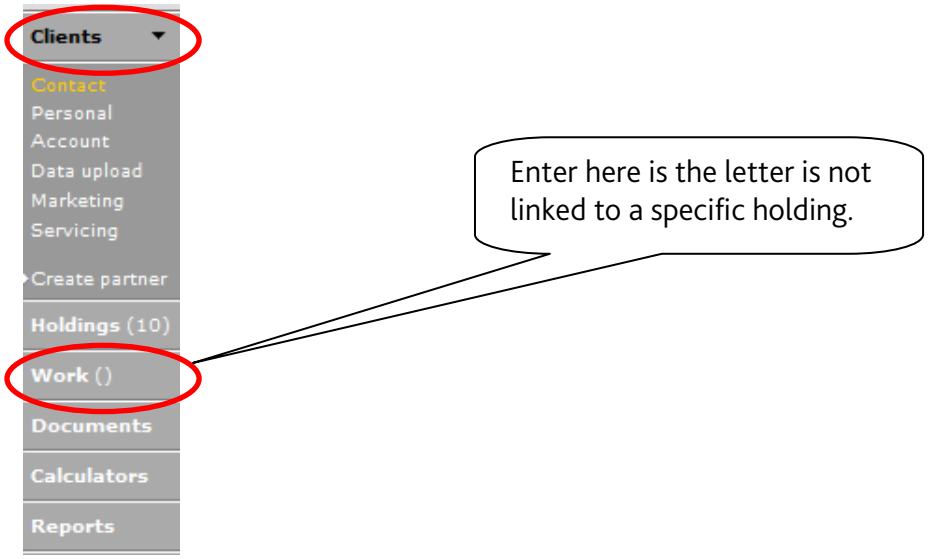
## 3.1. Copy and paste or free format type

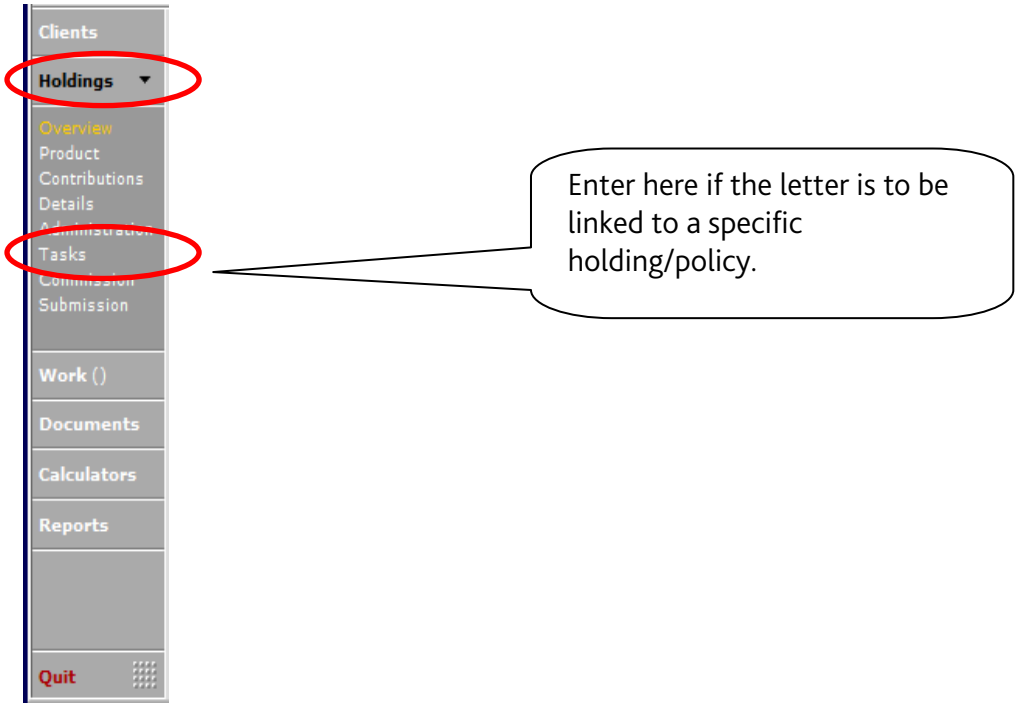




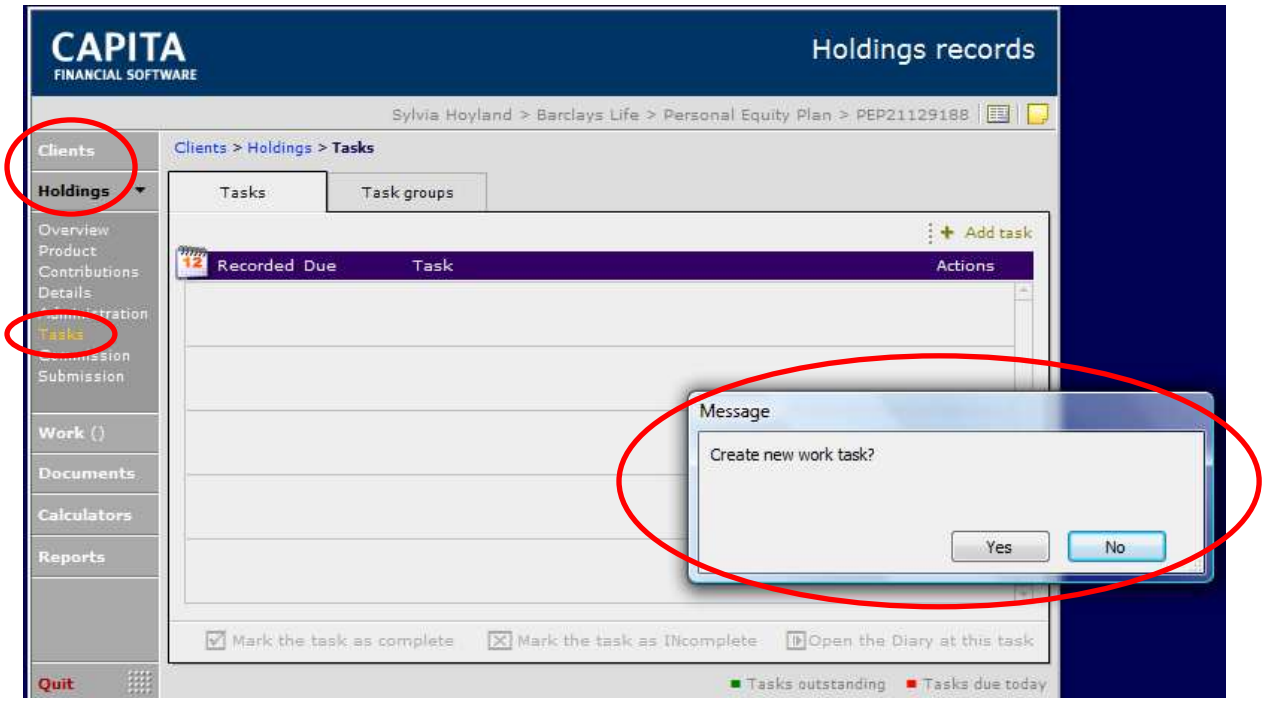

## 4. PRODUCING AND VIEWING YOUR LETTERS VIA WORK AND TASKS

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.

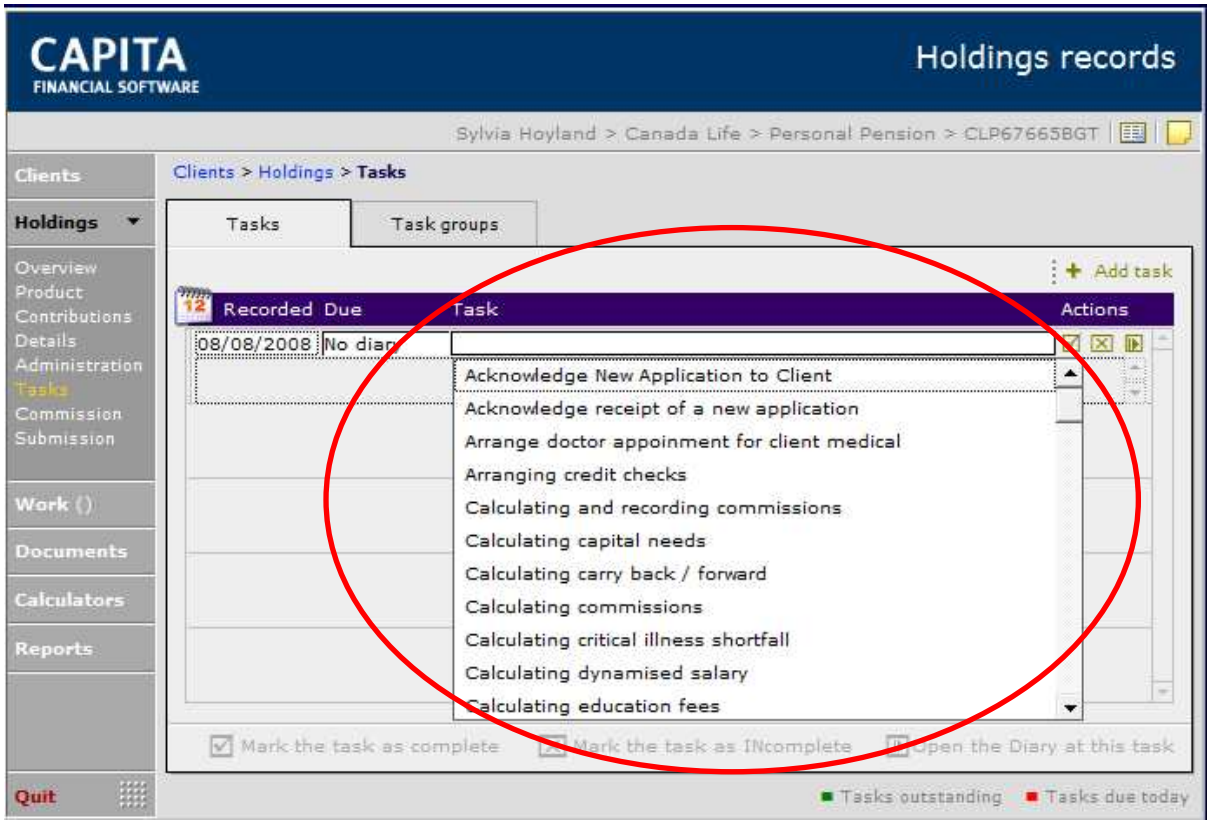





## 4.1. Entering a letter against a holding



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

Click here to add a letter to the task.

Diary | Account | Message

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

Outstanding
Notify client ☐ Notify Introducer ☒

Type in details of the task here.

Related project

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

Complete from the drop down lists.

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

Clients
Holdings
Overview
Product
Contributions
Details
Administration
Tasks
Commission
Submission
Work (1)
Documents
Quit

Clients > Holdings > Tasks >

Diary | Accou | Message

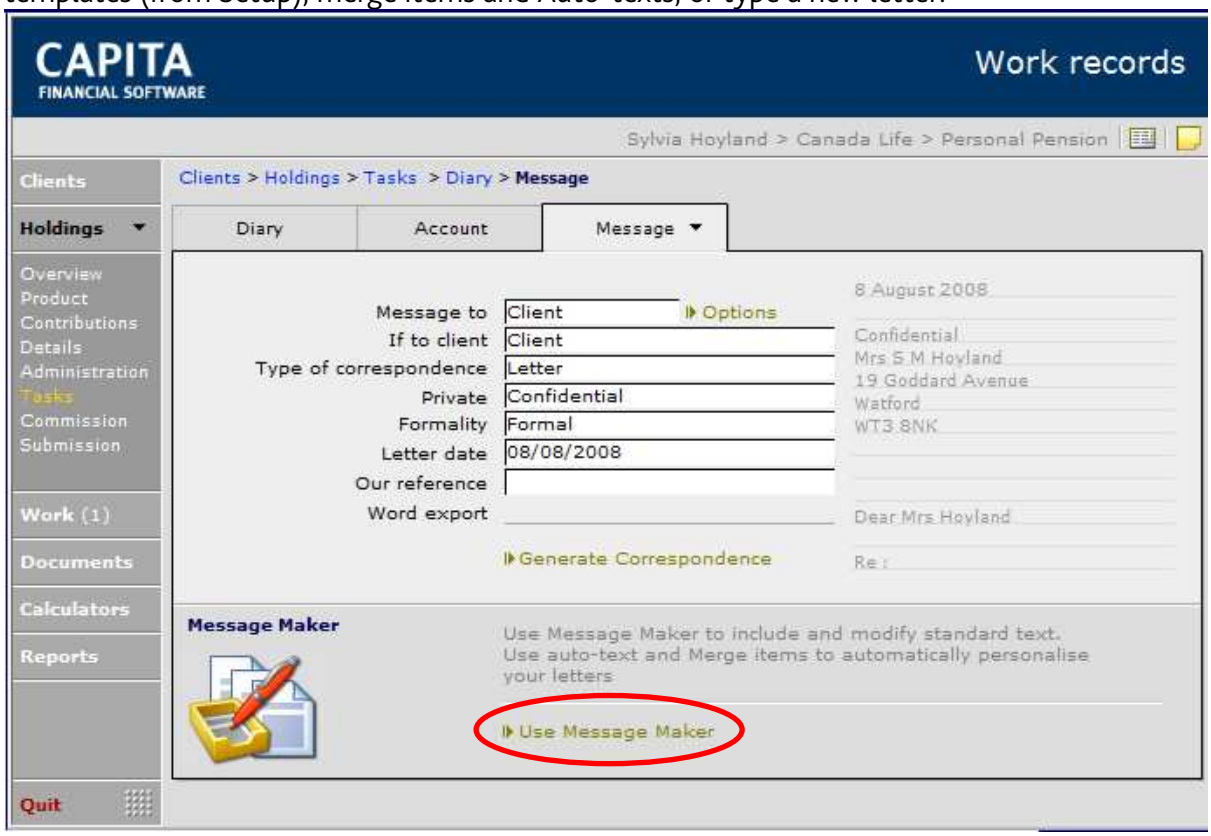
Message to: Client
If to client: Client
Type of correspondence: Letter
Private: Confidential
Formality: Formal
Letter date: 08/08/2008
Our reference:
Word export:

Options
Generate Correspondence

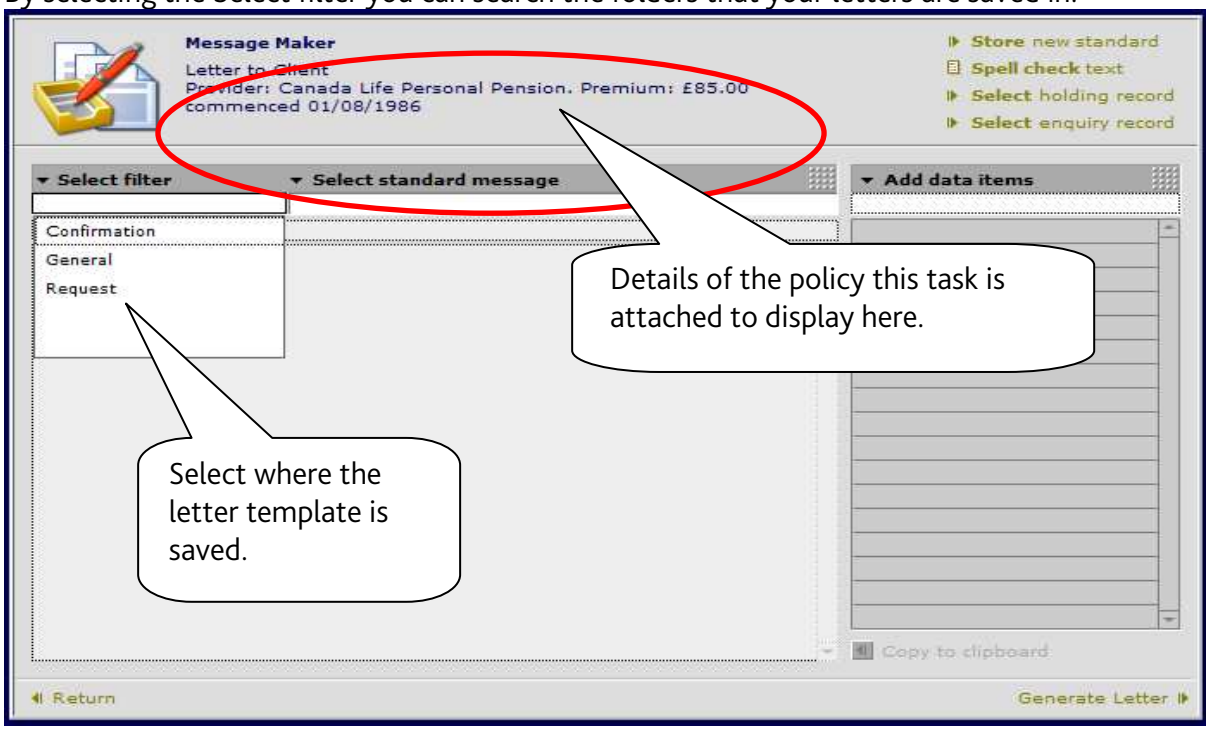
8 August 2008
Confidential
Mrs S M Hoyland
19 Goddard Avenue
Watford
WT3 8NK
Dear Mrs Hoyland
Re:

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.

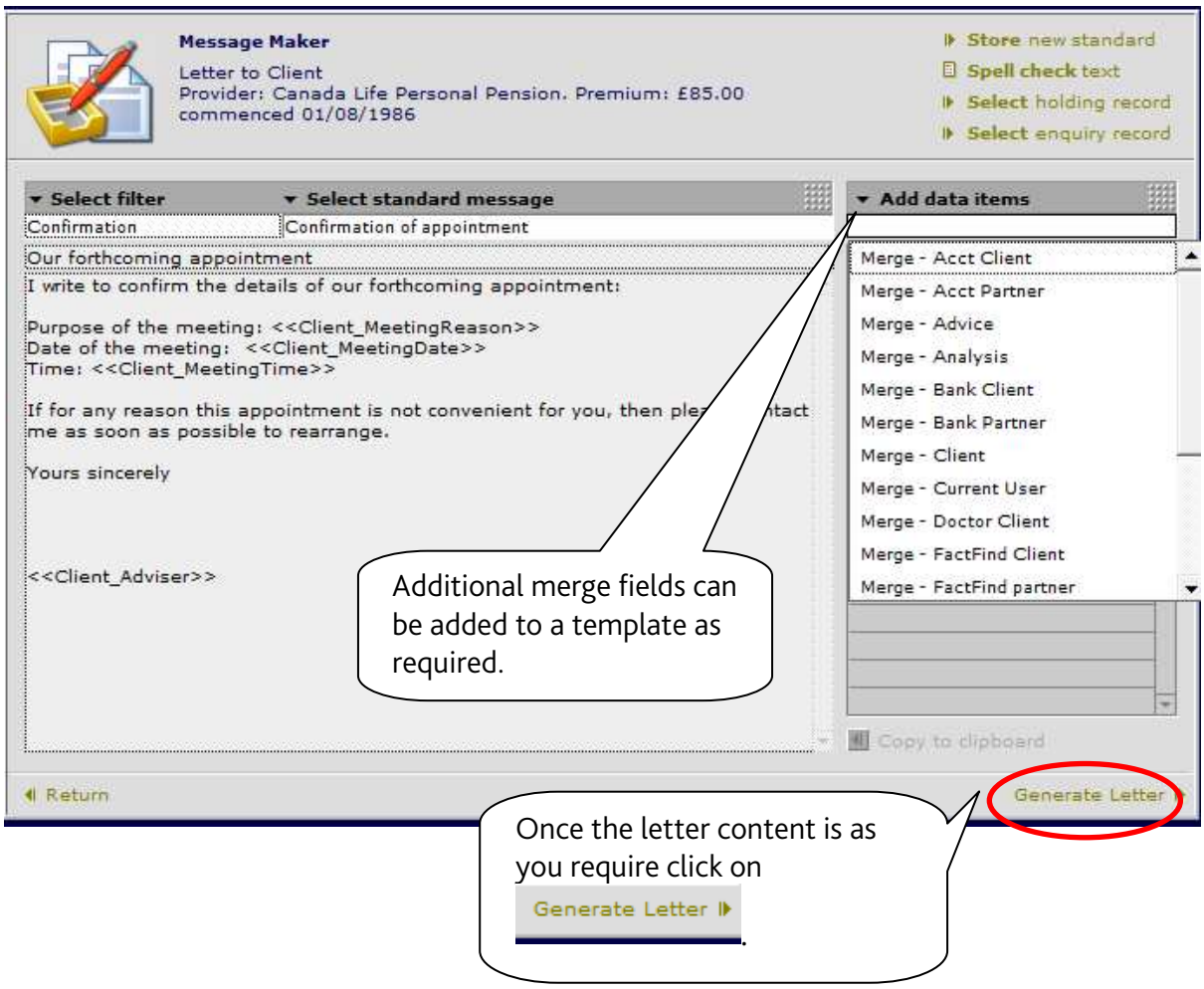
By going into Use Message Maker at the bottom of the screen you can access your letter templates (from Setup), merge items and Auto-texts, or type a new letter.




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



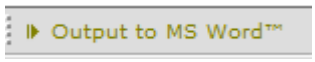
Now select the letter that you want to use.

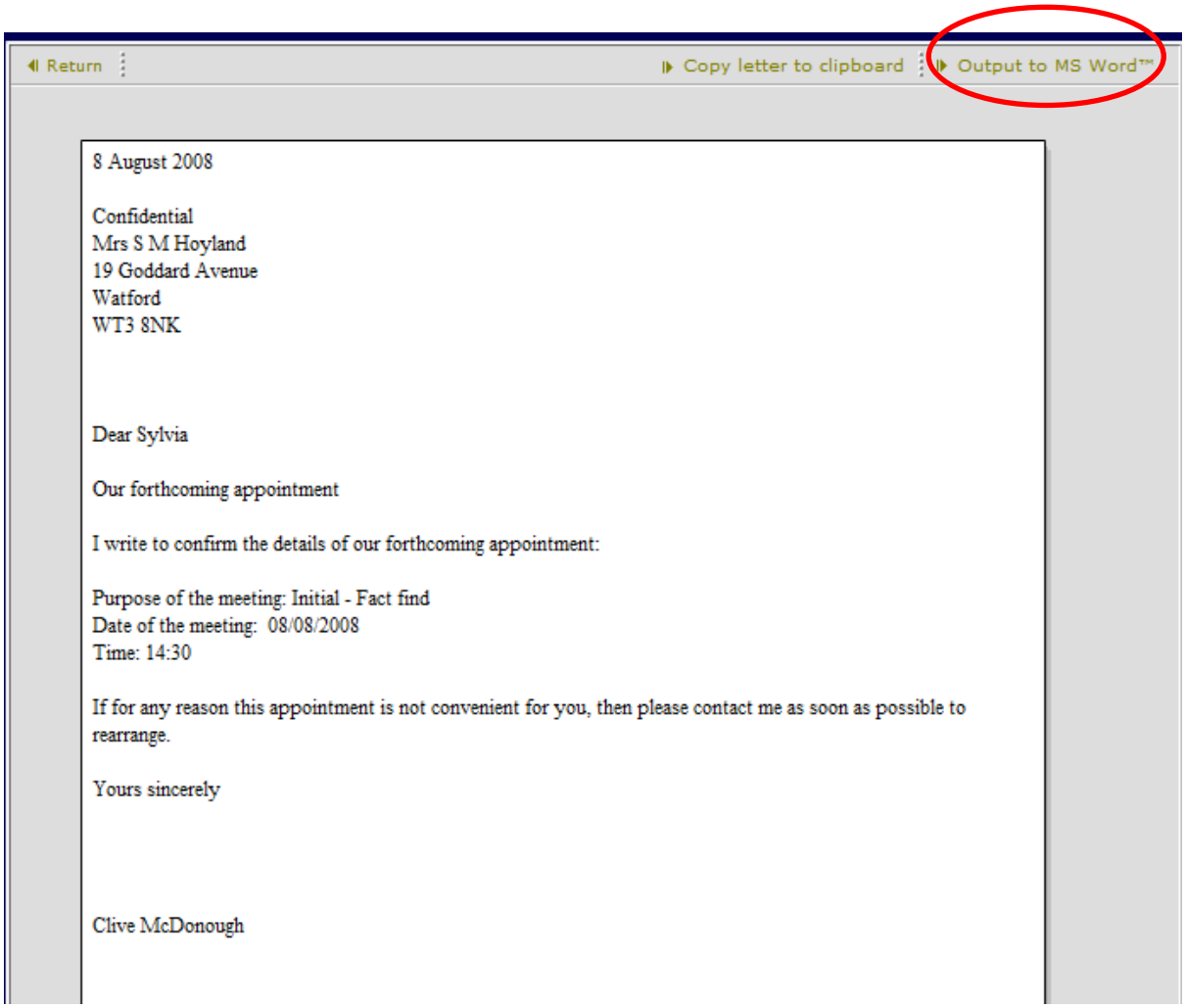



Your letter now starts to take form and any merge items you have included within your letter will be inserted by CCD.

> 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 




8 August 2008

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

Dear Sylvia

Our forthcoming appointment

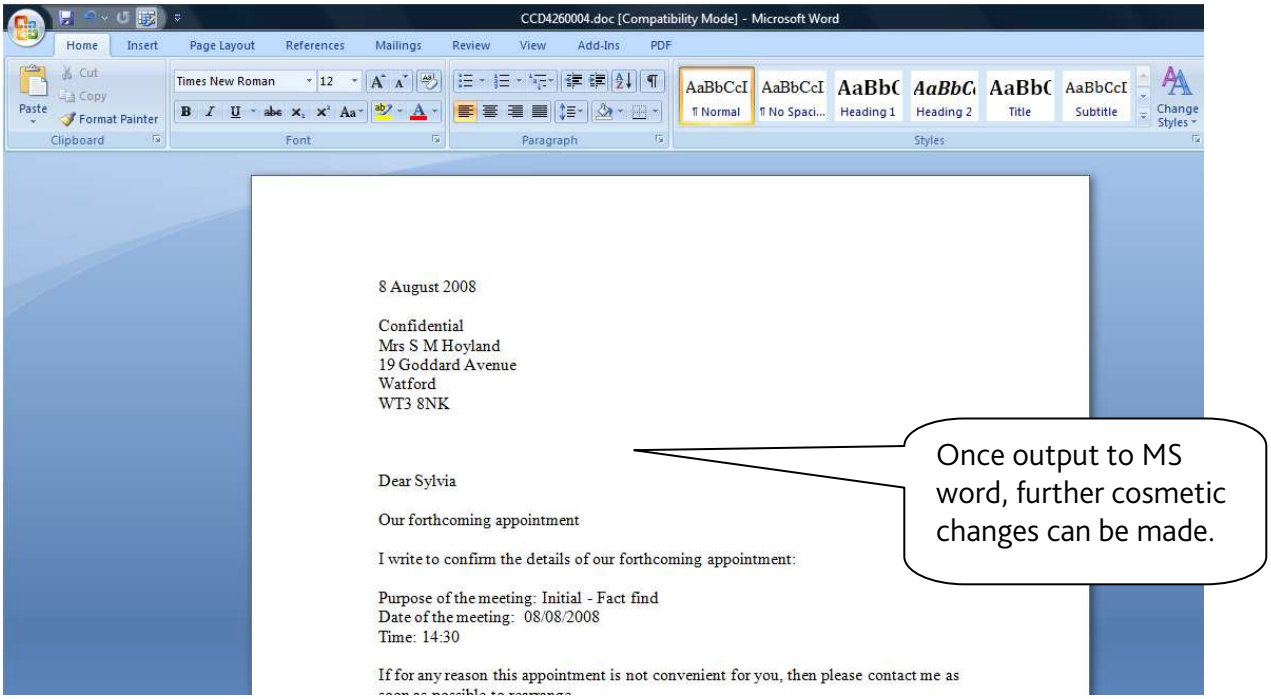
I write to confirm the details of our forthcoming appointment:

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

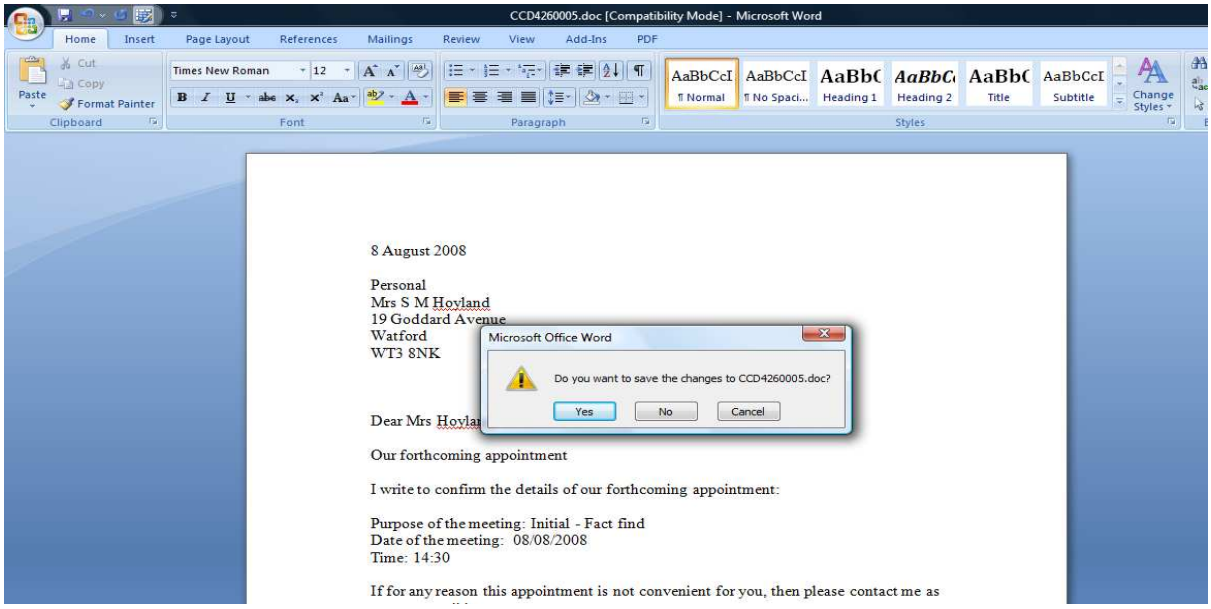
If for any reason this appointment is not convenient for you, then please contact me as soon as possible to rearrange.

Yours sincerely

Clive McDonough



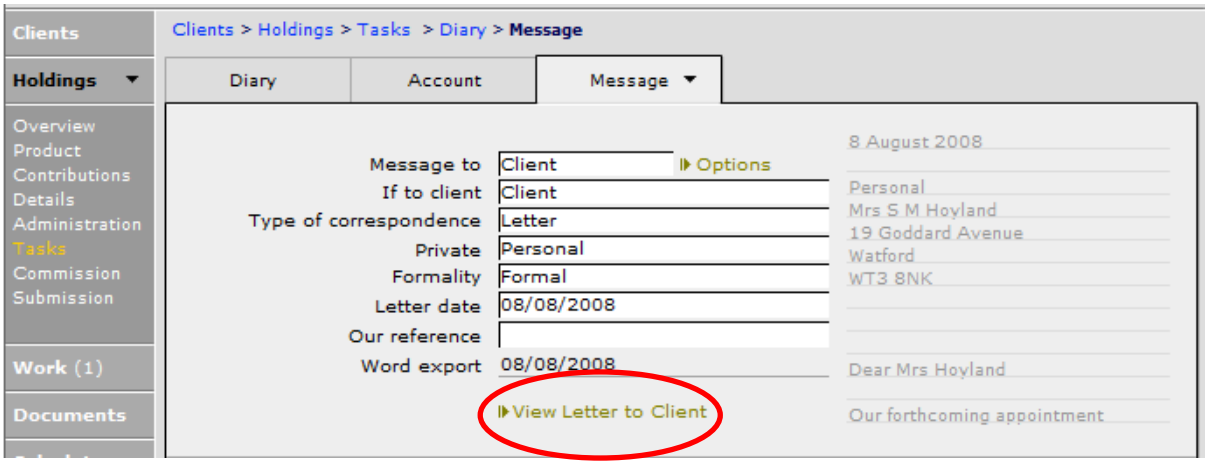

If no changes are made to the letter in the MS Word format when you close the letter it will not prompt you to save, the letter will auto save to CCD. If you have made amendments after outputting the letter to MS Word then you will be prompted to save the changes.



## 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.

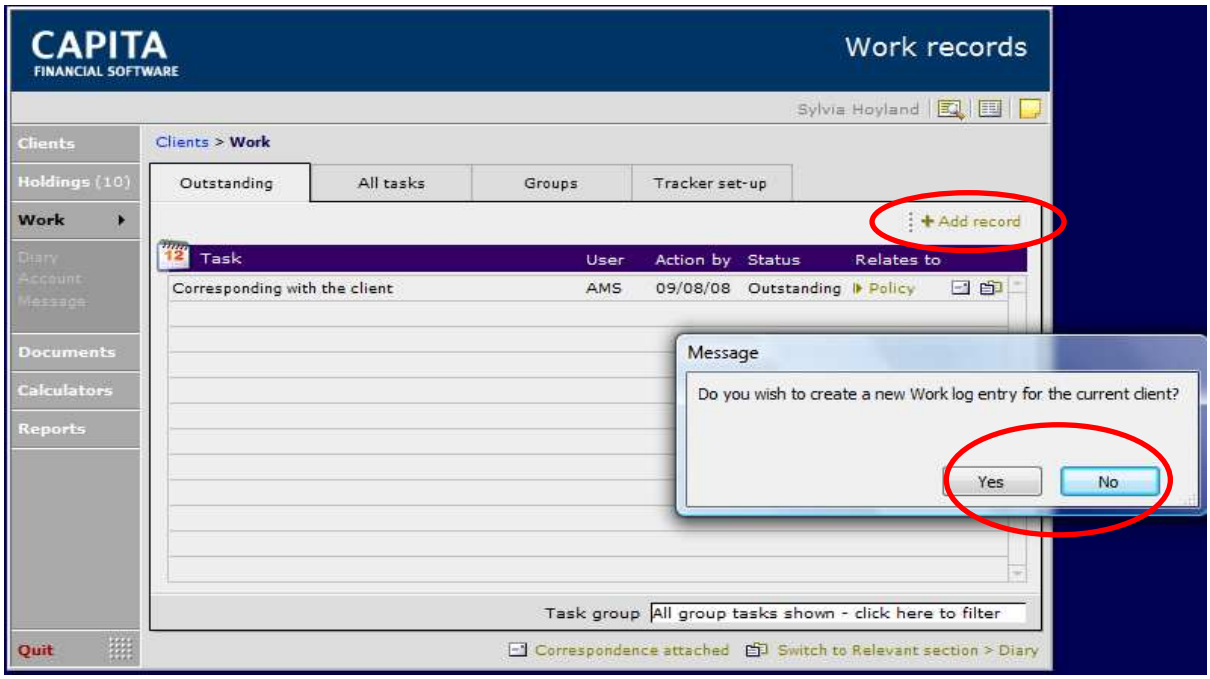


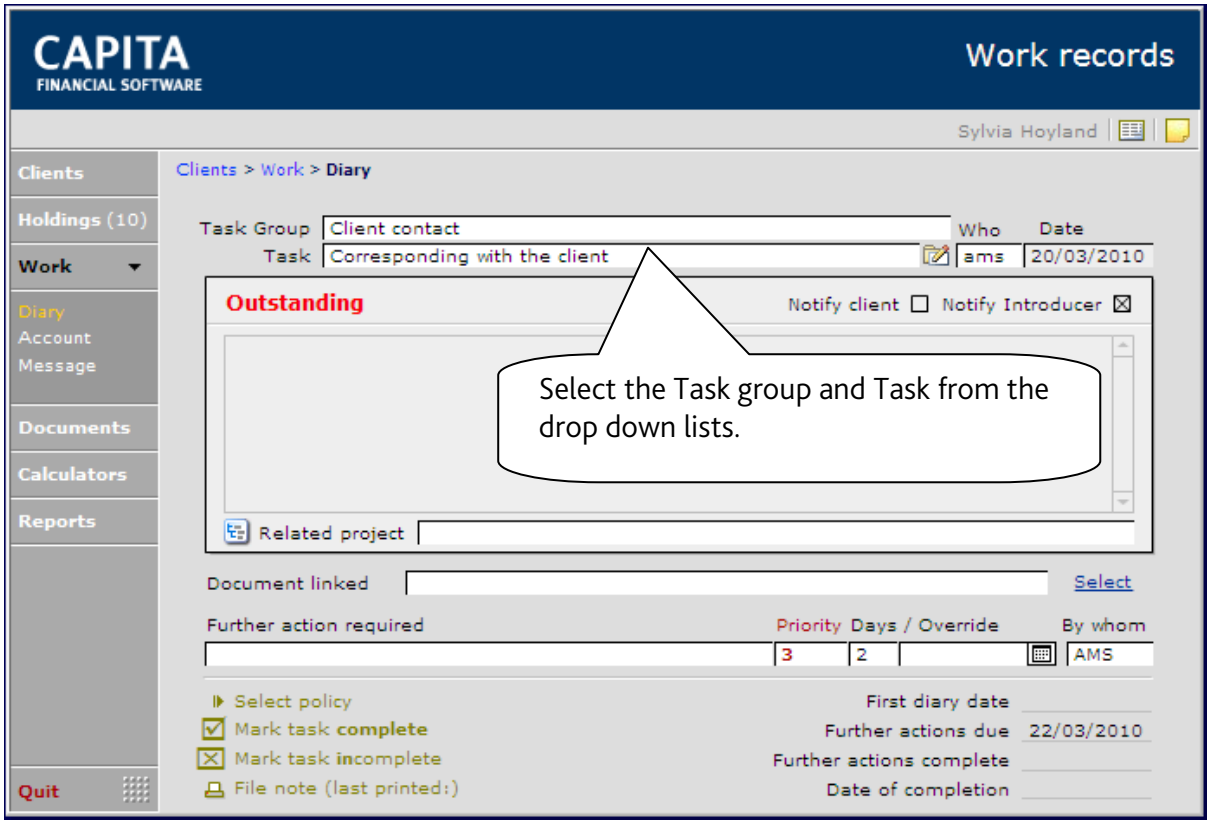

This will then display the MS Word copy of the letter.

