BROOKS MACDONALD

InvestBM

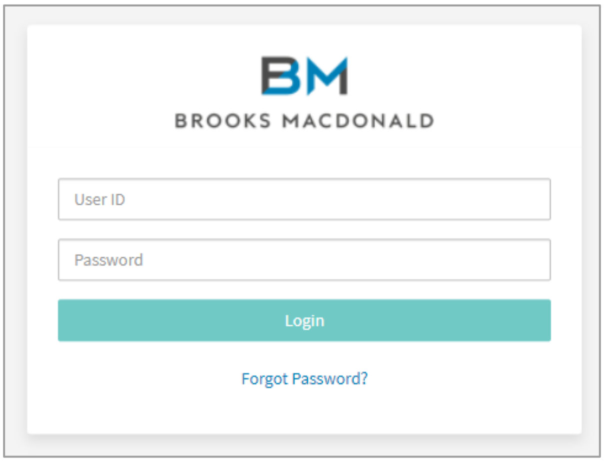
Portal User Guide for Advisers

October 2022

V4

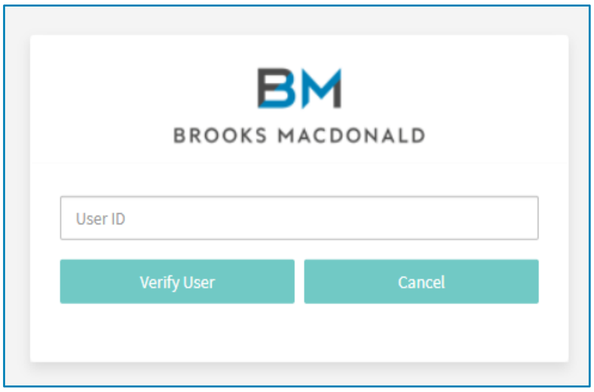
Contents

1. Login

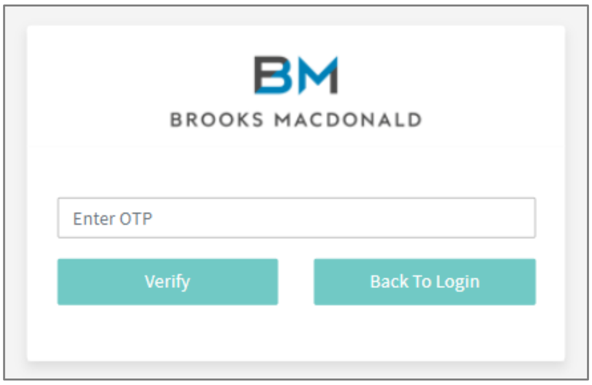


1.1 Forgot password

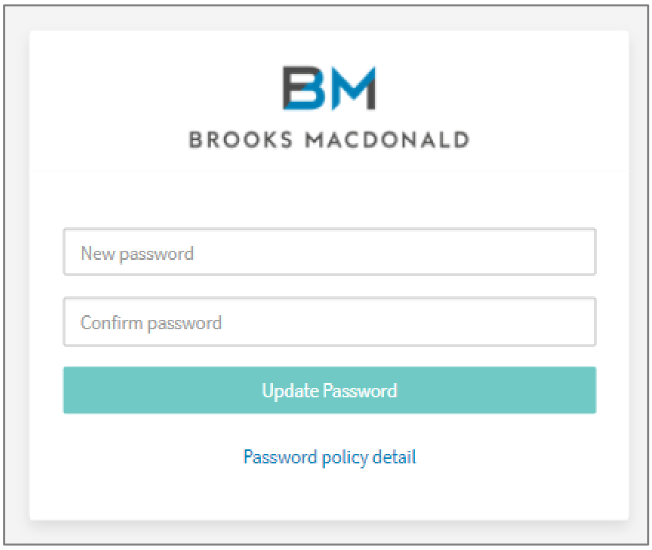
If you forget your password, you can click on the 'Forgot Password' link to reset it. Simply enter your User ID and click on 'Verify User'.



Enter the One Time Password (OTP) you receive in the email, which will be sent to your registered email address and click 'Verify'.



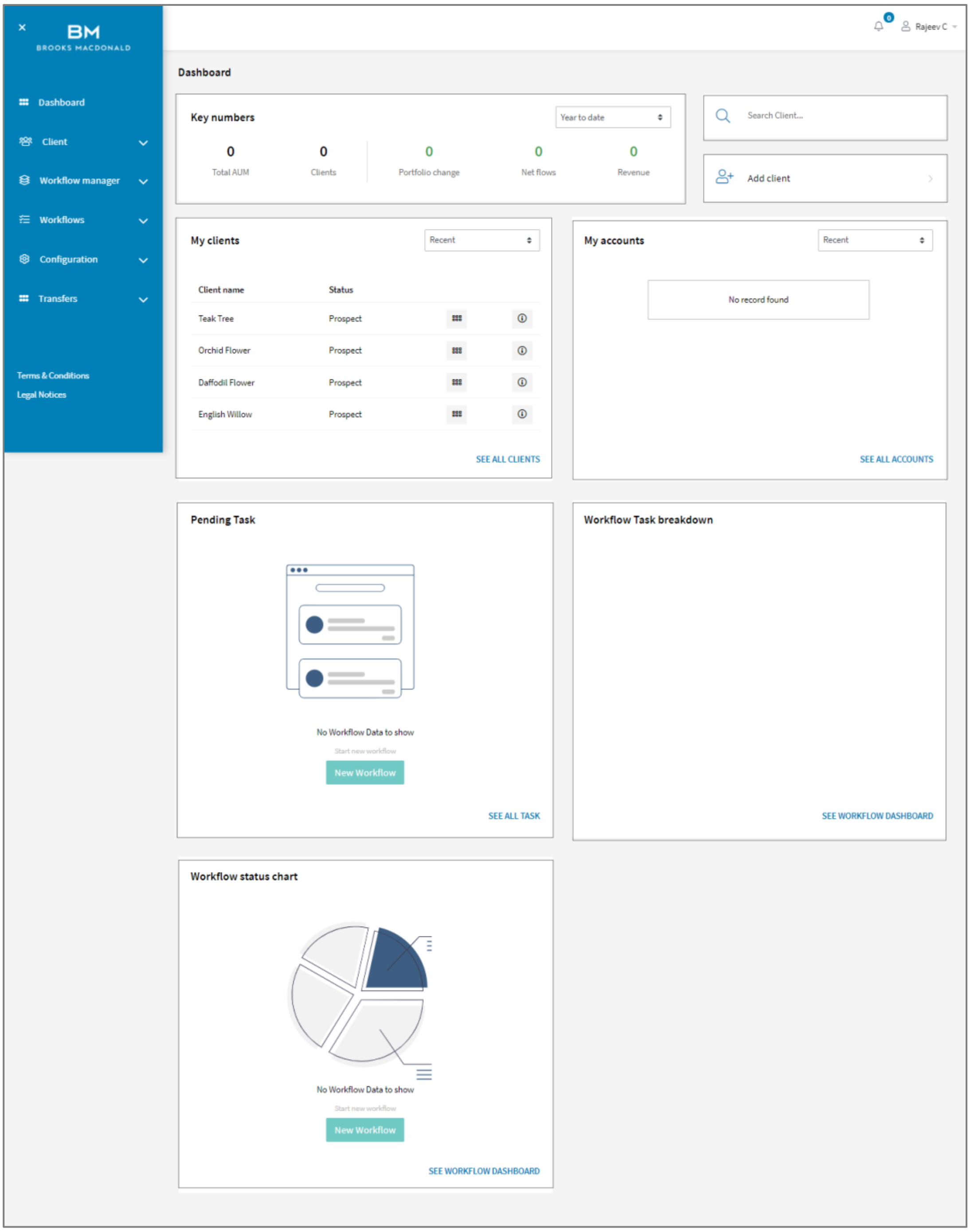
You will then see the screen to create a new password.



2. Landing page

When you log in, you will see your dashboard displayed as your home page (landing page). Here you will find all your clients' details.

If you do not see anything at first try clicking 'see all clients', as the home screen only shows recently viewed clients / accounts.

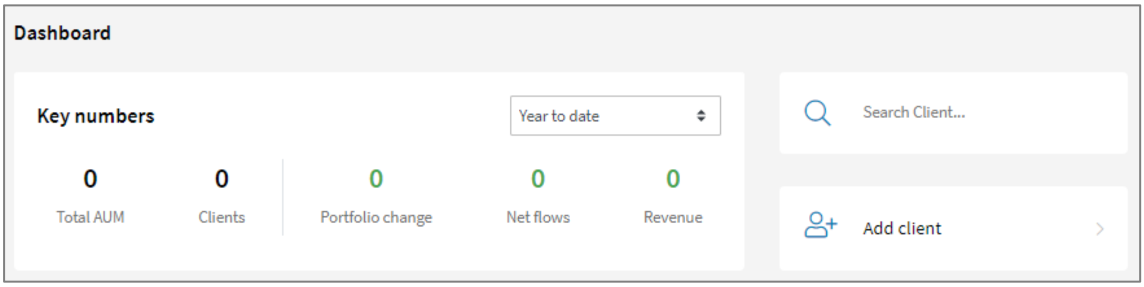


2.1 Dashboard

The default dashboard contains several widgets summarising information about your clients, their accounts, and workflows. Widgets offer various filtering options, as well as links to other pages and dashboards.

#	Widget name	Filter options
1	Key numbers	Various period choices
2	My clients	Recent, Frequent
3	My accounts	Recent, Frequent
4	Pending Tasks	None
5	Workflow Task breakdown	None
6	Workflow status chart	None
The 'See workflow dashboard' link will open up the workflow dashboard.		

The top section of the default dashboard shows your important key numbers - Total AUM and the number of clients looked after by you. Also displayed are Portfolio change, Net flows, Revenue etc for the period selected.



When selecting a client via the **'Search client'** link, it opens the Client information page.

