

UNITY ADVISER NAVIGATION GUIDE

Where to go, and what to do there

DATE

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PREPARED BY

DMA

AUDIENCE

Advisers using the Unity adviser platform

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1 About this guide

This guide shows advisers where to find things on the Unity adviser platform and how to complete the most common tasks for clients. For each area it explains what the screen is for, what you will find on it and the steps to follow.

Client accounts are either **Plan** products (such as tax-free savings, annuities and retirement products) or **Portfolio** accounts. This guide covers Plan accounts only.

Screenshots are taken from the current version of the platform. Client names, figures and account numbers are examples.

DMA TIP

Whenever you open a client or an account, a **Back** link at the top of the page returns you to where you came from. You never need to start again from the menu.

2 Getting around

The left-hand menu

Menu item	Use it for
Dashboard	Your book at a glance: assets under management, clients, leads and top accounts
Book of business	Finding clients and leads, and opening a client
Operations	Client requests
My Reporting	Book-level reports across all your clients
Support	FAQs and raising a request with the support team

- / The menu collapses to icons to give more room to tables. Hover over an icon to see its name. Use the panel button at the top left to expand or collapse it.

The top bar

- / **Page title:** shows which screen you are on, for example Client detail or Account detail.
- / **Client view:** see the platform as your client sees it.
- / **Theme:** switch between light and dark mode.
- / **Notifications:** the bell shows new activity, such as documents uploaded by a client.

3 Quick reference: I want to...

I want to...	Go to	Then
See the size and mix of my book	Dashboard	Read the AUM total and the charts below it
Find a client	Book of business → Clients	Search by name, email or account number
Export my client list	Book of business → Clients	Select Export to Excel
Choose which columns show	Book of business → Clients	Select Columns
Add a new prospect	Book of business → Leads	Select Create lead
Open a client	Book of business → Clients	Select the arrow at the end of the client's row
See a client's personal details	Client detail → Client details	Review the sections, or add a note
Open a client's Plan account	Client detail → Accounts and reports	Select the arrow on a row marked Plan
See the pots in a Plan product	Plan account → Product	Review the pot split, transactions and allowances
See or change beneficiaries	Plan account → Beneficiaries	Review the table, or add a beneficiary
Download a client statement	Plan account → Reports	Choose the report, account and period
Change a debit order or freeze an account	Plan account → Manage	Pick the action and confirm
Run a report across my whole book	My Reporting	Pick a report, set its parameters, generate
Get help	Support	Search the FAQs or create a request

4 Dashboard

The Dashboard is your starting point. It summarises your whole book of business in your chosen reporting currency.

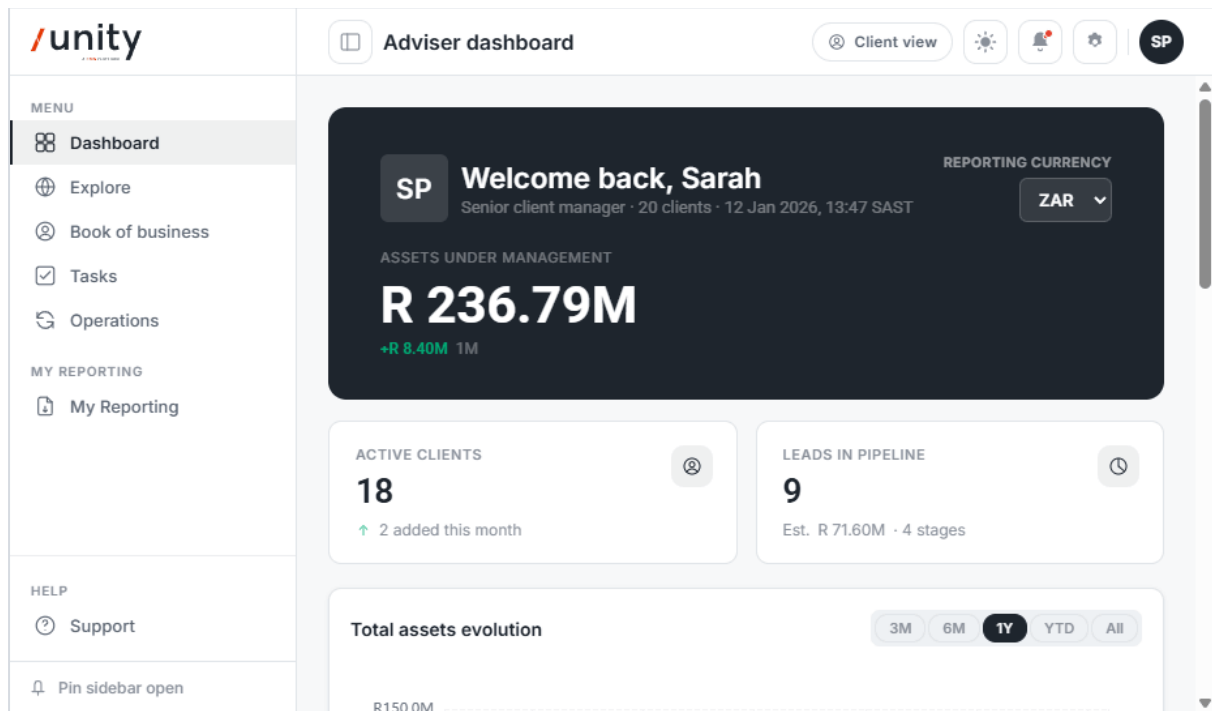


Figure 1 Adviser dashboard — assets under management and key figures

What you will find

- / **Assets under management:** the total value of your book, with its change over the period.
- / **Reporting currency:** switch the currency every figure on the dashboard is shown in.
- / **Active clients** and **Leads in pipeline:** how many clients and prospects you have, and how that has changed.
- / **Total assets evolution:** how your AUM has moved over time. Choose a period from 3 months to All.
- / **Currency allocation:** how your AUM is split by currency.
- / **Top 10 instruments:** the largest holdings across your book, by value or by % of AUM.
- / **Top accounts by AUM:** your largest client accounts. Select one to open the client.

