Maximizer®

CRM Wealth

Getting Started Guide

Notice of Copyright

Registered Trademarks and Proprietary Names

Applicability

This document applies to Maximizer CRM Wealth Management Edition and Maximizer CRM 2015 R2 software.

Maximizer Software Address Information

Corporate Headquarters
Americas

Maximizer Services Inc.
208 West 1st Avenue
Vancouver, BC, Canada V5Y 3T2

+1 604 601 8000 phone
+1 604 601 8001 fax
+1 888 745 4645 support

info@maximizer.com
www.maximizer.com
Knowledge Base: www.maximizer.com/knowledgebase

Europe, Middle East, and Africa

Maximizer Software Ltd
2nd Floor, Apex House, London Road
Bracknell, Berkshire
RG12 2XH United Kingdom

+44 (0) 845 555 99 55 phone
+44 (0) 845 555 99 66 fax

info@max.co.uk
www.max.co.uk

Australia/New Zealand

Maximizer Software Solutions Pty. Ltd.
Level 10, 815 Pacific Highway
Chatswood, New South Wales
2067, Australia

+61 (0)2 9957 2011 phone
+61 (0)2 9957 2711 fax

info@maximizer.com.au
www.maximizer.com.au

Contents

Maximizer CRM for Wealth Management

In this chapter...

Introduction

Maximizer CRM Wealth Management Edition is a complete solution to help professionals working in the financial services industry easily manage and build their ‘book of business’ with a simple to use, highly secure and easily customized solution.

Wealth Management Edition includes user-defined fields, saved searches, document templates, Action Plans, Dashboards and other items created with the wealth management professional in mind.

Wealth Management Solution Overview

Maximizer CRM Wealth Management Edition is an easy to use, powerful solution to help professionals working in the financial services industry 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.

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

'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.

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
Case	Plan

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

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.

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.

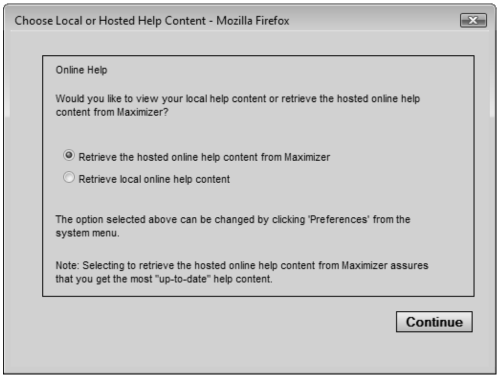
1. In the top-right corner of a page, following pane, or dialog box, select the **Help on the current page** icon.

   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 dialog boxes 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 icon bar.

- In the top-right corner of the page, following pane, or dialog box, select the **Video Help** icon.

  A new browser window opens and displays the video tutorial.
- In the icon bar, select the **Video Tutorials** icon.

  The current list of video tutorials is displayed.

Manage Your Client Information

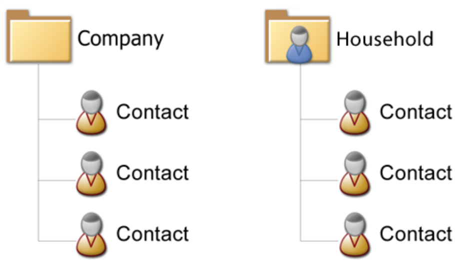
Maximize the value of your book of business by keeping all of your client history and documentation in a single, central location. Maximizer CRM makes it easy to gain insight into each of your client's interests and investment preferences, and offer services tailored to their individual needs and manage relationships, rather than records.

Maximizer CRM Wealth Management Edition stores all of your client information in the Contact List. The Contact List page helps you to manage your client list, and is the starting point for servicing new and existing clients.

Maximizer CRM also provides useful tools such as Search Catalogs to help you to retrieve a list of the clients that you need to work with next, as well as Key Fields lists and Column Setups that ensure the information you need about your clients is always at your fingertips when you need it.

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.

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.

