

This document is for Investment Professionals only
and should not be relied upon by private investors.

A user guide to our reporting services

Adviser
Solutions
business
to business
services

 Adviser Solutions



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What information is available?

It's important for you to have information about your clients' investments on the platform to help you manage your business more efficiently. By introducing new reports and maintaining and enhancing the reports we currently offer, our range of services allows you to obtain a wide range of information quickly and easily.

- Reports are available 24/7 and reduce the need to rely on our call centre opening times
- Reduces the reliance on postal statements, resulting in less paperwork and overall, more manageable record keeping
- Information is available at the touch of a button as opposed to waiting for manual responses
- Supports marketing campaigns, for example, the ISA Contribution Report helps you maximise your clients' ISA allowances
- Ability to manipulate data which is not available through paper-based statements

This guide is designed to help you understand what's available and the ways in which our services can help.

Our platform can also be integrated into a range of software systems so you can download holdings and valuations straight into your own format – either in bulk or for individual clients. Additionally, you can reconcile your fee payments more easily by taking advantage of the eRemunerations service with selected software packages.

Our pension is also integrated within our existing reports and back office software services.

If you would like to know more about our pension, a guide and full product specification can be found by visiting fidelityadvisersolutions.co.uk/pension

Reports available

A full suite of online reports is available, including some that are compatible with leading back office software packages. These can be securely accessed at a time that suits you via our Client Management system. The following table shows the range of reports available and how they can be used.

| Report name | Summary | Key benefits | Frequency |
|-----------------------------|---|--|--|
| Account Information | This report details which clients have been migrated to our new product administration system and helps determine what MiFID II information is required. | Provides time and date of client migration to our new product administration system, as well as an indication of whether additional MiFID II information may be needed, for example if the client holds an exchange-traded investment. The report also shows you if the client has registered for online access. | Daily Weekly |
| Adviser Fee rates | This report lists all clients' accounts set up with an Ongoing Fee, at what rate and where the deductions will come from along with the account valuation. | Supports the administration of clients on fee agreements as well as calculating fee expectations. | Daily Weekly Monthly Quarterly |
| Adviser List | This report details all branches that are linked to the unique adviser number (UAN). | This report is intended for organisations who wish to verify the details of all their UANs set up with the platform. | Daily Weekly Monthly Quarterly |
| Adviser Fee Payments | This report details all adviser fees earned during the previous month. The report is sent monthly, on or before the 25th of each month following each fee payment run. | Produced to support the payment and reconciliation of adviser fees. | Monthly |
| Annual Distribution Summary | A report summarising all distributions for non-tax wrapped (OEIC/UT) and Pension investments for the previous financial year. This report is produced annually in May/June. | Provides a summary of your clients' non-tax wrapped distributions for the previous financial year allowing you to help with their distribution enquiries. | Annually |
| Assets Under Management | This report gives a snapshot of assets under management, broken down by product, fund provider, fund and agency. | Gives an overview of asset distribution across funds, providers and sub agencies, enabling analysis of any risk concentrations and asset allocation. | Daily Weekly Monthly Quarterly |
| Cancelled Deals | This report details all transactions which have been cancelled during the selected period. | The report is intended for advisers who wish to track any deals which are cancelled after they have been priced. | Daily Weekly Monthly Quarterly |
| Cash Report | This report shows cash within an account in addition to details on regular transactions set up, such as income, fees, and withdrawals. | It shows available cash and any regular transactions which could impact cash. | Daily, Weekly Monthly Quarterly |

