



SYNAPTIC SOFTWARE

USER GUIDE

Contract Enquiry Electronic Valuations



SYNAPTIC

Version 1.3

Contents

Introduction	3
Training and Support	3
Initial setup	4
Agency information	4
Unipass digital certificates	4
Synaptic Suite access	5
Linking your Unipass digital certificate	6
Provider settings	7
User licences	12
Provider Registration	13
Provider overview table	14
Aviva	15
Aviva (Friends Life)	16
Canada Life	17
Elevate	18
FundsNetwork	19
James Hay	20
Nucleus	21
Prudential	22
Quilter	23
Royal London	24
Scottish Widows	25
Seven Investment Management (7IM)	26
Standard Life	27
Using Contract Enquiry	28
FAQs	31
Provider Internal Fund Codes	31

Introduction

Electronic valuations (sometimes referred to as Contract Enquiry or real-time valuations), allow an authorised representative, via their back-office system or integrated trusted third-party service provider, to obtain a policy valuation from product providers. The user can save a significant amount of time and resource by exchanging data electronically rather than contacting each provider direct.

Contract Enquiry enables electronic updates of funds and units from the product provider's database directly into your Synaptic system. A request message is sent from your system which contains the contract details you wish to enquire about. A response message is sent back from the provider supplying the valuation details. For most providers this is the current assets that the contract is investing in and the number of units held as well as the current price of those units. Some providers are also able to deliver additional details, such as transfer and surrender value, and where available these are used to update the holding record under the 'client' tab within Synaptic.

If the message sent to the provider is incomplete or inaccurate (for example a mismatch with the data submitted to the provider and the information they hold) a failure message will be returned detailing the issue. It is therefore vitally important that the data you hold is accurate, as without the correct name of the client, policy type and policy number the message will fail.

Most providers will offer the service outside of normal business hours, seven days a week, allowing client servicing at times convenient to you.

The information requested and the message received has been defined by the Origo Standards committee to insure both quality and consistency of data. Where a provider does not use the Origo Standards then proprietary secure messaging has been implemented that meets statutory compliance and data protection requirements.

The Contract Enquiry service is run on the Enterprise Messaging Platform (EMP), which provides Origo and Non-Origo electronic messaging between Synaptic Software Limited and the product providers.

Synaptic Software Limited is the trusted third party and the services framework known as Synaptic is the platform host. The platform supports Unipass® Identity Management and X.509/TLS Certificate based Identity Management using Global Certificate Authorities.

Training and Support

Online Contract Enquiry training courses are run on a regular basis, please go to our [events page](#) to register. A Contract Enquiry licence will be required to attend this course.

If you have any questions around the training or wish to enquire about a Contract Enquiry licence, please contact our customer service team on 0800 783 4477 or email customerservices@synaptic.co.uk.

For product or technical support assistance, please contact our support team on 0808 164 5463 (option 1) or email support@synaptic.co.uk.

Initial setup

In order to take advantage of the valuation functionality, a few steps must first be completed before the service can be activated to obtain policy valuations electronically via the Platform.

Agency information

Before a user can register for Contract Enquiry services with providers, they must have an agency with the provider in order to complete the provider's Contract Enquiry registration process. Valuations will only be provided for plans where you are the authorised firm.

You should contact the provider direct to ensure you are able to receive valuations if you are:

- A network member and submit business under the network's agency rather than your own
- You have more than one agency number for a single product provider
- You have more than one registered company

This is important otherwise you could go through the whole process of setting up the service only to find that you are unable to use it due to your agency structure. Please discuss this with your provider representative if you are in any way unclear.

Unipass digital certificates

To gain access to secure information on the internet or access a Contract Enquiry valuation service, some providers may issue username and password, others use a Unipass© digital certificate.

Digital certificates provide added security for both the user and the providers sending the secure information. Once a user has their individual certificate registered on their own computer, it can be used to register with several firms and saves the need to remember multiple login details.

In order to obtain a digital certificate, users must complete a Unipass Identity registration form, which details both their own individual information and the firm for which they work. This registration form can be obtained online from [Unipass](#).

Once a firm is registered with Unipass©, individuals can make requests for digital certificates to be issued. Unipass© will confirm the identity of the individual and confirm that permission may be granted by contacting a member of the firm. Once the confirmation has been completed the individual certificate will be issued.

Unipass© has been designed for the financial services industry and is a service controlled by Origo Secure Internet Services (OSIS). The digital certificate gives each user a unique online identity.

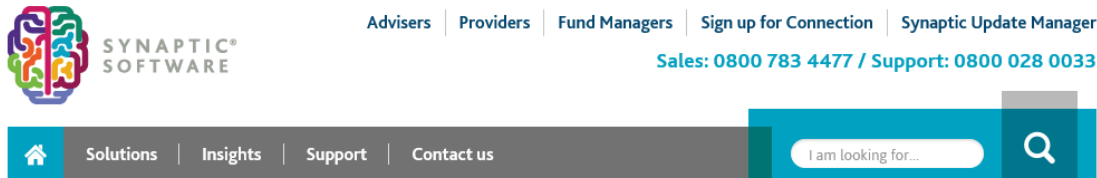
The certificates are unique to each user and stored on your machine, therefore if more than one user needs to access Contract Enquiry, then they will each need to register for a digital certificate (if they are using those companies that require a digital certificate).

NB It is worth remembering that if your company is such that you have a number of ARs within your organisational structure and you work for two or more of them you will not be able to have ONE digital certificate that covers you and all the AR firms you work for. This could mean that Contract Enquiry may not work for you – you should contact the provider direct who will be able to assist you in making the right choices.

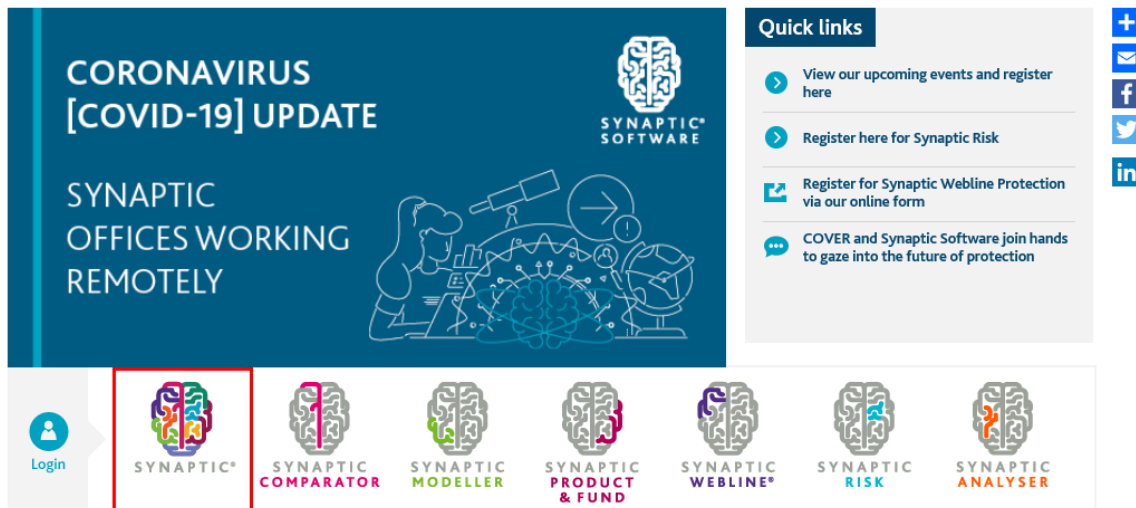
Synaptic Suite access

Synaptic Software's Implementation Team will set up an Enterprise Messaging Platform Administrator account for one user within a company. The named user will receive an email with their user details within 48 hours of receiving the request to sign up for the service.

