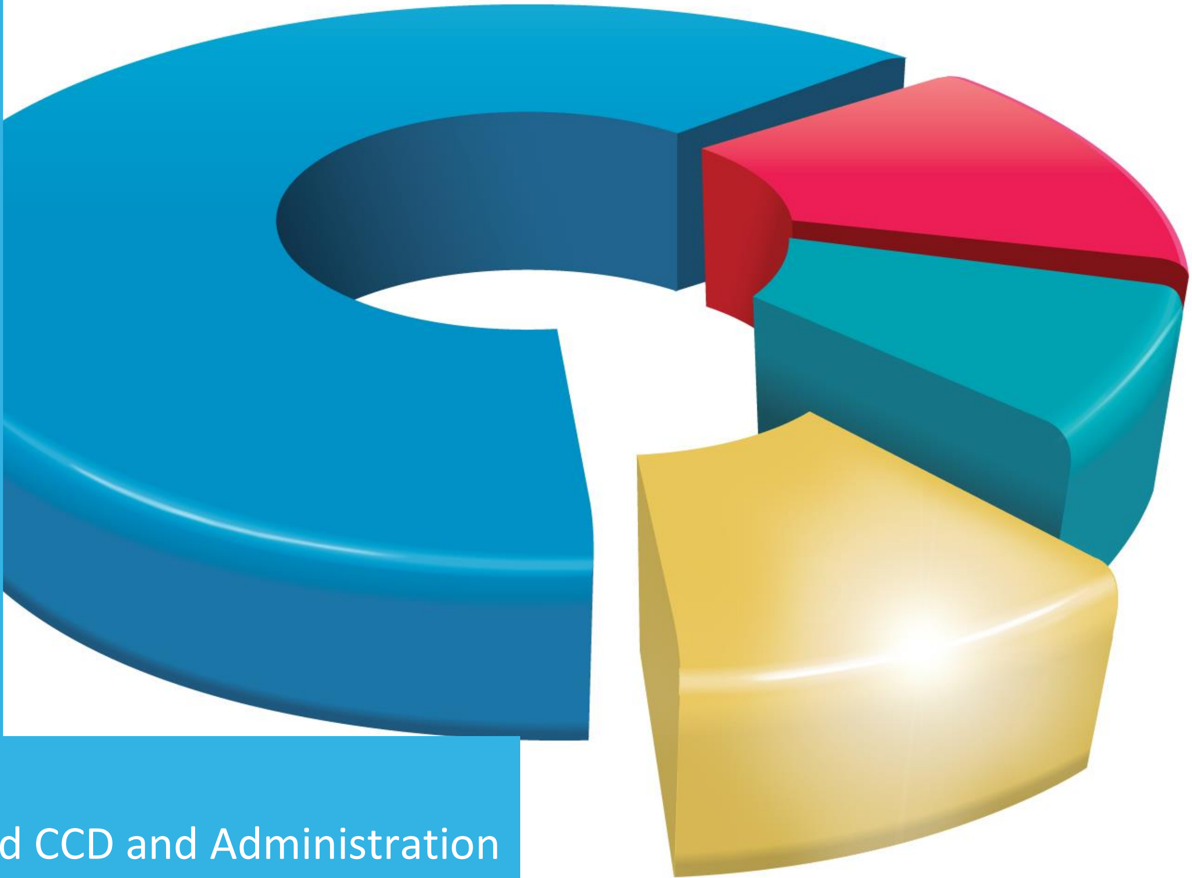
Client Care Desktop v4.2



Advanced CCD and Administration
Client Care Desktop V4.2

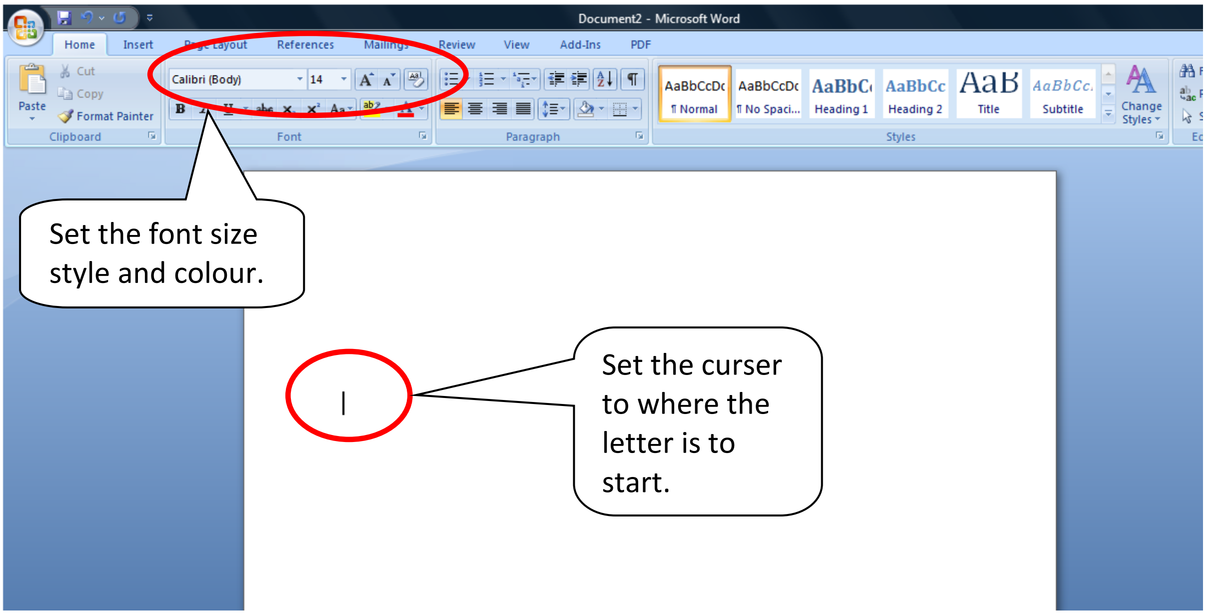
Table of Contents

1. GETTING READY TO USE STANDARD LETTERS

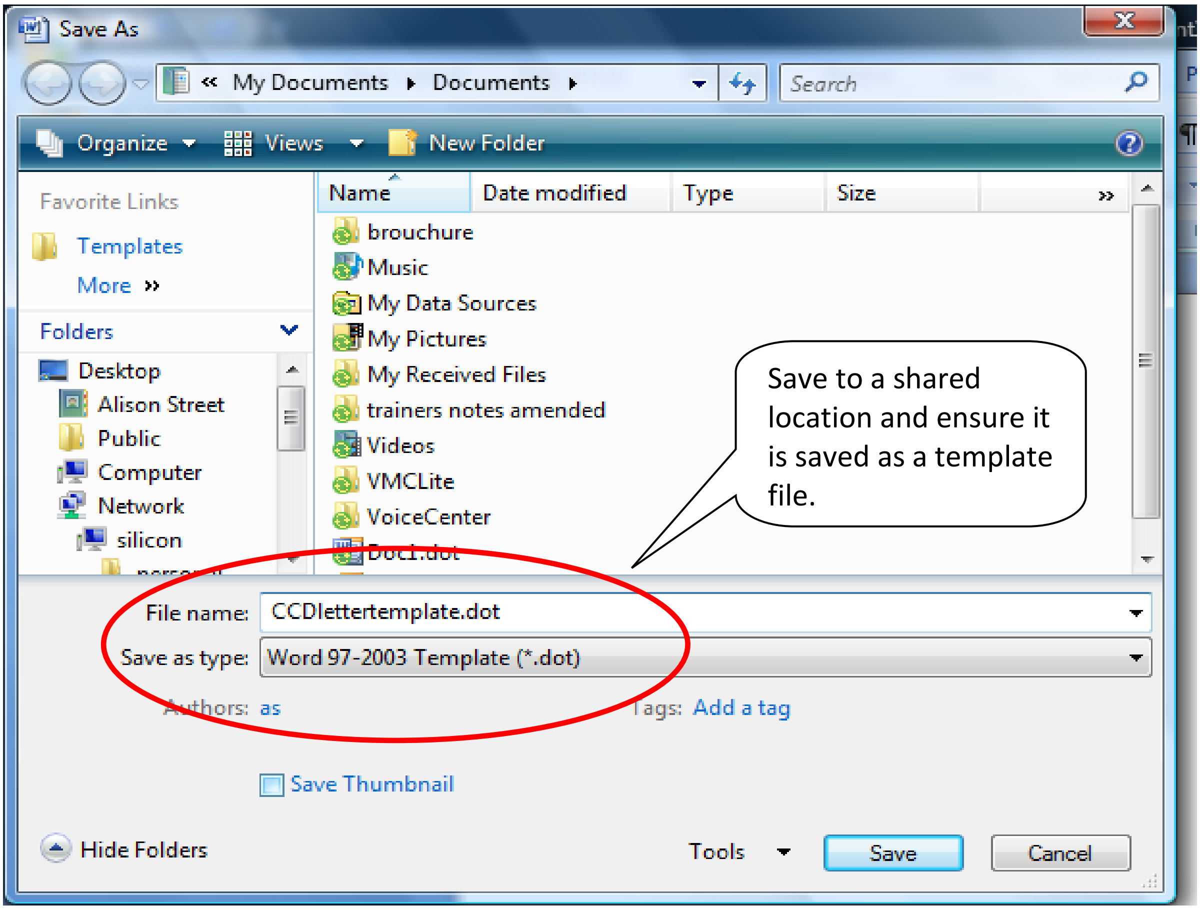
CCD will allow you to store copies of all your standard letters for ease of use and storage. Before you can use these letters some set up is required.

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

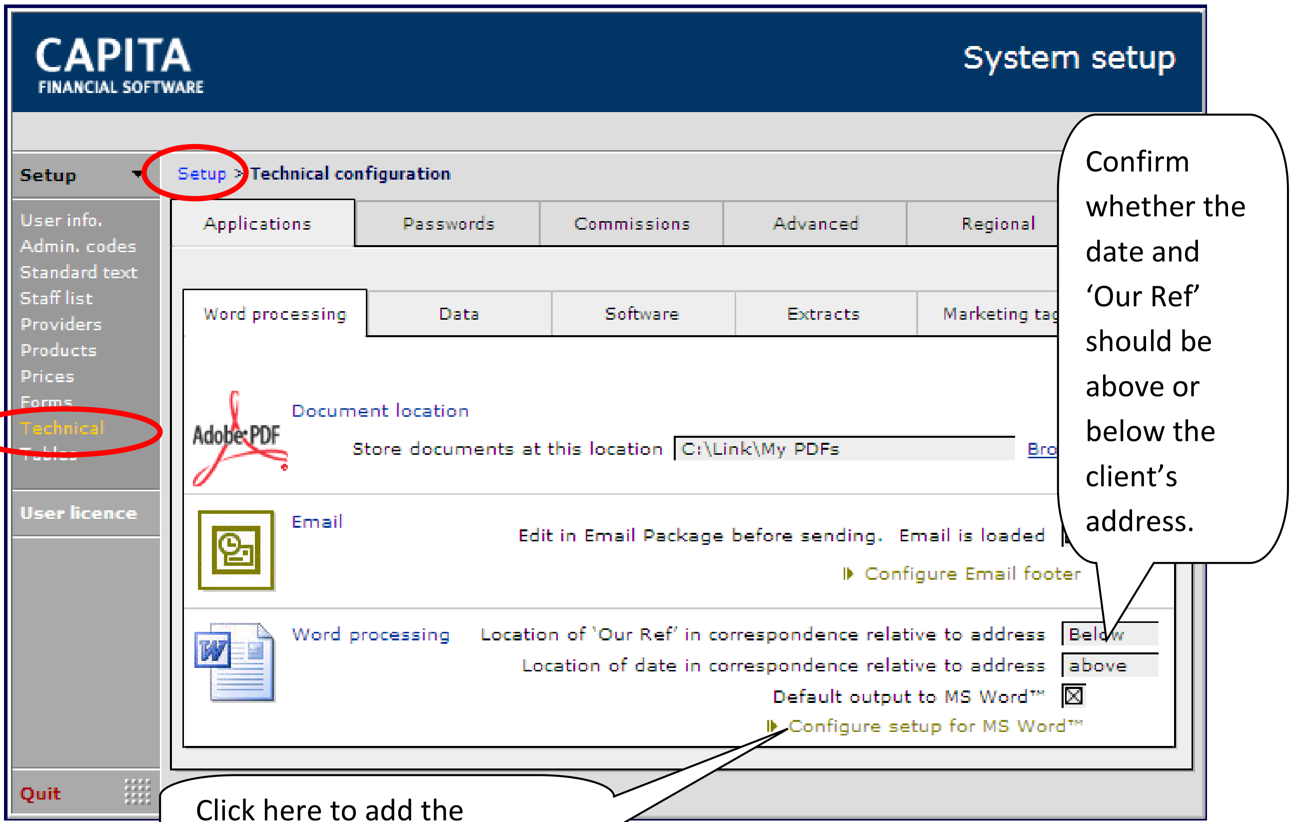
You must first set up a Word document Template (.dot) file. Go into a blank MS Word document set the font style size & colour, set tabs and leave the curser flashing where printing is to start (below any printed letter head).

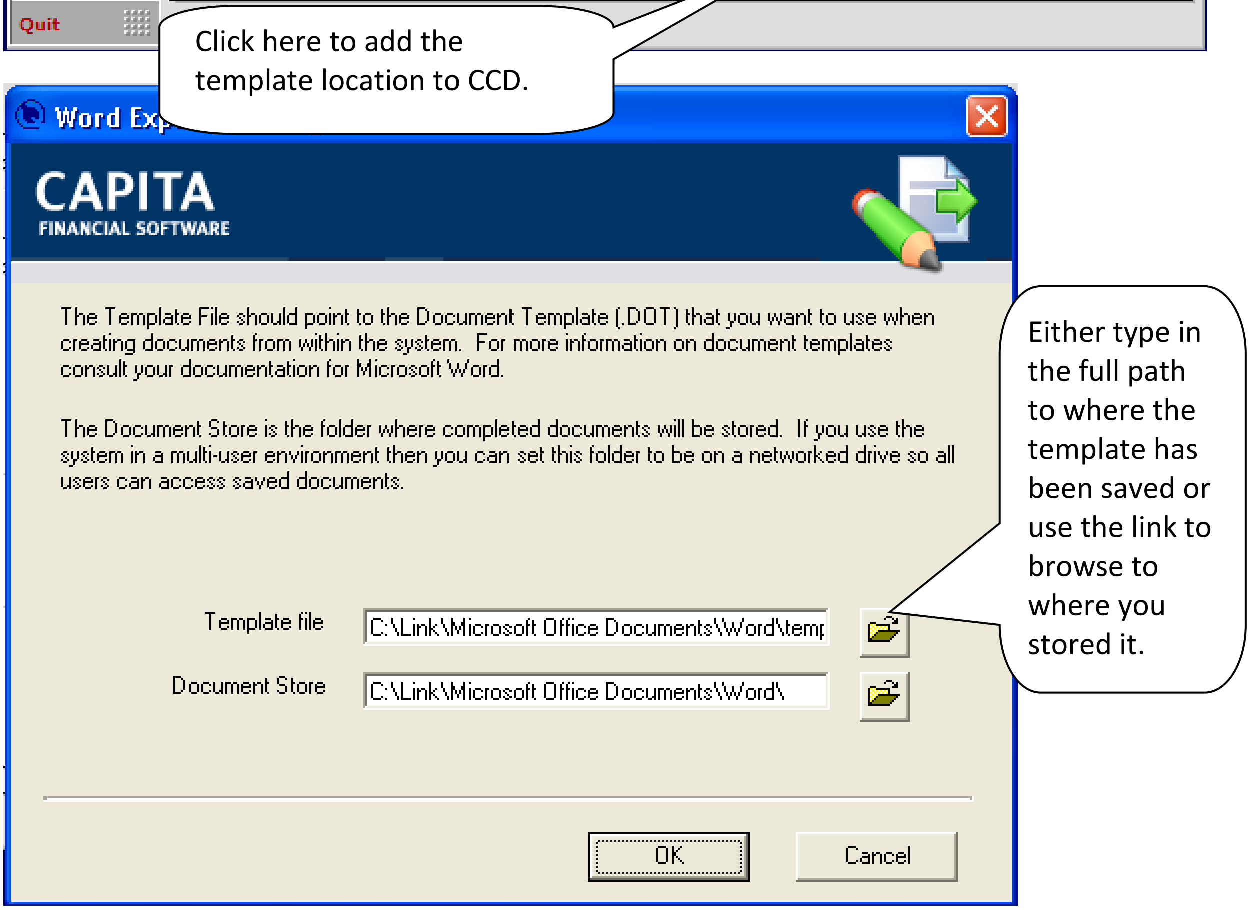


Once the template is set, save it as a template to a shared location. (The template needs to be accessible to all CCD users).



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

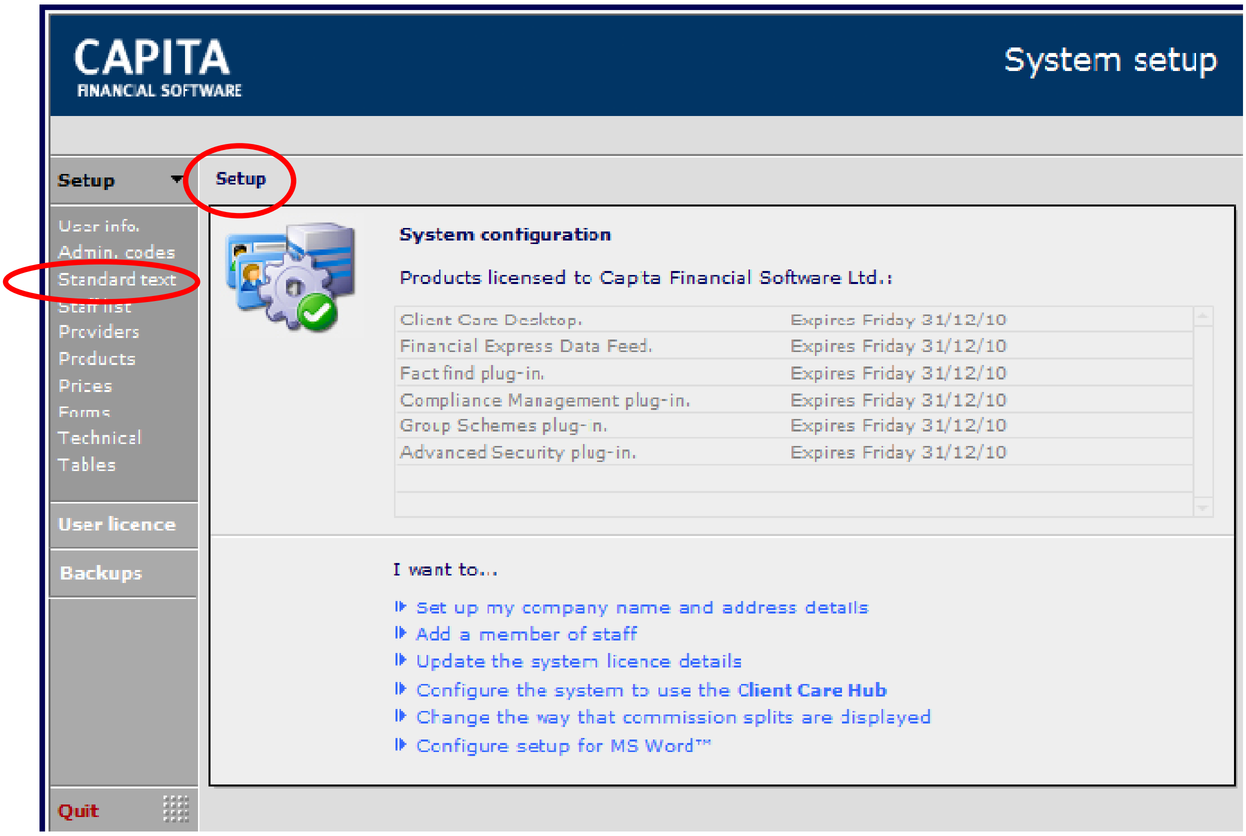

CAPITA FINANCIAL SOFTWARE
System setup
Setup
Setup > Technical configuration
User info.
Admin. codes
Standard text
Staff list
Providers
Products
Prices
Forms
Technical
User licence
Quit
Applications
Passwords
Commissions
Advanced
Regional
Word processing
Data
Software
Extracts
Document location
Store documents at this location
C:\Link\My PDFs
Email
Edit in Email Package before sending.
Email is loaded
Configure Email footer
Location of 'Our Ref' in correspondence relative to address
Location of date in correspondence relative to address
above
Default output to MS Word™
Configure setup for MS Word™
Confirm whether the date and 'Our Ref' should be above or below the client's address.
Click here to add the template location to CCD.


CAPITA FINANCIAL SOFTWARE
The Template File should point to the Document Template (.DOT) that you want to use when creating documents from within the system. For more information on document templates consult your documentation for Microsoft Word.
The Document Store is the folder where completed documents will be stored. If you use the system in a multi-user environment then you can set this folder to be on a networked drive so all users can access saved documents.
Template file
Document Store
C:\Link\Microsoft Office Documents\Word\
OK
Cancel
Either type in the full path to where the template has been saved or use the link to browse to where you stored it.

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.



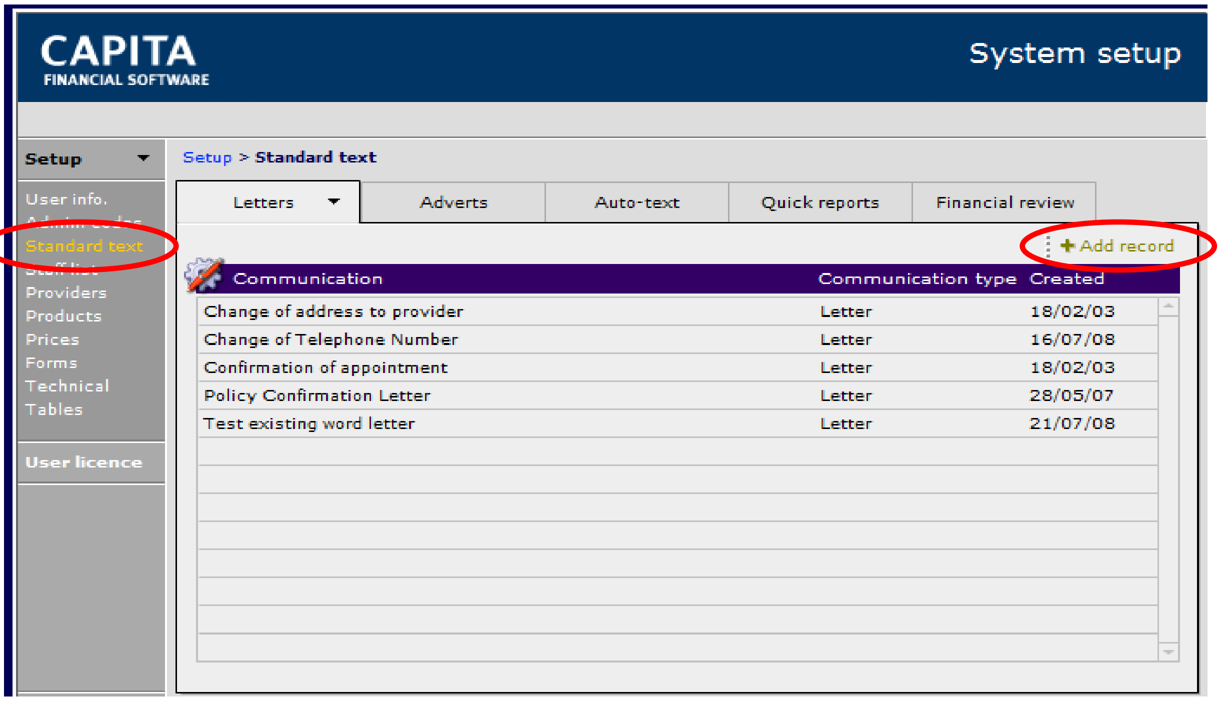
There are 4 ways to add letters to CCD

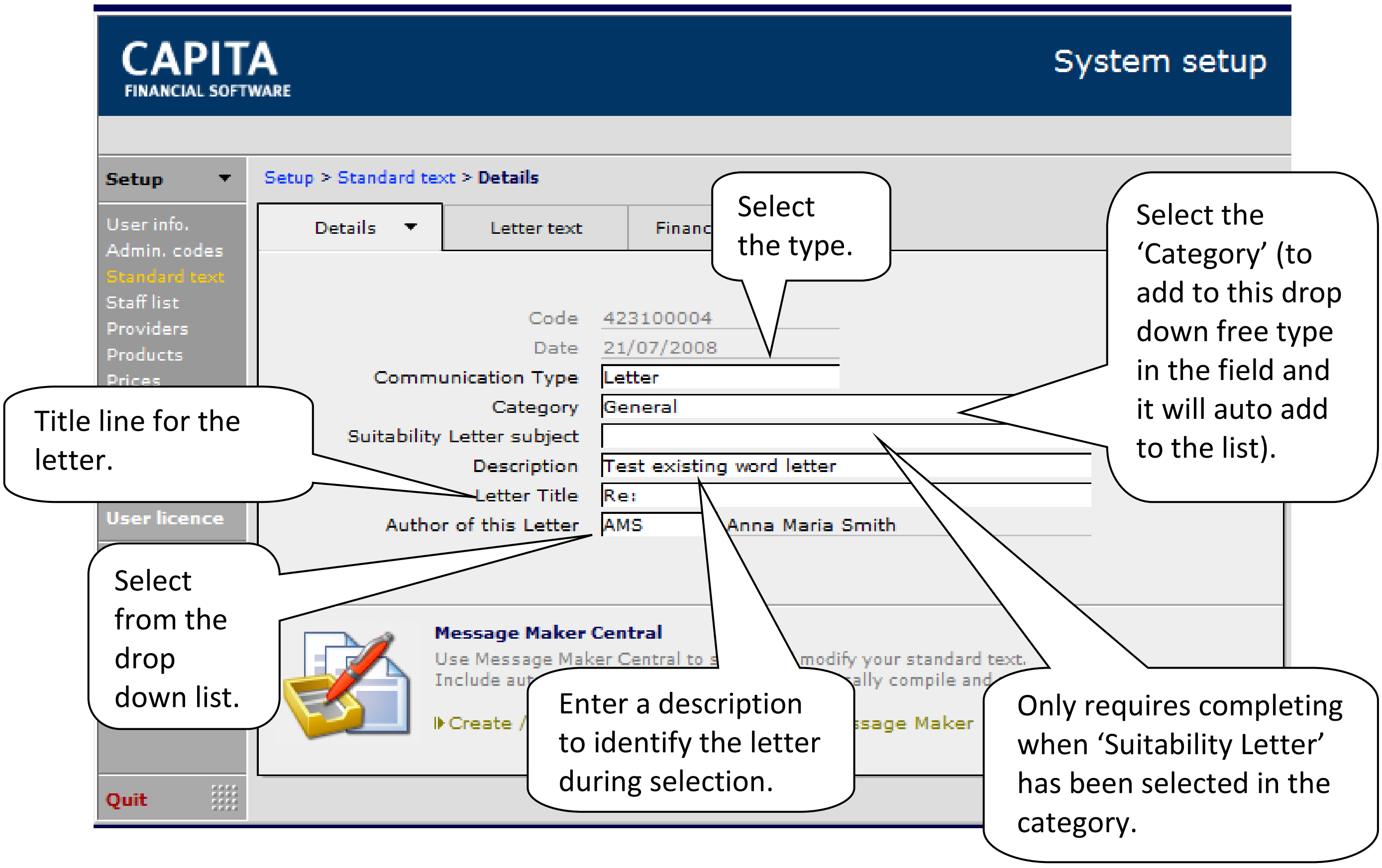
1. Copy and paste existing Word letters.
2. Type new standard letters
3. Use the Message Maker function to create letters that include merge fields from information added to the clients, holdings or providers files.
4. Use existing Word letters and via the message maker function add the merge fields.

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.

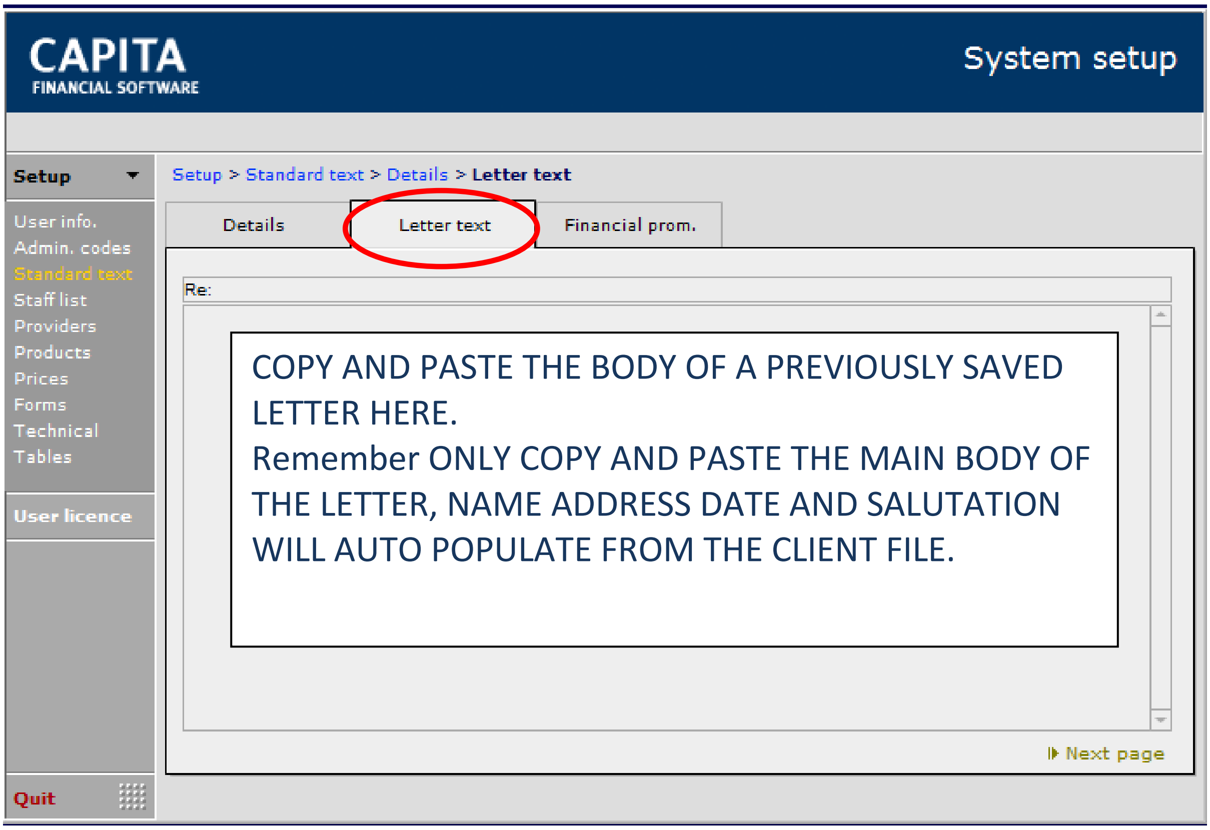
2.1. Copy and Paste existing Word letters

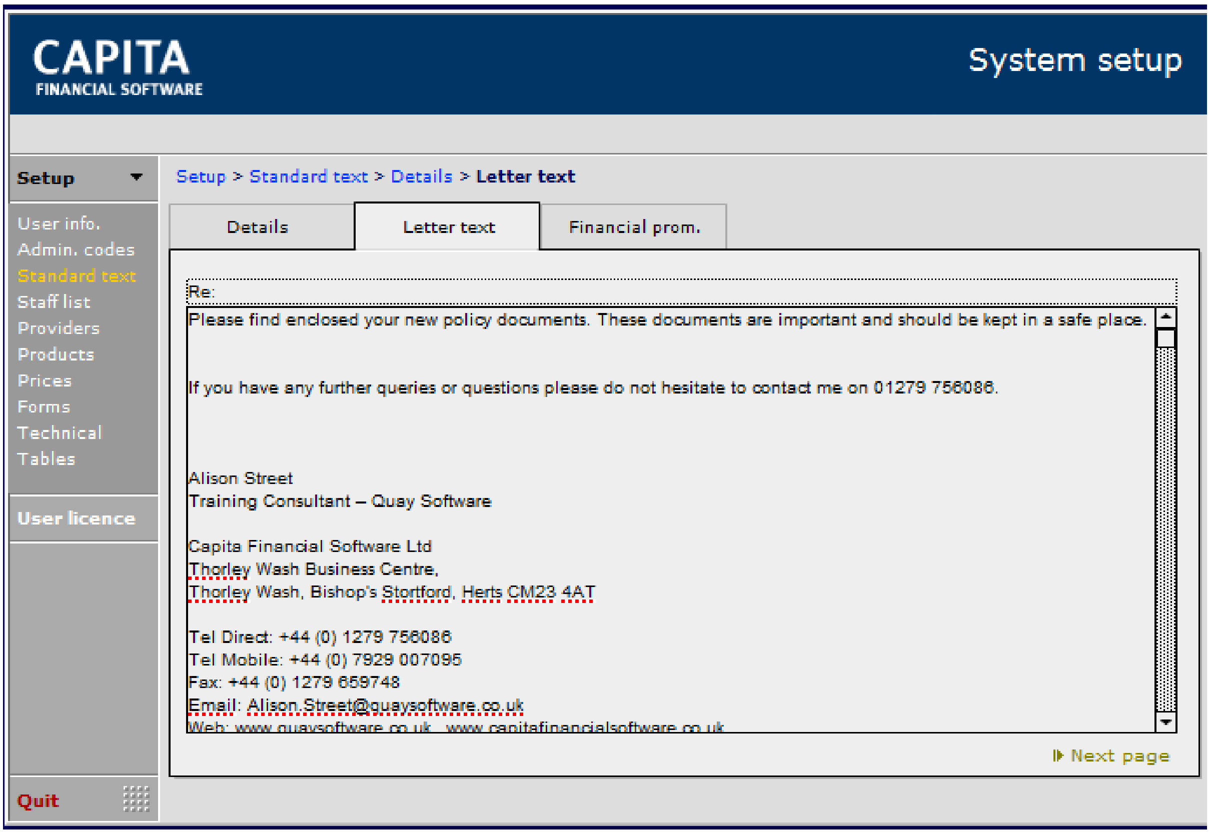
If you already have letters saved on your system there is no need to retype the body of the letter this can be copy and pasted into the standard letter section of CCD.



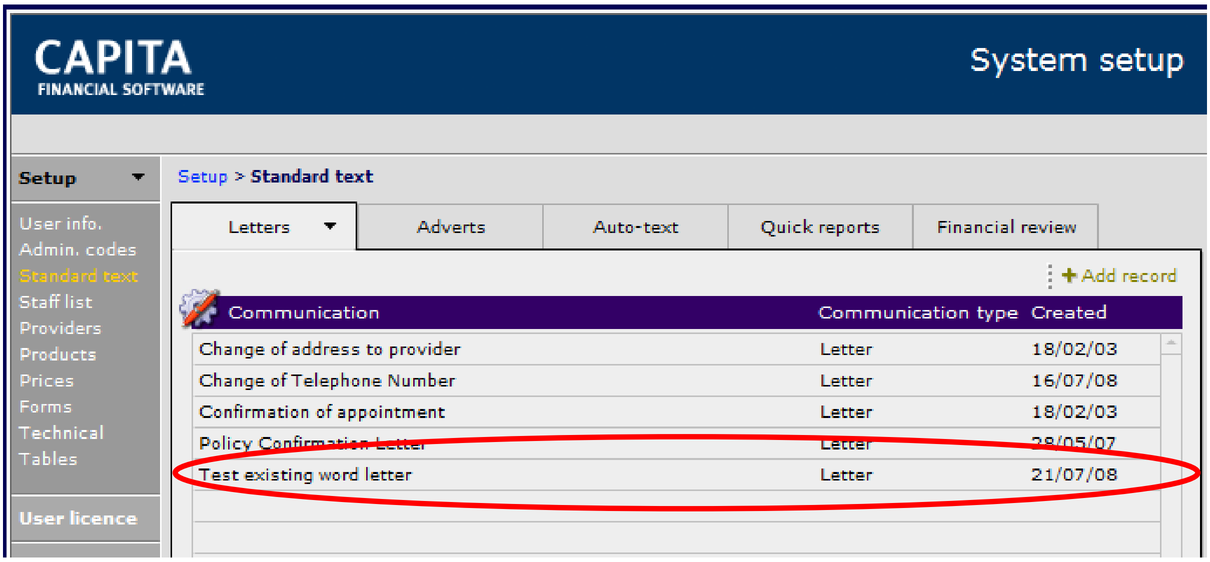


Once all the details have been added go to the letter text tab.


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

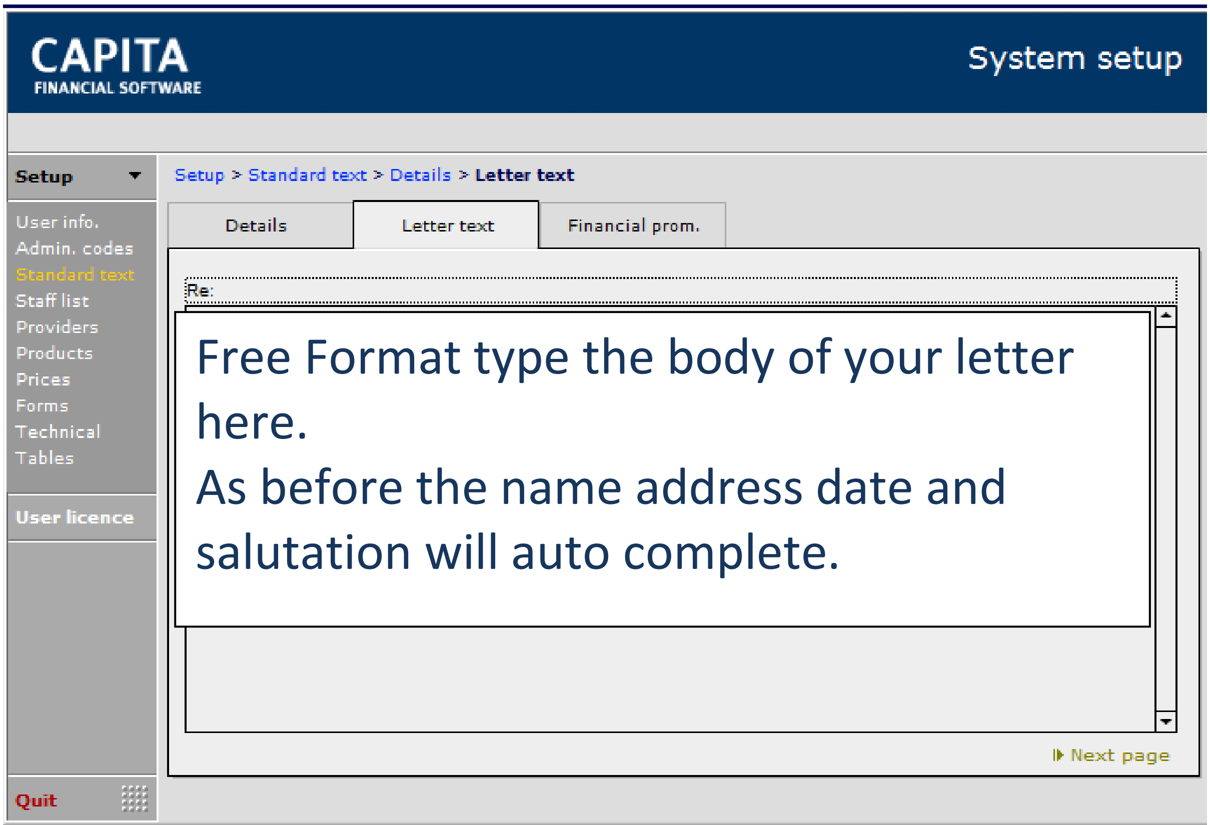

CAPITA
FINANCIAL SOFTWARE
System setup
Setup
User info.
Admin. codes
Standard text
Staff list
Providers
Products
Prices
Forms
Technical
Tables
User licence
Quit
Setup > Standard text > Details > Letter text
Details
Letter text
Financial prom.
Re:
Please find enclosed your new policy documents. These 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
Next page

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

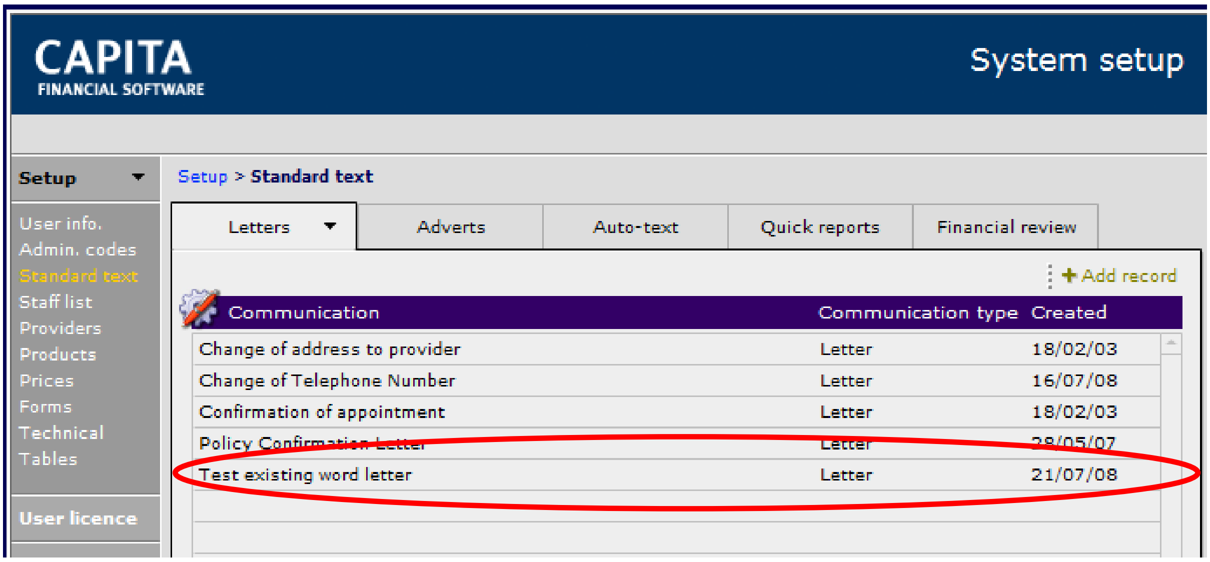


2.2. Type in a new standard letter

and complete the letter identification fields as above.

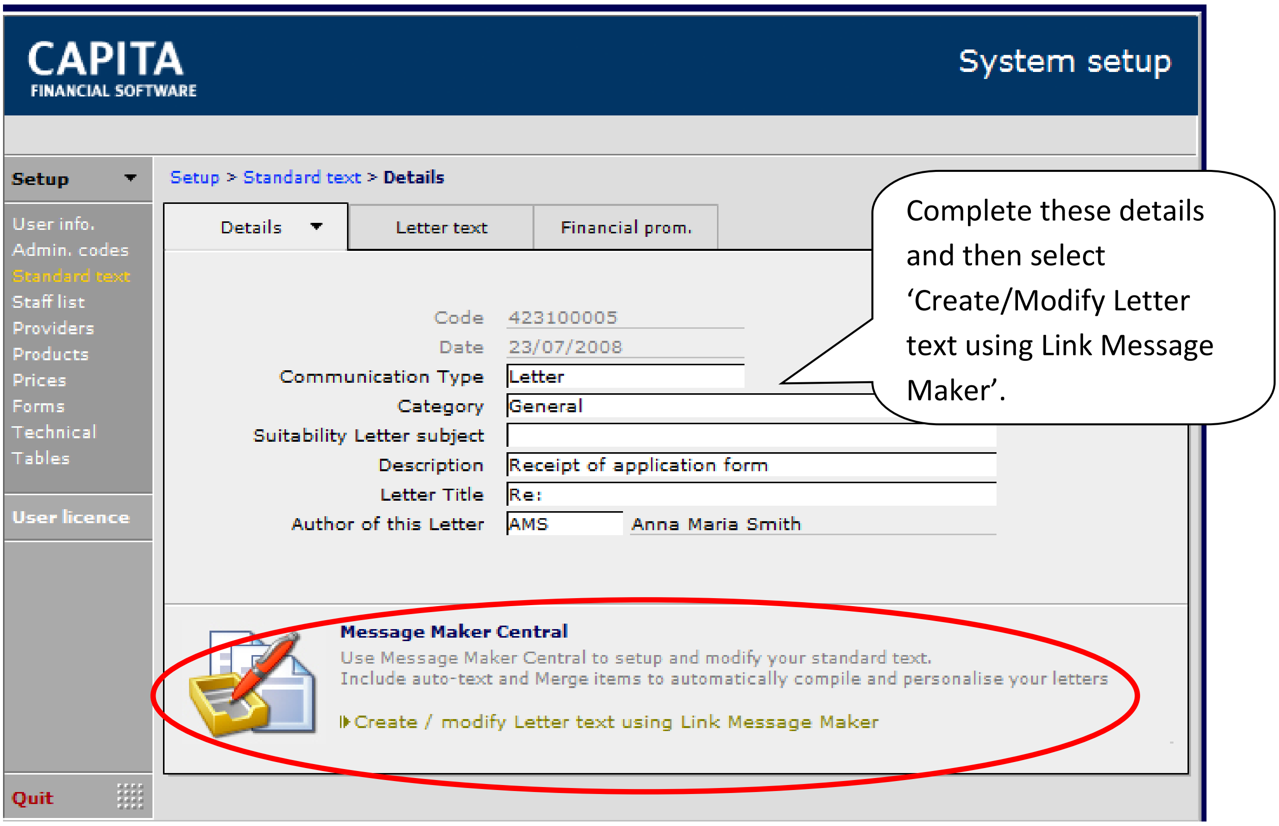


The letter is now available for selection in the clients/holdings module.

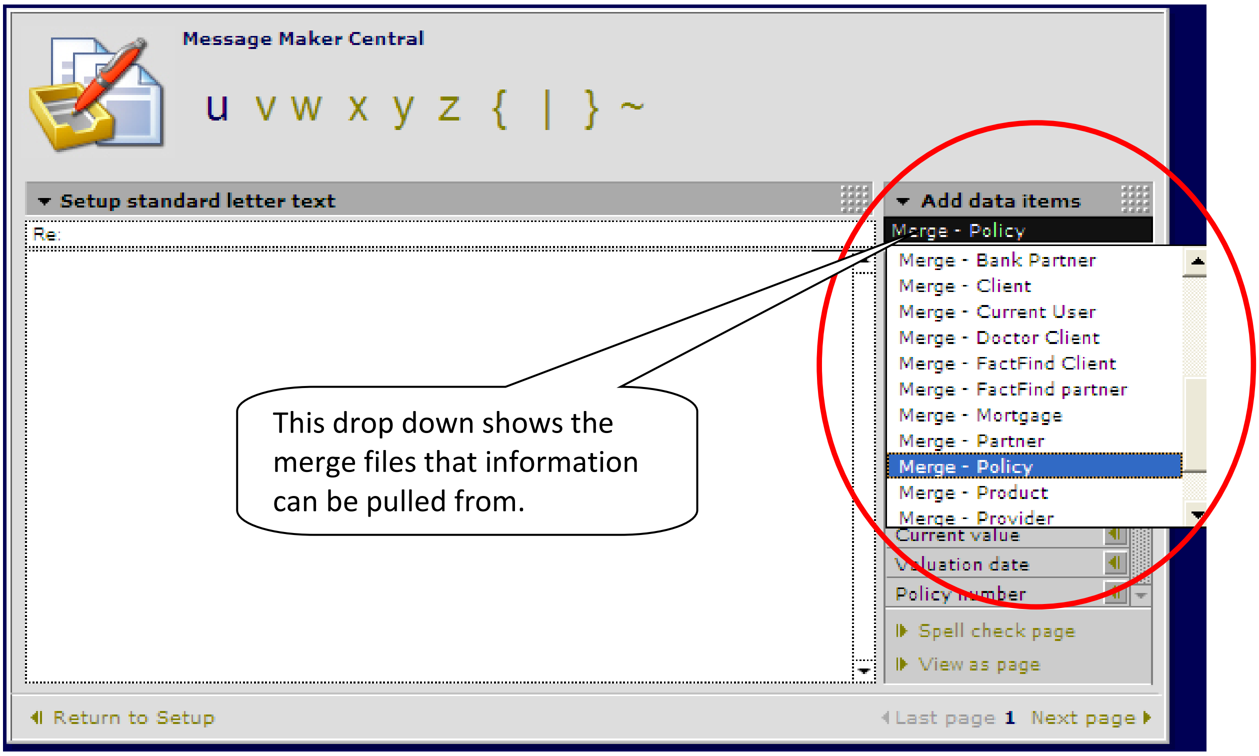


2.3 Using Message Maker to set up Standard Letters

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

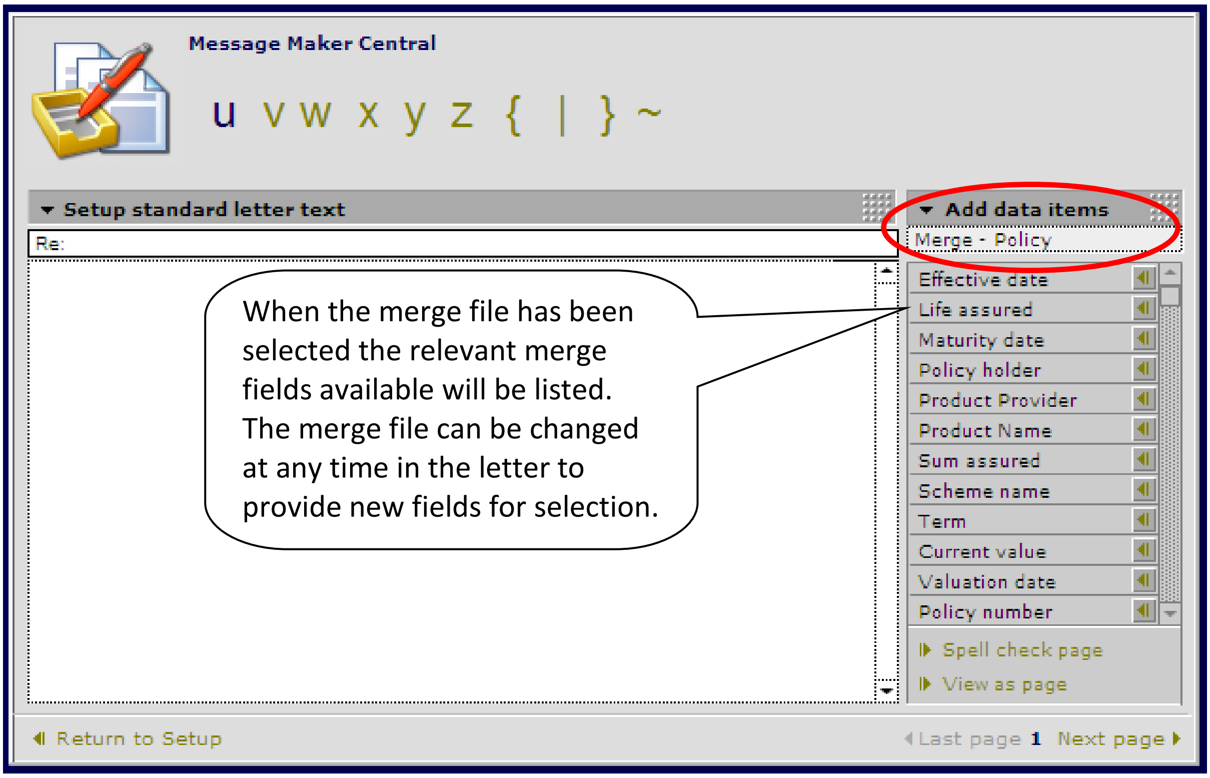


This will take you to the message maker screens.



CAPITA
FINANCIAL SOFTWARE

quaysoftware



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.

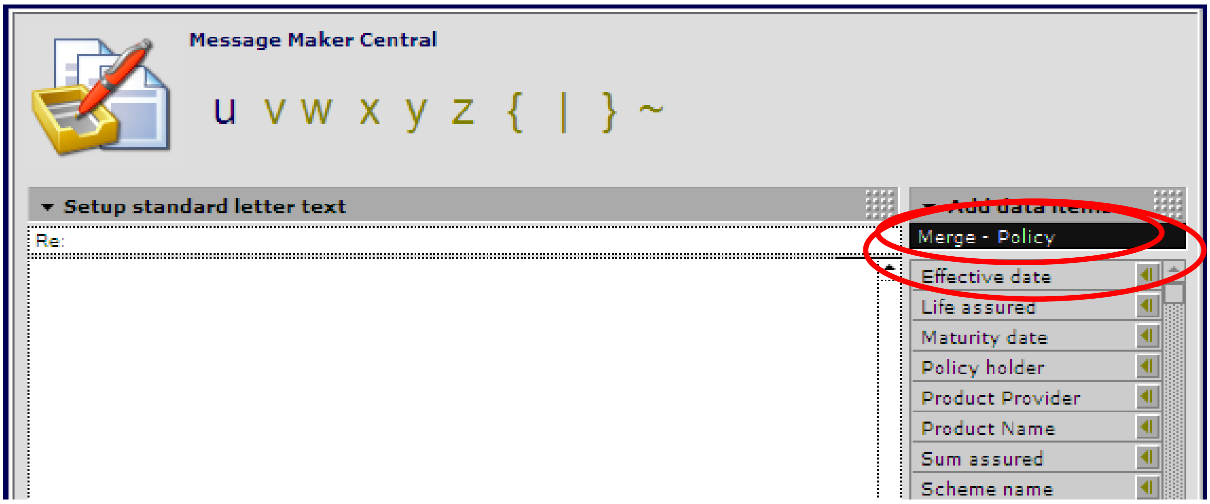
I have forwarded this to “*provider”* and will update you with the progress of this application.

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

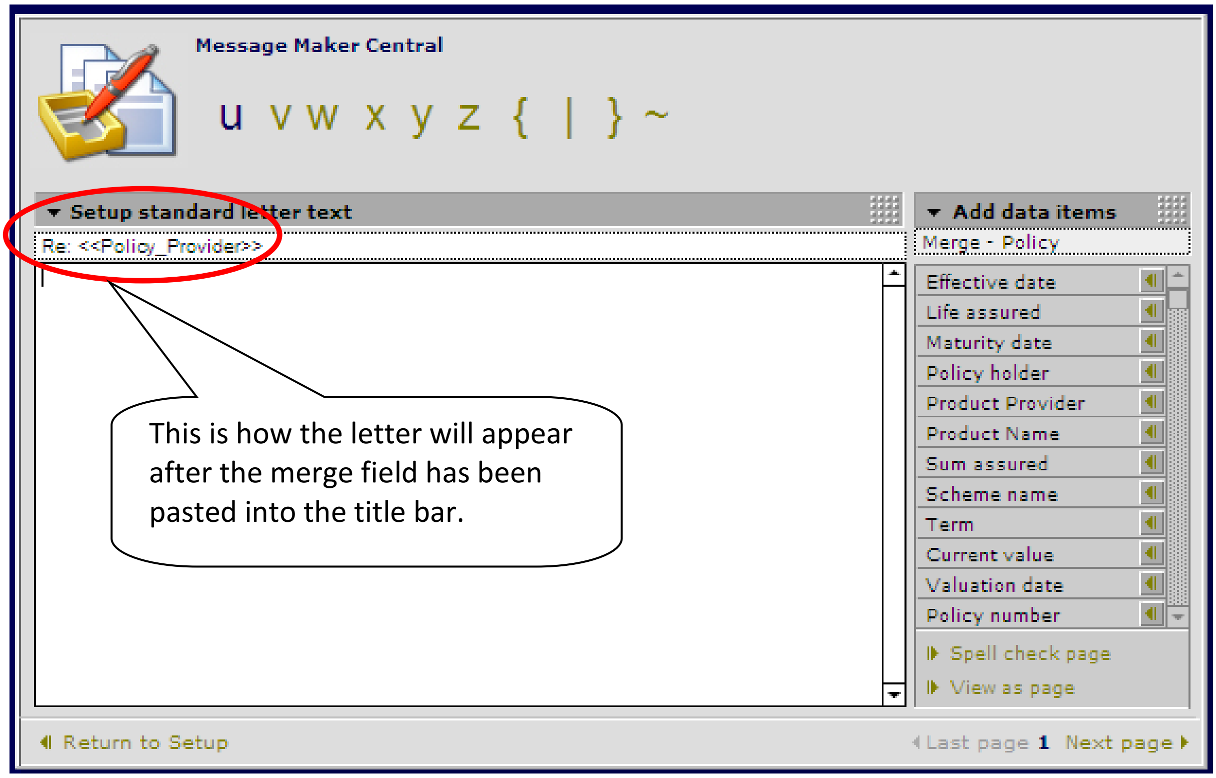
Yours sincerely

Adviser name.