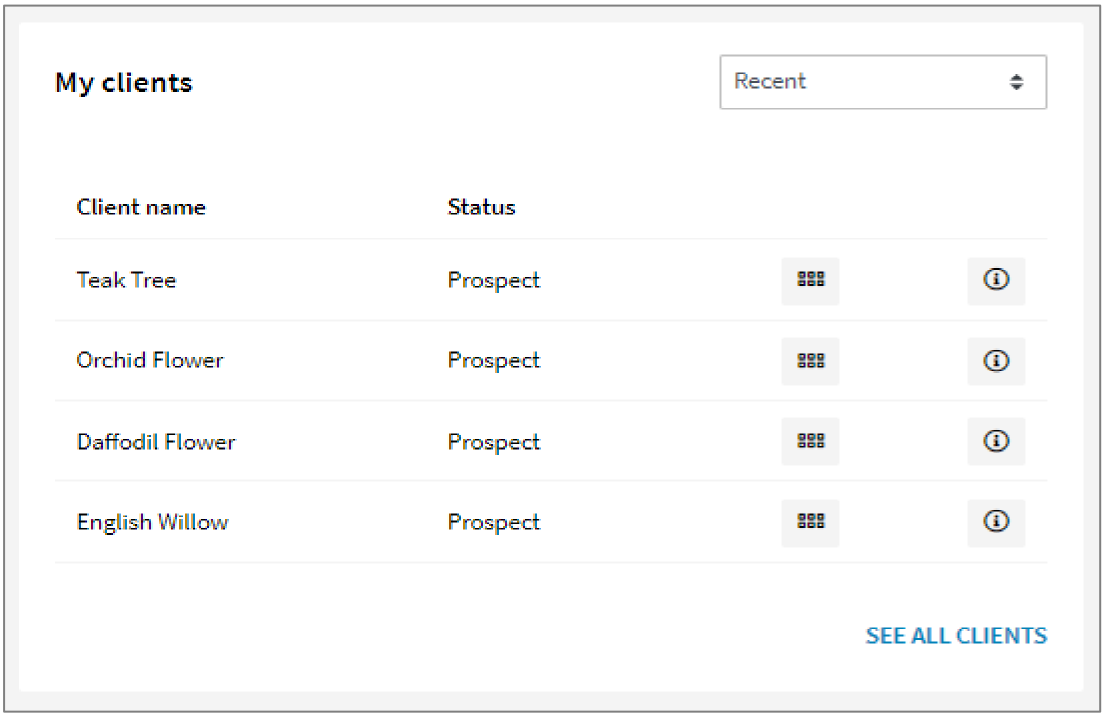
- In the Client information page, navigating to the 'Dashboard' will bring up the client's dashboard.

In this search box, you will be able to search by client name, email address, on Brooks Macdonald's unique identifying number (11 digits).

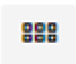
The bottom section of the dashboard shows the default widgets available as below:

My clients

By default, the '**My clients'** widget shows the recent clients you have looked at, and you can change the filter to either recent or frequent.



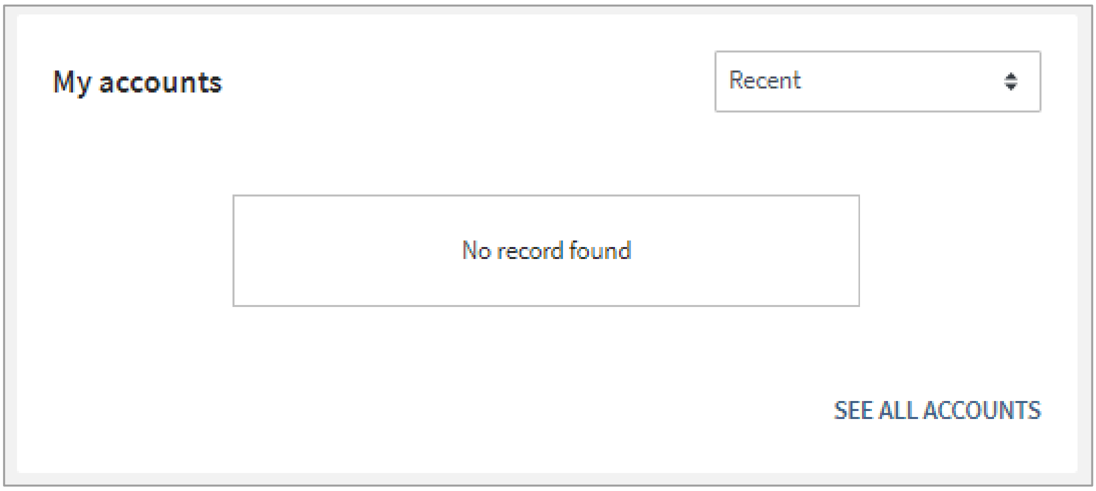
The '**SEE ALL CLIENTS'** link opens the pre-populated contact page. Use the search option to choose a particular contact / profile.

If you click  , this will take you through to that client's dashboard (more info on this below).

Clicking  will take you to the 'information & application' section on the left-hand navigation (more info on this below).

My accounts

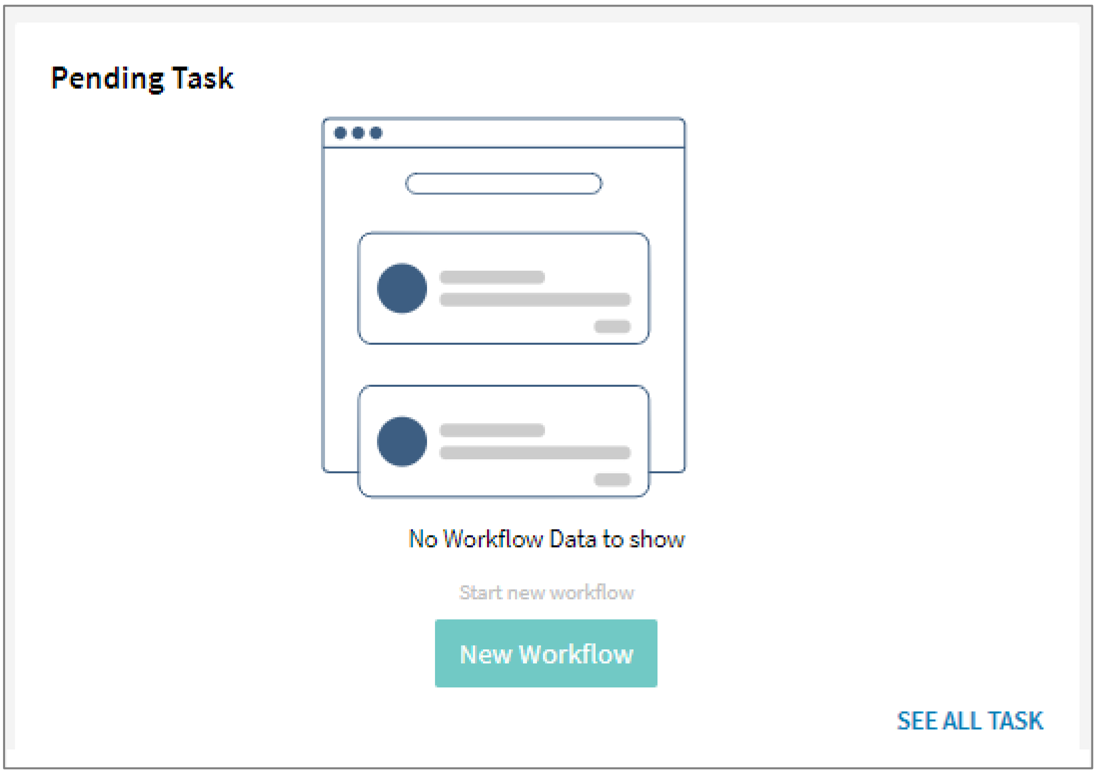
By default, the **'My accounts'** widget shows the recent portfolios you have looked at.



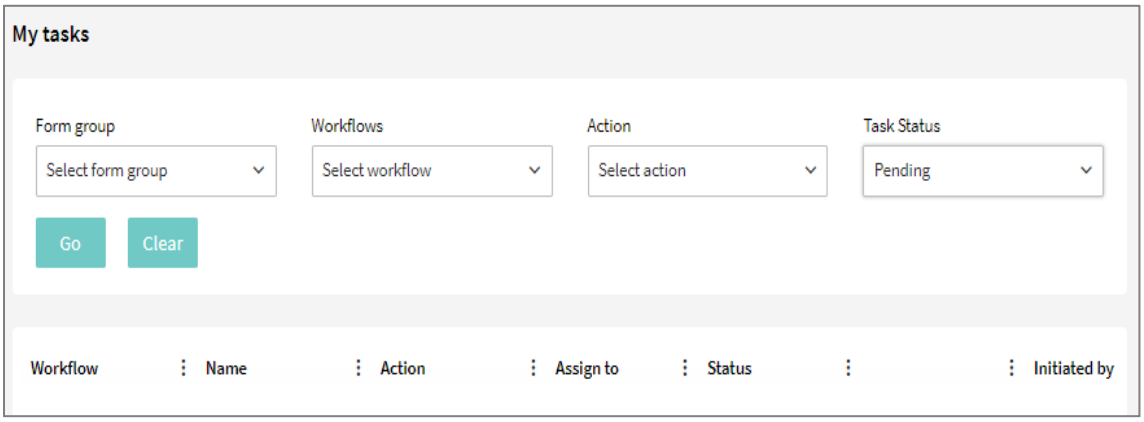
The **'SEE ALL ACCOUNTS'** link opens the portfolios page. This shows the portfolio details of the account selected.

Pending Tasks

This widget shows the pending Workflow tasks. Click the **'New Workflow**' link to start a new workflow.

