Client Management How to Guide

Overview

Client Management is central to how you conduct your day-to-day business in ClientWorks™. Client Management allows you to view data related to your business, including clients, accounts, investments, activities, requests and documents. This data can be viewed at the book of business, client and account levels. You can create and save custom views so you can easily access the data that is most relevant to the action you need to take at every moment.

This guide walks you through how to access Client Management, how to customize and utilize its core features and explains each of the data browsing tabs available to you.

Icons

Alert or Important | Frequently Asked Question | Quick Tip | Information or Note

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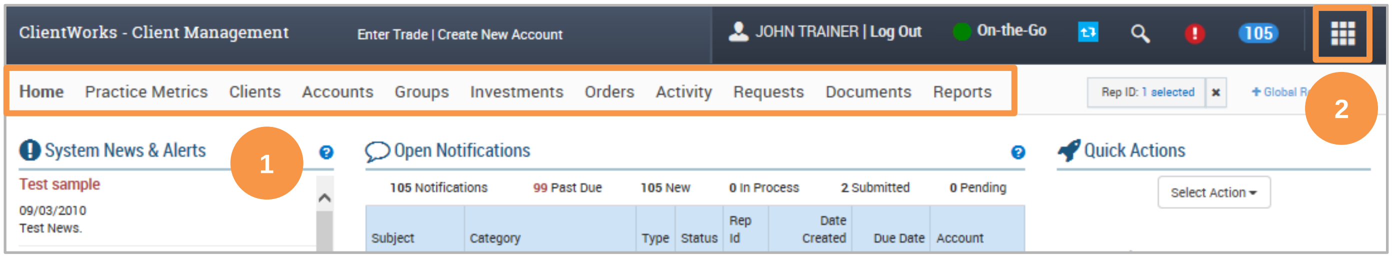
Access Client Management

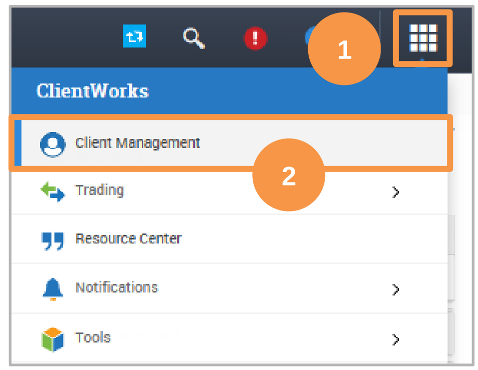
When you log in to ClientWorks, the Client Management Home page opens. From the Home page you can:

1. Go to other tabs within Client Management.
2. Access other tools via the App Drawer.



If you need to navigate back to Client Management from another tool in ClientWorks, you can also use the App Drawer.

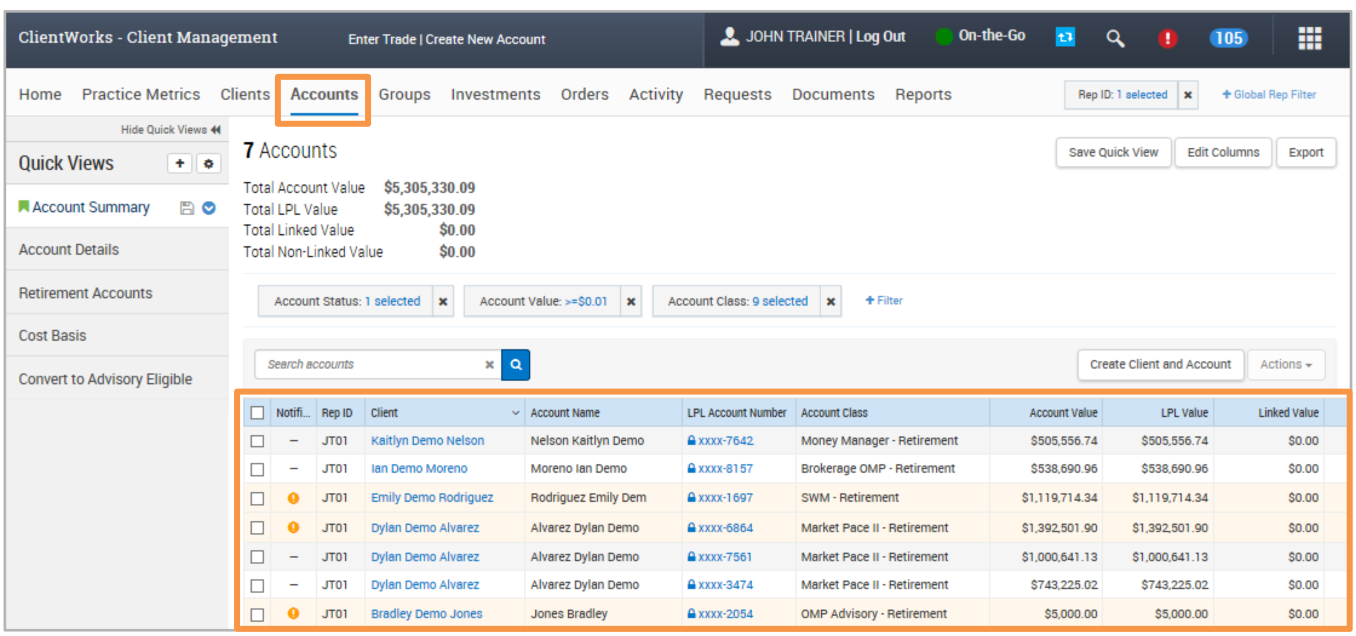
1. Click the **App Drawer** button on the top right.
2. Select **Client Management** in the drop-down menu.



Core View Functionality

Overview

The first time you access Client Management, you will see all open accounts in your book of business under the **Accounts** tab, one of several tabs you can view.



The available tabs in Client Management are:

Home	Displays an overview of the client information.
Practice Metrics	Displays a high-level view of the data in ClientWorks.
Clients	Displays a list of all your clients and high-level information about their balances.
Accounts	Displays data for that account.
Groups	Displays groups you created in BranchNet.
Investments	Displays all investments.
Orders	Provides a view of all the orders.
Activity	Displays data on transactions.
Requests	Displays current requests from tools used in ClientWorks.
Documents	Displays uploaded documents.
Reports	Displays commission and fee reports.

There are three levels of data you can drill down into from each of the tabs available to you.

1. Book of Business	Displays all data for all clients you manage.
2. Client	Displays all data for all accounts for that client.
3. Account	Displays data for that account.

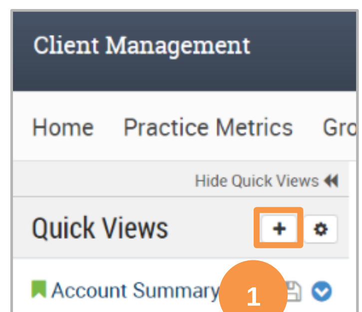
By default, each tab and each layer of data within each tab displays all of the data available at that level in an unfiltered state. You can further customize, filter and search for exactly the data you need and save that view using quick views.

Quick Views

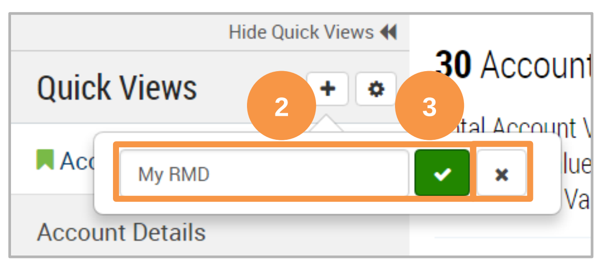
Quick views filter the content and display a set of columns that are appropriate for that content. Default quick views are included for common tasks. You can customize the filters and columns and save them to create your own quick views. Customized quick views are only visible to the user who created them and cannot be shared. Please note that existing default quick views are subject to change, in order to address user needs.