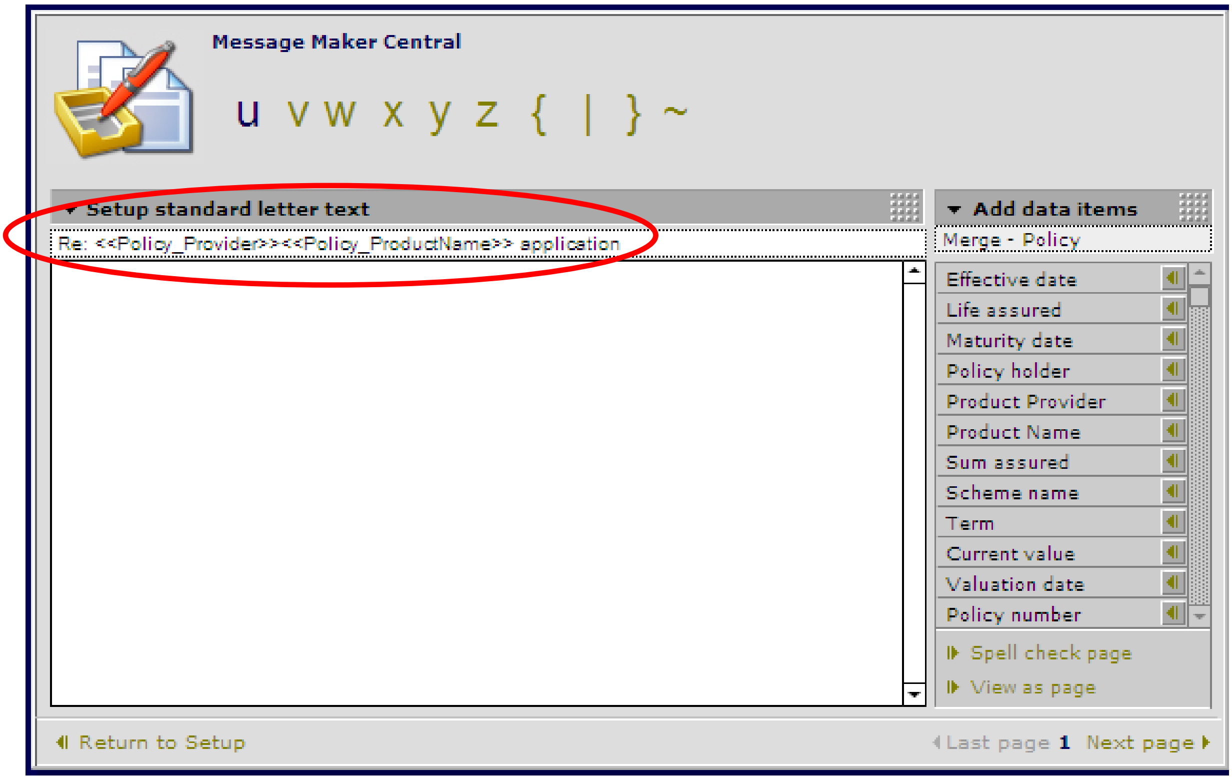
The first part of the letter is the title line, look at the information that you want to pull from the main CCD system and look down the list of merge files available to decide where this information will be stored. We want the provider name and product type. This information will be held in "policy"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

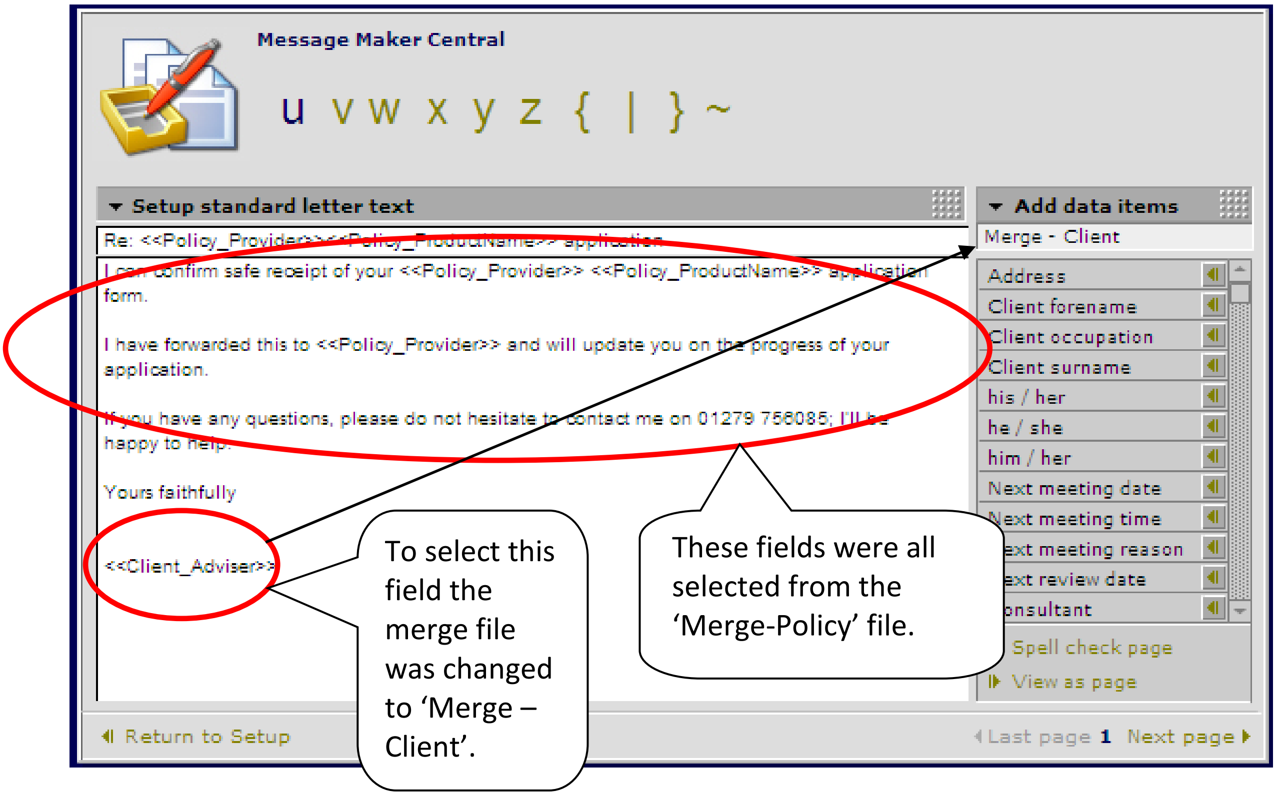


We now require the product name so repeat this process and then manually type 'application' after the 2nd merge field has been added.



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 curser currently is, and you can continue to type.



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

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

2.4 Copying in and then updating using Message Maker

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

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

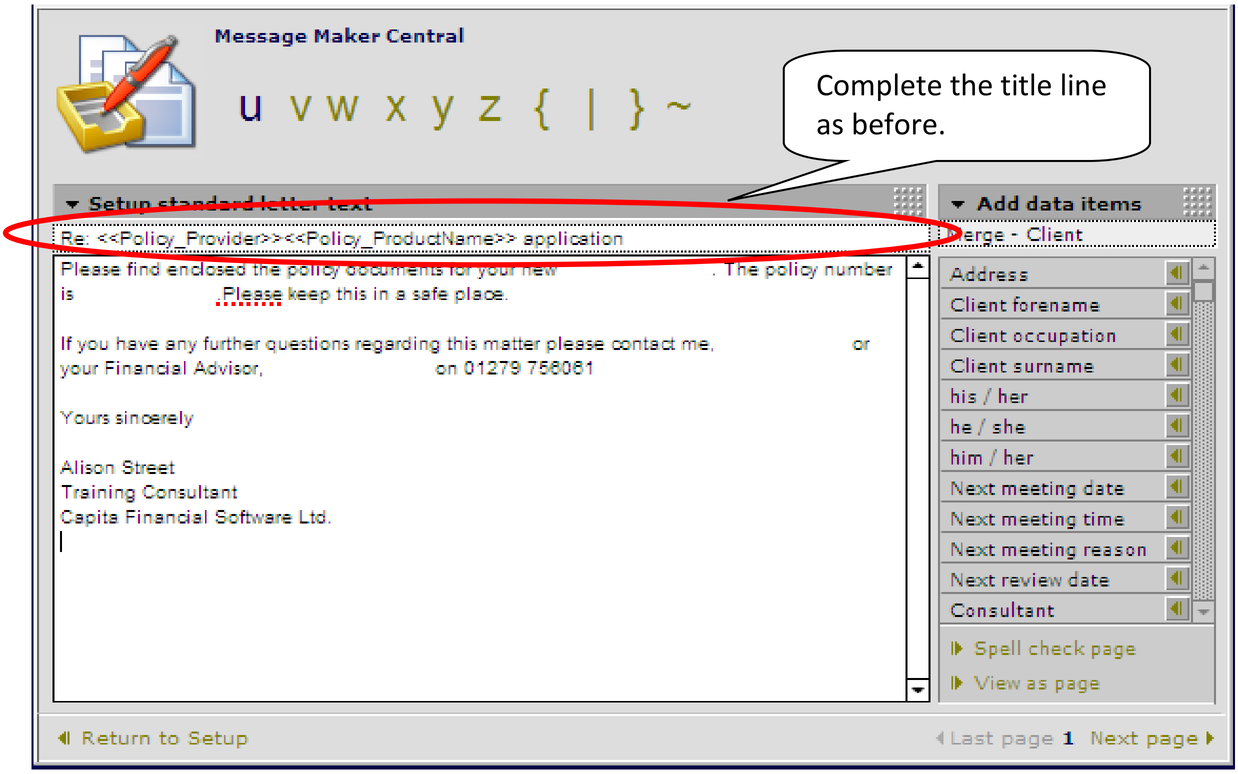
Dear

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

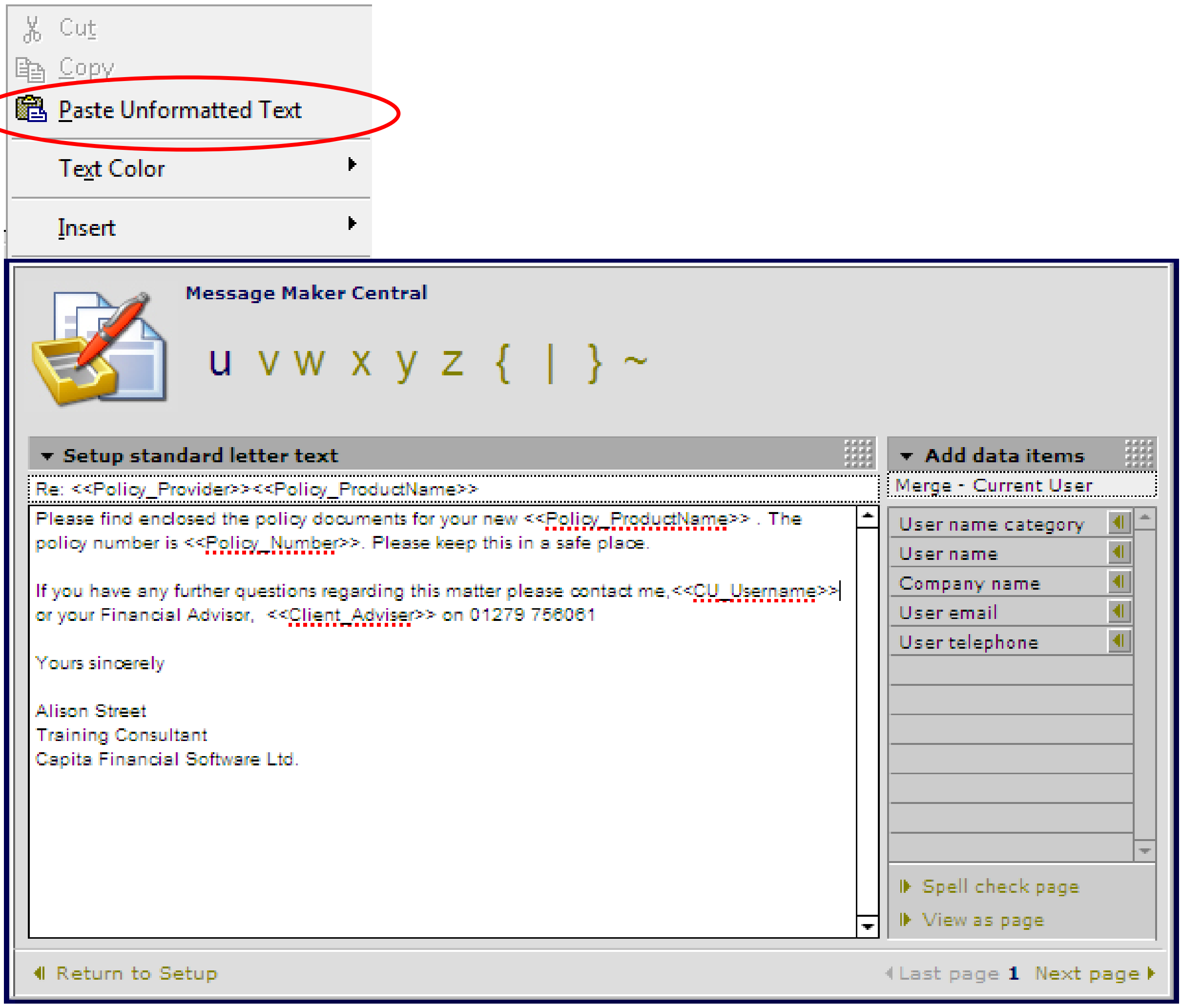
If you have any further questions regarding this matter please contact me, or your Financial Advisor, on 01279 756061

Yours sincerely

Alison Street
Training Consultant
Quay Software Ltd.



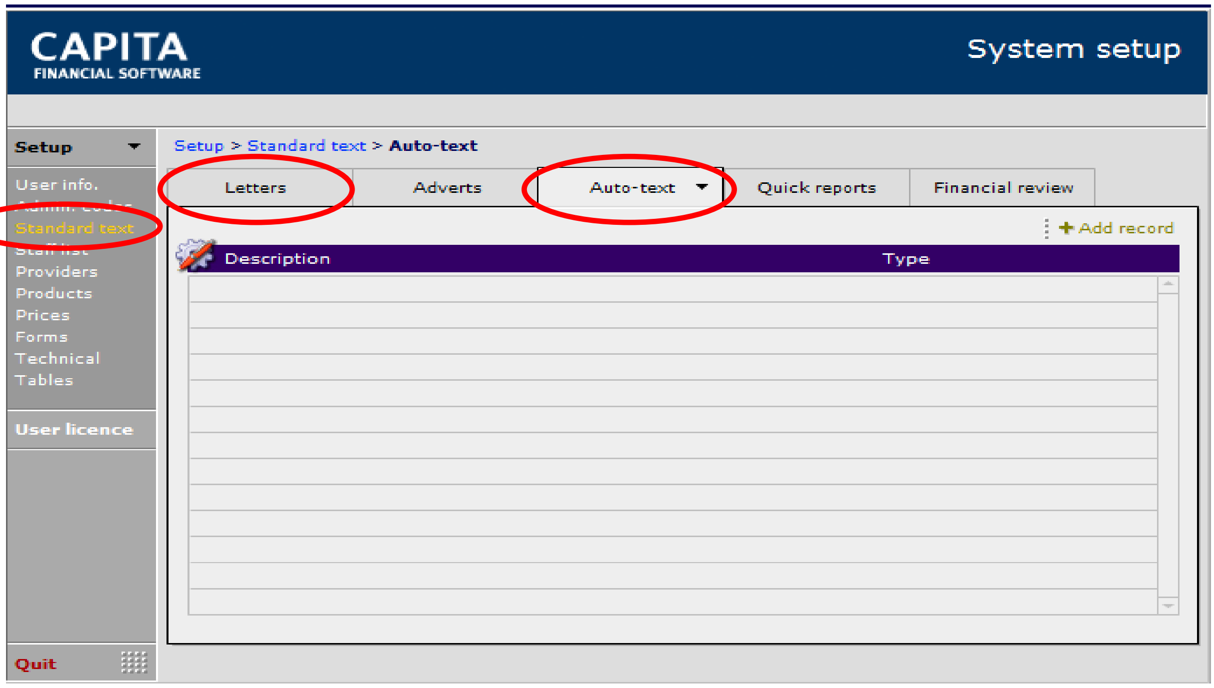
To insert the merge fields into the blank spaces in the body of the letter use the same method as when a field is inserted into the title line. Select the field you wish to merge, click onto the gold arrow, and place the curser where you want the field to be inserted right click and Paste Unformatted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

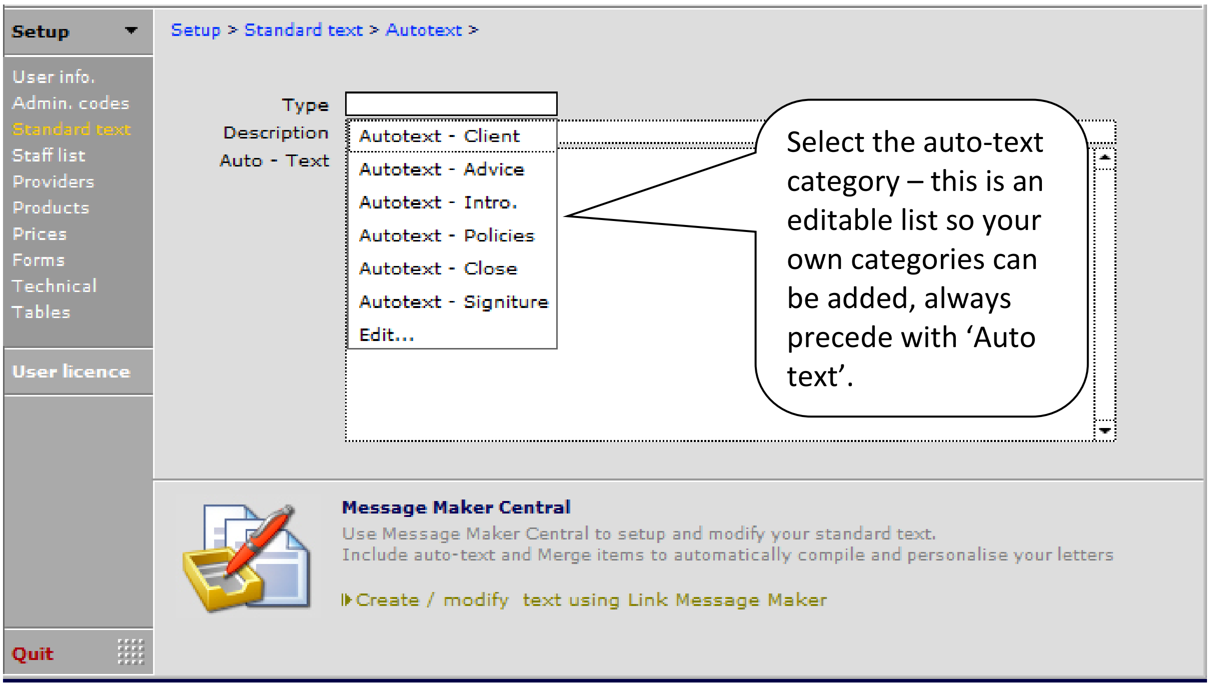

Cut
Copy
Paste Unformatted Text
Text Color
Insert
Message Maker Central
u v w x y z { | } ~
Setup standard letter text
Re: <<Policy_Provider>><<Policy_ProductName>>
Please find enclosed the policy documents for your new <<Policy_ProductName>> . The policy number is <<Policy_Number>>. Please keep this in a safe place.
If you have any further questions regarding this matter please contact me,<<CU_Username>> or your Financial Advisor, <<Client_Adviser>> on 01279 756061
Yours sincerely
Alison Street
Training Consultant
Capita Financial Software Ltd.
Add data items
Merge - Current User
User name category
User name
Company name
User email
User telephone
Spell check page
View as page
Return to Setup
Last page 1 Next page

3. AUTO-TEXT

An ‘Auto-text’ is a line or paragraph of text, which is used 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.

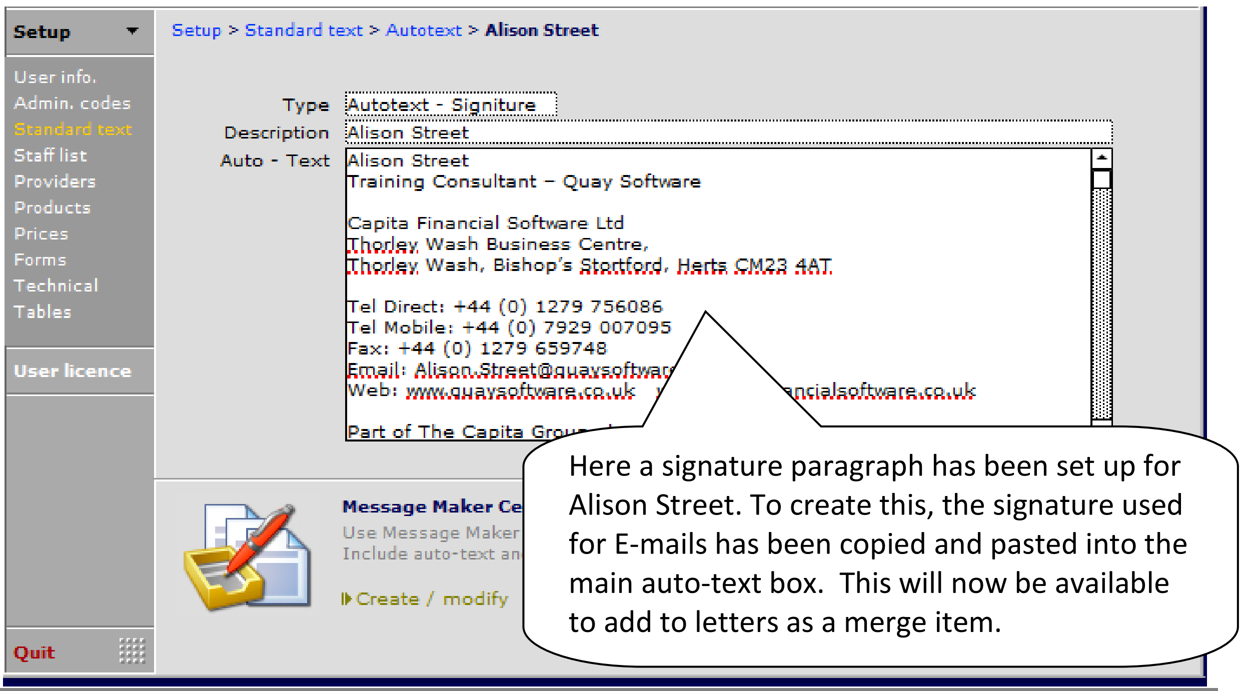
To add an ‘Auto-text’ got to ‘Setup’ – ‘Standard text’ – ‘Auto-text’.



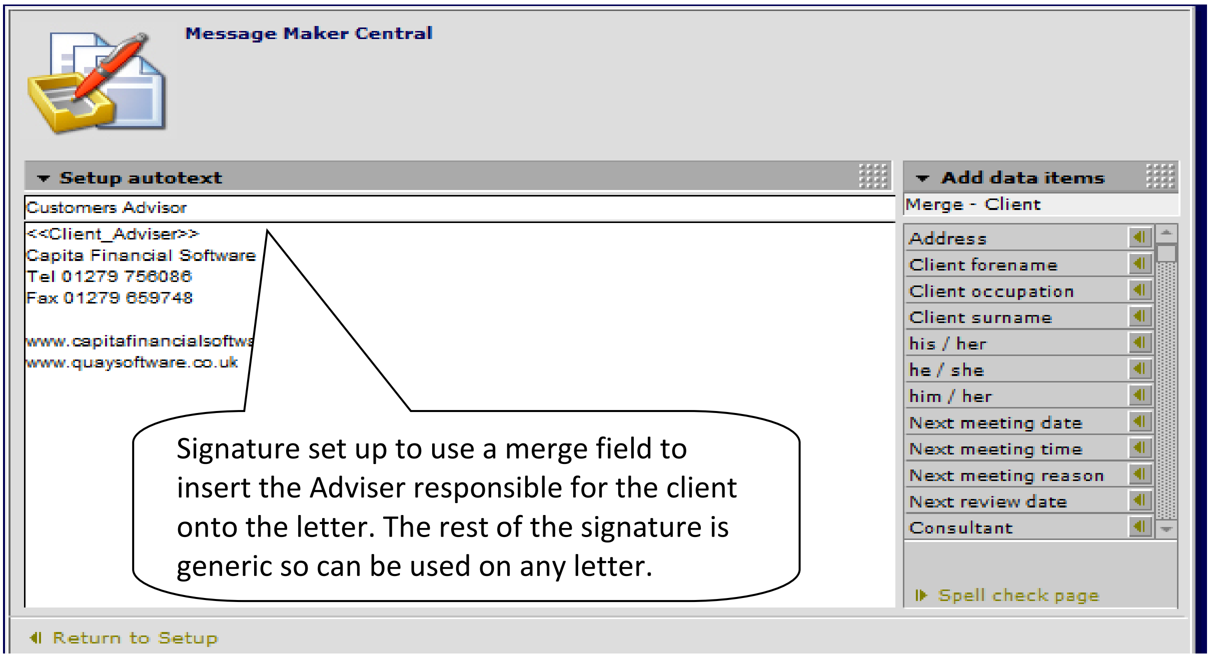


As with letters there are 2 methods of creating auto-text, copy and paste or free type into the main Auto-text box or use the Create / modify text using Link Message Maker link to add merge fields to a standard paragraph or sentence.

3.1. Copy and paste or free format type

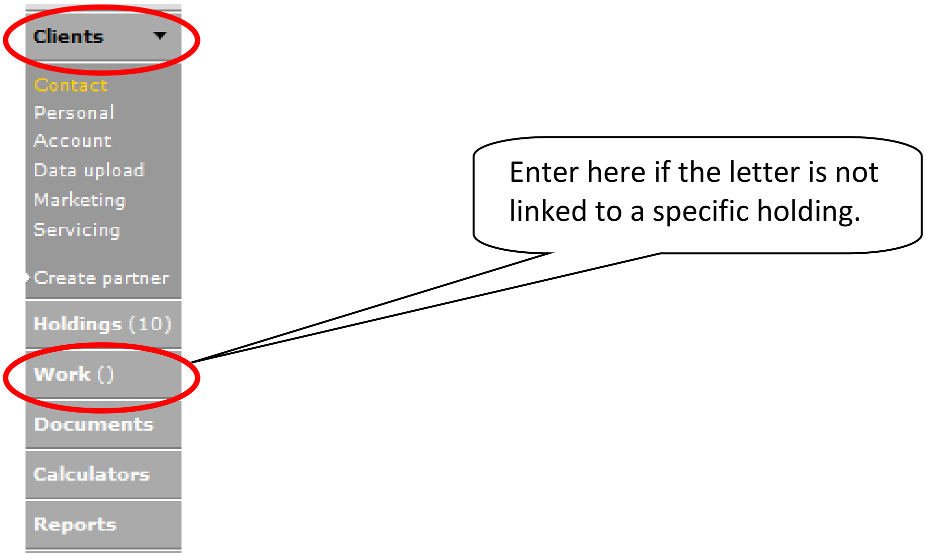


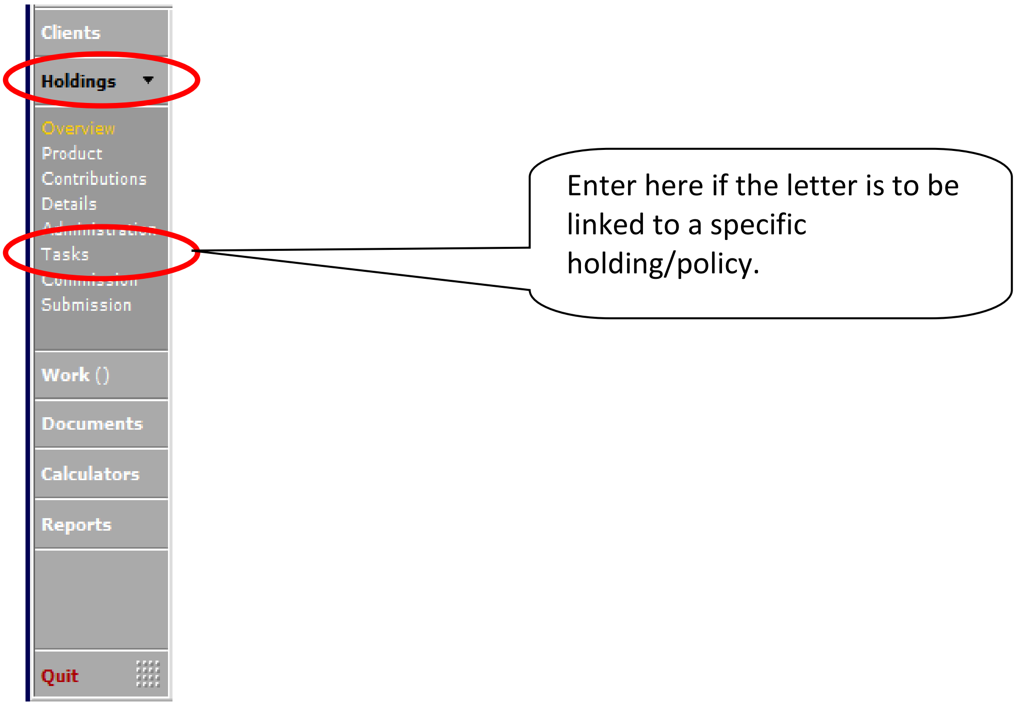
Create / modify text using Link Message Maker



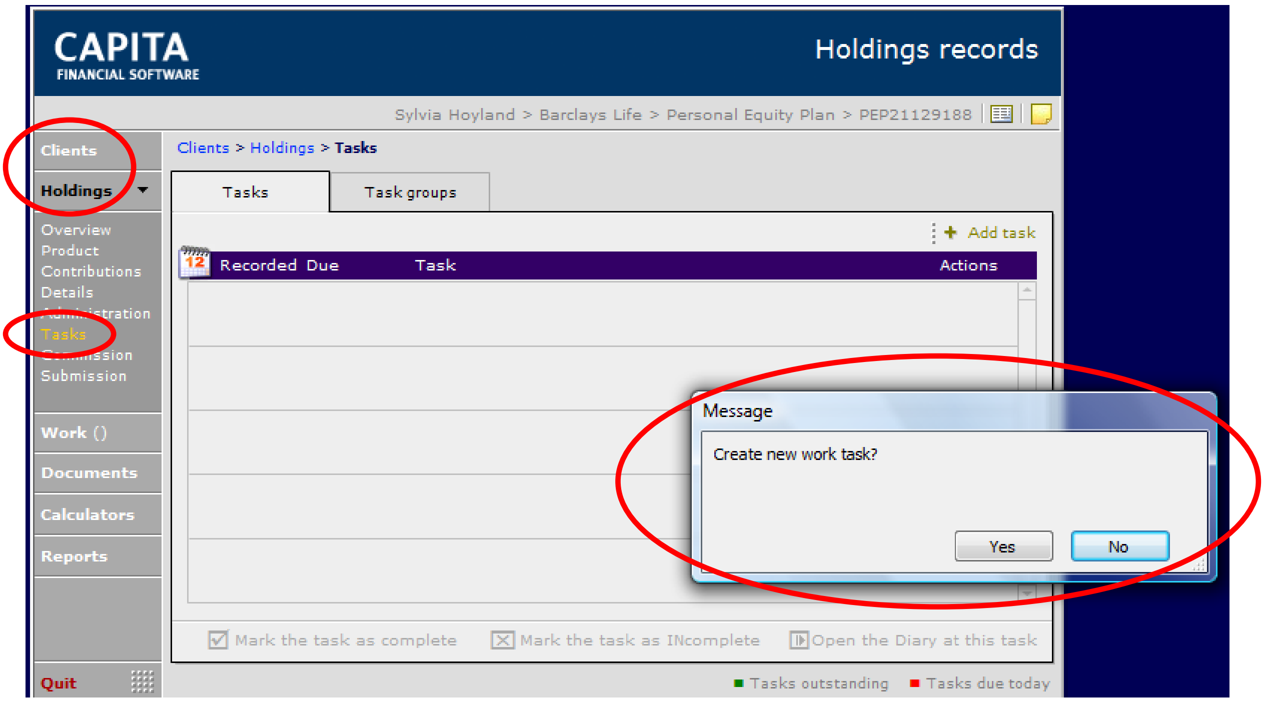
4. PRODUCING AND VIEWING YOUR LETTERS VIA WORK AND TASKS

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.

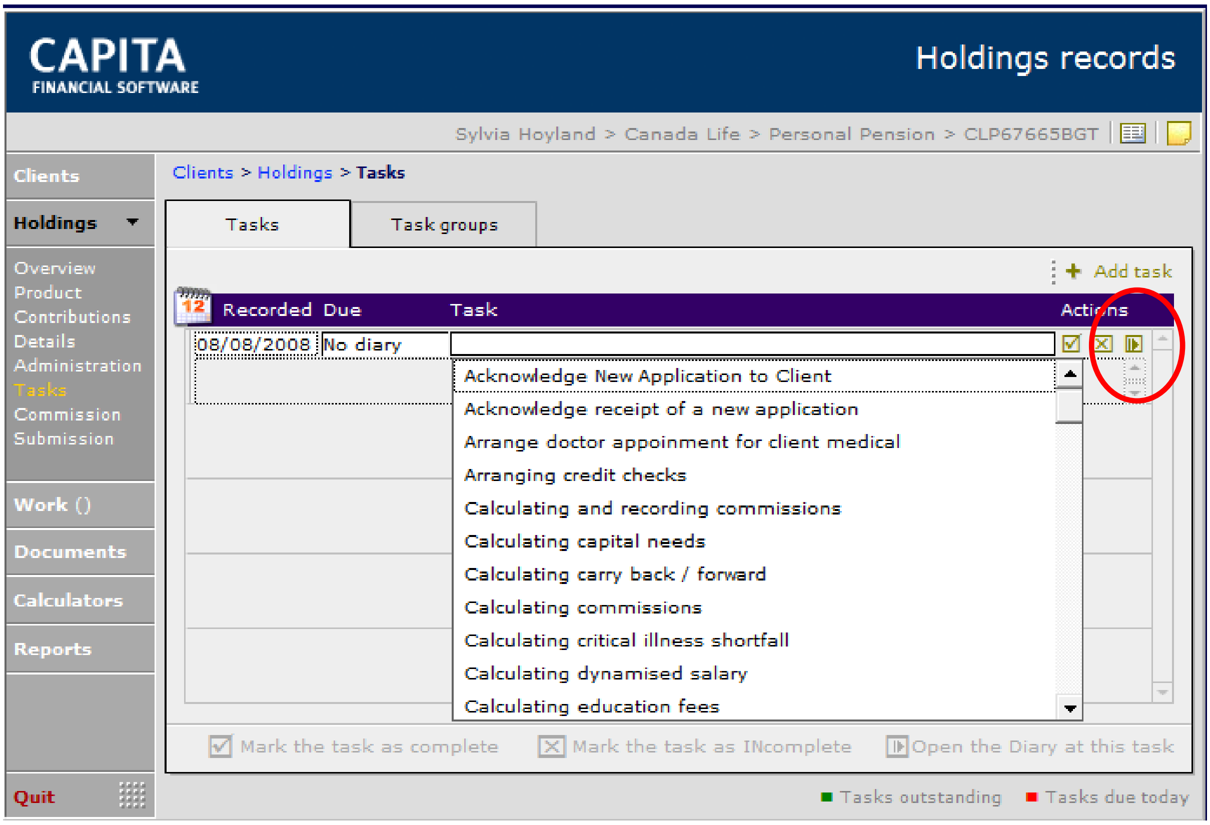




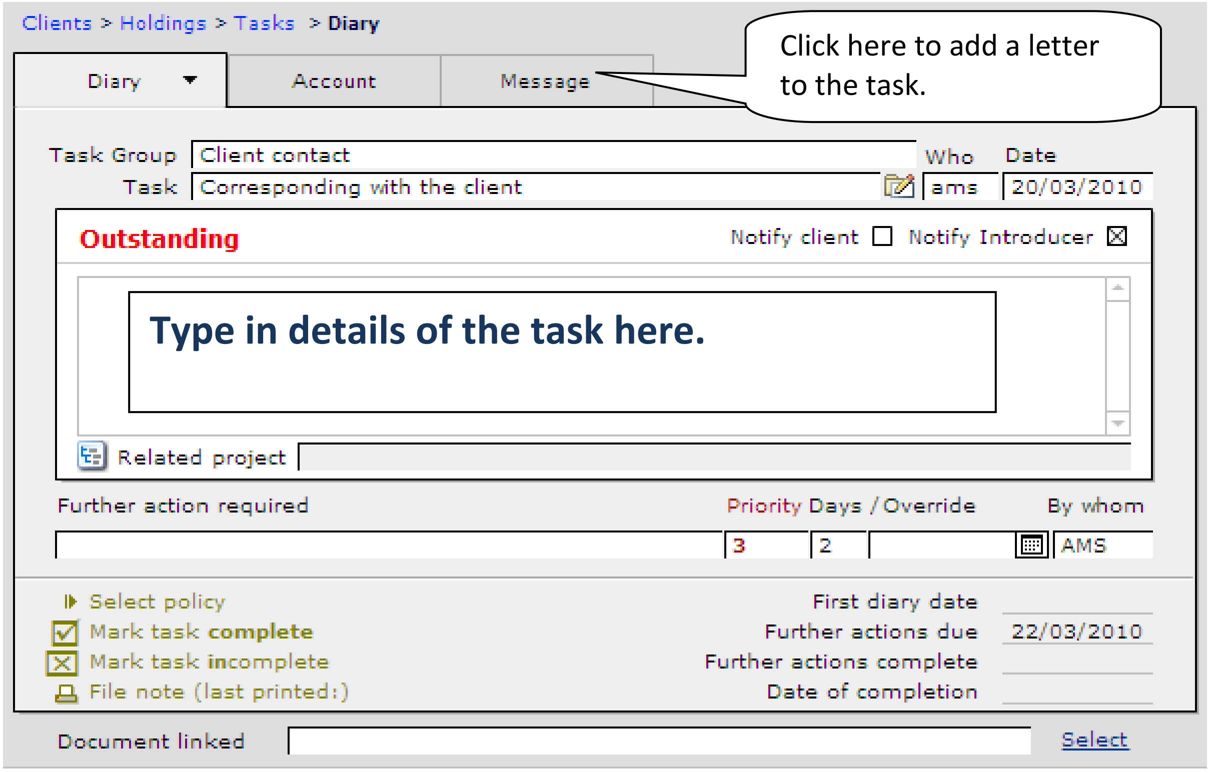
4.1. Entering a letter against a holding

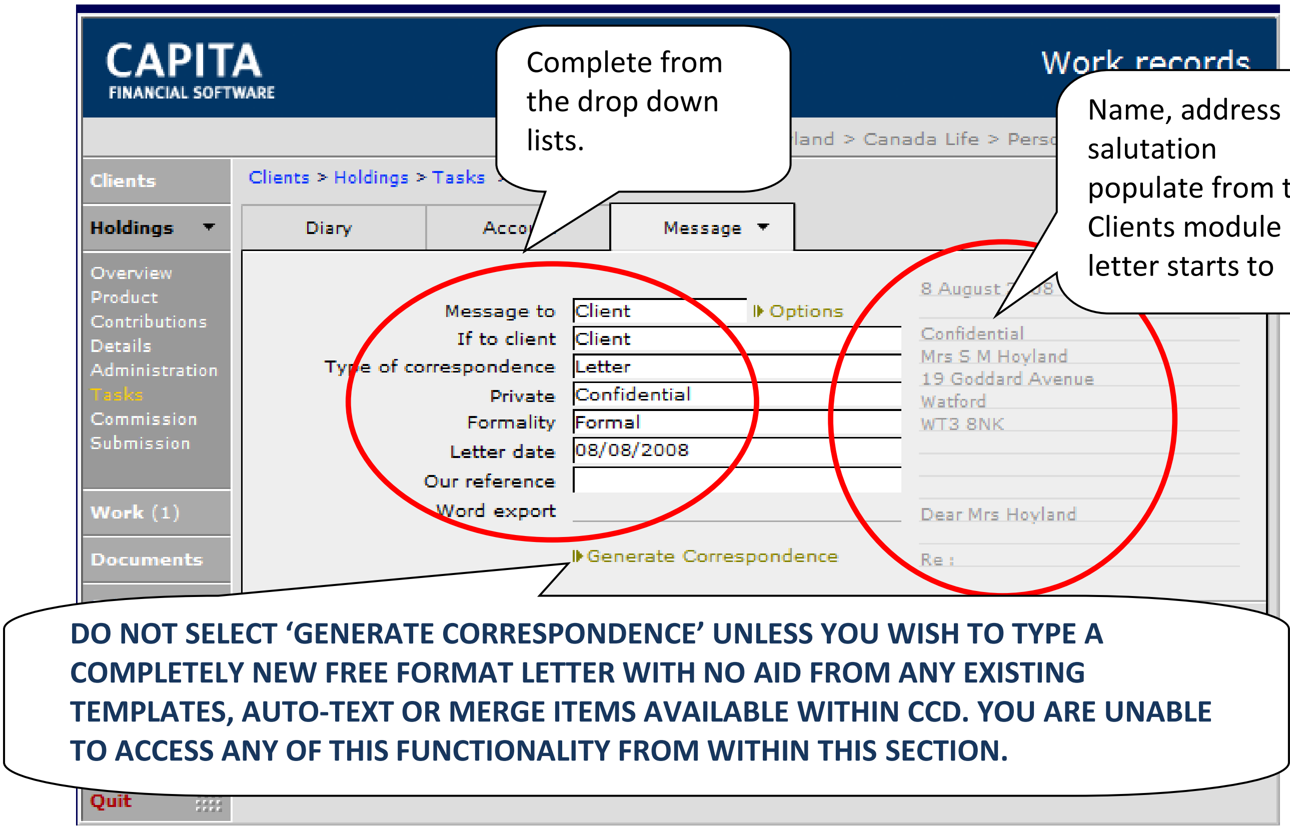


Select the task to be performed from the drop down list. Use the to enter the full details and to access the letter area.

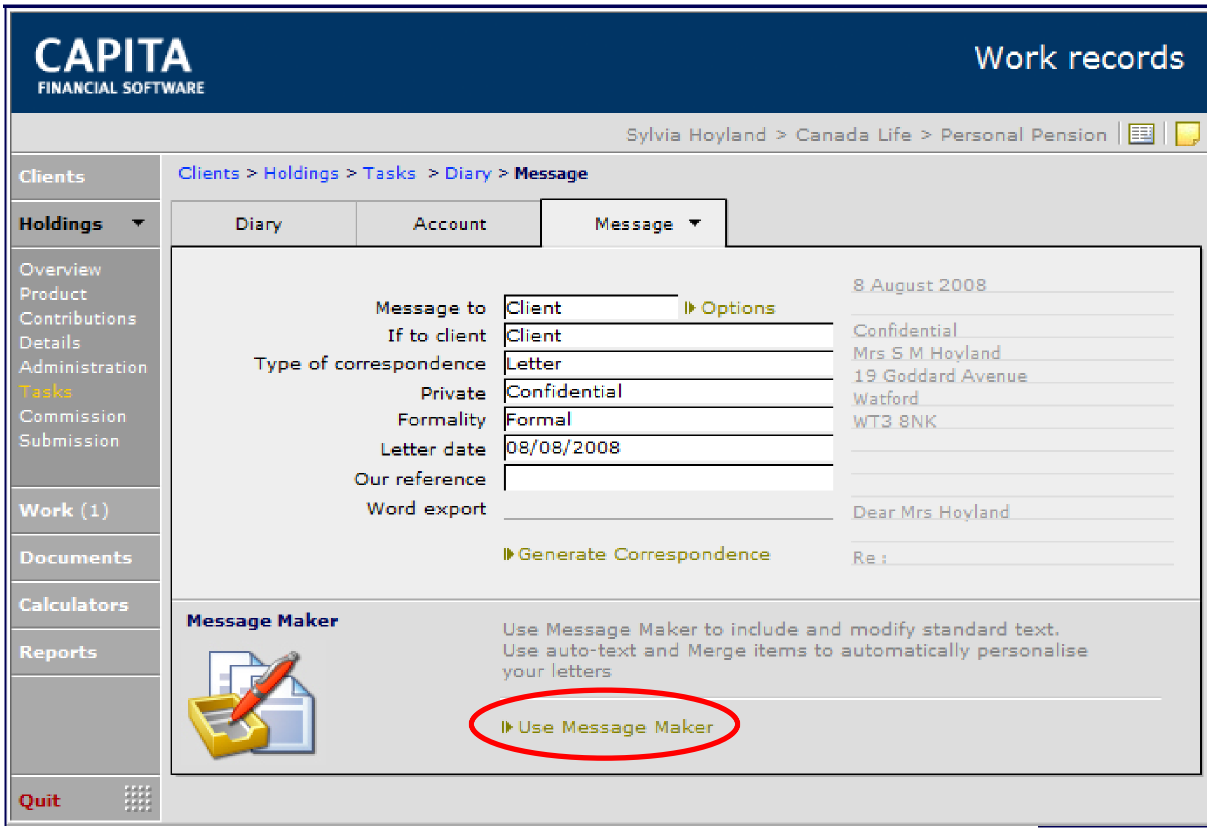


To produce any type of correspondence relating to this task enter the Message tab.

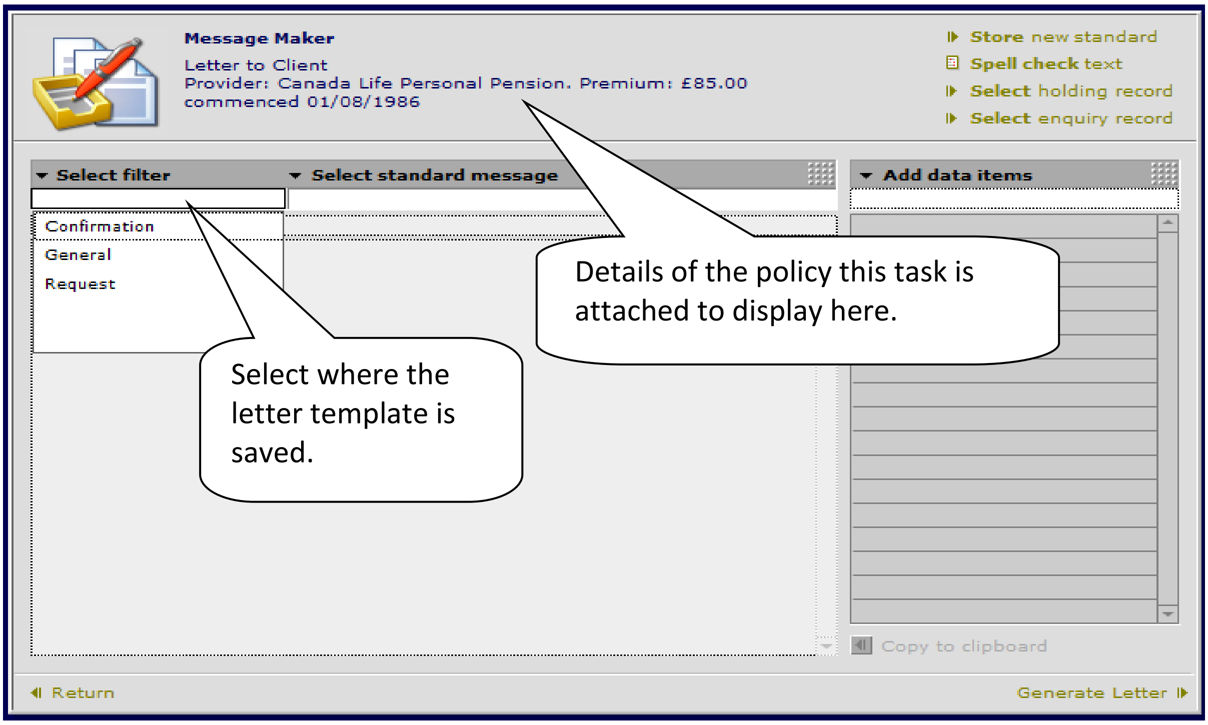

Clients > Holdings > Tasks > Diary
Diary
Account
Message
Click here to add a letter to the task.
Task Group
Client contact
Who
Date
Task
Corresponding with the client
ams
20/03/2010
Outstanding
Notify client
Notify Introducer
Type in details of the task here.
Related project
Further action required
Priority 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
Complete from the drop down lists.
Name, address and salutation populate from the Clients module and letter starts to
Clients
Holdings
Overview
Product
Contributions
Details
Administration
Tasks
Commission
Submission
Work (1)
Documents
Quit
Clients > Holdings > Tasks
Diary
Message
Message to
Client
Options
If to client
Client
Type of correspondence
Letter
Private
Confidential
Formality
Formal
Letter date
08/08/2008
Our reference
Word export
Generate Correspondence
Confidential
Mrs S M Hoyland
19 Goddard Avenue
Watford
WT3 8NK
Dear Mrs Hoyland
Re :
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.

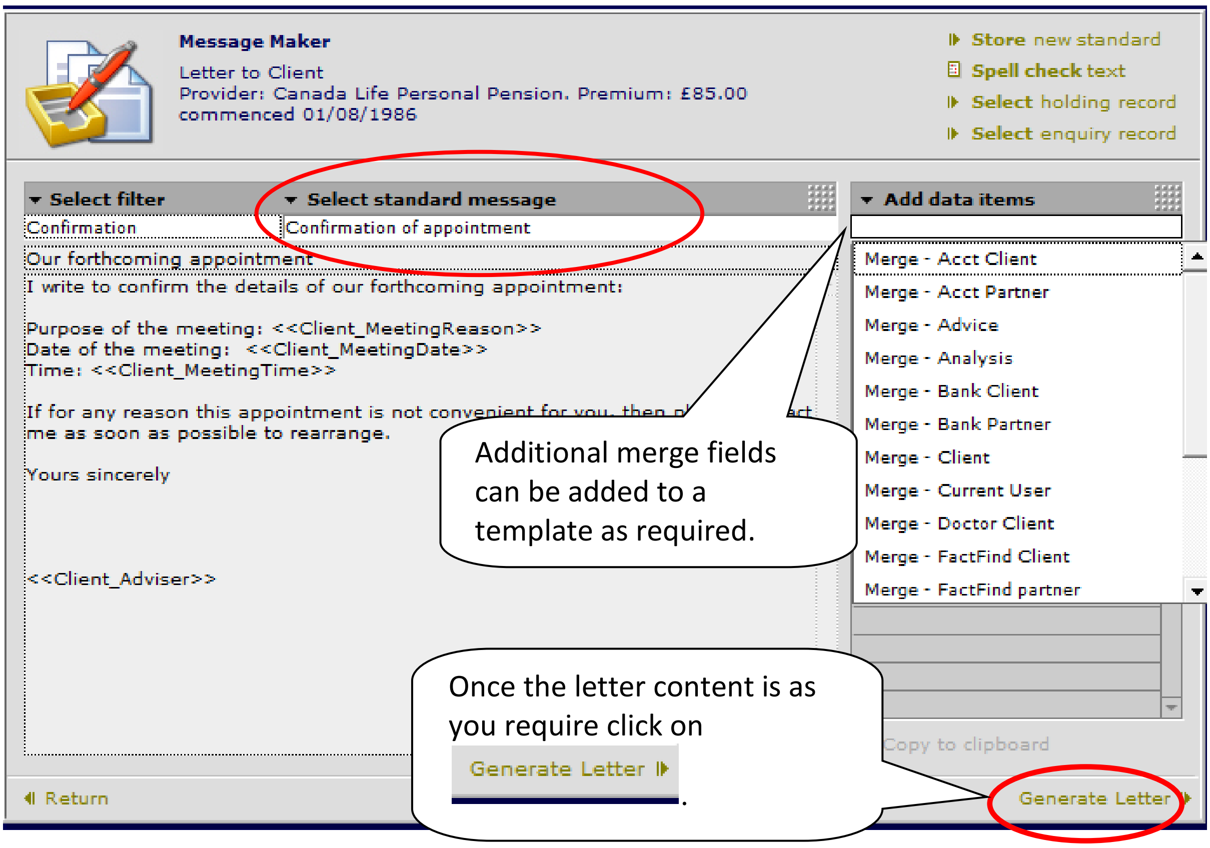
By going into ▶ Use Message Maker at the bottom of the screen you can access your letter templates (from Setup), merge items and Auto-texts, or type a new letter.



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



Now select the letter that you want to use.

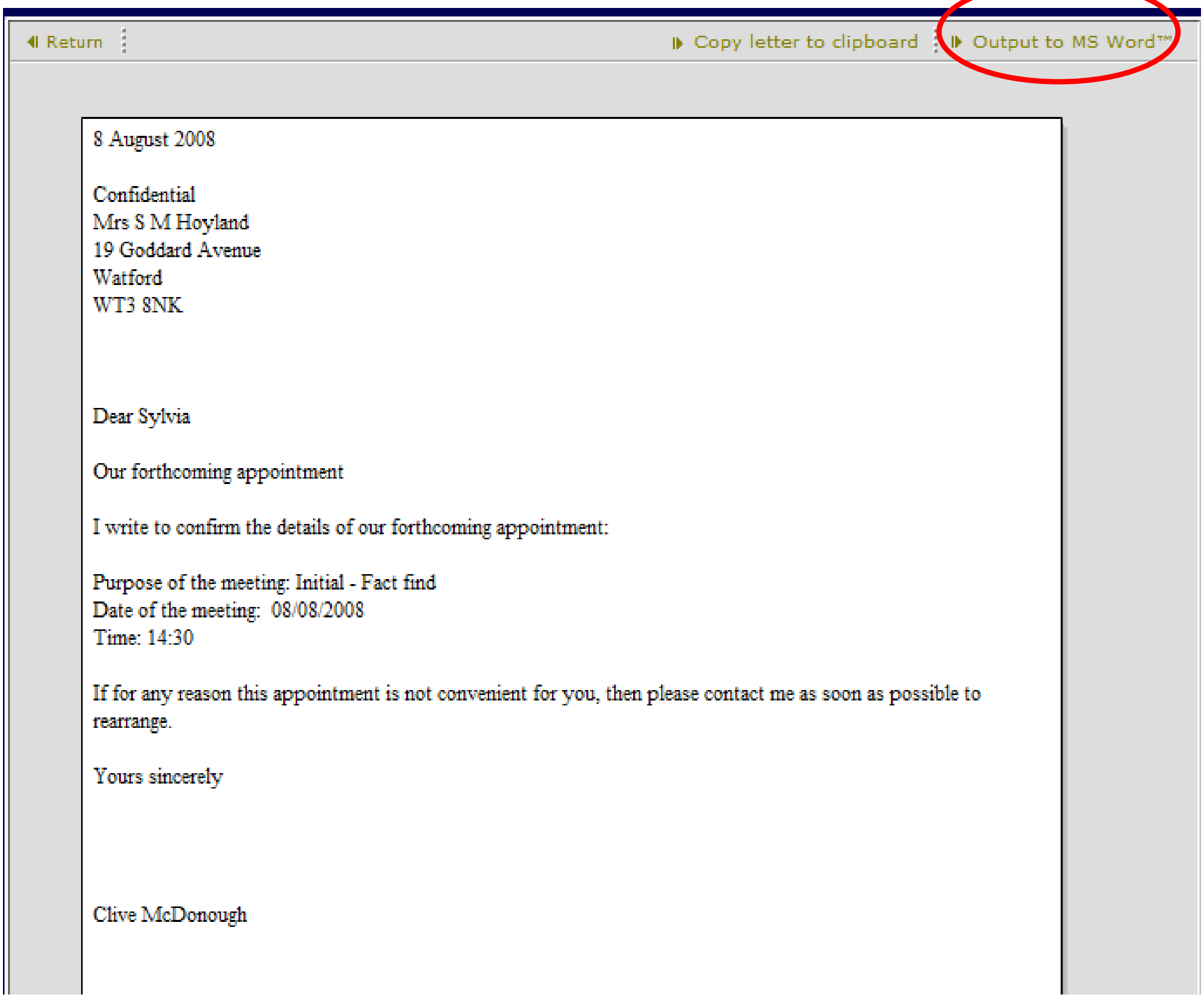


Your letter now starts to take form and any merge items you have included within your letter will be inserted by CCD.

