LUDIQUEforIFAS

DATA ENTRY PROTOCOLS AND BEST PRACTICE

INTRODUCTION

This document is not intended to be a comprehensive user manual as most the basics of using LUDIQUEforIFAs are covered during the installation and training process. Rather, it is an aide-memoire containing guidelines to help ensure data integrity and promote best practice.

LUDIQUE Ltd will continue to send out updates and additions in response to changes to the software, FSA requirements and client enquiries.

Each LUDIQUEforIFAs client is encouraged to review, develop and amend this document as part of their ongoing Review and Analysis procedures.

For help and support see http://www.ludique.co.uk/support.html

LUDIQUE DATA CAPTURE SERVICE

Ludique offers a comprehensive data capture service for IFAs whose records are on paper or in disparate electronic sources.

Contact and Policy details can be entered from your:

> Hand-written New Business Register
> Excel Spreadsheets of Policies, Clients or Commission
> Downloaded information from Providers (which may also include Fund information and details of units and prices)
> Commission Statements

For more information see http://www.ludique.co.uk/prices.html#DataCaptureService

CONTACTS – Address and Significant Dates

Title

Enter the contact's title with no punctuation i.e. Mr not Mr.

Initials

Enter the contact's initials with no punctuation i.e. J M not J.M.

Forenames

Enter all of the contacts forenames in full if known. If not, re-enter the contact's initials in the forenames field to avoid creating duplicates.

Avoiding Duplicates

Always search for a client before adding them to avoid creating duplicates.

Duplicate Surname+Forenames are not allowed by the system. If a Surname+Forenames must be duplicated because there are two people with the same name, you must find a way to discreetly differentiate them as far as the system is concerned. Therefore you must workaround the 'no duplicates' rule as follows:

Example 1. There are 2 people called John Smith and neither have middle names, put a dot after the surname of one of them

Example 2. There are 2 people called J Smith, put a dot after the J. of one of them

Ensure all users know that there is a duplicate name and which is which.

Couples

Normally a separate record should be created for each member of a couple and the appropriate partner should be selected. NB: The contact record (including an address) must be created before it can be selected.

In certain rare situations a singly contact record may be created for a couple e.g. if they only have one joint policy. In that case enter Mr & Mrs in the Title field and the wife/partner's name in the Other Name(s) field e.g. 'Partner: Mrs Jane Smith'

The _Admin Client

A client record called _Admin exists for any policies or other information that can not be attributed to a specific person. The _Admin record must not be overwritten or deleted.

Ref No

Ideally all clients should be given a Ref No.

Both parties of a couple should be given the same Ref No.

All members of a family or group scheme may be given the same Ref No to enable searching and printing reports for the entire group.

To find out the last Ref No used

> Go to Contacts & Policies; Search Contacts; then click on the Client Ref criteria arrow, and slide down to the bottom of the list

Primary Contact

The following should have the Primary Contact box checked:

> Contacts with no Partner in the database

> The main contact of a couple – usually the husband, but could be the person most contacted of the two (and the other party should be unchecked)

Mailshot

The mailshot box should be checked for all contacts that should be included in a mailshot. The following contacts should be unchecked:

> Deceased Clients

> Former Clients

> Anyone that has asked that no mailshots should be sent

> Anyone for whom there is no known address

Salutation

This is how the person will be addressed in the Dear… of correspondence and therefore depends on the relationship between the client and the adviser and/or the formality of the correspondence. Therefore, it could be e.g. Mr Smith or e.g. John.

Address

At least ONE address MUST be entered with the checkbox ticked to indicate it is the client's preferred address for EVERY contact.

If this is not the case the client will be stored but their name will not appear in certain lists and, more importantly, the Contact field in their policies will be blank.

If the client's address is not known – enter 'Unknown' in the first Address field but ensure that the Preferred Address box is still checked.

No punctuation should be used in addresses unless absolutely necessary ie. **1 Short Street** not 1, Short Street,

To add more than one address (e.g. Old Address, Second Home, Business etc) click >* in the address form to enter.

