

# Act4Advisors 2.0

ACT4ADVISORS  
GETTING STARTED GUIDE

# Getting Started Guide

Windows 98, Windows 98SE

Windows 2000

Windows Millennium

Windows XP Professional

Windows XP Home

## **Act4Advisors Software (A4A)**

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# C H A P T E R

# 1

## **Overview of Act4Advisors**

ACT! by Best Software is the leading contact management software in the world. With over 4 million users and over 16,000 corporate accounts, ACT! has become number one by including powerful features with ease of use and affordability.

Out of the box, ACT! does not come customized for the businesses who will be using it. ACT!'s design functions do allow flexible customization but most business people do not have the knowledge of databases nor the time to learn.

Act4Advisors is a customized ACT! database, screen layouts, reports, macros, queries and other programs specifically designed for financial planners, investment advisors and other financial practitioners. Act4Advisors gives the user ALL of the capabilities and functionality of ACT! but adds a customized interface with data fields and functions that most financial professionals need and want, thus saving the professional from the time and expense of trying to customize the software themselves.

Please be aware that this manual is brief in summary. Act4Advisors 2.0 requires ACT! 6.0. You should consult your ACT! documentation about ACT! features and how to use the ACT! software.

### **ACT! Features Helpful to Financial Professionals**

- Calendar and schedule that can be shared with others in the office.
- Delegate tasks to others in the office
- Find out what has been completed and what has not
- Easily “mail merge” contacts to letters, emails and faxes
- Record conversation notes that are date and time stamped
- Attach files to the contact record such as spreadsheets, letters, financial plans, proposals, emails, faxes, etc.
- Track the sales process and sales opportunities

## **Act4Advisors 2.0**

- Mail Merge contact information directly into your word processor documents
- Email directly from ACT!
- Fax directly from ACT! with optional Winfax software
- MAINTAIN CONTACT WITH CLIENTS AND PROSPECTS !!!

### **Act4Advisors Features**

- Track personal information such as names, dates of birth and social security numbers of each family member
- Automatically fills in Spouse Last Name
- Immediate access to client files on your computer or server from within ACT!
- Optionally scan documents directly into the client's defaulted folder via PDF, TIF and other formats.
- Automatically calculate ages, minimum required distribution dates and retirement dates
- Track various phone numbers and two residential addresses and two business addresses
- Tracks Hobbies\Interests, Clubs\Affiliations and Keywords that are user defined
- Track investment holdings with the included Excel spreadsheet and update prices from the web
- Track insurance policies
- Record tax information
- Record securities held
- Established Marketing and Service Letters
- Preset Activity Series created from "best practices" for Drip Marketing, ACATs, Insurance Underwriting and Seminar Planning
- Record account numbers and web links to the investment accounts web site
- Portfolio quotes from the internet
- Manually enter current asset allocation
- Record client goals
- Record client's other advisors and their phone numbers
- Record account information necessary for a new account form
- Integrated web access via the Web Info tab
- Track investment holdings with the included Holdings Spreadsheet
- Optionally fill in New Account Form, Annuity or Mutual Fund App with Laser App

### Installation

Before you install Act4Advisors, you must have ACT! 6.0 pre-loaded. Make sure you have the most recent “build” of ACT! by clicking on Help, Check for Updates. Installing Act4Advisors is quite easy.

You will need an internet connection and a key code to complete the installation. The key code is normally on the inside of your software case or it is provided to you via email for downloads. If you do not have access to the web, please call technical support for an alternate installation.

Single User Licenses will install the entire program at once. Network users will need to install the database first. During the installation you will be prompted for your key code. After installing the database, install the Program Files on each workstation. Again, you will be prompted for the key code. *Note: You are only licensed to use one database but you are allowed two database installations.*

### Opening Act4Advisors

Once you have finished installation:

1. Open ACT!
2. Open the Advisor.dbf file
3. Select the desired Advisor layout.

First, open ACT! Next, click on File on the menu at the top. Click on Open. Browse to the folder you installed the database (default for standalone users is \My Documents\ACT\Database\Act4Advisors 2.0) Double click on the file Advisor.dbf. The defaulted user name is ME and there is no password.

Next, go to the bottom of your ACT! screen to the left of the <No Group> button and change your Layout view. Click on it and select an Advisor layout (ie. Advisor 2.0 1024x768) depending on your monitor resolution. You are now ready to begin using Act4Advisors. Be sure to edit the My Record and insert your name and company info.

### Troubleshooting:

The Advisor layouts only works with the Act4Advisor database (Advisor.dbf). If you use one of the Advisor layouts with another database, you will notice that the screen is missing several data fields and the “form” will look incorrect. To verify you have opened the correct database, maximize all of your ACT! windows. Look at the top left corner or your ACT! screen on the title bar. It should say, ACT! - [Advisor—Contact] where Advisor is the database name. If another database is open the word “Advisor” will not be present.

When you click on the layout button and don't see a choice called “Advisor”, the layout files did not get copied to the correct folder. To resolve this problem, you should check your Preferences. On the ACT! menu, click on Edit, Preferences. To the right of the General tab, click on the down arrow next to the word, Database and choose Layout. The defaulted location will show below. This is where you will have to copy the Advisor layouts.

To find the local \ACT\Layout folder, open My Computer and find the drive ACT! was loaded in (usually C drive though it could be D or another drive.) ACT!'s default installation folder is normally C:\Program Files\ACT\Layout

Open the Layout folder by double clicking on it. Select and “Copy” all of the Advisor files. Now, browse to your to the defaulted folder you noted in your Preferences. Click on Edit | Paste. Verify the files are there. Open ACT! again and click on the Layout button at the bottom. The Advisor layouts should available.

# C H A P T E R

# 2

## Importing Your Existing Data

ACT! has an exceptional import wizard allowing you to import your existing data. You can import an ACT! database, a dBase file, a Microsoft Outlook file, Palm Desktop or an ASCII text file with delimiters like commas or tabs. Third party programs are also available through us at AFS.

### Existing ACT! Users

If you have an existing ACT! 3.x database or newer, you can import your data directly into the Act4Advisors database using ACT!'s Import Wizard. Before you begin, you should note the data fields that are available in Act4Advisors and the data fields you have in your database. If you have taken the time to customize your old ACT! database, you should be sure there are corresponding data fields in Act4Advisors. If you did not customize your ACT! database, you can use our installed "map" file to bring in data from a non-customized ACT! database.

If you are tracking data that is not tracked in Act4Advisors and if you want to retain this data, you can import the data into one of Act4Advisors User Defined Fields or you should add these data fields to the Act4Advisors database before you begin. Consult your ACT! documentation on how to add data fields.

### Pre-Conversion Program

On your CD, we have provided a Pre-Conversion program that will assist existing ACT! users and those upgrading their current Act4Advisors 1.x in importing data. The program should be installed and run before importing your data.

## IMPORTING

To import your existing ACT! data or any other database, open the Advisor database. Click on File, Data Exchange, Import. Be sure to pick the correct file type and browse to where your database is located, Click on the NEXT button.

If you are importing an ACT! 3.0 database or higher, click on Contact and Group records. If you are importing any other database, click on Contacts Only then click the NEXT button. If you have an ACT! 2.0 databases or lower you should review the ACT! documentation before you continue.

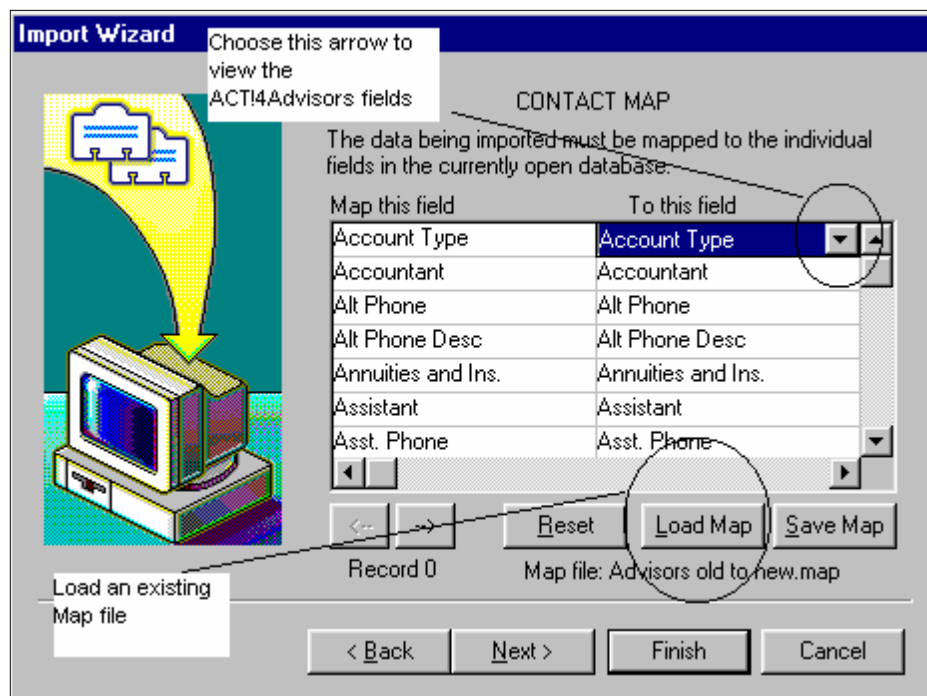
Choose the importing "MAP" file that corresponds with your data. You may have to scroll to the right to see them. Some MAP files that are included with ACT! are for Goldmine, Maximizer, and many others and are loaded in the Program Files\ACT folder. If you are importing data from another ACT database, we have created two MAP files that direct your BASIC ACT! data fields

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into the Act4Advisors. The name of the main MAP file is "act standard fields to act4advisors.map" is located under the C:\Program Files\A4A folder. THIS MAP IS ONLY GOOD IF YOU HAVE NOT MODIFIED FIELDS. If you choose this map, you will still have to map the rest of your data fields.

**Note:** If you were using the Address fields at the TOP of your ACT! screen for the contact's Home Addresses, you will want to alternately use the map file named "act top address fields to a4a home address fields.map" This maps the Address fields to the home address fields in Act4Advisors. Other map files included are for Agent Workbench CIM, Laser App and Brokers Ally.

Whether your "Map" file is located or not, you may still have to map data fields to the appropriate data fields in Act4Advisors. This is quite easy but it may take you a few minutes.



The left column of the contact map screen includes the data fields of your current database. The right hand side column includes the available data fields for Act4Advisors. Simply click in the boxes on the right hand side to choose a data field in Act4Advisors. **BEFORE YOU CLICK ON THE NEXT OR FINISH BUTTON, SAVE YOUR MAP INCASE YOU HAVE TO REDO THE IMPORT.** This will save you time.

If you are uncomfortable importing data, feel free to contact us for our Data Conversion Services. We often convert data from Bill Good, FDP, Brokers Helper, Advisors Assistant, EZ Data, dbCAMs, Junxure, Protracker, Brokers Ally, and even from other ACT! databases. Our fees are based on the time it takes to convert the data but the fees are very reasonable.

For additional information on importing, consult with your ACT! documentation. If you require a consultant to import your data, feel free to contact us for a quote.



### Basic Navigation for New ACT! Users

#### Adding a New Contact

There are several ways to enter a new contact into ACT!. You can use the icon on the toolbar, the Insert key on your keyboard, choose Contact, New Contact on the menu or right mouse click on the ACT! desktop outside of a field and left click on New Contact.

Once you have created a blank contact record, you can enter information into each data field by using either the Tab key or Enter key. To set your preference on this, click on Edit on the menu and then choose Preferences. The General tab allows you to select the method of moving between fields, Tab or Enter.

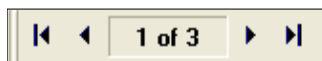
Tip: Whether you are using the Enter or Tab key to go through the fields, you can use the other key to advance to a different section. Also, you can move back to the previous field by holding down the shift key while hitting the appropriate Tab or Enter key.

#### Drop Down Menus (AKA Popup Menus)

Drop down menus are available on many data fields. The fields that have drop down menus will contain a down arrow at the right side of the field when your cursor is inside the field. Try your best to use pull down menus as often as possible. This will ensure data consistency that can be search on later. For example, if you are trying to keep track of the type of client, you wouldn't want to enter "comm" for a commissionable client for one contact and then "c" for the next contact. If you searched for "comm" you would miss all those entered differently. To pick from the list or modify the list, use your F2 button on your keyboard. ***To select more than one item in the list, hold down your Ctrl key and select the items you desire.***

#### Looking Up Contacts

ACT! has powerful features for searching and sorting and Act4Advisors adds its own search program to make searching easier. There are several methods for searching any data field in the database. To lookup a name like, Marcus Jennings, click on Lookup on the menu and choose First Name or Last Name. If you choose the first name, simply type in Marcus and click OK. If you have more than one Marcus in the database, you will find them all. Verify this by looking at the navigation bar on the tool bar.



If you have only one Marcus, the tool will say 1 of 1. If you have more than one Marcus then it will display the total number as displayed above. You can use the arrow keys to go to the next contact or if you would like to look at a list of everyone, you can click on the Contact List button on the left Side Bar.



The results of the above search is known as a “Lookup.” Lookups are simply defined as the results of a search. Lookups can be used for mail merges, email merges, mass modifying, mass deletions and much more. Be sure to check your ACT! documentation for more information about Lookups and more advanced searches.


**TIP:**

**Most of the “Lookups” on the Lookup menu are “begins with” searches. Looking for First Name Marc will render Marc, Marcus, Marcelle, etc.**

### Writing Letters

Letters are dynamic in ACT!. Typical letters will draw information from the contact record and insert it in the letter itself. You can use either the built in ACT! Word Processor or you can use Microsoft Word 2000 or greater. Writing letters from ACT! will automatically insert the date, contact’s name, address (business address by default), salutation and even the ending of the letter with the users name inserted. If you are mainly writing simple letters, we recommend you use the ACT! Word Processor. This program allows the main functions needed in writing letters but it uses much less system resources than MS Word. If you require more customization of the documents, we suggest MS Word as your defaulted word processor.

To establish your preference for either word processor, click on Edit | Preferences. On the General Tab you can select the word processor of your choice.

There are two easy ways to write a letter to someone. Click on Write on the menu and choose Letter or click on the letter icon on the toolbar. 

If you would like to edit the letters format or if you would like to create a standard form letter, click on Write | Edit Document Template and find the Letter template (letter). *If you are creating a form letter, be sure to save the file with a new name or you will always bring up that letter whenever you try to create a new letter. Click on File | Save As and rename the letter template. Act4Advisors letter template files have an A4A in front of their name and can be access from the Act4Advisors Menu. The Preferred Mailing Address is the desired defaulted template.*

### Mail Merge

To mail merge a letter to a Lookup of Contacts, you should first “lookup” the people you want to send the letter to. Next, click on Write, Mail Merge. The Mail Merge Wizard will prompt you to select the current lookup, the current contact, all contact or a group. You can then choose the type of output: Word Processor, Email, Printer or Fax (with optional Winfax software). Next, you will have to select the document you would like to merge.

### Email

ACT! 6.0 has built in internet email and even allows you to integrate MS Outlook, Outlook Express, Lotus Notes and others. To setup your email system, click on Edit, Preferences and choose email. Follow the instructions and be sure to check your ACT! documentation.

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To send an email, you can click on the email address or you can click on Write | Email Message. To edit an email address, hold your mouse on the email address for one or two seconds until it turns into a cursor or right mouse click in the email field. Depending on your setup preferences, once you send an email to a contact, the email is attached to the contact's Notes/History tab.

### Helpful Shortcuts

- The Function keys on your keyboard (F1, F2, etc) perform various functions. Try each one to see how you can save time with a simple keystroke. Use our Act4Advisors Keyboard Shortcuts Card included with the software.
- Explore “right mouse clicks.” The right mouse button will allow you to do several functions without having to find the correct menu item.
- The List Contact button allows you to see more than one contact at a time. You can choose the Edit mode or Tag mode depending on what process you are doing.
- If you would like to select more than one contact in the list view, Edit mode, click on the gray box to the left of the contact. Hold your Ctrl key down while you click to select individual contacts or hold the Shift key down to select consecutive contacts.
- Assign contacts to a Group who have something in common (ie. Clients, Seminars, etc.)
- Use the button bar to schedule a call, meeting or to-do.



- Schedule a “recurring” call, meeting or to-do with your “A” clients.
- Schedule personal meetings and to-dos in your My Record. (ie. son's ball games, your wedding anniversary, drop off the laundry, etc.) Click on Lookup | My Record
- Keep track of all the work you have done for the client and prospect by “attaching” files to the notes. Right click in the notes area and choosing Attach File.
- Get driving directions, maps, weather and more by clicking on Online | Internet Links
- Add items to some of the menus with the selection “Modify Menu.” For example, if you have 5 main form letters you send, add these letters to the Write menu
- To see what you need to accomplish for the day, use Task List on the side bar or F7 key
- Use smaller icons of the side bar by right clicking on the sidebar and choosing Small Icons
- Set Reminders to Backup, Reindex, Synchronize, Rollover “Undone” Activities to Today or Run Group Rules. Click on File, Set Reminders
- Establish important birthday and anniversary card reminders as recurring activities.

