Maximizer®

CRM Wealth

Getting Started Guide

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Applicability

This document applies to Maximizer CRM Wealth Management Edition and Maximizer CRM 2015 software.

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Maximizer CRM for Wealth Management

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Introduction

Maximizer CRM Wealth Management Edition is a complete solution to help investment advisors easily manage and build their ‘book of business’ with a simple to use, highly secure and easily customized solution. It includes user-defined fields, saved searches, document templates, Action Plans, Dashboards and other items created with the wealth management professional in mind.

How to Use this Document

This document describes the features of Maximizer CRM Wealth Management Edition and explains what makes it different from the regular version of Maximizer CRM. The information in this manual is meant as a compliment to the main Maximizer documentation.

Wealth Management Solution Overview

Maximizer CRM Wealth Management Edition is an easy to use, powerful solution to help investment advisors manage client relations, build book of business value, and streamline their practices. It’s the only simple to use, highly secure, and easily customized CRM solution for wealth management professionals.

'One View' Client Profile

Ensure you have the most crucial customer information available immediately within one clear client profile. A detailed client summary provides a one-glance view of essential information about your client including personal information, investment summary or any detail crucial to your business. The information you need is easily available to gain a deeper insight into a client's interests and offer services tailored to individual needs.

'Know Your Client'

Easily develop a comprehensive client profile by capturing standard 'Know your client' information within an intuitive and time saving client profile. See all crucial client documentation and track compliance-regulatory checklists in one place. Avoid time consuming paper work with easy to use Microsoft Word templates to pre-populate KYC details for client reviews.

Streamline Common Practices

Use easily adapted 'action plans' to manage repeatable standard practices like new client onboarding, trade recommendations and standard client acquisition processes. With 'action plans' you can ensure the accuracy, consistency and compliance of all customer interactions. By eliminating time consuming administration you can focus on meaningful client engagements.

Monitor Metrics and Track Results

Built-in dashboards and reporting tools help you effectively manage performance and track key metrics crucial to any wealth management practice. Easily customize dashboard views to meet the needs of individual advisors, business units and management

Manage Relationships - Anywhere, Anytime

Keep connected to clients no matter where you are with secure access to a client's complete profile over any smartphone or tablet. Update existing client requests, instantly respond to new prospects and manage your business while out of the office.

Differences from Maximizer CRM

Some terms used in the Wealth Management Edition have been changed from the terms used in Maximizer to make them more applicable to Wealth Management professionals. The following terms are different:

Default Maximizer CRM	**Maximizer CRM for Wealth Management**
Address Book	Contact List
Individual	Household
Company Library	Office Documents
Company Announcements	Daily News
Customer Service	Client Service

Keep these differences in mind when you search for more information on using any of the general features in Maximizer CRM.

Getting Help

Maximizer Help is your comprehensive guide to working with the Maximizer modules. As you work with Maximizer, you probably already know what business task you want to accomplish—such as sending an email to many recipients, and recording your contact management information. Maximizer's help and guides have the answers you are looking for.

The types of documentation you can expect to find to help you with Maximizer include:

- **Online Help –** Online step-by-step instructions with a table of contents, an index, and search.
- **Online manuals –** Printable version of the online help that you can read using Adobe Acrobat Reader.

Open the Online Help

You can look up Help topics the same way you would in a book—the table of contents lists the topics in a logical order, and the index lets you look up topics by keyword. Maximizer Help also lets you perform a search for any word or words in any topic.

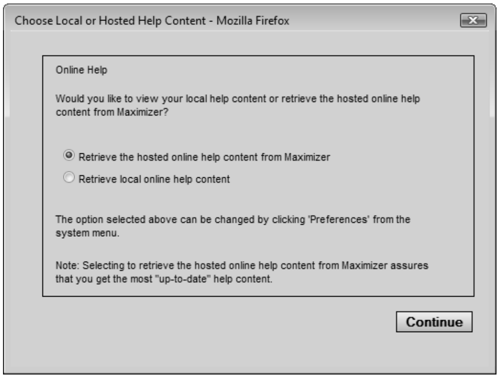
You can access the online help over the Internet or stored on your server. When you first open the online help, you are prompted to choose which version of the help you want to access. You can later change this setting in your preferences. The version of the online help on the Internet may contain more up-to-date information than the version stored on your server.

1. In the top-right corner of a page, following pane, or dialog box, select the **Help on the current page** icon.

   If it's your first time accessing the online help, you are prompted to choose the source of the help content.

2. If necessary, select the source of the help content, and click **Continue**.

   - To view the most up-to-date content over the Internet, select **Retrieve the hosted online help content from Maximizer**.
   - To view content stored on your server, select **Retrieve local online help content**.



If you're accessing the online help from a specific page or dialog box, information associated with that page/dialog box is displayed.

View Video Tutorials

Some pages and dialogs provide links to video tutorials that walk through how to make the most of the features in Maximizer. Video tutorials are available in any page, following pane, or dialog box where the Video help icon is displayed. You can also view a list of all video tutorials from the Help menu.

- Select the **Video Help** icon.

  A new browser window opens and displays the video tutorial.
- In the top-right corner of the page, select **Help > Video Tutorials**

  All current video tutorials are displayed.

Setting Up Maximizer CRM Wealth Management Edition

When you install Maximizer CRM Wealth Management Edition, a new database is created on an existing Maximizer CRM Server installation. The Wealth Management database includes sample users and other sample data. After the installation, you should log in to the new database using the Administrator user. You can then modify the properties of this user and change settings in the database. Before adding your own data to the database, you should delete all sample data and disable the default users.

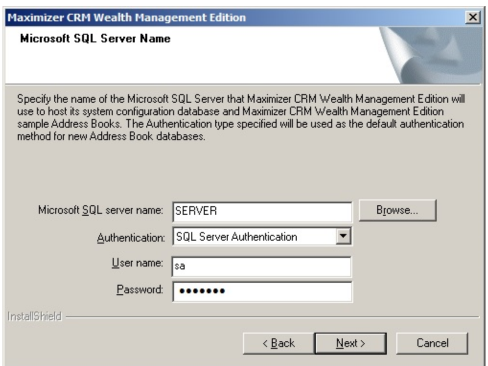
Install Maximizer CRM Wealth Management Edition

Maximizer CRM Server Group or Enterprise Edition must be installed before you can install Maximizer CRM Wealth Management Edition.

1. Insert the Maximizer CRM Wealth Management Edition installation media.?

   The setup starts automatically.
2. Select **Install Maximizer CRM Wealth Management Edition**.

   The InstallShield Wizard starts.
3. Click **Next**.
4. Enter or select the SQL Server where Maximizer CRM Server is installed.
5. From the **Authentication** drop-down list, select the authentication method: **SQL Server Authentication** or **Windows Authentication**.
6. If you are using SQL Server Authentication, enter the SQL administrator **User name** and **Password**.



7. Click **Next** to begin the installation.
8. When the installation is complete, click **Finish**.

Default Users

Maximizer CRM Wealth Management Edition comes with default users to help illustrate the roles different users may take using Maximizer. The following users are included:

- Administrator
- Advisor
- Assistant
- Associate

If you don’t have enough licenses for the default users, you will be prompted to disable the users when you first log in. You must log in to the Administrator module to disable the extra default users. The Administrator, or MASTER, user is always enabled.

You should use the Administrator user, with the MASTER User ID, when you first log in to Maximizer. This user has access to all modules and commands in Maximizer. The user is set up with a name, title, picture, and email address. You should customize these user properties when you first log in.

Log In to Maximizer CRM Wealth Management Edition

You can log in the Wealth Management database as the Administrator user using MASTER as the user ID and control as the password. You can use this User ID to explore the Maximizer interface.

