



Siebel Finance Guide

Version 7.7
June 2004

Siebel Systems, Inc., 2207 Bridgepointe Parkway, San Mateo, CA 94404
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What's New in This Release

What's New in Siebel Finance Guide, Version 7.7

Table 1 lists changes described in this version of the documentation to support release 7.7 of the software.

Table 1. New Product Features in Siebel Finance Guide, Version 7.7

Topic	Description
<p>Revised business services</p> <p>See "Data Transfer Utilities (DTU)" on page 280 and "Data Validation Manager" on page 223.</p>	<p>Data Transfer Utilities business service. New functionality includes:</p> <ul style="list-style-type: none">■ Data map objects can be imported or exported as XML files.■ Source BusObj, Destination BusObj, and the Initiator BusObj can be independent of each other. Thus, it is possible now to instantiate a new BusObj as the source BusObj.■ Initiator Buscomp allows explicit definition of where DTU operation is initiated. Pass in expressions are evaluated at the run time at the initiator Buscomp. Iterate initiator Buscomp to fire multiple DTU operations.■ Named parameters used to pass arguments into and out of a data transfer operation.■ Advanced Options of data map components allows better control of the data map at the component levels. Source/ Destination types explicitly declare the source or destination fields to be Field, Expression, or Parameter.■ Srf mode for dynamic enabling of DTU toolbar command. <p>Data Validation Manager. New functionality includes:</p> <ul style="list-style-type: none">■ Validation across related business components.■ Ability to loop through all child business component records across business components.■ New Data Validation Administration screen.

Table 1. New Product Features in Siebel Finance Guide, Version 7.7

Topic	Description
<p>New business services</p> <p>See "Business Rule Processor" on page 224, "Requirements Manager" on page 256, "Customer Authentication Manager" on page 266, "Calculation Manager" on page 270, and "Customer Expectations Manager" on page 276.</p>	<p>Business Rule Processor. Provides higher performance and is more scalable than scripting. Allows for business logic changes without a new SRF. Offers flexible programming, supporting procedure, loop, if-then-else, and switch-case constructs.</p> <p>Requirements Manager. Determines requirements and next steps for transaction completion.</p> <p>Authentication Manager. Provides situation-specific customer authentication data collection and logging.</p> <p>Calculation Manager. Performs arithmetic functions and if/then/else calculations in background or through UI.</p> <p>Customer Expectations Manager. Calculates expected and promise dates, and sets priorities, based on item type and customer value.</p> <p>Application View Navigation. Guides users through a series of view.</p>
<p>Command Center</p> <p>See "About Command Center" on page 28.</p>	<p>The new feature provides a way to quickly launch a process, perform a task, or jump to a view all from one place.</p>
<p>Targeted call lists</p> <p>See "Process of Tracking Clients' Interests and Creating Interest-Based Call Lists" on page 176.</p>	<p>Improved functionality for tracking clients' interests in securities and generating targeted call lists.</p>
<p>Investors screen retired</p> <p>See Chapter 5, "Companies."</p>	<p>Most of the functionality of the former Investors screen has migrated to the Companies screen.</p>
<p>Customer value stars</p> <p>See "Setting the Customer Value Icon" on page 80.</p>	<p>Customer value stars are an iconic representation of a customer's value.</p>
<p>Auto Application workflow</p> <p>See "About Auto Application" on page 132.</p>	<p>The Auto Application workflow has been retired. The Auto Application functionality is now driven by seed data run-time events and action sets.</p>
<p>Persistent filters</p>	<p>Persistent filters are no longer available in the product.</p>
<p>Customer value chart and Customer and Company value icons</p>	<p>The Customer Value chart is no longer available in the product. Also, the value indicators on the Customer and Company Summary views have been removed.</p>

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Overview of Siebel Finance

Siebel Finance includes various modules that you can mix and match according to your business needs. The next section, [“Siebel Finance Functionality and Modules” on page 17](#), describes Siebel Finance functionality.

Siebel Finance is built upon the Siebel eBusiness Architecture, including Siebel Sales, Siebel Service, and Siebel Call Center applications. Like many other Siebel eBusiness Applications, Siebel Finance uses the Siebel Data Model, the Siebel Object Architecture, and the Siebel Application Server Architecture.

For customers with the Siebel Janna applications, the Siebel Finance Basic application and modules provide a migration path. Siebel Finance Basic also uses the Siebel Data Model, the Siebel Object Architecture, and the Siebel Application Server Architecture. For more information on Siebel Finance Basic, see [“Siebel Finance Basic Functionality and Modules” on page 22](#).

Siebel Finance Functionality and Modules

Siebel Finance provides the following functionality:

- Multi-line of business management, permitting use by a range of users in retail and investment banking, including call center representatives, commercial bankers, investment bankers, mutual fund managers, small business officers, private bankers, division and regional managers, tellers, and others
- Financial account management, allows user to see and manage different types of financial accounts such as checking, savings, mutual funds, and credit products
- Campaign management, allowing product promotion to specific segments, accounts, and other targeted opportunities
- Activity management, integrated with the Calendar, promoting streamlined call planning and call reporting
- Enterprise-wide product management, promoting product information sharing across sales teams and regional branches
- Knowledge management that supports customer-service centers and provides solutions for Financial Services-specific inquiries
- Multi-channel correspondence management that supports a large number of inbound telephone calls, faxes, email, and Internet correspondence for customer service, sales, banking agents, and investment specialists
- Outbound campaign management that supports outbound calling for telesales, telemarketing, and meeting planning

- Multi-channel relationship management that supports all customer touch points and modules of interaction, including Supermarket, Call Center, Field Sales, Marketing, Sales, Service, Kiosk, Branch, and Relationship Managers

Siebel Finance includes the following modules:

- **Small Business Banking.** Formerly called the Business Relationship Management module, this module is primarily targeted at Business Lending and Relationship Management. Within a small business banking organization, the primary users of this module include vice presidents, assistant vice presidents, line officers, and credit officers who have responsibility for business accounts. These positions are often referred to as relationship managers, account officers, or bankers. The Small Business Banking module provides detailed client profile information, competitive information, and summary charts to allow relationship managers to better identify and close opportunities with business customers.
- **Needs Analysis/Applications.** Siebel Needs Analysis/Applications, which is designed for sales personnel, their managers, and their associates, focuses on consumer sales opportunities. This module identifies appropriate product recommendations for deposit, investment, and home banking products for consumers and small businesses.

The Needs Analysis/Applications module also allows agents to capture information required to open and establish new liabilities products or services for customers. This module supports universal applications to facilitate a streamlined application process. For credit products application, use the Credit origination module.

- **Call Reports.** Siebel Call Reports are records of meetings and conversations with clients or other organizations and individuals. Financial institutions often require employees to generate call reports when they meet with customers.
- **Credit Origination.** The Siebel Credit Origination module supports loan origination. This module helps call center, field, and branch personnel do what if analysis to determine the needs of customers, recommend the right loan products, prequalify the customer, take the application, provide additional information about the product's fees, rate, and conditions, and manage loan documentation. This module further supports the consumer credit industry with the five most frequently used calculators in the industry, including Loan Amount, Monthly Payment, Loan Comparison, Refinance Break Even, and Loan Payoff.
- **Financial Accounts.** The Siebel Financial Accounts module allows organizations to view account details along with associated transactions. This module supports products such as checking, savings, credit cards, certificates of deposit (CDs), and all types of loans. It also includes investment accounts and holdings.
- **Securities.** Siebel Finance also provides functionality for investment accounts that support brokerage financial accounts and their related investment holdings. This module records and provides information about various securities (stocks, bonds, mutual funds, options, or unit investment trusts [UITs]) that make up these holdings. A financial institution using this module can execute trades of securities (buy and sell orders) on behalf of its clients.
- **Institutional Sales & Research.** Siebel Institutional Sales & Research provides a client management system for securities firms serving institutional clients. By facilitating communication across product groups and geographic regions, Siebel Finance allows client team members to work with the entire firm's relationships and competencies, thus institutionalizing the client relationship. Siebel Institutional Sales & Research includes the following functionality:

- **Holdings & Interests Tracking.** Siebel Institutional Sales & Research provides institutional salespeople with a tool for tracking client holdings and contact interests. Siebel Finance accepts feeds from third-party vendors of holdings data and also allows individual salespeople to import spreadsheets sent to them from clients. Salespeople can query holdings and interests data to build their day's call list and then make the calls with the assistance of Siebel CTI. Activity records are automatically generated, thus reducing data entry for the salesperson while still maintaining accurate contact histories.
- **Research Distribution Management.** Siebel Institutional Sales & Research provides a central repository for company research publications, and allows professionals to fax or email research documents to clients. Siebel Finance automatically tracks research distribution, allowing sales and research professionals to better understand their clients' interests. The firm can also use Siebel Finance to better understand the channels through which its research is being distributed, and to manage entitlements.
- **Investor Profiling.** Siebel Institutional Sales & Research provides institutional salespeople with an understanding of organizations or companies as investors with their holdings and transaction history, charts and profiles of the investor, and the literature distributed to the organization. As well, Siebel Finance can be integrated with external news sources to display additional information about the investor.
- **Securities.** Siebel Institutional Sales & Research includes the Securities module to provide for the set up and profiling of securities including mutual funds. The salesperson is provided with a picture of each security available for sale to his or her clients including literature about the security and information about mutual funds, their objectives, risk profile and asset mix.
- **Service Requests.** Siebel Service Requests is targeted at call center, field and branch service personnel, their managers, and their associates, and focuses on support for retail banking customers. Siebel Finance allows agents to perform key service transactions, such as name or address changes, fulfilling requests for statement or check copies, performing fee reversals and funds transfers, initiating stop payments on checks, and tracking these requests to completion.
- **Commercial Banking Loan Approval.** Siebel Commercial Banking Loan Approval provides the necessary tools and functions for the commercial banking market. Commercial Lending allows end users to automate the application approval process in commercial banking. It allows agents to capture the information necessary for a credit committee to make decisions. Users can capture both customer and facility-level information. The customer-level information includes the Request Summary view, and displays general information about the primary borrower and the relationship. The information at the facility level includes the facility detail views, displaying detailed information about the specific facilities for which approval is requested.
- **Corporate & Commercial Banking.** Siebel Corporate & Commercial Banking is designed for financial services professionals working with corporations and other business customers in corporate banking. This module augments the customer relationship management features of Siebel Finance.

Company profiling provides corporate bankers with an in-depth picture of companies including their investment and financial profile, competitors, third-party providers, and investors. Also, includes summary views to provide quick snapshots of the key information about the company. Siebel Corporate & Commercial Banks includes the following functionality:

- **Retail Brokerage.** Siebel Retail Brokerage provides tools to allow an advisor or a broker to provide the right advice to the right customer at the right time, resulting in increased returns on investment for the customer and increased profitability for the financial institution. Siebel Retail Brokerage includes the following functionality:
 - **Household Holdings.** Because retail brokerage sales are often to residents in the same household, this module also provides the total household picture including all the holdings for individuals within the household. It provides the advisor the ability to select and aggregate holdings for a household with multiple accounts, to view the time-weighted rate of return or anticipated cash flows for an identified period, and to compare the household's actual portfolio by asset class or by industry sector against a selected model portfolio.
 - **Holdings & Interests Tracking.** It also provides brokers and advisors with a tool for tracking an individual's holdings and interests. Siebel Finance accepts feeds from third-party vendors of holdings data and also allows individual brokers and planners to import spreadsheets sent to them from clients. Brokers and advisors can query holdings and interests data to build their day's call list and then make the calls. Activity records are automatically generated, thus reducing data entry for the salesperson while still maintaining accurate contact histories.
 - **Securities.** Siebel Retail Brokerage includes the Securities module to provide for the setup and profiling of securities including mutual funds. The salesperson is provided with a picture of each security available for sale to his or her clients including literature about the security and information about mutual funds, their objectives, risk profile and asset mix.
 - **Research Distribution Management.** Siebel Retail Brokerage provides a central repository for company research publications and allows brokers and planners to fax or email research documents to clients. Siebel Finance automatically tracks research distribution, allowing sales and research professionals to better understand their clients' interests. The firm can also use Siebel Finance to better understand the channels through which its research is being distributed and to manage entitlements.
- **Retirement/Pension Management.** Siebel Retirement/Pension Management provides comprehensive support for group pensions. It allows a user to manage private group pensions, including defined contribution plans, such as 401(k) plans and occupational pensions, and defined benefit plans. It is designed to meet the needs of sales and service professionals, managers, and pension administrators. The module allows users to define group pension plans, plan classes, plan eligibility rules, and plan funding vehicles. Siebel Retirement/Pension Management also provides eligible and enrolled participants tracking, participant contribution and investment allocation management, as well as a participant beneficiary management.

Siebel Retirement/Pension Management includes the Securities module to provide for the set up and profiling of funding vehicles such as mutual funds for pension plans. The plan administrators are provided with a picture of each mutual fund available for investment under the terms of the plan including literature about the fund, fund objectives, risk profile, and asset mix.
- **Investment Banking.** Siebel Investment Banking offers investment bankers and their managers the tools to identify which customers need the most attention to push deals through to closure. Siebel Investment Banking includes the following functionality:

- **Company Profiling.** Company profiling provides investment bankers with an in-depth picture of companies. This information includes their investment and financial profile, competitors and investors. Also, summary views provide quick snapshots of the key information about the company.
- **Investor Profiling.** Siebel Investment Banking provides bankers with an understanding of companies as investors with their holdings and transaction history, charts and profiles, and the literature distributed to the company. As well, Siebel Finance can be integrated with external news sources to display additional information about the investor.
- **Research Distribution Management.** Siebel Investment Banking provides a central repository for company research publications and allows bankers to fax or email research documents to clients. Siebel Finance automatically tracks research distribution, allowing sales and research professionals to better understand their clients' interests. The firm can also use Siebel Finance to better understand the channels through which its research is being distributed and to manage entitlements.
- **Investment Management.** Siebel Investment Management gives the account manager the tools to determine how best to build and maintain customer relationships, and how best to manage customer assets. Information is provided on customer financial accounts and holdings, as well as recent activity within customer accounts. Siebel Investment Management includes the following functionality:
 - **Company Profiling.** Company profiling provides account managers with an in-depth picture of companies. This information includes their investment and financial profile, competitors, and investors. Also, summary views provide quick snapshots of the key information about the company.
 - **Investor Profiling.** Siebel Investment Management provides account managers with an understanding of companies as investors with their holdings and transaction history, charts and profiles of the investor company and the literature distributed to the company. As well, Siebel Finance can be integrated with external news sources to display additional information about the investor.
 - **Holdings & Interests Tracking.** It also provides account managers with a tool for tracking holdings for both corporate and individual clients and their interests. Siebel Finance accepts feeds from third-party vendors of holdings data and also allows individual account managers to import spreadsheets sent to them from clients. Account managers can query holdings and interests data to build their day's call list and then make the calls. Activity records are automatically generated, thus reducing data entry for the salesperson while still maintaining accurate contact histories.
 - **Research Distribution Management.** Siebel Investment Management provides a central repository for company research publications and allows account managers to fax or email research documents to clients. Siebel Finance automatically tracks research distribution, allowing sales and research professionals to better understand their clients' interests. The firm can also use Siebel Finance to better understand the channels through which its research is being distributed and to manage entitlements.

- **Rollup.** Siebel Rollup provides a comprehensive view of a client relationship in a single click, thereby eliminating the process to collect this information.

Siebel Rollup offers four views of the relationship with a client - Activities, Opportunities, Coverage Team, and Contacts. These views show the records for the selected client and for any hierarchical children. For example, the Contacts Rollup view displays all contacts associated with the selected company, all subsidiaries of the selected company and the regional offices.

Executives, sales managers, or sales professionals are often looking for aggregate information across a corporate enterprise and the individuals who work there. For example, before the Global Relationship Manager visits the CEO at his client company, he may want to view a report of all the latest activities, and deals conducted with the client company or with any of the subsidiaries, divisions and offices of the client company. This information arms the Global Relationship Manager with a picture of the relationship between the client and his company, and excellent preparation tool for his important meeting.

- **Collections.** The collections module provides financial institutions with capabilities to perform collections functions. It provides organizations with the ability to monitor delinquent accounts, develop and execute collections campaigns, and capture customer response such as payment promise. It also captures information related to skip trace and customer bankruptcies/ legal information. This module allows financial organizations to transform their collections process into a customer-focused, cost-efficient process.

NOTE: Optional modules from Siebel eBusiness Applications can be used to provide enhanced functionality to support various business processes. For information about the optional modules, contact your Siebel sales representative.

Siebel Finance Basic Functionality and Modules

Siebel Finance Basic (exclusively for customers upgrading from the Siebel Janna applications) provides comparable functionality to Siebel Janna for Institutional Finance or Siebel Janna Contact Enterprise, including the following functionality:

- Relationship management, providing a graphical, hierarchical representation of an entity's relationship with other entities for use by a range of users in financial services
- Specific querying, allowing product promotion to specific segments, accounts, and other targeted opportunities
- Activity management, integrated with the Calendar, promoting streamlined call planning and call reporting
- Enterprise-wide literature repository at your employees' fingertips, providing information sharing across sales teams and locations

Two modules, Siebel Opportunity Manager and Siebel Household Management, are exclusively for use with Siebel Finance Basic:

- **Siebel Opportunity Manager.** When used with Siebel Finance Basic, Siebel Opportunity Manager helps financial sales professionals develop, manage, and drive their pending opportunities or deals to closure. Siebel Opportunity Manager's opportunity and deal management capabilities include lead generation, managing opportunities, and forecasting.
- **Siebel Household Management.** When used with Siebel Finance Basic, Siebel Household Management helps financial sales professionals manage consumer household information.

3

Getting Started with Siebel Finance

This chapter lists the applications administration tasks that are specific to Siebel Finance. Use this chapter in combination with *Applications Administration Guide*.

Applications Administration Guide covers the setup tasks that are common to all Siebel eBusiness Applications, such as using license keys, defining employees, and defining your company's structure. It also provides the information you will need to implement, configure, and monitor the Siebel sales, service, and marketing products and to perform data administration and document administration tasks.

This guide assumes that you have already installed or completed the upgrade of Siebel Finance. If you have not, go to the Installation/Upgrade section of the *Siebel Bookshelf* and click the links to the guides that are relevant to your company's implementation.

The Siebel database server installation creates a Siebel administrator account that can be used to perform the tasks described in this guide. For more information about this process, see the *Installation Guide* for your operating system.

CAUTION: Do not perform system administration functions on your local database using the Mobile Web Client. Although there is nothing to prevent you from doing this, it can have serious results, such as data conflicts, an overly large local database, or a large number of additional transactions to route.

Renaming Siebel Account Objects

In general, Siebel applications refer to companies as accounts. In the Financial Services industry the term *account* has typically been synonymous with financial accounts so historically the word *company* has been used in many places in Siebel Finance. By default, Siebel Finance installs using the term *accounts*. Users can change this term and use another description, such as *Companies*, *Clients*, or *Customers*. Users wishing to change this default need to rename all Siebel Account objects prior to deployment. For more information, see *Upgrade Guide*.

NOTE: All of the chapters in this guide are written assuming you have renamed Siebel Account objects to *Companies*.

Integrating Data with Host Applications

Siebel Finance is not designed to be a financial institution's primary system of record for financial account information. Typically, financial institutions operate mainframe systems, or sometimes multiple systems, as their core operating systems. Financial account information from these systems is made accessible in Siebel Finance by loading it into Siebel Finance in batches using Enterprise Integration Manager, or in real time using one of Siebel applications real-time integration technologies.

Configuring Lists of Values

In Siebel Finance, the List of Values (LOV) should be modified in accordance with the terminology used by your financial institution. For example, the list of transaction types used in Siebel Finance should match those used by your financial institution. For more information on configuring a LOV, see *Applications Administration Guide*.

NOTE: This may impact certain forms and lists, which rely on the preconfigured values for correct operation.

Setting Up Type, Area, and Subarea Information

Many records in Siebel Finance are associated with a type of product, such as a bank account, mutual fund, or security. Based on a record's associated product type, a corresponding list of values may be used along with the record, and in some instances, a subarea is assigned. As a result, you must set up the account categories and account types so that they are associated with the proper products.

For more information about setting up financial product types, see *Product Administration Guide*. For more information on setting up securities, see "[Process of Administering Securities](#)" on page 172.

Establishing Applets as Read and Write or Read-Only

Siebel Finance preconfigured functionality allows read and write data modification for many of the Siebel Finance views. This may not be desirable in all cases; for example, your financial institution may not want end users to modify account balances or create transaction records. Each view should be carefully evaluated to determine the appropriate read and write configuration and the accessibility of each view to the various classes of employee users.

Where data is considered to be editable, it may be desirable to send these transactions to the host system that is the system of record. If not, data may not be synchronized between the Siebel database and the system of record.

Determining Which Data Fields to Display

Make sure that fields that are returned by back end/host system are displayed within the Siebel application. There may also be additional fields that are displayed only within the Siebel application, such as calculated or otherwise denormalized fields, or data for which Siebel is the system of record. Also, make sure the Siebel required fields match those captured by the financial institution. Where certain required fields are not used, it may be necessary to provide a default value.

Configuring Summary Views

In Siebel Finance, summary views have been restructured. In the past, multiple summary views existed, typically one summary view for a particular type of user. For example, there were preconfigured summary views specifically for salespeople and customer service agents. This has been replaced by common summary views whose appearance can be configured by individual end users.

Users can change the way a list appears in a summary view using the controls in the top right corner of each list. These controls, described in [Table 2](#), allow users to manage what appears on the summary view.

Table 2. Summary View Controls

Button	Description
Hide	Temporarily hides a list or form from view.
Collapse	Collapses the list of records. If the list cannot be collapsed, the expand button appears instead of the collapse button.
Expand	Expands the list of records. If the list cannot be expanded, the collapse button appears instead of the expand button.

Any changes made to a summary view layout are only visible to the current user and remain in effect until that user changes them again or reverts to the default layout. If users hide a list, they must click Edit Layout to restore it. For more information, see ["Editing a Summary View Layout."](#)

Editing a Summary View Layout

Using the Edit Layout view, users can restore hidden lists, collapse or expand all lists, move lists or forms up or down on the page, or revert to the default layout. Using the edit layout buttons, described in [Table 3](#), users can change the way a summary view appears and apply those changes to future sessions.

Table 3. Edit Layout Buttons

Button	Description
Collapse	Collapses the list or form.
Expand	Expands the list or form.
Move up	Moves the list or form up on the home page.
Move down	Moves the list or form down on the home page.
Show	Displays the list or form on the home page.
Hide	Hides the list or form from view on the home page.

For more information on available summary views, see “Viewing a Contact Summary” on page 81, “Viewing Company Summaries” on page 60, and “Viewing Household Summaries” on page 66.

About Command Center

The command center allows you to quickly launch a process, perform a task, or jump to a view. Command center actions are preconfigured by your system administrator in accordance with your company’s business process requirements. For example, if the financial services agents at your company often need to jump to the financial accounts view for a contact, you could configure the command center to perform this action, saving them time and keystrokes. See “Command Center Configuration & Administration” on page 28 for information on how to configure the command center.

Out of the box, the command center is only available from the Summary views on the Contacts and Companiescreens.

There are two interface types for the command center:

- Action form
- Command line

Figure 1 shows the action form, a menu-driven interface guiding the end user through preconfigured choices in order to launch an action. The command line requires the end user enter specific command line syntax to launch the action.

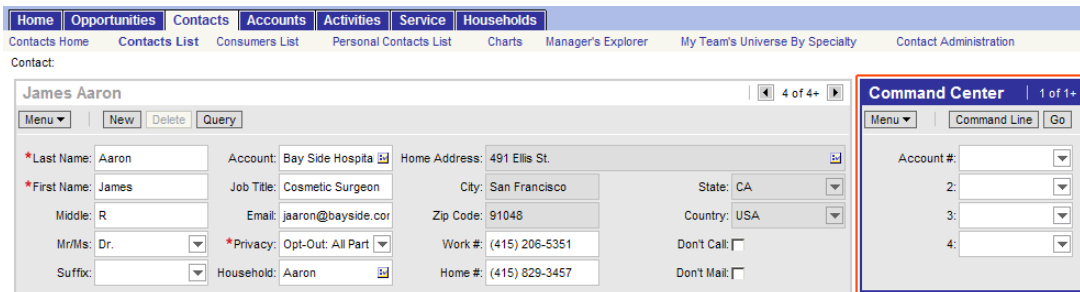


Figure 1. Command Center Action Form

Command Center Configuration & Administration

Command Center configuration and administration should only be done by expert users accustomed to working with business services.

Process of Configuring the Command Center Action Form

To configure the appearance and function of the Command Center Action form you must:

- 1 Define the business object where the Command Center Action form appears and what business component and fields are to be used.
- 2 Define actions available for the business object, indicating for each combination of possible attribute values what action is taken (launch a business service or workflow, go to a view, and so on).
- 3 For actions defined as private, select the defined roles for which the actions will be available.

An example configuration is included at [“Example of Configuring the Command Center Action Applet” on page 32.](#)

Defining the Command Center Business Object

The first step in configuring the Command Center Action form is to define the business object where the Command Center form appears and what business component and fields are to be used. Out of the box, the Command Center forms appear on the Contact Summary and Company Summary views.

This task is part of [“Process of Configuring the Command Center Action Form.”](#)

To define the business object

- 1 Navigate to Site Map > Administration - Command Center > Defined Objects.
- 2 Create a new object definition record and complete the fields as follows:

Field	Parameters	Description
Business Object	Any Business Object for which the forms have been defined. For example, Contact or Companies.	This identifies the screen where the Command Center form is to appear.
Source Business Component	The business component against which the Driving Field will be compared. For example, FINCORP Account. This should be a business component available on the view where the Command Center applets are visible (for example, Contact Summary view).	The value of this field is constrained by the value of Business Object field. In turn, it is a constraint for the Driven Field.
Source Business Search Specification	A filter on the source business component. For example, Acct. Status = Open. Only Financial accounts with a status of Open will be available in the Command Center.	Use this field to enter an optional filter criteria on the selected Business Component.

Field	Parameters	Description
Driving Field	<p>A field name from the Source Business Component. The field name can be ascertained using Siebel Tools.</p> <p>Following the examples in the above field parameter descriptions, this could be the Financial Account name or id.</p>	<p>The value of this field is constrained by Source Business Component and Source Business Search Specification (if entered).</p> <p>The driving field is equivalent to Attribute 1.</p>
Driving Field Label	Free text field, 20 character limit.	The text label exposed in the UI for Driving Field (Attribute 1). If blank, the label defaults to Driving Field on the Command Center form.
Attribute 2,3,4 Label	Free text fields, 20 character limit.	The text label for each of Attributes 2-4. If left blank, the attribute will not appear on the form.
Driving Field on Cmd Form	Check box.	If checked, it exposes the Driving Field label on the Command Center form above the Command field.
Expression	Free text field.	<p>The expression field can be used to constrain the available set of actions based on what the user has selected in the Driving Field. As each object definition can have multiple action definitions, the expression field is a way to limit the available actions based on a business component field.</p> <p>For example, if the user selects a checking account, investment based actions may not be appropriate.</p> <p>For example: IIF([Account Number] LIKE '1800*', Liability, Asset). That is, if the account number starts with 1800 it maps to action definitions in the Action Definition list that have the Attribute 1 Map field set to Liability. Otherwise, it is mapped to action definitions that have the Attribute 1 Map field set to Asset.</p> <p>If there is no need to constrain the actions, then any value will suffice (for example, Contact - All).</p>

Defining the Command Center Actions

After you define the business object, you define actions for each object. These actions indicate for each object a combination of possible attribute values what action is taken (launch a business service or workflow). The relationship is one-to-many.

This task is part of ["Process of Configuring the Command Center Action Form" on page 28.](#)

To define actions for the Command Center applet

- 1 Navigate to Administration - Command Center > Defined Objects and select the Object Definition for which you wish to define actions.
- 2 In the Action Definition list, create actions and complete the fields as described in the following table.

Field	Parameters	Description
Attribute 1 Required	Checkbox.	Indicates whether or not an entry in Driving Field (Attribute 1) is required for the Command Center to return results.
Attribute 1 Map	Free text.	Works in concert with the Expression field of the Object Definition to determine the contents of the Command Center dropdown menus.
Attribute 2-4	Free text.	Value lists for Attributes 2-4.
Command	Free text. Each entry must be unique, that is, you cannot use the same command for different actions.	<p>The command line equivalent for the action.</p> <p>These commands are restricted to the Business Object with which they are associated.</p> <p>See also "Creating Global Commands for the Command Line Applet" on page 34.</p>
Command Help Text	Free text.	<p>The Help text for the command help feature when a question mark (?) is entered using the command line.</p> <p>This field is reserved for future use. You can expose it in some manner, should you choose, using a custom configuration.</p>
Business Service	Free text. EX: FINS Goto View Service	The name of the Business Service to be run.

Field	Parameters	Description
Business Service Context	Free text.	The parameters for the Business service.
Business Service Method	Free text.	The method for the selected Business service.
Public Flag	Check box.	If checked (true), then any roles selected for the action do not apply. If unchecked (false), then any roles selected do apply and visibility to actions will be limited by the selected roles.
Inactive	Check box.	This hides the defined action and attribute combination.

Selecting the Command Center Responsibilities

For each action, select the defined responsibilities for which the action will be available. The relationship between actions and responsibilities is one-to-many.

This task is part of ["Process of Configuring the Command Center Action Form"](#) on page 28.

To select responsibilities for a Command Center action

- 1 Navigate to Administration - Command Center > Defined Objects and select the Action for which you wish to define responsibilities.
- 2 In the Responsibility list, create a new record.
The Add Responsibilities dialog box appears.
- 3 In the Add Responsibilities dialog box, select the desired responsibility.
The responsibilities information appears as read-only in the Responsibility list. Selected responsibilities are only enforced if the Public Flag for the action is unchecked (false).

Example of Configuring the Command Center Action Applet

This topic gives one example of configuring the Action applet. You may use this feature differently, depending on your business model.

NOTE: This example uses a view available only in Siebel Healthcare. Although it is not visible to Siebel Finance users, the example is still useful to all Siebel Financial Services users to illustrate how to set up the Command Center.

The Command Center is available on the Siebel Healthcare Member Summary view and can be configured to launch several key sales processes such as ordering a new ID card or changing a primary care physician. For more information on using the Member Summary Command Center when configured as in this example, see *Siebel Healthcare Guide*.

The Command Center is set up using the Administration - Command Center view.

To configure the action applet to run the business service FINS Goto View

- 1 Navigate to FINS Command Center Admin Object view and create a new object definition record. Complete the fields as follows:

Field	Value
Business Object Name	FINS Members
Source Business Component	FINS Members
Driving Field	Last Name
Driving Field Label	Name
Attribute 2 Label	Area
Attribute 3 label	Action
Expression	RedundantExpression
Driving Field On Cmd Form	Checked

- 2 To set up a pop-up applet, in the Action Definition list create a new action record and complete the fields as follows:

Field	Value
Attribute 2	ID Card Requests
Attribute 3	Show History
Command	IDCSH
Business Service	SLM Save List Service
Business Service Context	'Applet Mode', '6', 'Applet Name', 'FINS Service Request Order ID Popup Applet'

NOTE: The applet in this example is only available in Siebel Healthcare. Siebel Finance customers would select a suitable view and applet available in their respective applications.

Field	Value
Business Service Method	LoadPopupApplet
Public Flag	Checked

- 3 To set up a view navigation, in the Action Definition list create a new action record and complete the fields as follows:

Field	Value
Attribute 2	ID Card Requests
Attribute 3	Order New ID Card
Command	IDCOR
Business Service	FINS Goto View Service
Business Service Context	'ViewName', 'FINS Member Benefits View', 'RowId', '[Current Src Rec Id]', 'AppletName', 'FINS Member Form Applet - short'

NOTE: The view and applet in this example are only available in Siebel Healthcare. Siebel Finance customers would select a suitable view and applet available in their respective applications.

Business Service Method	GotoView
Public Flag	Checked

Creating Global Commands for the Command Line Applet

Some users may prefer to use only the Command form. In this case, the only configuration required is to indicate the command line syntax and the associated business service and responsibility information. These global commands will be actionable through the Command line form on whatever business object it appears.

To create global commands for the Command Line applet

- 1 Navigate to the Administration - Command Center > Global Commands.
- 2 In the Global Commands list create a command record and complete the fields as described in ["To define actions for the Command Center applet" on page 31.](#)

- 3 For each Command record select responsibilities as described in ["To select responsibilities for a Command Center action"](#) on page 32.

4 Opportunities

An *opportunity* is a potential revenue-producing event related to one or more companies or individuals. An opportunity often has a close date, a win probability, and a sales team. It is typically related to contacts, products, decision issues, activities, and competitors.

In Siebel Finance, opportunities help an organization to nurture and manage the entire life cycle of a revenue-generating opportunity, from creation to closing. Relationship managers and sales representatives, who are responsible for managing and generating revenue, use opportunity information on a regular basis. Top management also uses the opportunity analysis tools in Siebel Finance to analyze pipeline performance and help manage overall business performance through well-planned strategic-selling activities.

In addition, Siebel Finance includes deal management capabilities through extensions to the basic opportunity management functionality. Using deal management, end users can manage and track deal information throughout the deal life cycle. Specifically, users can track the following types of information:

- Deal type
- Industry
- Product line
- Related activities
- Related attachments
- External deal contacts
- Closure information
- Related products
- Status information

Users can control access to deals and deal details by adding and deleting people to the deal team. Users can further narrow deal visibility and any associated activities and attachments by enabling the Secure flag. The combination of these restrictive visibility features provides basic security functionality.

Using the procedures given in this chapter, you will be able to perform the administrator tasks of adding an opportunity from the Opportunities Administration view, managing the sales team assigned to an opportunity, and specifying primary sales team members.

End users use the Opportunities screens to add an opportunity, create an opportunity from an application, and review opportunity details. From a deal management perspective, end users can create new deals, manage deal team members, secure deals, change the primary deal team member, create deal activity plans, create new deal activities and associate team members, and add attachments to deals.

This chapter describes opportunity functionality that is unique to Siebel Finance. For more information on basic opportunity functionality, see *Applications Administration Guide*.

Scenario for Creating a New Opportunity

This scenario features sample opportunities tasks performed by a sales representative, an investment banker, and their managers in the securities and banking industries. Your company may follow a different workflow according to its business requirements.

Sales Representative Records a Loan Opportunity

The sales representative has a new lead. The company is already entered in Siebel Finance, and the individual the representative is calling on is already a contact for that company.

The customer calls to let the sales representative know that she is interested in negotiating a loan. She would like the sales representative to present a proposal. If that goes well, she will want to discuss the terms of the deal.

First, the sales representative creates a new opportunity record. Then, he schedules the meeting, records the associated activities on his to-do list, and enters the terms of the proposal.

As the sales process continues, the sales representative continues to gather information about the company, its contacts, and the opportunity. At any time, he can review a summary of the profile, sales team, contacts, and activities associated with this opportunity.

Every morning, the sales representative's manager reviews the opportunities created the previous day. The manager evaluates the new opportunities and determines if she should add more members to each opportunity's sales team to make sure it is covered sufficiently. In a few critical cases, she decides to change the primary team member from the sales representative to herself.

In this scenario, end users are sales representatives who manage opportunities in the field. They use the Opportunities screen to:

- Create new opportunities for new and existing accounts
- Update existing opportunities
- View information about an opportunity
- Perform actions related to an opportunity, such as reviewing details about products, projects, and competitors, creating activity plans, performing organization assessments and analyses, entering campaign leads and call reports, accessing decision issues, or generating proposals, quotes, and presentations

Investment Banker Creates IPO Deal

An investment banker, who is responsible for helping companies raise funds in the form of equity or debt, is starting work on an IPO deal for one of his companies. He creates the deal in the Opportunity screen. As the deal creator, he is automatically added as the primary deal team member. He sets the deal attributes, and secures the deal by checking the Secure flag. As the primary deal team member, he has the ability to add and delete other deal team members as needed; he adds his manager and a research associate to the deal team to make sure they have visibility to the deal and all its details. Finally, the banker assigns a task, the pitch book creation, to the research associate.

Instead of starting from scratch, the research associate copies and modifies an IPO pitch book document that she previously created for another deal. After the pitch document is completed, the associate's involvement in the deal is finished, so the investment banker takes her off the deal team to restrict her visibility.

During the life cycle of the deal, the investment banker's manager occasionally reviews the deal with respect to the current pipeline, revenue numbers, and forecasts.

After the deal is won, the investment banker includes closing information, such as the reason the deal was won, and a closure summary. He also unchecks the secure flag so that other employees in the company outside the deal team now have visibility to this completed deal.

In this scenario, the end users are an investment banker, his manager, and a research associate in the banking industry. They enter information to:

- Create a new deal
- Secure the deal
- Add or delete deal team members
- Create deal activity plans
- Create new deal activities and assign deal team members
- Add attachments to a deal

Administering Opportunities

The following administrator procedures are described in this section:

- ["Adding Opportunities as an Administrator" on page 39](#)
- ["Managing Opportunities" on page 40](#)

Adding Opportunities as an Administrator

Administrators can add, modify, and delete opportunities from the Opportunity Administration view, as well as the Opportunities List view.

To add an opportunity from the Opportunities Administration screen

- 1 Navigate to Opportunities > Opportunities Administration view.
- 2 In the Opportunity form, add a record and complete the necessary fields.

NOTE: Deleting an opportunity completely removes the opportunity, as well as every activity related to the opportunity, from the system. If you are unsure whether the opportunity is still active (and therefore should not be deleted), you can remove yourself from the opportunity team instead of deleting the record.

Managing Opportunities

You may want to modify the members of the sales team for an opportunity or change the primary team member designation. When the existing primary is a direct report, a manager can change the primary team designate using the Opportunity Sales Team view. If you are logged in as an administrator, you can change the primary team designate for any opportunity in the Opportunity Administration view.

You can also secure an opportunity in order to restrict visibility in the All Opportunities view to just the members of the sales team. When the Secure field is checked, the opportunity is hidden from other users. A secured opportunity can only be viewed by members of the sales team from the All Opportunities or the My Opportunities view.

NOTE: The primary sales team member for an opportunity can also add and delete sales team members, and edit the Secure flag setting.

To add or delete members of the sales team for an opportunity

- 1 Navigate to Opportunities > Opportunities List view.
- 2 In the Opportunities list, drill down on the desired opportunity.
- 3 In the Sales Team field, click the select button.
- 4 To add an employee to the sales team, select the employee and click Add in the Tam Members dialog box.
- 5 To delete an employee from the sales team, select the employee in the Selected Team Members list and click Remove.

To change the primary sales team member for an opportunity

- 1 Navigate to Opportunities > Opportunities Administration view.
- 2 In the Opportunities list, drill down on the desired opportunity.
- 3 In the Sales Team field, click the select button.
- 4 Clear the current Primary sales team member.
- 5 Select a new Primary designate by clicking the check box in the Primary field.

To secure an opportunity

- 1 Navigate to Opportunities > Opportunities Administration view.
- 2 In the Opportunities list, select an opportunity that you want to secure (lock).
- 3 In the Opportunity form, click the Secure check box.

Only the primary member of the sales team or the Siebel administrator can set the Secure check box. When an opportunity is marked Secure, only members of the sales team can view it in the All Opportunities view. Sales team members can also see a secure opportunity in their My Opportunities views.

Using Opportunities

The following end-user procedures are described in this section:

- ["Adding Opportunities in Siebel Finance" on page 41](#)
- ["Creating Opportunities from Applications" on page 43](#)
- ["Managing Deals in Siebel Finance" on page 43](#)

Adding Opportunities in Siebel Finance

When end users identify a unique opportunity they add a new opportunity record.

To add an opportunity

- 1 Navigate to the Opportunities screen > Opportunities List view.
- 2 Add a record, and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Closure Summary	Summary comments about the closing of an opportunity. Used by financial institutions when closing deals to track the circumstances and success or failure of closing.
Commitments	A read-only monetary value representing sum of commitments made in a commercial loan opportunity. This value is entered on the Opportunity Detail, Commercial Loans view. For more information, see "Adding Opportunity Details" on page 42 .
Deposits	A read-only monetary value representing the sum of deposits made in a commercial loan opportunity. This value is entered through the Opportunity Detail, Commercial Loans view. For more information, see "Adding Opportunity Details" on page 42 .
Lead Quality	Estimate of the quality of the deal.

Field	Comments
Loans	A read-only monetary value representing the total amount of loans made in a commercial loan opportunity. This value is entered through the Opportunity Detail, Commercial Loans view. For more information, see "Adding Opportunity Details" on page 42.
Probability %	The estimate of the likelihood that the opportunity will result in business, expressed as a percentage: <ul style="list-style-type: none"> ■ 0% means it is doubtful that business will result ■ 100% means it is certain that business will result
Product Line	Select the product line associated with the opportunity.
Revenue	Enter the amount of money you expect this opportunity to generate. When combined with the probability you assign to the opportunity, the Expected Value field is calculated.
Sales Cycle	Select the current cycle of the opportunity. The total number of opportunities in a specific cycle stage and the length of time that a particular opportunity has been in that cycle are important data for evaluating that opportunity.
Secure	Restricts visibility of an opportunity in the All Opportunities view to the members of the sales team. Clicking on this check box secures the record. Only the primary member of the sales team or the Siebel administrator can set the Secure field. To make the opportunity visible to every end user in the All Opportunities view, leave this field unchecked.
Start Date	Start date for the opportunity.

Adding Opportunity Details

End users can add details specific to commercial lending, equity, fixed income, advisory, and lending syndicate opportunities in the Opportunities Details view tab.

To add specific opportunity details

- 1** Navigate to the Opportunities screen > Opportunities List view.
- 2** In the Opportunities list, drill down on the desired opportunity.
- 3** Click the Opportunity Detail view tab.
- 4** Select one of the following links:
 - Advisory
 - Commercial Loan
 - Equity
 - Fixed Income

- Lending Syndicate

5 In the appropriate lists, add a record and complete the necessary fields.

Creating Opportunities from Applications

End users can also create opportunities when they create a financial application.

To create an opportunity from an application

- 1 Navigate to the Applications screen > Application List view.
- 2 In the Applications list, add a record and complete the necessary fields.

The new application is saved and an opportunity is created.

Managing Deals in Siebel Finance

The deal management end user tasks detailed in this section can be performed from any of the Opportunities views. In Siebel Finance, the availability of certain views and functionality can be limited according to each user's responsibilities. As a result, the views that appear may vary from those documented here.

The primary deal team member, and occasionally the primary's manager, act as the deal administrator. To add a new deal, end users create a new opportunity in the Opportunities screen. For more information, see ["To add an opportunity" on page 41](#).

NOTE: Deals can also be added from the Opportunities Administration view.

The deal primary members and their managers can restrict other deal team and non-deal team members' visibility to a deal by securing it. Securing a deal also secures the deal activities associated with the deal. To make sure end users have visibility to the deals and activities, they must be added to both the deal team and the activities team.

For information on adding and deleting deal team members, see ["To add or delete members of the sales team for an opportunity" on page 40](#).

To secure a deal

- 1 Navigate to the Opportunities screen > Opportunities List view.
- 2 In the Opportunities list, drill down on the desired deal.
- 3 In the opportunity form, select the Secure field to indicate that the deal is secure.

NOTE: Administrators can secure deals from the Opportunities Administration view.

To change the primary deal team member

- 1 Navigate to the Opportunities screen > Opportunities List view.
- 2 In the Opportunities list, drill down on the desired opportunity.
- 3 In the Sales Team field, click the select button.
- 4 In the Sales Team list, select the Primary field of the contact.

NOTE: The primary deal team member can be changed only by the primary's manager in the My Team's Opportunities view or the Opportunities Administration view. This can be overridden by a specific BC user property - MVG Set Primary Restricted: visibility_mvlink_name. See *Siebel Developer's Reference* for additional details.

To create a new activity plan for a deal

- 1 Navigate to the Opportunities screen > Opportunities List view.
- 2 Click the Activity Plans view tab.
- 3 In the Activity Plans list, add a record and complete the necessary fields.
- 4 In the Template field, select an activity plan template to use.

To create a new activity and assign a deal team member

- 1 Navigate to the Opportunities screen > Opportunities List view.
- 2 In the Opportunities list, drill down on the desired opportunity.
- 3 Click the Activities view tab.
- 4 In the Activities list, add a record and complete the necessary fields.
- 5 In the Employees field, select the employee to assign to the activity.

To create a new attachment for a deal

- 1 Navigate to the Opportunities screen > Opportunities List view.
- 2 In the Opportunities list, drill down on the desired opportunity.
- 3 Click the Attachments view tab.
- 4 In the Attachments list, add a record by clicking either New File or New URL.
- 5 In the resulting dialog box, do one of the following:
 - Select the file to add as an attachment.
 - Type a URL to the file to add as an attachment.

The remaining fields are automatically updated using the selected file's properties.

5

Companies

Within Siebel Finance, the term *companies* refers to entities that are typically referred to as *accounts* in other Siebel applications. A company represents the relationship between your organization and companies or organizational entities (or structures) with which you do business. Use the Companies screen and its associated views to view company information and interactions.

CAUTION: This chapter assumes you have renamed Siebel Account objects to Companies. By default, Siebel Finance installs using the term Accounts. For more information on renaming Siebel Account objects, see *Upgrade Guide*.

In Siebel Finance, the term *investors* refers to financial organizations such as mutual fund or money management institutions; investors are not contacts, rather they are companies that are identified as investors. In Siebel Finance 7.7, the investors functionality has migrated to the Companies screen. This chapter covers both regular company and investor procedures.

Using the procedures given in this chapter, you will be able to perform the administrator tasks of adding industries and territories, controlling company information, generating company hierarchies, managing competitor information, verifying coverage team members, and managing custom-defined relationship types.

End users use the Companies views to add new companies and investors, create company assessments, associate service requests with a company, update the coverage team, define relationships to other companies, contacts, and households, and view company summary information. In addition, end users can retrieve information about investors, including investors' preferences, holdings, and transactions.

You can save time and reduce keystrokes by using a workflow to automate steps that are repeatedly performed by end users. For more information, see *Siebel Business Process Designer Administration Guide*.

About Company Hierarchies

A company hierarchy is a group of companies that are organized by parent-child relationships. Siebel Industry Applications support displaying these company relationships in a hierarchical tree.

The hierarchical tree is a visual representation of company hierarchy data that allows end users to view the relationships between companies. By viewing a company roll-up, users can see aggregated company information, including contacts, coverage teams, activities, and opportunities.

When end users have access to a company, they can review the hierarchical structure for that company, its child divisions, and the contacts that work there. Company hierarchies are displayed in five subviews of the Companies screen—Relationship Hierarchy view, Activity Roll-up, Contact Roll-up, Opportunity Roll-up, and Coverage Team Roll-up.

Depending on your configuration, a company that does not have a parent-child relationship with another company may not appear in the roll-up views.

For more information on company hierarchies, see [“Generating Company Hierarchies for Data Aggregation” on page 51](#) and [“Viewing Company Hierarchies in Roll-Up Views” on page 56](#).

Scenario for Managing Company Information

This scenario features sample tasks performed by a sales representative, investment bankers, and research analyst in the securities or banking industries. Your company may follow a different workflow according to its business requirements.

In this scenario, end users are the sales representatives who manage company information. They enter information to:

- Add new companies to the database and create company assessments
- Associate applications and service requests with a company
- Manage company coverage teams
- View company summary information
- View relationships in a graphical manner

Sales Representative Tracks Company Information

A sales representative uses the Companies screen to capture and manage profile information about her business customer, such as contacts, organizational structure, management, and financial information. In addition to viewing market statistics and D&B reports. Using Siebel Finance, she can capture and track information about a company's:

- Relationship with her organization, such as the coverage team, contract terms, sales and service information
- Preferred delivery channels, at both summary and detailed levels

She can also view details of competitors and create and access marketing and sales presentations.

The sales representative can create a new company record or view and modify information about existing companies. For example, if the sales representative is preparing for a sales call, she can use the Companies screen to answer the following questions:

- What business is this company in?
- Who are the executives I should be calling on?
- What is this company's financial profile?
- What financial accounts and products does the company already own?
- What types of service issues has the company had?

Investment Banker and Research Analyst Analyze Research Literature to Send to Client

An investment banker for a sell-side institutional firm is reviewing one of her accounts to decide what research literature she should send to her client. The client's profile suggests a conservative stance and includes significant cash on hand. The investment banker decides to send some literature about various secured fixed-income instruments. The banker creates a service request for the literature distribution and assigns it to a research analyst at her firm.

The research analyst receives a service request to send literature to a client. The analyst determines the literature to send to the client. He then creates a new email, attaches the required literature, and sends it to the client.

In this scenario, users are bankers and research analysts. They enter information in Siebel Finance to:

- Add new investors
- Display an investor organizational chart
- Add investor holdings
- Add coverage team members and track coverage roles
- Display a list of transactions or holdings by investor

Administrator Procedures for Companies

The following administrator procedures are described in this section:

- ["Setting Up Values for Companies" on page 47](#)
- ["Deleting Company Information" on page 48](#)
- ["Managing Competitor Information" on page 49](#)
- ["Verifying Coverage Team Members" on page 49](#)
- ["Managing the Custom-Defined Relationship Types LOV" on page 50](#)
- ["Generating Company Hierarchies for Data Aggregation" on page 51](#)

Setting Up Values for Companies

Administrators can create new industries and territories so that the appropriate selections are available to end users when they add companies.

When a company is added to Siebel Finance, the end user adding the company is responsible for indicating the industry to which the company belongs. Administrators are responsible for creating the industries that appear to end users.

To add an industry

- 1 Navigate to Site Map > Administration - Data > Industries.

- 2 In the Industries list, add a record and complete the necessary fields.
Some fields are described in the following table.

Field	Description
Language Code	Primary language of the classification used.
SIC Code	Standard Industry Classification code as defined by the U.S. Department of Commerce.
Type	The classification used to describe the industry.

Companies are often associated with a territory. Administrators can create the territories that appear in the Territory field when end users add a company to Siebel Finance.

To add a territory

- 1 From the application-level menu, navigate to Site Map > Administration - Assignment > Territories.
- 2 In the Territory List list, add a record and complete the necessary fields.

Deleting Company Information

Deleting a company completely removes the company, as well as all activities related to the company, from the system. Only delete a company record if you are certain that the company is no longer active. If end users are unsure whether or not a company is still active (and therefore should not be deleted), they have the option of removing themselves from the company team instead of deleting the record.

As the Siebel administrator, you can make a company unavailable to all other users. First, you can assign yourself as the primary team member. Second, you remove all other employees from the company’s team.

To make a company unavailable to all other users

- 1 Navigate to Companies > Companies Administration view.
- 2 In the Company list, drill down on the desired company.
- 3 In the Company form, click the select button in the Account Team field.
- 4 In the Account Team dialog box, locate the administrator and click in the Primary field.
- 5 A check mark appears in the Primary field.
- 6 In the Account Team dialog box, delete all other coverage team members and click OK.

Only those users with access to the All Companies and All Companies Across Organizations views will be able to see this company.

Managing Competitor Information

Effective sales and marketing requires that your employees have up-to-date and consistent information about the competition and their products. This section describes how to administer information about competitors and competitive products within the Companies screen.

To indicate that a company is a competitor

- 1 Navigate to Companies > Companies Administration view.
- 2 In the Company list, add or select a company.
- 3 In the Company form, click the show more button.
- 4 Select the Competitor check box to add the company to the Competitor's list.

The company appears in the Competitor's list. The Competitor's list is available in the Competitors screen and related screens, such as Opportunities.

NOTE: Non-administrators can specify that a company is a competitor by selecting Competitor from the Type drop-down list. However, selecting Competitor from the Type drop-down list does not add the company to the Competitor's list as seen on the Competitor's screen or in the Pick Competitors dialog box, which is accessible on related screens, such as Opportunities.

When a company has been indicated as a competitor, you may want to add document files of comparative and competitive literature. For more information, see the chapter on literature administration in *Applications Administration Guide*.

Changing the Competitor Designation

You cannot delete records that have been added to the Competitors list, since deleting them would also remove them from related screens, like Opportunities. For example, a company may have been a competitor for an opportunity last month. Even if the company is no longer a competitor, the competitor record should remain as part of the history of the opportunity.

If you no longer want a record to appear in the Competitor's list, uncheck the Competitor check box. This removes the record from the Competitors screen without affecting other screens.

Verifying Coverage Team Members

If you are logged on as a Siebel administrator, you can search for companies that do not have any coverage team members.

Managers can add or delete the members of a company's coverage team if they are the existing primary team member, or the primary team member is one of their direct reports. If you are logged in as an administrator, you can change the primary team designate for any company in the Company Administration view. (Navigate to the Companies > Companies Administration view.)

NOTE: In Siebel Financial Services, the terms sales team and account team are equivalent to coverage team.

The procedures that follow involve making selections in the Account Team field. If the Account Team field does not appear in your installation, you may need to reveal it using the Columns Displayed dialog box.

NOTE: Usually, Assignment Manager resolves problems with coverage teams and owner assignment automatically. For more information on Assignment Manager, see *Siebel Assignment Manager Administration Guide*.

To search for a company without any coverage team members

- 1 Navigate to Companies > Companies Administration view.
- 2 In the Companies list, define a New Query where the Name field is:
`count("Position") = 0`
- 3 Execute the query.
The query returns a list of all companies which do not have any coverage team members.

To add or delete members of the coverage team for a company

- 1 Navigate to Companies > Companies Administration view.
- 2 In the Companies list, select a company.
- 3 Click the select button in the Account Team field.
- 4 To add or delete coverage team members:
 - To add a member to the coverage team, select an employee in the Coverage Team dialog box, and click Add.
 - To delete an employee from the team, select the employee in the list and click Remove.

To change the primary coverage team member for a company

- 1 Navigate to Companies > Companies Administration view.
- 2 In the Companies list, select a company.
- 3 Click the select button in the Account Team field.
- 4 Select the Primary field for the new primary coverage team member and click OK.

Managing the Custom-Defined Relationship Types LOV

If you are logged in as the Siebel administrator, you can create and maintain a list of predefined custom-defined relationship types. A default list of values is provided with the application. These relationship types appear in the drop-down LOV for the Type field found on the Relationship Hierarchy views, in the Party Relationship applet.

To add a custom-defined relationship type

- 1 Navigate to Site Map > Administration - Data > List of Values.
- 2 In the List of Values list, create a New Query where Type equals PARTY_RELATIONSHIP_TYPE.
At least six records will be returned, showing the existing list of values for custom-defined relationship type.
- 3 In the List of Values list, add a record and complete the necessary fields.
Some fields are described in the following table.

Field	Comments
Active	Determines whether the value is displayed to the end user in the Relationship drop-down list.
Display Value	Value as displayed in the Relationship drop-down list.
Language Independent Code	Code used internally by the Siebel application.
Language Name	Language used for the list of values Display Value field.
Order	Numerical order in which a value is displayed within the Relationship drop-down list.
Parent LIC	Language-independent code of a parent list of values. It is used in hierarchical list of values.
Translate	When checked, indicates that the list of values is part of a multilingual list of values (MLOV).
Type	The type of list of values. For this procedure, select PARTY_RELATIONSHIP_TYPE.

NOTE: You cannot delete LOV table entries. Use the Active check box to deactivate an LOV entry and thereby remove it from the Relationship drop-down list.

Generating Company Hierarchies for Data Aggregation

Data aggregation is available by using the Roll-up views provided the administrator defines one or more hierarchies. The application administrator typically defines a default hierarchy by associating accounts with one another using the parent field on a company form, or the subaccount view for child accounts. Administrators can define Company hierarchies to display aggregated data—the activities, opportunities, contacts, and coverage teams—across organizational structures. For example, the top node of the hierarchy contains activities for the organization, the subsidiaries below the organization, the departments at the subsidiaries, and contacts working at any level of the tree. As the end users move up and down the tree, they see more or less data rolled up to the selected level.

By default, only companies which are part of a relationship hierarchy can display roll-up data. You can modify the application to display roll-up data for companies which are not part of a hierarchy.

To configure display of roll-up data for companies not in a hierarchy

- Using Siebel Tools, set the DynHierachry user property of the Dynamic Hierarchy Direct Relationship business component to LoadAllAccounts

For more information on setting user properties, see *Configuring Siebel eBusiness Applications*.

Siebel Global Accounts is the module that provides this aggregation functionality. For more on global accounts, see *Applications Administration Guide*.

