



# SYNAPTIC SOFTWARE

## USER GUIDE



SYNAPTIC

Version 1.2 Feb 2020

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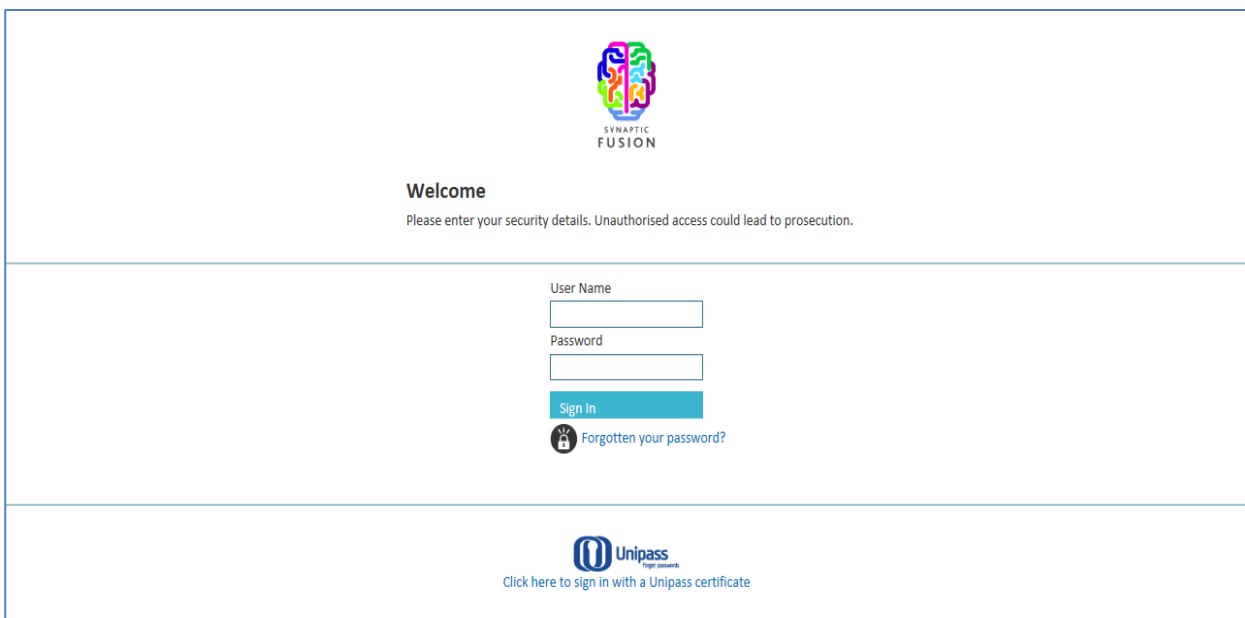
## 1 Introduction

This user guide has been put together to guide you through accessing the Synaptic software. It is a guide to the common components of the suite, i.e. the data that is shared across the different applications. It covers navigation, shared data and the icons that are used throughout the suite.

Synaptic is the gateway to the Synaptic Software suite of investment planning tools designed to help you fulfil your obligations set out by the Financial Conduct Authority (FCA) for assessing your client's attitude to investment risk and enable you to recommend a suitable and tailored solution for them.

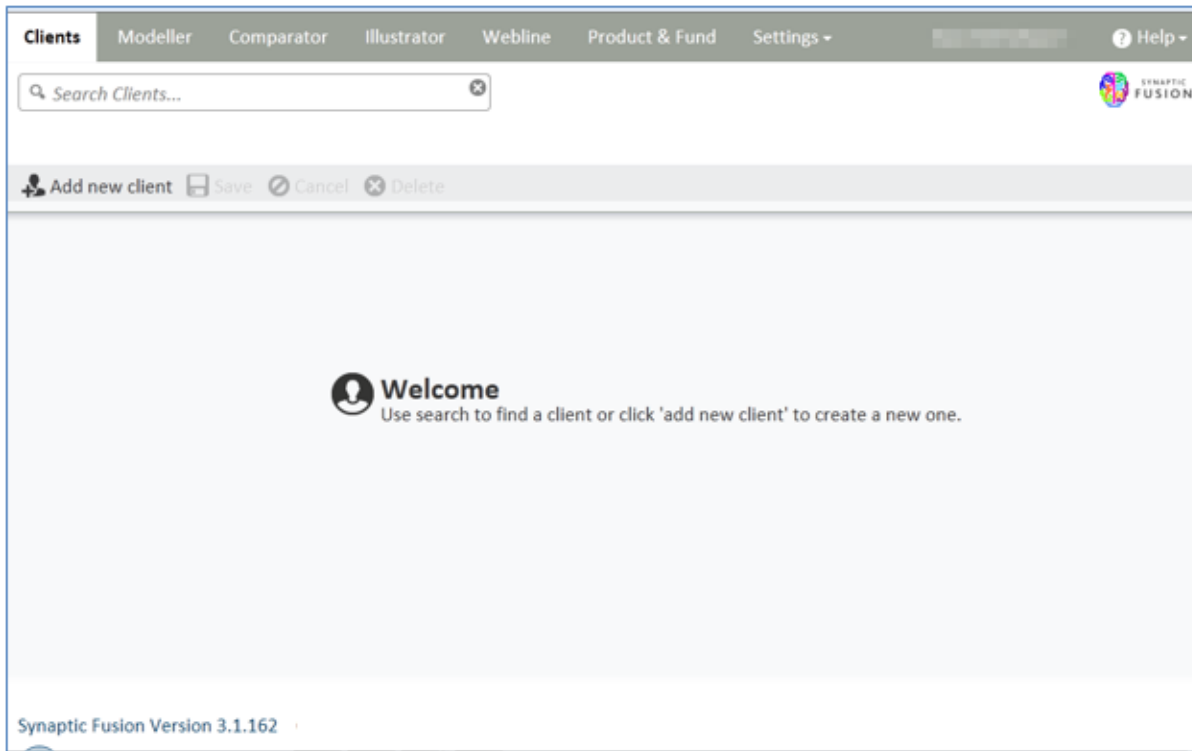
## 2 Accessing Synaptic

There is no setting up required to access the Synaptic software. However you will need to have acquired the appropriate licence from your administrator. You will need an internet connection as this suite of software solutions is only available online.



The screenshot shows the Synaptic Fusion login interface. At the top center is the Synaptic Fusion logo, which consists of a colorful circular icon with the text 'SYNAPTIC FUSION' below it. Below the logo, the word 'Welcome' is displayed in bold, followed by the text 'Please enter your security details. Unauthorised access could lead to prosecution.' Below this is a login form with two input fields: 'User Name' and 'Password'. Below the password field is a blue 'Sign In' button. To the right of the 'Sign In' button is a link that says 'Forgotten your password?' with a small padlock icon. At the bottom of the page is the Unipass logo, which includes a blue circular icon with a white 'U' and the text 'Unipass' next to it. Below the Unipass logo is a link that says 'Click here to sign in with a Unipass certificate'.

Once you have signed into Synaptic, there will be a welcome screen which will direct you to either search for an existing client or add a new one by clicking on the relevant button at the top left of the screen.



## 2.1. Application Tabs

There are 7 tabs at the top of the screen that you can choose from:

- Clients - where you can add or retrieve client details.
- Modeller - an investment planning and risk profiling tool.
- Comparator - a quantitative and qualitative on and off platform cost comparison tool.
- Illustrator – a switch analysis tool.
- Webline - for researching quotations and applying for Protection, Annuities or Health policies.
- Product & Fund – for conducting qualitative Product or Fund research.
- Settings – to access Fund Management, Administration and Enterprise Messaging Platform.

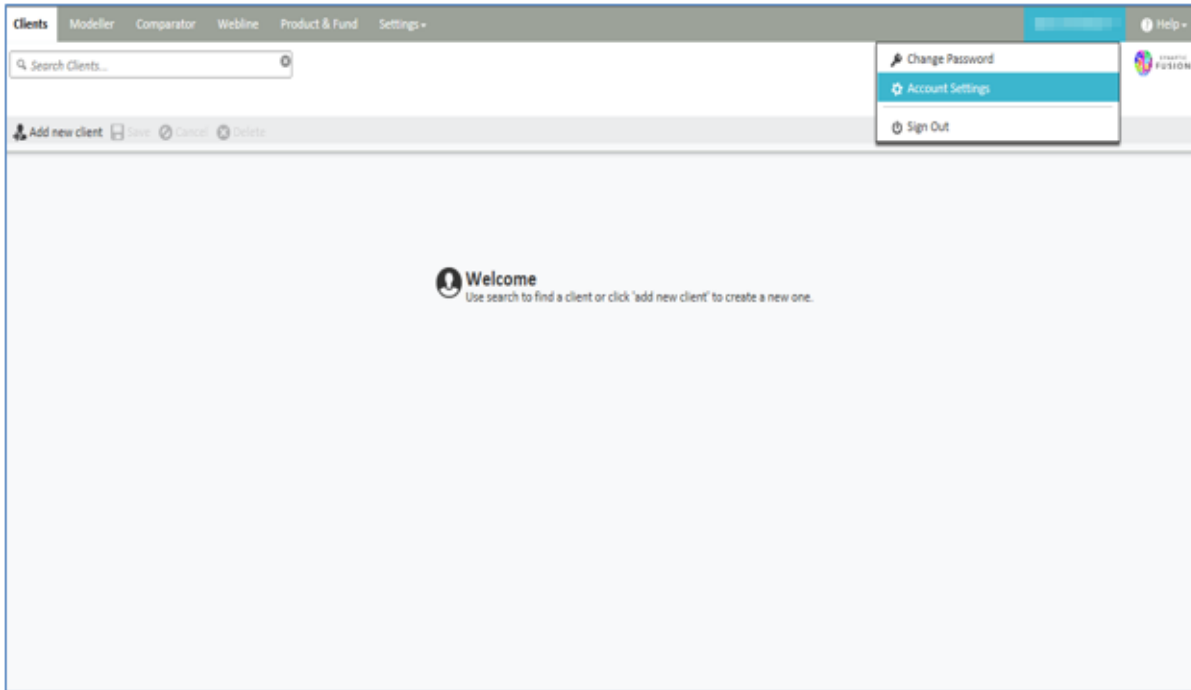
**The type of licence purchased will drive which of the Synaptic tools you have access to. Modeller, Comparator and Illustrator will not need further sign in credentials but in order to access Product & Fund and Webline you need to ensure that your 'sign in' credentials are set before initial use.**

Please see the next section 2.2.1 Account Settings, for this information.

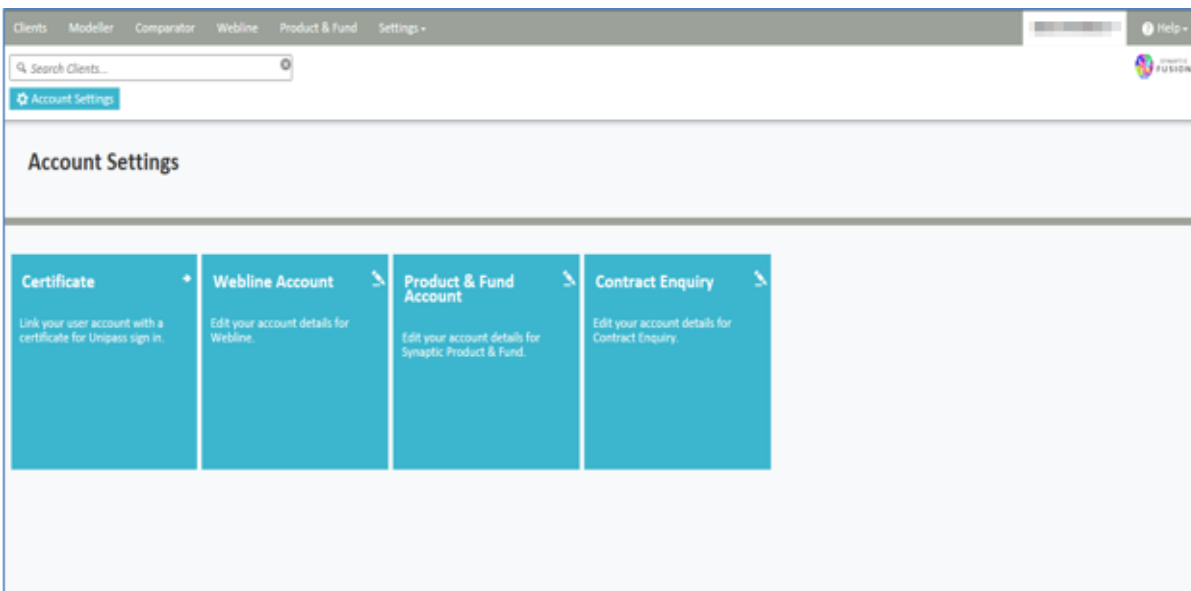
## 2.2 Your Access

### 2.2.1 Account Settings

You can access Account Settings via the Name tab on the top right of Synaptic screen. From here you can associate your Unipass or enter your sign in details for associated applications.



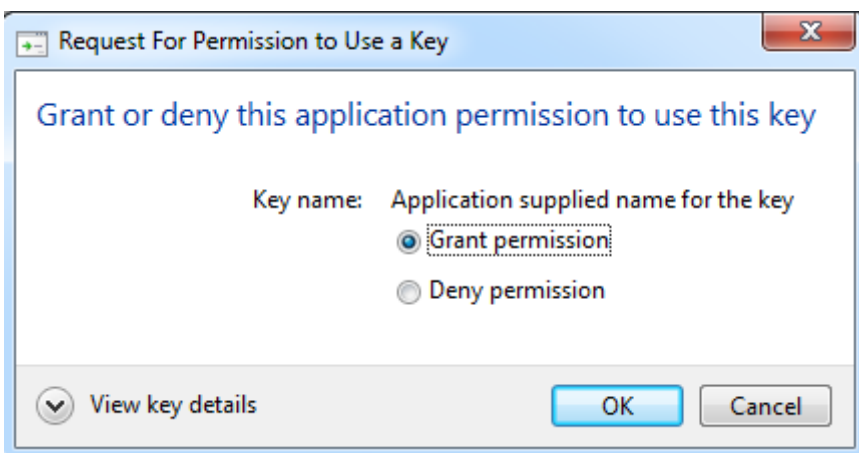
Once selected, you will be presented with 4 options, as the following screen shows:



### 2.2.1.1 Unipass

Associating your Unipass will allow you to sign in to the suite (without your username and password) and is often mandated for some providers when using Contract enquiry.

For the Unipass Certificate you will see the following screens when this option is selected:



Once Synaptic has picked up your Unipass you will need to click on the “link certificate” button as shown below;

**Link a certificate to a Synaptic Fusion account**

[Go back to account settings](#)

**Status**  
Your Fusion account is not linked to a certificate. To link it to the certificate below, click on the 'Link Certificate' button.

**Link certificate**

**Fusion Account Details** these are the details of your Fusion account

Fusion username: [redacted]  
User full name: [redacted]  
E-mail: [redacted]  
Organisation name: Support  
User external identifier: [redacted]  
Linked certificate subject: N/A  
Linked certificate thumbprint: N/A  
Linked certificate serial number: N/A  
Linked certificate valid from: N/A  
Linked certificate valid to: N/A  
Linked certificate collected on: N/A

**Certificate Details** these are the details of the certificate you used to access this page

Certificate subject: [redacted]  
Certificate thumbprint: [redacted]  
Certificate serial number: 0CD83168CD86207890544E68265F16E8  
Certificate valid from: 29/10/2013 00:00:00  
Certificate valid to: 29/10/2014 23:59:59

You can also change the Unipass associated by unlinking the current linked Unipass

**Link a certificate to a Synaptic Fusion account**

[Go back to account settings](#)

**Status**  
Your certificate is already linked to your account.  
The certificate you have connected with is already linked to your Fusion account.

**Unlink certificate**

**Fusion Account Details** these are the details of your Fusion account

Fusion username: [redacted]  
User full name: [redacted]  
E-mail: [redacted]  
Organisation name: Support  
User external identifier: [redacted]  
Linked certificate subject: [redacted]  
Linked certificate thumbprint: [redacted]  
Linked certificate serial number: [redacted]  
Linked certificate valid from: 29/10/2013 00:00:00  
Linked certificate valid to: 29/10/2014 23:59:59  
Linked certificate collected on: 30 October 2013

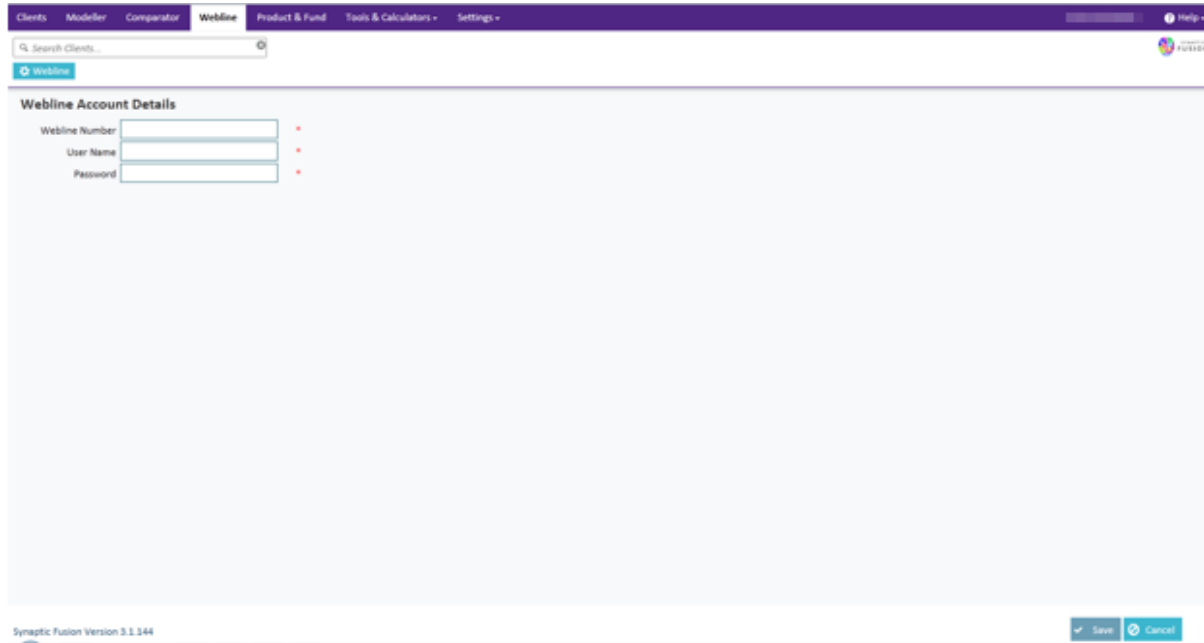
**Certificate Details** these are the details of the certificate you used to access this page

Certificate subject: [redacted]  
Certificate thumbprint: ACE15D4DDA8C37849F84DE85347CE30B00014D8  
Certificate serial number: 0CD83168CD86207890544E68265F16E8  
Certificate valid from: 29/10/2013 00:00:00  
Certificate valid to: 29/10/2014 23:59:59



### 2.2.1.2 Webline

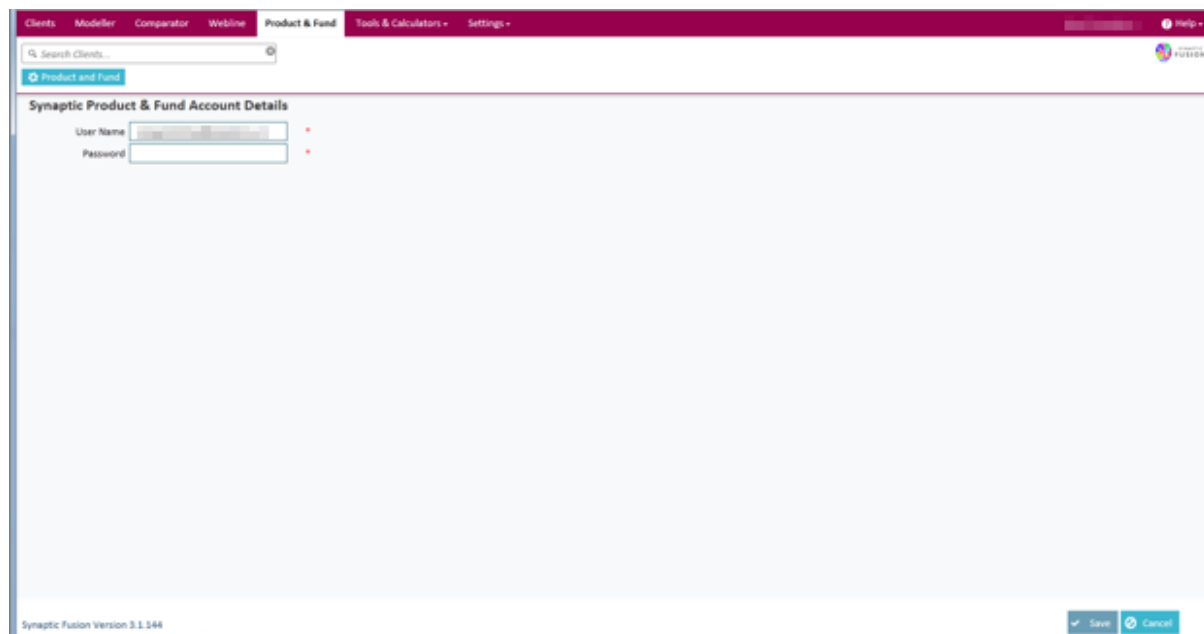
For the Webline Account you will see the following screen when this option is selected and you will be required to enter your sign in details in order to access Webline through the suite. The benefit of logging in to Webline through Synaptic is that your client details will prepopulate the quote form:



The screenshot shows the Synaptic Fusion application interface. The top navigation bar includes tabs for Clients, Modeler, Comparator, Webline, Product & Fund, Tools & Calculators, and Settings. The 'Webline' tab is currently selected. Below the navigation bar is a search bar labeled 'Search Clients...'. A 'Webline' button is visible. The main content area is titled 'Webline Account Details' and contains three input fields: 'Webline Number', 'User Name', and 'Password'. Each field has a red asterisk to its right, indicating a required field. At the bottom of the screen, there is a status bar showing 'Synaptic Fusion Version 3.1.144' and two buttons: 'Save' and 'Cancel'.