1. Enter the Maximizer URL in a web browser.

   The URL is set by your system administrator. Typically, the URL would look like the following:

   http://[YourServerName]/MaximizerWebAccess/Default.aspx
2. From the **Log in to** drop-down list, select **Wealth Management Edition**.
3. In the **User ID** field, enter **master**.
4. In the **Password** field, enter **control**.
5. Click **Log In**.

Update your User Properties

You should update the user properties of the Administrator user when you first log in to Maximizer. In particular, you should specify a current email address for this user.

1. In the top-right corner of the page, click on your display name next to Current User.

   The display name for the MASTER user is Administrator.

   The user Properties dialog box opens.
2. Update your personal information, such as your Name, Main address, Phone numbers, and Email address/Website.
3. Under the image in the **Name** area, click **Upload**.

   The Upload Photo dialog box opens.
4. Click **Browse** and browse to an image to use on your profile.
5. Click **Save Photo** to associate the image with your user profile.
6. Click **OK** to save the change to your user properties.

Change the Name of the Wealth Management Database

When you install Maximizer CRM Wealth Management Edition, the name of the database is set to Wealth Management Edition. You can change the name of the database in the Administrator module.

1. In the left navigation pane, hover your mouse over **Administration**, and select **Administrator** from the pop-up.

   The Administrator module opens.
2. In the left pane, under **Preferences**, select **System Options**.
3. Click **Modify Options**.
4. Next to **Contact List name**, enter the new name of the database.
5. Click **Save** to save the changes.

Sample Data

The Maximizer CRM Wealth Management Edition database comes with sample data to help illustrate the features of the program. The following sample entries are included.

- Contact List entries.
- Opportunities
- Hotlist tasks
- Default users

Before using the program with your own data, you should delete the sample data. When you delete Contact List entries, the opportunities and Hotlist tasks associated with the entries are deleted. If you want to keep the sample users in the database, you can disable the users so they do not take up user licences.

Delete All Sample Data

To complete this procedure, you must have Delete permission for Contact List entries.

Use this procedure to delete all Contact List entries in the database. This procedure is intended for sample data only. You should perform this procedure before you add your own entries to the database. All opportunities and Hotlist tasks associated with the entries are also deleted from the database.

1. On the Contact List page, select **Search > Search Catalog**.
2. Select **All** and click **Retrieve**.

   All Contact List entries in the database are displayed.
3. Select **Edit > Select All**.

   All entries in the list are selected.
4. In the View bar, select the **Delete** icon.

   A warning message appears confirming the deletion.
5. Click **OK** to delete all entries.

Disable Default Users

You can disable the default Adviser, Assistant, and Associate users so they do not consume user licenses. You cannot disable the Administrator, or MASTER, user. It consumes a user license only when you are logged in to that account.

The other user accounts (EMAILUSER, WEBUSER, and COMPANY) are system accounts. You should not disable these accounts. They do not consume user licenses.

1. In the left navigation pane, hover your mouse over **Administration**, and select **Administrator** from the pop-up.

   The Administrator module opens.

2. In the left pane, click **Users**.

   The list of users is displayed

3. Click on the ID of one of the default users.

   The IDs of the default users are **DDENNIS**, **DJACKSON**, and **JYIM**.

   The user properties are displayed.

4. Under **Module login**, from the **Web access** drop-down list, select **Disabled**.

5. Click **Save**.

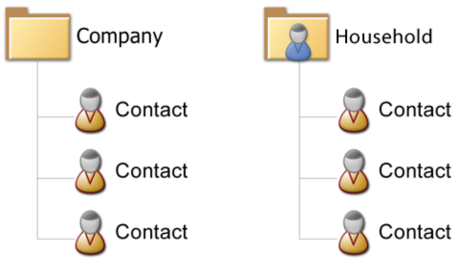
6. Repeat Step 3 to Step 5 for the two other default users.

Adding New Contacts

When you add a new contact to Maximizer Wealth Management edition, you must add the Contact to an existing Household. First, add a new Household, and then add the Contact to the Household. If the Contact is for a business, you can first create a Company instead of a Household, and then add the Contact to the Company.

Data Structure

Every Contact in the system must be associated with either a Household or a Company. Contacts cannot exist on their own in Maximizer.



If you have a single Contact who doesn't belong with anyone else, you must create a Household or a Company in Maximizer for that Contact.

Households and Contacts are separate entries in Maximizer. You can store information in both entries. However, updating the information in one of the entries won't automatically update the information in the other entry. You should choose which entry should contain the financial information and primarily work with that type of entry.

Record Type

The Record Type field is a mandatory field that must be set when you create new Household and Contact entries. The Record Type field is used to define many of the predefined searches and dashboard indicators. The following values are used in saved searches

- **Client –** Used in all searches and dashboard indicators that return information on clients. This is the value you will likely use for most of your contacts.
- **Prospect –** Used in searches that return information on prospects.

The other values in the field are for any other contacts that you want to store in the Address Book.

If you import a list of existing clients into the Wealth Management Edition database, you will need to edit the Record Type field in all imported entries. You can use the Global Edit command (Edit > Global Edit) to modify multiple entries at the same time.

Add a Household

1. Select the **Contact List** icon to open the Contact List page.
2. Select **Edit > Add Household**.

   – or –

   Next to **Add** in the view bar, click **Household**.

   The Details following pane opens with blank fields for your new entry.
3. On the left side of the Details tab, enter basic information for the Household.
4. From the **Key Fields for** drop-down list, select the **Basic Info** Key Fields list.
5. In the **Record Type** field, select the type of entry you are adding.

   If the entry is for a new client, select **Client**.
6. Enter values for any of the other fields, and click **Save** to save the new entry.

   You may want to leave most of the fields empty in the Household entry and specify financial details in the Contact entries.

Add a Contact

1. Select the **Contact List** icon to open the Contact List page.
2. In the main list, select the Household entry associated with the Contact.
3. Select **Edit > Add Contact**.

   – or –

   Next to **Add** in the view bar, click **Contact**.
4. In the left of the Details tab, enter basic information for the Contact.

5 From the **Key Fields for** drop-down list, select the **Basic Info** Key Fields list.

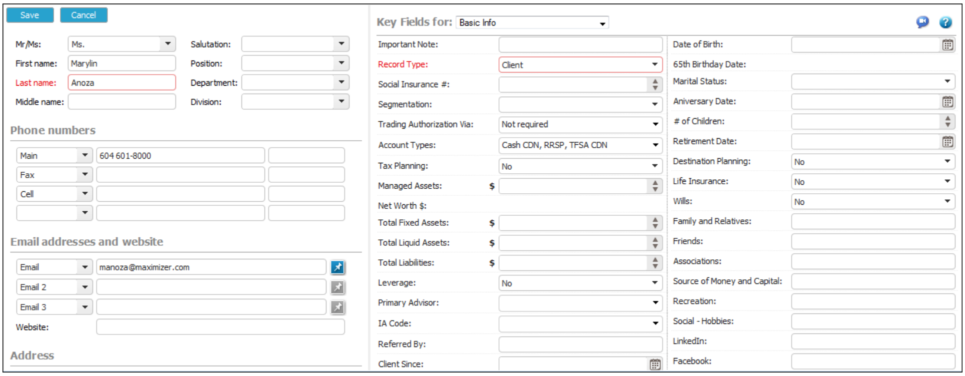
6 In the **Record Type** field, select the type of entry you are adding.

The value in this field should match the value specified for the Household.

7 Enter values for any of the other fields.

From the **Key Fields** drop-down list, select other Key Fields lists to enter additional information for the entry.