**BACKUP YOUR DATABASE REGULARLY AND TAKE ALTERNATING BACKUPS HOME WITH YOU INCASE OF FIRE OR THEFT !**

# CHAPTER

# 3

## Keeping a Record

ACT! and Act4Advisors allow you to track various information about a contact. It is prudent and sound business advice to keep track of every correspondence and conversation with a contact. You can serve your clients best by being able to remember or recount when something was done or said.

ACT! has several features to allow you to keep track. ACT! has Notes, Histories and Attachments that can give you a good record of all that has taken place with a client. This is the one feature of any good database system that can save you money and time.

## Notes

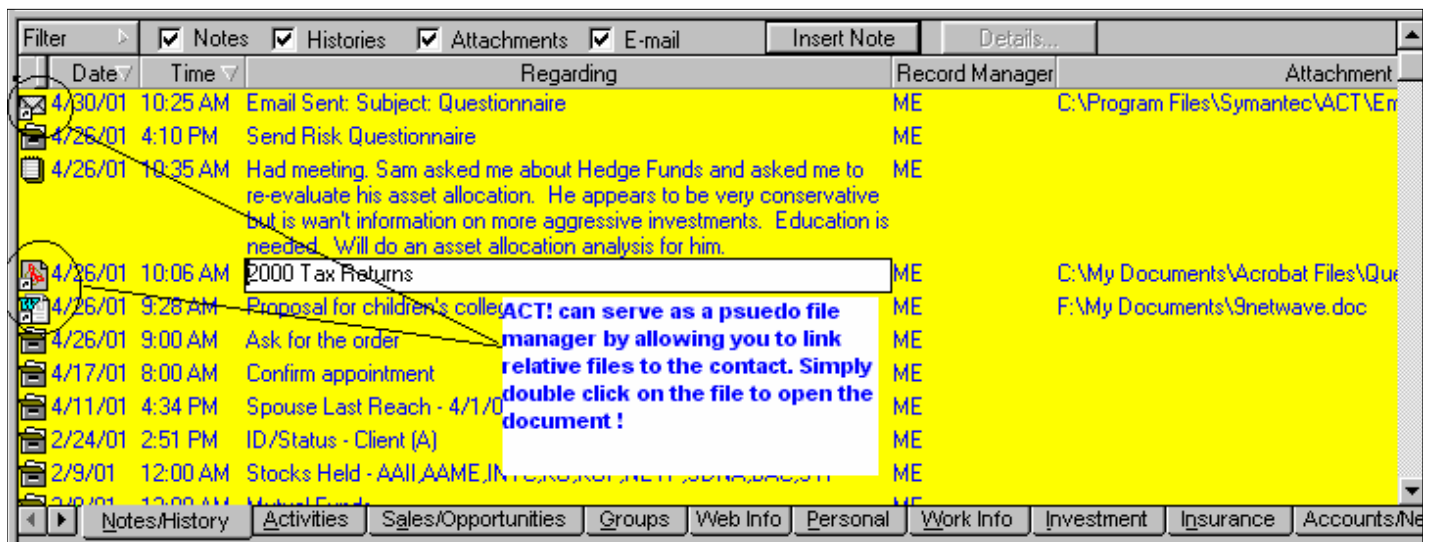
There are several ways to record Notes in ACT! The easiest way is to press your F9 key. Otherwise, you can click the Notes tab and click Insert Note. The Note will automatically be date and time stamped and the user entering the note will also be inserted. This Record Manager is the user who signed on as the login name.

Filter	Notes	Histories	Attachments	E-mail	Insert Note	Details...	
Date /	Time /	Type	Regarding	Record Manager			
8/29/2003	12:11 PM	To-do Done	Sell ABCAX	Scotta			
7/17/2003	12:07 PM	Note	Sam wants to look at alternate investment choices and wants to update his insurance. Said that Jane is going in for some minor surgery and he wants to have more cash available because she will be out of work for 8 weeks.	Scotta			
7/17/2003	12:07 PM	Meeting Held	Annual Review	Scotta			
7/16/2003	3:19 PM	Call Completed	Confirm Appointment	Wendy			
7/3/2003	12:52 PM	Field Changed	Date Invest Modified - 7/3/2003	Wendy			
6/24/2003	1:41 PM	Field Changed	Portfolio - AG,MGI	Wendy			
6/14/2003	2:24 PM	Closed/Won Sale	Hartford Director, Annuities, \$13,125.00	ME			
6/14/2003	1:36 PM	Closed/Won Sale	Lockwood, WRAPs, \$1,435.00	Scotta			
6/14/2003	1:35 PM	Closed/Won Sale	Aim Aggressive Growth, Mutual Funds, \$3,000.00	ME			
6/12/2003	9:16 AM	Field Changed	Comm/Fees to Date - \$2,000.00	Scotta			
5/29/2003	12:24 PM	Attachment	A4A_Holdings.xls[Library][Active]	Scotta			C:\Docum
5/28/2003	10:30 PM	E-mail Message	Subject: Re: Question- Tech Support	Scotta			T:\My Do
4/11/2002	12:00 AM	Field Changed	Stocks Held - AAIL,AAME,INTC,KO,KOF,NETP,SDNA,BAC,STI	Scotta			
2/24/2001	2:51 PM	Field Changed	ID/Status - Client (A)	ME			
2/9/2001	12:00 AM	Field Changed	Mutual Funds - ABCAX,ABLBX,BCTXX,BEGBX,BEGRX,BGEIX,LDNRX,OPEBX,	Scotta			
2/8/2001	11:47 PM	Field Changed	Contact - Mr. Sample Client	ME			
2/8/2001	11:20 PM	Field Changed	Mutual Funds - ABCAX,ABLBX,BEGBX,BEGRX,BGEIX,LDNRX,OPEBX,	Scotta			

## Attaching Files

Attaching files is one of the most powerful features within ACT!. Being able to keep a trail of every correspondence keeps you informed and organized. Attached files are nothing more than shortcuts to the document on your hard drive. You can attach files to a contact allowing you to easily find documents and images that are related to the contact. Some common attachments would include proposals, spreadsheets, letters sent, emails sent, etc.

Other suggestions for linking files might include scanned documents such as tax returns, financial plans, investment policy statements, pictures, articles and other important information.



## The Paperless Office:

With the right kind of software and scanner, ACT! and Act4Advisors can become instrumental in allowing you to "free up the clutter" of a typical financial services office. We recommend you have fast scanners. You will need a flatbed and/or a sheet fed scanner. Sheet fed scanners can free up time from having to manually place each page on the scanner. Flatbeds are great for books, bulky brochures, magazines, etc. Some flatbeds have optional sheet feeders. Just be sure the scanner itself is relatively fast. Twain compliant may be more versatile with more software choices than ISIS compliant but the later is typically the format used by high speed corporate scanners.

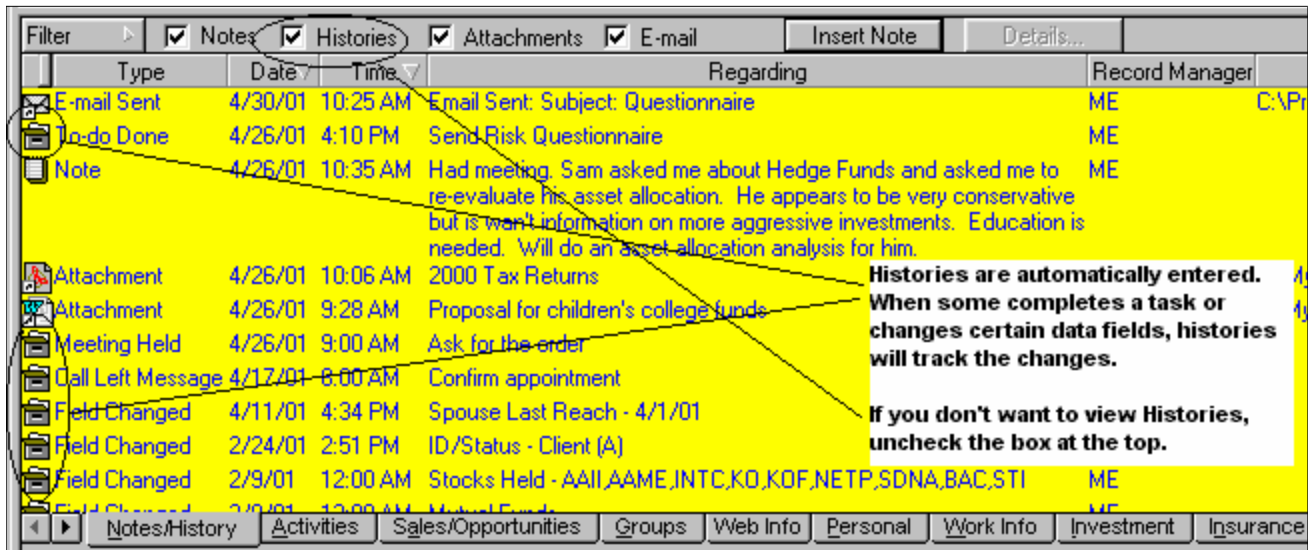
Faster scanners will be Firewire, SCSI or USB. USB 2.0 and Firewire are the fastest but there are not many Firewire scanners available as of the printing of this manual. For a USB Scanner, make sure it is USB 2.0 and make sure you have a USB 2.0 card on your PC. Research fully before you buy and see our later chapter on Scanning and Document Management.

## History Records

Notes and attachments are manually created but a History entry is normally done automatically for you. When you "complete" a call, meeting or to-do or make changes to some of the contact fields, a history notation is automatically entered in the notes area. For example, Act4Advisors inserts a History entry whenever you change the contacts Net Worth or if the Securities Held

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changes. This gives you an automatic entry that can be queried or simply referenced at a later date. It also allows you to track changes made to the contact record over time. Histories are noted with a file cabinet icon. To filter out histories from your view, uncheck the Histories box. This may cause slow performance so we suggest that you put the check mark back before you to the next contact record.



### Turning Automatic Histories Off

If don't want a field to generate a history when it is changed, click inside the desired field. Click on Edit, Define Fields. Uncheck the Generate History box for the appropriate field.

### Taking a Phone Call and Keep the History

The "best practice" in making or taking a phone is to Record a History. Notes should only be used to note what was said but the fact that you spoke to a contact is tracked via a history.

**When taking a call, hold down the Ctrl key and H key at the same time.** This will record a history that ACT! 6.0 can search for later. For example, you may want to know all of your clients you have not spoken to in the last 90 days. This would be difficult if you only used notes to record conversations. Notes can also be used for "non" conversations. If you simply search for all of the notes that have been added in the last 90 days you may discover you only typed notes and did not make a contact. Using Ctrl + H to record every completed call will be your best way to find out all of those you have actually spoke to.

# C H A P T E R

# 4

## **<sup>1</sup>con·tact**

Pronunciation: 'kän-"takt

an establishing of communication with someone

## **man·age·ment**

Pronunciation: 'ma-nij-ment

**1** : the act or art of managing : the conducting or supervising of something (as a business)

**2** : judicious use of means to accomplish an end

## **sys·tem**

Pronunciation: 'sis-tem

an organized or established procedure

## **Staying in Touch**

ACT! is a "contact management system." Each of these words needs emphasis. With Act4Advisors, you can better manage your relationships with clients, prospects and others. ACT!'s features combined with the Act4Advisors interface allows you to Stay in Touch!

## **Activities Tab**

The Activities tab is also one of the most powerful parts of ACT! It allows you to schedule a Call, a Meeting, and a To-Do (such as write a letter or send out a birthday card). Activities can be scheduled for the current user or they can be delegated to someone else's "Task List." For example, you can set up a To-Do for your assistant to send out follow-up letters to everyone you have met with this week. Or you might want your assistant to input a financial plan for a client. These items will show up on the assistant's Task List and/or calendar for the dates you designate. You can easily verify what has been accomplished and what has not.

ACT! allows you to prioritize these scheduled activities with either High, Medium or Low tags. Successful people are not only those that always do the High priority items first, but they are the one's who can distinguish between a High, Medium and Low priority item. For example, if you make non-productive activities High priorities and productive activities Low, you will most likely never get anything accomplished in pursuit of your goals. To use Act4Advisors well, you must establish processes and procedures for effective contact management.

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To schedule an activity you can either right click on the ACT! desktop and left click on Schedule or click on the appropriate buttons on the toolbar at the top.

**Schedule Activity**

General | Details | **Recurring Settings** | Advanced Options

Activity type: **Call** Date: **1/5/2004** Time: **NONE** 10 minutes

With: **Client, Sample [Sam Client, Inc.]** Contacts

Regarding: **Follow up on Profit Sharing Information Sent** Priority: **Medium**

Associate with group: Activity Color: **Green**

☐ Ring alarm 5 minutes before activity ☐ Show full day banner

Scheduled for: **Scott** Scheduled by: **Mary**

**Schedule For/By** OK Cancel

**If you want the activity to show up periodically such as anniversaries and birthdays, use the Recurring Settings.**

**Assign activities to others in your office.**

The Activities tab allows you to view all activities you have scheduled for a contact. If you are instituting a “Drip Marketing” campaign, you can establish a list of calls and to-dos that will “recur” over specific periods of time. Consult your ACT! documentation for details on establishing recurring activities.

In the illustrated example, you can view those activities that have been cleared and those not

Filter	Types to show		Priorities to show		Dates to show:			
	<input checked="" type="checkbox"/> Calls	<input checked="" type="checkbox"/> Meetings	<input checked="" type="checkbox"/> To-do's	<input checked="" type="checkbox"/> High	<input checked="" type="checkbox"/> Medium	<input checked="" type="checkbox"/> Low	All dates	Select Users...
				<input type="checkbox"/> Show only timeless		<input checked="" type="checkbox"/> Show cleared activities		
<input checked="" type="checkbox"/>	Type	Date	Time	Priority	Regarding	Details	Duration	
<input checked="" type="checkbox"/>		1/5/2001	10:00 AM	High	Ask for the order		1 hour	
<input checked="" type="checkbox"/>		1/8/2001	8:00 AM	Medium	Confirm appointment		30 minutes	
<input checked="" type="checkbox"/>		5/29/2003	NONE	Low	JTT: Copy Apps and Mail to Insurance Co		5 minutes	
<input checked="" type="checkbox"/>		6/3/2003	NONE	Low	Followup on APS		5 minutes	
<input checked="" type="checkbox"/>		8/8/2003	NONE	Low	Confirm appointment for Profit Sharing		10 minutes	
<input checked="" type="checkbox"/>		9/1/2003	NONE	Medium	Send Quarterly Performance		10 minutes	
<input checked="" type="checkbox"/>		12/31/2003	NONE	High	BIRTHDAY CALL FOR SAM!		5 minutes	
<input checked="" type="checkbox"/>		1/5/2004	NONE	Medium	Follow up on Profit Sharing Information Sent		10 minutes	

◀▶

Notes/History

Activities

Sales/Opportunities

Groups

Organizer

Library

Web Info

Personal

Addresses

Investment

Insurance



yet done. If you are more interested in seeing all the activities you have established for the day, week or month, you have choices.

To view the daily calendar showing all activities scheduled for today, simply click on the Daily Calendar button on the side bar. The week view can be done with the button on the side bar or the F3 key. The monthly view can also be done with the F5 key.

### Task List

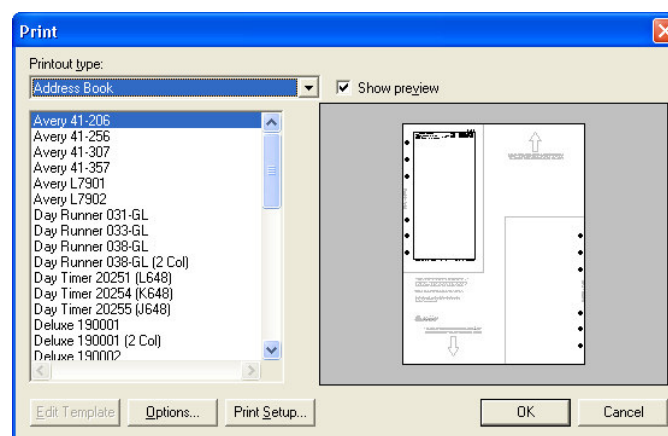
The Task List can show all activities scheduled and allows filtering for any ACT! user, type, date range and even priority. Some people are more productive using the Task List as opposed to a calendar but both are helpful for different uses.

