4Advisors 3.0

ACT4ADVISORS GETTING STARTED GUIDE

Getting Started Guide

Windows 2000

Windows XP Professional

Windows XP Home

Act4Advisors Software (A4A)

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Released: 3.0 01/07 for ACT! 8.0 and 9.0 users

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CHAPTER 1

Overview of Act4Advisors

ACT! by Sage Software is the leading contact management software in the world. With over 4 million users and over 16,000 corporate accounts, ACT! has become number one by including powerful features with ease of use and affordability.

Out of the box, ACT! does not come customized for the businesses who will be using it. ACT!'s design functions do allow flexible customization but most business people do not have the knowledge of databases nor the time to learn.

Act4Advisors is a customized ACT! database, screen layouts, reports, macros, queries and other programs specifically designed for financial planners, investment advisors and other financial practitioners. Act4Advisors gives the user ALL of the capabilities and functionality of ACT! but adds a customized interface with data fields and functions that most financial professionals need and want, thus saving the professional from the time and expense of trying to customize the software themselves.

Please be aware that this manual is brief in summary. Act4Advisors 2.0 requires ACT! 6.0. You should consult your ACT! documentation about ACT! features and how to use the ACT! software.

ACT! Features Helpful to Financial Professionals

- Calendar and schedule that can be shared with others in the office.
- Delegate tasks to others in the office
- Find out what has been completed and what has not
- Easily "mail merge" contacts to letters, emails and faxes
- Record conversation notes that are date and time stamped
- Attach files to the contact record such as spreadsheets, letters, financial plans, proposals, emails, faxes, etc.
- Track the sales process and sales opportunities

- Mail Merge contact information directly into your word processor documents
- Email directly from ACT!
- Fax directly from ACT! with optional Winfax software
- MAINTAIN CONTACT WITH CLIENTS AND PROSPECTS !!!

Act4Advisors Features

- Track personal information such as names, dates of birth and social security numbers of each family member
- Automatically fills in Spouse Last Name
- Immediate access to client files on your computer or server from within ACT!
- Optionally scan documents directly into the client's defaulted folder via PDF, TIF and other formats.
- Automatically calculate ages, minimum required distribution dates and retirement dates
- Track various phone numbers and two residential addresses and two business addresses
- Tracks Hobbies\Interests, Clubs\Affiliations and Keywords that are user defined
- Track insurance policies
- Record tax information
- Record securities held
- Established Marketing and Service Letters
- Preset Activity Series created from "best practices" for Drip Marketing, ACATs, Insurance Underwriting and Seminar Planning
- Record account numbers and web links to the investment accounts web site
- Manually enter current asset allocation
- Record client goals
- Record client's other advisors and their phone numbers
- Record account information necessary for a new account form
- Integrated web access via the Web Info tab
- Optionally fill in New Account Form, Annuity or Mutual Fund App with Laser App

CHAPTER 2

Act4Advisors v. 3.0 Requirements:

ACT! 2006 Standard or Premium v. 8.02+

ACT! 2007 Standard or Premium v. 9.01+

ACT! 2008 Standard or Premium v. 10.0+

Recommended Hardware:

For requirements please visit our website—http://software4advisors.com/requirements

Please Read:

Single User Licenses will install the entire program at once.

(See Unlock Instructions on page 7)

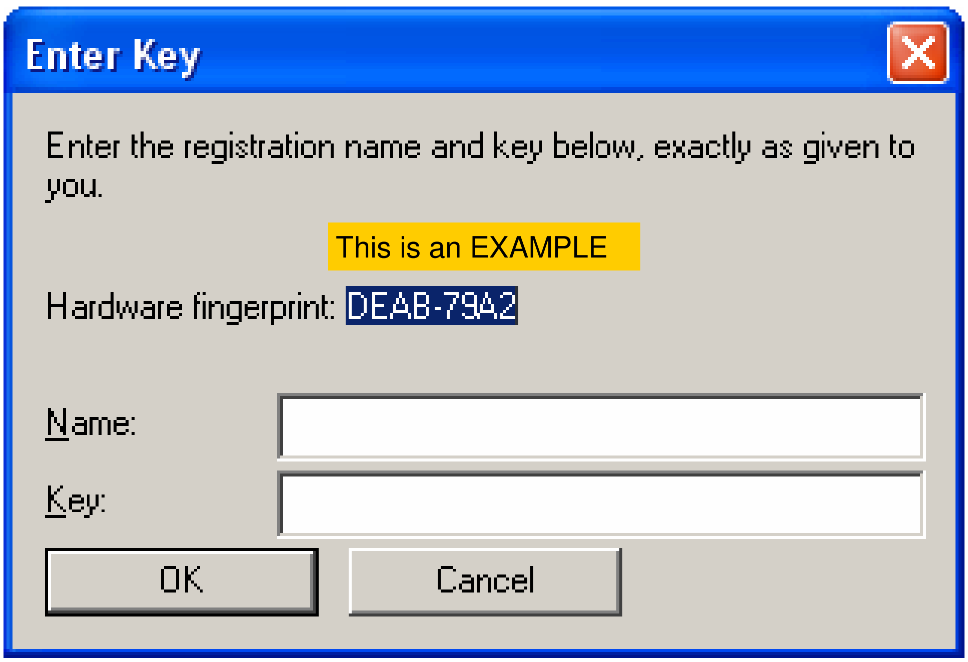
Network users will need to run the Database Installation first on the Server or Host computer. During the installation you will be prompted for your Key code. After installing the database. Install the Workstation Installation on each workstation. Again, you will be prompted for the Key code.

(See Unlock Instructions on page 9)

Unlock Instructions:

- **Step 1.** Close ACT! and all programs. Download software.
- **Step 2.** Open/run. It will say, "It requires a security key.." Press "OK"

- **Step 3.** Highlight, copy and paste the Hardware Fingerprint into an email addressed to support@software4advisors.com The hardware fingerprint is located right above where it is prompting you to enter in Name and Key.

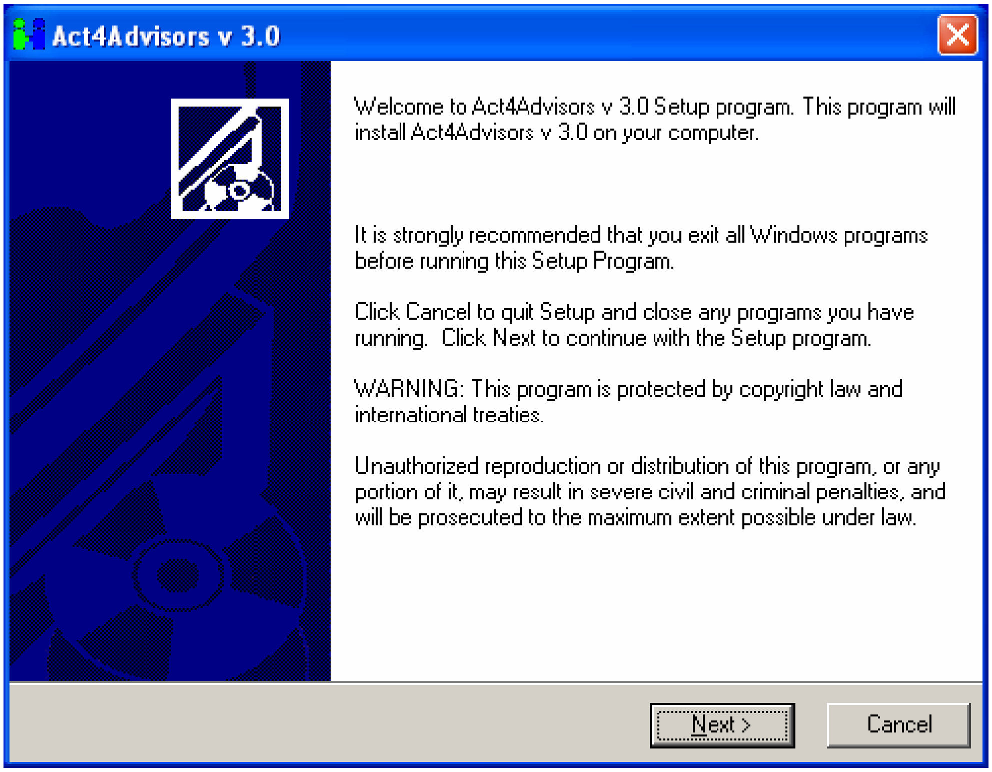


NOTE: Your e-mail must include the Registered User Name or the person who had purchased the software, company name, and phone number. Include in the Subject of your e-mail: KEYCODE REQUEST—(NAME OF LICENSEE)

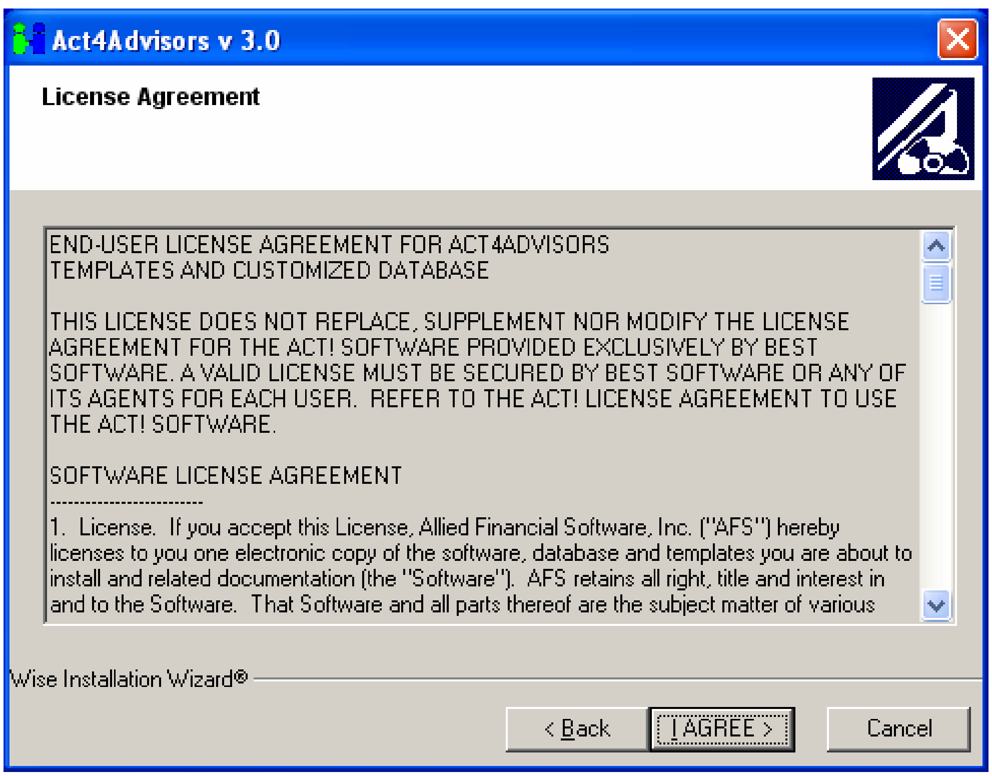
- **Support will generate the Name and Key provided by the hardware fingerprint.**

- **When you receive name and key repeat steps 1 and 2 - complete the installation.**

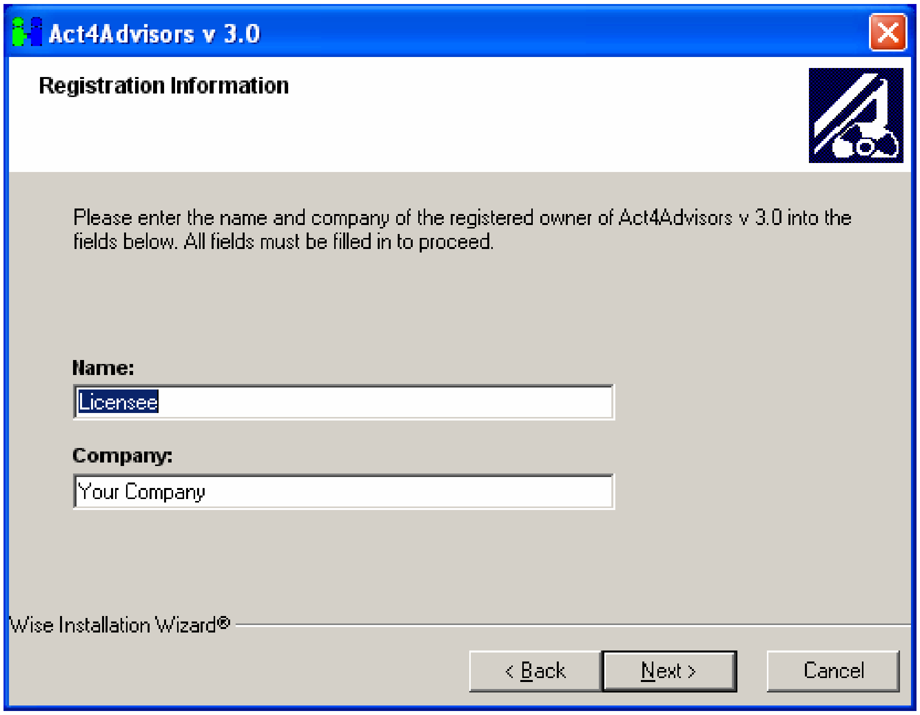
This combination of name and key will "unlock" the installer on this computer. Once the installer is unlocked, you can reinstall the software on this computer without entering the Key code. Note: Each computer and installation type will provide a unique hardware fingerprint—we will generate a key code based on the hardware fingerprint and registered user information.



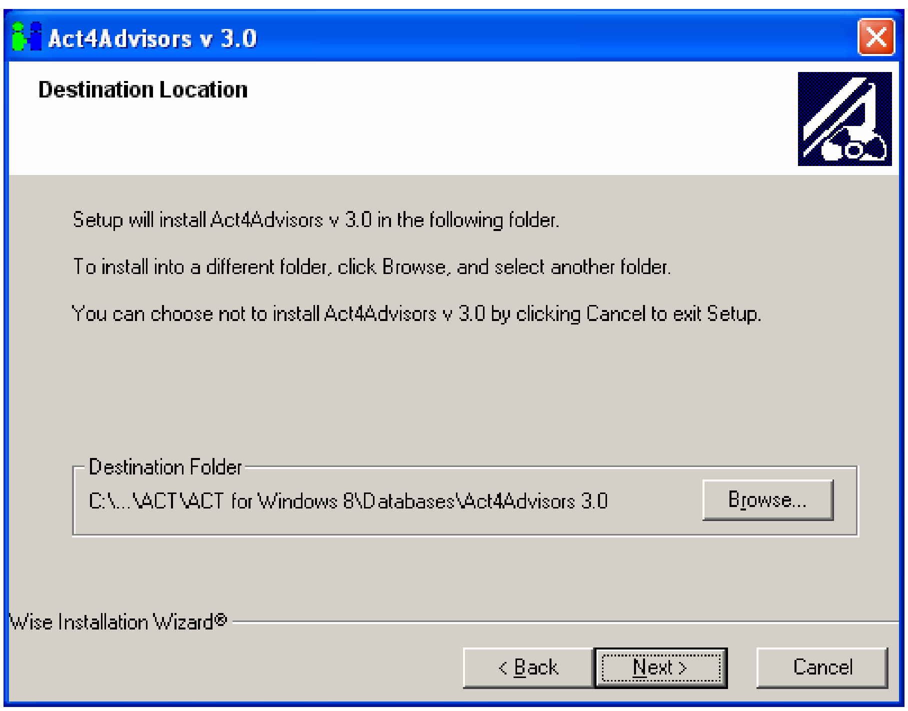
Follow the installation prompts. You must agree to the License Agreement to continue.



You must agree with the license agreement. Read and choose “I Agree” if you want to install and use the software.



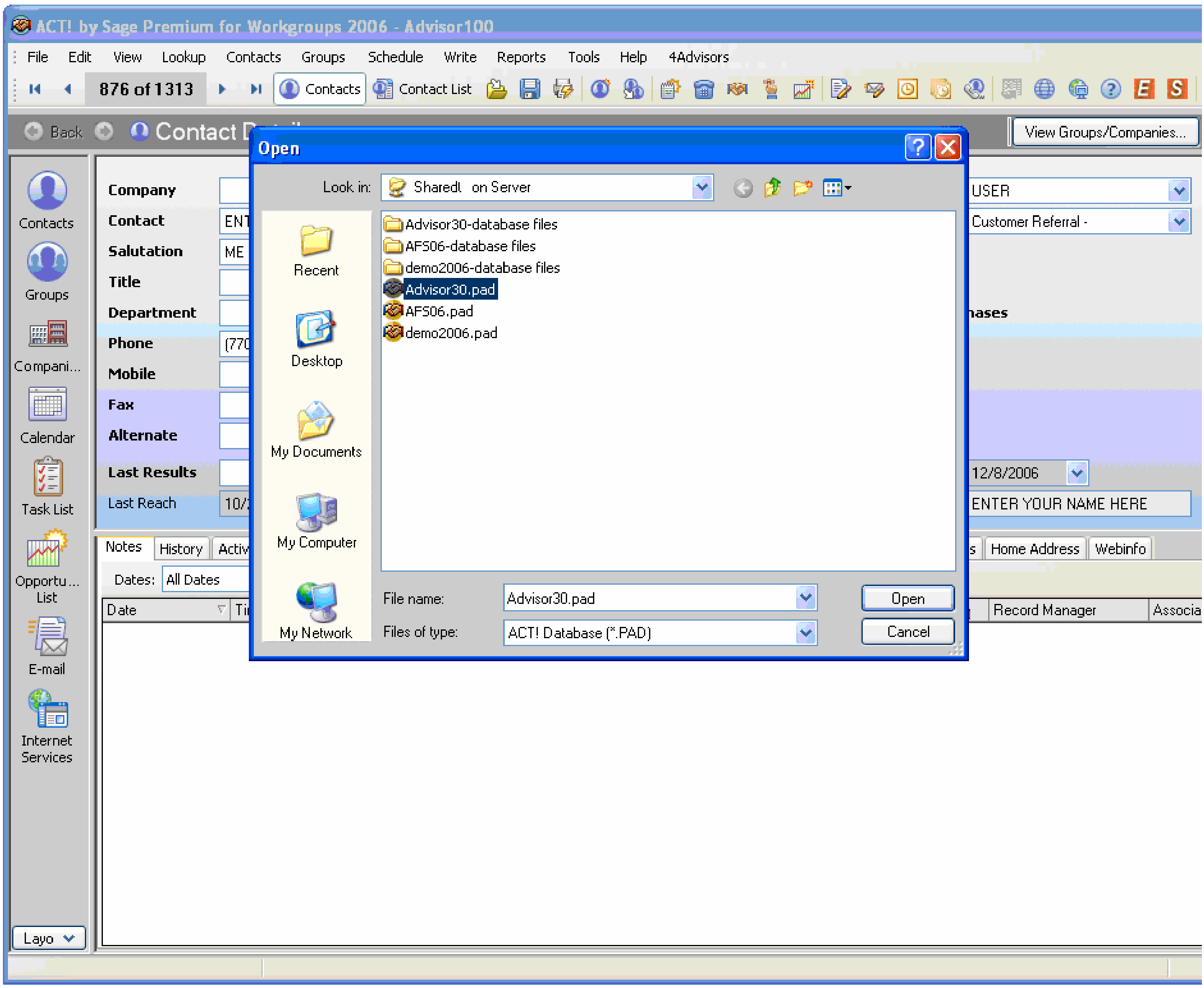
Enter the licensee's name and company.

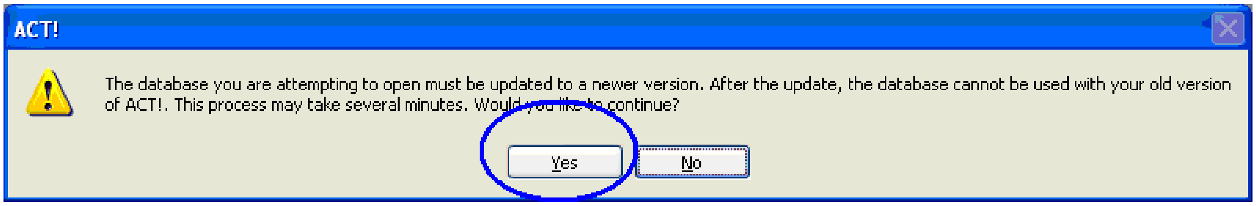


Choose your database location. The database can be installed on any drive but it must be first opened from the server computer where the database resides.

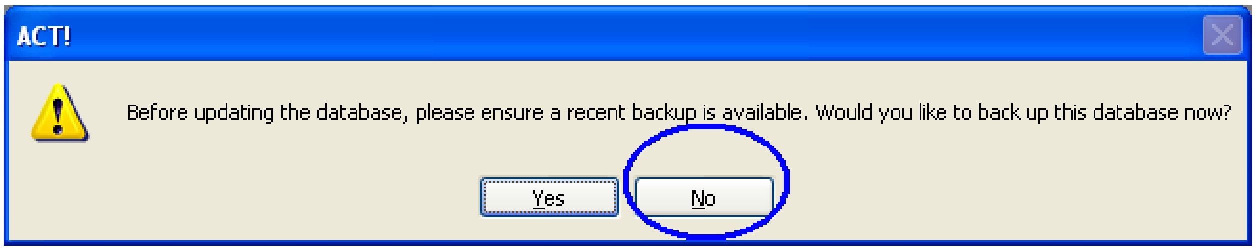
Opening the Database

After the software has finished installing, open ACT! and click on File > Open. Choose the **Advisor30.pad** file. **Note to Network Users:** You must open the Act4Advisors database from the server before any other user can login.

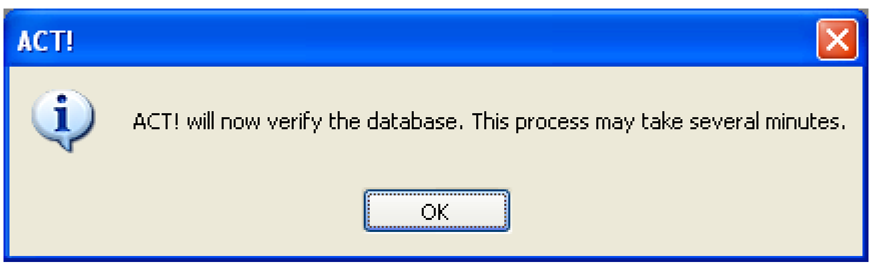




If you are using ACT! 2007, ACT! will prompt you to update the software.
Choose Yes.



ACT! will prompt you to backup the file before you open the database but this is not necessary to accept. **Choose No.**

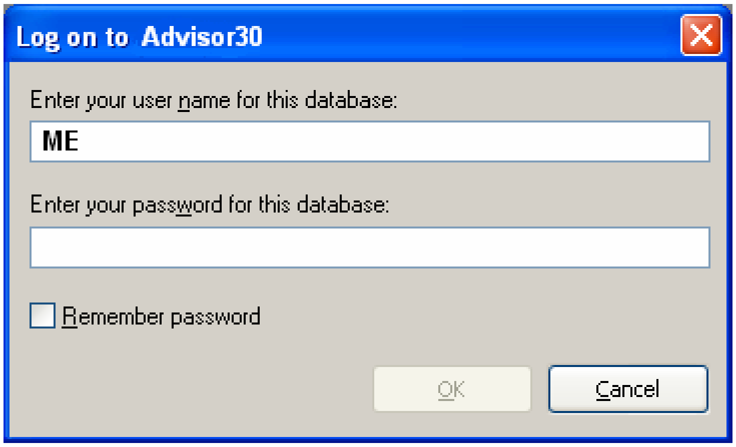


ACT! will then update and attach the database.

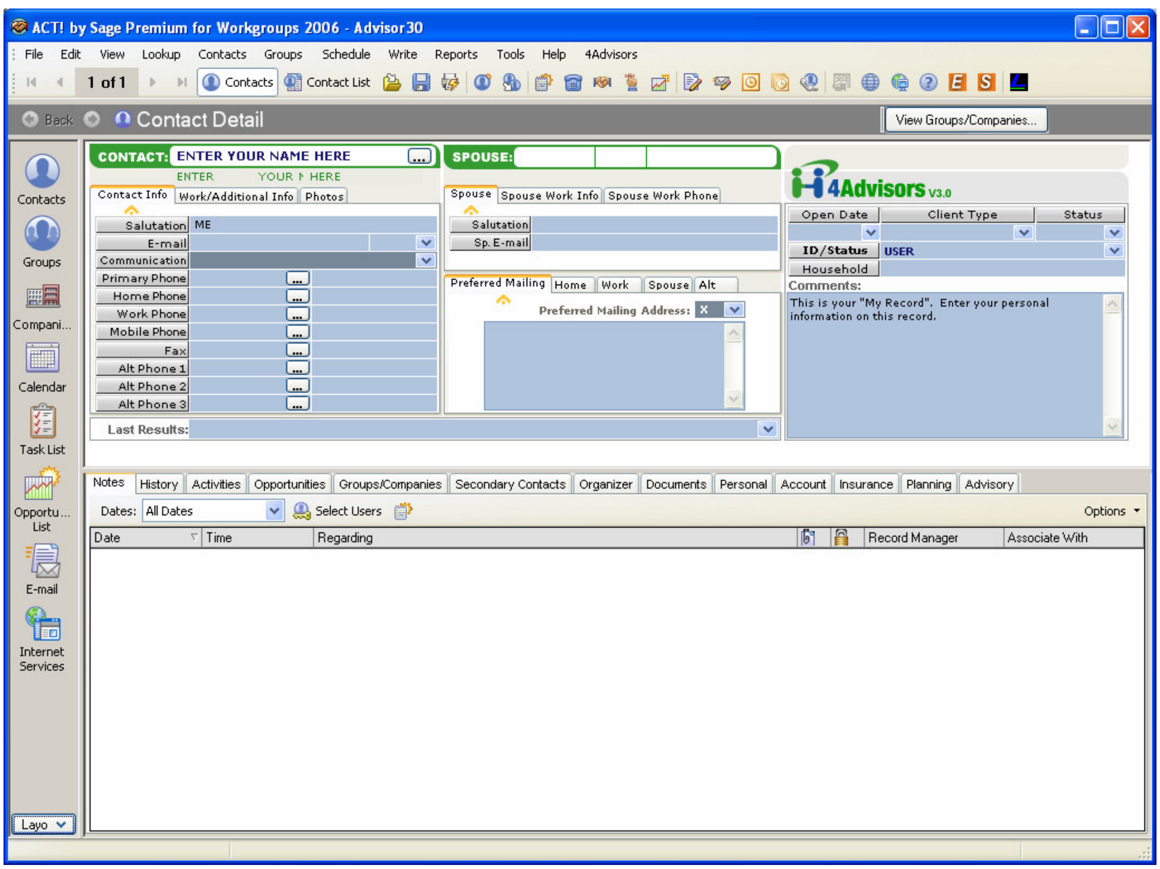
After the database has been updated and verified, ACT! will open the Act4Advisors database.

Logging into to the database

The first time you open the database, you will be prompted to login. **Use the login name ME and no password.** This "User Record" has full administrative rights to the database.



The database will open as pictured below.



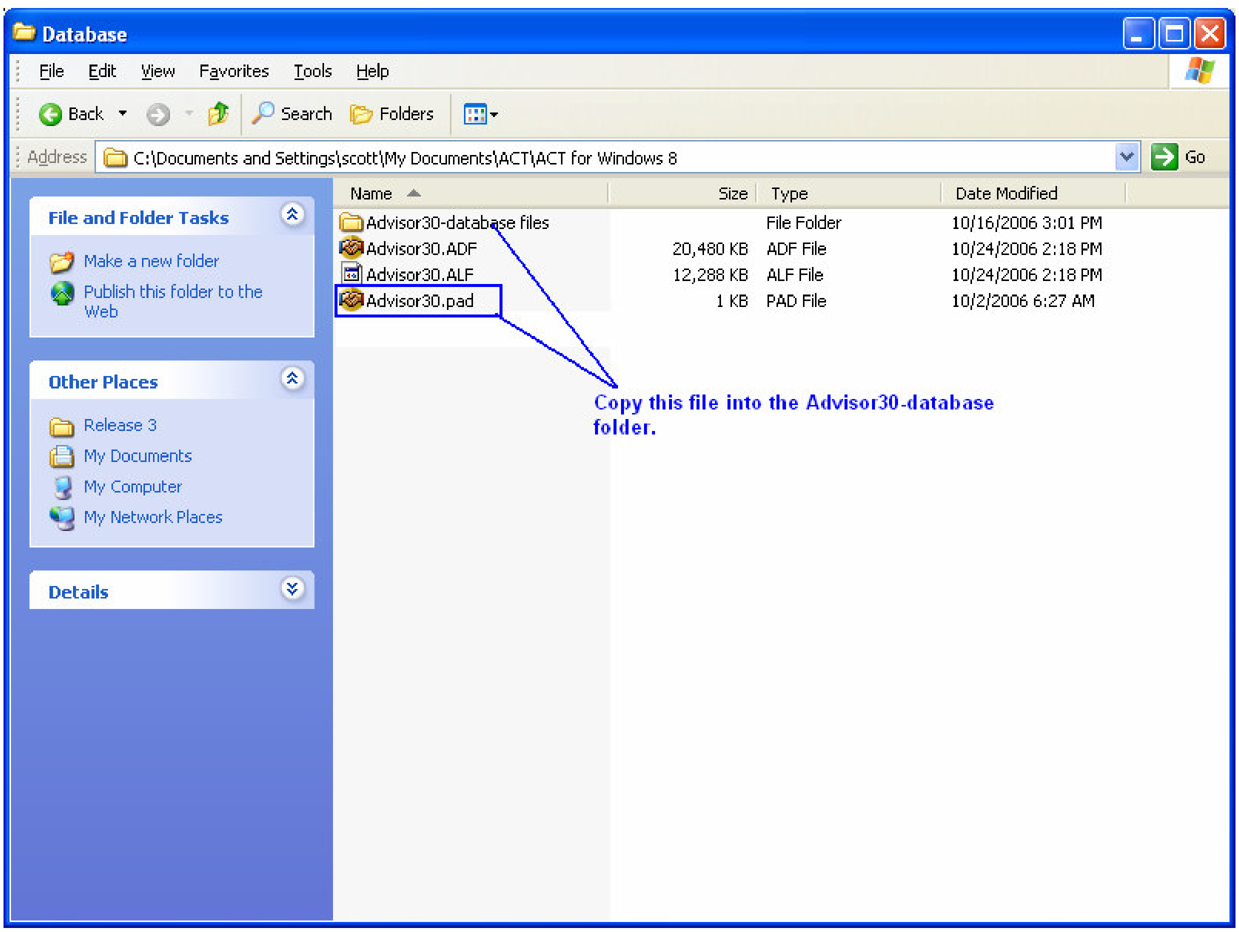
The main contact will be your "My Record". Enter your personal information into this record keeping in mind that your login name is **ME**. You can set a password by clicking on the File menu and choosing Set Password.

If you have a Single User License of 4Advisors 3.0, you are done with this step. You may now import your data or start using Act4Advisors .

Sharing the Database (Network Users)

To share the database with other users, open the database from the server and click on Tools > Database Maintenance > Share Database. The database will now be available to others to open.

Next, browse to the database location and copy the Advisor30.pad file into the database folder above it. This is the file that all users will access when opening the database.



This PAD file is not the database file but is a "pointer" file to the database. If this file does not work correctly, you can let ACT! recreate it or edit it manually with Notepad.

If you would like to recreate the PAD file to correct pointer issues, delete the PAD file in both folders. Next, open ACT! ignore any error you see or close the database, i.e. File > Close.

Next, click on File > Open. Change the file type at the bottom of the dialog box to "ACT! Database (*.ADF)" and select the Advisor30.ADF file. This will recreate the PAD file. At this point, you should copy the new Advisor30.PAD file into the database folder as noted above.

Adding Users to the Database

PLEASE READ! If you plan to import data from another ACT! database including those upgrading Act4Advisors, you should NOT add users following these directions. You should follow our instructions on Data Importing. If you are new to ACT! or are not importing data FROM another ACT! database with multiple users, follow the instructions below.

To add users to the database, click on Tools > Manage Users. You can create a user and set their login name and password or leave their password blank. Simply follow the wizard. The user can be set to "Active Pending Logon" or "Inactive". Once each user has been set to Active Pending Logon, you will then be able to install Act4Advisors Workstation installation on that user's computer.

*Keep in mind that Act4Advisors has a license check program that will check the number of users in the database and compare this with the license level you have purchase. Do not add more Active users than you have licensed.

Also, to keep your data secure, we recommend that all users set a password once they start using the database.

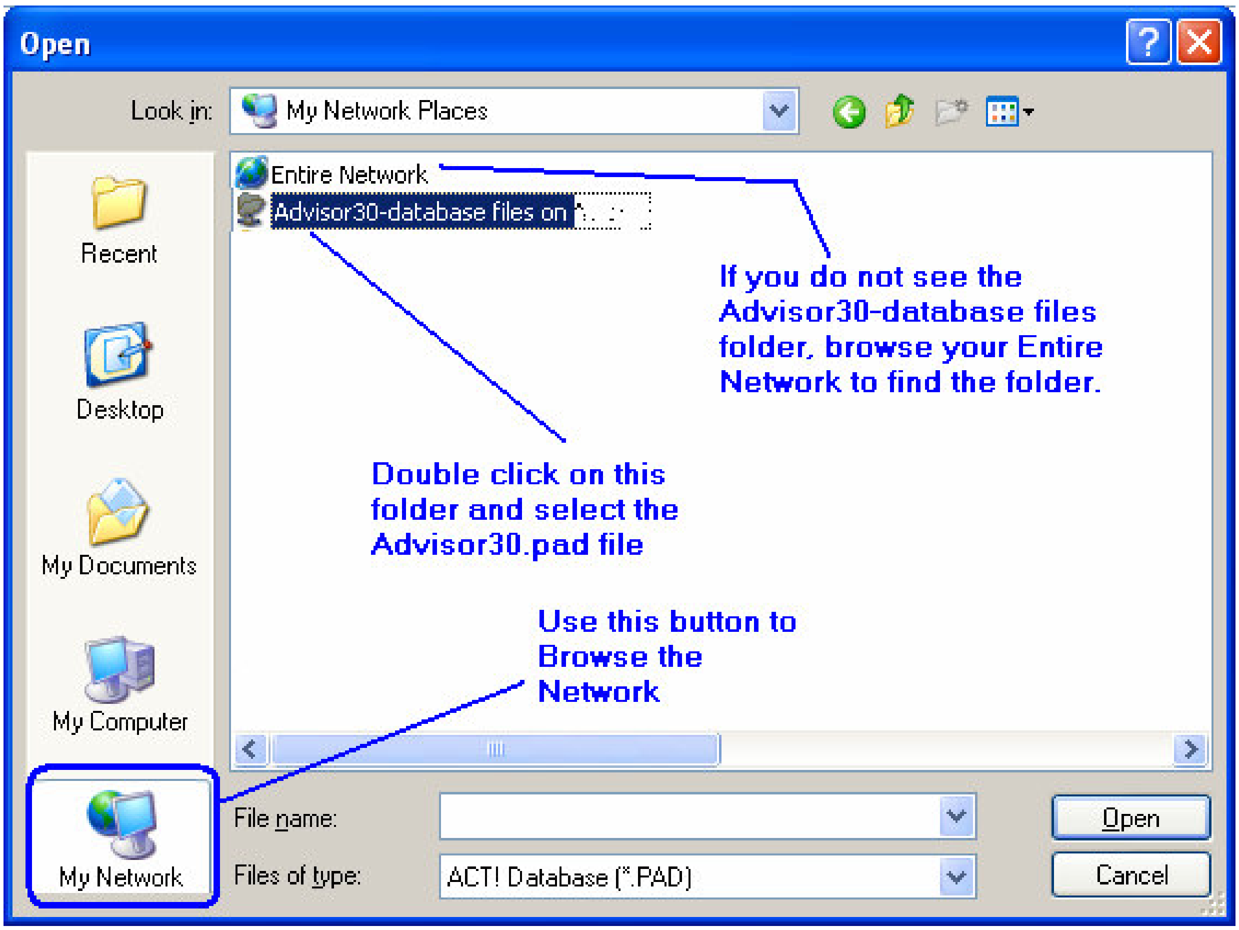
Workstation Installation

Repeat these instructions on all workstations. It is not necessary to install the workstation on the server since the server installation includes the workstation install.

Go to the first workstation and double click on the installation file. Follow the same procedure above for unlocking the installation file. Once you have received the Key code(s) from us, you can proceed with the install. (See the section above for instructions on receiving a Key code). After unlocking, follow the prompts for installing.

Opening the Database Through the Network

After installing the Act4Advisors Workstation, open ACT! and click on File > Open and browse to the location where the database has been shared. The Network icon on the left side of the Open dialog box may help you see the database



When the database opens, you will be required to login. BE SURE TO LOGIN WITH THE LOGIN NAME OF THE USER FOR THAT MACHINE.

Have the user set their password if it has not yet been set.

If you have difficulty with this installation, feel free to contact Act4Advisors support at 770-475-9213. We provide 30 days free installation telephone support.

CHAPTER 3

Act4Advisors Data Conversion and Migration Procedure

Overview:

Near the end of 2004 Sage Software released a new version of their widely acclaimed ACT! software, called ACT! 2005. The software had been in development for over 3 years and was an ambitious effort to take the ACT! software into a new direction.

The new software was re-written from the ground up with a completely new architectural design based on Microsoft's new .NET technology. The database used was Microsoft's MS SQL which gives excellent security and scalability to the ACT! platform. Since there are various versions of the new ACT!, we will refer to it the new ACT! as "ACT! SQL".

As with most new or rewritten software, ACT! 2005 included numerous bugs and defects that rendered the software somewhat useless to many upgraders. Its slowness and plentiful bugs caused many to take the strategy most of us have learned from Microsoft which is "Let's wait".

Since the initial release ACT! 2005, Sage has released two new versions of ACT! and other derivatives of those versions. Each new version has been better than the previous and many of the critical bugs have been fixed. Though the software is very similar in "look and feel" with earlier "Classic ACT!" programs, the new software does behave differently in some ways from the old. As a result, we find that most long time users will have to get used to the new ACT! Also, it is important to know that ACT! SQL cannot be saved "back to" ACT! 6.0. In other words, if you upgrade and then start inputting data into the new ACT!, you cannot go back to the old ACT! without expense and an outside consultant.

Because of the complete differences in structure and architecture, the conversion process from ACT! 6.0 to ACT! SQL includes numerous steps. These steps have been established as best practices by both Sage Software and many ACT! Certified

Consultants. We have modified these best practices slightly based on our own experience but we do suggest that you consult ACT!'s website for more information.

The process will include these broad steps:

1. Copy your ACT! 6.0 database to a new folder.
2. Remove old data and any blank records or unneeded data.
3. Run a Compress and Reindex on the database in ACT!
4. Run the ACT! Diagnostic Tool and Scan and Repair the database
5. Delete unused or unwanted, non-primary data fields from your ACT! 6.0 database
6. Open the ACT! 6.0 database with ACT! SQL and convert the database using the "Custom Conversion" method offered by ACT!
7. For multi-user databases, export the user records to new the new Act4Advisors database
8. Establish the exported contact records as User Records in the new Act4Advisors database
9. Login to the new Act4Advisors database as each user to establish them as full users

Import your data while manually mapping fields to the new Act4Advisors database.

Getting your ACT! 6.0 database ready for conversion

If you have a server computer, it is best to run these procedures from the server itself to improve the speed of processing. Otherwise, copy the database folder to your local computer. If you have sync databases, you will need to combine all databases to the master before beginning.

1. Close ACT! 6.0 on all computers and copy the ACT! 6.0 database folder to a new folder or to your local computer.
2. Open the copied database. i.e. In ACT!, click on File > Open and browse to the folder you just copied.
3. Browse and delete any unwanted or blank contacts
4. Reindex the database, i.e. Click on File > Administration > Database Maintenance > Reindex button.
5. Close ACT! 6.0
6. Click on the Start button > Run > type ACTDIAG and OK button. Note: If you have

already installed ACT! 2007, you will have to browse to the C:\Program Files\ACT folder and double click on the file ACTDIAG.exe. Otherwise, the ACT! 2007 Diagnostic tool will come up. This does not affect ACT! 2006 whose file name is Act8Diag.exe.

7. On the top menu of the ACT! Diagnostic Tool, click on Maintenance > Scan and Repair and follow the prompts. (NOTE: While running, if the ACTDIAG shows any items with red check marks, you "had" or "have" a corrupted database. If you have red check marks, open the ACT! database again and allow it to rebuild the indices. Next, close and rerun this step to make sure the problem is fixed. When all checks are green, you can continue.

8. Close the ACT! Diagnostic Tool

9. Open the database locally and let ACT! rebuild the missing index files.

After rebuilding the index files, click on File > Backup and make a back up of the database.

THE NEXT STEPS ARE OPTIONAL but will improve your chance for a successfully conversion.

The next procedure will require that you to delete any fields from the database that you are not using or do not want to import into the new version. For example, if you do not track insurance data in Act4Advisors, delete all of the policy fields. If you do not input asset allocation data, delete these fields. If you do not track accounts, remove these fields. Deleting these fields will reduce the time for conversion and will allow you to have fewer fields for you to map in when importing to the new database. The new Act4Advisors database will still include these fields but by deleting them from your current database, you will not have to see them when importing.

To delete fields, click on Edit > Define Fields. Locate the fields you do not want to convert over and delete them. **DO NOT** delete these primary fields:

1. Company
2. Contact
3. Address
4. City
5. State
6. ZIP
7. Country
8. Phone

Phone Ext.

The last procedure will require you to purge some “old data” from your database before converting to the new version of ACT! Our main suggestion is to remove old activities including “cleared activities” as well as old “uncleared” activities older than 1 year old. Since cleared activities are written into the History as either Completed or Not Completed, you will continue to have a record of the activities when you convert. The downfall of this is that you will not be able to view your “old” calendar activities in the new ACT!

Uncleared activities are a little more complicated. Many users of ACT! never clear activities. In this case, a decision needs to be made. You have three choices:

You can go ahead and clear all the activities at once and mark them all as “Done” or “Not Done”. If you do this, a history will be created and can be converted.

You can erase all of the activities at once. This would improve your performance but you will not have any record in the new database of the activity.

Do nothing and let ACT! convert the activities. If you have a lot of activities, ACT! may not get all of them and you could lose data in the conversion.

It should be understood that your old ACT! 6.0 database is not going to go away. You will still have access to it if you need it so do not fret over these decisions too much. You will still have your data in another database.

As I mentioned, it should be noted that if you have a large number of activities or old activities, the conversion may have problems.

After clearing all old activities, you can remove the old data before you convert by following these steps:

Click on File > Administration > Database Maintenance

Click on the Data Cleanup tab

Check Cleared Activities Older Than and change the days from 60 to 365.

Check Transaction logs and change 60 to 1.

Finally, click on the Remove Selected Items button. When the process is done you are ready to convert your database.

Converting Your ACT! 6.0 database to ACT! 2006/2007 (aka ACT! SQL)

Important Note for Users of Standard versions of ACT! 2006 by Sage (8.0) and ACT! by Sage 2007 (9.0)with Ten or More Users:

If your ACT! 3.x - 6.x database contains ten or more users, you will be limited to converting nine active users. Your other users will be converted as “inactive” users with no loss of data. The nine includes the user that is required to login to the previous version of ACT!.

If you require more than 10 “active” users, you will have to upgrade your ACT! software to ACT! Premium for Workgroups 2006 or 2007. Contact Allied Financial Software, Inc. sales for more information.

**ACT! 2006 cannot import attached documents and emails from one ACT! 2006 database to another. If this is a concern for you, you should consider upgrading to ACT! 2007 which does not have this limitation.