Reports available

| Report name | Summary | Key benefits | Frequency |
|--------------------------------------|--|---|---|
| Client List | This report details all current clients and the number of active accounts currently held, as well as listing those clients paying the Investor Fee and any remuneration model they are under. It now includes details of adviser consultant IDs linked to the attributed pension account. Please note that details regarding the Investor Fee for accounts held jointly by two or more clients are not displayed on this report. | It can be used to update your client database or in order to produce a mailing list for your clients. The report also includes clients' e-mail addresses. | Daily Weekly Monthly Quarterly |
| DFM Fee Payments | A statement showing all DFM payments your clients have paid. | This report will be used to review how much your clients have paid in DFM fees, additionally it is used to calculate any manual payments still required. | Monthly |
| Fund List | This report details all funds currently available on the platform. | This report allows you to maintain an accurate list of funds that can be purchased or re-registered on the platform. | Daily Weekly Monthly Quarterly |
| Holdings | This report details all client holdings by fund and will include the number of units or shares held and the latest fund values. Any zero balances are excluded. | Full reporting of all clients' holdings - allowing you to keep track of assets on the platform at both a product and client level. | Daily Weekly Monthly Quarterly |
| Income Distributions | This report details any income distributions on non-tax wrapped (SICAV/OEIC/UT) client accounts during the period. It provides the same information that is provided in a tax voucher. It now includes details of SICAV income payments as well. | Allows you to keep up-to-date with clients' income and tax positions. | Daily Weekly Monthly |
| Investor Fee Collections | This report details collections of the Investor Fee from your clients, including where the fee was collected from or if it was unsuccessful, and on what date the fee was collected within the period the report covers. Please note that details regarding the Investor Fee for accounts held jointly by two or more clients are not displayed on this report. | Allows you to keep track of the deductions for the Investor Fee and ensure they are coming from the designated holding. | Daily Weekly Monthly Quarterly |
| ISA Contribution Report | A two-part report detailing clients who have opened an ISA but have not utilised their full allowance, as well as clients linked to your agency that have yet to open an ISA in the current tax year. Now includes any unwrapped collectives and cash holdings which could be moved into an ISA. | Suitable for generating marketing mailings to your clients in the run up to the end of the tax year, to ensure ISA allowances are being effectively used. | Daily Weekly Monthly Quarterly |
| ISA income Report | This report details any income distributions within the clients ISA accounts. | To see income distributions within your clients ISA | Daily Weekly Monthly |
| Model Portfolio and Assigned Clients | This report lists all clients linked to Model Portfolios. | Provides details of clients linked to different models, the client's current valuation and date last rebalanced. | Daily Weekly Monthly Quarterly |
| Monthly Sales | A report giving you a concise overview of the last six months sales figures on our platform, containing net sales, gross sales and redemptions. | Allows you to have a quick overview of the business conducted over a rolling six-month period. | Monthly |

Reports available

| Report name | Summary | Key benefits | Frequency |
|---|---|--|---|
| Pension Summary | A report providing a detailed overview of all pension accounts. | This report shows full details of all clients' pension accounts. It provides key details such as withdrawals, contributions and tax positions. | Daily Weekly Monthly Quarterly |
| Pension Transfer Status | This report gives you a snapshot of clients' pension transfers so you can see how they are progressing. | Allows you to view and track the status of all your clients' in-bound pension transfers from other providers. The report also identifies whether any documentation is still required to complete the transfer. | Daily Weekly Monthly Quarterly |
| Portfolio valuations and ISA allowances | This report details total portfolio holdings by client and lists the remaining current year ISA allowance. | Provides a high level overview of your clients' total holdings and remaining ISA allowance, helping with client segmentation and targeting of those who have not fully utilised their ISA allowance. | Daily Weekly Monthly Quarterly |
| Product Costs | A report at account level detailing all MiFID II related product costs and charges per month for the last 18 months. | Provides a full breakdown of product charges including Investment Charges (OCF, Entry/Exit, Transaction and Incidental costs). | Daily Weekly Monthly Quarterly |
| Regular Savings Plan | This report details all the regular savings plans (previously known as monthly savings plans) which are set up for your clients and their current status). | Enables you to track how many payments have been made, the current amount and when the next payment is due. | Daily Weekly Monthly Quarterly |
| Regular Savings Plan Fee Rates | This report lists all clients set up for regular savings plans where an initial fee rate has been applied. | Supports the ongoing administration of clients on fee agreements and allows you to check key details such as initial fee type, rate and monthly collection amounts. | Daily Weekly Monthly Quarterly |
| Re-Reg Status Report | This report shows the detailed status and updates on all outstanding re-registration-in cases. | Provides an overview of all outstanding or recently closed re-registration-in cases. At asset and account level it shows the status, provides rejection reasons and any conversion activities. | Daily Weekly Monthly Quarterly |
| Sales Report | A report detailing all major transactions (such as purchases, redemptions, switches, transfers and re-registrations) but excluding administrative transactions (such as reinvested units, tax credits and interest accruals). | Allows you to concentrate on the most important account activity and monitor actual business transactions placed by you and your clients. | Daily Weekly Monthly Quarterly |
| Service Costs | A report at account level detailing all MiFID II related full costs and charges per month for the last 18 months. | Provides a full breakdown of MiFID II costs and charges including all our fees and Adviser Fees. The report also shows a rolling 12-month aggregate of all costs and charges each month. | Daily Weekly Monthly Quarterly |
| Transactions | This report details all transactions during the selected period. | Provides details of recent transactions to enable you to check key details, such as charges, fees and other deal information. | Weekly Monthly Quarterly |
| Web Access | Shows individuals set up under an agency number with a consultant ID for web access. Details all the permissions the individual is set up with such as dealing, viewing accounts and reporting services. | Enables you to keep track of users and ensure that they have the correct permissions set up. | Weekly Monthly Quarterly |