## 4.3. Entering a Letter against the Client

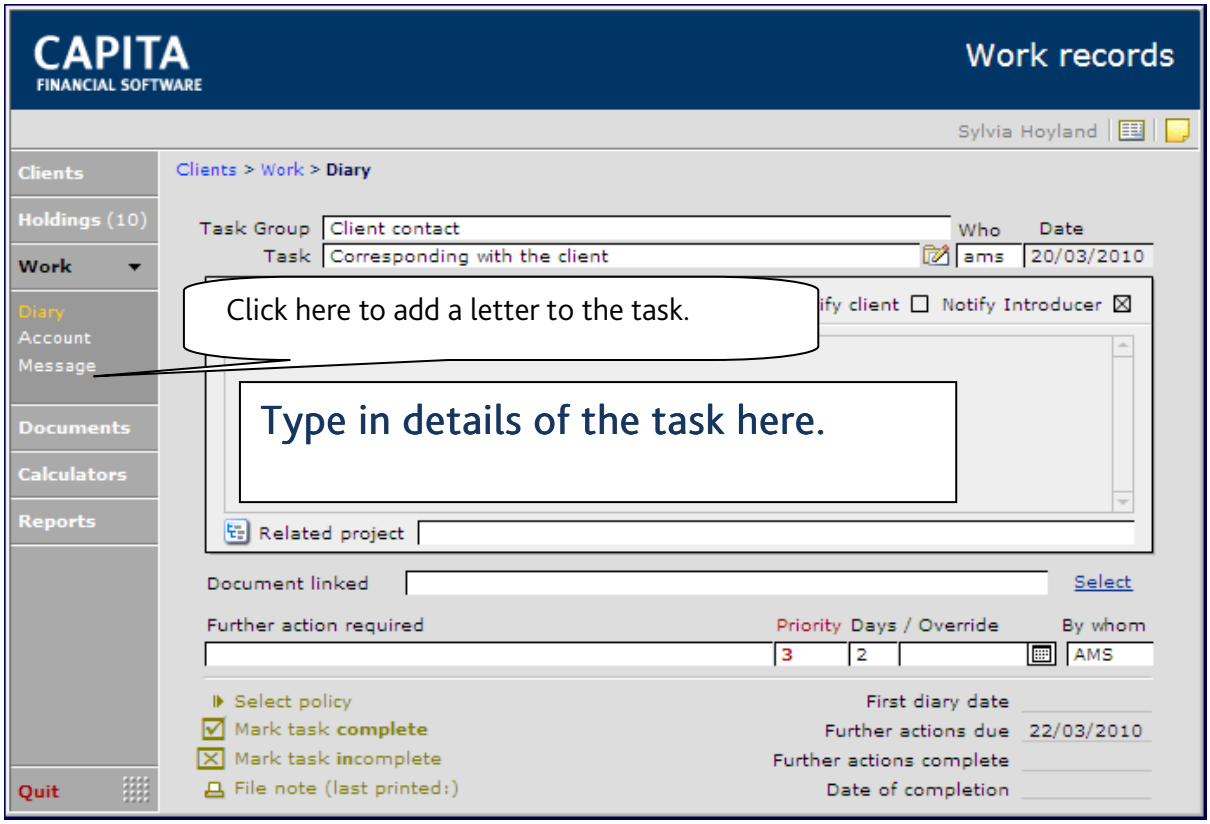
If you wish to send a letter to your client but you cannot be specific as to which holding this correspondence refers to, you will need to create and save your letter via your clients general work section.

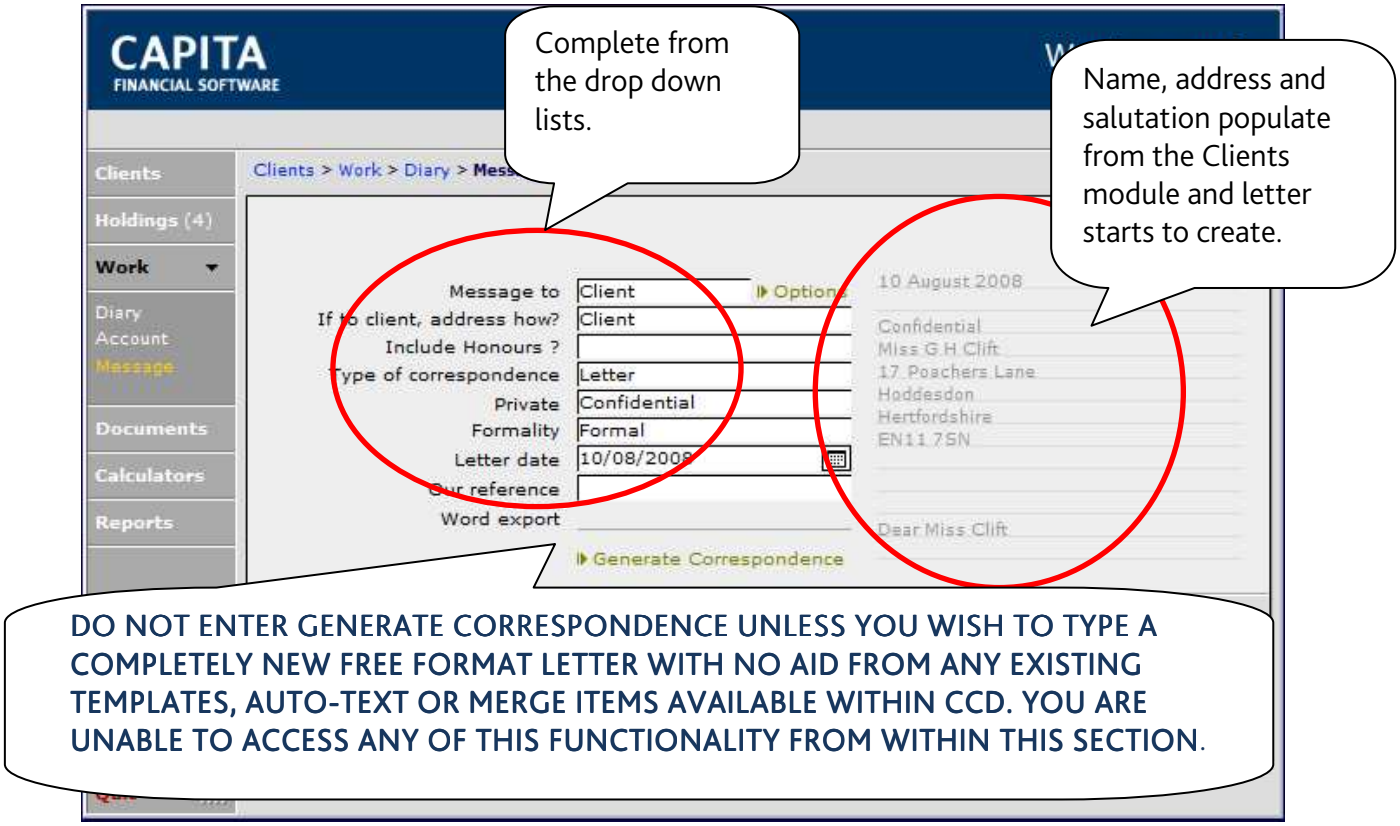
To produce a letter from the work section of your clients file firstly locate the relevant client and select work from the main client menu.



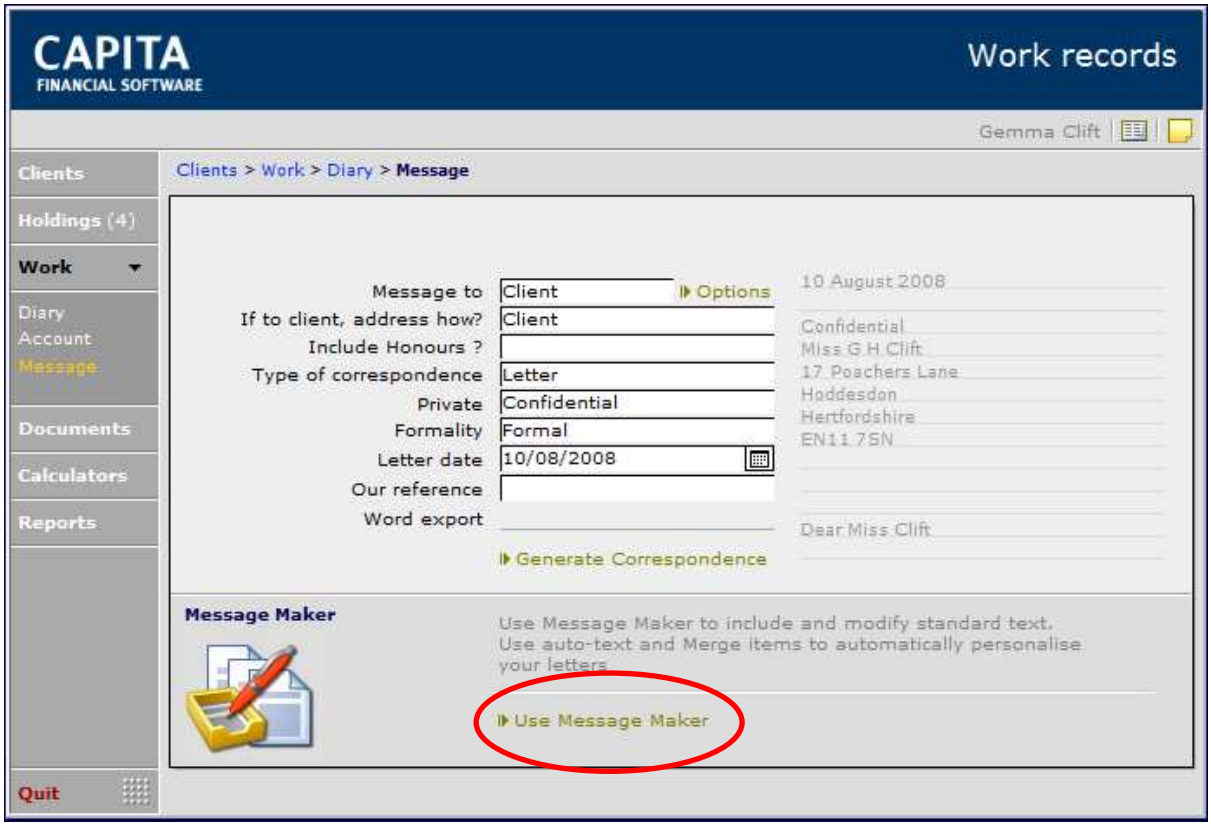

To produce any type of correspondence relating to this task enter the Message option on the left hand side.



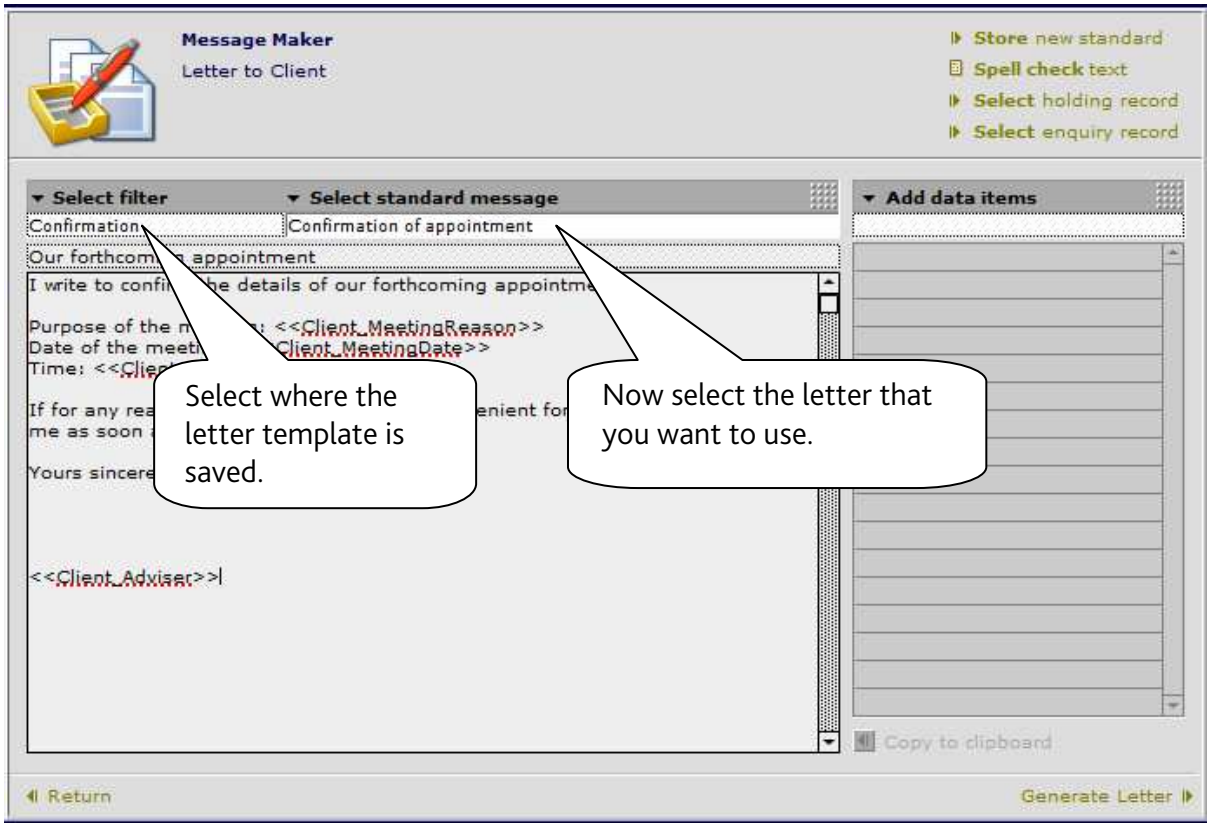


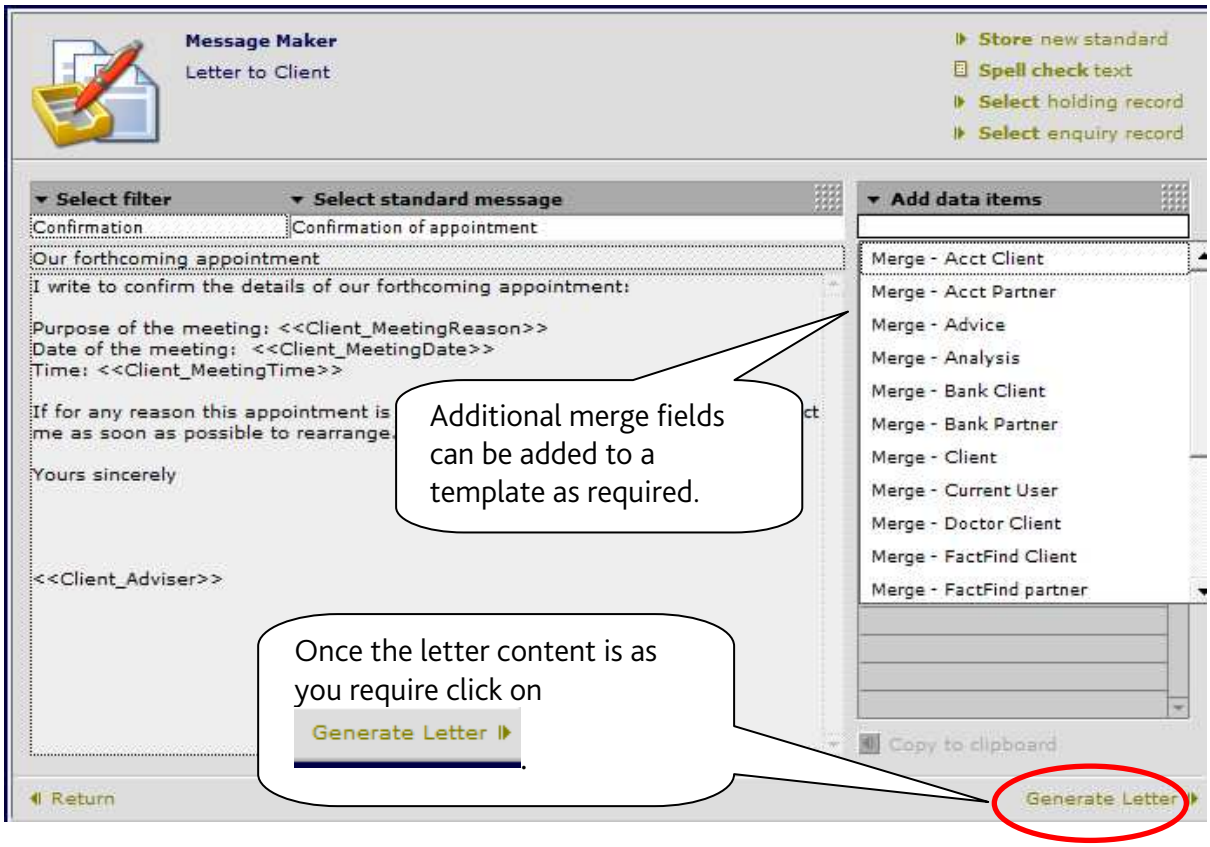

By going into 

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.

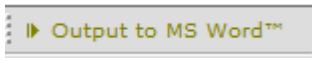


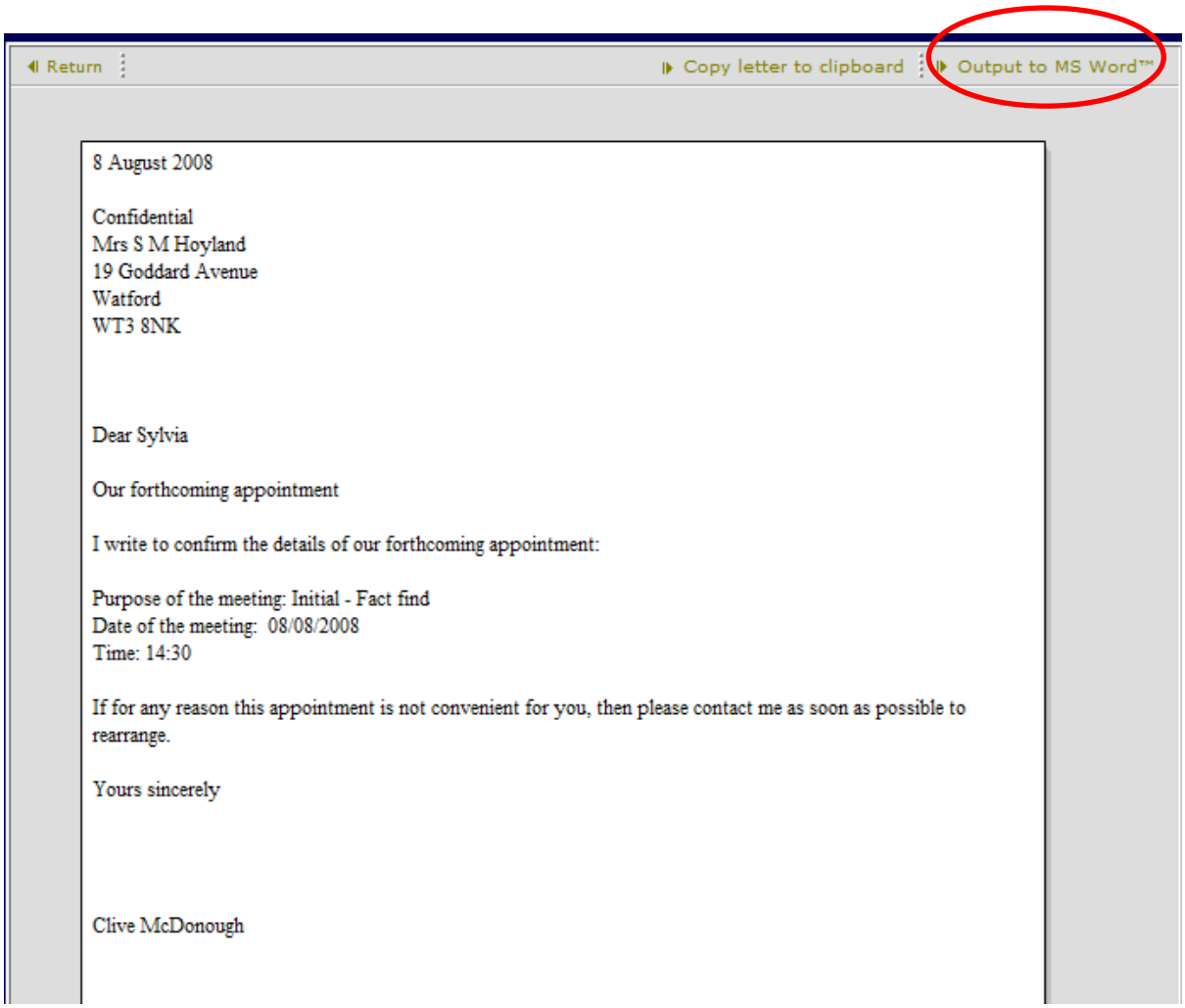



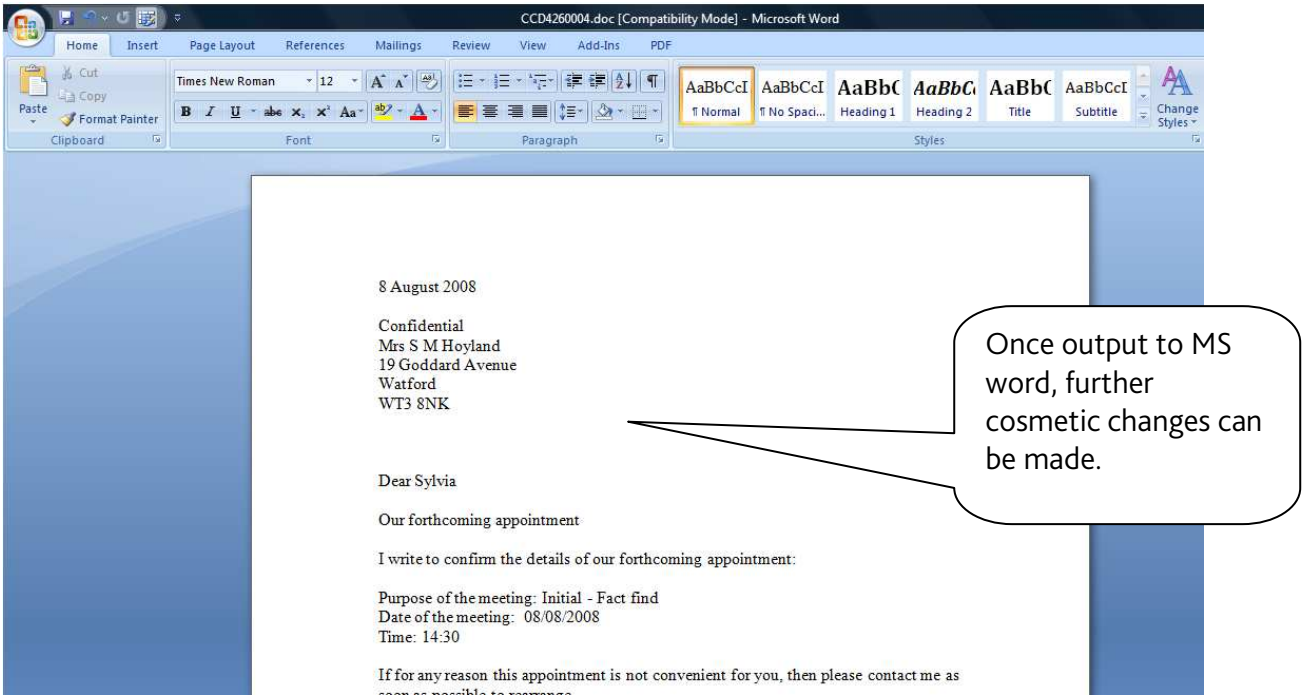
Your letter now starts to take form and any merge items you have included within your letter will be inserted by CCD.

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.

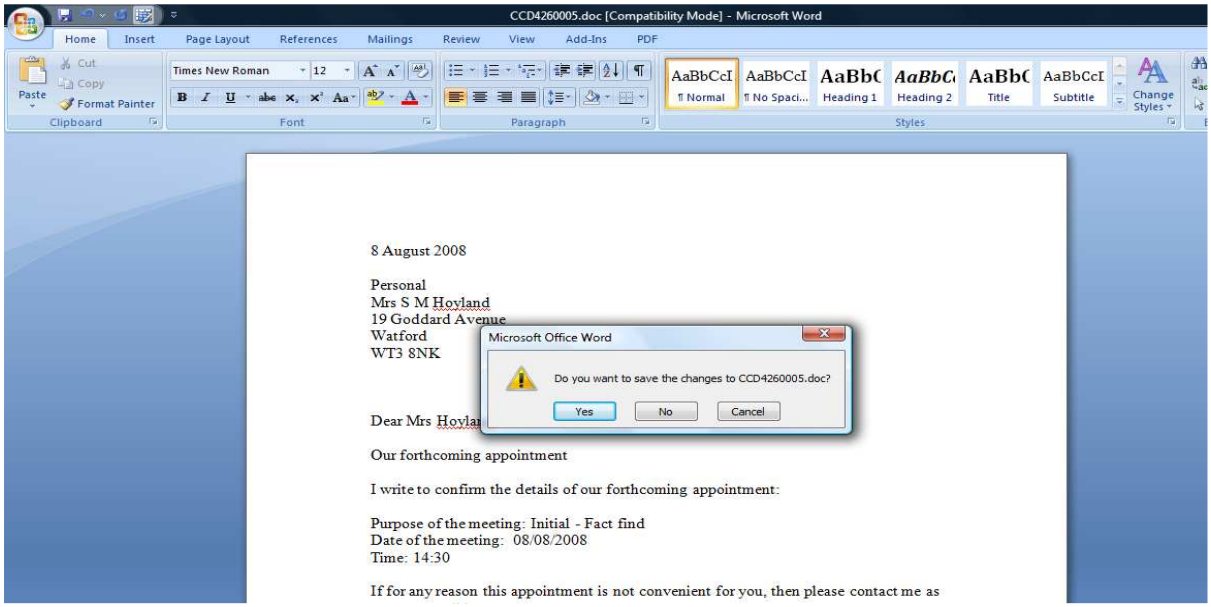
When you are happy with your letter the last stage is to adjust the font style, size and colour to suit your company branding.

This is done by clicking on 



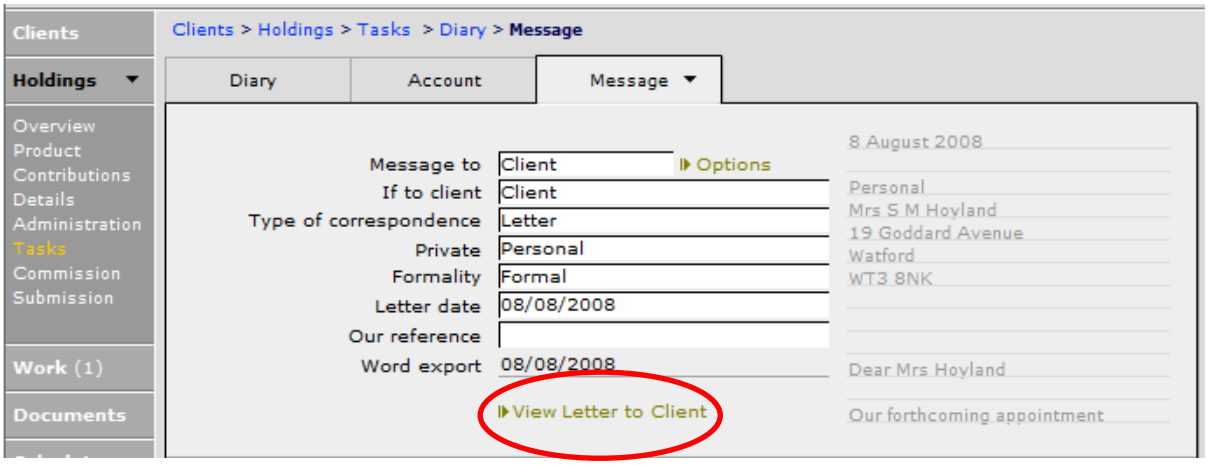

If no changes are made to the letter in the MS Word format when you close the letter it will not prompt you to save, the letter will auto save to CCD. If you have made amendments after out putting the letter to MS Word then you will be prompted to save the changes.



## 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

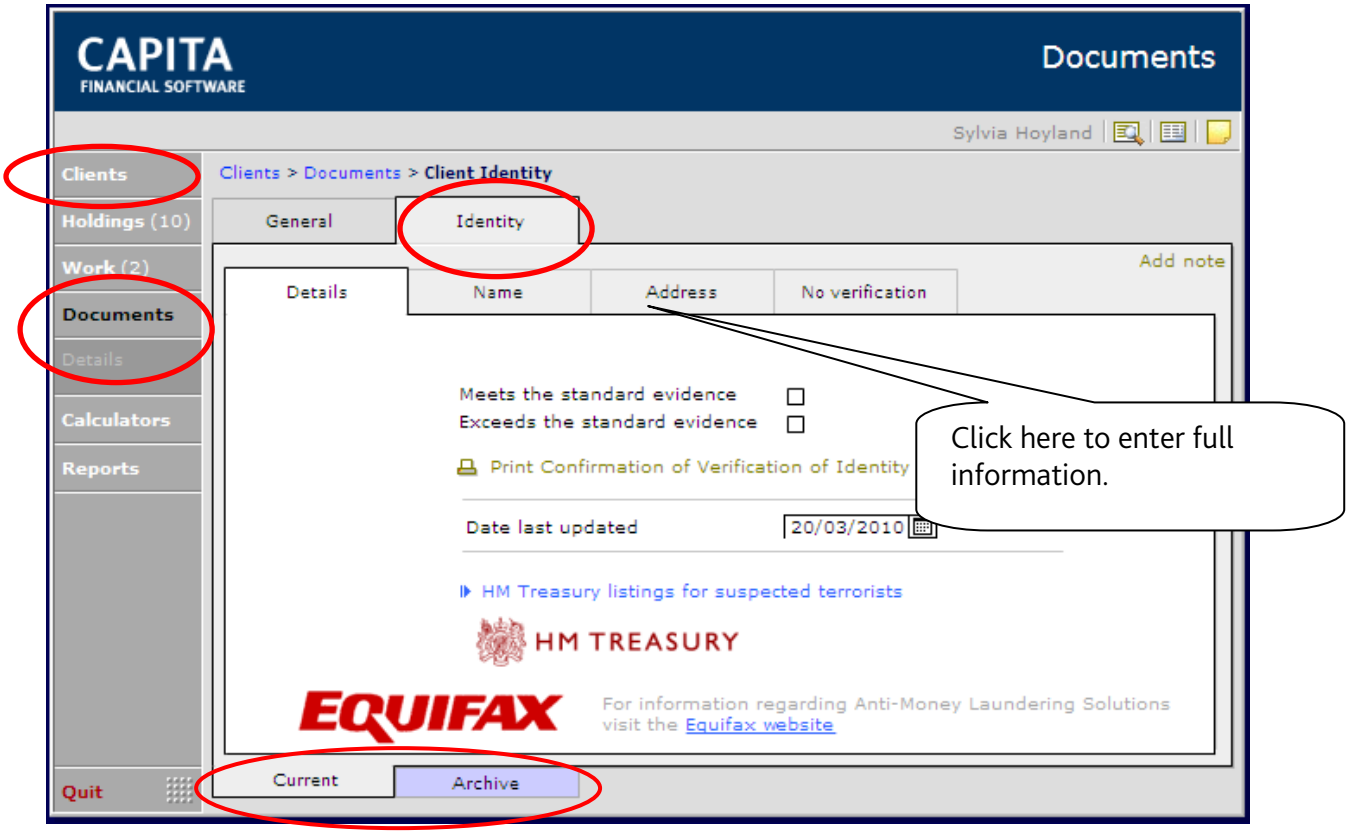
- Find your client
- Click on Work
- Enter the message tab.
- Click on View Letter to Client

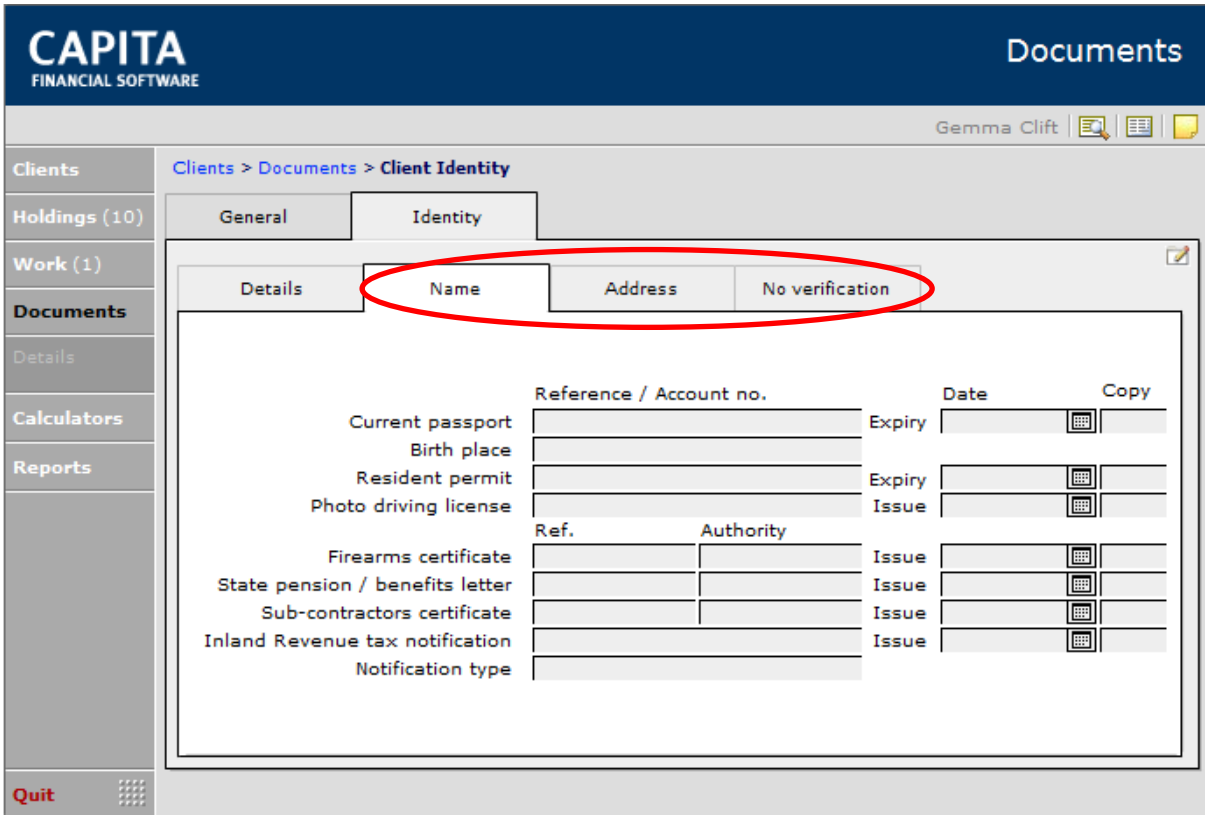



This will then display the MS Word copy of the letter.