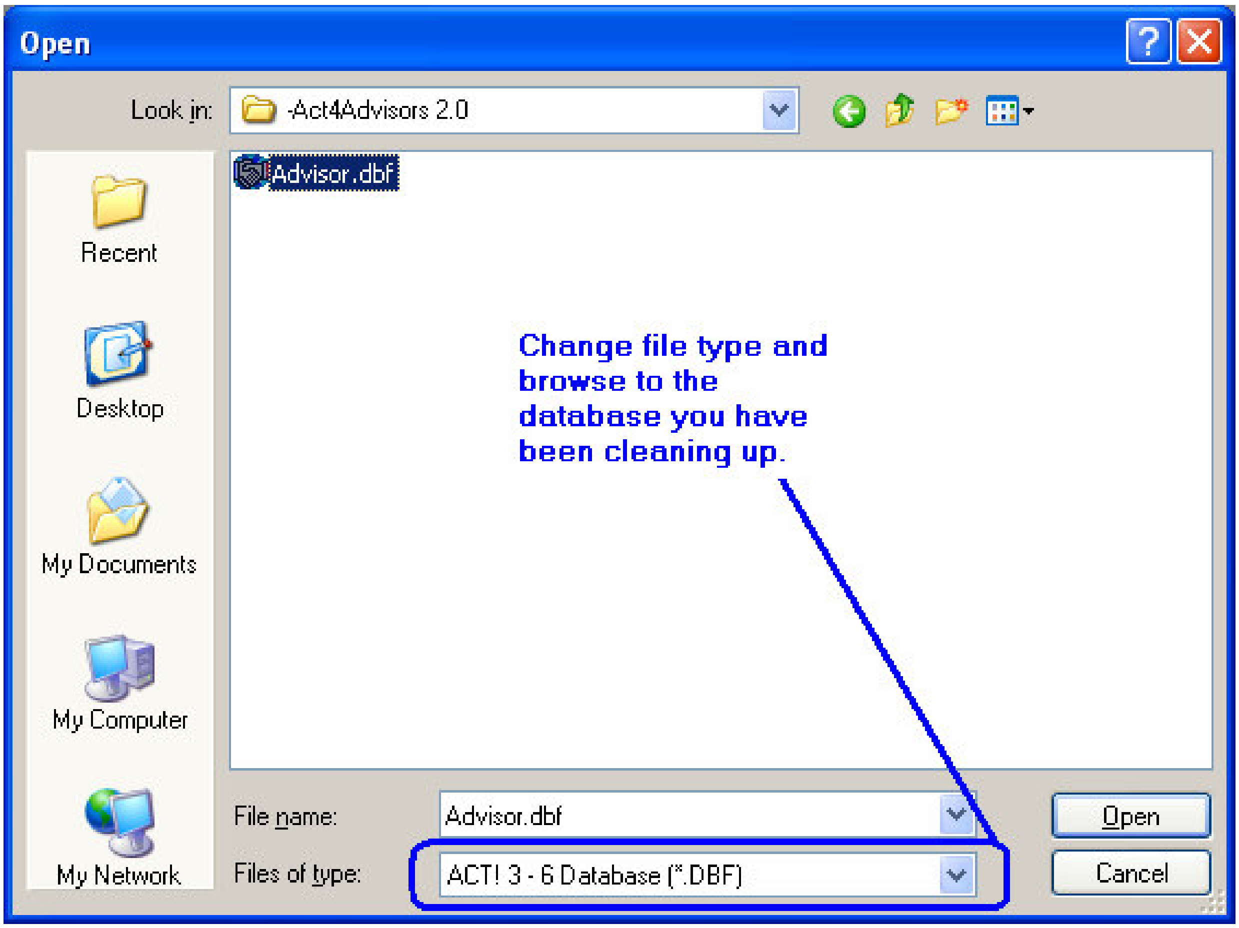
NOTES ABOUT CONVERSION TYPES:

If you are upgrading from Act4Advisors or any other highly customized database, you should use the Custom Conversion offered by ACT! If you have not customized your database, specifically, if you have not added additional addresses or phone numbers, you should choose the Standard Conversion.

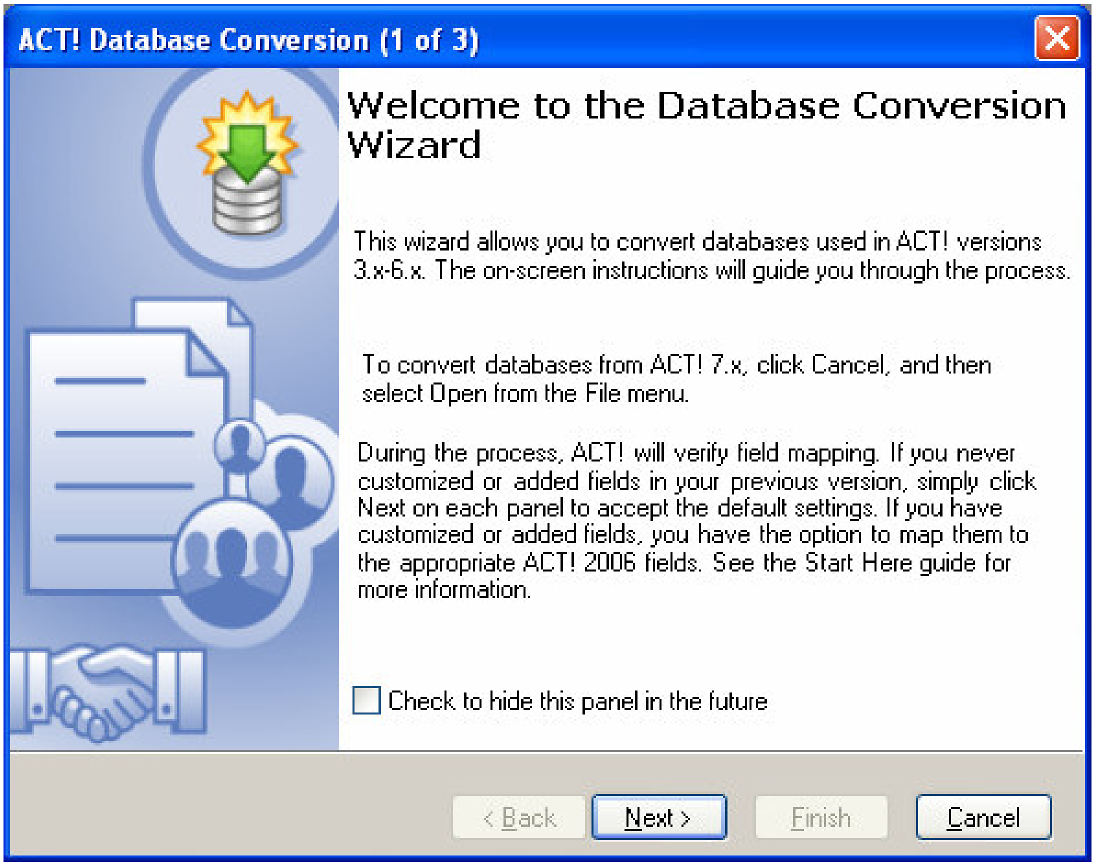
The new ACT! SQL handles addresses and phone numbers differently than the Classic ACT! If a Custom Conversion is not done for databases with custom addresses and phones, these fields will not be available for import into the correct fields.

Start the Conversion

To convert your ACT! 6.0 database, simply open the database with ACT! SQL. Start ACT! SQL and click on File > Open. Change the file type at the bottom of the dialog box to ACT! 3-6 Database (*.DBF) and browse to the database you were cleaning up above.

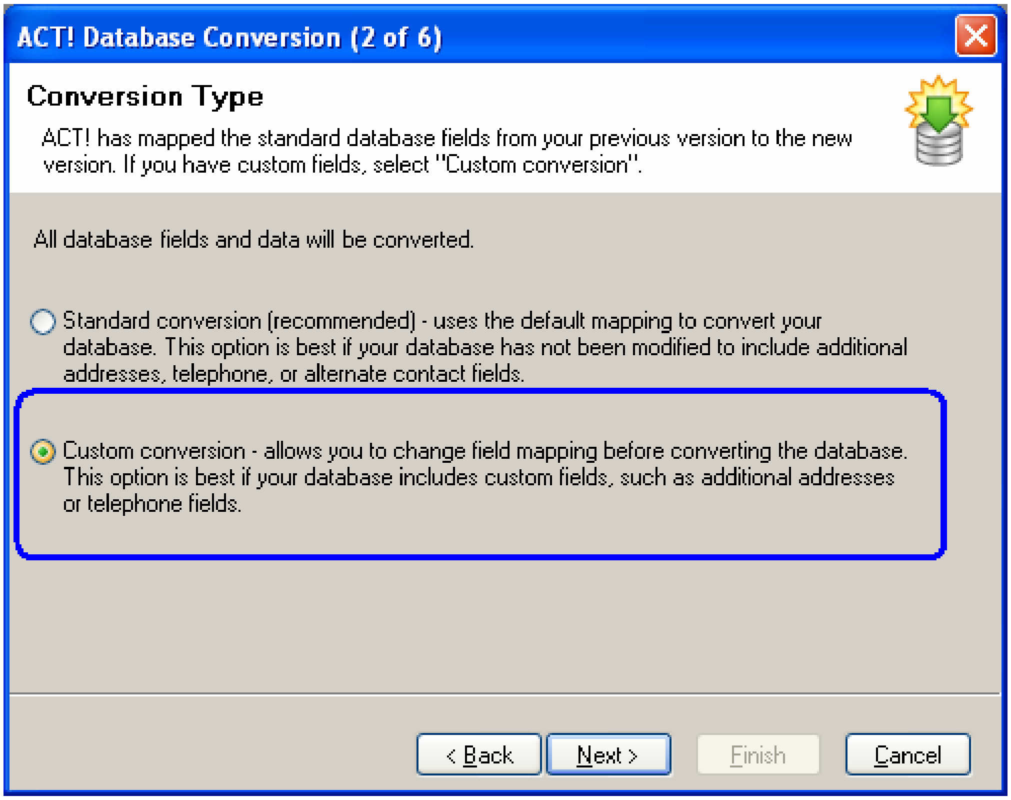


ACT!'s Conversion Wizard

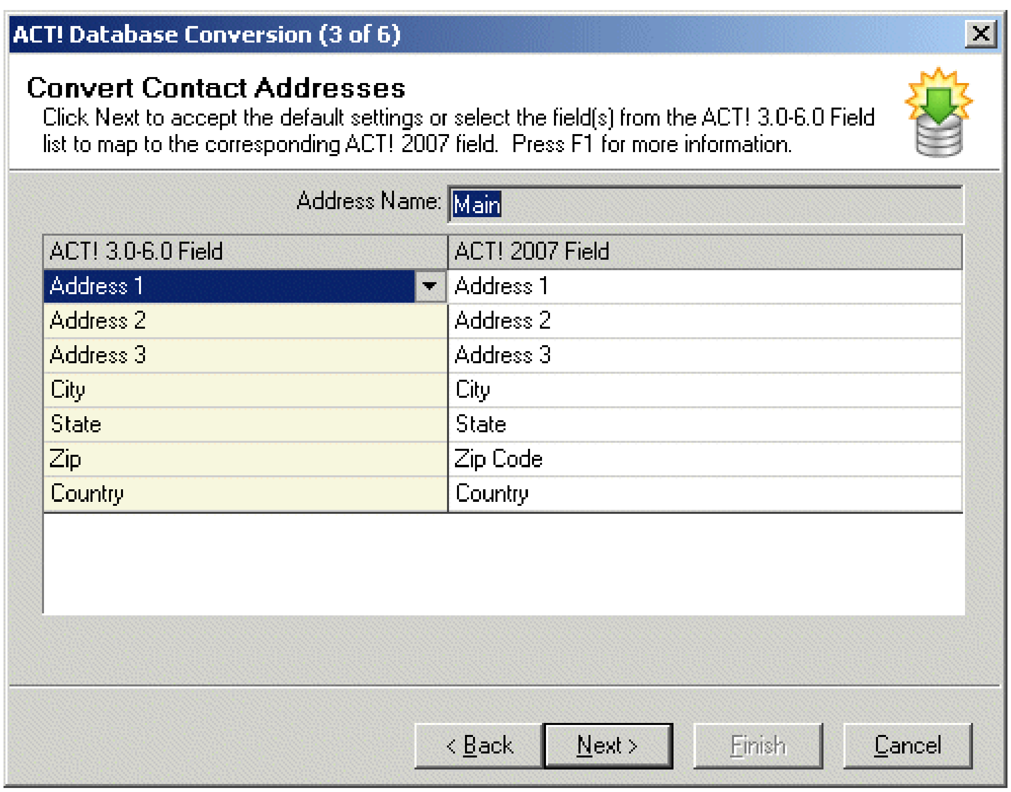


If you are upgrading from Act4Advisors OR any other highly customized ACT! database, choose **Custom Conversion**. Do NOT use Standard Conversion.

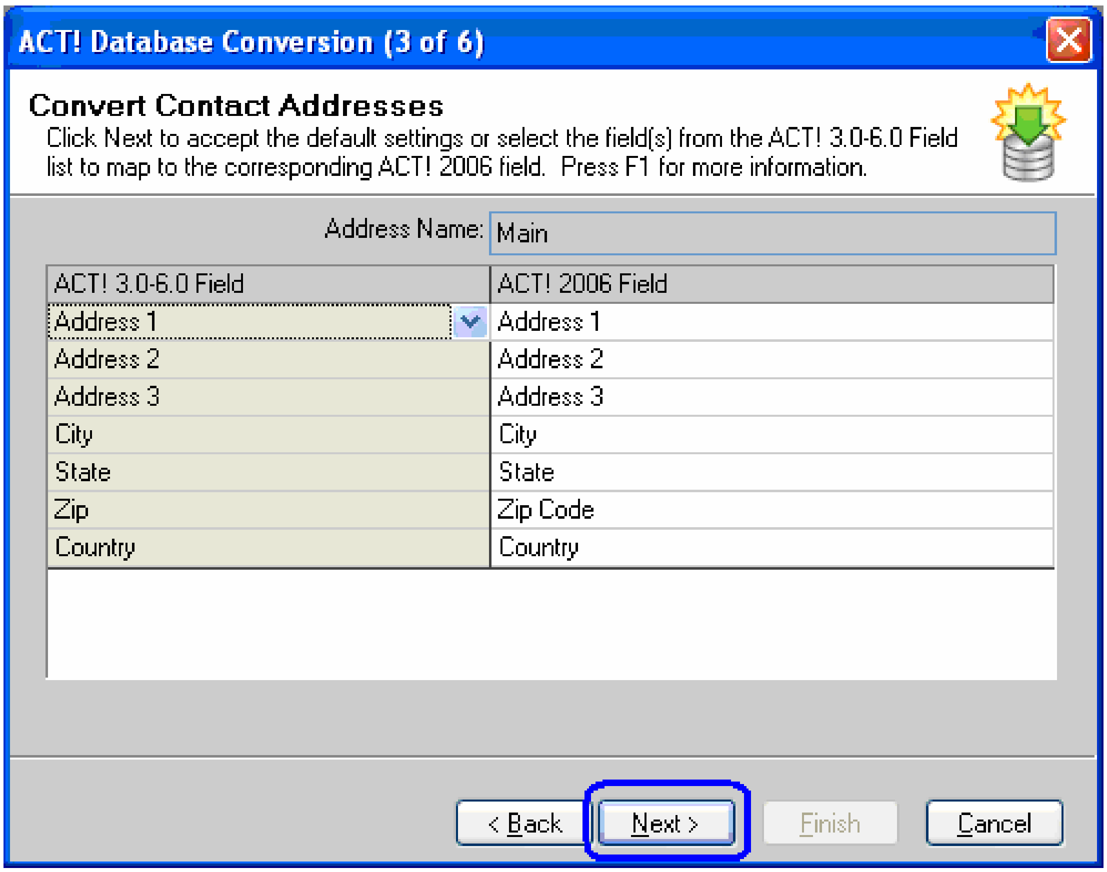
If your database was NOT customized as noted above in the NOTES ABOUT CONVERSION, choose the Standard Conversion and follow the prompts.


ACT! Database Conversion (2 of 6)
Conversion Type
ACT! has mapped the standard database fields from your previous version to the new version. If you have custom fields, select "Custom conversion".
All database fields and data will be converted.
Standard conversion (recommended) - uses the default mapping to convert your database. This option is best if your database has not been modified to include additional addresses, telephone, or alternate contact fields.
Custom conversion - allows you to change field mapping before converting the database. This option is best if your database includes custom fields, such as additional addresses or telephone fields.
< Back
Next >
Finish
Cancel

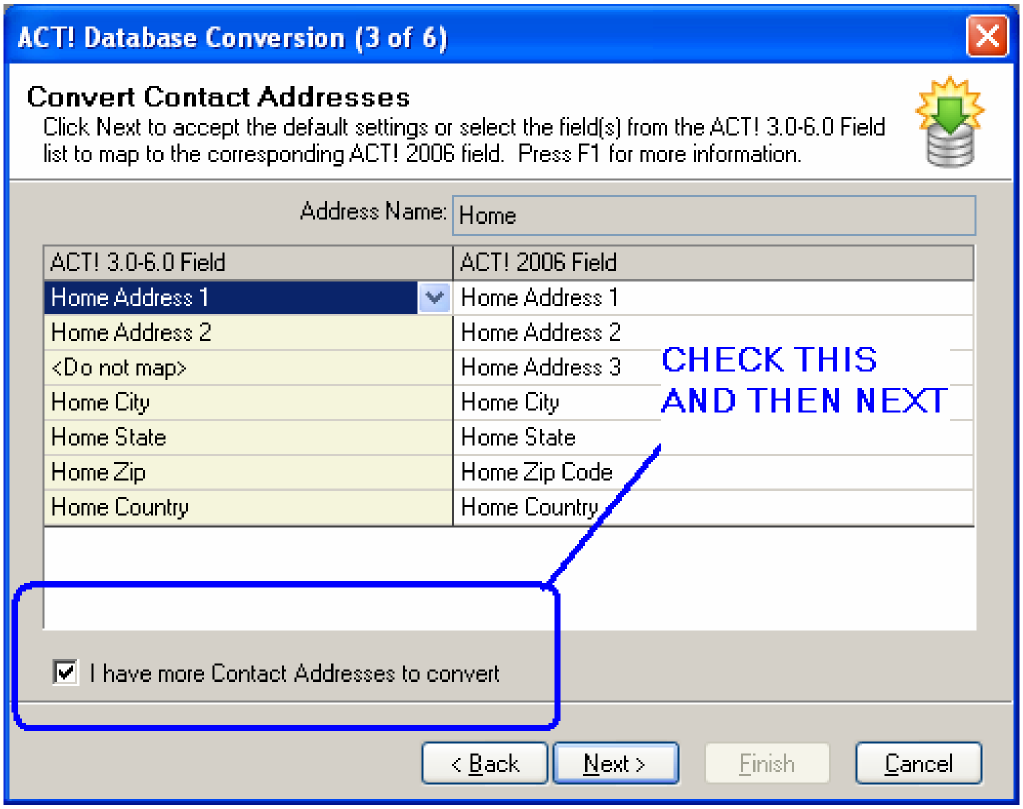
Choose Next


ACT! Database Conversion (3 of 6)
Convert Contact Addresses
Click Next to accept the default settings or select the field(s) from the ACT! 3.0-6.0 Field list to map to the corresponding ACT! 2007 field. Press F1 for more information.
Address Name:
Main
ACT! 3.0-6.0 Field
ACT! 2007 Field
Address 1
Address 1
Address 2
Address 2
Address 3
Address 3
City
City
State
State
Zip
Zip Code
Country
Country
< Back
Next >
Finish
Cancel

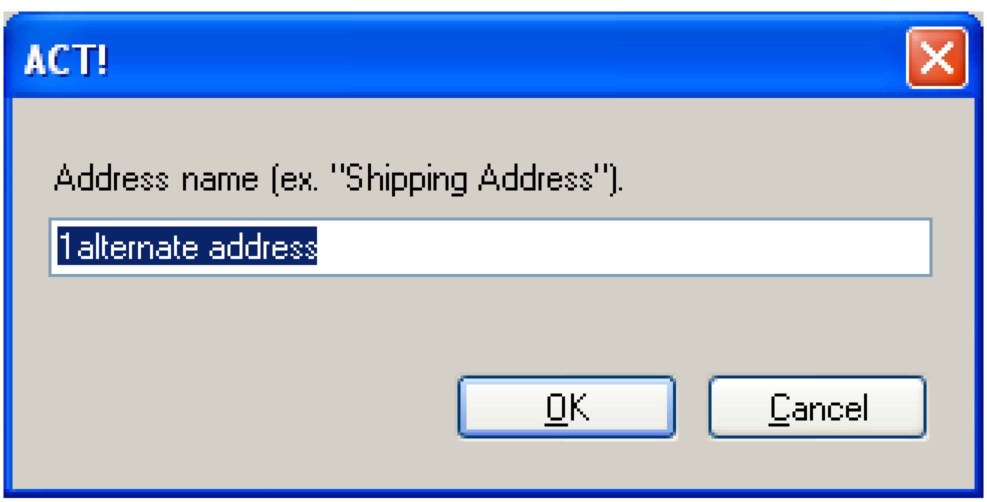
The left column displays fields from the ACT! 3.0 - 6.0 Field (source) database. The right side ACT! 2006/7 Field column displays fields in the (target) ACT! database. Complete the mapping by ensuring the ACT! 3.0 - 6.0 Field column has an entry for each field that you wish to convert. If a field is not mapped in this column, data in the source field will NOT be converted into the ACT! database. To change the mapping of a particular field, click into the entry in the left ACT! 3.0 - 6.0 Field column, and then click the proper field from the drop-down list. When all fields are mapped correctly, click Next. The Convert Contact Address - Home dialog box appears:



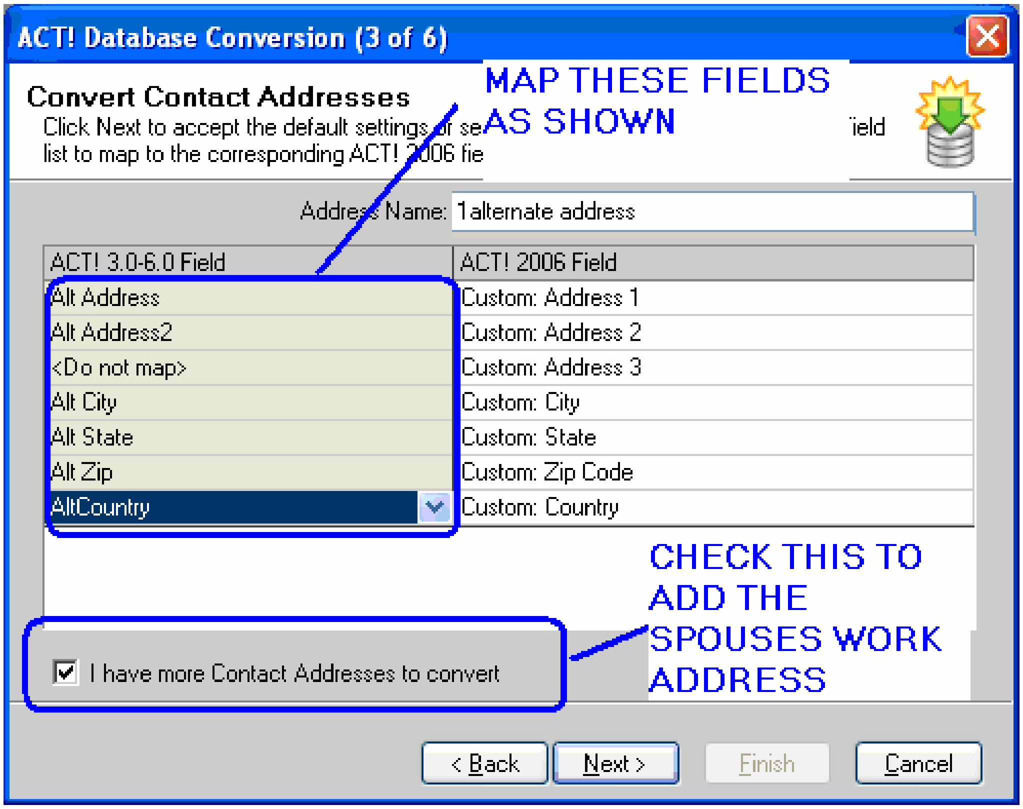
The left column displays fields in the ACT! 3.0 - 6.0 Field (source) database. The right side ACT! 2006/7 Field column displays fields in the (target) ACT! database. Complete the mapping by ensuring the ACT! 3.0 - 6.0 Field column has an entry for each field that you wish to convert. If a field is not mapped in this column, data in the source field will NOT be converted into the ACT! database. To change the mapping of a particular field, click the incorrect entry in the left ACT! 3.0 - 6.0 Field column, and then click the proper field from the drop-down list. Once all fields are correctly mapped, **CHECK the BOX** “I have more Contact Addresses to convert” and then click Next.



For Act4Advisors users, type “1Alternate Address”

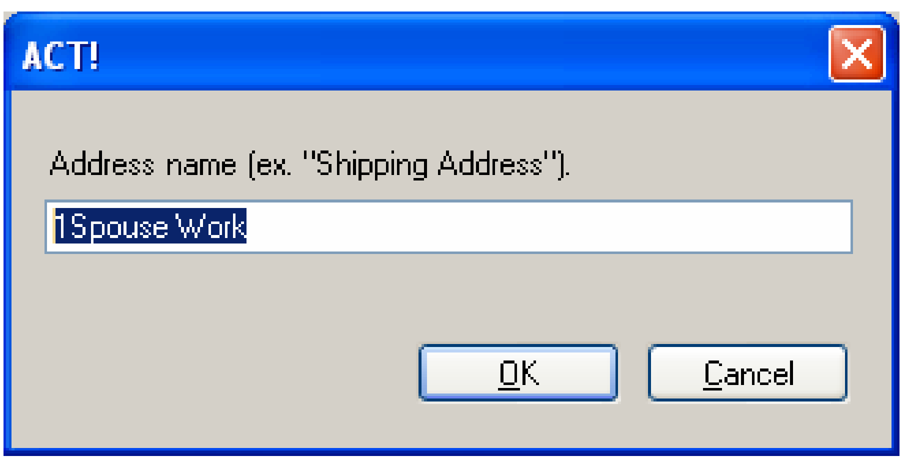


Press OK

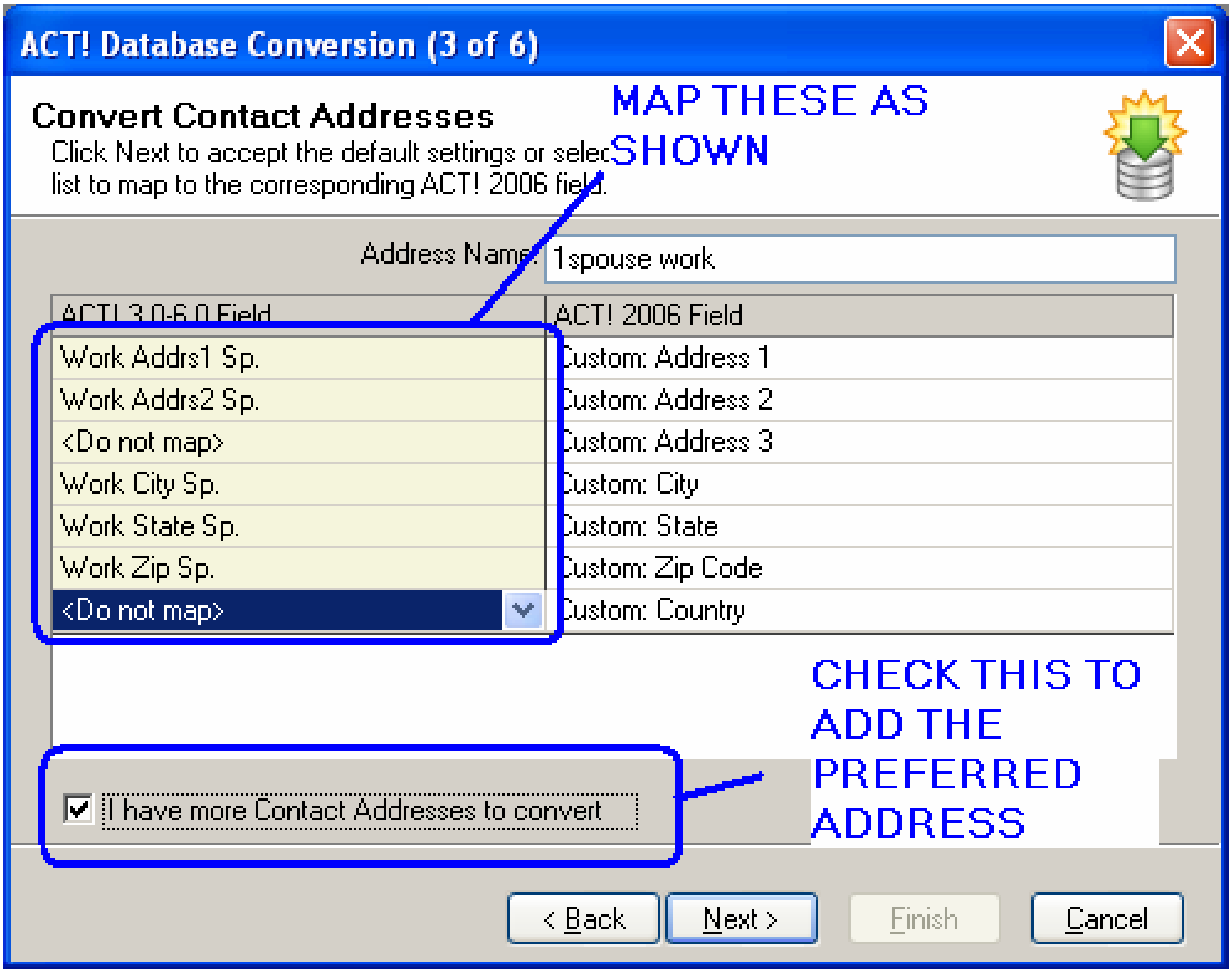


Map the Alt Address fields to the Custom Address fields as shown and CHECK the box to repeat the process for the Spouse's Work Address and choose Next.

Type "1Spouse Work"

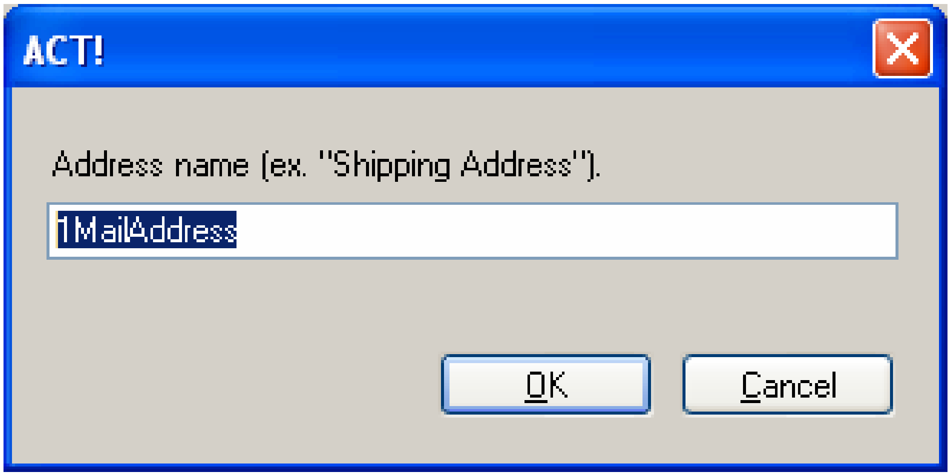


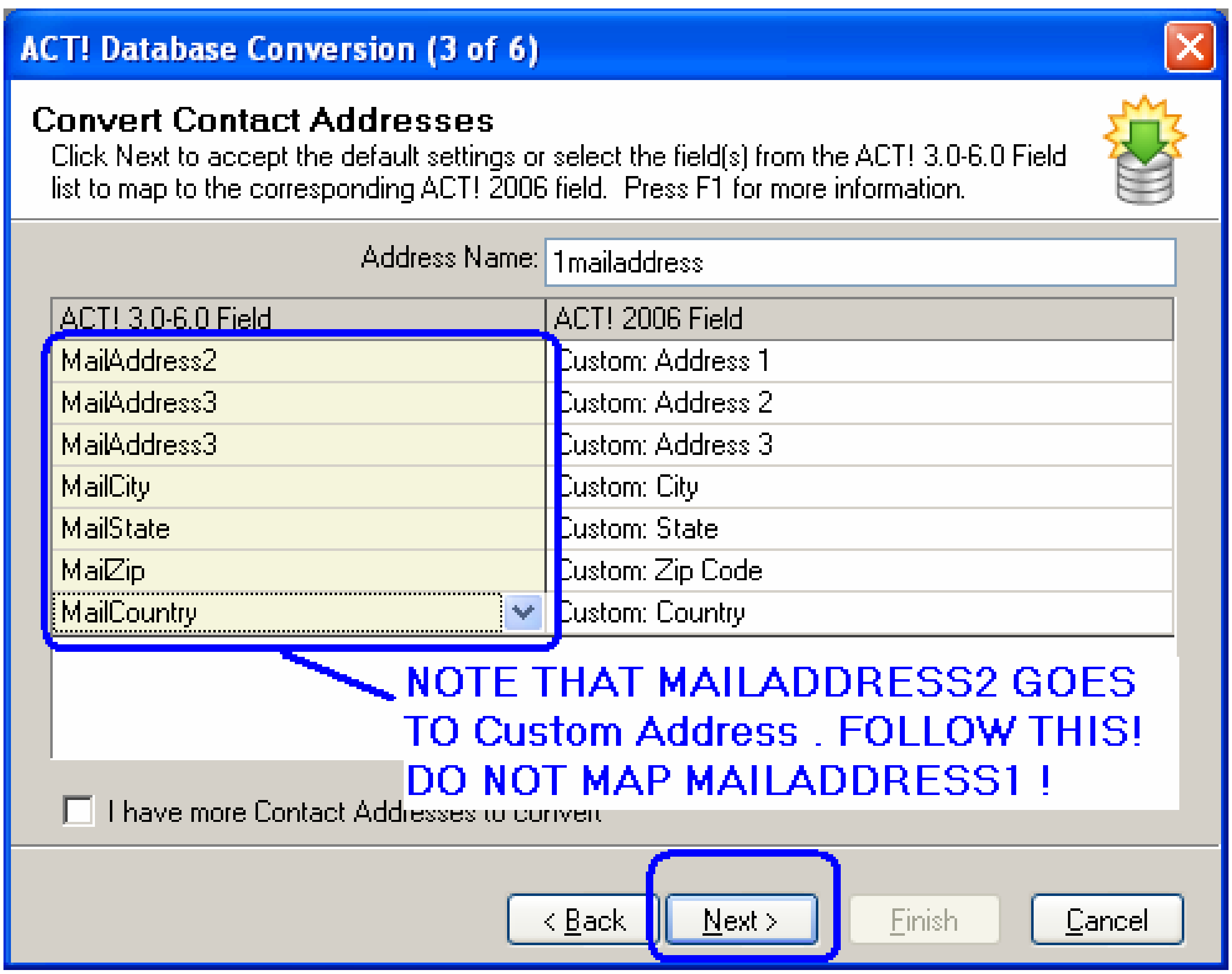
Press OK



Map the Spouse Work Address fields to the Custom Address fields as shown and CHECK the box to repeat the process for the Preferred Mailing Address and choose Next.

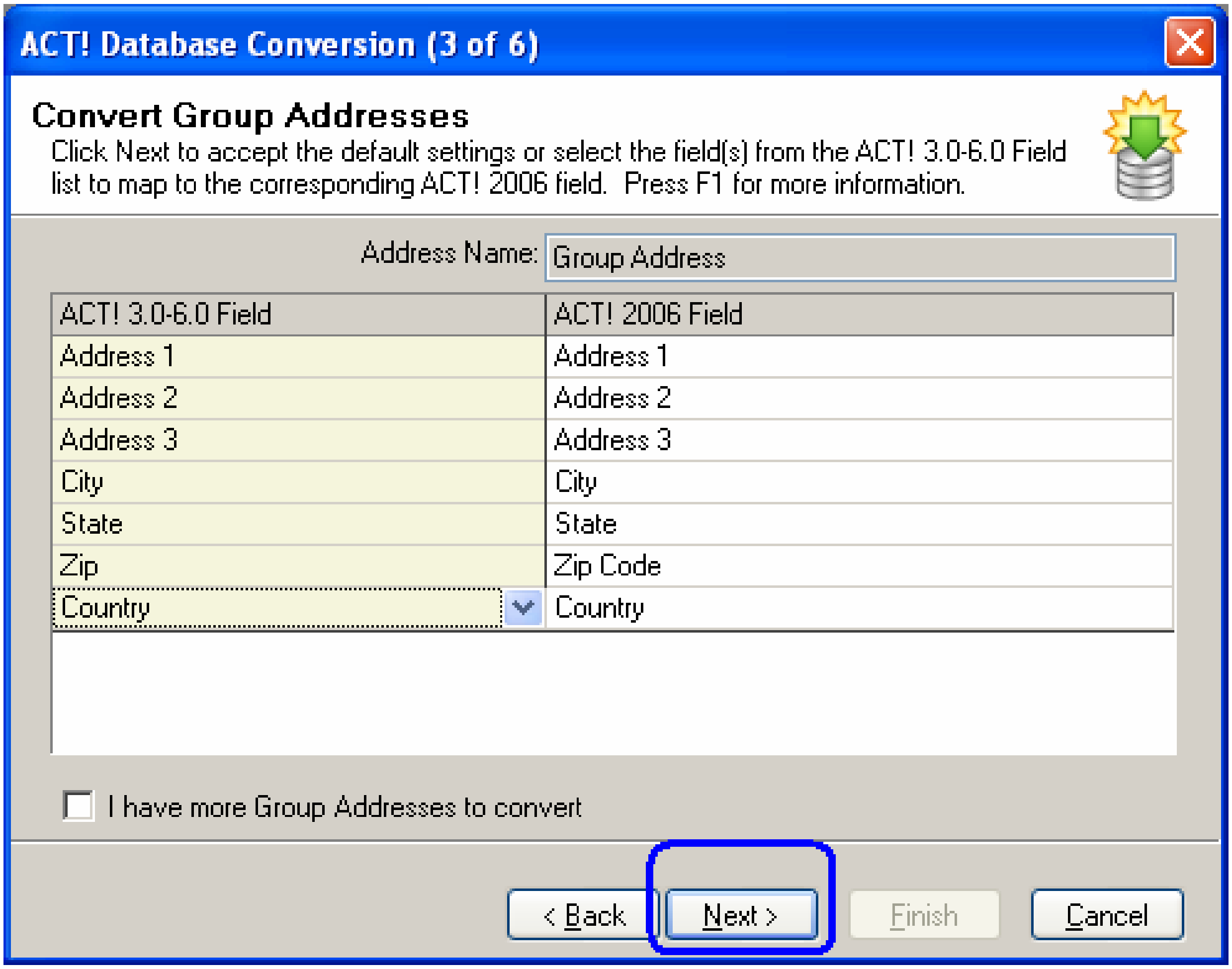
Type “1MailAddress” and Press OK





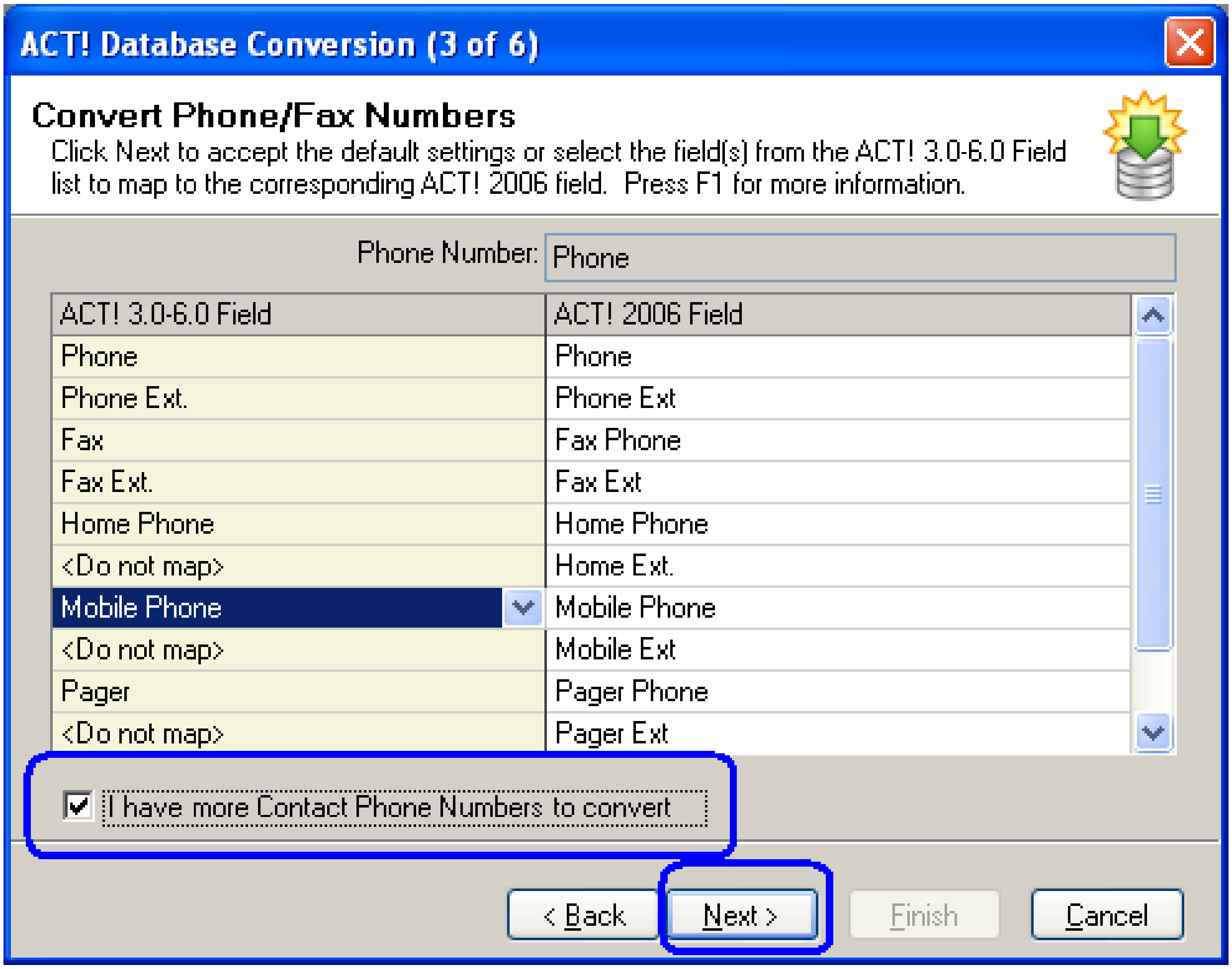
CAUTION: For Advisors users, MailAddress1 does NOT get mapped! MailAddress1 is a mailing name and not an address field. Map the MailAddress fields to the Custom Address fields as shown and DO NOT CHECK the box.

Group Addresses

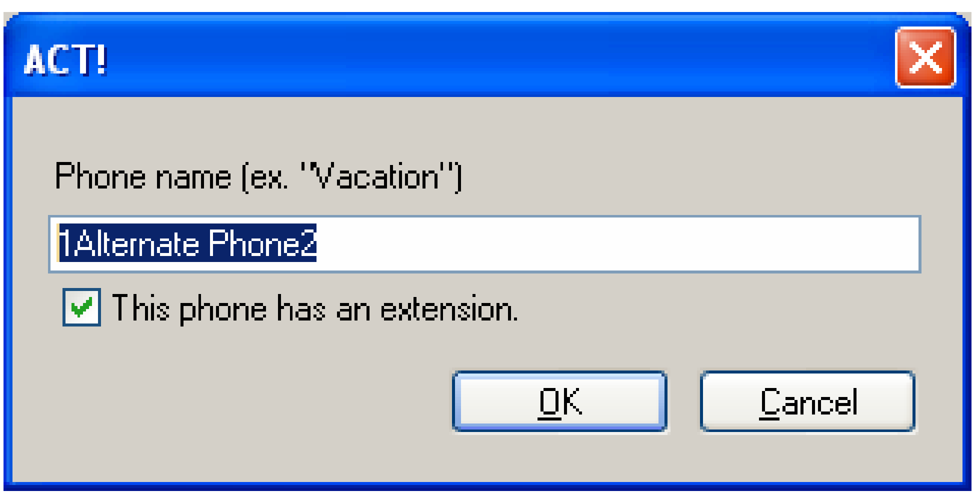


Group Addresses do not need to be changed or added for Act4Advisors. Choose Next.