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

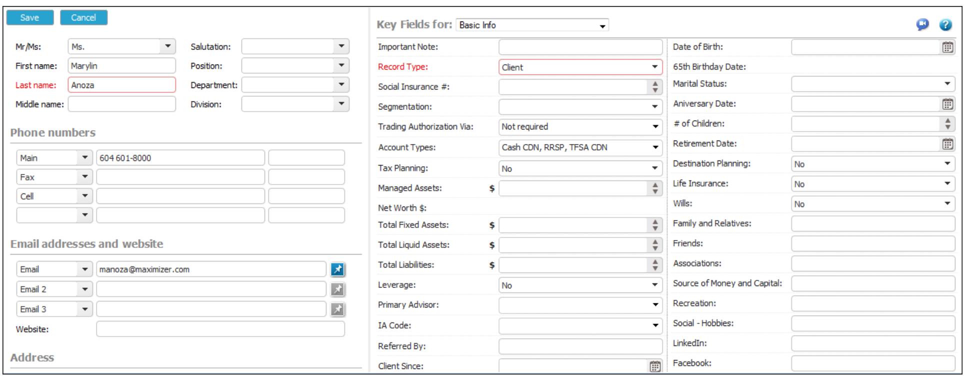
1. Select the **Contact List** icon to open the Contact List page.
2. In the main list, select the Household entry associated with the Contact.
3. Select **Edit > Add Contact**.

   – 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



Search Catalog

Maximizer CRM Wealth Management Edition contains a number of predefined searches, called Search Catalogs, which can help you to quickly pull up a list of the next clients you need to work with.

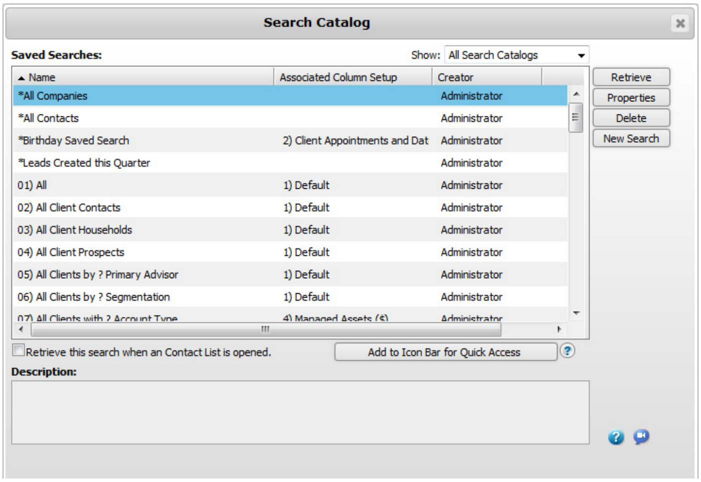
The search catalog stores advanced searches so that you can retrieve the searches at a later time. Each saved search stores all of the information set up in the Advanced Search dialog box.

For example, if you wanted to retrieve a list of all of your clients with a KYC review coming up in the next month, you could use the built-in 'KYC Review - Next 30 days' search.

Many of the search catalogs included in the Maximizer CRM Wealth Management Edition will prompt you for the values to use in the search. For example, if you are looking for a list of clients who are retiring soon, you could use the 'Clients Retiring in ? Days' search. When you retrieve this search catalog, you are prompted for the number of days to search for, so you can find clients retiring in the next week, month, or even year, depending on what you're looking for.

Many of the searches bundled with Wealth Management Edition are used to display information in dashboard indicators. If you modify a saved search, you may change the behavior of the dashboards. The WME Structure Info document in the Office Documents page contains details on the saved searches used by dashboard indicators.

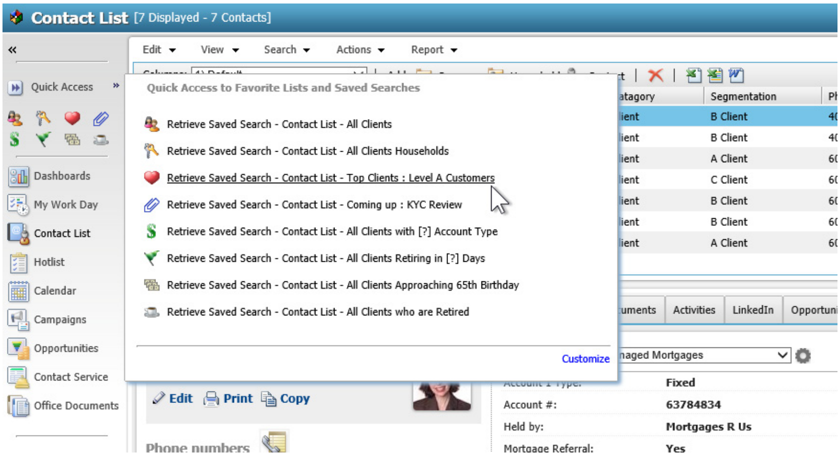
To open a search catalog, in the Contact List page, select **Search > Search Catalog**.