Email Addresses

Email addresses must be entered in the following format: mailto: steph@ludique.co.uk

NB: In Staff Records mailto: should be omitted so that it is not printed on letterheads

Flag

The Flag box may be checked to indicate clients that require special care or attention

Suggested uses:

> Special needs or disability

> Personal circumstances e.g. bereavement

> Complainants

> Expressed preference only to speak to a particular adviser/member of staff

> Identifying contacts for ad hoc valuation

Contact Category

Contact Category is used to segment contacts into useful groups for business planning and mail merges. Contact Categories are also used for generating data for GABRIEL reports where clients must be segmented into individuals, businesses, charities and trusts.

Additional Contact Categories may be added to the list but care should be taken to ensure that category definitions do not overlap.

Category	Definition
Client	Has current policies
Corporate Client	A Business that has current policies
Deceased Client	Contact is deceased – also enter DoD if known and amend partner's record to Widow/Widower
Inactive Client	Has no current policies but has had policies in the past
Contact	Has no policies at all
Former Client	All policies have been transferred to another IFA/Agency
Charity Client	A Registered Charity that has current policies
Trust Client	A legal Trust that has current policies

Contact Origin

Contact Origin	Description
Adviser Contact	A personal contact of the adviser
Appointed Representative	An authorised introducer
Associate Company	A company associated with your IFA practice
Client Referral	Referred by another client
Other	Only used in special circumstances when no other origin is appropriate
Other IFA/Agency	An IFA/Financial Agent
Professional Referral	Referred by a solicitor, accountant or other professional
Promotion	Responded to an advert
Social Networking	An indirect contact of an adviser or other staff member
Staff Referral	A personal contact of a non-advising staff member
Unknown	
Website	Responded to the website/internet search

CONTACTS – Personal Details and Fee Agreement

Agreement Type

Fee Category	Description
N/A	No fees charged unless the contact's status changes
Annual Contract	An annual fee is charged for client services e.g. storage of Client's will
6 Month Contract	A bi-annual fee is charged for client services
Monthly Contract	A monthly fee is charged for client services
Fee Waived	Free of charge
By Policy	The client has been/will be charged a fee for specific policy advice
TBC	To be confirmed

Fee

Enter the amount of any fee due

NB: A single fee for a specific policy should be entered in the Policy record on the Commission & Charges tab.

Date Fee Due

Enter the date the fee by which the fee should be paid.

An 'Expected' Account Item should also be entered so that income from fees may be projected.

POLICIES – Basic Policy Info

NB: A client without a preferred address may not be selected as a policyholder

New policies should be entered as soon as they are recommended to the client. Then the details may be updated as they become available. Recommended policies are listed in Things to Do! – this makes it easy to track ongoing work and policies not taken up (NTU).

Policy Ref

Your reference number for each policy should be entered here. The recommended format for policy refs is PYY000 where YY is the year and 000 is a sequentially as policies are submitted. i.e. P09005 would be the 5th policy submitted during 2009.

To find out the last Ref No used go to Contacts & Policies; Search Policies; then either

   a) click on the Policies Ref criteria arrow, and slide down to the bottom of the list, or
   b) click 'Open Policy List', put your cursor in the Ref field and click the Sort Descending button on the toolbar.

Include in Reports

Uncheck this box if a policy has ended or if it should not be included in a client report e.g. where a separate policy record has been created for a substantial additional premium but the original policy but it should not be listed separately.

All policies are included in the 'one-click reports' whether or not this box is checked.

End Date

Always include an end date if known (or the end of a fixed period of interest in the case of a mortgage). This will ensure that the policy is listed in Things to Do! for the preceding 90 days.

Client's Reason

Select the client's reason for wanting the policy from the list – good TCF!

Adviser's Reason for the Recommendation/Transfer

Enter details in this field – good TCF practice!!

An entry is this field is automatically included in detailed reports and suitability letters about the policy. It can also be added to mail merges and correspondence.

