

## Checking Client Portfolio Status

## Adviser guide only.

This guide provides instructions on how to view what status a client's Portfolio is at and whether they have accepted the Portfolio. Advisers can also find instructions on how to view a client's Politically Exposed Person (PEP) check status.

- 1. Click on Clients in the main menu
- 2. Search for the client using the Last Name and/or First Name fields
- 3. Under the **<u>Status</u>** field, common options you may see include:
  - **Active:** Portfolio has been accepted by the client and is ready for investment.
  - **Awaiting Client Verification:** Portfolio application has been submitted to the client for their acceptance.
  - **Pending Conversion:** Accumulation Portfolios that are currently in the process of being converted to Pension phase.
  - Closed: Portfolio has been closed.

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- 4. If Awaiting Client Verification, expand the icon next to Client ID
- 5. Click on the relevant account name, which will open the Portfolio view

PLA	TFORM+ WRAP	Search	Q Search Portfolio ~ Search	Full + U Search Create New 161 Notifications Log Out
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6. Click	on <u>Portfolio Settings</u> in	the main menu			
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Investments Cash & Payments Orders	Terms and Conditions Please confirm that portfolio holders and signatories have read and a	gree to the Declarations, Agreements and Acknowledgements laid out in	the Platformplus Terms and Conditions.		
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- 7. Click on Terms & Signatories
- 8. If the <u>Terms and Conditions</u> and <u>Signatures</u> boxes are **blank**, the client has **not** logged in and accepted their account
- 9. If the <u>Terms and Conditions</u> and <u>Signatures</u> boxes are **ticked** and the status is **Awaiting Client Verification**, their PEP check may not have been able to be passed automatically

## To check the status of the PEP check

- 1. Navigate to Client Search
- 2. Search for the client using the Last Name and/or First Name fields
- 3. Click on the Client ID number

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- 4. Click on Settings
- 5. Click View/Edit

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Home		
Clients	ML	
Summary	Mr Jolene Mullen 436747	
Portfolios	Client ID: 41	
Investment Programs	Mr Jolene Mullen 436747's client profile is 100% completed.	
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Administration TASK	PROGRESS	ACTION
Personal Details Add client personal details	77% Complete	View/Edit
Add Account(S) Create new accounts	1 Added	Add
Regulatory Checks Complete regulatory checks agi	geinst your client 100% Complete	View/Edit
Investment Program Edit Investment Programs	1 Added	View/Edit

- 6. Scroll down to the Politically Exposed Person (PEP)
- 7. PEP Status will be one of the following options:
  - $\circ$   $\quad$  Not vetted the client has not activated their account
  - **Escalated** the PEP check was not able to pass the automatic check and the Administrator will complete manual check. Should the client not pass the manual check, a member of the PlatformplusWRAP support team will reach out to you
  - **Passed** the client has successfully passed the PEP check

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Clients			JM				
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	Check Status	Vetted	PEP Status		Non-PEP		
	Last Modified	22/06/2022 2:33:20 PM	Last Modified by		Mr FirstName Sumame 438	574	

Should you have any questions or require any additional information in relation to this guide, please contact the PlatformplusWRAP Support Team on 1300 191 952 or <a href="support@platformplus.com.au">support@platformplus.com.au</a>.