Phone Numbers

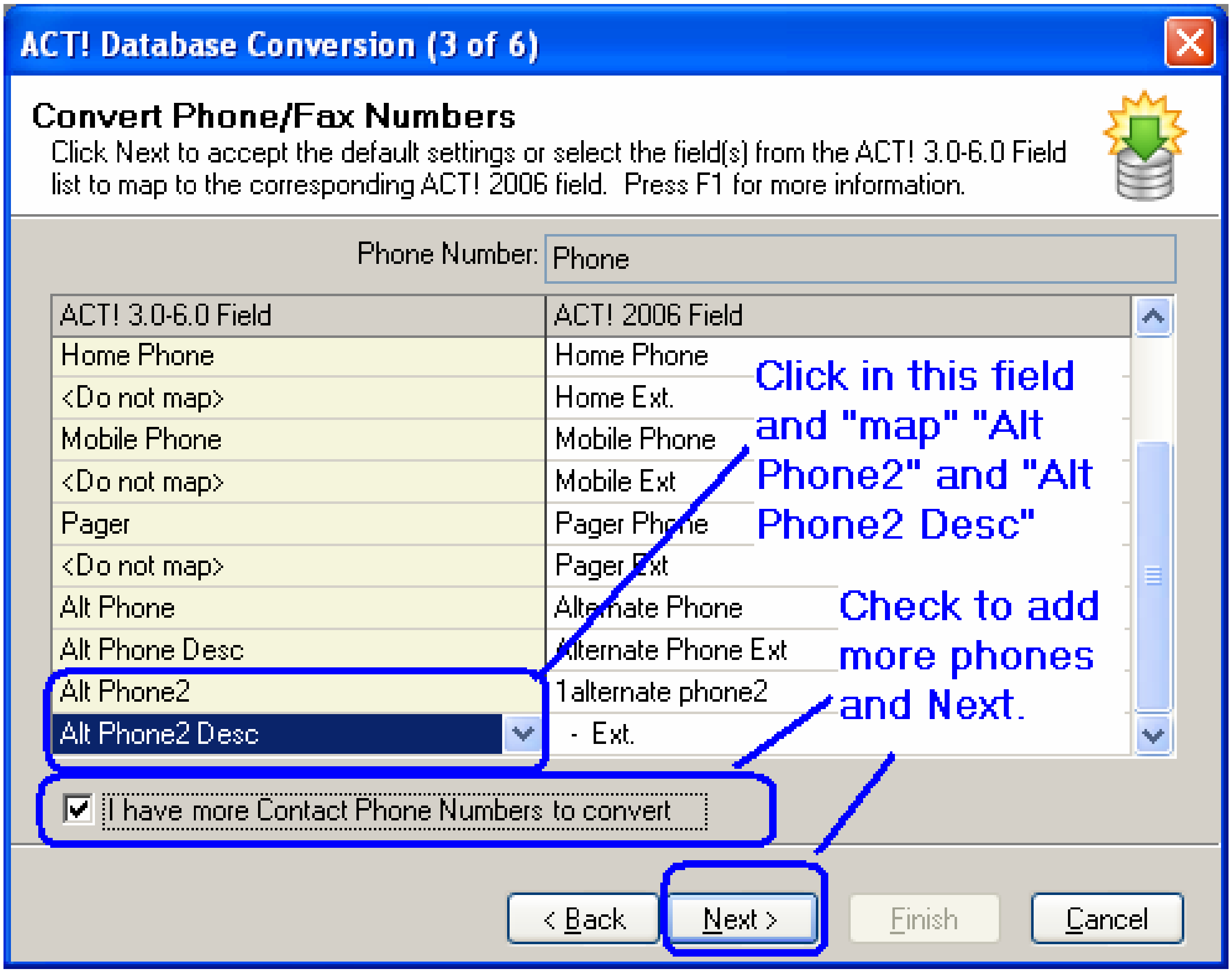


To add the additional phone numbers, check the box and choose Next.



Type in “1Alternate Phone2” and check the box “This phone has an extension.”

Choose OK.



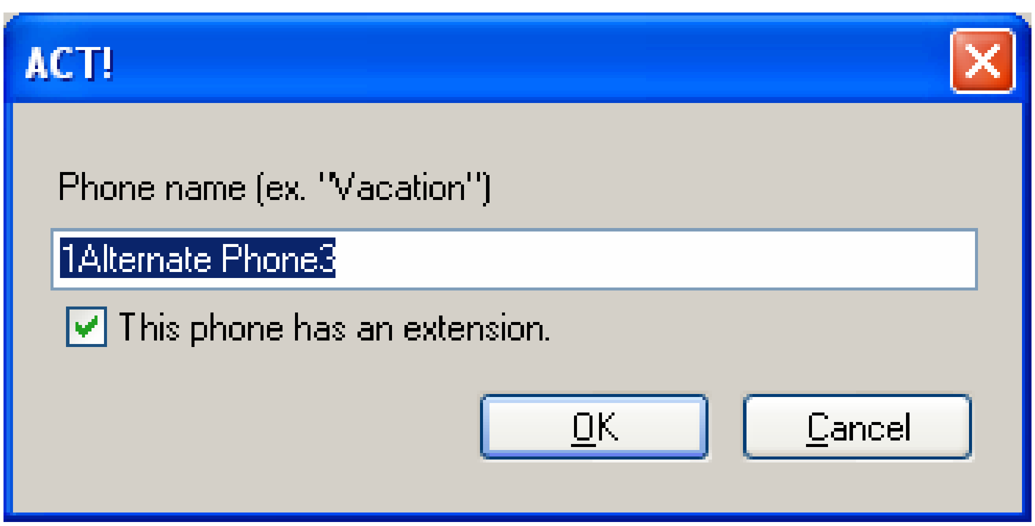
Next, you will have to map the “Alt Phone2” to the “1alternate phone2” field and the “Alt Phone2 Desc” to the “- Ext”. For example, to map the field, click in the field to the LEFT of 1alternate phone2 and select Alt Phone2.

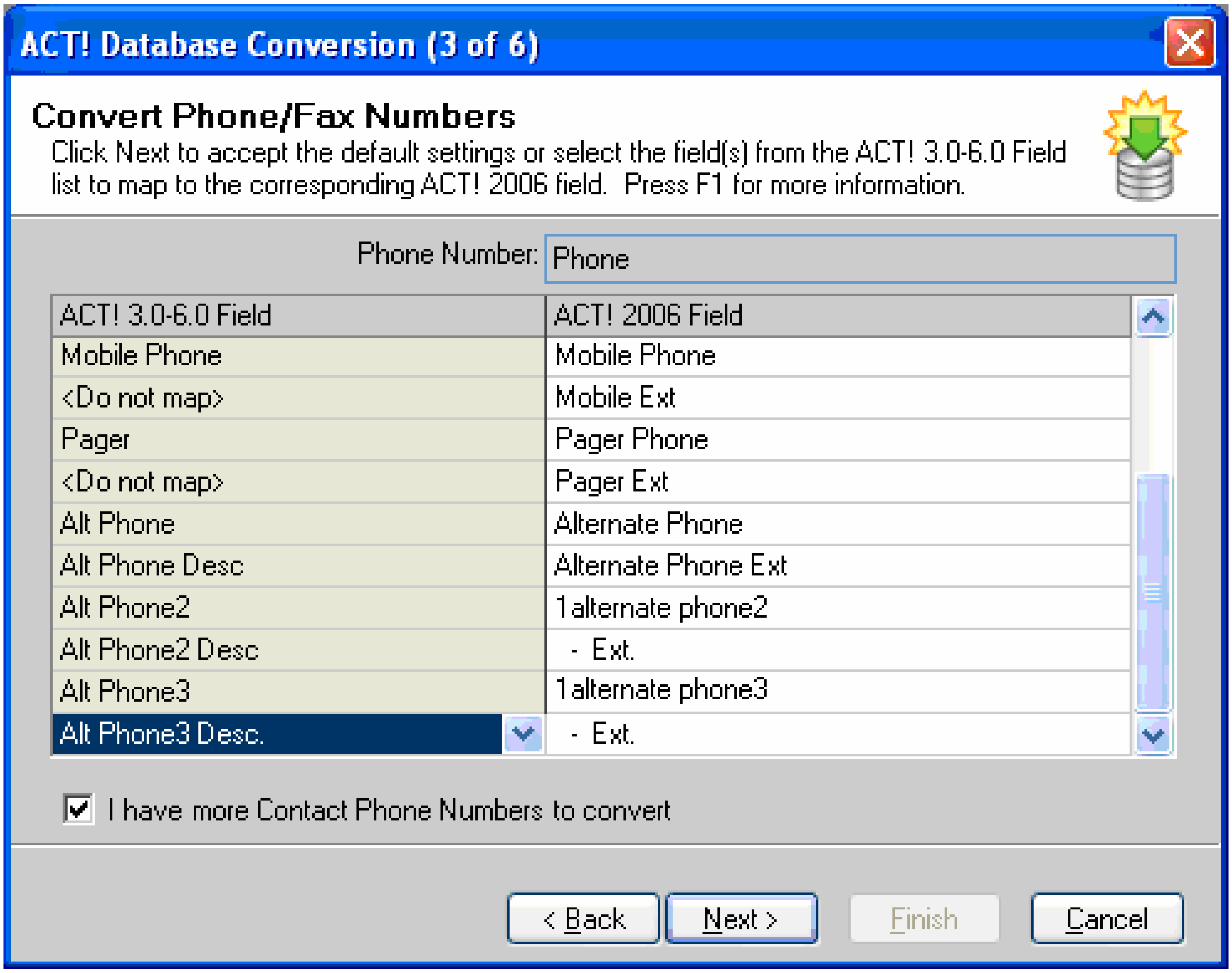
You must repeat this process for ALL additional phone numbers that have been added to the Act4Advisors database that you wish to import. Here is a list of the additional Act4Advisors "stock" phone fields that must be mapped. If you added additional phones, you must map those also:

(Table 1)

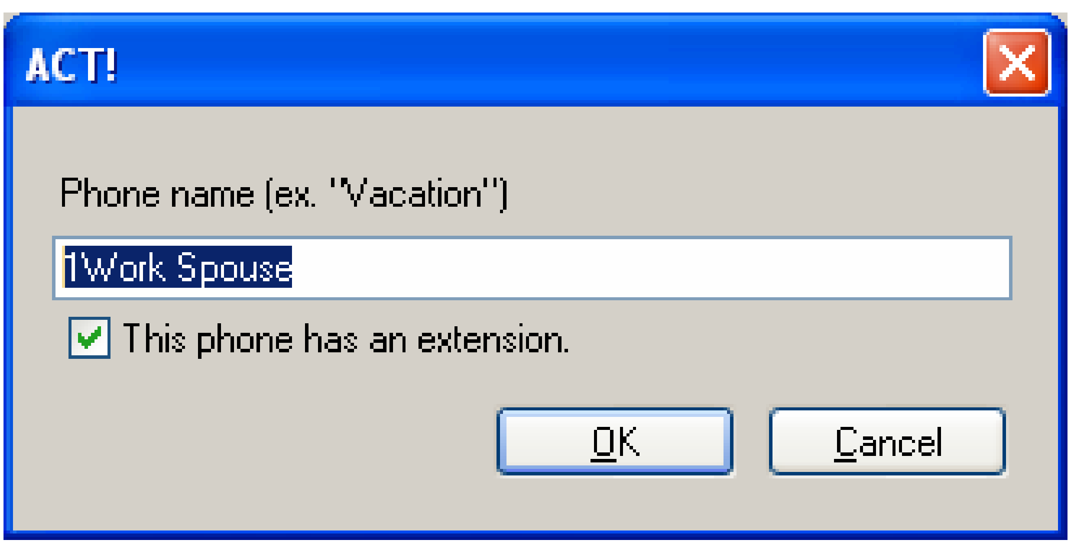
Act4Advisors field	Check Ext?	Extension field	NAME you should create
Alt Phone3	Yes	Alt Phone3 Desc	1Alternate Phone3
Work Phone Sp.	Yes	Phone Ext. (Sp.)	1Work Spouse
Asst. Phone	Yes	Asst. Phone Ext.	1Assistant Phone
Phone Attorney	No	(no ext)	1Phone Attorney
Phone Accountant	No	(no ext)	1Phone Accountant
Phone Trust Offc	No	(no ext)	1Phone Trust Officer
Phone Stockbroker	No	(no ext)	1Phone Stockbroker
Phone Ins. Agent	No	(no ext)	1Phone Ins Agent
Phone Oth Advisor	No	(no ext)	1Phone Other Advisor
Work Fax Sp.	No	(no ext)	1Fax Spouse

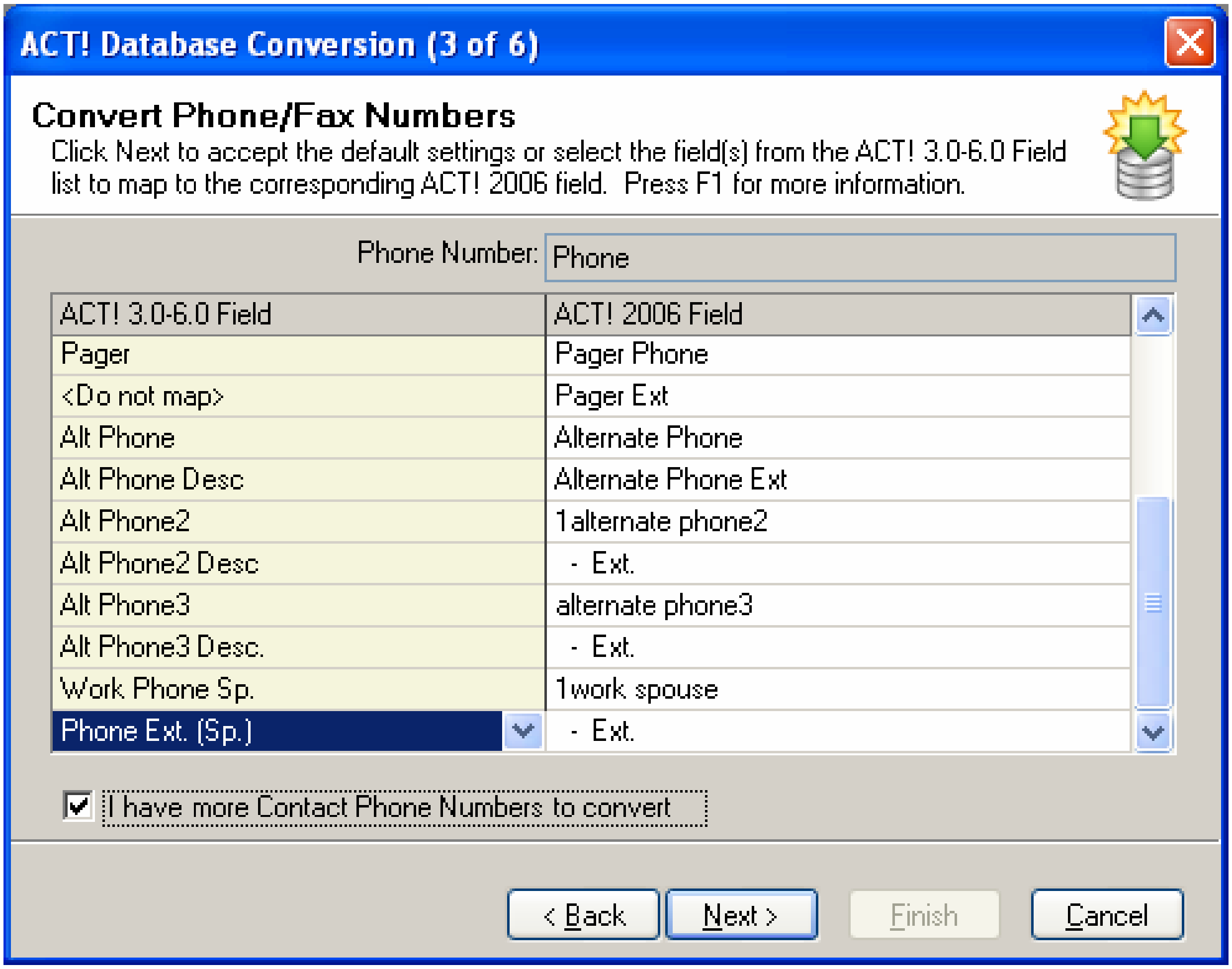
Create phone field 1"Alternate Phone3"



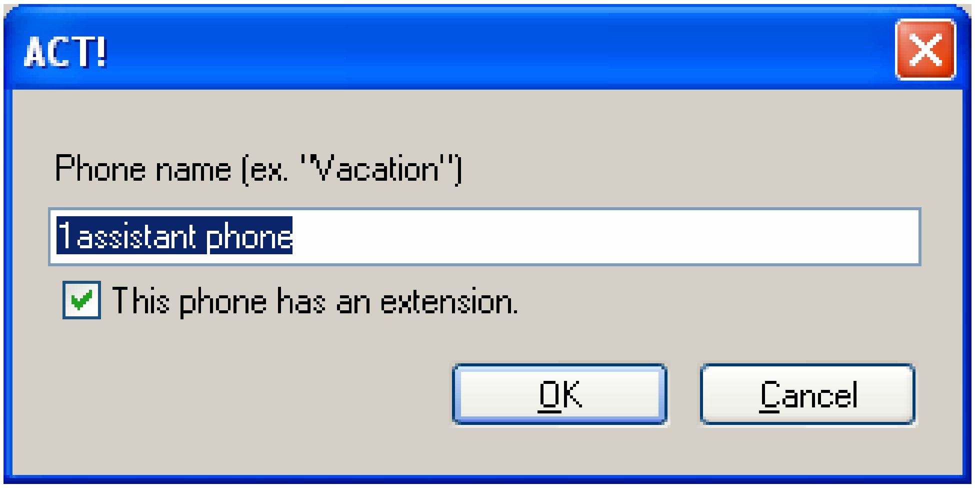


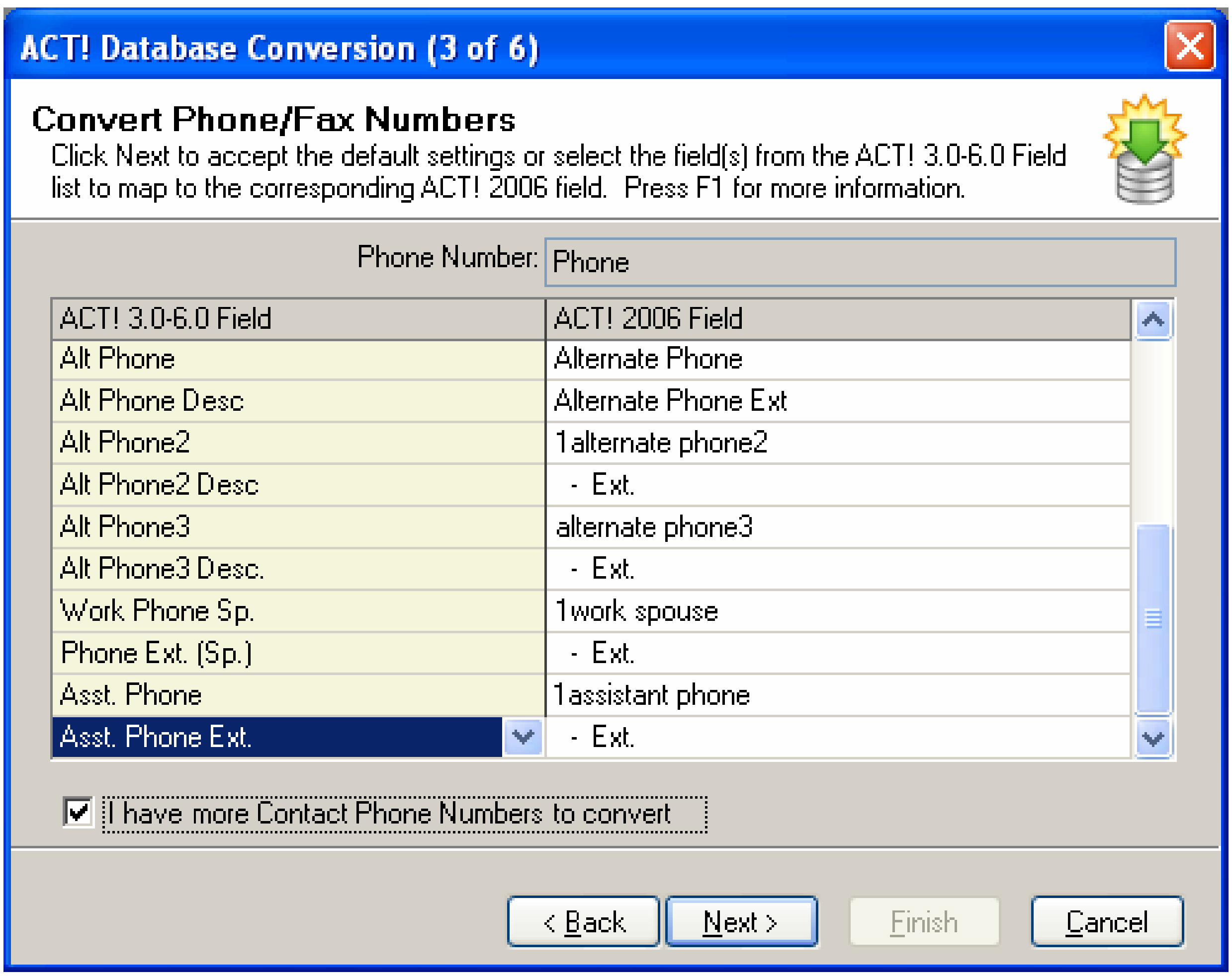
Create phone field “1Work Spouse”



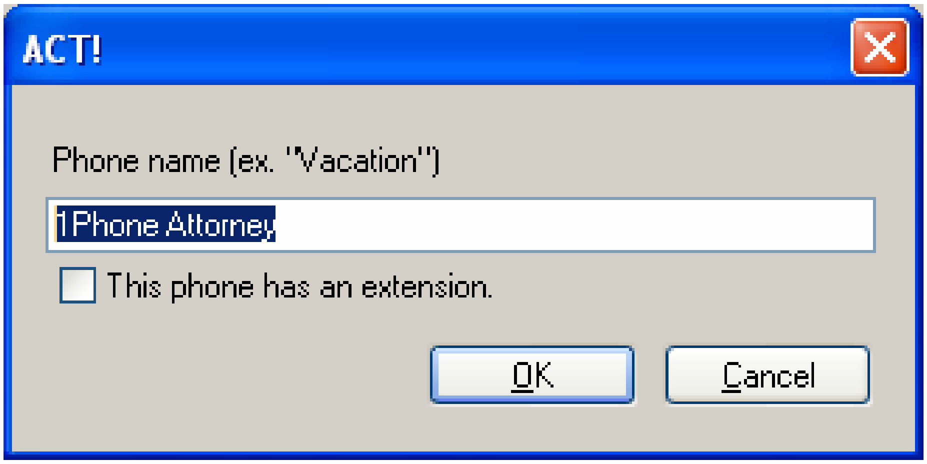


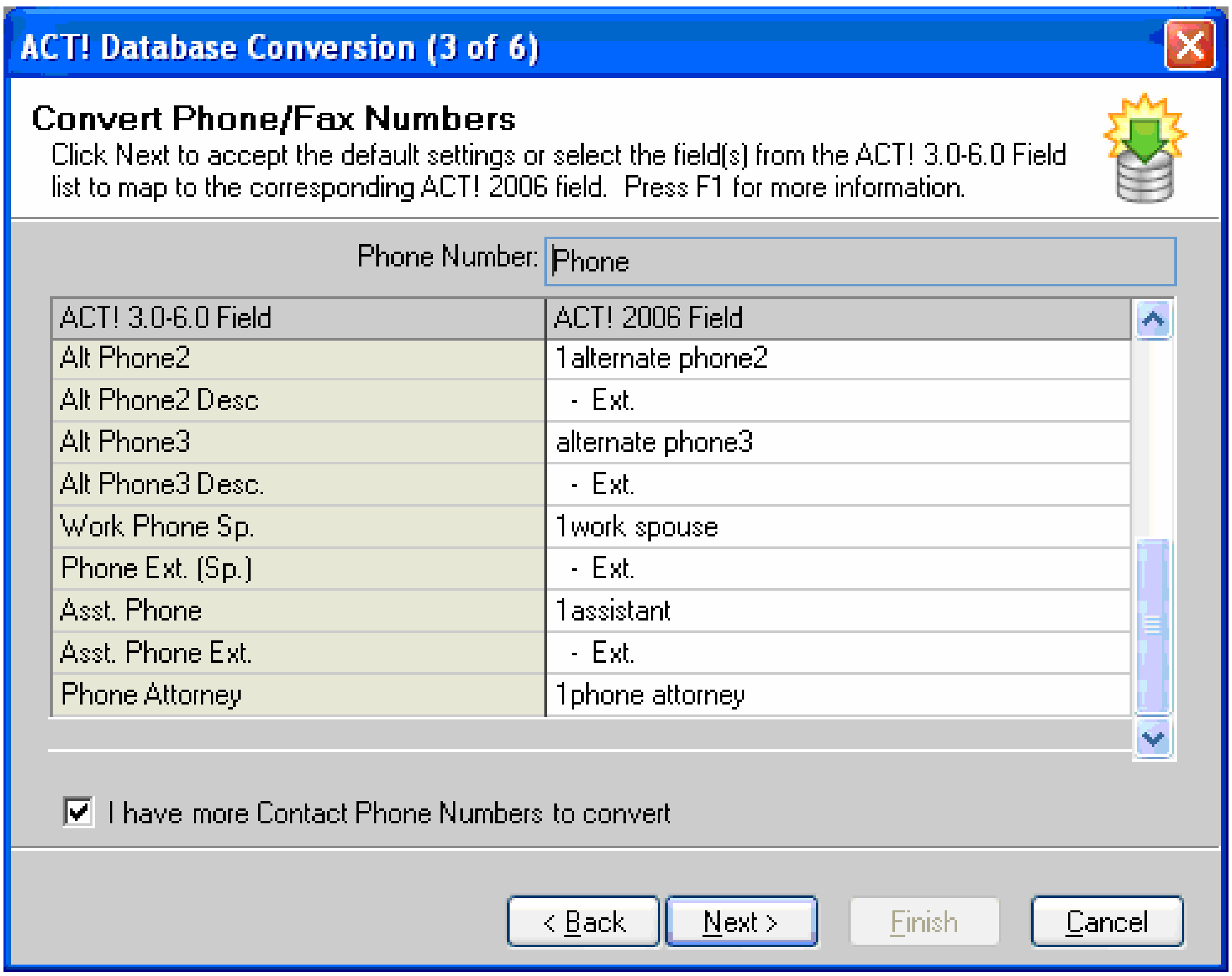
Create phone field “1Assistant Phone”



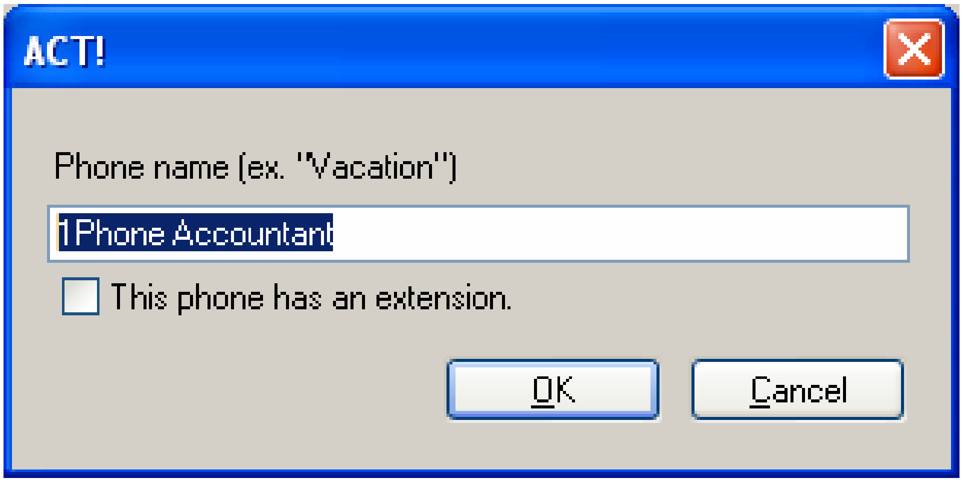


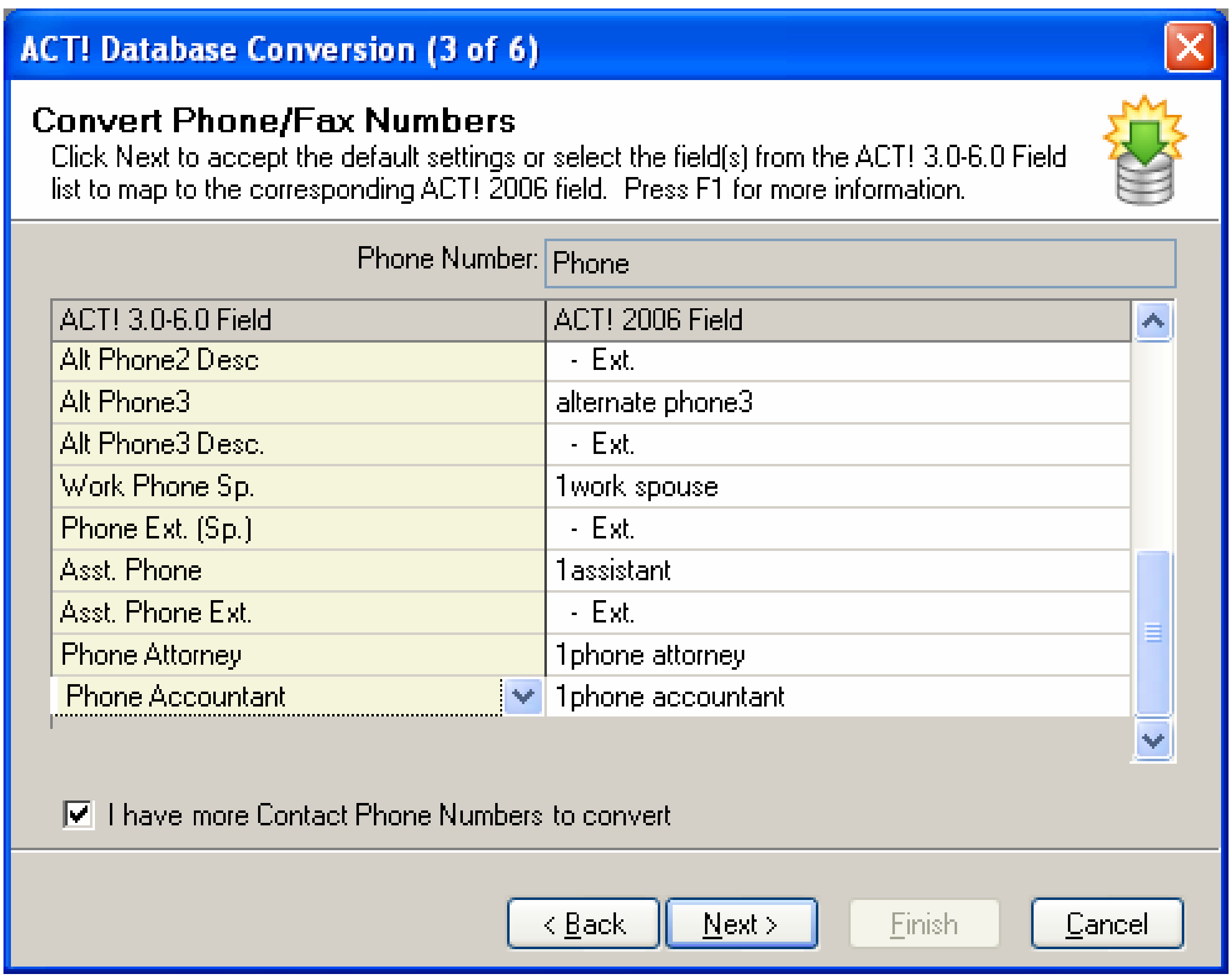
Create phone field “1Phone Attorney” and DO NOT check extension box.


ACT!
Phone name (ex. "Vacation")
1Phone Attorney
This phone has an extension.
OK
Cancel

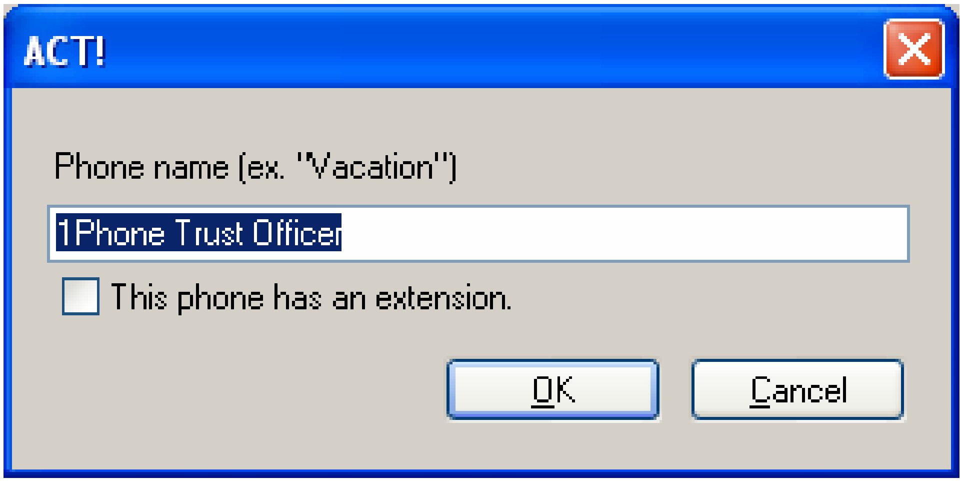

ACT! Database Conversion (3 of 6)
Convert Phone/Fax Numbers
Click Next to accept the default settings or select the field(s) from the ACT! 3.0-6.0 Field list to map to the corresponding ACT! 2006 field. Press F1 for more information.
Phone Number: Phone
ACT! 3.0-6.0 Field
ACT! 2006 Field
Alt Phone2
1alternate phone2
Alt Phone2 Desc
- Ext.
Alt Phone3
alternate phone3
Alt Phone3 Desc.
- Ext.
Work Phone Sp.
1work spouse
Phone Ext. (Sp.)
- Ext.
Asst. Phone
1assistant
Asst. Phone Ext.
- Ext.
Phone Attorney
1phone attorney
I have more Contact Phone Numbers to convert
< Back
Next >
Finish
Cancel

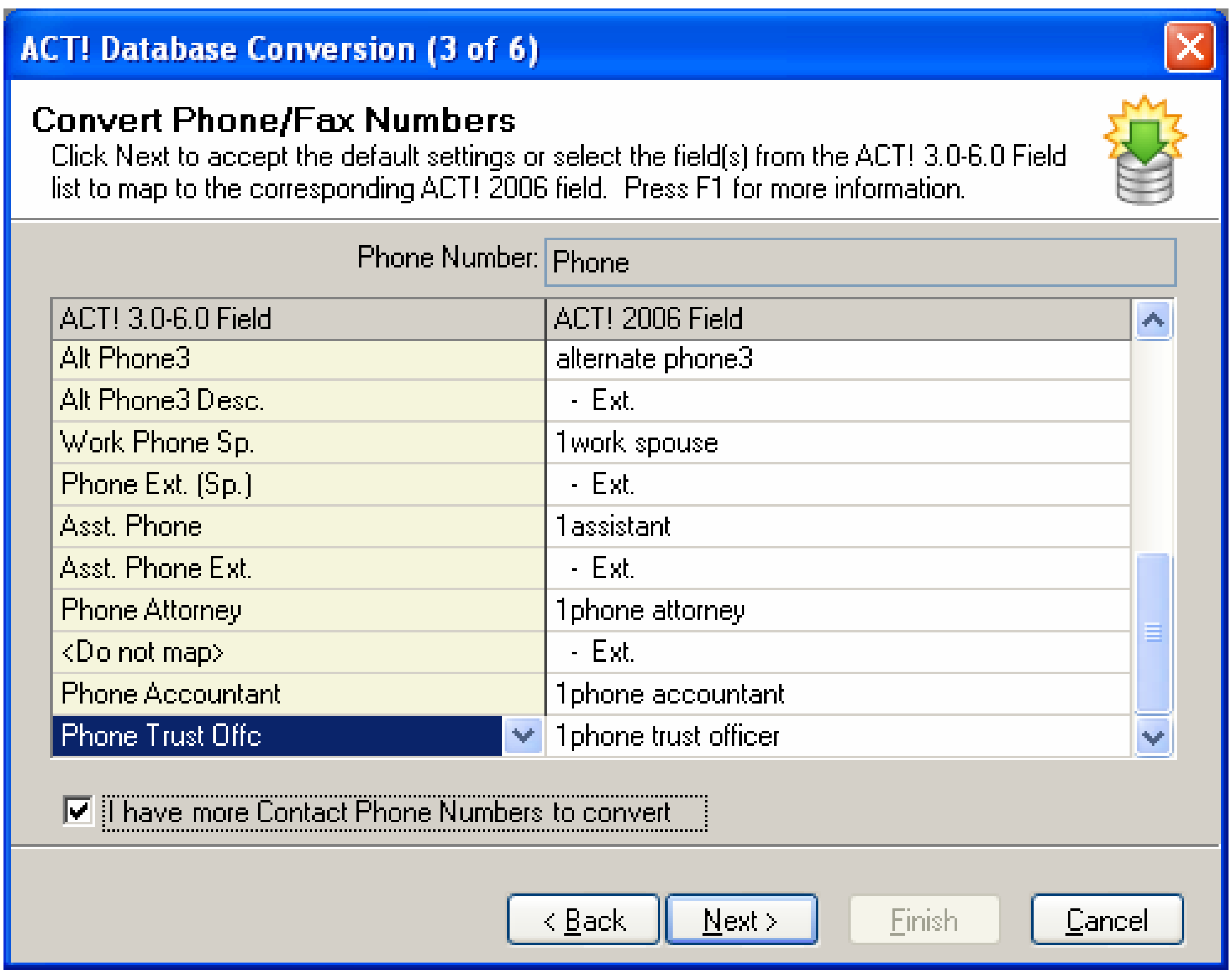
Create phone field “1Phone Accountant” and DO NOT check extension box.



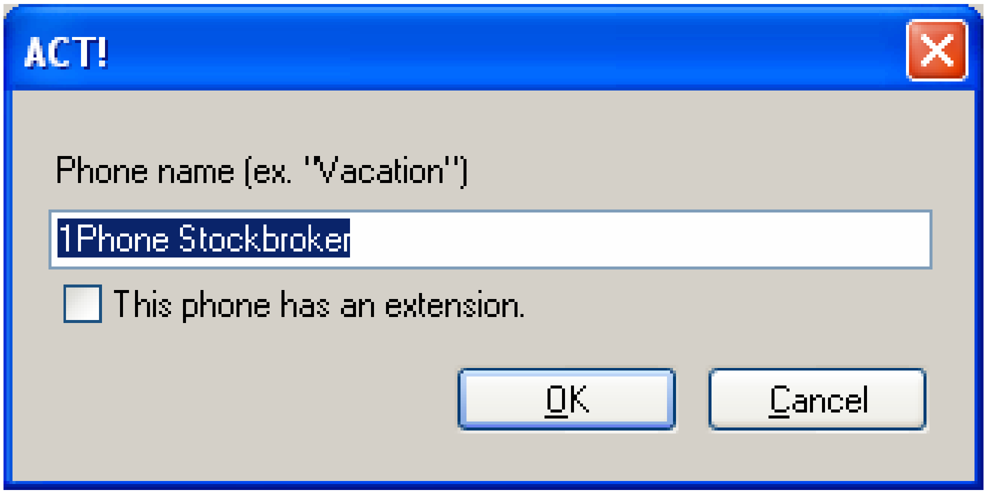


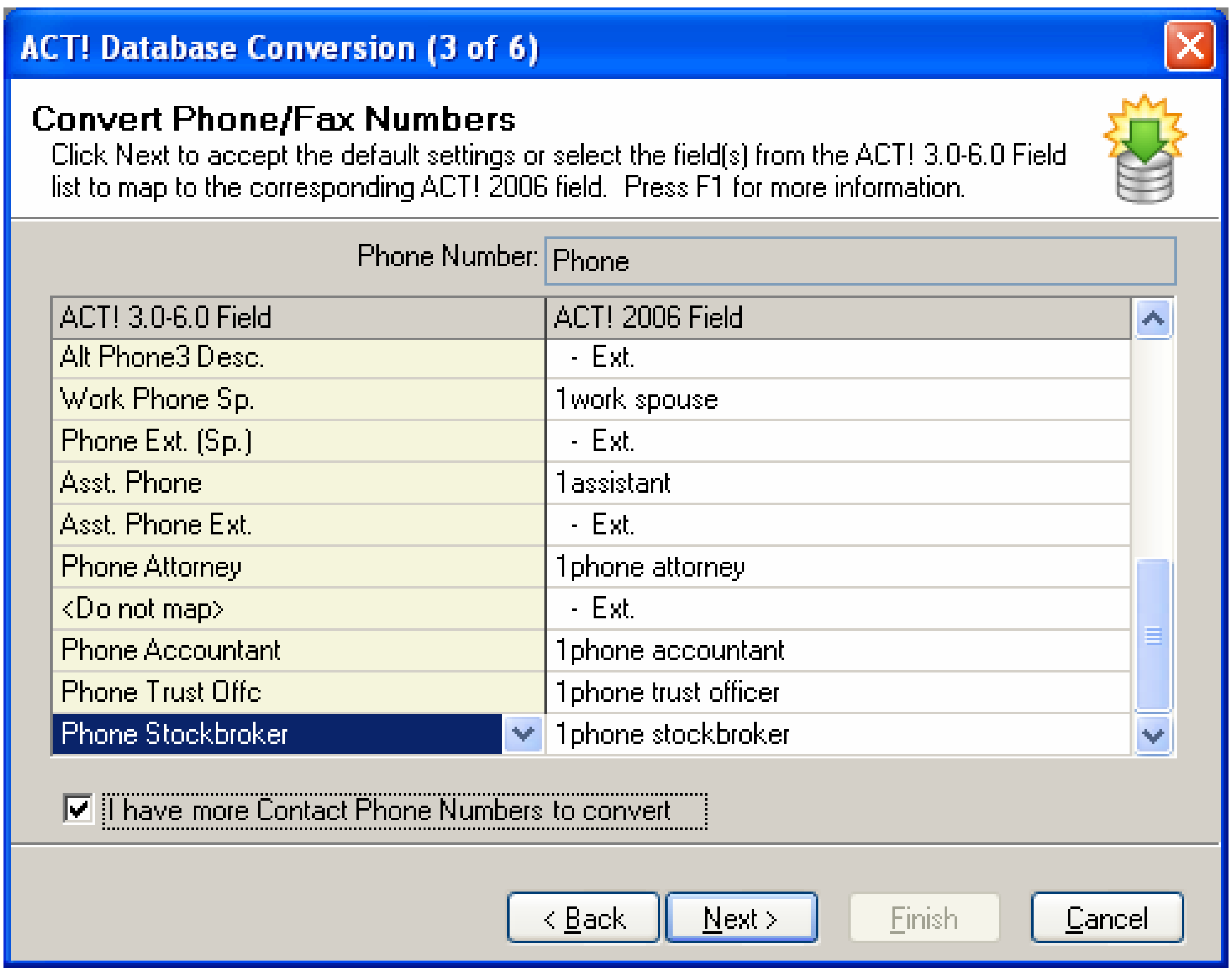
Create phone field “1Phone Trust Officer” and DO NOT check extension box.



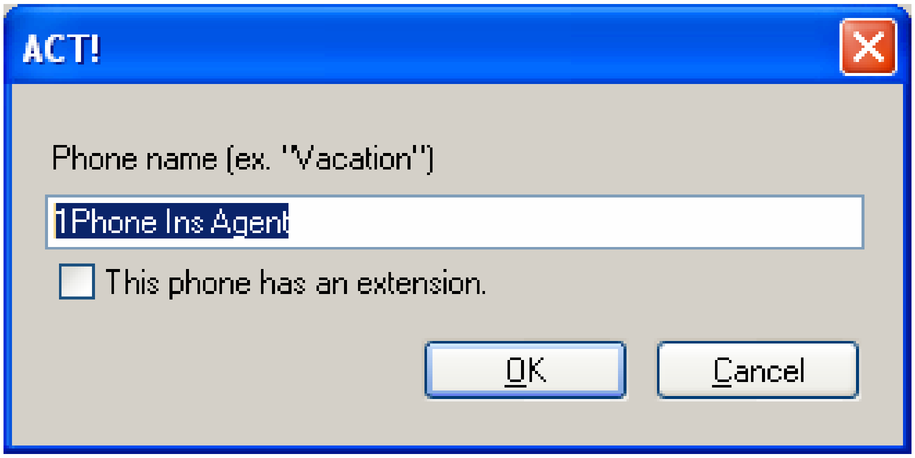


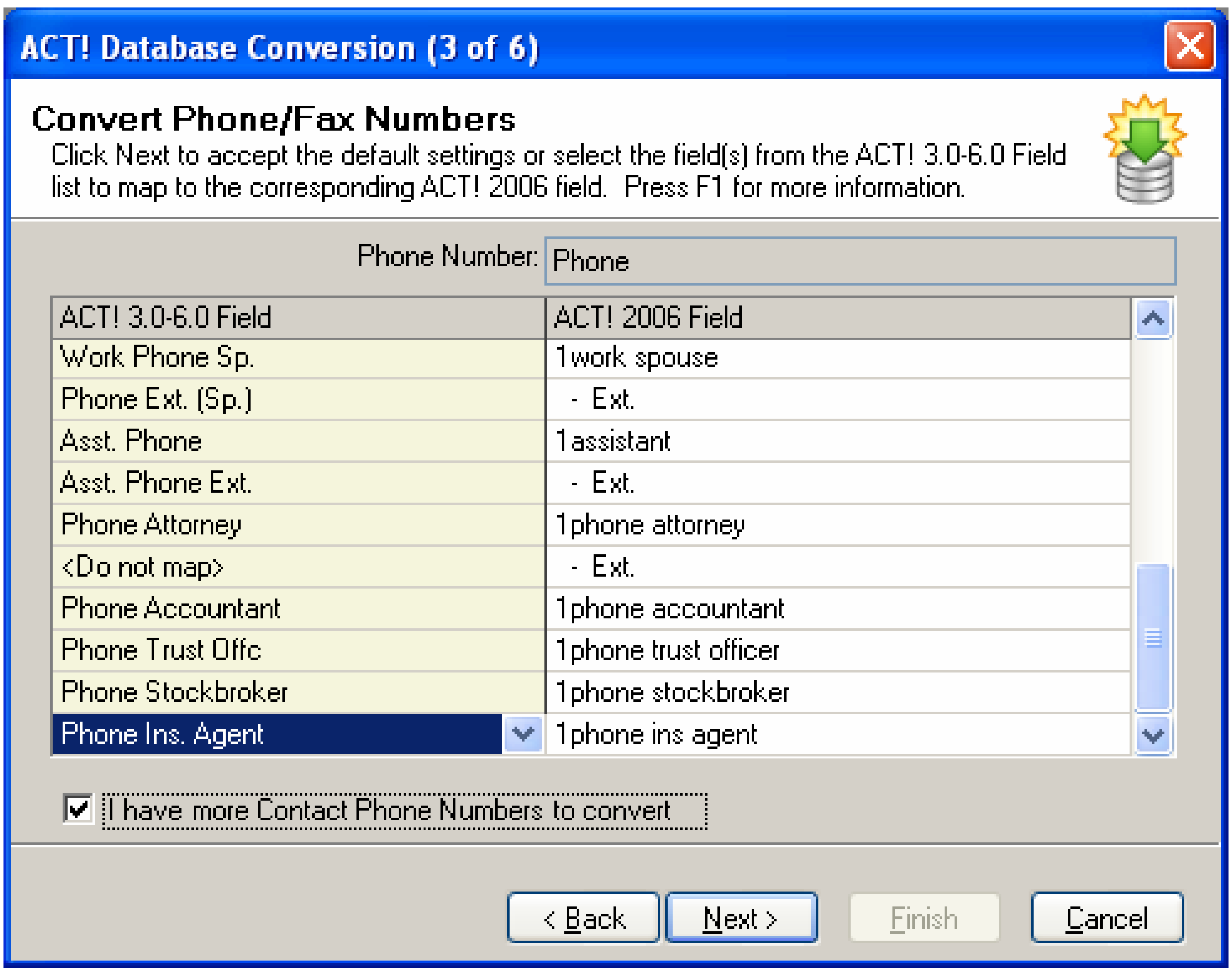
Create phone field “1Phone Stockbroker” and DO NOT check extension box.