Back office integration

Our platform can be integrated into a range of software systems, so you can download holdings and valuations straight into your own back office systems – either in bulk or for individual clients. Additionally, some software packages allow fee information and payments from the platform to be imported and automatically reconciled. All reports are available on a daily, weekly, monthly or quarterly basis and are provided in CSV (Comma Separated Values), TSV (Tab Separated Values) or XLS (pre-formatted Microsoft Excel) format, which can be read by most database and spreadsheet programmes.

| Provider | Real time valuations | Bulk holdings | eRemunerations | Transaction history |
|---|----------------------|---------------|----------------|---------------------|
| Adviser Cloud | | ✓ | | |
| Assyst | ✓ | | | |
| Benchmark | | ✓ | | |
| Bluecoat | ✓ | | ✓ | |
| Creative Technologies (Enable) | ✓ | | | |
| Distribution Technology (Dynamic Planner) | | ✓ | | |
| Durell | ✓ | | | |
| Fairs | | ✓ | | |
| IFA Systems | ✓ | ✓ | | |
| IntelliFlo | ✓ | ✓ | ✓* | ✓ |
| Iress (Adviser Office & XPLAN) | ✓ | ✓ | ✓ | ✓ |
| JCS | ✓ | ✓ | ✓* | |
| Moneyinfo | | ✓ | | |
| Morningstar Adviser Workstation | | ✓ | | |
| O&M | | ✓ | | |
| Plannr | | ✓ | | |
| Plum Software | ✓ | | | |
| Prestwood | | ✓ | | |
| Prompt Capital | ✓ | ✓ | | |
| Sirius SWIFT | | ✓ | | |
| Sprint Enterprise | ✓ | ✓ | | ✓ |
| Synaptic | ✓ | | | |
| Time4Advice (Curo) | ✓ | ✓ | ✓ | |
| True Potential | | ✓ | ✓ | |

*Not automated

Current back office software integration links include:



Reports that are back office compatible are:

- Holdings – suitable for bulk updates
- eRemunerations – compatible with leading back office software
- Transactions history – suitable for bulk updates

In addition to the range of reports available we also offer the following options:

Real time valuations (RTV)

This service, also known as contract enquiry, allows you to request an up-to-date valuation for an individual account directly into your back office system without the need for manual keying. Sometimes, it is even possible for you to batch RTVs together and schedule them to run automatically.

Bulk holdings

This service makes it possible to run automated regular reports that will directly populate back office software with information about your clients' holdings.

eRemunerations

Our eRemunerations service makes it possible for you to integrate adviser fee reports directly into your back office systems, so you can automate the reconciliation of fee payments.

Transactions history

This service makes it possible to run automated regular reports that will directly populate back office software with information of all transactions made on your clients' accounts. This will give an added layer of information over and above a bulk holdings update.

Registering and getting started

Registering

It's easy to start using the platform. You don't need any special software – just an internet connection.