Agency

Agency	Description
My IFA Agency	Submitted by the IFA agency – a date submitted should be entered
Transferred to My Agency	Originally submitted by a different IFA agency. The date of transfer should be entered. (The date of submission should NOT)
Transfer Sought	Originally submitted by a different IFA agency but permission to /confirmation of transfer is progressing. A date discussed with the client may be entered if required
Authority To Enquire Only	Agency for the policy is not held but the IFA may make enquiries
Authority Sought	Permission to make enquiries about the policy has been asked of the client but not yet granted by the policy provider
Other Agency/IFA	The policy is held by an other agency or IFA
Client Fee Policy	Special category for client fee policies

Policy Origin

Policy Origin	Description
Adviser Contact	The adviser made the initial contact and invited the client's business
Appointed Representative	An **authorised** introducer
Associate Company	A company associated with the IFA practice
Client Referral	Referred by another client (usually the Contact Origin should also be Client Referral). Subsequent business should usually be due to Adviser Contact, Promotion, Repeat Customer or Website
Other	Only used in special circumstances when no other origin is appropriate
Other IFA/Agency	An IFA/Financial Agent
Professional Referral	Referred by a solicitor, accountant or other professional
Promotion	Responded to an advert or promotion
Repeat Customer	Business requested/initiated by existing client
Staff Referral	Referred by a non-advising staff member (usually the Contact Origin should also be Client Referral). Subsequent business should usually be due to Adviser Contact, Promotion, Repeat Customer or Website
Unknown	
Website	Responded to the website/internet search

Fund Format

Fund Format	Description
N/A	Policies which do not have funds e.g. general insurance Investments and Pensions which have Ended
Single Fund	The policy is wholly invested in 1 fund
Multiple Funds	The policy is invested in 2 or more funds
Actively Managed	The policy is regularly reviewed and the investment switched between different funds
Partially Managed	Part of the policy remains in a particular fund or funds and the rest is actively managed

POLICY - Charges & Commission

Commission Payable

If commission is payable for a policy the Commission Payable box should be checked.

Where there are several policies with the same policy number e.g. additional premiums or wrapped policies, only one (usually the first one submitted) should have the box checked so that when commission is entered it is all allocated to the same policy.

Commission EDI

Usually this is the same as the policy number and therefore it is updated when the policy number is first entered. However, some providers use a different number to refer to the policy for the purposes of commission. It is this number (not the policy number) that is used when entering commission.

Types of Commission and Charges Expected

Use this area to list all of the different types of commission and fees that are expected for this policy – including Administration, Advisory, Introducer, Paraplanner or Procuration fees and types of commission. This list is a useful reference for clarifying all of the various charges relating to a policy.

Commission Notes

There are 3 fields for notes regarding commission, providers charges and introducer fees. If these are completed they are automatically included in detailed reports and suitability letters about the policy. These notes can also be added to mail merges and correspondence.

If the Commission Payable box is unchecked a Commission Note should be entered to explain why commission is not payable e.g. 'Policy Ended' or 'Transferred to Other IFA Agency'

COMMUNICATIONS

Ideally all paper communications with a contact or provider should be filed or scanned. A record of the communication with a link to any stored file(s) regarding a client and/or their policy should be entered in LUDIQUE as a matter of best practice.

It is also good practice to make a note of any telephone conversations, emails, meetings and discussions by creating a communication record.

All communications are listed with the relevant Client record and Policy record.

Communications that are unfinished or awaiting response are listed in Things to Do and on the Provider/Company record.

Create a Communication Record

1. From the Main Menu click COMMUNICATIONS…etc
2. Click 'Add New Communication'
3. Select the
    a. Contact
    b. Policy (if applicable)
    c. Type (ie. Document)
    d. Subject (if the subject you require is not listed you can type directly into the field)
4. Create a hyperlink to the document/scan/file by clicking the Link button
5. Type a note about the correspondence – if it's not self- explanatory from the information already entered
6. Type details of any further action required
7. Click the buttons at the bottom of the screen to indicate whether the communication is 'URGENT', 'AWAITING RESPONSE' and/or 'COMPLETED'

Correspondence

Create the Correspondence

1. Check the client's address on their Contact record
2. Check that the provider/company address record is correct for their policy
3. From the Main Menu go to LETTERS, LABELS, EXPORTS AND REPORTS
4. There are templates for different types of correspondence which you can access by first choosing LETTERS, CLIENT REVIEW or SUITABILITY LETTERS.
5. Select the best template for your purpose and click GO.
6. Select the client/client's policy in the box at the top of the yellow print filter screen and click GO
7. Write the letter and click 'Merge to New Document' on the Word Toolbar

Save the File

Any document which refers to a specific client should be kept in the client's folder.

