
PeopleSoft Client Management 9.1 PeopleBook

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Oracle's PeopleSoft CRM Client Management Preface

This preface discusses:

- PeopleSoft application fundamentals.
- PeopleSoft industry application fundamentals
- PeopleSoft automation and configuration tools.
- PeopleSoft services foundation.
- PeopleSoft business object management.
- PeopleSoft product and item management.
- PeopleTools PeopleBooks.

Note. All information found in this PeopleBook is applicable to PeopleSoft CRM for High Technology.

PeopleSoft Application Fundamentals

The *PeopleSoft CRM 9.1 Application Fundamentals PeopleBook* contains essential information describing the setup and design of the PeopleSoft CRM system. This book contains important topics that apply to many or all PeopleSoft applications across the PeopleSoft CRM product line.

The *PeopleSoft CRM 9.1 Application Fundamentals PeopleBook* contains these parts:

- CRM Multi-Product Foundation.
This part discusses the design and setup of the PeopleSoft CRM system, including security considerations.
- Workforce Management.
This part discusses PeopleSoft CRM workflow, the Active Analytics Framework (AAF), business projects, and scripts.
- Interactions and 360-degree views.
This part discusses how to manage interactions and setup and use the 360-degree view, a powerful tool that enables users to view and work with any transaction or interaction that is associated with a customer or worker.
- Self-Service for Customers.
This part discusses how to set up, administer, and use self-service applications for customers and workers.

- Relationship Management.

This part discusses how system users manage their contacts and tasks.

- Entitlement Management.

This part discusses setting up agreements and warranties.

- SmartViews.

This part discusses how to set up and use SmartViews to manage key customer segments and accounts in a central environment.

See Also

PeopleSoft CRM 9.1 Application Fundamentals PeopleBook, "Oracle's PeopleSoft CRM Application Fundamentals Preface"

PeopleSoft Industry Application Fundamentals

The *PeopleSoft CRM 9.1 Industry Application Fundamentals PeopleBook* discusses configuration options including security and financial account administration common to PeopleSoft vertical solution applications.

The *PeopleSoft CRM 9.1 Industry Application Fundamentals PeopleBook* contains essential information describing the setup and design of PeopleSoft CRM industry-specific applications and the use of features that are common to multiple applications within PeopleSoft CRM industry applications, including information about:

- Industry-specific tables.
- Industry-specific set IDs and roles.
- Products for industries.
- Arrangements and contracts.
- Industry-specific business objects.
- Application security for financial services.
- Financial accounts.
- Churn management.
- Fraud management.

See Also

PeopleSoft CRM 9.1 Industry Application Fundamentals PeopleBook, "Oracle's PeopleSoft CRM Industry Application Fundamentals Preface"

PeopleSoft Automation and Configuration Tools

The *PeopleSoft CRM 9.1 Automation and Configuration Tools PeopleBook* discusses automation and configuration tools that are common to multiple CRM applications. This is an essential companion to your application PeopleBook.

The *PeopleSoft CRM 9.1 Automation and Configuration Tools PeopleBook* contains these parts:

- Correspondence management.

This part discusses the setup and application of manual notifications, automatic notifications and manual correspondence requests among CRM objects.

- Automation tools.

This part discusses PeopleSoft CRM workflow, the Active Analytics Framework (AAF), business projects, and scripts.

- Configuration tools.

This part discusses configurable search pages, configurable toolbars, attributes, display templates and industry-specific field labels and field values.

- Knowledge management.

This part discusses Verity search setup.

- Business process management.

This part provides information on the two different approaches to manage business processes in PeopleSoft CRM and discusses:

- The setup of the Business Process Execution Language (BPEL) infrastructure to initiate and manage BPEL process instances.
- The setup of Business Process Monitor to view the status information of initiated BPEL process instances.
- The setup of BPEL worklist integration to send CRM worklist entries (both notifications and action items) from BPEL processes.
- The setup and execution of business projects.

See Also

PeopleSoft CRM 9.1 Automation and Configuration Tools PeopleBook, "Oracle's PeopleSoft CRM Automation and Configuration Tools Preface"

PeopleSoft Services Foundation

The *PeopleSoft CRM 9.1 Services Foundation PeopleBook* discusses configuration options that are common to PeopleSoft Integrated FieldService, PeopleSoft Order Capture, and the PeopleSoft call center applications (PeopleSoft Support, PeopleSoft HelpDesk, and PeopleSoft HelpDesk for Human Resources).

The *PeopleSoft CRM 9.1 Services Foundation PeopleBook* contains these parts:

- Solution management.

Solution management enables users to establish a set of predefined solutions that call center agents and field service technicians can use to resolve customer problems.

- Transaction Billing Processor integration.

PeopleSoft Transaction Billing Processor enables PeopleSoft FieldService, PeopleSoft Support, and PeopleSoft Order Capture to integrate with PeopleSoft Billing and PeopleSoft General Ledger through the use of the PeopleSoft Contracts architecture. The integration enables PeopleSoft CRM users to bill and book revenue for recurring, one-time, and on demand services.

- Environmental Systems Research Institute (ESRI) integration.

The integration with ESRI, a mapping software, enables users to view the location of reported cases and the location of field service activities.

See Also

PeopleSoft CRM 9.1 Services Foundation PeopleBook, "Oracle's PeopleSoft CRM Services Foundation Preface"

PeopleSoft Business Object Management

The *PeopleSoft CRM 9.1 Business Object Management PeopleBook* discusses how to create and manage customer and worker business objects in PeopleSoft CRM.

The *PeopleSoft CRM 9.1 Business Object Management PeopleBook* has these parts:

- Business Object Management Basics.

This part provides an overview of the business object relationship model and discusses setting up role types, relationship types, and control values.

- Data Management for Organization Business Objects.

This part discusses how to set up and manage companies, sites, and partner companies.

- Data management for Individual Business Objects.

This part discusses how to set up and manage persons, including contacts and consumers, and workers.

- Business Object Management.

This part discusses how to define and use business object searches, quick create, and the customer identification framework to manage business objects.

- Customer and Worker Data Integrations.

This part discusses how to integrate customer and worker data with other systems.

See Also

PeopleSoft CRM 9.1 Business Object Management PeopleBook, "Oracle's PeopleSoft CRM Business Object Management Preface"

PeopleSoft Product and Item Management

The *PeopleSoft CRM 9.1 Product and Item Management PeopleBook* discusses how to set up products in PeopleSoft CRM, including installed products, product packages, and products that are service offerings such as service agreements and warranties.

See Also

PeopleSoft CRM 9.1 Product and Item Management PeopleBook, "Oracle's PeopleSoft CRM Product and Item Management Preface"

PeopleTools PeopleBooks

Cross-references to PeopleTools documentation refer to the PeopleTools 8.52 PeopleBooks.

PeopleBooks and the PeopleSoft Online Library

A companion PeopleBook called *PeopleBooks and the PeopleSoft Online Library* contains general information, including:

- Understanding the PeopleSoft online library and related documentation.
- How to send PeopleSoft documentation comments and suggestions to Oracle.
- How to access hosted PeopleBooks, downloadable HTML PeopleBooks, and downloadable PDF PeopleBooks as well as documentation updates.
- Understanding PeopleBook structure.
- Typographical conventions and visual cues used in PeopleBooks.

- ISO country codes and currency codes.
- PeopleBooks that are common across multiple applications.
- Common elements used in PeopleBooks.
- Navigating the PeopleBooks interface and searching the PeopleSoft online library.
- Displaying and printing screen shots and graphics in PeopleBooks.
- How to manage the locally installed PeopleSoft online library, including web site folders.
- Understanding documentation integration and how to integrate customized documentation into the library.
- Application abbreviations found in application fields.

You can find *PeopleBooks and the PeopleSoft Online Library* in the online PeopleBooks Library for your PeopleTools release.

Chapter 1

Getting Started with PeopleSoft Client Management

This chapter provides an overview of PeopleSoft Client Management and discusses:

- PeopleSoft Client Management business processes.
- PeopleSoft Client Management implementation.

PeopleSoft Client Management Overview

Client management is a process of building relationships with clients (typically individuals and families) to sell financial products and services that assist clients in managing and growing their wealth. For decades, banks, brokerage firms, and trust companies have helped the high net-worth investors, with at least \$5-10 million in assets, to preserve and expand their wealth. Aided by teams of experts—accountants and lawyers—financial advisors sort out the complexities of trust and estate planning, taxes, and other matters. To increase wallet shares, financial services institutions are also targeting a broader category of investor—known as the mass affluent—that has from \$100,000 to \$1 million to invest. Technology is a critical component in this new wealth management market because financial institutions are faced with servicing thousands of accounts.

PeopleSoft Client Management Business Processes

Competition and increasing wealth have changed the market. The Financial Advisor (FA) must have:

- Personal relationships with a much larger book of clients.
- Awareness of a client's value and network of influence.
- Ability to react in real time to market events that affect clients' portfolios.
- Ability to make financial product recommendations that consider the client's risk tolerance, current positions, and financial goals and plans.
- Ability to detect and rescue clients at risk of attrition.

PeopleSoft Client Management business processes provide automated solutions for building and personalizing relationships. Using PeopleSoft Client Management, the Financial Advisor can:

- Manage and build the Bank's relationship with the client, the client's household, and the client's network of influence.

- Manage the client's investment portfolio.
- Consult with the client on financial goals and plans.
- Create strategies to sell financial products and services to the client.