### 2.2.1.3. Product and Fund

For the Product & Fund Account you will see the following screen when this option is selected and you will be required to enter your sign in details in order to access Product and Fund. The benefit of logging in to Product & Fund through Synaptic is that your client details will prepopulate your research:



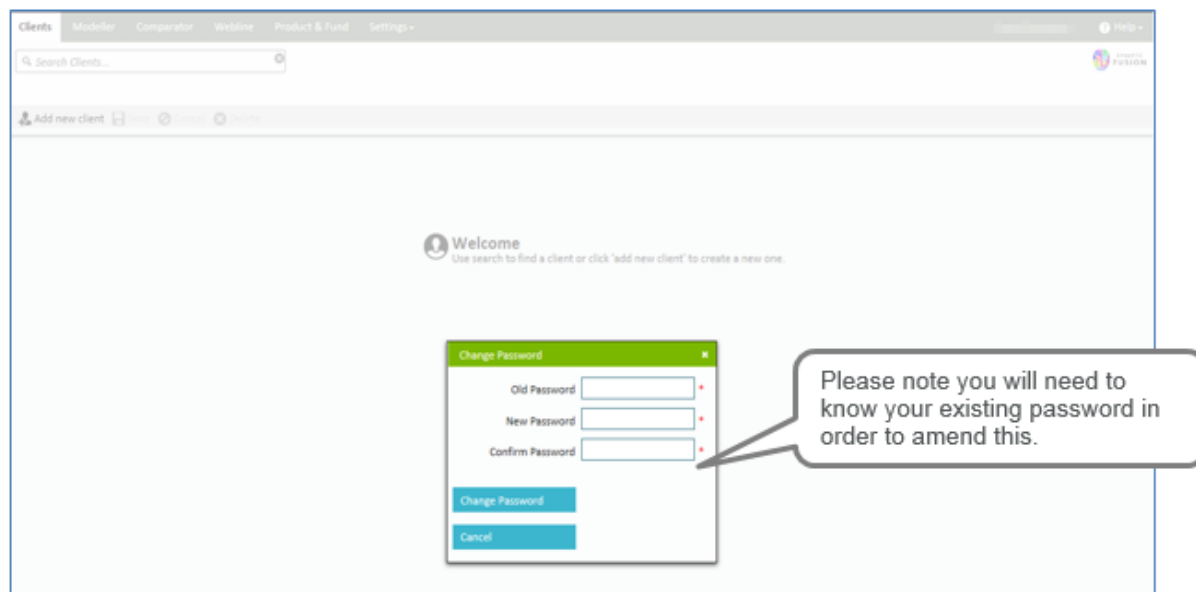
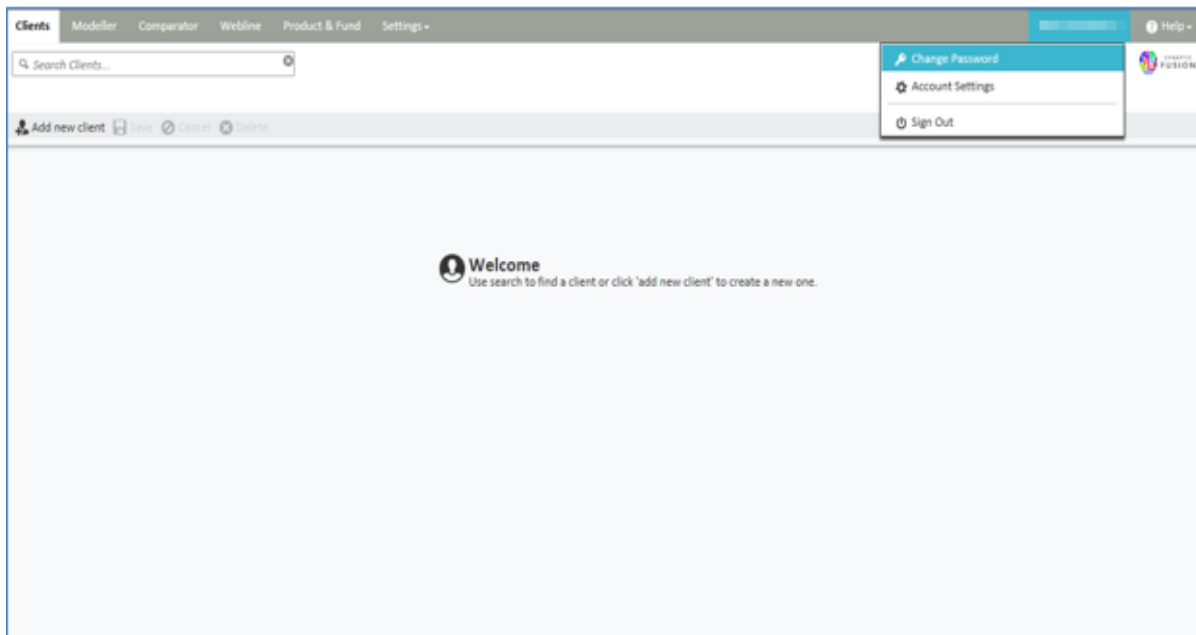
The screenshot shows the Synaptic Fusion application interface. The top navigation bar includes tabs for Clients, Modeler, Comparator, Webline, Product & Fund, Tools & Calculators, and Settings. The 'Product & Fund' tab is currently selected. Below the navigation bar is a search bar labeled 'Search Clients...'. A 'Product and Fund' button is visible. The main content area is titled 'Synaptic Product & Fund Account Details' and contains two input fields: 'User Name' and 'Password'. Each field has a red asterisk to its right, indicating a required field. At the bottom of the screen, there is a status bar showing 'Synaptic Fusion Version 3.1.144' and two buttons: 'Save' and 'Cancel'.

### 2.2.1.4 Contract Enquiry

This is where you would input your provider specific user names and passwords for Contract Enquiry to function correctly. See the Contract Enquiry User Guide for more details. Please note that your administrator will need to have set up Contract Enquiry before you can enter your details.

### 2.2.2 Passwords

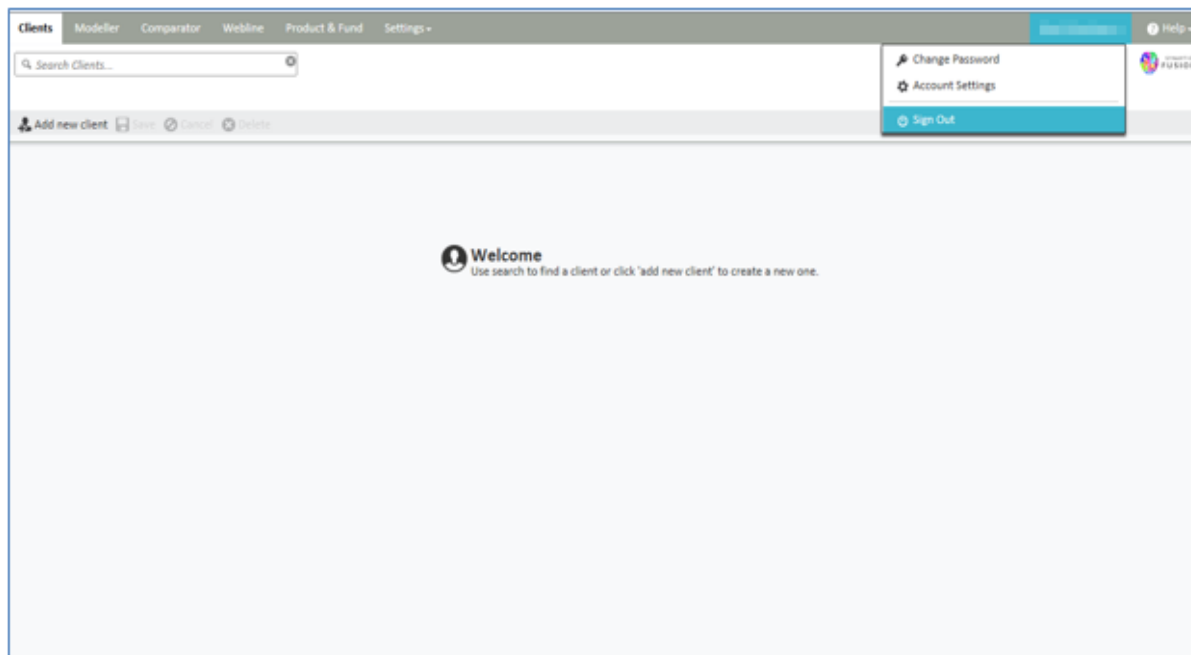
You can also change your Synaptic password from here, see screen shot below:



NB: This amendment will only change your access to the Synaptic Suite itself and will not change the passwords for access to Webline or Product and Fund. These can be changed by accessing the application itself.










## 2.2.3 Sign Out

You should sign out of the software via this tab as shown below:



### 3. Understanding the Icons

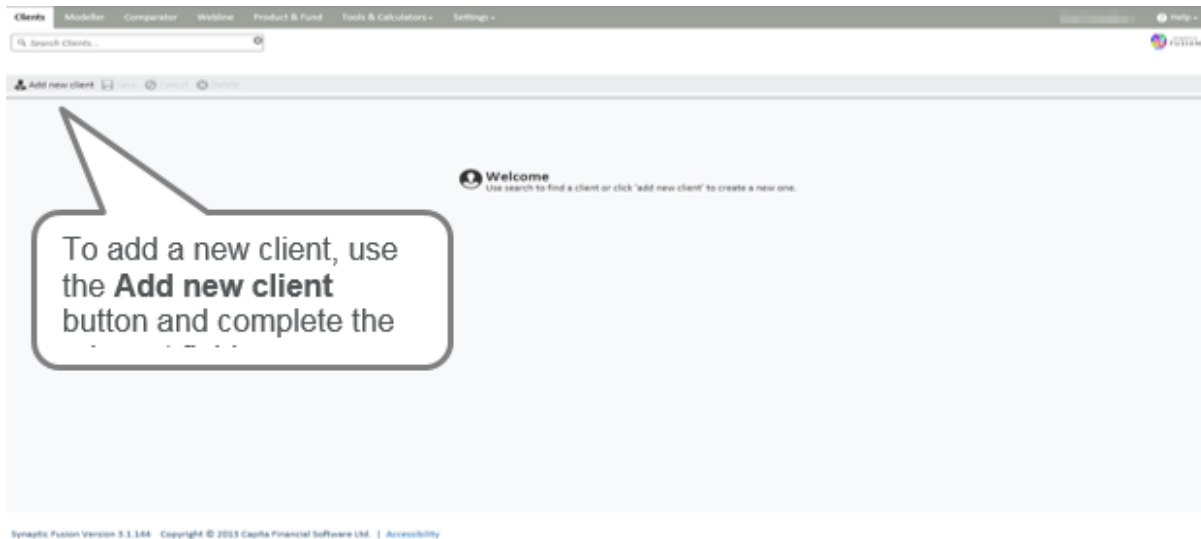
There are also a number of symbols which dictate different actions you are allowed to carry out within the software:

-  - Lock symbol – to stop a particular piece of information changing unless you have 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 your software
-  - Magnifying glass – search field that returns a list of options
-  - Report Icon – for producing a report or viewing an existing report

## 4. Client Area

The client area is where you can record details about your client that can be shared across the suite.

### 4.1. Creating New Clients



Those fields marked with a \* are the minimum required to complete the process, however if you want to use the client throughout all the applications in the suite then it is recommended that you complete all the **Personal Details** fields.

An example of a new client is shown below:

Title

Name

Address

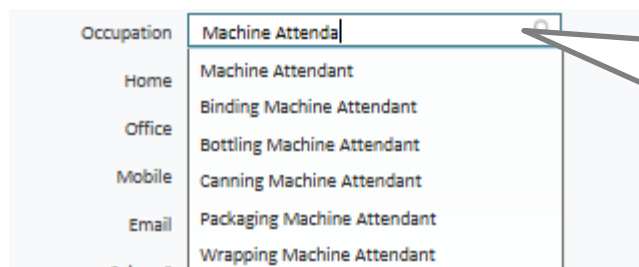
Postcode

Date of Birth

Sex ☐ Male ☐ Female

Smoker ☐ Yes ☐ No

If recording the client's occupation, start typing the first few letters of the occupation and a drop down list with matching occupations will appear:

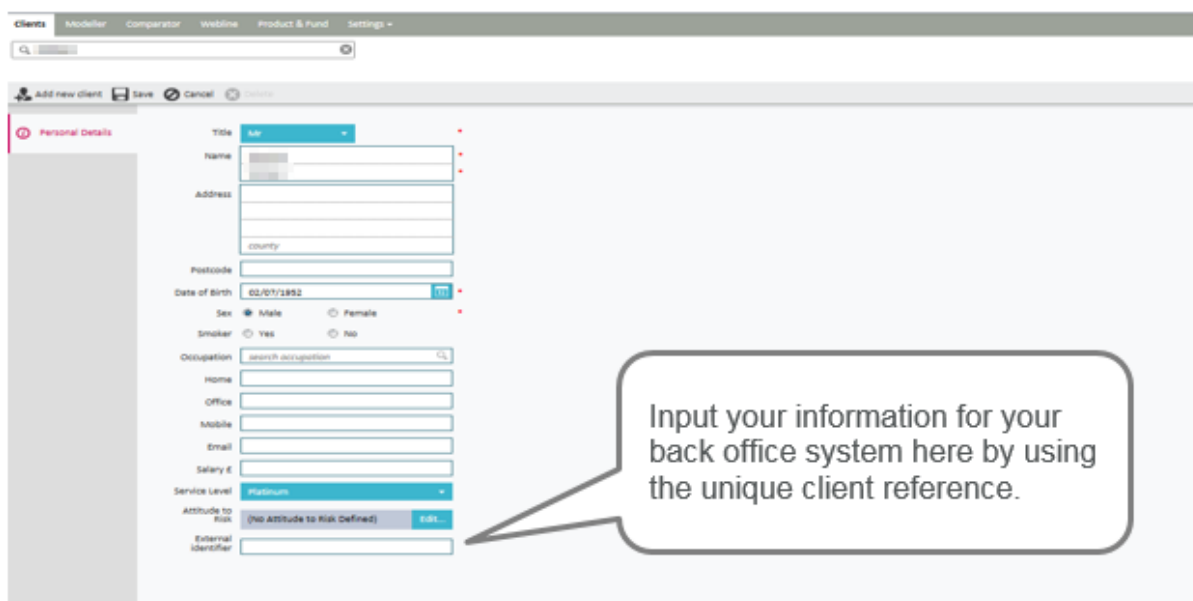


A screenshot of a web form showing a dropdown menu for the 'Occupation' field. The text 'Machine Attenda' is entered in the input box, and a list of suggestions is displayed below it: 'Machine Attendant', 'Binding Machine Attendant', 'Bottling Machine Attendant', 'Canning Machine Attendant', 'Packaging Machine Attendant', and 'Wrapping Machine Attendant'.

Start typing. The system will then display a list. Select from the list. If the occupation is not here, use **Unknown**.

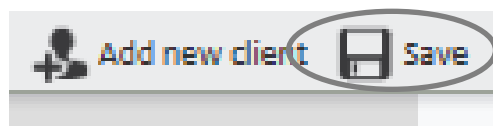
You can also select pre-set **Service Levels** from the drop down menu. Administrator licence holders will be able to amend the Service Levels on the Synaptic Settings tab if required. See the Synaptic Client Administrator Guide for more details.

The **External Identifier** field at the bottom of the screen is for use with a back office system that already integrates with Synaptic.



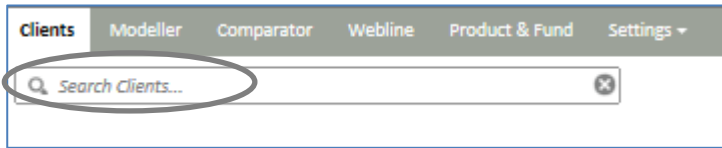
A screenshot of the 'Add new client' form in the Synaptic system. The form is titled 'Personal Details' and contains various input fields: Title (dropdown), Name, Address (multiple lines), County, Postcode, Date of Birth (calendar icon), Sex (radio buttons for Male and Female), Smoker (radio buttons for Yes and No), Occupation (searchable dropdown), Home, Office, Mobile, Email, Salary £, Service Level (dropdown), Attitude to Risk (dropdown with 'No Attitude to Risk Defined' and a 'Sub' button), and External Identifier. A speech bubble points to the 'External Identifier' field with the text: 'Input your information for your back office system here by using the unique client reference.'

Once all the required fields have been completed, use the **Save** button at the top of the screen:

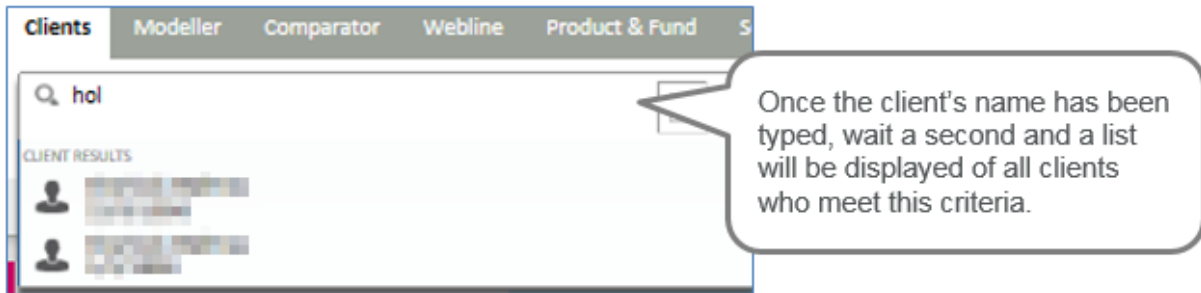


## 4.2 Finding an Existing Client

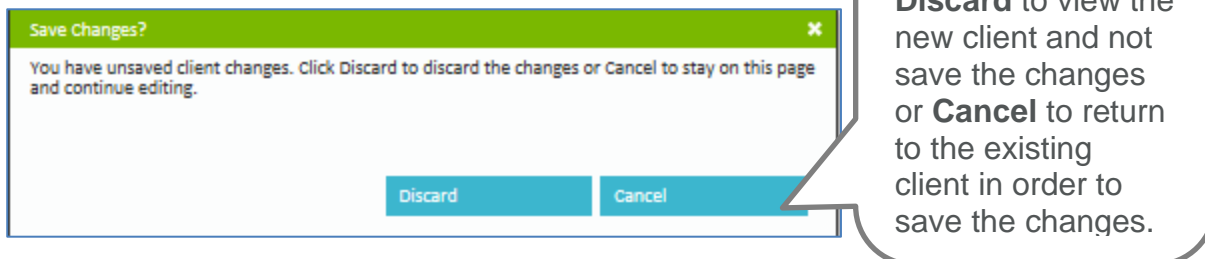
If a client has already been saved in Synaptic, they can be retrieved using the **Search Clients** field below the main tabs bar.



Start by typing in the forename or surname of the client who needs to be found:



If you are in an existing client (and have made changes) and wish to search for a new client you will be presented with the following message:



The screenshot shows the 'Add new client' form in the Synaptic application. The 'Personal Details' section is active, displaying various input fields for client information. The fields are as follows:

- Title: Mr (dropdown menu)
- Name: [Redacted]
- Address: [Redacted]
- Postcode: [Redacted]
- Date of Birth: 02/07/1952 (calendar icon)
- Sex: Male (radio button), Female (radio button)
- Smoker: Yes (radio button), No (radio button)
- Occupation: search occupation (text input with search icon)
- Home: [Redacted]
- Office: [Redacted]
- Mobile: [Redacted]
- Email: [Redacted]
- Salary £: [Redacted]
- Service Level: Platinum (dropdown menu)
- Attitude to Risk: (No Attitude to Risk Defined) (button with Edit... link)
- External Identifier: [Redacted]

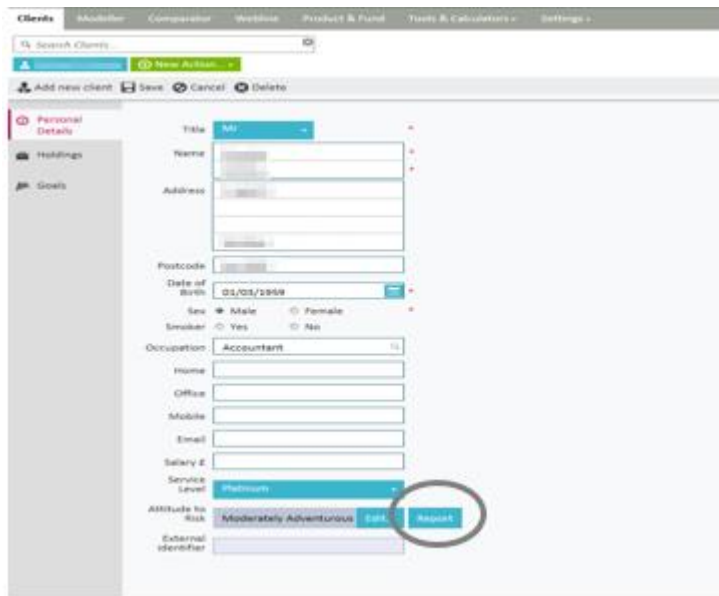
### 4.3 Attitude to Risk (ATR)

The client's attitude to risk can either be set manually or decided upon by completion of the questionnaire by clicking on the **edit** button next to the **Attitude to Risk** field.

This screenshot shows the same 'Add new client' form, but with the 'Attitude to Risk' field highlighted by a red circle. The field is currently set to '(No Attitude to Risk Def.)' and has an 'Edit...' button next to it. The other fields in the form are the same as in the previous screenshot.

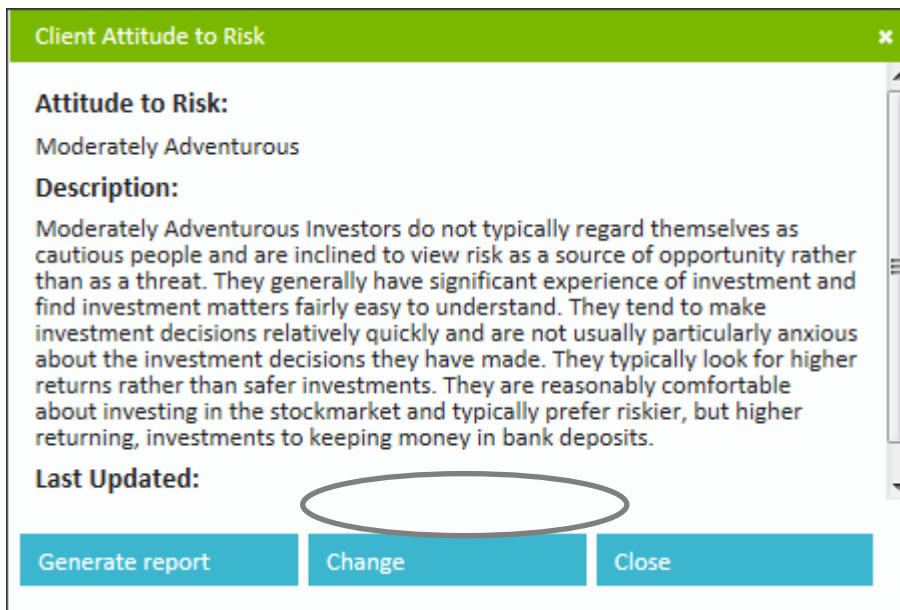


If a questionnaire has already completed for a client, you can access the report using the report button:



The screenshot shows the 'Personal Details' tab in the Synaptic client management interface. The 'Attitude to Risk' dropdown is set to 'Moderately Adventurous'. A red circle highlights the 'Report' button next to the dropdown.

You also have the option to run a new questionnaire by selecting the edit tab and then 'change'.



**Client Attitude to Risk**

**Attitude to Risk:**  
Moderately Adventurous

**Description:**  
Moderately Adventurous Investors do not typically regard themselves as cautious people and are inclined to view risk as a source of opportunity rather than as a threat. They generally have significant experience of investment and find investment matters fairly easy to understand. They tend to make investment decisions relatively quickly and are not usually particularly anxious about the investment decisions they have made. They typically look for higher returns rather than safer investments. They are reasonably comfortable about investing in the stockmarket and typically prefer riskier, but higher returning, investments to keeping money in bank deposits.

**Last Updated:**

**Buttons:** Generate report, Change, Close

The client's replies are captured using the dropdown options

Clients | Modeler | Comparator | Webline | Product & Fund | Tools & Calculators | Settings

Search Clients

New Action

Personal Details

Holdings

Goals

Balanced

People who know me would describe me as a cautious person.

I feel comfortable about investing in the stockmarket.

I generally look for safer investments, even if that means lower returns.

Usually it takes me a long time to make up my mind on investment matters.

I associate the word "risk" with the idea of "opportunity".

I generally prefer bank deposits to riskier investments.

I find investment matters easy to understand.

I am willing to take substantial investment risk to earn substantial returns.

I've little experience of investing in stocks and shares.

I tend to be anxious about the investment decisions I've made.

I'd rather take my chances with higher risk investments than increase the amount I'm saving.

I'm concerned by the volatility of stockmarket investments.