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

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

This is done by clicking on 



8 August 2008

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

Dear Sylvia

Our forthcoming appointment

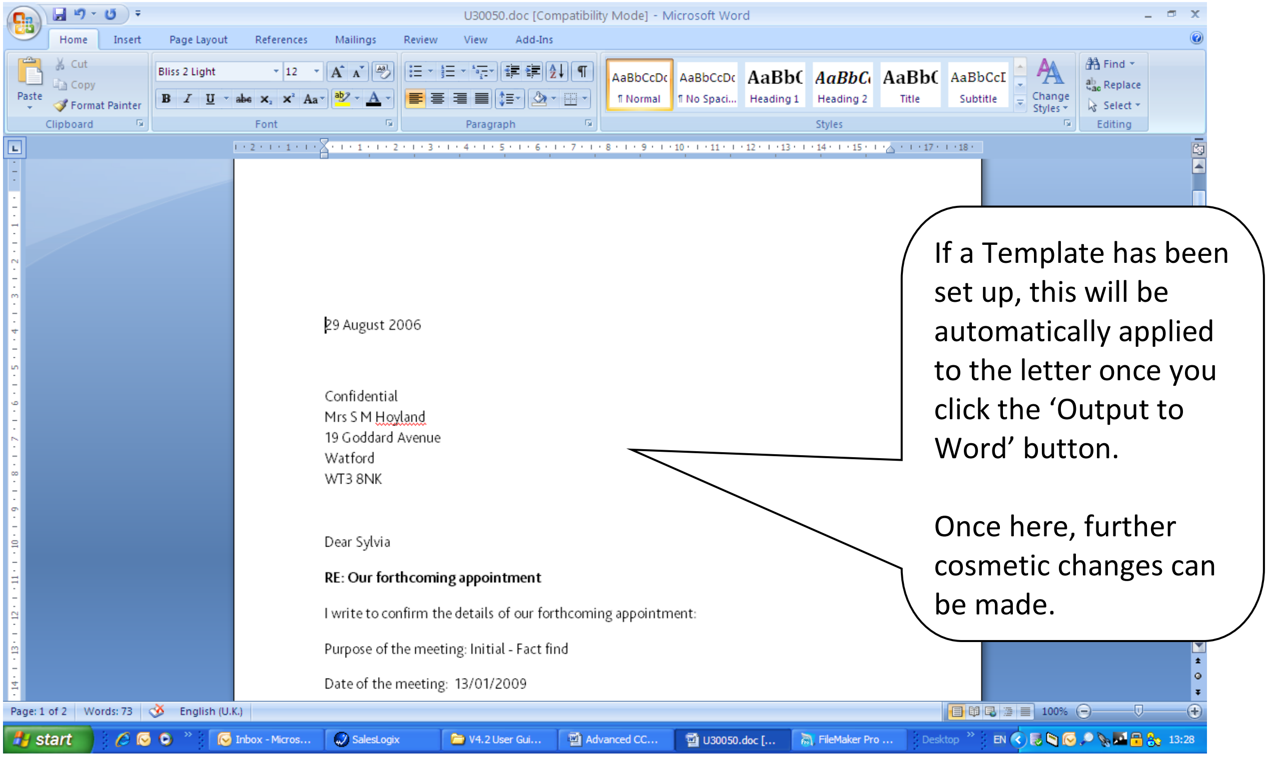
I write to confirm the details of our forthcoming appointment:

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

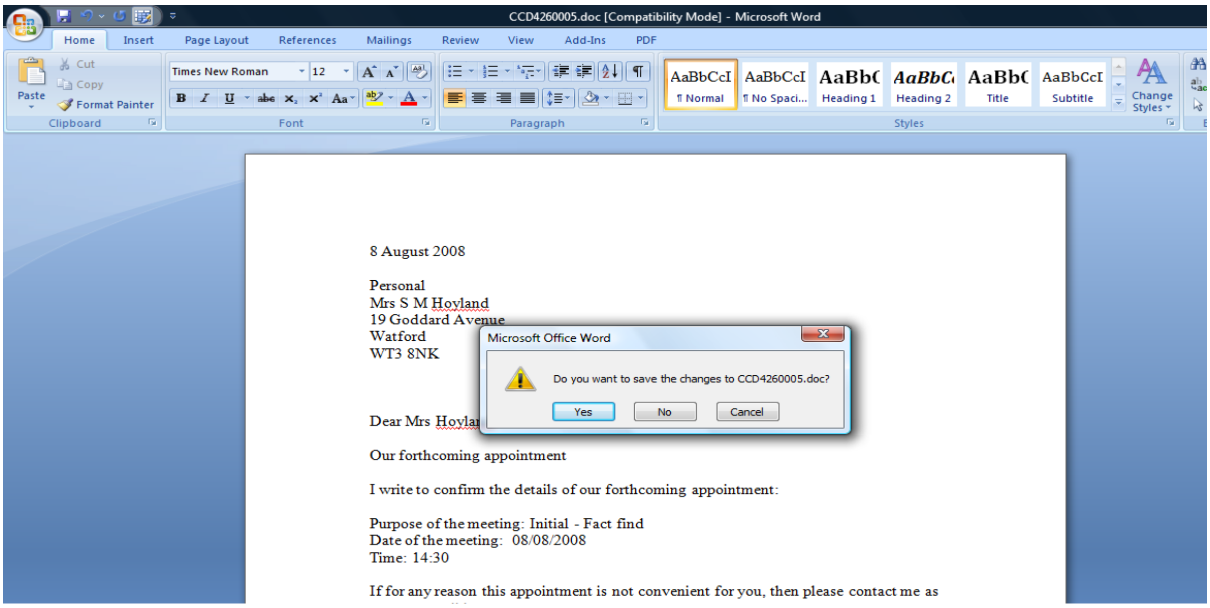
If for any reason this appointment is not convenient for you, then please contact me as soon as possible to rearrange.

Yours sincerely

Clive McDonough



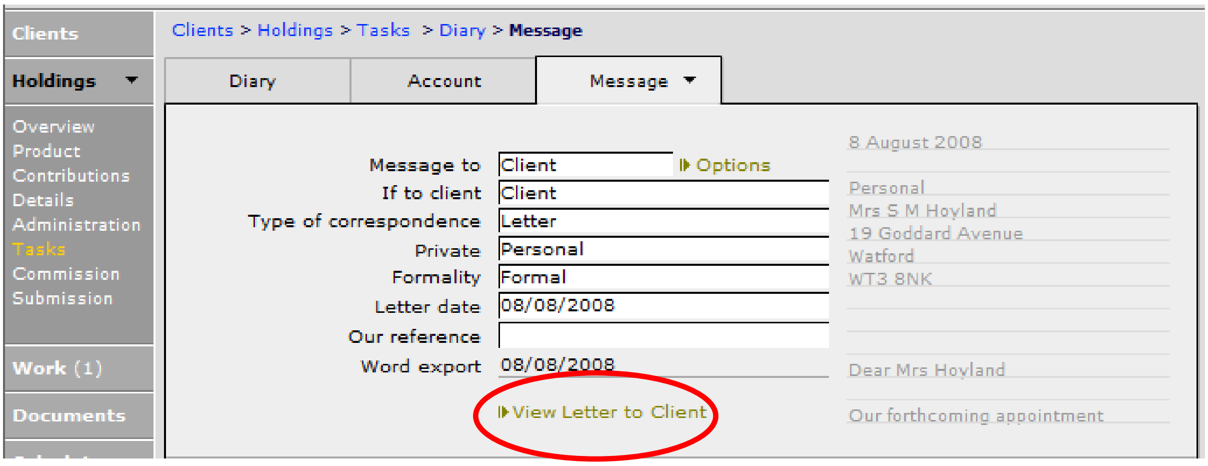
If no changes are made to the letter in the MS Word format when you close the letter it will not prompt you to save, the letter will auto save to CCD. If you have made amendments after outputting the letter to MS Word then you will be prompted to save the changes.



4.2. Viewing letters via Tasks

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

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

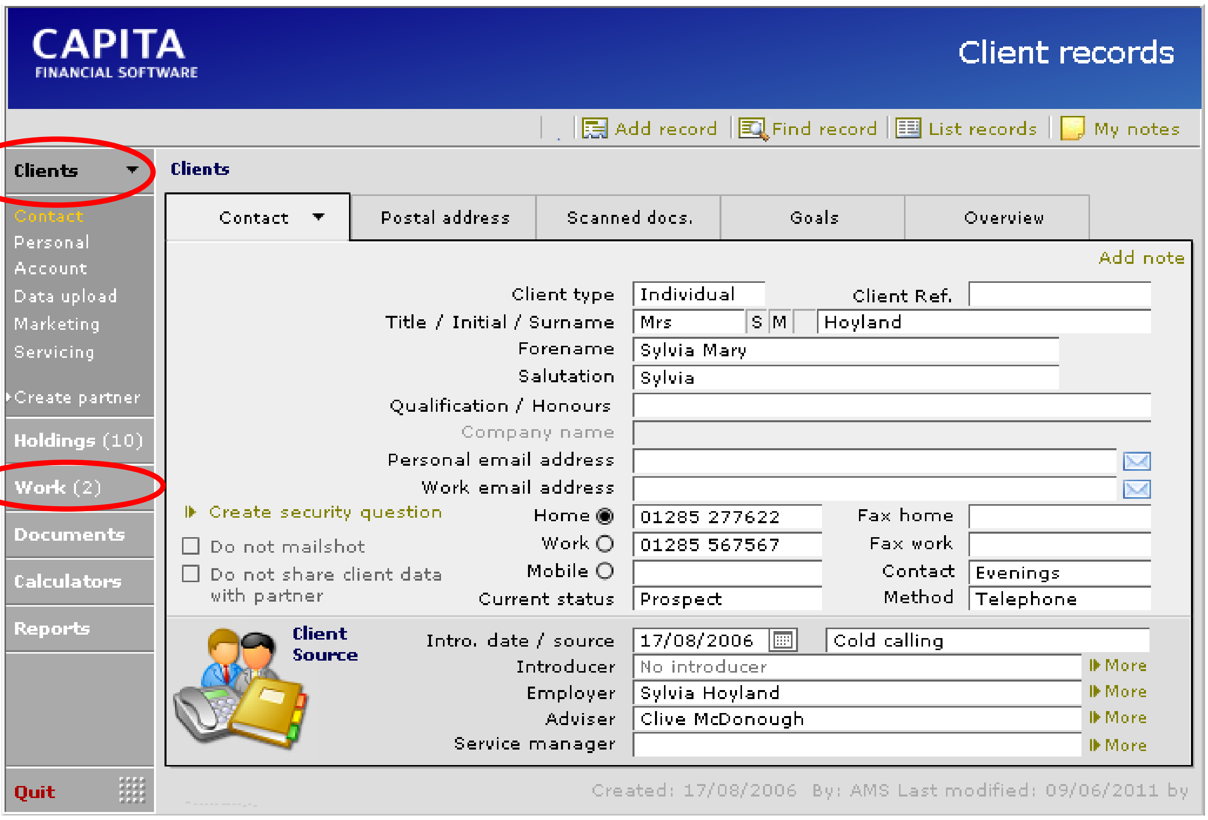


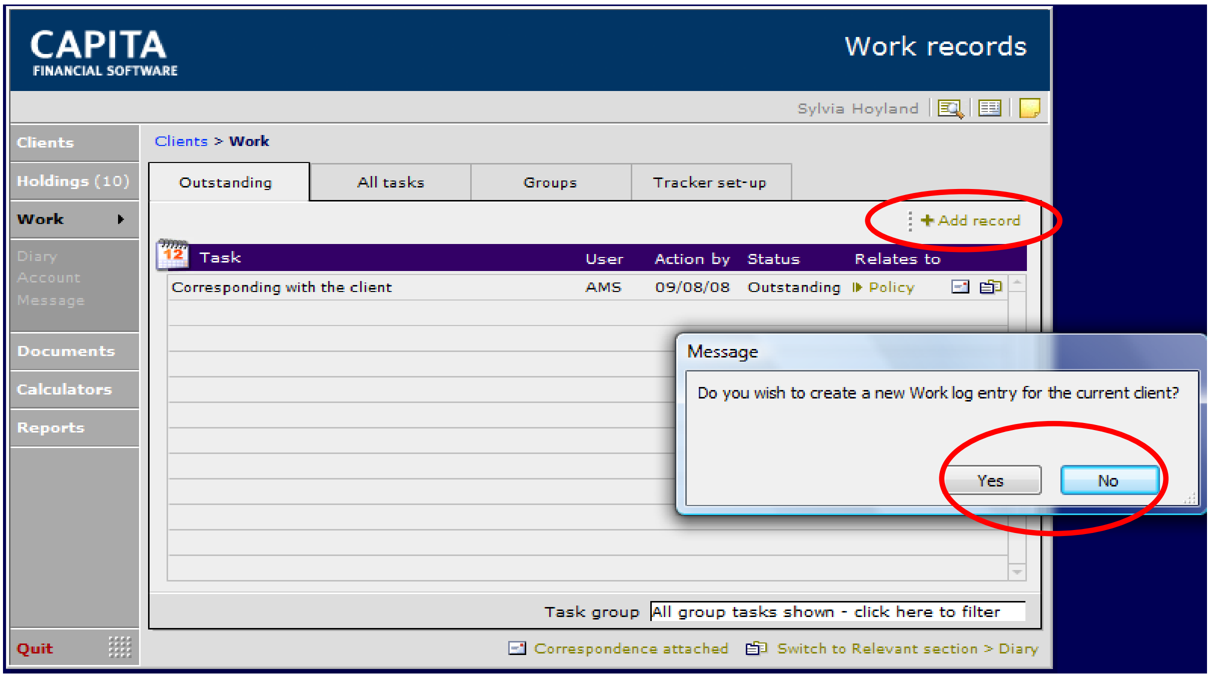
This will then display the MS Word copy of the letter.

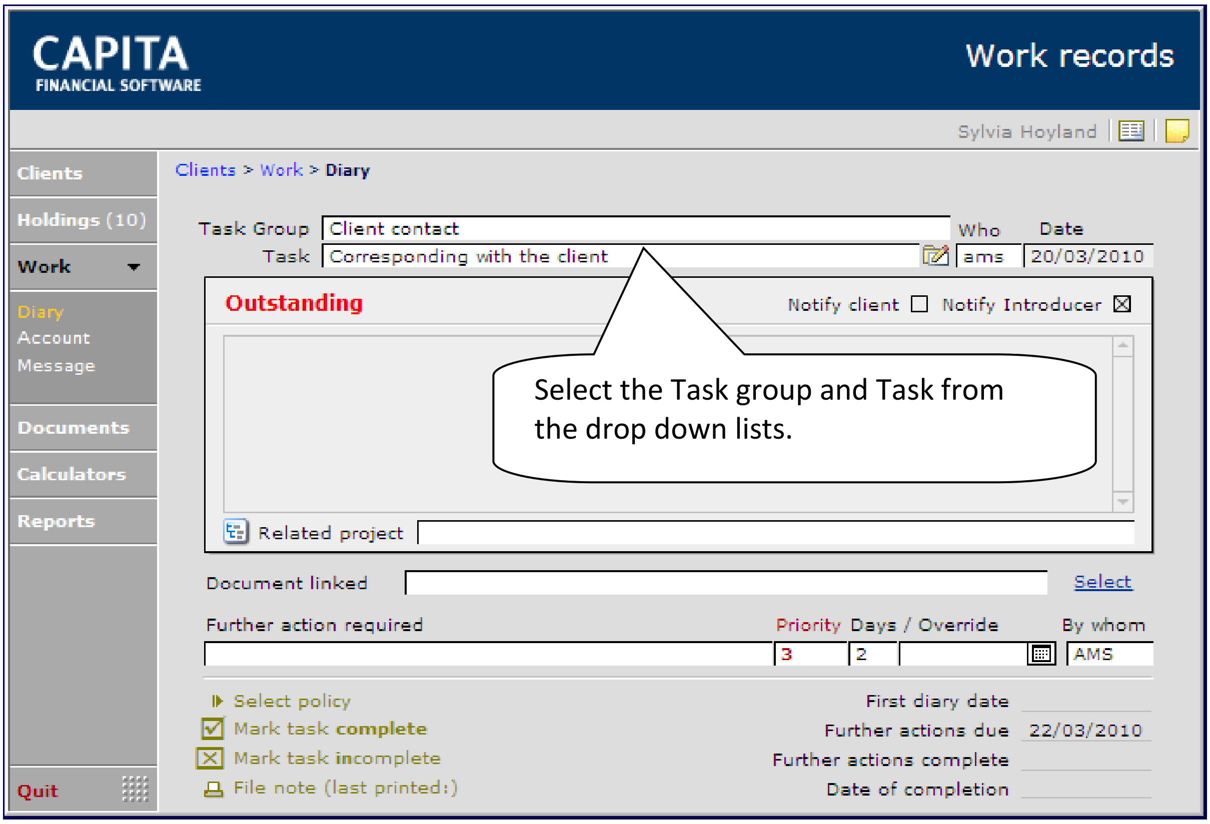
4.3. Entering a Letter against the Client

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

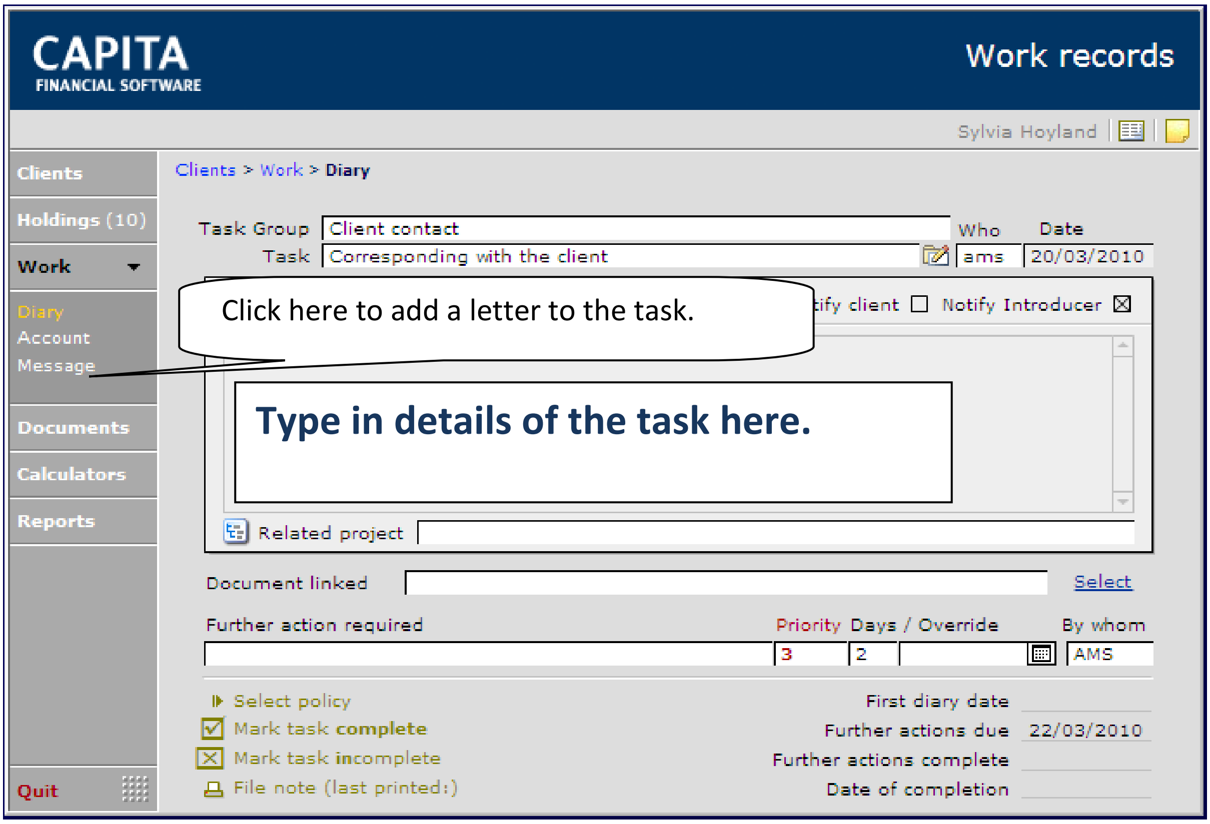
To produce a letter from the work section of your clients file firstly locate the relevant client and select Work from the main client menu.

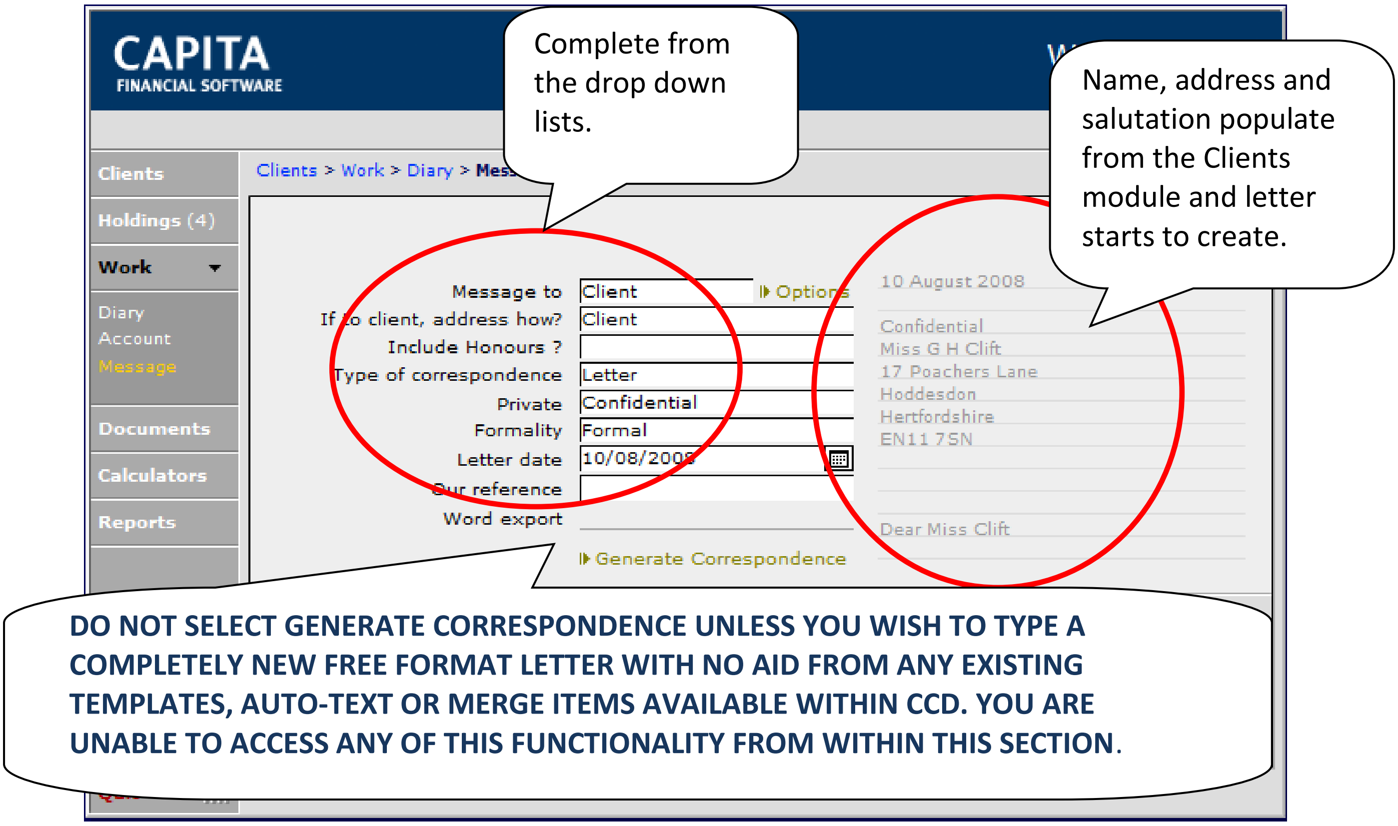

CAPITA
FINANCIAL SOFTWARE
Client records
Add record
Find record
List records
My notes
Clients
Contact
Personal
Account
Data upload
Marketing
Servicing
Create partner
Holdings (10)
Work (2)
Documents
Calculators
Reports
Quit
Clients
Contact
Postal address
Scanned docs.
Goals
Overview
Add note
Client type
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
Home
01285 277622
Fax home
Do not mailshot
Work
01285 567567
Fax work
Do not share client data with partner
Mobile
Contact
Evenings
Current status
Prospect
Method
Telephone
Client Source
Intro. date / source
17/08/2006
Cold calling
Introducer
No introducer
More
Employer
Sylvia Hoyland
More
Adviser
Clive McDonough
More
Service manager
More
Created: 17/08/2006 By: AMS Last modified: 09/06/2011 by


CAPITA
FINANCIAL SOFTWARE
Work records
Sylvia Hoyland
Clients
Holdings (10)
Work
Diary
Account
Message
Documents
Calculators
Reports
Quit
Clients > Work
Outstanding
All tasks
Groups
Tracker set-up
Add record
Task
User
Action by
Status
Relates to
Corresponding with the client
AMS
09/08/08
Outstanding
Policy
Message
Do you wish to create a new Work log entry for the current client?
Yes
No
Task group
All group tasks shown - click here to filter
Correspondence attached
Switch to Relevant section > Diary



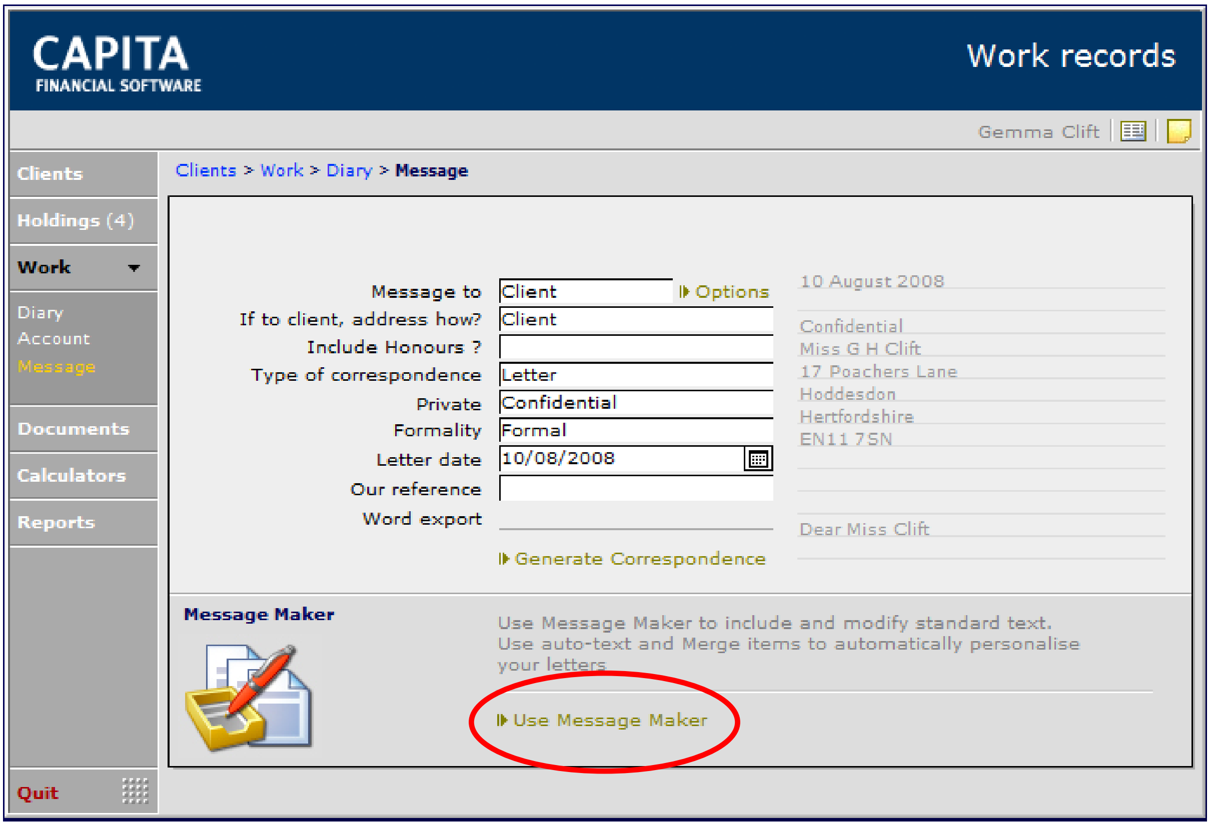
To produce any type of correspondence relating to this task enter the Message option on the left hand side.


CAPITA
FINANCIAL SOFTWARE
Work records
Sylvia Hoyland
Clients
Holdings (10)
Work
Diary
Account
Message
Documents
Calculators
Reports
Quit
Clients > Work > Diary
Task Group
Client contact
Who
Date
Task
Corresponding with the client
ams
20/03/2010
Click here to add a letter to the task.
tify 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
22/03/2010
Further actions complete
Date of completion

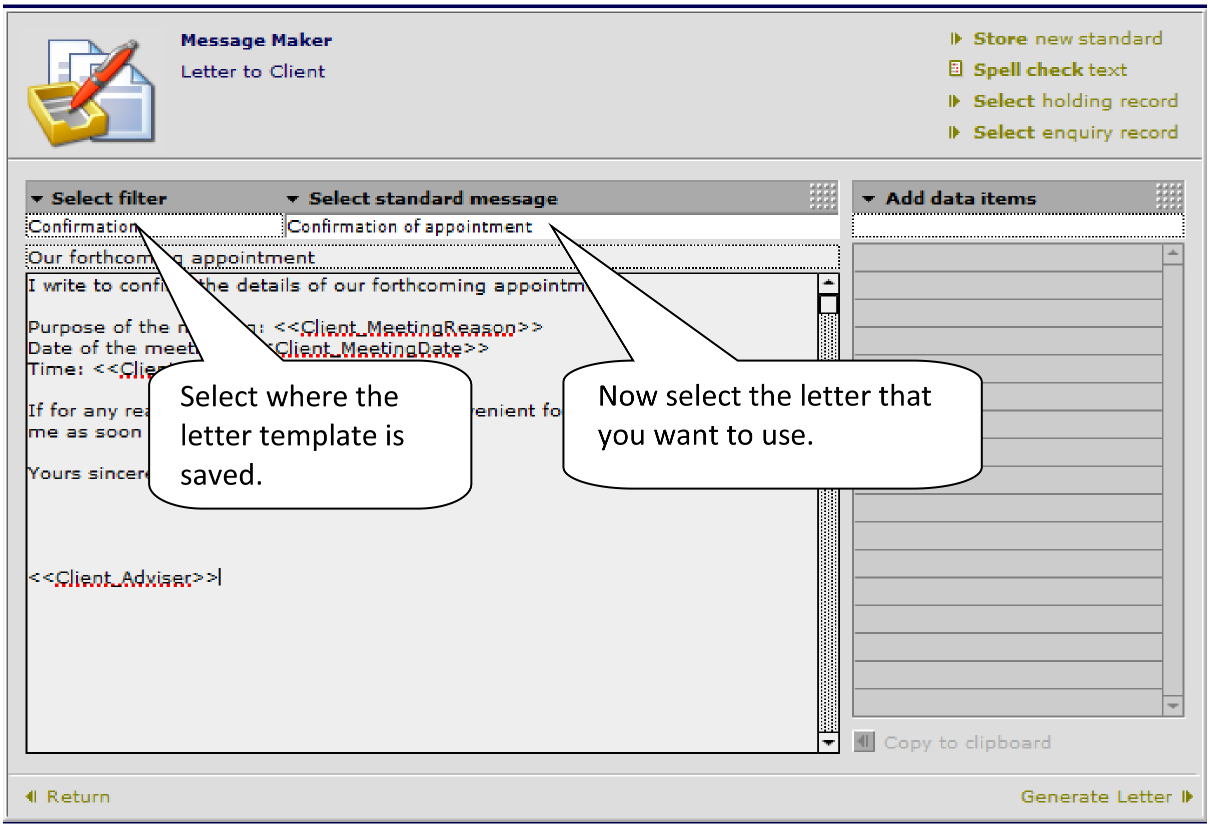


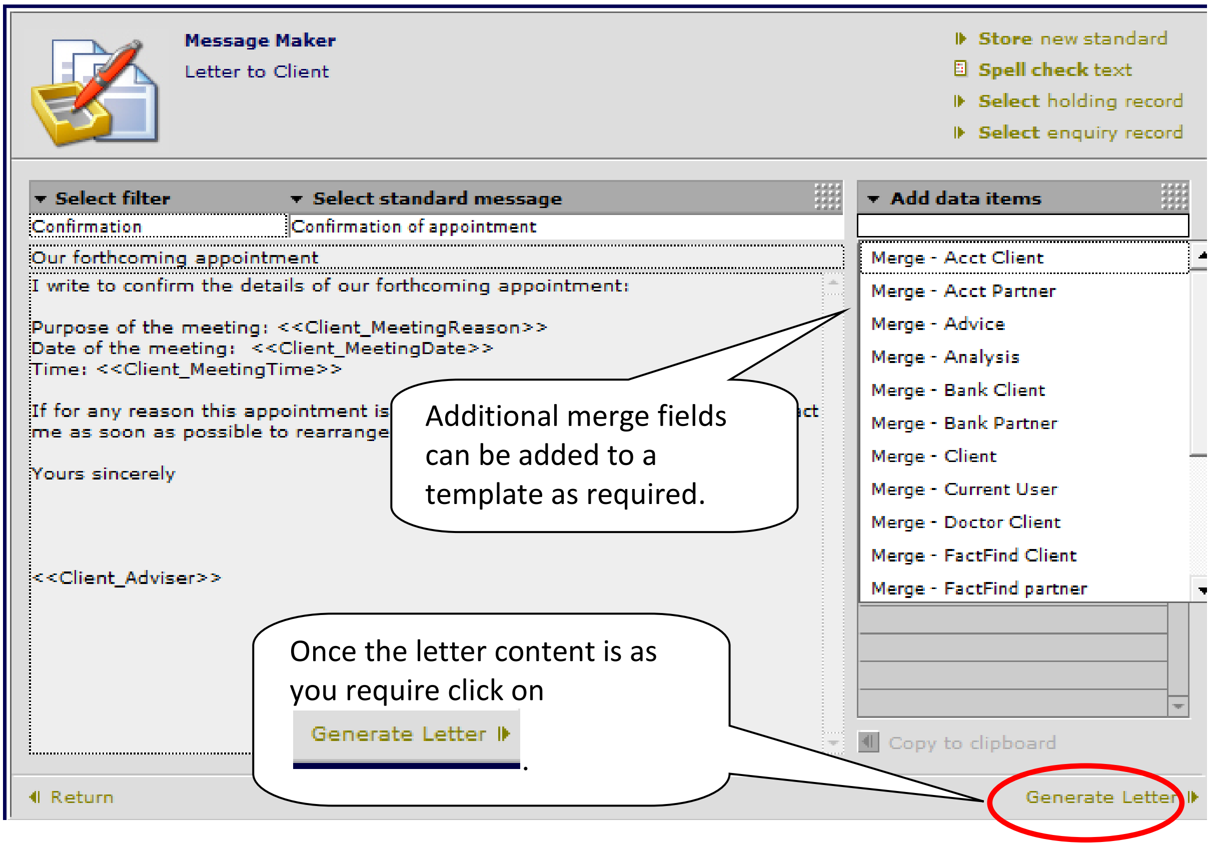
By going into 

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



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


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
Select where the letter template is saved.
Now select the letter that you want to use.
<<Client_Adviser>>
Copy to clipboard
Return
Generate Letter

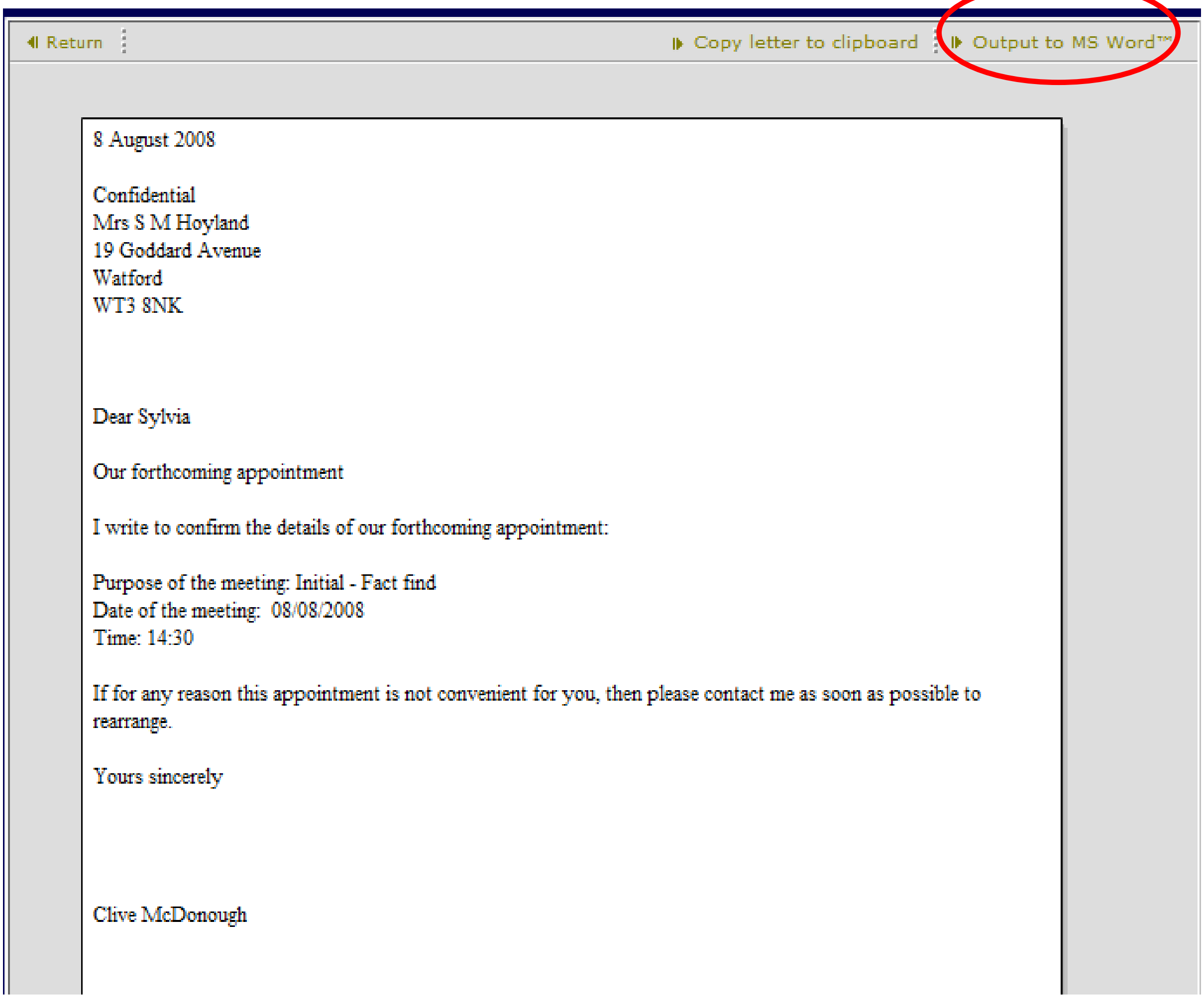

Message Maker
Letter to Client
Store new standard
Spell check text
Select holding record
Select enquiry record
Select filter
Select standard message
Add data items
Confirmation
Confirmation of appointment
Our forthcoming appointment
I write to confirm the details of our forthcoming appointment:
Purpose of the meeting: <<Client_MeetingReason>>
Date of the meeting: <<Client_MeetingDate>>
Time: <<Client_MeetingTime>>
Yours sincerely
<<Client_Adviser>>
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
Additional merge fields can be added to a template as required.
Once the letter content is as you require click on Generate Letter.
Copy to clipboard
Return
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 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™



8 August 2008

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

Dear Sylvia

Our forthcoming appointment

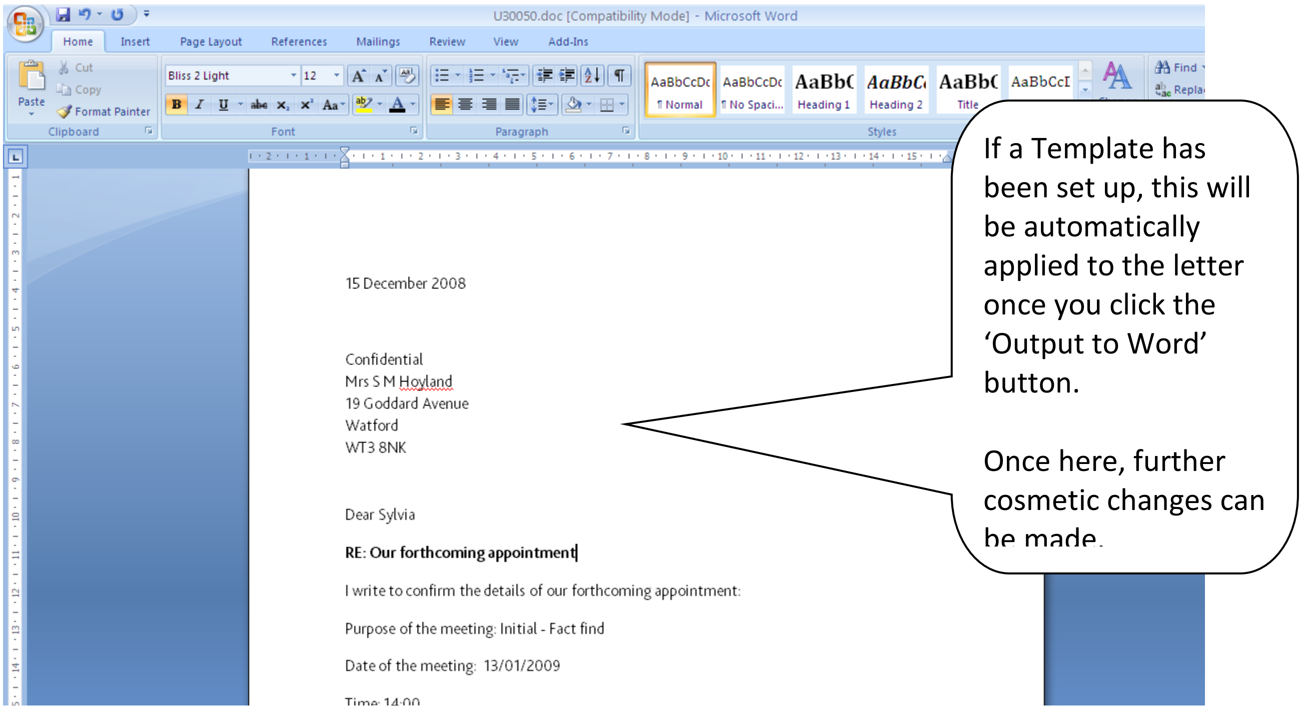
I write to confirm the details of our forthcoming appointment:

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

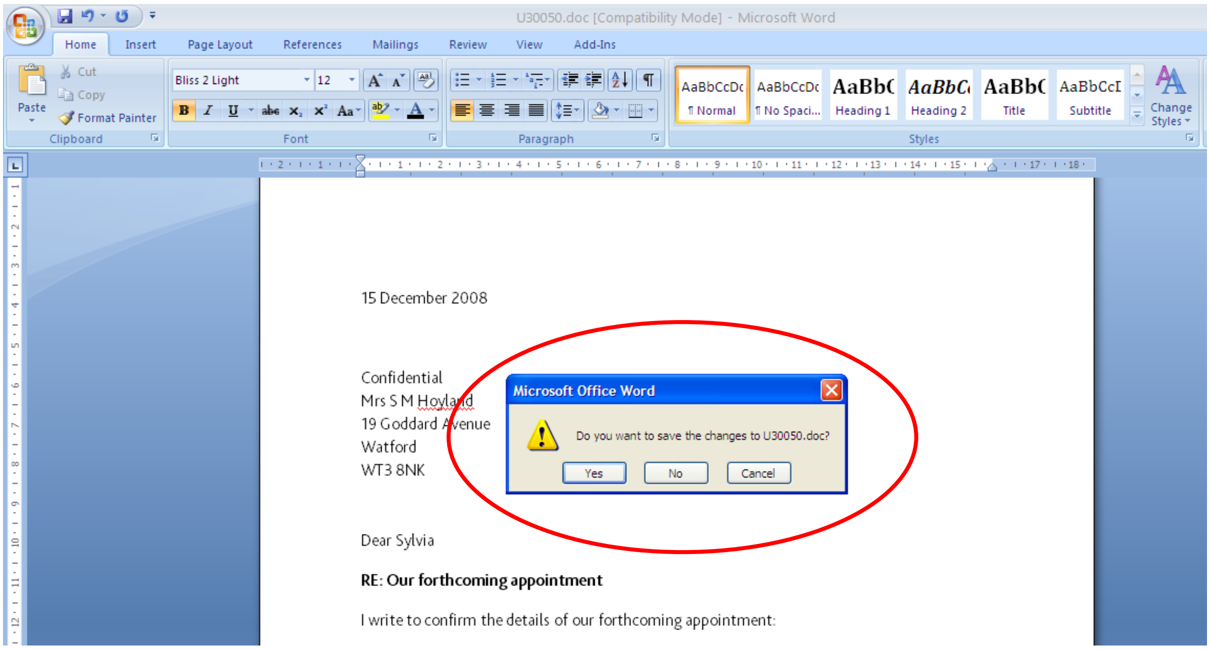
If for any reason this appointment is not convenient for you, then please contact me as soon as possible to rearrange.

Yours sincerely

Clive McDonough



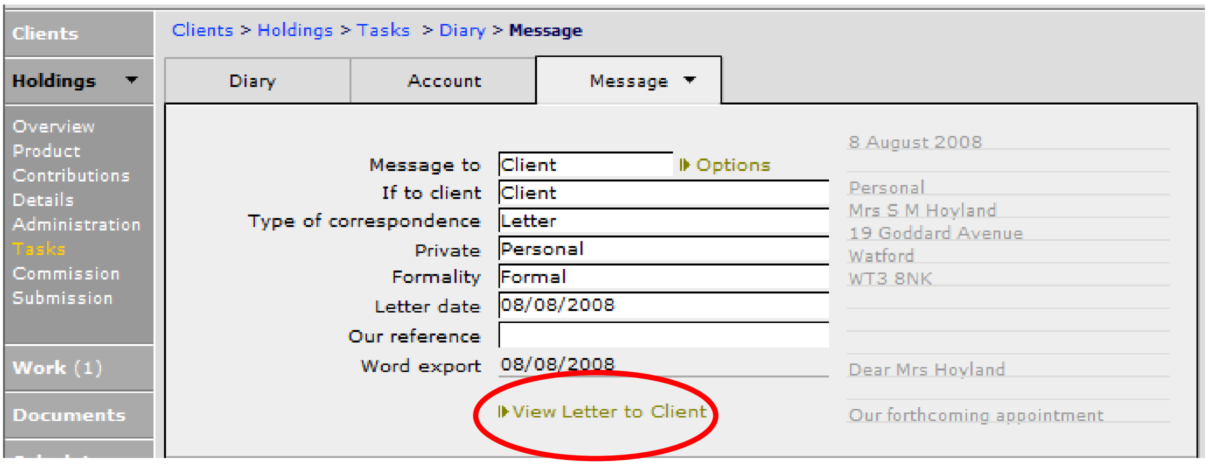
If no changes are made to the letter in the MS Word format when you close the letter it will not prompt you to save, the letter will auto save to CCD. If you have made amendments after out putting the letter to MS Word then you will be prompted to save the changes.



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:

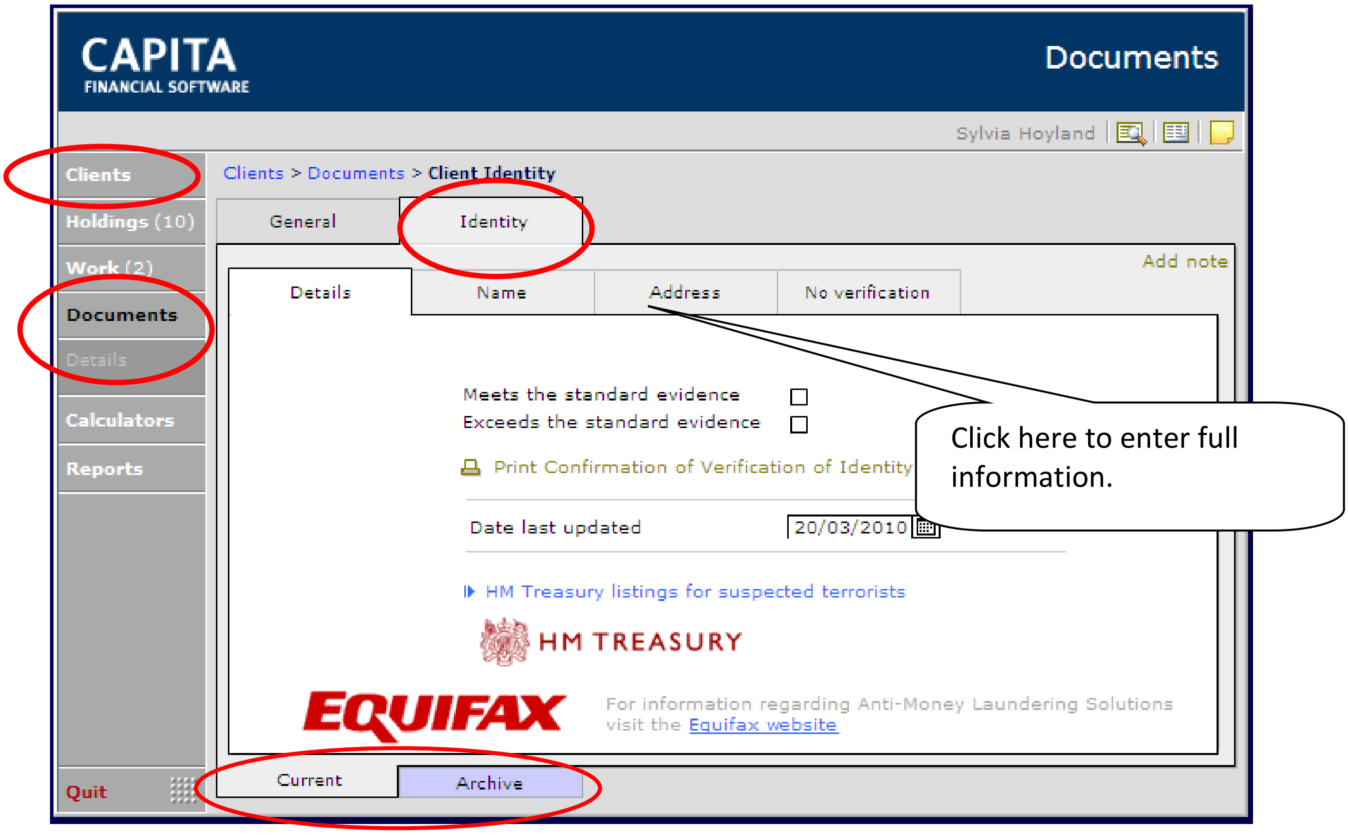
- Find your client
- Click on the Work Tab and select the appropriate item
- Select the Message tab.
- Click on 'View Letter to Client'.

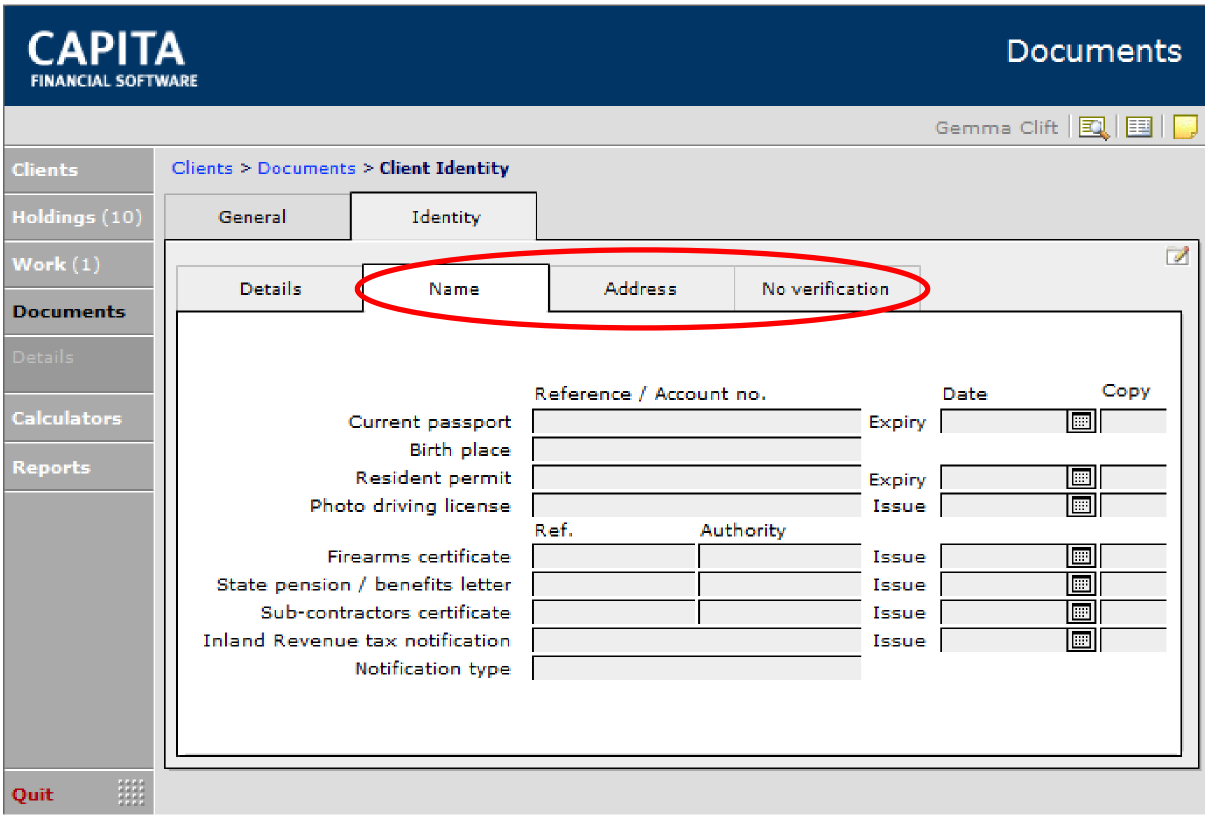


This will then display the MS Word copy of the letter.

5. MONEY LAUNDERING

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





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

The other link on 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.