PeopleSoft Client Management Implementation

PeopleSoft Setup Manager enables you to generate a list of setup tasks for your organization based on the features that you are implementing. The setup tasks include the components that you must set up, listed in the order in which you must enter data into the component tables, and links to the corresponding PeopleBook documentation.

PeopleSoft Client Management also provides component interfaces to help you load data from your existing system into PeopleSoft Client Management tables. Use the Excel to Component Interface utility with the component interfaces to populate the tables.

This table lists all of the components that have component interfaces:

| Component | Component Interface | Reference |
|--------------------------------|----------------------------|--|
| Equity Symbol RBF_STOCK_TBL | RBF_STOCK_TBL_CI | See Chapter 3, "Setting Up PeopleSoft Client Management," Defining Asset Category Types and Asset Categories, page 11. |

See Also

PeopleSoft CRM 9.1 Application Fundamentals PeopleBook, "Oracle's PeopleSoft CRM Application Fundamentals Preface"

PeopleTools 8.52: PeopleSoft Setup Manager PeopleBook

PeopleTools 8.52: PeopleSoft Component Interfaces PeopleBook

Chapter 2

Navigating in PeopleSoft Client Management

This chapter discusses how to navigate in PeopleSoft Client Management.

Navigating in PeopleSoft Client Management

PeopleSoft Client Management provides custom navigation center pages that contain groupings of folders that support a specific business process, task, or user role.

Note. In addition to the PeopleSoft Client Management custom navigation center pages, PeopleSoft provides menu navigation, standard navigation pages, and PeopleSoft Navigator.

Pages Used to Navigate in PeopleSoft Client Management

This table lists the custom navigation pages that are used to navigate in PeopleSoft Client Management.

Note. The role that is associated with a user's ID and password determines the pages to which the user has access. Thus, not everyone has access to all of the information described in this table.

| <i>Page Name</i> | <i>Navigation</i> | <i>Usage</i> |
|-----------------------------|---|---|
| Wealth Management Center | Main Menu, Wealth Management Center | Access primary Wealth Management menu options and activities. |
| Search Household | Click Search Household on the Wealth Management Center page. | Access the Household, Members, Tasks, and Notes pages on the Wealth Management Center page. |
| Search Products of Interest | Click Search Products of Interest on the Wealth Management Center page. | Access the Product of Interest and Notes pages on the Wealth Management Center page. |
| Add Product of Interest | Click Add Product of Interest on the Wealth Management Center page. | Access the Product of Interest and Notes pages on the Wealth Management Center page. |
| Search Clients | Click Search Clients on the Wealth Management Center page. | Access the Client page on the Wealth Management Center page. |

| Page Name | Navigation | Usage |
|------------------------|--|---|
| Search Clients at Risk | Click Search Clients at Risk on the Wealth Management Center page. | Access the Clients at Risk page on the Wealth Management Center page. |
| Add Client at Risk | Click Add Client at Risk on the Wealth Management Center page. | Access the Client at Risk page on the Wealth Management Center page. |
| Search Referrals | Click Search Referrals on the Wealth Management Center page. | Access the Referrals page on the Wealth Management Center page. |
| My Tasks | Click My Tasks on the Wealth Management Center page. | Access the Tasks page on the Wealth Management Center page. |
| My Calendar | Click My Calendar on the Wealth Management Center page. | Access the Calendar page on the Wealth Management Center page. |

Chapter 3

Setting Up PeopleSoft Client Management

This chapter provides an overview of PeopleSoft Client Management setup and discusses how to:

- Define configuration setup.
- Configure relationship classifications.
- Set up products of interest.
- Configure the risk recovery templates.
- Define asset category types and asset categories.
- Set up equity symbols and update equity values.

Understanding PeopleSoft Client Management Setup

Before you can use PeopleSoft Client Management, you must perform the following setup:

- Define configuration parameters.
Indicate which column to show on both the homepage pagelets and the Relationships page in the Client component: Holdings or YTD Revenue.
- Configure relationship classifications.
Set up the groupings of relationships to fit specific business needs.
- Set up asset category types and asset categories.
Set up to three levels of groupings for the types.

Defining Configuration Setup

This section provides an overview of configuration setup and discusses how to set up wealth management configuration parameters.

Understanding Configuration Setup

The System Configuration component (RBW_WM_CONFIG) enables you to configure the installation to best fit the individual customer's needs. Configuration options include:

- Defining what to display in the Revenue column: year-to-date (YTD) account revenue or total balance (holdings).

This field is used for sort order.

- Entering the financial institution name.

Page Used to Set Up Wealth Management Configuration Parameters

| Page Name | Definition Name | Navigation | Usage |
|---------------------------------|-----------------|--|---|
| Wealth Management Configuration | RBW_WM_CONFIG | Set Up CRM, Product Related, Wealth Management, Configuration Setup, Wealth Management Configuration | Configures the data display of individual financial institutions. |

Setting Up Wealth Management Configuration Parameters

Access the Wealth Management Configuration page (Set Up CRM, Product Related, Wealth Management, Configuration Setup, Wealth Management Configuration).

Wealth Management Configuration

Configuration Information

FSI Name

Client Sort Order

▼ Audit History

| | | | |
|-----------------|------------------------|-----------|----------|
| Created | 01/12/2004 12:14PM PST | By | WMSYSTEM |
| Modified | 01/12/2004 12:14PM PST | By | WMSYSTEM |

Wealth Management Configuration page

FSI Name (financial services institution name) Enter the name of the financial institution.

Client Sort Order Select how to sort clients: by *Holdings* or by *YTD Revenue* (year to date revenue).

Configuring Relationship Classifications

This section provides an overview of relationship classifications and discusses how to set up relationship classifications.

Understanding Relationship Classifications

A relationship classification is a grouping of various relationships. The Client component (RBW_CLIENT_SUMMARY) displays related objects that are categorized by relationship class. A relationship classification must be provided for each relationship instance. The Role Type system data is set up in generic terms so that reciprocal role types can be obtained unambiguously. For example, brother-sister relationships are generalized as *Sibling-Sibling of*. Users do not need to define roles for the source object and the target object. From the classification itself, the application derives the role of the source object.

Relationships appear filtered by category. You can delete a relationship of two objects from one category and use another category to establish a new relationship between those same two objects. Establishing more than one relationship between two given objects is not allowed. Furthermore, the same relationship between two different business objects does not appear in two different categories.

Administrators define relationship classes and the associated roles on the Relationship Classification page.

To set up relationship classifications, use the RBW_REL_CLASS component.

Page Used to Set Up Relationship Classifications

| <i>Page Name</i> | <i>Definition Name</i> | <i>Navigation</i> | <i>Usage</i> |
|-----------------------------|------------------------|--|---|
| Relationship Classification | RBW_REL_CLASS | Set Up CRM, Product Related, Wealth Management, Relationship Classification, Relationship Classification | Configure relationship classifications. |

Setting Up Relationship Classifications

Access the Relationship Classification page (Set Up CRM, Product Related, Wealth Management, Relationship Classification, Relationship Classification).

Relationship Classification

*Description *Sequence

Active Include in Indirect Amount

Create New Household *Household Role

▼ Audit History

Created 12/01/2003 12:00AM PST **By** PPLSOFT

Modified 12/01/2003 12:00AM PST **By** PPLSOFT

| Relationships Customize Find View All First 1-3 of 3 Last | | | | |
|--|-------------------------|-------------------------------------|---|---|
| Relationship | Role 1 | Use Contact Information | | |
| <input type="text" value="Head of Household / Household"/> | Head of Household | <input checked="" type="checkbox"/> | + | - |
| <input type="text" value="Jt. Head of HH / Household"/> | Joint Head of Household | <input type="checkbox"/> | + | - |
| <input type="text" value="Dependent Child / Household"/> | Dependent Child | <input type="checkbox"/> | + | - |

* Required Field

Relationship Classification page

- Description** Define how the relationship is classified. A possible classification is *Household*.
- Include in Indirect Amount** Indicates whether this classification will be used for Indirect Amount calculation. The system displays the Indirect Amount in the Client At Risk and Household components.
- Create New Household** Select to create a new household.
- Household Role** This field is displayed when you select Create New Household. Enter a role for the household.
- Relationships** Define the relationship of one member of the relationship classification to the other. These relationships appear in the Role 1 and Role 2 fields. Selecting the Use Contact Information check box indicates that the role should be used for the household's contact information. By default, contact information comes from the head of the household.

Setting Up Products of Interest

This section provides an overview of product of interest status and discusses how to set up product of interest status.

Understanding Product of Interest Status

To implement PeopleSoft Client Management, you must first set up the product of interest status. This value indicates where in the process the financial advisor, client, and a specific product of interest are. For example, if a client is currently interested in a product, the status is *Active Interest*.

To set up products of interest, use the RBW_POI_STATUS component.

Page Used to Set Up Product of Interest Status

| Page Name | Definition Name | Navigation | Usage |
|----------------------------|-----------------|--|--|
| Product of Interest Status | RBW_POI_STATUS | Set Up CRM, Product Related, Wealth Management, Product of Interest Status, Product of Interest Status | Set up varying statuses to reflect where in the process the product of interest is. Possible values are <i>Active Interest</i> , <i>Converted</i> , and <i>Create Referral</i> . |

Setting Up Product of Interest Status

Access the Product of Interest Status page (Set Up CRM, Product Related, Wealth Management, Product of Interest Status, Product of Interest Status).

| Status Code | *Description | | |
|-------------|-----------------------------|---|---|
| ACTV | Active Interest | + | - |
| CONV | Converted | + | - |
| CRRF | Create Referral | + | - |
| NAPL | Not Applicable at this time | + | - |
| RFAC | Referral Accepted | + | - |

* Required Field

Product of Interest Status page

Status Code

Indicate the code that is used to label different status descriptions. For example, the status code for active interest is *ACTV*.