Filter									
Types to show		Priorities to show		Dates to show:		Select Users...			
<input checked="" type="checkbox"/> Calls <input checked="" type="checkbox"/> Meetings <input checked="" type="checkbox"/> To-do's		<input checked="" type="checkbox"/> High <input checked="" type="checkbox"/> Medium <input checked="" type="checkbox"/> Low		All dates Today Past dates Today and Future Date Range...					
Type	Date	Time	P	Regarding	Scheduled For	Details	Duration		
	1/5/2001	10:00 AM	High	Mr. and Mrs. Sample Client	Ask for the order	Jack Advisor	1 hour		
	1/8/2001	8:00 AM	Medium	Mr. and Mrs. Sample Client	Confirm appointment	Jack Advisor	30 minutes		
	5/29/2003	NONE	Low	Mr. and Mrs. Sample Client	JTT- Copy Apps and Mail to Insurance Co	Jack Advisor	5 minutes		
	6/3/2003	NONE	Low	Mr. and Mrs. Sample Client	Followup on APS	Jack Advisor	5 minutes		
	8/8/2003	NONE	Low	Mr. and Mrs. Sample Client	Confirm appointment for Profit Sharing	Mary Jones	10 minutes		
	9/1/2003	NONE	Medium	Mr. and Mrs. Sample Client	Send Quarterly Performance	Janie Smith	10 minutes		
	12/31/2003	NONE	High	Mr. and Mrs. Sample Client	BIRTHDAY CALL FOR SAM!	Scott Brown	5 minutes		
	1/5/2004	NONE	Medium	Mr. and Mrs. Sample Client	Follow up on Profit Sharing Information Sent	Scott Brown	10 minutes		
	3/31/2004	10:51 AM	Low	Mr. Martin Short	Confirm appointment	Jack Advisor	10 minutes		
	4/1/2004	10:00 AM	High	Mr. Martin Short	Bonds Coming Due	Jack Advisor	30 minutes		

If you are interested in looking at the task list for your assistant, your boss or anyone else that is a user, choose the Select User button. You can see what has been scheduled, what has been accomplished and what has not.

### Printing Calendars, Reports, Labels, Envelopes

To print, click on File, Print. Choose the printout type. ACT! has calendars formatted for various types of day planners. Formats available include Avery, Day Runner, Day Timer, Deluxe, Time System, Time Design and generic. To print a calendar click on File, Print and select the type of item you want to print from the pull down menu.



# CHAPTER

# 5

## Sales and Marketing

### Using the Sales and Opportunities Tab

Whether you earn fees or commissions, you must still bring in new client accounts and you have to sell yourself and your services. ACT! has functions to help you track your sales pipeline. The Sales and Opportunities tab follows the Dale Carnegie approach but you can customize the Sales Stages based on your own needs. You are able to enter in the various opportunities for the contact and keep track of possible revenue you might derive from those

**Sales Opportunity**

General | Additional Information

You can create a sales opportunity to track potential sales

**Product information**

Product: Lockwood Asset Management

Type: Asset Management

**Sale information**

Units: 250,000 Unit price: \$0.0125 Amount: \$3,125.00

Forecasted close date: 2/16/2004 Probability: 100 %

**Sales stage**

Commitment to Buy

**Sales opportunity with**

Contact: Client, Sample [Sam Client, Inc.]

Associate with group: Creation date: 8/21/2003

**Complete Sale...** OK Cancel

**Use the F2 Key to edit these lists for the products and services you promote**

**Enter investable dollars or premium here**

**Enter compensation rate (fee or commission) here**

**When the business is closed, Complete the Sale here**

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opportunities. We have also customized the sales reports to help you utilize the software for your practice.

Be sure to customize the drop down lists of Products and Type for the products and services you offer. We have included types as examples but not products. To modify these lists, click inside each field and press the F2 key.

To track possible revenue from a sales opportunity, we recommend you use a method consistent with the way you get paid. For example, if you are paid 1% fees on assets under management on a possible \$100,000 account, you might enter the units as 100,000 and the price as \$0.01.

The Amount will automatically be inserted.

For life insurance sales, enter your premium in Units and the commission in Unit Price. For stock or fund sales, use the same method as managed accounts above. To enter in a flat fee, enter 1 for Unit Price and the Fee in Units.

Product information		Sale information		
Product:	Best Of America VUL	Units:	Unit price:	Amount:
		5,000	\$0.75	\$3,750.00
Type:	Insurance	Forecasted close date:	Probability:	
		10/23/2003	100 %	

The probability of closing the sale is an ambiguous item. Typically, you should enter the amount of confidence you have in getting the business stated as a percentage. This may also depend on where you are in the sales stage. The Forecasted close date will give you a targeted date to close this business.

For more on Sales Opportunities Tab, consult your ACT!

### Groups

Groups are designed to help you segment your database into subsets where everyone in a group has something in common. Some examples of groups are :

- Everyone who works for ABC Corporation whom you have implemented a 401k plan for
- Everyone who has a net worth above \$2,000,000
- Everyone who is a client
- Everyone who is a hot prospect
- Everyone who is in Rotary Club
- Everyone who owns your Aggressive Growth portfolio
- Everyone you synchronize your Palm Pilot with
- Everyone attending your next seminar.

Individual contacts can belong to more than one group and in many cases, you may always assign the contact to a certain group. This will make looking up a group of contacts easier and faster. Groups, like contacts can also have activities, notes and user fields. Be sure to read our later chapters on Groups and consult your ACT! documentation.

# CHAPTER

# 6

## Act4Advisors Screens

### The Main Screen

The screens in Act4Advisors will vary depending on the layout you have chosen to work with. For our illustrations, we will discuss the Advisor 2.0 1024x768.

The main (top) screen was designed as the “home-base” for important information that will always be front and center. This top panel includes necessary contact items such as contact and spouse’s name, numerous phone numbers, address, ID/Status, email, Salutation (or nickname), Comments and Last Results.

The screenshot displays the Act4Advisors software interface, Version 2.0. The main window is titled "Act4Advisors" and includes a copyright notice for 1999-2003 Allied Financial Software, Inc. The interface is divided into several sections:

- Contact Information:** A table with fields for Salutation (Sam), Home Phone (777-477-7777), Work Phone (655-555-5899), Mobile Phone (777-879-7797), Alt Phone (777-888-8888), Alt Phone2 (770-447-4444), Alt Phone3 ([44] 447-709-995959), Fax (777-788-9797), and Pager (222-311-3111). There are also checkboxes for "Beach Home", "Home Fax", "London Office", and "Office".
- Personal Information:** Fields for First Name | Last (Sample | Client), Spouse First | Last (Jane | Client), E-mail Address (samclient@dohoh.com), and Web Site (www.samclient.com).
- Preferred Mailing Address:** A section with a "w" button and address details: Sam Client, Inc., 100 Peachtree St., Atlanta, GA 30000, Building 400, Suite 120.
- Client Details:** Fields for Open Date (3/6/1995), Client Type (Wrap), and Status (CLOSED). A dropdown for ID Status is set to "Client (A)".
- Household:** A field for the household name, "Jimmy Jones".
- Comments:** A text area containing the comment: "Wants to help us out at the PGA tournament in May."
- Last Results:** A field with the text "Sent literature on profit sharing plan".

Items to note:

- **Contact field**, you have the choice of either entering the name as Mr. and Mrs. Sample Client or Mr. Sample Client . Be sure to add “Mr. and Mrs.” and/or “Mr. & Mrs.” to your Preferences under the Names tab. Adding these First Name Prefixes to ACT! will allow the program to ignore them when including them in the contact name.
- **First and Last Name** fields for the contact are added automatically by entering in the contact name. These fields can only be change through the contact field. If ACT! gets confused as to which is the first and last name, you may get a dialog box that asks you to choose the first and last name. You can manually choose the first and last name by clicking on the button on the right side of the Contact field when your cursor is in the field.
- **Spouse’s Name** field is separated into two fields. When you enter in the Spouse’s first

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name, the contact's last name is inserted automatically. Change it as necessary. When you delete the spouse first name, the last name is removed automatically.

- **Alt Phones** includes descriptions for the alternate phone or can be an extension or a note.
- **Salutation** is typically used in letters ie. Dear Sam or as a nickname, ie. you call Robert Smith, "Bob"
- **Email Address** allows more than one address in the Email Address field. Simply click on the drop down in the field or click on the F2 key while the cursor is in the field. This is where to add the secondary email addresses or the Spouse's email address.
- **ID/Status** allows you to tag the contact with an identifier for future categorization and lookups, ie. Client, Prospect, Vendor, etc. Use the F2 key to edit the list if necessary.
- **Client Type** further qualifies the ID/Status. For example you might use this field to record a WRAP client, an Insurance client or a Financial Planning client.
- **Preferred Mailing Address** is "copied" from one of the address fields you enter on the Addresses tab. When all the addresses are entered, you can simply choose the Preferred Address from the drop down. This will cause the fields to be populated. By incorporating a Preferred Address mechanism in Act4Advisors, we have made it easy for you to use one template and have letters go to home addresses for some clients , business addresses for some and Alternate addresses for others.
- **Status** is used either Open or Closed. If you are currently working on a financial plan, have an outstanding ACAT or have an insurance app is underwriting, the record should be Open. When all work is done for the client, you should mark the Status as Closed. This makes it easy to determine who you are actively working with at this point in time.
- **Household Link** is used to help you determine if this contact is related to another contact in the database. For example you might have an adult child whom you have entered as a prospect and they are "Linked" to their parent.
- **Open Date** is used when the prospect was first contacted or when the client became a client. From this field, you can determine how long a client has been with you or how long you have been chasing the prospect.
- **Last Results** is a great reference item. Enter the last thing you did or said to the contact.

### The Personal Tab

The Personal tab in Act4Advisors allows you to keep track of personal information on the contact. Dates of Births, Children's Names and DOB's, Estimated Net Worth (not to be confused with actual net worth on the Investment tab), tax rate, family income and others. Like most ACT! fields, it is best to use the "drop down" lists from the appropriate fields. This will make your data entry consistent and easily searchable. You can edit these lists by clicking on the F2 key on your keyboard.

Items to note:

<b>Marital Status</b>		<b>Anniversary</b>		<b>Comm/Fee to Date</b>				
Married		11/5/1962		\$2,000.00				
<b>Contact Personal Info.</b>			<b>Spouse Personal Info.</b>					
Social Security #	<input type="text" value="222-22-2222"/>	Age	Social Security #	<input type="text" value="123-13-2132"/>	Age			
Date of Birth	<input type="text" value="12/31/1951"/>	<input type="text" value="51"/>	Date of Birth	<input type="text" value="5/5/1961"/>	<input type="text" value="42"/>			
Gender	<input type="text" value="M"/>		Gender	<input type="text" value="F"/>	<input type="text" value="May"/>			
Referred By:			<b>Family Financial Info.</b>					
<input type="text" value="Seminar"/>			Income: <input type="text" value="\$220,000.00"/>					
Main Product Service Interest:			Estimated Network:					
<input type="text" value="Full FP"/>			<input type="text" value="\$2,600,000.00"/>					
Personal Interests:			Tax Bracket: <input type="text" value="31_"/> <a href="#">Calculator</a>					
<input type="text" value="Church Activities"/>			Risk Tolerance:					
Clubs and Affiliation:			<input type="text" value="Moderate Growth"/>					
<input type="text" value="CCS,PPC,UGA"/>								
<b>Dependents</b>								
Children	D.O.B	Age	SS#					
<a href="#">Jimmy Jones</a>	1/3/1981	22	222-22-1111	Step Child				
<a href="#">Janie Client</a>	5/9/1993	10	213-21-3213	Handicapped				
<a href="#">Johnny Client</a>	5/5/1988	15	533-13-2666					
<a href="#">Joanie Client</a>	3/6/1989	14	566-44-5664					
<a href="#">Jerry Client</a>	12/12/1987	15	564-65-4654					
<a href="#">Julie Smith</a>	9/25/2001	1	464-64-9644	Grandchild				
Keyword Codes:								
<a href="#">CIGR_NEWS_QTRLY_SEMN</a>								
UDField1 <input type="text"/>								
UDField2 <input type="text"/>								
Create Date	Last Attempt	Last Meeting	Last Reach	Letter Date	Merge Date	Edit Date	Sp. Last Reach	Public/Private
1/4/2001	8/8/2003	7/30/2003	8/8/2003	8/9/2003	4/23/2003	8/10/2003	<input type="text"/>	Public
<a href="#">Notes/History</a> <a href="#">Activities</a> <a href="#">Sales/Opportunities</a> <a href="#">Groups</a> <a href="#">Library</a> <a href="#">Organizer</a> <a href="#">Web Info</a> <a href="#">Personal</a> <a href="#">Addresses</a> <a href="#">Investment</a> <a href="#">Insurance</a> <a href="#">Accounts</a> <a href="#">Planning</a>								
Advisor 2.0 1024x768							<No Group>	

- **Referred By field** will help you run a report on where your business has come from over the last year or more. When you have a referral from a client, type ie. Referral : Sam Client
- **CALC button** starts the Windows calculator. If you have deleted calc.exe in your Windows folder, you may get an error.
- **Date of Birth field**, when entered, updates the Ages and Required Minimum Distribution Dates. Because the age is static, after entering in the DOB, you will have to periodically update the database by either entering and exiting the DOB fields or you can use our *GlobalAge* update program. Look on the Act4Advisors menu or you can put this program in your Windows Task Scheduler to run periodically to keep your data current.
- **Comm/Fees to Date** allows you to track how much commissions and/or fees you have received from a client. Use this field to value the client for better servicing.
- **Keyword Codes** is used to track various types of data without having to create a field for each of those types. For example, you might create a keyword code for baby boomer, seminar attendee, tax client or quarterly report recipient. With the Act4Advisors Contains Lookup, you can easily find those contacts that meet your search criteria. This lookup feature is located on the Act4Advisors menu.

## Addresses Tab

Act4Advisors allows up to 4 addresses to be included per contact. In this tab you can easily enter in the various addresses for the contact including work information on both the contact and spouse and an alternate address field for seasonal homes or other addresses.

Once you have entered the addresses, be sure to change your mailing preference on the main screen. This will copy the appropriate address to the Preferred Mailing Address fields.



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- **Formal and Informal Salutation** fields that can help you address letters differently. For example, you might want to address some letters, “Dear Mr. and Mrs. Smith” and other letters “Dear Jimmy and Janie.” These fields will then need to be added to your letter template.

Home Address	Contact Work Info	Spouse Work Info
Address: 3333 Jones Bridge Rd.	Company: Sam Client, Inc.	Company: Coca Cola
City: Atlanta	Title/Occup: President	Title/Occup: Vice President Consumer Affairs
State: GA Zip: 30004	Address: 100 Peachtree St.	Address: 100 North Ave
Country:	Building 400, Suite 120	City: Atlanta
<b>Alternate Address</b>	City: Atlanta	State: GA Zip: 30000
Description: 2nd Home Office	State: GA Zip: 30000	Work Phone: 777-777-9797 Ext. 123
Dates at this address: Jan - March	Assistant: Alice Smith	Work Fax: 777-611-1111
Alt. Address: 1555 North A1A Blvd	Asst. Title: Administrative Assistant	
Apartment No. 1	Asst. Phone: 777-878-7998 Ext. 125	
City: Ponte Vedra	<b>Additional Info</b>	
State: FL Zip: 32222	Formal Salutation: Mr. and Mrs. Client	UDField3:
Country:	Informal Salutation: Sam and Jane	UDField4:
	UDField5:	
	UDField6:	

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Advisor 2.0 1024x768 <No Group>

- **User Defined Fields** for your convenience. To rename a UDF Field, click inside the field. Click on Edit | Define Fields. Change the name of the field, choose the field type and necessary length if it is a character field.

### NOTE !

If you mainly work with businesses and if you prefer the work information on the main screen, change your layout to one of the Advisor Office layouts. This will swap the Work Information with the Preferred Mailing Address information.

## Investment Tab

Act4Advisors allows you to manually enter in the client's current asset allocation. This feature is necessary for those advisors who do not have a portfolio management software program. Act4Advisors will calculate the Assets based on the data entered into the Asset Classes.

The asset classes are “hard coded” but you can change the names of them if you are familiar with ACT!'s layout design editor which is under the tools menu. There are two user definable fields which are the last two asset classes.

As you enter values into the Asset Classes, Act4Advisors calculates subtotal for the Asset items such as Cash, Bonds, Stocks etc. Mutual Funds comes from Core Equity items and “Stocks” gets its total from the Other Asset Types. The Annuities and Insurance come from the Insurance tab.

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Note that the values are calculated after entering and exiting each field. To get the proper totals, you will need to go through each field including the Total Assets, Total Liabilities and

Current Asset Allocation		Networth	
<b>Cash and Bonds</b> Cash Equivalents: <input type="text" value="\$13,000.00"/> Intermediate Bonds: <input type="text" value="\$12,000.00"/> Short Bonds: <input type="text" value="\$10,000.00"/> Long Bonds: <input type="text" value="\$11,125.00"/>		<b>Assets</b> * Cash: <input type="text" value="\$13,000.00"/> * Bonds: <input type="text" value="\$33,125.00"/> * Annuities/Insurance: <input type="text" value="\$135,642.00"/> Real Estate: <input type="text" value="\$350,000.00"/> * Stocks: <input type="text" value="\$80,000.00"/> * Mutual Funds: <input type="text" value="\$130,000.00"/> Other Assets: <input type="text" value="\$100,000.00"/>	
<b>Core Equity</b> Large Growth: <input type="text" value="\$52,000.00"/> Large Value: <input type="text" value="\$53,000.00"/> Mid Growth: <input type="text" value="\$10,000.00"/> Mid Value: <input type="text"/> Small Growth: <input type="text" value="\$15,000.00"/> Small Value: <input type="text"/>		<b>Liabilities</b> Mortgages: <input type="text" value="\$250,000.00"/> Credit Cards: <input type="text" value="\$10,000.00"/> Loans: <input type="text" value="\$20,000.00"/> Other Liabilities: <input type="text" value="\$5,000.00"/>	
<b>Other Asset Types</b> Financial Services: <input type="text" value="\$10,000.00"/> Medical: <input type="text" value="\$10,000.00"/> Managed Futures: <input type="text" value="\$10,000.00"/> REITs: <input type="text" value="\$10,000.00"/> Technology: <input type="text" value="\$10,000.00"/> Int'l Equity: <input type="text" value="\$10,000.00"/> International B: <input type="text" value="\$10,000.00"/> Options: <input type="text" value="\$10,000.00"/>		* Fields are Totals from other fields. Click inside and hit Enter. <b>Last Modified</b> <input type="text" value="12/18/2000"/> * <b>Total Assets:</b> <input type="text" value="\$841,767.00"/> * <b>Total Liabilities:</b> <input type="text" value="\$285,000.00"/> * <b>Networth:</b> <input type="text" value="\$556,767.00"/>	

Advisor 2.0 1024x768 <No Group>

### NOTE ON TRACKING INVESTMENTS!

To better track investment holdings, we have included the Act4Advisors Holdings Spreadsheet that allows you to price the actual securities and positions held via the internet. Read more about the A4A Holdings Spreadsheet in later chapters.