The application administrator can define two types of hierarchies for data aggregation:

- Default hierarchy for all end users
- Specific hierarchies that are used only by certain end users

Default Company Hierarchies

The application administrator sets up a default company hierarchy once, during the initial application setup. The default hierarchy is available to all end users who are not tied to a specific hierarchy and who have been granted view access to the companies represented in the hierarchy. It is the administrator's responsibility to give end users access to Company views. For more information, see *Applications Administration Guide*.

When new companies are added, they are automatically added to the default hierarchy tree and the contacts, coverage teams, activities, and opportunities that are associated with the company are automatically displayed in the roll-up views.

In the preconfigured application, using the Generate Hierarchy button adds only parent account and child companies to the hierarchy. Any company that does not have a child or parent is not displayed in the roll-up views. In Siebel Tools, you can change the DynHierarchy LoadAllAccounts user property to alter this behavior.

The DynHierarchy LoadAllAccounts user property on the Dynamic Hierarchy Direct Relationship business component can be set to N or Y. When it is set to N, only parent and children appear in the a generated hierarchy. When DynHierarchy LoadAllAccounts user property is set to Y, all companies are added to the generated hierarchy. For more information on setting user properties, see *Using Siebel Tools*.

To generate a default company hierarchy

- 1 Navigate to Companies > Global Companies Administration view.

- 2 In the Company Hierarchies list, click Generate Hierarchy.

The parent-child account relationships that have been defined in your application are registered for participation in the roll-up views. This process may take some time, depending on the quantity of account records that are in your existing environment.

When the company hierarchy has been generated, a new record appears in the Company Hierarchies list. The Hierarchy Name field of the record contains the user Id of the administrator who generated the hierarchy and the time it was generated. If it is the only hierarchy record, the Default field is automatically checked. The companies that have been added for participation in the roll-up views appear in the Company Relationships list.

NOTE: If no accounts are visible in the Company Relationships list, click the query button, step off the query, and click Go to refresh the view.

- 3 Optional. Rename the company hierarchy and, if necessary, check the Default field.

NOTE: If end users are using the application when you generate a hierarchy, they must log off and log on again to see the default hierarchy in the roll-up views.

Dynamic Company Hierarchies

In some cases, users work with particular companies within a large corporation, but not with others. In these instances, some end users do not need to or should not see aggregated data across the entire corporation. An administrator can define a custom hierarchical structure across which data can be aggregated. This defined structure, called a *dynamic hierarchy*, can be as simple or complex as needed and offers users the ability to aggregate data across the companies they are interested in seeing.

To create a dynamic company hierarchy of selected companies

- 1 Navigate to Companies > Global Companies Administration view.
- 2 Create a new company hierarchy record.
- 3 Click the Add button in the Company Relationships list, select companies in the Add Company dialog box, and click OK.

All the accounts in the Company Relationship list belong to the new account hierarchy.

- 4 To define parent and child relationships, select a company in the Company Relationship list that has no parent, click the select button in the Parent Company field, and select a parent company in the Pick Parent Company dialog box.

NOTE: Only companies entered in the Company Relationships list (Step 3) are available for selection in the parent Company field.

- 5 Repeat Step 4 for all companies that have no parents.
- 6 To associate the dynamic hierarchy with an organization:
 - Navigate to Site Map > Administration - Group > Organizations.
 - Select the organization in the Organizations list.

- In the organization form, select the desired hierarchy in the Account Hierarchy field.

End users can only see the hierarchy with which their current position's primary organization is tied. It is the administrator's responsibility to associate end users with positions, positions with organizations, and organizations with hierarchies. For more information, see *Applications Administration Guide*.

End-User Procedures for Companies

The following end-user procedures are described in this section:

- "Adding Companies and Investors" on page 54
- "Updating Company Profiles" on page 55
- "Viewing Company Hierarchies in Roll-Up Views" on page 56
- "Creating Company Assessments" on page 57
- "Adding Company Applications" on page 58
- "Adding Company Service Requests" on page 58
- "Managing Company Coverage Teams" on page 59
- "Viewing Company Summaries" on page 60
- "Viewing Company Relationship Hierarchies" on page 60
- "Displaying Lists of Investor Transactions or Holdings" on page 61

Adding Companies and Investors

When end users identify a possible lead, the lead can be added as a company. Users can then begin to add and track information about the company.

To add a company or investor

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies form, click the show more button, add a record, and complete the necessary fields.
- 3 To specify a privacy level, in the Privacy Option field select one of the following:
 - **Opt-In.** Sharing of non-public personal information is allowed without restrictions.
 - **Opt-Out - Affiliates.** Sharing of non-public personal information with affiliates is not allowed.
 - **Opt-Out - Third Party.** Sharing of non-public personal information with third parties is not allowed.

- **Opt-Out - All Parties.** Sharing of non-public personal information with any affiliate or third party is not allowed.

United States law requires that financial institutions disclose their privacy policies regarding the sharing of non-public personal information with third parties and fair credit reporting that impacts the sharing of non-public personal information with affiliates. End users can specify a privacy level by making a selection from the Privacy Option field.

- 4 The Privacy Option field is for registering the privacy level requested by the company; it does not impact record visibility in any way. To identify the company as an investor, check the Investor box in the Company form.

Updating Company Profiles

A company's profile information should always be kept up to date. The information in a company's profile is used throughout Siebel Finance to make decisions about and manage company records. For example, in the Commercial Loans screen, a company's profile information automatically appears in the Borrower Detail view.

To update a company profile

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, drill down on the desired company.
- 3 Click the Client Profile view tab.
- 4 In the Client Profile form, select the link to one of the following profile areas to update:
 - Business
 - Financial
 - Investors
 - Management
 - Market Statistics
 - Transactions
- 5 In the Profile form, update the information as needed.

Viewing Company Hierarchies in Roll-Up Views

End users can review the company and its parent organization, subsidiaries, contacts, opportunities and relationships to other entities in the graphical relationship hierarchy tree control available in the roll-up views. By drilling down on hypertext links on the hierarchy tree, end users can navigate to related views.

NOTE: If the company has not been added to a hierarchy tied to the user's position's organization (either default hierarchy or dynamic hierarchy), the hierarchy tree is not visible to the end user. Instead they the following message: "The selected record is not included as part of your defined hierarchy. If you feel this is in error, please contact your system administrator." The administrator is responsible for associating positions with organizations and an organization with a hierarchy.

The Activities-Roll-up view shows all of the activities associated with the selected company and its children. End users can apply filters to the list to find specific activity records and save the filtered list.

NOTE: If a company is not associated with any other organizations through the relationship hierarchy, then the roll-up views will not contain any data. A company must have a parent organization or have children organizations in order to display roll-up data.

To view aggregated activities for a company

- 1 Navigate to the Companies screen > Companies List view.
- 2 Drill down on the desired company and click the Activities-Roll-up view tab.

The associated hierarchy appears on the right side of the screen. All activities associated with the company and all of its children appear in the Activities-Roll-up list.

In the Activities-Roll-up List, you can:

- Drill down on an activity type to navigate to the Activities > Attachments view.
- Drill down on a company name to navigate to the Companies > Contacts view.

NOTE: If you create an activity in the Activities screen and do not set the Company field, the activity will not appear in the Activities-Roll-up list.

To view the aggregated coverage team for a company

- 1 Navigate to the Companies screen > Companies List view.
- 2 Drill down on a company and click the Coverage Team-Roll-up view tab.

The associated hierarchy appears on the right side of the screen. All coverage team members associated with the company and all of its subsidiaries appear in the Coverage Team-Roll-up list.

In the Coverage Team-Roll-up list, you can:

- Drill down on a last name to navigate to the Employees screen.

- Drill down on an email address to open a blank email message addressed to the team member who has that address.

To view aggregated opportunities for a company

- 1 Navigate to the Companies screen > Companies List view.
- 2 Drill down on a company and click the Opportunities-Roll-up view tab.

The associated hierarchy appears on the right side of the screen. All opportunities associated with the company and all of its children appear in the Opportunities-Roll-up list.

In the Opportunities-Roll-up list, you can:

- Drill down on an opportunity name to navigate to the Opportunities screen.
- Drill down on an company name to navigate to the Companies > Contacts view.

To view an aggregated list of contacts for a company

- 1 Navigate to the Companies screen > My Companies view.
- 2 Select a company and click the Contact-Roll-up view tab.

The associated hierarchy appears on the right side of the screen. All contacts associated with the company and all of its children appear in the Contacts-Roll-up list.

In the Contacts-Roll-up list, you can:

- Drill down on a last name to navigate to the Contacts screen.
- Drill down on an company name to navigate to the Companies >Contacts view.
- Drill down on an email address to open a blank email message addressed to the contact who has that address.

Creating Company Assessments

An *assessment* is a set of attributes used to assess the business potential or credit worthiness of a company. Company assessments can be used to compare companies to each other or against a model, or to learn about companies and sales situations. End users complete the company assessment by selecting the appropriate values for the different attributes.

To perform a company assessment

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, drill down on the company for which the assessment is being performed.
- 3 Click the Assessments view tab.
- 4 In the Assessments list, add a record.

- 5 In the Template Name field, click the select button.
The Select Assessment Template dialog box appears.
- 6 In the dialog box, select the appropriate template and then click OK.
Attribute records are automatically generated in the Assessment Attributes list.
- 7 In the Assessment Attributes list, make a selection in the Value field for each attribute and then click OK.

NOTE: Administrators must create the assessment templates. See *Applications Administration Guide* for more information on how to create assessment templates.

Adding Company Applications

Applications are used for companies that want to apply for offered services or products. For example, a small business wants to apply for a business checking account. The end user handling the inquiry finds the company in the All Companies view, navigates to the Applications view, and creates an application record for this business checking account application.

To associate an application with a company

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, drill down on the company to associate with an application.
- 3 Click the Applications view tab.
- 4 In the Applications list, add a record and complete the necessary fields.

NOTE: To enter more detailed application information, drill down on the Application Name hyperlink.

Adding Company Service Requests

A service request is a request from a company for information or assistance with a problem related to purchased products or services. When a customer calls about an existing service request, end users can find the service request and give status information to the caller in several ways. They can:

- Review the service request information
- Create an activity to record the customer's call
- Update the service request with additional information from the customer
- Resolve the service request
- Assign the service request
- Transfer the caller to another service representative

If a call requires that an end user create a new service request, she can create one. Siebel Finance automatically assigns a unique service request (SR) number to track the new service request throughout the system.

To add a service request associated with a company

- 1 Navigate to the Companies screen > Companies List view.
- 2 From the Show drop-down list, select All Companies.
- 3 In the Companies list, drill down on the desired company.
- 4 Click the Service Requests view tab.
- 5 In the Service Requests list, add a record and complete the necessary fields.
The application automatically assigns a service request number (SR#).

Managing Company Coverage Teams

A coverage team is the group of employees that are assigned to manage the relationship with a given company. The coverage team for a company is defined as all users who have access to the company in the My Companies view.

NOTE: Similar coverage team functionality is also available for contacts. You can use the [Contact Coverage Team view \(Contacts > Coverage Team\)](#) to manage the contact coverage team.

End users can use the company coverage team functionality available in Siebel Finance to:

- Record and display employees covering a company within a single company record
- Specify and review the nature of the employee's relationship with each covered company, defined as the Coverage Role and Attributes list

To add a member to a coverage team

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, drill down on the desired company.
- 3 Click the Coverage Team view tab.
- 4 In the Coverage Team list, add a record.
- 5 In the Add Employees dialog box, select an employee and click OK.
- 6 If known, select the employee's coverage role using the drop-down list in the Coverage Role field.

NOTE: The Siebel administrator maintains the Coverage Role LOV in the List of Values screen under the Type field value type FINS_COVERAGE_ROLE_TYPE. To access the List of Values screen navigate to [Site Map > Administration - Data > List of Values](#).

- 7 If desired, use the Categories and Securities list to select values defining the coverage relationship between the employee and the company; you can select one or more attributes.

The application adds the employee to the coverage team with a defined relationship. The company will appear in the employee's My Companies view.

End users can create coverage team activities. For more information, see ["Viewing Company Coverage Team Activities" on page 97](#).

Viewing Company Summaries

The Company Summary view provides a comprehensive view of a company in an editable format. This view displays basic company information, financial accounts, call reports, logged alerts, and contacts associated with a company.

To view company summary information

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, drill down on the desired company.
- 3 Click the Summary view tab.

For more information on editing summary view information, see ["Configuring Summary Views" on page 27](#).

Viewing Company Relationship Hierarchies

End users use the Company Relationship Hierarchy to identify and capture key relationships for a company. This view features a graphical tree that provides a visual representation of a company's relationships. The tree shows the natural hierarchy of a company's parent-child relationships to entities such as companies, subsidiaries, divisions, contacts, and coverage relationships with employees as well as custom-defined relationships.

Custom-defined relationships are ad-hoc associations between the company and any contact, organization, household, or employee. End users can record custom-defined relationships between any two entities in the adjacent Party Relationships list.

NOTE: The Relationship Hierarchy view is also available on the Contacts, Employee (read only) and Households screens. For more information, see ["Viewing Contact Relationship Hierarchies" on page 81](#) and ["Using the Household Relationship Hierarchy" on page 66](#).

To establish a natural parent-subsidiary relationship between two companies

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, drill down on the company to be established as the subsidiary.
- 3 Click the More Info view tab.
- 4 In the Parent field, click the select button.
- 5 In the Pick Company dialog box, select the parent company and click OK.
- 6 Repeat [Step 2](#) through [Step 5](#) to set up companies, subsidiaries, branches, and departments as needed for your deployment.

- 7 Click the Relationship Hierarchy view tab.

The new parent-subsidary relationship is shown in the Relationship Hierarchy explorer in the lower-left corner of the screen.

NOTE: An alternative approach would be to select the parent companies and select the Sub-Accounts view to add children.

To create a custom-defined relationship

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, drill down on the company for which you want to create a custom-defined relationship.
- 3 Click the Relationship Hierarchy view tab.
- 4 In the Party Relationship list, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Relationship	<p>Categorizes the relationship between the company and another entity. Field has an LOV for custom-defined Relationship values. Predefined values include Reports To, Spouse, Child, Lawyer, Board Member, Primary Contact (Backup), Admin Assistant, Competitor, Referral, Service Provider, Investor, Wealth Management Rep, Related Subsidiary, Bank Attorney, Trustee Attorney, and Debtor Attorney.</p> <p>This LOV can be modified by the Siebel administrator. For more information, see “Managing the Custom-Defined Relationship Types LOV” on page 50.</p>
Start Date End Date	<p>If the custom-defined relationship falls between the Start and End Dates, it appears in the tree. If it falls outside the range, it does not appear to the user. The user can enter a start or end date, or both.</p>
Type	<p>Use this field to determine the type of entity with which you wish to establish a relationship. Defaults to Contact. Other values include Household, Organization, and Employee.</p>
Value	<p>The value in this field is based on the Type field. For example, if Type equals Contact, then clicking the select button in Value field displays the Select Contact dialog box.</p>

The newly defined relationship appears in the Relationship Hierarchy explorer.

Displaying Lists of Investor Transactions or Holdings

End users can view lists of transactions associated with an investor.

To display a list of transactions by investor

- 1** Navigate to the Companies screen > Companies List view.
- 2** In the Companies list, drill down on the investor for which to display transactions.
- 3** Click the Investor Profile view tab.
- 4** Scroll down to the All Transactions as Investor list to review the transaction history.

To display a list of holdings by investor

- 1** Navigate to the Companies screen > Companies List view.
- 2** In the Companies list, drill down on the investor for which to display holdings.
- 3** Click the External Holdings view tab.

End users can also enter holdings information in the External Holdings view.

6

Households

A *household* is a group of contacts generally sharing a common link or association. Households provide valuable segmentation information on the household as a whole, as well as a summary of information about the household member contacts. Users can use the Households screen for identifying and capturing demographic information about a household. They can also use the Households screen to review customer's financial accounts, products, and contact information associated with that household. This information allows them to assess customers' data.

CAUTION: This chapter assumes you have renamed Siebel Account objects to *Companies*. By default, Siebel Finance installs using the term *Accounts*. For more information on renaming Siebel Account objects, see the *Upgrade Guide* for your operating system.

Grouping all of a customer's accounts by household allows a service provider to identify a client's real value to the organization and seek opportunities to cross-sell and up-sell additional products and services to them, such as homeowners insurance and loans for children's education. In addition, the ability to view all of a customer's financial accounts and related portfolio information by household allows an organization to view the household's overall financial position.

By following the procedures described in this chapter, users can enter, manage, and review information about household members (contacts), accounts, policies, underwriting reports, claims, opportunities, activities, service requests, and relationship hierarchies.

NOTE: Many of the views are read-only, as they provide a summary of information about household contacts. The only editable views are *Contacts* and *Relationship Hierarchy*.

The Households screen and associated views that appear in Siebel Finance share much of the functionality found in Siebel eBusiness Applications. This chapter focuses on the household functionality that is unique to Siebel Finance. For more information on basic household functionality, see *Applications Administration Guide*.

Scenario for Households in Siebel Financial Services

The following business scenario contains sample tasks performed by a sales representative; it covers insurance, healthcare, securities, and banking businesses. Your company may follow a different workflow according to its business requirements.

Household information supports sales and service decisions for segmentation and cross-selling. It also provides background information for the finance and insurance industries about a household and all of its contacts.

A sales representative uses the Household screen for identifying and capturing demographic and relationship information about the household and for reviewing accounts and products associated with that household. From the Households screen, the sales representative creates a new household for a new bank customer. He then adds contacts to the household.

Some weeks later, the sales representative wants to review household information. He navigates to the My Households view and then selects the Summary view tab to review lists of contacts and service requests associated with that household. Next, using the Relationship Hierarchy view, the sales representative reviews the various parties related to the household.

NOTE: In the wealth management industry, a relationship manager, retail broker, or wealth manager has access to view the household's aggregated holdings within their financial accounts, the performance on these accounts, cash flows expected for the household for a specified period, and the household's current versus model portfolio allocations by sector and by asset class. For more information, see ["Viewing and Evaluating Household Portfolios" on page 67](#).

In this scenario, end users are the sales representatives or relationship managers who manage household information in the field. They enter and review information to:

- Add a household
- Add a contact to a household
- View household summary information
- View household relationships
- View household financial account, performance, cash flow, and portfolio allocation details

End-User Procedures for Households

The following end-user procedures are described in this section:

- ["Adding Households" on page 64](#)
- ["Setting the Household Privacy Option" on page 64](#)
- ["Associating Contacts with Households" on page 65](#)
- ["Viewing Household Summaries" on page 66](#)
- ["Using the Household Relationship Hierarchy" on page 66](#)
- ["Viewing and Evaluating Household Portfolios" on page 67](#)

Adding Households

End users can collect and manage information about a customer's household. Households are added from the Households screen. For detailed information on how to add a household see *Applications Administration Guide*.

Setting the Household Privacy Option

United States law requires that financial institutions disclose their privacy policies regarding the sharing of non-public personal information with third parties and fair credit reporting that impacts the sharing of non-public personal information with affiliates. End users can specify a privacy level by making a selection from the Privacy Option field.

The Privacy Option field is for registering the privacy level requested by the household; it does not impact record visibility in any way.

To set the privacy option for a household

- 1 Navigate to the Households screen > List view.
- 2 To specify a privacy level, scroll down to the Privacy Option field and select one of the following:
 - **Opt-In.** Sharing of non-public personal information is allowed without restrictions.
 - **Opt-Out - Affiliates.** Sharing of non-public personal information with affiliates is not allowed.
 - **Opt-Out - Third Party.** Sharing of non-public personal information with third parties is not allowed.
 - **Opt-Out - All Parties.** Sharing of non-public personal information with any affiliate or third party is not allowed.

Associating Contacts with Households

Contacts are persons associated with a household. End users can specify one person in the household as the head of household and then identify the others as spouse, child, or dependent parent.

To add a contact to a household

- 1 Navigate to the Households screen > List view.
- 2 In the Households list, drill down on the household to which the contacts will be added.
- 3 Click the Contacts view tab.
- 4 In the Contacts list, click New to add a record.
- 5 In the Add Contacts dialog box, do one of the following:
 - Select an existing contact and click OK.
 - Perform a query to choose an existing contact.
 - Select New to add a new contact.

The contact is associated with the household.

NOTE: In the Households screen, a contact's address is his or her residential or personal address. In the Contact's screen, a contact's address is his or her work address. Household addresses can only be selected from among residential addresses.

Viewing Household Summaries

The Household Summary view provides a comprehensive view of the household's relationship with an end user's organization in an editable format. This view displays basic information about the household, contacts, financial accounts, and past or pending service requests.

To view household summary information

- 1 Navigate to the Households screen > List view.
- 2 In the Households list, drill down on the household for which you wish to view summary information.
- 3 Click the Summary view tab.

Using the Household Relationship Hierarchy

End users use the Household Relationship Hierarchy view to identify and capture key relationships for a household. This view features a graphical tree that provides a visual representation of a household's relationships, including its natural relationships to the household contacts as well as custom-defined, ad-hoc relationships.

Users can create custom-defined relationships between a household and any contact or organization. End users can record custom-defined relationships between any two entities in the adjacent Party Relationships list.

NOTE: The Relationship Hierarchy view is also available on the Contacts and Companies screens. For more information, see ["Viewing Contact Relationship Hierarchies" on page 81](#) and ["Viewing Company Relationship Hierarchies" on page 60](#).

To create a custom-defined relationship

- 1 Navigate to the Households screen > List view.
- 2 In the Households list, drill down on the household for which you wish to define relationships.
- 3 Click the Relationship Hierarchy view tab.

- 4 In the Party Relationship list, add a record and complete the necessary fields. Some fields are described in the following table.

Field	Comments
Relationship	Categorizes the relationship between the household and the other entity. Field has an LOV for custom-defined Relationship values. Pre-defined values include Reports To, Spouse, Child, Lawyer, Board Member, Primary Contact (Backup), Admin Assistant, Competitor, Referral, Service Provider, Investor, Wealth Management Rep, Related Subsidiary, Bank Attorney, Trustee Attorney, and Debtor Attorney. This LOV can be modified by the Siebel administrator. For more information, see "Configuring Lists of Values" on page 26 .
Type	Use this field to determine the type of entity with which you wish to establish a relationship. Defaults to Contact. Other values include Household, Organization, and Employee.
Value	The value in this field is based on the Type field. For example, if Type equals Contact, then clicking the select button in Value field displays the Select Contact dialog box.

The newly defined relationship appears in the Relationship Hierarchy explorer.

Viewing and Evaluating Household Portfolios

End users can use the Financial Accounts view tab to view a household's portfolio information from a number of different perspectives:

- **Financial Accounts list.** Displays financial accounts associated with contacts in the selected household. For more information, see ["To select a financial account associated with a household" on page 68](#).
- **Aggregated Holdings List.** Displays holdings within the selected accounts by asset class, such as securities, mutual funds, or bonds. For more information, see ["To view aggregated holdings for a financial account" on page 68](#).
- **Class Allocation List.** Displays a comparison of the selected account holdings against a portfolio model. For more information, see ["To compare account holdings against a portfolio model" on page 68](#).
- **Sector Allocation List.** Displays the selected account holdings by sector, enabling the user to view the degree of portfolio diversification. For more information, see ["To view the selected account holdings by sector" on page 68](#).
- **Cash Flow List.** Displays future cash flows for the selected financial accounts. This view allows users to estimate the amount of cash that may be available for future investments. For more information, see ["To view expected future cash flows for selected accounts" on page 69](#).

- **Performance List.** Displays how the selected accounts have performed over time. For more information, see ["To view selected accounts' past performance" on page 69.](#)

NOTE: These views are virtual business components and need to be configured before they can be used. For more information, see ["Setting Up Household Financial Accounts Virtual Business Components" on page 106.](#)

To select a financial account associated with a household

- 1 Navigate to the Households screen > List view.
- 2 In the Households list, drill down on the desired household.
- 3 Click the Financial Accounts view tab.
- 4 In the Financial Accounts list, select the Aggregation Select field for the accounts you want to select.

NOTE: You can also click **Select All** to select all accounts, or click **Select None** to clear all accounts.

To view aggregated holdings for a financial account

- 1 Select the financial accounts by checking the Aggregation Select field of the desired accounts. (See ["To select a financial account associated with a household" on page 68.](#))
- 2 Click the Aggregated Holdings subview tab.
- 3 In the Financial Accounts list, click **Generate Holdings**.

The Aggregated Holdings list appears, displaying all holdings in the selected account by asset class, such as securities, mutual funds, or bonds. Selecting a specific asset class in the Aggregated Holdings displays the individual positions in the Holdings subview.

To compare account holdings against a portfolio model

- 1 Select the financial accounts by checking the Aggregation Select field of the desired accounts. (See ["To select a financial account associated with a household" on page 68.](#))
- 2 Click the Class Allocation subview tab.
- 3 In the Financial Accounts list, select a portfolio model from the drop-down list and click **Go**.

The Class Allocation list and model and actual holdings charts appear.

To view the selected account holdings by sector

- 1 Select the financial accounts by checking the Aggregation Select field of the desired accounts. (See ["To select a financial account associated with a household" on page 68.](#))
- 2 Click the Sector Allocation subview tab.

- 3 In the Financial Accounts list, select a sector from the drop-down list and click Go.

The Sector Allocation list appears, displaying the account holdings by sector, enabling the user to view the degree of portfolio diversification versus the selected model portfolio.

To view expected future cash flows for selected accounts

- 1 Select the financial accounts by checking the Aggregation Select field of the desired accounts. (See ["To select a financial account associated with a household" on page 68.](#))
- 2 Click the Cash Flow subview tab.
- 3 In the Financial Accounts list, click Generate Cash Flow.
- 4 In the period filter, select the period for which you want to view cash flows and click Go.

The Cash Flow subview displays an estimate of the amount of cash that may be available for future investments.

NOTE: In order to work, the preceding procedure requires preconfiguration. For more information, see ["Setting Up Household Financial Accounts Virtual Business Components" on page 106.](#)

To view selected accounts' past performance

- 1 Select the financial accounts by checking the Aggregation Select field of the desired accounts. (See ["To select a financial account associated with a household" on page 68.](#))
- 2 Click the Performance subview tab.
- 3 In the Financial Accounts list, click Generate Performance.
- 4 In the period filter, select the period for which you wish to view an account's performance and click Go.

The Cash Flow list appears, displaying how the account performed over time.

NOTE: In order to work, the preceding procedure requires preconfiguration. For more information, see ["Setting Up Household Financial Accounts Virtual Business Components" on page 106.](#)

7

Contacts

Contacts are entities or individuals with whom the company does business with or with whom it expects to do business with in the future. Contacts can be employees of other companies, independent consultants, vendors, or personal acquaintances. Contacts can belong to only one company, but they can be part of many opportunities, including opportunities that do not involve their companies. Within Siebel Finance, contacts are presented in a single view of the customer and your relationship with the customer.

CAUTION: This chapter assumes you have renamed Siebel Account objects to *Companies*. By default, Siebel Finance installs using the term *Accounts*. For more information on renaming Siebel Account objects, see the *Upgrade Guide* for your operating system.

Using the procedures given in this chapter end users can enter and track information about contacts, including products bought, details of signed agreements or contracts, and products previously recommended to the customer. Users can also document marketing campaigns and details of each customer's response. Users can maintain a complete history of service requests and product applications that the customer has made in the past. They can analyze a customer's financial health as well as a customer's needs.

The Contacts screen provides an alternative view of data that is available in other screens. Many tasks that can be performed in the Contacts views can also be performed in other screens. For example, users can create activities for a contact either in the Contact Activities view, or they can go to the My Activities view to enter a new activity, and then associate it with the contact.

For more information on basic contact functionality and administration, see *Applications Administration Guide*.

You can save time and reduce keystrokes by using a workflow to automate steps that are repeatedly performed by end users. For more information, see *Siebel Business Process Designer Administration Guide*.

Scenario for Adding a New Contact

These scenarios feature sample tasks performed by a sales representative and a private banker in the securities or banking industries. Your company may follow a different workflow according to its business requirements.

Sales Representative Adds a New Contact

At a conference a new account representative meets a potential customer. The potential customer gives the new account representative his business card and informs her that he had recently moved to the area and is still looking for a financial institution to serve his small business and personal banking needs.

The new account representative returns to her office and enters her new acquaintance into the Siebel Finance as a new contact. She can also enter his company information and associate the company with the contact. In the Relationship Hierarchy view, she can enter the relationships for this contact, including all companies he is associated with, the contact's business partners, lawyer, his family members, and other influential relationships. As the creator of this new contact record, she is automatically added to the coverage team as the primary representative for the customer. If necessary, she can also add the small business manager and other product experts to the coverage team so they can see this new contact in their My Contacts view.

As the customer is looking for personal and business services, the account representative can create separate opportunity records in Siebel Finance associated with the contact. In the opportunity records, she records the products and services the customer is interested in as well as other follow-up activities to serve the customer's financial needs.

In the scenario, end users are the new account representatives who manage company information in the field. They enter information to:

- Add a new contact and associate him/her with companies
- Use the Relationship view to enter all the contact's influential relationships
- Add other account representatives to the coverage team
- Create new opportunities associated with the contact
- Create follow-up activities and assign them to the right representatives to close the potential opportunities

Private Banker Prepares for Sales Call

A private banker is preparing for a sales call. He reviews his client's information by answering the following questions:

- What company does this person work for?
- What is the value of this customer's relationship?
- What is this person's financial profile?
- What financial accounts and products does the person already own? What might the person need in addition?
- What types of service issues has the person had?

All of these questions can be answered by accessing the Contacts screen.

In the scenario, end users are private bankers in the banking industry. They enter information to:

- Add a new contact
- Create a customer value assessment
- View contact summary information
- View the results of a customer value assessment

Administering Contacts

The following administrator procedures are described in this section:

- [To update or review a contact's holdings](#)
- [To update or review a contact's Investment Profile](#)

Administrators can perform various procedures to review, add, and modify contact information through the Contacts Administration views in the Finance Administration screen.

The Investment Profile view allows administrators to create contacts' profiles, such as overall objectives, financial goals, annual income, liquid net worth, experience, risk assessment, knowledge levels, and income tax bracket.

To update or review a contact's holdings

- 1 Navigate to Contacts > Contacts List.
- 2 In the Contacts list, select a contact and drill down on the contact's name.
- 3 Update the contact's information as needed.
- 4 Click the Holdings view tab.

The Financial Accounts and Holdings lists appear; the Financial Accounts list includes all of the Contact's financial accounts at your organization.

- 5 Select a financial account.
- 6 To update a contact's holdings in the selected account, select the holdings record in the Holdings list, and update the information as needed.

To update or review a contact's Investment Profile

- 1 Navigate to Site Map > Administration - Finance > Contacts.
- 2 In the Contacts form, query to retrieve the desired contact.
- 3 Update the contact's information as needed.
- 4 Click the Investment Profile view tab.
- 5 Update the contact's investment profile as needed.

Using Contacts

The following end-user procedures are described in this section:

- ["Managing Contact Information" on page 74](#)
- ["Creating Customer Assessments" on page 80](#)
- ["Setting the Customer Value Icon" on page 80](#)
- ["Viewing a Contact Summary" on page 81](#)

- [“Viewing Contact Relationship Hierarchies” on page 81](#)
- [“Managing Mortgages” on page 82](#)
- [“Creating Financial Plans” on page 85](#)

Managing Contact Information

Contacts are entities or individuals with whom the company currently does business with or with whom it expects to do business with in the future. End users manage contact information by:

- Adding new contacts. See [“Adding Contacts” on page 74](#).
- Creating contact categories and notes. See [“Creating Categories for Contact Information” on page 75](#) and [“Creating Notes About Contacts” on page 76](#).
- Adding a contact to a literature distribution list. See [“Adding Contacts to a Literature Distribution” on page 77](#).
- Setting a contact’s access level. See [“Contact Access Level” on page 77](#).
- Setting a contact’s securities interest. See [“Entering Securities Interest for Contacts” on page 77](#).
- Viewing a contact’s transaction history. See [“Viewing a Contact’s Transaction History”](#).
- Managing contact referral information. See [“Managing Contact Referral Information” on page 78](#).
- Viewing contact profitability. See [“Reviewing Contact Profitability” on page 79](#).

Adding Contacts

When end users meet someone in the course of business, they add a contact record for that individual to track pertinent personal information and possible potential future business.

NOTE: The Personal Contacts List is different from the Contacts Lists because it is designed for contacts not associated with a company. Therefore, in the Personal Contacts List, adding a company to a record does not also add it to the My Contacts view, All Contacts view, and so on. End users must add business contacts in one of the Contacts List views proper. They must create, review, and manage activities for their personal contacts only in the Activities view of the Personal Contacts List view, not in the other Contacts views.

To add a contact

- 1 Navigate to Contacts > Contacts List.
- 2 In the Contacts form, click the show more button, add a record, and complete the necessary fields.
- 3 To specify a privacy level, scroll down to the Privacy Option field and select one of the following:
 - **Opt-In.** Sharing of non-public personal information is allowed without restrictions.
 - **Opt-Out - Affiliates.** Sharing of non-public personal information with affiliates is not allowed.

- **Opt-Out - Third Party.** Sharing of non-public personal information with third parties is not allowed.
- **Opt-Out - All Parties.** Sharing of non-public personal information with any affiliate or third party is not allowed.

United States law requires that financial institutions disclose their privacy policies regarding the sharing of non-public personal information with third parties and fair credit reporting that impacts the sharing of non-public personal information with affiliates. End users can specify a privacy level by making a selection from the Privacy Option field.

The Privacy Option field is for registering the privacy level requested by the contact; it does not impact record visibility in any way.

To associate a contact with a company

- 1 Navigate to Contacts > Contacts List.
- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the More Info view tab.
- 4 In the Company field, click the select button.
- 5 In the Companies dialog box, select a record from the list of available companies, click Add, and then click OK.

The application automatically associates the company with the contact and populates the address with the default company address information.

NOTE: You can also create a new company record by clicking New, and then associate that company with the contact.

- 6 To enter an alternate address, click the select button in the Address Line field.
- 7 In the Contact Addresses dialog box do one of the following:
 - Select an existing address record and click Add.
 - Click New, enter the new address, and then click Save.
- 8 To specify an address as the contact's primary address, click the Primary field and click OK.

NOTE: The primary address in the Contact Addresses dialog box appears in the address fields on the More Info form.

- 9 In the Time Zone field, select the contact's time zone.

Creating Categories for Contact Information

If the default Contacts list and More Info form do not contain fields to track the type of information that end users need to track, they can add additional categories. A manager may have set up a list of values from which they can select.

To add a category to a contact

- 1 Navigate to Site Map > Contacts > Contacts List > Categories view.
- 2 In the Contacts form, query for the desired contact.
- 3 In the Categories list, add a record.
- 4 In the Category field, click the select button.
- 5 The Pick Category dialog box appears.
- 6 Select a category from the list of values or create a new category.
- 7 Complete the necessary fields.
- 8 Create additional categories by repeating [Step 3](#) through [Step 7](#).

Creating Notes About Contacts

As end users work with contacts, they learn things they may want to remember. Often these tidbits of information are best stored as notes. Users can create notes that everyone with access to the contact record can see, or they can create notes that only they can see.

To create a note regarding a contact

- 1 Navigate to Contacts > Contacts List.
- 2 In the Contacts list, drill down on the desired contact.

NOTE: If the contact does not exist, add it. For more information, see ["Adding Contacts" on page 74](#).
- 3 Click the Notes view tab.
- 4 From the view bar, select one of the following:
 - Public Notes—Notes that others can see.
 - Private Notes—Notes that only their creators can see.
- 5 In the Notes list, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Created	Automatically populates with a date and timestamp.
Type	Default value is Note. Select alternate value to categorize the type of note.
Description	Text field for the content of the note.

- 6 Click Check Spelling to check the spelling in your note.

Adding Contacts to a Literature Distribution

The Literature Distribution view displays all the literature that has been distributed to a contact. Typically, a literature distribution record is created each time literature is emailed to a contact. For more information about the activity of distributing literature using an email message, see [“Providing Literature Fulfillment by Email”](#) in [Chapter 9, “Activities.”](#)

To distribute literature to a contact

- 1 Navigate to Contacts > Contacts List.
- 2 In the Contacts list, drill down on the desired contact.
NOTE: If the contact does not exist, add it. For more information, see [“Adding Contacts”](#) on [page 74](#).
- 3 Click the Literature Distribution view tab.
- 4 In the Literature Distribution list, add a record and complete the necessary fields.
- 5 In the Distribution Channel field, select a distribution channel to indicate how to distribute the literature.
- 6 Scroll down to the Literature list, add a record, and complete the necessary fields.
- 7 In the Literature list, continue adding the pieces of literature to be distributed.

Contact Access Level

Siebel Finance uses access levels to grant customers access to different levels of service, research, events, and literature. Setting a contact’s access to a specific level allows that contact access and visibility to literature items that have the same or lesser access level. For more information about setting a contact’s access level, see [“Setting Access Levels”](#) on [page 193](#).

Entering Securities Interest for Contacts

End users can record a contact’s securities interest. For more information about entering a contact’s securities interest, see [“Entering Interests and Holdings Information”](#) on [page 177](#).

Viewing a Contact’s Transaction History

The Contacts Transaction History view allows end users to display a contact’s transaction history by financial account for all the accounts held by the contact at your organization.

To view a contact’s transaction history

- 1 Navigate to Contacts > Contacts List.

- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the Transaction History view tab.

The Transactions view appears, displaying all the financial accounts associated with the contact, and the investment transactions that took place in each account.

Managing Contact Referral Information

The Referrals view tab allows end users to enter referral information associated with contacts. Referrals are potential opportunities.

In the Referrals tab view, end users can record both referrals they give to their contacts as well as referrals received from a contact.

To enter a referral received from a contact

- 1 Navigate to Contacts > Contacts List.
- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the Referrals view tab.
- 4 From the drop-down list, select Referral From This Contact.

NOTE: To view all referrals from the contact, select Referrals From This Contact in the drop-down list.

- 5 In the form, add a record and complete the necessary fields, some of which are described in the following table.

Field	Comments
Company	Select an existing company or create a new one. The company selected represents the potential opportunity for your organization.
Last Name	<p>Select a contact to associate with the referral company as selected in the Company field; if you entered a Company, the list of Contacts is restricted to those associated with the selected company.</p> <p>To create a new contact for a referral:</p> <ol style="list-style-type: none"> a On the Contacts screen, create contacts for the company. For more information, see "To add a contact" on page 74. b Associate those contacts with the new company. For more information, see "To associate a contact with a company" on page 75. c On Referrals view tab, select the Contact from the Pick Contact dialog box associated with this field.
Referred By	Select the employee who made the referral.

To create a referral to a contact

- 1 Navigate to Contacts > Contacts List.
- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the Referrals view tab.
- 4 Scroll down to Referrals to This Contact list and from the drop-down list, select Referrals To This Contact.
- 5 In the list, add a record and complete the necessary fields, some fields are described in the following table.

Field	Comments
Disposition	The status of the referral.
Company	Select an existing company or create a new one. The company selected represents the potential opportunity for your service provider.
Last Name	Select a contact to associate with the referral company as selected in the Company field; if you entered a Company, the list of Contacts is restricted to those associated with the selected company. To create a new contact for a referral: <ol style="list-style-type: none"> a On the Contacts screen, create contacts for the company. For more information, see "To add a contact" on page 74. b Associate those contacts with the new company. For more information, see "To associate a contact with a company" on page 75. c On Referrals view tab, select the Contact from the Pick Contact dialog box associated with this field.
Referred By	Select the employee from your organization who made the referral.

Reviewing Contact Profitability

End users can use the Profitability view to review customer profitability calculations. These calculations help financial institutions adjust their sales, pricing, service, and marketing activities appropriately. This information also helps institutions cross-sell to their customers.

NOTE: In Siebel Finance, end users can access the Profitability view from the Contacts, Households, and Companies screens.

To review a contact's profitability

- 1 Navigate to Contacts > Contacts List.
- 2 In the Contacts list, drill down on the desired contact.

- 3 Click the Profitability view tab.

Creating Customer Assessments

The Contacts Assessments view can help end users qualify contacts. Contact assessments are created in the Contacts Assessments view.

NOTE: A similar assessment functionality is available for companies. For more information, see ["Creating Company Assessments" on page 57](#).

A customer assessment evaluates a contact based on defined criteria. Each assessment template has a group of assessment attributes that make up the different measurement points of the assessment. A Siebel administrator can create new templates and add or modify assessment attributes. For more information on assessment templates and how to define and manage them, see *Applications Administration Guide*.

To create a customer assessment

- 1 Navigate to Contacts > Contacts List.
- 2 In the Contacts list, drill down on the contact for whom the assessment will be added.
- 3 Click the Assessments view tab.
- 4 In the Assessments list, add a record.
- 5 In the Template Name field, click the select button.
- 6 In the Select Assessment Template dialog box, select the desired template and click OK.
Assessment attributes, as defined for the template, are automatically created in the Assessment Attributes list.
- 7 In the Assessment Attributes list, where possible, select a value for each attribute by clicking the select button in the Value field.

Setting the Customer Value Icon

In addition to the customer value assessment tool described in ["Creating Customer Assessments" on page 80](#), there is an alternative customer value measurement device in Siebel Finance.

The customer value icon is a series of five stars visible on the contact form. The number of stars activated indicates the perceived value of the contact.

To adjust the customer value stars

- From the Contacts > More Info view, adjust the value in the Tier field.

Viewing a Contact Summary

The Contact Summary view provides a comprehensive view of a contact's relationship with an end user's organization in an editable format. This view displays the customer's contact information, financial accounts, applications, alerts, campaigns targeted at the customer, and service requests and opportunities associated with the customer.

The Customer Value stars on the Contact form indicates the customer's value to the organization. For more information, see ["Setting the Customer Value Icon" on page 80](#).

To view contact summary information

- 1 Navigate to Contacts > Contacts List.
- 2 In the Contacts list, drill down on a contact.
- 3 Click the Summary view tab.

For more information on editing summary view information, see ["Configuring Summary Views" on page 27](#).

Viewing Contact Relationship Hierarchies

A contact's relationships are those of influence. End users may have a contact who relies heavily on the opinions of others when making purchasing or other decisions. If so, they may want to keep track of the relationships between a contact having purchasing authority and those who might influence his purchasing decisions.

End users use the Contacts Relationship Hierarchy view to identify and capture key relationships for a contact. This view features a graphical tree that provides a visual representation of a contact's relationships. The tree displays both the natural hierarchy of a contact's parent-child relationships to entities such as companies and households, as well as custom-defined relationships.

Custom-defined relationships are ad-hoc associations between the contact and any other contact, organization, or household. End users can record custom-defined relationships between any two entities in the adjacent Party Relationships list.

NOTE: The Relationship Hierarchy view is also available on the Companies and Households screens. For more information, see ["Viewing Company Relationship Hierarchies" on page 60](#) and ["Using the Household Relationship Hierarchy" on page 66](#).

To view a contact's relationship hierarchy

- 1 Navigate to Contacts > Contacts List.
- 2 In the Contacts list, drill down on the contact for whom you want to view a relationship hierarchy.
- 3 Click the Relationship Hierarchy view tab.

The Contacts Relationship Hierarchy view appears.

To define a relationship between contacts

- 1 Navigate to Contacts > Contacts List.
- 2 In the Contacts list, drill down on the contact for whom you want to describe relationships; if the contact does not exist, add it.

For more information on adding contacts, see ["Adding Contacts" on page 74](#).

- 3 Click the Relationship Hierarchy view tab.
- 4 In the Party Relationship list, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Relationship	<p>Categorizes the relationship between the contacts. The field has an LOV for Custom Defined Relationship values. Predefined values include Reports To, Spouse, Child, Lawyer, Board Member, Primary Contact (Backup), Admin Assistant, Competitor, Referral, Service Provider, Investor, Wealth Management Rep, Related Subsidiary, Bank Attorney, Trustee Attorney, and Debtor Attorney.</p> <p>This LOV can be modified by the Siebel administrator. For more information, see "Configuring Lists of Values" on page 26.</p>
Type	<p>Defaults to Contact. Other values include Household, Organization, and Employee.</p>
Value	<p>Identifies the other member of the relationship. The values are constrained by the Type field selection. For example, if Type equals Contact, then clicking the select button displays the Select Contact dialog box.</p>

The newly defined relationship is expressed in the Relationship Hierarchy explorer.

Managing Mortgages

Using the Contacts screen, end users can perform the following mortgage-related tasks:

- Perform a mortgage needs analysis. For more information, see ["Performing Mortgage Needs Analyses" on page 83](#).
- Make a mortgage recommendation. For more information, see ["Making Mortgage Product Recommendations" on page 83](#).
- Perform a mortgage prequalification. For more information, see ["Performing Mortgage Prequalifications" on page 84](#).
- Use the mortgage calculator. For more information, see ["Using the Mortgage Calculator" on page 84](#).

Performing Mortgage Needs Analyses

End users can use the Needs Analysis Mortgage view to perform a mortgage needs analysis for a contact.

To perform a general needs analysis for a contact

- 1 Navigate to the Contacts screen and click the Contacts List link.
- 2 In the Contacts list, drill down on the contact.
NOTE: If the contact does not exist, add it. For more information about adding contacts, see [“Adding Contacts” on page 74](#).
- 3 Click the Needs Analysis view tab.
- 4 Click the Mortgage link.
- 5 In the Needs Analysis form, add a record and complete the necessary fields.
- 6 If the values to enter are unknown:
 - a Click Script.
The script session appears.
 - b Complete the questions as prompted.

After the Needs Analysis form is completed, a recommendation can be generated.

NOTE: For more information about needs analysis and generating recommendations, see [Chapter 12, “Financial Needs Analyses.”](#)

Making Mortgage Product Recommendations

End users can use the Product Recommendation view to recommend mortgage products based on the loan term that a customer specifies. This view also displays the mortgage monthly payments, detail fees, interest rate, and points for each recommended mortgage product.

CAUTION: All Siebel Finance calculators described provide results intended for comparison purposes only; the accuracy of the results is not guaranteed. Any differences from the expected results can be due to rounding or the mathematical formula used. Modifying the formula used to perform calculations requires administrative responsibilities.

To recommend mortgage products for which a customer qualifies

- 1 Navigate to the Contacts screen and click the Contacts List link.
- 2 In the Contacts list, drill down on the desired contact.
NOTE: If the contact does not exist, add it. For more information about adding contacts, see [“Adding Contacts” on page 74](#).
- 3 Click the Product Recommendation view tab.

- 4 In the Product Recommendation form, select Calculator Detail from the drop-down list.
- 5 In the Calculator Detail form, add a record and complete the necessary fields.
The monthly payment is automatically calculated for the request loan terms.
- 6 Click Recommend.
All the mortgage products that have the same loan term as that set in the Calculator form appear in the Recommendations list.
- 7 In the Recommendations list, select a mortgage product.
The Rate/Points list displays the loan rate and points associated with the product while the Fees list displays the fees associated with the product.

Performing Mortgage Prequalifications

End users can use the Mortgage Pre-Qualification view to prequalify mortgage prospects before starting the application process.

To perform a mortgage prequalification

- 1 Navigate to Contacts > Contacts List view.
- 2 In the Contacts list, drill down on the desired contact.
NOTE: If the contact does not exist, add it. For more information about adding contacts, see ["Adding Contacts" on page 74](#).
- 3 Click the Mortgage Pre-Qualification view tab.
- 4 In the Mortgage Pre-Qualification Detail form, add a record and complete the necessary fields.
Based on the values in the Prequalification Attributes fields, the Pre-Qualification Output, such as purchase price, loan amount, and closing cost, is automatically calculated.
- 5 To see the calculation results, step off or save the record.

Using the Mortgage Calculator

Loan officers, loan originators, and other financial representatives can use the Siebel Finance Mortgage Calculator to calculate and compare the following amounts for customers:

- Early Payoff, which calculates the new monthly payment amounts that are required to pay off a loan in a specified amount of time prior to the original mature date
- Loan Amount, which calculates the amount of money a customer can borrow, given a loan's monthly payment, interest rate, loan term, and down payment
- Loan Comparison, which compares different types of mortgage loans (ARM vs. Fixed Rate) from which the customer can choose one

- Monthly Payment, which calculates a customer's monthly payment, given the loan amount, interest rate, loan term, property tax, and insurance payment
- Refinance Breakeven, which calculates monthly savings and costs associated with refinancing an existing loan

CAUTION: All Siebel Finance calculators described in this guide provide results intended for comparison purposes only; the accuracy of the results is not guaranteed. Differences from the expected results may be due to rounding or the mathematical formula used. Contact your Siebel administrator to modify the formula for your use.

To use the mortgage calculator

- 1 Navigate to the Contacts screen and click the Contacts List link.
- 2 In the Contacts list, drill down on the desired contact.

NOTE: If the contact does not exist, add it. For more information about adding contacts, see ["Adding Contacts" on page 74](#).
- 3 Click the Calculator view tab.
- 4 In the Calculator form, from the link list, select a calculation function:
 - Early Payoff
 - Loan Amount
 - Loan Comparison
 - Monthly Payment
 - Refinance Breakeven
- 5 In the Input section in the form, complete the necessary fields.
- 6 To see the calculation results, step off or save the record.

Creating Financial Plans

End users can use the Financial Planning view to ask customers questions about their specific financial goals and recommend a required monthly savings amount.

To create a financial plan

- 1 Navigate to the Contacts screen and click the Contacts List link.
- 2 In the Contacts list, drill down on the desired contact.

NOTE: If the contact does not exist, add it. For more information about adding contacts, see ["To add a contact" on page 74](#).
- 3 Click the Financial Planning view tab.
- 4 In the Financial Planning list, add a record and complete the necessary fields.

5 To follow a script of questions:

a Scroll down to the Details form and click Script.

b In the SmartScript list, drill down on the Name hyperlink.

NOTE: If the script does not exist, add it. For more information about scripts, see *Siebel SmartScript Administration Guide*.

c Complete the questions as prompted.

Based on the values entered in the Financial Planning list, the Savings (Future Value), Additional Funds Required, and Monthly Saving Required are automatically calculated.

8

Call Reports

Call reports are records of meetings and other conversations with clients, organizations, and individuals. Call reports are often required of employees for the following reasons:

- Call reports are a means for new relationship managers to learn about the client and its history with the organization.
- Call reports allow senior managers and product specialists associated with a certain client to keep up with the developments in the client relationship, even if they do not meet with the client on a regular basis.
- Call reports provide a record of important and informal agreements. In the event that a failed financing transaction results in legal proceedings, these reports are an important component of the legal process.

Using the procedures given in this chapter, you will be able to perform the administrator tasks of viewing a chart of call reports and how to manage call report templates. End users use the Call Reports screen to add a new call report, create a call report distribution list, designate a report as private, and email or print call reports.

Siebel Finance can provide notification of new call reports to designated individuals. For more information, see *Siebel Business Process Designer Administration Guide*.

Scenario for Call Reports

This scenario features sample tasks performed by an investment banker or commercial lending officer and their manager. The scenario outlined in this section is based on the business requirements of the banking industry. Your company may follow a different workflow according to its business requirements.

The investment banker spends approximately 35 percent to 50 percent of his time calling his companies and prospects. Most company meetings revolve around discussing the company's financial plans, understanding the company's business strategies, and presenting his bank's investment banking or lending experience and capabilities.

The investment banker uses Siebel Finance integrated calendar and activity management functionality to plan his day and maintain his to-do list. Today, he reviews his calendar and sees that he has a meeting scheduled with a client to discuss a \$10 million private investment that the company is considering. The investment banker will be making the call with a commercial lending officer, his counterpart from the bank's Commercial Lending group. He uses Siebel Finance to review his bank's relationship with the client. He uses the Company Summary view to review the client's financial and business profile. With an understanding of the client and its needs, he proceeds to the meeting.

After returning to the office following a successful meeting with the client, the investment banker loads Siebel Finance to complete his call report. His bank encourages its bankers to maintain call reports so other professionals working with the client understand recent events in the relationship. The investment banker navigates back to his calendar and marks the meeting as Done. He navigates to the Call Reports screen and enters a new call report to document the conversation. In the Report Detail view, he types a brief log of the meeting and adds the names of contacts and employees who participated.

Upon completing his report, the investment banker turns to the action items that resulted from the meeting. First, he needs to send an email to a fellow employee in the firm's Private Investments group to alert her about the deal. He uses the Email Report button on the Call Report form to accomplish this task.

Next, he remembers that he promised to include the client on the invitation list for the upcoming Charity Ball, so he adds an action item on the Call Reports Action Items view tab. He does this by clicking Add Action Items on the Call Report form. After he enters his action item, along with several others, he assigns them to members of his team for follow-up. Finally, he attaches several of the financial spreadsheets that his analyst prepared for the meeting so that the call report record is complete.

When the commercial lending officer arrives at the office the next day, he sees that there is a new call report from his joint meeting with the investment banker. Upon reviewing the report in his My Call Reports view, he adds several comments based on his knowledge of the company. He does this by clicking Add Notes on the Call Report form and adding his comments in the Notes list. Due to regulatory requirements, he also prints a copy of the report for the credit file by clicking the toolbar Reports icon.

The commercial lending officer's boss is also a member of the client team. When she arrives in the office the next day and loads Siebel Finance, she reviews the new call reports on the Call Reports screen, reading about the meeting details and notes. While she is on the Call Reports screen, the manager views the Call Report Charts view tab to see an analysis of her team's call volume and call types by employee and by customer to determine which clients are receiving the most service.

In this scenario, managers or Siebel administrators can view graphical representations of their call reports call, volume analysis of their own calls, their team's calls, or all call reports in Siebel Finance.

The end users are the investment bankers and commercial lending officers who create call reports to record their meetings and activities. They enter information to:

- Create new call reports
- Create call report distribution lists
- Create call report action items
- Attach related documents
- Specify a call report as private
- Review and add additional notes or comments
- Email or print call reports

Administrator Procedures for Call Reports

The following administrator procedures are described in this section:

- “Viewing Call Report Charts” on page 89
- “Activating the New Call Report Workflow” on page 90
- “Managing Call Report Templates” on page 91

Viewing Call Report Charts

As a manager or Siebel administrator, you can use the Call Report Charts view for call volume analysis of your own calls, your team’s calls, or all call reports in Siebel Finance. Using this view, you can analyze call volume and call types by employee and by customer to determine which clients are receiving the most service.

To view a chart for your call reports

- 1** Navigate to the Call Reports screen > Call Report List view.
- 2** From the visibility filter, select one of the following:
 - My Call Reports
 - My Team’s Call Reports
 - All Call Reports

The view selected returns an appropriate set of call report records to be analyzed.

- 3** Click the Charts link on the link bar.

The chart reflects only those call report records in the current query; that is, those records listed in the Call Reports list above the chart.

- From the lower Show drop-down list, select one of the following chart types:

Chart	Comments
Call Type Analysis	A breakdown of all selected call reports by Call Type.
Call Volume Analysis	Charts the number of calls per month, quarter, or year.
Call Volume by Employee	Charts the number of calls per month, quarter, or year, per employee.
Company Calling Analysis	Charts the number of calls per company.
Employee Calling Analysis	Charts the number of calls per company, by employee.

NOTE: Place your cursor over any chart segment to reveal additional information about that segment. Click a segment to drill down and refocus on just the call reports in that segment.

Activating the New Call Report Workflow

When activated, the New Call Report Workflow allows end users to create call report records automatically from the Contacts, Companies, Activities, and Opportunities screens. After the administrator activates the New Call Report Workflow, end users will see the New Call Report icon in the upper-left corner of those screens.

To activate the New Call Report Workflow

- Navigate to Site Map > Administration - Business Process > Workflow Deployment.
- In the Repository Workflow Processes list, query for the New Call Report Workflow record.
- Click the Activate button at the top of the list to activate this workflow process.

When activated, the definition is written to the run-time tables and appears in the Active Workflow Processes view.

To use the New Call Report feature once activated, end users can do one of the following:

- Click the icon
- Choose File > Auto > Call Report from the application-level menu
- Use the short cut key Alt+P.

NOTE: The New Call Report Workflow uses the Data Transfer Utility business service to transfer fields from one view to another. To modify the New Call Report Workflow so that it is available from more screens or to populate more fields when moving from one screen to the next, see ["Data Transfer Utilities \(DTU\)" on page 280](#). The current Data Map Objects used for the New Call Report in the Data Transfer Utility business service include: New Call Report - Account, New Call Report - Activity, New Call Report - Contact, and New Call Report - Opportunity.

