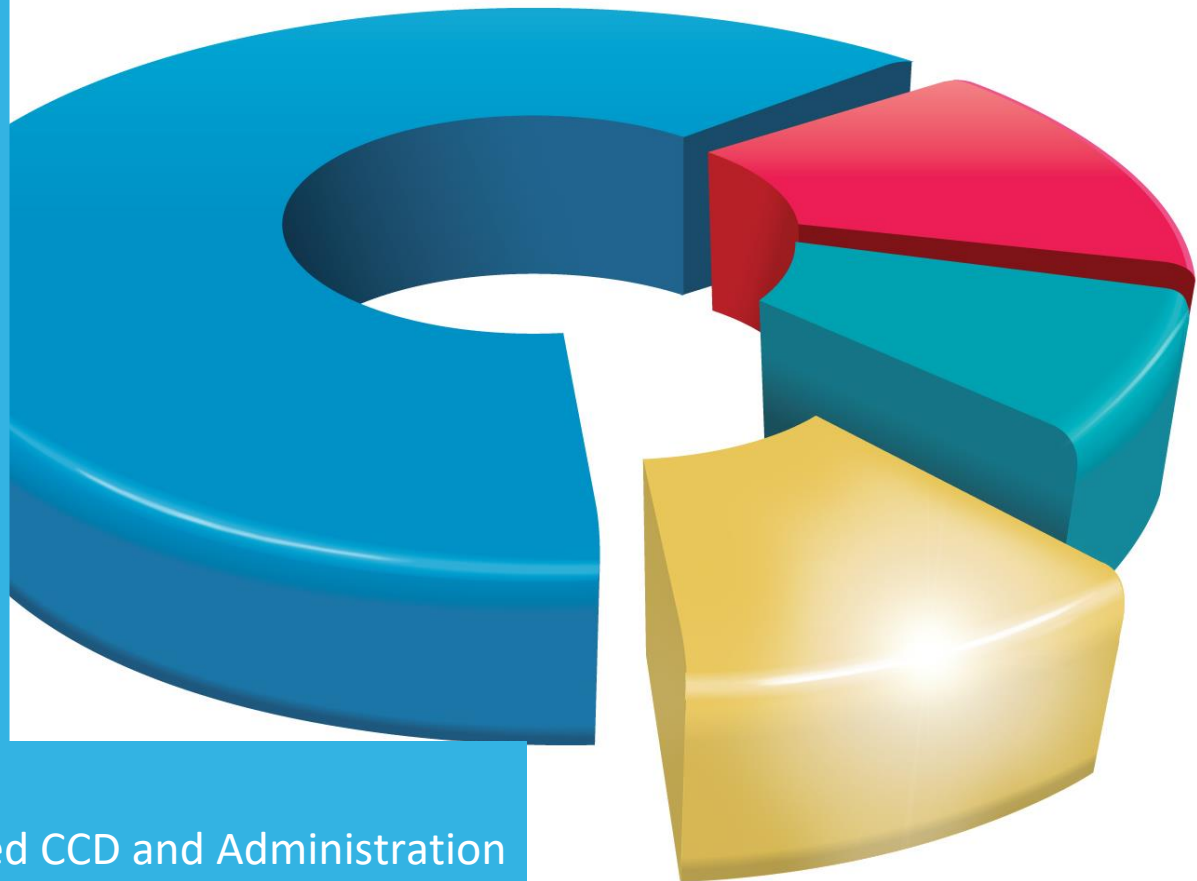


Client Care Desktop v4.2



Advanced CCD and Administration
Client Care Desktop V4.2

1

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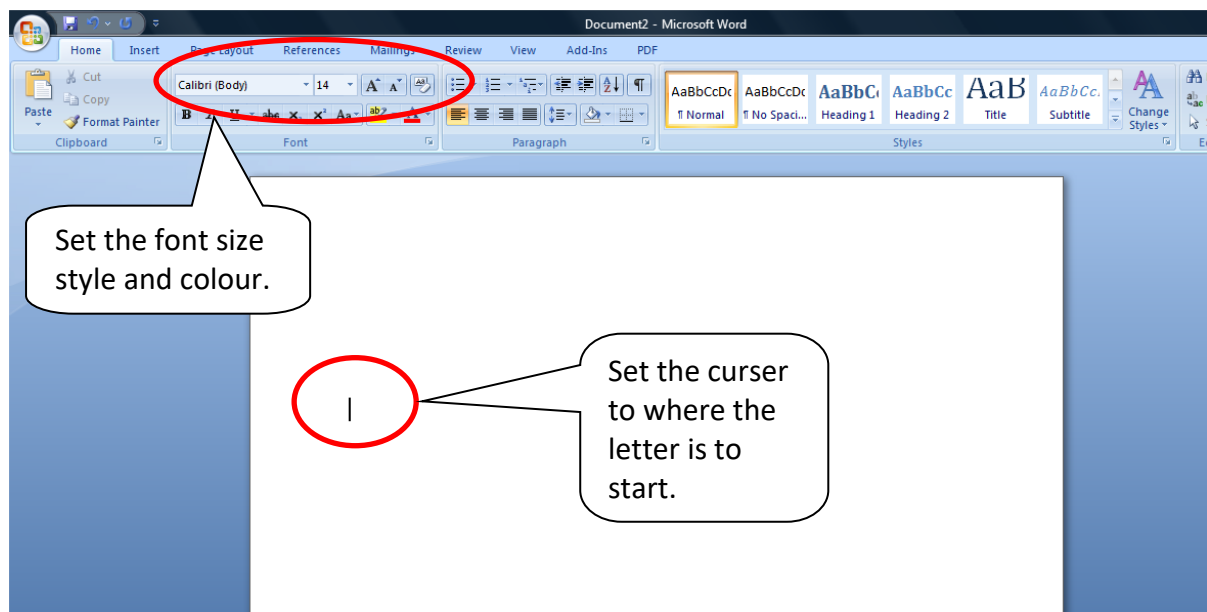
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1. GETTING READY TO USE STANDARD LETTERS

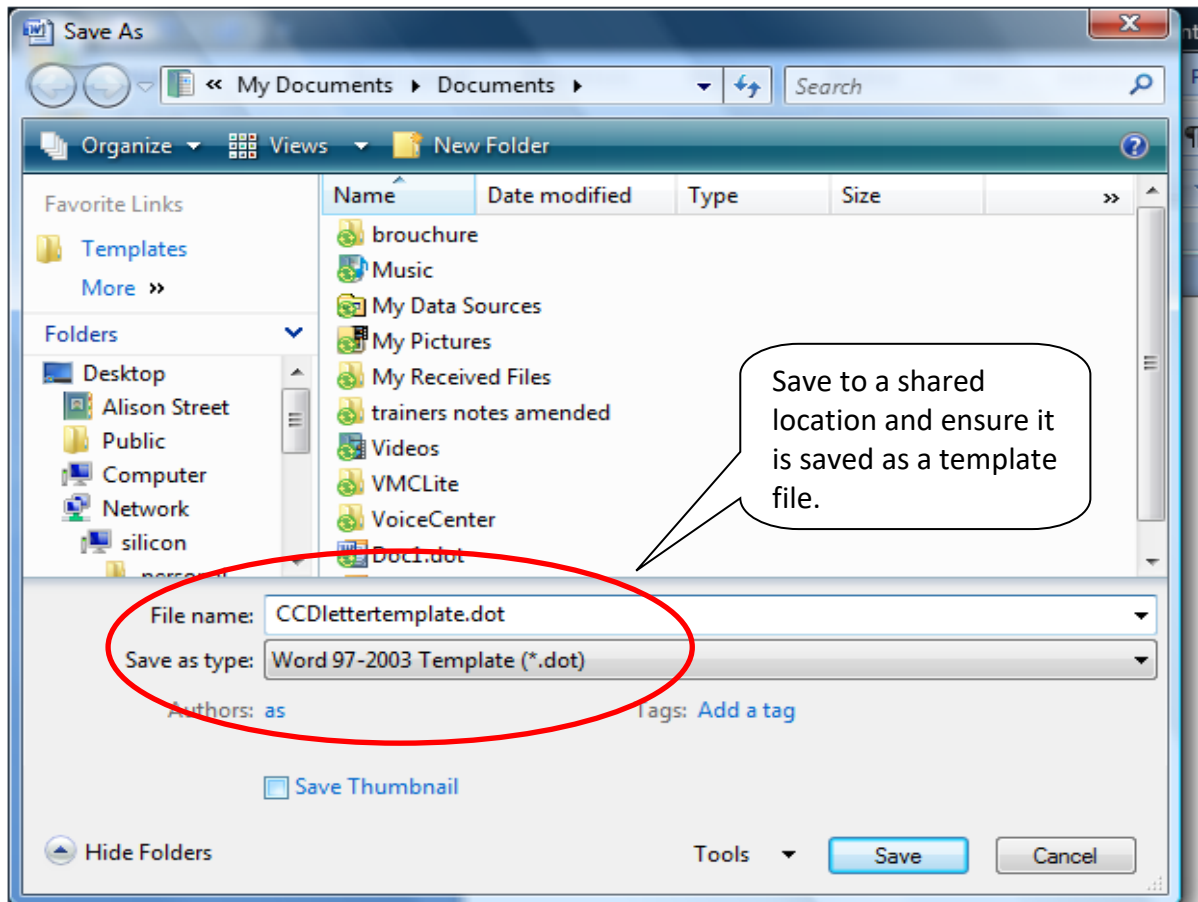
CCD will allow you to store copies of all your standard letters for ease of use and storage. Before you can use these letters some set up is required.

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

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



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

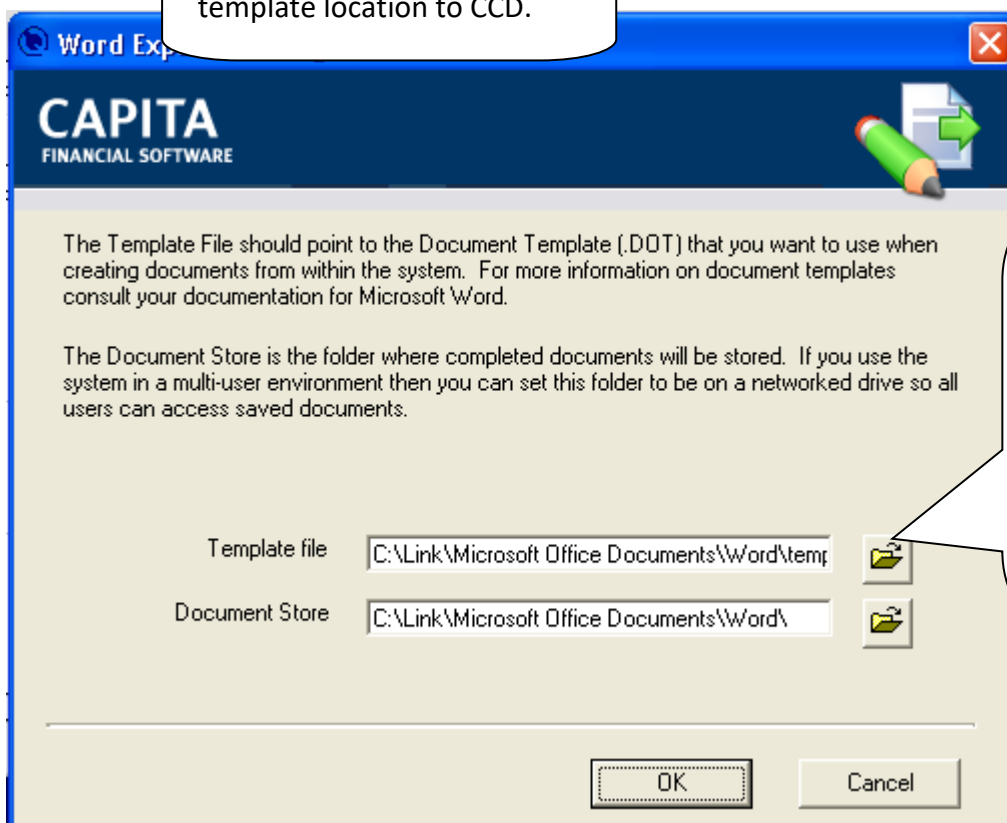
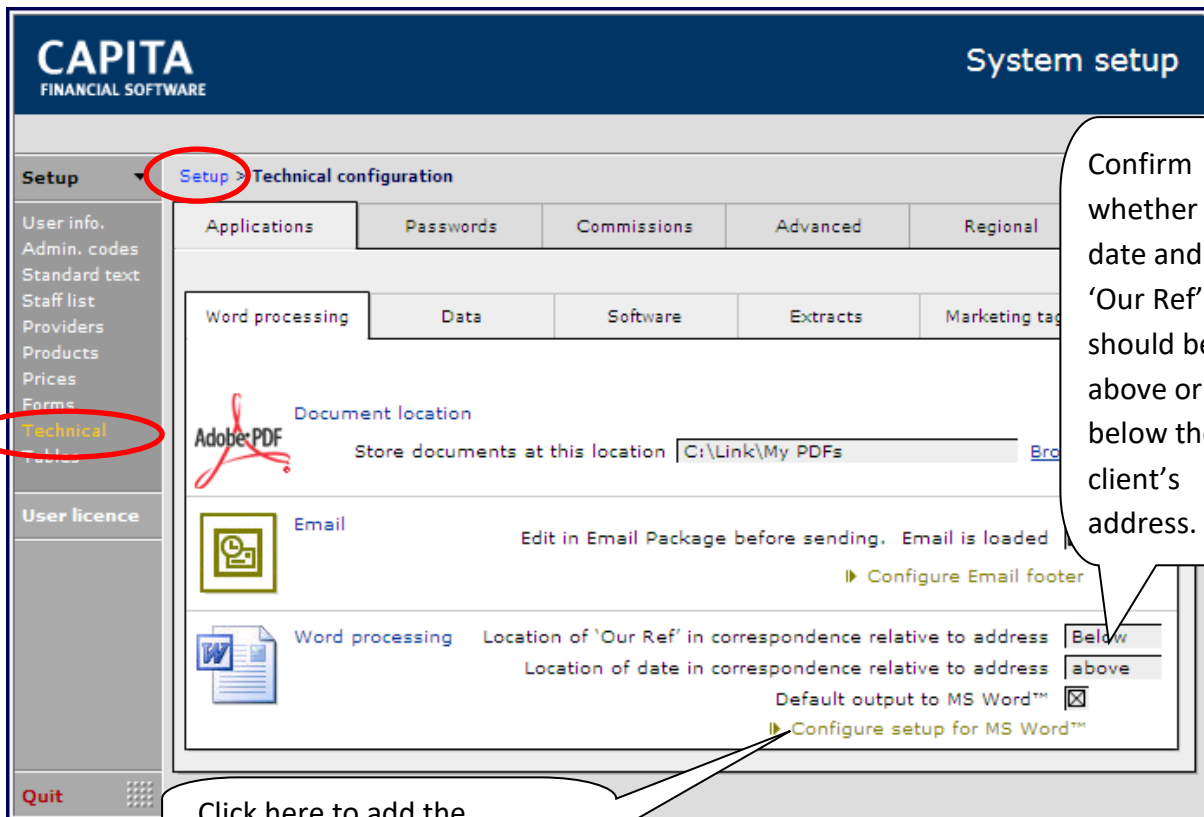


Open up CCD and go to the set-up module.



5

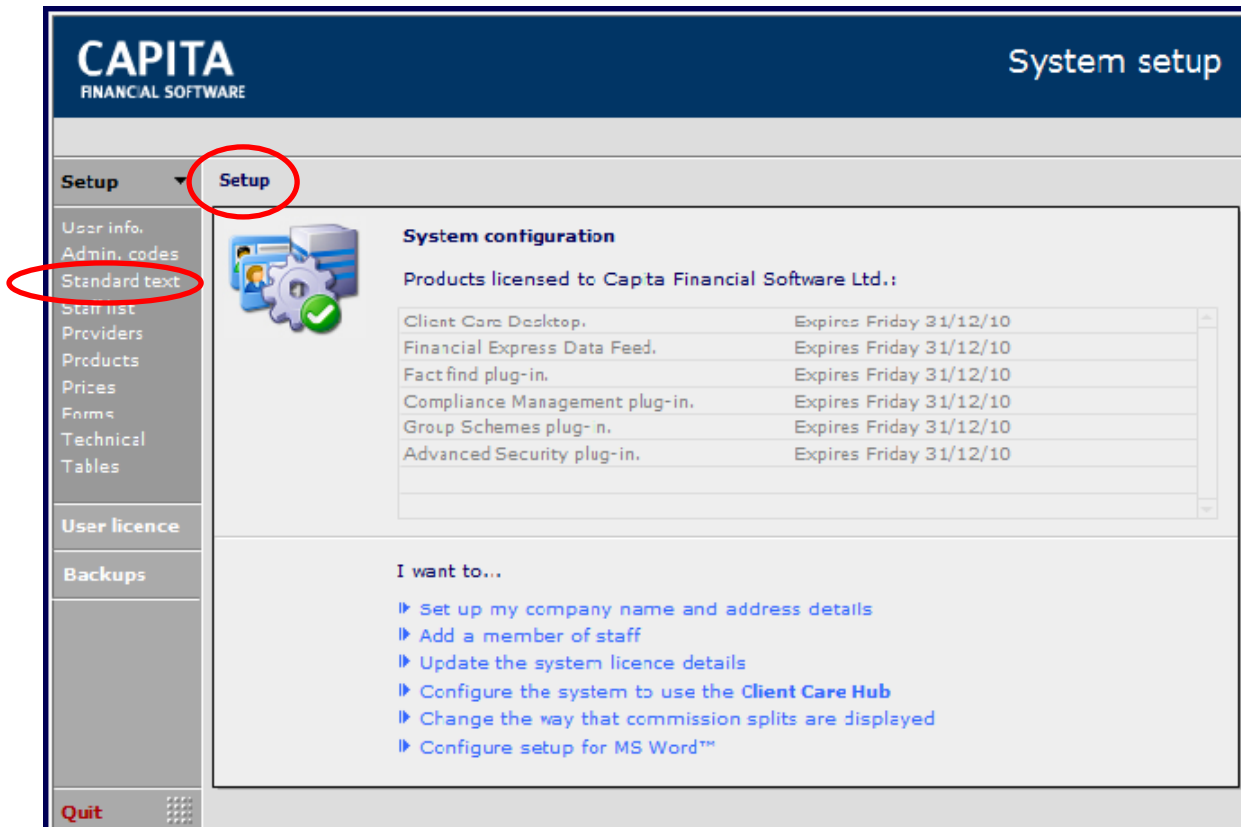
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The location of your letter template has now been saved to CCD.

2. STORING YOUR STANDARD LETTERS IN CCD

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



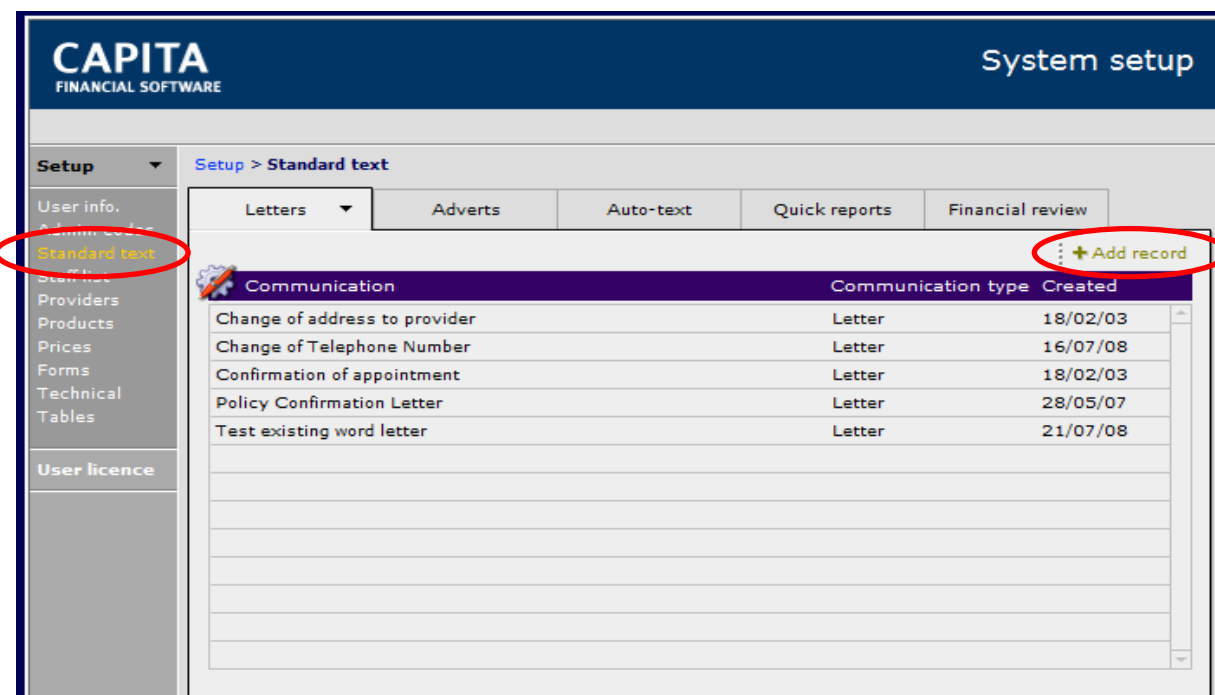
There are 4 ways to add letters to CCD

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

Remember when adding a letter to CCD you only need to start the letter after the salutation line, CCD will automatically address and date the letter, the correct salutation will be selected from information already added to the client's file.

2.1. Copy and Paste existing Word letters

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



CAPITA
FINANCIAL SOFTWARE

System setup

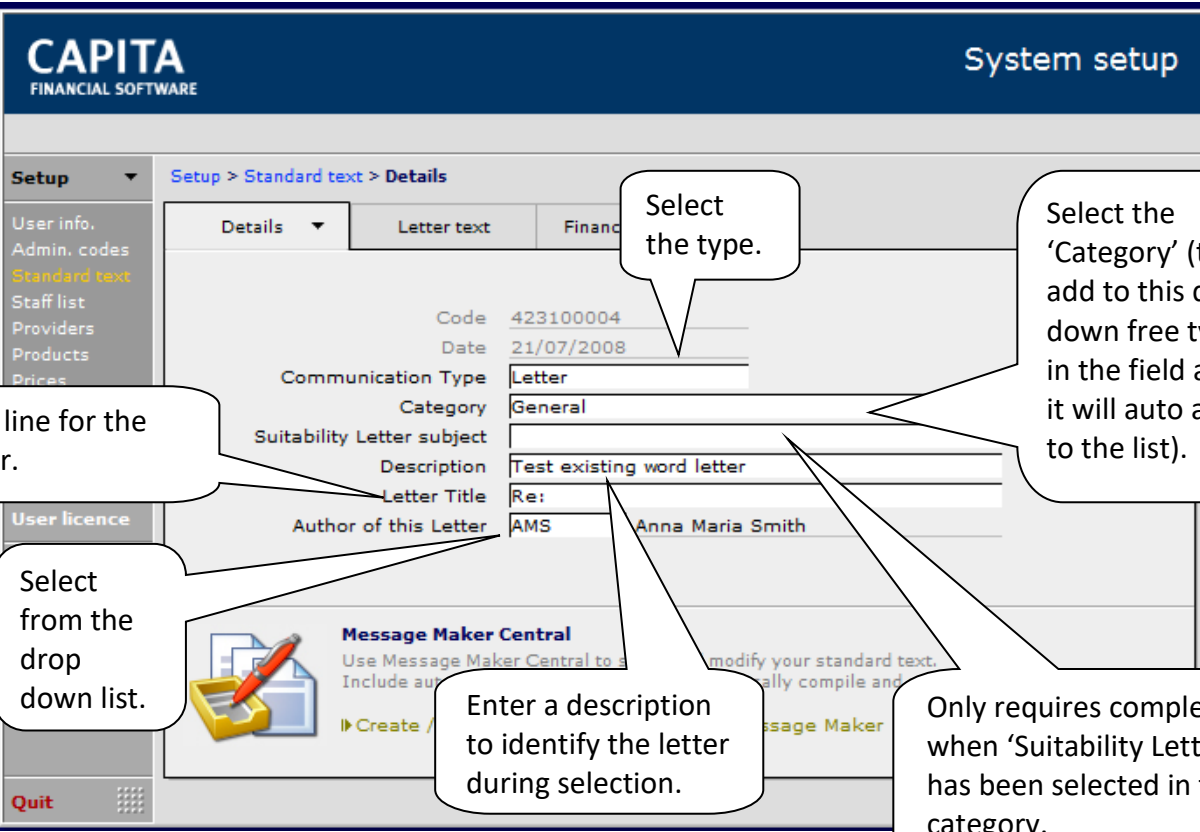
Setup > Standard text

Letters Adverts Auto-text Quick reports Financial review

Standard text

+ Add record

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



CAPITA
FINANCIAL SOFTWARE

System setup

Setup > Standard text > Details

Details Letter text Financial

Code 423100004

Date 21/07/2008

Communication Type Letter

Category General

Suitability Letter subject

Description Test existing word letter

Letter Title Re:

Author of this Letter AMS Anna Maria Smith

Message Maker Central
Use Message Maker Central to modify your standard text.
Include automatically compile and
Create / Message Maker

Quit

Callout boxes:

- Title line for the letter.
- Select the type.
- Select the 'Category' (to add to this drop down free type in the field and it will auto add to the list).
- Select from the drop down list.
- Enter a description to identify the letter during selection.
- Only requires completing when 'Suitability Letter' has been selected in the category.

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

CAPITA

FINANCIAL SOFTWARE

System setup

Setup

User info.

Admin. codes

Standard text

Staff list

Providers

Products

Prices

Forms

Technical

Tables

User licence

Quit

Setup > Standard text > Details > Letter text

Details

Letter text

Financial prom.

Re:

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

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

Next page

CAPITA

FINANCIAL SOFTWARE

System setup

Setup

User info.

Admin. codes

Standard text

Staff list

Providers

Products

Prices

Forms

Technical

Tables

User licence

Quit

Setup > Standard text > Details > Letter text

Details

Letter text

Financial prom.

Re:

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

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

Alison Street

Training Consultant – Quay Software

Capita Financial Software Ltd

Thorley Wash Business Centre,

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

Tel Direct: +44 (0) 1279 756086

Tel Mobile: +44 (0) 7929 007095

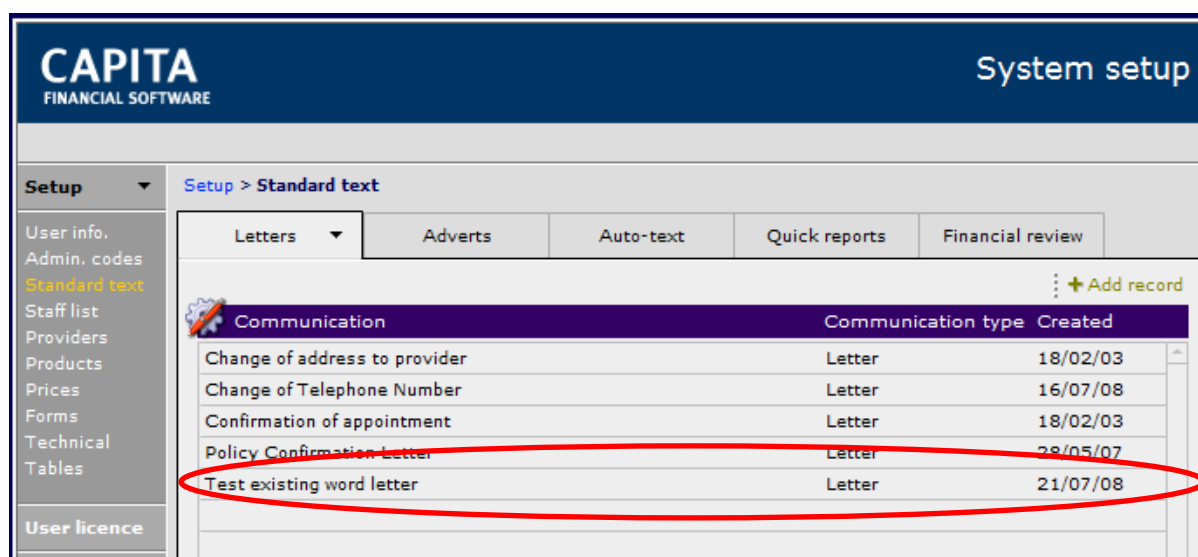
Fax: +44 (0) 1279 659748

Email: Alison.Street@quaysoftware.co.uk


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

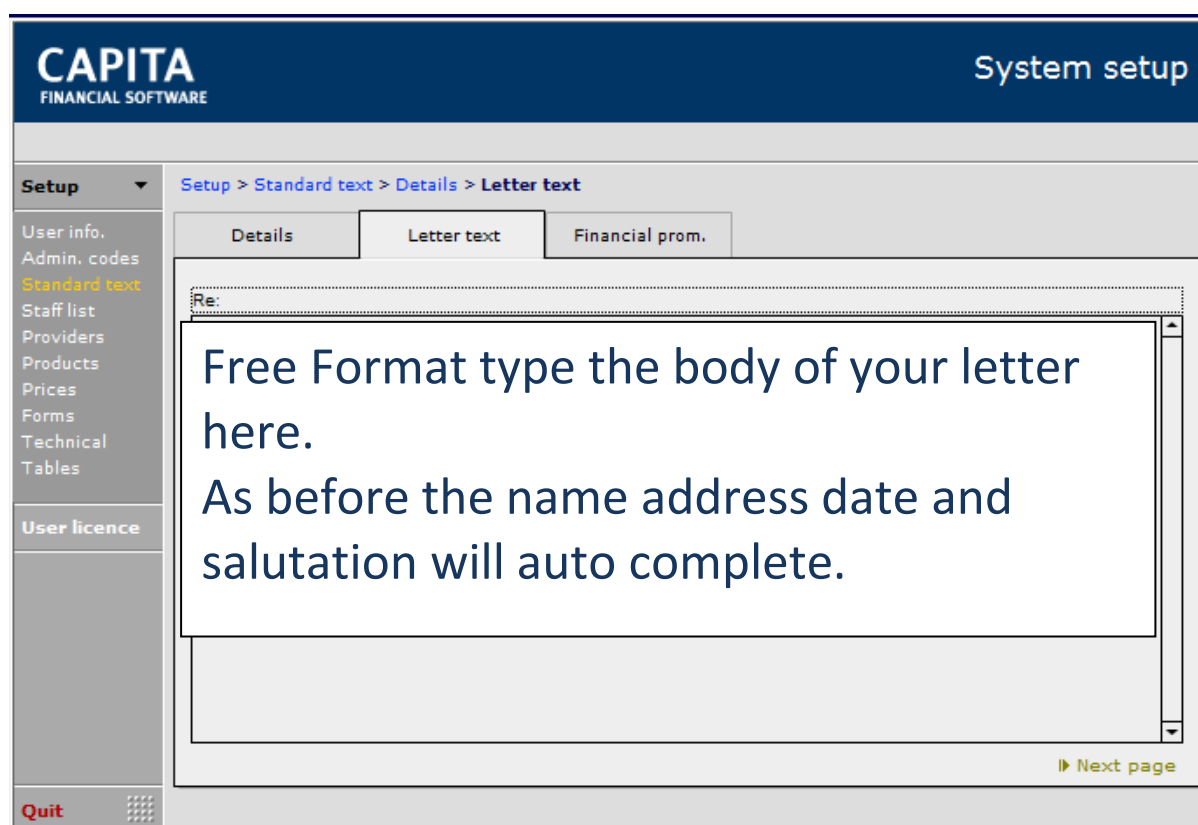
Next page

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

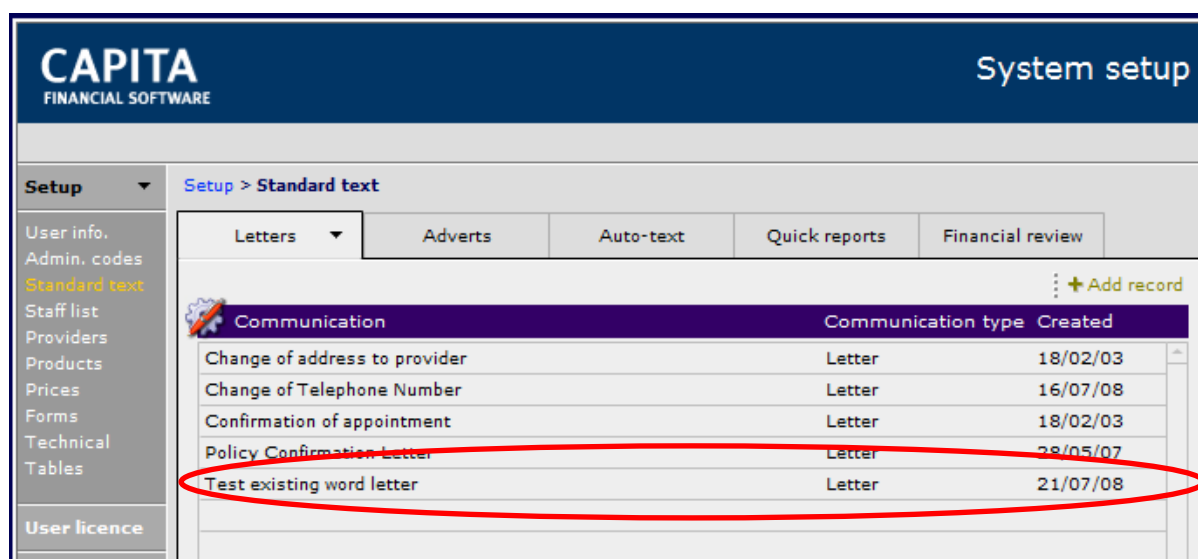


2.2. Type in a new standard letter

 **+ Add record** and complete the letter identification fields as above.

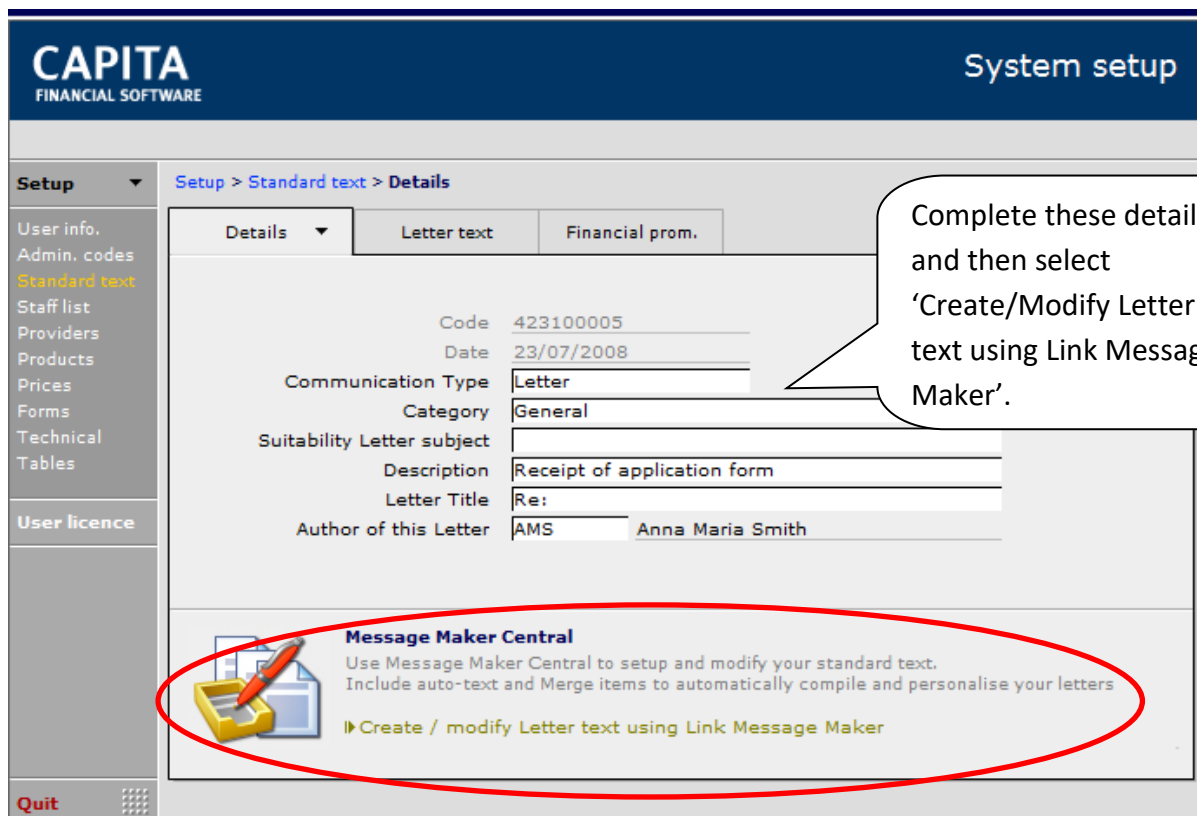


The letter is now available for selection in the clients/holdings module.



2.3 Using Message Maker to set up Standard Letters

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



CAPITA
FINANCIAL SOFTWARE

System setup

Setup > Standard text > Details

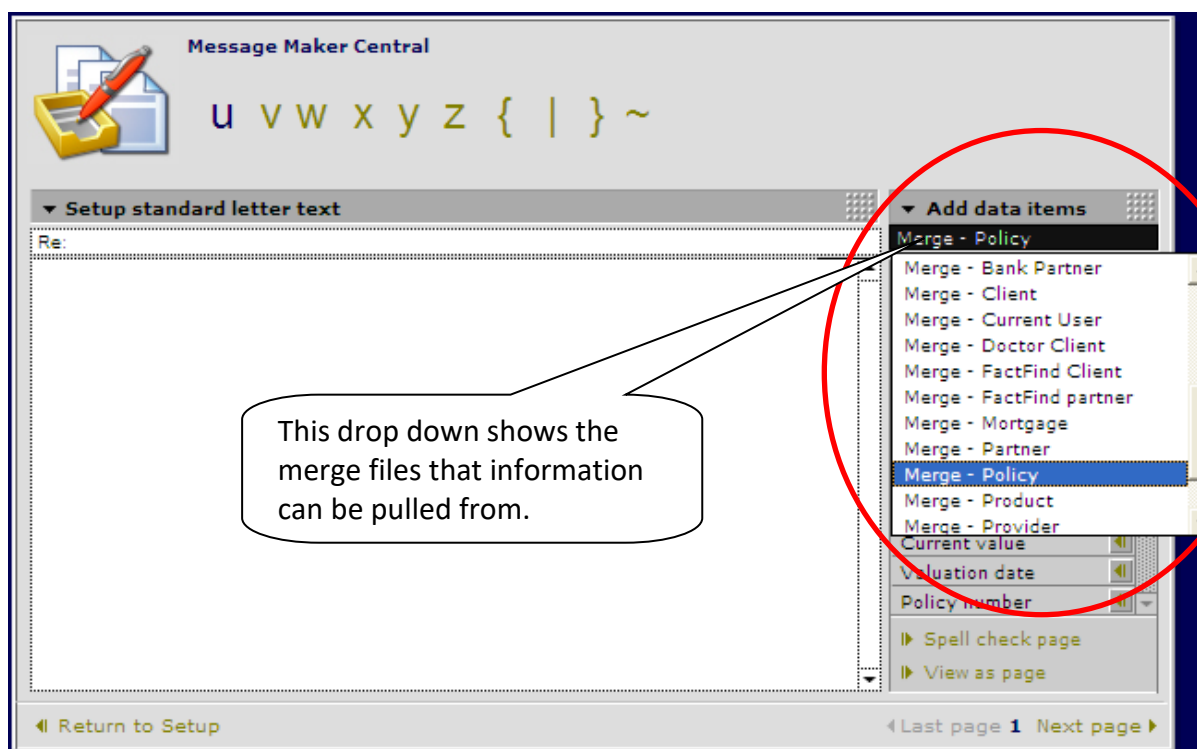
Details Letter text Financial prom.

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

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

Complete these details and then select 'Create/Modify Letter text using Link Message Maker'.

This will take you to the message maker screens.



Message Maker Central

U V W X Y Z { | } ~

▼ Setup standard letter text

Re:

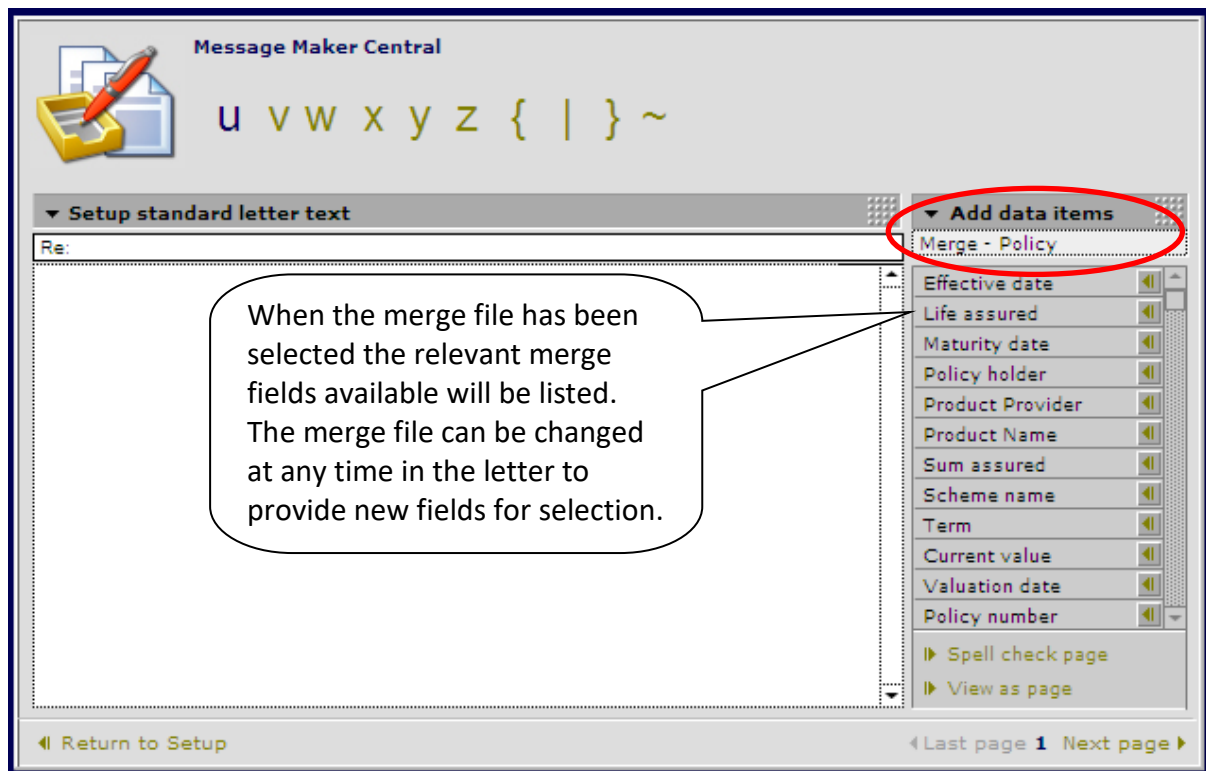
▼ Add data items

- Merge - Policy
- Merge - Bank Partner
- Merge - Client
- Merge - Current User
- Merge - Doctor Client
- Merge - FactFind Client
- Merge - FactFind partner
- Merge - Mortgage
- Merge - Partner
- Merge - Policy
- Merge - Product
- Merge - Provider
- Current value
- Valuation date
- Policy number
- ▶ Spell check page
- ▶ View as page

This drop down shows the merge files that information can be pulled from.

◀ Return to Setup

◀ Last page 1 Next page ▶



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

The words in *italics* are the merge fields.