### Total Network

Be sure to enter the date the data was last modified. This will allow you to better track changes and keep things up to date.

### Insurance Tab

The Insurance tab allows you to add up to 8 insurance policies to an Act4Advisors contact with an optional field at the bottom to handle additional policies. Our policy fields are designed to give you immediate access to the policy information you normally need including Policy Date, Policy Number, Carrier, Policy Name, Policy Type, etc. The fields included allow you to track Life, Annuities, Disability, Long Term Care, and even Property and Casualty. The Additional Info fields allow you to incorporate data that might be necessary for additional needs. Be sure to customize the pull down lists for your use.

Other Items to Note:

- **Dependants and Smoker Status** are used in creating the Employee Census report.
- **Total Cash Value** field adds all the cash value fields for all policies. For this field to work properly, you must put your cursor in the field and press your tab or enter key.
- **Drivers License** should include the state in the number, ie. GA #1233445



**Note: To get the correct total, you MUST click inside the total field and hit enter.**

Total Cash Value <b>\$135,642.00</b>		Date Last Modified 2/8/2001		Dependents 5		Contact GA DL#00223394	Drivers License GA DL#00224564		Smoker? Yes	
Spouse GA DL#00224564										No

Policy #	Date	Insured	Company	Contract	Type	Policy #	Cash Value	Policy Amount	Premium	
1.	7/3/1988	CL	Allmerica	VEL	VUL	v4566654sa	\$52,320.00	\$650,000.00	\$3,500.00	
		Additional Info. Aggressive allocation								
2.	3/13/1988	CH	Allmerica	Whole Life One	WL	w466554522	\$6,500.00	\$50,000.00		
		Additional Info. On son, Beneficiary is Sam and Jane in equal share								
3.	4/6/1987	SP	Prudential	VAL	VUL	pr8448936444	\$25,622.00	\$500,000.00		
		Additional Info. Doesn't Like options								
4.	7/31/2003	JT	Conseco		MED	54685512	\$200.00	\$5,000,000.00		
		Additional Info. \$500d 90/10 in 60/40 out								
5.	6/25/2003	CL	Guardian	Disability	DI	12345	\$300.00	\$50,000.00		
		Additional Info. 90 day wait own occ								
6.	6/25/2001	SP	Guardian	Disability	DI	8564568	\$600.00	\$20,000.00		
		Additional Info. 90 day wait own occ								
7.	5/15/2003	SP	Group	Group	DI	2626262	\$100.00	\$500,000.00		
		Additional Info. own occ 2 years								
8.	3/12/1982	CL	Hartford	Director	VA	234234234	\$50,000.00	\$1,000,000.00		
		Additional Info. Purchased in IRA!!!								

**Other Policies:**

Advisor 2.0 1024x768 <No Group>

## Insurance Report

To print the Insurance Report, click on the Act4Advisors menu. Under Reports choose the Insurance report. To get the correct total on the report, be sure to enter and exit the Total Cash Value field before you print.

### Important Note:

The data fields with pull down list will always use the same drop down list from Policy 1. Modifying drop down lists will automatically be reflected for each policy. Again, use your F2 key to modify these lists.

## Accounts Tab

The Accounts tab has two components but one main function. The two components are the Securities Held and Account Information. The main function is give immediate access to information that you will typically need when discussing the client's accounts on the phone.

We have incorporated links to either bring up the web based account login screen or the security quotes themselves.

Items to note:

### Portfolios Held:

Allows you to track the model portfolios the client owns. Customize the list to your own models.

## Securities Held:

Since all fields in ACT! can be searched, you can search or “query” the database for all clients who own INTC (Intel). The **Act4Advisors Contains Lookup** feature, will help you easily search for all clients with specific holdings. This feature is discussed in a later chapter.

Securities					
Portfolio(s) Held <b>AG,MGI</b>					
Stocks	AAIL,AAME,INTC,KO,KOF,NETP,SDNA,BAC,STI,T,				
Mutual Funds	ABCAX,ABLBX,BCTXX,BEGBX,BEGRX,BGEIX,LDNRX,OPEBX,				
Bonds	US Govt H				
Var. Annuities	Hartford Director				
Other Securities					
Sec. Quotes <b>AAIL,AAME,INTC,KO,KOF,NETP,SDNA,BAC,STI,ABCAX,ABLBX,BCTXX,BEGBX,BEGRX,BGEIX,LDNRX,OPEBX,</b>					
Account Numbers					
Account	Type	Acct Number	Cust/Broker Dealer	Web Site Address	Additional Information
1. Sample and Jane Client JTWRDS	UGMA	ba539-78956	TD Waterhouse	<a href="https://webbroker.tdwaterhouse.com">https://webbroker.tdwaterhouse.com</a>	
2. Sample Client 529	529	gr5878	Charles Schwab	<a href="http://www.schwab.com/Schwab/">http://www.schwab.com/Schwab/</a>	
3. James Client, UGMA	UGMA	65658947	Aim Funds	<a href="https://www.aimfunds.com/Account">https://www.aimfunds.com/Account</a>	
4. Janie Client, UGMA	UGMA	65646516	Aim Funds	<a href="https://www.aimfunds.com/Account">https://www.aimfunds.com/Account</a>	
5. Janie Client, UGMA	UGMA	65658947	Charles Schwab		
6. Janie Client, UGMA	UGMA	12345678910	TD Waterhouse		
7. Sample and Jane Client JTWRDS	JT	12345678910	TD Waterhouse		
8. Sample and Jane Client JTWRDS	JT	12345678910	Aim Funds		
9. Sample and Jane Client JTWRDS	JT	12345678910	TD Waterhouse		
10. Sample and Jane Client JT	JT	12345678910	Aim Funds		
<b>Other Accounts:</b>					
656465100					

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## Important Note:

When entering stock symbol data into the Stocks Held field, do not use spaces. Also be sure to include a comma in front of the first and after the last symbol. This is necessary since many stock symbols are 1 or 2 characters in length. If you do not include commas before and after each symbol, searching for all clients who own AT&T (T) would find those that have Suntrust (STI), Intel (INTC), etc.

## Security Quotes:

Allows you to pull quotes from Yahoo! Finance if you have an internet connection and Internet Explorer 5.5 or greater. For this to work, either type in the tickers or copy and paste security tickers into this field. When you exit the field, your web browser will automatically start and the Yahoo! Finance page with the quotes will be visible

## Web Site Address:

The best way to utilize this feature is to use your web browser to find the exact web page address where you are able to log onto the investment companies site. For example, if the client has an account at TD Waterhouse, browse to tdwaterhouse.com and click on “LOGIN.” Now, copy the web address or “url” of this page into your account’s web address field. Next time you want to access the client’s account online, simply click on the address. You may also

## Act4Advisors 2.0

have to enter the account number and password so be prepared each time you try to login.

### System Security and Passwords

*Because ACT! is not a completely secured database (ie. ACT! is not encrypted), we suggest you are very careful about passwords. It is our judgment, passwords should only be stored somewhere that allows a very secured area. This might include an encrypted file attached to the notes in ACT! or some other method. Check with a software consultant for possible solutions on storing passwords.*

## Planning Tab

The Planning tab allows you to track important financial planning information such as will dates, trust info, retirement goals and dates, capital needs goals, other goals and tax information. We have intentionally followed standards set by several financial planning software companies but there is currently no interface to any of these systems.

Estate				Contact		Spouse	
Crummey Letter	8/5/2003	Will Date	7/29/2003	Will Date	7/29/2003		
		Living Will Date	7/29/2003	Living Will Date	8/20/2003		
Date	Type	Beneficiary	Additional Notes				
Trust 1	8/10/2003	Family	Kids in Equal Shares	Sam Client Family Trust			
Trust 2							

Retirement Goals			
Income Goal	\$120,000.00	Required Distribution Date:	6/30/2022
Inflation	3	Retire Age:	60
Retire Return	7	Retire Date:	12/31/2011

Survivor Goals	
Survive Inc No Child	\$100,000.00
Survive Inc With Child	\$50,000.00

Other Goals		
Description	Goal Amount	Goal Date
Goal 1 College for Janie	\$250,000.00	6/1/2010
Goal 2 College for Jimmy	\$250,000.00	6/1/2008

Tax	
Tax Year	Filing Status
2002	Married
Adjusted Gross Income	\$180,000.00
Capital Gains	\$15,000.00
Capital Loss	\$10,000.00
Gain/Loss Carry Forward	\$7,000.00
Alternative Minimum	\$0.00
Total Taxes	\$35,000.00
Special Tax Forms	2688,4684,4797,706-GS(D),
Corporate Tax ID	-

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Activities Sales/Opportunities Groups Library Organizer Web Info Personal Addresses Investment Insurance Accounts Planning Advisory

Advisor 2.0 1024x768 <No Group>

### Estate Planning

Both Living and Testamentary Will Dates

Crummey Letter dates (are required annually)

### Trust Information

### Retirement Goals

Required Minimum Distribution Dates for contact and spouse are calculated when the Birth Dates are entered. Enter the Retirement Age and Act4Advisors automatically calculates the

*retirement date (based on the birth dates).*

### Other Goals

Other Goals can include college, second home or some other financial goal.

### Taxes

We have incorporated data fields that were requested by many of our users. Of note, the Special Tax Forms field allows you to select multiple forms the client may file. This makes it easier to find clients who may qualify for possible tax change treatment. Using the Act4Advisors Contains Lookup, you can easily find all contacts that file a specific form.

### Advisory Tab

The Advisory tab gives you fast access to suitability information, investment advisory compliance information, other advisors and additional fields. These "Other Advisors" include CPA, Attorney, etc. It is our recommendation that you note the Advisors name and phone number here. But, if you intend to correspond with the advisor by email, fax, letter or phone, you should also create a separate ACT! record. Having a separate contact record for these advisors will allow you to note discussions you have had with them and you are able to send

**Suitability Information**

Financial Member:  Address:

Corp Member:  Address:

Investment Exp:  Inv. Exper. Type:

Account Type:  Discretionary?:  Citizen?:

Bank Ref:  Investment Objective:

Review Date:  Last ADV Signed:  Last New Acct Form:  Termination Date:

**Assets Managed**  
\$1,200,000.00

**Investment Income**  
\$68,000.00

**Management Fee**  
1.000

**Other Advisors**

Attorney:  Phone:

Accountant:  Phone:

Trust/Bank Officer:  Phone:

Insurance Agent:  Phone:

Stock Broker:  Phone:

Other Advisor:  Phone:

**Record Creator:**

**Record Manager:**

**Owner:**

**Organizer:**

**Orgpath:**

Act4Advisors Version 2.0

Activities Sales/Opportunities Groups Library Organizer Web Info Personal Addresses Investment Insurance Accounts Planning Advisory Loans

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them correspondences like email, faxes and letters. These Advisors can also become an outstanding source for possible business leads like referral sources.

The Record Creator is the person who originally created this contact. By default, the Record Manager is the Record Creator. The Record Manager and Owner should be edited to reflect the person and company who this contact belongs to. The Owner field is automatically created from your "My Record". For offices with more than one advisor, we recommend that you use

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the Owner field to note the Advisor who is the relationship manager for the client.

The Organizer and OrgPath fields are used by the **Act4Advisors Scan and Organize** program (Organize tab). The OrgPath is the drive path to the contact's defaulted document folder on your computer or network. It is input automatically by the Organizer program. The Organizer field is used to incorporate key words for documents you have stored in the client folder. You should input keywords that are specific to documents you have scanned or copied into the client's folder. These keywords can be searched on later. The Scan and Organize program is discussed later.

Other fields to note:

*Assets Managed* are the assets you currently manage for the client. This does not have to include fee managed assets.

*Investment Income* is the income the client is deriving from the assets under management

*Management Fee* is the fee you charge the client to manage his assets.

These three fields including the Comm\Fees to date are included on the Act4Advisors Assets Under Management Report.

### Loans Tab

The Loans tab allows you to keep track of up to 2 Loans per contact: At the time of this manual there is no current calculation done from these fields.

Loan 1		Loan 2	
Description	Home Mortgage 1st	Description	Home Mortgage 2nd
Date Opened	4/16/1998	Date Opened	8/14/2002
Loan Type	30FX	Loan Type	5BAL
Interest Rate	6.875	Interest Rate	8.275
Loan Amount	\$220,000.00	Loan Amount	\$150,000.00
Balance	\$130,000.00	Balance	\$10,000.00
Payment (P&I)	\$2,105.00	Payment (P&I)	\$1,300.00
Additional Info.		Additional Info.	Used to pay off credit cards

*Other fields to note inside the layouts*

### **Status Dates**

The majority of these dates are generated automatically when you do one of several things:

1. Create Date : The date you created a contact record
2. Letter Date : The date you last Printed and recorded a history for a letter
3. Last Attempt : When clearing a call, you checked "Attempted" or "Left Message"
4. Last Meeting : You cleared or recorded a history for a meeting as "Held"
5. Merge Date : The date you last merged or imported data into this contact
6. Edit Date : The date you last edited the contact record
7. Last Reached : The date you "completed" a call by clearing a scheduled activity or recorded a history.
8. Sp. Last Reach : The Spouse Last Reached is an Act4Advisors field and it is NOT updated automatically. You must manually update this field when completing a call to the spouse.

Most of these dates are automatically added by the system. If you are using ACT! correctly, you should update certain activities. For example, if you have a call scheduled in ACT!, you can do one of several things:

#### *Complete the call*

On the activities tab or the task list, if you check this box, the system date will reflect the fact that you completed the call by updating the Last Reach field

#### *Receive a call*

Checking this option will NOT update any of the Status date fields but it WILL create a history on the Notes/History tab. A Received Call is normally entered by an Administrative person or Sales Assistant who took a message for the Advisor. Since the call is not complete, the Last Reach is not modified.

### *Suitability Information*

All investment professionals must make certain determinations about suitability before they can fully identify the needs of their clients. Most brokerage firms have a "new account form" which must be filled out before the client can open an investment account. Act4Advisors allows you to track certain account questions that are used on the majority of new account forms.

Act4Advisors interfaces to several form filling software programs including Laser App. Laser App incorporates hundreds of mutual fund, annuity and broker dealer forms that can be automatically populated with the data in Act4Advisors. If you would like more information on Laser App, check our web site at [www.software4advisors.com/laserapp](http://www.software4advisors.com/laserapp)



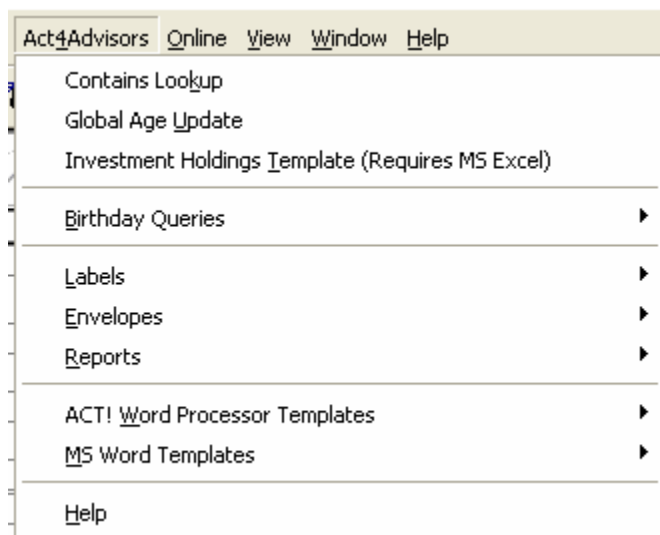
# C H A P T E R

# 7

## Act4Advisors Features and Functions

### Act4Advisors Menu

During the installation, Act4Advisors creates its own menu in ACT! allowing you to easily access most of Act4Advisors function and its templates, queries and reports.



If the menu is not present, close ACT! and Click on Start | Programs | Act4Advisors | Add Act4Advisors Menu to ACT! Restart ACT!