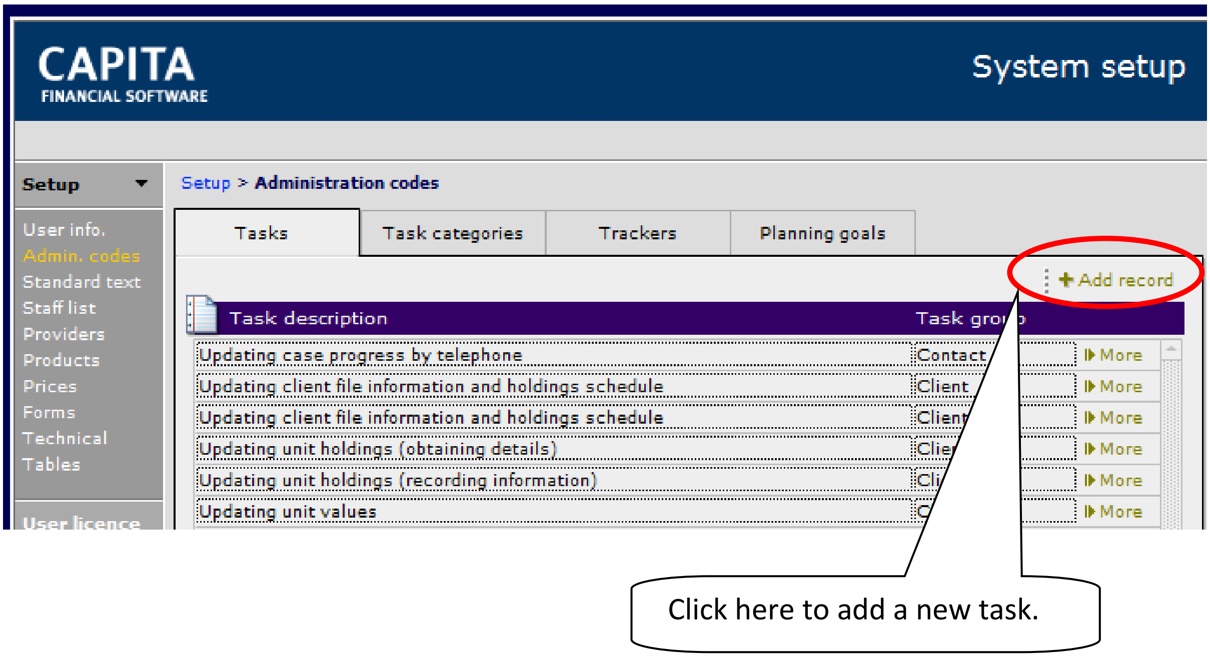
The steps to follow to set up are;

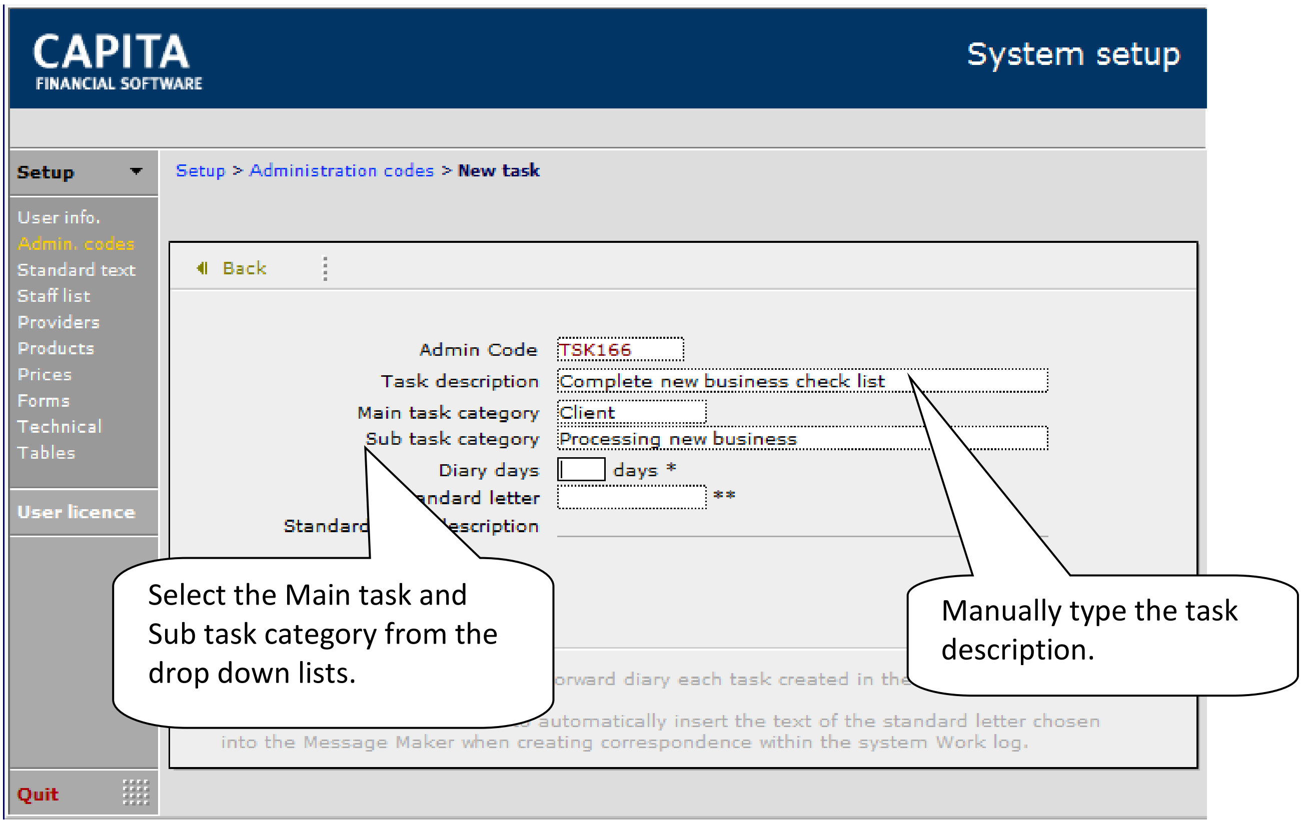
- Match your paper representation step by step to a task in the admin codes data base.
- Review each task and ensure the number of days for each task to be completed is set from the 1st day the tracker is put in place. This may mean that you either need to set up new tasks or amend existing tasks.
-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



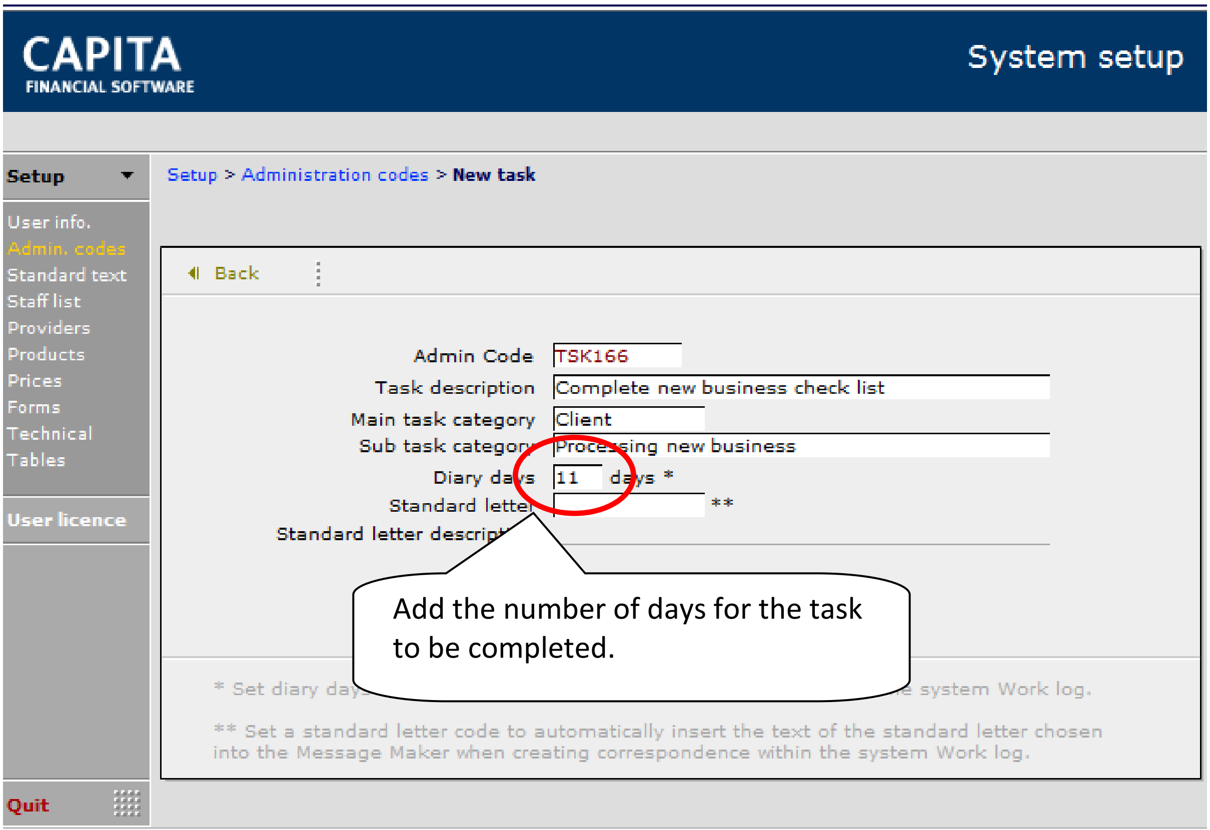


Once all the tasks required have been located or created move to checking that the number of days from creation are correct. Once the tracker has been set up the number of days will not be amendable in the tracker, if the task is chosen as a standalone task for a client then the days required can be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

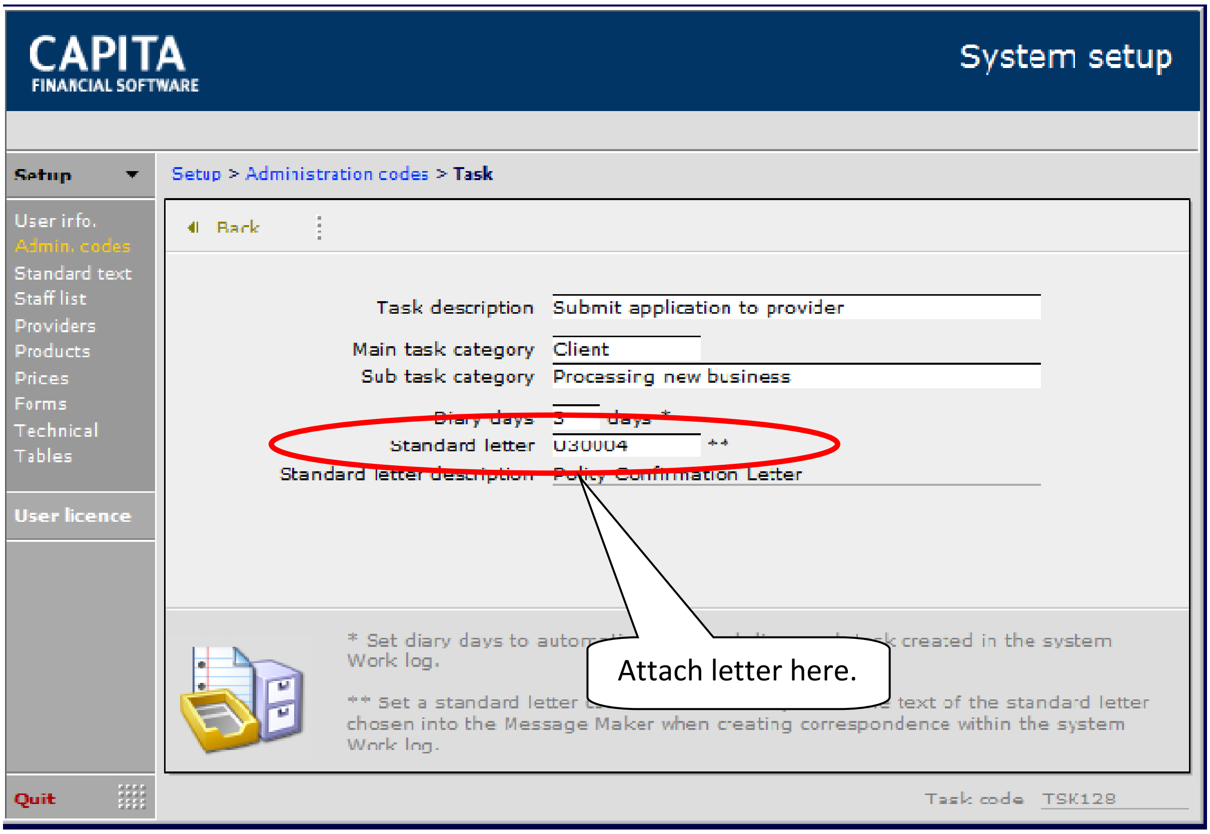
CAPITA FINANCIAL SOFTWARE quaysoftware

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

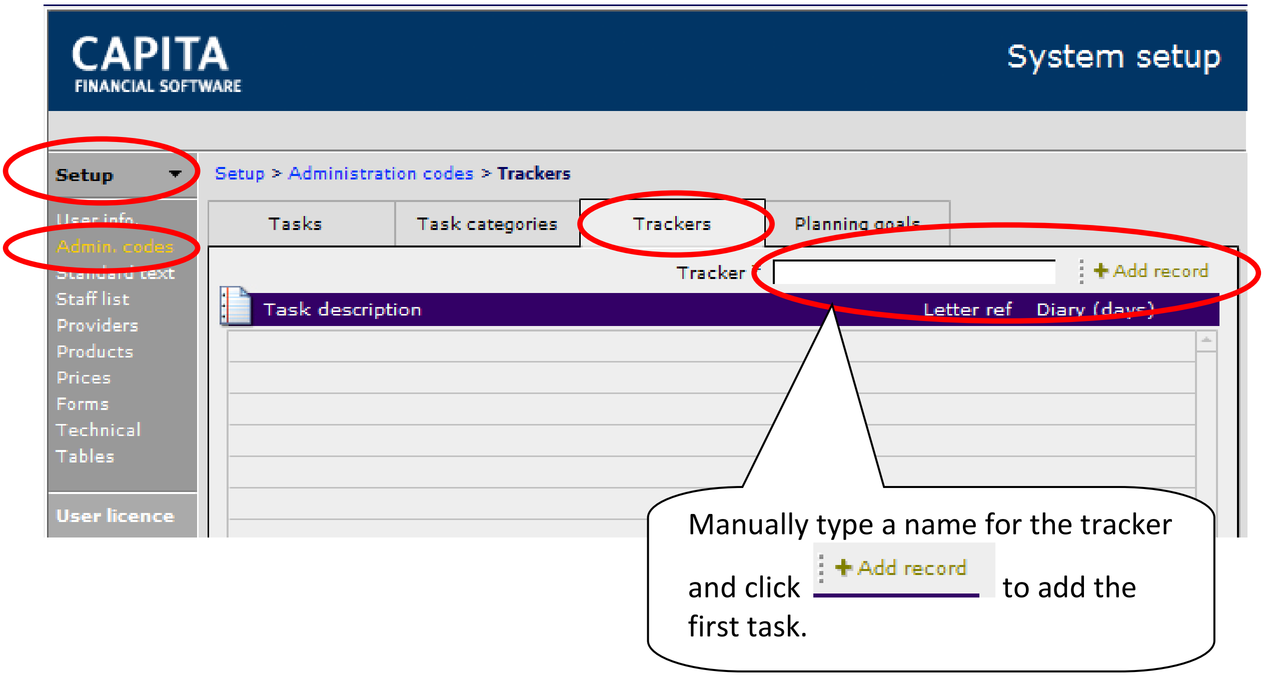
Days from start of tracker for task to be completed.

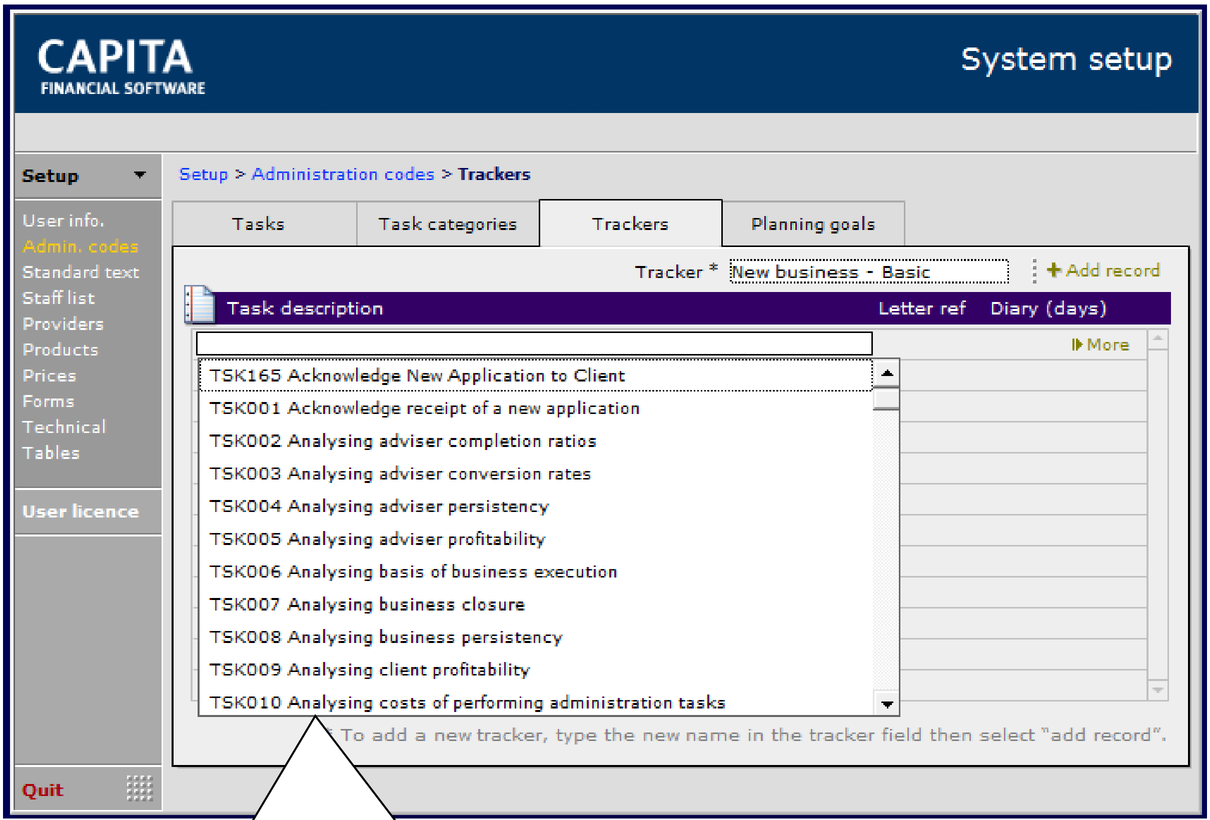


Next, any standard letters already set up in your CCD can be attached to the task. Once a letter has been attached to the task every time the task is used when the Message tab is accessed in the task/work record the selected letter will appear.

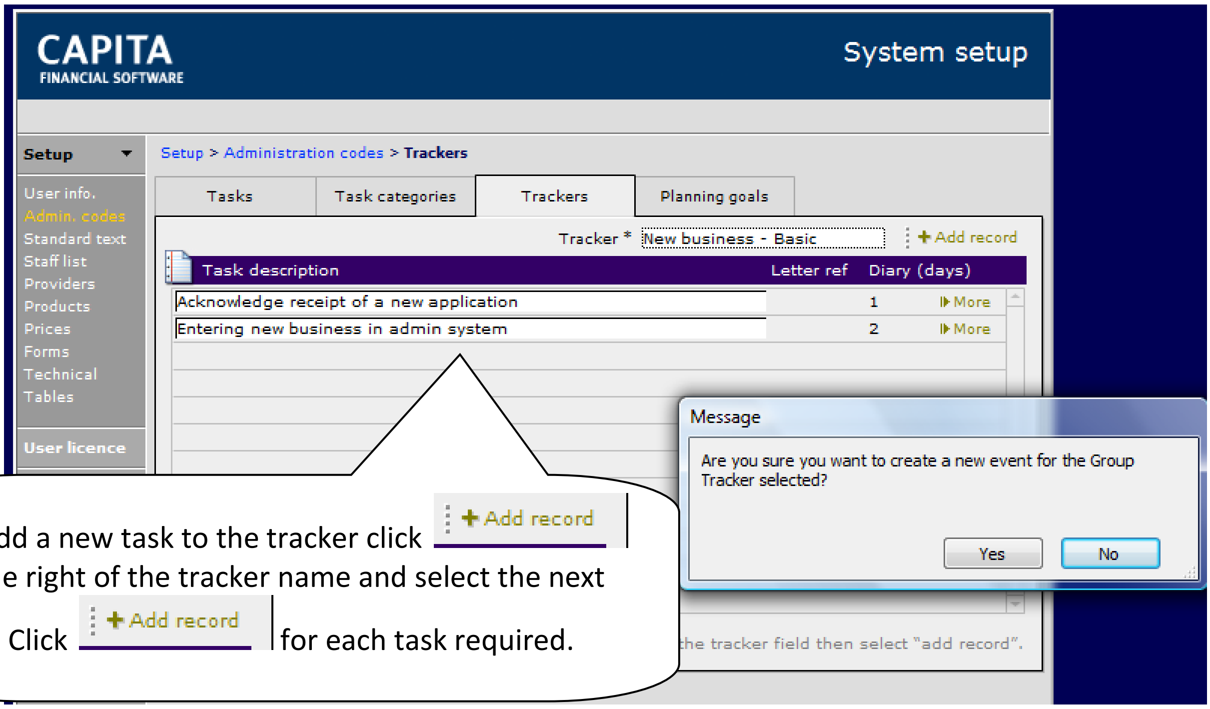


All the preparation has now been done and the tracker can now be added to CCD.

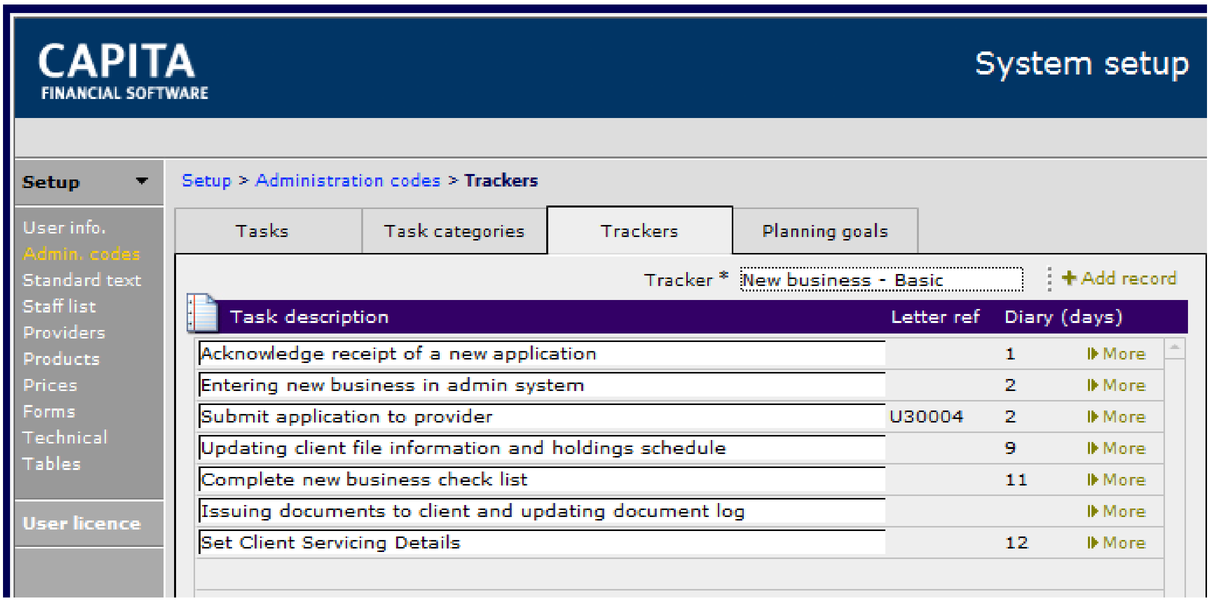




Select each task in the order already set out on your paper list.



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

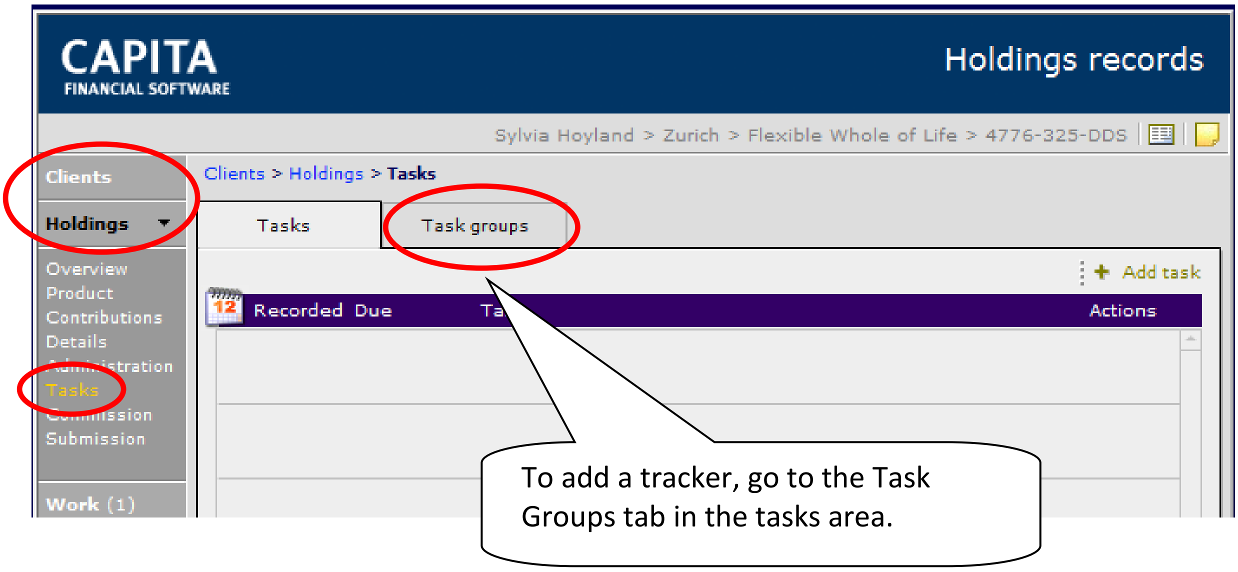


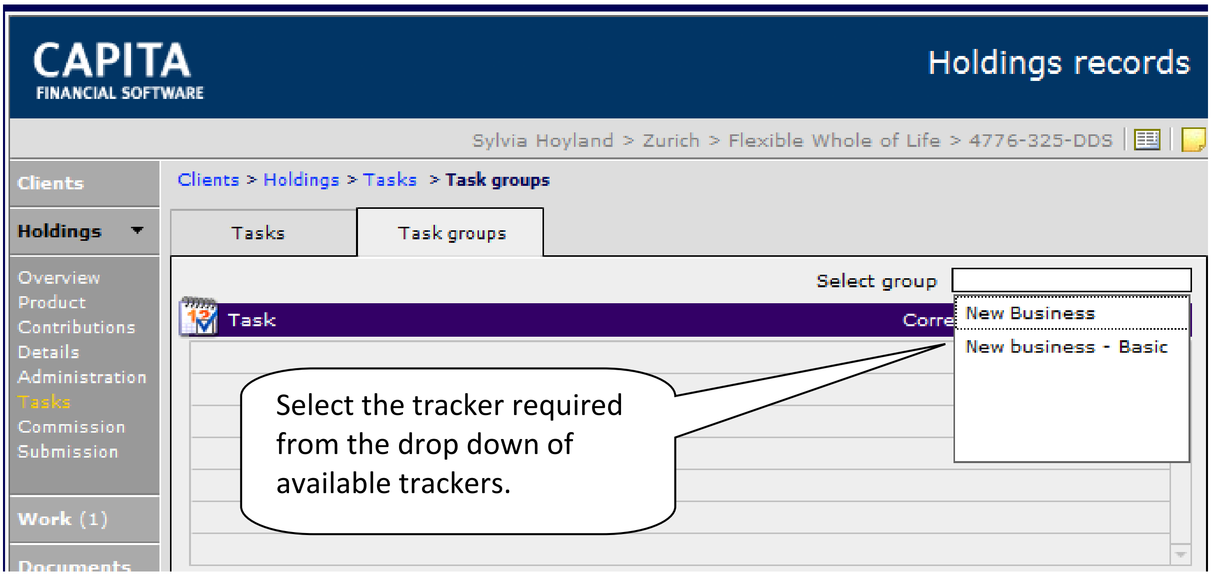
Once a Tracker has been set up within CCD, it can never be deleted.

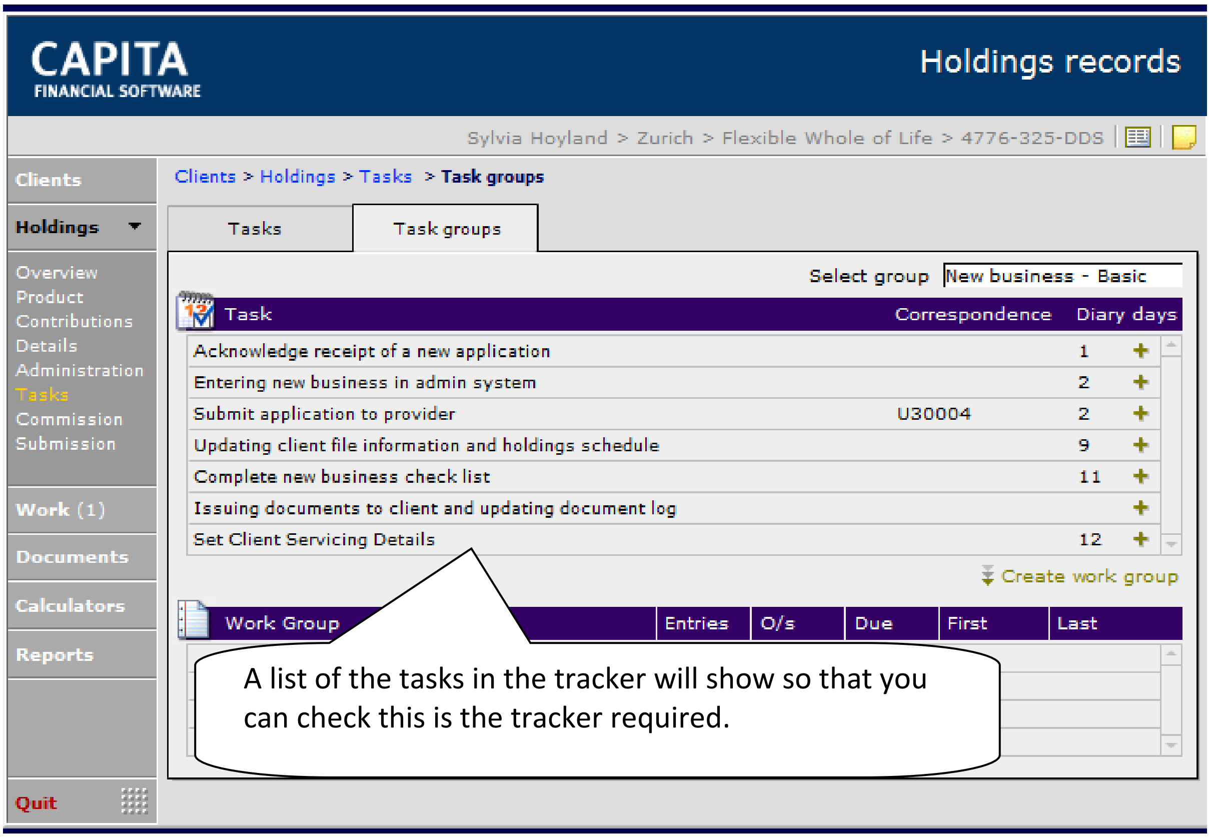
6.1. Using Trackers

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

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



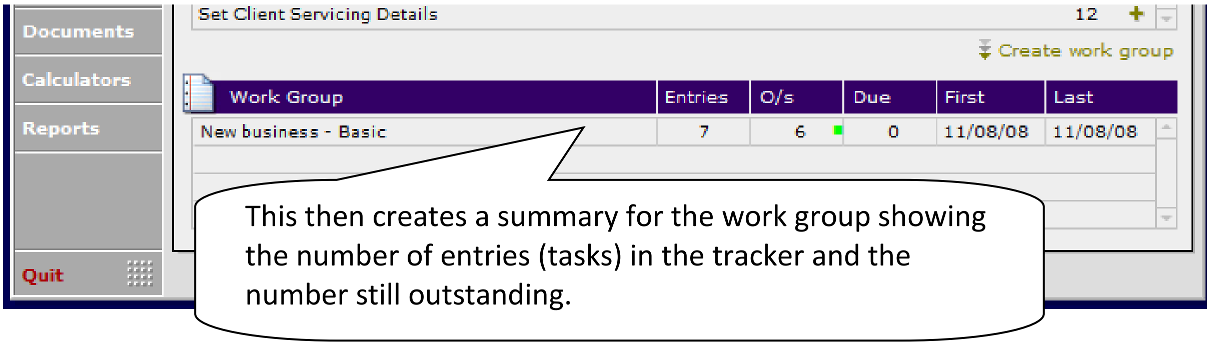




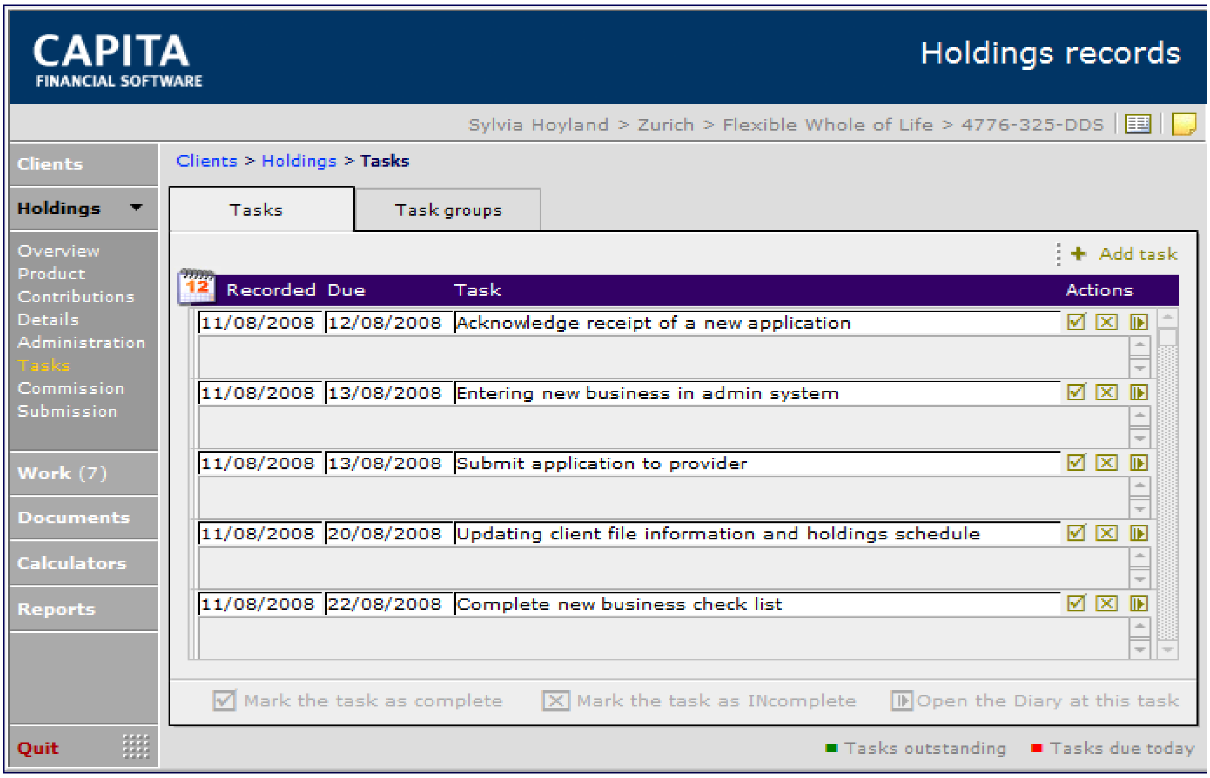
Once you are happy that the tracker selected is the tracker required click the

Create work group

.

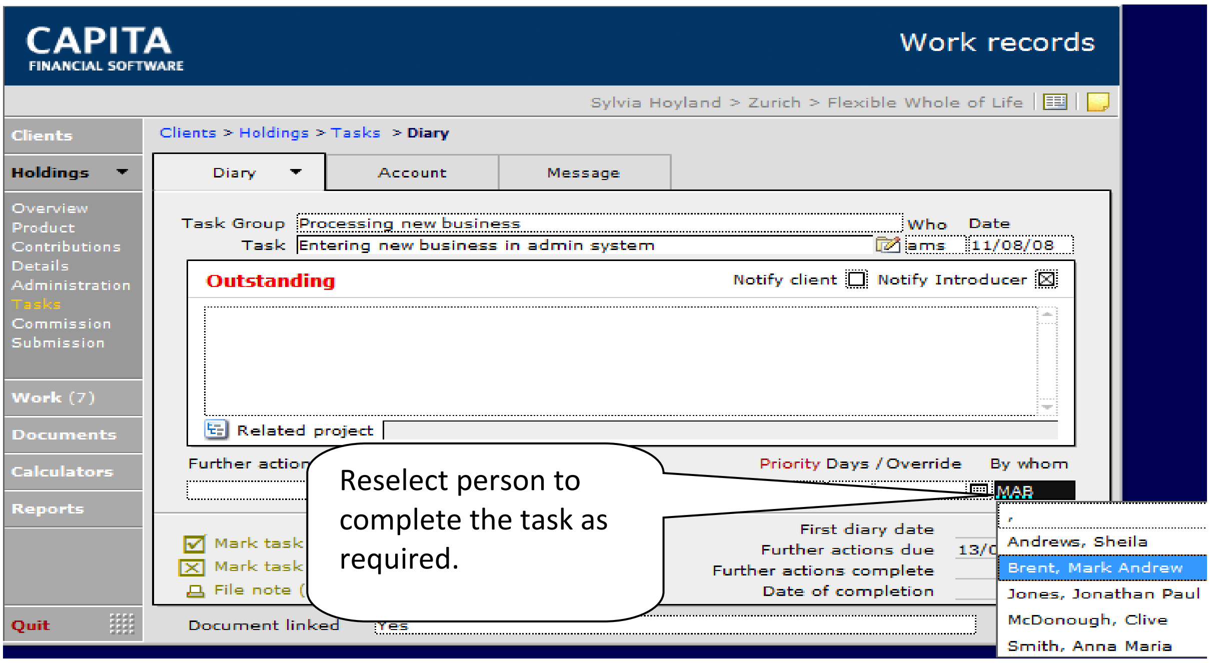


Return to the main task list for the holding.



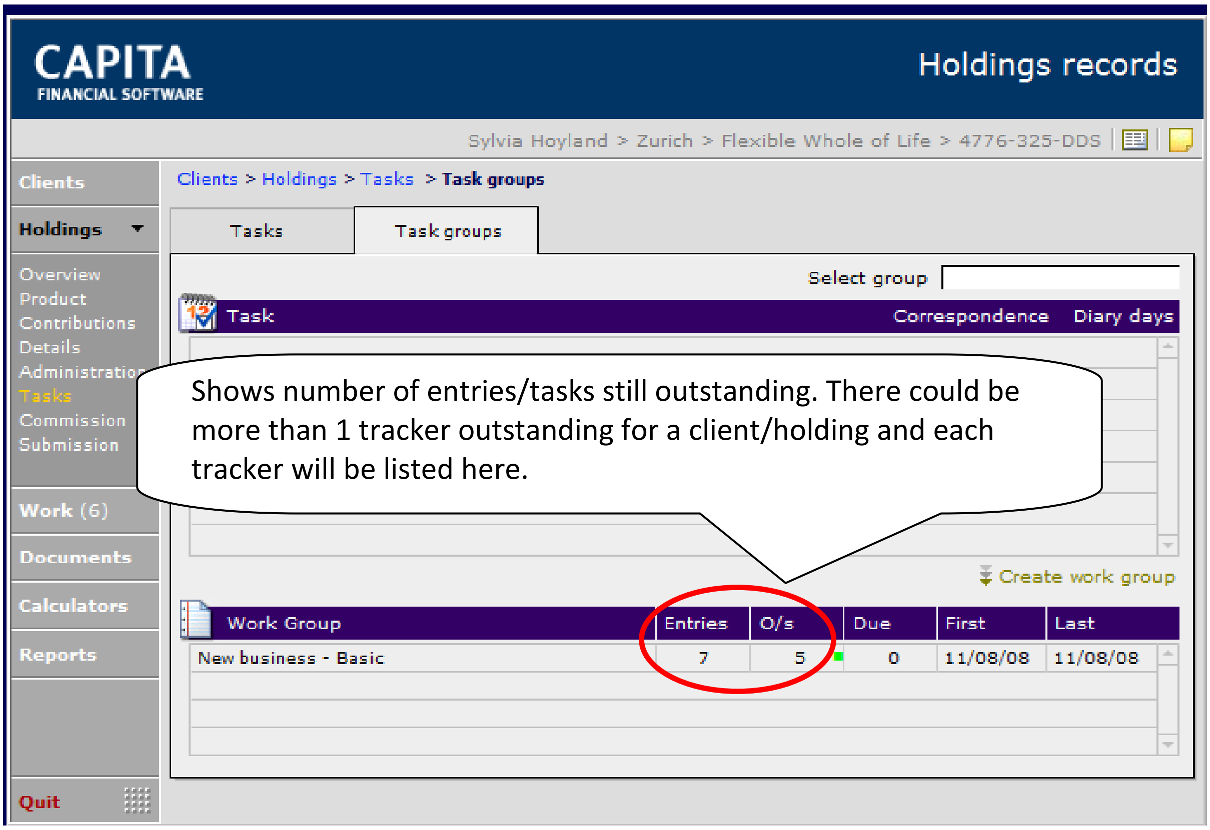
Each task in the tracker has been added to the holdings task list as an individual task, they are all at this stage outstanding. You can now go into each task and reset the person required to complete it from the staff drop down list as required.

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

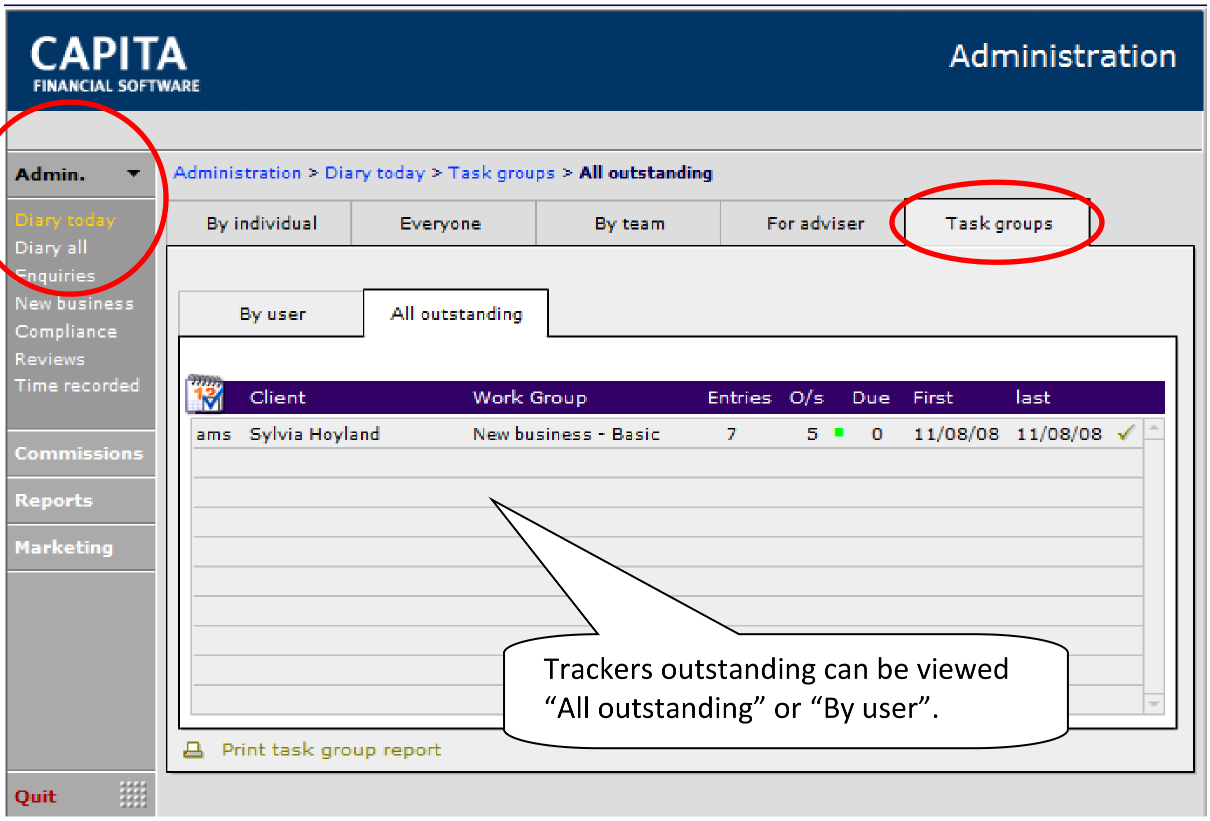


The progress of trackers can be followed in 2 ways.

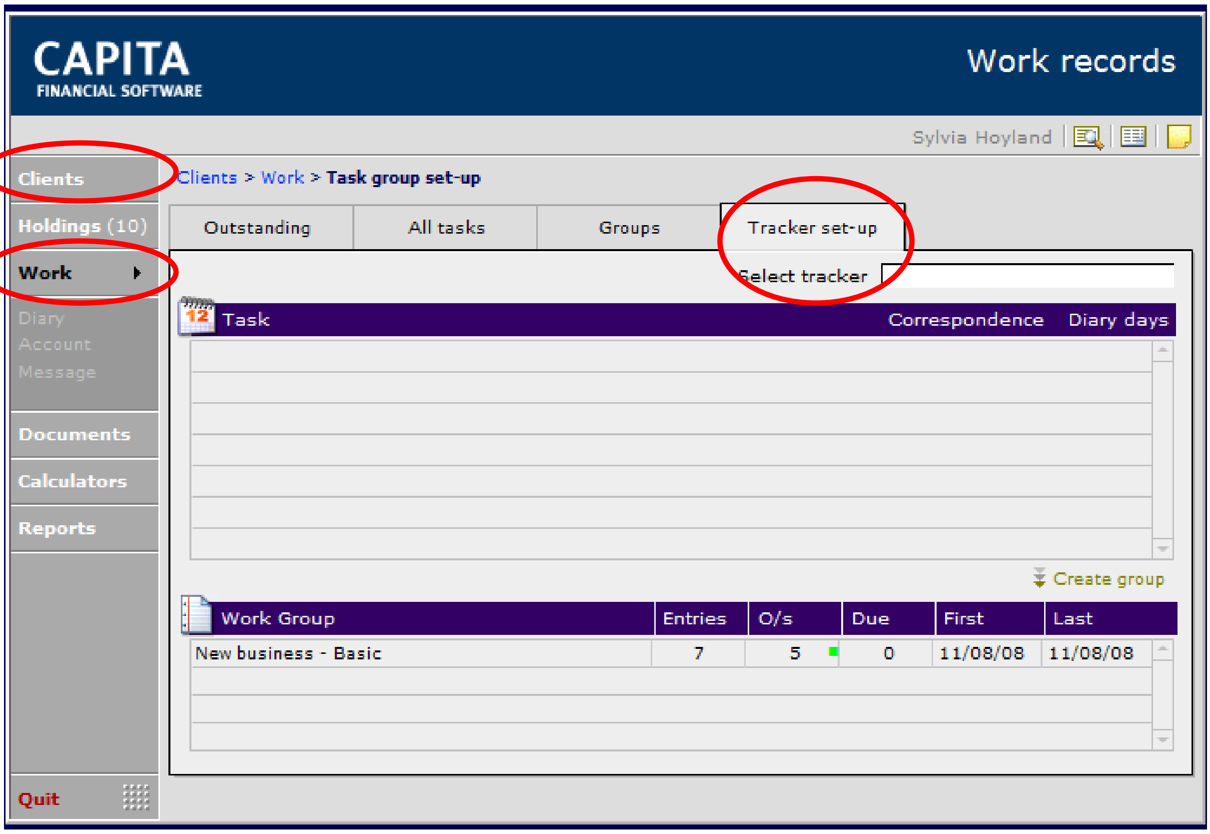
1. On the Task groups tab of the holdings task section.



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



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

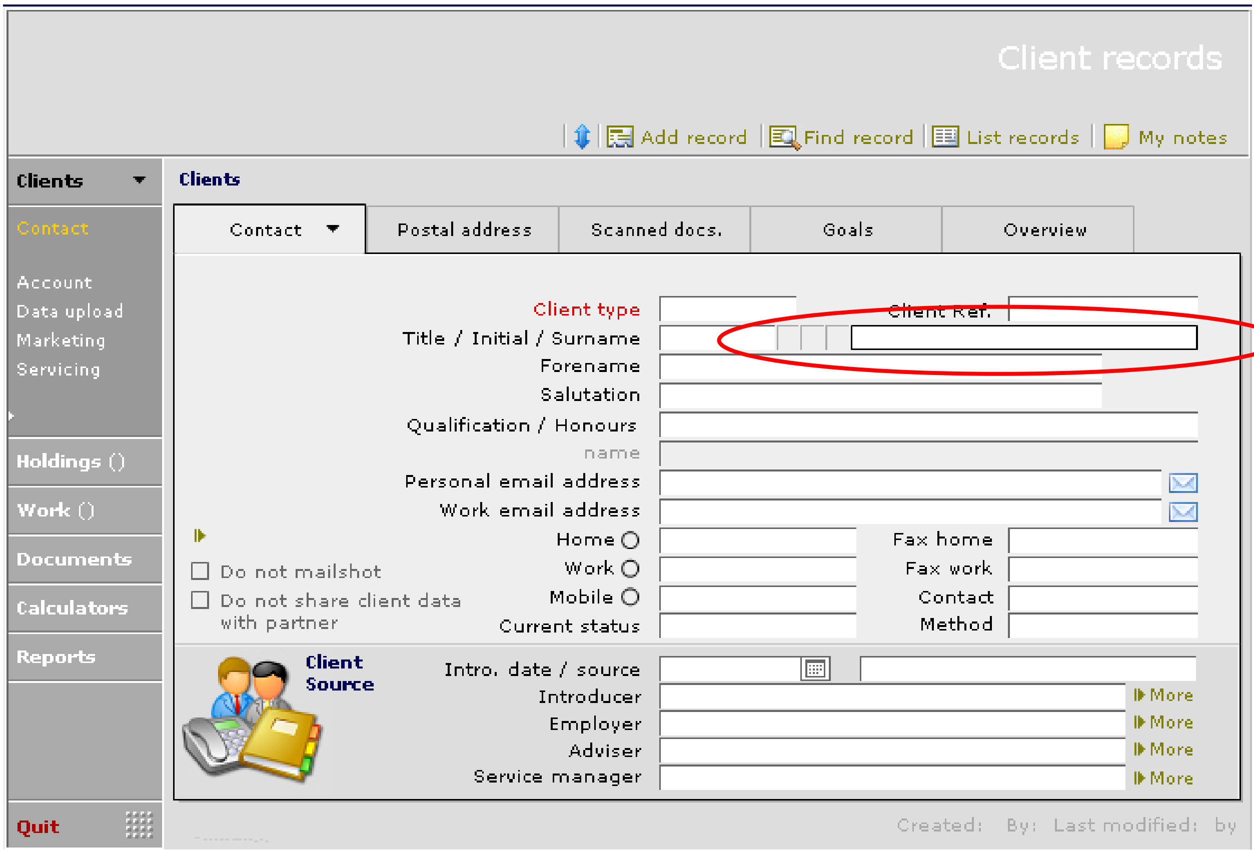


NB. As with work and tasks, trackers added at task level will be available to view in both tasks and work, while trackers added at work level will only be available at work level.

7. SEARCHING YOUR DATABASE

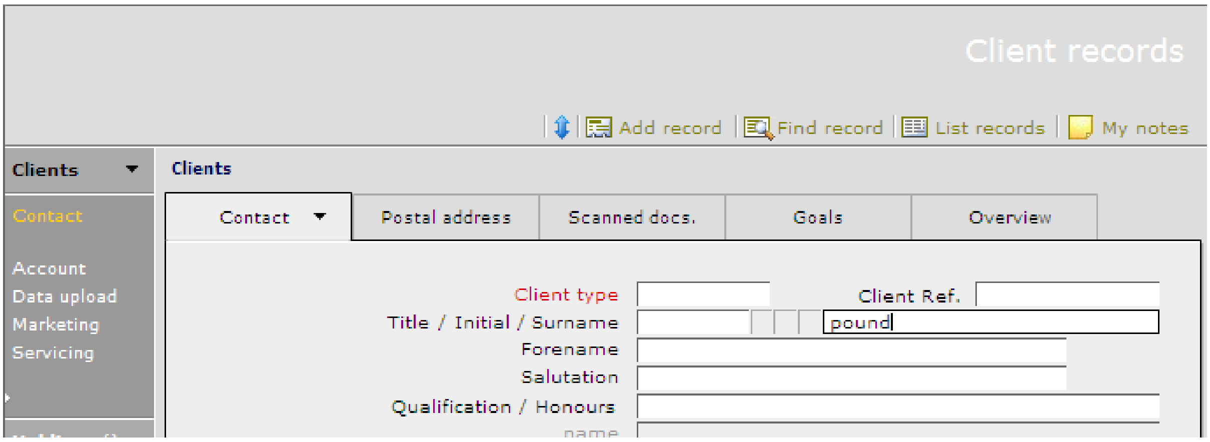
7.1. The Basic Search

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.

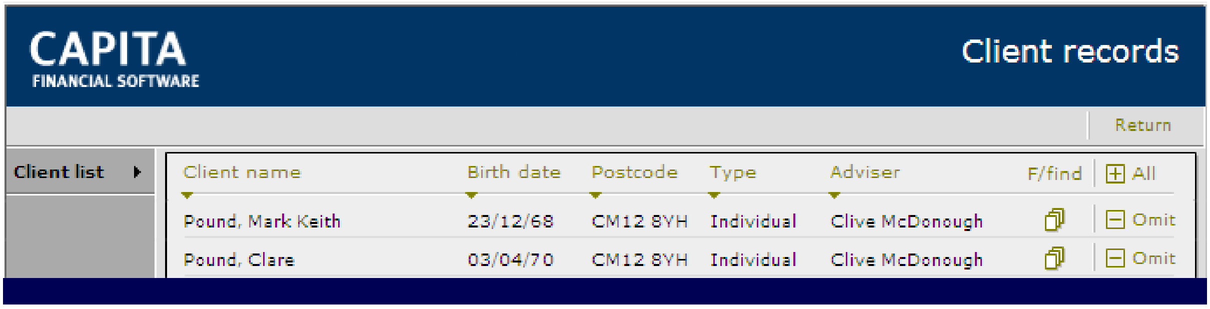


The client's surname is the most commonly used method of searching the system. Therefore your cursor will appear in surname field first. This is a free type field so you can enter the full or part surname in order to conduct your search.

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.



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



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

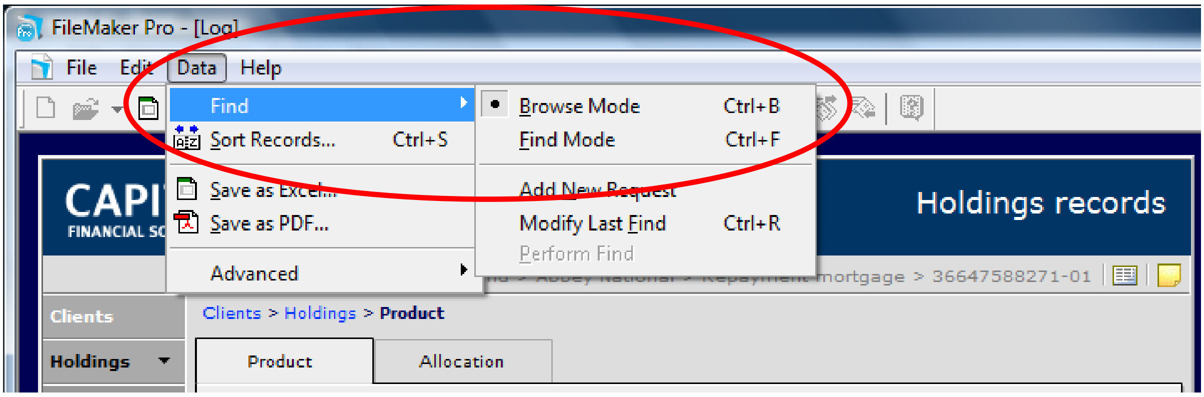
There are 3 options for the type of list required:

- Status
- Contact
- General

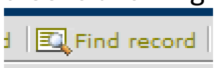
Will take you through to the Marketing section, with the clients listed as the found set. (Marketing wizard is covered later in this section).