Not yet answered

Not yet answered

Strongly Disagree

Disagree

No Strong Opinion

Agree

Strongly Agree

Disagree

Disagree

Agree

Disagree

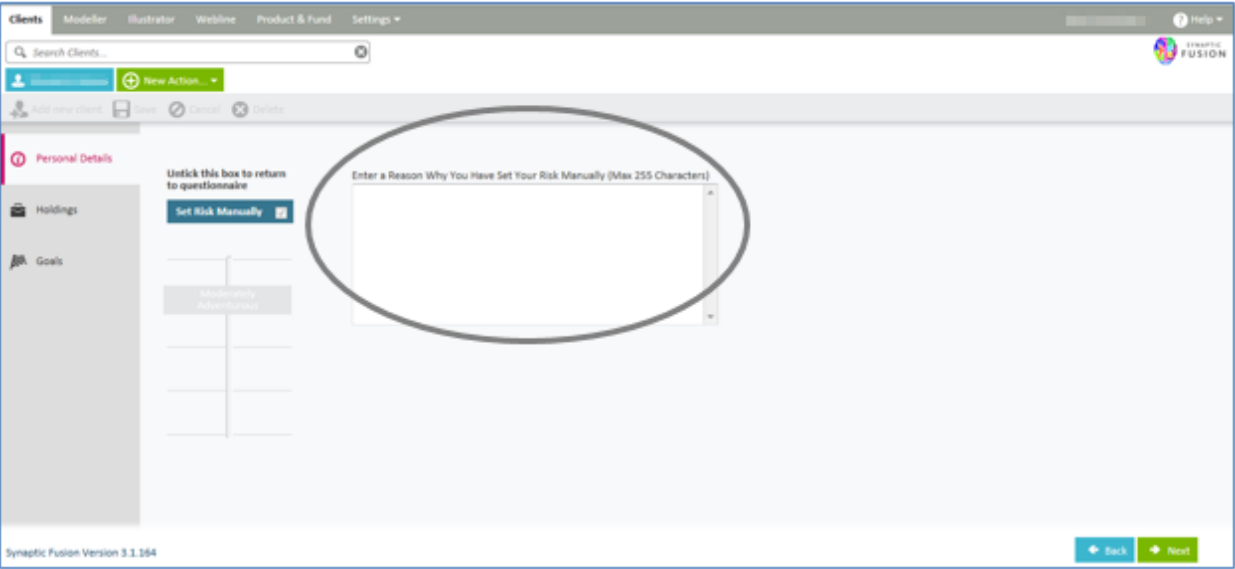
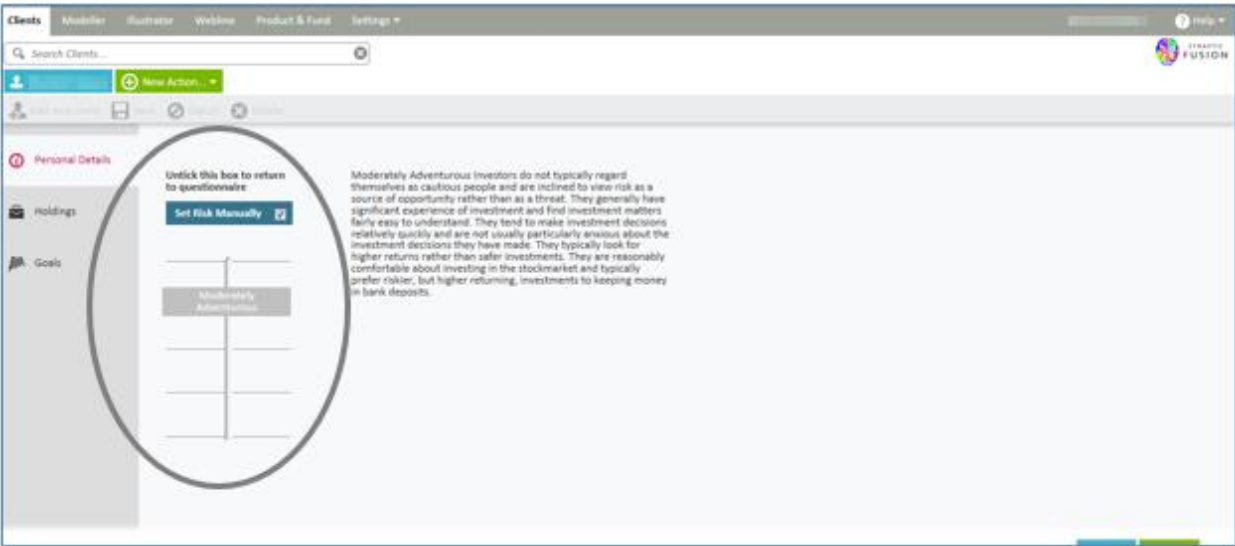
Strongly Disagree

No Strong Opinion

On completion of all of the questions click **next** and this will calculate the clients ATR and present you with the description of the ATR to clarify with the client.

Should you wish not to fill out the questionnaire or override the calculated result you can do this by manually moving the slider on the left of the screen.

This will allow you to read through the descriptions of all the ATR levels to decide upon which is the most appropriate for the client. If you choose to manually enter the ATR you will be prompted to enter a reason why you have not used (or overridden) the questionnaire which will display on the report.



## 4.4 Creating Holdings

It is possible for you to record against a client their current arrangements, we use the generic term “Holdings” to describe these. There are 5 types of Holdings:

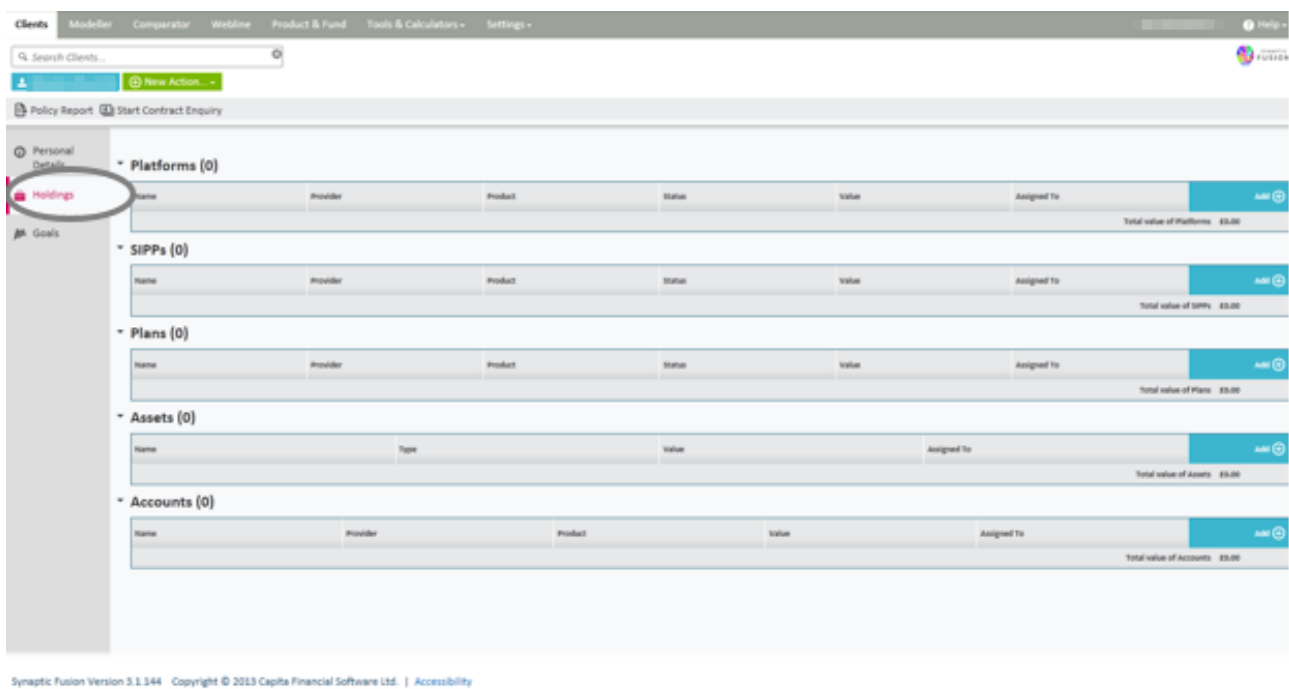
- Platforms
- SIPPs
- Plans
- Assets
- Accounts

This guide will go through them in reverse order from the simplest to the most complex.

Across all holding types there is a field called “Name” that is always mandatory. This is a user defined name for the holding and will be replayed to you elsewhere in the suite when holdings are being used as a quick reference.

If a client has several holdings it is sensible to use an appropriate name to distinguish between holdings of the same type.

To add a **Holding**, click on the **Holdings** tab on the left hand side as shown:



### 4.4.1 Accounts

These would be things like bank accounts or savings accounts, i.e. Cash Holdings. The software allows you to record account details and the current value together with interest rates.

To add an account click on the add button on following screen:

The screenshot shows the 'Holdings' section of the Synaptic software. It displays a list of holdings including Platforms (1), SIPPs (1), Plans (4), Assets (0), and Accounts (0). The 'Accounts (0)' section is highlighted, and the 'Add' button is circled in red.

Input the account details.

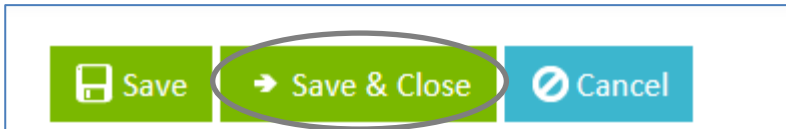
The screenshot shows the 'Account Details' form in the Synaptic software. The form includes the following fields:

- Name: Bank Account
- Provider Name: [Redacted]
- Account Type: Savings account
- Date Opened: 1/12/2013
- Current Value Amount: 0.00
- Interest Rate: 0.00

You can record details of contributions and withdrawals from this **Account** by completing the relevant tabs on the left hand side.

See section 4.4.3 for further information.

Click on **Save and Close**.



The account details will then show as follows:

The screenshot displays the Synaptic Fusion software interface. The left sidebar contains navigation tabs: Personal Details, Holdings, and Goals. The main area shows a table of accounts. The 'Accounts (1)' section is circled in red, highlighting the following data:

| Name         | Provider | Product | Value | Assigned To |
|--------------|----------|---------|-------|-------------|
| Bank Account |          |         | £0.00 |             |

The total value of accounts is £0.00.

### 4.4.2 Assets

Assets would be physical things i.e. works of art, second homes, vintage cars. These can all be recorded as holdings within Synaptic.

In order for you to be able to represent your client's existing assets, your administrator will need to have created a list of selectable custom assets types for you to choose from.

Please refer to Synaptic Client Administrator Guide for more information about custom asset types.

To add an Asset click on the add button on following screen:

The screenshot shows the Synaptic client interface with the 'Assets' section highlighted. The 'Assets (0)' section has an 'Add' button circled in red. The interface also shows other sections like 'SIPPs (1)', 'Plans (3)', and 'Accounts (1)'.

| Name    | Provider | Product | Status | Value | Assigned To |  |
|---------|----------|---------|--------|-------|-------------|--|
| Pension |          |         |        | £0.00 |             |  |

Total value of SIPPs: £0.00

| Name   | Provider | Product | Status   | Value      | Assigned To                         |  |
|--------|----------|---------|----------|------------|-------------------------------------|--|
| Aviva  |          |         | In Force | £16,416.40 |                                     |  |
| Holmes |          |         | In Force | £10,000.00 |                                     |  |
| holmes |          |         | In Force | £9,732.80  | Car<br>School Fees<br>Swimming pool |  |

Total value of Plans: £36,149.20

| Name | Type | Value | Assigned To |  |
|------|------|-------|-------------|--|
|      |      |       |             |  |

Total value of Assets: £0.00

| Name | Provider | Product | Value      | Assigned to |  |
|------|----------|---------|------------|-------------|--|
| ISA  |          |         | £10,000.00 |             |  |

Total value of Accounts: £10,000.00

The screenshot shows the 'Asset Details' form in the Synaptic client interface. A speech bubble points to the 'Asset' dropdown menu, which is set to 'House'. The form includes fields for Name, Purchase Date, Current Valuation (Net Value, Income, Income Frequency), and tabs for Details, Underlying Assets, and Performance.

**Asset Details**

Asset: House

Name: Cyprus

Purchase Date: 5/11/2008

**Current Valuation**

Net Value: 250000

Income: 0.00

Income Frequency: Monthly

Input the asset details, the asset drop down box contains all of the custom asset types your administrator has set up for you.

You can view the Underlying Assets for this Asset type and record valuations by completing the relevant tabs.

See section 4.4.3 for further information.

Click on **Save and Close**.



The asset details will then show as follows:

Holdings

Goals

Plans (0)

SIPPs (0)

Total value of Platforms £0.00

SIPPs (1)

| Name    | Provider | Product | Status   | Value | Assigned To |                  |
|---------|----------|---------|----------|-------|-------------|------------------|
| Pension |          |         | In Force | £0.00 |             | <div>ⓘ ⚙ ⌵</div> |

Assets (0)

Accounts (0)

Plans (0)

Total value of SIPPs £0.00

Plans (3)

| Name  | Provider | Product | Status   | Value      | Assigned To                         |                  |
|-------|----------|---------|----------|------------|-------------------------------------|------------------|
| Aviva |          |         | In Force | £16,416.40 |                                     | <div>ⓘ ⚙ ⌵</div> |
|       |          |         | In Force | £10,000.00 |                                     | <div>ⓘ ⚙ ⌵</div> |
|       |          |         | In Force | £9,752.80  | Car<br>School Fees<br>Swimming pool | <div>ⓘ ⚙ ⌵</div> |

Total value of Plans £36,169.20

Assets (1)

| Name  | Type  | Value       | Assigned To |                  |
|-------|-------|-------------|-------------|------------------|
| House | House | £250,000.00 |             | <div>ⓘ ⚙ ⌵</div> |

Total value of Assets £250,000.00

Accounts (1)



### 4.4.3 Plans

Plans would be any savings or investment products i.e. ISA's, PP's, SIPP's, Bonds etc

To add a plan, click on the add button on following screen:

The screenshot shows the 'Plans' section of the Synaptic interface. It displays a table of existing plans with columns: Name, Provider, Product, Status, Value, and Assigned To. The table is currently empty. To the right of the table, there is a blue 'add' button circled in red. Below the table, there are sections for 'Assets (0)', 'Accounts (0)', and 'SIPPs (0)', each with a similar 'add' button.

Input the plan details.

The screenshot shows the 'Plan Details' form. It includes fields for Name, Provider Name, Product Name, Status (set to 'In Force'), Product Category, Contract Number, Start Date, and End Date. A red asterisk is next to the Name field. A speech bubble points to the Name field with the text: 'Input the name for the plan which will be used subsequently in the system.' Below the Status field, there is a message: 'Please enter a provider, product category and contract number to enable contract enquiry'.

When inputting the **Provider Name** and **Product Name**, a drop down menu will appear to make a selection from, as shown below:

The screenshot shows the 'Plan Details' form with a dropdown menu open for the 'Provider Name' field. The dropdown lists various providers, including M&G, Aberdeen Asset Management, and others. The 'Name' field is also visible, containing 'M&G'.

| Field            | Value                      |
|------------------|----------------------------|
| Name             | M&G                        |
| Provider Name    | M&G                        |
| Product Name     | Aberdeen Asset Management  |
| Status           | In Force                   |
| Product Category | Arbutnot Latham            |
| Contract Number  | Arjent Limited             |
| Start Date       | Artemis Fund Managers      |
| End Date         | Avalon Investment Services |

If a Provider or Product is not shown in the list then you can simply type in the data you require.

Please note Contract Enquiry will only be available from the relevant providers if selected from the list.

You can record details of contributions and withdrawals, shown below:

The screenshot shows the 'Plan Details' form with the 'Contributions' and 'Withdrawals' sections highlighted. The 'Name' field is empty. The 'Provider Name' and 'Product Name' fields are also empty. The 'Status' field is set to 'In Force'. A message indicates that a provider, product category, and contract number must be entered to enable contract enquiry. The 'Product Category' field is empty. The 'Contract Number' field is empty. The 'Start Date' and 'End Date' fields are empty.

| Field            | Value    |
|------------------|----------|
| Name             |          |
| Provider Name    |          |
| Product Name     |          |
| Status           | In Force |
| Product Category |          |
| Contract Number  |          |
| Start Date       |          |
| End Date         |          |

If the **Contributions** tab is selected, the following screen will show:

| Type | Amount | Frequency | Indexation | Start Date | End Date |
|------|--------|-----------|------------|------------|----------|
|------|--------|-----------|------------|------------|----------|

Use the **Add** button to record the plan contributions.

| Type    | Amount | Frequency | Indexation | Start Date | End Date |
|---------|--------|-----------|------------|------------|----------|
| Regular | 300    | Yearly    | None       | 1/4/2024   |          |
| Single  | 10000  |           |            | 1/4/2024   |          |

You can specify the type of contribution, the amount, the frequency (if regular), whether indexation is in force (if regular) and the start and end date of the contribution (if known).

The **Withdrawals** process is the same as for **Contributions**, as shown above.

Complete the rest of the detail and then click on the **Underlying Assets** tab

Plan Details

Name: M&G

Provider Name: M&G Group

Product Name: M&G ISA

Status: In Force

The EMP does not support contract enquiry for this product

Product Category:

Contract Number:

Start Date: 14/11/2013

End Date:

The underlying assets tab is where you can specify what the plan is made of in terms of funds or asset classes and what the current valuation is.

Once in **Underlying Assets**, you have the choice of selecting valuations from **Contract Enquiry** – subject to the correct licencing permissions and set up being in place. See the Contract Enquiry User Guide for details.

Alternatively, you can select either a **Manual Fund List** or **Manual Asset Class List**, as shown below:

Plan Underlying Assets

Get plan valuation: Contract Enquiry - Electronic Valuation, Manual Fund List, Manual Asset Class List

Contract Enquiry - Electronic Valuation: The value displayed has been determined by the FE © Fund data price feed.

Contract Enquiry - Electronic Valuation: Only one Contract Enquiry can be requested for a holding at a time.

| Fund Name   | Units  | % of Holding | Value     |
|---|--------|--------------|-----------|
| Aiava Gift S4                                     | 300.04 | 2.51         | £397.19   |
| Aiava Henderson Emerging Market Opportunities S4  | 300.04 | 3.56         | £812.62   |
| Aiava Invesco Perpetual Euro Smaller Companies S4 | 700.55 | 11.77        | £2,024.45 |
| Aiava With Profits S4                             | 300.08 | 4.27         | £734.17   |
| Aiava Mixed Investment (20-60% Shares) S4         | 900.18 | 13.10        | £2,253.19 |

Asset Allocation: Global Equities (ex UK) (23.33%)

Synaptic Fusion Version 3.1.164 Copyright © 2013 Capita Financial Software Ltd. | Accessibility

### 4.4.3.1 Manual Fund Lists

If you wish to enter the funds manually, select “Manual Fund List” from the dropdown menu and then click the **add** button to open the fund search screen where you can add funds individually or select existing portfolios or fund panels to add in bulk. See section 6 for more information on portfolios and panels.

The screenshot shows the Synaptic software interface. At the top, there's a navigation bar with tabs: Clients, Modeller, Comparator, Webline, Product & Fund, and Settings. Below this is a search bar labeled 'Search Clients...'. A toolbar contains buttons for 'New Action...', 'M&G', 'Delete', 'Revert', and 'Portfolio Factsheet'. On the left, a sidebar lists 'Details', 'Contributions', 'Withdrawals', 'Underlying Assets' (highlighted), and 'Performance'. The main area is titled 'Plan Underlying Assets'. It features a dropdown menu 'Get plan valuations:' with 'Manual Fund List' selected. Below this is a table with columns: Fund name, Units, % of holding, Value, and an 'Add' button (circled). The table is currently empty. At the bottom, there are two sections: 'Valuations' with input fields for 'Current Value' (0.00) and 'Transfer/Surrender', and 'Projected Maturity Values' with input fields for 3%, 5%, and 7%.













The fund search screen does two things; the right hand side allows you to search for funds and the left hand side are the funds you have selected to add to the holding.

You can select funds either by dragging and dropping the fund(s) from the right to the left or by double clicking on them which will automatically move them from the right to the left.

In order to search for a fund, start to enter the name of it in the search box. All funds that match what you have typed will appear in the list below for selection.

Add Fund

Fund Search

| Citicode |   | Name   | Promoter                 |   |
|----------|---|--|--------------------------|---|
| GQLN     |   | Skandia BlackRock Balanced Growth Portfolio SP | Skandia Life             |   |
| BX89     |   | Scot Eq Invesco Perp Stockmarket Managed Pn    | Aegon/Scottish Equitable |   |
| GGKP     |   | AXA LE Standard Life Global Index Linked Bond  | AXA Life Europe          |   |

Fund Search
Portfolios & Fund Panels

Name GGKP

Universe Entire Universe

Limit to All

Sector

Promoter

☒ Parent Fund ☐ Child Fund

AXA LE Standard Life Global Index Linke

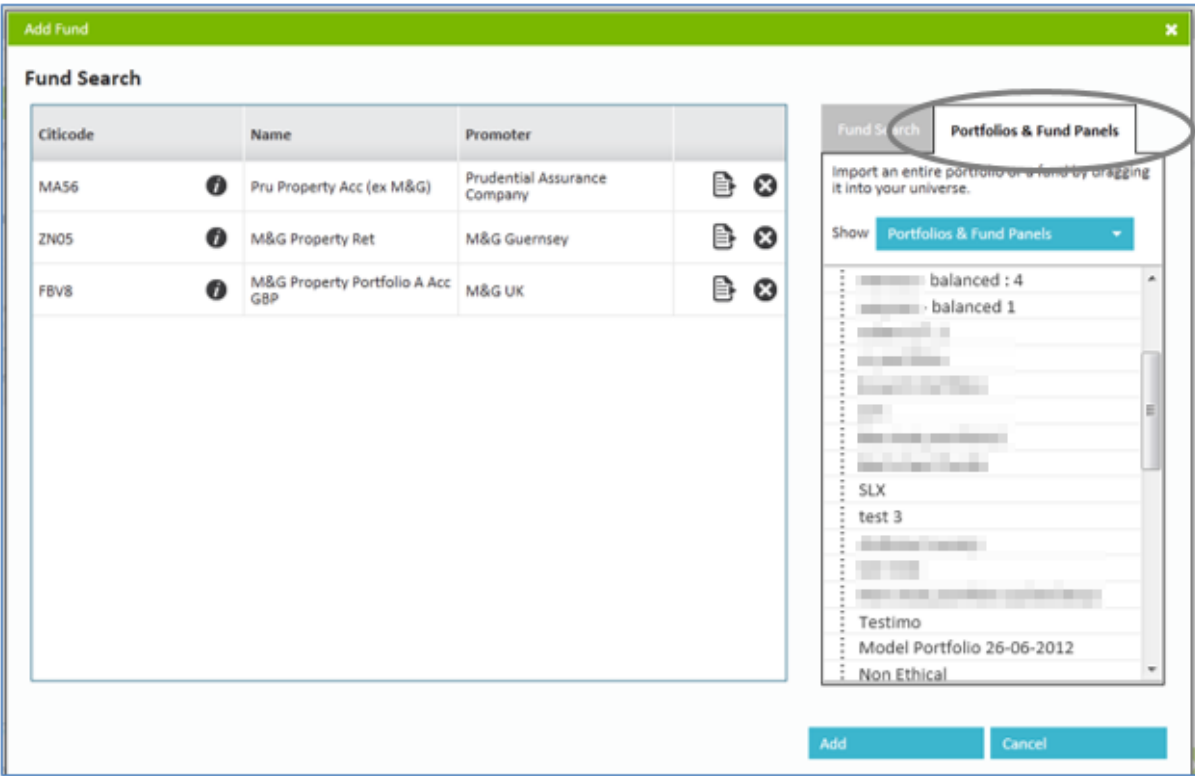
Add Cancel

Funds that have already been selected will be “greyed out” in the search results.