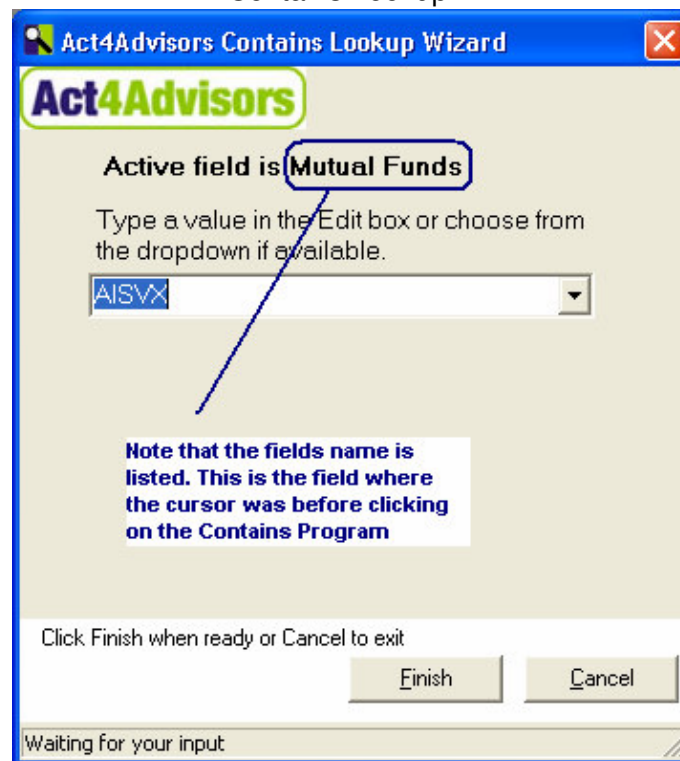
### Contains Lookup

The Contains Lookup allows you to easily search for data that is present within a field even if the field itself has multiple values. This function works similarly to an ACT! contains query but Contains function in Act4Advisors simplifies this dramatically and is customized for the Advisors database.

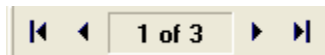
For example, if you want to lookup all contacts that own Investment Company of America, you can simply put the cursor in the Mutual Funds Held field, click on the Act4Advisors menu and choose Contains Lookup. If the active field has a drop down menu, it is loaded.

Input the value you are searching (AISVX in this case) and click Finish.

## Contains Lookup

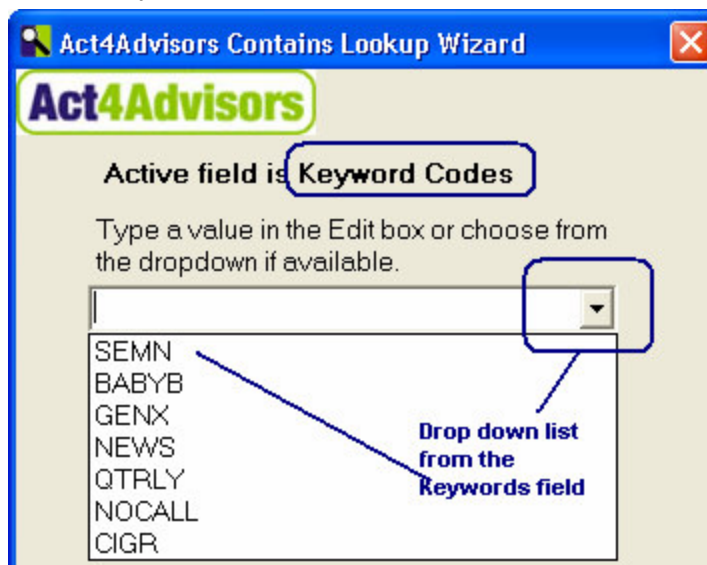


The resulting “lookup” in ACT! will occur. Check your ACT! toolbar for the number of contacts that were found. With this lookup, you can mail merge, add to a group, or massively change data in specific fields.



As mentioned, if the field has a drop down, the drop down is loaded into the Contains program. This allows you to select the correct search item in the drop down.

When searching the insurance, account or loan fields, the Contains Lookup will search through all related fields. For example, if you are looking for someone with the account number 12343243, you can click in any account number field and then click on the Contains Lookup.





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The program will search through all account number fields for all contacts!

When entering data into some fields, it is a good idea to enter a comma before and after the data. For example, if you want to enter in the stock symbols of the currently held positions for the contact, be sure to put a comma in front of and behind each ticker. Since many tickers are only one or two letters, the program needs for you to help it. When placing a comma in from of AT&T (,T,), you can then search for ,T, . This is not necessary for mutual funds since all mutual fund symbols are 5 characters and are unique. Just be sure to add a comma after each item.

NOTE: (You can download and import large lists of stock and mutual fund codes from our website.)

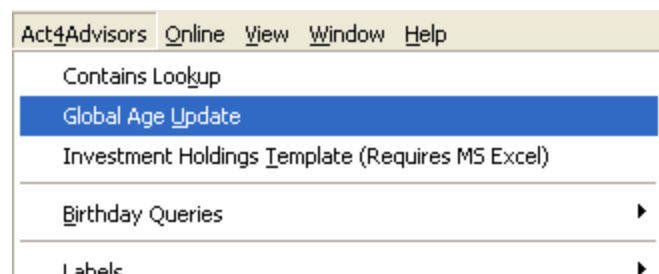
Be sure to add the security symbols and their names to the respective drop downs. To select more than one ticker, use the F2 key. Hold down your Ctrl key and click on the items you would like to add. When creating drop down lists for other fields, try to make the code for the field (ie. Ticker) 3 or more characters and be sure not to repeat a three character code inside of a four character code.

### Useful fields for Contains

1. Keyword Codes
2. Main Products and Services of Interest
3. Clubs and Affiliations
4. Household Link
5. Title/Occupation
6. Insurance fields
7. Account fields
8. Portfolios and securities held
9. Special Tax Forms
10. Organizer field

### Global Age Update

Act4Advisors includes a program that automatically adds the age when you enter the date of birth. Since the calculation is only done when entering and exiting the field, your ages could be out of date very quickly.



To address this, we created the Global Age Update program. This program will allow you to periodically update the ages for all contacts in the database.

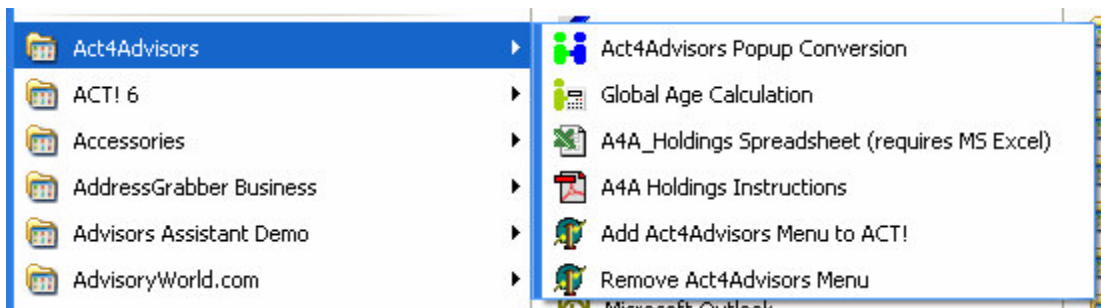


The program will run either inside of ACT! from the Act4Advisors menu or you can run it from the Act4Advisors program group (Start | Programs | Act4Advisors | Global Age Update).

To update a single contact's age(s), click in and out of the date of birth field(s).

### Investment Holdings Template

In designing a prototype for investment tracking, we created the Act4Advisors Investment Holdings Spreadsheet. This spreadsheet has been customized to retrieve current stock and mutual fund prices from the web. Built with Microsoft Excel and Visual Basic, it requires Excel versions 97, 2000 or 2002.



You will want to create a separate file for each client. When opening the spreadsheet from the menu, be sure to click on File | Save As and save the file to the client's folder on your computer. Change the name appropriately.

Before creating any client files, make a backup copy of the spreadsheet. The spreadsheet will only work for those that have Act4Advisors loaded.

The database is already populated with thousands of stocks and mutual funds. Be sure to edit the Database sheet by adding the products your clients currently own and the products you regularly recommend.

Once you have added all of your products, save the file to the same A4A location keeping its name. Make another copy of this file as a backup. Refer to Chapter 8 for specifics on working the spreadsheet.

### Birthday Queries and Reports

Act4Advisors comes with several pre-set queries and reports for birthdays. By default, the queries will search *ALL family members* including the dates of birth for Contact, Spouse and all children. These queries can be easily modified if you prefer to search for only Contact and/or Spouse birthdays.

To run a query, click on the appropriate birthday month from the Act4Advisors Query menu. This will create a lookup of all Contacts that have a family member who has a birthday in the selected month. You can then run a birthday list report to see those contacts who actually have birthdays. To run the Birthday report, click on Act4Advisors | Reports | Birthday List-All Family

#### Note about Birthdays

Since the defaulted queries are based on ALL family members, you should only use the Birthday List-All Family report if you have not edited the query to include only contact and/or spouse. If you edit the queries, you can then run the appropriate report based on the query's criteria (i.e. Use the Birthday List-Contact report if this is the only person you are querying).

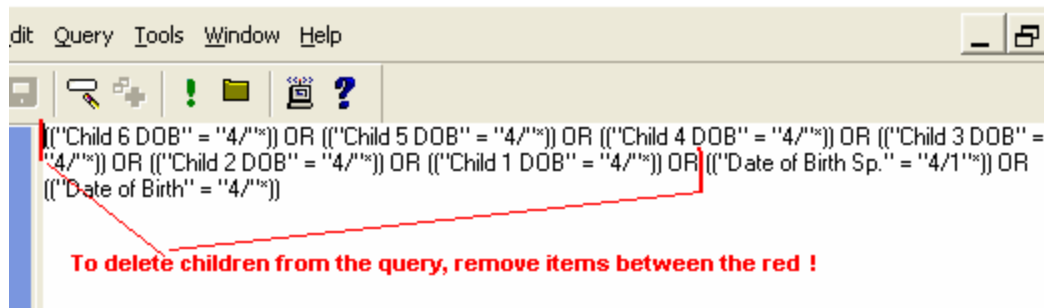
#### Editing the Birthday Queries

To edit the Birthday Queries, you will have to open them in the Advanced Query mode in ACT!

Click on Lookup | By Example The screen will show a blank record.

Click on File | Open

Browse to your defaulted Query folder and select the desired month you wish to edit.. The Query folder is typically located at C:\Program Files\ACT\Query, however if you have a network version of Act4Advisors it may be in a different location. Check with your system administrator.



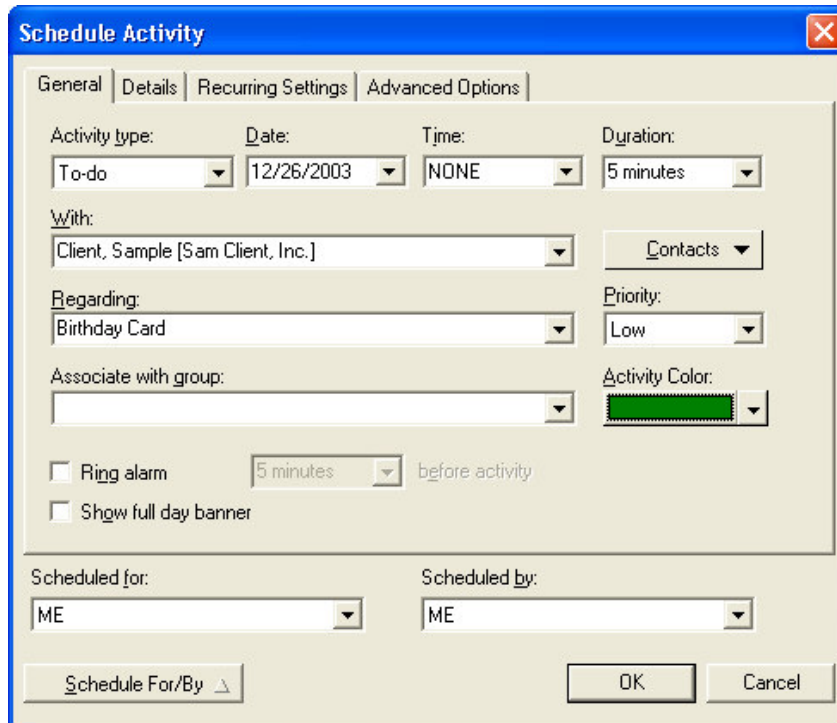
Once you have made the changes, be sure to save the file and overwrite the existing file. A backup copy of the query is located in a zip file in the same query folder.

#### A Better Way to Track Birthdays, Anniversaries and Other Recurring Activities

Birthday reports are a nice feature in Act4Advisors and are helpful to those offices that prefer this method. However, the best way to handle periodic activities is to schedule a recurring

activity for the contact and the event. For example, if you want ACT! to remind you to send a birthday card 4 days before the client's birthday, simply schedule the a To-Do as follows:

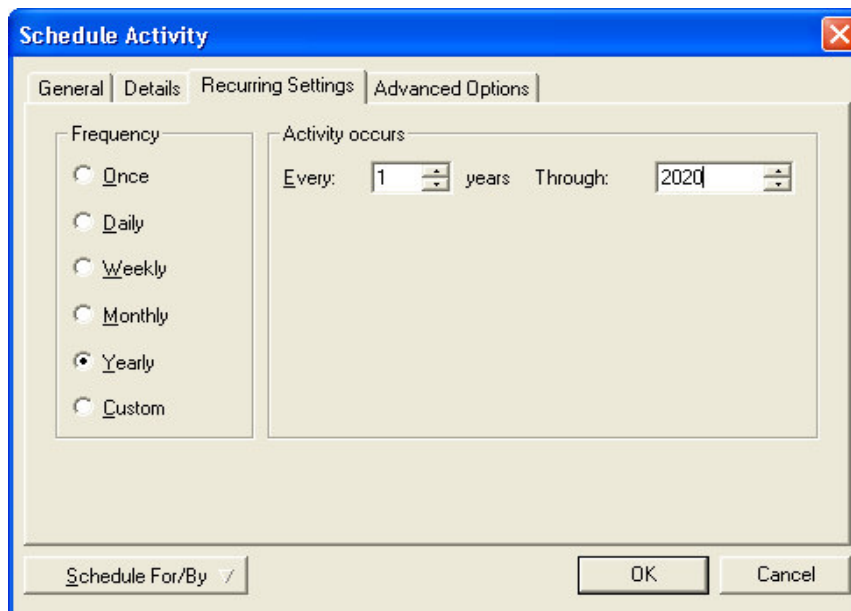
On your keyboard, Press Ctrl + T



The 'Schedule Activity' dialog box is shown with the 'General' tab selected. It contains the following fields and options:

- Activity type:** To-do (dropdown)
- Date:** 12/26/2003 (calendar icon)
- Time:** NONE (dropdown)
- Duration:** 5 minutes (dropdown)
- With:** Client, Sample [Sam Client, Inc.] (dropdown) and Contacts (dropdown)
- Regarding:** Birthday Card (dropdown)
- Priority:** Low (dropdown)
- Associate with group:** (empty dropdown)
- Activity Color:** Green (color picker)
- ☐ Ring alarm 5 minutes before activity (dropdown)
- ☐ Show full day banner
- Scheduled for:** ME (dropdown)
- Scheduled by:** ME (dropdown)
- Buttons: Schedule For/By, OK, Cancel

Enter the information as necessary. Now click on the Recurring Settings tab.



The 'Schedule Activity' dialog box is shown with the 'Recurring Settings' tab selected. It contains the following fields and options:

- Frequency:**
  - ☐ Once
  - ☐ Daily
  - ☐ Weekly
  - ☐ Monthly
  - ☒ Yearly
  - ☐ Custom
- Activity occurs:**
  - Every:** 1 years
  - Through:** 2020
- Buttons: Schedule For/By, OK, Cancel

Choose Yearly, Every 1 Year and Through : 2020 (longer or shorter for your preference).

This will create an activity that will show up on your task list every year.

Other Ideas for Recurring Activities:

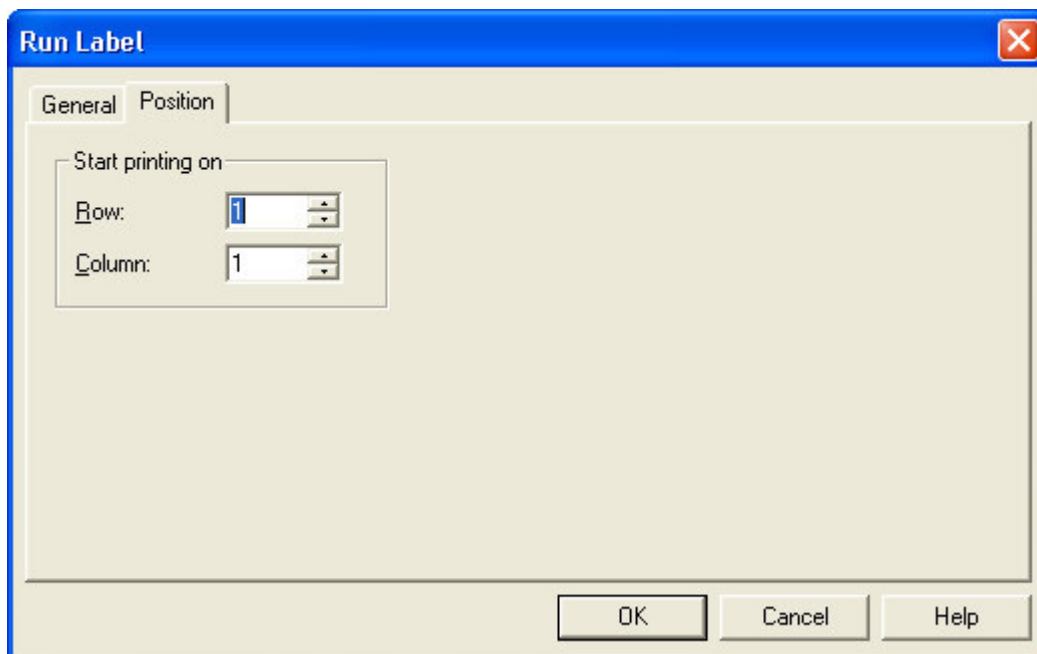
1. Annual Reviews
2. Quarterly Reviews
3. Wedding Anniversaries
4. Insurance Reviews
5. Quarterly Phone Calls, etc.

