For advisers

Our new platform

nucleus platform



# Client reporting and adviser remuneration statements

3 minute read

# Client reporting and adviser remuneration statements

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## How to use this document

Important information will look like this.

**Key messages**

Key messages will look like this.

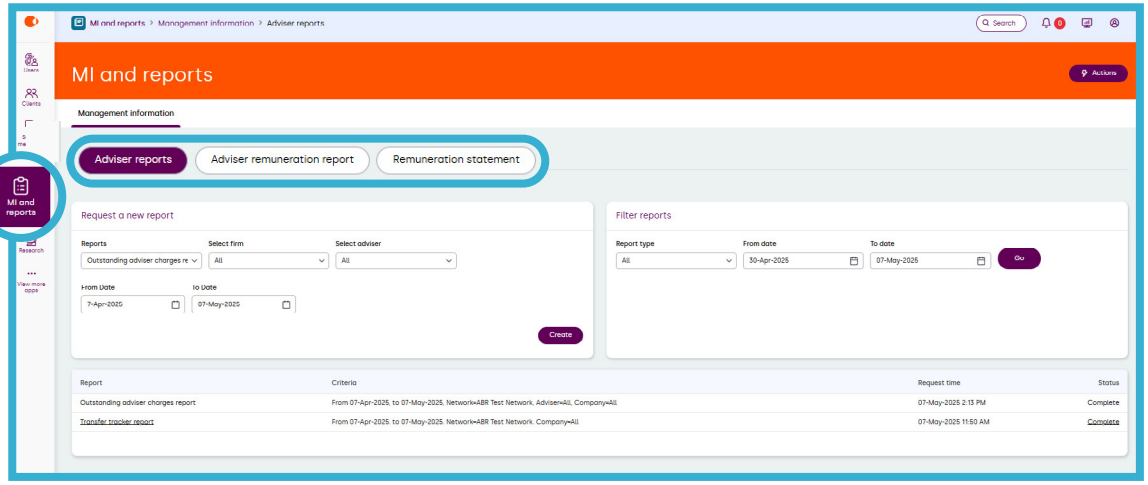
Useful info will look like this.

We recommend using the zoom function to view the details on the platform screens in this guide.

# Client reporting and adviser remuneration statements

This guide is demonstrated using an adviser user with master user role permissions.

If you have different user role permissions, some functionality may not be available to you.




From the home page select **'MI and reports'**.

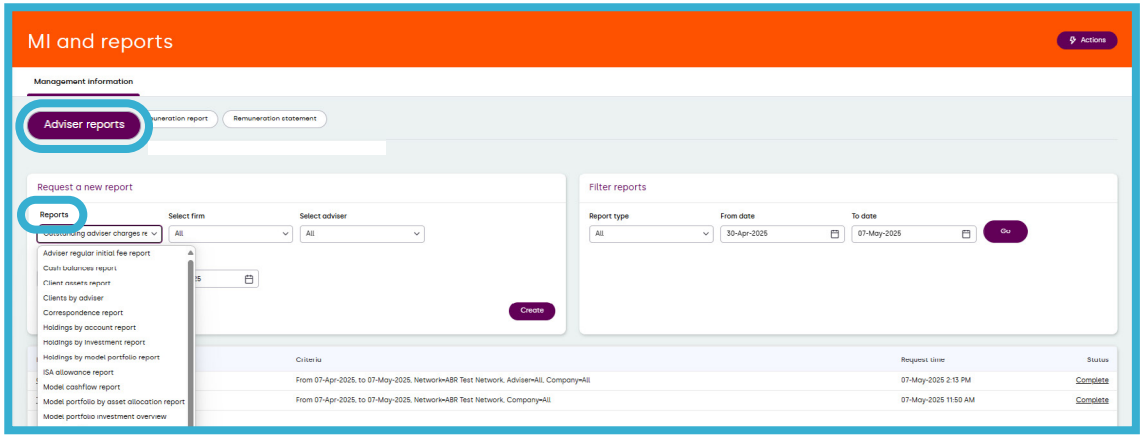
On this page you'll be able to navigate between **'Adviser reports'**, **'Adviser remuneration report'** and **'Remuneration statement'**.

