SYNAPTIC SOFTWARE

USER GUIDE

SYNAPTIC

Version 1.0

Contents

1 Introduction

This *Administrator Guide* has been put together to help set up the Synaptic software Limited for the organisations' users. It is a guide to the common components of the suite, i.e. the data that is shared across the different applications. Please note any user following this guide will need to have been set up as an administrator for the organisation.

Please refer to the *Synaptic Client User Guide* for any user guidance as the information contained within it, will not be duplicated here.

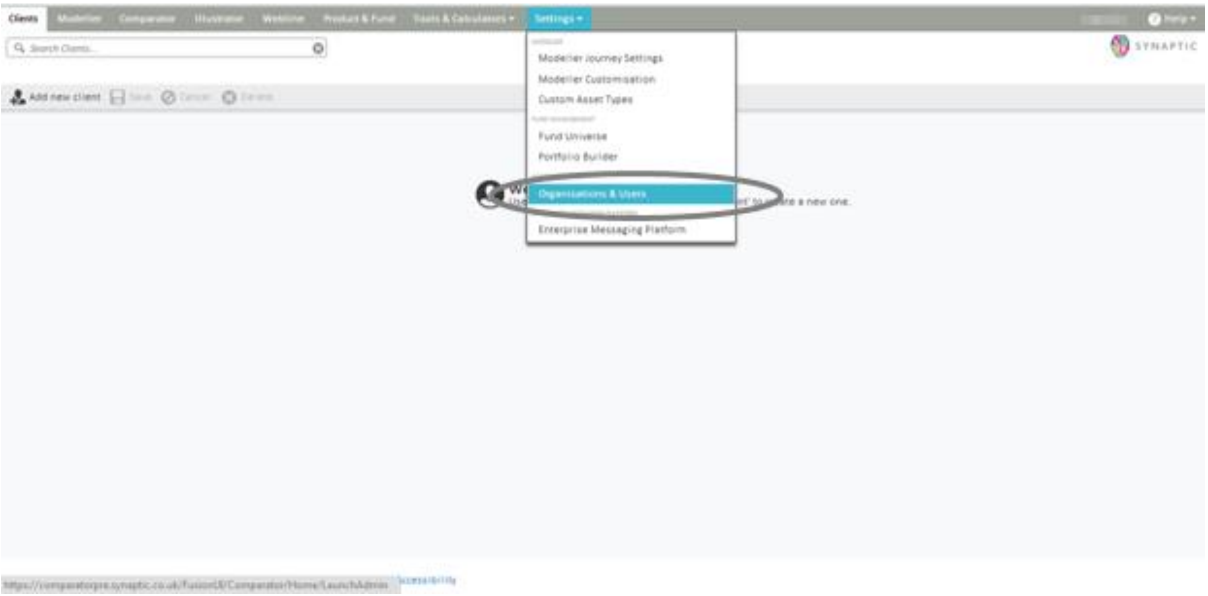
2 Application Tabs

There are a number of tabs at the top of the screen, the majority of these tabs provide access for the organisation's users to different Synaptic applications. Each application has its own administration guide which it may be necessary to read if the users have these licences.

This guide will concentrate on the 'setting's tab.

3 Organisations and Users

In order to gain access to this screen you will need to select the settings drop down menu and click on organisations and users. This will take the you to the Organisation structure under **Setup**.

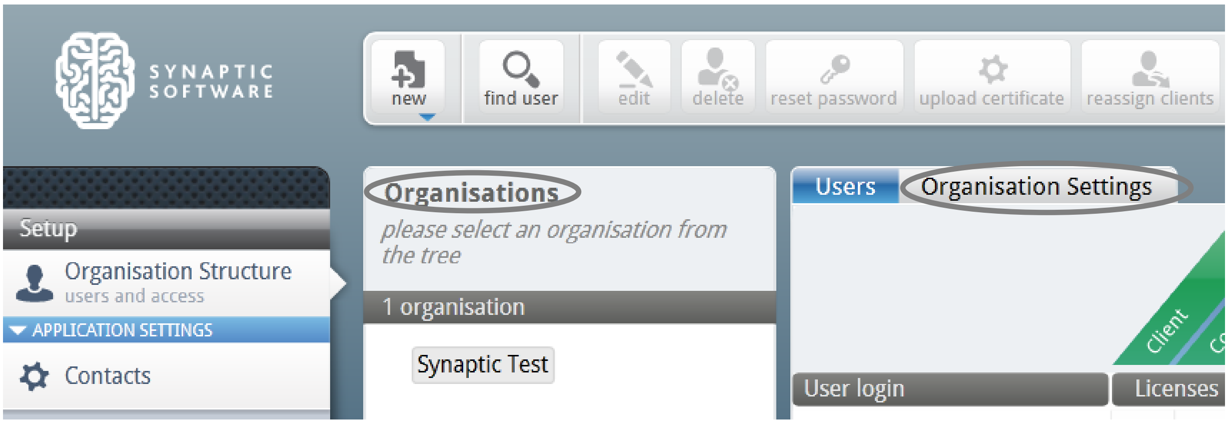


If you have a Comparator or Illustrator licence, the ability to carry out any administration tasks for these applications can be accessed within this screen.

3.1 Navigation

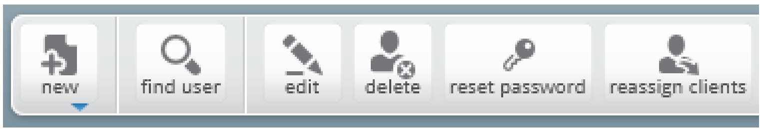
When accessing **Setup**, you will be shown the **Organisation Structure** screen. When an item within the Organisation column is clicked in the middle of the screen, the right hand side menu will show all the users logins, licences and roles assigned under the user tab.

If the **Organisation Settings** tab is selected, it will give you the override options for the Synaptic Suite.



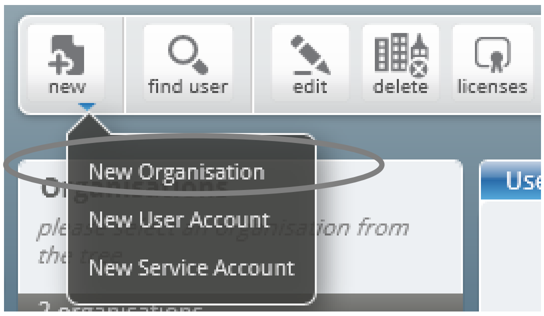
This guide will go into more detail regarding the left hand column later.

The buttons below will appear in a bar at the top of the screen and will be referred to as the ribbon bar throughout this guide. These buttons will be explained in more detail further on in this section.



3.2 Adding Additional Organisations

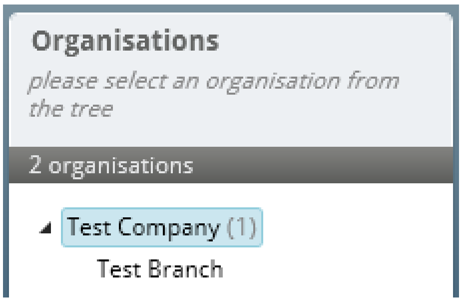
The child organisations of your company can be set up within Synaptic to allow separate offices to maintain their own system settings, i.e. if they have different adviser charges or panels. Select the organisation under which the new organisation should sit i.e. the parent for the new child organisation and then click on **new** in the ribbon bar and select **New Organisation**.



Enter the child organisations details and click **OK**.

Your organisation will now have a menu triangle and the child organisations will be displayed under your organisation.

Users can then be added as explained in the **Adding Users** section of this guide.



3.3 Parent & Child Organisation Permissions

An administrator can control what the child organisation can do in a number of areas, this supersedes the abilities of their role. An administrator can control the following;

- The number of licences given to a child organisation
- Whether a child organisation can override the parent organisations provider panel
- Whether a child organisation can override the parent organisations report cover sheet
- Whether a child organisation can override the parent organisations service levels
- Whether a child organisation can override the parent organisations investment strategy
- Whether a child organisation can override the parent modeller journey
- Whether a child organisation can create custom assets
- Whether a child organisation can override the growth rates for Comparator/Illustrator

The administrator can also see all users in the child organisations and what roles each user has with the ability to reassign roles and delete users etc.

An administrator in your child organisation can undo any changes made by you with regards to the users in the child organisation except adding more licences to their organisation (reassigning licences).

They would also not be able to give themselves the permissions described above.

What a parent organisation cannot control except through roles are the following;

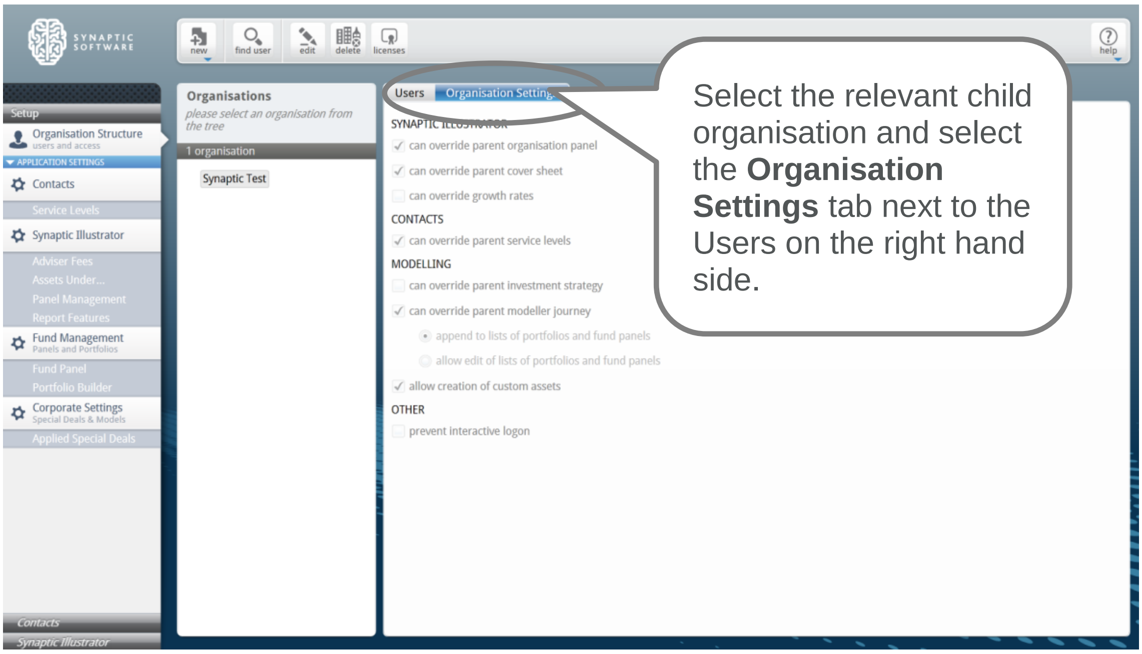
- Adviser fees
- Assets under management
- Whether Factsheets are mandatorily included in reports (report features)
- Fund panel

The administrator can create portfolios and publish them to all child organisations by labelling the portfolio as public. Portfolios can be shared in 3 ways, labelling as;

- Private – only that user can see them
- Internal – all users in that organisation can see them
- Public – all users in that organisation and their child organisations can see them

The administrator can also create fund lists (called Fund Panels in the Synaptic Client interface) and publish them to all child organisations as above (Synaptic Portfolio Builder only). The list of override permissions above that have a tick in them generally mean that a user can depart from the parent organisations default setting which has been inherited by the organisation. The child organisation will automatically take on the platform, wrapper panel and off platform products that have been setup by the parent organisations.

If child organisations are allowed to amend the panel set by the parent organisations, they will need to be given permission in the **organisation settings** area.

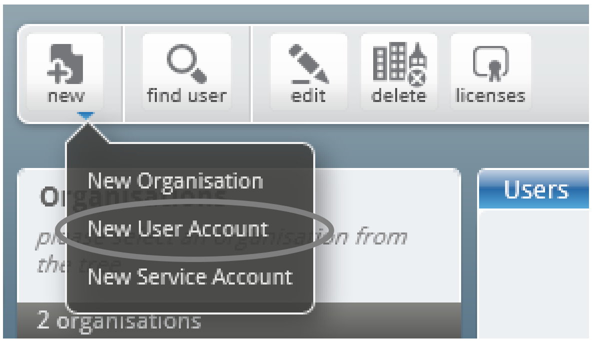


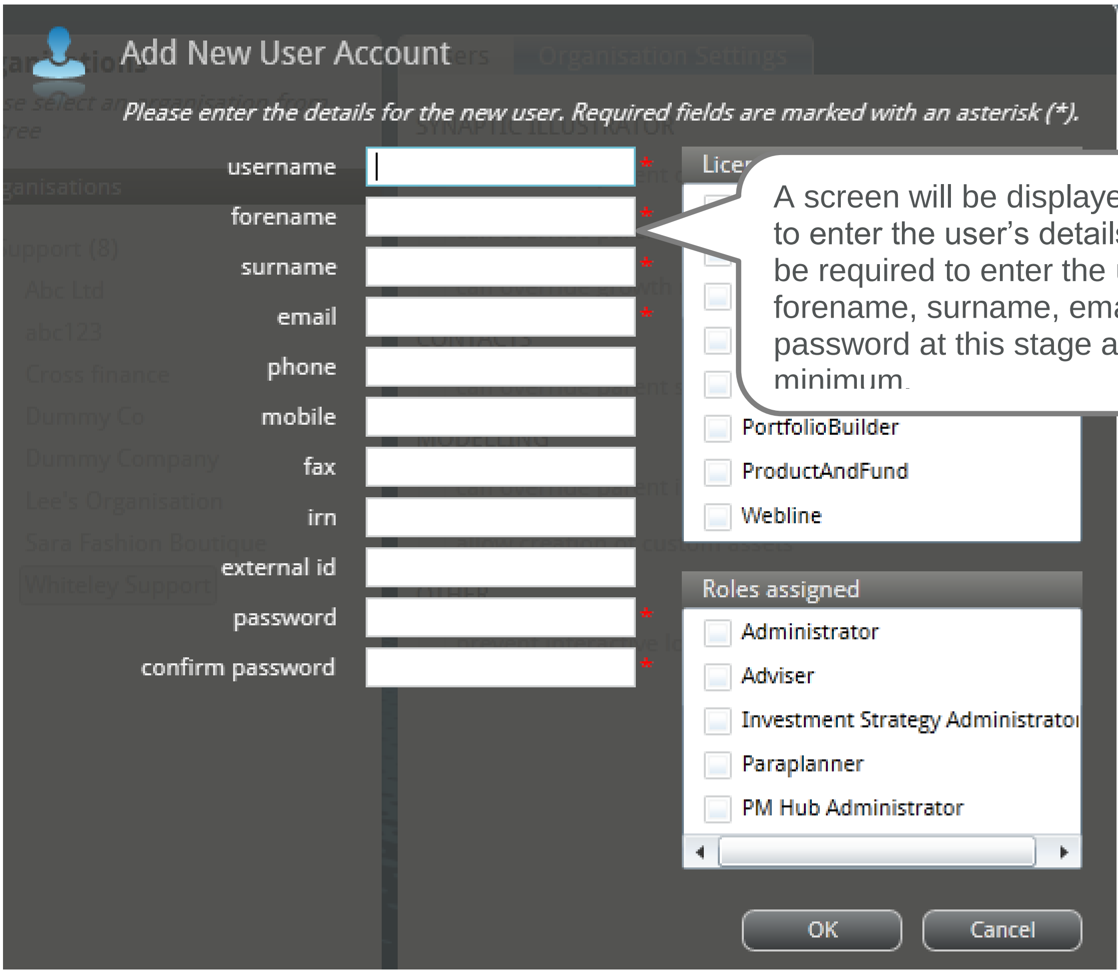
- Tick ‘**can override parent organisation panel’** if the administrator wants to give the child organisation permission to amend the platform/provider panel settings.
- Tick ‘**can override parent cover sheet’** if the administrator wants to give the child organisation permission to have their own report cover sheet.
- Tick ‘**can override growth rates’** if the administrator wants to allow the child organisation to be able to override the growth rates used by Comparator/Illustrator.
- Tick ‘**can override parent service levels’** if the administrator wants to allow the child organisation to be able to set up their own service levels.
- Tick ‘**can override parent investment strategy’** if you want to allow the child organisation to set up their own investment strategy.

- Tick '**can override parent modeller journey'** if the administrator wants to allow the child organisation to set up their own modeller journey.
- Tick '**allow creation of custom assets'** if the administrator wants to give permission for the child organisation to create their own custom assets. (they will still inherit the custom assets the administrator creates and sets to "public")
- Tick '**prevent interactive logon'** if the administrator uses the single sign on (SSO) mechanism and want to restrict the child organisation from accessing the software from the web page directly. The SSO mechanism is used by back office systems to send client data to Synaptic and this flag prevents users from logging in to the system from the web without going through the back office system (this is mostly for data integrity but can also be used to control compliance).

3.4 Adding Users

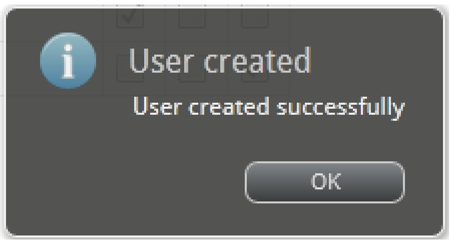
In order to add users to an organisation, click on the organisation and then click **new** from the ribbon bar, selecting **New User Account.**





A screen will be displayed for you to enter the user's details. You will be required to enter the username, forename, surname, email and password at this stage as a minimum.

Ensure the password entered is in the correct format.