### Labels and Envelopes

Act4Advisors includes customized labels and envelopes that appear on the Act4Advisors menu. These labels and envelopes can also be accessed and edited from the Reports menu or File | Print menu.

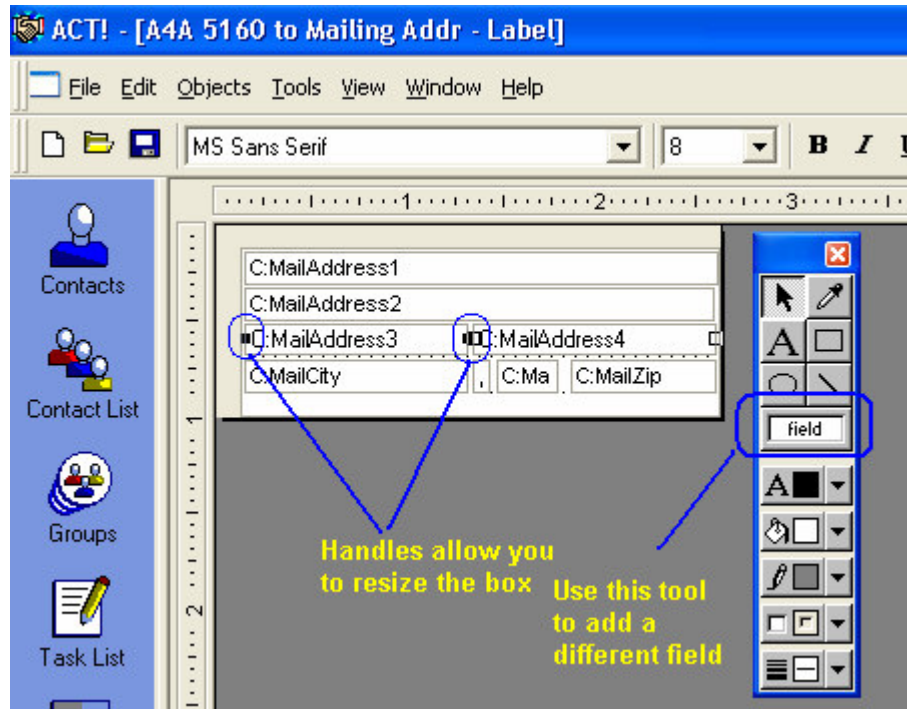
Most of the labels that come with Act4Advisors use the Preferred Mailing Address fields. You can also use any of the other address fields by customizing the labels. If you prefer, you can visit the Act4Advisors Support page located under the Web Info tab to download additionally customized templates.

To print other Act4Advisors or ACT! labels or envelopes, lookup the contact(s) you would like to print for. Click on File | Print. Choose the Printout Type for your desired template. For labels, you can choose the Position tab to select the actual starting position on the label sheet.



To Edit a template, click on File | Print. Choose the Printout Type drop down and select envelopes or labels.

Select the envelope or label you would like to edit and click on Edit Template button at the bottom left corner.



To change fields, select the field you would like to replace and delete the field box with your delete key on your keyboard. To add a field, click on the Field tool. With your mouse as a cross hair, hold down your left mouse button and drag the mouse to create a box on the form. Select the field you want to add and choose OK.

Check your ACT! documentation on customizing labels and envelopes.

## Reports

Act4Advisors comes with several customized reports. Some of these include:

<u>Report Name</u>	<u>File Name</u>	<u>Brief Description</u>
Account and Info	A4A Acct and Info.rep	Includes most data fields in A4A
Investment Information	A4A AcctNetwork.rep	Includes Securities, Network and Accounts
Anniversary Report	A4A Anniversary.rep	Wedding Anniversary
Asset Allocation	A4A Asset Allocation.rep	Current Asset Allocation
Assets Under Management	A4A AssetsManaged.rep	Assets Under Management
Birthday List Contact Only	A4A Birthday List Contact.rep	Birthday List that only includes Contact's b-days
Birthday List Spouse Only	A4A Birthday List Spouse.rep	Birthday List that only includes Spouse's b-days
Birthday List for all Family	A4A Birthday List Family.rep	Birthday List that includes Contact's, Spouse's and children
Census List	A4A Census List.rep	Employee Census Report includes DOB, age, smoker status, dependants
Contact Directory	A4A Contact Directory.rep	Names and Addresses
Insurance	A4A Insurance Info.rep	Includes all insurance policies and information
Phone List	A4A phonelst5.rep	List of names and phone numbers
Source of Referrals	A4A referra6.rep	Counts and displays referrals sources
Fees and Commission Revenue	A4A slsto6.rep	Sales Report that shows sales input into the Sales Opps tab
Contact Status	A4A status6.rep	Last time you contact the contact or list of contacts.
Task List	A4A tasklis6.rep	List of all filtered activities that can include cleared or uncleared tasks
Work Information	A4A Work Info.rep	Work information for contact and spouse

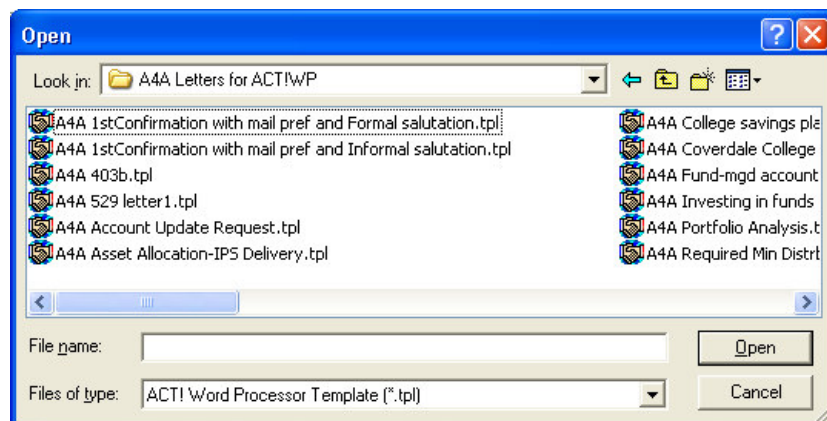
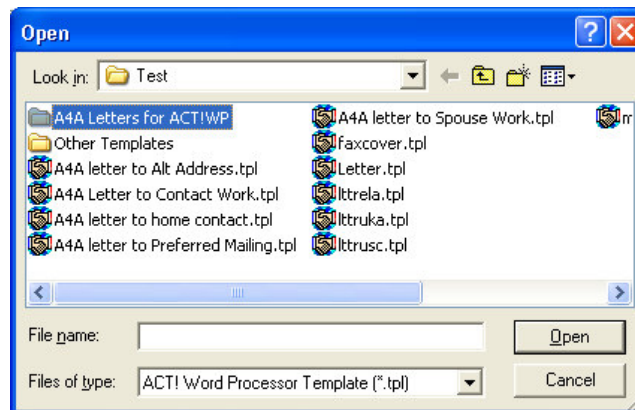
## Act4Advisors 2.0

To print a report, select Act4Advisors | Reports or Reports | Other Reports on the ACT! menu. Be sure to check the Web Info tab for additional reports as they are created.

### Letters and Letter Templates

Act4Advisors includes a large number of marketing and service letters that have been submitted to us by several of our customers. At the time of print for this manual, the letters included will only work with the ACT! Word Processor. We anticipate adding the letters to a Microsoft Word format very shortly. In the meantime, feel free to copy and paste them into the MS Word templates. To change your word processor default in ACT!'s word processor, click on Edit | Preferences. On the General tab, change the word processor to ACT! for the time being. You can always switch back to MS Word.

To use one of these letters, click on Write | Other Document. Inside the browse window open the A4A Letters for ACT!WP folder and select your desired letter.



To edit these letters, click on Write | Edit Document Template. Choose the desired letter you would like to modify and click on Open. Please read your ACT! documentation for details.

### NASD Compliance Requirements:

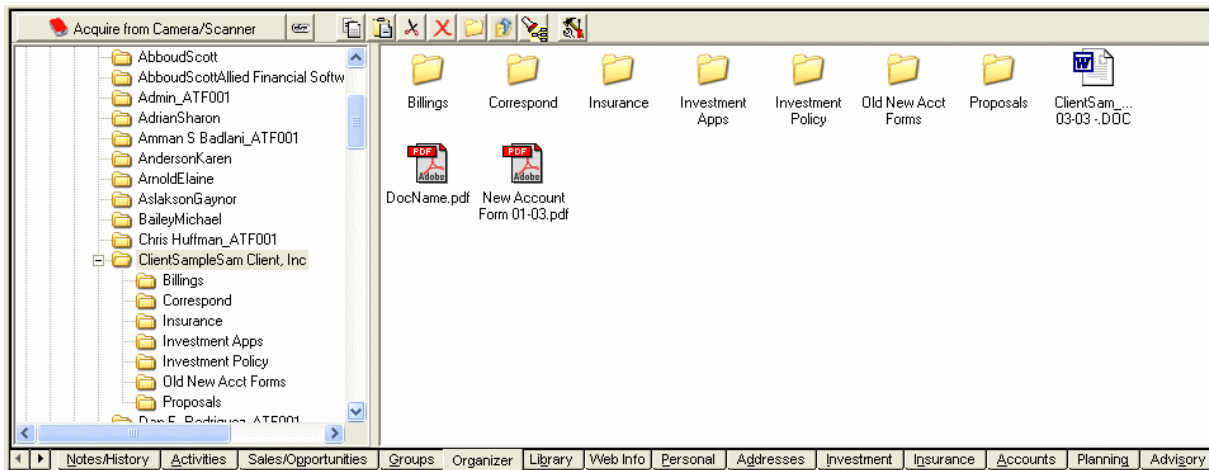
If you are a registered representative, the NASD requires you to have all correspondence approved by either your OSJ or your Broker Dealer's compliance department before you send the letter to a client or prospect. Many of the letters included were provided by registered reps and should be compliant so you should not have much difficulty getting them approved.

### Act4Advisors Organizer

The Act4Advisors Organizer was created to help advisors better manage their client's documents. With the optional scanning feature, you can scan documents directly into the client folder as either a PDF file, TIF, JPG, BMP or PNG file.

The Organizer incorporates the Windows Explorer functions within the system and will automatically navigate to the client folder on your computer or server.

For details on the Organizer, see Chapter 9.





# CHAPTER

# 8

## Act4Advisors Holdings Spreadsheet

The Act4Advisors Holdings Spreadsheet allows the user to input client investment holdings data and update these holdings with current prices from the internet. Stock prices are at least a 20 minute delay. Mutual Fund prices are from the previous days close.

### Requirements:

This spreadsheet requires Microsoft Excel 97 or greater. In Excel 97, you may receive a message that the spreadsheet includes macros. This is normal but you should always depend on updated Virus protection programs to clarify whether a virus exists. . Do not Disable Macros. A working knowledge of Excel is helpful but not required. This knowledge will allow you to fully utilize the program for your desired needs. Read this entire document before you begin.

The spreadsheet file includes 3 worksheets. The first sheet is for investment holdings based on Asset Type. Asset types include those in the Act4Advisors software (Stocks, Mutual Funds, Bonds, VA's and Other Securities). The second sheet is for a holdings list report and the last sheet includes the database.

### Holdings Sheet

Each file has its own database of stocks and mutual funds so you can easily find the security you are looking for. To search for a stock by ticker, click on the cell named Ticker.

A5	Stock Name					
1	<b>Current Investment Holdings for:</b>					
2	<b>Contact</b>					
3	<b>Spouse</b>					
5	<b>Stock Name</b>	<b>Ticker</b>	<b>MGT Name</b>	<b>Quantity</b>	<b>Price(\$)</b>	<b>Date</b>
6						
7						
8						
9						
10	<b>Mutual Fund Name</b>	<b>Ticker</b>	<b>MGT Name</b>	<b>Quantity</b>	<b>Price(\$)</b>	<b>Date</b>
11						
12						
13						
14						
15	<b>Annuity Name</b>	<b>Ticker</b>	<b>MGT Name</b>	<b>Quantity</b>	<b>Price(\$)</b>	<b>Date</b>
16						
17						

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Now hold down your Control key and the L key on your keyboard simultaneously and then release (Ctrl+L). Type in the stock symbol in the dialog. (You may have to use your delete key to remove a letter.)

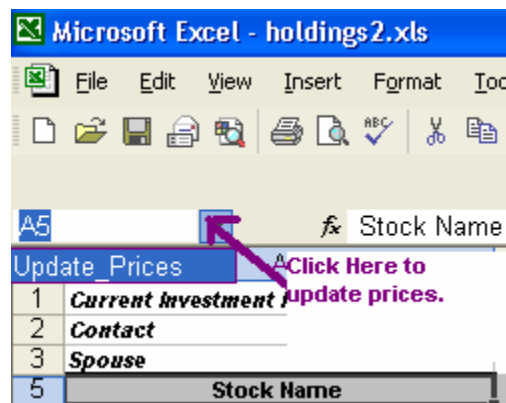


When the desired security is found, click on the Enter key twice or click on the OK button. The stock name, symbol, current price and date/time of the price are automatically inserted into the spreadsheet. To select assets by Stock Name, click on the word "Stock Name" on the spreadsheet and hold down the Ctrl+L. You will then be able to enter the name of the stock to select the appropriate security. This same process works for Mutual Funds, Annuities, Bonds and Other Securities. Be sure to click on the appropriate header for each.

Once the securities are added, you will have to manually enter in the Quantity of shares held, MGT Name (Custodian or B/D), Account#, Asset Class, and Cost. The sheet will calculate the current value (Price x Quantity) and Gain/Loss (Value – Cost).

The asset type and asset class can be automatically entered in with manual entries into the database sheet for each desired security. If not, you can choose the appropriate asset type and class from the pull downs in the respective fields. If you enter a class or type that is not listed, you will be warned that the class may not be compatible with future releases of Act4Advisors. If you are concerned with this potential future problem, use only what is listed.

To update prices on the Holdings sheet (stocks and mutual funds only), click on the down arrow on the Name Box which is located at the top left corner of the sheet above the "A" cell.

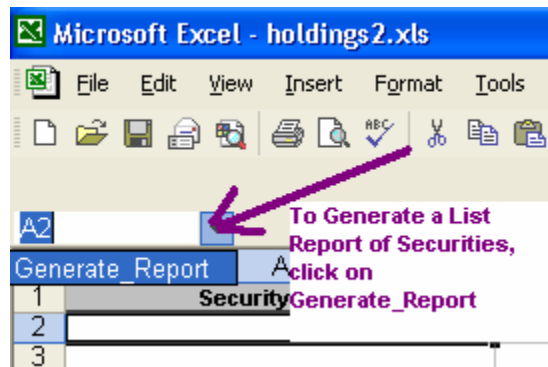


Choose **Update\_Prices** and the prices for Stocks and Mutual Funds will be updated with prices from Yahoo! Finance.

### Report Sheet

The Report Sheet allows you to list all securities held without subdivided Asset Type classifications.

Just like the Update\_Prices feature, to generate the report, click on down arrow above the “A” cell and choose **Generate\_Report**.



This sheet makes it easier to produce a pie chart or bar chart from within Excel. Be sure to update the sheet by re-running the report. Consult your MS Excel documentation.

### Database Sheet

The Database sheet serves to minimize data entry. Since each file has its own database, you need to keep the data updated for each client's needs. Feel free to add or remove any data you choose. Be sure to keep each product type and their headings intact (row 1). Also, be sure to add any annuities, bonds and other securities that you promote or that your clients typically own.

By adding the Asset Class and Asset Type to the Database, the program will automatically add these to the spreadsheet the next time you add the security. Again, we recommend you use the asset classes and types that are listed due to possible future enhancements with Act4Advisors.

### Best Practices for Use

- Make a copy of the spreadsheet and keep it in the A4A folder under Program Files before you make any changes to it. The master file in the A4A folder is the file linked on the Act4Advisors menu and should be used as your template only.
- Update this master template to include all of the security data you will need. This template will be the base spreadsheet you will start for each client.
- To create a spreadsheet for a client, open the template file with Excel and immediately click on File, Save As. Name and Save the file to the designated client folder, or to a Holdings spreadsheet folder. (We recommend that you save to a

## Act4Advisors 2.0

shared folder that is named for the client (ie. C:\Clients\SmithJohnT\SmithHoldings.xls).

