



For financial advisers only

# Report Zone – Aegon Platform

The screens shown are for demonstration purposes only, they don't represent a real customer.



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What is Report Zone?

# Report Zone

- A separate reporting website accessed from your dashboard.
- Hosts lots of information about your clients, their investments and your business, such as:
  - Adviser charges
  - Client valuations
  - Income distributions received by clients
  - Investments held or traded by clients
  - Model portfolio management
  - Products opened and held by clients, and more

# Report Zone

## Features

- Wide range of data
- Client specific reporting
- Client bank reporting tools
- Customisable reporting
- Measure performance of business
- Identify opportunities
- Identify risks and trends
- Ability to interrogate information

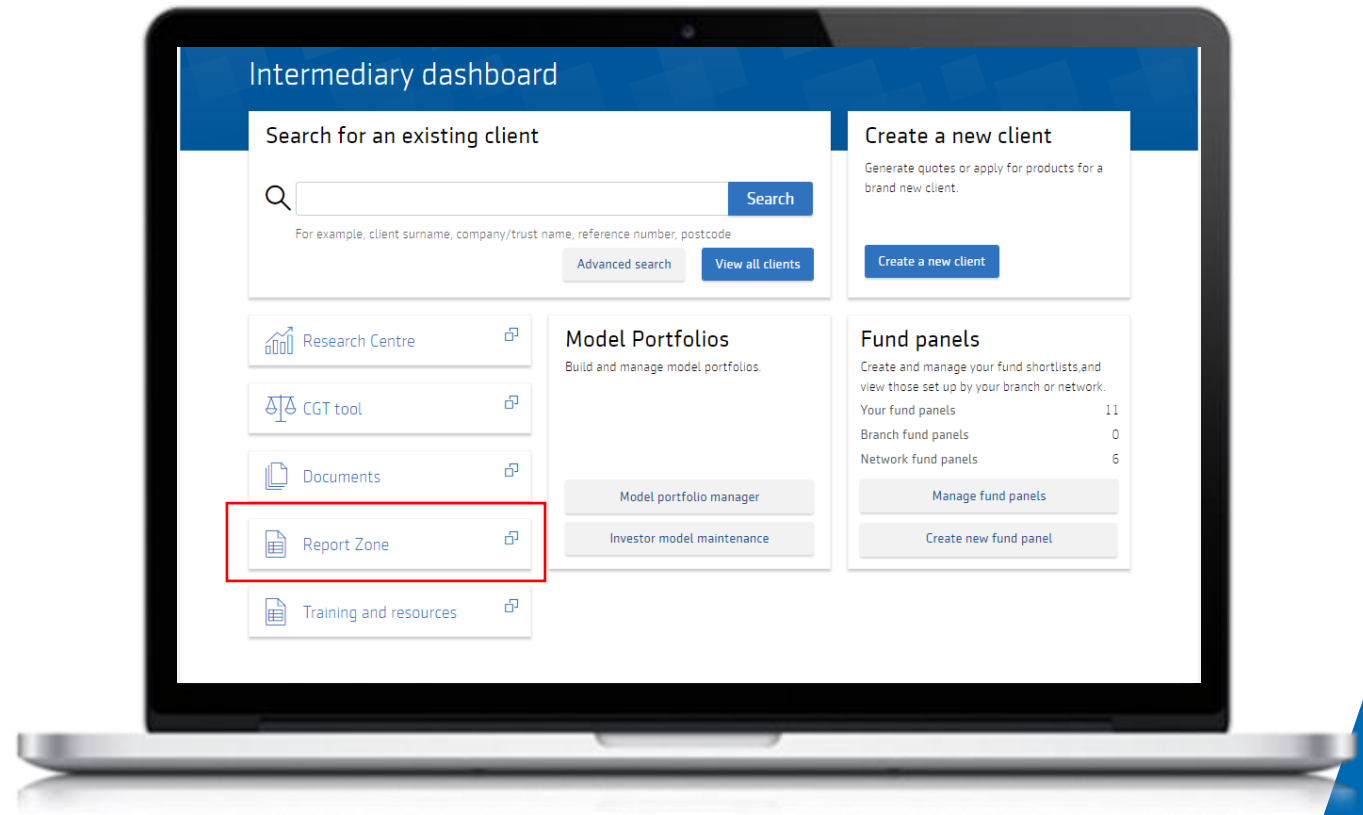
## Benefits

- Reports are available 24/7 – as and when you need them
- Tailor reporting to your own needs
- Improve transparency for the business
- Manage risks effectively
- Increase revenue
- Target client opportunities efficiently
- Assess business performance

