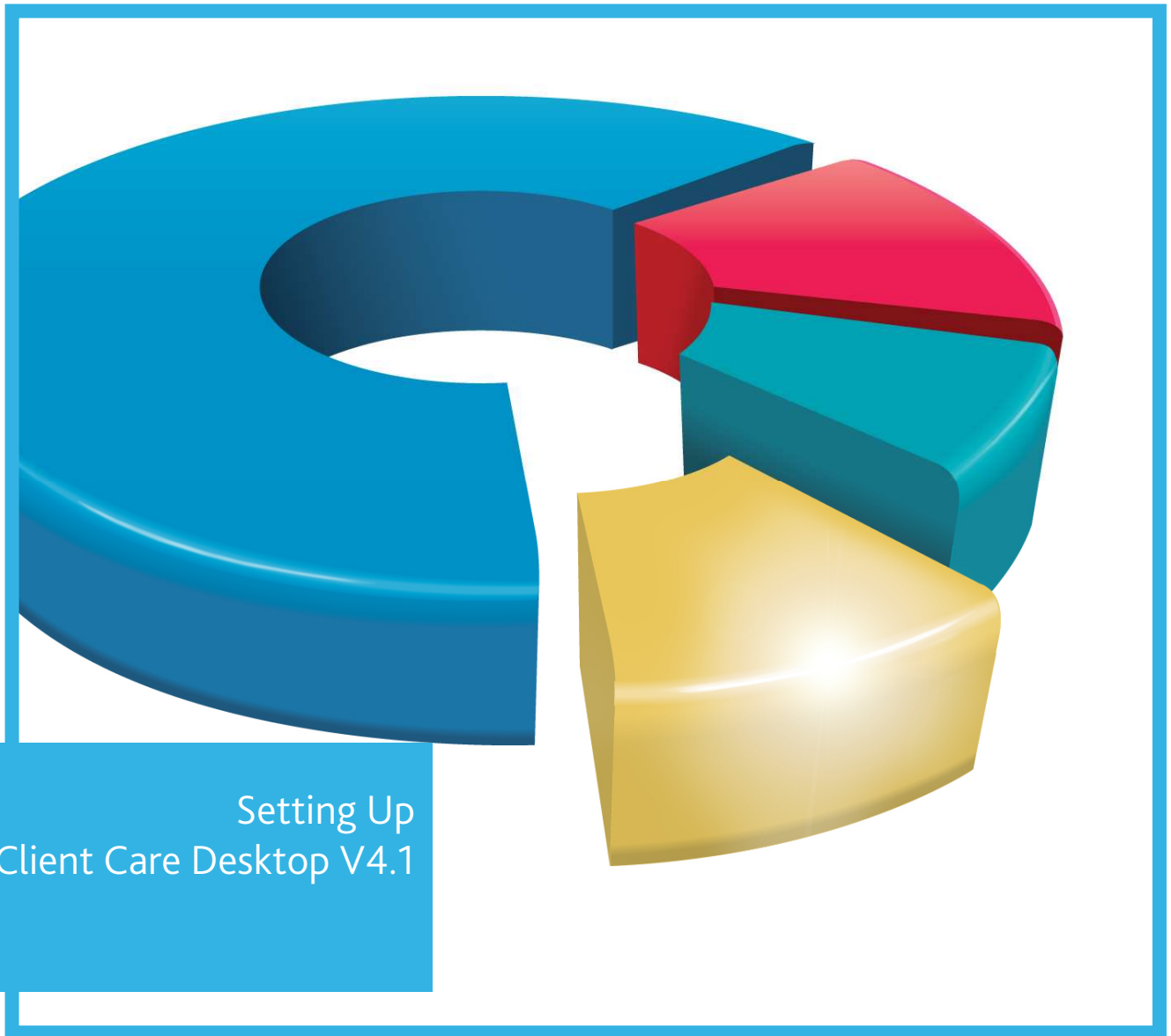


Client Care Desktop v4.1



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1. Setting up CCD

For CCD to work correctly and to support your company's processes the system needs to be set up for use. Most of this will only need to be done ONCE but there are some area's that will need to be re-visited, for example when a new staff member joins the company.

Some of these processes will have been done for you by the Implementation team if they have installed CCD for you, but if you are performing the installation yourself then all these area's will need to be completed.

1.1. Licenses

CCD is licensed on a concurrent user basis and once a quarter you will be sent new licence keys which must be processed if the system is to be kept operational.

Licences will be sent to you in an encrypted e-mail (you will need to tell us WHO to send these licences to). Once received, you will need to input your licence(s) into CCD. There is 1 licence for each module of CCD that you have purchased.

NB: YOU SHOULD NOT TRY AND TYPE THESE LICENCES BUT SHOULD COPY AND PASTE THEM INTO CCD.

Example of a licence e-mail.

```
%Troi SafeAscii v1.0-][|/:^ .D.9-H-D8G/G/6.A-=V.Y.@-W[/G-7/3/c-
].V@\\jx/YX.BUL.L/Vd/\->-2/te6i/^ /S/~o-3-O.a7-@ -V.8.L/oA~/8/E/y0.Q/]X5-4-
:N/}/a/_/Z6-5N/VL/6.a?_7_v.-M%End SafeAscii v1.0 ,CCD1

%Troi SafeAscii v1.0-][|/:^ .D.9-H-D8G/G/6.A-=V.Y.@-W[/G-7/3/c-
].V@\\jx/YX.BUL.L/Vd/\->-2/te6i/^ /S/~o1/zH.1.: -K/9/J/p-P-0-7.H/G.K0?-B-\-
?K{/JT.> .TB9.a/HF=-/_/Z6-5N/VL/6.a?_7_v.-M%End SafeAscii v1.0 ,FIN1

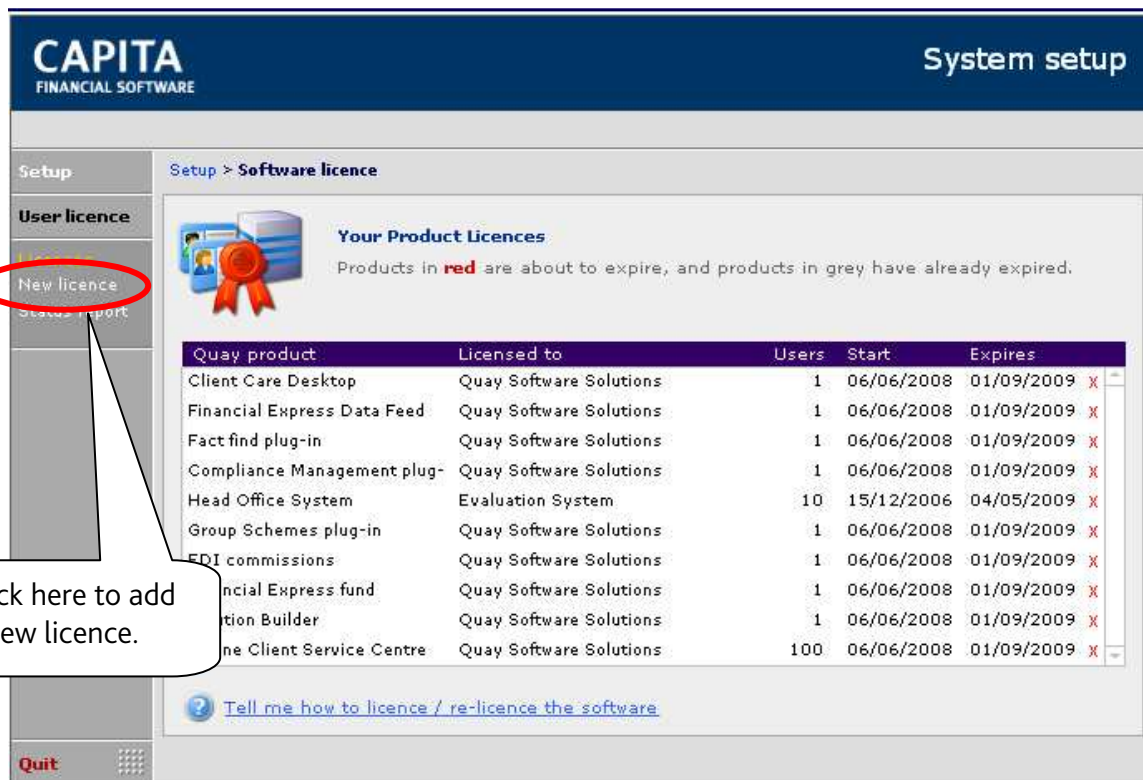
%Troi SafeAscii v1.0-][|/:^ .D.9-H-D8G/G/6.A-=V.Y.@-W[/G-7/3/c-
].V@\\jx/YX.BUL.L/Vd/\->-2/te6i/^ /S/~o.AP/1-Zf1.P/n.O4.8/yi\Cx-1/U-
Jl=/F[/lv/i.:u.U.FO=-/_/2.M-D/W=/7/e%End SafeAscii v1.0 ,FCT1

%Troi SafeAscii v1.0-][|/:^ .D.9-H-D8G/G/6.A-=V.Y.@-W[/G-7/3/c-
].V@\\jx/YX.BUL.L/Vd/\->-2/te6i/^ /S/~oT/X-O.V-;.T.aZ.=k/c.M/G.6/f/T-G-9k-I-7-
Vj`G.`>i/6:/}pS.aVr/|Y/h/B/znB/e/P-6-<k-H7/PNi/L/V/{%End SafeAscii v1.0
,CMP1

%Troi SafeAscii v1.0-][|/:^ .D.9-H-D8G/G/6.A-=V.Y.@-W[/G-7/3/c-
].V@\\jx/YX.BUL.L/Vd/\->-2/te6i/^ /S/~oTp-_-@ .8.3/DX/U-EK/C-9/5le/|/i-@ .1-
Q.Gz.OS.aVr/|Y/h/B/znB/e/P-6-<k-H7/PNi/L/V/{%End SafeAscii v1.0 ,CRP1

%Troi SafeAscii v1.0-][|/:^ .D.9-H-D8G/G/6.A-=V.Y.@-W[/G-7/3/c-
].V@\\jx/YX.BUL.L/Vd/\->-2/te6i/^ /S/~o/en/j.=/8-1/7/}/@ /pXe.Sr.PIO/L;.S-
G/u.>.T/u/i/x/].1-</y-J-R.3/g-6=dh-Z%End SafeAscii v1.0 ,ELC1
```

The first time you launch CCD you will be asked to licence your software.





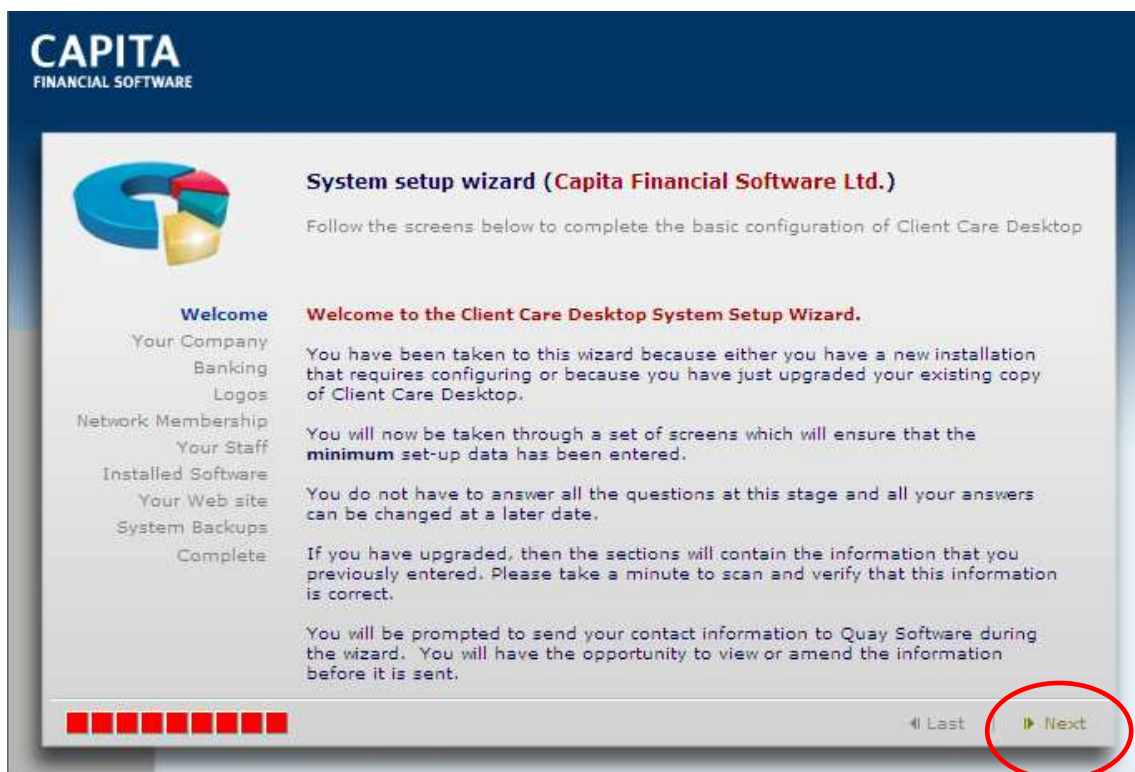
NB. Ensure the CCD1 licence is added first. (the licence code/name can be found at the end of each encrypted licence message).

CCD will now automatically finish loading

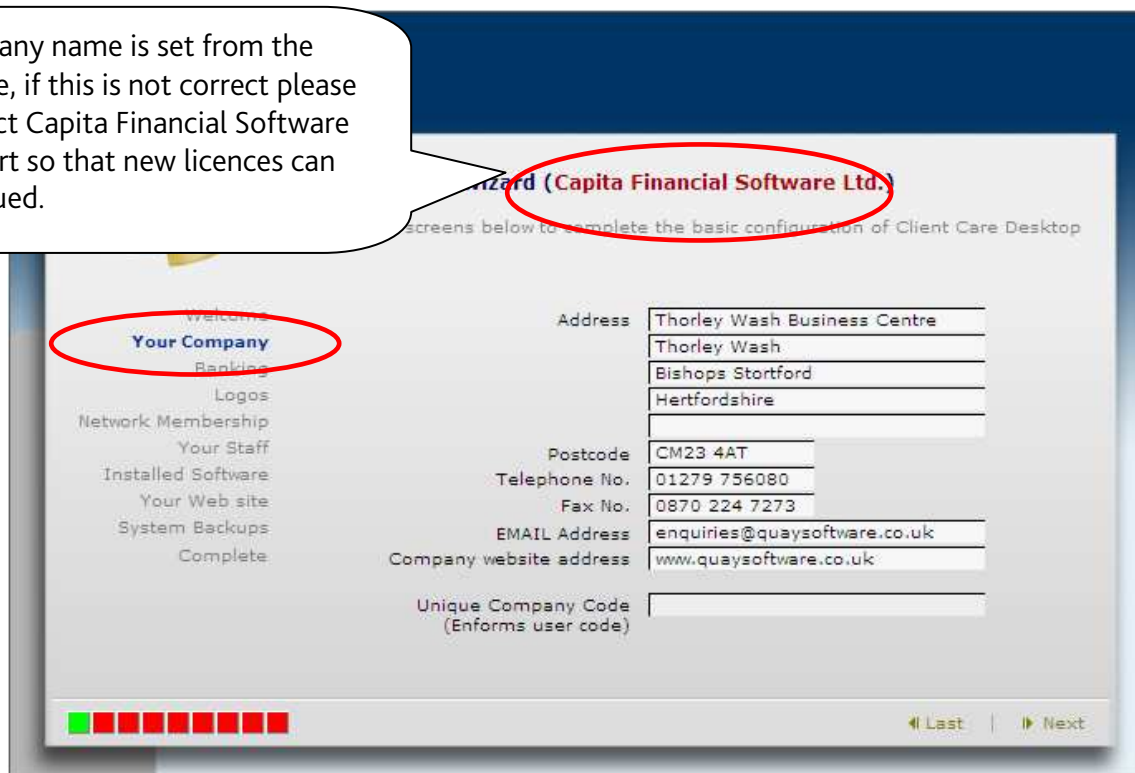


1.2. System Setup Wizard

Once the system has finished loading you will be taken to the system setup wizard. You will need to go through each section completing the details as required.

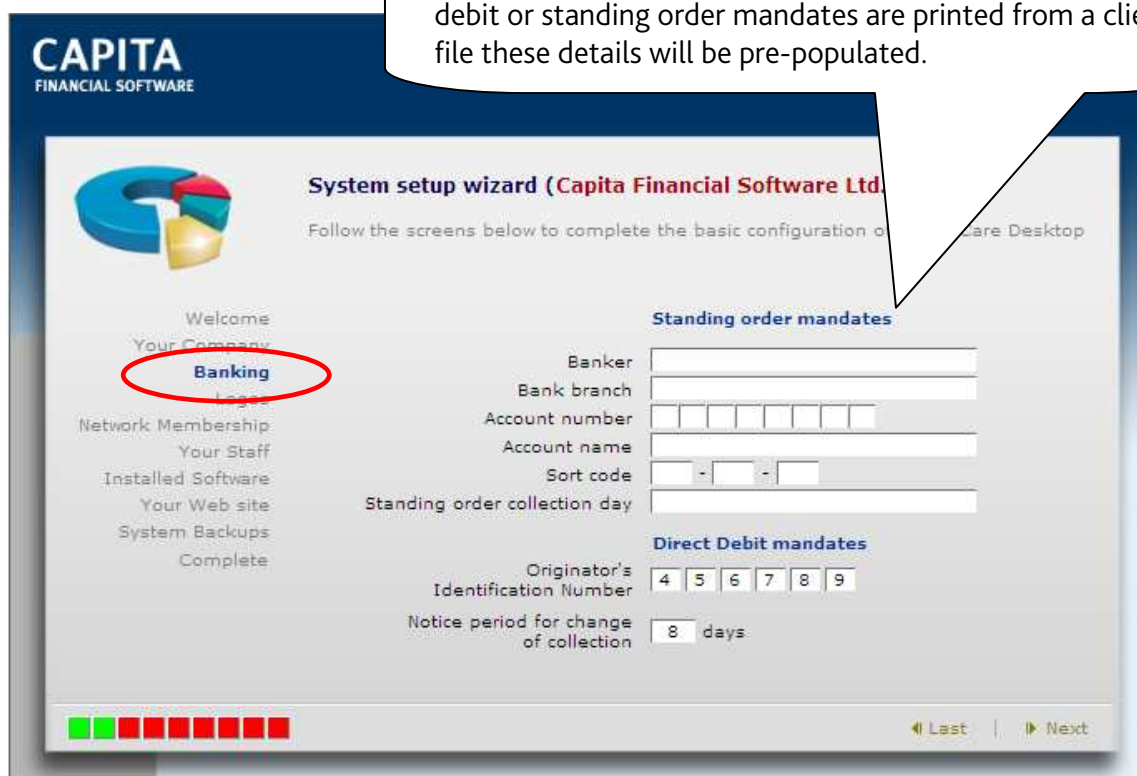


Company name is set from the licence, if this is not correct please contact Capita Financial Software support so that new licences can be issued.



Complete as much of the above details as possible. It will be possible to add any missing information at a later date.

The company bank details can be added here, when direct debit or standing order mandates are printed from a client file these details will be pre-populated.



CAPITA
FINANCIAL SOFTWARE

System setup wizard (Capita Financial Software Ltd.)
Follow the screens below to complete the basic configuration of Client Care Desktop

Welcome
Your Company
Banking
Logos
Network Membership
Your Staff
Installed Software
Your Web site
System Backups
Complete

Standing order mandates

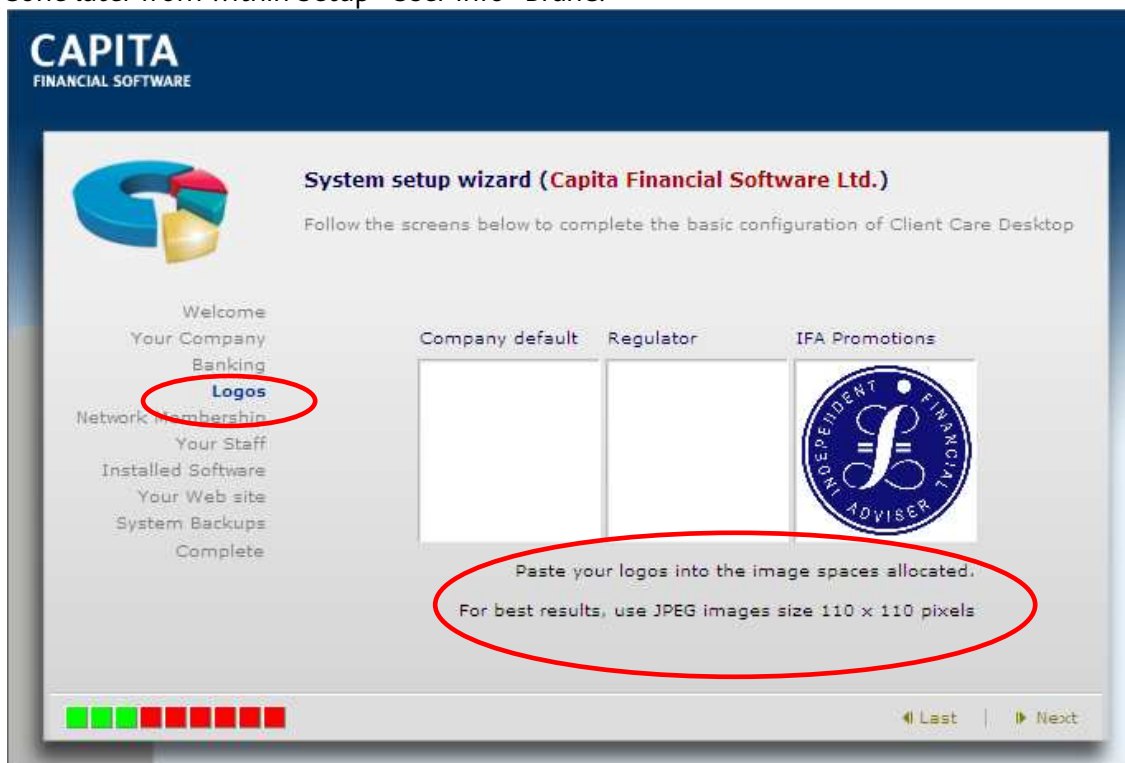
Banker
Bank branch
Account number
Account name
Sort code - -
Standing order collection day

Direct Debit mandates

Originator's Identification Number 4 5 6 7 8 9
Notice period for change of collection 8 days

◀ Last | ▶ Next

You can store your company and regulator logo's here, these will then display on reports and illustrations generated from CCD. If you do not have them to add in at this point, it can be done later from within Setup>User Info>Brand.




