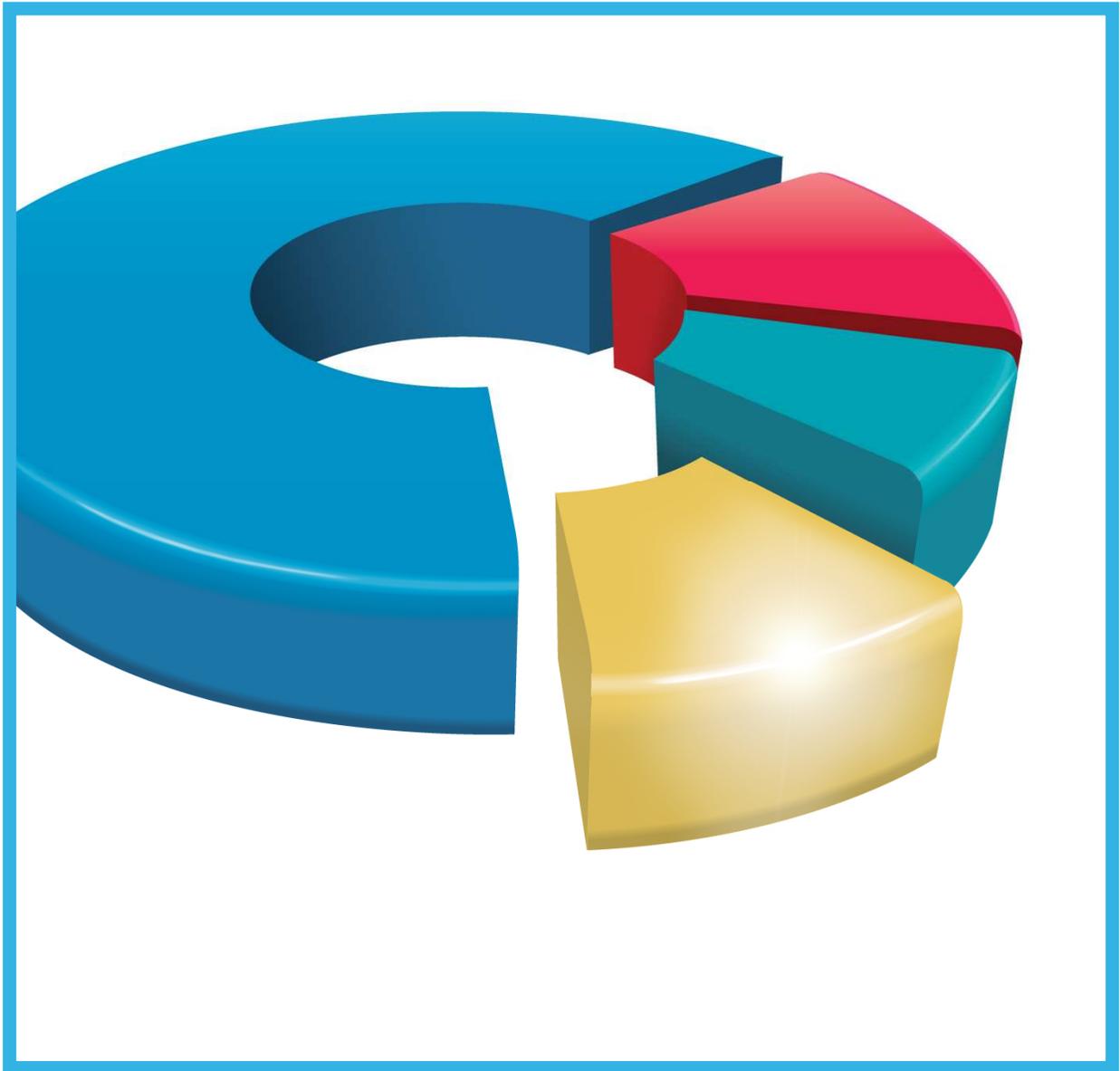


# Client Care Desktop v4.0



## EDI Manual

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### Appendix 1: The EDI Reconciliation process

N.B. Please note that this guide assumes that you have already been using Client Care Desktop and have been trained on the EDI area accordingly.

It is essential that you are familiar with the standard manual commission reconciliation within CCD, before progressing onto the more advanced functionality of EDI.

This guide is not intended to replace structured Training.

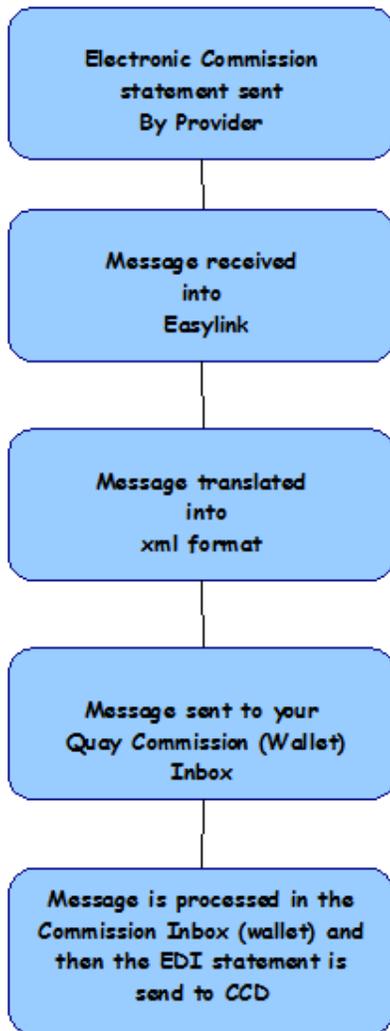
## 1. INTRODUCTION: WHAT IS EDIT AND HOW DOES IT WORK?

Electronic Commission reconciliation offers considerable time savings, especially for larger firms and particularly for those with large volumes of trail or fund based renewal commission.

Incorporated within Client Care Desktop is the ability to process and reconcile electronic commission statements via Electronic Data Interchange (EDI) with certain providers who can supply these to CCD.

The Quay Messenger, which has been designed and built by Quay Software, will support the receipt and delivery of EDI commission statements from providers.

### The EDI Message Process



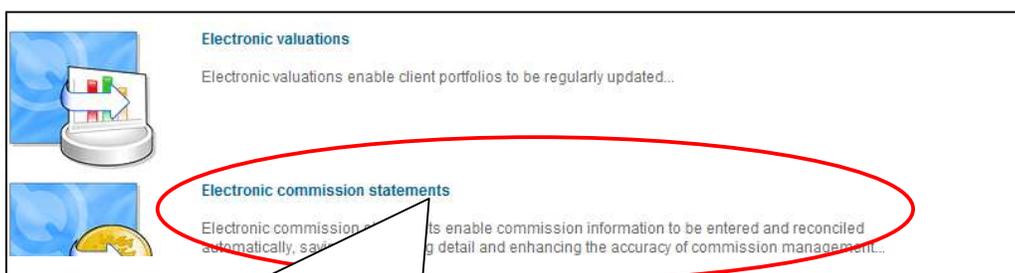
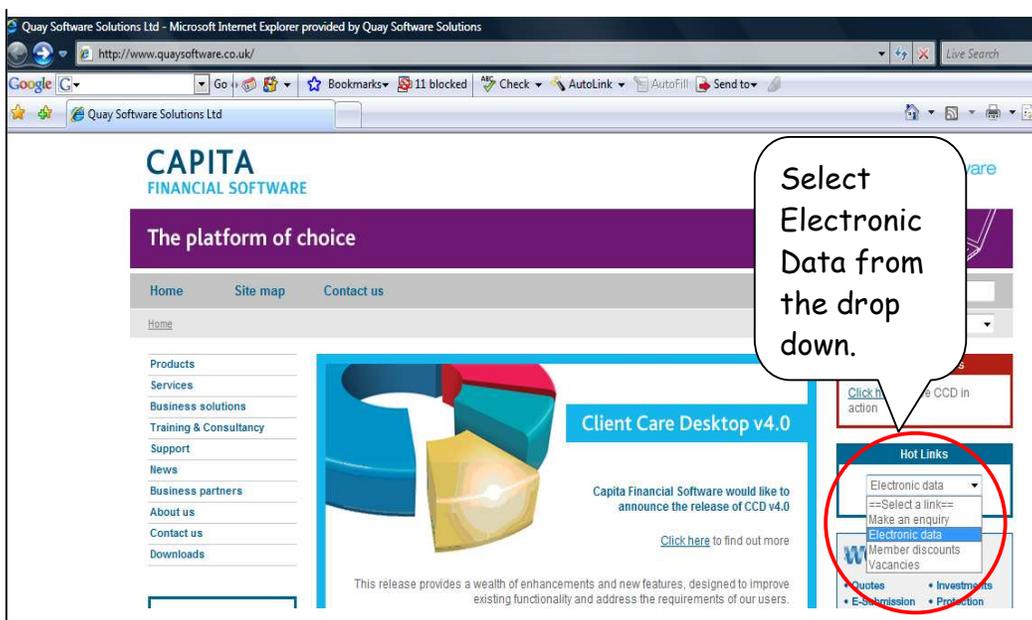
## 2. EDI SET UP

There are 4 stages to the initial EDI set up it is essential that each stage is completed for EDI to work successfully.

### 2.1. Registering with Providers

Registration with the providers will be done on your behalf by the technical support team at Quay as the providers will need to know the electronic address to send your messages to.

A full list of the providers offering EDI commission reconciliation can be found on our website [www.quaysoftware.co.uk](http://www.quaysoftware.co.uk).



Select Electronic commission statement for the list of providers currently offering EDI.

## 2.2. Setting up Your Quay Messenger

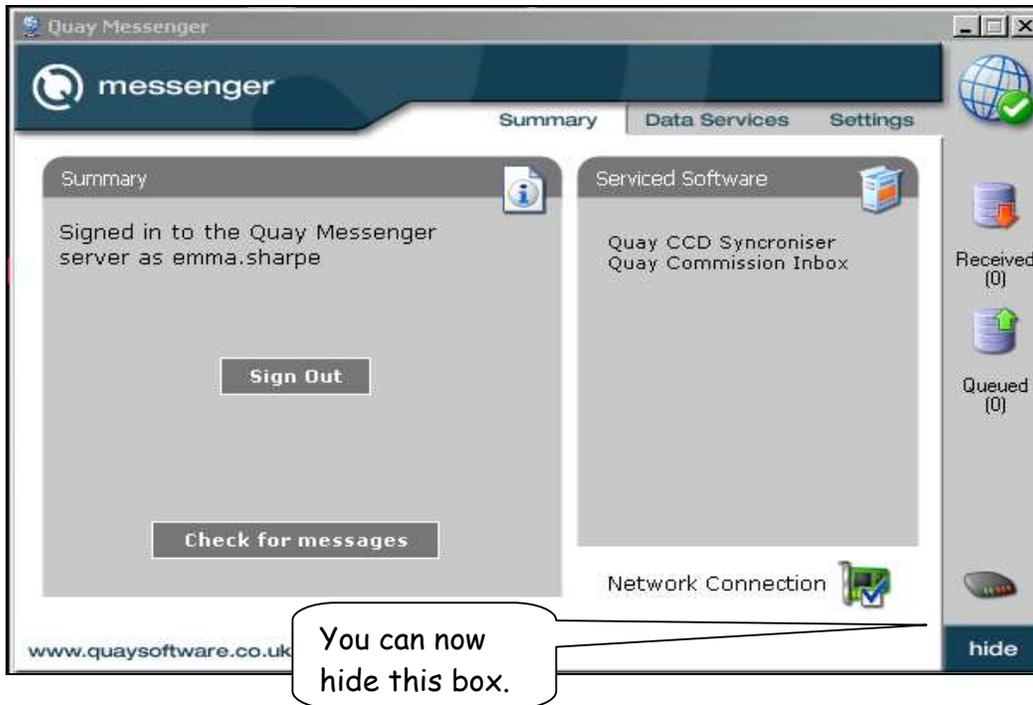
Quay messenger is the utility in CCD that receives and converts electronic messages. Only one machine in a practice will be set up to receive the EDI messages and this one person will be the only one who can process the messages into CCD. Once the messages are in CCD they can be actioned by any user who has the relevant access levels.

To use EDI, individuals must be set up with the top level of user privileges available within CCD.

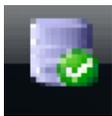
As part of the installation process Quay Messenger will be installed to automatically sign in at system start up.



Username and password will be populated and check box completed for auto sign in.



Once you are logged in to Quay Messenger, the following icons:



will appear at the bottom right hand of the screen.

The green tick confirms that Quay Messenger is signed in.

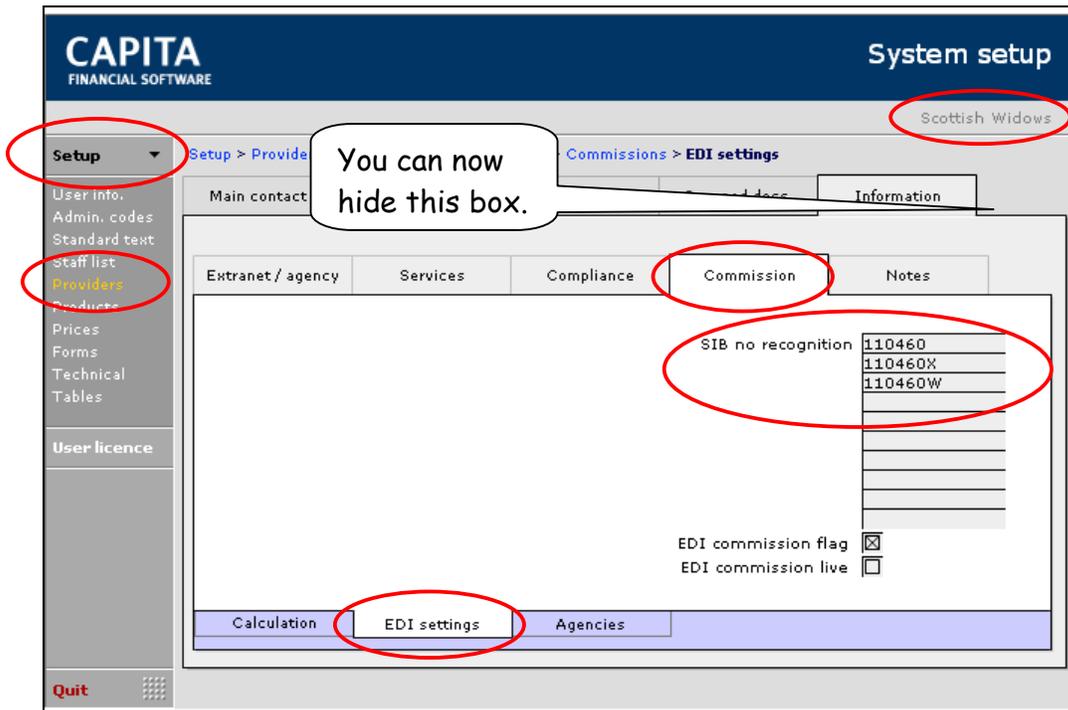
If Quay Messenger is not signed in then follow the steps below:

- 1) Click on the Start button in the bottom left hand of your screen
- 2) Click into My Computer
- 3) Double click on the drive where the CCD files are held.
- 4) Click the folder labelled Link
- 5) Click on Quay Messaging Folder
- 6) Click on Quay Messenger Folder
- 7) Right click on Quay Messenger.exe
- 8) Select Open
- 9) At this point you may need to insert your username and password again, (This should have been emailed to you)
- 10) Sign In.

### 2.3. Recording Provider's Settings

CCD identifies which provider has sent the EDI message by FSA number. These will have been input onto the provider's record from the central data base at Quay software.

Go to the provider's record found in the Setup module of CCD and click into the information tab and then enter the commissions tab.



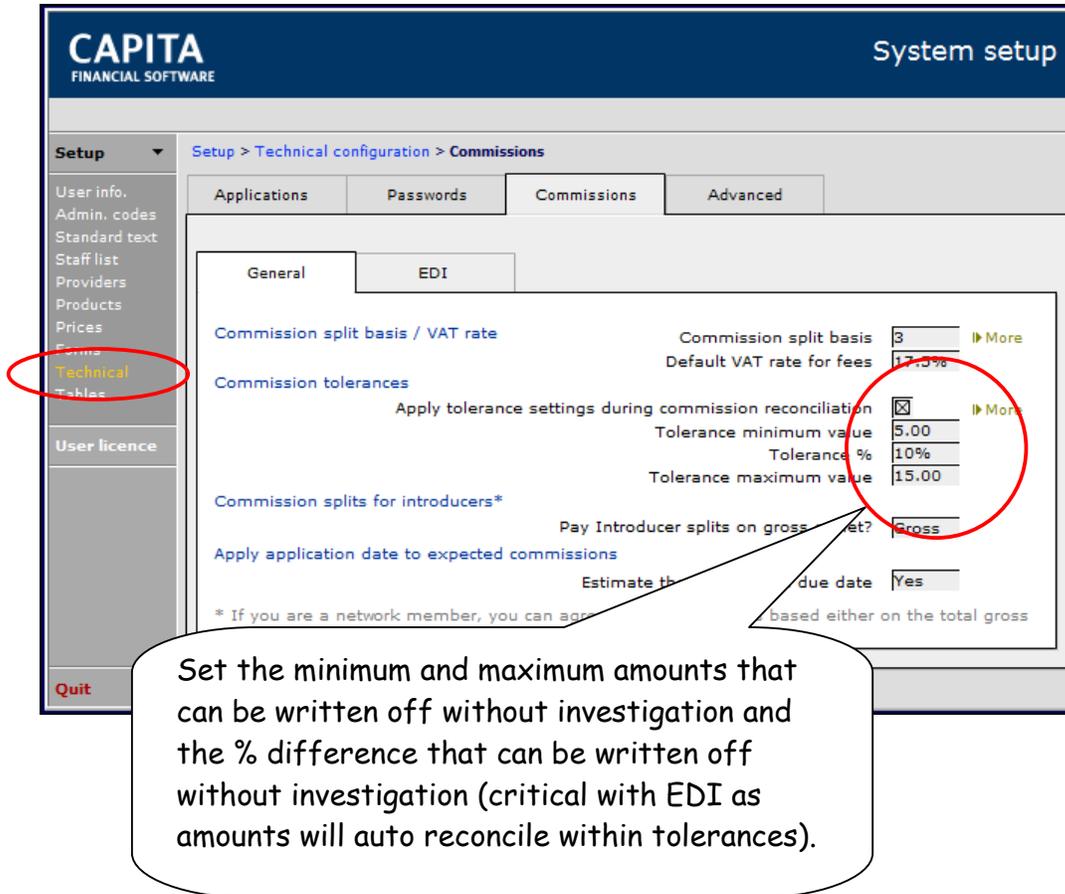
EDI commission flag   
 EDI commission live

The EDI Commission Flag means that the company offers EDI, EDI Commission Live indicates that your company is live with this provider and can receive EDI messages. At the installation stage Quay will complete these details.