5 Book of business

Book of business is the client management hub. It has two tabs: **Clients** for existing clients and **Leads** for prospects.

Clients

	NAME	REFERENCE ID	IFA NAME	EMAIL	MOBILE	CURRENCY	VALUE	ACTIONS
>	JD Jo...	#Pth52124593...	Pathlines Li...	joshuada...	+27834570962	HKD ..	HK\$ 4.83M	>
>	AP Ai...	#Pth52124593...	Pathlines Li...	aishapat...	+27751778565	ZAR ..	R 6.28M	>
>	MO M...	#Pth52124593...	Pathlines Li...	mark.olivi...	+16505551234	USD ..	\$ 912k	>
>	NM Na...	#Pth52124593...	Pathlines Li...	naledi.m...	+27629981204	HKD ..	HK\$ 2.16M	>
>	HV He...	#Pth52124593...	Pathlines Li...	hvermeul...	+27824401938	ZAR ..	R 18.42M	>
>	PN Pri...	#Pth52124593...	Pathlines Li...	priya.nai...	+27712334876	HKD ..	HK\$ 7.34M	>

Figure 2 Book of business — the client list

- / **Search** by name, email, mobile or account number.
- / **Columns:** choose which columns show and the order they appear in.
- / **Export to Excel:** download the list as it is currently filtered.
- / Select the arrow at the start of a row to see the client's accounts without leaving the list.
- / Select the arrow button at the end of a row to open the client.

Leads

Book of business Client view

Clients 20 **Leads 9**

Leads pipeline
9 prospects in flight · est. R 72.20M

Create lead

Columns Export to Excel Search...

	NAME	LEAD TYPE	EMAIL	MOBILE	DATE OF BIRTH	ACTIONS
MC	Marcus ...	Individual	marcus.chen@...	+27 (ZA) 82 442 9931	22 Mar 1985	
AN	Adam N...	Individual	adam.naidu@o...	+27 (ZA) 83 217 6650	09 Nov 1978	
Lv	Liesl va...	Individual	liesl.vdm@iclo...	+27 (ZA) 84 903 1122	15 Jun 1990	
RA	Rolf An...	Individual	rolf.anderson@...	+44 (UK) 7700 900321	30 Jan 1972	
AH	Ayesha ...	Individual	ayesha.hassan...	+971 (AE) 50 123 4567	05 Sept 1988	
SK	Sipho K...	Individual	sipho.khumalo...	+27 (ZA) 71 556 8890	18 Apr 1980	

Figure 3 Book of business — the leads pipeline

- / Every prospect in your pipeline, with their contact details and estimated AUM.
- / Select **Create lead** to add a prospect. A short form takes you through their details, address and contact information, and qualification.

6 Client detail

Opening a client shows **Client overview**. A banner at the top confirms you are viewing as their adviser on their behalf.