# Report Zone

## Access

1. Sign in to your dashboard.
2. From here, select Report Zone.



# Report Zone

## Access

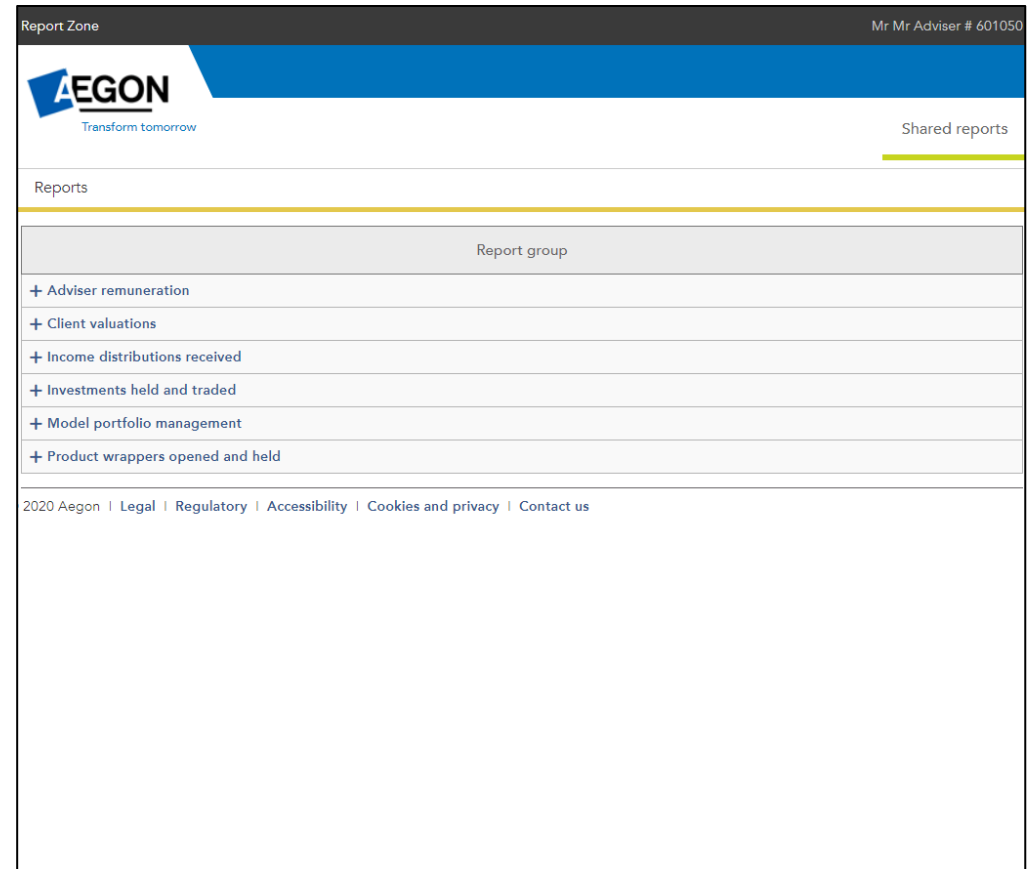
Your user role determine your Report Zone access level

Role	Report Zone access level
Firm administrator only (no access to another role)	Access to all clients under intermediary firm/branch/network
Intermediary – transact and view only	Access to your clients only
Paraplanner – transact and view	Linked to intermediary access
Discretionary fund manager (DFM) user or administrator	Model portfolio and charges information only

# Report Zone

## Report categories

- We've grouped the reports into six categories to make it easier to navigate:
  - Adviser remuneration
  - Client valuations
  - Income distributions received
  - Investments held and traded
  - Model portfolio management
  - Product wrappers opened and held
- The rest of this guide will take you through each category.







## Using Report Zone

# Using Report Zone

Here are some of the actions you can take on Report Zone. The links below go to the relevant section of this guide.