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

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

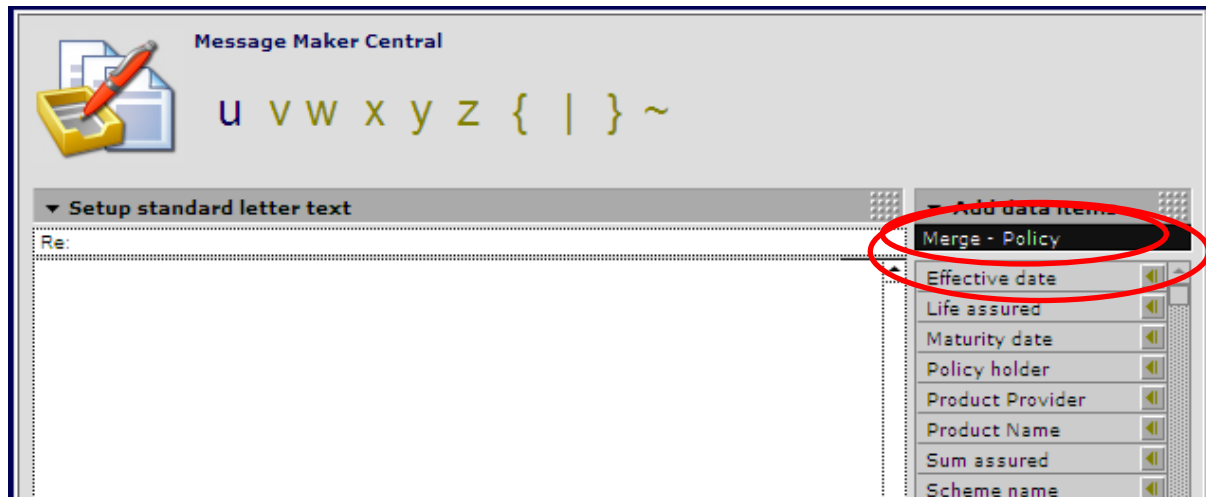
I have forwarded this to “*provider*” and will update you with the progress of this application.

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

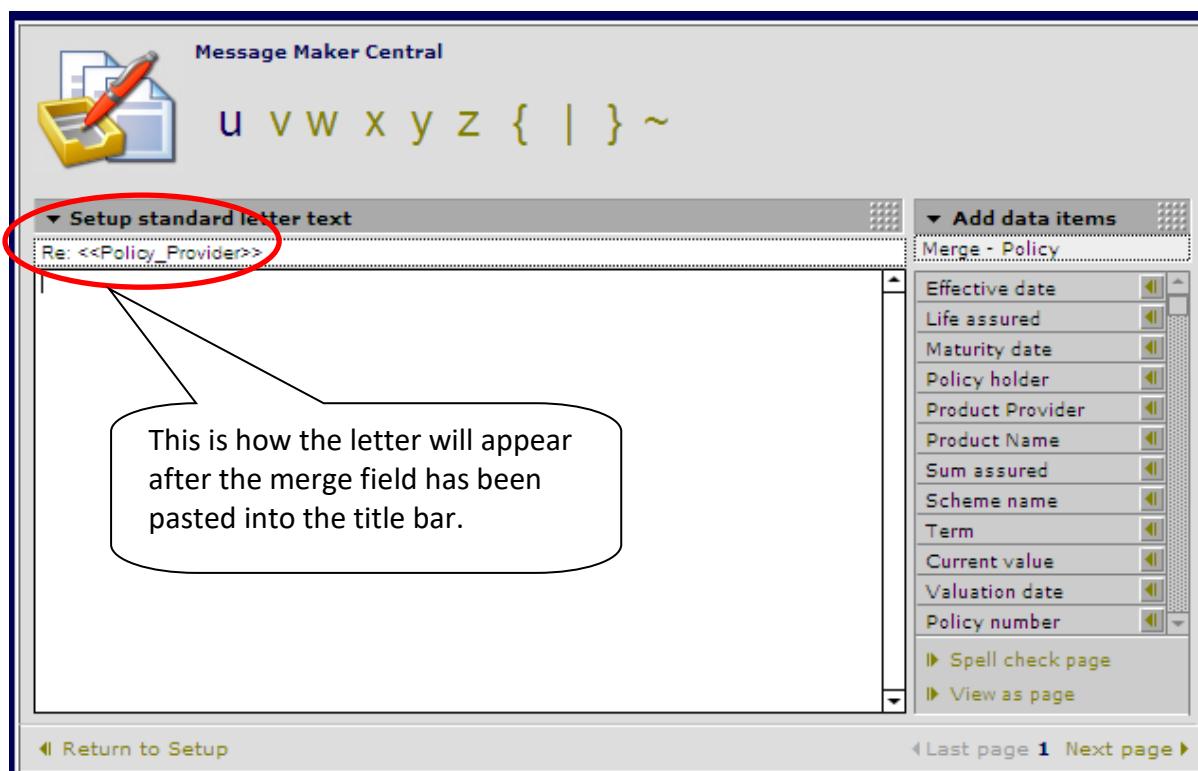
Yours sincerely

Adviser name.

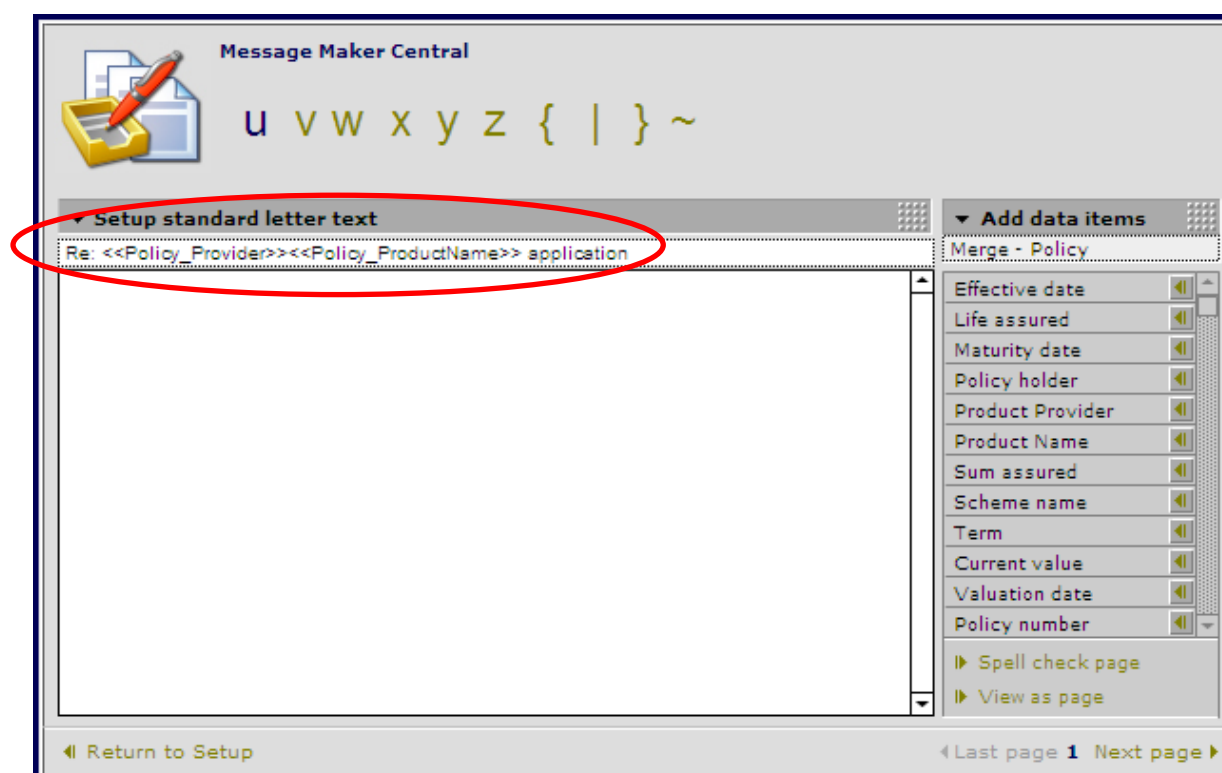
The first part of the letter is the title line, look at the information that you want to pull from the main CCD system and look down the list of merge files available to decide where this information will be stored. We want the provider name and product type. This information will be held in “policy” merge file. Select ‘Merge-Policy’ and then the merge fields available will show below the merge file name.



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

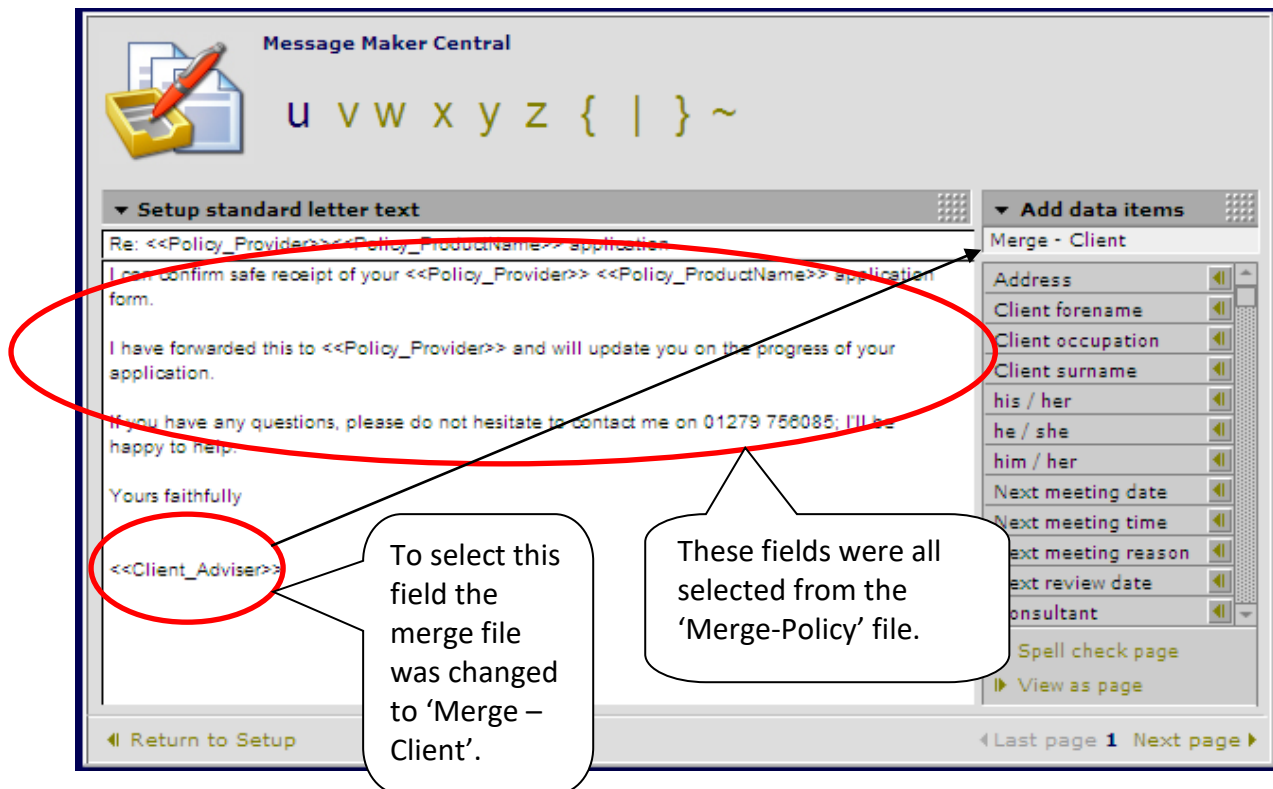


We now require the product name so repeat this process and then manually type 'application' after the 2nd merge field has been added.



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

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



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

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

2.4 Copying in and then updating using Message Maker

If you have a letter which you want to save into the 'Standard Text' area of CCD and then add merge fields in, this is what you need to do.

Firstly, set up a standard letter and use [Create / modify Letter text using Link Message Maker](#).
Now copy your letter in.

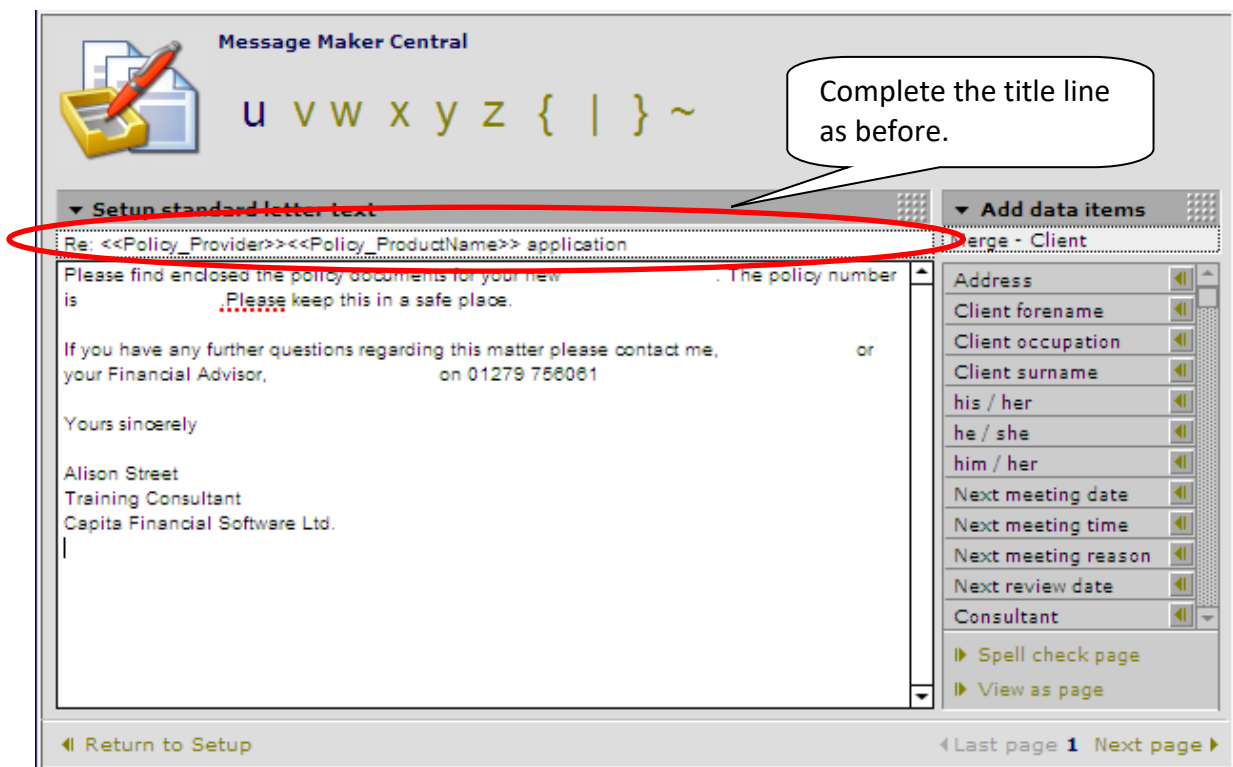
Dear

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

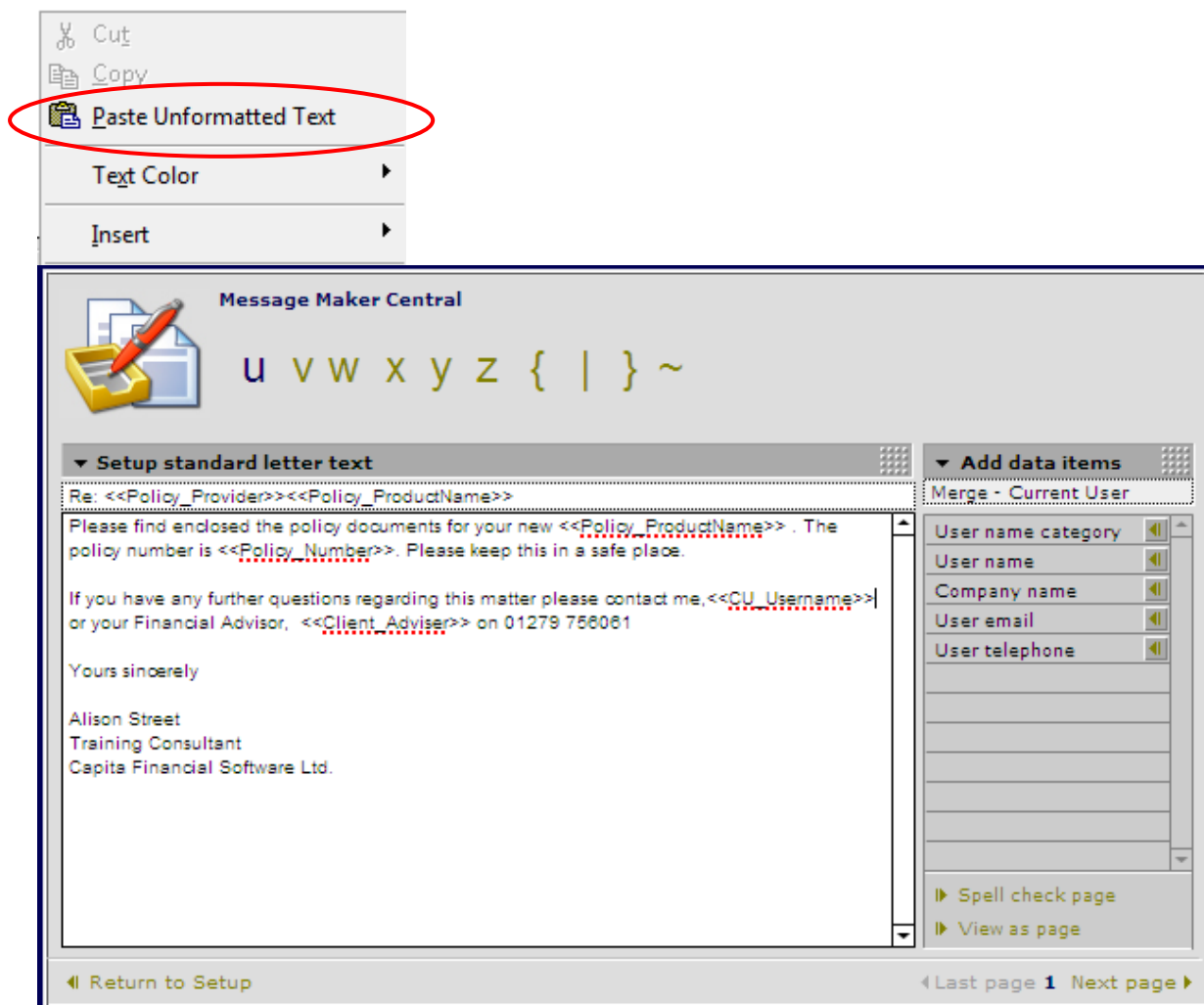
If you have any further questions regarding this matter please contact me, or your Financial Advisor, on 01279 756061

Yours sincerely

Alison Street
Training Consultant
Quay Software Ltd.



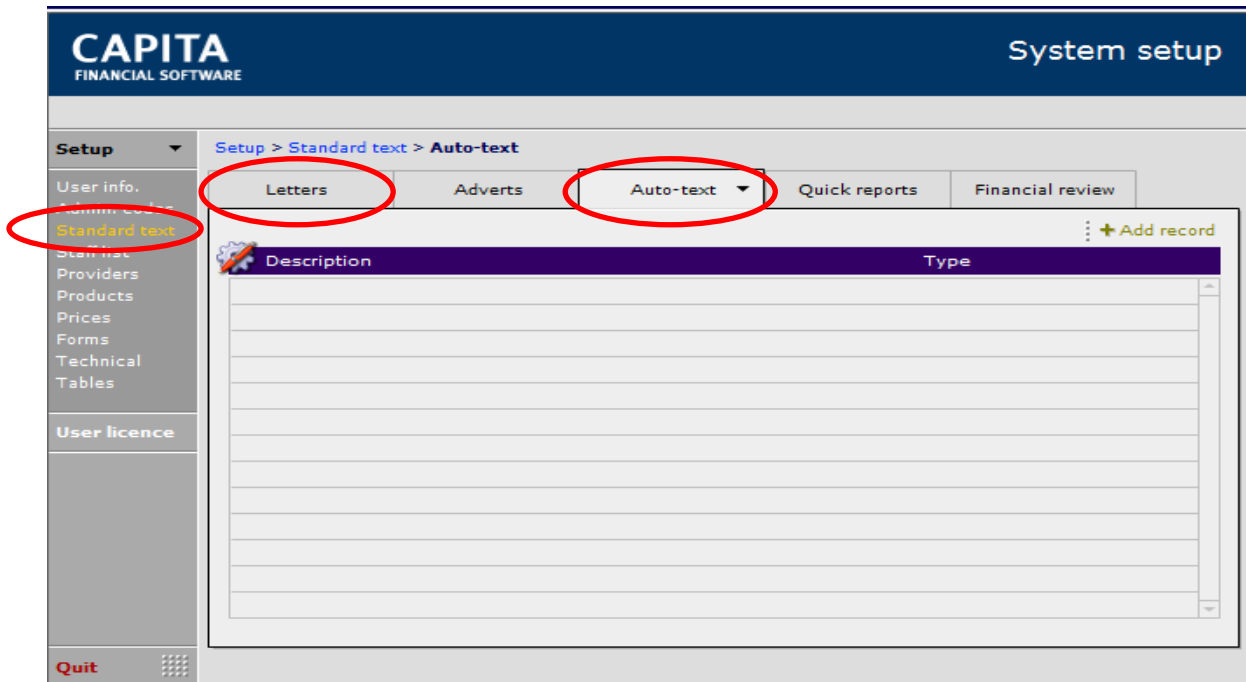
To insert the merge fields into the blank spaces in the body of the letter use the same method as when a field is inserted into the title line. Select the field you wish to merge, click onto the gold arrow, and place the cursor where you want the field to be inserted right click and Paste Unformatted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

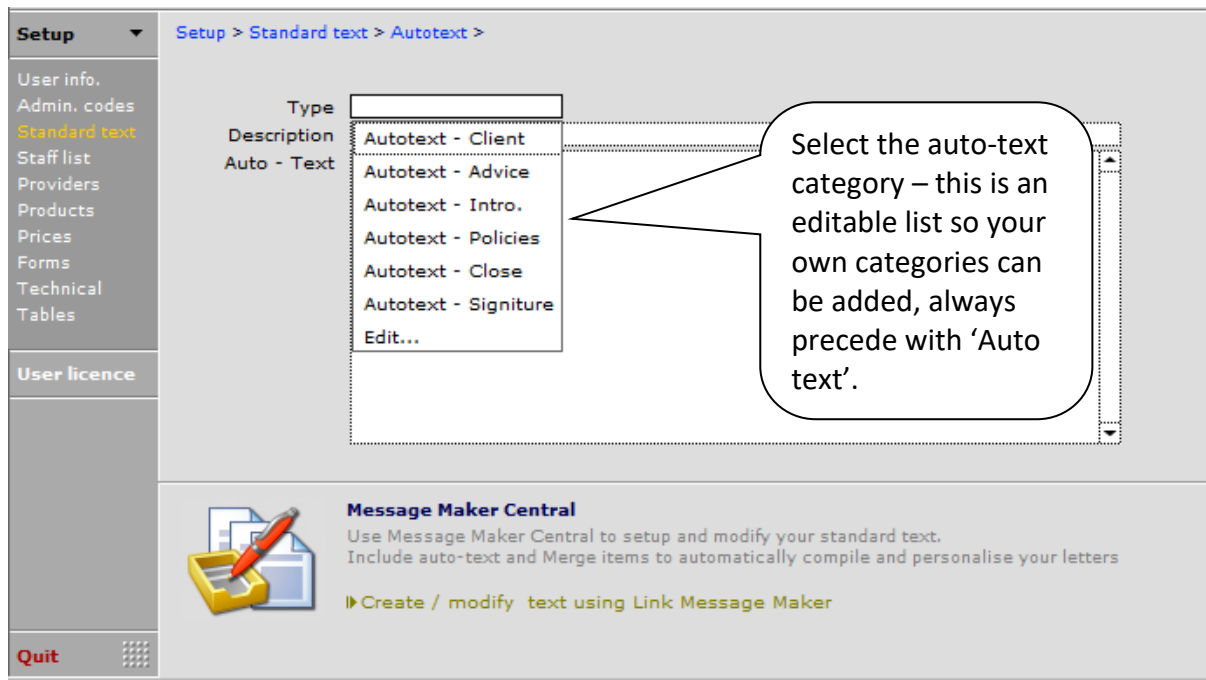


3. AUTO-TEXT

An 'Auto-text' is a line or paragraph of text, which is used but not regularly within a letter. Therefore it is not appropriate to add it into a letter, but to place it somewhere where it can be accessed when required. This means it does not have to be typed in each time it is required.

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



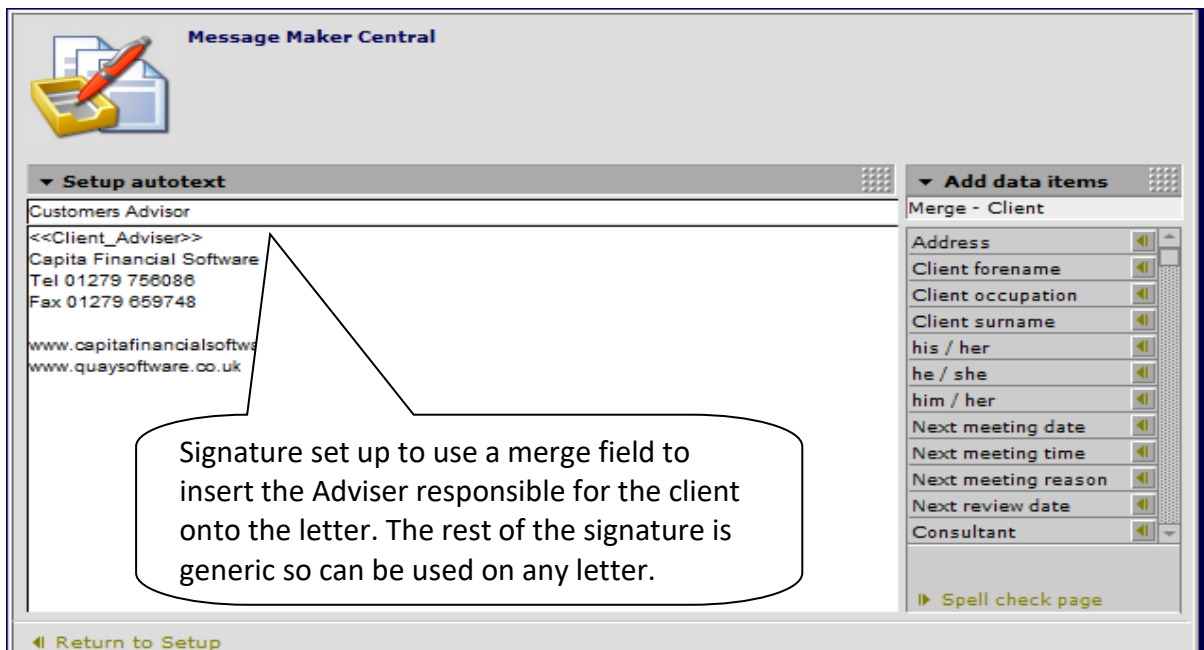


As with letters there are 2 methods of creating auto-text, copy and paste or free type into the main Auto-text box or use the [Create / modify text using Link Message Maker](#) link to add merge fields to a standard paragraph or sentence.

3.1. Copy and paste or free format type

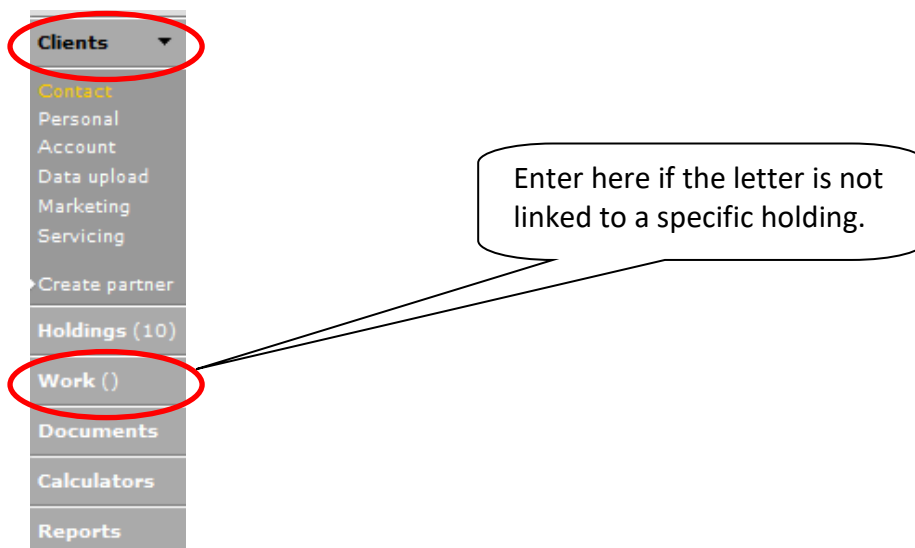


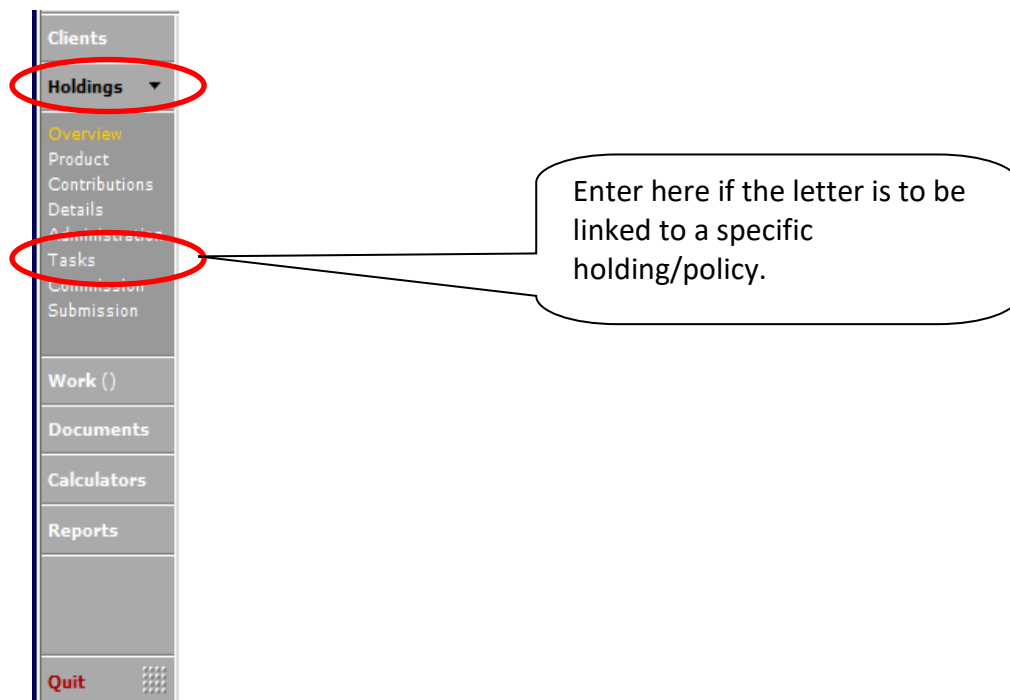
► Create / modify text using Link Message Maker



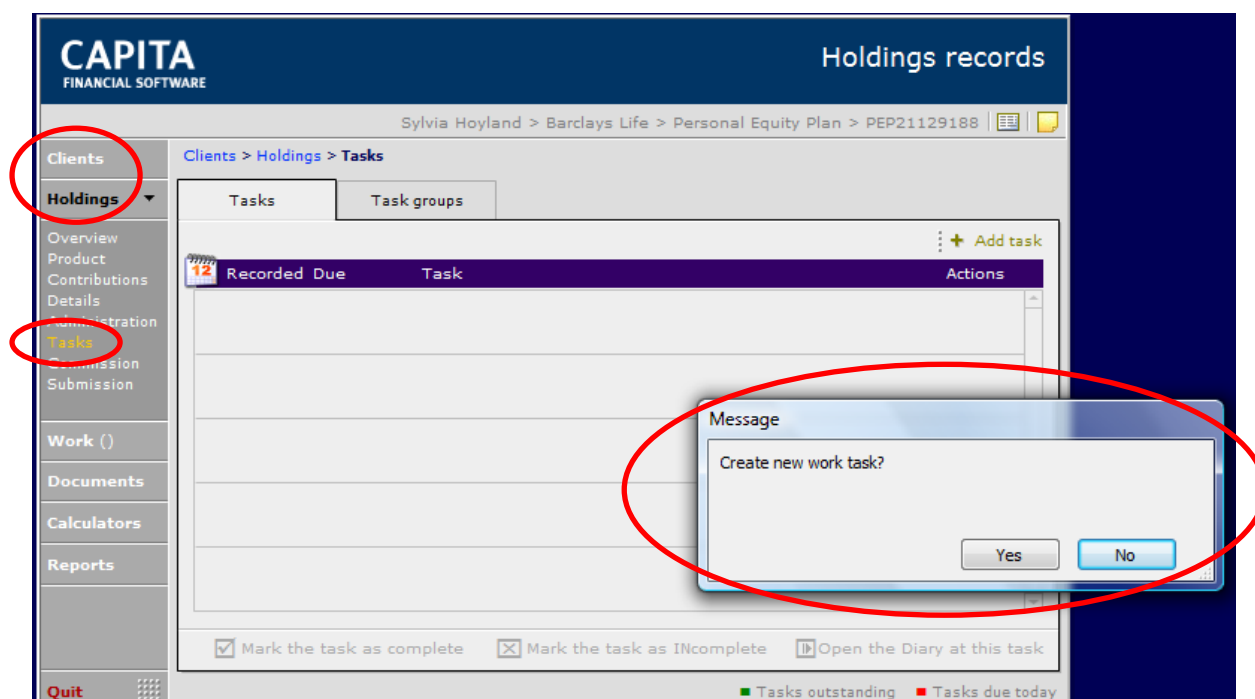
4. PRODUCING AND VIEWING YOUR LETTERS VIA WORK AND TASKS


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

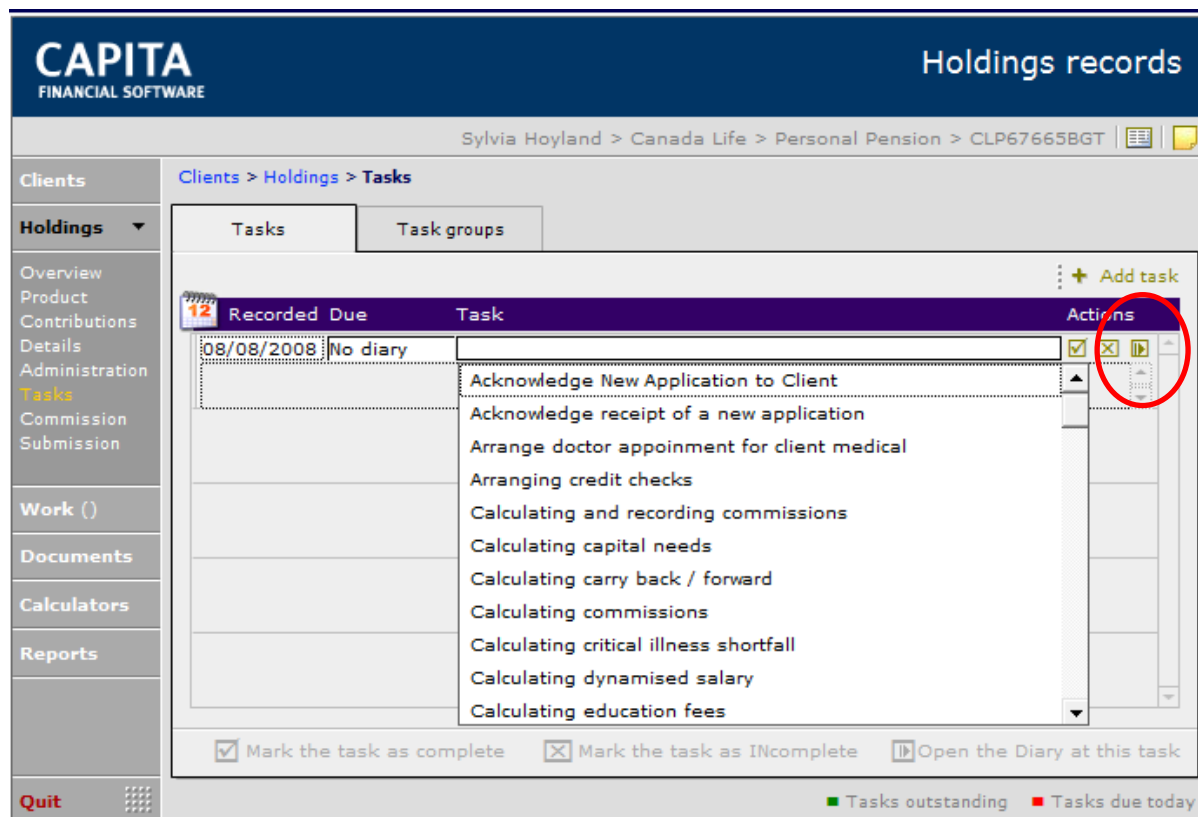




4.1. Entering a letter against a holding



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



CAPITA
FINANCIAL SOFTWARE




Holdings records


Sylvia Hoyland > Canada Life > Personal Pension > CLP67665BGT

Clients > Holdings > Tasks

Tasks Task groups

+ Add task

Recorded Due	Task	Actions
08/08/2008	No diary	  
	Acknowledge New Application to Client	
	Acknowledge receipt of a new application	
	Arrange doctor appointment for client medical	
	Arranging credit checks	
	Calculating and recording commissions	
	Calculating capital needs	
	Calculating carry back / forward	
	Calculating commissions	
	Calculating critical illness shortfall	
	Calculating dynamised salary	
	Calculating education fees	

☒ Mark the task as complete ☒ Mark the task as INcomplete  Open the Diary at this task

Quit

Tasks outstanding Tasks due today

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

Clients > Holdings > Tasks > Diary

Diary Account Message

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

Outstanding Notify client ☐ Notify Introducer ☒

Type in details of the task here.

Related project

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

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

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

Document linked Select

CAPITA
FINANCIAL SOFTWARE

Work records

land > Canada Life > Perso

Clients Clients > Holdings > Tasks
Holdings Diary Account Message

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

Options

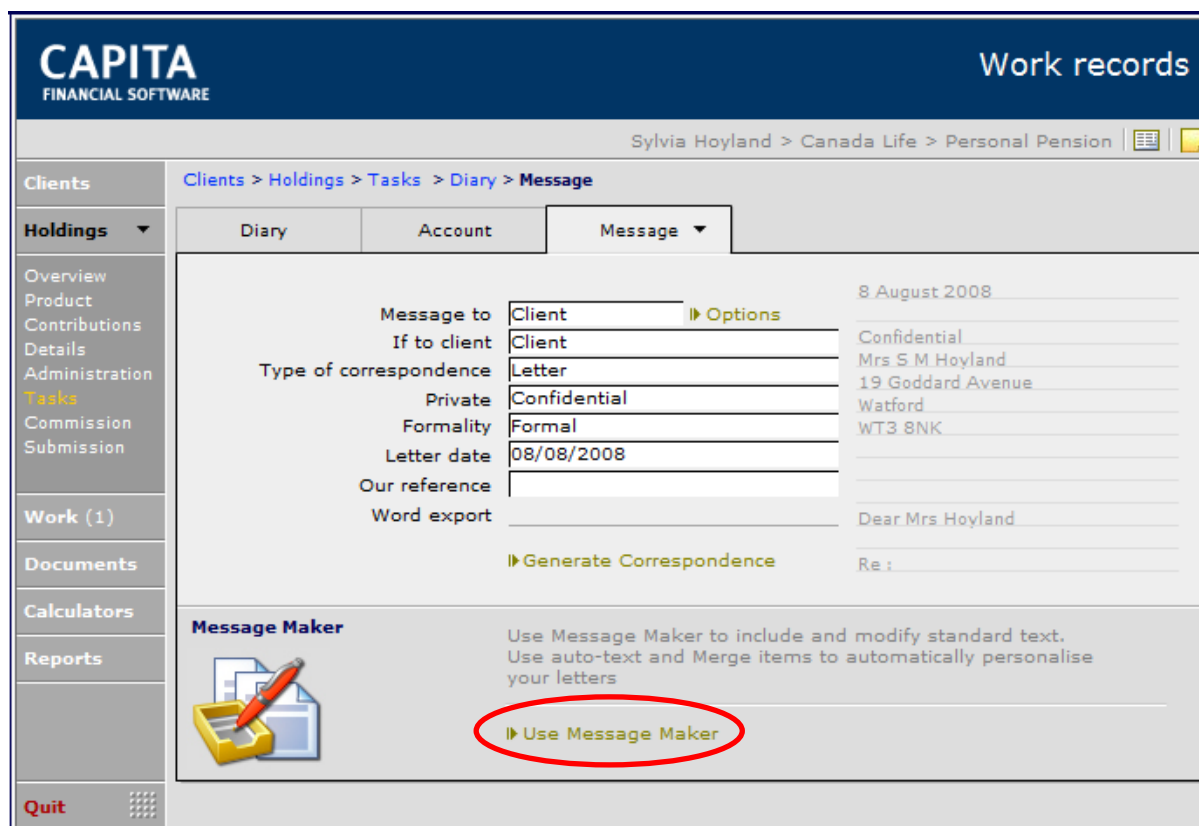
8 August 2008
Confidential
Mrs S M Hoyland
19 Goddard Avenue
Watford
WT3 8NK
Dear Mrs Hoyland
Re :

Generate Correspondence

DO NOT SELECT 'GENERATE CORRESPONDENCE' UNLESS YOU WISH TO TYPE A COMPLETELY NEW FREE FORMAT LETTER WITH NO AID FROM ANY EXISTING TEMPLATES, AUTO-TEXT OR MERGE ITEMS AVAILABLE WITHIN CCD. YOU ARE UNABLE TO ACCESS ANY OF THIS FUNCTIONALITY FROM WITHIN THIS SECTION.

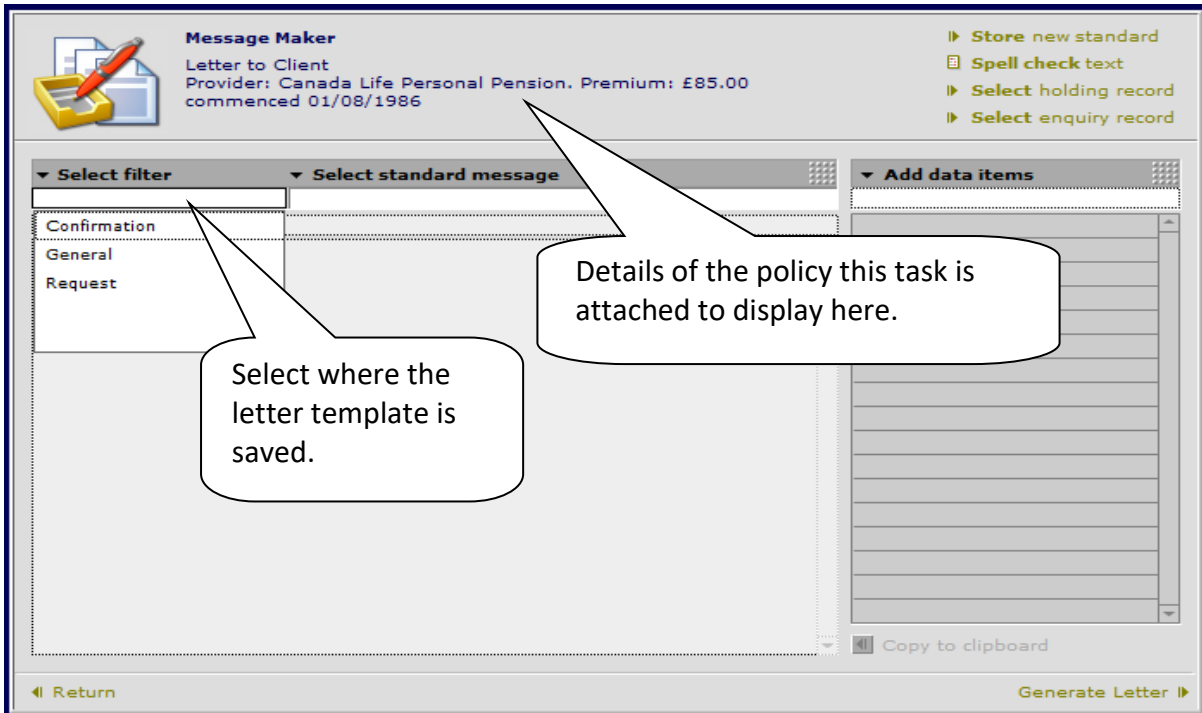
Quit

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



The screenshot shows the CAPITA Financial Software interface. The top bar includes the CAPITA logo and 'Work records'. Below this is a breadcrumb trail: 'Sylvia Hoyland > Canada Life > Personal Pension'. The main area is divided into a left sidebar and a central workspace. The sidebar contains a 'Clients' section with a 'Holdings' dropdown, and a 'Tasks' section with a 'Message' dropdown. The central workspace has tabs for 'Diary', 'Account', and 'Message'. The 'Message' tab is active, showing a form for creating a letter. The form includes fields for 'Message to', 'If to client', 'Type of correspondence', 'Private', 'Formality', 'Letter date', 'Our reference', and 'Word export'. The 'Message to' field is set to 'Client', 'If to client' is 'Client', 'Type of correspondence' is 'Letter', 'Private' is 'Confidential', 'Formality' is 'Formal', 'Letter date' is '08/08/2008', and 'Our reference' is empty. The 'Word export' field is empty. To the right of the form, there is a section for '8 August 2008' with fields for 'Confidential', 'Mrs S. M. Hoyland', '19 Goddard Avenue', 'Watford', 'WT3 8NK', 'Dear Mrs Hoyland', and 'Re:'. Below the form, there is a 'Message Maker' section with a red circle around the 'Use Message Maker' link. The 'Message Maker' section includes an icon of a notepad and a pencil, and text explaining its purpose: 'Use Message Maker to include and modify standard text. Use auto-text and Merge items to automatically personalise your letters.'