CAPITA
FINANCIAL SOFTWARE

System setup wizard (Capita Financial Software Ltd.)
Follow the screens below to complete the basic configuration of Client Care Desktop

Welcome
Your Company
Banking
Logos
Network Membership
Your Staff
Installed Software
Your Web site
System Backups
Complete

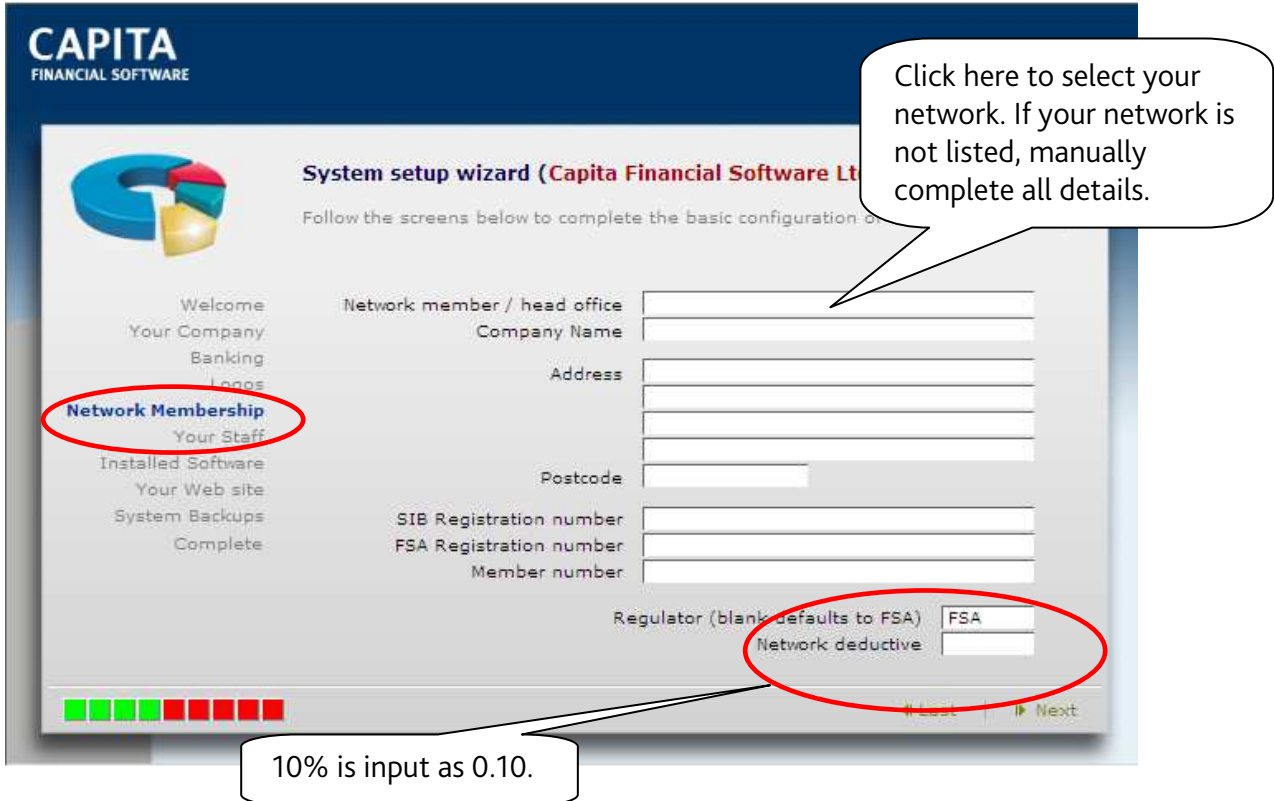
Company default Regulator IFA Promotions



Paste your logos into the image spaces allocated.
For best results, use JPEG images size 110 x 110 pixels

◀ Last | ▶ Next

If you are a member of a Network, the details need to be entered here. If you have a network deduction from any commission, ensure the percentage is added. This will then become the default on all commissions.



CAPITA
FINANCIAL SOFTWARE

System setup wizard (Capita Financial Software Ltd)
Follow the screens below to complete the basic configuration of the system.

Welcome
Your Company
Banking
Logos
Network Membership
Your Staff
Installed Software
Your Web site
System Backups
Complete

Network member / head office
Company Name
Address
Postcode
SIB Registration number
FSA Registration number
Member number
Regulator (blank defaults to FSA) FSA
Network deductive

10% is input as 0.10.

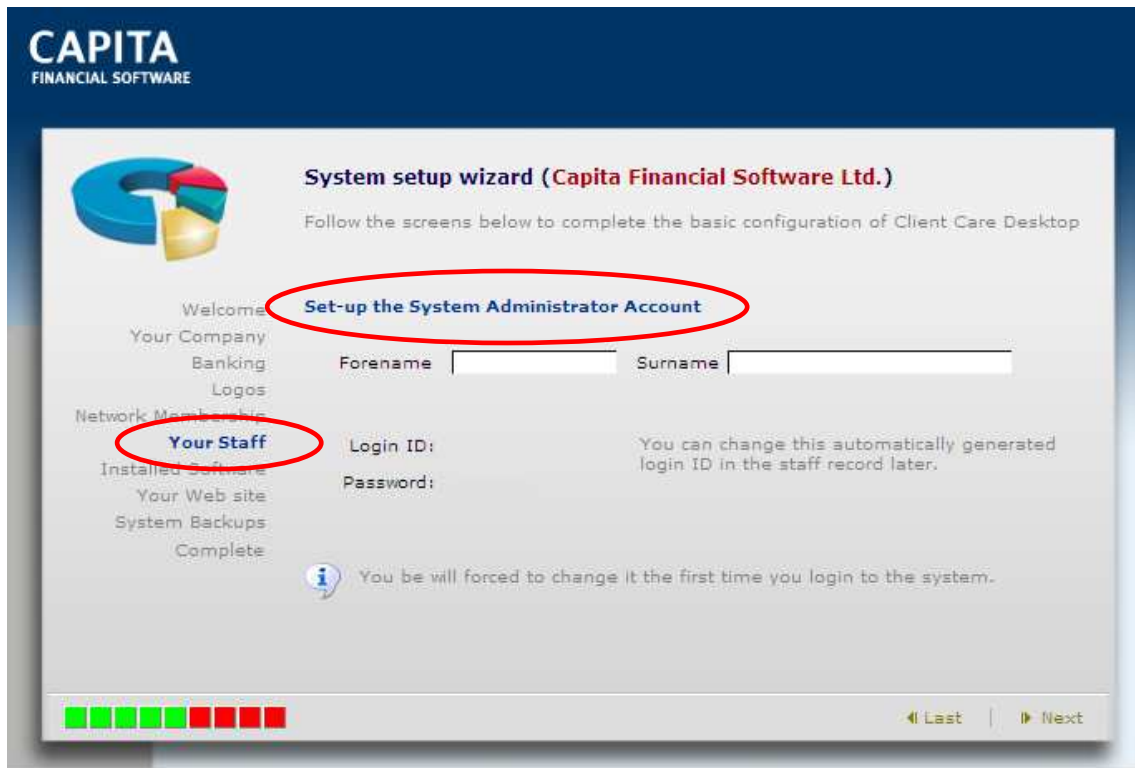
Click here to select your network. If your network is not listed, manually complete all details.

Test Next

The next section to complete is the Staff List. The system will automatically open up this section on the system administrator's details.

Enter the forename and surname of the system administrator, CCD will then allocate a Login ID based on the surname and forename. This Login ID will also be the staff reference used throughout the CCD system. The password will default to the system default (password). On the next Login the user will be asked to change their password to one of their choice.

For additional staff the system will not allocate a Login ID. The system administrator must allocate a Login ID and it is recommended that each ID is 3 characters and must be unique as this will be used throughout CCD and will be used by staff members to log on.



CAPITA
FINANCIAL SOFTWARE

System setup wizard (Capita Financial Software Ltd.)

Follow the screens below to complete the basic configuration of Client Care Desktop


Welcome
Your Company
Banking
Logos
Network Membership
Your Staff
Installed Software
Your Web site
System Backups
Complete


Set-up the System Administrator Account

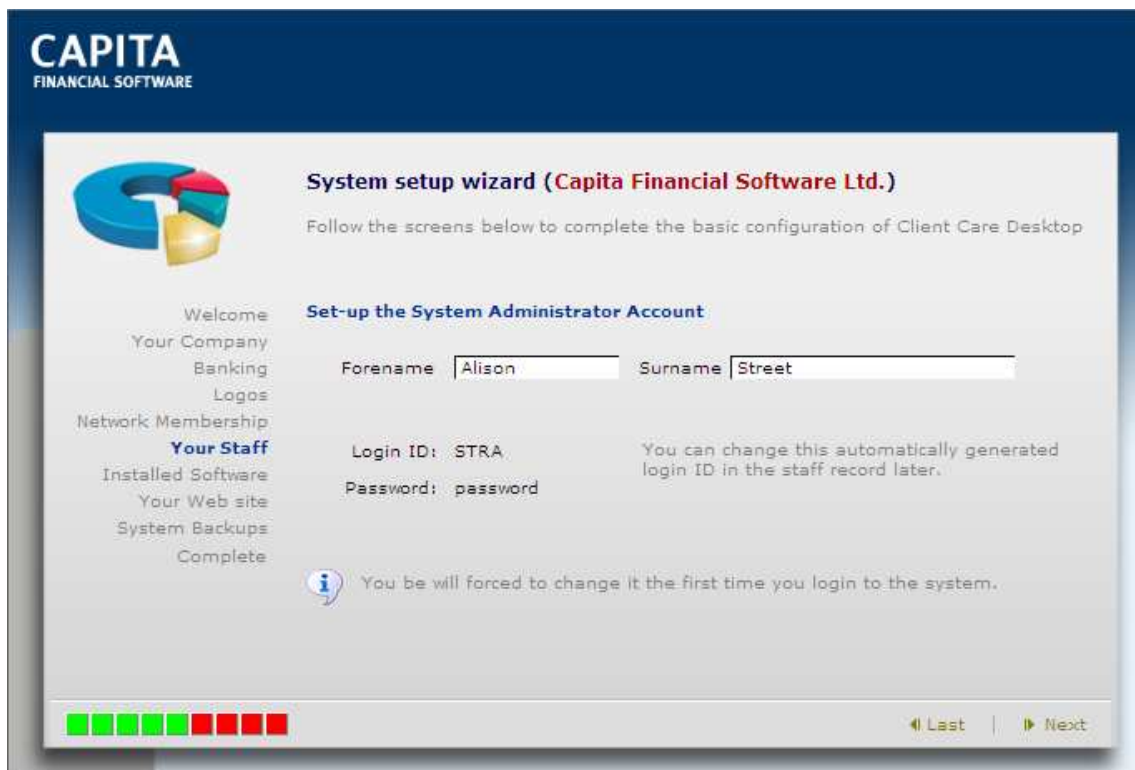
Forename Surname

Login ID: You can change this automatically generated login ID in the staff record later.

Password:

 You be will forced to change it the first time you login to the system.

 Last Next



CAPITA
FINANCIAL SOFTWARE

System setup wizard (Capita Financial Software Ltd.)

Follow the screens below to complete the basic configuration of Client Care Desktop


Welcome
Your Company
Banking
Logos
Network Membership
Your Staff
Installed Software
Your Web site
System Backups
Complete


Set-up the System Administrator Account

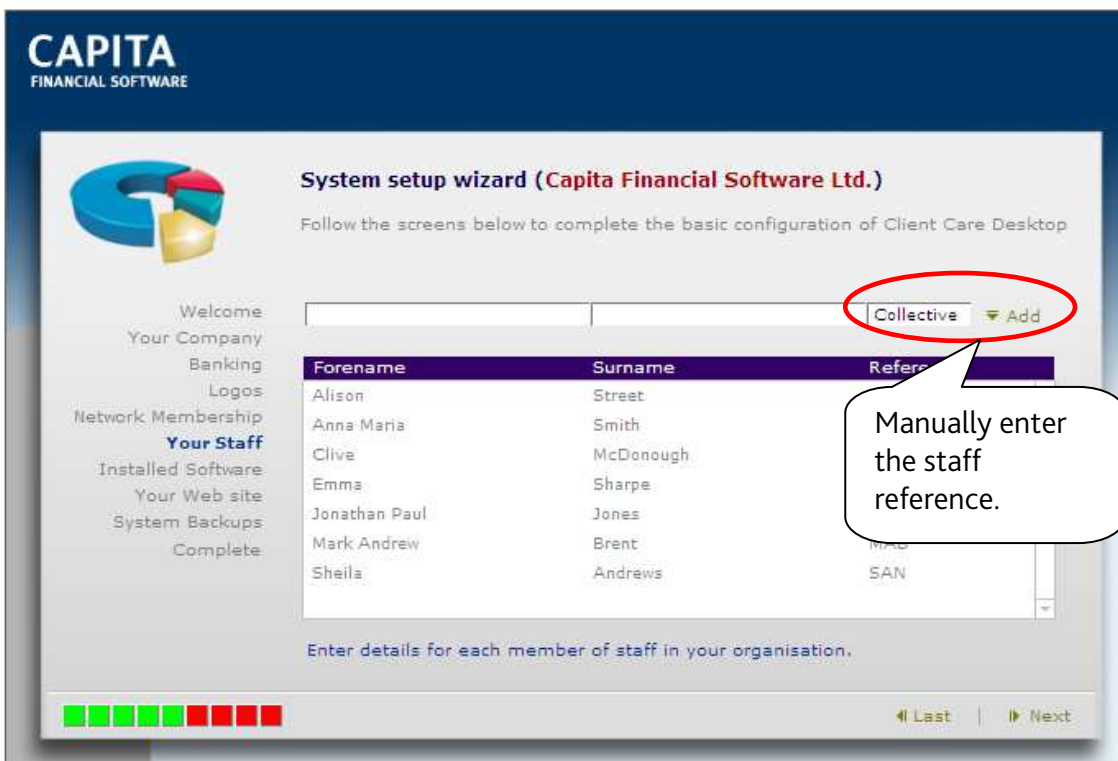
Forename Surname

Login ID: STRA You can change this automatically generated login ID in the staff record later.

Password: password

 You be will forced to change it the first time you login to the system.

 Last Next



System setup wizard (Capita Financial Software Ltd.)

Follow the screens below to complete the basic configuration of Client Care Desktop

Welcome
Your Company
Banking
Logos
Network Membership
Your Staff
Installed Software
Your Web site
System Backups
Complete

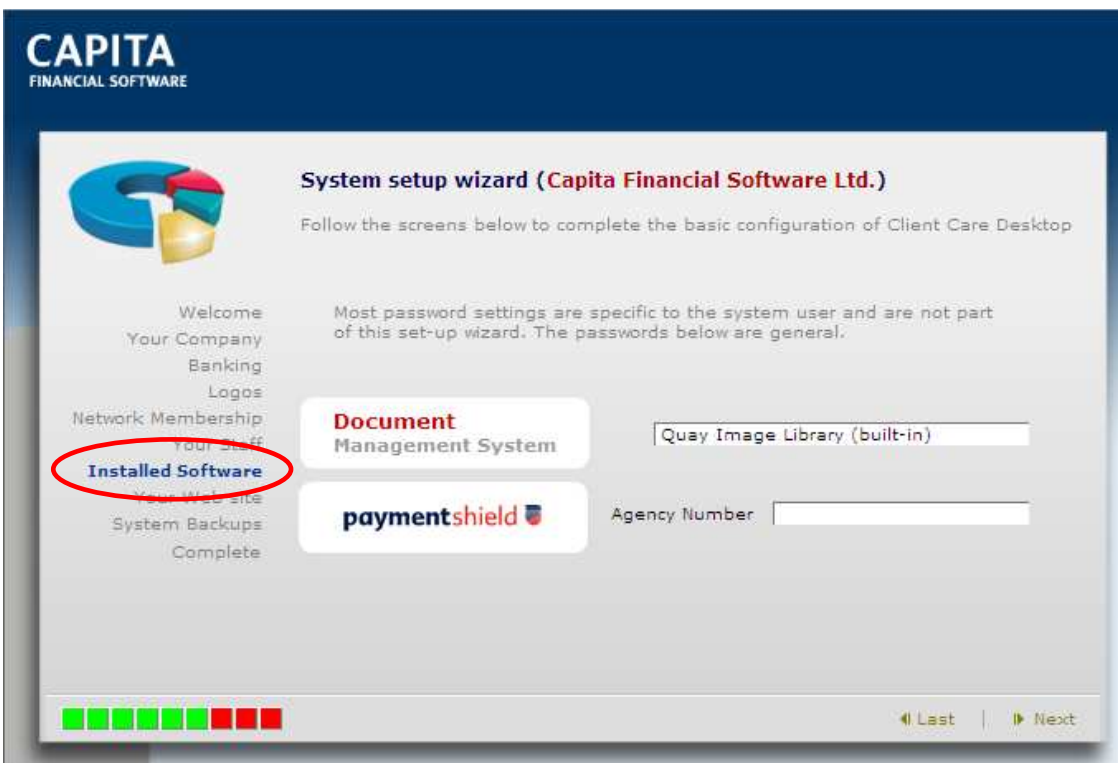
Collective ▼ Add

| Forename | Surname | Reference |
|---------------|-----------|-----------|
| Alison | Street | |
| Anna Maria | Smith | |
| Clive | McDonough | |
| Emma | Sharpe | |
| Jonathan Paul | Jones | |
| Mark Andrew | Brent | |
| Sheila | Andrews | SAN |

Enter details for each member of staff in your organisation.

◀ Last | ▶ Next

Select your document management system from the drop down and enter any user name and passwords below. If you have not purchased a document manager, the system will default to the Capita Financial Software Ltd Document Manager.



System setup wizard (Capita Financial Software Ltd.)

Follow the screens below to complete the basic configuration of Client Care Desktop

Welcome
Your Company
Banking
Logos
Network Membership
Your Staff
Installed Software
Your Web site
System Backups
Complete

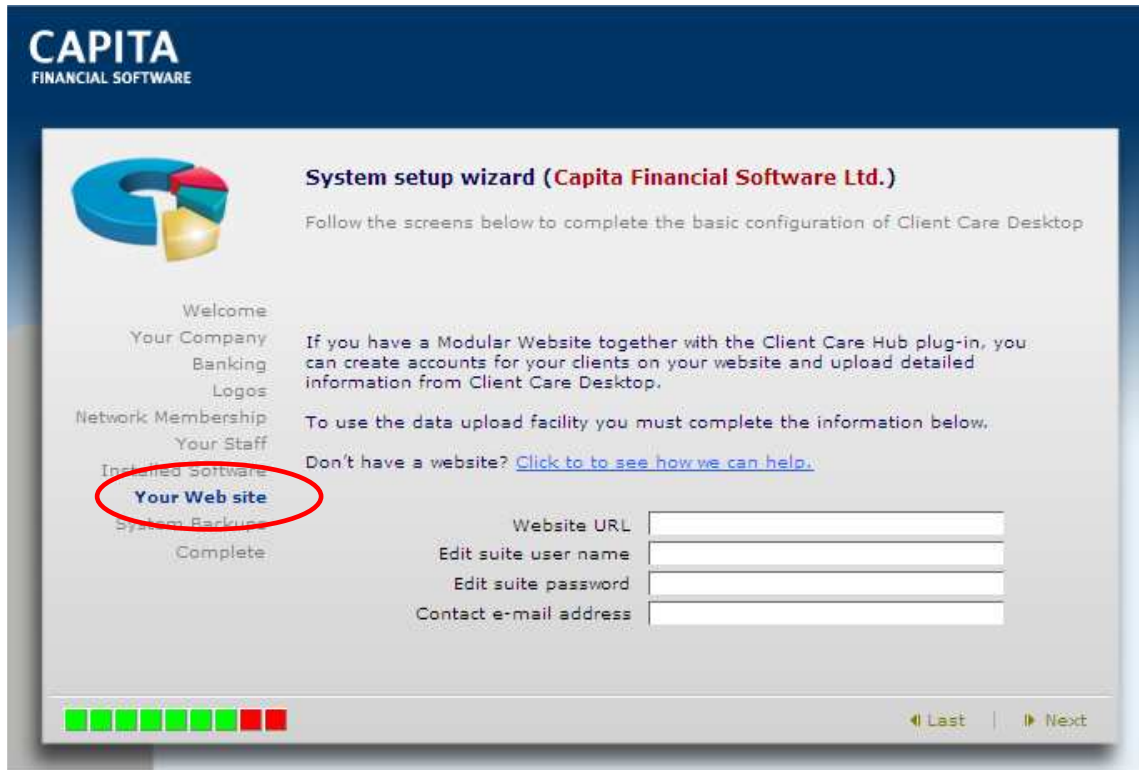
Most password settings are specific to the system user and are not part of this set-up wizard. The passwords below are general.

Document Management System Quay Image Library (built-in)

paymentshield Agency Number

◀ Last | ▶ Next

If you have a Modular Website provided by Capita Financial Software, enter the appropriate details on this screen. If you do not have this product, click Next to continue.



CAPITA
FINANCIAL SOFTWARE

System setup wizard (Capita Financial Software Ltd.)

Follow the screens below to complete the basic configuration of Client Care Desktop

Welcome
Your Company
Banking
Logos
Network Membership
Your Staff
Installed Software
Your Web site
System Backups
Complete

If you have a Modular Website together with the Client Care Hub plug-in, you can create accounts for your clients on your website and upload detailed information from Client Care Desktop.