It is not normally necessary to keep copies of communications which are simply a standard template with no amendments – simply create a communication record to show what has been sent.

e.g. Policy Documents, Encashment Letter, Valuation, Transfer of Agency, Authority to Enquire

Folder names and filenames should have a consistent format. The following formats are suggested as best practice: Client Folder Format: *Surname, Forenames* - e.g. Bloggs, Joseph Michael

Filename Format: *YYMMDD Surname Initials ProviderCode Product PolicyRef – Subject*

e.g. 090424 Bloggs J SKA Pension SF0020 – Suitability Report

ACCOUNTS & COMMISSION

Accounts

Items are usually entered into the accounts when a bank statement arrives and are therefore marked as 'Paid'.

However, to improve financial management and management information, items may be entered as 'Expected' e.g. regular payments for utilities and wages or 'Invoiced' e.g. where a client has been billed but payment is awaited.

Summary of All Accounts

To see an overview of all accounts (i.e. a current profit and loss) go to My IFA, My IFA, Accounts Summary and General Info.

Totals and Balances for each Account

To see a summary of each account go to Accounts & Commission, Totals and Balances for each Account. Each account should show the A/C Ref date and the balance of the account at the start of the accounting period.

Always check the Totals and Balances for each Account after entering bank statement details to ensure the bank balance is correct.

Accounts SubCategories

All amounts are determined as positive or negative depending on the SubCategory selected. Therefore a minus sign should only be used for e.g. a commission statement which is a clawback or a refund from a supplier.

Adding further details

Click the blue button to the left of an account item to enter further details. A breakdown of items e.g. stationery or expenses may be included. See Commission below.

A hyperlink to a scan of the commission statement may be added if required by clicking the link button.

Also See 'THINGS TO DO', Accounts. This shows lists of account items that have been invoiced and not marked as paid, and amounts that are expected. There is also a list of account items where no commission has been entered and a list of account items where the commission has been entered incorrectly.

Troubleshooting Account Item Entry

The Payer/Payee is not listed

1. Select Unknown and enter the rest of the account item details (i.e. subcategory, amount, status, etc)
2. Click the Back/Back arrow(s) until you get back to the Main Menu
3. Click Exit Database
4. Click Database Administration
5. Click LookUp Lists
6. Click Accounts Payers/Payees
7. Go to the last row in the list and enter the name of the unlisted Payer/Payee, select a Payer/Payee Type and enter a 3-letter code
8. Then go back to Accounts and change the Unknown Payer/Payee to the correct name

The Accounts SubCategory is not listed

For guidance on which Subcategory should be selected for an account item, please contact your company accountant.

1. Select Unknown and enter the rest of the account item details (i.e. subcategory, amount, status, etc)
2. Click the Back/Back arrow(s) until you get back to the Main Menu
3. Click Exit Database
4. Click Database Administration
5. Click LookUp Lists
6. Click Accounts SubCategories
7. Go to the last (blank) row in the list and enter the name of the new SubCategory, and select a Category. If you are unsure which Category should be selected please contact your company accountant.