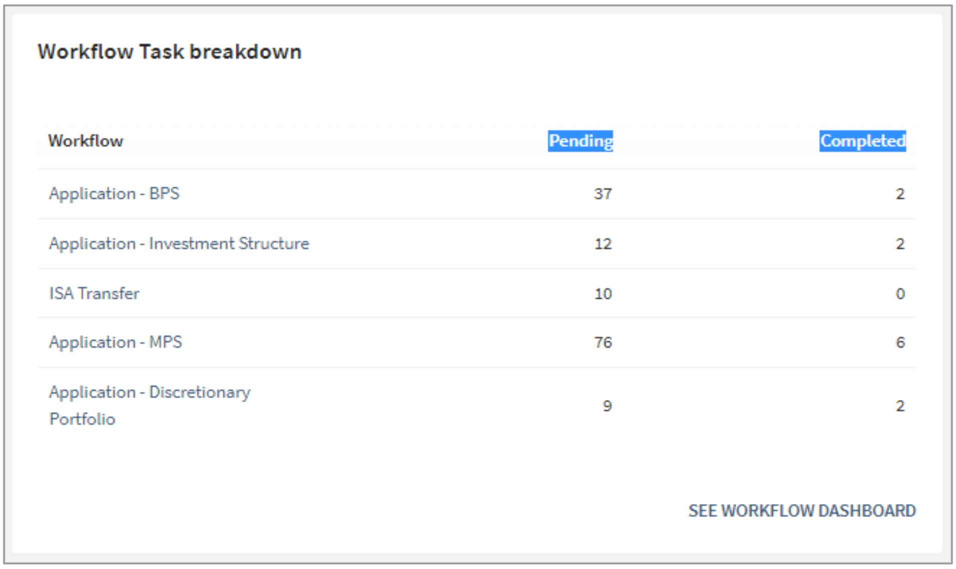


The ‘**SEE ALL TASK’** link will open up the **‘My tasks’** page, showing all the tasks as below.



Workflow Task breakdown

This widget shows a breakdown of the workflows associated with your clients and prospects. It displays the workflow name, the average days it takes a workflow to complete and the number of pending and completed instances of the workflow.



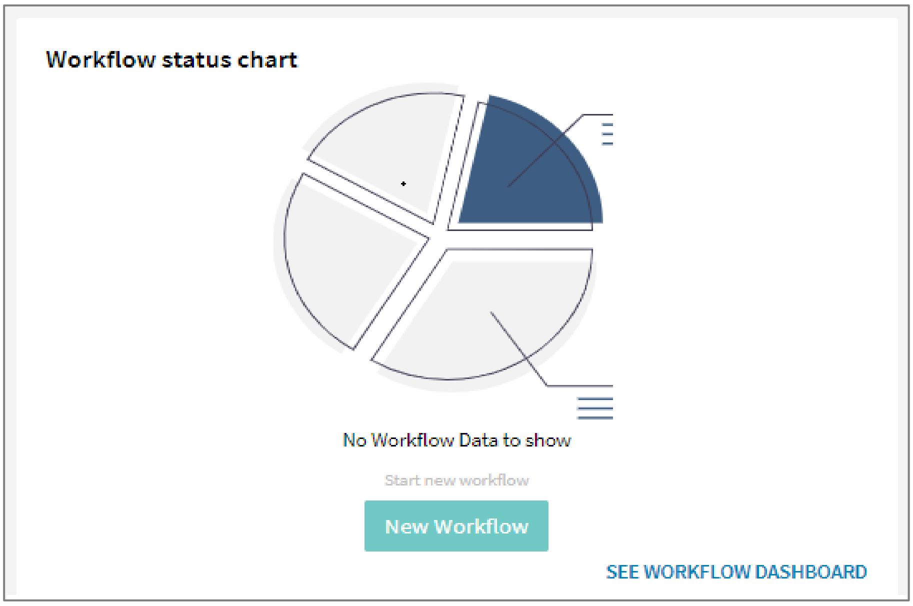
Workflow Task breakdown

Workflow	Pending	Completed
Application - BPS	37	2
Application - Investment Structure	12	2
ISA Transfer	10	0
Application - MPS	76	6
Application - Discretionary Portfolio	9	2

SEE WORKFLOW DASHBOARD

Workflow status chart

This widget shows a pie chart representation of the workflows associated with your clients and prospects. The chart breaks down these workflows by status: completed and in progress.



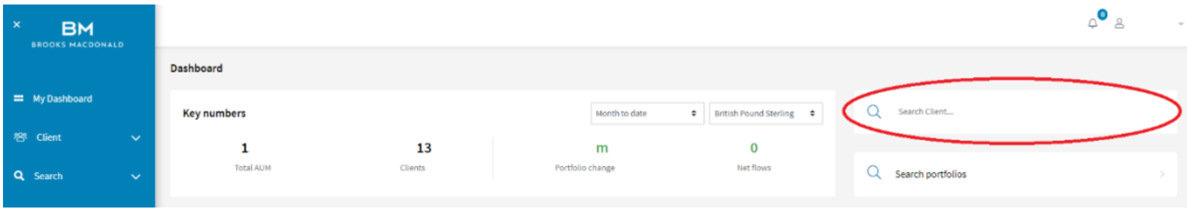
Click ‘**SEE WORKFLOW DASHBOARD’** link to go to the workflow dashboard.

Note: Click the dashboard menu or the Brooks Macdonald logo to bring up the default dashboard from any other page

3. Searching for a client

You can search for a client in a number of different ways.

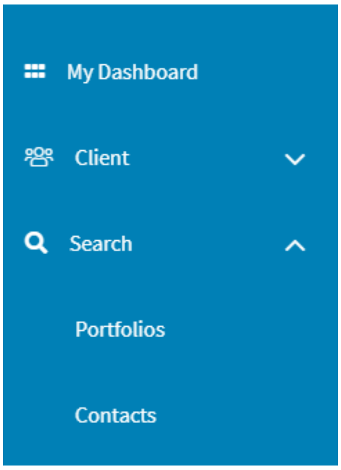
Search on home page



Here, you can search for name, email, or BM contact number.

The clients that you will see here are only those in the BM system that you have access to.

Using the search criteria on the navigation panel



Portfolio

This will allow you to search via a client's account number.

This is the same screen you would see if you selected 'see all accounts' on the home page.

Contacts

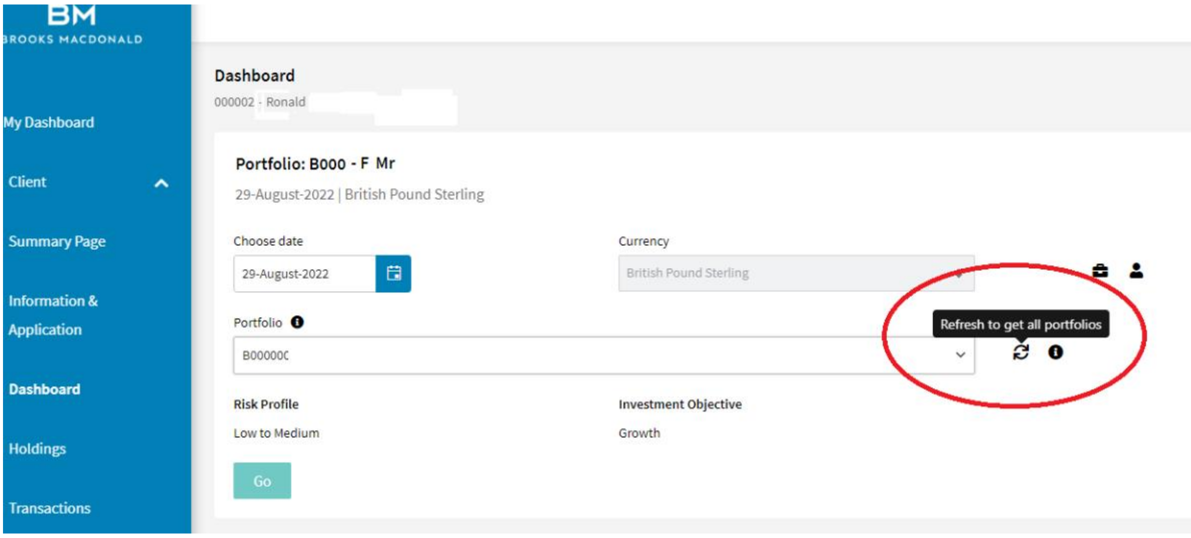
This will allow you to search for a client via name, email, or contact code (11 digits) that is Brooks Macdonald's reference number.

This is the same screen you would see if you selected 'see all clients' on the home page.

Navigating from an account view to a client view

It should be noted that, when you search via an account number, rather than by a client number, it will only show you that account when navigating between the options on the left-hand navigation panel.

To see the other accounts associated with your currently active client, navigate to **'Dashboard',** and select the 'refresh' button after the account number.

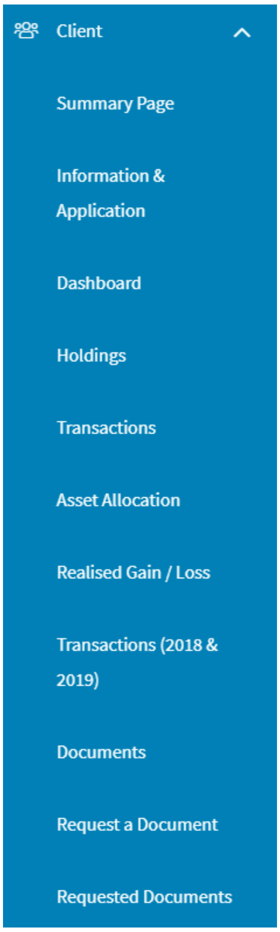


4. Navigating the Portal

4.1 The left-hand navigation menu

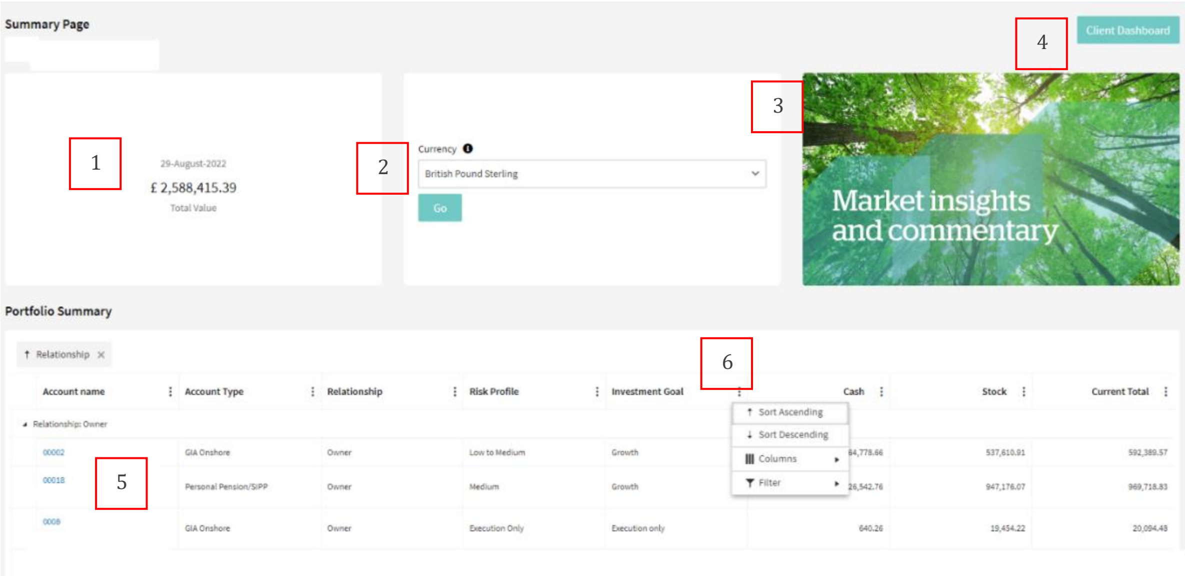
If the ‘client’ section in the portal is not expanded, then please click it. You will see that you have a number of options available.