Once user details have been received, you need to log into Synaptic Suite of Products. Login can be accessed from www.Synaptic.co.uk website by clicking 'Synaptic', which will direct you to Synaptic login page.



Financial Services Software for Advisers - Research and Protection



Welcome

Please enter your security details. Unauthorised access could lead to prosecution.

User Name

Password

[Forgotten your password?](#)



Linking your Unipass digital certificate

Once logged in, click on your username and go to **Account Settings**.

The screenshot shows the Synaptic Suite dashboard. At the top, there is a navigation bar with tabs: Clients, Risk Rating, Modeller, Analyser, Comparator, Weblane, Product & Fund, Tools & Calculators, and Settings. The user's name, Amy Wood, is displayed in the top right corner. Below the navigation bar, there is a search bar for clients. The main content area features a grid of icons for various tools: SYNAPTIC RISK, SYNAPTIC MODELLER, SYNAPTIC ANALYSER, SYNAPTIC COMPARATOR, SYNAPTIC WEBLINE, and SYNAPTIC PRODUCT & FUND. Each icon has a brief description of its function. Below these icons are five calculator icons: Investment Amount Calculator, Costs & Charges Calculator, Projection Calculator, Maturity Value Calculator, and Critical Yield Calculator. On the left side, there is a button labeled 'Add new client'. In the top right corner, a dropdown menu is open, showing options: Change Password, Account Settings (highlighted with a red box), and Sign Out. The URL at the bottom of the page is https://comparator.synaptic.co.uk/FusionUI/Account/Settings.

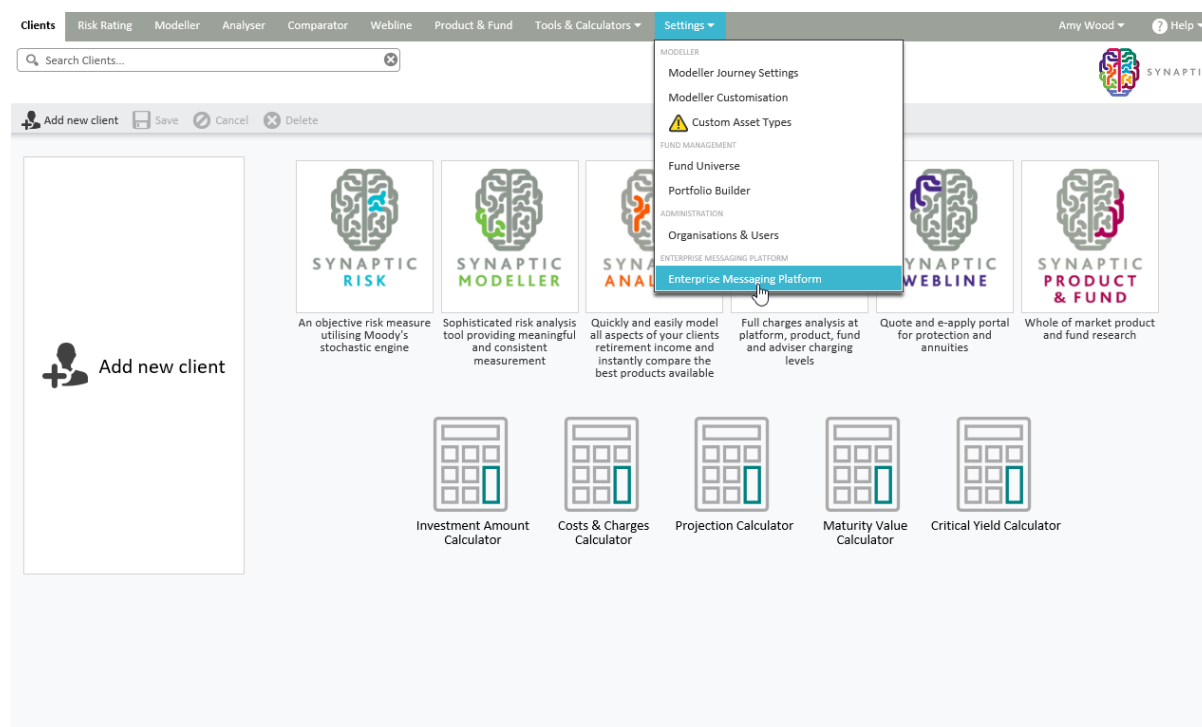
Click on **Certificate** and link to your Unipass certificate. Once linked, your Unipass certificate can be used to log into Synaptic Suite as well as to request Contract Enquiry valuations from some providers.

The screenshot shows the 'Account Settings' page. The navigation bar is the same as in the previous screenshot. The 'Account Settings' tab is selected. The main content area has a header 'Account Settings'. Below this, there are five blue tiles, each with an icon and a title: 'Certificate' (with a right arrow icon), 'Weblane Account' (with a pencil icon), 'Product & Fund Account' (with a pencil icon), 'Contract Enquiry' (with a pencil icon), and 'Intelliflo Integration' (with a pencil icon). Each tile has a brief description of its function. The 'Certificate' tile description is: 'Link your user account with a certificate for Unipass sign in.' The 'Weblane Account' tile description is: 'Edit your account details for Weblane.' The 'Product & Fund Account' tile description is: 'Edit your account details for Synaptic Product & Fund.' The 'Contract Enquiry' tile description is: 'Edit your account details for Contract Enquiry.' The 'Intelliflo Integration' tile description is: 'Manage authorisation for the Synaptic Suite to access data in your Intelliflo ID account.' The footer of the page shows the version number: Synaptic Version 4.14.0.34 2020 © Synaptic Software Limited. All rights reserved. | Accessibility.

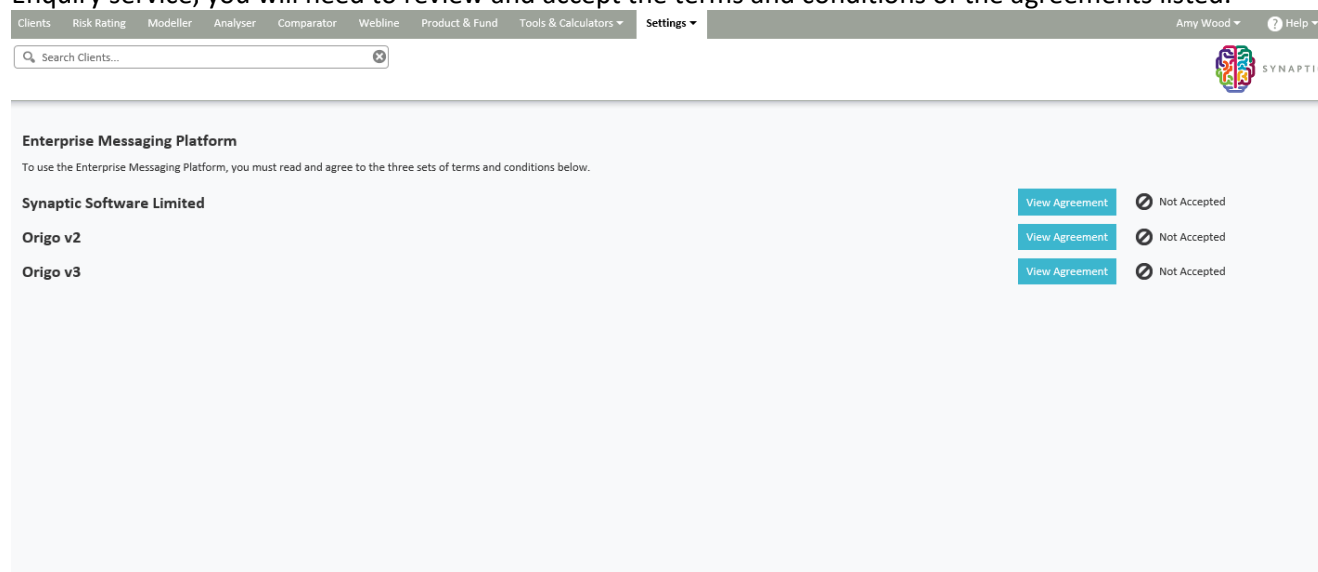
NB Your Unipass certificate must be on the computer you are using.