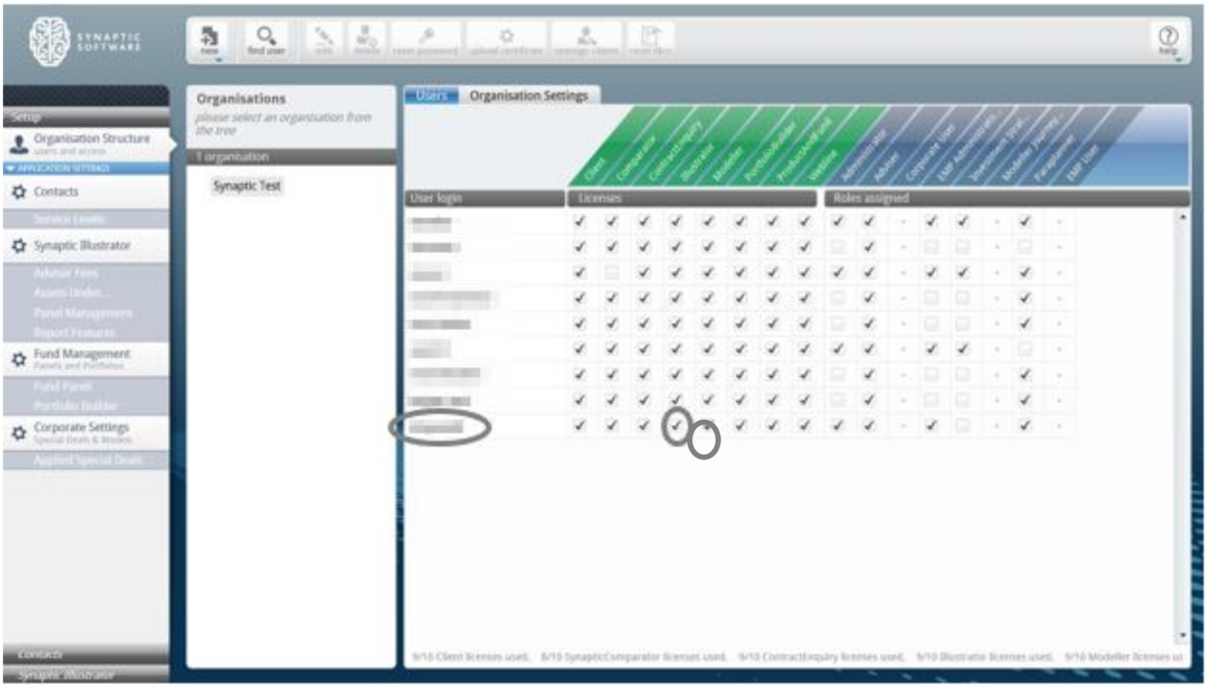


Click **OK** to finish.

NB The administrator must ensure that they read the next section below regarding user licences to complete this process.

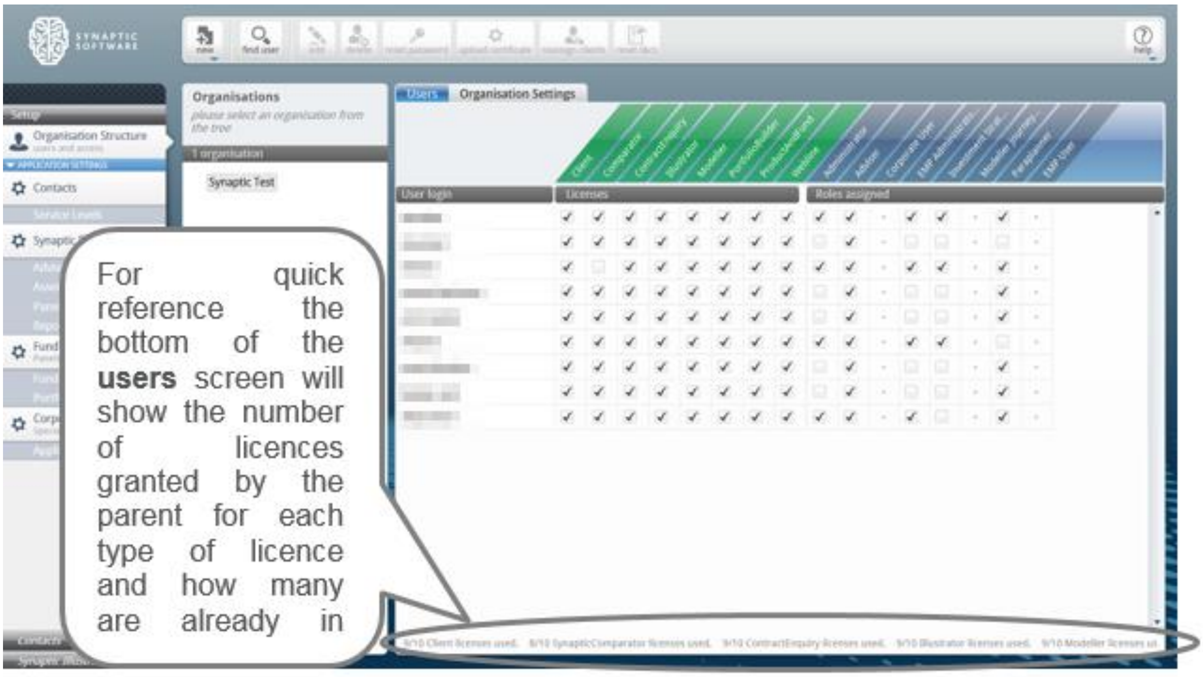
3.5 User Licences

Administrator licence holders have been given a number of licences to give to users at the organisation by your parent organisation. There are several licence types that control which parts of the system and which applications particular users have access to. In order to assign licences to the users, simply highlight the user and tick the relevant licence type.

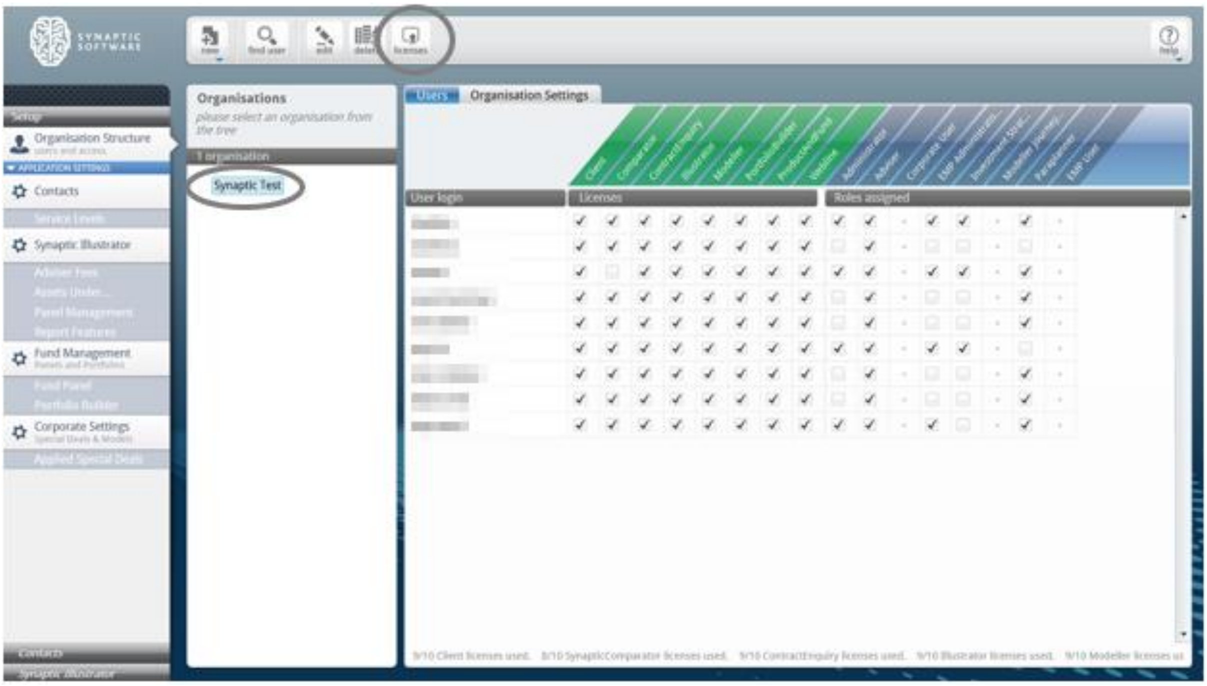


The different possible licences are as follows;

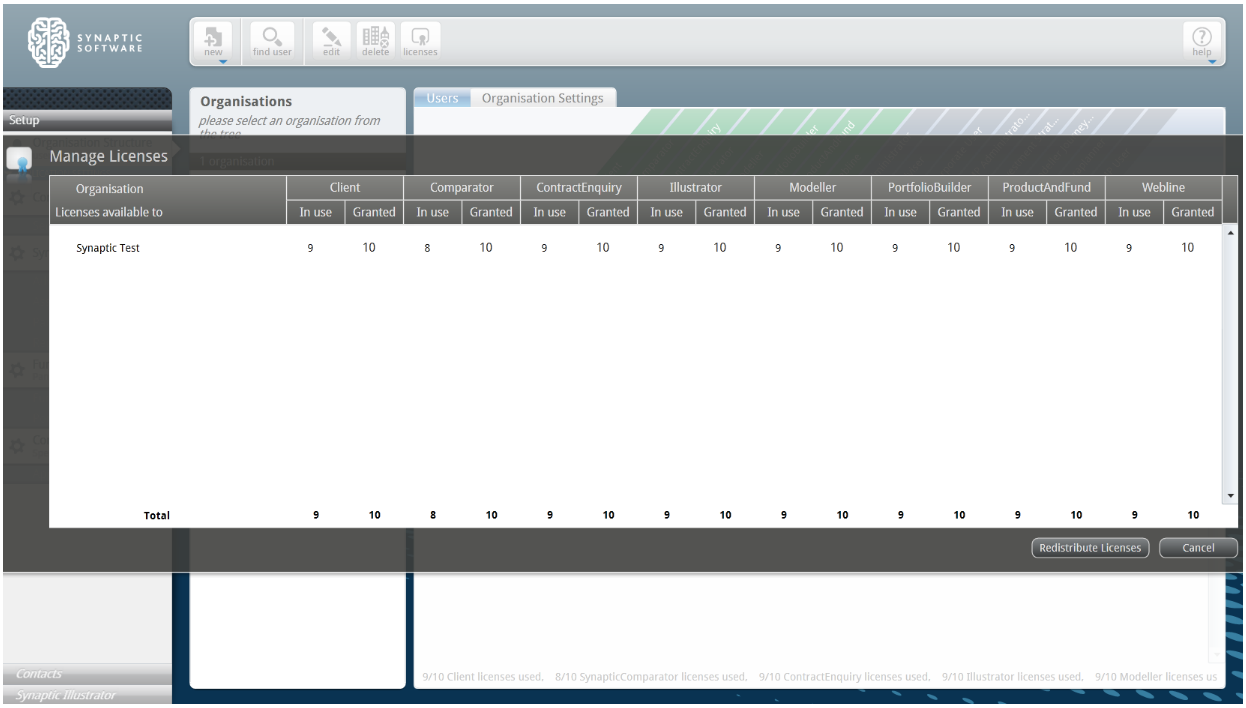
- **Client** – this gives users access to the Synaptic client tab and is needed in order to create clients and holdings. All users will generally have this functionality unless the user that is purely an administrator of the software and does not need to see client data.
- **Comparator** – this gives a user access to the Comparator application
- **Contract Enquiry** – this allows the user to conduct contract enquiry on a client's policies subject to the firm having accepted the required agreements – see Contract Enquiry User Guide for more details
- **Illustrator** - this gives a user access to the Illustrator application and allows the use of the Illustrator calculators in the Synaptic Client interface
- **Modeller** - this gives a user access to the Modeller application and allows the use of the Modeller calculators in the Synaptic Client interface
- **Portfolio Builder** - this gives a user access to Portfolio Builder & Wizard in the Synaptic Client interface, it also allows the input of funds into a client's holdings. Again most users should be given this licence if they have a licence for one of the applications
- **Product and Fund** – this enables the user to access Product and Fund from the Synaptic Client interface and take client data over
- **Webline** - this enables the user to access both Webline Annuities and Webline Protection from the Synaptic Client interface and take client data over.



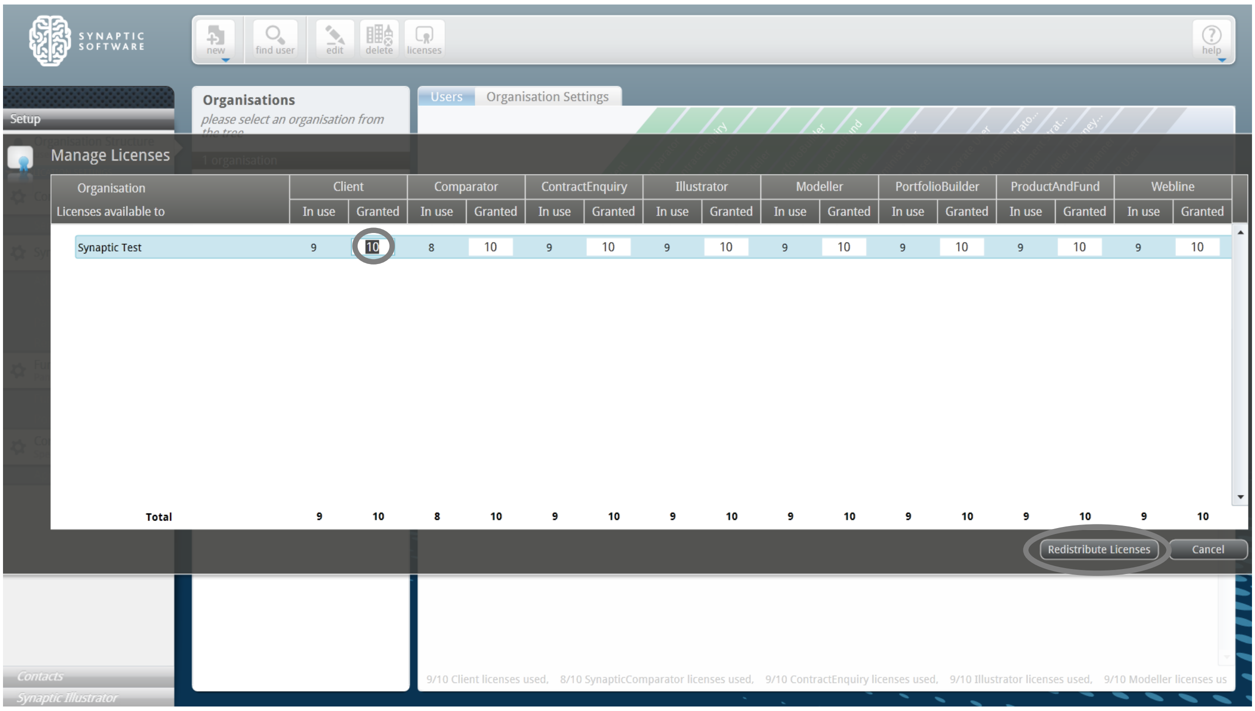
If child organisations have been created, they need to have licences, which will come out of the total granted by the parent organisation. In order to do this, select the organisation and then press the "licences" button in the ribbon bar where licences can be redistributed across child organisations.



This will open the "Manage Licences" dialogue in order for to redistribute licences across the child organisations. Click on the triangle next to the organisation's name to open out the tree of child organisations.



Select the child organisation the licences should be added to. Click into the "Granted" column for each of the licence types which are to be allocated to the child organisation and enter the number of licences they have been allocated.



Once all of the licences have been added to all the child organisations, click on the "Redistribute Licences" button at the bottom of the screen. This will remove the extra licences at this organisation and give them to the child organisations as specified. If there is not enough spare licences at this organisation, then the operation will fail and it needs to be started again.

3.6 Roles

A role dictates 2 things;

- What a user can see
- What a user can do

Combined they allow a user to have many functions within the software.

3.6.1 Adviser Role

This role allows the user into the applications for which they hold a licence e.g. Modeller, Comparator etc. and a read only view of the administration functions.

- User can create, edit, save and delete clients
- User can only see the clients you have created but can reassign clients to another adviser within your organisation or an adviser in your parent organisation
- User can conduct research
- In Setup (Comparator/Illustrator interface) the user can see a read only view of:
    - Adviser charging
    - Assets under management
    - Panel management
    - Report features
    - Fund panel
    - Service levels
    - Applied special deals
- In Setup (Comparator/Illustrator interface) the user can create portfolios and share if desired
- In Synaptic Settings the user can see a read only view of:
    - Modeller Customisation
    - Custom Asset Types
    - Fund Universe (fund panel in Comparator/Illustrator interface)
- In Synaptic Settings the user can create portfolios and share if desired

3.6.2 Paraplanner Role

This is exactly the same as an adviser but the user can see the clients of all advisers in your organisation and child organisations.

3.6.3 Administrator Role

This role allows the user to setup all of the settings described in this guide.

- User can create/edit /delete users in your organisation and assign roles and licences
- User can create/edit /delete child organisations and assign licences to the child organisation
- User can create/edit /delete users in the child organisations and assign roles and licences
- User can reassign a user's clients to another user – (for use in deletion of users)
- User can set adviser charges, assets under management, report features and fund panel (Fund Universe in Synaptic Client interface) which apply across the organisations users
- User can see a read only view of applied special deals.

- User can override the service levels, panel management and the report cover sheet if the parent organisation allows the user to.
- User can give those permissions to a child organisation so their organisation can do those functions only if the user has those permissions themselves
- In the Synaptic Client interface the user can create custom assets and publish them (akin to portfolios) to the organisation or the organisation and child organisations – this is only if the parent organisation has given the user permission to create custom assets.
- User can override the Modeller journey settings if the parent has given permission to do so
- User can also create the fund universe and portfolios and see a read only view of the Modeller Customisation.

3.6.4 Investment Strategy Administrator Role

This role allows the user to create an investment strategy in the Synaptic Client interface (known as Modeller Customisation). The ability to publish the strategy created is controlled by the parent organisation as described above. Only this role can publish a strategy.

Please refer to the "*Synaptic Investment Strategy Customisation Guide*" for more details.

3.6.5 EMP Administrator Role

This role allows access to the EMP (Enterprise Messaging Platform – Contract Enquiry) administration console in the Synaptic Client interface. From here the user can;

- Agree the contracts in order for your users to be able to use Contract Enquiry
- Request to be authorised on a particular provider.
- Disable an authorised provider for all users in your organisation.
- See the service status of a provider (set by the system administration).
- See other information about a provider in terms of products supported and contract number formats etc.
- Set the access credentials for providers (that do not use unipass) at an organisation level or specify that each user must do this.

Please refer to the "*Synaptic Contract Enquiry Administration Guide*" for more details.

3.6.6 EMP User

This role is specifically designed for organisations that do not hold a Synaptic licence but wish to receive valuations directly from the EMP via a back office system. It can only be set for a user who has a service account created for them.