Managing Call Report Templates

Call reports can be emailed. Emailed call reports, like other communications in Siebel applications, use templates to automatically format information in a message that can be sent as an email. When you email a call report, Siebel Finance uses the Call Report Email template to populate the email message.

For more information on configuring communication templates, see *Siebel Communications Server Administration Guide*.

To view or change the call report email template

- 1 Navigate to Site Map > Administration - Communications > All Templates view.
- 2 In the Templates list, query for the template named Call Report Email.
- 3 Review or change the call report in the Call Report Email form.

Siebel Finance provides additional syntax for customizing message templates, offering a way to embed multi-value fields within the body of the message templates. As an example of this syntax, examine the template text for the Call Report Email template.

End-User Procedures for Call Reports

The following end-user procedures are described in this section:

- [“Adding Call Reports” on page 91](#)
- [“Creating Call Report Distribution Lists” on page 92](#)
- [“Associating Action Items, Notes, and Attachments with Call Reports” on page 93](#)
- [“Setting the Call Report Privacy Flag” on page 93](#)
- [“Emailing and Printing Call Reports” on page 94](#)

Adding Call Reports

End users add call reports to create a record of meetings and other conversations with clients, organizations, and individuals.

To add a call report

- 1 Navigate to the Call Reports screen > Call Report List view.

- 2 In the Call Report form, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Associated Activity	The activity that is the subject of the call report; each call report can have only one associated activity. Selection of the associated activity is governed by the following constraints if those fields are populated: <ul style="list-style-type: none"> ■ Same Company ID ■ Same Primary Opportunity ID ■ Same Primary Contact ID
Contacts	Enter the participating contacts who were at the meeting. Designate a primary contact if desired, otherwise the first contact selected will be defaulted as the primary. Entries appear in the Report Detail view and on the printed Call Report.
Description	A summary description of the call report; enter a more detailed report in the Report Detail view.
Distribution	List additional employees from your organization who should receive the Call Report, but should not appear on the list of participants. The call report creator and all Employee Participants are automatically placed on the distribution list.
Employees	List employees from your organization who participated in the call. Entries appear in the Report Detail view and on the printed Call Report. The call report creator is automatically listed as a participant.
Opportunity	Associate an opportunity with the call report. You can view all call reports associated with any given opportunity from the Opportunities screen.
Type	The LOV type for this field is FINCORP_CALLRPT_CONTACT_TYPE.

NOTE: In the Call Reports list, the New flag is a calculated field and appears checked for five days after the creation of a call report. Your systems administrator can change this setting.

- 3 In the Call Reports list, drill down on the Description hyperlink to navigate to the Report Detail view.
- 4 In the Call Report form, enter detailed information about the call. Information you enter here appears in emailed or printed call reports.

Creating Call Report Distribution Lists

A distribution list is the list of contacts who need to know what is happening with a particular client. Usually, it is the coverage team for the client, plus any additional employee participants. The application automatically places the call report creator and each employee participant on the distribution list. For other employees, such as the coverage team, to receive a call report, end users must manually add them to the distribution list.

When end users use the call report Email Report feature, the distribution list controls who receives the report. The call report Print Report function and the Send Email function, both available through the application-level File menu (F9), are not affected by the distribution list.

To create a distribution list

- 1 Navigate to the Call Reports screen > Call Report List view.
- 2 In the Call Reports list, drill down on the call report for which to create a distribution list.
- 3 In the Distribution field, click the select button.
- 4 In the Employees dialog box, select one or more employees to add to the distribution list and click Add.

The selected name or names are added to the distribution list.

Associating Action Items, Notes, and Attachments with Call Reports

After an end user has added a call report, they can associate it with action items, notes, and attachments.

NOTE: Call report attachments, like the attachments for other activities, are stored in the S_ACTIVITY_ATT table.

To associate action items, notes, and attachments

- 1 Navigate to the Call Reports screen > Call Report List view.
- 2 In the Call Reports list, drill down on the desired call report.
- 3 To add notes or action items to the call report, click the appropriate view tab in the Call Report form:
 - **Notes.** To add notes or comments.
 - **Action Items.** To add an action item.
- 4 To attach external documents to a call report, click the Attachments view tab.
- 5 In the Attachments list, add a record and choose a file or select a URL to attach.

Setting the Call Report Privacy Flag

Certain call reports may contain highly sensitive or confidential information about a given company or opportunity. Users can designate certain calls as private by clicking the Private check box in the form or list of the call report. After a call report is marked private, only those on the distribution list have access to it. For more information on the distribution list, see ["Creating Call Report Distribution Lists" on page 92](#).

To set a privacy flag

- 1 Navigate to the Call Reports screen > Call Report List view.
- 2 In the Call Reports list, select the desired call report click the Private field.
The call report is now categorized as private. Only the employees on the distribution list can access it.

Emailing and Printing Call Reports

Call reports can be emailed or printed for distribution and record keeping. A call report must be submitted before it can be distributed.

To submit a call report

- 1 Navigate to the Call Reports screen > Call Report List view.
- 2 In the Call Reports list, select the call report to submit.
- 3 In the Call Report form, select Submitted from the drop-down list.

To email or print a call report

- 1 Navigate to the Call Reports screen > Call Report List view.
- 2 In the Call Reports list, drill down on the call report to email or print.
- 3 Click the Report Detail view tab.
- 4 In the Call Report form, do one of the following:
 - To email the report, click Email Report.
The report is automatically emailed to everyone on the distribution list.
 - To print the report, click the toolbar Reports icon.
In the Reports dialog box, select Summary or Detail and click Run.

9

Activities

Activities are the duties, tasks, and actions that must be performed to maintain relationships with customers. These customers are companies or individuals with which your company conducts business.

Using the procedures given in this chapter, end users will be able to make appointments with customers, manage their My To Do List, assign an activity to a coworker, create a call list, and provide literature fulfillment by email.

This chapter describes the activity procedures and functionality that are specific to Siebel Finance. For more information about the Activities screen and about administrative tasks associated with the Activities screen, see *Applications Administration Guide*.

Scenarios for Siebel Finance Activities

These scenarios feature sample tasks performed by end users. Your organization may follow different workflows according to its business requirements.

In these scenarios, end users are the account representatives and agents who manage day-to-day interactions with customers. They enter information to:

- Make an appointment with a customer
- Manage their My To Do Lists
- Assign activities to coworkers
- Create call lists
- Provide literature fulfillment by email

Institutional Finance Account Rep Creates a Call List

While reviewing her accounts, an account representative realizes that she should catch up with one of her contacts at a client investor company. The representative decides to send her contact some literature regarding new investment opportunities. To do so, the account representative goes to the My Call List view, creates a new call list, drafts an email to one of the contacts listed in the call list, and attaches the respective literature item.

Retail Finance Agent Creates an Activity for Customer Follow Up

An agent at a retail financial service institution receives a call from a customer inquiring about investment products with respect to his 401(k) plan. The call center agent creates a new activity to follow up with the customer and assigns it to an investment specialist.

Activities Procedures

The following procedures are described in this section:

- "Making Appointments with Customers" on page 96
- "Managing the My To Do List" on page 96
- "Assigning Activities to Coworkers" on page 97
- "Viewing Company Coverage Team Activities" on page 97
- "Creating Call Lists" on page 98
- "Providing Literature Fulfillment by Email" on page 98

Making Appointments with Customers

Typically, end users use the Appointment feature to schedule meetings with their customers. From the Activities view, end users can create appointment activities, which can be automatically added to their calendars.

To make an appointment with a customer

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the Activities view tab.
- 4 In the Activities list, add a record and complete the necessary fields.
- 5 In the Type field, select Appointment.

NOTE: You can view all activities associated with your contacts by navigating to the Activities screen and selecting All Activities for My Contacts from the Show drop-down list.

Managing the My To Do List

In Siebel Finance, an end user's My To Do List view shows all To Do items assigned to the end user. End users can create these To Do items using any one of the views from the Activities screen. Typically, end users can use their To Do Lists to help manage their daily activities.

To manage the My To Do List

- 1 Navigate to the Activities screen > Activity List view.
- 2 From the Show drop-down list, select My To Do List.
- 3 In the Activities list, drill down on the Type hyperlink.
- 4 In the Activities form, complete the necessary fields:

- In the Status field, select an appropriate value from the drop-down list, or check the Done box to indicate the activity is complete.
 - To explain the change to the activity information in the Comments field.
- 5 To add an attachment, click the Attachments view tab, add a record, and complete the necessary fields.

Assigning Activities to Coworkers

End users with the appropriate responsibilities can assign activities to coworkers. This provides a communication mechanism among coworkers to coordinate tasks. End users can create new activities and then assign them to others, or they can assign existing activities to one another.

To assign an activity to a coworker

- 1 Navigate to the Activities screen > Activity List view.
- 2 In the Activities list, select an activity to assign.
- 3 In the Activities form, for the Employees field, click the select button:
 - Select one or more employees in the Employees dialog box and click Add.
 - Click OK.

Viewing Company Coverage Team Activities

A coverage team is the group of employees that are assigned to manage the relationship with a given company. The coverage team for a company is defined as all users who have access to the company in the My Companies view. For more information on adding coverage team members see ["Managing Company Coverage Teams" on page 59](#).

To view coverage team activities involving a company

- 1 Navigate to the Activities screen > Activity List view.
- 2 In the Show drop-down list, select All Activities for My Companies.

The All My Companies' Activities list appears, displaying all activities for the companies for which you are on the coverage team. This list displays all activities for these companies, including your activities and other users' activities.

NOTE: You can view the user associated with each activity in the Users field. However, this field does not display by default. To reveal the Users field, use the Columns Displayed dialog box.

Creating Call Lists

A call list is a tool to help end users manage customer calls related to a specific security. End users can create call lists in the Activities and Holdings and Interests screens.

To create a call list

- 1 Navigate to the Activities screen.
- 2 In the Activities list, add a record and complete the necessary fields.
- 3 In the Last Name field, click the select button and select contacts to add to the call list in the Contacts dialog box.
- 4 In the Security Symbol field, click the select button and select the securities to associate with the call list in the Security dialog box.

Providing Literature Fulfillment by Email

End users can distribute literature directly to activity participants or contacts. For example, the meeting minutes could be emailed to everyone who attended a specific meeting.

To provide a literature fulfillment by email

- 1 Navigate to the Activities screen > Activity List view.
- 2 In the Activities list, select the Activity record for which to send follow-up literature.
- 3 From the application-level menu, choose File > Send > Email.
TIP: Press F9 instead of choosing the option from the File menu.
- 4 In the Pick Recipient dialog box, select one of the following values:
 - **Activity Contacts.** To send an email to the external contacts associated with the activity.
 - **Activity Employees.** To send an email to the employees who participated in the activity.
 - **None.** To choose a specific recipient.

A new email message appears.

- 5 In the From field, select a profile.
NOTE: If a default profile has been set up for the user, the From field is automatically populated with the user's information.
- 6 Enter text in the subject heading and body of the message.
- 7 Click the Add Literature button, located above the Check Spelling button.
- 8 In the Pick Literature dialog box, select the literature, and click OK.
- 9 Click Send.

By following this procedure, the application actually creates a new Activity record with Type of Literature Distribution, and associates the same list of participants or contacts with this new activity.

10 Financial Accounts

Siebel Finance provides financial institutions with a graphical interface that allows qualified employees to access financial account information. The Financial Accounts screen provides users with a way to view loan and deposit accounts, including the related contacts, balance history, investment holdings, and investment transaction details.

The Financial Accounts screen allows companies to service the needs of retail or institutional customers, in either a high-transaction environment, such as a consumer call center, or a higher touch environment, such as corporate banking. Call center agents can use the Financial Accounts screen to handle common service requests, such as inquiries about current account balances, past transactions, or investment holdings. Corporate bankers can use the Financial Accounts screen to answer detailed questions about complex corporate accounts and advise their clients. By monitoring their clients' financial accounts through this format, relationship managers are better equipped to recognize changes in their clients' portfolios and to identify new cross-selling opportunities.

Using the procedures given in this chapter, you will be able to perform the administrator tasks of creating a financial account, adding a new authorized user to a financial account, and associating holdings information with a contact's financial account.

End users use the Financial Accounts screen to:

- Create and maintain financial accounts for multiple product types, including loans, direct deposits (checking and savings), market interest deposits (or money market accounts, MMA), time deposits (or Certificates of Deposit), and more. Financial Accounts tracks the unique set of information to describe and manage each of these account types.
- Associate additional products and services affiliated with an account. (For example, a checking account may have lock box service, account reconciliation service, and online bank reporting.)
- Create and maintain hierarchical account relationships, including relationships with accounts held by other clients.
- Automatically generate service requests based on the type of account and associate those requests with the primary contact and financial account.

Scenarios for Financial Accounts

These scenarios feature sample tasks performed by a financial institution's relationship managers and call center agents. Your organization may follow a different workflow according to its business requirements.

In these scenarios, the Siebel administrator is responsible for administering Siebel Finance and requires administrative responsibilities to:

- Add a financial account or a new authorized user to a financial account
- Associate holdings information with a contact's financial account

The end users are the call center agents and relationship managers who answer customer calls. They enter information and create service requests:

- Review financial account information
- Create service requests using the Go button or place a trade
- Create a call list based on account holdings/balances
- Generate account reports
- Place a trade

Call Center Agent Provides Account Information to Customer

An agent receives a call from a customer with both brokerage and banking accounts at the financial institution. The customer first wants to know the current balance on her checking account. After identifying and authenticating the customer, the call center agent views each of the customer's accounts and locates the customer's checking account. The call center agent reads the current balance to the customer, who then wants to know whether a recent deposit has been posted to her account. The call center agent confirms that the deposit was posted yesterday. Finally, the caller wants to know the exact time and purchase price of two recent transactions in her brokerage account. Using Financial Accounts, the call center agent locates the trades and provides the time and value of the transactions to the customer.

Relationship Manager Resolves Customer Service Charge Inquiry

A corporate relationship manager receives a call from a contact at one of the companies she handles. The contact wants more details about a service charge that appeared on her company's last financial statement. After authenticating the contact, the relationship manager determines the type of authority that the contact has over the account. The relationship manager sees that this contact can sign a check, send a wire transfer, or request a loan advance. The relationship manager also sees that the company the caller works for has significant deposit balances with the firm. After locating the service charge the customer is calling about, the relationship manager is able to reverse the charge based on the overall value the caller's company contributes to the financial institution.

Wealth Management/Brokerage Relationship Manager Creates Call List

A wealth manager reviews the morning research and news and relates it to client account balances and holdings information. After reviewing his clients' portfolio and account balances, the wealth manager creates a list of clients to call that may be interested in a particular security discussed in that morning's research. After contacting the client, the wealth manager sends the client a copy of a news and research article. After receiving the customer's consent, he conducts a trade. While on the phone, the wealth manager schedules a portfolio review meeting, and in preparation for the meeting, produces account summary/portfolio reports.

Administrator Procedures

The following list includes some of the typical administrator procedures:

- “Financial Account Administration” on page 103
- “Managing Financial Accounts” on page 104
- “Setting Up Household Financial Accounts Virtual Business Components” on page 106

End-User Procedures

The following list shows the procedures that the end user typically performs:

- “Reviewing Financial Accounts” on page 109
- “Creating Service Requests Using the GO Button” on page 110
- “Placing Trades” on page 110

Financial Account Administration

This section provides those with the required administrative responsibilities, such as Siebel administrators, with background information about financial accounts that is helpful for understanding the administrative tasks described in subsequent sections.

A financial account is an instance of a financial product. For example, a checking account is an instance of a checking product. Therefore a library of products must first be established in Siebel Finance. These products should correspond to the financial account types that are being retrieved from the back-end system. For more information about setting up products, see [Chapter 17, “Products and Pricing.”](#)

Siebel Finance provides users with information about the financial accounts in their portfolios. There are two broad categories of financial accounts: assets and liabilities. For each of these categories, there are also multiple account types. To increase the relevance of the data provided for each individual account, Siebel Finance dynamically modifies certain applets to provide information that is specific to certain financial account products.

For example, for Certificates of Deposit (CDs), Siebel Finance presents the user with the maturity date and the withdrawal penalty; for loan accounts, risk-rating and payoff amounts are also displayed. It is the Type attribute that determines the set of detailed information displayed for financial accounts associated with the product. Types include:

- Analysis Accounts
- Certificates of Deposit
- Credit Cards
- Demand Deposit Accounts
- Facility
- Investments
- Loans
- None

- Retirement
- Savings and Money Market Accounts
- Trust Accounts

Financial institutions can also expand the account types supported by Siebel Finance through the use of Siebel Tools. For more information about Siebel Tools, see *Using Siebel Tools*.

Examples of financial account products include business checking accounts, 180-day certificates of deposit, market interest accounts, and revolving lines of credit. An account held by a client is considered an instance of one of these products. For example, a \$1,000,000 loan can be an instance of the revolving line of credit product.

NOTE: Many of the products offered by a financial institution will *not* be related to either Assets or Liabilities.

The ATM Card Administration view provides information about cards associated with an account. The Siebel Finance data model allows establishing many-to-many relationships between Financial Accounts and ATM Card records. Although the out-of-the-box ATM Card Administration view allows users to add ATM Cards to Financial Account records, typically such transactions are accomplished through the initiation of a Service Request to a back-end system.

Account Categories and Types

For the Financial Accounts screen to function properly, Siebel administrators must establish the Account Category and Account Type attributes of each product.

For more information about defining products, see *Product Administration Guide*.

Managing Financial Accounts

In Siebel Finance, administrators can add financial accounts from the Financial Accounts screen. In many companies, Siebel Finance is not an organization's primary system of record for financial accounts. Typically a system administrator will load financial account information from another system into Siebel Finance. For more information on uploading financial account information into Siebel Finance, see *Siebel Enterprise Integration Manager Administration Guide*.

To add a financial account

- 1 Navigate to the Financial Accounts screen > Financial Account List view.
- 2 In the Financial Accounts list, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Account Status	Specifying Open allows the financial account to appear in Siebel eBanking.

Field	Comments
Account #	User-assigned number.
Product	Indicates the product associated with the account. This selection populates the Type field.

- 3 (Optional) In the financial account form, enter at least one contact for the account.
- 4 In the Team field, add users at the financial institution who will be responsible for maintaining the account, and then click OK.

NOTE: Business system administrators must determine which views and types of views their users need.

Once a financial account is created, you add authorized users for the account. For each authorized user, you define the authorization actions they can take for different categories of account use. For example, one authorized user might be allowed to sign checks and make withdrawals and another is only able to request wire transfers.

To add a new authorized user to a financial account

- 1 Navigate to the Financial Accounts screen > Financial Account List view.
- 2 In the Financial Accounts list, drill down on the account to which to add an authorized user.
- 3 Click the Authorized Users view tab.
- 4 In the Authorized Users list, add a record and select the contact using the select icon in the Last Name field.

Scroll down to the Authorization list, add a record and complete the necessary fields, some of which are described in the following table.

Field	Comments
Category	The category of account use for which the authorization is granted, such as wire transfer, check signing, or withdrawal.
Action	The specific activity that is authorized for the category of authorization, such as confirm, sign, or request.
Limit	The dollar value limit for the specified authorization.

NOTE: You cannot add contacts to the system in the Authorized Users view tab. They must be created in the Contacts screen or the Contacts Administration screen. For more information, see [“Adding Contacts” on page 74](#).

Once a contact has been added to a financial account, you can specify that contact’s authorization level as described in this procedure.

After adding authorized users to a financial account, administrators can associate holdings information. Holdings information is usually only relevant to certain types of accounts, such as Investment Accounts.

To associate holdings information with a financial account

- 1** Navigate to the Financial Accounts screen.
- 2** In the Financial Accounts list, select an account.
- 3** Click the Investment Holdings view tab.
- 4** In the Investment Holdings list, add a record and complete the necessary fields.
 - In the Security Name field, select a security name you want to associate with the financial account.

Setting Up Household Financial Accounts Virtual Business Components

Siebel Finance includes virtual business components to display financial account related data sourced from a back office or a third party system for specific financial accounts views within the Households screen. These views include FINS IBD Holdings Model Value - Asset Class, FINS IBD Holdings Model Value - Asset Sector, FINS IBD Household Cash Flow, FINS IBD Household Performance, and FINS IBD Holding External. For more information on using these views, see ["Viewing and Evaluating Household Portfolios" on page 67](#).

In Siebel Finance, the term *virtual business components* refers to external data obtained from a location other than a database table in a Siebel database and presented in a standard Siebel user interface. Typically, information is pulled real-time from an external database, such as a Hogan or ALLETEL system.

These virtual business components are driven by the Siebel XML Gateway business service which communicates between Siebel Finance and an external data source using XML. You can configure the XML Gateway business service using the EAI HTTP Transport.

For more information on virtual business components see *Using Siebel Tools*. For more information on XML Gateway business service, see *Integration Platform Technologies: Siebel eBusiness Application Integration Volume II*.

Configuring Virtual Business Components User Properties

For each of the virtual business components driven by XML Gateway business service, you need to configure these user properties in Siebel Tools:

- **Service Name.** The name of the business service.

- **Service Parameters.** Any parameters required by the business service (Optional). The Siebel application passes this user property, as an input argument, to the business service only when it is attempting to load or initialize the business service.

To configure virtual business components user properties

- 1 In Siebel Tools, lock the appropriate project.
- 2 In the Object Explorer, click the Business Component folder to expand the hierarchical tree.
- 3 Select each of the following business components and define its user properties:
 - FINS IBD Holdings Model Value - Asset Class
 - FINS IBD Holdings Model Value - Asset Sector
 - FINS IBD Household Cash Flow
 - FINS IBD Household Performance
 - FINS IBD Holding External VBC
- 4 In the Object Explorer, click the Business Component User Prop folder.
The Business Component User Properties list appears.
- 5 Choose Edit New Record to create a new blank user property record.
- 6 In the Service Name field, enter XML Gateway.
- 7 In the Service Parameters field, enter the following:

```
Transport=EAI HTTP Transport; HTTPRequestMethod=POST; XMLCharEncoding=UTF-16;
HTTPRequestURLTemplate=http://machine name/virtual directory name/active server page
file
```

NOTE: Business component user properties are case sensitive.

For more information on XML Gateway business service, see *Integration Platform Technologies: Siebel eBusiness Application Integration Volume II*.

Setting Up a Test ASP and Testing the Local Database

You can use an Active Server Page (ASP) to retrieve data from a test datab.kiase and return an XML file in Siebel format to the Siebel XML Gateway business service.

To set up an ASP and local test database

- 1 Install Microsoft Internet Information Server (IIS) 4.0 on a local Windows machine (Windows NT 4.0 or Windows 2000).
- 2 Create a virtual directory with the name you specify. Make sure the property for the virtual directory has write permission.
- 3 Create the following files in the folder to which the virtual directory points:

- cashflow.asp
- Perfomance.asp
- ModelValueByClass.asp
- ModelValueBySector.asp
- holdings.asp

NOTE: To view these sample ASPs, see [Appendix B, "Sample ASPs for Household Financial Accounts Virtual Business Components."](#)

- 4 In the same virtual folder, create a test database for all the fields in a Microsoft Access database titled mdb.mdb.

Virtual Business Components Testing

Assuming everything is configured correctly, [Table 4](#) describes how to verify that your virtual business components are working.

Table 4. Testing the Virtual Business Components

Virtual Business Component	Description
FINS IBD Holdings Model Value - Asset Class FINS IBD Holdings Model Value - Asset Sector	View the model types for these virtual business components in the drop-down list in the Financial Accounts, Class Allocation and Sector Allocation subviews in the Households screen. For more information, see "To compare account holdings against a portfolio model" on page 68 and "To view the selected account holdings by sector" on page 68 . After clicking Go, the application recalculates the model value at each subview and displays the percentage for each model weight. You can compare this with data in mdb.mdb database.
FINS IBD Household Cash Flow FINS IBD Household Performance	View the Financial Accounts, Cash Flow, and Performance subviews in the Households screen. For more information, see "To view expected future cash flows for selected accounts" on page 69 and "To view selected accounts' past performance" on page 69 .
FINS IBD Holding External	This virtual business component replaces FINS Holding. In Buscomp FINS IBD Aggregated Holdings, specify which buscomp your aggregation is based at. The business component User Property Name is Aggregate Business Component.

Reviewing Financial Accounts

Aside from being able to execute securities trades in the Trades view, end users typically have read-only access to the Financial Accounts screen; therefore, most end-user tasks involve using the Financial Accounts screen to gather information as opposed to entering data.

To review a financial account

- 1 Navigate to the Financial Accounts screen > Financial Account List view.
- 2 In the Financial Accounts list, drill down on the desired account.
- 3 Click a view tab to review specific financial information.

As users review financial accounts, they can create activities that can be used as a call list. The selection of financial account records can be based on a number of different criteria such as account holdings and balances. Users can view detailed information on a specific account including minimum balance, statement date, and current changes in the Account Analysis view tab.

To view an account analysis

- 1 Navigate to the Financial Accounts screen > Financial Account List view.
- 2 In the Financial Accounts list, drill down on the desired account.
- 3 Click the Account Analysis view tab.

To create a call list based on account criteria

- 1 Navigate to the Financial Accounts screen > Financial Account List view.
- 2 In the Financial Accounts list, drill down on the desired account.
- 3 Click the Activities view tab.
- 4 In the Activities list, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
New	Indicates a new activity.
Type	Default value is Other. Select alternate value to categorize the type of activity.

Creating Service Requests Using the GO Button

Call center agents and relationship managers often review the Financial Accounts screen to answer customers' questions about their accounts. During these conversations, customers frequently request changes to their accounts. To enter a change such as a fee reversal or statement copy, end users can use the GO button from the Financial Accounts screen.

The GO button allows end users to choose from a predefined list of service requests for a given account type. After selecting the GO button, a user is automatically navigated to the view in the Service Requests Screen to handle that type of request. The contact and account are automatically associated with the new service request.

To create a service request using the GO button

- 1 Navigate to the Financial Accounts screen > Financial Account List view.
- 2 In the Financial Accounts list, drill down on the desired account.
- 3 On the More Info form, from the New Service Request drop-down list, select the type of service request to create and click GO.
- 4 In the resulting Service Request view, complete the necessary fields.

Placing Trades

End users can place securities trades using the Trades view in the Financial Accounts screen.

To place a trade

- 1 Navigate to the Financial Accounts screen > Financial Account List view.
- 2 In the Financial Accounts list, drill down on the desired account.
- 3 Click the Trades view tab.
- 4 In the Trades list, add a record and complete the necessary fields.
- 5 In the Action field, select a type of trade.

NOTE: Based on the action that is selected, another trade information form appears at the bottom of the screen. For example, if the transaction is a stock trade, a Stock Trade form appears and some fields are automatically filled in as you complete the fields in the Trades list.

- 6 Complete the fields in the Trades list and the related form beneath it.

11 Service Requests

A *service request* in Siebel Finance acts as a container for a customer request or an account service. Entering a service request in Siebel Finance can create an extract file that can be used to transmit data to legacy systems.

CAUTION: This chapter assumes you have renamed Siebel Account objects to *Companies*. By default, Siebel Finance installs using the term *Accounts*. For more information on renaming Siebel Account objects, see *Upgrade Guide*.

Using the procedures given in this chapter, you will be able to perform the administrator tasks of changing a company address, contact address, or contact name. End users use the Service Requests screen to view and update existing requests and create new requests. Based on the requirements of the individual making a request, users can create service requests for companies or customers. After identifying the caller and understanding the nature of the request, the agent takes action to complete the request. To close the loop of the customer service process, Service Requests provide status and substatus information about the request.

You can save time and reduce keystrokes by using a workflow to automate steps that are repeatedly performed by end users. For example, you can use a workflow to handle all exception processing at a financial institution. If an exception is generated by a call center or a relationship manager, this exception can be automatically routed to the administrator for handling. For more information, see *Siebel Business Process Designer Administration Guide*.

Scenarios for Service Requests

These scenarios feature sample tasks performed by a financial institution's call center agents, relationship managers, and application administrators. Your organization may follow a different workflow according to its business requirements.

Call Center Agent Creates a Service Request

A customer calls a financial institution's call center and is routed to a call center agent. As the call center agent is talking with the customer, she finds out that the customer wants to get a copy of a specific account statement for one of his accounts. The call center agent talks with the customer and gets his first name and last name. The agent also authenticates the customer with information such as his social security number or his mother's maiden name. After authenticating the caller, the call center agent creates the appropriate service request.

Relationship Manager Creates a Service Request

Siebel Finance allows financial institutions' relationship managers to have an overall view of every aspect of their relationship with the customer. This scenario illustrates how a relationship manager can assist a customer to address any type of customer concern.

A customer calls his relationship manager regarding some issues with his account. The relationship manager gets his first and last name. The customer has indicated that he has a number of issues that need to be resolved with the account. The customer requests that the relationship manager review the status of each request and enter a new request. After authenticating the customer, the relationship manager reviews the existing service requests with the customer and updates the necessary information in the service requests.

Application Administrator Changes a Company Name

A client notifies her bank that her company name is changing. The organization allows only Siebel administrators to make name changes in Siebel Finance. The organization's policy states that the representative taking the request should submit a service request for a name change. In addition, the appropriate person may need to get permissions or signatures from the client's company to send to the Siebel administrator in order to confirm this change. The submitted service request could be automatically sent to the Siebel administrator using a business service set up by the institution. The administrator then determines whether the name change is approved and updates either Siebel Finance or another computer system that feeds data to Siebel Finance.

Administrator Service Request Procedures

The following administrator procedures are described in this section:

- [To change a company address or name](#)
- [To change a customer address or name](#)

To change a company address or name

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, select a company.
- 3 In the Company form, update the company information as needed.

To change a customer address or name

- 1 Navigate to Contacts screen > Contacts List view.
- 2 In the Contacts list, select a contact.
- 3 In the Contacts form, update the contact's information as needed.

End-User Service Request Procedures

The following end-user topics are described in this section:

- ["Creating Service Requests" on page 113](#)

- “Requesting Account Service in Service Requests” on page 114
- “Changing Company Address or Name Information” on page 116
- “Changing Customer Address or Personal Information” on page 116
- “Recording Customer Appeals or Grievances” on page 117

CAUTION: All Siebel Finance calculators described in this guide provide results intended for comparison purposes only; the accuracy of the results is not guaranteed. Differences from the expected results may be due to rounding or the mathematical formula used. Modifying the formula can only be done by someone with the appropriate responsibilities, such as the Siebel administrator.

Creating Service Requests

A new service request can be created in several ways. Typically, service requests are created from the Service screen, Contacts screen, Companies screen, or Financial Accounts screen.

One of the easiest ways to create a service request is within the Financial Accounts screen using the GO button. Using the GO button, end users can choose from a predefined list of service requests for a given account type. After selecting the GO button, a user is automatically navigated to the view in the Service screen to handle that type of request. The contact and account are automatically associated with the new service request. For more information on creating a service request using the GO button, see [Chapter 10, “Financial Accounts.”](#)

The Service screen allows end users to initiate a service request to change customer address and name information so that this information can be updated in their organization’s database.

To create a service request from the Contacts screen

- 1** Navigate to the Contacts screen > Contacts List view.
- 2** In the Contacts list, drill down on the contact for which to create a service request.
- 3** Click the Service Requests view tab.
- 4** In the Service Requests list, add a record and complete the necessary fields.

For more information about service requests, see *Applications Administration Guide*.

Requesting Account Service in Service Requests

The Account Services view tab in the Service screen allows end users to create service requests that are related to an organization’s service. Available account services are described in [Table 5](#).

Table 5. Account Services View Items

Account Service	Description
Add Payment Schedule	Create a customer’s payment schedule.
Auto Payment / Saver	Associate an auto payment request with a service request.
Bank Check	Requests a replace credit card or an additional card.
Bill Pay Sign Up	Create or change a customer’s bill pay service with a service request.
Card Services	Requests issuance of a bank check to a specified payee and his/her address.
Check Copy Request	Requests a copy of a check.
Check Order	Orders additional checks.
Close Account	Closes the specified account.
Extension	Records a one-time short extension under an existing contract. Typically, extensions are granted for up to six-months and no new paperwork is required.
Extra Payment	Changes a customer’s monthly payment schedule or amount. You can use the Service Request Extra Payment view to record the new monthly payment and provide the customer with updated loan information, such as the new term and interest saved.
Funds Transfer	Requests a funds transfer.
Interest/Fee Reversal	Reverses an interest payment or fee.
Line Increases	Increases a customer’s credit line or cash limit.
Lost/Stolen Information	Records information regarding lost or stolen items, such as credit cards.
Lump Sum	Records a lump sum transaction and provides a customer with new monthly terms. This feature allows customers to choose to reduce the amount of their monthly payment while maintaining the same terms, or continue paying the same monthly payment while reducing their terms.
Modify Payment Schedule	Modifies a customer’s payment schedule.
New Assumption	Records a new assumption if a lease gets traded to a new party, and this party assumes the future payments of the lease.

Table 5. Account Services View Items

Account Service	Description
Payment Inquiry	Records information for customers who claim to have made a credit card payment, but the payment has not shown up on their statement.
Payment Promise	Records customer payment promises during a collection call or campaign. For more information, see "To execute a collection campaign" on page 168.
Payoff	Records a payoff of the lease.
Payoff Status	Records a payoff transaction and provides customers with their payoff amounts.
POS Support	Handles merchant requests related to credit card point of sales (POS) equipment such as terminal repairs, paper orders, and order signage.
Quick Pay	Records check transactions as if the customer had sent the check in as a payment. To expedite a monthly payment, customers can provide check information, such as the ABA number, check number, and amount.
Re-lease	Records the re-lease of the vehicle to the customer.
Redeem Points	Records information for customers who want to redeem points.
Refinance	Records the refinance request.
Statement Copy	Orders a statement copy for customers.
Stop Payment	Stops a payment.
Title Move	Records moving the title from one party to another.
Transaction Dispute	Creates a record of a customer dispute. End users can associate disputes with notes and attachments.
Wire Transfer	Provides wire transfer information if applicable.

To request an account service using a service request

- 1** Navigate to the Service screen > Service Request List view.
- 2** Create a new record and drill down on the SR #.
- 3** In the Service Request Detail form complete the necessary fields.
- 4** Click the Account Services view tab.

- 5 From the view link bar, select an account service.

For a description of the service types, see [Table 5 on page 114](#).

NOTE: In the Account Services list, the following views have additional drop-down lists: Check Copy Request, Extra Payment, Fee Reversal, Payoff Status, Quick Pay, Statement Copy, and Stop Payment. From the values in these drop-down lists, end users can choose to display the list or the more detailed form in which they can enter an account service request.

Changing Company Address or Name Information

In the event that users are allowed to change company-wide address and name information, they can update the appropriate information in the Service screen. Once captured in Siebel Finance, this information can be used to update existing host systems. For more information about updating company information, see [Chapter 5, "Companies."](#)

In the event that users are not allowed to change company-wide address and name information, they can use the Company Address Maintenance view and the Company Name Information Change view to send service requests to administrators responsible for updating the information.

To submit a service request to change a company's name or address

- 1 Navigate to the Service screen > Service Request List view.
- 2 In the Service Requests list, add a record and drill down on the SR #.
- 3 In the Service Request form, complete the necessary fields.
- 4 Then:
 - Click the Company Name Information Change view tab to update the company name.
 - Click the Company Address Maintenance view tab to update the company address.

Changing Customer Address or Personal Information

If end users are allowed to change company-wide address and name information, they can update the appropriate information in the Service screen. Once captured in Siebel Finance, this information will be used to update their company's host systems.

If end users are *not* allowed to change company-wide address and name information, they can use the Customer Address Maintenance and Personal Information Change views to send service requests to administrators responsible for updating the information.

To submit a service request to change a customer's address or personal information

- 1 Navigate to the Service screen > Service Request List view.

- 2 In the Service Requests list, add a record and drill down on the SR #.
- 3 In the Service Request form, complete the necessary fields.
- 4 Then:
 - Click the Customer Address Maintenance view tab to update the customer's address.
 - Click the Personal Information Change view tab to update the customer's personal information.

Recording Customer Appeals or Grievances

End users can record customer complaints.

To record a new customer complaint

- 1 Navigate to the Service screen > Service Request List view.
- 2 In the Service Requests list, add a record and drill down on the SR #.
- 3 In the Service Request form, complete the necessary fields.
- 4 Click the Appeals & Grievances view tab.
- 5 In the Complaint Detail form, complete the necessary fields.

12 Financial Needs Analyses

This chapter describes the procedures necessary to administer and perform a needs analysis session using Siebel Finance and includes the following topics:

- ["About Financial Needs Analysis" on page 119](#)
- ["Scenarios for Financial Needs Analysis" on page 120](#)
- ["Administrator Financial Needs Analysis Procedures" on page 121](#)
- ["End-User Financial Needs Analysis Procedures" on page 121](#)
- ["Needs Analysis Script Creation" on page 121](#)
- ["Setting Up Product Scores" on page 121](#)
- ["Creating Investment Objectives and the Portfolio Mix" on page 122](#)
- ["Performing General Needs Analysis for Companies or Contacts" on page 124](#)
- ["Performing Investment Needs Analysis for Contacts" on page 125](#)
- ["Generating Recommendations from a Needs Analysis Session" on page 125](#)

About Financial Needs Analysis

Needs analysis is the process sales agents use to gather information about their customers and recommend the best products to them. In a needs analysis, an agent asks questions and selects answers with preassigned scores. The scores for each product are aggregated and by clicking on the Recommend button, an agent can recommend and cross-sell a package of products or a single product to customers. In addition, a relationship manager can use the investment needs analysis to recommend model fund and asset distributions for an investment portfolio.

Following the procedures in this chapter, administrators will be able to:

- Develop needs analysis scripts, which are specifically worded sets of questions. Call center agents use these scripts in a needs-based selling process to gather information from customers interested in learning about or purchasing a specific product. The scripts can also include pick list values for the customer answers.
- Set up product scoring, which assigns number values to needs analysis script answers. Based on the script answers, a needs analysis recommendation lists the products for the agent to recommend to the customer; recommended products having higher scores more closely meet the customer's needs than those with lower scores.
- Create investment objectives.
- Create an optimal portfolio mix for asset and fund types for each investment objective.

Following the procedures in this chapter, end users will be able to:

- Perform a needs analysis
- Recommend products that best match customer needs
- Recommend model fund and asset distributions for an investment portfolio

Scenarios for Financial Needs Analysis

These scenarios feature sample tasks performed by a financial institution's applications administrator, a call center agent, and a relationship manager. Your organization may follow different workflows according to its business requirements.

The Needs Analysis views within Siebel Finance allow financial institutions to capture customer requirements in a needs-based selling process for multiple products including checking, convenience, investment, credit, mortgage, savings, and retirement products. The views specifically support both the individual customer as well as the business customer.

Application Administrator Creates a New Needs Analysis Script

An applications administrator is given the business requirements to create a new needs analysis script. To support the requirements, the administrator defines the product scores for each needs analysis question. The product scores are used to calculate and define the product recommendations. The administrator also sets up the optimal portfolio mix and investment objectives for the Investment Needs Analysis view.

Call Center Agent Uses Needs Analysis Script During New Customer Call to Determine Product Requirements

A call center sales agent receives a call from a prospective new customer who is interested in opening a checking account. The agent uses the Siebel Finance Needs Analysis script to walk the customer through a series of questions to gather her product requirements, and to record the answers used to calculate the best financial products for her. The agent provides the customer with key information about the recommended checking accounts with the highest scores. The call center agent tells the customer that she can apply for more than one product if she chooses; however, the customer decides to go with the first product on the list, and the sales agent begins the application process using the Auto Application feature.

Relationship Manager Uses Investments Needs Analysis Script to Determine Customer's General Investment Strategy

A relationship manager receives a call from a customer who has an investment account with the financial institution. The customer is interested in finding out about a general investment strategy. The relationship manager uses the Investments Needs Analysis script to walk the customer through a series of portfolio interest, risk tolerance, investment horizon, and profile information questions to recommend a model portfolio of assets and fund types.

Administrator Financial Needs Analysis Procedures

The following administrator procedures are included in this chapter:

- “Needs Analysis Script Creation” on page 121
- “Setting Up Product Scores” on page 121
- “Creating Investment Objectives and the Portfolio Mix” on page 122

End-User Financial Needs Analysis Procedures

The following list of end-user procedures are included in this chapter:

- “Performing General Needs Analysis for Companies or Contacts” on page 124
- “Performing General Needs Analysis for Companies or Contacts” on page 124
- “Performing Investment Needs Analysis for Contacts” on page 125
- “Generating Recommendations from a Needs Analysis Session” on page 125

Needs Analysis Script Creation

Those with the required administrative responsibilities, such as Siebel administrators, can set up and modify needs analysis questions and the related scripts.

Before creating a script, define each question that the script will use. If you add questions to a script, you need to add score values to the Product Scores for the questions. You also need to add the questions to the appropriate Business Component. For example, if you are modifying a checking account needs analysis script for a contact, then you would need to add questions to the FIN NA RET Checking Business Component. When the user clicks the Recommend button in the script wizard to calculate the score, changes to the script are taken into account.

For additional information about creating SmartScripts, see *Siebel SmartScript Administration Guide*.

Setting Up Product Scores

Administrators use the Product Scores Administration subview in the Administration - Product screen to define the product scores associated with each of an organization’s products. Each product can be included in one or more needs analysis view.

To associate questions and scores with products

- 1 Navigate to Site Map > Administration - Product > Products.

- 2 In the Products list, drill down on the product for which to define questions and scores.

NOTE: If the product does not exist, add it. For more information about adding products, see *Product Administration Guide*.

- 3 Click the Product Scores view link.

The Product Scores list displays the questions and corresponding answers that are currently associated with a selected product.

- 4 In the Product Scores list, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Answer	The answer given by the customer. For each possible answer the customer can give, you can assign a score.
Question	The question to be asked.
Score	The score associated with the answer. You assign this value according to the importance you attach to the customer's response.
Script Name	The script to be used for this question. You are not limited to a single script for a product; you can use any number of the scripts listed.

NOTE: During a needs analysis session, if the sum of the product scores appears incorrect after you click the Recommend button to select a product, check for duplicate product score questions.

To correct a script problem with a product score

- 1 Navigate to Site Map > Administration - Product > Products.
- 2 In the Products list, drill down on the product with the script to correct.
- 3 Click the Product Scores view link.

The Product Score displays the questions and corresponding answers that are currently associated with the selected product.

- 4 Edit the Score list.

For example, if the same question-and-answer pair appears more than once, delete the extra question and answer.

Creating Investment Objectives and the Portfolio Mix

Administrators can add or modify investment objectives as well as create asset and fund portfolio distributions in the Securities views in the Finance Administration screen.

Several Portfolio Objectives are provided in the standard Siebel Finance application. If you need to make changes to the assets or funds used to score the investment objectives in the Investments subview of the Needs Analysis view in the Contacts screen, the score calculations can be changed in the FINS Investment NA Action business component by making changes to the applicable fields, such as these:

- The Computed INV NA Score Calc field is used to calculate the average score of the first 13 questions.
- The fields Score1 to Score5 are used to convert the average score to a number divisible by 4.
- The field Computed INV NA Score is used to calculate the final score.

You can even apply a different algorithm to compute the scores if, for example, you want to add more questions or convert the average score to a number divisible by 3 or 5 instead of 4.

To create an investment objective

- 1** Navigate to Site Map > Administration - Finance> Investment Objectives.
- 2** In the Portfolio Investment Objectives list, add a record and complete the necessary fields.

After you create a new investment objective, you can set up the portfolio mix for the investment objective.

To perform portfolio mix administration

- 1** Navigate to Site Map > Administration - Finance> Investment Objectives.
- 2** In the Portfolio Investment Objectives list, select a portfolio investment objective to administer.
- 3** To add a new asset, add a record in the Asset Recommendation list and complete the necessary fields.
- 4** To add a new fund, add a record in the Fund Recommendation list and complete the necessary fields.

Performing General Needs Analysis for Companies or Contacts

Table 6 shows the needs analysis sessions that can be performed by product type.

Table 6. Needs Analysis by Product

Product	Available For
Checking	<ul style="list-style-type: none"> ■ Companies ■ Contacts
Convenience	<ul style="list-style-type: none"> ■ Companies ■ Contacts
Credit	<ul style="list-style-type: none"> ■ Companies ■ Contacts
Investments	<ul style="list-style-type: none"> ■ Contacts
Mortgage	<ul style="list-style-type: none"> ■ Contacts
Retirement	<ul style="list-style-type: none"> ■ Companies ■ Contacts
Savings	<ul style="list-style-type: none"> ■ Companies ■ Contacts

After entering specific details in the selected Needs Analysis view, end users can prompt Siebel Finance to recommend the best product or service for the company or contact.

To perform a general needs analysis for a company or contact

- 1** Navigate to the one of the following views depending on the type of needs analysis to perform:
 - Companies screen > Companies List view.
 - Contacts screen > Contacts List view.
- 2** In the list, drill down on a company or contact for which to perform a needs analysis.
- 3** Click the Needs Analysis view tab.
- 4** On the Needs Analysis link bar, select the desired type of needs analysis.
- 5** In the Needs Analysis form, add a record and complete the necessary fields.
- 6** To use a script to help determine values to enter, click Script.
- 7** In the SmartScript list, drill down on the Name hyperlink.
- 8** Complete the questions as prompted, and click Finish.

- 9 (Optional) Click the Recommend button to generate a recommendation.

See ["Generating Recommendations from a Needs Analysis Session"](#) on page 125 for more information on recommendations.

Performing Investment Needs Analysis for Contacts

An investment needs analysis is similar to a general needs analysis. The results, however, are different. After completing an investment needs analysis, a recommended mix of assets and funds appears, based on the customer's needs.

The Investment Needs Analysis view provides an approach to understanding the customer's needs and recommending an investment strategy. A script is used to guide the customer through a series of questions. The average score from the set of answers, in conjunction with the time that the customer may need his or her money invested, drives the model and determines the asset and fund allocation.

To perform an investment needs analysis for a contact

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the contact for which to perform a needs analysis.

NOTE: If the contact does not exist, add it. For more information about adding contacts, see ["Adding Contacts"](#) on page 74.
- 3 Click the Needs Analysis view tab.
- 4 Select the Investments link at the top of the Needs Analysis form.
- 5 In the Needs Analysis form, add a record and complete the necessary fields.
- 6 To use a script to help determine values to enter, click Script.
- 7 In the SmartScript list, drill down on the Name hyperlink for the script you want.
- 8 Complete the questions as prompted, and click Finish.
- 9 (Optional) Click the Recommend button to generate a recommendation.

Generating Recommendations from a Needs Analysis Session

After performing a needs analysis, end users can generate a list of recommended products or a proposed mix of investments.

For more information on performing a needs analysis, see ["Performing General Needs Analysis for Companies or Contacts"](#) on page 124 and ["Performing Investment Needs Analysis for Contacts"](#) on page 125.

After customers have determined the product or products they are interested in, the end user can select the Apply field for those specific products. If it has been set up, the end user can then use the Auto Application feature to automatically create a new application for the customer. The Application will be prepopulated with the company and product-related information already captured in this screen. For more information about creating an application, see [Chapter 13, "Applications."](#)

You can select products recommended in all Needs Analysis views in the Contacts screen except the Investments view.

To generate a recommendation from a needs analysis session

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the contact for which to generate a recommendation.

NOTE: If the contact does not exist, add it. For more information about adding contacts, see ["Adding Contacts" on page 74.](#)

- 3 Click the Needs Analysis view tab.
- 4 In the Needs Analysis form, select the link for the needs analysis type.
- 5 In the Needs Analysis form, click Recommend.
- 6 Scroll down to see the generated recommendations.

For an Investment Needs Analysis, the application generates a recommended asset and fund distribution. The Asset Distribution and Fund Distribution display information in either lists or charts.

For other types of needs analysis, the recommendation list displays a score (a relative ranking), a product name, and a description.

- 7 In the Recommendation list, drill down on the Product Name field to view further information about the product.

To select a recommended product using the Apply field

- 1 If necessary, return to the generated Recommendation list based on the needs analysis.
- 2 Click to place a check mark in the Apply field to the left of each product for which the customer wants to apply.

There is no limit to the number of products that can be selected.

NOTE: If the customer wants to apply for more than one product (for example, a checking account and a mortgage loan), you can go to a different Needs Analysis view for each product type desired, perform the needs analysis, and apply for additional products. When you select Auto Application, you are taken to the Application screen, where you can fill out applications for all the selected products.

- 3 Leave the record containing the checked Apply field.
- 4 Select Auto Application by doing one of the following:
 - Click the Auto Application icon in the upper left corner.

- From the application-level menu, choose File > Auto > Application.
- 5** In the first Application view, click the select button in the Product Name field.
The recommended products appear in the Applications view.
- 6** In the Products dialog box, select the Primary field for the product whose name should appear in the Product Name field.

For more information about filling out applications, see [Chapter 13, "Applications."](#)

13 Applications

This chapter includes the following topics:

- "About Applications" on page 129
- "Scenario for Applications" on page 130
- "Setting Up and Managing Applications" on page 130
- "Setting Up Application View Navigation" on page 131
- "About Auto Application" on page 132
- "Verifying the Run-Time Event Data for Auto Application" on page 132
- "End-User Procedures for Applications" on page 134
- "Viewing and Creating Applications" on page 135
- "Managing Application Information" on page 138
- "Creating Small Business Loan Applications" on page 142
- "Processing Applications" on page 144

About Applications

In Siebel Finance the application process is conducted by navigating through a series of screens to capture information for a product application. Sales representatives can create applications for different types of banking products, such as depository, checking, savings, auto loans, mortgages, and home equity loans. Sales representatives, customer service representatives, small business managers, and underwriters are the primary users.

Using the procedures given in this chapter, you will be able to perform the administrator tasks of defining a sequence of views required to capture application data elements, creating sales methodologies to match business processes, creating activity plans, and setting up correspondence and application form templates.

End users are sales representatives, customer service representatives, small business managers, and underwriters within your organization. Sales representatives will use the procedures in this chapter to create new applications, enter application information for different types of products, generate prefilled application forms, and submit applications to the back office. Customer service representatives or small business managers will use the Applications screen to check the status of an application, update application information, and follow up on trailing documentation.

NOTE: Small business manager activities are similar to the sales representative activities except that the small business manager completes the applications for small business companies instead of individual customers.

If the application is a loan, underwriters will use the procedures in this chapter to check and review the application data, update third-party data in applications, such as credit bureau information, and make decisions on applications.

Scenario for Applications

This scenario features sample tasks performed by a financial institution's applications administrator and branch agents. Your company may follow different workflows according to its business requirements.

Application Administrator Creates a New Financial Product and Application

An application administrator receives a list of business requirements from the Product department for a new checking product. The requirement list includes:

- The fields necessary to capture the application
- The new sales methods and their stages
- The activities to complete after the application is submitted
- The form template for the application and the correspondence templates for this product to complete this application

With these requirements, the application administrator determines which views have the required fields for this product. He then defines the sequence of views in the Application Workflow view of the Administration - Product screen.

After setting the view sequence, the administrator creates new application stages for the product. Because it is a new product, the application stages differ from those of other products. The administrator then sets up an activities plan to associate with the product. The activities plan allows agents to accomplish and coordinate complex tasks by automatically creating and assigning the appropriate follow-up activities to support the review and processing of the application. It also provides a way to monitor the progress of these activities once the application is submitted.

The administrator then sets up the application form template in a Microsoft Word document and associates the template with fields in the application screen. Finally, the administrator works on the correspondence views to set up new correspondence templates for the product.

Branch Agent Prepares a Customer Application for the New Product

A branch agent assists a customer who wants to open the new checking account product. The agent creates a new checking application using the Next button to navigate through the application screens and views. He also generates the activities plan for this application to create activities to follow up on trailing documents, set up the review process, and call back the customer.

Setting Up and Managing Applications

This section discusses the following topics:

- [“Setting Up Application View Navigation” on page 131](#)
- [“About Auto Application” on page 132](#)
- [“Verifying the Run-Time Event Data for Auto Application” on page 132](#)
- [“Upgrade Notes to Continue Using Customized Version of Auto Application Workflow” on page 134](#)

Setting Up Application View Navigation

The purpose of setting up an application view navigation is to allow end users to use the Next button to navigate through the screens required to complete an application in Siebel Finance. This view navigation can include views from screens other than just the Applications screen, although navigation is restricted to the current screen. The Next button is supported by the FINS Application View Navigation Service business service. For more information on this business service, see [“FINS Application View Navigation” on page 310](#).

The application view order varies from product to product; therefore, you will need to set up the view order for every product for which your agents will fill out applications. As an administrator, you set up the view order using the Application Workflow view in the Administration - Product screen.

The view order determines the next view the agent sees when filling out one or more applications for a customer in a single session. For instance, the view order of a basic checking application may use the following views in the following order: Applicant, Income Sources, Check Order, and Funding. If the end user manually starts in the Income Sources view, then clicks the Next button, the next view to appear will be the Applicant view. The Application view sequence for the checking application process will then follow the sequence for basic checking that was set in the Application Workflow Administration view.

NOTE: If the product does not exist, add it. For more information about adding products, see *Product Administration Guide*.

To set up an application view navigation

- 1** Navigate to Site Map > Administration - Product > Products.
- 2** In the Products list, drill down on the product for which to set up an application workflow.
- 3** In the More Info form, from the Show drop-down list, select Application Workflow.
- 4** In the Application Workflow list, add a record.
- 5** In the Add View Order dialog box, select a view to add to the workflow.
- 6** To change the view order of a view, change the Sequence Number in the Application Workflow list.
- 7** Continue adding views an end user will need to complete an application.

Sales Method Creation and Modification

Sales methods consist of various stages from start to finish. Depending on the specific sales method, the stages can differ. The sales method should map to the product type. Each product type may have a different set of stages for review and approval. For example, depository products will not have an underwriting stage that credit products might. For information on creating a sales method and setting up sales stages, see *Applications Administration Guide*.

Activity Plans Set Up

For information about creating an activity plan, see *Applications Administration Guide*.

Correspondence Set Up

For information on setting up correspondence, see the chapter on Correspondence in *Applications Administration Guide*.

Application Form Template Creation

For information on creating application form templates, see the section on creating proposal templates in *Applications Administration Guide*.

About Auto Application

Auto Application allows end users to create application records automatically from the Contact, Companies, and Products screens. End users access the Auto Application icon on the toolbar in those three screens.

Auto Application uses the Data Transfer Utility (DTU) business service to transfer fields from one view to other view. For more information on DTU, see ["Data Transfer Utilities \(DTU\)" on page 280](#).

NOTE: Previous versions of Siebel Financial Services used a workflow to automatically place three run-time events associated with Contact, Internal Products, and Account. The Auto Application Workflow has been retired and removed from the seed data. Instead of using workflow, the invocation is defined by seed data run-time events and action sets. See ["Verifying the Run-Time Event Data for Auto Application" on page 132](#) to learn how to set this up.

Verifying the Run-Time Event Data for Auto Application

For new Siebel Finance 7.7 installations, Auto Application is configured to automatically invoke the DTU business service through seed data run-time events and action sets. There are no additional steps you need to take to activate the function.

However, if you have upgraded from a previous version and you want to use the DTU invocation method, you should:

- 1 Verify the seed data run-time events and action sets.
- 2 Remove the Auto Application workflow.

To confirm you have the Siebel Finance 7.7 seed data

- 1 Navigate to Site Map > Administration - Runtime Events > Action Sets
- 2 Query for Action Sets named:
 - FINS DTU Auto
- 3 Select each record returned, and verify in the Actions list that only one action named "DTU" is listed.
 - If any additional actions are listed, deactivate them by deselecting the Active checkbox.
- 4 Select the Events view link.
- 5 In the Events list, query for Subevents named:
 - EventMethodAutoApplication
- 6 Check that the Action Set Name for each record returned is as shown in the following figure; make any adjustments as necessary.

Sequence	Object Type	Object Name	Event	Subevent	Action Set Name
-1	BusComp	Account	InvokeMethod	EventMethodAutoApplication	FINS DTU Auto Application - Account Action Set
-1	BusComp	Contact	InvokeMethod	EventMethodAutoApplication	FINS DTU Auto Application - Contact Action Set
-1	BusComp	Internal Product	InvokeMethod	EventMethodAutoApplication	FINS DTU Auto Application - Internal Product Action Set

- 7 Refresh the run-time event by selecting Reload Runtime Events from the Events menu.