## Adviser reports

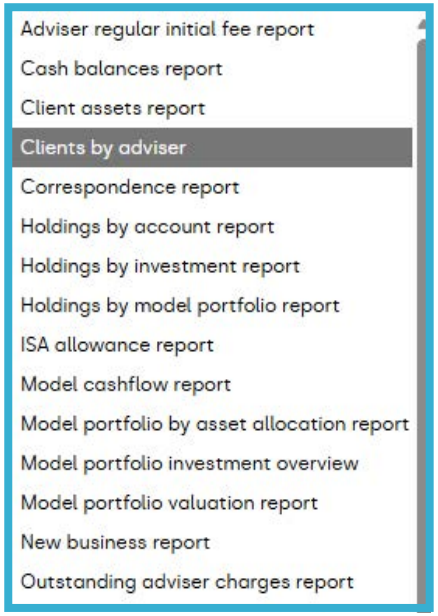
Select the **'Adviser reports'** tab.

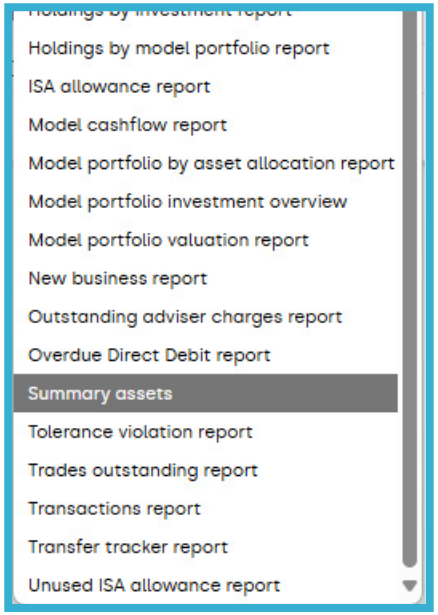
### Key message

Any previous reports that you've requested will be displayed at the bottom of the page.




Select the report from the **'Reports'** drop-down list.

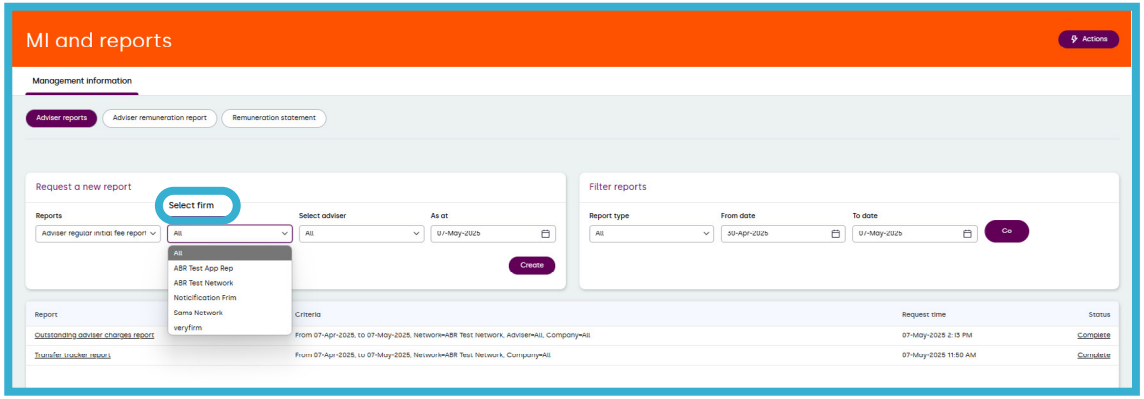


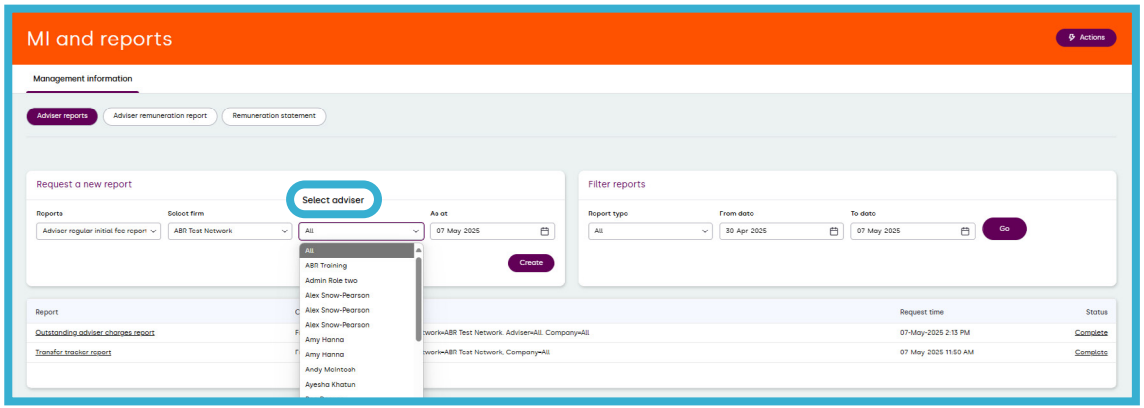

There are over 20 different reports that can be requested.