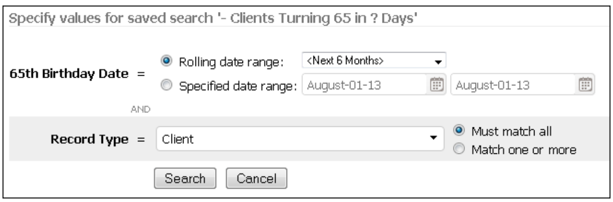
Quick Access Toolbar

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.



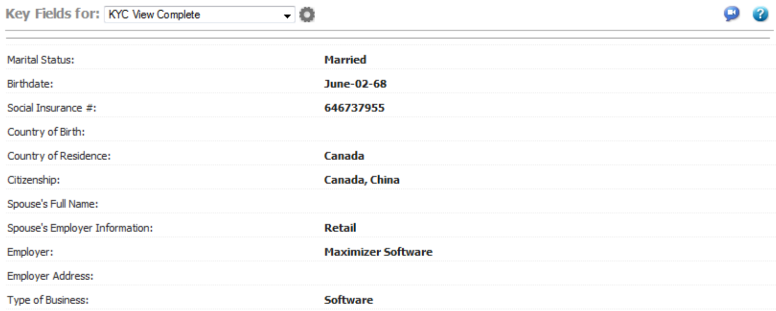
When you select certain searches in the Quick Access toolbar, you are prompted to specify the values for the search. You can change the values of these searches each time you access them.



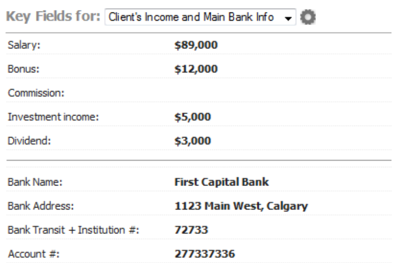
Key Fields Lists

Key Fields are important user-defined fields and system fields that are grouped together on the Details tab in Contact List entries and Opportunities. Maximizer CRM Wealth Management Edition includes a number of predefined Key Fields lists containing the fields relevant to specific tasks.

For example, the KYC View Complete Key Fields list contains the fields that are related to gathering KYC data.



And the Client's Income and Main Bank Info Key Fields list contains fields related to the client's income and banking information.



Auditing

Maximizer CRM Wealth Management Edition has the ability to document changes made to basic fields, user-defined fields, notes, and documents of any of your contacts. If your system administrator has enabled the auditing feature, Maximizer automatically tracks any and all changes made to your contacts.

View the Audit Log for a Contact

You can view the auditing history for a company, household, or contact from the Auditing tab in the following pane.

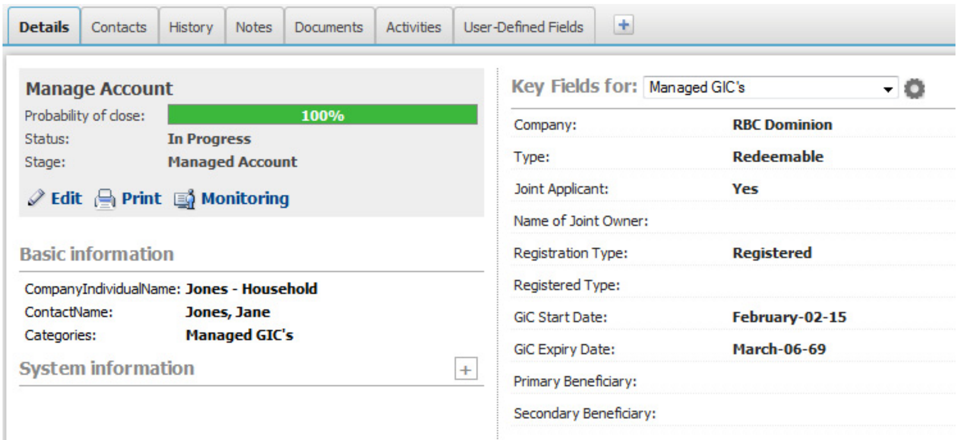
1. Click on the Address Book entry to make it the current entry.
2. In the following pane, select the **Auditing** tab
3. From the **Filter** drop-down list, select a filter option to view the audit log.

