For adviser use only.

The value of investments can go down as well as up, and your clients could get back less than they paid in.

Client portal frequently asked questions

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Client authentication

Secure access

In 2020, the Financial Conduct Authority (FCA) highlighted the importance of maintaining adequate levels of security in a letter to the platform provider community. After an extensive due diligence process, we have taken the decision to partner with specialist firm, Okta. They provide the latest security technology to thousands of global brands.

Why have you chosen Okta?

Okta offers modern features such as Multi-Factor Authentication and customer self-service capability. By upgrading to Okta, we are ensuring client data is kept as secure as possible. Okta are market leaders in client security and already provide security solutions to companies as diverse as Experian, Hitachi and Zurich. Gartner, leading advisory consultants, named Okta as the market leader in access management in 2019.

How do clients set up a password?

The password format for Okta is a minimum of 12 characters. There are checks in place to ensure the password is strong. Each client will have five attempts to access the system with their password before the system locks them out. As we have increased the length of passwords to increase security, there is no expiry date on passwords and they can be changed at any time.

Can passwords be reset by my client?

Yes, the password can be reset at any time in the Contact us or Profile sections of the new client portal, the MyProfile section or at the login stage. The password reset instructions will be sent by email directly to your client.

What happens if a client is locked out of their account?

After five incorrect login attempts, the client's Okta account will be locked. An automated email is then sent to the client with instructions to unlock their own account via the new self-service functionality. This process will not update the client's password. If the client has forgotten their password, they will need to follow the reset password process at login once the account is unlocked.

Who can update the email address for access?

Any updates to the email address held on the platform must be carried out by an admin user at your firm. The email address can be checked/edited on the platform by going to **Dynamic Menu > Users and access > Access Management > Find user**. Search with your preferred criteria (e.g. first name and last name) to return details. Click on the name to change email details if required. Please note this might be a different email address to that stored in the client's **Dynamic Menu > Client details > Personal details.**

After the initial matching has completed, your client can update their address themselves via their profile on the client portal.

What happens if clients have duplicate email addresses?

Our main objective is to strengthen client security of their information. This means we must have a unique email address for every client so that a one-to-one match between email account and client can be established. We have identified some client accounts where an email address is shared on more than one account. This may be due to partners using the same email account. Unfortunately, this will no longer be possible.

It's worth noting that clients can unlock accounts via self-service which is all done by email. This is why we need it to match.

Client portal

What is the client portal?

It is a client's portal view of the platform. It has been designed to the latest digital guidelines and meets their needs identified through customer research. It gives clients a high level view of their platform portfolio and will hopefully reduce low-level client demand into your firm. You are in control of the level of information your clients can view.

Can the client portal be personalised for my firm?

Yes, there are simple configuration steps you can take to add your logo to the client portal and control the client view. To ensure your clients have the best experience, please set up your configuration preferences before migration, this can be done on the platform by going to **Dynamic Menu > Users and access > Firm configuration > Configure my client portal**.

Will providing client access on the platform change?

No, the way you provide clients with access will remain unchanged. New clients will get the automated welcome email to register with Okta. Permission to view accounts will remain unchanged too. Consolidated accounts cannot be viewed by clients, they can only access their own accounts in client portal.

What will clients see when they log in for the first time?

The home screen for all clients is the summary page which shows current valuations for their account. If the client has access to more than one account , they will be asked which one they wish to view.

What are my client access profile options?

The following are the levels of access you can choose to give to your clients and what this means:

- **Client Basic** – valuation summary and documents.
- **Client Standard** – valuation summary, documents, investments (including Insights) and performance.
- **Client Advanced** – valuation summary, documents, investments (including Insights), performance and transaction history.

Can I access my client's portal view?

Yes, we have created access from the platform into your client's portal view. The access link can be found on your client's summary page or by going to **Dynamic Menu > Users and access > User management > Find user.**

What additional information can I provide my clients on the new client portal?

For Client Standard and Client Advanced profiles, there will be investments, performance and insights tabs available. This includes access to fund factsheets/KIIDs, valuation history chart and a geographic allocation graph.

Will there be access to transaction history?

Only the Client Advanced profiles will provide access to the Transaction History tab, this includes cash, investment and transaction data.

What access will there be to platform documents?

All clients will have access to a document store, including a link to a literature library, where we securely hold all their client and product documentation. You can also upload documents to the platform and they will be shown here.

Are off-platform investments included in the figures the client sees?

All off-platform investments are included in the overall valuations but they are not included in the performance figures.

What happens with consolidated accounts?

A consolidated account view will not be shown on the client portal.

Adviser firms can continue to consolidate individual accounts on the platform for their own reporting purposes.

How does rounding work?

Total values (Portfolio, Sub account, Investment holdings, Managed Portfolios and Asset class tiers) are based on the sum of unrounded figures. Therefore, if you add the rounded total value figures for Sub accounts for example, this might not equal the Portfolio total due to the rounding method used.

Can clients login to the client portal on their mobile devices?

Yes. The client portal is fully mobile responsive. Clients can login using the internet browser on any device. Client portal has a mobile responsive design, which means it automatically adjusts sizing, layout and proportions to be accessible on a mobile device.

Is there a self-service facility on the new client portal?

Yes, there are links on the Profile page that allows clients to update their Okta security details.