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



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

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

▼ Select filter
 Confirmation
 General
 Request

▼ Select standard message
 Details of the policy this task is attached to display here.

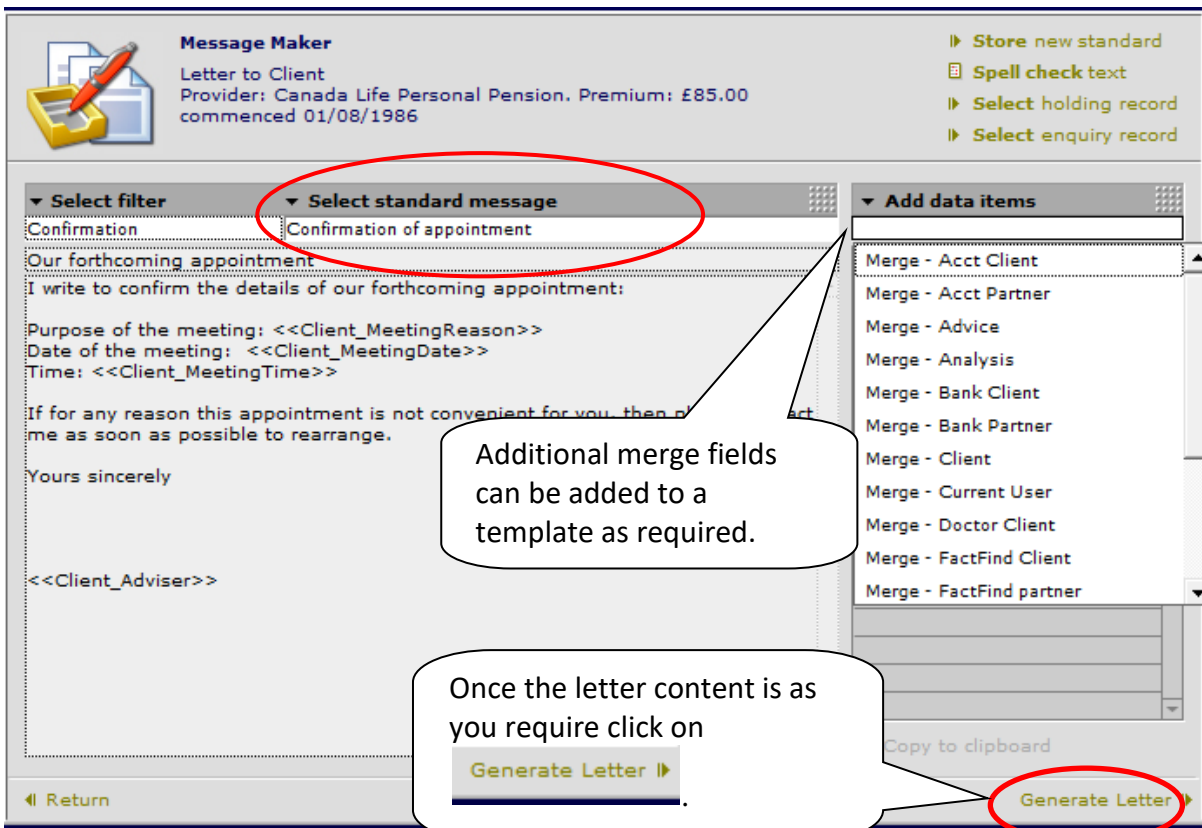
▼ Add data items

Copy to clipboard

◀ Return Generate Letter ▶

Select where the letter template is saved.

Now select the letter that you want to use.



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

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

▼ Select filter
 Confirmation
 Our forthcoming appointment
 I write to confirm the details of our forthcoming appointment:
 Purpose of the meeting: <<Client_MeetingReason>>
 Date of the meeting: <<Client_MeetingDate>>
 Time: <<Client_MeetingTime>>
 If for any reason this appointment is not convenient for you, then please contact me as soon as possible to rearrange.
 Yours sincerely
 <<Client_Adviser>>

▼ Select standard message
 Confirmation of appointment

▼ Add data items
 Merge - Acct Client
 Merge - Acct Partner
 Merge - Advice
 Merge - Analysis
 Merge - Bank Client
 Merge - Bank Partner
 Merge - Client
 Merge - Current User
 Merge - Doctor Client
 Merge - FactFind Client
 Merge - FactFind partner

Copy to clipboard

◀ Return Generate Letter ▶

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

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

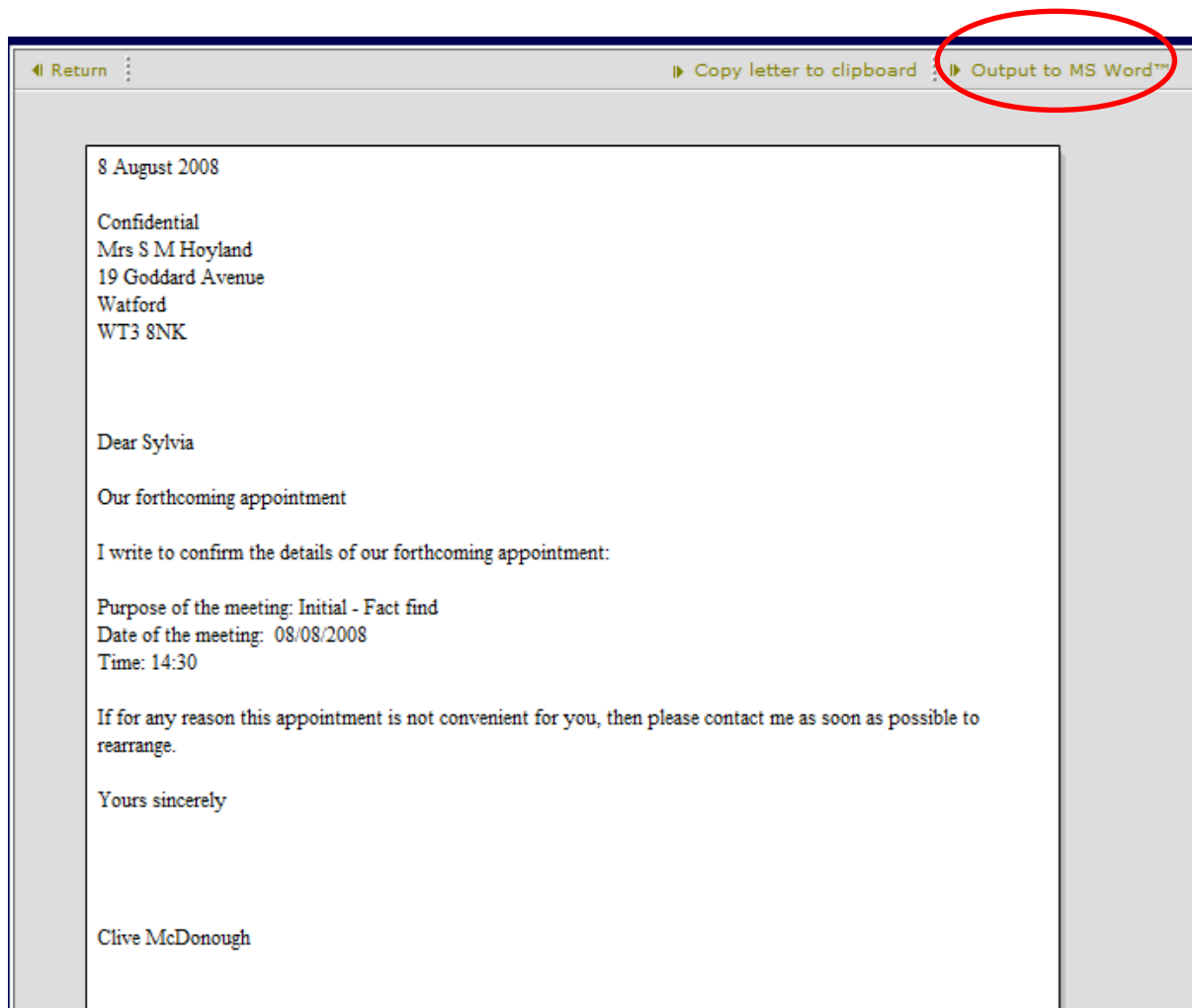
Your letter now starts to take form and any merge items you have included within your letter will be inserted by CCD.

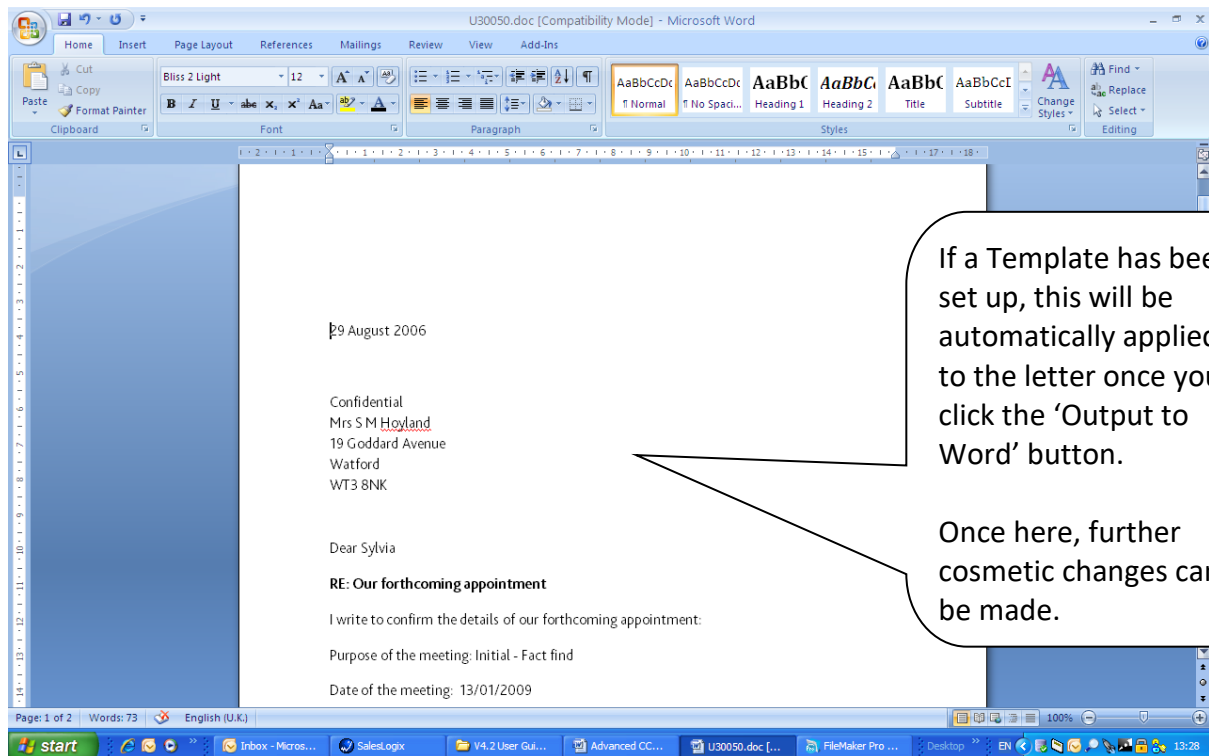
NB. If you asked for CCD to insert information that you have-not entered within CCD the words MISSING DATA will appear. You will need to manually enter this information on this occasion

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

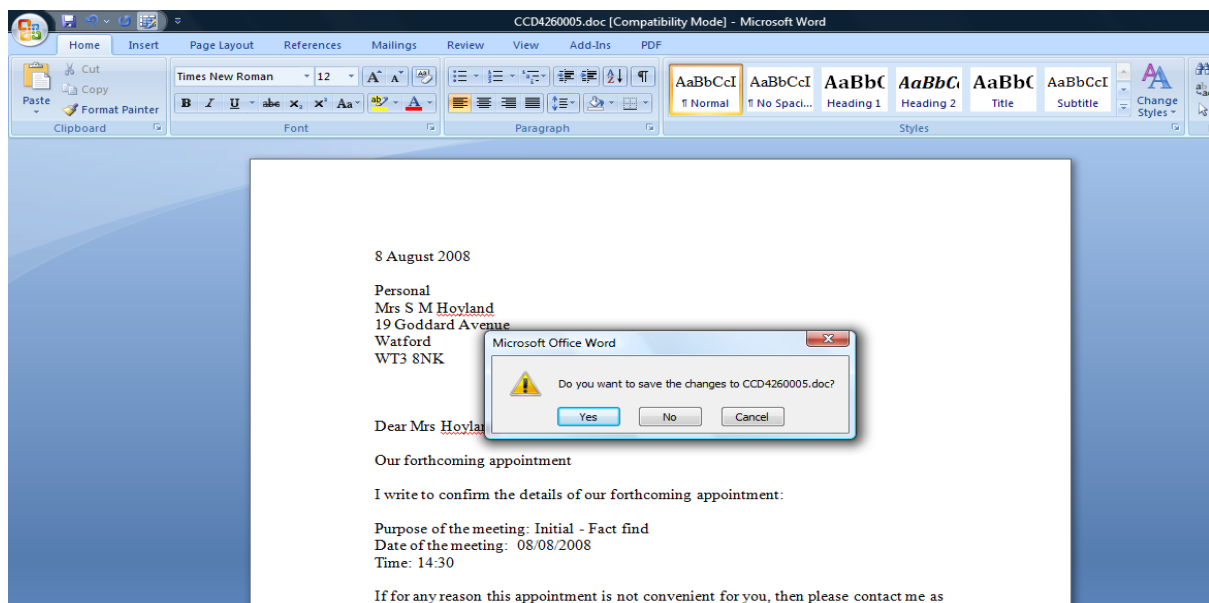
This is done by clicking on

▶ Output to MS Word™





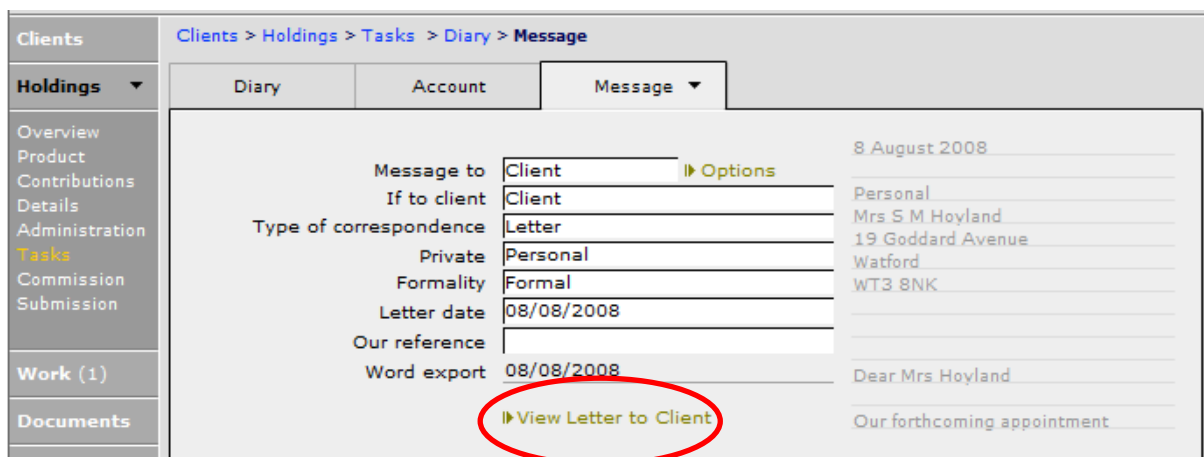
If no changes are made to the letter in the MS Word format when you close the letter it will not prompt you to save, the letter will auto save to CCD. If you have made amendments after outputting the letter to MS Word then you will be prompted to save the changes.



4.2. Viewing letters via Tasks

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

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



The screenshot shows the Capita Financial Software interface. On the left is a navigation menu with options: Overview, Product, Contributions, Details, Administration, **Tasks**, Commission, and Submission. The main area is titled 'Clients > Holdings > Tasks > Diary > Message'. Below this title are three tabs: 'Diary', 'Account', and 'Message'. The 'Message' tab is selected. The main content area displays a form for creating or editing a message. The form includes fields for 'Message to' (Client), 'If to client' (Client), 'Type of correspondence' (Letter), 'Private' (Personal), 'Formality' (Formal), 'Letter date' (08/08/2008), 'Our reference' (empty), and 'Word export' (08/08/2008). To the right of these fields is a section for the message content, which includes the date '8 August 2008', the salutation 'Dear Mrs Hoyland', and the body text 'Our forthcoming appointment'. A red circle highlights the 'View Letter to Client' link at the bottom of the form.

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

4.3. Entering a Letter against the Client

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

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

CAPITA
FINANCIAL SOFTWARE

Client records

Add record Find record List records My notes

Clients ▾ Clients

Contact ▾ Postal address Scanned docs. Goals Overview

Client type Individual **Client Ref.**

Title / Initial / Surname Mrs S M Hoyland

Forename Sylvia Mary

Salutation Sylvia

Qualification / Honours

Company name

Personal email address ☐

Work email address ☐

Create security question

☐ Do not mailshot

☐ Do not share client data with partner

Home ☒ 01285 277622 **Fax home**

Work ☐ 01285 567567 **Fax work**

Mobile ☐

Current status Prospect **Contact Method** Evenings Telephone


Intro. date / source 17/08/2006 Cold calling

Introducer No introducer

Employer Sylvia Hoyland

Adviser Clive McDonough

Service manager

Client Source 

Quit

Created: 17/08/2006 By: AMS Last modified: 09/06/2011 by

CAPITA
FINANCIAL SOFTWARE

Work records

Sylvia Hoyland

Clients ▾ Clients > Work

Holdings (10) ▾ Outstanding All tasks Groups Tracker set-up

Work ▾

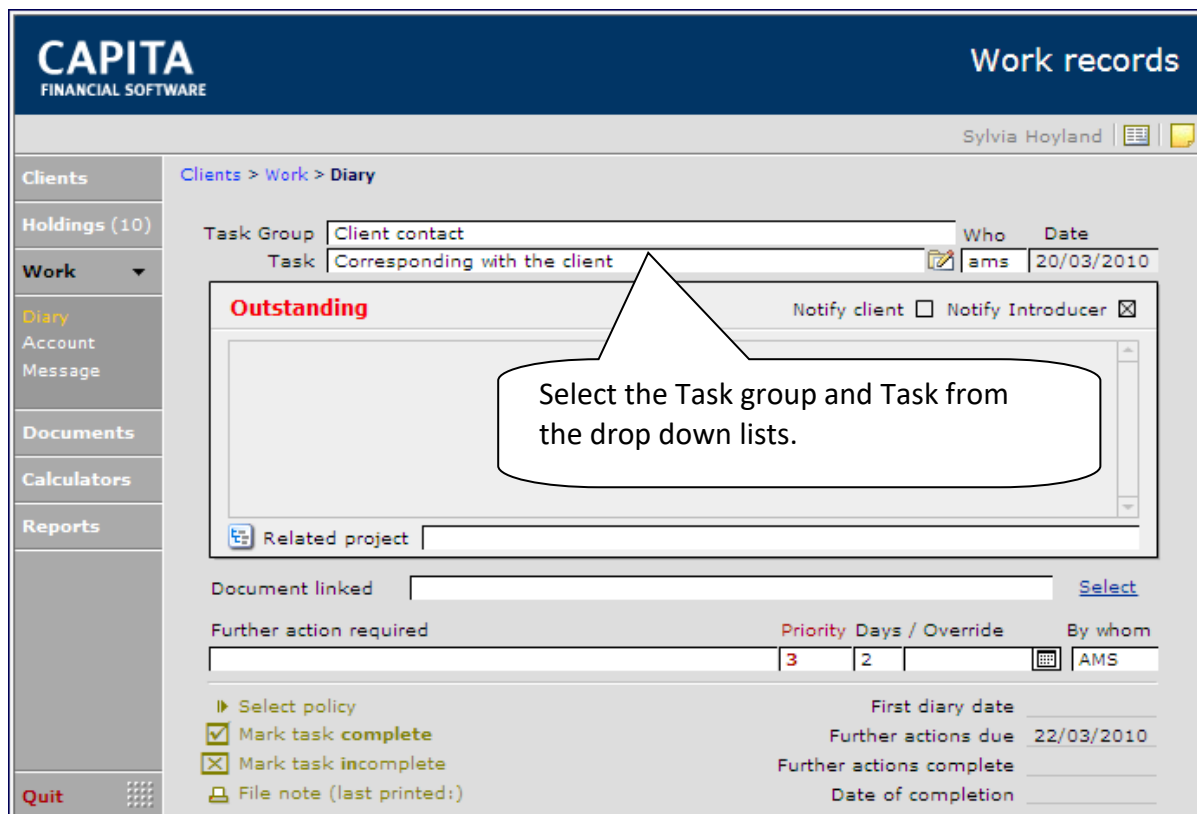
Task	User	Action by	Status	Relates to
Corresponding with the client	AMS	09/08/08	Outstanding	Policy <input type="button" value="More"/>

Message

Do you wish to create a new Work log entry for the current client?

Task group All group tasks shown - click here to filter

Quit



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

CAPITA

FINANCIAL SOFTWARE

Work records

Sylvia Hoyland

Clients

Holdings (10)

Work

Diary

Account

Message

Documents

Calculators

Reports

Quit

Clients > Work > Diary

Task Group

Client contact

Who

ams

Date

20/03/2010

Task

Corresponding with the client

Notify client

Notify Introducer

Type in details of the task here.

Related project

Document linked

Select

Further action required

Priority

Days / Override

By whom

3

2

AMS

Select policy

Mark task complete

Mark task incomplete

File note (last printed:)

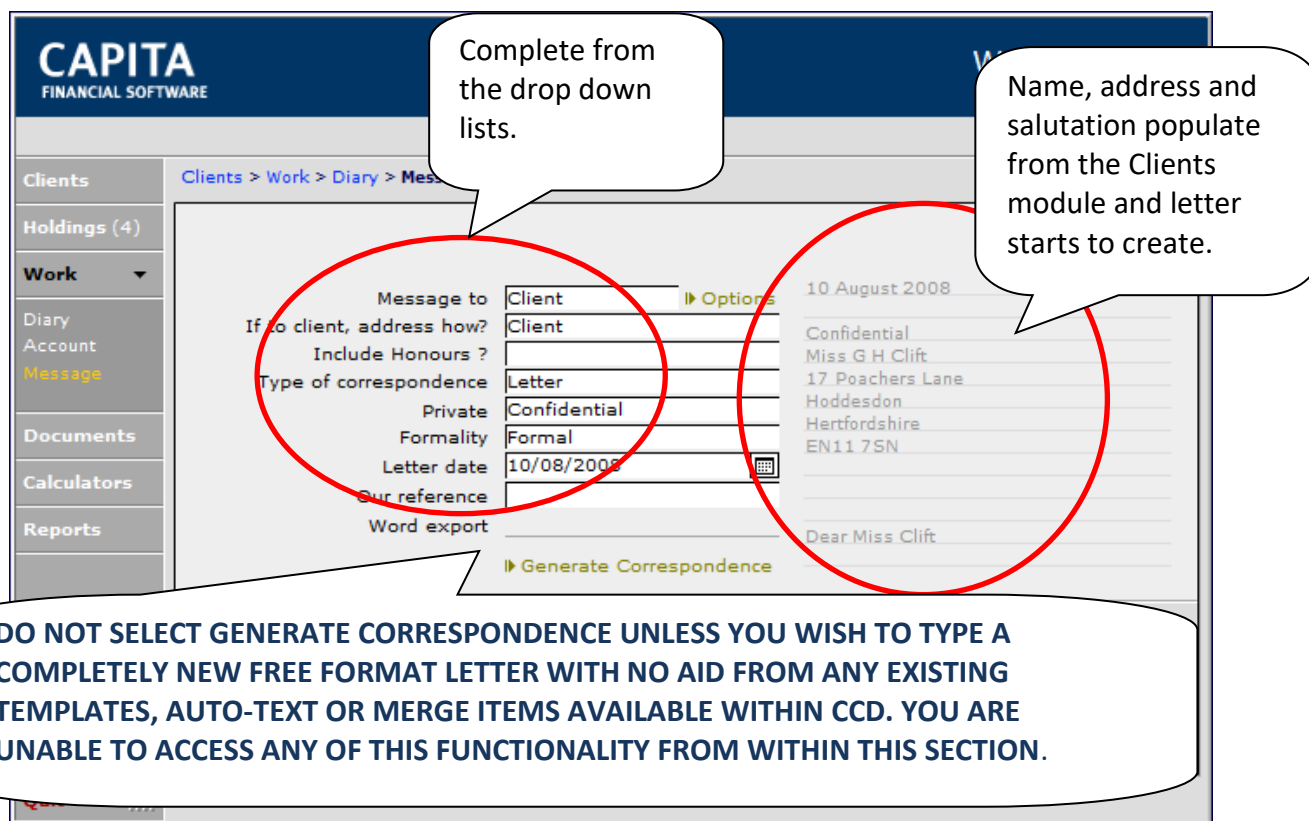
First diary date

Further actions due

Further actions complete

Date of completion

22/03/2010



CAPITA
FINANCIAL SOFTWARE

Clients > Work > Diary > Message

Message to: Client Options

If to client, address how? Client

Include Honours?

Type of correspondence: Letter

Private: Confidential

Formality: Formal

Letter date: 10/08/2008

Our reference:

Word export:

10 August 2008

Confidential

Miss G.H. Clift

17 Poachers Lane

Hoddesdon

Hertfordshire

EN11 7SN

Dear Miss Clift

Generate Correspondence

DO NOT SELECT GENERATE CORRESPONDENCE UNLESS YOU WISH TO TYPE A COMPLETELY NEW FREE FORMAT LETTER WITH NO AID FROM ANY EXISTING TEMPLATES, AUTO-TEXT OR MERGE ITEMS AVAILABLE WITHIN CCD. YOU ARE UNABLE TO ACCESS ANY OF THIS FUNCTIONALITY FROM WITHIN THIS SECTION.

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

CAPITA
FINANCIAL SOFTWARE

Work records

Gemma Clift

Clients

Holdings (4)

Work

Diary

Account

Message

Documents

Calculators

Reports

Quit

Clients > Work > Diary > Message

Message to

Client

Options

If to client, address how?

Client

Include Honours ?

Type of correspondence

Letter

Private

Confidential

Formality

Formal

Letter date

10/08/2008

Our reference

Word export

Generate Correspondence

10 August 2008

Confidential

Miss G.H. Clift

17 Poachers Lane


Hoddesdon

Hertfordshire

EN11 7SN

Dear Miss Clift

Message Maker

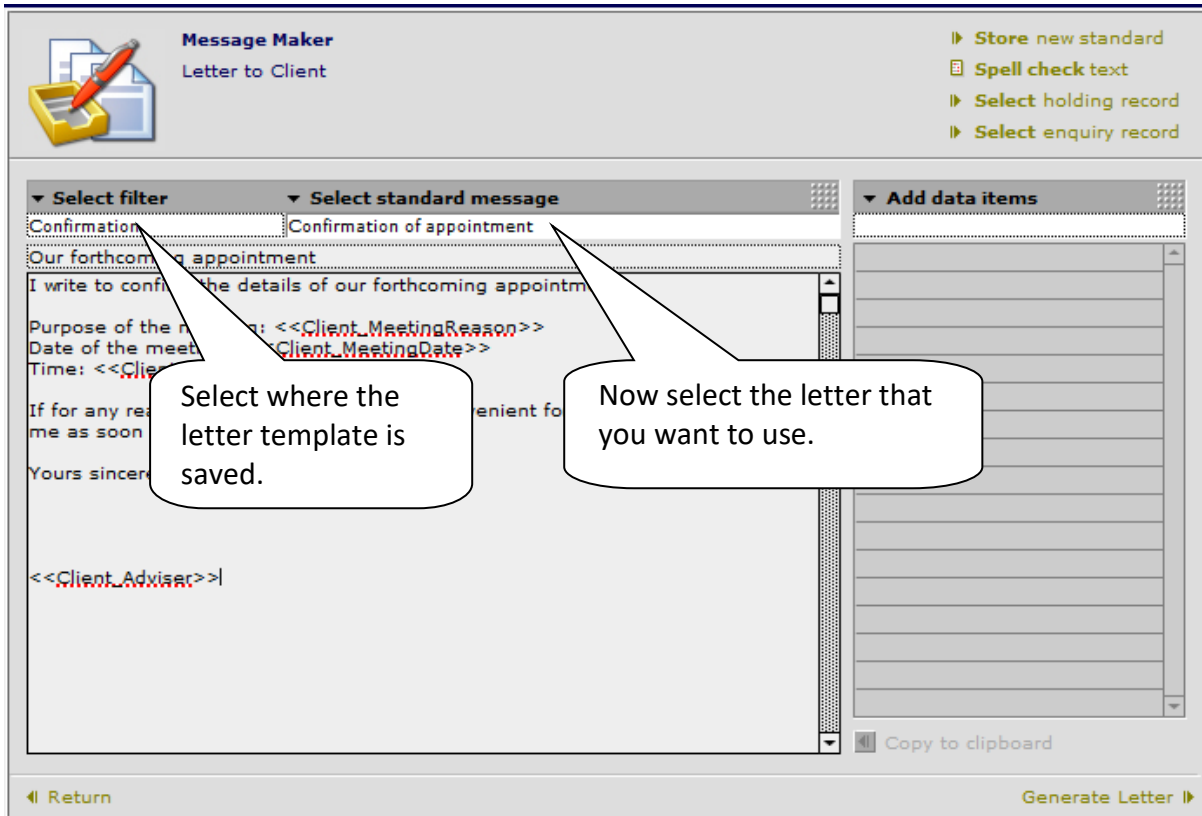


Use Message Maker to include and modify standard text.

Use auto-text and Merge items to automatically personalise your letters

Use Message Maker

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



Message Maker
Letter to Client

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

▼ Select filter ▼ Select standard message ▼ Add data items

Confirmation Confirmation of appointment

Our forthcoming appointment

I write to confirm the details of our forthcoming appointment:

Purpose of the meeting: <<Client_MeetingReason>>
Date of the meeting: <<Client_MeetingDate>>
Time: <<Client_MeetingTime>>

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

Yours sincerely

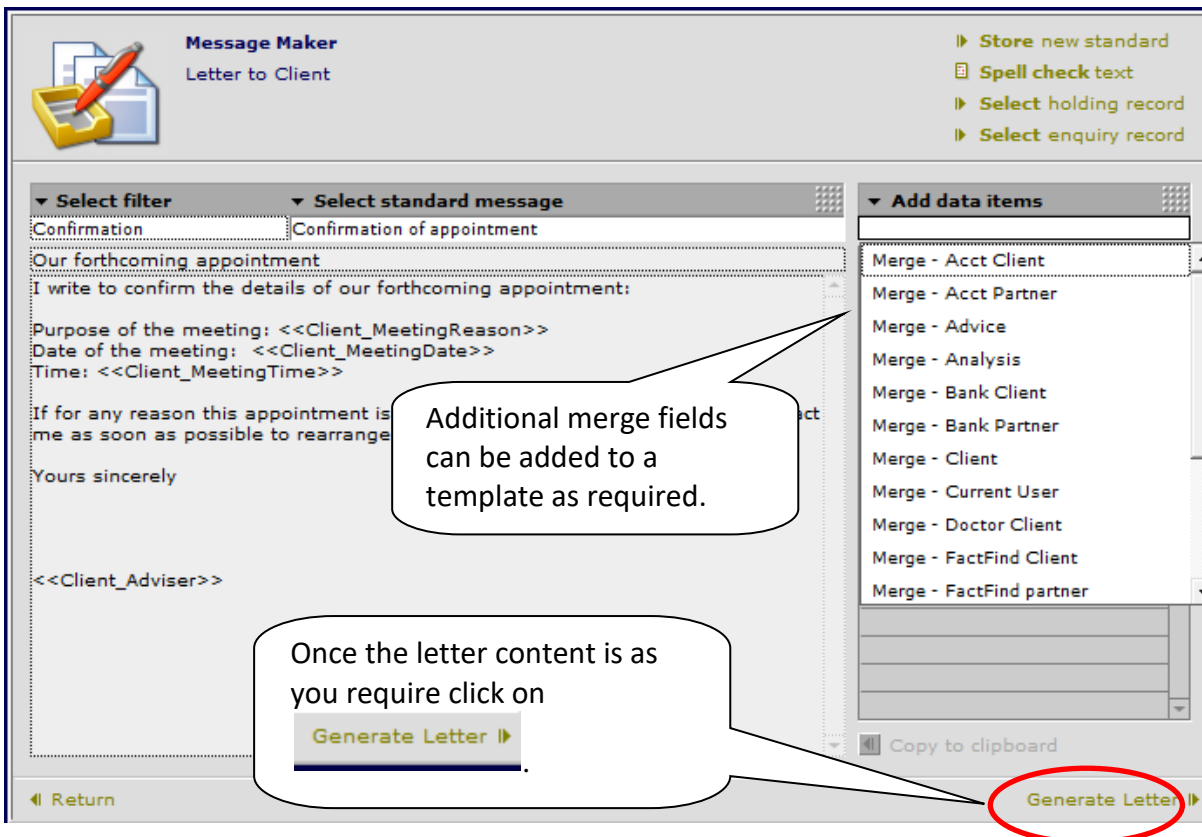
<<Client_Adviser>>

Copy to clipboard

Return Generate Letter

Select where the letter template is saved.

Now select the letter that you want to use.



Message Maker
Letter to Client

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

▼ Select filter ▼ Select standard message ▼ Add data items

Confirmation Confirmation of appointment

Our forthcoming appointment

I write to confirm the details of our forthcoming appointment:

Purpose of the meeting: <<Client_MeetingReason>>
Date of the meeting: <<Client_MeetingDate>>
Time: <<Client_MeetingTime>>

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

Yours sincerely

<<Client_Adviser>>

Copy to clipboard

Return Generate Letter

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

Once the letter content is as you require click on

Generate Letter

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

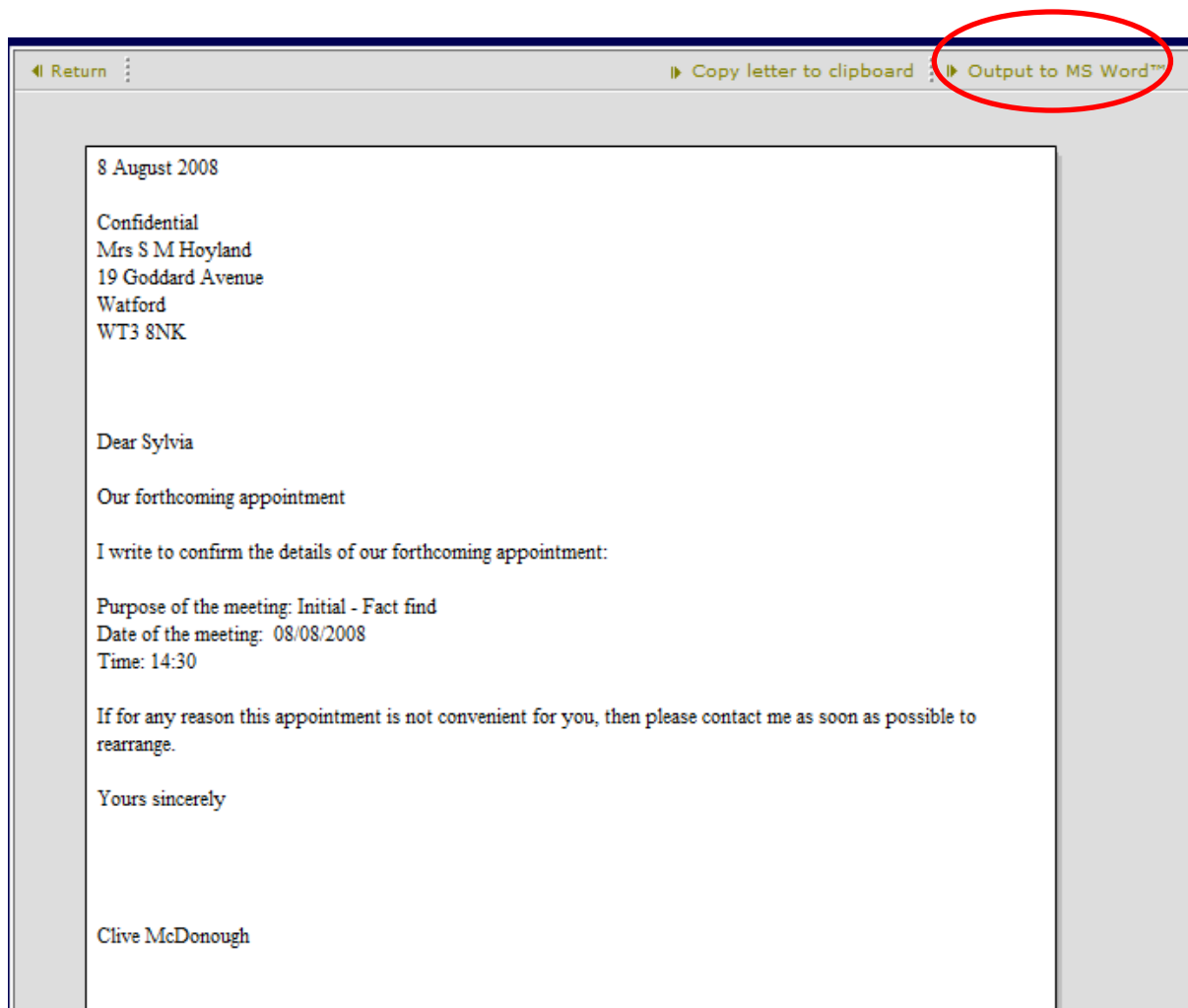
Your letter now starts to take form and any merge items you have included within your letter will be inserted by CCD.

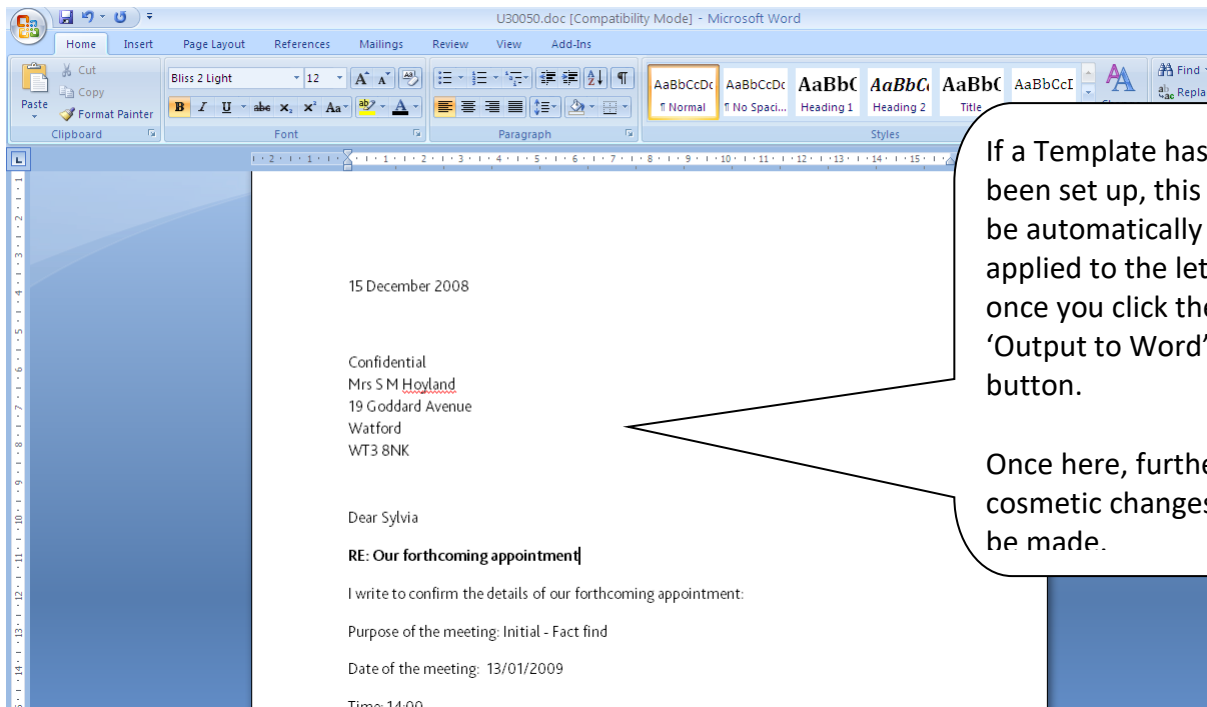
NB. If you asked for CCD to insert information that you havenot entered within CCD the words MISSING DATA will appear. You will need to manually enter this information on this occasion.

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

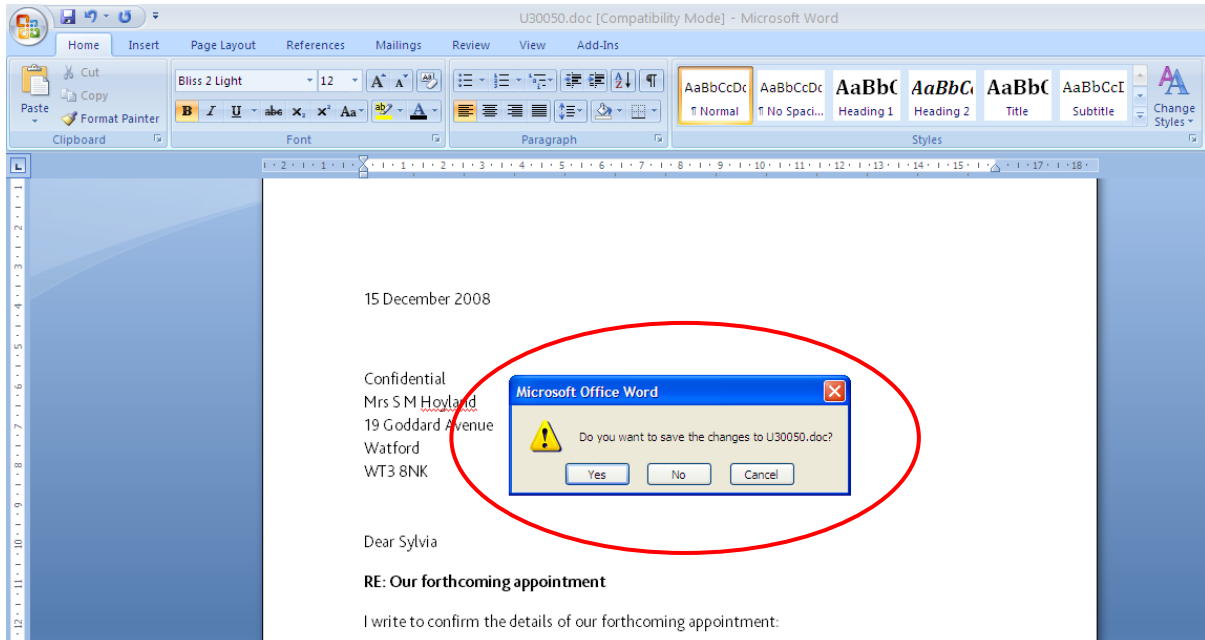
This is done by clicking on

▶ Output to MS Word™





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



4.4. Viewing letters via Work

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

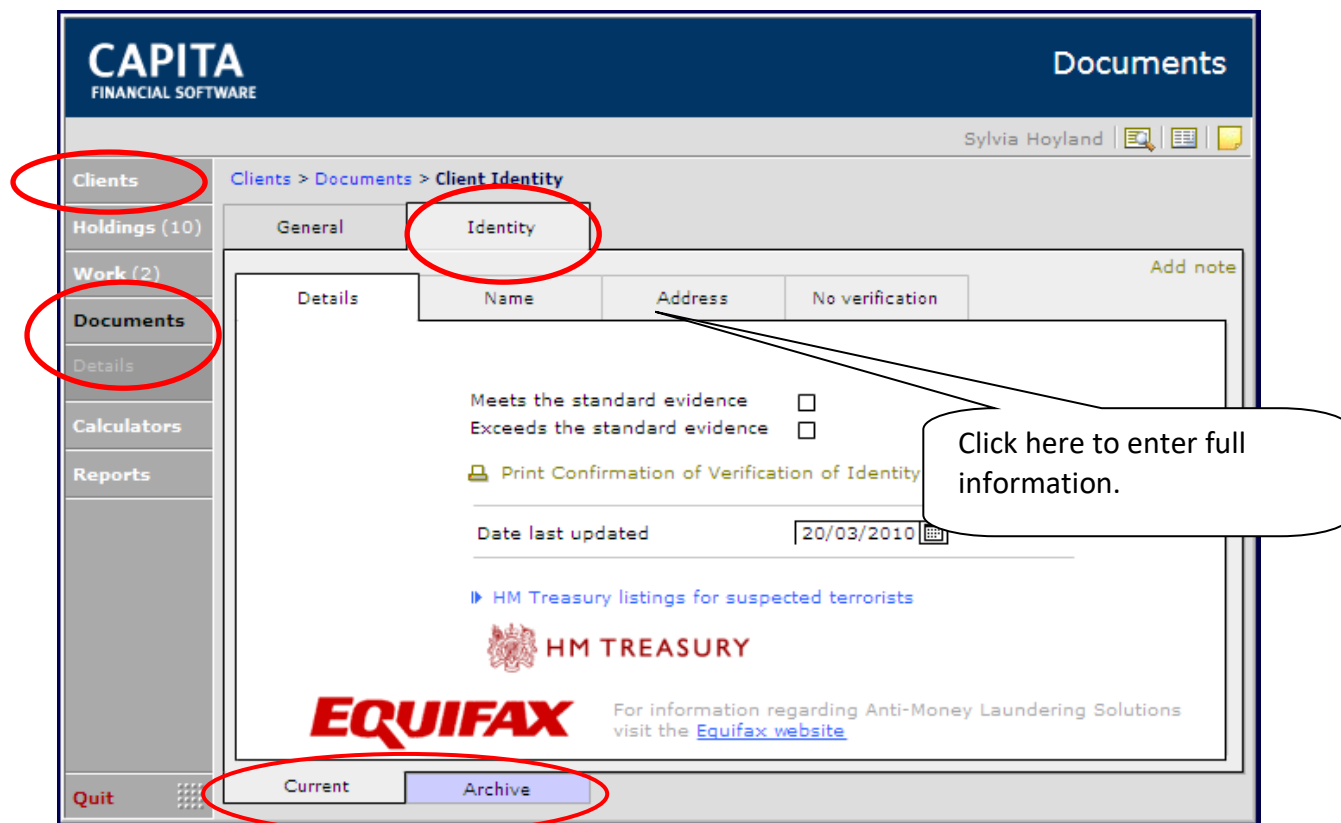
- Find your client
- Click on the Work Tab and select the appropriate item
- Select the Message tab.
- Click on 'View Letter to Client'.