Adding Quick Views

1. To add a new quick view, click the **+** button.

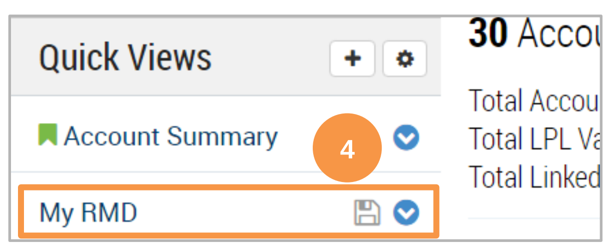


2. Enter a name for the quick view into the **Name** saved view field, e.g., *My RMD*.
3. Click the green checkmark.



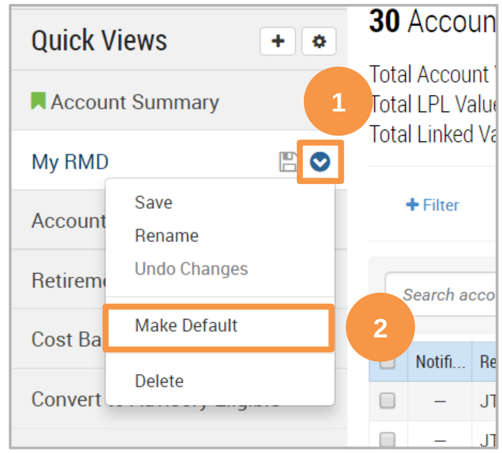
4. The quick view appears in the **Quick Views** list.

You can drag and drop the quick views into any order you would like.



Assigning a Default Quick View

To assign a different default view that loads when you click that view again:



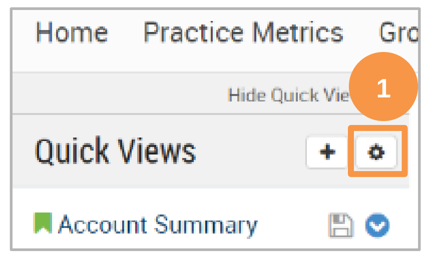
1. Click the blue down arrow on the quick view you wish to make the default view.
2. Select **Make Default**.

You can also delete and save quick views from within this menu by selecting the appropriate option.

Re-establishing Original Default Quick Views

Client Management has several built-in default quick views which can be overwritten. To re-establish the original default quick views:

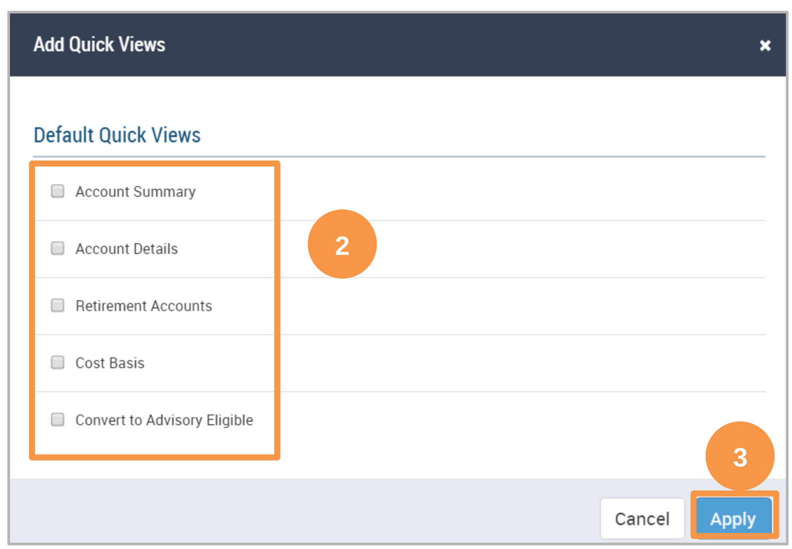
1. Click the **Settings** button.



The **Add Quick Views** window opens.

2. Select the default quick view you wish to re-establish.
3. Click **Apply**.

This will add the selected default quick view back into your Quick Views list. If there is another view in your list with the same name, the system will add a number to the end of the quick view name.

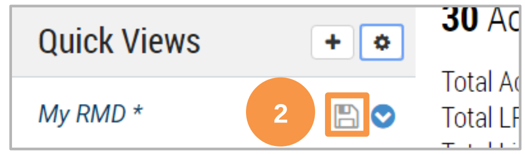


Saving Views

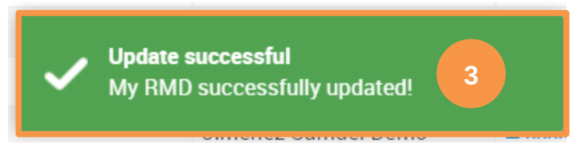
When you make changes to a view, it is not automatically saved. New views can be saved for changes made to columns, sorting and filters.

1. An asterisk and italics shows that a change has yet to be saved.

2. Click the **Save Quick View** button next to the view name.



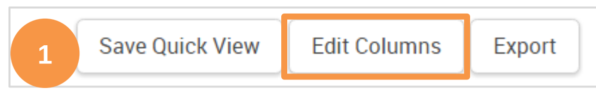
3. A green box will appear indicating that the view has been saved.



Columns

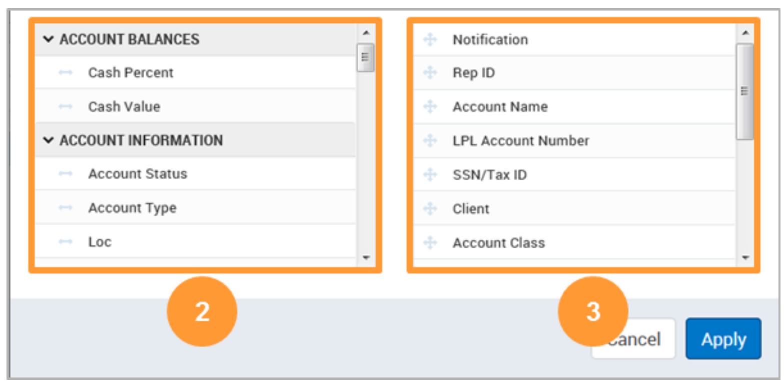
Edit Columns

1. Click **Edit Columns**.



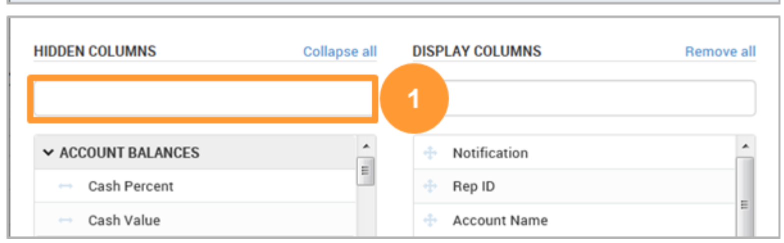
The **Edit Table Columns** window appears.

2. On the left-hand side, you can see all of the available columns.
3. On the right-hand side, you can see the columns currently displayed and the order in which they are displayed.

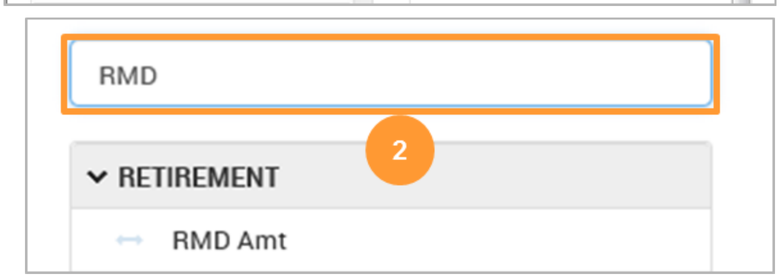


Search For Columns

1. Enter a search parameter in the **Hidden Columns** field.



2. In this example, **RMD** is entered as the search parameter. The search finds all available columns which contain the letters “RMD”.