Configuring the Risk Recovery Template

This section provides an overview of the risk recovery template and discusses how to configure the risk recovery template.

Understanding the Risk Recovery Template

The risk recovery template attaches a task group with a risk reason. For each risk reason, a new task group is attached.

To configure the Risk Recovery Template, use the RBW_RECO_TEMPL component.

See Also

[Chapter 5, "Working with Wealth Management," Managing Clients at Risk, page 45](#)

Page Used to Configure the Risk Recovery Template

| <i>Page Name</i> | <i>Definition Name</i> | <i>Navigation</i> | <i>Usage</i> |
|-------------------|------------------------|--|--|
| Recovery Template | RBW_RECO_TEMPL | Set Up CRM, Product Related, Wealth Management, Recovery Template, Recovery Template | Configure the template that is used by financial advisors to organize and define tasks that must be performed for a risk reason. The template defines the tasks for the recovery plan and the tasks that must be performed by the recovery team. |

Configuring the Risk Recovery Template

Access the Recovery Template page (Set Up CRM, Product Related, Wealth Management, Recovery Template, Recovery Template).

Recovery Template

Risk Reason Financial Advisor Terminated

Recovery Task Template

***Task Template** Sample Risk Template - FA Term

Description

| Template Tasks | | |
|----------------|---------------|--|
| Task Type | Task Priority | Description |
| Phone Call | Medium | Call and inform client |
| To Do | Medium | Send letter to inform client |
| To Do | High | Assign new financial advisor |
| Appointment | High | Set up meeting between new FA and client |
| Reminder | Medium | Meet John about desk sizes |

Modified 02/27/2004 10:27AM PST WMADMIN

Recovery Template page

Task Template Select the name of the template. Set up the template first before completing this field.

See *and PeopleSoft CRM 9.1 Application Fundamentals PeopleBook*, "Working with Tasks."

Task Type Indicates the type of action that must take place. When you select a task template, the task types and priorities are carried from there.

Task Priority Identifies which tasks should be done first. The importance of each individual task should determine the sequence.

Defining Asset Category Types and Asset Categories

This section provides an overview of asset category types and asset categories and discusses how to:

- Set up asset category types.
- Set up asset categories.

To set up asset category types, use the RBW_AST_CAT_TYPE component.

To set up asset categories, use the RBW_ASSET_CATEG component.

Understanding Asset Category Types and Asset Categories

Asset categories are used to classify assets and liabilities. The Asset Category Type component defines various asset types up to three levels. When defining the type, you must indicate which level of the category to use.

Pages Used to Set Up Asset Category Types and Asset Categories

| <i>Page Name</i> | <i>Definition Name</i> | <i>Navigation</i> | <i>Usage</i> |
|---------------------------|------------------------|--|---|
| Asset Category Type Setup | RBW_AST_CAT_TYPE | Set Up CRM, Product Related, Wealth Management, Asset Category Type Setup, Asset Category Type Setup | Define a type of asset category. |
| Asset Category Setup | RBW_ASSET_CATEG | Set Up CRM, Product Related, Wealth Management, Asset Category Setup, Asset Category Setup | Group different asset category types in up to three levels of asset categories. |

Setting Up Asset Category Types

Access the Asset Category Type Setup page (Set Up CRM, Product Related, Wealth Management, Asset Category Type Setup, Asset Category Type Setup).

Asset Category Type Setup

Asset Category Type List

Category Type COMF
Category Level Level 2
***Description**

Asset/Liability Grid Display Settings
Customize | Find | | First 1-2 of 2 Last

| Grid Name | Panel Field Name | Hidden | | |
|-----------|------------------|-------------------------------------|---|---|
| Asset | Stock Quantity | <input checked="" type="checkbox"/> | + | - |
| Asset | Ticker | <input checked="" type="checkbox"/> | + | - |

This object was added and is maintained by the customer.

Audit History

| | | | |
|-----------------|-----------------------|-----------|----------|
| Created | 12/31/2003 3:21PM PST | By | WMSAMPLE |
| Modified | 12/31/2003 3:21PM PST | By | WMSAMPLE |

* Required Field

Asset Category Type Setup page

- Category Level** Displays the level on which this asset category will appear.
- Hidden** Indicate which fields to show in the grid for the selected asset type.
- Grid Name and Panel Field Name** These fields only appear if the category level is 2. In the asset/liability page of the client summary there are display grids, depending on the asset category level 2, certain fields are displayed or hidden on those grids.

Setting Up Asset Categories

Access the Asset Category Setup page (Set Up CRM, Product Related, Wealth Management, Asset Category Setup, Asset Category Setup).

Asset Category Setup

Asset Category List

*Asset Type 1

*Asset Type 2

Asset Type 3

Need Holding

Asset/Liability

This object was added and is maintained by the customer.

Audit History

| | | | |
|-----------------|------------------------|-----------|----------|
| Created | 01/02/2004 10:47AM PST | By | WMSAMPLE |
| Modified | 01/02/2004 10:47AM PST | By | WMSAMPLE |

* Required Field

Asset Category Setup page

Asset Type 1 and **Asset Type 2** Define asset types from which you create appropriate asset categories.

Asset Type 3 (Optional) Enables a more granular level to categorize holdings.

Need Holding Indicates whether this category requires more granular holdings.

Asset/Liability Denotes whether the category is that of an asset or a liability.

Setting Up Equity Symbols and Updating Equity Values

This section discusses how to define equity symbols and update equity values.

To define equity symbols, use the RBF_STOCK_TBL component.

To update equity values, use the RBF_UPD_EQ_VAL_CMP component.

Pages Used to Set Up Equity Symbols and Update Equity Values

| Page Name | Definition Name | Navigation | Usage |
|---------------------|-----------------|---|------------------------|
| Equity Symbol Setup | RBF_STOCK_TBL | Set Up CRM, Product Related, Financial Services, Equity Symbol, Equity Symbol Setup | Set up equity symbols. |

| Page Name | Definition Name | Navigation | Usage |
|---------------------|------------------------|--|--|
| Update Equity Value | RBF_UPD_EQ_VAL_CMP | Financial Services, Update Equity Value, Update Equity Value | Updates the current equity values using the equity symbol. |

Defining Equity Symbols

Access the Equity Symbol Setup page (Set Up CRM, Product Related, Financial Services, Equity Symbol, Equity Symbol Setup).

Equity Symbol Setup

Stock Information

| | |
|----------------------|-------------------|
| Equity Symbol | ^DJI |
| Description | DJ INDU AVERAGE |
| Unit Price | 10505.18 USD |
| Price Change | 6.00 USD |
| Volume | 183814720.0000 |
| Last Refresh | 02/03/2004 3:56PM |

▼ Audit History

| | | | | |
|-----------------|-----------------------|-----------|--------|----------|
| Created | 02/03/2004 3:56PM PST | By | SAMPLE | Burt Lee |
| Modified | 02/03/2004 3:56PM PST | By | SAMPLE | Burt Lee |

* Required Field

Equity Symbol Setup page

- Equity Symbol** Displays the industry symbol that represents the name of a particular equity.
- Unit Price** Displays the current price of the equity.
- Price Change** Displays the difference between the current price of an equity and its price from the previous day.
- Volume** Displays the trading volume of the last update.
- Last Refresh** Displays the date and time when the tables were last updated.

Updating Equity Values

Access the Update Equity Value page (Financial Services, Update Equity Value, Update Equity Value).

Run this process to update the values for a specific equity.

Chapter 4

Managing Clients

This chapter provides an overview of PeopleSoft Client Management and discusses how to work with and maintain clients.

Understanding Client Management

Each of the clients that a financial institution manages is stored in the Person component in PeopleSoft's Customer Data Model. The client is stored as a person with the role of *Consumer*. A financial advisor (FA) can quickly navigate to additional information that provides a holistic view of the client, including a relationship overview, contact summary, key product holdings or services, and additional opportunities that are associated with the clients.

Clients can belong to a household. A new business object, *Household*, has been created to fulfill the business requirements of the client management business process.

Person

PeopleSoft Client Management relies on the Person component.

See *PeopleSoft CRM 9.1 Application Fundamentals PeopleBook*, "Oracle's PeopleSoft CRM Application Fundamentals Preface."

Relationships

Household, family, business, and other relationships characterize the extent to which a client is an influence on the other people who may be sources of revenue to the enterprise.

Relationships are displayed in three places in PeopleSoft Client Management: the Client Summary page, the Relationships page in the Person component, and the Members page in the Household component. To accommodate PeopleSoft Client Management's household needs, you must classify the relationships. Relationships contained within a household are different from other relationships, as not only is the client related to the other household members, but also each household member is related to one another. FAs can view a detailed account of all the relationships that a client has by classification (household, family, business) and role (head of household, husband, wife, child, attorney, and so on). Contact information for each relationship is displayed, making it simple for an FA to bring up a list of all individuals whom the client influences. The system also displays the rolled-up total of products held by each individual.