Working with Opportunities

The Opportunities module in Maximizer CRM Wealth Management Edition can help you to manage and grow and your book of business by using opportunities to represent the assets, annuities, and insurance policies under management for your each of your clients.

Each opportunity in Maximizer is linked to a company or household, so by creating a an opportunity for each of your clients' life insurance policies, investments, or annuities, you can keep a complete record of your business with the client.

To help you get started using opportunities to manage your book of business, Maximizer CRM Wealth Management Edition includes a number of predefined products/services and categories to represent the various types of assets or insurance policies that a client may have. Each of the built-in categories also has an associated Key Fields list to group the relevant fields for that particular category.



Add an Opportunity

Opportunities in Maximizer CRM are always associated with a contact. Before creating your new opportunity, you will need to create a new company or household and contact or search for the existing client contact with which you want to associate the opportunity.

1. Click on the contact in your Contact List to make it the current entry.
2. Select **Actions > Create an Opportunity**.

   – or –

   Right-click the contact and select **Create an opportunity**.
3. Enter the basic information for the opportunity.
   - Enter the opportunity **Objective**. The objective should describe the goal of this opportunity.
   - Select the applicable **Products/Services** and **Categories** for the opportunity. Wealth Management Edition includes a number of predefined Products/Service and Categories for you to use.
   - Enter the **Description** of the opportunity. The description should contain additional information related to the goal of this opportunity.
   - Under **Opportunity Analysis**, select a **Stage** and **Confidence Rating** for the opportunity. The stage should represent where you are in your follow-up process for this opportunity, and the confidence rating should represent how optimistic you are that the opportunity objective will be achieved.
4. Enter any additional information in the Key Fields for the opportunity.
5. Click **Save** to save the opportunity.

Once you have created the new opportunity, you should schedule an Action Plan for it to ensure that your client acquisition or management process is followed for the opportunity.

For information on how to use Action Plans to work with your opportunities, see the Streamline Common Business Practices section.

View the Opportunities for a Client

Maximizer CRM Wealth Management Edition makes it easy for you to view the investments, mortgages, annuities, or insurance policies that you have under management for a client.

1. Select the company, household, or contact whose opportunities you wish to view.
2. In the following pane, select the **Opportunities** tab to view the opportunities for the client in the Client List.

   – or –

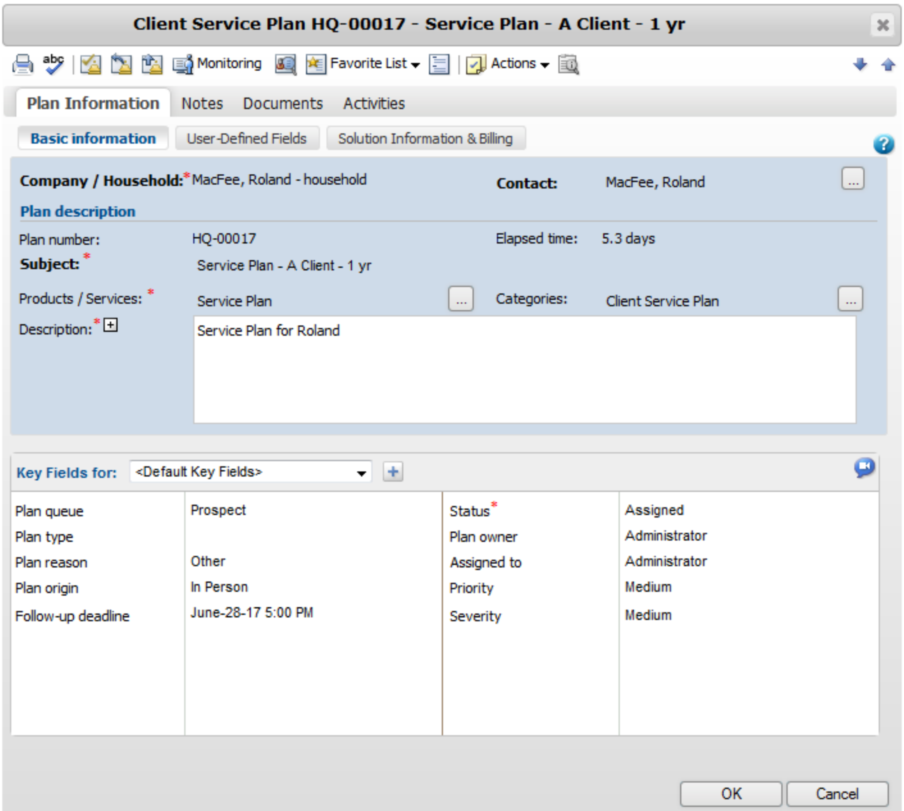
   Right-click the company or household and select **Retrieve Opportunities** to view the opportunities in the Opportunities page.