## 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.






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.

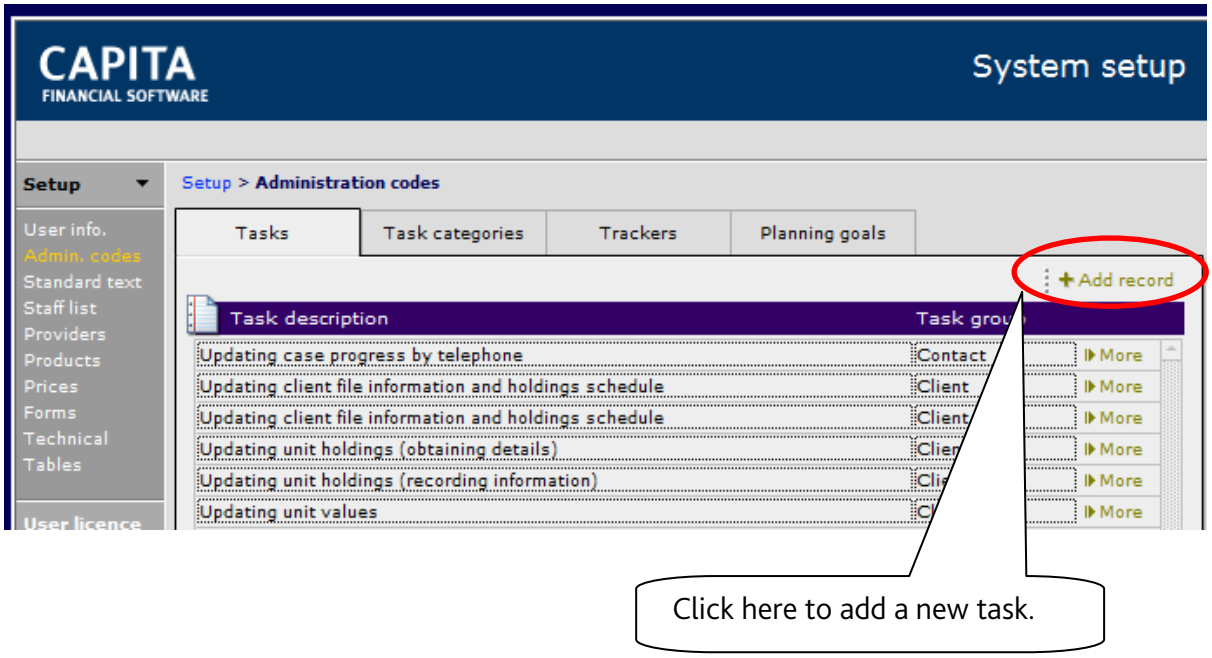
The steps to follow to set up are;

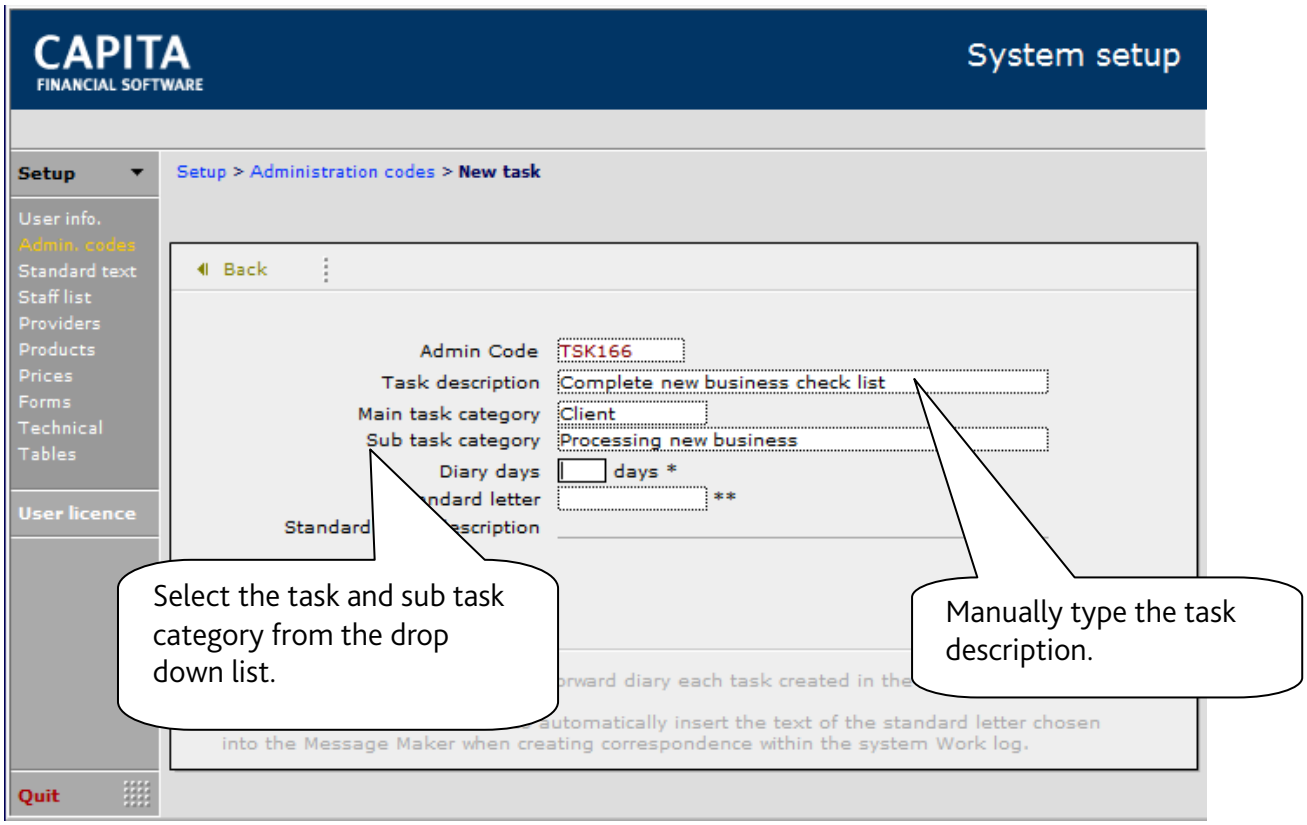
- Match your paper representation step by step to a task in the admin codes data base.
- Review each task and ensure the number of days for each task to be completed is set from the 1st day the tracker is put in place.
- Review each task and attach standard letters as required.
- Set up the tracker in 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.

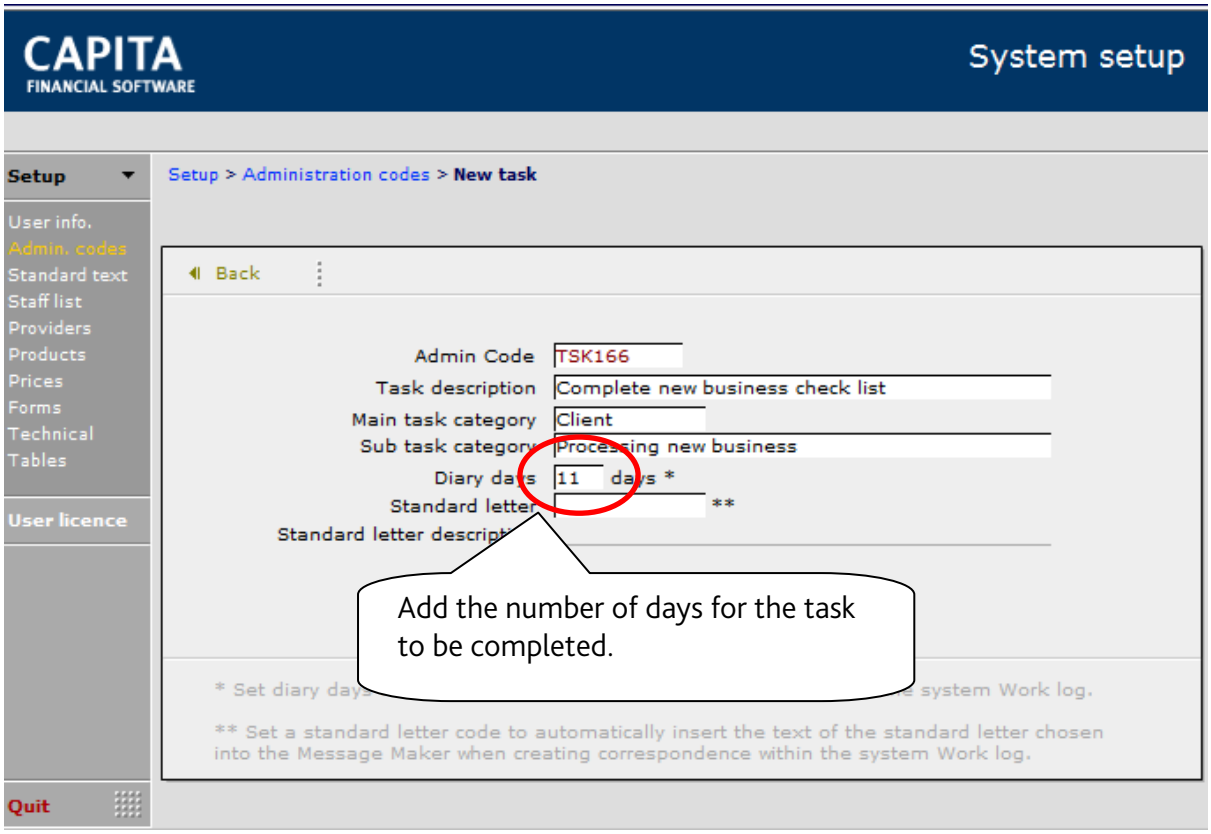


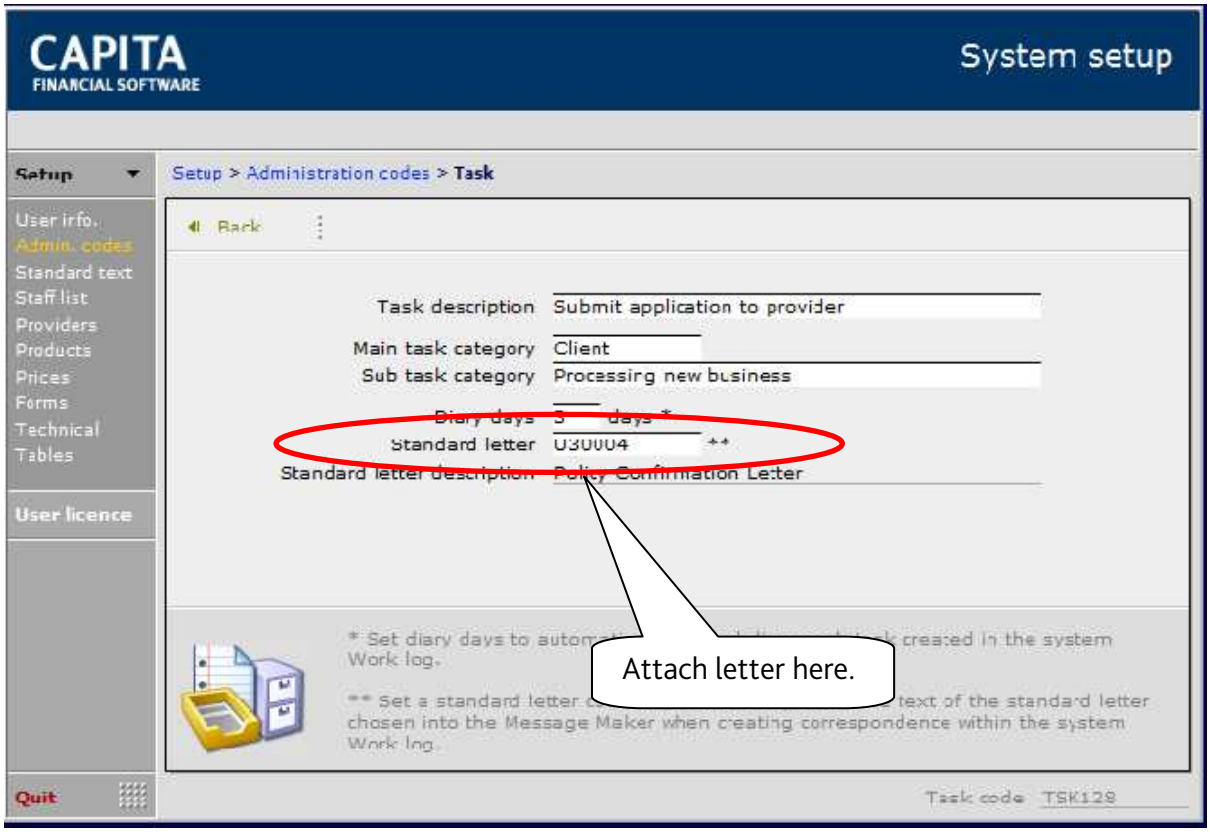

Once all the tasks required have been located or created move to checking that the number of days from creation are correct. Once the tracker has been set up the number of days will not be amendable in the tracker, if the task is chosen as a standalone task for a client then the days required will be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

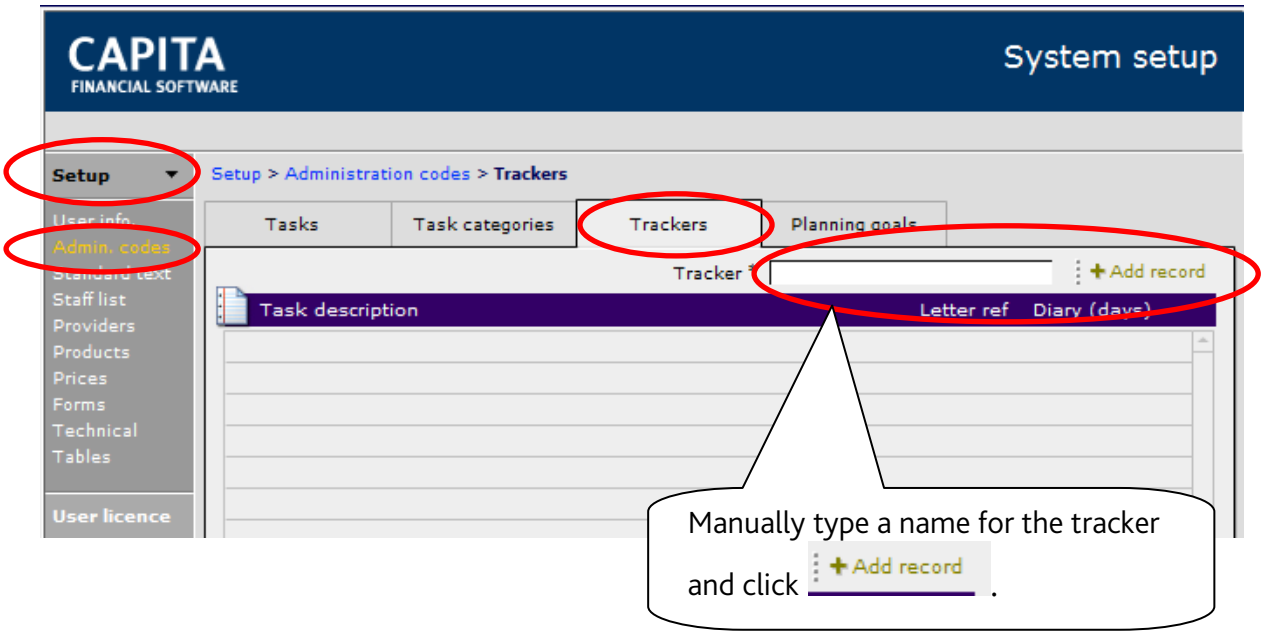
Days from start of tracker for task to be completed.

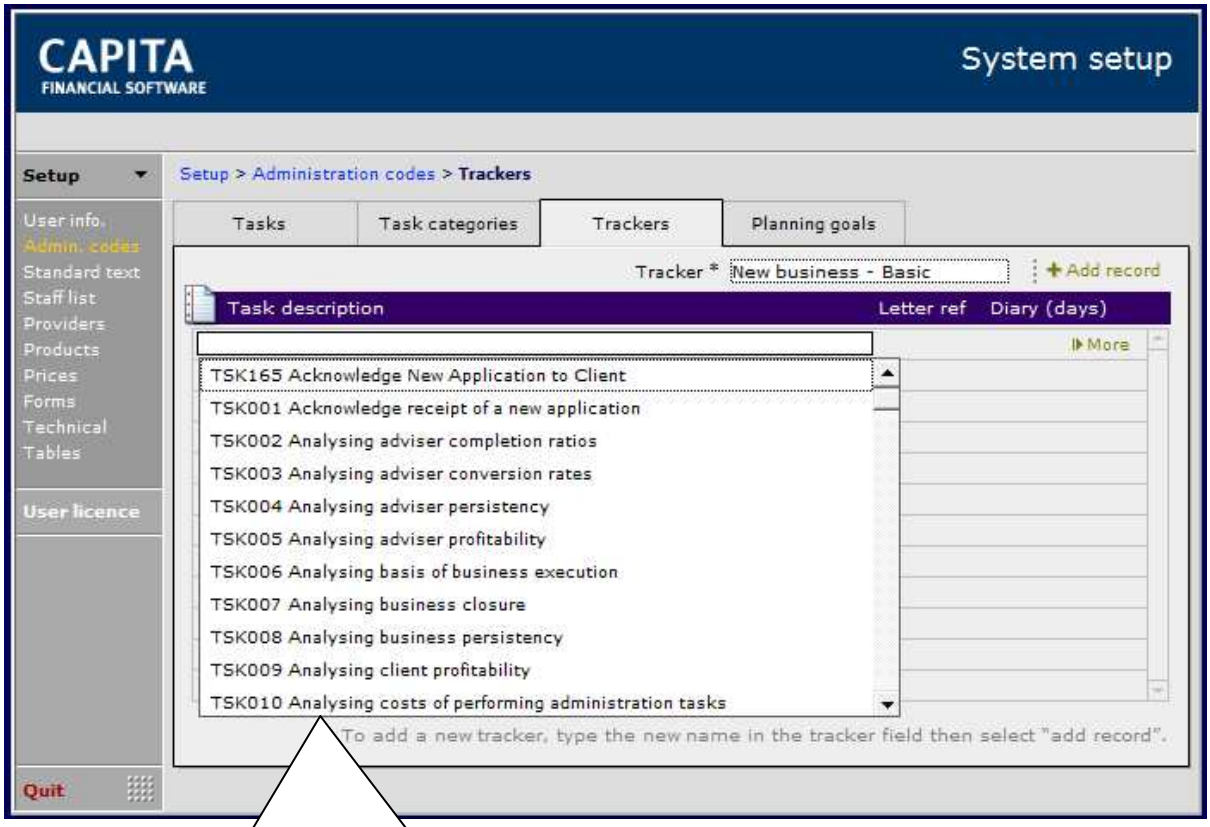



Next any standard letters already set up in your CCD can be attached to the task. Once a letter has been attached to the task every time the task is used when the message tab is accessed in the task/work record the already selected letter will appear.

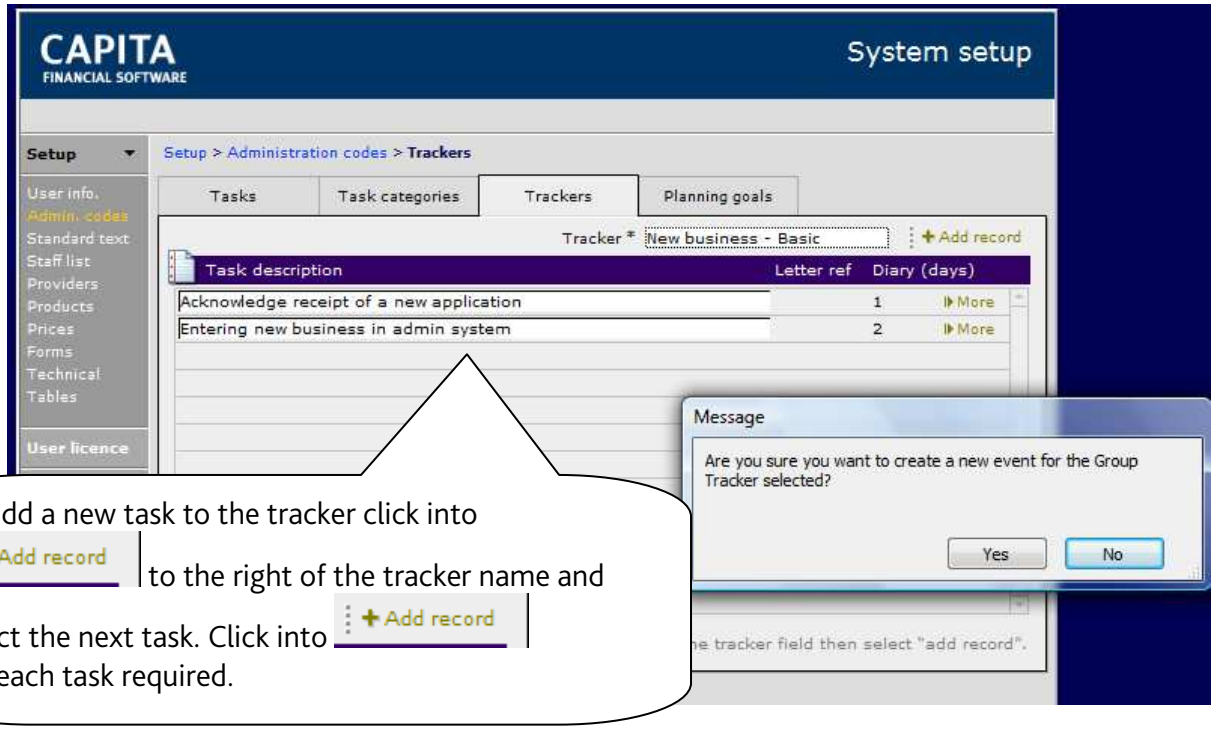



All the preparation has now been done and the tracker can now be added to CCD.

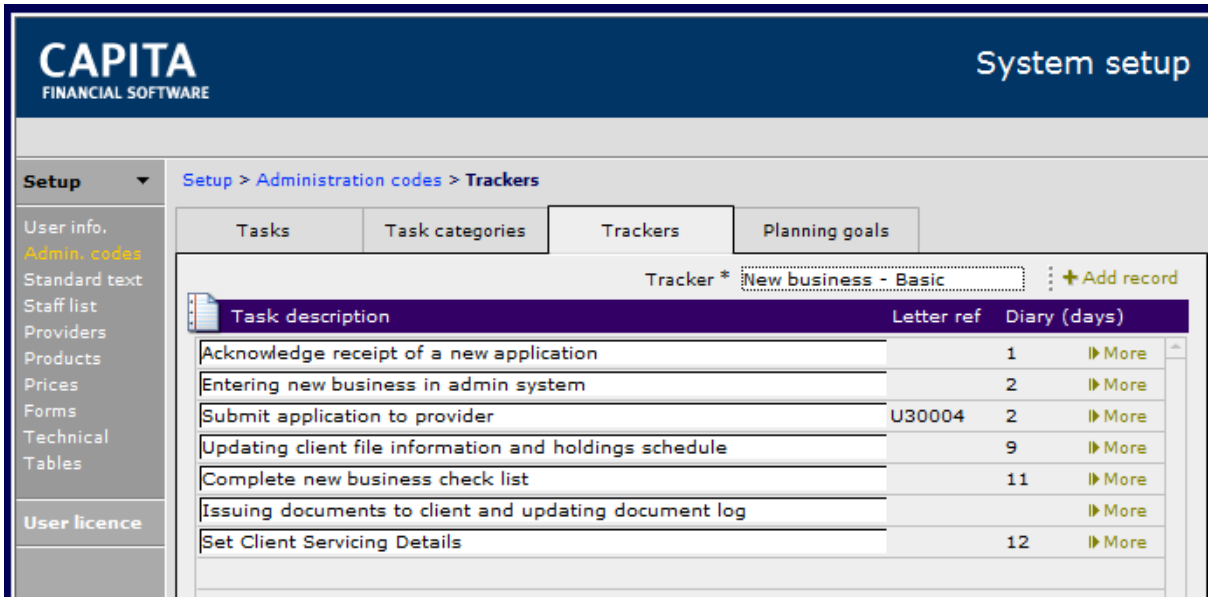





Select each task in the order already set out on your paper list.




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.

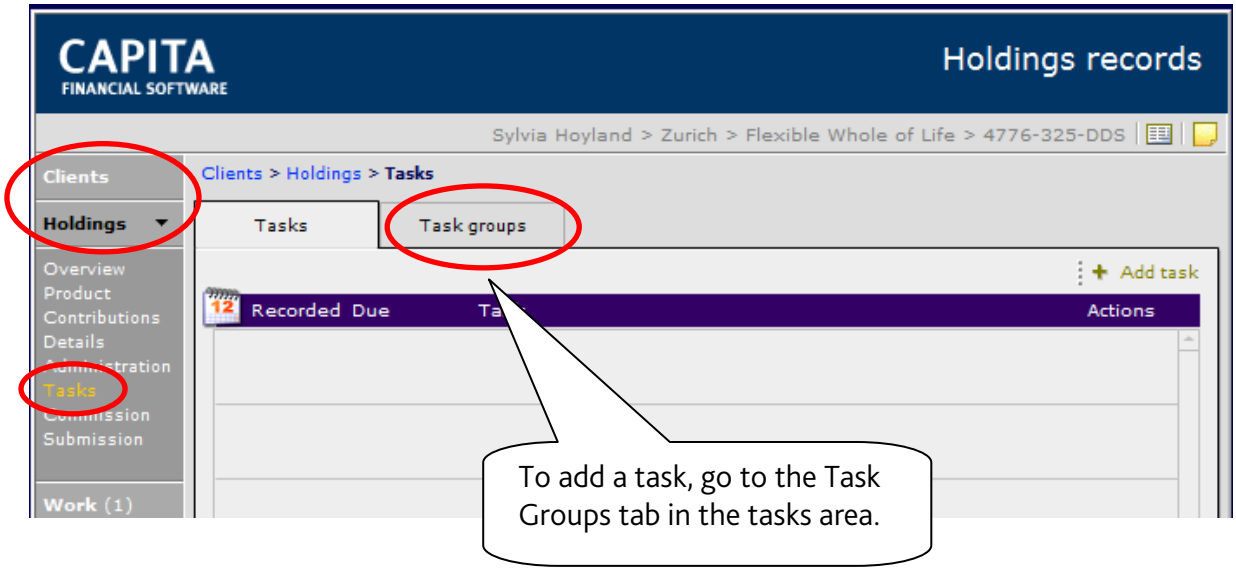


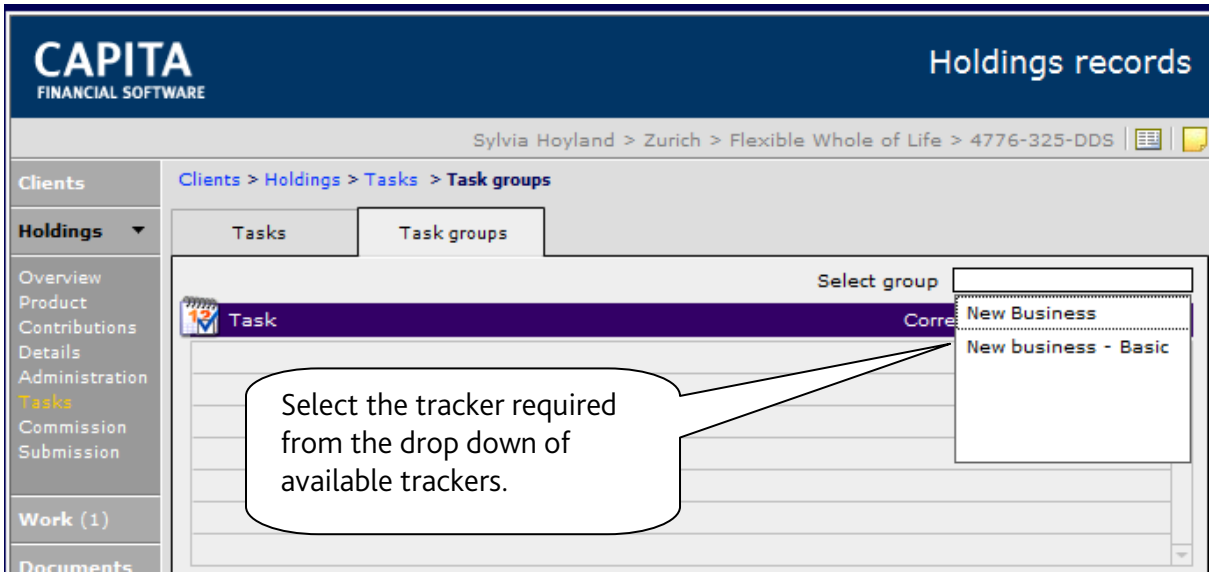

Once a Tracker has been set up within CCD, it can never be deleted.

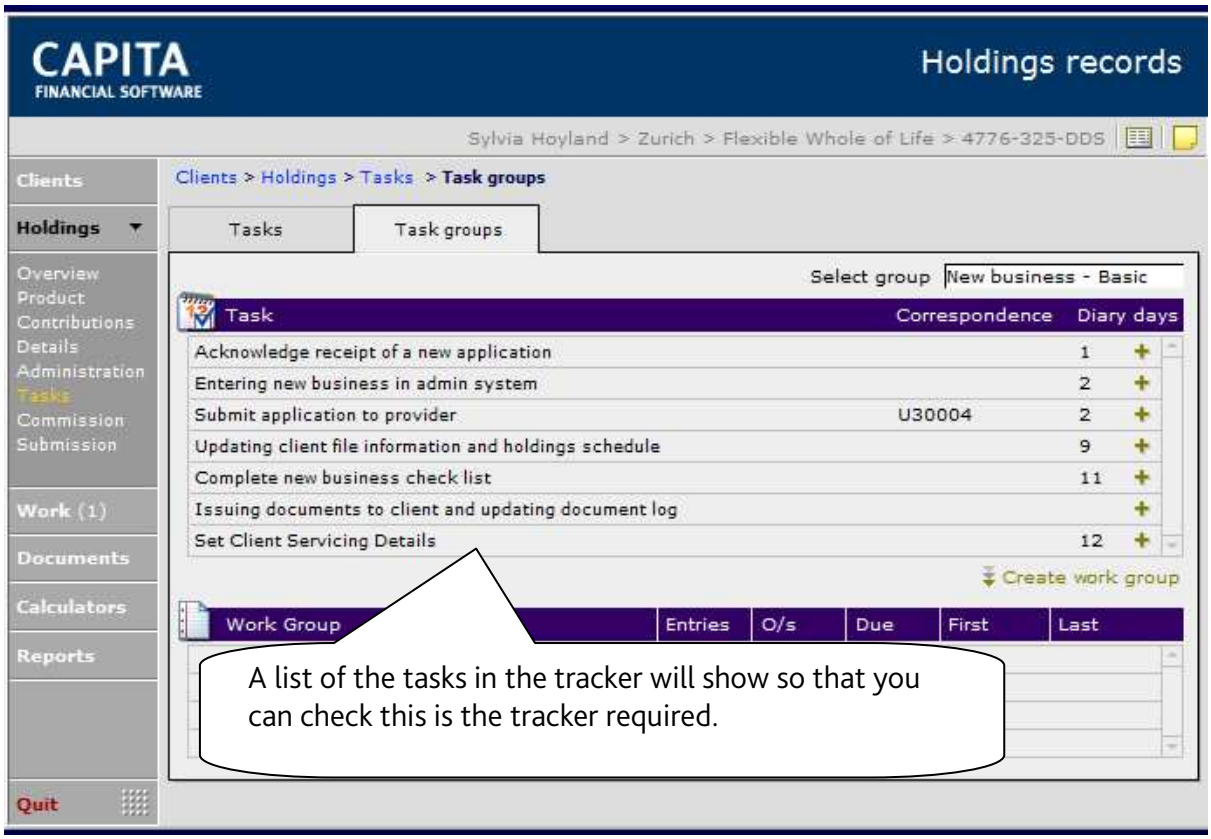
## 6.1. Using Trackers

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.

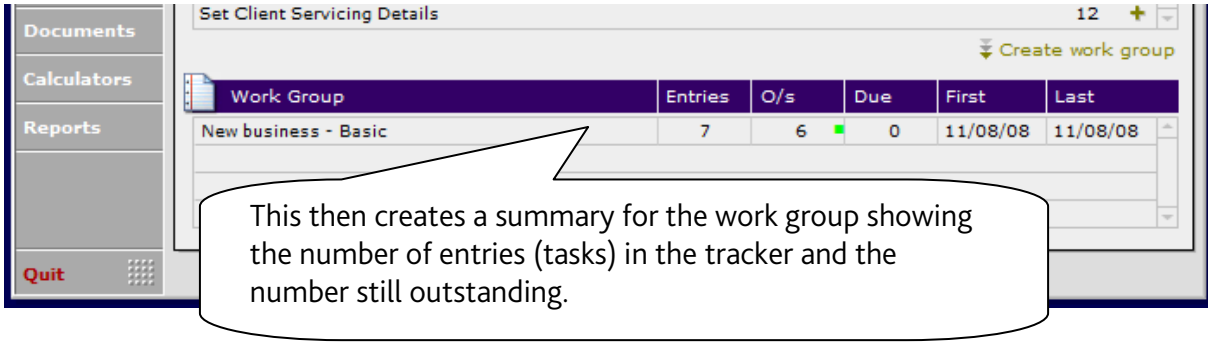
As the tracker we have created is linked to a piece of new business we will look at how this is added in the tasks section of a holding.