Next steps

If you would like us to arrange your registration please call us on **0800 41 41 81**.

If your firm is already set up with access to our online services, please contact your firm administrator who will be able to set you up with individual login details.

All you will need is your unique adviser number (UAN) and access to your computer. We will then set this up for you while you are on the phone, which shouldn't take more than 15 minutes. We are open from 8.30am to 5.30pm, Monday to Friday.

Logging in

To log into our client management service, go to **fidelityadvisersolutions.co.uk** and enter your details on the adviser login page.

Your login ID will be your Consultant ID, which is provided in the instruction letter sent to your firm administrator.

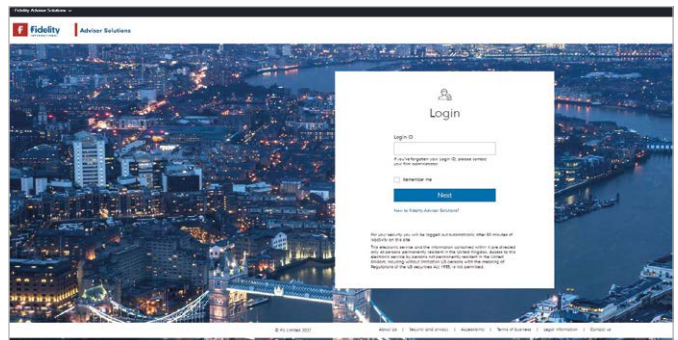
Once you have logged in, you can access your clients' accounts and get started with our online tools and reports. The login screen also allows you to select the page you wish to go to first.

How to get your reports

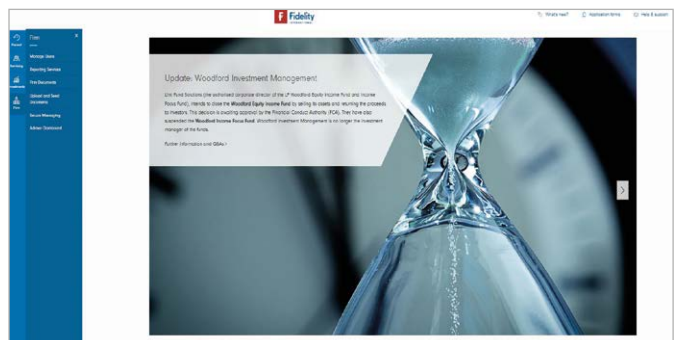
- Order online by visiting the 'Reporting Services' section at **fidelityadvisersolutions.co.uk**

How to pick up your reports

1. Login to Client Management



2. Click on 'Firm' and 'Reporting Services'



Making reports easy

How to use our reports

Once you have decided on the report that you want:

1. Download the report, then
2. Save the report on your own PC as an Excel file (.xls) if you wish to manipulate the data.

If you wish to manipulate the data on the reports a useful Excel tool is a pivot table. A pivot table is a data summarisation tool found in data programmes such as spreadsheets. Pivot tables enable you to automatically sort, count and total the data stored in one table or spreadsheet and create a second table displaying your summarised data.

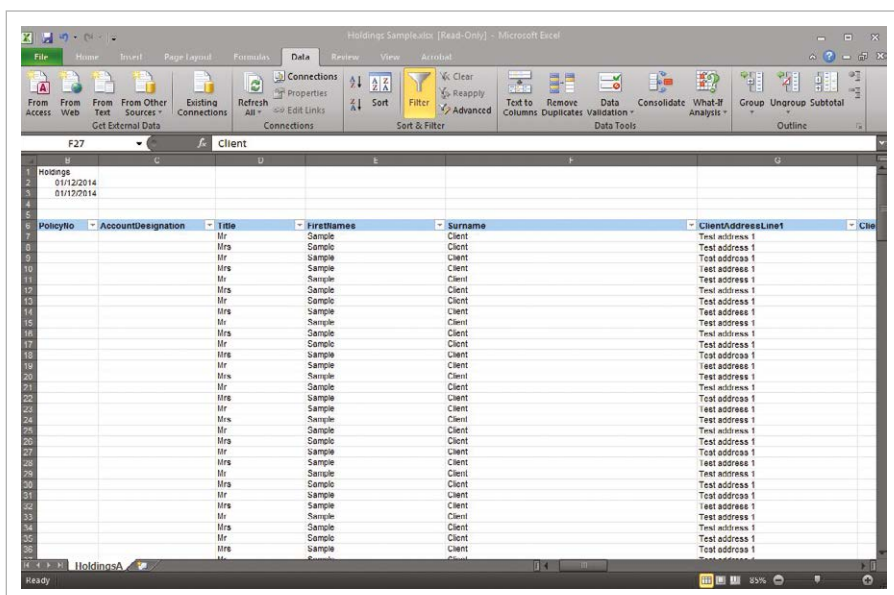
Important – if you click ‘Open’ and try to run a pivot table without copying to a new sheet it will fail. The best way to avoid this is to always click ‘Save’ when downloading and work from the file on your PC.