- Once the file is saved, determine how you prefer to add stocks or mutual funds (Ticker or Name). To add Stocks by Ticker, click on the Stock Ticker header and click on Ctrl+L. Type in the symbol and hit your Enter key twice. Repeat until all stocks are loaded. Repeat the process for all other securities the client owns.

### Note:

Feel free to adjust the fonts and column sizes to accommodate your needs but do not remove any headers. Also, feel free to Hide but NOT remove any of the headings. For example, if you would like to hide the MGT Name, highlight the entire column "C". Right mouse click on the highlighted column and left click on Hide.

- When you are done, click on Update\_Prices (down arrow above the A cell). Print the spreadsheet and mail or print it as a PDF file if you have the capability.
- For a different report without Asset Type headings, click on the Report sheet tab. Click on Generate\_Report (down arrow above the A cell).

### Linking the Report To the Act4Advisors Contact Record

ACT! 6.0 has a new feature that allows the user to link, view and edit Excel spreadsheets to each contact. Our reason for creating this sheet is to better assist the advisor in helping his client keep track of investments held while integrating the sheet with new features available in ACT! 6.0.

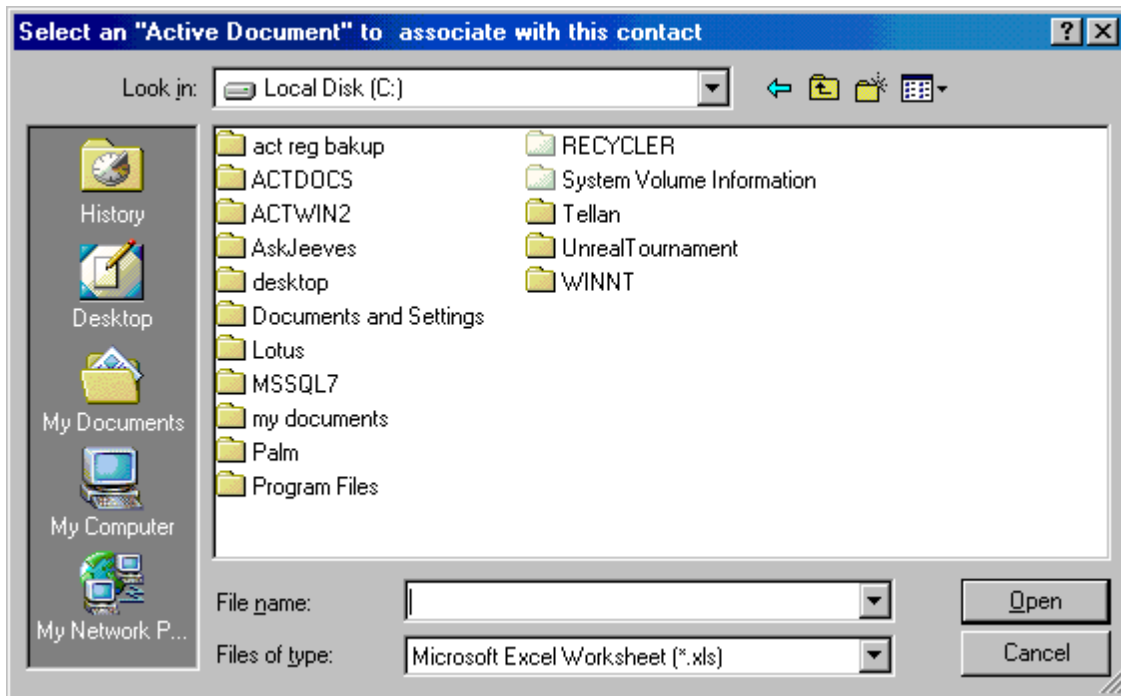
### The Library Tab in ACT! 6.0


The ACT! 6.0 **Library** tab allows you to attach, view, and edit contact-specific documents without minimizing ACT!. With the **Library** tab, you can:

- Access word processing documents, graphics, and spreadsheets from within ACT!
- Map ACT! contact data to specific cells in an Excel spreadsheets.
- Activate one document for viewing on all ACT! contacts.
- Attach photos of your customers to their contact records.

### How to Attach the Act4Advisors - Holdings Spreadsheet to the ACT! Library Tab


1. In ACT!, select the Library Tab. If the tab is not available, click on Edit | Preferences and enable the Library tab.
2. Click on the Add Document icon.
3. In the "Select an 'Active Document' to associate with this contact" window, find and select the spreadsheet and click Open.



4. The document is now attached to the Library Tab, and can be selected from the document list drop-down. To view the document shown in the drop-down, click on the View Document icon 
5. (Optional): To set this document to show on all contacts, check the box labeled "Display for all contacts."

**Note:** To attach the Excel spreadsheet to a particular group or all groups, follow the same procedures listed above from within the Group View window.

### Editing the Spreadsheet from Within ACT!

To edit the spreadsheet with the Library tab, click the Edit Document  icon. When you are finished making modifications, click on the icon again. When in Edit Mode, use this icon to Close Document and Save changes.

### Deleting Documents from the Library Tab

To remove a document from the **Library** tab, select the desired document from the drop-down on the **Library** tab and click the Remove Document button to remove it from the drop-down.

#### Note:

When you delete a document from the **Library** tab, it also deletes the entry on the Notes/History tab of the associated contact or group. However it does not delete the document file from your computer system.

### Mapping Act4Advisors Fields into the Act4Advisors - Holdings Spreadsheets



When you open the Act4Advisors Holdings spreadsheet on the **Library** tab, you can map data from your ACT! contacts to individual cells in the Excel spreadsheet. For example, you may want to include the Contact's name and Spouse name to the spreadsheet.

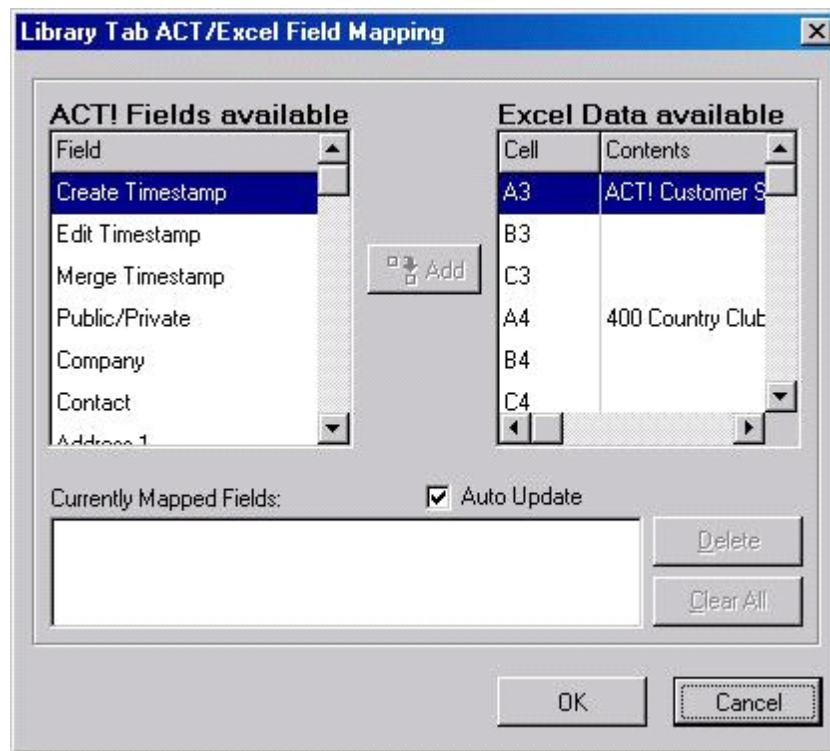
#### Warning!

Make a backup copy of the spreadsheet before continuing. This feature of ACT! allows it to automatically change the contents of spreadsheet cells. If you map a cell incorrectly, the backup spreadsheet will allow you to restore cell content. If you do not make a backup of the spreadsheet, we are not responsible for any loss of data.

Not all cells in an Excel spreadsheet will automatically be available to be mapped in ACT!. There are too many cells available in an Excel spreadsheet for ACT! to access. Therefore, you must establish a beginning and ending cell in your spreadsheet. All cells within that established boundary will be available to be mapped in ACT!. For instance, if you placed any content, even a space, in cell B2 and F10, all of the cells between those fields would be available in ACT!.

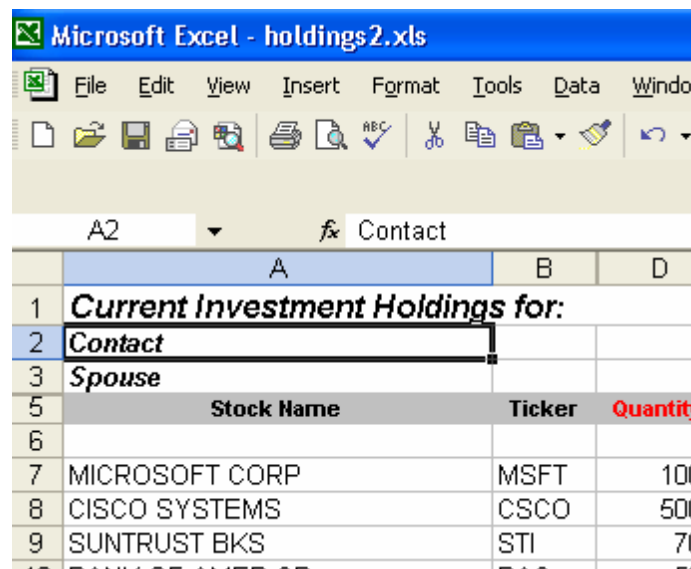
An Excel cell can be made active with a character, number, or space. If you use a space or a character as filler, Excel will format the cell for character data and will treat all entries as such. If you use a number as filler, Excel will format the cell for numeric data, and will only allow numeric data to be entered. Before mapping cells, you must ensure that you have established enough fields in the correct format to receive the desired data you want to map.

1. Open ACT! and select the Library tab from either the Contacts or Groups view.
2. Select the desired Excel spreadsheet from the drop-down at the top of the Library pane.
3. Click on the Edit Document  icon. This will place the document into edit mode.
4. Click on the Map Fields  icon. This brings up the "Library Tab ACT/Excel Field Mapping" dialog. The available fields in your ACT! database are listed on the left. The cells in your Excel spreadsheet which contain either data or filler are listed on the right. The lower part of the dialog displays the fields which are already mapped from ACT! to cells in the Excel spreadsheet.
5. Note the mapping dialog box in figure 1 on next page.
6. In the "ACT! Fields available" list on the left, scroll through the available ACT! fields and select the one you want to use as a data source.
7. In the "Excel Data available" list on the right, scroll through the list of cells until you



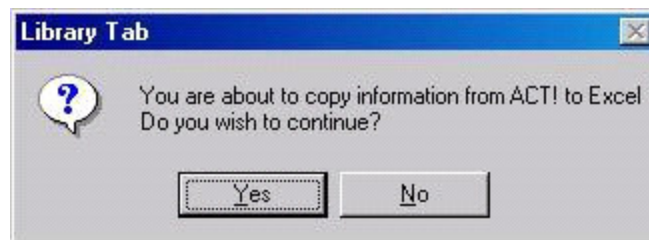
locate your destination cell. Note that the cell list will *only* display cells that contain filler. If you put recognizable filler in the cells ahead of time, you can locate that cell easily by examining the "Contents" column on the right.



Otherwise, choose the cell based on the cell identifier; to determine a cell's identifier, combine the column letter and row number of that cell when viewed in Excel. The following illustration shows cell A3, which is highlighted in the preceding illustration.



## Act4Advisors 2.0

8. Once you have the ACT! source and Excel destination fields selected, click Add. The mapped information will appear in the "Currently Mapped Fields" dialog at the bottom of the screen. This will display the ACT! data mapped and the location on the spreadsheet that will receive it.
9. Repeat steps 6 through 8 until all desired fields are mapped. If you need to remove any mapping, highlight the mapping in the "Currently Mapped Fields" list, and click Delete.
10. To finish the mapping, click OK
11. The following dialog comes up:



12. Click Yes, and the data from the ACT! fields will be copied to the specified cells in Excel.
13. Save your changes and leave Edit mode by clicking the  icon. This button is a toggle, switching the current Library document between View and Edit modes. When exiting Edit mode, it saves changes to the document.
14. Should you wish to save changes, but do not want to leave Edit mode, click on the  icon. This will save the document without exiting.

Stay tuned to your Web Info tab to see new features added to the Act4Advisors Holdings Spreadsheet.



# CHAPTER

# 9

## Scan and Organize for Act4Advisors

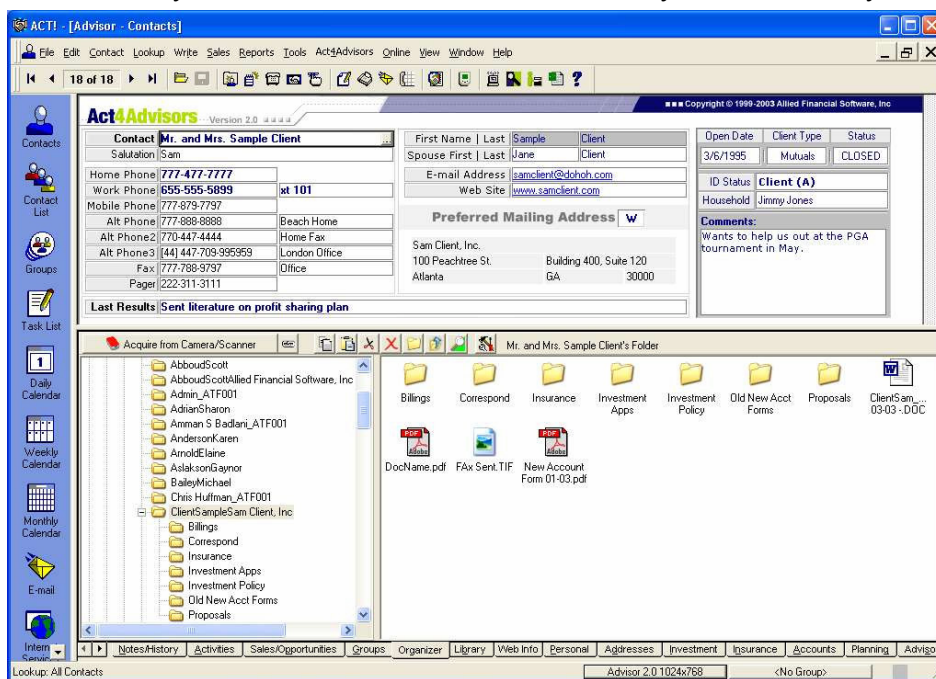
Act4Advisors will become the foundation of your financial services practice. As a result, we have added additional functionality that allows you to manage documents and optionally scan those documents directly into the client's folder on your computer or network.

### Organizer Tab

ACT! has the functionality to “attached” a document as a shortcut to the Notes tab. This feature is helpful in many cases but the Notes tab can get overly populated with attachments. Since these attachments are simply shortcuts to the file on your computer, you may lose their link to the file if the file or folder is moved or renamed.

The Organizer tab will allow you to automatically navigate to the contact's folder and manage the files within the ACT! interface. Simply lookup the contact and click on the Organizer tab. The client's folder will then be displayed.

From this folder window you can utilize most of the functionality that is normally available in the



Windows Explorer. We have also included an optional feature that allows you to scan documents directly into this folder. The scanned document can be saved as either a BMP, JPG, PNG, TIF or PDF file and can be shared easily with the client, associates or others.

### Configuration and Preferences

Before you begin using the Organizer, you should establish your Configuration Preferences. These preferences are stored with the database and will allow all network users to share these settings.

**Configuration**

1. ☐ Automatically create folder for each contact  
☒ Automatically navigate to Contact's default folder

2. Select Camera/Scanner

3. ☐ Automatically Lookup contact when folder selected  
☐ Keep database locked (increases performance)      Unlock after  secs

Default View for Folder Items:  
☒ Icons      ☐ Report format  
☐ List      ☐ Details

☐ OCR Keywords upon Scan

Folder naming: 4.  
First Part: Last Name      Second Part: First Name      Third Part: ZIP  
"\\Last NameFirst NameZIP"

5. Select the Root Folder to link this contact to:  
T:\My Documents\Act\Document\CLIENTS\

OK Cancel

**1. Choose this option to automatically create a folder for active contact if a folder does not already exist. Folder will be named using #4 below.**

**2. Use to select a different scanner if you have more than one installed.**

**3. Choose this option to create a lookup by double clicking on the client folder in the folder list pane.**

**4. Scan and Organizer will use the designated fields for naming a folder but you can change it manually.**

**5. This designates the ROOT folder where all client folders will be created as default.**

You should begin by creating or assigning a folder on your computer or network as the main client "root" folder. On a network, this folder should be the shared Documents folder as noted in your ACT! | Preferences | General tab. It should have a common mapped drive letter, ie T: drive. All users on the network should have access to this same drive letter. For single users, simply choose your defaulted Documents folder for ACT! This is normally located under your \My Documents\ACT\Document.