Commission

1. Click on ACCOUNTS AND COMMISSIONS
2. Click on ACCOUNTS - Search, Amend and Add Items
3. In the Payer/Pay box start typing the name of the company
4. Enter the date of the statement, commission, name of the company, total for the statement and next sequential number/other reference number for that company's statements (if required).
5. Write the number/highlight the reference on the statement
6. Click on the blue button next to the account item you have just entered
7. You can enter commissions manually by entering the policy number in the first field next to the blue arrow and then entering the rest of the details. If the policy number is not listed see Troubleshooting Commission Data Entry below.
8. When you have entered all the commission details the COMMISSION TOTAL at the bottom of the form should match the AMOUNT at the top.
9. Click the Black/Back arrow to go back to the Accounts list
10. Mark/stamp the statement to indicate it has been entered and keep it until it is listed on a bank statement.
11. Once a commission invoice has been paid to your bank account, enter the bank statement number and change the status to Paid
12. File or dispose of the statement as appropriate.

Troubleshooting Commission Data Entry

When I enter the policy number it selects the correct policy but other details are incorrect

Enter the commission details and tab to the next row (so that you have completed entering the commission for that record before moving to another form)

Click the Blue/Forwards arrow next to the policy – it will open the policy record at the Charges & Commission tab

If you need to amend any details that are not shown on the Commission tab, click the Basic Policy Info tab

Amend details as required and click the Black/Back arrow – it will take you back to the Account Item where you can continue to enter commission

When I enter the policy number, it doesn't select a policy

Click [Esc] on your keyboard twice to remove the unfinished entry

Click Check Policy List

Type the surname in the Check Contact List box at the top of the form and/or use the drop down arrow to check the list of Contacts.

If the Contact is not listed click Add New Contact and create a new Contact record – See The Contact is Not Listed below

If the Contact is listed look down the list of policies to see if the policy is there but the number is either missing or incorrect.

If the policy it listed but the details are incorrect, amend it as necessary.

If the policy is not listed click 'Add New Policy' to create a new Policy record– See The Policy is Not Listed below

Once you have amended the existing policy or created the new contact and/or new policy, click the Black/Back Arrow

It will take you back to the Account Item where you can now enter the policy number and continue entering commission - re-enter the policy number in the next row and continue

The Contact is Not Listed

Click the Add New Contact button. Enter any information about the contact that is shown on the commission statement (See \LUDIQUE\Help\Data Entry Protocols.doc for more detailed information on adding new contacts). Put a dot (.) after _Address not known in the address field if the address is not known

Click the Black/Back Arrow – it will take you back to the Check Policies List. You also need to add the new policy before you can go back to enter the commission.

The Policy is Not Listed

Click the Add New Policy button. Enter the New Policy Details including any information that may be gleaned from the commission statement. (See \LUDIQUE\Help\Data Entry Protocols.doc for more detailed information on adding new policies)

NB: If when entering a new policy you find that the Provider or Company are not listed, select Unknown in both fields. If you proceed to add a new Provider or Company while in the middle of a commission statement, the database will not be able to find its way back to the account item and might crash.

Click the Black/Back Arrow – it will take you back to the Check Policies List

Click the Black/Back Arrow – it will take you back to the Account Item where you can now enter the policy number and continue entering commission

Speed Up Commission Data Entry

Use the duplicate button on the toolbar to duplicate a row

Automatically Adding Policies to commission

Click Auto-Add Policies.

The policies will be listed in order of the contact's surname. If your commission statement lists policies in order of the policy number, put your cursor in the policy field on any row and A-Z the list

Change the amount, commission type, frequency (as appropriate) and due date (if required)

Click Delete Zeros. Any rows with a zero amount will be deleted and, if no due date has been entered, the date of the account item will be automatically entered in the due date field.

Any policies that have not received commission before will not be automatically added and should be selected in the normal way

DATABASE ADMINISTRATION

DATA BACKUP

It is a good idea to back up your data occasionally (for advice on how frequently, please contact support@ludique.co.uk

To back up your Data

From the Main Menu click Exit Database

Click Database Administration

Click Data BackUp

A security warning will pop up which is asking if it is OK to access your data file in this way, click Open

Another security warning will pop up asking if it is OK to create the new backup file, click Open

Finally a message will pop up saying that your data has been backed up to the Backups folder and tagged with the date and time it was backed up, click OK

FUND DATA BACKUP

If you have created new funds since LUDIQUE was installed, It is a good idea to back up your fund data occasionally (for advice on how frequently, please contact support@ludique.co.uk