Action	Report to use	Section in Report Zone	Benefit
Reconcile fee payments received by us	Adviser charges report	<a href="#">Adviser remuneration</a>	Easily export a fee statement that will match with the Aegon payment received in the bank.
Run an individual client report to show performance	Client valuation report	<a href="#">Client valuations</a>	Produces a client facing document displaying gains over a defined period as '%' and '£'.
View all clients and their total AUA on the platform	Client data report	<a href="#">Client valuations</a>	Displays total client valuation at current date including additional detail such as address, date of birth, National Insurance number and email.
See which clients are invested in particular funds	Investments currently held by client report	<a href="#">Investments held and traded</a>	Used for identifying clients in specific funds which is useful when there are corporate actions. For example, fund suspensions.
Identify clients with large/residual cash balances	Customised product level data	<a href="#">Product wrappers opened and held</a>	View the cash percentage held which can prevent clients being in cash for longer than expected. You can also identify clients with residual balances.
View and track clients' transactions in bulk	Investments traded by clients report/Dealing report	<a href="#">Investments held and traded/Product wrappers opened and held</a>	Allows you track in-flight trades by checking the status of individual deals.
View a client's regular transactions	Regular income and contribution report	<a href="#">Product wrappers opened and held</a>	Enables you to filter to specific dates to see individual monthly amounts as well as totals invested/withdrawn within tax years.
Check a client's fund/product level income mandates, distributions and natural income payments	Income distribution and consolidated natural income analysis report	<a href="#">Income distributions received</a>	Enables you to analyse the income mandate for all clients including distribution amounts (inc/acc funds) and consolidated income payments for clients.
View when a client was linked/rebalanced into a model portfolio/DFM	Model portfolio status report	<a href="#">Model portfolio management</a>	Track all clients linked to model portfolios/DFM's - useful when bulk rebalancing and monitoring what version of a model portfolio a client is linked to.
How do I view available ISA allowances?	Remaining ISA allowance	<a href="#">Product wrappers opened and held</a>	Provides unused ISA allowances and the annual ISA regular contribution amount giving you all the information required for a TYE campaign.

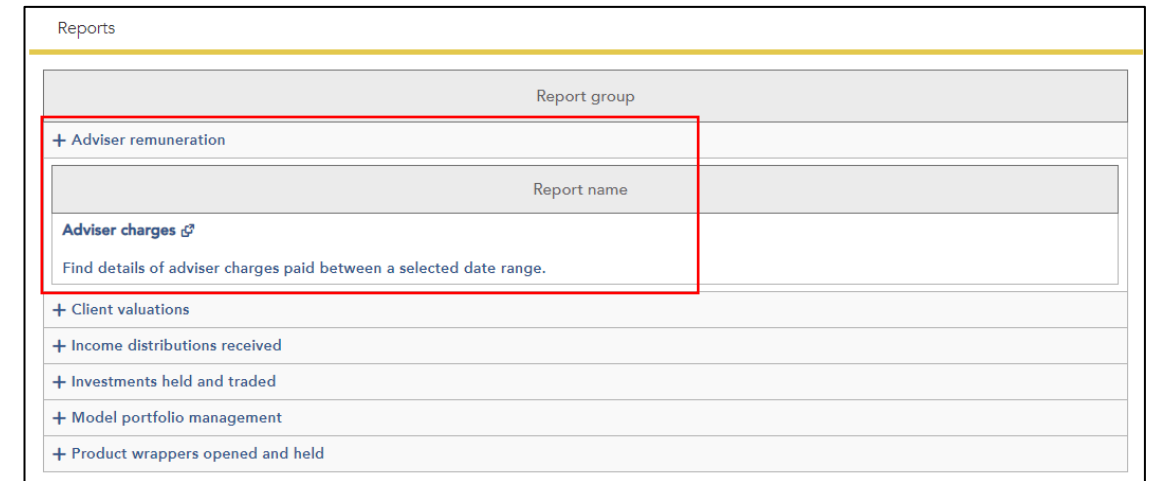


# Adviser remuneration reports

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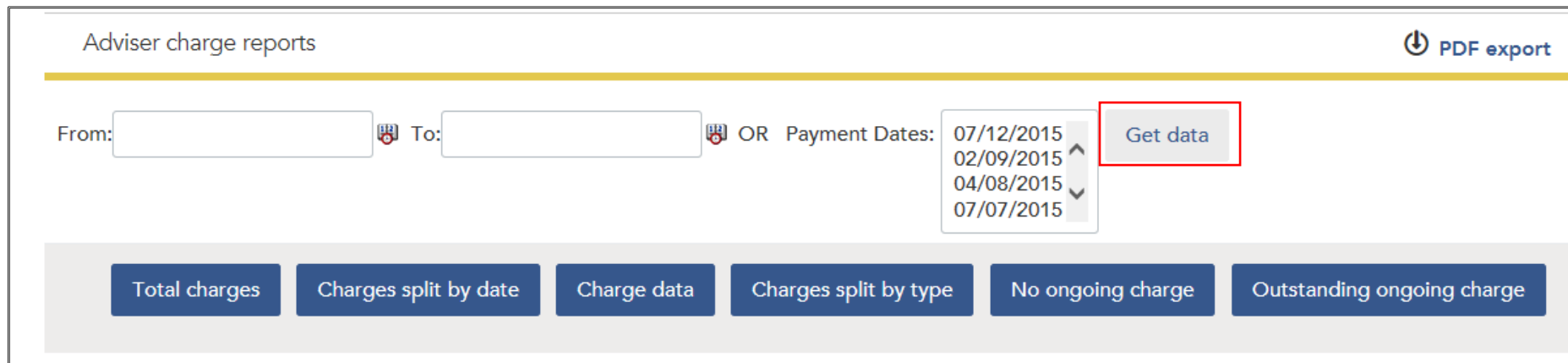
# Adviser remuneration reports

To access, select **Adviser remuneration reports** then **Adviser charges**.