Service Your Clients

The Client Service module in Maximizer CRM Wealth Management Edition can help you to service your clients' needs and to help guarantee proper follow-up and compliance with regulatory requirements.

By creating a service plan for each of your clients and assigning an Action Plan to the service plan, you can easily create a schedule of activities for servicing that client that will help to ensure that you meet requirements for regular reviews and communications with your client.

Maximizer CRM Wealth Management Edition includes a number of predefined Action Plans for a variety of client profiles which contain a schedule of activities for servicing your clients.



Add a Service Plan

Service plans in Maximizer CRM are always associated with a contact. Before creating your new service plan, you will need to create a new company or household and contact or search for the existing client contact for which you want to create the service plan.

1. Click on the contact in your Contact List to make it the current entry.
2. Select **Actions > Create a Plan**.

   – or –

   Right-click the contact and select **Create a Plan**.
3. Enter the basic information for the service plan.
   - Enter the service plan **Subject**. The subject should describe the purpose of the service plan.
   - Select the applicable **Products/Services** and **Categories** for the service plan. Wealth Management Edition includes a number of predefined Products/Service and Categories for you to use.
   - Enter the **Description** of the service plan. The description should contain additional information related to the service plan.
4. Enter any additional information in the Key Fields for the service plan.
5. Click **OK** to save the service plan.

View the Service Plans for a Client

Maximizer CRM Wealth Management Edition makes it easy for you to view the service plans for a client.

1. Select the company, household, or contact whose service plans you wish to view.
2. In the following pane, select the **Client Service** tab to view the opportunities for the client in the Client List.

   – or –

   Right-click the company or household and select **Retrieve Plans** to view the service plans in the Client Service page.

Streamline Common Business Practices

Maximizer CRM Wealth Management Edition can help you to conduct repeatable, best practices for client acquisition and service and to ensure consistency in customer interactions and adherence to regulatory requirements.