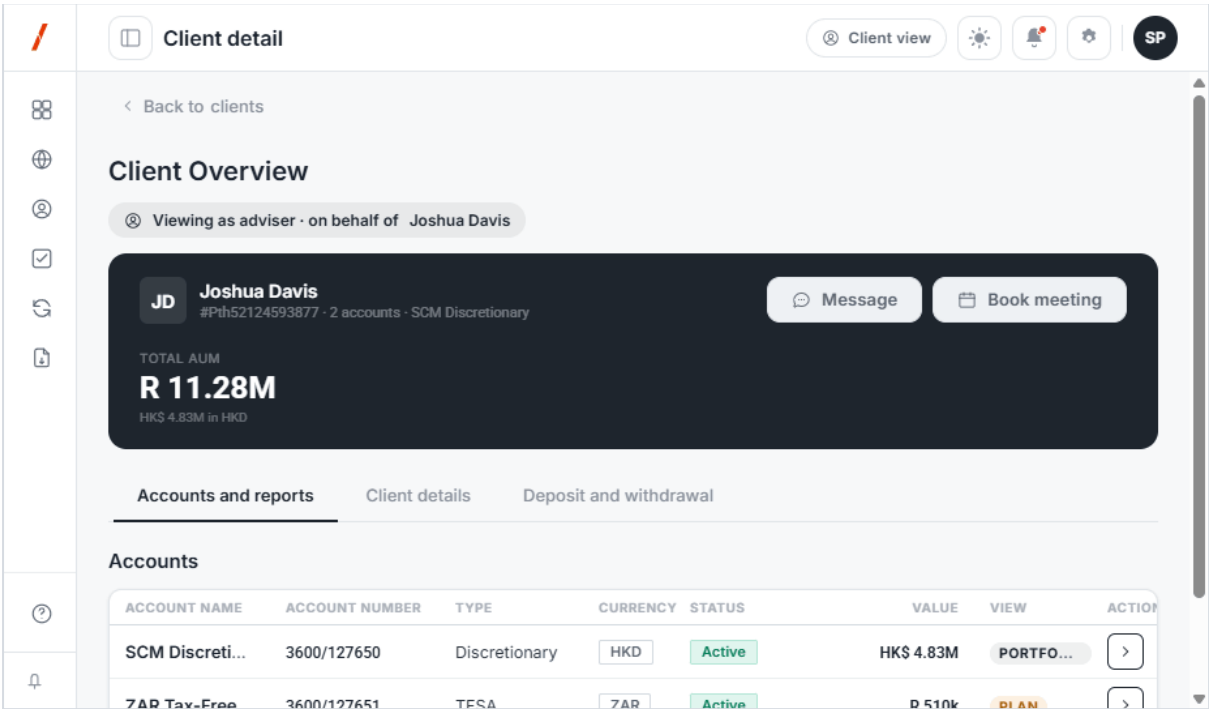


Figure 4 Client detail — accounts and reports

- / **Client summary:** name, reference, number of accounts and total AUM.
- / **Message** and **Book meeting:** contact the client directly from their record.

Tabs

Tab	What it shows
Accounts and reports	Every account the client holds, with its type, currency, status and value. The View column marks each one as Plan or Portfolio.
Client details	The client’s personal, contact and compliance information, plus notes

Client details

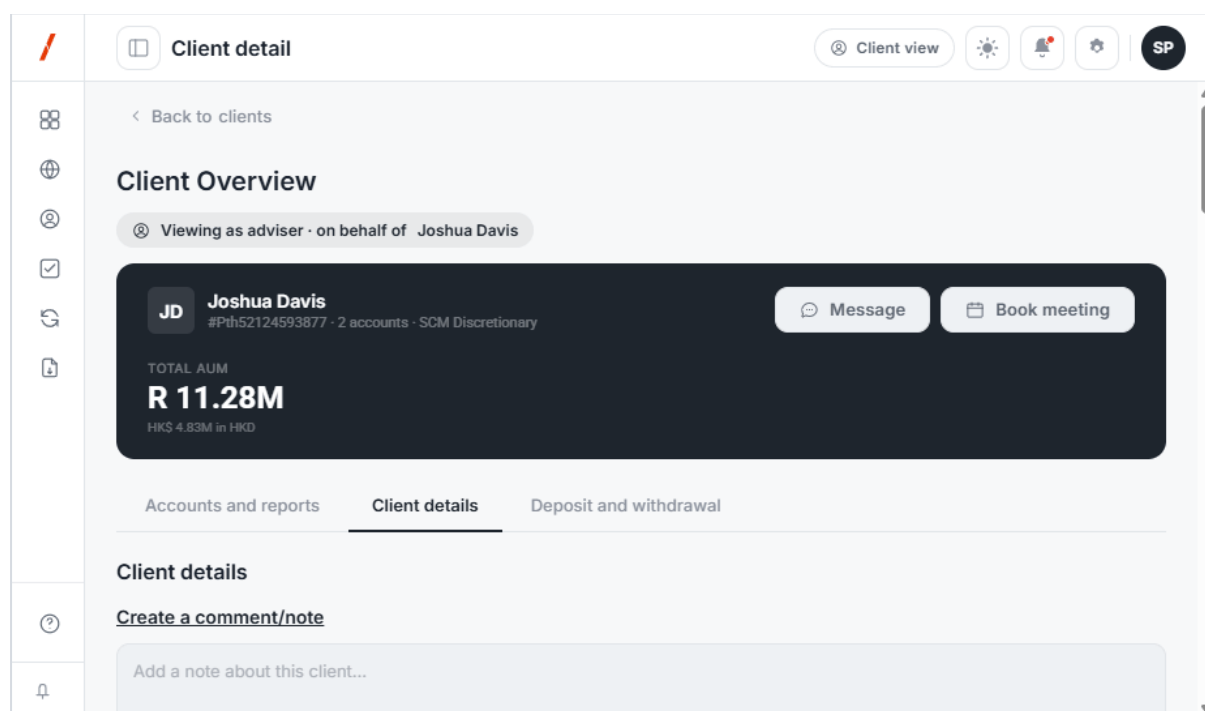


Figure 5 Client detail — client details and notes

/ Sections can be expanded or collapsed. Use **Create a comment/note** to record a conversation or follow-up on the client's file.

7 Plan accounts

To open a Plan account, go to **Client detail** → **Accounts and reports** and select the arrow on a row marked **Plan**. The account opens in **Account detail**.

At the top of every Plan account

- / **Account banner:** product name and policy number, the owner, the reporting currency, product value, cash balance and unrealised P&L, with the time it was last updated.
- / **Manage:** administrative actions for the account (see below).
- / **Product facts:** product name, policy number, provider, start date, adviser and employer.