Provider settings

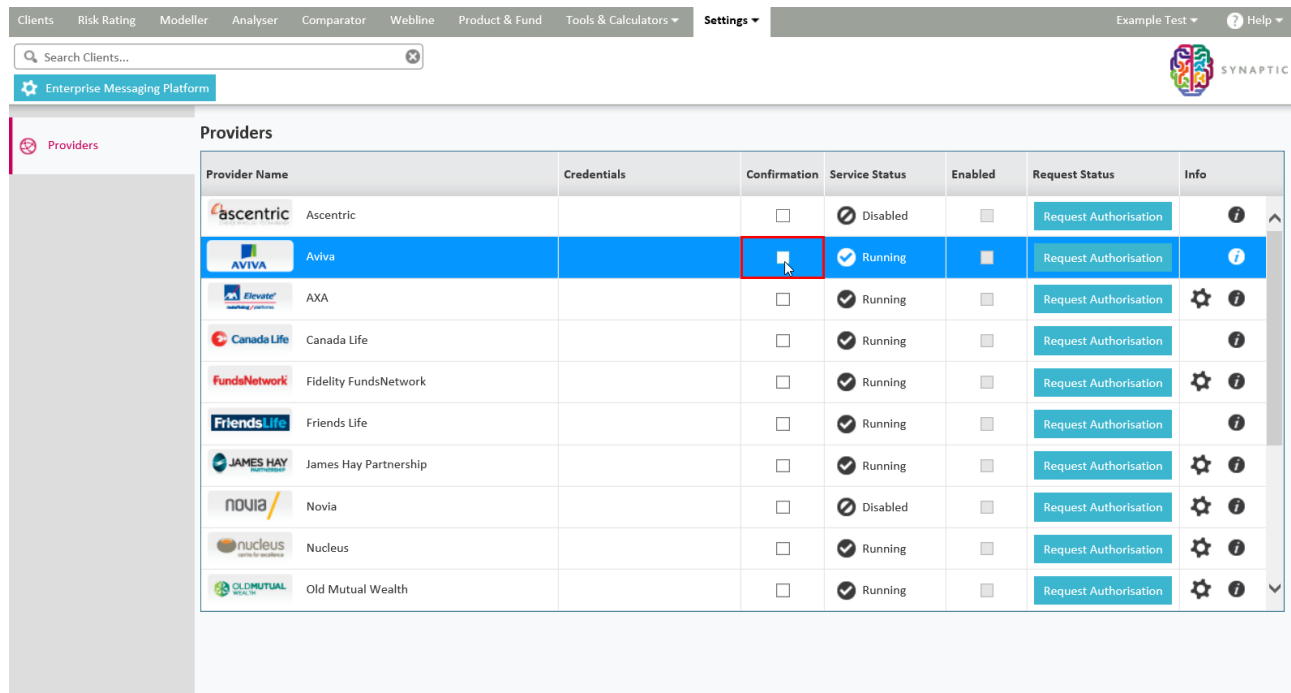
Navigate to the **Settings** tab and select **Enterprise Messaging Platform**.



The first time you log into EMP, you will be presented with the following screen. In order to use the Contract Enquiry service, you will need to review and accept the terms and conditions of the agreements listed.



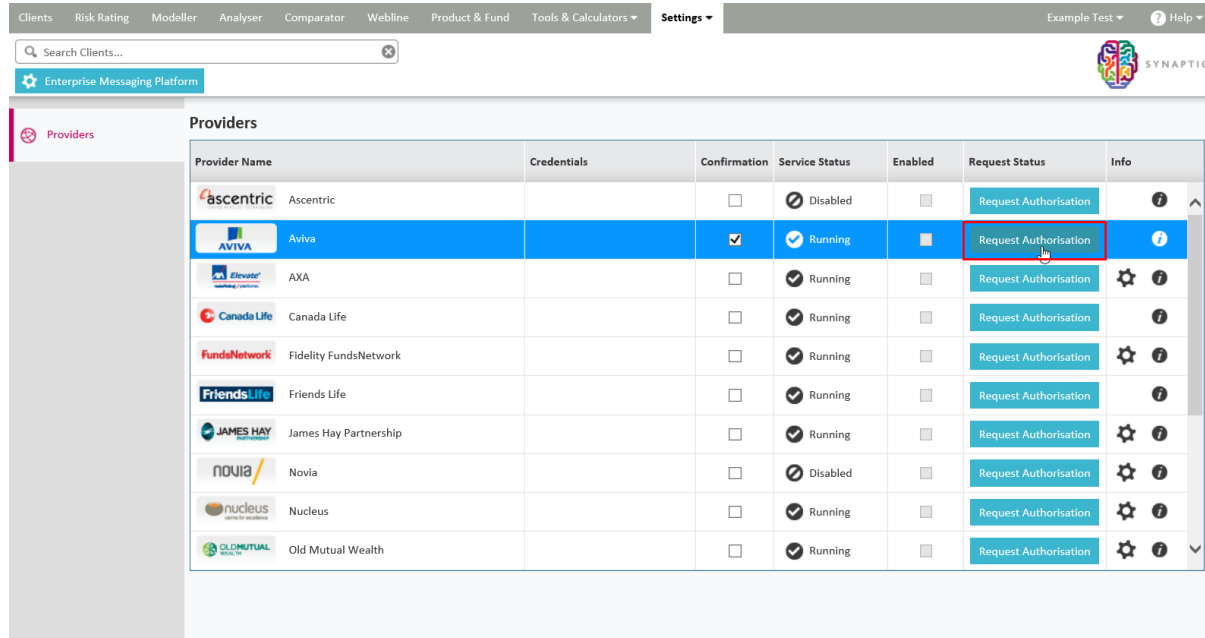
After you have accepted the agreements, you will be taken to the following page which lists the providers and their current service status. From the providers with their service status 'Running', tick the confirmation box next to the ones you would like to setup the contract enquiry valuation service with



The screenshot shows the Synaptic Providers page. The top navigation bar includes links for Clients, Risk Rating, Modeller, Analyser, Comparator, Webline, Product & Fund, Tools & Calculators, Settings, Example Test, and Help. A search bar for clients is present. The left sidebar shows the 'Providers' section. The main table lists various providers with columns for Provider Name, Credentials, Confirmation, Service Status, Enabled, Request Status, and Info. The Aviva provider is highlighted in blue, and its confirmation box is checked.