Clients	Clients > Holdings > Tasks > Diary > Message		
Holdings ▼	Diary	Account	Message ▼
Overview Product Contributions Details Administration Tasks Commission Submission	<div> <div> <div>Message to</div> <div>Client</div> <div>► Options</div> </div> <div> <div>If to client</div> <div>Client</div> </div> <div> <div>Type of correspondence</div> <div>Letter</div> </div> <div> <div>Private</div> <div>Personal</div> </div> <div> <div>Formality</div> <div>Formal</div> </div> <div> <div>Letter date</div> <div>08/08/2008</div> </div> <div> <div>Our reference</div> <div></div> </div> <div> <div>Word export</div> <div>08/08/2008</div> </div> </div> <div> <div>8 August 2008</div> <div>Personal</div> <div>Mrs S.M. Hoyland</div> <div>19 Goddard Avenue</div> <div>Watford</div> <div>WT3 8NK</div> <div>Dear Mrs Hoyland</div> <div>Our forthcoming appointment</div> </div>		
Work (1)			
Documents			

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

5. MONEY LAUNDERING

CCD comes complete with two different Identity forms i.e. a two page version for you to capture Money laundering information plus the newer FSA summary, Confirmation of Verification of Identity.



CAPITA
FINANCIAL SOFTWARE

Documents

Sylvia Hoyland

Clients > Documents > Client Identity

General Identity

Details Name Address No verification

Meets the standard evidence ☐

Exceeds the standard evidence ☐

[Print Confirmation of Verification of Identity](#)

Date last updated 20/03/2010

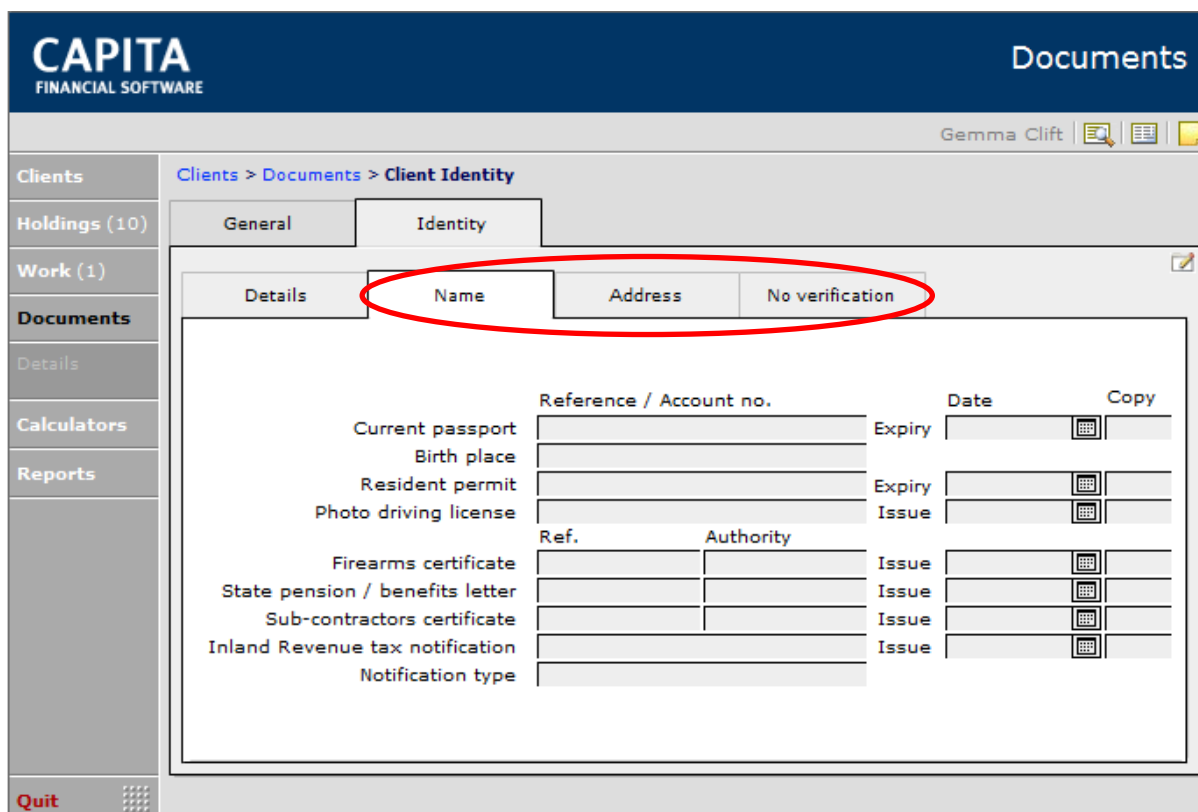
[HM Treasury listings for suspected terrorists](#)

HM TREASURY

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

Quit Current Archive

Click here to enter full information.



CAPITA
FINANCIAL SOFTWARE

Documents

Gemma Clift

Clients > Documents > Client Identity

General Identity

Details Name Address No verification

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

Quit

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

The other link on the front page will take you to the treasury web page for any advice on foreign nationals [▶ HM Treasury listings for suspected terrorists](#).

6. SETTING UP TRACKERS

Trackers are a way of showing your business processes or work flows on CCD utilising the diary and tasks. They require you to have a clear understanding of the processes you wish to track before you attempt to set them up on the system. We strongly recommend that you make a paper representation of the processes you are setting up to refer to during the set up.

The example used in this guide is purely to show the application. This is not to be used as the basis of a real business process.

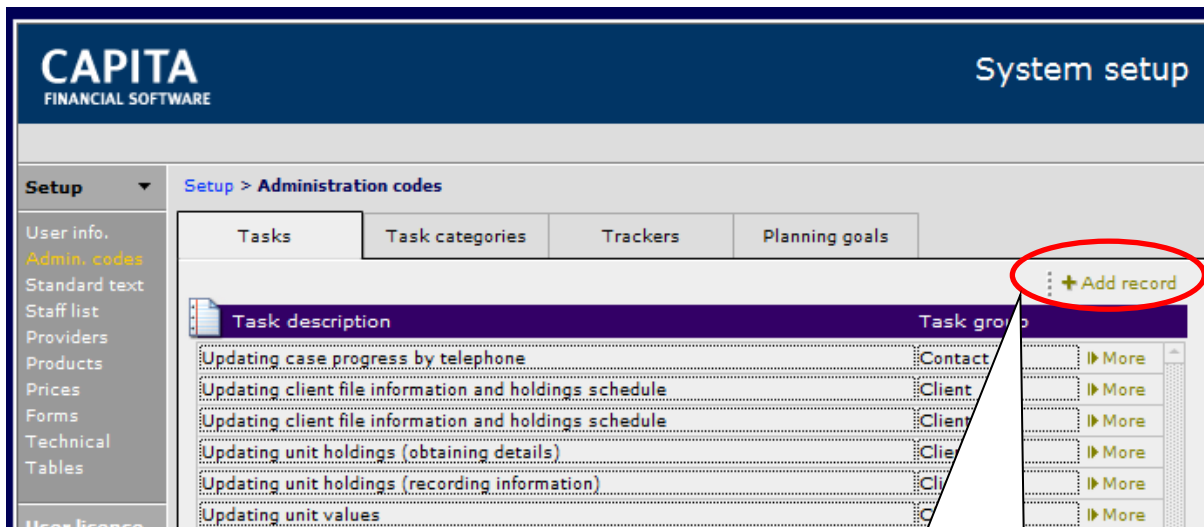
The steps to follow to set up are;

- Match your paper representation step by step to a task in the admin codes data base.
- Review each task and ensure the number of days for each task to be completed is set from the 1st day the tracker is put in place. This may mean that you either need to set up new tasks or amend existing tasks.
- Attach standard letters as required to the tasks.
- Set up the tracker in CCD.

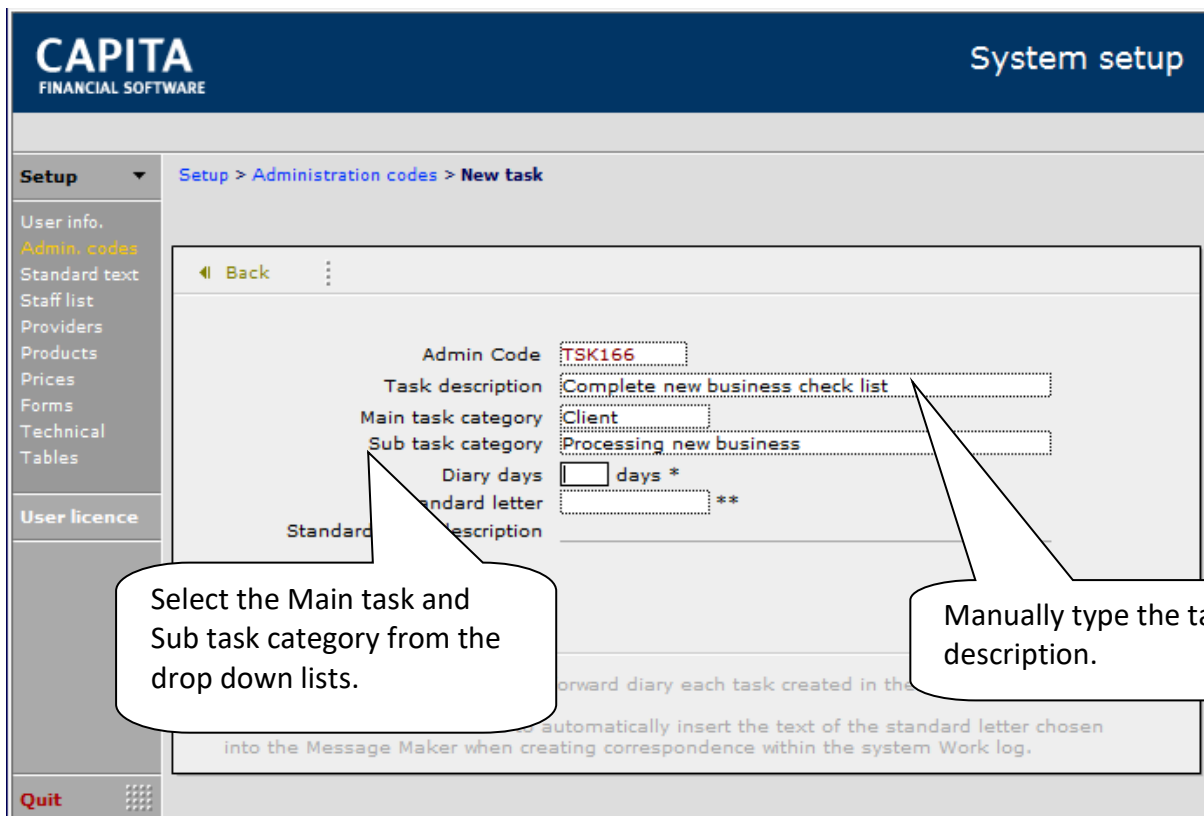
Match to admin codes in the data base. Where no task is present a new task will need to be created.

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

Some processes will not have a corresponding task in CCD.



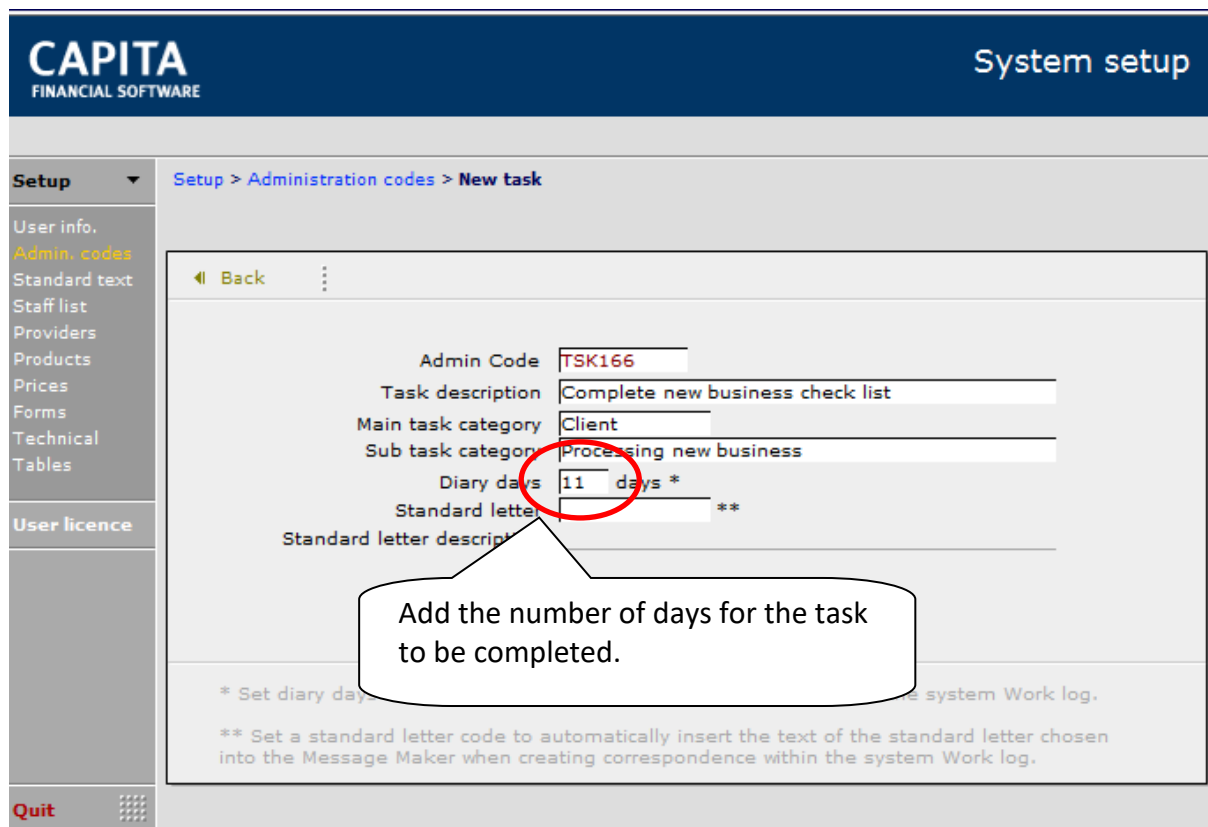
Click here to add a new task.



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

BUSINESS PROCESS	TASK IN ADMIN CODES DATABASE	NUMBER OF DAYS TO COMPLETE
Confirm to client receipt of application	Acknowledge receipt of new application – TSK001	1
Enter details onto client file	Entering new business in admin system – TSK057	2
Submit application to provider	Submit application to provider – TSK 128	2
Update client holding with contract details	Update client file information – TSK139	9
Complete new business check list	Complete New Business Checklist – TSK166	11
Send policy to client	Issuing documents to client – TSK070	12
Set client servicing details	Record Client Servicing Details – TSK162	23

Days from start of tracker for task to be completed.



CAPITA FINANCIAL SOFTWARE System setup

Setup > Administration codes > New task

Admin Code: TSK166

Task description: Complete new business check list

Main task category: Client

Sub task category: Processing new business

Diary days: 11 days *

Standard letter: **

Standard letter description:

* Set diary days to be used in the system Work log.

** Set a standard letter code to automatically insert the text of the standard letter chosen into the Message Maker when creating correspondence within the system Work log.

Quit

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

CAPITA FINANCIAL SOFTWARE System setup

Setup ▾ Setup > Administration codes > Task

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

User licence

Task description Submit application to provider
Main task category Client
Sub task category Processing new business
Diary days 3 days *
Standard letter U30004 **
Standard letter description Policy Confirmation Letter

* Set diary days to automatically create a task created in the system Work log.
** Set a standard letter to automatically create a text of the standard letter chosen into the Message Maker when creating correspondence within the system Work log.

Quit

Task code TSK129

Attach letter here.

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

CAPITA FINANCIAL SOFTWARE System setup

Setup ▾ Setup > Administration codes > Trackers

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

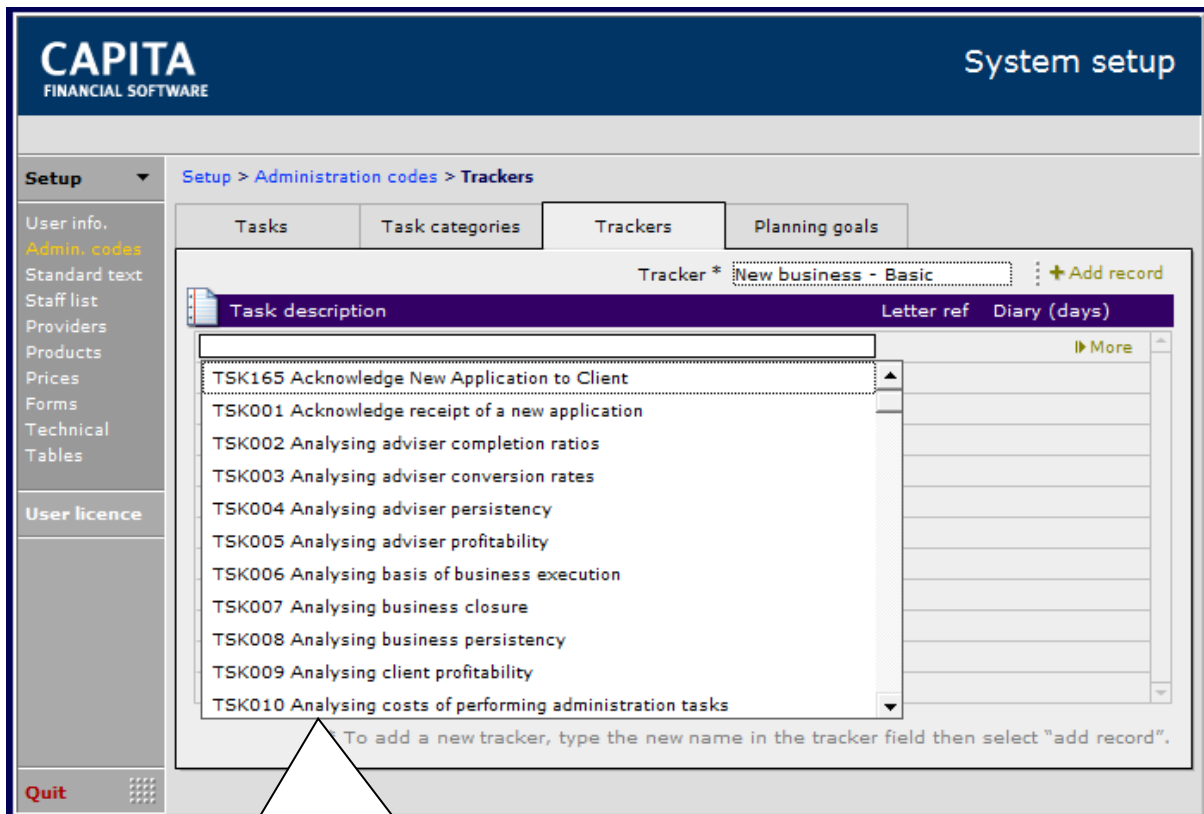
User licence

Tasks Task categories Trackers Planning goals

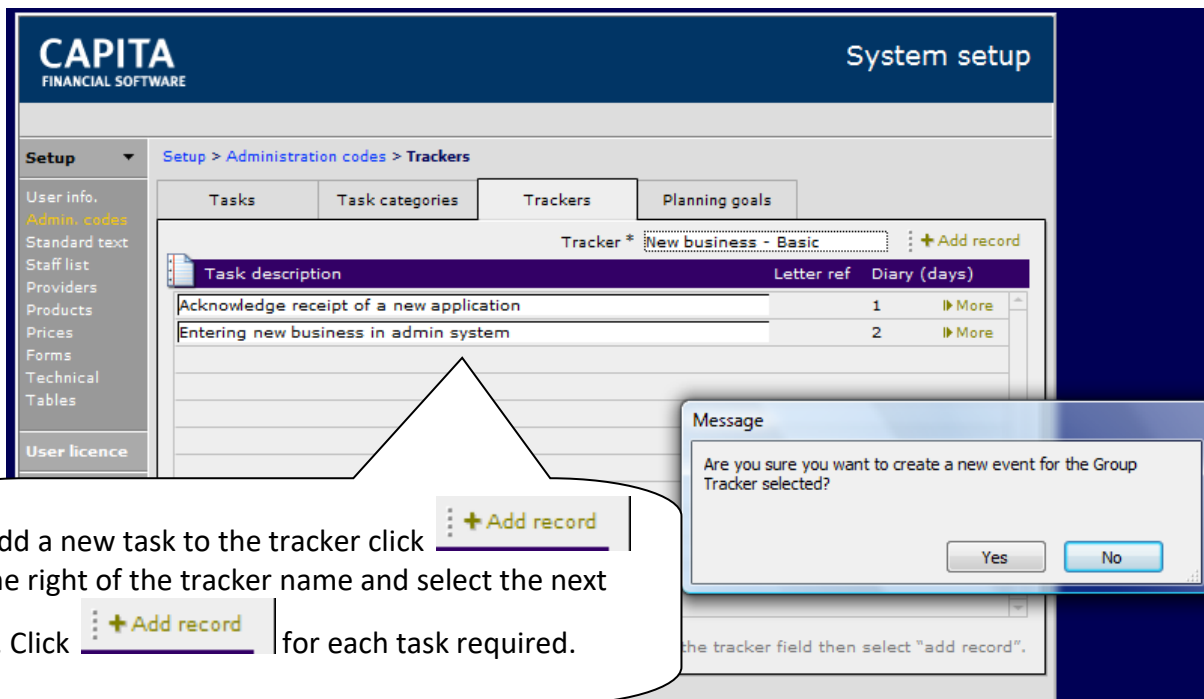
Tracker

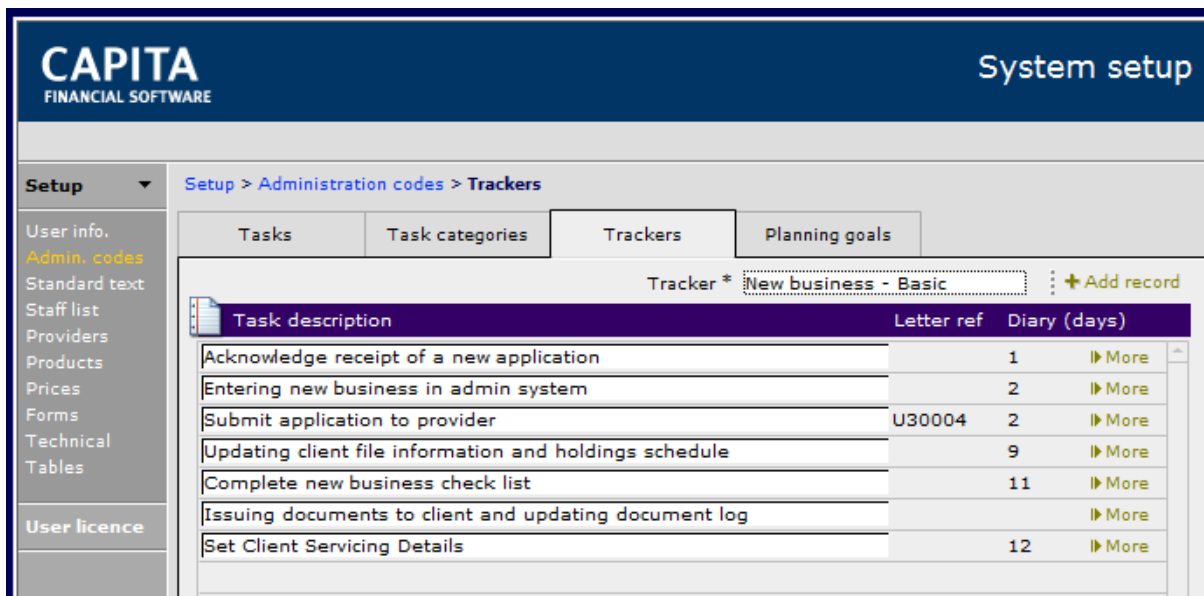
Task description Letter ref Diary (days)

Manually type a name for the tracker and click **+ Add record** to add the first task.



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



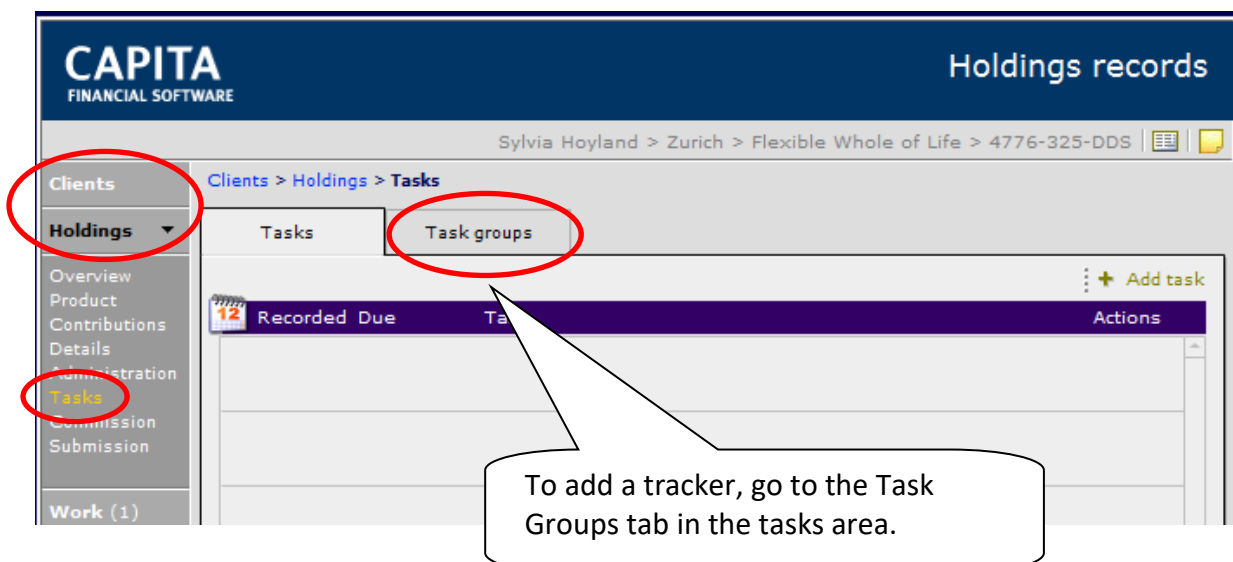


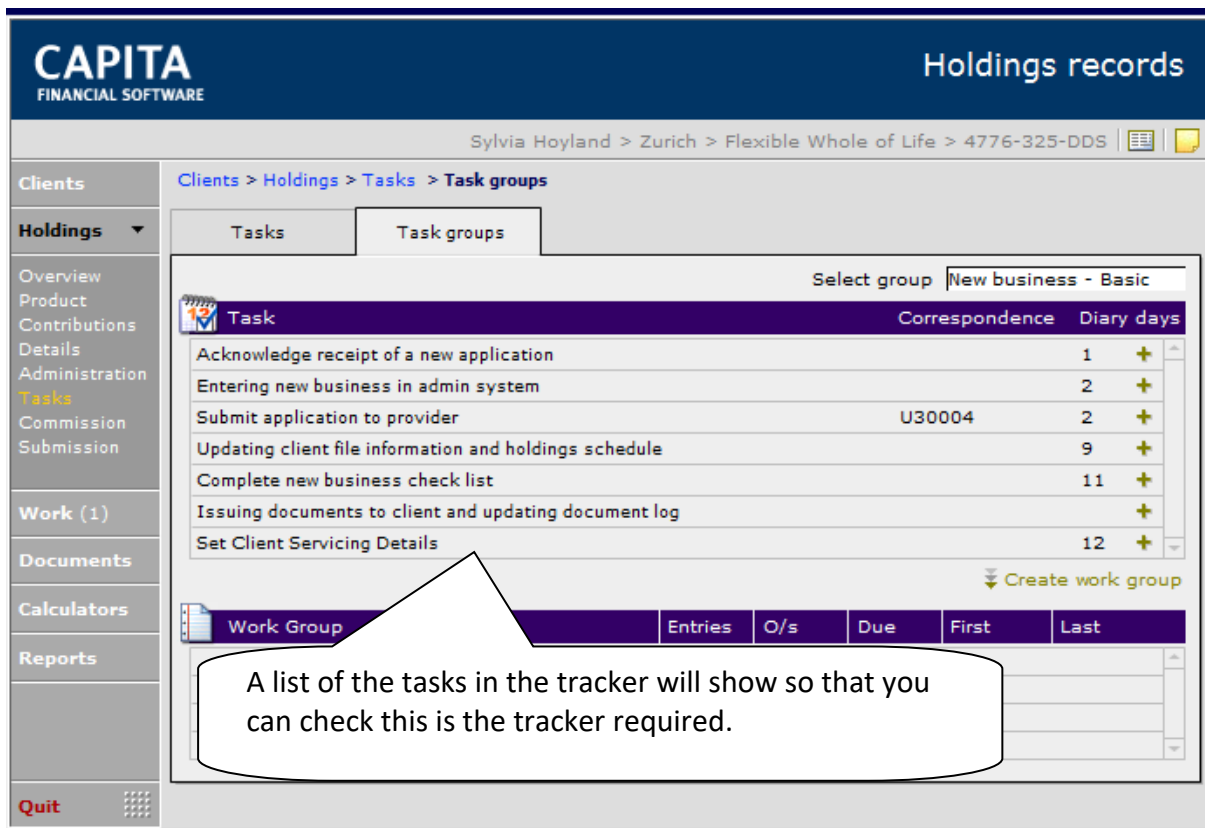
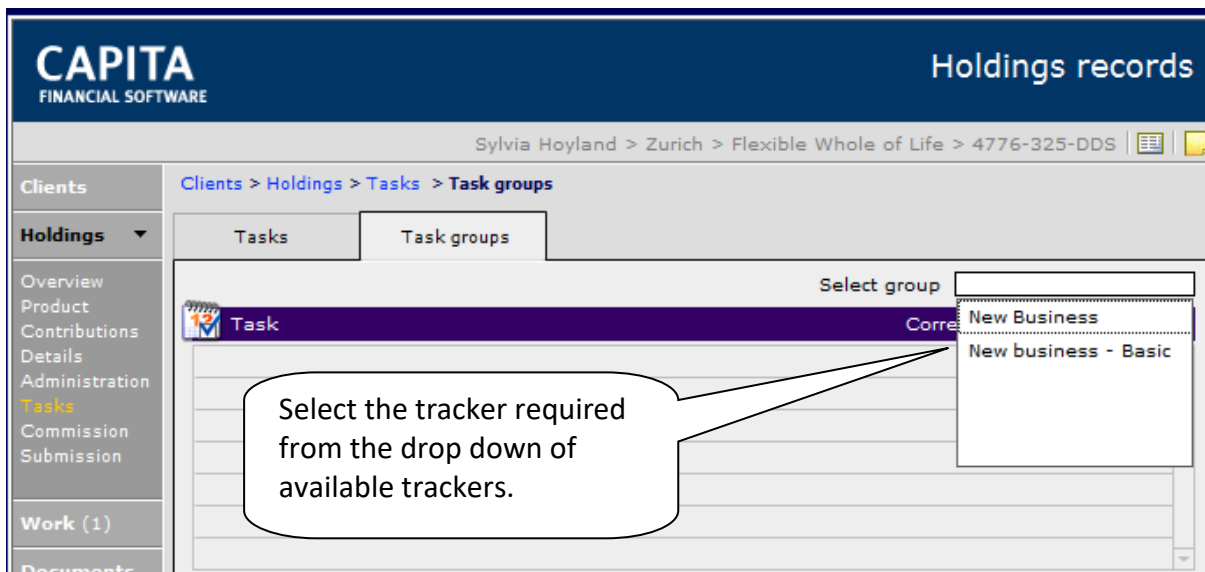
Once a Tracker has been set up within CCD, it can never be deleted.

6.1. Using Trackers

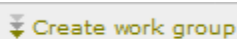
Once a tracker has been created on your system it will be available to use in either the client work module or the holding task module.

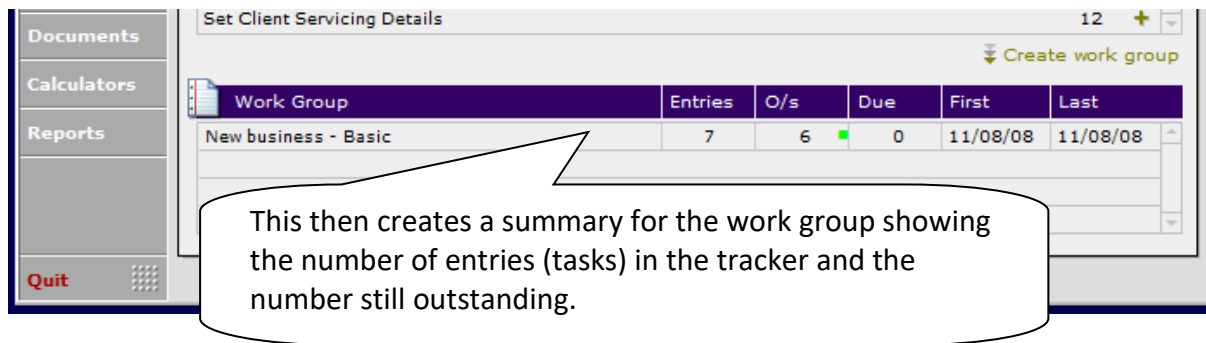
As the tracker we have created is linked to a piece of new business we will look at how this is added in the tasks section of a holding.





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

 Create work group



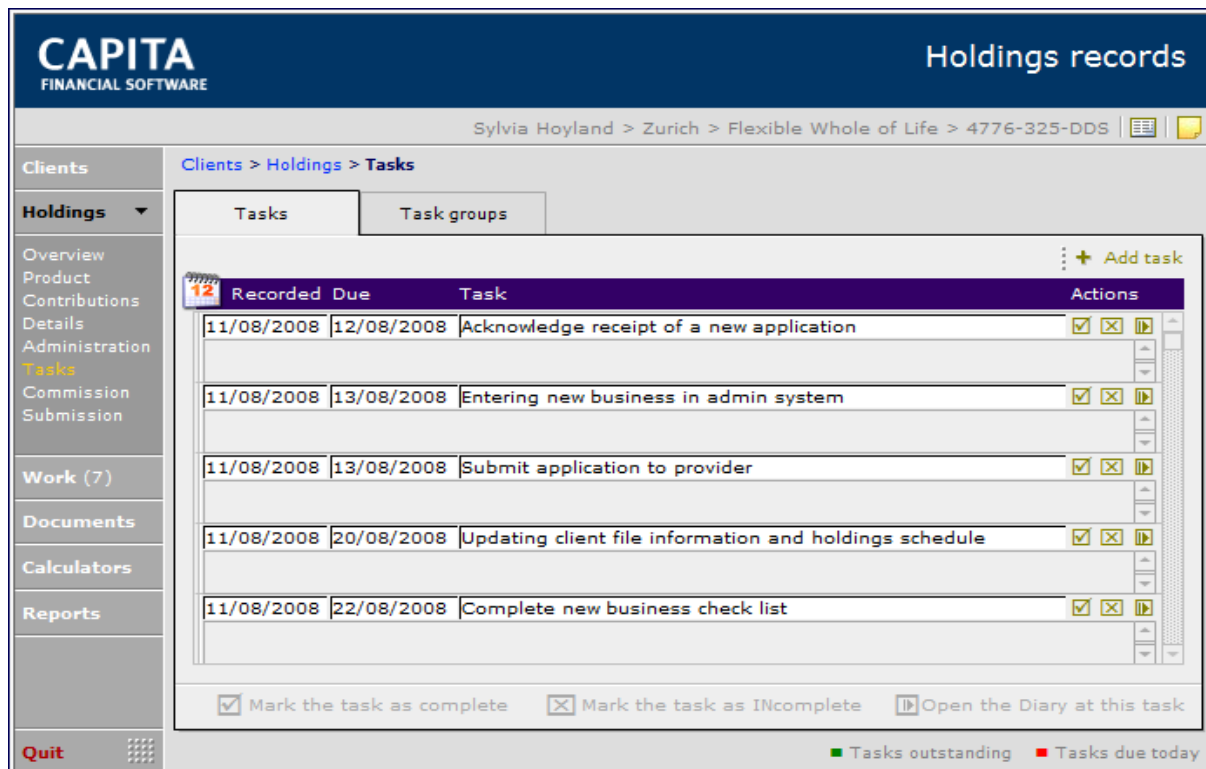
Set Client Servicing Details 12 +

Create work group

Work Group	Entries	O/s	Due	First	Last
New business - Basic	7	6	0	11/08/08	11/08/08

This then creates a summary for the work group showing the number of entries (tasks) in the tracker and the number still outstanding.

Return to the main task list for the holding.



CAPITA FINANCIAL SOFTWARE

Holdings records

Sylvia Hoyland > Zurich > Flexible Whole of Life > 4776-325-DDS

Clients > Holdings > Tasks

Tasks Task groups

+ Add task

Recorded	Due	Task	Actions
11/08/2008	12/08/2008	Acknowledge receipt of a new application	✓ ✕ ID
11/08/2008	13/08/2008	Entering new business in admin system	✓ ✕ ID
11/08/2008	13/08/2008	Submit application to provider	✓ ✕ ID
11/08/2008	20/08/2008	Updating client file information and holdings schedule	✓ ✕ ID
11/08/2008	22/08/2008	Complete new business check list	✓ ✕ ID

☒ Mark the task as complete
 ☒ Mark the task as INcomplete
 ☒ Open the Diary at this task

☒ Tasks outstanding
 ☒ Tasks due today

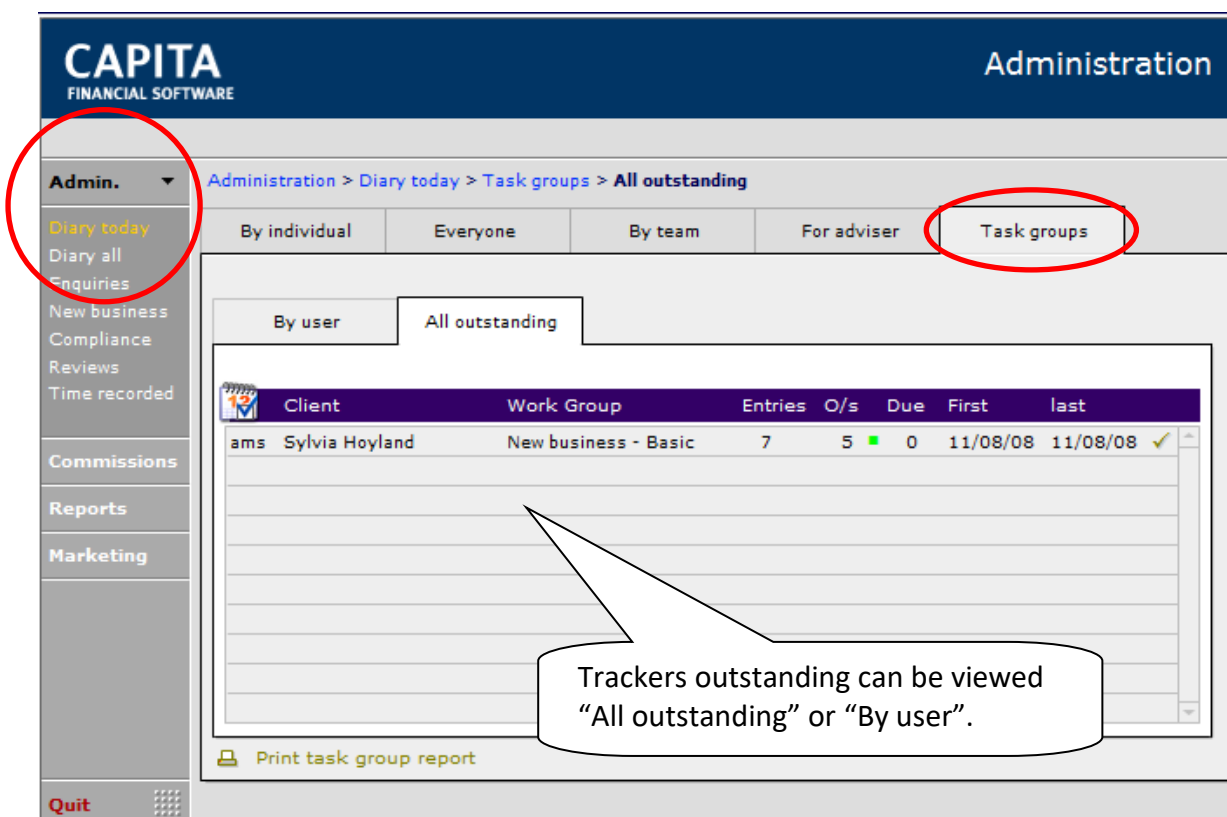
Each task in the tracker has been added to the holdings task list as an individual task, they are all at this stage outstanding. You can now go into each task and reset the person required to complete it from the staff drop down list as required.

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

The progress of trackers can be followed in 2 ways.