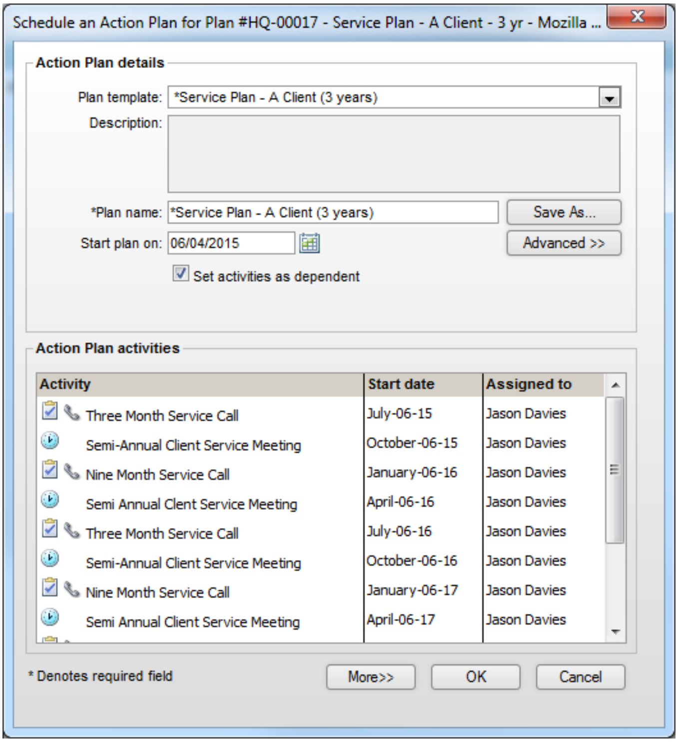
Action Plans

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

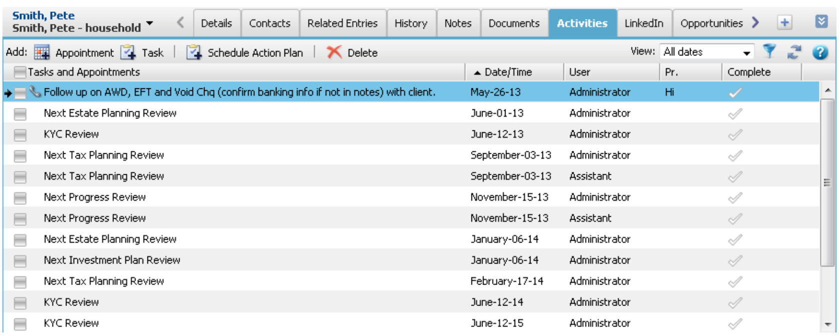
Maximizer CRM Wealth Management Edition includes more than 20 Action Plan templates that break down common tasks for financial services professionals into smaller steps.

The industry-specific action plans and templates included in Wealth Management Edition support compliance around information gathering and disclosure, and follow-up obligations, and streamline Know Your Client processes.

For example, the various Service Plan Action Plans contain activities for following-up with your clients at regular intervals, and 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, Opportunities, or Service Plans in the Activities tab of the following pane.



Schedule an Action Plan

You can schedule Action Plans for your clients, opportunities, or service plans from the main list in the Contact List, Opportunities, or Client Service page.

1. Click on the contact, opportunity, or service plan to make it the current entry.
2. Select **Actions > Schedule an Action Plan**.
3. From the **Plan template** drop-down list, select an Action Plan template.
4. In the **Start plan on** field, enter the start date of the Action Plan.
5. Click **OK** to finish scheduling the Action Plan.

View Activities Scheduled from an Action Plan

You can view a list of activities scheduled from a specific Action Plan in the Activities tab in the following pane.

1. Click on the entry to make it the current entry.
2. In the following pane, select the **Activities** tab
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 name of the Action Plan.
6. To display all activities in the Action Plan, set the following filter options:
   - From the **User** drop-down list, select **All Users**.
   - Select **Show appointments**.
   - Select **Show completed activities**.
7. Click **OK** to apply the filter options.

Microsoft Outlook Integration

Maximizer CRM Wealth Management Edition offers seamless integration with Microsoft Outlook via the Maximizer CRM Outlook Add-in.

About Outlook Integration

When you install the Maximizer CRM Outlook Add-in, a Maximizer toolbar is added to Outlook giving you access to a variety of useful features, including:

- View the Maximizer contact associated with an email with a single click.
- Create a Contact, Service Plan, or Hotlist task from an email.
- Save an email directly to the documents of a Contact, Opportunity, or Service Plan.
- Track all email messages in a single conversation or sent to and received from an email address.

Install Microsoft Outlook Integration

To complete this procedure, Microsoft Outlook integration must be enabled. For more information, 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. Outlook integration can also be installed from the Maximizer CRM CD. 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.
2. Under **Microsoft Outlook Integration**, select **View more information**.

   The system requirements and a description of the basic steps? required to install Microsoft Outlook Integration are displayed.
3. Click **Download Outlook Integration**.

   A window opens giving you the option to run or save the file.
4. Click **Run** and follow the steps outlined in the setup wizard to install the files.

Track Emails from Your Clients

One of the most powerful features of the Maximizer Outlook Add-in is its ability to track emails from your clients. When you track a client's email address using the Outlook Add-in, any emails that you receive from or send to the client in Outlook is automatically saved to the client's Contact entry in Maximizer. This way, you can ensure that you always have an up-to-date history of your email correspondence with each of your clients.

Track an Email Address

You can track all email messages sent to and received from an email address using the Maximizer Outlook Integration add-in.

1. In Outlook, select or open an email message from the email address you want to track, expand the **Save and Track** menu and select **Save and track messages sent to and from this email address**.
2. Check the box next to each of the contacts to which you want to save the tracked emails.

   If the contacts that you want to save the tracked message to do not appear in the list, you can search for them.
3. Select the **Owner** and **Category** that you want the tracked emails saved under.
4. Click **OK**.

The current email message and all future emails sent to or received from this email address are automatically saved to the documents of the selected contacts.

Items Included in the Wealth Management Edition

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.

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.