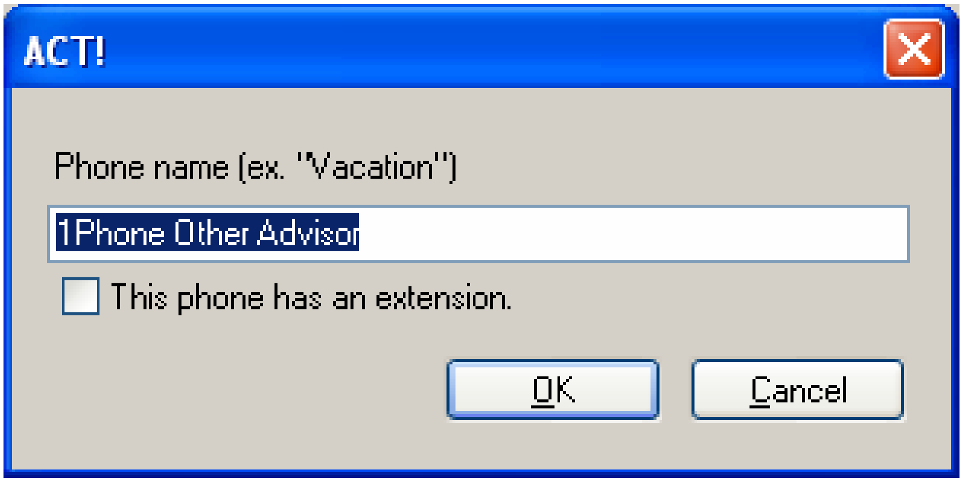


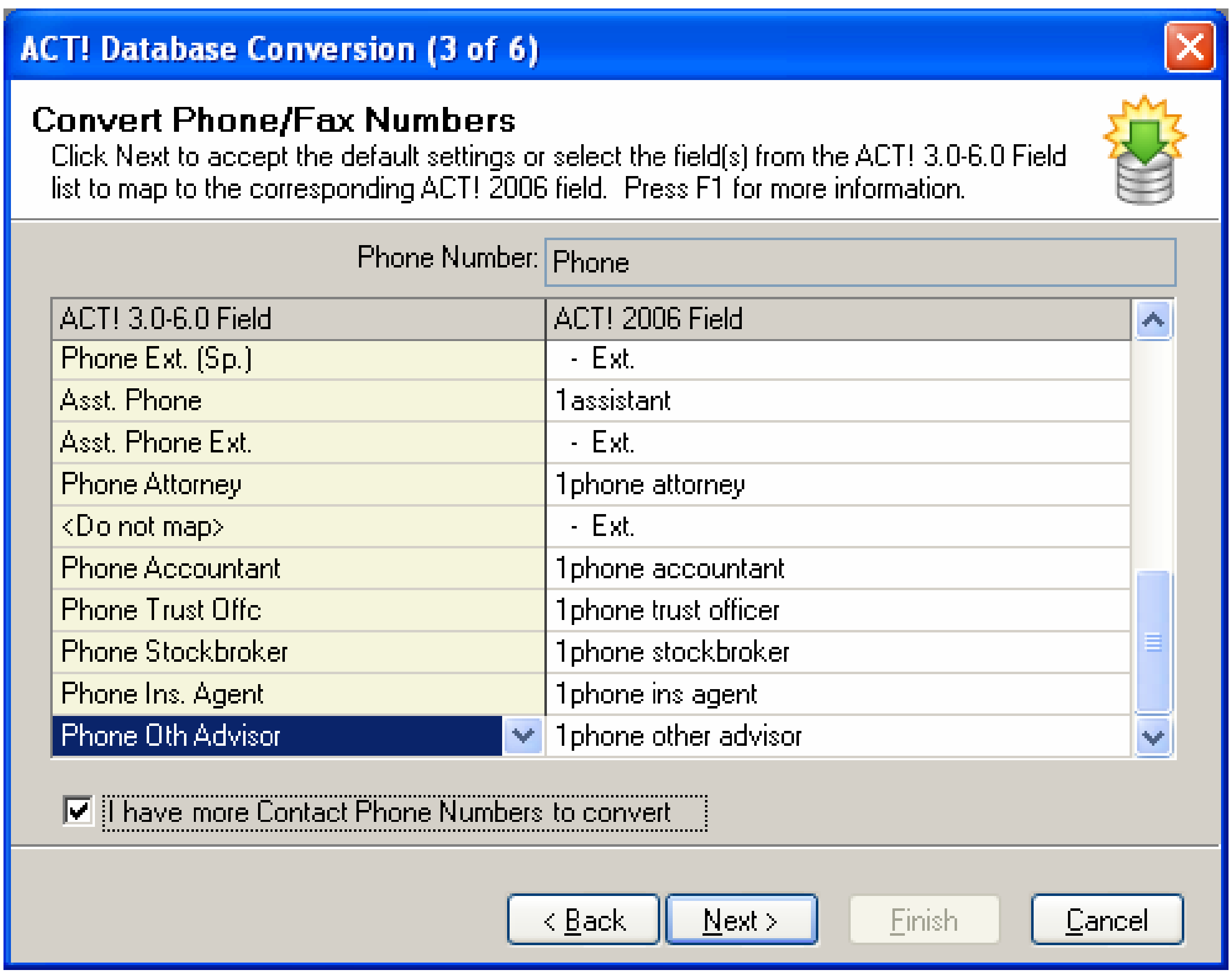
Create phone field “1Phone Ins Agent” and DO NOT check extension box.





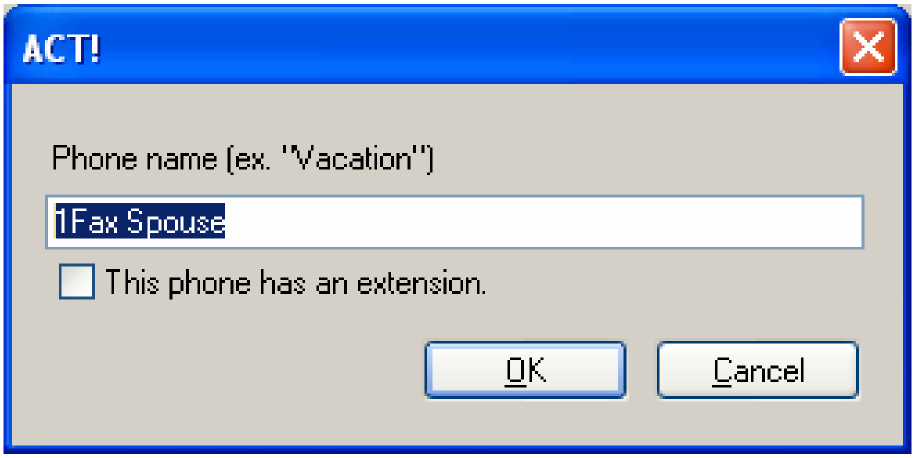
Create phone field “1Phone Other Advisor” and DO NOT check extension box.



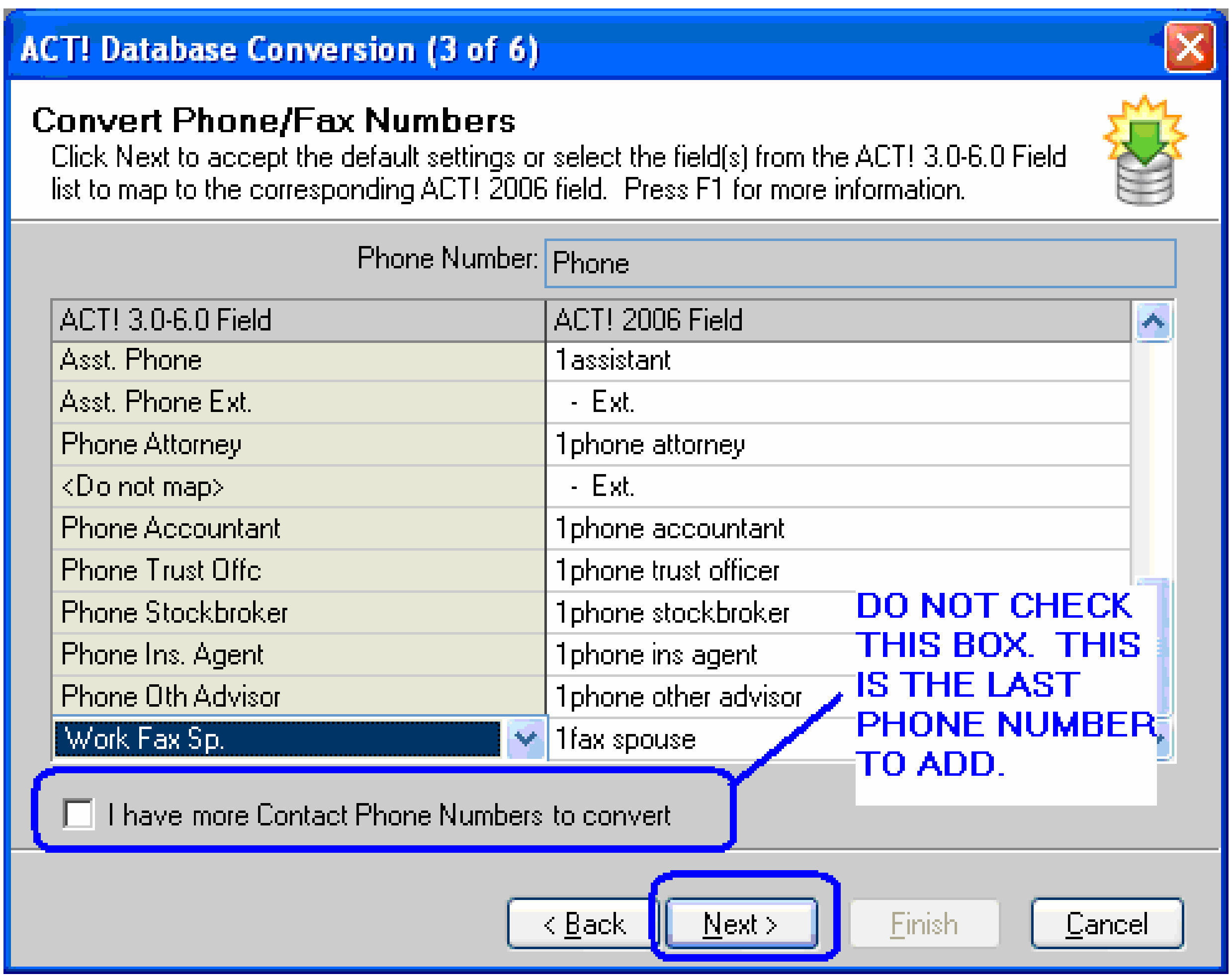


LAST ONE!

Create phone field “1Fax Spouse” and DO NOT check extension box.



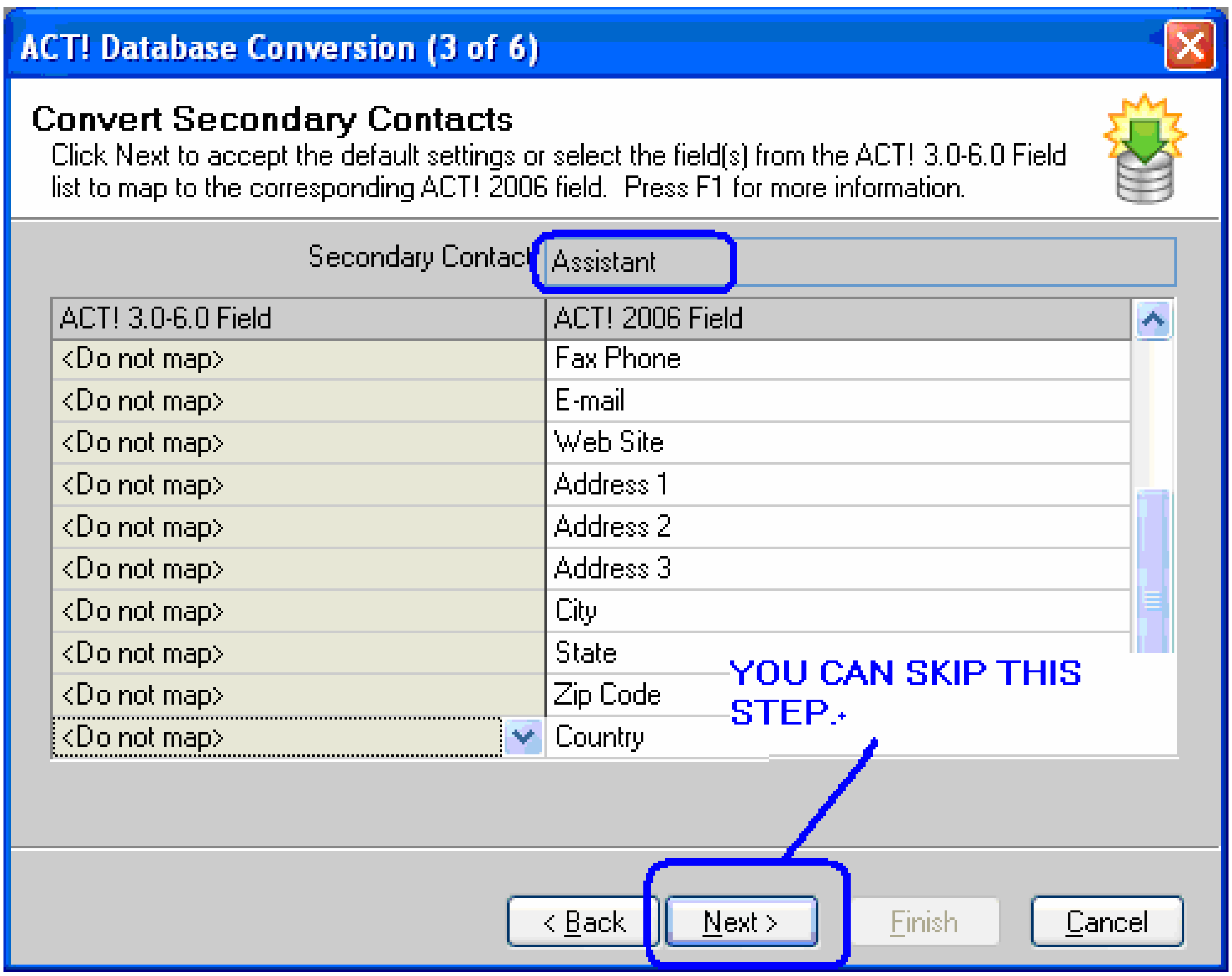
DO NOT CHECK BOX TO ADD MORE PHONES and choose NEXT



Secondary Contacts

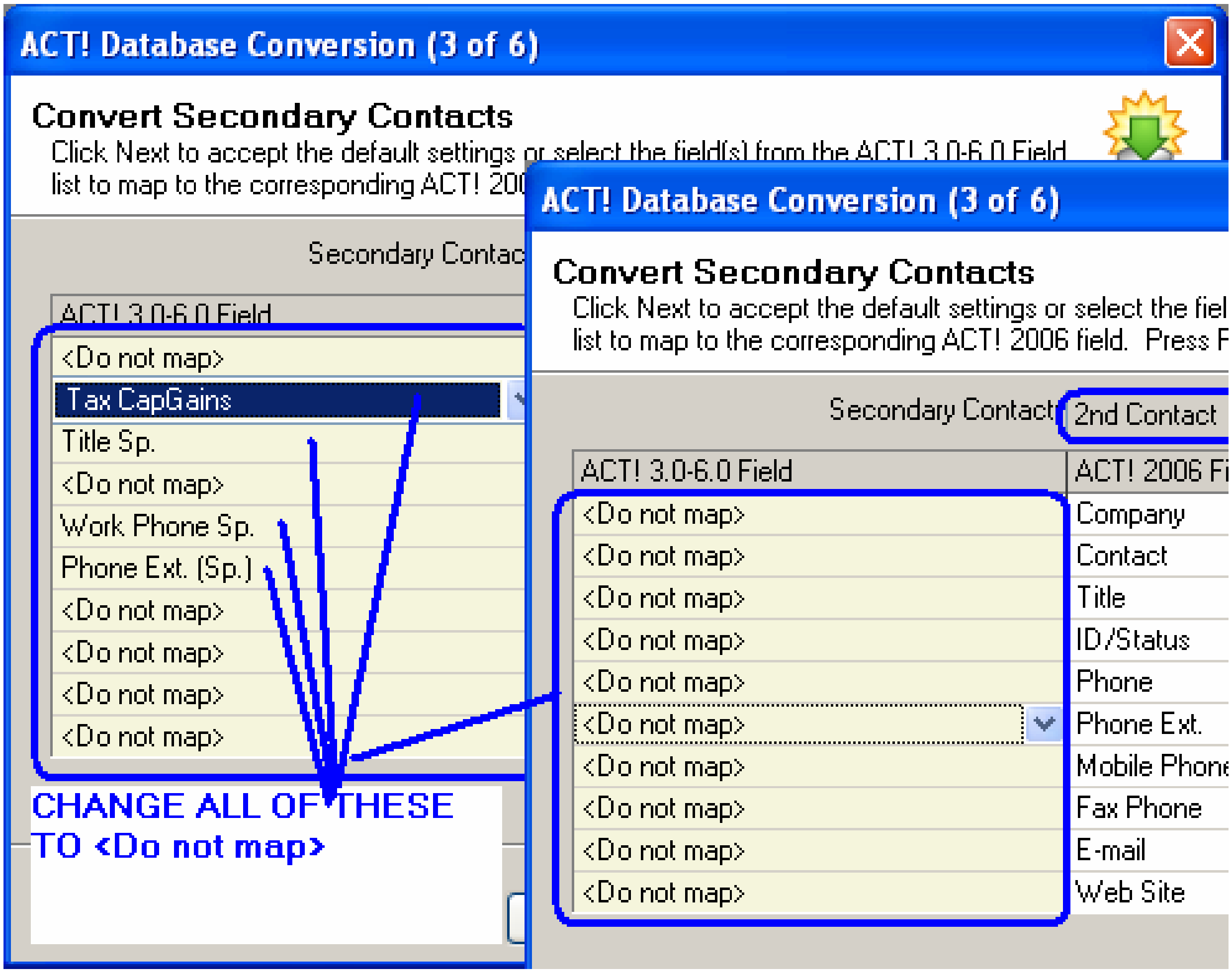
The new ACT! can handle secondary contacts in a separate table. Conversion of an ACT! 6.0 database identifies specific field "numbers" as Secondary Contact's automatically. In the case of Act4Advisors, some of the fields were used for other items so that we could reduce the total number of fields in the database.

Though secondary contact feature is nice in "theory", they very limited in normal ACT! functionality.



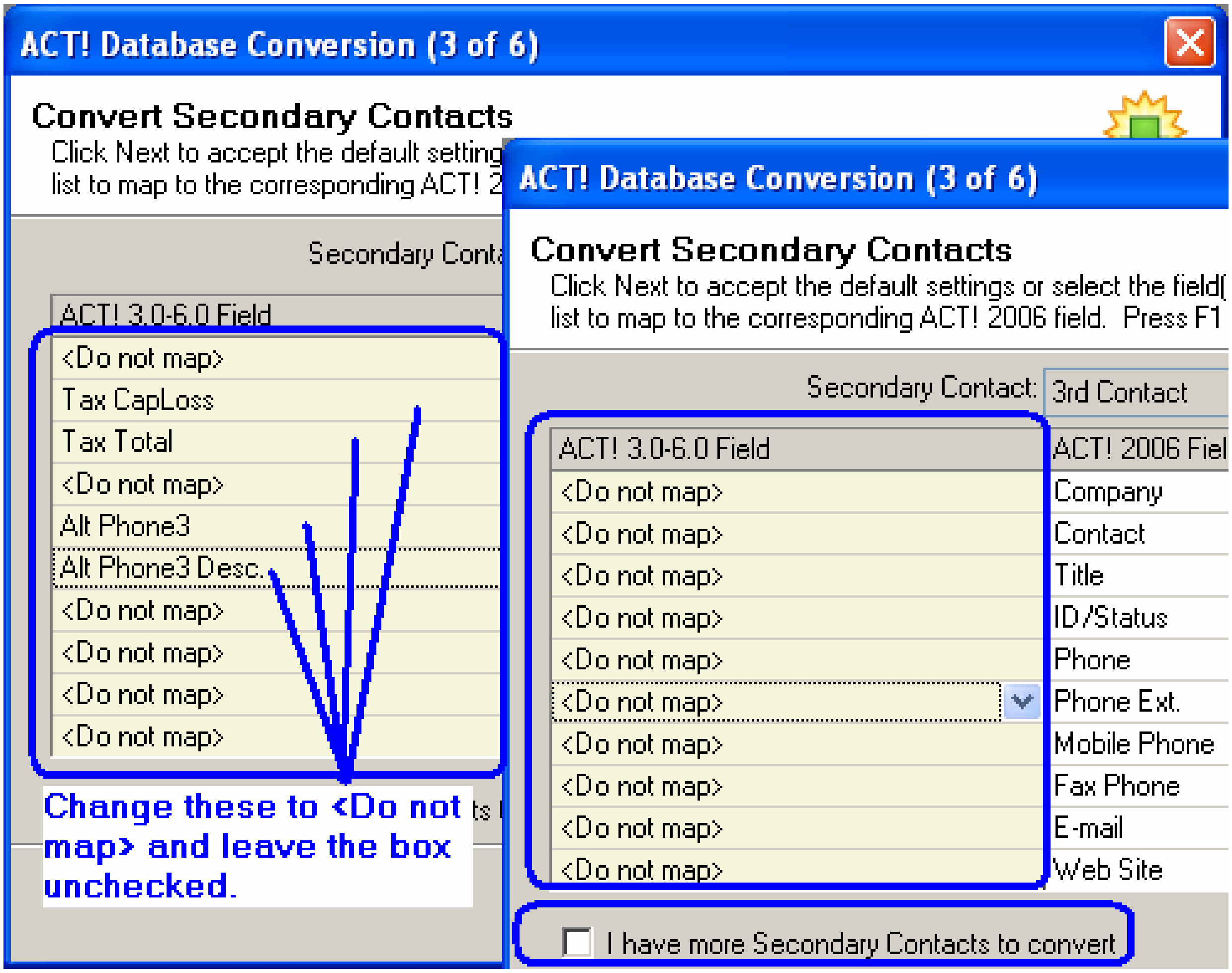
The next secondary contact is the standard ACT! field called "2nd Contact"

Act4Advisors used these fields for other items. As a result, "un-map" these to <Do not map>



After changing all fields to <Do not map>, choose Next button.

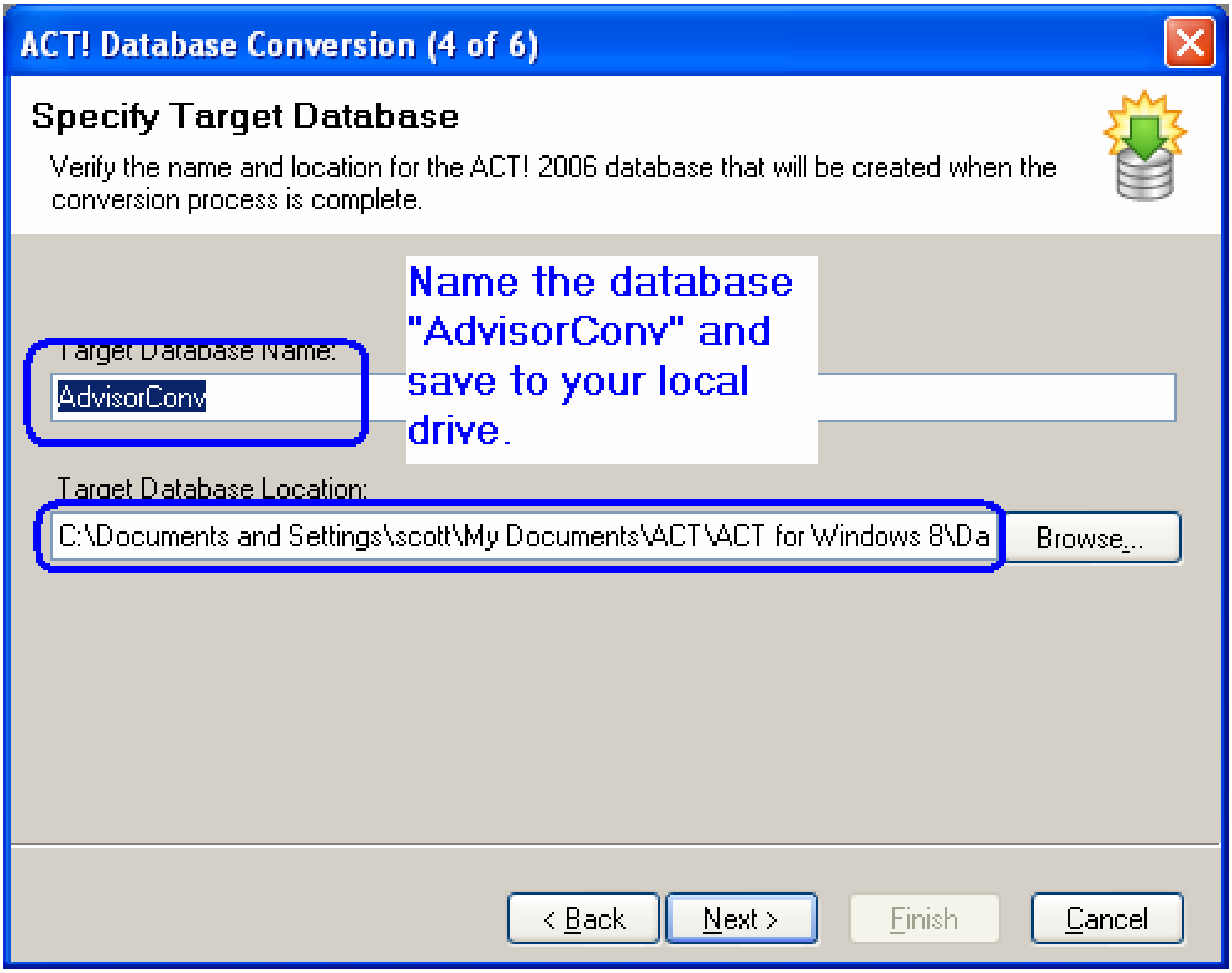
The last secondary contact is the standard ACT! field called "3rd Contact". "Un-map" these fields also.



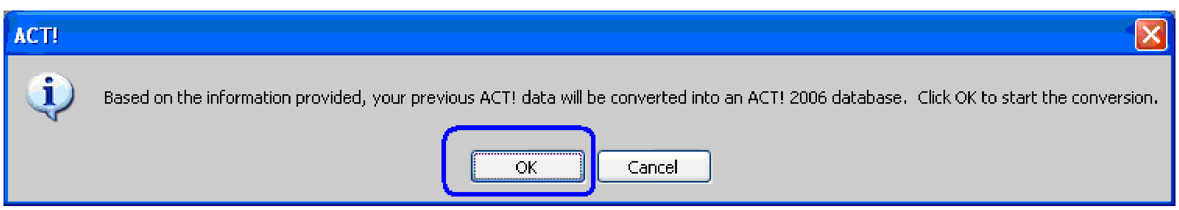
Leave the box, “I have more Secondary Contacts to convert” unchecked. Choose Next.

Naming and Saving the Database

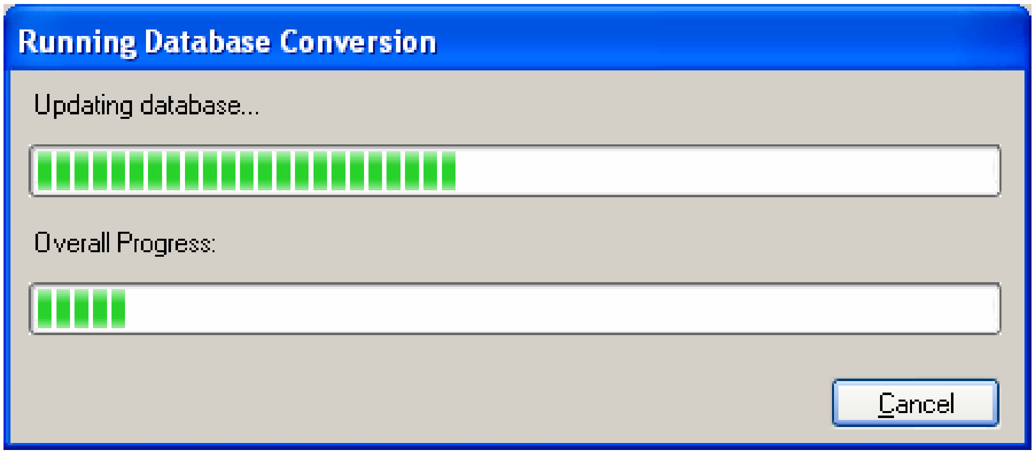
The next screen allows you name and save the database to a specific location. You must save the database to your local hard-drive. Name the database “ADVISORCONV” with no quotes.



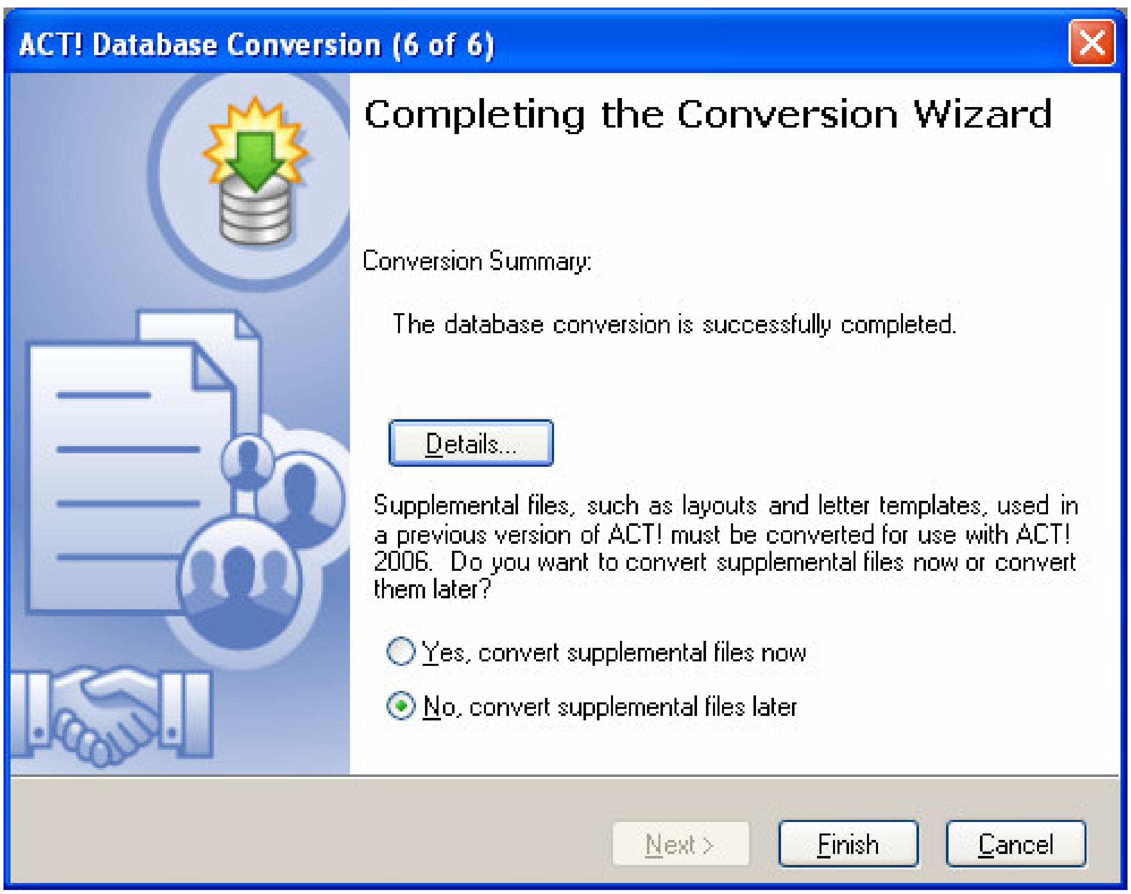
Choose OK on the next dialog box.



Status Bar



When the conversion is complete, you will see this dialog box.



At this point, you have the option of converting ACT! 6.0 supplemental files including layouts, reports, templates, labels and envelopes. We have found that the conversion of some of these items does not work well and that is why we have recreated an Act4Advisors database using the new ACT! platform. If you would like to see your data, feel free to convert a layout or two and you will be able to review the data in the converted database.

Once the data conversion is complete, you can begin importing your data into the new Act4Advisors database.

CHAPTER 4

Importing Your Existing Data

ACT! has an exceptional import wizard allowing you to import your existing data. You can import an ACT! database, a dBase file, a Microsoft Outlook file, Palm Desktop or an ASCII text file with delimiters like commas or tabs. Third party programs are also available though us at AFS.

Existing ACT! Users

If you have an existing ACT! 8.0 database or newer, you can import your data directly into the Act4Advisors database using ACT!'s Import Wizard. Before you begin, you should note the data fields that are available in Act4Advisors and the data fields you have in your database. If you have taken the time to customize your old ACT! database, you should be sure there are corresponding data fields in Act4Advisors. If you did not customize your ACT! database, the act fields should be mapped and ready for import .

If you are tracking data that is not tracked in Act4Advisors and if you want to retain this data, you can import the data into one of Act4Advisors User Defined Fields or you should add these data fields to the Act4Advisors database before you begin. Consult your ACT! documentation on how to add data fields.

How to import data and retain user record

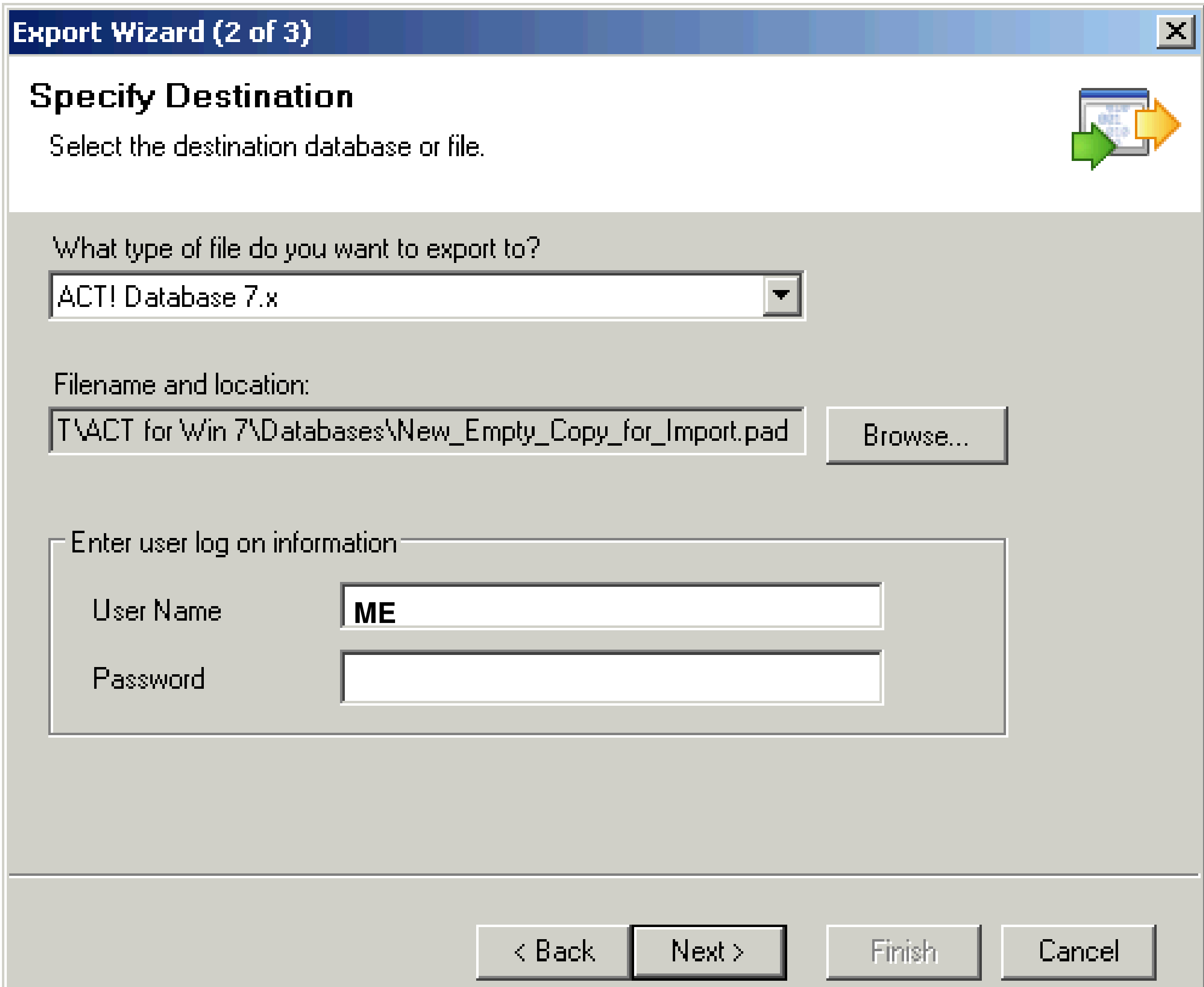
I - Export Users:

1. Open the existing database or converted database, click the **Lookup** menu, point to **Advanced**, and then click **Users**. The **Contact List View** appears with all users listed.

2. Go to **Tools**, **Preferences,** click on the **Duplicate Checking** button. **Uncheck** “Enable duplicate checking for the database.” And press OK.

3. Click the **File** menu, and then click **Export**. The **Export Wizard - Welcome to the Export Wizard** dialog box appears.

4. Enable (if desired) the **Check to hide in the future** option, and then click **Next**. The **Export Wizard - Specify Destination** dialog box appears.

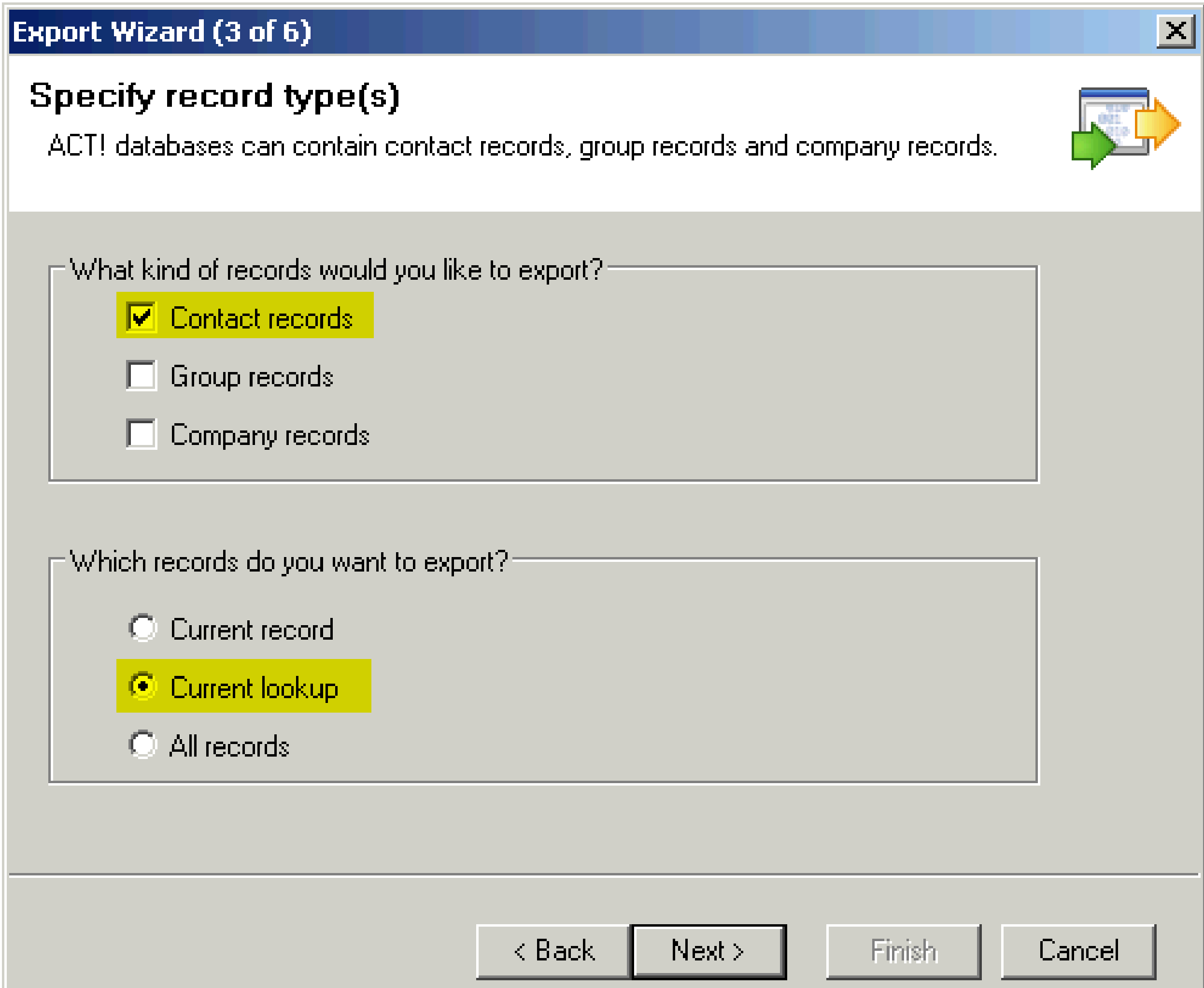


5. Ensure that the **What type of file do you want to export to?** field displays **ACT! Database 9.x, ACT! Database 8.x**, **ACT! Database 7.x**.