8 Click **Save** to save the new entry



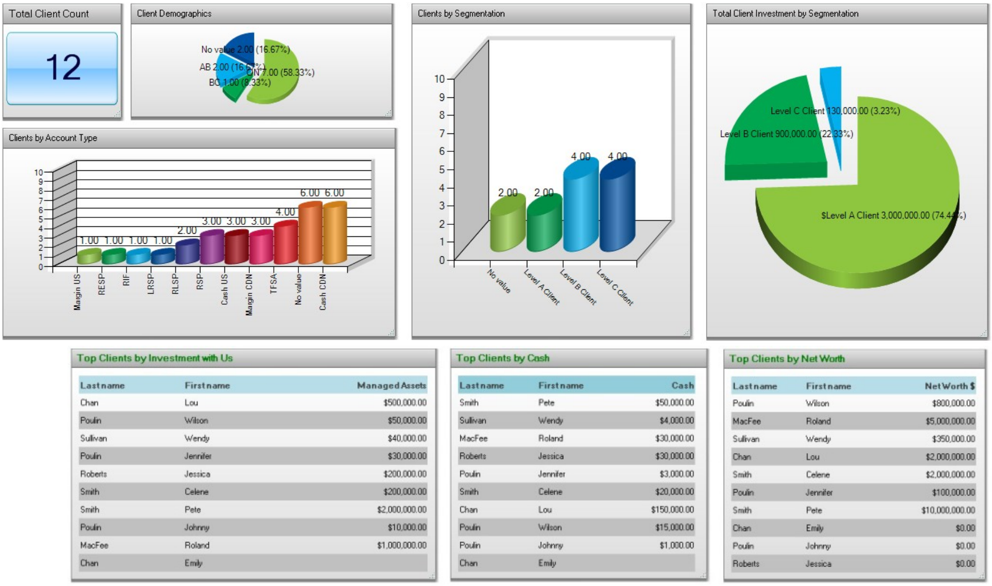
Items Included in the Wealth Management Edition

The Maximizer CRM Wealth Management Edition includes a number of pre-configured items to help financial professional get up and running quickly using Maximizer CRM. The solution comes with user-defined fields, dashboards, Key Fields lists, saved searches, column setups, and Action Plans. All pre-configured items are designed with the financial professional in mind. You should be able to use the solution out-of-the-box without any further customizations. However, as with any version of Maximizer CRM, the solution is highly customizable. You can modify or delete any items included with the solution, and you can create new items that better meet your specific needs.

Dashboards

Maximizer Dashboard provides you an instant view of various metrics measuring your activities and your performance in real time. With the appropriate metrics, you will be able to see which areas are doing well and which areas need attention. Management can also use Dashboards to help proactively adjust tactics, resources and follow-up activities important to the success of the company.

The Wealth Management Edition includes a number of predefined dashboards. The dashboards help illustrate the power of the solution. As well, dashboard metrics provide insight into client segmentation, as well as the actions and events related to the client database as a whole.

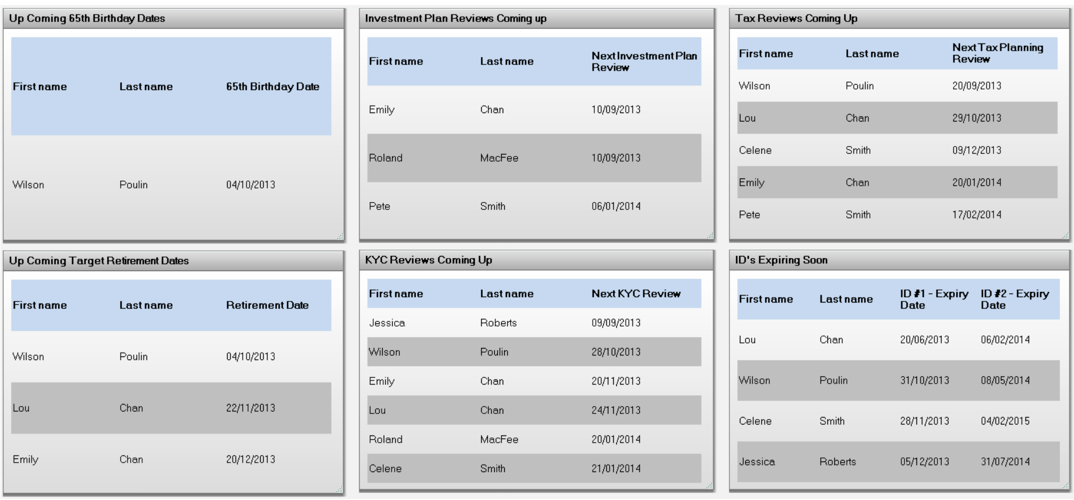


Lastname	Firstname	Managed Assets
Chan	Lou	$500,000.00
Poulin	Wilson	$50,000.00
Sullivan	Wendy	$40,000.00
Poulin	Jennifer	$30,000.00
Roberts	Jessica	$200,000.00
Smith	Celene	$200,000.00
Smith	Pete	$2,000,000.00
Poulin	Johnny	$10,000.00
MacFee	Roland	$1,000,000.00
Chan	Emily	

Lastname	Firstname	Cash
Smith	Pete	$50,000.00
Sullivan	Wendy	$4,000.00
MacFee	Roland	$30,000.00
Roberts	Jessica	$30,000.00
Poulin	Jennifer	$3,000.00
Smith	Celene	$20,000.00
Chan	Lou	$150,000.00
Poulin	Wilson	$15,000.00
Poulin	Johnny	$1,000.00
Chan	Emily	

Lastname	Firstname	Net Worth $
Poulin	Wilson	$800,000.00
MacFee	Roland	$5,000,000.00
Sullivan	Wendy	$350,000.00
Chan	Lou	$2,000,000.00
Smith	Celene	$2,000,000.00
Poulin	Jennifer	$100,000.00
Smith	Pete	$10,000,000.00
Chan	Emily	$0.00
Poulin	Johnny	$0.00
Roberts	Jessica	$0.00

Dashboards are very flexible and can be customized to highlight any particular information related to a client or prospect. Users can define their own dashboards and share them with the rest of the team as needed. For example, the following dashboard tracks upcoming appointments and tasks as well as various upcoming client reviews.



Up Coming 65th Birthday Dates

First name	Last name	65th Birthday Date
Wilson	Poulin	04/10/2013

Investment Plan Reviews Coming up

First name	Last name	Next Investment Plan Review
Emily	Chan	10/09/2013
Roland	MacFee	10/09/2013
Pete	Smith	06/01/2014

Tax Reviews Coming Up

First name	Last name	Next Tax Planning Review
Wilson	Poulin	20/09/2013
Lou	Chan	29/10/2013
Celene	Smith	09/12/2013
Emily	Chan	20/01/2014
Pete	Smith	17/02/2014

Up Coming Target Retirement Dates

First name	Last name	Retirement Date
Wilson	Poulin	04/10/2013
Lou	Chan	22/11/2013
Emily	Chan	20/12/2013

KYC Reviews Coming Up

First name	Last name	Next KYC Review
Jessica	Roberts	09/09/2013
Wilson	Poulin	28/10/2013
Emily	Chan	20/11/2013
Lou	Chan	24/11/2013
Roland	MacFee	20/01/2014
Celene	Smith	21/01/2014

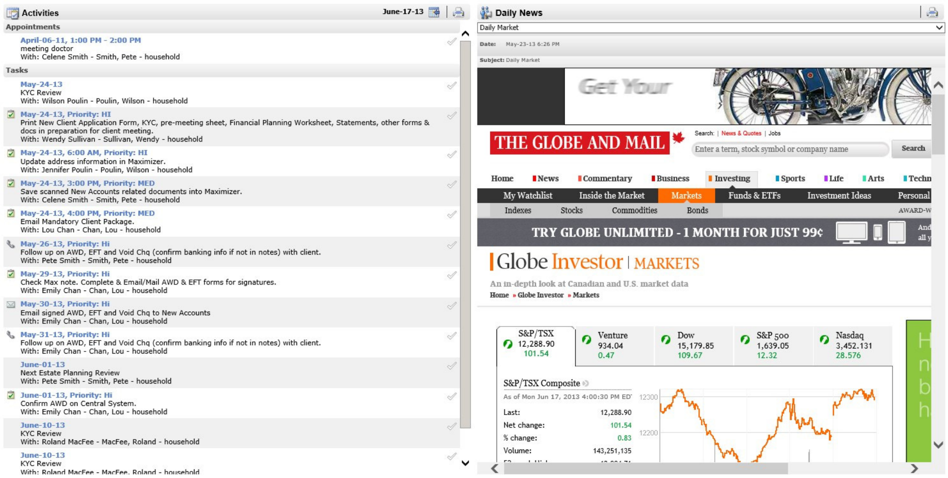
ID's Expiring Soon

First name	Last name	ID #1 - Expiry Date	ID #2 - Expiry Date
Lou	Chan	20/06/2013	06/02/2014
Wilson	Poulin	31/10/2013	08/05/2014
Celene	Smith	28/11/2013	04/02/2015
Jessica	Roberts	05/12/2013	31/07/2014

The WME Structure Info document in the Office Documents page contains a list of the dashboard indicators included in Wealth Management Edition along with their most important properties.