Household

Relationships in the *Household* category are unique to other relationships. The client is related to all the other household members, and they are all related to one another.

See *and PeopleSoft CRM 9.1 Industry Application Fundamentals PeopleBook*, "Setting Up Business Objects," Setting Up Households.

Risk Summary

PeopleSoft provides the ability to identify clients at risk, marking clients who have generated no activity over a period of time, or after a change in the advisor who is assigned to the account. The solution also provides the ability to create and manage a recovery plan for clients at risk.

Clients at Risk

Clients at risk are persons that may remove their money from your financial institution. A client at risk can be defined manually or automatically based on predefined business rules. Every time that a client is determined to be a risk, a recovery team and recovery plan are automatically assigned. The system tracks the risk history of each client. The Risk Summary page displays the date that the customer was determined to be at risk, the reason, and the current status of that risk event. Also shown is the recovery plan, the members of the recovery team, and notes about the client.

Financial Advisor Termination

PeopleSoft provides one business rule to automatically identify a client at risk . When an FA is terminated for a particular client, that client is automatically identified as at risk . Termination of the FA is determined by the change in the *Employee Status* field in the Worker component. When the system has identified a client as at risk, the system notifies the members of the original account team and the newly created risk recovery team.

See *and PeopleSoft CRM 9.1 Automation and Configuration Tools PeopleBook*, "Working with Active Analytics Framework."

Warning! Any financial advisor can create a client at risk, however drilling down to the client details is restricted to the owner of the client. This condition must be met to create a Client at Risk record when the worker status is terminated or retired; the system initiates a WORKFORCE_SYNC EIP, thereby creating a Client at Risk record.

See Also

[Chapter 5, "Working with Wealth Management," Managing Clients at Risk, page 45](#)

PeopleSoft CRM 9.1 Application Fundamentals PeopleBook, "Workforce Management"

Products

The system displays holdings, financial accounts, balance sheets, and products of interest on the Products page. The system updates account balances and revenue by using a real-time integration with the legacy system. The customer is responsible for creating an inbound asynchronous message for this update to take place. The system displays product holdings in a pie chart that shows how the assets currently under management are invested by asset class. Additionally, a grid displays the information represented on the pie chart, but in more detail. The grid includes the percentage that each asset class is of the total portfolio and the cumulative value of each asset class. The grid also shows the top holdings for the client. The system also displays asset class, equity symbol, a description of the holding, the number of shares, and the current value of those shares.

Holdings are products that a client has under management with a particular financial institution, whether it is the institution that the FA represents, or elsewhere.

It is essential that FAs know the total net worth of each of their clients, which includes both assets and liabilities. This information is displayed on a balance sheet.

Products of Interest

A *product of interest* is a product or service that a client has expressed interest in, but does not have in their product holdings. Products of interest can be products that the client is tracking, as well as products that are recommended by the FA. Using Products of Interest functionality, the FA can track: product description, dollar amount interested in, level of interest, and comments regarding the interest. The FA uses this information to help understand the desires of the client. When there is an opportunity to share information regarding a specific product, the FA can get a complete call list of customers that have expressed interest in a particular product and begin making calls to these customers to generate revenue.

See Also

[Chapter 5, "Working with Wealth Management," Managing Products of Interest, page 44](#)

Referrals

A referral is a type of lead. Referral management is the process within a financial services organization that is used to track referrals of new and existing customers. It is in the FA's best interest to track referrals of new and existing customers to other lines of business. Referral management gives the FA the opportunity to follow up on any referral, whether it means calling a potential client or calling the person in a different line of business to whom the FA referred this person. You access the Referral page by selecting the Referral tab on the client summary; the system provides the FA with a one-click method of recording a referral, whether referring the client to another financial services professional for assistance or recording a referral from the client.

Note that even though a new client may be created from the Referral page, this does not automatically grant that user access to the new client. An administrator must add the user to the new client's account team before the user can access this client. For example, although a teller may refer a new client, the administrator decides if it is appropriate to add the teller to the account team.

If the referred person already exists in the customer data model, the name, address, and email address are populated automatically. If the person does not exist, the system creates a new entry in the customer data model to act as a link from the Referral component to the Person record. A referral is a row in the Lead table, RSF_LEAD with REFERRAL_FLG = 'Y.'

When you create a referral, the system assigns it automatically to the financial advisor based on the assignment engine that is used by the sales organization. Assignment criteria typically include product type and geographical location. After the referral is assigned, the system determines an FA based on the sales territory hierarchy. The system adds the person who refers the client as a member of the lead team so that the person can track the progress of the referral. After the system assigns the referral to an FA, that FA has the option of either accepting or rejecting it. The system sends notification to the FA upon the assignment and acceptance of the referral using AAF. Predefined business rules are delivered with AAF that notify the referral source if the referral is not assigned or is rejected within a set period of time.

Opportunities

The system displays all the opportunities associated with a client.

Account Team

By default, the system adds all members of the account team to the recovery team.

Reports

An FA has the ability to create two types of reports: a Taxi Cab report and a Touch Summary report (call report). The Taxi Cab report enables financial advisors to bring a hard copy of client information into meetings or wherever it may be helpful. A Touch Summary report summarizes the contact and interaction that an FA had with a client over a specific amount of time.

See *and PeopleSoft CRM 9.1 Application Fundamentals PeopleBook*, "Oracle's PeopleSoft CRM Application Fundamentals Preface."

Plans

The Client Investment Plan page enables the FA to work with a client to establish the client's investment goals and plans of action to achieve those goals.

See *and PeopleSoft Strategic Account Planning 9.1 PeopleBook*, "Oracle's PeopleSoft CRM Strategic Account Planning Preface."

Working with and Maintaining Clients

This section discusses how to:

- View client summary information
- Maintain relationships.

- View risk summary information.
- Maintain product information.
- Manage referrals.
- Manage opportunities.
- Create account teams.
- Maintain call reports.
- Create plans.
- Define attributes.

See *and PeopleSoft CRM 9.1 Application Fundamentals PeopleBook*, "Oracle's PeopleSoft CRM Application Fundamentals Preface."

Pages Used to Manage Clients

| Page Name | Definition Name | Navigation | Usage |
|------------------------|------------------------|--|---|
| Client Summary | RBW_CLIENT_SUMMARY | <ul style="list-style-type: none"> • Customers CRM, Add Client, Client Summary • Customers CRM, Search Clients, Client Summary | Search for an existing client, or add a new client. |
| Relationships | RBW_BO_REL | Customers CRM, Add Client, Client Summary, Relationships | View all relationships for a client. |
| Risk Summary | RBW_RISK_SUMMARY | Customers CRM, Add Client, Client Summary, Risk Summary | View the risk history for a client. |
| Products | RBW_PRODUCT | Customers CRM, Add Client, Client Summary, Products | View all accounts held by a client. |
| Products-Accounts | RBW_PRODUCT | Customers CRM, Add Client, Client Summary, Products, Accounts | View all the financial accounts that a client has under management at that financial institution. |
| Products-Balance Sheet | RBW_PRODUCT | Customers CRM, Add Client, Client Summary, Products, Balance Sheet | View all asset and liability information for a particular client. |

| Page Name | Definition Name | Navigation | Usage |
|-------------------------------|------------------------|---|---|
| Products-Products of Interest | RBW_PRODUCT | Customers CRM, Add Client, Client Summary, Products, Products of Interest | View all the products in which the client is currently interested. |
| Referrals | RBW_PRSN_REFERRAL | Customers CRM, Add Client, Client Summary, Referrals | View and work with employee and customer referrals. |
| Opportunities | RBW_PRSN_OPP | Customers CRM, Add Client, Client Summary, Opportunities | See Chapter 4, "Managing Clients," page 17. |
| Account Team | RD_ACCOUNT_TEAM | Customers CRM, Add Client, Client Summary, Account Team | View the individual members of the account team. |
| Tasks | RD_TASK_LIST | Customers CRM, Add Client, Client Summary, Tasks | Lists the tasks that an FA must complete. |
| Call Reports | RD_PRSN_CALL_RPTS | Customers CRM, Add Client, Client Summary, Call Reports | Create Touch Summary and Taxi Cab reports. |
| Plans | RD_ACCOUNT_PLAN | Customers CRM, Add Client, Client Summary, Plans | Create future financial plans and recommendations for the client. |
| Notes | RD_NOTES | Customers CRM, Add Client, Client Summary, Notes | View and add notes. <i>See and PeopleSoft CRM 9.1 Application Fundamentals PeopleBook, "Working with Notes and Attachments."</i> |
| Contact Info-Addresses | RD_PRSN_ADDR_BOOKS | Customers CRM, Add Client, Client Summary, Contact Info, Addresses | <i>See and PeopleSoft CRM 9.1 Application Fundamentals PeopleBook, "Oracle's PeopleSoft CRM Application Fundamentals Preface."</i> |
| Contact Info-Contacts | RD_PRSN_ADDR_BOOKS | Customers CRM, Add Client, Client Summary, Contact Info, Contacts | <i>See and PeopleSoft CRM 9.1 Application Fundamentals PeopleBook, "Oracle's PeopleSoft CRM Application Fundamentals Preface."</i> |

| Page Name | Definition Name | Navigation | Usage |
|-----------|-----------------|--|---|
| More Info | RD_PROFILE | Customers CRM, Add Client, Client Summary, More Info | See <i>and PeopleSoft CRM 9.1 Application Fundamentals PeopleBook</i> , "Oracle's PeopleSoft CRM Application Fundamentals Preface." |

Viewing Client Summary Information

Access the Client Summary page (Customers CRM, Add Client, Client Summary).