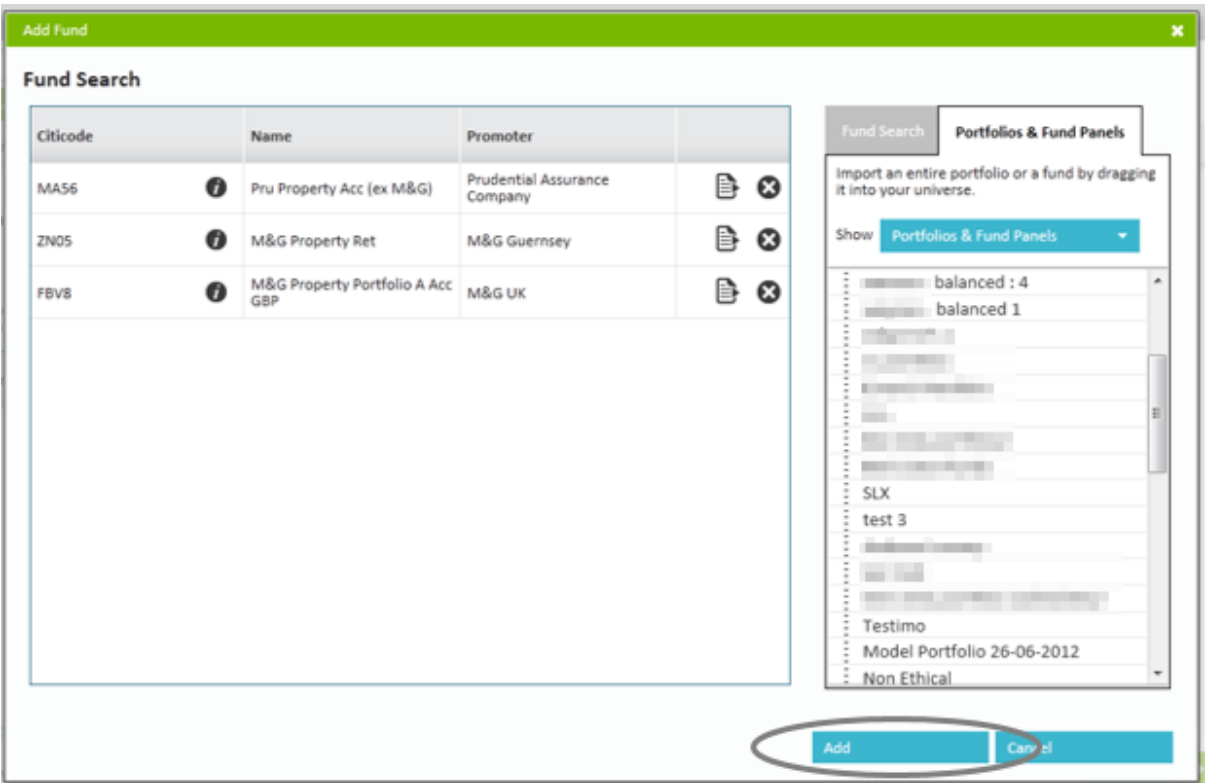
Alternatively you can select entire portfolios or panels (or indeed any fund contained within it) by selecting the “Portfolios & Fund Panels” tab on the right hand side.

This will present you with the list of all existing portfolios and panels you have.

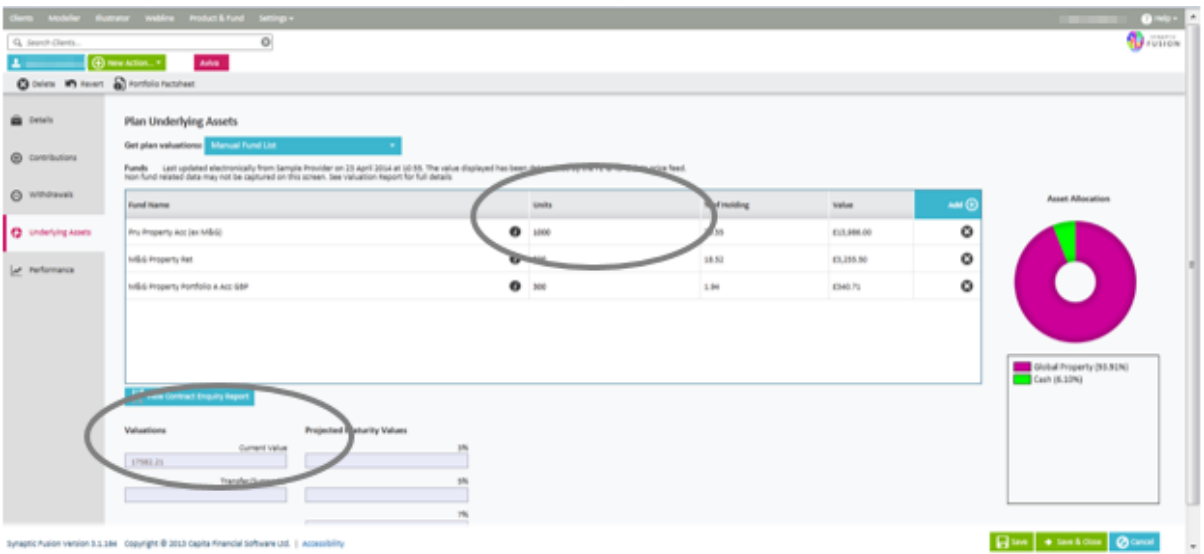
From there you can drag & drop the entire portfolio or by clicking (once) on a portfolio or panel it will display the individual funds that make it up for you to select them individually.



Once you have selected all the funds that the client has click on the **add** button to add them to plan.

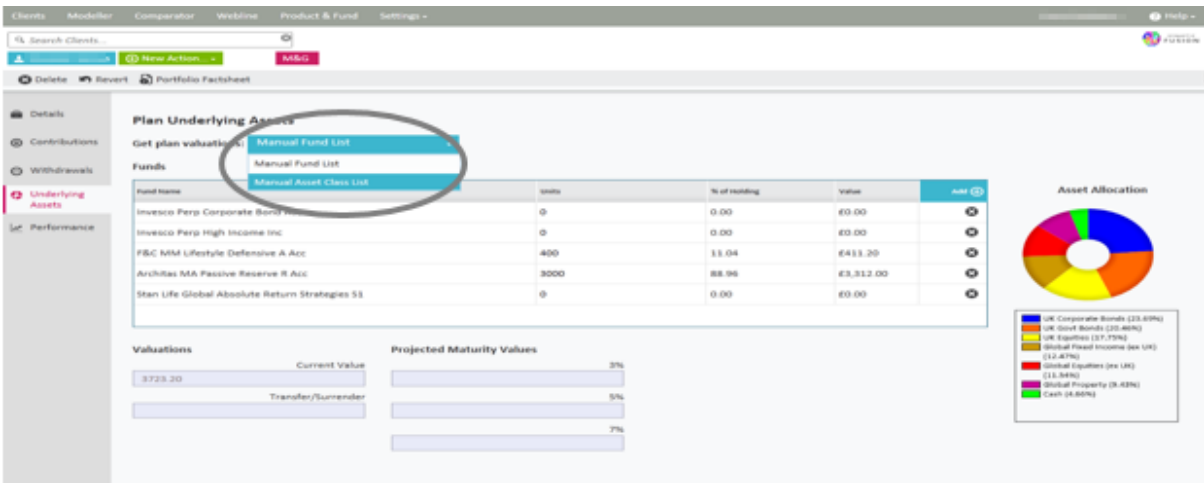


This will then allow the number of units to be added in for each of the funds selected and a valuation calculated, as shown below:



4.4.3.2 Manual Asset Class Lists

If you select the **Manual Asset Class List** option, as shown below:



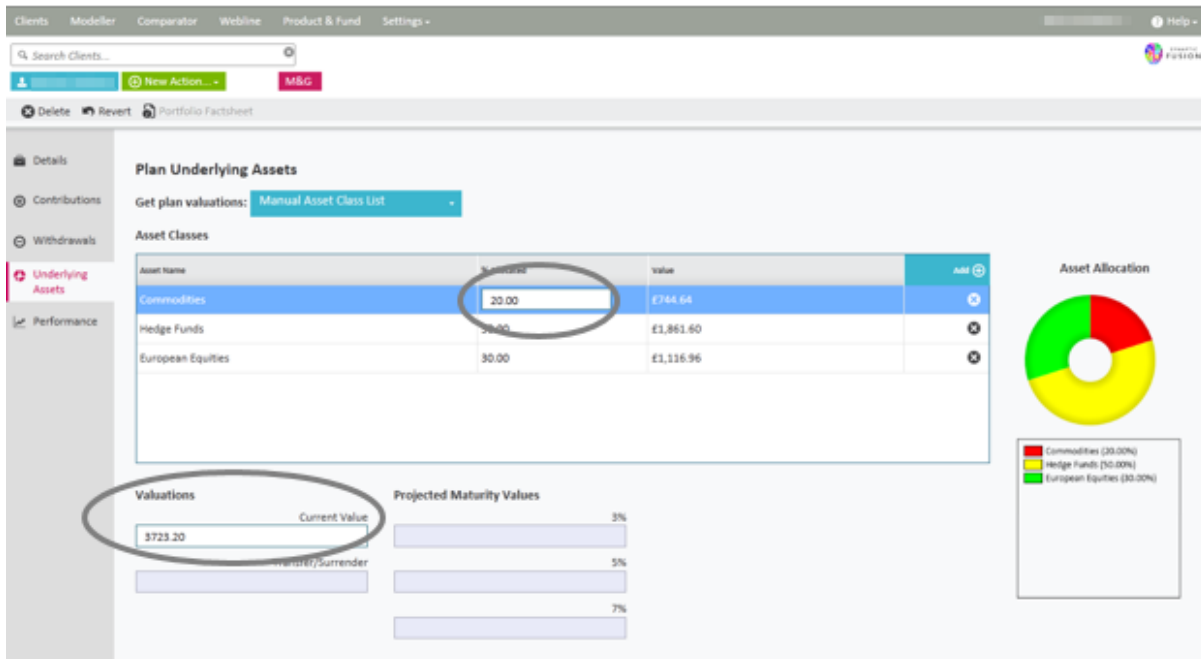
The following screens will allow you to **add in Asset Classes**.



Select from the list of asset classes configured in the system as shown below:

| Please select the asset class(es) you wish to add |                              |
|---|------------------------------|
| <input type="checkbox"/>                          | US Fixed Income              |
| <input type="checkbox"/>                          | European Fixed Income        |
| <input type="checkbox"/>                          | Asia Pac (ex Japan) Equities |
| <input type="checkbox"/>                          | Property                     |
| <input type="checkbox"/>                          | Global Property              |
| <input checked="" type="checkbox"/>               | Commodities                  |
| <input type="checkbox"/>                          | UK Index Linked              |
| <input type="checkbox"/>                          | Global Equities (ex UK)      |
| <input checked="" type="checkbox"/>               | Hedge Funds                  |
| <input type="checkbox"/>                          | UK Equities                  |
| <input checked="" type="checkbox"/>               | European Equities            |
| <input type="checkbox"/>                          | Global Fixed Income (ex UK)  |

Then add in the percentage allocated to each class and the total valuation, this will then calculate the value of each class.



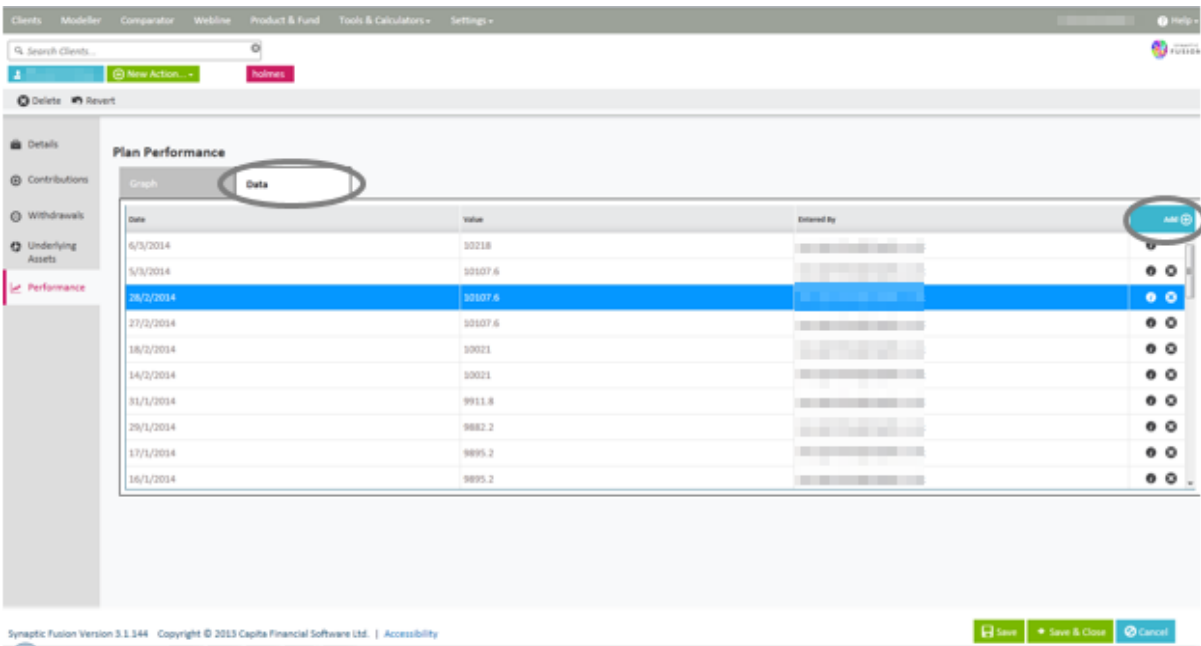
Once you have all the funds or asset classes click on the **Performance** tab.

The **Performance** tab, if selected shows a graph with historic valuations as detailed below in the following screen shot.



A valuation point is stored every time you go to the **Underlying Assets** page. Each time you access the page the prices of the funds in a portfolio are updated with the latest prices. The more often you view the holding the more often the valuation points will be stored.

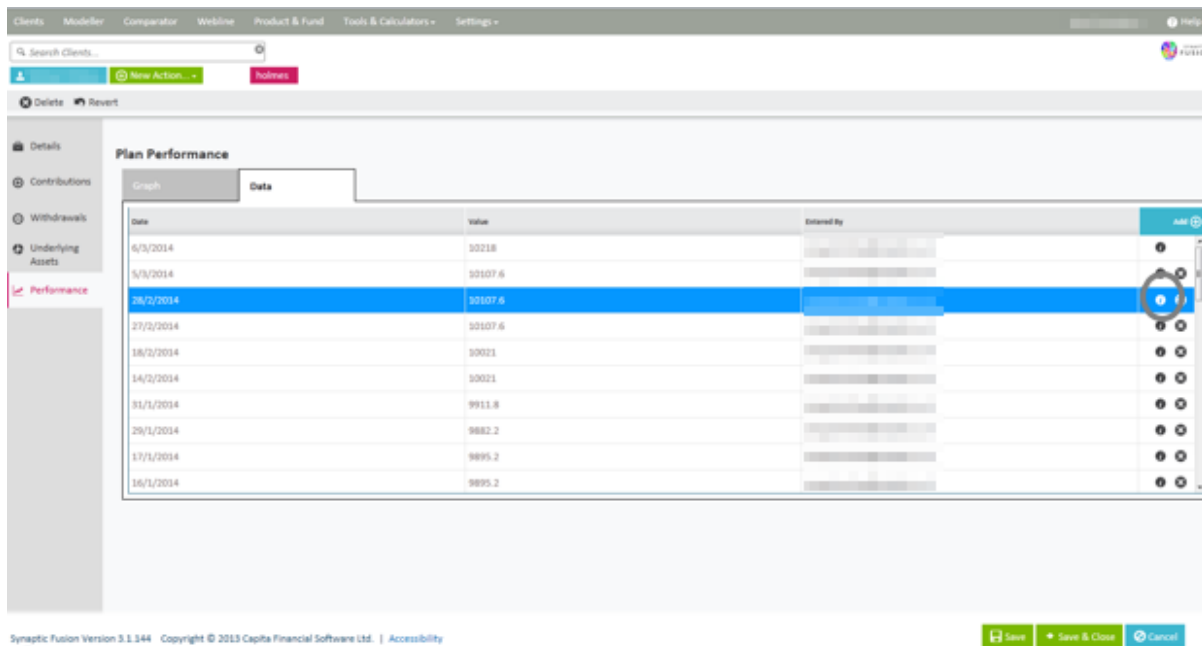
Alternatively you can add historic valuation points to the graph by selecting the **Data** tab and pressing add.



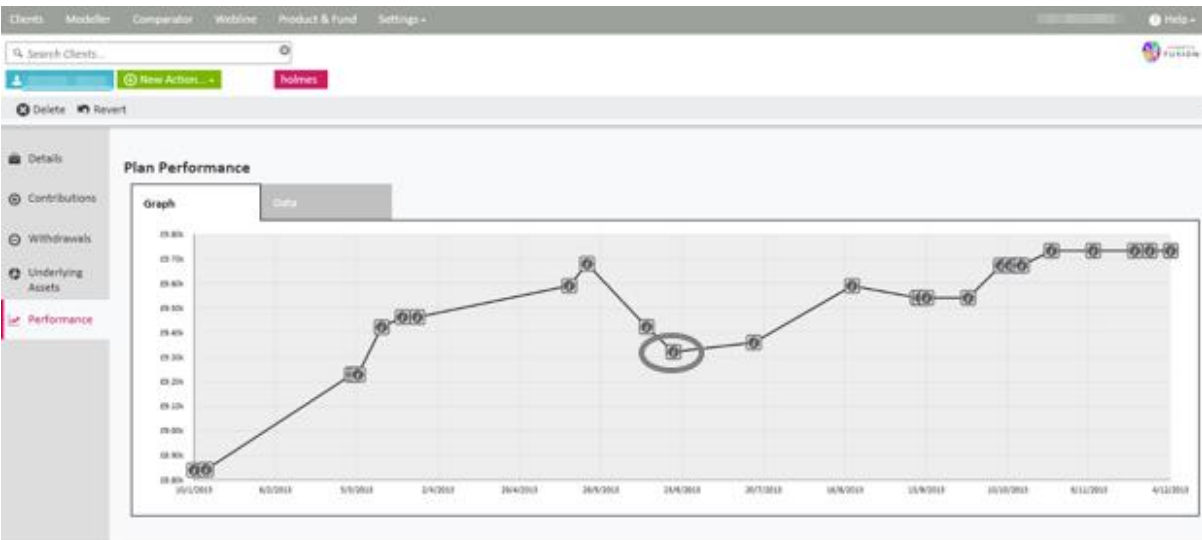
The 'Add Value Point' dialog box is shown, allowing the user to input a new valuation. The 'Value' field contains '50000' and the 'Valuation Date' field contains '4/3/2012'. There are 'Ok' and 'Cancel' buttons at the bottom.

| Value | Valuation Date |
|-------|----------------|
| 50000 | 4/3/2012       |

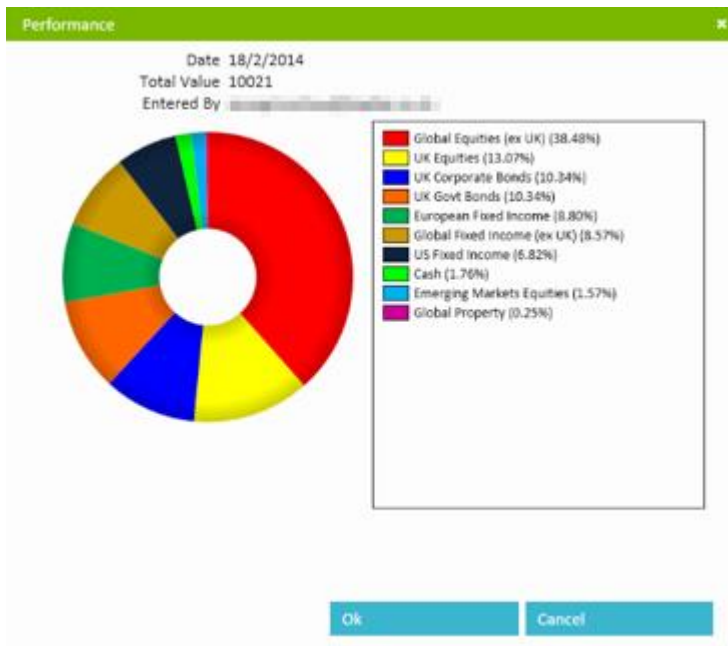
You can also use the information buttons to view an historic valuation.



| Date      | Value   | Entered By | AMT |
|-----------|---------|------------|-----|
| 6/3/2014  | 10218   |            |     |
| 1/3/2014  | 10107.6 |            |     |
| 26/2/2014 | 10107.6 |            |     |
| 27/2/2014 | 10107.6 |            |     |
| 18/2/2014 | 10021   |            |     |
| 14/2/2014 | 10021   |            |     |
| 11/1/2014 | 9911.8  |            |     |
| 29/1/2014 | 9882.2  |            |     |
| 17/1/2014 | 9895.2  |            |     |
| 16/1/2014 | 9895.2  |            |     |



The valuation data will include value, date and asset allocation along with how the valuation point was created (either manually, automatically or via contract enquiry).



When you have completed editing click on **Save and Close**



The plan details will then show as follows:

Policy Report Start Contract Enquiry

Personal Details

Holdings

Goals

Plans (0)

SIPPs (0)

Total value of Platforms: £0.00

SIPPs (1)

| Name    | Provider        | Product   | Status   | Value | Assigned To | ADD |
|---------|-----------------|---|----------|-------|-------------|-----|
| Pension | Scottish Widows | The Retirement Account - Initial Adviser Charging | In Force | £0.00 |             | ADD |

Assets (0)

Accounts (0)

Plans (0)

Total value of SIPPs: £0.00

Plans (4)

| Name  | Provider          | Product                      | Status   | Value      | Assigned To     | ADD |
|-------|-------------------|------------------------------|----------|------------|-----------------|-----|
| Aviva | Sample Provider   | PORTFOLIO STEP DOWN OPTION   | In Force | £16,416.40 |                 | ADD |
|       | M&G Group         | M&G Unfettered Fund of Funds | In Force | £10,000.00 |                 | ADD |
|       | Friends Provident | Bond                         | In Force | £8,333.80  | Car School Fees | ADD |
| M&G   | M&G Group         | M&G ISA                      | In Force | £3,723.20  | Swimming pool   | ADD |

Total value of Plans: £38,473.40

#### 4.4.4 Single Invested Personal Pensions

Plans, Assets and Accounts form the building blocks for SIPP's. In order to input a SIPP as a holding you need to add a SIPP and then add the Plans, Assets or Accounts as part of that SIPP.

To add a SIPP click on the **Add** button on following screen:

The screenshot shows the 'Holdings' tab in the Synaptic interface. On the left sidebar, 'Holdings' is selected. The main area displays a table for 'Platforms (1)' with columns: Name, Provider, Product, Status, Value, and Assigned To. Below this table are expandable sections for 'Assets (0)', 'Accounts (0)', 'Plans (0)', and 'SIPPs (0)'. The 'SIPPs (0)' section is expanded, showing a table for 'SIPPs (1)' with columns: Name, Provider, Product, Status, Value, and Assigned To. The first row in this table is 'Pension' by 'Scottish Widows' for 'The Retirement Account - Initial Adviser Charging', with status 'In Force' and value '£0.00'. To the right of this table, there is a blue 'Add' button with a plus icon, which is circled in red. Below the SIPP table are sections for 'Plans (4)', 'Assets (0)', and 'Accounts (0)', each with their own tables and 'Add' buttons.

Input the SIPP details

The screenshot shows the 'SIPP Details' form. At the top, there are 'Delete' and 'Revert' buttons. The left sidebar has 'Details' selected, with other options: 'SIPP Holdings', 'Underlying Assets', and 'Performance'. The form fields are as follows:

- Name:** Aviva
- Provider Name:** Aviva Wrap UK Ltd
- Product Name:** Aviva Wrap Pension Portfolio
- Contract Number:** [Redacted]
- Status:** In Force
- Start Date:** 18/11/2013
- End Date:** [Empty]

Below the Contract Number field, there is a blue button labeled 'Get details via Contract Enquiry'.