My Work Day Page

The My Work Day page summarizes the activities for the day. It includes lists of tasks and appointments, as well as the Daily News.



Office Documents

The Office Documents page provides shared access to a central library of documents and templates.

The Wealth Management Edition includes the following documents:

- **KYC Review Merge Document –** A Microsoft Word document with links to Maximizer fields used for KYC reviews. Print a copy of this document for your contacts before and after KYC reviews.

  You must install Word Integration for Maximizer to properly link the fields in the document with entries in Maximizer. For more information, see the Maximizer CRM online help.

- **Web Form for New Account Application –** An .HTML form designed to integrate with the Web-To-Lead Form functionality to automatically populate Maximizer fields with data from new clients.

For more information on deploying this web form to your website, see “Deploying Web Forms to Collect Client Data” on page 27.

- **WME Structure Info –** A Microsoft Excel spreadsheet containing detailed information on some of the items in the Wealth Management Edition database. It includes a diagram displaying the structure of the user-defined field folders, a list of all user-defined fields, a list of dashboard indicators with their most important properties, and a list of catalog searches used by dashboard indicators.

You can also add your own notes, documents, and hyperlinks.

User-Defined Fields

User-defined fields are custom fields used to record additional information on Maximizer entries. The Wealth Management Edition comes pre-loaded with over 400 user-defined fields defined for contacts. These fields are used in the saved searches and document templates that are included in the solution.

All relevant fields are included in Key Fields lists available in the Details tab. You can view the entire list of user-defined fields in the User-Defined Fields tab.

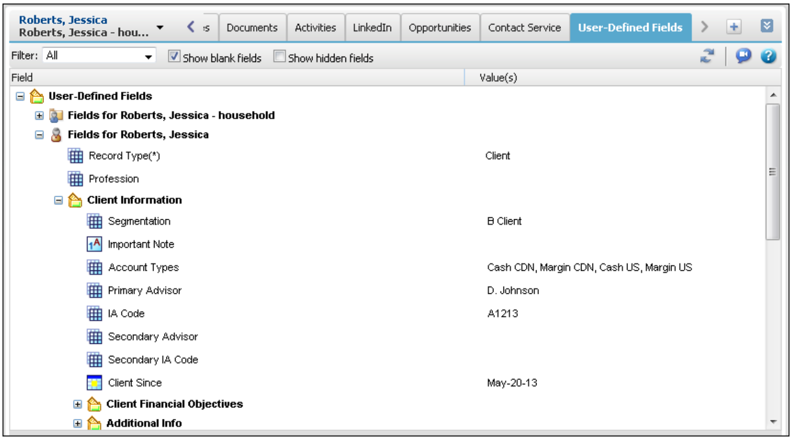
The WME Structure Info document in the Office Documents page contains information on the user-defined fields included in the Wealth Management Edition databse, including a graphical representation of the user-defined fields folders and a list of all user-defined fields.

View User-Defined Fields

1. In the Contact List page, select a Contact.
2. In the lower following pane, select the **User-Defined Fields** tab.

   The user-defined fields for the current entry are displayed.
3. If necessary, select **Show blank fields** to display the empty fields.

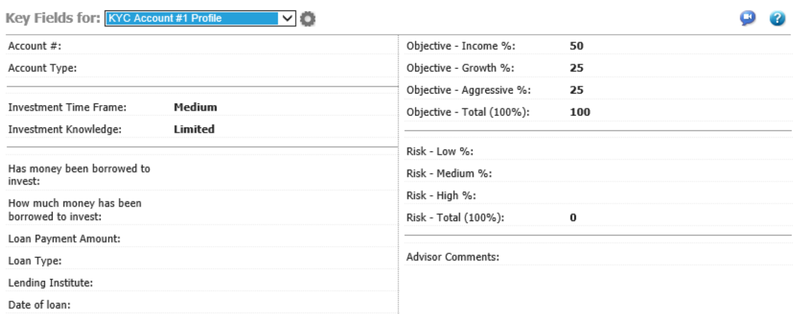
4 Open the folders to view the user-defined fields stored in the folders.



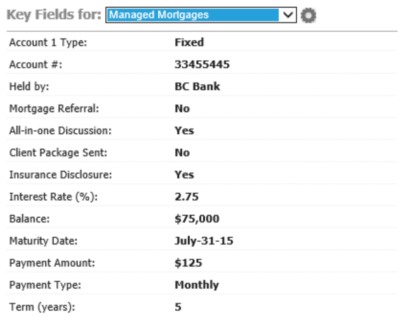
Key Fields Lists

Key Fields are important user-defined fields and system fields that are highlighted on the Details tab in Contact List entries. The Wealth Management Edition includes a number of pre-defined Key Fields lists containing the fields relevant to specific tasks.

For example, the various Know Your Client (KYC) Key Fields lists contain the fields required for gathering KYC data.



And the Managed Mortgages Key Fields list contains fields relevant to mortgages.

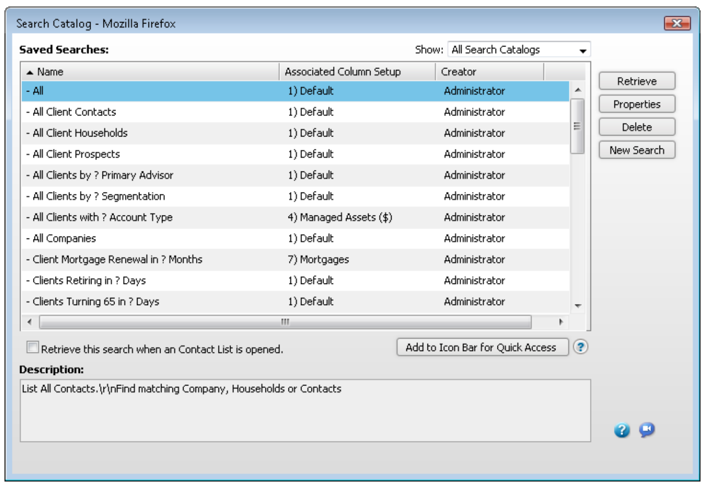


Search Catalog

The search catalog stores advanced searches so that you can retrieve the searches at a later time. Each saved search stores all of the information set up in the Advanced Search dialog box.

The Wealth Management Edition contains a number of pre-defined saved searches. These searches are used to display information in dashboard indicators. If you modify a saved search, you may change the behavior of the dashboards. The WME Strucuture Info document in the Office Documents page contains details on the saved searches used by dashboard indicators.