Below – we explore each of these sections in more information.



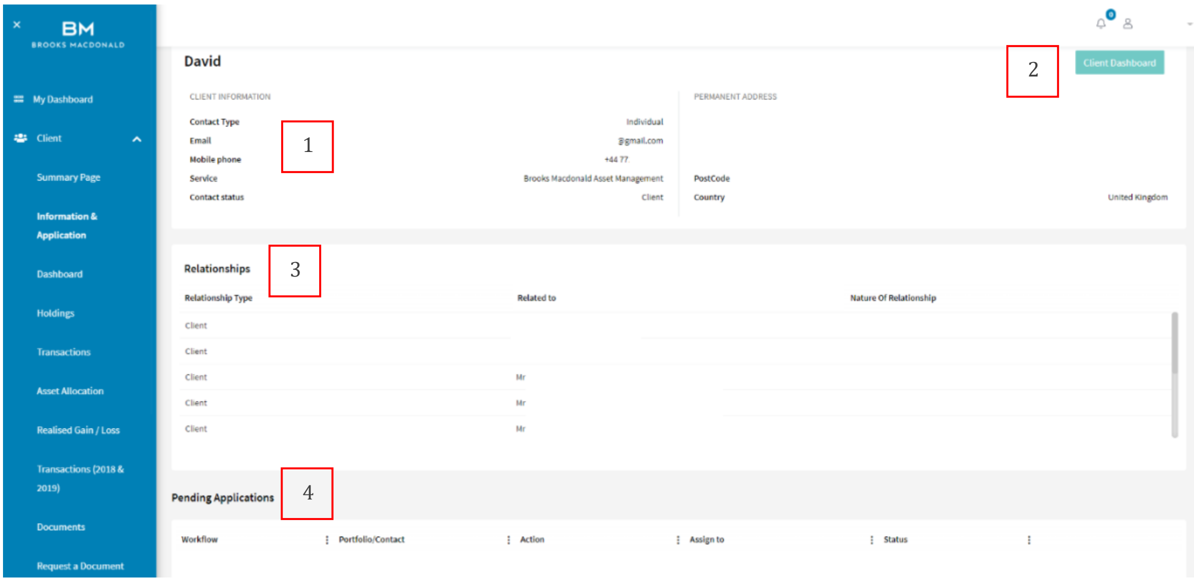
4.2 Summary Page

Shows the accounts that are held by that client. If you have selected one account only (i.e., you have searched via 'portfolio' search or 'client accounts', you will need to refresh the screen to bring through all of the accounts associated with that client. See section **'Navigating from an account view to a client view'** above



1. This shows you the total value of accounts shown on this page, and the latest valuation date. The latest valuation date is ordinarily the previous working day
2. You are able to change the currency of the valuation, from GBP, EUR, and USD. You must hit 'go' after selecting the currency to update the information
3. Will exit you to a new page on the Brooks Macdonald website, which is our Chief Investment Office (CIO) insights and commentary
4. A view of the client dashboard which shows asset allocation, holdings by account and performance – this will take you to the same screen as **'dashboard'** in the left-hand navigation menu
5. A list of all accounts, default groups by **'relationship'**. Note that, if a client is the trustee of an account, this will also show here
6. You are able to select filters and ordering of the list by using these headers at the top. You will see that 'relationship' is selected by default under the header 'portfolio summary'. You are able to delete this by clicking on the cross and dragging another header into this space – it will group the view accordingly.

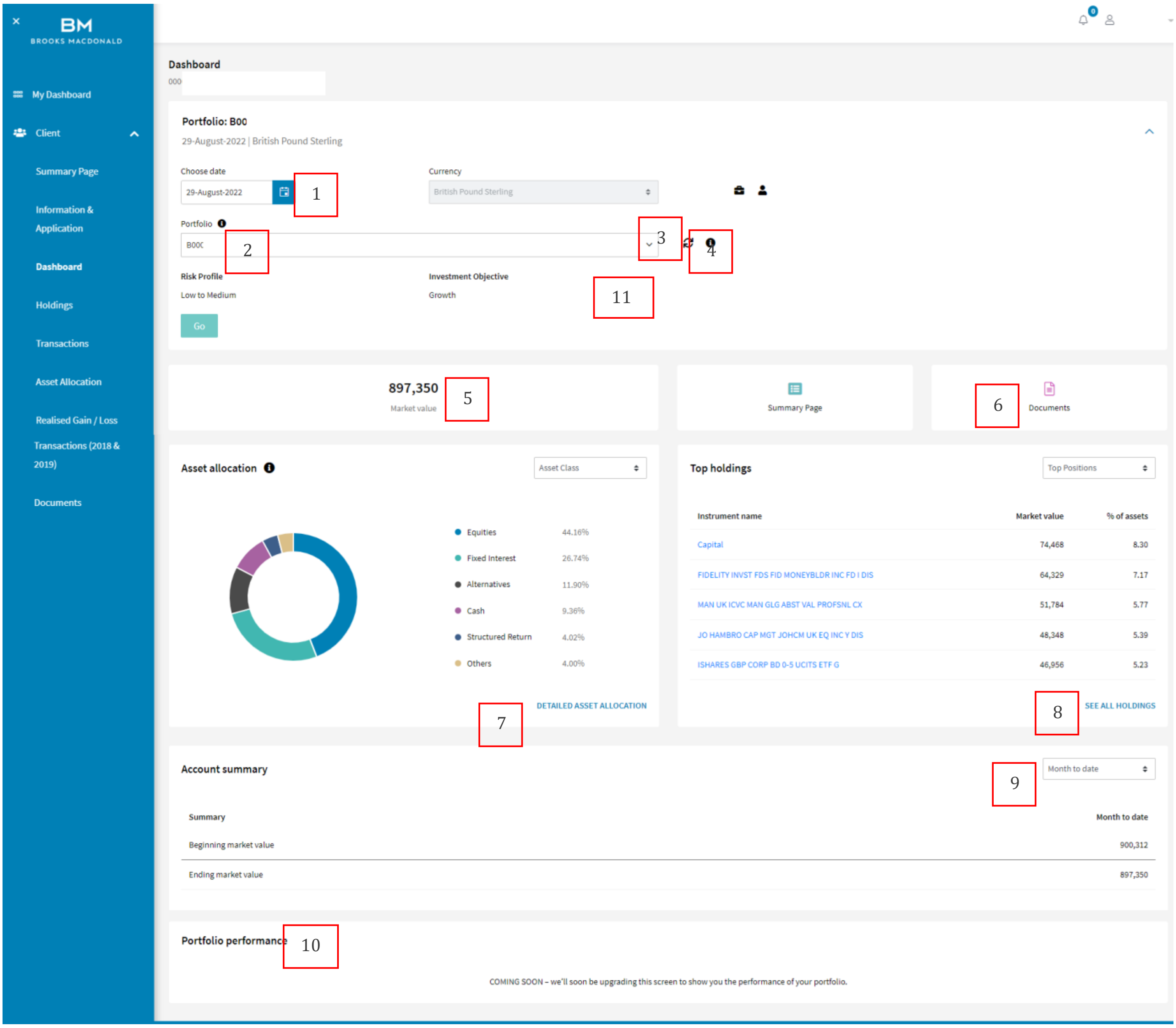
4.3 Information & Application



1. Basic information on the client that you have selected
2. Will navigate you to the client dashboard, and will navigate you to the same screen as ‘dashboard’ from the left-hand panel
3. This will show personal and professional relationships that are related to the client that you have selected
4. If you have outstanding digital applications for a client, they will show here. Note that this will only show digital applications, it will not show paper / manual applications that are in flight.

4.4 Dashboard

The **Dashboard** is designed to be a high-level overview of the screens that are accessible via the links in the left-hand navigation panel.