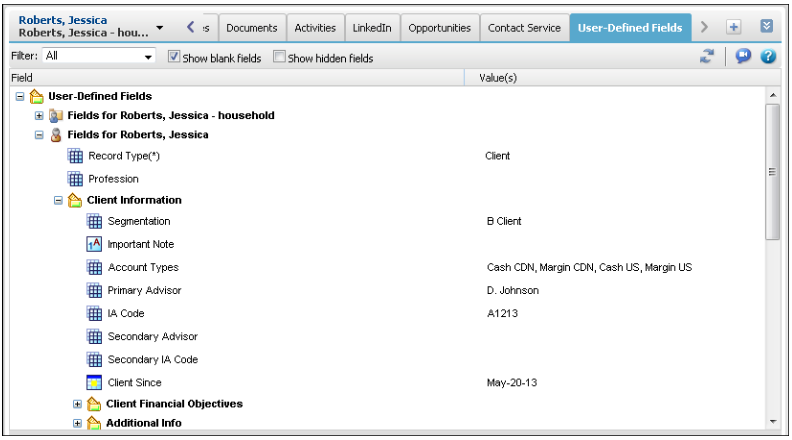
All relevant fields are included in Key Fields lists available in the Details tab. You can view the entire list of user-defined fields in the User-Defined Fields tab.

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.

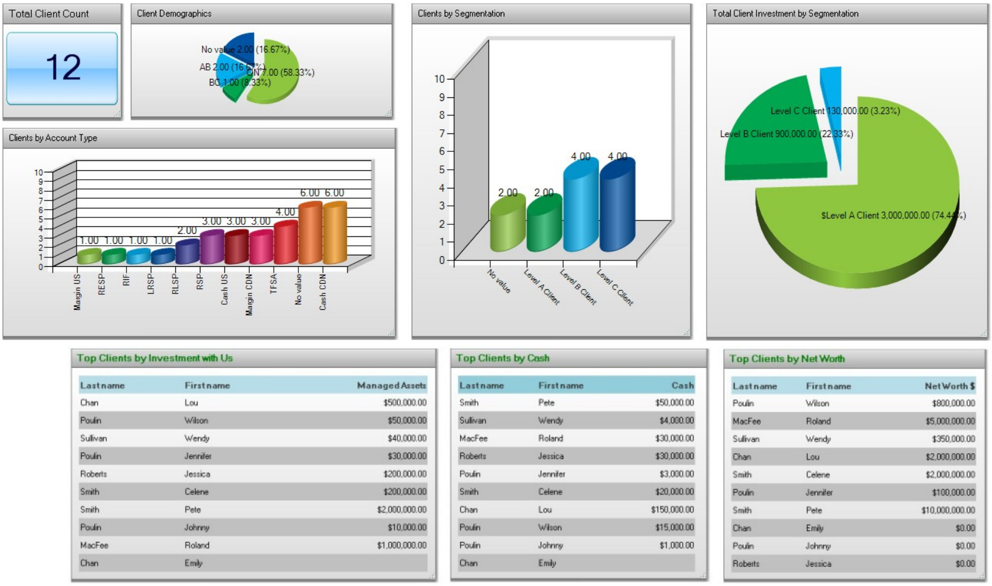
4 Open the folders to view the user-defined fields stored in the folders.



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.