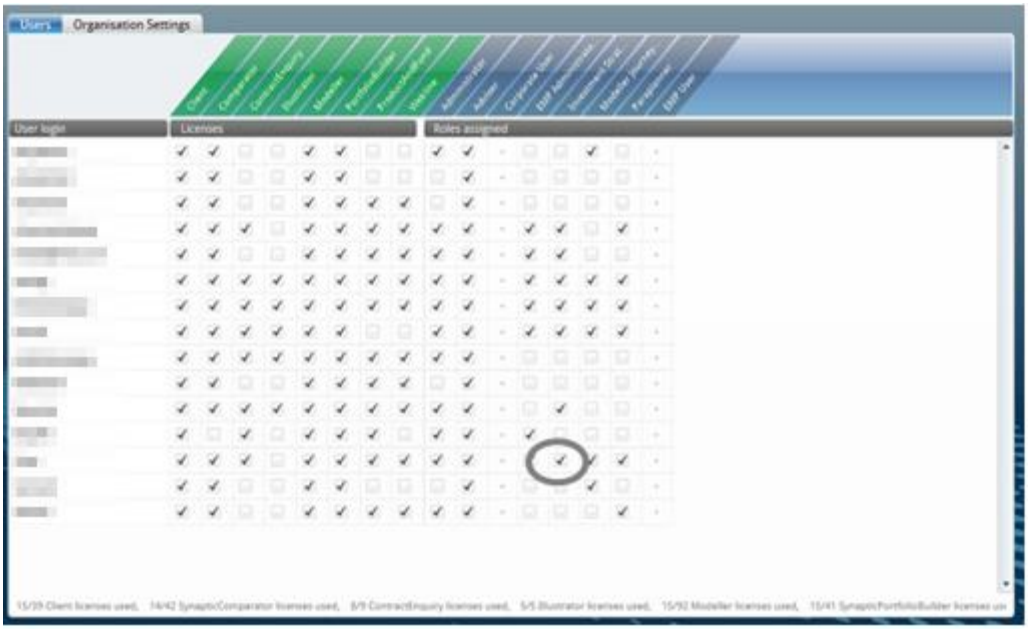
3.6.7 Corporate User Role

This role is for Providers use only and controls the special deals functionality in Comparator/Illustrator. Only a Synaptic Software Limited system administrator can assign a corporate licence.

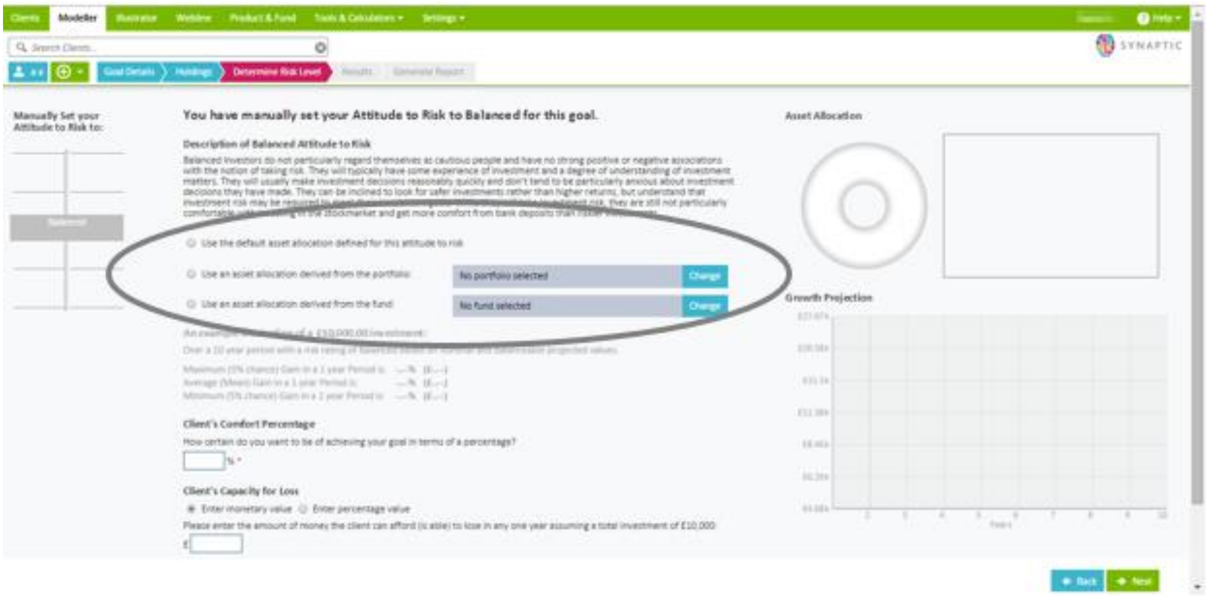
3.6.8 Modeller Journey Override Role

This role is for users that are allowed to define the Modeller journey taken in each goal i.e. depart from the default set at the organisation.

The administrator will have to tick the 'Modeller Journey Override' box.



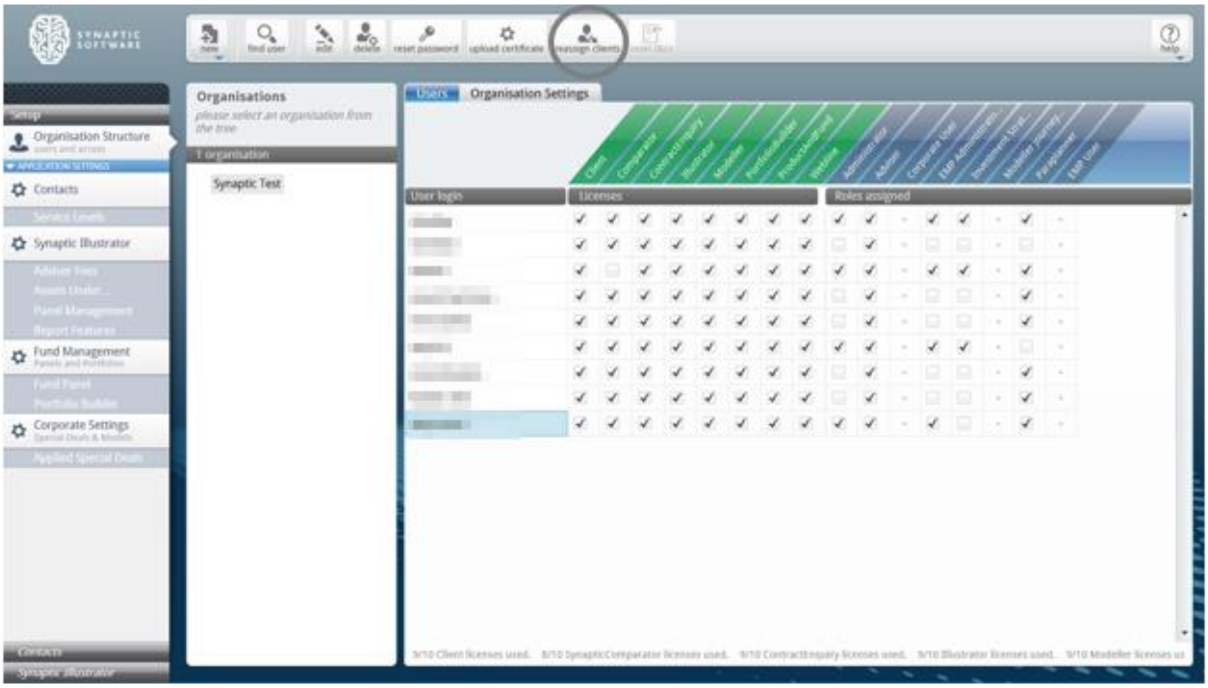
This will allow the user to make their own selection at the 10k screen as shown below:



NB The administrator must ensure that they make the correct selection regarding the use of the Modeller Override Journey. Enabling this option allows the users to define their own modelling journey despite the parent organisation's settings.

It is possible to assign clients between advisers that work within your organisations. This might be useful if an adviser has left the company.

To reassign clients, click on the organisation and the user whose clients need to be reassigned, then click the **reassign clients** button in the ribbon bar.

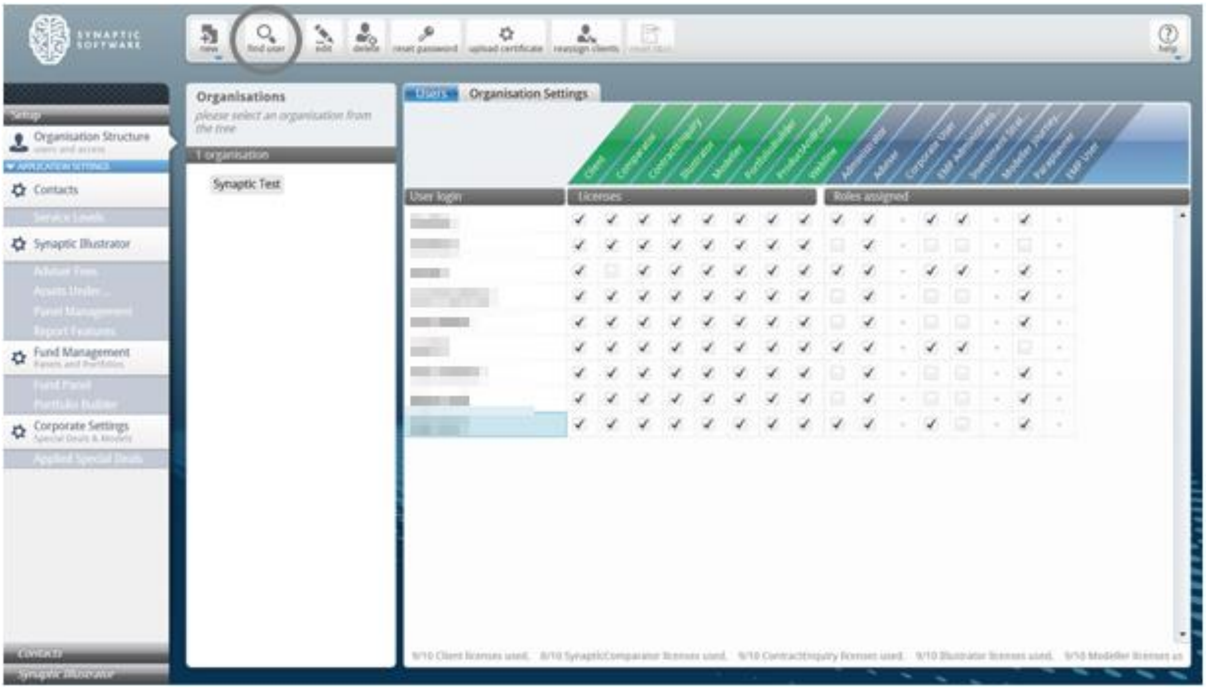


If reassigning clients, when the selection is made, the software will reassign all clients under that adviser and will search every user with an adviser role within the organisation including below and above it as well.

An adviser can reassign clients individually, please see the "*Synaptic Client User Guide*" for further details.

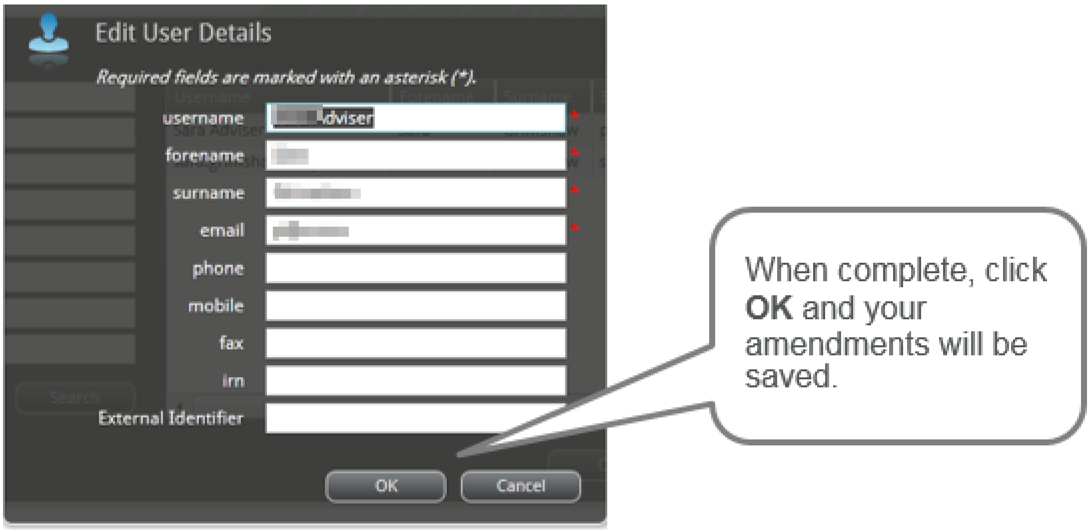
3.8 Finding a User

It is also possible to find a user by clicking on the **find user** button in the ribbon bar.

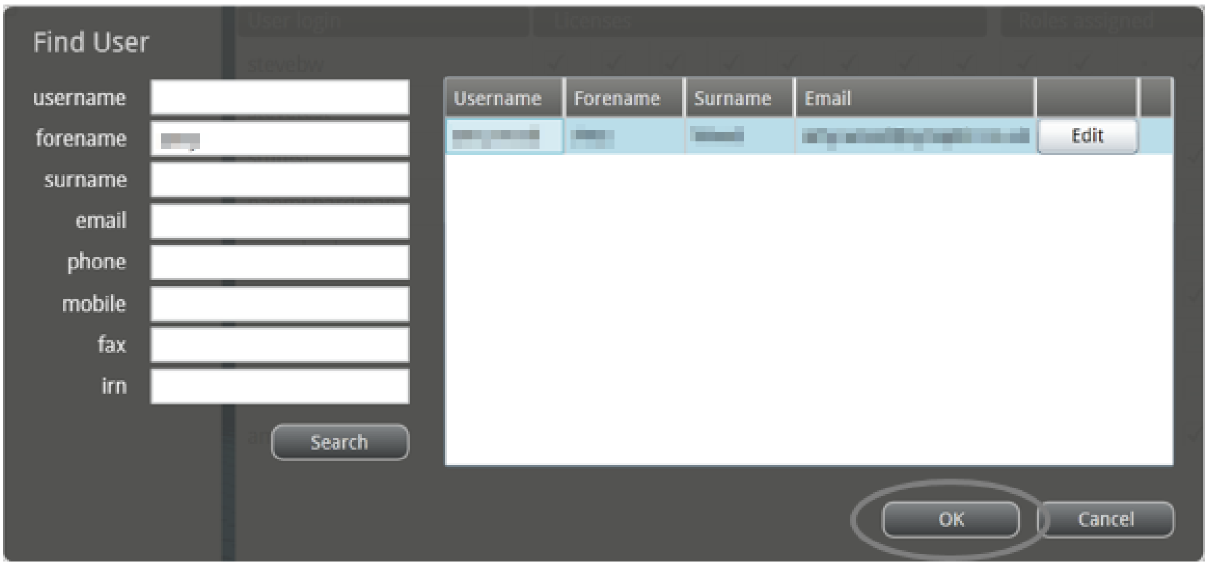


The administrator will then need to search on either the username or other details and click **Search**.

This will return a list of all users in the organisation selected or child organisations that satisfy the criteria entered. Select the user and click on the edit button if the user details need to be edited.

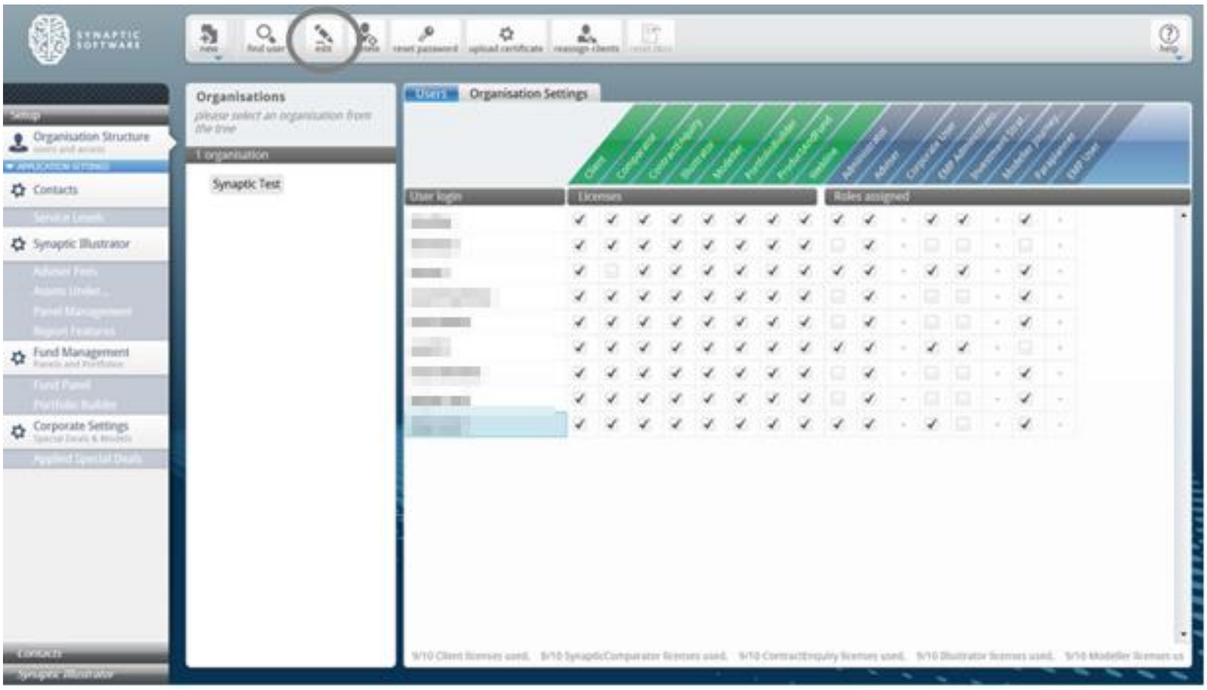


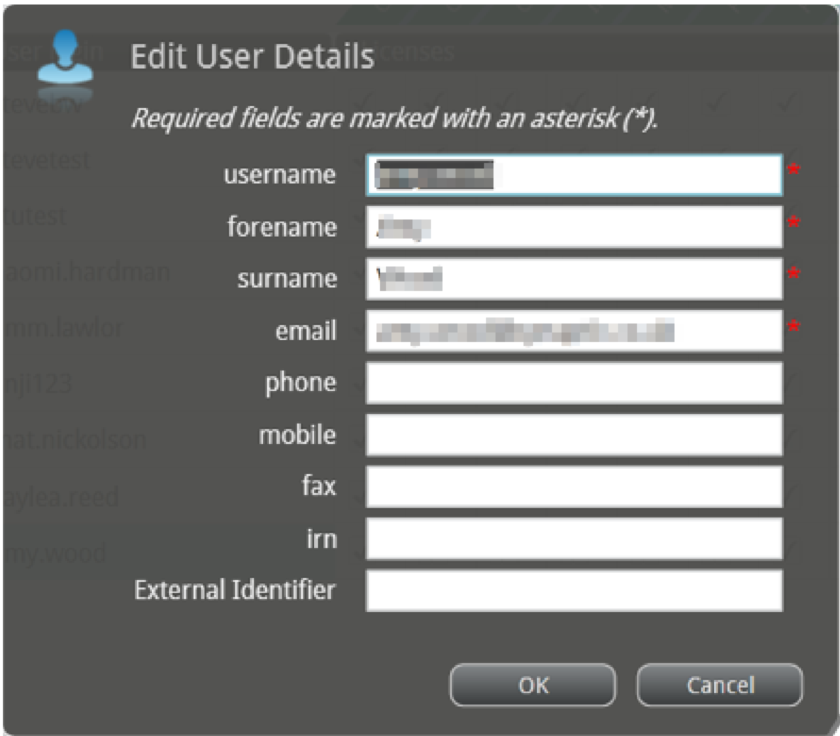
Alternatively you can highlight the user and click **OK.** This will close the dialogue and take you to the organisation for that the user in order to amend any licences or role details.