Compatible browsers

The platform will work best on latest versions of modern browsers e.g. Edge, Chrome, Safari, Firefox. With these browsers, latest version covers the most recent stable version and the one before that. If you use an older browser, your user experience may not be optimal.

Client portal troubleshooting

How does my client register for the client portal?

Upon receipt of the automated welcome email, he following steps should be followed:

01

Complete Okta registration.

02

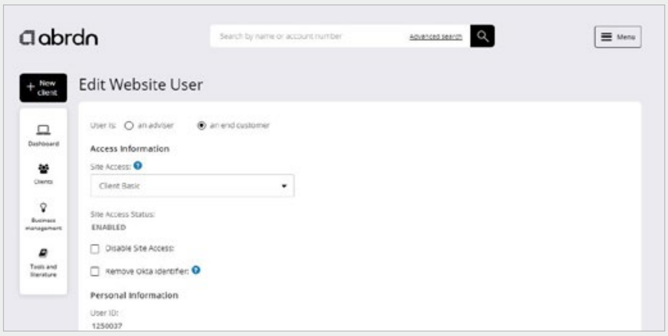
Okta will send your client an email asking them to activate their account, this completes the registration process.

03

Your client can now access your Adviser Website URL and log in using their new Okta Identity.

How do I check if my client has activated their Okta account?

An Admin user in your firm can check if your client has successfully completed their registration, by looking for the Okta Identifier appearing on the Admin section of the platform.



Why has my client not received the automated welcome email?

A client access profile must be active and have a valid unique email address prior to the automated welcome email being generated.

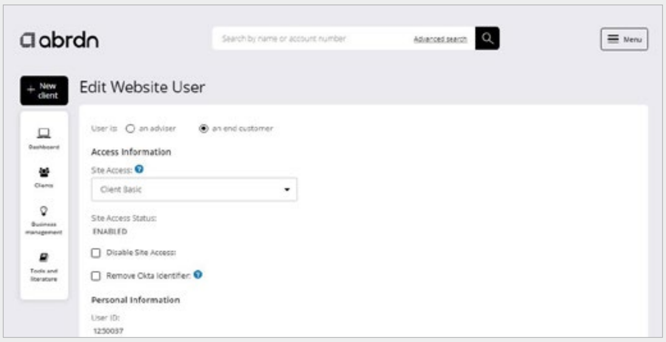
How can I view and update my client's email address and access profile?

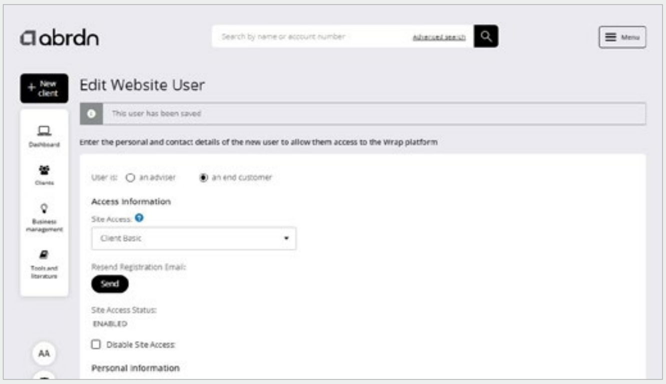
An admin user within your firm can view and update a client email address and access status via **Dynamic Menu > Users and access > Access Management > Find user** and searching by your preferred criteria.

To activate a disabled client profile, click on Enable Site Access, then check the email address is valid and submit.

Once submitted, an option to send a copy of the automated welcome email will be available for you to send to your client. This must be sent to enable the client to register.

If all details are correct and your client is unable to locate their automated welcome email, you will have the option to resend.





My client has received their welcome email and registered for Okta but is unable to login into their account

Once a client has registered with Okta, they will receive an email to activate their account.

If your client has not received this email and activated their account, please contact 0345 268 0280 (Mon-Fri 9am-5.30pm. Call charges will vary.) And an activation email will be resent to your client.

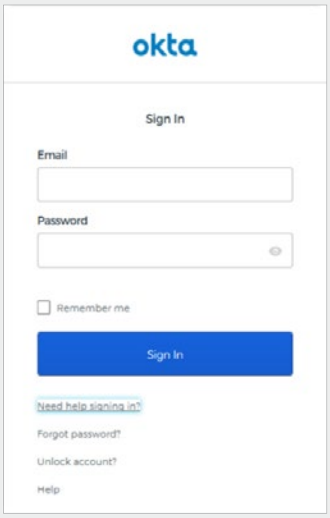
My client has forgotten their password and/or locked their account

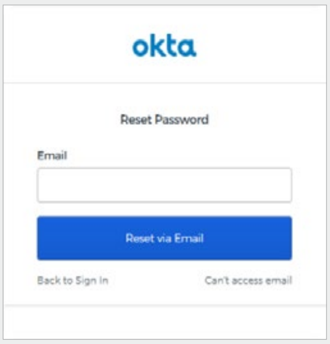
Your client can reset and unlock their account via the 'Need help signing in' self-service functionality found on the Okta login screen.

An email will be generated to the client, at their registered email address on Okta, allowing them to create a new password or unlock their Okta account.

Please note that unlocking an account does not update or reset a client password.

If your client is still unable to login, please call us on 0345 268 0280 (Mon-Fri 9am-5.30pm. Call charges will vary.)





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