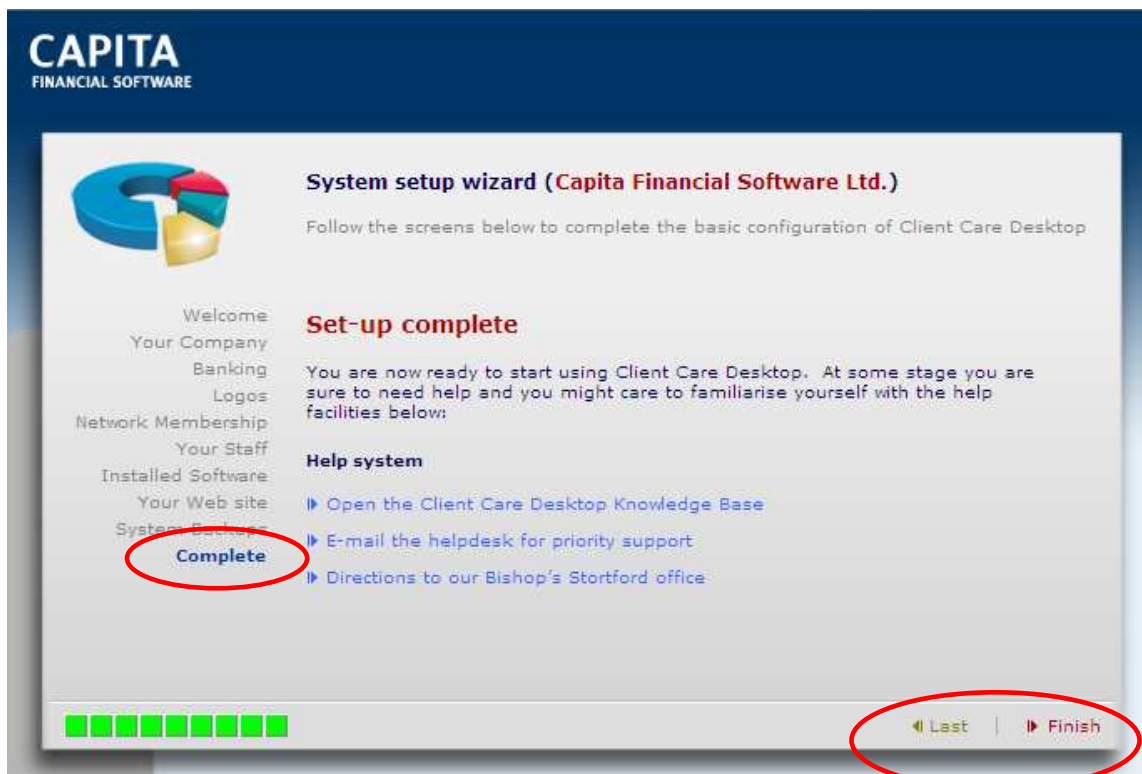
To use the data upload facility you must complete the information below.

Don't have a website? [Click to to see how we can help.](#)

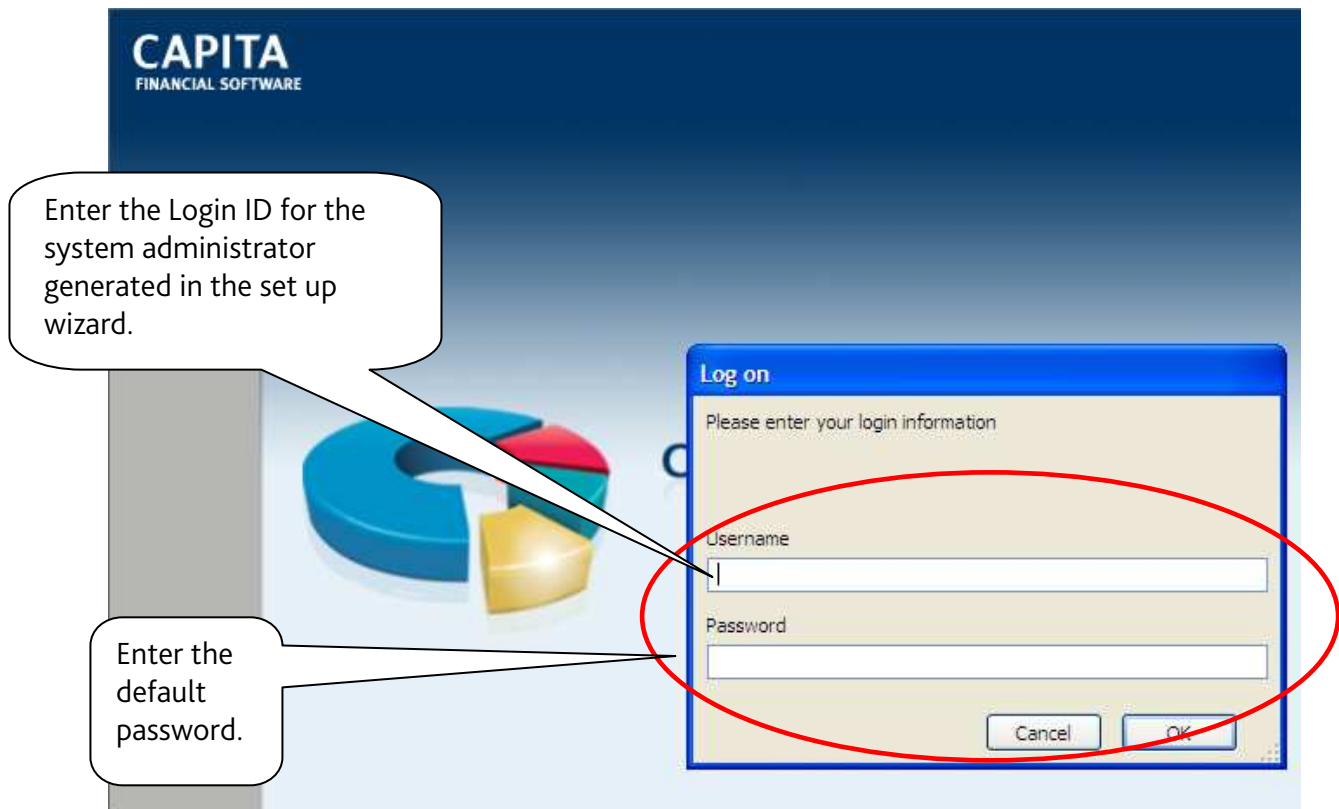
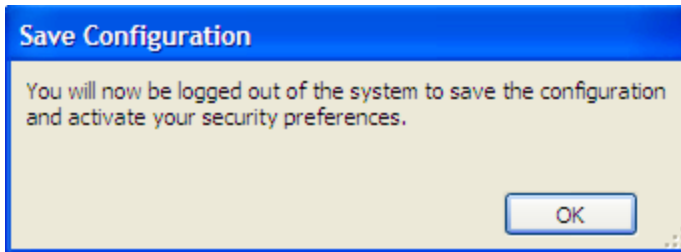
Website URL
Edit suite user name
Edit suite password
Contact e-mail address

◀ Last | ▶ Next

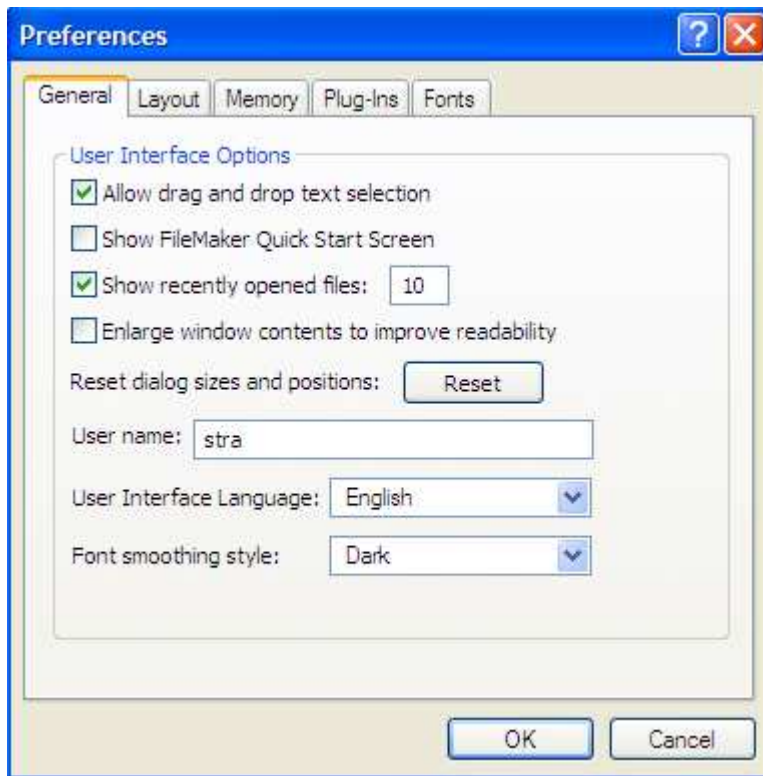
Ensure you read the backup details and select the blue link to find out what files need to be backed up.



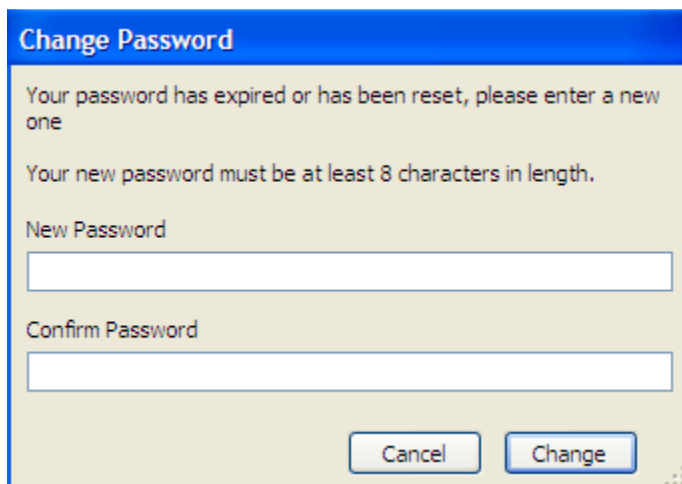
2. Logging into CCD for the first time

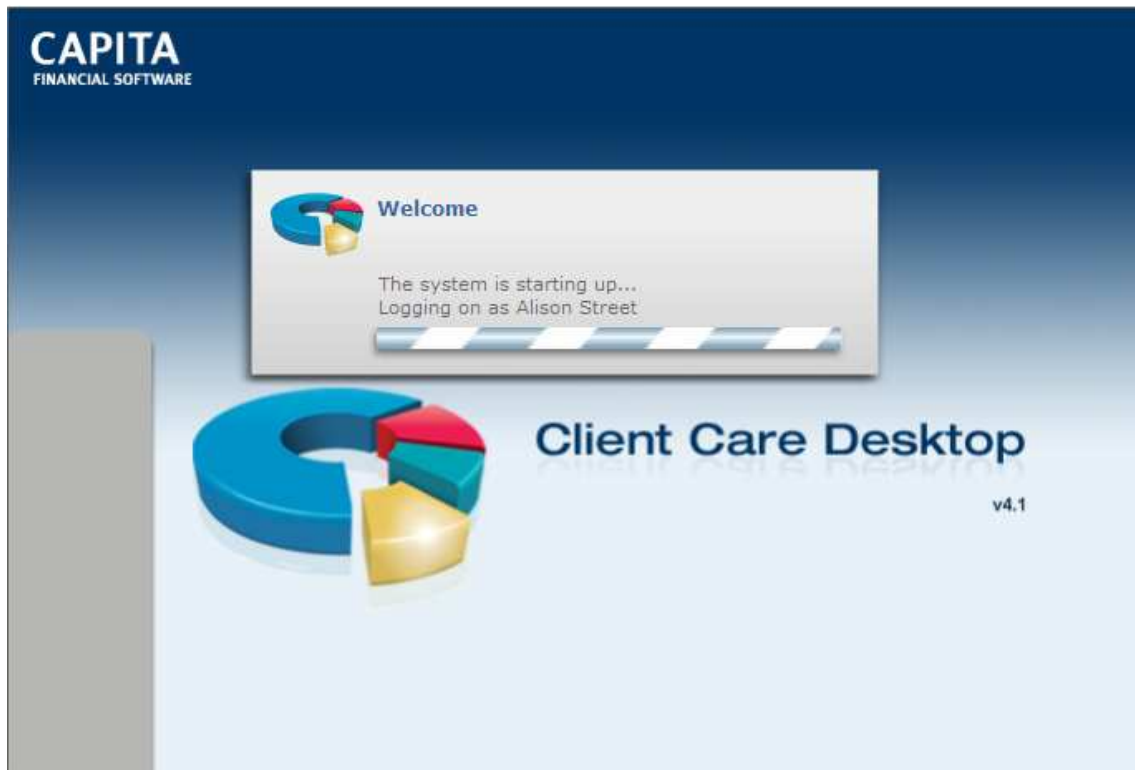


Use the Login ID as the user name.



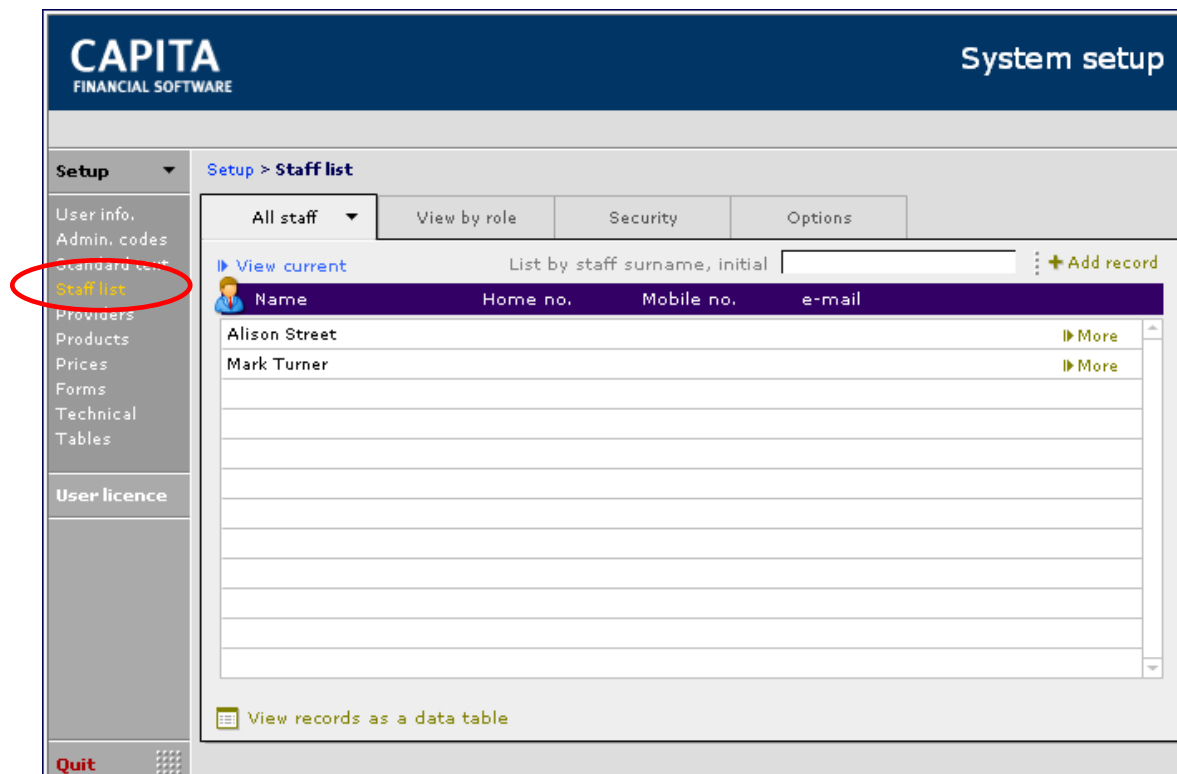
You will now be asked to change the password from the system default.



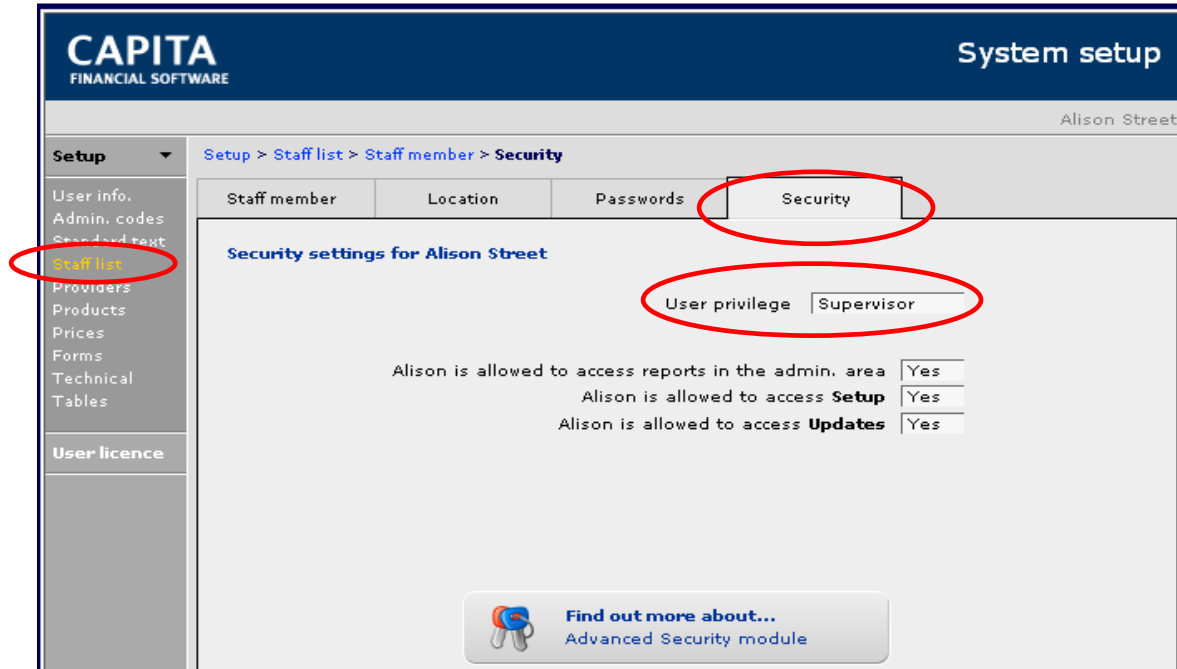


Once logged in the administrator will need to access the staff list in the 'Setup' module to set the user privileges for each staff member.

3. The Setup module



Click into the system administrator's record and go to the 'Security' tab.



CAPITA
FINANCIAL SOFTWARE

System setup

Alison Street

Setup > Staff list > Staff member > Security

Staff member Location Passwords **Security**


Security settings for Alison Street

User privilege **Supervisor**

Alison is allowed to access reports in the admin. area ☒ Yes

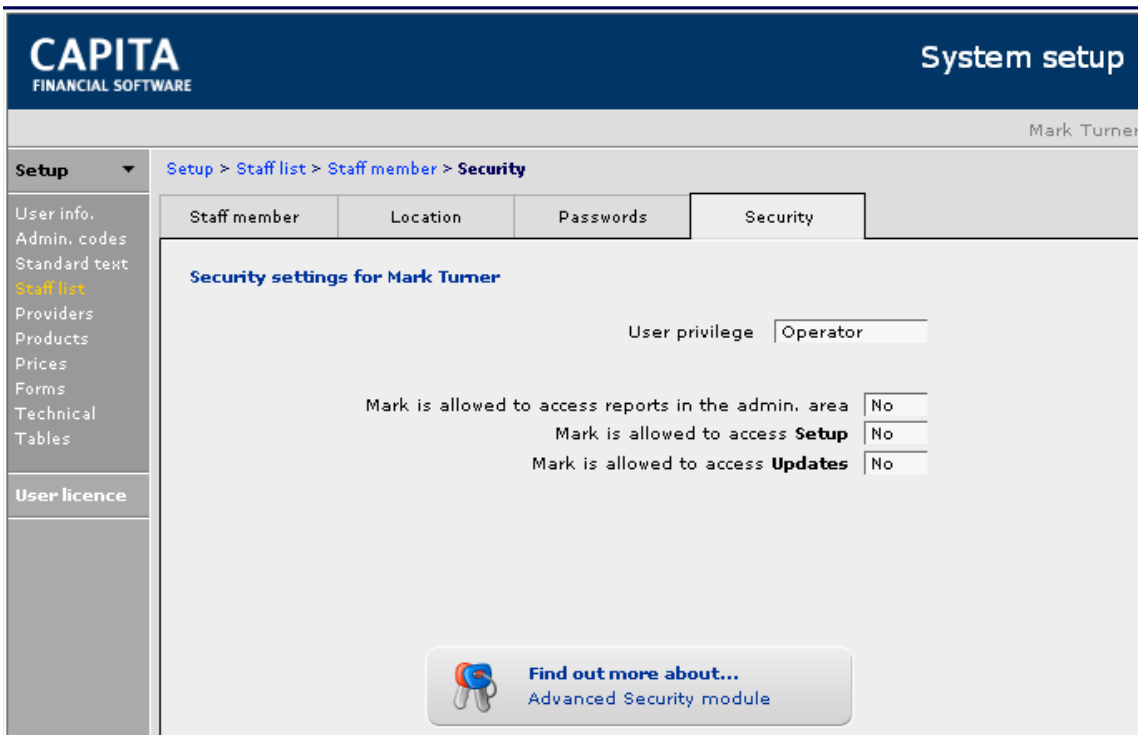
Alison is allowed to access **Setup** ☒ Yes

Alison is allowed to access **Updates** ☒ Yes

 [Find out more about...](#)
Advanced Security module

The system administrator will have defaulted to Supervisor and have full access.

Other staff members will have defaulted to Operator and all management access will have been set to 'No'.



CAPITA
FINANCIAL SOFTWARE

System setup

Mark Turner

Setup > Staff list > Staff member > Security

Staff member Location Passwords **Security**


Security settings for Mark Turner

User privilege **Operator**

Mark is allowed to access reports in the admin. area ☐ No

Mark is allowed to access **Setup** ☐ No

Mark is allowed to access **Updates** ☐ No

 [Find out more about...](#)
Advanced Security module

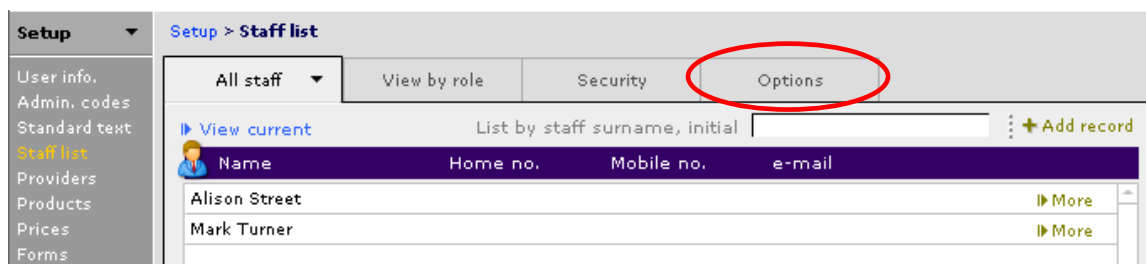
The user privileges are as follows:-

| | Printing | Exporting | Modifying | Deleting |
|------------|----------|-----------|------------|----------|
| Supervisor | Yes | Yes | Yes | Yes |
| Operator | Yes | Yes | Yes | No |
| Consultant | Yes | Yes | Yes (some) | No |
| Read only | Yes | No | No | No |

You can amend the default of 'Operator' from the 'User Privilege' drop down list where relevant.