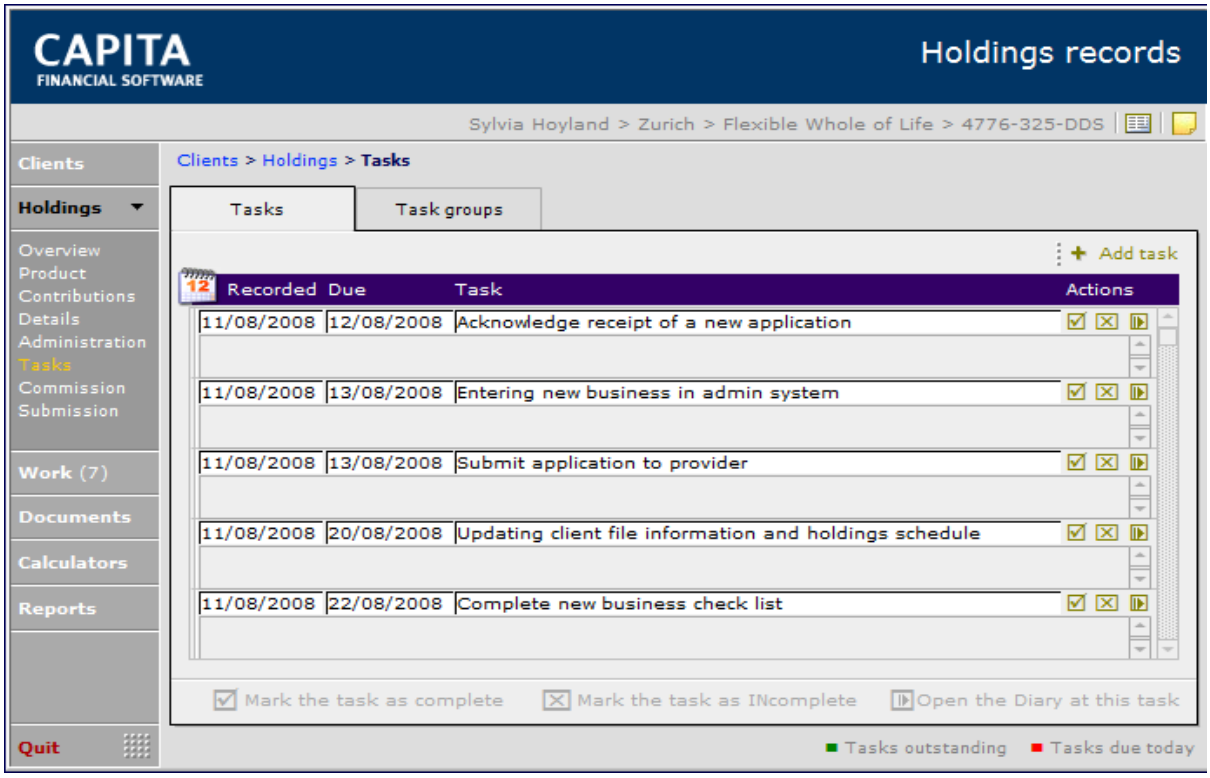


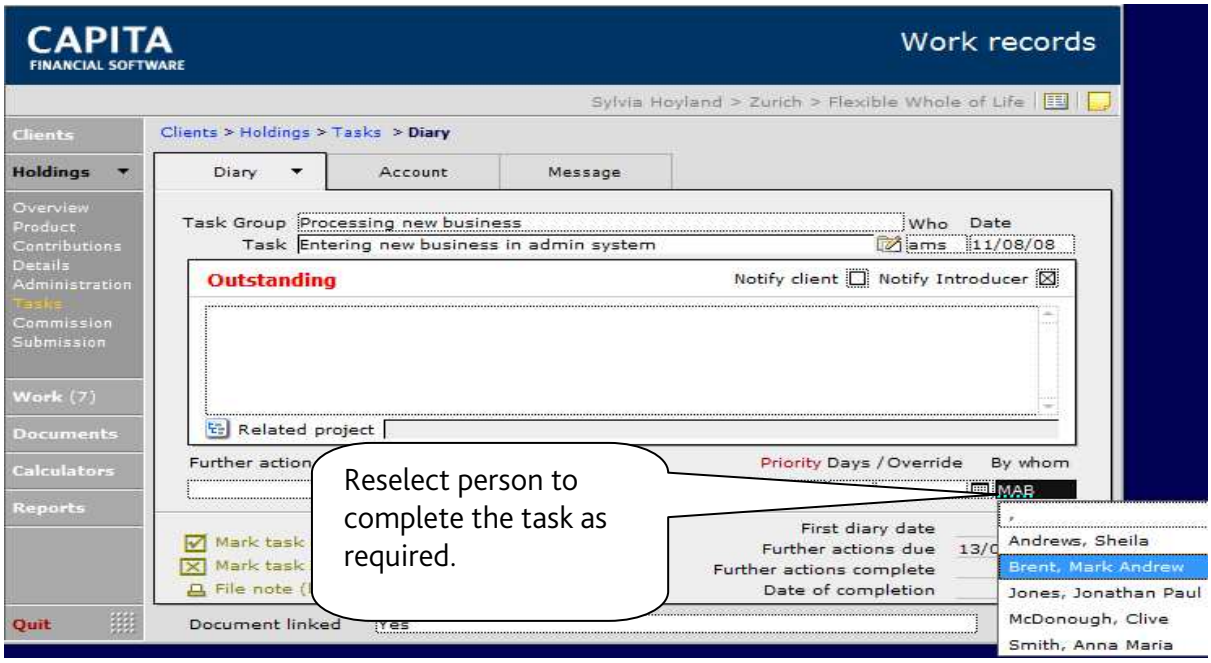

Once you are happy that the tracker selected is the tracker required click into the Create work group.




Return to the main task list for the holding.

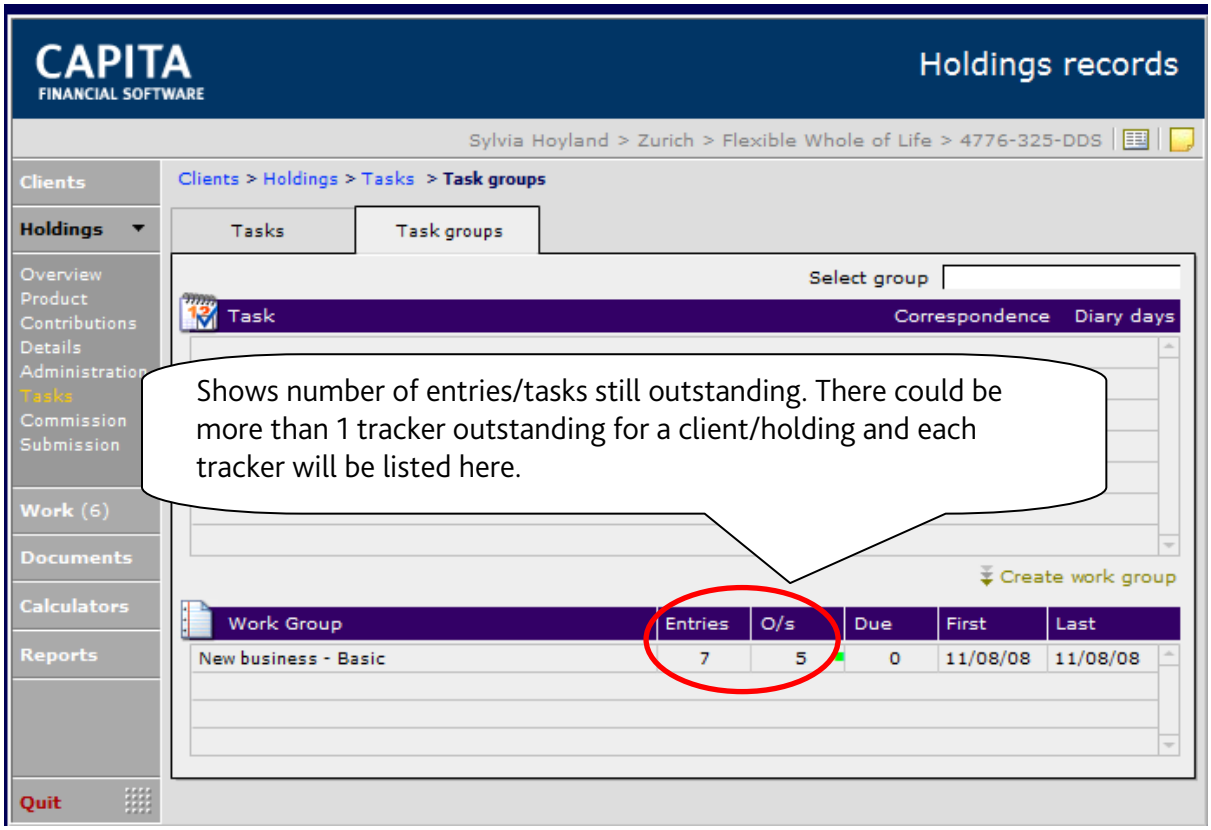



Each task in the tracker has been added to the holdings task list as an individual task, they are all at this stage are outstanding. You can now go into each task and reset the person required to complete each task from the staff drop down as required. Every task in the tracker will have defaulted to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

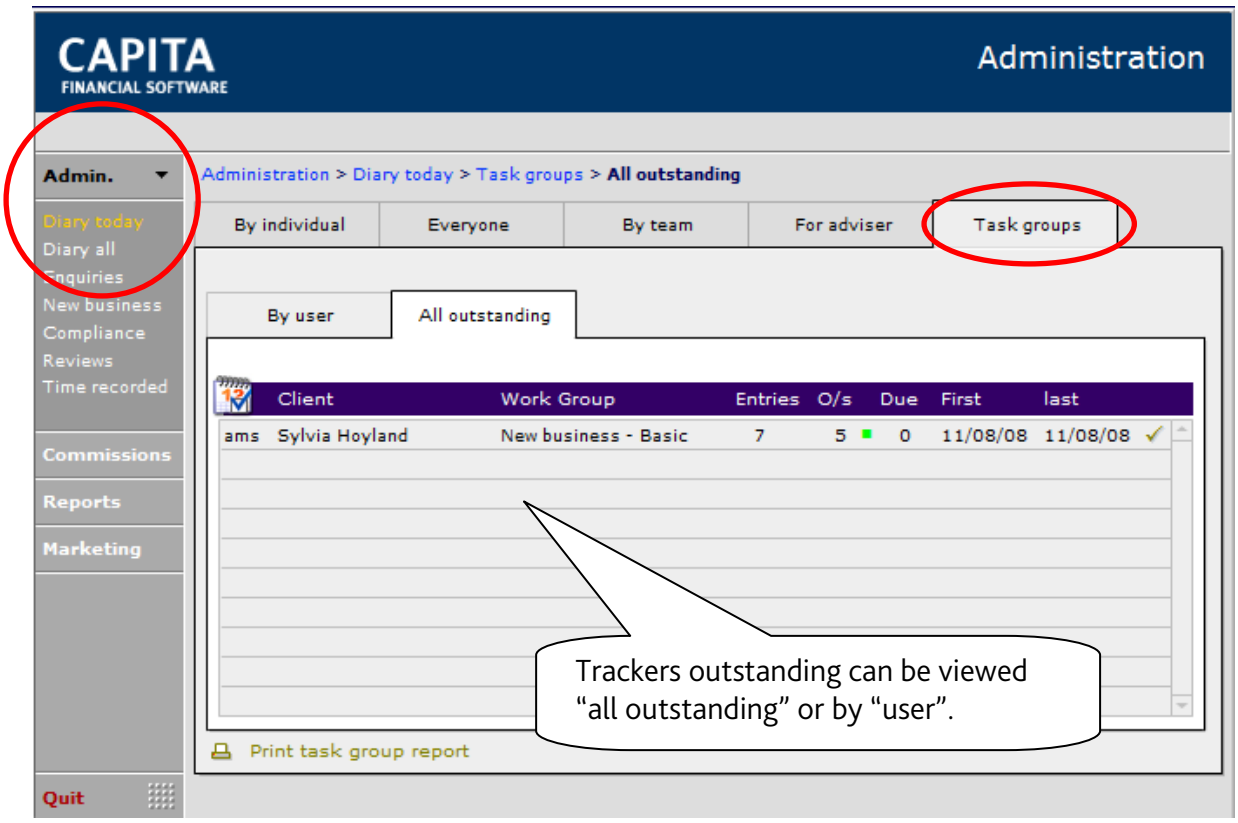



The progress of trackers can be followed in 2 ways.

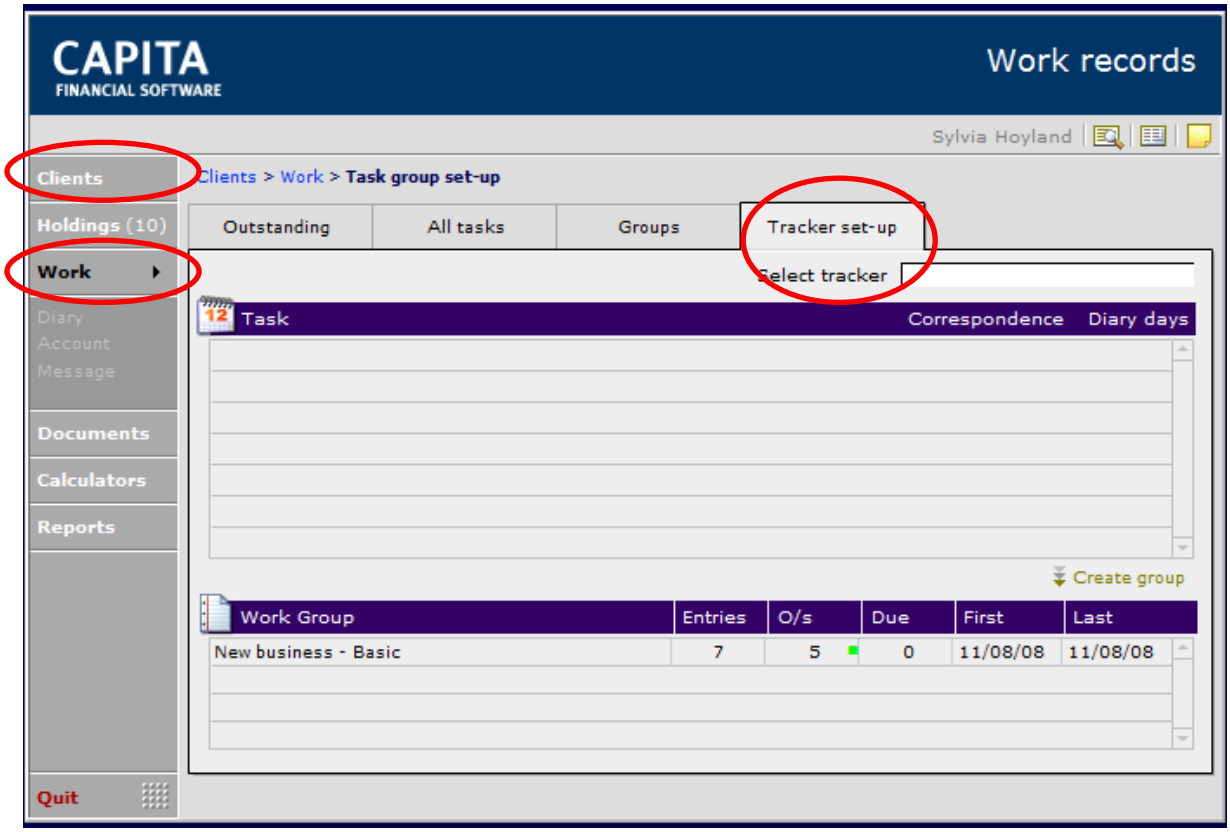
1. On the Task groups tab of the holdings task section.



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




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

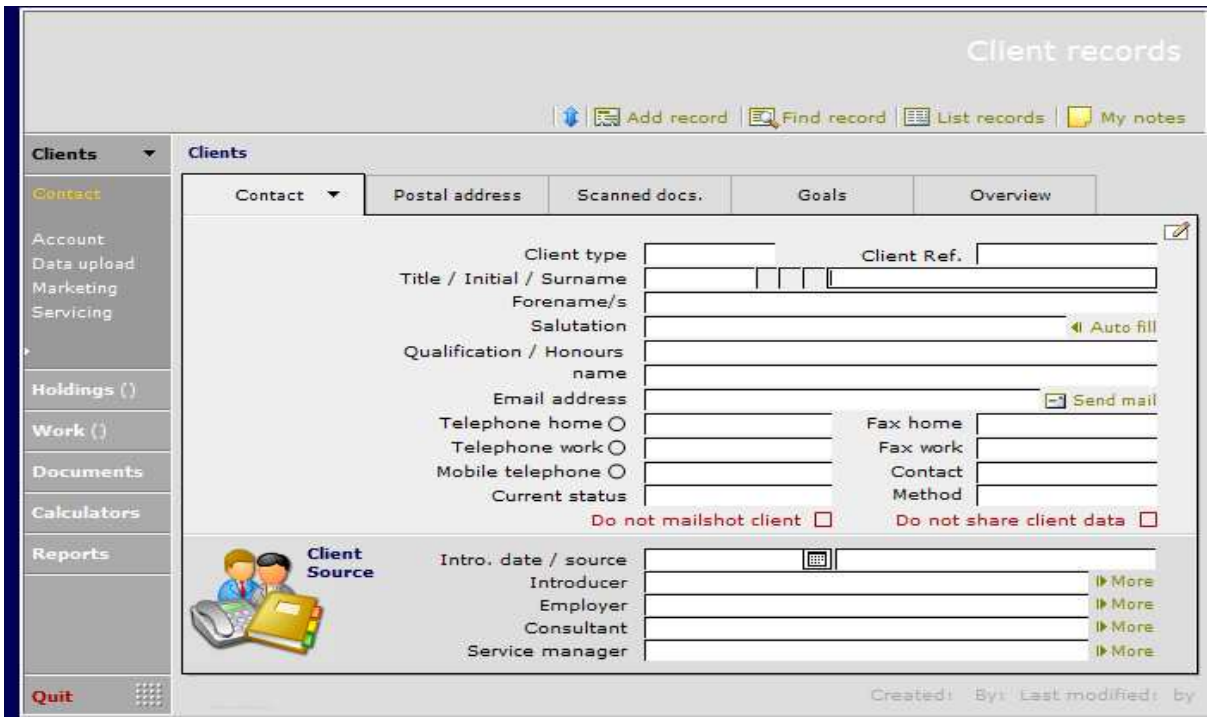



NB. As with work and tasks, trackers added at task level will be available to view in both tasks and work, while trackers added at work level will only be available at work level.

# 7. SEARCHING YOUR DATABASE

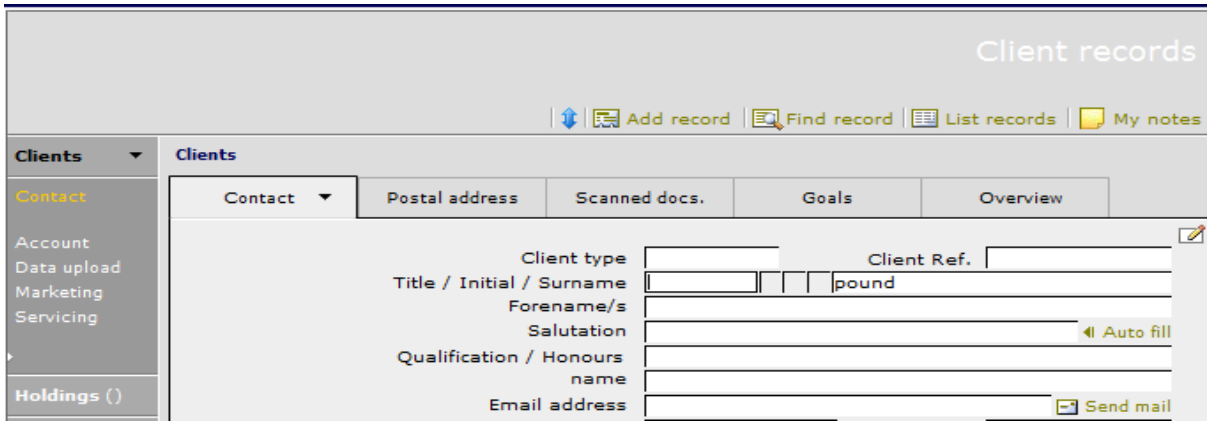
## 7.1. The Basic Search

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

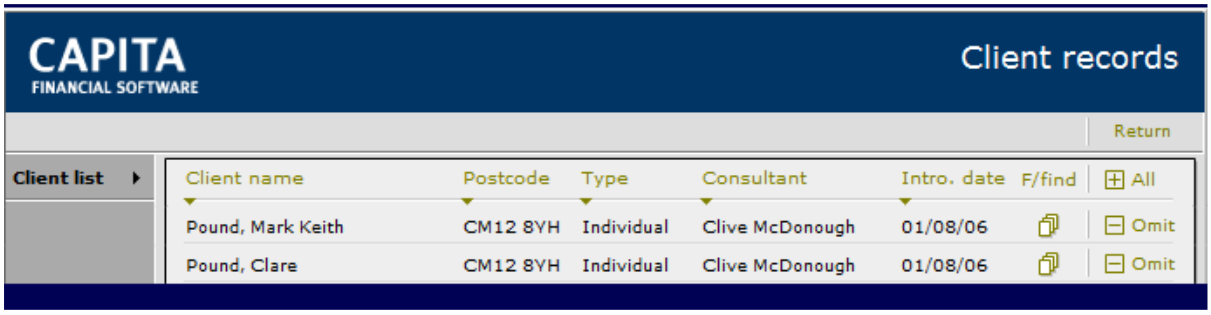



The clients surname is the most commonly used method of searching the system. Therefore your cursor will appear in surname field first. This is a free type field so you can enter the full or part surname in order to conduct your search.

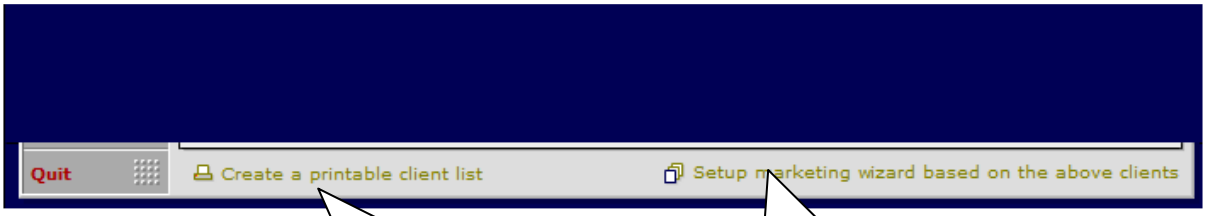
To add additional information move your cursor into the relevant field and then either type or select from the drop down presented. Once you have entered your information press the ENTER key on your keyboard.




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




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

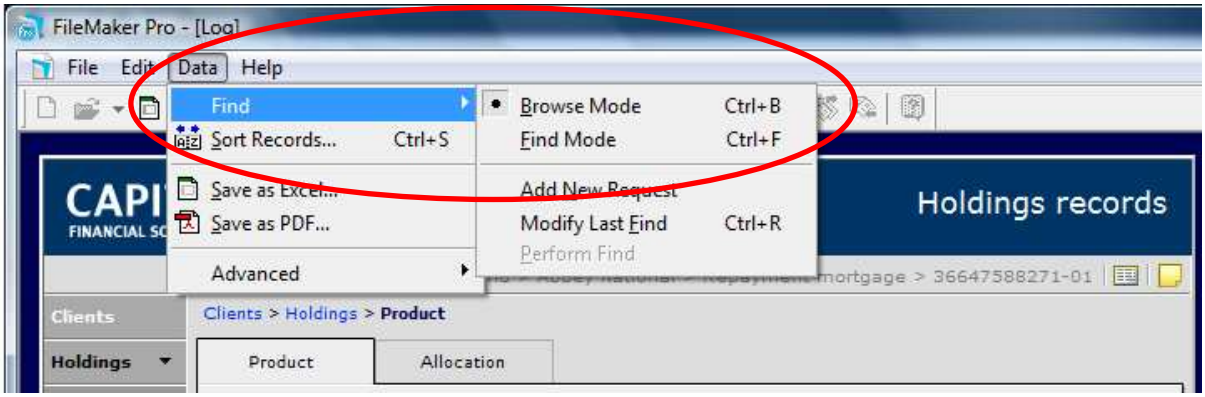



Gives a hard copy of the clients selected addresses and telephone numbers (will give the favoured telephone number as set on the front page of the clients record.)

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

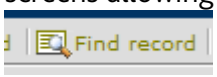
## 7.2. Using the Browse and find options

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

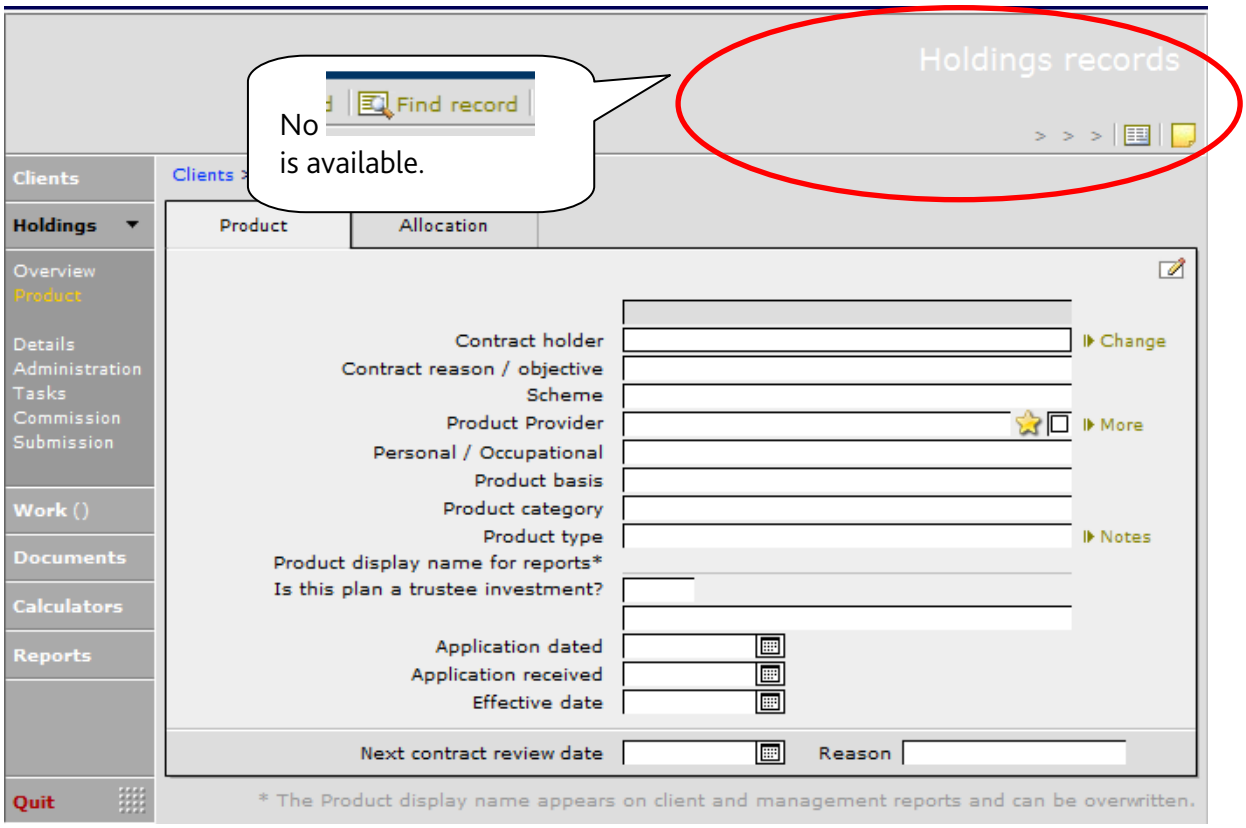



This option can be used to change the screen you are on into a "find" mode if needed, this option is not available for all but is dependent on the user level allocated to the staff member in their security details.

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 

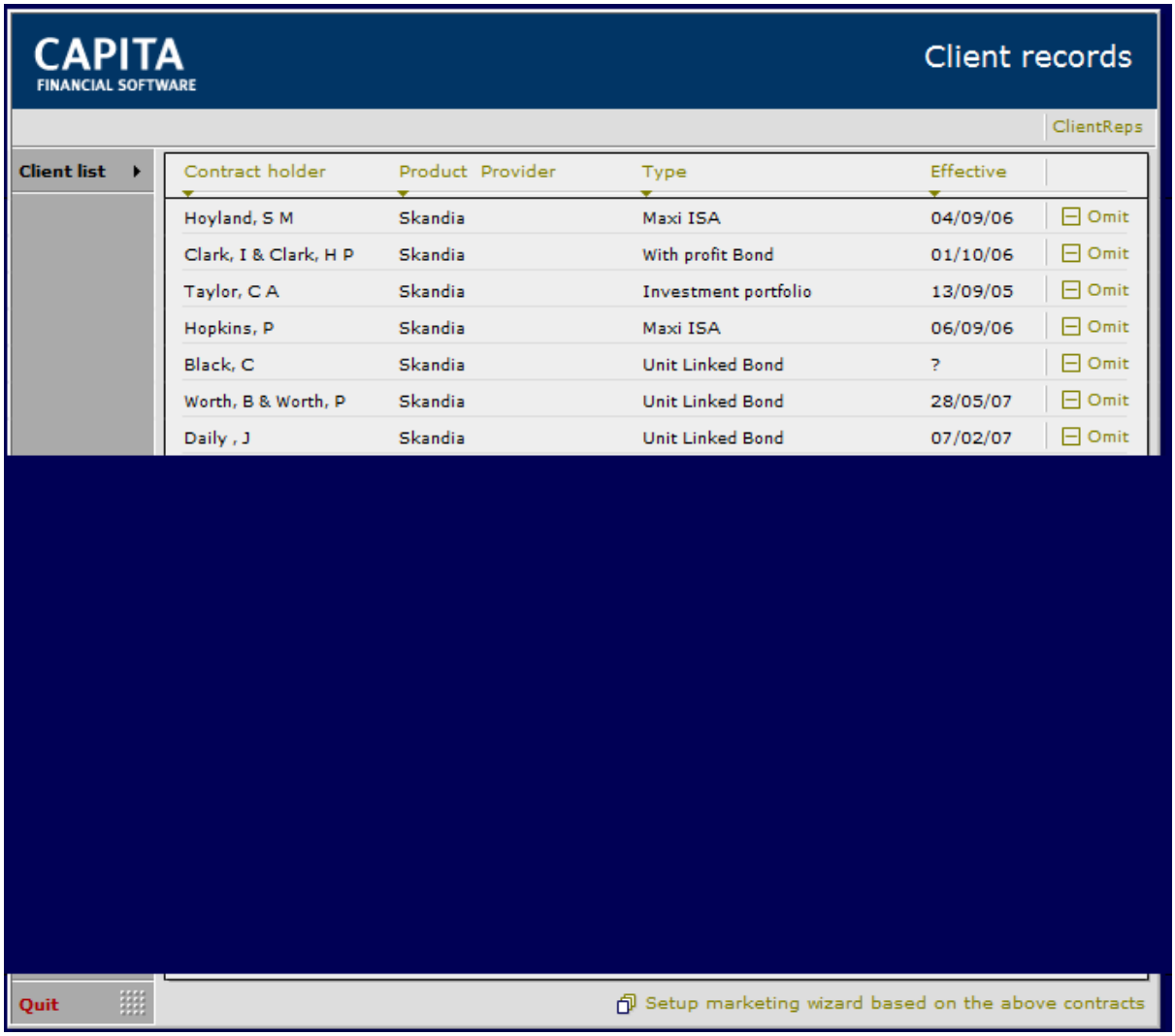
button is not available.




Searches can now be made by provider, product type, product category, policy number or nay 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 citeria set with the option to switch straight to a marketing campaign.




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

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

CAPITA FINANCIAL SOFTWARE — Holdings records

Sylvia Hoyland > Skandia > Maxi ISA > 366477266M

Clients > Holdings > Product

Product | Allocation

Add note

| | |
|---|---|
| Application status | In force |
| Contract holder | Hoyland, S M |
| Contract reason / objective | Investment of lump sum |
| Scheme | |
| Product Provider | Skandia |
| Personal / Occupational | Personal |
| Product basis | Investment |
| Product category | Individual Savings Accounts |
| Product type | Maxi |
| Product display name for reports* | Maxi ISA |
| Is this plan a trustee investment? | |
| Contract number | 366477266M |
| Application dated | 29/08/2006 |
| Application received | 29/08/2006 |
| Effective date | 04/09/2006 |
| Next contract review date | 01/05/2007 |
| Reason | |

Change | More | Notes

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

Clients | Holdings | Overview | Product | Contributions | Details | Administration | Tasks | Commission | Submission | Work (6) | Documents | Calculators | Reports | Quit

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

FileMaker Pro - [Log]

File Edit Data Help

Browse

Layout: Product

Record: 4

Found: 7

Total: 80

Unsorted

Rollerdex to allow you to move through the records selected click onto the page to move to the next record.

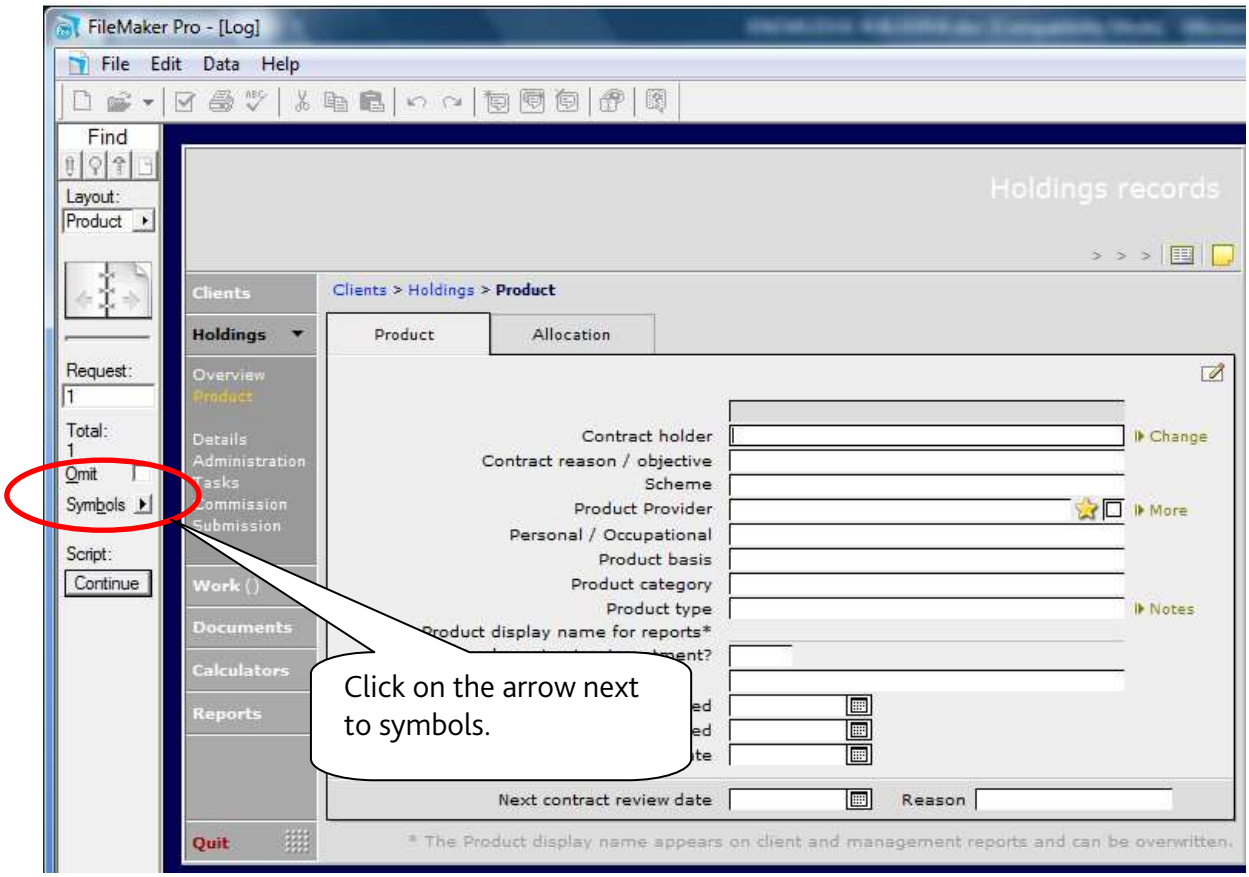
Shows the record currently being viewed.

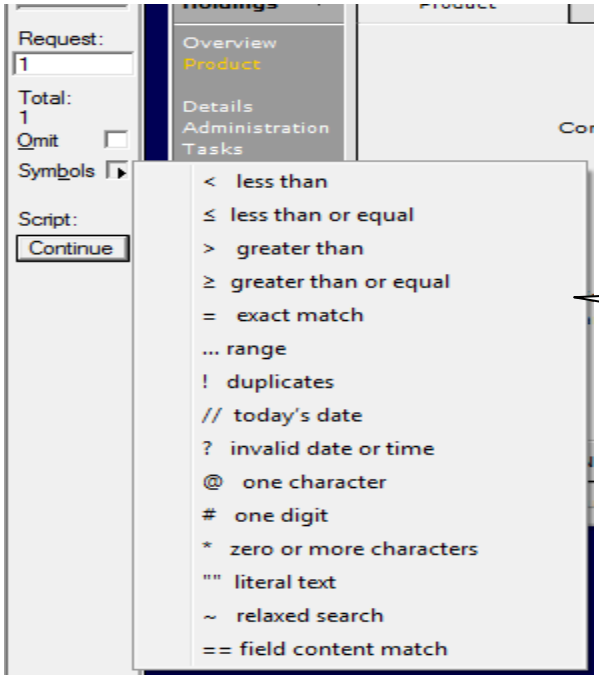
Shows the number of records in the found set.

Shows the number of this type of record in the data base.