## 2.4. System EDI Settings

In the Technical section of the Setup module in CCD details of how the system will handle EDI messages need to be input.

On the main Commission screen in the Technical section of the Setup module the tolerances need to be set. Any tolerances set here will apply to both EDI and manual commission reconciliation.



**Technical**

Setup > Technical configuration > Commissions

Applications Passwords Commissions Advanced

General EDI

Commission split basis / VAT rate

Commission split basis 3 [More](#)

Default VAT rate for fees 17.5%

Commission tolerances

Apply tolerance settings during commission reconciliation  [More](#)

Tolerance minimum value 5.00

Tolerance % 10%

Tolerance maximum value 15.00

Commission splits for introducers\*

Pay Introducer splits on gross net? Gross

Apply application date to expected commissions

Estimate the due date Yes

\* If you are a network member, you can agree to have the splits based either on the total gross

Quit

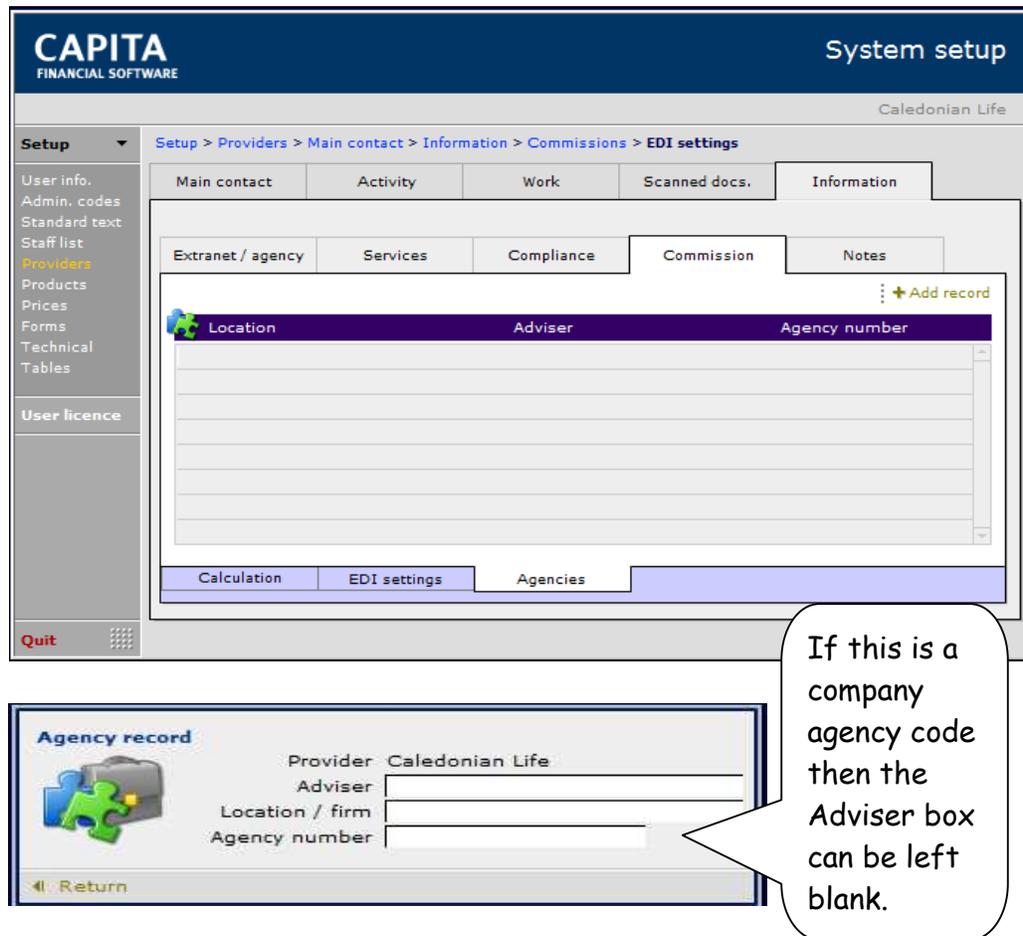
Set the minimum and maximum amounts that can be written off without investigation and the % difference that can be written off without investigation (critical with EDI as amounts will auto reconcile within tolerances).

Once the tolerances have been set, instructions on how EDI will handle each piece of commission need to be entered. These are the 'rules' which will dictate how each piece of commission should be dealt with when it is received on the message into CCD.

There are 5 methods of reconciliation to choose from:

**Manual** - This is most commonly used for clawbacks and will make no attempt to match or reconcile the item but will set it for manual reconciliation within Admin>Commission.

**Pay** - When a type of commission is set up to Pay, all that is checked when the receipt is received is whether an Agency code which matches the one on the receipt, is recorded on CCD. The disadvantage to this method is that there is no link back to the original policy and so payments will not be credited to the adviser, appear on the policy or client record and will not appear on their commission statements. Also these payments will be excluded from any detailed reporting within CCD including RMAR reports. Agency numbers can be recorded in two places of CCD. In Setup > Providers > Provider name > Information > Commissions > Agency



**Agency record**

Provider: Caledonian Life

Adviser:

Location / firm:

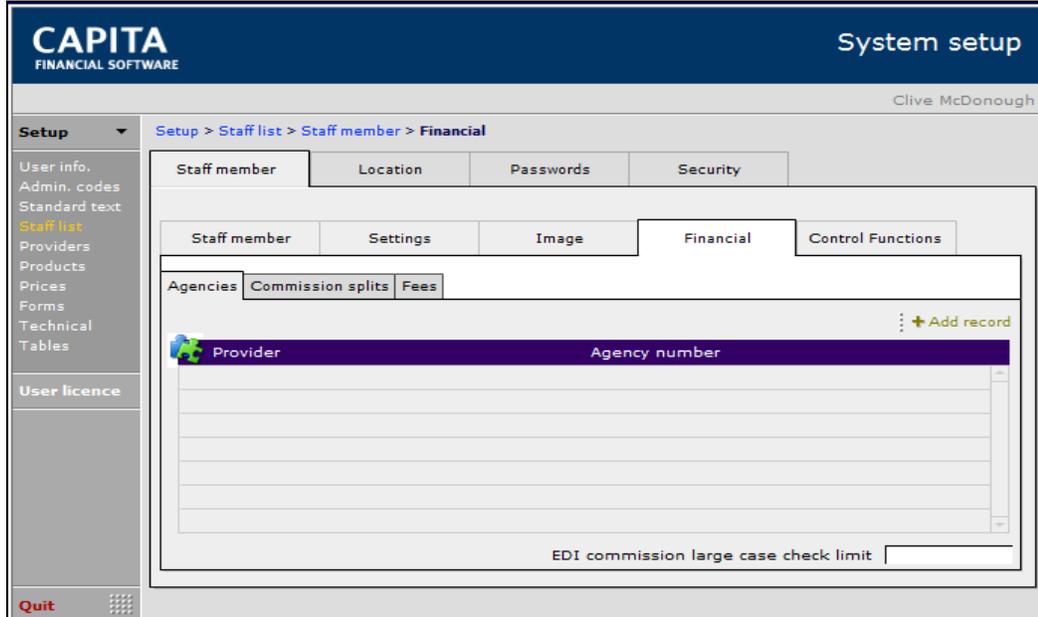
Agency number:

Return

If this is a company agency code then the Adviser box can be left blank.

The second location that agency codes can be added is in the individual adviser's staff record.

Setup > Staff List > Adviser name > Financial > Agencies



NB. Some client's have found it useful to contact Providers to consolidate their Agency numbers prior to commencing EDI.

**Match Additional** - EDI will look in the Additional tab of the manual commission area in CCD to see if a commission item has previously been added in this section. If there is a match EDI will reconcile against this. Again this will not be linked back into the client, policy or adviser record and amounts will not be included in any reporting function. If no match is found in the Additional tab of the manual commission reconciliation screens then an exception will be created.

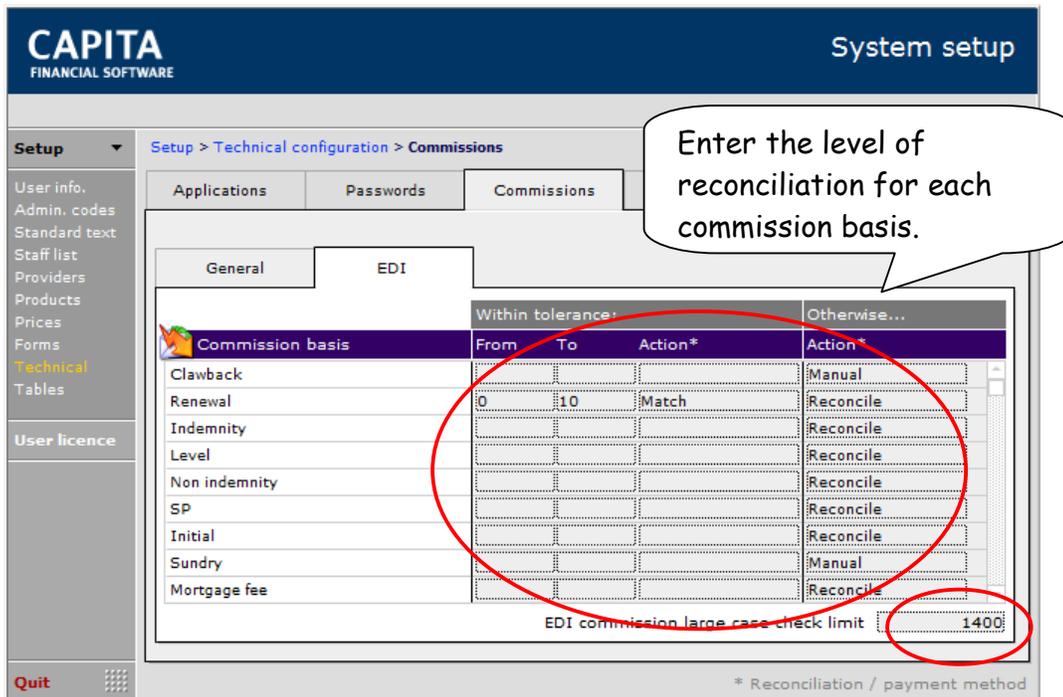
**Match** - This option looks in the holdings file for a provider and policy number match. As this option is looking just in the holdings area it will not clear an expectation from the amounts due but not yet paid list.

If EDI cannot find a matching policy number it will try to match to the client surname, but will still record as an exception to make sure this is correct.

If this method is being used for renewals the renewal transfer flag needs to be set to NO so that no expectation of commission is posted.

**Reconcile** - This method is the most thorough and will look for an expectation of commission on a holding. To use this method for renewals the renewal transfer flag needs to be set to YES. If no expectation is found then an expectation will be created.

Enter the methods of reconciliation to be used into the EDI screen of the technical commission section in the Setup module of CCD.



System setup

Setup > Technical configuration > Commissions

Applications Passwords Commissions

General EDI

| Commission basis | Within tolerance: |    | Otherwise... |           |
|------------------|-------------------|----|--------------|-----------|
|                  | From              | To | Action*      | Action*   |
| Clawback         |                   |    |              | Manual    |
| Renewal          | 0                 | 10 | Match        | Reconcile |
| Indemnity        |                   |    |              | Reconcile |
| Level            |                   |    |              | Reconcile |
| Non indemnity    |                   |    |              | Reconcile |
| SP               |                   |    |              | Reconcile |
| Initial          |                   |    |              | Reconcile |
| Sundry           |                   |    |              | Manual    |
| Mortgage fee     |                   |    |              | Reconcile |

EDI commission large case check limit 1400

\* Reconciliation / payment method

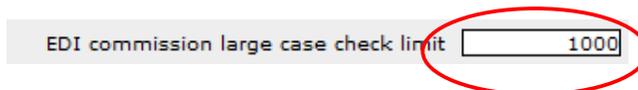
The 'Within tolerances' section allows practices to set up different payment methods for the same type of commission. For instance, a company may want Renewal commission between certain amounts to be dealt with in one way, but anything over could be dealt with in a different way.

The above example shows how the reconciliation methods might be added; this is an example and might not show the methods selected by your company.

- **Clawback** has been set to Manual/Manual so that each claw back item received via EDI will be set to be manually reconciled.
- **Renewal** and **Fund based** renewal have been set to Match for items between £0.00 and £10.00 all other renewals will use Reconcile. This could have been set like this because, as an expectation of commission (renewal transfer flag is set to yes) is only created where the expectation is greater than £10.00. So any small amounts of renewal commission are set to match (looks for policy to be set up in the holdings area) any renewal over £10.00 is set to reconcile (looks for an expectation of commission).
- **Indemnity, Level, Non Indemnity, SP, Mortgage Fee** and **Initial** are all set to Reconcile as the commission expectations are always set up.
- **Sundry** is set to pay (looks for agency number) and manual.

The other section that needs to be completed on this page is the **EDI commission large case check limit** . What this will do is to flag any single case where the amount of commission received is greater than this figure. It shows as an exception. This figure here is for the company however, an individual figure can be set for each adviser in the company. When EDI checks for exceptions, the Adviser figure over rides the company figure.

To record a figure for an adviser use Setup > Staff List, choose the adviser and then into the Financial tab. Complete the field.



### 3. RECEIVING AND IMPORTING AN EDI MESSAGE

Quay Messenger has already been set up and when it is signed on will be showing in your system tray (bottom right of screen).

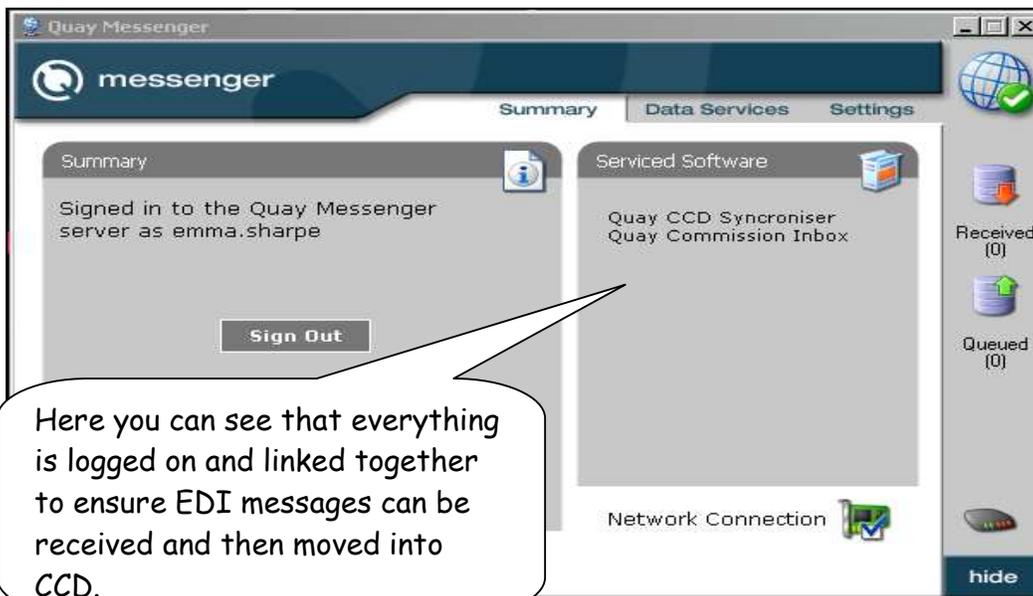


The final step needed to receive EDI messages from providers is the Commission Inbox. This looks like a wallet. 

It will appear on your desktop and must to be 'opened' for you to bring your EDI messages into CCD. To open the Commission Inbox, you need to double click on it. To check the Commission Inbox is open and linked to



Quay messenger double click on the icon, this will open up your Quay messenger screen.



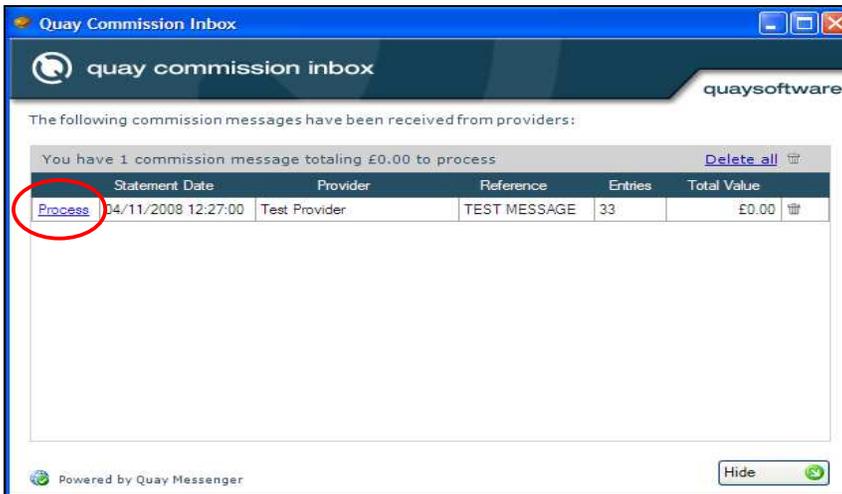
Once your Commission Inbox is open, any messages waiting in Quay Messenger will move into the Inbox. To indicate that a message is coming in, this message will appear in the bottom right hand menu:



If messages are received and haven't been processed the icon will flash alternating between a green tick and a blue exclamation mark.