To deactivate the auto application workflow

- 1 Navigate to Administration - Business Process > Workflow Deployment view.
- 2 In the Active Workflow Processes list, query for a workflow named:
 - Auto Application Workflow
- 3 If your query returns an active workflow, deactivate it using the Active Workflow Processes menu item "Deactivate Process."

Upgrade Notes to Continue Using Customized Version of Auto Application Workflow

If you wish to continue to use your customized version of Auto Application workflow you need to modify the actions in the actions sets to route the actions to the workflow.

To route actions to the Auto Application workflow

- 1 Navigate to Site Map > Administration - Runtime Events > Events List view.
- 2 In the Events list, query for Subevents named:
 - EventMethodAutoApplication
- 3 Delete the three run-time event records as shown in [Step 6](#) in ["To confirm you have the Siebel Finance 7.7 seed data" on page 133](#).
- 4 Upgrade the workflow and activate it. See *Siebel Business Process Designer Administration Guide* for details.
- 5 Check the run-time events by following [Step 4 - Step 6](#) in ["To confirm you have the Siebel Finance 7.7 seed data" on page 133](#). The action set names are not necessarily the same as described. They might be called something like Workflow XXX. Drill down into each action set.
- 6 For each action set, there should be one action item that invokes the Auto Application workflow you just activated. The action should be defined as shown in the following table.

Field	Value
Action Type	BusService
Business Service Name	Workflow Process Manager
Business Service Method	RunProcess
Context	"ProcessId", "42-4PVA1"
	The actual workflow process Id may be different.

- 7 If there are other items in the action list, deactivate them.
- 8 Refresh the run-time events by selecting Reload Runtime Events from the Events menu.

End-User Procedures for Applications

The following end-user procedures are described in this section:

- [Viewing and Creating Applications](#)
- [Managing Application Information](#)

- [Creating Small Business Loan Applications](#)
- [Processing Applications](#)

End users can create applications in a variety of ways, using various screens and views. Typically, they create applications using the Auto Application feature, or they navigate to the Applications screen to create a new application record and then fill in the required information.

Viewing and Creating Applications

The Siebel Finance Applications screen provides access to consumer and small-business applications. The Applications list displays information about applications, such as applicant address, phone number, and application stages. End users can use the Applications screen to locate, view, and update applications.

To access the Applications view from the Contacts screen

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the Applications view tab.
- 4 To view more detailed information about an application, in the Applications list, drill down on the application Name hyperlink.

To access the Applications view from the Companies screen

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, drill down on the desired company.
- 3 Click the Applications view tab.
The Applications list displays applications associated with the selected company.
- 4 To view more detailed information about an application, in the Applications list, drill down on the application Name hyperlink.

To create an application

- 1 Navigate to the Applications screen > Application List view.

- 2 In the More Info form, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Product Name	Indicates the product or products for this application.
Stage	Indicates the application status. This value changes according to the Method selection.

NOTE: Only those with the required administrative responsibilities, such as Siebel administrators, can set the Sales Stage and Sales Method values in the Siebel Assistant Administration screen, Sales Method view. For more information, see *Applications Administration Guide*.

Navigating Applications Using the Next Button

Siebel Finance allows end users to create an application with multiple products. When filling out an application with multiple products, end users can move from one view to the next view by clicking the Next button instead of selecting a view tab. Based on the views that have been set up for each specific application (for example, a savings account application or a mortgage loan application), Siebel Finance automatically navigates users to the views they need to fill in.

With the Next button functionality, users do not have to fill out the same view more than once, even if the same view appears in several product applications. For more information on creating multiple applications from performing needs analyses, see [Chapter 12, “Financial Needs Analyses.”](#)

NOTE: Only Siebel administrators can set up a Next Button Application Workflow. For more information, see [“Setting Up Application View Navigation”](#) on page 131.

To complete an application using the Next button

- 1 Navigate to the Applications screen > Application List view.
- 2 In the Applications list or form, create a new record and complete the appropriate fields.

NOTE: To use the Next button to navigate to another view, a product must be selected in the Product field in the Application form.
- 3 Click the Next button in the Applications form.

The next application view appears with the uncompleted fields required for the customer’s application.
- 4 Continue filling in application views and clicking the Next button in the Applications form.

Creating Applications Using the Auto Application Feature

The Auto Application feature is available in the following screens in Siebel Finance:

- Contacts
- Companies
- Products

End users can use the Auto Application feature to automatically create an application using information from the selected record. For example, in the Companies screen, end users can select the Auto Application option from the application-level menu (File > Auto > Application) to automatically create and populate the application using the information from the selected company.

To create an application using the Auto Application feature

- 1 Navigate to the Companies screen > Companies List view.
- 2 Select the company for which to create an application.

NOTE: If the company does not exist, add it. For more information on adding companies, see ["Adding Companies and Investors" on page 54](#).
- 3 Select Auto Application by doing one of the following:
 - Click the Auto Application icon in the upper left corner
 - From the application-level menu, choose File > Auto > Application

The first required Application view appears.
- 4 In the Product Name field in the Application form, click the select button, and then select a product for which to apply.
- 5 Complete the remaining Application fields using the Next button.

NOTE: You can also use the Auto Application feature from the Contacts and Products views.

Assigning Applications to Coworkers

After an application has been saved, an end user can assign an application to a coworker. The assignment can be done from the Applications screen by:

- Implementing an assignment button and using Siebel Assignment Manager. For more information on Assignment Manager, see *Siebel Assignment Manager Administration Guide*.
- Using the Approval business service. See ["Automating Approval Processing" on page 293](#).

NOTE: The application does not have to be complete to assign it.

Managing Application Information

In Siebel Finance, end users can capture the following types of applicant information:

- Details about the products in the application
- Details about the applicant
- Reference information
- Collateral information
- Mortgage information
- Documents submitted by applicants

NOTE: Typically, end users would click the Next button to move between views and capture this detail information. For more information, see ["Navigating Applications Using the Next Button"](#) on page 136 and ["Setting Up Application View Navigation"](#) on page 131.

Adding Product Detail Information

End users use Product Detail subviews to capture information about the products in the application. Siebel Finance supports multiple products under one application.

To add product detail information

- 1** Navigate to the Applications screen.
- 2** In the Applications list, drill down on an application.
- 3** Click the Account Setup view tab.
- 4** On the Account Setup list, select one of the following view links:
 - Account Funding
 - Account Services
 - Check Order
 - Credit Card
 - Debit card & CD
 - Loan Servicing
 - Loan Terms
 - Mortgage Detail
- 5** In the Product Detail list, select a product.
- 6** In the subviews, complete the necessary fields.

Adding Applicant and Guarantor Information

End users use the Applicant view to record the name and address information specific to the primary, secondary, and guarantor applicants.

The Applicant view has additional subviews to add other information about:

- Co-applicant
- Applicant and Co-applicant security
- Employment

NOTE: The Applicant Info and Applicant Security Info views show information on the primary applicant only. The Co-applicant Info and Co-applicant Security Info views show information on the rest of the applicants.

To add applicant information

- 1 Navigate to the Applications screen.
- 2 In the Applications list, drill down on an application.
- 3 Click the Applicant view tab.
- 4 In the Applicant Details list, add a record for all applicants.
- 5 In the Applicant Type field, select the appropriate applicant type:
 - Primary
 - Secondary
 - Guarantor
 - Joint
 - Authorized Signer
- 6 Complete the necessary fields for each applicant.

To create an updated statement

- 1 Navigate to the Applications screen.
- 2 In the Applications list, drill down on an application.
- 3 Click the Applicant view tab.

- 4 In the Applicant list, click Create Statements.

If the applicant has an existing financial statement, then the Siebel application copies the latest financial statement into the Consumer Detail view.

Financial statements are automatically created for the applicant and co-applicant. These statements are used in the Consumer Detail view, as described in ["Adding Consumer Detail Information" on page 140](#).

NOTE: The Create Statements button only performs this function if the applicant has an existing financial statement.

Adding Consumer Detail Information

From the Consumer Detail view in the Applications screen, end users can create or view one of many financial statements for a customer. In Siebel Finance the Financial Statement is used to manage consumer detail information. A financial statement is a snapshot of customer condition at a certain point in time.

For example, a customer applies for a product today; the end user creates a financial statement with all customer detail, such as income sources, assets, and liabilities. If the customer applies for another product in three months, the end user can pull the same financial statement, and Siebel Finance will prefill all customer details. The end user can then ask the customer if that information has been changed since the last time. If the information has been changed, the end user can make a copy of the old Financial Statement and modify it. Using the copied financial statement, the end user does not need to type the consumer information again.

To add consumer detail information

- 1 Navigate to the Applications screen.
- 2 In the Applications list, drill down on an application.
- 3 Click the Consumer Detail view tab.
- 4 From the Consumer Detail link list, select the following subviews:
 - **Credit Information.** Records credit information for all applicants.
 - **Income & Expenses.** Records income and expense information about the primary and secondary applicants.
 - **Assets & Liabilities.** Records the current asset holding and liabilities of all applicants.
 - **Real Estate.** Records applicant real estate holdings.
 - **Residence Information.** Records residency information for all applicants.
- 5 In the Financial Statements list, select an existing statement or add a new one.
- 6 In each subview list or form, add records and add additional details as necessary.

Adding Reference Information

Some product applications require reference information from the applicant. Users can use the Reference view to capture this information.

To add reference information

- 1 Navigate to the Applications screen.
- 2 In the Applications list, drill down on an application.
- 3 Click the Reference view tab.
- 4 In the Reference list, complete the necessary fields.

Adding Collateral Information

End users can use the Real Estate Collateral, Vehicle Collateral, and Other Collateral views to track collateral information. For consumer loans, collateral typically consists of real estate, automobiles, bonds, and cash.

To add collateral information

- 1 Navigate to the Applications screen.
- 2 In the Applications list, drill down on an application.
- 3 Click one of the following view tabs:
 - Real Estate Collateral
 - Vehicle Collateral
 - Other Collateral
- 4 In the collateral list, add a record and complete the necessary fields.

NOTE: To select collateral to add to the application, the collateral must first be defined as an asset in the Financial Position view. For more information about adding assets, see [“Adding Consumer Detail Information” on page 140](#).

Reviewing Product Disclosure Information

As part of the application process, an agent is required to read general and product disclosure to customers and record whether or not customers have read and understood them. Using the Compliance view, end users can record this information.

To capture a product-specific disclosure, please see [“Automating the Display of Disclosure Documents” on page 297](#).

To capture general disclosure information

- 1 Navigate to the Applications screen.
- 2 In the Applications list, drill down on an application.
- 3 Click the Compliance view tab.
- 4 In the disclosure form, complete the necessary fields.

Reviewing Closing Requirements

The agent should review closing requirements before submitting the application. The closing requirement lists all requirements that the customer needs to provide or agents need to do before the product application can be processed further and closed.

Please see ["Requirements Manager" on page 256](#) to set up the Closing Requirements view.

Managing Documents

After the agent captures all information on the application, he can then generate a custom application form with application data already prefilled by Siebel Finance. He can also attach any additional documents related to the application and send any required correspondence to the customer.

End users may use the following subviews under the Application Document view to manage documentation related to applications:

- **Attachment.** Attach additional documents related to an application.
- **Correspondence.** Capture correspondence information including template, recipients, and enclosures. For more information on setting up and generating correspondence, see *Applications Administration Guide*.
- **Documents.** Produce custom application form with data prefilled from the Siebel database. For more information on setting up and generating proposals, see *Applications Administration Guide*.

Creating Small Business Loan Applications

To create a small business loan application, end users need to record the following customer information:

- **Business Details.** Records the business name, address, and contact information as well as asset information, liabilities, income statements, and cash flow. For more information, see ["Adding Business Details" on page 143](#).
- **Applicant Information.** Captures personal information about the primary, secondary, and principle loan applicants. For more information, see ["Adding Applicant and Guarantor Information" on page 139](#).

- **Guarantor and Applicant Employment Details.** Captures loan guarantor information and applicant employment, income, assets, and liabilities information. For more information, see ["Adding Consumer Detail Information"](#) on page 140.
- **Unique Product Features and Terms.** Records unique loan features or terms. For more information, see ["Recording Unique Features and Terms"](#) on page 143.
- **Business Services.** Manage business service information for an application. For more information, see ["Managing Business Services Information"](#) on page 144.

NOTE: Typically, users would click the Next button to move between views and enter this customer information. To create an application view navigation, a Siebel administrator would need to create a view workflow that follows the views described in this section. For more information, see ["Navigating Applications Using the Next Button"](#) on page 136 and ["Setting Up Application View Navigation"](#) on page 131.

Adding Business Details

End users use the Business Details view to track detailed information about a business applying for a small business loan. Siebel Finance automatically populates some of the information in this view from Companies Profile view tab. In addition to the business profile information, users use this view to capture financial information such as income statement, balance sheet and cash flow statement.

To add small business details

- 1 Navigate to the Applications screen.
- 2 In the Applications list, drill down on an application.
- 3 Click the Business Detail view tab.
- 4 From the Business Detail link list, select the following subviews, and complete the necessary fields:
 - **Business Profile.** Records the business name, phone numbers, and addresses.
 - **Assets.** Captures company asset information, including cash, accounts receivable, inventory, fixed assets, and depreciation values.
 - **Liabilities.** Records company liabilities such as accounts payable, long term debt, noncurrent debt, capital stock, and retained earnings and treasury.
 - **Income Statement.** Captures income information such net sales, cost of goods sold, other income, expenses, interest, depreciation, taxes, dividends, and adjustments.
 - **Cash Flow.** Records cash flow statements based on customer balance sheet and income statement information.

Recording Unique Features and Terms

End users use the Loan Terms subview to record special features and terms about the small business loan.

To record loan features and terms

- 1 Navigate to the Applications screen.
- 2 In the Applications list, drill down on an application.
- 3 Click the Account Setup view tab.
- 4 From the link list, select Loan Terms.
- 5 In the Loan Terms list, select a product.
- 6 In the Loan Terms form, complete the necessary fields.

Managing Business Services Information

End users can use the Business Services views in the Applications screen to add, modify, copy, or delete business service application information.

To add business services

- 1 Navigate to the Applications screen.
- 2 In the Applications list, drill down on an application.
- 3 Click the Business Services view tab.
- 4 In the Business Services list, from the link list, select one of the following subviews:
 - Business Payroll
 - Business Tax Service
 - Merchant Card Accepted
 - Merchant Card Location
 - Merchant Card Services
- 5 In the list for the associated subview, select a business service product.
- 6 Complete the necessary fields.

Processing Applications

Once the application information is captured in [“Managing Application Information” on page 138](#) and [“Creating Small Business Loan Applications” on page 142](#) and submitted, the processing agent or underwriter may perform any of the tasks described in the following sections to process an application:

- [“Viewing Assigned Applications” on page 145](#)
- [“Assessing Applications” on page 145](#)
- [“Ordering and Viewing Reports” on page 146](#)

- “Viewing Decisions on Applications” on page 146
- “Capturing Regulation C Compliance Information” on page 146
- “Adding Closing Activities” on page 147
- “Creating and Modifying Trailing Documents” on page 147
- “Creating Notes About Applications” on page 148

NOTE: Typically, end users would click the Next button to move between views and process the application. To create an application view navigation, a Siebel administrator would need to create a view navigation for processing an application. For more information on setting up an application view workflow, see “Setting Up Application View Navigation” on page 131.

Viewing Assigned Applications

After users have been assigned an application for processing, they can view their applications in the My Applications list.

Application assignment can be done from the Applications screen by:

- Implementing an assignment button and using Siebel Assignment Manager. For more information on Assignment Manager, see *Siebel Assignment Manager Administration Guide*.
- Using the Approval business service. See “Automating Approval Processing” on page 293.

To view assigned applications

- 1 Navigate to the Applications screen.
- 2 From the visibility filter, select My Applications.

The Applications list appears displaying the applications that are assigned to the current user.

Assessing Applications

Application assessment is done by using:

- **Assessment view.** The processing agent or underwriter can use the Application Assessment view to make application assessments as to whether or not the application should be approved. For more information on assessment templates, see *Applications Administration Guide*.
- **Integration to decisioning system using Siebel integration method.** You can configure integration to a legacy system or a decisioning system. For more information, see *Overview: Siebel eBusiness Application Integration Volume I*.

Ordering and Viewing Reports

During the processing of an application, the processing agent or underwriter might need to order reports such as appraisal or credit report. The agent can use the Report view to order such reports.

To enter report information

- 1 Navigate to the Applications screen.
- 2 In the Applications list, drill down on an application.
- 3 Click the Reports view tab.
- 4 In the Report list, create a new record and complete the necessary fields.
- 5 Scroll down to the Report Detail list and enter detail information for the selected report.

NOTE: See *Overview: Siebel eBusiness Application Integration Volume I* for information on how to integrate Siebel Finance with third-party systems such as a credit bureau system to automatically prepopulate the fields.

Viewing Decisions on Applications

The processing agent or underwriter can use the Decisioning views to see decisioning information from the back-end or decisioning system. End users see the financial and product information by accessing:

- Decided Financial view to view insurance, fees, and cost borrowing information.
- Decided Product view to view to see the approved product terms and conditions.

NOTE: These views are virtual business components and need to be configured before they can be used. For more information, see ["Setting Up Household Financial Accounts Virtual Business Components"](#) on page 106.

Capturing Regulation C Compliance Information

If the loan is declined, the processing agent or underwriter needs to enter the reason of the decline for regulation C reporting. The agent uses the Regulation C view to capture the information.

To enter regulation C information

- 1 Navigate to the Applications screen.
- 2 In the Applications list, drill down on an application.
- 3 Click the Compliance view tab.
- 4 In the Compliance list, select the Regulation C Information view link.
- 5 In the Product list, select the product that is being declined.

- 6 In the Regulation C Information form, complete the necessary fields.

Adding Closing Activities

End users use the Closing Activities view to record all closing activities associated with the currently selected application.

For more information on activities and activity plans, see [Chapter 9, "Activities."](#)

To add closing activities associated with an application

- 1 Navigate to the Applications screen.
- 2 In the Applications list, drill down on an application.
- 3 Click the Closing Activities view tab.
- 4 In the Activities list, add a record and complete the necessary fields.

Creating and Modifying Trailing Documents

Some applications, such as those for mortgages, require extensive documentation from the applicants. End users can use the Trailing Documents view to track documents to be provided by the applicants. After they set the target date for a trailing document, Siebel Finance, with the help of business processes, creates activities to remind them to call the applicant to provide the necessary document, expediting the approval process.

NOTE: For more information on setting up a workflow, see *Siebel Business Process Designer Administration Guide*.

To add trailing documents

- 1 Navigate to the Applications screen.
- 2 In the Applications list, drill down on an application.
- 3 Click the Closing Activity view tab.
- 4 Select the Trailing Documents view link.
- 5 In the list, add a record for each trailing document to track.

To view outstanding trailing documents

- Navigate to Applications > My Outstanding Documents view.

Creating Notes About Applications

As the processing agent or underwriter works with an application, they might want to enter notes about the application. End users can create notes that everyone with access to the application record can see, or they can create notes that only they can see.

To create a note regarding an application

- 1** Navigate to application > Application List view.
- 2** In the Application list, drill down on the desired application.
- 3** Click the Notes view tab.
- 4** From the Notes link view bar, select one of the following:
 - Public Notes. Notes that others can see.
 - Private Notes. Notes that only their creators can see.
- 5** In the Notes list, add a record and complete the necessary fields.

TIP: Click [Check Spelling](#) to check the spelling in your note.

14 Commercial Loans

This chapter presents the procedures necessary to create, maintain, and process a commercial loan request in Siebel Finance. The commercial loan request process involves navigating through a series of screens used to capture client and facility information. Loan officers, credit committee team officers, and administrators are the primary users.

Using the procedures given in this chapter, you will be able to perform the administrator tasks of defining assessment templates, activities plans, documents templates, commercial loan approval stages, the contacts required to approve a commercial loan, portfolio types for a commercial loan, and underwriting standards.

End users are commercial loan and credit committee officers. Commercial loan officers will use the procedures in this chapter to:

- Create new commercial loan requests
- Create additional borrowers for a loan
- Create a facility
- Associate facilities with borrowers
- Create bank syndication for a facility
- Set the pricing and fees for a facility
- Capture the guarantors for a facility
- Create covenants for a facility
- Copy covenants to a facility
- Set up collateral for a facility
- Create and review policy exceptions for borrowers and facilities
- Review group lending exposure
- Review underwriting standards
- Submit a loan request to a credit committee

Credit committee officers will use the procedures in this chapter to:

- Check and review the data in a loan request
- Make decisions on a loan request
- Assign a loan request to the next person on the credit committee

Scenarios for Loan Requests

These scenarios feature sample tasks performed by a financial institution's applications administrator and commercial bankers. Your company may follow different workflows according to its business requirements.

In these scenarios, the applications administrator is responsible for setting up approval stages and underwriting standards. He requires administrative responsibilities to:

- Set up an assessment template and activities plan
- Create a document template
- Set up an approval level
- Define portfolio types and underwriting standards

End users are loan officers and credit administrators. They enter information to:

- Create a loan request
- Create a facility for borrowers
- Attach a company and financial needs analysis to the loan request
- Choose a loan approval level
- Assign the loan request to a credit committee

Administrator Sets Up Approval Stages and Underwriting Standards

An administrator receives a request to set up two new loan approval stages and add a new underwriting standard for a chemical portfolio. The request specifies that a loan smaller than one million dollars requires two approval stages, whereas a loan larger than one million dollars requires three approval stages. The administrator sets up the following two approval levels:

- Level A for a loan less than one million
- Level B for loans greater than one million

He also sets up the individuals who are responsible for approving each stage of the loan. Finally, the administrator sets up the new underwriting standard.

Loan Officer Creates New Loan Request

A loan officer receives a call from a chemical company that wants to borrow 1.25 million dollars for working capital. She creates a new loan request and then sets up a working capital facility. The officer determines the price and fees, collateral, covenants, and policy exceptions for this facility. She then attaches the company analysis and financial statement to the loan request.

When the loan officer chooses the chemical portfolio, the underwriting standard that is set by the administrator automatically appears. The loan officer chooses approval level B for the loan and selects the credit committee name for each stage.

Credit Committee Officer Reviews Loan Request

A credit committee officer reviewing her loan requests sees that there is a loan request in the queue waiting for her approval. She reviews the loan request details and the attachments that contain company and financial analysis. She decides to approve the credit. After adding her decision and comments to the loan request, the credit committee officer sends the request to the next credit committee officer for the officer's approval.

Credit Administrator Sets Up Capital Facility

A credit administrator looks at his queue and sees that one request has been approved. The administrator prints the credit summary with the decision and adds it to the company's credit file. The administrator then sets up the working capital facility that has been approved.

Administrator Procedures for Commercial Loans

The following administrator topics are presented in this section:

- "Activating Loan Request Workflows" on page 151
- "Assessment Templates for Loan Approvals" on page 152
- "Activities Plan for Loan Requests" on page 152
- "Document Template for Loan Requests" on page 152
- "Setting Up Approval Levels" on page 152
- "Setting Up Portfolio Types for Commercial Loans" on page 153
- "Associating Facilities with Financial Accounts" on page 155

Activating Loan Request Workflows

There are two workflows which must be activated for the commercial loan processes to work correctly.

To activate the commercial loan request workflows

- 1 Navigate to View > Site Map > Administration - Business Process > Workflow Deployment.
- 2 In the Repository Workflow Processes list, use a query to find all processes where the Name begins with FINS Commercial Loan.

NOTE: You can query on "FINS Commercial Loan."
- 3 Activate each of the two workflows processes listed.
 - a Select the workflow process record.
 - b Click Activate.

- 4 To verify that the workflow is active:
 - a In the Active Workflow Processes list query for Name = FINS Commercial Loan.
 - b Confirm the value in the Deployment Status field = Active.
- 5 Navigate to Administration - Runtime Events > Events view.
- 6 From the menu, select Reload Runtime Events.

Assessment Templates for Loan Approvals

The assessment template must be set up so that end users can assess loan requests to determine whether they need to go through the approval process. Some loan requests, with adequate assessment scores, may not be required to go through the approval stages. After an administrator sets up the assessment templates, end users can select the appropriate one and enter the answer for each attribute. Based on the answers, the final score is calculated.

For more information on setting up an assessment template, see *Applications Administration Guide*.

Activities Plan for Loan Requests

The activities plan must be set up so that end users can accomplish and coordinate complex tasks. The activities plan creates a set of activities for the loan request. The end user can select a particular activities plan template and let the Siebel application execute or prompt the user for those activities.

For more information about creating an activity plan, see *Applications Administration Guide*.

Document Template for Loan Requests

The document template must be set up so that end users can print a prefilled document. After the administrator sets up the document templates, end users can select the appropriate template, which is automatically populated with information from the Siebel Finance database.

For more information on creating document form templates, see the section on creating proposal templates in *Applications Administration Guide*.

Setting Up Approval Levels

Siebel Finance supports an automated commercial loan approval process. The administrator is responsible for setting up a financial institution's approval levels and the corresponding approval stages. For example, an administrator may set two approval levels: one for commercial loans under one million dollars, the other for commercial loans over one million dollars. The approval level assigned to a loan request depends on the details of the loan.

To set up the approval level for a commercial loan

- 1 Navigate to Administration - Finance > Commercial Loan.
- 2 Click the Approval Administration view tab.
- 3 To create a new approval level, add a record in the Approval Level list, and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Approval Level	Name for the approval level.
Description	Describes which loans should be used with the approval level.

- 4 To add an approval stage, add a record in the Approval Administration list, and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Executive	Indicates the contacts to add to the approval stage.
Stage #	Shows the stage number.

NOTE: To modify an existing approval level, in the Approval Level list, select a record and update the associated records in the Approval Administration list.

Setting Up Portfolio Types for Commercial Loans

Using the Portfolio Administration view, administrators can set up the commercial loan portfolios that are used to group similar types of commercial loans. For example, an administrator may set up Automobile, Manufacturing, and Chemical portfolio types.

In this view the administrator can also set the limit and utilization of each portfolio type. For example, an administrator may set the limit for an automobile portfolio at 100 million dollars. As a result, the organization’s combined loan total for the automobile industry should not exceed 100 million. The utilization captures how much the bank already lends to the automobile industry.

After the appropriate portfolios are set up, end users can then review the portfolios in the Request Summary view to see the financial institution’s exposure in each industry.

To set up a commercial loan portfolio

- 1 Navigate to Administration - Finance > Commercial Loan.
- 2 Click the Portfolio Administration view tab.

- 3 To create a new portfolio type, add a record in the Loan Portfolio Type list, and complete the necessary fields.

NOTE: To modify an existing portfolio, in the Portfolio Administration list, select a record. Update the record as needed.

Some fields are described in the following table.

Field	Comments
Limit	Financial organization’s limit for combined commercial loans in this portfolio.
Portfolio Type	Name for the portfolio.
Utilization	Captures the current exposure of the financial organization within the portfolio.

After setting up the appropriate portfolios for commercial lending, administrators can add underwriting standards to the portfolios. These standards are used by the credit committee when determining whether to finance the loan. An example of a portfolio underwriting standard is a leverage of less than 30% for a software portfolio.

The values in this view are displayed in the Portfolio Administration view tab.

To set up a commercial loan underwriting standard

- 1 Navigate to Administration - Finance > Commercial Loan.
- 2 Click the Portfolio Administration view tab.
- 3 In the Loan Portfolio Type list, select a portfolio for which to set up an underwriting standard.
- 4 In the Portfolio Administration list, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Definition	Definition of the standard; for example, loan to value or collateral value.
Standard	Standard set by the bank.
Type	Type of underwriting standard used for the loan request; for example, Coverage, Leverage, or Team.

Associating Facilities with Financial Accounts

After a facility is approved, administrators can use Siebel Finance to create a facility in the Financial Account screen. After the financial account for the approved facility is created, the administrator must also associate the new financial account with the approved facility. This makes certain that the next time a user chooses the approved facility, the loan information will automatically be populated from the financial account screen. The administrator can also set the status of the facility in this view. If the facility is closed, the administrator must change the status to Closed so that the facility is not available for end users to select.

To associate a facility with a financial account

- 1 Navigate to Administration - Finance > Commercial Loan.
- 2 Click the Facility Financial Account Administration view tab.
- 3 In the Financial Account/Facility Association list, select the status for the facility in the Status field.
NOTE: If the financial account does not exist, add it. For more information about adding a financial account, see Chapter 10, "Financial Accounts."
- 4 In the Account Number field select the financial account number to associate with the facility.

End-User Procedures for Commercial Loans

The following end-user procedures are described in this section:

- "Creating Commercial Loan Requests" on page 156
- "Setting Up Facilities" on page 158
- "Syndicating Facilities" on page 158
- "Setting Pricing and Fees for Facilities" on page 159
- "Adding Guarantors to Loan Facilities" on page 159
- "Adding Covenants to Facilities" on page 159
- "Adding Collateral to Loan Facilities" on page 160
- "Creating Policy Exceptions" on page 161
- "Reviewing Underwriting Standards for Loan Requests" on page 162
- "Entering Credit Decisions for Commercial Loans" on page 162
- "Assigning Loan Requests" on page 163

Creating Commercial Loan Requests

End users can create a loan request using one of the following views:

- Companies screen, Loan Request view
- Commercial Loan screen, Requests view

The Siebel Finance Commercial Loan screen provides access to commercial loan requests. The Requests list displays information about the request, such as company name, request stage, and lending information. End users can use the Commercial Loan screen to locate and update the requests that they create.

To create a commercial loan request

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list or form, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Name	Descriptive name to identify the request.
Request Method	Indicates the loan request type, such as Business Loan Application or Credit Card Application.
Request Stage	The values displayed in the Request Stage field drop-down list depend on the request type chosen in the Request Method field.
Team	Organization's contacts that have access to the commercial loan request.

After creating a loan request, end users can begin adding the details that are used to make loan decisions. The Borrower Detail view is used to show the profile details of each borrower, such as business, location, and year established. The Borrower Detail information is automatically populated using the information in a company's profile. As a result, end users should first navigate to the Companies view and update the profile of the borrower.

For more information about updating a company profile, see [Chapter 5, "Companies."](#)

To add borrower details to a loan request

- 1 Navigate to the Commercial Loan screen.
- 2 In the Requests list, drill down on a commercial loan request.
- 3 The Borrower Detail view appears.
- 4 In the Request Borrower list, select a borrower to which to add details.

- 5 Scroll down to the Public Rating list, add a record, and complete the necessary fields. Some of the fields are described in the following table.

Field	Description
Source	Source of the ratings information such as Moodys.
Rating	The rating level, such as AAA.
Debt Type	Indicates whether long term or short term debt.

The Request Summary view is used to capture key credit decisions and approval stages for loan requests. This view is also used to capture decisions from credit committees.

To associate an approval level with a loan request

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 In the Request form, select the approval level to associate with the loan request in the Approval Level field.

NOTE: To set up an approval level, see ["To set up the approval level for a commercial loan" on page 153.](#)

- 4 Click the Request Summary view tab.

The Decision list at the bottom of the screen is populated with the stages associated with the approval level, as set up by the administrator.

- 5 In the Decision list, select officers for each stage, if necessary.
- 6 To start the loan approval process, select the record for the first approval stage in the Decision list, and click Assign.

The Team field in the Request form displays the selected officer's name. This makes the record visible to that officer.

NOTE: For more information about assigning a loan, see ["To assign a loan request to the next credit committee officer" on page 163.](#)

The Request Summary view is also used to manage credit issues associated with a loan request.

To create or modify a credit issue for a commercial loan request

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Request Summary view tab.
- 4 In the Key Credit Issues list, add a record and complete the necessary fields.

Setting Up Facilities

The Facility Set Up view allows end users to associate the borrowers of a commercial loan request with a corresponding facility. When end users create new records in the loan facility list, an Association dialog box displays all facilities under the company group name. The user can select an existing facility for a facility that is renewed or create a new one for a new facility. To share one facility between two companies, the user can highlight the first company and create a new facility. Then the user can highlight the second company and associate the same facility with this second company.

To create a new facility and associate a borrower

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Facility Set Up view tab.
- 4 In the Borrower list, select a borrower.
- 5 To create a new facility for the borrower, scroll down to the Loan Facility list, add a record, and complete the necessary fields.

NOTE: When an existing facility is selected, some fields in the Facility Set Up views are automatically populated using information in the Financial Account screen. Additionally, when you select an existing facility, all other information related to this facility, such as prices, fees, and covenants, is copied over to the new request.

Syndicating Facilities

In some instances, the facility requested by a customer may exceed the maximum amount that an organization can handle. In these cases, end users can syndicate the loan to spread the loan facility among other organizations.

To syndicate a facility

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Facility Syndication view tab.
- 4 In the Borrower list, select a borrower.
- 5 In the Loan Facility list, select a facility for the borrower.
- 6 In the Bank Syndication list, add a record and complete the necessary fields.

Setting Pricing and Fees for Facilities

End users can use the Pricing and Fees view to set up the pricing and fees for facilities. For example, an organization may charge a setup fee for each facility created. The end user can use the Fees list to add a fee.

The prices and fees that appear in the Pricing and Fees view are populated automatically with data from the products that the administrator has set up. For more information on creating new products, see [Chapter 17, "Products and Pricing,"](#) or see *Product Administration Guide*.

To set the pricing and fees for a facility

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Pricing and Fees view tab.
- 4 In the Borrower list, select a borrower.
- 5 In the Loan Facility list, select a facility for the borrower.
The Rates list and the Fees list are automatically updated.
- 6 To add a new rate, add a record in the Rates list, and complete the necessary fields.
- 7 To add a new fee, add a record in the Fees list, and complete the necessary fields.

Adding Guarantors to Loan Facilities

Some borrowers may use a guarantor to secure a commercial loan. Using the Guarantors view, end users can add guarantors to a loan facility.

To add a guarantor to a loan facility

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Guarantors view tab.
- 4 In the Borrower list, select a borrower.
- 5 In the Loan Facility list, select a facility for the borrower.
- 6 In the Guarantors list, add a record and complete the necessary fields.

Adding Covenants to Facilities

Using the Covenants view, end users can associate facilities with covenants. For example, an organization may require a borrower to submit a financial statement every quarter. This type of requirement can be created and managed in the Covenants view.

To add a covenant to a facility

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Covenants view tab.
- 4 In the Borrower list, select a borrower.
- 5 In the Loan Facility list, select a facility for the borrower.
- 6 In the Covenants list or Covenant Detail form, add a record and complete the necessary fields. Some fields are described in the following table.

Field	Description
Covenants Type	Select Coverage or Leverage.
Current	The current value of the covenant.
Proposed	The proposed value for the client to comply with the covenant.
Definition	Brief description of the covenant.
Measurement	Measurement used to define the covenant, such as month or year.
Operand	Operand used to define the covenant conditions. For example, <, >, =.

To copy existing covenants from one facility to another

- 1 Select the facility that has the covenants to be copied.
- 2 In the Covenants list, click Apply To Facility.
- 3 In the Pick Loan Facility dialog box, select the facility to which the covenants are to be added, and click OK.

Adding Collateral to Loan Facilities

Some borrowers may use collateral to secure a commercial loan. Using the Collateral view, end users can add collateral to a loan facility.

To add collateral to a loan facility

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Collateral view tab.
- 4 In the Borrower list, select a borrower.
- 5 In the Loan Facility list, select a facility for the borrower.

- 6 In the Collateral list, add a record and complete the necessary fields.

Creating Policy Exceptions

After setting up the loan details and adding all the necessary information to make a decision, end users can review loans and determine whether the loan request conforms to all of the organization's standard policies. If it does not, a policy exception can be created to explain.

Policy exceptions can be created at one of the following three levels:

- Loan request level
- Borrower level
- Facility level

To create a policy exception at the loan request level

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Request Detail view tab.
- 4 Scroll down to the Request Policy Exceptions list and add a record.
- 5 In the Type field, select a type of exception to add.
- 6 In the Comments field, type a detailed explanation for the policy exception.

To create a policy exception at the borrower level

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Policy Exception view tab.
- 4 In the Borrower list, select a borrower.
- 5 In the Borrower Policy Exception list, add a record and complete the necessary fields.
- 6 In the Comments field, type a detailed explanation for the policy exception.

To create a policy exception at the facility level

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Policy Exception view tab.
- 4 In the Borrower list, select a borrower.
- 5 In the Loan Facility list, select a facility for the borrower.

- 6 In the Loan Facility Policy Exception list, add a record and complete the necessary fields.
- 7 In the Comments field, type a detailed explanation for the policy exception.

Reviewing Underwriting Standards for Loan Requests

Before submitting a loan request, loan officers must determine whether the request conforms to the organization's underwriting standard.

To review an underwriting standard

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 In the Request form, select a portfolio to which the borrowers belong in the Portfolio field.
- 4 Click the Request Detail view tab.

The Underwriting Standard list is populated with the standard for the selected portfolio.

- 5 Update the fields as needed.

NOTE: To enter the underwriting standard for a portfolio, see ["To set up a commercial loan underwriting standard" on page 154](#).

Reviewing Group Exposure

End users can use the Exposure Summary view to display the combined loan total given to an organization and all its subsidiaries.

To review the group exposure

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Exposure Summary view tab.

The Group Exposure list is populated with information from the Financial Account screen. If this list does not display any records, make sure that a financial account is associated with the company group name.

Entering Credit Decisions for Commercial Loans

After reviewing a loan, credit committee officers can use the Request Summary view to enter their decisions about the loan.

To enter a credit decision for a commercial loan

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Request Summary view tab.
- 4 Scroll down to the Decision list and select a record for the decision.
- 5 In the Decision field, select Approved, Counter Offer, or Decline.
- 6 In the Comments field, type a detailed description of the decision.

Assigning Loan Requests

After a credit committee officer enters a decision about a loan request, the end user can assign the request to the next credit committee officer.

To assign a loan request to the next credit committee officer

- 1 Navigate to the Commercial Loan screen.
- 2 From the Show drop-down list, select My Requests.
- 3 In the Request list, drill down on a commercial loan request.
- 4 Click the Request Summary view tab.
- 5 In the Decision list, select the next credit committee officer, and click Assign.

15 Collections

The chapter is about collections. It includes the following topics:

- “About Collections” on page 165
- “Scenario for Collections” on page 166
- “Administering Collection Campaigns” on page 166
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- “Recording Skip Trace, Legal, and Bankruptcy Information” on page 168

About Collections

Collection is the process of collecting money from customers who are delinquent or are unable to make a payment by a specified date. Collection is one of the most important components of the lending cycle and can dramatically affect a company’s bottom line. Those accounts that company is unable to collect on must be written off in the end, which reduces the company’s profit.

A collection system allows a company to identify delinquent accounts and arrange them into predefined lists so call center agents can follow up and obtain payment. Many companies group delinquent accounts into three or more buckets, for example, 30 days, 60 days, and 90 days.

Each bucket results in a different series of actions. For example, accounts in the 30 days bucket might receive a letter reminding them to pay the outstanding balance. Accounts in the 60 days bucket, however, might get a call from a collection agent to discuss the balance and payment scenarios.

Using Siebel Finance, administrators can query and create lists of delinquent accounts based on the number of days the account has been delinquent. Companies can also use Siebel Finance in conjunction with third party systems. For example, if a company uses a third party system to track delinquent accounts, users can take lists generated by these systems and use Siebel Finance to execute collection activities.

Using the procedures given in this chapter, you will be able to do collections activities such as viewing summary information about delinquent accounts, executing collection call, and recording skip trace, bankruptcy, and legal information related to delinquent Accounts.

End users use Siebel Finance to view summary information about delinquent accounts, execute collection campaigns, and record skip trace, bankruptcy, and legal information related to delinquent accounts.

You can save time and reduce keystrokes by using a workflow to automate steps that are repeatedly performed by end users. For more information, see *Siebel Business Process Designer Administration Guide for Financial Services*.

Scenario for Collections

The following business scenario features sample tasks performed by a Siebel administrator and a collection agent. Your company may follow a different workflow according to its business requirements.

Siebel Administrator Checks for Delinquent Accounts

A Siebel administrator at a bank can use Siebel Finance to monitor accounts that are 60 days delinquent and create a list of delinquent accounts. The administrator can then assign these accounts to his team for collections follow up.

Bank Collection Agent Contacts Customers

A bank collection agent is calling customers whose accounts are 60 days delinquent. Prior to making her first call, she accesses the Collection Summary view to learn more about the customer's financial accounts and payment history. Her first call is to a customer who is 60 days delinquent on a home equity loan. The collection agent views additional information by drilling down on the Account # hyperlink.

Using an automatic dialer, the collection agent calls the customer. Once the call connects, the collection agent uses the call guide and summary information to explain the purposes of the call. The customer explains his situation to the collection agent and mentions scheduling a payment so the collection agent navigates to the Payment Promises view to record the promise. In this view, she can select several promises options, including single, two part, or long term. She can also enter the promises amount and promises date. The collection call ends.

In this scenario, an administrator is responsible for administering Siebel Finance and requires administrative responsibilities to:

- Generate a list of delinquent accounts from either Siebel financial accounts, legacy systems, or Siebel Analytics

End users are collection agents. They enter information to:

- View summary information about delinquent accounts
- Execute collection campaigns by contacting customers having accounts that are past due and recording customer responses and payment promises
- Record skip trace, bankruptcy, and legal information related to delinquent accounts

Administering Collection Campaigns

Siebel administrators can create a list of customers with delinquent accounts by querying the Siebel Finance database, or by importing an external list from a third-party application.

As a Siebel administrator, you can generate a delinquency list by:

- **Setting up a workflow.** Set up a workflow to monitor the number of days accounts are past due and assign those accounts to a specific queue or agent. For more information, see *Siebel Business Process Designer Administration Guide*.
- **Using Siebel Analytics Server.** Use Siebel Analytics Server to track past due accounts and then import the list to the Siebel database. For more information, see *Siebel Analytics Server Administration Guide*.

End-User Procedures for Collections

The following end-user procedures are described in this section:

- [“Reviewing Delinquent Accounts” on page 167](#)
- [“Executing Collection Campaigns” on page 168](#)
- [“Recording Skip Trace, Legal, and Bankruptcy Information” on page 168](#)

Reviewing Delinquent Accounts

Prior to actually calling an account in a collection campaign, end users can use the Collection Summary and Promises Summary views to review historical information about an account.

To view collection summary information from the Campaigns screen

- 1 Navigate to the Contacts > Contacts List view.
- 2 Drill down on the Last Name field hyperlink.
- 3 Click the Collection Summary view tab.

The following table describes the types of information appearing in the Collection Summary view.

Summary	Comments
Financial Accounts	Displays a list of financial accounts associated with the selected contact.
Financial Account Detail	Displays details about the account selected in the Financial Accounts list.
Situation Summary	Displays collection information, such as past payment promises, about the currently selected delinquent account.
Campaigns	Displays a list of campaigns associated with the currently selected contact.

- 4 To view additional information drill down on the Account # in the Financial Accounts list to access the Financial Account screen.

5 Drill down on the Account # again and click the Promises Summary view tab.

NOTE: End users can also access the Promises Summary view tab directly from the Financial Accounts screen. Navigate to the Financial Accounts screen, select a financial account, and then click the Promises Summary view tab.

The Situation Summary view displays a brief history of collection information about the currently selected financial account. To view even more detailed collection information, users can access the Promises Summary view.

Executing Collection Campaigns

Once end users have reviewed background information about a financial account, they can start the collection campaign by calling the customer. For more information on viewing the Collection Summary and Promises Summary, see ["Reviewing Delinquent Accounts" on page 167](#).

To execute a collection campaign

- 1 Navigate to the Contacts screen.
- 2 In the Contacts list, drill down on the last name of a contact with a delinquent account.
- 3 Click the Collection Summary view tab.
- 4 Call the customer.

For more information, see *Siebel Communications Server Administration Guide*.

- 5 In the Financial Accounts list, drill down on the Account #.
The Financial Accounts screen appears.
- 6 Drill down on the Account # again and click the Activities view tab.
- 7 Create an activity record to record the customer's response to the collection call.
- 8 If the customer makes a payment promise, click the Service Requests view tab.
- 9 In the Service Requests list, add a record and complete the following fields:
 - In the type field, select Bank.
 - In the Area field, select Payment Promises.
- 10 In the Service Requests list, drill down on the SR # hyperlink.
- 11 Select the Payment Promises view link and enter the required information in the Payment Promises form.

Recording Skip Trace, Legal, and Bankruptcy Information

End users can use the following view tabs to record skip trace, bankruptcy, and legal information:

- **Skip Trace.** Companies who are unable to contact or locate a delinquent customer, rely on a skip trace agency to track down a customer. End users can use the Skip Trace view tab to record the results of skip trace report.
- **Bankruptcy.** If a customer files for bankruptcy, end users can use the Bankruptcy view tab to track bankruptcy information.
- **Legal.** If a customer account becomes delinquent, end users can use the Legal view tab to track information about delinquent accounts.

To record skip trace information

- 1 Navigate to the Contacts screen.
- 2 In the Contacts list, drill down on a contact.
- 3 Click the Skip Trace view tab.
- 4 In the Skip Trace list, add a record and complete the necessary fields.

To record contact bankruptcy information

- 1 Navigate to the Contacts screen.
- 2 In the Contacts list, drill down on a contact.
- 3 Click the Bankruptcy view tab.
- 4 In the Bankruptcy form, add a record and complete the necessary fields.

To record legal information related to a delinquent account

- 1 Navigate to the Financial Accounts screen.
- 2 In the Financial Accounts list, drill down on an Account #.
- 3 Click the Legal view tab.
- 4 In the Legal form, enter the stipulation, judgement, attorney, and levy data.

16 Holdings And Interests

This chapter is about administering securities records in Siebel Finance and managing contacts' interests and holdings. It includes the following topics:

- "About Holdings and Interests" on page 171
- "Scenario for Promoting a Market Opportunity to Targeted List of Clients" on page 172
- "Process of Administering Securities" on page 172
- "Setting Up Securities Lists of Values" on page 173
- "Creating and Modifying Stock, Bond, and Mutual Fund Records" on page 175
- "Process of Tracking Clients' Interests and Creating Interest-Based Call Lists" on page 176
- "Entering Interests and Holdings Information" on page 177
- "Creating and Using Targeted Call Lists" on page 179
- "Configuring Call List Generation" on page 181

About Holdings and Interests

In Siebel Finance, there is a collection of screens and views that helps financial representatives track multi-dimensional information on client's investment interests, including:

- Products, such as stocks, bonds, mutual funds, options, and investment trust units
- Industries
- Sectors
- Analyst ratings

Using the procedures given in this chapter, you will be able to perform the administrator tasks of modifying product information as well as adding industries, security product classes, security categories, security exchanges, and new securities.

End users use Siebel Finance to capture specific details about each investment, such as basic product information, issuer fundamentals, market data, literature, research, and news.

Securities information assists users in searching for a type of investment that would satisfy a customer's specific requirements and providing details on specific investments. Institutional salespeople can easily search to determine the contacts and investors who have either expressed an interest in a specific security or are currently holding that security in their portfolios. Also, sales agents and financial representatives can generate a call list, which is a list of targeted contacts to be associated with one or more securities.

You can save time and reduce keystrokes by using a workflow to automate steps that are repeatedly performed by end users. For more information, see *Siebel Business Process Designer Administration Guide*.

Scenario for Promoting a Market Opportunity to Targeted List of Clients

This scenario features sample tasks performed by a financial institution's applications administrator and an investment representative. Your company may follow different workflows according to its business requirements.

An administrator is requested to add a new municipal bond issue to Siebel Finance. The administrator checks to see if all the required information to define the security exists in the application, creating list of values entries as necessary. The administrator then adds the municipal bond, entering product information, including such details as the product name, symbol, industry, region, and sector.

The new bond product is discussed at the morning sales meeting. After covering the details of the new product on the morning call, the sales team cross references the new bond's profile against the list of their clients' interests to see who would be interested in purchasing the new bond. The firm anticipates the current bond market rally will continue and the firm has taken a substantial position in NYC municipals. The fixed income desk is requested to promote the product heavily for the week.

At the conclusion of the call, the bond desk creates a targeted, prioritized call list to promote the product. They search for investors and contacts who have expressed interest in bonds. Further, they target investors and individuals who are holding or have expressed interest in Munis. The financial instrument held has a B rating. The salesperson must first target investors and individuals interested in B or better. In addition, Muni's represent the highest value to customers with accounts registered in NY or managing NY mutual funds.

Process of Administering Securities

This process represents a portion of the tasks carried out in the "[Scenario for Promoting a Market Opportunity to Targeted List of Clients](#)" on page 172. This process includes:

- 1 [Setting Up Securities Lists of Values](#)
- 2 [Creating and Modifying Stock, Bond, and Mutual Fund Records on page 175](#)

Typically, securities information is imported into Siebel Finance using Enterprise Integration Manager (EIM). Your organization can import the data displayed in the Securities views from one or more other systems (such as a trading system).

You can also manually add or edit records of securities using administrative functions described in this section.

For more information about EIM, see *Siebel Enterprise Integration Manager Administration Guide*.

Setting Up Securities Lists of Values

Before entering new securities into Siebel Finance, you should make sure that all the fields used to define a security are populated with the appropriate terms and classifications used by their organization. The following securities fields need to be set up with the appropriate values:

- Industry
- Product Line
- Product Class
- Category
- Exchange

The task is part of [Process of Administering Securities](#).

Defining Industry Values

When you enter a new security, the Industry field is used to indicate the industry or sector to which the security belongs. The industry field should be populated with a list of values that are relevant to your organization. For example, if you are adding a new biotechnology stock as a security to Siebel Finance you may need to add Biotechnology if the industry does not already exist. For details on how to modify the industry field values, see ["To add an industry" on page 47](#).

NOTE: The Industries table is used throughout Siebel Finance. Be sure to add industries that represent your companies and clients.

The task is part of [Setting Up Securities Lists of Values on page 173](#).

Defining Product Lines

When you enter a new security, the Product Line field is used to indicate the asset class of the security. For example, if your company is an investment firm you might want to add equity, fixed income, derivatives, and mutual fund product lines if they do not already exist.

NOTE: In Siebel Finance, the Product Line field and the Product Class field are used to indicate a security asset class in different modules of the application. The fields are used exclusively in different modules of the application. As a result, both fields should be populated with the same list of values to indicate the asset classes.

For more information about creating a product line, see [Chapter 17, "Products and Pricing."](#)

The task is part of [Setting Up Securities Lists of Values on page 173](#).

Defining Product Classes

The Product Class field is used in addition to the Product Line field to indicate the asset classes of securities when they are added to Siebel Finance. Using Siebel Finance, you can add and modify the asset classes that appear in the Product Class field.

The task is part of [Setting Up Securities Lists of Values on page 173](#).

To add a product class for a security

- 1 Navigate to Administration - Data > List of Values.
- 2 Run a new query for Type = FINS_ASSET_CLASS.

The current FINS_ASSET_CLASS records are returned with the existing list of values for the Product Class type.

- 3 In the List of Values list, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Active	Check box to determine whether or not the value is displayed to the end user in the Product Class dialog box.
Display Value	Value as displayed in the Product Class drop-down list.
Language-Independent Code	Code used internally by the Siebel application.
Language Name	Language used for the list of values Display Value field.
Order	Numerical order in which a value is displayed within the Product Class drop-down list.
Parent LIC	Language-independent code of a parent list of values. It is used in hierarchical lists of values.
Translate	When checked, indicates that the list of values is part of a multilingual list of values (MLOV).
Type	The type of list of values. Select FINS_ASSET_CLASS.

NOTE: Deleting LOV table entries is not recommended; instead, use the Active check box to deactivate an LOV entry and thereby remove it from the Product Class drop-down list.

Adding Categories

When you enter a new security, the Category field is used to indicate another level of classification in addition to the Product Class field. For example, a security with a Product Class value of Stock may be further classified as a Category of Preferred Stock. A security with a Product Class value of Bond may have a Category of Mortgage or Corporate Bond. Using Siebel Finance, you can add the categories that appear in the Category field.

The task is part of [Setting Up Securities Lists of Values on page 173](#).

To add a security category

- 1 Navigate to Administration - Data > List of Values.
- 2 Run a new query for Type = FINS_INVST_CATEGORY.

The current FINS_INVST_CATEGORY records are returned with the existing list of values for the Category type.

- 3 In the List of Values list, add a record and complete the necessary fields.

Adding Security Exchanges

In some instances, you may need to add new exchange information to Siebel Finance. The Exchange field is used to indicate the securities exchange systems. For example, a brokerage organization may populate the Exchange field with values, such as NASDAQ, FTSE, and Nikkei. You should add all the exchanges that are relevant to your organization.

The task is part of [Setting Up Securities Lists of Values on page 173](#).

To add a security exchange

- 1 Navigate to Administration - Data > List of Values.
- 2 Run a new query for Type = SECURITY_EXCHANGE.

The current SECURITY_EXCHANGE records are returned with the existing list of values for the Product Class type.

- 3 In the List of Values list, add a record and complete the necessary fields.

Creating and Modifying Stock, Bond, and Mutual Fund Records

Once the securities lists of values are populated correctly, you can then add and modify individual securities records. You can also associate a literature item with a security.

Typically, securities information is imported into Siebel Finance using Enterprise Integration Manager (EIM). An organization can import the data displayed in the Securities views from one or more other systems (such as a trading system). Administrators can also add or modify securities for their organizations in the All Securities view in the Finance Administration screen.

For more information about EIM, see *Siebel Enterprise Integration Manager Administration Guide*.

This task is part of [Process of Administering Securities on page 172](#).

To add a new securities record

- 1 Navigate to Administration - Finance > Securities.
- 2 In the Securities list, add a record and complete the necessary fields.

To edit mutual fund information

- 1 Navigate to Administration - Finance > Mutual Funds.
- 2 In the Mutual Fund form, locate the appropriate fund.
- 3 Click the Mutual Fund Holdings view tab.
- 4 In the Fund Holdings list, do one of the following:
 - Add a record and complete the necessary fields for each security that makes up the mutual fund
 - Modify or delete existing securities
- 5 From the Asset Allocation drop-down list, select Asset Allocation List.
- 6 In the Asset Allocation list, do one of the following:
 - Add an asset class and associate the percentage of holdings in each mutual fund
 - Modify or delete existing asset classes

NOTE: The Asset Allocation Chart provides a graphical representation of the asset allocation for the mutual fund.

To associate a literature document with a security

- 1 Navigate to Administration - Finance > Securities.
- 2 In the Securities list, select a security.
- 3 Click the Literature view tab.
- 4 In the Literature list, add a record and complete the necessary fields.

Process of Tracking Clients' Interests and Creating Interest-Based Call Lists

This process represents a portion of the tasks carried out in the ["Scenario for Promoting a Market Opportunity to Targeted List of Clients" on page 172](#). This process includes:

- 1 ["Entering Interests and Holdings Information" on page 177](#)
- 2 ["Creating and Using Targeted Call Lists" on page 179](#)

From the Holdings and Interests views, end users can track a particular security. From the List Management Call List view, end users can review and manage their generated call lists.

Enterprise Integration Manager (EIM) imports the market data displayed in the Securities views. An organization can import the data displayed in the Securities views from one or more other systems (such as a trading system). Also, those with the required administrative responsibilities, such as Siebel administrators, can manually add or edit records of securities using administrative functions described in ["Process of Administering Securities"](#) on page 172.

For more information about EIM, see *Siebel Enterprise Integration Manager Administration Guide*.

Entering Interests and Holdings Information

Tracking your clients' interests and holdings is an important first step towards building targeted call lists.

This task is a step in ["Process of Tracking Clients' Interests and Creating Interest-Based Call Lists"](#) on page 176.

To record an interest

- 1 Navigate to Contacts > Contacts List and drill down on the contact for which you wish to add interests information.
- 2 Click the Interests view tab.

3 Create a new record and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Description	Enter text to describe the contact’s interest, or the system will automatically enter a string containing a compiled list of the interest attributes.
Ticker	Select any of the securities previously entered into your Siebel application.
Volume	Desired trading volume of the security.
Quantity	Number of shares the contact is interested in transacting.
Interest Type	Registers if the interest is in selling or buying.
Analyst	A particular research analyst.
Industry Group	The high-level industry interest, for example Technology. Also known as a sector.
Industry	Specific industry interest, for example Software.
Internal Rating	The research rank of the product, for example Strong Buy

NOTE: You can record a contact’s interests using either the Contacts or the Holdings and Interests screen.