### 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.





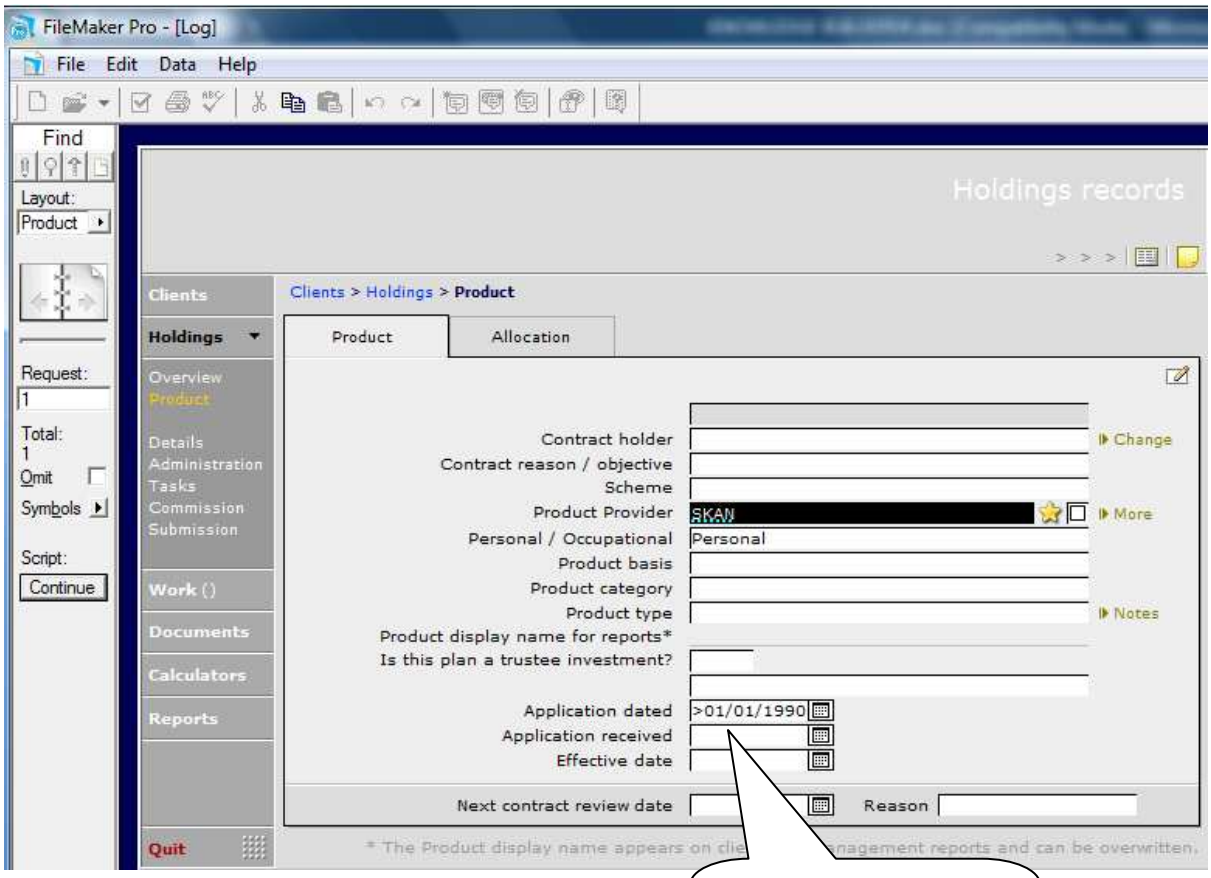

These characters can be used by themselves or in addition to any other letters or numbers to conduct a search.

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

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

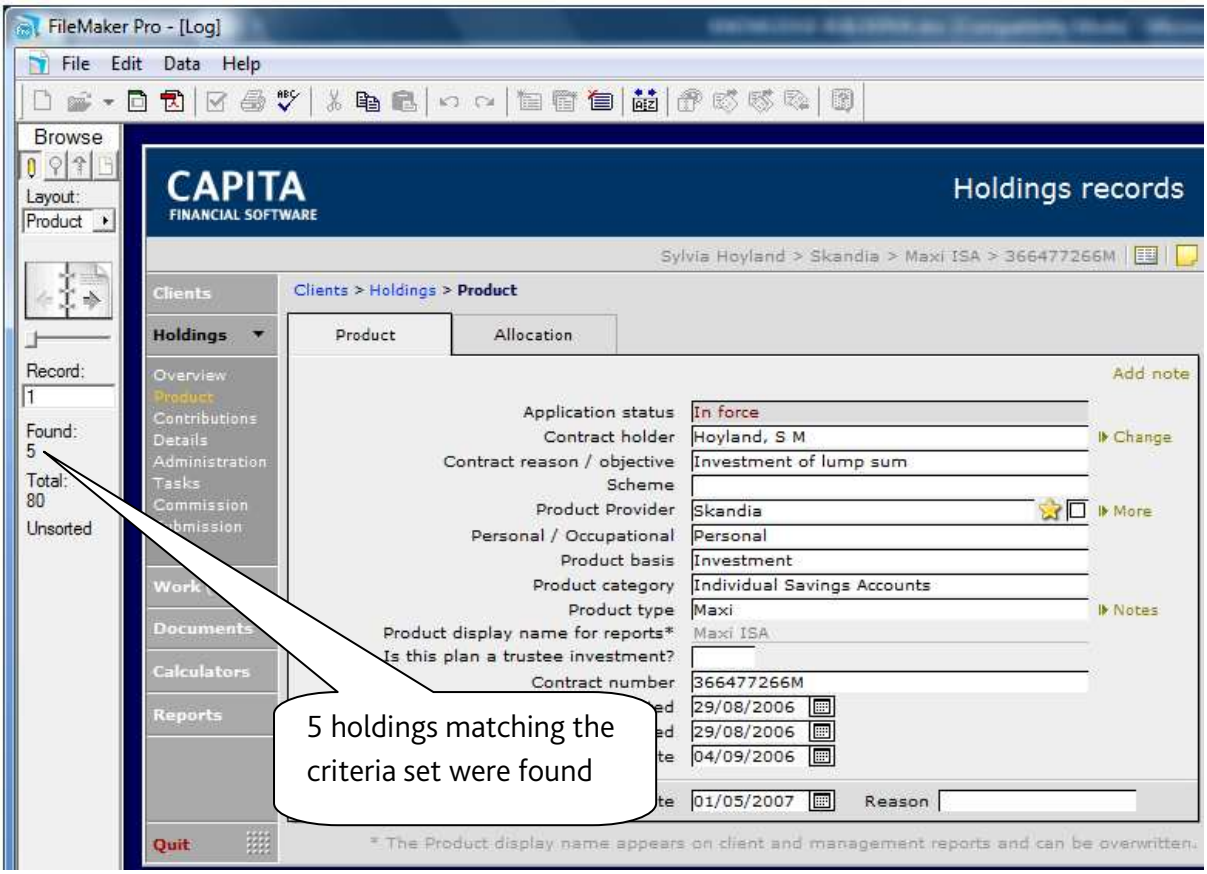
The example below shows how these additional characters could be used on the holdings screen.

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




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

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 | 5587876211 | 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 | Sheila Andrews | | 07/08/06 | £75.00 |
| Christine Taylor | Monthly service fee | Client fee | Client fee | Sheila Andrews | | 07/09/06 | £75.00 |
| Hopkins, P | Maxi ISA | SIB675678 | Renewal | Sheila Andrews | 06/09/06 | 06/12/06 | £0.10 |
| Hopkins, P | Maxi ISA | SIB675678 | Initial - regular | Sheila Andrews | 06/09/06 | 06/12/06 | £7.50 |
| Delwar Patel | Up front Fee | Client fee | Client fee | Clive McDonough | | 10/09/06 | £595.00 |
| Christine Taylor | Monthly service fee | Client fee | Client fee | Sheila Andrews | | 07/10/06 | £75.00 |
| Christine Taylor | Monthly service fee | Client fee | Client fee | Sheila Andrews | | 07/11/06 | £75.00 |
| Christine Taylor | Monthly service fee | Client fee | Client fee | Sheila Andrews | | 07/12/06 | £75.00 |
| Gemma Clift | Monthly service fee | Client fee | Client fee | | | 01/12/06 | £50.00 |
| Worth, B & Worth, P | Unit Linked Bond | sib676788 | Initial - Indemnity | Mark Andrew Brent | 28/05/07 | 28/05/07 | £1,500.00 |
| Clark, I & Clark, H P | Unit Linked Bond | | Suspense | Sheila Andrews | 01/10/06 | 28/08/06 | £403.00 |
| Dent, G P | Income Protection | | Suspense | Sheila Andrews | 01/10/06 | 01/10/06 | £593.00 |
| Christine Taylor | Monthly service fee | Client fee | Client fee | Sheila 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 | Sheila 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 | Sheila 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

Omit

Symbols

Script: Continue

Return Print Preview Extract

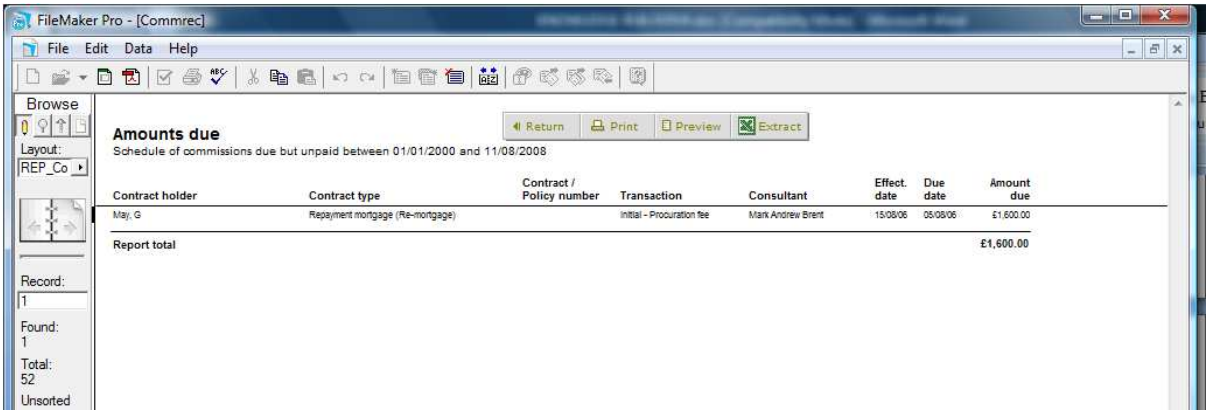
**Amounts due**

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 |
|---|---|---|---|---|---|---|---|
| | | | | | | | |

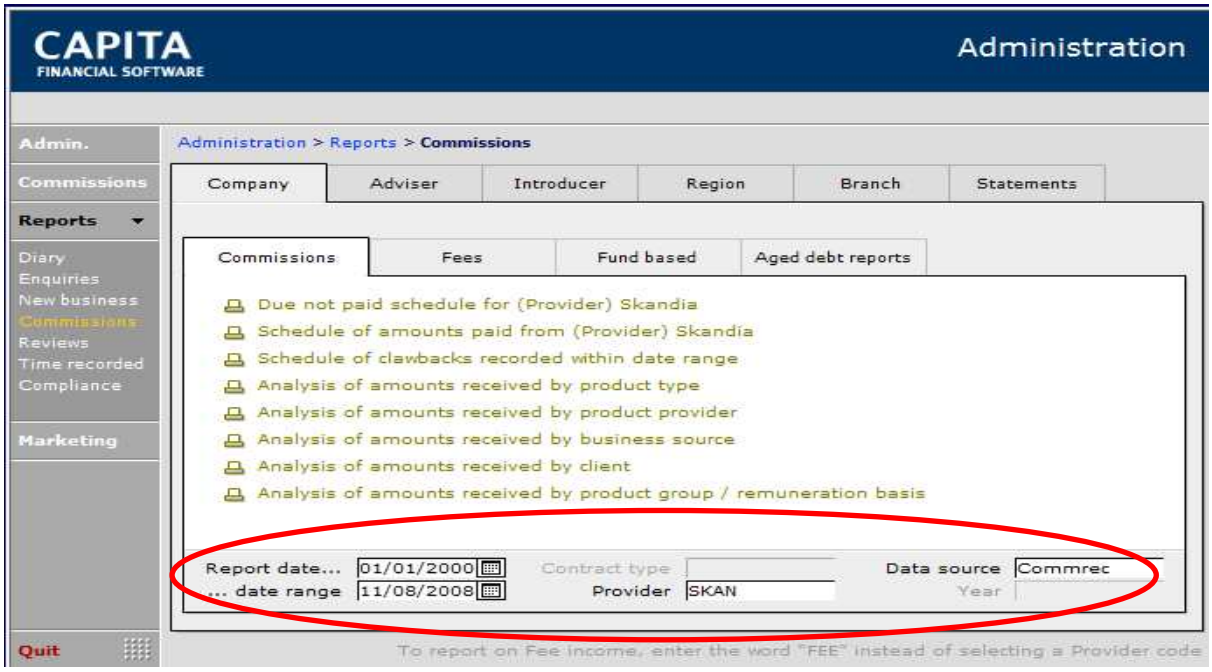
Report total

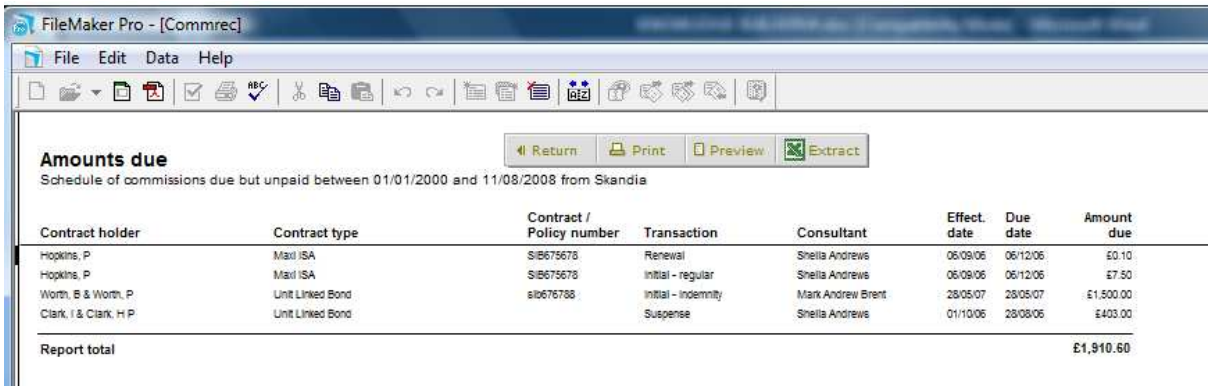
The example below shows how to find any unpaid procuration fee where it is greater than £300.


### 7.3.1. Modify Search

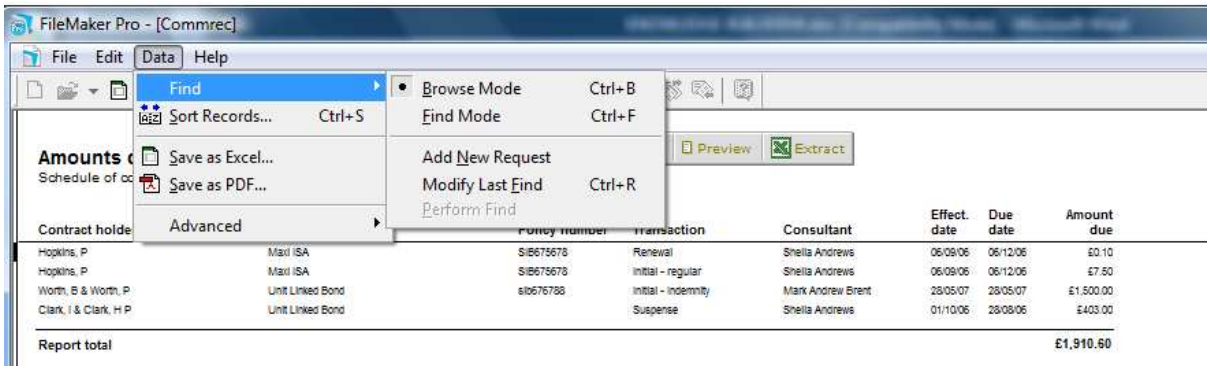
When using reports you have the option to modify the search criteria that you have entered. A report is in itself a "found set" the find criteria being set by the scripting behind the report. Once the report has been run you have the option to modify it.
This report has been run for 'Amount due but not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



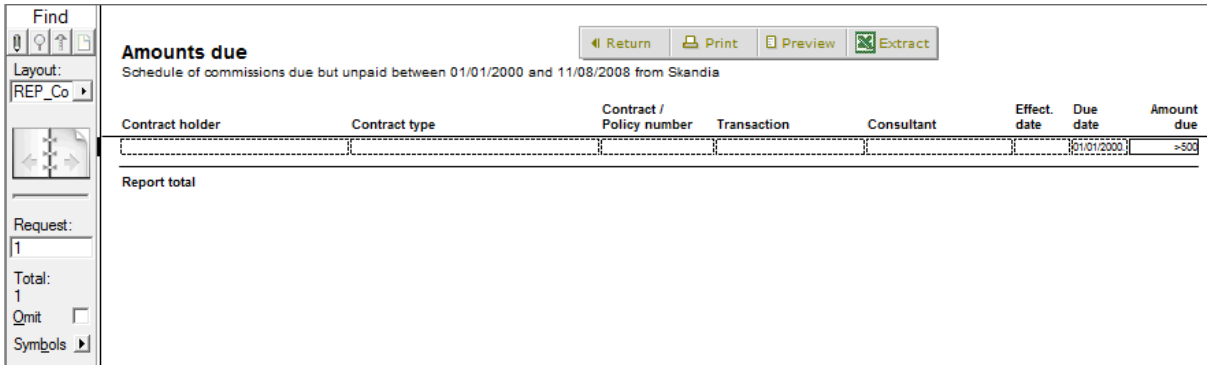



Once you have your report on screen you will see at the top of the screen the filemaker toolbar

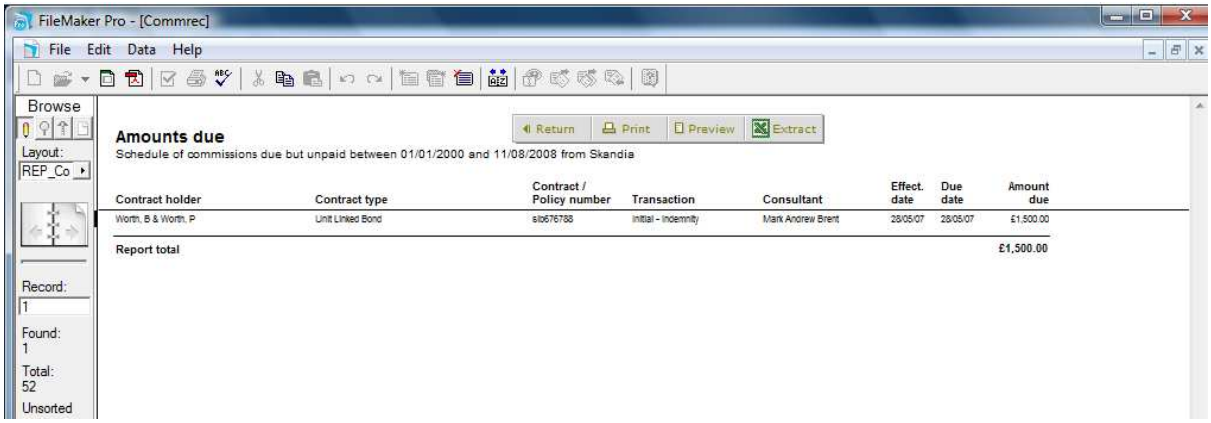

Click into Data and then find and then Modify last find.




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.



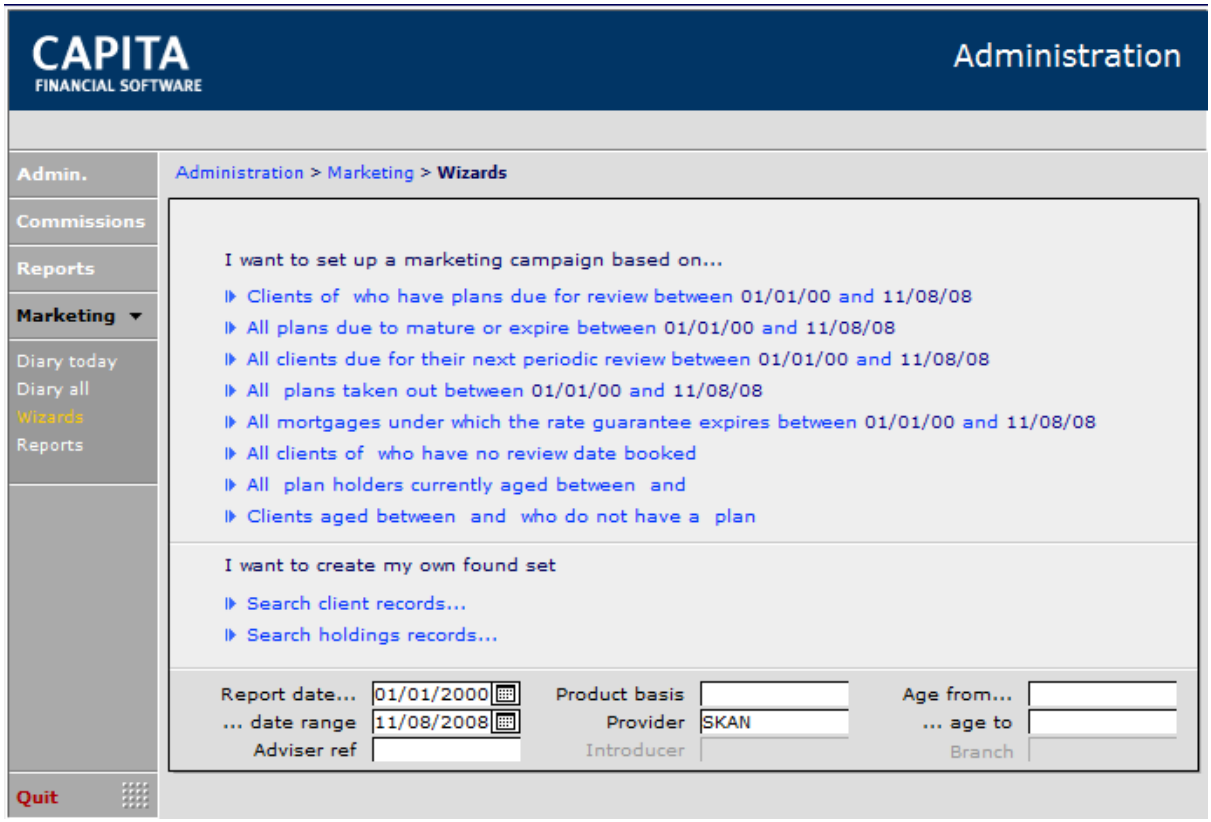

By pressing enter on the keyboard the report will now apply your new criteria to the report, retaining the original report details.




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.

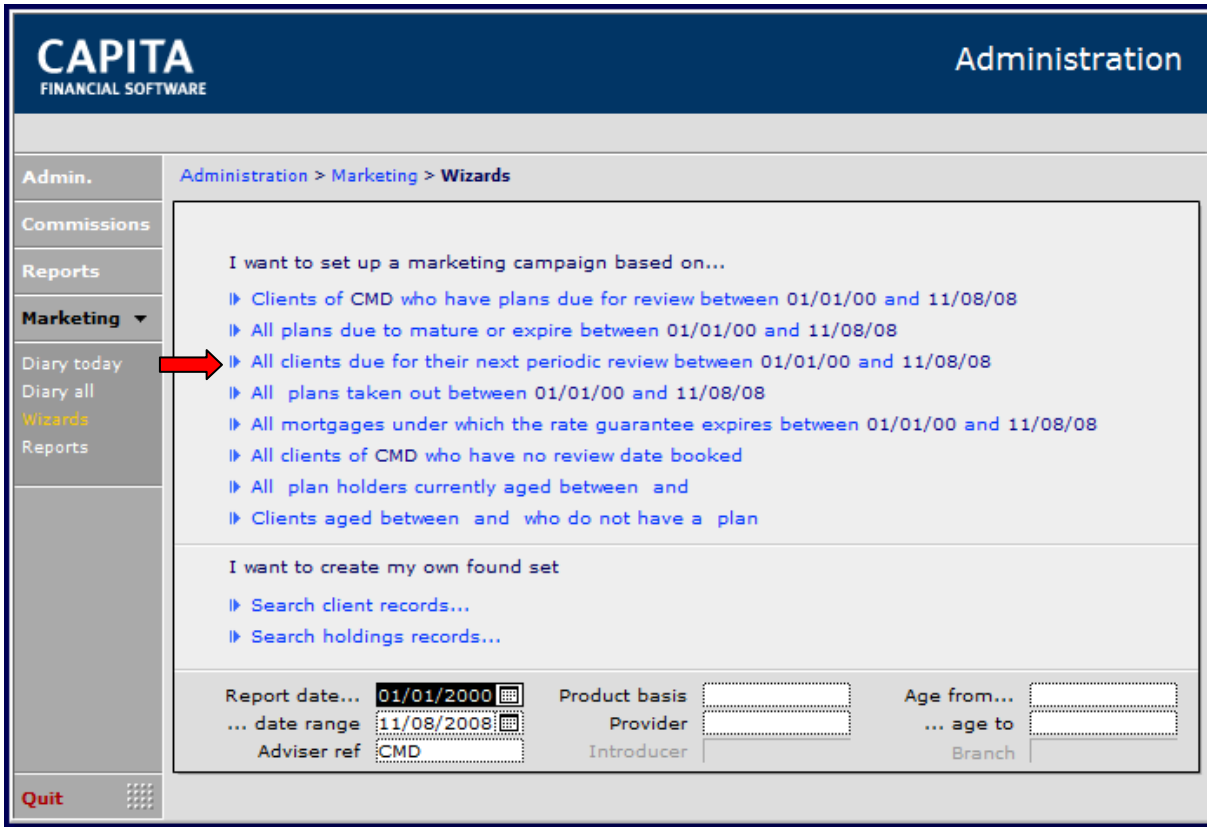
## 8. USING A STANDARD MARKETING WIZARD

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



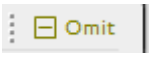

The screen is split into two parts. The upper eight links need to be completed by using the options at the bottom of the screen. The other two links below allow you to create your own searches.

The example below is for all of Clive's clients with reviews due between 01/01/2000 and 11/08/2008.



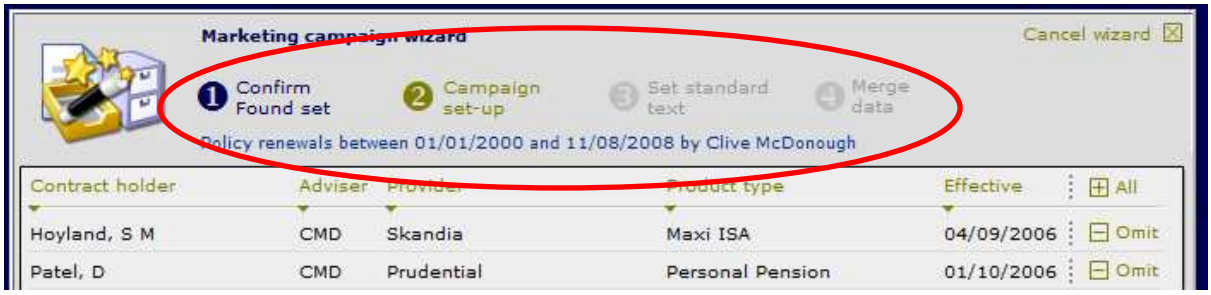

The information is returned in the list format with additional options at the bottom of the page.


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.

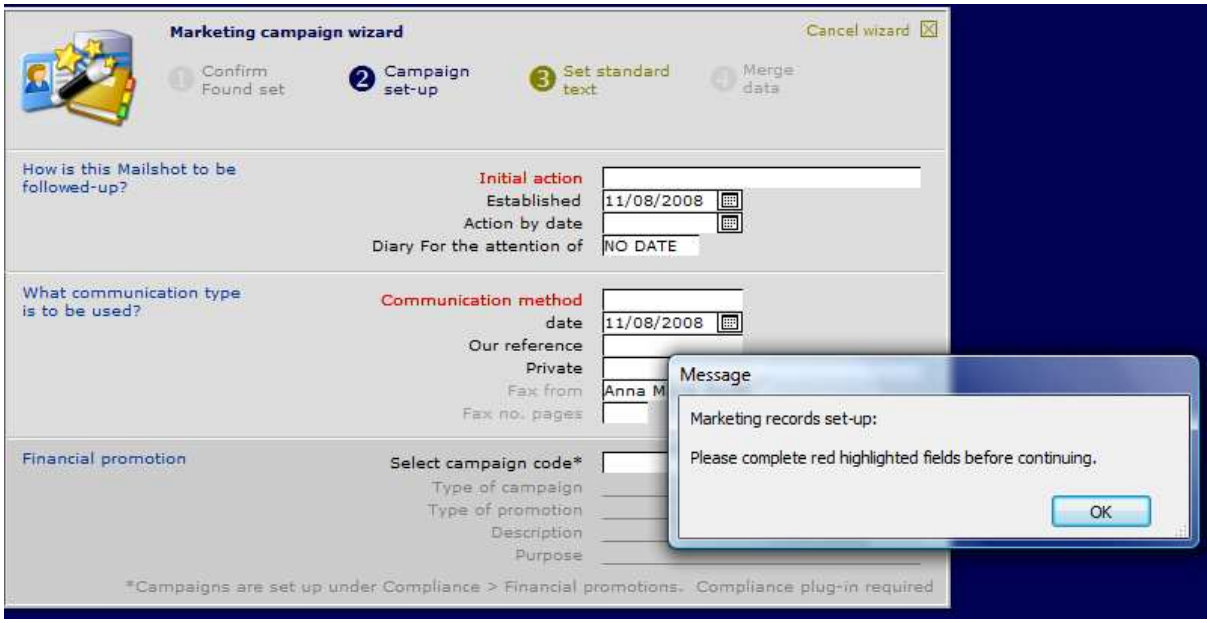

To omit individual records use the 

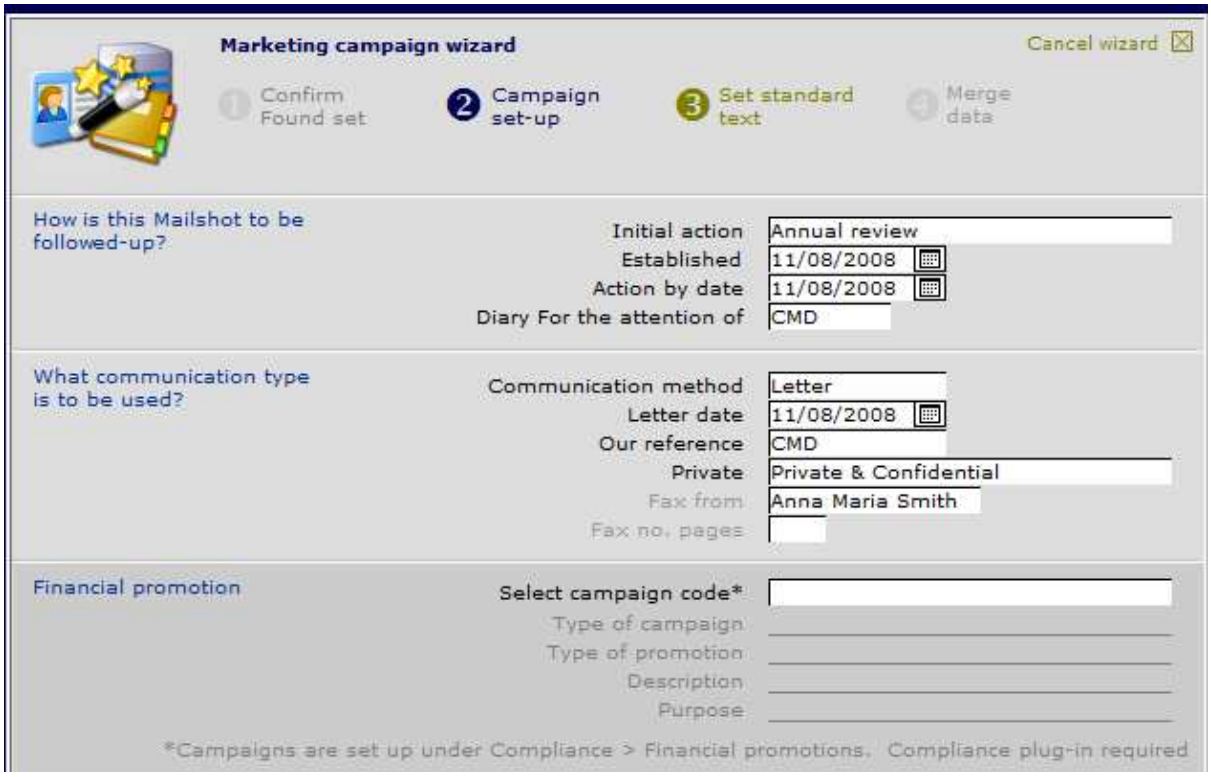
at the end of each record.

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



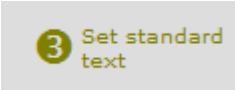

1. Confirm the found set has been completed. (as above)
2. Campaign set-up. This will now check that you wish to use the list of clients found, just one client from the list or to cancel the marketing wizard.



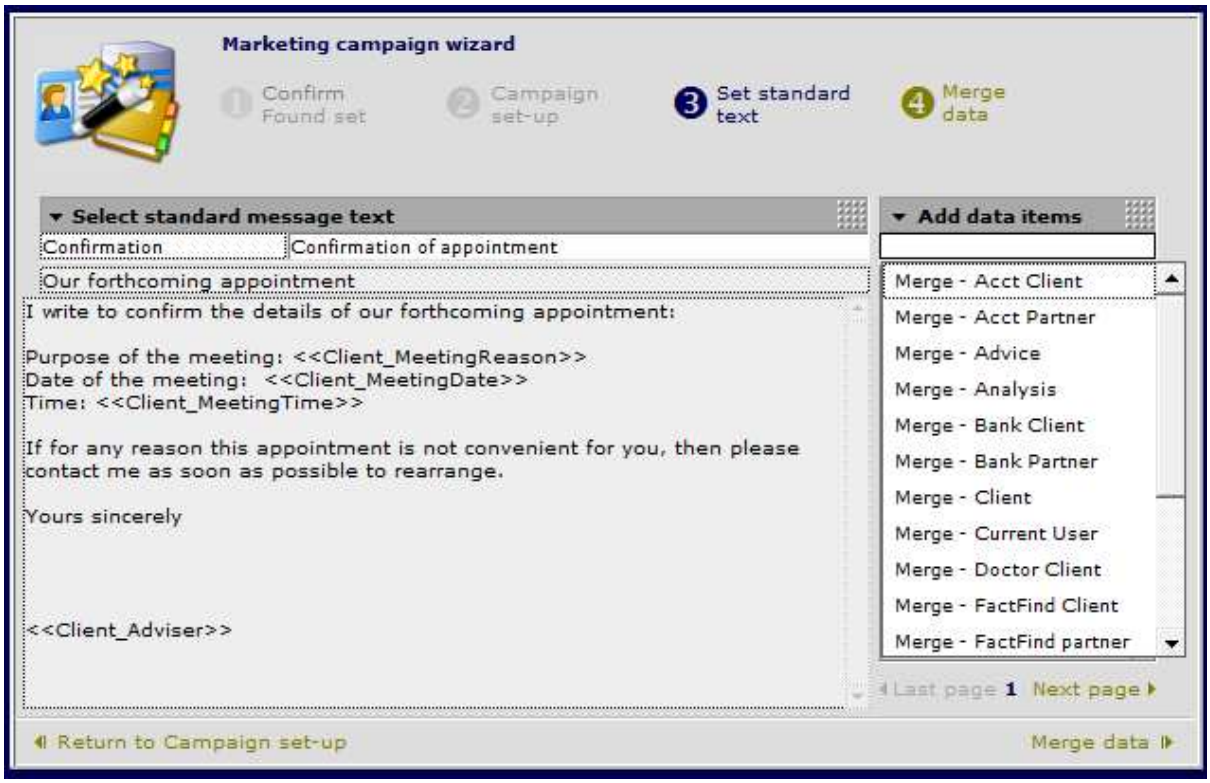




Complete the fields as required. If the compliance module is being used to monitor campaigns select the campaign code from the drop down box

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.