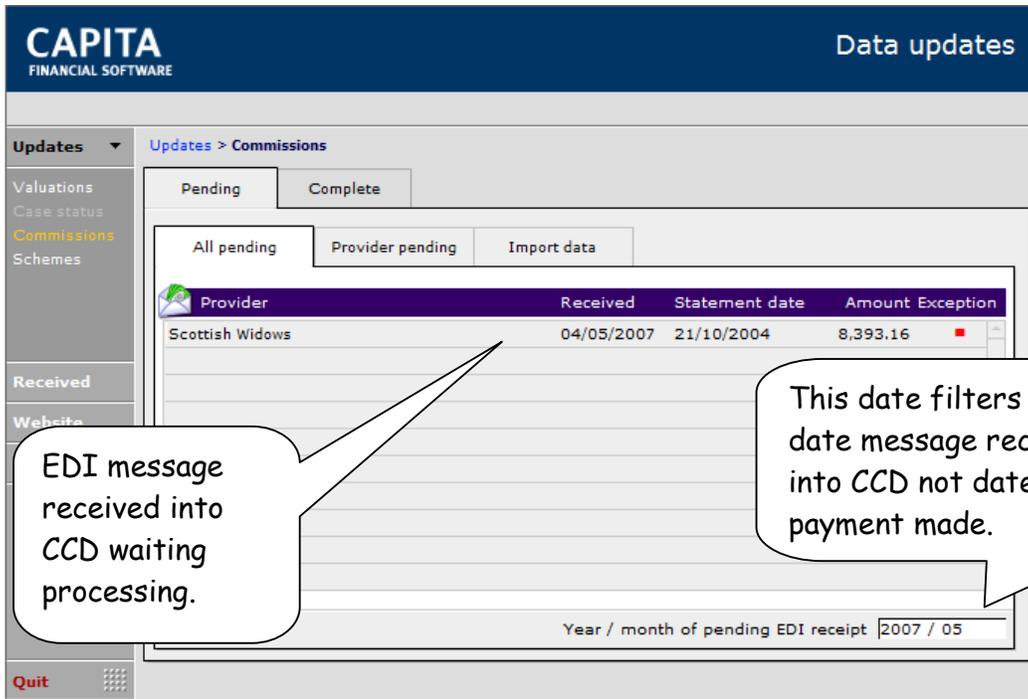


Once you click on the Commission Inbox, the following screen will appear:



To bring the messages in from the Commission Inbox to CCD, click on the Process button next to the EDI message you want to take into CCD. Once a message has been processed, it will be in the following area:

[Updates > Commissions](#)



**CAPITA** FINANCIAL SOFTWARE Data updates

Updates > Commissions

Pending Complete

All pending Provider pending Import data

| Provider        | Received   | Statement date | Amount   | Exception                          |
|-----------------|------------|----------------|----------|------------------------------------|
| Scottish Widows | 04/05/2007 | 21/10/2004     | 8,393.16 | <span style="color: red;">■</span> |

Year / month of pending EDI receipt 2007 / 05

Quit

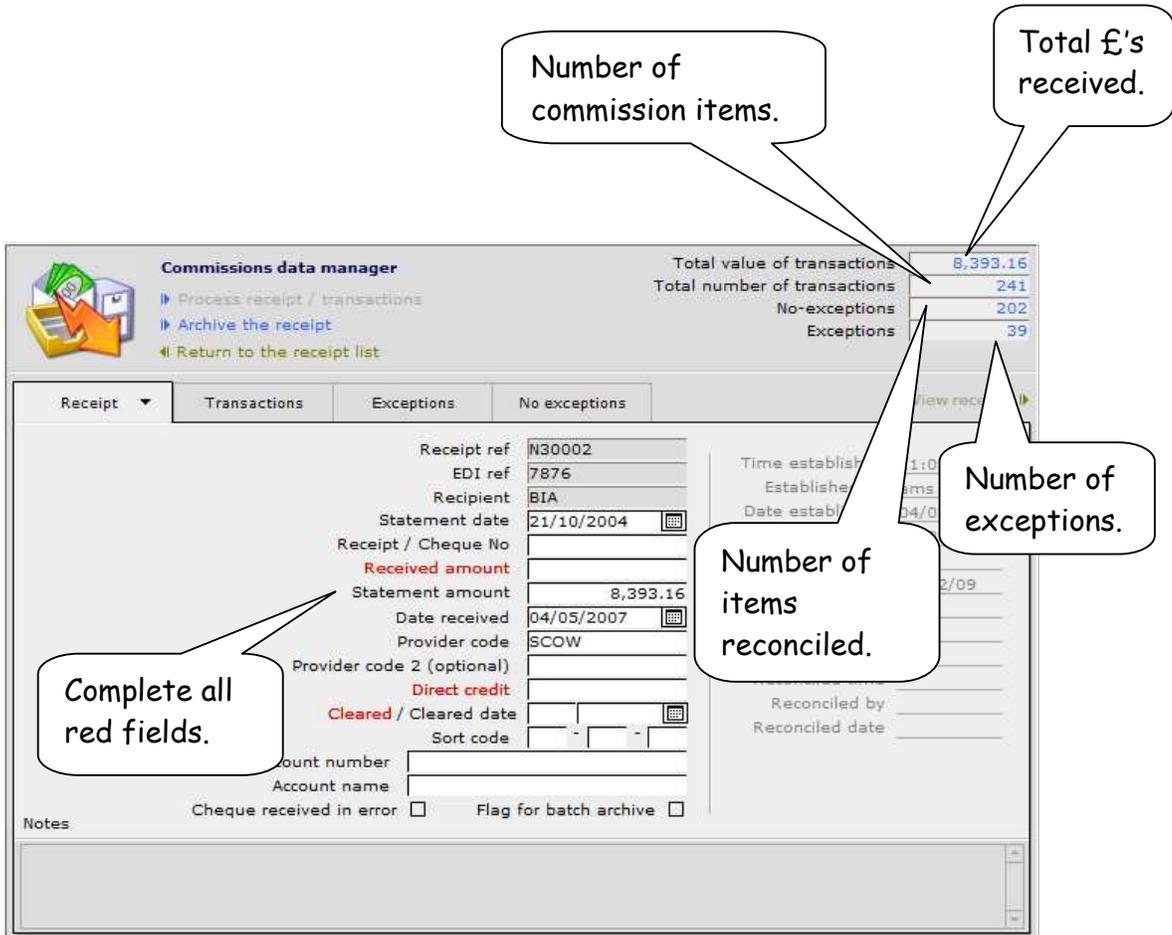
EDI message received into CCD waiting processing.

This date filters by date message received into CCD not date payment made.

NB. If you have two messages from the same provider the first EDI message will get transferred into CCD. When you bring in the second EDI message, a pop up will warn that you already have one message from this provider and will ask if you want to overwrite it with this new message. Select Yes / No as required.

#### 4. PROCESSING YOUR EDI RECEIPTS

Your EDI message is now in CCD and you are able to commence the processing of it. Click on the message and this will take you into the Commission data manager screen.



The screenshot shows the 'Commissions data manager' interface. At the top right, a summary table displays the following data:

|                              |          |
|------------------------------|----------|
| Total value of transactions  | 8,393.16 |
| Total number of transactions | 241      |
| No-exceptions                | 202      |
| Exceptions                   | 39       |

Below this is a tabbed interface with 'Receipt' selected. The main form contains the following fields:

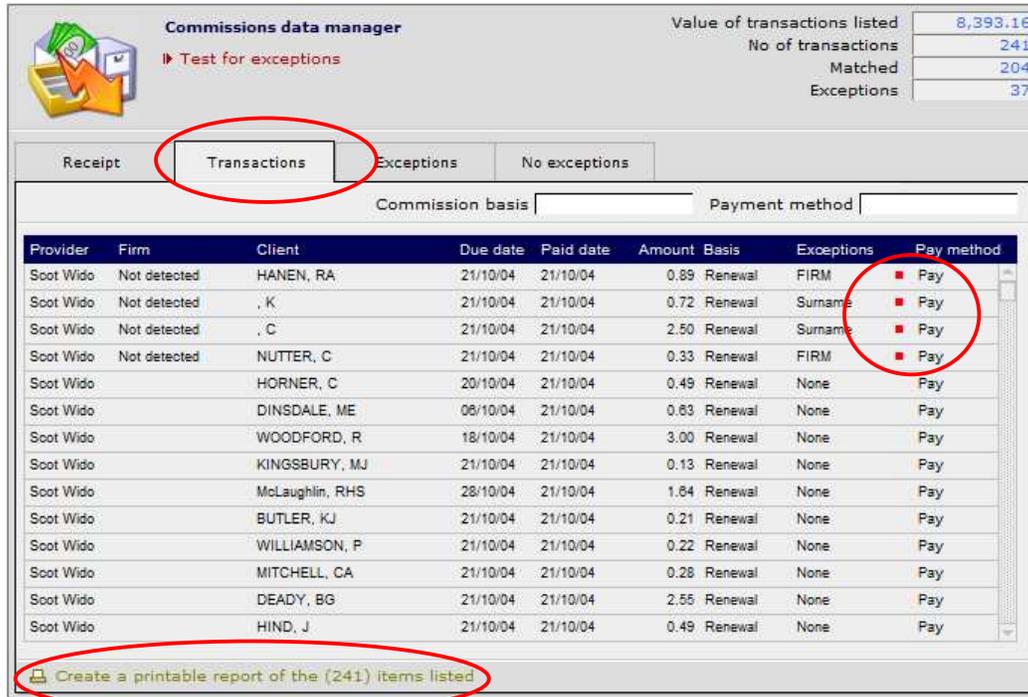
- Receipt ref: N30002
- EDI ref: 7876
- Recipient: BIA
- Statement date: 21/10/2004
- Received amount: 8,393.16
- Date received: 04/05/2007
- Provider code: SCOW
- Direct credit: [Red field]
- Cleared / Cleared date: [Red field]
- Sort code: [Red field]

Callouts in the image provide the following information:

- Number of commission items.** Points to the 'Total number of transactions' value of 241.
- Total £'s received.** Points to the 'Total value of transactions' value of 8,393.16.
- Number of exceptions.** Points to the 'Exceptions' value of 39.
- Number of items reconciled.** Points to the 'No-exceptions' value of 202.
- Complete all red fields.** Points to the 'Direct credit' and 'Cleared / Cleared date' fields.

## Transactions

All the transactions relating to the EDI receipt are shown here. Any that have not been reconciled will have a red dot next to them and will appear in the exception list. Those that are marked for manual reconciliation will not appear in the exception list.



**Commissions data manager** Value of transactions listed: 8,393.16  
 ▶ Test for exceptions No of transactions: 241  
 Matched: 204  
 Exceptions: 37

Receipt **Transactions** Exceptions No exceptions

Commission basis: [ ] Payment method: [ ]

| Provider  | Firm         | Client          | Due date | Paid date | Amount | Basis   | Exceptions | Pay method |
|-----------|--------------|-----------------|----------|-----------|--------|---------|------------|------------|
| Scot Wido | Not detected | HANEN, RA       | 21/10/04 | 21/10/04  | 0.89   | Renewal | FIRM       | ■ Pay      |
| Scot Wido | Not detected | , K             | 21/10/04 | 21/10/04  | 0.72   | Renewal | Surname    | ■ Pay      |
| Scot Wido | Not detected | , C             | 21/10/04 | 21/10/04  | 2.50   | Renewal | Surname    | ■ Pay      |
| Scot Wido | Not detected | NUTTER, C       | 21/10/04 | 21/10/04  | 0.33   | Renewal | FIRM       | ■ Pay      |
| Scot Wido |              | HORNER, C       | 20/10/04 | 21/10/04  | 0.49   | Renewal | None       | Pay        |
| Scot Wido |              | DINSDALE, ME    | 06/10/04 | 21/10/04  | 0.83   | Renewal | None       | Pay        |
| Scot Wido |              | WOODFORD, R     | 18/10/04 | 21/10/04  | 3.00   | Renewal | None       | Pay        |
| Scot Wido |              | KINGSBURY, MJ   | 21/10/04 | 21/10/04  | 0.13   | Renewal | None       | Pay        |
| Scot Wido |              | McLaughlin, RHS | 28/10/04 | 21/10/04  | 1.84   | Renewal | None       | Pay        |
| Scot Wido |              | BUTLER, KJ      | 21/10/04 | 21/10/04  | 0.21   | Renewal | None       | Pay        |
| Scot Wido |              | WILLIAMSON, P   | 21/10/04 | 21/10/04  | 0.22   | Renewal | None       | Pay        |
| Scot Wido |              | MITCHELL, CA    | 21/10/04 | 21/10/04  | 0.28   | Renewal | None       | Pay        |
| Scot Wido |              | DEADY, BG       | 21/10/04 | 21/10/04  | 2.55   | Renewal | None       | Pay        |
| Scot Wido |              | HIND, J         | 21/10/04 | 21/10/04  | 0.49   | Renewal | None       | Pay        |

Create a printable report of the (241) items listed

## Exceptions

The next tab is the Exceptions tab. This is where you will find any transaction that was not able to be dealt with by the Payment Method that you have set up against the Commission Basis.

For example: Indemnity commission is set to Reconcile. A piece of Indemnity commission comes in on the EDI message and was unable to find the expectation of commission. It could however find the Holding. This commission piece would be an exception as EDI was unable to locate the commission expectation.

If you have not received the paper statement you may want to have a list of all the exceptions that you have to work on. This can be obtained from this Tab.

**Commissions data manager** Value of transactions listed **8,393.16**

▶ Test for exceptions No of transactions **241**

▶ Set all manual Matched **204**

Exceptions **37**

Scottish Widows Receipt: £8,393.16 Received: 04/05/2007 Statement date: 21/10/2004

Receipt   Transactions   **Exceptions**   No exceptions

Payment method | Filter exception type

| Provider  | Firm         | Client      | Due date | Paid date | Amount   | Basis   | Exceptions | Pay method |
|-----------|--------------|-------------|----------|-----------|----------|---------|------------|------------|
| Soot Wido | Not detected | HANEN, RA   | 21/10/04 | 21/10/04  | 0.89     | Renewal | FIRM       | Pay        |
| Soot Wido | Not detected | , K         | 21/10/04 | 21/10/04  | 0.72     | Renewal | Surname    | Pay        |
| Soot Wido | Not detected | , C         | 21/10/04 | 21/10/04  | 2.50     | Renewal | Surname    | Pay        |
| Soot Wido | Not detected | NUTTER, C   | 21/10/04 | 21/10/04  | 0.33     | Renewal | FIRM       | Pay        |
| Soot Wido | Not detected | CLARKE, G   | 21/10/04 | 21/10/04  | 0.89     | Renewal | FIRM       | Pay        |
| Soot Wido | Not detected | BHARMAL, N  | 21/10/04 | 21/10/04  | 196.48   | SP      | TOLERANCE  | Reconcile  |
| Soot Wido | Not detected | COLE, SR    | 21/09/04 | 21/10/04  | 1,281.98 | Initial | TOLERANCE  | Reconcile  |
| Soot Wido | Not detected | FERGUSON, F | 11/10/04 | 21/10/04  | 1,450.91 | Initial | TOLERANCE  | Reconcile  |
| Soot Wido | Not detected | DAVIES, RA  | 21/10/04 | 21/10/04  | 9.98     | Level   | NOMATCH    | Match add  |
| Soot Wido | Not detected | GRIFFIN, M  | 14/10/04 | 21/10/04  | 945.89   | Level   | NOMATCH    | Match add  |
| Soot Wido | Not detected | GRIFFIN, M  | 14/10/04 | 21/10/04  | 674.15   | Level   | NOMATCH    | Match add  |
| Soot Wido | Not detected | BROSNAN, WE | 19/10/04 | 21/10/04  | 875.00   | SP      | TOLERANCE  | Reconcile  |
| Soot Wido | Not detected | SAMPSON, P  | 21/10/04 | 21/10/04  | 0.20     | Renewal | FIRM       | Pay        |
| Soot Wido | Not detected | SAMPSON, N  | 21/10/04 | 21/10/04  | 0.38     | Renewal | FIRM       | Pay        |

 Create a exception report of the (37) items listed

The No exceptions tab will hold all the items of commission that EDI was able to deal with itself. This will also include any items of commission for which you have selected the manual payment method. A list of all transactions that have the payment method of Manual can be printed from this tab.

**Commissions data manager** Value of transactions listed **0.00**

▶ Process receipt / transactions No of transactions **2**

Receipt: £0.00 Received: 04/11/2008 Statement date: ?