Save | Search | Add Application | Next | My Clients | My Contacts | >> Personalize

Name Tom Snow **Phone Number** 914 246 3033
Email Address tsnow@yahoo.com **At Risk** 😞

Client Summary | Person | Relationships | Risk Summary | Products | Referrals | Opportunities

Financial Summary

| | |
|-----------------------------|-------------------|
| Holdings | 1,636,876.00 USD |
| Products of Interest | 100,000.00 USD |
| Household Value | 1,677,813.00 USD |
| Net Worth | 3,001,637.00 USD |
| Wallet Share | 46% |
| Number of Referrals | 3 / 25,562.00 USD |
| Year-to-Date Revenue | 647.41 USD |
| Last Year's Revenue | 1,583.72 USD |

Assets Under Management

Accounts | Holdings

Accounts View All | First | 1-5 of 11 | Last

| Number | Description | Amount | |
|-----------------------|--------------------------------|--------------|-----|
| 80021 | Tom Snow Money Mrkt | 1,002,876.00 | USD |
| 80015 | Snow Savings Account | 450,454.00 | USD |
| 70507 | Tom_Mary_Snow Pri_Res Mortgage | 377,000.00 | USD |
| 99859 | Tom Snow Brokerage Account | 128,216.00 | USD |
| 70514 | Tom Snow - E430 AutoLoan | 36,700.00 | USD |

Relationships

[Expand All / Collapse All](#)
[View Household](#)

Client Summary page (1 of 2)

| Household: Total Holdings 1,677,813.00 USD | | | |
|--|---------------------------|------------------|-----|
| Relation | Name | Holdings | |
| Head of Household | Tom Snow | 1,636,876.00 USD | |
| Joint Head of Household | Mary Snow | 1,520,170.00 USD | USD |

| Family: Total Holdings 148,410.00 USD | | | |
|---------------------------------------|----------------------------|----------------|--|
| Relation | Name | Holdings | |
| Child | Roger Snow | 123,410.00 USD | |
| Child | Sara Snow | 25,000.00 USD | |

| Contacts: Total Holdings 4,825,722.00 USD | | | |
|---|------------------------------|------------------|-----|
| Relation | Name | Holdings | |
| Business Partner | Kevin Jordan | 4,825,722.00 USD | USD |
| Attorney | Larry Hill | 0.00 USD | USD |

[Add Relationship](#)

[Add to Top Client List](#)

| Products of Interest | | | |
|----------------------|--|----------------|--|
| Interest Level | Description | Amount | |
| High | Interested in Walt Disney stock because his father in law has just been named the new CFO. | 100,000.00 USD | |

[Add Product of Interest](#)

| Plans | | |
|-------------------------------------|--------|------------|
| Plan Name | Status | Start Date |
| Retirement Planning | Draft | 01/01/2004 |

[Create Plan](#)

| Reports | |
|--------------------------------------|---------------------------------|
| Touch Summary Report | Taxi Cab Report |

| Business Process |
|---------------------------------------|
| No Business Processes have been added |

Client Summary page (2 of 2)

Financial Summary

- Holdings** Total holding value of a client.
- Products of Interest** Total product of interest amount.
- Household Value** Total household holding of a client.
- Net Worth** Total net worth of the client.
- Wallet Share** Percent of total assets that is in the assets under management.
- Number of Referrals** Total referral count of a client.

Relationships

The Relationships group box groups the client's relationships by type, such as household, family and contacts. Click the relationship link to view, update, or end the relationship. Click the Add Relationship button to add a new relationship.

Top Client List

Click the Add to Top Client List button to add this client to your top client list. You must save the page for the action to take effect.

Assets Under Management

This group box lists all the client's accounts with a description and the current holding.

Click the Number link to access complete information about the account.

Products of Interest

This group box lists all products of interest for the client with the interest level, a description, and amount.

Click the Description link to view detailed information on the Product of Interest page.

Click the Add Product of Interest button to access the Product of Interest page.

Plans

This group box list all plans for the client displaying the Plan Name, the plan status, and the start date.

Click the Plan Name link to access the My Client page where you can view and create plans for the client.

Click the Create Plan button to add a new plan for the client.

Reports

Click the Touch Summary Report button to generate the touch summary report

Click the Taxi Cab Report button to generate the taxi cab report.

Business Process

The system displays any business processes connected with the client.

Maintaining Relationships

Access the Relationships page (Customers CRM, Add Client, Client Summary, Relationships).

| Client Summary | Person | Relationships | Risk Summary | Products | Referrals | Opportunities | |
|--|------------------------|-------------------------------|------------------------------|--------------------------------|---------------------------|-------------------------------|------------------|
| Relationships | | | | | | | |
| Expand All / Collapse All | | | | View Household | | | |
| Household: Total Holdings 1,677,813.00 USD | | | | | | | |
| Relation | Name | Phone | Email | | YTD Revenue | | Holdings |
| Head of Household | Tom Snow | | | | 647.41 USD | | 1,636,876.00 USD |
| Joint Head of Household | Mary Snow | | | | 0.00 USD | | 1,520,170.00 USD |
| Family: Total Holdings 148,410.00 USD | | | | | | | |
| Relation | Name | Phone | Email | | YTD Revenue | | Holdings |
| Child | Roger Snow | | | | 0.00 USD | | 123,410.00 USD |
| Child | Sara Snow | | | | 25.00 USD | | 25,000.00 USD |
| Contacts: Total Holdings 4,825,722.00 USD | | | | | | | |
| Relation | Name | Phone | Email | | YTD Revenue | | Holdings |
| Business Partner | Kevin Jordan | | | | 0.00 USD | | 4,825,722.00 USD |
| Attorney | Larry Hill | | | | 0.00 USD | | 0.00 USD |
| Add Relationship | | | | | | | |

Relationships page

Relationships Displays the relationships among persons.

Holdings Total amount held in the institution.

YTD Revenue The revenue that the institution earned from the client.

Viewing Risk Summary Information

Access the Risk Summary page (Customers CRM, Add Client, Client Summary, Risk Summary).

| Client Summary | Person | Relationships | Risk Summary | Products | Referrals | Opportunities | |
|------------------------------------|------------------------|-------------------------------|------------------------------|--------------------------|---------------------------|-------------------------------|---------------------------|
| Risk Summary | | | | | | | Customize |
| Date Created | Risk Reason | Risk Status | Created By | | | | |
| 03/05/2004 7:04AM | Others | At Risk | Calvin Harper | | | | |
| Add Client at Risk | | | | | | | |

Risk Summary page

To access the Client at Risk page, select a risk reason from the risk summary list.

Risk Reason Reason that the client is considered a risk.

See and Chapter 5, "Working with Wealth Management," Managing Clients at Risk, page 45.

Maintaining Product Information

Access the Products page (Customers CRM, Add Client, Client Summary, Products).

Client Summary | Person | Relationships | Risk Summary | **Products** | Referrals | Opportunities

Holdings | Accounts | Balance Sheet | Products of Interest

The pie chart displays the following data:

| Asset Class | Percentage |
|------------------|------------|
| Equities | 62.93% |
| Cash | 30.90% |
| Derivatives | 5.93% |
| Foreign Exchange | 0.24% |

| Holdings Summary | | | |
|------------------|------------|--------------|-----|
| Asset Class | Percentage | Value | |
| Equities | 62.93% | 1,030,066.00 | USD |
| Cash | 30.90% | 505,784.00 | USD |
| Derivatives | 5.93% | 97,120.00 | USD |
| Foreign Exchange | 0.24% | 3,906.00 | USD |

| Product Holdings | | | | | |
|---------------------|--------|-------------|----------------|--------------|-----|
| Type | Ticker | Description | Stock Quantity | Value | |
| Depository Receipts | | | | 1,002,876.00 | USD |
| Bank deposit | | | | 461,445.00 | USD |
| | CTX | CENTEX CORP | 1,000.00 | 97,120.00 | USD |
| Cash | | | | 44,339.00 | USD |
| Common Stock | YHOO | Yahoo! | 377.00 | 18,850.00 | USD |

Products page

The Products page displays information as a pie chart. Grids are included to access more detailed information.

Products - Accounts

Access the Products - Accounts page (Customers CRM, Add Client, Client Summary, Products, Accounts, or by clicking the Accounts link).

| Client Summary Person Relationships Risk Summary Products Referrals Opportunities | | | | | |
|--|--------------------------------|----------------|-----|-------------|-----|
| Holdings Accounts Balance Sheet Products of Interest | | | | | |
| Financial Accounts Customize Find View All 1-5 of 11 First Last | | | | | |
| Account Number | Registration Name | Holding Amount | | YTD Revenue | |
| 80021 | Tom Snow Money Mrkt | 1,002,876.00 | USD | 0.00 | USD |
| 80015 | Snow Savings Account | 450,454.00 | USD | 0.00 | USD |
| 70507 | Tom_Mary_Snow Pri_Res Mortgage | 377,000.00 | USD | 0.00 | USD |
| 99859 | Tom Snow Brokerage Account | 128,216.00 | USD | 51.81 | USD |
| 70514 | Tom Snow - E430 AutoLoan | 36,700.00 | USD | 0.00 | USD |

Products - Accounts page

Registration Name Name given to the financial account.