7.2. Using the Browse and find options

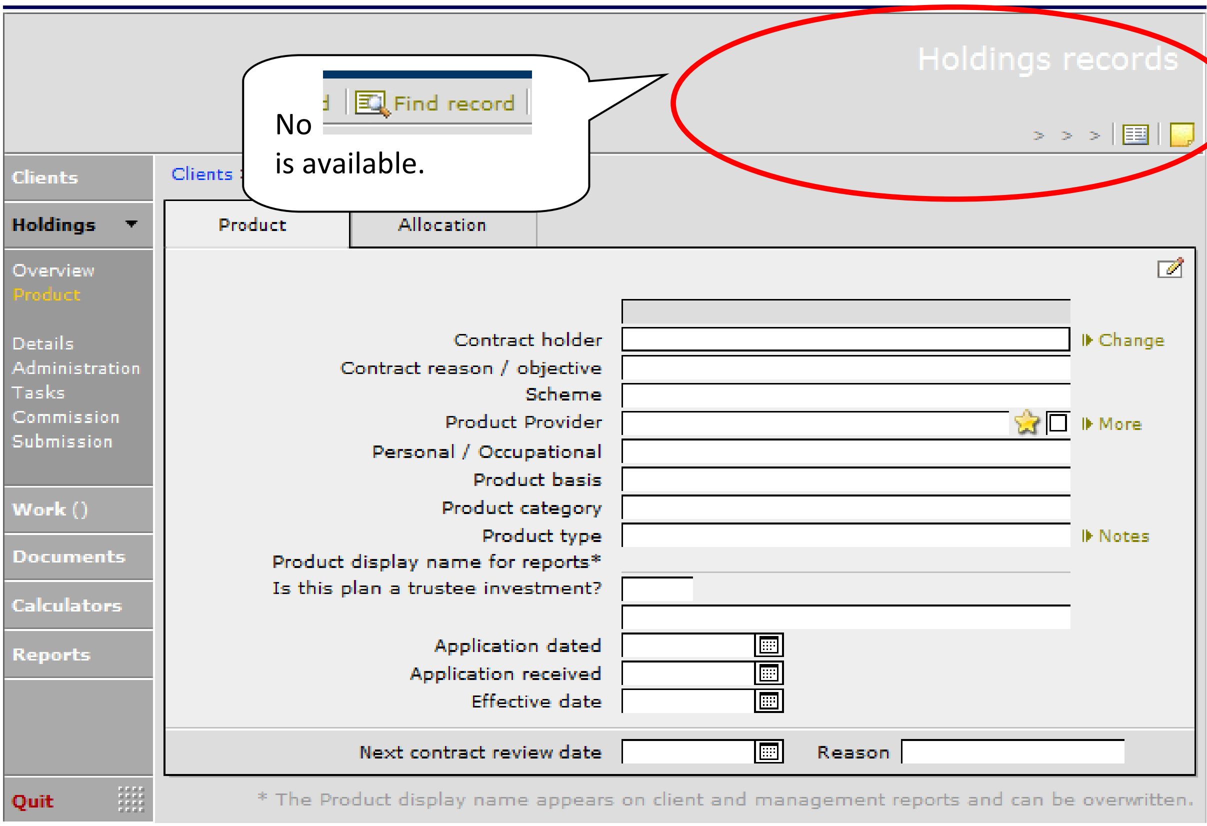
At the top of the screen on the main filemaker menu bar select the Data option.



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 

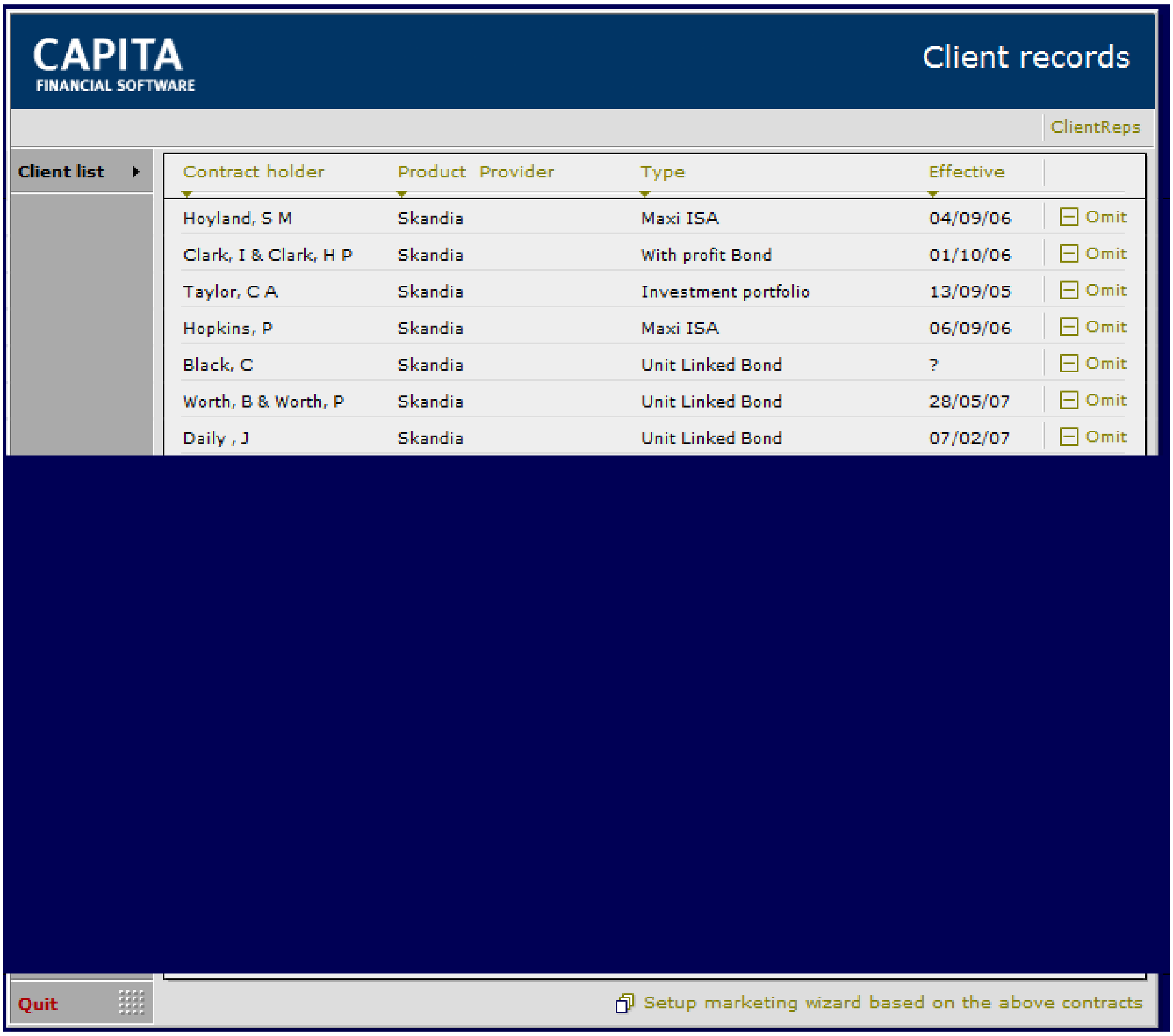
button is not available.



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

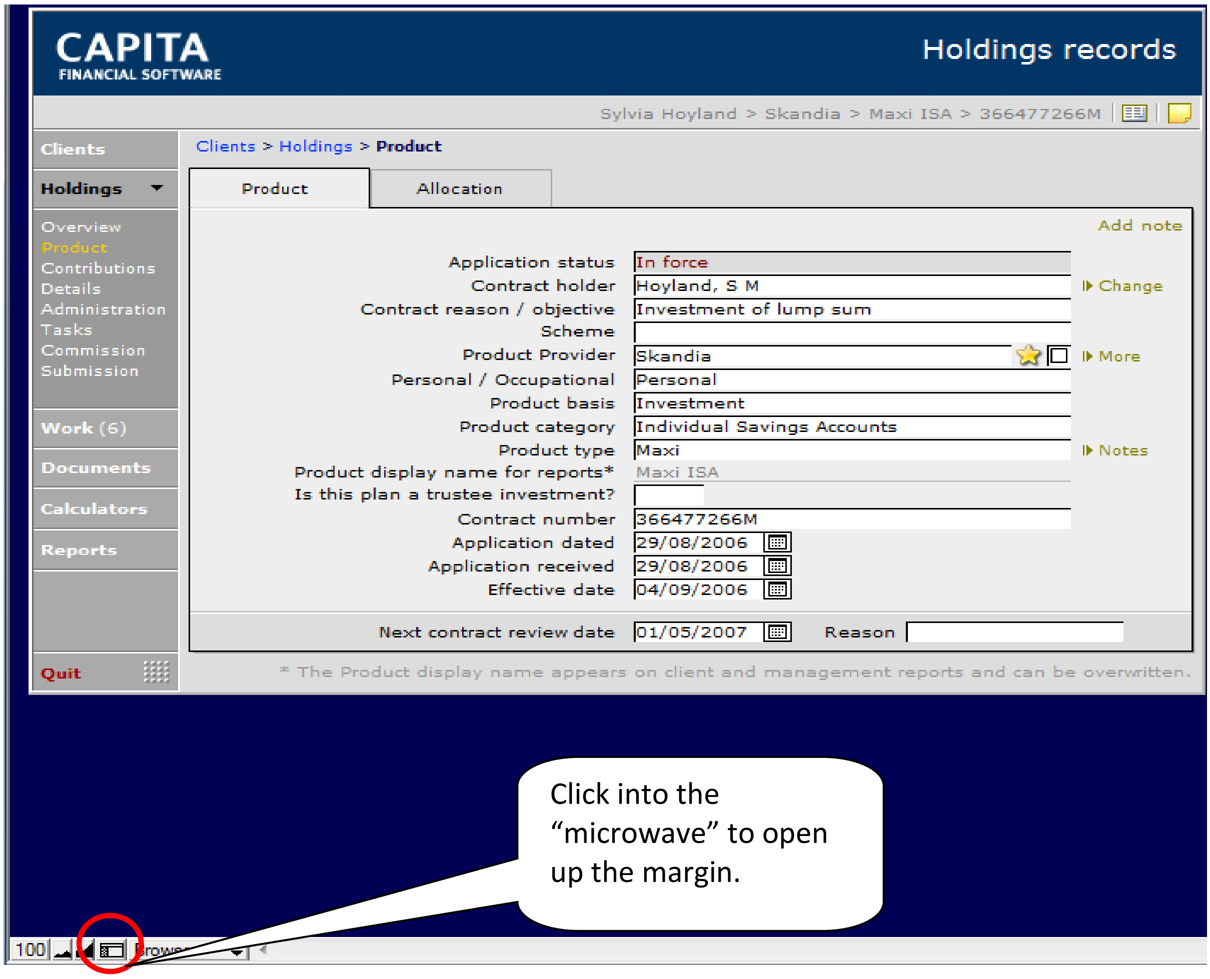
This option will not automatically present you with a list but will display one of the records in the found set. There are 2 ways to view all the found records. The first is to click onto the icon at the top of the screen for the list view.

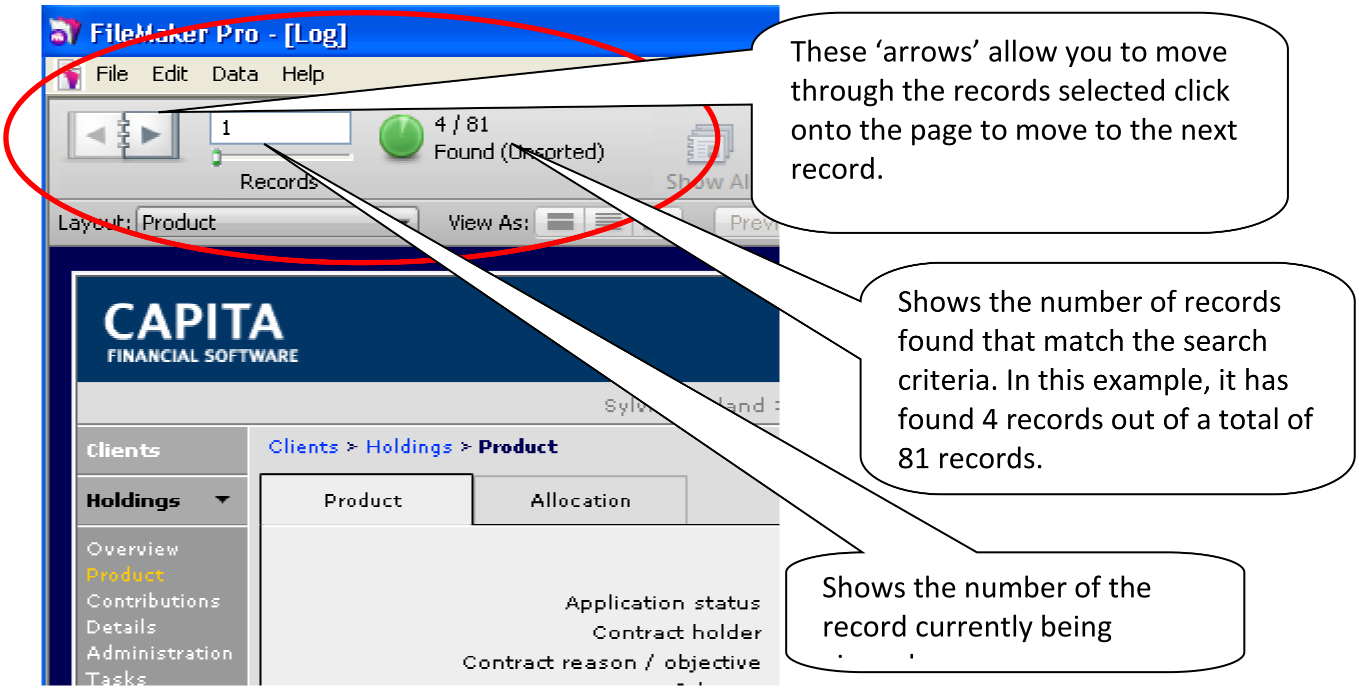
This will display a list of all the records that match the citeria with the option to switch straight to a marketing campaign.



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

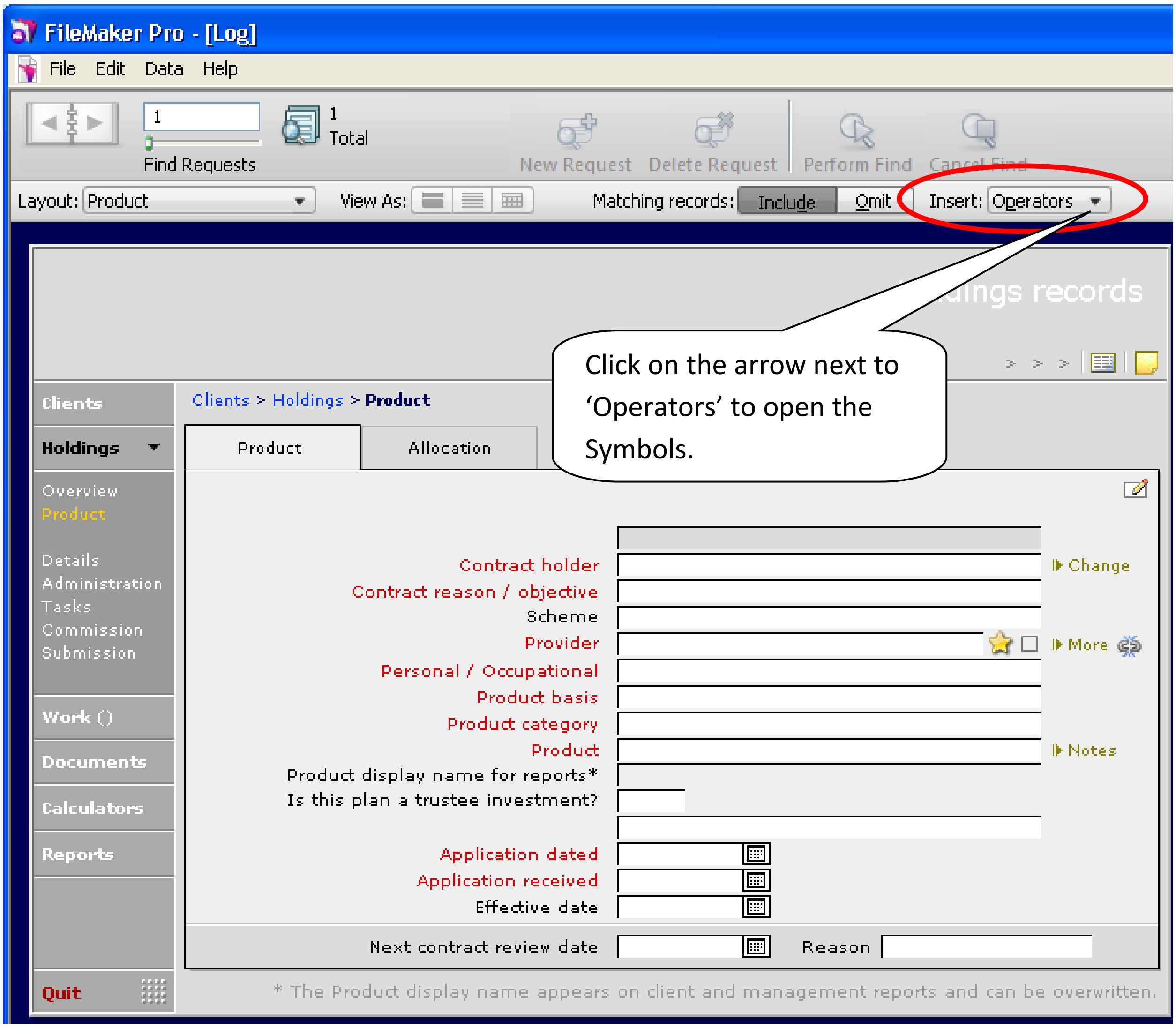
The second way to view records in a found set is to use the “microwave” on the bottom menu bar.

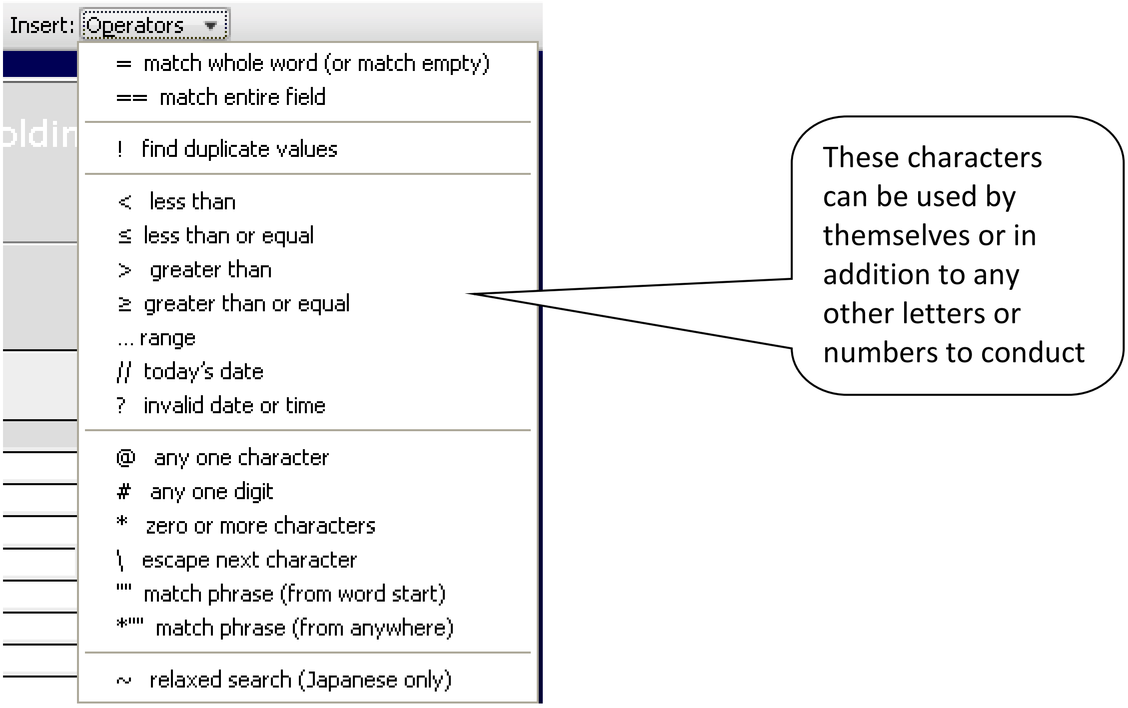

CAPITA
FINANCIAL SOFTWARE
Holdings records
Sylvia Hoyland > Skandia > Maxi ISA > 366477266M
Clients
Holdings
Overview
Product
Contributions
Details
Administration
Tasks
Commission
Submission
Work (6)
Documents
Calculators
Reports
Quit
Clients > Holdings > Product
Product
Allocation
Add note
Application status
In force
Contract holder
Hoyland, S M
Change
Contract reason / objective
Investment of lump sum
Scheme
Product Provider
Skandia
More
Personal / Occupational
Personal
Product basis
Investment
Product category
Individual Savings Accounts
Product type
Maxi
Notes
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.
100


FileMaker Pro - [Log]
File
Edit
Data
Help
1
4 / 81
Found (Unsorted)
Records
Layout: Product
View As:
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.
CAPITA
FINANCIAL SOFTWARE
Clients
Holdings
Overview
Product
Contributions
Details
Administration
Tasks
Clients > Holdings > Product
Product
Allocation
Application status
Contract holder
Contract reason / objective
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.



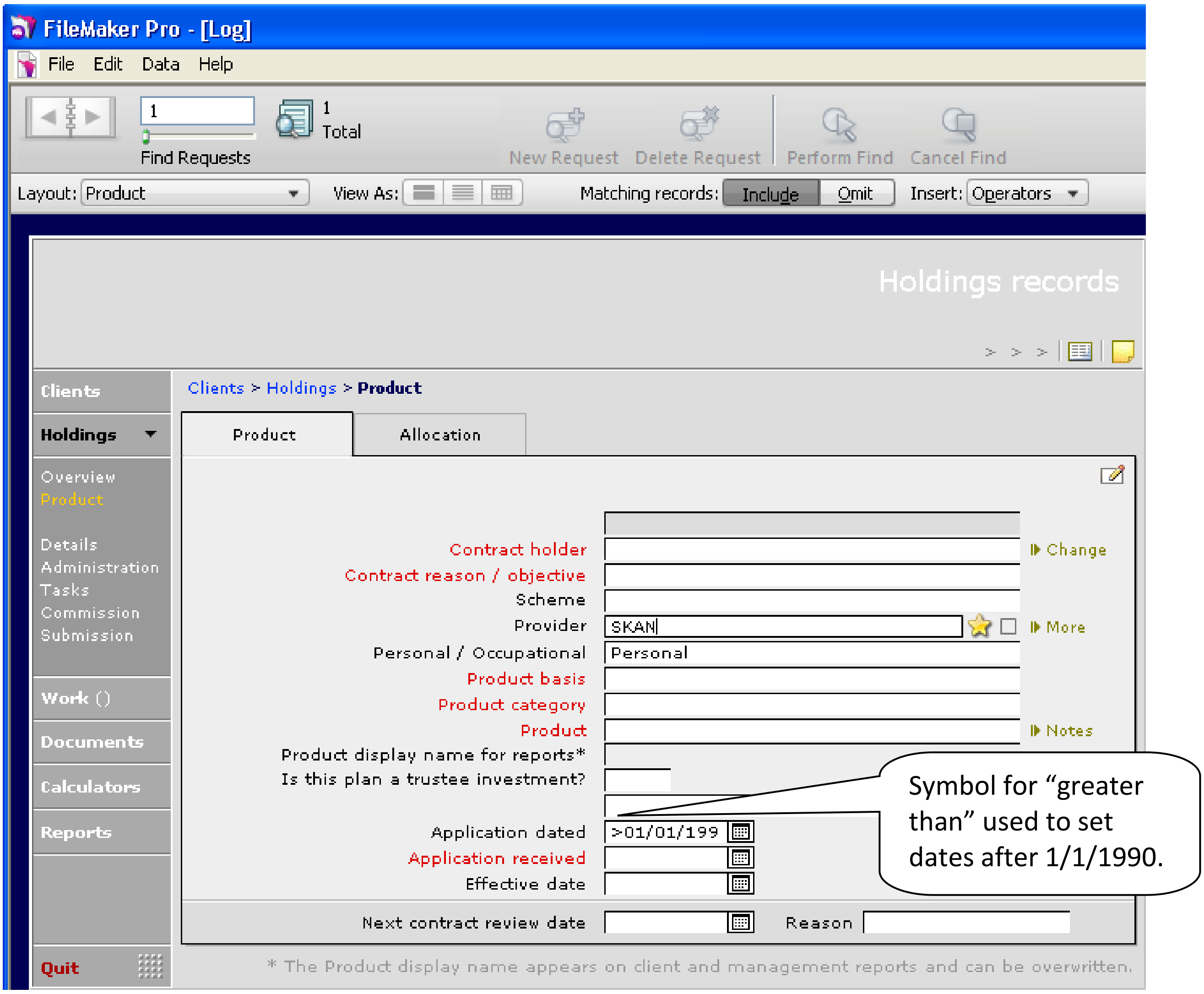


These symbols can be entered by simply clicking on the relevant box in CCD and then either click on the character on the list or you can free type the character from your keyboard.

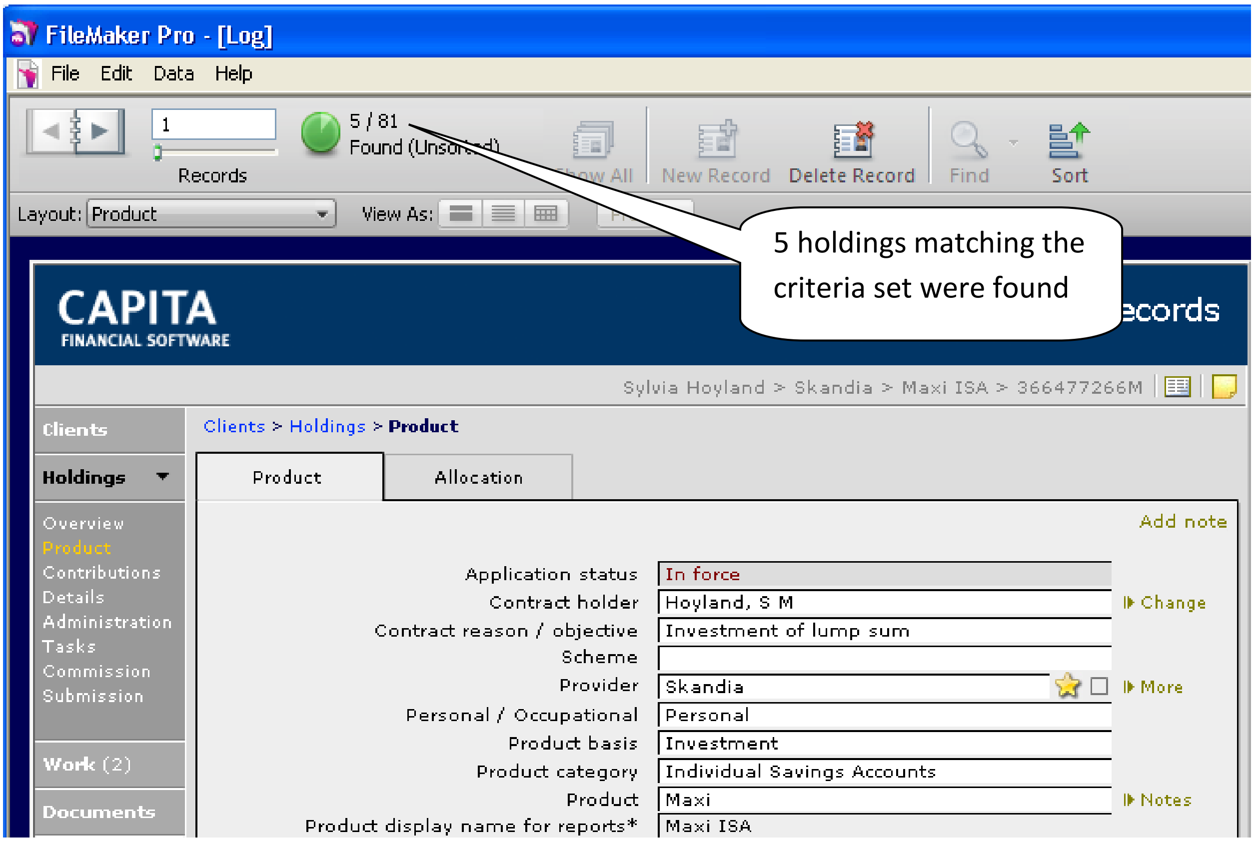
By ticking the omit option in the upper margin you will reverse the effect of the search i.e. search for everything except the criteria I have entered.

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:



The information is then returned.



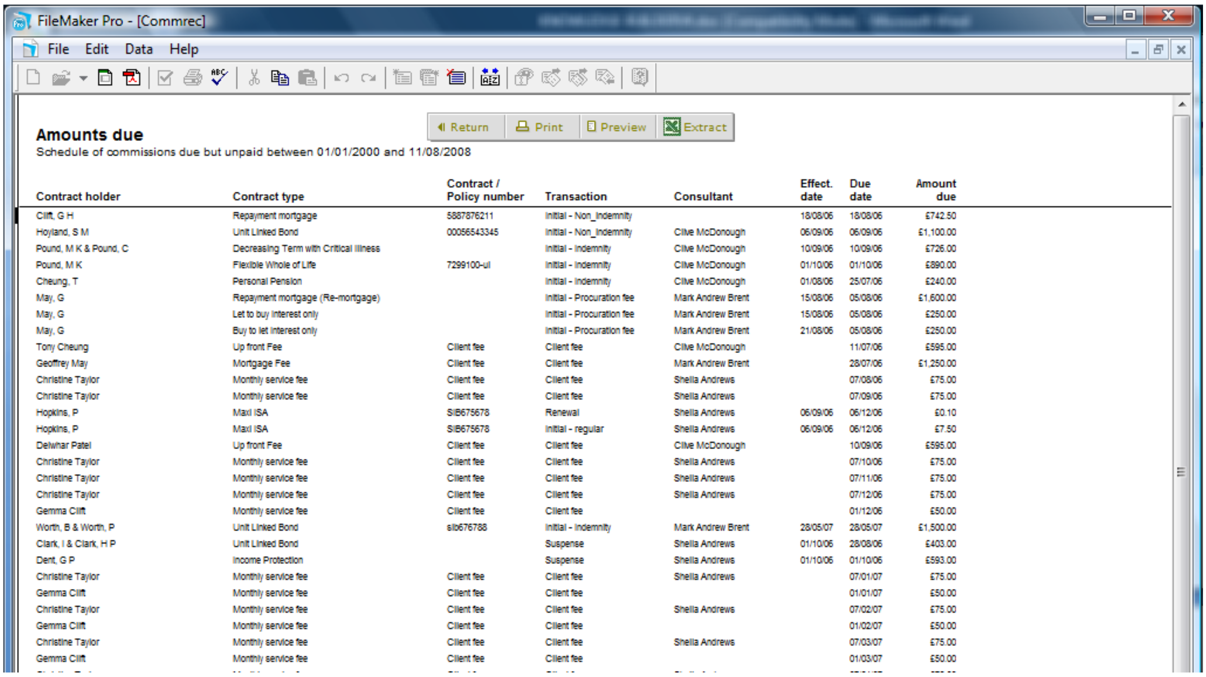
Care does need to be taken when using the symbols as you may get unexpected results. Remember that where you specify certain criteria the system will take this as literally correct.

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

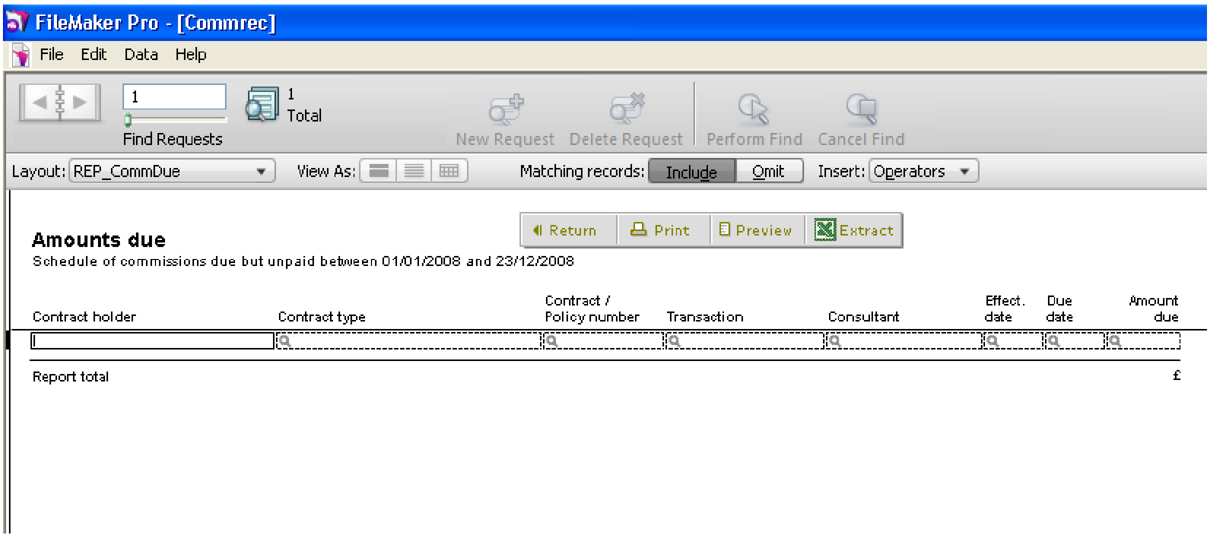
The same search principals can be applied to the reports in CCD however care needs to be taken when doing this as some reports are specifically titled. Most reports created at client level will show the clients name at the top of the report therefore modifying the search on that style of report will 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).

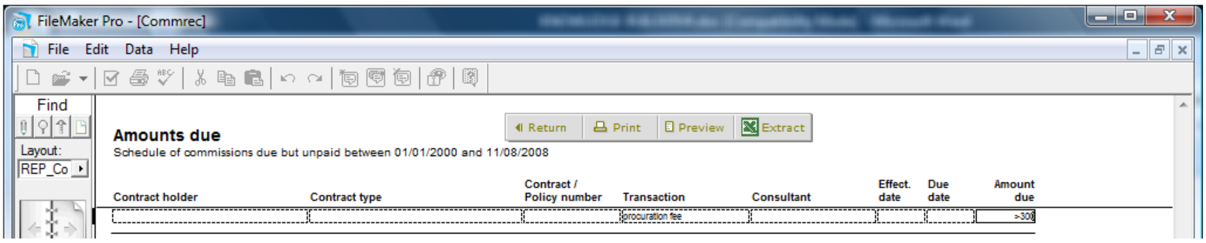


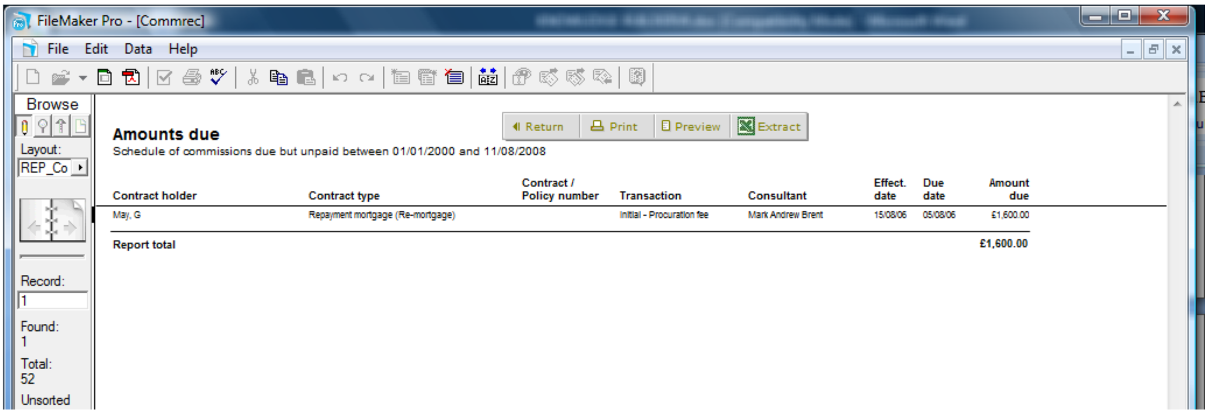
As before to conduct a search use both the margin (microwave) and the find mode (filemaker menu bar – data – find – find mode).

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



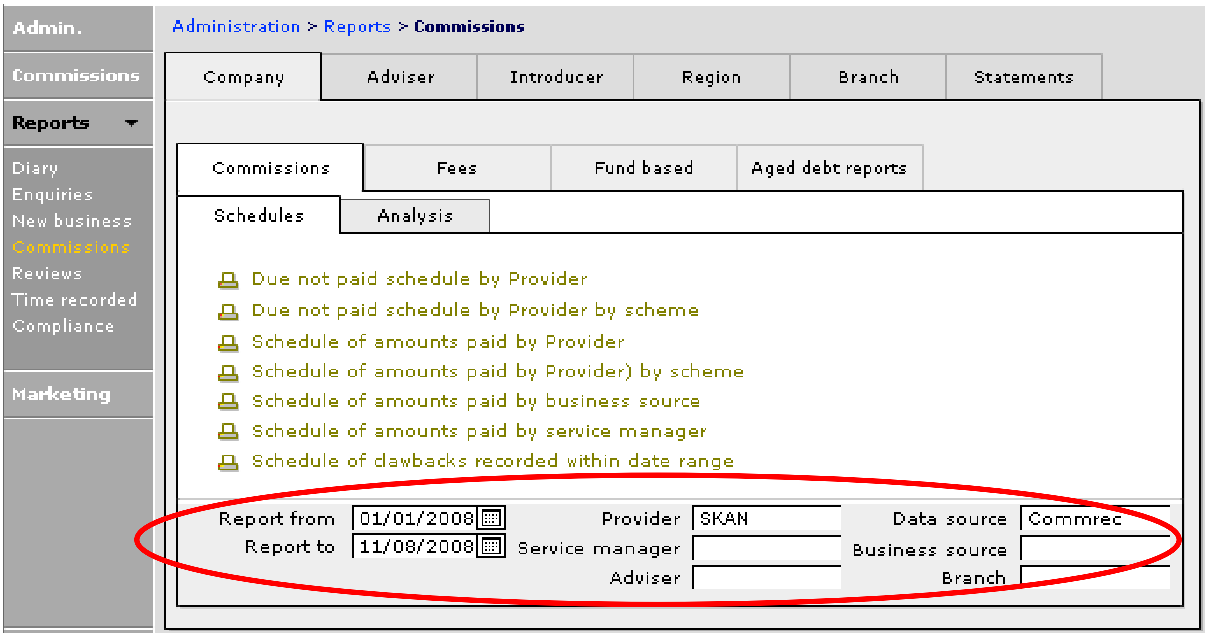
The example below shows how to find any unpaid procuration fee where it is greater than £300.

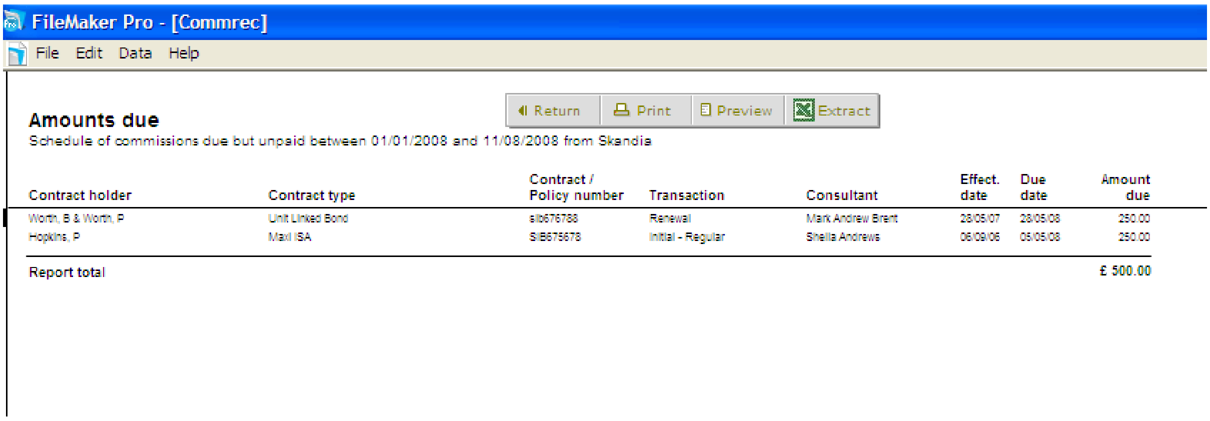




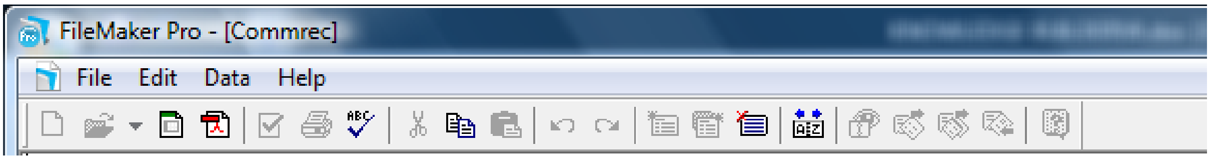
7.3.1. Modify Search

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

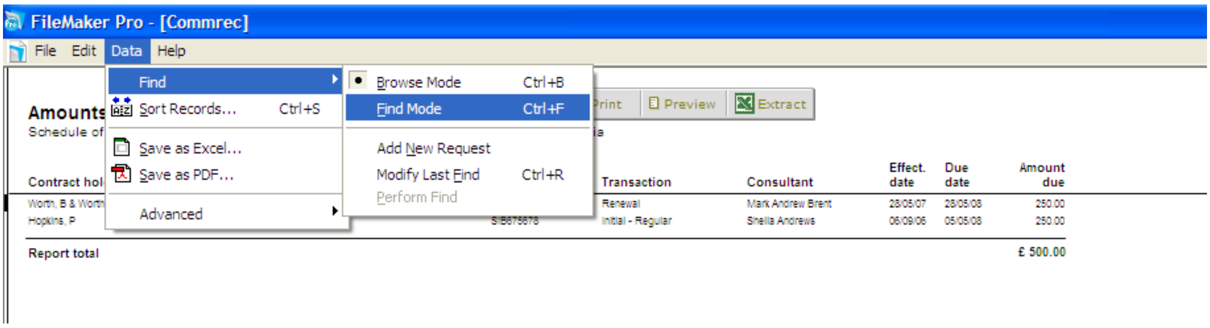




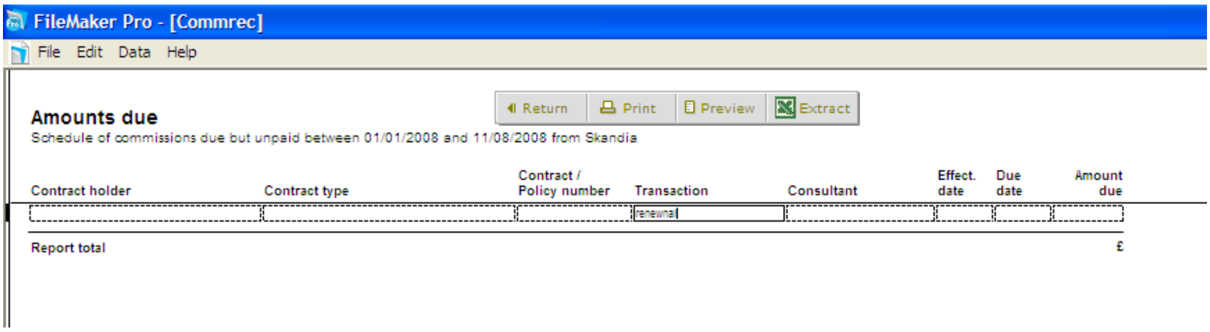
Once you have your report on screen you will see at the top of the screen the FileMaker toolbar



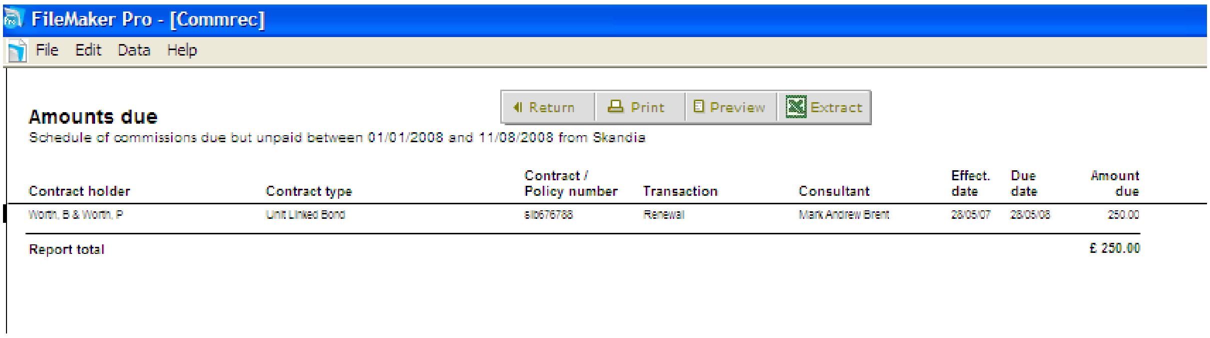
Click into Data and then find and then Modify last find.



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



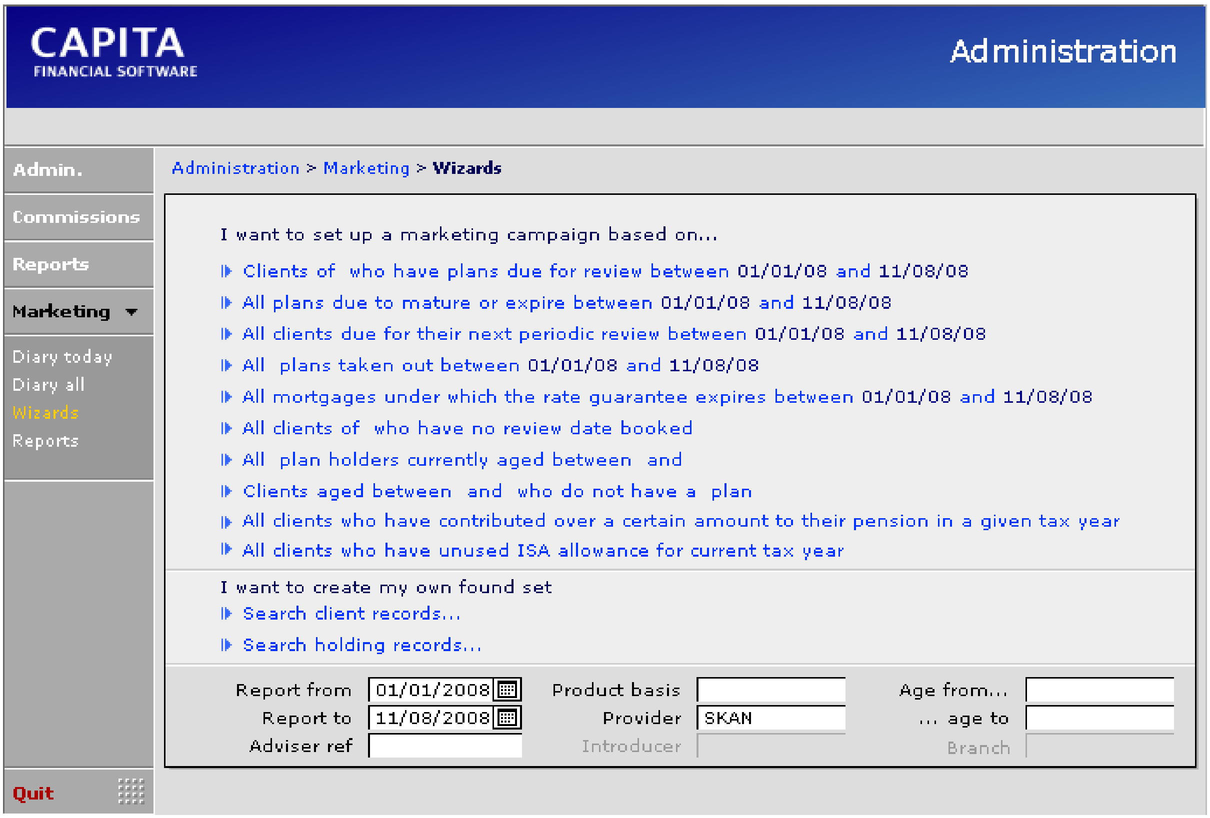
By pressing enter on the keyboard the report will now apply your new criteria to the report, retaining the original report details.



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.

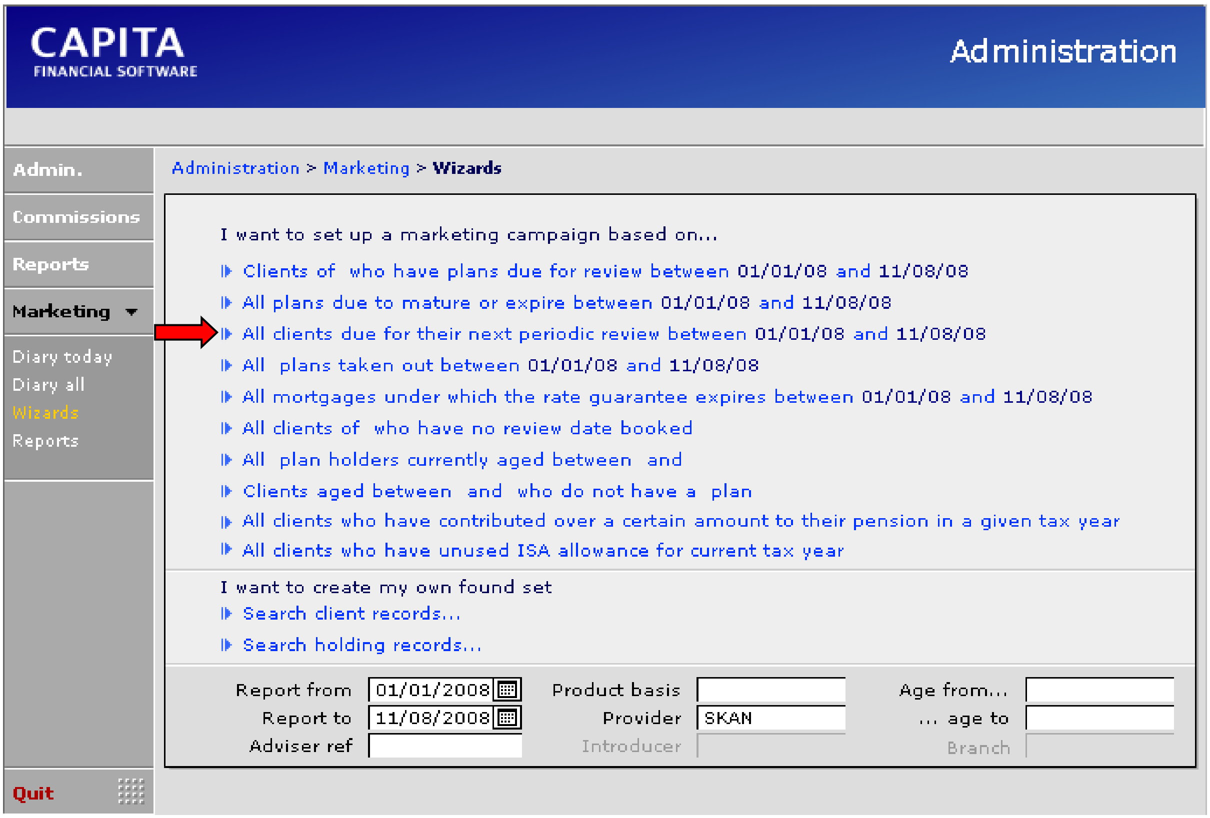
8. USING A STANDARD MARKETING WIZARD

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

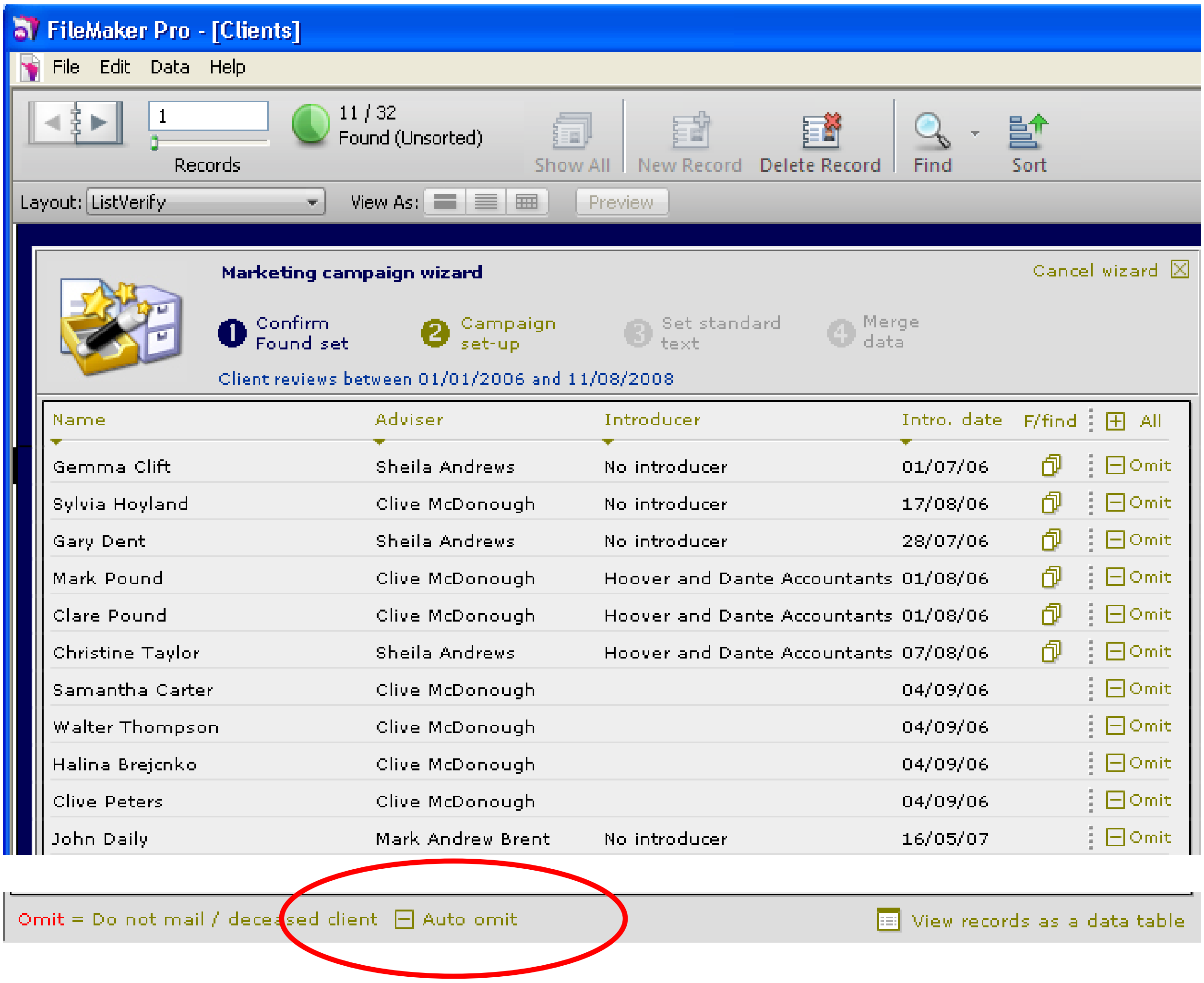


The screen is split into two parts. The upper nine links need to be completed by using the options at the bottom of the screen. The other two links below allow you to create your own searches.