Once the user privileges have been set then access levels can be selected for 3 key areas of CCD. Select 'Yes' or 'No' to each area.

Go back to the main staff list on your History bar at the top of the screen and select the options tab.



The 'Options' tab allows the company default password, number of characters and number of days before it prompts for a new password to be changed.

All default passwords are set to 'password' and will always prompt the user to change it when used for the first time.



CAPITA
FINANCIAL SOFTWARE

System setup

Setup > Staff list > Security settings

All staff View by role Security Options

Password Control
Define how your system handles passwords and their expiry.

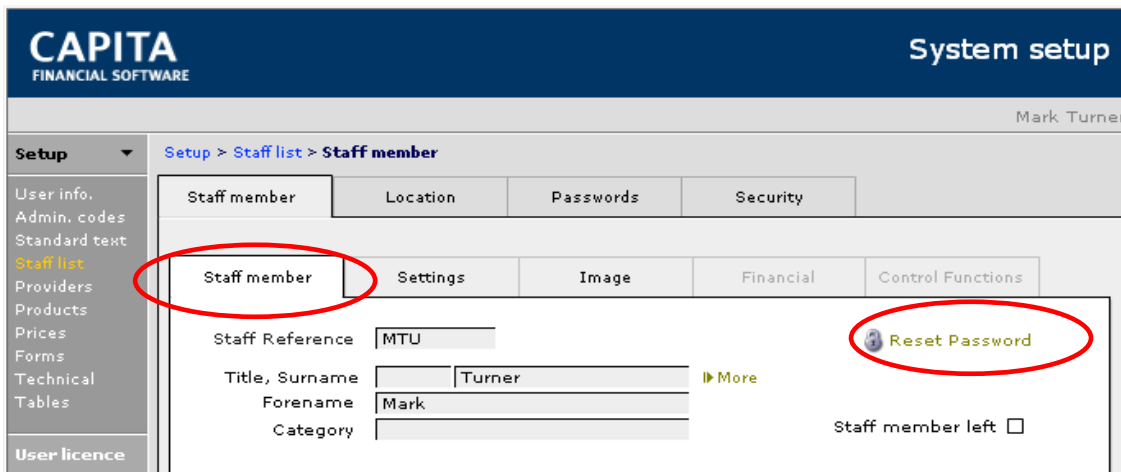
8 Characters or more for password length

30 Days until expiry

Temporary default password
the user is forced to change it upon initial login

We recommend that you set a minimum password length of 8 or more characters containing both alphanumeric and punctuation characters. Ensure they do not appear in the dictionary and are in random order. In addition, force password changes every 30 days.

If a staff member forgets or needs their password changed, the system administrator will need to access the staff record and click on the link to reset the password to the company default.



CAPITA
FINANCIAL SOFTWARE

System setup

Mark Turner

Setup > Staff list > Staff member

Staff member Location Passwords Security

Staff member Settings Image Financial Control Functions

Staff Reference MTU

Title, Surname Turner

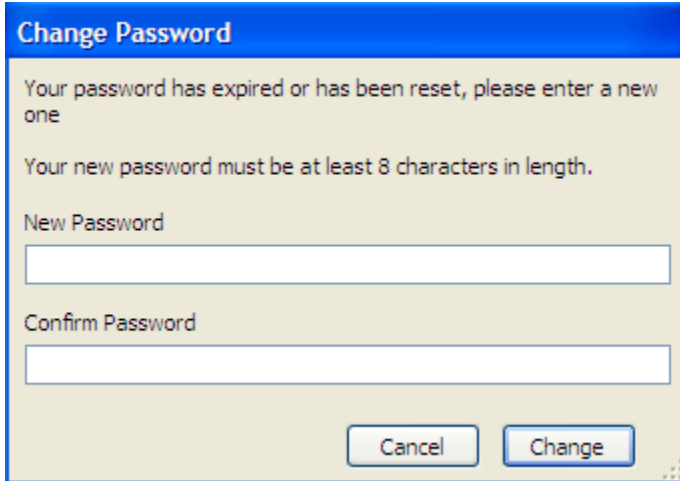
Forename Mark

Category

Reset Password

Staff member left ☐

On initial sign in each staff member will be asked to change their password.




A screenshot of a 'Change Password' dialog box. The title bar is blue with the text 'Change Password'. The main area has a light beige background. It contains the following text: 'Your password has expired or has been reset, please enter a new one', 'Your new password must be at least 8 characters in length.', 'New Password' followed by a text input field, 'Confirm Password' followed by a text input field, and at the bottom, two buttons labeled 'Cancel' and 'Change'.

3.2. Locations/Branches

It is possible in CCD to have several locations/branches set up for 1 company. This will allow reports to be run to show the company as a whole or for each location/branch to report separately.

In the location tab the first screen is the 'Set-up' screen. Select from the two drop downs the default for the system.

To add a new location/branch go to the 'Branches' tab and select  Add location |
Whenever locations or branches are added, the head office must be set-up as a separate location/branch.

Enter the main details for location/branch.

Quay Birmingham Satellite Office

Setup > User information > Locations > Location details

Address Advisers Regulatory text

Primary Contact Agencies Brand Invoicing

Status: Current

Location name: Quay Birmingham Satellite Office

Region:


Location address: 1 Park Lane

Woodbridge

Birmingham

Chartered Firm ☐ ISO 22222 ☐ Postcode: B44 44AG FSA No:

Website address:

 **Commission deductions**

Enter the Network deduction for business written by Advisers of this Branch

Quit

Branch code: U30002

Add location or branch name.

Under the 'Contact' tab, add the main contact at each branch for example the manager.

Setup > User information > Locations > Location details > Contact details

Address Advisers Regulatory text

Primary Contact Agencies Brand Invoicing

Title / Initial / Surname

Forename/s

Salutation

Position

Email address

Branch telephone no.

Fax no.

Principal contact mobile no.

Date Branch established

In the 'Agencies' tab enter any agency numbers for the location/branch.

It is possible to add a separate logo to the main company logo for the location/branch. This is done in exactly the same way as for the main company logo. If no logo is added here then the company logo will be used.

Setup ▾ Setup > User information > Locations > Location details > **Agencies**

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

User licence

Quit

Address ▾ Advisers Regulatory text

Primary Contact Agencies Brand Invoicing

Insert your company logo here if this location operates under a different brand to the main company
(Ideal format: 110 pixel x 110 pixel JPEG)

Your brand can say a lot about your business. A strong brand has the potential to set you apart from the competition and present your business in a powerful and compelling way. You can load your company logo into Client Care Desktop so that printable Fax headers, Fact finds and Client reports become more personalised. If you do not have a logo, or have a logo but not in the right format, then why not see how we can help you. Call Sales on 0870 224 7272.

The payee details printed on client invoices from each branch can also be varied from the main company details, and the return address can be selected as either the head office address or the branch address depending on your company procedures.

Setup ▾ Setup > User information > Locations > Location details > **Invoicing**

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

User licence

Regulatory text

Primary Contact Agencies Brand Invoicing

VAT number 12345

Company registration number

Invoice Payee Evaluation

VAT rate applicable to this location 17.5%

Remittance address Location

1 Park Lane
Woodbridge
Birmingham
B44 4AG

► Apply this VAT rate to client fees due for this Location

► Apply this VAT rate to adviser fees due for this Location

Set the payee details here.

Select return address for payment.

Setup ▾ Setup > User information > Locations > Location details > **Agencies**

User info. Admin. codes Standard text Staff list Providers

Address ▾ Advisers Regulatory text

Primary Contact Agencies Brand Invoicing

The list of advisers attached to this location will populate from the individual adviser's record in the staff list.

Regulatory text for reports etc can either be set to the company default or can be varied for each location.

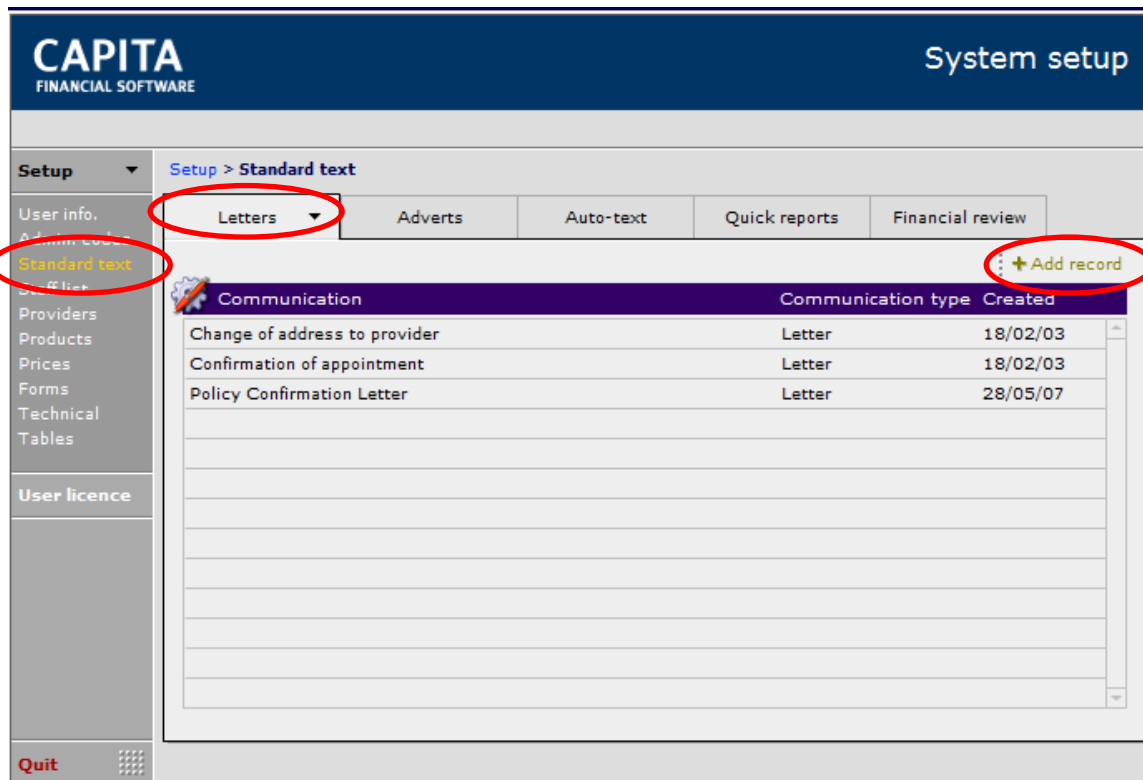
3.3. Admin Codes

Admin codes are used when work, tasks and trackers are added to your system. Standard letters can be attached to tasks to ensure that audit trails are followed. Full use of Admin codes and setting up of work flow trackers is covered in full on our Advanced CCD and Administration course, details are available from the training department on 01279 756086.

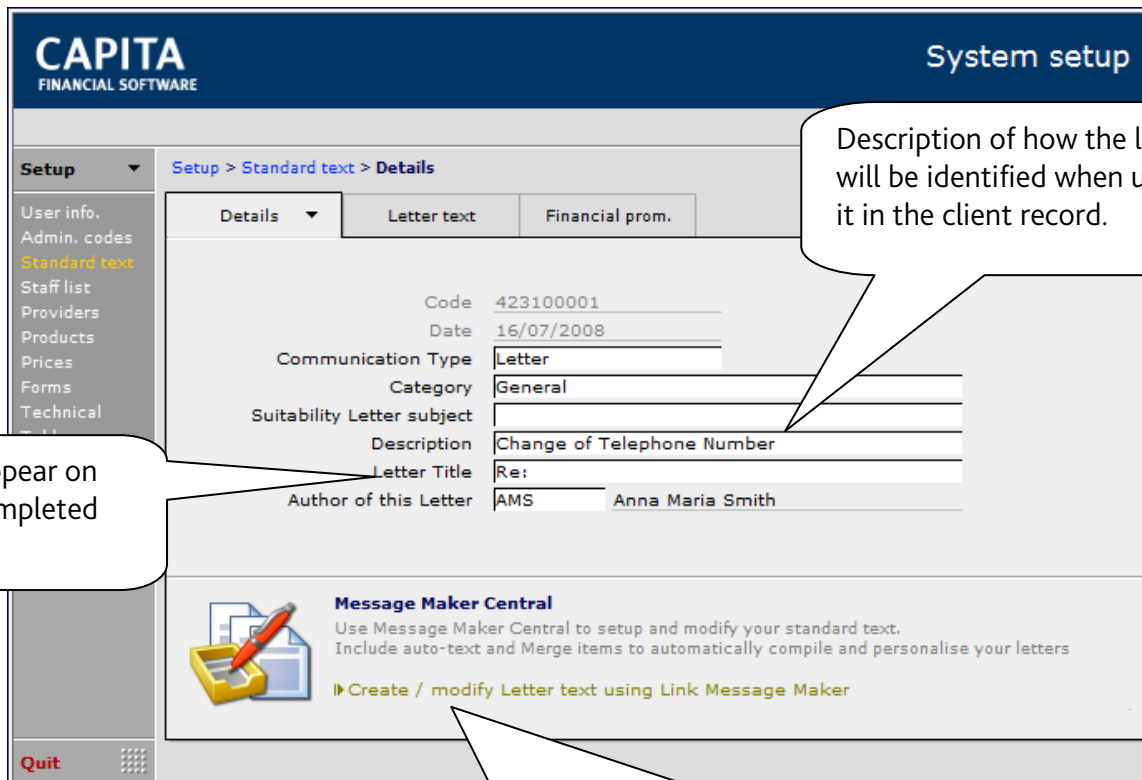
3.4. Standard Text

Standard text covers letters, auto text, quick reports and some of the introduction paragraphs from the personal financial review.

To set up a standard letter you can either free format type the body of the letter (name, address, salutation and date are automatically inserted) or you can copy and paste an already set up word document into the standard letter section. If the copy and paste option is going to be used, we recommend copying the letter into Notepad, before copying from here to CCD.



Complete the 'Details' tab to record the basis of the standard letter.



CAPITA
FINANCIAL SOFTWARE

System setup

Setup > Standard text > Details

Details Letter text Financial prom.

Code 423100001
Date 16/07/2008
Communication Type Letter
Category General
Suitability Letter subject
Description Change of Telephone Number
Letter Title Re:
Author of this Letter AMS Anna Maria Smith

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

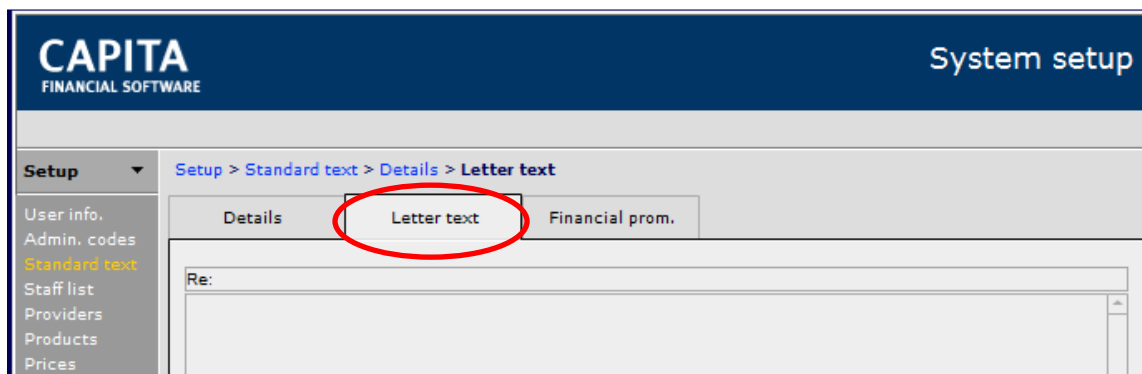
Quit

Will appear on the completed letter.

Description of how the letter will be identified when using it in the client record.

Allows you to insert merge fields from the CCD data base into the letter. you can create one standard letter but each time you generate it in a client record it will be personalized for that client.

Once all the fields have been completed go to the 'Letter text' tab.



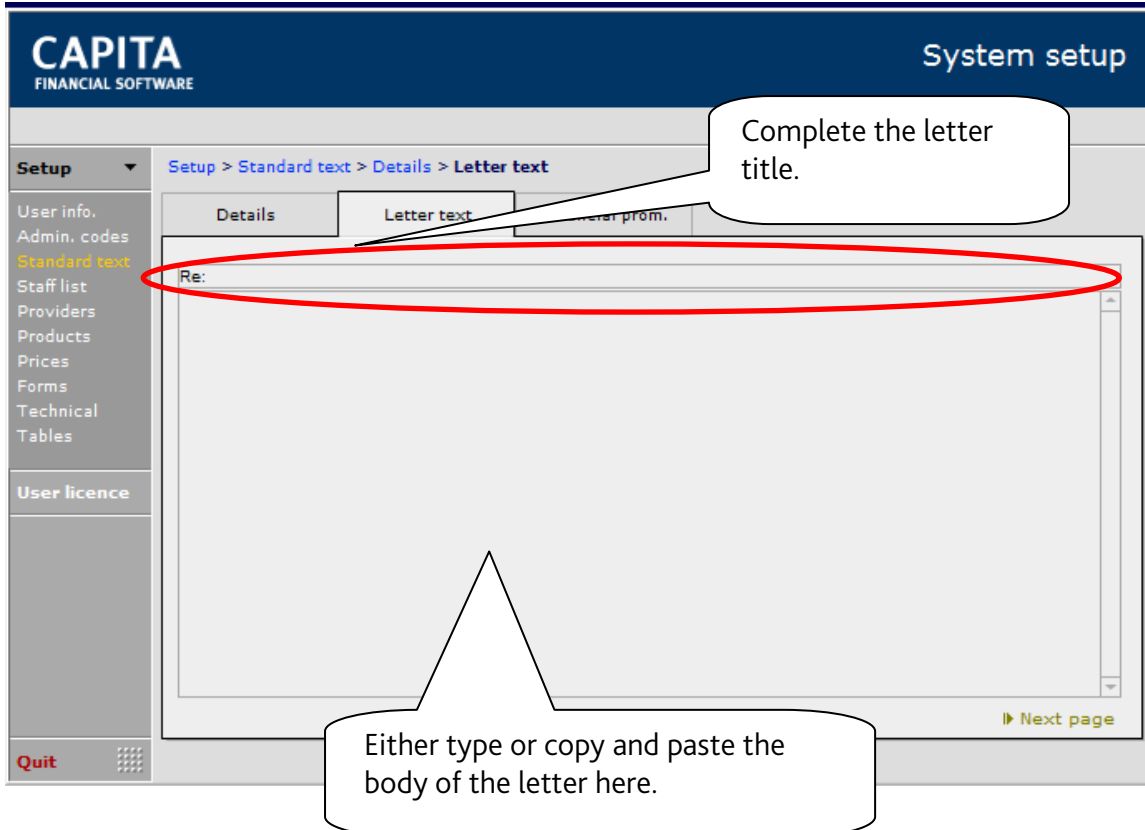
CAPITA
FINANCIAL SOFTWARE

System setup

Setup > Standard text > Details > Letter text

Details Letter text Financial prom.

Re:



CAPITA
FINANCIAL SOFTWARE

System setup

Setup > Standard text > Details > Letter text

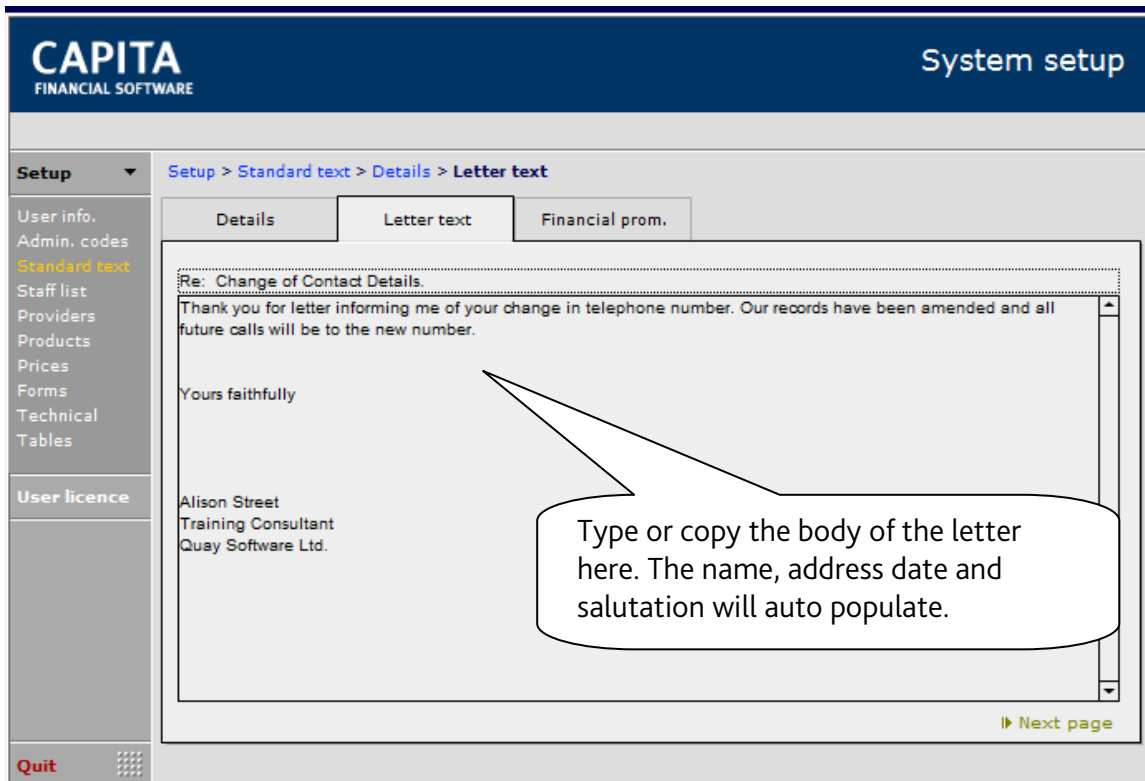
Re:

Next page

Quit

Complete the letter title.

Either type or copy and paste the body of the letter here.