To record an interest based on a holding

- 1** Navigate to Holdings and Interests > Interests view.
- 2** In the Interests list, create a new record and complete the necessary fields, some of which are described in [Step 3](#) of “[To record an interest.](#)”
- 3** In the Interests form, check the Holding box to signify this is an interest based on a holding.

NOTE: A search cannot be performed on a holding unless the holding has been saved as an interest with the Holding box checked.

Entering Holdings Information

Individual holdings information can be added for Investors from the Holdings And Interests Holdings view. In addition, holdings can be added to financial accounts from the Financial Accounts Investment Holdings view.

NOTE: These holdings are not searched in the Holdings and Interests Search view. Only interests based on holdings are searched. See [“To record an interest based on a holding.”](#)

To add a holding record

- 1 Navigate to Holdings and Interests > Holdings view.
- 2 In the Holdings list, add a new record and complete the fields.
- 3 In the Holdings form, enter additional information about the holding.

Creating and Using Targeted Call Lists

Generate and execute call lists based upon your client’s interests and holdings-based interests through a:

- batch search to add multiple contacts
- single selection to add an individual client

NOTE: If your organization chooses to use the call list functionality, you should coordinate with your IT department to run a regular batch process to remove dated lists.

This task is a step in [“Process of Tracking Clients’ Interests and Creating Interest-Based Call Lists”](#) on page 176

To search for contacts with particular interests

- 1 Navigate to the Holdings and Interests > Search view.
- 2 In the Criteria form enter investment and classification criteria.

Some of the fields are described in the following table.

Field	Description
Ticker(s)	Select any of the securities previously entered into your Siebel application. To search multiple tickers, list them separated by a comma. For example: CSCO, SEBL, IBM.
Search	Select whether to search Interests only, Holdings only, or both Interests and Holdings. Interests only returns contacts with an active interest in the named security. If the Inactive checkbox is checked on the interest record, then the search will ignore it. Holdings only returns contacts with an active holdings-based interest in the named security. See “To record an interest based on a holding” on page 178 for how these types of records are created. Holdings and Interests returns contacts with either an interest or holdings-based interest in the named security.

Field	Description
Market Cap	The market cap ranking of the issuing company, for example Small Cap.
Product	The security type in which the client is interested, for example Equities, Fixed Income, or Options.

- Click Add Above Criteria to add the criteria to the search.

NOTE: If multiple criteria are entered within a single criteria search record, the search includes an AND clause such that all field values must be met to return a contact. For example, within a single search record you enter an interest in ticker IBM and interest type Buy, then only contacts who have both an interest in IBM with an interest type of Buy will be returned in the search results.

- Repeat Step 2 and Step 3 to add additional desired criteria.

NOTE: The search aggregates multiple criteria search records into an OR clause, so if, for example, two criteria forms are added, one specifying an interest in ticker SEBL and another specifying an interest in ticker IBM, contacts with an interest in either or both tickers are returned.

- Click Go to execute the search.

Contacts which meet the search criteria appear in the Contacts list.

- There are now three active buttons in the Contacts list, each providing a different way to proceed to an existing or new call list:

- **Add to Active Call List.** Adds contacts to the user’s most recently created call list from the current date, while remaining on the Holdings and Interests Search view. If no call list exists for the current date, a new call list is created.
- **Create New Call List.** Adds contacts to a new call list identified by the user’s id and the current date and time, while remaining on the Holdings and Interests Search view.
- **Go to Call Lists.** Navigates to the List Management Call List view where the user can see all of their own generated call lists.

To modify the contacts in a targeted call list

- Navigate to List Management Call List view.
- Select a call list to modify.
- In the Call List list, review the contacts, modifying as necessary.
 - To remove a contact, select it in the list and click Remove.
 - To add a contact, click Add and select a contact in the Pick Contact dialog box. Contacts added in this way will have no criteria associated with them.

To use a targeted call list

- 1 Navigate to List Management Call List view.
- 2 Select a call list to use and work through the call list, marking the contacts according to the action performed:
 - Ignore
 - Called
 - Emailed
- 3 Clarify the list of calls remaining to be made by clicking Refresh List.
 If the Show drop-down list is set to Outstanding Items, an updated list containing only the contacts not yet marked as either Ignore, Called, or Emailed is displayed.
- 4 To return to the full call list, click the drop-down list and select All List Members.

Configuring Call List Generation

The call list generation functionality, including the three Call List Buttons on the Holdings & Interests Search view, are supported by user properties definitions for predesigned behavior. You may wish to modify these user properties to fit your own business processes.

The following options are all configured through the business component FINS Contact Interest Search Result. [Table 7](#) lists the user properties.

Table 7. Call List Generation User Properties

User Property	Value	Comment
Reset Called Flag	Y	Called flag will be reset to N when a duplicate contact is added to the call list.
	N	Called flag will not be updated when a duplicate contact is added to the call list.
Reset Emailed Flag	Y	Emailed flag will be reset to N when a duplicate contact is added to the call list.
	N	Emailed flag will not be updated when a duplicate contact is added to the call list.
Reset Ignore Flag	Y	Ignore flag will be reset to N when a duplicate contact is added to the call list.
	N	Ignore flag will not be updated when a duplicate contact is added to the call list.
Merge Criteria	Y	Criteria Matched field will be merged when a duplicate contact is added to the call list.
	N	Criteria Matched field will not be updated when a duplicate contact is added to the call list.

Table 7. Call List Generation User Properties

User Property	Value	Comment
Merge or Ignore Duplicate Contact	Merge	If a contact is already in the call list, other attributes of this contact record will be merged.
	Ignore	If a contact is already in the call list, no action will be taken with this record.
Popup When Add Call List	Y	A dialog box will pop up when the user adds contacts to an active call list.
	N	No dialog box will pop up when the user adds contacts to an active call list.
Popup When Create Call List	Y	A dialog box will pop up when the user creates a new call list.
	N	No dialog box will pop up when the user creates a new call list.
Reflect Holding	Holding (default)	The value of this property shows as prefix text on the Criteria Matched field to indicate that the matched criteria is associated with a holding.
Reflect Holding and Interest	Holding/Interest (default)	The value of this property will show as prefix text on the Criteria Matched field to indicate that the matched criteria is associated with both holdings and interests.
Reflect Interest	Interest (default)	The value of this property will show as prefix text on the Criteria Matched field to indicate that the matched criteria is associated with an interest.

17 Products and Pricing

This chapter is about administering and working with products and pricing. It includes the following topics:

- [“About Products and Pricing” on page 183](#)
- [“Scenario for Products and Pricing” on page 183](#)
- [“Administering Products and Pricing” on page 184](#)
- [“Creating New Products” on page 185](#)
- [“Defining Fees and Rates” on page 186](#)
- [“Using Product Information” on page 187](#)

About Products and Pricing

In Siebel Finance, products are the physical goods and services that a financial institution offers to its customers. Only those with the required administrative responsibilities, such as Siebel administrators, can set up and create new products.

The Products screen provides a collection of views to supply service representatives, sales agents, and managers with product information in an organized format. Managing product information and pricing structures requires setting up and maintaining products, product lines, product features, and price lists.

Using the procedures given in this chapter, you will be able to perform the administrator tasks of setting up product and pricing information in Siebel Finance. End users will use the Products screen to view product information.

The Products screen and associated views that appear in Siebel Finance share much of the functionality found in Siebel eBusiness Applications. This chapter focuses mainly on the products functionality that is unique to Siebel Finance. For more information on creating and administering products, see *Product Administration Guide* and *Applications Administration Guide*.

Scenario for Products and Pricing

These scenarios feature sample tasks performed by a Siebel administrator and a customer service representative. Your company may follow a different workflow according to its business requirements.

In these scenario, end users are the customer service representatives who answer customer calls. They use the Products screen to:

- View lists of products

- Obtain information about each product, including the product line, products code, rates, fees, key features and benefits, and description
- Compare products by feature
- View literature about a product
- View and create news items associated with a product

The Siebel administrator is responsible for administering Siebel Finance and requires administrative responsibilities to:

- Create a new product line
- Define a new product
- Set product fees, rates, and conditions

Administrator Defines New Products

An administrator sets up a new product line in Siebel Finance. As a first step, he creates the new product line and then defines products. Then, he creates regions and associates those regions with each product. Finally, he defines application workflows, product scores, fees, rates and conditions, and financial attributes.

Customer Service Representative Views Product Information

A customer service representative receives a call from a customer inquiring about the company's products. He navigates to the Product Details view to review product information such as key features, a product image, and other product details.

As a customer service representative talks with the customer, he learns that she is interested in a Gold Visa credit card. The representative describes the product's features and benefits, such as an increased credit limit and free insurance on goods purchased with the card. The customer also expresses interest in features the service representative knows are available in another product. Immediately, he provides the customer a feature-by-feature comparison of the two products and quotes prices from the price list. He can check for the latest news updates on the product, such as an anticipated rate change, and convey this information to the customer. After the call ends, the service representative follows up with the customer by sending her more detailed information, such as the Consumer Disclosure Statement, through the mail.

Administering Products and Pricing

The following administrator procedures are described in this section:

- ["Creating New Products" on page 185](#)
- ["Defining Fees and Rates" on page 186](#)

Creating New Products

Before creating a new product in Siebel Finance, end users must first create a product line. Then they can designate the products to be included in the product line and set up the scoring system a financial institution's agents will use to determine customers' needs.

Administrators have the job of creating new products. The Product Administration view is used to define the finance-related products that are recommended by the sales agents and used in customer needs analyses. For more details on defining products and product lines, see *Product Administration Guide*.

To create a new product line

- 1 Navigate to Site Map > Administration - Product > Product Lines view.
- 2 In the Product Line list, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Contracting	Indicates whether the product line is offered on a contracting basis.
Licensing	Indicates whether the product line requires a license.
Product Line	Name of the product line.
Products	List of products associated with the product line.

To create a product

- 1 Navigate to Site Map > Administration - Product > Products view.
- 2 In the Products list, add a record, and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Avg Profit	Average profit generated by product.
Category	Product grouping by asset, liability, or policy.
Equivalent Product	Products to be used in comparisons.
Profit Rank	Ranking of product by profit generation.
Region	Geographic region using this product.
Service Product	Indicates service availability.
Status	Current availability of the product.

NOTE: Some of these fields may not be visible. You may need to reveal them using the Columns Displayed command from the Menu drop-down list.

Defining Fees and Rates

The Fees and Conditions view in the Product Administration screen allows administrators to set fees and rates and define conditions for products.

To set fees and conditions for a product

- 1 Navigate to Site Map > Administration - Product > Products view.
- 2 Drill down on the product for which to set fees.
- 3 Select the Fees and Conditions view link.
- 4 In the Fees and Conditions list, add a record and complete the necessary fields.
- 5 Scroll down to the Conditions list, add a record, and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Condition	Condition for the product.
Maximum Credit Line	Maximum amount allowed for the credit line.
Minimum Deposit Amount	Minimum amount required in the account for the condition to apply.

To set a rate for a product

- 1 Navigate to Site Map > Administration - Product > Products view.
- 2 Drill down on the product for which to set a rate.
- 3 Select the Rates and Conditions view link.
- 4 In the Rates and Conditions list, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Annual % Rate	Annual Percentage Rate for credit products.
Annual % Yield	Annual Percentage Yield for deposit products.
Conditions	Description of the conditions under which the rates are calculated.
Index Name	Name of the index used.
Index Rate	Percentage rate of index.
Maximum Amount	Maximum amount for the product to qualify for the rate.
Maximum Rate	Maximum interest rate for a product.
Maximum Term	Maximum term for tiered rates.

Field	Description
Minimum Amount	Minimum amount for the product to qualify for the rate.
Minimum Rate	Minimum interest rate for a product.
Minimum Term	Minimum term for tiered rates.
Points	Fee equal to 1% of the principal.
Rate	Rate percentage, calculated by adding Index Rate to Margin/Spread.
Rate Type	Type of rate.
Spread	Increase over index rate to determine rate.

- 5 Scroll down to the Conditions list, add a record, and complete the necessary fields. Some fields are described in the following table.

Field	Description
Condition	The condition for the product.
Maximum Credit Line	The maximum amount allowed for the credit line.
Minimum Deposit Amount	The minimum amount required in the account for the condition to apply.

Using Product Information

End users access the Products screen either to inform a customer of the details of a given product or to educate themselves on new products or changes to existing offerings.

To view product information

- 1 Navigate to the Products screen.
- 2 From the Show drop-down list, select All Products.
- 3 In the Products list, drill down on the Product hyperlink to display more information about the product.

The Product form appears, along with the Features and Benefits list and the Product Image.

Another task that is commonly performed in the Products screen specifically for Siebel Finance is creating an application using the Auto Application feature. For more information on using Auto Application, see ["Creating Applications Using the Auto Application Feature" on page 137](#).

18 Access Exceptions

This chapter is about managing access exceptions for literature. The topics are:

- "About Access Exceptions" on page 189
- "Scenario for Analyzing Access Exceptions" on page 190
- "Administering Access Exceptions" on page 190
- "Setting Access Levels for Literature and Lists" on page 190
- "Activating Access Workflows for Distribution Exceptions" on page 191
- "Using Access Exceptions" on page 192
- "Adding Access Exceptions" on page 192
- "Setting Access Levels" on page 193
- "Viewing Access Exceptions Charts" on page 193
- "Viewing Access Exceptions Associated with Literature" on page 193
- "Viewing Access Exceptions Associated with a List" on page 194

About Access Exceptions

This chapter describes the procedures necessary to set up and create access exceptions for literature in Siebel Finance. An access exception is an instance in which a contact, investor, or list that has purchased a basic level of service or research is provided with a premium level. Organizations generally provide different levels of service to their customers and therefore expect to generate different amounts of business based on the level of service purchased. For example, "Premium" customers receive higher levels of service for higher fees, and "Basic" customers receive lower levels of service for lower fees.

Premium levels of service could include access to premium pieces of research literature and invitations to premium events. On occasion, Basic customers are given Premium services to entice them to sign up for the Premium level. In these instances, executives do not want to stop relationship managers from sending premium pieces of literature to the basic customers or from inviting them to premium events. However, the managers want to record every instance as an access exception so that they can review all the premium services received by the basic level customers and follow up with them to persuade those customers to sign up for the premium level of service.

Using the procedures given in this chapter, you will be able to perform the administrator tasks of setting up an access level for an existing piece of literature or a list, using the Administration - Business Process screen to monitor and generate access exceptions, and setting up a workflow policy for literature or distribution lists.

End users will use the procedures in this chapter to add an access exception, set access levels for contacts, investors, or distribution lists, and view access exception charts.

For more information about creating and managing literature, see *Applications Administration Guide*.

Scenario for Analyzing Access Exceptions

This scenario is an example of a workflow performed by a financial institution's investment bankers or sales representatives. Your company may follow a different workflow according to its business requirements.

A relationship manager at an institutional brokerage firm receives a phone call from a customer who is a non-premium contact. The contact requests the latest piece of research, which happens to be premium research that has been published by the relationship manager's brokerage firm. The relationship manager uses Siebel Finance to email this piece of literature to the customer.

When the literature is sent, a workflow created by the Siebel administrator automatically creates an Access Exception, allowing the relationship manager to track every time that premium literature has been sent to this particular contact.

Account managers can analyze access exception information at regular intervals to determine which customers are causing the most access exceptions, and try to persuade these customers to sign up for a higher level of service. Because access exceptions are tracked by employee as well as by customer, account managers can also monitor which employees are generating the most access exceptions and make sure that premium research distribution is properly executed.

Administering Access Exceptions

The following administrator procedures are described in this section:

- ["Setting Access Levels for Literature and Lists" on page 190](#)
- ["Activating Access Workflows for Distribution Exceptions" on page 191](#)

Setting Access Levels for Literature and Lists

Administrators can use the appropriate administrative screen to set an access level for a piece of literature or a list.

NOTE: Only those with the required administrative responsibilities, such as Siebel administrators, can set the access level for a piece of literature or a list.

To set an access level for an existing piece of literature

- 1 Navigate to Site Map > Administration - Document > Literature view.

- 2 In the Literature list, select the piece of literature for which you want to set the access level.
NOTE: If the piece of literature that you want does not exist, you can create it. For more information on creating a piece of literature, see *Applications Administration Guide*.
- 3 In the Access Level field, select a value.

To set the access level for a list

- 1 Navigate to Site Map > List Management > Lists view.
- 2 In the Lists list, select the list for which you want to set an access level.
- 3 In the Access field, select the access level for the list.

Activating Access Workflows for Distribution Exceptions

To generate access exceptions, you need to activate two workflows:

- Literature Access Workflow
- List Access Workflow

Use the Literature Access Workflow when distributing literature. If the access level of the literature is higher than that of the contact, the application generates an access exception record.

Use the List Access Workflow to generate access exceptions while adding contacts to a list. If the access level of the list is higher than the level of the contact, the application generates an access exception record.

For more information on working with workflows, see *Siebel Business Process Designer Administration Guide*.

NOTE: Activating workflows requires administrative responsibilities.

To activate the Access workflows

- 1 Navigate to Site Map > Administration - Business Process > Workflow Deployment.
- 2 In the Repository Workflow Processes list, query for the two Access workflow records.
TIP: Query for Name = * Access Workflow.
- 3 Click the Activate button at the top of the list to activate this workflow process.
 When activated, the definition is written to the run-time tables and appears in the Active Workflow Processes view.
- 4 Navigate to Administration - Runtime Events > Events view.
- 5 From the menu, select Reload Runtime Events.

Using Access Exceptions

The following end-user procedures are described in this section:

- [“Adding Access Exceptions” on page 192](#)
- [“Setting Access Levels” on page 193](#)
- [“Viewing Access Exceptions Charts” on page 193](#)
- [“Viewing Access Exceptions Associated with Literature” on page 193](#)
- [“Viewing Access Exceptions Associated with a List” on page 194](#)

The Access Exceptions screen and views allow end users to view or add information about access exceptions. End users can also view access exceptions associated with a piece of literature in the Literature screen or a list in the List Management screens.

Adding Access Exceptions

End users can add access exceptions for literature using the Access Exceptions screen.

To add an access exception

- 1** Navigate to the Access Exceptions screen.
- 2** In the Access Exceptions list, add a record.
- 3** Complete the fields that correspond to the type of access exception you want to record.

Some fields are described in the following table.

Field	Comments
Access Exception Type	Types include List and Literature.
Contact Name	The contact name for which the exception was made.
Employee Name	The employee who created the exception.
Investor	The investor for which the exception was made.
List Name	The list for which the exception was made.
Literature Name	The literature item for which the exception was made.

NOTE: If your Siebel administrator has set up a workflow, data automatically appears in the appropriate fields.

Setting Access Levels

Siebel Finance uses access levels to grant customers access to different levels of research and literature. Setting a contact's access to a specific level allows that contact access and visibility to items and services that have the same or a lesser access level.

To set a contact's access level

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, click the drop-down list in the Access Level field and set the desired level.

NOTE: If the contact does not exist, add it. For more information about adding contacts, see "Adding Contacts" on page 74.

You can see access levels for companies and investors in much the same way. Simply navigate to the Companies screen > Companies List view and set the Access Level field as above.

To set an access level for a list

- 1 Navigate to Site Map > List Management > Lists view.
- 2 In the Lists list, select an access level in the Access Level field.

Viewing Access Exceptions Charts

End users can view access exceptions by employee or investor. They can also view a chart showing access exceptions by type (list or literature).

To view access exceptions by type

- 1 Navigate to the Access Exceptions screen.
- 2 Click the appropriate view tab:
 - Access Exceptions By Employee
 - Access Exception by Investor
 - Access Exception by Type

The Access Exceptions view appears with a chart showing access exceptions broken down by employee, investor, and type.

Viewing Access Exceptions Associated with Literature

The following procedure shows how to view all the access exceptions for a piece of literature. You can view access exceptions associated with literature by contact, employee, investor, or date.

To view an access exception associated with a piece of literature

- 1** Navigate to the Literature screen.
- 2** From the Show drop-down list, select All Literature.
- 3** Select the literature for which to view access exceptions.
- 4** Select the Literature view.
- 5** Click the Access Exceptions view tab.

The Access Exceptions list shows all access exceptions associated with the piece of literature.

Viewing Access Exceptions Associated with a List

To view an access exception associated with a list

- 1** Navigate to the List Management screen > Lists view.
- 2** In the Lists list, drill down on the list for which you want to view an access exception.
- 3** Click the Access Exceptions view tab.

The Access Exceptions list appears, showing all access exceptions associated with the list.

19 Group Pensions

Siebel Finance provides support for group pensions and is designed to meet the needs of sales and service professionals, managers, and pension administrators. Using the Group Pensions screen, end users can manage private group pensions, including defined contribution plans, such as 401(k) plans and occupational group pensions, and defined benefit plans.

Using the procedures given in this chapter, users can define group pension plans, plan classes, plan eligibility rules, and plan funding vehicles. Once a group pension plan is defined, users can track eligible and enrolled participants, participant contribution and investment allocations, and participant beneficiary information.

You can save time and reduce keystrokes by using a workflow to automate steps that are repeatedly performed by end users. For more information, see *Siebel Business Process Designer Administration Guide*.

Scenario for Creating a Company 401K Plan

The following business scenario features sample tasks performed by a pension administrator. Your company may follow a different workflow according to its business requirements.

A pension administrator navigates to the Group Pension Product Administration view to define a new group pension product and investment options for plan participants. She then creates a new 401(k) retirement plan and enters all the basic plan information. In this instance, she defines one class, enters the plan eligibility rules, and specifies the key contacts for the plan.

A week later, the administrator updates information for the 401(k) retirement plan participants. First, she imports a list of eligible participants. Then, she enrolls 10 new participants, specifying each employee's contribution amount, the employer match, and the selected fund allocations.

In this scenario, the end user is a pension administrator who uses the Group Pensions screen to:

- Define a group pension product and specify pension plan investment options
- Define a group pension plan, including participant classes, eligibility rules, and key group pension plan contacts
- Add eligible plan members
- Enroll group pension plan participants and record participant beneficiary information

Group Pension Sample Tasks

Figure 2 illustrates sample tasks that end users typically perform when managing group pensions.

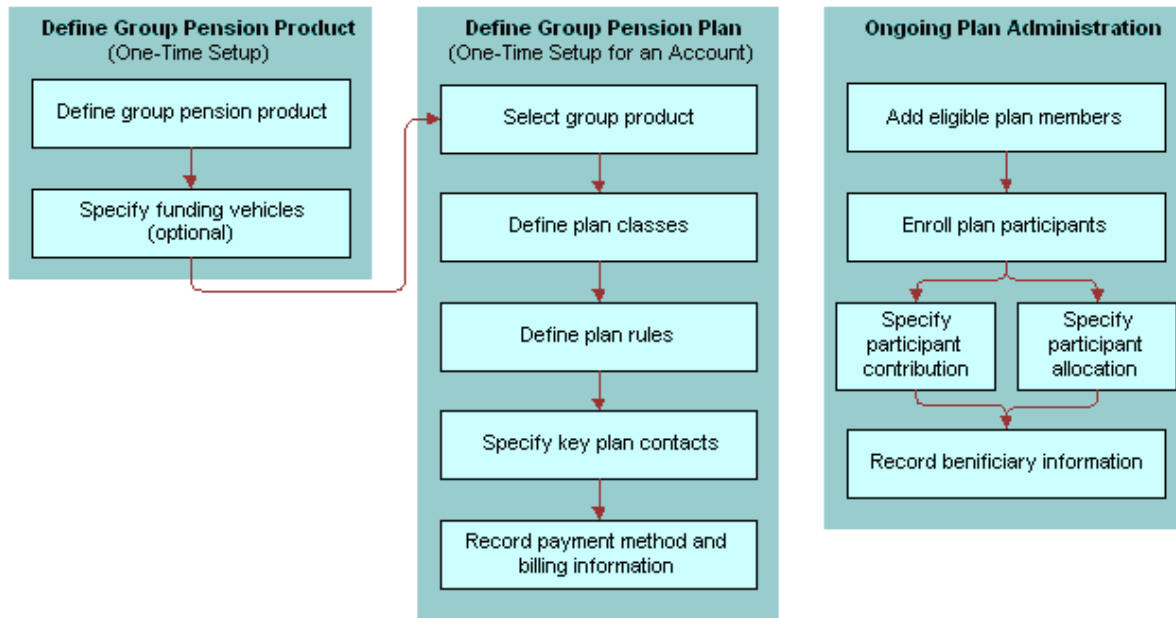


Figure 2. Group Pension Sample Tasks

Managing Group Pension Plans

Managing group pension plans involves the following procedures:

- “Defining Group Pension Products” on page 196
- “Defining Group Pension Plans” on page 197
- “Administering Group Pension Plans” on page 199

Defining Group Pension Products

Before end users create an actual group pension plan, the product administrator must first define a group pension product and specify investment options for plan participants.

To define a group pension product

- 1 Navigate to the Group Pensions screen > Group Pensions Administration List view.
- 2 In the Products list, add a record and complete the necessary fields.
- 3 In the Product Name field, enter a name for this group pension product.

- 4 In the Category field, select Pension.

To define funding vehicles for a group pension product

- 1 Navigate to the Group Pensions screen > Group Pensions Administration List view.
- 2 In the Product list, select a group pension product.
- 3 In the Funding Vehicles list, add a record and complete the necessary fields.
- 4 In the Name field, select the funds and investments available on this plan.
- 5 In the Effective Date field, specify the date this plan will become available within the system.

Once users have defined a group pension product and funding vehicles, the next step is to create a group pension plan for an account.

Defining Group Pension Plans

To define a group pension plan, end users must perform the following steps:

- **Define a group pension plan.** For more information, see ["To define a group pension plan" on page 197.](#)
- **Specify plan rules.** End users use the Rules view tab to define the types of rules that govern the selected group pension plan. For more information, see ["To specify plan rules" on page 198.](#)
- **Define participant classes.** End users define different groups of plan participants in the Classes view tab. For more information, see ["To define participant classes for plan participants" on page 198.](#)
- **Record key plan contacts.** End users use the Contacts view tab to define key contacts associated with the selected plan. These contacts are not plan participants, but consist of key individuals associated with the selected plan such as a plan administrator, trustee, or investment committee member. For more information, see ["To record key group pension plan contacts" on page 199.](#)
- **Enter billing information.** End users use the Bill To view tab to specify high-level payment information, such as payment frequency and a billing address. For more information, see ["To enter billing information" on page 199.](#)

To define a group pension plan

- 1 Navigate to the Group Pensions screen > Group Pensions List view.

- 2 In the lower form, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Plan Sponsor	A company or account that has a group pension plan associated with it or a company or account that provides a group pension for a group of people. For more information on adding additional companies, see "Adding Companies and Investors" on page 54.
Name	The group pension product defined in the Group Pension Product Administration view. For more information on defining group pension products, see "To define a group pension product" on page 196.
Type	The type of group pension plan. Options include: <ul style="list-style-type: none"> ■ Defined Benefit. Group pension plan that defines the amount of the benefit a plan participant will receive upon retirement. ■ Defined Contribution. Group pension plan that describes the plan sponsor's annual contribution to the plan on behalf of each plan participant.
Sub Type	Further defines the type of group pension plan being created. Available values are based on the Type field selection. If the Type is Defined Benefit, available options include Final Salary and Average Salary. If the Type is Defined Contribution, available options include 401(k), 403(b), Group Occupational Pension, Group Personal Pension, and Group Stakeholder Pension (UK-specific).

To specify plan rules

- 1 Navigate to the Group Pensions screen.
- 2 In the Group Pensions list, select a group pension plan and drill down on the plan # link.
- 3 Click the Rules view tab.
- 4 In the Rules form, complete the necessary fields.

To define participant classes for plan participants

- 1 Navigate to the Group Pensions screen.
- 2 In the Group Pensions list, select a group pension plan and drill down on the plan # link.
- 3 Click the Classes view tab.
- 4 In the Classes list, add a record and complete the necessary fields.

- 5 If this is an employer-sponsored plan, enter the appropriate percentage in the Employer Match% field.

To record key group pension plan contacts

- 1 Navigate to the Group Pensions screen.
- 2 In the Group Pensions list, select a group pension plan and drill down on the plan # link.
- 3 Click the Contacts view tab.
- 4 In the Contact list, add a record and complete the necessary fields.
- 5 In the Contact Role field, select one of the following:
 - Administrator
 - Investment Committee
 - Trustee

To enter billing information

- 1 Navigate to the Group Pensions screen.
- 2 In the Group Pensions list, select a group pension plan and drill down on the plan # link.
- 3 Click the Bill To view tab.
- 4 In the Pay Plans list, create the appropriate number of pay plans by adding a record for each plan and completing the necessary fields.
- 5 Scroll down to the lower applet and enter the required information to complete the payment information.

Administering Group Pension Plans

End users administer group pension plans by performing the following tasks:

- **View available plan funds and investments.** End users view which funds and investments are available within a specific group pension plan in the Funding Vehicles view tab. For more information, see ["To view the funds and investments available within a group pension plan" on page 200.](#)
- **Add eligible plan members.** End users can track individuals who are eligible to participate in a group pension plan in the Eligible Members view tab. For more information, see ["To add eligible plan members" on page 200.](#)
- **Create service requests to track plan administration.** End users can use the Service Requests view tab to track general plan administration activities including account value inquiries, changes in participant contributions, and updates to participant contact information. Users can also use this view to track changes to the features and benefits of a specific plan. For more information, see ["To create a service request associated with a group pension plan" on page 200.](#)

- **Enroll group pension plan participants.** End users enroll new group pension plan participants in the Participants view tab. For more information, see ["To enroll new participants in a group pension plan" on page 200](#).
- **Record beneficiary information.** End users record beneficiary information for plan participants in the Beneficiary view tab. For more information, see ["To record participant beneficiary information" on page 201](#).
- **Create activities and notes associated with a group pension plan.** For more information, see ["To create an activity associated with a group pension plan" on page 201](#) and ["To create a note associated with a group pension plan" on page 201](#).

For more information on defining funding vehicles, see ["To define funding vehicles for a group pension product" on page 197](#).

To view the funds and investments available within a group pension plan

- 1 Navigate to the Group Pensions screen > Group Pension List view.
- 2 In the Group Pensions list, select a group pension plan and drill down on the plan # link.
- 3 Click the Funding Vehicles view tab.

To add eligible plan members

- 1 Navigate to the Group Pensions screen > Group Pension List view.
- 2 In the Group Pensions list, select a group pension plan and drill down on the plan # link.
- 3 Click the Eligible Members view tab.
- 4 In the Participants list, add a record and complete the necessary fields.

To create a service request associated with a group pension plan

- 1 Navigate to the Group Pensions screen > Group Pension List view.
- 2 In the Group Pensions list, select a group pension plan and drill down on the plan # link.
- 3 Click the Service Requests view tab.
- 4 In the Service Requests list, add a record and complete the necessary fields.
- 5 To add further information about the service request drill down on the SR # link.

To enroll new participants in a group pension plan

- 1 Navigate to the Group Pensions screen > Group Pension List view.
- 2 In the Group Pensions list, select a group pension plan and drill down on the plan # link.
- 3 Click the Participants view tab.

- 4 In the Participants list, add a record and complete the necessary fields.
NOTE: In order for Siebel Finance to automatically populate the Employer Match % field in the Participants view tab, you must enter a value in the Class field.
- 5 In the Allocations form, add a record for each fund or investment option. Select the appropriate funds and investments options from the Pick Funding Vehicle list.

To record participant beneficiary information

- 1 Navigate to the Group Pensions screen > Group Pension List view.
- 2 In the Group Pensions list, select a group pension plan and drill down on the plan # link.
- 3 Click the Beneficiary view tab.
- 4 In the Participants list, select a participant.
- 5 In the Beneficiary list, add a record and complete the necessary fields.

NOTE: Make sure all the values entered in the % field equal 100%.

For more information on adding participants, see ["To enroll new participants in a group pension plan" on page 200](#).

To create an activity associated with a group pension plan

- 1 Navigate to the Group Pensions screen > Group Pension List view.
- 2 In the Group Pensions list, select a group pension plan and drill down on the plan # link.
- 3 Click the Activities view tab.
- 4 In the Activities list, add a record and complete the necessary fields.

To create a note associated with a group pension plan

- 1 Navigate to the Group Pensions screen > Group Pension List view.
- 2 In the Group Pensions list, select a group pension plan and drill down on the plan # link.
- 3 Click the Notes view tab.
- 4 In the Notes list, add a record and complete the necessary fields.

20 Integration

The Siebel Financial Services eBusiness platform combines a set of tools, technologies, and prebuilt functional integration components to facilitate application integration. This set of products are referred to as Siebel Financial Services eBusiness Application Integration (eAI). Siebel Financial Services eAI is an EAI solution built on top of Siebel eAI offered by Siebel Systems. Siebel Financial Services eAI provides an integration solution using industry XML standards. These standards have been adopted by the industry and extended by middleware companies such as IBM MQSFSE.

Siebel Financial Services eAI is designed as a set of interfaces that interact with each other and with other components within the Siebel application. These interfaces:

- Allow configurable messages within Siebel Tools for exchanging information using the various industry XML standards.
- Expose internal Siebel Objects to external applications.
- Take advantage of prebuilt adapters and enterprise connectors, and are compatible with third-party adapters and connectors.
- Allow prebuilt XML connectors for Siebel applications.
- Allow for comprehensive data transformation.
- Allow extension for customized XML connectors by providing the Siebel Industry XML Connector Factory API.

For more information on Siebel eAI, see *Siebel Financial Services eBusiness Application Integration Guide* and *Overview: Siebel eBusiness Application Integration Volume I*.

Siebel Finance Integration Messages

Siebel Finance includes a number of integration messages designed to support key business processes for the finance industry. [Table 8](#) describes these messages by defining the message type, the message purpose, the target application, and where you can find more information about it.

Table 8. Siebel Finance Integration Messages

Type	Message	Target Application	Description
AMS ACAPS	AMS Add Request	AMS ACAPS 7.0	Request AMS ACAPS to process a credit application. For information, see "AMS Connector" on page 205 .
AMS ACAPS	AMS Add Response	AMS ACAPS 7.0	The response generated by AMS ACAPS to an Add Request. For information, see "AMS Connector" on page 205 .
AMS ACAPS	AMS Inquire Application Request	AMS ACAPS 7.0	Request AMS ACAPS to provide the latest credit application status. For information, see "AMS Connector" on page 205 .
AMS ACAPS	AMS Inquire Application Response	AMS ACAPS 7.0	The response generated by AMS ACAPS to an Inquire request. For information, see "AMS Connector" on page 205 .
IFX	Service Account Inquiry Request	Core processing system	Request the list of accounts associated with a given customer. For information, see <i>Siebel Financial Services Connector for IFX-XML Guide</i> .
IFX	Service Account Inquiry Response	Core processing system	Return the list of accounts associated with a given customer. For information, see <i>Siebel Financial Services Connector for IFX-XML Guide</i> .

AMS Connector

Siebel Financial Services eAI provides connectors to help create integrations between Siebel Financial Services applications and external applications. This section describes the set up required to integrate Siebel Finance with AMS's Automated Credit Application Processing System (ACAPS) using the AMS Connector. The AMS Connector allows users to enter account loan information directly into the Application screen and then pass the information to AMS ACAPS for processing. The AMS Connector was designed and implemented to be a point-to-point connection between Siebel Finance and AMS ACAPS.

AMS Connector Overview

Siebel Finance and AMS ACAPS are integrated using the Siebel Financial Services eAI infrastructure. Integration objects represent data exchanges and the entire process is coordinated by workflows. Key concepts of the integration process include:

- **Integration Objects.** The common data exchanged between Siebel Finance and AMS ACAPS is depicted by integration objects. AMS ACAPS data is represented by an external integration object while Siebel Finance data is represented by an internal integration object. For more information, see *Siebel Financial Services eBusiness Application Integration Guide* and *Overview: Siebel eBusiness Application Integration Volume I*.
- **Siebel Data Mapper.** The Siebel Data Mapper maps one integration object *source* to another integration object *target*. For more information on integration objects, see *Integration Platform Technologies: Siebel eBusiness Application Integration Volume II*.
- **Siebel Integration Workflows.** Siebel workflows coordinate the processing steps involved in exchanging data between Siebel Finance and AMS ACAPS. These workflow definitions include exception handlers to manage error conditions that make sure of a reliable data exchange.

Integrating Siebel Finance with AMS ACAPS

The AMS Connector allows users to enter account loan information directly into Siebel Finance and then pass the information to AMS ACAPS for processing.

After entering information into the Applications screen, Siebel Finance uses the AMS Application business service to perform the integration. When invoked this business service performs the following functions:

- Invokes Siebel EAI Adapter business service to populate the AMS FINS Application integration object.
- Invokes the Siebel Data Mapper to transform the internal integration object to an external integration object and convert it to an XML message.
- Sends the XML message to the IBM MQSeries queue identified in the Application Administration, System Preferences view and waits for a response.
- Converts the XML message to an external integration object format and uses the Siebel Data Mapper to transform the external integration object to the AMS FINS Application integration object.

- Updates the Siebel Finance database by using the EAI Siebel Adapter business service.

Figure 3 demonstrates at a high level what happens when a user enters information into Siebel Finance and clicks the Submit button on the FINS Application Entry Applet - ACAPS.

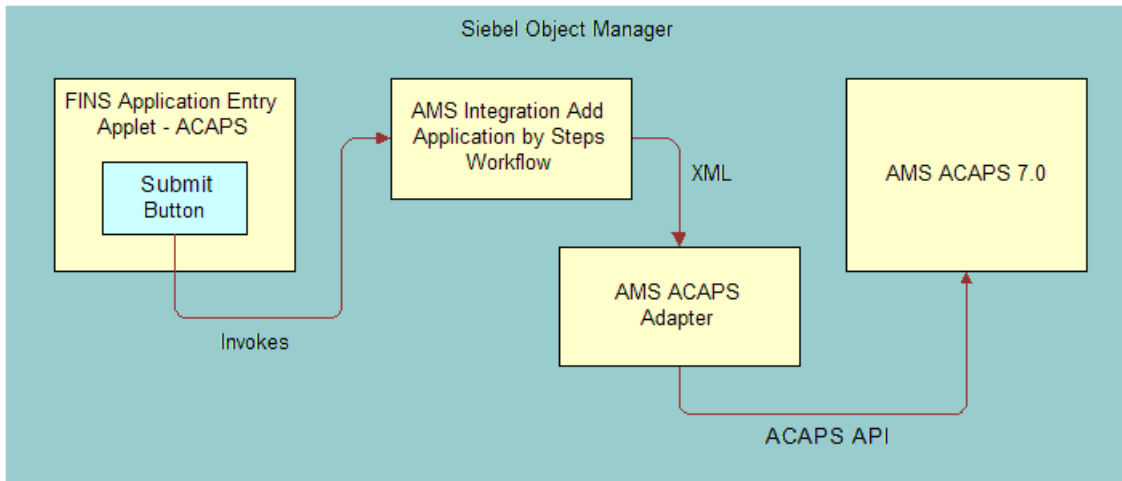


Figure 3. AMS Connector

Figure 4 explains in greater detail what happens within the AMS Integration Add Application By Steps Workflow process.

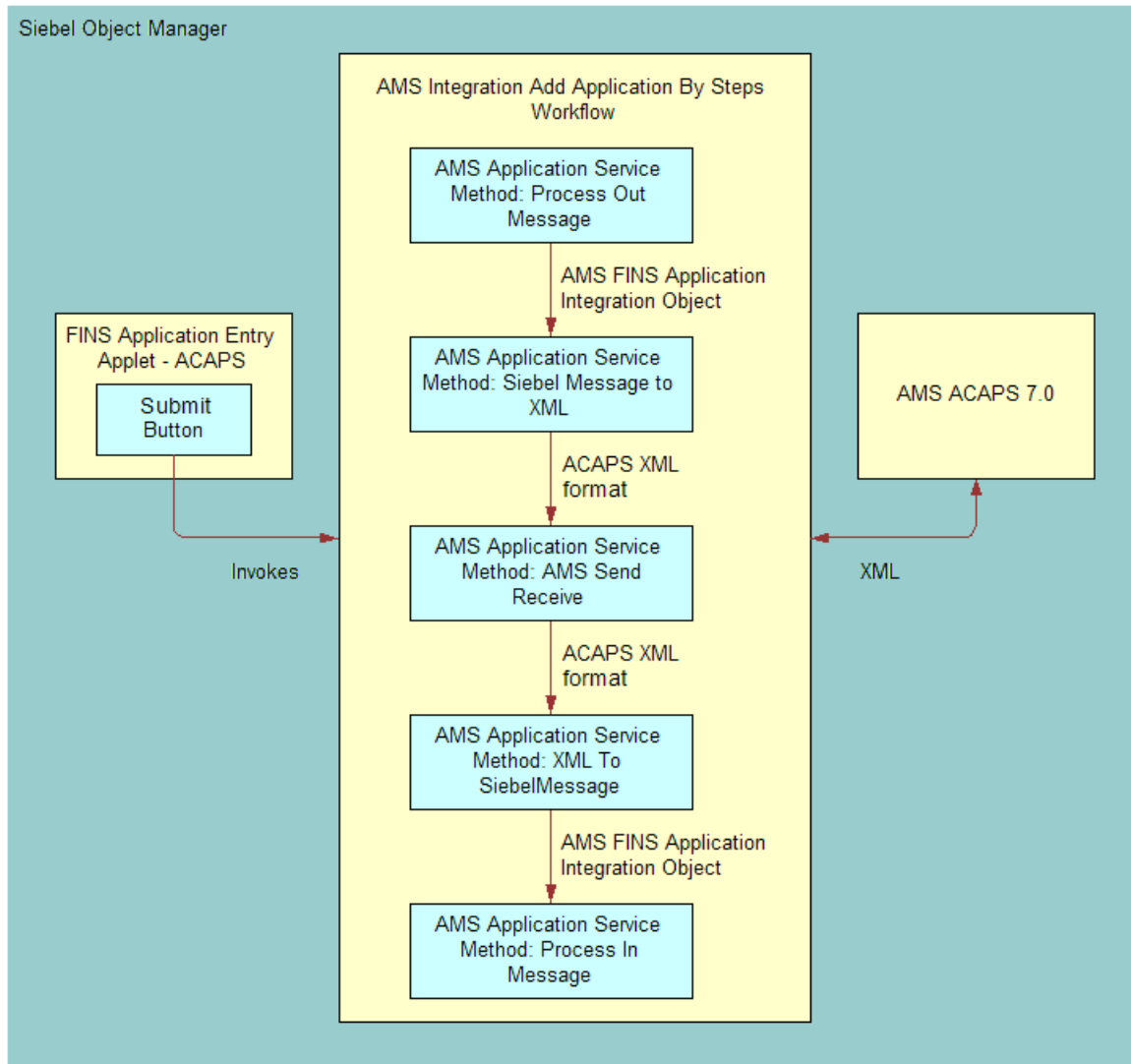


Figure 4. AMS Integration Add Application By Steps Workflow

Table 9 lists the components included in the AMS Connector.

Table 9. AMS Connector Components

Component Name	Component Type	Description
AMS AddRq Segment AMS AddRs Segment	Integration Object	External integration objects used to implement the AMS AddRq and AddRs request/response pair.
AMS AddRq Segment AMS AddRs Segment	Integration Object	External integration objects used to implement the AMS AddRq and AddRs request/response pair.
AMS Application Service	Business Service	Implements methods needed to perform the necessary integration tasks to generate ACAPS compliant XML from Siebel Finance, and map the ACAPS response back to Siebel Finance.
AMS FINS Application	Integration Object	Internal integration object used to query data from Siebel Finance when generating requests and, when handling responses, upserting data into Siebel Finance.
AMS InquireApplicationRq Segment AMS InquireApplicationRs Segment	Integration Object	External integration objects used to implement the AMS AddRq and AddRs request/response pair.
AMS Integration Add Application By Steps	Workflow Process	The workflow process that is the invoked from the Submit button on the FINS Application Entry Applet - ACAPS.
AMS Integration Inquire Application	Workflow Process	The workflow process that is invoked from the Refresh button on the FINS Application Entry Applet - ACAPS.
AMS Ref Data Service	Business Service	The business service used to populate the reference data from the AMS ACAPS application.
AMS Ref Data SQL Service	Business Service	Support service used to connect Siebel Finance with the AMS Reference data source.
AMS Utility Service	Business Service	Support service used by the AMS Application Service.
FINS Application	Business Object	The business object that is the source of all data sent to ACAPS and the recipient of all data received from ACAPS.

NOTE: You can modify ACAPS integration parameters in the System Preferences view. To access this view from the application-level menu, choose View > Site Map > Administration - Application > System Preferences.

The AMS Connector handles both outbound and inbound messages and uses two XML (ACAPS) functions, Add and Inquire. The Add ACAPS function is used to submit applications to ACAPS for initial processing, while Inquire is used to request the latest application status from ACAPS. These functions allow Siebel Finance to pass information directly to AMS for processing and receives back the application status, an ACAPS ID, and any errors.

AMS FINS Application Integration Object

The AMS Connector is based on the AMS FINS Application integration object. [Table 10](#) lists the integration object and XML tags of the AMS Connector.

Table 10. AMS FINS Application Integration Object

XML Service	Integration Object	XML Tag
AMS Application Service	AMS FINS Application	ListOfAmsFinsApplication

The AMS FINS Application integration object consists of the following components:

- Contact
- FINCORP Deal - Loan
- FINS Application - Assets
- FINS Application - Credit Card
- FINS Application - Liabilities
- FINS Application - Loan Purpose
- FINS Application - Other Assets
- FINS Application - Other Collateral - ACAPS
- FINS Application - Real Estate - ACAPS
- FINS Application - Real Estate Collateral - ACAPS
- FINS Application - Regulation C
- FINS Application Employment History
- FINS Application Financial Statement
- FINS Application Income Sources
- FINS Application Mortgage Residence Addresses
- Opportunity
- Opportunity Product

Required Setup Procedures

To set up the AMS Connector to integrate with AMS ACAPS, you must:

- **Configure a reference data source.** To make sure the data entered into Siebel Finance generates values that align with what AMS expects, you need to establish a link to an Oracle AMS reference database. This is a one-time only task. For more information, see [“Configuring an Oracle Connection and ODBC Data Source” on page 210.](#)
- **Load AMS reference data.** The AMS Integration Reference Data Import Workflow imports reference data from an AMS Oracle database into a Siebel Finance database. For more information, see [“Loading AMS Reference Data” on page 212.](#)
- **Install and configure IBM MQSeries Application Messaging Interface (AMI).** MQSeries AMI is used to transport the XML between Siebel Finance and ACAPS. For more information, see [“Installing and Configuring IBM MQSeries AMI” on page 213.](#)
- **Activate workflows.** For more information, see [“Understanding and Activating Workflows” on page 216.](#)
- **Configure business service user properties.** For more information, see [“Business Service User Properties” on page 217.](#)

Configuring an Oracle Connection and ODBC Data Source

In order to retrieve AMS reference data and insert into Siebel Finance, you must make sure it includes the proper AMS specific values. To accomplish this objective, you must establish a connection to an Oracle database.

The first step in creating this connection is installing the Oracle Client software on the Siebel Server.

NOTE: Please refer to the *System Requirements and Supported Platforms* on Siebel SupportWeb to determine the supported Oracle Client software versions. In addition, please refer to the *Siebel Installation Guide* for the operating system you are using.

Once you have installed the Oracle Client software on the Siebel Server, you must configure connectivity to the target Oracle application or the appropriate Oracle Applications instance. [Table 11](#) describes the Service Naming parameters you need to specify. For more information on the specific values needed for your environment, contact your AMS system administrator.

Table 11. Oracle Service Naming Parameters

Parameter	Comments
Net Service Name	Enter the Net Service Name for the target AMS server. For example, RefServer.AMS.COM. For more information, contact AMS.
Network Protocol	Internet protocol to be used. For example, TCP/IP.
Host Name	IP address of the target server.

Table 11. Oracle Service Naming Parameters

Parameter	Comments
Port Number	Port number of the target server.
SID	Oracle System Identifier (SID). Oracle Clients use the SID to connect to the target server.
Connection Type	Specify Dedicated Server.
User Name	User name needed to access the target server.
User Password	Password needed to access the target server.

For more information, see the Oracle Client software installation guide.

Creating an Oracle Data Source

Next, you create an ODBC data source on the Siebel Server that references the Oracle service you just created.

To create an ODBC data source

- 1 In the Microsoft Windows ODBC Data Source Administrator window, select the System DSN tab and then click Add.
The Create New Data Source window appears.
- 2 Select the Oracle ODBC driver to be added and click Finish.
- 3 When the ODBC Driver Setup window appears, fill in the values described in the following table.

Field	Comments
Data Source Name	Enter AMS Ref Data.
Service Name	Enter same value you entered for the Net Service Name parameter in Table 11 on page 210 . For example, RefServer.AMS.COM.
User ID	Enter Siebel.

The Oracle data source is created.

To test the data source connection

- 1 Test your connection to the data source. Choose Test Connect.
- 2 When the Logon dialog box appears, enter the Server Name, user name, and password for logging onto the Oracle Applications. Then click OK.

You should be connected to the Oracle database.

Loading AMS Reference Data

The supplied workflow process, AMS Integration Reference Data Import, imports reference data from AMS Oracle database into the Siebel Finance database. This process takes no input arguments, providing the Oracle connection has been setup with the name described in ["Configuring an Oracle Connection and ODBC Data Source" on page 210](#)

This workflow updates the following integration objects and their corresponding business objects:

- AMS Ref - Activity
- AMS Ref - Activity Req
- AMS Ref - Area Code
- AMS Ref - Branch
- AMS Ref - Branch Wildcard
- AMS Ref - Employee
- AMS Ref - Fields
- AMS Ref - Functional Area
- AMS Ref - Functional Area Def
- AMS Ref - Functional State Def
- AMS Ref - Index Rate
- AMS Ref - Location
- AMS Ref - Meta Product
- AMS Ref - Service Center
- AMS Ref - ServiceCenter Area State
- AMS Ref - State Transition
- AMS Ref - Zip Code

You can invoke the AMS Integration Reference Data Import Workflow directly from the Workflow Process Simulator, from a button or menu item added to the UI, or by scheduling it to be run periodically. The workflow takes a few minutes to finish.

The reference data mapping is defined in the Siebel Data Mapper as seed data. The map names are stored as user properties of the AMS Ref Data Service business service.

Installing and Configuring IBM MQSeries AMI

The AMS Connector uses IBM MQSeries Application Messaging Interface (AMI) as the transport mechanism between Siebel Finance and AMS ACAPS. [Figure 5](#) illustrates this relationship.

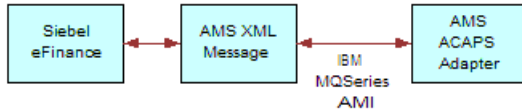


Figure 5. IBM MQSeries AMI as a Transport Mechanism

Prior to using the AMS Connector, you need to install and configure:

- MQSeries Server
- MQSeries Client (if necessary)
- MQSeries Application Messaging Interface
- MQSeries Application Messaging Interface Administration Tool (available only on Windows NT and Windows 2000)

For more information, contact your IBM sales representative and consult your IBM documentation.

NOTE: Please refer to the *System Requirements and Supported Platforms* on Siebel SupportWeb to determine the required MQSeries version.

The AMI Administration Tool allows you to configure services and policies stored in a repository file (for example, amt.xml).

Service points define *where* the message needs to be sent. Policies define *how* the messages need to be handled. It is very important to understand what a policy is and how to set different policy elements. For more information on AMI policies, consult your IBM documentation.

To configure the services and policies stored in the repository file

- 1 Launch IBM MQSeries AMI Administration Tool.
- 2 Create a Service Point named SIEBEL.ACAPS.SENDER using the values defined in the following table.

Name	Value	Comments
Queue Name	ACAPS.SIEBELDEV7.XML.REQUEST	The queue on this Queue Manager to which Siebel Finance sends requests.
Queue Manager Name	SIEBEL	SIEBEL is the Queue Manager on the AMS server to which Siebel Finance is connecting.

- 3 Create a Service Point named SIEBEL.ACAPS.RECEIVER using the values defined in the following table.

Name	Value	Comments
Queue Name	ACAPS.SIEBELDEV7.XML.REPLY	The queue on this Queue Manager where AMS posts its responses to requests from Siebel Finance.
Queue Manager Name	SIEBEL	SIEBEL is the Queue Manager on the AMS server to which Siebel Finance is connecting.

- 4 Create a Policy named SIEBEL.ACAPS.POLICY using the values defined in the following table.

Name	Value	Comments
Connection Name	SIEBEL	SIEBEL is the Queue Manager on the AMS server to which Siebel Finance is connecting.
Connection Type	Client	Siebel Finance is connecting to the AMS server as a client.
Clients Channel Name		The name of client channel on the AMS MQSeries server that allows connections to this Queue Manager.
Client TCP Server Address		The IP address on the AMS server to which Siebel Finance is connecting. This is also the server on which the Queue Manager resides.

After defining the AMI policy and AMI service points, you should verify certain enterprise parameters in the Siebel Client, as shown in [Table 12](#). These parameters are preset in the Application Administration, System Preferences view, and are used by the AMS Application Service business service, AMS Send Receive method.

Table 12. MQSeries AMI Transport Specific Parameters

Argument	Display Name	System Preference Name	Description
MqReceiverServiceName	Policy Name	AMS AMI Receiver Service Name	<p>The name of the service point you defined as the receiver in the AMI Administration Tool.</p> <p>Set MqReceiverServiceName to <i>SIEBEL.ACAPS.RECEIVER</i> for your workflow process step or business service method.</p>
MqPolicyName	Policy Name	AMS AMI Policy Name	<p>The name of the policy you define in the AMI Administration Tool. The AMI policy defines properties such as Connection Type and Mode, Message Type, Send and Receive parameters, and many others. The policy is stored in the AMI Repository, which is an XML document.</p> <p>Set MqPolicyName parameter to <i>SIEBEL.ACAPS.POLICY</i> for your workflow process step or business service method.</p>
MqSenderServiceName	Sender Service Name	AMS AMI Sender Service Name	<p>The name of the service point you defined as the sender in the AMI Administration Tool.</p> <p>Set MqSenderServiceName parameter to <i>SIEBEL.ACAPS.SENDER</i> for your workflow process step or business service method.</p>

Understanding and Activating Workflows

AMS Connector includes five workflow process that allow it to pass information from the Applications screen to AMS ACAPS. [Table 13](#) describes each workflow.

Table 13. AMS Connector Workflow Processes

Workflow	Comments
AMS Integration Add Application By Steps	<p>Submits a new application to AMS ACAPS. The workflow uses the Add Request XML (ACAPS) function to process the Siebel data and add the Siebel application data to ACAPS.</p> <p>When executed, this workflow updates the Integration Id field in the Opportunity business component with the value of the ACAPS ID.</p> <p>Any error messages from the response are mapped to the FINS Application - Data Validation - ACAPS business component.</p>
AMS Integration Inquire Application By Steps	<p>Inquires about the status of previously submitted applications to ACAPS. The workflow uses the Inquire Request XML (ACAPS) function to request the ACAPS application data for the selected ACAPS ID.</p> <p>When executed, this workflow will update the Integration Id field in the Opportunity business component with the value of the ACAPS ID. Any error messages from the response are mapped to the FINS Application - Data Validation - ACAPS business component.</p> <p>Errors from AMS application processing are visible on the UI from the Applications screen, Data Validation view tab.</p>
AMS Integration Reference Data Import	Utility workflow that imports AMS reference data.
AMS Ref - Set Internal Product BU	Utility workflow that helps import AMS reference data.
AMS Integration Reference Data CTM Check	Utility workflow that runs after importing AMS reference data.

Before you can use the AMS Connector, you must activate these workflow processes.

To activate the workflows used by the AMS Connector

- 1 From the application-level menu, choose View > Site Map > Administration - Business Process > Workflow Deployment.

- 2 In the Repository Workflow Processes list, use a query to find all processes where Name field contains the word AMS.

NOTE: You can query on **AMS**.
- 3 For the five workflows listed in [Table 13 on page 216](#), activate each workflow process that has the Status Inactive.
 - a Select the workflow process record.
 - b Click Activate.
- 4 To verify that the Status is Active:
 - a In the Active Workflow Processes list query for Name = **AMS**.
 - b Confirm the value in the Deployment Status field = Active.

Business Service User Properties

User properties are optional variables that you can use to define default values for your business services. When a business service is invoked, one of the first tasks the service performs is to check the user properties to gather any default values that will become input arguments to the service's methods.