Receipt   Transactions   Exceptions   **No exceptions**

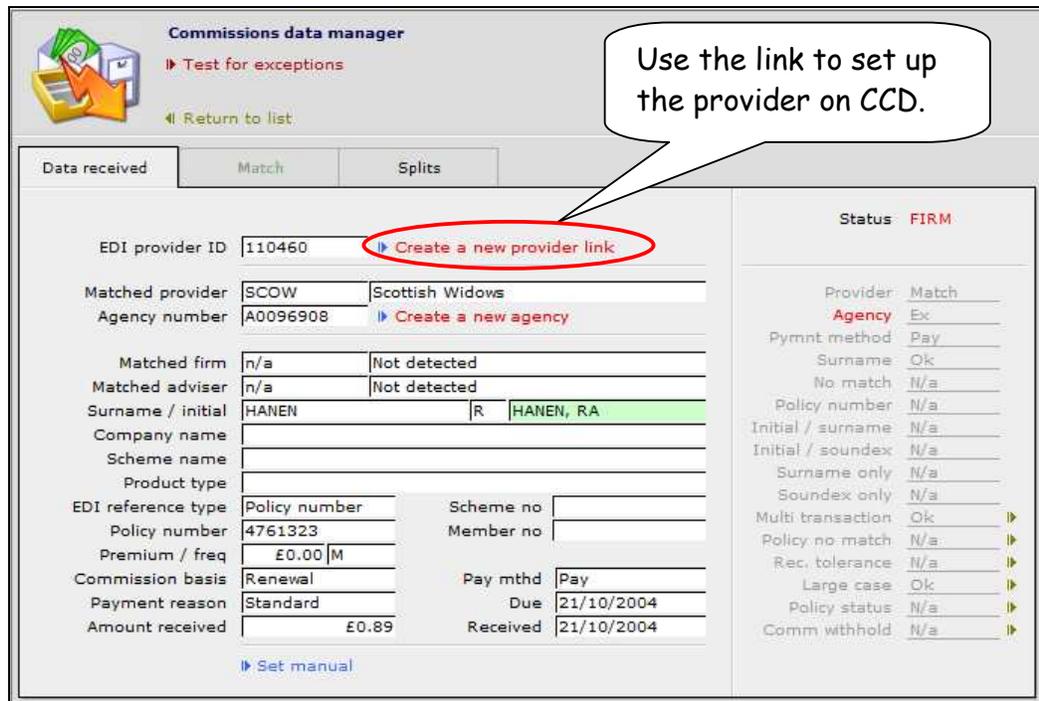
| Provider | Firm         | Client     | Due date | Paid date | Amount | Basis    | Exceptions | Pay method |
|----------|--------------|------------|----------|-----------|--------|----------|------------|------------|
| Not date | Not detected | GOULDING D | 14/05/94 | ?         | 0.00   | Clawback | None       | Manual     |
| Not date | Not detected | BAKER, GM  | 14/05/94 | ?         | 0.00   | Clawback | None       | Manual     |

 Create manual reconciliation report

### 4.1. Dealing with the exceptions

There are 12 potential exceptions that may occur:

- 01 **Provider** - the provider is not set up within CCD as a provider who can send EDI messages. To deal with this error, you will need to set the provider up.



**Commissions data manager**

▶ Test for exceptions  
◀ Return to list

Data received | Match | Splits

EDI provider ID: 110460 **▶ Create a new provider link**

Matched provider: SCOW Scottish Widows  
Agency number: A0096908 **▶ Create a new agency**

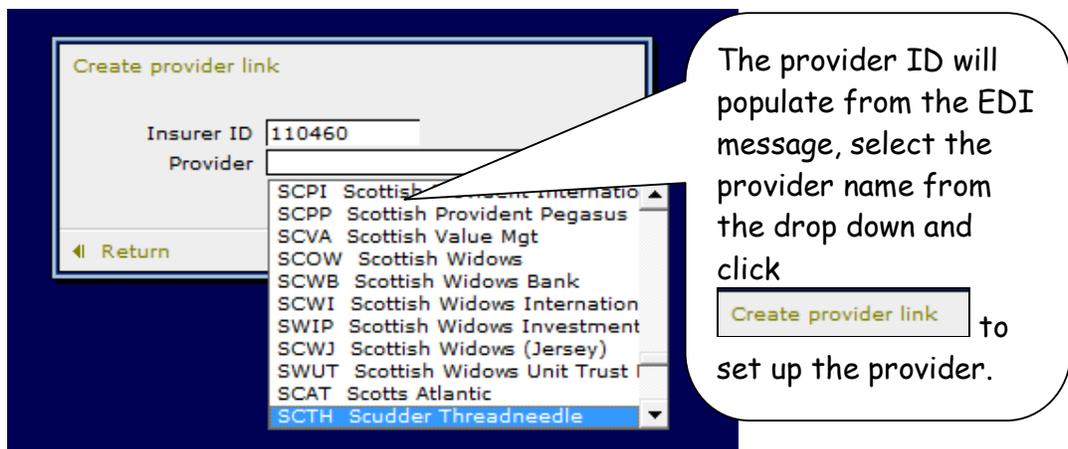
Matched firm: n/a Not detected  
Matched adviser: n/a Not detected  
Surname / initial: HANEN R HANEN, RA  
Company name: \_\_\_\_\_  
Scheme name: \_\_\_\_\_  
Product type: \_\_\_\_\_

EDI reference type: Policy number \_\_\_\_\_ Scheme no: \_\_\_\_\_  
Policy number: 4761323 Member no: \_\_\_\_\_  
Premium / freq: £0.00 | M  
Commission basis: Renewal Pay mthd: Pay  
Payment reason: Standard Due: 21/10/2004  
Amount received: £0.89 Received: 21/10/2004

Status: **FIRM**

|                   |       |
|-------------------|-------|
| Provider          | Match |
| Agency            | Ex    |
| Pymnt method      | Pay   |
| Surname           | Ok    |
| No match          | N/a   |
| Policy number     | N/a   |
| Initial / surname | N/a   |
| Initial / soundex | N/a   |
| Surname only      | N/a   |
| Soundex only      | N/a   |
| Multi transaction | Ok ▶  |
| Policy no-match   | N/a ▶ |
| Rec. tolerance    | N/a ▶ |
| Large case        | Ok ▶  |
| Policy status     | N/a ▶ |
| Comm withhold     | N/a ▶ |

▶ Set manual



**Create provider link**

Insurer ID: 110460  
Provider: \_\_\_\_\_

- SCPI Scottish Provident Internatio
- SCPP Scottish Provident Pegasus
- SCVA Scottish Value Mgt
- SCOW Scottish Widows
- SCWB Scottish Widows Bank
- SCWI Scottish Widows Internation
- SWIP Scottish Widows Investment
- SCWJ Scottish Widows (Jersey)
- SWUT Scottish Widows Unit Trust
- SCAT Scotts Atlantic
- SCTH Scudder Threadneedle

◀ Return

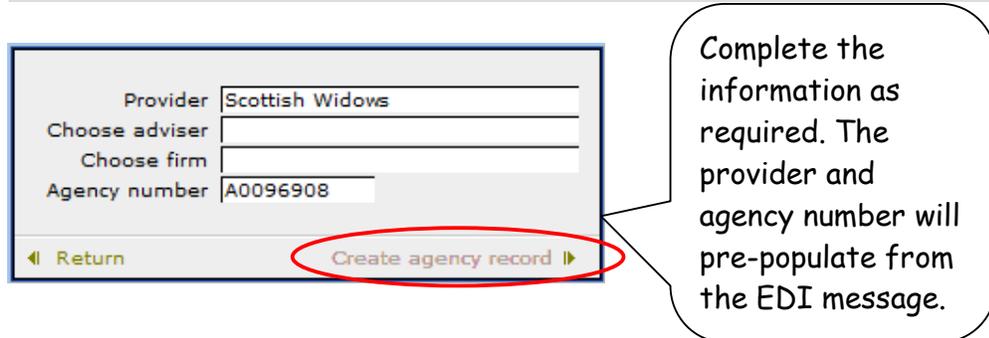
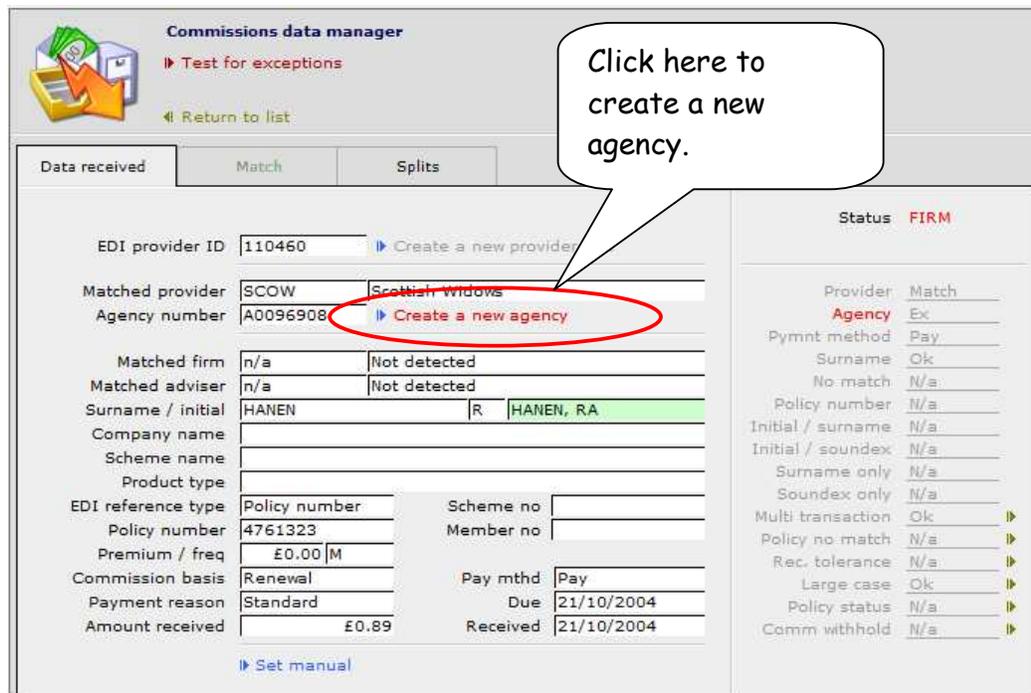
**Create provider link** to set up the provider.

Once the provider is set up, best practice is to "Test for exceptions" on the Exceptions Tab.



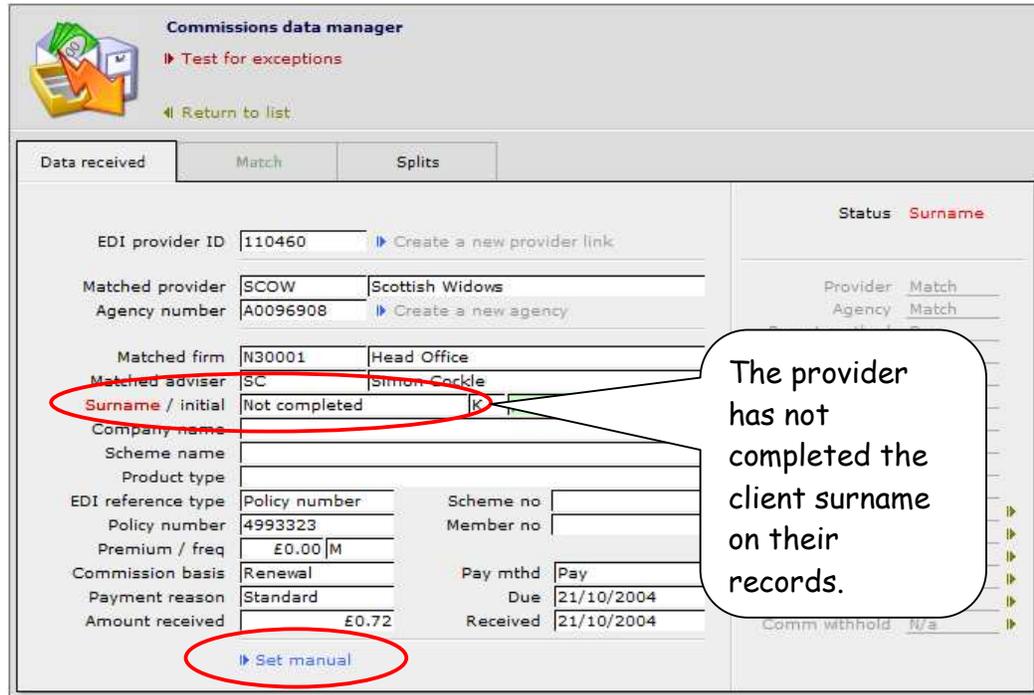
The system will then apply the changes and any existing exceptions for this provider will now move to the no exceptions list. Any remaining exceptions will be for a different reason.

02 **Agency** - the agency code has not been set up.



As this exception has now been dealt with it is best practice to "Test for exceptions" to reduce the outstanding exception list.

03 **Surname** - the provider has not confirmed the client's surname.



**Commissions data manager**

▶ Test for exceptions  
◀ Return to list

Data received | Match | Splits

EDI provider ID: 110460 ▶ Create a new provider link

Matched provider: SCOW | Scottish Widows

Agency number: A0096908 ▶ Create a new agency

Matched firm: N30001 | Head Office

Matched adviser: SC | Simon Cockle

**Surname / initial: Not completed** | K

Company name

Scheme name

Product type

EDI reference type: Policy number | Scheme no: |

Policy number: 4993323 | Member no: |

Premium / freq: £0.00 | M

Commission basis: Renewal | Pay mthd: Pay

Payment reason: Standard | Due: 21/10/2004

Amount received: £0.72 | Received: 21/10/2004

▶ Set manual

Status: **Surname**

Provider: Match

Agency: Match

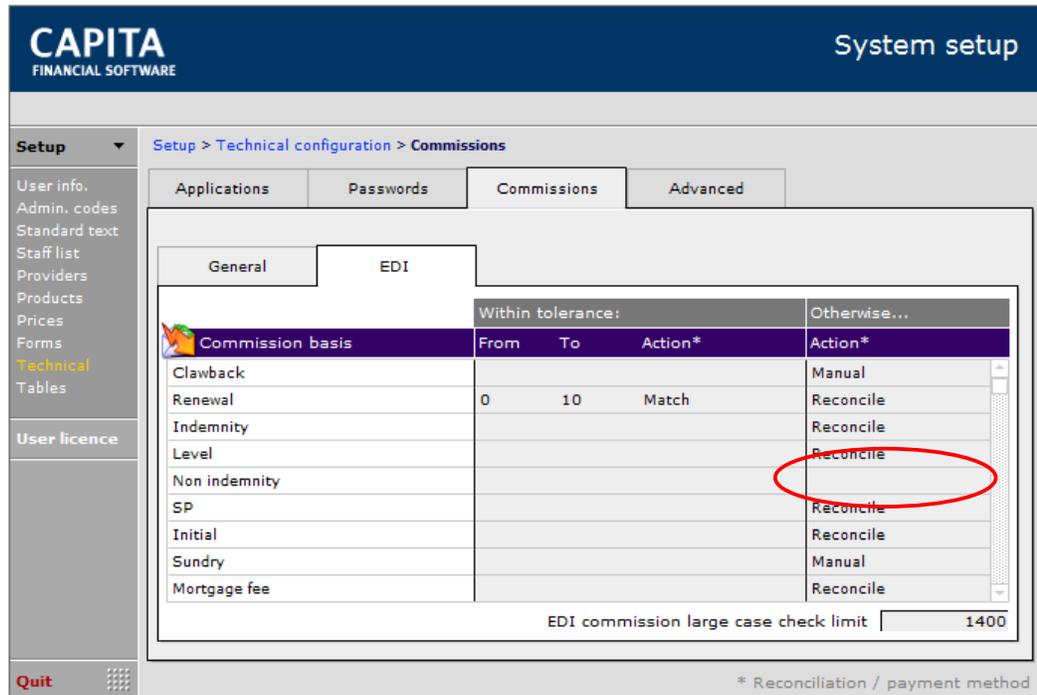
Comm withhold: N/a

The provider has not completed the client surname on their records.

To complete this exception, come out of the EDI exception, identify the client then return to the exception screen and complete the surname field. The test for exceptions will remove this item from the exception list.

If it is not possible to identify the client there is an option to set this piece of commission to 'Set Manual'. This will remove the exception from EDI and allow you to deal with it at a later time. We would recommend using this button sparingly and only when you have exhausted all other ways to deal with it.

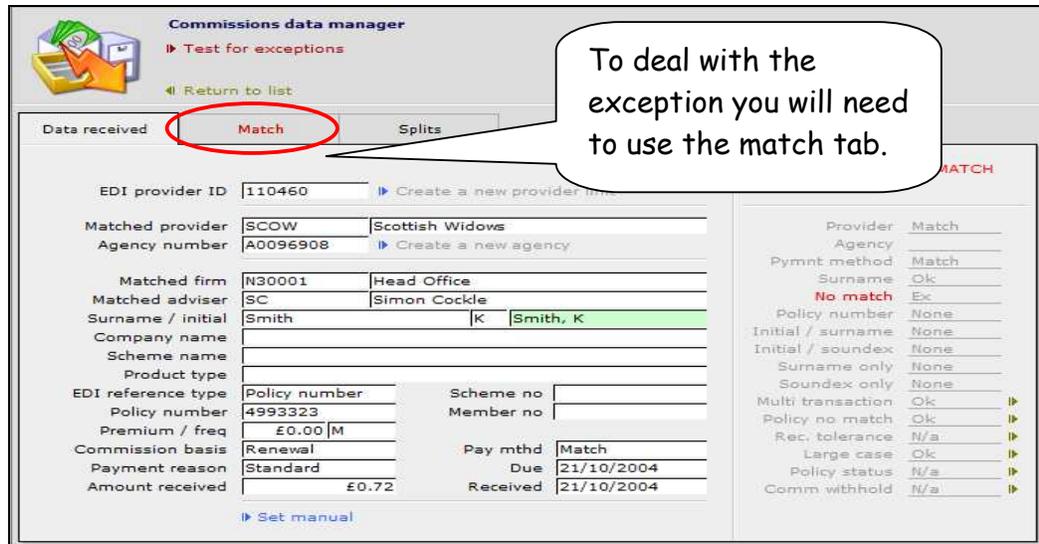
- 04 **Payment method** - a payment method has not been set up for this type of commission. To set up the payment method for this type of commission return to the Setup > Technical > Commissions > EDI tab and complete as required.