CAPITA
FINANCIAL SOFTWARE

System setup

Setup > Standard text > Details > Letter text

Re: Change of Contact Details

Thank you for letter informing me of your change in telephone number. Our records have been amended and all future calls will be to the new number.

Yours faithfully

Alison Street
Training Consultant
Quay Software Ltd.

Next page

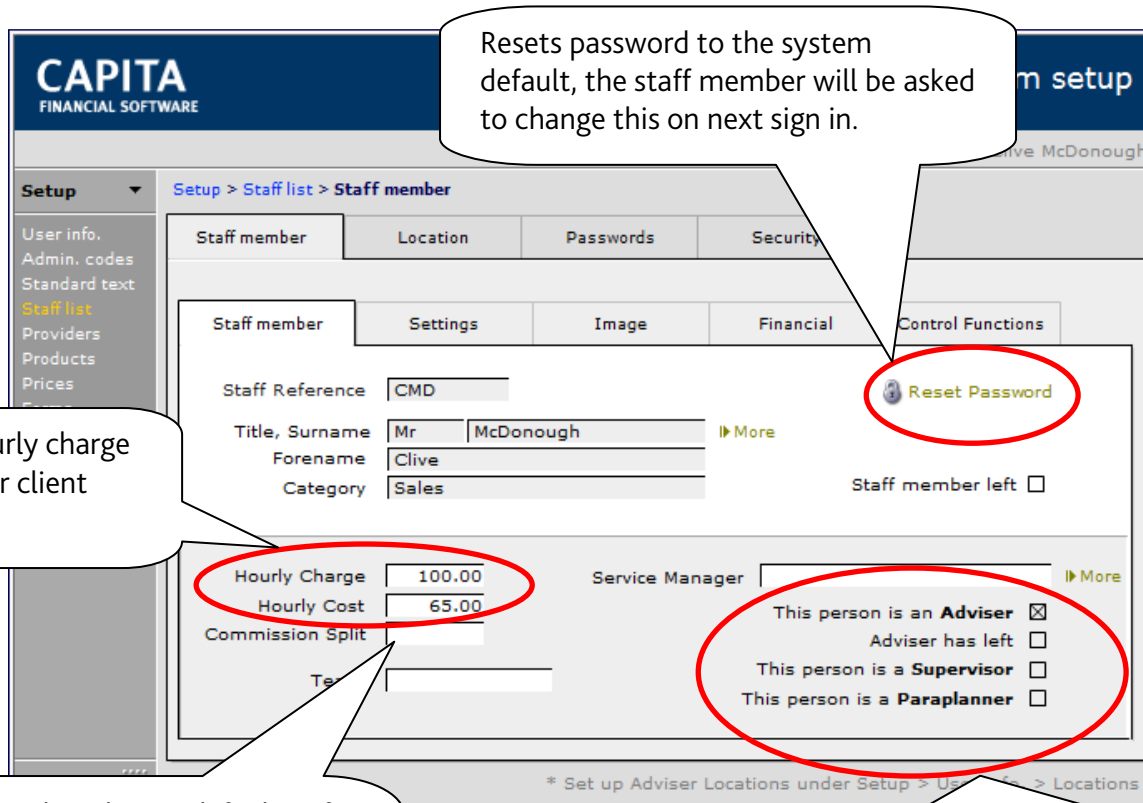
Quit

Type or copy the body of the letter here. The name, address date and salutation will auto populate.

CCD allows, via the Message Maker, standard letters to be personalised by inserting details held on the client file into CCD the letter. This is covered in full on the Advanced CCD and Administration course, further details are available from our training department on 01279 756086.

3.5. Staff List

Your staff list will have been populated from the set-up wizard and all personal details will have been checked, amended or added by individual staff members when they signed in for the 1st time, additional information can now be added.

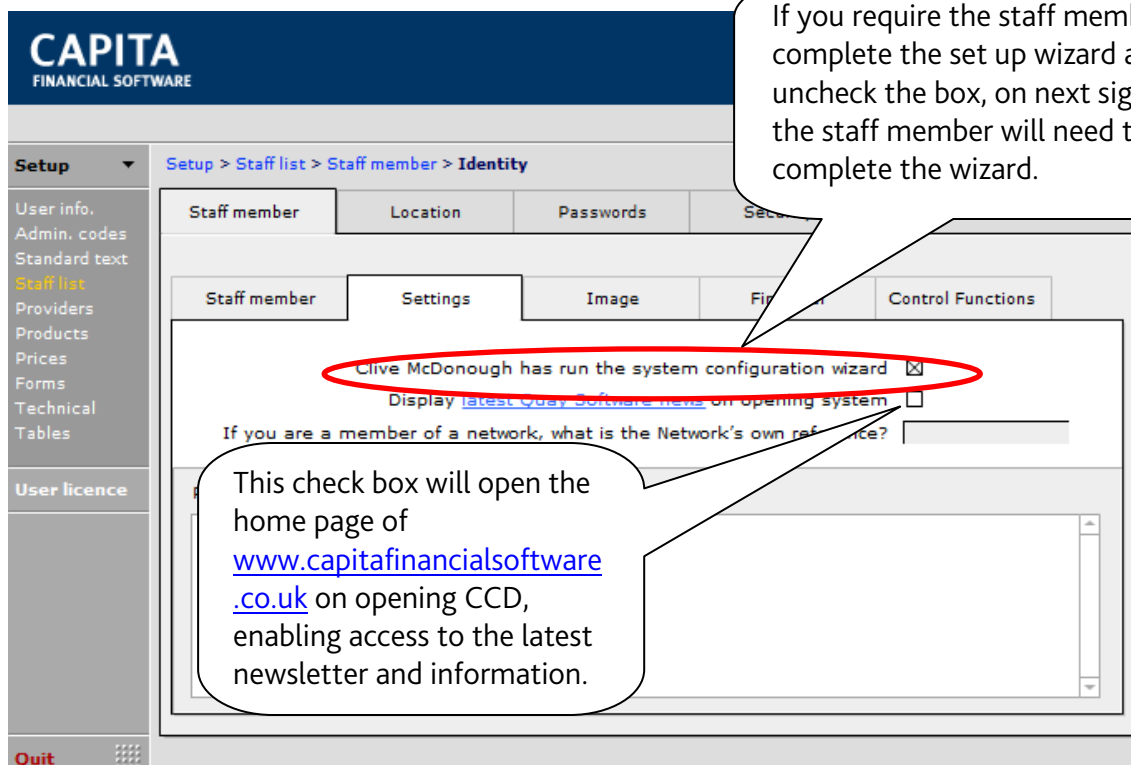


Resets password to the system default, the staff member will be asked to change this on next sign in.

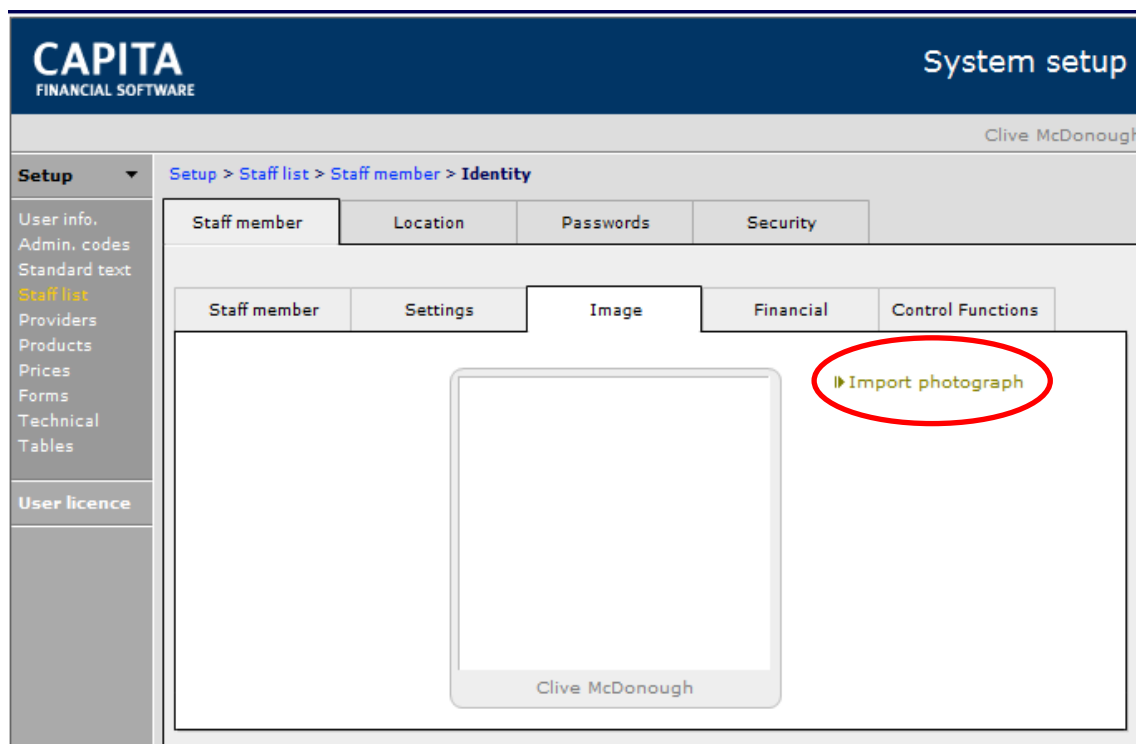
Set the hourly charge and cost for client fees.

Enter the advisers default % for commission. This will only be modifiable when the staff member has been marked as an adviser.

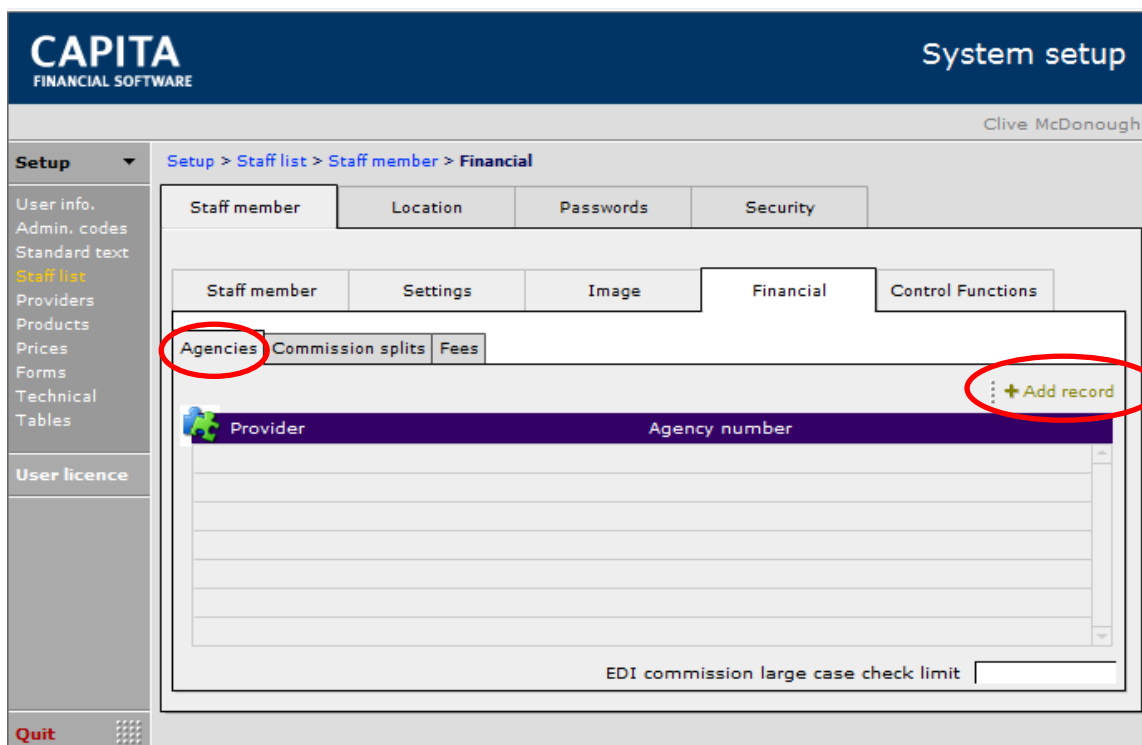
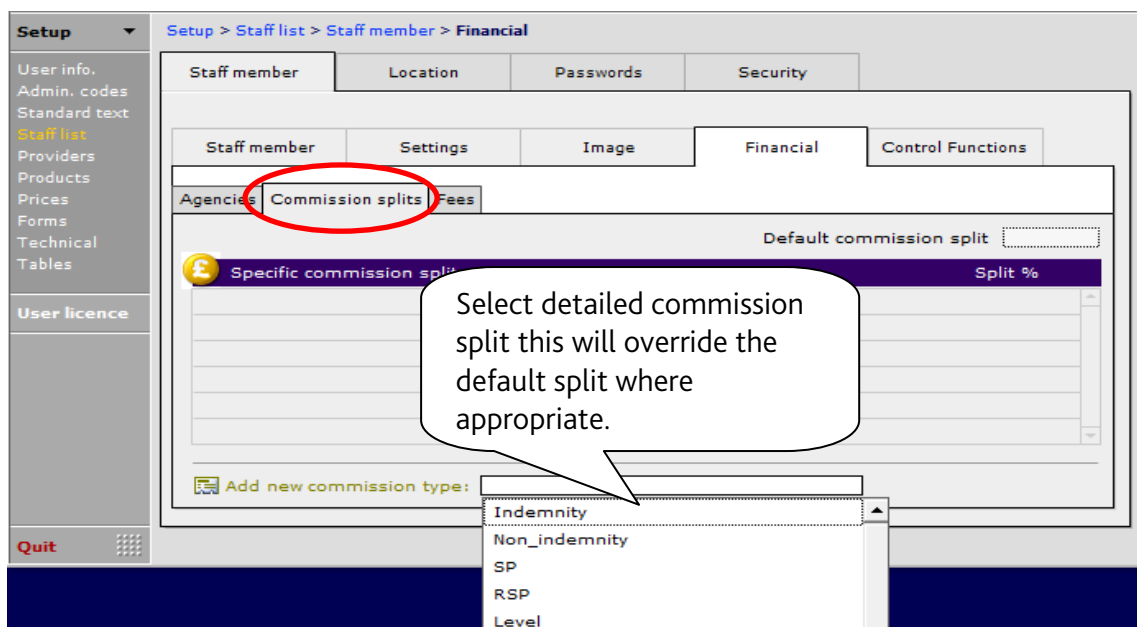
Select from the options here if the staff member falls into one of these roles. An adviser must be marked as an 'Adviser' in order to appear in all adviser drop downs.

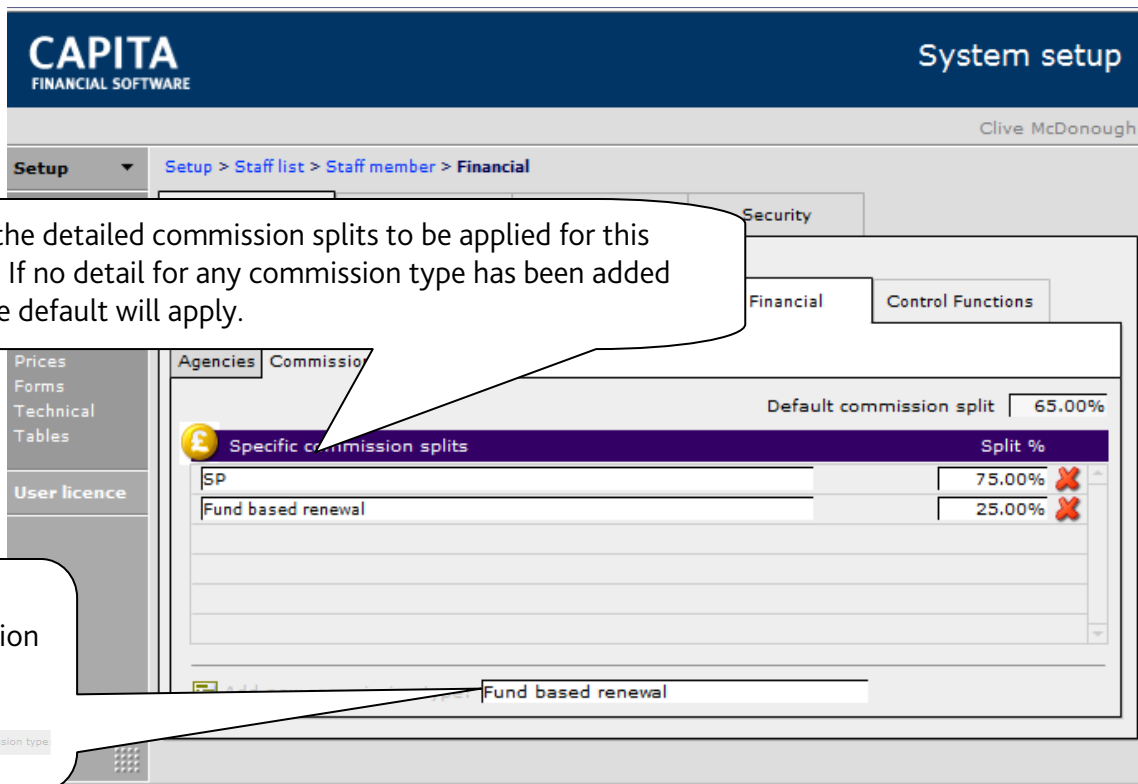


The Image tab allows for a photo of the staff member to be added.



In the financial tab you can enter the agency numbers allocated to the adviser along with detailed commission splits and adviser fees charged. The commission split entry is covered in full on the Commission and Fees course, further details of this course are available on www.capitafinancialsoftware.co.uk or from the training department on 01279 756086.



CAPITA
FINANCIAL SOFTWARE

System setup

Clive McDonough

Setup > Staff list > Staff member > Financial

Shows the detailed commission splits to be applied for this advisor. If no detail for any commission type has been added then the default will apply.

Select commission type and click:

| Specific commission splits | Split % |
|----------------------------|---------|
| SP | 75.00% |
| Fund based renewal | 25.00% |

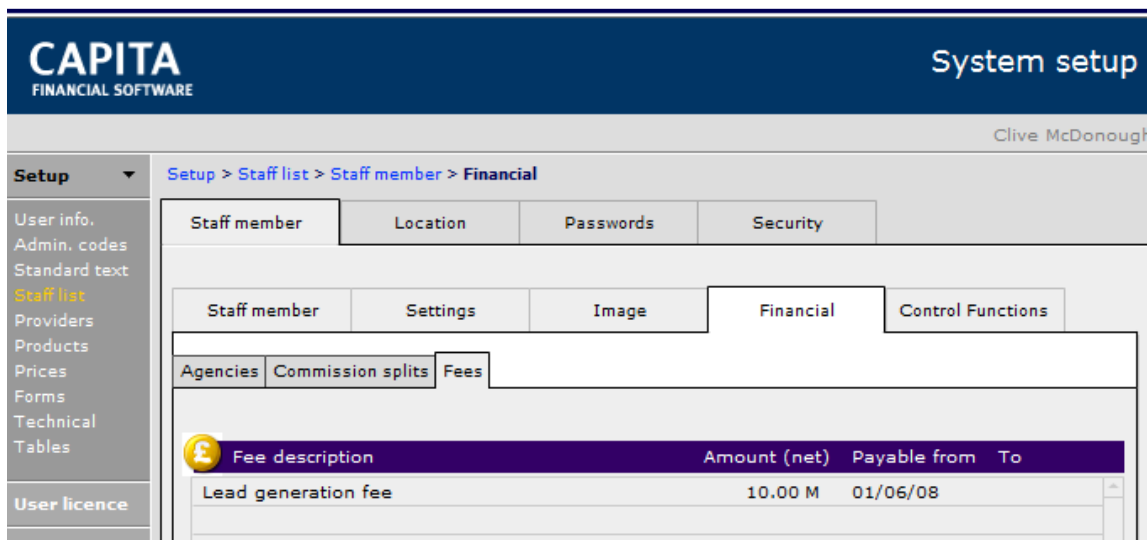
Default commission split: 65.00%

Agencies Commission splits

Fund based renewal

Add new commission type

The fees section under the financial tab is where a record of fees charged to the adviser and offset against commissions paid is kept. Fees are set up in the compliance module and could cover network charges, phone charges, IT charges etc. Setting up these fees is only available if you have the 'Compliance' licence.



CAPITA
FINANCIAL SOFTWARE

System setup

Clive McDonough

Setup > Staff list > Staff member > Financial

Staff member Location Passwords Security

Staff member Settings Image Financial Control Functions

Agencies Commission splits Fees

| Fee description | Amount (net) | Payable from | To |
|---------------------|--------------|--------------|----|
| Lead generation fee | 10.00 M | 01/06/08 | |

The last tab within the 'Staff member' section is 'Control functions'.

Staff member | Location | Passwords | Security

Staff member | Settings | Image | Financial | **Control Functions**

Adviser status | Examination | Date passed

Current adviser status: CF22

Enter the date that exam passes were gained.

| Examination | Date passed |
|-------------|-------------|
| DeMap | |
| CF 1 | |
| CF 1 (AR) | |
| CF 2 | |
| CF 3 | |
| CF 4 | |
| CF 4 (AR) | |
| CF 5 | |
| CF 6 | |
| CF 8 | |
| CF 10 | |
| Other | |

Select the adviser's status from the drop down.

3.5.1. Location

If the company has more than one location then advisers need to be attached to a location. Each adviser can only be attached to one location.