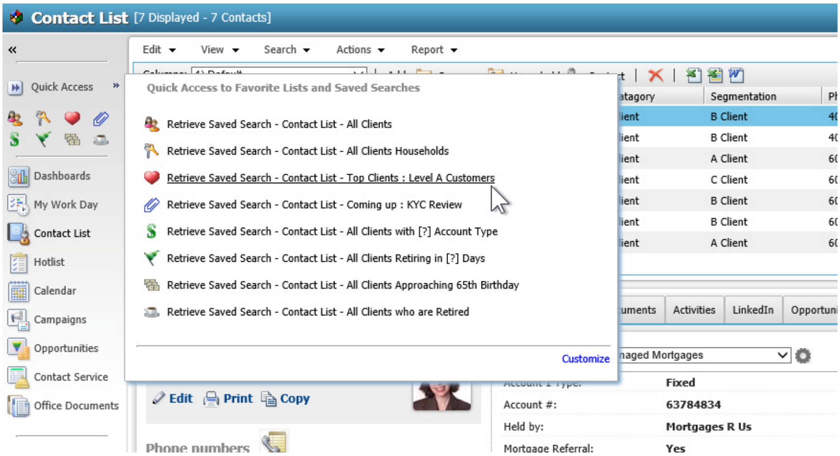
To open the search catalog, in the Contact List page, select **Search > Search Catalog**.



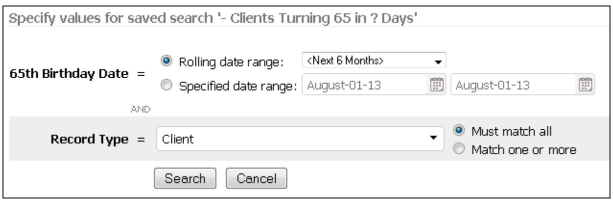
Quick Access Toolbar

The Quick Access toolbar provides one-click access to your most frequently-used saved searches and Favorite Lists. Displayed at the top of the icon bar, you can access the links from any page.

In the Wealth Management Edition, the Quick Access toolbar contains links to some of the more important saved searches from the Search Catalog.



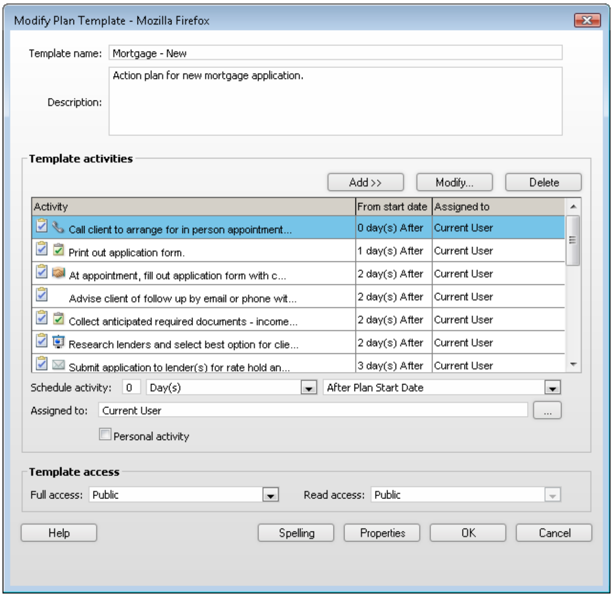
When you select certain searches in the Quick Access toolbar, you are prompted to specify the values for the search. You can change the values of these searches each time you access them.



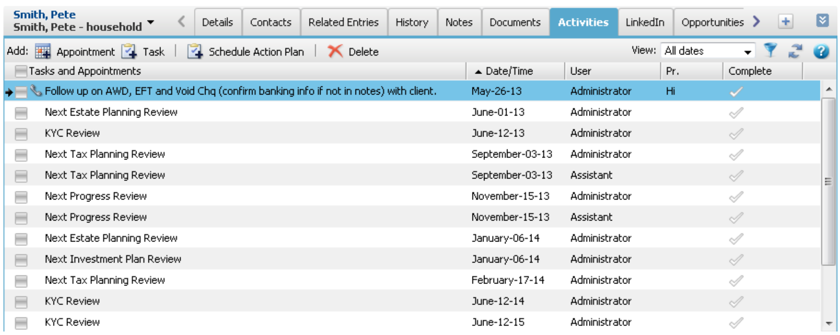
Action Plans

Action Plans are lists of pre-determined appointments and Hotlist tasks that can be scheduled all at once.

The Wealth Management Edition includes more than 20 Action Plans that break down common tasks for financial services professionals into smaller steps. For example, the Mortgage - New Action Plans contain the steps required for applying for a new mortgage, including steps for filling out application forms and submitting signed documents to lenders.



After scheduling Action Plans, you can view all Hotlist tasks included in any plans on the Hotlist page, or you can view tasks scheduled for specific Contacts in the Activities tab of the following pane.



Column Setups

Column setups contain basic and user-defined fields specific for the type of entry displayed in the page. You can specify the fields displayed in each column of the page, as well as the width and heading of the columns.

The Wealth Management Edition contains a number of pre-defined column setups displaying the most important information for various tasks you might complete in the Contact List page. For example, the

Appointments column setup contains information useful to you when you are scheduling appointments with your clients.

Name	Household/Company	Catagory	Segmentation	Investment Plan Review	Tax Planning	KYC Review	Risk Mgmt	Banking Relationship	Estate Planning	Retirement Date
Smith, Celene	Smith	Client	B Client	April-04-13						August-15-14
Poulin, Wilson	Poulin	Client	C Client	August-22-13	September-20-13	October-28-13		October-25-13		June-07-17
Chan, Lou	Chan	Client	B Client	August-23-13	October-29-13	November-24-13	October-16-13	August-29-13	December-26-13	November-22-13
Roberts, Jessica	Roberts	Client	B Client	August-29-13	March-24-14	September-09-13	October-31-13	March-25-14		November-17-15
MacFee, Roland	MacFee	Client	A Client	September-10-13	August-22-13	January-20-14	September-18-13	September-23-13	May-29-14	January-20-11
Chan, Emily	Chan	Client	B Client	September-10-13	January-20-14	November-20-13	September-10-13	September-10-13	March-18-15	December-20-13
Smith, Pete	Smith	Client	A Client	January-06-14	February-17-14	August-20-13			January-06-14	October-25-12

You can select the column setup to display from the Columns drop-down list in the toolbar.

Deploying Web Forms to Collect Client Data

With Maximizer you can create a Web-to-Lead Form to collect information from customers and leads on your website. Information submitted through the Web-to-Lead Form is entered directly into your Maximizer Address Book. The Wealth Management solution includes a Web Form to collect information from new clients. It's configured to update existing user-defined fields automatically when the form is submitted. You must deploy the web form in Maximizer and upload the files to your website.

Files Required to Deploy the Web Form

The following files are required to deploy the Wealth Management Edition web form to your website:

- **Web Form for New Account Application –** The main .HTML file containing the web form. You can download this file from the Office Documents page.

  You must modify the file using code generated in Maximizer. Then, copy it to a location on your web server.

- **Landing Page –** The page that will display after the client submits the form. You can use an existing page on your company website, or you can create a new page for this purpose, and copy it to your web server.

  You need to enter the URL for this page in the Web-to-Lead Form wizard while deploying the form.

Generate the Web Form

To complete this procedure, you must have the Allow import privilege and the required permissions for inserting and updating Address Book entries and user-defined fields.

Use the Web-to-Lead Form Wizard to generate the code required for the Web Form.

1. Log in to the Maximizer CRM Wealth Management Edition Address Book.
2. In the left navigation pane, hover your mouse over **Administration**, and select **Web-to-Lead Forms** from the pop-up window.

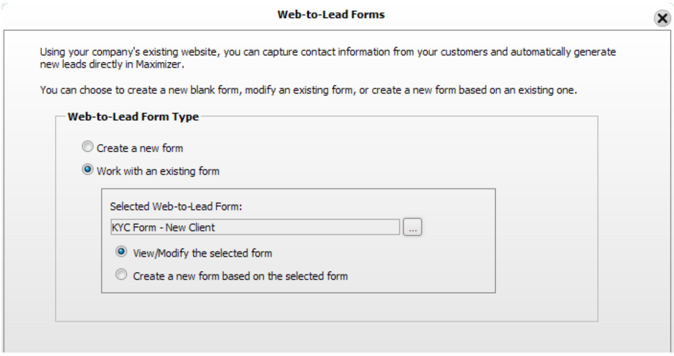
   The Web-to-Lead Forms dialog box opens.
3. Select **Work with an existing form**.