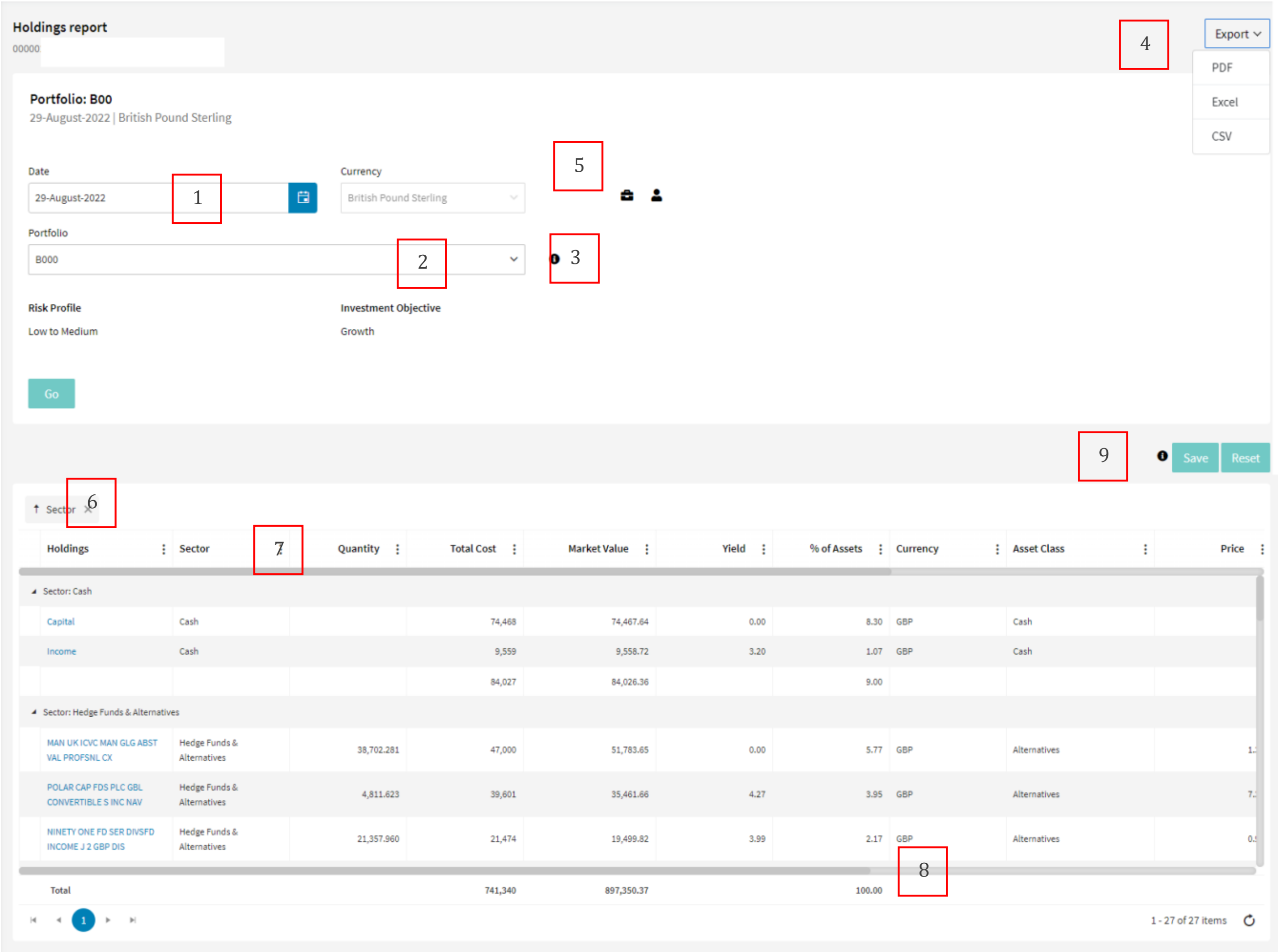


1. You are able to change the date to view the information on this screen back until 1 Jan 2020. Just remember to hit 'go' once you have selected your date.
2. This will enable you to see any of the accounts linked to the client that you have selected. If you have navigated to this screen via the 'search > portfolios' screen, then you are able to click the 'refresh' button (noted in point 3 below). This will retrieve all related accounts to that client
    a. In this view, you may see an account that has a 'B' number. This is a representation of how the money this client has with Brooks Macdonald is managed.
    b. If you click on (4), you will be able to see a list of the accounts that make up the 'B' account number.

   c. If you are unsure of this information, please speak with your contact at Brooks Macdonald.
3. Refreshes the list of accounts visible, to include all accounts related to that client.
4. If you have selected a 'B' reference number, which is a representation of how Brooks Macdonald manages the client's money, you are able to click this button to understand what accounts make up this reference.
5. This is the total market value of the account selected in (2), as at the date selected in (1)
6. You are able to access valuations related to accounts back until 1 Jan 2020. Any documents that are produced relating to the client moving forward will also be loaded here. This is regardless of whether the client is a user of InvestBM or not.
7. This module shows a snapshot of the asset allocation in account selected in (2). You can click 'detailed asset allocation', and it will navigate to the 'asset allocation' screen in the left navigation menu.
8. This module shows a snapshot of the assets held in account selected in (2). You can click 'see all holdings', and it will navigate to the 'holdings' screen in the left navigation menu.
9. Selecting a time period will give you an opening and closing value of the account selected in (2). Note that the time frame defined in here is based on the date selected in (1) – i.e., if you select '12 months', it will be 12 months ending on the date selected
10. Portfolio performance is displayed back to inception (since the account was opened). The data used here is static data points at each month end, until 1 Jan 2020 when the data is calculated daily.
11. **ISA subscriptions –** if you select an ISA account in (2), you will see one or two additional fields appear. If the ISA has been contributed to, it will show how much has been contributed, and if there is remaining allowance there will be a header telling you the amount. If one of the headers does not display, it is because the figure relating to that header is zero.

4.5 Holdings

The **Holdings report screen** is designed to provide a detailed view of holdings held within an account, or group of accounts, at a date selected.



1. You are able to change the date to view the information on this screen back until 1 Jan 2020. Just remember to hit 'go' once you have selected your date.
2. This will enable you to see any of the accounts linked to the client that you have selected.
    a. In this view, you may see an account that has a 'B' number. This is a representation of how the money this client has with Brooks Macdonald is managed.
    b. If you click on (3), you will be able to see a list of the accounts that make up the 'B' account number.
    c. If you are unsure of this information, please speak with your contact at Brooks Macdonald.
3. If you have selected a 'B' reference number, which is a representation of how Brooks Macdonald manages the client's money, you are able to click this button to understand what accounts make up this reference.
4. You are able to export all of the data in this screen into three formats:
    a. PDF – which provides a branded and printable document

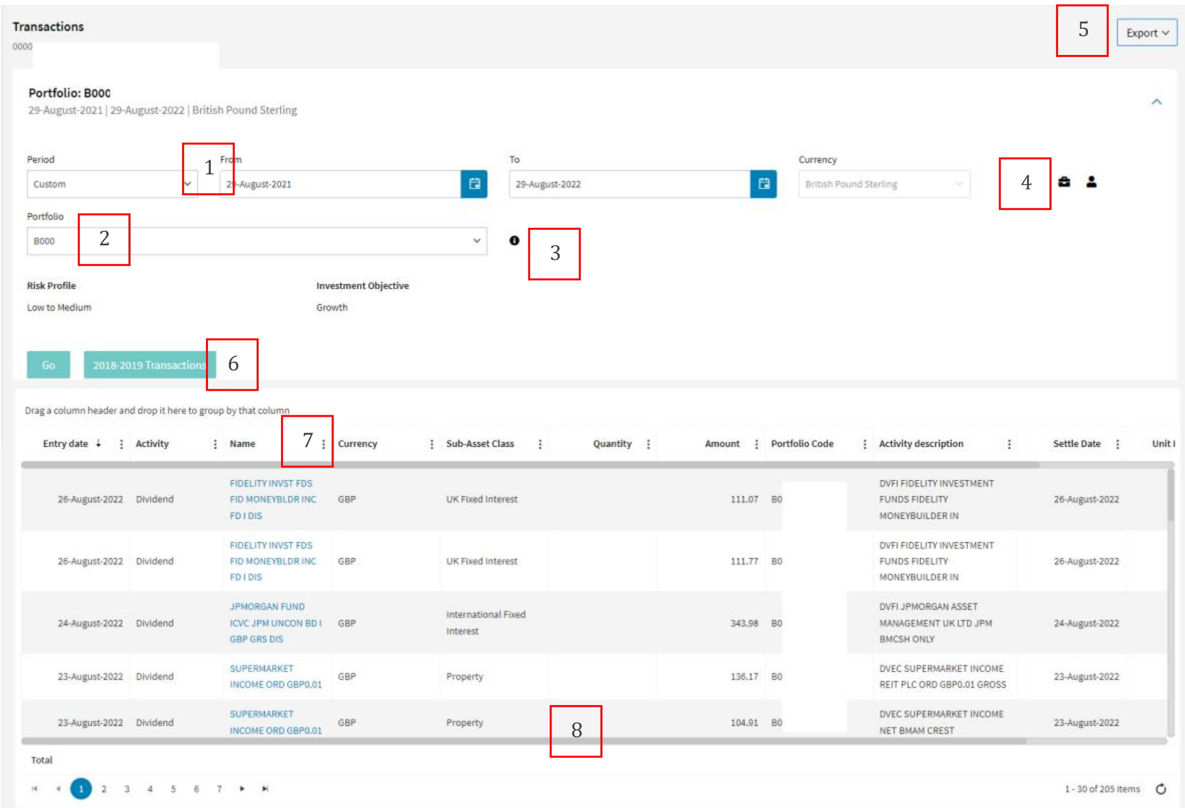
    b. Excel
    c. CSV

   All of the data will export in the same format / grouping / order that you have selected on your screen

5. Using these buttons, you can change the account or client that you are viewing.
6. You are able to delete this by clicking on the cross and dragging another header into this space – it will group the view accordingly.
7. You are able to select filters and ordering of the list by using these headers at the top. You are able to click on and use the box to search for specific holdings / transactions, as needed
8. The table will regularly not fit onto the screen given the level of information included. You are able to use this scroll bar to view the columns to the right and left. You can click and hold a column title and drag it left and right to reorder your columns, too. This also forms part of the criteria that you can save under point (9)
9. If you regularly use this screen, you can sort your columns and ordering to your preferred state and click 'save'. This will retain your criteria for each visit / client you select

4.6 Transactions (incl. 'Transactions (2018 & 2019)')

The **Transactions screen** is designed to provide a detailed view of transaction movements on the account, or group of accounts, for a date range selected.