Overview

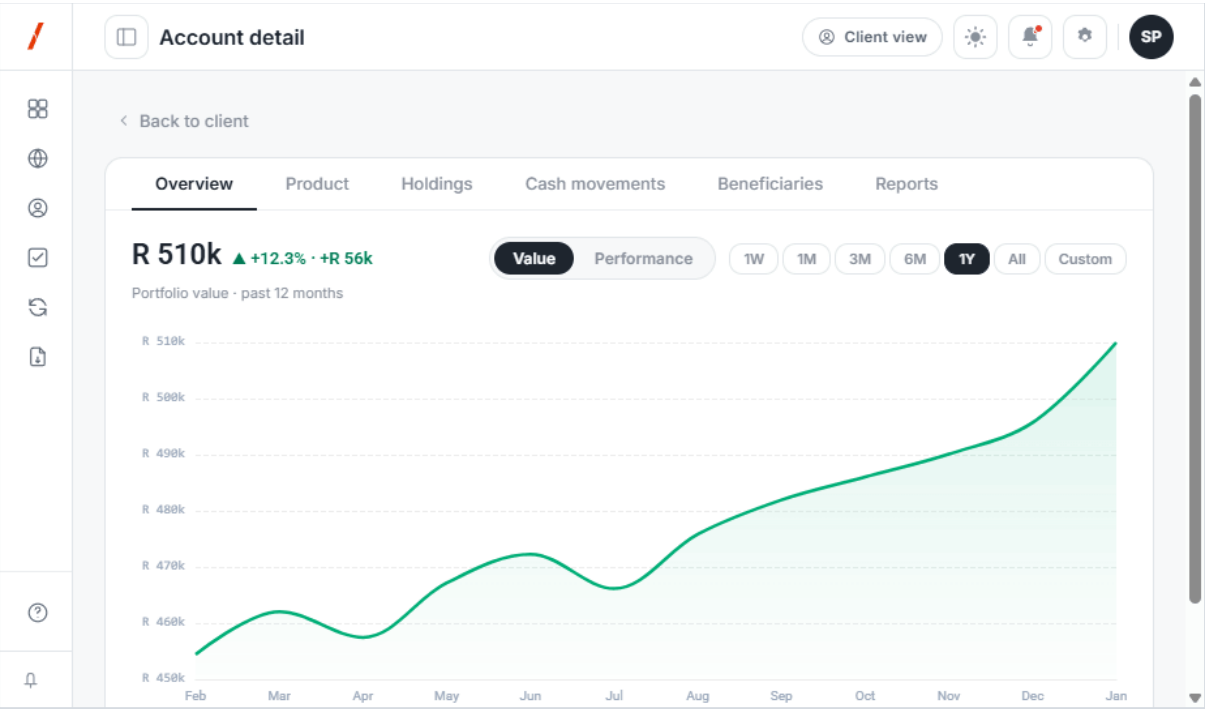


Figure 6 Plan account — overview

- / Switch between **Value** and **Performance**. Performance shows the cumulative % change over the period.
- / Choose a period from 1 week to All, or set a custom range.