A full list and description of the reporting suite is available in the next section.

Select which firm you wish to create the report for using the **'Select firm'** drop-down list.



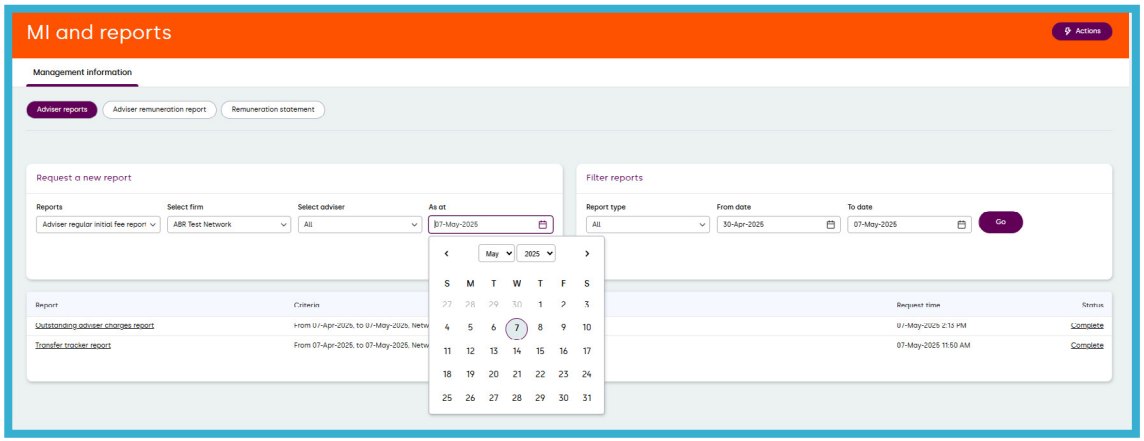

Select whether to report on all advisers or a specific individual from the **'Select adviser'** drop-down.




## Key message

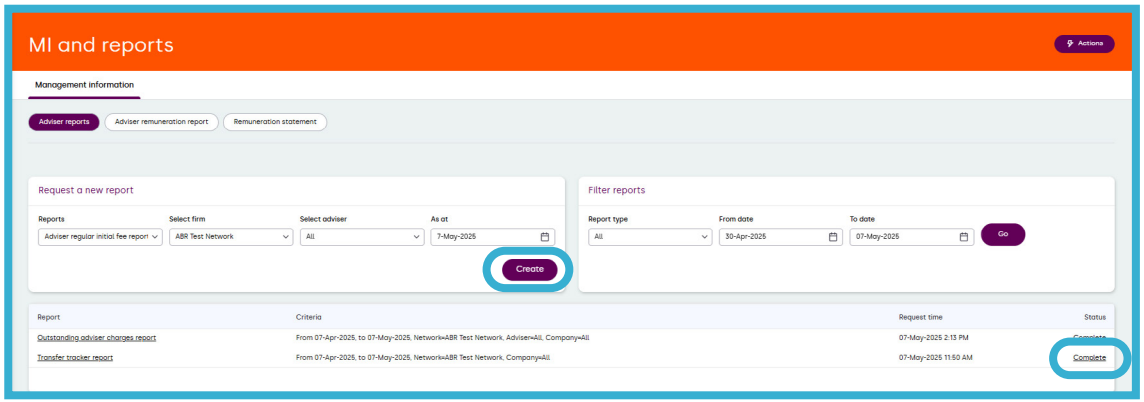
If a specific firm has been selected only the advisers at that firm will be available under the **'Select adviser'** drop-down.

Confirm the date for the report, and then select **'Create'**.




Your report will appear at the bottom of the page. The report will be ready to view when the status changes to **complete**.

To download the report, select the report name.