Once this has been done, move back to the Receipt and use the 'Test for Exceptions' button on the Exceptions tab.

- 05 **No match** - there were no details on CCD which matched those on the receipt. No match will only appear as an exception where the payment method has been set to Match, Match Additional or Reconcile.  
The three original payment methods are dealt with differently.

- No match against a match payment method. CCD has not been able to match any policy records to the information on the EDI receipt.



**Commissions data manager**  
 ▶ Test for exceptions  
 ◀ Return to list

Data received **Match** Splits

ED I provider ID 110460 ▶ Create a new provider in...

Matched provider SCOW Scottish Widows  
 Agency number A0096908 ▶ Create a new agency

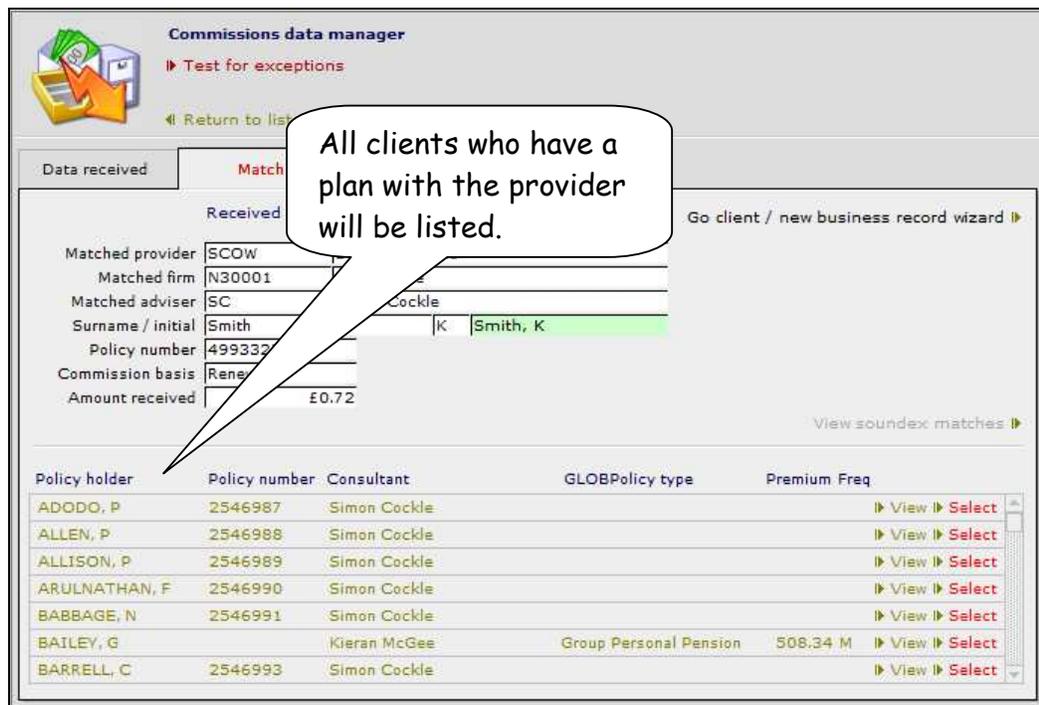
Matched firm N30001 Head Office  
 Matched adviser SC Simon Cockle  
 Surname / initial Smith K Smith, K  
 Company name  
 Scheme name  
 Product type

ED I reference type Policy number  
 Policy number 4993323 Scheme no  
 Premium / freq £0.00 M Member no

Commission basis Renewal Pay mthd Match  
 Payment reason Standard Due 21/10/2004  
 Amount received £0.72 Received 21/10/2004

▶ Set manual

|                   |       |
|-------------------|-------|
| Provider          | Match |
| Agency            | Match |
| Pymnt method      | Match |
| Surname           | Ok    |
| No match          | Ex    |
| Policy number     | None  |
| Initial / surname | None  |
| Initial / soundex | None  |
| Surname only      | None  |
| Soundex only      | None  |
| Multi transaction | Ok ▶  |
| Policy no match   | Ok ▶  |
| Rec. tolerance    | N/a ▶ |
| Large case        | Ok ▶  |
| Policy status     | N/a ▶ |
| Comm withhold     | N/a ▶ |



**Commissions data manager**  
 ▶ Test for exceptions  
 ◀ Return to list

Data received **Match** Received

Matched provider SCOW  
 Matched firm N30001  
 Matched adviser SC Simon Cockle  
 Surname / initial Smith K Smith, K  
 Policy number 4993323  
 Commission basis Rene  
 Amount received £0.72

Go client / new business record wizard ▶

View soundex matches ▶

| Policy holder | Policy number | Consultant   | GLOBPolicy type        | Premium Freq |                 |
|---------------|---------------|--------------|------------------------|--------------|-----------------|
| ADODO, P      | 2546987       | Simon Cockle |                        |              | ▶ View ▶ Select |
| ALLEN, P      | 2546988       | Simon Cockle |                        |              | ▶ View ▶ Select |
| ALLISON, P    | 2546989       | Simon Cockle |                        |              | ▶ View ▶ Select |
| ARULNATHAN, F | 2546990       | Simon Cockle |                        |              | ▶ View ▶ Select |
| BABBAGE, N    | 2546991       | Simon Cockle |                        |              | ▶ View ▶ Select |
| BAILEY, G     |               | Kieran McGee | Group Personal Pension | 508.34 M     | ▶ View ▶ Select |
| BARRELL, C    | 2546993       | Simon Cockle |                        |              | ▶ View ▶ Select |

If the client is found on the list click on 'Select' to manually match the commission item to a client. If the client does not appear in the list then click onto the **Go client / new business record wizard** at the top right of the screen.



◀ Return **Create match records wizard - clients** Next ▶

Received data

|                   |        |                     |
|-------------------|--------|---------------------|
| Matched provider  | SCOW   | Scottish Widows     |
| Matched firm      | N30001 | Head Office         |
| Matched adviser   | SC     | Simon Cockle        |
| Surname / initial | Smith  | K   <b>Smith, K</b> |
| Product type      |        |                     |

Surname matches    Soundex matches

Client type: Individual

Title / Initial / Surname: | K | | Smith

Forename/s: K

Salutation:  ◀ Auto fill

Address description:

Address:

Town:

County:

Post code:

Date of birth:

Gender:

Consultant: Simon Cockle

**Create client record ▶**

◀ Return **Create match records wizard - create holding**

Received data

|                   |        |                     |
|-------------------|--------|---------------------|
| Matched provider  | SCOW   | Scottish Widows     |
| Matched firm      | N30001 | Head Office         |
| Matched adviser   | SC     | Simon Cockle        |
| Surname / initial | Smith  | K   <b>Smith, K</b> |
| Product type      |        |                     |

Surname matches    Soundex matches

**Create holding record ▶**

| Client  | DOB | Sex | Consultant   |
|---------|-----|-----|--------------|
| K Smith |     |     | Simon Cockle |

Status: **In force**

Contract holder: Smith, K

Product provider: Scottish Widows

Personal / Occupational:

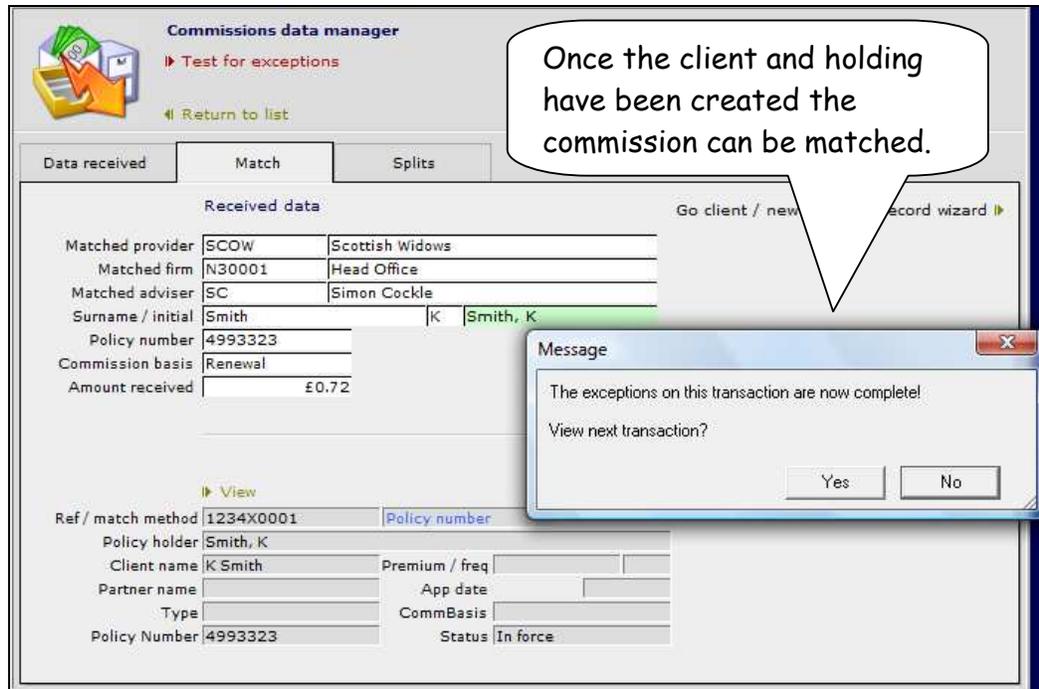
Product basis:

Product category:

Product type:

Contract number: 4993323

Consultant: Simon Cockle



**Commissions data manager**  
 ▶ Test for exceptions  
 ◀ Return to list

Data received | **Match** | Splits

Received data Go client / new record wizard ▶

|                   |         |                 |
|-------------------|---------|-----------------|
| Matched provider  | SCOW    | Scottish Widows |
| Matched firm      | N30001  | Head Office     |
| Matched adviser   | SC      | Simon Cockle    |
| Surname / initial | Smith   | K   Smith, K    |
| Policy number     | 4993323 |                 |
| Commission basis  | Renewal |                 |
| Amount received   |         | £0.72           |

▶ View

|                    |           |                 |
|--------------------|-----------|-----------------|
| Ref / match method | 1234X0001 | Policy number   |
| Policy holder      | Smith, K  |                 |
| Client name        | K Smith   | Premium / freq  |
| Partner name       |           | App date        |
| Type               |           | CommBasis       |
| Policy Number      | 4993323   | Status In force |

**Message**

The exceptions on this transaction are now complete!

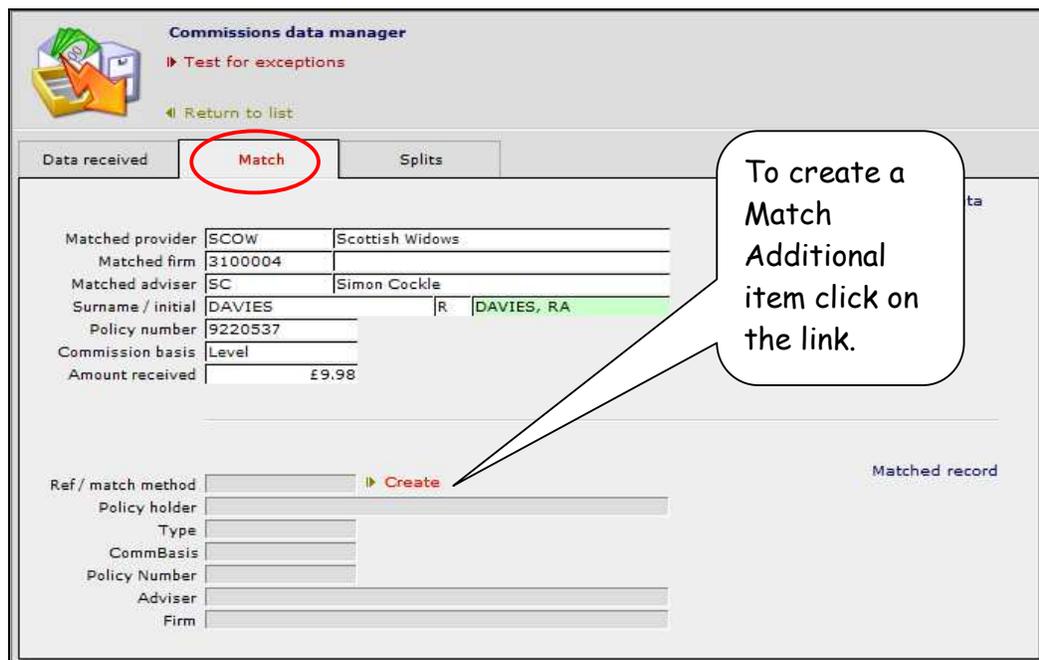
View next transaction?

Yes No

Once the client and holding have been created the commission can be matched.

If next month more commission is received for this client and policy, no exception will be created as the system will be able to match the commission to information held on CCD.

- No Match against a Match Additional payment method



**Commissions data manager**  
 ▶ Test for exceptions  
 ◀ Return to list

Data received | **Match** | Splits

|                   |         |                 |
|-------------------|---------|-----------------|
| Matched provider  | SCOW    | Scottish Widows |
| Matched firm      | 3100004 |                 |
| Matched adviser   | SC      | Simon Cockle    |
| Surname / initial | DAVIES  | R   DAVIES, RA  |
| Policy number     | 9220537 |                 |
| Commission basis  | Level   |                 |
| Amount received   |         | £9.98           |

▶ Create Matched record

|                    |  |
|--------------------|--|
| Ref / match method |  |
| Policy holder      |  |
| Type               |  |
| CommBasis          |  |
| Policy Number      |  |
| Adviser            |  |
| Firm               |  |

To create a Match Additional item click on the link.

◀ Return without creating commission match record

Create commission match record ▶

|                                      |                 |
|--------------------------------------|-----------------|
| Policy / contract holder surname     | DAVIES          |
| Policy / contract holder forename(s) | R               |
| Provider                             | Scottish Widows |
| Policy / contract number             | 9220537         |
| Commission basis                     | Level           |
| Personal / Occupational              |                 |
| Product basis                        |                 |
| Product category                     |                 |
| Product type                         |                 |
| Firm                                 |                 |

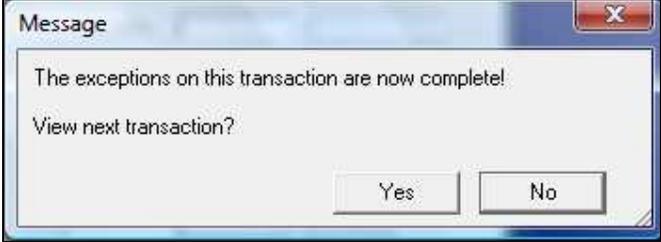
  

|                                   |              | Payaways |
|-----------------------------------|--------------|----------|
| <u>Total transaction</u>          |              | 9.98     |
|                                   | Network      |          |
| <u>Gross receipt</u>              |              | 9.98     |
|                                   | Introducer   |          |
| <u>Balance after Introducer</u>   |              | 9.98     |
| Consultant 1                      | Simon Cockle |          |
| Consultant 2                      |              |          |
| Consultant 3                      |              |          |
| Consultant 4                      |              |          |
| Consultant 5                      |              |          |
| <u>Total to Evaluation System</u> |              | 9.98     |

Minimum information has been populated from the receipt complete additional fields if the information is available.

Once all information has been added to add to the system.

Create commission match record ▶



➤ No Match against Reconcile.

The reason for the No Match could be either that there is no expectation of commission or that there is no matching holding record.

**Commissions data manager**

▶ Test for exceptions

◀ Return to list

Received    **Match**    Splits

|                   |         |                 |  |
|-------------------|---------|-----------------|--|
| Matched provider  | SCOW    | Scottish Widows | Go client / new business record wizard ▶ |
| Matched firm      | n/a     | Not detected    |  |
| Matched adviser   | n/a     | Not detected    |  |
| Surname / initial | SAMPSON | P               | SAMPSON, P                               |
| Policy number     | 5741620 |                 |  |
| Commission basis  | Renewal |                 |  |
| Amount received   | £0.20   |                 |  |

▶ No match - view new business records      Matched new business record

Ref / match method      App date

Policy holder

Type      Premium / freq

Policy Number      Status      ▶ Post

▶ No match - view cash book records      Matched cash book record

Comm index

Policy holder

Client name      Premium / freq

Type      Com due / date

Policy Number      CommBasis

This section displays the receipt information.

This section is for the holding information.

This section is for the commission expectation information.