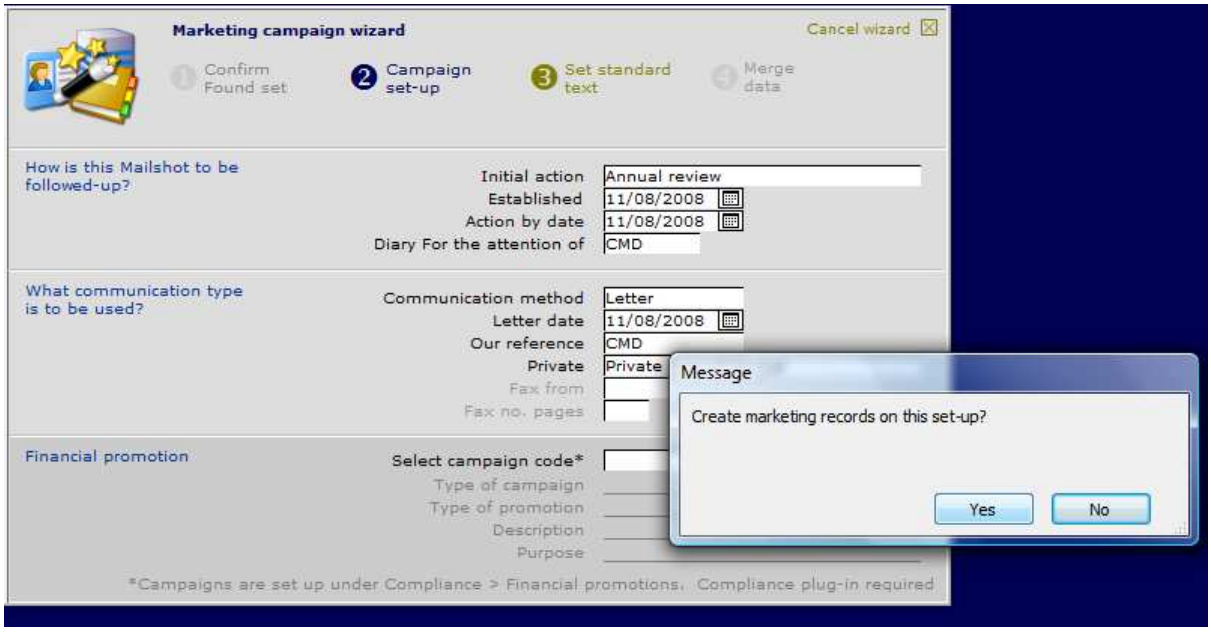
Click onto the 

and you will see the letter selection screen similar to the screen seen in Work/Tasks.

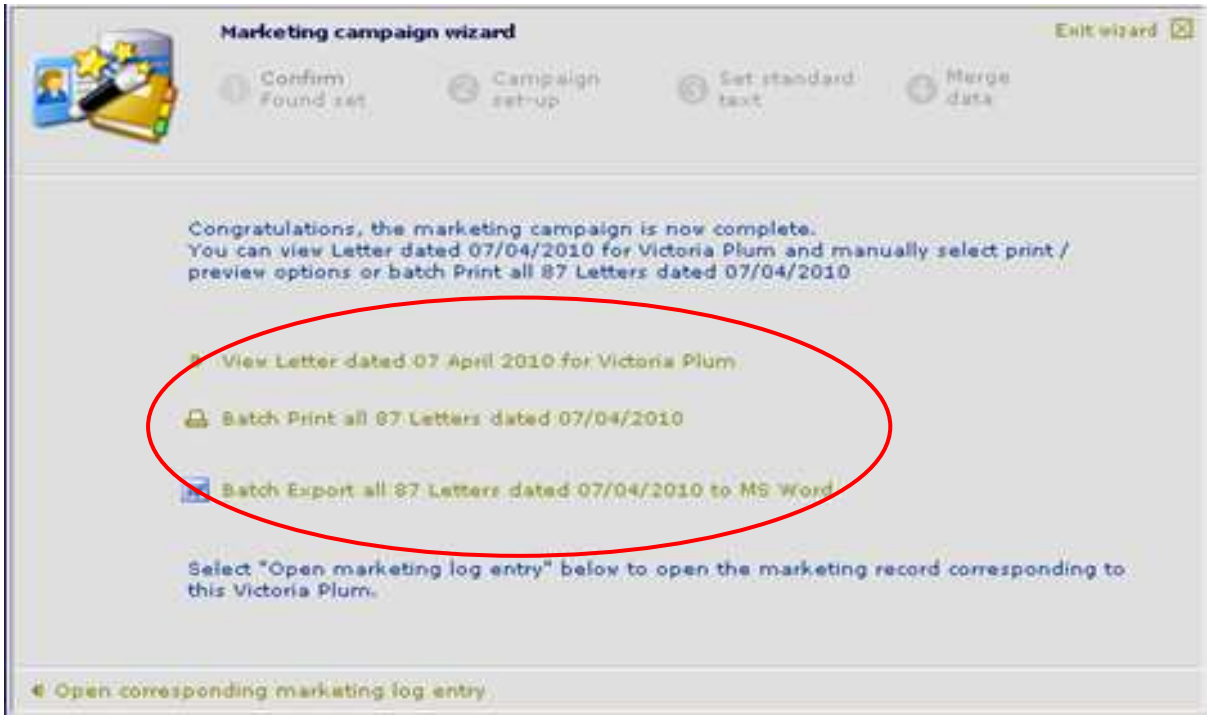



Select/type/create your letter using merge fields where required in exactly the same way as in Work/Tasks.

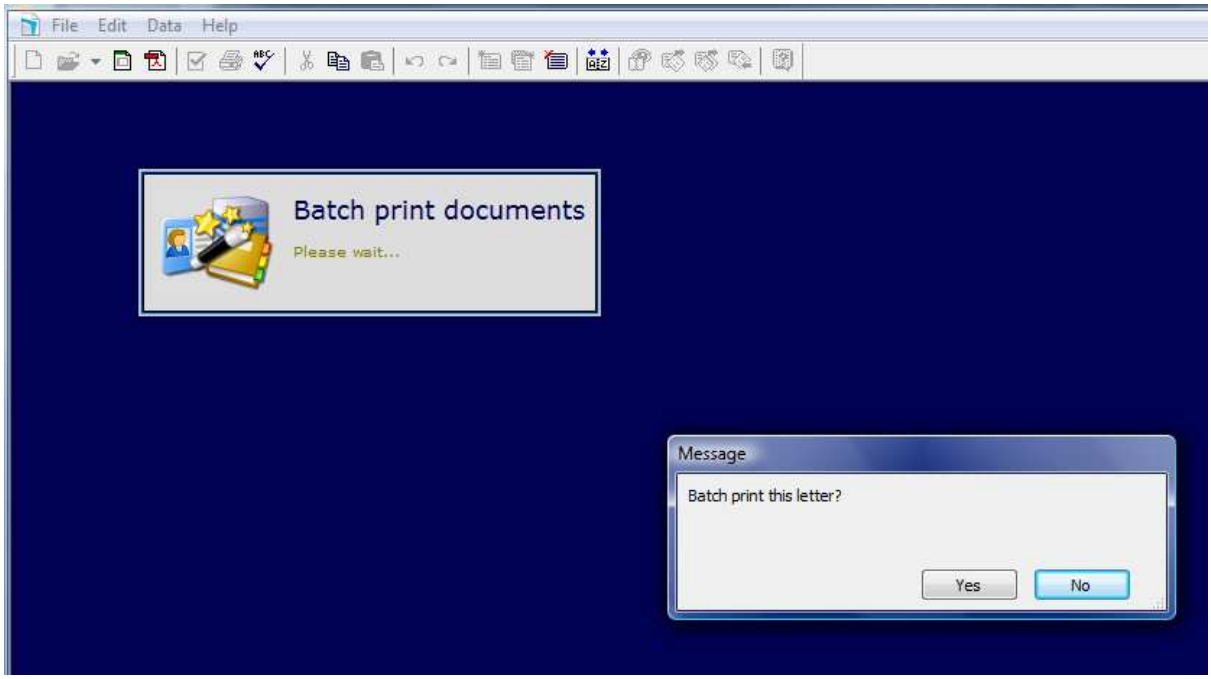
4. Merge Data. Click onto the merge data link and you will be asked to confirm that marketing records should be created for the found set.



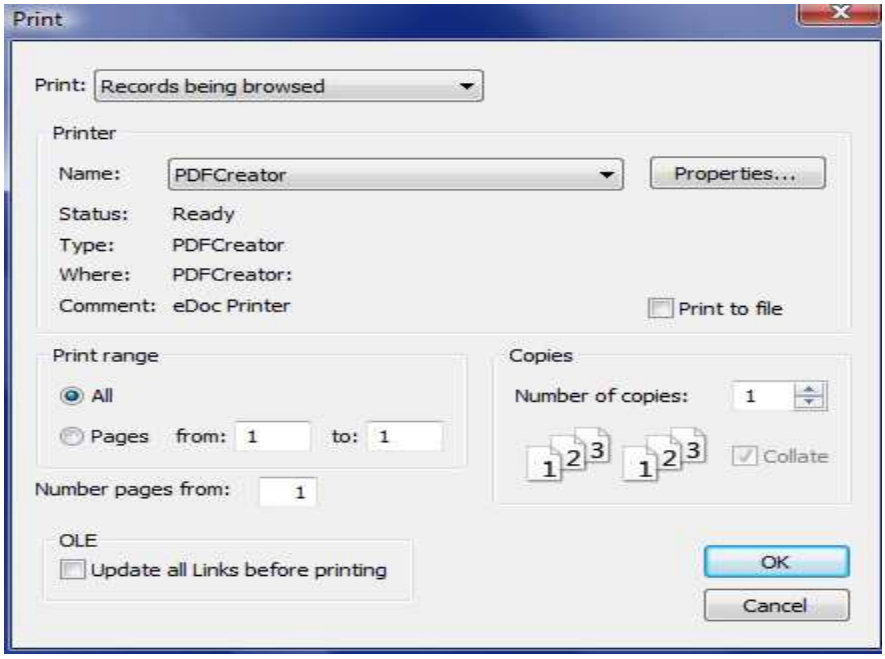

Once the data has been merged you will get the option to view the letters or to batch print them.




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



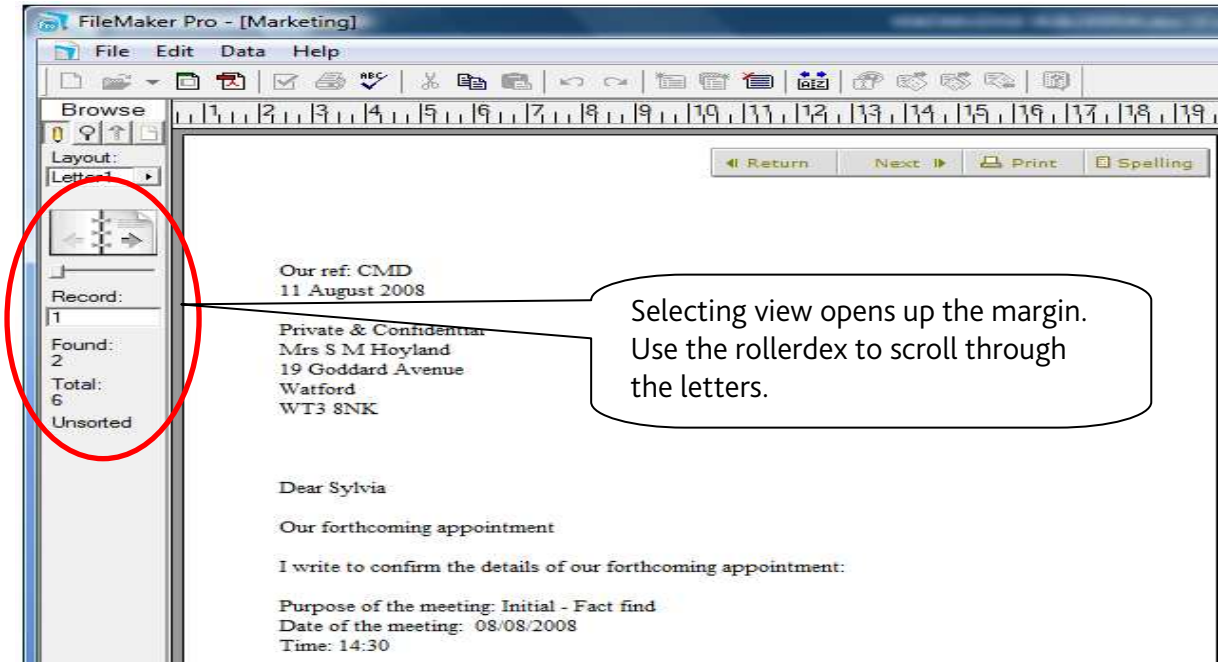

You will then be asked to select your printer.




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.

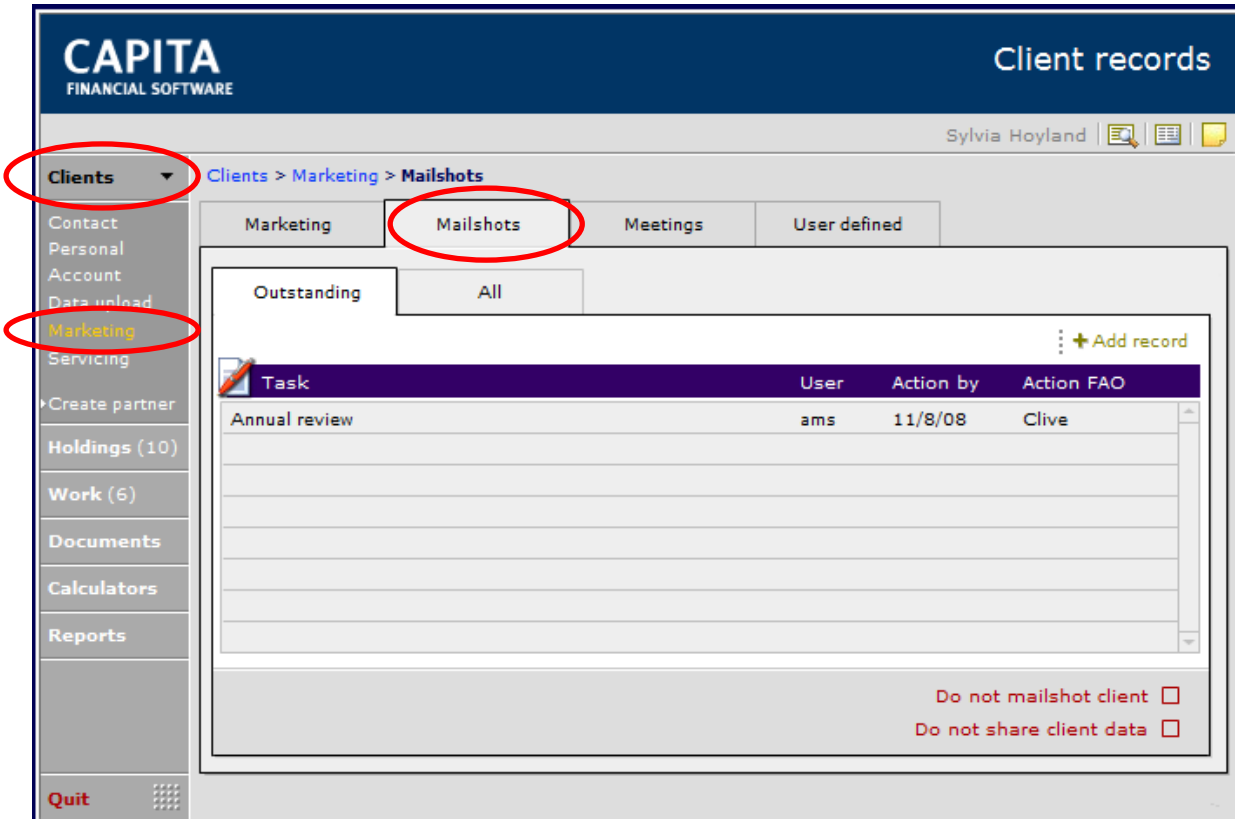



Another option which is available is to export all of these letters to Word using the Batch Export all 97 Letters dated 07/04/2010 to MS Word. During the export, any document template stored in CCD will be applied to the letters. Once the letters are in Word, further formatting can be completed.

## 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... | 01/01/2000 | Product basis | | Age from... | |
| ... date range | 11/08/2008 | Provider | | ... age to | |
| Adviser ref | CMD | Introducer | | 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

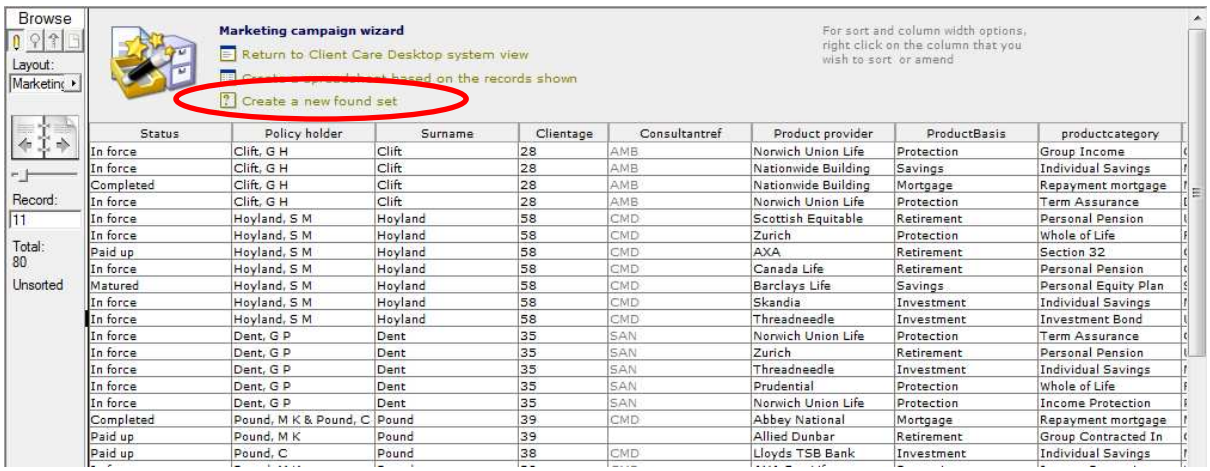
| Contract holder | Adviser | Provider | Product type | Effective | All |
|---|---|---|---|---|---|
| May, G | MAB | Norwich & Peterborough | Buy to let Interest only | 04/03/2004 | Omit |
| May, G and Farley, RC | MAB | Northern Rock plc | Buy to let Interest only | 13/11/2003 | Omit |
| May, G | MAB | Ipswich Building Society | Buy to let Interest only | 03/06/2003 | Omit |
| May, G | MAB | Norwich Union Life | Increasing Term Assurance | 02/02/2004 | Omit |
| May, G & Farley, R C | MAB | Nationwide Building Society | Repayment mortgage | 13/06/2004 | Omit |
| Farley, R C | MAB | Zurich | Level Term Assurance | 01/05/2004 | Omit |
| May, G & Farley, R C | MAB | Norwich & Peterborough | Buy to let Interest only | 13/03/2005 | Omit |
| May, G & Farley, R C | MAB | Kensington Mortgage | Buy to let Interest only | 19/10/2005 | Omit |
| May, G | MAB | Kensington Mortgage | Buy to let Interest only | 06.12.2002 | Omit |
| May, G | MAB | Northern Rock plc | Repayment mortgage | 15/08/2006 | Omit |
| May, G | MAB | Norwich & Peterborough | Let to buy Interest only | 15/08/2006 | Omit |
| May, | MAB | Platform Home Lo | | /08/2006 | Omit |
| T | SAN | Skandia | | /09/2005 | Omit |
| A | SAN | Lloyds TSB Bank | | /04/2004 | Omit |
| | | | | 1/06/1993 | Omit |
| | | sh Equitable | Personal Pension | 13/07/1993 | Omit |
| | | | Private Medical Insu | 18/09/2002 | Omit |
| | | wich Plc | Repayment mortgage | 3.02.2004 | Omit |
| Taylor, C A | SAN | Scottish Equitable | Self Invested Personal | /09/2006 | Omit |
| Patel, D | CMD | Norwich Union Life | Decreasing Term Assurance | 01/ 3/2000 | Omit |
| Patel, D | CMD | Select Pensions Limited | Personal Pension | 01/07/1985 | Omit |

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

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

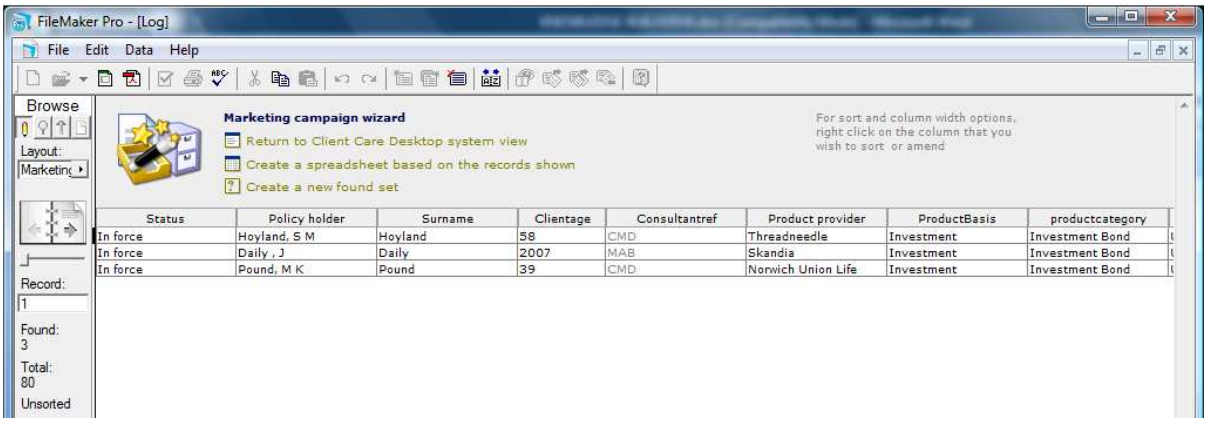
Click here to create your own found set.

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




| 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.



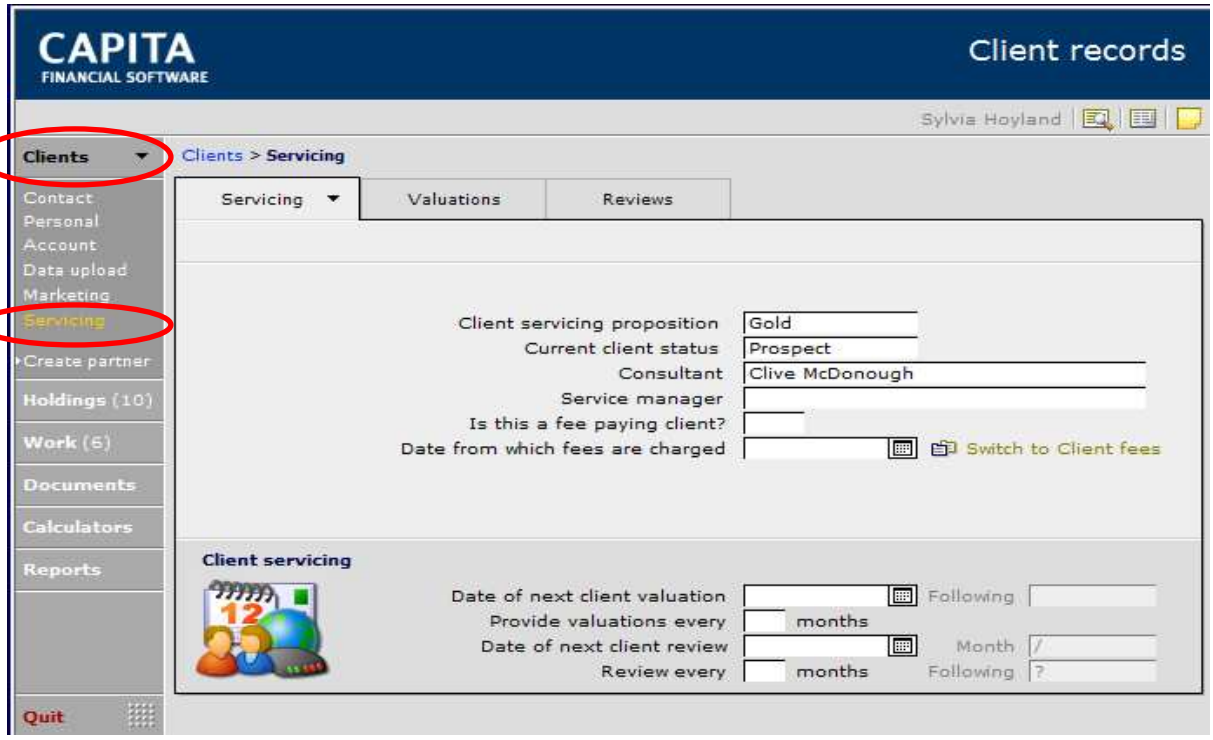

| Status | Policy holder | Surname | Clientage | Consultantref | Product provider | ProductBasis | productcategory |
|---|---|---|---|---|---|---|---|
| In force | Hoyland, S M | Hoyland | 58 | CMD | Threadneedle | Investment | Investment Bond |
| In force | Daily , J | Daily | 2007 | MAB | Skandia |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

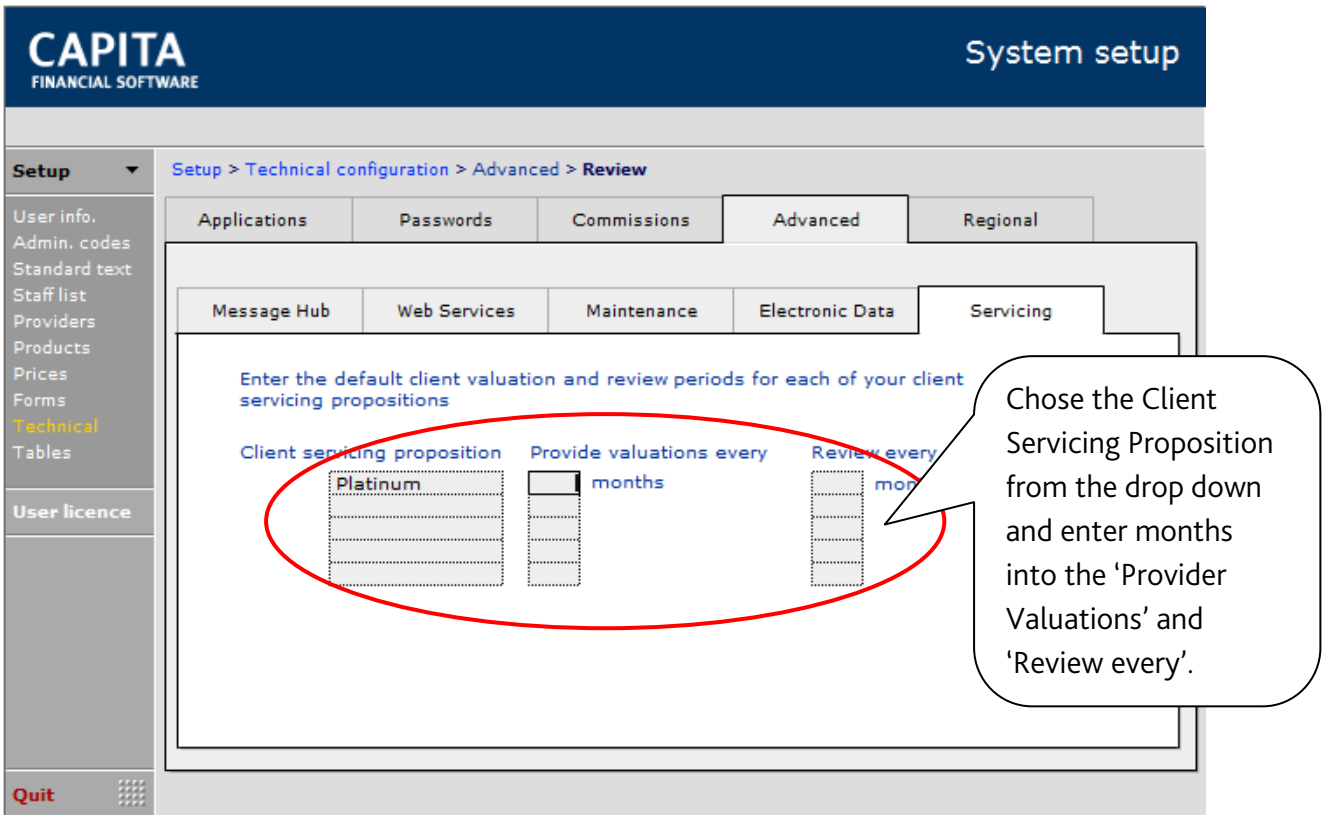
Within the Clients Servicing screens there are a number of fields that can be completed in order to record next review and valuation dates.

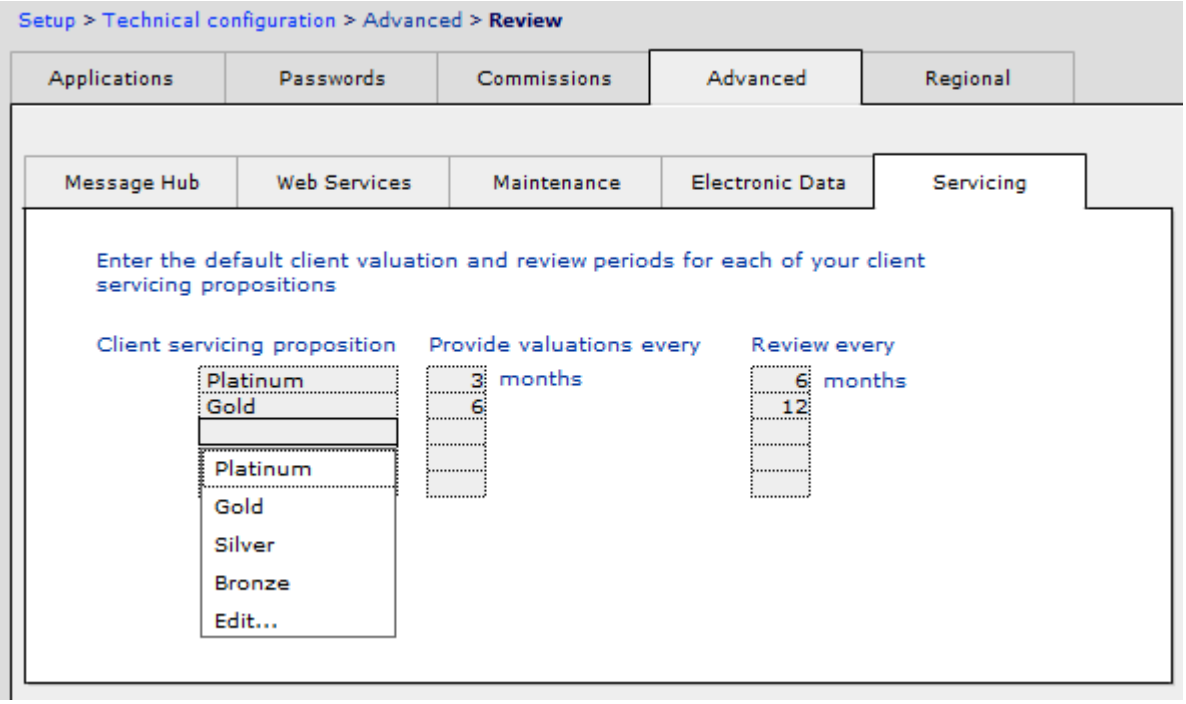



The top half of the servicing screen shows general information regarding the servicing proposition for the client. The bottom half of the screen allows more detailed information to be added around valuations and reviews.

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:




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 > Servicing

Clients: Contact, Personal, Account, Data upload, Marketing, Servicing, Create partner, Holdings (1), Work (), Documents, Calculators, Reports, Quit

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 ?

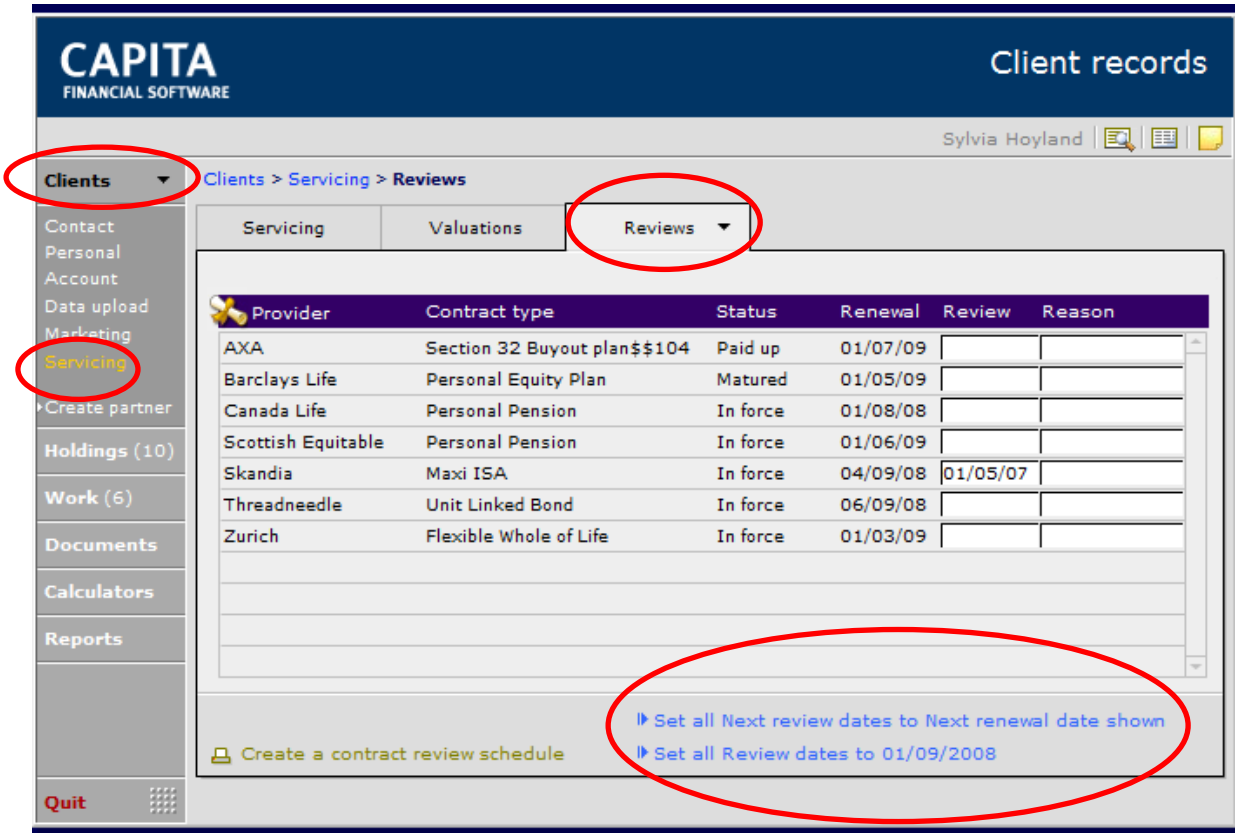
Servicing Notes

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

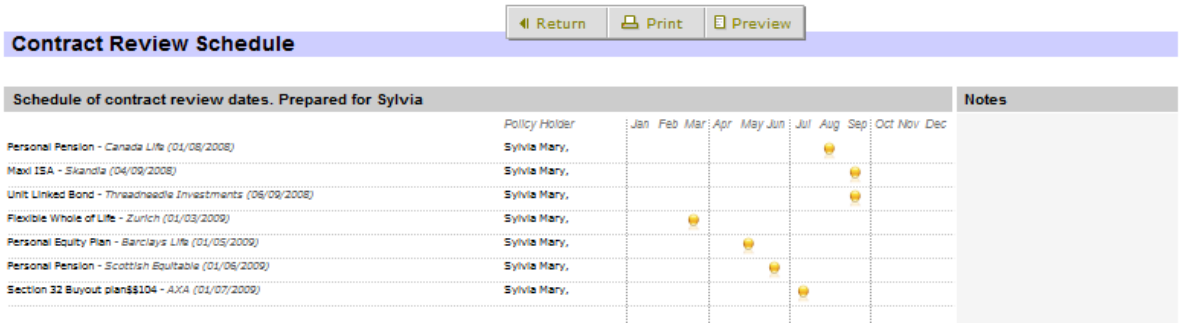
Client servicing
Date of next client valuation: 18/08/2009 Following 17/11/2009
Provide valuations every: 3 months
Date of next client review: 18/08/2009 Month 8/2009
Review every: 6 months Following 18/02/2010

Servicing Notes: Any notes can be added here.