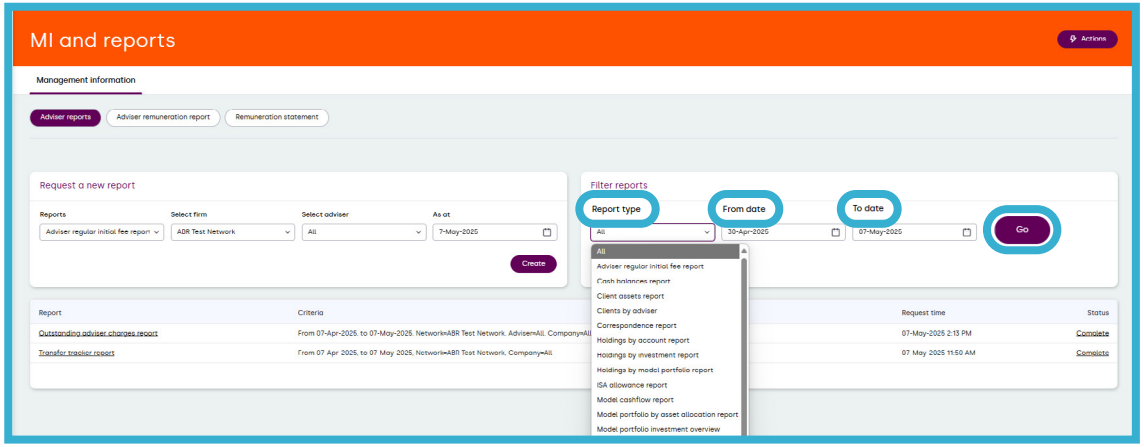



## Key message

Newer reports will be at the top. The criteria column will help you identify the selections for previous reports.

Previously created reports can be filtered by selecting **'Report type'**.

Confirm the **'From date'** and then the **'To date'**, then select **'Go'**.



## Adviser report glossary

| Report name | Report description |
|---|---|
| Adviser regular initial fee report | Shows active and ceased regular adviser charges (RACs) against the company/ adviser selected. Includes start/end date, payment frequency, payments and date charge ceased. |
| Cash balances report | Shows client cash balances including total portfolio value, Cash as a % of total portfolio, minimum cash settings, and money due in and out within the next 30 days. |
| Client assets report | Shows the total value of all client assets held on account including fund details. |
| Clients by adviser | Shows the total portfolio value including the % of cash in relation to the total value. The client's new product reference is in column H and their old member number is in column T (with wrap number in S). |
| Correspondence report | Correspondence generated on accounts including marker to show if posted to the customer or not. |
| Holdings by account report | View of holdings within model portfolios including fund level breakdown for each client. |
| Holdings by investment report | View of fund holdings within a model portfolio - i.e. not at client level, but at model level and all clients within. |

| Report name | Report description |
|---|---|
| Holdings by model portfolio | Top level model holdings. Shows the total value of any client invested in a particular model portfolio. |
| ISA allowance report | Shows clients and the headroom within ISAs and JISAs for the given tax year. Correct headroom is shown based on the product type. |
| Model cashflow report | The report has two tabs ("Model Portfolio Cashflows" and "MP Cashflows By Adviser Firm"). It shows Model level inflows and outflows on both. |
| Model portfolio by asset allocation report | Shows the assets that make up model portfolios including the percentage weighting. There is no client level information within this report. |
| Model portfolio investment overview | Shows clients and which models they are invested in to. Includes the name of the model, first investment timelines, and re-balance details. No holdings information is shown in this report. |
| Model portfolio valuation report | Shows clients and models they are invested into. Includes underlying asset information and valuation of each instrument. |
| New business report | Shows client accounts and new money being paid in to them. Includes a marker if the payment is regular or not. |
| Outstanding adviser charges report | Shows outstanding regular adviser charges (RACs) and initial adviser charges (IACs). Confirms the charge date, amount, if the contribution is outstanding, number of outstanding days, if auto disinvestment has been triggered and the available cash on the client's account. |