Then select **SIPP Holdings** using the following tab:

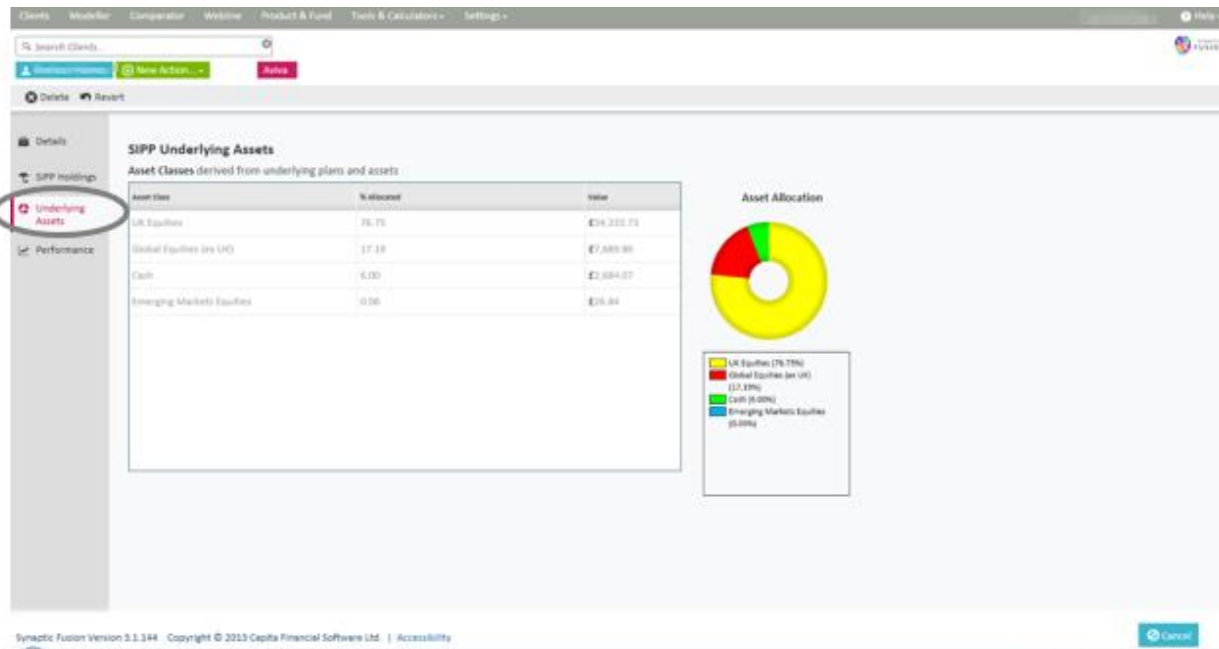
The screenshot shows the 'SIPP Details' form in the Synaptic application. The left-hand navigation menu has 'SIPP Holdings' selected and circled in red. The main form area contains the following fields: Name (Aviva), Provider Name (Aviva Wrap UK Ltd), Product Name (Aviva Wrap Pension Portfolio), Contract Number (empty), Status (In Force), Start Date (18/11/2013), and End Date (empty). A 'Get details via Contract Enquiry' button is located below the Contract Number field.

Once in the tab, you have the option of adding in **Plans, Assets and Accounts** using the **Add** button.

The screenshot shows the 'SIPP Holdings' tab in the Synaptic application. The left-hand navigation menu has 'SIPP Holdings' selected and circled in red. The main form area shows three empty tables: 'Plans (0)', 'Assets (0)', and 'Accounts (0)'. Each table has an 'Add' button circled in red. The 'Plans (0)' table has columns: Name, Provider, Product, Status, Value, Assigned To, and a Total value of Plans of £3.00. The 'Assets (0)' table has columns: Name, Type, Value, Assigned To, and a Total value of Assets of £3.00. The 'Accounts (0)' table has columns: Name, Provider, Product, Account #, Value, Assigned To, and a Total value of Accounts of £3.00.

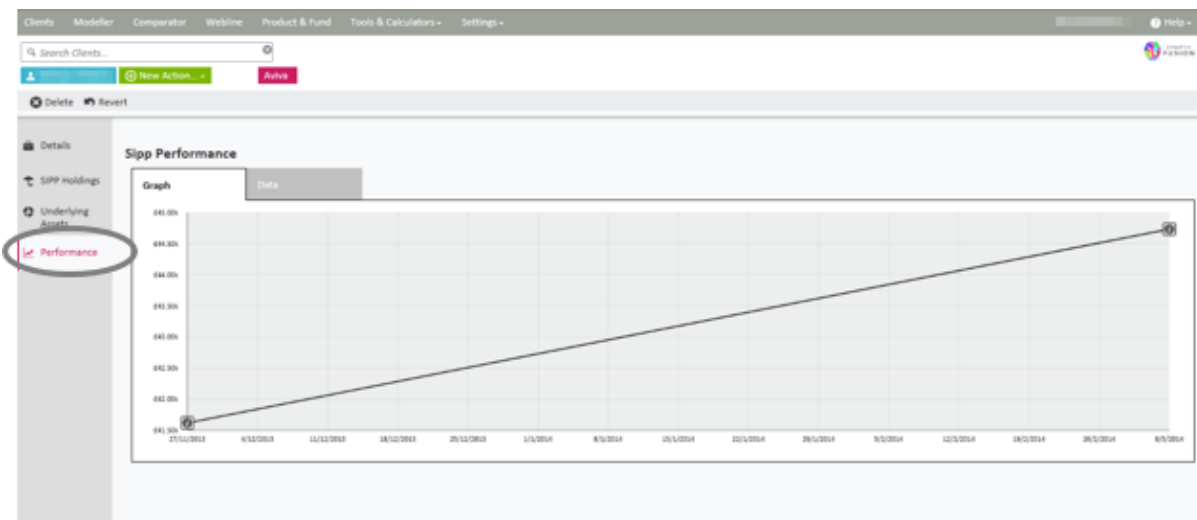
Follow the instructions for plans, assets or accounts as above.

You also have the option of accessing the **Underlying Assets** tab to give an overall picture of the plans, assets and accounts that make up the SIPP.

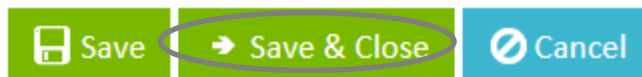


You can also access the **Performance** tab, from here you can see the overall performance of the SIPP.

You should note that it is only possible to create valuation points within the plans, assets or accounts that make up the SIPP and not the SIPP itself.



Once completed click on **Save and Close**



The SIPP details will then show as follows:



The screenshot shows the Synaptic client interface. The top navigation bar includes 'Clients', 'Modeler', 'Comparator', 'Workflow', 'Product & Fund', and 'Settings'. A search bar is present. The left sidebar has 'Personal Details', 'Holdings', and 'Goals'. The main content area is titled 'Platforms (1)' and contains a table with columns: Name, Provider, Product, Status, Value, and Assigned To. The table has one row: 'Aviva' with 'Aviva' as the provider, 'Aviva Wrap Pension Portfolio' as the product, 'In Force' as the status, and '£0.00' as the value. Below the table, there are expandable sections for 'Assets (0)', 'Accounts (0)', 'Plans (0)', and 'SIPPs (0)'. The total value of platforms is shown as '£0.00'. A red circle highlights the 'Add' button in the top right corner of the table.

| Name  | Provider | Product                      | Status   | Value | Assigned To |
|-------|----------|------------------------------|----------|-------|-------------|
| Aviva | Aviva    | Aviva Wrap Pension Portfolio | In Force | £0.00 |             |

Assets (0)  
Accounts (0)  
Plans (0)  
SIPPs (0)

Total value of Platforms: £0.00

#### 4.4.5 Platforms

You can input a Platform as a holding. It works in the same way that SIPPs do in the sense that it is made from Plans, Assets and Accounts but also SIPPs.

To add a platform, you would click on the **Add** button on following screen:

The screenshot shows the Synaptic client interface with the 'Platforms' section expanded. The 'Add' button is circled in red. The table has columns: Name, Provider, Product, Status, Value, and Assigned To. The table has one row: 'Aviva' with 'Aviva' as the provider, 'Aviva Wrap Pension Portfolio' as the product, 'In Force' as the status, and '£0.00' as the value. Below the table, there are expandable sections for 'Assets (0)', 'Accounts (0)', 'Plans (0)', and 'SIPPs (0)'. The total value of platforms is shown as '£0.00'. A red circle highlights the 'Add' button in the top right corner of the table.

| Name  | Provider | Product                      | Status   | Value | Assigned To |
|-------|----------|------------------------------|----------|-------|-------------|
| Aviva | Aviva    | Aviva Wrap Pension Portfolio | In Force | £0.00 |             |

Assets (0)  
Accounts (0)  
Plans (0)  
SIPPs (0)

Total value of Platforms: £0.00

Input the platform details.

When inputting the provider and platform, a drop down menu will appear to make a selection from, as shown below:

ClientsModellerComparatorWeblineProduct & FundSettings +

Search Clients...

Person icon

 New Action...

New Platform

Delete Revert

Details

Platform HoldingsUnderlying AssetsPerformance

Platform Details

Name

Provider

Platform

Contract Number

Status

Start Date

SK

In Force

Please enter a provider and contract number to enable contract enquiry

Once completed, you can click on the **Platform Holdings** tab and input **SIPP, Plans, Assets and Accounts** by using the **Add** button, as shown below in the following screens:

ClientsModellerComparatorWeblineProduct & FundSettings +

Search Clients...

Person icon

 New Action...

Standa

Delete Revert

Details

Platform HoldingsUnderlying AssetsPerformance

Platform Details

Name

Provider

Platform

Contract Number

Status

Start Date

1234567

In Force

The EMP does not support contract enquiry for this product

ClientsModellerComparatorWeblineProduct & FundSettings +

Search Clients...

Person icon

 New Action...

Standa

Delete Revert

Details

Platform HoldingsUnderlying AssetsPerformance

Platform Holdings

Get policy valuation by: Manual SIPPs, Plan and Asset Entry

SIPPs (0)

| Name                 | Provider | Product | Status | Value | Assigned To | Add |
|----------------------|----------|---------|--------|-------|-------------|-----|
| Total value of SIPPs |          |         |        |       |             |     |

Plans (0)

| Name                 | Provider | Product | Status | Value | Assigned To | Add |
|----------------------|----------|---------|--------|-------|-------------|-----|
| Total value of Plans |          |         |        |       |             |     |

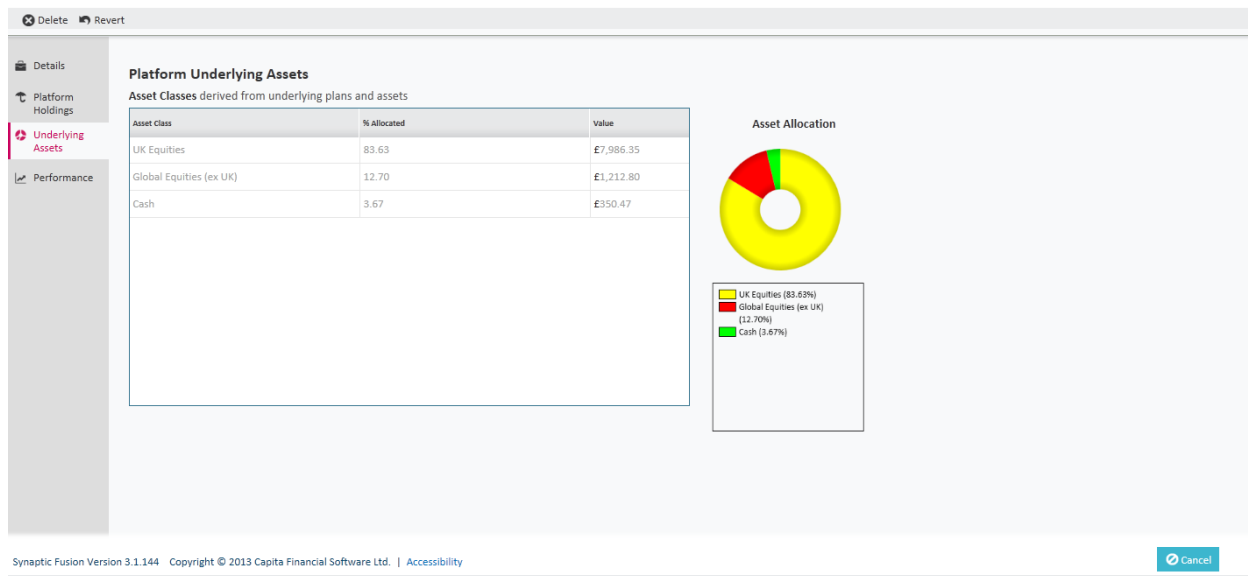
Assets (0)

| Name                  | Type | Value | Assigned To | Add |
|-----------------------|------|-------|-------------|-----|
| Total value of Assets |      |       |             |     |

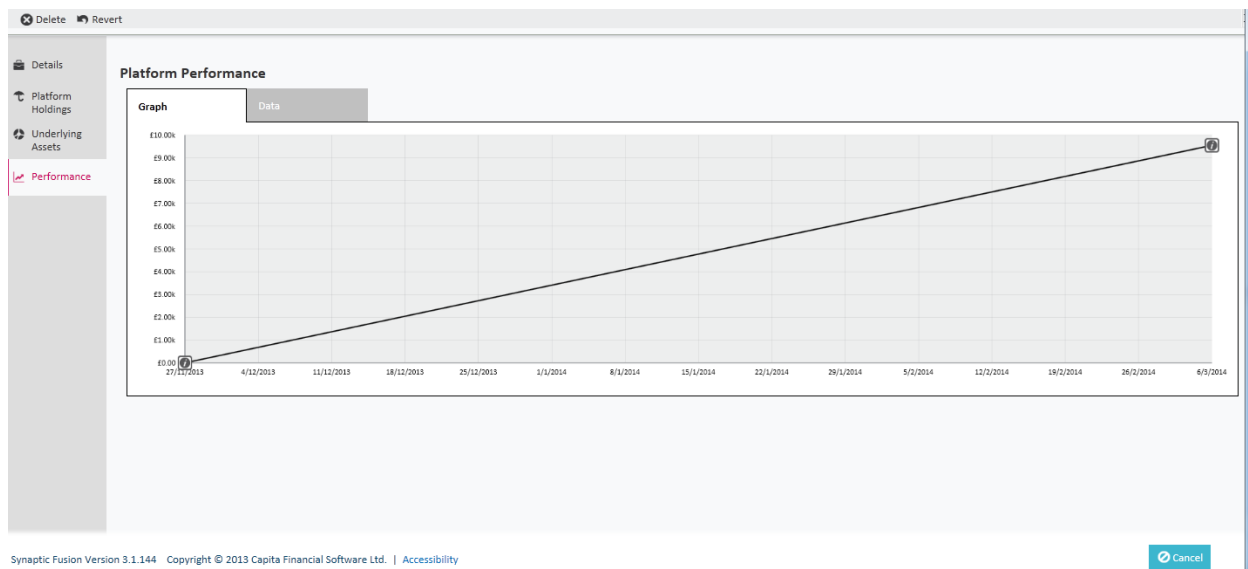
Accounts (0)

| Name                    | Provider | Product | Account # | Value | Assigned To | Add |
|-------------------------|----------|---------|-----------|-------|-------------|-----|
| Total value of Accounts |          |         |           |       |             |     |

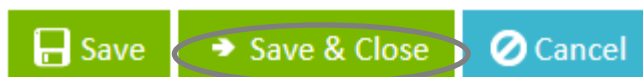
You also have the option of accessing the **Underlying Assets** tab from here.



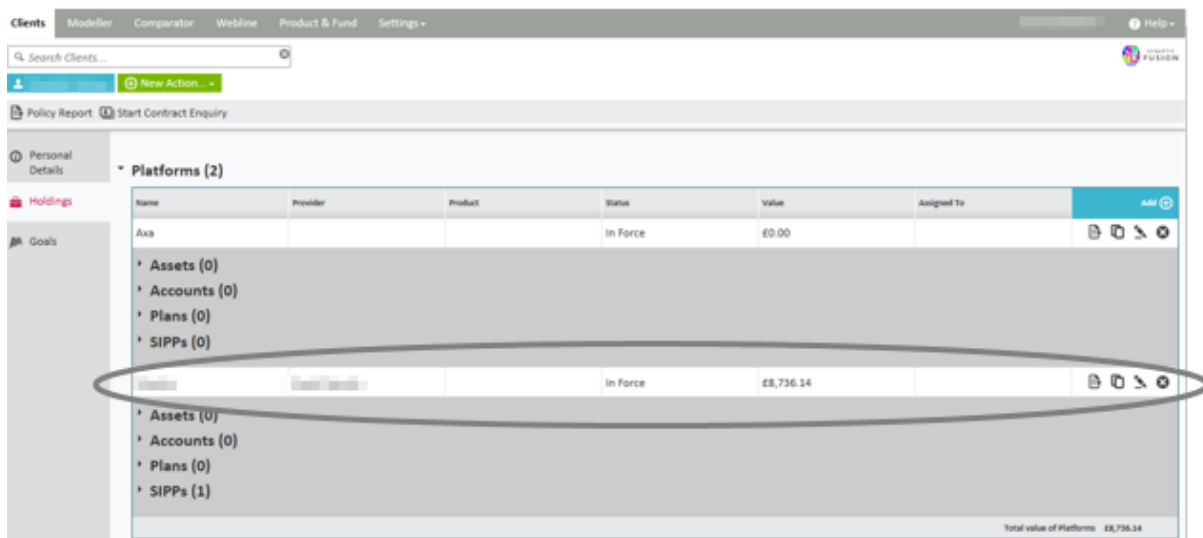
And also access the **Performance** tab. As with SIPPs the underlying asset data and valuation points are created in the underlying plans, assets and accounts. The view you see on these screens is everything “added” together to represent the holistic position.



Once completed, click on **Save and Close**



The platform will then show as follows:



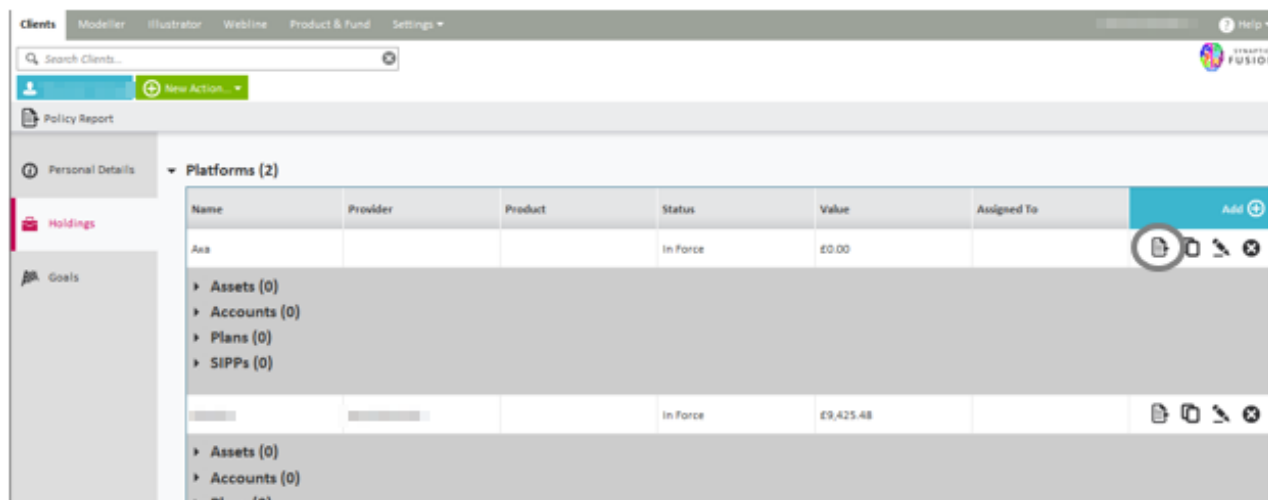
| Name | Provider | Product | Status   | Value     | Assigned To | Actions |
|------|----------|---------|----------|-----------|-------------|---------|
| Axa  |          |         | In Force | £0.00     |             | [Icons] |
|      |          |         | In Force | £8,736.14 |             | [Icons] |

Assets (0)  
Accounts (0)  
Plans (0)  
SIPP (1)

Total value of Platforms: £8,736.14

#### 4.4.6 Policy Reports

Once you have finished entering holdings it is possible to access the data in report form which can be used to give to the client. You can produce an individual report for any holding by clicking on the report icon in the holdings screen as shown below:

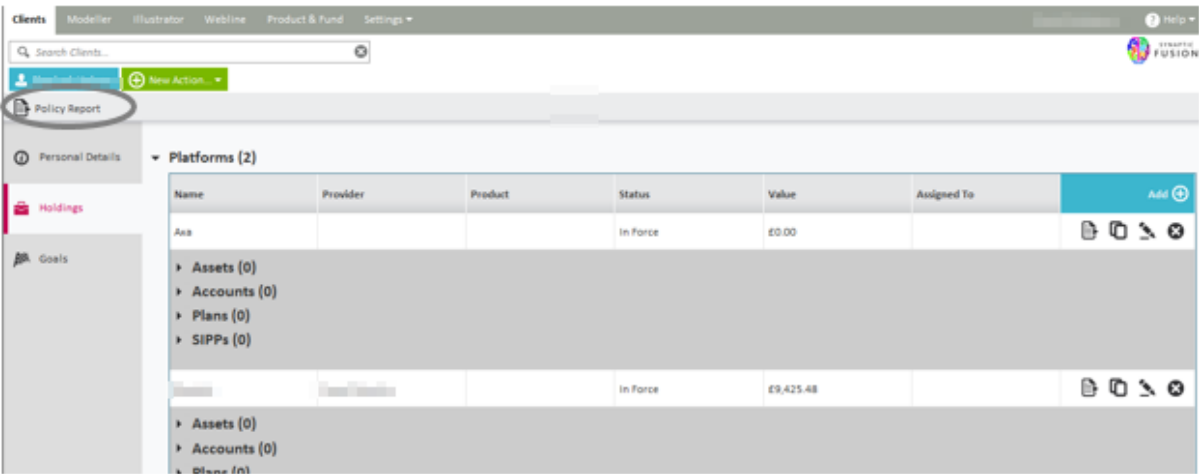


| Name | Provider | Product | Status   | Value     | Assigned To | Actions               |
|------|----------|---------|----------|-----------|-------------|-----------------------|
| Axa  |          |         | In Force | £0.00     |             | [Report Icon] [Icons] |
|      |          |         | In Force | £9,425.48 |             | [Icons]               |

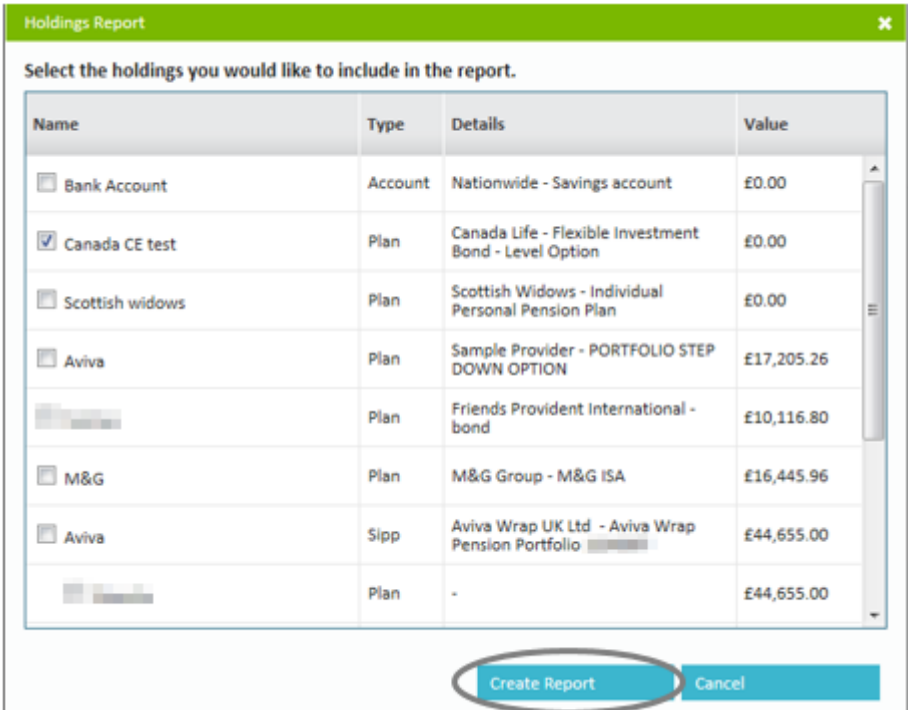
Assets (0)  
Accounts (0)  
Plans (0)  
SIPP (1)

Alternatively you can produce a combined policy report on any number of the holdings you have entered. The report will contain an overview of all the holdings selected at the start of the report and then the data for the individual selected holdings after. This report is designed to give the client a holistic view of their holdings.

To produce this report click on the **Policy Report** button above the tabs on the left of the screen.