Provider Name	Credentials	Confirmation	Service Status	Enabled	Request Status	Info
Ascentric	Ascentric	<input type="checkbox"/>	Disabled	<input type="checkbox"/>	Request Authorisation	?
Aviva		<input checked="" type="checkbox"/>	Running	<input type="checkbox"/>	Request Authorisation	?
AXA		<input type="checkbox"/>	Running	<input type="checkbox"/>	Request Authorisation	?
Canada Life		<input type="checkbox"/>	Running	<input type="checkbox"/>	Request Authorisation	?
Fidelity FundsNetwork		<input type="checkbox"/>	Running	<input type="checkbox"/>	Request Authorisation	?
Friends Life		<input type="checkbox"/>	Running	<input type="checkbox"/>	Request Authorisation	?
James Hay Partnership		<input type="checkbox"/>	Running	<input type="checkbox"/>	Request Authorisation	?
Novia		<input type="checkbox"/>	Disabled	<input type="checkbox"/>	Request Authorisation	?
Nucleus		<input type="checkbox"/>	Running	<input type="checkbox"/>	Request Authorisation	?
Old Mutual Wealth		<input type="checkbox"/>	Running	<input type="checkbox"/>	Request Authorisation	?

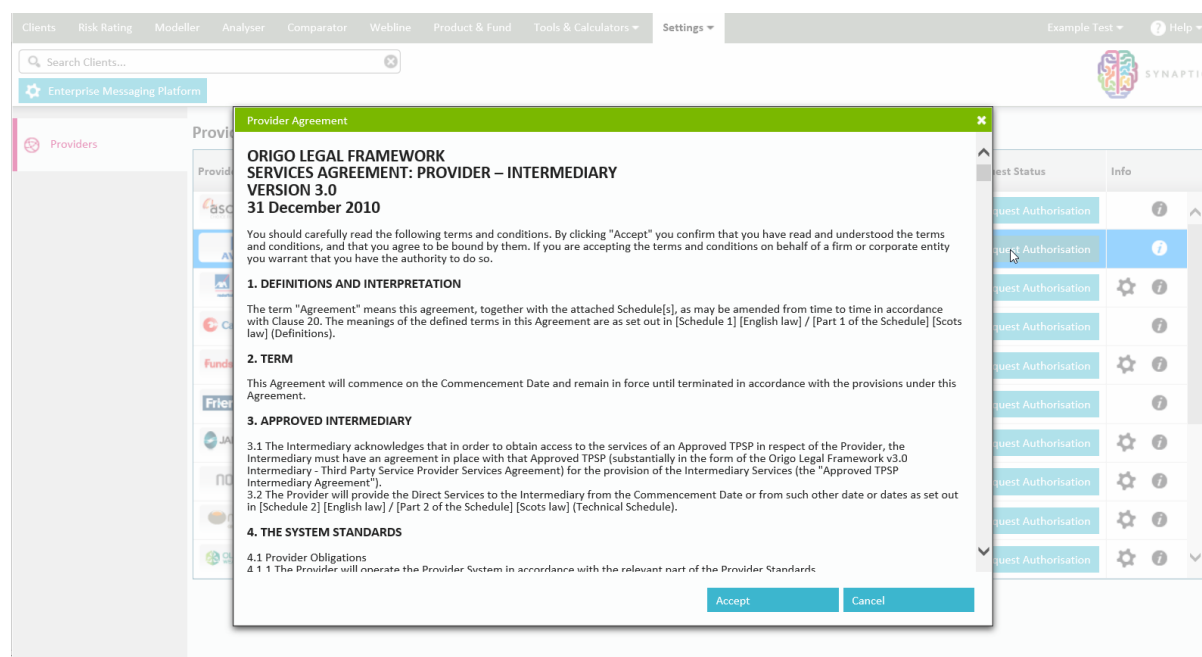
Once you have ticked the confirmation box, you will need to 'Request Authorisation'



The screenshot shows the Synaptic Providers page after the confirmation box for the Aviva provider has been checked. The 'Request Status' column now shows a 'Request Authorisation' button for each provider. The Aviva provider's button is highlighted in blue.

Provider Name	Credentials	Confirmation	Service Status	Enabled	Request Status	Info
Ascentric	Ascentric	<input type="checkbox"/>	Disabled	<input type="checkbox"/>	Request Authorisation	?
Aviva		<input checked="" type="checkbox"/>	Running	<input type="checkbox"/>	Request Authorisation	?
AXA		<input type="checkbox"/>	Running	<input type="checkbox"/>	Request Authorisation	?
Canada Life		<input type="checkbox"/>	Running	<input type="checkbox"/>	Request Authorisation	?
Fidelity FundsNetwork		<input type="checkbox"/>	Running	<input type="checkbox"/>	Request Authorisation	?
Friends Life		<input type="checkbox"/>	Running	<input type="checkbox"/>	Request Authorisation	?
James Hay Partnership		<input type="checkbox"/>	Running	<input type="checkbox"/>	Request Authorisation	?
Novia		<input type="checkbox"/>	Disabled	<input type="checkbox"/>	Request Authorisation	?
Nucleus		<input type="checkbox"/>	Running	<input type="checkbox"/>	Request Authorisation	?
Old Mutual Wealth		<input type="checkbox"/>	Running	<input type="checkbox"/>	Request Authorisation	?

Each provider will display terms and conditions which you will need to accept in order to proceed







































The authorisation request sends a task over to our Implementation Team to review and grant access. Tasks are checked and updated daily.

Once access has been granted, the 'Request Status' will change from 'Requested' to 'Authorised'













Providers

Provider Name	Credentials	Confirmation	Service Status	Enabled	Request Status	Info
Ascentric		<input type="checkbox"/>	⊗ Disabled	<input type="checkbox"/>	Request Authorisation	
Aviva		<input checked="" type="checkbox"/>	✔ Running	<input type="checkbox"/>	Requested	
AXA		<input type="checkbox"/>	✔ Running	<input type="checkbox"/>	Request Authorisation	
Canada Life		<input type="checkbox"/>	✔ Running	<input type="checkbox"/>	Request Authorisation	
Fidelity FundsNetwork		<input type="checkbox"/>	✔ Running	<input type="checkbox"/>	Request Authorisation	
Friends Life		<input type="checkbox"/>	✔ Running	<input type="checkbox"/>	Request Authorisation	
James Hay Partnership		<input type="checkbox"/>	✔ Running	<input type="checkbox"/>	Request Authorisation	
Novia		<input type="checkbox"/>	⊗ Disabled	<input type="checkbox"/>	Request Authorisation	
Nucleus		<input type="checkbox"/>	✔ Running	<input type="checkbox"/>	Request Authorisation	
Old Mutual Wealth		<input type="checkbox"/>	✔ Running	<input type="checkbox"/>	Request Authorisation	

Providers

Provider Name	Credentials	Confirmation	Service Status	Enabled	Request Status	Info
 Ascentric		<input type="checkbox"/>	 Disabled	<input type="checkbox"/>	Request Authorisation	
 Aviva		<input checked="" type="checkbox"/>	 Running	<input type="checkbox"/>	Authorised	
 AXA		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	 
 Canada Life		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	
 Fidelity FundsNetwork		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	 
 Friends Life		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	
 James Hay Partnership		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	 
 Novia		<input type="checkbox"/>	 Disabled	<input type="checkbox"/>	Request Authorisation	 
 Nucleus		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	 
 Old Mutual Wealth		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	 





































Once authorised, you will need to click the 'Enabled' tick box to complete the Synaptic setup

	Confirmation	Service Status	Enabled	Request Status	Info
	<input type="checkbox"/>	 Disabled	<input type="checkbox"/>	Request Authorisation	
	<input checked="" type="checkbox"/>	 Running	<input checked="" type="checkbox"/>	Authorised	
	<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	 
	<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	
	<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	 

If you click on the information (i) button in the 'Info' column, details about the provider service, such as the product and fund types supported will be displayed. The settings 'cog' indicates that the provider requires you to enter login details in order to use contract enquiry. The providers without a cog use your Unipass certificate to allow access to the contract enquiry service.