To begin dealing with this exception start by viewing the new business records

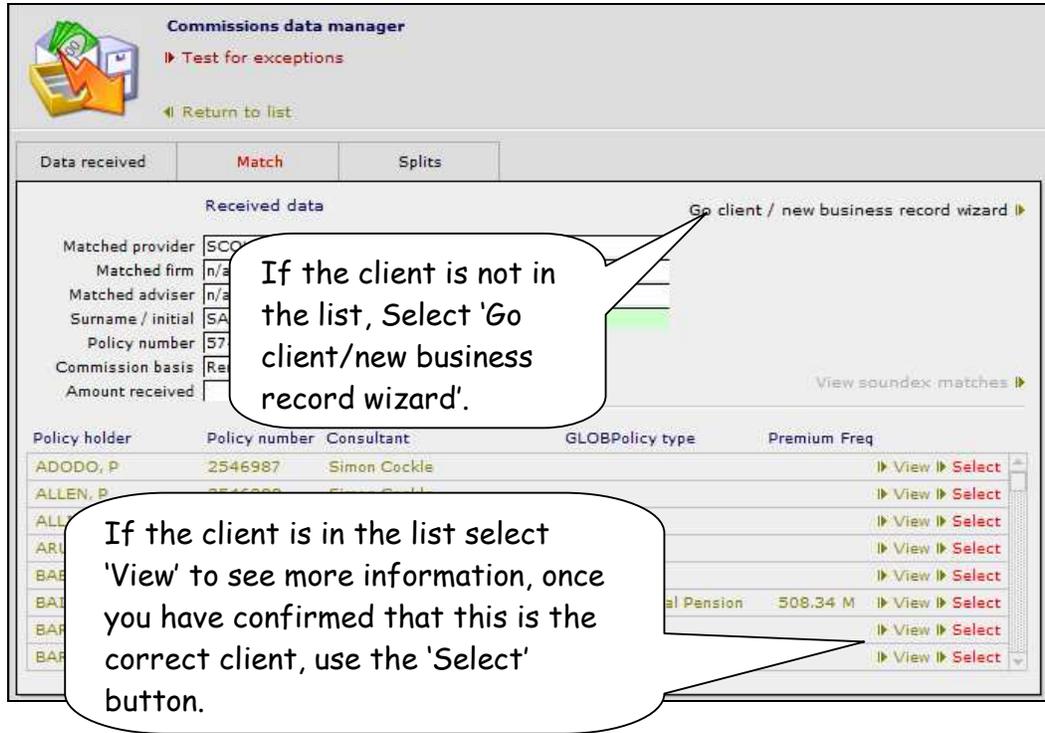
▶ No match - view new business records      Matched new business record

Ref / match method      App date

Policy holder

Type      Premium / freq

Policy Number      Status      ▶ Post



**Commissions data manager**  
 ▶ Test for exceptions  
 ◀ Return to list

Data received | **Match** | Splits

Received data Go client / new business record wizard ▶

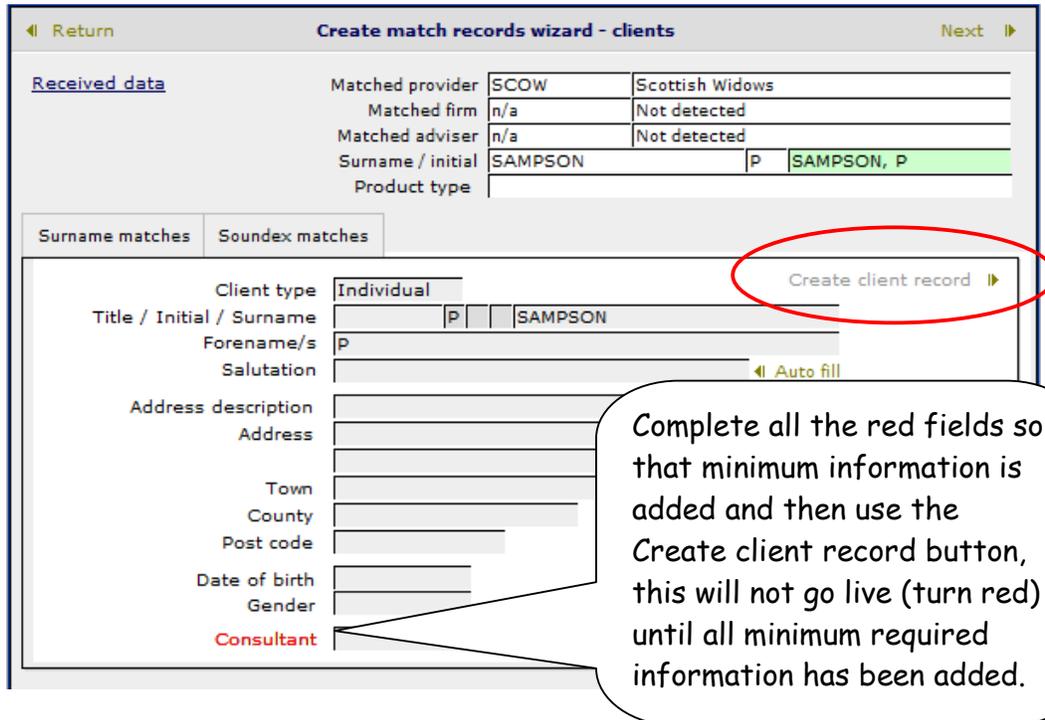
Matched provider SCOW  
 Matched firm n/a  
 Matched adviser n/a  
 Surname / initial SA  
 Policy number 57  
 Commission basis Re  
 Amount received

**Callout 1:** If the client is not in the list, Select 'Go client/new business record wizard'.

| Policy holder | Policy number | Consultant   | GLBP | Policy type | Premium Freq |                 |
|---------------|---------------|--------------|------|-------------|--------------|-----------------|
| ADODO, P      | 2546987       | Simon Cockle |      |             |              | ▶ View ▶ Select |
| ALLEN, P      | 2546988       | Simon Cockle |      |             |              | ▶ View ▶ Select |
| ARL           |               |              |      |             |              | ▶ View ▶ Select |
| BAR           |               |              |      |             |              | ▶ View ▶ Select |
| BAR           |               |              |      | al Pension  | 508.34 M     | ▶ View ▶ Select |
| BAR           |               |              |      |             |              | ▶ View ▶ Select |
| BAR           |               |              |      |             |              | ▶ View ▶ Select |

**Callout 2:** If the client is in the list select 'View' to see more information, once you have confirmed that this is the correct client, use the 'Select' button.

Go client/new business record Wizard.



◀ Return Next ▶

**Create match records wizard - clients**

Received data

Matched provider SCOW Scottish Widows  
 Matched firm n/a Not detected  
 Matched adviser n/a Not detected  
 Surname / initial SAMPSON P SAMPSON, P  
 Product type

Surname matches | Soundex matches

Client type Individual  
 Title / Initial / Surname P SAMPSON  
 Forename/s P  
 Salutation ◀ Auto fill  
 Address description  
 Address  
 Town  
 County  
 Post code  
 Date of birth  
 Gender  
 Consultant

**Callout:** Complete all the red fields so that minimum information is added and then use the Create client record button, this will not go live (turn red) until all minimum required information has been added.

◀ Return **Create match records wizard - create holding**

|                   |         |                 |
|-------------------|---------|-----------------|
| Matched provider  | SCOW    | Scottish Widows |
| Matched firm      | n/a     | Not detected    |
| Matched adviser   | n/a     | Not detected    |
| Surname / initial | SAMPSON | P SAMPSON, P    |
| Product type      |         |                 |

**Create holding record ▶**

| DOB | Sex | Consultant   |
|-----|-----|--------------|
|     |     | Simon Cockle |

|                  |                 |
|------------------|-----------------|
| Status           | In force        |
| Contract holder  | SAMPSON, P      |
| Product provider | Scottish Widows |
| Occupational     |                 |
| Product basis    |                 |
| Product category |                 |
| Product type     |                 |
| Contract number  | 5741620         |
| Consultant       | Simon Cockle    |

**Complete the minimum information required and select 'Create holding record'. This button will only become active/red once the minimum required information has been completed.**

Now that the client and holding have been set up you can move onto the expectation of commission. The second section of the match screen will now be complete and the **POST** button will become live.

▶ View new business records Matched new business record

|                    |            |                |          |        |
|--------------------|------------|----------------|----------|--------|
| Ref / match method | 1234X0002  | Policy number  | App date |        |
| Policy holder      | SAMPSON, P |                |          |        |
| Type               |            | Premium / freq |          |        |
| Policy Number      | 5741620    | Status         | In force | ▶ Post |

▶ No match - view cash book records Matched cash book record

|               |  |              |  |
|---------------|--|--------------|--|
| Comm index    |  |              |  |
| Policy holder |  |              |  |
| Client name   |  | Premium/freq |  |
| Type          |  | Com due/date |  |
| Policy Number |  | CommBasis    |  |

There will be no entry in the cash book as we have only just created the client and holding. Click onto the 'Post' button to add an expectation of commission to be used with this exception only. The system will not set up a regular piece of commission, this will need to set up in the normal way on the holding record if required.

Once the expectation has been posted the exception will be matched and removed from the exception list.

06 **Multiple match** - there is more than one expectation of commission or more than one contribution recorded against the policy.



**Commissions data manager**

[▶ Test for exceptions](#)

[◀ Return to list](#)

Data received
**Match**
Splits

Received data [Go client / new business record wizard ▶](#)

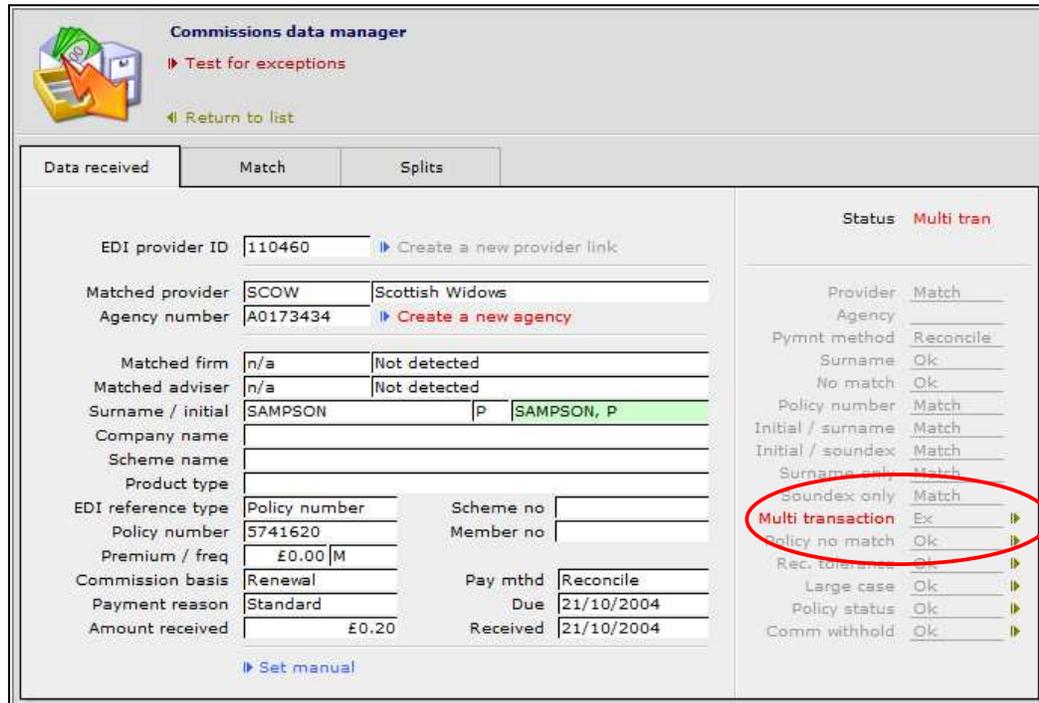
|                   |         |                     |
|-------------------|---------|---------------------|
| Matched provider  | SCOW    | Scottish Widows     |
| Matched firm      | 3100003 |                     |
| Matched adviser   | MLP     | Mitchell Phillipott |
| Surname / initial | BEATTIE | I   BEATTIE, IJ     |
| Policy number     | 7740243 |                     |
| Commission basis  | Level   |                     |
| Amount received   |         | £1.28               |

[Comm additional matches](#)

| Policy holder | Policy number | Comm basis | Consultant | Firm |   |
|---------------|---------------|------------|------------|------|---|
| BEATTIE, I    | 7740243       | Level      |            |      | <a href="#">▶ View</a> <a href="#">▶ Select</a> |
| BEATTIE, I    | 7740243       | Level      |            |      | <a href="#">▶ View</a> <a href="#">▶ Select</a> |
|               |               |            |            |      |   |
|               |               |            |            |      |   |

All items that have been matched will be listed view each item and then select the one that the commission is to be reconciled against.

07 **Matched already** - the expectation has already been matched to another client and then also trying to match to this one.



**Commissions data manager**

▶ Test for exceptions  
◀ Return to list

Data received | Match | Splits

EDI provider ID: 110460 [▶ Create a new provider link](#)

Matched provider: SCOW Scottish Widows  
Agency number: A0173434 [▶ Create a new agency](#)

Matched firm: n/a Not detected  
Matched adviser: n/a Not detected  
Surname / initial: SAMPSON P SAMPSON, P  
Company name: \_\_\_\_\_  
Scheme name: \_\_\_\_\_  
Product type: \_\_\_\_\_

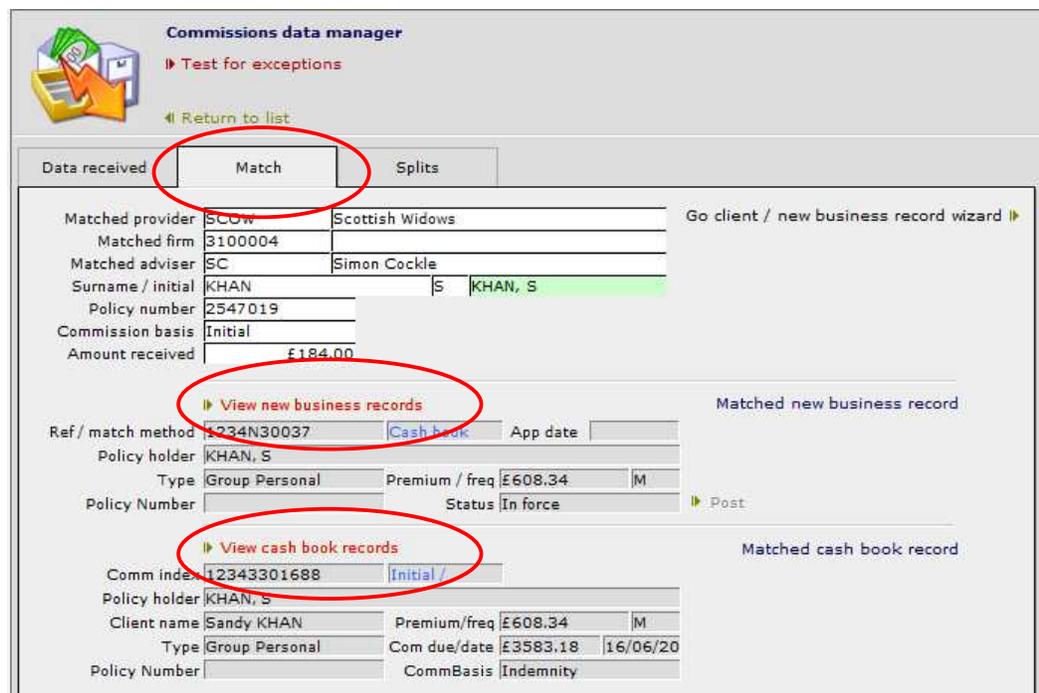
EDI reference type: Policy number Scheme no: \_\_\_\_\_  
Policy number: 5741620 Member no: \_\_\_\_\_  
Premium / freq: £0.00 M  
Commission basis: Renewal Pay mthd: Reconcile  
Payment reason: Standard Due: 21/10/2004  
Amount received: £0.20 Received: 21/10/2004

[▶ Set manual](#)

Status: Multi tran

|                   |           |
|-------------------|-----------|
| Provider          | Match     |
| Agency            | _____     |
| Pymnt method      | Reconcile |
| Surname           | Ok        |
| No match          | Ok        |
| Policy number     | Match     |
| Initial / surname | Match     |
| Initial / soundex | Match     |
| Surname only      | Match     |
| Soundex only      | Match     |
| Multi transaction | Ex ▶      |
| Policy no match   | Ok ▶      |
| Rec. tolerance    | Ok ▶      |
| Large case        | Ok ▶      |
| Policy status     | Ok ▶      |
| Comm withhold     | Ok ▶      |

It shows here as a 'Multi transaction'. This can happen if clients leave commission statements in the EDI area without processing or archiving them.



**Commissions data manager**

▶ Test for exceptions  
◀ Return to list

Data received | Match | Splits

Matched provider: SCOW Scottish Widows [Go client / new business record wizard ▶](#)  
Matched firm: 3100004  
Matched adviser: SC Simon Cockle  
Surname / initial: KHAN S KHAN, S  
Policy number: 2547019  
Commission basis: Initial  
Amount received: £184.00

[▶ View new business records](#) Matched new business record

Ref / match method: 1234N30037 [Cash book](#) App date: \_\_\_\_\_  
Policy holder: KHAN, S  
Type: Group Personal Premium / freq: £608.34 M  
Policy Number: \_\_\_\_\_ Status: In force [▶ Post](#)

[▶ View cash book records](#) Matched cash book record

Comm index: 12343301688 [Initial /](#)  
Policy holder: KHAN, S  
Client name: Sandy KHAN Premium/freq: £608.34 M  
Type: Group Personal Com due/date: £3583.18 16/06/20  
Policy Number: \_\_\_\_\_ CommBasis: Indemnity

Using the Match tab, use the [View new business records](#) and select the correct holding.

**Commissions data manager**

[Test for exceptions](#)

[Return to list](#)

Data received | Match | Splits

Received data [Go client / new business record wizard](#)

|                   |         |                 |
|-------------------|---------|-----------------|
| Matched provider  | SCOW    | Scottish Widows |
| Matched firm      | 3100004 |                 |
| Matched adviser   | SC      | Simon Cockle    |
| Surname / initial | KHAN    | S   KHAN, S     |
| Policy number     | 2547019 |                 |
| Commission basis  | Initial |                 |
| Amount received   | £184.00 |                 |

[View policy number matches](#)

[View initial / surname matches](#)

[View surname matches](#)

[View soundex matches](#)

[View all matches](#)

| Policy holder | Policy number | Consultant   | GLOBPolicy type        | Premium Freq |   |
|---------------|---------------|--------------|------------------------|--------------|---|
| KHAN, S       |               | Kieran McGee | Group Personal Pension | 608.34 M     | <a href="#">View</a> <a href="#">Select</a> |
|               |               |              |                        |              |   |
|               |               |              |                        |              |   |
|               |               |              |                        |              |   |
|               |               |              |                        |              |   |

Once this has been done, use the [View cash book records](#) to select the appropriate commission expectation.