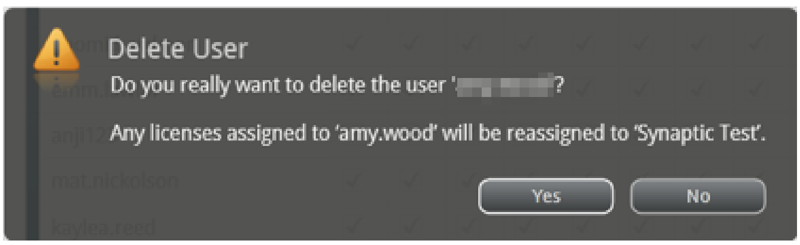
3.9 Deleting and Editing a User

Highlight an organisation to access the edit and delete buttons in the ribbon bar. If the user is highlighted, the administrator is able to edit, delete and reset passwords. There is also an upload certificate button but it is advised that this is done within the **Synaptic Client** interface. See "*Synaptic Client User Guide*" for further information.



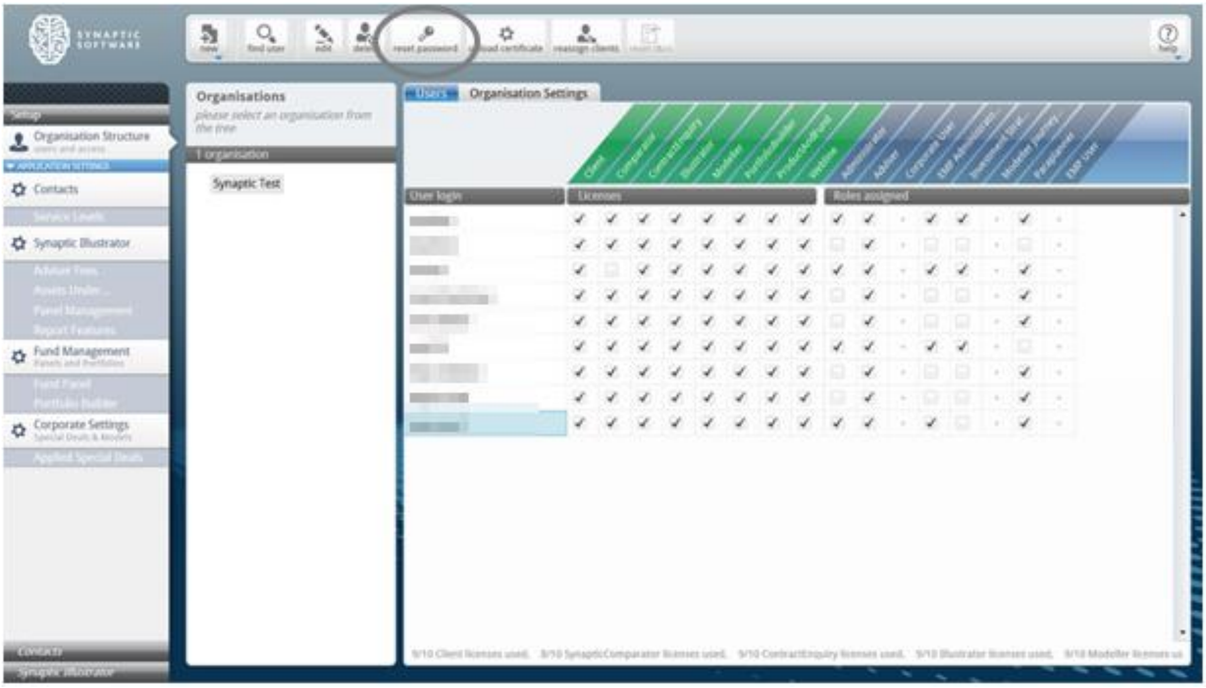


Please note that all clients must be transferred away from the user before that user can be deleted.



3.10 Resetting a User Password

Any user passwords can be reset by highlighting the user and clicking on the **reset password** button on the ribbon bar.



New password can then be entered.

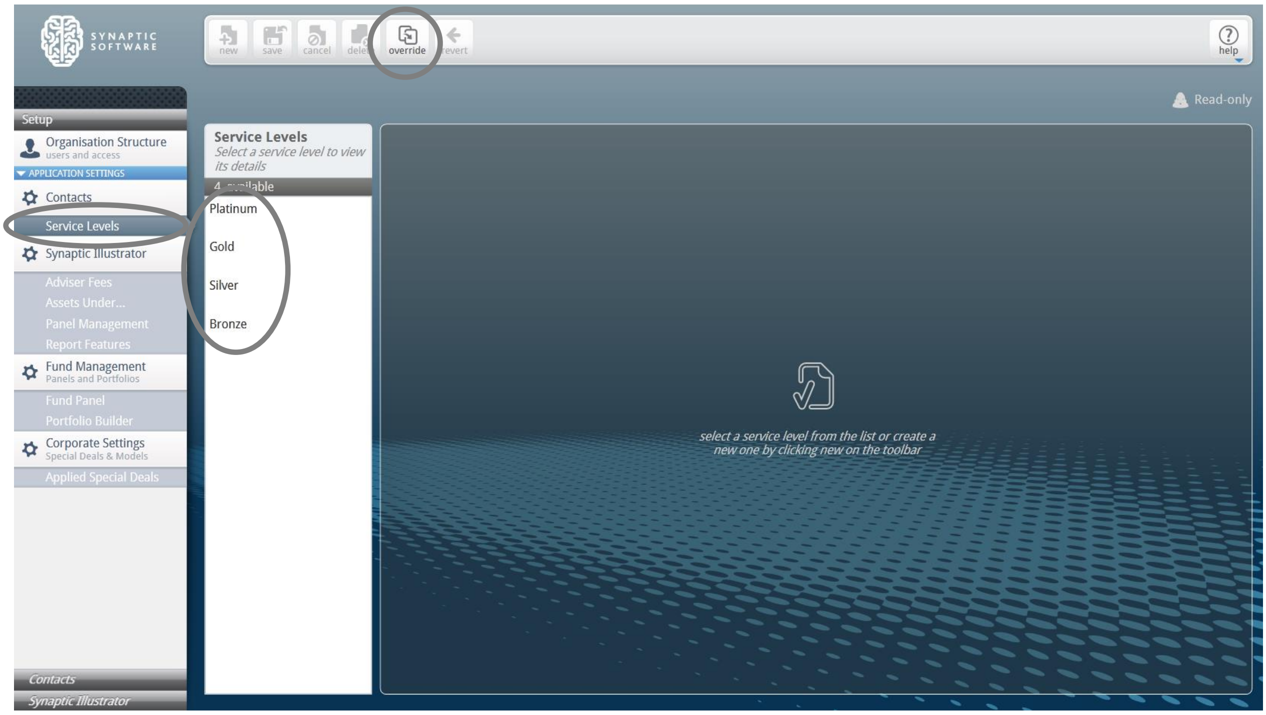
Click **Change Password** to complete the process. This will immediately change the user password and allow them access to the software.

4 Client Administration

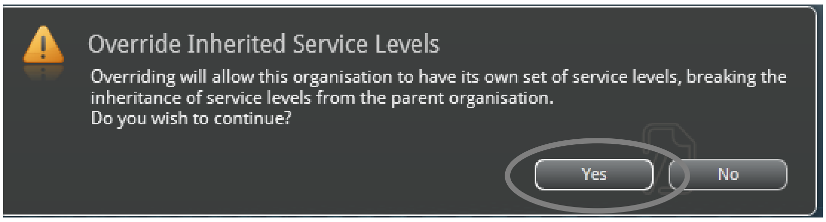
This section explains how to set up the parameters the user can work within for their clients.

4.1 Client Service Levels

This area is accessed from the left hand menu underneath the **Organisation Structure** tab by selecting the **Service levels** tab under the **Contacts** section. Under this area there are four default service levels which can be changed to suit the needs of the business.

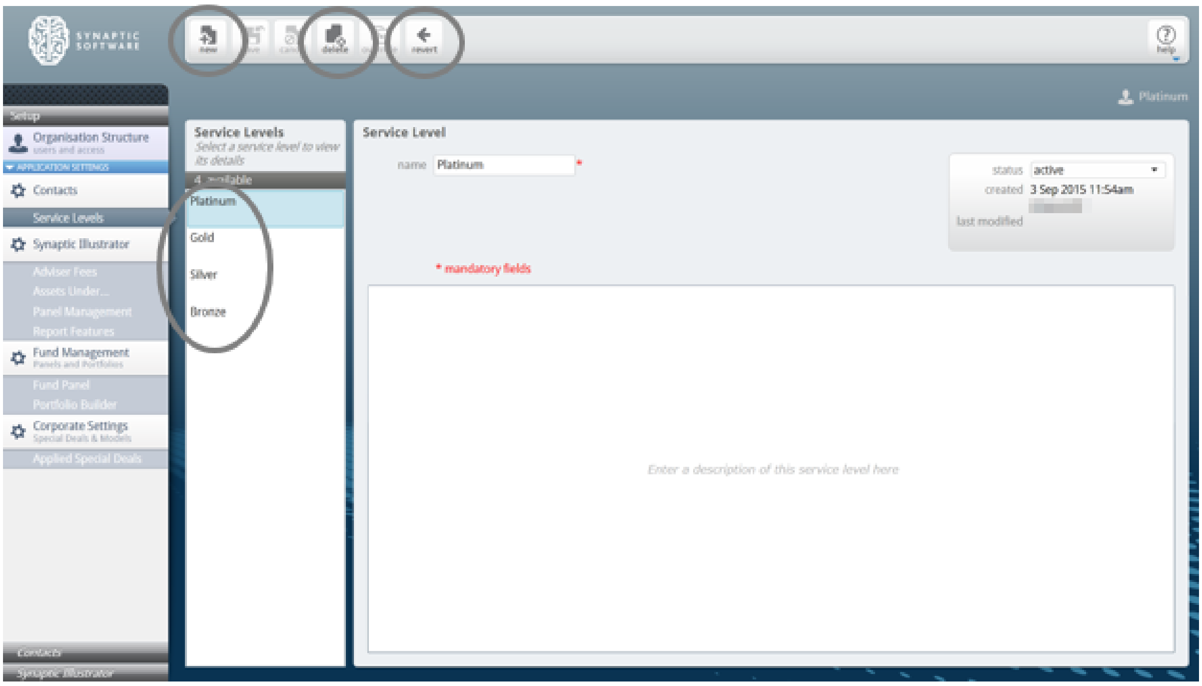


If you wish to override these service levels, click on the override button at the top of the screen. Options to override the existing levels will be given. Click **yes** to override.

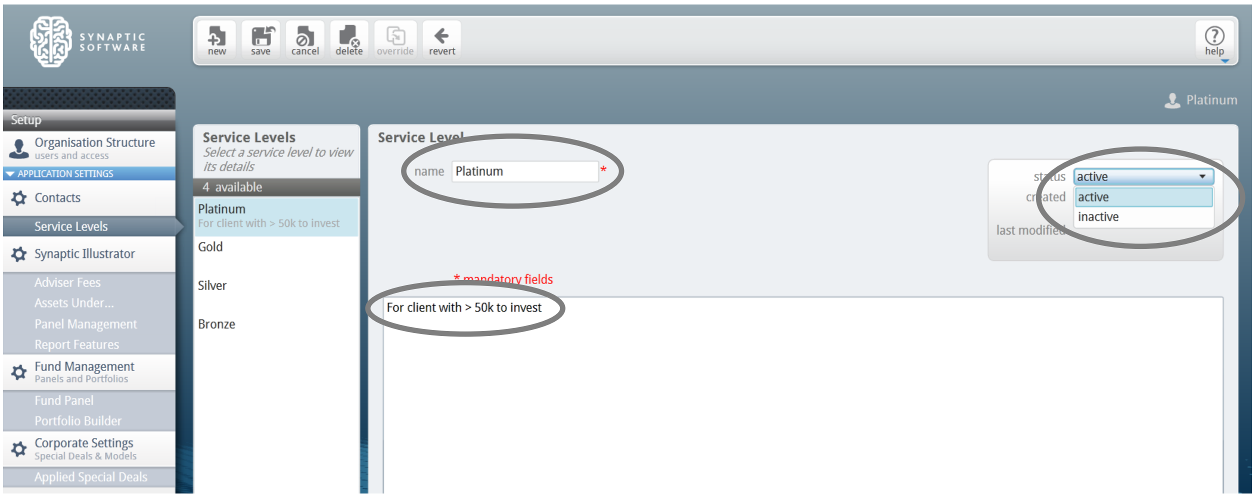


You can then make the selection as to the service level you wish to change.

If you as the administrator wish to create your own service levels, the **new** button simply needs to selected on the ribbon bar at the top of the screen, otherwise they can be deleted or reverted back to the original service levels.



Once the new button has been selected, you will have the option to name the new service level, make it active by using the status field and entering a description of the service level if required.



Remember to click on the **save** button on the ribbon bar to complete the process.

The primary use of the service levels is to drive the adviser fees within the system. It can be also be used to record the description of the service provided to the client.

Please note the 'can override service levels' box must be ticked within the organisation structure in order for this function to be carried out. Refer to the previous section for more information.

Please note that as an administrator this would be all that would be necessary to carry out within the Comparator/Illustrator interface for this guide. All further functionality would be within the Synaptic Client interface.

Any additional administrative functionality should be completed within the Synaptic Client interface as indicated in section 4.2 below.

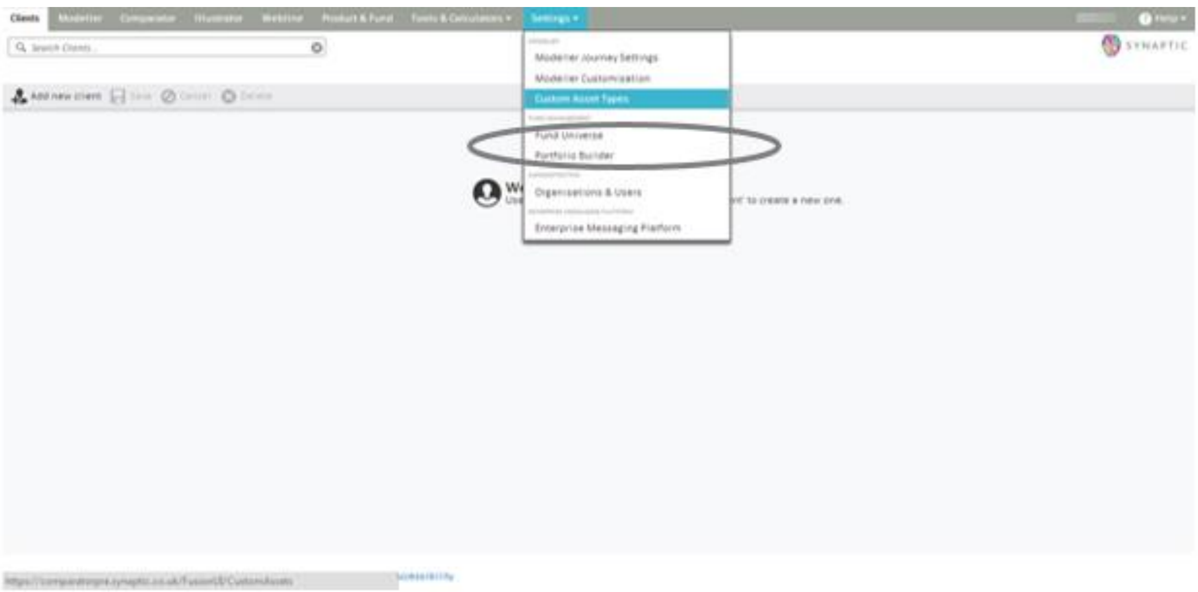
4.2 Custom Asset Types

From here you can create custom asset types for the organisation (and children) or view the types that have been inherited from the parent organisation.

You would need to create asset types for the user in order that they exist before the user can create an asset of this type for a client.

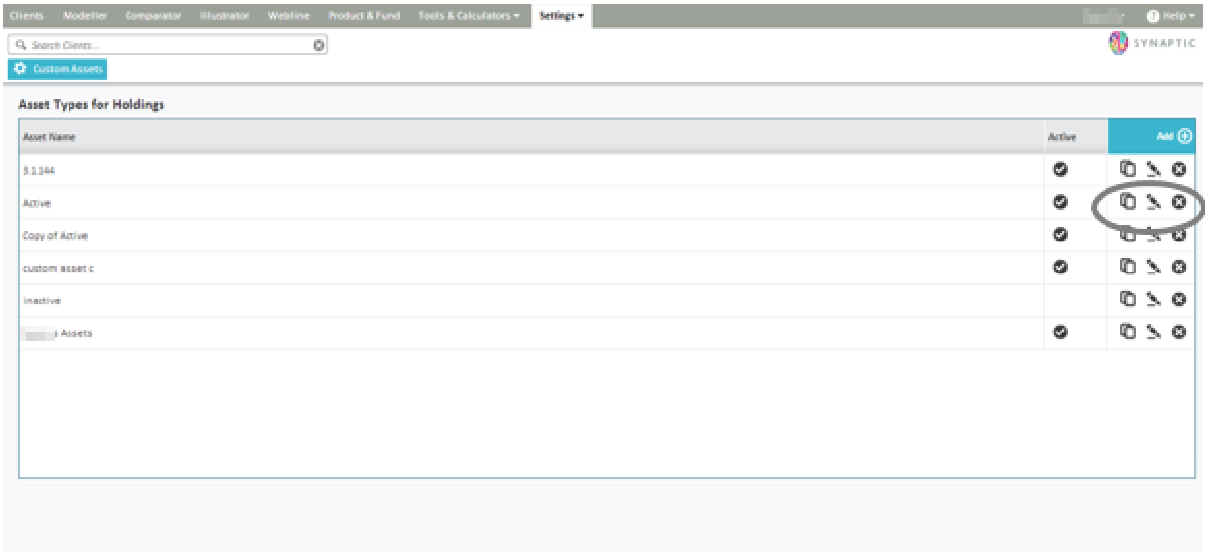
In order for you to do this, the organisation must have to relevant permission. Please refer back to section 3.