The screenshot shows a 'Reports' menu with a yellow header. Under the 'Report group' section, there is a red-bordered box around the '+ Adviser remuneration' item. Below it, under the 'Report name' section, the 'Adviser charges' item is highlighted with a red box. The description for 'Adviser charges' is 'Find details of adviser charges paid between a selected date range.' Other report groups listed include Client valuations, Income distributions received, Investments held and traded, Model portfolio management, and Product wrappers opened and held.

On the next screen enter a date range or select payment dates. Then select **Get data**.



The screenshot shows the 'Adviser charge reports' screen with a yellow header and a 'PDF export' button. Below the header, there are two input fields for 'From:' and 'To:' with calendar icons, followed by 'OR Payment Dates:' and a dropdown menu showing dates: 07/12/2015, 02/09/2015, 04/08/2015, and 07/07/2015. A red-bordered box highlights the 'Get data' button. At the bottom, there are six buttons: 'Total charges', 'Charges split by date', 'Charge data', 'Charges split by type', 'No ongoing charge', and 'Outstanding ongoing charge'.

# Adviser remuneration reports

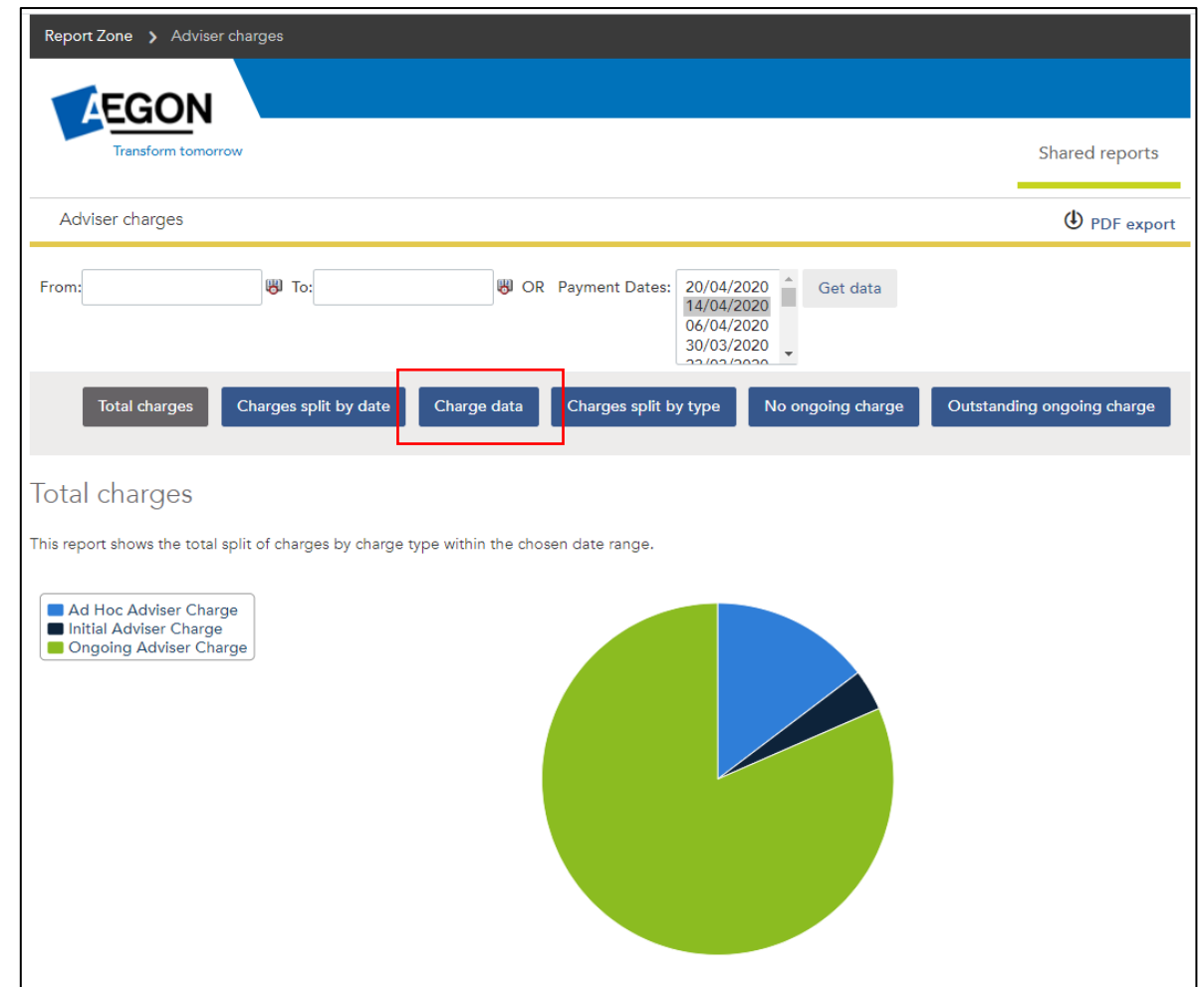
Types of report available:

Report	Summary
Total charges	A summary of the total amount of charges paid, split by adviser charge type within the chosen/selected date range.
Charges split by date	Charges by month within the specified period. Charges are grouped by charge type on the chart per month of the payment date. You can select the chart or select <b>Charge data</b> below the table to view the breakdown of payments. The previous years total charges are shown where this is available for comparison. Available to download to Microsoft Excel through a .csv file download.
Charge data	All charge payments within the dates specified at product level. You can view an individual clients charges by using the dropdown. You can download this data to Microsoft Excel through a .csv file download and tends to be the most common report used.
Charges split by type	All charge payments within the dates specified split by charge type. You can select each type and view the underlying product(s) by selecting the charge type text.
No ongoing charge	All products which currently don't have either ongoing percent/monetary charge or term based initial charge set up.
Outstanding ongoing adviser charge	All products which have an outstanding charge waiting to be paid.

# Adviser remuneration reports

## Things to remember

- You can select a date range **or** payment dates – you can't choose both.
- The **Charges split by type** report lets you compare intermediary charges for the current year against the previous current year.
- Use the **Outstanding ongoing charge** report to find out if clients have a debit on their account.
- To view charges paid in a given month use the **Charge data** report.



A woman with dark hair, wearing a bright yellow long-sleeved blouse with a ruffled collar, is sitting at a wooden desk in an office. She is smiling warmly at the camera. On the desk in front of her are a white mug, a black mug, and some papers. The background is a blurred office environment with another person in a red shirt visible in the distance.

# Client valuation reports

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# Client valuation reports

To access, select **Client valuation reports** then either:

- Bulk client valuation – generate up to 10 reports at once
- Client data – a self-build report based on personal information that you can sort, filter and export
- Client valuations – view a client’s current holdings, performance, asset breakdown and transaction summary (download to Microsoft Excel, Word or PDF)

Reports
Report group
+ Adviser remuneration
+ Client valuations
Report name
<b>Bulk client valuations</b> <a href="#">↗</a> Run multiple client valuation PDFs at once (maximum of 10 for each report).
<b>Client data</b> <a href="#">↗</a> View client details, including address, contact details and value of products.
<b>Client valuations</b> <a href="#">↗</a> View investment details, performance, asset allocation and deposits/withdrawals at client or product level.



# Client valuation reports

Types of report:

Report	Summary
Bulk client valuation report	Shows the total value and performance for each fund the client holds on the Aegon Platform by product. You can generate up to 10 client reports at the same time.
Client data report	You can self build this report based on personal information. Select data, sort, filter and export. You can upload this report into your back office system for mailings.
Client valuation report	Use this report to view your client's current holdings, performance, asset breakdown and transaction summary. You can download to Microsoft Excel, Word or PDF. You can also access this report from the client summary screen.

A man with a grey beard and a dark blue cap is shown in profile, looking towards the right. He is wearing a blue denim jacket and has a tan backpack on his shoulders. He is holding a tablet computer in his hands. The background is a blurred outdoor scene with green trees and a body of water, suggesting a park or a lakeside setting. The lighting is warm, indicating it might be late afternoon or early morning.

## Income distributions received reports

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# Income distributions received reports

To access, select **Income distribution received reports** then **Income distribution and consolidated natural income (CNI) analysis**.

This report gives you a view of clients invested in income producing funds between set dates.

The screenshot displays the AEGON reporting interface. On the left, a sidebar titled 'Reports' lists several categories: 'Adviser remuneration', 'Client valuations', and 'Income distributions received'. The 'Income distributions received' category is expanded, showing a list of reports. The report 'Income distribution and consolidated natural income (CNI) analysis' is highlighted in blue. Below the report name, a brief description reads: 'For clients invested in income producing funds, view, by product, the income...'. The main content area shows the report's title 'Income distribution and consolidated natural income(CNI) analysis' with a 'PDF export' icon. Below the title are filters for 'From' and 'To' dates, 'Branch' (set to 'All'), and 'Adviser' (set to 'All'). There is also an 'Investor search' field with a 'Search investor' button and an 'Investor Name' dropdown menu set to 'Select a client'. A row of four buttons is visible: 'Income Payments', 'Distributions', 'Product Mandate', and 'Fund Mandates'. Below the buttons, a section titled 'How to use the Income distribution and consolidated natural income (CNI) analysis Report' contains three bullet points: 'Select a From , To date range , Branch Name and Adviser Name and select the clients you would like to view the income for. Please select the any client name to view all of your clients wrappers.', 'Navigate through the reports by clicking on the report names.', and 'Each of the reports have csv file downloads where applicable.'