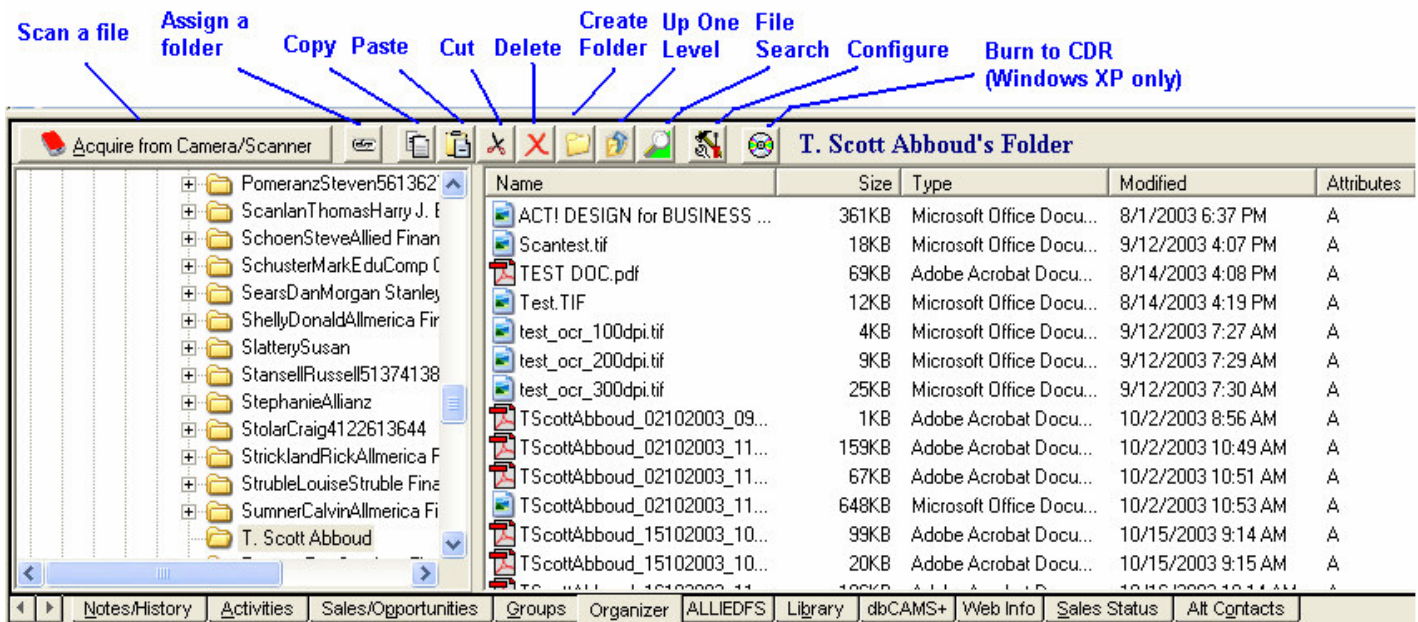
Once you have assigned the Root folder (#5 above), choose the naming convention you would like for Act4Advisors to name the folder (#4 above). You might want to name all client folders using the data entered into the contact's Last Name, First Name and Home ZIP, ie. SmithJohn30004. This feature is only required if you have checked, "Automatically Create Folder for Each Contact." Otherwise, you will have the opportunity to enter or select any folder

name you would like.


Locking the database will increase performance but it is not required. If you choose to lock the database, you will not be able to backup, reindex or define fields. We also recommend that you check “Automatically Navigate to Contact Default Folder”. This feature will allow you to immediately view the contact’s files and folders as you lookup the respective contact in ACT!.

### Scan and Organize Toolbar

The Scan and Organizer has a toolbar allowing the user to manage documents from within the ACT! interface. The toolbar has common items found in Windows Explorer such as delete, copy, paste, etc. See the figure above for more details.



### Naming or Selecting a Folder

If you have already created a folder structure for your clients, you can use the “link button”  to select an existing folder. By linking a contact to a folder, the defaulted folder path for the contact is written into the OrgPath field located on the Advisory tab. The same button can be used to name or rename the folder for the contact. You will note that a browse button on the right side of the “link” dialog box allows browsing to the desired folder. This will update the database when reselecting a folder.

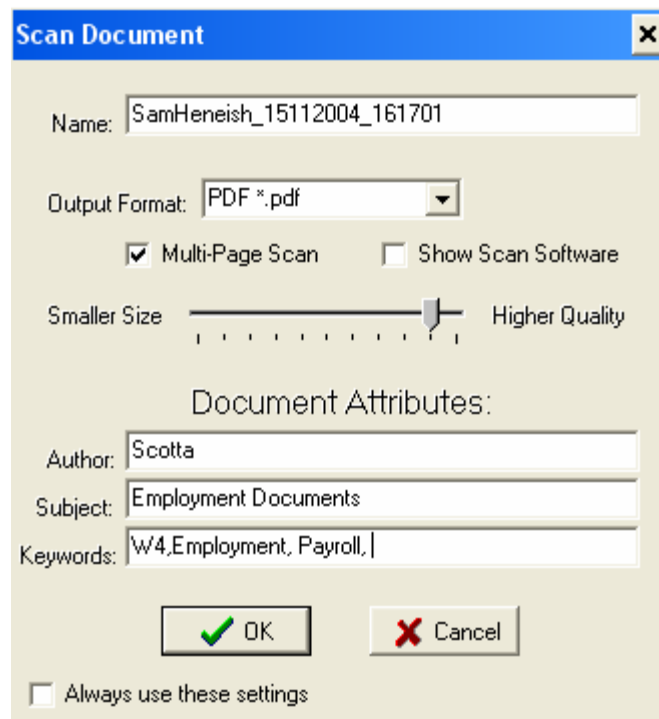
### Scanning

The button marked “Acquire from Camera/Scanner” allows the user to scan documents directly into the active folder. File formats available include TIF and PDF among others.

Keep in mind, the Scan and Organizer simply activates your existing Twain driver that comes

## Act4Advisors 2.0

with your scanner. After your Twain scanning software performs the scan, the Organizer redirects the file into the appropriate folder and appends the file with any additional data.



The image shows a 'Scan Document' dialog box with a blue title bar and a close button. It contains several input fields and checkboxes. The 'Name' field is pre-filled with 'SamHeneish\_15112004\_161701'. The 'Output Format' is set to 'PDF \*.pdf'. There are checkboxes for 'Multi-Page Scan' (checked) and 'Show Scan Software' (unchecked). A slider bar is positioned between 'Smaller Size' and 'Higher Quality'. Below this is a section titled 'Document Attributes:' with three text boxes: 'Author' (containing 'Scotta'), 'Subject' (containing 'Employment Documents'), and 'Keywords' (containing 'W4, Employment, Payroll,'). At the bottom are 'OK' and 'Cancel' buttons, and a checkbox for 'Always use these settings'.

Scan Document

Name: SamHeneish\_15112004\_161701

Output Format: PDF \*.pdf

☒ Multi-Page Scan ☐ Show Scan Software

Smaller Size  Higher Quality

Document Attributes:

Author: Scotta

Subject: Employment Documents

Keywords: W4, Employment, Payroll, |

☒ OK ☐ Cancel

☐ Always use these settings

As a file is scanned, the user has the option to rename the file and has other options for:

- Designating the preferred file format including PDF, TIF, BMP, PNG and JPG
- Designating a multi page scan
- Manipulating image quality and file size.
- Creating file properties that are stored with the file. These properties include Author (defaults to the logon user's name), Subject and even Keywords. All of this information can later be searched using the Windows file Search functions.

# C H A P T E R

# 10

## **Important Dates Report** (requires Microsoft Excel)

Act4Advisors has built in queries for birthdays and anniversaries but the reporting mechanism available in ACT! does not give desired functionality for sorting and reporting on whose birthday is coming due. As a result, we created the Important Dates Report Generator.

### **Overview**

ACT!'s built in report writer is very useful for displaying data that is in the database. However, it does not allow us to create a conditional query and report. With ACT!, queries and reports are two separate items. You perform a query to find those contacts that fit the desired criteria, and then you print a report based on the “current lookup.”


The Important Dates Report runs a query and report at the same time. It will search on two types of dates in Act4Advisors, Annual Events and Date Specific Events.

*Annual Events* include Birthdays, Anniversaries, Crummey Letter dates and Insurance Anniversaries. The report will only look at the Month and Day in the corresponding date fields.

*Date Specific Events* include Required Distribution Dates, Review Date and Retirement Dates. The reports will consider the Month, Day and YEAR when searching for these dates.

### **Installation**

The Important Dates Report was added to Act4Advisors 2.0 as an additional function after 2.0's original release. It is currently installed separately and can be downloaded from within the Web Info tab.

If it is not already installed on your computer, click on the Web Info tab in Act4Advisors and then click on “Download Important Dates Generator.” When the dialog box comes to Save or Open, choose Open. This will start the installation. After installing, restart ACT! and an icon will be displayed on the far right side your ACT! toolbar. 

If the button is removed or disappears later on, simply browse to the C:\Program Files\A4A folder and double click on the file “AddBDRptCmd.exe”. Restart ACT! and the icon will be reinstalled.

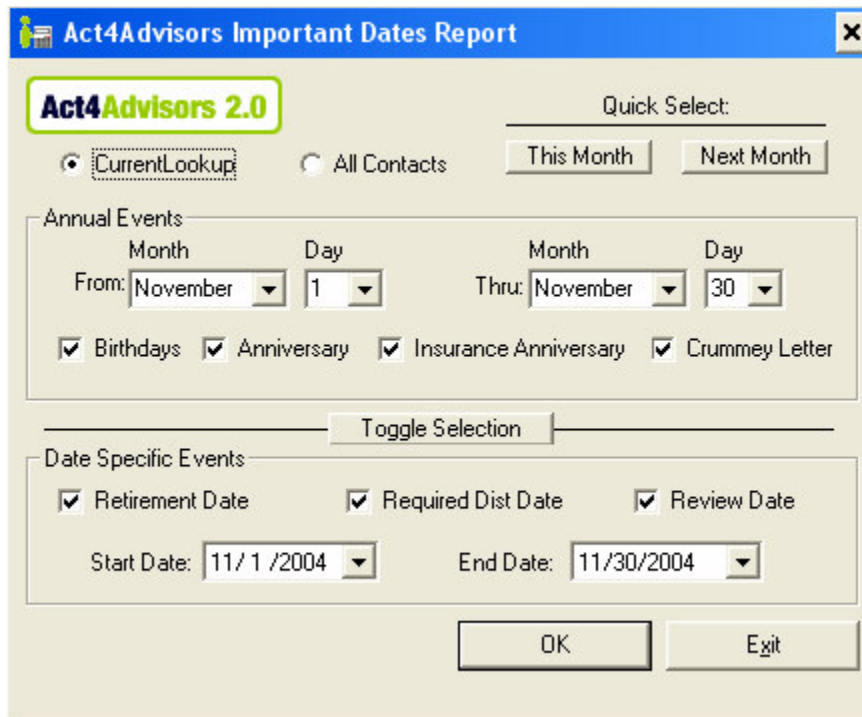
### Running Reports

#### *Birthdays and Anniversaries*

Though it is not required, we recommend that you perform a birthday or anniversary query before running the report. This will speed up the report since you can limit the search to a “lookup” instead of looking through the all contacts in the database. You might even limit the lookup to a group that you previously created such a “Clients” or “Birthday” group.

1. To run an Act4Advisors Birthday query, click on Act4Advisors on the menu and then click on the desired months query. This will create a lookup in ACT!

Next, click on the Important Dates Report button on the toolbar. 



The image shows the 'Act4Advisors Important Dates Report' dialog box. It has a title bar with the Act4Advisors logo and a close button. Inside, there's a section for 'Quick Select' with buttons for 'This Month' and 'Next Month'. Below that are radio buttons for 'CurrentLookup' (selected) and 'All Contacts'. The 'Annual Events' section has dropdowns for 'From' (Month: November, Day: 1) and 'Thru' (Month: November, Day: 30). There are checkboxes for Birthdays, Anniversary, Insurance Anniversary, and Crummey Letter, all of which are checked. A 'Toggle Selection' button is located below these checkboxes. The 'Date Specific Events' section has checkboxes for Retirement Date, Required Dist Date, and Review Date, all checked. It also has 'Start Date' (11/1/2004) and 'End Date' (11/30/2004) dropdowns. At the bottom are 'OK' and 'Exit' buttons.

Clicking on the Toggle Selection button will deselect all items. Check Birthdays and select the desired Month and Day range or select This Month, or Next Month. Choose OK and the report will begin using MS Excel.

At the end of the search, the program will sort the Excel spreadsheet by Month and Day listing all birthdays in order.

Since the report is generated in Excel, you can re-sort it by using Excel's sort function. Sorting allows you to further remove contacts that are not wanted.

#### **Items to note in the report:**

1. Items listed in **Red** are within 5 days of today's date.
2. The report is sorted AFTER the program completes searching. Canceling will not force a sort.



## Act4Advisors 2.0

3. *Primary Contact* is the ACT! contact
4. *Date* is the date as it appears in Act4Advisors
5. *Aniv Type* is the type of date field that is affected.
6. *Person Affected* is the family member who is affected by the Important Date
7. *Relation to Primary* will be Primary, Child, Spouse or Primary & Spouse
8. The Month Day Year will display the current year only for Annual Events but it will be the selected year for Dates Specific Events
9. A summary of the search criteria is summarized at the top of the report.

	B	C	D	E	F	G	H	I	J
1	<b>Act4Advisors 2.0</b>								
2	<b>Important Dates Report</b>								
3	Annual Events From: November 1 Thru: November 30 Reporting: Birthdays, Anniversary, Insurance Anniversary, Crummey Letter								
4	Date Specific Events From: 11/1/2004 Thru: 11/30/2004 Reporting on: Retirement Date, Required Dist Date, Review Date								
5	Lookup Selected							Date Detail	
6	<b>Primary Contact</b>	<b>Date</b>	<b>Aniv Type</b>	<b>Person Affected</b>	<b>Relation To Primary</b>	<b>Age</b>	<b>Month</b>	<b>Day</b>	<b>Year</b>
7	Karl Kendall	11/1/1989	Birthday	Jeff	Child	15	11	1	2004
8	Susan Korte	11/1/1962	Insurance Anniversary	Susan Korte	Primary	42	11	1	2004
9	Susan Korte	11/1/1962	Insurance Anniversary	Susan Korte	Primary	42	11	1	2004
10	Mr. and Mrs. Sample Client	11/5/1962	Anniversary	Mr. and Mrs. Sample Client and Jane Client	Primary & Spouse	42	11	5	2004
11	Marilyn Kenson	11/5/1996	Birthday	Robert	Child	8	11	5	2004
12	Albert Kepner	11/5/2000	Birthday	John	Child	4	11	5	2004
13	Albert Kepner	11/13/1999	Anniversary	Albert Kepner and Libby Kepner	Primary & Spouse	5	11	13	2004
14	Karl Kendall	11/15/2004	Anniversary	Karl Kendall and Joan Kendall	Primary & Spouse	0	11	15	2004
15	Raymond Kennelly	11/15/1933	Birthday	Raymond Kennelly	Primary	71	11	15	2004
16	William Kens	11/15/1989	Birthday	Sally	Child	15	11	15	2004
17	John J. Advisor, CFP	11/15/2004	Required Distribution Date	John J. Advisor, CFP	Primary	0	11	15	2004
18	William Kens	11/17/1973	Anniversary	William Kens and Samantha Kens	Primary & Spouse	30	11	17	2004
19	Corey Kohn	11/19/1988	Insurance Anniversary	Corey Kohn	Primary	15	11	19	2004
20	Larry Krieger	11/19/1988	Insurance Anniversary	Larry Krieger	Primary	15	11	19	2004
21	Robert Labahn	11/19/1988	Insurance Anniversary	Robert Labahn	Primary	15	11	19	2004
22	Barbara Kendall	11/19/1986	Insurance Anniversary	Barbara Kendall	Primary	17	11	19	2004
23	Richard Kile	11/23/1930	Birthday		Spouse	73	11	23	2004
24	Richard Kerr	11/25/1957	Birthday	Joan Kerr	Spouse	46	11	25	2004
25	A Kolesar	11/25/1998	Insurance Anniversary	A Kolesar	Primary	5	11	25	2004
26	William Kotzian	11/25/1983	Insurance Anniversary	William Kotzian	Primary	20	11	25	2004
27	John Ketring	11/25/1983	Insurance Anniversary	John Ketring	Primary	20	11	25	2004
28	Glenn Kuhles	11/26/1991	Insurance Anniversary	Glenn Kuhles	Primary	12	11	26	2004

Once you have created a report, you can then create a lookup back into the Act4Advisors database. Simply highlight the contact(s) you want included in the lookup and click on the Lookup Selected button.

### Required Minimum Distribution Dates

Act4Advisors automatically calculates and inputs the RMD Date when you enter a date of birth for the contact or spouse. The date entered is the date the person turns 70 1/2.

The Important Dates Reports DOES NOT CALCULATE the RMD Date. It simply reads the date in the field and reports on it.

If you imported dates of birth from a previous version of Act4Advisors or another database, you will need to run a separate program to globally update the RMD date fields BEFORE running the report. You can download this program from within the Web Info Tab.

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