Adding Columns

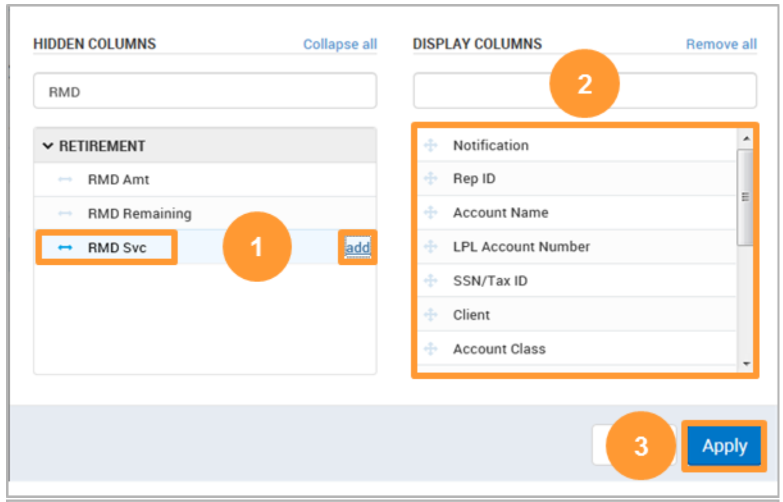
1. You can add the displayed columns either by selecting and clicking the **add** button, or by dragging and dropping the displayed column from the left-hand side, to the right-hand side of the **Edit Table Columns** window.

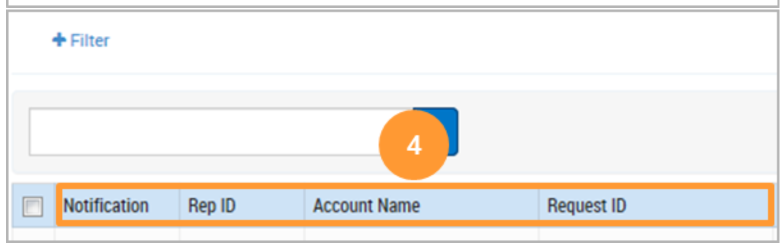
Moving Columns

2. Drag and drop the **Display Columns** into the order you would like them to be displayed.
3. Click **Apply** when finished.

4. Drag and drop the columns into the positions you want using the column headers.

You can remove all the displayed columns and remove individual columns within the **Edit Table Columns** window.



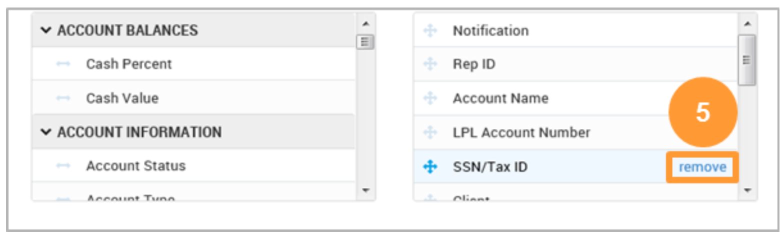


You can move columns at any time within the main results grid.

Removing Columns

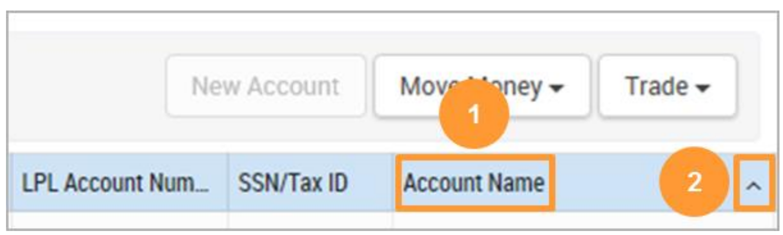
You can remove columns by using the **Edit Table Columns** window.

5. Move your mouse over the displayed column you wish to remove and select **Remove.**



Sorting Columns

1. You can sort columns by clicking the column title.
2. An arrow will appear to the right of the title indicating whether the values in the column are sorted in descending or ascending order.

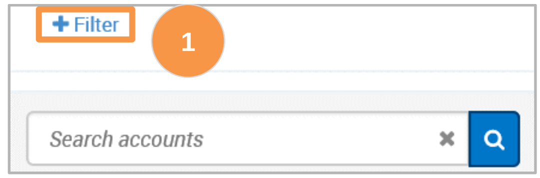


Filters

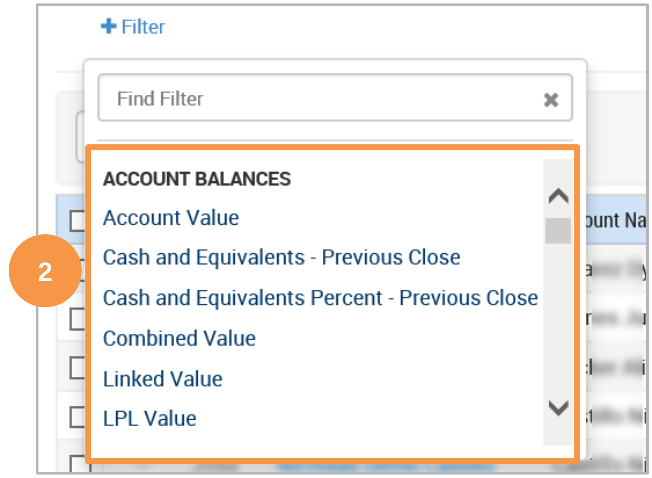
Adding Filters

You can add filters to most fields.

1. Select **+ Filter** to add a filter.

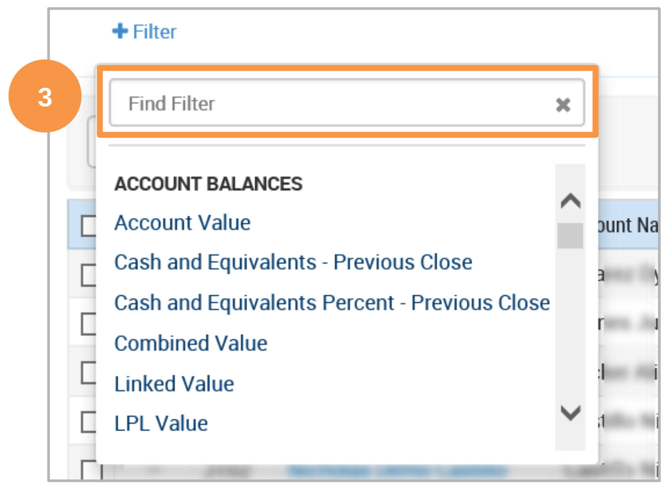


2. In the search box enter the beginning of a filter value you are looking for and select the filter that you want to apply to the results. You can also filter information by dragging and dropping the column headings into the filter search field.

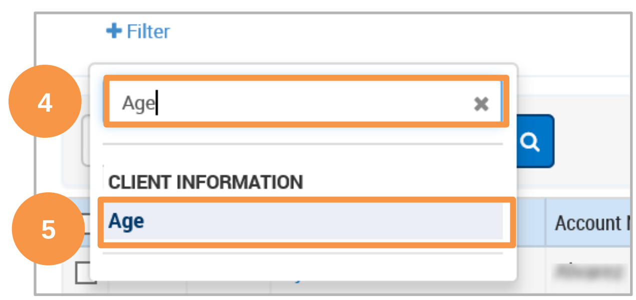


Search for Filters

3. Enter a search parameter in the **Find Filter** field.



4. In this example, **Age** is entered as the search parameter. The search has found all available columns which contain the letters "age".
5. Select the **Filter** which you want to apply to the results.

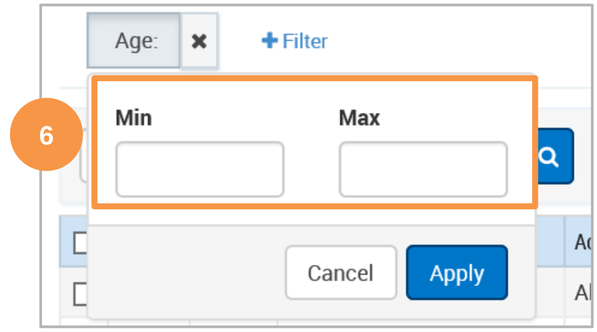


6. Some filters have further values or options you need to add/select.

When using a filter that requires a date range, choosing a longer date range will increase the time it takes to load the data.

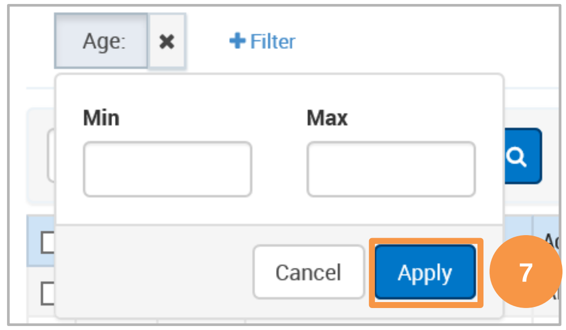
You don't need to enter both values for Min and Max, you can enter either one.