## 11.1. Holding Reviews



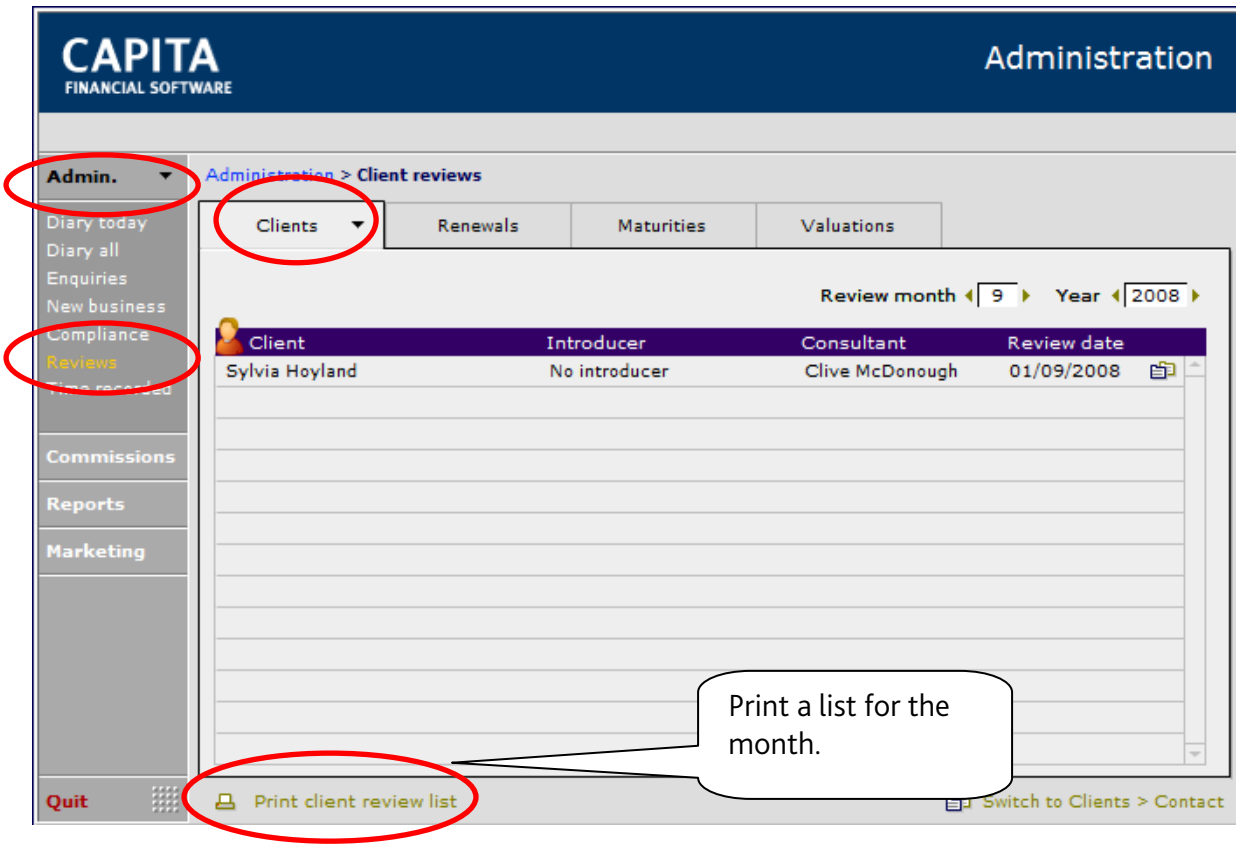

All the clients' current policies/holdings will be listed. Any review dates that have been entered on the individual policies will pre-populate the screen.
If no dates have been entered on the individual policies then there are 2 other options. Both show as blue links at the bottom of the page.
Set all 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.




## 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.

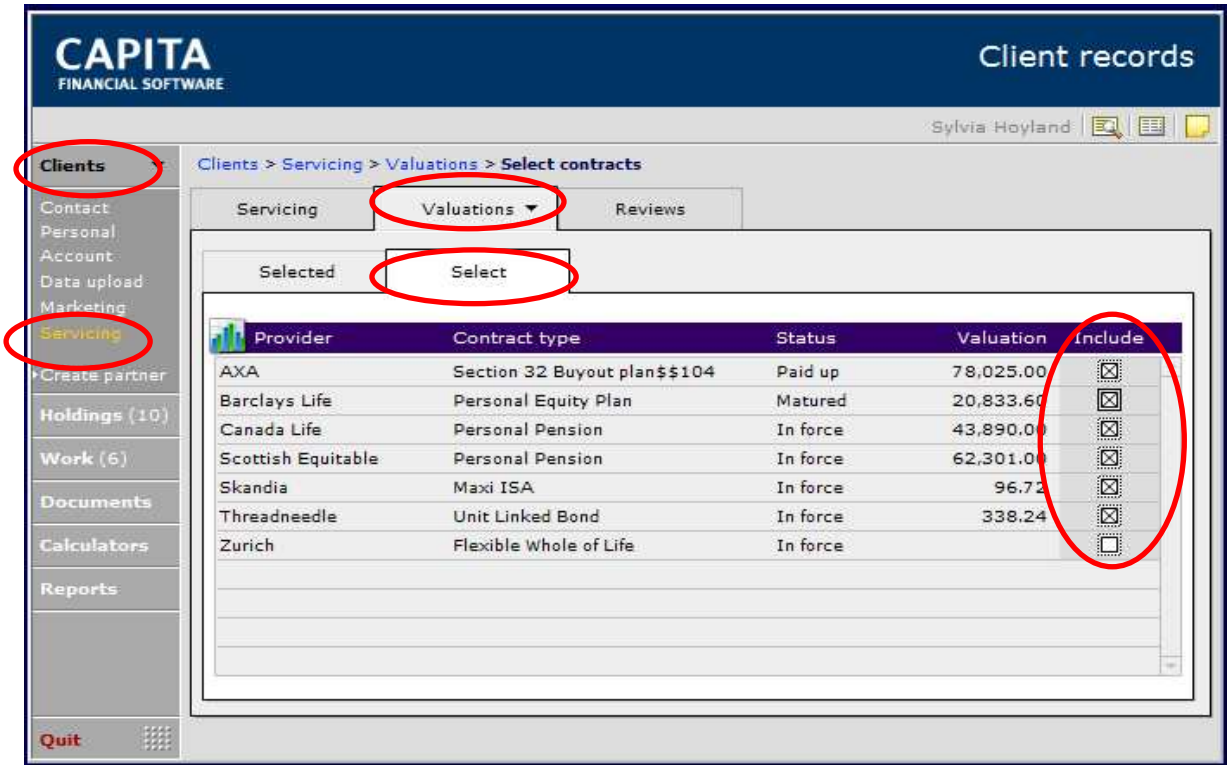


Renewals, Maturities and Valuations display in the same way as the clients with the option to print lists as required. The only difference being that on the valuations tab the date is set daily or for the next 7 days and not for a month at a time.

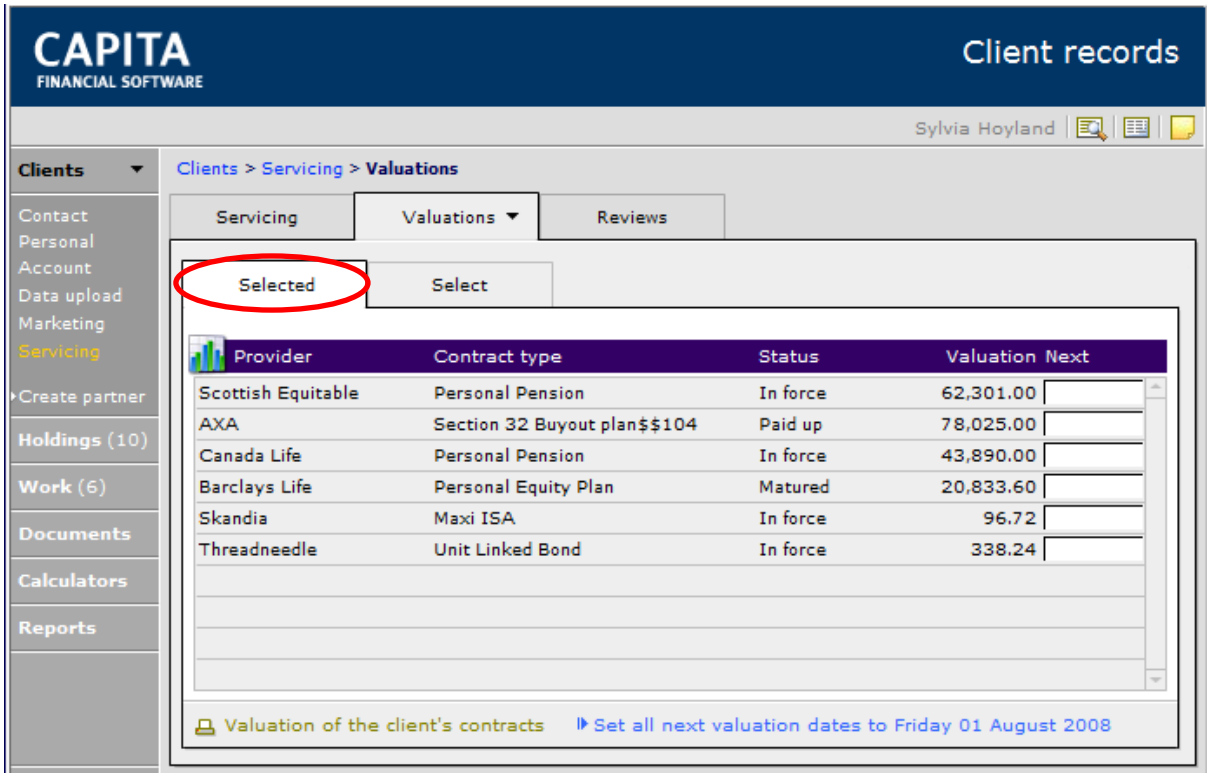
# 12. VALUATIONS

## 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.

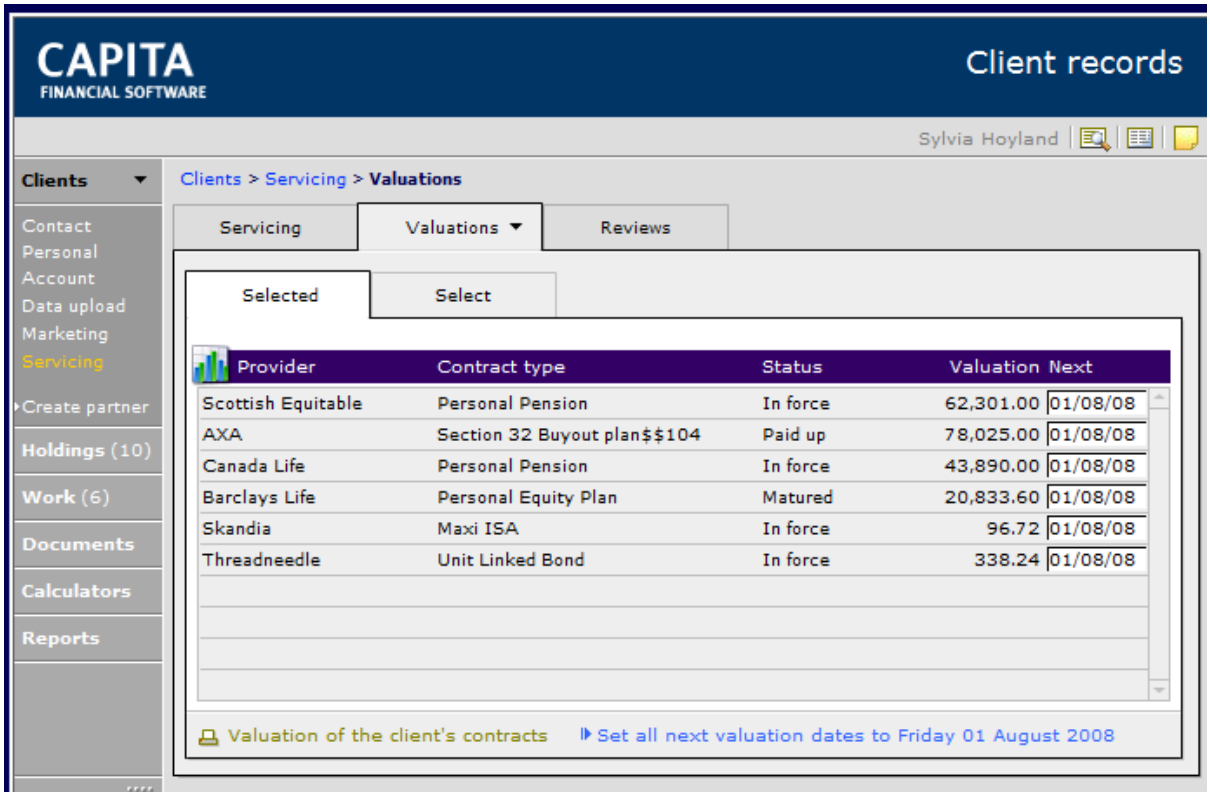



Mark the check box for each holding that will require valuation. These will now appear in the 'Selected' tab.




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.




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.

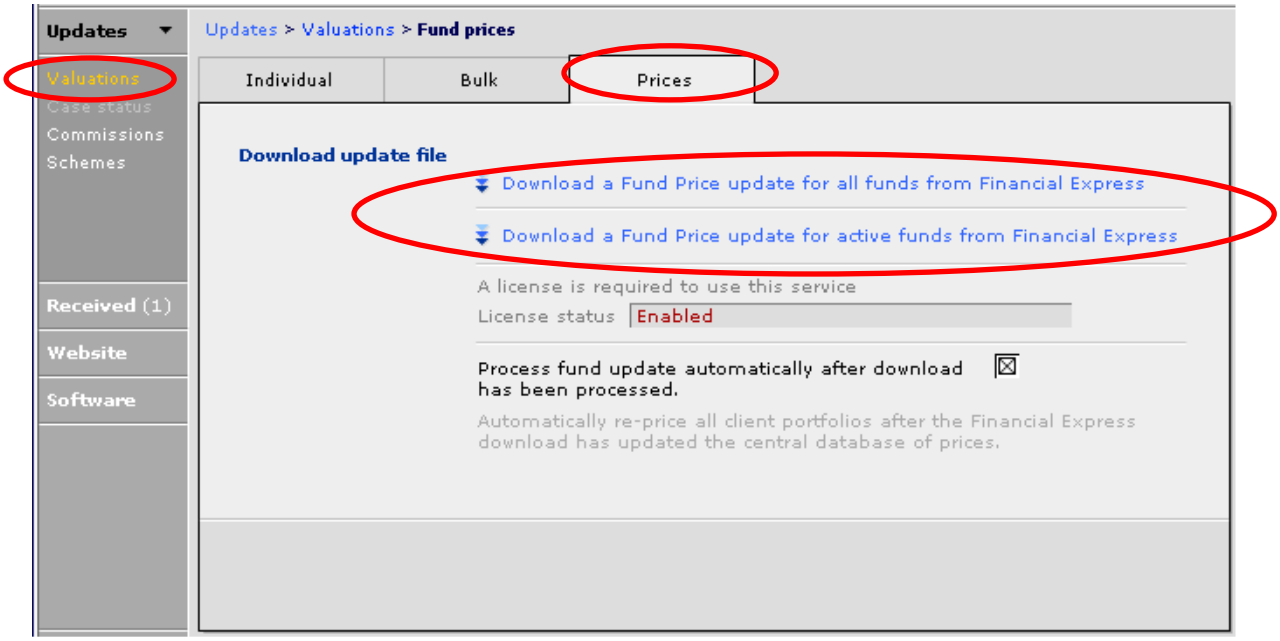
## 12.2. Using Financial Express to Value holdings

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.

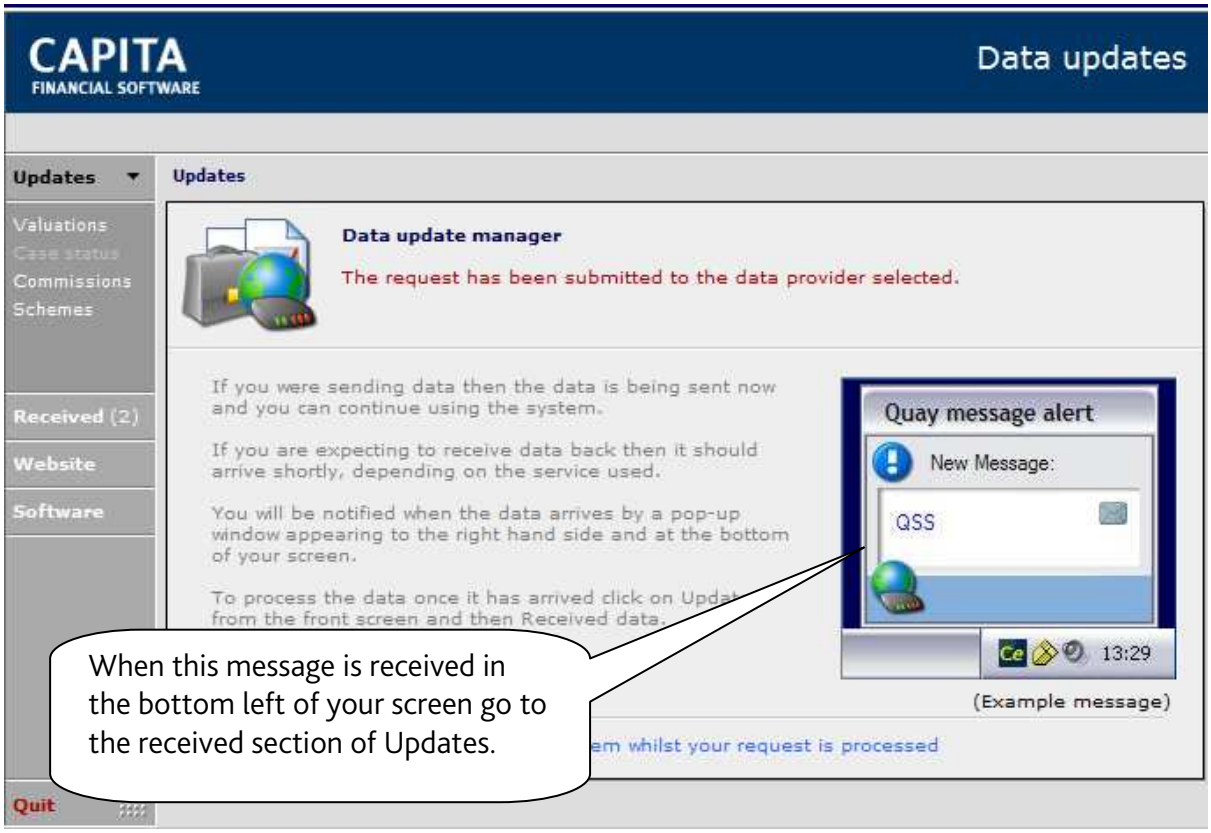

You can select to download the price update from the front screen or select valuations from the menu on the left hand side.

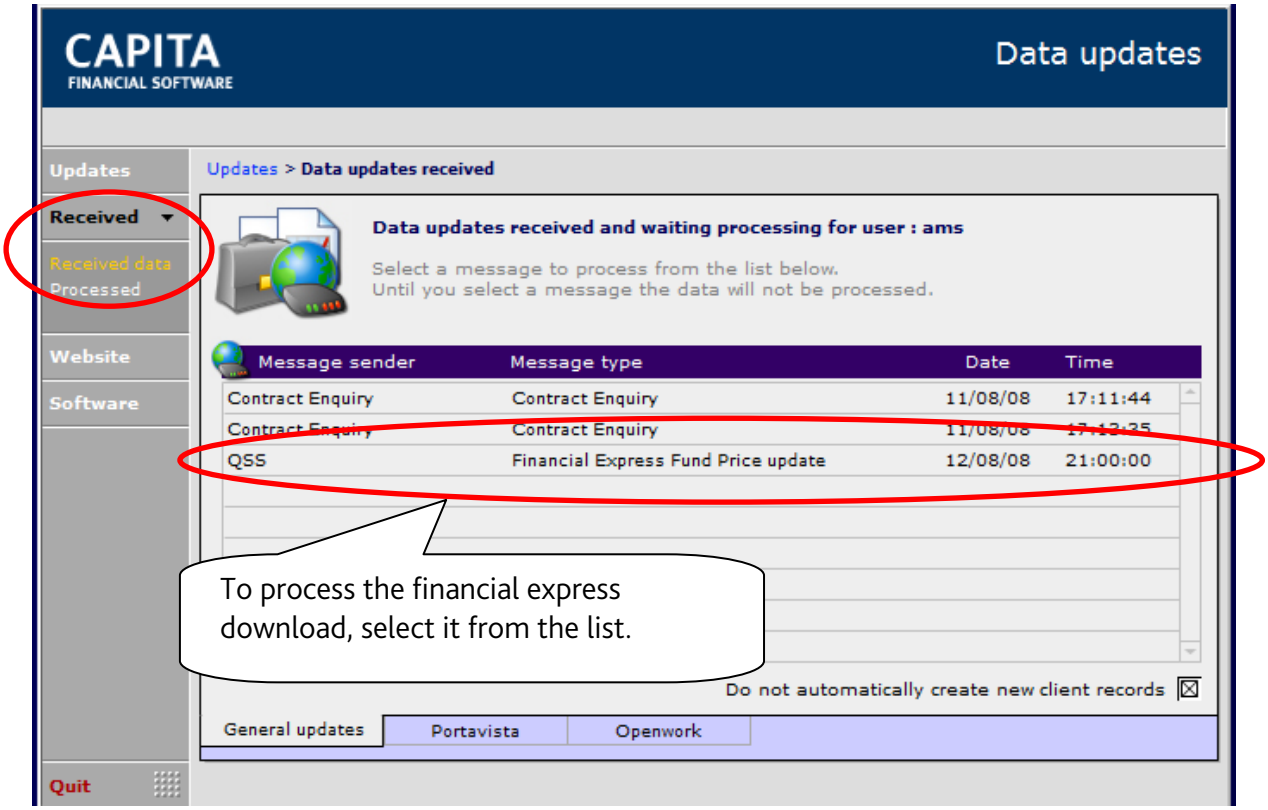


There are two options:

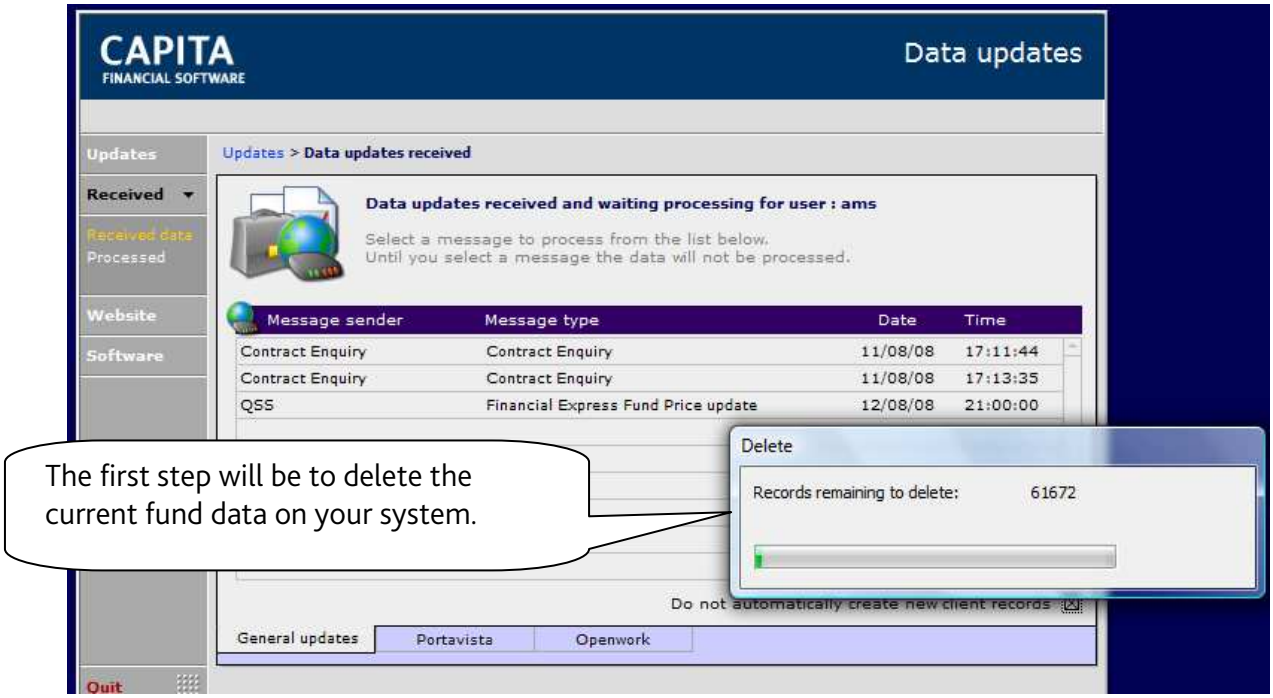
- Download all fund prices
- Download the fund prices for the funds being used for your clients.

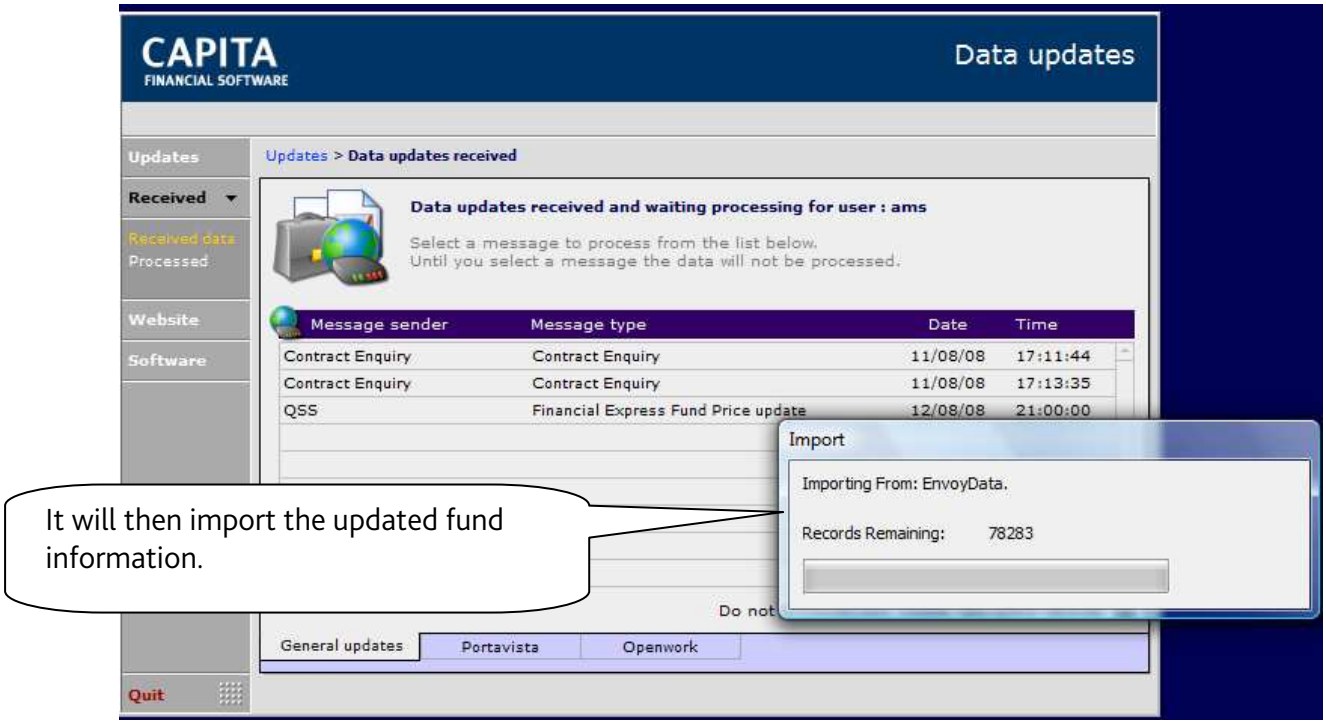
Once either option has been selected, the following will appear:



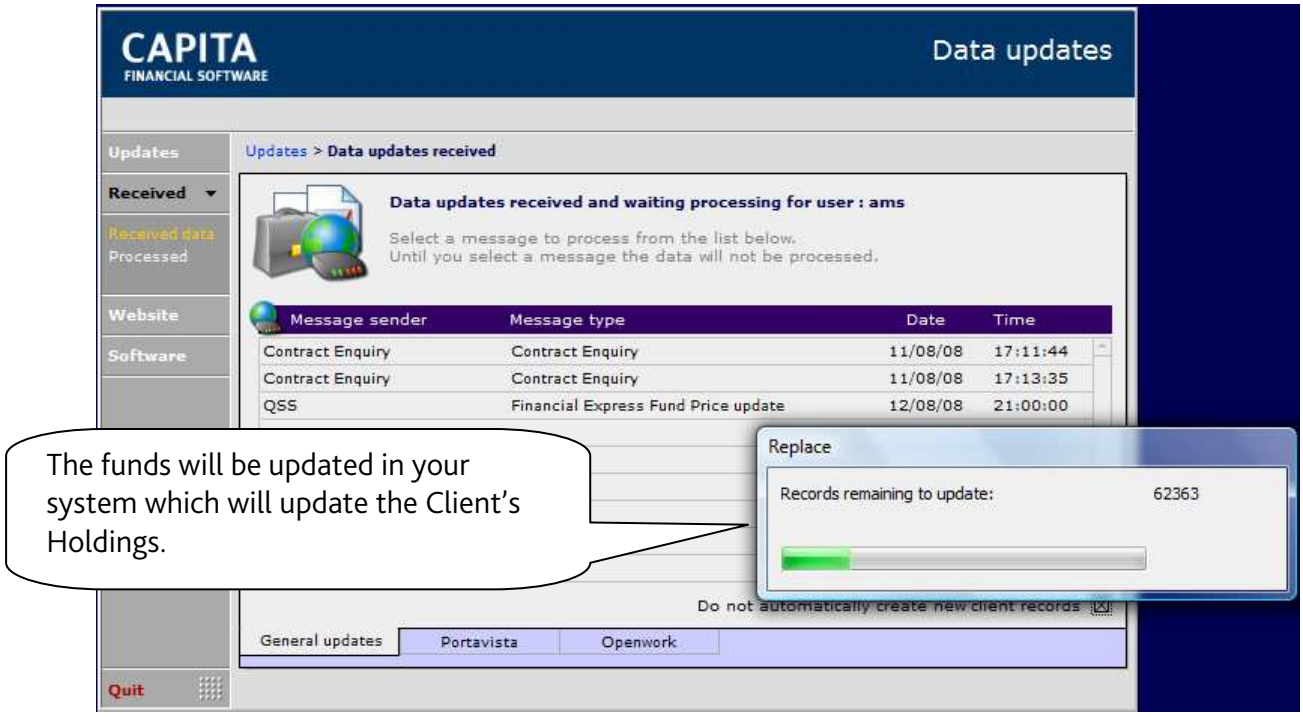



Once the update is started it will automatically run through each step as below.






It will then import the updated fund information.




The funds will be updated in your system which will update the Client's Holdings.

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.

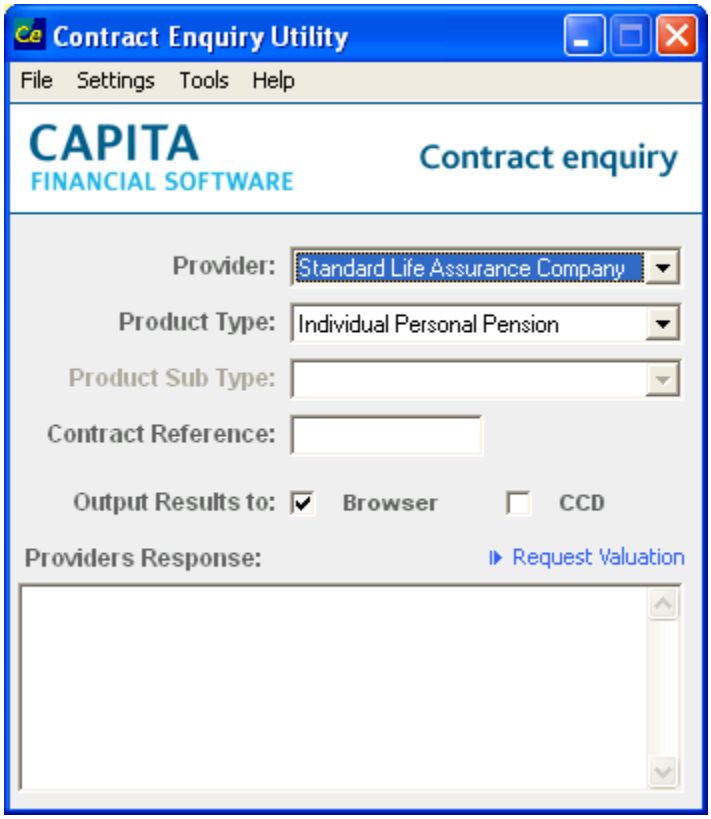
Documentation on how to sign up and implement contract enquiry can be found on our web site www.capitafinancialsoftware.co.uk. Select 'Downloads' at the top left of the screen and then select Quay Software.

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.