Please refer to the [Provider Registration](#) section for details of the individual provider registration process.

Providers

Provider Name	Credentials	Confirmation	Service Status	Enabled	Request Status	Info
 Ascentric		<input type="checkbox"/>	 Disabled	<input type="checkbox"/>	Request Authorisation	
 Aviva		<input checked="" type="checkbox"/>	 Running	<input checked="" type="checkbox"/>	Authorised	
 AXA		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	 
 Canada Life		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	
 FundsNetwork		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	 
 FriendsLife		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	
 James Hay Partnership		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	 
 Novia		<input type="checkbox"/>	 Disabled	<input type="checkbox"/>	Request Authorisation	 
 Nucleus		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	 
 Old Mutual Wealth		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	 

Clicking on the 'cog' will allow you to set the credentials for the providers. Some providers allow all advisers in a firm to get valuations by using a single organisation username and password, others will require each user to have their own credentials. You must select one option for the service to work;

- If you select 'Users must enter their own username and password for this provider' the individual user will need to add their own username and password within their settings
- If you select 'Use the same username and password for all users in this organisation' you can set a company-wide logon which will be used by all users in the company.

Provider Settings

Credentials for Provider's Service

☐ Users must enter their own user name and password for this provider
 ☐ Use the same user name and password for all users in this organisation

User Name





































Password

Save

Cancel

You can return to the **Enterprise Messaging Platform** screen at any time to;

- Confirm that you are registered for online services with your selected providers
- Request authorisation of new providers
- Set provider specific connection credentials
- View provider service status
- Enable and disable services for your organisation
- Look up provider support information and service capabilities

Provider Name	Credentials	Confirmation	Service Status	Enabled	Request Status	Info
 Ascentric		<input type="checkbox"/>	 Disabled	<input type="checkbox"/>	Request Authorisation	
 Aviva		<input checked="" type="checkbox"/>	 Running	<input checked="" type="checkbox"/>	Authorised	
 AXA		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	 
 Canada Life		<input checked="" type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	
 Fidelity Fund...		<input checked="" type="checkbox"/>	 Running	<input type="checkbox"/>	Authorised	 
 Friends Life		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	
 James Hay P...		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	 
 Novia		<input type="checkbox"/>	 Disabled	<input type="checkbox"/>	Request Authorisation	 
 Nucleus		<input type="checkbox"/>	 Running	<input type="checkbox"/>	Request Authorisation	 
 Old Mutual ...		<input checked="" type="checkbox"/>	 Running	<input type="checkbox"/>	Authorised	 

User licences

If you are setting this service up for multiple users, once you are authorised to use your selected providers your users will need the Contract Enquiry licence allocated to them in the Organisation Administration setup. This task will need to be completed by the Organisation Administrator i.e. the person who creates new users. Information on how to do this can be found in [Synaptic Client Administration Guide](#). Alternatively, contact our customer service team on 0800 783 4477 to discuss further.

Provider Registration

Once the initial setup has been completed, the next step is to register with each product provider. You must have the administrator licence to complete the setup process.

You will need the following information to hand during this process:

- Your company information, including registered company name, address and FRN
- Provider website login details (where applicable)

This section is designed to help you sign up for the providers you wish to receive valuations from on behalf of your clients. It contains contact details and instructions in respect of how you register with each provider as well as notes for any anomalies.

Registration instructions details differ for each provider, but you will normally need to be registered to use their online services in order to sign up for the contract enquiry service. Some will only require one individual to register on behalf of their firm, whereas others require each individual user to register. Most applications can be completed online with access granted within the same day, although some firms may post the access details.

Each table contains a data item at the bottom called “Fund codes supported”. This describes the identification of the funds returned. If the only type returned is “Provider internal code” it means that the provider only returns their own internal fund code and therefore is not an industry standard code such as ISIN, MEXID, SEDOL or CITI. Without an industry standard code, we have no means of reconciling the fund with the fund table supplied by FE fundinfo which contains data about a fund such as asset allocation. Without this data the fund cannot be used in Modeller and so for modelling purposes the holding containing that fund will become “invalid” i.e. cannot be assigned to a goal.

As a user you need to weigh up the convenience of receiving a correct value with the ability to model the holding. Until the provider supplies an industry standard fund code that can be reconciled with the FE fundinfo data, you will not be able to do both without manual intervention.

Details of an optional workaround method is contained in the [FAQs](#) section.

For providers that allow access via a username and password method we have stated whether you can get one login to cover all advisers at a practice or whether each individual adviser will need their own and hence will need to register on an individual basis.

Provider overview table

The table below provides an overview of the current Contract Enquiry providers with the product message types available on the service and fund codes supported by the provider.

Provider	Access credentials	Product types			Fund codes				
		Wraps	Pensions	Bonds	CITICODE	SEDOL	ISIN	MEX	PROVIDER
Aviva	Unipass	✓	✓	✓		✓			✓
Aviva (Friends Life)	Unipass		✓	✓		✓		✓	✓
Canada Life	Unipass			✓		✓			✓
Elevate	Unipass and FTP	✓			✓		✓		
FundsNetwork	User login ID and pin		✓	✓		✓	✓		✓
James Hay	Username and Adviser ID	✓	✓	✓		✓	✓	✓	
Nucleus	Username and Adviser ID	✓			✓		✓		
Prudential	Unipass		✓	✓		✓		✓	✓
Quilter	Username and password		✓	✓			✓		
Royal London	Unipass		✓	✓		✓		✓	
Scottish Widows	Unipass		✓	✓	✓	✓	✓	✓	✓
Seven Investment	Username and password	✓				✓	✓		
Standard Life	Unipass	✓	✓	✓					✓

Aviva

Support number	0800 056 4607 0800 056 2026 (platform) 08:30 – 17:30 Monday to Friday
Email address	ecsd@aviva.com
Web address	www.aviva.co.uk/advisers
Access to provider website	Unipass
Access to contract enquiry	Unipass
Registration instructions	Go to the web address, register or log in and follow the instructions to enable access to use the contract enquiry valuation service. Once you have completed this process and linked your Unipass digital certificate , contract enquiry will be available to use.
Service availability	06:00 – 22:00 Monday to Sunday
Product and valuation types supported	Wraps: current Bonds: current and surrender Pensions: current and transfer
Contract number format	All Accounts request (platforms): <ul style="list-style-type: none"> The wrap client reference must be supplied as the contract reference number Single Account request (plans): <ul style="list-style-type: none"> The account reference number must be supplied as the contract reference number This version of the service continues to support the legacy wrap customer client reference / account reference but also supports the FNZ wrap account and wrap sub account reference. <ul style="list-style-type: none"> The legacy client reference must conform to the following pattern: nnnnn OR nnnnnnnnn The legacy account reference must conform to the following pattern: nnnnn OR nnnnnn The FNZ wrap account reference must conform to the following pattern: AVnnnnnnnn The FNZ wrap sub account reference must conform to the following pattern: AVnnnnnnnn-nnn (n=numeric)
Fund codes supported	SEDOL / Provider internal code
Notes	See Aviva (Friends Life) section for legacy Friends Life and AXA Heritage plans.