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



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



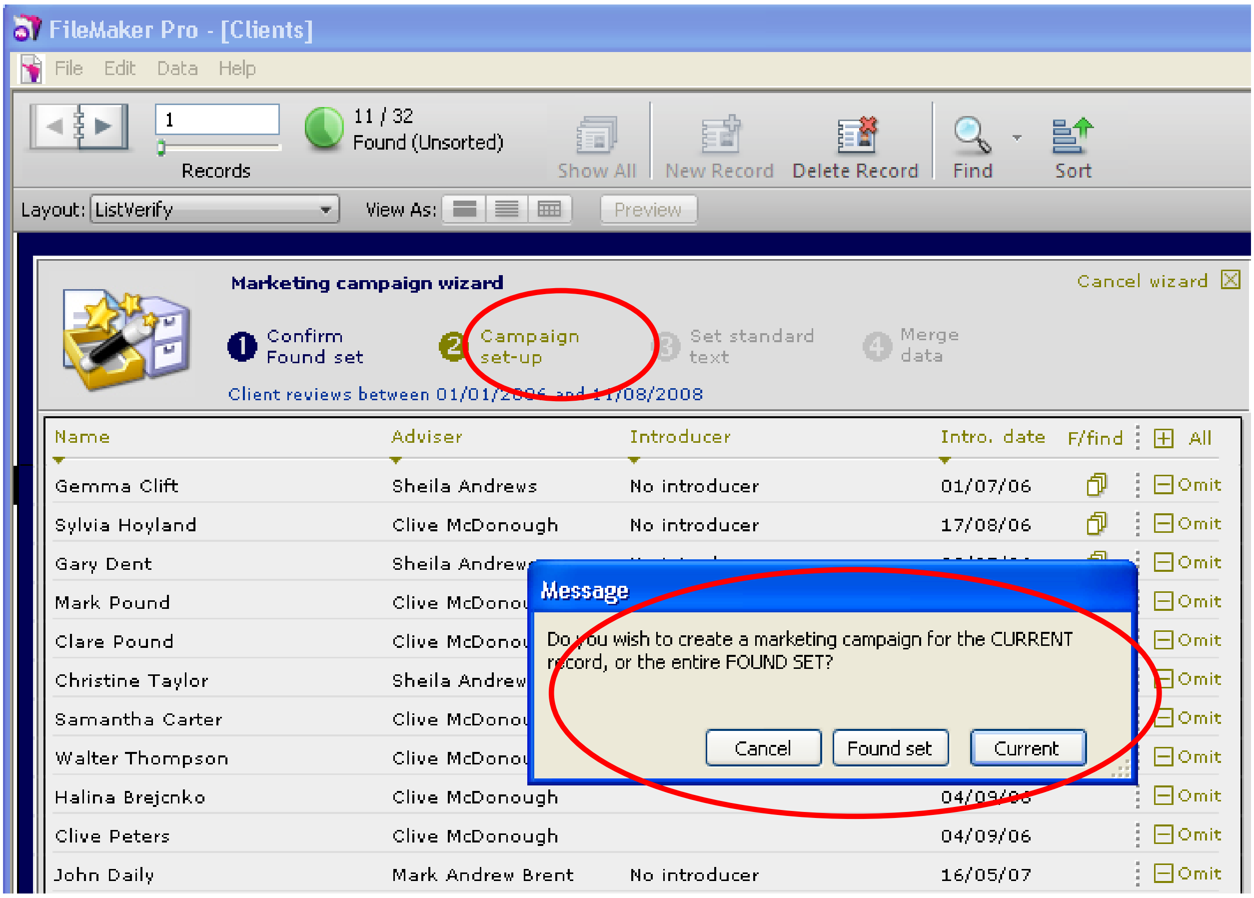
At this point you have the option to omit any clients that you do not wish to contact, or that have the deceased/do not mail flag logged against their record. To omit the records already flagged as deceased/do not mail use the link at the bottom of the page.

To omit individual records use the 

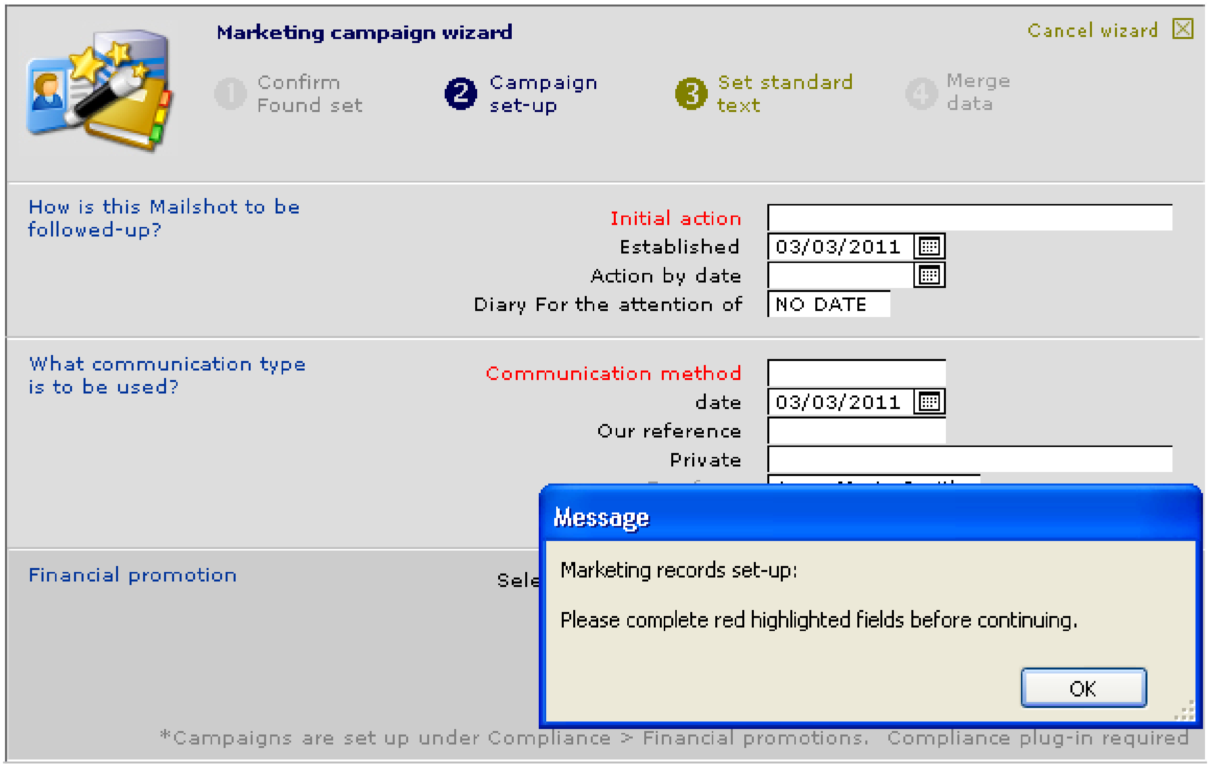
at the end of each record.

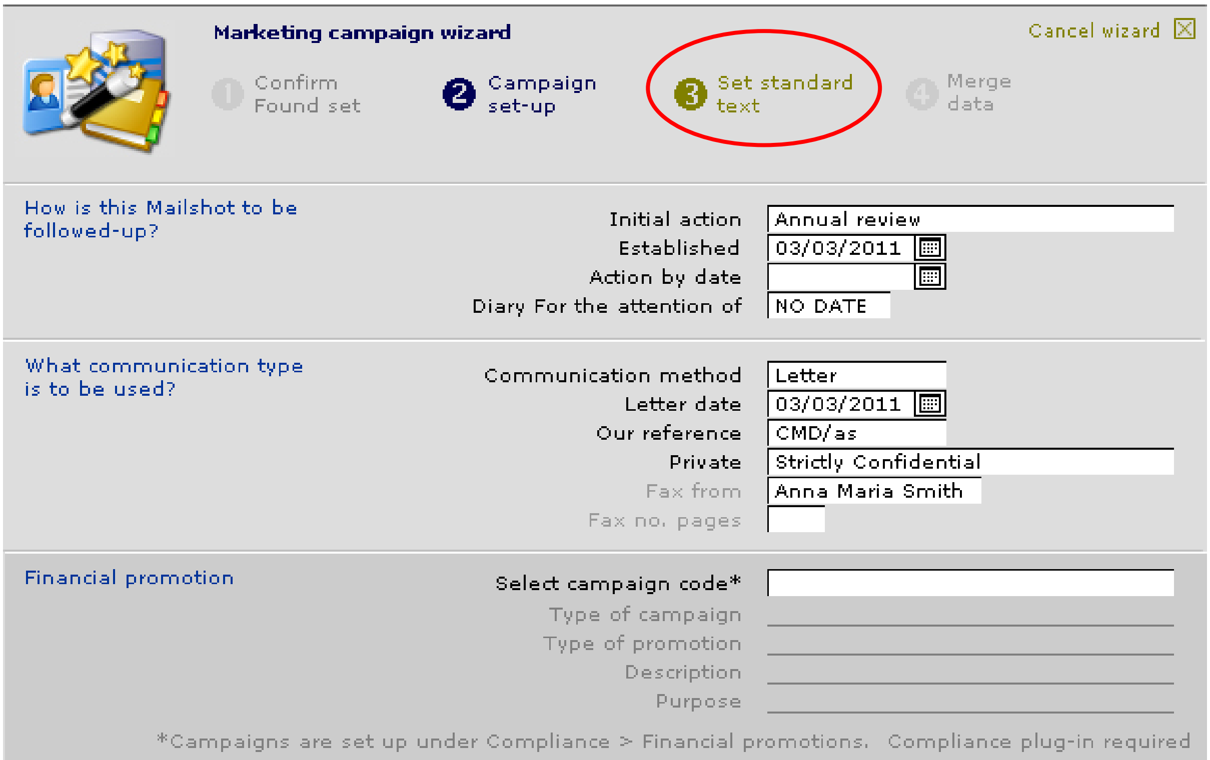
You now need to follow the four steps across the top of the screen to complete the marketing wizard.

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



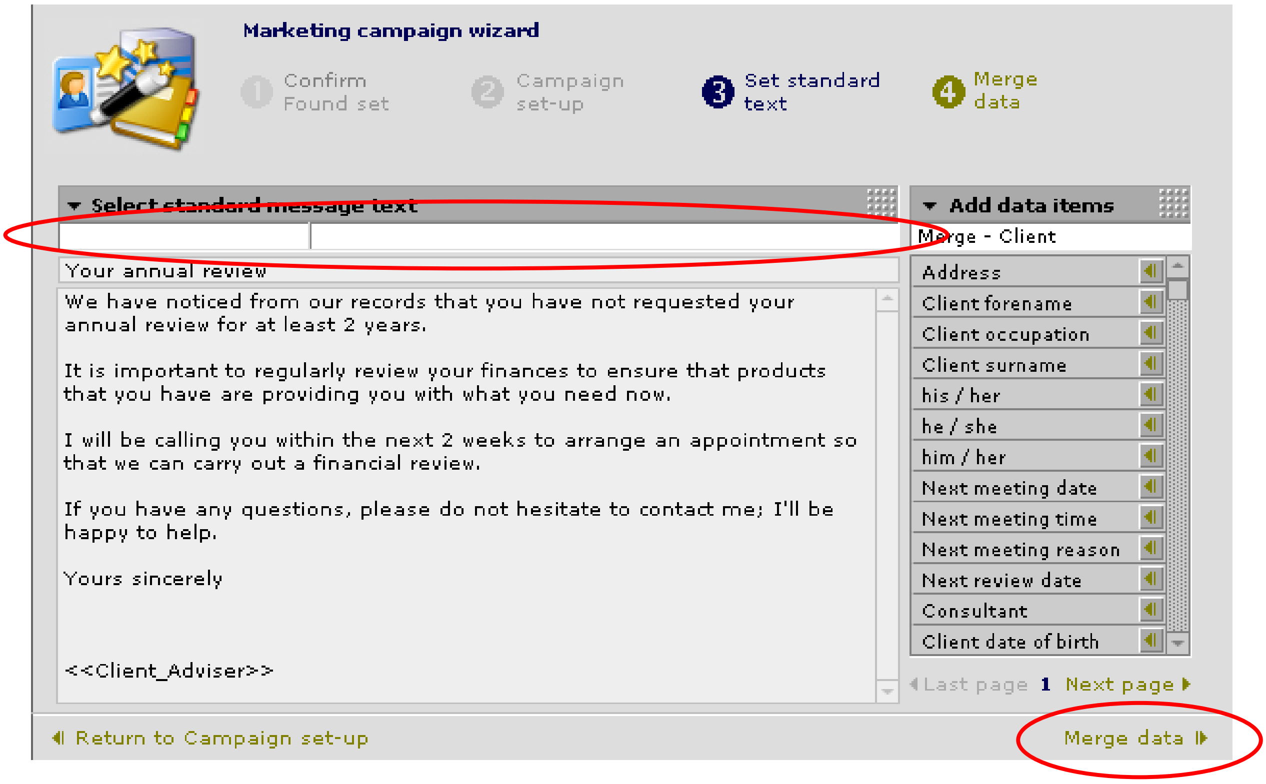
The following screen will now appear:





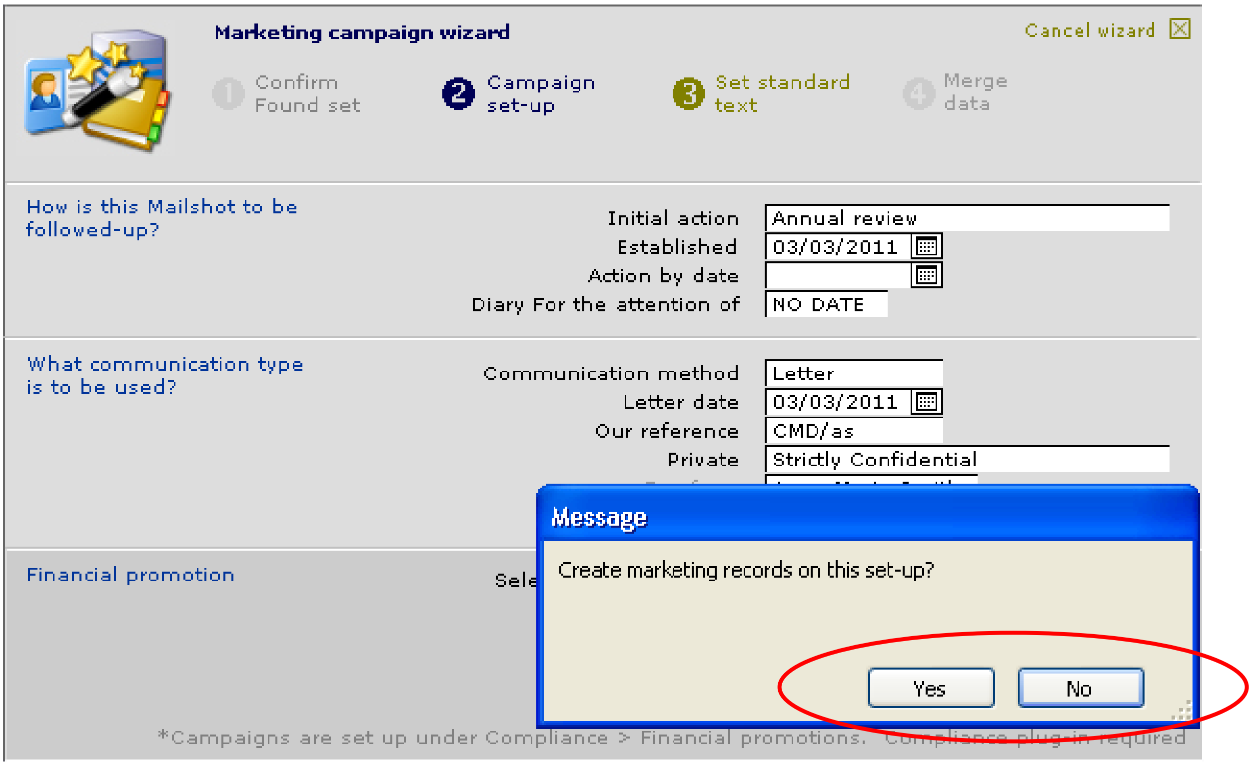
Complete the fields as required. If the Compliance module is being used to monitor campaigns select the campaign code from the drop down box.

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.



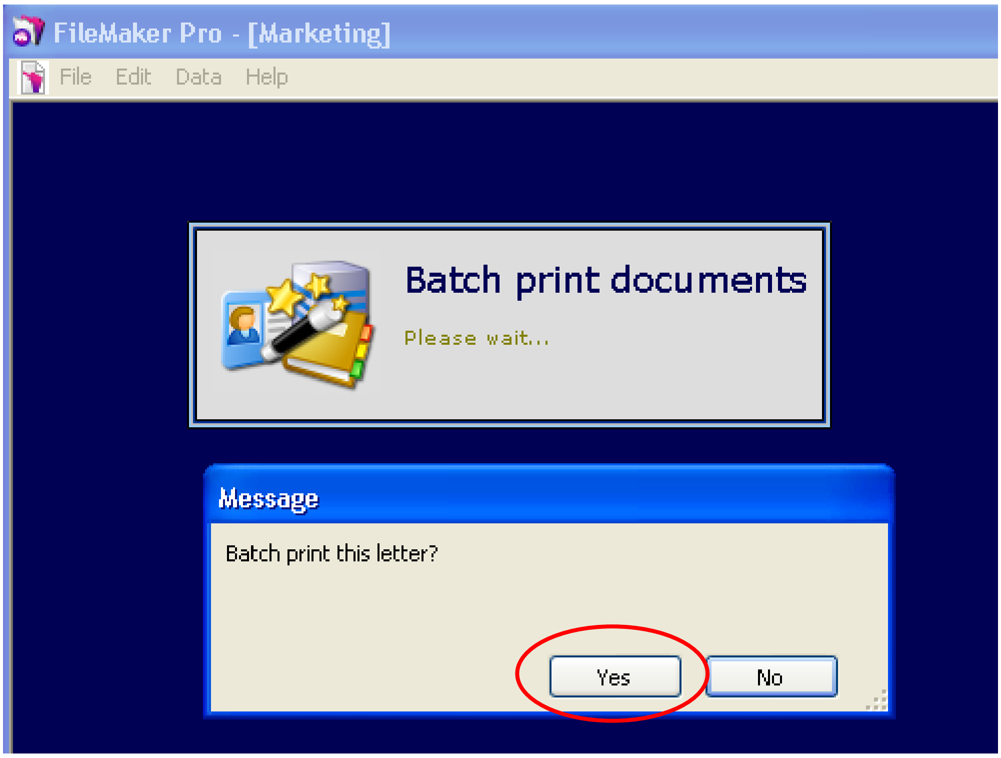
Select/type/create your letter using merge fields where required in exactly the same way as in Work/Tasks.

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

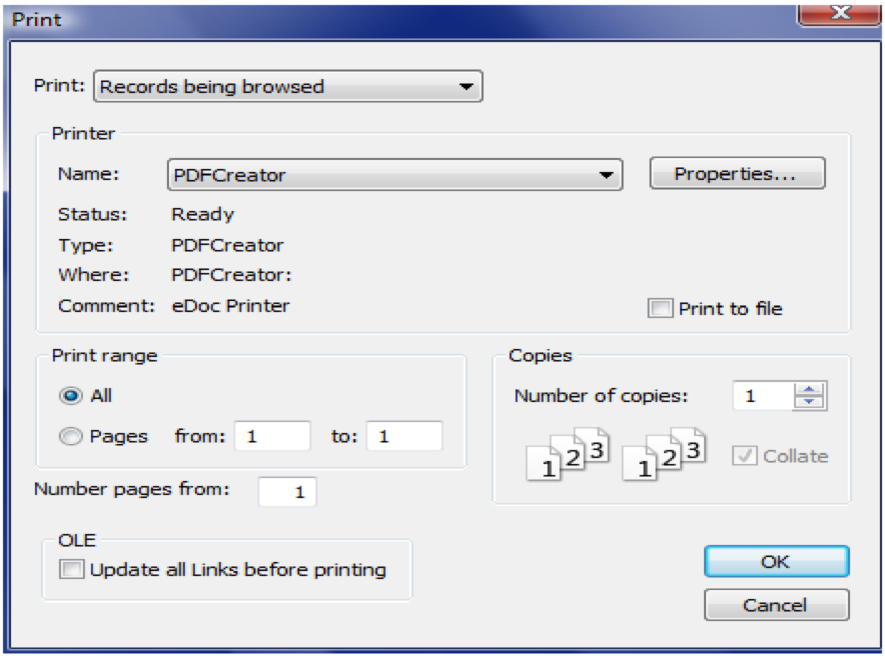


Once the data has been merged you will get the option to view the letters or to batch print them.

- 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.

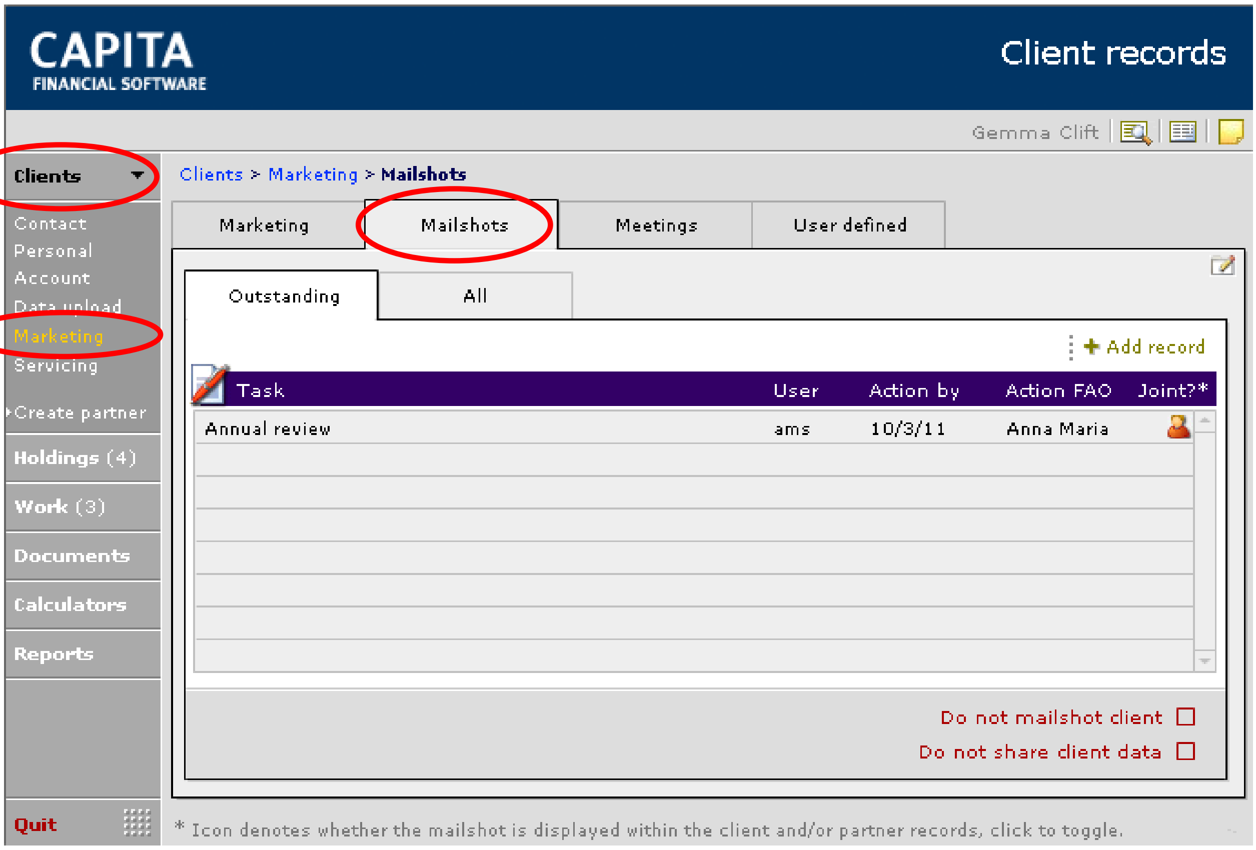
It is also possible to view each letter by using View Letter dated 03 March 2011 for Gemma Clift. There will be an arrow at the top of the page, which allows scrolling through the letters.

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.

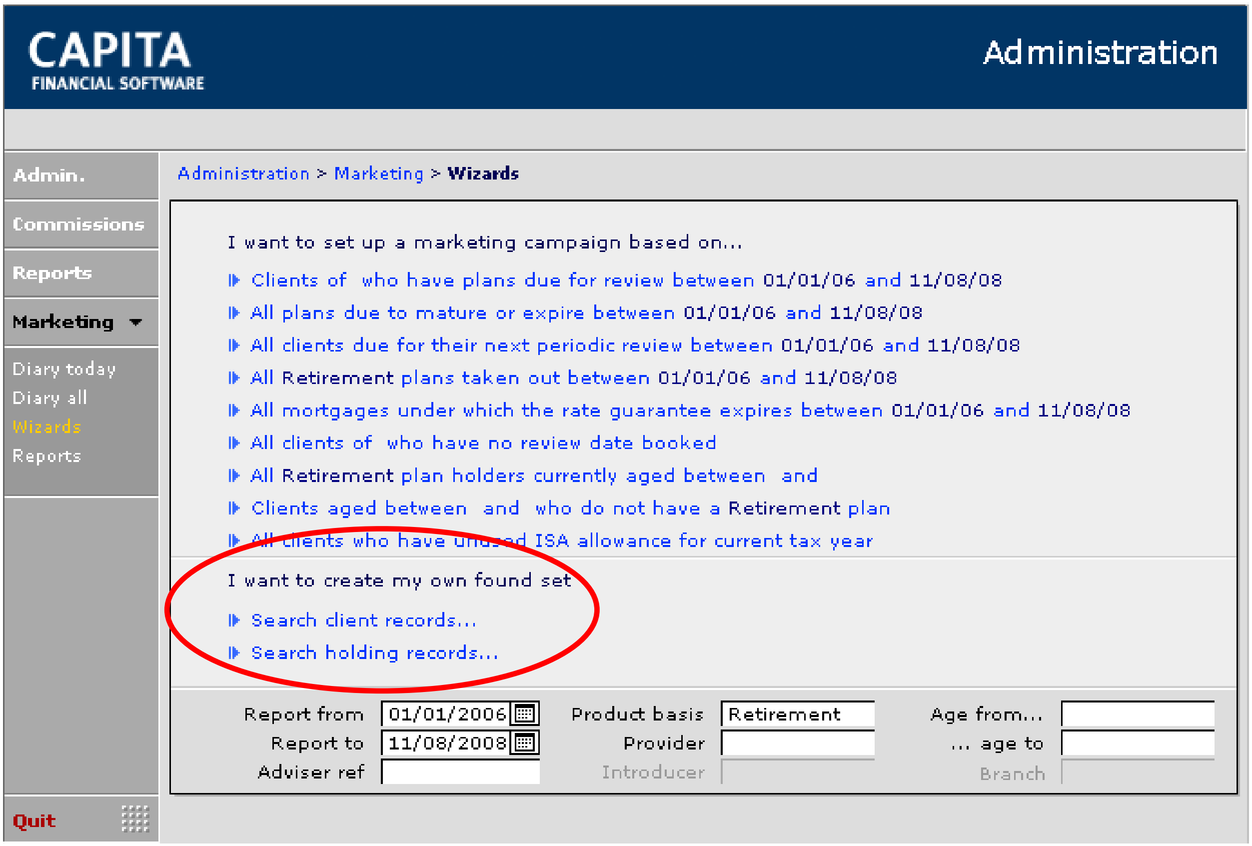


If a date was set for the work to be done by, then the marketing record will appear in 'Outstanding'. All completed campaigns will show in the all tab.

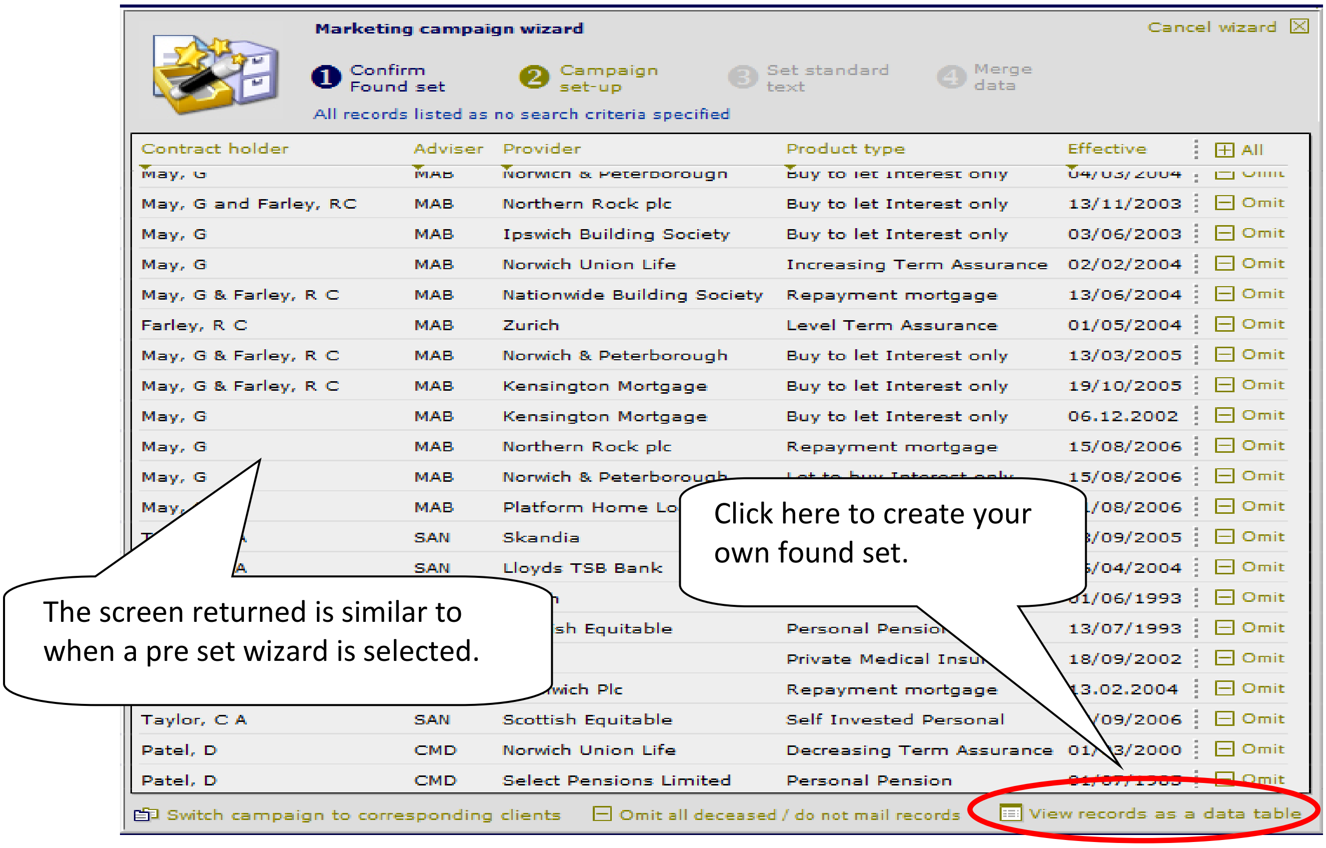
To view the details of the campaign click into the relevant line, you will be able to make any additional notes, complete the task or view the letter that was sent.

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.

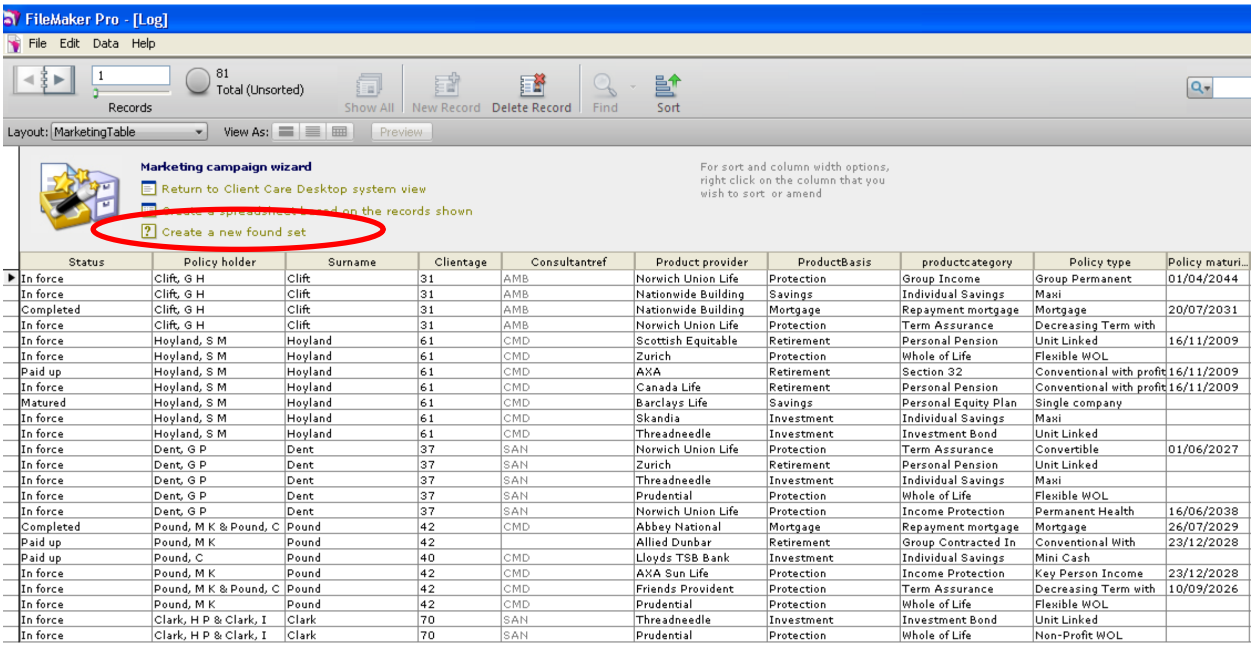


The example below shows the screen to Search holding records.



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

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

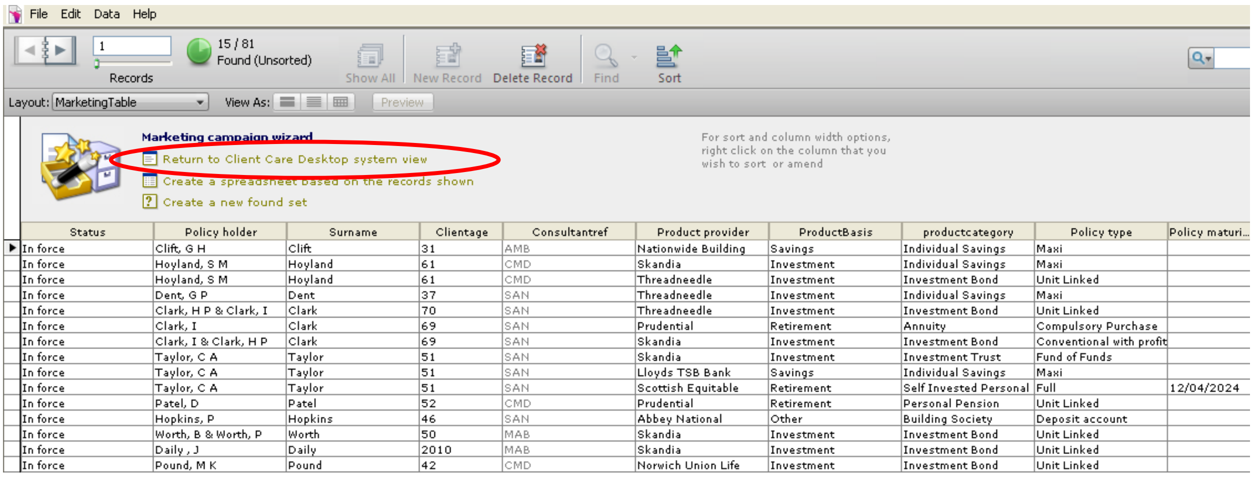


Status	Policy holder	Surname	Clientage	Consultantref	Product provider	ProductBasis	productcategory	Policy type	Policy maturi...
In force	Clift, G H	Clift	31	AMB	Norwich Union Life	Protection	Group Income	Group Permanent	01/04/2044
In force	Clift, G H	Clift	31	AMB	Nationwide Building	Savings	Individual 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		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.

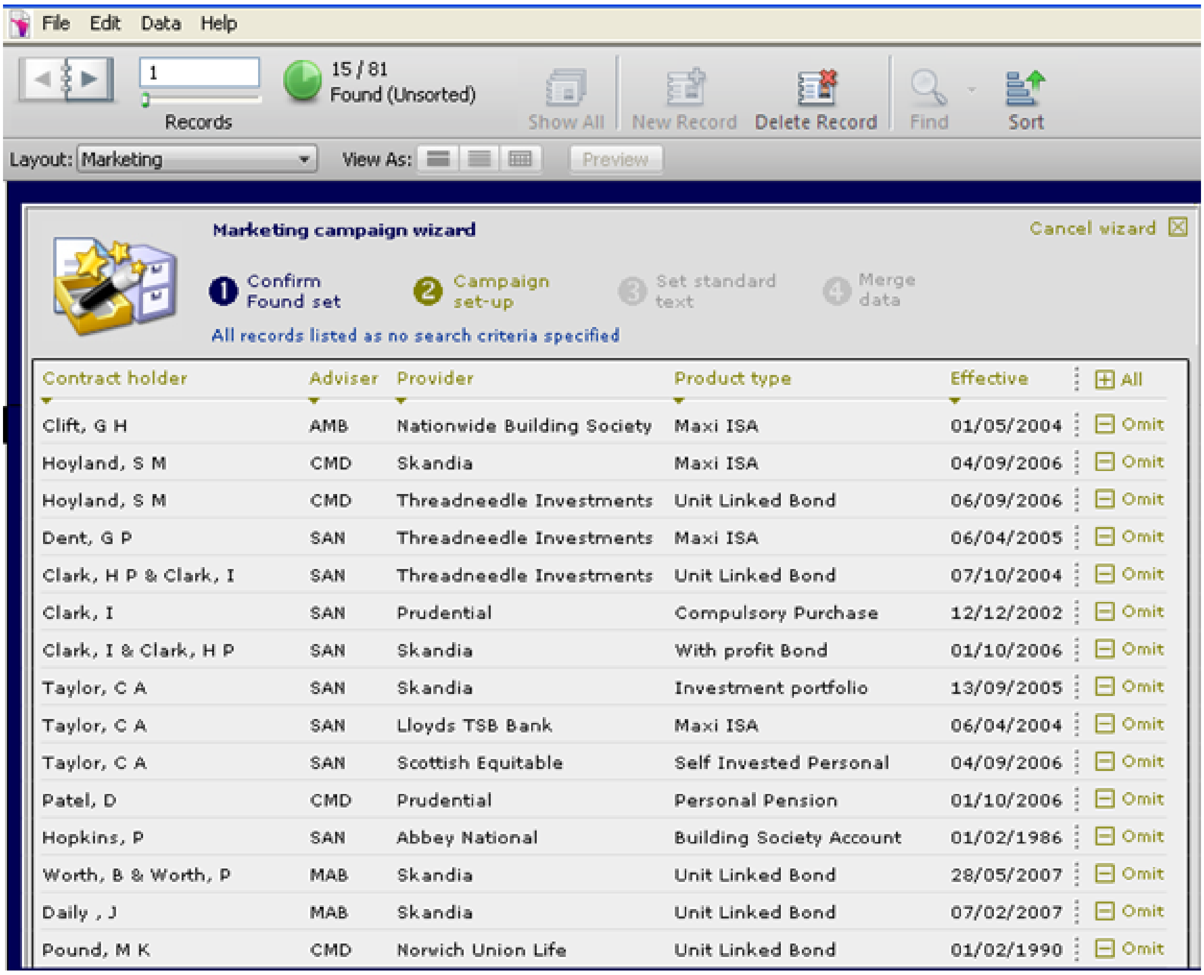
policy number	Policy Joint	Introducer	Value bid	Valuation_D...	Current cont...	::policy frequency	level indexed
					>2000	S	

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



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	

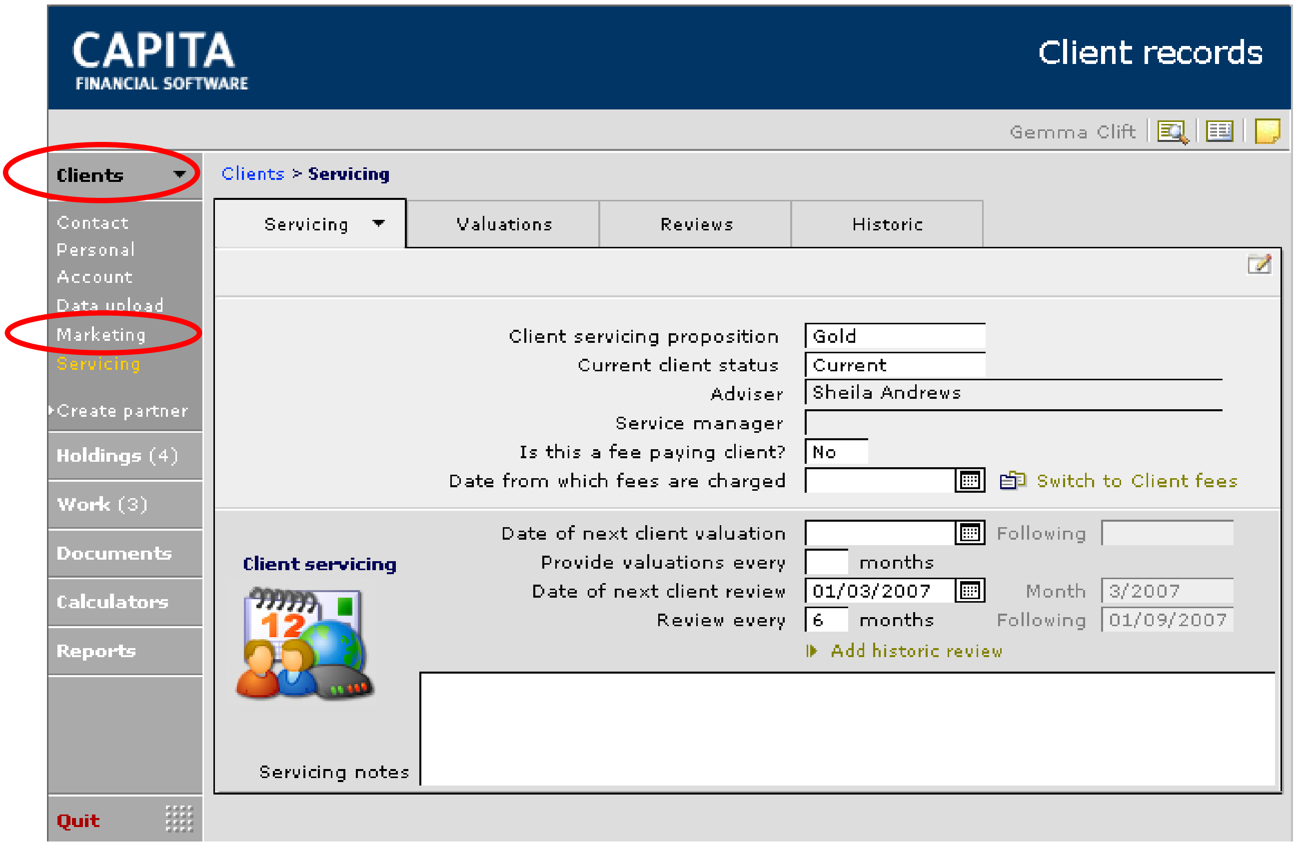
Click onto the Return to Client Care Desktop system view .



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

11. CLIENT SERVICING

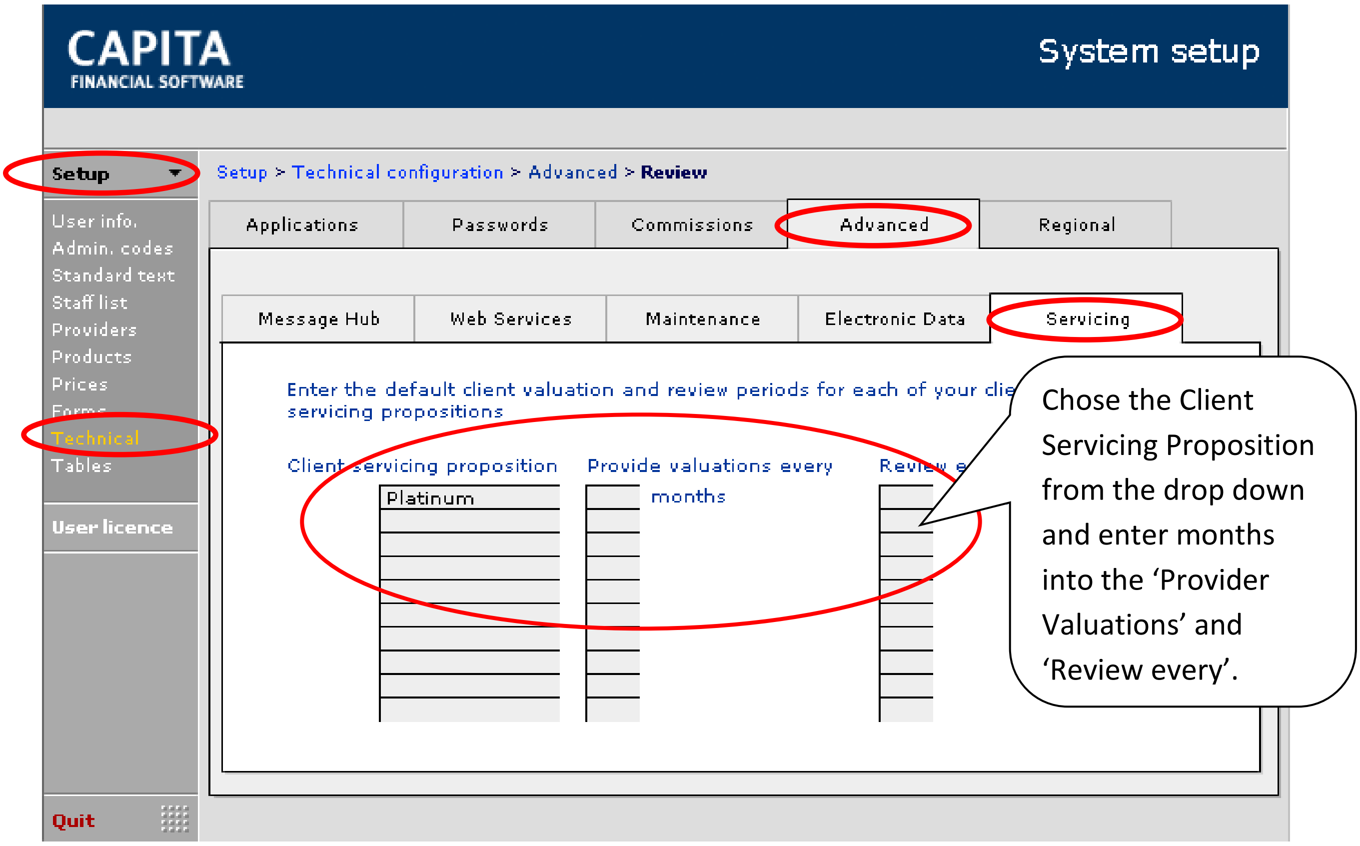
Within the Clients Servicing screens there are a number of fields that can be completed in order to record next review and valuation dates.

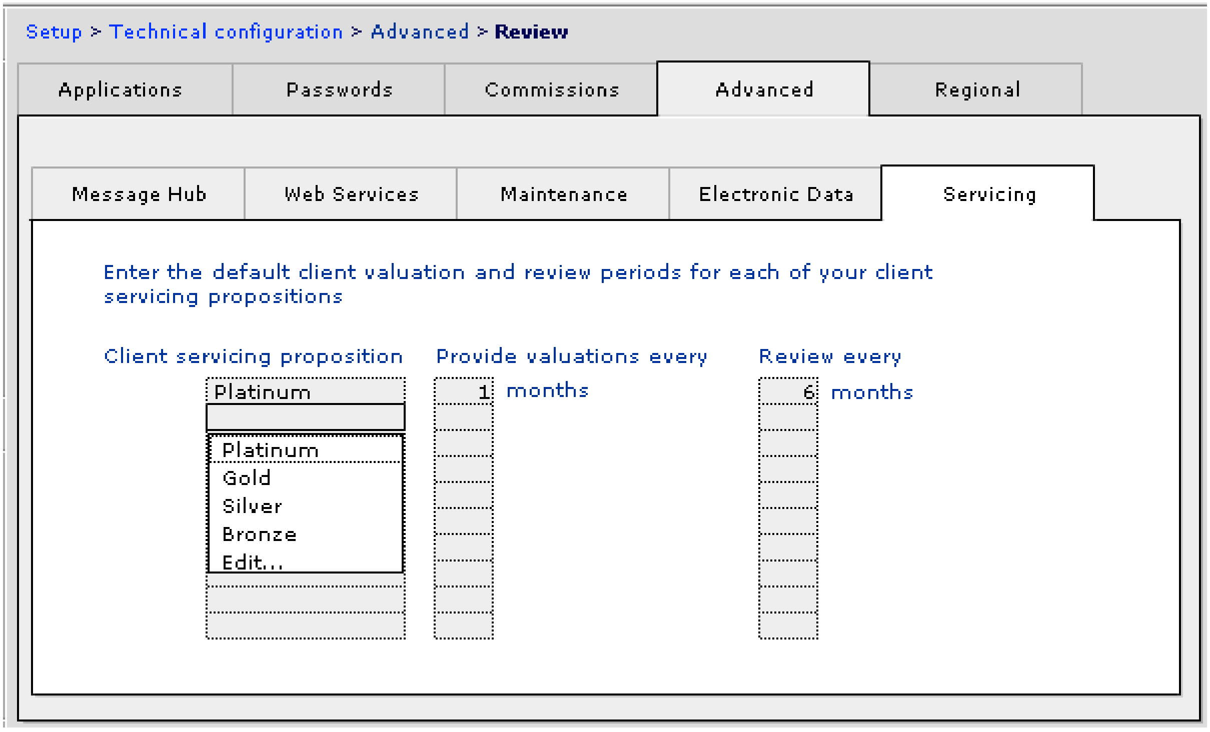


The top half of the servicing screen shows general information regarding the servicing proposition for the client. The bottom half of the screen allows more detailed information to be added around valuations and reviews.

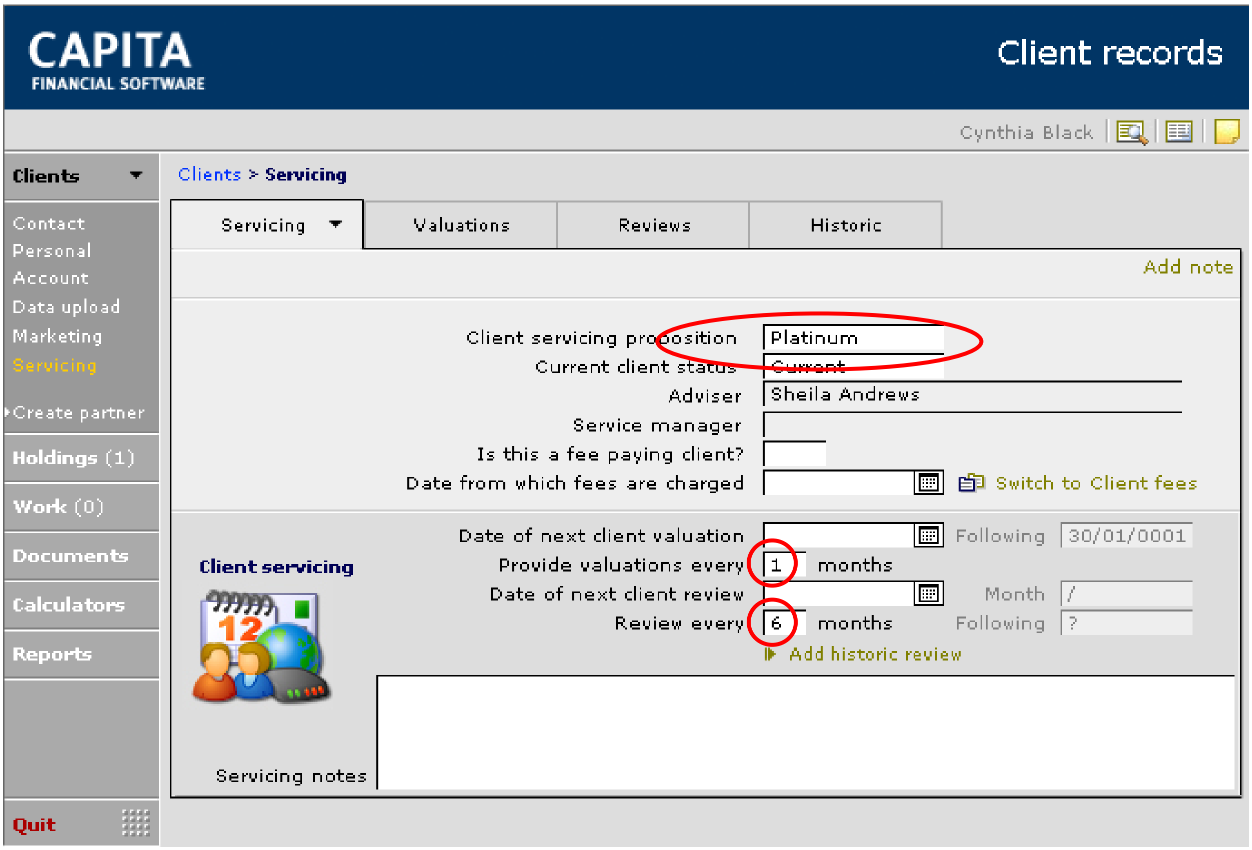
It is possible to set up some standard servicing information within the Setup>Technical of CCD. For instance, part of your servicing proposition to 'Platinum' clients may be to send valuations every 3 months and offer a review every 6 months. However for 'Gold' clients, it could be a valuation every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

This can be set up as follows:

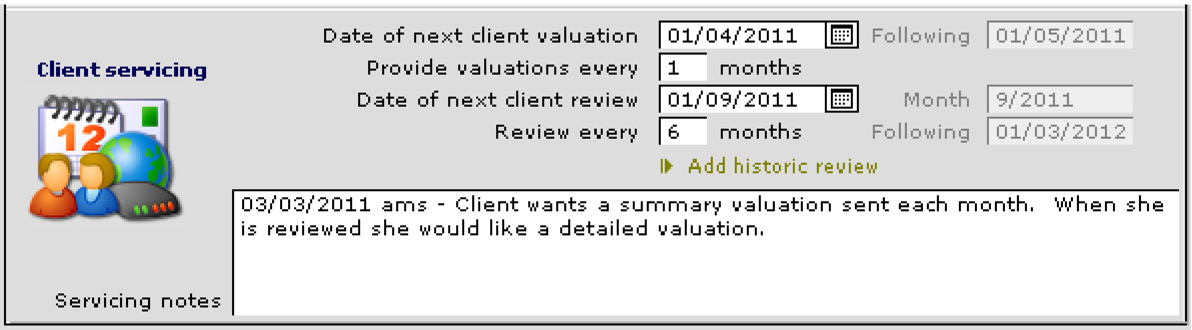

CAPITA FINANCIAL SOFTWARE
System setup
Setup
User info.
Admin. codes
Standard text
Staff list
Providers
Products
Prices
Forms
Technical
Tables
User licence
Quit
Setup > Technical configuration > Advanced > Review
Applications
Passwords
Commissions
Advanced
Regional
Message Hub
Web Services
Maintenance
Electronic Data
Servicing
Enter the default client valuation and review periods for each of your client servicing propositions
Client servicing proposition
Provide valuations every
Review every
Platinum
months
Chose the Client Servicing Proposition from the drop down and enter months into the 'Provider Valuations' and 'Review every'.


Setup > Technical configuration > Advanced > Review
Applications
Passwords
Commissions
Advanced
Regional
Message Hub
Web Services
Maintenance
Electronic Data
Servicing
Enter the default client valuation and review periods for each of your client servicing propositions
Client servicing proposition
Provide valuations every
Review every
Platinum
1
months
6
months
Platinum
Gold
Silver
Bronze
Edit...

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

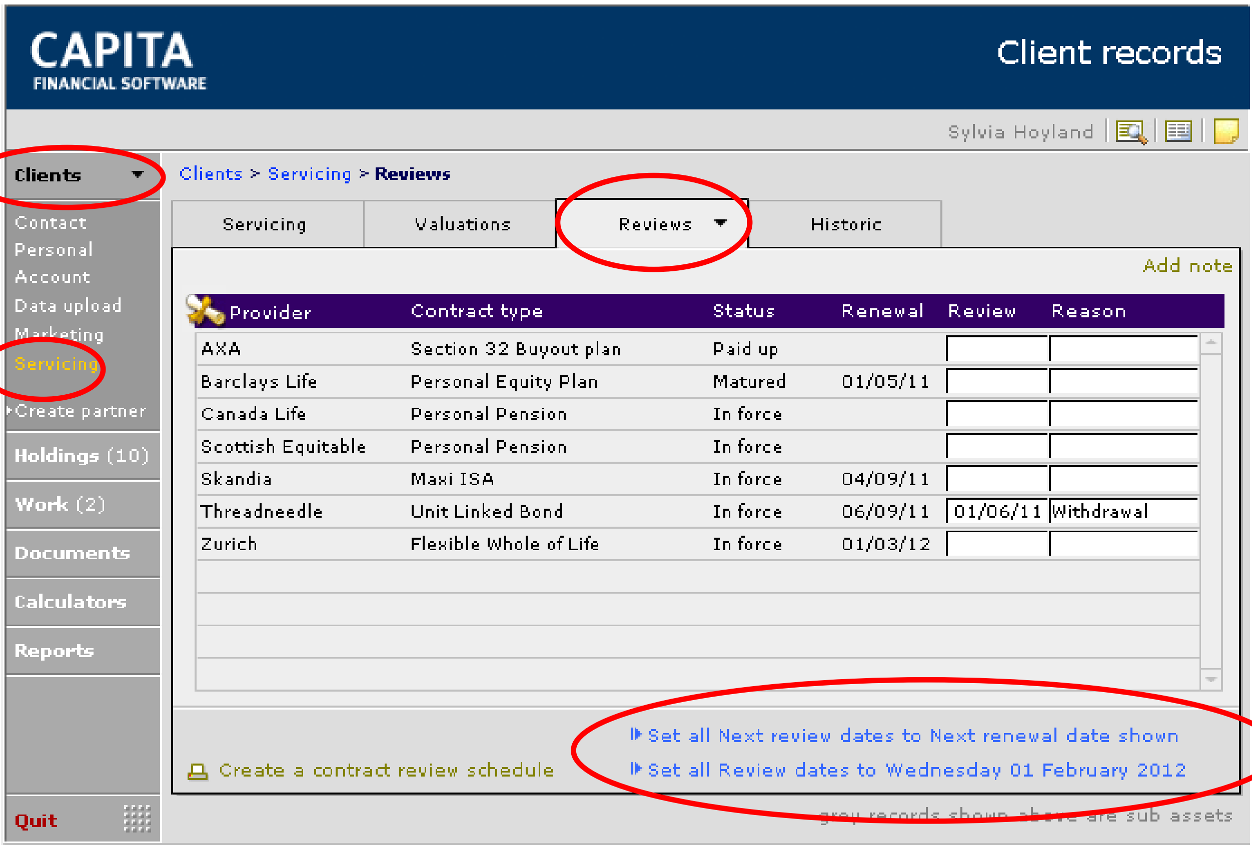


Just complete the 'Date of the next client valuation' and 'Date of next client review'.