Top Clients by Investment with Us

Last name	First name	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	

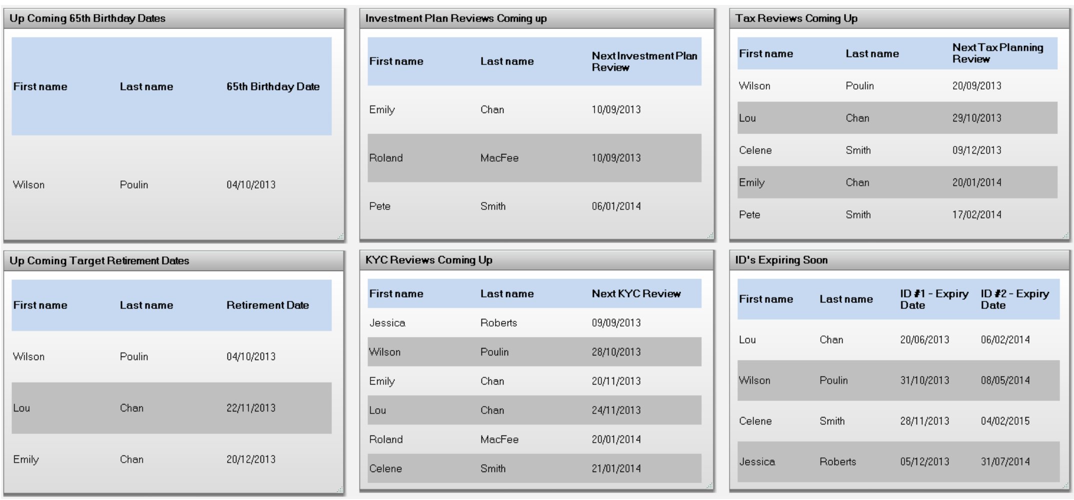
Top Clients by Cash

Last name	First name	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	

Top Clients by Net Worth

Last name	First name	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

Office Documents

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

The Office Documents page in Wealth Management Edition includes an "Other Resources" hyperlink document which opens a page with other helpful resources for using Wealth Management Edition.

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

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.

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 30
- "Schedule a KYC Review with a Client" on page 32
- "Capture KYC Data for a Client" on page 35
- "Review and Sign KYC Documents" on page 1

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.

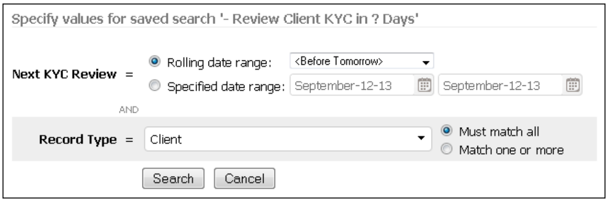
View Entries with Upcoming KYC Reviews Using a Custom Date Range

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 on your image, and select **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 In the following pane, select the **Activities** tab

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**.

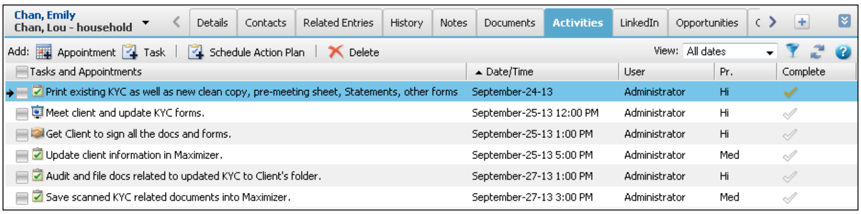
A list of all Action Plans scheduled with the entry is displayed in the drop-down list.

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

When you are meeting with an existing client, you can quickly view and modify KYC data directly in Maximizer.

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.

Investment and Insurance Tabs

The Maximizer CRM Wealth Management Edition Investment and Insurance tabs allow you to save investment and insurance account information for each of the companies, contacts, and households in your Wealth Management Edition Address Book.

About the Investment and Insurance Tabs

The Investment and Insurance following tabs allow you to create new insurance and investment accounts, and to edit or delete existing accounts. You can also search for Contact List entries based on certain values in their Investment and Insurance accounts.

Add an Investment or Insurance Account

You can add new accounts in the Investment and Insurance tabs.

1. In the Address Book page, select the company, contact, or household for whom you want to add the account.
2. Select the Insurance or Investment following tab, depending on the type of account you are adding.
3. Click **Add**.

   The Add Account dialog opens.
4. Enter the details for the new account and click **OK** to create the account.

Edit an Investment or Insurance Account

You can edit existing accounts in the Investment and Insurance tabs.

1. In the Address Book page, select the company, contact, or household whose account information you are updating.
2. Select the Insurance or Investment following tab, depending on the type of account you want to edit.
3. In the following tab, select the account you are updating and click **Edit**.

   The Edit Account dialog opens.
4. Update the details for the account and click **OK** to save your changes.

Delete an Investment or Insurance Account

You can delete existing accounts in the Investment and Insurance tabs.

1. In the Address Book page, select the company, contact, or household whose account information you are updating.
2. Select the Insurance or Investment following tab, depending on the type of account you want to delete.
3. In the following tab, select the account you want to delete and click **Delete**.
4. At the prompt, click **OK** to delete the account.

Search for Entries by Account

You can search for companies, contacts, or households on the values in their Investment and Insurance accounts.

1. In the Address Book page, select any company, contact, or household in the list.
2. Select the Insurance or Investment following tab, depending on the type of account you want to search on.
3. Click **Search Contacts**.

   The Search dialog opens.
4. Enter the criteria for your search and click **OK**.

   The main grid is updated to display companies, contacts, or households that have accounts matching the search criteria.