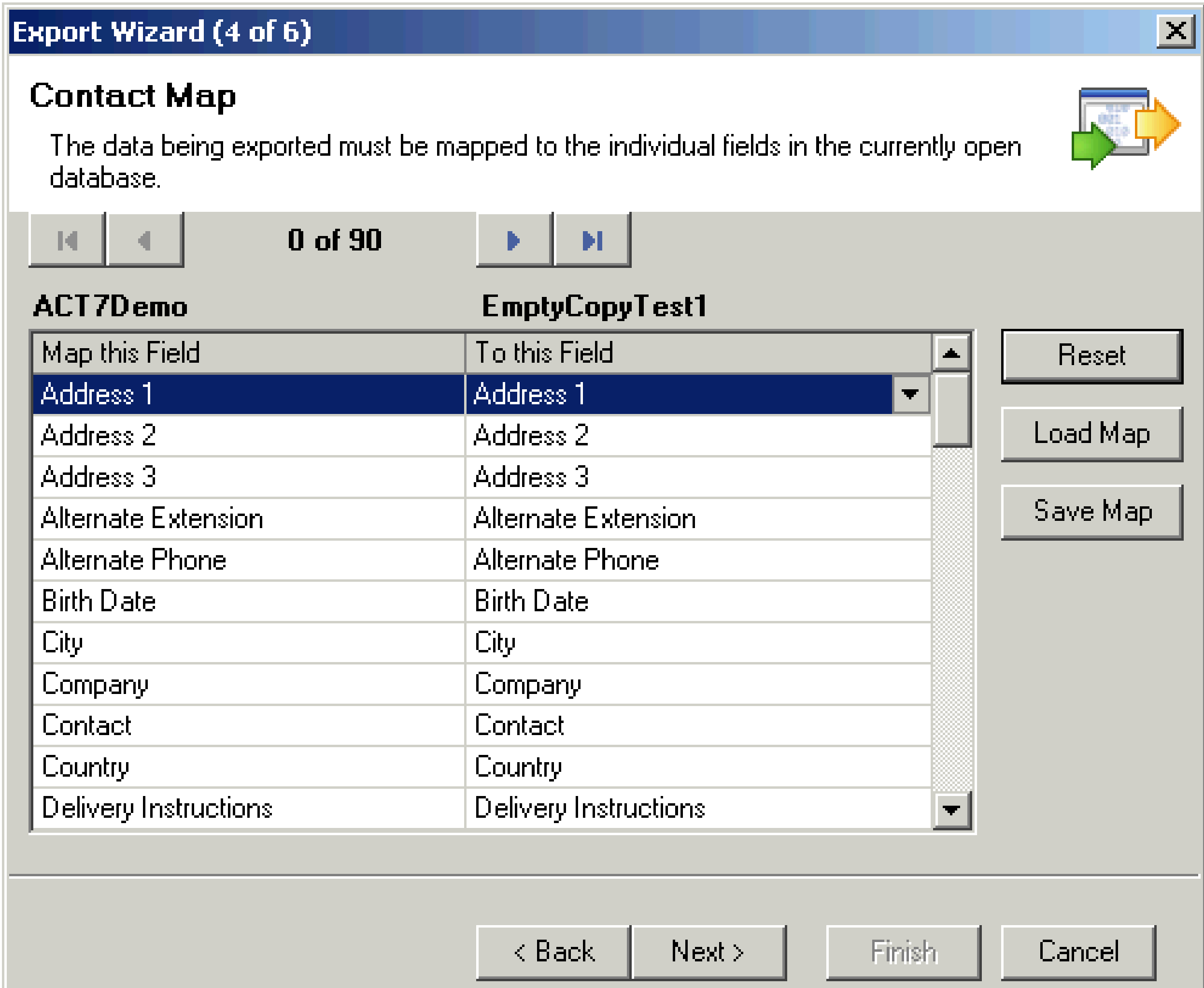
6. Click the **Browse** button at the **Filename and location** field. An **Open** dialog box appears.

7. Browse to (if necessary), and **Open** the Empty Copy of your database. The **Export Wizard - Specify Destination** dialog box reappears with the **Filename and location** field now populated with the file path to the destination database Advisor30.

8. Enter the **User Name** as **ME**, and then click **Next**. The **Export Wizard - Specify record type(s)** dialog box appears.

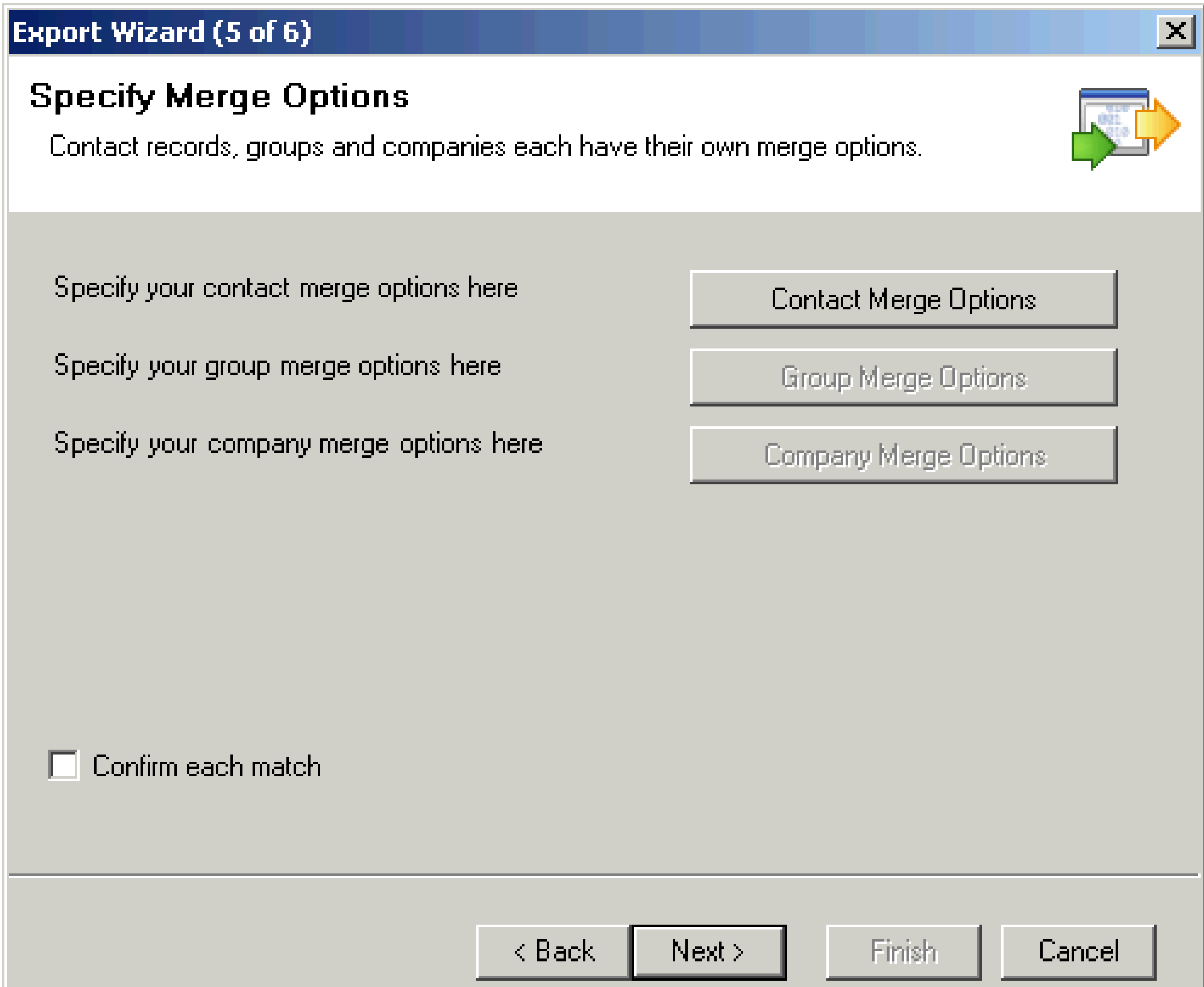


9. Ensure that **Contact records** is enabled in the **What kind of records would you like to export?** section and that **Current lookup** is enabled in the **Which records do you want to export?** section, and then click **Next**. The **Export Wizard - Contact Map** dialog box appears.



Note: The left **(Map this Field)** column of the contact map displays the fields in the source database while the right **(To this Field)** column displays the fields in the destination database. When exporting to an Empty Copy of the source database, the fields in the left column will match the fields in the right column. **BEFORE YOU CLICK ON THE NEXT OR FINISH BUTTON, SAVE YOUR MAP INCASE YOU HAVE TO REDO THE IMPORT. This will save you time.**

For additional information on importing, consult with your ACT! documentation. If you require a consultant to import your data, feel free to contact us for a quote. If you are uncomfortable importing data, feel free to contact us for our Data Conversion Services. We often convert data from Bill Good, FDP, Brokers Helper, Advisors Assistant, EZ Data, dbCAMS, Junxure, Protracker, Brokers Ally, and even from other ACT! databases. Our fees are based on the time it takes to convert the data but the fees are very reasonable.



1. Click **Next**. The **Export Wizard - Specify Merge Options** dialog box appears.

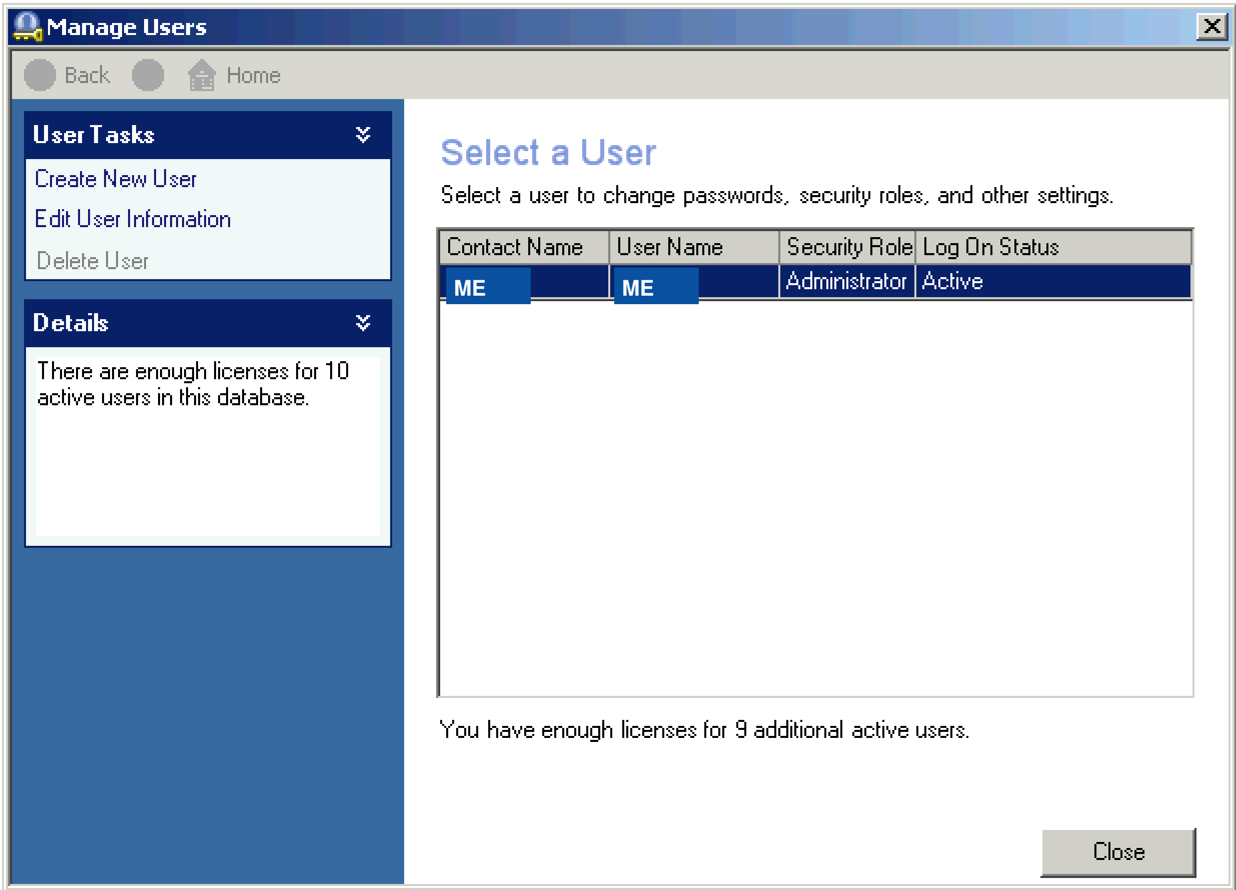
2. There is no need to modify **Contact Merge Options** when exporting to an Empty Copy with only a single temporary contact/user. Click **Next**. The **Completing Export Wizard** dialog box appears.

3. If the displayed export options are not correct, click **Back** to correct the settings, otherwise click **Finish**. An **Exporting Data...** progress indicator appears. You can then return to the destination database and create users from the records that were exported.

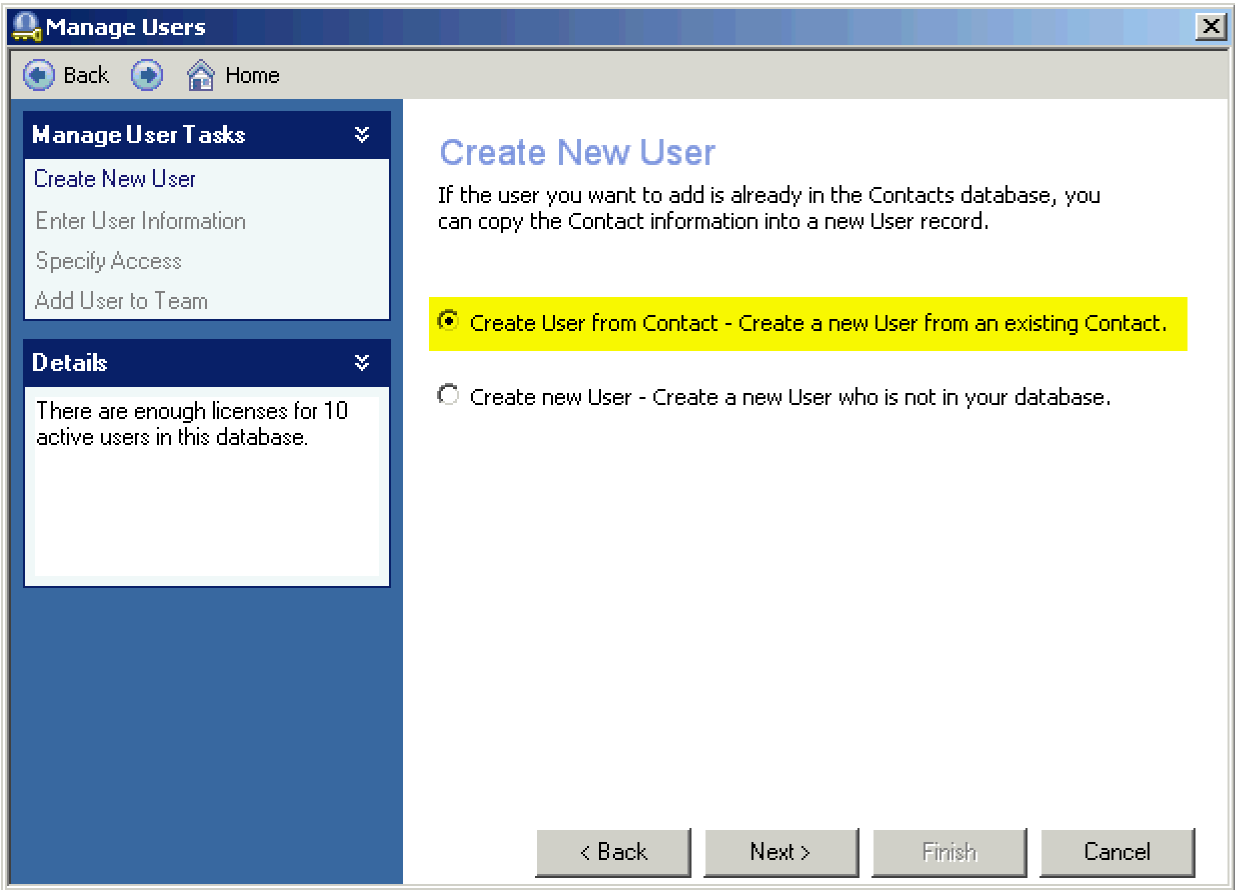
II - Creating the Users:

1. Open the Advisor30 database (If prompted to login, you must login as ME and no Password).

2. Go to **Tools**, **Preferences,** click on the **Duplicate Checking** button. **Uncheck** "Enable duplicate checking for the database." And press OK.

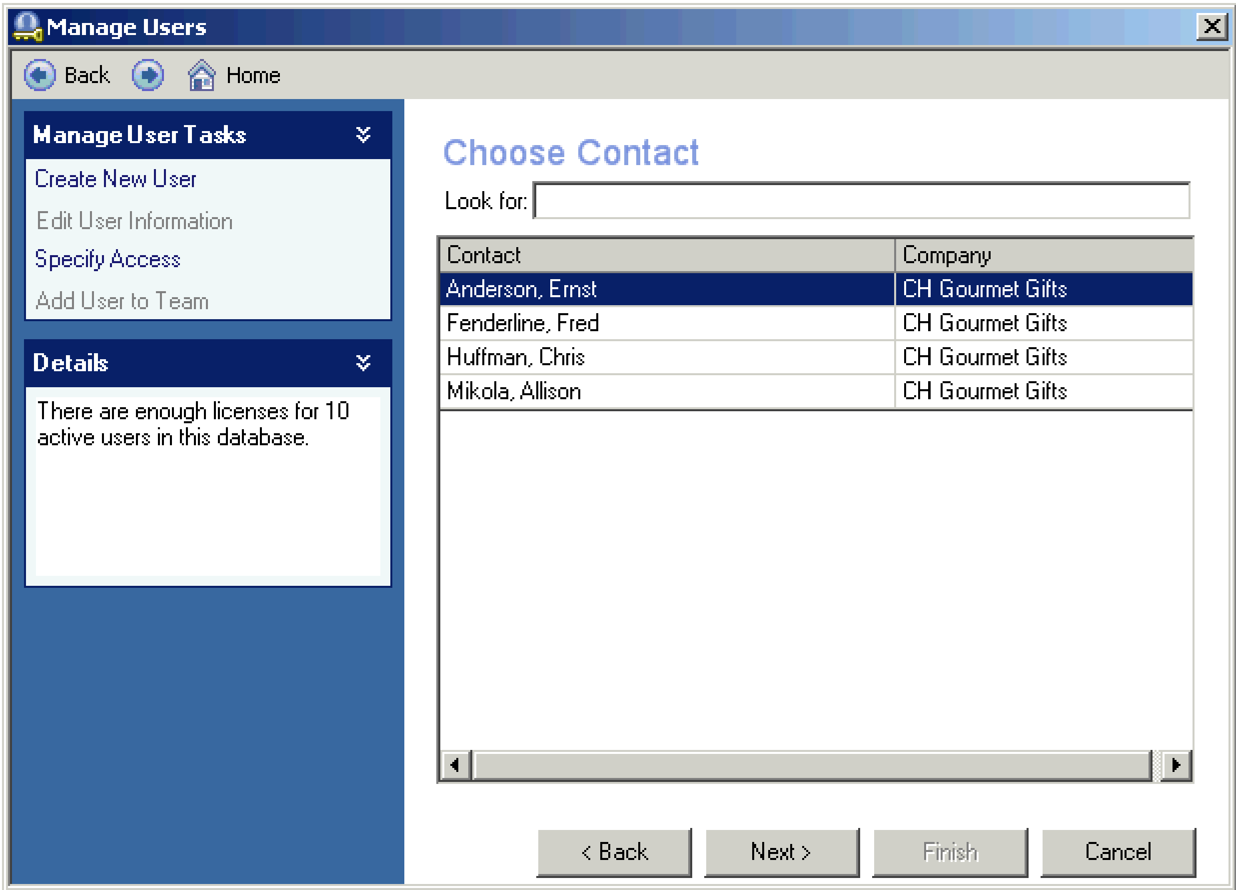


3. Click the **Tools** menu, and then click **Manage Users**. The **Manage Users - Select a User** dialog box appears.

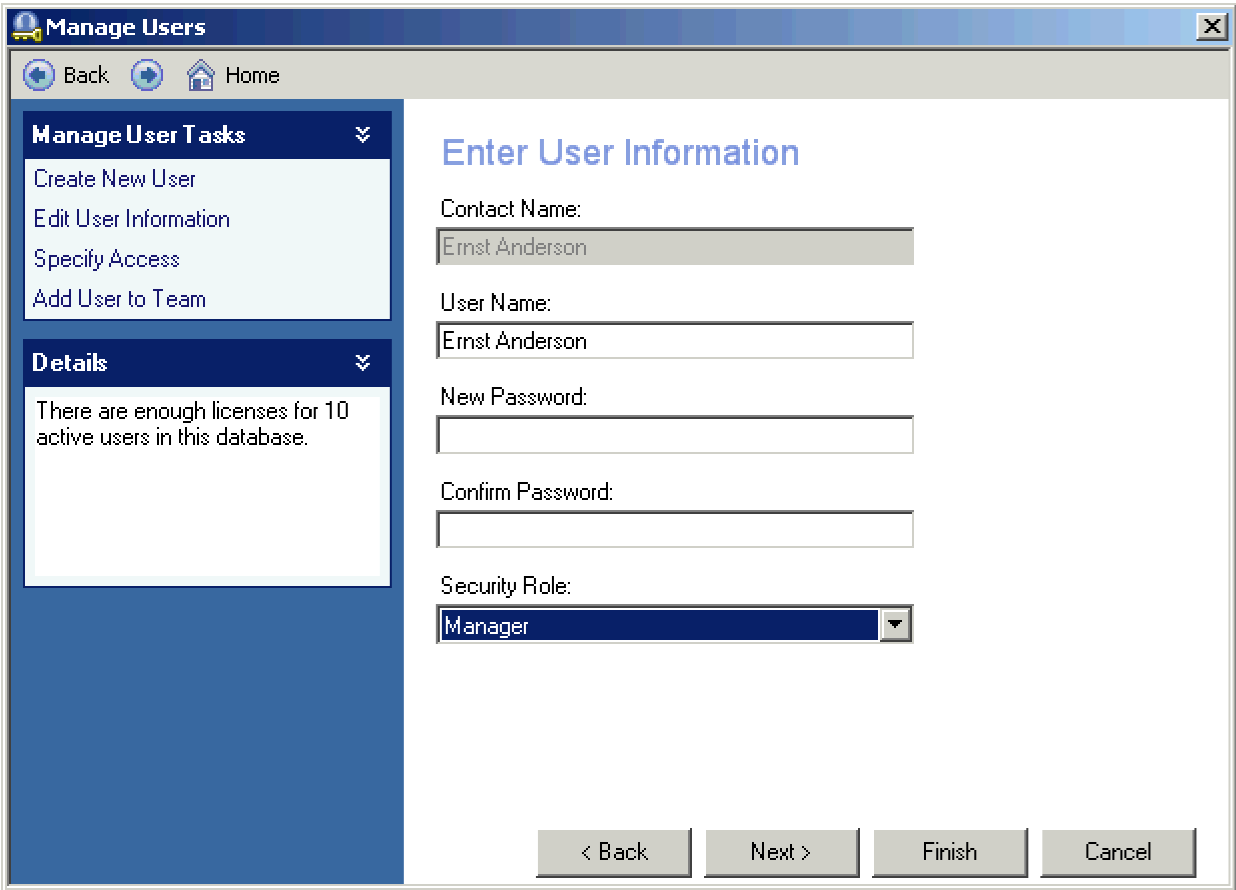


4. Click the **Create New User** option. The **Create New User** dialog box appears.

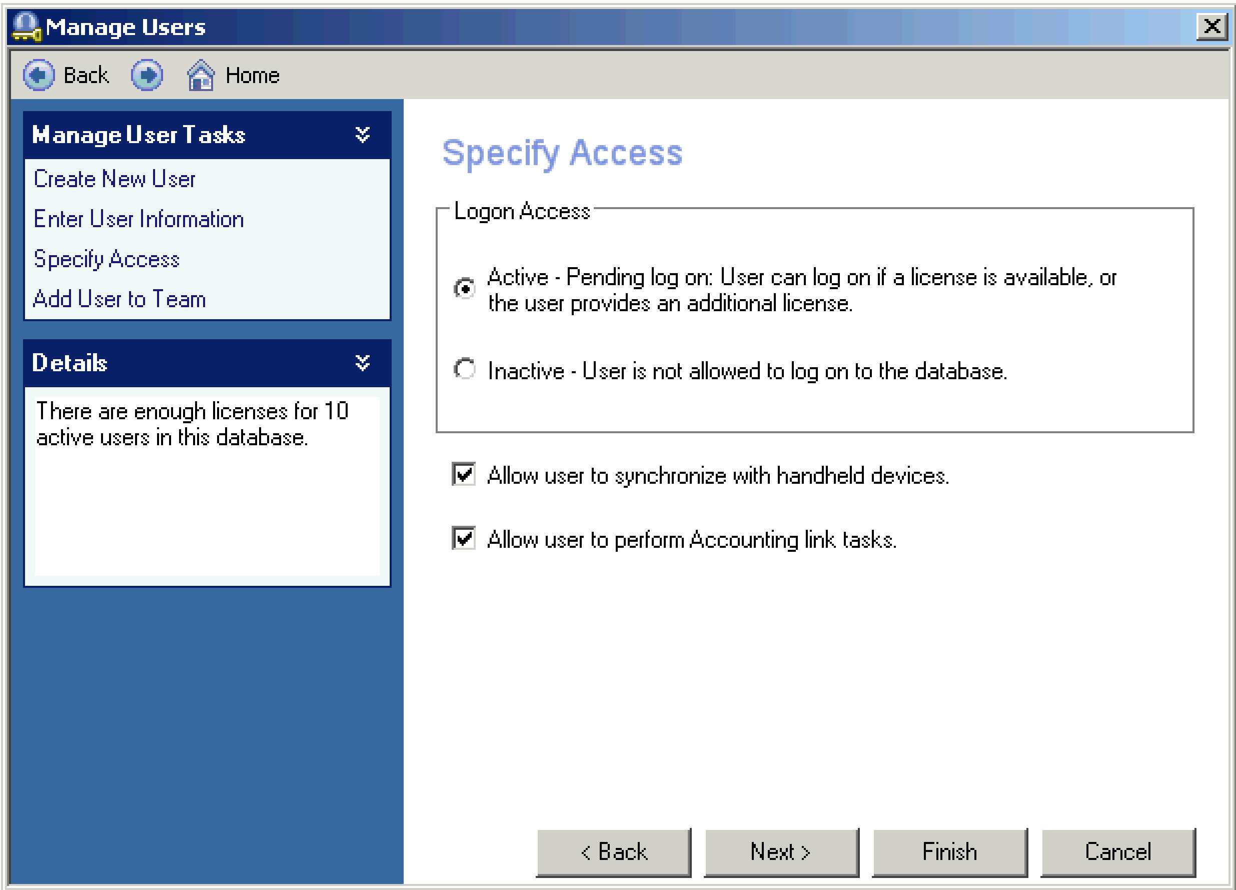
5. Ensure that the **Create User from Contact - Create a new User from an existing Contact** option is enabled, and then click **Next**. The **Choose Contact** dialog box appears with the first contact/user selected.



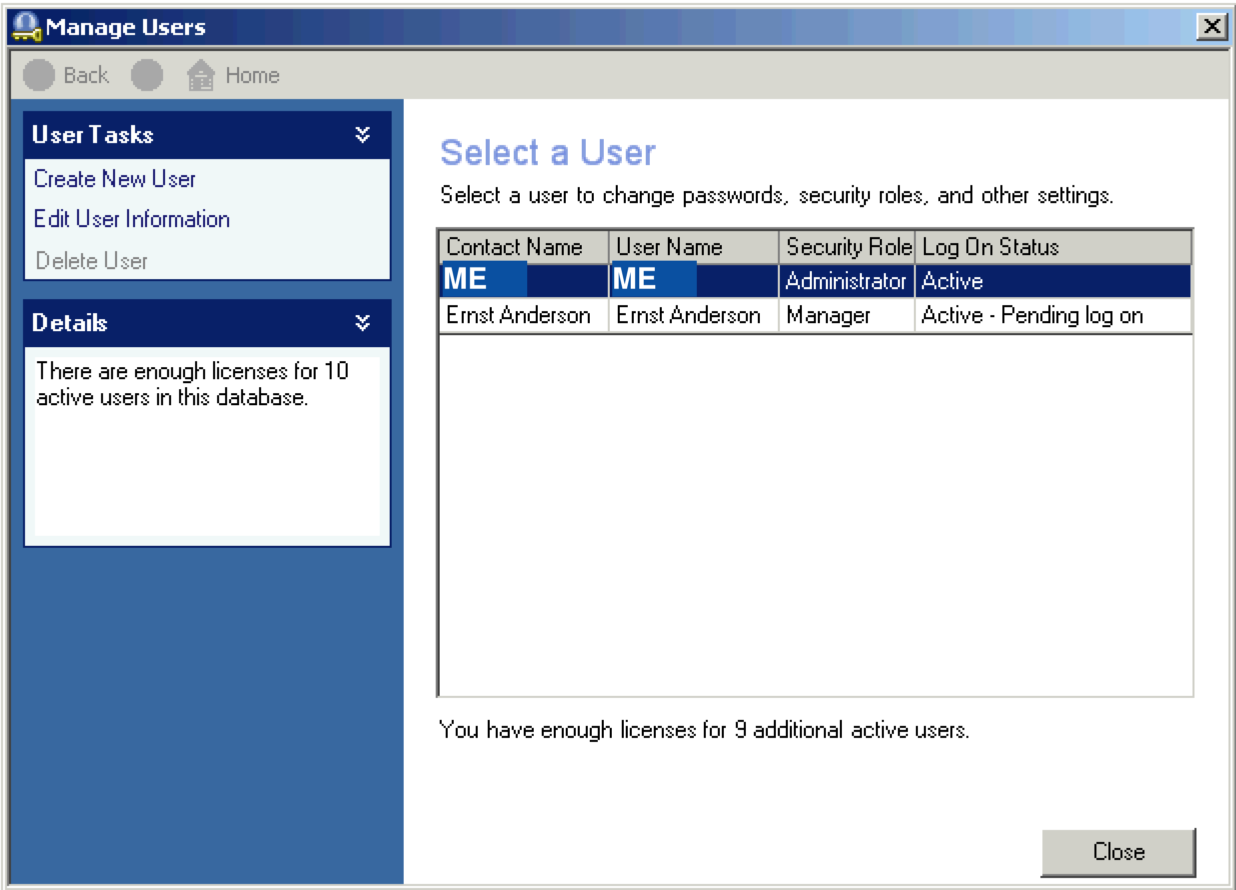
6. Click **Next**. The **Enter User Information** dialog box appears with this name displayed in both the **Contact Name** and **User Name** fields.



7. Enter and confirm a password (if desired) for this user, change the **Security Role** to either **Manager** or **Administrator**, and then click **Next**. The **Specify Access** dialog box appears.



8. Ensure that the **Logon Access** is set to **Active - Pending log on:** and disable options for handheld sync and/or accounting link tasks as appropriate and then click **Finish**. (it is not appropriate to add users to teams at this time) The **Select a User** dialog box re-appears with the new user information displayed.



9. Repeat steps 2 - 6 for each user. When all users have been created as Active Managers or Administrators, close the **Select a User** dialog box.

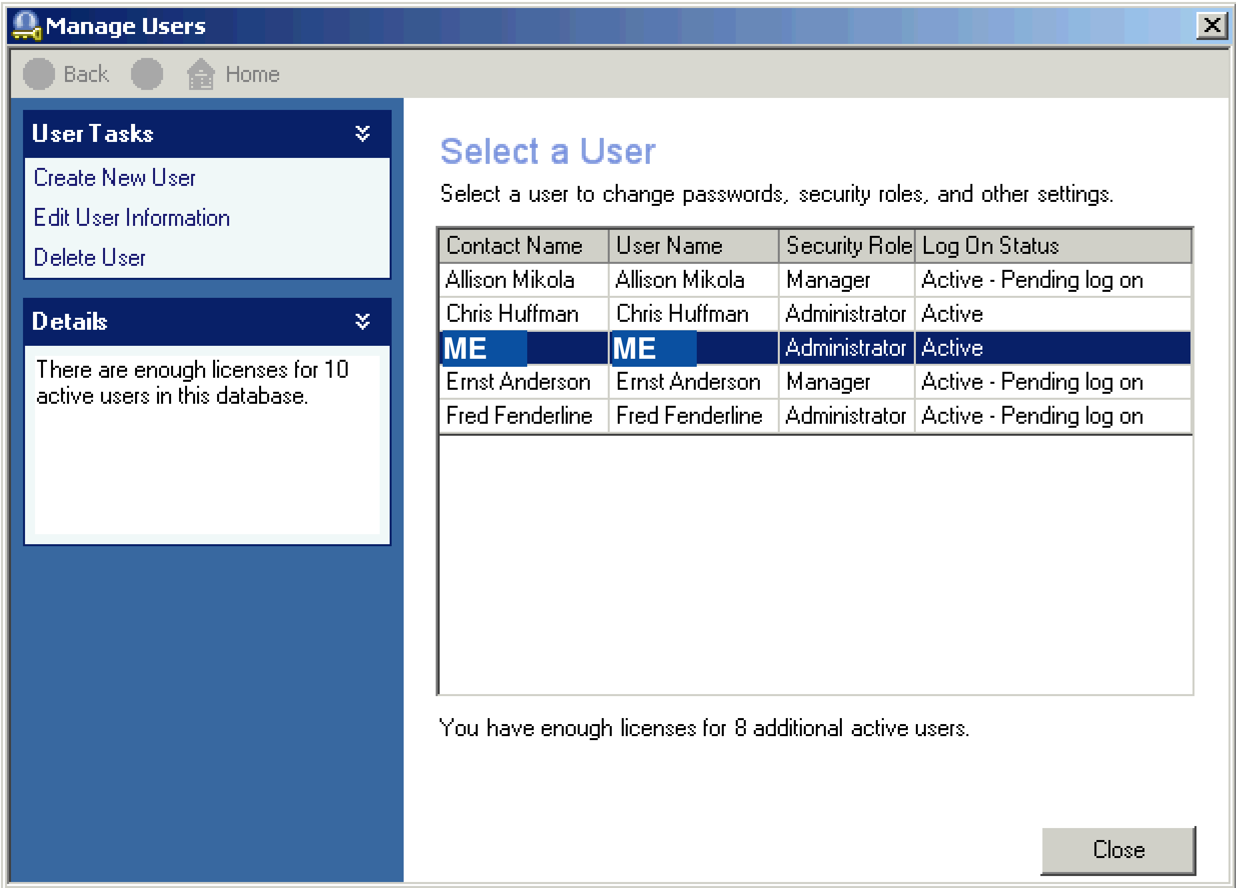
10. Restart your computer.

    Important Note: In order for the Notes, History and Activity information to be associated with the correct Record Manager; you must now log in to the destination database as one of the new users and delete the temporary user. This step will delete all note, history and activity information from the records in the destination database. When you **import** the records from the source database, these tabs will be repopulated with the appropriate Record Manager associations.

III - Delete the Temporary User called ME:

• If your copy of ACT! is licensed for a Single-User, login across the network to the database from a uniquely licensed copy of ACT! (so that this unique license will be added to the shared database), and then proceed to step 1 below: -otherwise-

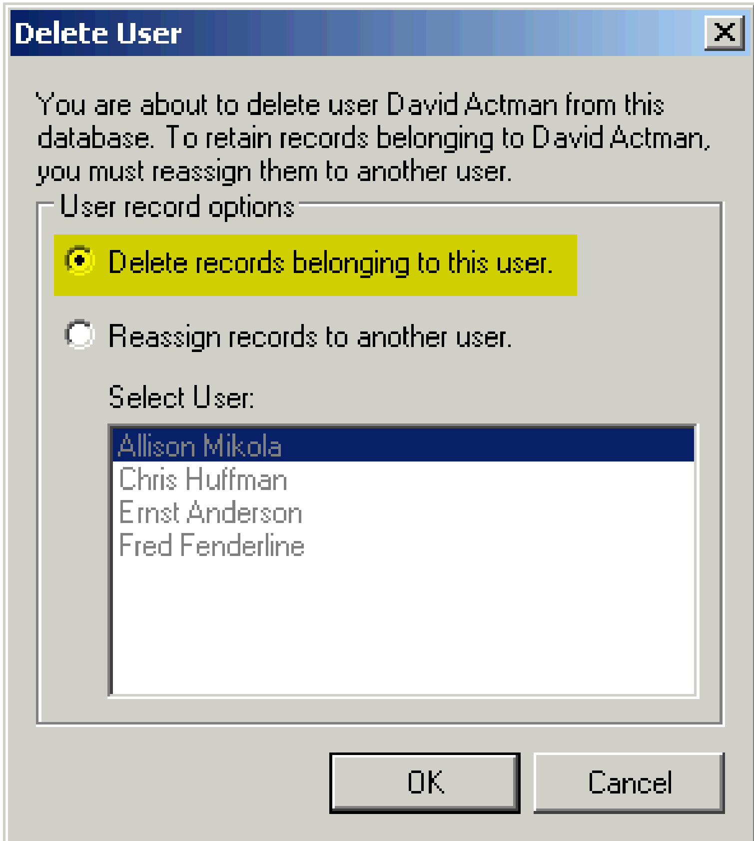
- Click the **File** menu, and then click **Open Database**. **Open** the **Advisor 30** database again, and this time login as one of the **Administrator** users created in the pro-



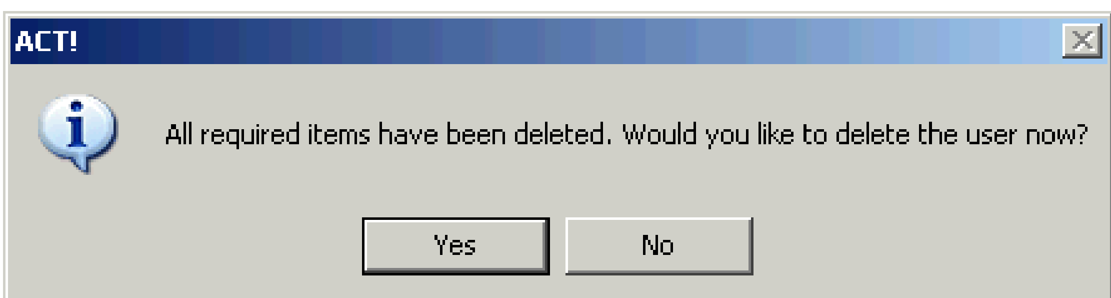
cedure above, and then follow the steps below:

1. Click the **Tools** menu, and then click **Manage Users**. The **Manage Users - Select a User** dialog box appears.

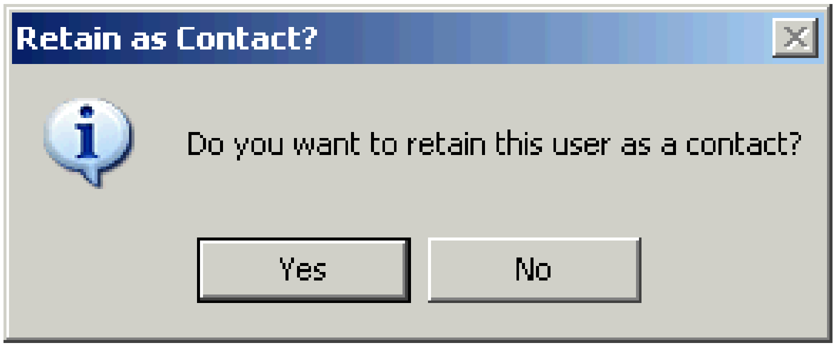
2. Select the **Me** user, and then click the **Delete User** option. The **Delete User** dialog box appears. This is needed in order for the **Notes**, **History** and **Activity** information to be associated with the correct **Record Manager**. This step will delete all note, history and activity information from the records in the destination database. When you **import** the records from the source database, these fields will be re-populated with the appropriate **Record Manager** associations.



3. Ensure that the **Delete records belonging to this user** option is enabled, and then click **OK**. The following **ACT!** dialog box appears.



4. Click **Yes** to confirm the deletion. The **Retain as Contact?** dialog box appears. **Note:** It does not really matter whether you retain this user as a contact or not, provided you intend for this contact to remain in the database and you ensure that Contact Merge Options are set to Merge for contacts that match.

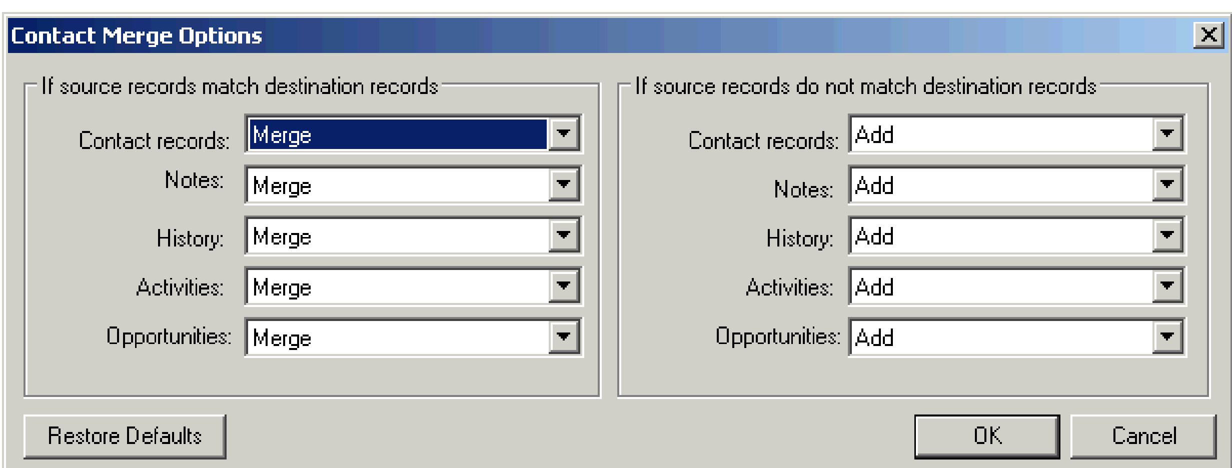


5. Click **No**. The temporary user is deleted. **Close** the **Select a User** dialog box. The **Notes**, **History**, **Activities** and **Opportunities** tabs will be blank and you are ready to **Import** the records from the source database.

IV - Import Remaining Data

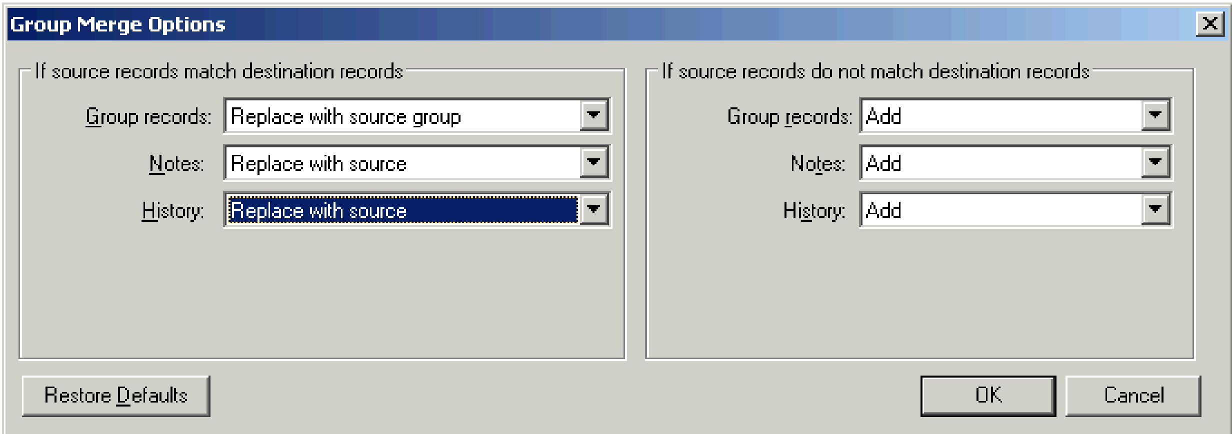
If you wish to transfer all records from the existing database, click the **File** menu, click **Import**, and then follow the prompts in the **Import Wizard**.

As you proceed through the **Import** (or **Export**) **Wizard**, it is VITAL that you examine the **Contact Merge Options** dialog box. The **If source records match destination records** section must be configured to **Merge** for all options.