To back up your Fund Data

From the Main Menu click Exit Database

Click Database Administration

Click Fund Data BackUp

A security warning will pop up which is asking if it is OK to access your data file in this way, click Open

Another security warning will pop up asking if it is OK to create the new backup file, click Open

Finally a message will pop up saying that your data has been backed up to the Backups folder and tagged with the date and time it was backed up, click OK

DATA CLEANUP

How to CleanUp Your Data

From the Main Menu click Exit Database

Then click Database Administration

Before Cleaning up your data, it's a good idea to back it up first. See Data BackUp above

You should also understand what the data cleanup will do. See What does Data CleanUp Do? below

Click Data CleanUp and then OK to proceed

A message will appear when the Data CleanUp is completed – click OK

What does Data CleanUp Do?

Reciprocate Partners

Where a contact has a partner, but the partner is not linked back to the contact, these relationships are reciprocated. Also, where partners have the same surname they are marked as 'Married'.

Primary/Non-Primary Contacts

The Primary box on the Contact record is checked for Male contacts with a partner, unchecked for female contacts with a partner and check for contacts with no partner.

Gender

All contacts with the Title 'Mr' are marked as 'Male' and contacts with the title Mrs, Miss or Ms are marked as 'Female'.

Contact Category

Contacts with live policies are changed to 'Client', clients with no policies are changed to 'Contact', clients whose policies have all ended are changed to 'Inactive Client'. NB: This will only affect contacts which are categorised as Contact, Client or Inactive/Passive. It will not change clients which are e.g. Gold, Premier, Deceased, Corporate, Trust, etc.

Adviser/Paraplanner/Introducer

If the Previous Adviser/Paraplanner is the same as the Adviser the Paraplanner is deleted, if an adviser or paraplanner are given but no Introducer, the Introducer is changed to the adviser or paraplanner

Commission Checkbox

The box is unchecked for any policies that have ended and checked for any policies that are being processed.

Policy Status

Policies are being processed and have a policy status such as 'Recommended' or Submitted' are changed to In Force if they have received commission. See Database Administration, Policy Status for details

Policy Print and Policy Fund Print

Policy Include in Print and Fund Include in Print boxes for policies which have ended.

Policy Replacement Checkbox

The 'Replacement' check box on the policy record is checked for all policies which have a product type which includes the word 'Transfer'

Fund Format

Fund format is changed to N/A for all policies ended and those which have products that have no value e.g. Insurance, Mortgages.

Fund format is changed to Single Fund for current policies which have 1 current fund (this does not affect policies marked as 'Actively Managed').

Fund format is changed to Multiple Funds for current policies which have more than 1 current fund (this does not affect policies marked as 'Actively Managed' or 'Partially Managed'.

Fund Unit Type

Fund Unit Type is changed to Variable for policy funds which have not ended and a regular premium is being paid.

Fund Unit Type is changed to Zero for the policy funds of all policies and funds that have ended.

Policy Risk

Udated to N/A for products which carry no risk – i.e. products which are not an investment or have no value.

The Policy Risk for Actively Managed policies is updated to Variable and Partially Managed Policies to Mixed.

Commission

Any commission with missing dates is updated to the date of the account item and any Zero amounts are deleted.

Communication Duration

If a start time and end time has been entered the duration of a communication is calculated and automatically entered.

Policy Term

If a start date and end date have been entered the term is calculated and automatically entered.

Fund Price Update

The most recent fund price entered as an action is copied to fund record (if it is more recent).

Replacement Policies

The Replacement checkbox is updated on Policies with a product type which has been checked to indicate that it is a transfer/replacement or which has the word transfer or replacement in it or which has the 'Replacement' box checked. See Providers, Companies, Products and Funds; Product Types a list of product types.

ADDING ITEMS TO LOOKUP LISTS

New items may be added to most drop down lists. The method for adding new items depends on the type of record.