Product

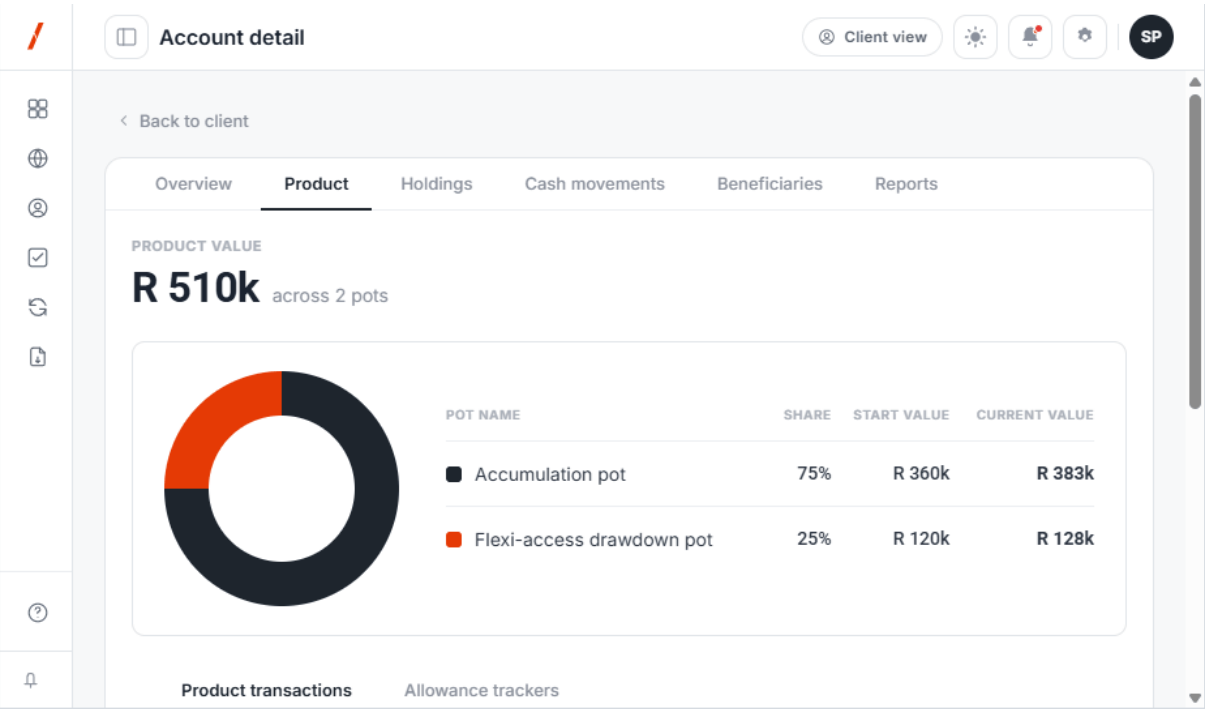
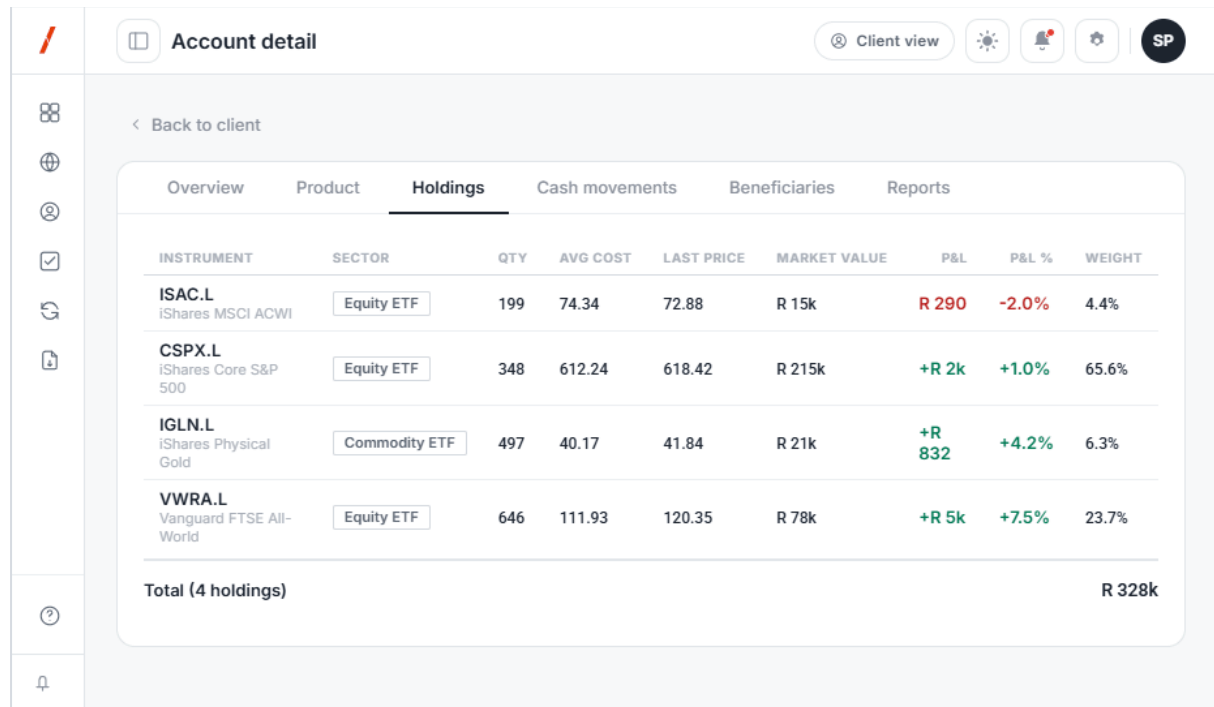


Figure 7 Plan account — product pots

- / **Product value** and how it is split across **pots**, such as an accumulation pot and a flexi-access drawdown pot, with the start and current value of each.
- / **Product transactions:** contributions, fees and income on the product. Filter and export them.
- / **Allowance trackers:** how much of each annual contribution allowance has been used.

Holdings



Account detail								
Client view SP								
Back to client Overview Product Holdings Cash movements Beneficiaries Reports								
INSTRUMENT	SECTOR	QTY	AVG COST	LAST PRICE	MARKET VALUE	P&L	P&L %	WEIGHT
ISAC.L iShares MSCI ACWI	Equity ETF	199	74.34	72.88	R 15k	R 290	-2.0%	4.4%
CSPX.L iShares Core S&P 500	Equity ETF	348	612.24	618.42	R 215k	+R 2k	+1.0%	65.6%
IGLN.L iShares Physical Gold	Commodity ETF	497	40.17	41.84	R 21k	+R 832	+4.2%	6.3%
VWRA.L Vanguard FTSE All-World	Equity ETF	646	111.93	120.35	R 78k	+R 5k	+7.5%	23.7%
Total (4 holdings)								R 328k

Figure 8 Plan account — holdings

- / Every instrument held, with sector, quantity, average cost, last price, market value, P&L and weight.