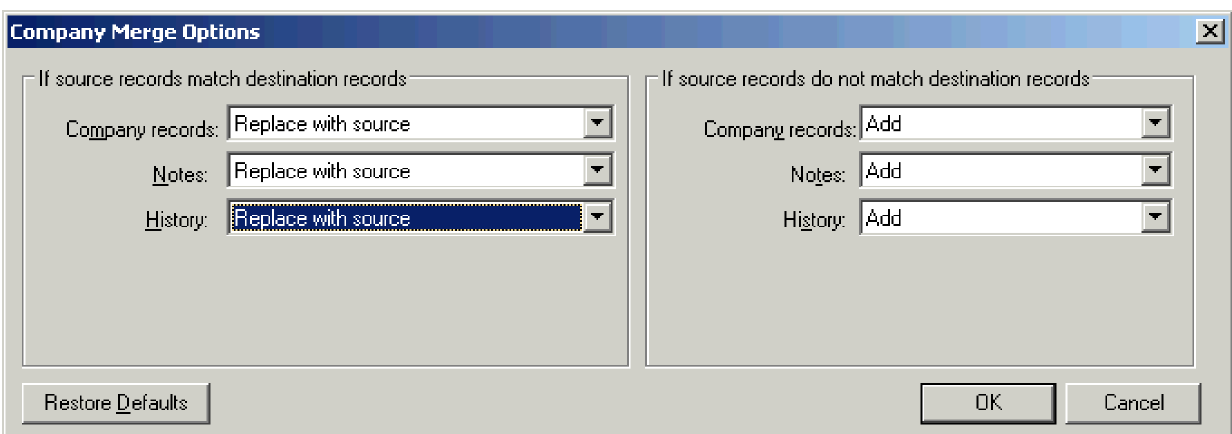
Configure the **Group Merge Options** for **If source records match destination re-**

cords section as follows:



Group records: Replace with source group
Notes: Replace with source
History: Replace with source

Configure the **Company Merge Options** for **If source records match destination records** section as follows:



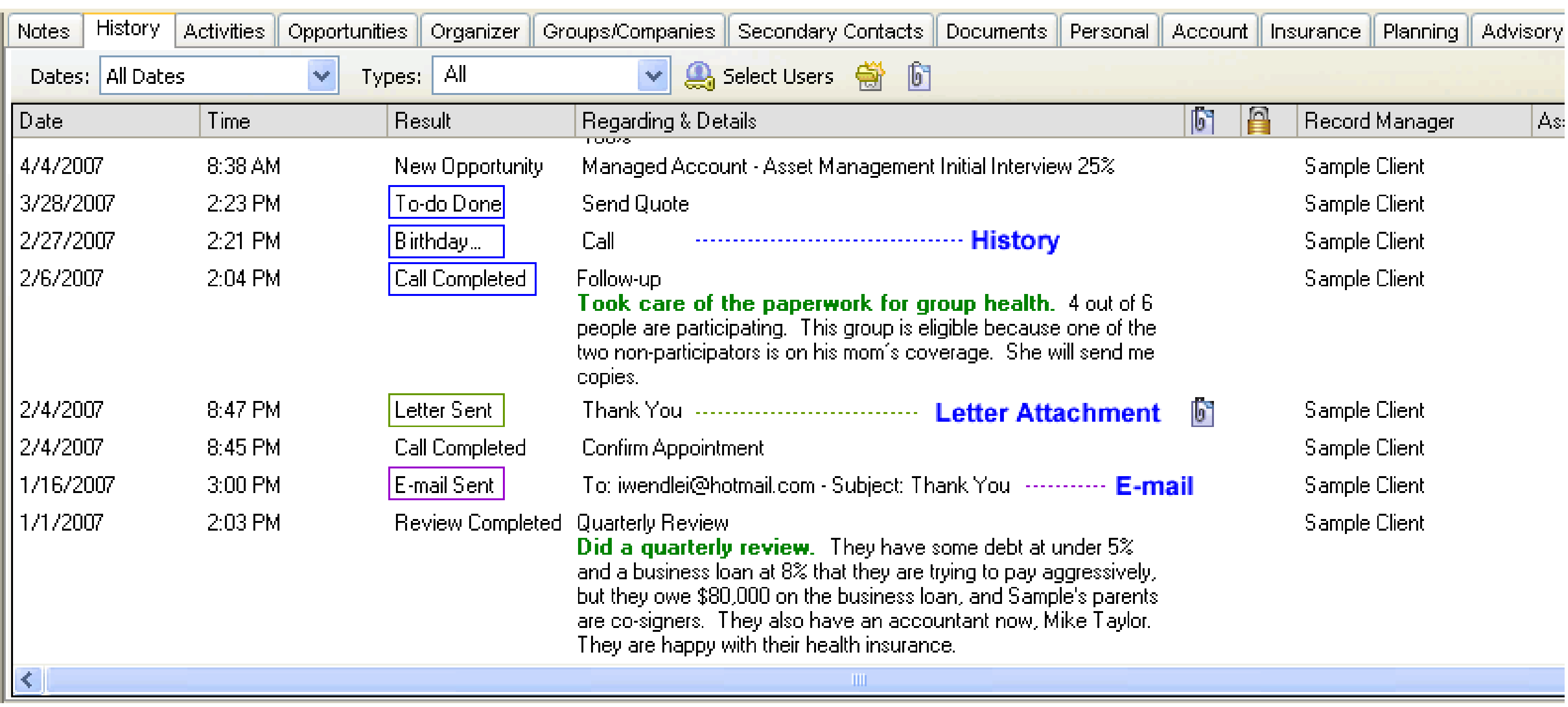
Company records: Replace with source
Notes: Replace with source
History: Replace with source

CHAPTER 5

Keeping a Record

ACT! and Act4Advisors allow you to track various information about a contact. It is prudent and sound business advice to keep track of every correspondence and conversation with a contact. You can serve your clients best by being able to remember or recount when something was done or said.

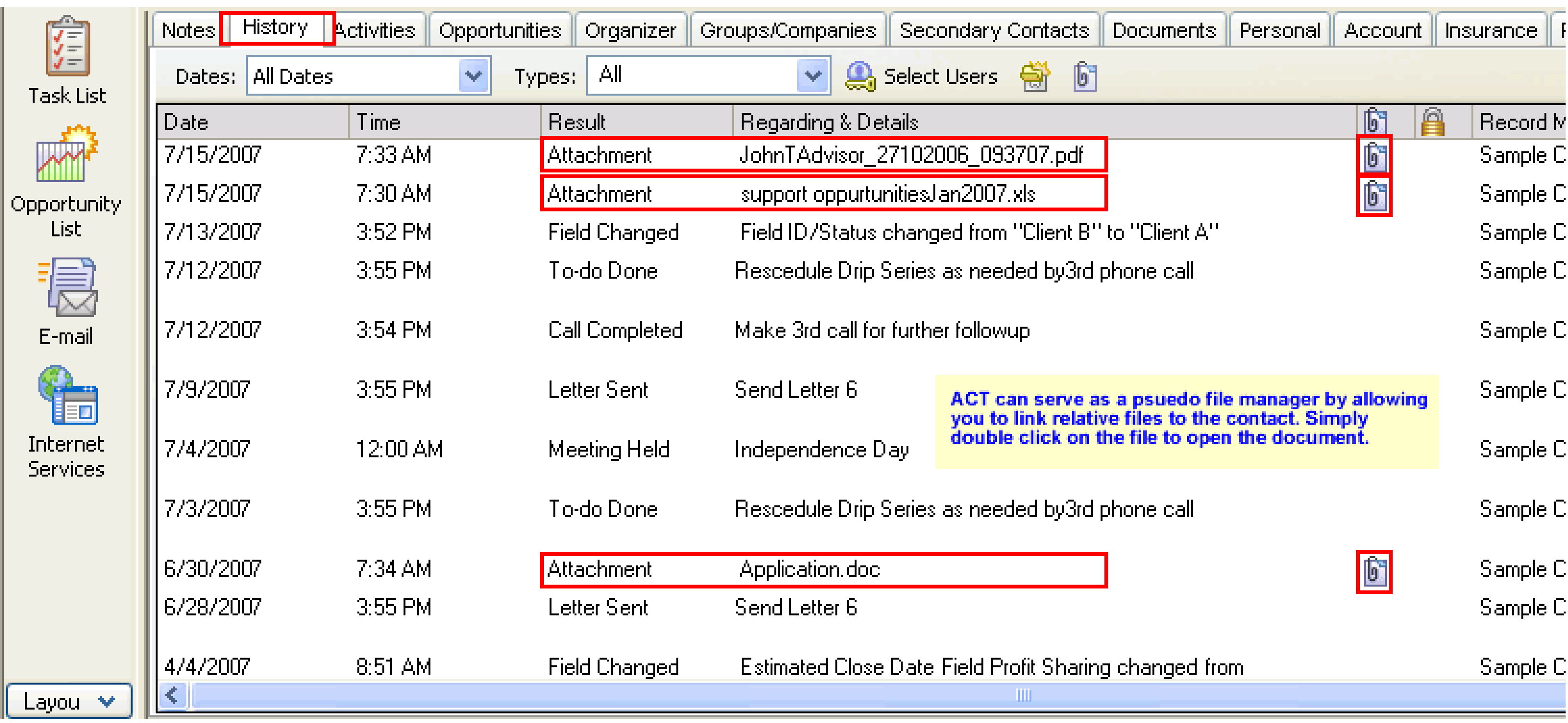
ACT! has several features to allow you to keep track. ACT! has Notes, Histories and Attachments that can give you a good record of all that has taken place with a client. This is the one feature of any good database system that can save you money and time.



Attaching Files

Attaching files is one of the most powerful features within ACT!. Being able to keep a trail of every correspondence keeps you informed and organized. You can attach files to a contact allowing you to easily find documents and images that are related to the contact. Some common attachments would include proposals, spreadsheets, letters sent, emails sent, etc. Other suggestions for linking files might include scanned documents such as tax returns, financial plans, investment policy statements, pictures, articles and other important information.

Fig 1. You can attach files in the History tab.



The Paperless Office:

With the right kind of software and scanner, ACT! and Act4Advisors can become instrumental in allowing you to “free up the clutter” of a typical financial services office. We recommend you have fast scanners. You will need a flatbed and/or a sheet fed scanner. Sheet fed scanners can free up time from having to manually place each page on the scanner. Flatbeds are great for books, bulky brochures, magazines, etc. Some flatbeds have optional sheet feeders. Just be sure the scanner itself is relatively fast. Twain compliant may be more versatile with more software choices than ISIS compliant but the later is typically the format used by high speed corporate scanners.

Faster scanners will be Firewire, SCSI or USB. USB 2.0 and Firewire are the fastest but there are not many Firewire scanners available as of the printing of this manual. For a USB Scanner, make sure it is USB 2.0 and make sure you have a USB 2.0 card on your PC. Research fully before you buy and see our later chapter on Scanning and Document Management.

Fig 2. The Documents tab is a better way to manage your attachments.

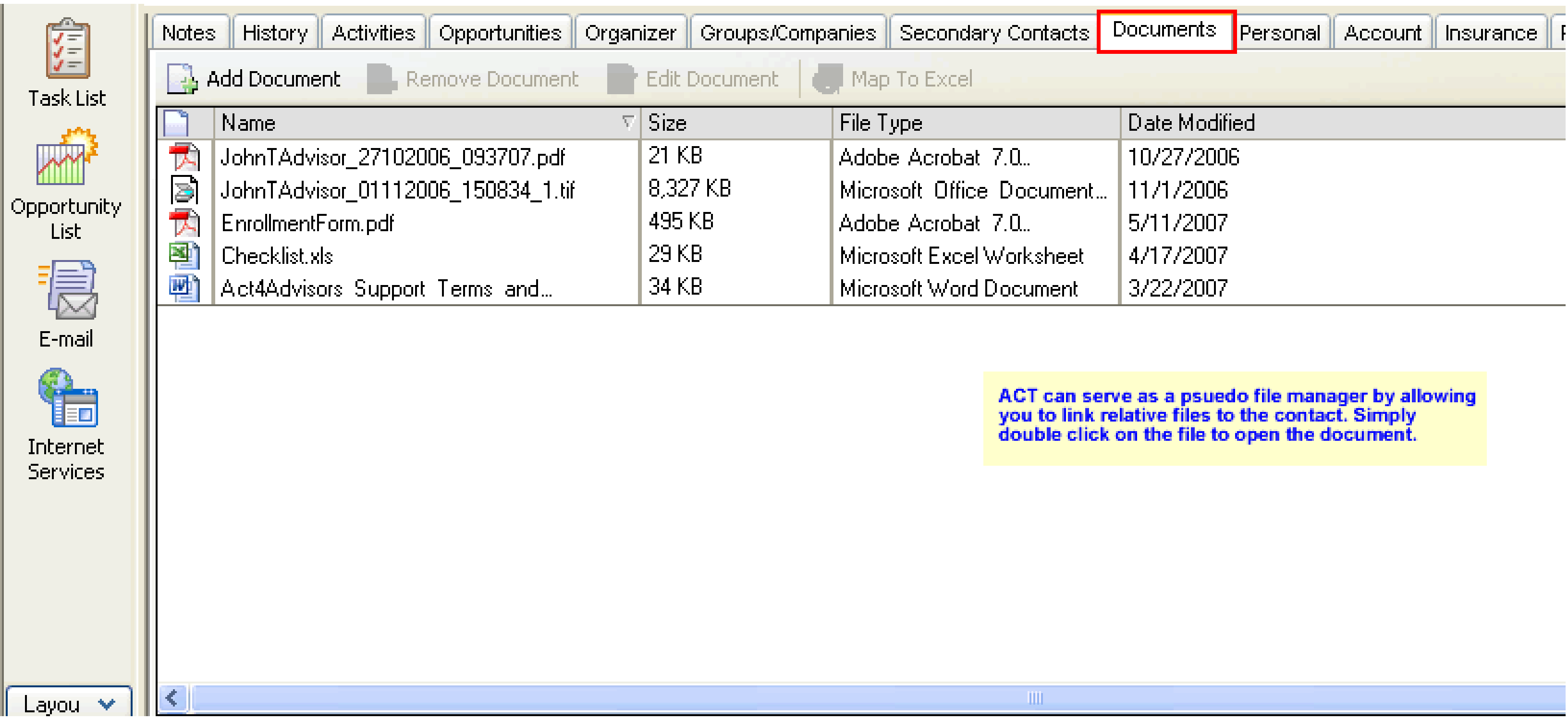
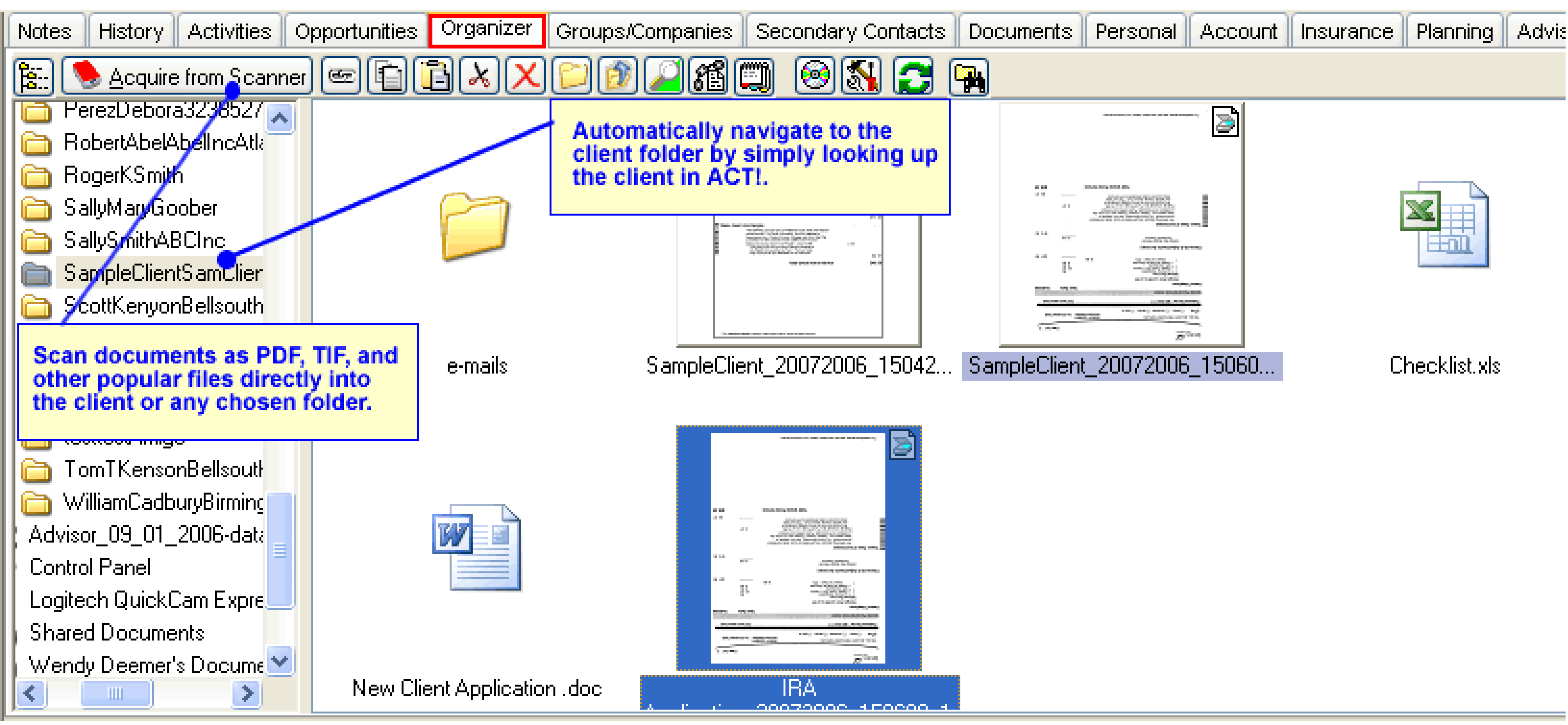
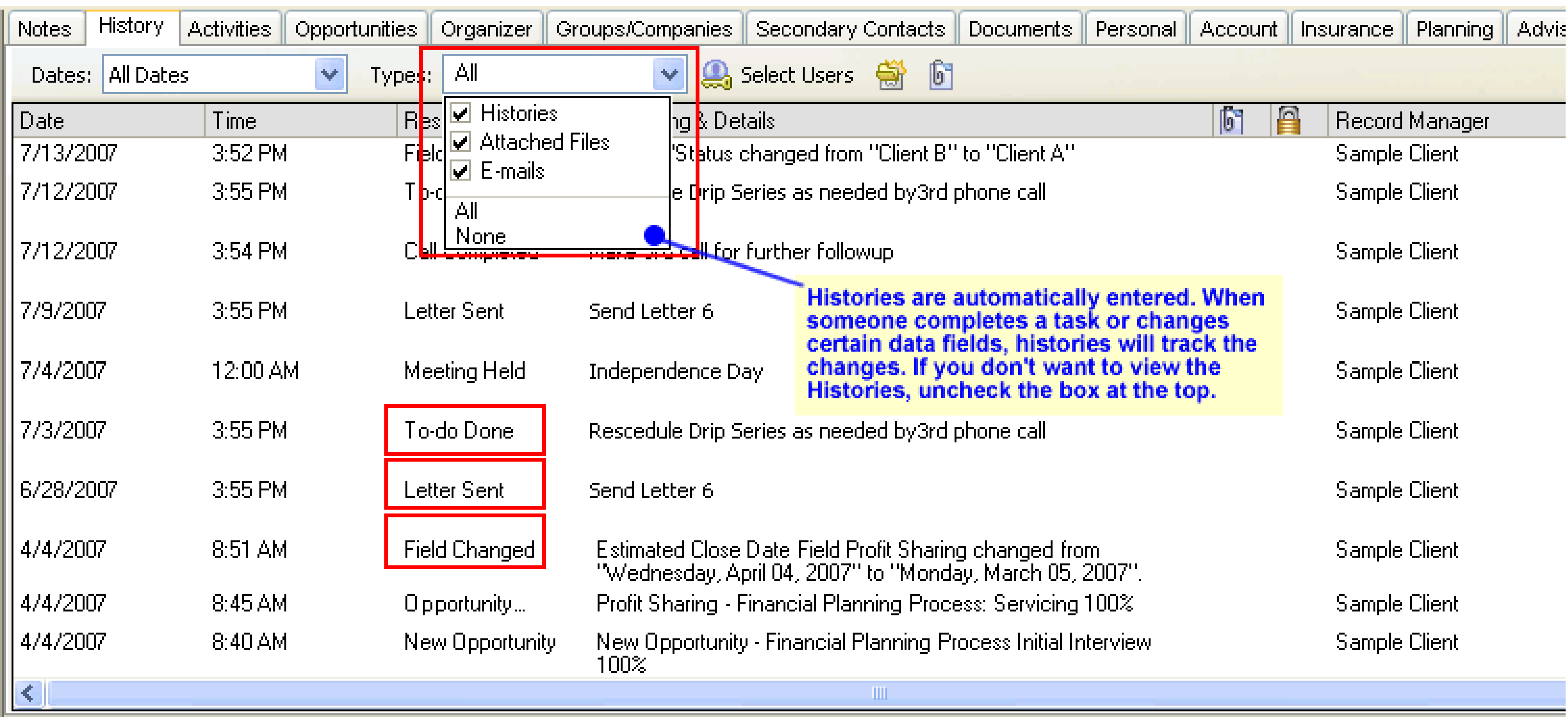


Fig 3. The best way to manage your documents is the Organizer tab or Scan and Organize for ACT. See page 103 for more details and instructions.



History Records

Notes and attachments are manually created but a History entry is normally done automatically for you. When you “complete” a call, meeting or to-do or make changes to some of the contact fields, a history notation is automatically entered in the notes area. For example, Act4Advisors inserts a History entry whenever you change the contacts Net Worth or if the Securities Held changes. This gives you an automatic entry that can be queried or simply referenced at a later date. It also allows you to track changes made to the contact record over time. Histories are noted with a file cabinet icon. To filter out histories from your view, uncheck the Histories box. This may cause slow performance so we suggest that you put the check mark back before you to the next contact record.



Turning Automatic Histories Off

If don’t want a field to generate a history when it is changed, click inside the desired field. Click on Edit, Define Fields. Uncheck the Generate History box for the appropriate field.

Taking a Phone Call and Keep the History

The “best practice” in making or taking a phone is to Record a History. Notes should only be used to note what was said but the fact that you spoke to a contact is tracked via a history. **When taking a call, hold down the Ctrl key and H key at the same time.** This will record a history that ACT! 6.0 can search for later. For example, you may want to know all of your clients you have not spoken to in the last 90 days. This would be difficult if you only used notes to record conversations. Notes can also be used for “non” conversations. If you simply search for all of the notes that have been added in the last 90 days you may discover you only typed notes and did not make a contact. Using Ctrl + H to record every completed call will be your best way to find out all of those you have actually spoke to.

CHAPTER 6

[1]con·tact

Pronunciation: `'kän-"takt`

an establishing of communication with someone

man·age·ment

Pronunciation: `'ma-nij-ment`

1 : the act or art of managing **:** the conducting or supervising of something (as a business)

2 : judicious use of means to accomplish an end

sys·tem

Pronunciation: `'sis-tem`

an organized or established procedure

Staying in Touch

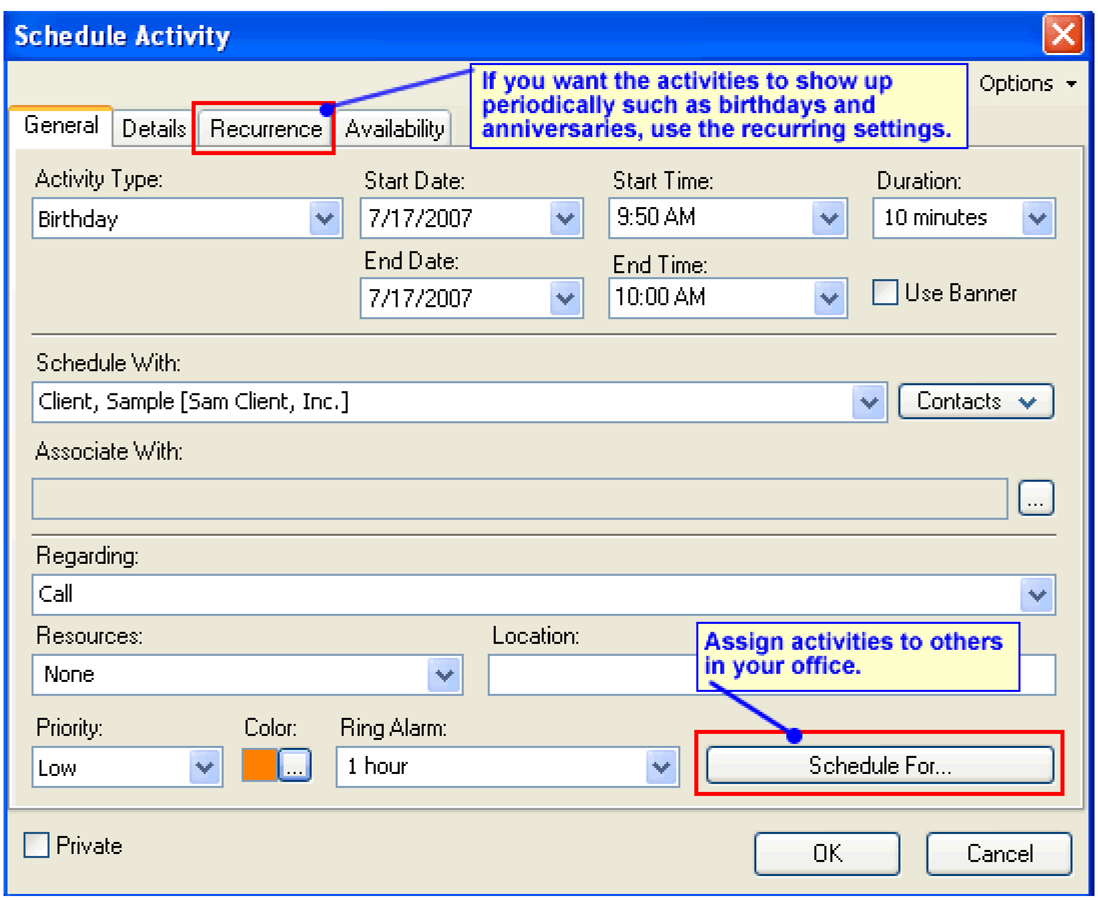
ACT! is a "contact management system." Each of these words needs emphasis. With Act4Advisors, you can better manage your relationships with clients, prospects and others. ACT!'s features combined with the Act4Advisors interface allows you to Stay in Touch!

Activities Tab

The Activities tab is also one of the most powerful parts of ACT! It allows you to schedule a Call, a Meeting, and a To-Do (such as write a letter or send out a birthday card). Activities can be scheduled for the current user or they can be delegated to someone else's "Task List." For example, you can set up a To-Do for your assistant to send out follow-up letters to everyone you have met with this week. Or you might want your assistant to input a financial plan for a client. These items will show up on the assistant's Task List and/or calendar for the dates you designate. You can easily verify what has been accomplished and what has not.

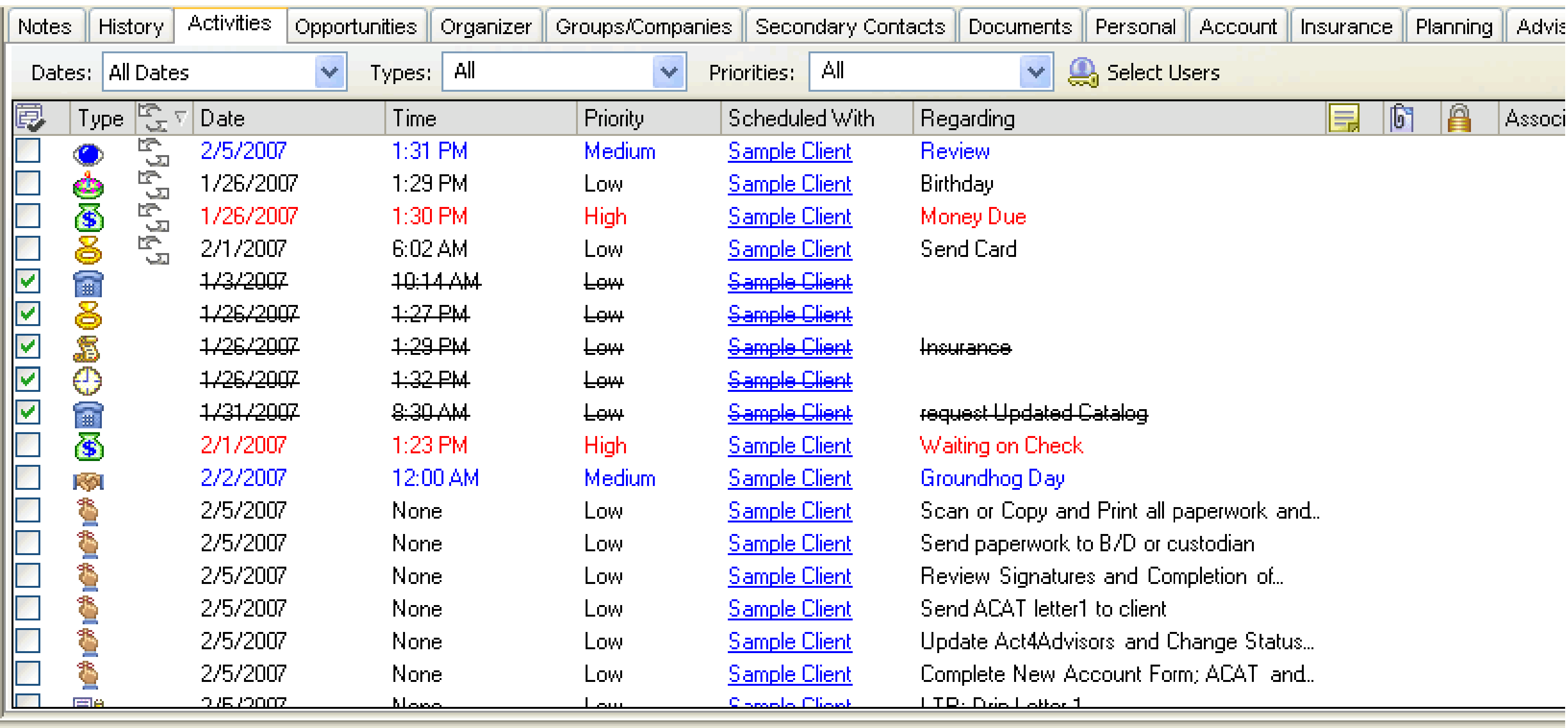
ACT! allows you to prioritize these scheduled activities with either High, Medium or Low tags. Successful people are not only those that always do the High priority items first, but they are the one's who can distinguish between a High, Medium and Low priority item. For example, if you make non-productive activities High priorities and productive activities Low, you will most likely never get anything accomplished in pursuit of your goals. To use Act4Advisors well, you must establish processes and procedures for effective contact management.

To schedule an activity you can either right click on the ACT! desktop and left click on Schedule or click on the appropriate buttons on the toolbar at the top.



The Activities tab allows you to view all activities you have scheduled for a contact. If you are instituting a “Drip Marketing” campaign, you can establish a list of calls and to-dos that will “recur” over specific periods of time. Consult your ACT! documentation for details on establishing recurring activities.

In the illustrated example, you can view those activities that have been cleared and those not yet done. If you are more interested in seeing all the activities you have established for the day, week or month, you have choices.



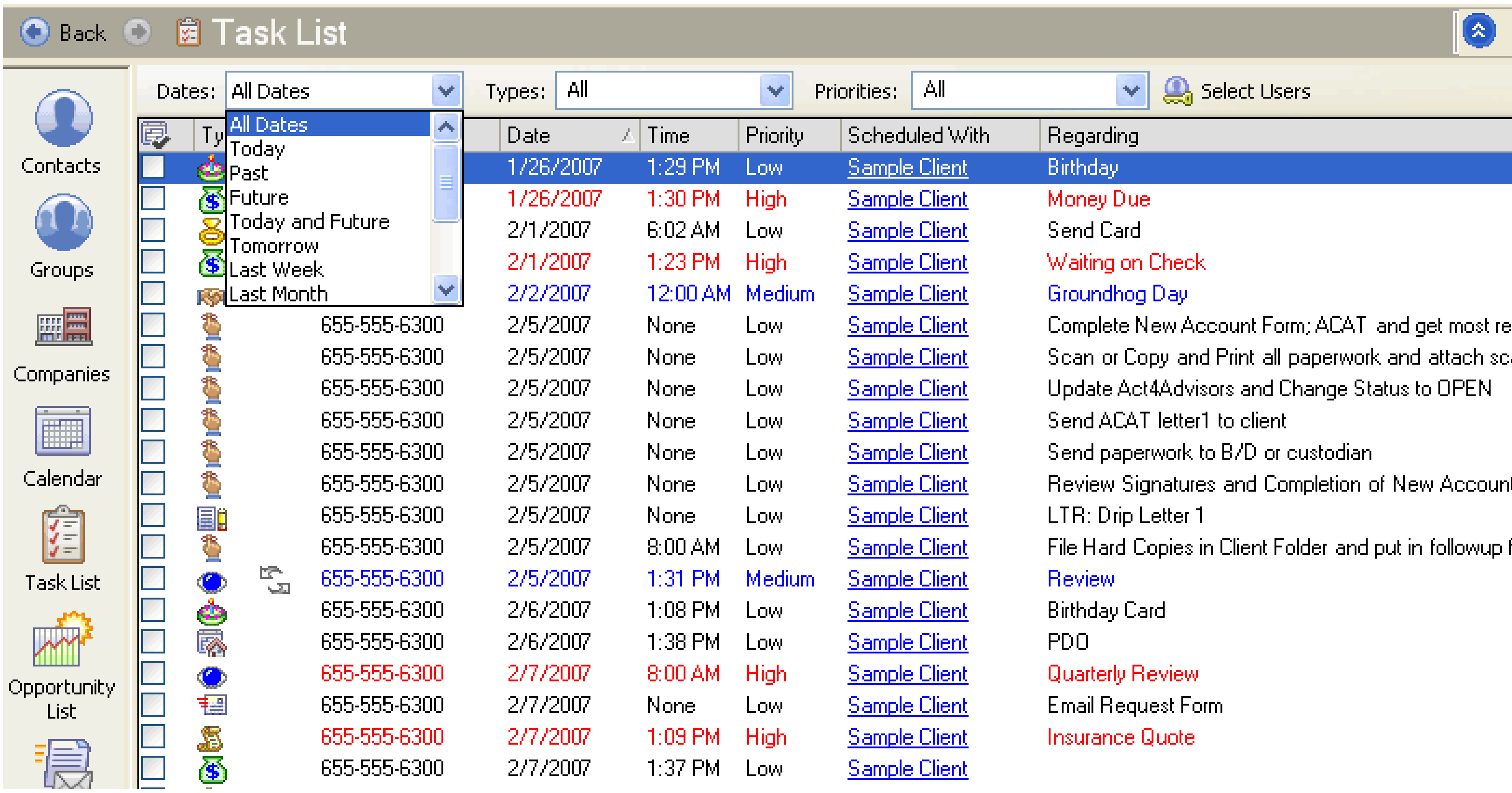
Date	Time	Priority	Scheduled With	Regarding
2/5/2007	1:31 PM	Medium	Sample Client	Review
1/26/2007	1:29 PM	Low	Sample Client	Birthday
1/26/2007	1:30 PM	High	Sample Client	Money Due
2/1/2007	6:02 AM	Low	Sample Client	Send Card
~~1/3/2007~~	~~10:14 AM~~	~~Low~~	~~Sample Client~~	
~~1/26/2007~~	~~1:27 PM~~	~~Low~~	~~Sample Client~~	
~~1/26/2007~~	~~1:29 PM~~	~~Low~~	~~Sample Client~~	~~Insurance~~
~~1/26/2007~~	~~1:32 PM~~	~~Low~~	~~Sample Client~~	
~~1/31/2007~~	~~8:30 AM~~	~~Low~~	~~Sample Client~~	~~request Updated Catalog~~
2/1/2007	1:23 PM	High	Sample Client	Waiting on Check
2/2/2007	12:00 AM	Medium	Sample Client	Groundhog Day
2/5/2007	None	Low	Sample Client	Scan or Copy and Print all paperwork and...
2/5/2007	None	Low	Sample Client	Send paperwork to B/D or custodian
2/5/2007	None	Low	Sample Client	Review Signatures and Completion of...
2/5/2007	None	Low	Sample Client	Send ACAT letter1 to client
2/5/2007	None	Low	Sample Client	Update Act4Advisors and Change Status...
2/5/2007	None	Low	Sample Client	Complete New Account Form; ACAT and...
2/5/2007	None	Low	Sample Client	LTR: Drip Letter 1

To view the daily calendar showing all activities scheduled for today, simply click on the Daily Calendar button on the side bar. The week view can be done with the button on the side bar or the F3 key. The monthly view can also be done with the F5 key.

Task List

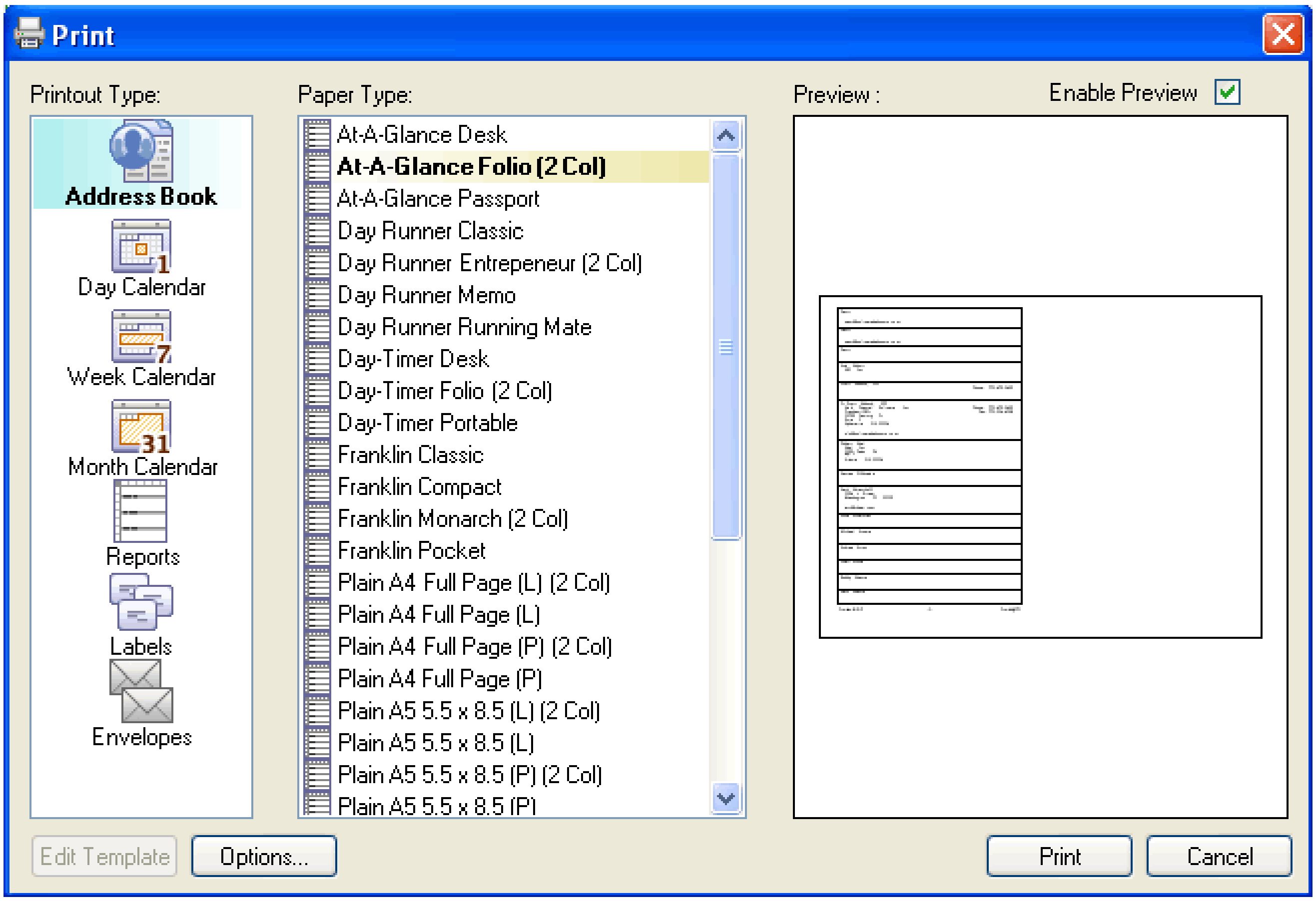
The Task List can shows all activities scheduled and allows filtering for any ACT! user, type, date range and even priority. Some people are more productive using the Task List as opposed to a calendar but both are helpful for different uses.

If you are interested in looking at the task list for your assistant, your boss or anyone else that is a user, choose the Select User button. You can see what has been scheduled, what has been accomplished and what has not.



Printing Calendars, Reports, Labels, Envelopes

To print, click on File, Print. Choose the printout type. ACT! has calendars formatted for various types of day planners. Formats available include Avery, Day Runner, Day Timer, Deluxe, Time System, Time Design and generic. To print a calendar click on File, Print and select the type of item you want to print from the pull down menu.

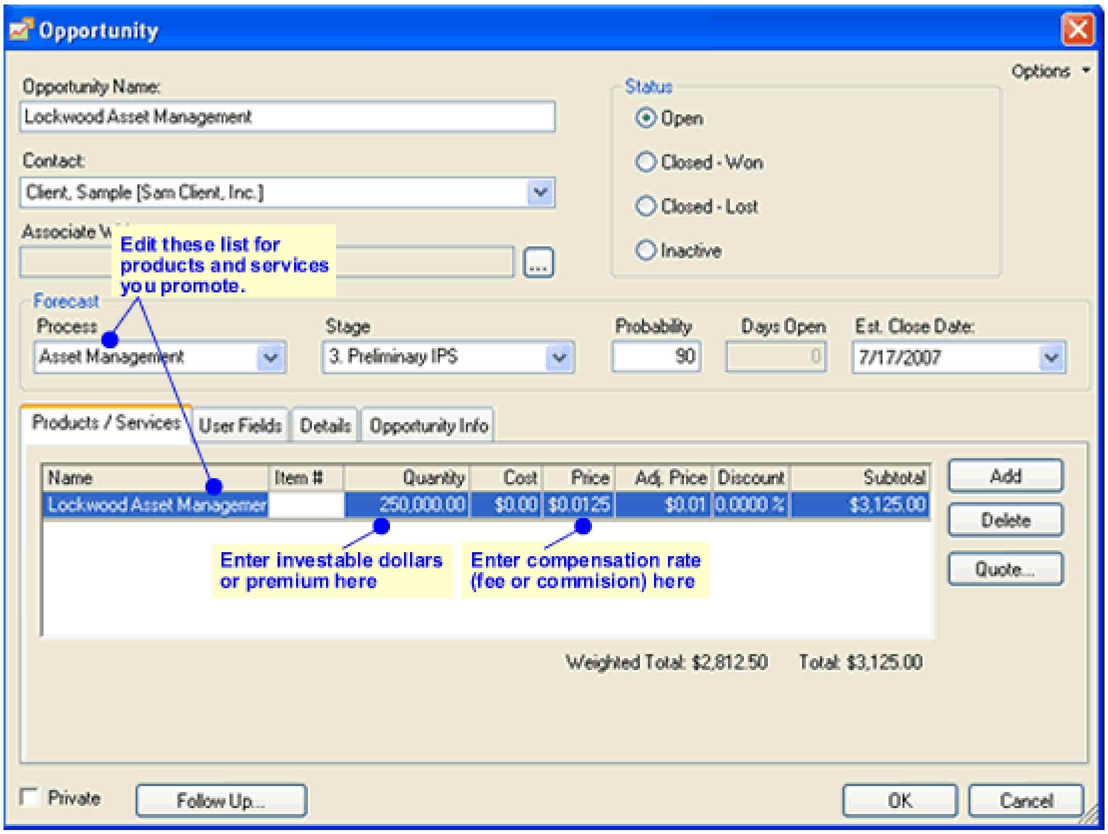


C H A P T E R 7

Sales and Marketing

Using the Sales Opportunities Tab

Whether you earn fees or commissions, you must still bring in new client accounts and you have to sell yourself and your services. ACT! has functions to help you track your sales pipeline. The Sales and Opportunities tab follows the Dale Carnegie approach but you can customize the Sales Stages based on your own needs. You are able to enter in the various opportunities for the contact and keep track of possible revenue



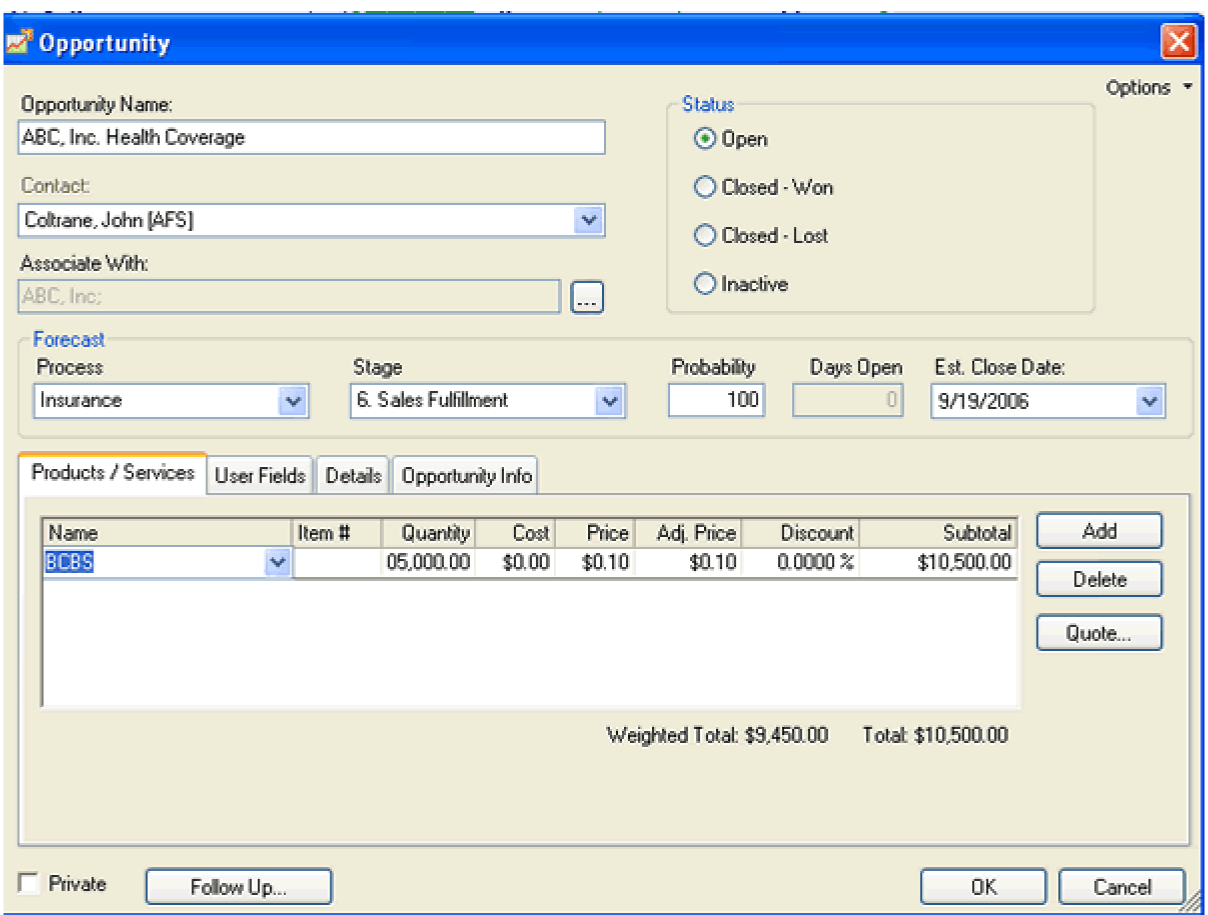
you might derive from those opportunities. We have also customized the sales reports to help you utilize the software for your practice.