Aviva (Friends Life)

Support number	0800 056 4607 08:30 – 17:30 Monday to Friday
Email address	ecsd@aviva.com
Web address	www.aviva.co.uk/advisers
Access to provider website	Unipass
Access to contract enquiry	Unipass
Registration instructions	Go to the web address, register or log in and follow the instructions to enable access to use the contract enquiry valuation service. Once you have completed this process and linked your Unipass digital certificate , contract enquiry will be available to use.
Service availability	06:00 – 22:00 Monday to Sunday
Product and valuation types supported	Bonds: current and surrender Pensions: current and transfer
Contract number format	The contracts should be entered as plans; 123456A 123XY456 A123B321 12345678 Legacy Friends Provident pensions will require the Scheme and member numbers in the contract number field i.e. F20002/5526.
Fund codes supported	SEDOL / MEX / Provider internal code
Notes	Friends Life is part of Aviva. Contract Enquiry is available for the legacy bonds and pensions.

Canada Life

Support number	0345 365 3456 09:00 – 17:00 Monday to Friday
Email address	ifazone@canadalife.co.uk
Web address	www.canadalife.co.uk
Access to provider website	Unipass
Access to contract enquiry	Unipass
Registration instructions	<p>To obtain valuations, you must first be registered to use Adviser Connect.</p> <p>Go to the website address above and click on Login or Register > Adviser > Connect Onshore (IFA Zone) and follow the instructions.</p> <p>You can register with your Unipass certificate, which is required in order to use the Contract Enquiry service. Once your system administrator has approved your registration, you will be able to access valuations.</p> <p>Please call the IFA Zone Support Team for assistance on 0345 3653456.</p> <p>Once you have completed this process and linked your Unipass digital certificate, contract enquiry will be available to use.</p>
Service availability	Available 24 hours Monday to Sunday (subject to maintenance)
Product and valuation types supported	Bonds: Current and surrender
Contract number format	<p>The contracts should be entered as plans.</p> <p>Please note examples of policy number variations below: -</p> <ul style="list-style-type: none"> • ANNNNNNN • ANNNNNN • NNNNNNN <p>A = Alphanumeric Character N = Numeric Character</p> <p>< or = 8 alphanumeric (i.e. up to 8 alphanumeric)</p>
Fund codes supported	SEDOL / Provider internal code. If the fund does not have a SEDOL code, a provider internal code will be returned.
Notes	If already registered on the Canada Life IFA Zone, there is no need to register again but do ensure roles and agency numbers have been properly applied to your profile by your Administrator. Valuations will not be returned to an adviser unless the adviser is authorised to receive it

Elevate

Support number	0345 600 2399 09:00 – 17:00 Monday to Friday
Email address	elevate_enquiries@standardlife.com
Web address	www.elevateplatform.co.uk
Access to extranet	Unipass
Access to contract enquiry	Unipass
Registration instructions	<p>Please refer to the Notes section below before registering for the service.</p> <p>In order to register for Elevate you need to speak to your regional business consultant or call the support number above.</p> <p>Go to the website and click on adviser eservices login. You must be registered for online services with Elevate before registering for contract enquiry via EMP</p> <p>Once you have completed this process, return to EMP and enter the provider settings required;</p> <ul style="list-style-type: none"> • FTP URL to bulk valuation file • FTP username • FTP password
Service availability	Available 24 hours Monday to Sunday (subject to maintenance)
Product and valuation types supported	Wraps: Current
Contract number format	<p>The contracts should be entered as platforms.</p> <p>ELnnnnnnnn n = Numeric Character</p>
Fund codes supported	ISIN / CITICODE
Notes	<p>To use this service, you will need to have an FTP site of your own.</p> <p>You can then login to the Elevate website and download the bulk file of valuation data and post it to your FTP site.</p> <p>Synaptic can then pick up the file from your FTP site and store it in the EMP to return the relevant data when you request it.</p>

FundsNetwork

Support number	0800 414181 09:00 - 16:30 Monday to Friday
Email address	Secure messaging is available via the platform.
Web address	www.fundsnetwork.co.uk
Access to provider website	User login ID and pin number
Access to contract enquiry	User login ID and pin number
Registration instructions	<p>To complete the registration for online services you will need a User login ID and PIN, which can be obtained by calling the team on the support number.</p> <p>On completion of the above you will be able to obtain login details from your firm administrator.</p> <p>Once you have completed this process, return to EMP and enter the provider settings required;</p> <ul style="list-style-type: none"> • Username • Password
Service availability	08:30 – 18:00 Monday to Friday
Product and valuation types supported	Bonds: current and surrender Pensions: current and transfer
Contract number format	<p>The contracts should be entered as plans.</p> <p>Holdings are grouped into accounts. A client can have more than one account on FundsNetwork. Accounts are identified by a unique 10 character code which is constructed of four alphabetical characters followed by six digits i.e. ABCD123456.</p> <p>The first three characters are usually representative of the first three characters of a client's surname or first three characters of a corporate/trustee company name. The fourth character generally gives an indication of the product group the account number relates to.</p>
Fund codes supported	SEDOL / ISIN / Provider internal code
Notes	The FundsNetwork service does not support a wrap message. To update the holdings using the contract enquiry service you will need to record the individual holdings for the client as 'plans' rather than a platform.

James Hay

Support number	0345 521 2414 09:00 – 17:00 Monday to Friday
Email address	Secure messaging is available via the platform
Web address	www.jameshay.co.uk
Access to provider website	Username and password
Access to contract enquiry	Org Username and Adviser ID
Registration instructions	<p>Click on website address above to login or register to use online services.</p> <p>To request access to the contract valuation data feed, log in to James Hay Online and under Register for Third Party Data Feeds select 'Capita Financial Software' and follow instructions to enable the service.</p> <p>Once you have completed this process, return to EMP and enter the provider settings required;</p> <ul style="list-style-type: none"> • SFTP username (for bulk valuation files) • SFTP password
Service availability	09:00 – 17:00 Monday to Friday
Product and valuation types supported	Wraps: current Pensions: current Bonds: current
Contract number format	<p>Wraps should be entered as platforms using either the unique customer reference of the standalone SIPP or the wrap number.</p> <p>Bonds and Pension contracts should be entered as plans using either the policy number of the standalone SIPP or the product number within the wrap.</p> <p>All numbers consist of 5 digits.</p>
Fund codes supported	SEDOL / ISIN / MEX
Notes	

Nucleus

Support number	0131 226 9535 08:30 – 17:30 Monday to Friday
Email address	client.relations@nucleusfinancial.com
Web address	www.nucleusfinancial.com
Access to provider website	Username and password
Access to contract enquiry	Org Username and Adviser ID (but can be used at Org level)
Registration instructions	<p>Click on website address above and login to the adviser area on the platform. Follow the instructions to register for this service</p> <p>Nucleus will supply an organisation with a username that can be input in EMP as the 'Firm's API Username Token'. You will have to request your individual Adviser ID (this is different from your username to access the website). If your ID has access to all the clients in your business then it can be set by the EMP administrator at an organisation level, if not each individual adviser will need to enter their details.</p> <p>Once you have completed this process, return to EMP and enter the provider settings required;</p> <ul style="list-style-type: none"> • Username • Password (see notes section) • Firms API Username Token
Service availability	Available 24 hours Monday to Sunday (subject to maintenance)
Product and valuation types supported	Wraps: current
Contract number format	<p>The contracts should be entered as platforms.</p> <p>Enter the 'client ID' in the contract number which is 10 digits long.</p>
Fund codes supported	ISIN / CITICODE
Notes	EMP will specify the need for a password with the Adviser ID but it is not currently used in the process so you can enter any characters in this field.