Cash movements

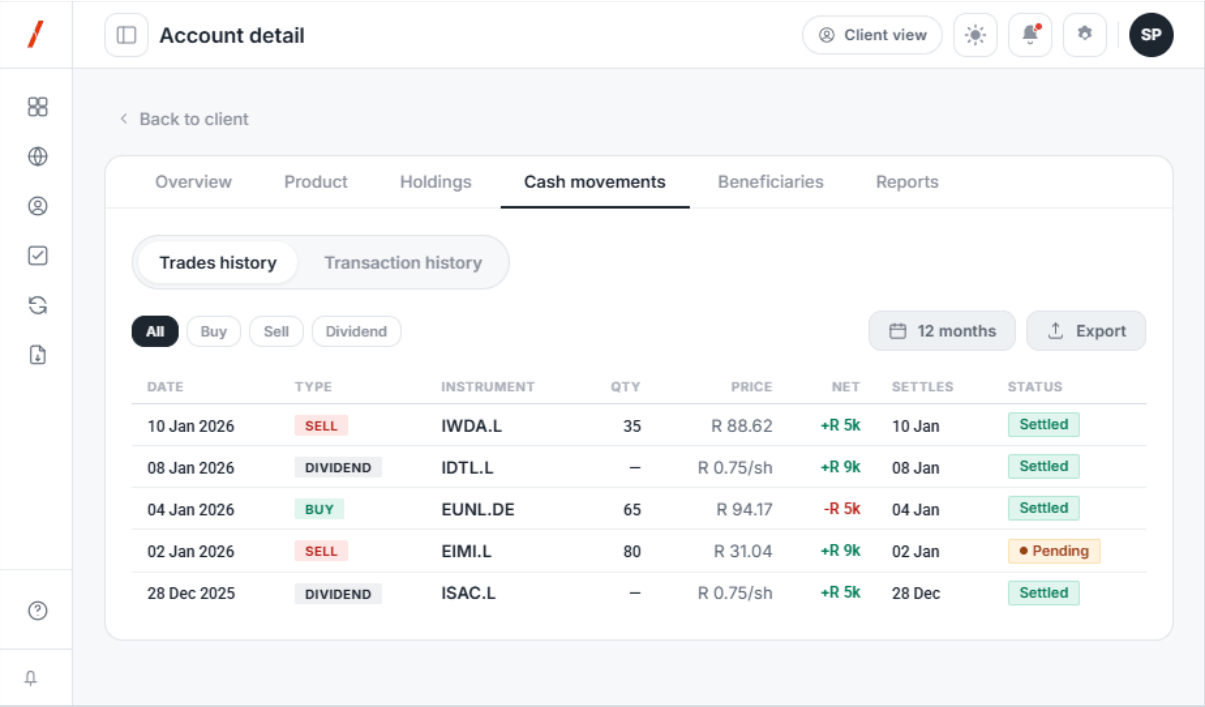


Figure 9 Plan account — cash movements

- / Switch between **Trades history** and **Transaction history**.
- / Filter by type (buy, sell, dividend) and period, then **Export** if needed.

Beneficiaries

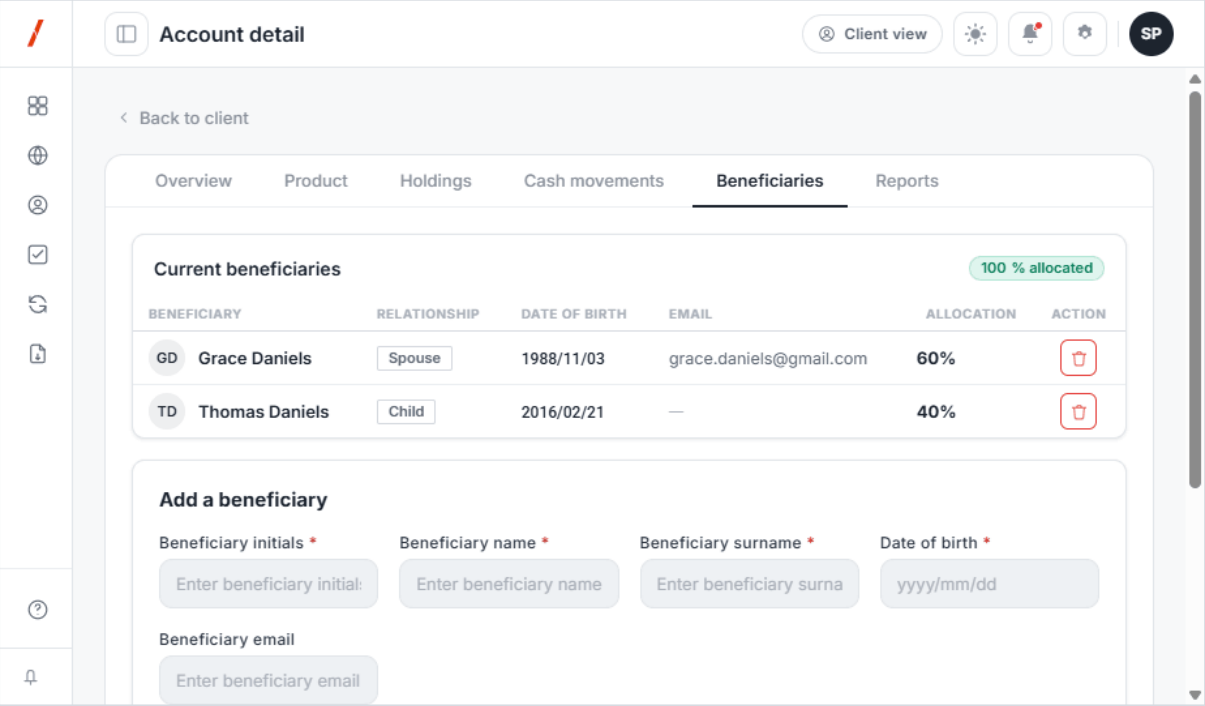


Figure 10 Plan account — beneficiaries

- / **Current beneficiaries:** who is nominated, their relationship to the client and their share. The badge shows whether 100% is allocated.
- / **Add a beneficiary:** enter their details and allocation. Shares must add up to 100%.
- / Use the delete icon to remove a beneficiary.