Be sure to customize the drop down lists of Products and Type for the products and services you offer. We have included types as examples but not products. To modify these lists, click inside each field and "edit list".

To track possible revenue from a sales opportunity, we recommend you use a method consistent with the way you get paid. For example, if you are paid 1% fees on assets under management on a possible $100,000 account, you might enter the units as 100,000 and the price as $0.01.

The Amount will automatically be inserted.

For life insurance sales, enter your premium in Units and the commission in Unit Price. For stock or fund sales, use the same method as managed accounts above. To enter in a flat fee, enter 1 for Unit Price and the Fee in Units.



The probability of closing the sale is an ambiguous item. Typically, you should enter the amount of confidence you have in getting the business stated as a percentage. This may also depend on where you are in the sales stage. The Forecasted close date will give you a targeted date to close this business.

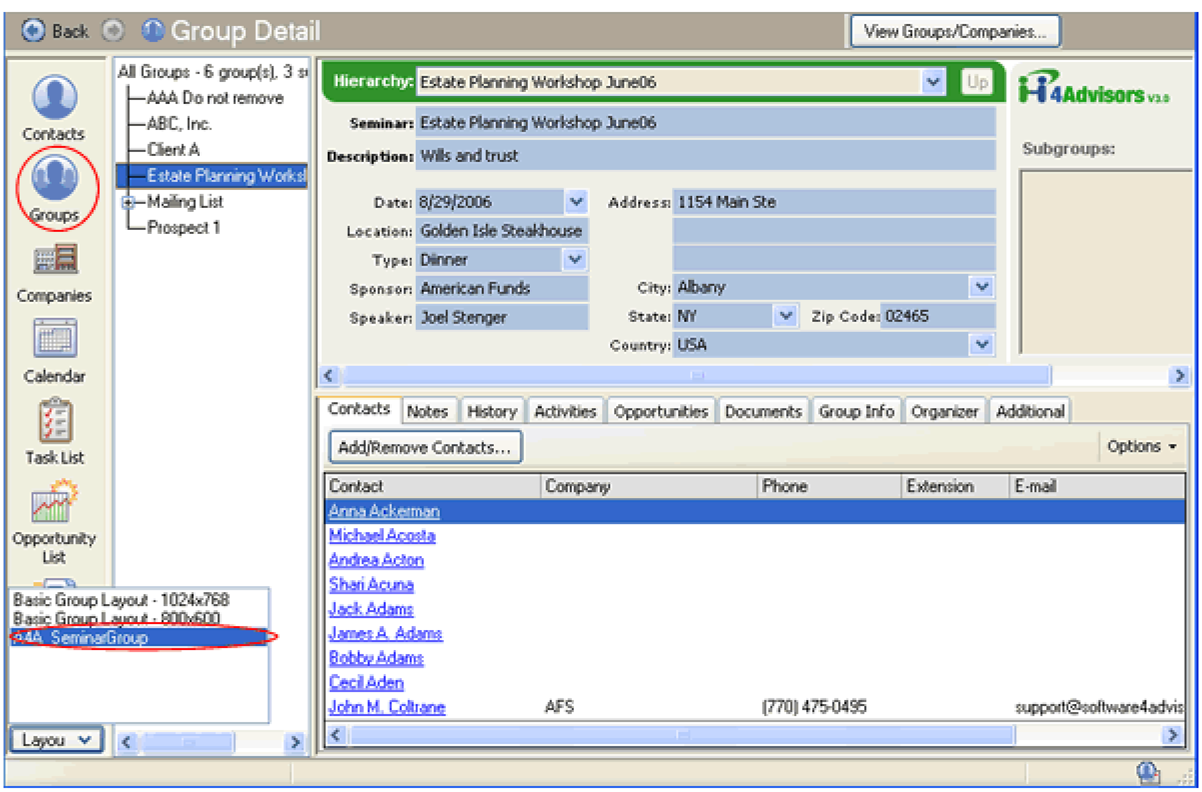
For more on Sales Opportunities Tab, consult your ACT!

Groups and Companies

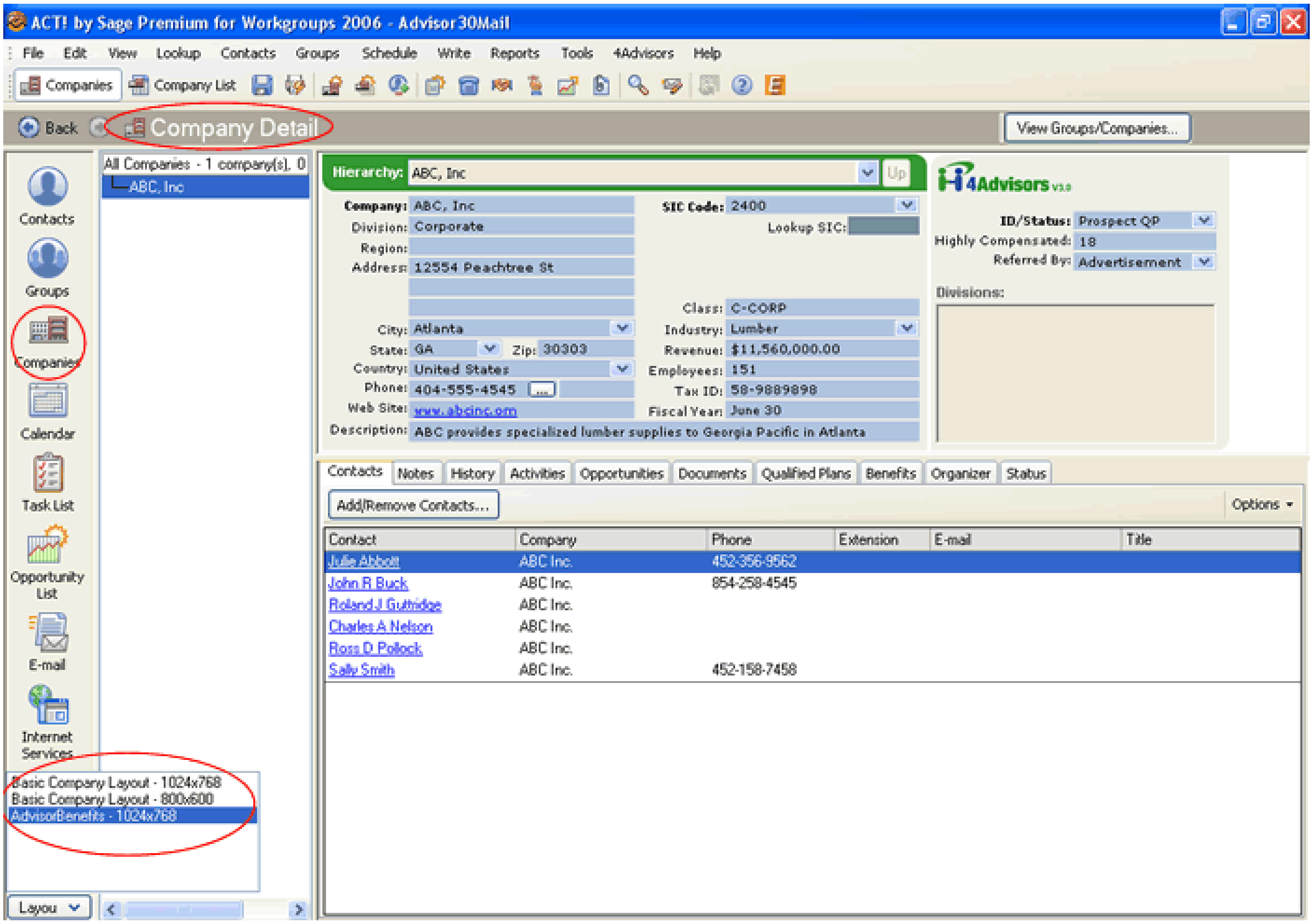
Groups and Companies are designed to help you segment your database into subsets where everyone in a group has something in common. Some examples of groups are :

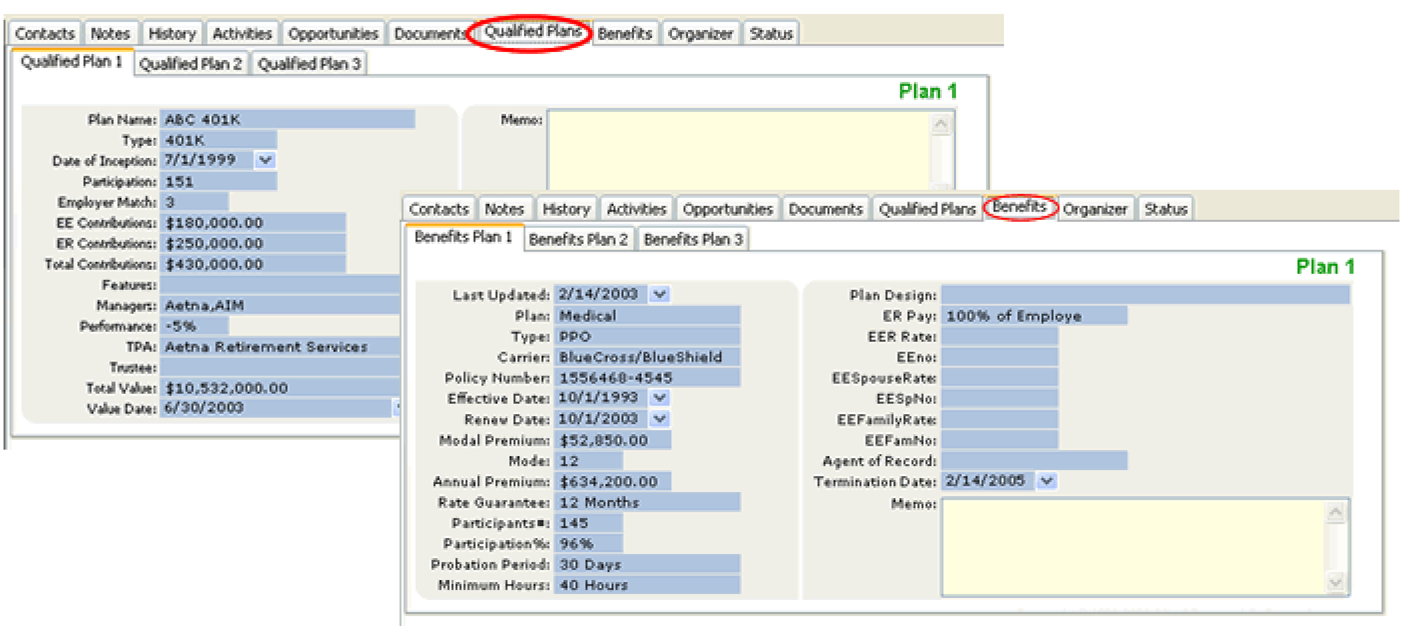
- Everyone who works for ABC Corporation whom you have implemented a 401k plan for
- Everyone who has a net worth above $2,000,000
- Everyone who is a client
- Everyone who is a hot prospect
- Everyone who is in Rotary Club
- Everyone who owns your Aggressive Growth portfolio
- Everyone you synchronize your Palm Pilot with
- Everyone attending your next seminar.

Individual contacts can belong to more than one group and in many cases, you may always assign the contact to a certain group. This will make looking up a group of contacts easier and faster. Groups, like contacts can also have activities, notes and user fields. Be sure to read our later chapters on Groups and consult your ACT! documentation.



Track Qualified Retirement Plans and Employee Benefits information within the Companies View. Additionally add contacts to the Companies membership.





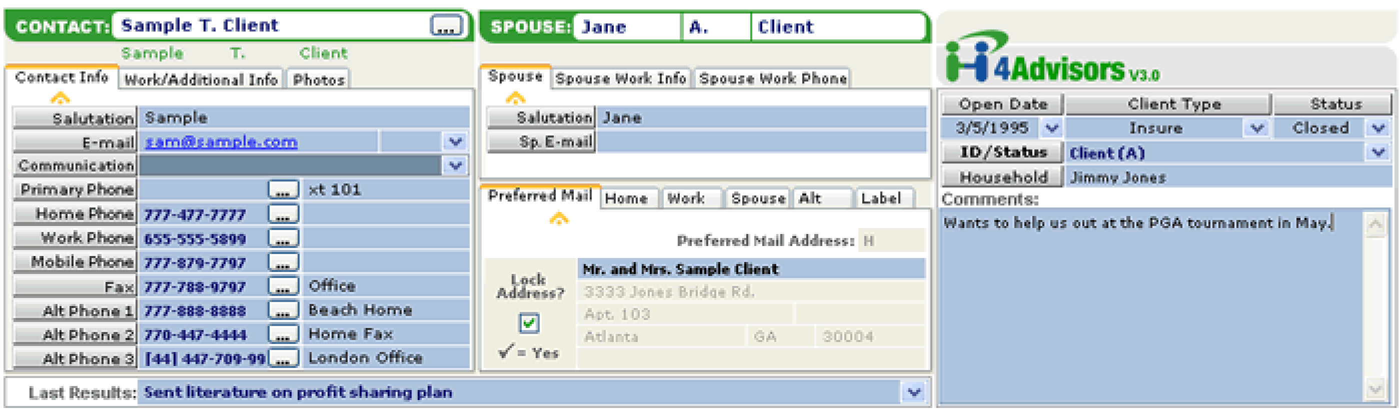
C H A P T E R 8

Act4Advisors Screens

The Main Screen

The screens in Act4Advisors will vary depending on the layout you have chosen to work with. For our illustrations, we will discuss the Advisor 2.0 1024x768.

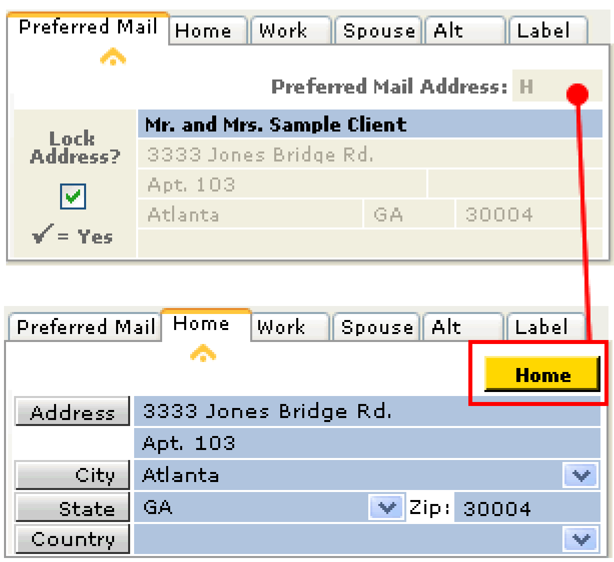
The main (top) screen was designed as the “home-base” for important information that will always be front and center. This top panel includes necessary contact items such as contact and spouse’s name, numerous phone numbers, address, ID/Status, email, Salutation (or nickname), Comments and Last Results.



Items to note:

- **Contact field**, you have the choice of either entering the name as Mr. and Mrs. Sample Client or Mr. Sample Client . Be sure to add “Mr. and Mrs.” and/or “Mr. & Mrs.” to your Preferences under the Names tab. Adding these First Name Prefixes to ACT! will allow the program to ignore them when including them in the contact name.**First and Last Name** fields for the contact are added automatically by entering in the contact name. These fields can only be change through the contact field. If ACT! gets confused as to which is the first and last name, you may get a dialog box that asks you to choose the first and last name. You can manually choose the first and last name by clicking on the button on the right side of the Contact field when your cursor is in the field.

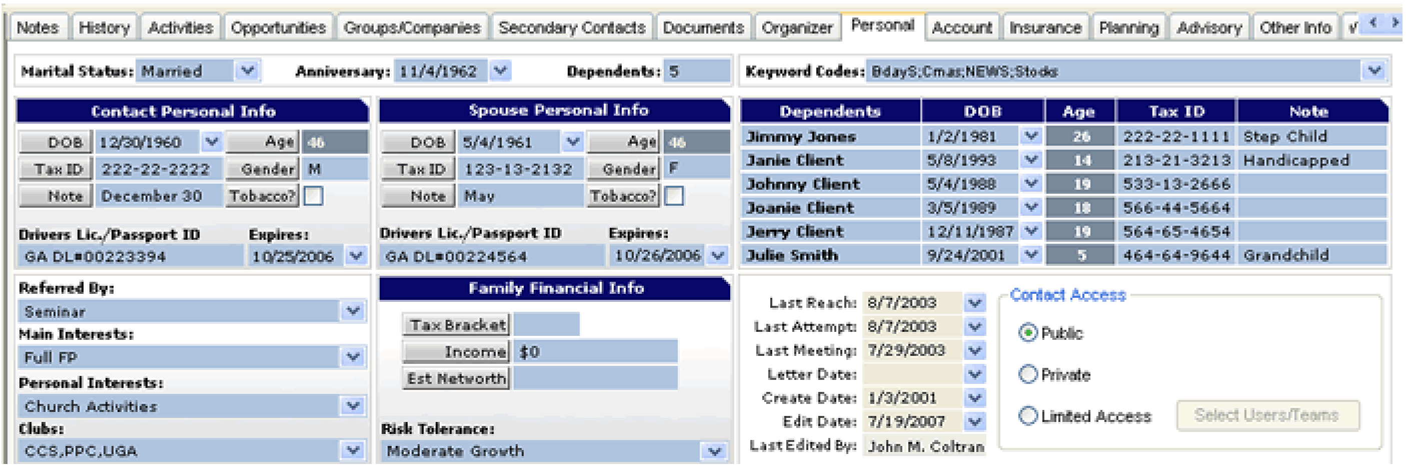
- **Spouse's Name** field is separated into two fields. When you enter in the Spouse's first name, the contact's last name is inserted automatically. Change it as necessary. When you delete the spouse first name, the last name is removed automatically.
- **Alt Phones** includes descriptions for the alternate phone or can be an extension or a note.
- **Salutation** is typically used in letters ie. Dear Sam or as a nickname, ie. you call Robert Smith, "Bob"
- **ID/Status** allows you to tag the contact with an identifier for future categorization and lookups, ie. Client, Prospect, Vendor, etc. Use the F2 key to edit the list if necessary.
- **Client Type** further qualifies the ID/Status. For example you might use this field to record a WRAP client, an Insurance client or a Financial Planning client.
- **Preferred Mailing Address** is "copied" from one of the address fields. When all the addresses are entered, you can simply choose the Preferred Address. This will cause the fields to be populated. By incorporating a Preferred Address mechanism in Act4Advisors, we have made it easy for you to use one template and have letters go to home addresses for some clients , business addresses for some and Alternate addresses for others.



- **Formal and Informal Salutation** fields that can help you address letters differently. For example, you might want to address some letters, "Dear Mr. and Mrs. Smith" and other letters "Dear Jimmy and Janie." These fields will then need to be added to your letter template.
- **Status** is used either Open or Closed. If you are currently working on a financial plan, have an outstanding ACAT or have an insurance app is underwriting, the record should be Open. When all work is done for the client, you should mark the Status as Closed. This makes it easy to determine who you are actively working with at this point in time.
- **Household Link** is used to help you determine if this contact is related to another contact in

the database. For example you might have an adult child whom you have entered as a prospect and they are “Linked” to their parent.

- **Open Date** is used when the prospect was first contacted or when the client became a client. From this field, you can determine how long a client has been with you or how long you have been chasing the prospect.
- **Last Results** is a great reference item. Enter the last thing you did or said to the contact.



The Personal Tab

The Personal tab in Act4Advisors allows you to keep track of personal information on the contact. Dates of Births, Children's Names and DOB's, Estimated Net Worth (not to be confused with actual net worth on the Investment tab), tax rate, family income and others. Like most ACT! fields, it is best to use the "drop down" lists from the appropriate fields. This will make your data entry consistent and easily searchable. You can edit these lists by clicking on the F2 key on your keyboard.

Items to note:

- **Referred By field** will help you run a report on where your business has come from over the last year or more. When you a have a referral from a client, type ie. Referral : Sam Client
- **Dependants and Smoker Status** are used in creating the Employee Census report.
- **Drivers License** should include the state in the number, ie. GA #1233445

Date of Birth field, when entered, updates the Ages and Required Minimum Distribution Dates. Because the age is static, after entering in the DOB, you will have to periodically update the database by either entering and exiting the DOB fields or you can use our *GlobalAge* update program. Look on the Act4Advisors menu or you can put this program in your Windows Task Scheduler to run periodically to keep your data current.

- **Keyword Codes** is used to track various types of data without having to create a field for each of those types. For example, you might create a keyword code for baby boomer, seminar attendee, tax client or quarterly report recipient. With the Act4Advisors Contains Lookup, you can easily find those contacts that meet your search criteria. This lookup feature is located on the Act4Advisors menu.
- **Status Dates -** The majority of these dates are generated automatically when you do one of several things:
  1. **Create Date :**The date you created a contact record
  2. **Letter Date :** The date you last Printed and recorded a history for a letter
  3. **Last Attempt :** When clearing a call, you checked “Attempted” or “Left Message”
  4. **Last Meeting :** You cleared or recorded a history for a meeting as “Held”
  5. **Merge Date :** The date you last merged or imported data into this contact
  6. **Edit Date :** The date you last edited the contact record
  7. **Last Reached :** The date you “completed” a call by clearing a scheduled activity or recorded a history.

  Most of these dates are automatically added by the system. If you are using ACT! correctly, you should update certain activities. For example, if you have a call scheduled in ACT!, you can do one of several things:

  Complete the call

  On the activities tab or the task list, if you check this box, the system date will reflect the fact that you completed the call by updating the Last Reach field

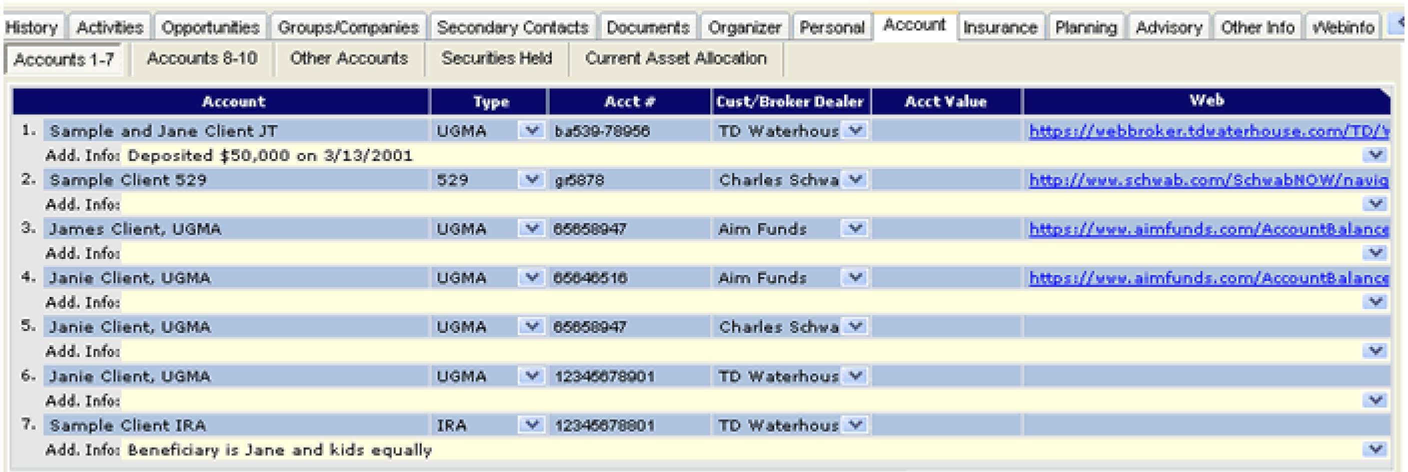
  Receive a call

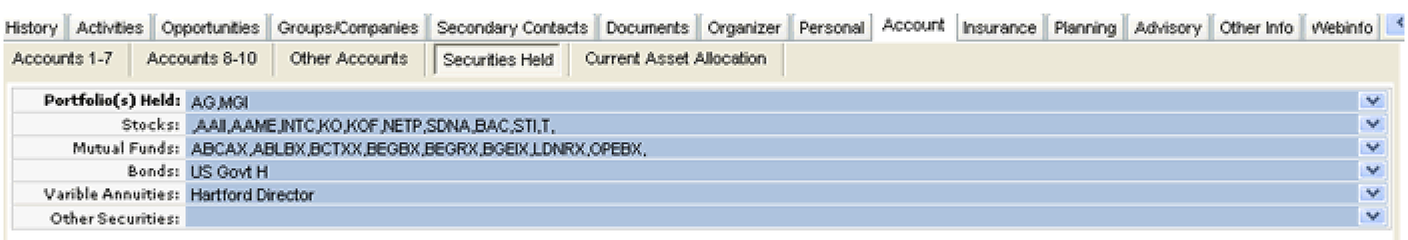
  Checking this option will NOT update any of the Status date fields but it WILL create a history on the Notes/History tab. A Received Call is normally entered by an Administrative person or Sales Assistant who took a message for the Advisor. Since the call is not complete, the Last Reach is not modified.

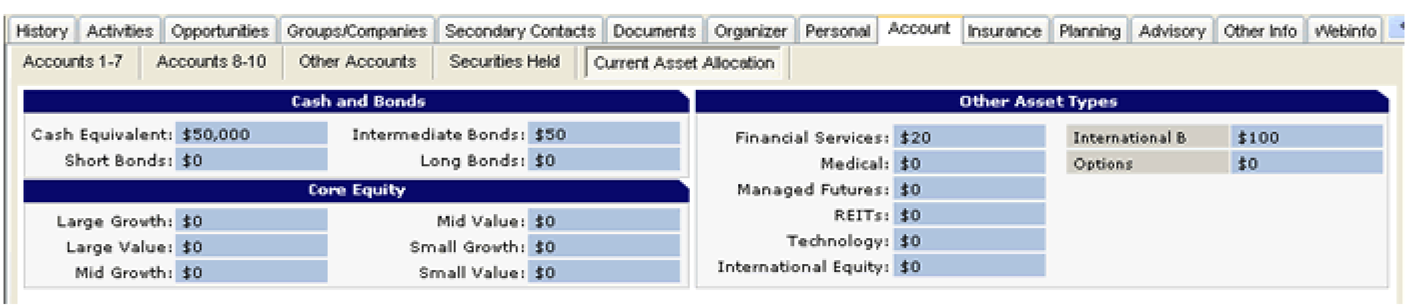
Account Tab

The Accounts tab has three components but one main function. The three components are the Accounts, Securities Held, and Current Asset Allocation. The main function is give immediate access to information that you will typically need when discussing the client's accounts on the phone.

We have incorporated links to either bring up the web based account login screen or the security quotes themselves.







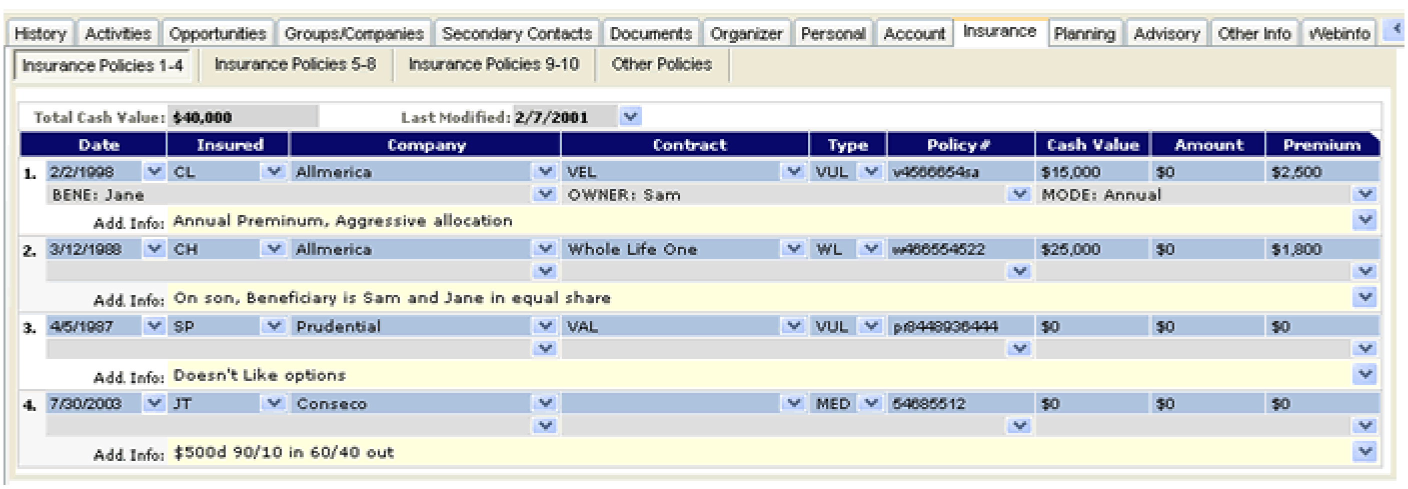
Items to note:

- **Securities Held:** Since all fields in ACT! can be searched, you can search or "query" the database for all clients who own INTC (Intel). The ***Act4Advisors Contains Lookup*** feature, will help you easily search for all clients with specific holdings. This feature is discussed in a later chapter.

- **Portfolios Held:** Allows you to track the model portfolios the client owns. Customize the list to your own models.
- **Web Site Address:** The best way to utilize this feature is to use your web browser to find the exact web page address where you are able to log onto the investment companies site. For example, if the client has an account at TD Waterhouse, browse to tdwaterhouse.com and click on "LOGIN." Now, copy the web address or "url" of this page into your account's web address field. Next time you want to access the client's account online, simply click on the address. You may also have to enter the account number and password so be prepared each time you try to logon.
- **Current Asset Allocation:** Act4Advisors allows you to manually enter in the client's current asset allocation. This feature is necessary for those advisors who do not have a portfolio management software program.

Insurance Tab

The Insurance tab allows you to add up to 10 insurance policies to an Act4Advisors contact with an optional field at the bottom to handle additional policies. Our policy fields are designed to give you immediate access to the policy information you normally need including Policy Date, Policy Number, Carrier, Policy Name, Policy Type, etc. The fields included allow you to track Life, Annuities, Disability, Long Term Care, and even Property and Casualty. The Additional Info fields allow you to incorporate data that might be necessary for additional needs. Be sure to customize the pull down lists for your use.



Other Items to Note:

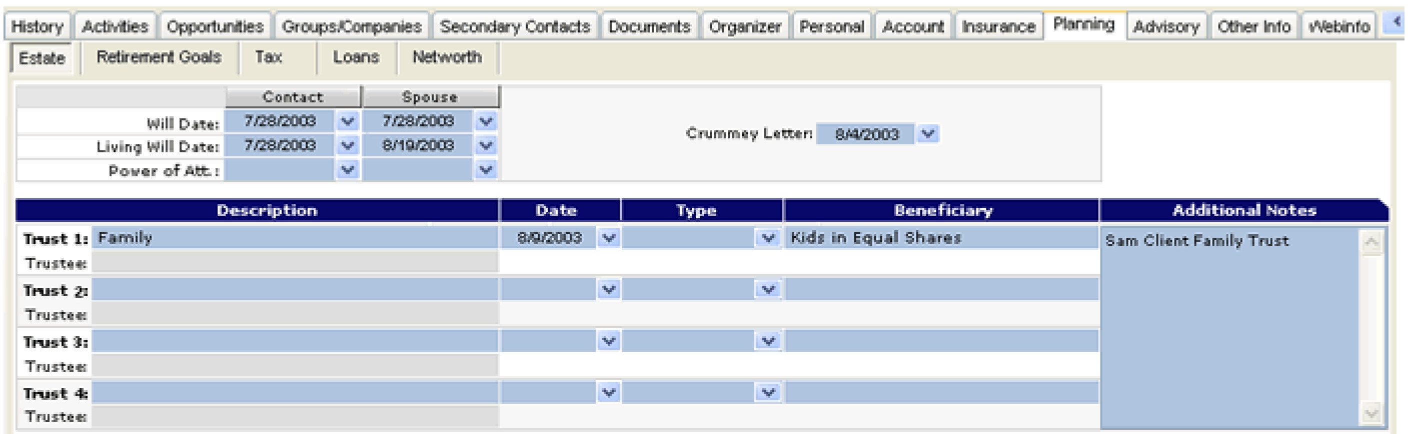
- **Total Cash Value** field adds all the cash value fields for all policies.

Planning Tab

The Planning tab allows you to track important financial planning information such as will dates, trust info, retirement goals and dates, capital needs goals, other goals and tax information. We have intentionally followed standards set by several financial planning software companies but there is currently no interface to any of these systems.

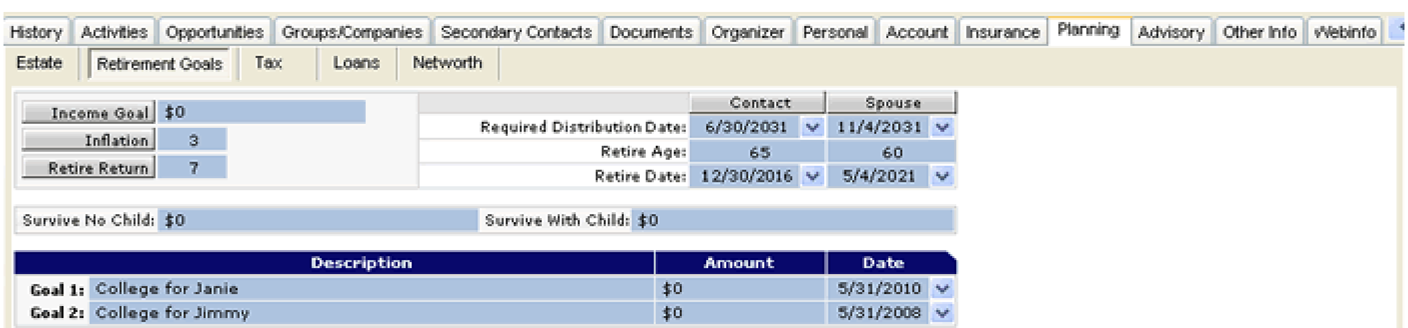
Items to Note:

- **Estate Planning -** Both Living and Testamentary Will Dates, Crummey Letter dates (are required annually), and Trust Information.



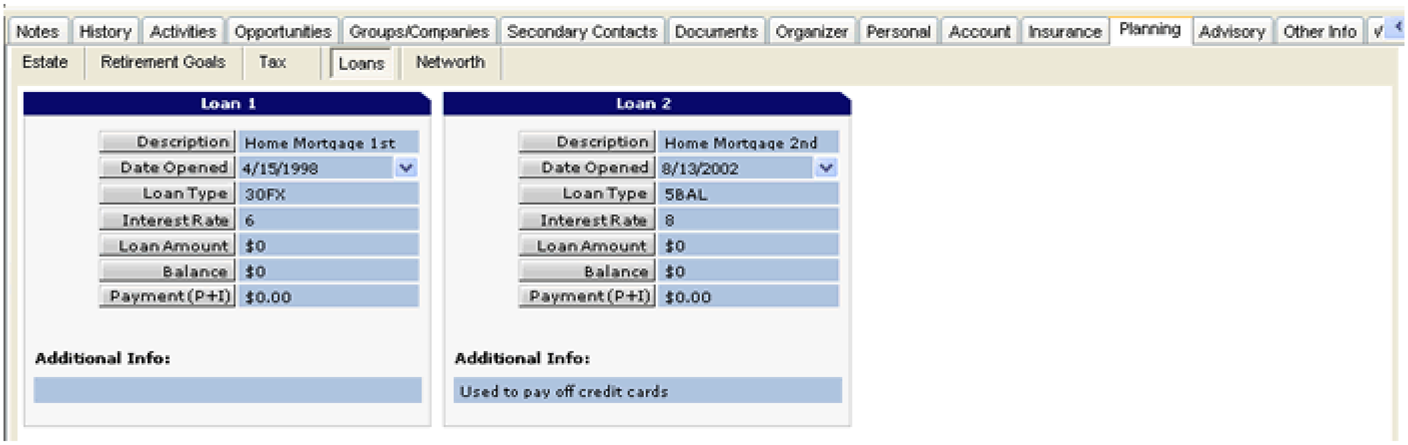
- **Retirement Goals -** Required Minimum Distribution Dates for contact and spouse are calculated when the Birth Dates are entered. Enter the Retirement Age and Act4Advisors automatically calculates the retirement date (based on the birth dates).

  Other Goals can include college, second home or some other financial goal.



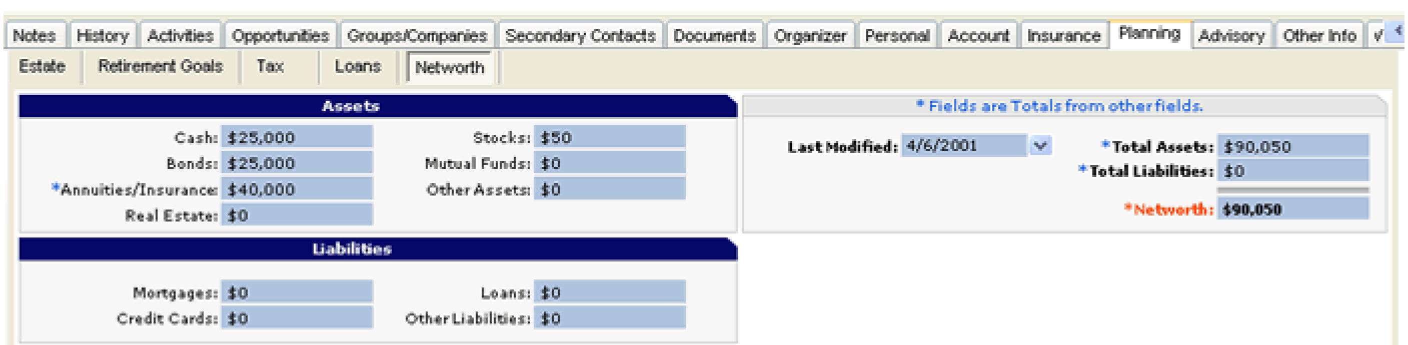
- **Taxes -** We have incorporated data fields that were requested by many of our users. Of note, the Special Tax Forms field allows you to select multiple forms the client may file. This makes it easier to find clients who may qualify for possible tax change treatment. Using the Act4Advisors Contains Lookup, you can easily find all contacts that files specific form.

- **Loans Tab -** The Loans tab allows you to keep track of up to 2 Loans per contact: At the time of this manual there is no current calculation done from these fields.



- **Networth -** As you enter values into the Asset Classes, Act4Advisors calculates subtotal for the Asset items such as Cash, Bonds, Stocks etc. Mutual Funds comes from Core Equity items and "Stocks" gets its total from the Other Asset Types. The Annuities and Insurance come from the Insurance tab.

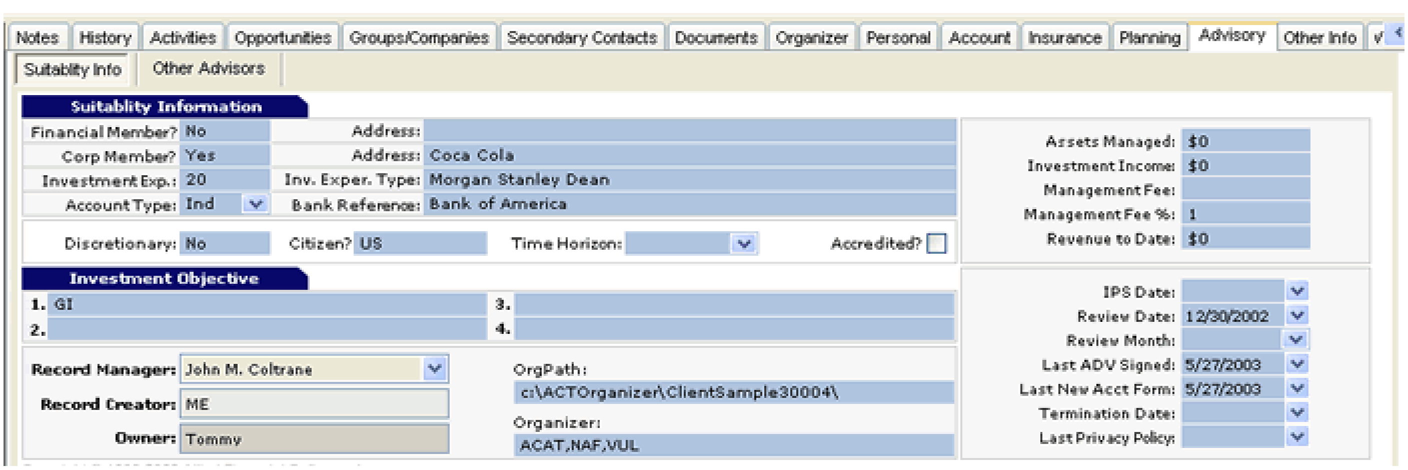
  Note that the values are calculated after entering and exiting each field. Be sure to enter the date the data was last modified. This will allow you to better track changes and keep things up to date.



Advisory Tab

The Advisory tab gives you fast access to suitability information, investment advisory compliance information, other advisors and additional fields. These "Other Advisors" include CPA, Attorney, etc. It is our recommendation that you note the Advisors name and phone number here. But, if you intend to correspond with the advisor by email, fax, letter or phone, you should also create a separate ACT! record. Having a separate contact record for these advisors will allow you to note discussions you have had with them and you are able to send them correspondences like email, faxes and letters. These Advisors can also become an outstanding source for possible business leads like referral sources.

The Record Creator is the person who originally created this contact. By default, the Record Manager is the Record Creator. The Record Manager and Owner should be edited to reflect the person and company who this contact belongs to. The Owner field is automatically created from your "My Record". For offices with more than one advisor, we recommend that you use the Owner field to note the Advisor who is the relationship manager for the client. The Organizer and OrgPath fields are used by the ***Act4Advisors Scan and Organize*** program (Organize tab). The OrgPath is the drive path to the contact's defaulted document folder on your computer or network. It is input automatically by the Organizer program. The Organizer field is used to incorporate key words for documents you have stored in the client folder. You should input keywords that are specific to documents you have scanned or copied into the client's folder. These keywords can be searched on later. The Scan and Organize program is discussed later.



Other fields to note:

- **Assets Managed** are the assets you currently manage for the client. This does not have to include fee managed assets.
- **Investment Income** is the income the client is deriving from the assets under management
- **Management Fee** is the fee you charge the client to manage his assets.
- **Suitability Information -** All investment professionals must make certain determinations about suitability before they can fully identify the needs of their clients. Most brokerage firms have a "new account form" which must be filled out before the client can open an investment account. Act4Advisors allows you to track certain account questions that are used on the majority of new account forms.