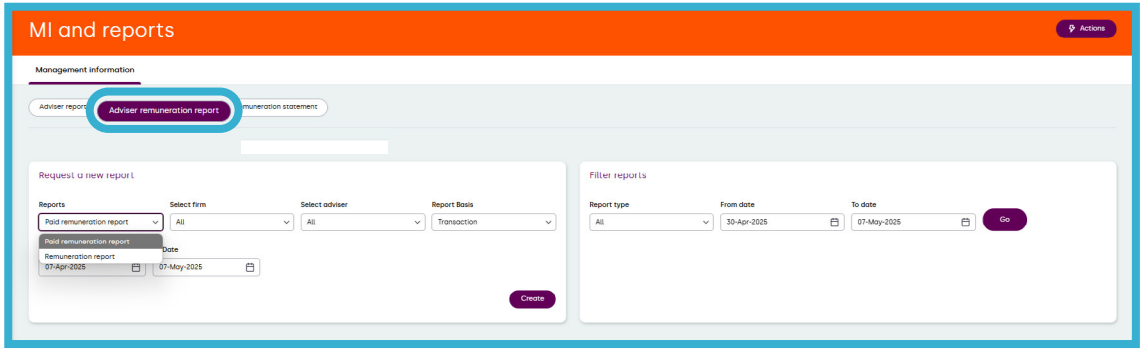
| Report name | Report description |
|---|---|
| Overdue Direct Debit report | Shows Direct Debits which have not completed within the expected timelines. |
| Summary assets | Shows an aggregated position of holdings being managed by advisers. Does not show client information, but a total position of assets held by the clients under each adviser. |
| Tolerance violation report | Shows the current position on models and how the model is tracking against the tolerance settings held against the model portfolio. |
| Trades outstanding report | Shows trades against clients managed by the adviser which are overdue. Includes the asset details and the units and value of the trade. |
| Transactions report | Shows transactions against client accounts. Includes trades and cash movements (such as interest / charges / payments / etc). |
| Transfer tracker report | Shows transfers against client accounts including the estimated value and status. Includes the latest progress notes. |
| Unused ISA allowance report | Shows unused ISA allowance at client level. Similar to the ISA allowance report but contains fewer fields relating to the ISA allowance itself and more details on the client (e.g. full address). |

## Adviser remuneration reports

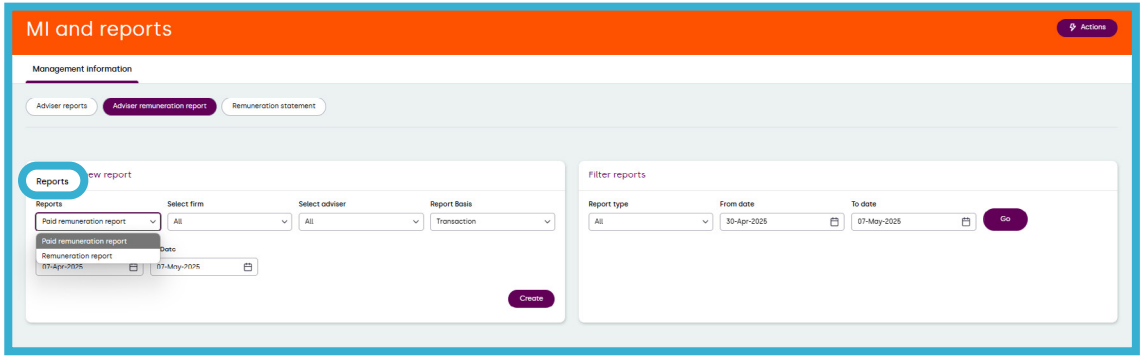
Select **'Adviser remuneration reports'** tab.

### Key message

Any previous reports that you've requested will be displayed at the bottom of the page.




Select the report from the **'Reports'** drop-down list.

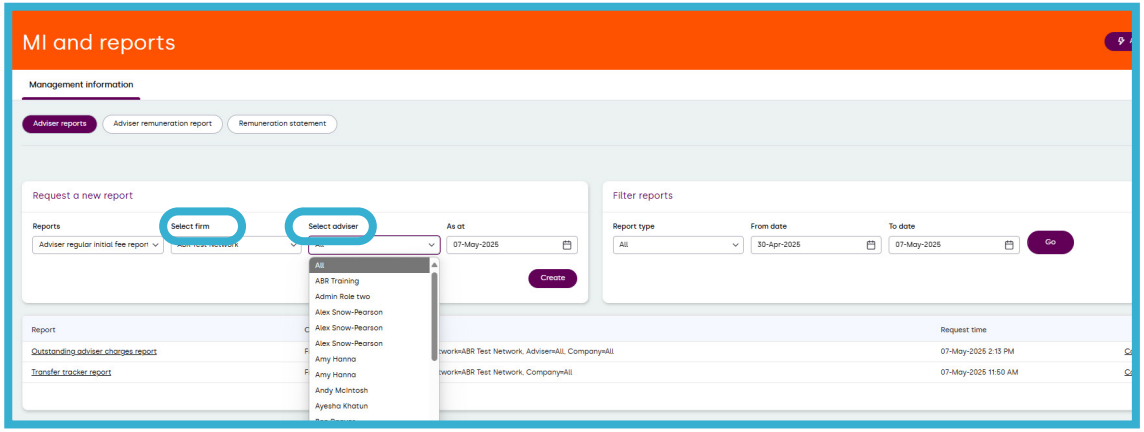


Select which firm you wish to create the report for using the **'Select firm'** drop-down list.