In this example, either a Min or a Max, or both, are required.

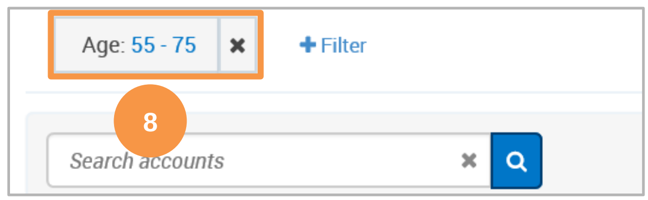


7. After you enter the values, click **Apply** to add the filter to the results.

You cannot enter decimals for fields like Age. In other fields like account value you can enter a decimal.

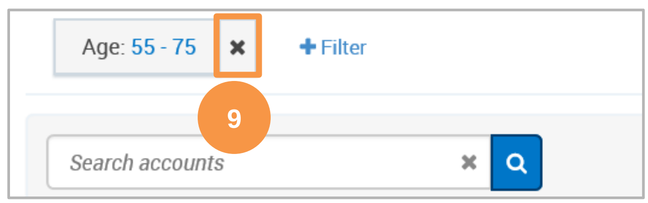


8. The filters applied to the results are seen across the top of the results screen.



Removing Filters

9. To remove a filter, click the **x** button next to the applied filter.



Adding Global Filters

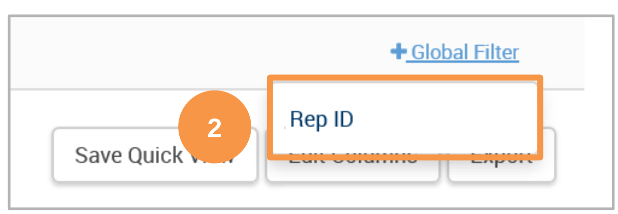
Global filters can filter everything in Client Management. They are independent from the local (quick view) filters. To use Client Management, you will need to filter for data pertaining to the Rep Id or Rep Ids you wish to view.

1. To add a global filter, click **+ Global Filter** button on the top right.

If you move between quick views, global filters continue to be applied, but the local filters in each quick view change depending on the view.

Global Filters cannot be saved in a quick view. You must add your filter as a local filter to a quick view and save it there.

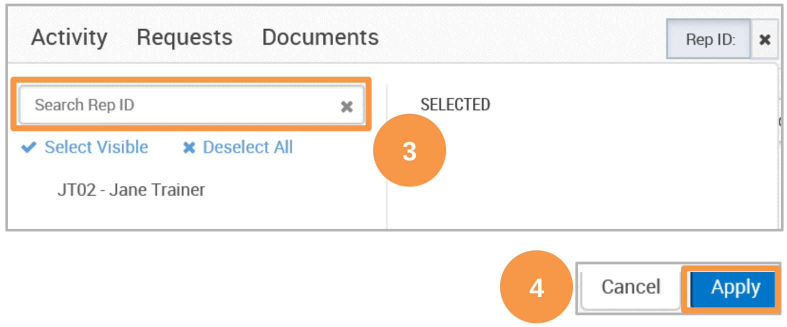
2. Select the **Global Filter** you wish to apply globally. In this example **Rep ID** is selected.



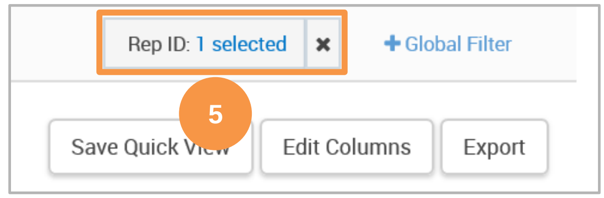
3. Add the filtering you wish to apply globally to the Rep ID.

You can search for Reps by entering the first three characters of their ID. Then you'll see a list of available Rep IDs.

4. Click **Apply**.

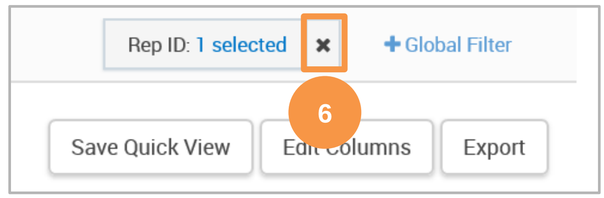


5. The global filters can be seen at the top of the screen.



Removing Global Filters

6. To remove a global filter, click the **x** button next to the applied global filter.

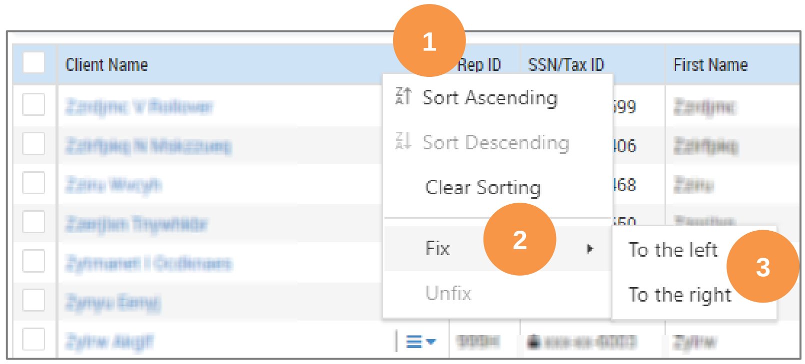


Navigating Columns

There are several tools to assist navigation to quickly access your client data.

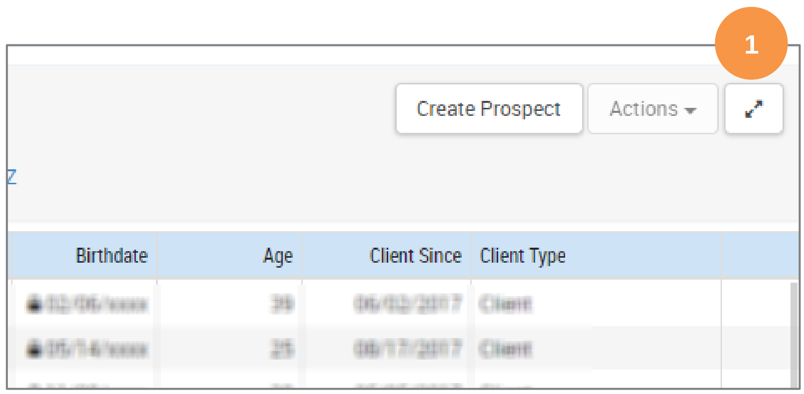
Fixing Columns

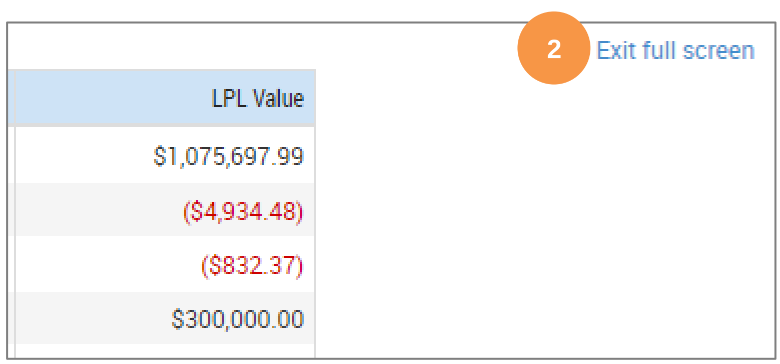
1. To fix (pin) columns to the left or right of the grid to maintain their visibility while scrolling, right-click on the applicable column.
2. Select **Fix**.
3. Next, select **To the left** or **To the right**. The columns will remain visible as you scroll through additional columns.