Additional notes for servicing this client can be added.

11.1. Holding Reviews

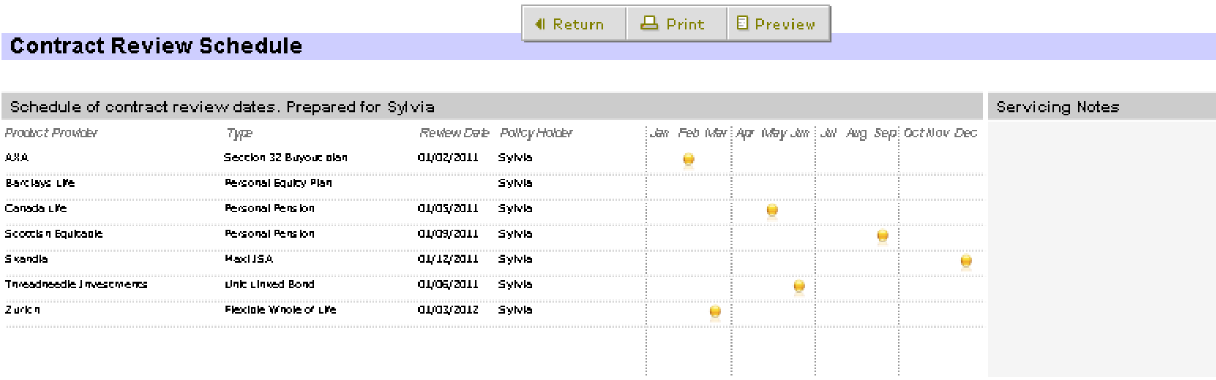


All the clients' current policies/holdings will be listed. Any review dates that have been entered on the individual policies will pre-populate the screen.
If no dates have been entered on the individual policies then there are 2 other options. Both show as blue links at the bottom of the page.

Set all Next review dates to Next renewal date shown - will take the renewal date of the policy as the review date and input this date into the review column.

Set all Review dates to 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.



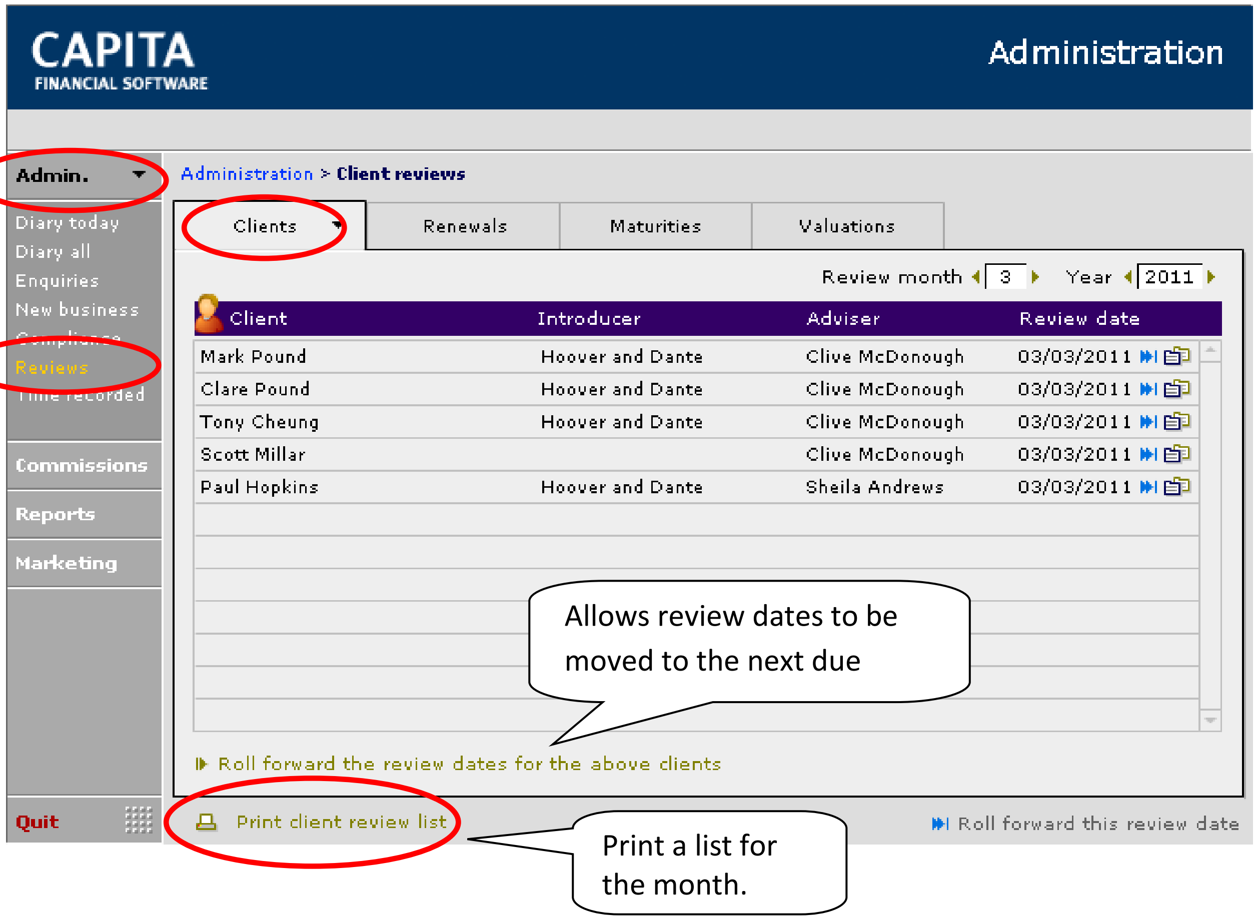
Product Provider	Type	Review Date	Policy Holder
AXA	Section 32 Buyout plan	01/02/2011	Sylvia
Barclays Life	Personal Equity Plan		Sylvia
Canada Life	Personal Pension	01/05/2011	Sylvia
Scottish Equitable	Personal Pension	01/09/2011	Sylvia
Skandia	Maxi ISA	01/12/2011	Sylvia
Threadneedle Investments	Unit Linked Bond	01/06/2011	Sylvia
Zurich	Flexible Whole of Life	01/03/2012	Sylvia

11.2. Admin reviews section

The Admin Module within CCD contains screens and reports to help you to remember to contact your clients when they are due to be reviewed. Within Admin > Reviews you will see a series of screens outlining when clients should be contacted.

11.2.1 Client Reviews

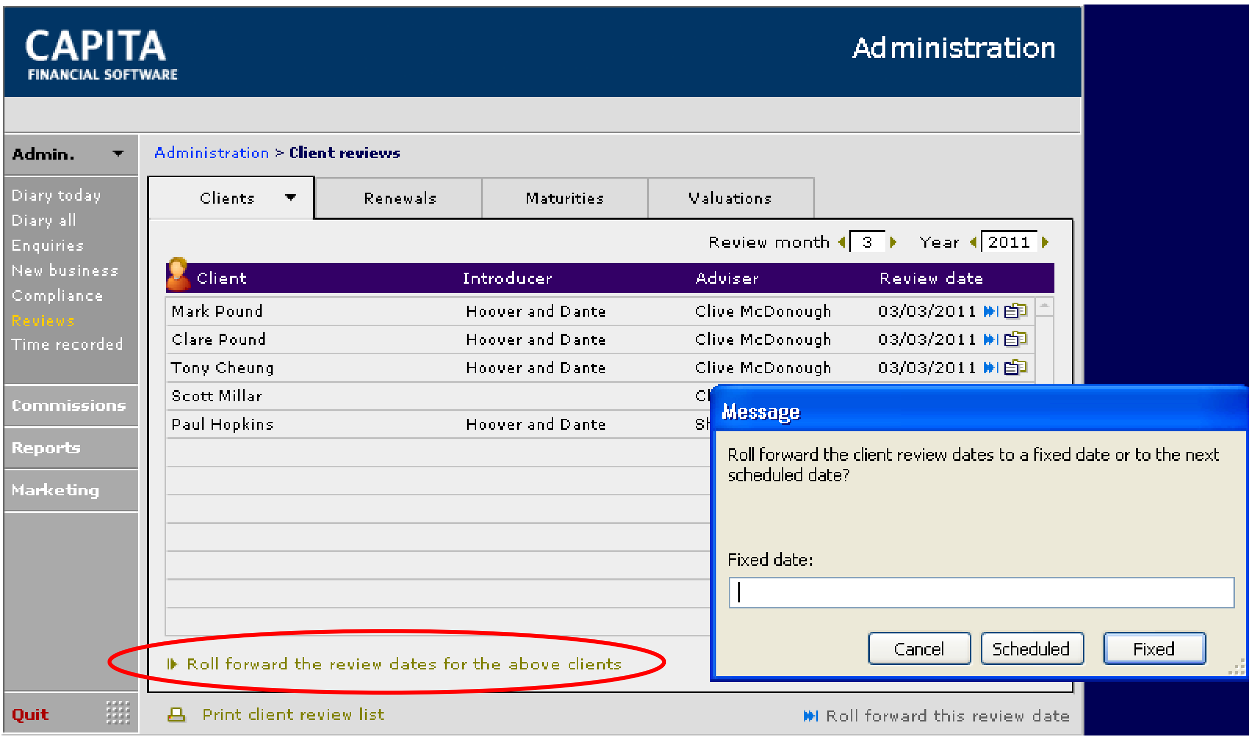
The first screen shows any clients due for review within a specified month and year. These dates can be changed using the arrows next to the relevant box.



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.

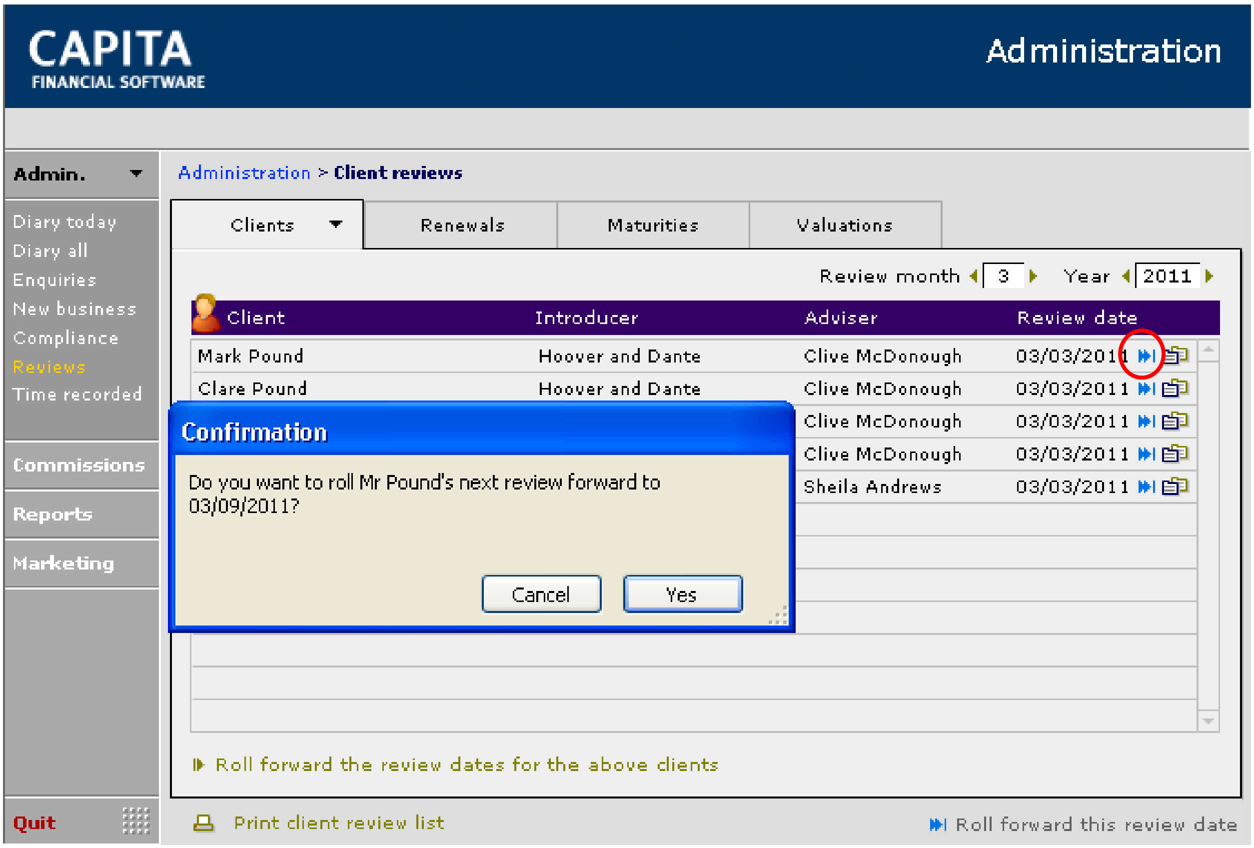
If the button is used to roll forward all dates, the following appears:



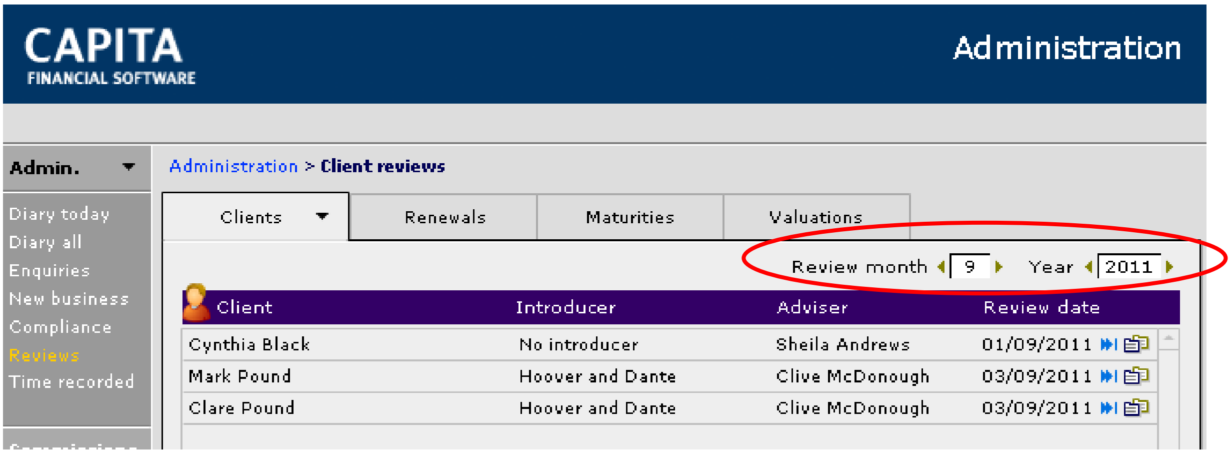
If the Review dates are to be rolled over to their next scheduled dates (as shown in Clients > Servicing) use the 'Scheduled' button.

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

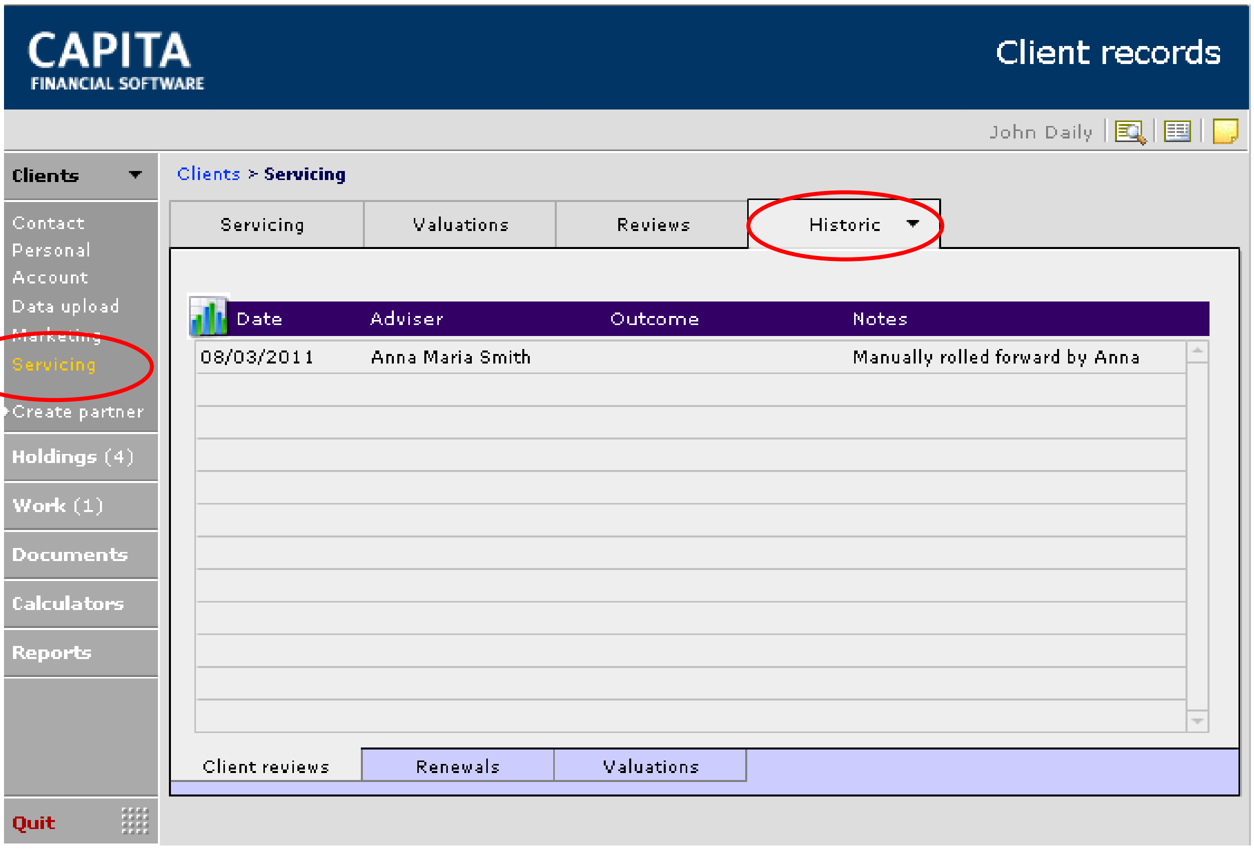
If the Reviews are to be moved one by one, use the blue arrow next to the date:



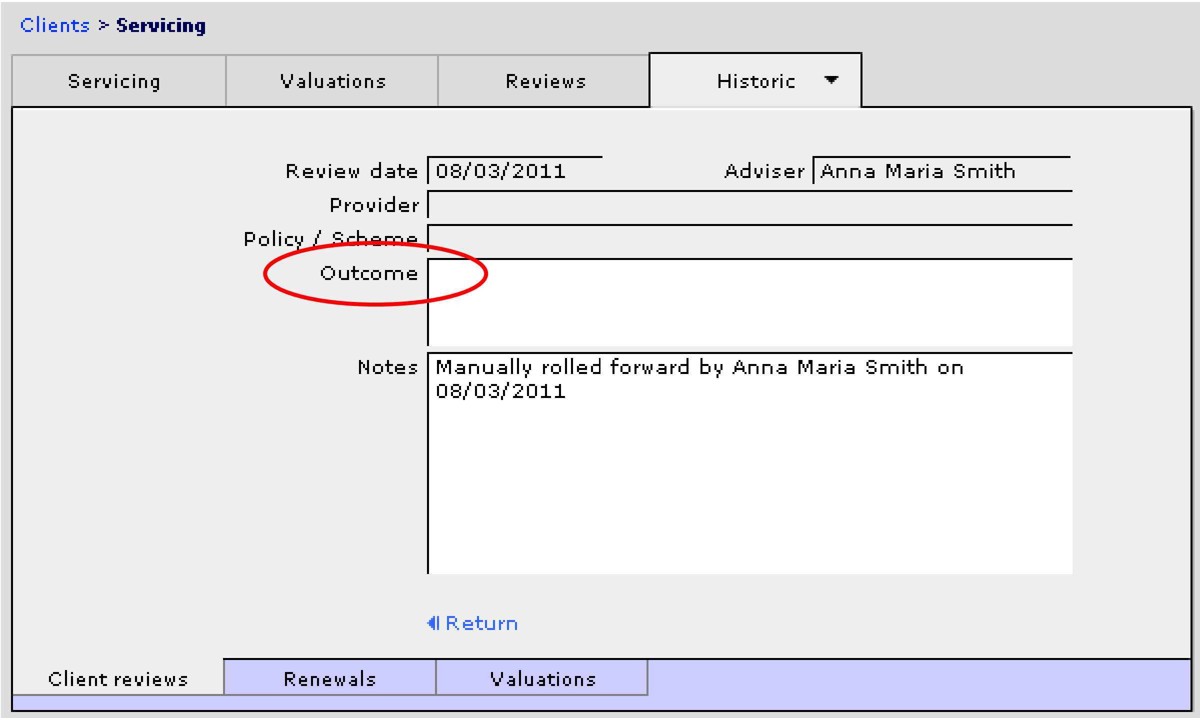
Select ‘Yes’ and these clients will be placed back into this diary for the appropriate month:



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:



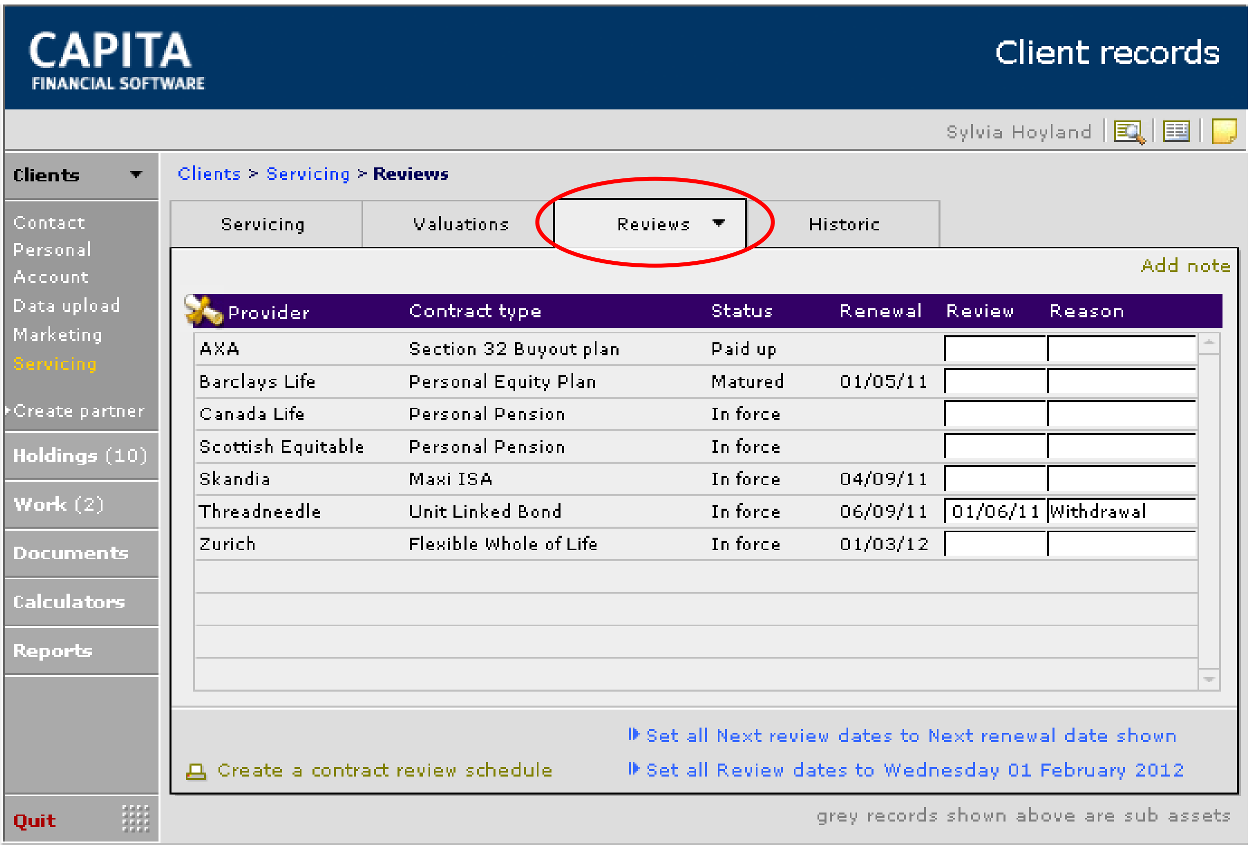
Click onto the line entry and the following will appear. The Outcome can be recorded.



11.2.2. Policy Reviews

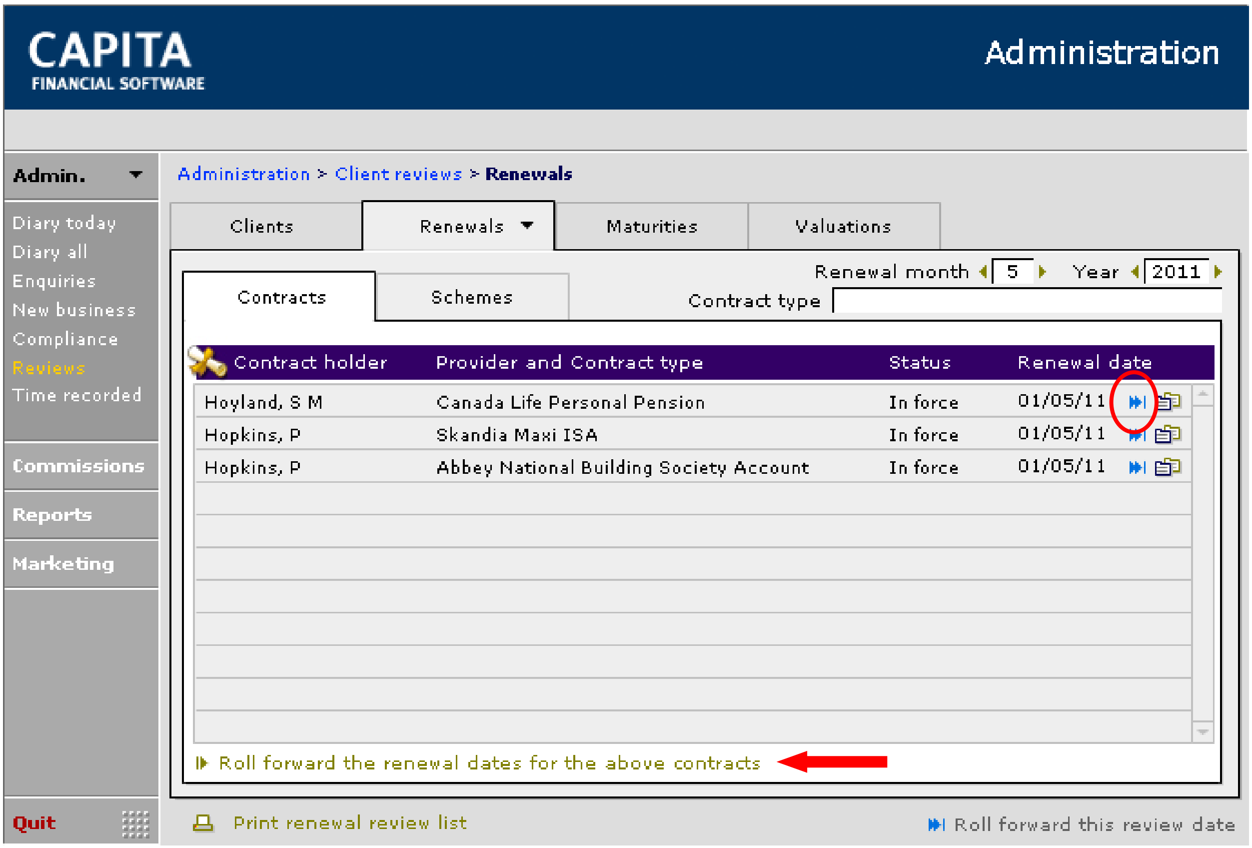
The ‘Renewals’ tab show all plans which are due for Review within a certain month. This is added in one of two place:

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



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

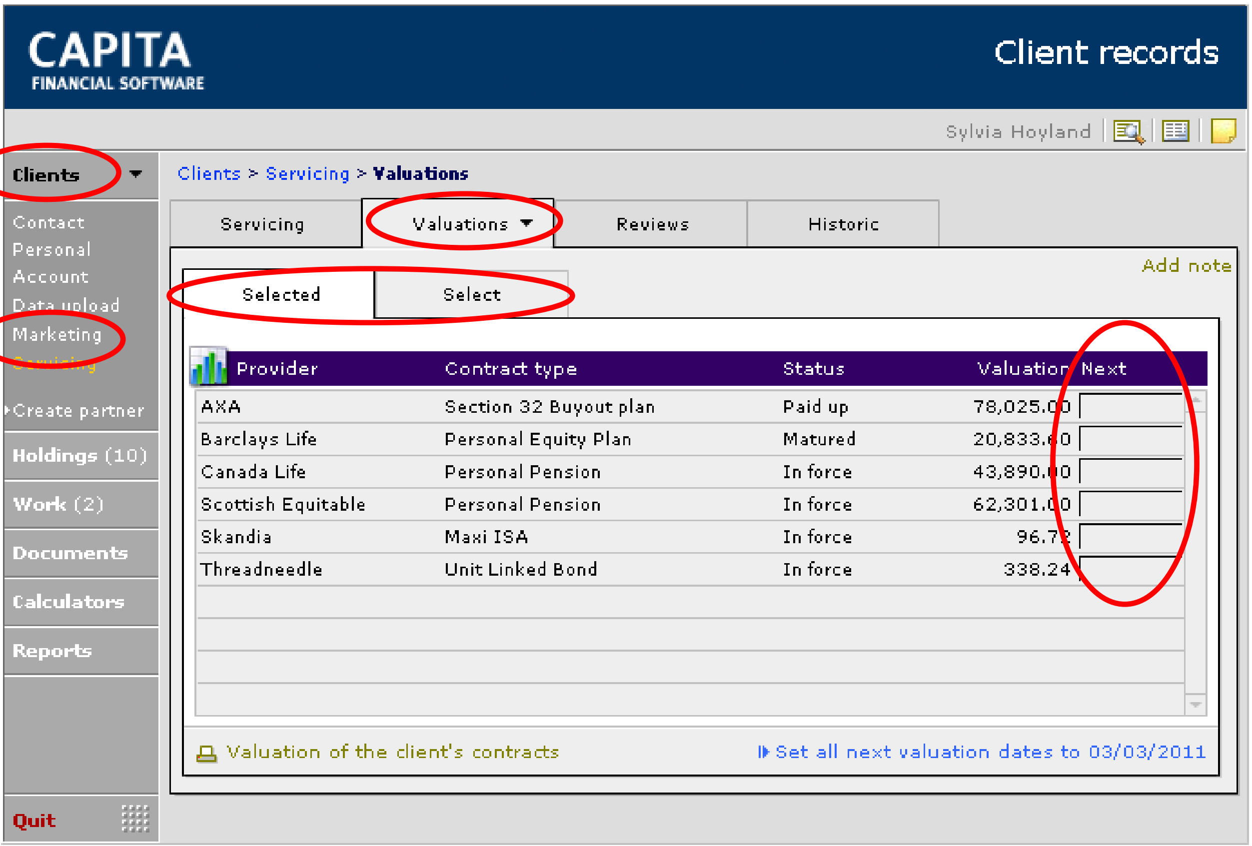
When the renewal has been carried out there are the same buttons here that can be used for the client reviews. There is the blue arrow that will allow each holding renewal date to be moved individually, or the Roll forward the renewal dates for the above contracts - which will roll forward the dates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


CAPITA
FINANCIAL SOFTWARE
Administration
Admin.
Administration > Client reviews > Renewals
Diary today
Diary all
Enquiries
New business
Compliance
Reviews
Time recorded
Commissions
Reports
Marketing
Quit
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
Print renewal review list
Roll forward this review date

12. VALUATIONS

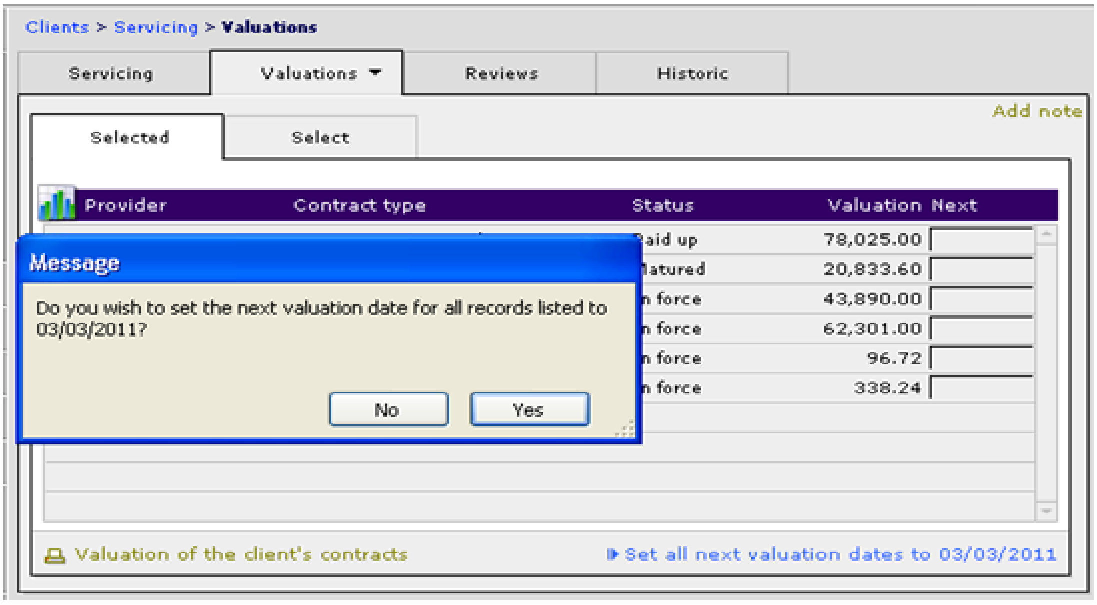
12.1. Scheduled Client Valuations

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:

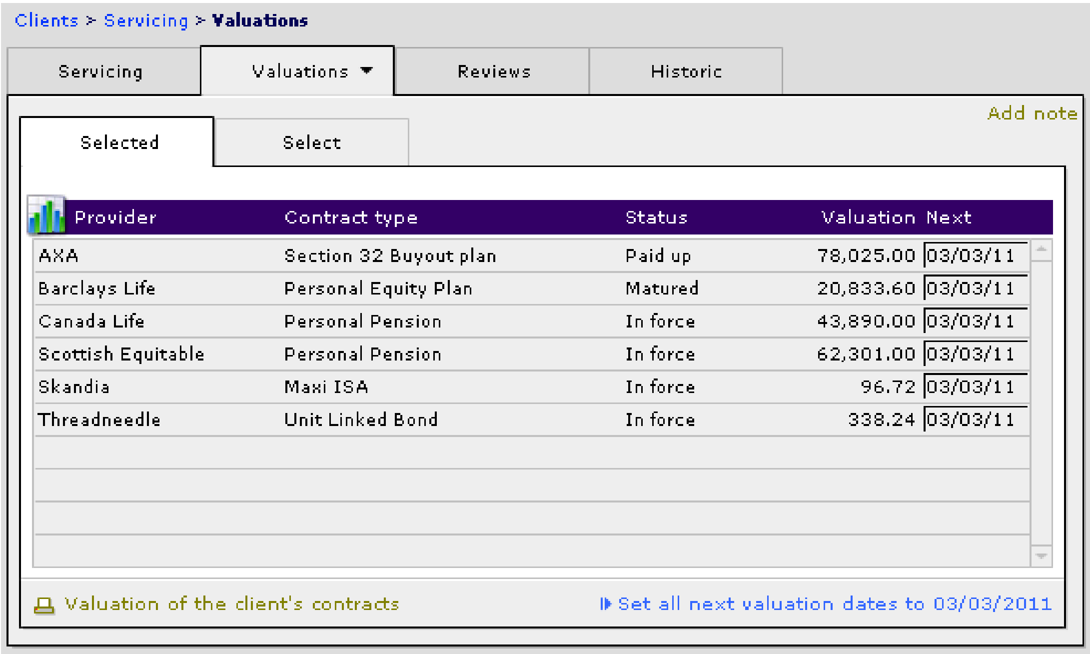


Now need to record the next valuation date.

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.

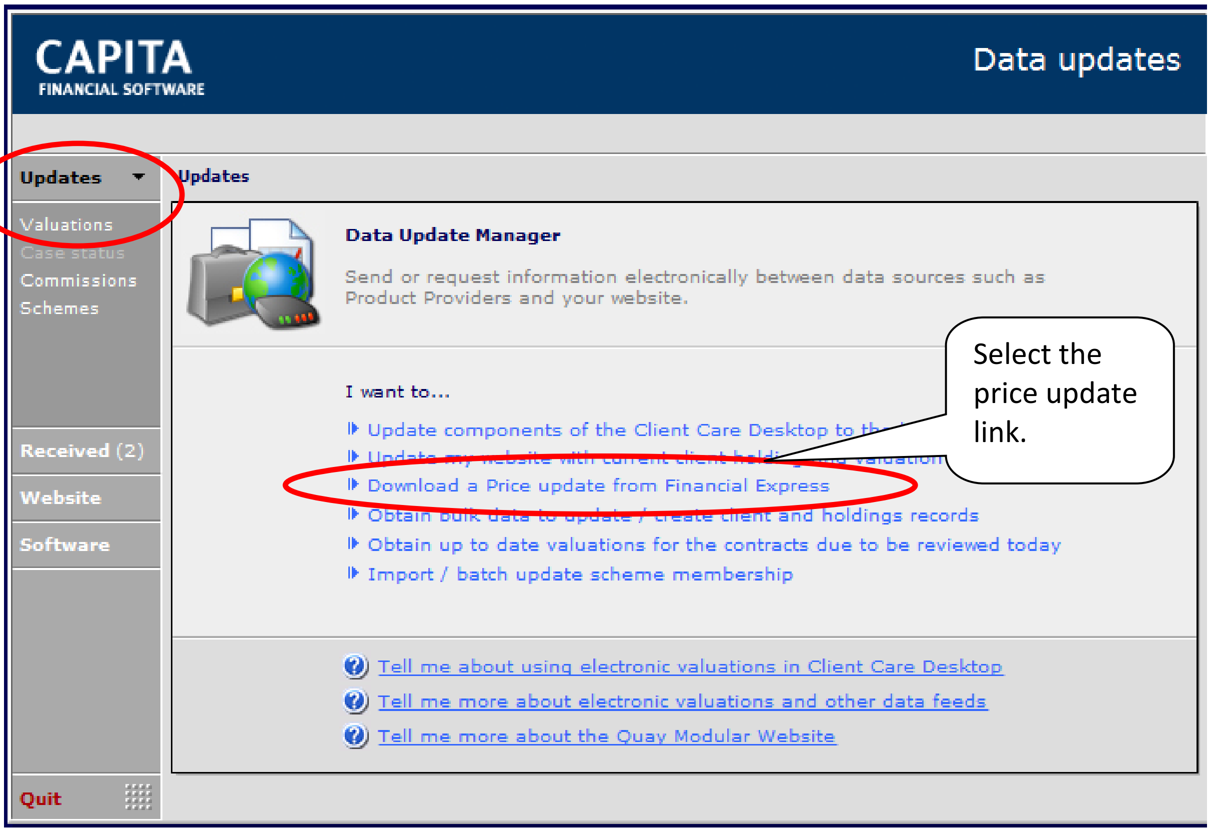
These will appear in the Admin > Reviews section as specified above. This information will also appear in the Updates > Valuations area of CCD, to allow bulk updates of valuations using Contract Enquiry.

12.2. Using Financial Express to Value holdings

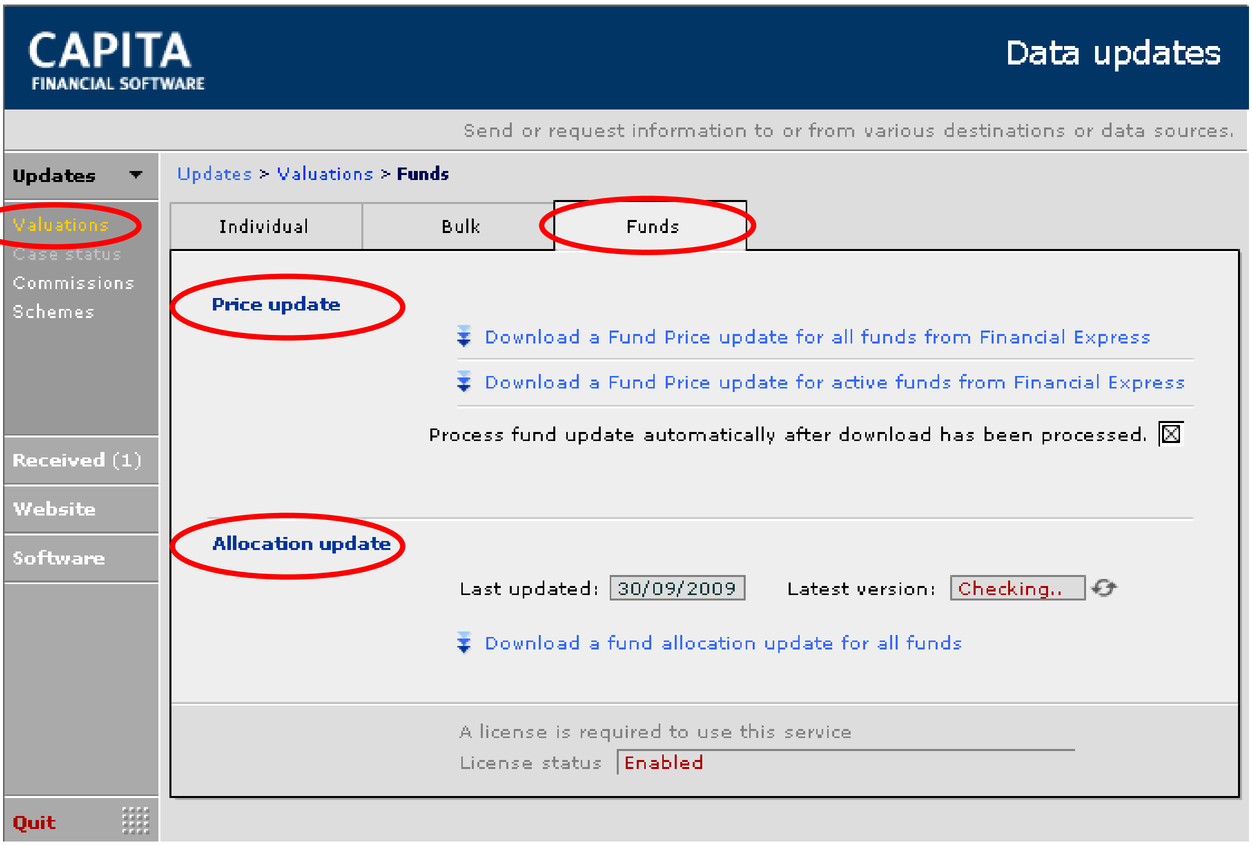
The Financial Express download performs several functions.

- 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.



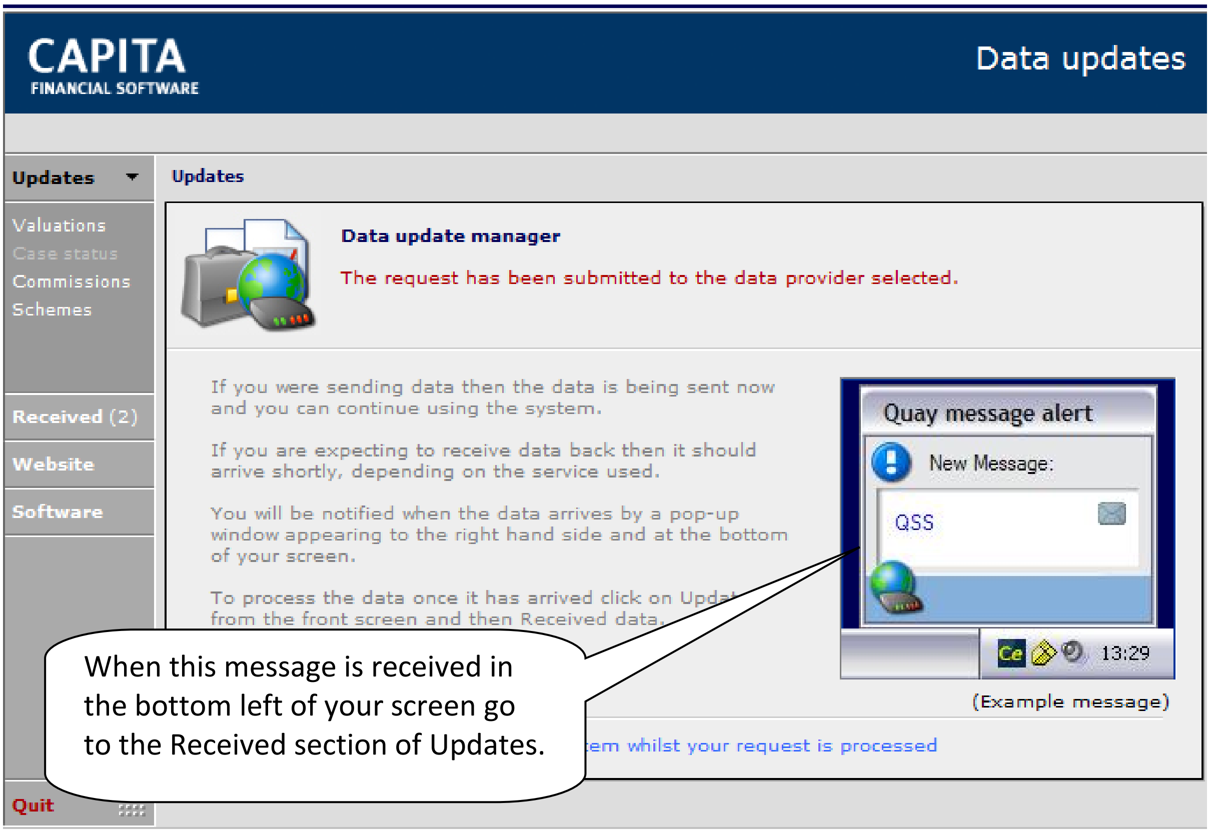
You can select to download the price update from the front screen or select Valuations from the menu on the left hand side.

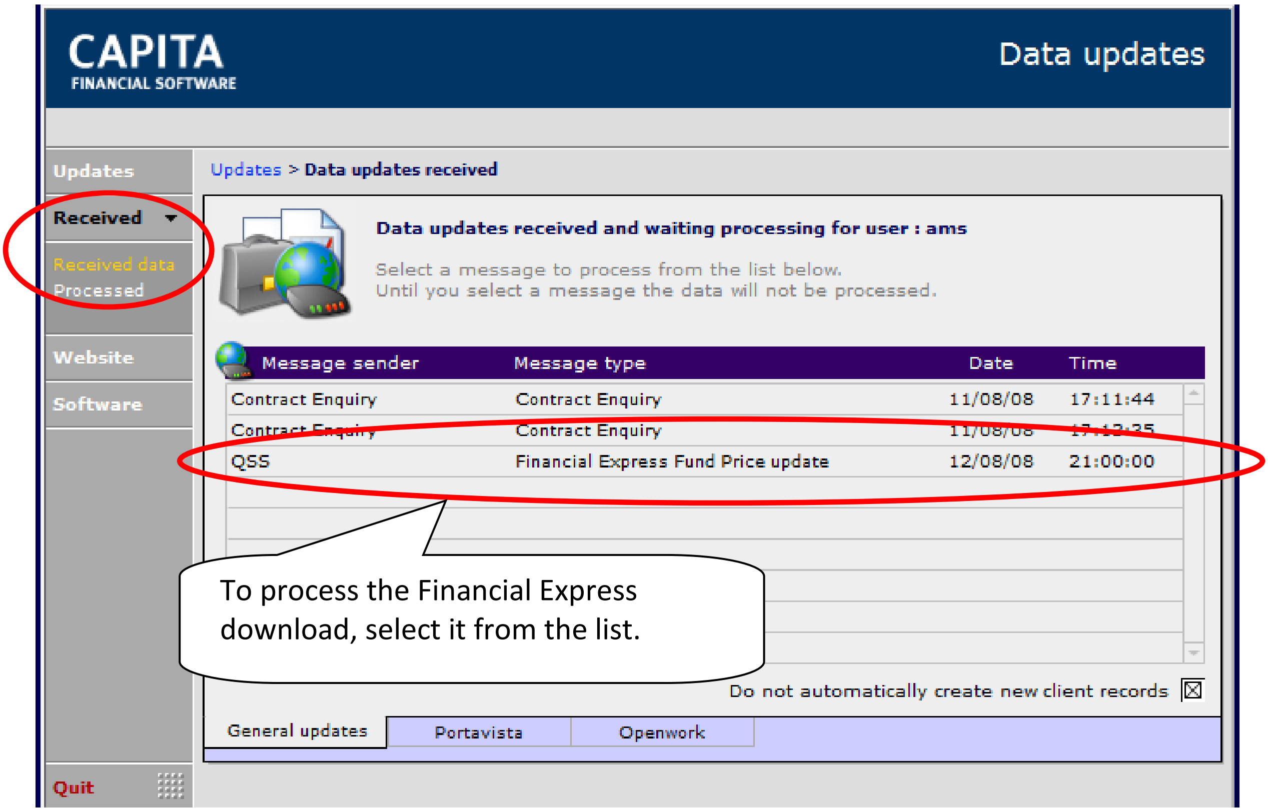


There are two options for updating the Prices on CCD:

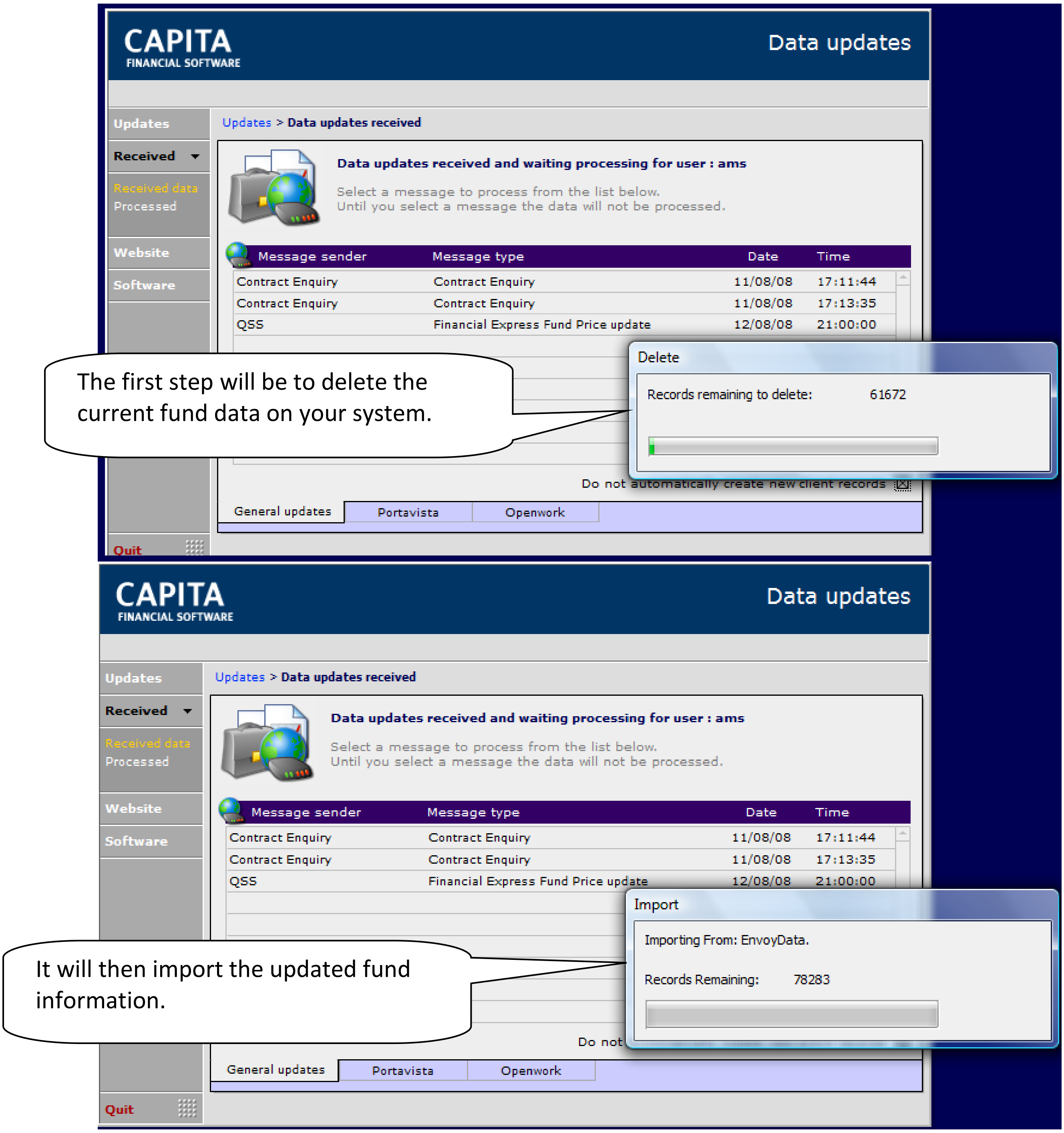
- Download all fund prices; or
- Download the fund prices for the funds being used for your clients.

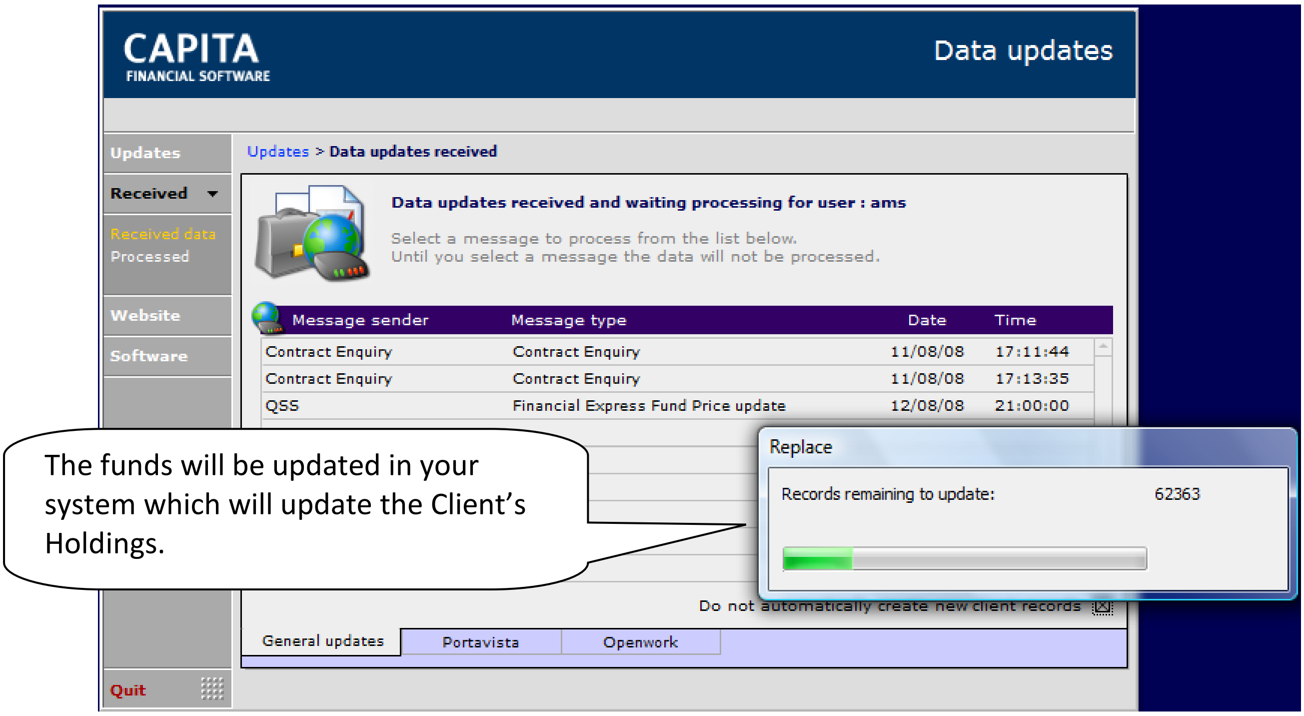
Once either option has been selected, the following will appear:


CAPITA
FINANCIAL SOFTWARE
Data updates
Updates
Updates
Valuations
Case status
Commissions
Schemes
Received (2)
Website
Software
Quit
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 Upd
from the front screen and then Received data.
em whilst your request is processed
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
Updates > Data updates received
Received
Received data
Processed
Website
Software
Quit
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 | 17:12:35
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.