Select whether to report on all advisers or a specific individual from the **'Select adviser'** drop-down list.

## Key message

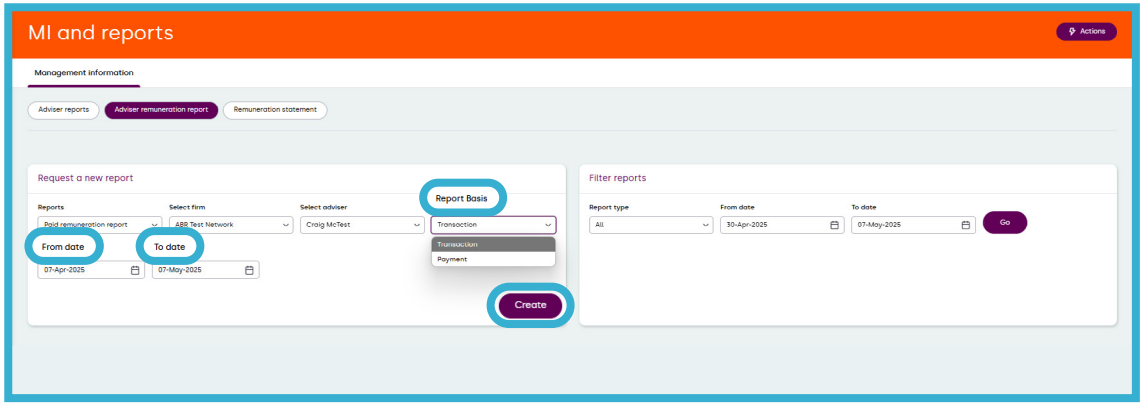
If a specific firm has been selected, only the advisers at that firm will be available under the **'Select adviser'** drop-down.



Select the **'Report basis'** from the drop-down list.

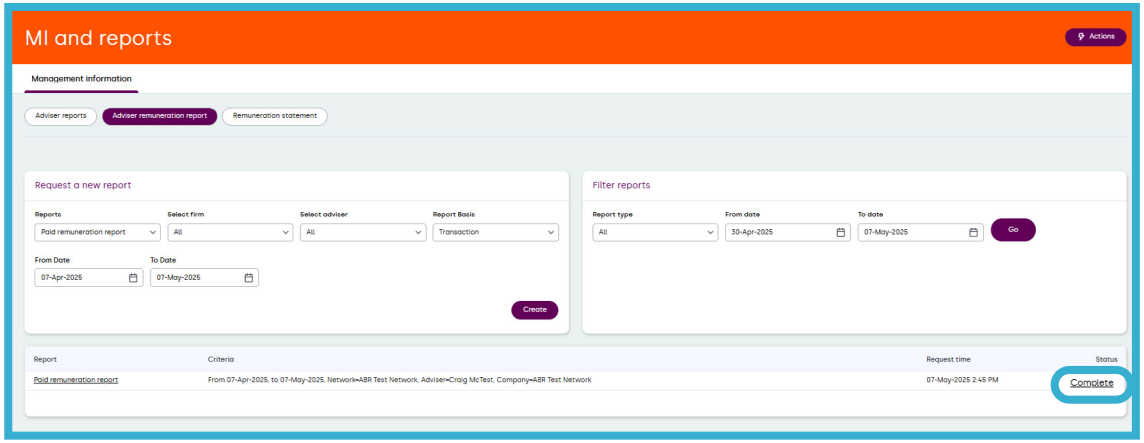
Confirm the **'From date'** and then **'To date'**.

Select **'Create'**.




Your report will appear at the bottom of the page. The report will be ready to view when the status changes to **complete**.

To download the report, select the report name.