Do you want to open or save AdviserFeePayments.xls (775 KB) from fidelity.co.uk?

Open Save Cancel

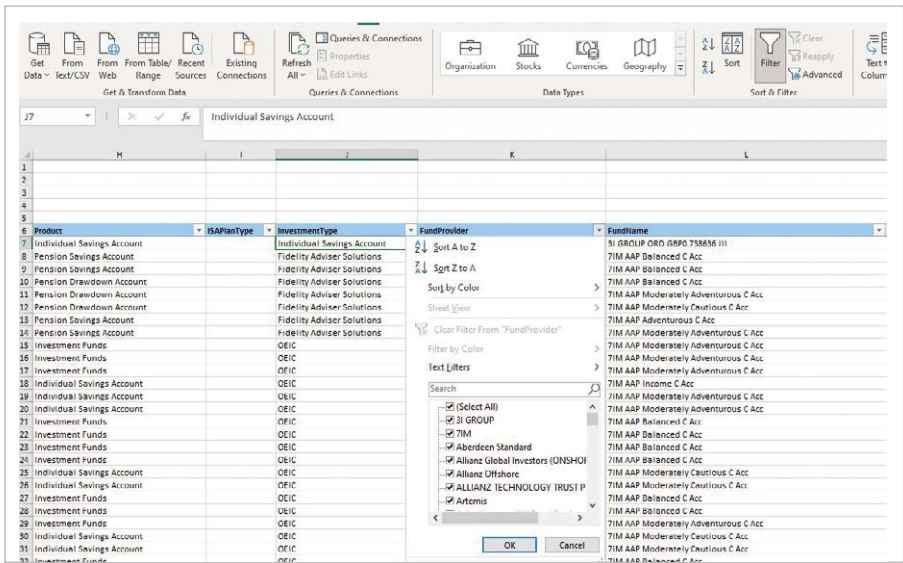
Using filters – example ‘Holdings Report’

A key tool within Excel is the ‘Filter’ function. Filters enable you to see just the items you want without changing the underlying data. When requesting a B2B file you can have the option of a pre-formatted Excel file with filters already applied, enabling you to work rapidly and easily with the data.