Major Records

Contact

Contacts & Policies, Add New Contact

Policy

Contacts & Policies, Add New Policy or

Contacts & Policies, Search Policies, Add New Policy or

Add New Policy from a Contact record Policies tab

Provider

Providers, Companies, Products and Funds; Providers List, Add New Provider

Company

Providers, Companies, Products and Funds; Companies List; Add New Company or

Provider record, Add New Company

Advert (Promotion)

My IFA Registers and Staff Records; Advertising

Other Lists

Automatic Method

Simply type what you want in the field. If the item is not in the list you will be asked if you want to add it.

NB: Items added by this method can only be deleted by a LUDIQUE support technician.

The following fields are 'Automatic'

Context	Field
Accounts	ACCOUNTS NAME TYPE
Commission	COMMISSION TYPE
Communications	COMMUNICATION TYPE
Company	COMPANY TYPE

Contact	ADDRESS TYPE
Contact	CLIENT FEE CATEGORY
Contact	CLIENT FEE PAYER
Contact	EMPLOYMENT STATUS
Contact	MARITAL STATUS
Policy	PAYMENT METHOD
Switches	SWITCH COMPANY

LookUp Lists Method

These are accessed via Exit LUDIQUEforIFAs, DATABASE ADMINISTRATION, LookUp Lists. You will be asked (repeatedly!) if you are sure you want to make any changes as any change made here will affect every occurrence of the item throughout the entire database.

Context	Field
Accounts	ACCOUNTS NAME
Accounts	ACCOUNTS SUBCATEGORY
Attributes	ATTRIBUTE
Contact	ATTITUDE TO RISK
Contact	CONTACT CATEGORY
Policy	POLICY STATUS
Policy	ACTION TYPE
Product	PRODUCT TYPE

Not Allowed

It is not possible to add items to certain drop down lists as they are determined either by the FSA or system requirements.

Context	Field
Accounts	ACCOUNTS CATEGORY
Attributes	ATTRIBUTE AREA
Complaints	COMPLAINT CATEGORY
Contact	CONTACT ORIGIN
Contact	MAINTENANCE TYPE
Contact	RESIDENTIAL STATUS
Contact	SEX
Contact	TAX STATUS
Funds	FUND
Funds	FUND CATEGORY
Funds	FUND MANAGEMENT COMPANY
Funds	FUND PROVIDER
Funds	FUND TYPE
Funds	UNIT TYPE
Policy	ADVERT TYPE
Policy	ADVICE CATEGORY
Policy	AGENCY
Policy	POLICY CHARGE TYPE
Policy	POLICY FUND FORMAT
Policy	POLICY ORIGIN
Product	PRODUCT

Product	PRODUCT GROUP
Product	RMAR CLASS
Various	RISK

LUDIQUEforIFAs**

Compliance Checks

CONTACTS

Data Check	Search Criteria	Action
Contract Issued but Not Signed	Contract Issued = Any Date; Contract Signed = No Date	Chase up Adviser/Client for signed copy
Client Relationship has ended	Client End Date = Any Date	Review Contact Category, Fee Category, Not included in Mailshot, delete next review/valuation date
Deceased Clients	Contact Category = Deceased	Change Fee Category, Not included in Mailshot, delete next review/valuation date, put an X in front of their Client Ref No. Ensure that the deceased client is no longer shown as the partner of their widowed spouse and the spouses record as appropriate. Check all policies to ensure that they have been dealt with as appropriate.
No Fact Find	Contact Category = Client; Fact Find = No Date	Chase up Adviser/Client
No Money Laundering	Contact Category = Client; Money Laundering = No Date	Chase up Adviser/Client
No Date of Birth	'Current' Contact; Date of Birth = No Date	Check file or chase up Adviser/Client
Fees Paid/Due	Fee Paid/Fee Due = e.g. Last Month	Generate Invoices (Letters, etc; Client Review; Contact Letter – Client Fee Invoice) Update to new date