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

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



CAPITA
FINANCIAL SOFTWARE

Administration

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

By individual Everyone By team For adviser Task groups

By user All outstanding

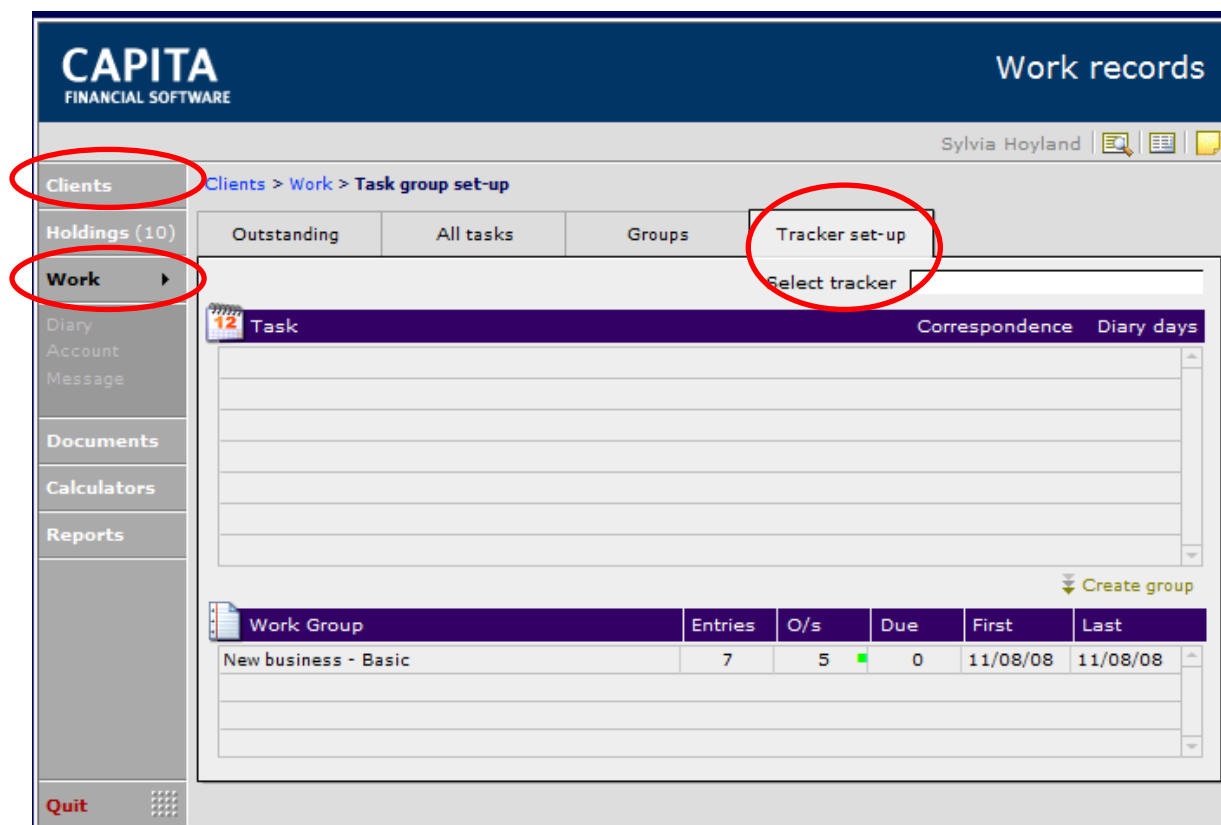
Client	Work Group	Entries	O/s	Due	First	last
ams Sylvia Hoyland	New business - Basic	7	5	0	11/08/08	11/08/08 ✓

Print task group report

Quit

Trackers outstanding can be viewed "All outstanding" or "By user".


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

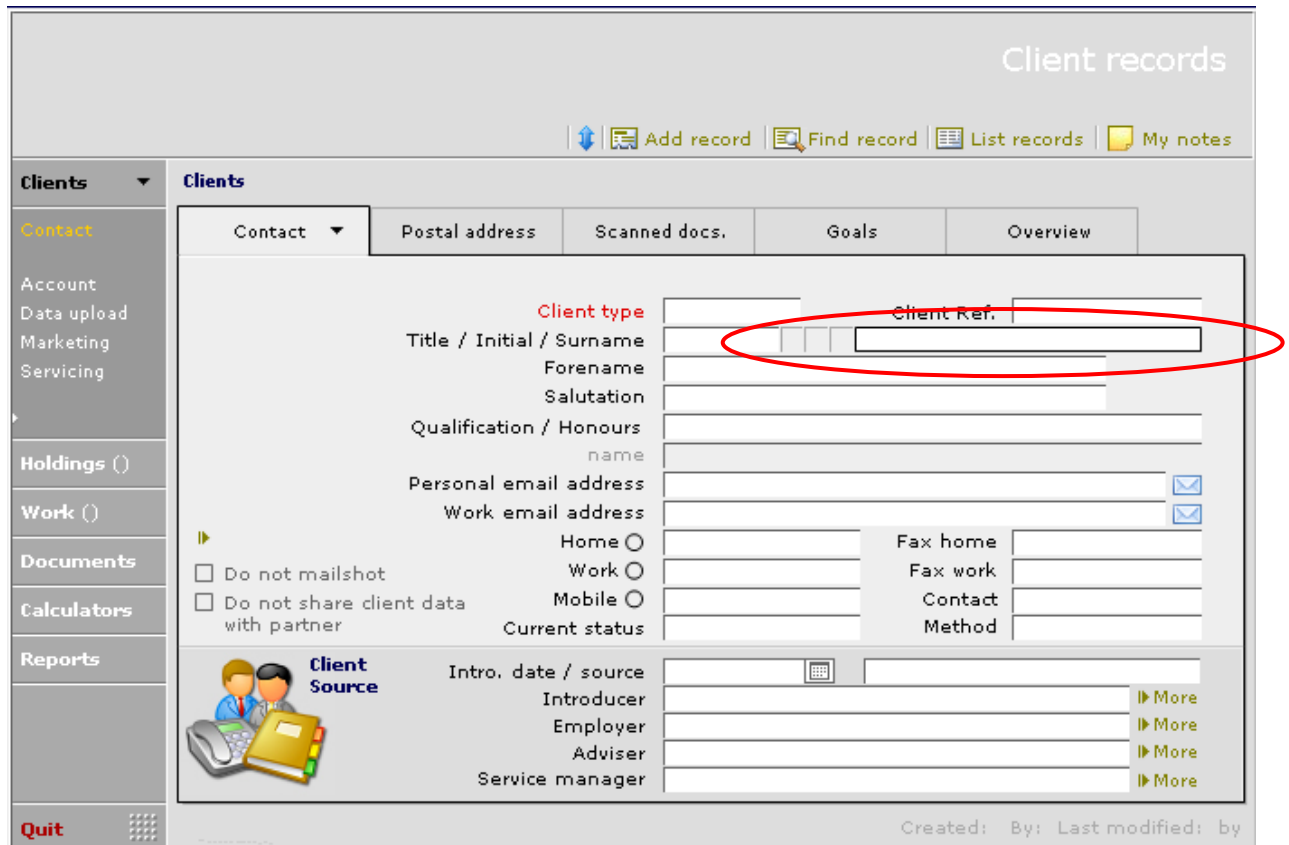


NB. As with work and tasks, trackers added at task level will be available to view in both tasks and work, while trackers added at work level will only be available at work level.

7. SEARCHING YOUR DATABASE

7.1. The Basic Search

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



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

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

Client records

[Add record](#)
[Find record](#)
[List records](#)
[My notes](#)

Clients ▾ Clients

Contact ▾ Postal address Scanned docs. Goals Overview

Client type Client Ref.

Title / Initial / Surname

Forename

Salutation

Qualification / Honours

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

CAPITA FINANCIAL SOFTWARE

Client records

Return

Client list ▸	Client name	Birth date	Postcode	Type	Adviser	F/find	⊕ All
	Pound, Mark Keith	23/12/68	CM12 8YH	Individual	Clive McDonough		Omit
	Pound, Clare	03/04/70	CM12 8YH	Individual	Clive McDonough		Omit

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

[Quit](#)
[Create a printable client list](#)
[Setup marketing wizard based on the above clients](#)

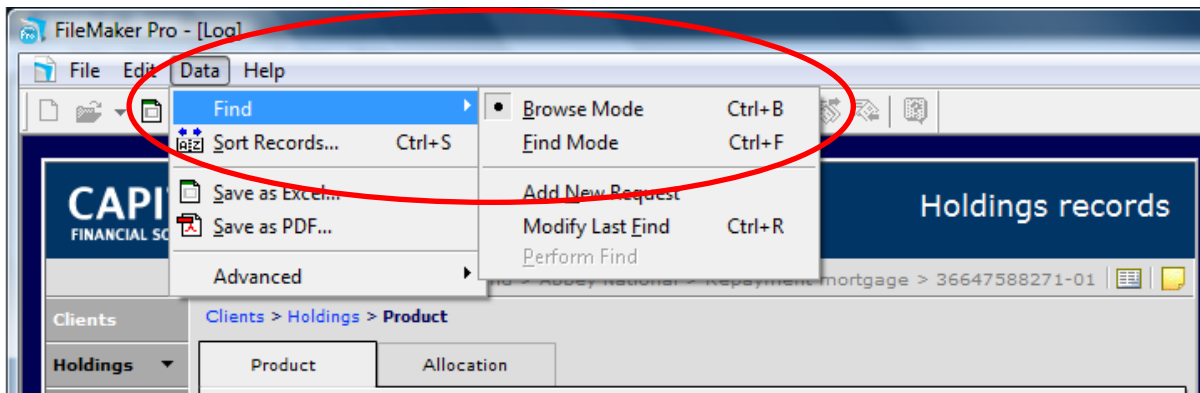
There are 3 options for the type of list required:

- Status
- Contact
- General

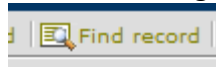
Will take you through to the Marketing section, with the clients listed as the found set. (Marketing wizard is covered later in this section).

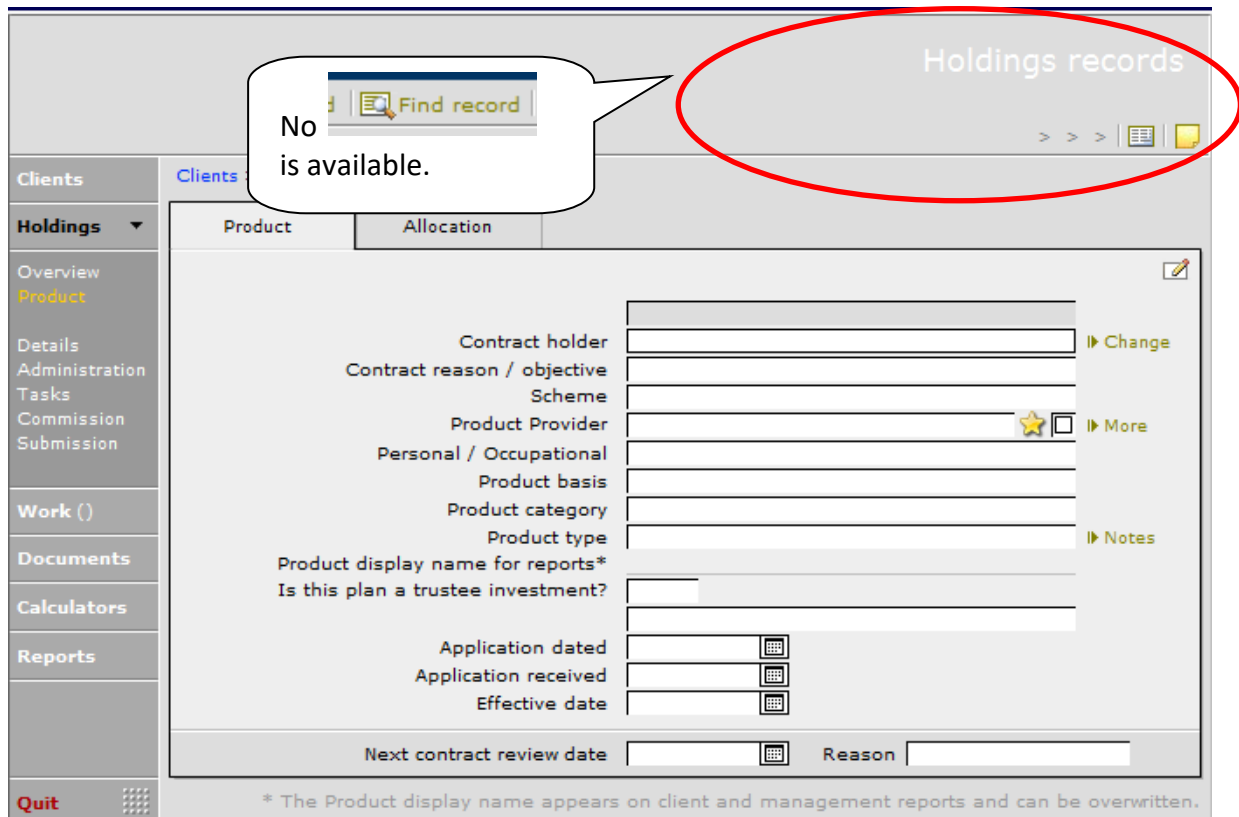
7.2. Using the Browse and find options

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



This option can be used to change the screen you are on into a “Find” mode if needed. Browse mode is the default mode for CCD allowing you to view, add or make amendments to the information on the screen.

The “Find” mode however will change the screen you are in to a search screen similar to the basic client search, however this facility is available in nearly all of the CCD screens allowing you to conduct searches in many different places, and especially where the  button is not available.



Searches can now be made by provider, product type, product category, policy number or any of the other fields available.

This option will not automatically present you with a list but will display one of the records in the found set. There are 2 ways to view all the found records. The first is to click onto the icon at the top of the screen for the list view.

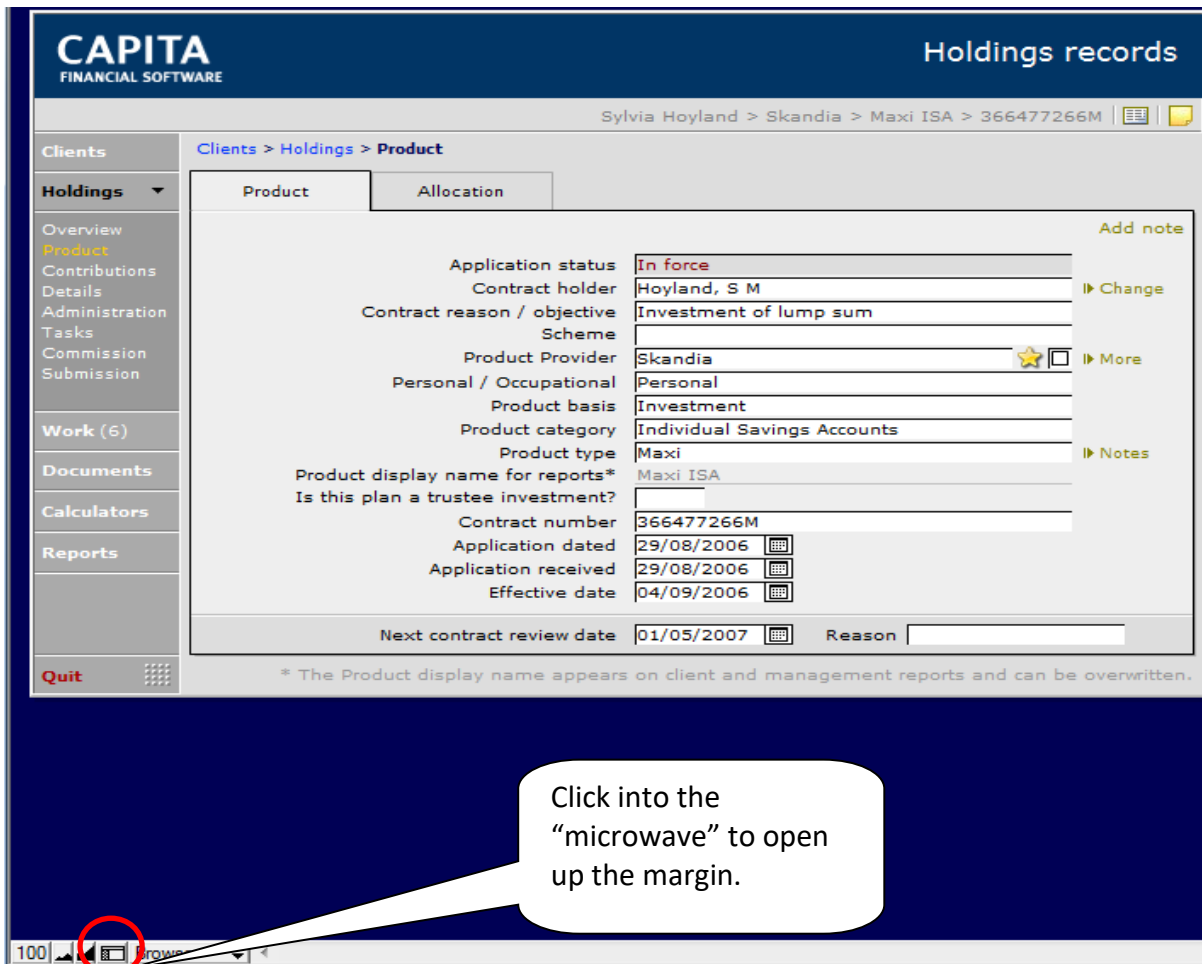


This will display a list of all the records that match the criteria with the option to switch straight to a marketing campaign.

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

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

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



CAPITA
FINANCIAL SOFTWARE

Holdings records

Sylvia Hoyland > Skandia > Maxi ISA > 366477266M

Clients > Holdings > Product

Product Allocation

Application status: In force

Contract holder: Hoyland, S M

Contract reason / objective: Investment of lump sum

Scheme:

Product Provider: Skandia

Personal / Occupational: Personal

Product basis: Investment

Product category: Individual Savings Accounts

Product type: Maxi

Product display name for reports*: Maxi ISA

Is this plan a trustee investment?:

Contract number: 366477266M

Application dated: 29/08/2006

Application received: 29/08/2006

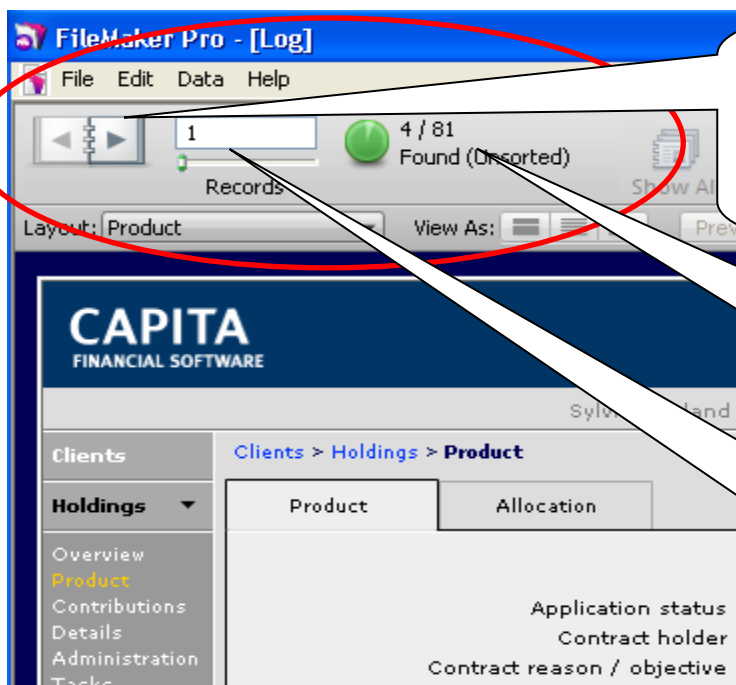
Effective date: 04/09/2006

Next contract review date: 01/05/2007

Reason:

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

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



FileMaker Pro - [Log]

File Edit Data Help

Records: 1 / 4 / 81 Found (Unsorted)

Layout: Product

View As:

CAPITA
FINANCIAL SOFTWARE

Clients > Holdings > Product

Product Allocation

Application status

Contract holder

Contract reason / objective

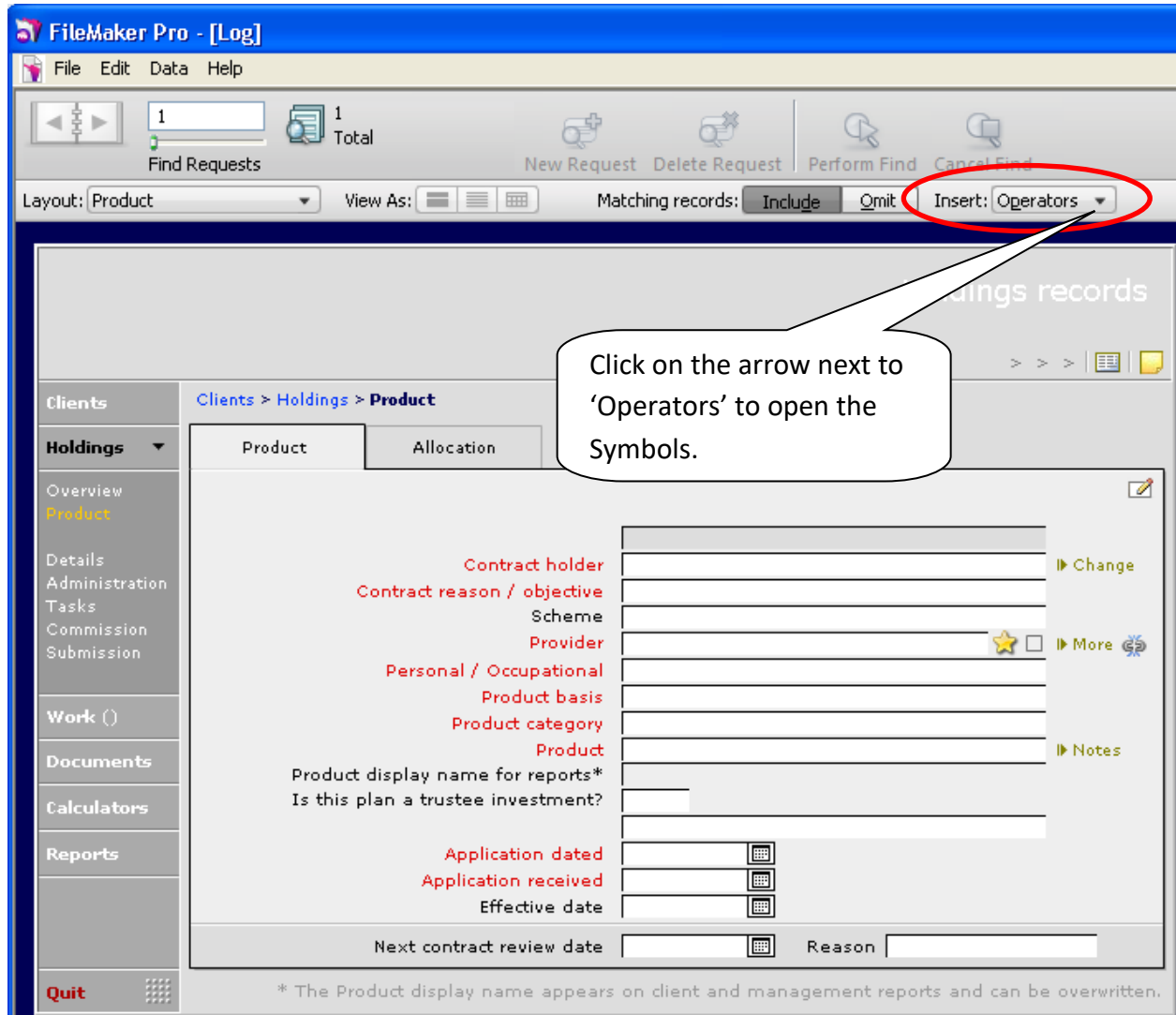
These 'arrows' allow you to move
through the records selected click
onto the page to move to the next
record.

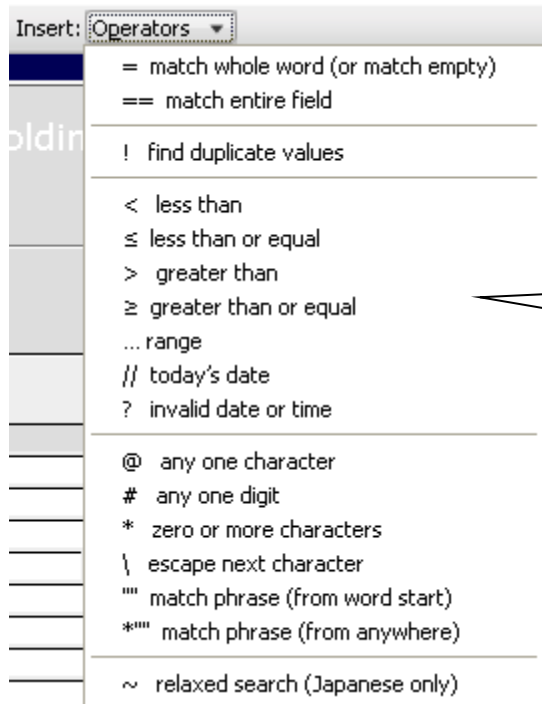
Shows the number of records
found that match the search
criteria. In this example, it has
found 4 records out of a total of
81 records.

Shows the number of the
record currently being

7.2.1. Using the “Symbols” search

Combining both the records menu and the find facility will give you greater options when it comes to searching for data in your system. When you are in a CCD screen, open up the margin using the ‘Microwave’ and change to ‘Find’ mode.





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

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

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



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

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

FileMaker Pro - [Log]

File Edit Data Help

Find Requests: 1 Total

New Request Delete Request Perform Find Cancel Find

Layout: Product View As: Matching records: Include Omit Insert: Operators

Holdings records

Clients > Holdings > Product

Product Allocation

Contract holder

Contract reason / objective

Scheme

Provider SKAN

Personal / Occupational Personal

Product basis

Product category

Product

Product display name for reports*

Is this plan a trustee investment?

Application dated >01/01/199

Application received

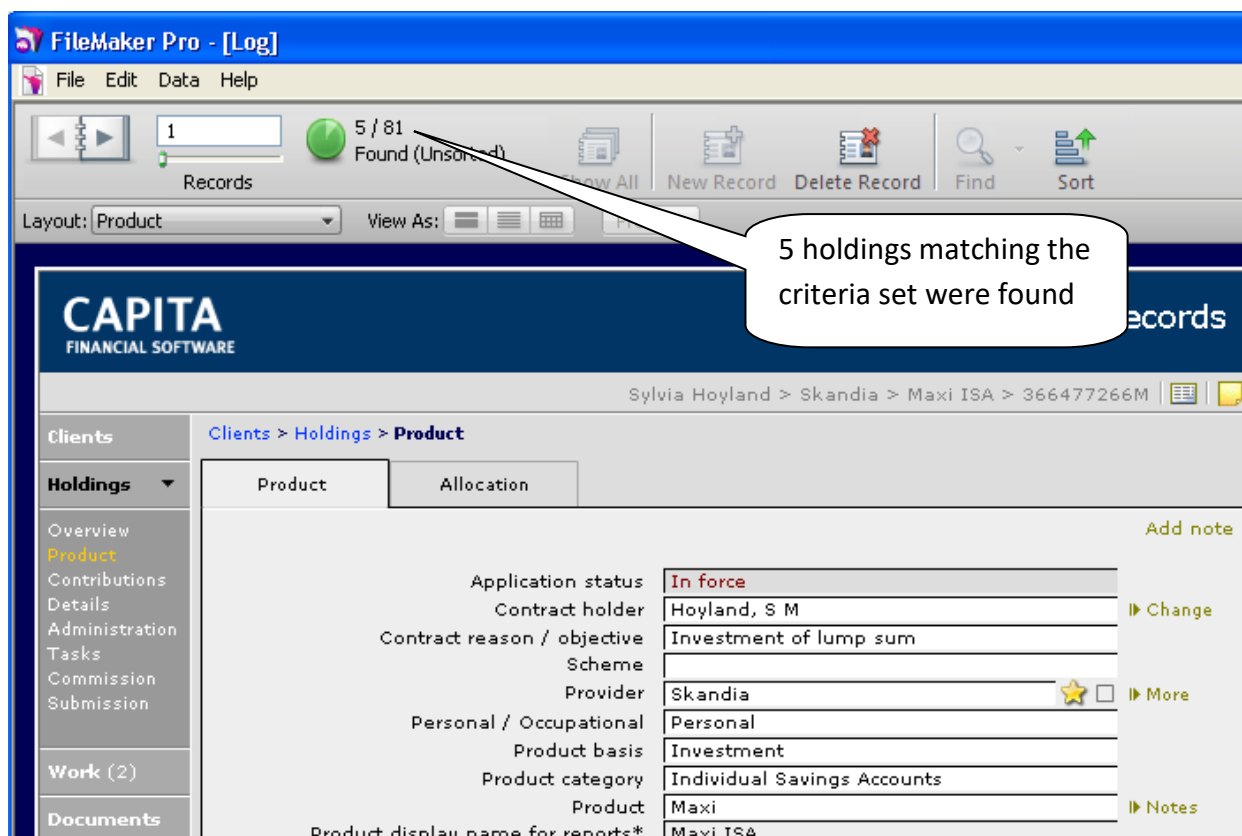
Effective date

Next contract review date Reason

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

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

The information is then returned.



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

If you were looking for clients where the telephone number is blank then using the character '*' (zero or more characters) will not work. This would have the effect of searching your system for every telephone number field that contained at least 1 numeric character in it. If however you searched the telephone number field with the symbol '=' (this is two '=') and is used to find all records where the field that this is added to is empty.

7.3. Searching in reports

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

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

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

FileMaker Pro - [Commrec]

File Edit Data Help

Return Print Preview Extract

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

Contract holder	Contract type	Contract / Policy number	Transaction	Consultant	Effect. date	Due date	Amount due
Cliff, G H	Repayment mortgage	588787211	Initial - Non indemnity		18/08/06	18/08/06	£742.50
Hoyland, S M	Unit Linked Bond	0005543345	Initial - Non indemnity	Clive McDonough	06/09/06	06/09/06	£1,100.00
Pound, M K & Pound, C	Decreasing Term with Critical Illness		Initial - indemnity	Clive McDonough	10/09/06	10/09/06	£726.00
Pound, M K	Flexible Whole of Life	7299100-ul	Initial - indemnity	Clive McDonough	01/10/06	01/10/06	£890.00
Cheung, T	Personal Pension		Initial - indemnity	Clive McDonough	01/08/06	25/07/06	£240.00
May, G	Repayment mortgage (Re-mortgage)		Initial - Procuration fee	Mark Andrew Brent	15/08/06	05/08/06	£1,600.00
May, G	Let to buy interest only		Initial - Procuration fee	Mark Andrew Brent	15/08/06	05/08/06	£250.00
May, G	Buy to let interest only		Initial - Procuration fee	Mark Andrew Brent	21/08/06	05/08/06	£250.00
Tony Cheung	Up front Fee	Client fee	Client fee	Clive McDonough		11/07/06	£595.00
Geoffrey May	Mortgage Fee	Client fee	Client fee	Mark Andrew Brent		29/07/06	£1,250.00
Christine Taylor	Monthly service fee	Client fee	Client fee	Shella Andrews		07/08/06	£75.00
Christine Taylor	Monthly service fee	Client fee	Client fee	Shella Andrews		07/08/06	£75.00
Hopkins, P	Mail ISA	SI8675678	Renewal	Shella Andrews	06/09/06	06/12/06	£0.10
Hopkins, P	Mail ISA	SI8675678	Initial - regular	Shella Andrews	06/09/06	06/12/06	£7.50
Delvihar Patel	Up front Fee	Client fee	Client fee	Clive McDonough		10/09/06	£595.00
Christine Taylor	Monthly service fee	Client fee	Client fee	Shella Andrews		07/10/06	£75.00
Christine Taylor	Monthly service fee	Client fee	Client fee	Shella Andrews		07/11/06	£75.00
Christine Taylor	Monthly service fee	Client fee	Client fee	Shella Andrews		07/12/06	£75.00
Gemma Cliff	Monthly service fee	Client fee	Client fee	Shella Andrews		01/12/06	£50.00
Worth, B & Worth, P	Unit Linked Bond	si8676758	Initial - indemnity	Mark Andrew Brent	29/05/07	29/05/07	£1,500.00
Clark, I & Clark, H P	Unit Linked Bond		Suspense	Shella Andrews	01/10/06	29/08/06	£403.00
Dent, G P	Income Protection		Suspense	Shella Andrews	01/10/06	01/10/06	£593.00
Christine Taylor	Monthly service fee	Client fee	Client fee	Shella Andrews		07/01/07	£75.00
Gemma Cliff	Monthly service fee	Client fee	Client fee	Shella Andrews		01/01/07	£50.00
Christine Taylor	Monthly service fee	Client fee	Client fee	Shella Andrews		07/02/07	£75.00
Gemma Cliff	Monthly service fee	Client fee	Client fee	Shella Andrews		01/02/07	£50.00
Christine Taylor	Monthly service fee	Client fee	Client fee	Shella Andrews		07/03/07	£75.00
Gemma Cliff	Monthly service fee	Client fee	Client fee	Shella Andrews		01/03/07	£50.00

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

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

FileMaker Pro - [Commrec]

File Edit Data Help

Find Requests 1 Total

New Request Delete Request Perform Find Cancel Find

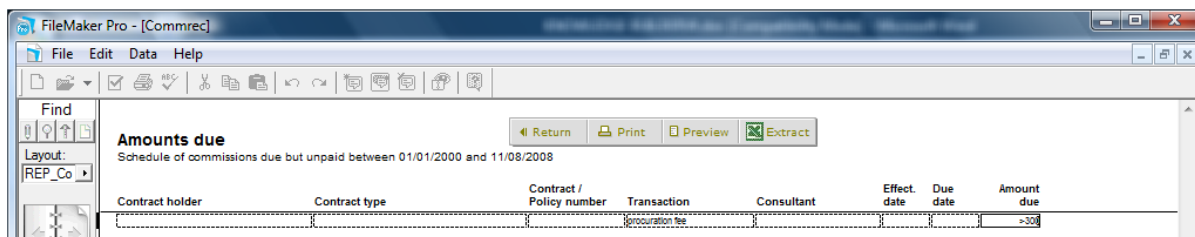
Layout: REP_CommDue View As: Matching records: Include Omit Insert: Operators

Return Print Preview Extract

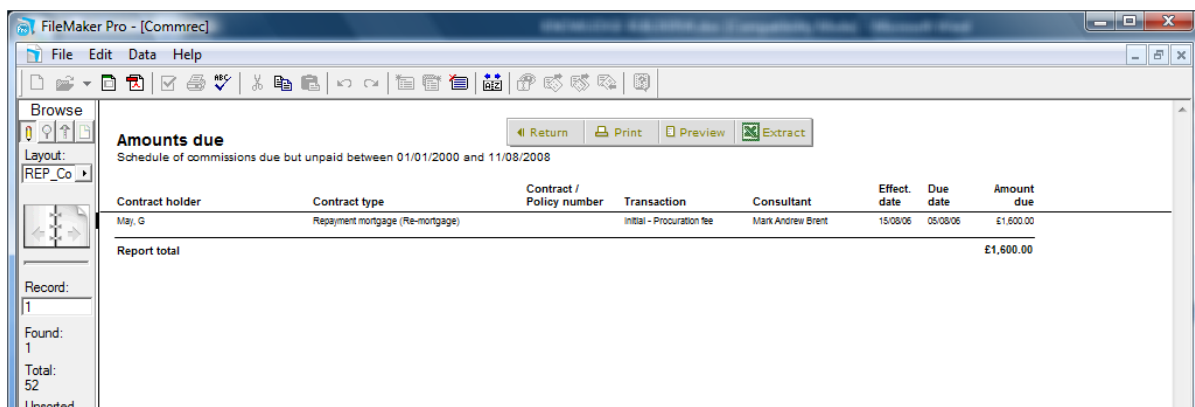
Amounts due
Schedule of commissions due but unpaid between 01/01/2008 and 23/12/2008

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

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



Contract holder	Contract type	Contract / Policy number	Transaction	Consultant	Effect. date	Due date	Amount due
							>300



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

7.3.1. Modify Search

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

Admin. Administration > Reports > Commissions

Commissions

Company Adviser Introducer Region Branch Statements

Reports

Diary Enquiries New business Commissions Reviews Time recorded Compliance

Marketing

Commissions Fees Fund based Aged debt reports

Schedules Analysis

- Due not paid schedule by Provider
- Due not paid schedule by Provider by scheme
- Schedule of amounts paid by Provider
- Schedule of amounts paid by Provider by scheme
- Schedule of amounts paid by business source
- Schedule of amounts paid by service manager
- Schedule of clawbacks recorded within date range

Report from 01/01/2008 Provider SKAN Data source Commrec

Report to 11/08/2008 Service manager Business source

Adviser Branch

FileMaker Pro - [Commrec]

File Edit Data Help

Amounts due

Return Print Preview Extract

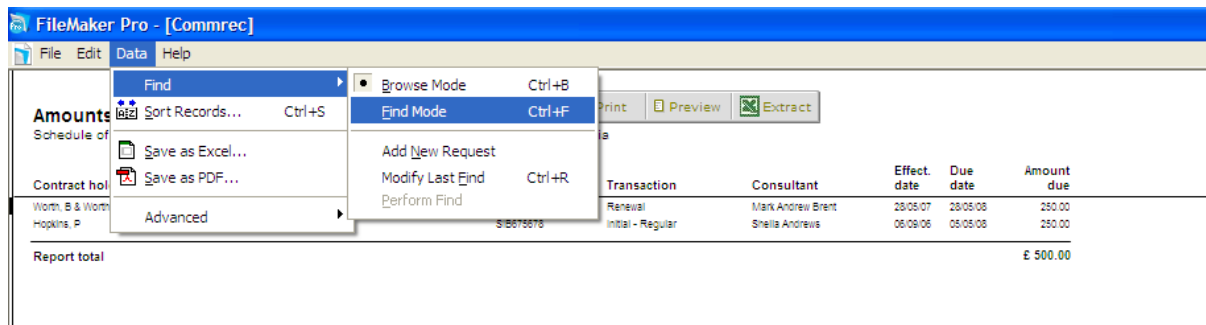
Schedule of commissions due but unpaid between 01/01/2008 and 11/08/2008 from Skandia

Contract holder	Contract type	Contract / Policy number	Transaction	Consultant	Effect. date	Due date	Amount due
Worth, B & Worth, P	Unit Linked Bond	sl0676768	Renewal	Mark Andrew Brent	29/05/07	29/05/08	250.00
Hopkins, P	Mail ISA	SI6676676	Initial - Regular	Shelia Andrews	06/09/06	06/09/08	250.00
Report total							£ 500.00

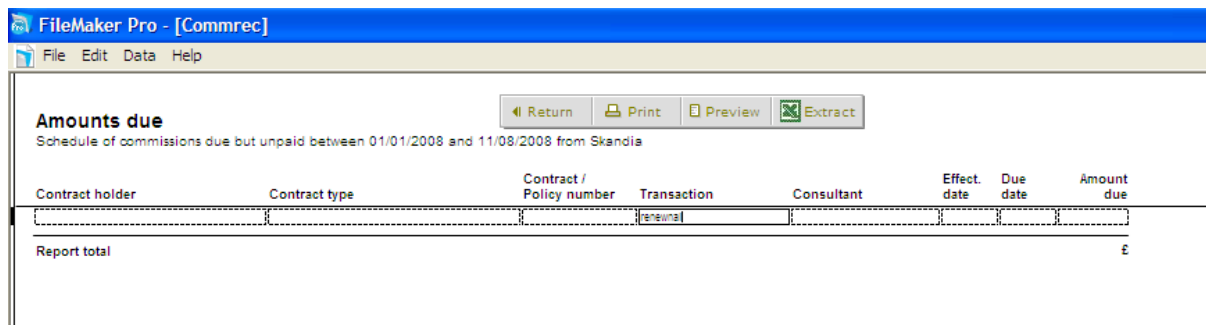
Once you have your report on screen you will see at the top of the screen the FileMaker toolbar



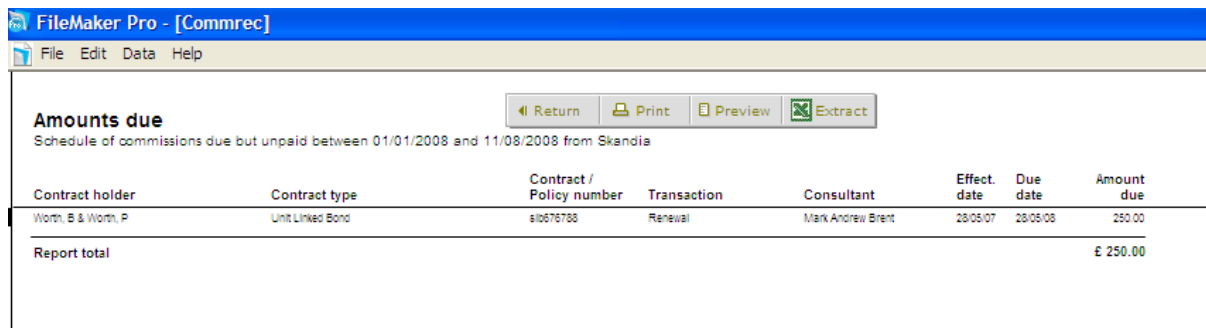
Click into Data and then find and then Modify last find.



The search criteria can be entered in the same way as for the “find” search. In the example below, we are finding any ‘Renewal’ commission.



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



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

8. USING A STANDARD MARKETING WIZARD

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

CAPITA
FINANCIAL SOFTWARE

Administration

Admin. Administration > Marketing > **Wizards**

Commissions

Reports

Marketing ▼
 Diary today
 Diary all
Wizards
 Reports

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

- ▶ Clients of who have plans due for review between 01/01/08 and 11/08/08
- ▶ All plans due to mature or expire between 01/01/08 and 11/08/08
- ▶ All clients due for their next periodic review between 01/01/08 and 11/08/08
- ▶ All plans taken out between 01/01/08 and 11/08/08
- ▶ All mortgages under which the rate guarantee expires between 01/01/08 and 11/08/08
- ▶ All clients of who have no review date booked
- ▶ All plan holders currently aged between and
- ▶ Clients aged between and who do not have a plan
- ▶ All clients who have contributed over a certain amount to their pension in a given tax year
- ▶ All clients who have unused ISA allowance for current tax year

I want to create my own found set

- ▶ Search client records...
- ▶ Search holding records...

Report from	01/01/2008	Product basis	Age from...
Report to	11/08/2008	Provider	... age to
Adviser ref		Introducer	Branch

Quit

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

The example below is for all of clients with reviews due between 01/01/2006 and 11/08/2008.

CAPITA
FINANCIAL SOFTWARE

Administration

Admin. Administration > Marketing > **Wizards**

Commissions

Reports

Marketing ▾

Diary today

Diary all

Wizards

Reports

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

- ▶ Clients of who have plans due for review between 01/01/08 and 11/08/08
- ▶ All plans due to mature or expire between 01/01/08 and 11/08/08
- ▶ All clients due for their next periodic review between 01/01/08 and 11/08/08
- ▶ All plans taken out between 01/01/08 and 11/08/08
- ▶ All mortgages under which the rate guarantee expires between 01/01/08 and 11/08/08
- ▶ All clients of who have no review date booked
- ▶ All plan holders currently aged between and
- ▶ Clients aged between and who do not have a plan
- ▶ All clients who have contributed over a certain amount to their pension in a given tax year
- ▶ All clients who have unused ISA allowance for current tax year

I want to create my own found set

- ▶ Search client records...
- ▶ Search holding records...

Report from

Report to

Adviser ref

Product basis

Provider

Introducer

Age from...