Go to **Settings** and select **Custom Asset Types** to start reviewing the custom asset types for the organisation. The screen will list all the custom asset types you have created or inherited and their status.

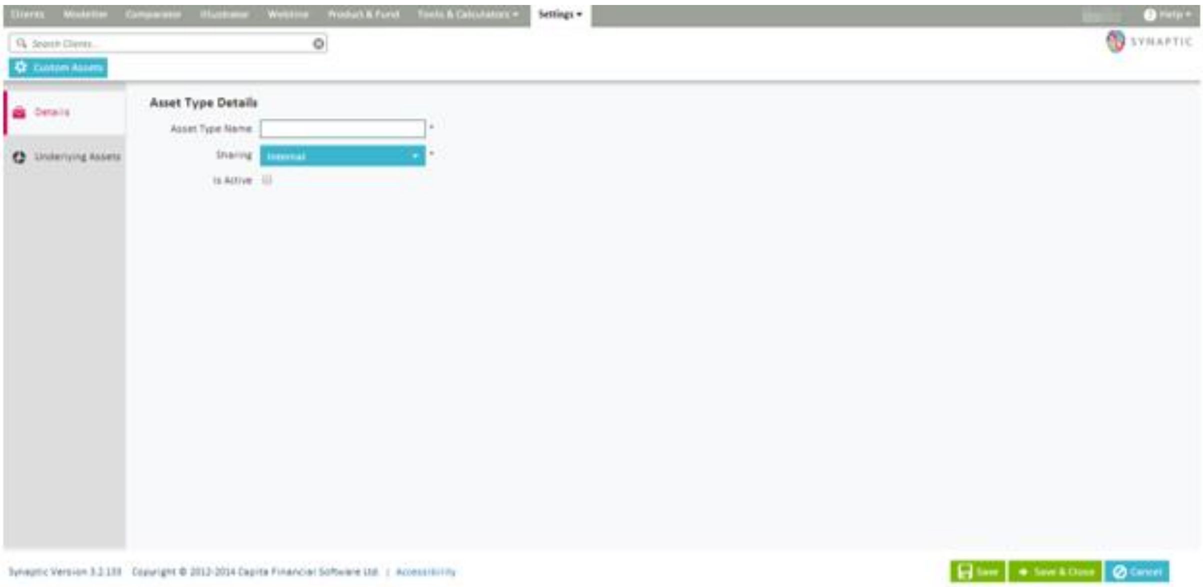


Click the edit pen to edit existing types, the two page symbol to duplicate or the view icon to see inherited types.

Click on the **add** button to add a new type.

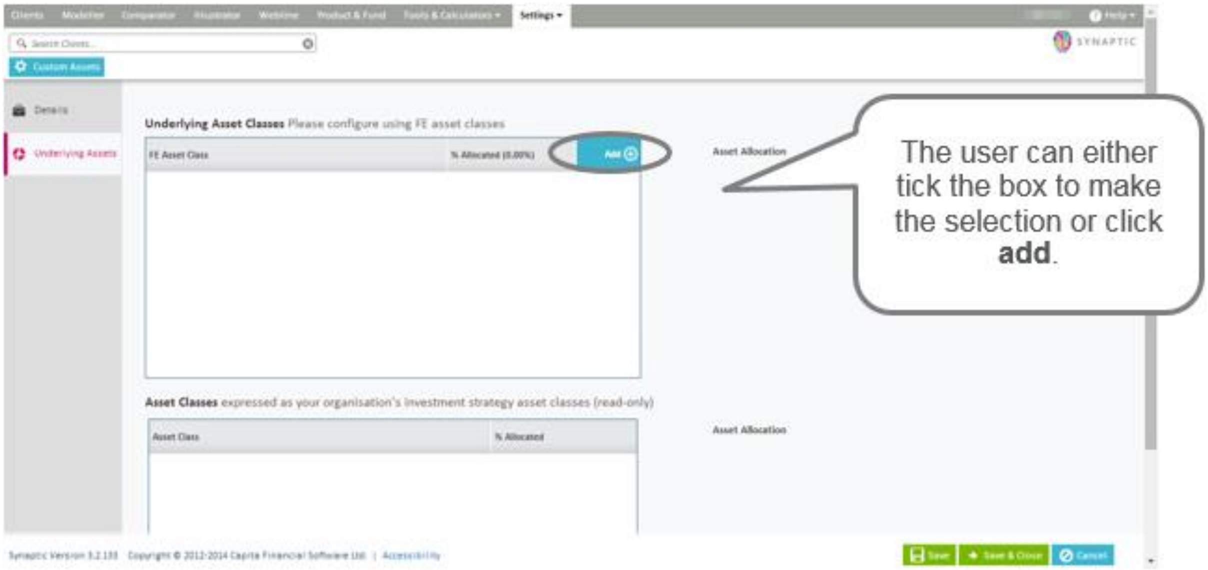


The user will then be given the opportunity to complete the asset type details, by allocating an asset name, make it active and set the sharing options, the choices either being for internal or public use.

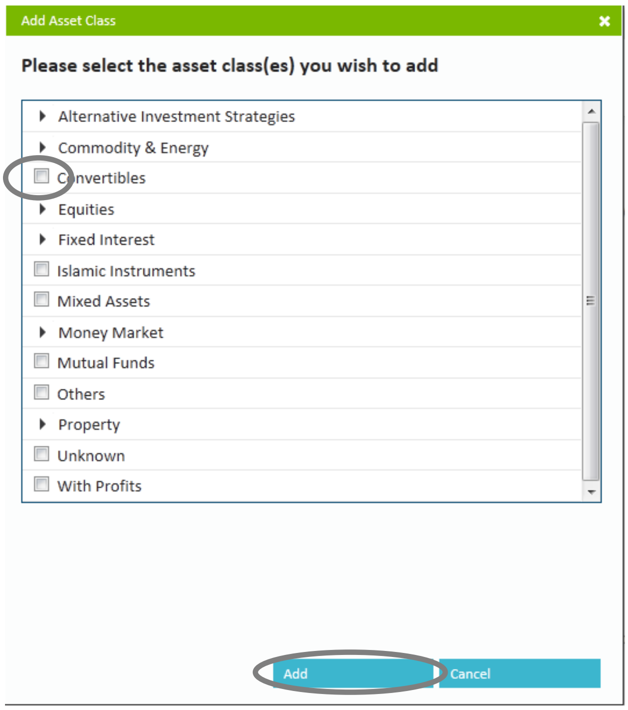


Define what this asset type is made of in terms of asset classes.

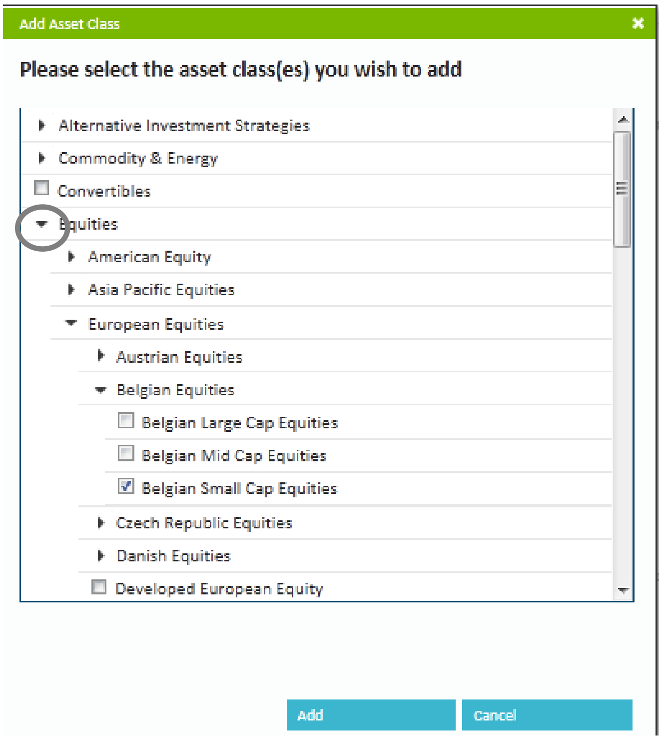
The top box will allow for the selection from Financial Express (FE) asset classes. These are the asset classes that the fund data is supplied in. Click **Add** to view the tree of possible classes to select from.



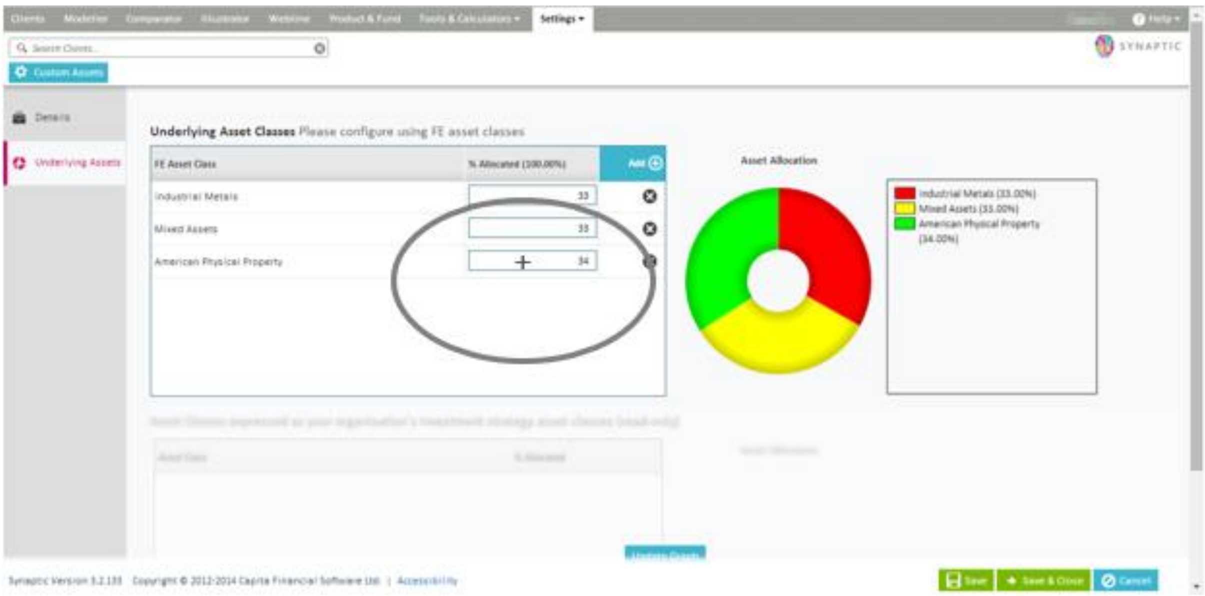
The user will need to select the asset classes they wish to add.



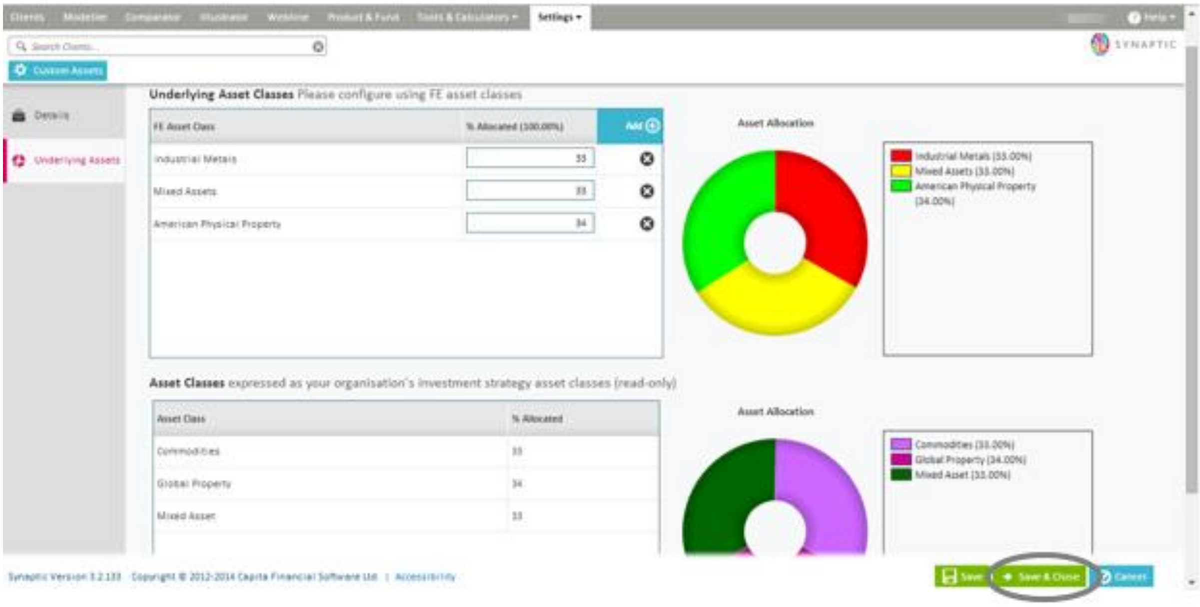
Or click on the arrow by the side of the selection and continue to make the selection until the user arrives at a tick box required.



Once the asset classes have been selected and added, the user will be able to add the % weightings in each class.



If the user scrolls down to the bottom of the screen and selects **update graph**, the system will return the asset classes deployed in the investment strategy which the user will see when they create an asset of this type for their client.

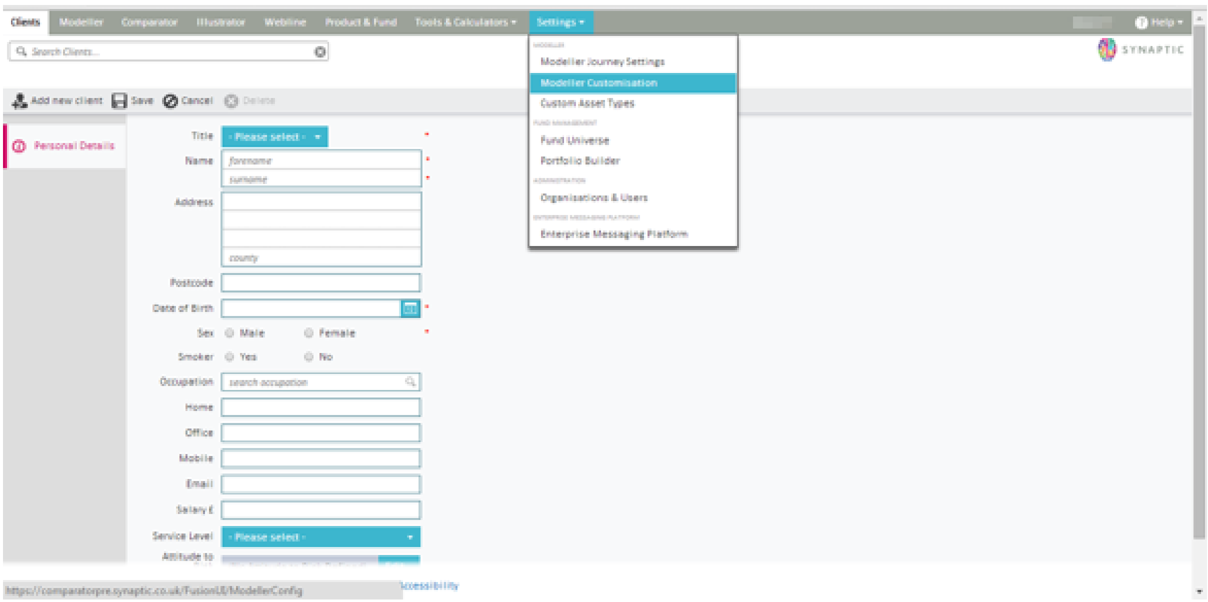


When completed click the **Save & Close** button

5 Modeller Customisation (Investment Strategy Customisation)

Navigate to **Settings** and select **Modeller Customisation**. This view is a 'read only' view of the investment strategy that is deployed in the system which includes the ATR questionnaire and the Asset Allocation mappings.

The user would need to be an 'Investment Strategy Administrator' to create investment strategies. Please refer to the "*Synaptic Investment Strategy Customisation Guide*" for more details.



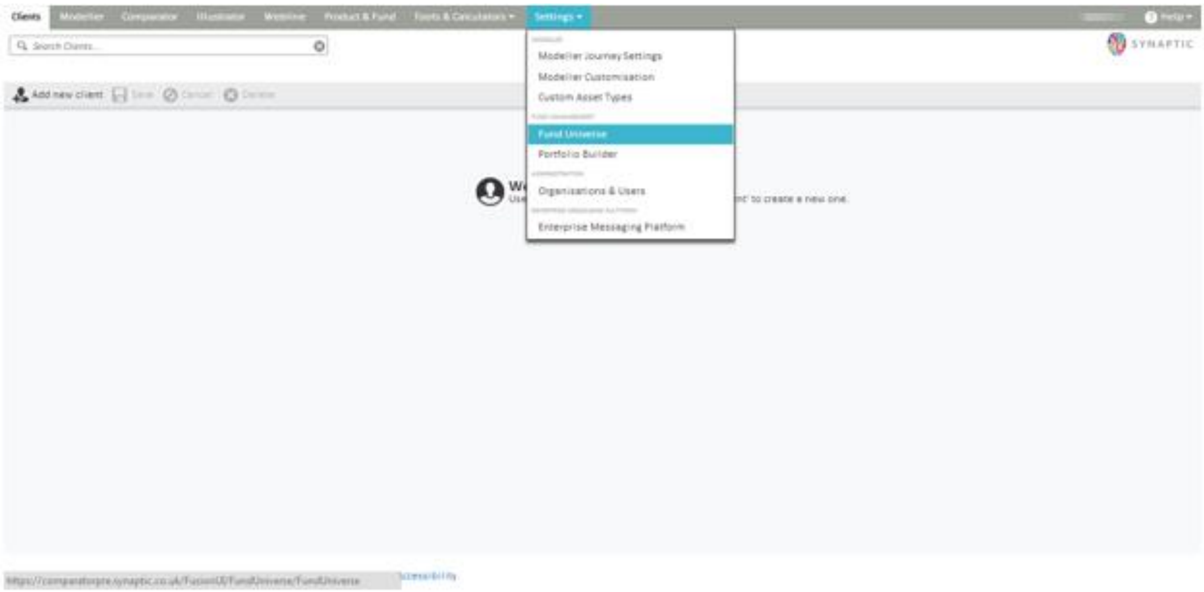
6 Fund Administration

This section refers to funds that are available within the system.