Products - Balance Sheet

Access the Products - Balance Sheet page (Customers CRM, Add Client, Client Summary, Products, Balance Sheet).

| Client Summary Person Relationships Risk Summary Products Referrals Opportunities | | | | | |
|--|-------------------------|------------|------------------|--|--|
| Holdings Accounts Balance Sheet Products of Interest | | | | | |
| Total Current Net Worth Customize 1-1 | | | | | |
| Category | Value | | | | |
| Asset | 3,520,626.00 USD | | | | |
| Liability | -518,989.00 USD | | | | |
| Net Worth | 3,001,637.00 USD | | | | |
| Assets Expand All / Collapse All | | | | | |
| Property: 1,612,000.00 USD Customize 1-4 | | | | | |
| Type | Description | Held Since | Value | | |
| Real Estate | Personal Residence | 03/01/1998 | 1,500,000.00 USD | | |
| Recreational | Sail Boat "Pattington" | 03/03/2004 | 56,000.00 USD | | |
| Automobile | Tom's Car | 03/01/2004 | 30,000.00 USD | | |
| Automobile | Mary's Car | 06/10/2002 | 26,000.00 USD | | |

Products - Balance Sheet page (1 of 3)

| Equities: 1,251,316.00 USD Customize | | | | | | | | |
|--|----------------------------|------------------------|------------|----------------|--------|----------------|--------------|-----|
| Type | Description | Where Held | Held Since | Account Number | Ticker | Stock Quantity | Value | |
| Depository Receipts | Tom Snow Money Mrkt | | 01/21/2000 | 80021 | | | 1,002,876.00 | USD |
| Common Stock | | BofA Brokerage Account | | | ABT | 5,000.00 | 221,250.00 | USD |
| Common Stock | Tom Snow Brokerage Account | PeopleBank | 07/02/2001 | 99859 | YHOO | 377.00 | 18,850.00 | USD |
| Common Stock | Tom Snow Brokerage Account | PeopleBank | 07/02/2001 | 99859 | PSFT | 278.00 | 8,340.00 | USD |

| Cash: 505,784.00 USD Customize | | | | | | | |
|--|-------------------------------|------------|------------|----------------|------------|-----|--|
| Type | Description | Where Held | Held Since | Account Number | Value | | |
| Bank deposit | Snow Savings Account | | 09/21/2000 | 80015 | 450,454.00 | USD | |
| Cash | Snow - Joint Checking Account | | 01/21/2000 | 60207 | 25,903.00 | USD | |
| Cash | TSnow Personal Checking | | 09/10/2001 | 60200 | 18,436.00 | USD | |
| Bank deposit | Tom Snow Savings | | 09/21/2000 | 80027 | 10,991.00 | USD | |

| Derivatives: 97,120.00 USD Customize | | | | | | |
|--|----------------------------|------------|------------|----------------|-----------|-----|
| Type | Description | Where Held | Held Since | Account Number | Value | |
| | Tom Snow Brokerage Account | PeopleBank | 07/02/2001 | 99859 | 97,120.00 | USD |

| Other Assets: 50,500.00 USD Customize | | | | |
|---|-------------|------------|-----------|-----|
| Type | Description | Held Since | Value | |
| | IRA | | 50,500.00 | USD |

Products - Balance Sheet page (2 of 3)

| Foreign Exchange: 3,906.00 USD Customize [?] | | | | | | | |
|---|----------------------------|------------|------------|----------------|----------|-----|--|
| Type | Description | Where Held | Held Since | Account Number | Value | | |
| | Tom Snow Brokerage Account | PeopleBank | 07/02/2001 | 99859 | 3,906.00 | USD | |

Add Asset

| Liabilities Expand All / Collapse All | | | | | | | |
|--|----------------|--------------------------------|------------|----------------|-------------|-------------|-----|
| Loan: -514,200.00 USD Customize [?] | | | | | | | |
| Type | Description | Where Held | Held Since | Account Number | Value | | |
| | Mortgage | Tom_Mary_Snow Pri_Res Mortgage | 01/21/2000 | 70507 | -377,000.00 | USD | |
| | Unsecured Loan | Used as a business Loan | | CCB Bank | 54133251 | -100,500.00 | USD |
| | Mortgage | Tom Snow - E430 AutoLoan | 01/21/2000 | 70514 | -36,700.00 | USD | |

| Credit Card: -4,789.00 USD Customize [?] | | | | | | | |
|---|---|------------|------------|----------------|-----------|-----|--|
| Type | Description | Where Held | Held Since | Account Number | Value | | |
| | GOLD VISA | | 09/21/2000 | 70500 | -4,000.00 | USD | |
| | Tom Snow - Saratoga Container_Credit Card | PeopleBank | 04/04/1999 | 57103 | -789.00 | USD | |

Add Liability

Products - Balance Sheet page (3 of 3)

The balance sheet displays the client's current total net worth divided into assets and liabilities.

Asset and liability details are displayed by type with a cumulative value for each type. You can access the details for each holding by clicking the Details link.

Click the Add Asset or Add Liability button to access the Asset/Liability page.

See [Chapter 3, "Setting Up PeopleSoft Client Management," Defining Asset Category Types and Asset Categories, page 11.](#)

Category Indicates whether the holding is an asset or a liability.

Value Total value of the client.

Products - Products of Interest

Access the Products - Products of Interest page (Customers CRM, Add Client, Client Summary, Products, Products of Interest, or by selecting the Products of Interest link on the Products page).

| Products of Interest | | | | |
|----------------------|----------------|--|------------|-----|
| Date Created | Interest Level | Description | Amount | |
| 03/05/2004 8:07AM | High | Interested in Walt Disney stock because his father in law has just been named the new CFO. | 100,000.00 | USD |

[Add Product of Interest](#)

Products - Products of Interest page

See and [Chapter 5, "Working with Wealth Management," Managing Products of Interest, page 44.](#)

Managing Referrals

Access the Client - Referrals page (Customers CRM, Add Client, Client Summary, Referrals).

| Referrals List | | | | | | |
|---|--------------------|-----------|-----|--------|---------------|-------------------|
| Referral Name | Client | Revenue | | Status | Assigned To | Date Created |
| 529 College Savings Account | Martinez,Jose | 500.00 | USD | Open | Calvin Harper | 03/15/2004 7:46AM |
| Needs new FA | Wong,Jim | 23,512.00 | USD | Open | Glen Lee | 03/15/2004 7:59AM |
| Trust Services | Pepperhill,Michael | 1,550.00 | USD | Open | Glen Lee | 03/15/2004 8:07AM |

[Add Referral](#)

Client - Referrals page

Select the Referrals tab on the Client page to display a list of referrals.

Referral

Access the Referral page (Customers CRM, Add Client, Client Summary, Referrals)by selecting a client from the Referrals list.

Referral History Select One...

Save | Add Referral | Search | Next | Convert | My Contacts | >> Personalize

Referral Name 529 College Savings Account **Referral Status** Open
Client [Jose Martinez](#) **Referral Amount** 500.00 USD

Referral | Call Reports | Tasks | Notes | More Info | History

Client Information
 Client [Jose Martinez](#)

Contact Information
 Address
 Work Phone
 Email

Description
 Needs advise on setting up a 529 College savings account.

Accept/Reject Referral

Referral Status
 Date Created 03/15/2004 7:46AM
 Added By Harper, Calvin
 *Referral Status
 Referral Source
 Referred By
 Referred By [Tom Snow](#)
 *Referral Name
 Referral Amount
 Currency Code
 Assigned To
 Assigned To [Calvin Harper](#)
 [Search Again](#)

Product Info Customize | Find | First 1 of 1 Last

| Primary | Product Group | Product | Apply |
|-------------------------------------|---------------|--------------------------|-------|
| <input checked="" type="checkbox"/> | Savings | 529 College Savings Plan | |

Add Product(s)
 Add Product Group(s)

Referral page

The RSF_LEAD_WM display template under the FIN market controls the RSF_LEAD_LIGHT page. The standard sales application that is licensed with this page is not visible or used; only PeopleSoft Client Management customers see this Referral page.

- Client** Name of the person who is being referred. You can search for a person, or create the newly referred client.
- Added By** Person who entered the referral into the database.
- Referral Source** The type of referral. Possible values are *Customer Referral* and *Employee Referral*.
- Referred By** Client under management who made the referral.
- Referral Name** Description to identify referral.

| | |
|------------------------|--|
| Referral Amount | Potential monetary value of converting this referral into a sale. The amount of business that the referred person can bring to the business. |
| Assigned To | Person responsible for working the referral. |
| Primary | Product or line of business in which the referral is interested. |
| Product | Service or product to be quoted for the referral. |

Managing Opportunities

Access the Opportunities page (Customers CRM, Add Client, Client Summary, Opportunities).

| Opportunity | Product | Est. Revenue | Assigned To | Status | Date Created |
|--------------------------------|---------|---------------|---------------|--------|-------------------|
| Trust Services | | 10,000.00 USD | Calvin Harper | Open | 03/22/2004 7:18AM |

Opportunities List page

To access the Opportunities page (Customers CRM, Add Client, Client Summary, Opportunities), select an opportunity from the Opportunities List.

See *and PeopleSoft Sales 9.1 PeopleBook*, "Managing Sales Leads and Opportunities."