Expanding Client Data Grid

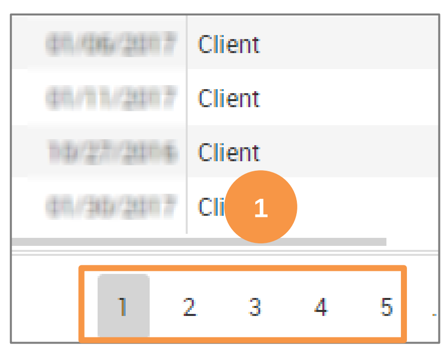
1. To expand the grid size and improve visibility, select the expand icon.
2. To restore original sizing, select **Exit full screen**.





Client Data Grid Pagination

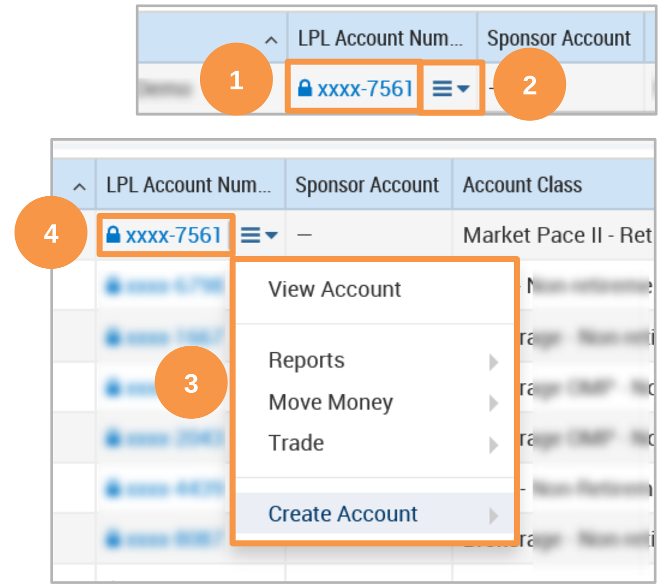
1. Pagination allows you to quickly navigate through client data. Select the number at the bottom of the grid to navigate to additional data.



Account Actions

When you've found an account that you want to take action on, hover over the account number link to see additional options, such as Move Money.

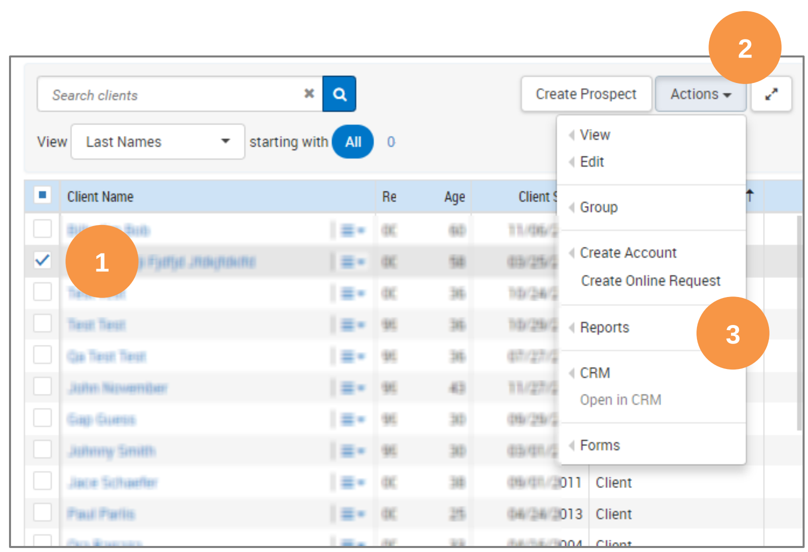
1. Move your mouse over an **account number link**.
2. Click the drop-down menu.
3. A contextual menu appears showing actions you can apply directly to the selected account.
4. Click the **account number link** to see a set of summary pages for the selected account.



Multiple Account Actions

1. You can also perform actions on multiple accounts simultaneously. Select all applicable accounts.
2. Select the **Actions** menu.
3. Select the applicable action.

The Action menu option =remains visible when scrolling through data.



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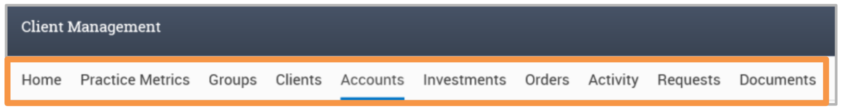
Tabbed Views

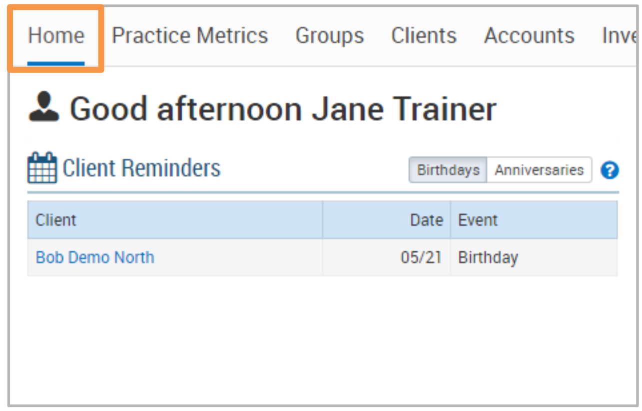
In each tab, the data visible varies depending on the data level for that tab (e.g., book of business, client and account).



Home

The **Home** tab displays an overview of the client information.

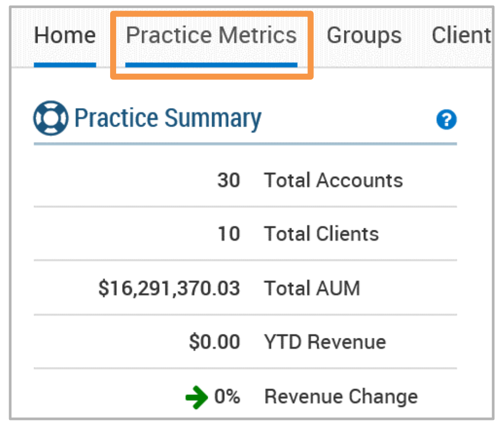
For additional resources to help you work with the home tab, refer to the Client Management How to Guides available on the **ClientWorks Guides and Tips** page in the Resource Center.



Practice Metrics

The **Practice Metrics** tab provides a high-level view of the data in ClientWorks.

For additional resources to help you work with practice metrics, refer to the Client Management How to Guides available on the **ClientWorks Guides and Tips** page in the Resource Center.



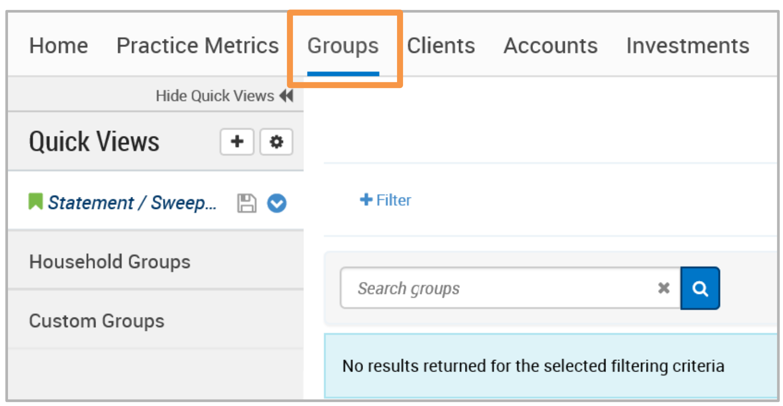
Groups

The **Groups** tab allows you to view (read only) groups created in BranchNet. You can view all accounts within each Group and then link out to other pages through the LPL client number and account name.

There are 5 group types everyone will have access to:

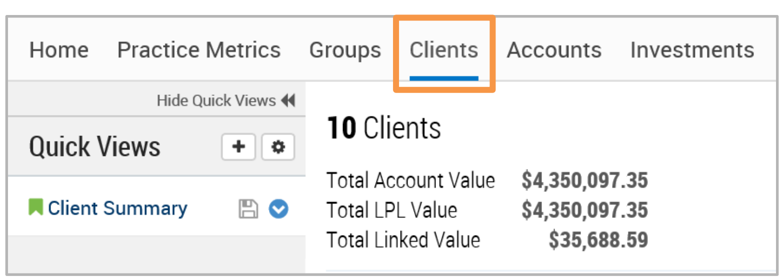
1. Combined statement
2. Advisory Statement
3. Bank Deposit Sweep
4. Household Groups*
5. User Defined*

*Only for Portfolio Managers subscribers.