The AMS Application Service and AMS Ref Data Service have their user properties preconfigured with proper default values. This section describes the user properties and their use.

To configure the AMS Application Service business service user properties

- 1 In Siebel Tools, select the AMS Application Service business service.
- 2 In the Tools Object Explorer, double-click the Business Service User Prop folder to display the list of Business Service User Props.
- 3 Verify that the Names and Values of the User Properties reflect your configuration. If you have made changes to the name, sequence, or number of mapping records, edit the User Properties accordingly.

[Table 14](#) lists the default values of each business service user property.

Table 14. Business Service User Properties

Name	Value	Description
AddRq Map Number	18	The number of maps used by the AddRq message.
AddRq Map Prefix	AMS AddRq	The name prefix that identifies the maps used by the AddRq message.
AddRs Map Number	2	The number of maps used by the AddRs message.

Table 14. Business Service User Properties

Name	Value	Description
AddRs Map Prefix	AMS AddRs	The name prefix that identifies the maps used by the AddRs message.
InquireApplicationRq Map Number	1	The number of maps used by the InquireApplicationRq message.
InquireApplicationRq Map Prefix	AMS InquireApplicationRq	The name prefix that identifies the maps used by the InquireApplicationRq message.
InquireApplicationRs Map Number	1	The number of maps used by the InquireApplicationRs message.
InquireApplicationRs Map Prefix	AMS InquireApplicationRs	The name prefix that identifies the maps used by the InquireApplicationRs message.

To add new user properties to the AMS Ref Data Service business service

- 1 In Siebel Tools, select the AMS Ref Data Service business service.
- 2 In the Tools Object Explorer, double-click the Business Service User Prop folder to display the list of Business Service User Props.
- 3 From the Edit menu, choose New Record.
- 4 In the Name field, enter the name of the user property using the convention *AMS Ref Data Map n*, where n stands for the last index of data map record.

NOTE: Each user property Value is a single EAI integration object map name used by the business service.

The following table lists the default values.

Name	Value
AMS Ref Data Map 1	AMSRefData_Activity
AMS Ref Data Map 10	AMSRefData_MetaProduct
AMS Ref Data Map 11	AMSRefData_StateTransition
AMS Ref Data Map 12	AMSRefData_ServiceCenterAreaState
AMS Ref Data Map 13	AMSRefData_Areacode
AMS Ref Data Map 14	AMSRefData_Field
AMS Ref Data Map 15	AMSRefData_Zipcode
AMS Ref Data Map 2	AMSRefData_Activity_Req
AMS Ref Data Map 3	AMSRefData_FuncAreaDef
AMS Ref Data Map 4	AMSRefData_FuncStateDef

Name	Value
AMS Ref Data Map 5	AMSRefData_IndexRate
AMS Ref Data Map 6	AMSRefData_Service_Func
AMS Ref Data Map 7	AMSRefData_ServiceCenter
AMS Ref Data Map 8	AMSRefData_Branch
AMS Ref Data Map 9	AMSRefData_Employee
Wildcard Branch Map	AMSRefData_Branch_Wildcard

21 Business Services for Siebel Financial Services

A business service is an object that encapsulates and simplifies the use of a specific set of functionality. Business services are not tied to specific objects, but rather operate or act upon objects to achieve a particular goal. You can use business services to execute predefined or custom actions in a workflow process.

For more information on business services, see *Overview: Siebel eBusiness Application Integration Volume I*. For more information on workflows, see *Siebel Business Process Designer Administration Guide*.

About Siebel Financial Services Business Services

Siebel Financial Services introduces a number of business services that fulfill a specific need in an end-to-end business process. The overall goal with these business services is to reduce the custom scripting that customers do during implementation. These business services benefit Siebel Financial Services customers in the following ways:

- Increased efficiency and consistency with automation
- Rapid deployment of functionality - less programming, and immediately deployable; SRF changes are not required
- Better performance than scripting
- Ease of maintenance - ability for a business analyst to maintain rules

For example, the Data Validation business service allows customers to define data validation rules in an administration view that users trigger in run time. This significantly reduces the amount of custom scripting that would otherwise be required.

Other business services, such as the Disclosure and Approval business services, bring similar benefits to customers' disclosure and approval business processes.

Table 15 lists the business services available in Siebel Financial Services.

Table 15. Siebel Financial Services Business Services

Business Service	Business Applications	Functionality
Disclosure Manager	Regulatory compliance, sales process compliance.	Present literature specific to products; logs presentation for compliance.
Approval Manager	Policy exception approvals, underwriting.	Determines necessary approval sources and routes to inbox.
VBC Cache and Instance Manager	Cache data from external applications in Siebel for display.	Cache VBC data throughout user's session. Leverage Siebel Workflow to query external data sources.
Free Form Converter	Comma-delimited and other free-format message creation.	EAI Business Service to convert Siebel data to non-XML formats.
Workflow - SmartScript Integration	Embed Q&A style processes as part of a workflow process.	Launch SmartScript sessions within a workflow process. Pass information from SmartScript back into the workflow process for downstream processing.
DT Utilities	Auto-creation, prefilling.	Copies data from one Siebel BO/BC/Field to another BO/BC/Field.
Data Validation Manager	Conditional logic, data integrity control.	Performs data validation across business component fields.
Requirements Manager	Application closings, service case resolution.	Determines requirements and next steps for transaction completion.
Customer Authentication Manager	Transaction level security, regulatory compliance.	Situation specific customer authentication data collection and logging.
Calculation Manager	Lead scoring, payment calculations, prioritization.	Performs arithmetic functions and if/then/else calculations in background or through UI.
Customer Expectations Manager	Customer services expectations, fulfillment expectations.	Calculates expected and promise dates, and sets priorities, based on item type and customer value.
Business Rule Processor	Definition and execution of complex, frequently changing business logic.	Higher performance and more scalable than scripting. Can change business logic without a new SRF. Flexible - supports procedure, loops, if-then-else, switch-case constructs.

Table 15. Siebel Financial Services Business Services

Business Service	Business Applications	Functionality
Financial Services Workflow User Interface Utilities	Workflow processes to automate common user actions.	Design workflow processes that automate user actions such as navigating between records, clicking a hyperlink, creating or deleting records, or populating field values.
Dynamic UI	Create read-only view which can be changed without the need to recompile and redeploy a Siebel Repository File (SRF).	Create and render views containing a single read-only applet in the Siebel Financial Services application.
Application View Navigation	View navigation.	Guides users through a series of views based on administration data.

CAUTION: As with other specialized code, users should use only the specialized business services that are documented in Siebel documentation. The use of undocumented services is not supported and can lead to undesired and unpredictable results.

The following business services are described in this chapter:

- “Data Validation Manager” on page 223
- “Business Rule Processor” on page 224
- “Requirements Manager” on page 256
- “Customer Authentication Manager” on page 266
- “Calculation Manager” on page 270
- “Customer Expectations Manager” on page 276
- “Data Transfer Utilities (DTU)” on page 280
- “Automating Approval Processing” on page 293
- “Automating the Display of Disclosure Documents” on page 297
- “Financial Services Workflow User Interface Utilities” on page 301
- “SmartScript Integration with Workflow” on page 303
- “Dynamic UI Business Service” on page 306
- “FINS Application View Navigation” on page 310

Data Validation Manager

Many companies are governed by various regulatory agencies, as well as internal processes and procedures, to verify the quality and accuracy of their transactions. Data validation can involve many types of transactions, including orders, applications, claims, and various other service requests.

Data validation is a key component of almost every business process in Financial Services. The Data Validation Manager business service can validate business component data based on a set of rules.

In the case of a rule violation, a custom error message appears or a user-defined error code is returned. The validation rules are defined using the Siebel Query Language and can be conveniently constructed using the Personalization Business Rules Designer. The business service centralizes the creation and management of data validation rules without requiring extensive Siebel Tools configuration and does not require the deployment of a new SRF.

The Data Validation Manager business service significantly reduces the need for custom scripts, decreasing implementation costs and increasing application performance.

The Data Validation Manager features include:

- Search automatically for the proper rule set to execute based on active business objects and views.
- Write validation rules based on fields from multiple business components.
- Apply a validation rule to a set of child business component records to see if a violation occurs from one or more records.
- Invoke specific actions to be performed as a result of a validation.
- Write validation rules that operate on dynamic data supplied at run time without that data being from business component field.
- Automatic logging of data validation events.

Some example business rules which can be enforced by the Data Validation Manager business service are:

- In an insurance company claim adjusters are required to enter a closed date whenever they close a claim. If the adjuster tries to close a claim without a closed date, he is prompted with an appropriate error message and the claim record is not committed to the database.
- In a retail bank different data validation rules are required for each of dozens of different service request types. When a customer service representative creates a new service request, the Data Validation manager identifies the appropriate validation rule set for the specific type of service request and executes the data validation rules of that rule set.
- At a health insurance company, customer service representatives use activity plans and activities to track service requests, and all activities must be closed before the service request can be closed. When the CSR closes the SR, the DVM loops through all associated activities making sure status of each is closed. If any are still open, the SR cannot be closed.

For more information about Data Validation Manager, see *Siebel Order Management Guide*.

Business Rule Processor

The Business Rule Processor (BRP) business service is a general-purpose, highly-scalable business logic execution engine. The business logic is defined from within the Siebel client administration user interface, reducing the need to hard-code the logic into the Siebel Repository file. This supports scenarios in which there are constant changes to the business rules. The BRP can define and execute highly complex business logic.

The BRP can be invoked by a run-time event, workflow, or Siebel script. This is described in [Invoking the Business Rule Processor on page 254](#).

The Business Rule Processor features include:

- Easy business logic administration through the application user interface.
- Appropriate for complex business logic; supports procedure, loops, if-then-else and switch-case constructs.
- Appropriate for business logic that changes frequently. You can modify business logic without deploying a new SRF.
- Query, read, and write access to business components.
- Sophisticated error handling.
- Support logging at multiple levels for easy testing and debugging.
- Can potentially replace large amounts of custom scripts.

The BRP executes business rule processes. A business rule process is constructed much like a computer program or a Siebel workflow. A process consists of procedures. Procedures are made of steps. Steps, in turn, contain statements. A statement is a conceptual line of code.

BRP configuration and administration should only be done by expert users accustomed to working with business services.

TIP: Before you begin to create a business rule process you need to carefully consider and plan out the required steps for the process.

Process of Defining Business Rule Processes

Defining business rules processes involves the following procedures:

- 1 [Creating and Managing Business Rule Processes on page 227](#)
- 2 [Defining Properties for a Business Rule Process on page 229](#)
- 3 [Defining Procedures for a Business Rule Process on page 233](#)
- 4 [Using BRP Helper Business Services on page 244](#)

Figure 6 presents an overview of defining business rule processes.

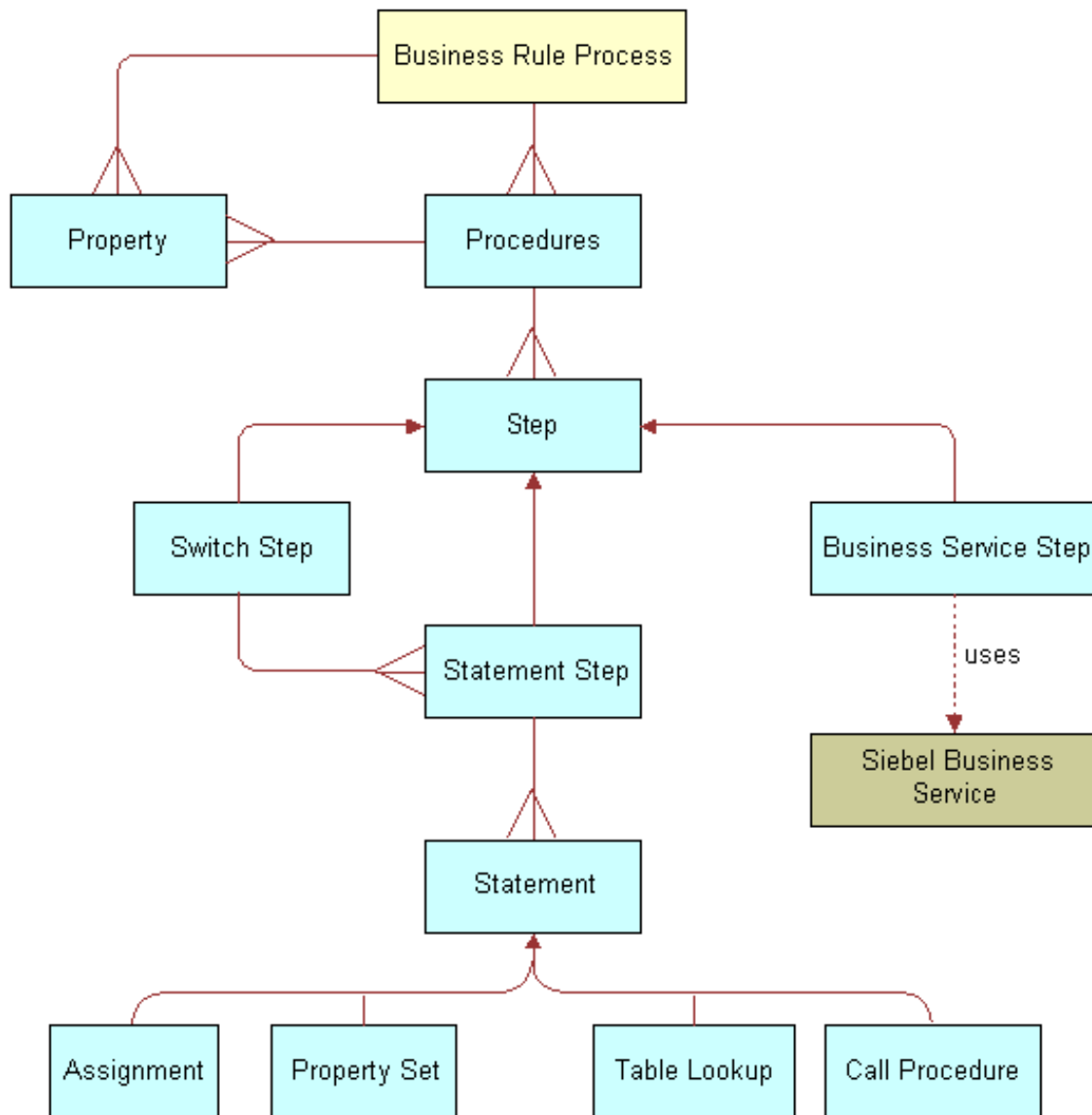


Figure 6. Business Rule Processor design diagram

Creating and Managing Business Rule Processes

A BRP process is uniquely identified by its Name. A process name must begin with a letter. It can contain alphanumeric, space, underscore, and hyphen. The name cannot contain other special characters like @ or !.

NOTE: BRP names are case sensitive and limited to 75 characters.

TIP: It is important to establish a naming convention before you engage in the development of BRP processes.

You define business rule processes from the Business Rule Processor screen. You can either revise an existing process or create a new one.

A business rule process is made up of procedures and properties.

A BRP process can have one of three statuses: In progress, Active, Inactive. Only a process in the In-progress status can be modified. Processes in Active status indicate that the process definition is released for execution. An Inactive process indicates that the process is no longer in use and has been retired.

NOTE: The status of process indicates its edit disposition rather than its current run-time execution status.

Additionally, all BRP process definitions are cached in the object manager across all login sessions to improve scalability. Hence, if any modifications are made to the process definitions these will not be available to the run-time sessions until the cache is refreshed.

It is recommended that you put in place procedures to promote BRP processes from development to production and establish controls on how the cache will be refreshed.

You can import and export business rule processes. This makes migrating process definitions across development and production environments easier. The process is saved as an XML file for importing and exporting purposes.

This step is part of [Process of Defining Business Rule Processes on page 225](#).

To create a business rule process

- 1 Navigate to Site Map > Business Rule Processor.
- 2 Create a new record.

To revise an existing business rule process

- 1 Navigate to the Business Rule Processor screen.
- 2 In the Processes list, select a business rule process of status Active or Inactive and click Revise.
Clicking Revise changes the status of the process to In Progress.
- 3 Make the appropriate changes to the process.

To activate a business rule process

1 Navigate to Site Map > Business Rule Processor.

2 In the Processes list, select the business rule process you wish to activate.

3 Click the Activate button.

Clicking Activate changes the Status from In Progress to Active and makes the record read-only.

4 Click the Refresh Cache button.

This clears the OM cache and creates a new copy of the process definitions.

Any process that is executing when the cache is cleared will be allowed to complete. However, the new process definition will be available to all processes that start right after the button is clicked.

NOTE: Care must be taken while using this feature. Refresh Cache clears the cache for all BRP process definitions. Hence, any processes that are In-progress or Inactive will be lost from the cache.

To export a business rule process

1 Navigate to the Business Rule Processor screen.

2 In the Processes list, select the process you wish to export and click the More Info view tab.

3 In the Processes form, click the Export Process button.

4 Follow the on-screen prompts to save the rule set as an XML file.

To import a business rule process

1 Navigate to the Business Rule Processor screen.

2 Click the More Info view tab.

3 In the Processes form, click the Import Process button.

4 In the Workflow Process Import dialog box, locate the file you wish to import and click Import.

The imported process appears with a status of In Progress.

5 To activate the imported process, select it in the Processes list and click Activate.

Clicking Activate changes the rule set Status to Active and makes the record read-only.

NOTE: If the process already exists, the process status must be In progress to allow the import.

To see an imported process, you must first refresh the Processes list by performing a query/go operation.

Defining Properties for a Business Rule Process

Properties are variables that are used either to facilitate flow of data in and out of a process or to store information temporarily for the life of the process.

Properties can be either global process properties or local procedure properties. Global properties are available for all procedures which are associated with the business rule process.

The property name must begin with a letter. It can contain alphanumeric, space(s), underscore, and hyphen. The name cannot contain other special characters such as @ or !.

Property names are case sensitive and limited to 75 characters.

NOTE: If a procedure defines a local property of the same name as a global property, the local property takes precedence over the global property within the scope of that procedure.

This step is part of [Process of Defining Business Rule Processes on page 225](#).

About Business Rule Process Property Types

Properties can be categorized into two classes—Simple and Complex. Simple property types are scalar properties such as an integer, string, or date. Complex property types are non-scalar properties such as property sets, vectors, and Siebel Business Component references.

At run time, values for global properties can be passed in as an input argument to the BRP business service. This run-time value overwrites the initial value definition if any on the property.

TIP: Use an appropriate prefix, such as `global_`, `local_`, or `l_` to designate local and global properties.

Complex properties cannot be passed as inputs to a BRP process.

Table 16 describes the complex types in further detail.

Table 16. Complex Property Types

Type	Description
<p>BusComp</p>	<p>This data type stores a reference to a Siebel Business Component (BC) and is used in conjunction with the FINS CAP Buscomp Handler business service.</p> <p>See "Using BRP Helper Business Services" on page 244.</p> <p>BusComp is used within BRP process as a stand-alone BC without the context of Business Object (BO). Hence, the BusComp has to be explicitly queried with the correct key values to establish a context.</p>
<p>Property Set</p>	<p>Property sets are collections of properties which can be used for storing data. They may have child property sets assigned to them to form a hierarchical data structure.</p> <p>See <i>Siebel Object Interfaces Reference</i>.</p> <p>Property Set itself can contain child property sets. This is particular convenient to store array-like data. For example, to store multiple contacts and their properties such as Name, Phone Number, and Date of Birth, each contact is stored as a child property set of Contacts. At the leaf, the property map stores data as a name-value pair.</p> <div data-bbox="537 1186 1273 1606" data-label="Diagram"> <pre> graph TD CPS[CONTACT PROPERTY SET] --> C1["Contact (1) (Name, 'Alex Smith') (Phone, '650-167-9081') (DOB, '01/01/1971') INCOME HISTORY PROPERTY SET"] CPS --> C2["Contact (2) (Name, 'Adam Smith') (Phone, '650-167-9081') (DOB, '01/01/1971') INCOME HISTORY PROPERTY SET"] CPS --> Cn["Contact (n) (Name, 'John Smith') (Phone, '650-167-9081') (DOB, '01/01/1971') INCOME HISTORY PROPERTY SET"] C1 --> I1_1["INCOME 1 (Month, 'Mar') (Amount, '7,500')"] C1 --> I1_2["INCOME 2 (Month, 'Mar') (Amount, '7,500')"] C1 --> I1_3["INCOME 3 (Month, 'Mar') (Amount, '7,500')"] C2 --> I2_1["INCOME 1 (Month, 'Mar') (Amount, '7,500')"] C2 --> I2_2["INCOME 2 (Month, 'Mar') (Amount, '7,500')"] C2 --> I2_3["INCOME 3 (Month, 'Mar') (Amount, '7,500')"] Cn --> In_1["INCOME 1 (Month, 'Mar') (Amount, '8,000')"] Cn --> In_2["INCOME 2 (Month, 'Mar') (Amount, '8,000')"] Cn --> In_3["INCOME 3 (Month, 'Mar') (Amount, '8,000')"] </pre> </div> <p>A property set cannot be instantiated with an assignment. Property sets are always instantiated using a business service, such as FINS CAP Buscomp Data Loader Service. See "Using BRP Helper Business Services" on page 244.</p>

Table 16. Complex Property Types

Type	Description
Vector	<p>Vectors are special-formatted Property Sets, where each non-leaf node stores a unique key as its value.</p> <p>NOTE: The vector root node type for a BRP process is always SEBLFACapVector.</p> <p>A vector cannot be instantiated with an assignment. Vectors are always instantiated using a business service, such as FINS CAP Buscomp Data Loader Service. See "Using BRP Helper Business Services" on page 244.</p> <p>The following diagram shows a ProductRate vector that has 2 levels - Region & Product name. At the leaf level the vector stores the rate and the balance as key value pairs.</p>

Table 16. Complex Property Types

Type	Description
Vector Reference	<p>Vector Reference is a reference to a property set, vector or a child property set. Once defined, Vector Reference can be used as a vector or propertyset.</p> <p>When the referenced object is reset, the dependent reference is automatically set to NULL.</p> <p>This property set is particularly useful when accessing data on the child property sets. A child Property Set reference can be made in the following two ways:</p> <ul style="list-style-type: none"> ■ <code>childPropertySetRef = parentPropertySet[strkeyValue]</code> ■ <code>childPropertySetRef = parentPropertySet(nIndex)</code> <p>Round parentheses () are used to retrieve a child Property Set by index.</p> <p>NOTE: The index starts at 0.</p> <p>Square parentheses [] are used to get a child Property Set by value.</p> <p>NOTE: Accessing by value is only valid for Vectors.</p> <p>Only literals or property names can be used within [] or (). Expressions cannot be used within.</p> <p>TIP: To use expressions within [] or (), assign these to a simple property type and use the simple property within [] or ().</p> <p>Square and round parentheses can be used in combination.</p> <p>Example:</p> <pre>grandchildPropertySetRef = parentPropertySet(2)["California"]</pre> <p>In the preceding notion, <code>parentPropertySet</code> itself can be a reference. In other words, a reference and a property set are used interchangeably for data access.</p> <p>To retrieve the leaf properties, use [].</p> <p>Example:</p> <pre>ProductRate = productRate[productId][domain]["Annual Fee"]</pre>

To define a property for a business rule process

- 1 Navigate to the Business Rule Processor screen and select a process for which you want to create global variables.
- 2 Click the Properties view tab and create a new property completing the fields as necessary. Some fields are described in the following table.

Field	Comments
Sequence	Identifies the numeric sequence of this property. The application initializes properties in numerical order based on this number.
Data Type	<p>The data type for the property. The value can be one of the following.</p> <p>Simple types:</p> <ul style="list-style-type: none"> ■ String ■ Integer ■ Number ■ Date ■ Boolean <p>Complex types:</p> <ul style="list-style-type: none"> ■ Property Set ■ Vector ■ Vector Reference ■ BusComp
Value	<p>Initial value of the property.</p> <p>Initial values can be set only for Simple property types.</p>
Output	<p>Checkbox to make property an output argument. Used to pass information out of the business service (which has no output arguments of its own).</p> <p>This flag does not apply to Complex property types.</p>

Defining Procedures for a Business Rule Process

Procedures are collections of steps. When a procedure is executed, each step in the procedure is executed in sequence.

One of the procedures is designated at the process level as the entry procedure. This procedure is executed when the process is executed. Within the entry procedure, other procedures are invoked by additional procedure statements.

Each procedure is uniquely identified by its name. The name must begin with a letter. It can contain alphanumeric, space(s), underscore, and hyphen. It cannot contain other special characters such as @, !, or %. Procedure names are case sensitive.

A procedure can have its own local properties. These properties can only be accessed within the procedure where they are defined. If a local property has the same name as a global property, the local property takes precedence over the global property.

This step is part of [Process of Defining Business Rule Processes on page 225](#).

About Business Rule Process Steps

There are three types of BRP process Steps:

- **Statement Step.** Contains one or more child statements that are executed if and when the statement step is executed.
- **Business Service Step.** Used to invoke a Siebel business service. Business Service Step provides a way to extend the capabilities of BRP beyond its out-of-box features. For instance, custom functionality could be coded in an eScript and this could be wrapped as a Siebel Business Service. This Business Service can now be invoked within the Business Service step and arguments can be exchanged between the script and the BRP process.
- **Switch Step.** Has switch criterion and a switch block for each criteria. The switch block is like a statement step and contains one or more child statements.

TIP: Use the switch step if a variable is a bounded variable. From a performance and maintenance standpoint, a switch step is better than multiple conditional statement steps.

To define a procedure for a business rule process procedure

- 1 Navigate to the Business Rule Processor screen and select a process, then click the Procedures view tab, and create a new procedure.
- 2 In the Properties list, create new records to define local variables for the procedure.

The fields for a local variable are equivalent to those of a global variable. The fields are described in [To define a property for a business rule process on page 233](#).

NOTE: Properties defined for a procedure are local variables accessible only to the parent procedure. You can define global variables in the Business Rule Processor Properties view. See [Using BRP Helper Business Services on page 244](#).

To define a step for a business rule process procedure

- 1 Navigate to the Business Rule Processor screen, select a process and a procedure.

- 2 Navigate to the Steps list and create a new record to define each step for the procedure. Some of the fields are described in the following table.

Field	Comments
Sequence	The numerical order in which the steps are executed.
Step Type	<p>There are three types of steps:</p> <ul style="list-style-type: none"> ■ Statement Step. Contains one or more child statements that are executed if and when the statement step is executed. ■ Business Service Step. Used to invoke a Siebel business service. ■ Switch Step. Has switch criterion and a switch block for each criteria. The switch block is like a statement step and contains one or more child statements.
Inactive	A check box to activate or inactivate a given step.
Comment	<p>A free text field used to document the step.</p> <p>TIP: Ensure each step has appropriate comments to ease the ongoing maintenance of BRP process definitions.</p>

- 3 Drill down on the Step Type and proceed to one of the following steps, depending on the step type.
- 4 For a statement step,

- Complete the fields in the Statement Steps form, some of which are described in the following table.

Field	Comments
Condition	<p>A Siebel Query Language expression evaluated to be TRUE or FALSE.</p> <p>If the expression is evaluated to be TRUE, then the statement step will be executed. If the field is not specified, then the statement step will execute every time it is encountered.</p> <p>Example: [SomeIntegerVariable] < 0</p>
Loop	<p>If checked, the statement step will be iterated over and over as long as the Condition is evaluated to TRUE.</p> <p>If neither Condition nor Loop is asserted, then the statement step is executed one time, unconditionally.</p> <p>To avoid infinite looping, the looping is counted and compared with the maximum allowed Loop Count. By default, this number is set to 1000, however, this can be overwritten by defining the system preference FINS CAP Max Iteration. If the iteration number exceeds the maximum, an error is thrown. Refer to "Handling Business Rules Processor Errors" on page 242 for more information on handling errors.</p> <p>TIP: To construct a "For...next" loop, define a local variable and then either increment or decrement that variable in a statement. On the condition, check if the local variable has reached its limit.</p>

- Add one or more records to the Statements list, defining the statements of the statement step. Some of the field are described in the following table.

Statement Type	Value	Expression	Example
Assignment. Evaluates the expression and assigns the resulting value to the property listed in the Value field.	Name of a local, global, and system properties previously defined for the business rule process.	A Siebel Query Language expression	
Procedure. Invokes another procedure defined inside the BRP process.	Name of a defined procedure which is part of the business rule process.	Null and read-only.	

Statement Type	Value	Expression	Example
<p>PropertySet Value. Retrieves a property value from a property set or child property set as defined by Expression and placed into the variable defined by Value.</p>	<p>Name of a local, global, and system properties previously defined for the business rule process.</p>	<p>A property set value retrieve expression. The expression must begin with a variable of type property set, vector set reference, or vector.</p> <p>Each index can be either a variable of type integer or number, or numeric literal. No Siebel calculation expressions can be involved.</p> <p>EX: PropSet[AnInteger] ["SomeName"] PropSet(2) ["Some Name"] No Siebel calculation expressions can be involved.</p>	<p>Consider a Property Set called productRate that contains banking product information organized by Region and Product Name.</p> <p>To retrieve "Annual Fee" property from the Property Set and assign this to a local property named I_Rate, set: Value = I_Rate Expression = productRate["West"]["Checking"]["Annual Fee"]</p>
<p>PropertySet Set Value. Assigns a value to a property set property value.</p>	<p>A property set value retrieve expression.</p> <p>If the stated property name value does not exist, a new name/value pair will be created.</p>	<p>Name of a local or global property.</p> <p>If the property is not a string, it will internally be converted to a string first by BRP.</p>	<p>To set "Annual Fee" property on the Property Set productRate, set: Value = productRate["West"]["Checking"]["Annual Fee"] Expression = I_Rate</p>

Statement Type	Value	Expression	Example
<p>PropertySet Reference. Creates a reference to a vector or property set. If the referenced object is a vector, the reference acts as a vector. Otherwise, the reference acts as a property set.</p> <p>Creates an alias to a subset of a property set.</p>	<p>A local or global property of type Vector Reference.</p>	<p>The expression must begin with a variable of type property set, vector set reference, or vector.</p> <p>Each index can be either a scalar property or a string or numeric literal. No Siebel calculation expressions can be involved.</p>	<p>To create a new Property Set Reference to all the products in the "East" region from the productRate Property Set and assign this to a local variable l_east_prod, set:</p> <p>Value = l_east_prod</p> <p>Expression = productRate["East"]</p>
<p>PropertySet Sum. Retrieves an aggregation value from a vector or property set.</p>	<p>A local, global property.</p> <p>The property should be of data type number or integer.</p>	<p>A property set value retrieve expression.</p> <p>This expression differs from other property set retrieval expressions in that one of the indexes must be a wild card, indicating summing of all indices of that node. This is done by using an empty set of parenthesis.</p> <p>If the child property set or the property does not exist, the return value is set to null.</p>	<p>To calculate the sum of balances under the "Savings" product across all regions from the productRate Property Set and assign this to a local variable l_savings_bal, set:</p> <p>Value = l_savings_bal</p> <p>Expression = productRate[[]["Savings"] ["Balance"]</p>

Statement Type	Value	Expression	Example
<p>PropertySet Childcount. Retrieves the number of child property sets.</p>	<p>A local, global property. Property should be of data type integer or number.</p>	<p>A property set reference retrieve expression. If the property set does not have a child property set, the return value is 0. If the property set does not exist, the return value is - 1. The latter is a useful approach to determine if a property set or a reference is null.</p>	<p>To calculate the number of products available in the west region from the productRate Property Set and assign this to a local variable l_west_count, set: Value = l_west_count Expression = productRate["West"]</p>
<p>Table Lookup. Look-up a value based on ranges. The look up table is stored as a specialized property set. The property set consists of child property sets, and the child property sets contain three properties corresponding to Lower Bound, Upper Bound, and Value. At run time, for any input value, BRP looks up the child property set and locates the leaf whose lower Bound is smaller than the input value but whose Upper Bound is bigger than the input value, and returns the Value property.</p>	<p>A local, global scalar property.</p>	<p>The expression follows property set retrieval syntax, but in the following specialized format: PropertySet [Upper Bound Field Name] [Lower Bound Field Name][Return Value Field Name] [InputProperty] The Upper Bound Field Name, Lower Bound Field Name, and Return Value Field Name must be a string literal or a BRP string property. The InputProperty must be the name of a BRP numeric property used to do the lookup.</p>	<p>Consider a TaxRateTable vector, where "High", "Low", and "Rate" fields define the Upper Bound, Lower bound and Return Value. To lookup the effective tax rate for a person given the Total Income and assign this to a local variable l_tax_rate, set: Value: l_tax_rate Expression: TaxRateTable["High"]["Low"]["Rate"][dMyTotalIncome]</p>

5 For a business service step,

- In the Business Service Step form, complete the fields as described in the following table.

Field	Comments
Business Service	<p>The name of the business service to invoke. In particular for BRP, there are two "helper" business services which you are likely to use for data access: FINS CAP Buscomp Data Loader Service and FINS CAP Buscomp Handler.</p> <p>For more information on these two business services, see "Using BRP Helper Business Services" on page 244.</p>
Method	The business service method to use.
BusComp	<p>A reference to a Buscomp Property Type.</p> <p>This field is used only in conjunction with the two BRP helper business services, FINS CAP Buscomp Data Loader and FINS CAP Buscomp Handler. See "Using BRP Helper Business Services" on page 244.</p>

- In the Arguments list, define required input and output arguments for the business service invoked. Some of the fields required are described in the following table.

Field	Comments
Direction	Type of argument: Input, Output, or Input/Output.
Name	<p>The argument name.</p> <p>Use the pick list to select the name for registered business services. Picking the argument name automatically sets the direction.</p>
Type	<p>The mechanics of passing values to the Business Service. Select from one of three values:</p> <ul style="list-style-type: none"> ■ Literal - For Input and Input/Output arguments the literal string in the value field is passed as an input to the Business Service method. For output arguments, this selection is invalid. ■ Property - For Input and Input/Output arguments the value of the local or global property is passed as an input to the Business Service method. For output arguments, the return value is populated into the local or global property. ■ Expression - For Input and Input/Output arguments the expression in the Value field is evaluated and is passed as an input to the Business Service method. For output arguments, this selection is invalid.

Field	Comments
Value	Contains different values depending on the argument type: <ul style="list-style-type: none"> ■ Literal - field contains the string value. ■ Expression - field contains the Siebel query expression. ■ Property - field is disabled.
Property	Local or global property. This field is disabled for Literal or Expression type arguments.

6 For a switch step,

- In the Switch Steps form, enter the switch criteria, a Siebel Query Language Expression that evaluates to be a string.
- In the Switch Blocks list, create records and complete the fields as described in the following table.

Field	Comments
Value	A string value that is used to compare with the switch step criterion value. If they are the same, the switch block is executed, which, in turn, executes the child statements belonging to the switch block.
Default	If checked, the switch block acts as the default switch block. It will be executed if no match is found for the switch step criteria. At any point, only one Switch Block can be designated as the default block.

- In the Statements list, enter one or more statements. See [Step 4 on page 235](#) for details on creating statements.

Fine-Tuning the Assignment Statement

There are two fields available at the statement level that can be used to fine-tune the performance of Assignment Statements:

- Cache Flag
- Light Parser Flag

For most cases, it is recommended that these fields be left at their default values. It is only necessary to consider changing these values if performance is deemed to be poor.

About the Light Parser Flag

Within your Siebel application, calculation expressions are evaluated using Siebel Query Language Parser. However, this parser could be performance and resource intensive if the expressions are simple numeric. To improve performance, BRP includes a high-performance light parser, used solely to evaluate numeric expressions. In most cases, the light parser works many times faster than the Siebel Query Language for simple numeric.

The following expressions are numeric expressions that can be handled by the light parser:

- $12 + 8 + [A] * [B]$
- $5 + (12 + [A] * ([B] + [C]))$

The following expressions are considered complex and cannot be handled by the light parser:

- $Iif ([A] > [B], 0, 1)$
- $[A] IS NULL$
- $LN (10)$

When the Light Parser flag is checked, BRP attempts to parse and evaluate the expression first using the light parser. If this fails, BRP resorts to Siebel Query Language engine to parse the expression. By default, Light Parser Flag is checked.

TIP: If the Light Parser flag is checked but the expression is not a simple expression, at run time, the BRP logs an entry in the log file if the Siebel log level is informational or higher. Use these log entries to help you fine-tune assignment statements. See [“Logging Business Rules Processor Debug Messages” on page 256](#) for more information.

About the Cache Flag

If the Cache flag is checked, only one single parse tree is established for the expression within the object manager, irrespective of the number of open sessions. On one hand, when all sessions share the same parse tree, the memory footprint is reduced, however an overhead for context switch is assumed. On the other hand, if the flag is not checked, each session has its own parse tree for the expression. There will be no context switch, but the memory footprint is increased.

It is recommended that you leave this flag to the default value of checked.

NOTE: The Cache flag is only meaningful when the expression is not handled by a light parser.

Handling Business Rules Processor Errors

BRP offers a mechanism to handle errors gracefully. This includes two key features:

- [“Throwing Errors Within a Business Rules Process” on page 243](#)
- [“Recovering From Errors Within a Business Rules Process” on page 243](#)

Throwing Errors Within a Business Rules Process

The BRP process definition includes three global system properties to throw errors and provide some meaningful information when a run-time error occurs. These properties are presented in [Table 17](#).

Table 17. Global System Properties for Errors

Name	Type	Description
System_ErrorCode	String	Alphanumeric error code. This property contains an empty string when there is no error.
System_ErrorMessage	String	Descriptive error message.
System_ErrorSource	String	Current context of the error.

After each statement, step, or procedure is executed, the BRP processor checks if System_ErrorCode is an empty string. System_ErrorCode can be set in two ways:

- **Manually** (Expected Error Conditions). An explicit assignment statement sets a non-empty string to System_ErrorCode.
- **Automatically** (Unexpected System Error Conditions). The BRP Processor detects a system error such as failure to invoke a business service, or failure to evaluate a Siebel query language expression, and sets System_ErrorCode to a Siebel error code.

When System_ErrorCode is non empty, an error occurs and the BRP processor automatically sets the error source to be the full context of the current execution unit using the following syntax:

- Statement Seq (Block Seq) Step Seq Procedure Name

where, Seq represents the sequence number of the Statement, Block, or Step.

NOTE: Block is optional and occurs only inside a switch step.

The three output global properties System_ErrorCode, System_ErrorMessage, and System_ErrorSource are returned back to the calling process.

Recovering From Errors Within a Business Rules Process

For every BRP process, a procedure can be nominated as the error procedure at the process level. If defined, when an error condition occurs, this procedure is automatically invoked to handle the error.

On completion of the error procedure, System_ErrorCode property is rechecked. If it is empty, the execution continues from the point where the error was originally thrown. If the error code is still populated, the process does not necessarily end, but rather follows an error bubbling process.

For example, if an error encounters in Statement 10 Step 5 Procedure Main, the error procedure is first executed with `System_ErrorSource` to be 'Statment 10 Step 5 Procedure Main'. If the error is not handled, the error bubbles one level higher, to Step 5 Procedure Main. The error procedure is then re-executed with `System_ErrorSouce` to be 'Step 5 Procedure Main'. If error is handled there, the next step following Step 5 will be executed. Otherwise, the error will bubble to Procedure Main.

The whole bubbling process continues until it reaches the process level, with `System_ErrorSource` to be `Process myProcessName`. If the error is not handled at the process level, the process ends with an error.

It is important that the error procedure be thoroughly tested. If an execution error occurs within the error procedure, the error procedure will not be recursively invoked; the error procedure will end with an error.

TIP: Use a `Switch` block within the error procedure to check for known error codes.

Using BRP Helper Business Services

In Siebel Financial Services, there are two “helper” business services that are used as business service steps within the BRP. They are both used to facilitate data access with a business rule process. The two business services are:

- **FINS CAP Buscomp Data Loader Business Service.** The FINS Buscomp Data Loader is used to load data for prop sets.
- **FINS CAP Buscomp Handler Business Service.** This business service takes the results of calculations done within the BRP and then either creates new buscomp records, updates existing buscomp records, or queries on calculation results.

FINS CAP Buscomp Data Loader Business Service

This business service can be used to load data from a Siebel business component into a Siebel property set. Additionally, once this data is loaded into a property set, it can be cached and shared across all login sessions.

This business service exposes two methods:

- `LoadData`
- `ClearCache`

About LoadData Method

Use the LoadData method to load Buscomp data into a property set. The property set follows the vector format. [Table 18](#) describes the input and output parameters for this method.

NOTE: The Search Spec, Sort Spec, Hierarchical Key, Key Field, Value Field, and Aggregate field arguments can be defaulted by defining these as user properties on the source business component. The BC user property should be pre-fixed with FINS Data Loader to identify these fields.

For example, the default search spec can be defined as the Buscomp user property: FINS Data Loader Search Spec.

Table 18. LoadData Method Parameters

Parameter Name	Direction	Description
BusComp	Input	The name of a Siebel BC.
IsCachedData	Input	<p>If true, the resulting vector is cached within the OM. Further requests to load data from the same business component are handled through the cache.</p> <p>Cached data is retrieved based on the business component name. If a second retrieval request uses different search spec, fields, format, and so on, the original cached data should be released first.</p>
Search Spec	Input	<p>The search spec applied to the business component when loading data.</p> <p>Since the FINS CAP Data Loader Service works outside the context of a business object, the search spec should include the appropriate user key fields.</p>
Hierarchical Key [n]	Input	<p>Hierarchical keys are used to define the hierarchy within the vector. These keys identify the unique key at each level.</p> <p>Multiple hierarchical keys can be specified by defining [n] = 1, 2, 3 ... n</p> <p>Refer to the ProductRate vector illustrated under “Defining Properties for a Business Rule Process” on page 229. In the ProductRate vector, Region and Product fields represent the hierarchical keys.</p>

Table 18. LoadData Method Parameters

Parameter Name	Direction	Description
Sort Spec	Input	<p>The sort specification applied to the business component when loading data.</p> <p>It is important to match the Sort Spec and the hierarchical keys when creating the vector. When a business component is accessed through the FINS CAP Buscomp Data Loader Service, sorting will control the shape of the parent/child tree structure. Records are processed sequentially and are aware of only the last parent node key. When children nodes are added to a parent node, they continue to be added until a new value is retrieved for the hierarchical key. When a new key value is discovered a new parent node is immediate created, and children assembled under that parent, and this process continues until all records are collected.</p> <p>If a key equal to a previously processed node is retrieved after a different node key has been processed, a new node is produced rather than adding to the original.</p>
Field [n]	Input	<p>The name of Buscomp fields whose values are retrieved as the leaf propertyset properties. The property name is the field name, and the property value is the field value.</p> <p>[n]=1,2,...</p> <p>This represents one approach to how Buscomp fields can be retrieved. See "Example of LoadData Method Using Field [n]" on page 247.</p>
Key Field & Value Field	Input	<p>Used to retrieve data as Key/value pair and store as a property in the leaf propertyset. The field value of the Key Field is the name of the property and the value of Value Field is stored as the value of the property.</p> <p>This is an alternative approach to Field [n] to retrieve data. See "Example of LoadData Method Using Key Field and Value Field" on page 248.</p> <p>Duplicate Key/Value pairs are not allowed. If duplicates are found when the vector is created, the new entry replaces the old entry.</p>

Table 18. LoadData Method Parameters

Parameter Name	Direction	Description
Aggregate Field[n]	Input	Fields that will be aggregated if duplicates occur. Multiple aggregate fields can be specified by defining [n] = 1, 2, 3 ... n This parameter is particularly useful with the Key Field/Value Field data retrieval approach. For example, a contact can have multiple income records with different types. If Aggregate Field is defined, the data loader service automatically sums the income and stores this as a single income key/value pair.
Vector	Output	The resultant vector output.

Example of LoadData Method Using Field [n]

Golden Gate Bank defines its product rates in the Buscomp Financial Product. The fields in the Buscomp and some sample data are:

Region	Product	Balance	Rate
West	Checking	10000	0.2
West	Saving	29000	2.1
West	N Market	87560	2.5
East	Checking	40000	0.24

To retrieve the data and store it in a format as defined by the ProductRate Vector sample diagram shown in [Table 16](#), use the following arguments for LoadData method:

Input Argument Name	Value
Buscomp	Financial Product
IsCachedData	Y
Hierarchical Key 1	Region
Hierarchical Key 2	Product
Sort Spec	Region, Product
Field 1	Balance
Field 2	Rate

The data is stored into a vector named productRateVector. Then, the rate of the Checking product in the East region can be retrieved as:

```
productRateVector["East"]["Checking"]["Rate"]
```

using a PropertySet Value statement.

Example of LoadData Method Using Key Field and Value Field

Golden Gate Bank decides to implement its product rates using a different schema. Instead of one record for one product as shown in "Example of LoadData Method Using Field [n]", they would like to store the data using name-value pairs for each product. The advantage of this approach is that new attributes can be easily added without schema changes. The data is stored in Financial Product Attribute buscomp in the following manner:

Region	Product	Attribute Name	Attribute Value
West	Checking	Balance	10000
West	Checking	Rate	0.2
West	Saving	Balance	29000
East	Saving	Rate	2.1

To retrieve the data and store it in a format as defined by the ProductRate Vector sample diagram shown in Table 16, use the following arguments for LoadData method:

Input Argument Name	Value
Buscomp	Financial Product Attribute
IsCachedData	Y
Hierarchical Key 1	Region
Hierarchical Key 2	Product
Sort Spec	Region, Product
Key Field	Attribute Name
Value Field	Attribute Value

About ClearCache Method

Use this method to explicitly clear all the cached data held by the data loader business service. This method has no input/output arguments.

FINS CAP Buscomp Handler Business Service

FINS CAP Buscomp Handler Business Service provides the ability perform data operations such as query, update, and insert within the context of a business rules process.

NOTE: The business component is established without the context of business object. Special care should be paid to identify the user keys for each record when inserting and setting values. Additionally, the normal Siebel error handling resulting from the business object context will not be enforced.

FINS CAP Buscomp Handler Business Service provides the following five methods:

- Query
- NextRecord
- GetFieldValue

- SetFieldValue
- InsertRecord.

All of these methods need a BusComp variable to be defined under the business service step definition. See [Step 5 on page 239](#) for details on defining a business service step.

About Query Method

Use this method to retrieve data from a Siebel business component into a BRP BusComp property. [Table 19](#) describes the input and output parameters for this method.

Table 19. Query Method Parameters

Parameter Name	Direction	Description
ActivateFieldName(1,2,3...n)	Input	<p>The name of the fields that should be included in the query. Each field needs to be listed individually in a sequence.</p> <p>Any field that you need to use with the GetFieldValue and SetFieldValue methods must be activated prior to using these.</p> <p>There are no limits to the number of fields that can be activated, however, care must be taken since this affects performance of the query.</p>
BusCompName	Input	The Name of the business component from which the data is to be retrieved.
SearchSpec	Input	<p>The search spec applied to the business component when retrieving data. This is a regular Siebel Query Language expression.</p> <p>Since the business service operates without a context of business object, the search spec should include the appropriate user keys when the query is used for an update.</p>
SearchSpecFieldName(1,2,3...n)	Input	<p>Search Spec Field Name/Value pair is an alternative way to set search spec on a field.</p> <p>For example, SearchSpecFieldName1=Application Flag, SearchSpecFieldValue1=Y, then this is the equivalent of setting SearchSpec to be:</p>
SearchSpecFieldValue(1,2,3...n)	Input	<p>[Application Flag] = "Y"</p>

Table 19. Query Method Parameters

Parameter Name	Direction	Description
SortSpec	Input	The sort specification applied to the business component when querying data.
Status	Output	<p>The status of the query operation. Status can have one of two values:</p> <ul style="list-style-type: none"> ■ Succeeded. Indicates that the query returned at least one business component record. ■ Failed. Indicates that either the query returned no business component records or the query failed due to a system error. <p>Following any data operation, use the Status field to check for error conditions and take appropriate actions. See "Handling Business Rules Processor Errors" on page 242 for information on error handling.</p>

Figure 7 shows the use of Query method to retrieve data from the FINS Health Provider business component.

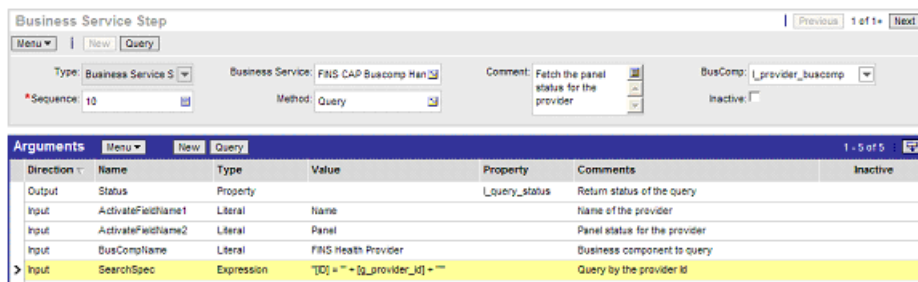


Figure 7. Using Query Method to Retrieve Data

About GetFieldValue Method

Use this method to get a value of a Business Component field into a local or global property. [Table 20](#) describes the input and output parameters for this method.

Table 20. GetFieldValue Method Parameters

Parameter Name	Direction	Description
BusCompName	Input	The Name of the business component from which the data is to be retrieved.
FieldName(1,2,3...n)	Input	<p>Name of the fields to be retrieved.</p> <p>This field needs to be activated prior to retrieval. See Table 19 on page 249.</p>

Table 20. GetFieldValue Method Parameters

Parameter Name	Direction	Description
FieldValue(1,2,3...n)	Output	The output property into where the field value will be written. This is always of type property. FieldName and FieldValue need to be defined in pairs. That is, for each FieldName defined, a FieldValue should be defined as well.
Status	Output	The status of the GetFieldValue operation. The status can have one of two values: <ul style="list-style-type: none"> ■ Succeeded. Indicates that the query returned at least one business component record. ■ Failed. Indicates that either the query returned no business component records or the query failed due to a system error. Following any data operation, use the Status field to check for error conditions and take appropriate actions. See "Handling Business Rules Processor Errors" on page 242 for information on error handling.

About SetFieldValue Method

Use this method to set a value of a business component field. [Table 21](#) describes the input and output parameters for this method.

Table 21. SetFieldValue Method Parameters

Parameter Name	Direction	Description
BusCompName	Input	The name of a business component where the field to be updated is located.
FieldName(1,2,3...n)	Input	The name of the field(s) to be updated. This field needs to be activated prior to fetching. See "About Query Method" on page 249 .

Table 21. SetFieldValue Method Parameters

Parameter Name	Direction	Description
FieldValue(1,2,3...n)	Input	The new value for the field. FieldName and FieldValue need to be defined in pairs. That is, for each FieldName defined, a FieldValue must be defined as well.
Status	Output	The status of the SetFieldValue operation. Status can have one of 2 values: <ul style="list-style-type: none"> ■ Succeeded - indicates that the operation succeeded. ■ Failed - indicates that the operation failed. Use the status field to check for error conditions and throw appropriate errors. See "Handling Business Rules Processor Errors" on page 242 for information on error handling.

About InsertRecord Method

Use this method to insert a record into a Business Component. [Table 21](#) describes the input and output parameters for this method.

Table 22. InsertRecord Method Parameters

Parameter Name	Direction	Description
BusCompName	Input	The name of a business component to which a record is to be inserted.
FieldName(1,2,3...n)	Input	The name of the field(s) to be included in the insert.

Table 22. InsertRecord Method Parameters

Parameter Name	Direction	Description
FieldValue(1,2,3...n)	Input	The value for the field. FieldName and FieldValue need to be defined in pairs. That is, for each FieldName defined, a FieldValue must be defined as well.
Status	Output	The status of the InsertRecord operation. Status can have one of 2 values: <ul style="list-style-type: none"> ■ Succeeded - indicates that the operation succeeded. ■ Failed - indicates that the operation failed. Following any data operation, use the Status field to check for error conditions and take appropriate actions. See "Handling Business Rules Processor Errors" on page 242 for information on error handling.

About NextRecord Method

Use the NextRecord method to advance to the next record in a list of business component records. [Table 21](#) describes the input and output parameters for this method.

Table 23. NextRecord Method Parameters

Parameter Name	Direction	Description
BusCompName	Input	The name of a business component.
Status	Output	The status of the NextRecord operation. Status can have one of 2 values: <ul style="list-style-type: none"> ■ Succeeded - indicates that the operation succeeded. ■ Failed - indicates that either the end record has reached or the operation failed with a system error. Following any data operation, use the Status field to check for error conditions and take appropriate actions. See "Handling Business Rules Processor Errors" on page 242 for information on error handling.

Invoking the Business Rule Processor

A business rule process can be invoked from a run-time event, workflow, or Siebel script. For all three of these invocation methods, you can prepopulate global variables through the input arguments of the BRP. Input argument names must match the global variables you define.

For an illustration of how to invoke the BRP from a run-time event or a workflow, see the process for Data Validation Manager in *Siebel Order Management Guide*.

For information on invoking the BRP from with eScript, see ["Using eScript to Invoke the Business Rule Processor" on page 255](#).

NOTE: Within each session, BRP Processor creates a copy of the BRP executable objects. The executable objects belong only to a single login session and are not shared. These executable objects are cached within a login session. Processes can be either released explicitly or implicitly when the open session is closed.

The FINS CAP Processor Service Business Services exposes three methods. [Table 24](#) describes these methods.

Table 24. FINS CAP Processor Service Business Services Methods

Method - Description	Input Arguments	Output Arguments
LoadProcess - The named calculation process definition is loaded and an executable instance of the process is instantiated in the current Web session	System_ProcessName - The name of a calculation process.	None.
RunProcess - This method executes the named process. If the process definition has not been loaded, the processor loads the definition first. Whenever a BRP process is executed, the processor checks if the current process definition cached in the OM instance. If not, the processor instantiates the process definition into the OM instance.	System_ProcessName - The name of a calculation process.	System_ErrorCode System_ErrorMessage System_ErrorSource Return Codes. See "Handling Business Rules Processor Errors" on page 242 .
ReleaseProcess - This method releases the named process executable in the current Web session. This does not affect other open Web sessions.	System_ProcessName - The name of a calculation process.	None.

Using eScript to Invoke the Business Rule Processor

The following is an illustration of how to invoke the BRP using eScript.

Example of Loading the BRP Business Service

This example provides a sample eScript that loads a BRP process definition.

```
var psIn = TheApplication().NewPropertySet();
var psOut = TheApplication().NewPropertySet();
var bs = TheApplication().GetService("FINS CAP Processor Service");

psIn.SetProperty ("System_ProcessName", "MyBRPProcessName");

bs.InvokeMethod("LoadProcess", psIn, psOut)
```

Example of Running the BRP Business Service:

This example provides a sample eScript that executes a BRP process definition. The script also shows how to pass an input argument (g_AssetId) to a BRP process.

```
function webApplet_PreInvokeMethod (MethodName)
{
  if (MethodName == "InvokeMyBRP")
  {
    var psinputs = TheApplication().NewPropertySet();
    var psoutputs = TheApplication().NewPropertySet();
    var oBusObj = TheApplication().ActiveBusObject();
    var oBusComp = oBusObj.GetBusComp("FINS Group Policy");
    var sAssetId = oBusComp.GetFieldValue("Id");

    psinputs.SetProperty ("g_AssetId", sAssetId);
    psinputs.SetProperty ("System_ProcessName", "MyBRPProcessName");

    var obs = TheApplication().GetService("FINS CAP Processor Service");
    obs.InvokeMethod ("RunProcess",psinputs, psoutputs);

    return (CancelOperation);
  }
  return (ContinueOperation);
}
```

Logging Business Rules Processor Debug Messages

To facilitate debugging a process, BRP provides different levels of execution logging in the form of trace files. Currently, there are two levels of BRP logging. These levels are detailed in [Table 25](#):

Table 25. BRP Levels of Execution Logging

4	Detail	Log the execution and initialization path of the BRP process without details.
5	Debug	Log execution details. Under this level of logging, the values of local and global properties are logged as a part of the assignment statements. TIP: To check the value of a variable, use a dummy assignment step.

The BRP log level is set with the environment parameter `SIEBEL_FACAP_LOG_EVENTS`

BRP logging is written to the Siebel object manager log file. In order to enable BRP logging, the Siebel log level must also be informational or higher. For a mobile client, set the workstation system environment parameter `SIEBEL_LOG_EVENTS = 3`

The `SIEBEL_LOG_EVENTS` can be set from Server Administration. Refer to *Siebel System Administration Guide* for more information.