POLICIES

Data Check	Search Criteria	Action
_Admin Policies	Contact = _Admin	Enter/Select correct Contact (if applicable)
Policies being processed	Policy Status Type = Processing	Expedite processing or mark as NTU
No Policy Number	Policy Number "is null"	Check file or call provider
Transfer of Agency	Agency = Transfer of Agency Sought	Call client or provider to expedite
Authority to Enquire	Agency = Authority Sought	Call client or provider to expedite
Transferred Policy date	Agency = Transferred to My Agency Date Transferred = No Date	Check file or call provider
Recommendations not followed up	Date Discussed = Any Date Date Submitted = No Date	Expedite processing or mark as NTU
Research Required	Date Discussed = This Week* Date Researched = No Date *or This Month	Complete research and enter date
Key Features/Suitability Letter not sent	Date Submitted = Any Date Key Features = No Date Or Suitability Letter = No Date	Send out Key Features or create Suitability Letter or enter dates they were done
Policies Ended	Policy Status = Ended	Check Included in Reports and Commission Payable are unchecked Review/amend client category or Run Data CleanUp to auto-update

Keyboard Shortcuts

Useful Shortcuts for All Users[1]

Moving between Fields

To move to the next field	**TAB**
To move to the previous field	**SHIFT+TAB**

Entering Data in a Form

To insert the current date	**CTRL+;** (SEMICOLON)
To insert the current time	**CTRL+SHIFT+:** (COLON)
To insert the value from the same field in the previous record	**CTRL+'** (APOSTROPHE)
Check/Uncheck a checkbox or switch between options	**SPACEBAR**
To insert a new line (e.g. in a notes field)	**CTRL+ENTER**

Copying, Moving, and Deleting Text

To copy the selection to the Clipboard	**CTRL+C**
To cut the selection and copy it to the Clipboard	**CTRL+X**
To paste the contents of the Clipboard at the insertion point	**CTRL+V**
To delete the selection or the character to the left of the insertion point	**BACKSPACE**
To delete the selection or the character to the right of the insertion point	**DELETE**

Sorting and Filtering Data

To sort data in the selected field or total in ascending order (A–Z, 0–9)	**CTRL+SHIFT+A**
To sort data in the selected field or total in descending order (Z–A, 9–0)	**CTRL+SHIFT+Z**
To turn AutoFilter on or off	**CTRL+T**

Zooming In

To display the complete hyperlink address for a selected hyperlink	**F2**
To open the Zoom box to conveniently text in small input areas	**SHIFT+F2**

Finding and Replacing Text or Data

To open the Find tab in the Find and Replace dialog box	**CTRL+F**
To open the Replace tab in the Find and Replace dialog box (Datasheet view and Form view only)	**CTRL+H**
To find the next occurrence of the text specified in the Find and Replace dialog box when the dialog box is closed	**SHIFT+F4**
To send the form or report on the screen as an e-mail message	**ALT+F+E**

Undoing Changes

To undo typing	**CTRL+Z** or **ALT+BACKSPACE**
To undo changes in the current field or current record	**ESC**
To undo the current record	**ESC twice**

Using Combo Boxes and List Boxes

To open a drop down box	**F4** or **ALT+DOWN ARROW**
To move to the next item in the drop-down list for a field	**Arrow keys**
To close the drop-down list for a field and apply any changes you made	**ENTER**
To close the drop-down list for a field without applying your changes	**ESC**
To move down one line	**DOWN ARROW**
To move up one line	**UP ARROW**
To exit the combo box or list box	**TAB**

Print Preview

To open the Print dialog box	**P** or **CTRL+P**
To open the Page Setup dialog box	**S**
To move to a specific page by using the page number box	**F5** (the page number, then **ENTER**)

For keyboard shortcuts in which you press two or more keys together, the keys to press are separated by a plus sign, like this: **SHIFT+F10**.

For shortcuts in which you press keys one after the other, the keys to press are separated by a comma, like this: **ALT**, **F**, **X**.

---

[1] For a complete list of Access shortcuts, see http://www.ddmcomputing.com/access/keys/acsk01.htm. Please note however, that shorcuts found at this website which relate to the database window, query design, datasheets, pivot table and some navigation methods are not available in LUDIQUE.