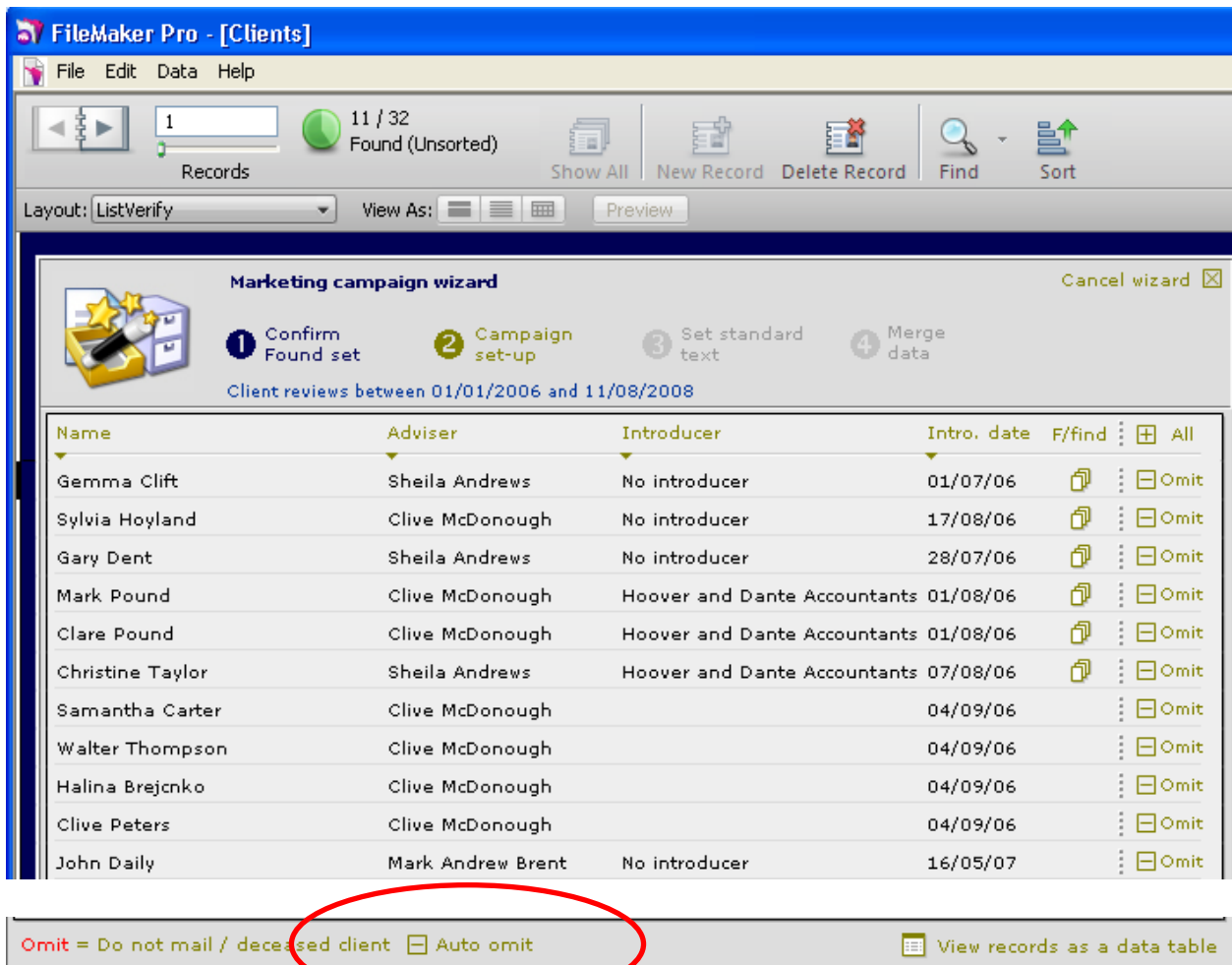
... age to

Branch

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

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Marketing campaign wizard Cancel wizard

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

Client reviews between 01/01/2006 and 11/08/2008

Name	Adviser	Introducer	Intro. date	F/find	All
Gemma Clift	Sheila Andrews	No introducer	01/07/06		Omit
Sylvia Hoyland	Clive McDonough	No introducer	17/08/06		Omit
Gary Dent	Sheila Andrews	No introducer	28/07/06		Omit
Mark Pound	Clive McDonough	Hoover and Dante Accountants	01/08/06		Omit
Clare Pound	Clive McDonough	Hoover and Dante Accountants	01/08/06		Omit
Christine Taylor	Sheila Andrews	Hoover and Dante Accountants	07/08/06		Omit
Samantha Carter	Clive McDonough		04/09/06		Omit
Walter Thompson	Clive McDonough		04/09/06		Omit
Halina Brejcnko	Clive McDonough		04/09/06		Omit
Clive Peters	Clive McDonough		04/09/06		Omit
John Daily	Mark Andrew Brent	No introducer	16/05/07		Omit

Omit = Do not mail / deceased client Auto omit View records as a data table

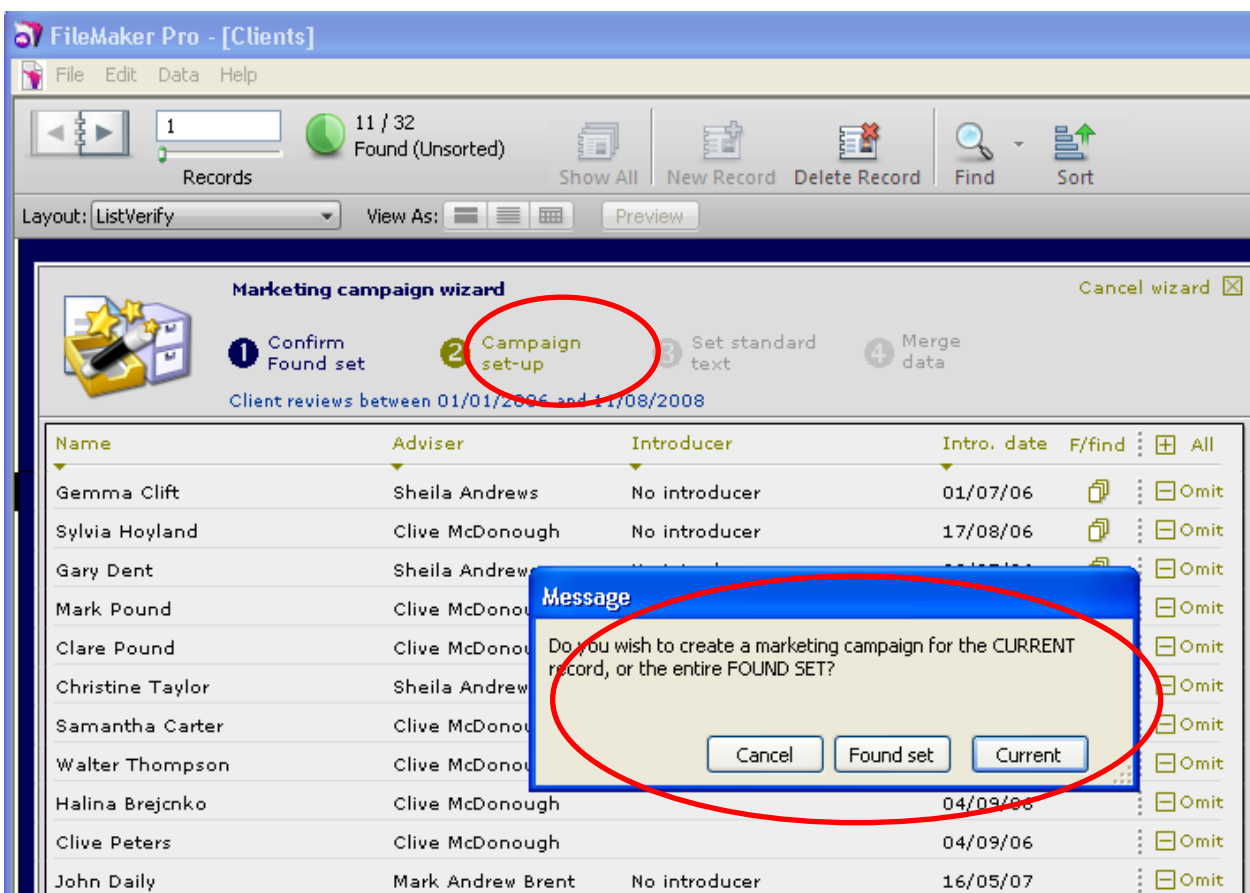
At this point you have the option to omit any clients that you do not wish to contact, or that have the deceased/do not mail flag logged against their record. To omit the records already flagged as deceased/do not mail use the link at the bottom of the page.

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

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



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




The following screen will now appear:


Marketing campaign wizard Cancel wizard ✕

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

How is this Mailshot to be followed-up?

Initial action


Established 

Action by date 

Diary For the attention of

What communication type is to be used?

Communication method

date 

Our reference

Private

Financial promotion Select

Message

Marketing records set-up:

Please complete red highlighted fields before continuing.

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


Marketing campaign wizard Cancel wizard ✕


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

How is this Mailshot to be followed-up?

Initial action

Annual review

Established 


Action by date 

Diary For the attention of

What communication type is to be used?

Communication method

Letter

Letter date 

Our reference

Private

Fax from

Fax no. pages

Financial promotion Select campaign code*

Type of campaign

Type of promotion

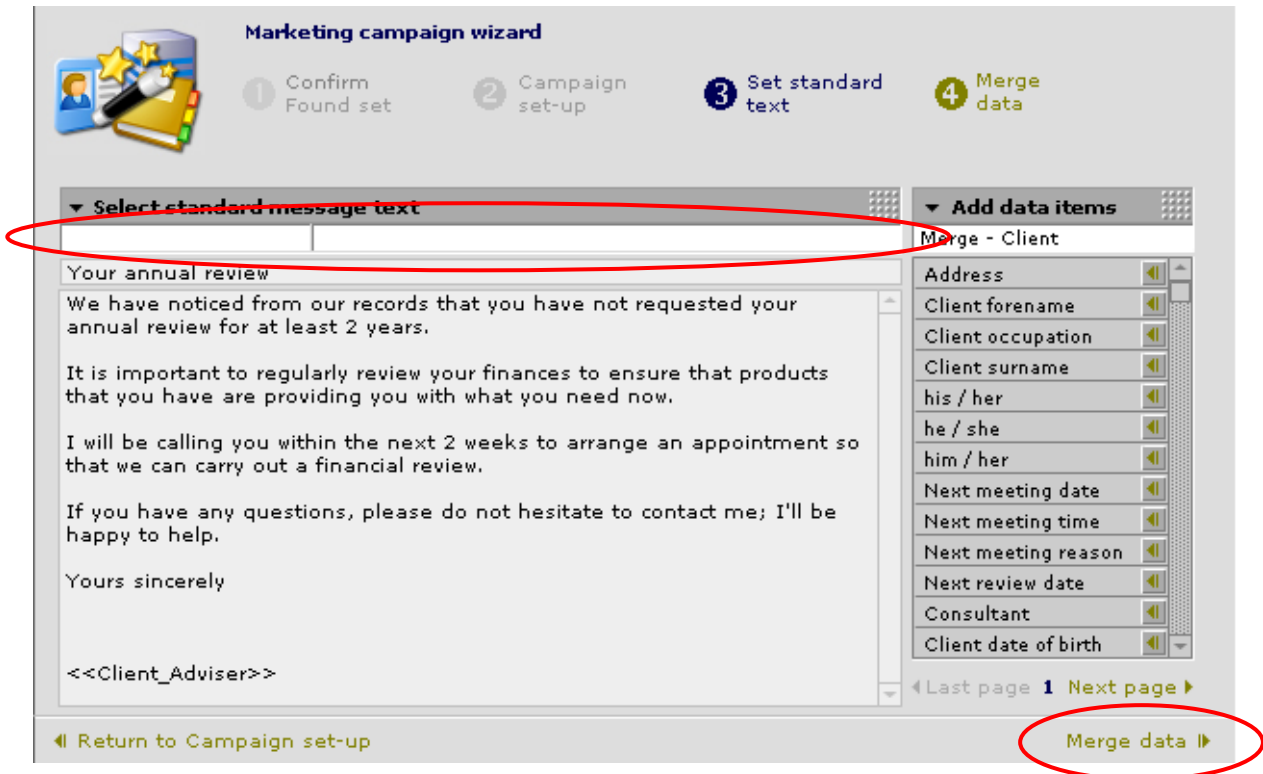
Description

Purpose

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

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

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



Marketing campaign wizard

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

Select standard message text

Your annual review

We have noticed from our records that you have not requested your annual review for at least 2 years.

It is important to regularly review your finances to ensure that products that you have are providing you with what you need now.

I will be calling you within the next 2 weeks to arrange an appointment so that we can carry out a financial review.

If you have any questions, please do not hesitate to contact me; I'll be happy to help.

Yours sincerely

<<Client_Adviser>>

Add data items

Merge - Client

Address

Client forename

Client occupation

Client surname

his / her

he / she

him / her

Next meeting date

Next meeting time

Next meeting reason

Next review date

Consultant

Client date of birth

◀ Last page 1 Next page ▶

◀ Return to Campaign set-up Merge data ▶

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

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

Marketing campaign wizard Cancel wizard [X]

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

How is this Mailshot to be followed-up?

Initial action: Annual review
 Established: 03/03/2011
 Action by date:
 Diary For the attention of: NO DATE

What communication type is to be used?

Communication method: Letter
 Letter date: 03/03/2011
 Our reference: CMD/as
 Private: Strictly Confidential

Financial promotion Select

Message

Create marketing records on this set-up?

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

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

Marketing campaign wizard Exit wizard [X]

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

Congratulations, the marketing campaign is now complete.
 You can view Letter dated 03/03/2011 for Gemma Clift and manually select print / preview options or batch Print all 11 Letters dated 03/03/2011

▶ View Letter dated 03 March 2011 for Gemma Clift

🖨 Batch Print all 11 Letters dated 03/03/2011

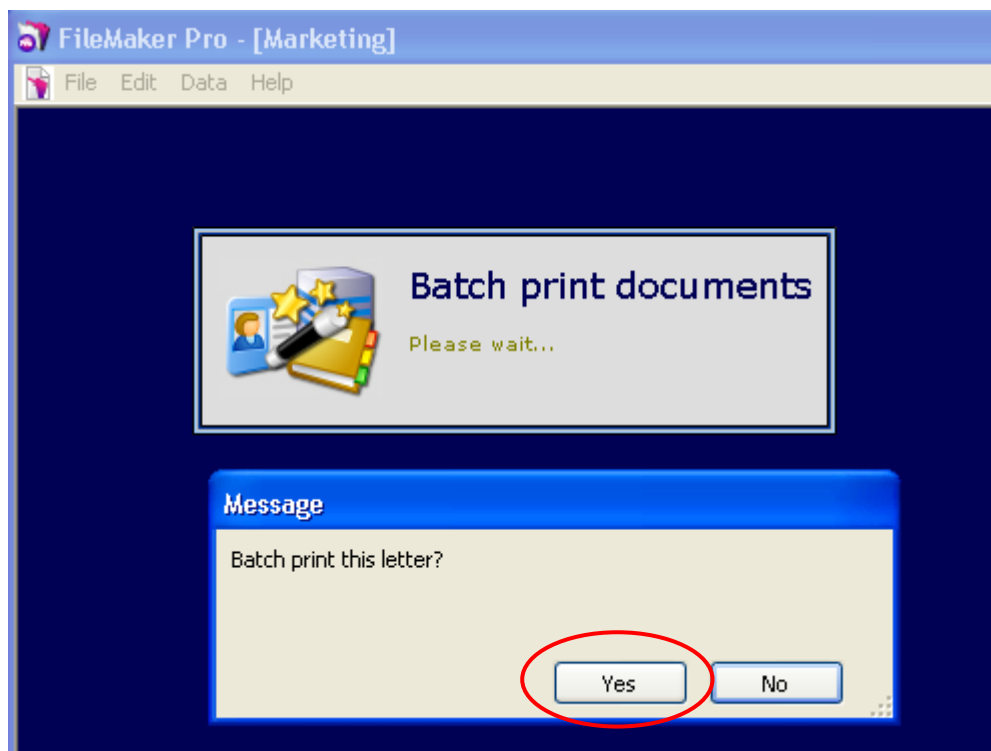
📄 Batch Export all 11 Letters dated 03/03/2011 to MS Word

To view the marketing record relating to Gemma Clift select the 'Open corresponding marketing log entry' button below.

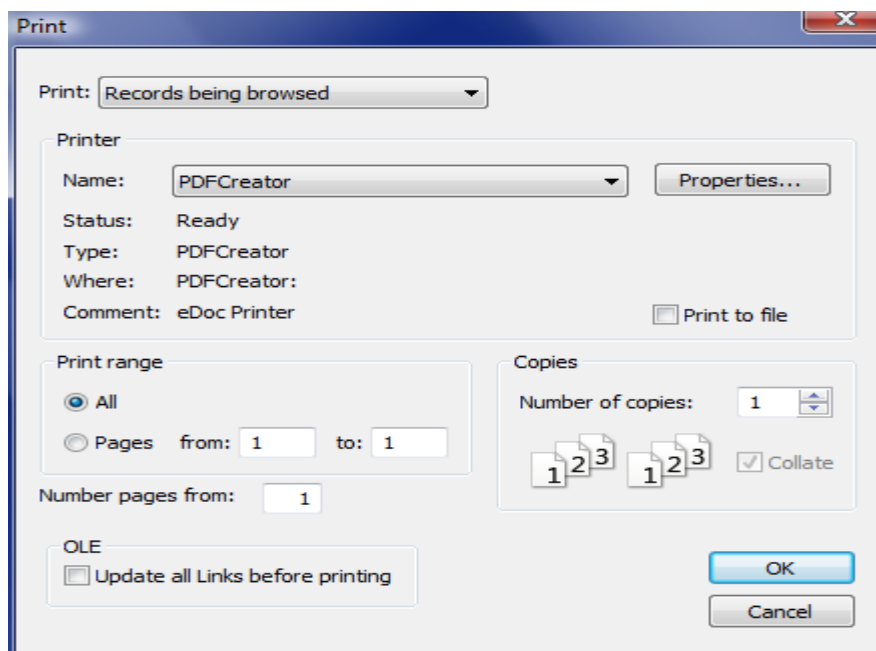
◀ Open corresponding marketing log entry

 Batch Print all 11 Letters dated 03/03/2011

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



You will then be asked to select your printer.



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

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

It is also possible to view each letter by using

 View Letter dated 03 March 2011 for Gemma Clift

. There will be an arrow at the top of the page, which allows scrolling through the letters.

Alternatively you can export all of these letters to Word using the.

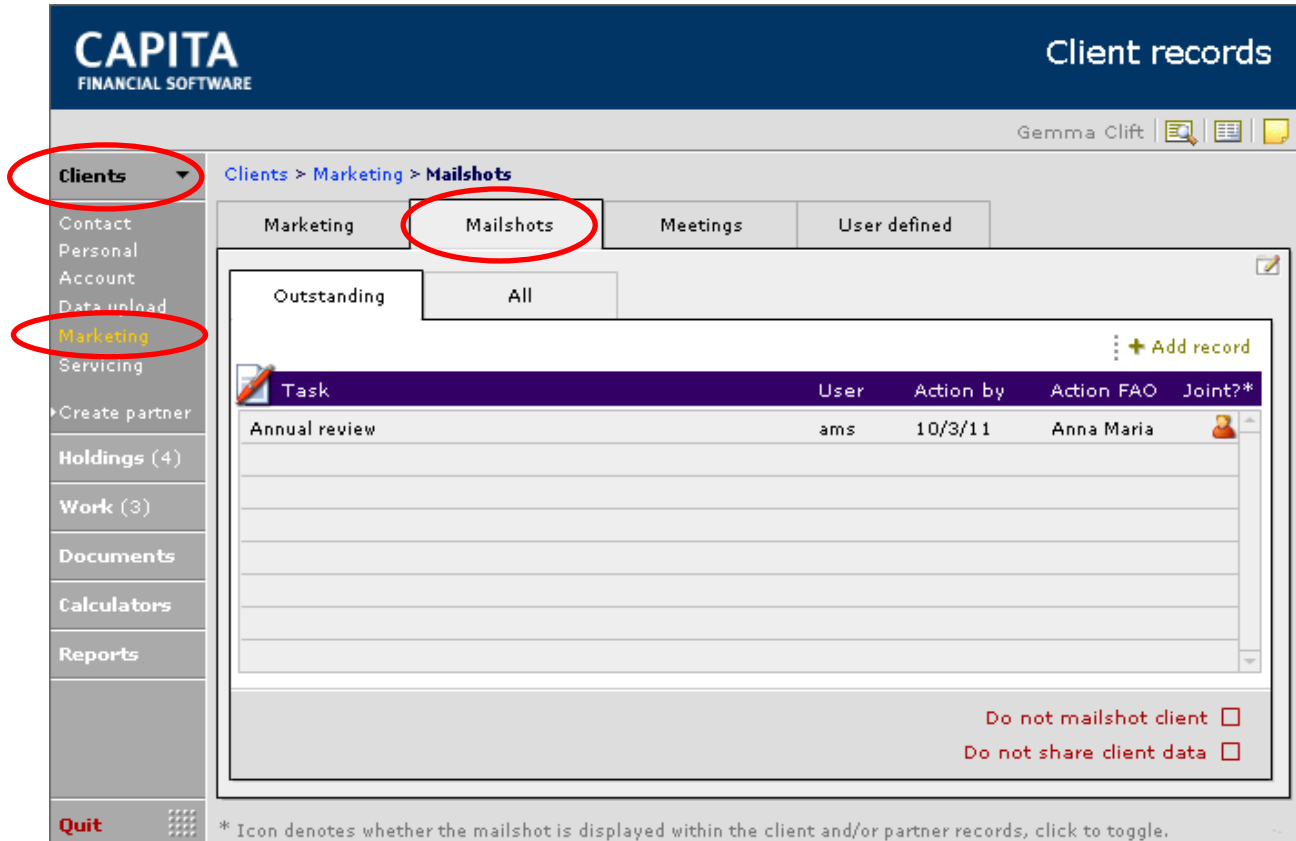
 Batch Export all 11 Letters dated 03/03/2011 to MS Word

. During the export, any document template stored in CCD will be applied to the letters. Once the letters are in Word, further formatting can be completed.

9. VIEWING THE CLIENTS MARKETING DIARY ENTRY

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

To view this go to the clients file and select Marketing – Mailshots.



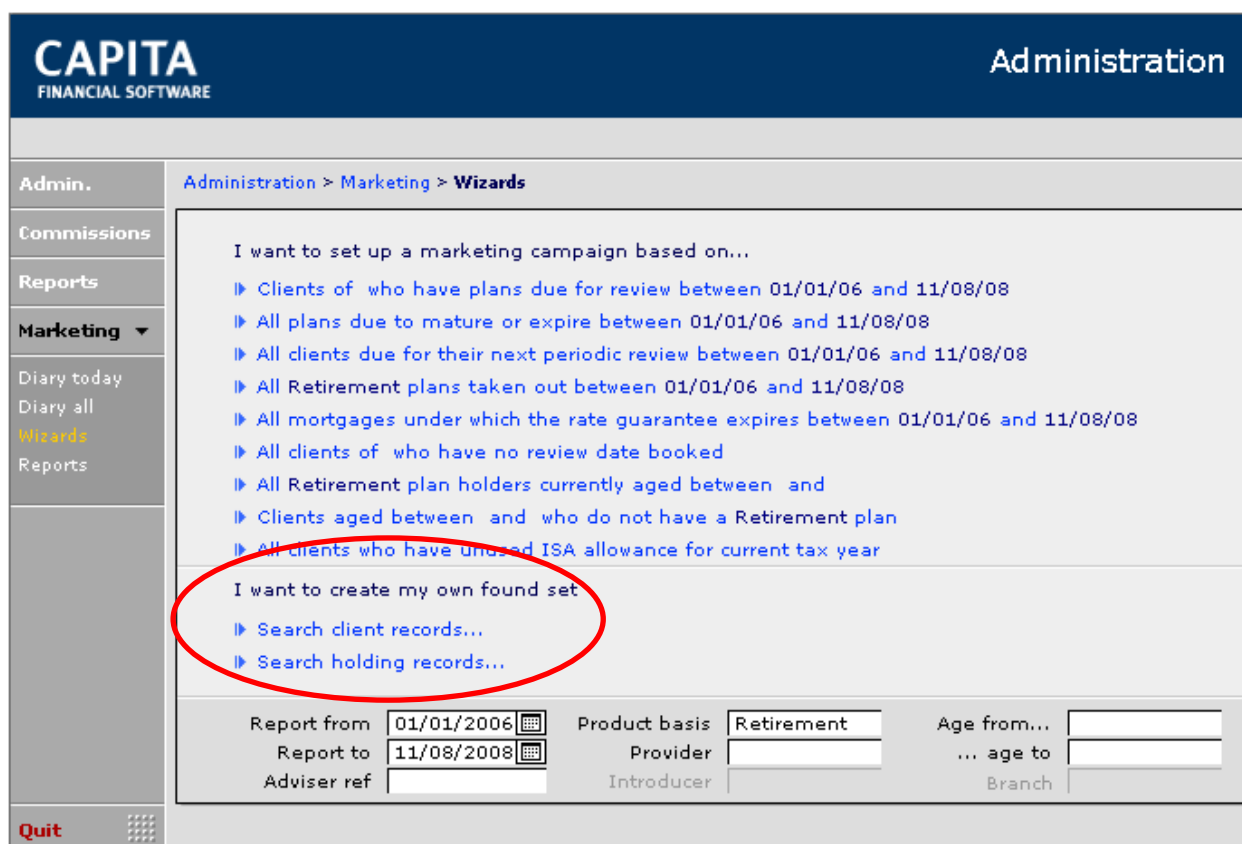
The screenshot shows the Capita Financial Software interface. The left sidebar has a menu with 'Clients' and 'Marketing' highlighted with red circles. The main area is titled 'Client records' and shows a breadcrumb trail 'Clients > Marketing > Mailshots'. There are tabs for 'Marketing', 'Mailshots', 'Meetings', and 'User defined'. The 'Mailshots' tab is active, showing a table with columns: Task, User, Action by, Action FAO, and Joint?*. The table contains one entry: 'Annual review' by 'ams' on '10/3/11' by 'Anna Maria'. There are checkboxes for 'Do not mailshot client' and 'Do not share client data' at the bottom right.

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

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

10. CREATING A MANUAL CAMPAIGN USING THE DATA TABLE

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



CAPITA
FINANCIAL SOFTWARE

Administration

Admin. > Administration > Marketing > **Wizards**

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

- ▶ Clients of who have plans due for review between 01/01/06 and 11/08/08
- ▶ All plans due to mature or expire between 01/01/06 and 11/08/08
- ▶ All clients due for their next periodic review between 01/01/06 and 11/08/08
- ▶ All Retirement plans taken out between 01/01/06 and 11/08/08
- ▶ All mortgages under which the rate guarantee expires between 01/01/06 and 11/08/08
- ▶ All clients of who have no review date booked
- ▶ All Retirement plan holders currently aged between and
- ▶ Clients aged between and who do not have a Retirement plan
- ▶ All clients who have unused ISA allowance for current tax year

I want to create my own found set

- ▶ Search client records...
- ▶ Search holding records...

Report from 01/01/2006 Product basis Retirement Age from...
 Report to 11/08/2008 Provider ... age to
 Adviser ref Introducer Branch

Quit

The example below shows the screen to Search holding records.

Marketing campaign wizard Cancel wizard

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

All records listed as no search criteria specified

Contract holder	Adviser	Provider	Product type	Effective	
May, G	MAB	Norwich & Peterborough	Buy to let Interest only	04/03/2004	<input type="checkbox"/> All <input type="checkbox"/> Omit
May, G and Farley, R C	MAB	Northern Rock plc	Buy to let Interest only	13/11/2003	<input type="checkbox"/> Omit
May, G	MAB	Ipswich Building Society	Buy to let Interest only	03/06/2003	<input type="checkbox"/> Omit
May, G	MAB	Norwich Union Life	Increasing Term Assurance	02/02/2004	<input type="checkbox"/> Omit
May, G & Farley, R C	MAB	Nationwide Building Society	Repayment mortgage	13/06/2004	<input type="checkbox"/> Omit
Farley, R C	MAB	Zurich	Level Term Assurance	01/05/2004	<input type="checkbox"/> Omit
May, G & Farley, R C	MAB	Norwich & Peterborough	Buy to let Interest only	13/03/2005	<input type="checkbox"/> Omit
May, G & Farley, R C	MAB	Kensington Mortgage	Buy to let Interest only	19/10/2005	<input type="checkbox"/> Omit
May, G	MAB	Kensington Mortgage	Buy to let Interest only	06.12.2002	<input type="checkbox"/> Omit
May, G	MAB	Northern Rock plc	Repayment mortgage	15/08/2006	<input type="checkbox"/> Omit
May, G	MAB	Norwich & Peterborough	Buy to let Interest only	15/08/2006	<input type="checkbox"/> Omit
May, G	MAB	Platform Home Loans	Buy to let Interest only	15/08/2006	<input type="checkbox"/> Omit
May, G	SAN	Skandia	Private Medical Insurance	09/09/2005	<input type="checkbox"/> Omit
May, G	SAN	Lloyds TSB Bank	Private Medical Insurance	04/04/2004	<input type="checkbox"/> Omit
May, G	SAN	Lloyds TSB Bank	Private Medical Insurance	01/06/1993	<input type="checkbox"/> Omit
May, G	SAN	Lloyds TSB Bank	Private Medical Insurance	13/07/1993	<input type="checkbox"/> Omit
May, G	SAN	Lloyds TSB Bank	Private Medical Insurance	18/09/2002	<input type="checkbox"/> Omit
May, G	SAN	Lloyds TSB Bank	Private Medical Insurance	13.02.2004	<input type="checkbox"/> Omit
May, G	SAN	Lloyds TSB Bank	Private Medical Insurance	13/09/2006	<input type="checkbox"/> Omit
May, G	SAN	Lloyds TSB Bank	Private Medical Insurance	01/03/2000	<input type="checkbox"/> Omit
May, G	SAN	Lloyds TSB Bank	Private Medical Insurance	02/07/1993	<input type="checkbox"/> Omit

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

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

Click here to create your own found set.

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

Now using the ? Create a new found set option and combining this with the search techniques as described previously in this guide you will be able to conduct searches for more specific information.

FileMaker Pro - [Log]

File Edit Data Help

Records: 1 81 Total (Unsorted)

Show All New Record Delete Record Find Sort

Layout: MarketingTable View As: Preview

Marketing campaign wizard

- Return to Client Care Desktop system view
- Create a spreadsheet based on the records shown
- Create a new found set**

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

Status	Policy holder	Surname	Clientage	Consultantref	Product provider	ProductBasis	productcategory	Policy type	Policy maturi...
In force	Clift, G H	Clift	31	AMB	Norwich Union Life	Protection	Group Income	Group Permanent	01/04/2044
In force	Clift, G H	Clift	31	AMB	Nationwide Building	Savings	Individual Savings	Maxi	
Completed	Clift, G H	Clift	31	AMB	Nationwide Building	Mortgage	Repayment mortgage	Mortgage	20/07/2031
In force	Clift, G H	Clift	31	AMB	Norwich Union Life	Protection	Term Assurance	Decreasing Term with	
In force	Hoyland, S M	Hoyland	61	CMD	Scottish Equitable	Retirement	Personal Pension	Unit Linked	16/11/2009
In force	Hoyland, S M	Hoyland	61	CMD	Zurich	Protection	Whole of Life	Flexible WOL	
Paid up	Hoyland, S M	Hoyland	61	CMD	AXA	Retirement	Section 32	Conventional with profit	16/11/2009
In force	Hoyland, S M	Hoyland	61	CMD	Canada Life	Retirement	Personal Pension	Conventional with profit	16/11/2009
Matured	Hoyland, S M	Hoyland	61	CMD	Barclays Life	Savings	Personal Equity Plan	Single company	
In force	Hoyland, S M	Hoyland	61	CMD	Skandia	Investment	Individual Savings	Maxi	
In force	Hoyland, S M	Hoyland	61	CMD	Threadneedle	Investment	Investment Bond	Unit Linked	
In force	Dent, G P	Dent	37	SAN	Norwich Union Life	Protection	Term Assurance	Convertible	01/06/2027
In force	Dent, G P	Dent	37	SAN	Zurich	Retirement	Personal Pension	Unit Linked	
In force	Dent, G P	Dent	37	SAN	Threadneedle	Investment	Individual Savings	Maxi	
In force	Dent, G P	Dent	37	SAN	Prudential	Protection	Whole of Life	Flexible WOL	
In force	Dent, G P	Dent	37	SAN	Norwich Union Life	Protection	Income Protection	Permanent Health	16/06/2038
Completed	Pound, M K & Pound, C	Pound	42	CMD	Abbey National	Mortgage	Repayment mortgage	Mortgage	26/07/2029
Paid up	Pound, M K	Pound	42	CMD	Allied Dunbar	Retirement	Group Contracted In	Conventional With	23/12/2028
Paid up	Pound, C	Pound	40	CMD	Lloyds TSB Bank	Investment	Individual Savings	Mini Cash	
In force	Pound, M K	Pound	42	CMD	AXA Sun Life	Protection	Income Protection	Key Person Income	23/12/2028
In force	Pound, M K & Pound, C	Pound	42	CMD	Friends Provident	Protection	Term Assurance	Decreasing Term with	10/09/2026
In force	Pound, M K	Pound	42	CMD	Prudential	Protection	Whole of Life	Flexible WOL	
In force	Clark, H P & Clark, I	Clark	70	SAN	Threadneedle	Investment	Investment Bond	Unit Linked	
In force	Clark, H P & Clark, I	Clark	70	SAN	Prudential	Protection	Whole of Life	Non-Profit WOL	

The "spreadsheet" displayed is too large to display in full on the screen and the scroll bars along the bottom and the side need to be used to view all the columns available. The example below will search for all bonds held on a single basis with a contribution greater than £2000.

policy number	Policy Joint	Introducer	Value bid	Valuation_D...	Current cont...	::policy frequency	level indexed
					>2000	S	

A list of holdings have now been found which meet the search criteria.

File Edit Data Help

Records: 1 15 / 81 Found (Unsorted)

Show All New Record Delete Record Find Sort

Layout: MarketingTable View As: Preview

Marketing campaign wizard

- Return to Client Care Desktop system view
- Create a spreadsheet based on the records shown
- Create a new found set

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

Status	Policy holder	Surname	Clientage	Consultantref	Product provider	ProductBasis	productcategory	Policy type	Policy maturi...
In force	Clift, G H	Clift	31	AMB	Nationwide Building	Savings	Individual Savings	Maxi	
In force	Hoyland, S M	Hoyland	61	CMD	Skandia	Investment	Individual Savings	Maxi	
In force	Hoyland, S M	Hoyland	61	CMD	Threadneedle	Investment	Investment Bond	Unit Linked	
In force	Dent, G P	Dent	37	SAN	Threadneedle	Investment	Individual Savings	Maxi	
In force	Clark, H P & Clark, I	Clark	70	SAN	Threadneedle	Investment	Investment Bond	Unit Linked	
In force	Clark, I	Clark	69	SAN	Prudential	Retirement	Annuity	Compulsory Purchase	
In force	Clark, I & Clark, H P	Clark	69	SAN	Skandia	Investment	Investment Bond	Conventional with profit	
In force	Taylor, C A	Taylor	51	SAN	Skandia	Investment	Investment Trust	Fund of Funds	
In force	Taylor, C A	Taylor	51	SAN	Lloyds TSB Bank	Savings	Individual Savings	Maxi	
In force	Taylor, C A	Taylor	51	SAN	Scottish Equitable	Retirement	Self Invested Personal	Full	12/04/2024
In force	Patel, D	Patel	52	CMD	Prudential	Retirement	Personal Pension	Unit Linked	
In force	Hopkins, P	Hopkins	46	SAN	Abbey National	Other	Building Society	Deposit account	
In force	Worth, B & Worth, P	Worth	50	MAB	Skandia	Investment	Investment Bond	Unit Linked	
In force	Daily, J	Daily	2010	MAB	Skandia	Investment	Investment Bond	Unit Linked	
In force	Pound, M K	Pound	42	CMD	Norwich Union Life	Investment	Investment Bond	Unit Linked	

Click onto the [Return to Client Care Desktop system view](#)



Marketing campaign wizard

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

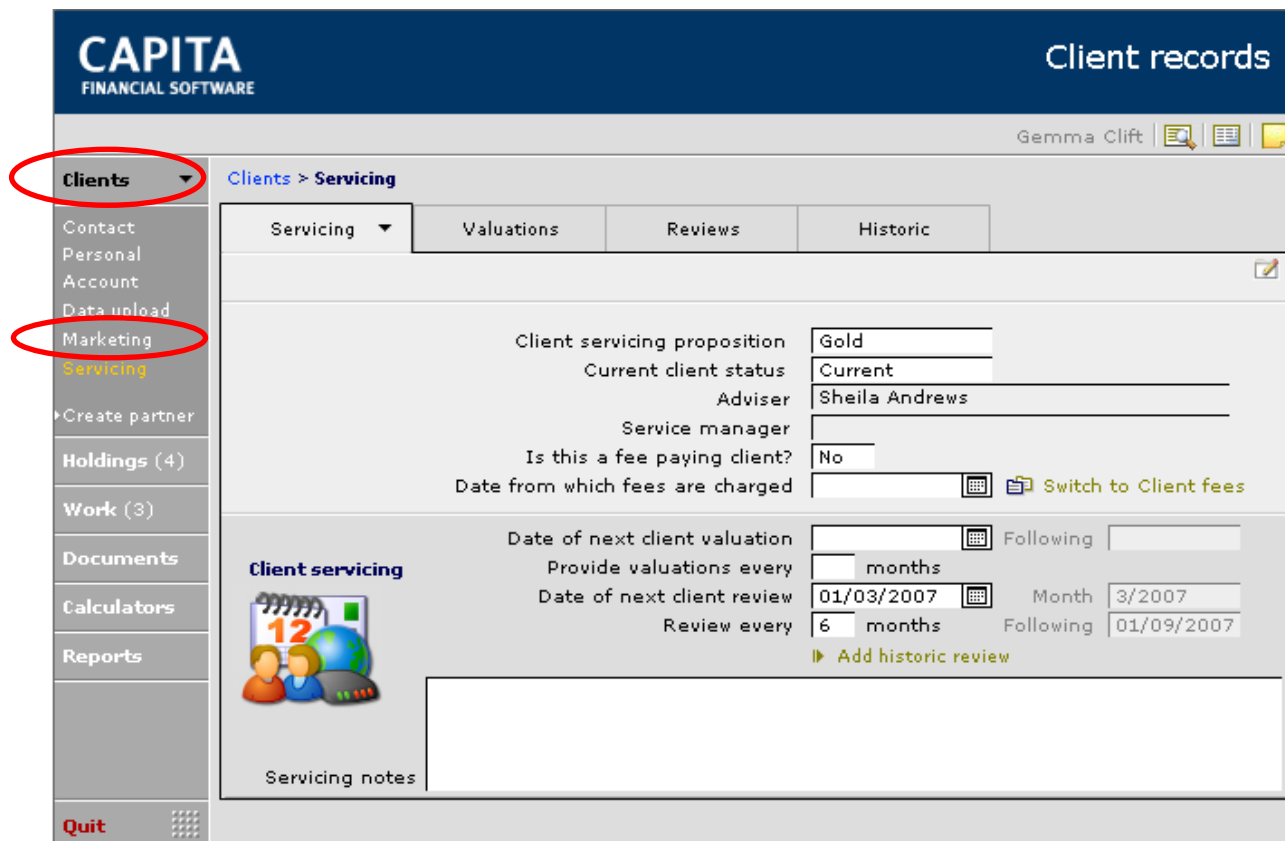
All records listed as no search criteria specified

Contract holder	Adviser	Provider	Product type	Effective	
Clift, G H	AMB	Nationwide Building Society	Maxi ISA	01/05/2004	Omit
Hoyland, S M	CMD	Skandia	Maxi ISA	04/09/2006	Omit
Hoyland, S M	CMD	Threadneedle Investments	Unit Linked Bond	06/09/2006	Omit
Dent, G P	SAN	Threadneedle Investments	Maxi ISA	06/04/2005	Omit
Clark, H P & Clark, I	SAN	Threadneedle Investments	Unit Linked Bond	07/10/2004	Omit
Clark, I	SAN	Prudential	Compulsory Purchase	12/12/2002	Omit
Clark, I & Clark, H P	SAN	Skandia	With profit Bond	01/10/2006	Omit
Taylor, C A	SAN	Skandia	Investment portfolio	13/09/2005	Omit
Taylor, C A	SAN	Lloyds TSB Bank	Maxi ISA	06/04/2004	Omit
Taylor, C A	SAN	Scottish Equitable	Self Invested Personal	04/09/2006	Omit
Patel, D	CMD	Prudential	Personal Pension	01/10/2006	Omit
Hopkins, P	SAN	Abbey National	Building Society Account	01/02/1986	Omit
Worth, B & Worth, P	MAB	Skandia	Unit Linked Bond	28/05/2007	Omit
Daily, J	MAB	Skandia	Unit Linked Bond	07/02/2007	Omit
Pound, M K	CMD	Norwich Union Life	Unit Linked Bond	01/02/1990	Omit

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

11. CLIENT SERVICING

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



CAPITA
FINANCIAL SOFTWARE

Client records

Gemma Clift

Clients ▾ Clients > Servicing


Contact
 Personal
 Account
 Data upload
 Marketing
 Servicing
 Create partner
 Holdings (4)
 Work (3)
 Documents
 Calculators
 Reports
 Quit

Servicing ▾ Valuations Reviews Historic

Client servicing proposition: Gold
 Current client status: Current
 Adviser: Sheila Andrews
 Service manager:
 Is this a fee paying client?: No
 Date from which fees are charged: [Switch to Client fees](#)

Date of next client valuation: Following
 Provide valuations every: months
 Date of next client review: 01/03/2007 Month: 3/2007
 Review every: 6 months Following: 01/09/2007
[Add historic review](#)

Client servicing



Servicing notes

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

It is possible to set up some standard servicing information within the Setup>Technical of CCD. For instance, part of your servicing proposition to 'Platinum' clients may be to send valuations every 3 months and offer a review every 6 months. However for 'Gold' clients, it could be a valuation every 6 months and a review each 12 months.

This can be set up as follows:

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

82

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

CAPITA
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Client records

Cynthia Black

Clients > Servicing

Servicing Valuations Reviews Historic

Add note

Client servicing proposition: Platinum

Current client status: Current

Adviser: Sheila Andrews

Service manager:

Is this a fee paying client?:

Date from which fees are charged: Switch to Client fees

Date of next client valuation: Following 30/01/0001

Provide valuations every: 1 months

Date of next client review: Following ?

Review every: 6 months

Add historic review

Client servicing

Servicing notes

Quit

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

Client servicing

Date of next client valuation: 01/04/2011 Following 01/05/2011

Provide valuations every: 1 months

Date of next client review: 01/09/2011 Month 9/2011

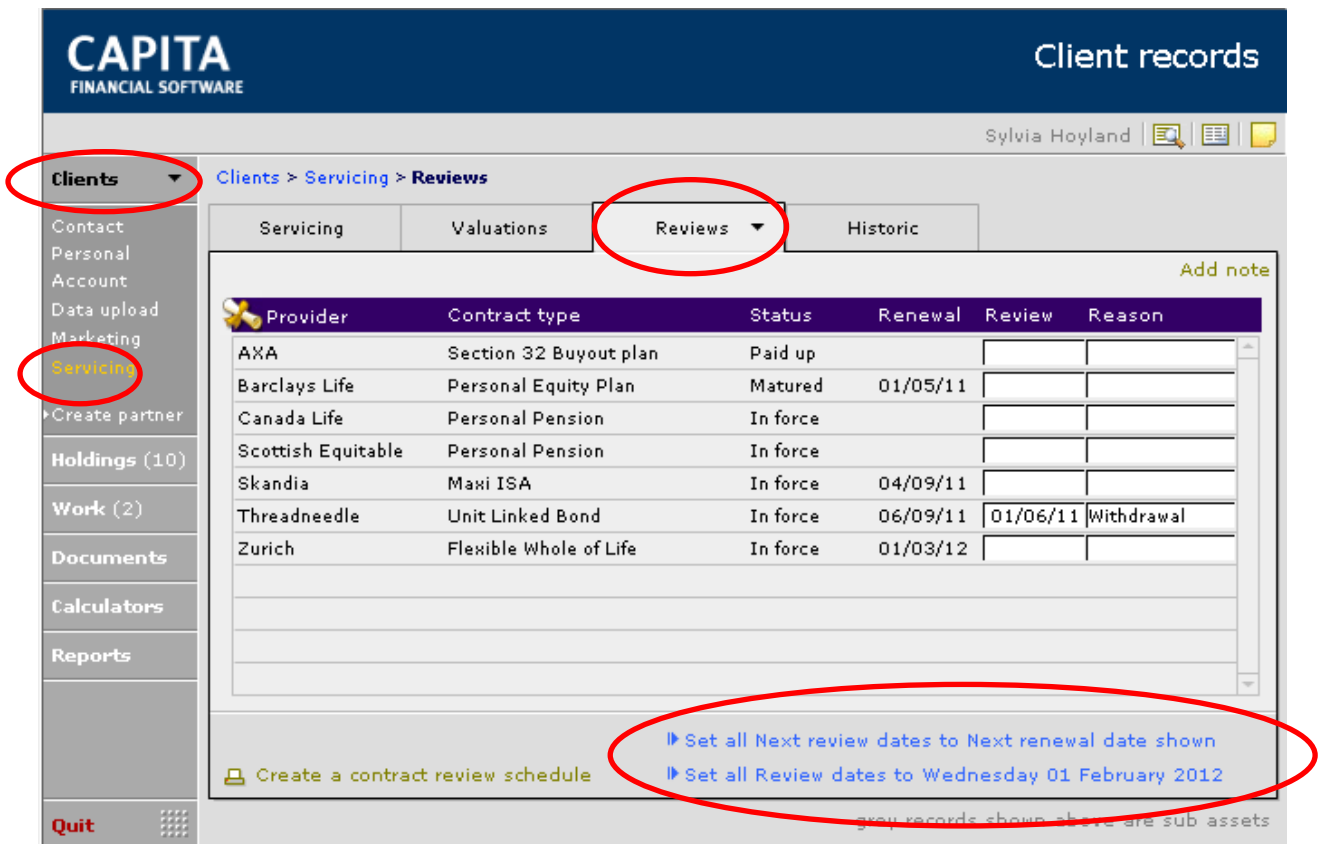
Review every: 6 months Following 01/03/2012

Add historic review

Servicing notes: 03/03/2011 ams - Client wants a summary valuation sent each month. When she is reviewed she would like a detailed valuation.