Staff member | Location | Passwords | Security

Personal | Remote adviser

Business e-mail address: clive.mcdonough@evaluation.co.uk

Mobile telephone: 07777 555555

This person is an Adviser ☒

Location: Head Office [More](#)

Region:

Office address: Thorley Wash Business Centre

Thorley Wash

Bishops Stortford

Hertfordshire

Postcode: CM23 4AT

Branch Tel: 01279 750606 Fax: 0870 224 7273

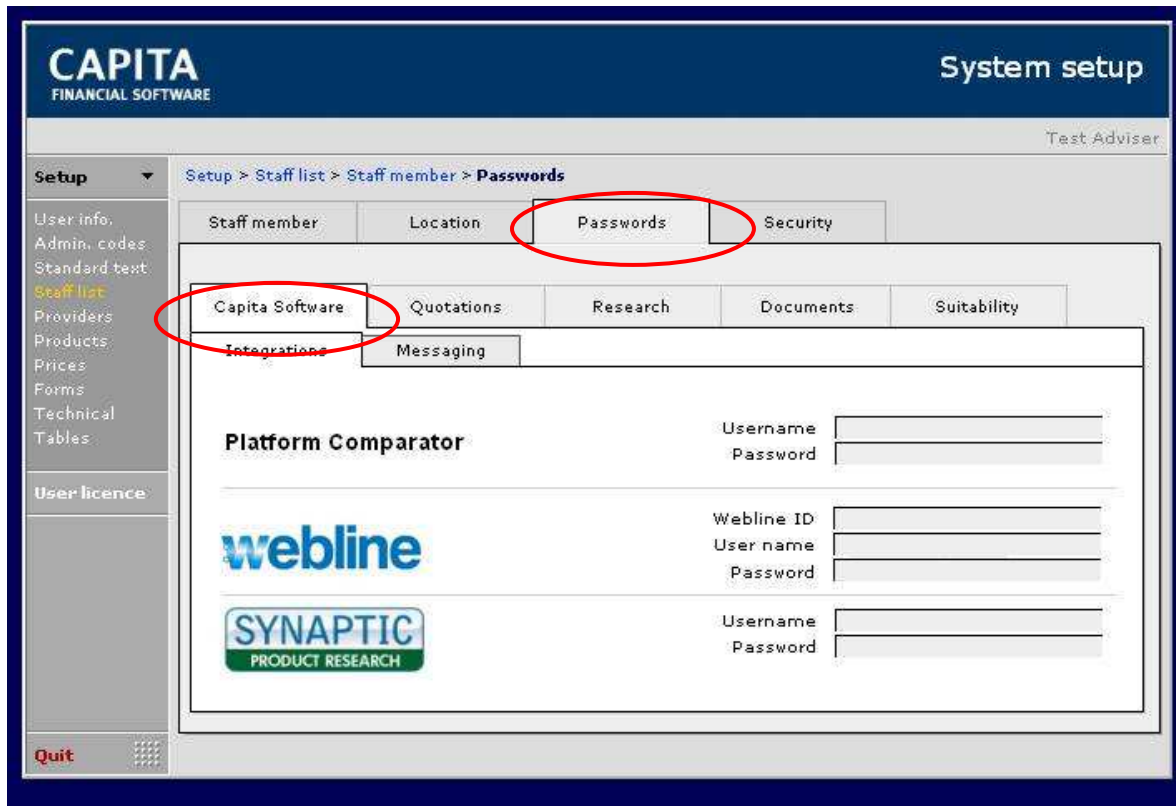
Correspondence address: Firm

Including commission statements ☒

Select the adviser correspondence address as either firm or home.

Ensure that the adviser's e-mail address is entered so that CCD can automatically populate the e-mail address in Outlook or Outlook Express when sending e-mails

Set up user specific passwords as required. This will enable auto opening of the integrated applications



CAPITA
FINANCIAL SOFTWARE

System setup

Test Adviser

Setup > Staff list > Staff member > Passwords

Staff member Location Passwords Security

Capita Software Quotations Research Documents Suitability

Integrations Messaging

Platform Comparator

Username
Password

webline

Webline ID
User name
Password

SYNAPTIC
PRODUCT RESEARCH

Username
Password

Quit

CAPITA
FINANCIAL SOFTWARE

System setup


Test Adviser


Setup > Staff list > Staff member > Passwords > **Quotations**

Staff member Location **Passwords** Security

Capita Software **Quotations** Research Documents Suitability

The Exchange





User name

Password

User name

Password

Openwork username

Quit

CAPITA
FINANCIAL SOFTWARE


System setup


Test Adviser


Setup > Staff list > Staff member > Passwords > **Product research**


Staff member Location **Passwords** Security

Capita Software Quotations **Research** Documents Suitability









Personal user ID

Password

Personal user ID

Password

Personal user ID

Password

Company name

Personal user ID

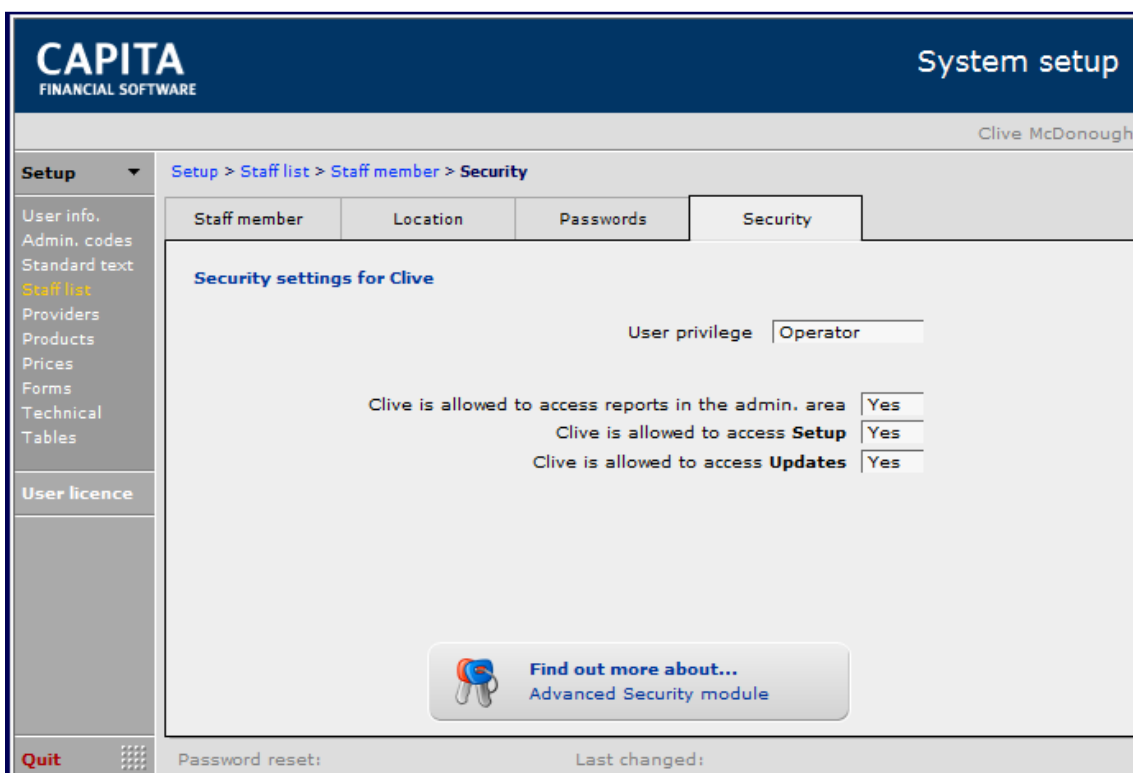
Quit

3.5.3. Security

The 'Security' tab will display different options depending on whether the Advanced Security Licence is active.

No Advanced Security Licence.

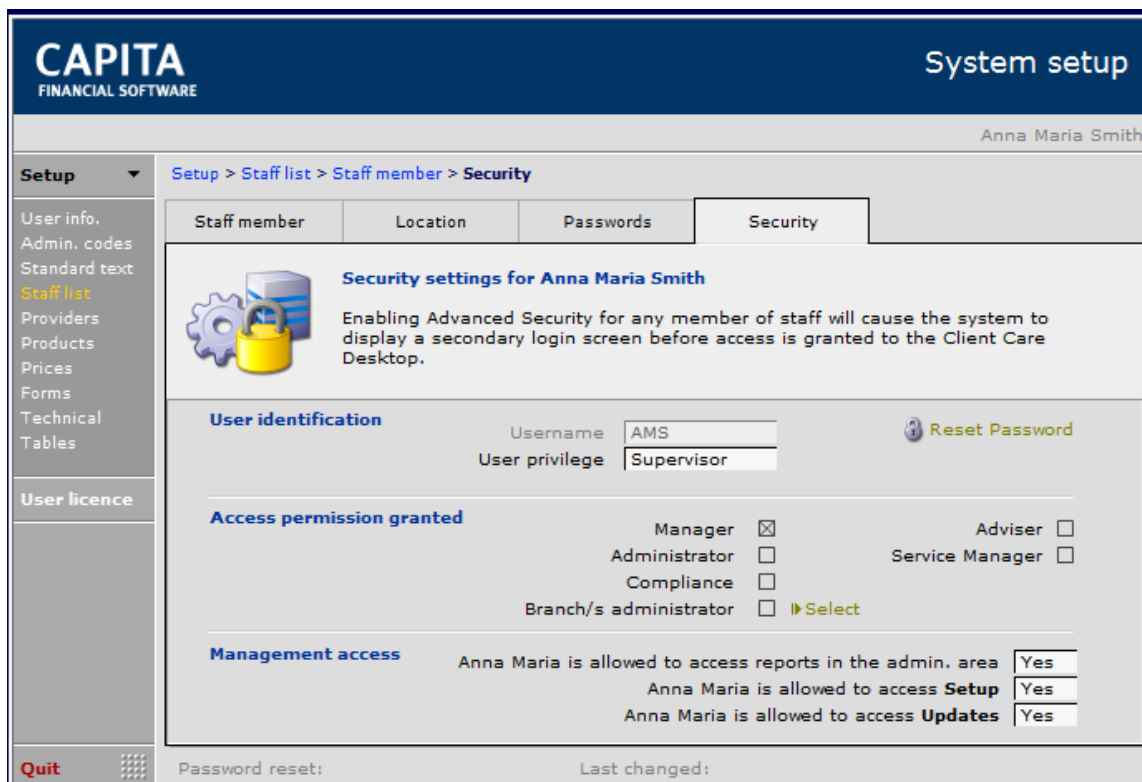
All the privileges available where 'Advanced Security' has not been set up on CCD will have been set up immediately after the set up wizard was completed.



The screenshot shows the 'System setup' window for CAPITA Financial Software. The user is logged in as Clive McDonough. The navigation pane on the left includes 'Setup' (expanded), 'User info.', 'Admin. codes', 'Standard text', 'Staff list' (highlighted), 'Providers', 'Products', 'Prices', 'Forms', 'Technical', and 'Tables'. The 'User licence' section is also visible. The main content area shows the 'Security' tab for the 'Staff member' Clive McDonough. The 'Security settings for Clive' section includes a 'User privilege' dropdown set to 'Operator'. Below this, three permissions are listed, all set to 'Yes': 'Clive is allowed to access reports in the admin. area', 'Clive is allowed to access Setup', and 'Clive is allowed to access Updates'. At the bottom of the main area is a button that says 'Find out more about... Advanced Security module'. The footer of the window shows 'Quit', 'Password reset:', and 'Last changed:'.

3.5.4. Advanced Security Licence is Active

When the 'Advanced Security' Licence has been activated the 'Security' tab will have additional fields available for selection. It is vital that at least one (we recommend two) members of staff are set up with a 'User Privilege' of Supervisor. They will be responsible to looking after the 'Security' tab.



The screenshot shows the 'System setup' window for 'CAPITA FINANCIAL SOFTWARE'. The user 'Anna Maria Smith' is logged in. The navigation pane on the left includes 'Setup', 'User info.', 'Admin. codes', 'Standard text', 'Staff list' (highlighted), 'Providers', 'Products', 'Prices', 'Forms', 'Technical', and 'Tables'. The main content area is titled 'Security settings for Anna Maria Smith' and includes a warning about advanced security. Below this, the 'User identification' section shows 'Username' as 'AMS' and 'User privilege' as 'Supervisor'. The 'Access permission granted' section has checkboxes for 'Manager' (checked), 'Administrator', 'Compliance', 'Branch/s administrator', 'Adviser', and 'Service Manager'. The 'Management access' section shows 'Anna Maria is allowed to access reports in the admin. area', 'Anna Maria is allowed to access Setup', and 'Anna Maria is allowed to access Updates', all with 'Yes' selected. A 'Quit' button is at the bottom left, and 'Password reset:' and 'Last changed:' labels are at the bottom center.

The access rights are as follows.

Manager

Managers have the highest level of access.

Managers have unrestricted access to the system, including the ability to modify security settings for other users.

Compliance

Compliance has the same level of access as Manager, but without the ability to modify security settings for other users.

Administrators

Administrators have the same level of access as Managers but without the ability to modify security settings for other users, or access to the compliance module.

Branch Administrator

If your Company is large enough to have numerous locations (branches) and these have been set up correctly, each member of staff will be attached to a stated location (branch). Advisers will have been attached to a branch in their staff record; administrators have to be attached to a branch here. An administrator can be attached to more than 1 branch but can only view 1 branch at a time.

Limited view will now be available and restricted to clients, fact finds and Admin, solely for the location (branch) that the person logged on belongs to. Set up and compliance are unavailable under this profile.

Advisers

Advisers have the most restricted levels of access.

They have a limited view to their own clients, fact find and Admin.

They cannot view clients where they are not recorded as having the access rights to do so, nor can they access the Setup or compliance module.

On a client record the primary adviser and anyone with the correct authority can grant access rights to other advisers. This has to be done on each client record where access is to be allowed.

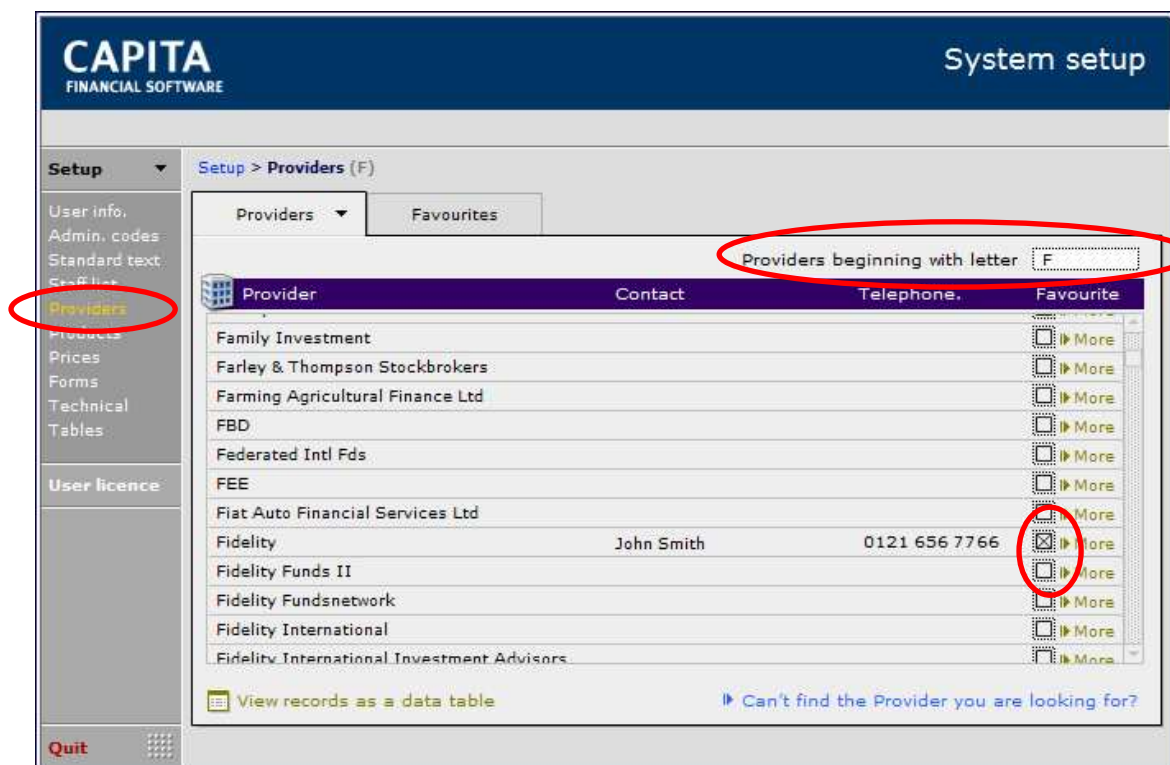
Service Manager

Service Managers have a limited view to their own clients, fact find and Admin.

They cannot view clients where they are not named as the Service Manager, nor can they access the Setup or compliance module.

3.6. Providers

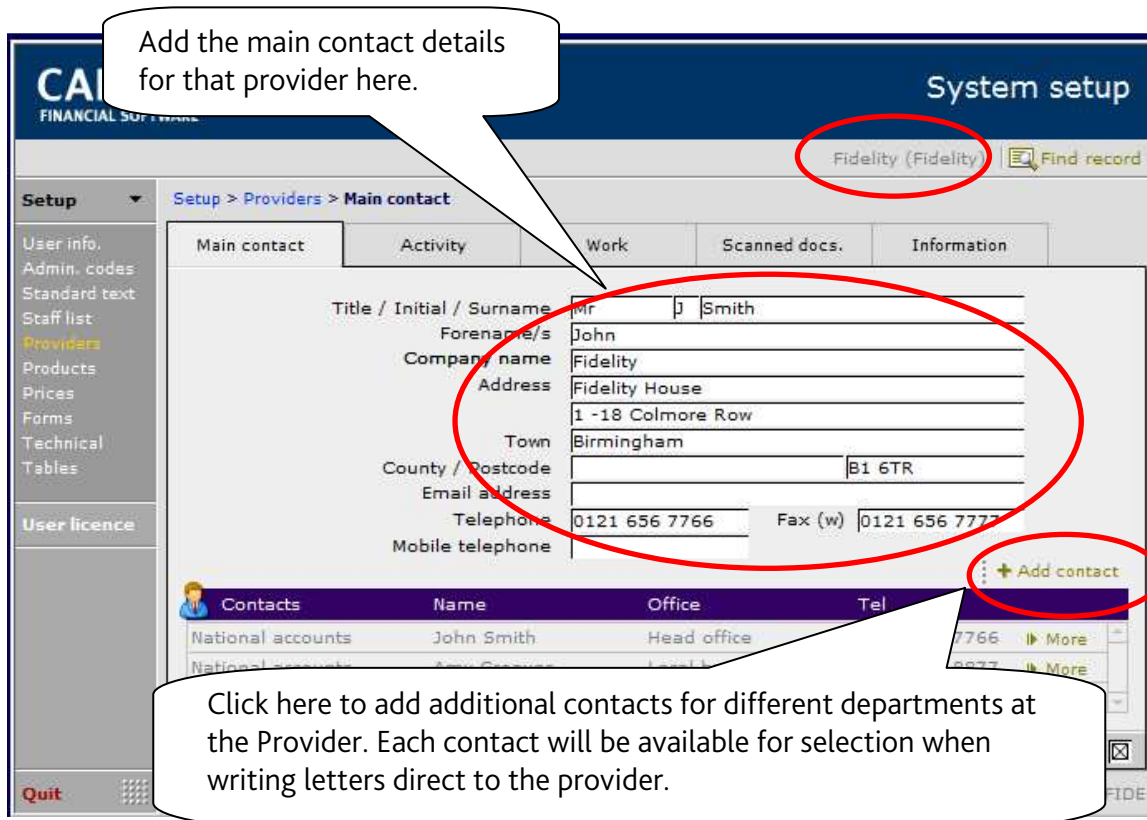
Your CCD system comes with the latest copy of the Providers data base.



Only the main company name is added to the central data base, contact details are left blank so that each company can add their own preferred contacts. Adding contact details to your providers here will enable letters to auto populate with provider contact details as required.

A provider can be added to a list of most commonly used (favourite) providers, any “favourites” list is company-wide and not per user.

To add a provider to the favourites list, select the favourite check box on the right hand side of the screen (as indicated for Fidelity, above).



Add the main contact details for that provider here.

System setup

Fidelity (Fidelity) Find record

Setup > Providers > Main contact

Main contact Activity Work Scanned docs. Information

Title / Initial / Surname Mr J Smith

Forename/s John

Company name Fidelity

Address Fidelity House

1 -18 Colmore Row

Town Birmingham

County / Postcode B1 6TR

Email address

Telephone 0121 656 7766 Fax (w) 0121 656 7777

Mobile telephone

+ Add contact

Contacts Name Office Tel

National accounts John Smith Head office 7766 More

National accounts John Smith Head office 7777 More

Click here to add additional contacts for different departments at the Provider. Each contact will be available for selection when writing letters direct to the provider.