**Commissions data manager**

[Test for exceptions](#)

[Return to list](#)

Data received | Match | Splits

Received data [Go client / new business record wizard](#)

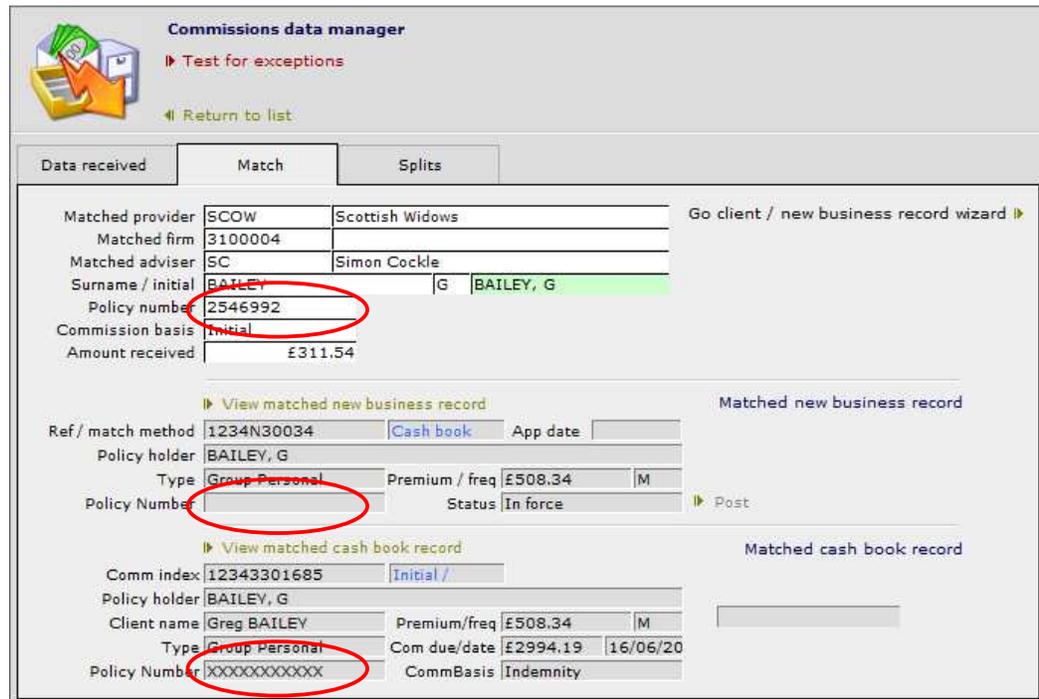
|                   |         |                 |
|-------------------|---------|-----------------|
| Matched provider  | SCOW    | Scottish Widows |
| Matched firm      | 3100004 |                 |
| Matched adviser   | SC      | Simon Cockle    |
| Surname / initial | KHAN    | S   KHAN, S     |
| Policy number     | 2547019 |                 |
| Commission basis  | Initial |                 |
| Amount received   | £184.00 |                 |

[View all matches](#)

| Policy holder | Policy number | Consultant   | GLOBPolicy type       | Due Date          |   |
|---------------|---------------|--------------|-----------------------|-------------------|---|
| KHAN, S       |               | Kieran McGee | Group Personal Pensio | 6,583.18 16/06/06 | <a href="#">View</a> <a href="#">Select</a> |
|               |               |              |                       |                   |   |
|               |               |              |                       |                   |   |
|               |               |              |                       |                   |   |
|               |               |              |                       |                   |   |

The exception is now completed.

**08 Policy number miss-match** - the policy number on CCD does not match that on the EDI receipt.



**Commissions data manager**

▶ Test for exceptions  
◀ Return to list

Data received | Match | Splits

Matched provider: SCOW | Scottish Widows | Go client / new business record wizard ▶  
 Matched firm: 3100004  
 Matched adviser: SC | Simon Cockle  
 Surname / initial: BAILEY | G | BAILEY, G  
 Policy number: 2546992  
 Commission basis: Initial  
 Amount received: £311.54

▶ View matched new business record | Matched new business record

Ref / match method: 1234N30034 | Cash book | App date:   
 Policy holder: BAILEY, G  
 Type: Group Personal | Premium / freq: £508.34 | M  
 Policy Number:   
 Status: In force | Post ▶

▶ View matched cash book record | Matched cash book record

Comm index: 12343301685 | Initial /   
 Policy holder: BAILEY, G  
 Client name: Greg BAILEY | Premium/freq: £508.34 | M  
 Type: Group Personal | Com due/date: £2994.19 | 16/06/20  
 Policy Number: XXXXXXXXXXXX | CommBasis: Indemnity

To remove this item from the exceptions list:

- Locate the policy details in the Clients module of CCD and correct the policy number either in the holding and the commission expectation, then come back here to test for exceptions
- Add the policy number into the EDI receipt to create a match (using the [▶ View matched new business record](#) and [▶ View matched cash book record](#)).

When adding the policy number into the matched cash book record:

Return

|                          |                        |
|--------------------------|------------------------|
| Transaction              | Initial - Indemnity    |
| Policy holder            | BAILEY, G              |
| Provider                 | Scottish Widows        |
| Policy / contract number | <input type="text"/>   |
| Personal / Occupational  | Corporate              |
| Product basis            | Retirement             |
| Product type             | Group Personal Pension |
| Firm                     |                        |
| Premium / freq           | £508.34 M              |

|                          |  |        |          |
|--------------------------|--|--------|----------|
| Total transaction        |  | Posted | 2,994.19 |
| Gross receipt            | Network <input type="text"/>                   |        | 2,994.19 |
| Balance after Introducer | Introducer <input type="text"/>                |        | 2,994.19 |
|                          | Consultant 1 Kieran McGee <input type="text"/> |        |          |
|                          | Consultant 2 <input type="text"/>              |        |          |
|                          | Consultant 3 <input type="text"/>              |        |          |
|                          | Consultant 4 <input type="text"/>              |        |          |
|                          | Consultant 5 <input type="text"/>              |        |          |
| Balance net of splits    |  |        | 2,994.19 |
| Total to VAT             |  |        |          |

- Set to manual.

09 **Reconciliation Tolerance** - the amount received is outside of the tolerances set.

Commissions data manager

Test for exceptions

Return to list

| Data received      | Match         | Splits                                     |
|--------------------|---------------|--|
| EDI provider ID    | 110460        | <a href="#">Create a new provider link</a> |
| Matched provider   | SCOW          | Scottish Widows                            |
| Agency number      | A0161829      | <a href="#">Create a new agency</a>        |
| Matched firm       | n/a           | Not detected                               |
| Matched adviser    | n/a           | Not detected                               |
| Surname / initial  | BHARMAL       | N BHARMAL, N                               |
| Company name       |               |  |
| Scheme name        |               |  |
| Product type       |               |  |
| EDI reference type | Policy number | Scheme no                                  |
|                    | 2238819       | Member no                                  |
| Premium / freq     | £0.00   S     |  |
| Commission basis   | SP            | Pay mthd Reconcile                         |
| Payment reason     | Standard      | Due 21/10/2004                             |
| Amount received    | £196.48       | Received 21/10/2004                        |

|                   |           |
|-------------------|-----------|
| Status            | TOLERANCE |
| Provider          | Match     |
| Agency            |           |
| Pymnt method      | Reconcile |
| Surname           | Ok        |
| No match          | Ok        |
| Policy number     | None      |
| Initial / surname | Match     |
| Initial / soundex | Match     |
| Surname only      | Match     |
| Soundex only      | Match     |
| Multi transaction | Ok        |
| Policy no match   | Ok        |
| Rec. tolerance    | Exc. !    |
| Large case        | Ok        |
| Policy status     | Ok        |
| Comm withhold     | Ok        |

[Set manual](#)

To view the expectation go to the Match tab.

| Data received                                    | Match          | Splits                          |
|--|----------------|---------------------------------|
| Matched provider                                 | SCOW           | Scottish Widows                 |
| Matched firm                                     | n/a            | Not detected                    |
| Matched adviser                                  | n/a            | Not detected                    |
| Surname / initial                                | BHARMAL        | N   BHARMAL, N                  |
| Policy number                                    | 2238819        |                                 |
| Commission basis                                 | SP             |                                 |
| Amount received                                  | £196.48        |                                 |
| <a href="#">View matched new business record</a> |                |                                 |
| Ref / match method                               | 1234N30023     | Cash book                       |
| Policy holder                                    | BHARMAL, N     |                                 |
| Type   | Group Personal | Premium / freq £125.00   M      |
| Policy Number                                    | 2238819        | Status In force                 |
| <a href="#">View matched cash book record</a>    |                |                                 |
| Comm index                                       | 12343301674    | Policy number                   |
| Policy holder                                    | BHARMAL, N     |                                 |
| Client name                                      | Neil BHARMAL   | Premium/freq £125.00   M        |
| Type   | Group Personal | Com due/date £589.28   16/06/20 |
| Policy Number                                    | 2238819        | CommBasis Indemnity             |

Commission Received  
£196.48  
commission expected £589.28.

Tolerances are pre set in the Setup module.

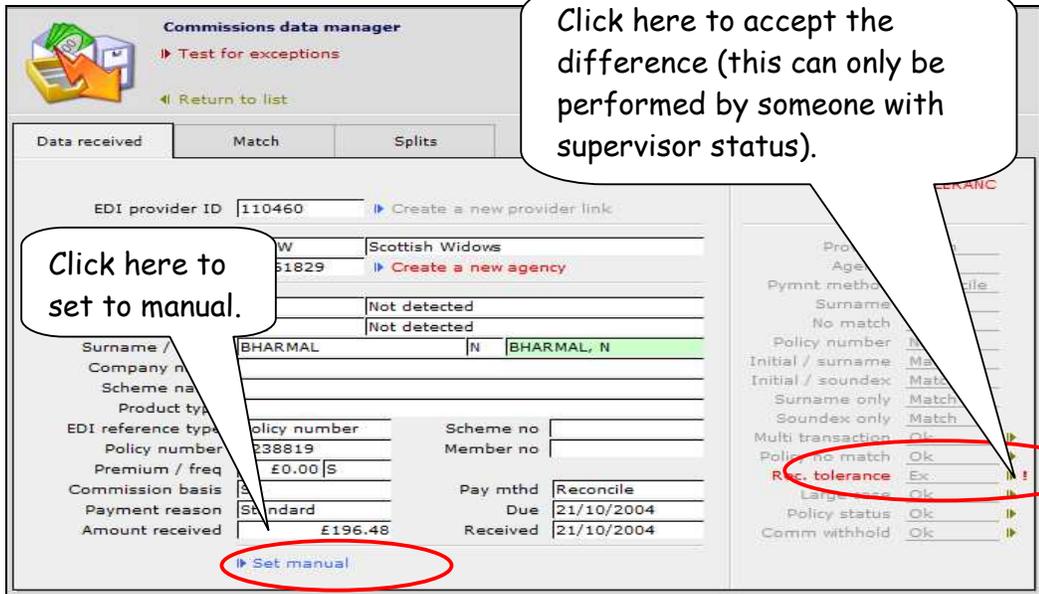
**Commission tolerances**

Apply tolerance settings during commission reconciliation  [More](#)

|                         |     |
|-------------------------|-----|
| Tolerance minimum value | 100 |
| Tolerance %             | 5%  |
| Tolerance maximum value | 100 |

From the tolerances above you can see that up to 5% of the expectation or a maximum of £100.00 difference would be classed as within tolerance. The difference in the example is £392.80 and 5% of the expectation is £29.46 so the difference in the example is outside of tolerance.

If the exception has been caused by incorrect entry of the commission expectation then any person with supervisor status on CCD will be able to confirm that they are happy to proceed with reconciling this piece of commission even though it is outside of tolerances. To do this go back to the front page for this exception and click onto the exclamation mark.



**Commissions data manager**

▶ Test for exceptions  
◀ Return to list

Data received | Match | Splits

EDI provider ID: 110460 ▶ Create a new provider link

Matched provider: SCOW Scottish Widows  
Agency number: A0168974 ▶ Create a new agency

Matched firm: n/a Not detected  
Matched adviser: n/a Not detected

Surname / initial: BHARMAL, N

Company name: [Empty]  
Scheme name: [Empty]  
Product type: [Empty]

EDI reference type: Policy number: 238819 Scheme no: [Empty]  
Member no: [Empty]

Premium / freq: £0.00[S]  
Commission basis: Standard Pay mthd: Reconcile  
Due: 21/10/2004  
Payment reason: Standard  
Amount received: £196.48 Received: 21/10/2004

▶ Set manual

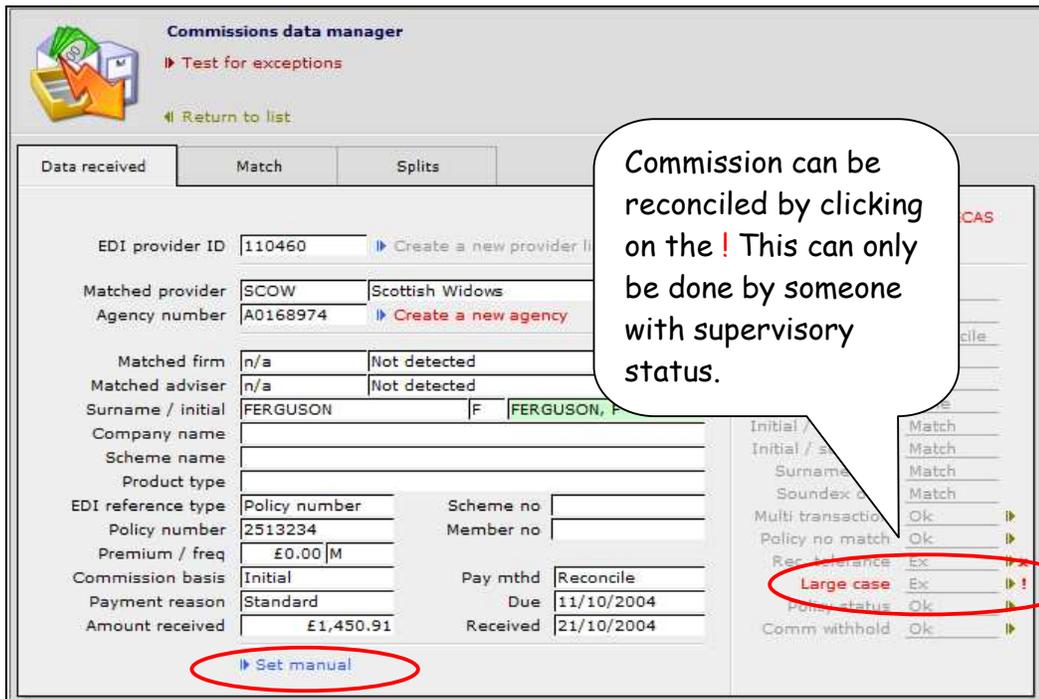
Rec. tolerance Ex !

Click here to set to manual.

Click here to accept the difference (this can only be performed by someone with supervisor status).

If this is an error by the provider or this is a part payment of an expectation then this item must be set to manual and dealt with in the commission area of the Admin module.

- 10 **Large Case Check** - the amount received is over the limit that has been set either for the company or the individual advisers.



**Commissions data manager**

▶ Test for exceptions  
◀ Return to list

Data received | Match | Splits

EDI provider ID: 110460 ▶ Create a new provider link

Matched provider: SCOW Scottish Widows  
Agency number: A0168974 ▶ Create a new agency

Matched firm: n/a Not detected  
Matched adviser: n/a Not detected

Surname / initial: FERGUSON, F

Company name: [Empty]  
Scheme name: [Empty]  
Product type: [Empty]

EDI reference type: Policy number: 2513234 Scheme no: [Empty]  
Member no: [Empty]

Premium / freq: £0.00[M]  
Commission basis: Initial Pay mthd: Reconcile  
Due: 11/10/2004  
Payment reason: Standard  
Amount received: £1,450.91 Received: 21/10/2004

▶ Set manual

Large case Ex !

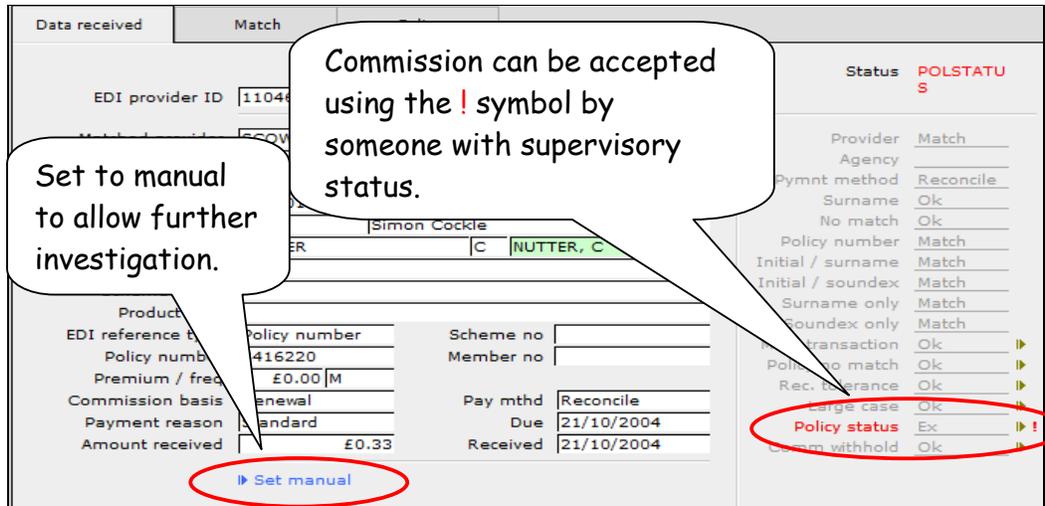
Commission can be reconciled by clicking on the ! This can only be done by someone with supervisory status.