1. Use the fields to select the date range of the transactions that you would like to view.
2. This will enable you to see any of the accounts linked to the client that you have selected.
    a. In this view, you may see an account that has a 'B' number. This is a representation of how the money this client has with Brooks Macdonald is managed.
    b. If you click on (3), you will be able to see a list of the accounts that make up the 'B' account number.
    c. If you are unsure of this information, please speak with your contact at Brooks Macdonald.
3. If you have selected a 'B' reference number, which is a representation of how Brooks Macdonald manages the client's money, you are able to click this button to understand what accounts make up this reference.
4. Using these buttons, you can change the account or client that you are viewing.
5. You are able to export all of the data in this screen into three formats:
    a. PDF – which provides a branded and printable document
    b. Excel
    c. CSV

    All of the data will export in the same format / grouping / order that you have selected on your screen
6. We have loaded rich information into InvestBM for each client and portfolio back to 1 Jan 2020. For transactions, we have loaded 2018 and 2019 data too. This is available by clicking

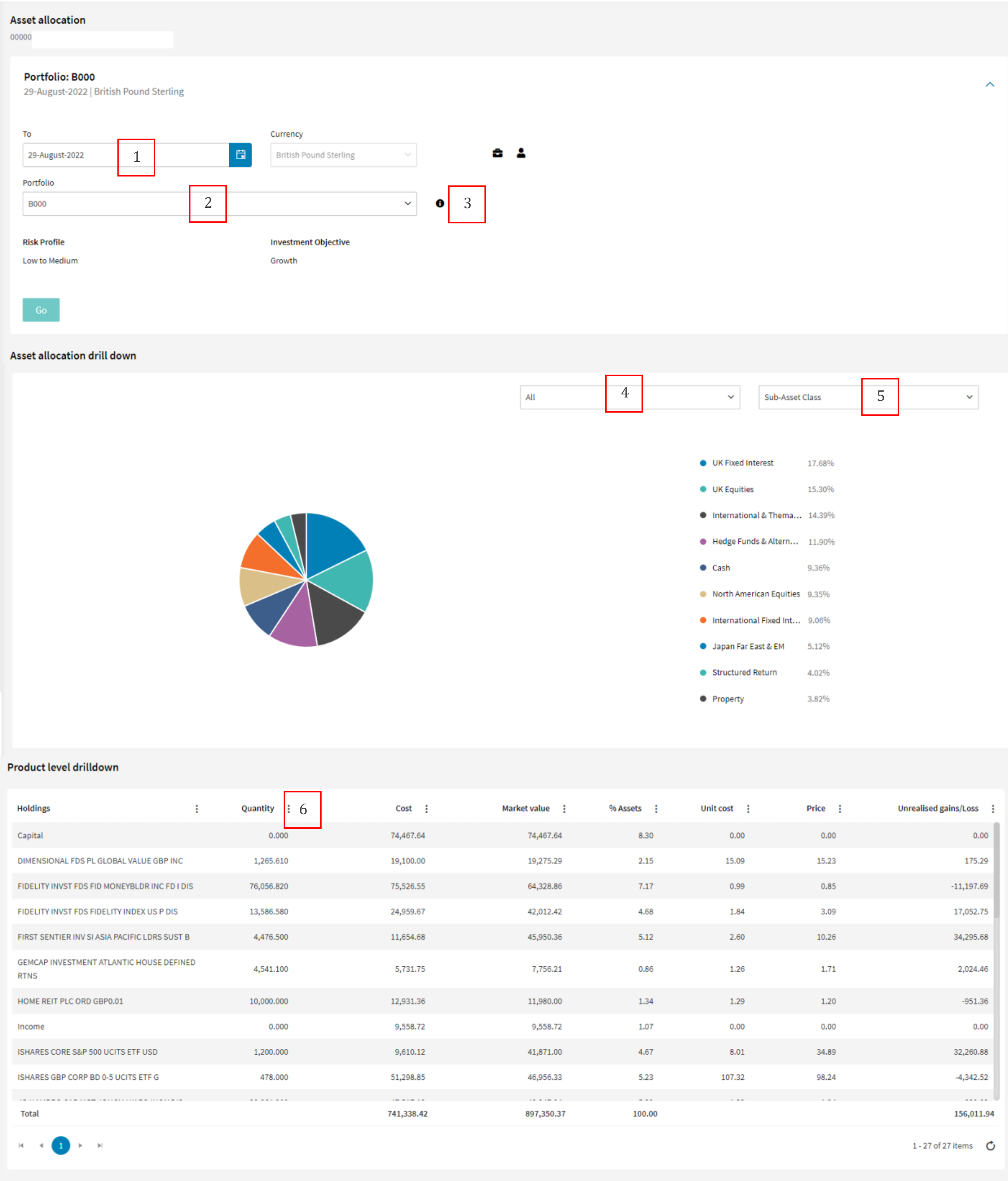
here and can be filtered and navigated in the same way as this screen. By clicking this button, it will navigate you to the 2018-2019 menu option in the left-hand navigation option.

7. You are able to group the view by dragging and dropping a column header into this space. You are also able to select filters and ordering of the list by using these headers at the top.

   You can click on ⋮ and use the box to search for specific holdings / transactions, as needed
8. The table will regularly not fit onto the screen given the level of information included. You are able to use this scroll bar to view the columns to the right and left. You can click and hold a column title and drag it left and right to reorder your columns, too. This also forms part of the criteria that you can save, enabling you to retain your criteria for each visit / client you select

4.7 Asset Allocation

The **Asset allocation screen** is designed to provide a detailed breakdown of the types of assets held in a portfolio.

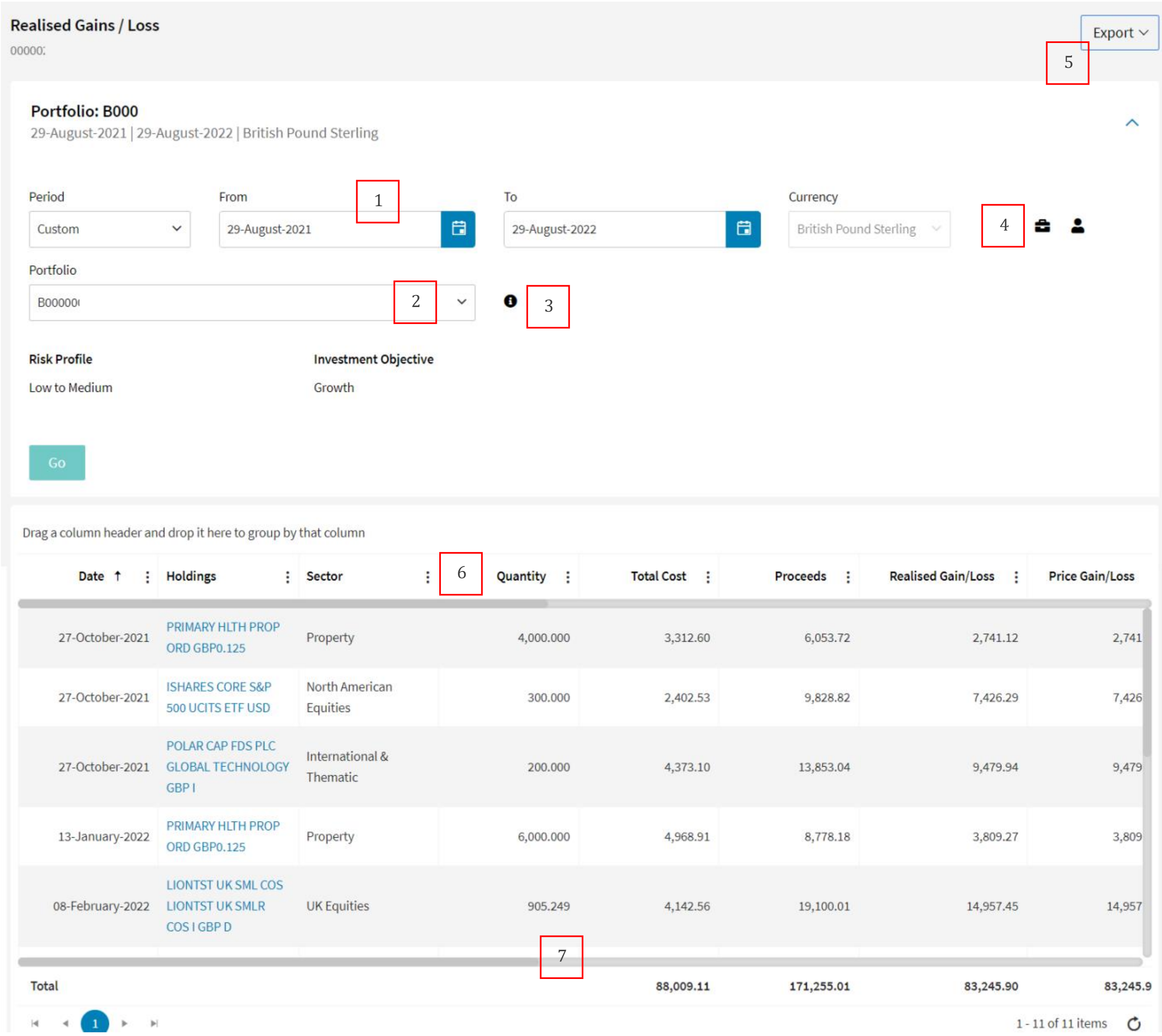


Holdings	Quantity	Cost	Market value	% Assets	Unit cost	Price	Unrealised gains/Loss
Capital	0.000	74,467.64	74,467.64	8.30	0.00	0.00	0.00
DIMENSIONAL FDS PL GLOBAL VALUE GBP INC	1,265.610	19,100.00	19,275.29	2.15	15.09	15.23	175.29
FIDELITY INVST FDS FID MONEYBLDR INC FD I DIS	76,056.820	75,526.55	64,328.86	7.17	0.99	0.85	-11,197.69
FIDELITY INVST FDS FIDELITY INDEX US P DIS	13,586.580	24,959.67	42,012.42	4.68	1.84	3.09	17,052.75
FIRST SENTIER INV SI ASIA PACIFIC LDRS SUST B	4,476.500	11,654.68	45,950.36	5.12	2.60	10.26	34,295.68
GEMCAP INVESTMENT ATLANTIC HOUSE DEFINED RTNS	4,541.100	5,731.75	7,756.21	0.86	1.26	1.71	2,024.46
HOME REIT PLC ORD GBP0.01	10,000.000	12,931.36	11,980.00	1.34	1.29	1.20	-951.36
Income	0.000	9,558.72	9,558.72	1.07	0.00	0.00	0.00
ISHARES CORE S&P 500 UCITS ETF USD	1,200.000	9,610.12	41,871.00	4.67	8.01	34.89	32,260.88
ISHARES GBP CORP BD 0-5 UCITS ETF G	478.000	51,298.85	46,956.33	5.23	107.32	98.24	-4,342.52
Total		741,338.42	897,350.37	100.00			156,011.94

1. You are able to change the date to view the information on this screen back until 1 Jan 2020. Just remember to hit 'go' once you have selected your date.
2. This will enable you to see any of the accounts linked to the client that you have selected.
    a. In this view, you may see an account that has a 'B' number. This is a representation of how the money this client has with Brooks Macdonald is managed.
    b. If you click on (3), you will be able to see a list of the accounts that make up the 'B' account number.
    c. If you are unsure of this information, please speak with your contact at Brooks Macdonald.
3. If you have selected a 'B' reference number, which is a representation of how Brooks Macdonald manages the client's money, you are able to click this button to understand what accounts make up this reference.
4. This drop down will allow you to change the breakdown that you are looking at, to choose between different types of asset class.
5. Will allow you to take (4) to the next level of information, including sub-asset class and currency.
6. You are able to select filters and ordering of the list by using these headers at the top. You are able to click on ⋮ and use the box to perform a search as required

4.8 Realised Gain / Loss

The **Realised Gains / Loss screen** is designed to provide a detailed view of transactions completed, and any resulting gain or loss. If you have any questions, please get in touch with your contact at Brooks Macdonald.