The Selected Web-to-Lead Form group becomes enabled.

4 Select **View/Modify the selected form** and click the ellipsis button for the **Selected Web-to-Lead Form** field.

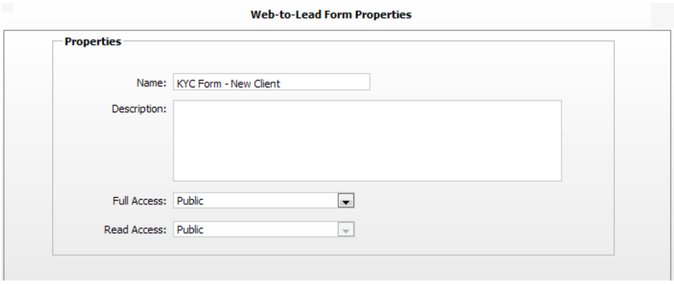
The Web-to-Lead Form Catalog dialog box opens.

5 Select **KYC - New Client**, click **OK**, and click **Next**.



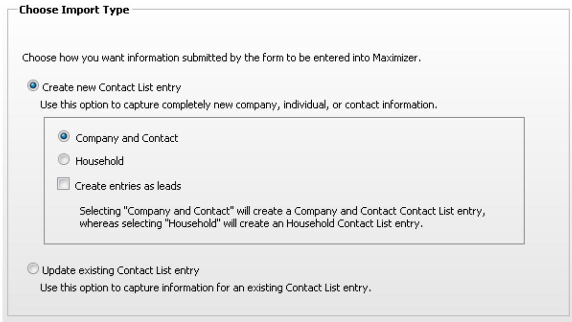
6 If necessary, modify the properties for the Web Form, and click **Next**.

You can change the name, enter a description, and change the access rights for the form.



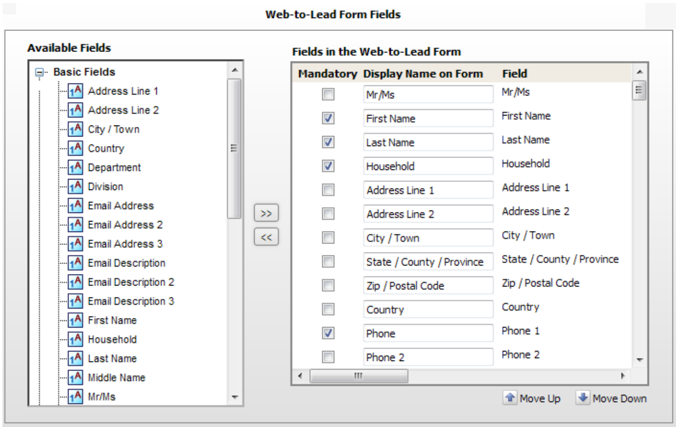
7 Keep **Create New Contact List Entry** select, and select the type of entry to create using the web form, and click **Next**.

You can choose to create new entries as Companies or as Households.

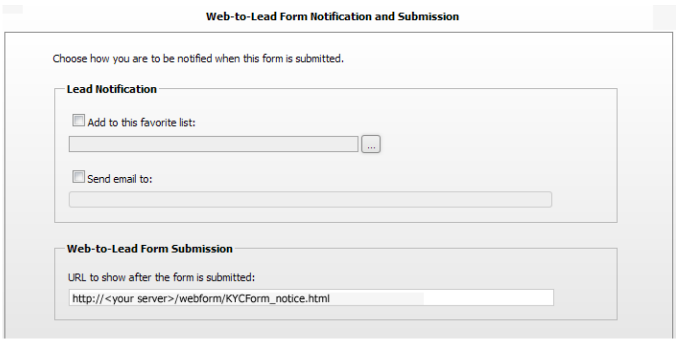


8 In the next screen, click **Next** without making any changes.

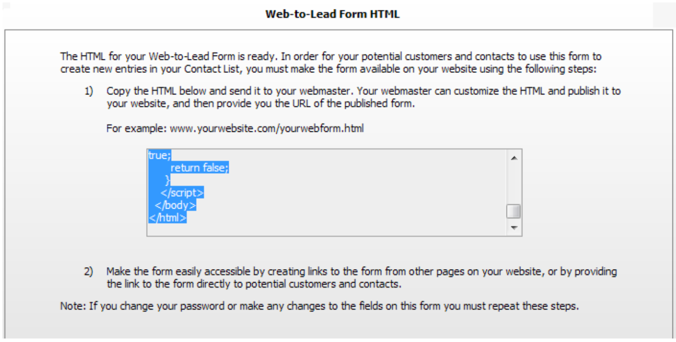
The screen sets the fields that are used in the form. The Web Form is already configured to update existing fields in the Contact List page.



9 Under **Web-to-Lead Form Submission**, specify the location of the landing page on your web server, and click **Next**.



10 In the final screen, copy the selected text, and paste it into a new .HTML document, and save the document.

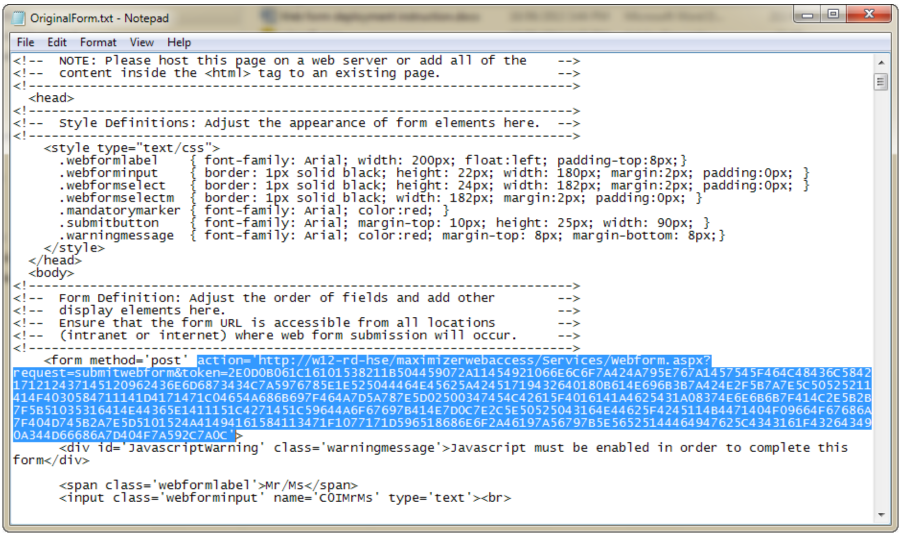


Deploy the Web Form

Use the HTML file that you created from the Web-to-Lead Form wizard to update the Web Form for New Account Application file in the Office Documents page.