A man with grey hair and a beard, wearing a black turtleneck, is seated in a wheelchair at a desk. He is talking on a silver smartphone held to his ear with his left hand and writing in a spiral notebook with a black pen in his right hand. On the desk, there is a large computer monitor, a keyboard, and a brown leather folder. The background shows a window with light coming through and a green plant.

## Investments held and traded reports

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# Investments held and traded reports

To access, select **Investments held and traded**. There are five main reports available:



**Client investment strategy** - details all clients and their current investments. Plus see their default investment strategy, making it easy to see if the portfolio is meeting its goals.



**Investments currently held by client** – find all the investments held by one client and in each product.

Report name
<b>Client investment strategy</b> <a href="#">↗</a> View all clients and their current investments, including default investment strategies. You can also find out if auto-rebalance applies.
<b>Core fund list</b> <a href="#">↗</a> Ability to view and edit the core fund list.
<b>European MiFID Template (EMT) data</b> <a href="#">↗</a> View full EMT fund data for all investments on the platform.
<b>Investments currently held by client</b> <a href="#">↗</a> View the fund holdings in your client's products.
<b>Investments currently held by manager</b> <a href="#">↗</a> View investments currently held at asset manager level. You can select the asset manager to view individual investments and see which clients hold them.
<b>Investments list</b> <a href="#">↗</a> View all investments available and any charges that apply.
<b>Investments traded</b> <a href="#">↗</a> View all transactions between a given date range at product level.
<b>Investments traded by clients</b> <a href="#">↗</a> View all transactions between a given date range at client and product level.

# Investments held and traded reports



Investments currently held by manager - shows investments held by asset manager and which clients hold the individual investments.



Investments traded – details all transactions, by product, between your chosen dates.



Investments traded by clients – details product transactions between your chosen dates, although doesn't include pending transactions.

+ Investments held and traded
Report name
<b>Client investment strategy</b> <a href="#">↗</a> View all clients and their current investments, including default investment strategies. You can also find out if auto-rebalance applies.
<b>Core fund list</b> <a href="#">↗</a> Ability to view and edit the core fund list.
<b>European MiFID Template (EMT) data</b> <a href="#">↗</a> View full EMT fund data for all investments on the platform.
<b>Investments currently held by client</b> <a href="#">↗</a> View the fund holdings in your client's products.
<b>Investments currently held by manager</b> <a href="#">↗</a> View investments currently held at asset manager level. You can select the asset manager to view individual investments and see which clients hold them.
<b>Investments list</b> <a href="#">↗</a> View all investments available and any charges that apply.
<b>Investments traded</b> <a href="#">↗</a> View all transactions between a given date range at product level.
<b>Investments traded by clients</b> <a href="#">↗</a> View all transactions between a given date range at client and product level.

# Investments held and traded reports

## Investments currently held by manager

Report Zone > Investments currently held by manager Richard Elliott-Garwood Log out

**AEGON**  
Transform tomorrow

Shared reports

Investments currently held by manager

Branch: All Adviser: Aegon Integration Get data

	Asset manager	Asset value (£)	Units
1	Cash Manager	1.27	1.2700
2	Invesco Perpetual Fund Managers Limited	25.37	12.4900
3	Schroders Unit Trusts Limited Onshore	19.78	17.3800
4	AXA Investment Managers UK Ltd	20.89	15.7640

	Asset name	ISIN	Sedol	Asset value (£)	Units
1	AXA Frmlngtn UK Sm Cos Z Inc	GB00BRJZVS95	BRJZVS9	20.89	15.7640

	Client name	Post code	Wrapper type	Wrapper	Asset value (£)	Units
1	Martyn Sales	cm2 6ga	General Investment Account	80936711	20.89	15.7640

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- Use this report to review funds which have closed or suspended.
- Select **Branch** and **Adviser**, then **Get data**.
- Results are at fund manager level – select the fund manager name to show the fund names. Select the fund name to show the clients invested in that fund.



# Model portfolio management reports



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# Model portfolio management reports

To access, select **Model portfolio management reports**. Then choose one of the following:

- Model portfolio analysis
- Model Portfolio Status

Report name
<b>Model portfolio analysis</b>  View a breakdown of the model portfolios available, how much is invested in each and linked clients.
<b>Model Portfolio Status</b>  View your clients? wrappers linked to a model portfolio including variance and rebalance status.