Large case check is set in Setup > Technical > Commissions

EDI commission large case check limit

In the example the large case check is set to £1400 and the commission received is £1450.91.

- 11 **Policy Status** - the policy on CCD is not set to Proposed, Underwriting or In force.



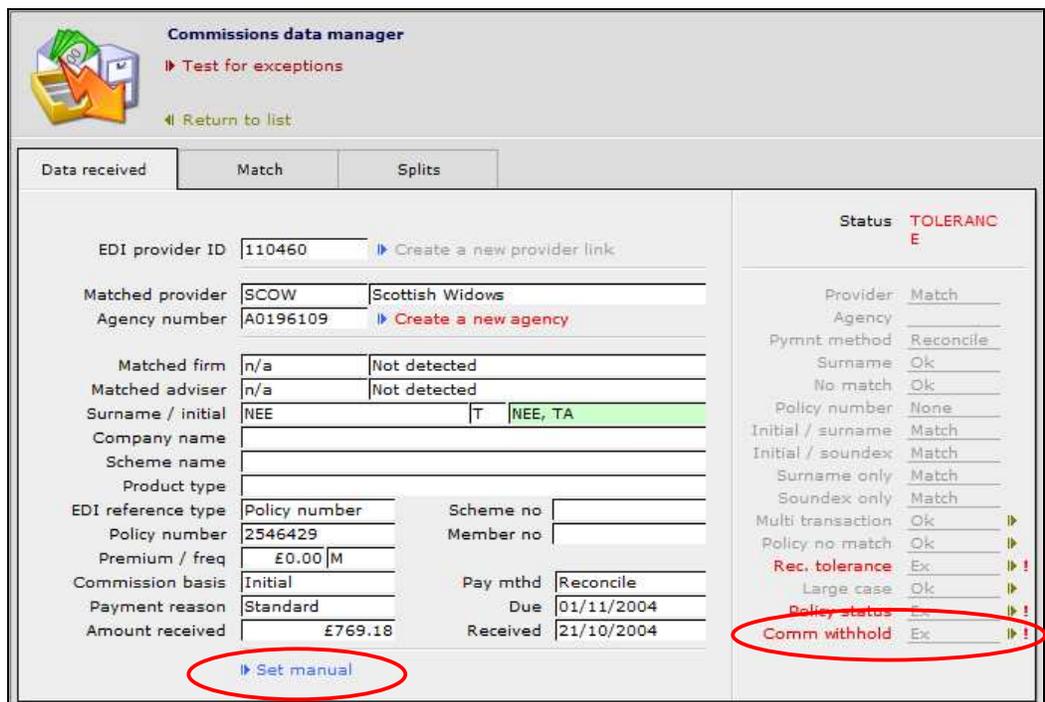
Commission can be accepted using the ! symbol by someone with supervisory status.

Set to manual to allow further investigation.

► Set manual

| Data received      |               | Match             |            | Status            |       |
|--------------------|---------------|-------------------|------------|-------------------|-------|
| EDI provider ID    | 11044         | Match             |            | POLSTATU          | S     |
| Matched provider   | SCOV          | Provider          | Match      | Agency            |       |
| Matched firm       | Simon Cockle  | Pymnt method      | Reconcile  | Surname           | Ok    |
| Matched adviser    | ER            | No match          | Ok         | Policy number     | Match |
| Surname / initial  | C NUTTER, C   | Initial / surname | Match      | Initial / soundex | Match |
| Company name       |               | Surname only      | Match      | Soundex only      | Match |
| Scheme name        |               | Multi transaction | Ok         | Policy no match   | Ok    |
| Product type       |               | Rec. tolerance    | Ok         | Large case        | Ok    |
| EDI reference type | Policy number | Scheme no         |            | Policy status     | Ex    |
| Policy number      | 416220        | Member no         |            | Comm withheld     | Ok    |
| Premium / freq     | £0.00   M     | Pay mthd          | Reconcile  |                   |       |
| Commission basis   | Renewal       | Due               | 21/10/2004 |                   |       |
| Payment reason     | Standard      | Received          | 21/10/2004 |                   |       |
| Amount received    | £0.33         |                   |            |                   |       |

- 12 **Commission Withheld** - the policy status is at 'Comm withhold'.



Commissions data manager

► Test for exceptions

◄ Return to list

► Set manual

| Data received      |               | Match             |            | Status            |       |
|--------------------|---------------|-------------------|------------|-------------------|-------|
| EDI provider ID    | 110460        | Match             |            | TOLERANC          | E     |
| Matched provider   | SCOW          | Provider          | Match      | Agency            |       |
| Agency number      | A0196109      | Pymnt method      | Reconcile  | Surname           | Ok    |
| Matched firm       | n/a           | No match          | Ok         | Policy number     | None  |
| Matched adviser    | n/a           | Initial / surname | Match      | Initial / soundex | Match |
| Surname / initial  | NEE           | Surname only      | Match      | Soundex only      | Match |
| Company name       |               | Multi transaction | Ok         | Policy no match   | Ok    |
| Scheme name        |               | Rec. tolerance    | Ex         | Large case        | Ok    |
| Product type       |               | Policy status     | Ex         | Comm withheld     | Ex    |
| EDI reference type | Policy number | Scheme no         |            |                   |       |
| Policy number      | 2546429       | Member no         |            |                   |       |
| Premium / freq     | £0.00   M     | Pay mthd          | Reconcile  |                   |       |
| Commission basis   | Initial       | Due               | 01/11/2004 |                   |       |
| Payment reason     | Standard      | Received          | 21/10/2004 |                   |       |
| Amount received    | £769.18       |                   |            |                   |       |

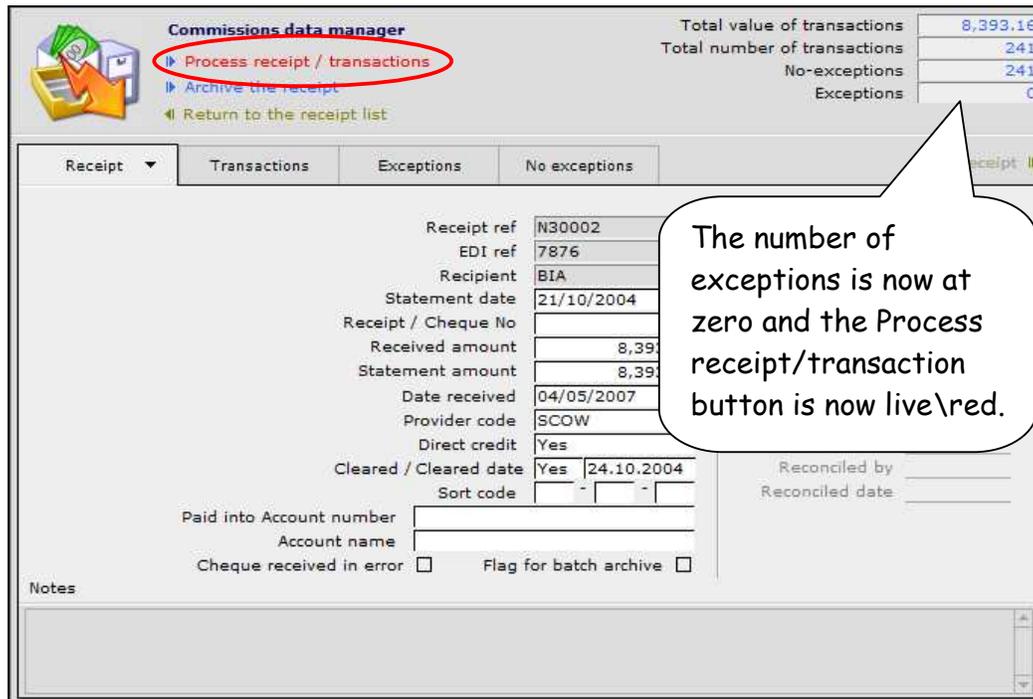
This exception will only appear where the policy status is set to Comm Hold.

Comm hold as a policy status is be used where the compliance/administration of a case is incomplete and the company are withholding payment of commission to an adviser until all compliance/administration requirements have been met. A supervisor can override the exception by clicking into the ! but best practice is to set to manual for further investigation.

## 5. COMPLETING YOUR EDI COMMISSION STATEMENT

When your receipt is in EDI there will be a box detailing the number of exceptions there are. As you work through the exceptions and either resolve the issue or mark the commission item for manual reconciliation the number of exceptions outstanding will reduce. Once the exceptions outstanding has reached zero you can complete your EDI statement.

Once this has been completed, navigate back to the Receipt tab and you will see the following:



**Commissions data manager**

- ▶ Process receipt / transactions
- ▶ Archive the receipt
- ◀ Return to the receipt list

|                              |          |
|------------------------------|----------|
| Total value of transactions  | 8,393.16 |
| Total number of transactions | 241      |
| No-exceptions                | 241      |
| Exceptions                   | 0        |

Receipt ▼ Transactions Exceptions No exceptions

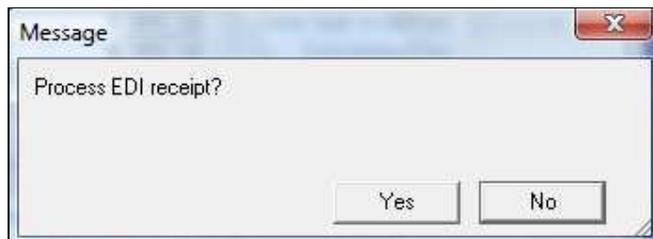
Receipt ref: N30002  
 EDI ref: 7876  
 Recipient: BIA  
 Statement date: 21/10/2004  
 Receipt / Cheque No:   
 Received amount: 8,393.16  
 Statement amount: 8,393.16  
 Date received: 04/05/2007  
 Provider code: SCOW  
 Direct credit: Yes  
 Cleared / Cleared date: Yes 24.10.2004  
 Sort code: - - -  
 Paid into Account number:   
 Account name:   
 Cheque received in error:  Flag for batch archive:

Notes

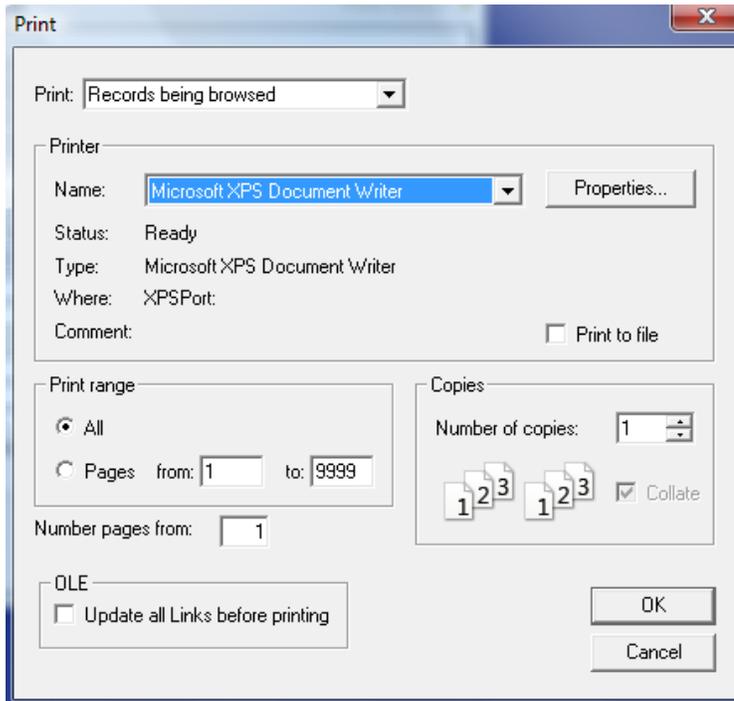
Reconciled by:   
 Reconciled date:   
 Reconciled by:   
 Reconciled date:

The number of exceptions is now at zero and the Process receipt/transaction button is now live \red.

Once you click onto this Process receipt/transactions button, you will see this box:



Once you've clicked yes, the following print box will appear:



A report of all manual reconciliations will now be produced.

If you do not print here, you are not given a second chance to do so.

All EDI receipts are now moved to the receipt list in the commission area in the Admin module of CCD. To reconcile the receipt and move it to your settlements, process the receipt, all exceptions that have been marked as manual will appear in the reconcile tab of the receipt, while items that have been automatically reconciled in the EDI system will appear in the allocated tab. Complete the manual reconcile items and process the receipt in the normal way.

EDI receipts that have no exceptions will appear in the receipt list in the commissions section of the administration module, enter the receipt and click into the ▶ Process this receipt to move to your settlements.

## 6. FREQUENTLY ASKED QUESTIONS

There may be some questions to do with dealing with your electronic commission statements. We would recommend using your manual to help answer your questions. If you are unable to find the answer in here, please call out Support Desk on 01279 756061; they will be happy to help.

Here we have confirmed some of the most frequently asked questions and the answers to them:

### Question 1

We are getting electronic receipts from some providers, but not all of them. Why is this happening?

#### Answer

Some providers have a level of commission that must be met before they will start to send electronic statements. If you are not receiving your statements electronically, you will need to contact them to find out why.

### Question 2

Now that we have elected to have electronic commission statements, will we still receive paper copies?

#### Answer

It depends on the provider but generally no. However, most providers will continue to send paper copies if you contact them and request that they do so.

### Question 3

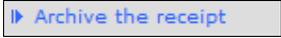
I appear to have been sent duplicate electronic statements and have dealt with one. How do I delete the duplicate?

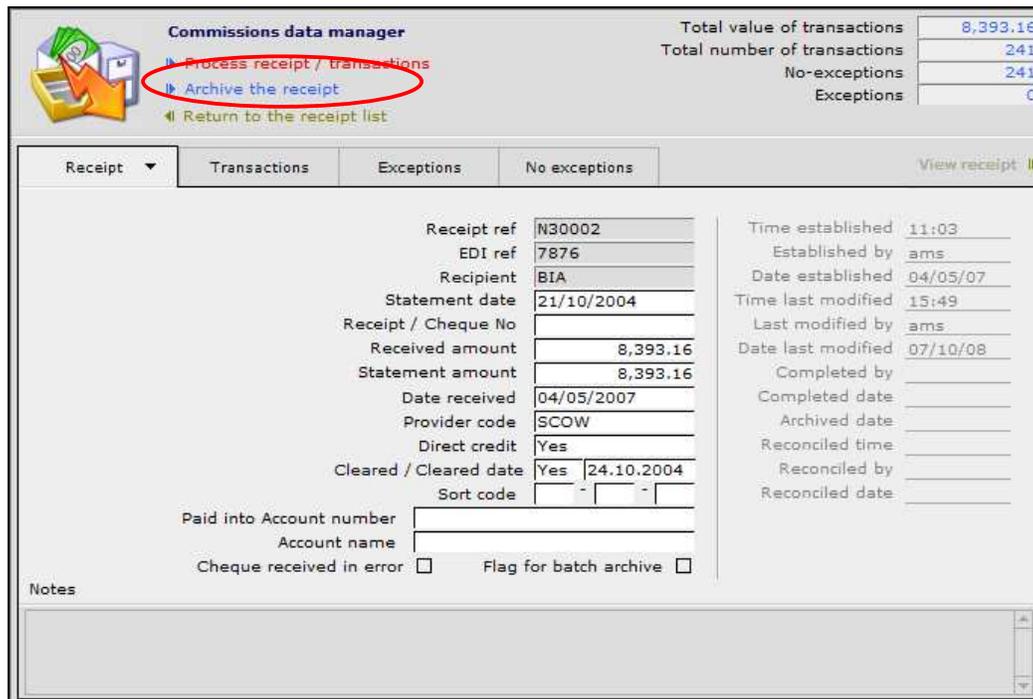
#### Answer

The answer to this question depends on what you have done to the duplicate before realising that it was a duplicate!

If you have realised that it was a duplicate whilst it is still in the commission wallet, then you can delete this by clicking on the 'dustbin' at the end of the line of the receipt.

If you have realised once you have moved the receipt from the commission wallet to CCD, then you will need to use the archive button.

This looks like this  and is found at the top of the page. This will remove the items from the receipt and then delete it.



**Commissions data manager**

Total value of transactions: 8,393.16  
 Total number of transactions: 241  
 No-exceptions: 241  
 Exceptions: 0

[Process receipt / transactions](#)  
[Archive the receipt](#)  
[Return to the receipt list](#)

Receipt ▼ | Transactions | Exceptions | No exceptions | View receipt ▶

|                          |                          |                        |                          |
|--------------------------|--------------------------|------------------------|--------------------------|
| Receipt ref              | N30002                   | Time established       | 11:03                    |
| EDI ref                  | 7876                     | Established by         | ams                      |
| Recipient                | BIA                      | Date established       | 04/05/07                 |
| Statement date           | 21/10/2004               | Time last modified     | 15:49                    |
| Receipt / Cheque No      |                          | Last modified by       | ams                      |
| Received amount          | 8,393.16                 | Date last modified     | 07/10/08                 |
| Statement amount         | 8,393.16                 | Completed by           |                          |
| Date received            | 04/05/2007               | Completed date         |                          |
| Provider code            | SCOW                     | Archived date          |                          |
| Direct credit            | Yes                      | Reconciled time        |                          |
| Cleared / Cleared date   | Yes   24.10.2004         | Reconciled by          |                          |
| Sort code                | - - -                    | Reconciled date        |                          |
| Paid into Account number |                          |                        |                          |
| Account name             |                          |                        |                          |
| Cheque received in error | <input type="checkbox"/> | Flag for batch archive | <input type="checkbox"/> |

Notes