Clients

The **Clients** tab allows you to view all clients. This tab gives detailed information, such as client accounts, balances, cash percentage, RMD and contact information by client.



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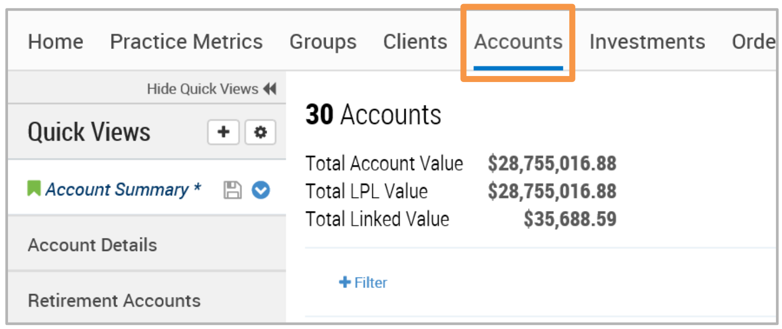
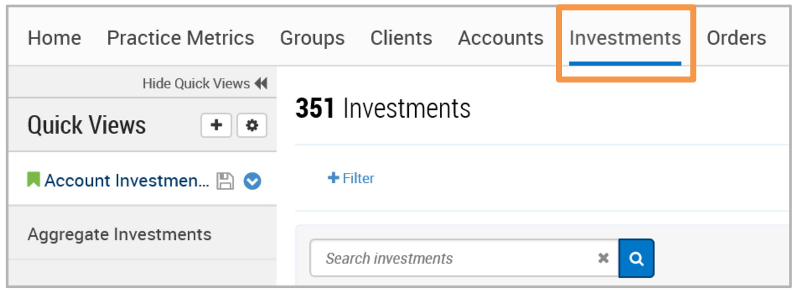
Accounts

The **Accounts** tab allows you to view all accounts. This tab gives a detailed view of account settings and holder information, such as account holder details, account instructions, suitability and advisory information.



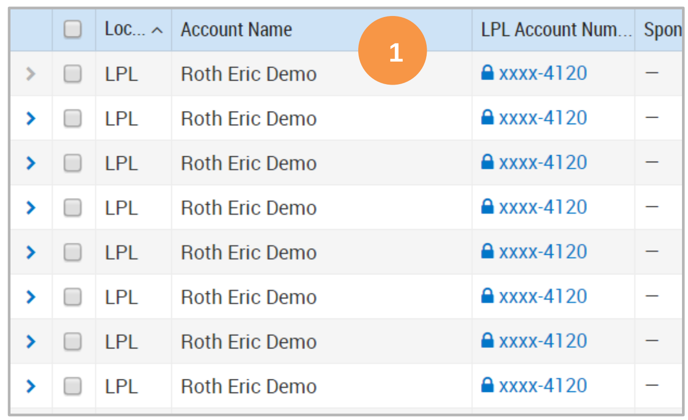
Investments

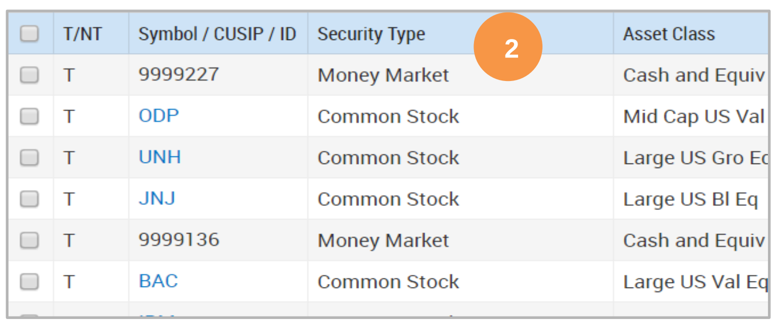
The **Investments** tab allows you to view all investments.



There are two different data sets in investments:

1. **Aggregate Investments Quick View:** This is an aggregate, or summary, book of business view which lists the total value, quantity held and price for each investment on one line item.
2. **Account Investments Quick View:** This lists multiple line items for each investment in each account. This quick view provides the ability to view all investments as well as short and long term capital gains.

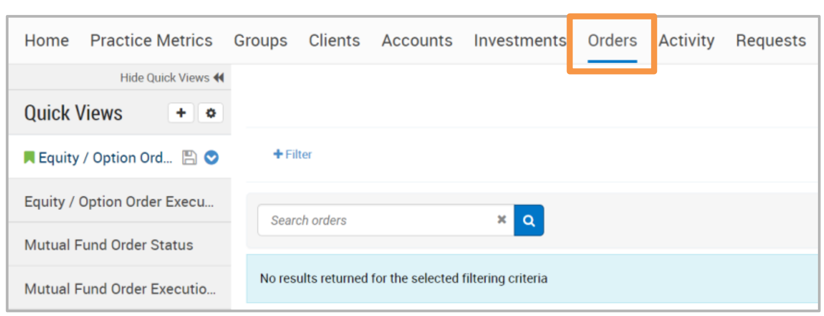




Orders

The **Orders** tab provides advisors with a view of all orders.

For additional resources to help you work with orders, refer to the Trading How to Guides available on the **ClientWorks Guides and Tips** page in the Resource Center.



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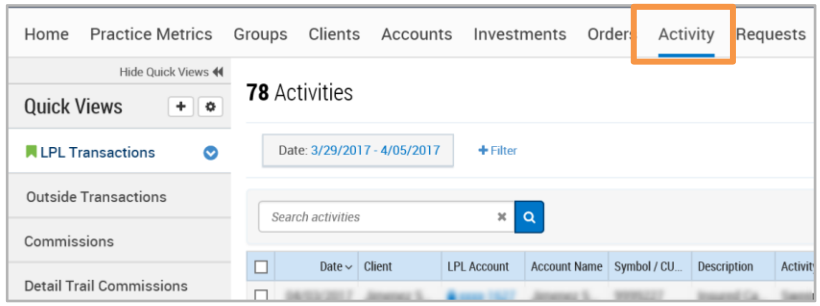
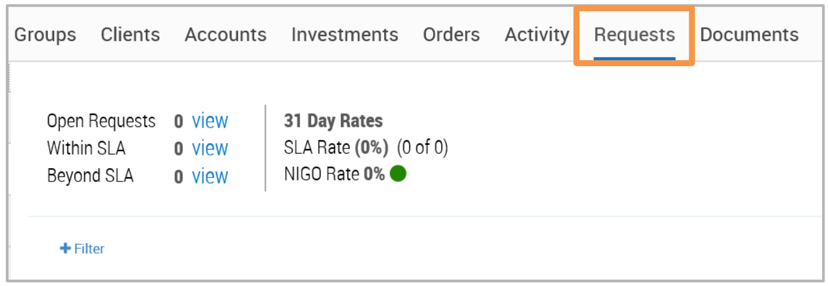
Activity



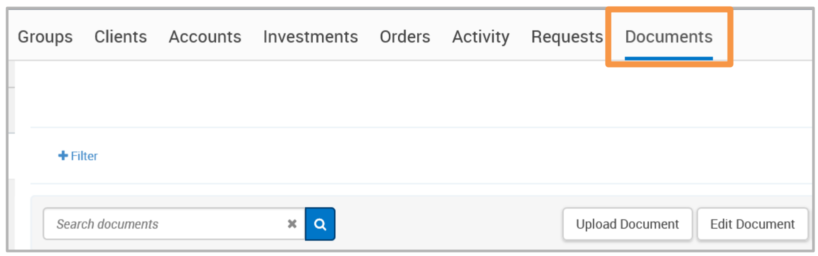
The **Activity** tab provides a view of all activity for your entire book of business. Although you can view activity for LPL accounts and outside accounts in Client Management, you will need to do so in different views. This tab allows you to select a filter value and let the system generate the view in the background, while you work elsewhere in ClientWorks. A message at the bottom of the screen will notify you when the view is ready.