6.1 Fund Universe

The fund universe functionality is used to control the total funds that can be used within the applications within the system.

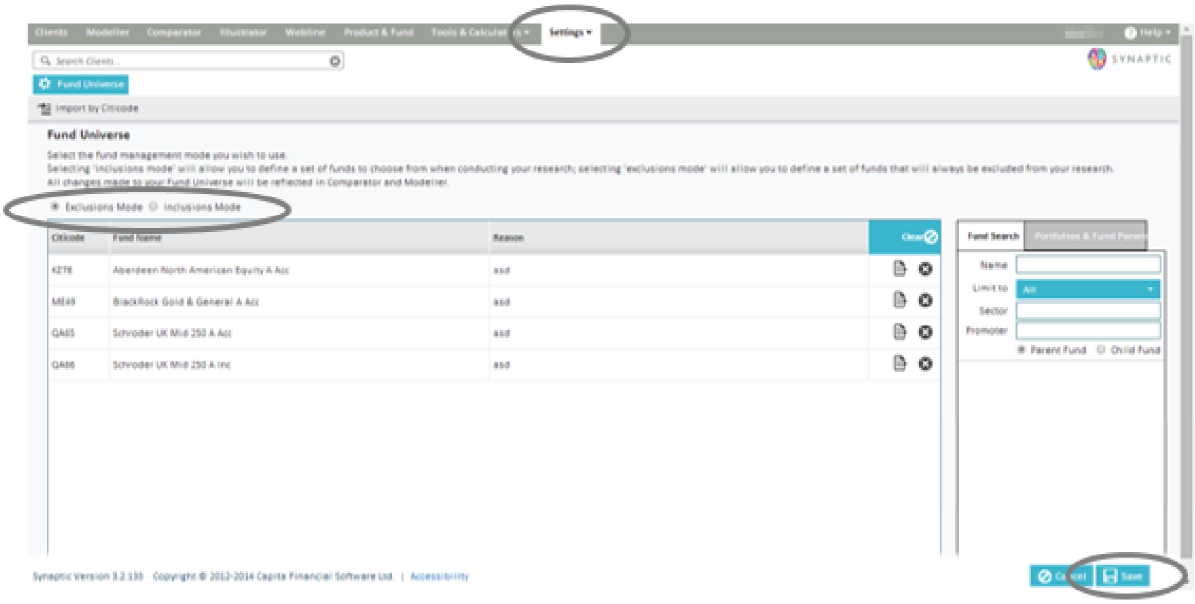
It has two modes, inclusion and exclusion. These modes are mutually exclusive i.e. the selection has to be one or the other, but not both.



Once the screen is accessed, the option is given to choose the mode required and then ability to add funds. The user can use all the functionality described within the "*Synaptic Client User Guide*" to select the funds required. i.e. searching, dragging and dropping, using existing portfolio/fund panels.

If this is set to 'inclusion' mode, the funds on screen will be the only funds available for the user of the organisation to select within the applications.

If it is set to 'exclusion' mode then the funds on screen will be the funds that the user of the organisation will not able to use in the applications.



Ensure the user clicks on the **save** button to confirm the selection.

In order to navigate away from this screen, please click on one of the tabs at the top of the screen.

6.2 Portfolio Builder

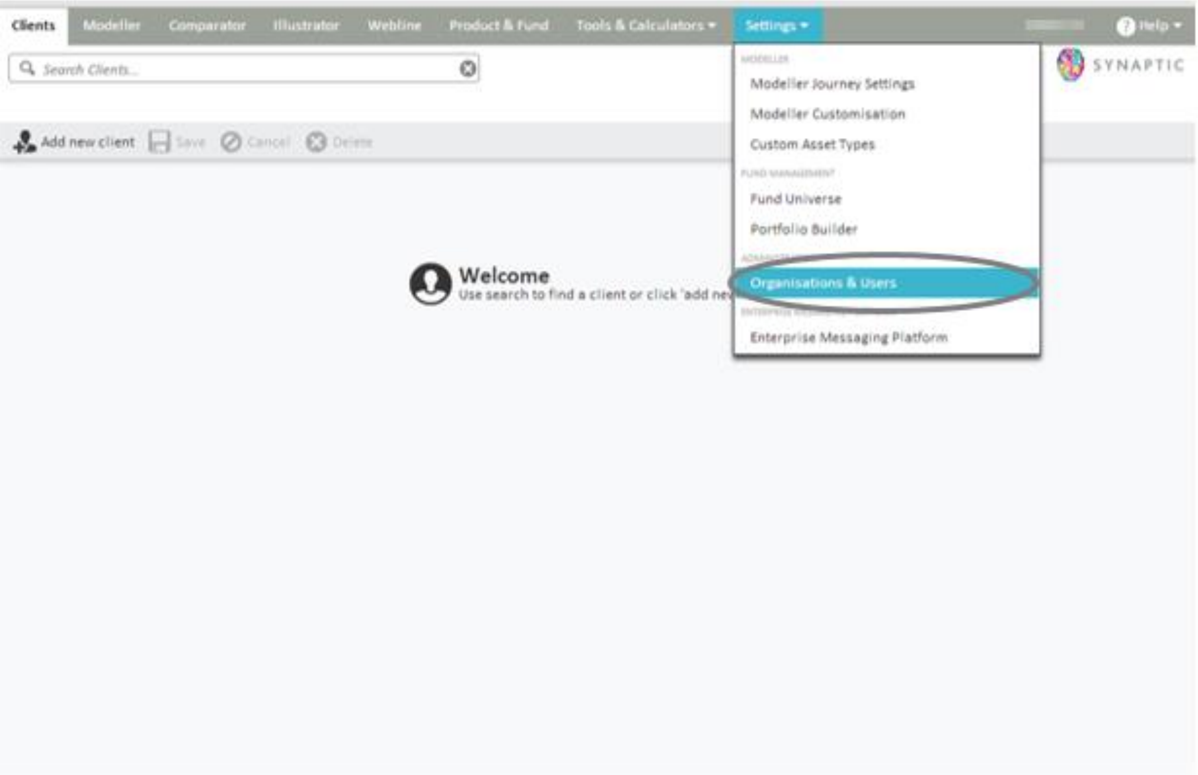
As an administrator with a portfolio builder licence, you can create and publish both portfolios and fund panels to all of the user base as described in the "*Synaptic Client User Guide*".

Once you have set up the user permissions, the next step is for the user to set up the required portfolios. The user may already have portfolios set that they wish to use therefore this step is optional.

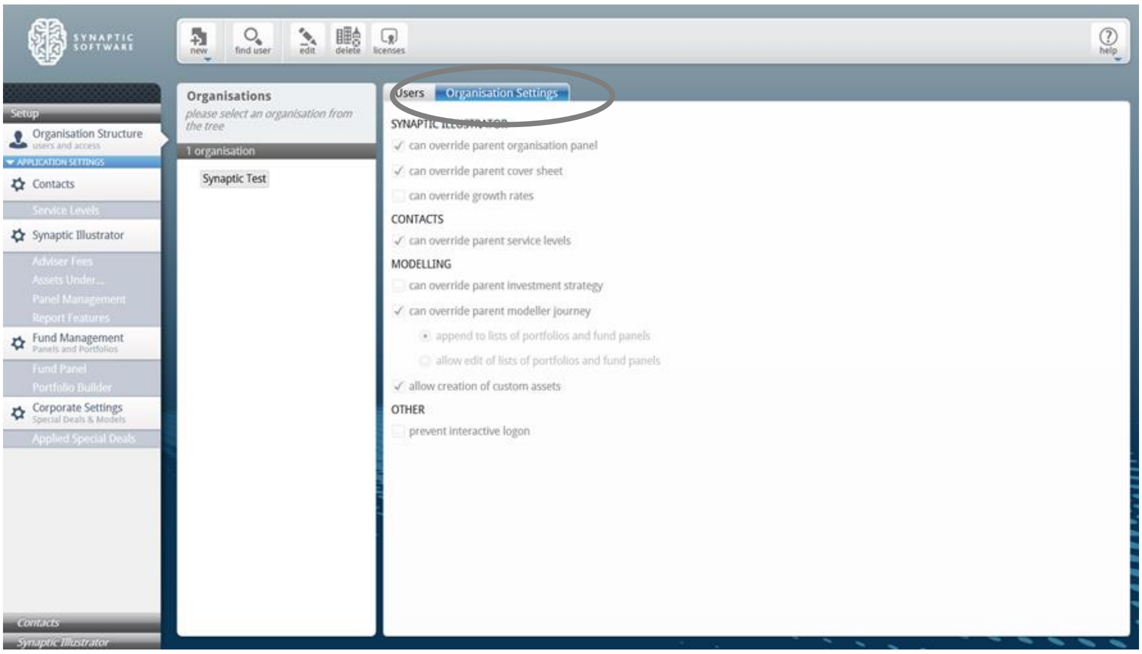
6.3 Modeller Journey Override and Fund Based Journey

The first thing the user needs to do to initiate the set up for their Fund Based Journey is to access the settings tab from the Synaptic Welcome screen.

Select the **Organisations and Users** option from the drop down menu, they will be taken to the **Set up** screen for their organisation.



Select the organisation and click on the organisations settings tab at the top of the screen.



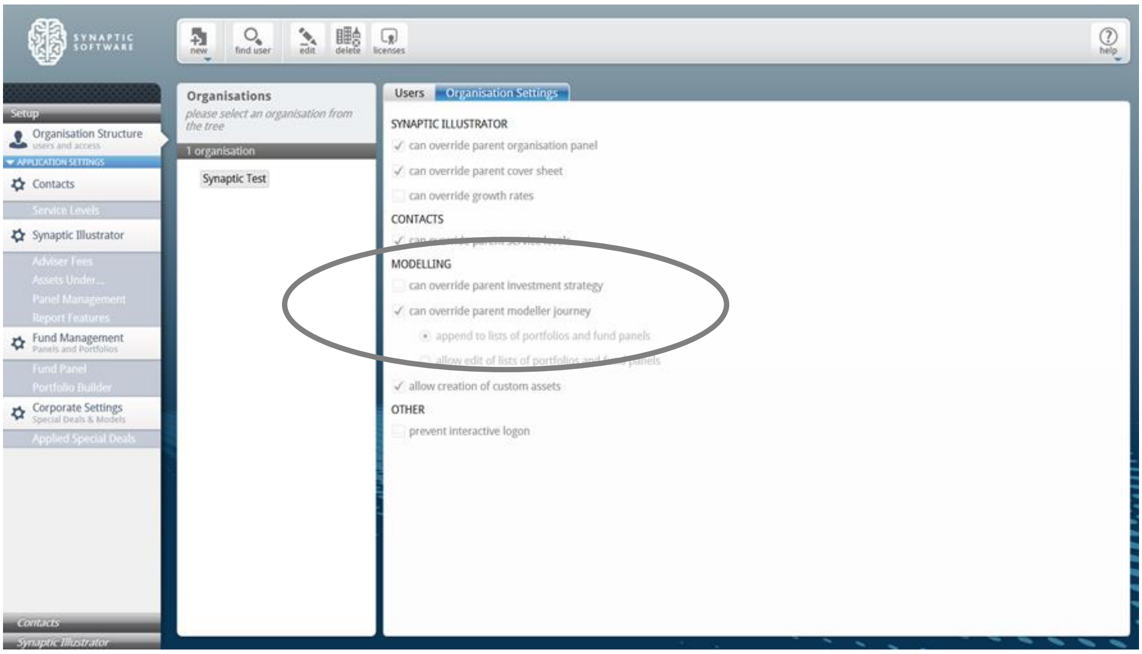
(Please see section 3.3 of this guide for further information)

The administrator of the child organisation will only need to tick the option 'can override parent modeller journey' and then make the selection from the options below if the administrator wants to change the investment strategy for their organisation otherwise they will automatically inherit the investment strategy which has been set up by the administrator in their parent organisation.

On the screen above there will be the option to select the radio buttons to enable the administrator to append or edit lists of portfolios and fund panels.

- "Append to lists of portfolios and fund panels" means that the user can add additional funds to existing portfolio/fund panels. This however can only be completed within Portfolio Builder. Please see section 6.2 of this guide for further information.
- "Edit lists of portfolios and fund panels" means that the user can delete and add funds to existing portfolios/Fund panels.

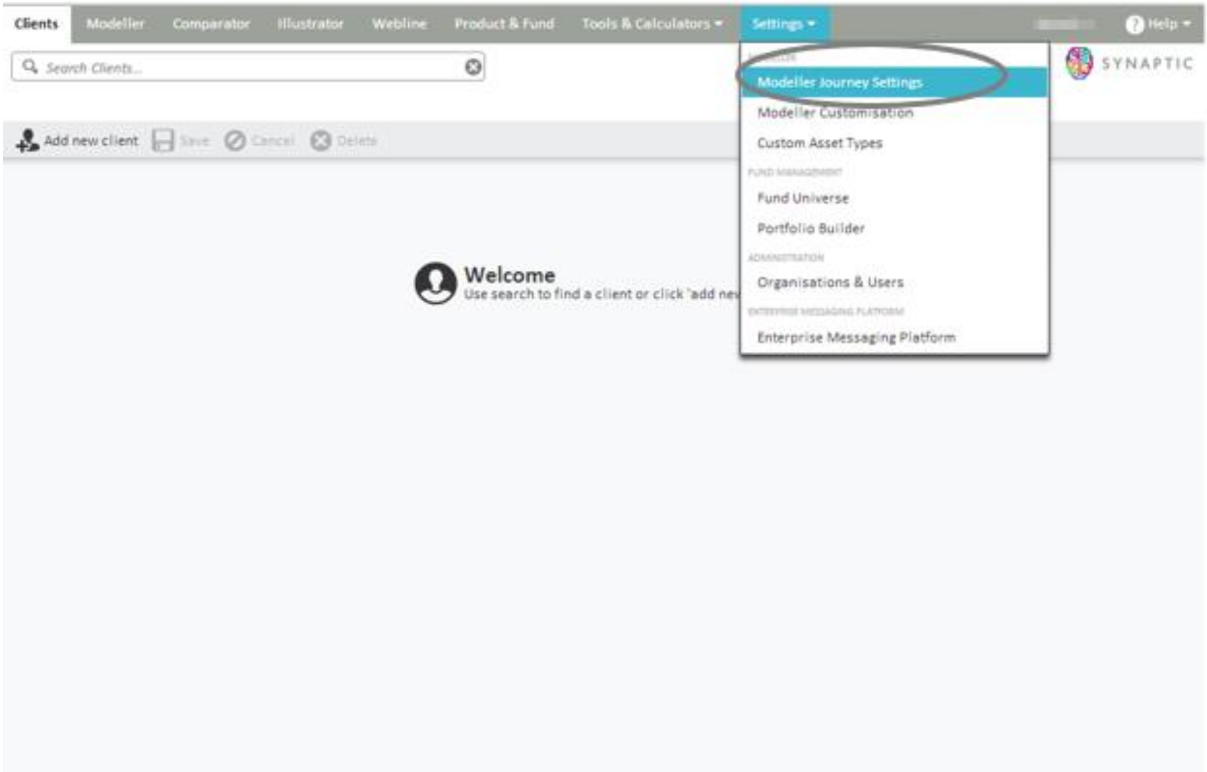
NB If the **administrator** does not make a selection of edit or append here, it will default to append.



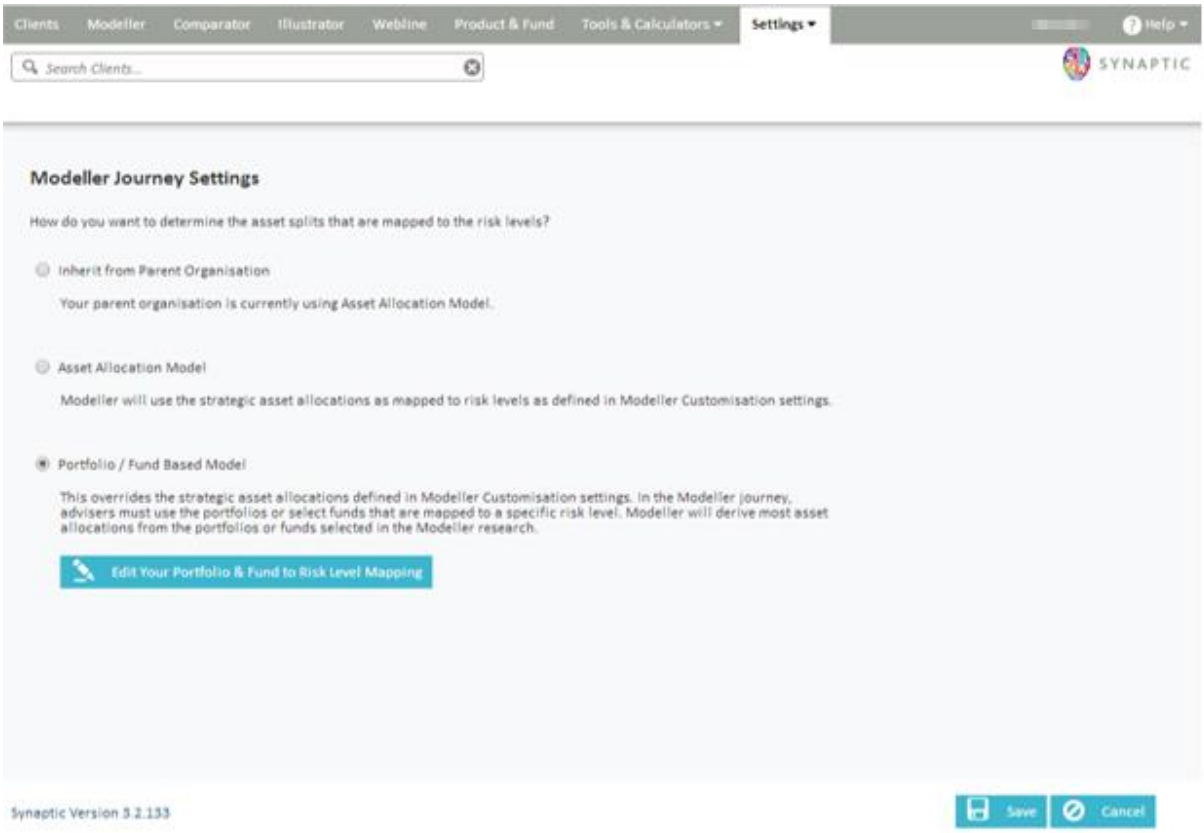
Once the administrator has made a selection, if applicable then exit this screen.