Reports

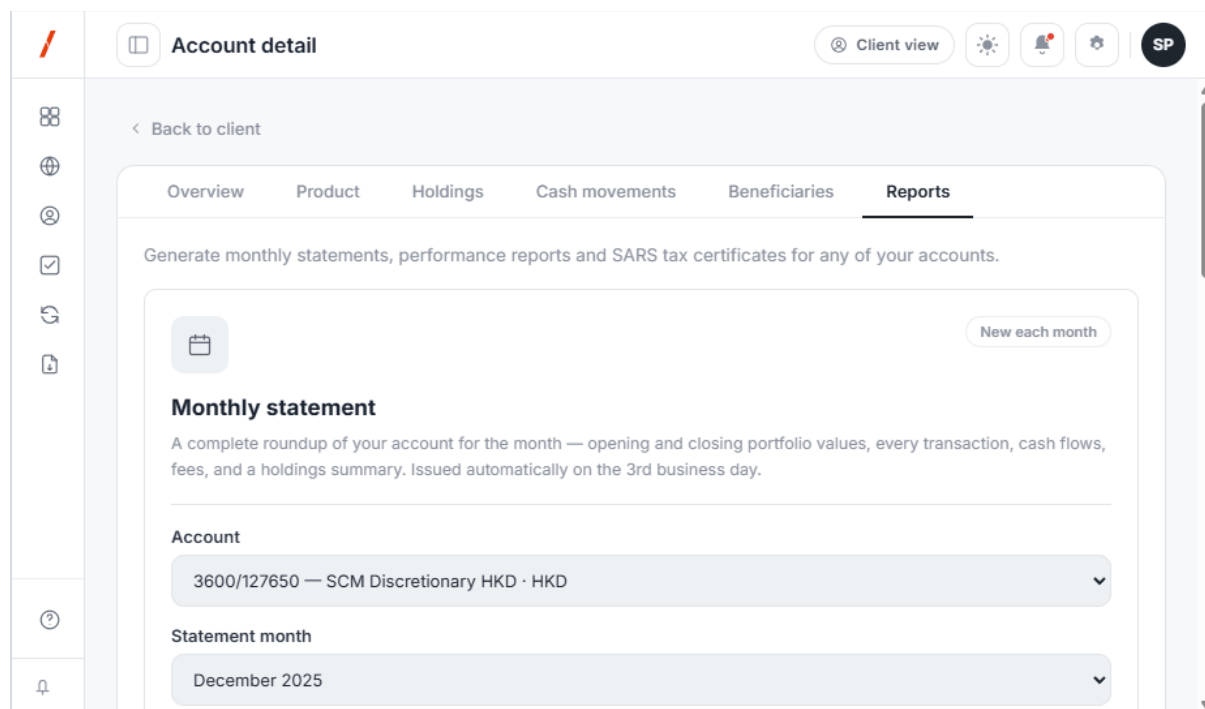


Figure 11 Plan account — reports

- / Generate **monthly statements, performance reports** and **tax certificates** for any of the client's accounts.
- / Choose the account and period, then download.

Manage

Select **Manage** in the account banner for administrative actions:

Action	What it does
Update standing instruction	Change the regular contribution, withdrawal or debit order
Change reporting currency default	Set the currency the account reports in, for both the client and adviser views
Update beneficiaries	Change who is nominated to receive the product on death
Freeze account	Temporarily suspend trading and withdrawals pending review
Close account	Begin closing the account. This cannot be undone.

CAUTION

Closing an account cannot be undone. Check with the client and confirm there are no pending transactions first.

8 Operations

Operations is where client requests are handled. It will use the existing client requests module, so the steps are the same as today.

9 My Reporting

My Reporting runs reports across your whole book, rather than one client.