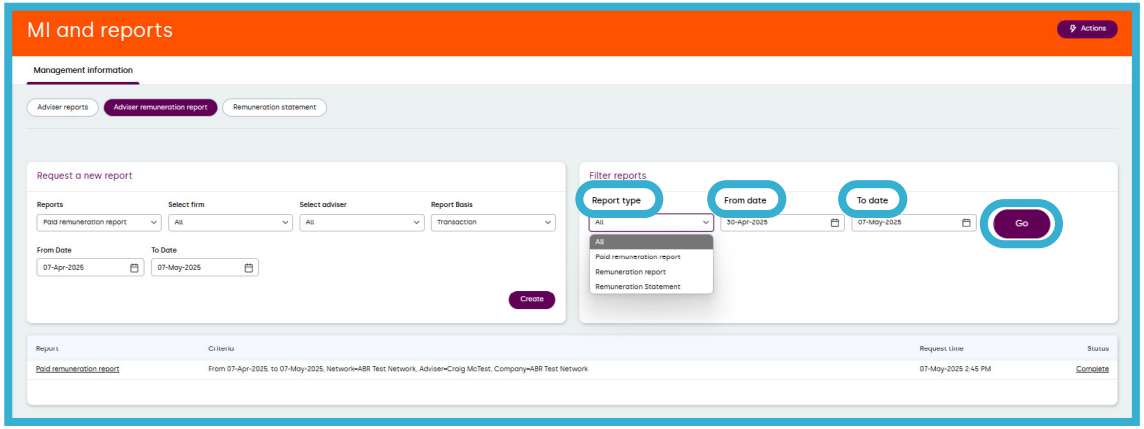



## Key message

Newer reports will be at the top. The criteria column will help you identify the selections for previous reports.

Previously created reports can be filtered by selecting '**Report type'**.

Confirm the **'From date'** and then **'To date'** then select **'Go'**.



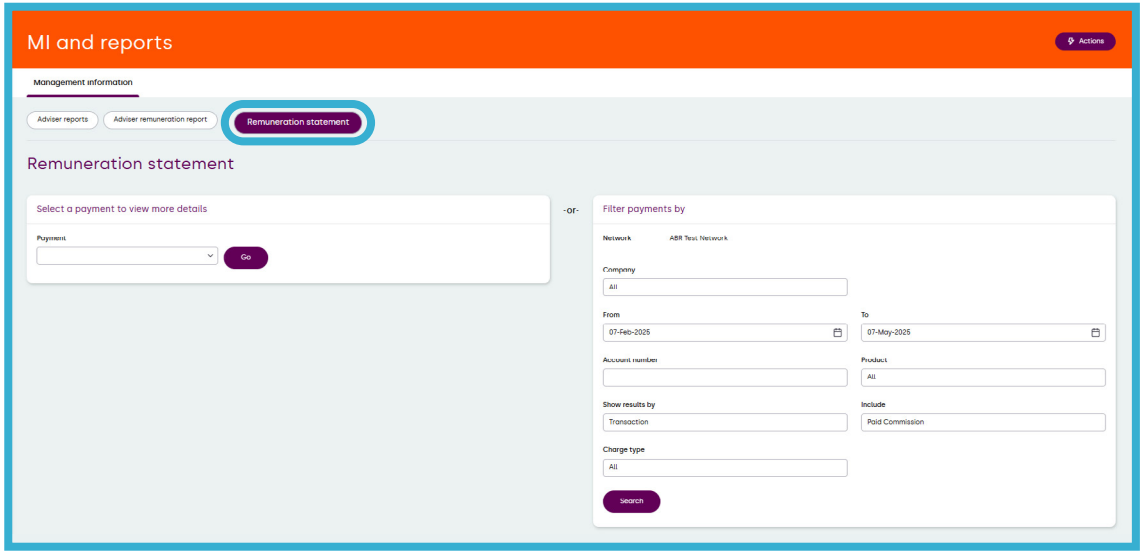
## Remuneration statement

Select the **'Remuneration statement'** tab.