Requests



The **Requests** tab displays current and historical requests. It also includes a list of request types with the tools available in ClientWorks. This tab allows you to view status for service requests.

Documents

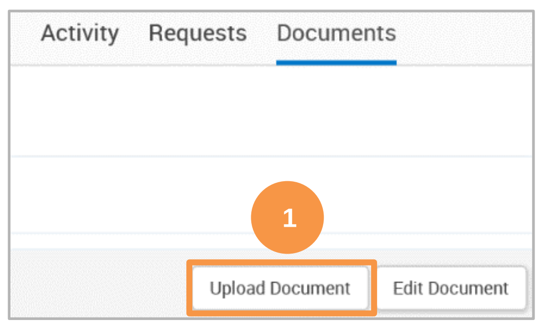


The **Documents** tab allows you to view documents for your entire book of business. You can also create and manage categories, add and modify document folders, upload documents and edit document data.

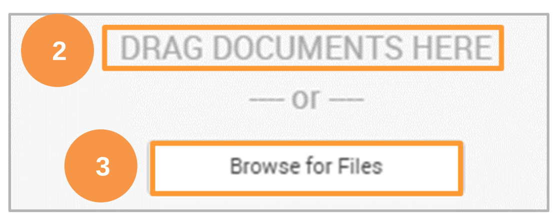
Upload a Document

You can upload documents in ClientWorks.

1. Click **Upload Document**.



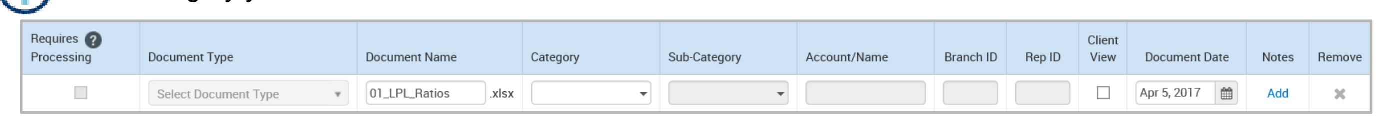
2. Drag your document(s) into the box that appears OR
3. Click the **Browse** button to select the document(s) you would like to upload.



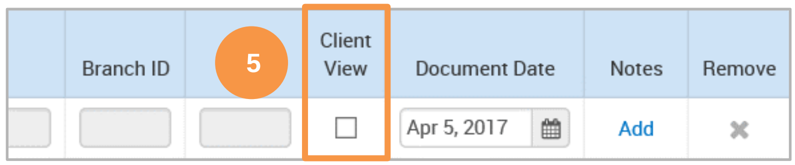
You can upload Process and Non-Process documents at the same time.

4. Once the document(s) are displayed, add or modify the information associated with the document(s).

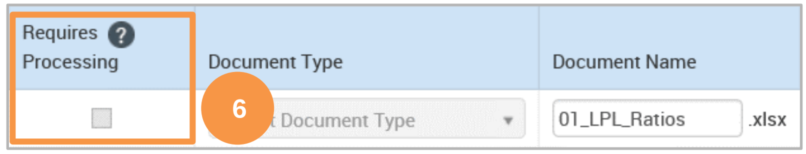
The Category you choose will determine which document information fields are enabled.



5. Select the **Client View** checkbox to enable your client to view the document in Account View.



6. If a document you upload requires Home Office processing (i.e., Account transfer paperwork), check the **Requires Processing** checkbox. If processing is not required (i.e., Client meeting notes), leave the checkbox blank and your document will be stored for convenient retrieval.



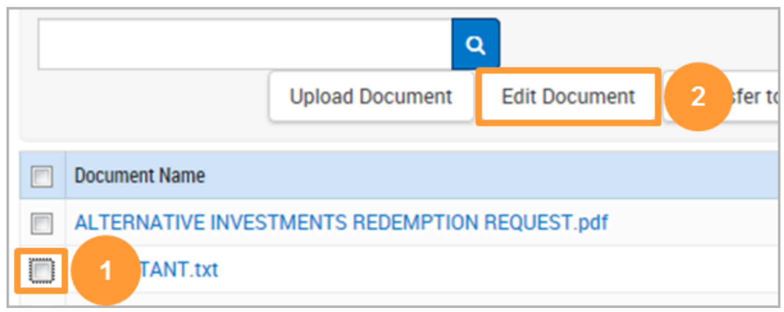
For more information about how to upload documents, please search the Resource Center for the iDoc – Paperless Office Solutions Reference Center.

7. Click the **Upload** button.

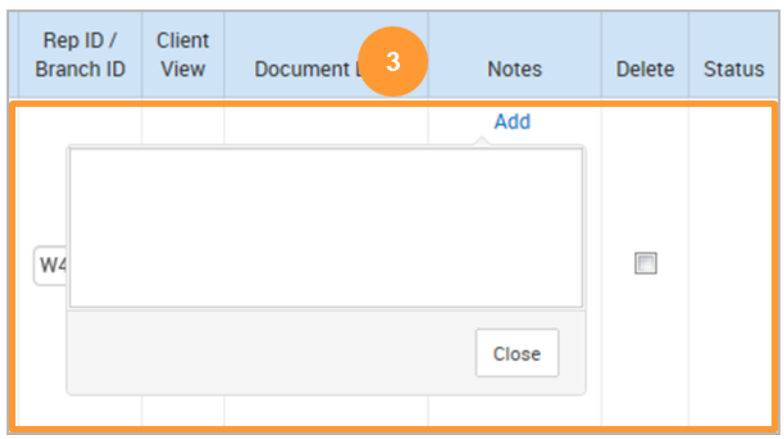
Edit a Document

You can edit documents after you have uploaded them.

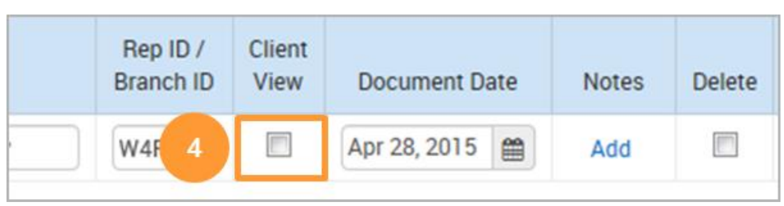
1. Select the checkbox next to the document to edit.
2. Click **Edit Document.**



3. The **Edit Document** dialog box will appear allowing you to modify the data.



4. Select the **Client View** checkbox to make the document appear in Account View.

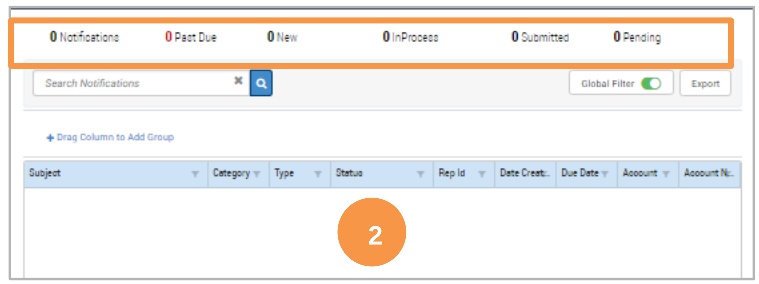


Notifications

1. The **Notifications** icon lets you know that there is a notification for that account.

   The **Notifications** column can be added to any quick view in the Accounts, Requests and Investments tabs.

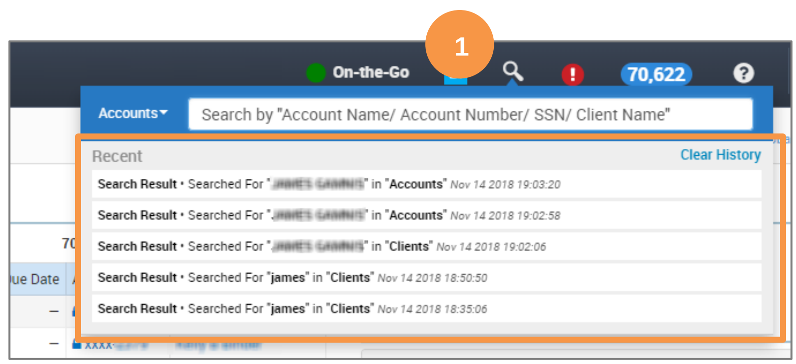
2. The **Notifications** window opens and display the notifications available for that account.