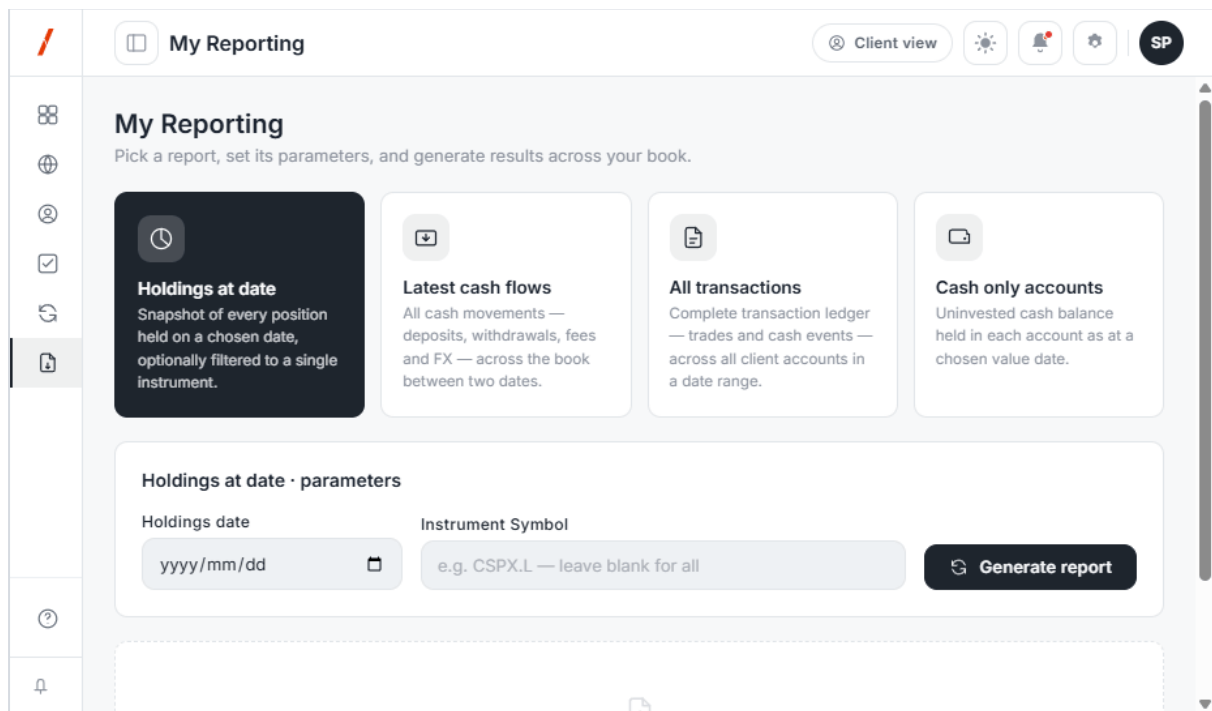


Figure 12 My Reporting — choose a report and set its parameters

Available reports

Report	What it shows
Holdings at date	A snapshot of every position held on a chosen date, optionally filtered to one instrument
Latest cash flows	All cash movements (deposits, withdrawals, fees and FX) between two dates
All transactions	The complete transaction ledger, trades and cash events, across all client accounts in a date range
Cash only accounts	Uninvested cash held in each account on a chosen date

How to run a report

- 1 Select the report.
- 2 Set its parameters, such as the date or date range and, where offered, an instrument symbol.
- 3 Select **Generate report**.
- 4 Review the results and export them to CSV if needed.

10 Support

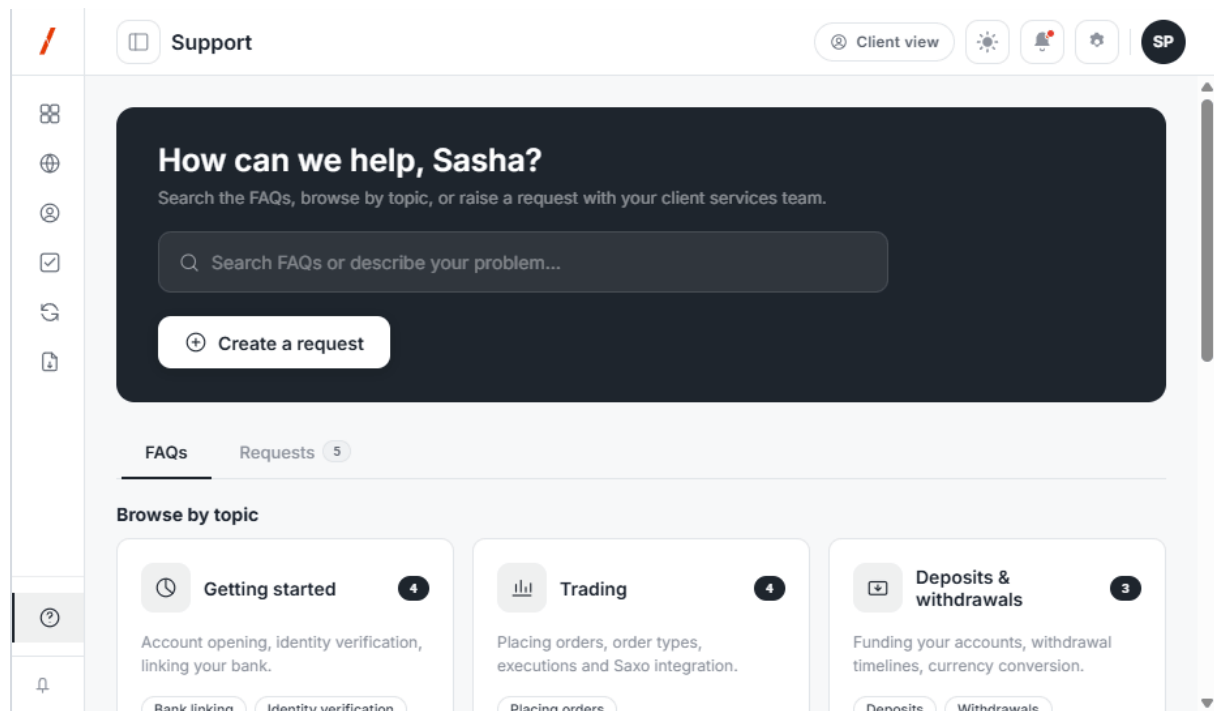


Figure 13 Support — search, FAQs and requests

- / **Search** the FAQs or describe your problem.
- / **FAQs:** browse by topic, such as getting started, trading, or deposits and withdrawals.
- / **Requests:** follow the progress of requests you have raised and reply to the support team.
- / **Create a request:** raise a new query. Include client and account numbers, dates and amounts so it can be resolved quickly.