Additional notes for servicing this client can be added.

11.1. Holding Reviews



CAPITA
FINANCIAL SOFTWARE

Client records

Sylvia Hoyland

Clients > **Servicing** > **Reviews**

Servicing Valuations **Reviews** Historic

Add note

Provider	Contract type	Status	Renewal	Review	Reason
AXA	Section 32 Buyout plan	Paid up			
Barclays Life	Personal Equity Plan	Matured	01/05/11		
Canada Life	Personal Pension	In force			
Scottish Equitable	Personal Pension	In force			
Skandia	Maxi ISA	In force	04/09/11		
Threadneedle	Unit Linked Bond	In force	06/09/11	01/06/11	Withdrawal
Zurich	Flexible Whole of Life	In force	01/03/12		

Create a contract review schedule

[Set all Next review dates to Next renewal date shown](#)
[Set all Review dates to Wednesday 01 February 2012](#)

gray records shown above are sub assets

All the clients' current policies/holdings will be listed. Any review dates that have been entered on the individual policies will pre-populate the screen.

If no dates have been entered on the individual policies then there are 2 other options. Both show as blue links at the bottom of the page.

[Set all Next review dates to Next renewal date shown](#)

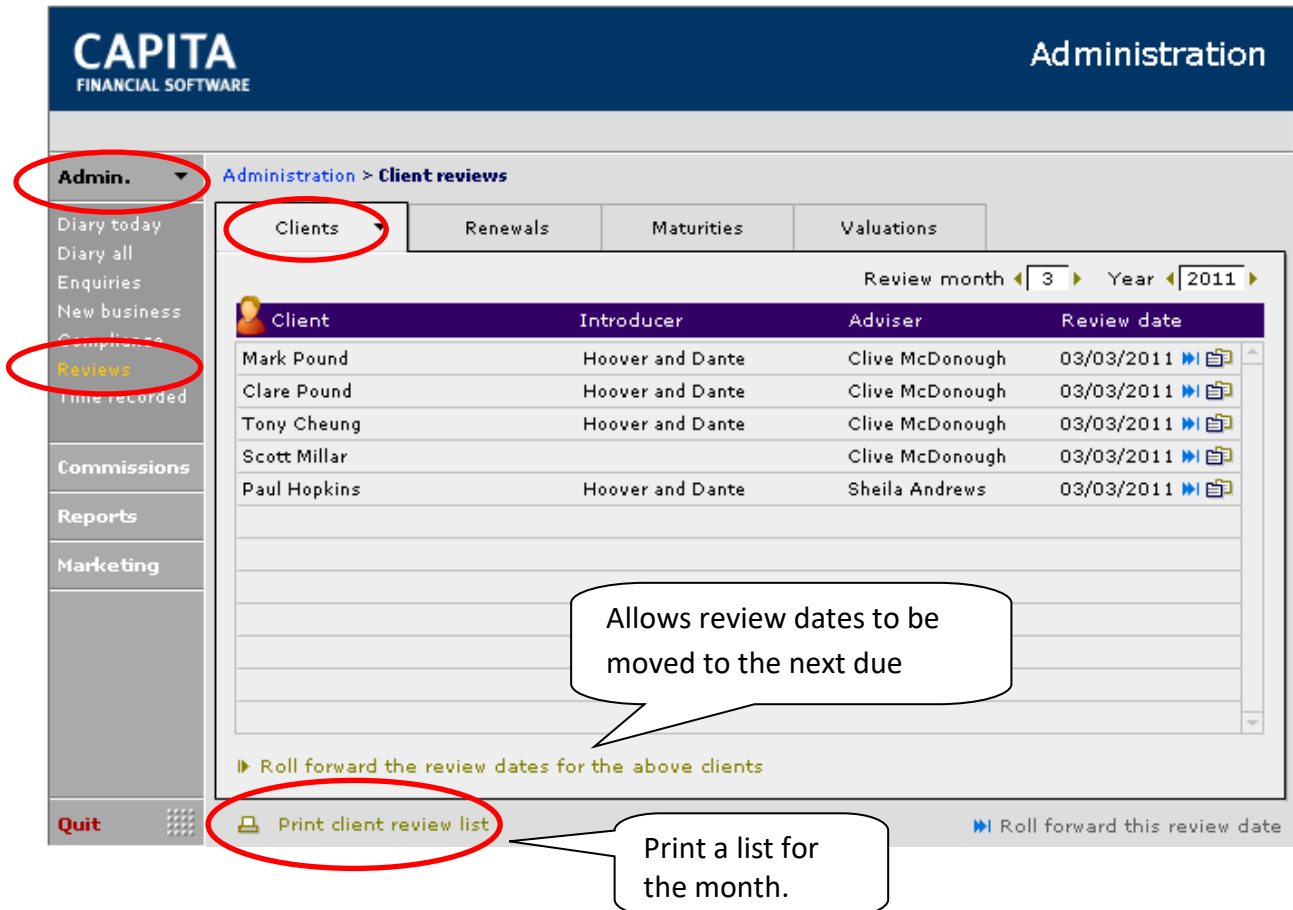
- will take the renewal date of the policy as the review date and input this date into the review column.

[Set all Review dates to Wednesday 01 February 2012](#)

- will set all the contracts to the same date as specified on the Servicing tab. This option is usually taken when an adviser is due to visit a client.

At the bottom of the screen is a report that will give you a chart of the clients review dates:

[Create a contract review schedule](#)



CAPITA
FINANCIAL SOFTWARE

Administration

Admin. Administration > Client reviews

Clients Renewals Maturities Valuations

Review month 3 Year 2011

Client	Introducer	Adviser	Review date
Mark Pound	Hoover and Dante	Clive McDonough	03/03/2011
Clare Pound	Hoover and Dante	Clive McDonough	03/03/2011
Tony Cheung	Hoover and Dante	Clive McDonough	03/03/2011
Scott Millar		Clive McDonough	03/03/2011
Paul Hopkins	Hoover and Dante	Sheila Andrews	03/03/2011

Allows review dates to be moved to the next due

Roll forward the review dates for the above clients

Print client review list

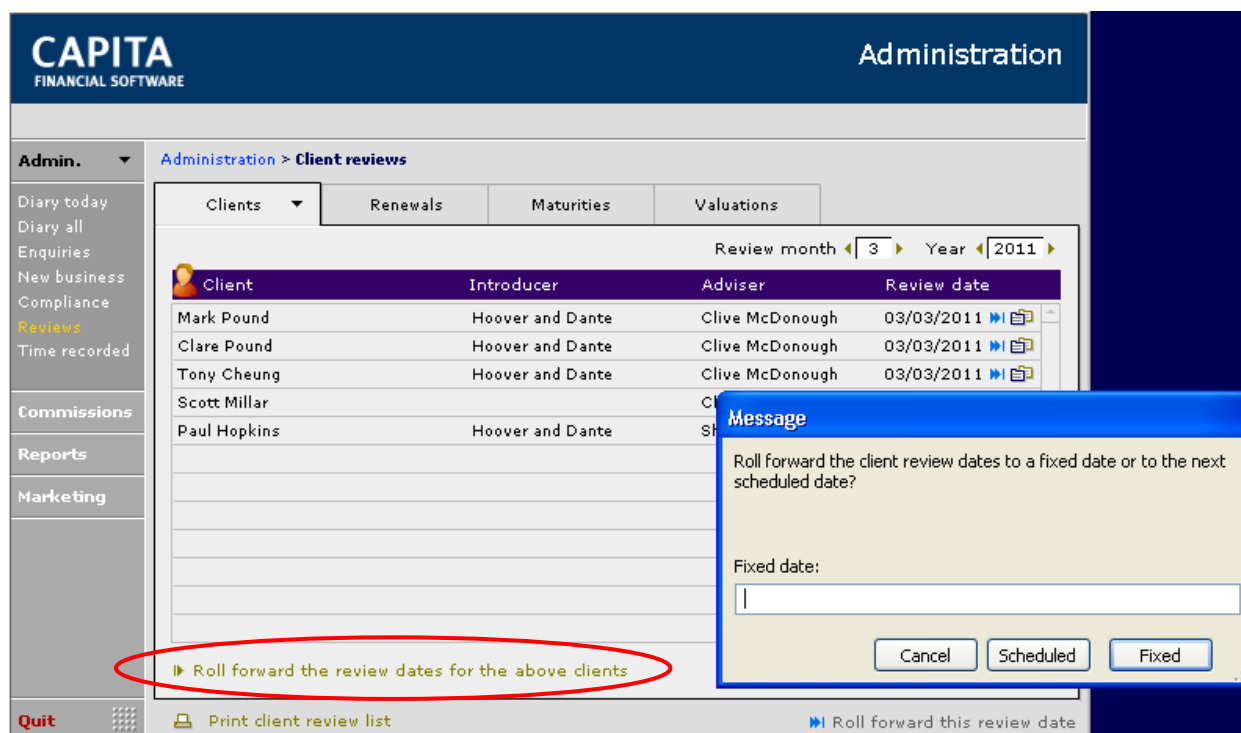
Print a list for the month.

Roll forward this review date

Once a review has been completed for a client, or perhaps they have declined for this year, it is possible to roll forward the date to the next due date.

This can either be done for all the items showing in the list, or each item can be done individually.

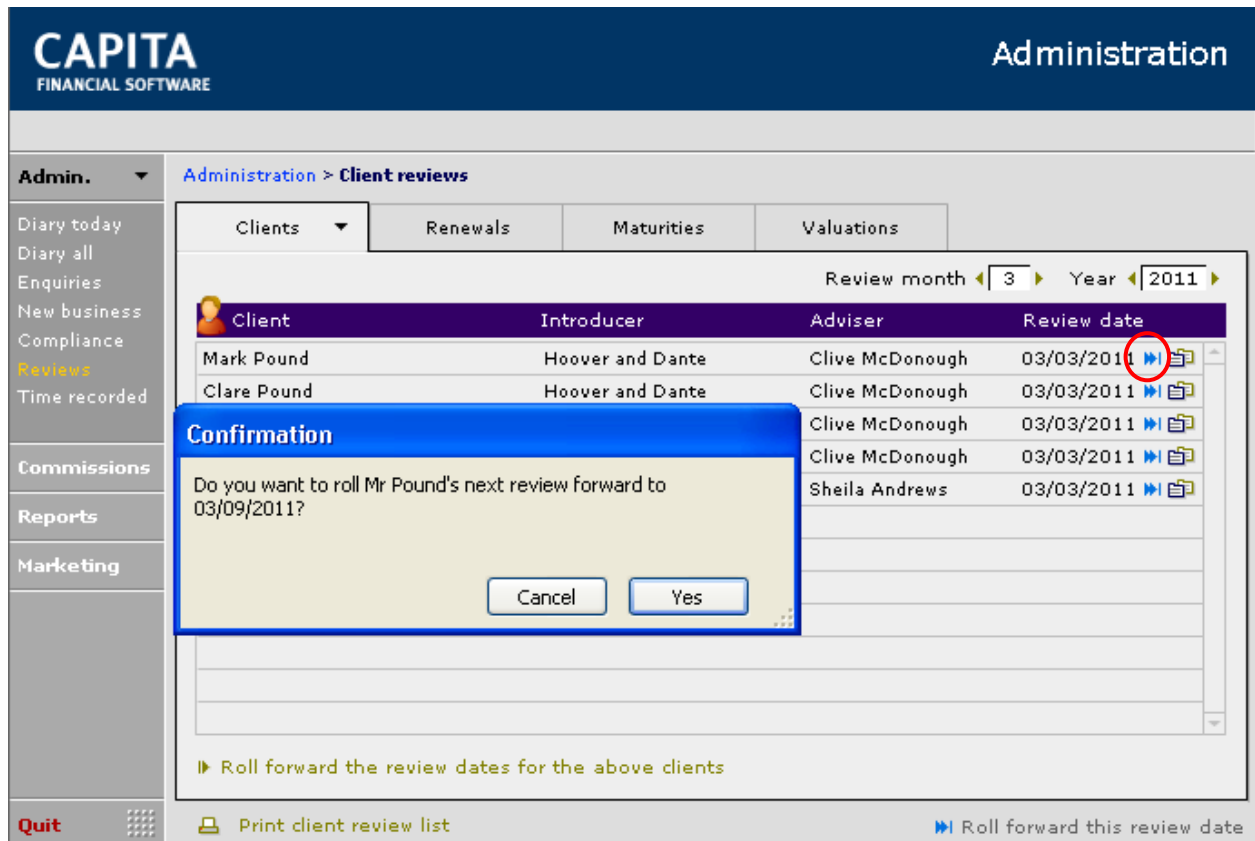
If the button is used to roll forward all dates, the following appears:



If the Review dates are to be rolled over to their next scheduled dates (as shown in Clients > Servicing) use the 'Scheduled' button.

If all the Review dates are to be moved to a fixed date in the future, record the date and click the 'Fixed' button.

If the Reviews are to be moved one by one, use the blue arrow next to the date:



CAPITA
FINANCIAL SOFTWARE

Administration

Admin. Administration > Client reviews

Diary today
Diary all
Enquiries
New business
Compliance
Reviews
Time recorded

Commissions
Reports
Marketing

Quit

Print client review list

Roll forward this review date

Review month 3 Year 2011

Client	Introducer	Adviser	Review date
Mark Pound	Hoover and Dante	Clive McDonough	03/03/2011
Clare Pound	Hoover and Dante	Clive McDonough	03/03/2011
		Clive McDonough	03/03/2011
		Clive McDonough	03/03/2011
		Sheila Andrews	03/03/2011

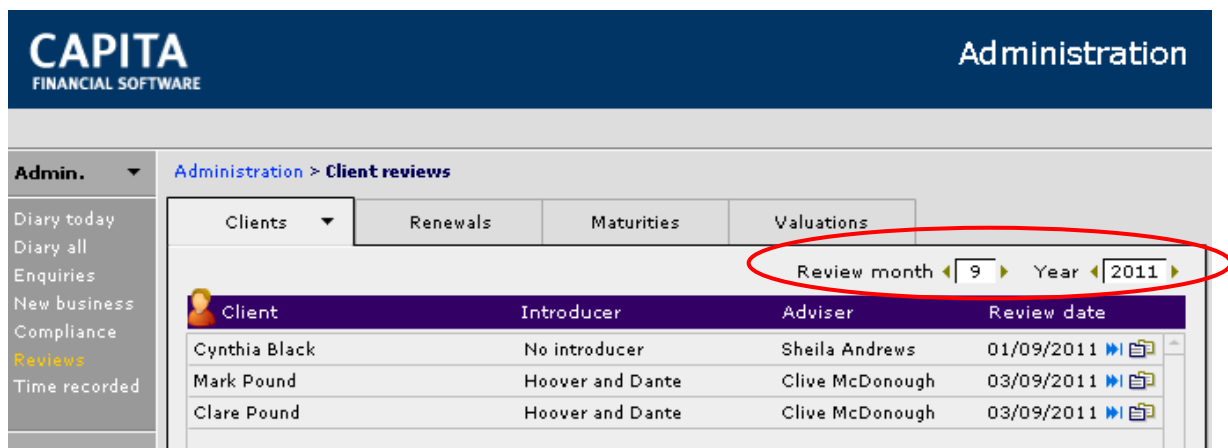
Confirmation

Do you want to roll Mr Pound's next review forward to 03/09/2011?

Cancel Yes

Roll forward the review dates for the above clients

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



CAPITA
FINANCIAL SOFTWARE

Administration

Admin. Administration > Client reviews

Diary today
Diary all
Enquiries
New business
Compliance
Reviews
Time recorded

Commissions
Reports
Marketing

Quit

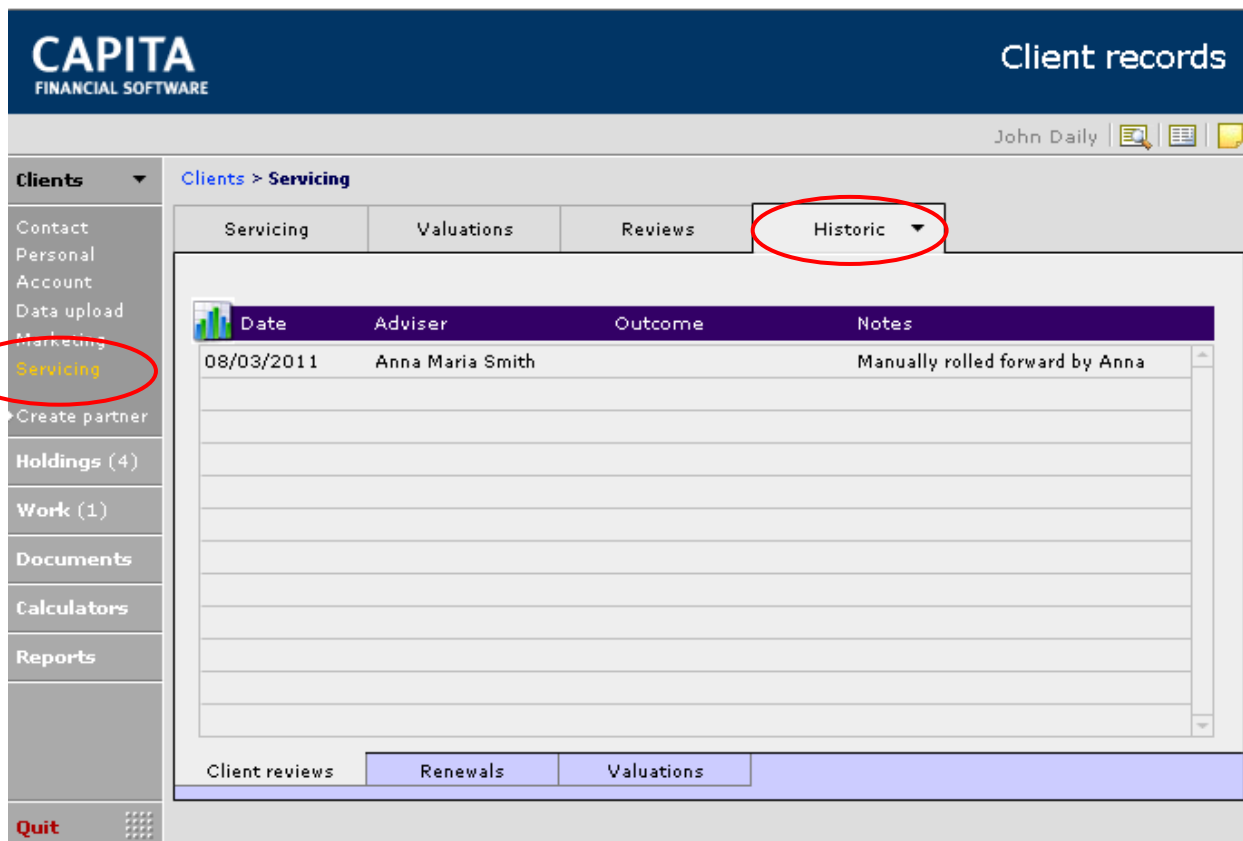
Print client review list

Roll forward this review date

Review month 9 Year 2011

Client	Introducer	Adviser	Review date
Cynthia Black	No introducer	Sheila Andrews	01/09/2011
Mark Pound	Hoover and Dante	Clive McDonough	03/09/2011
Clare Pound	Hoover and Dante	Clive McDonough	03/09/2011

Once a Review is rolled forward, a line will be entered into the 'Historic' tab within Clients > Servicing. In here the 'Outcome' of the review can be added:



CAPITA
FINANCIAL SOFTWARE

Client records

John Daily

Clients ▾ Clients > Servicing

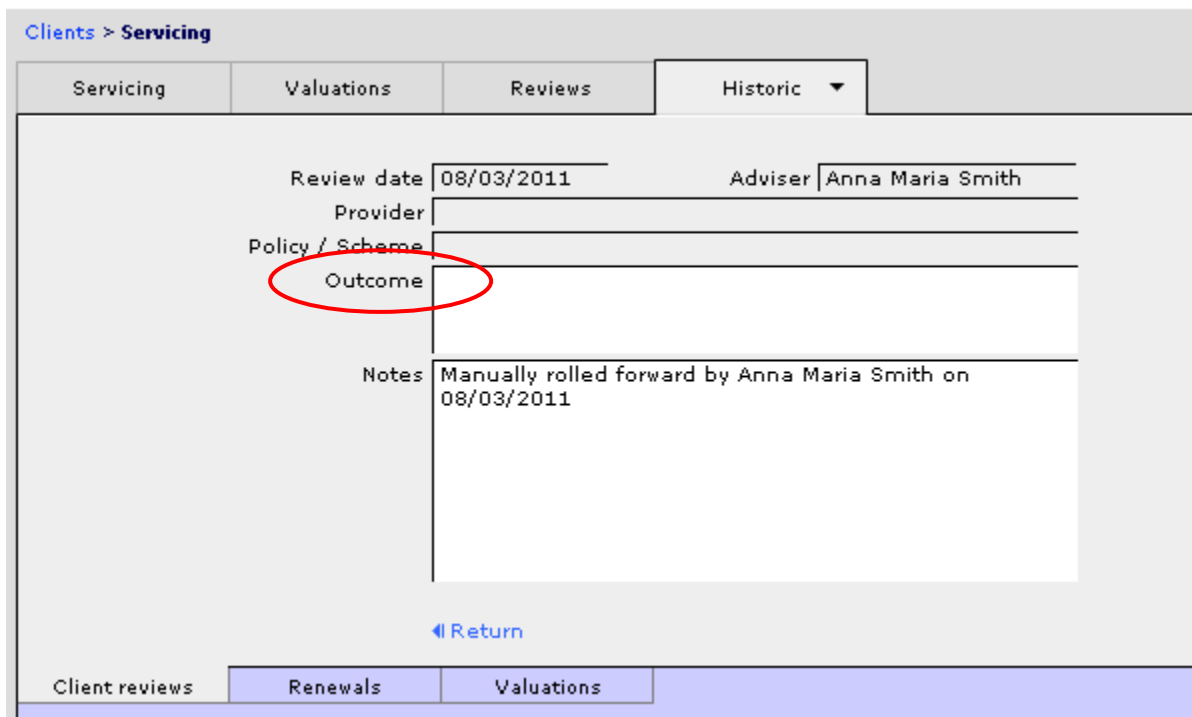
Servicing Valuations Reviews **Historic ▾**

Date	Adviser	Outcome	Notes
08/03/2011	Anna Maria Smith		Manually rolled forward by Anna

Client reviews Renewals Valuations

Quit

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



Clients > Servicing

Servicing Valuations Reviews Historic ▾

Review date 08/03/2011 Adviser Anna Maria Smith

Provider

Policy / Scheme

Outcome

Notes Manually rolled forward by Anna Maria Smith on 08/03/2011

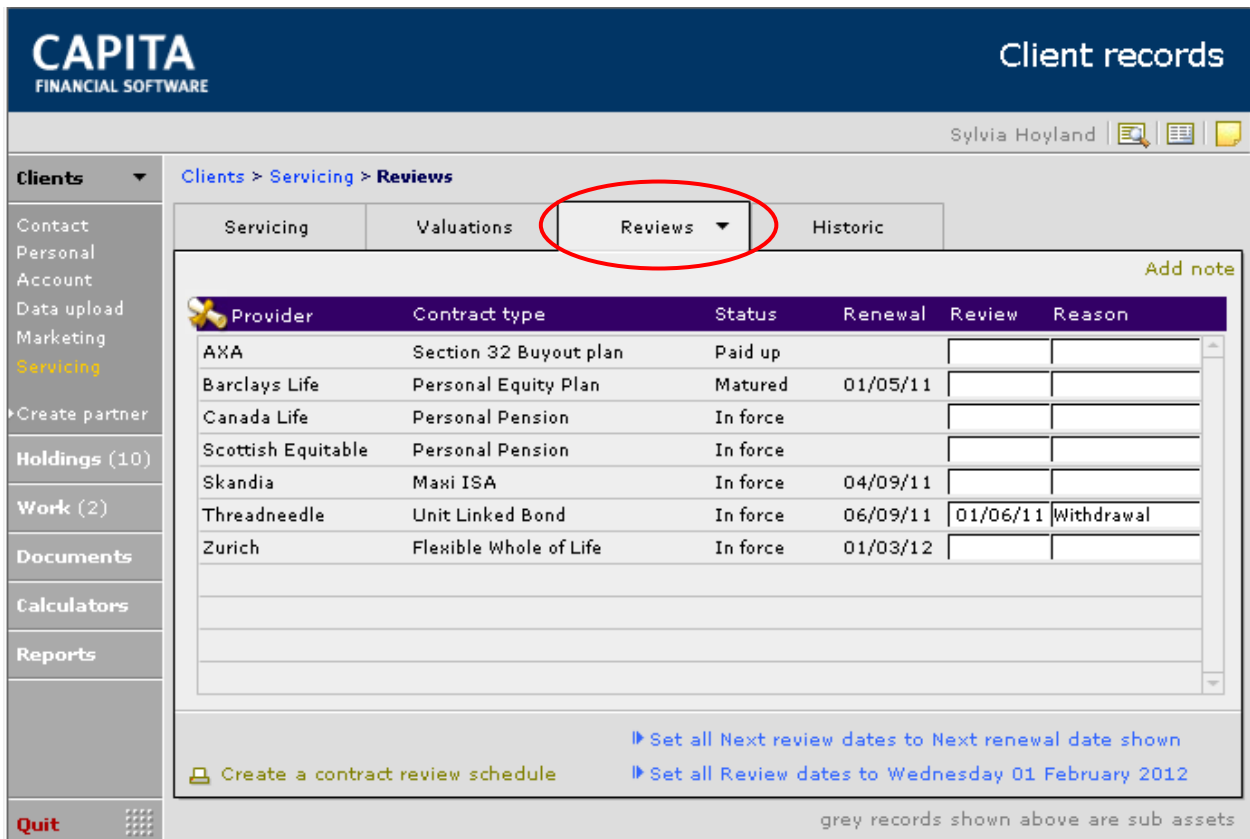
Return

Client reviews Renewals Valuations

11.2.2. Policy Reviews

The 'Renewals' tab show all plans which are due for Review within a certain month. This is added in one of two place:



- In the 'Next Review date' field on the **Product** section of a Holding;
- Within Clients > Servicing.



The screenshot shows the Capita Financial Software interface. The top header includes the Capita logo and 'Client records'. The user 'Sylvia Hoyland' is logged in. The left sidebar contains navigation options: Clients, Contact, Personal, Account, Data upload, Marketing, Servicing (highlighted), Create partner, Holdings (10), Work (2), Documents, Calculators, Reports, and Quit. The main area shows the 'Reviews' tab selected under 'Clients > Servicing > Reviews'. The 'Reviews' tab is circled in red. Below the tabs, there is a table with columns: Provider, Contract type, Status, Renewal, Review, and Reason. The table lists several contracts, including AXA, Barclays Life, Canada Life, Scottish Equitable, Skandia, Threadneedle, and Zurich. At the bottom, there are links to 'Set all Next review dates to Next renewal date shown' and 'Set all Review dates to Wednesday 01 February 2012'. A note at the bottom right states 'grey records shown above are sub assets'.

Provider	Contract type	Status	Renewal	Review	Reason
AXA	Section 32 Buyout plan	Paid up			
Barclays Life	Personal Equity Plan	Matured	01/05/11		
Canada Life	Personal Pension	In force			
Scottish Equitable	Personal Pension	In force			
Skandia	Maxi ISA	In force	04/09/11		
Threadneedle	Unit Linked Bond	In force	06/09/11	01/06/11	Withdrawal
Zurich	Flexible Whole of Life	In force	01/03/12		

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

When the renewal has been carried out there are the same buttons here that can be used for the client reviews. There is the blue arrow  that will allow each holding renewal date to be moved individually, or the  Roll forward the renewal dates for the above contracts - which will roll forward the dates for all the holdings. (For more information refer to section 11.2.1).

CAPITA
FINANCIAL SOFTWARE

Administration

Admin.

- Diary today
- Diary all
- Enquiries
- New business
- Compliance
- Reviews**
- Time recorded
- Commissions
- Reports
- Marketing

Administration > Client reviews > Renewals

Clients

Renewals

Maturities

Valuations

Contracts

Schemes

Renewal month 5 Year 2011

Contract type

Contract holder	Provider and Contract type	Status	Renewal date
Hoyland, S M	Canada Life Personal Pension	In force	01/05/11
Hopkins, P	Skandia Maxi ISA	In force	01/05/11
Hopkins, P	Abbey National Building Society Account	In force	01/05/11

Roll forward the renewal dates for the above contracts

Quit

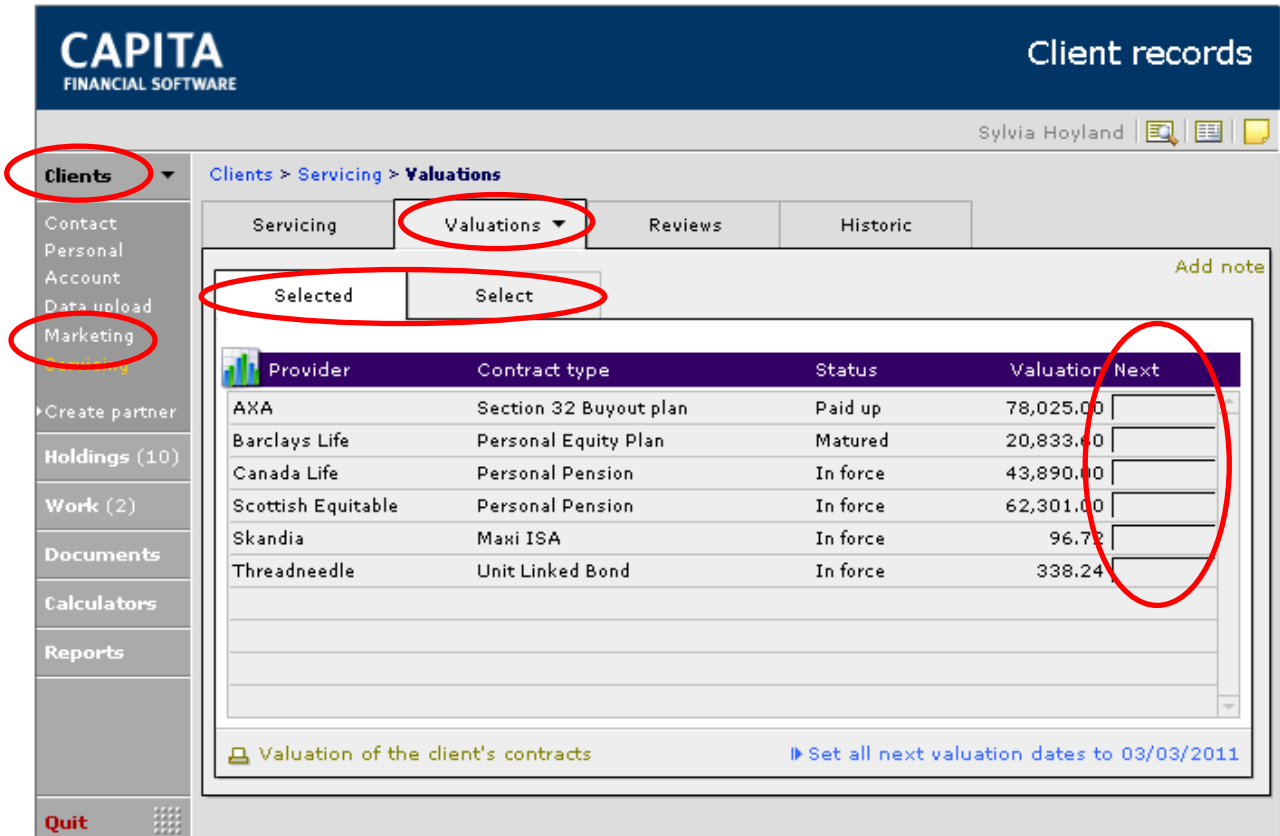
Print renewal review list

Roll forward this review date

12. VALUATIONS

12.1. Scheduled Client Valuations

In the valuations tab there are 2 sections 'Select' and 'Selected'. Initially you need to go to the Select tab, where there will be list of all the client's holdings, select the holdings that require regular valuations. Once done, move back to the 'Selected' tab to record the dates:



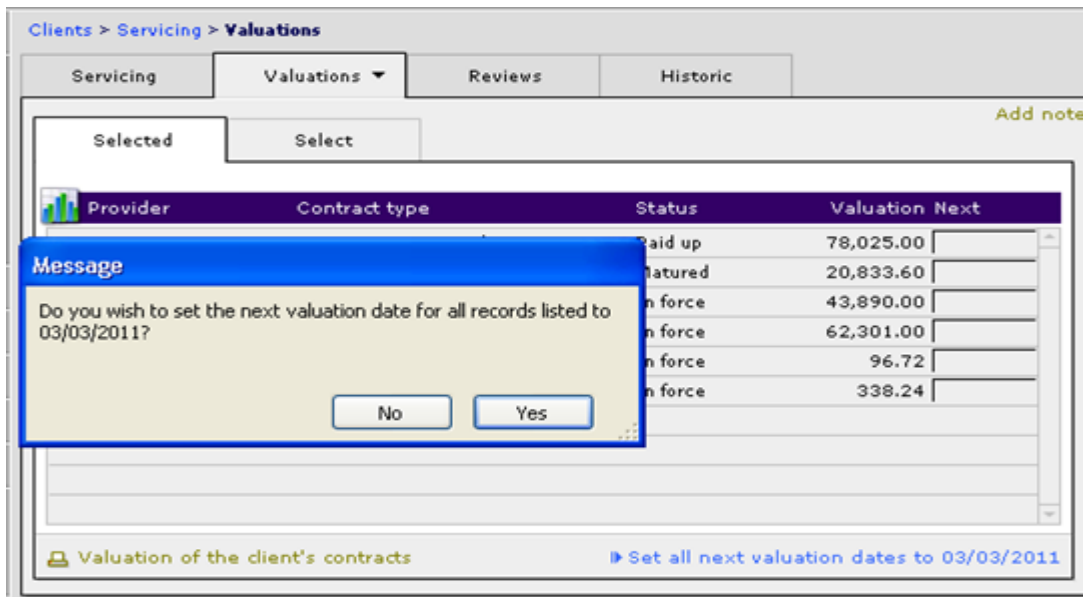
The screenshot shows the CAPITA Financial Software interface. The sidebar on the left has 'Clients' and 'Marketing' highlighted. The main area is titled 'Client records' and shows the 'Valuations' tab. The 'Valuations' tab has two sub-tabs: 'Selected' and 'Select'. The 'Selected' tab is active, showing a table of client holdings. The table has columns: Provider, Contract type, Status, Valuation, and Next. The 'Next' column has input fields for recording the next valuation date. A button at the bottom right allows setting all next valuation dates to a specific date.

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

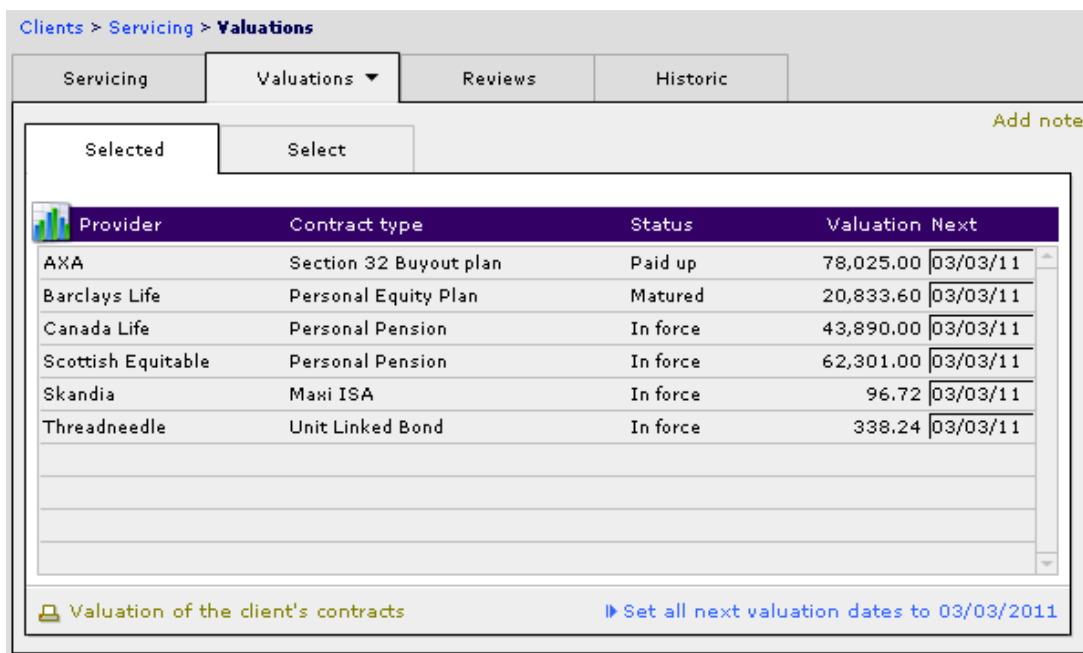
Valuation of the client's contracts [Set all next valuation dates to 03/03/2011](#)

Now need to record the next valuation date.

This button can be used [Set all next valuation dates to 03/03/2011](#) to set all valuation dates to the date specified within the 'Servicing' tab.



Select 'Yes' to this pop up message box.



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

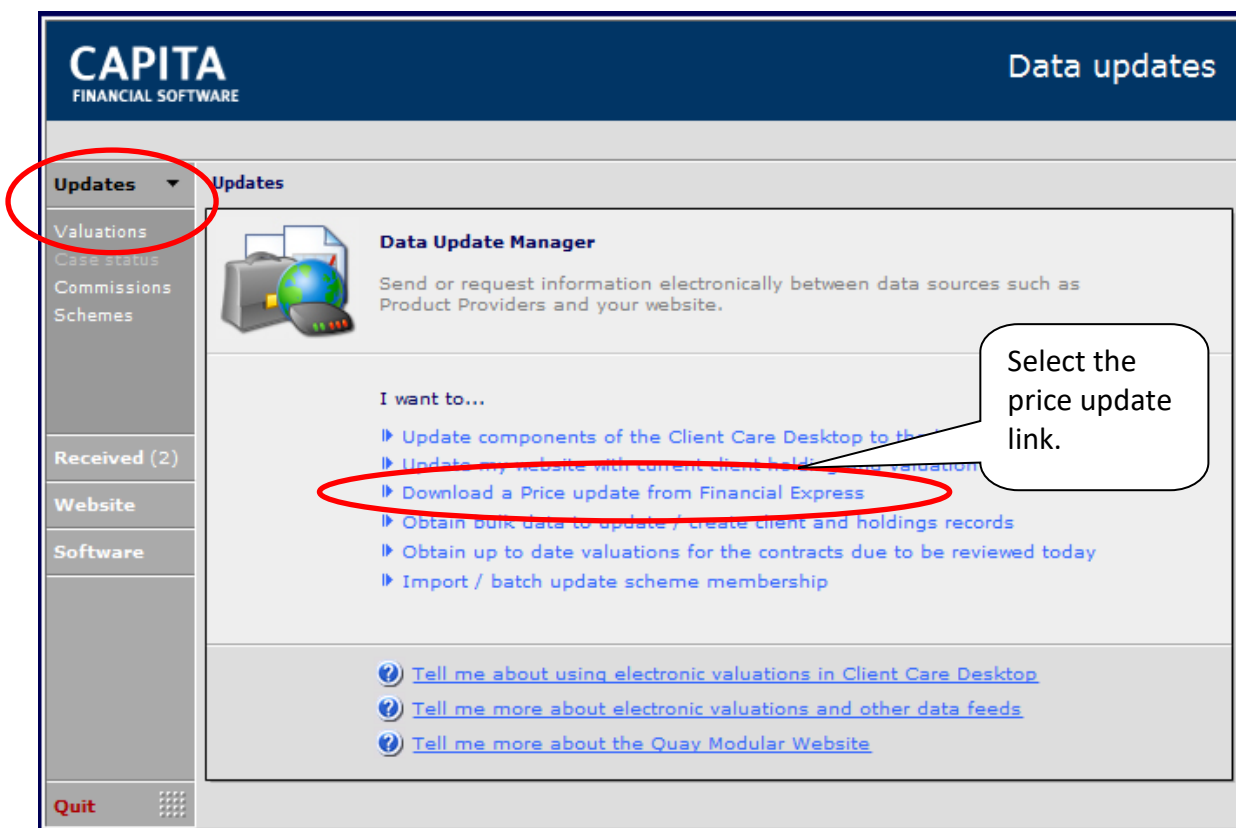
These will appear in the Admin > Reviews section as specified above. This information will also appear in the Updates > Valuations area of CCD, to allow bulk updates of valuations using Contract Enquiry.

12.2. Using Financial Express to Value holdings

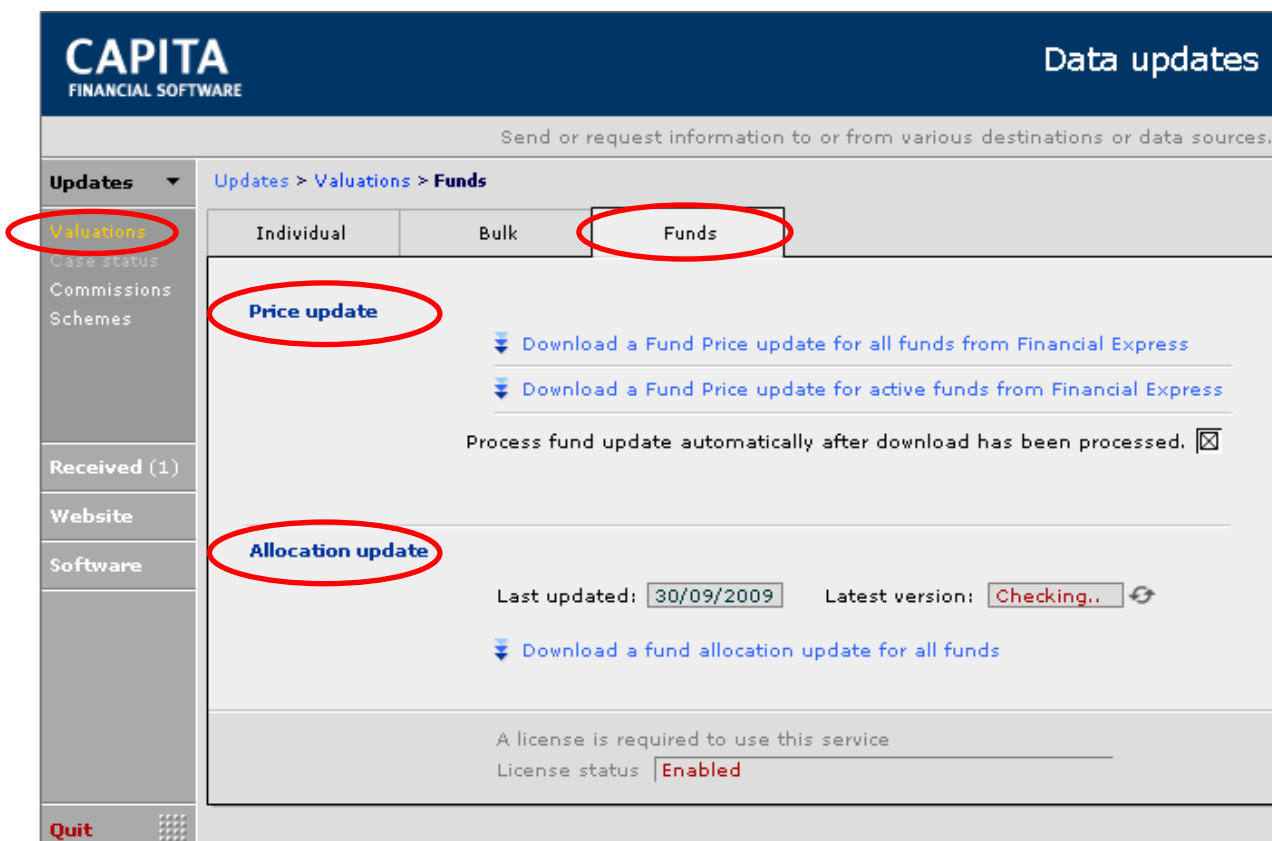
The Financial Express download performs several functions.