1. Use the fields to select the date range that you would like to view. You can go back as far as 1 January 2020. Just remember to hit 'go' once you have selected your date.
2. This will enable you to see any of the accounts linked to the client that you have selected.
    a. In this view, you may see an account that has a 'B' number. This is a representation of how the money this client has with Brooks Macdonald is managed.
    b. If you click on (3), you will be able to see a list of the accounts that make up the 'B' account number.
    c. If you are unsure of this information, please speak with your contact at Brooks Macdonald.

3. If you have selected a 'B' reference number, which is a representation of how Brooks Macdonald manages the client's money, you are able to click this button to understand what accounts make up this reference.
4. Using these buttons, you can change the account or client that you are viewing.
5. You are able to export all of the data in this screen into three formats:
    a. PDF – which provides a branded and printable document
    b. Excel
    c. CSV

   All of the data will export in the same format / grouping / order that you have selected on your screen
6. You are able to group the view by dragging and dropping a column header into this space. You are also able to select filters and ordering of the list by using these headers at the top.

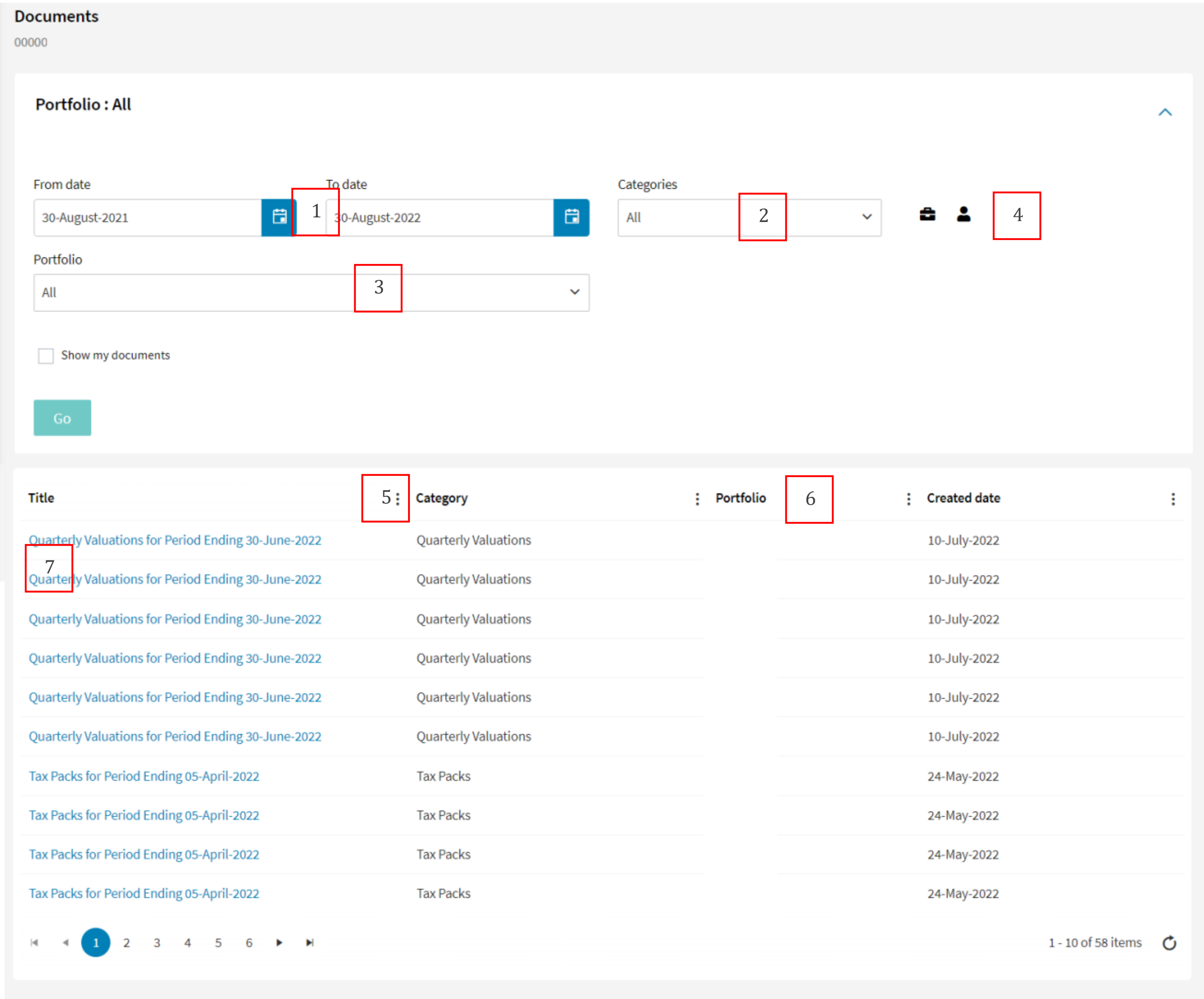
   You can click on ⋮ and use the box to perform a search as required
7. The table will regularly not fit onto the screen given the level of information included. You are able to use this scroll bar to view the columns to the right and left. You can click and hold a column title and drag it left and right to reorder your columns, too. This also forms part of the criteria that you can save, enabling you to retain your criteria for each visit / client you select

4.9 Documents

The **documents screen** is designed to give an overview of all documents that Brooks Macdonald has sent to clients since 1 Jan 2020. This includes:

- Quarterly valuations
- Tax packs
- Costs and charges
- Client & custody money statements

Note that, until Jul 2022, the costs and charges and client & customer money statements were provided with the quarterly valuations – costs and charges once a year in the December valuation and the customer money statements at the end of every quarter.

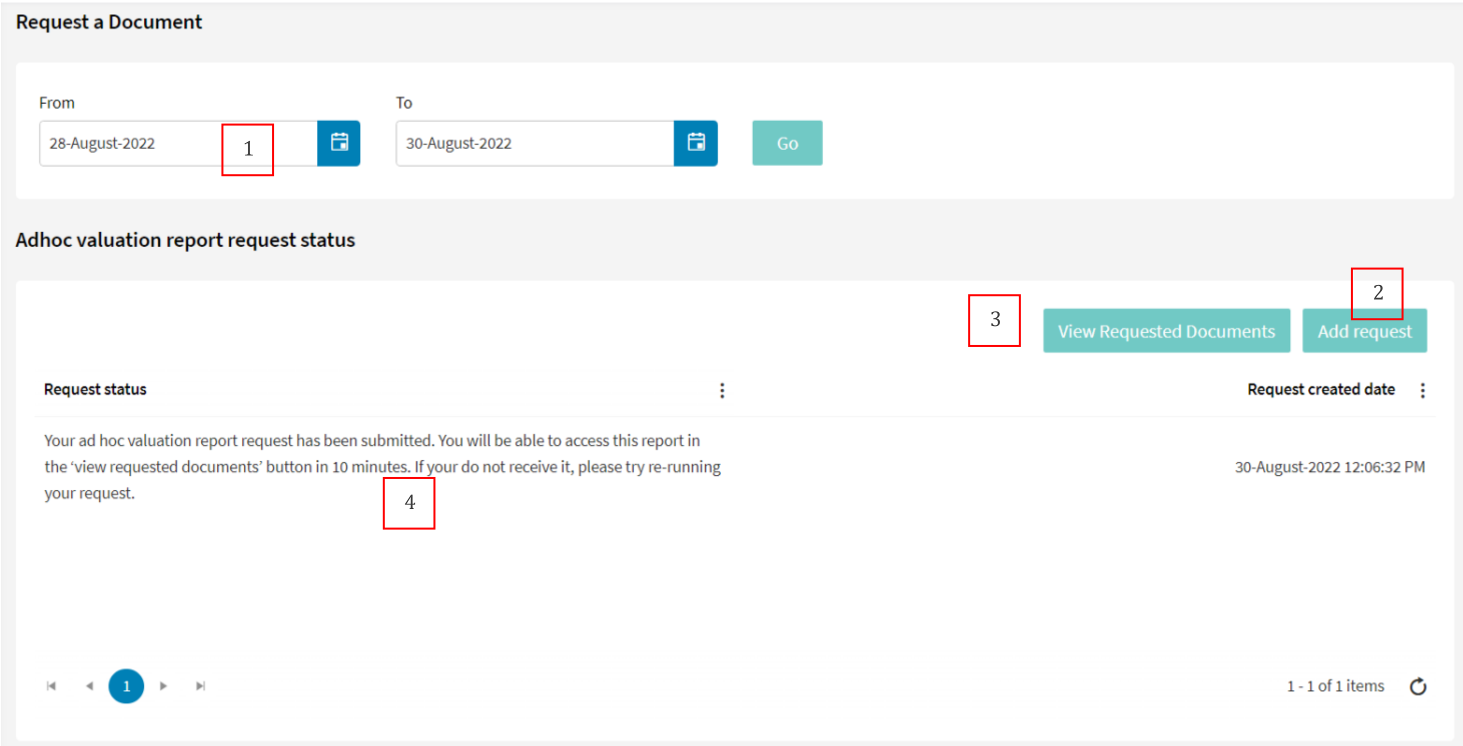


1. Use the fields to select the date range of the transactions that you would like to view. You can go back as far as 1 January 2020. Just remember to hit ‘go’ once you have selected your date.
2. This filter will enable you to focus on specific documents that you want for the date range selected. Note that some documents are included in the same PDF as the quarterly valuations up until July 2022.