Global Search

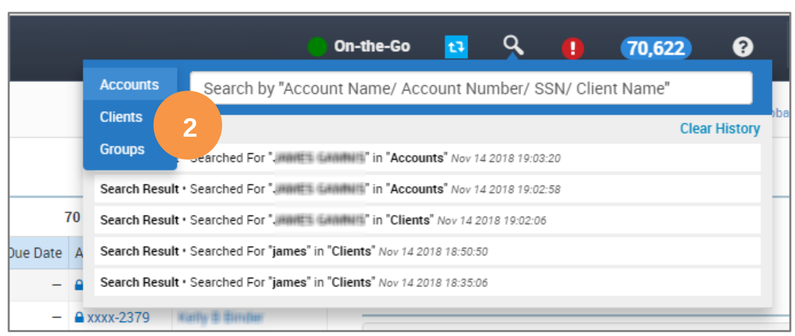
1. Select the **Search** icon to enter search criteria.

   Your recent searches will appear below. Click on the **Search Result** to redisplay the content.



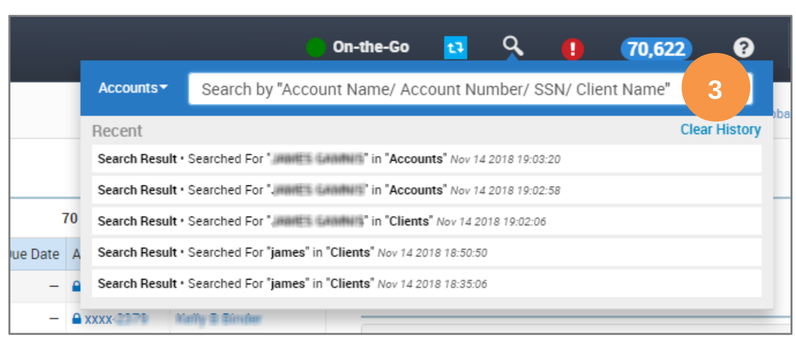
2. Click the drop-down to select the type of information you would like to search (**Accounts, Clients** or **Groups)**. **Accounts** is the default type.

   You must select the correct type to view applicable results. For example, to view group results you must select **Groups** from the drop-down menu.



3. A pop up box appears allowing you to enter the search criteria. Available search criteria vary based on search type.

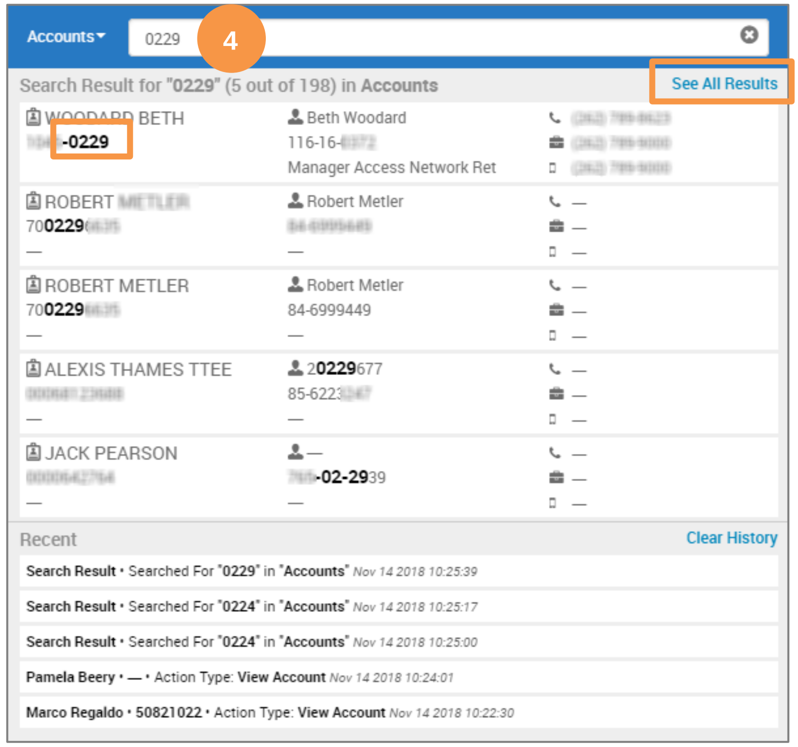
   Accounts allows you to search by Account Name, Account Number, SSN and Client Name.
   Clients allows you to search by Client Name, Phone Number and SSN.
   Groups allows you to search by Group Name.



4. You must type at least three characters into the field to reveal search results. The top five results will display.

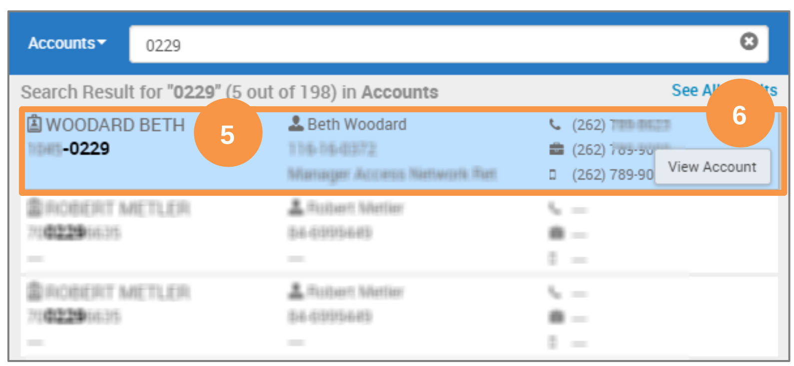
   Select **See All Results** or press **Enter** to view all results in a new tab.

   In the example shown, the Accounts type is selected and **0229** is entered into the search field. The top five results appear based on all accounts containing the numbers **0229** in the Account Name, Account Number, SSN and/or Client Name fields. The first column displays Account Name/Number. The second columndisplays Client Name/SSN. The third column displays client contact information.

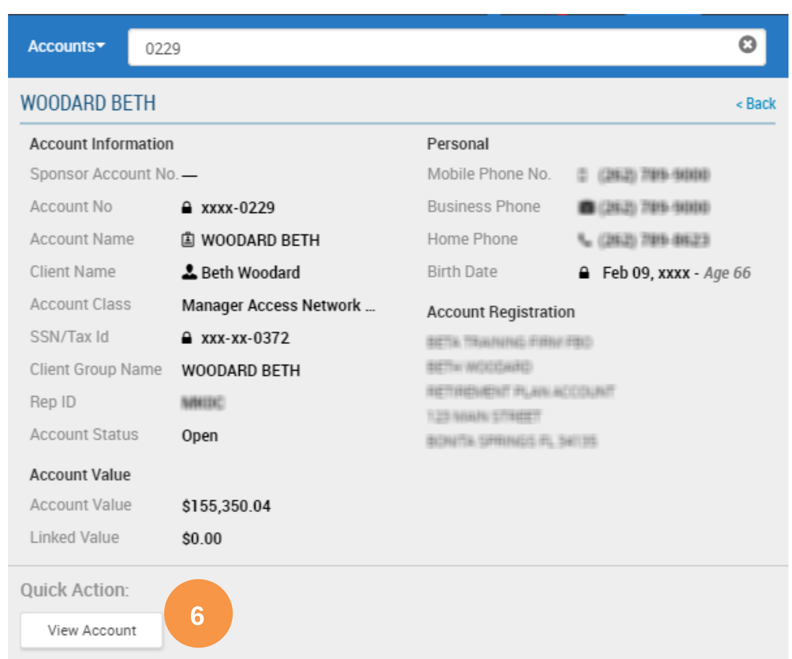


You can enter more than one search criteria. For example, if you enter in **0229** and **Beth,** only results containing both criteria will appear.

You can also enter one or two characters then press **Enter** to view all results.



5. Click anywhere on the result to view the **Account Information Card** for more details.



6. Select **View Account** to open the account view for the selected account.

The Global Search feature currently works within Clients, Accounts and Groups. Only household groups user define groups will appear in search results. Client groups will not appear.