Creating Account Teams

Access the Account Team page (Customers CRM, Add Client, Client Summary, Account Team).

| Owner | Name | Contact Flag | Title |
|-------------------------------------|---------------|--------------|-------|
| <input checked="" type="checkbox"/> | Brett McGrath | Internal | |

Account Team page

Owner The team leader. This person is responsible for the account.

Maintaining Call Reports

Access the Call Reports page (Customers CRM, Add Client, Client Summary, Call Reports).

| Subject | Event Type | Location | Date | Primary Contact |
|--|----------------------|-------------|------------|-----------------|
| First Meeting with Tom | Face to Face Meeting | Tom's House | 03/22/2010 | Tom Snow |
| 4th Qtr Meeting with Tom | Face to Face Meeting | My office | 03/23/2004 | Tom Snow |

[Add Call Report](#)

Call Reports page

To access the Call Report Details page (Customers CRM, Add Client, Client Summary, Call Reports), select a subject from the Call Report list.

Call Report Details History Select One...

[Save](#) | [Add New Call Report](#) | [My Contacts](#) | [My Tasks](#) | [Personalize](#)

Company [Saratoga Container Company](#)

General Information

*Subject Date

*Event Type Location

[View or Link Related Objects](#)

Notes Summary Customize | Find | View All | First 1 of 1 Last

| Select | Subject and Details | Attachment(s) | Added By | Date Added |
|--------------------------|--|---------------|---------------|-------------------|
| <input type="checkbox"/> | Reivew of Finanical Position Meet with Tom to discuss his 4th quater results. By the way, this will be the last time we meet quarterly, he want to meet only 2... | | Calvin Harper | 03/23/2004 6:12AM |

[Check All / Clear All](#)

Call Report Details page (1 of 2)

| Select | Primary | Name | Phone | Company | Email Address |
|--------------------------|-------------------------------------|----------|--------------|-----------------------|-----------------|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | Tom Snow | 914 246 3033 | Saratoga Container Co | tsnow@yahoo.com |

Check All / Clear All

Add Contact

First Name Last Name

Follow-up Tasks

No Follow-up Tasks have been added.

Audit History

| | | | | |
|-----------------|-----------------------|-----------|---------|---------------|
| Created | 03/23/2004 6:16AM PDT | By | CHARPER | Calvin Harper |
| Modified | 03/23/2004 6:17AM PDT | By | CHARPER | Calvin Harper |

Call Report Details page (2 of 2)

Subject An overview of the task.

Event Type Indicates what type of event needs to take place to complete each task.

See *and PeopleSoft CRM 9.1 Application Fundamentals PeopleBook*, "Working with Call Reports."

Creating Plans

Access the Plans page (Customers CRM, Add Client, Client Summary, Plans).

| Plan Name | Plan Type | Start Date | End Date | *Plan Status |
|---------------------|-----------------|------------|------------|--------------|
| Retirement Planning | Retirement Plan | 01/01/2004 | 12/31/2004 | Draft |

Plans page

Plan Name A label to identify and differentiate the plan.

Plan Type The purpose of the plan.

Chapter 5

Working with Wealth Management

This chapter provides overviews of the Wealth Management component, household relationships, products of interest, and clients at risk, and discusses how to:

- Manage households.
- Manage products of interest.
- Manage clients at risk.

Understanding the Wealth Management Component

PeopleSoft Client Management enables you to:

- Create and manage households.
- Create and manage products of interest.
- Maintain and track clients at risk.

Understanding Household Relationships

A household is an association of related persons (consumers). Every client is an individual person (consumer) in the system. *Household* is a type of business object and it is a relationship category as well. You establish household relationships on the Client Summary tab or Relationships tab of the Client component. A household is an organization business object. It extends the Organization class of the revised Business Object Relationship Model and Customer Data Model Application Class Hierarchy.

Three major steps are required to manage the Household object in PeopleSoft CRM:

- Configure PeopleSoft CRM to recognize the Household object.
- Extend the Organization application class to manage the Household object.
- Enable the Business Object Search feature to quickly look up Household objects.

Note. In PeopleSoft CRM Client Management, the Household is not available in the BO search, nor allowed to interact with other transactions.

Modeling a Household

Relationships in the Household category are different from other relationships. Not only is the client related to the other household members; the other household members are all related to each other. This reciprocity is not necessarily true for the other relationship categories. For example, Bob is related to his attorney and to his accountant, but there is no implication that the attorney and the accountant are related. To solve this complexity, relationships are established between the household and the members, not among the members themselves.

The client focus can be changed from one household member to another without having to create the household relationships again. This complexity is hidden from the user. After a client record has been created, if the financial advisor (FA) accesses the Relationships tab and selects the Household category for a new relationship, the system creates a Household object automatically in the background.

You can also create Household objects manually.

Understanding Products of Interest

This section provides an overview of products of interest.

Products of Interest

A product of interest may or may not be from the institution with which the FA is associated. It is a product in which a client has expressed interest, whatever its association. A product of interest can be created from either the Client component or from the Person component. Any FA can enter any client's product of interest. A product of interest can be one of three types: a financial product offered by the management, a specific equity, or a product offered by another institution.

The PeopleSoft system includes security so that FAs can see products of interest for any of their clients. A wealth management administrator can see all product of interest records.

Referrals

Wealth management products of interest can be converted into referrals. When the system converts the product of interest, it also marks the record as inactive. The next time that you access the product of interest record, the button that is used to convert the referral appears as display-only.

Referral management is a process within a financial services organization that is used to track referrals of new customers and referrals of existing customers to other lines of business. A referral is a type of lead whereby a person refers another to the institution. The person who made the referral is tracked as the source of the lead. Part of the value calculation of a given customer may be that although that customer is not the most profitable customer, they add value because of the number of referrals that they bring. When a referral is created, the system sends an email to the Assigned To person. If the referral is not assigned, the Wealth Management administrator can search on unassigned referrals and manually assign them. Again, the system sends an email to the Assigned To person.

Call List

Correspondence management generates a call list. A sample template is provided. A call list is created for each row selected in the configurable product of interest search. Attachments that adhere to the correspondence management usage rules are sent along with the call list.

Understanding Clients at Risk

It's critical for FAs to determine when they are at risk of losing a client. In the Wealth Management industry, each client has significant net worth. Tracking when and why a client is at risk enables the institution to take the steps possible to retain the client.

FAs can subscribe to the notification engine if they want to be notified of their clients at risk. Upon determining that a client is at risk, PeopleSoft Client Management determines the client impact. The system provides the FAs with a graphical view of direct and indirect clients that could be in jeopardy because of a particular client's at-risk status. When a client is placed at risk, the system automatically assigns a recommended recovery team. The system assigns a plan of recovery to that team based on the type of risk that is assigned to the client. The PeopleSoft system provides a recovery plan for the *Employee Termination* risk reason (type). The system notifies the recovery team of each new activity on an at-risk client record.

Recovery Team

By default, the system adds all members of the account team to the recovery team. The members of the recovery team also have different permissions than those of the account team.

Recovery Plan

The recovery plan shows all the tasks to be performed as an attempt to retain a client. System administrators can create recovery plan templates.

Managing Households

This section discusses how to:

- Maintain households.
- Manage members.
- Manage tasks.
- View opportunities.
- Maintain notes.

Pages Used to Manage Households

| <i>Page Name</i> | <i>Definition Name</i> | <i>Navigation</i> | <i>Usage</i> |
|------------------|------------------------|--|---|
| Household | RD_HOUSEHOLD | Wealth Management, Add Household, Household, Household | View existing households, or create new households. |
| Members | RD_HOUSEHOLD_MBRS | Wealth Management, Add Household, Household, Members | View or add members to the household. |
| Tasks | RD_HOUSEHOLD_TASKS | Wealth Management, Add Household, Household, Tasks | Work, view, and add tasks to be completed. |
| Opportunities | RBW_HHLD_OPP | Wealth Management, Add Household, Household, Opportunities | View opportunities associated with the household. |
| Notes | RD_HHLD_NOTE | Wealth Management, Add Household, Household, Notes | View or add notes. |

Maintaining Households

Access the Household page (Wealth Management, Add Household, Household, Household).

Household

Save | Search | Add Household | My Clients | My Contacts | >> [Personalize](#)

Name The Snow Household

Household | Members | Tasks | Opportunities | Notes

***Household Name**

General Information

Contact Name Tom Snow

Address 1251 Mayberry Court, White Plains, EST, NY, 10601-2601, USA

Phone 914 246 3033

Email tsnow@yahoo.com

Financial Summary

| | | | |
|------------------------|------------------|-----------------------------|-------------------|
| Household Value | 1,677,813.00 USD | Year-to-Date Revenue | 647.41 USD |
| Net Worth | 4,235,707.00 USD | Last Year's Revenue | 1,583.72 USD |
| Indirect Amount | 4,974,132.00 USD | Last Refresh | 04/12/2004 2:55PM |

Update Financial Summary

Household page

Financial Summary

| | |
|---------------------------------|--|
| Household Value | Indicates total holdings of all the household members. |
| Year-to-Date Revenue | Indicates total year to date revenue of the household members. |
| Net Worth | The total net worth of the all household members. |
| Last Year's Revenue | The total revenue from all the members of the household. |
| Indirect Amount | This value is the total holding amount of all the persons that are associated with the members of the household but not part of the household. |
| Last Refresh | Indicates the last time amounts were refreshed. |
| Update Financial Summary | Click to update the financial values. The last refresh date is updated. |

Managing Members

Access the Members page (Wealth Management, Add Household, Household, Members).