1 In a text editor, open the HTML file that you saved with the code from the Web-to-Lead Form wizard.

2 Locate the **<Form>** tag, and copy the content of the **action** attribute.



3 In a text editor, open the **Web Form for New Account Application** file downloaded from the Office Documents page.

4 Locate the **<Form>** tag, and replace the **action** attribute with the text copied to the Clipboard.

```
<!-------------------------------------------------------------------------->
<!--  Form Definition: Adjust the order of fields and add other         -->
<!--  display elements here.                                            -->
<!--  Ensure that the form URL is accessible from all locations         -->
<!--  (intranet or internet) where web form submission will occur.      -->
<!-------------------------------------------------------------------------->
    <form method='post' action='http://w12-rd-hse/maximizerwebaccess/Services/Webform.aspx?request=submitwebform&token=2E0D0B061C16101538211B504459
      <div id='JavascriptWarning' class='warningmessage' align="center">Javascript must be enabled in order to complete this form</div>
```

5 Save the file and upload it to your Web server.

Using Maximizer to Collect KYC Information

Maximizer CRM Wealth Management Edition is designed to simplify common tasks performed by Wealth Management professionals. In this section, we'll explore some of the items in the solution that will help you gather Know-Your-Client data. The following tasks are covered:

- "View Contacts with Upcoming KYC Reviews" on page 32
- "Schedule a KYC Review with a Client" on page 34
- "Capture KYC Data for a Client" on page 37
- "Review and Sign KYC Documents" on page 39

View Contacts with Upcoming KYC Reviews

You can view a list of Contacts with upcoming KYC reviews in the Dashboard. You can also retrieve this list with a custom date range from the Quick Access toolbar. In the Contact List page, use the Appointments column setup to sort contacts by their scheduled review date.

View Upcoming KYC Reviews in the Dashboard

To complete this procedure, you must have Read permission for Dashboards.

1. Select the **Dashboards** icon.
2. From the drop-down list, select the **1) Upcoming Activities** dashboard.

   The Upcoming Activities dashboard tracks various activities and events occurring in the next few months.

   The KYC Reviews Coming Up indicator lists the next 10 clients with KYC reviews due.
3. Click anywhere in the **KYC Reviews Coming Up** indicator.

   The Contact List page opens displaying all clients with KYC Reviews due in the next six months.

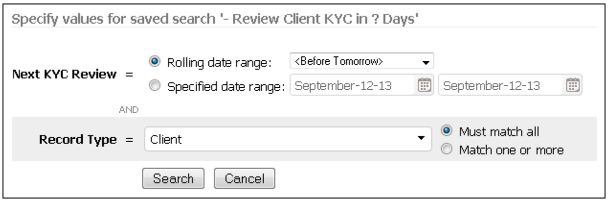
View Entries with Upcoming KYC Reviews Using a Custom Date Range

1. At the top of the icon bar, click **Quick Access**.
2. In the pop-up, select **Retrieve Saved Search - Contact List - Coming up : KYC Review**.

3 Next to **Next KYC Review**, specify the data range for the scheduled KYC reviews.

Keep **Rolling Date Range** selected, to specify a generic date range, such as this month or next 30 days.

To view contacts with overdue KYC reviews, select **Before Tomorrow**.



You can also select **Specified date range** to specify the exact start and end dates for the date range.

4 Click **Search**.

The Contact List page opens displaying all clients with KYC Reviews due in the specified date range.

Sort Entries by KYC Review Date

1 In the View bar at the top of the Contact List page, from the **Columns** drop-down list, select the **2) Appointments** column setup.

2 Click the heading of the **KYC Review** column.

The entries are resorted by KYC Review date.

Schedule a KYC Review with a Client

You can use the various time management features in Maximizer to schedule a KYC review with a client. You can create an appointment with the Contact in the Maximizer Calendar. With the correct preference set, you can automatically send email notification to the Contact while creating the appointment. Schedule one of the KYC Actions Plans to create a series of tasks in your Hotlist to remind you what steps need to be completed for the KYC review. Then, you can view the list of tasks directly from the entry.

Turn On Email Notification in your Calendar Preferences

1. In the top-right corner of the page, click **Preferences**.

   The Personal Preferences dialog box opens.
2. Click **Other Preferences**.

   The Preferences dialog box opens to the Calendar/Hotlist tab.
3. In the **Options** area, next to **Email appointment / task notification**, select **Ask**.
4. Click **OK** to save the changes to the Preferences dialog box.
5. Click **Save** to save the changes to your preferences.

Schedule an Appointment with a Contact

1. In the Contact List page, click on the Contact to schedule the appointment with.
2. Select **Actions > Schedule a Meeting.**

   – or –

   Right-click, and select **Schedule > Meeting**.

   The Add Appointment dialog box opens.
3. At the top of the dialog box, click **Scheduling** to view dates and times that you are available for the meeting.
4. Click in the time slot for the start of the meeting and drag to the time slot for the end of the meeting.
   - Select the arrows at the top of the dialog box to navigate to different weeks.
   - Under **Locations and Resources** select a location or resources that you want to reserve for the meeting.

     You can modify the list of locations and resources in Administrator.

When a meeting is scheduled with a location or resource, it is booked for the duration of the meeting.

5. Click **OK** to set the meeting time.
6. Specify any additional details for the appointment in the dialog box.
7. Click **Save** to save the appointment.

   You are prompted to send email notification to the Contact.
8. Click **OK** to send the notification.

   An email message is displayed with a summary of the appointment.
9. If necessary, customize the email notification, and click **Send**.

Schedule a KYC Action Plan for the Contact

To complete this procedure, you must have Read permission for the Action Plan Library.

The KYC Action Plan creates a series of tasks required to complete when you update KYC information for a client.

1. In the Contact List page, click on the Contact to schedule the Action Plan for.
2. Select **Actions > Schedule an Action Plan**.

   – or –

   Right-click and select **Schedule > Action Plan**.
3. From the **Plan template** drop-down list, select the **Update KYC - By Phone** or **Update KYC - In Office** Action Plan.

   Details of the Action Plan template are displayed. Optionally, you can modify the plan name and description.
4. In the **Start plan on** field, specify the date of the KYC appointment scheduled with the Contact.

   You can click the Calendar icon to choose a date from a pop-up calendar.
5. If necessary, click **Advanced** to toggle between the advanced and simplified view of the dialog box.
6. In the **Replace current user with** drop-down list, select the user to schedule the main Action Plan activities for.

   All activities in the Action Plan will be scheduled for this user.

7 Select **Skip non-work days** to schedule activities only on work days.

Any activities scheduled on a non-work day are moved to the next work day.

8 Click **OK** to finish scheduling the Action Plan.

View a List of Activities for the KYC Update

1 In the Contact List page, click on the Contact that you scheduled the KYC Action Plan for.

2 Select the **Activities** following pane.

3 In the top-right corner of the following pane, click the filter icon.

The filter options dialog box opens.

4 Under **Options**, select **Show activities of a specific action plan**.

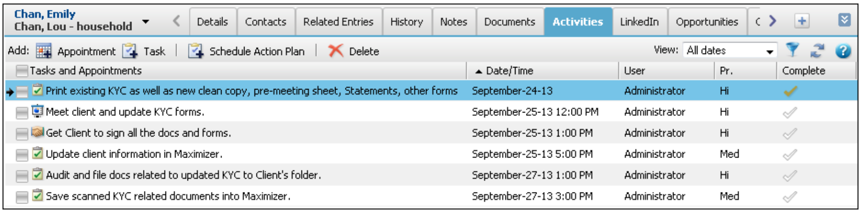
A list of all Action Plans scheduled with the entry is displayed in the drop-down list.

5 Select the Update KYC Action Plan.

6 Click **OK** to apply the filter options.

The tasks included in the Update KYC Action Plan are displayed in the Activities tab.

As you complete the activities in the list, you can click the checkmarks in the Complete column.



Capture KYC Data for a Client

You can use the Web Form included with Maximizer CRM Wealth Management Edition to capture KYC data for a new client. When you are meeting with an existing client, you can quickly view and modify KYC data directly in Maximizer.

Use the Web Form to Enter KYC Information for a New Client

The Maximizer Web Form must already be deployed in order to use it to gather KYC data. For more information, see "Deploying Web Forms to Collect Client Data" on page 27.

You can use the Maximizer CRM Wealth Management Edition Web Form to enter data for a new client. If you are entering data for an existing client, you should enter the data directly in Maximizer.