You will then need to select which holdings you would like included in the report



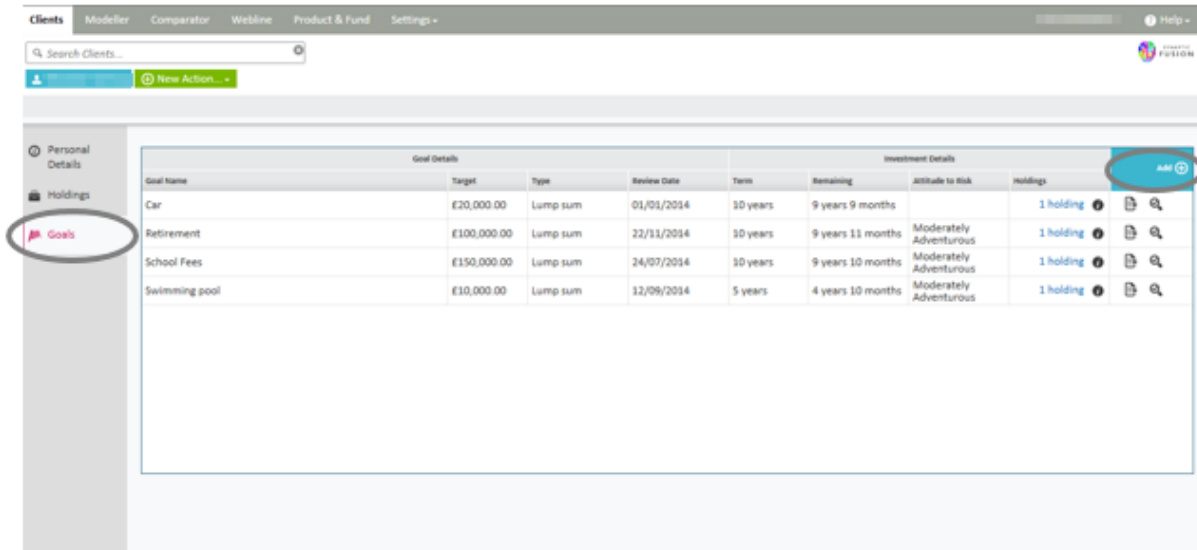
## 4.5 Creating Goals

You have the ability to create **Goals** for a client, this is for use within Modeller which is an Investment Planning and Risk Profiling tool as mentioned in section 2.1.

For full details regarding Modeller please refer to the Synaptic Modeller User Guide.

The screen shots below show how to start the journey to create **Goals**.

Once in the **Goals** screen, click on the **Add** button to create a new **Goal** as shown below:



The following screen will appear for completion, then click on **Save**:

New Goal
✕

### Goal Details

Goal Type
Lump Sum 
Income

Goal Name

Target Value £

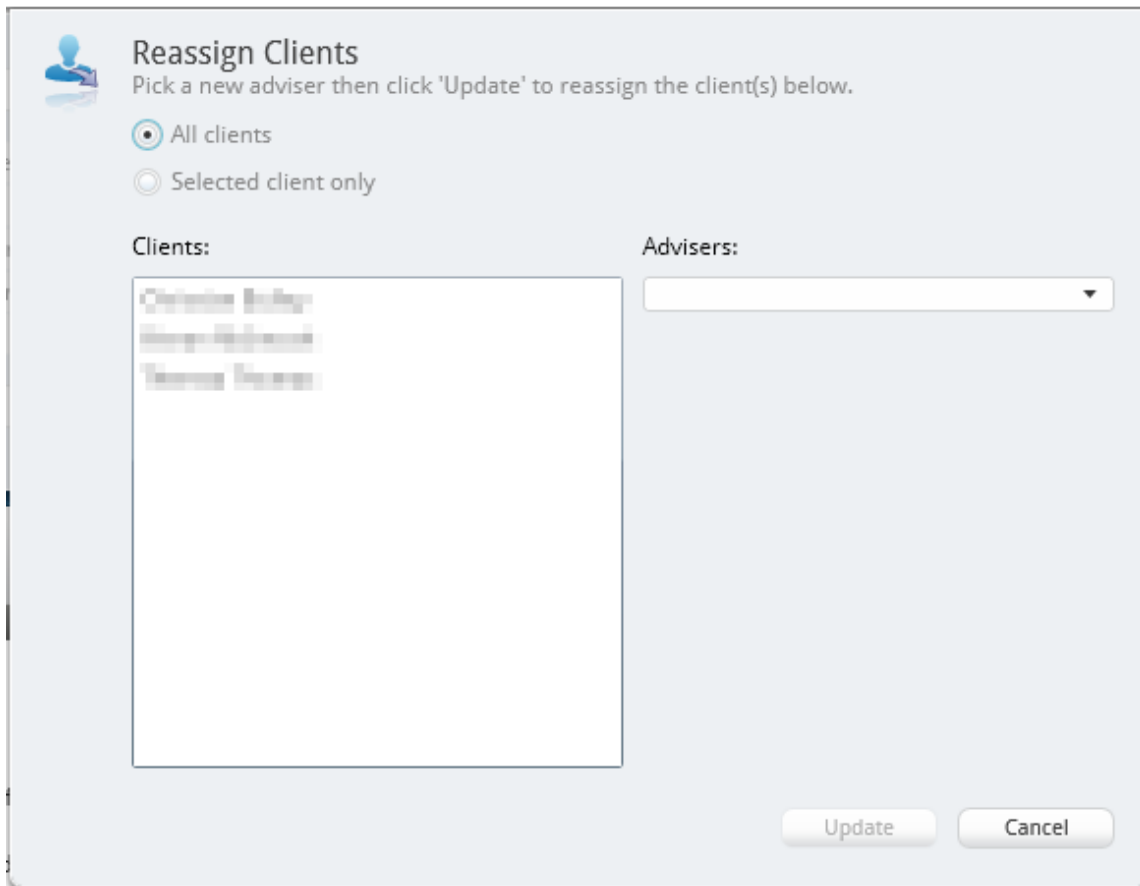
Review Date

Term

Save
Cancel

The **Goal** will then appear, as shown below:





**Reassign Clients**  
Pick a new adviser then click 'Update' to reassign the client(s) below.

☒ All clients  
☐ Selected client only

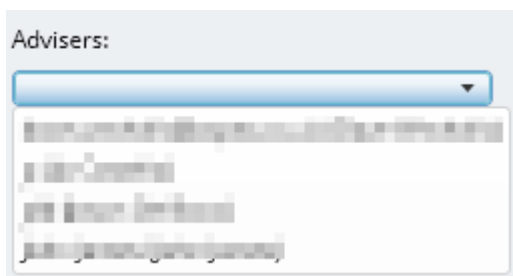
**Clients:**  
 [List of clients: Christine Bailey, Margaret McDonald, Thomas Thomas]

**Advisers:**  
 [Dropdown menu]

[Update] [Cancel]

The options are:

- All clients – will move all the clients from one adviser to another
  - Selected client only – will only move the client that you have selected
- Confirm which adviser the client(s) is going to be transferred to.

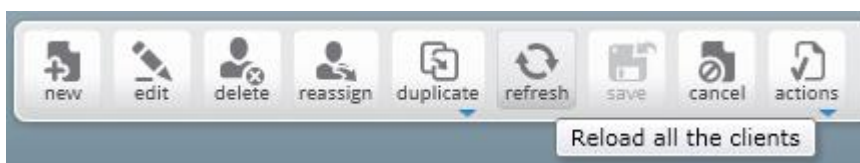


**Advisers:**

[Dropdown menu showing list of advisers]

Once the adviser has been selected, click the **Update** button.

If the adviser, to whom these clients are being assigned is on Comparator/Illustrator when this is being done, he or she will need to click on the **Refresh** button on toolbar to be able to see these clients.



new edit delete reassign duplicate refresh save cancel actions

Reload all the clients

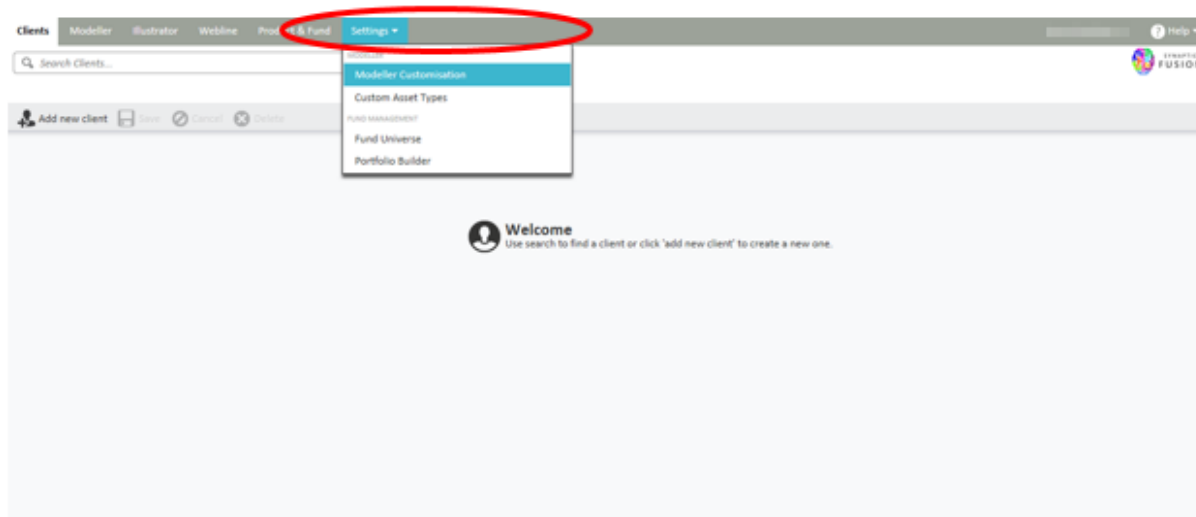
If the adviser, to whom these clients are being assigned is not on Comparator/Illustrator when this is being done, the next time he or she logs on they will be able to see the assigned clients.



This will move all the activities with the client and any research completed by the previous adviser will remain in the previous adviser's name.

## 5 'Settings' tab

Within the 'settings' tab there are several options as shown below in the following screen.



### 5.1 Modeller Customisation

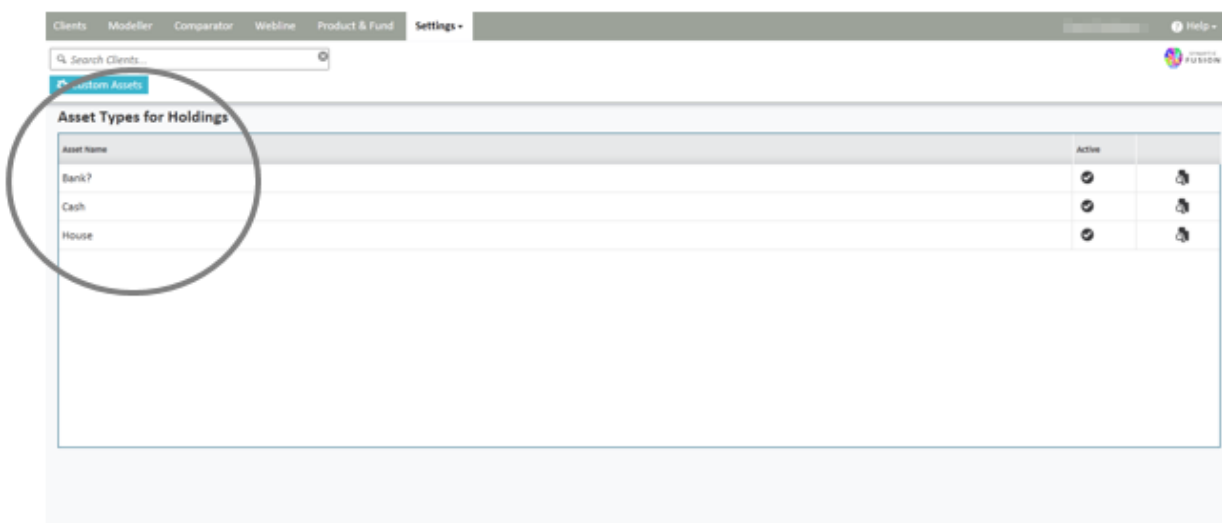
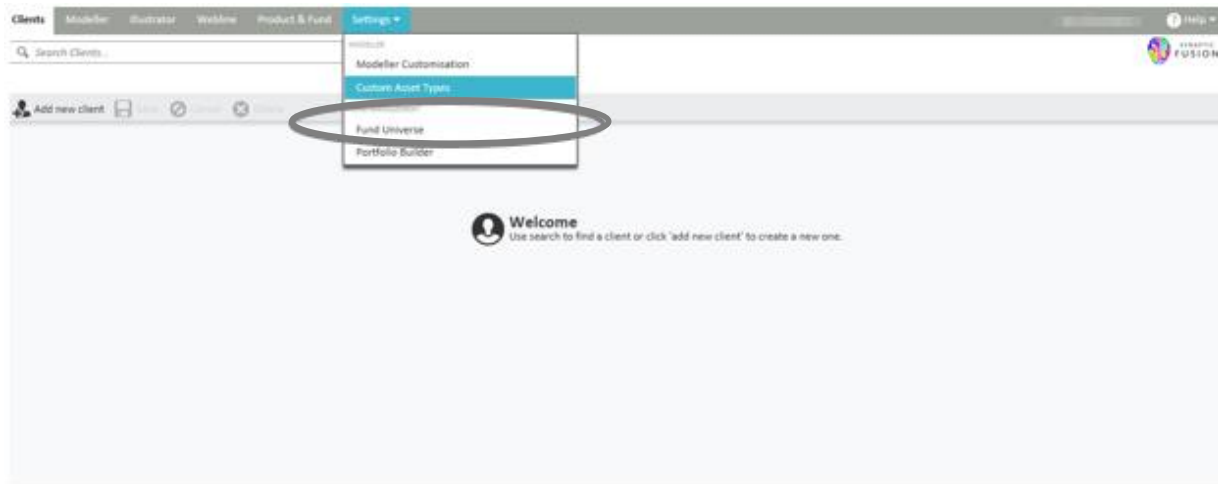
From here you can have a 'read only' view of the investment strategy that is deployed in your system which includes the ATR questionnaire and the Asset Allocation mappings.

You would need to be an 'Investment Strategy Administrator' to create Investment strategies. Please refer to the Synaptic Investment Strategy Customisation Guide for more information.

### 5.2. Custom Asset Types

From here you can have a 'read only' view of the custom asset types created at your organisation or inherited from your parent organisation.

- An asset type must exist before you can create an asset of this type for a client.
- You need to be an 'Administrator' in order to create an Asset type.

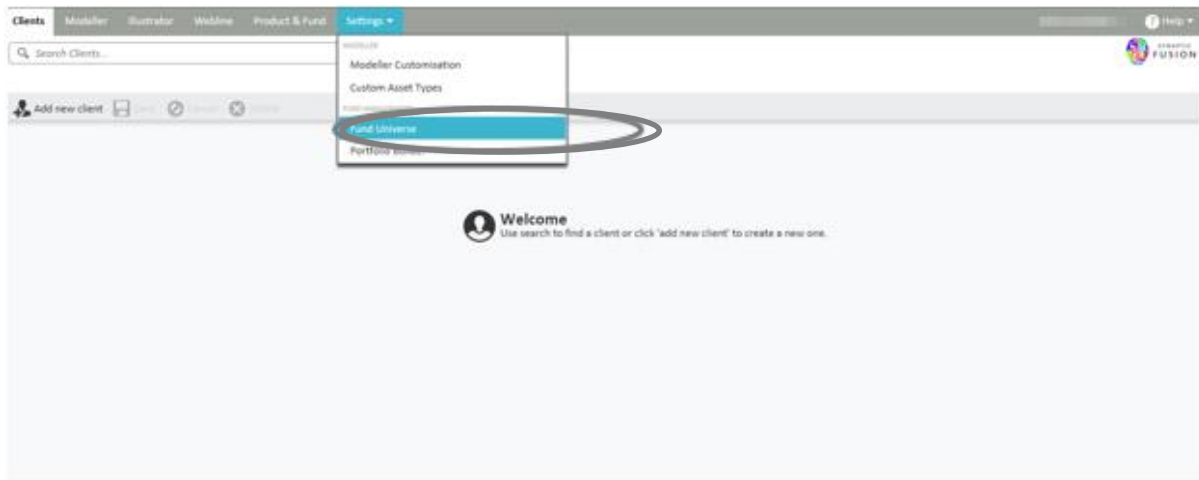


### 5.3 Fund Universe

From here you can have a 'read only' view of whether you have a restricted list of funds within the software.

If this is set to 'inclusion' mode, the funds on screen will be the only funds available for you to use in the applications. If it is set to 'exclusion' mode then the funds on screen will be the funds that you are not able to use in the applications.

You need to be an 'administrator' in order to set the fund universe.



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

**Fund Universe**

Select the fund management mode you wish to use. Selecting 'inclusions mode' will allow you to define a set of funds to choose from when conducting your research; selecting 'exclusions mode' will allow you to define a set of funds that will always be excluded from your research. All changes made to your fund Universe will be reflected in Comparator and Modeller.

☒ Exclusions Mode ☐ Inclusions Mode

| Citicode | Fund Name  | Reason   | Clear |
|----------|--|----------|-------|
| CU61     | Aviva Alliance Trust Sustainable Future European Growth S1 | dsfghklo |       |
| WZ54     | AEGON International Invesco Perpetual Balanced Managed A   | sdfgki   |       |

**Fund Search**

Name:

Limit to:

Sector:

Promoter:

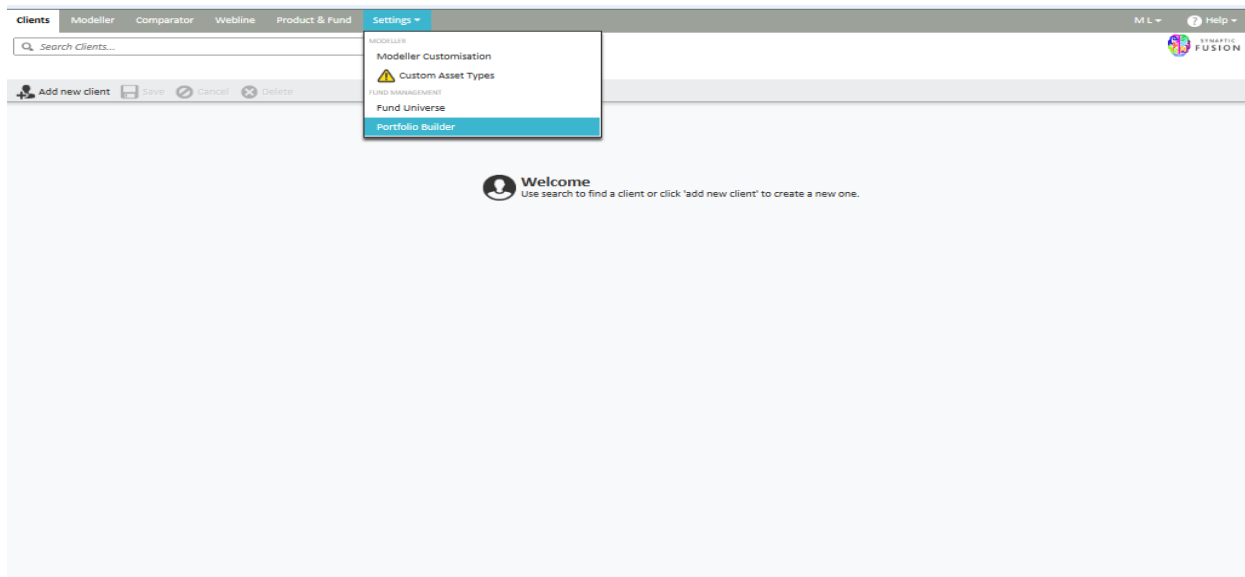
☒ Parent Fund ☐ Child

Fund

- Abbey HS Investment Trust Pn A
- Abbey Indexed Investment Pn A
- Abbey Indexed Investment S4 A
- Abbey Secured Investment S4 A
- Aberdeen Asian Smaller Compari
- Aberdeen Global Select Global Ii
- Aberdeen Japan Investment Tru
- Aberdeen New Dawn Investment
- Aegon Insight Investment Divers
- Aegon Insight Investment Divers
- AEGON International Invesco Pe
- AEGON International Invesco Pe

## 6. Portfolio Builder

You must have a separate Portfolio Builder licence in order to use this part of the software. You can build and store different portfolios within the software and these can be shared with other members of your organisation. If you view a portfolio that you have not created, then this will be a 'read only' copy.



When you initially access **Portfolio Builder** you will be presented with a list of all the portfolios you have access to.

An example of this screen is shown below:

| Name                  | Type      | Sharing  | Model? | Risk        | Owner          | Add |
|-----------------------|-----------|----------|--------|-------------|----------------|-----|
| internal              | Portfolio | Internal | No     | None        | MLH Associates |     |
| test                  | Portfolio | Internal | No     | Risk Averse | MLH Associates |     |
| share at MLH public   | Portfolio | Public   | No     | Risk Averse | MLH Associates |     |
| share at MLH internal | Portfolio | Internal | No     | Risk Averse | MLH Associates |     |

There are three different options for you regarding this screen:

- 1 Creating a new portfolio or panel
- 2 Editing an existing portfolio or panel
- 3 Viewing/copying a portfolio or panel you inherit

## 6.1 Difference between Portfolio & Panel

A portfolio has a 'weighting' in each fund and as such the portfolio will have an asset allocation and portfolio factsheets can be produced.

A panel has no 'weightings' and therefore is just a list of funds. You would use a panel when you want to create a list of funds for example as an 'approved' list or a 'recommended' list of funds.

You can create as many portfolios or panels as you like and identify them by having a different name for each portfolio or panel.