In BRP logs, each local property is appended with its procedure name. For example, if a local property was defined as `local_dMyIncome` in Procedure Main, within the log file, this property would be identified as `Main@local_dMyIncome`.

CAUTION: BRP log files can grow quickly. In general, the logs should be enabled only for administrators to do debugging.

Requirements Manager

The section is about the Requirements Manager business service and includes the following topics:

- "About Requirements Manager" on page 257
- "Administering Requirements Manager" on page 258
- "Creating Record Templates" on page 258
- "Creating Requirement Templates" on page 259
- "Using Requirements Manager" on page 262
- "Creating Record Group Templates" on page 263

- [“Example of Using Requirements Manager for Record Group Templates” on page 264](#)

About Requirements Manager

The Requirements Manager is a business service that automatically generates activities, customer submissions, and workflows required at predetermined steps in the business process. The Requirements Manager ensures that regulatory requirements are followed and best practices are executed while also reducing redundancy and training requirements.

For example, a loan applicant may be required to submit proof of employment, account statements, and other documents. The Requirements Manager allows a business analyst to specify conditions under which certain documents would be required in order to move the application process forward. The business service is invoked at a predetermined point during the application process to generate the appropriate follow-up activities for customer submissions.

The Requirements Manager can be applied to a wide variety of usage scenarios including service processes such as the auto-creation of a fund transfer service request. Some examples of Requirements Manager scenarios are:

- **Life Insurance.** A life insurance policy might require a trailing document (a physical exam), an activity (such as an interview with an underwriter), and several forms to complete. If the product type = life insurance for instance, this set of requirements might be selected. However, an exclusion rule might be present to eliminate the need for the underwriter interview if the policy was for less than \$100,000.
- **Mortgage Application.** A mortgage application might require several documents, several disclosures, two annual tax returns (documents), an appraisal (activities), and a credit check (workflows) to complete. This set of requirements might be run for every mortgage, but there might be an exclusion rule such that if the loan-to-value is less than 50%, the tax returns are not required.

Out of the box, the Closing Requirement view enabled in the Applications and Life & Annuities screens, can be used to view the output of the Requirement Manager business service, for requirement templates defined on the FINS Application and FINS Life Policy business objects respectively.

Key Features of Requirements Manager

The Requirements Manager business service provides the following key features:

- Define multiple requirement templates that supports version control
- Provide support for conditional expression in each requirement template
- Define record templates that can insert records into any Siebel business object and component
- Invoke predefined workflows automatically to support the processes

About Invoking Requirements Manager

Requirement Manager is invoked the same as any other business service; through a workflow, run-time event, or script. At the time of execution, the service evaluates the various templates to pick which to execute, and executes each requirement where the exclusion rule evaluates to false.

Administering Requirements Manager

Administering the Requirements Manager business service involves the following steps:

- 1 ["Creating Record Templates" on page 258](#)
- 2 ["Creating Requirement Templates" on page 259](#)

Optionally, you can create record group templates, in order to aggregate other record group template and record templates. See ["Creating Record Group Templates" on page 263](#).

Creating Record Templates

The Record template is used to define templates that will work in a specific business object/component and the fields to automatically populate in that business object/component. Upon execution, the business service generates a record in the business object/business component and populates the fields according to the specified template.

To create a record template

- 1 Navigate to Site Map > Administration - Record Template > Record Template.
- 2 In the Record Template list, create a new record and complete the fields.

Some of the fields are described in the following table.

Field	Description
Template Name	Name for the record template.
Display Name	The display name of the template as seen in the UI.

Field	Description
Business Object	The business object for the template to be enabled. For example, to auto populate a record in the Applications or Life & Annuities screen, you must select FINS Application or FINS Life Policy business objects, respectively.
Business Component	Business Component on the selected business object. Out of the box, from the Record Template Administration view, you can specify the prefill of two applets in the Closing Requirements view: activities and documents. For example, to prefill the record in one of these two applets, you must select Action or INS Policy Document, or FINS Application Mortgage Trailing Documents business component.

- 3** In the Fields list, create a new record and complete the fields.

Some of the fields are described in the following table.

Field	Description
Sequence #	Sequence number for the fields.
Field Name	The field name in the specified business component.
Pre-Default Value	The prefilled value for the field. NOTE: You can put conditional statements on this field.
Business Component	Read-only field of the business component name.

- 4** In the Related Record Template list, create a new record and complete the fields.

The Related Record Template applet is used to specify child and grand child of record templates. Upon execution, the business service inserts a record as specified in the parent record template, as well as all records specified in child and grandchild templates.

Creating Requirement Templates

The Requirement Template is used to aggregate several record templates. The record template specified in ["Creating Record Templates" on page 258](#) only inserts one record in the business object/business component. To insert multiple records in different business objects/components, you can aggregate multiple record templates in a single requirement template. Additionally, in a requirement template, you can specify a workflow to invoke.

To create a requirement template

- 1** Navigate to Site Map > Administration - Requirement Template > Workflows.

- 2 In the Requirement Template list, create a new record and complete the fields.

Some of the fields are described in the following table.

Field	Description
Template Name	Name for the requirement template.
Display Name	The display name of the template as seen in the UI.
Business Object	The business object for the template to be enabled. For example to pick the template name in Applications or Life & Annuities screen, you must select FINS Application or FINS Life Policy business objects, respectively.
Business Component	Business Component on the selected business object. For example, to be able to pick the template name in the Applications or Life & Annuities screen, you must select Opportunity or FINS Life Policy business components, respectively.
Condition	A valid Siebel query language expression. If this conditional expression evaluates to True then the rules under the rule-set would be evaluated. TIP: Use the expression builder to test the validity of conditional expressions.
Version	The version number of the template. NOTE: When you select the Revise button, the Siebel application automatically versions the template.
Status	Status of the template with values: active, pending active, inactive, outdated, and in progress.
Start Date	Start date for the template. You can specify a date in the future, and when activated, the status of the template changes to Pending Active. The application automatically changes the status to Active on the specified date and time and executes the appropriate version of the template.
End Date	End date for the template. The application sets the status of the template to Outdated once the specified end date arrives.

- 3 In the Workflow list, create a new record and complete the fields.

Some fields are described in the following table.

Field	Description
Sequence #	Sequence number for the workflow.
Workflow Name	Name of the workflow that is enabled for the business object/ business component specified in the requirement template. NOTE: The workflow called here should be deployed and active. Please see <i>Siebel Business Process Designer Administration Guide</i> for further information.
Exclusion Rules	A valid Siebel query language expression. If this conditional expression evaluates to "True" then the workflow is excluded.
Execute Immediately	A flag to automatically execute workflow immediately upon execution of the requirement template. To execute the workflow manually, this field should be empty. See "Using Requirements Manager" on page 262 for information on executing the workflow manually.
Workflow Context	A text field passed as process properties to the workflow. The format of this field should be in the form of comma delimited, Name-Value pairs. For example: "State", "CA", "Source BusComp", "FINS Life Policy" Where State and Source BusComp are property names, and CA and FINS Life Policy are property values, respectively.
Business Component	Read-only field similar to business component specified in the requirement template applet. Identifies the business component on which the exclusion rules will be evaluated.

- 4 Click the Record Template view tab.

- 5 In the Record Template list, create new record and complete the fields in the list.

Some fields are described in the following table.

Field	Description
Template Name	Select the template you want to associate with the requirement template.
Exclusion Rule	A valid Siebel query language expression. If this conditional expression evaluates to "True" then the record template is excluded.

Field	Description
Expectation Set	A flag to automatically invoke the Customer Expectations Manager. NOTE: The Customer Expectations Manager should be set before hand for this to work. Please see "Customer Expectations Manager" on page 276 for more information.
Auto-Assign	A flag to automatically invoke the Siebel Assignment Manager. NOTE: Assignment Manager should be set before hand for this to work. Please see <i>Siebel Assignment Manager Administration Guide</i> for more information.

- 6 In the Requirement Template list, click Activate.
- 7 (Optional) To revise the requirement template, click Revise.
- 8 (Optional) To deactivate a requirement template, click Deactivate.

Using Requirements Manager

The Closing Requirement view enabled in the Applications and Life & Annuities screens, can be used to view the output of the Requirement Manager business service, for requirement templates defined on the FINS Application and FINS Life Policy business objects respectively. However, through configuration, the Requirements Manager can be invoked from any screen.

When invoked, the business service automatically prefills the target list or form with records as defined in the Administration - Requirement Template screen.

To invoke Requirements Manager

- 1 Navigate to either:
 - Applications > Applications List > Closing Requirements
 - Life & Annuities > Life Policy List > Closing Requirements
- 2 In the Templates list, create a new record.
- 3 Select the template name as defined in ["Creating Requirement Templates"](#) on page 259.
- 4 In the Templates list, click Execute.

Requirements Manager prefills Activities, Workflow, and Documents lists based on the records specified in the Administration - Requirement Template screen.

- 5 Complete the fields in the Activities, Workflow, and Documents lists.

NOTE: If the workflow is not set to run automatically, you can set the workflow manually by clicking Execute in the Workflow list.

Creating Record Group Templates

The Record Group Template is used to define a template that works in a specific business object/component. The Record Group Template is used to aggregate other record group template and record templates. A record group template is based on the business component relationship defined in the business object layer, and can be used to recursively execute interrelated business components, and generate data in a particular business component.

A record group template can include other related record group templates and related record templates. When the business service executes a record group template, it automatically, recursively executes any other related record template or related record group template defined.

Creating a Record Group Template involves the following steps:

- 1 Creating Record Group Templates
- 2 Creating Related Record Group Templates
- 3 Creating Related Record Templates

For an example of setting up a record group template, see ["Example of Using Requirements Manager for Record Group Templates" on page 264](#).

To create a record group template

- 1 Navigate to Site Map > Administration - Record Template > Record Group Template.
- 2 In the Record Group Template list, create a new record and complete the fields.

Some fields are described in the following table.

Field	Description
Template Name	Name for the record group template.
Display Name	The display name of the template as seen in the UI.
Business Object	The business object for the template.
Business Component	The business component on the selected business object.

- 3 In the Related Record Template list, create a new record and complete the fields.

The Related Record Template list can be used to specify a child of the record group template. Upon execution, the business service inserts a record in the business component on which the record template is defined, for the corresponding parent record.

Field	Description
Template Name	Name of the child template record.
Exclusion Rules	A valid Siebel query language expression. If this conditional expression evaluates to "True" then the related record template is excluded.

Field	Description
Repeat Expression	A field indicating the number of times the record template should be executed within the context of the parent record group template. By default this is set to 1.
Business Component	Read-only field. Identifies the business component on which the exclusion rules are evaluated.

- 4 In the Related Record Group Template list, create a new record and complete the fields.

The Related Record Group Template list can be used to specify the child record group template. Upon execution, the business service executes the business component on which this record group template is defined, within the context of the corresponding parent record group template.

Field	Description
Template Name	Name of the related record group template.
Exclusion Rules	A valid Siebel query language expression. If this conditional expression evaluates to "True" then the related record template is excluded.
Business Component	Read-only field. Identifies the business component on which the exclusion rules are evaluated.

Example of Using Requirements Manager for Record Group Templates

This section provides an example of configuring record group templates for automatically generating vehicle coverages.

Record group templates can be used to automatically generate default coverage for vehicles in an auto policy.

To configure a record group template for generating vehicle coverages

- 1 Navigate to Site Map > Administration - Insurance > Auto Coverages.
- 2 For each auto coverage in the Coverage Administration list, in the Coverage Values list, check the default flag for one of the values.
- 3 Navigate to Stamp > Administration - Record Template.

- 4 Create a new record in the Record Template list and enter the values as shown in the following table.

Field	Value
Template Name	INS Vehicle Default Coverage
Display Name	Auto Default Coverages
Business Object	INS Policy
Business Component	INS Vehicle Default Coverage

- 5 Leave the Fields list empty.

The predefault values set for the fields in this business component in Siebel Tools will be considered during execution.

- 6 Navigate to the Record Group Template view.
- 7 Create a new record in the Record Group Template list and enter the values as shown in the following table.

Field	Value
Template Name	INS Vehicle Available Coverage Value Template
Display Name	INS Vehicle Available Coverage Value Template
Business Object	INS Policy
Business Component	INS Vehicle Available Coverage Value
Condition	[Default]='Y'

- 8 In the Related Record Template list, create a new record and pick the record template defined in [Step 4](#).
- 9 Create another new record in the Record Group Template list and enter the values as shown in the following table.

Field	Value
Template Name	INS Vehicle Template
Display Name	Default Vehicle Coverage Template
Business Object	INS Policy
Business Component	INS Vehicle

- 10 In the Related Record Group Template list, create a new record and pick the record group template defined in [Step 7](#).
- 11 Navigate to Auto Policies screen and create a new policy.

12 Drill down on the Policy # record to navigate to the Quick Quote view and create the following records:

- a** In the Vehicles list, create new vehicles
- b** In the Drivers list, create new driver records

13 Click the Rate Model view tab.

The vehicles list should display the vehicles created in the previous step.

14 Select a vehicle record and click Default Coverages.

The Select Templates to Run dialog box appears, and displays the template defined in [Step 9](#) after evaluating any conditional expressions defined.

15 In the dialog box, click Execute.

Default Vehicle Coverages are automatically created in the Vehicle Coverage list for the selected vehicle record. These default coverages correspond to the default coverages selected in the Administration - Insurance views in [Step 2](#).

Customer Authentication Manager

Financial service institutions require rigorous customer authentication before a financial transaction can take place. Furthermore, authentication becomes important in the long run as privacy and security regulations have become common in the retail banking and also make their way into insurance and healthcare businesses.

Typically, a bank may enforce tiered authentication policies which require a basic validation for transaction up to certain limit, and require more rigorous transaction-based authentication for transactions over the limit. In certain cases, for customers who perform regular high-value transactions, the bank may use token validation, common ones being RSA tokens, or scratch lists.

Customer Authentication Manager is a flexible utility that can be used to implement a secure and auditable customer authentication during a sales or service process. Customer Authentication Manager can be used to prompt customer service representatives to authenticate a caller before providing any service. Customer Authentication Manager provides the following key features:

- Ability to define multiple authentication templates using fields from the contact profile
- Rules-based, context sensitive invocation of authentication template
- Access from the global toolbar
- Audit trail of past authentication events; facilitates quick and accurate conflict resolutions
- Ability to define success and failure workflows to take appropriate actions

Administering Customer Authentication Manager business service involves the following steps:

- 1** Creating an authentication template
- 2** (Optional) Defining authentication rules

Creating Customer Authentication Templates

Customer authentication templates define the credentials used for authentication and the actions that follow a successful or a failed authentication attempt.

To create a customer authentication template

- 1 Navigate to Site Map > Administration - Application > Authentication Template.
- 2 In the Templates list, create a new record and complete the fields.

Some fields are described in the following table.

Field	Comments
Name	Name for the authentication template.
Description	Description for the template.
Success Workflow	<p>Siebel workflow to invoke if the authentication is successful.</p> <p>The workflow called here should be deployed and active. The fields used for authentication and the confirm flag are passed as process properties to this workflow.</p> <p>TIP: Use the success workflow to log the status of the authentication for audit purposes.</p>
Failure Workflow	<p>Siebel workflow to invoke if the authentication failed.</p> <p>The workflow called here should be deployed and active. The fields used for authentication and the confirm flag will be passed as process properties to this workflow.</p>
Default	<p>If flagged as default, this template will be used as the default template. Default template is invoked if all rules defined in the Authentication Rules fail.</p> <p>Only one template can be flagged as default.</p>
Alternate Template	<p>Defines an alternate template to use for authentication if the caller fails to authenticate using the current template. The alternate template is invoked by clicking the alternate button on the authentication pop up window.</p>

- 3 In the Credentials list, create a new record and complete the fields.

Some fields are described in the following table.

Field	Comments
Business Object	Business Object for the credential field. In the current Siebel release, the Contact business object is the only business object that is available for use. Hence, this field is predefaulted and read-only.
Business Component	Business Component reference for the credentials field. The business component used here should be valid business component on the Contact business object.
Field Name	Name of the business component field. Only single value fields are supported; multi-value fields are not supported and may cause system instability if used.
Display Name	The display name for the business component field. This specifies the label for the field at run time.
Search Specification	For any one-to-many contact business component the search specification provides the criteria to narrow selection to a single record.
Required Flag	Flag to indicate that the field needs to be verified for the authentication to be successful. If a required field is not confirmed at run time, the authentication fails. Defaults to No.

Defining Customer Authentication Rules

Customer authentication rules define the logic to select an authentication template. When authentication manager is invoked, the business service steps through each rule for all applicable rule-sets to find a rule that evaluates to "true". The template defined against this rule is used for authentication. If no rules are defined, or if none of the rules succeed, default template, if defined, is used for authentication.

To create a customer authentication rule

- 1 Navigate to Site Map > Administration - Application > Authentication Administration.

- 2 In the Rule Sets list, create a new record and complete the fields.

Some of the fields are described in the following table.

Field	Comments
Name	Name for the authentication rule set.
Description	Description for the rule set.
Business Object	Business Object context for evaluating the rules.
Business Component	Business Component context for the conditional expression and rules evaluation.
Conditional Expression	<p>A valid Siebel query language expression. If this conditional expression evaluates to "True" then the rules under the rule-set would be evaluated.</p> <p>TIP: Use the expression builder to test the validity of conditional expressions.</p>
Active Flag	<p>Flag to activate or inactivate a rule-set.</p> <p>The field predefaults to Inactive.</p>

NOTE: If the conditional expression is not used, there should be only one rule-set per business object/business component defined. If there are multiple rule-sets for the same BO/BC, and a conditional expression is not defined, then the sequence of examination is random.

- 3 In the Rules applet, create a new record and complete the fields.

Some of the fields are described in the following table.

Field	Comments
Sequence	Sequence number for rule evaluation.
Business Component	<p>Business component reference for the expression evaluation.</p> <p>This field predefaults to the BC on the rule-set definition and is a read-only field.</p>
Inclusion Expression	<p>Siebel query language expression that specifies the rule.</p> <p>If this conditional expression evaluates to "True" then the template associated with the rule is selected; further evaluation of the rules is aborted.</p> <p>TIP: Use the expression builder to test the validity of Inclusion expressions.</p>
Template Name	The authentication template to use if the rule succeeds.

Invoking Customer Authentication Manager

Customer Authentication Manager is available out of the box on the Contact, Members, and Providers screens. However, using Siebel Workflow, the Customer Authentication Manager can be invoked from any screen that contains a Contact, Member, or Provider business component.

Figure 8 shows the authentication icon on the toolbar. The Customer Authentication Manager is invoked by clicking this icon.



Figure 8. Authentication Icon on Toolbar

To authenticate a contact

- 1 Navigate to Contacts List view.
- 2 Select the contact to authenticate and click the authentication icon on the toolbar.
The Siebel Authentication Manager dialog box appears.
- 3 Check the Confirmed checkbox for each field listed.
- 4 Do one of the following:
 - To authenticate, click Authenticate. If all required fields are confirmed, the authentication succeeds.
 - To use an alternate template, click Alternate. If an alternate template is defined, it appears.
 - To cancel authentication, click Cancel.

NOTE: When Authentication Manager is invoked, if a matching template is not identified, an error message appears.

Calculation Manager

The Siebel Calculation Manager is designed to allow financial services institutions to declaratively define and execute simple to moderately complex calculations within their Siebel application. It is implemented as a business service that accepts input parameters for calculation, and the results are available as output parameters. The Calculation Manager is tightly integrated into the Siebel application architecture and can use Siebel Business component fields for input or output. The business service facilitates specification of embedded calculation by business analysts.

Some examples of how Siebel Calculation Manager could be used:

- **Loan Payment Schedule.** The term, amount, and interest rate of a consumer installment loan are captured in a Siebel Application. Calculation Manager is invoked to generate a schedule of the amounts due—split by principle and interest—for each month of the term. The user evaluates the schedule, runs several *what-if* scenarios with different loan amounts, and then exports the schedule to an excel spreadsheet.
- **Currency Conversion.** A user wants to know the value of \$100,000 in Japanese yen at the current exchange rate. Calculation Manager is invoked, and an input dialog box is presented. The current exchange rate has been prefilled into the dialog box. The user enters 100,000 as an input, and clicks Calculate to see the result. The results are not saved.
- **Early Withdrawal Penalty Calculation.** A customer wants to remove money from a retirement account he holds but there is a penalty involved. The calculation of the penalty is complex, and has been entered into Siebel as eScript. Upon invoking the Calculation Manager, Siebel pulls in the variables necessary for the penalty calculation and runs the eScript. The result is saved in the Siebel business component.

Specifying Calculation Rules

Calculations are entered as calculation rules in a list, similar to how validation rules or Siebel personalization rules are administered.

Calculation rules are specified in three stages:

- 1 Specify a calculation rule-set. See ["To specify a calculation rule-set" on page 271](#)
- 2 Specify variables used in the calculation. See ["To specify variables" on page 272](#).
- 3 Specify calculation details. See ["To specify calculation details" on page 273](#).

To specify a calculation rule-set

- 1 Navigate to Site Map > Administration - Application > Calculation Manager.
- 2 In the Rule Sets list, create a new record and complete the fields.

Some fields are described in the following table.

Field	Comments
Name	Name for the calculation rule set. Rule-set names are language independent.
Comments	Brief description for the rule set.
Business Object	Business object context for evaluating the rules.
Array Output Business Component	Business component context for writing the output of an array calculation, such as Amortization table calculation.
Active Flag	Flag to activate the calculation rule set. By default a calculation rule set is inactive.

Field	Comments
Script Flag	Flag to indicate that the calculation rule is specified as a script rather than declarative rules.
Type	List of values that provides the ability to categorize rules for easier administration.
Applet Title	Title for the pop-up applet that appears when the calculation manager is invoked in the interactive mode.

To specify variables

- 1 Navigate to Site Map > Administration - Application > Calculation Manager.
- 2 Select a Rule Set for which to specify variables.
- 3 In the Variables list, create a new record and complete the fields.

Some fields are described in the following table.

Field	Comments
Sequence Number	Sequence number for the variable specification. The variables on the pop-up applet appear in the sequence specified.
Name	Internal name for the variable used when specifying the calculation rule. Variable names can contain a maximum of 35 characters and cannot include spaces or arithmetic operators.
Display Format	Display format for the variable. Example, \$###.##
Display Name	Label for the variable when presented to user.
Type	Type of variable. Values are Input, Output, or Output Array.
Business Component	Business component context for the variable.
BC Field Name	Business Component field name. If the variable is an input variable, the run-time value of the business component field name is assigned to this variable. If the variable is an output variable, the value calculated for the variable is written into the business component field name.
Optional	Optional variables are variables not critical to the calculation, but may be specified to alter the calculation. This flag defaults to "No."
Default Value	Default value for the variable in the calculations. This value appears in the dialog box for the variable.

Field	Comments
Testing Value	Value for the variable when the Calculation Manager is invoked in the simulator.
Suppress Display	Flag to indicate that the variable is hidden and not displayed to the user when calculation manager is invoked in the interactive mode.
Variable Include	Include the variable in the script generation.

To specify calculation details

- 1 Navigate to Site Map > Administration - Application > Calculation Manager.
- 2 Select a Rule Set for which to specify calculation details.
- 3 In the Rules list, create a new record and complete the fields.

Some fields are described in the following table.

Field	Comments
Sequence Number	Sequence number for the rule execution.
Expression	<p>Calculation expression. The expression is guided by the following:</p> <ul style="list-style-type: none"> ■ Operator Support. All basic arithmetic operators, including exponents, are supported (+, -, *, /, ^). Nested quantities (i.e. parentheses) are also supported. ■ Simple Calculations. Simple calculations, such as $a+b=c$, are defined in a single row. ■ Compound Calculations. Multiple rows of calculations may be specified in a single Template. This enables multiple variables to be calculated independently, and then used in subsequent calculations. ■ For-Next Logic. Simple looping is supported to enable the generation of arrays. To accomplish looping, use a 'For' statement and a 'Next' statement. Example: <ul style="list-style-type: none"> ■ row 1: For N=1 to Period, ■ row 2: [calculation] ■ row3: Next N. <p>For-Next loops may be nested.</p> ■ If-Then-Else Logic. Simple If-Then-Else logic is supported declaratively. As in the case of For-Next, If-Then-Else statements appear on multiple rows of the calculation set. Nesting of If-Than-Else statements is supported.

Example of Using Embedded eScript for Mortgage Calculation

For compound calculations, embedded eScript is a more appropriate mechanism. The following is an example of a mortgage calculation using eScript.

```

var Amount= 0;
var NumPeriods= 0;
var Rate= 0;
var InterestPaid = new Array;
var Payment = new Array;
var Period = new Array;
var PrincipleBalance = new Array;
var PrinciplePaid = new Array;
var PeriodPayment = 0;
var TotalInterest = 0;
var TotalPayment = 0;

function GetInput (Inputs)
{
    with(Inputs)
    {
        var temp;
        temp = GetProperty("Amount");
        if (temp.length!=0)
            Amount= ToNumber(temp);

        temp = GetProperty("NumPeriods");
        if (temp.length!=0)
            NumPeriods= ToNumber(temp);

        temp = GetProperty("Rate");
        if (temp.length!=0)
            Rate= ToNumber(temp);
    }
}

function Main()
{
    Period[0] = 0;
    InterestPaid[0] = 0;
    PrinciplePaid[0] = 0;
    Payment[0] =0;
    PrincipleBalance[0] = Amount;
    Rate = Rate /1200;
    PeriodPayment = Amount / (1.00/Rate - (1.00/Rate)/Math.pow((1.00+Rate),
    NumPeriods));
}

```

```

for(var i=1; i<=NumPeriods-1; i++)
{
    Period[i] = i;
    InterestPaid[i] = PrincipleBalance[i-1]*Rate;
    Payment[i] = PeriodPayment;
    PrinciplePaid[i] = Payment[i]-InterestPaid[i];
    PrincipleBalance[i] = PrincipleBalance[i-1] - PrinciplePaid[i];
}

TotalPayment = NumPeriods * PeriodPayment;
TotalInterest = TotalPayment - Amount;
}
function Service_PreInvokeMethod (MethodName, Inputs, Outputs)
{
    GetInput(Inputs);
    Main();
    SetOutput(Outputs);
    return( CancelOperation );
}
function SetOutput (Outputs)
{
    Outputs.SetType("Result");

    var psArray = TheApplication().NewPropertySet();
    psArray.SetType("Array");
    var len = InterestPaid.length;
    for(var j=0; j<=len-1; j++)
    {
        var psArrayElement = TheApplication().NewPropertySet();
        psArrayElement.SetProperty("InterestPaid",InterestPaid[j]);
        psArrayElement.SetProperty("Payment",Payment[j]);
        psArrayElement.SetProperty("Period",Period[j]);
        psArrayElement.SetProperty("PrincipleBalance",PrincipleBalance[j]);
        psArrayElement.SetProperty("PrinciplePaid",PrinciplePaid[j]);
        psArray.AddChild(psArrayElement);
    }
    Outputs.AddChild(psArray);

    var psPeriodPayment= TheApplication().NewPropertySet();
    psPeriodPayment.SetProperty("PeriodPayment",PeriodPayment);
    Outputs.AddChild(psPeriodPayment);

    var psTotalInterest= TheApplication().NewPropertySet();
    psTotalInterest.SetProperty("TotalInterest",TotalInterest);
    Outputs.AddChild(psTotalInterest);
}

```

```

var psTotalPayment= TheApplication().NewPropertySet();
psTotalPayment.SetProperty("TotalPayment",TotalPayment);
Outputs.AddChild(psTotalPayment);
}

```

Invoking Calculation Manager

Calculation Manager is invoked from within a Siebel workflow and can be triggered using a mini-button on an applet. To invoke Siebel Calculation Manager in a workflow, use a business service step.

Using the FINS Calculation Engine Business Service and the Calculate business service method, set the input arguments as described in [Table 26](#). There are no output arguments for this business service.

Table 26. Input Arguments to Invoke Calculation Manager

Name	Type	Comments
Rule Expression Name	Literal	Name of the Calculation Rule
Primary BC Name	Literal	Name of the primary Business Component
Primary BC Rowid	Process Property	Typically the Object Id of the Workflow
Save To BC	Literal	Y or N
Child BC Namen (Optional)	Literal	Name of the child Business Component
Child BC RowIdn (Optional)	Literal	Row id for the Child Business Component

When invoked interactively, the calculation manager displays a pop-up dialog box with the input and output arguments. To perform the calculation, enter all input arguments and click the Calculate button. A second pop-up dialog box appears with the calculated values. Click the Cancel button to finish the calculation.

Customer Expectations Manager

Managing customer expectations around the length of time it takes to complete their requests is crucial in maintaining customer satisfaction. Although many financial transactions complete in seconds, a number of key relationship-enhancing tasks require lead time of one or more days to complete. For example:

- Bank check deposits may not be available for immediate withdrawal and are subject to clearing.
- Credit and insurance applications typically undergo an underwriting process where the application is evaluated for its creditworthiness, risk profile, and other factors that go into approval and pricing. Fast turnaround is a competitive differentiator.

- Healthcare service complaints and grievances are handled through a structured review and appeals process. In many jurisdictions, the processing of the complaints and grievances must meet regulatory standards.

The Siebel Customer Expectations Manager (CEM) provides the ability to use historical estimates of task completion times to aid the customer service representative in setting expectations for service completion. It is most useful in situations where a standardized process is being executed and there is a need to estimate the expected completion date. Siebel CEM has the following two key features:

- Ability for an administrator to input the factors governing the time to complete task.
- A run-time engine that sets Due Date and Expected Close Date for the enabled objects.

NOTE: For CEM vs. Agreements/Entitlement Metrics, it is possible to establish an agreement for an account that includes entitlements mandating the completion of Service Requests within specified entitlement metrics. When these are setup, and the user navigates to the Service screen, they see a Verify button. Clicking this button invokes the calculation of an Agent Committed Time. The entitlement metrics will calculate a contracted due date. In contrast, CEM calculates an estimated completion time or due date based on how long a process historically takes to complete. In cases where a service agreement is in place, the contracted dates take precedence.

Defining Customer Expectation Manager Rules

The CEM administration screen holds the historical estimates for task completion times and the rules for selecting an appropriate line. When CEM is invoked, the business service steps through each rule for all applicable rule-sets to find a rule that evaluates to "true". The estimates defined against this rule are used for calculation of expected times.

To create a CEM rule

- 1 Navigate to Site Map > Administration - Application > Customer Expectations Manager view.

- 2 In the Rule Sets Applet, create a new record and complete the fields.

Some fields are described in the following table.

Field	Comments
Name	Name for the CEM rule set.
Business Object	Business object context for evaluating the rules.
Business Component	Business component context for the conditional expression and rules evaluation.
Conditional Expression	A valid Siebel query language expression. If this conditional expression evaluates to "True" then the rules under the rule-set would be evaluated. TIP: Use the expression builder to test the validity of conditional expressions.
Active Flag	Flag to activate or inactivate a rule-set. The field predefaults to Inactive.

NOTE: If the conditional expression is not used, there should be only one rule-set per business object/business component defined. If there are multiple rule-sets for the same BO/BC, and a conditional expression is not defined, then the sequence of examination is random.

- 3 In the Rules list, create a new record and complete the fields.

Some fields are described in the following table.

Field	Comments
Sequence	Sequence number for rule evaluation.
Business Component	Business component reference for the expression evaluation. This field predefaults to the BC on the rule-set definition and is a read-only field.
Conditional Expression	Siebel query language expression that specifies the rule. If this conditional expression evaluates to "True" then the estimates associated with the rule is selected; further evaluation of the rules is aborted. TIP: Use the expression builder to test the validity of Inclusion expressions.
Name	Unique name for the rule. Used to improve performance of the rule-set search during execution. Internally, a user key will be constructed on the name field.

Field	Comments
Schedule	<p>Schedule to use for calculating the expected completion times for the task.</p> <p>Schedules govern the working hours, holidays, and downtime. If selected, the start time for the task is calculated using the schedule.</p> <p>Schedules are administered under Administration - Service > Schedules screen. Refer to <i>Siebel Field Service Guide</i> for details on schedule administration.</p>
Use Employee Schedule	If flagged, the employee schedule is used to calculate the start time. Employee schedule override the default schedule.
Unit	Unit of measure for the preparation, expected and slack times. Valid units: Minutes, Hours, or Days.
Preparation Time	Queue time for the task.
Expected Time	Expected time to complete the task.
Slack Time	Time buffer to allow for deviations from the expected completion time.
Auxiliary Field	<p>(Optional) Specify Business Component field-value pairs. The specified fields are updated with the values based upon the rule selected. Example:</p> <p>"Priority","0-ASAP"</p>

Invoking Customer Expectations Manager

In the current version of Siebel Financial Services, CEM is enabled for the Service Request object.

To invoke CEM

- 1 Click the Calculate Dates button on the Service Request form.

The CEM business service is invoked, and based on the administrative setup a pop-up dialog box appears with the expected completion dates for the service request.

Closing the dialog box, the expected completion times are written into the current service request.
- 2 Click the show more button on the Service Request form to view the expected completion times in the Internal Tracking - Expected Times section.

Data Transfer Utilities (DTU)

This business service allows you to transfer data from a source business component to a destination component. For example, a user can enter data in one view, then use a toolbar command to navigate to another view. Data entered in the first view will be automatically entered in the second view.

About Data Maps

Data maps are the logic defining the flow of data from one location to another. The DTU business service uses data maps to transfer data from one location in the Siebel application to another.

This section contains the following topics:

- ["Data Map Objects" on page 280](#)
- ["Data Map Components" on page 281](#)
- ["Data Map Component Advanced Options" on page 282](#)
- ["Data Map Fields" on page 283](#)

Data Map Objects

Data map objects indicate the data that is being transferred from the source business object to the destination business object. You can use the Administration - Application > Data Map Administration screen to define data map objects. Only Siebel administrators should have access to this screen. Data map objects are described in [Table 27](#).

Table 27. Data Map Objects

Object	Description
Name	The name of the data map object. Enter a unique name.
Source Business Object	The name of the source business object. You must define this name in the Siebel Repository file.
Destination Business Object	The name of the destination business object. You can specify the same business object as both source and destination business object.
Inactive	Check this box to make the data map object inactive.

TIP: Data map objects are cached in memory. Whenever you make changes to an existing data map object, click the Clear Cache button to refresh the cache so that your changes appear.

Data map objects can be imported or exported as XML files through the Data Map Object applet menu items: XML Import, XML Export.

Data Map Components

Data map components define the mapping at the child business component level. Each data map object can contain multiple data map components. You can arrange data map components in a parent-child hierarchy, but you must specify a parent for all except one data map component. The parentless data map component is called the root data map component. Data map components are described in [Table 28](#).

Table 28. Data Map Components

Component	Description
Name	The name of the data map component. Enter a unique name for each data map component in a data map object.
Source/Destination Business Component	The name of the source or destination business component. If you specify a parent for this data map component, you must define this business component in the Siebel repository file as a child of the source or destination business object to which the parent data map component is mapped.
Parent	The name of the parent data map component. If you specify a parent, the parent is mapped to particular source and destination business components. Generally, you map the child data map component to a child of those source and destination business components. If you do not want to specify a parent, leave it empty to indicate that this is the root data map component. Each data map object can have only one root data map component.
Inactive	Check this box to make the data map component inactive.

Data Map Component Advanced Options

Data transfer can be fine-tuned at the component level using Advanced Options multi-value fields. Data map components advanced options are described in [Table 29](#).

Table 29. Data Map Components Advanced Options

Component	Description
Source Search Specification/Source Sort Specification	<p>To define the source Buscomp search spec and sort spec. The value can be a literal search spec/sort spec string. It can also contain a named parameter. See "Using Named Parameters in DTU" on page 284. For example:</p> <pre>[Id] = [&ContactId]</pre> <p>where ContactId is a named parameter. At run time, only named parameters are replaced by their string values.</p>
Source Record Row Number	<p>One can selectively transfer only a subset of source Buscomp records. This can be defined in three formats:</p> <ul style="list-style-type: none"> ■ Start-End ■ Start- ■ Number <p>For example, 0-5, 4-, 0. Note that the row number starts at 0.</p>
Operation Override	<p>This option allows one to override the operation at the component level. For example, if the current operation is "Insert", you can use this option to set some component to operate "Update" instead.</p>
No Association	<p>Y/N. Applicable to buscomps that have association list. By default, it is Y. DTU will first try to locate the desired destination record in the associate list. If successful, the located record will be associated. Otherwise, a new record is created.</p> <p>If N, association of existing records is not attempted. New record is created instead.</p>

All advanced option values can contain named parameters. At run time, the named parameter is substituted by its run-time value.

If the source Buscomp has been well positioned, the source search spec, the source sort spec, and source record row number must be evaluated to be empty at run time, otherwise a wrong advanced option error is encountered. See ["Well-Positioned Buscomps" on page 290](#) for more information.

Advanced Options does not apply to mvlg subcomponents.

Data Map Fields

Data map fields define the field-to-field mapping. Data map fields are described in [Table 30](#).

Table 30. Data Map Fields

Field	Description
Source Type/ Destination Type	<p>Type of the source /destination field. Can be: Field, Expression, or Parameter:</p> <ul style="list-style-type: none"> ■ Field - a Siebel Buscomp field as defined in the srf. ■ Parameter - a named parameter A named parameter should be pre-fixed with "&". See "Using Named Parameters in DTU" on page 284. For example: &ContactId ■ Expression - a Siebel calculation expression. See "Calculation Expressions in DTU" on page 285.
Source /Destination.	<p>The contents of these fields depends on the source and destination type. If the type is Field, it should be a Buscomp field name. If the type is Expression, it should be a Siebel calculation expression. If the type is Parameter, it should be a named parameter.</p> <p>If the destination field is a calculated expression, the record is not used to update the destination Buscomp. Instead, the result of the expression, evaluated at run time, is written back into the source field at the end of the data transfer operation of the component. If source is a Buscomp field, then source Buscomp is updated. If the source is Parameter, the corresponding named parameter value is updated. If the source is Expression, nothing happens.</p>

Table 30. Data Map Fields

Field	Description
Key	<p>Matches destination records with source records.</p> <p>For example, the Update operation updates the record in the destination business component whose key destination fields all match those of the corresponding source fields.</p> <p>Each data map component in general should contain at least one key field. When there is no key defined, if the operation is Insert, DTU would proceed without checking if a duplicate record with the same key fields already exists. If the operation is Update, it would update the current destination record.</p> <p>If the destination business component is populated with an associated list business component, at least one key field is required.</p>
Source /Destination Multi-Value Link	<p>This link indicates that the source and destination fields are multi-value fields.</p> <p>Data is transferred from one multi-value field to another by dividing data map fields into several subcomponents. All entries with the same source and destination multi-value link constitute a subcomponent. Specify a key for each subcomponent.</p> <p>NOTE: Data transfer from a multi-value field to a single-value field is not allowed.</p>

Using Named Parameters in DTU

You can use named parameters to pass in a run-time dynamic value into DTU. For example, imagine you want to pull a contact's latest information into your Buscomp. At design-time, you cannot foresee what the contact's Id. Instead, you use a named parameter &ContactId. At run time, you pass in the value &ContactId.

Named parameters are defined implicitly in two ways:

- **Business Service Arguments.** One can pass in the named parameters when DTU is invoked. DTU knows an argument is a named parameter if the argument name is prefixed with &.

For example,

```
var psinputs, psoutputs;
var myContactId = '0-45TU890';
psinputs = TheApplication().NewPropertySet();
psoutputs = TheApplication().NewPropertySet();
psinputs.SetProperty ("DataMapObj", "My Test DTU Object");
psinputs.SetProperty ("Operation", "Update");
```

```
psinputs.SetProperty("&ContactId", myContactId);
var obs = TheApplication().GetService("FINS Data Transfer Utilities");
obs.InvokeMethod("DataTransfer",psinputs, psoutputs);
```

&ContactId serves as a named parameter.

The input value of a named parameter can be a calculation expression. In order to do so, set the value to be:

```
Expr: "YourExpression"
```

which is the syntax of Buscomp field predefault. At run time, the expression is evaluated against the initiator Buscomp. For more information on initiator buscomp, see the argument description in ["DataTransfer Method" on page 287](#).

- **Assignment by DTU.** At run time, you can transfer into a named parameter if the field type is Parameter. When this happens, if the named parameter is still not defined, it will be instantiated.

A named parameter must be implicitly defined first before it can be used. In other words, unassigned named parameters cannot be used.

Named parameters can be used to define Data Map Component Advanced Options, and Data Map Field Source or Destination that are of type Expression.

All named parameters are output into the DTU service output arguments.

TIP: Whenever a named parameter is used in DTU, it should be prefixed with &.

Calculation Expressions in DTU

When Data Map Field Source/Destination Type is Expression, the Source/Destination Fields are calculation expressions that follow Siebel Query Language syntax. See *Personalization Administration Guide* for more information on Siebel Query Language.

DTU contains two extensions to Siebel Query Language:

- 1 Curly bracket pair {field}
- 2 Named Parameter

Curly Bracket Pair {field}

Use this syntax to refer to a buscomp field at the other business component side. For example, if you define the following expression as the source,

```
{ContactId}
```

[ContactId] would be evaluated at the destination buscomp. When {} is involved, please note that {} takes the highest precedence over other operator. Thus, if you have an expression like:

```
'{Last Name}' + 'Test'
```

{Last Name} has precedence over quotes ". If the person's last name is Agee, {Last Name} is evaluated to be "Agee". As a result, the final value is

"Agee" Test

instead of

{Last Name} Test

Named Parameter

A calculation expression can contain named parameters, using the syntax of [&Parameter]. It is important to pre-fix the ampersand to indicate a named parameter. For example,

"sadmin's opportunity #" + [&opptyId]

For more information on named parameters, see ["Using Named Parameters in DTU" on page 284](#).

Data Transfer Utilities Methods

This section describes the following Data Transfer Utilities business service methods:

- ["DataTransfer Method" on page 287](#)
- ["FAFireEventxxx Method" on page 288](#)
- ["GetActiveViewProp Method" on page 288](#)
- ["TryMockMethod Method" on page 289](#)
- ["QueueMethod Method" on page 289](#)

DataTransfer Method

The DataTransfer method transfers data from the source business component to the destination business component.

Argument	Description
Data Map Object (Required)	The name of the data map object that defines the mapping.
Operation (Required)	Valid entries include Insert, Update, Delete, and Upsert.
GotoView (Optional)	The name of a view that appears to users after the data transfer operation.
Option (Optional)	<p>A text field that allows you to specify additional options for the operation. Supported options include:</p> <ul style="list-style-type: none"> ■ NewSrcBusObj - force to instantiate a new Source business object. Use instead of NewBusObj. ■ NewDstBusObj - force to instantiate a new destination business object. ■ RootNotCommitted - suggest DTU not to commit the root component if possible. ■ SrcRootAdminMode - Set the source Buscomp of the root data map component to Admin mode. This is valid only if the root source Buscomp has not been executed. <p>The following syntax is recommended for defining Option:</p> <pre>/option1 /option2 ...</pre> <p>For example,</p> <pre>/NewSrcBusObj /NewDstBusObj</pre>
Initiator Business Object (Optional)	<p>Used as a sanity check. If the BusObject that invokes DTU is different from what is specified by the InitBO argument, DTU exits as an external error.</p> <p>Initiator Business Object is part of the invocation context. DTU receives a reference of the initiator business object only when invoked from Runtime Evens, Buscomp Named Methods, or workflow processes with its business object defined. See "About Auto Application" on page 132 as an example. In Siebel Finance 7.7, DTU can be invoked without an initiator business object.</p>
Initiator Business Component (Optional)	By default, the Buscomp that invokes DTU serves as the InitBC. Initiator Buscomp plays an important role in determining how records are transferred. InitBC argument can be used to set other Buscomp in the Initiator BusObject as the Initiator Buscomp.

Argument	Description
Initiator Search Specification / Initiator Sort Specification (optional)	Initiator Buscomp search spec and sort spec.
Initiator Buscomp Enumerate Flag (Optional)	Y/N. By default, Initiator Buscomp Enumerate Flag is N. When it is true, DataTransfer will be applied to each record in the initiator Buscomp. When InitSearchSpec or InitSortSpec is specified, InitEnumFlg is implicitly true, even if InitEnumFlg is set to N.
MockMethodReplied	Y/N.

NOTE: It is recommended that you specify both InitBO and InitBC specifically when invoking DTU.

When InitSearchSpec, InitSortSpec, InitEnumFlg are used, DTU will re-query the initiator buscomp.

FAFireEventxxx Method

A hidden method that you can use to create a toolbar command. "FAFireEventxxx" invokes the method "EventMethodxxx" on the primary business component of the active view. "EventMethodxxx" triggers the event manager, which invokes either a workflow or a business service.

GetActiveViewProp Method

Auxiliary function to retrieve the active view's properties. It does not take any input arguments.

Argument	Description
Business Object	The name of the business object.
View	The name of the active view.
Screen	The name of the active screen.
Thread Applet	The name of the thread applet.
Is Administration Mode	Y or N.
View Mode Code	An integer representing Siebel view mode: <ul style="list-style-type: none"> ■ 0: SalesRep View ■ 1: Manager View ■ 2: Personal View ■ 3: AllView

TryMockMethod Method

Advanced auxiliary function for administration of tool bar button workflow. It does not take any input arguments.

Argument	Description
MockMethodReplied	Y or N.

QueueMethod Method

Launch a queue method on an applet in another view. When invoked, the UI will navigate to the view specified. Then the Queue method is invoked on the specified applet.

Other input arguments of this method will be cached into the application Shared Global, which can be retrieved back.

DTU DataTransfer method has built-in integration with the QueueMethod. When the input argument DataMapObject has the format:

```
sharedGlobal: NameofSharedGlobal
```

The data map object name can be retrieved from Shared Global with the name NameofSharedGlobal.

Argument	Description
GotoView	The name of the view to go to.
Applet	The applet name.
Method	The queued method to be invoked on the applet.

Considerations for Data Transfer Utilities

This section contains the following topics:

- ["Use of Active Business Objects" on page 289](#)
- ["Invocation Context" on page 290](#)
- ["Well-Positioned Buscomps" on page 290](#)
- ["Recursive Invocation" on page 291](#)

CAUTION: To verify that all operations are performed, SQL statements should be spooled during the development stage.

Use of Active Business Objects

Data Transfer Utilities execute inside a client's object manager.

The DTU reuses the current active business objects. It does not instantiate an independent source business object unless directed. This leads to both a leaner memory use and better performance. It is even more so if the destination business object is the same as the source business object. In such a case, no new business objects are instantiated for the business service.

Because of the reuse of active objects, you must exercise caution to preserve the current business object context. For example, the business components should not be in the query state when DTU is launched.

Invocation Context

DTU in general needs the pass-in of a reference to the active Buscomp. To do so, the business service should be invoked from Event Manager, Buscomp Named Method, or a workflow process that is invoked by the event manager. However, in Siebel Finance 7.7, the requirement that one must have an active Buscomp is relaxed.

Not all Buscomp events can be used to invoke the DataTransfer method. For example, Query event in general should not be used to trigger DataTransfer, as the buscomps are not in an updateable state.

In general, do not use DeleteRecord event. Use PreDeleteRecord event instead. This is because Siebel event manager does not pass in a reference to the active Buscomp in the DeleteRecord event.

Special care is needed when the service is used with other business services in a workflow. Other business services should not interfere the passing of a reference to the active buscomp. Use a spooled sql statement to confirm the operations carried out are correct.

Well-Positioned Buscomps

A well-positioned Buscomp is a Buscomp that has been positioned correctly, and whose position should not be disturbed. DTU uses the following rule:

- The initiator Buscomp is a well-positioned Buscomp.
- The ascendants of a well-positioned Buscomp are well-positioned.
- For a given data map component, the buscomps involved in all its parent data map components are well positioned.

If the source Buscomp is well-positioned, data transfer is only invoked on the current row of the source BusComp. Otherwise, the operation is carried out on all rows in the source BusComp at the moment of invocation. Also if the source Buscomp is well positioned, advanced options such as source search spec, source sort spec should be empty.

If the destination Buscomp is well-positioned, you do not need to specify key fields to retrieve the destination record. Even if you do in this case, DTU would ignore them.

When the destination Buscomp is well-positioned, if the current operation is Insert, it would be change to Update by default, unless overridden by Operation Overrides.

Recursive Invocation

By default, DataTransfer operation cannot be used to invoke another DataTransfer operation. In other words, at anytime within a client's object manager, there is only one DataTransfer method in the call stack.

Configuring Event-based Commands

The Data Transfer Utilities business service allows you to configure toolbar and menu commands based on Siebel Event Manager. For an example of how to use DTU to define a toolbar button, see ["About Auto Application" on page 132](#).

To configure event-based commands

- 1 Define a command in Siebel Tools. Business Service = "FINS Data Transfer Utilities". Method = "FAFireEventxxx". The method name can be anything that begins with "FAFireEvent". When the command is invoked, it, in turn, invoke method EventMethodxxx on the primary buscomp of the active view, where xxx is of the same value as in FAFireEventxxx.
- 2 Define a toolbar.
- 3 Define a toolbar item for the command you defined.
- 4 In the Siebel client, define a run-time event that will receive EventMethodxxx.
- 5 Navigate to Site Map > Administration - Runtime Events > Events, and create a Buscomp run-time event as listed in the following table. See *Personalization Administration Guide* for more information on run-time events.

Field	Entry
Sequence	-1
Object Type	BusComp
Object Name	The name of the business component in which the event is invoked. For a toolbar command, this is the primary business component in the view in which the command is invoked.
Event	InvokeMethod
Sub Event	EventMethodxxx. Choose the same value for xxx that you chose for FAFireEvent.
Action Set Name	The action set that invokes Siebel Workflow Manager or a business service.

Alternatively, you can define a workflow that has a Start step that contains run-time events. When the workflow is activated, both the Action Sets and run-time events are created automatically for you. See *Siebel Business Process Designer Administration Guide*.

- 6 Siebel run-time events are cached. After you make changes, click the Runtime Events applet menu item Reload Runtime Events.
- 7 Configure dynamic enabling of the command. For more information, see [“Dynamic Enabling of Commands” on page 292](#).
- 8 Define command visibility. In Siebel Tools navigate to Business Services > FINS Data Transfer Utilities. Define a user property in which Name = MethodName GotoView, and Value = The name of a view. MethodName is the name of the command method. When you define this user property, this method is enabled only for users who have visibility to the view defined in the value. If the method does not contain a GotoView, visibility is not imposed on the method.

Dynamic Enabling of Commands

When a command is invoked from a toolbar button or menu, the Data Transfer Utilities business service invokes the method EventMethodxxx on the primary business component of the active view. To allow the invocation to be captured by Siebel Event Manager, the primary business component should be derived from CSSBCBase.

When the view is changed, Siebel framework polls each command for the application-level toolbar buttons and application menu to determine whether the button or menu items should be made read-only.

There are two mechanism for the dynamic enabling/disabling of commands in DTU:

- Srf mode
- Mock Event Sink

The System Preference FINS DTU Enable FireEvent Mode is used to determine the mode. The value should be Srf or Runtime Event. The default value is Srf.

Srf Mode

In the Srf mode, a FAFireEventxxx invocation on a buscomp is enabled if there is a user property underneath the FINS Data Transfer Utilities business service as such that the name of the user property is:

Name: FAFireEventxxx Static Enabled BC [n]

Value: Buscomp Name

You can define multiple Buscomps for a FAFireEventxxx method.

Srf mode is introduced primarily for performance reasons. Compared with Runtime Event mode, it allows fast enabling/disabling of a command button without actually invoking a run-time event. Srf mode is the default mode.

Mock Event Sink

When System Preference FINS DTU Enable FireEvent Mode is Runtime Event, Data Transfer Utilities determines at run time whether a FAFireEventxxx method should be disabled or not by initializing Mock Event Mode. It sets up a global mock event flag within the client's object manager. It then invokes EventMethodxxx on the primary business component of the active view. If this EventMethodxxx is finally captured by a Mock Event Sink, a global response flag is set. When the Data Transfer Utilities finds out the response flag is set by a mock event sink, it enables the FAFireEventxxx method for that particular view. Otherwise, the method is disabled.

Mock Event Sinks are specialized business service methods that capture mock events. They check whether the client's OM is in the mock event mode. If not, they do nothing. If so, they reply to the mock event by setting the response flag as well as the output argument.

MockMethodReplied = 'Y'.

TryMockMethod in Data Transfer Utilities is a mock event sink. DataTransfer method has a built-in mock event sink.

Defining a Toolbar Button

For an example of how to use DTU to define a toolbar button, see ["About Auto Application" on page 132](#).

For information about configuring a toolbar button, see *Configuring Siebel eBusiness Applications*.

Automating Approval Processing

In Siebel Finance, administrators can define a number of approval levels without the need for programming, scripting, or configuring. You can define both basic or multiple step approval processing levels based on the needs of your organization. You can invoke approval processing from a workflow or a run-time event.

Automating an approval process involves the following steps:

- **Administrator defines approval items and approval stages.** For more information, see ["Defining Approval Items and Approval Stages" on page 293](#).
- **Administrator invokes approval processing.** For more information, see ["Invoking FINS Approval Item Service from a Workflow" on page 294](#).
- **End users approve or decline an approval stage.** For more information, see ["Approving or Declining Approval Stages \(End User\)" on page 297](#).

Defining Approval Items and Approval Stages

An administrator defines the approval process by creating approval items and approval stages in the Approval Administration view.

To define approval items and stages

- 1 Navigate to Site Map > Administration - Application > Approval Administration.
- 2 In the Approval Item list, add a record and enter a name in the Approval Item field.
- 3 In the Approval Flow Type field, select one of the following:
 - **Sequential.** Indicates this Approval Item will be distributed to approvers one after another in the sequence specified in the Approval Stage. The application will route the Approval Item to the next approver only if the current approver approves the request. If any one approver in the approval chain declines the request, the Approval Item is rejected and no further routing will be conducted.
 - **Parallel.** Indicates this Approval Item will be distributed to all approvers simultaneously for approval. The Approval Item is rejected if at least one approver declines the approval request.

Once you have defined an Approval Item, the next step is to define the appropriate approval stages. The Approval Item and Approval Stage lists have a parent-child relationship.

- 4 In the Approval Stage list, add a record for each approval stage and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Sequence #	Identifies the numeric sequence of this Approval Stage in the current Approval Item. The application executes Approval Stages in numerical order based on this number.
Approval Type	Specifies whether the approver is a position or an employee.
Owner Login Name	Indicates the login name tied to this Approval Stage. Relevant only if Approval Type is Employee.
Owner Position	Indicates the position tied to this Approval Stage. Relevant only if Approval Type is Position.

End users use the My Approval Inbox view to approve an approval item. For more information, see [“Approving or Declining Approval Stages \(End User\)” on page 297](#).

Invoking FINS Approval Item Service from a Workflow

To invoke FINS Approval Item Service from a workflow, you must create a workflow process in Siebel Tools containing the following steps:

- **Start.** Initiates the process instance. When the conditions have been met, the application initiates the process instance. See [“Configuring the Start Step” on page 295](#) for details.
- **Business Service.** A step in a process in which an automated call is made to the FINS Approval Item Service. A workflow process definition can have one or more business service steps. See [“Configuring the Business Service Step” on page 296](#) for details.

- **End.** A step in a process that specifies when a process instance is finished.

In order for your workflow to execute correctly, the Start and Business Service steps must meet the minimum requirements described in the referenced sections. For more information on workflows, see *Siebel Business Process Designer Administration Guide*.

Configuring the Start Step

Table 31 details some of the start step parameters for the workflow process.

Table 31. Parameters for Start Step

Field	Comments	Example
Event	The specific event that happens to the object. The set of available events is different for different object types.	Use the WriteRecord business component event if you want to trigger the approval process after the record is written to the database. Use the WriteRecordNew business component event if you want to trigger the approval process after a new record is written to the database.
Event Object	The name of the application, business component, or applet to which the event occurs.	Contact
Event Object Type	The type of object to which the event occurs. This can be an application, business component, or applet.	BusComp
Name	The name of the Next step branch. The name of the branch must be unique or you will not be able to import or export the workflow process.	