6.4 Modeller Journey Settings

Now that you have setup the permissions and created the portfolios/fund panels the user can now select **Modeller Journey Settings** from the drop down menu on the **Settings** tab:



The user will see the screen below which will allow selection of the required journey settings.



The options are:

- Inherit from the Parent Organisation
- Asset Allocation Model
- Portfolio/Fund Based Model

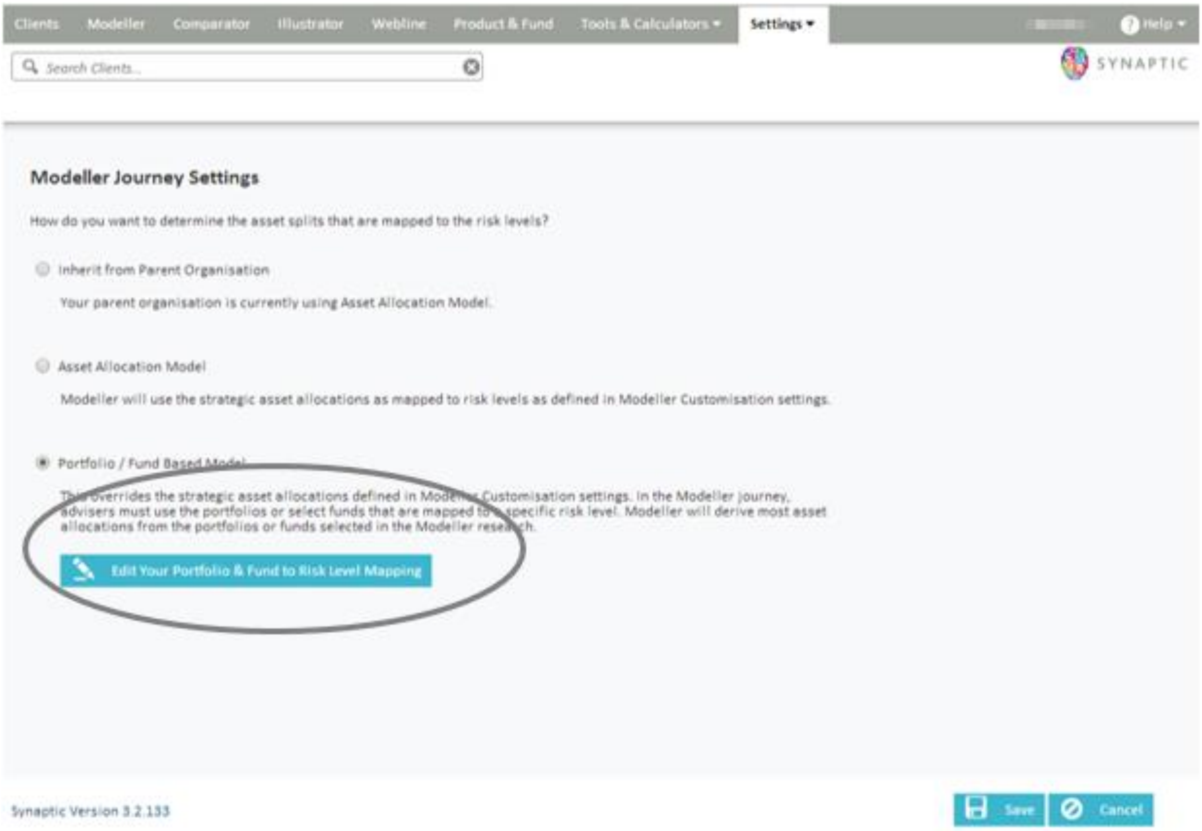
Inherit from the Parent Organisation means that the user defaults to the settings selected by the parent organisation.

Asset Allocation Model means that you will use the mappings that have been customised by the parent organisation.

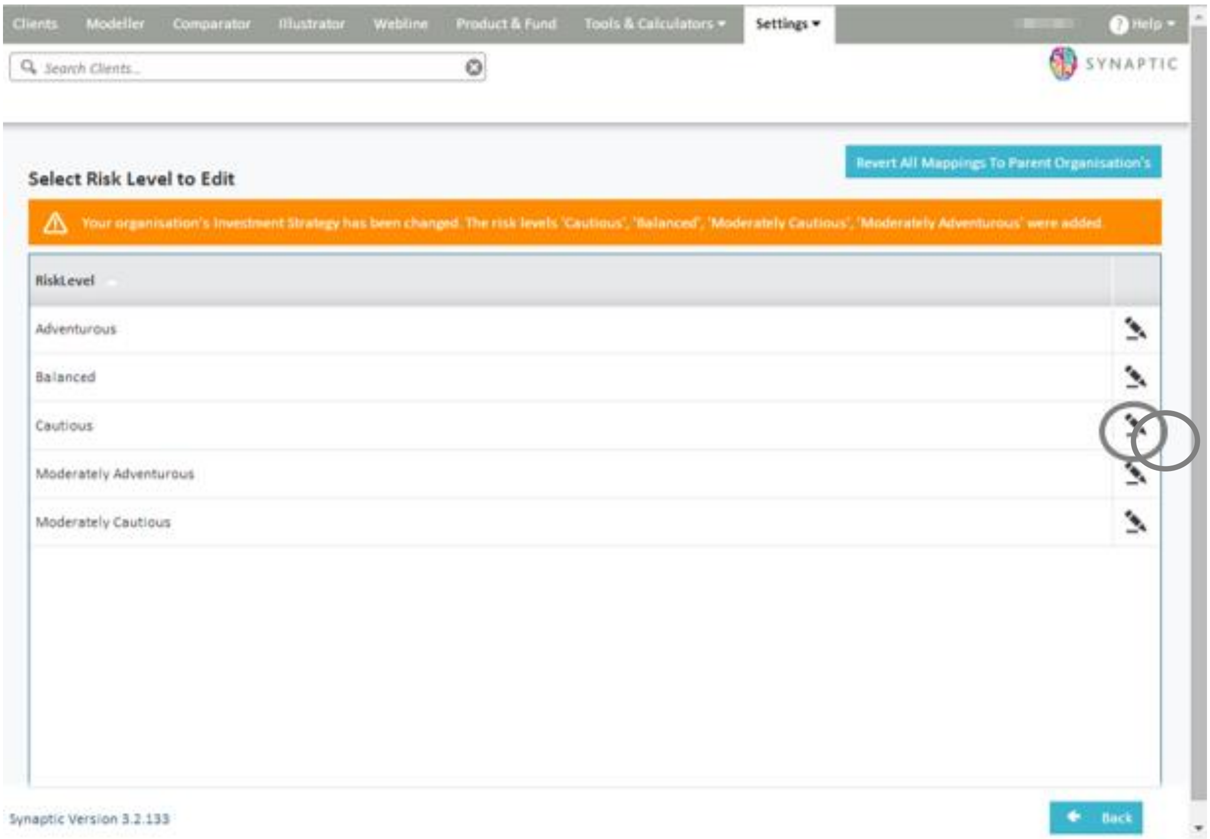
Portfolio/Fund Based Model means that the user can map specific funds and portfolios to their chosen 'attitude to risk'.

If you select either Inherit from the Parent Organisation or Asset Allocation Model, then click on save at the bottom of the screen to complete the selection.

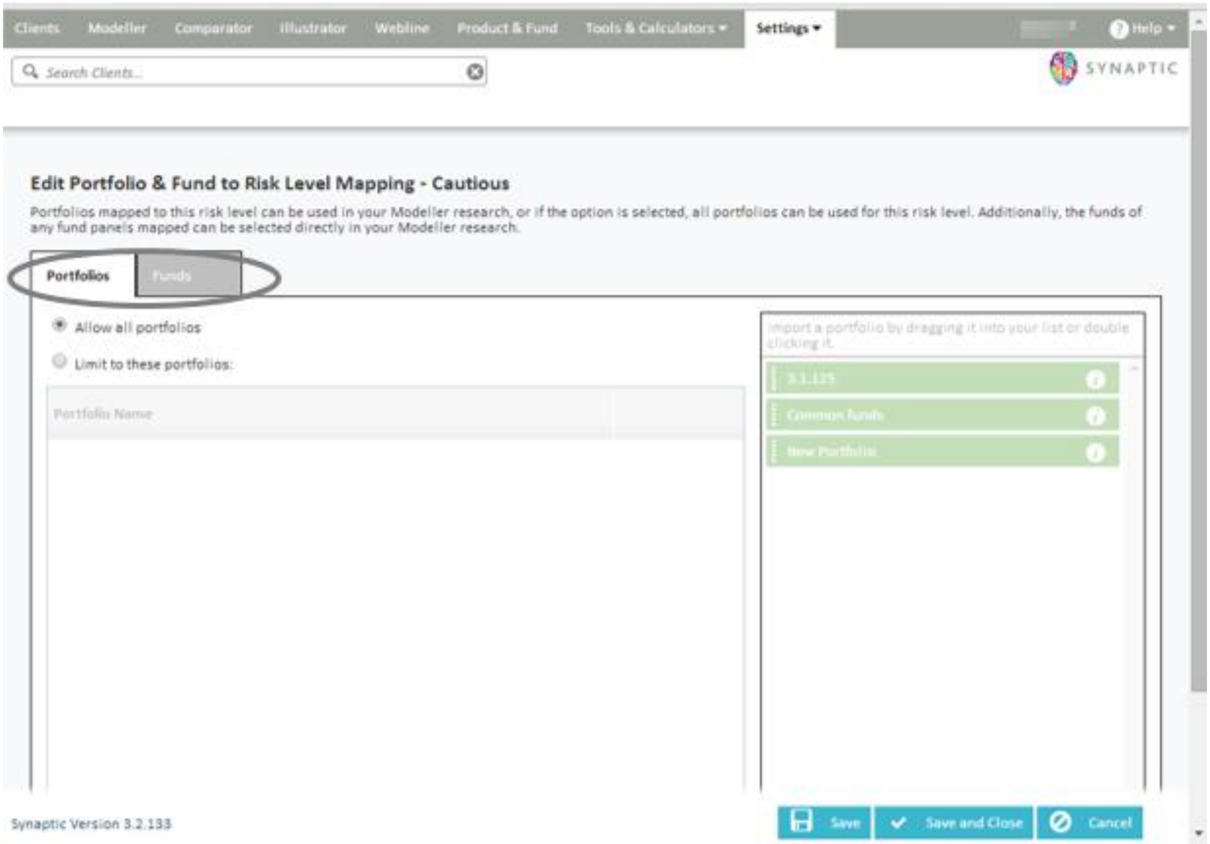
If you have selected Portfolio/Fund Based Model, then you will need to click on the 'edit your Portfolio and Fund to Risk Level Mapping' tab.



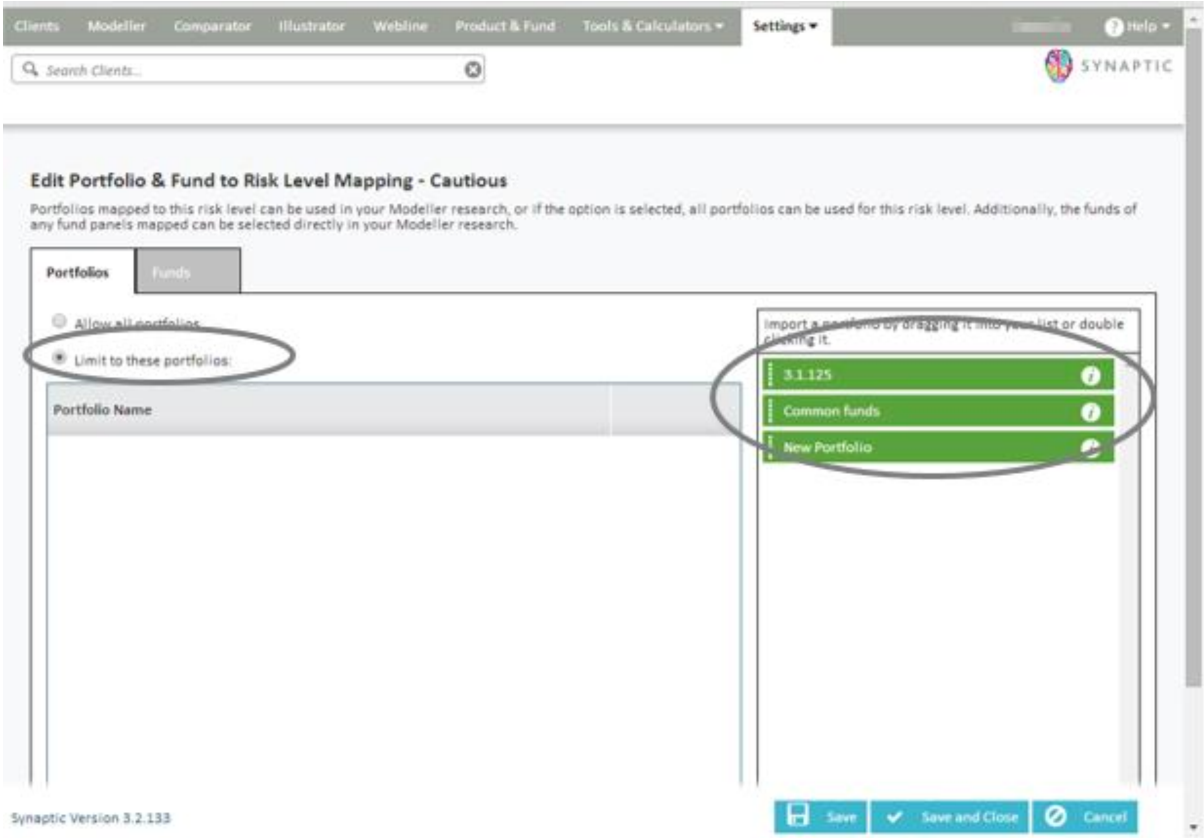
This will take you to the following screen where you can click on the pen on the right to move to the next screen.



You can then make the selection from the screen below, either choosing from the portfolios or funds tabs:

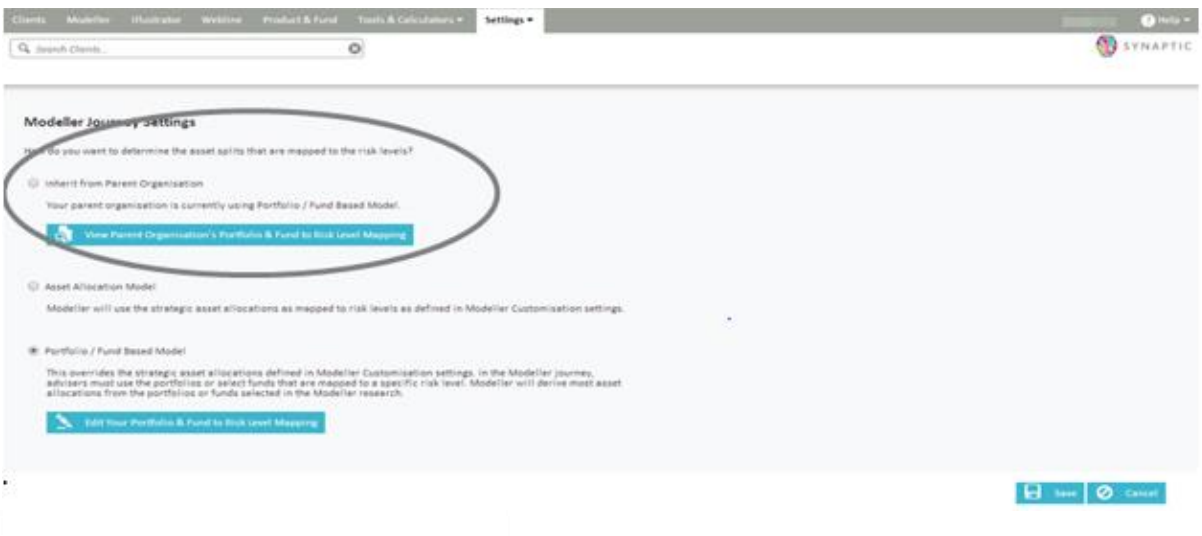


Click on the ‘Limit to these portfolios/fund panels’ button and double click or drag the selection from the list of funds/portfolios available over to the Portfolio/Fund Panel Name box

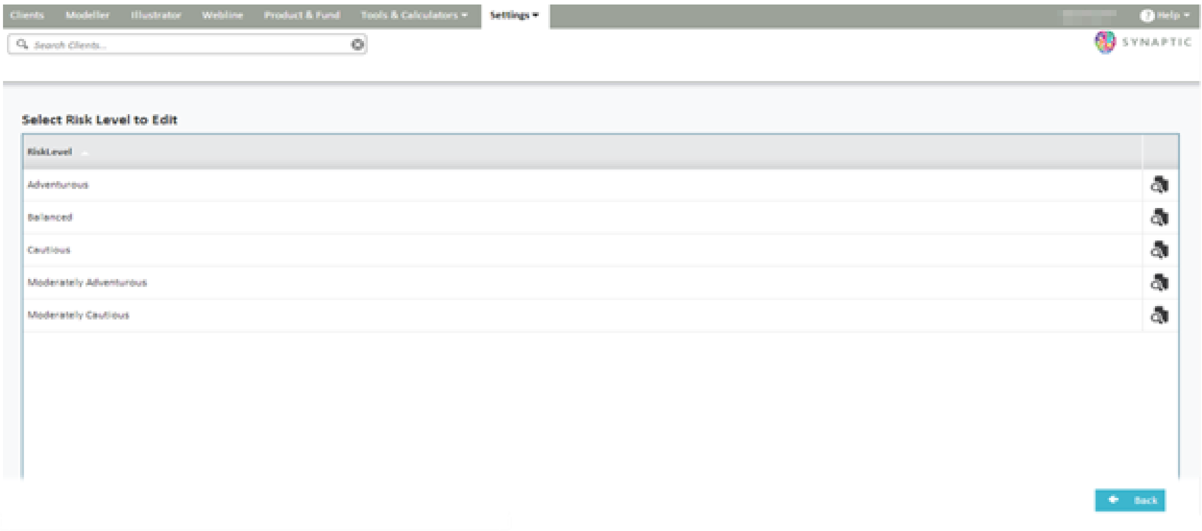


Once you have made the required selection, click on **save and close** to exit this screen. Then click on the back button to return to the Modeller Journey Settings screen.