Household

Save | Search | Add Household | My Clients | My Contacts | >> Personalize

Name The Snow Household

Household Members Tasks Opportunities Notes

Members Personalize Find View All First 1-2 of 2 Last

| Relation | Name | Phone | Email | YTD Revenue | Holdings |
|-----------------------------------|------------------------------|-------------|--------------------|-------------|----------------|
| Dependent Child | Roqer Snow | 914 7585000 | rsnow@consumer.smp | 0.00 USD | 123,410.00 USD |
| Head of Household | Tommy Snowwe | | | 0.00 USD | 0.00 USD |

Add Member

Members page

Relation Define and view how the member is related to the client.

Holdings View the monetary value held by individual members in the household.

Managing Tasks

Access the Tasks page (Wealth Management, Add Household, Household, Tasks).

Household

Save | Search | Add Household | My Clients | My Contacts | >> Personalize

Name The Snow Household

Household Members Tasks Opportunities Notes

Tasks Customize Find First 1-4 of 4 Last

| Priority | Type | Subject | Task Status | Location | Start Date | End Date | Owner |
|----------|------|--|-------------|----------|------------|------------|---------------|
| | | Call Tom's Lawyer to discuss his Will. | Open | | 03/23/2004 | 03/23/2004 | Calvin Harper |
| | | Quartly Meeting with Tom | Open | | 06/30/2004 | 06/30/2004 | Calvin Harper |
| | | Call Mary to discuss her referral | Open | | 03/23/2004 | 03/23/2004 | Calvin Harper |
| | | Send Mary a birthday card. | Open | | 03/23/2004 | 03/23/2004 | Calvin Harper |

Tasks page

The Tasks page shows all the tasks for all the members in the household.

To access the Task Details page, select a subject from the Tasks list.

Viewing Opportunities

Access the Opportunities page (Wealth Management, Add Household, Household, Opportunities).

Household

Save | Search | Add Household | My Clients | My Contacts | >> Personalize

Name The Snow Household

Household | Members | Tasks | Opportunities | Notes

Opportunities List Customize | Find | View All | First 1 of 1 Last

| Opportunity | Product | Client Name | Est. Revenue | Assigned To | Status | Date Created |
|--------------------------------|---------|-------------|---------------|---------------|--------|-------------------|
| Trust Services | | Tom Snow | 10,000.00 USD | Calvin Harper | Open | 03/22/2004 7:18AM |

Opportunities page

View opportunities associated with the household.

Maintaining Notes

Access the Notes page (Wealth Management, Add Household, Household, Notes).

Household

Save | Search | Add Household | My Clients | My Contacts | >> Personalize

Name The Snow Household

Household | Members | Tasks | Opportunities | Notes

Notes Summary

No Notes and Attachments for Household

Add a Note

Added 08/13/2009 12:02PM Glen Lee Note Type

*Subject

Details

Start Date End Date

Apply Note Add an Attachment

Notes page

The system displays notes only for the household relationship, not for the individual members of the household.

See *and PeopleSoft CRM 9.1 Application Fundamentals PeopleBook*, "Working with Notes and Attachments."

Managing Products of Interest

This section discusses how to work with products of interest.

Page Used to Manage Products of Interest

| <i>Page Name</i> | <i>Definition Name</i> | <i>Navigation</i> | <i>Usage</i> |
|---------------------|------------------------|--|---|
| Product of Interest | RBW_POI | <ul style="list-style-type: none"> • Wealth Management, Search Products of Interest, Product of Interest • Wealth Management, Add Product of Interest, Product of Interest • Customers CRM, Search Client, Client, Client Summary, Products of Interest • Customers CRM, Search Client, Client Summary, Products, Products of Interest | Track products in which the client has expressed interest or that the FA has recommended. |

Working with Products of Interest

Access the Product of Interest page (Wealth Management, Add Product of Interest, Product of Interest).

Product of Interest

Save | Search | Add Product Interest | My Clients | My Contacts | >> Personalize

| | |
|-------|-------|
| Name | Phone |
| Email | |

Product of Interest | Notes

Client Information

Client [Tom Snow](#)
Search Again

Detail

| | |
|--|-------------------------------------|
| *Type of Interest <input type="text"/> | <input type="checkbox"/> Active |
| Level of Interest <input type="text"/> | *Status <input type="text"/> |
| *Amount <input type="text" value="0.0000"/> | *Currency Code <input type="text"/> |
| *Description <input style="width: 100%;" type="text"/> | |

Audit History

| | |
|----------|----|
| Created | By |
| Modified | By |

* Required Field

Product of Interest page

This is the main page for product of interest information. To see client summary information from this page, you must select the Client link.

When you access the Product of Interest page through the Client component, the system displays the list of products of interest that client has—here you can select products of interest and drill down to the main product of interest page.

Type of Interest

These values are configurable. When the Type of Interest is *Equity*, stock fields are shown. When the Type of Interest *Product Under Management*, the product prompt is shown.

Convert to Referral

Click this button when the client is ready to purchase the product. The system assigns a referral to the appropriate line of business.

Status

Valid values are *Active Interest*, *Converted*, *Create Referral*, *Referral Accepted*, and *Not Applicable at this time*.

Managing Clients at Risk

This section discusses how to:

- Maintain clients at risk.

- Manage recovery tasks.

Pages Used to Manage Clients at Risk

| <i>Page Name</i> | <i>Definition Name</i> | <i>Navigation</i> | <i>Usage</i> |
|---------------------|------------------------|--|---|
| Client at Risk | RBW_CLIENT_AT_RISK | <ul style="list-style-type: none"> • Wealth Management, Search Clients at Risk, Client at Risk • Wealth Management, Add Client at Risk, Client at Risk • Customers CRM, Search Client, Risk Summary, Client at Risk | View the client risk records. |
| Recovery Tasks page | RBW_RISK_TASK_LIST | Wealth Management, Add Client at Risk, Client at Risk, Recovery Tasks | Identify individual tasks that need to be performed to prevent losing a client. |

Maintaining Clients at Risk

Access the Client at Risk page (Wealth Management, Add Client at Risk, Client at Risk).

Client at Risk

Save | Search | Previous | Add Risk | My Clients | My Contacts | >> Personalize

Name Ed Stanton Phone 555 433 5545
Email edstanton@consumer.mpt

Risk Recovery Tasks Notes

Detail

Client [Ed Stanton](#)

*Risk Reason No Activity
Risk Priority 2 - Medium
*Risk Status At Risk

Comments This client has not been touched in the past 90 days.

Financial Status

| | | | |
|---------------|------------------|----------------------|------------------|
| Opportunities | 0.00 USD | Product Holdings | 2,583,146.00 USD |
| Net Worth | 2,583,146.00 USD | Indirect Holdings | 0.00 USD |
| | | Products of Interest | 0.00 USD |

Recovery Team Customize | Find | View All | First 1 of 1 Last

| Name | Datetime Added | | |
|---------------|-------------------|---|---|
| Calvin Harper | 03/12/2004 8:09AM | + | - |

Client at Risk page

To view client summary information from this page, select the Client link.

When you access the Clients at Risk page through the Client component, the system displays the list of risks associated with the client, where you can drill down to arrive at this page and view the details of the risk record. Risks are set up either manually or when the account team members are terminated.

Risk Reason Select a value for the risk reason. Values include *ACATS, Financial Advisor Terminated, No Activity, Others*.

Risk Priority Select a priority level. Values are *Low, Medium, High*.

Risk Status Select a status for the risk. Values are *At Risk, Lost, Recovered*.

Managing Recovery Tasks

Access the Recovery Tasks page (Wealth Management, Add Client at Risk, Client at Risk, Recovery Tasks).

Client at Risk

Save | Search | Previous | Add Risk | My Clients | My Contacts | >> Personalize

Name Ed Stanton **Phone** 555 433 5545
Email edstanton@consumer.mpt

Risk | Recovery Tasks | Notes

Tasks

Customize | Find | First 1-3 of 3 Last

| Priority | Type | Subject | Task Status | Location | Start Date | End Date | Owner |
|----------|------|--|-------------|----------|------------|------------|---------------|
| ! | 📄 | Send letter to notify client of inactive | Open | | 03/12/2004 | 03/12/2004 | Calvin Harper |
| ! | 📞 | Call and follow up with client | Open | | 03/12/2004 | | Calvin Harper |
| ! | 📄 | Send client financial advise | Open | | 03/12/2004 | 03/12/2004 | Calvin Harper |

Add Task

Recovery Tasks page

To access the Task Details page, select a subject on the Recovery Tasks page.

Task Details

History | Select One... | Personalize

Save | Options | Add New Task | My Clients | My Contacts | >>

Subject Send letter to notify client of inactive **Status** Open
Owner Calvin Harper **Company**

Task Details | Notes

Task Details

Subject Send letter to notify client of inactive **Task Type** To Do
Status Open **Private** **Priority** High
Start Date 03/12/2004 **Start Time** 8:09AM **Time Zone** PST
End Date 03/12/2004 **End Time** 8:09AM **Location**
Owner Calvin Harper **Client at Risk** [NOAC](#)
Repeats Does Not Repeat [View or Link Related Objects](#)
Description Send letter to notify client of inactive

Assigned To
 No Assignees have been added.

Task Details page

Use the Task Details page to identify individual tasks that need to be performed to prevent losing the client.

See *and PeopleSoft CRM 9.1 Application Fundamentals PeopleBook*, "Working with Tasks."

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