Table 31. Parameters for Start Step

Field	Comments	Example
Next Step	The name of the step that follows when conditions are met.	Picklist of existing process steps.
Type	The type of branch.	<p>The value can be one of the following:</p> <ul style="list-style-type: none"> ■ Condition. This value indicates that a condition is defined for the branch. ■ Default. This value indicates that if nothing else is satisfied, this branch will be followed. Additionally, if this value is used, any conditions defined for the branch are ignored.

Configuring the Business Service Step

Table 32 and Table 33 detail some of the business service step parameters and input arguments for the workflow process.

Table 32. Parameters for Business Service Step

Field	Value
Business Service	FINS Approval Item Service
Method	Create Approval Stage

Table 33. Input Arguments for Business Service Step

Input Argument	Property Name	Comments
Approval Identifier	Object Id	Row Id of the object (for example, a Service Request) that needs approval processing.
Approval Item Name	Approval Item Name	Name of the Approval Item defined in the Approval Administration view.
Requesting Buscomp	Requesting Buscomp	Name of the buscomp object (for example, a Service Request) that needs approval processing.

Approving or Declining Approval Stages (End User)

End users approve approval items in the My Approval Inbox view. Users can view approval items by login name or position. For more information on setting up approval processing, see [Defining Approval Items and Approval Stages](#) on page 293.

To approve or decline an approval stage

- 1 Navigate to Site Map > My Approval Inbox.
- 2 Select one of the following views:
 - **My Approvals.** Displays all approval items associated with the user's login name.
 - **My Position Approvals.** Displays all approval items associated the current user's position.
- 3 To view additional details about an approval item, drill down on the Approval Identifier hyperlink.
- 4 In that Status field, select Approve or Decline.

Once you select a status, the application populates the Approval By and Approval Date field and sets the record to read-only.

Automating the Display of Disclosure Documents

Disclosure processing allows companies to comply with internal company policies and external regulations that require they display disclosure statements or external documents to users and then record whether or not they have read and understood them. Implementing the automatic display of disclosure documents involves the following steps:

- **Set up a disclosure by associating it with a product and literature.** For more information, see ["Setting Up Disclosures"](#) on page 297.
- **Activate the appropriate workflows.** For more information, see ["Understanding and Activating Disclosure Workflows"](#) on page 299.
- **Invoke the Disclosure UI Service business service.** For more information, see ["Invoking the Disclosure UI Service Business Service"](#) on page 300.
- **View a disclosure history.** For more information, see ["Viewing Disclosures Associated with Contacts \(End User\)"](#) on page 300.

Setting Up Disclosures

To implement disclosure processing, you must associate each disclosure with a product and then (if applicable) with the appropriate document.

To associate a disclosure with a product

- 1** Navigate to Site Map > Administration - Product > Disclosure.
- 2** In the Product form, query for the product.
- 3** In the Disclosure list, add a new record and complete the necessary fields.
- 4** To activate a disclosure, select it in the Disclosure list and click Activate.
Clicking Activate changes the Status from In Progress to Active and makes the record read-only.

To revise an existing disclosure

- 1** Navigate to Site Map > Administration - Product > Disclosure.
- 2** In the Product form, query for the product.
- 3** In the Disclosure list, select the disclosure to be revised and click Revise.
Clicking Revise creates a new version of the disclosure and sets its status to In Progress
- 4** Make the appropriate changes to the new disclosure and click Activate.
Clicking Activate changes the Status from In Progress to Active and makes the record read-only. The prior version of the disclosure still appears, but displays a Status of Outdated.
- 5** To associate literature with a disclosure, add a new record in the Literatures list and complete the necessary fields.

For more information on loading literature into Siebel Finance, see the sharing literature discussion in the *Applications Administration Guide*.

Understanding and Activating Disclosure Workflows

Siebel Finance includes three workflows that help manage the display of disclosure documents and disclosure event logging. [Table 34](#) describes each workflow.

Table 34. Disclosure Workflow Processes

Workflow Process	Comments
FINS Disclosure	<p>The FINS Disclosure Workflow process accomplishes the following tasks:</p> <ol style="list-style-type: none"> 1 Invokes the Setup method of the Disclosure UI Service business service. Invoking this method sets up the appropriate disclosure documents based on the selected product. 2 Calls the FINS Disclosure Goto File View subprocess. This sub-process navigates users to the Disclosure Documents list where they can review all the disclosure documents pertaining to the selected product. This subprocess also navigates users back to the previous view after they accept or decline the disclosure. This final navigation step is accomplished by invoking the View Back method of the Disclosure UI Service. 3 Calls the FINS Disclosure Create Activity Sub Workflow subprocess. If the user accepts the disclosures, the workflow calls the FINS Disclosure Create Activity Sub Workflow subprocess to log the disclosure activity.
FINS Disclosure Goto File View	<p>This subprocess navigates users to the Disclosure Documents list where they can review all the disclosure documents pertaining to the selected product. This subprocess also navigates users back to the previous view after they accept or decline the disclosure. This final navigation step is accomplished by invoking the View Back method of the Disclosure UI Service.</p>
FINS Disclosure Create Activity Sub	<p>If the user accepts the disclosures, this sub process logs the disclosure activity.</p>

Before you can display disclosure documents, you must:

- Deploy the workflow processes using Siebel Tools. See *Siebel Business Process Designer Administration Guide* for more information.
- Activate the workflow processes described in [Table 34](#). For more information see, [“To activate the workflows used to display disclosure documents.”](#)
- Invoke the Disclosure UI Service business service. For more information see, [“Invoking the Disclosure UI Service Business Service.”](#)

To activate the workflows used to display disclosure documents

- 1** Navigate to Site Map > Administration - Business Process > Workflow Deployment.
- 2** In the Repository Workflow Processes list, use a query to find all processes where the Name field contains the word Disclosure.
NOTE: You can query on *Disclosure*.
- 3** Activate each workflow process [Table 34 on page 299](#) that has a status of Inactive.
 - a** Select the workflow process record.
 - b** Click Activate.
- 4** To verify that the Status is Active for each process:
 - a** In the lower Active Workflow Processes list, query again for Name = *Disclosure*.
 - b** For each process, check that Deployment Status = Active.

Invoking the Disclosure UI Service Business Service

You can invoke the Disclosure UI Service from a workflow. This section describes some of the possible steps you can include to enable this invocation. You may need to modify and expand on this procedure to accommodate more complex business requirements. The workflow process you create must contain the following steps:

- **Start.** Initiates the process instance. When the conditions have been met, the application initiates the process instance.
- **Sub Process.** Calls the FINS Disclosure Workflow. When creating this step, you must populate the following inputs:
 - Contact Id - The Row Id of the contact who places the order of the product.
 - Disclosure Name - The name of the Disclosure that relates to the product.
 - Product Id - The Row Id of the product that the customer has ordered.
- **End.** A step in a process that specifies when a process instance is finished.

For more information on workflows, see *Siebel Business Process Designer Administration Guide*.

Viewing Disclosures Associated with Contacts (End User)

All end users can view disclosures associated with a specific contact on the Contacts Disclosures view. This view is read-only and displays the disclosure name, the date the disclosure was presented to the user, the date the user acknowledged the disclosure, and the date the user accepted the disclosure.

For more information on setting up disclosure processing, see [“Automating the Display of Disclosure Documents” on page 297](#).

To view a disclosure history

- 1 Navigate to Contacts > Contacts List view.
- 2 In the Contacts list, drill down on the contact.
- 3 Click the Disclosures view tab.

Financial Services Workflow User Interface Utilities

This business service lets you design workflow processes that automate user actions such as navigating between records, clicking a hyperlink, creating or deleting records, or populating field values.

This business service operates at the applet level. It complements Siebel Operation steps, which operate at the business component level.

This section contains the following topics:

- [“Scenario for Filing an Insurance Claim Using the User Interface Utilities Business Service” on page 301](#)
- [“Financial Services Workflow UI Utilities Methods” on page 302](#)

Scenario for Filing an Insurance Claim Using the User Interface Utilities Business Service

The scenario outlined in this section is an example of an insurance claim workflow. Your company may follow a different workflow that fits its business requirements.

In this scenario, you are a claims representative in an insurance company call center. You are filing a claim for a policyholder whose automobile was damaged in an accident.

First, you review the customer's policies in the Financial Services Summary view in the Contact screen. You select the auto policy, then click the New Claim button. This starts the Claim workflow.

The Claim workflow clicks the Policy Number hyperlink to navigate to the Claims view in the Auto Policies screen. Then it creates a new claim record and enters the Status and Loss Type information. You enter additional information, and then save the record. The Claim workflow navigates to the Loss Description view in the Claims screen. You enter information, and then save the record.

The Claim workflow navigates to the Insured Property view and enters information about the vehicle based on the information you entered in the Loss Description view. Now you can quickly enter additional information, such as the damage to the vehicle, the location of the vehicle, and so on.

The Claim workflow continues to guide you through other views in the Claims screen as you complete the claim filing process.

Financial Services Workflow UI Utilities Methods

The Financial Services Workflow UI Utilities business service methods are described in [Table 35](#).

Table 35. Financial Services Workflow UI Utilities Methods

Method	Description / Arguments
Create Applet Record	<p>Creates a new record and completes a set of field values in the record.</p> <p>Input Arguments:</p> <ul style="list-style-type: none"> ■ Applet: The name of the applet in which you want to create a record. ■ Field Name & Value Pairs (Optional): One or more pairs of field names and their associated values. <p>Output Arguments:</p> <ul style="list-style-type: none"> ■ ObjId: The row ID of the new record.
Do Applet Method	<p>Performs actions such as saving or copying the active record, or navigating to the next record.</p> <p>Input Arguments:</p> <ul style="list-style-type: none"> ■ Applet (Required): The name of the applet in which you perform this action. ■ Method (Optional): The name of the method that specifies the action. Valid values are: <ul style="list-style-type: none"> ■ WriteRecord. Saves the active record. ■ DeleteRecord. Deletes the active record. ■ UndoRecord. Cancels the active record. ■ CopyRecord. Copies the active record. ■ GotoNext. Navigates to the next record. ■ GotoPrevious. Navigates to the previous record. ■ GotoFirstSet. Navigates to the first record set. ■ GotoLastSet. Navigates to the last record set. <p>Output Arguments:</p> <ul style="list-style-type: none"> ■ ObjId: The row ID of the record that is active after the action was performed. For example, if you perform the action "GotoNext," then ObjId will contain the row ID of the destination record.

Table 35. Financial Services Workflow UI Utilities Methods

Method	Description / Arguments
Go To Applet	<p>Navigates to an applet.</p> <p>Input Arguments:</p> <ul style="list-style-type: none"> ■ Applet (Required): The name of the applet to which you want to navigate.
Drill Down	<p>Clicks on a hyperlink of the active record.</p> <p>Input Arguments:</p> <ul style="list-style-type: none"> ■ Applet (Required): The name of the applet that contains the hyperlink. ■ DrillDown (Required): The name of the field that contains the hyperlink. <p>Output Arguments:</p> <ul style="list-style-type: none"> ■ ObjId: The row ID of the destination record.
Set Field Value	<p>Updates the values of a field or fields of the active record.</p> <p>Input Arguments:</p> <ul style="list-style-type: none"> ■ Applet (Required): The name of the applet that contains the fields whose values you want to update. ■ Field Name & Value Pairs (Required): One or more pairs of field names and their associated values.

SmartScript Integration with Workflow

You can invoke a SmartScript from a workflow process and pass parameters from the SmartScript to the workflow process. These business services support SmartScript integration with workflow:

- **FINS Web Shopping Service.** For methods, see ["FINS Web Shopping Service Methods" on page 306.](#)
- **FINS SmartScript Output Service.** For methods, see ["FINS SmartScript Output Service Methods" on page 306.](#)

NOTE: In order to completely understand the concepts in this section, familiarity with SmartScript is required. For more information, see *Siebel SmartScript Administration Guide*.

For a detailed explanation about how to integrate SmartScript with Workflow, see ["Example of Integrating SmartScript with Workflow" on page 304.](#)

Example of Integrating SmartScript with Workflow

The scenario outlined in this section is an example of how to insert a SmartScript in a workflow process. After the SmartScript ends, the workflow proceeds to the next step in the workflow process. Your company may follow a different workflow that fits its business requirements.

In this scenario, you are designing a SmartScript that allows customers to complete a loan application online. After the loan application is complete, your workflow verifies the customer's address in an external system.

To configure SmartScript integration with Workflow

- 1** In the SmartScript, create Save User Parameters for the parameters you want to pass to the workflow. For more information on SmartScript user parameters, see *Siebel SmartScript Administration Guide*.
- 2** Create a Business Service step for your workflow using the FINS Web Shopping Service business service.
 - a** Enter the input arguments described in [Table 36 on page 306](#).
- 3** Create a subprocess that will invoke the SmartScript using the workflow User Interact step. The subprocess is based on the SmartScript Player business object and has three steps: a start step, a user interact step, and an end step.
 - a** In the user interact step, set the view name to "FINS SmartScript Player View (App)."

- b** In the Next Step's applet, add two conditions, entering the information listed in the following tables:

Entries for Record 1 (first condition):

Field	Entry
Branch Name	Cancel
Type	Condition
Next Step	End
Event Object Type	Applet
Event	Invoke Method
Event Object	Smart Script Player Applet (FINS eSales App)
Subevent	CancelScript

Entries for Record 2 (second condition):

Field	Entry
Branch Name	Finish
Type	Condition
Next Step	End
Event Object Type	Applet
Event	Invoke Method
Event Object	Smart Script Player Applet (FINS eSales App)
Subevent	FinishScript

- 4** Add a Business Service step using the FINS SmartScript Output Service business service. Enter the output arguments described in [Table 37 on page 306](#).

Now you may either end your workflow process or include additional steps, depending on your company's business requirements. The SmartScript is integrated in your workflow process.

FINS Web Shopping Service Methods

The FINS Web Shopping Service business service methods are described in [Table 36](#).

Table 36. FINS Web Shopping Service Methods

Method	Description / Arguments
SetSmartScriptName	<p>Input Arguments:</p> <ul style="list-style-type: none"> ■ Script Name (Required): The name of the SmartScript you want to invoke. ■ SSUserParameter# (Required): A SmartScript user parameter between 1 and 20. For example, "SSUserParameter1." The value for the input argument must be the exact name of the user parameter specified in the SmartScript whose value needs to be passed into the workflow process at the conclusion of the SmartScript.

FINS SmartScript Output Service Methods

The FINS SmartScript Output Service business service methods are described in [Table 37 on page 306](#).

Table 37. FINS SmartScript Output Service Methods

Method	Description / Arguments
SetOutput	<p>Reads the SmartScript user parameters and outputs them as workflow properties:</p> <p>Output Arguments:</p> <ul style="list-style-type: none"> ■ The name of the user parameter. Specifying the SmartScript user parameters as output arguments passes the value of the user parameters back to the workflow process when the SmartScript ends. These output arguments can be mapped to process properties. ■ SmartScript Result Action: Returns the action users take to end the SmartScript. Possible values are "Finish" or "Cancel."

Dynamic UI Business Service

This business service and associated administration views allow you to create and render views containing a single read-only applet in the Siebel Financial Services application. These views and applets, called dynamic applets, allow business analysts and developers to make frequent changes to the user interface without the need to recompile and redeploy a Siebel Repository File (SRF).

The following topics are included in this section:

- ["Example of Creating a Dynamic Applet with the Dynamic UI Business Service" on page 307](#)
- ["Displaying Dynamic Applets in a Workflow" on page 308](#)

Example of Creating a Dynamic Applet with the Dynamic UI Business Service

The scenario outlined in this section is an example of a Dynamic UI Service in a workflow process. Your company may follow a different workflow that fits its business requirements.

You would like to set up your company's user interface to dynamically display read-only views at run time, based on user input. For example, a customer requests a quote for an auto insurance policy. The policy includes the option to cover additional drivers. After the customer enters additional driver information, the workflow process uses a Dynamic UI applet to display a read-only list of the additional drivers for review. Customers can review the list, then select an option to continue the process.

To set up a similar user interface for your business, follow the instructions that follow.

To create a dynamic applet

- 1** Navigate to Site Map > Administration - Finance > Dynamic Applet Administration.
- 2** In the Dynamic Applet list, click New, then enter the view alias and view name.
The view alias must be a unique name. The view name is a picklist of the views defined in the Template Definition view.
- 3** Step off the record. The Applet Instance list automatically displays the name of the applet template defined for this view.
- 4** In the Applet Instance list, enter the applet title, business object name, and business component name.

The business object and business component determine the fields to display for this applet.

- 5** If you want to set up a default search specification, enter:
 - Business component field. Specifies the field on which to base your search.
 - Default. Specifies a default value for which to search.
- 6** In the Field Control list, add a new record for each field you want to display. Each field control is displayed as a read-only text box with a text label. For each record, enter:
 - Display Sequence number. Indicates the display order for the field. For list applets, the order is left to right. For form applets, the order is left to right and top to bottom.
 - Field name. The business component field whose value you want to display.
 - Caption. The display label for the field.

- 7 In the Button Control list, add a new record for each button you want to display. Enter the sequence number, caption, and method for each button.
 - Display Sequence. Indicates the display order for the button, from left to right.
 - Caption. The display label for the button.
 - Method. The method invoked when the button is clicked. The method name must begin with `FrameEventMethod`. For example, `FrameEventMethodContinue`.

Displaying Dynamic Applets in a Workflow

Workflows can invoke a dynamic applet as part of a process defined for a product application. This feature enables an application administrator to establish hundreds of applet instances without requiring recompilation and redeployment of individual applets.

To integrate the dynamic applet in a workflow

- 1 Create a subprocess based on the FINS Dynamic UI business object.
- 2 Add a Dynamic UI Service business service step and invoke the Set View Name method described in [Table 38 on page 309](#).
- 3 (Optional) Add a second Dynamic UI Service business service step and invoke the AddRecord method described in [Table 38 on page 309](#).
- 4 Add a User Interact step to display the dynamic applet. For the view property of the User Interact step, enter the view template name defined in [Step 2 of "Example of Creating a Dynamic Applet with the Dynamic UI Business Service."](#) For each button that may be clicked in the dynamic applet, add entries into the Next Steps list applet of the User Interact step. The following is an example of such an entry:

Field	Entry
Branch Name	Continue Button
Type	Condition
Next Step	End
Event Object Type	Applet
Event	InvokeMethod
Event Object	FINS Dynamic UI List Applet
Subevent	FrameEventMethodContinue

The Dynamic UI Service business service methods are described in [Table 38](#).

Table 38. Dynamic UI Service Methods

Method	Description / Arguments
Set View Name	Input Arguments: <ul style="list-style-type: none"> ■ View Alias (Required): The view alias defined in Step 2 of “Example of Creating a Dynamic Applet with the Dynamic UI Business Service” on page 307.
AddRecord (optional)	Overrides the default search specification value. Input Arguments: <ul style="list-style-type: none"> ■ Business Component Name (Required): The name of the source business component. ■ Object ID (Required): The row ID of the business component.

Creating a View Template for Dynamic Applets

Creating a view template involves first creating views and applets based on specialized applet classes within Siebel Tools. These views and applets contain placeholder fields. Placeholder fields are applet controls that are not mapped to any particular business component. The views and applets will then form the basis of view templates and applet templates. A single view and applet template can be used to create any number of dynamic applets.

Two templates are provided as part of seed data: a view template containing a list applet template, and a view template containing a form applet template. The view templates are named as follows:

- **FINS Dynamic UI Form view.** A view template that contains a form applet template.
- **FINS Dynamic UI view.** A view template that contains a list applet template.

For more information about creating views and templates within Siebel Tools, see *Using Siebel Tools*.

When creating dynamic applets in Siebel Tools, note the considerations listed as follows. (Use of the word “applet” in the following bulleted list refers to applets created in Siebel Tools.)

- When setting applet class, use:
 - CSSFrameListFADynamicUI for list applets
 - CSSFrameFADynamicUI for form applets
- If using an out-of-the-box business component, the applet business component should be FINS Dynamic UI.
- If you create your own Virtual Business Component (VBC) in Siebel Tools, the business class should be CSSBCVDynamicUI.

- Dynamic Applet supports 20 fields and five currency codes (that is, five types of currency value). In your new VBC, all field names should start with the prefix "Field" and a number value, (for example, "Field0"... , "Field19"). All currency code fields should start with the prefix "Currency Code" and a number value, (for example, "Currency Code0"... , "Currency Code4").
- It is recommended that applets based on the same VBC have their corresponding views use a different business object.

Once the views and applets have been created in Siebel Tools, in order to define them as view templates and applet templates, they must be added to the Template Definition view.

To add views and applets to the Template Definition view

- 1** Navigate to Site Map > Administration - Finance > Dynamic Applet Administration > Template Definition view.
- 2** In the Template Definition list, click New, and then enter the view name.
- 3** In the Applet Template Definition list, click New, and then enter the applet name.

FINS Application View Navigation

The FINS Application View Navigation Service guides users through a series of views based on administration data. The view list is dynamically generated according to the products associated with the current record. It replaces the Next/Previous button functionality, known as the FINS Application Workflow, in previous releases.

For more information on how this business service is used, see ["Setting Up Application View Navigation" on page 131](#).

The following topics are presented in this section:

- ["Business Service Methods" on page 310](#)
- ["Business Service Behaviors" on page 311](#)
- ["Business Service Administration" on page 311](#)
- ["Example of FINS Application View Navigation" on page 312](#)
- ["Upgrade Note" on page 312](#)

Business Service Methods

The business service has two methods:

- `GetNextViewName`. Gets the next view name without view navigation.
- `GotoNextView`. Navigates to the next view.

Table 39 describes the arguments for these methods.

Table 39. FINS Application View Navigation Service Arguments

Name	Type	Description
BusComp	Required	The master buscomp through the view navigation.
Navigation Direction	Optional	Forward or Backward. Default is Forward
Product Id	Optional	Product Id value.
Product Id Field	Optional	The field in the buscomp that is used to retrieved Product Ids.
Status	Output	<ul style="list-style-type: none"> ■ 0: success ■ 1: EOF ■ 2: BOF ■ 3: Error
Next View Name	Output	Name of the Next View
FINS View Navigation Mgr Admin BC	Optional	Name of the admin buscomp.

Business Service Behaviors

The FINS Application View Navigation Service is constrained by the following behaviors:

- The business service can be invoked from any screen.
- The navigation is limited to the views in the current screen that are accessible to the current login. For example, if there is a product that is associated with views in both the Contact and Opportunity screens, and the invocation occurs inside the Contact screen, views in the Opportunity screen are ignored. Furthermore, the views that the current login do not have access to are also ignored.
- A view in the view list that is left by clicking the Next button is treated as a visited view.
- At any point in the view navigation, if a next view request is triggered and there are views ahead of the current views not marked as visited, the service navigates to the skipped views.
- During the navigation sequence, the master buscomp record row Id should not be changed. Otherwise, all the views will be treated as unvisited after the record change.

Business Service Administration

The FINS Application View Navigation Service is administered through the Administration - Product screen.

To administer the FINS Application View Navigation business service

- 1 Navigate to Administration - Product > Products view.
- 2 In the Products list, query for the desired product and drill down on the product name hyperlink.
- 3 Click the More Info view tab.
- 4 In the More Info form, click the Application Workflow view link.
- 5 Create new records to associate views and their sequence to the product.

NOTE: You can associate views from any screen with a product.

If you specify views with a gap in the sequence on two different products and add both those products to, for example, an Application, you navigate based on sequence number and not on product. For example, if you specify view V1 with sequence 1 and view V2 with sequence 3 on product A and then also specify view V3 with sequence 2 and view V4 with sequence 4 on product B and then proceed to add both these products to an Application, the navigation sequence will be V1, V3, V2, V4.

Example of FINS Application View Navigation

The FINS Application View Navigation Service is used in Siebel Finance on the Application screen, where the Application form contains Previous and Next buttons.

The invocation on the Application screen uses Applet Named Method, a feature of frame classes derived from CSSSWEFrameBase and CSSSWEFrameListBase. The applet User Property has the following name/value pairs:

- **Named Method 1: GotoPreView** 'INVOKESVC', 'FINS Application View Navigation Service', 'GotoNextView', '"BusComp"', '"Opportunity"', '"Navigation Direction"', '"Backward"', '"Product Id Field"', '"Opportunity Product Id"'
- **Named Method 1: GotoNextView** 'INVOKESVC', 'FINS Application View Navigation Service', 'GotoNextView', '"BusComp"', '"Opportunity"', '"Navigation Direction"', '"Forward"', '"Product Id Field"', '"Opportunity Product Id"'

The Next and Previous buttons are mapped to methods as follows:

- **Previous** GotoPreView
- **Next** GotoNextView

Upgrade Note

In previous releases, the function provided by the FINS Application View Navigation business service was available through NextView and PrevView methods in CSSSWEFrameFINApplication.

These methods are no longer supported in Siebel Finance 7.7. If you have upgraded to Siebel Finance 7.7 from a previous release, the Next and Previous buttons need to be reconfigured following the example provided in ["Example of FINS Application View Navigation"](#) on page 312.

A Siebel Finance Reports

Table 40 lists the Actuate reports that are specific to the Siebel Finance. For more information about Actuate reports, including how to customize, enhance, and create Siebel reports, see *Siebel Reports Administration Guide*.

Table 40. Siebel Finance Reports

Report Name and Description	Navigation Path	Report Selection
<p>FINS Call Report Detail</p> <p>Displays call report details, participating contacts and employees, action items, and notes of a single call report.</p>	Call Reports > My Call Reports	Detail
<p>FINS Call Report Summary</p> <p>Displays the company profile of commercial banking clients including a corporate summary, financial profile, subsidiaries, contacts, and activities.</p>	Call Reports > My Call Reports	Summary
<p>FINS Commercial Banking Client Profile</p> <p>Displays the company profile of commercial banking clients including a corporate summary, financial profile, subsidiaries, contacts, and activities.</p>	Companies > My Companies	Commercial Profile
<p>FINS Commercial Deal Pipeline - Close Date</p> <p>Displays the opportunity pipeline of commercial deals, grouped by closed date.</p>	Opportunities > My Opportunities	Commercial Pipeline by Close Date
<p>FINS Commercial Deal Pipeline - Primary Rep</p> <p>Displays the opportunity pipeline of commercial deals, grouped by primary sales representative.</p>	Opportunities > My Opportunities	Commercial Pipeline by Primary Rep
<p>FINS Commercial Deal Pipeline - Sales Cycle</p> <p>Displays the opportunity pipeline of commercial deals, grouped by sales cycle.</p>	Opportunities > My Opportunities	Commercial Pipeline by Sales Cycle

Table 40. Siebel Finance Reports

Report Name and Description	Navigation Path	Report Selection
FINS Contact Profile Displays contact profile information such as name, address, date of birth, interests, experience, and activities.	Contacts > My Contacts	Profile
FINS Deal Source - Close Date Displays lists of deals grouped by close date, with information such as company, sales cycle and primary sales representatives.	Opportunities > My Opportunities	Source by Close Date
FINS Deal Source - Primary Rep Displays lists of deals grouped by primary representatives, with information such as company, sales cycle and close date.	Opportunities > My Opportunities	Source by Primary Rep
FINS Deal Source - Source Displays lists of deals grouped by referral source, with information such as company, sales cycle and primary sales representatives.	Opportunities > My Opportunities	Source by Source
FINS Deal Source - Source Type Displays lists of deals grouped by referral source type, with information such as company, sales cycle and primary sales representatives.	Opportunities > My Opportunities	Source by Source Type
FINS Investment Banking Client Profile Displays the company profile of investment banking clients including a corporate summary, financial profile, stock market data, subsidiaries, contacts, and activities.	Companies > My Companies	Investment Profile
FINS Investment Deal Pipeline - Primary Rep Displays opportunity pipeline of investment deals, grouped by primary representative.	Opportunities > My Opportunities	Investment Pipeline by Primary Rep
FINS Investor Profile Displays profiles of investors including specialties, industry, vehicles, holdings and transactions.	Investors > My Investors	Profile
FINS Portfolio Roll-Up - Primary Rep Displays lists of companies and their loans and deposits, grouped by primary representatives.	Companies > My Companies	Roll-Up by Primary Rep

Table 40. Siebel Finance Reports

Report Name and Description	Navigation Path	Report Selection
<p>FINS Portfolio Roll-Up - Relationship</p> <p>Displays lists of companies and their loans and deposits, grouped by relationships.</p>	<p>Companies > My Companies</p>	<p>Roll-Up by Relationship</p>
<p>FINS cBanking Credit Request Borrower Summary</p> <p>Displays a summary of the credit request, profile of the borrower, and the facility.</p>	<p>Commercial Loan > My Requests</p>	<p>Credit Request Borrower Report</p>
<p>FINS cBanking Credit Request Facility Summary</p> <p>Displays the detail of the credit request facility including collateral, guarantor, and fee.</p>	<p>Commercial Loan > My Requests</p>	<p>Credit Request Facility Report</p>
<p>FINS cBanking Credit Request Summary</p> <p>Displays the detail of the credit request including decisions, key credit issues, and underwriting standard.</p>	<p>Commercial Loan > My Requests</p>	<p>Credit Request Report</p>

B

Sample ASPs for Household Financial Accounts Virtual Business Components

Siebel Finance includes virtual business components to display financial account data sourced from a back office or a third-party system for specific financial accounts views within the Households screen. For more information, see ["Setting Up Household Financial Accounts Virtual Business Components" on page 106](#).

The following are sample Active Server Pages (ASPs) that you can use to retrieve data from a test database and return an XML file in Siebel format to the Siebel XML Gateway business service. For more information on setting up a test ASP, see ["To set up an ASP and local test database" on page 107](#).

cashflow.asp

Use the following sample ASP to test retrieving data for the Cash Flow view.

```
<%@ EnableSessionState=False Language=VBScript %>
<% option explicit %>
<%
Dim Conn
Dim SQL
Dim R
Dim F
Dim ReccsAffected
Dim aConnectionString

aConnectionString = "Provider=Microsoft.Jet.OLEDB.4.0;" _
    & "Data Source=c:\inetpub\ibd\mdb.mdb"

Set Conn = Server.CreateObject("ADODB.Connection")
Conn.Mode = 3
Conn.ConnectionString = aConnectionString
Conn.CursorLocation = 3
Conn.Open
SQL="SELECT * from cashflow"
Set R=Server.CreateObject("ADODB.Recordset")
```

```
dim v
dim fs
dim ts
dim sReq
Dim aPath
Dim aLogFile
dim item

aPath = Request.ServerVariables("PATH_TRANSLATED")
'Response.write aPath

' strip the file name from the path
aPath = Left(aPath, instrRev(aPath, "\"))
' add the log file name
aLogFile = aPath & "\\log\cash.log"

set fs = Server.CreateObject("Scripting.FileSystemObject")
set ts = fs.OpenTextFile(aLogFile, 8, True, 0)

'for each item in Request.ServerVariables
    'ts.write item
    'ts.writeline Request.ServerVariables(item)
'next

dim domDoc
dim aFilename
set domDoc = Server.CreateObject("MSXML.DOMDocument")
domDoc.async = false
'domDoc.setProperty("ServerHTTPRequest")=true
domDoc.load(Request)

dim node
dim nodes
dim mainNode
dim mainNodes
dim matchNode
```



```
dim matchNodes
dim attribs
dim attrib
dim SQLwhere
Dim root
dim SQLinsert
dim SQLfields
dim SQLvalues
dim swhere
dim x
dim y
dim sFields
dim svalues

set root = domDoc.documentElement

dim nName
dim inputText
dim data

'inputText = Request.Form("textInput")

nName = root.nodeName

Select Case nName
```

```
Case "siebel-xmltext-fields-req"

R.Open SQL, Conn, 3, 1, &H0001
domDoc.save (server.MapPath("init1.xml"))
Response.Write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
Response.Write "<siebel-xmltext-fields-ret>"
For Each F in R.Fields
    Response.Write "<support field='"& F.Name &"'/>"
Next
Response.Write "</siebel-xmltext-fields-ret>"
R.Close

Case "siebel-xmltext-query-req"

'This section of SelectCase is for the Query Request
dim attVal1(25)
dim attName1(25)

set mainNodes = root.childNodes
ts.writeline "Document have MainNodes: " & mainNodes.length
Dim z
z = 0
For each matchNode in MainNodes
    'attVal1(z) = matchNode.text
    'set attribs = matchNode.attributes
    'set attrib = attribs(0)
    'attName1(z) = attrib.nodeValue
'ts.writeline
ts.writeline "MainNode " & z
'ts.write z
ts.writeline "Main Node Name: " & matchNode.nodeName
ts.writeline "Main Node type: " & matchNode.nodeType
ts.writeline "Main Node value: " & matchNode.nodeValue
'ts.writeline "match Node data: " & matchNode.data
ts.writeline "Main line text: " & matchNode.text
'ts.write attrib.nodeValue
```

```
z = z +1
next

set matchNodes = root.SelectNodes("search-string")
ts.writeline "MatchNodes in document are : " & matchNodes.length
x = 0

For each matchNode in matchNodes

ts.writeline "Match string is :" & matchNode.text
swhere = matchNode.text
x = x +1
next

ts.writeline "This is swhere " & swhere

'setting the WHERE clause in order to query the correct recordset

if swhere="" then
SQLwhere = SQL
else
SQLwhere = " WHERE " & swhere
SQLwhere = SQL + SQLwhere
end if
'Response.Write SQLwhere
R.Open SQLwhere, Conn, 3, 1, &H0001

'for debugging
domDoc.save (server.MapPath("init2.xml"))

'build response stream by iterating through the recordset
Response.Write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
```

```
Response.Write "<siebel-xmltext-query-ret>"
'ts.write "<?xml version='1.0' encoding='UTF-8'?>"
'ts.write "<siebel-xmltext-query-ret>"

While Not R.EOF
    Response.Write "<row>"
    'ts.write "<row>"
For Each F in R.Fields
    Response.Write "<value field=''"& F.Name &""'">" & F.Value &"</value>"
    'ts.write "<value field=''"& F.Name &""'">" & F.Value &"</value>"
Next
Response.Write "</row>"
'ts.write "</row>"
R.MoveNext
wend
Response.Write "</siebel-xmltext-query-ret>"
'ts.write "</siebel-xmltext-query-ret>"
R.Close

Case "siebel-xmltext-preinsert-req"

'Section for PreInsert
Response.Write "<siebel-xmltext-preinsert-ret>"
Response.Write "<row></row>"
Response.Write "</siebel-xmltext-preinsert-ret>"

Case "siebel-xmltext-insert-req"
'Section for Insert

Case "siebel-xmltext-delete-req"
'Section for Delete

End Select
```

```
'cleaning up the objects in memory  
ts.close  
set root = Nothing  
set domDoc = Nothing  
set ts = Nothing  
set fs = Nothing  
Set R = Nothing  
Conn.Close  
Set Conn = Nothing  
>
```

Performance.asp

Use the following sample ASP to test retrieving data for the Performance view.

```
<%@ EnableSessionState=False Language=VBScript %>  
<% option explicit %>  
<%  
Dim Conn  
Dim SQL  
Dim R  
Dim F  
Dim RecsAffected  
Dim aConnectionString  
  
aConnectionString = "Provider=Microsoft.Jet.OLEDB.4.0;" _  
    & "Data Source=c:\inetpub\ibd\mdb.mdb"  
  
Set Conn = Server.CreateObject("ADODB.Connection")  
Conn.Mode = 3  
Conn.ConnectionString = aConnectionString  
Conn.CursorLocation = 3  
Conn.Open  
SQL="SELECT * from perf"  
Set R=Server.CreateObject("ADODB.Recordset")
```

```
dim v
dim fs
dim ts
dim sReq
Dim aPath
Dim aLogFile
dim item

aPath = Request.ServerVariables("PATH_TRANSLATED")
'Response.write aPath

' strip the file name from the path
aPath = Left(aPath, instrRev(aPath, "\"))
' add the log file name
aLogFile = aPath & "\\log\perf.log"

set fs = Server.CreateObject("Scripting.FileSystemObject")
set ts = fs.OpenTextFile(aLogFile, 8, True, 0)

'for each item in Request.ServerVariables
    'ts.write item
    'ts.writeline Request.ServerVariables(item)
'next

dim domDoc
dim aFilename
set domDoc = Server.CreateObject("MSXML.DOMDocument")
domDoc.async = false
'domDoc.setProperty("ServerHTTPRequest")=true
domDoc.load(Request)

dim node
dim nodes
dim mainNode
dim mainNodes
dim matchNode
```

```
dim matchNodes
dim attribs
dim attrib
dim SQLwhere
Dim root
dim SQLinsert
dim SQLfields
dim SQLvalues
dim swhere
dim x
dim y
dim sFields
dim svalues

set root = domDoc.documentElement

dim nName
dim inputText
dim data

'inputText = Request.Form("textInput")

nName = root.nodeName

Select Case nName
```

```
Case "siebel-xmltext-fields-req"

R.Open SQL, Conn, 3, 1, &H0001
domDoc.save (server.MapPath("init1.xml"))
Response.Write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
Response.Write "<siebel-xmltext-fields-ret>"
For Each F in R.Fields
    Response.Write "<support field='"& F.Name &"'/>"
Next
Response.Write "</siebel-xmltext-fields-ret>"
R.Close

Case "siebel-xmltext-query-req"

'This section of SelectCase is for the Query Request
dim attVal1(25)
dim attName1(25)

set mainNodes = root.childNodes
ts.writeline "Document have MainNodes: " & mainNodes.length
Dim z
z = 0
For each matchNode in MainNodes
    'attVal1(z) = matchNode.text
    'set attribs = matchNode.attributes
    'set attrib = attribs(0)
    'attName1(z) = attrib.nodeValue
'ts.writeline
ts.writeline "MainNode " & z
'ts.write z
ts.writeline "Main Node Name: " & matchNode.nodeName
ts.writeline "Main Node type: " & matchNode.nodeType
ts.writeline "Main Node value: " & matchNode.nodeValue
'ts.writeline "match Node data: " & matchNode.data
ts.writeline "Main line text: " & matchNode.text
'ts.write attrib.nodeValue
```



```
z = z +1
next

set matchNodes = root.SelectNodes("search-string")
ts.writeline "MatchNodes in document are : " & matchNodes.length
x = 0

For each matchNode in matchNodes

ts.writeline "Match string is :" & matchNode.text
swhere = matchNode.text
x = x +1
next

ts.writeline "This is swhere " & swhere

'setting the WHERE clause in order to query the correct recordset

if swhere="" then
SQLwhere = SQL
else
SQLwhere = " WHERE " & swhere
SQLwhere = SQL + SQLwhere
end if
'Response.Write SQLwhere
R.Open SQLwhere, Conn, 3, 1, &H0001

'for debugging
domDoc.save (server.MapPath("init2.xml"))

'build response stream by iterating through the recordset
Response.Write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
```

```
Response.Write "<siebel-xmltext-query-ret>"
'ts.write "<?xml version='1.0' encoding='UTF-8'?>"
'ts.write "<siebel-xmltext-query-ret>"

While Not R.EOF
    Response.Write "<row>"
    'ts.write "<row>"
For Each F in R.Fields
    Response.Write "<value field=''"& F.Name &""'">"& F.Value &"</value>"
    'ts.write "<value field=''"& F.Name &""'">"& F.Value &"</value>"
Next
Response.Write "</row>"
'ts.write "</row>"
R.MoveNext
wend
Response.Write "</siebel-xmltext-query-ret>"
'ts.write "</siebel-xmltext-query-ret>"
R.Close

Case "siebel-xmltext-preinsert-req"

'Section for PreInsert
Response.Write "<siebel-xmltext-preinsert-ret>"
Response.Write "<row></row>"
Response.Write "</siebel-xmltext-preinsert-ret>"

Case "siebel-xmltext-insert-req"
'Section for Insert

Case "siebel-xmltext-delete-req"
'Section for Delete

End Select
```

```
'cleaning up the objects in memory  
ts.close  
set root = Nothing  
set domDoc = Nothing  
set ts = Nothing  
set fs = Nothing  
Set R = Nothing  
Conn.Close  
Set Conn = Nothing  
>
```

ModelValueByClass.asp

Use the following sample ASP to test retrieving data for the Class Allocation view.

```
<%@ EnableSessionState=False Language=VBScript %>  
<% option explicit %>  
<%  
Dim Conn  
Dim SQL  
Dim R  
Dim F  
Dim RecsAffected  
Dim aConnectionString  
  
aConnectionString = "Provider=Microsoft.Jet.OLEDB.4.0;" _  
    & "Data Source=C:\Inetpub\ibd\mdb.mdb"  
  
Set Conn = Server.CreateObject("ADODB.Connection")  
Conn.Mode = 3  
Conn.ConnectionString = aConnectionString  
Conn.CursorLocation = 3  
Conn.Open  
SQL="SELECT * from ModelValueByClass"  
Set R=Server.CreateObject("ADODB.Recordset")
```

```
dim v
dim fs
dim ts
dim sReq
Dim aPath
Dim aLogFile
dim item

aPath = Request.ServerVariables("PATH_TRANSLATED")
'Response.write aPath

' strip the file name from the path
aPath = Left(aPath, instrRev(aPath, "\"))
' add the log file name
aLogFile = aPath & "\\log\ModelValueByClass.txt"

set fs = Server.CreateObject("Scripting.FileSystemObject")
set ts = fs.OpenTextFile(aLogFile, 8, True, 0)

for each item in Request.ServerVariables
    ts.write item
    ts.write Request.ServerVariables(item)
next

dim domDoc
dim aFilename
set domDoc = Server.CreateObject("MSXML.DOMDocument")
domDoc.async = false
'domDoc.setProperty("ServerHTTPRequest")=true
domDoc.load(Request)

dim node
dim nodes
dim mainNode
dim mainNodes
dim matchNode
```

```
dim matchNodes
dim attribs
dim attrib
dim SQLwhere
Dim root
dim SQLinsert
dim SQLfields
dim SQLvalues
dim swhere
dim x
dim y
dim sFields
dim svalues

set root = domDoc.documentElement

dim nName
dim inputText
dim data

'inputText = Request.Form("textInput")
nName = root.nodeName
ts.write nName
ts.close

select Case nName

Case "siebel-xmltext-fields-req"
R.Open SQL, Conn, 3, 1, &H0001
domDoc.save (server.MapPath("init1.xml"))
Response.write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
Response.write "<siebel-xmltext-fields-ret>"
For Each F in R.Fields
    Response.write "<support field='"& F.Name &"/>"
Next
Response.write "</siebel-xmltext-fields-ret>"
```

```
R.Close

Case "siebel-xmltext-query-req"

'This section of SelectCase is for the Query Request
dim attVal1(25)
dim attName1(25)
'set mainNodes = root.childNodes
set matchNodes = domDoc.SelectNodes("siebel-xmltext-query-req/match")
For each matchNode in matchNodes
    attVal1(x) = matchNode.text
    set attribs = matchNode.attributes
    set attrib = attribs(0)
    attName1(x) = attrib.nodeValue
x = x +1
next

x = x - 1

for y=0 to x
    if not ((x-y)>0) then
        swhere = swhere & attName1(y) & " = " & """" & attVal1(y) & """"
    else
        swhere = swhere & attName1(y) & " = " & """" & attVal1(y) & """" AND"
    end if
next

'setting the WHERE clause in order to query the correct recordset

if swhere="" then
SQLwhere = SQL
else
SQLwhere = " WHERE " & swhere
SQLwhere = SQL + SQLwhere
end if

'Response.write SQLwhere
```

```
R.Open SQLWhere, Conn, 3, 1, &H0001

'for debugging
domDoc.save (server.MapPath("init2.xml"))

'build response stream by iterating through the recordset
Response.Write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
Response.Write "<siebel-xmltext-query-ret>"
'ts.write "<?xml version=""1.0"" encoding=""UTF-8""?>"
'ts.write "<siebel-xmltext-query-ret>"

While Not R.EOF
    Response.Write "<row>"
    'ts.write "<row>"
For Each F in R.Fields
    Response.Write "<value field=""& F.Name &"">& F.Value &</value>"
    'ts.write "<value field=""& F.Name &"">& F.Value &</value>"
Next
Response.Write "</row>"
'ts.write "</row>"
R.MoveNext
wend
Response.Write "</siebel-xmltext-query-ret>"
'ts.write "</siebel-xmltext-query-ret>"
R.Close

Case "siebel-xmltext-preinsert-req"

'Section for PreInsert
Response.Write "<siebel-xmltext-preinsert-ret>"
Response.Write "<row></row>"
Response.Write "</siebel-xmltext-preinsert-ret>"

Case "siebel-xmltext-insert-req"
```

```
'Section for Insert

R.Open SQL, Conn, 3, 3, &H0001
dim attval(25)
dim attName(25)
set mainNodes = root.childNodes
set matchNodes = domDoc.SelectNodes("siebel-xmltext-insert-req/row/value")
For each matchNode in matchNodes
attVal(x) = matchNode.text

set attribs = matchNode.attributes
set attrib = attribs(0)
attName(x) = attrib.nodeValue

x = x +1
next

x = x - 1
for y=0 to x
if not ((x-y)>0) then
sFields = sFields & """" & attName(y) & """"
sValues = svalues & """" & attVal(y) & """"
else
sFields = sFields & """" & attName(y) & """, "
svalues = svalues & """" & attVal(y) & """, "
end if

next
'ts.write sFields
'ts.write svalues
if (R.Supports(&H01000400)) then
R.AddNew Array(sFields), Array(svalues)
end if

R.Update
R.Close
```



```
Case "siebel-xmltext-delete-req"  
'Section for Delete  
  
End select  
  
'cleaning up the objects in memory  
'ts.close  
set root = Nothing  
set domDoc = Nothing  
set ts = Nothing  
set fs = Nothing  
Set R = Nothing  
Conn.Close  
Set Conn = Nothing  
>
```

ModelValueBySector.asp

Use the following sample ASP to test retrieving data for the Sector Allocation view.

```
<@ EnableSessionState=False Language=VBScript %>  
<% option explicit %>  
<%  
Dim Conn  
Dim SQL  
Dim R  
Dim F  
Dim RecsAffected  
Dim aConnectionString  
  
aConnectionString = "Provider=Microsoft.Jet.OLEDB.4.0;" _  
& "Data Source=C:\Inetpub\ibd\mdb.mdb"  
  
Set Conn = Server.CreateObject("ADODB.Connection")
```

```
Conn.Mode = 3
Conn.ConnectionString = aConnectionString
Conn.CursorLocation = 3
Conn.Open
SQL="SELECT * from ModelValueBySector"
Set R=Server.CreateObject("ADODB.Recordset")

dim v
dim fs
dim ts
dim sReq
Dim aPath
Dim aLogFile
dim item

aPath = Request.ServerVariables("PATH_TRANSLATED")
'Response.write aPath

' strip the file name from the path
aPath = Left(aPath, instrRev(aPath, "\"))
' add the log file name
aLogFile = aPath & "\log\ModelValueBySector.txt"

set fs = Server.CreateObject("Scripting.FileSystemObject")
set ts = fs.OpenTextFile(aLogFile, 8, True, 0)

for each item in Request.ServerVariables
    ts.write item
    ts.write Request.ServerVariables(item)
next

dim domDoc
dim aFilename
set domDoc = Server.CreateObject("MSXML.DOMDocument")
domDoc.async = false
```

```
'domDoc.setProperty("ServerHttpRequest")=true
domDoc.load(Request)

dim node
dim nodes
dim mainNode
dim mainNodes
dim matchNode
dim matchNodes
dim attribs
dim attrib
dim SQLwhere
Dim root
dim SQLinsert
dim SQLfields
dim SQLvalues
dim swhere
dim x
dim y
dim sfields
dim svalues

set root = domDoc.documentElement

dim nName
dim inputText
dim data

'inputText = Request.Form("textInput")
nName = root.nodeName
ts.write nName
ts.close

Select Case nName

Case "siebel-xmltext-fields-req"
```

```
R.Open SQL, Conn, 3, 1, &H0001
domDoc.save (server.MapPath("init1.xml"))
Response.Write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
Response.Write "<siebel-xmltext-fields-ret>"
For Each F in R.Fields
    Response.Write "<support field='"& F.Name &"/>"
Next
Response.Write "</siebel-xmltext-fields-ret>"
R.Close

Case "siebel-xmltext-query-req"

'This section of SelectCase is for the Query Request
dim attVal1(25)
dim attName1(25)
'set mainNodes = root.childNodes
set matchNodes = domDoc.SelectNodes("siebel-xmltext-query-req/match")
For each matchNode in matchNodes
    attVal1(x) = matchNode.text
    set attribs = matchNode.attributes
    set attrib = attribs(0)
    attName1(x) = attrib.nodeValue
x = x +1
next

x = x - 1

for y=0 to x
    if not ((x-y)>0) then
        swhere = swhere & attName1(y) & " = " & "" & attVal1(y) & ""
    else
        swhere = swhere & attName1(y) & " = " & "" & attVal1(y) & "" AND"
    end if
next

'setting the WHERE clause in order to query the correct recordset
```

```
if swhere="" then
SQLwhere = SQL
else
SQLwhere = " WHERE " & swhere
SQLwhere = SQL + SQLwhere
end if
'Response.write SQLwhere
R.Open SQLwhere, Conn, 3, 1, &H0001

'for debugging
domDoc.save (server.MapPath("init2.xml"))

'build response stream by iterating through the recordset
Response.write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
Response.write "<siebel-xmltext-query-ret>"
'ts.write "<?xml version=""1.0"" encoding=""UTF-8""?>"
'ts.write "<siebel-xmltext-query-ret>"

While Not R.EOF
    Response.write "<row>"
    'ts.write "<row>"
For Each F in R.Fields
    Response.write "<value field=""& F.Name &"">"& F.Value &"</value>"
    'ts.write "<value field=""& F.Name &"">"& F.Value &"</value>"
Next
Response.write "</row>"
'ts.write "</row>"
R.MoveNext
wend
Response.write "</siebel-xmltext-query-ret>"
'ts.write "</siebel-xmltext-query-ret>"
R.Close

Case "siebel-xmltext-preinsert-req"
```

```
'Section for PreInsert
Response.Write "<siebel-xmltext-preinsert-ret>"
Response.Write "<row></row>"
Response.Write "</siebel-xmltext-preinsert-ret>"

Case "siebel-xmltext-insert-req"

'Section for Insert

R.Open SQL, Conn, 3, 3, &H0001
dim attVal(25)
dim attName(25)
set mainNodes = root.childNodes
set matchNodes = domDoc.SelectNodes("siebel-xmltext-insert-req/row/value")
For each matchNode in matchNodes
attVal(x) = matchNode.text

set attribs = matchNode.attributes
set attrib = attribs(0)
attName(x) = attrib.nodeValue

x = x +1
next

x = x - 1
for y=0 to x
if not ((x-y)>0) then
sFields = sFields & """" & attName(y) & """"
sValues = sValues & """" & attVal(y) & """"
else
sFields = sFields & """" & attName(y) & """, "
sValues = sValues & """" & attVal(y) & """, "
end if

next
```

```
'ts.write sFields
'ts.write sValues
if (R.Supports(&H01000400)) then
R.AddNew Array(sFields), Array(sValues)
end if

R.Update
R.Close

Case "siebel-xmlxt-delete-req"
'Section for Delete

End Select

'cleaning up the objects in memory
'ts.close
set root = Nothing
set domDoc = Nothing
set ts = Nothing
set fs = Nothing
Set R = Nothing
Conn.Close
Set Conn = Nothing
%>
```

holdings.asp

Use the following sample ASP to test retrieving data for the Aggregated Holdings view.

```
<%@ EnableSessionState=False Language=VBScript %>
<% option explicit %>
<%
Dim Conn
Dim SQL
```

```
Dim R
Dim F
Dim RecsAffected
Dim aConnectionString

aConnectionString = "Provider=Microsoft.Jet.OLEDB.4.0;" _
    & "Data Source=C:\inetpub\ibd\mdb.mdb"

Set Conn = Server.CreateObject("ADODB.Connection")
Conn.Mode = 3
Conn.ConnectionString = aConnectionString
Conn.CursorLocation = 3
Conn.Open
SQL="SELECT * from Holdings"
Set R=Server.CreateObject("ADODB.Recordset")

dim v
dim fs
dim ts
dim sReq
Dim aPath
Dim aLogFile
dim item

aPath = Request.ServerVariables("PATH_TRANSLATED")
'Response.write aPath

' strip the file name from the path
aPath = Left(aPath, InstrRev(aPath, "\"))
' add the log file name
aLogFile = aPath & "\log\holding.txt"

set fs = Server.CreateObject("Scripting.FileSystemObject")
set ts = fs.OpenTextFile(aLogFile, 8, True, 0)
```



```
'for each item in Request.ServerVariables
  'ts.write item
  'ts.write Request.ServerVariables(item)
'next

dim domDoc
dim aFilename
set domDoc = Server.CreateObject("MSXML.DOMDocument")
domDoc.async = false
'domDoc.setProperty("ServerHTTPRequest")=true
domDoc.load(Request)

dim node
dim nodes
dim mainNode
dim mainNodes
dim matchNode
dim matchNodes
dim attribs
dim attrib
dim SQLwhere
Dim root
dim SQLinsert
dim SQLfields
dim SQLvalues
dim swhere
dim x
dim y
dim sFields
dim sValues

set root = domDoc.documentElement

dim nName
dim inputText
dim data
```

```
'inputText = Request.Form("textInput")
nName = root.nodeName
'ts.write nName
'ts.close

Select Case nName

Case "siebel-xmltext-fields-req"
R.Open SQL, Conn, 3, 1, &H0001
domDoc.save (server.MapPath("initHold1.xml"))
Response.Write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
Response.Write "<siebel-xmltext-fields-ret>"
For Each F in R.Fields
    Response.Write "<support field='"& F.Name &"/>"
Next
Response.Write "</siebel-xmltext-fields-ret>"
R.Close

Case "siebel-xmltext-query-req"

'This section of SelectCase is for the Query Request
dim attVal1(25)
dim attName1(25)

set mainNodes = root.childNodes
ts.writeline "Document have MainNodes: " & mainNodes.length
Dim z
z = 0
For each matchNode in MainNodes
    'attVal1(z) = matchNode.text
    'set attribs = matchNode.attributes
    'set attrib = attribs(0)
    'attName1(z) = attrib.nodeValue
'ts.writeline
ts.writeline "MainNode " & z
```

```
'ts.write z
ts.writeline "Main Node Name: " & matchNode.nodeName
ts.writeline "Main Node type: " & matchNode.nodeType
ts.writeline "Main Node value: " & matchNode.nodevalue
'ts.writeline "match Node data: " & matchNode.data
ts.writeline "Main line text: " & matchNode.text
'ts.write attrib.nodevalue

z = z +1
next

set matchNodes = root.SelectNodes("search-string")
ts.writeline "MatchNodes in document are : " & matchNodes.length
x = 0

For each matchNode in matchNodes

ts.writeline "Match string is :" & matchNode.text
swhere = matchNode.text

x = x +1
next

ts.writeline "This is swhere " & swhere

'setting the WHERE clause in order to query the correct recordset

if swhere="" then
SQLwhere = SQL
else
SQLwhere = " WHERE " & swhere
SQLwhere = SQL + SQLwhere
end if
'Response.write SQLwhere
```

```
R.Open SQLWhere, Conn, 3, 1, &H0001

'for debugging
domDoc.save (server.MapPath("initHold2.xml"))

'build response stream by iterating through the recordset
Response.Write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
Response.Write "<siebel-xmltext-query-ret>"
'ts.write "<?xml version=""1.0"" encoding=""UTF-8""?>"
'ts.write "<siebel-xmltext-query-ret>"

While Not R.EOF
    Response.Write "<row>"
    'ts.write "<row>"
For Each F in R.Fields
    Response.Write "<value field=""& F.Name &"">& F.Value &</value>"
    'ts.write "<value field=""& F.Name &"">& F.Value &</value>"
Next
Response.Write "</row>"
'ts.write "</row>"
R.MoveNext
wend
Response.Write "</siebel-xmltext-query-ret>"
'ts.write "</siebel-xmltext-query-ret>"
R.Close

Case "siebel-xmltext-preinsert-req"

'Section for PreInsert
Response.Write "<siebel-xmltext-preinsert-ret>"
Response.Write "<row></row>"
Response.Write "</siebel-xmltext-preinsert-ret>"

Case "siebel-xmltext-insert-req"
```

```
'Section for Insert

Case "siebel-xmltext-delete-req"
'Section for Delete

End select

'cleaning up the objects in memory
ts.close
set root = Nothing
set domDoc = Nothing
set ts = Nothing
set fs = Nothing
Set R = Nothing
Conn.Close
Set Conn = Nothing
%>
```


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