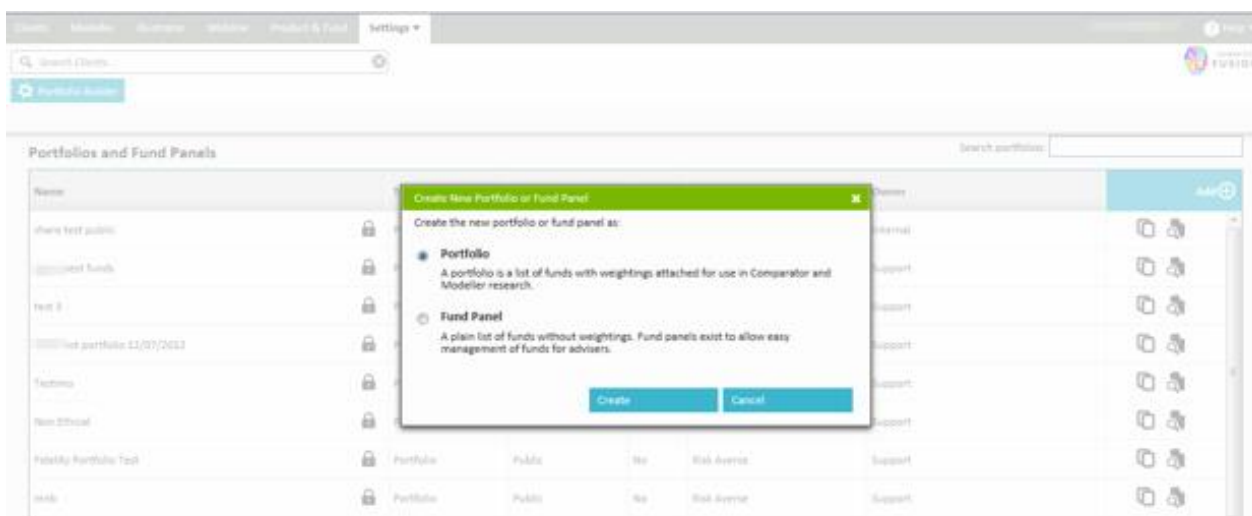
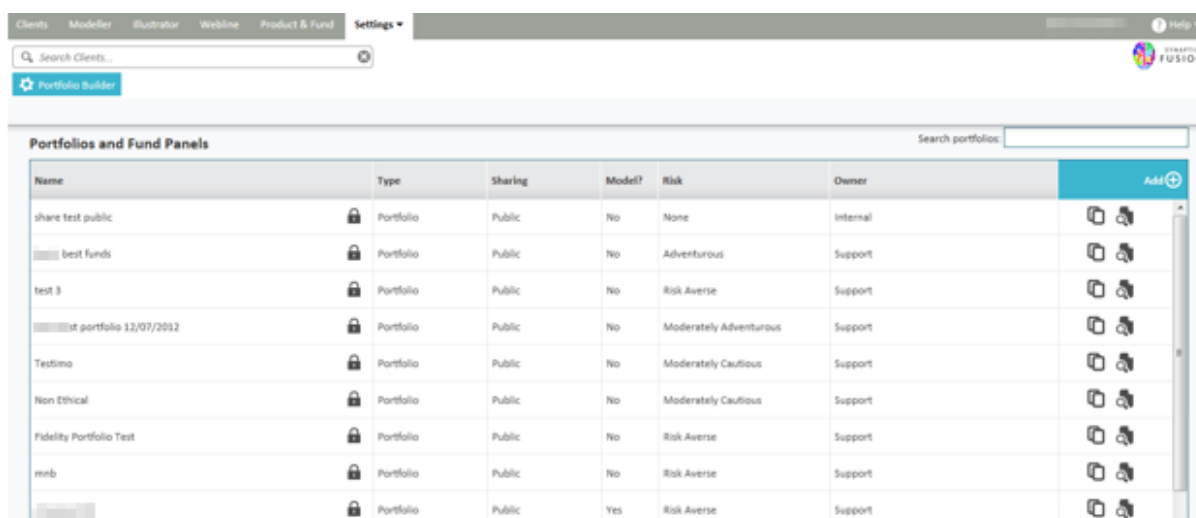
## 6.2. Adding a new Portfolio/Panel

You may see four possible symbols:

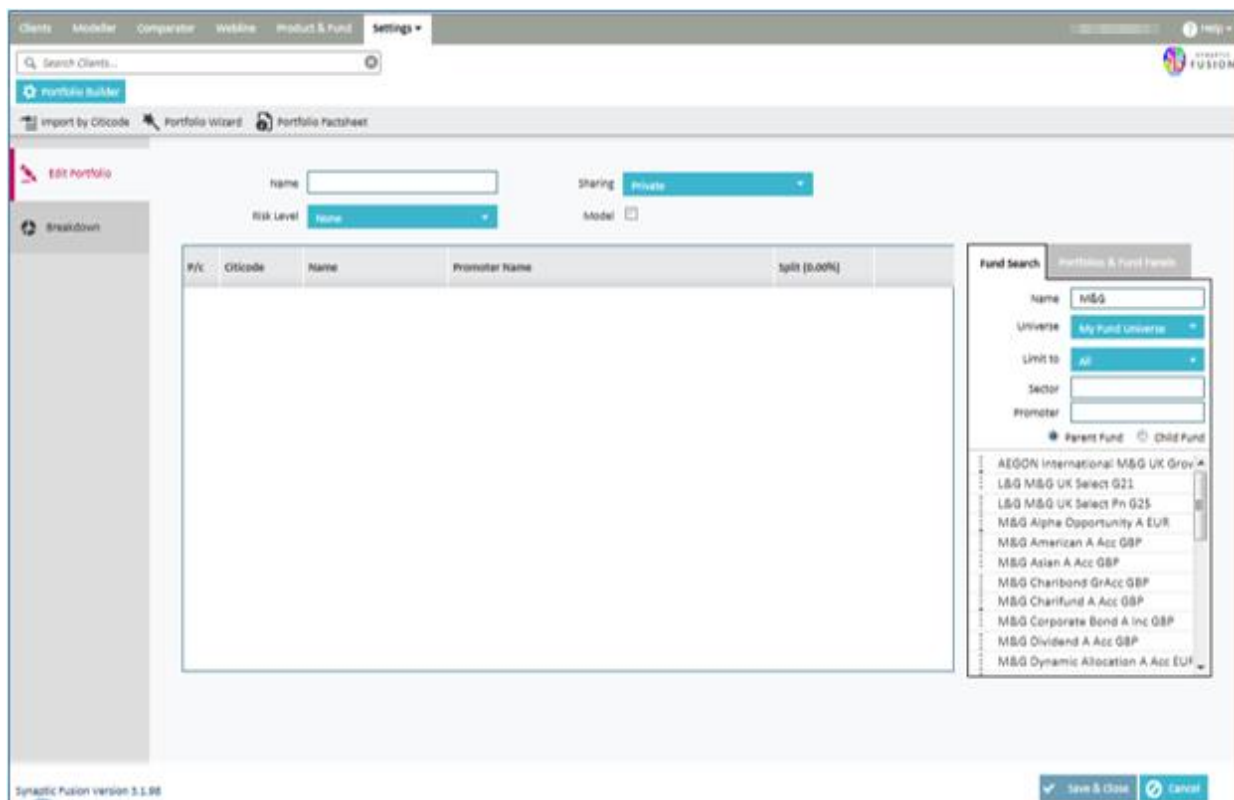
- Edit pen
- Delete cross
- View magnifying glass
- Duplicate 2 page symbol

All of which have been mentioned earlier in this guide.

Alternatively, you can add a new portfolio/panel by clicking **Add** as shown in the screen shot below and following the instructions:



You can then make your selection from either an existing fund panel/portfolio or by searching for an individual fund in the fund search area as shown below:

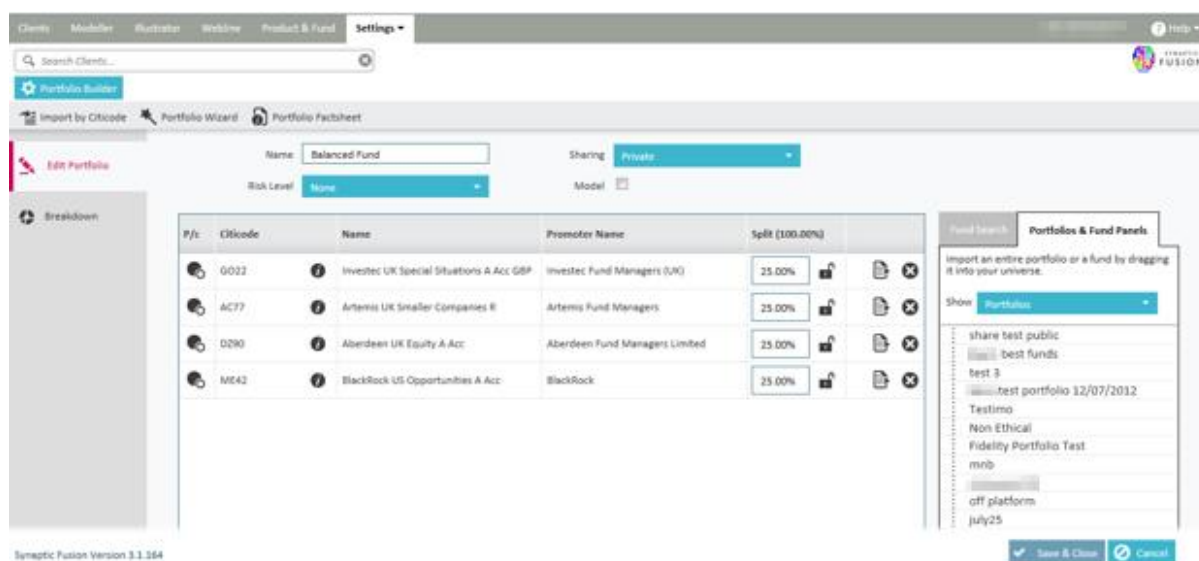


When using the fund search option you can either enter the name of the fund or the Citicode in the **name** field.

You are required to input a minimum of three characters in order for the search to be initiated.

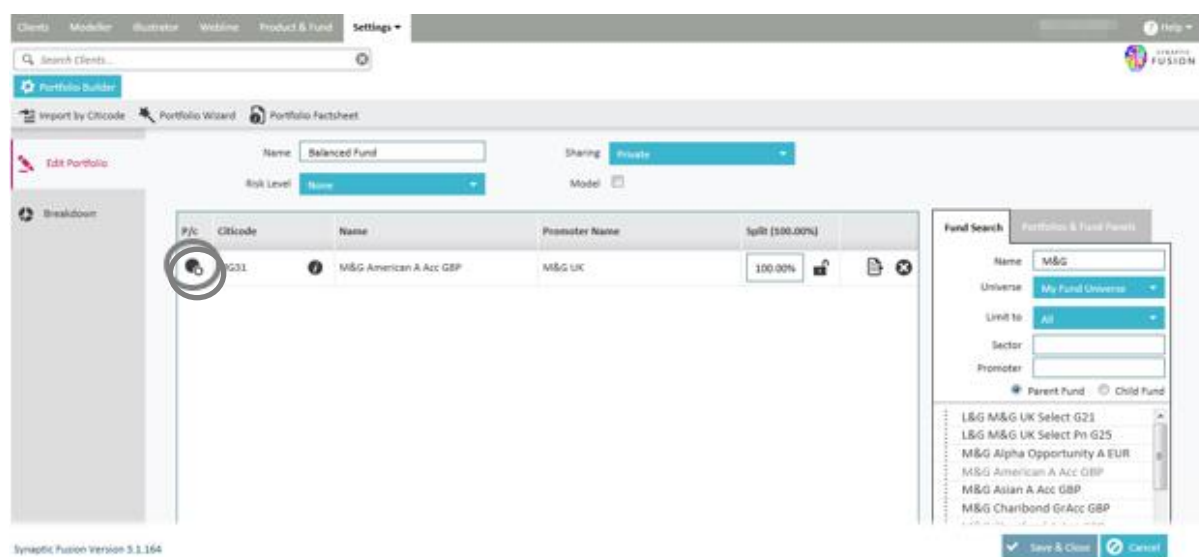
You can also construct a portfolio using the funds within a panel or portfolio as a quick option of accessing the most commonly used funds.

If you select the **Portfolio & Fund Panels** search tab a list of all of the portfolios and panels will appear, you can either drag and drop the your selection into the centre box or you can click and select the underlying funds individually.



Before making the selection, you can hover over the funds returned to receive further information regarding a fund. You can then drag & drop funds in this area or double click on a fund to select a fund for use.

Once you have selected funds for the portfolio there are a number of information items available to you. The first column on the screen above headed **P/C** relates to the option to choose the parent or child version of the fund. This functionality is used inside the Comparator/Illustrator software.



**Parent** funds will display the standard retail priced funds excluding any mirror funds or different share classes. **Child** funds will display all of the mirror funds and share classes.

There may be a number of icons that display next to each fund, if you click on them they will display further information.

The “no entry” symbol (red circle with line through) means that the particular fund is missing data that means it will not be useable in some of the other applications in the suite. It will not be useable in Modeller if it is missing an asset allocation and will not be useable in Comparator/Illustrator if the fund charges are missing.

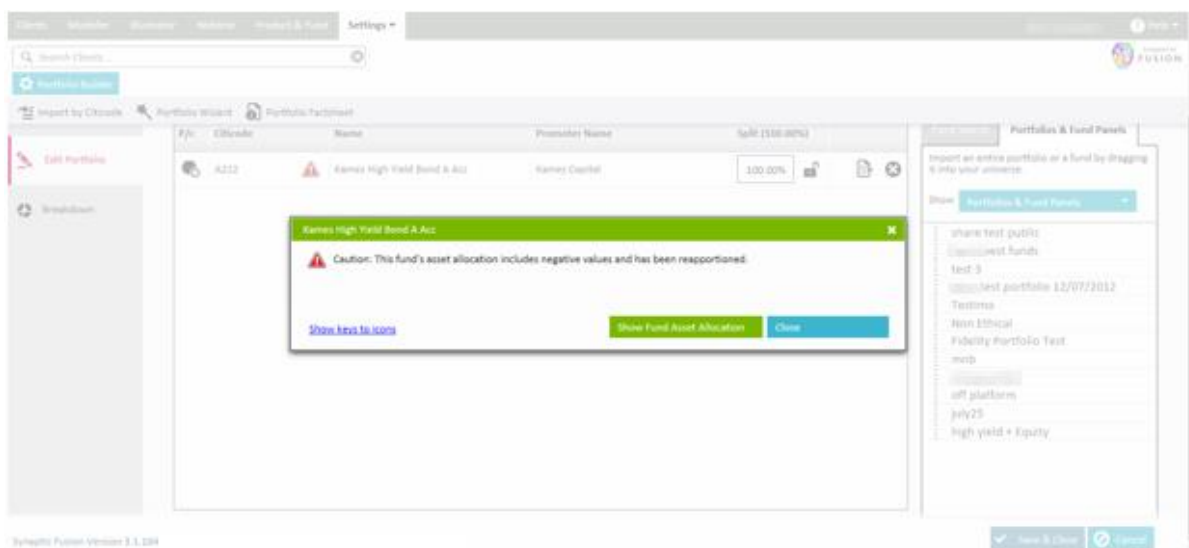
The other symbol will either be a black ‘i’ or a warning triangle. Clicking on this will allow you to see the asset allocation of the particular fund in both the raw data supplied by FE fundinfo and the Synaptic asset classes that the suite uses.

The warning triangles are colour coded to indicate the integrity of the fund’s asset allocation data (some funds do not have data that sums to 100% and some contain negatives).

In order for the fund to be useable in Modeller we reweight the asset classes to add to 100% and to all be positive.

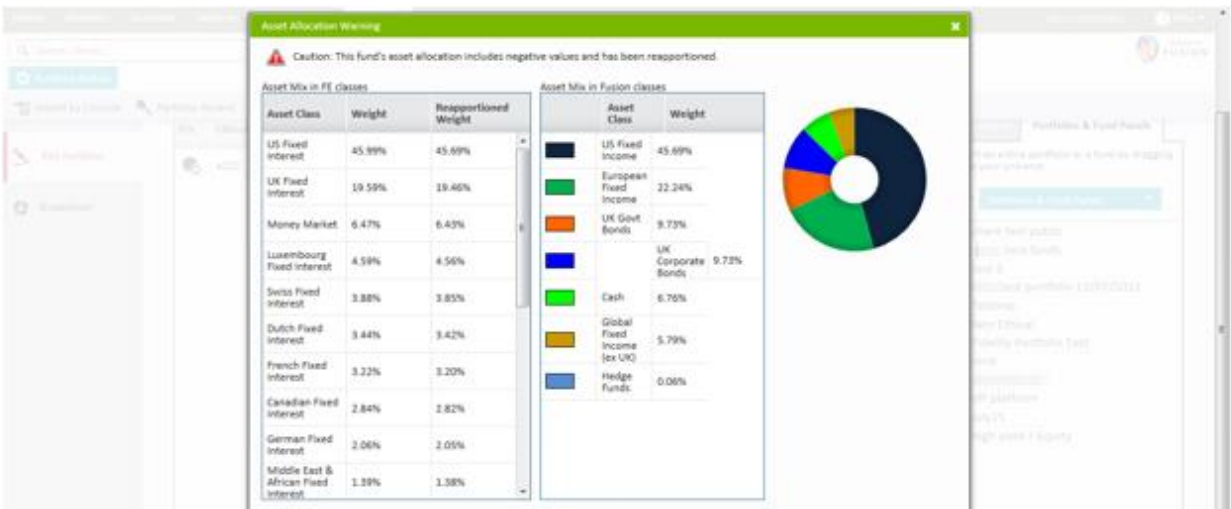
Viewing the raw data and the conversion will allow you to assess whether you believe the transformation is acceptable and in turn whether you should recommend the fund or not to a client.

If you click on the triangle you will see the screen below giving you the choice of viewing the asset class breakdown and conversion or a key to all the symbols.





The breakdown screen is shown below;

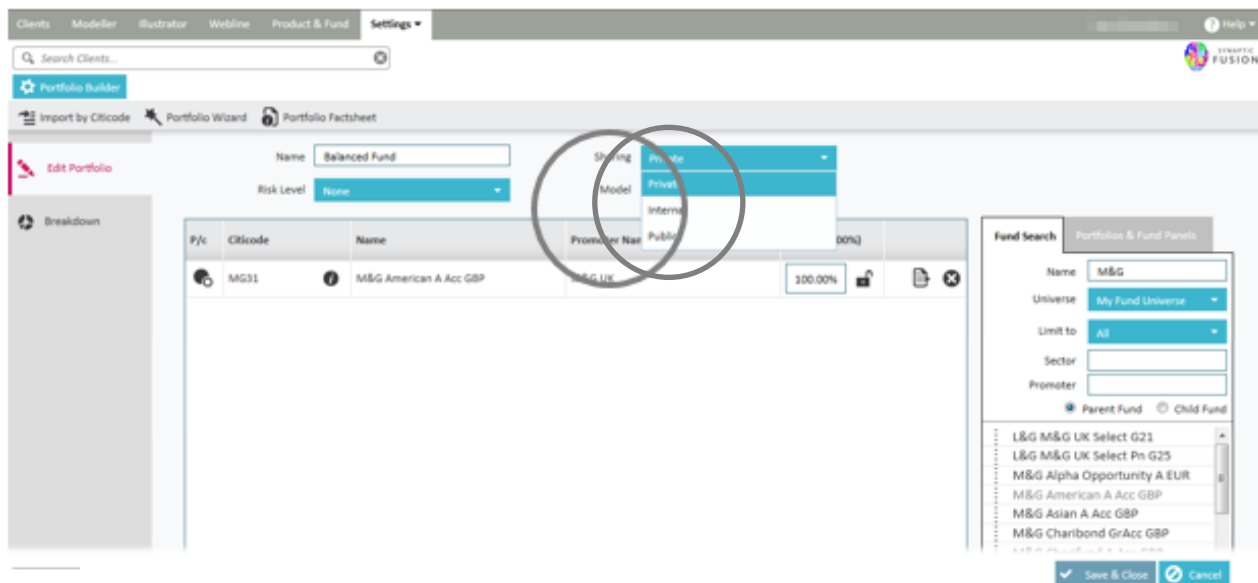


The key is shown below;

| Key to Fund Icons |  |
|-------------------|--|
| Icon              | Meaning  |
|                   | This fund does not have any asset allocation data hence cannot be used in Modeller.<br>or<br>This fund does not have the correct charge data to be used in Comparator.   |
|                   | Caution: This fund's asset allocation includes negative values and has been reapporioned.<br>or<br>Caution: This fund's asset allocation is less than 80% and has been reapporioned.<br>or<br>Caution: This fund's asset allocation is greater than 120% and has been reapporioned.  |
|                   | Caution: This fund's asset allocation is greater than or equal to 80% and less than 95% and has been reapporioned.<br>or<br>Caution: This fund's asset allocation is greater than 105% and less than or equal to 120% and has been reapporioned.   |
|                   | This fund is not in your fund universe.<br>or<br>Caution: This fund's asset allocation is greater than or equal to 95% and less than 99% and has been reapporioned.<br>or<br>Caution: This fund's asset allocation is greater than 101% and less than or equal to 105% and has been reapporioned.  |
|                   | Information: This fund's asset allocation is equal to 100% and has not been reapporioned.<br>or<br>Information: This fund has no available asset allocation data.<br>or<br>Information: This fund's asset allocation is greater than or equal to 99% and less than 100% and has been reapporioned.<br>or<br>Information: This fund's asset allocation is greater than 100% and less than or equal to 101% and has been reapporioned. |

## 6.3 Portfolio Sharing

You also have the option of setting the 'Sharing' mode to either Private, Internal or Public as shown below.



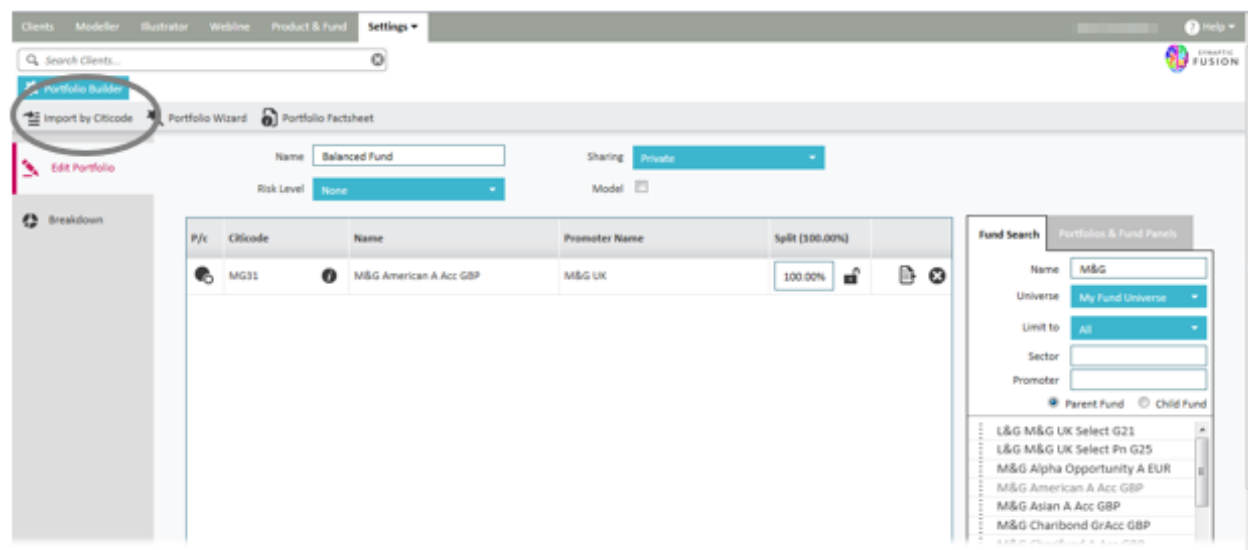
By setting the portfolio to one of the options, you will allow access to the portfolio to different User groups as defined below:

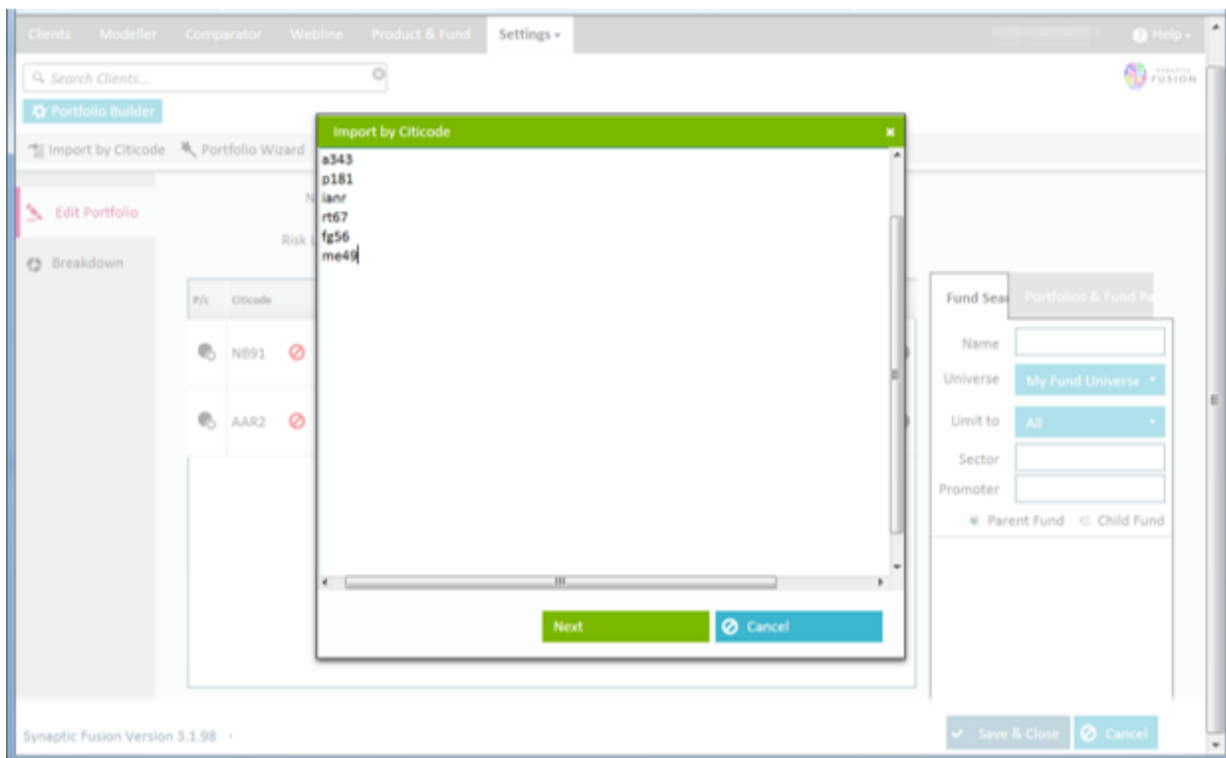
- Private – can only be used by the person who created the portfolio
- Internal – can be used by any User in your organisation
- Public – can be used by Users in your organisation and all sub/child organisation

## 6.4 Importing by Citicode

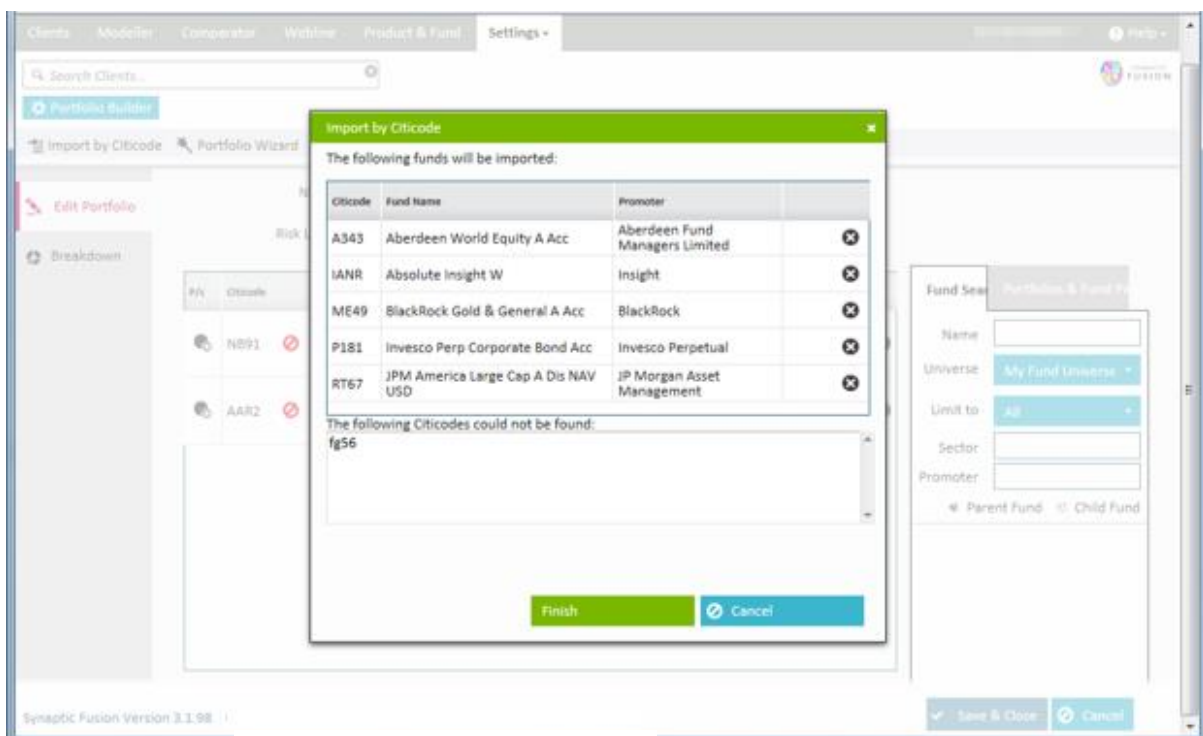
You can import an entire list of funds using the **Import by Citicode** button if you have these codes available.