If however the parent organisation has already set their own mappings you will see a slightly different selection as the screen below shows:



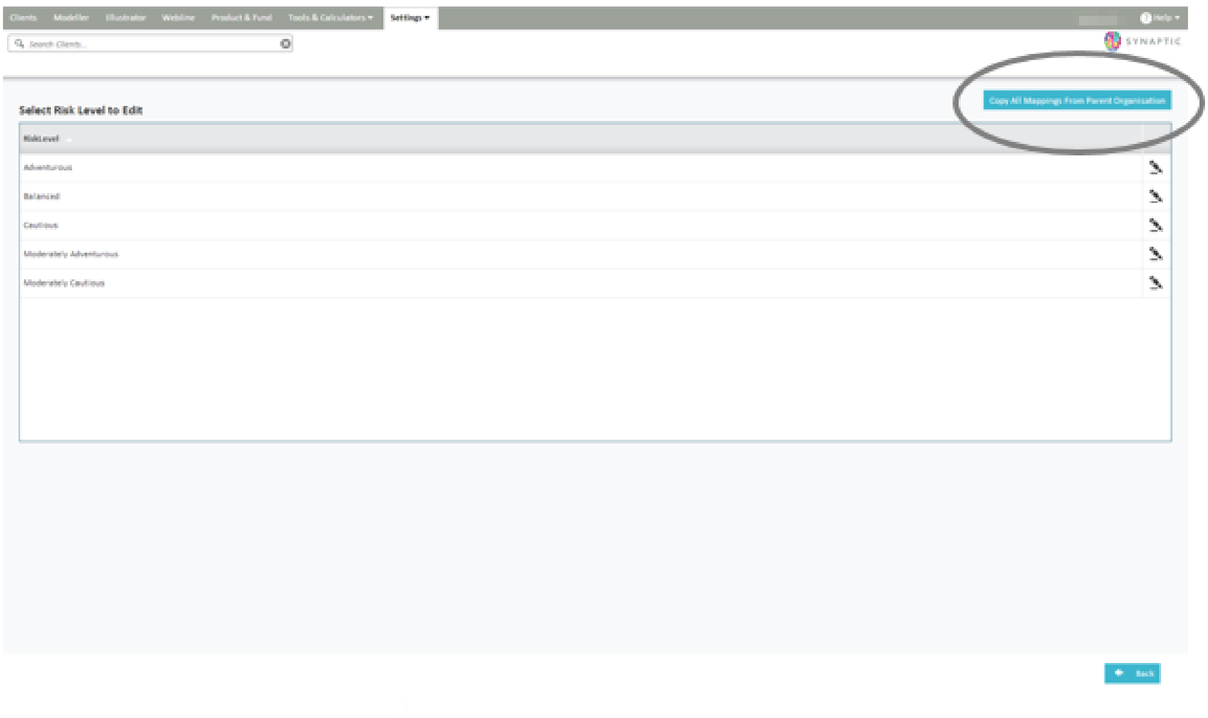
If you then select ‘view parent organisation portfolio & fund to risk level mapping’, you will be presented with the ability to view the parent organisation mapping as shown below:

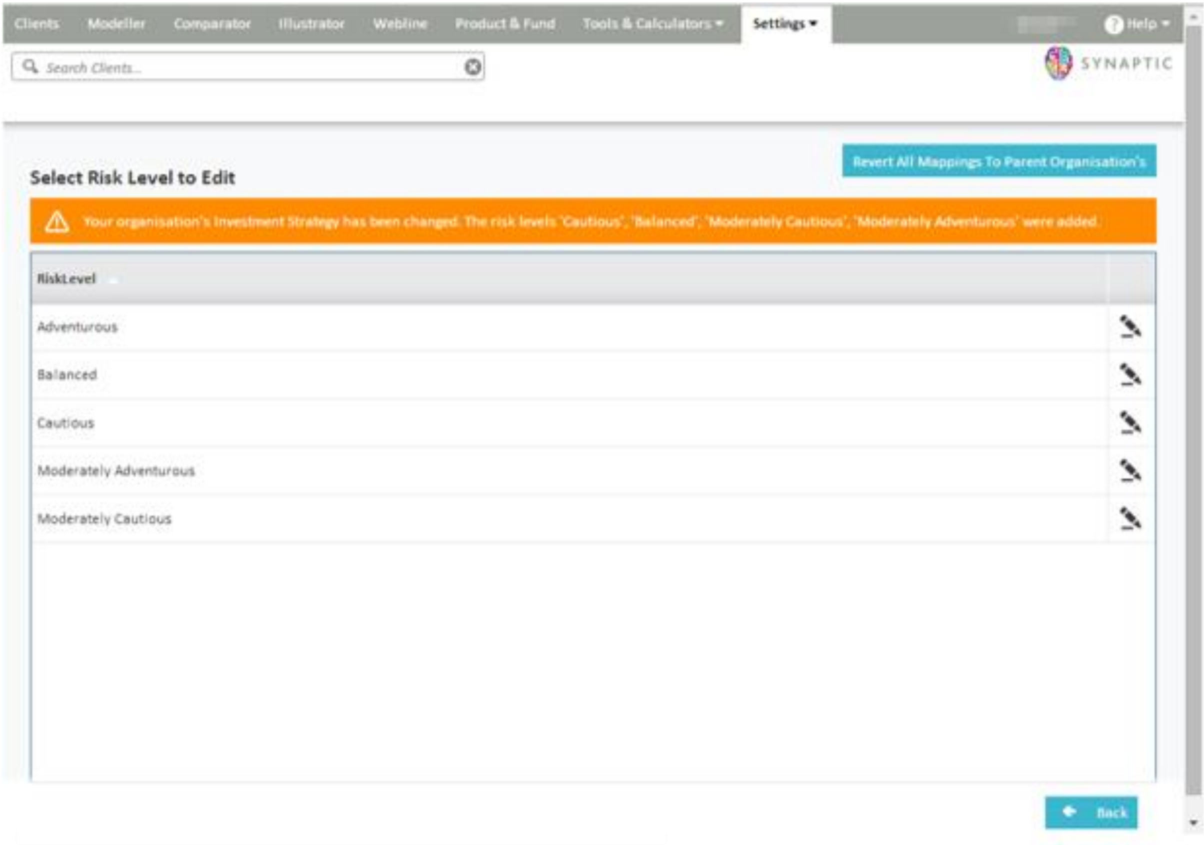


Once you have made the required selection, click the save button.

There is also an additional piece of functionality which allows the administrator to ‘copy’ or ‘revert’ mappings to the parents organisation.

- If Copy is selected - this will copy over the mappings of the parent organisation to the child organisation removing the need to create their own mappings.
- If Revert is selected - this will remove any new mappings or any changes which have made to the mappings and copy the parent’s mappings over avoiding the need to remap all over again.



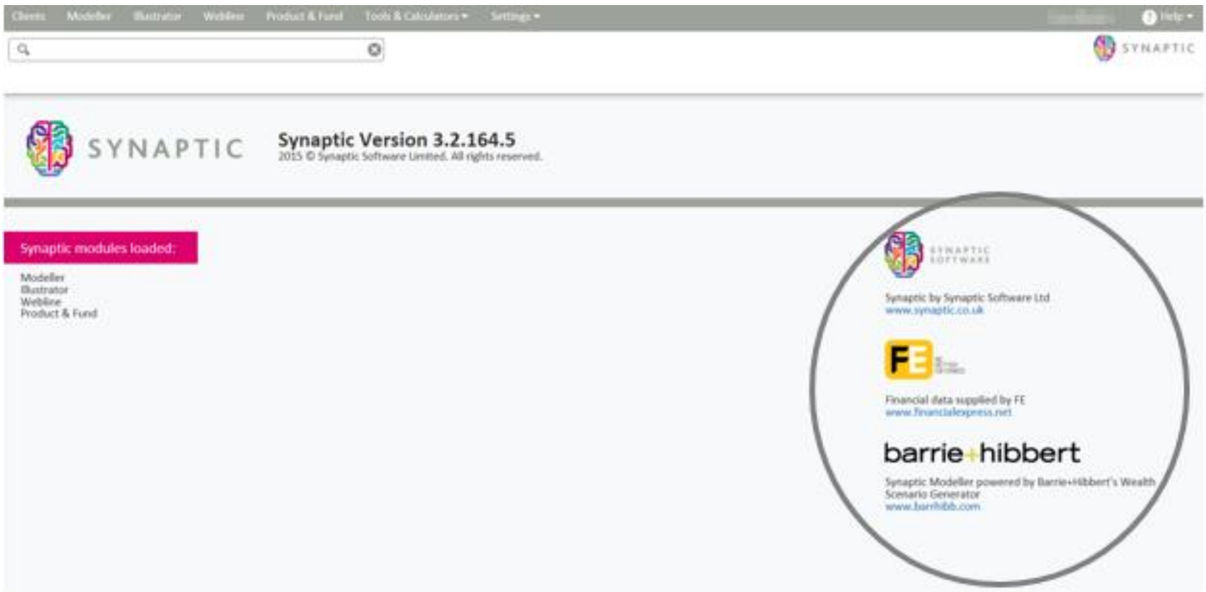


7 Help & Support

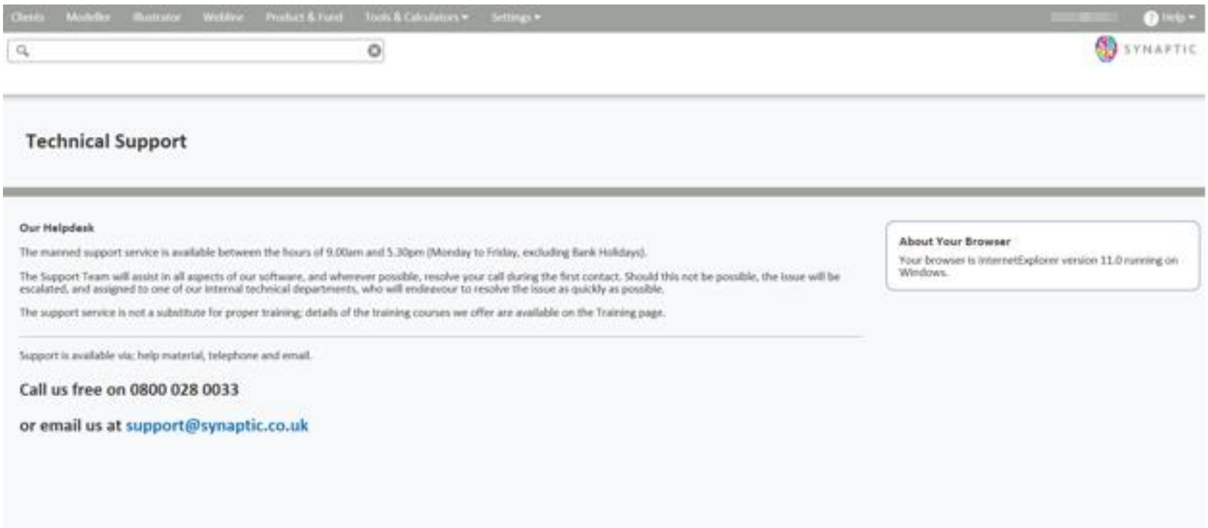
The administrator has the availability of the **Help** button, as shown in the screen below:

There are 3 options in the drop down menu:

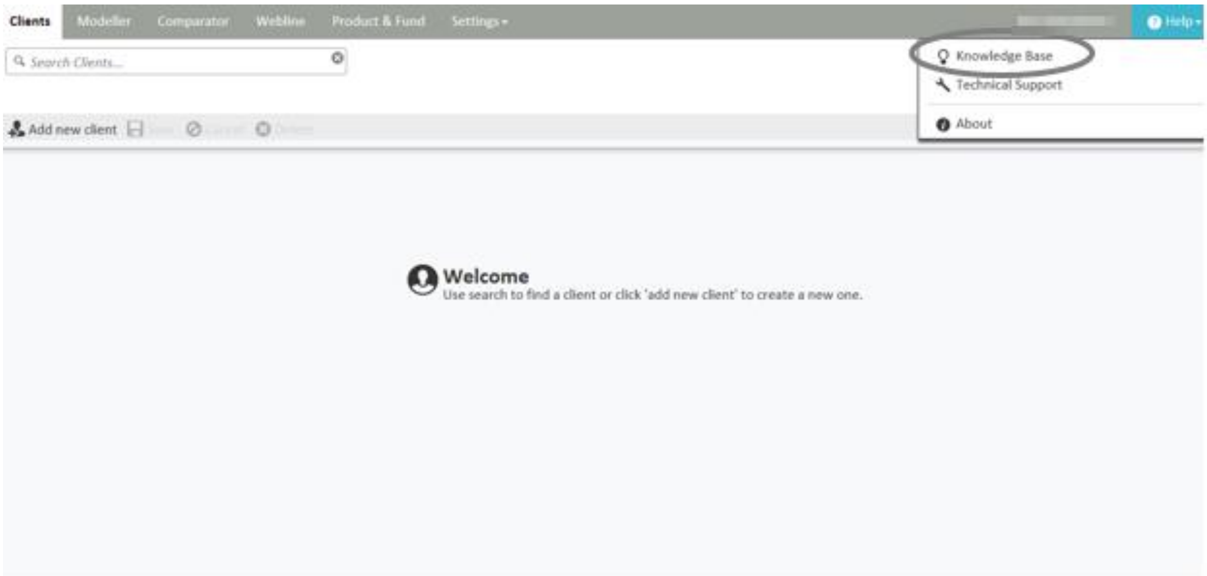
About has links to various sites including Synaptic Software Limited and Financial Express.

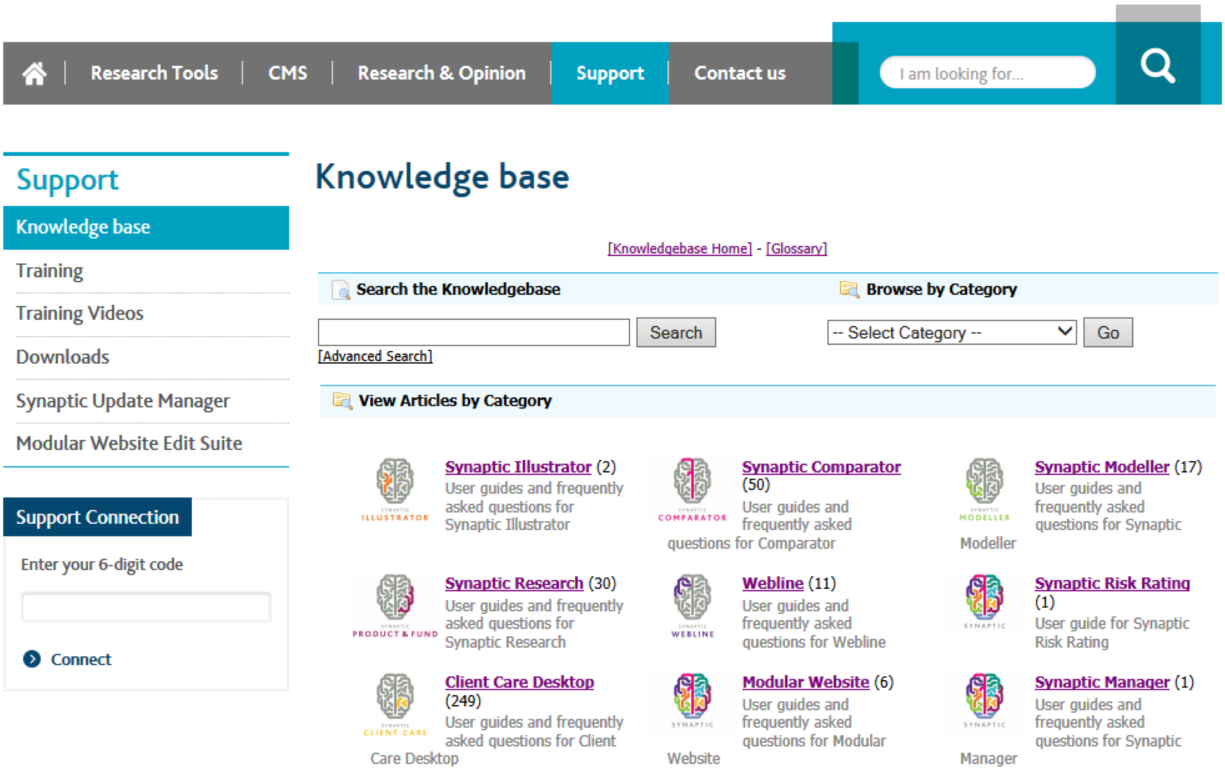


Technical Support which opens up a screen as shown below:



If **Knowledge Base** is selected, the user/administrator will be taken to the knowledge base page on the Synaptic Software Limited website, as shown below:





The user will then have the option to **Search the Knowledge Base** or **Browse by Category.**

8 Understanding the Icons

There are also a number of symbols which dictate different actions the users are allowed to carry out within the software:

-  - Lock symbol – to stop a particular piece of information changing unless the user has the correct permissions to unlock the detail.
-  - Edit pen symbol – to change information
-  - 2 pages symbol - for duplicating the detail
-  - x symbol - for deleting information
-  - Page with magnifying glass symbol – view information
-  - Triangle symbol – a warning symbol
-  - Cog symbol - for adding more information/settings to the software
-  - Magnifying glass – search field that returns a list of options.

Products & Services from Synaptic Software:

SYNAPTIC PRODUCT & FUND

SYNAPTIC WEBLINE

SYNAPTIC WEBLINE PLAY

SYNAPTIC WEB SERVICES

SYNAPTIC ANALYSER

SYNAPTIC COMPARATOR

SYNAPTIC MODELLER

SYNAPTIC RISK

SYNAPTIC