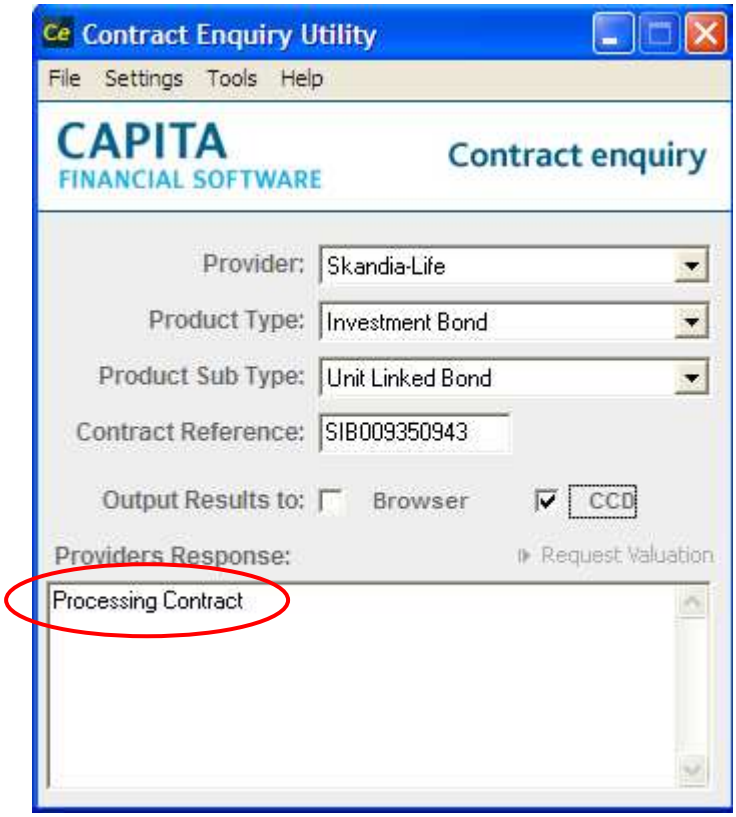
Output Results to: ☑ Browser and/or ☐ CCD

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 

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 | | |

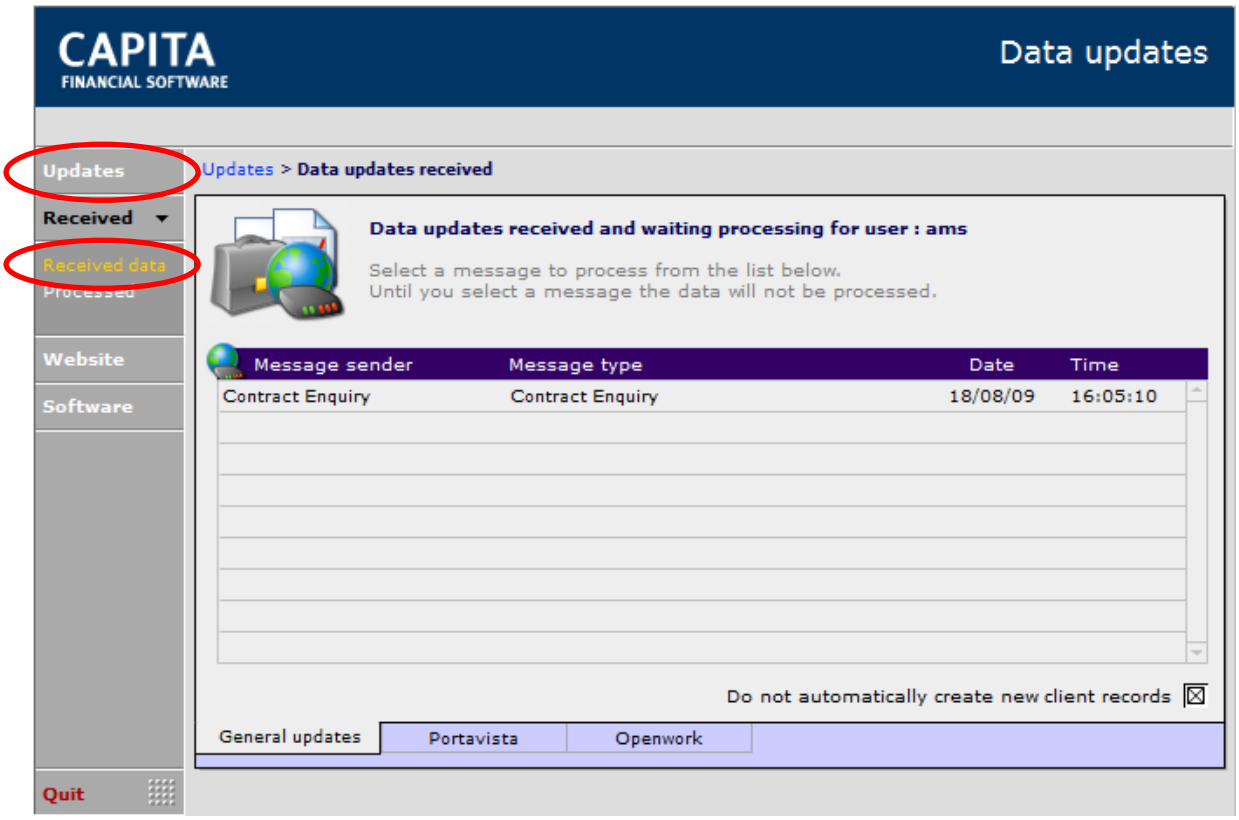
### Current holdings

| 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:




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

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

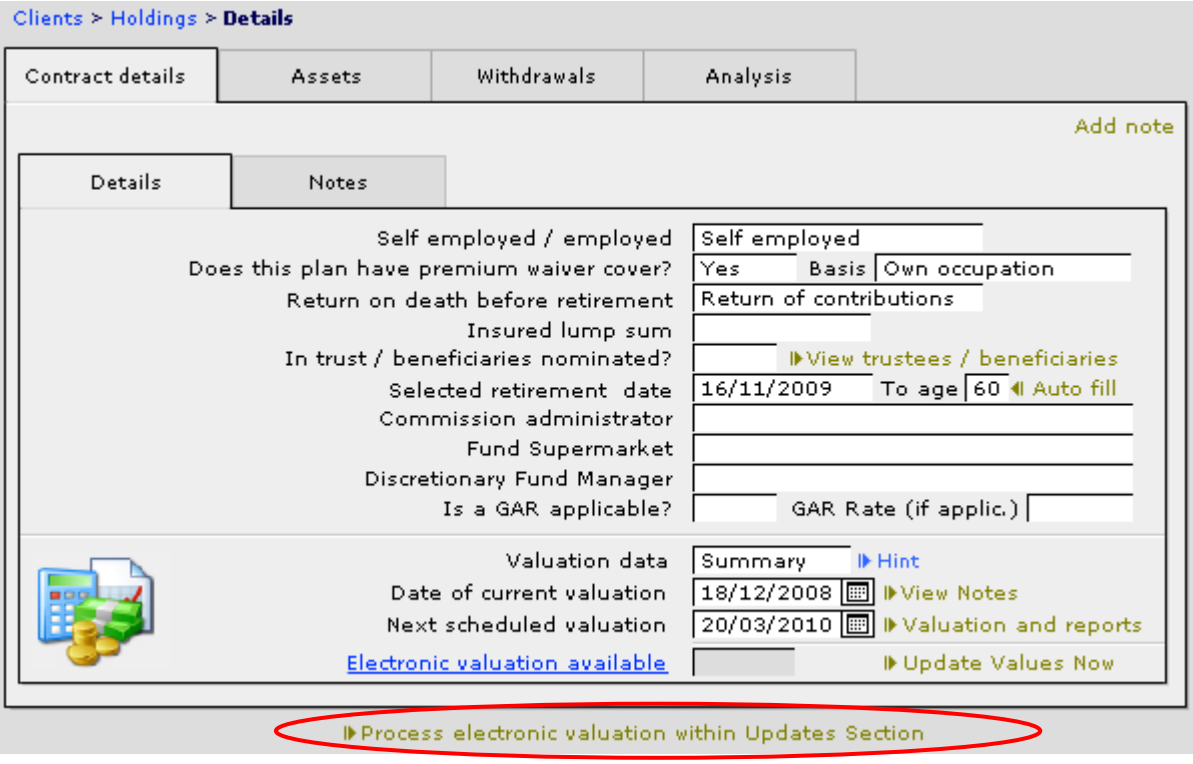
For instance:


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

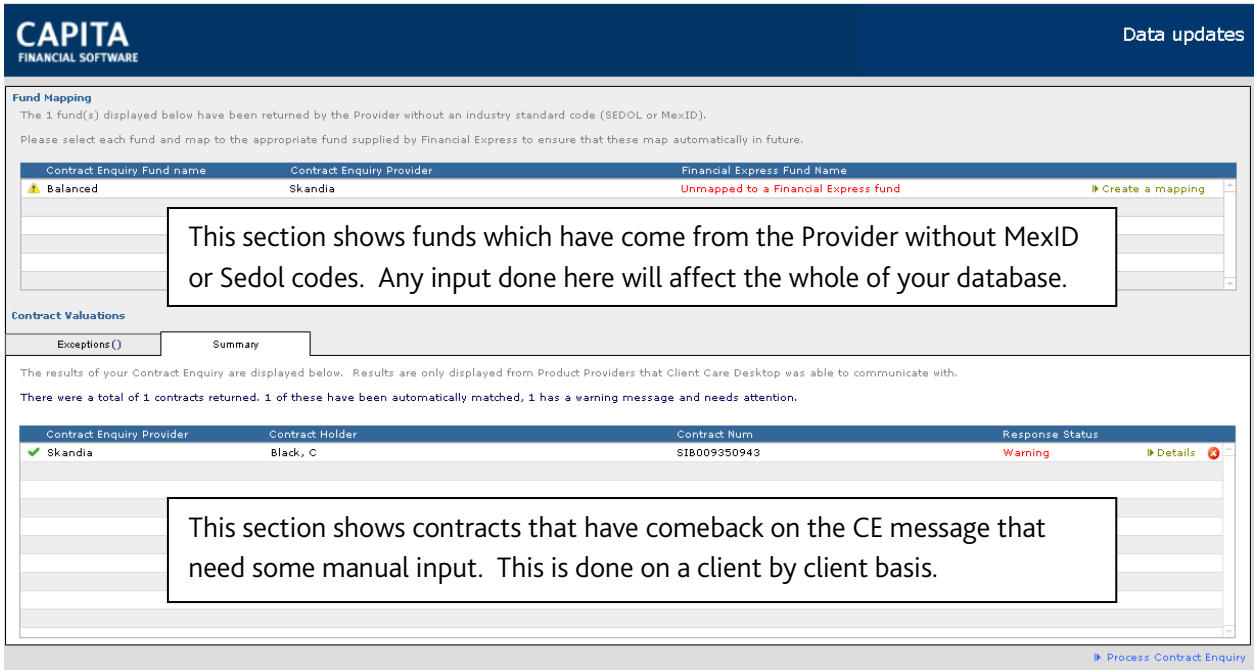
The main reasons why a Contract Enquiry may need some manual input are:

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

There is 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:



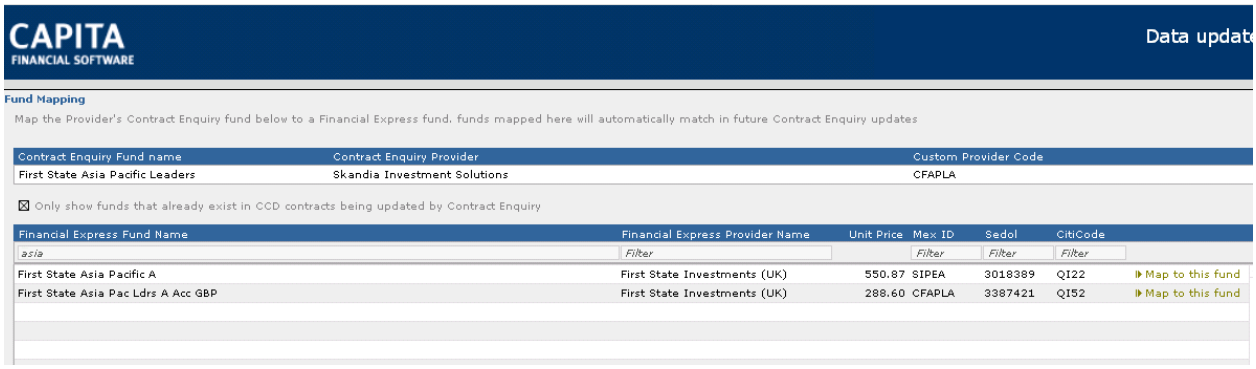

If a Contract Enquiry message is received and needs some manual input these are the screens that will be used:



**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.

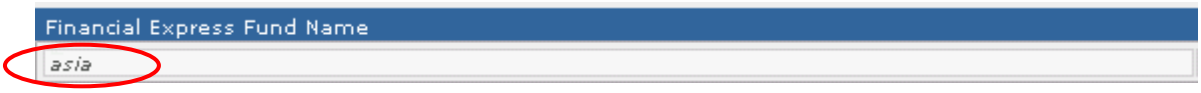



In this example the top part of the screen shows a fund which has been sent by the provider within a Contract Enquiry valuation. It cannot be mapped to a fund on Financial Express and so this needs to be done manually.

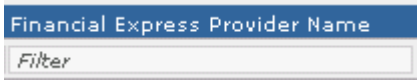
The ☒ Only show funds that already exist in CCD contracts being updated by Contract Enquiry in the middle of these 2 sections should be checked when the mapping is first attempted.

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.

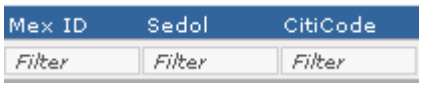
When searching for the fund to map to, there are a number of options:




- 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.




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

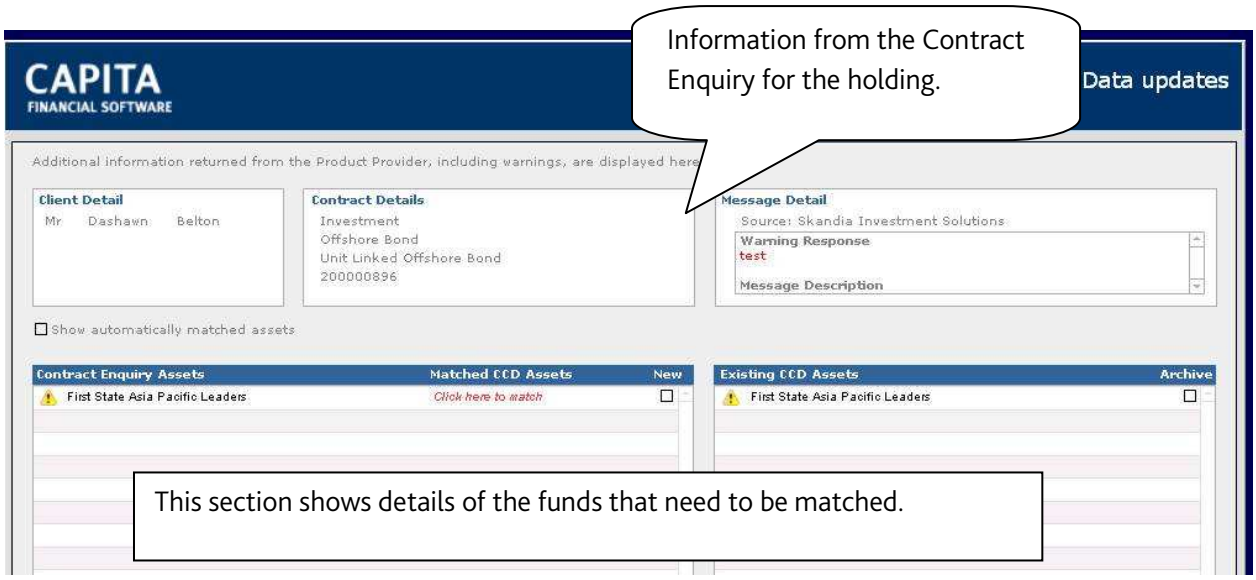



- Type in either of these code with a maximum of 10 characters

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

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


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




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

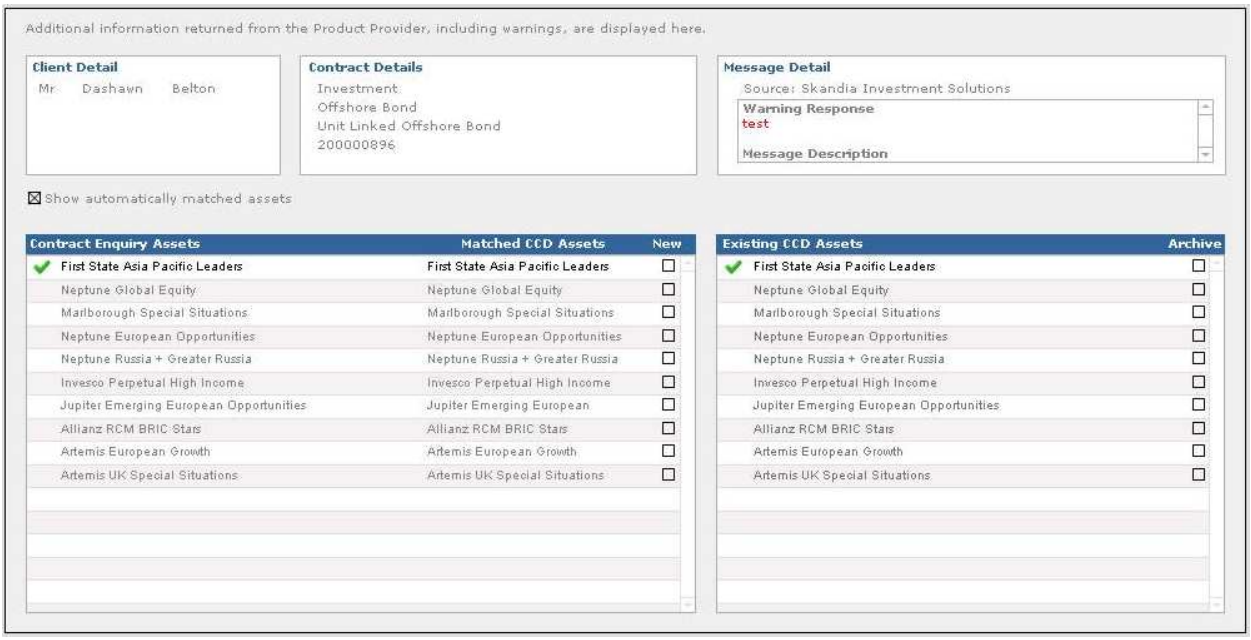
Existing CCD Assets = funds that are currently showing on the client's holding.

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

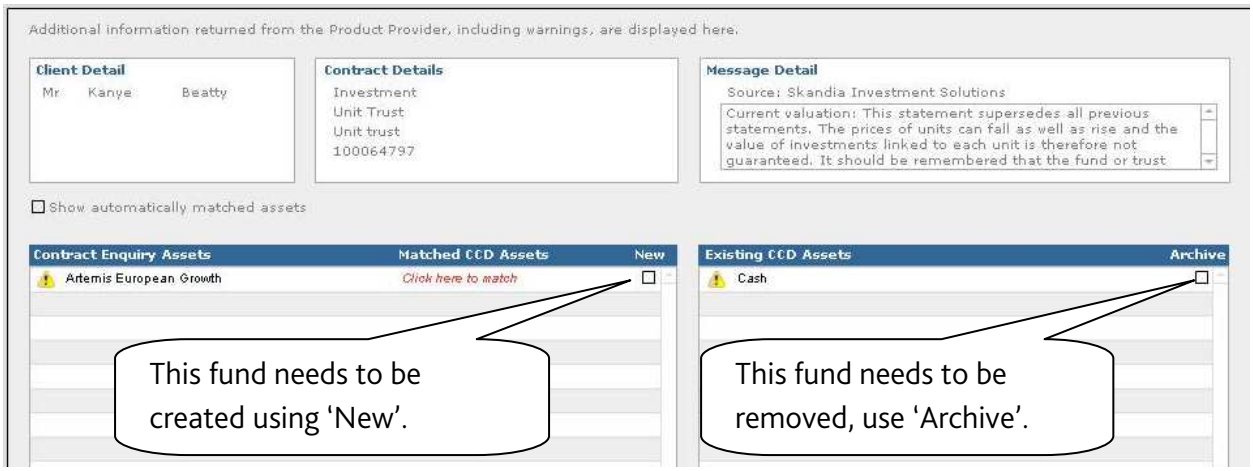
To do this:


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

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

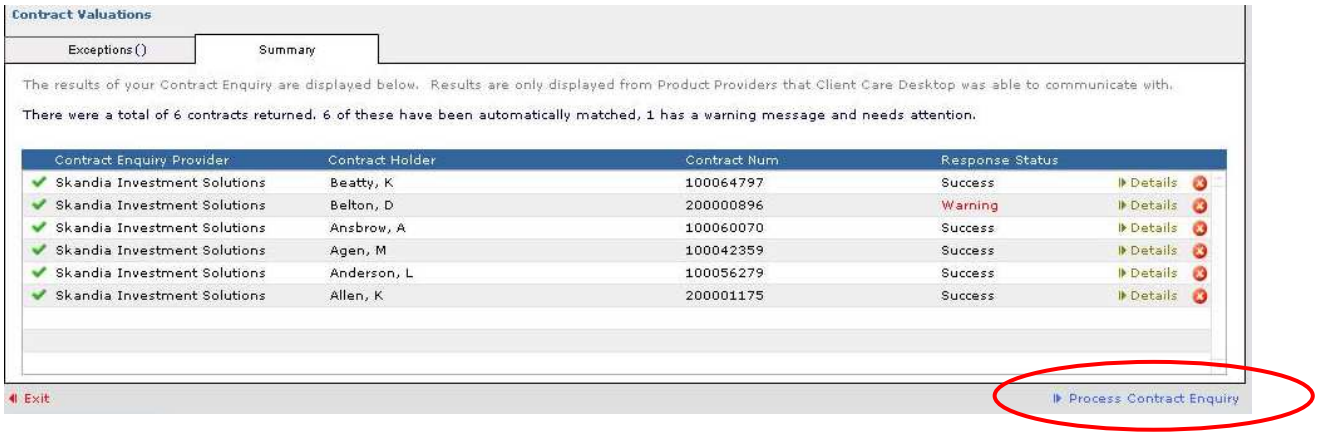




There may be occasions when a client does a fund switch, that a new fund will need to be created and an old fund archived.




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

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




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**

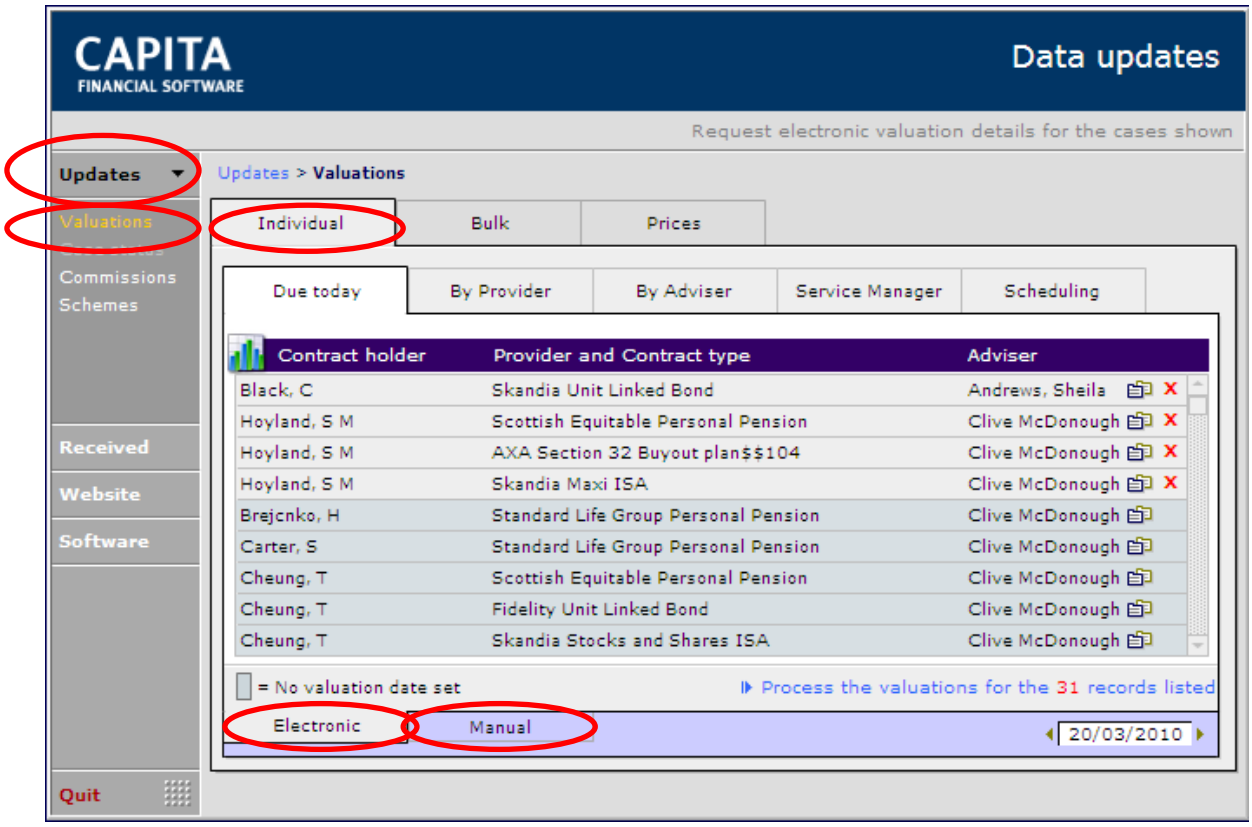
Are you sure you want to remove this Custom Provider Code?
Doing so may result in future CE updates needing rematching.

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.

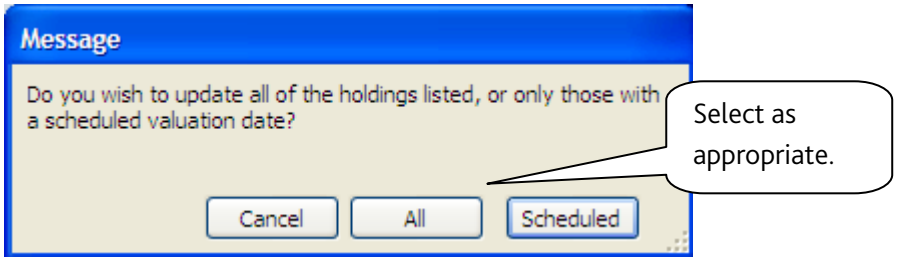



All valuations selected as due today in the Clients servicing section will appear in either the 'Electronic' or 'Manual' tabs of Updates > Valuations. Those Holdings that have an X next to them are due today. The X can be used to remove the Holding from this valuation list.

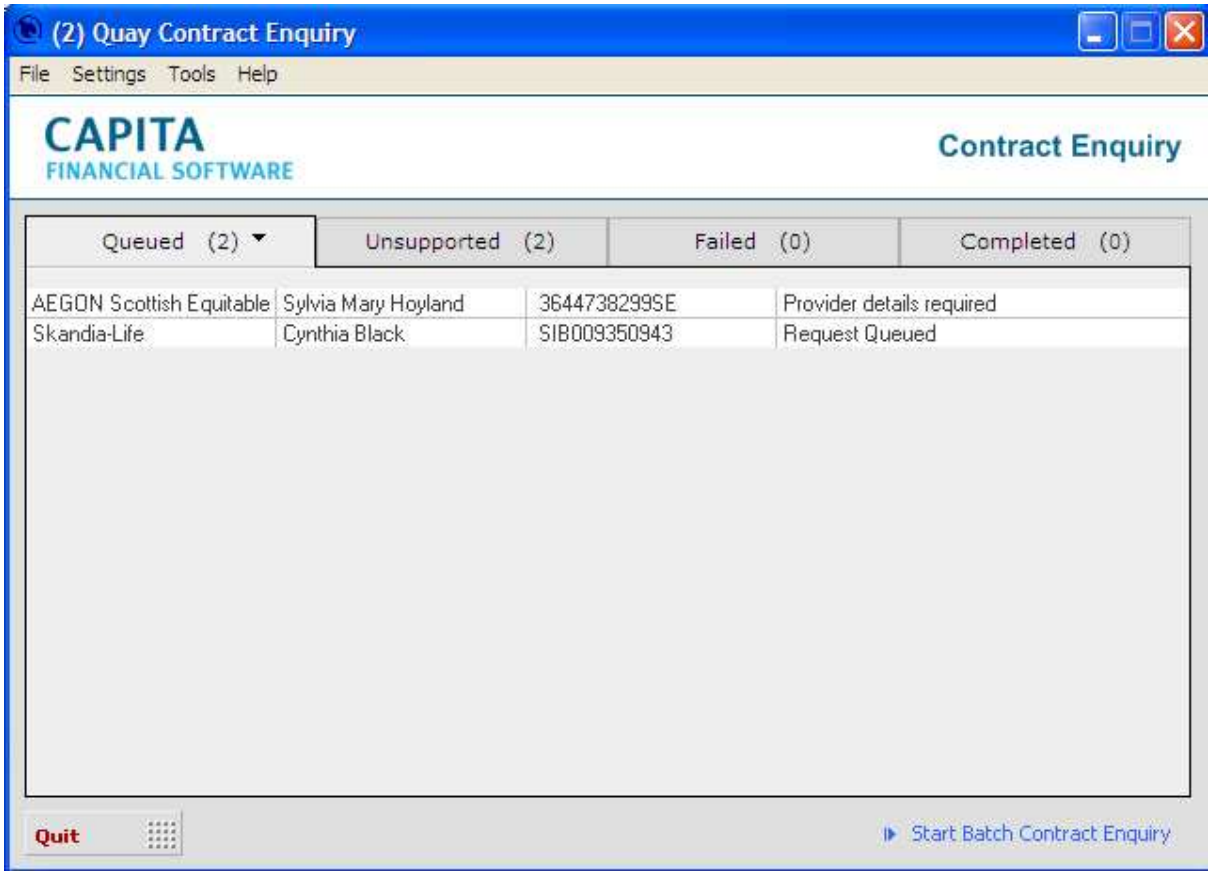
The other Holdings in this list are there as they do not have a 'valuation' date recorded. Dates can be recorded against the client record. By clicking on the item in the list (which will move you back to the Client Module).

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:

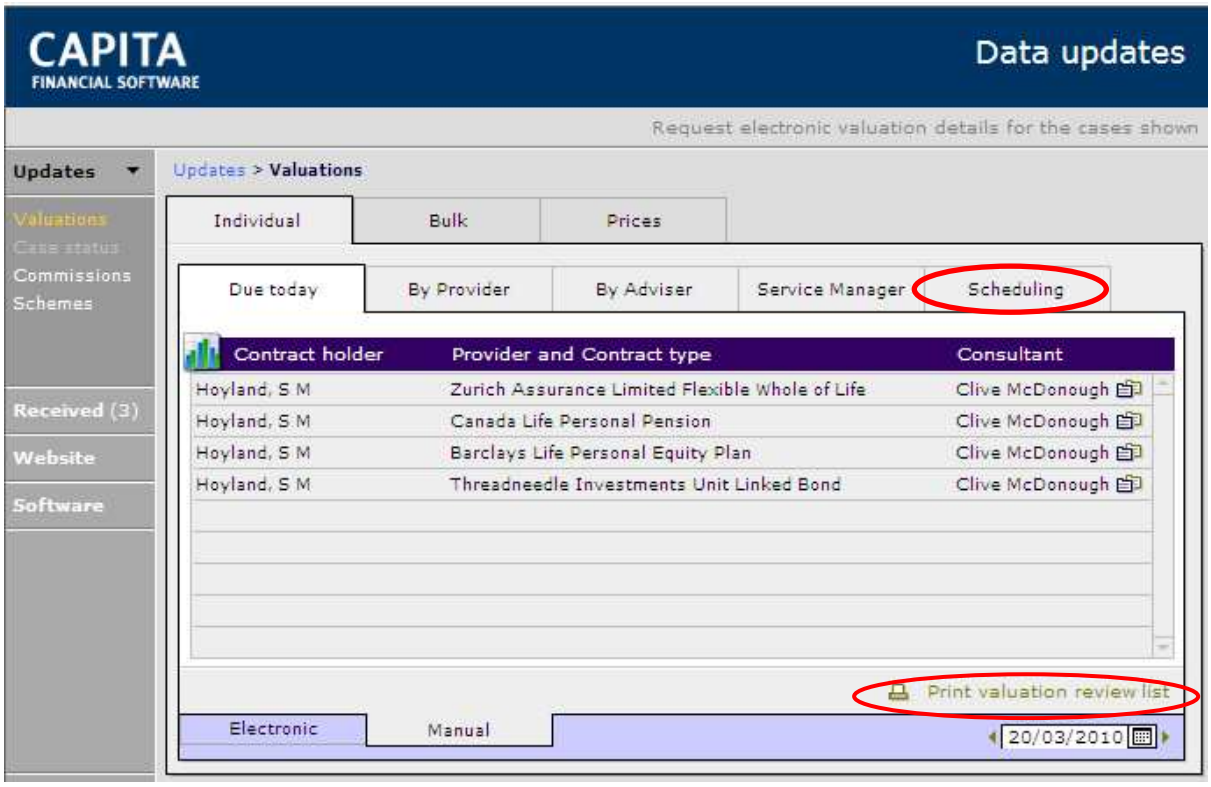



This will take you through to the bulk contract enquiry screen.

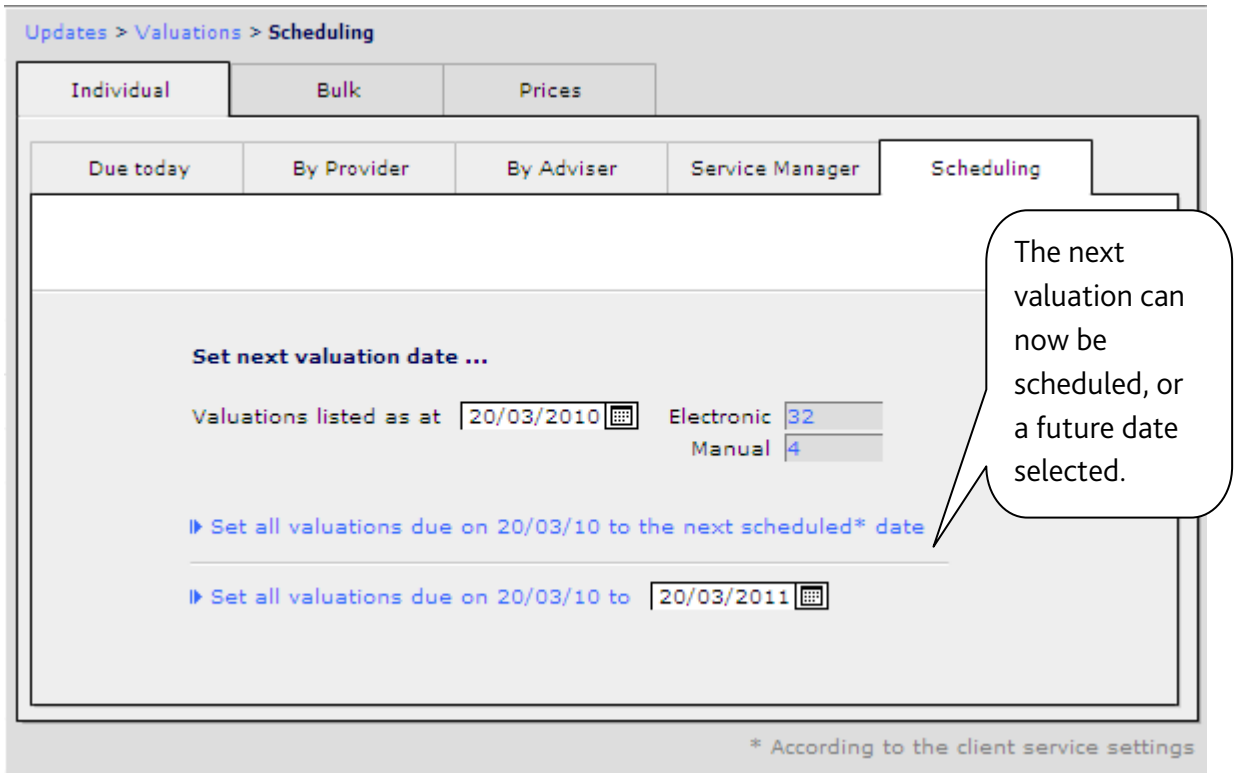



All the holdings waiting for valuation via contract enquiry will be listed here, click onto the Start Batch Contract Enquiry to start the Contract Enquiry update. All the valuations will then carry over to the received tab in the updates section ready for update to the Client's holdings.

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.




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

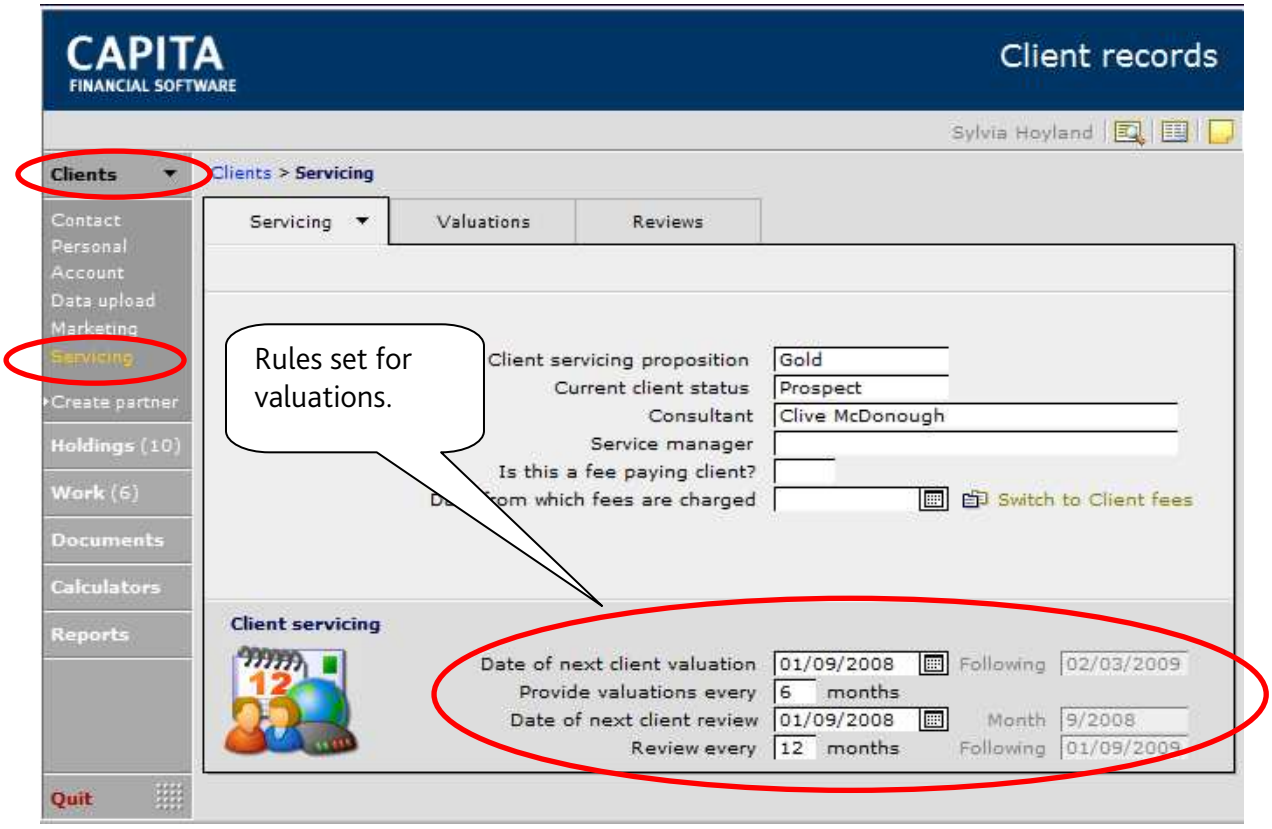


On the scheduling tab there are 2 options for resetting the valuation dates for all the contracts listed for valuation today.

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 > Servicing

Clients: Contact, Personal, Account, Data upload, Marketing, Servicing, Create partner, Holdings (10), Work (2), Documents, Calculators, Reports

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

Updates: Valuations, Commissions, Schemes, Received (2), Website, Software

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 |
| Hoyland, S M | AXA Section 32 Buyout plan$$104 | Clive McDonough |
| Hoyland, S M | Skandia Maxi ISA | Clive McDonough |
| 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.