Prudential

Support number	0808 234 0808 / 0808 234 5200 08:30 – 18:00 Monday to Friday
Email address	contact.us@prudential.co.uk
Web address	www.pruadviser.co.uk
Access to provider website	Unipass
Access to contract enquiry	Unipass
Registration instructions	Click on website address above. Go to online services select an online service. Follow the instructions to use this service. Once you have completed this process and linked your Unipass digital certificate , contract enquiry will be available to use.
Service availability	08:00 – 22:00 Monday to Friday 08:00 – 16:00 Saturday
Product and valuation types supported	Bonds: current and surrender Pensions: current and transfer
Contract number format	The contracts should be entered as plans. 7 or 8 characters with format as follows: For bonds nnnnnnc, nnnccnnn or cnnncnnn. For pensions nnnccnnn, cnnncnnn or nnnnnnnn.
Fund codes supported	SEDOL / MEX / Provider internal code
Notes	There is no registration required. Access will be restricted to policies for the FCA number and postcode specified on the certificate, unless otherwise requested. If access is required at a company level i.e. FCA number, then they should contact the above number to request this type of access. Prudential is unable to supply valuations for M&G contracts at contract level, instead, each segment within a contract needs to be valued separately.

Quilter

Support number	0808 171 2626 09:00 – 17:00 Monday to Friday
Email address	ask@quilter.com
Web address	www.quilter.com
Access to provider website	Unipass
Access to contract enquiry	Username and password at an organisation level (different to username and password for website)
Registration instructions	<p>Click on website address above and login to the adviser site. Go down to the new user section and click on the getting started guide.</p> <p>The username for registered Quilter platform users will be the platform Username. The password will be the 'Contract Enquiry Password' which is available from the UK Adviser Platform. Once logged in, click on your name on the top right.</p> <p>Once you have completed this process, return to EMP and enter the provider settings required;</p> <ul style="list-style-type: none"> • Username • Password <p>In the user settings area of the website you should be able to pick up your contract enquiry username or generate it if not already done.</p>
Service availability	Available 24 hours Monday to Sunday (subject to maintenance)
Product and valuation types supported	Bonds: current and surrender Pensions: current and transfer
Contract number format	The contracts should be entered as plans (sub-accounts). The new sub-account number structure: ACnnnnnnn-nnn
Fund codes supported	ISIN
Notes	<p>In the user settings area of the website you should be able to pick up your contract enquiry username or generate it if not already done.</p> <p>The old account number structure will need to be updated to the new account number structure to get a contract valuation. Details of old structure below:</p> <ul style="list-style-type: none"> • Legacy Skandia Investment Solution policies are formatted with up to a 9 digit numeric value: 100000000 • Legacy Skandia MultiFUND policies are formatted with 3 characters followed by up to a 9 digit numeric value: IMN000000000 <p>If an ISIN code returned cannot be identified as unique, an error will be displayed and the fund valuation will not be imported as the system cannot currently determine which fund to display. In this instance the funds will need to be entered manually.</p>

Royal London

Support number	0345 60 50 401 08:30 – 17:30 Monday to Friday
Email address	websupport@royallondon.com
Web address	https://adviser.royallondon.com/
Access to provider website	Unipass
Access to contract enquiry	Unipass
Registration instructions	<p>To register for contract enquiry services, you will need to have a Unipass certificate attached to your online service account.</p> <p>Register for online services using Royal London's simple online process. Please ensure that you connect your account to your Unipass certificate at registration. The registration process usually takes less than 2 business days to set up access.</p> <p>Once the process has been completed, you will be able to use your Unipass certificate to access details on the website.</p> <p>Once you have completed this process and linked your Unipass digital certificate, contract enquiry will be available to use.</p>
Service availability	Available 24 hours Monday to Sunday (subject to maintenance)
Product and valuation types supported	Bonds: current and surrender Pensions: current and transfer
Contract number format	<p>The contracts should be entered as plans.</p> <p>You will need to enter the client's Royal London (Scottish Life) policy number with should be 7 or 8 digits.</p>
Fund codes supported	SEDOL / MEX
Notes	Refer to the Back office guide for more information including details of error messages and how to resolve them.

Scottish Widows

Support number	03457 697888 09:00 – 17:00 Monday to Friday
Email address	websupport@scottishwidows.co.uk
Web address	https://adviser.scottishwidows.co.uk/online-services.html
Access to provider website	Unipass
Access to contract enquiry	Unipass
Registration instructions	Click on website address above and login or register for online services. Follow the instructions to use the integrated contract valuation service. Once you have completed this process and linked your Unipass digital certificate , contract enquiry will be available to use.
Service availability	08:00 – 20:00 Monday to Friday 09:00 – 12:30 Saturday
Product and valuation types supported	Bonds: current and surrender Pensions: current and transfer
Contract number format	The contracts should be entered as plans. All policy numbers are numerical and will work whether you enter the policy segments (e.g. /1-12) or not. <ul style="list-style-type: none"> • All personal, SHP, GPP (members), GSHP (members) pensions – 7 digits – all numerical • Retirement account – 8 digits – all numerical Policies starting with “Z” are not supported via Contract Enquiry services. Policies starting with “P” are the group scheme reference numbers and are not supported via Contract Enquiry services, only individual policy numbers.
Fund codes supported	SEDOL / MEX / ISIN / CITICODE / Provider internal code
Notes	All pensions with a commencement date of September 1994 onwards, including retirement account, personal pensions, stakeholder, group personal pensions and group stakeholder pensions. Flexible options bonds, flexible income bonds, capital investment bonds and unitised with profits bonds with a commencement date post September 1994.

Seven Investment Management (7IM)

Support number	0207 760 8777 08:00 – 18:00 Monday to Friday
Email address	information@7im.co.uk
Web address	www.7im.co.uk/financial-intermediary
Access to provider website	Username and password
Access to contract enquiry	Username and password (different from above) at an Org level
Registration instructions	<p>Request Data Services credentials from your 7IM Relationship Manager. These will give you access to 7IM client data through your research software system.</p> <p>Your credentials will be sent in the post in two separate letters; one with your username, the other with a password.</p> <p>When you have received your credentials, you can either contact your software provider or follow the steps provided in this document.</p> <p>Once you have completed this process, return to EMP and enter the provider settings required;</p> <ul style="list-style-type: none"> • Username • Password
Service availability	Available 24 hours Monday to Sunday (subject to maintenance)
Product and valuation types supported	Wraps: current
Contract number format	<p>The contracts should be entered as platforms.</p> <p>The 7IM Portfolio ID should be entered in the contract reference.</p> <p>7IM Portfolio IDs are alphanumeric, 11 characters long and can contain spaces. All portfolio numbers start with the letters IM;</p> <ul style="list-style-type: none"> • IMA1234A D • IMA1234A XD • IMA1234ASHD
Fund codes supported	SEDOL (For cash holdings the fund code will be set to 'CASH') ISIN
Notes	It is best to contact your BDM for them to get the correct details generated for your organisation.

Standard Life

Support number	0345 606 0036 09:00 - 17:00 Monday to Friday
Email address	Sales_ecommerce@standardlife.com
Web address	www.adviserzone.com
Access to provider website	Unipass
Access to contract enquiry	Unipass
Registration instructions	<p>Go to www.adviserzone.com</p> <p>Login or register to use online services. Navigate to Online Services > Integrated Services > Valuations and follow the link to 'Register for our Contract Enquiry service'</p> <p>Once you have completed this process, return to EMP and enter the provider settings required;</p> <ul style="list-style-type: none"> • Username • Password
Service availability	07:00 - 24:00 Monday to Friday 07:00 - 23:00 Saturday to Sunday
Product and valuation types supported	Wraps: current Bonds: current and surrender Pensions: current and transfer
Contract number format	<p>Wraps should be entered as platforms. Bonds and Pension contracts should be entered as plans.</p> <p>Wraps WP1234567 Bonds X12345678a / XU123456789 Pensions K123456789000</p>
Fund codes supported	Provider internal code
Notes	Wrap valuations must be requested at the platform level using the wrap number. Valuations will not be returned if you have entered the number for the underlying plans i.e. do not enter WP1234567-001.