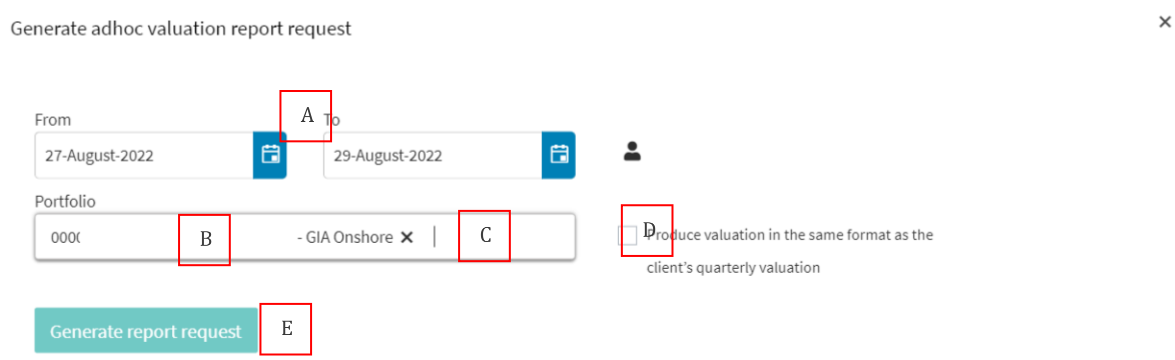
3. This will enable you to see any of the accounts linked to the client that you have selected.
    a. In this view, you may see an account that has a ‘B’ number. This is a representation of how the money this client has with Brooks Macdonald is managed.
    b. If you are unsure of this information, please speak with your contact at Brooks Macdonald.
4. Using these buttons, you can change the account or client that you are viewing.
5. You are able to select filters and ordering of the list by using these headers at the top. You are able to click on ⋮ and use the box to perform a search as required
6. This shows the account number that is related to the document.
7. Clicking on this link will allow you to download a PDF of the document that you have requested. You can then save these, or print.

4.10 Request a document and Requested documents

The **Request a Document screen** is designed to produce an adhoc valuation for any client and any account.



1. **Note -** this date range is to filter the requests that you have made, not the period for a new document generation.
2. This is where you go to generate a new document for a client.



A. Use this to select the date range of the valuation request that you want to make.
B. This is the portfolio for which you are generating the valuation for. You can add more than one accounts to each request – just click to the right of the portfolio and it will give you a drop down with all of the relevant accounts. Select as many accounts as you wish.
C. If you click here, you will be able to add other accounts associated for this client.

D. If you click this button, the request that you are generating will produce in the same format, and with all of the same accounts as the quarterly valuation that is associated with that account (e.g., if the account forms one of six that a client has in the quarterly valuation, ticking this box would produce the valuation for all six accounts). By not ticking this account, all of the accounts you select in (B) will produce in individual PDFs.
E. Select this to create the request.

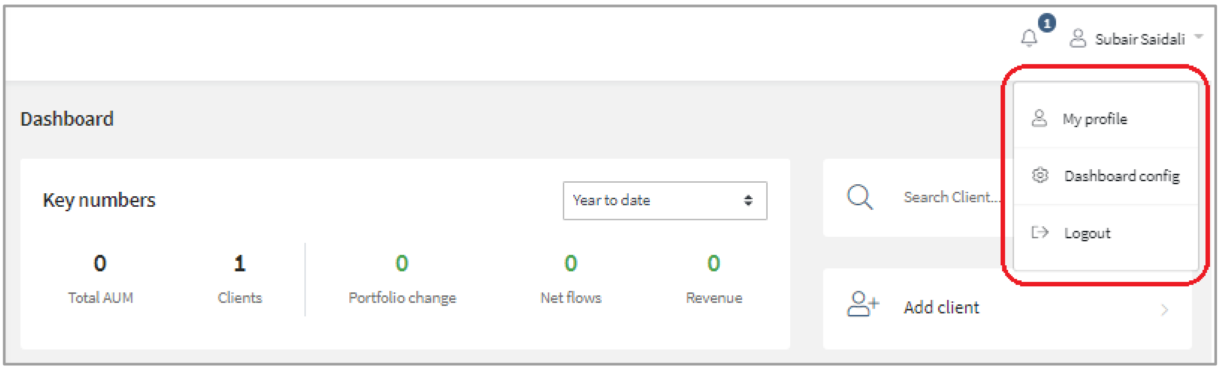
3. When you have generated a new request, clicking on 'View Requested Documents' will take you to the repository where documents that you have generated will be stored.
4. When you request a document (on 2), a message will appear here to confirm that you have requested it. Note that this will not tell you which client / account you have requested this for – we are working to resolve this as an improvement. This is also not client / account dependant – all of your requests for an adhoc document will appear here.

5. Logout

Note that, for clients and advisers, the auto logout process is 30 minutes.

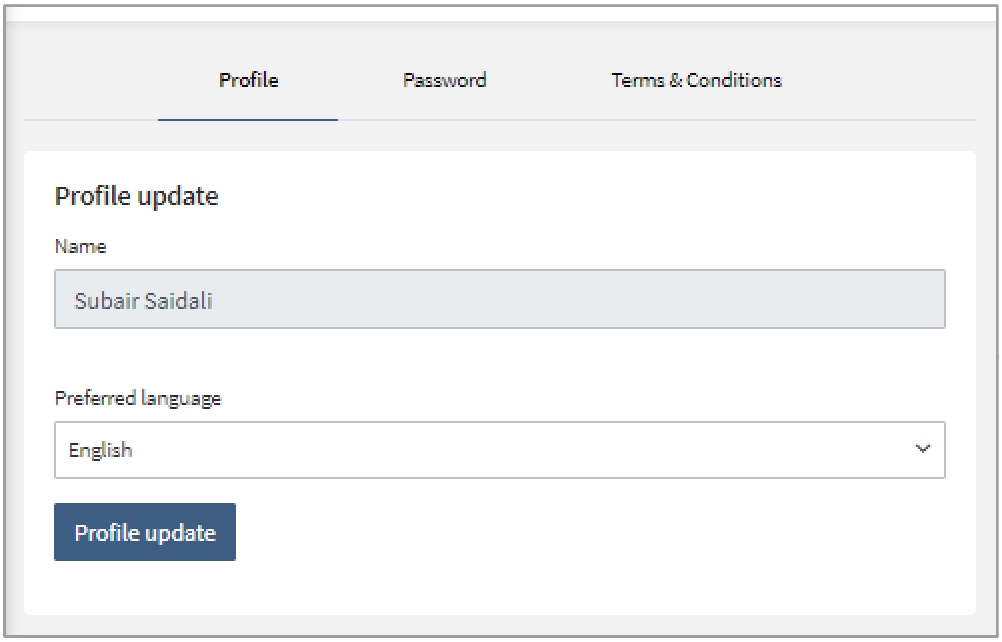
If you would like to log out manually, click on your username on the top-right corner of the page, to display the dropdown menu with the following options:

> My profile
> Dashboard config
> Logout



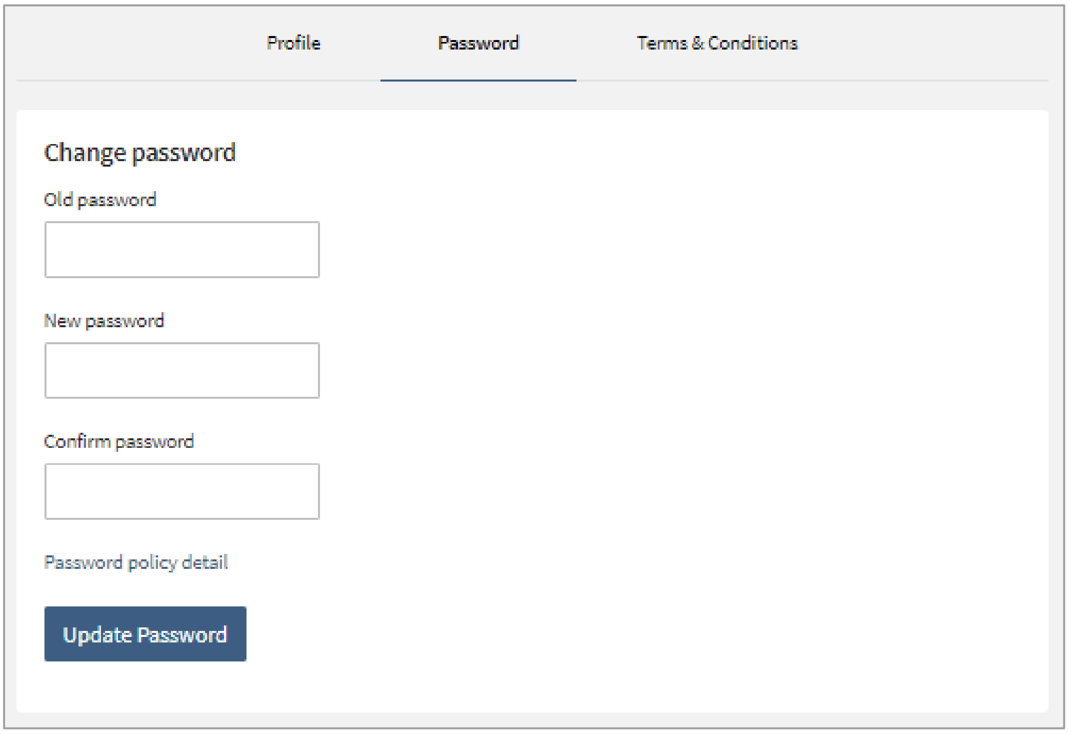
5.1 My profile

You can modify your profile details.



5.1.1 Change password

Select the '**Password**' tab to change the password.



5.2 Dashboard Config

You are able to change some settings in your Dashboard Config, including the size and location of tiles. This will allow you to personalise to suit you.

5.3 Logout

Click on **'Logout'** to exit the portal.