- Deletes the existing fund data table.
- Imports the new fund data table from financial express.
- Updates funds attached to Clients holdings with the new bid price (and therefore a new value) where an exact match can be made between the fund attached to the holding and the fund information on the fund data table.
- A monthly Asset Allocation update.

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



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



There are two options for updating the Prices on CCD:

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


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

CAPITA
FINANCIAL SOFTWARE
Data updates

Updates ▼
 Valuations
 Case status
 Commissions
 Schemes

 Received (2)
 Website
 Software

Updates



Data update manager

The request has been submitted to the data provider selected.


If you were sending data then the data is being sent now and you can continue using the system.

If you are expecting to receive data back then it should arrive shortly, depending on the service used.

You will be notified when the data arrives by a pop-up window appearing to the right hand side and at the bottom of your screen.

To process the data once it has arrived click on Update from the front screen and then Received data.

Quay message alert

 New Message:

QSS

13:29

(Example message)

When this message is received in the bottom left of your screen go to the Received section of Updates.


CAPITA
FINANCIAL SOFTWARE
Data updates

Updates ▼

Received ▼
 Received data
 Processed

 Website
 Software

Updates > Data updates received



Data updates received and waiting processing for user : ams

Select a message to process from the list below.
Until you select a message the data will not be processed.

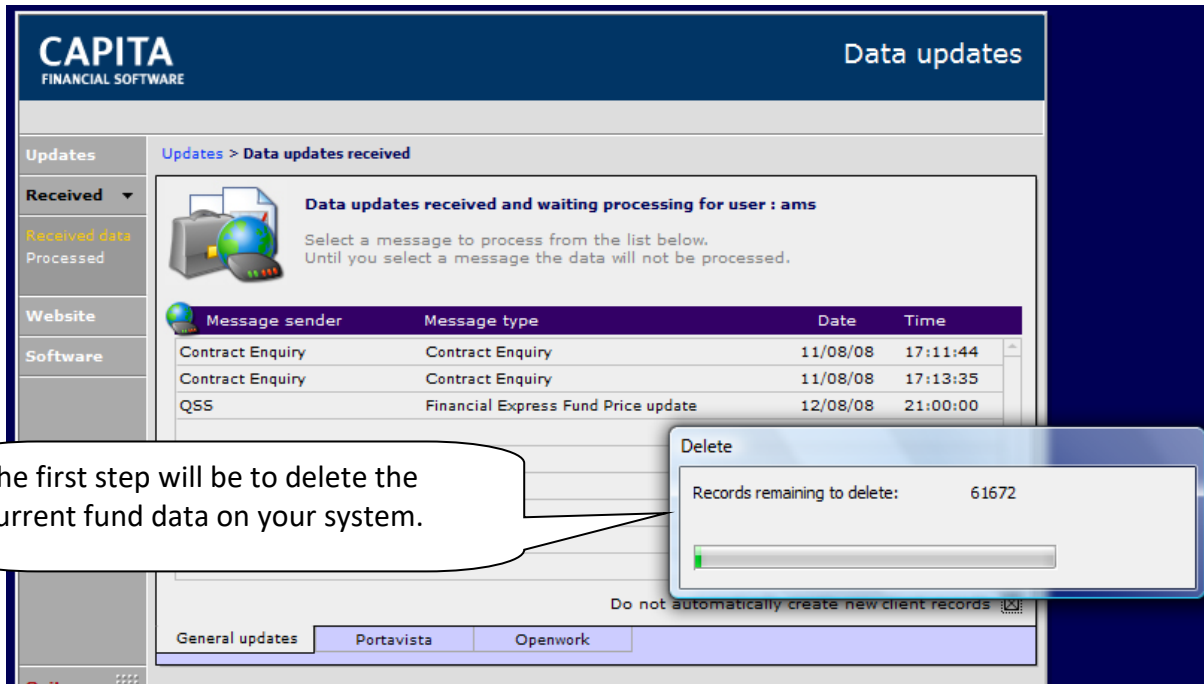
Message sender	Message type	Date	Time
Contract Enquiry	Contract Enquiry	11/08/08	17:11:44
Contract Enquiry	Contract Enquiry	11/08/08	17:13:35
QSS	Financial Express Fund Price update	12/08/08	21:00:00

To process the Financial Express download, select it from the list.

Do not automatically create new client records ☒

General updates
Portavista
Openwork

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



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Data updates

Updates > Data updates received

Data updates received and waiting processing for user : ams

Select a message to process from the list below.
Until you select a message the data will not be processed.

Message sender	Message type	Date	Time
Contract Enquiry	Contract Enquiry	11/08/08	17:11:44
Contract Enquiry	Contract Enquiry	11/08/08	17:13:35
QSS	Financial Express Fund Price update	12/08/08	21:00:00

Delete

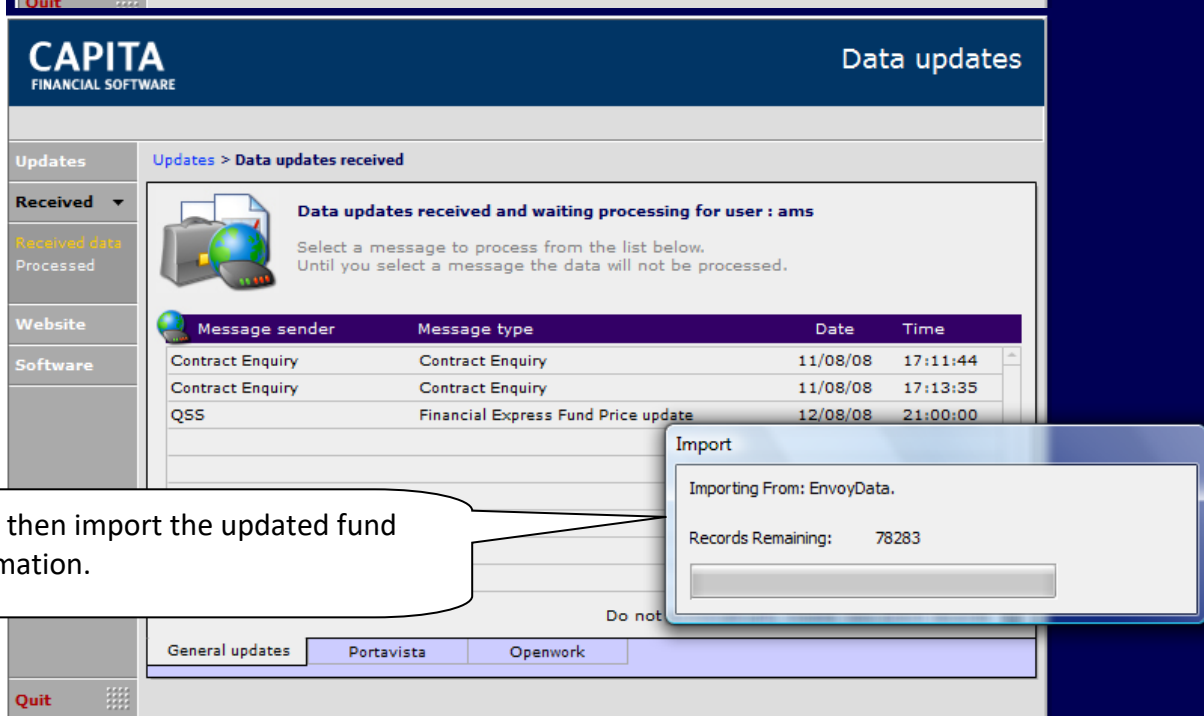
Records remaining to delete: 61672

Do not automatically create new client records

General updates Portavista Openwork

Quit

The first step will be to delete the current fund data on your system.



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Data updates

Updates > Data updates received

Data updates received and waiting processing for user : ams

Select a message to process from the list below.
Until you select a message the data will not be processed.

Message sender	Message type	Date	Time
Contract Enquiry	Contract Enquiry	11/08/08	17:11:44
Contract Enquiry	Contract Enquiry	11/08/08	17:13:35
QSS	Financial Express Fund Price update	12/08/08	21:00:00

Import

Importing From: EnvoyData.

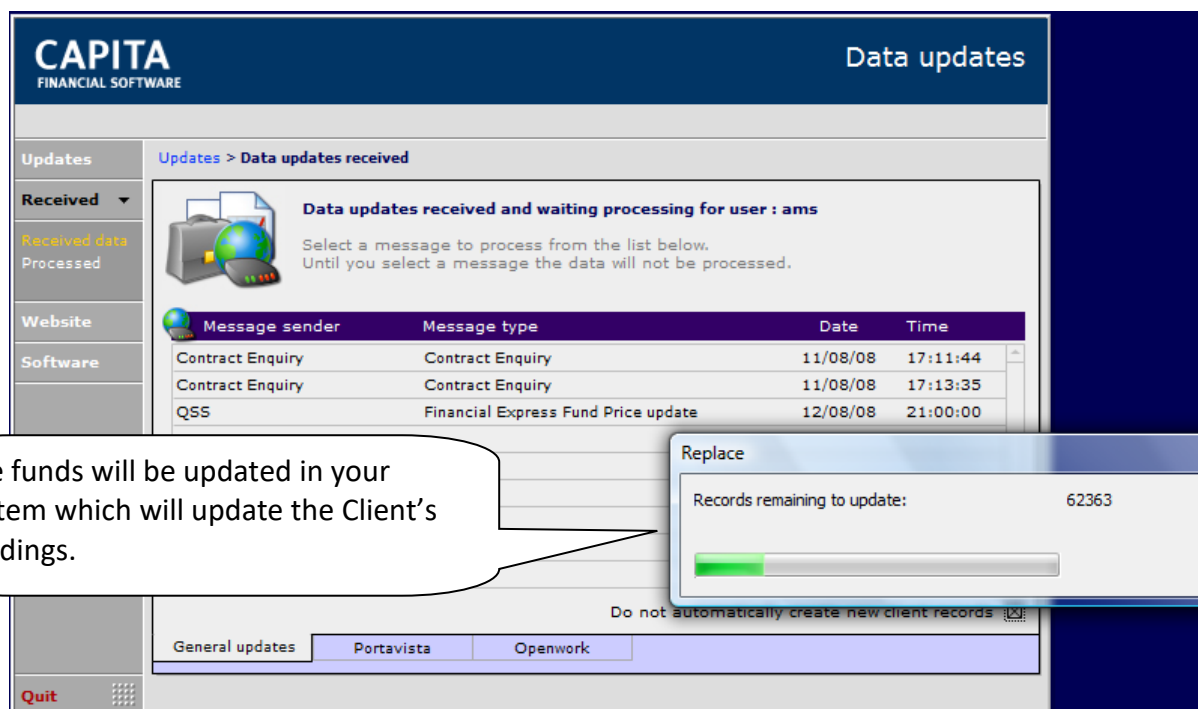
Records Remaining: 78283

Do not

General updates Portavista Openwork

Quit

It will then import the updated fund information.



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

13. CONTRACT ENQUIRY

In order to use contract enquiry you must first ensure that you have signed up for this free service with the relevant product providers. You will also then need to configure your individual machines ready for use.

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

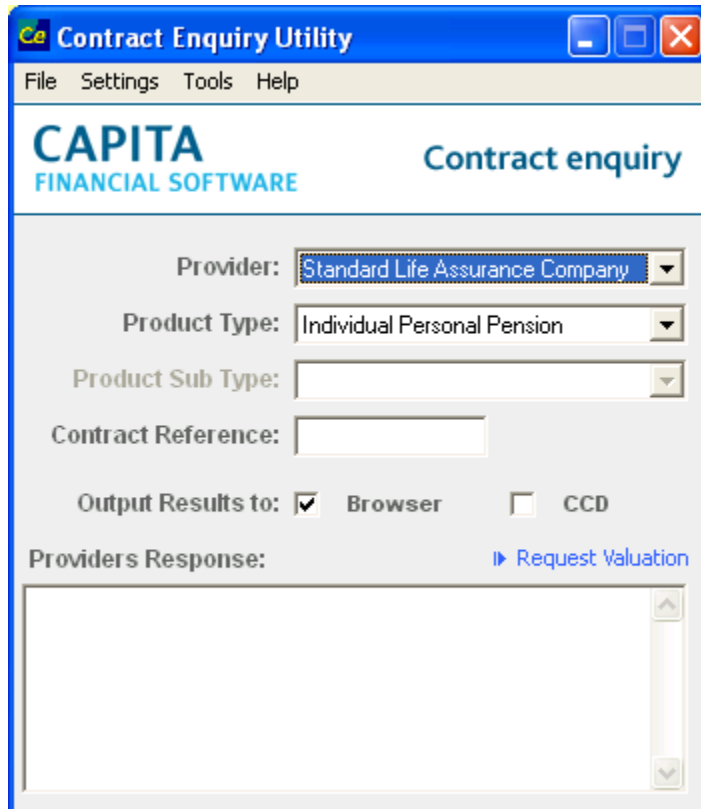
Once signed up for contract enquiry there are a number of options available in order to get information from the contract enquiry providers.

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



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

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



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

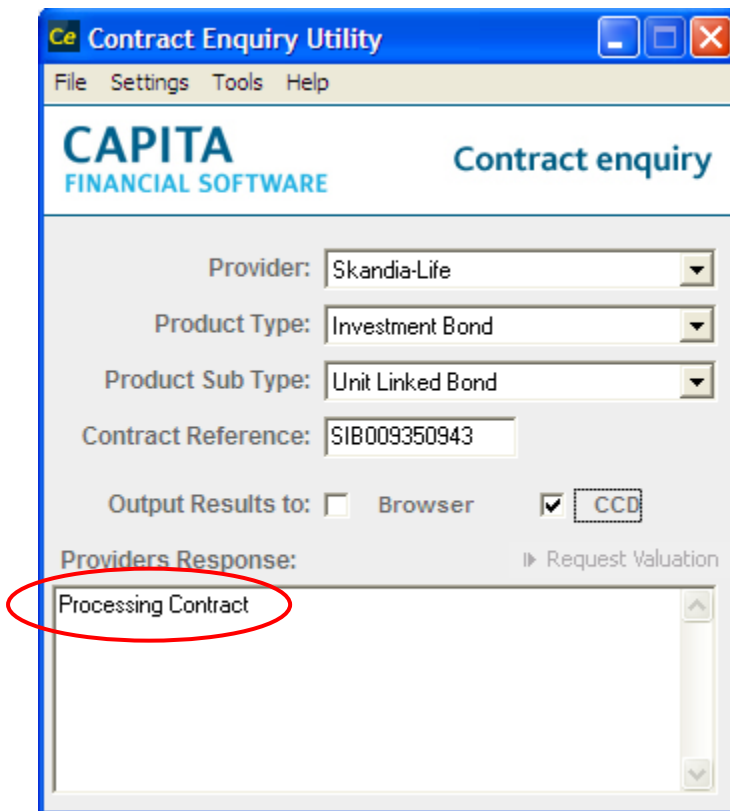
Output Results to: ☒ Browser and/or ☐ CCD

☒ Browser - will produce an on screen valuation indicating the client's contract details and fund information.

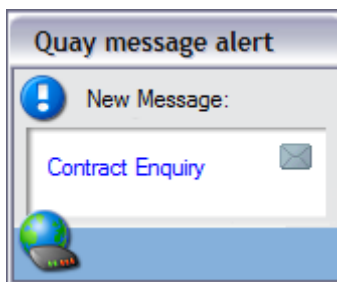
☐ CCD - will produce an entry back into CCD to update the client's holding with the values returned.

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

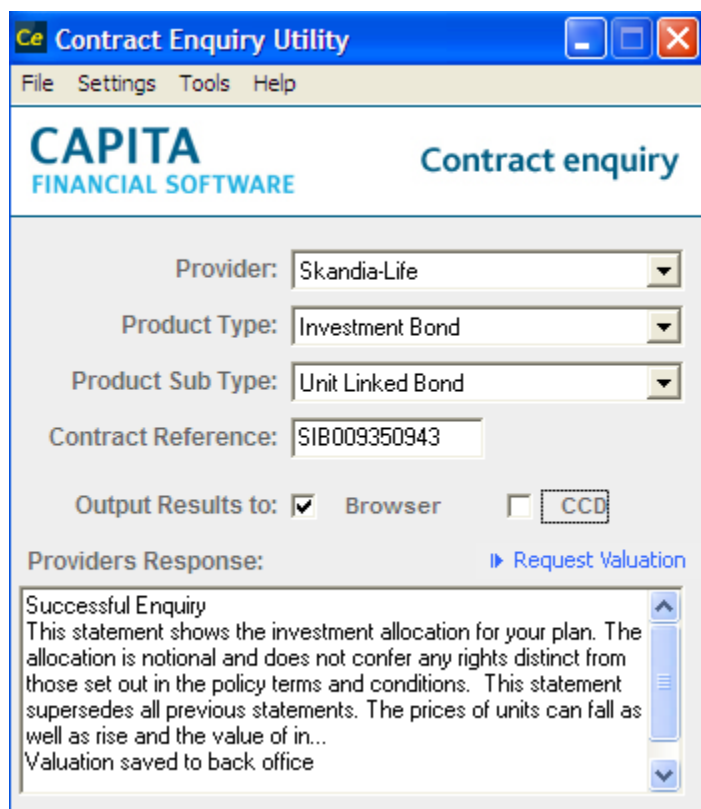
The system will now connect to the provider's server.



When the [Request Valuation](#) link has been selected a confirmation message will pop up informing you that a message has been received into CCD.



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



Contract Enquiry Utility

File Settings Tools Help

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Contract enquiry

Provider: Skandia-Life

Product Type: Investment Bond

Product Sub Type: Unit Linked Bond

Contract Reference: SIB009350943

Output Results to: ☒ Browser ☐ CCD

Providers Response: [Request Valuation](#)

Successful Enquiry
This statement shows the investment allocation for your plan. The allocation is notional and does not confer any rights distinct from those set out in the policy terms and conditions. This statement supersedes all previous statements. The prices of units can fall as well as rise and the value of in...
Valuation saved to back office

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

Valuation Report

Valuation

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

Current holdings

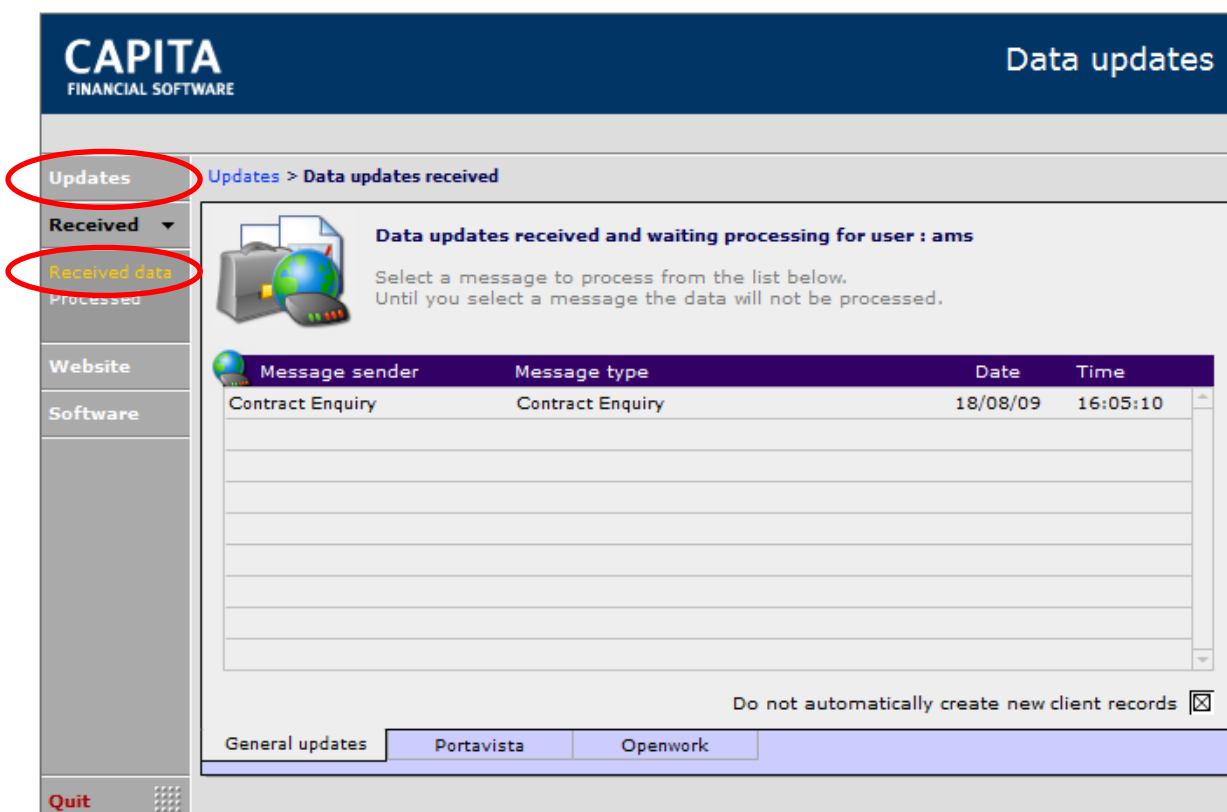
Fund name	Type of units held	Number of units held	Units valid at (date)	Unit price	Price valid (date)	Current value	Valuation currency
Balanced	Accumulation	14.4084	09/04/2010	8.4190	09/04/2010	121.30	GBP
Deposit	Accumulation	26.2599	09/04/2010	4.3880	09/04/2010	115.23	GBP
Cautious Life	Accumulation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

Current valuation (GBP)

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

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

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



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

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

For instance:

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

Clients [Clients > Holdings > Details > Assets > Position](#)

Holdings Position Select asset

Asset breakdown
The underlying composition of this asset.

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

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

Position Allocation **Asset breakdown** Notes / Factsheet Historic

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

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

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

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

There is a link in the Clients module, which means if an individual CE update is done, it is simple to move from Clients to Updates > Received:

Clients > Holdings > Details

Contract details | Assets | Withdrawals | Analysis

Add note

Details | Notes

Self employed / employed ☐ Self employed ☐

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

Return on death before retirement ☐ Return of contributions ☐

Insured lump sum ☐

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

Selected retirement date 16/11/2009 To age 60 ☐ Auto fill

Commission administrator

Fund Supermarket

Discretionary Fund Manager

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

Valuation data Summary [Hint](#)

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

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

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

[Process electronic valuation within Updates Section](#)

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

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Data updates

Fund Mapping

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

Contract Enquiry Fund name	Contract Enquiry Provider	Financial Express Fund Name
Balanced	Skandia	Unmapped to a Financial Express fund

[Create a mapping](#)

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

Contract Valuations

Exceptions () | Summary

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

Contract Enquiry Provider	Contract Holder	Contract Num	Response Status
Skandia	Black, C	S18009350943	Warning

[Details](#)

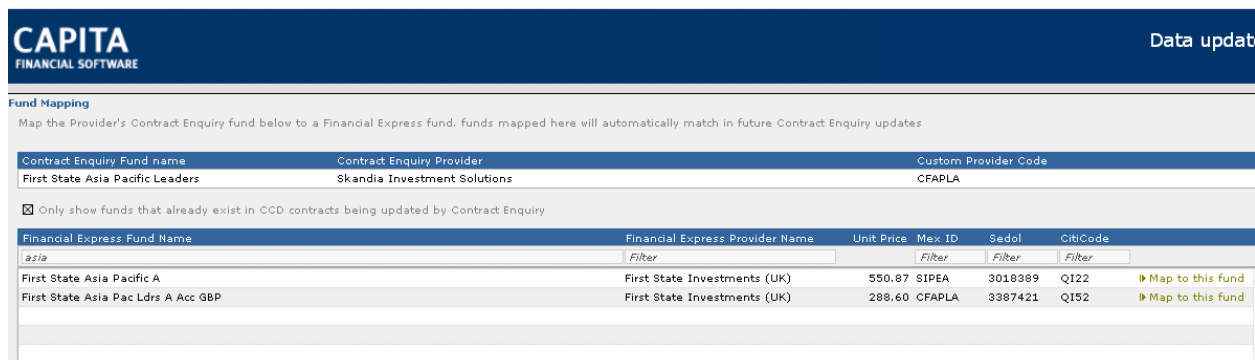
This section shows contracts that have comeback on the CE message that need some manual input. This is done on a client by client basis.

[Process Contract Enquiry](#)

We recommend that you always start with the 'Fund Mapping' at the top of the screen as changes made here may affect the exceptions in the 'Contract Valuations' section underneath.

Fund Mapping

When a fund(s) comes in from the Provider without a MexID or Sedol code, it cannot be mapped to a fund within Financial Express. Therefore this needs to be done manually.



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

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

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

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



- Filter by this section and either enter in a maximum of 15 characters starting at the beginning of the fund's name , or:
- Type in various words from the funds name, with a carriage return (the enter key) between each word (maximum of 10). When the search is done, a list of all funds with either word in their names will be returned.

Financial Express Provider Name
<i>Filter</i>

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

Mex ID	Sedol	CitiCode
<i>Filter</i>	<i>Filter</i>	<i>Filter</i>

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

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

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

Provider Code Fund Mapping

Are you sure you want to map this Contract Enquiry fund -
Balanced
to the Financial Express fund -
Skandia Balanced Pn?

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

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Information from the Contract Enquiry for the holding.

ta updates

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

Client Detail

Mr Dashawn Belton

Contract Details

Investment
Offshore Bond
Unit Linked Offshore Bond
200000896

Message Detail

Source: Skandia Investment Solutions

Warning Response
test

Message Description

☐ Show automatically matched assets

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

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

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

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

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

To do this:



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

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

☒ Show automatically matched assets

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

Client Detail	Contract Details	Message Detail
Mr. Dashawn Belton	Investment Offshore Bond Unit Linked Offshore Bond 200000896	Source: Skandia Investment Solutions Warning Response test Message Description

☒ Show automatically matched assets

Contract Enquiry Assets	Matched CCD Assets	New	Existing CCD Assets	Archive
✅ First State Asia Pacific Leaders	First State Asia Pacific Leaders	<input type="checkbox"/>	✅ First State Asia Pacific Leaders	<input type="checkbox"/>
Neptune Global Equity	Neptune Global Equity	<input type="checkbox"/>	Neptune Global Equity	<input type="checkbox"/>
Marlborough Special Situations	Marlborough Special Situations	<input type="checkbox"/>	Marlborough Special Situations	<input type="checkbox"/>
Neptune European Opportunities	Neptune European Opportunities	<input type="checkbox"/>	Neptune European Opportunities	<input type="checkbox"/>
Neptune Russia + Greater Russia	Neptune Russia + Greater Russia	<input type="checkbox"/>	Neptune Russia + Greater Russia	<input type="checkbox"/>
Invesco Perpetual High Income	Invesco Perpetual High Income	<input type="checkbox"/>	Invesco Perpetual High Income	<input type="checkbox"/>
Jupiter Emerging European Opportunities	Jupiter Emerging European	<input type="checkbox"/>	Jupiter Emerging European Opportunities	<input type="checkbox"/>
Allianz RCM BRIC Stars	Allianz RCM BRIC Stars	<input type="checkbox"/>	Allianz RCM BRIC Stars	<input type="checkbox"/>
Artemis European Growth	Artemis European Growth	<input type="checkbox"/>	Artemis European Growth	<input type="checkbox"/>
Artemis UK Special Situations	Artemis UK Special Situations	<input type="checkbox"/>	Artemis UK Special Situations	<input type="checkbox"/>

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

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

Client Detail
 Mr Kanye Beatty

Contract Details
 Investment
 Unit Trust
 Unit trust
 100064797

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

☐ Show automatically matched assets

Contract Enquiry Assets
 ⚠ Artemis European Growth

Matched CCD Assets
 Click here to match

New
☐

Existing CCD Assets
 ⚠ Cash

Archive
☐

This fund needs to be created using 'New'.

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

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

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

Contract Valuations

Exceptions () Summary

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

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

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

Exit Process Contract Enquiry

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

13.1 What to do if the incorrect fund has been selected

If the incorrect fund has been selected for mapping this can be undone. To do this, navigate to Setup > Prices and select the incorrectly chosen fund, select the 'Provider Codes' tab:

CAPITA FINANCIAL SOFTWARE System setup

Skandia Balanced Pn

Setup ▾ Setup > Prices > Details

Details ▾
Portfolios
Provider Codes
Allocations


Provider reference
 Collective name
 Sector
 Investment type
 Sub type
 Currency code
 SEDOL Citicode
 Morningstar MEXID
 Supermarkets CoFunds ☐ Fidelity ☐

Fund price

Value date Bid price
 Valuation (Bid) price Offer price
 Mid price
 Daily change
 Yield

Collective fact sheet [Skandia Balanced Pn](#)


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

Quit 

Fund Identity (code)

This is the 'Provider Codes' tab:

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

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

Use this icon to undo the mapping.

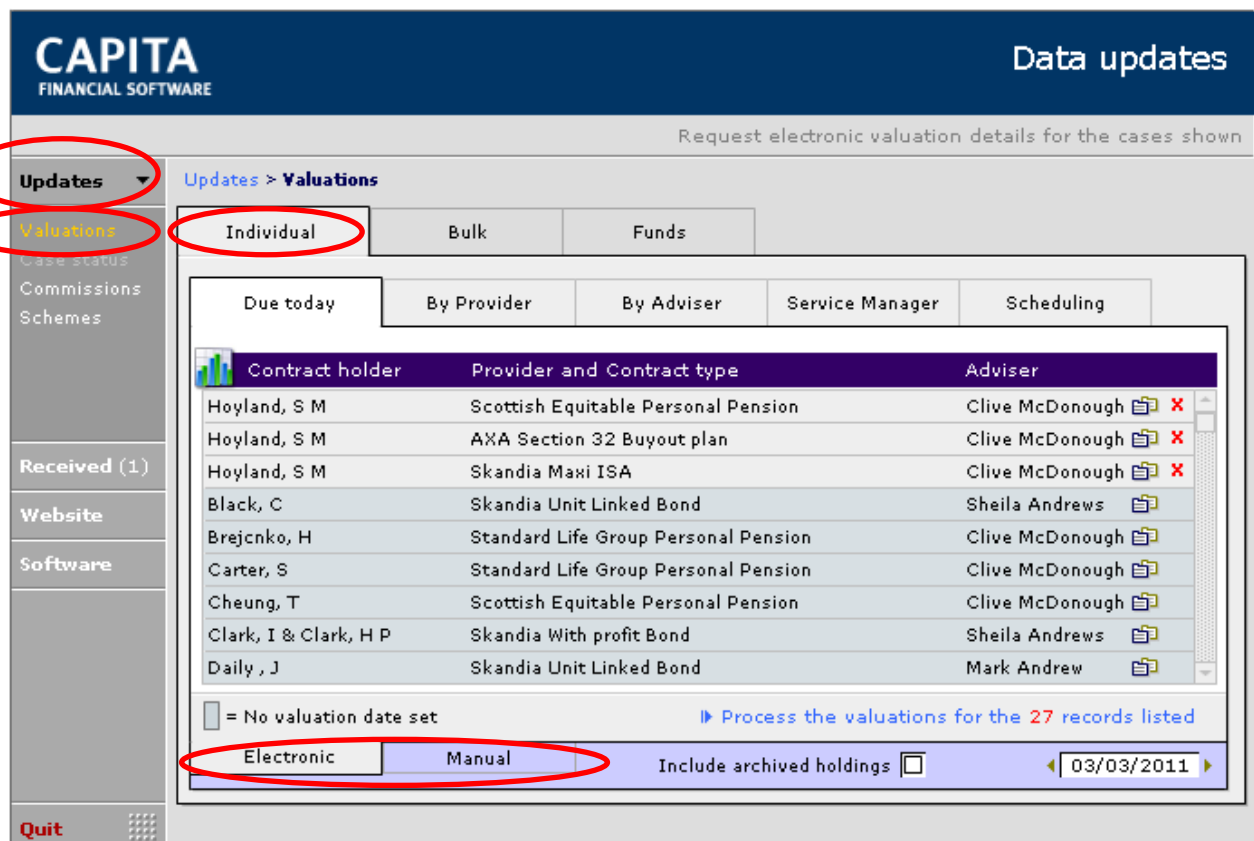
Warning

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

Click OK to remove the mapping.

14. BULK VALUATIONS

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



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




Data updates

Request electronic valuation details for the cases shown

Updates > **Valuations**

Individual | Bulk | Funds

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

Contract holder	Provider and Contract type	Adviser
Hoyland, S M	Scottish Equitable Personal Pension	Clive McDonough  X
Hoyland, S M	AXA Section 32 Buyout plan	Clive McDonough  X
Hoyland, S M	Skandia Maxi ISA	Clive McDonough  X
Black, C	Skandia Unit Linked Bond	Sheila Andrews 
Brejcnko, H	Standard Life Group Personal Pension	Clive McDonough 
Carter, S	Standard Life Group Personal Pension	Clive McDonough 
Cheung, T	Scottish Equitable Personal Pension	Clive McDonough 
Clark, I & Clark, H P	Skandia With profit Bond	Sheila Andrews 
Daily, J	Skandia Unit Linked Bond	Mark Andrew 

☐ = No valuation date set

[Process the valuations for the 27 records listed](#)

Electronic | **Manual** | Include archived holdings ☐ | 03/03/2011

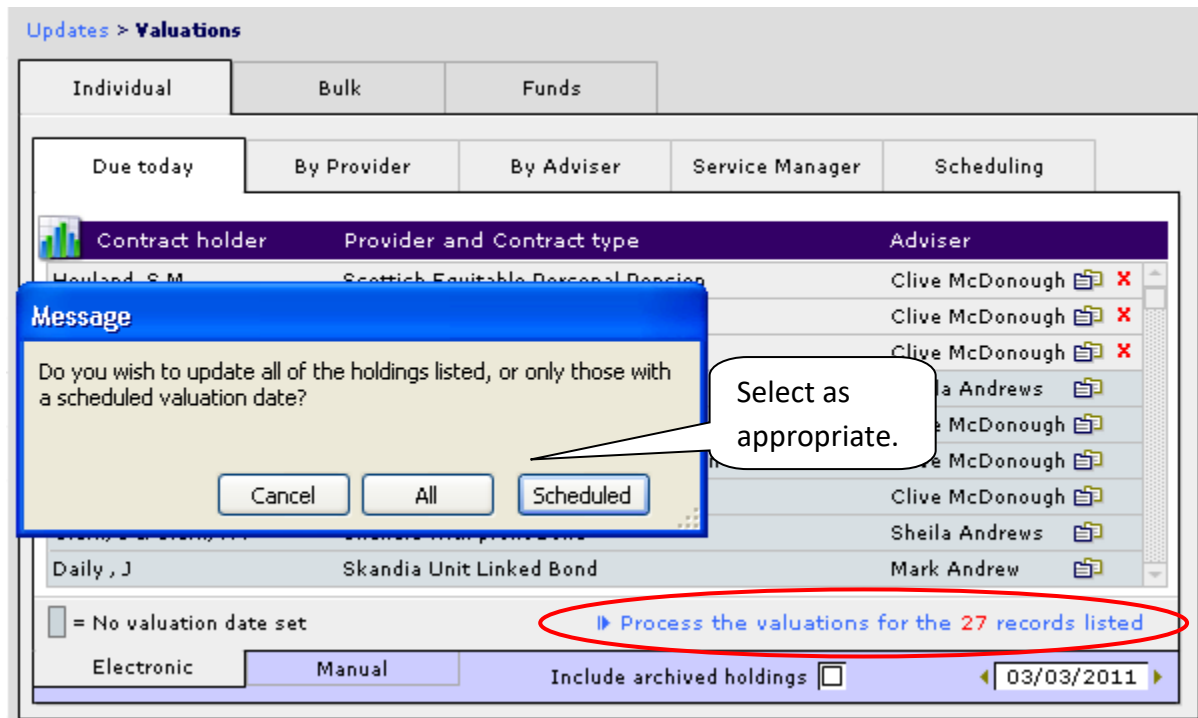
Quit

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

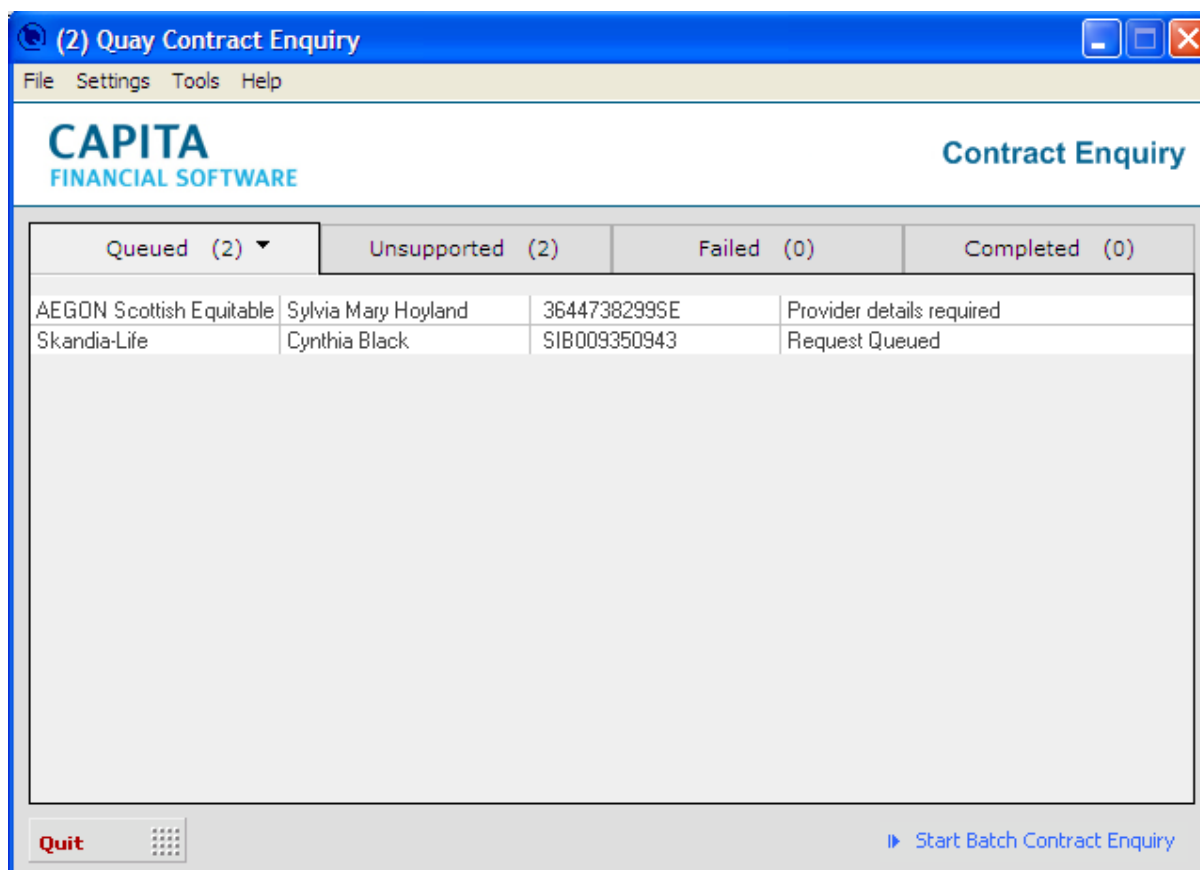
The other Holdings in this list are there as they do not have a 'valuation' date recorded. Dates can be recorded against the client record. By clicking on the item in the list (which will move you back to the Client Module).

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

To process all the contract enquiry valuations on bulk click onto the [Process the valuations for the 27 records listed](#) link. The following message will be displayed:



This will take you through to the bulk contract enquiry screen. Confirm whether 'All' of the valuations should be done, or just those that have been 'Scheduled' for today.



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

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

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Data updates

Request electronic valuation details for the cases shown

Updates ▼

Updates > **Valuations**

Valuations
Case status
Commissions
Schemes

Received (1)

Website

Software

Quit

Individual

Bulk

Funds

Due today

By Provider

By Adviser

Service Manager

Scheduling

Contract holder	Provider and Contract type	Consultant
Hoyland, S M	Canada Life Personal Pension	Clive McDonough
Hoyland, S M	Barclays Life Personal Equity Plan	Clive McDonough
Hoyland, S M	Threadneedle Investments Unit Linked Bond	Clive McDonough

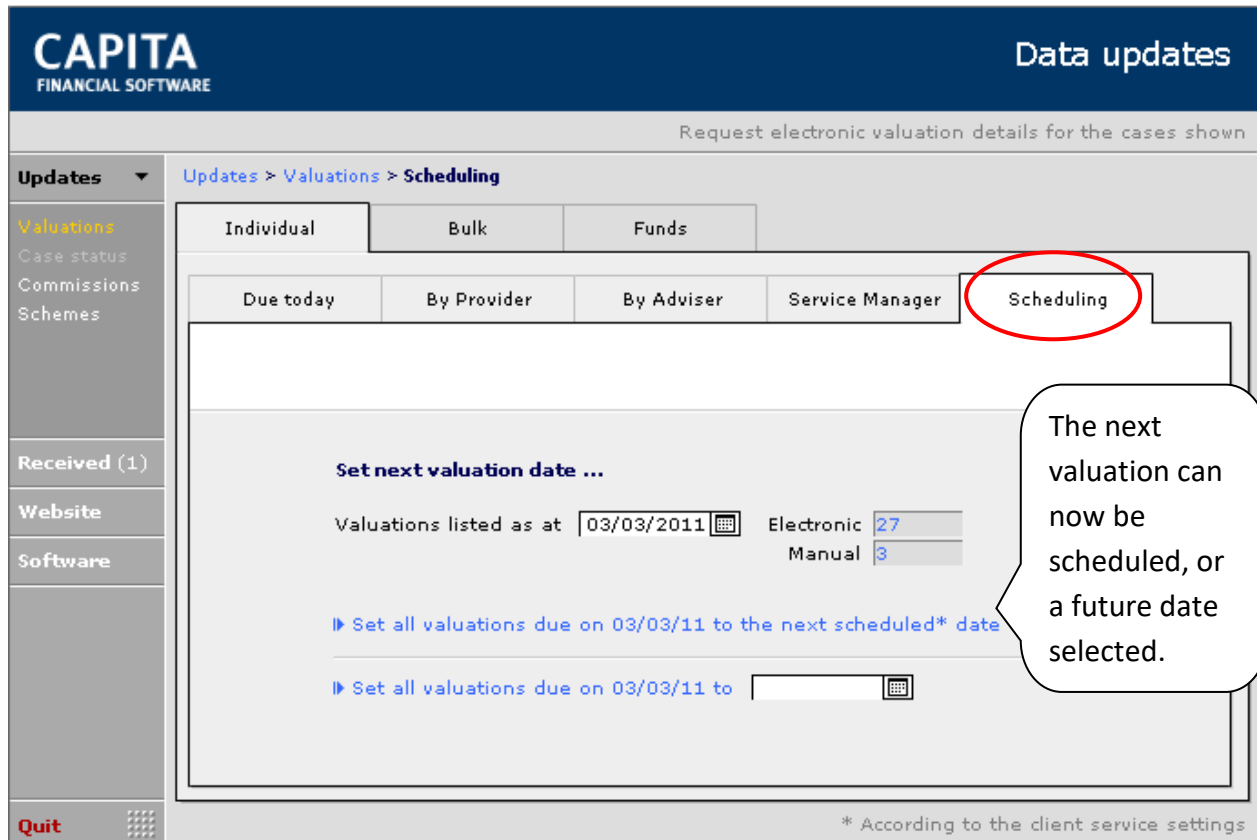
Electronic

Manual

[Print valuation review list](#)

◀ 03/03/2011 ▶

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



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

► Set all valuations due on 03/03/11 to the next scheduled* date This option will look at the “rule” set up in each Client’s servicing details and re-diarise the valuation accordingly.

► Set all valuations due on 03/03/11 to [] Here you have the option to move all the valuations due today to another date on mass. This is especially useful if there is staff sickness/holiday and you want to move the diary forward a couple of days.

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Client records

Sylvia Hoyland

Clients

Contact

Personal

Account

Data upload

Marketing

Servicing

Create partner

Holdings (10)

Work (2)

Documents

Calculators

Reports

Clients > Servicing

Servicing

Valuations

Reviews

Client servicing proposition

Gold

Current client status

Prospect

Adviser

Clive McDonough

Service manager

Is this a fee paying client?

Date from which fees are charged

Switch to Client fees

Client servicing

12

Date of next client valuation

20/03/2010

Following

18/09/2010

Provide valuations every

6 months

Date of next client review

10/04/2010

Month

4/2010

Review every

12 months

Following

10/04/2011

Servicing notes

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