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.

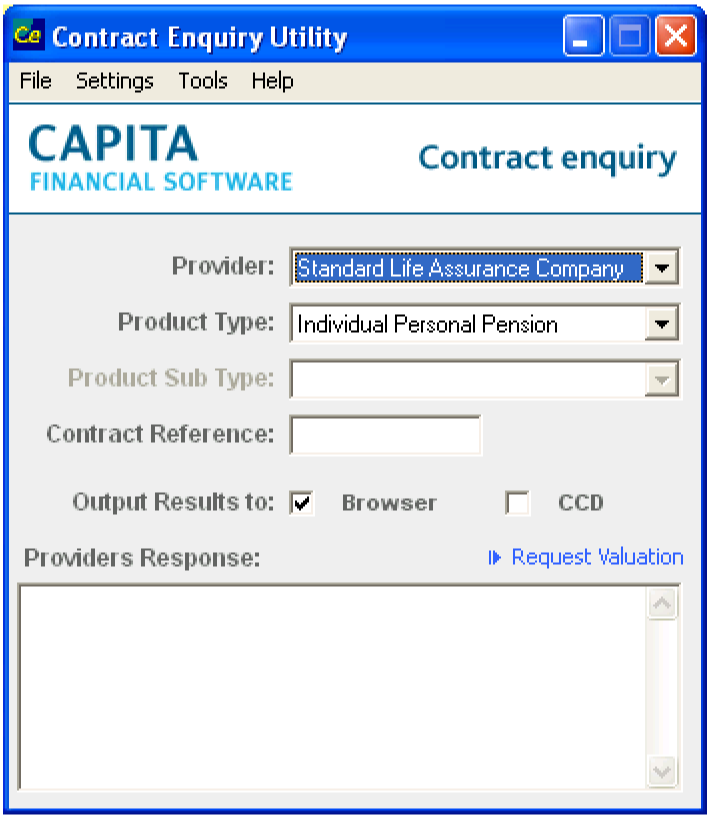
Documentation on how to sign up and implement contract enquiry can be found on our web site www.capitafinancialsoftware.co.uk. Select 'Downloads' at the top right of the screen and then select Quay Software on the left of the screen.

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:

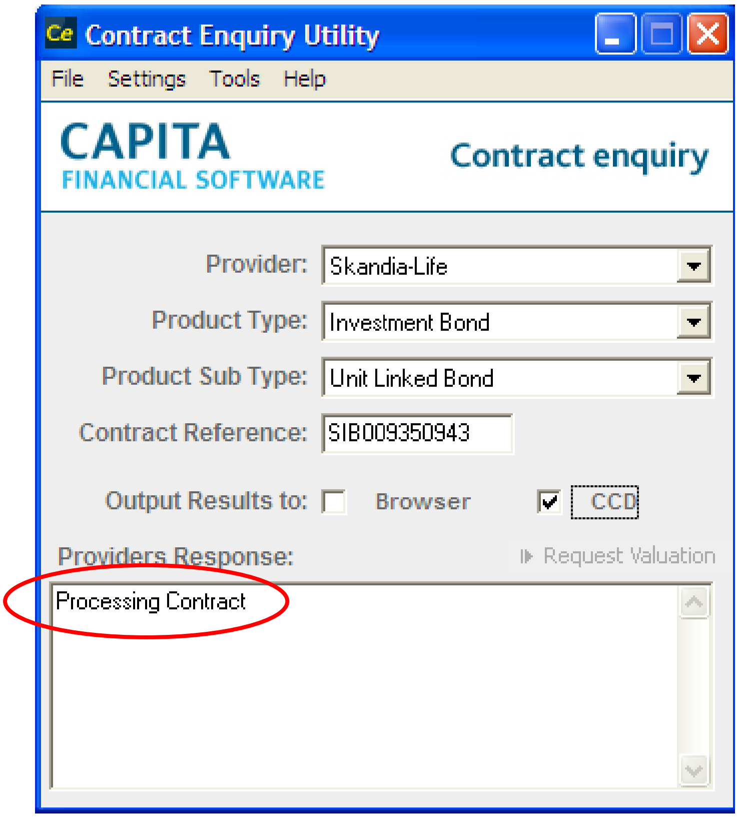
and/or


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

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

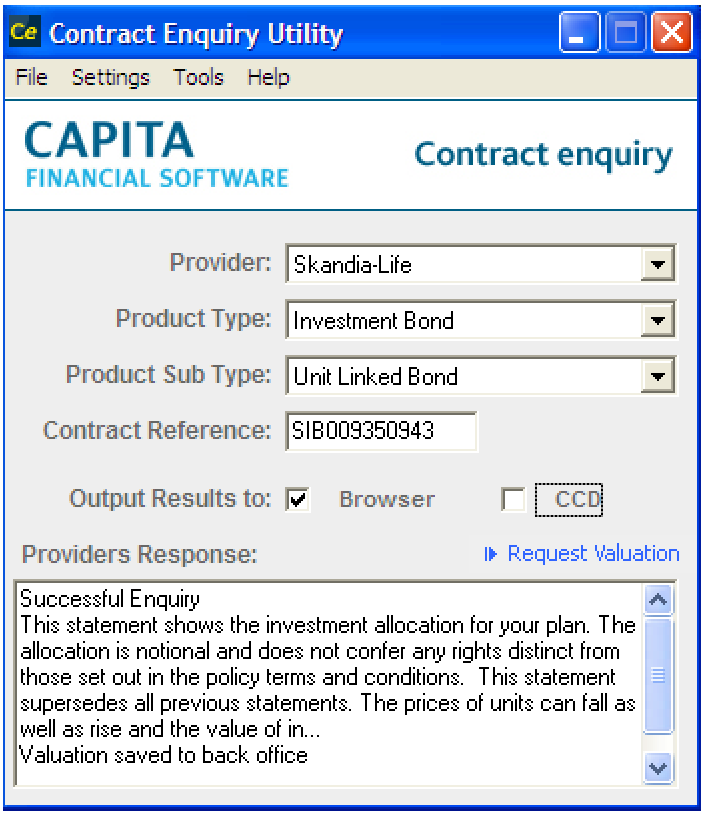
Once you have completed all details click on the Request Valuation link.

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



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

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



If you have also ticked 

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

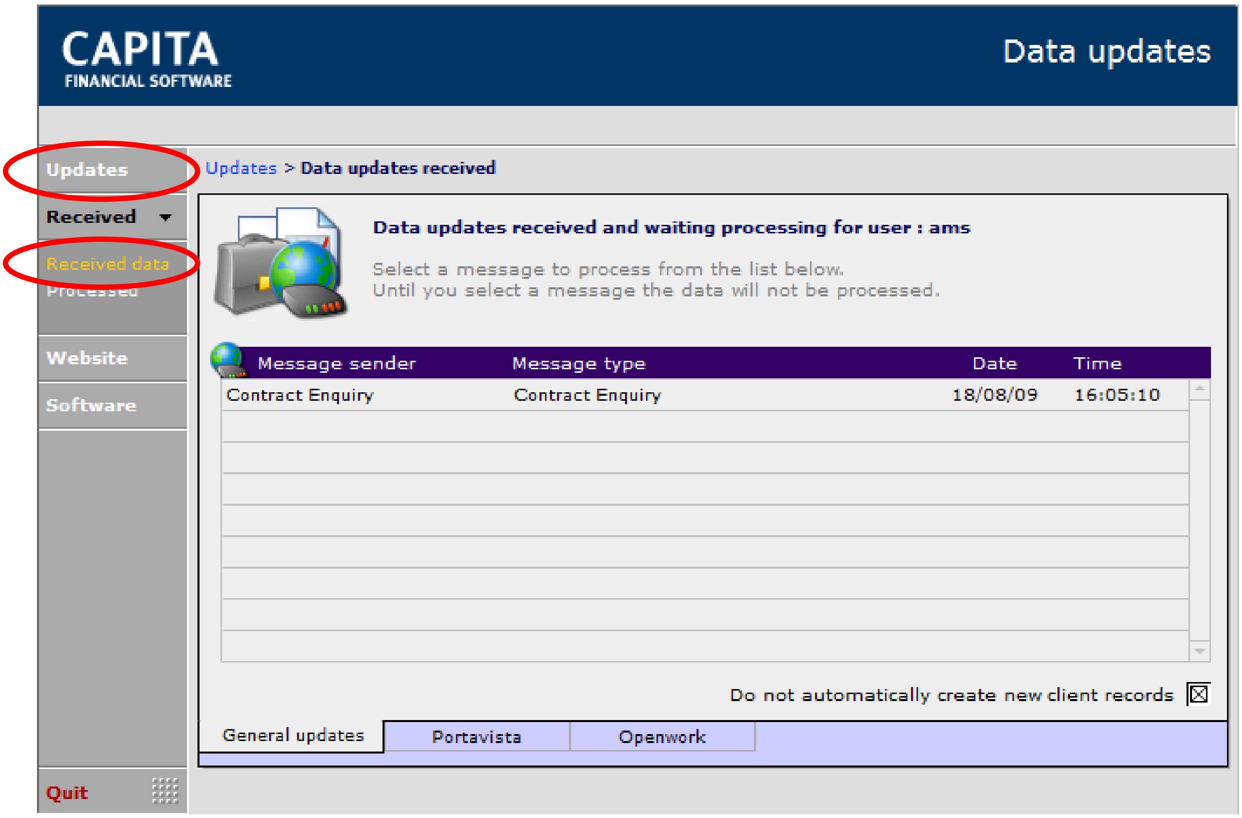
Fund name	Type of units held	Number of units held	Units valid at (date)	Unit price	Price valid (date)	Current value	Valuation currency
Balanced	Accumulation	14.4084	09/04/2010	8.4190	09/04/2010	121.30	GBP
Deposit	Accumulation	26.2599	09/04/2010	4.3880	09/04/2010	115.23	GBP
Cautious Life	Accumulation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

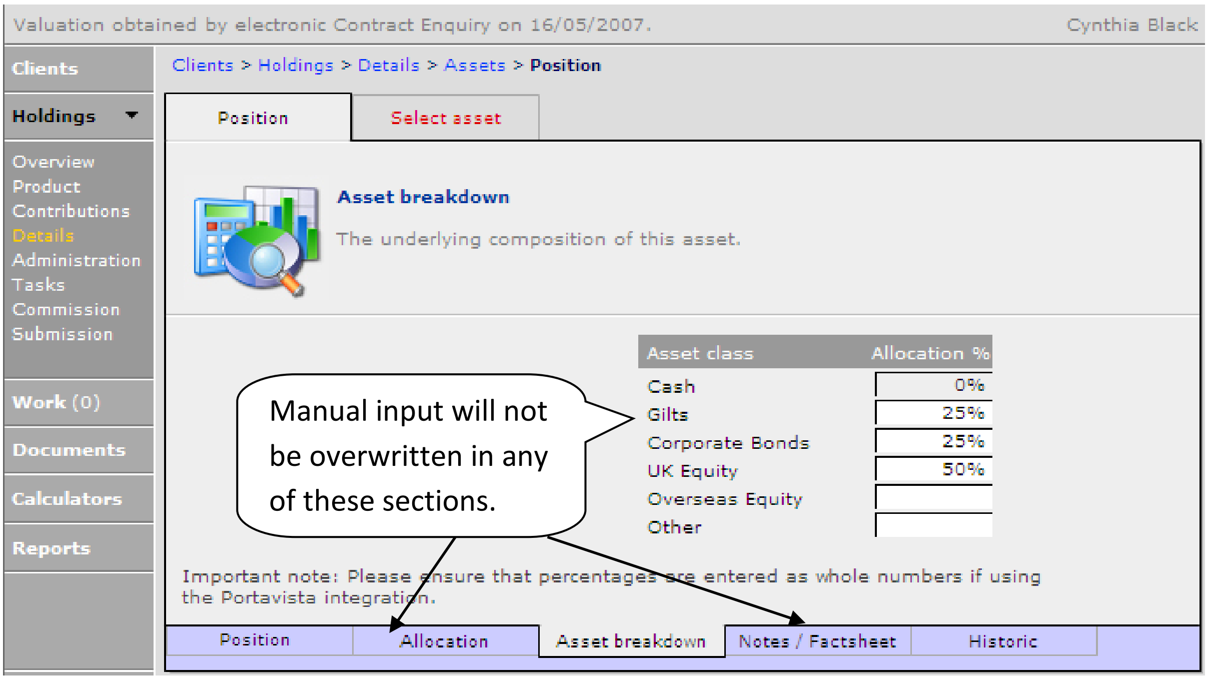
Process electronic valuation within Updates Section



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:

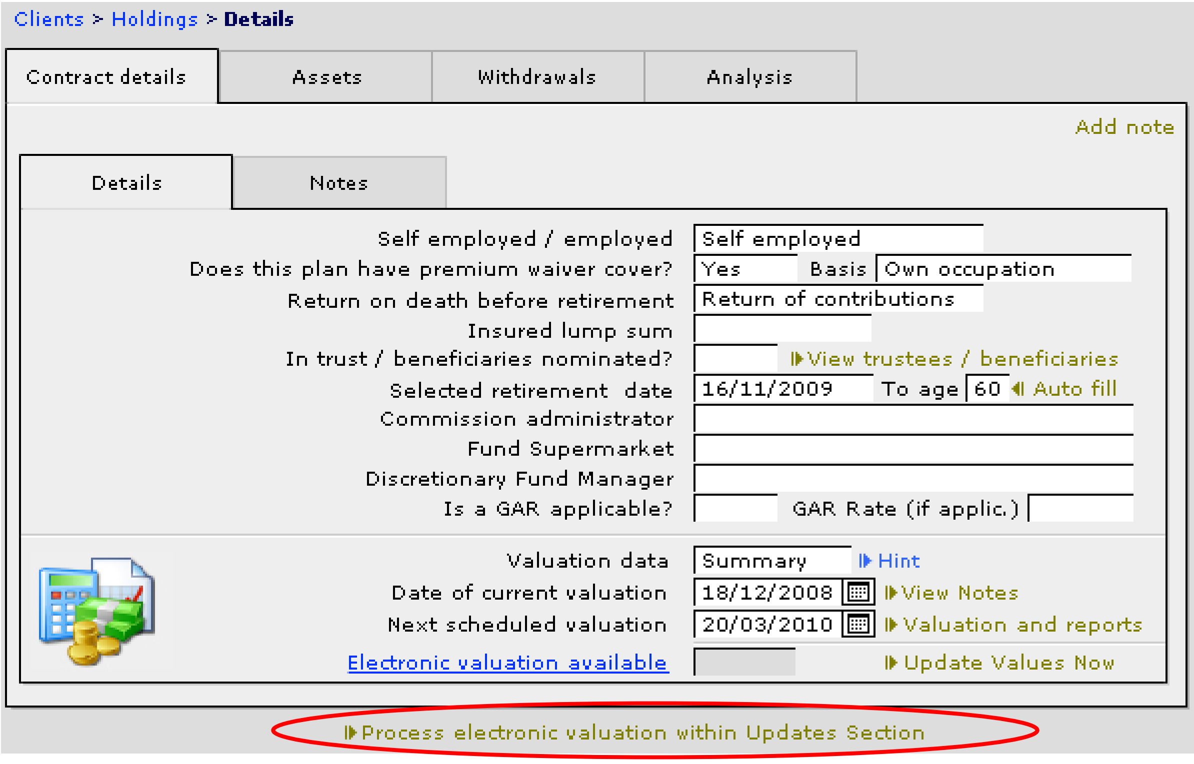


There will be some occasions where manual input is needed to ensure that all the funds match correctly and the manual information is not overwritten.

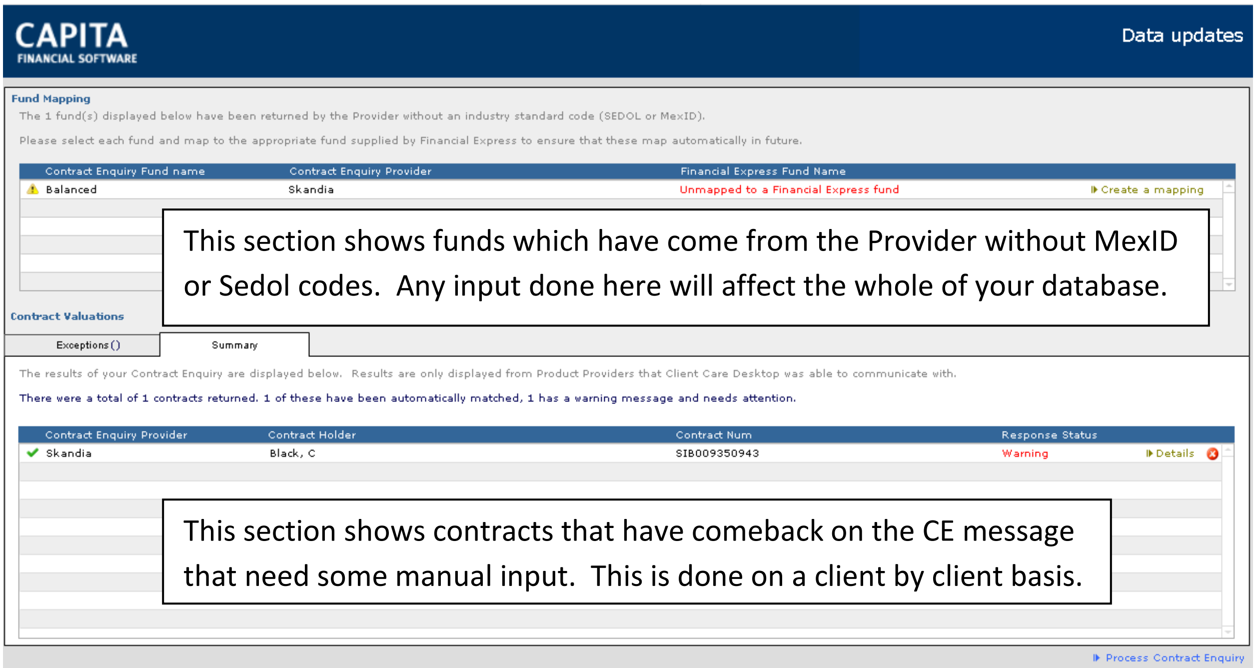
The main reasons why a Contract Enquiry may need some manual input are:

- 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:



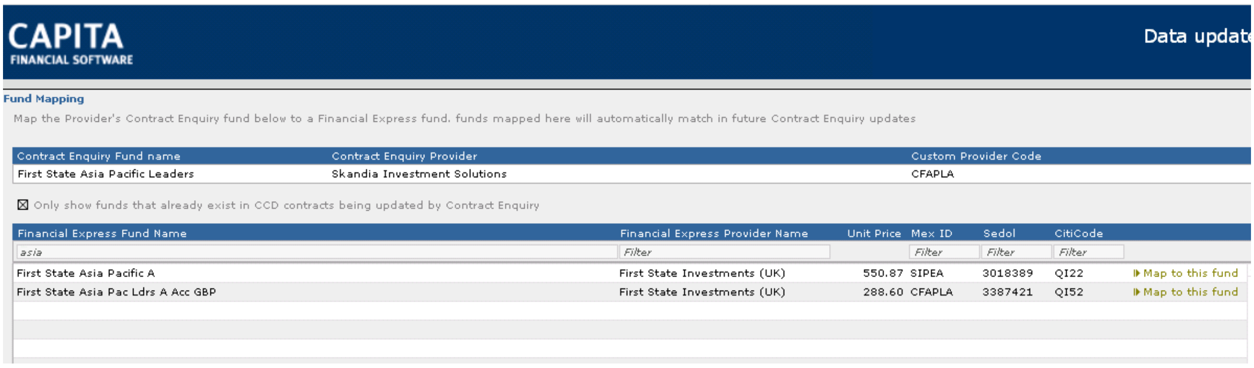
If a Contract Enquiry message is received and needs some manual input these are the screens that will be used:



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

Fund Mapping

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



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

The

in the middle of these 2 sections should be checked when the mapping is first attempted.

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

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

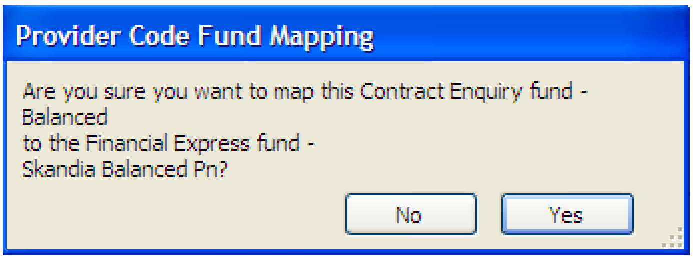
- Filter by this section and either enter in a maximum of 15 characters starting at the beginning of the fund's name , or:
- Type in various words from the funds name, with a carriage return (the enter key) between each word (maximum of 10). When the search is done, a list of all funds with either word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

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

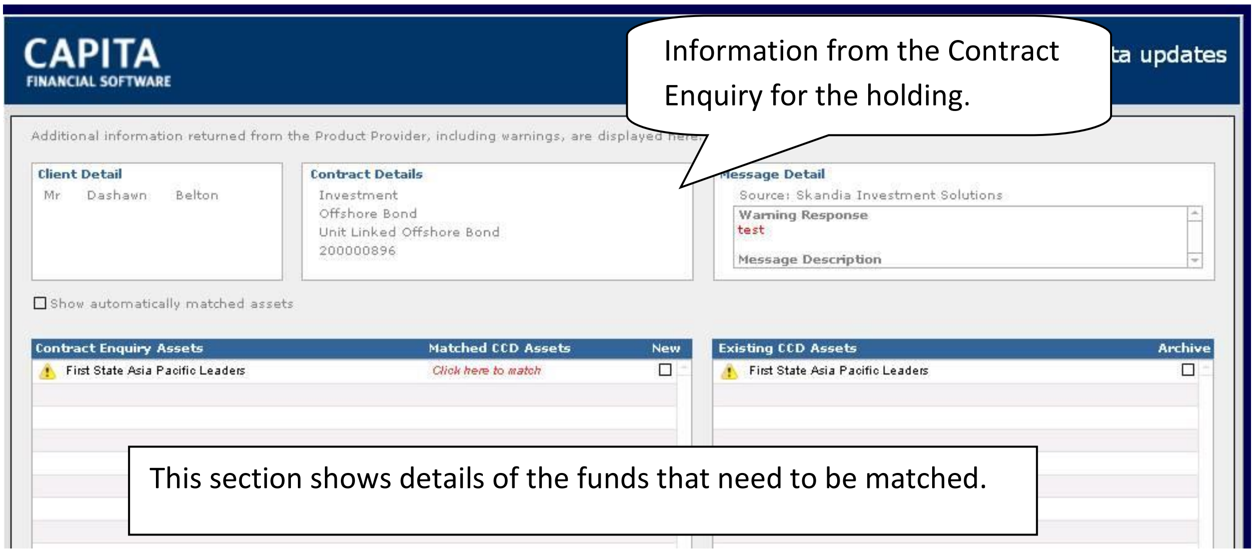
- Type in either of these code with a maximum of 10 characters

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

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



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



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

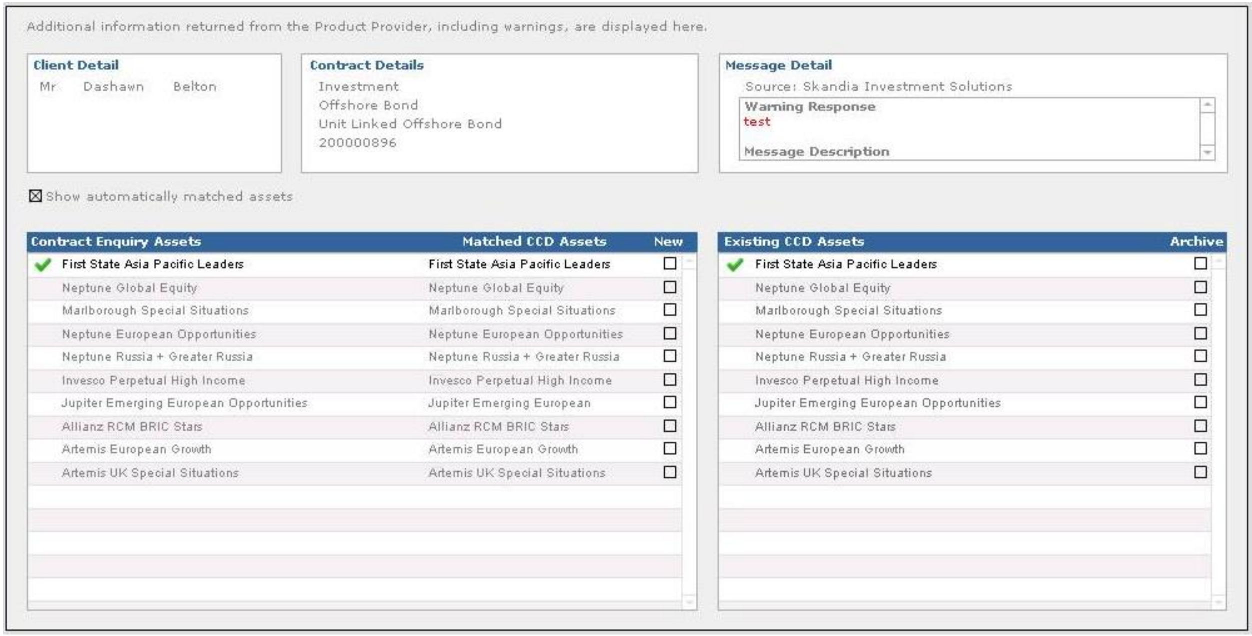
Existing CCD Assets = funds that are currently showing on the client's holding.

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

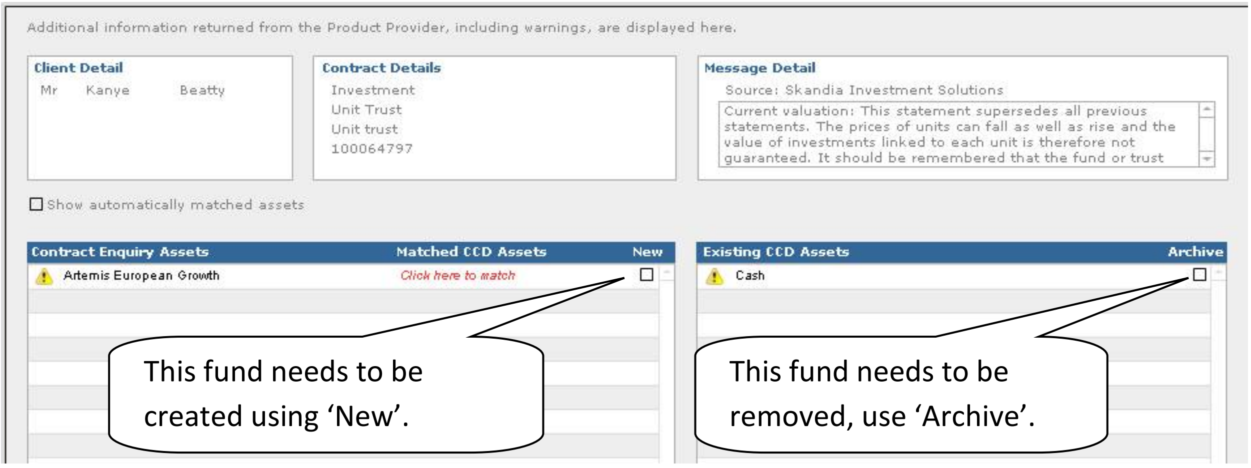
To do this:

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

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

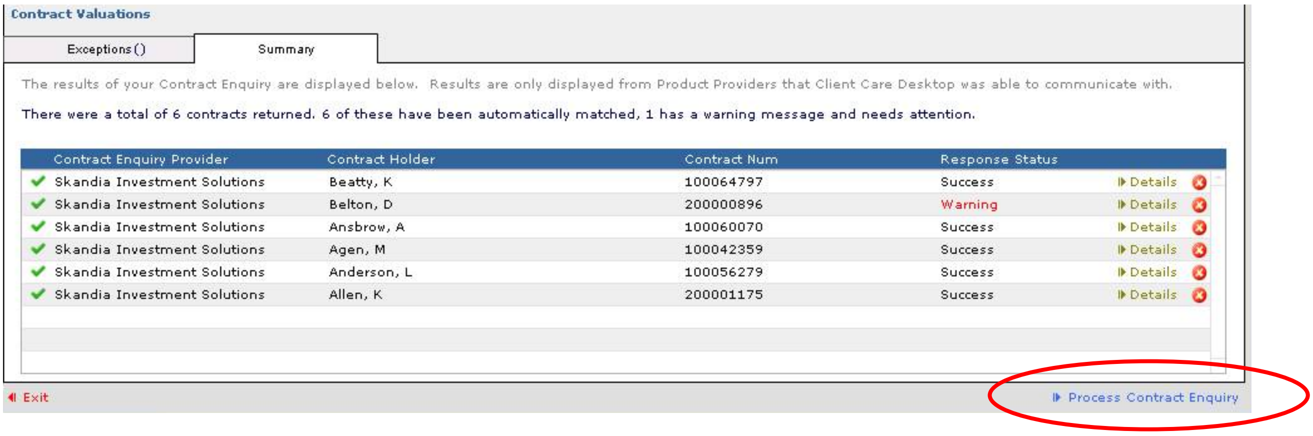


There may be occasions when a client does a fund switch, that a new fund will need to be created and an old fund archived.



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

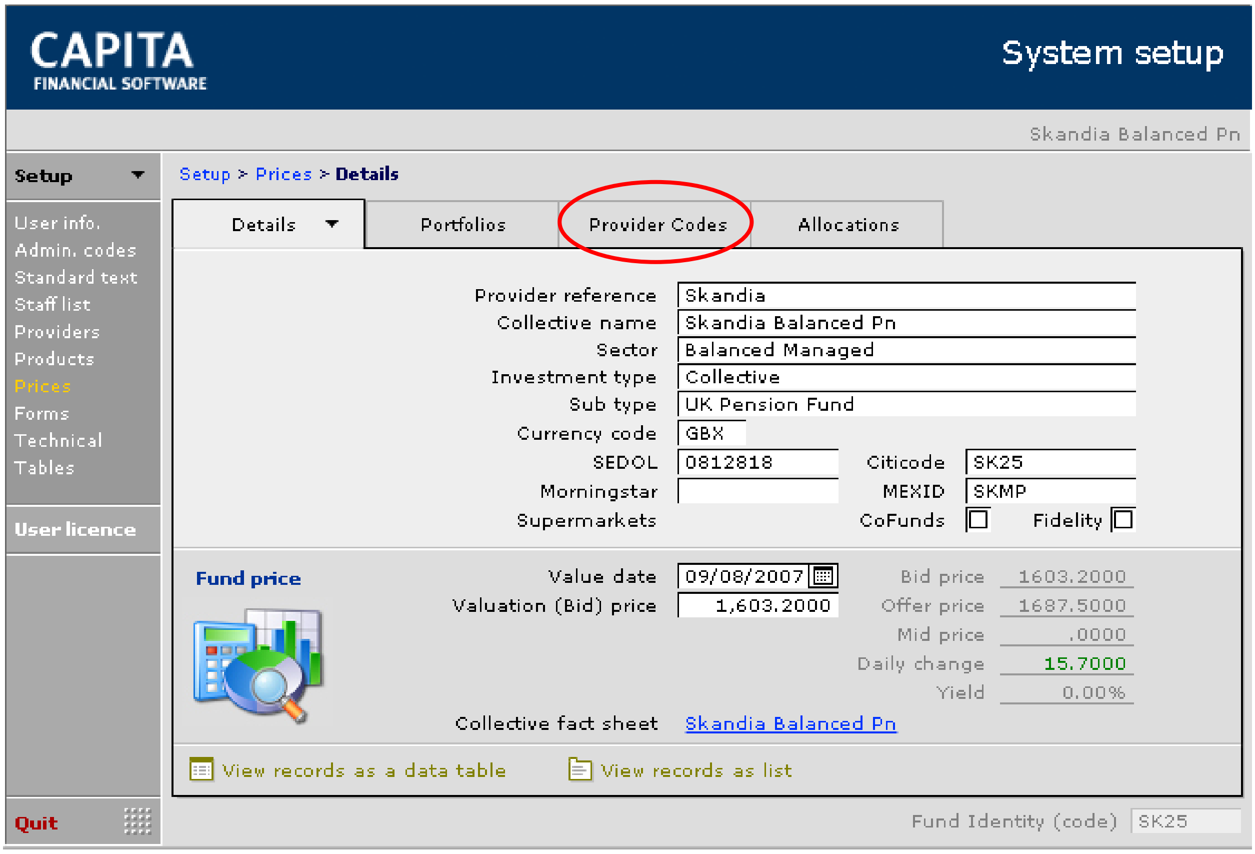
Once all the funds have been matched, the Contract Enquiry message can be processed:



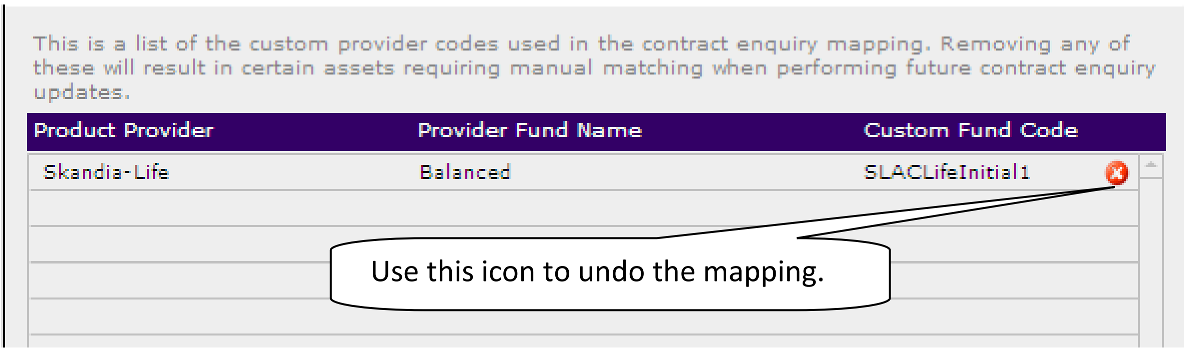
If any of these updates should not be processed, use the ✖ at the end of the line.

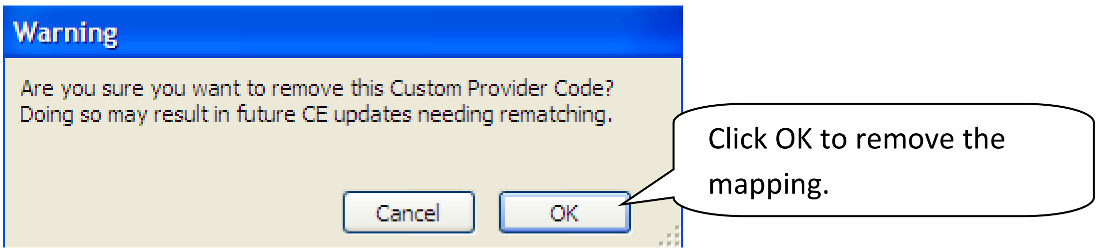
13.1 What to do if the incorrect fund has been selected

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



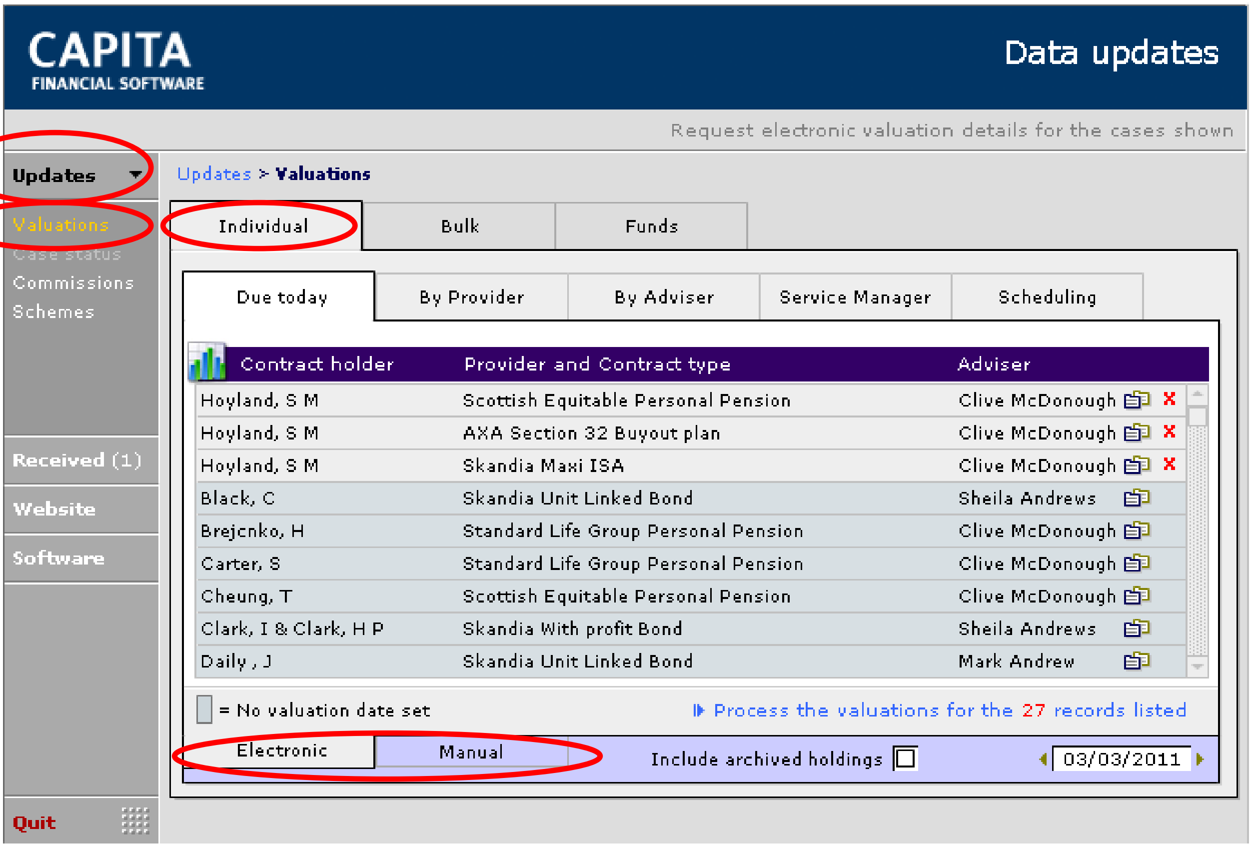
This is the ‘Provider Codes’ tab:





14. BULK VALUATIONS

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

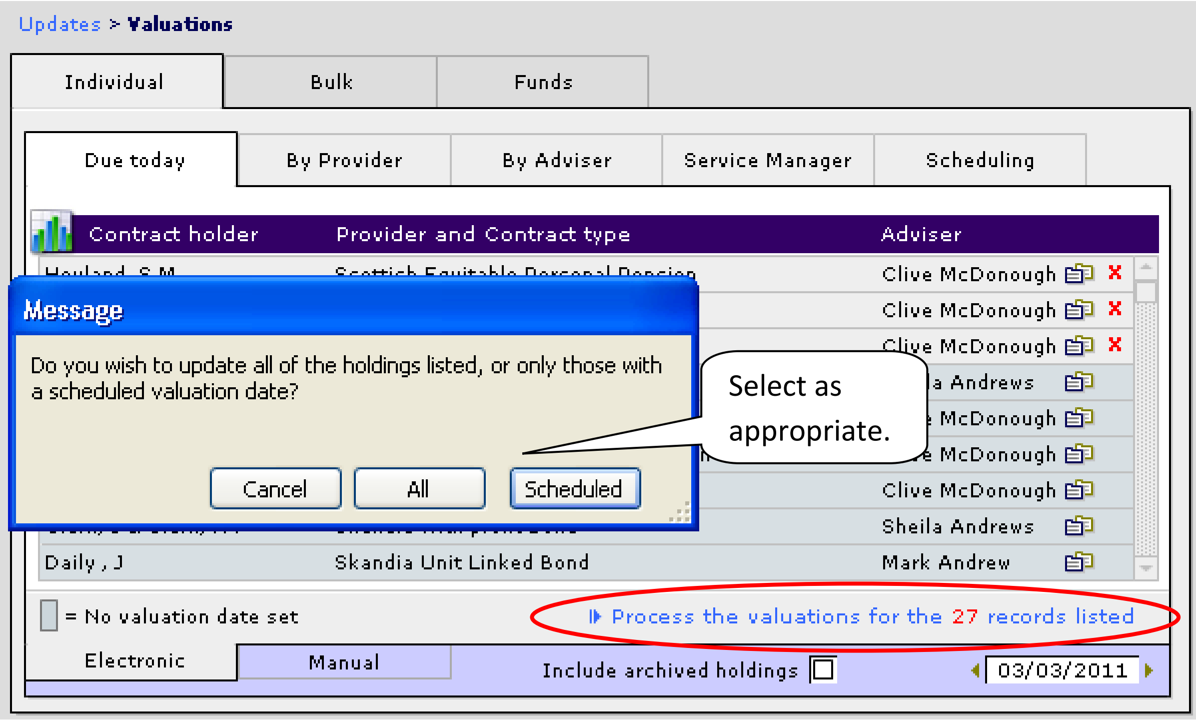


All valuations selected as due today in the Clients servicing section will appear in either the ‘Electronic’ or ‘Manual’ tabs of Updates > Valuations. Those Holdings that have an **X** next to them are due today. The **X** can be used to remove the Holding from this valuation list.

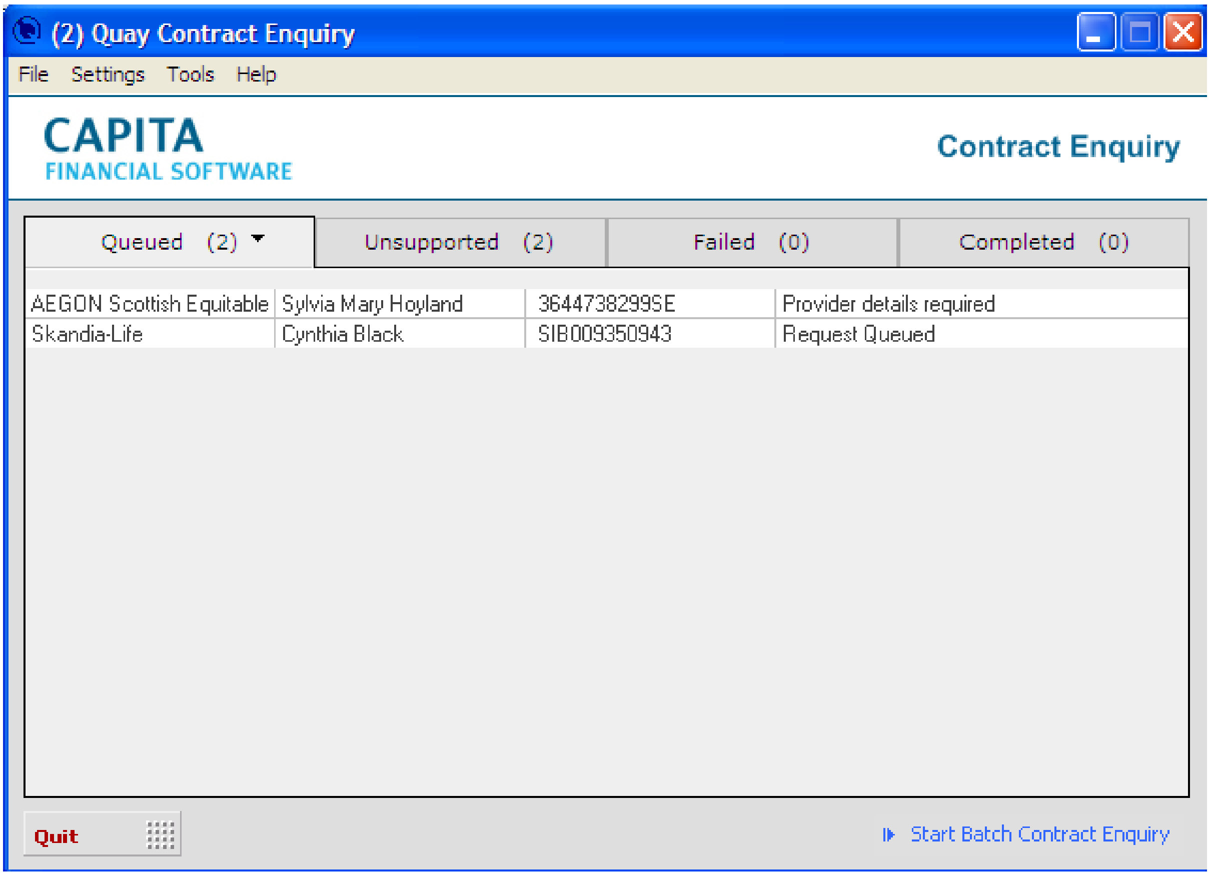
The other Holdings in this list are there as they do not have a ‘valuation’ date recorded. Dates can be recorded against the client record. By clicking on the item in the list (which will move you back to the Client Module).

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

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

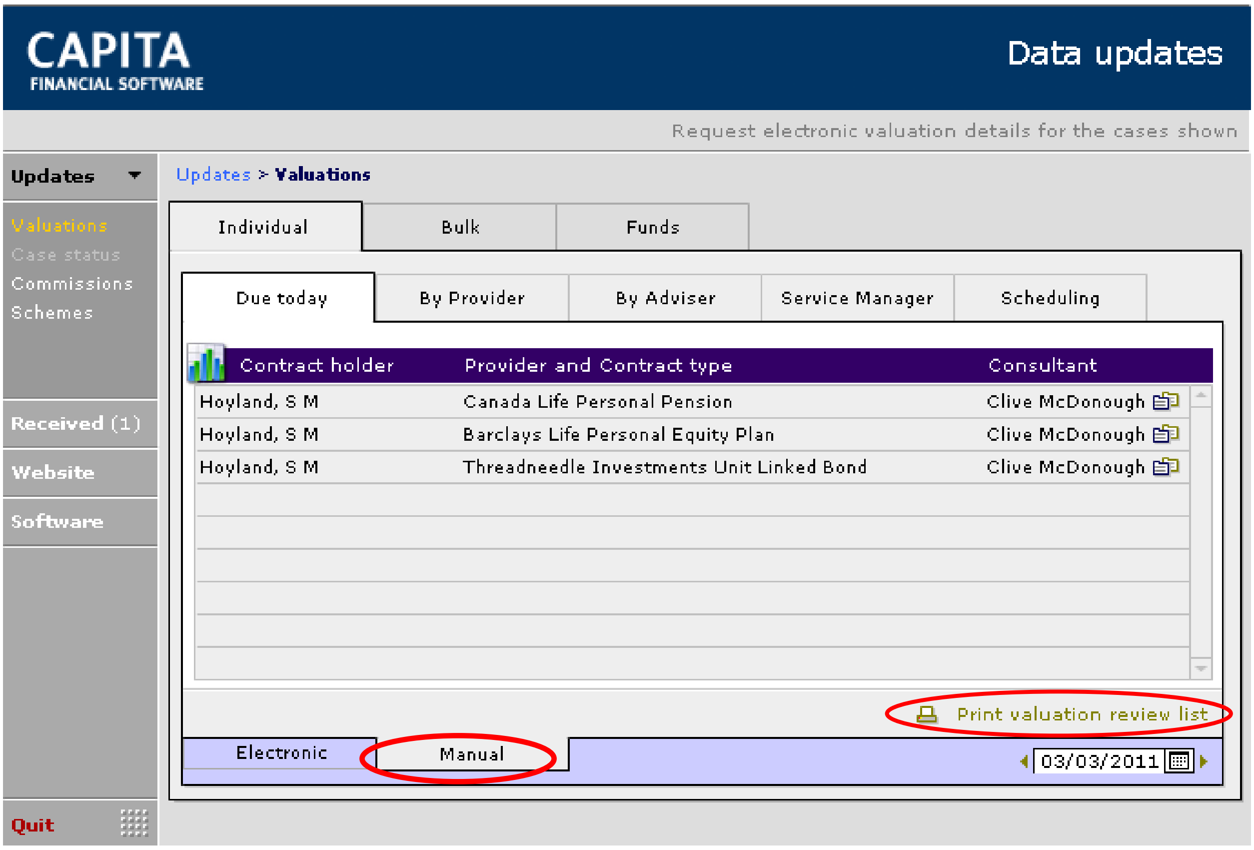


This will take you through to the bulk contract enquiry screen. Confirm whether 'All' of the valuations should be done, or just those that have been 'Scheduled' for today.

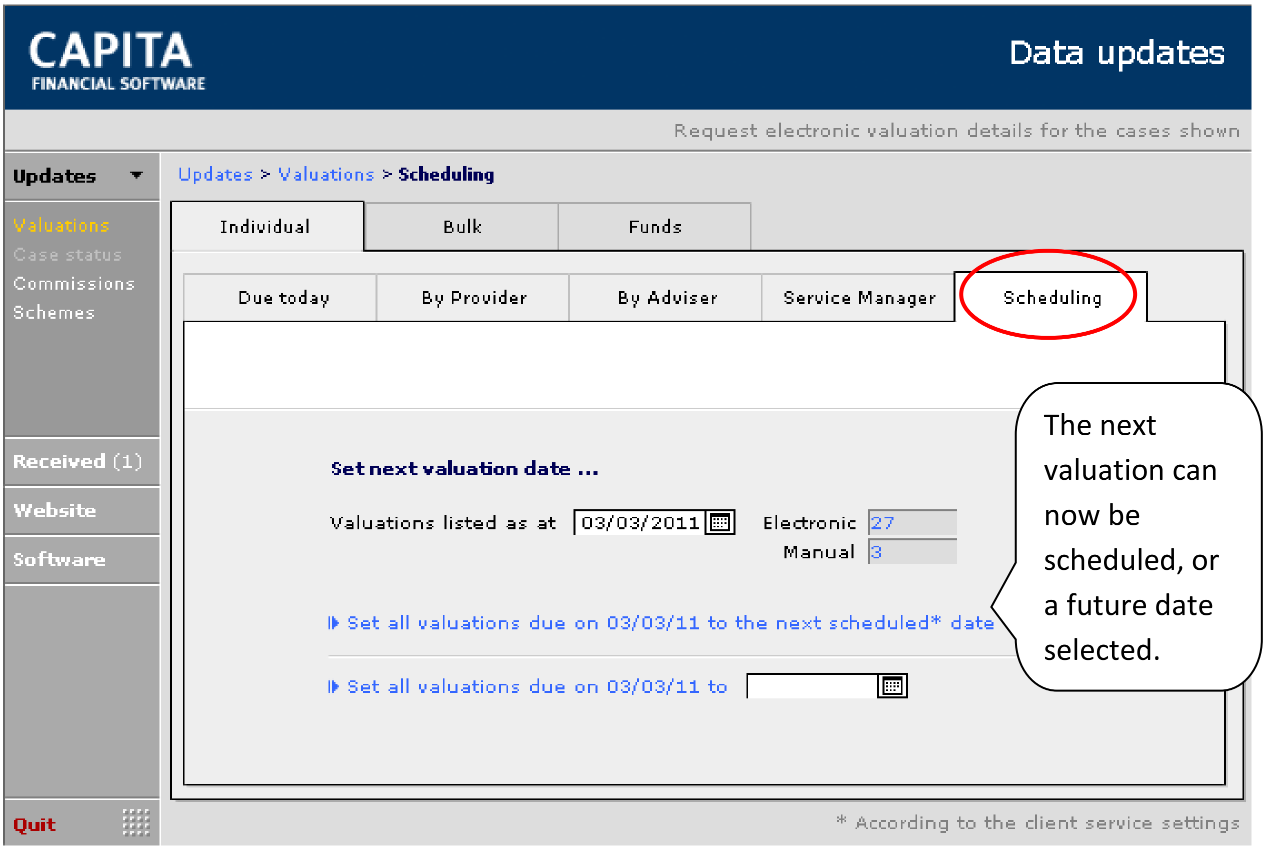


All the holdings waiting for valuation via contract enquiry will be listed here, click onto the Start Batch Contract Enquiry to start the Contract Enquiry update. All the valuations will then carry over to the received tab in the updates section ready for update to the Client's holdings.

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.



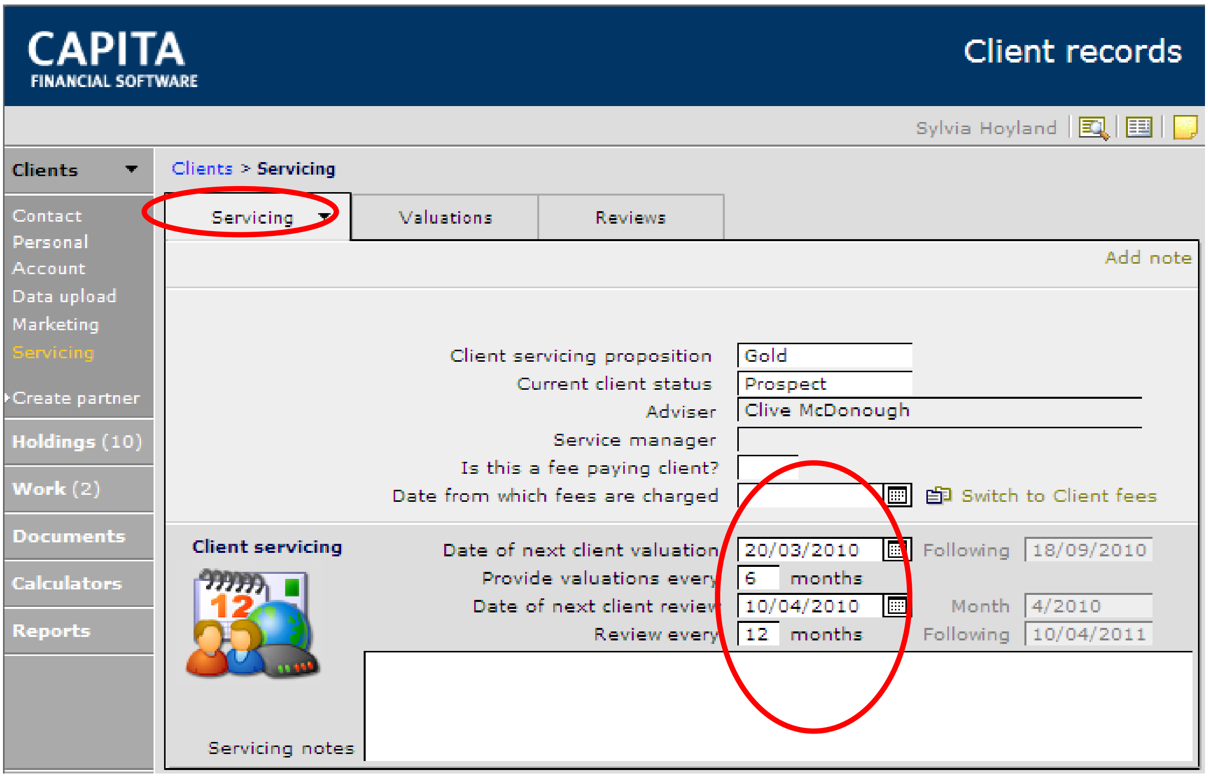
Once all the valuations have been completed go to the Scheduling tab.



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

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

. 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.



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.