Using Contract Enquiry

This part of the document will go through how to use Contract Enquiry on client records within the Synaptic Suite.

Once you have completed the setup, linked your Unipass and registered with the providers, the 'Enabled' Providers who use Unipass will be ready to request valuations.

When you first set up a Plan, SIPP or Platform you can try to populate some of the holding information using contract enquiry (assuming the provider is supported).

Load your client or create a new one, click on the **Holdings** tab and **add** the Holdings as normal.

The screenshot shows the 'Holdings' tab in the Synaptic Suite. The interface includes a top navigation bar with tabs like 'Clients', 'Risk Rating', 'Modeller', 'Analysier', 'Comparator', 'Webline', 'Product & Fund', 'Tools & Calculators', and 'Settings'. A search bar is present. The main content area is divided into sections for different financial instruments:

- Platforms (0)**: A table with columns: Name, Provider, Product, Status, Synaptic Risk Rating, Value, Assigned To, and an 'Add +' button. The total value is £0.00.
- SIPPs (0)**: A table with columns: Name, Provider, Product, Status, Synaptic Risk Rating, Value, Assigned To, and an 'Add +' button. The total value is £0.00.
- Plans (1)**: A table with columns: Name, Provider, Product, Status, Synaptic Risk Rating, Value, Assigned To, and an 'Add +' button. One plan is listed: 'Aviva Test Plan' by 'Aviva Investors' for 'Aviva Investors Investment ISA', with a value of £51,230.18. The total value is £51,230.18.
- Assets (0)**: A table with columns: Name, Type, Synaptic Risk Rating, Value, Assigned To, and an 'Add +' button. The total value is £0.00.
- Accounts (0)**: A table with columns: Name, Provider, Product, Synaptic Risk Rating, Value, Assigned To, and an 'Add +' button. The total value is £0.00.

A sidebar on the left contains navigation links: 'Personal Details', 'Holdings' (selected), 'Income Sources', 'Accumulation Goals', and 'Retirement Income Goals'.

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You will need to enter the Provider Name, Product Name, Product Category and a Contract Number in order to be able to request the message.

The screenshot shows the 'Plan Details' form in the Synaptic Suite. The form includes the following fields:

- Name: Canada CE test
- Provider Name: Canada Life
- Product Name: Flexible Investment Bond - Level Option
- Status: In Force
- Product Category: Investment Products
- Contract Number: (empty)
- Start Date: (empty)
- End Date: (empty)

Buttons at the bottom include 'Save', 'Save & Close', and 'Cancel'. A sidebar on the left contains navigation links: 'Details' (selected), 'Contributions', 'Withdrawals', 'Underlying Assets', and 'Performance'.

Once the required data is present you can click “Get details via Contract Enquiry” to initiate the request.

The screenshot shows the 'Plan Details' form in the Synaptic system. A modal dialog titled 'Contract Enquiry' is open, displaying a loading spinner and the text 'Please wait while we retrieve details of your plan...'. The background form is partially obscured but shows fields for Name, Provider Name, Product Name, Status, Product Category, Contract Number, Start Date, End Date, and Policy can be (Balanced, Augmented, Transferred). The Synaptic Version 3.2.123 is visible at the bottom left.

The message will then be sent to the provider and the response displayed as to the success.

The screenshot shows the 'Plan Details' form after a successful 'Contract Enquiry'. A green message bar at the top states: 'Contract Enquiry of all eligible holdings was last performed on 18 September 2014 at 12:41'. The form fields are now populated: Name (Canada Life), Provider Name (Sample Provider), Product Name (WHOLE LIFE SINGLE LIFE ML PAR), Status (In Force), Product Category (Investment Products), Contract Number, Start Date, and End Date. The Synaptic Version 3.2.147 is visible at the bottom left.

The holding will now populate the data within the Underlying Asset tab from the message.

The screenshot shows the 'Underlying Assets' tab in the Synaptic system. It displays a table of fund holdings and an asset allocation pie chart. The table has columns for Fund Name, Units, % of Holding, and Value. The asset allocation pie chart shows the following breakdown:

Fund Name	Units	% of Holding	Value
Canl.	147.18	12.85	£514.54
Canl.	285.7	8.90	£356.84
Canl.	255.97	10.56	£423.63
Canl.	162.76	14.50	£581.54
Canl.	152.7	6.74	£270.28
Canl.	313.08	10.60	£425.16

The asset allocation pie chart shows the following breakdown:

- No data (35.88%)
- UK Equities (26.74%)
- UK Govt Bonds (10.27%)
- Global Fixed Income (ex UK) (8.81%)
- European Fixed Income (6.34%)

The Synaptic Version 3.2.147 is visible at the bottom left.

The underlying asset screen will automatically set the valuation type dropdown to be Contract Enquiry meaning this plan will be marked as a plan that uses contract enquiry (see below). Any existing holding can also be marked up to use contract enquiry by this method.

It is also possible to see the response from the provider as a pdf document which is available by clicking “View Contract Enquiry Report” message.

✓ Contract Enquiry of all eligible holdings was last performed on 7 May 2020 at 10:58
 Only one Contract Enquiry can be requested for a holding per day.

Fund Name

Aviva With Profits S1

[View Contract Enquiry Report](#)

On the main holdings page under the client, all contracts that have been set to use contract enquiry can be updated in one go by clicking the “Start Contract Enquiry” button in the ribbon bar.

Clients
Risk Rating
Modeller
Analyser
Comparator
Webline
Product & Fund
Tools & Calculators ▾
Settings ▾

Alice Oliver
+

Policy Report
Start Contract Enquiry
Risk Rate Holdings

Personal Details

Holdings

Income Sources

Accumulation Goals

Retirement Income Goals

Platforms (1)

Name	Provider	Product	Status
M&G PLATFORM	M&G Group	M&G ISA	In Force

▸ **Assets (1)**

▸ **Accounts (0)**

▸ **Plans (1)**

▸ **SIPPs (1)**

It should be noted that the system will restrict you to one successful contract enquiry message per contract per day.

FAQs

Provider Internal Fund Codes

As mentioned in [Provider Registration](#) section of this guide, if providers only return a provider internal fund code rather than an industry recognised code (such as Citicode or ISIN) this results in us not being able to match it to a fund code in the fund table, which in turn means we are unable to display any fund data.

Where funds cannot be matched, they cannot be used in the research tools therefore the data returned is purely to provide the fund names and current value. This causes a dilemma of keeping the value up to date versus being able to define or research the underlying assets. The manual workaround to this would be as follows;

- Run the contract enquiry initially to get the fund list and number of units in each fund of the portfolio
- On the underlying assets page change the valuation method back to manual fund list
- Search for the funds returned by the CE message manually and select the correct funds to add to the holding
- Enter the number of units in each fund – the holding will now calculate the current value based on the unit prices
- The unit price will be updated daily by the price feed and the holding will be able to be used for Modelling and factsheet generation etc.
- This process will not update the unit numbers and as such the value will drift from reality over time (especially if there is a regular contribution)
- To avoid this, periodically revert to Contract enquiry (as a valuation method) and run the contract enquiry again.
- This will update the funds but most importantly the unit numbers
- Switch back to Manual fund list and input the new unit numbers
- The fund list in the manual mode will be saved so assuming no fund changes have happened you will not have to search for them again.



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