You have the option to free type the codes in manually or copy and paste from another source as shown in the screen shot below:





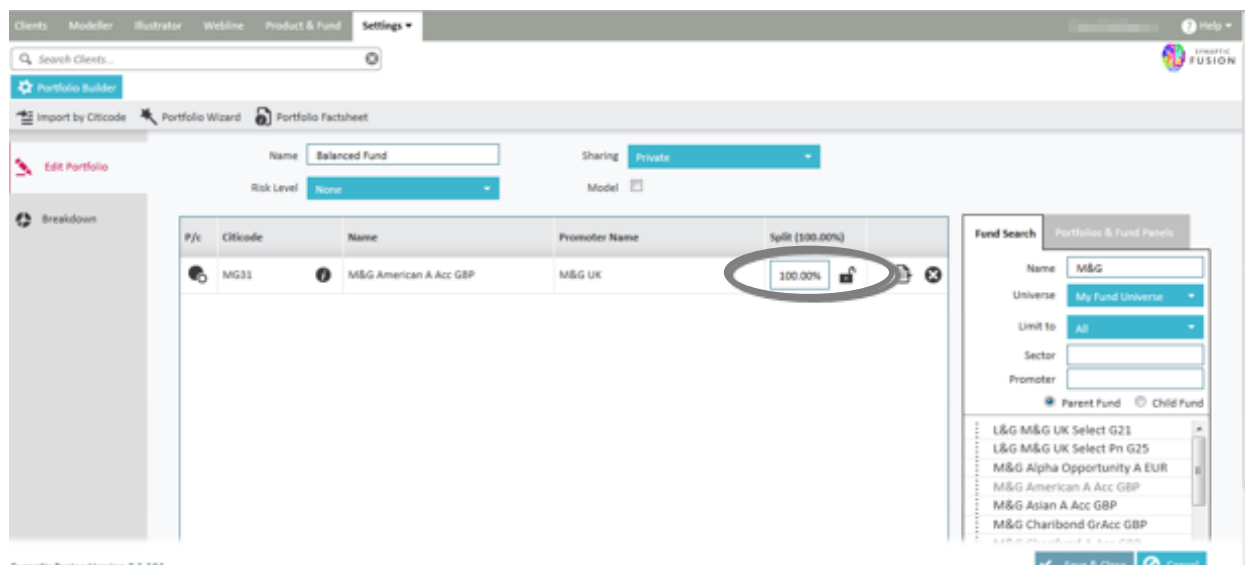
By clicking the **Next** button this will verify that the codes are correct and highlight any funds that cannot be found as the following screen shot demonstrates.



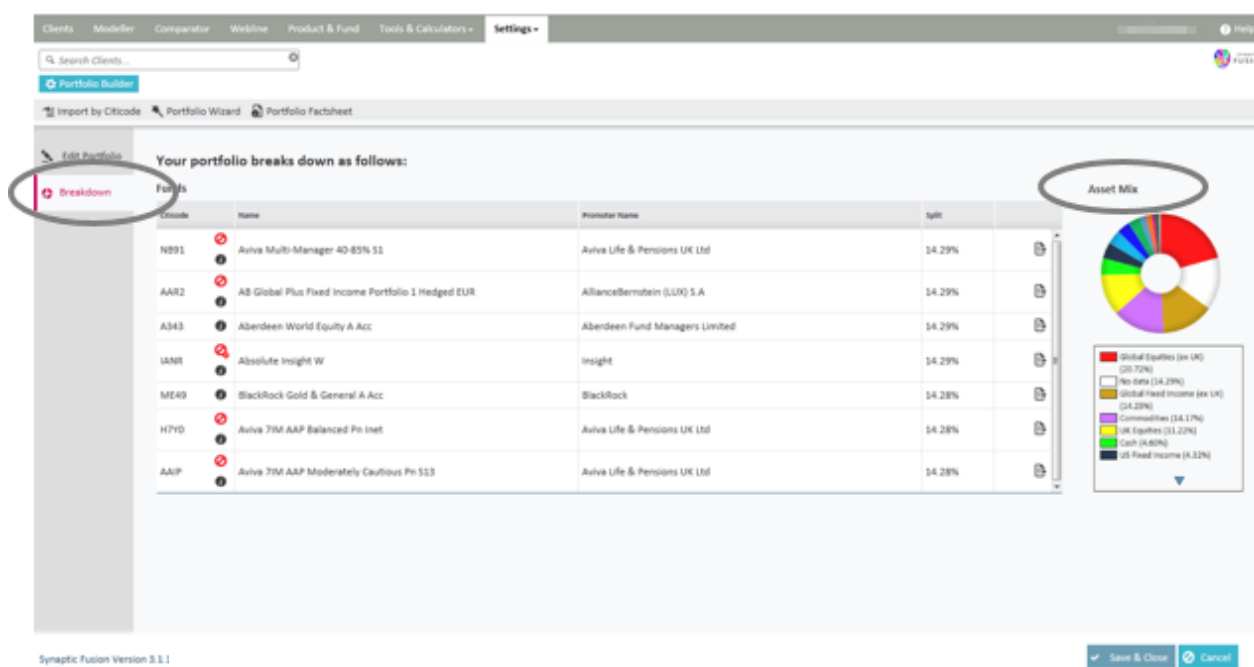
By clicking the **Finish** button you will populate the selected funds which are valid into the portfolio that you are constructing.

You will then be required to input the weightings for each fund (if a Portfolio).

You should note that importing by citicode will always set the imported funds to child mode. If you require parent mode you would need to click on the relevant icon.



You can also view the **Breakdown** and the **Asset Mix** from the screen below:

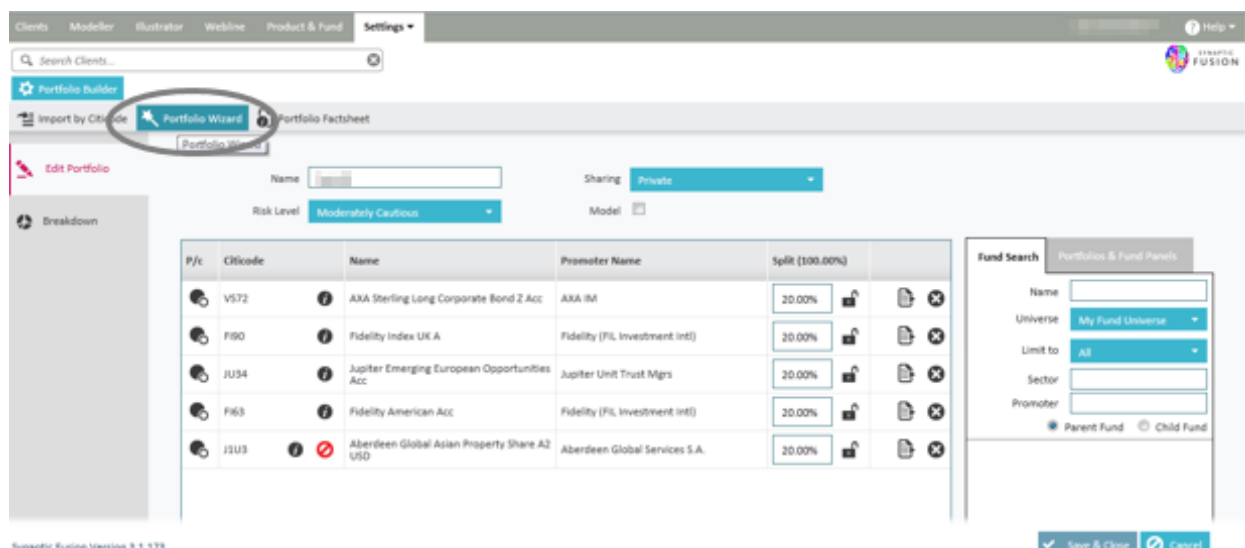


If you are happy with the portfolio breakdown you can click on the **Save and Close** on the bottom right of the screen to save the portfolio.

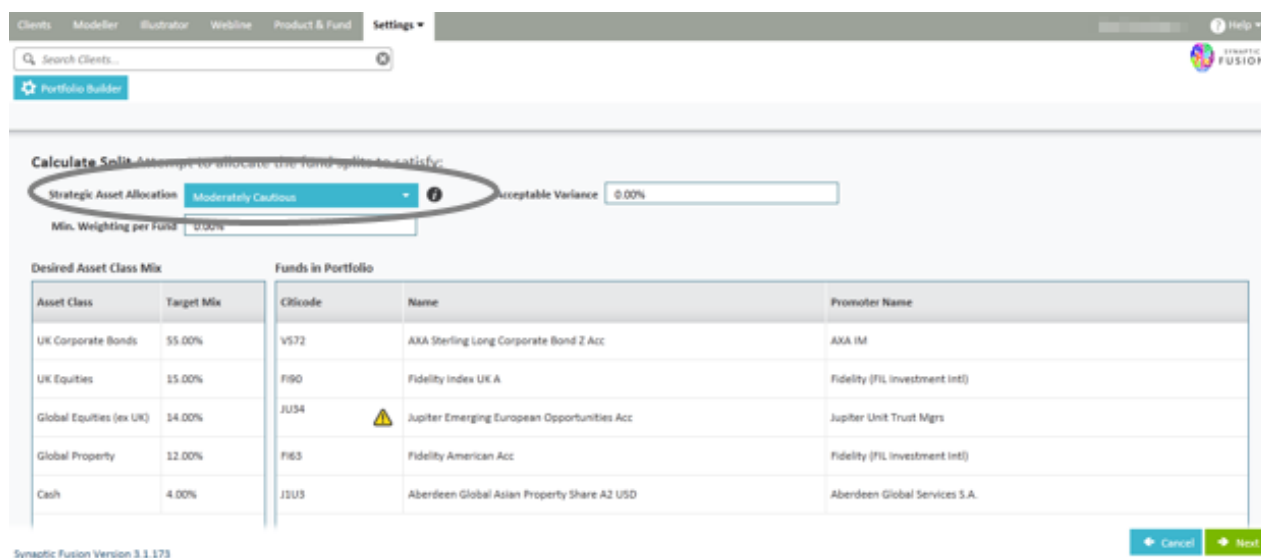
## 6.5 Portfolio Wizard

The portfolio wizard is designed to build a portfolio from a specified list of funds to meet a specific asset allocation. It will use the funds you supply and their respective underlying asset allocation in order to return the weighting in each fund that is the optimum mix to hit the asset allocation required.

Once you have selected the list of funds you wish to use, click on the **Portfolio Wizard** button as shown below:



You can then specify the asset allocation required by selecting from the drop down menu. The menu will contain all the strategic asset allocations used in your investment strategy, it also contains the ability to create a custom asset allocation mix.



You can select a tolerance for both the minimum amount going into a single fund and the variance of each asset class from its target mix by inputting a number into either the **Acceptable Variance** field or the **Min. Weighting per Fund** field.

Clicking the **Next** button will run the wizard calculation and return the results.

**Calculate Split** Failed to allocate the fund splits to satisfy:

Strategic Asset Allocation: Moderately Cautious      Acceptable Variance: 0.00%  
 Minimum Fund Weighting: 0.00%      [Recalculate](#)

**Desired Asset Class Mix**

| Asset Class             | Target Mix | Achieved Mix | Delta |
|-------------------------|------------|--------------|-------|
| UK Corporate Bonds      | 35.00%     | 36.84%       | 1.84% |
| UK Equities             | 15.00%     | 15.49%       | 0.49% |
| Global Equities (ex UK) | 14.00%     | 14.52%       | 0.52% |
| Global Property         | 12.00%     | 12.44%       | 0.44% |

**Funds in Portfolio**

| Citicode | Name  | PromoterName                  | Split  |
|----------|---|-------------------------------|--------|
| V572     | AXA Sterling Long Corporate Bond Z Acc      | AXA IM                        | 56.99% |
| F190     | Fidelity Index UK A                         | Fidelity (FII Investment Int) | 15.57% |
| F163     | Fidelity American Acc                       | Fidelity (FII Investment Int) | 14.66% |
| J2U5     | Aberdeen Global Asian Property Share A2 USD | Aberdeen Global Services S.A. | 12.62% |

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You can repeat this process to obtain a satisfactory outcome. This may involve adding more funds for the wizard to use.

By clicking the **Next** button this will return you to the **Edit Funds** screen, in order to save the portfolio as normal.

## 6.6 Producing Factsheets

You can produce an individual fund fact sheet by clicking on the **factsheet** icon as shown below:

**Edit Portfolio**

Name:       Sharing: **Private**      Model: ☐

Risk Level: **Moderately Cautious**

| P/y | Citicode | Name  | Promoter Name                 | Split (100.00%) |  |
|-----|----------|---|-------------------------------|-----------------|--|
|     | V572     | AXA Sterling Long Corporate Bond Z Acc      | AXA IM                        | 56.99%          |  |
|     | F190     | Fidelity Index UK A                         | Fidelity (FII Investment Int) | 15.57%          |  |
|     | J2U4     | Jupiter Emerging European Opportunities Acc | Jupiter Unit Trust Mgmt       | 0.14%           |  |
|     | F163     | Fidelity American Acc                       | Fidelity (FII Investment Int) | 14.66%          |  |
|     | J2U5     | Aberdeen Global Asian Property Share A2 USD | Aberdeen Global Services S.A. | 12.62%          |  |

**Fund Search**      Portfolios & Fund Parents

Name:

Universe: **My Fund Universe**

Limit to: **A3**

Sector:

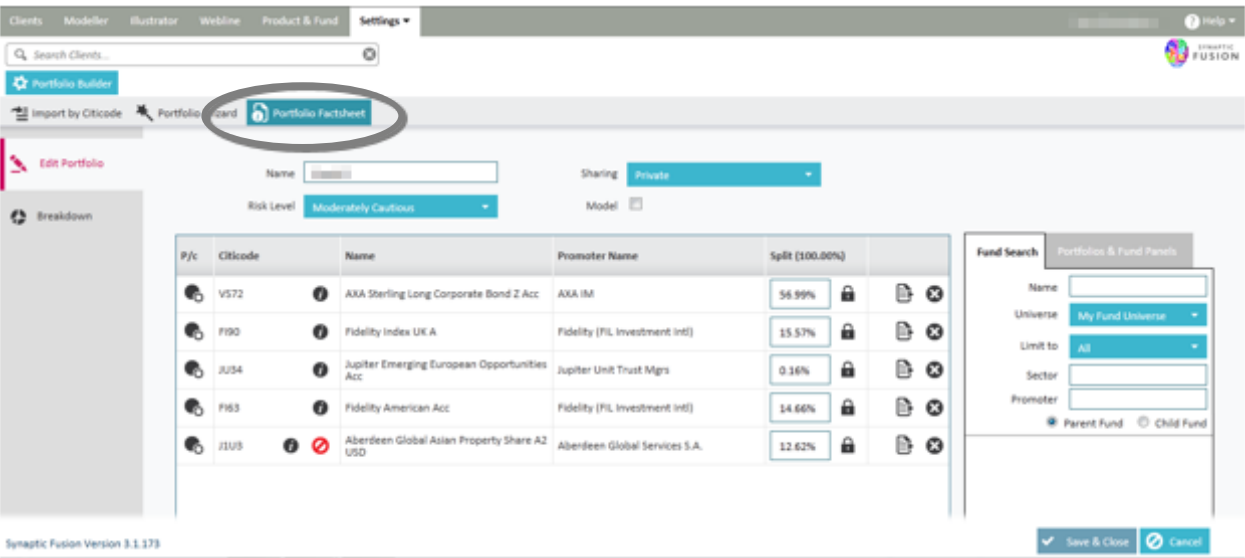
Promoter:

☒ Parent Fund    ☐ Child Fund

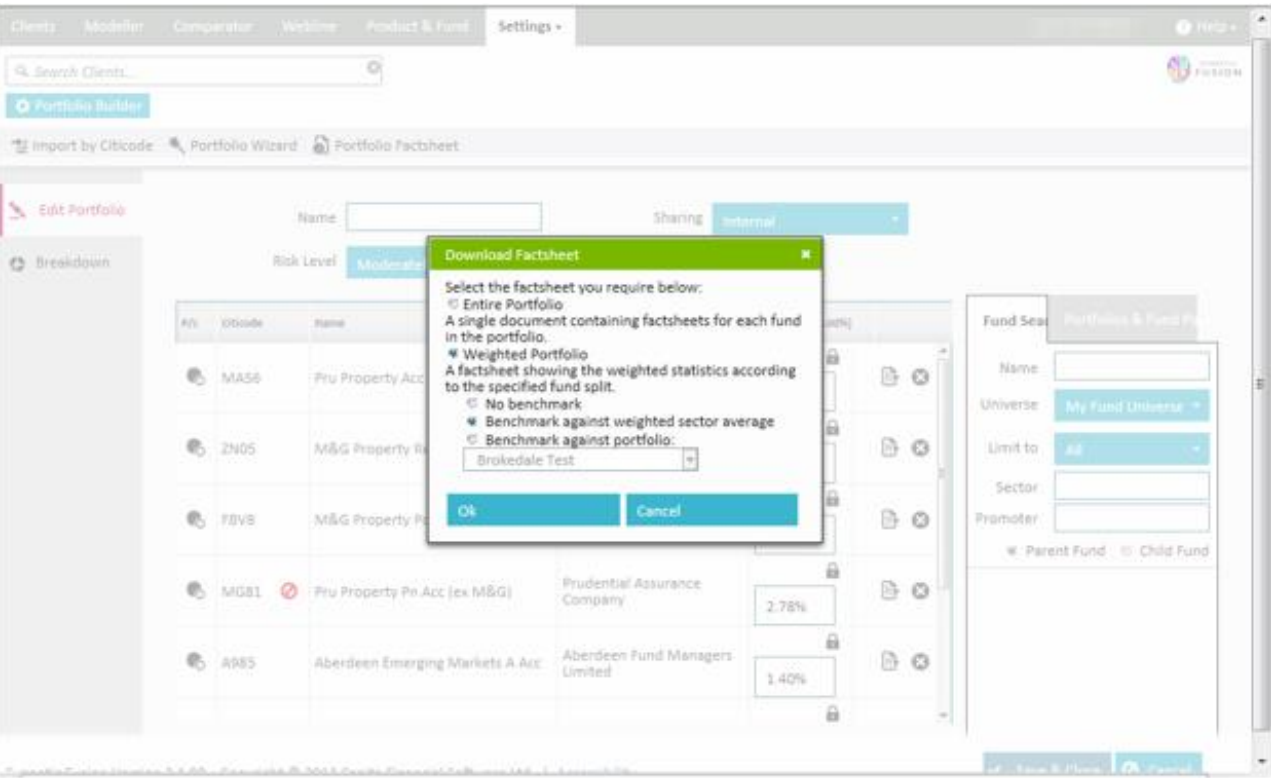
[Save & Close](#)    [Cancel](#)

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You can also produce a portfolio factsheet by clicking on the **Portfolio Factsheet** button as shown below:



You have the choice to produce a series of individual factsheets within the portfolio, a weighted portfolio factsheet or a weighted portfolio factsheet that is benchmarked against either the sector average or another existing portfolio as shown in the screen below:

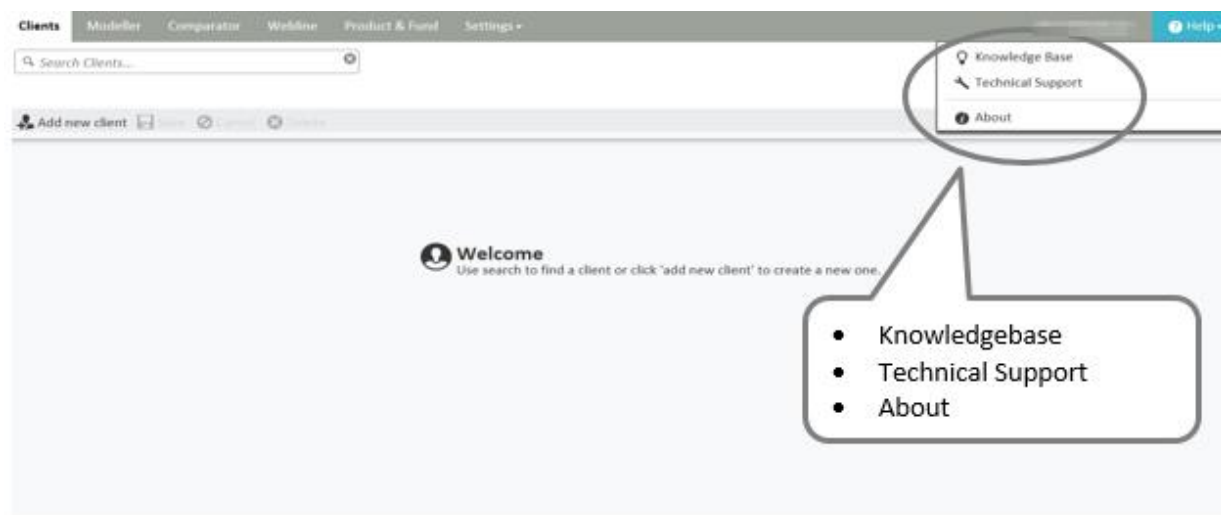


## 7. Help & Support

You have the availability of the **Help** button, as shown in the screen below:



There are three options in the drop down menu:



**About** has links to various sites including Synaptic Software and FE fundinfo.

**Technical Support** which opens up contact information for our Synaptic Support Team.

If **Knowledge Base** is selected, you will be taken to the knowledgebase page on the Synaptic Software website.

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





## 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

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