### Key message

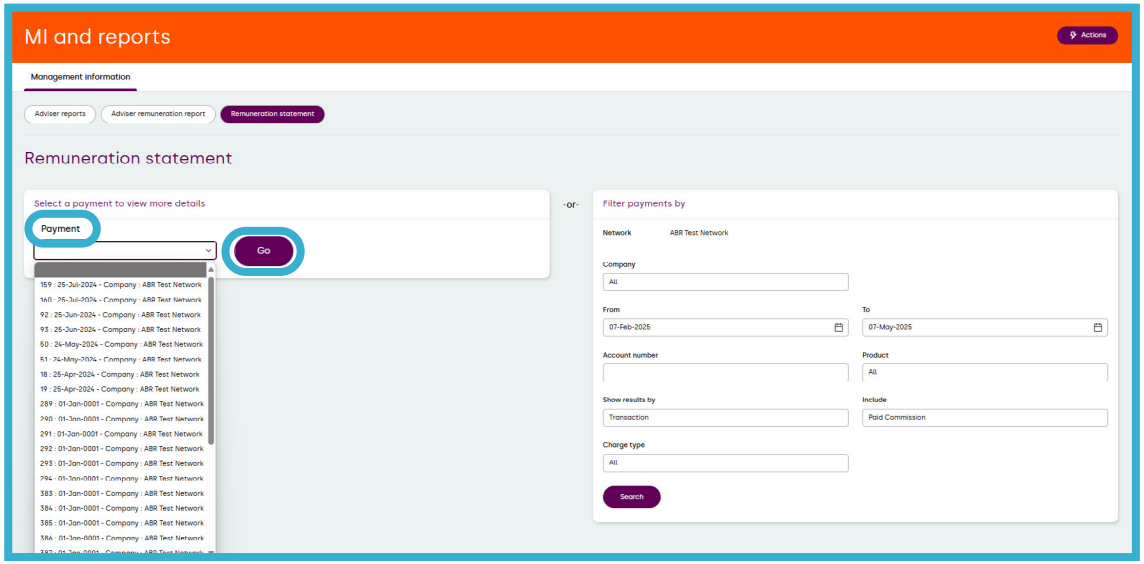
This page will let you view details of remuneration paid on the screen.

To download reports, use the **Adviser remuneration report'** page.



Select a specific payment from the **'Payment'** drop-down list, and then select **'Go'**.

The remuneration details will be displayed at the bottom of the page.



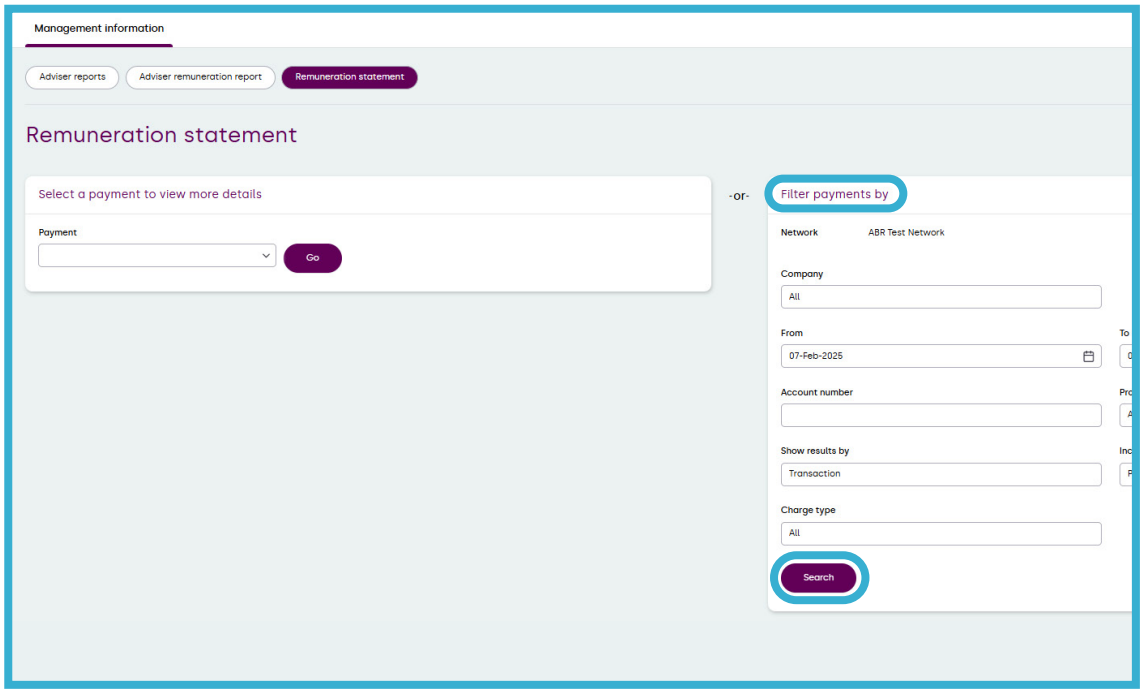
Payments can be filtered by entering details in the required fields of the **'Filter payments by'** section.

The results can be grouped by **'Transaction'** or **'Client'**.

Select the type of commissions you wish to view.

Confirm your selections by selecting the **'Search'** button.

Scroll down to view details that match your search.



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