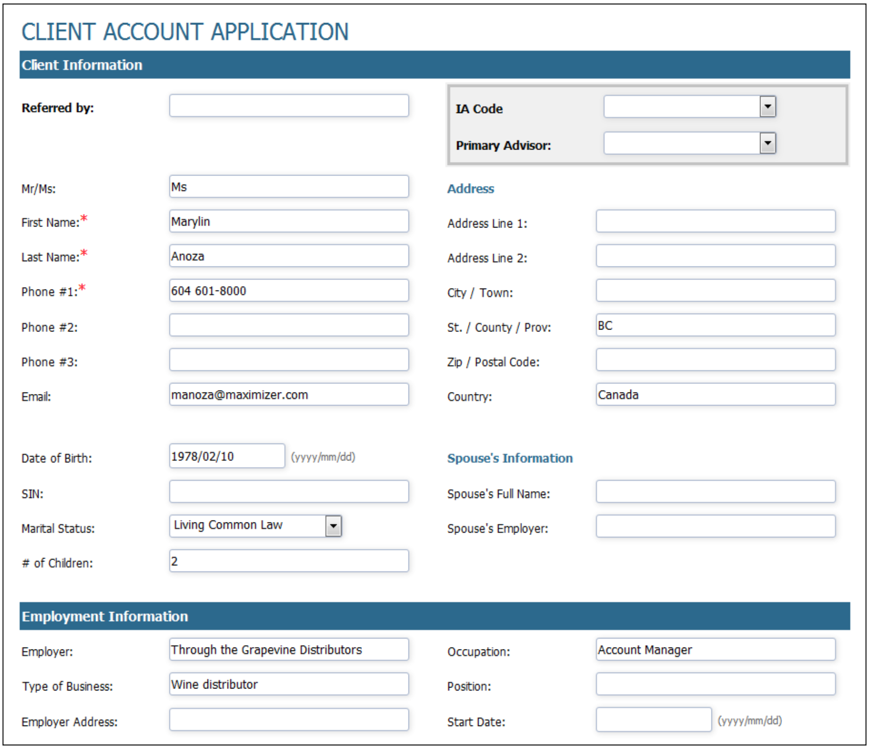
You can also share the URL of the web form to an assistant or even to your client, so they can enter the data themselves.

1. In a Web browser, enter the URL of the Web form.

   The URL depends on the location on your website where the Web Form was uploaded. For more information, see your system administrator.

   The web form displays all Maximizer fields relevant to new account applications and KYC updates.

2. Fill out any of the fields in the form.



CLIENT ACCOUNT APPLICATION

Client Information

Referred by:		**IA Code**	
		Primary Advisor:	
Mr/Ms:	Ms	**Address**	
First Name:*	Marylin	Address Line 1:	
Last Name:*	Anoza	Address Line 2:	
Phone #1:*	604 601-8000	City / Town:	
Phone #2:		St. / County / Prov:	BC
Phone #3:		Zip / Postal Code:	
Email:	manoza@maximizer.com	Country:	Canada
Date of Birth:	1978/02/10 (yyyy/mm/dd)	**Spouse's Information**	
SIN:		Spouse's Full Name:	
Marital Status:	Living Common Law	Spouse's Employer:	
# of Children:	2		

Employment Information

Employer:	Through the Grapevine Distributors	Occupation:	Account Manager
Type of Business:	Wine distributor	Position:	
Employer Address:		Start Date:	(yyyy/mm/dd)

3 Click **Submit**.

You are taken to the landing page specified in the form wizard.

A new entry is created in Maximizer with the data in the form.

Enter KYC Data for an Existing Client

1 In the Contact List page, click on the Contact to update.

2 In the following pane, select the **Details** tab.

3 From the **Key Fields for** drop-down list, select the **KYC View Complete** Key Fields list.

All fields relevant to KYC reviews are displayed in the Key Fields area.

You can scroll down to review the current values set in the fields.

You can also choose one of the other KYC Key Fields lists to view a shorter list of fields.

4 To edit any of the fields, double-click anywhere in the **Details** tab.

5 Edit values for the fields directly in the Details tab.

You can continue to select different Key Fields lists while working on the entry.

6 When you are finished, click **Save** to save the changes to the entry.

Review and Sign KYC Documents

You can use the KYC Review Merge Document to review all current KYC data with your client. The document is a Microsoft word document. It includes merge fields linking it with client data entered in Maximizer. You must install Word Integration for Maximizer before you can use this document.

Install Microsoft Word Integration

Word integration is available only in Microsoft Internet Explorer.

If Microsoft Word integration is enabled, you can install Word integration directly from Maximizer. For information on enabling Word integration, see the *Maximizer CRM Administrator's Guide* or your system administrator.

This setup involves downloading Active X controls, which may be disallowed on some networks. Word integration can also be installed from the Maximizer CRM installation media. For more information, see the *Maximizer CRM Administrator's Guide*.

1 In the left navigation pane, hover your mouse over **Administration**, and select **Desktop and Mobile Setup** from the pop-up window.

The Desktop and Mobile Setup page opens.

2 In the **Microsoft Word Integration** section, select **View more information**.

The system requirements and a description of the basic steps required to install the Microsoft Word Integration appear below the link.

3 Click **Download Word Integration**.

4 Click **Download**.

A window opens giving you the option to run or save the file.

5 Click **Run** and follow the steps outlined in the setup wizard to install the files.

Print the KYC Word Document for a Client

To complete this procedure, Microsoft Word Integration must be installed.

Word integration is available only in Microsoft Internet Explorer.

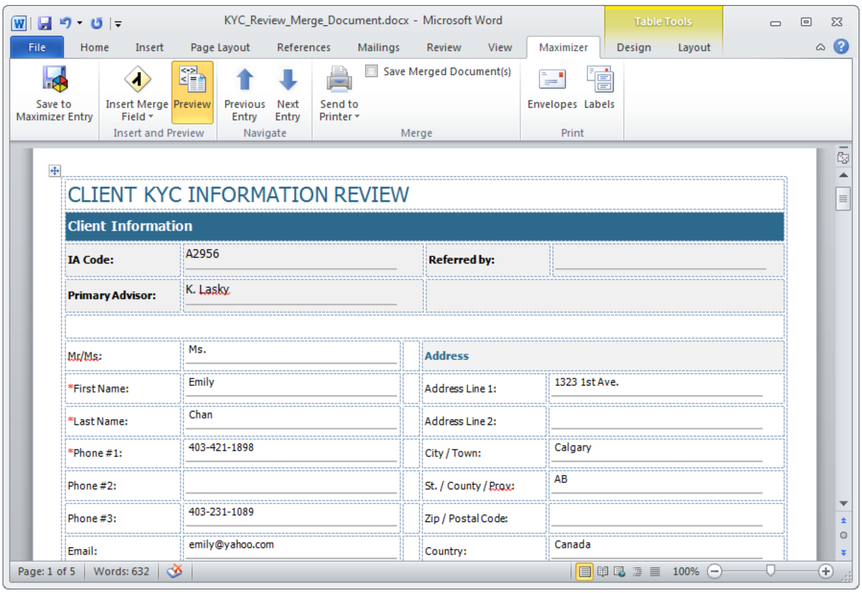
1. Select the **Office Documents** icon to open the Office Documents page.
2. Click **KYC Review Merge Document** to download the document.

   If prompted, click **Open** open the document in Microsoft Word.

   If necessary, click **Enable Editing** to be able to modify the document.
3. In Maximizer, open the Contact List page, and click on the Contact to print the document for.
4. In Word, on the **File** menu, select **Print** and ensure the correct printer and printer properties are specified.

   Do not print the document at this point.
5. In the **Maximizer** tab in Word, select **Preview** from the **Insert and Preview** group.

   The merge fields in the document are replaced with values from the current entry.



6. In the **Maximizer** tab, select **Save Merged Documents** from the **Merge** group.

   This option will automatically save a copy of the document with the current entry in Maximizer.

7. Select the top of the **Send to Printer** icon.

8. Specify properties for the document saved in Maximizer, and click **OK**.

   The document is sent to the printer.