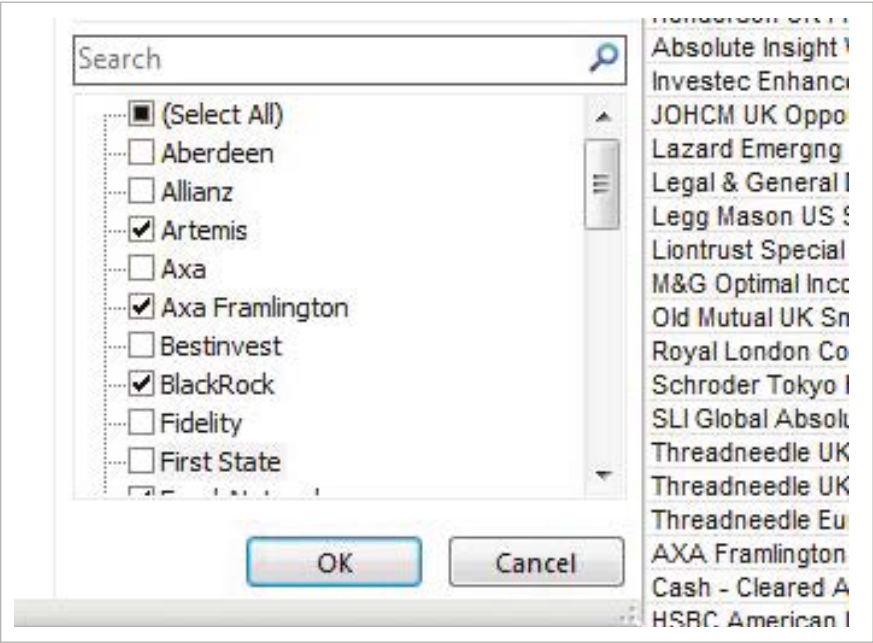


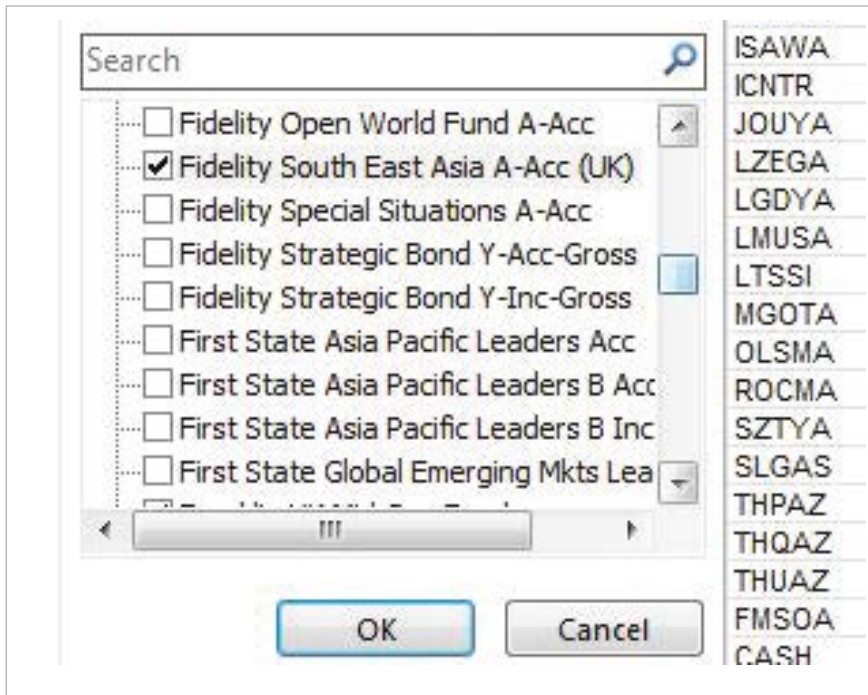
Go to ‘Data’ and select ‘Filter’.

This will apply drop-down boxes to each of the column headings; allowing you to filter your data headings in your report. You can also combine more than one type of filter; such as filtering Pension clients then filtering those pension clients by fund provider.



Once the filter is switched on, click on the arrow in the 'Provider' column. Here you can choose any of the fund providers in the list to identify clients with holdings in this particular provider's funds.





You could choose to filter by specific fund using the 'FundName' column. This could help with bulk switching exercises or fund performance analysis.

| 2 | | |
|----|-----------------------------------|---------------------|
| 3 | Row Labels | Sum of ValuationGBP |
| 4 | Individual Savings Account | 2569800 |
| 5 | Investment Bond | 900 |
| 6 | Investment Funds | 841100 |
| 7 | Junior Individual Savings Account | 171500 |
| 8 | Offshore Funds | 13600 |
| 9 | Pension Drawdown Account | 330800 |
| 10 | Self Invested Personal Pension | 6200 |
| 11 | Grand Total | 3933900 |

You can also use the pivot table function, shown previously, to identify the assets you have on the platform split by product, giving you details of the total assets held.

| Field | Drag to |
|---------------|------------------------|
| Product | 'Drop Row Fields Here' |
| Valuation GBP | 'Drop Data Items Here' |

For more information or any
questions that you may
have please visit
fidelityadvisersolutions.co.uk

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