# Model portfolio management reports

## Model portfolio analysis report example

Use the model portfolio analysis to drill down to **asset information** and **performance**, **model performance** or **investor information** for each model portfolio set up, between a date range set by you.

Model portfolio analysis PDF export

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Run date:  Branch:  Adviser:  Status:

Model:

### Asset info

This report shows the model AUM and investment strategy grouped by Adviser.

Asset name	Asset percent	Value £
<b>Adviser: Bri Kunzite</b>		
<b>Model: Aggressive Growth EasyISA-V8</b>		
BlackRock European Dyn FD Acc	16.66%	2,101.18
Fidelity American Spec Sit W Acc	16.66%	1,931.32
Fundsmith Equity I Acc	16.67%	2,276.70
JOHCM UK Dynamic Y Acc	16.67%	1,830.13
Marlborough UK Micro Cap Gwth P Acc	16.67%	1,974.96

### Investor info

Adviser name	Wrapper type	Client name	Model description	Model status	Wrapper number	Regular rebalancing	DFM charge %	Value
Bri Kunzite	General Investment Account		Income EasyISA-V7	Open	80947449	Y	0.00	664.10
Bri Kunzite	General Investment Account	a b	Chelsea branch	Open	80950996	N	0.00	0.00
Bri Kunzite	General Investment Account	Amazonite	Income EasyISA-V7	Open	80932973	Y	0.00	12,986.43
Bri Kunzite	General Investment Account	Comp 1222 CompanyName	Cautious Growth EasyISA-V10	Open	80380573	Y	0.00	9.85
Bri Kunzite	General Investment Account	Comp 1227 CompanyName	Income EasyISA-V7	Open	80626856	Y	0.00	0.00
Bri Kunzite	General Investment Account	Comp 1229 CompanyName	Customer Model 42	Open	80505475	Y	0.00	0.02

# Model portfolio management reports

## Model Portfolio Status

This report shows you information such as **clients linked to a model portfolio, variance of asset allocation against original model portfolio, date product first linked to model portfolio, rebalance dates** and more.

The screenshot shows the Aegon Model Portfolio Status report interface. At the top, there is a navigation bar with 'Report Zone > Model Portfolio Status' and a 'Log out' button. Below this is the Aegon logo with the tagline 'Transform tomorrow' and a 'Shared reports' link. The main content area is titled 'Model Portfolio Status'. Below the title, there are two dropdown menus: 'Branch: All' and 'Adviser: Aegon Integration', followed by a 'Get data' button. Below these filters is a table with the following columns: NetworkName, BranchName, AdviserName, ClientID, ClientName, JointHolders, WrapperID, ProductComponentName, ModelOwner, and ModelPor. The table is currently empty. At the bottom of the page, there is a copyright notice: '© 2020 Aegon | Legal | Regulatory | Accessibility | Cookies and privacy | Contact us'.

A woman with dark hair, wearing a bright yellow long-sleeved blouse with a ruffled collar, is seated at a wooden desk in an office. She is smiling warmly at the camera. On the desk in front of her are a white mug, a black mug, and some papers. The background is a blurred office environment with another person in a red shirt visible in the distance.

## Product wrappers opened and held reports

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# Product wrappers opened and held reports

There's lots of useful reports in this section covering information from value of products moved to a different adviser to remaining ISA allowance for each client in the current tax year, and everything in between...

Report	Summary
Adviser/Branch valuation	Shows value of all client investments by either adviser or branch
Client income and withdrawals	View regular and ad hoc withdrawals, and any pension income taken by your clients
Client retention	See the value of products moved to a different adviser or network within a time period chosen by you
Completed transfers	Shows transfer in details for each client
Customised product level data	Use this report to include a number of other fields in your data for each product
Historic Cofunds reference lookup	View Cofunds to Aegon client references before and after migration
In progress/completed transfers	Details of in progress and completed pension and ISA transfers in
Investments in use	A list of investments currently held and their value across all products
Most bought funds	Gives you a list of the most bought funds by your clients on the Aegon Platform

# Product wrappers opened and held reports

...All vital information that can help you find opportunities to **maximise your client base and add value.**

<b>Report</b>	<b>Summary</b>
Product level charges	See all adviser and platform charges that apply to your clients' products
Product valuation details and adviser charges paid	View a valuation of all your client's investments by product, include the cash value. Plus the ongoing and ad hoc adviser charges paid within a selected time period
Product valuation summary	Your client's product valuations
Regular income and contribution report	See regular income transactions paid to GIAs, ISAs, SIPP's
Remaining ISA allowance	Everything you need to run your own ISA campaign – client details, ISA allowances left and more
Dealing report	Identify which clients have bought what and how (for example, paper or online)
Ten percent drop	See the products that have dropped in value by 10% or more within a selected time period – this applies to products in a model portfolio and/or are managed by a discretionary fund manager

# Product wrappers opened and held reports

## Dealing report

Use it to track all new business and top ups (including GIA to ISAs) submitted online and offline.