Note: Act4Advisors interfaces to several form filling software programs including Laser App. Laser App incorporates hundreds of mutual fund, annuity and broker dealer forms that can be automatically populated with the data in Act4Advisors. If you would like more information on Laser App, check our web site at www.software4advisors.com/laserapp

Web Info

Built in portal to give you access to the internet within ACT! We have made it easy for you to easily find out what the market is doing and resources to help you better utilize ACT! and 4Advisors.

Get immediate access to market updates, tips and tricks, best practices, product updates and other important information.

Other Info Tab

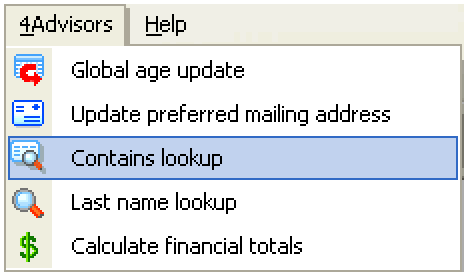
User Fields for your convenience. To rename a User field, click inside the field. Click on Edit | Define Fields. Change the name of the field, choose the field type and necessary length if it is a character field.

CHAPTER 9

Act4Advisors Features and Functions

Act4Advisors Menu

During the installation, Act4Advisors creates its own menu in ACT! allowing you to easily access most of Act4Advisors function.



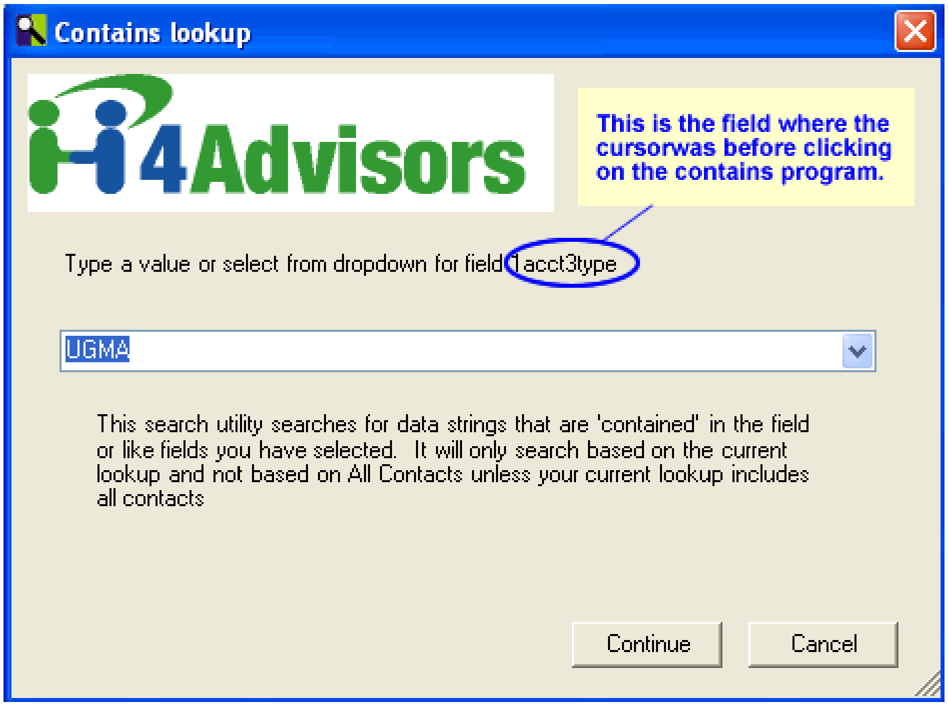
If the menu is not present, please e-mail support@software4advisors.com.

Contains Lookup

The Contains Lookup allows you to easily search for data that is present within a field even if the field itself has multiple values. This function works similarly to an ACT! contains query but Contains function in Act4Advisors simplifies this dramatically and is customized for the Advisors database.

For example, if you want to lookup all contacts that own Investment Company of America, you can simply put the cursor in the Mutual Funds Held field, click on the Act4Advisors menu and choose Contains Lookup. If the active field has a drop down menu, it is loaded.

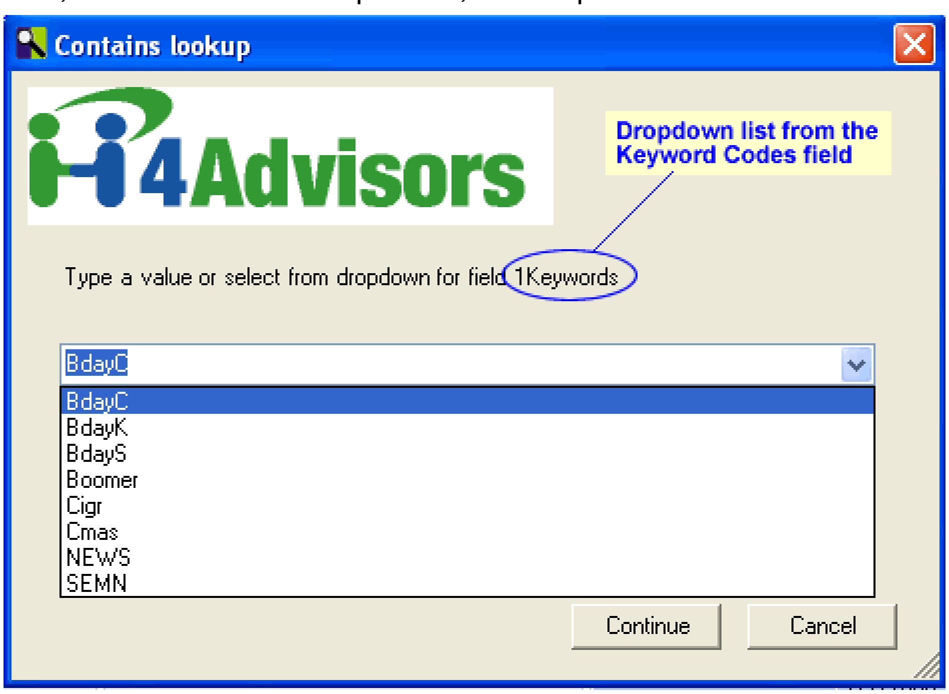
Input the value you are searching (AISVX in this case) and click Finish.



The resulting "lookup" in ACT! will occur. Check your ACT! toolbar for the number of contacts that were found.

With this lookup, you can mail merge, add to a group/company, or massively change data in specific fields.

As mentioned, if the field has a drop down, the drop down is loaded into the Contains



program. This allows you to select the correct search item in the drop down.

When searching the insurance, account or loan fields, the Contains Lookup will search through all related fields. For example, if you are looking for someone with the account number 12343243, you can click in any account number field and then click on the Contains Lookup. The program will search through all account number fields for all contacts!

When entering data into some fields, it is a good idea to enter a comma before and after the data. For example, if you want to enter in the stock symbols of the currently held positions for the contact, be sure to put a comma in front of and behind each ticker. Since many tickers are only one or two letters, the program needs for you to help it. When placing a comma in from of AT&T (,T,), you can then search for ,T, . This is not necessary for mutual funds since all mutual fund symbols are 5 characters and are unique. Just be sure to add a comma after each item.

NOTE: (You can download and import large lists of stock and mutual fund codes from our website.)

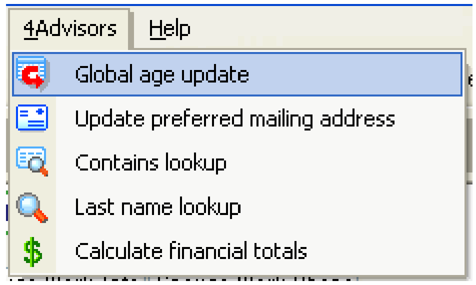
Be sure to add the security symbols and their names to the respective drop downs. To select more than one ticker, use the F2 key. Hold down your Ctrl key and click on the items you would like to add. When creating drop down lists for other fields, try to make the code for the field (ie. Ticker) 3 or more characters and be sure not to repeat a three character code inside of a four character code.

Useful fields for Contains

1. Keyword Codes
2. Main Products and Services of Interest
3. Clubs and Affiliations
4. Household Link
5. Title/Occupation
6. Insurance fields
7. Account fields
8. Portfolios and securities held
9. Special Tax Forms
10. Organizer field

Global Age Update

Act4Advisors includes a program that automatically adds the age when you enter the date of birth. Since the calculation is only done when entering and exiting the field, your ages could be out of date very quickly.

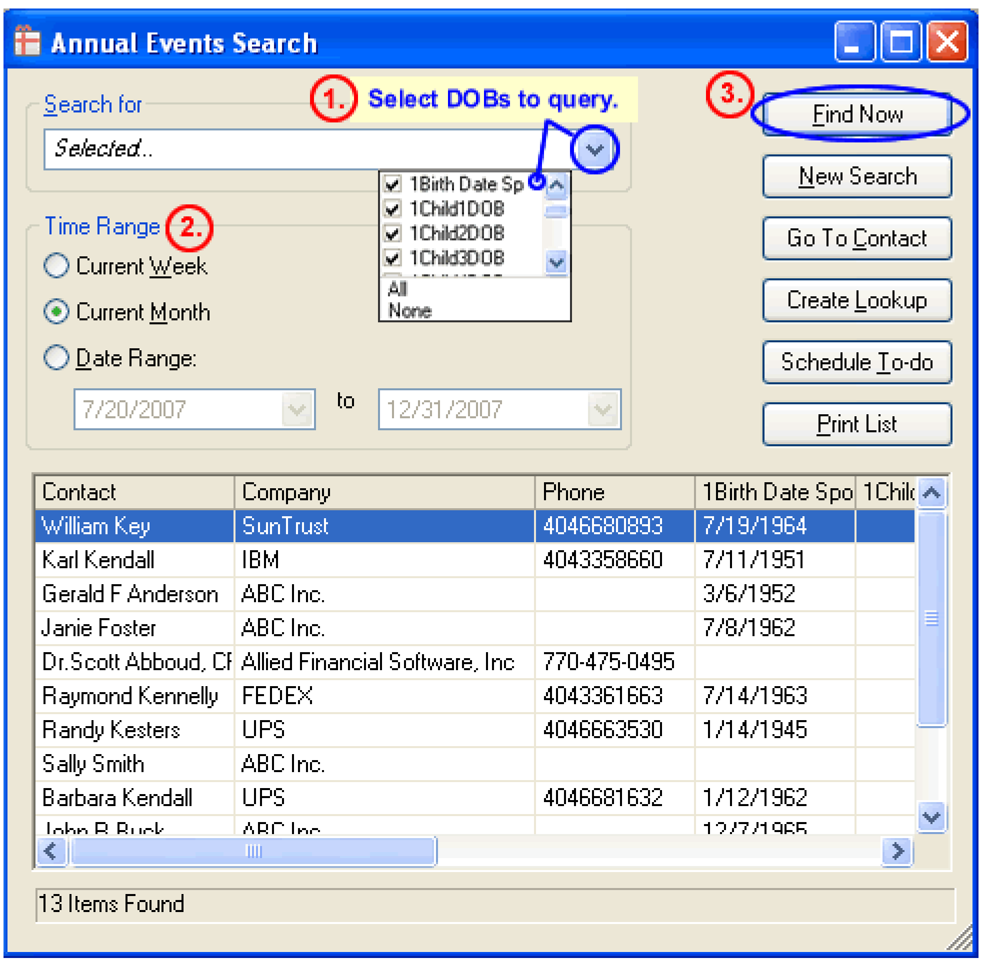


To address this, we created the Global Age Update program. This program will allow you to periodically update the ages for all contacts in the database. To update a single contact's age(s), click in and out of the date of birth field(s).

Birthday Queries and Reports

To run a query:

Go to "**Lookup**" on the menu in ACT and choose **Annual Events**. Select DOBs to query.



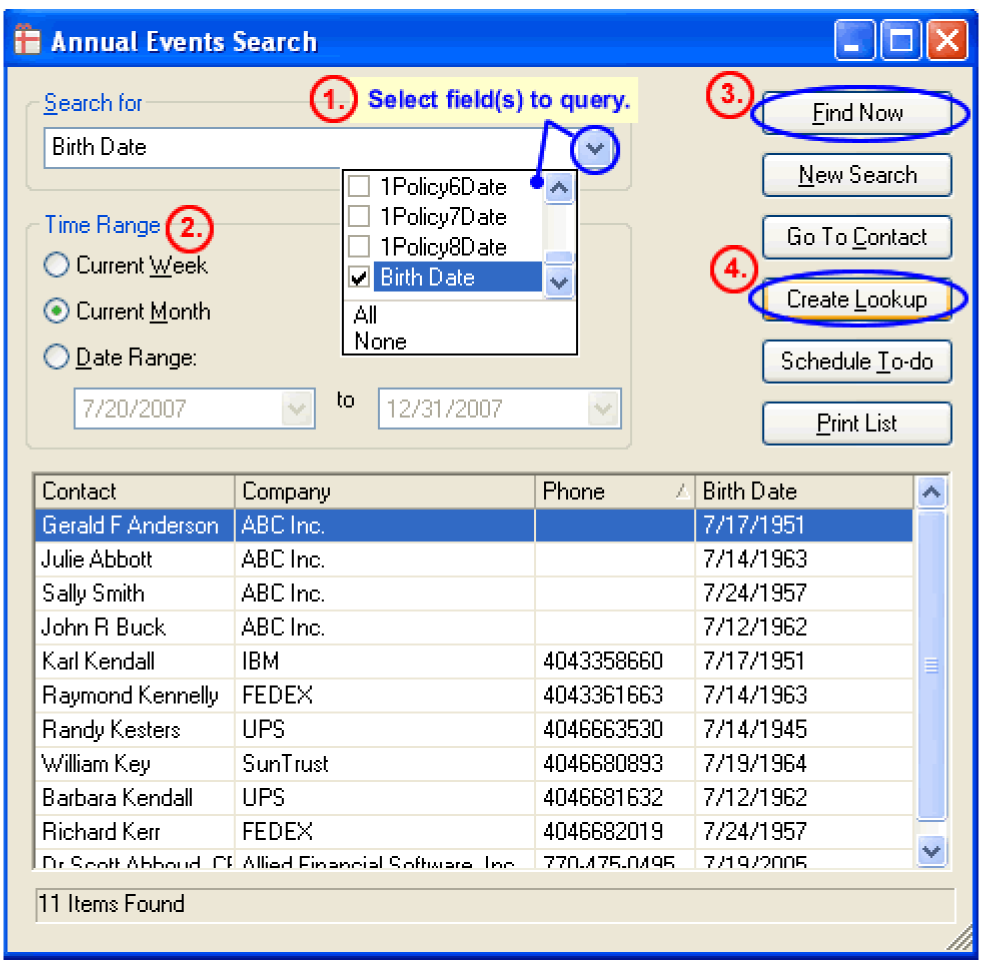
To perform a birthday query for just the ***Contact***, select ***Birth Date*** from the list.

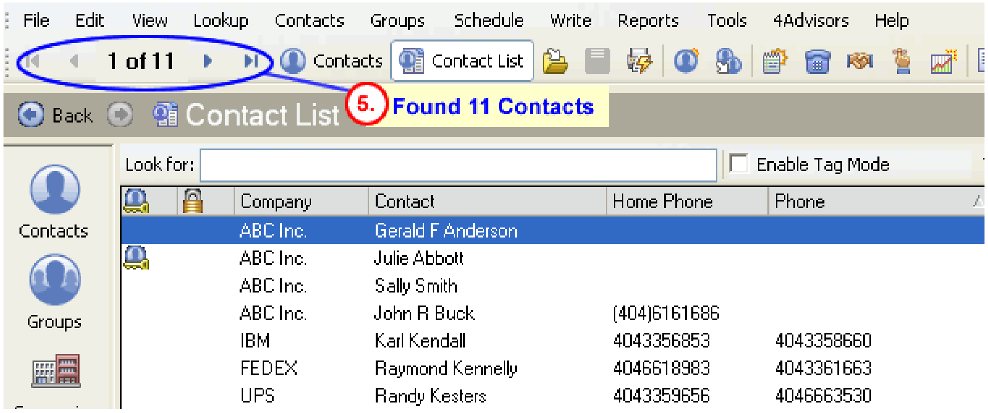
Here are other fields you may query for Birthdays:

Spouse - *1Birth Date Sp.*
Child1 - *1Child1DOB*
Child2 - *1Child2DOB*
Child3 - *1Child3DOB*
Child4 - *1Child4DOB*
Child5 - *1Child5DOB*
Child6 - *1Child6DOB*

To run the Birthday report:

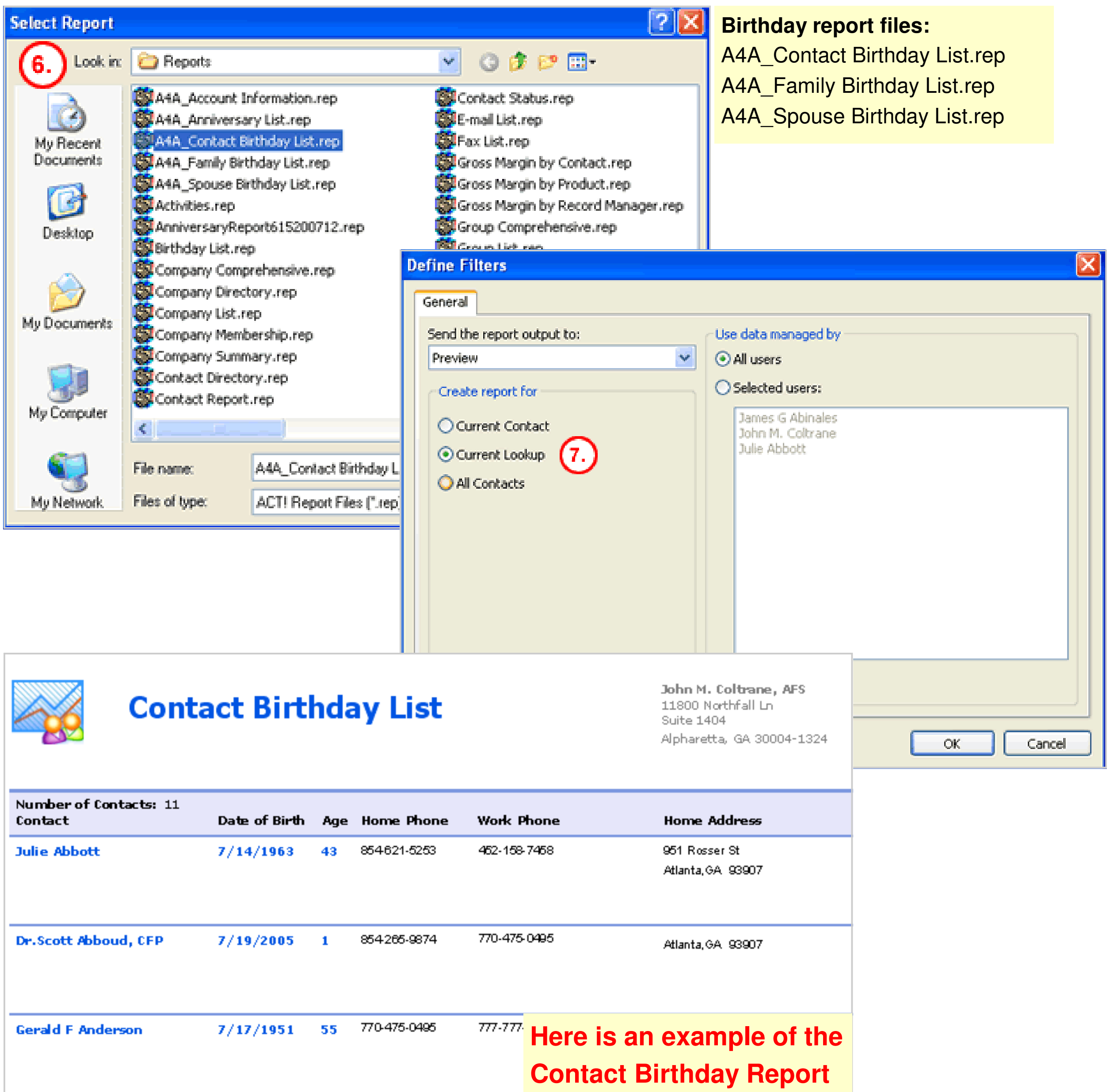
In this example, **1.** I will do a Birthday query for just the Contacts. **2.** Select Current Month for the Time Range. **3.** Click on "Find Now". **4.** Click on "Create Lookup".





5. 11 Contacts were found. **6.** On the menu in ACT, go to Reports, Other Contact Reports and choose **A4A_Contact Birthday List.rep**. **7.** Choose “Current Lookup”.

Birthday report files:
A4A_Contact Birthday List.rep
A4A_Family Birthday List.rep
A4A_Spouse Birthday List.rep

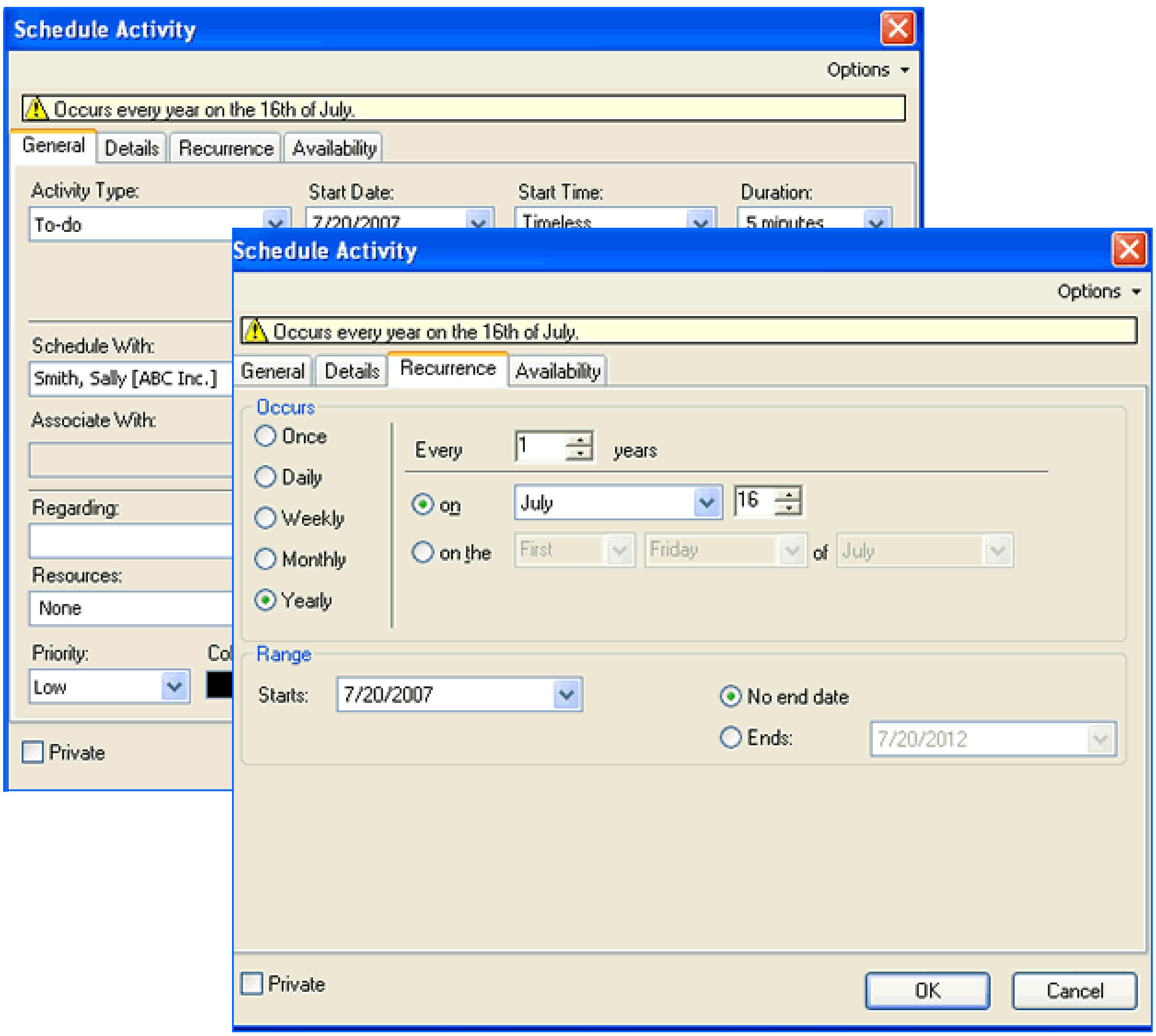


A Better Way to Track Birthdays, Anniversaries and Other Recurring Activities

Birthday reports are a nice feature in Act4Advisors and are helpful to those offices that prefer this method. However, the best way to handle periodic activities is to schedule a recurring activity for the contact and the event. For example, if you want ACT! to remind you to send a birthday card 4 days before the client's birthday, simply schedule the a To-Do as follows:

On your keyboard, Press Ctrl + T

Enter the information as necessary. Now click on the Recurring Settings tab.



Choose Yearly, Every 1 Year and Through : 2020 (longer or shorter for your preference).

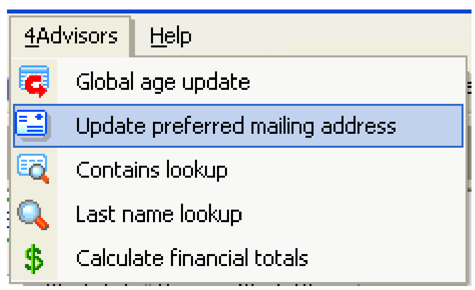
This will create an activity that will show up on your task list every year.

Other Ideas for Recurring Activities:

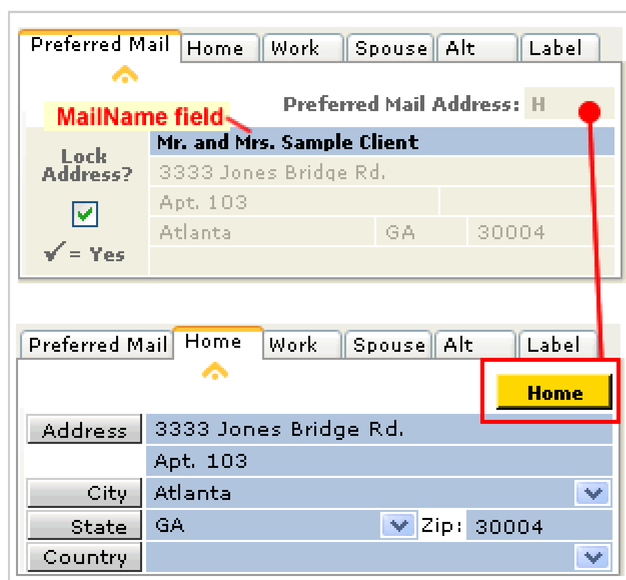
1. Annual Reviews
2. Quarterly Reviews
3. Wedding Anniversaries
4. Insurance Reviews
5. Quarterly Phone Calls, etc.

Preferred Mailing Address

Update preferred mailing individually and globally. The Preferred Mailing Address feature automatically inserts the desired address into labels, envelopes, and letters.

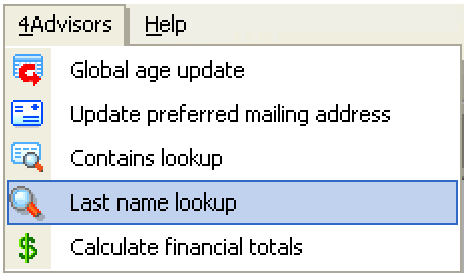


Lock Address Feature:



Enter in all the addresses then choose the desired preferred mailing address. I chose "Home" in this example. The MailName field is automatically populated with the Contact name for example "Sample Client". I wanted my labels, envelopes, and letters to show "Mr. and Mrs. Sample Client" oppose to "Sample Client" so I made my change. I then selected Lock Address. When performing the "Update Preferred Mailing Address", all selected "Lock Address" will not be affected.

Last name lookup

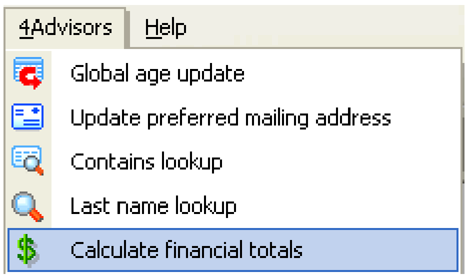


Searches Contact and Spouse Last Name.

1. Enter in the Last Name for Contact or Spouse.
2. In this example, there were two records found.
3. Found Contact
4. Found Spouse

Calculate Financial Totals

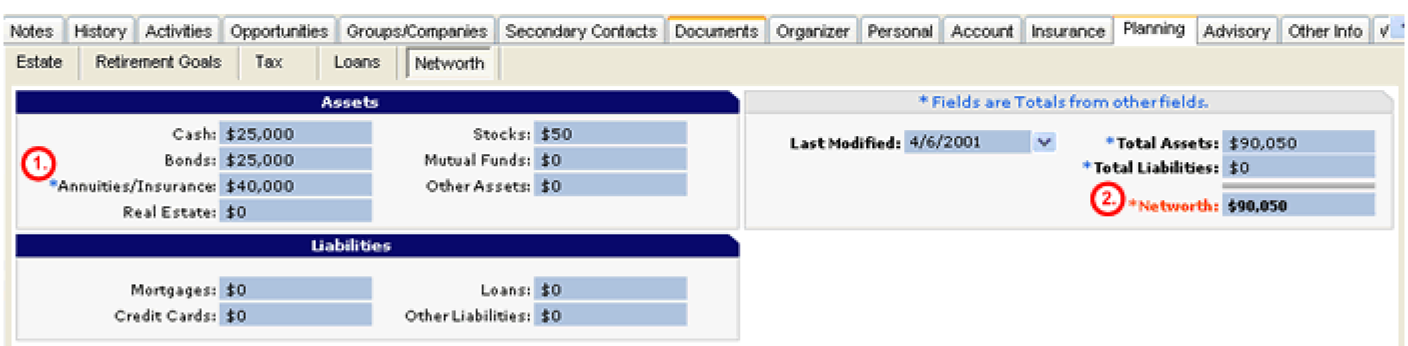
Manually keep track of Asset Allocation holdings while automatically updating the clients networth.



1. Cash values are manually entered in the Insurance tab then automatically calculated in the Annuities/Insurance field.
2. Automatically calculates the Networth.

   Note: You must manually enter in “Cash”, “Bonds”, “Real Estate”, “Stocks”, “Mutual Funds”, and “Other Assets” to get the “Total Assets”.

   Then manually enter in “Mortgages”, “Credit Cards”, “Loans”, and Other Liabilities to get the “Total Liabilities”.



CHAPTER 10

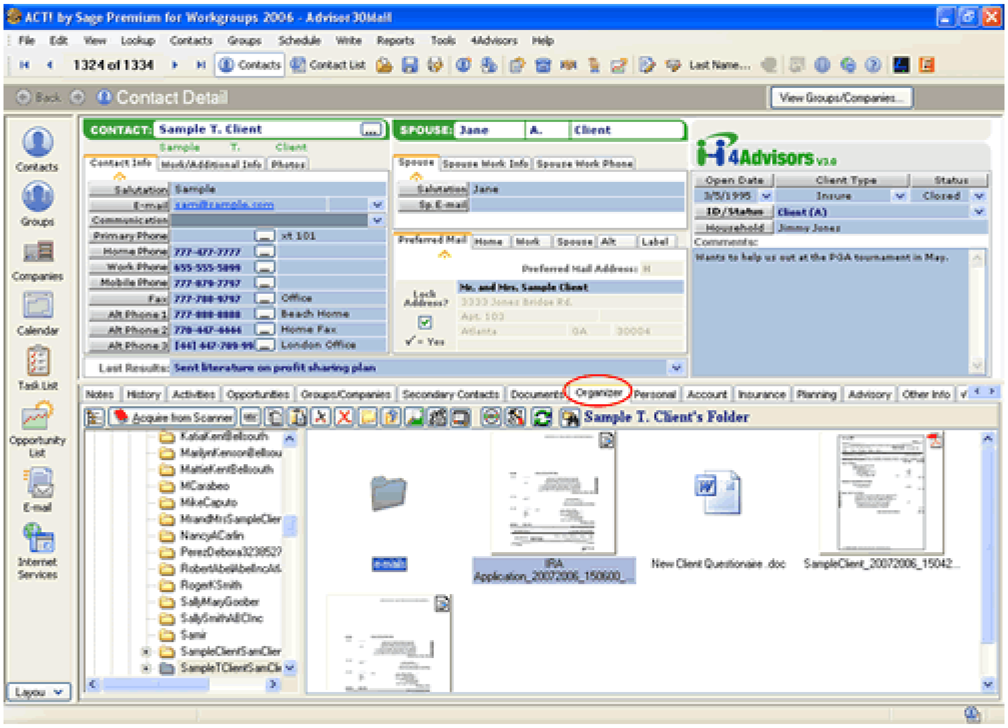
Scan and Organize for Act4Advisors

Act4Advisors will become the foundation of your financial services practice. As a result, we have added additional functionality that allows you to manage documents and optionally scan those documents directly into the client's folder on your computer or network.

Organizer Tab

ACT! has the functionality to "attached" a document as a shortcut to the Notes tab. This feature is helpful in many cases but the Notes tab can get overly populated with attachments. Since these attachments are simply shortcuts to the file on your computer, you may lose their link to the file if the file or folder is moved or renamed.

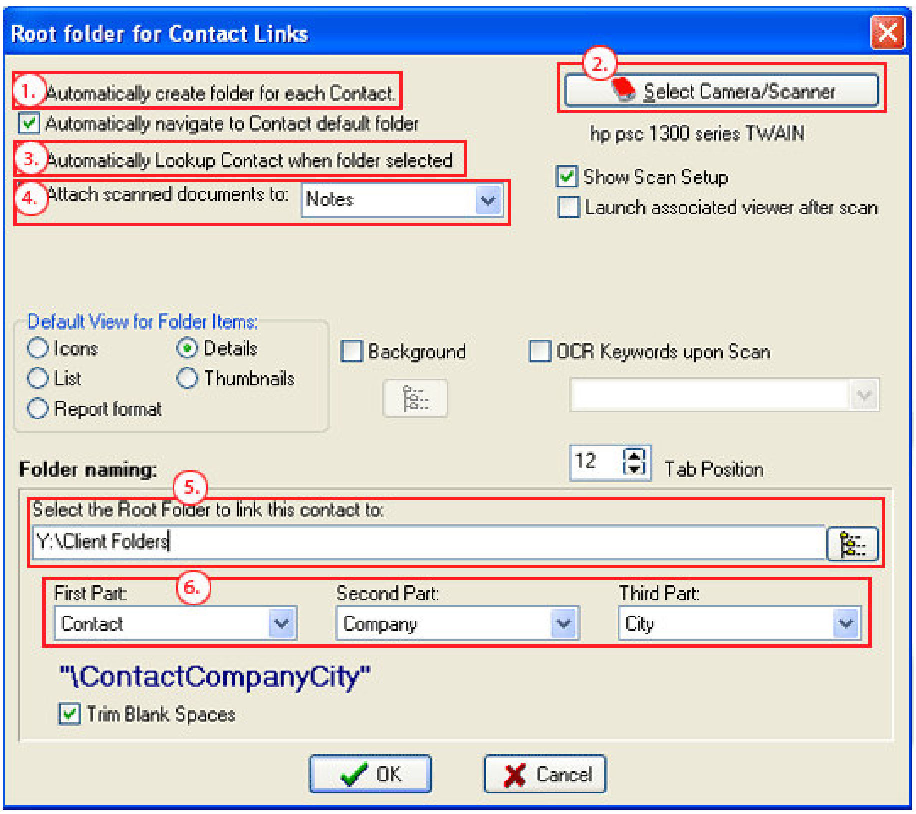
The Organizer tab will allow you to automatically navigate to the contact's folder and manage the files within the ACT! interface. Simply lookup the contact and click on the Organizer tab. The client's folder will then be displayed.



From this folder window you can utilize most of the functionality that is normally available in the Windows Explorer. We have also included an optional feature that allows you to scan documents directly into this folder. The scanned document can be saved as either a BMP, JPG, PNG, TIF or PDF file and can be shared easily with the client, associates or others.

Configuration and Preferences

Before you begin using the Organizer, you should establish your Configuration Preferences. These preferences are stored with the database and will allow all network users to share these settings.



1. Choose this option to automatically create a folder for acitive contact if a folder does not already exist. Folder will be named using #4 below.

2. Use to select a different scanner if you have more than one installed.

3. Choose this option to create a lookup by double clicking on the folder list pane.

4. Scanned documents are copied to the client folder and attached to either Notes, History, or the Documents tab.

5. This designates the ROOT folder where all client folders will be created as default.

6. Scan and Organize will use the designated fields for naming a folder but you can change it manually.

You should begin by creating or assigning a folder on your computer or network as the main client “root” folder. On a network, this folder should be the shared Documents folder as noted in your ACT! | Preferences | General tab. It should have a common mapped drive letter, ie Y: drive. All users on the network should have access to this same drive letter. For single users, simply choose your defaulted Documents folder for ACT! This is normally located under your \My Documents\ACT\Document.

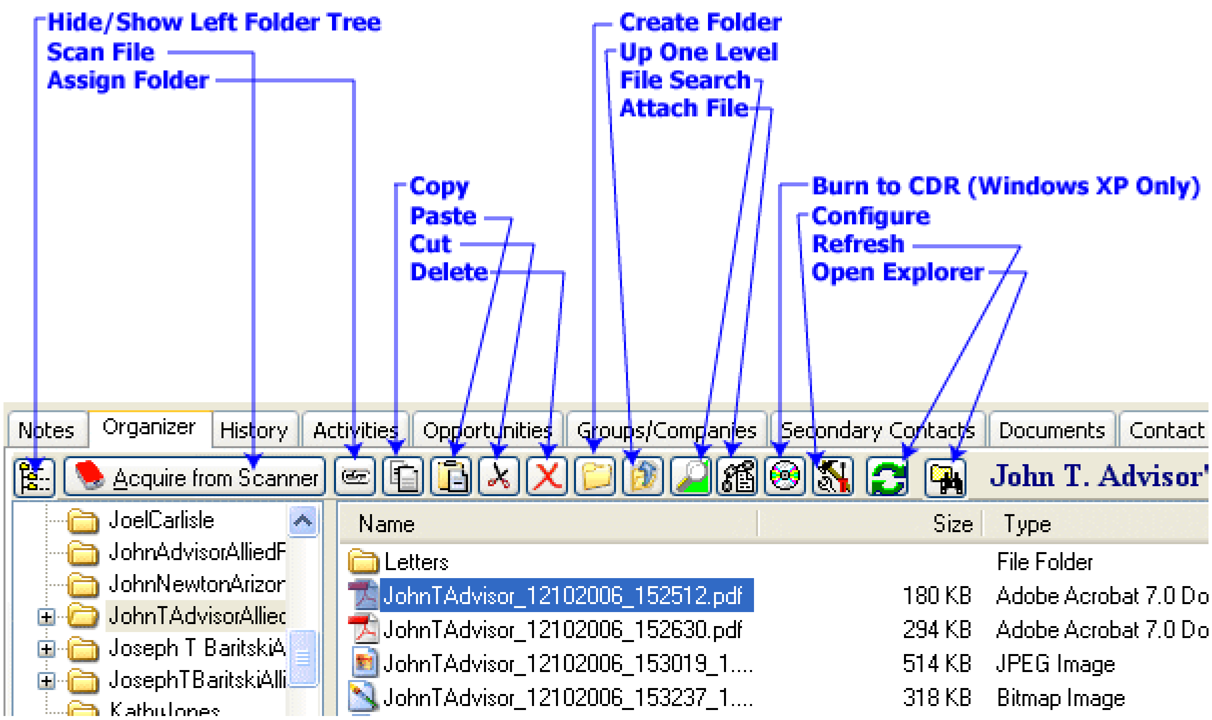
Once you have assigned the Root folder (#5 above), choose the naming convention you would like for Act4Advisors to name the folder (#6 above). You might want to name all client folders using the data entered into the contact’s Last Name, First Name and Home ZIP, ie. SmithJohn30004. This feature is only required if you have checked, “Automatically Create

Folder for Each Contact." Otherwise, you will have the opportunity to enter or select any folder name you would like.

Locking the database will increase performance but it is not required. If you choose to lock the database, you will not be able to backup, reindex or define fields. We also recommend that you check "Automatically Navigate to Contact Default Folder". This feature will allow you to immediately view the contact's files and folders as you lookup the respective contact in ACT!.

Scan and Organize Toolbar

The Scan and Organizer has a toolbar allowing the user to manage documents from within the ACT! interface. The toolbar has common items found in Windows Explorer such as delete, copy, paste, etc. See the figure above for more details.



Naming or Selecting a Folder

If you have already created a folder structure for your clients, you can use the "link button"  to select an existing folder. By linking a contact to a folder, the defaulted folder path for the contact is written into the OrgPath field located on the Advisory tab. The same button can be used to name or rename the folder for the contact. You will note that a browse button on the right side of the "link" dialog box allows browsing to the desired folder. This will update the database when reselecting a folder.

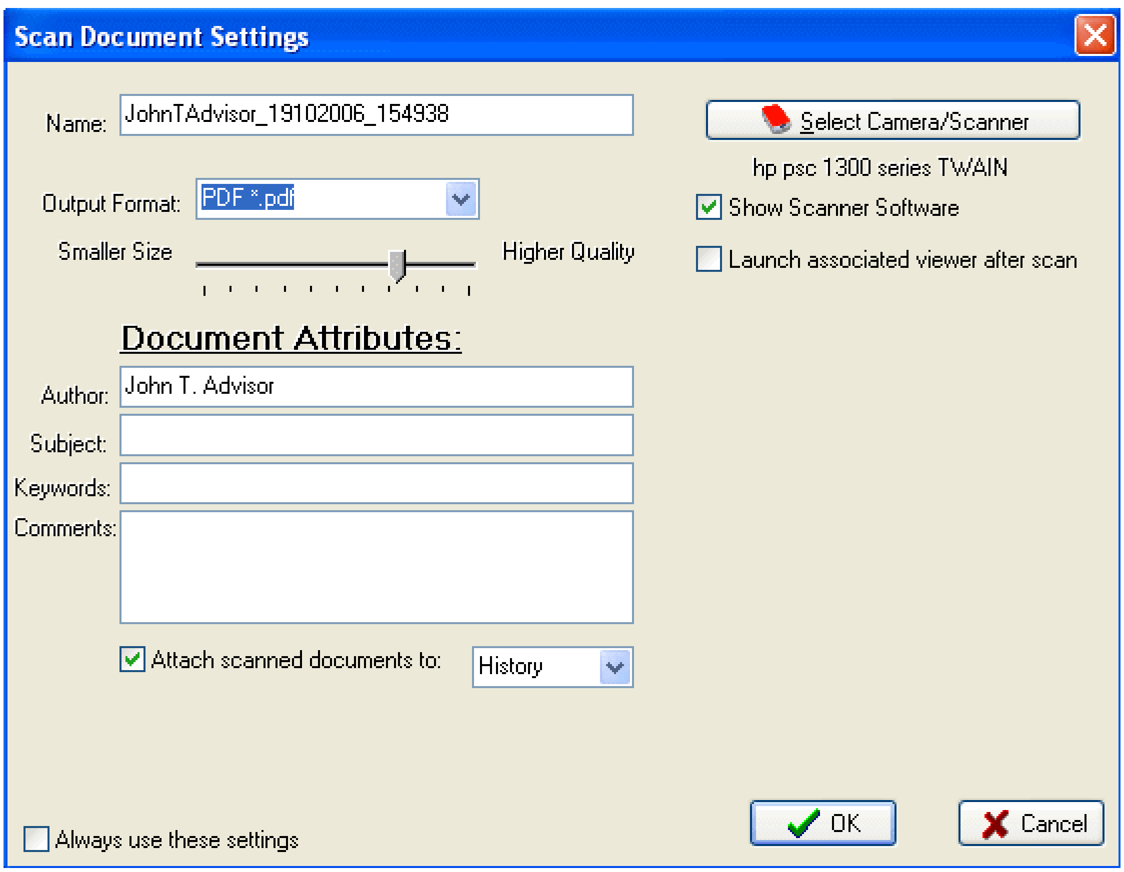
Scanning

The button marked “Acquire from Camera/Scanner” allows the user to scan documents directly into the active folder. File formats available include TIF and PDF among others.

Keep in mind, the Scan and Organizer simply activates your existing Twain driver that comes with your scanner. After your Twain scanning software performs the scan, the Organizer redirects the file into the appropriate folder and appends the file with any additional data.

As a file is scanned, the user has the option to rename the file and has other options for:

- Designating the preferred file format including PDF, TIF, BMP, PNG and JPG
- Designating a multi page scan
- Manipulating image quality and file size.
- Creating file properties that are stored with the file. These properties include Author (defaults to the logon user’s name), Subject and even Keywords. All of this information can later be searched using the Windows file Search functions.



CHAPTER 11

.How To Mail Merge

Coming soon.