Setup > Providers > Main contact > Other Contacts

| Contact | Work | Scanned docs. |
|---|------|---------------|
| <p>Title / Initial / Surname <input type="text"/></p> <p>Salutation <input type="text"/></p> <p>Company name <input type="text" value="Fidelity"/></p> <p>Post code <input type="text"/></p> <p>Telephone number <input type="text"/></p> <p>Mobile number <input type="text"/></p> <p>Email Address <input type="text"/></p> <p>Fax <input type="text"/></p> <p>Contact for Office name <input type="text" value="Administration"/></p> <p>Select which department the contact works in.</p> <ul style="list-style-type: none"> Administration Agencies All Commissions Compliance Marketing | | |

CAPITA FINANCIAL SOFTWARE

System setup

Fidelity

Setup > Providers > Main contact > Information

| Main contact | Activity | Work | Scanned docs. | Information |
|---|----------|------|---------------|-------------|
| <p>Extranet / agency</p> <p>Services</p> <p>Compliance</p> <p>Commission</p> <p>Notes</p> <p>Extranet login</p> <p>Extranet URL <input type="text" value="www.fidelity.co.uk"/> Go</p> <p>Extranet login <input type="text"/></p> <p>Extranet password <input type="text"/></p> <p>Agency numbers</p> <p>Agency number (Indemnity) <input type="text"/></p> <p>Agency number (Non-indemnity) <input type="text"/></p> <p>Your own / your network's code <input type="text"/> More</p> <p>Add the provider's extranet details here to allow you to link directly through from the client's file to the provider's website.</p> | | | | |

CAPITA
FINANCIAL SOFTWARE

System setup

Fidelity

Setup > Providers > Main contact > Information > Services provided

Setup ▾

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

Main contact Activity Work Scanned docs. Information

Extranet / agency **Services** Compliance Commission Notes

Groups to which the Provider belongs

Fund supermarket
Commissions administrator
Annuity provider
Commercial insurer
Commissions administrator
Fund manager
Fund supermarket
General insurer
Lender
Life protection and savings
Mortgage packager
Pensions provider
Stock broker

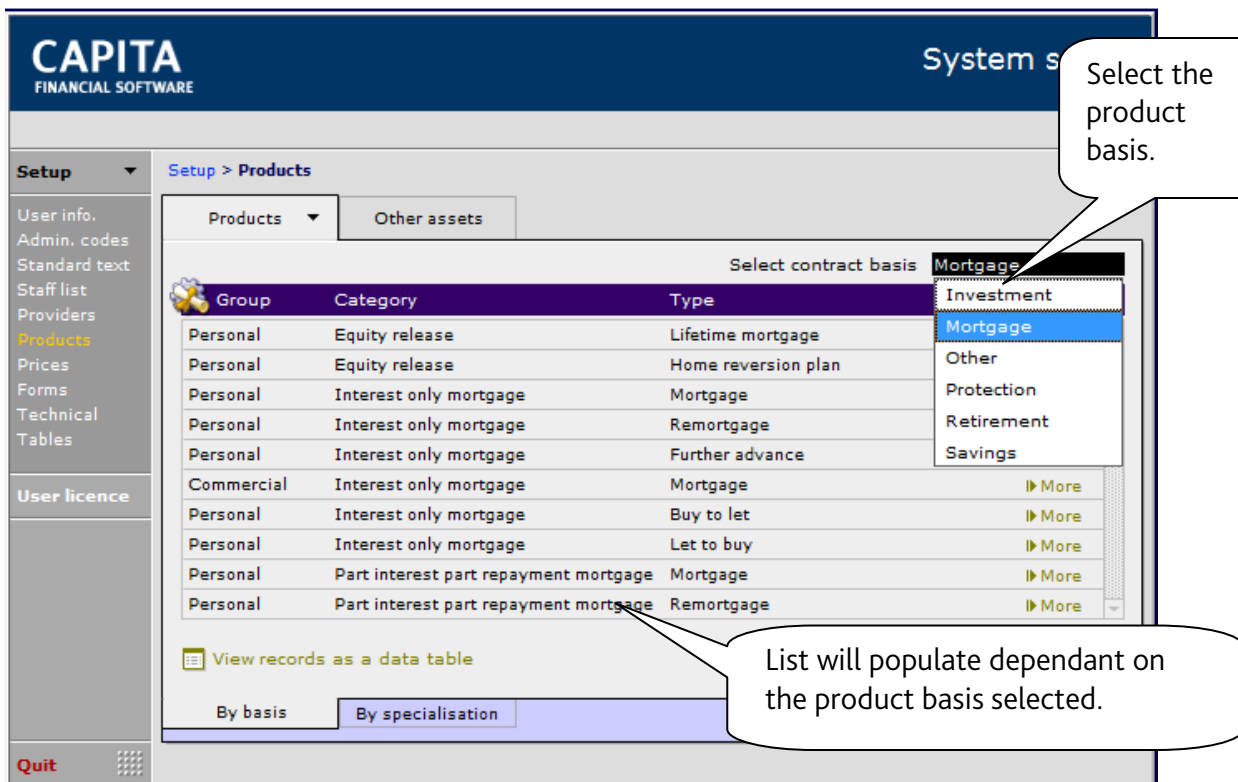
Electronic services

Supports electronic
Supports electronic comm

Quit

If a provider also acts in another capacity, add from the drop down list.

3.7. Products



CAPITA
FINANCIAL SOFTWARE

System s

Setup > Products

Products Other assets

Select contract basis

| Group | Category | Type |
|------------|---------------------------------------|---------------------|
| Personal | Equity release | Lifetime mortgage |
| Personal | Equity release | Home reversion plan |
| Personal | Interest only mortgage | Mortgage |
| Personal | Interest only mortgage | Remortgage |
| Personal | Interest only mortgage | Further advance |
| Commercial | Interest only mortgage | Mortgage |
| Personal | Interest only mortgage | Buy to let |
| Personal | Interest only mortgage | Let to buy |
| Personal | Part interest part repayment mortgage | Mortgage |
| Personal | Part interest part repayment mortgage | Remortgage |

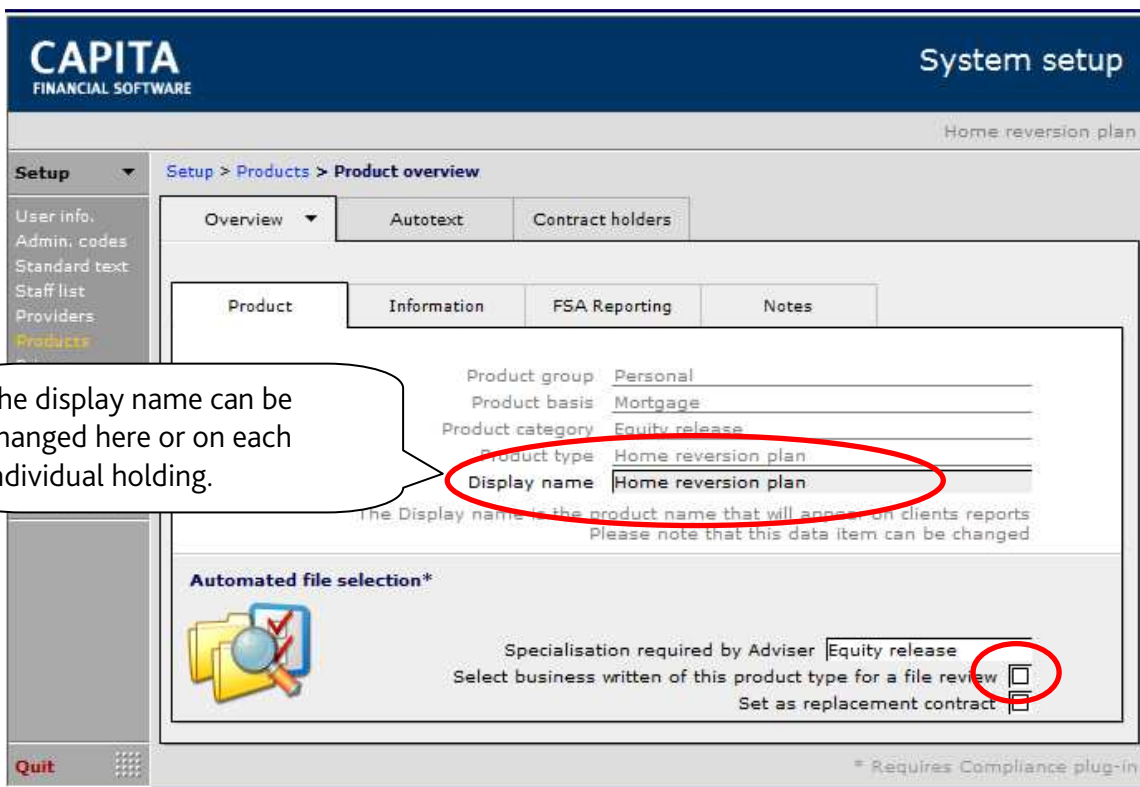
View records as a data table

By basis By specialisation

Quit

Select the product basis.

List will populate dependant on the product basis selected.



CAPITA
FINANCIAL SOFTWARE

System setup

Home reversion plan

Setup > Products > Product overview

Overview Autotext Contract holders

Product Information FSA Reporting Notes

Product group Personal

Product basis Mortgage

Product category Equity release

Product type Home reversion plan

Display name Home reversion plan

The Display name is the product name that will appear on clients reports. Please note that this data item can be changed.

Automated file selection*

Specialisation required by Adviser Equity release

Select business written of this product type for a file review

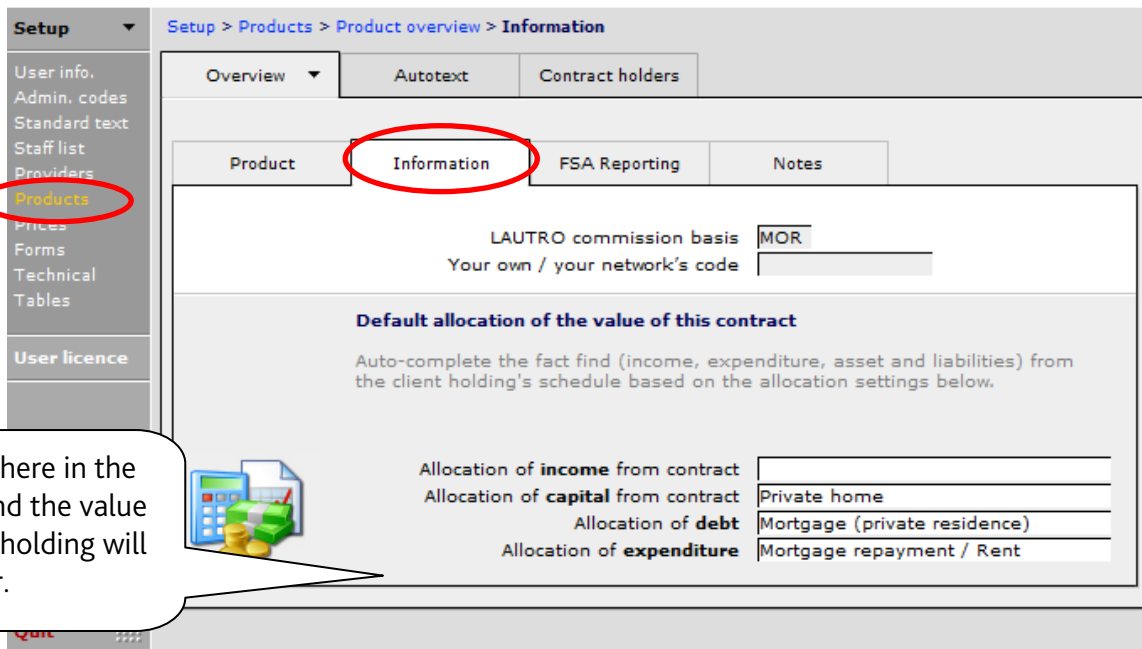
Set as replacement contract

Quit

The display name can be changed here or on each individual holding.

The Display name is the product name that will appear on clients reports. Please note that this data item can be changed.

If the 'Compliance' licence is activated, product types can be selected for file reviews. This will set all holdings written for this type of product for a file review in the 'Compliance' module.



Setup > Products > Product overview > Information

Overview Autotext Contract holders

Product Information FSA Reporting Notes

LAUTRO commission basis MOR

Your own / your network's code

Default allocation of the value of this contract

Auto-complete the fact find (income, expenditure, asset and liabilities) from the client holding's schedule based on the allocation settings below.

Allocation of **income** from contract

Allocation of **capital** from contract Private home

Allocation of **debt** Mortgage (private residence)

Allocation of **expenditure** Mortgage repayment / Rent

Sets where in the fact find the value of the holding will appear.



Setup > Products > Product overview > Notes

Overview Autotext Contract holders

Product Information FSA Reporting Notes

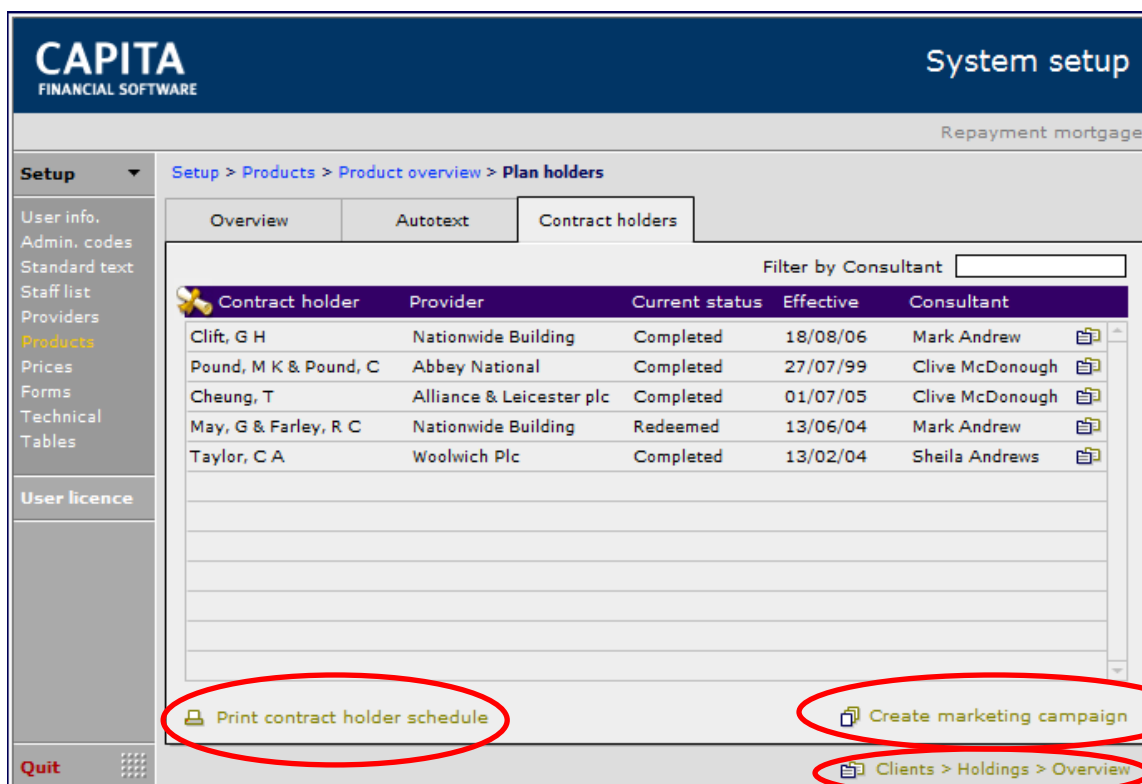
Regulated activity to which this contract belongs Regulated Mortgage Contract

Regulated / non regulated Regulated

FSA

PMERZZHRPZ

This information will auto populate each commission entry for RMAR reporting in the 'Compliance' module.



CAPITA
FINANCIAL SOFTWARE

System setup

Repayment mortgage

Setup > Products > Product overview > Plan holders

Overview Autotext Contract holders

Filter by Consultant

| Contract holder | Provider | Current status | Effective | Consultant |
|-----------------------|--------------------------|----------------|-----------|-----------------|
| Clift, G H | Nationwide Building | Completed | 18/08/06 | Mark Andrew |
| Pound, M K & Pound, C | Abbey National | Completed | 27/07/99 | Clive McDonough |
| Cheung, T | Alliance & Leicester plc | Completed | 01/07/05 | Clive McDonough |
| May, G & Farley, R C | Nationwide Building | Redeemed | 13/06/04 | Mark Andrew |
| Taylor, C A | Woolwich Plc | Completed | 13/02/04 | Sheila Andrews |

Print contract holder schedule

Create marketing campaign

Clients > Holdings > Overview

The list of contract holders will auto complete as holdings are entered. There is the option to filter by consultant or display the full list, print the list or create a marketing campaign for all the clients with this type of contract or to switch to the full record for any individual contract listed.

3.8. Prices

The Prices data table is fed from Financial Express. You need to update your Data base regularly. This will update the bid prices in the data table, add any new funds that have been added to the Financial Express data feed and cross reference to your clients holding. It will then update the bid price and therefore the value of funds that have been attached to holdings from the data table. It is now possible to schedule a Financial Express update, as well as running one for selected funds only. How to run the Financial Express update is covered in full in the Getting Started Manual.

3.9. Forms


The forms library will allow you to add any forms that are regularly used to the system for selection against an individual clients file. These may include Terms of business etc. start and end dates can be entered so that forms cannot be selected after they have expired.

CAPITA
FINANCIAL SOFTWARE


System setup

The forms shown below are those that remain active (have not expired)

Setup ▾ Setup > Form library

 **Add form**

| Description | Form category | Expires |
|----------------------------------|---------------|----------|
| New Business Checklist | Recruitment | 13/02/08 |
| Cost of Services Brochure (Menu) | Compliance | |
| New Broker Form | Compliance | |
| Terms of Business Letter (TOBL) | Compliance | |
| Customer Disclosure Form | Compliance | 28/03/08 |
| List of LOA Requirements | Client assets | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |


Quit 




Setup ▾ Setup > Forms library > CIDD


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

User licence

Form Index
 Description: CIDD
 Category: Compliance
 Host product: Microsoft Word
 Date created: 23/09/09
 Date expires: 23/03/10

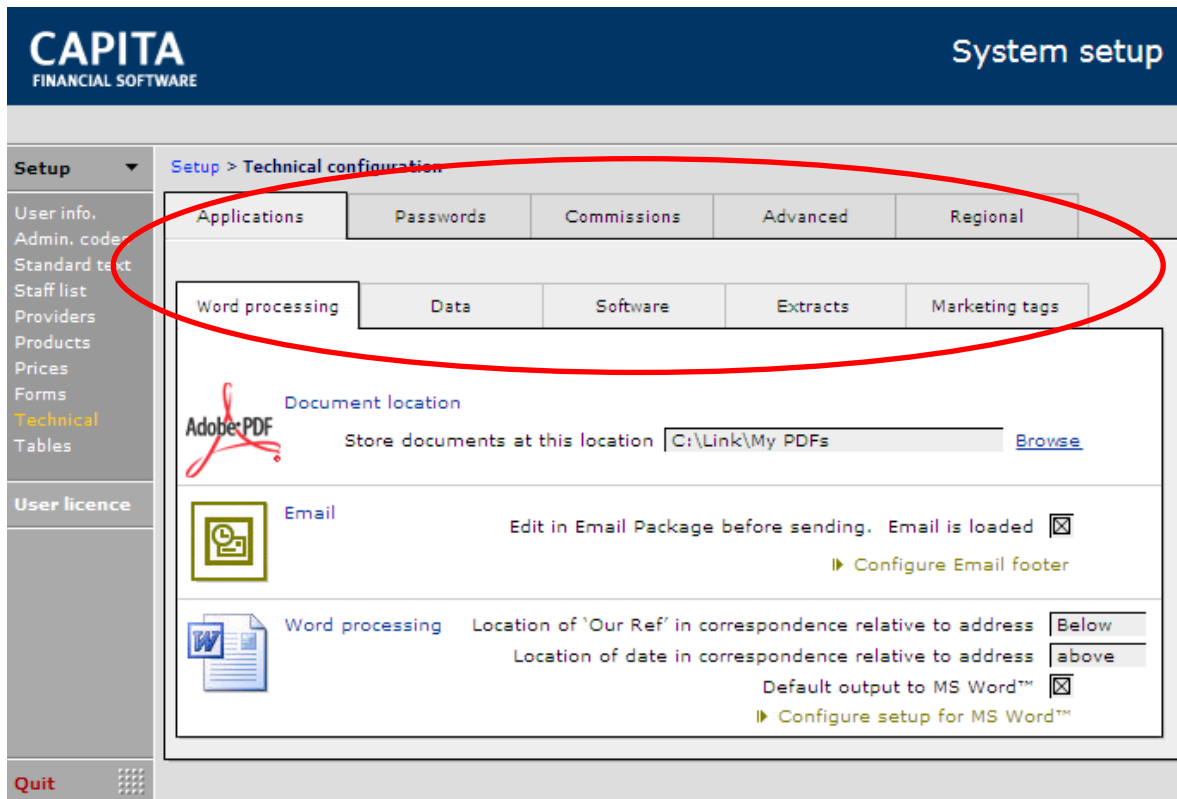

Note: If you receive an error trying to open a file, right click on the file and select "Open/Activate document".
Save the file to your PC and reinsert via the "Add" button above.

Quit 

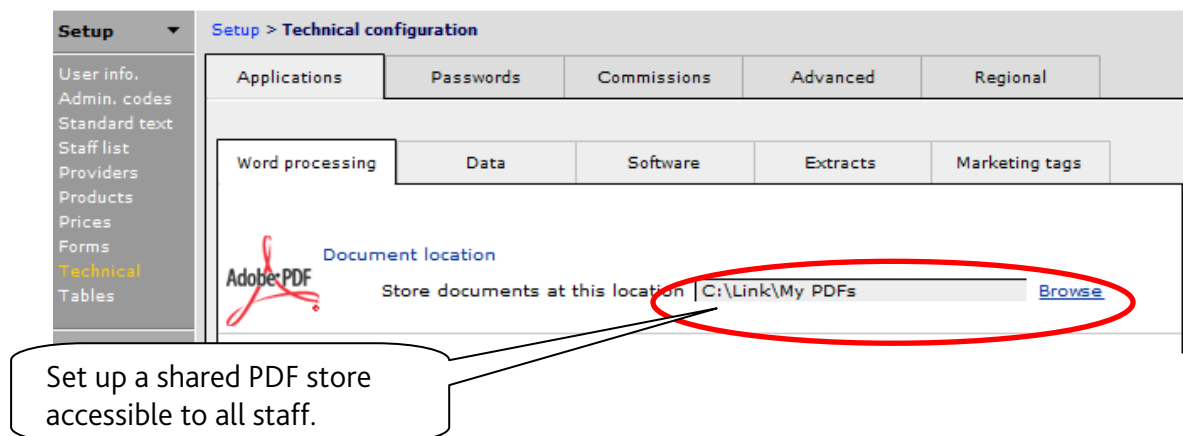
3.10. Technical

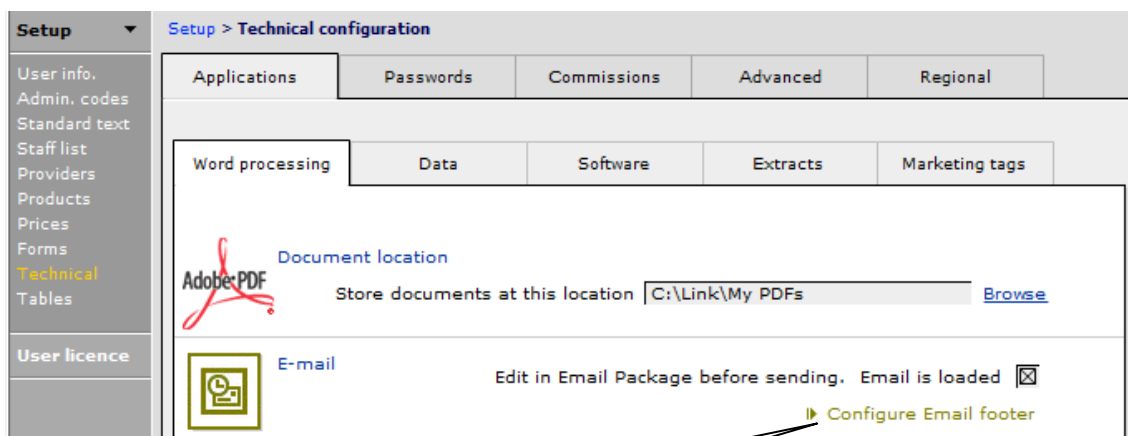
In the Technical tab company defaults are set.