For submitted requests it shows:

- ✓ Type of instruction submitted
- ✓ Expected payment amount (£)
- ✓ Expectation status: Expected / Processed / Matched / Cancelled
- ✓ Date and time submitted
- ✓ Which user submitted the instruction
- ✓ If the instruction was submitted online or offline

Once processed it shows:

- ✓ Transaction date
- ✓ Transaction type
- ✓ Transaction amount (£)

# Product wrappers opened and held reports

## 10% drop

### MIFID 10% reporting

- We need to make sure investors are aware if their investments drop by 10% or more.
- Necessary for discretionary portfolios where the portfolio manager makes and executes investment decisions without referring to the investor for approval.
- Advisers who run portfolio services where client confirmation is required to act don't need to report. But we'll email you if you have a client linked to a model portfolio that drops by 10% in a quarter.
- To help you our 10% drop report provides details of clients who are impacted by this investment drop.
- This report is reset completely at the beginning of each calendar quarter.



# Product wrappers opened and held reports

## Customised product level data

- A flexible report – allows you to choose the data fields you want to see for each product on the Aegon Platform.
- Automatically shows you data from the previous month, but you can select preferred dates.
- Pick from over 70 data fields, including:
  - Client name/address/email/retirement age
  - Regular income amount
  - Model portfolio they are linked to
  - Total wrapper value / value of just assets/ value of just cash (£ and %)
  - Platform charge (blended rate)
  - Adviser ongoing charge (% or £)
  - Money in / out over period
  - Percentage gain / loss
  - ISA allowance data

The screenshot displays the Aegon platform interface for generating a 'Wrapper data' report. At the top, the Aegon logo and tagline 'Transform tomorrow' are visible. A 'Shared reports' link is located in the top right corner. Below the logo, the 'Wrapper data' section is highlighted. A date range selector shows 'From: 23/03/2020' and 'To: 23/04/2020', with a 'Get data' button to the right. A note states: 'The data table below allows you to select different amounts of data based on the layout and filter options. Please see the 'Instructions' panel below the table to see how this works.'

The main configuration area is titled 'Wrapper data' and contains several tabs: 'Layout', 'Sort', 'Filter', and 'Paging'. Below these tabs is a 'Show and hide columns' section with a list of data fields and checkboxes. The fields are organized into three columns:

- Column 1 (Left):**
  - From date
  - To date
  - Wrapper id
  - Product
  - GIA cash portfolio
  - Investor name
  - Investor id
  - Title
  - First names
  - Surname
  - DOB
  - Retirement date
  - Retirement age
  - Email
  - Property name
  - Care of
  - Address line 1
  - Address line 2
  - Address line 3
  - Postcode
  - Country
  - Inception date
  - Creation date
  - Income frequency
- Column 2 (Middle):**
  - Regular income amount
  - Investment model
  - Rebalancing enabled
  - Adviser name
  - Branch name
  - Network name
  - Wrapper value (Start)
  - Wrapper value (End)
  - Cash value
  - Available cash
  - Asset value
  - Off platform asset
  - Cash percentage
  - Excess/ deficit
  - Date of first transaction
  - Date of last transaction
  - Ongoing adviser charge
  - Fixed adviser charge
  - Initial adviser charge
  - Term based initial adviser charge
  - Adhoc adviser charge
  - Adviser ongoing charge (Last used blended rate)
  - Adviser service charge (Last used blended rate)
  - Platform charge (Last used blended rate)
- Column 3 (Right):**
  - Adviser ongoing charge flat rate
  - Adviser service charge flat amount
  - Adviser ongoing charge flat amount
  - Adviser service charge flat rate
  - Next term based charge
  - Total adviser charge
  - Total Aegon charge
  - Total transfers in
  - Total transfers out
  - Adhoc contributions (in period)
  - Total money out (in period)
  - Total money in (in period)
  - Current ISA allowance
  - ISA Investments in tax year
  - Unsubscribed ISA allowance
  - Current ISA annual regular investment
  - Gain/loss £
  - Gain/loss percent
  - Cofunds Customer Reference
  - Product Provider Policy Number
  - Recurring switch - cash to asset flag
  - Recurring switch - asset to cash flag
  - Last Income Payment Date

At the bottom right of the configuration panel, there is a 'Select:' dropdown menu with options for 'All' and 'None', and an 'OK' button.



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