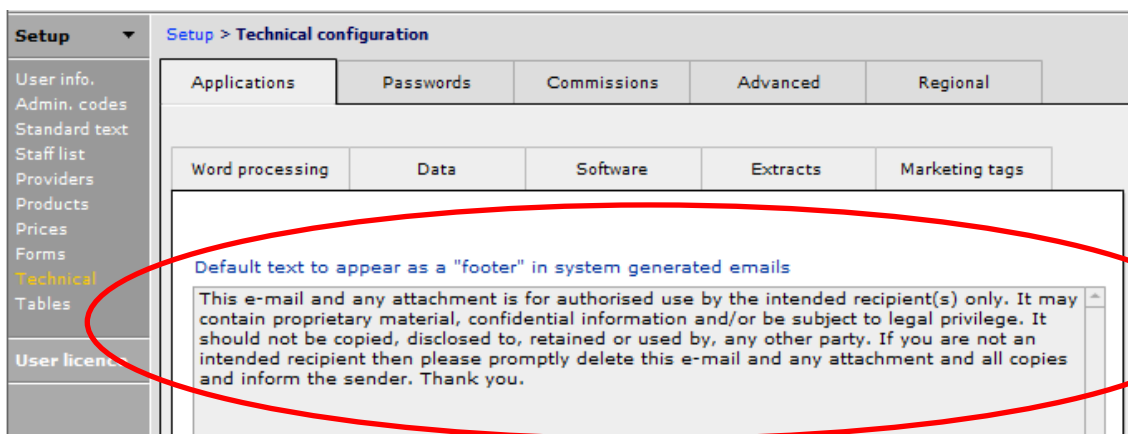
Under the word processing tab you can set default stores for both PDF's and MS Word documents produced from within CCD, along with the default footer for any e-mail message generated from within CCD.

The location for storing documents needs to be a shared location. It is accessible both in read and write modes for all staff who will be using CCD. If you are a sole user of CCD, then this location can be your C drive.





Click here to set default e-mail footer.




Type the company default footer for e-mails.


In the word Processing section there are several settings to complete. The first is the location of the date relative to the address. This can either be set above or below the address. The default output to MS Word tick box should be ticked at all time so that correspondence created within CCD outputs to MS word. To set the default store and template for MS word documents click the [Configure setup for MS Word™](#) link.


Setup > Technical configuration

Applications Passwords Commissions Advanced Regional

Word processing Data Software Extracts Marketing tags

Document location
 Store documents at this location [Browse](#)

Email
 Edit in Email Package before sending. Email is loaded ☒
[Configure Email footer](#)

Word processing
 Location of 'Our Ref' in correspondence relative to address
 Location of date in correspondence relative to address
 Default output to MS Word™ ☒
[Configure setup for MS Word™](#)

Select above or below for the date and 'Our Ref'.


Click here to set the MS Word defaults.


Word Exporter Configuration v3.1.0

CAPITA
FINANCIAL SOFTWARE

Template File should point to the Document Template (.DOT) that you want to use when documents from within the system. For more information on document templates see our documentation for Microsoft Word.

Document Store is the folder where completed documents will be stored. If you use the system in a multi-user environment then you can set this folder to be on a networked drive so all users can access saved documents.

Template file 

Document Store 

OK Cancel

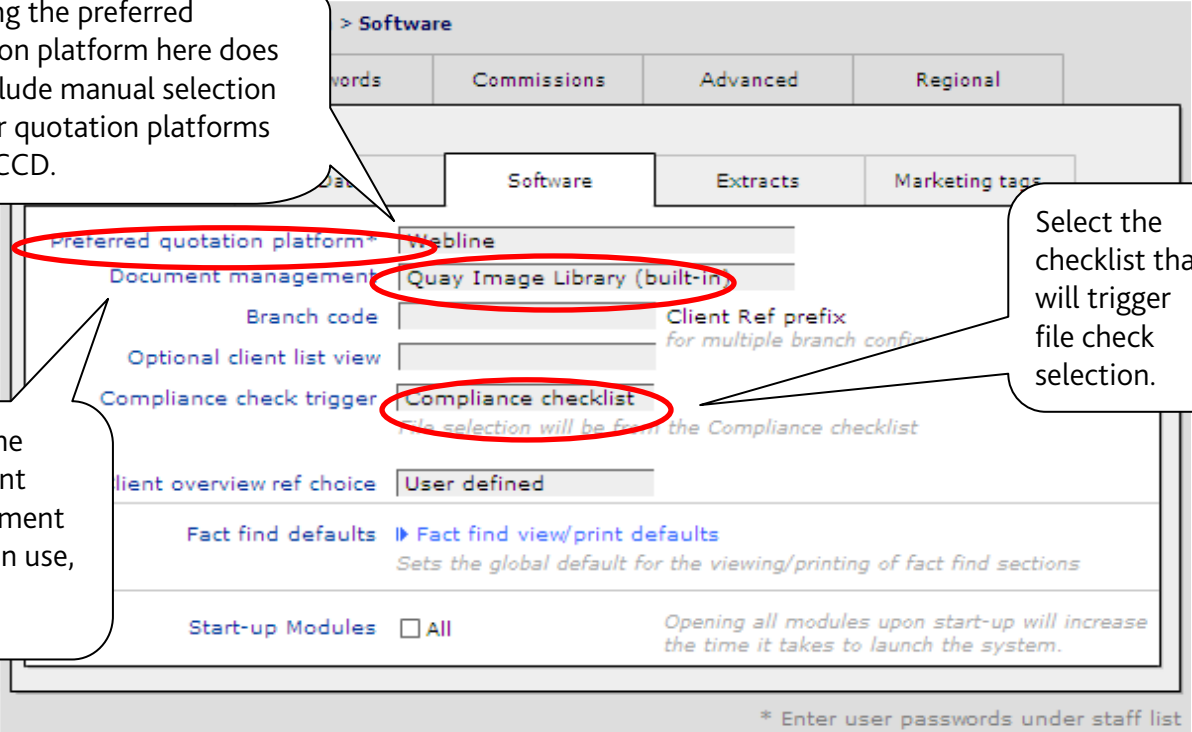
Add the location of the template that will be applied to each MS Word document produced.

Add the location of the shared MS word document store.

How to set up templates to take into account any letter headings, different fonts etc is covered in the Advanced CCD and Administration Course, further details of this course are available on our website www.capitafinancialsoftware.co.uk or from the training co-ordinator on 01279 756086.

There is no set-up required under the data tab as the options here are for advanced data management and is covered in the Getting Started Manual.

Under the software tab you can select the preferred provider for some of the integrations available from within CCD, along with which checklist you require to make new business files available for file check selection in the compliance module.



Selecting the preferred quotation platform here does not exclude manual selection of other quotation platforms within CCD.

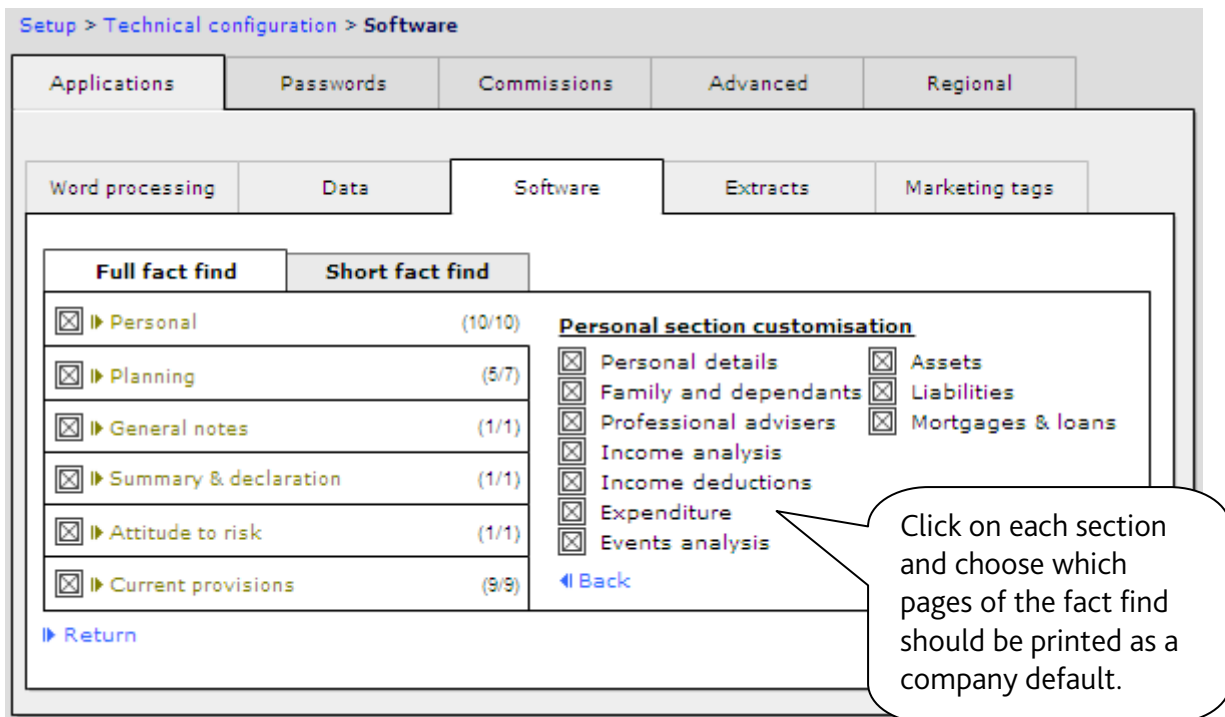
Select the document management system in use, if any.

Select the checklist that will trigger file check selection.

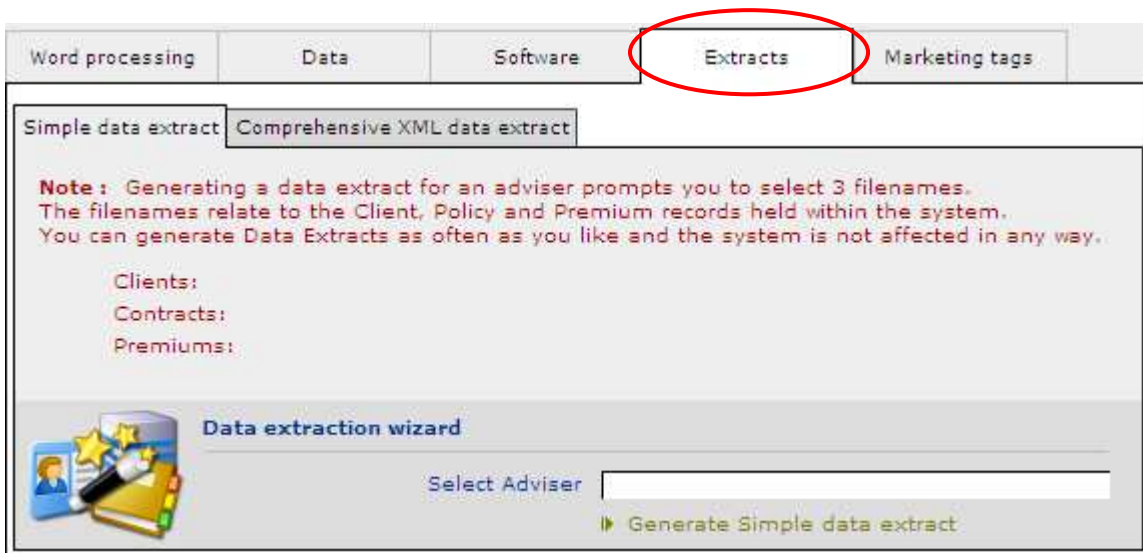
* Enter user passwords under staff list

Fact Find

'Fact find defaults allow each company to select which pages of the fact find should be printed, viewed and printed to PDF. Setting it here will set a company standard, which can be changed on a client by client basis.



Extracts



The Extracts tab requires no set up. This tab allows client information for a particular adviser to be extracted from the system with various different formats i.e. CSV, XML.

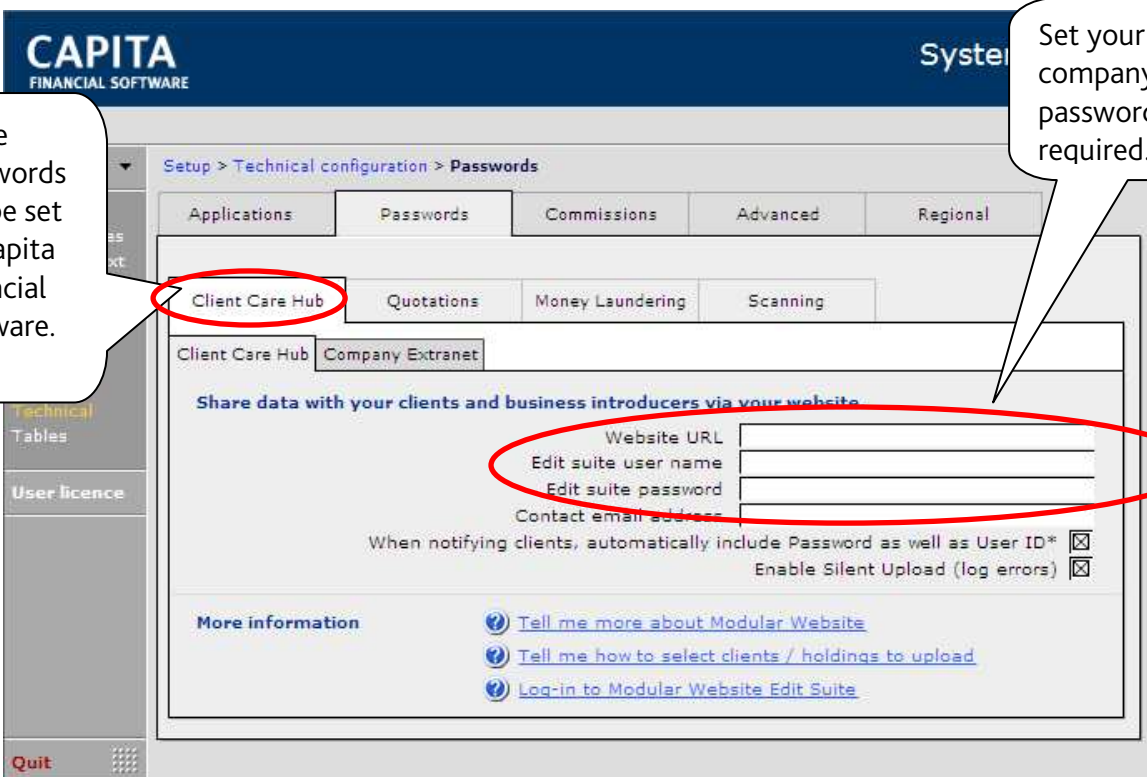
Marketing Tags.

This tab allows some company specific marketing tags to be added to the system. These can then be attached to individual clients as required. This section is covered in full on the

Advanced CCD and Administration course, further information about this course can be found on our web site www.capitafinancialsoftware.co.uk or from the training co-ordinator on 01279 756086.

Passwords

Here passwords are set up for applications and integrations that require companywide passwords rather than user specific passwords. Passwords for the Online Client Service Centre (Client Care Hub) and company Extranet will be set up by our installation team if they are relevant, all other passwords need to be entered as required.

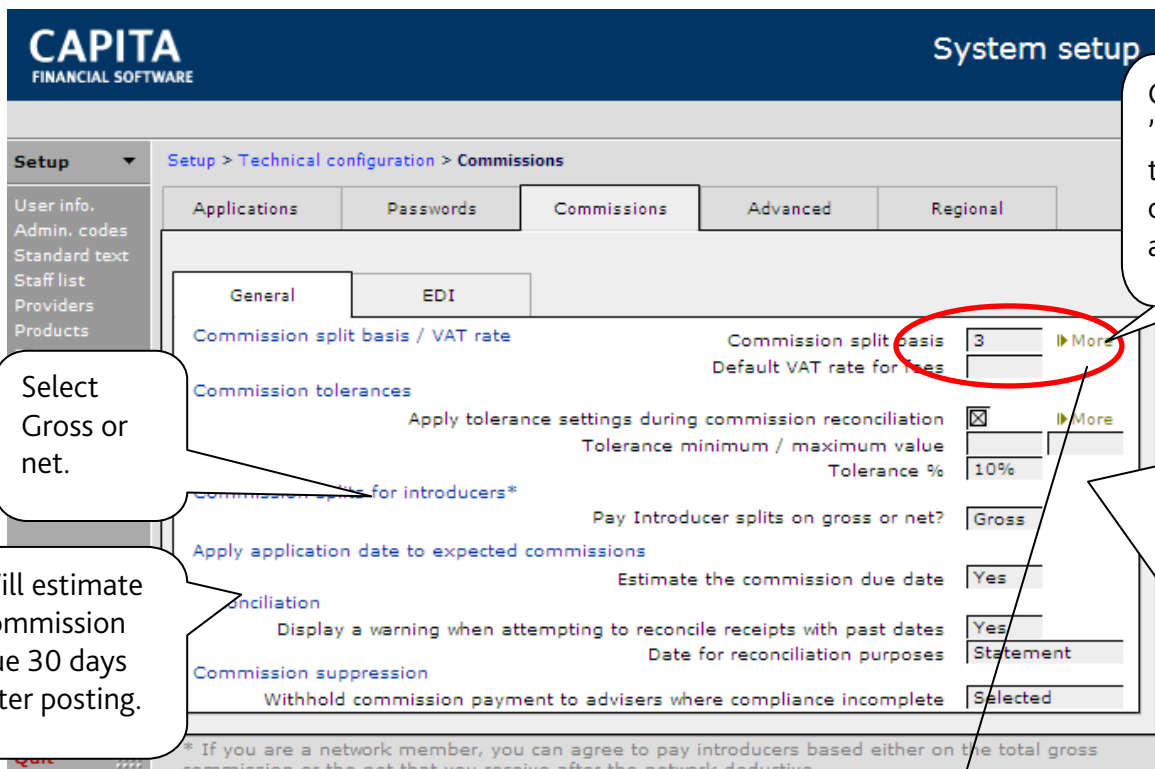


These passwords will be set by Capita Financial Software.

Set your company wide passwords as required.

Commissions

Settings for how the reconciliation of commission payments will be handled need to be selected. Setting the commission defaults is covered in full on the Commission & Fee's training course. Further details are available at www.capitafinancialsoftware.co.uk or from the training co-ordinator on 01279 756086.



System setup

Setup > Technical configuration > Commissions

Applications Passwords Commissions Advanced Regional

General EDI

Commission split basis / VAT rate Commission split basis **3** **More**

Commission tolerances

Apply tolerance settings during commission reconciliation ☒ **More**

Tolerance minimum / maximum value

Tolerance % 10%

Commission splits for introducers*

Pay Introducer splits on gross or net? Gross

Apply application date to expected commissions

Estimate the commission due date Yes

Reconciliation

Display a warning when attempting to reconcile receipts with past dates Yes

Commission suppression

Date for reconciliation purposes Statement

Withhold commission payment to advisers where compliance incomplete Selected

* If you are a network member, you can agree to pay introducers based either on the total gross commission or the net that you receive after the network deductive

Click 'More' to view the options available

Select Gross or net.

Will estimate commission due 30 days after posting.

Set the tolerances, anything outside of these will prompt a warning message when reconciling commission.

Setup > Technical configuration > Commissions > Commission split options

Back

Basis 1

Consultants 2, 3, 4 and 5 will receive a share of consultant 1 commission calculation

i.e. consultant 1 normal split = 60% this should be shared 30% going to consult 2
gross commission = £1000

Consultant 1 split = £1000 x 60% x 70% = £420
Consultant 2 split = £000 x 60% x 30% = £180

Total payaway = £600 (60% - consultant 1 normal split)

Basis 2

Consultants 2, 3, 4, and 5 will receive a share of 100% multiplied by their normal split

i.e. consultant 1 normal split = 60% and split with consultants = 40%
consultant 2 normal split = 60% and split with consultants = 30%
consultant 3 normal split = 50% and split with consultants = 30%
gross commission = £1000

Commission split basis selected **3**

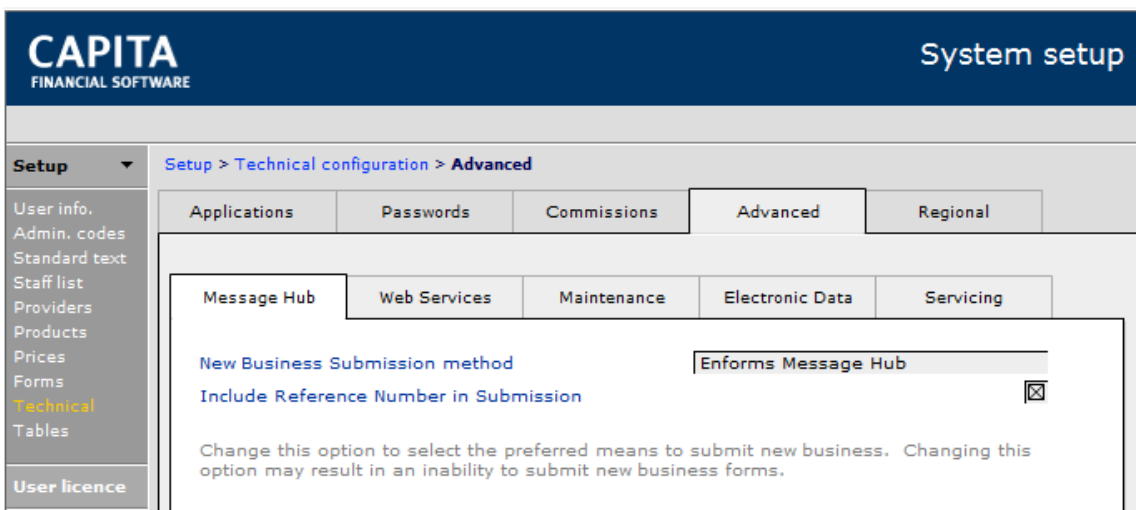


EDI settings are set as part of the EDI training that is given when that licence has been applied to your system. Before a firm considers EDI, it is preferable that a period of manual commission reconciliation has taken place.

Details of the providers that offer EDI commission reconciliation can be found on our web site www.capitafinancialsoftware.co.uk.

Advanced

The 'Advanced' tab contains some of the technical setup of your system. It is recommended that no changes are made here unless our technical support team ask you to.



Regional

CCD can now be used in the ROI as well as the UK, this section sets up the region that you operate in. CCD is set to the UK by default and only needs to be changed by users operating in the ROI.



If you need to change this to the ROI, you will need to log out and log back in again for the changes to take effect.

Your new CCD system is now ready for you to start using. It is recommended that all new users to CCD attend the Getting Started course. Further information about this training can be found on our website www.capitafinancialsoftware.co.uk or by calling the training co-ordinator on 01279 756086.