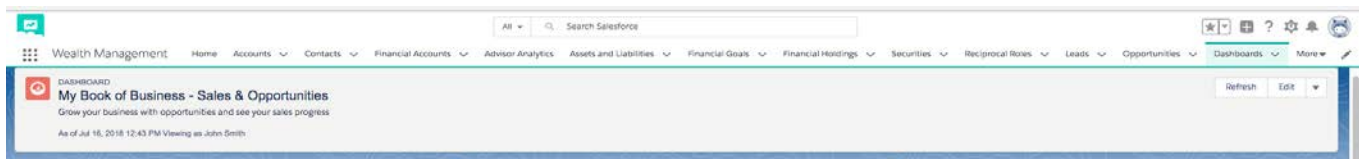


## Salesforce.com Financial Services Cloud Overview

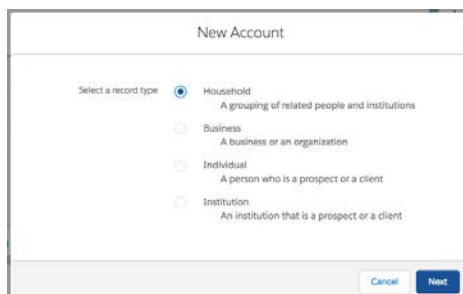
The following is a high-level overview of the Salesforce Financial Services Cloud. It was originally developed to support the needs of the Wealth Management industry but has since been expanded to support banking. While the data model will change over time with each major release, this will provide insight into the design.

**The Tabs** – You can structure the tabs in any order that you prefer. We typically will create a new App (application) and put the tabs in the order we want them. Here is an example of the order that our application has them listed.



**Account Tab** – When you are creating an Account, you have four options

- **Household** – When selected, you will be able to view the Household information on the Account tabs
- **Business** – When selected, you will be able to view the business information on the Account tab
- **Individual** – When selected, you will be able to view the individual’s information on the Account and Client tab.
- **Institution** – When selected, you will be able to save information on the Account Tab



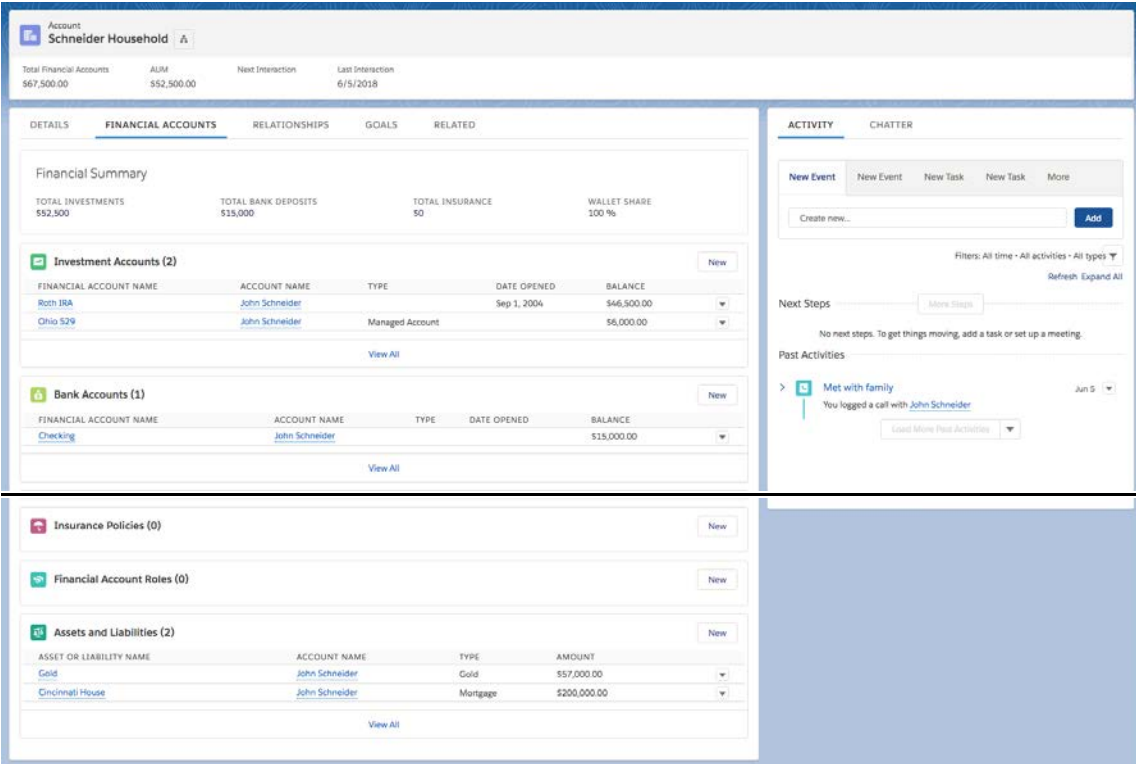
**Contact Tab** – This tab allows you to create and store contact information for people associated to businesses. If you sell to family offices, institutions, etc., you will want to store all of the company’s employee information within the Contact Tab. If you create an Individual Account (Record Type), some of their information is stored on the Contact tab however you will view this Contact data on the Account record.

**Client Record** - These records contain a lot of information about your client (individual/household/business/institution) as well as all activities for each client. There are five (5) tabs that contain a lot of valuable information about the client. They are:

- **Details** – This allows you to see information such as birthday, phone, address, service levels, KYC information, employment information and a financial summary
- **Financial Accounts** – This allows you to see Investment Accounts, Bank Accounts, Insurance Policies, and Assets and Liabilities
- **Relationships** – This allows you to see all household members and related contacts
- **Goals** – This allows you to document and track progress on all individual goals
- **Related** – This allows you to track all opportunities, documents and other information

Based on the record type used, these tabs can change to display the most relevant information.

**Financial Accounts Tab** - On the picture below, you can see the various sections of the Financial Account section. With the various systems that can integrate with Salesforce.com, much of this data can be updated periodically with no manual intervention required.



Account: Schneider Household

Total Financial Accounts: \$67,500.00 | AUM: \$52,500.00 | Next Interaction: | Last Interaction: 6/5/2018

DETAILS | **FINANCIAL ACCOUNTS** | RELATIONSHIPS | GOALS | RELATED

Financial Summary

TOTAL INVESTMENTS	TOTAL BANK DEPOSITS	TOTAL INSURANCE	WALLET SHARE
\$52,500	\$15,000	50	100 %

**Investment Accounts (2)** [New](#)

FINANCIAL ACCOUNT NAME	ACCOUNT NAME	TYPE	DATE OPENED	BALANCE
Roth IRA	John Schneider		Sep 1, 2006	\$46,800.00
Ohio 529	John Schneider	Managed Account		\$6,000.00

[View All](#)

**Bank Accounts (1)** [New](#)

FINANCIAL ACCOUNT NAME	ACCOUNT NAME	TYPE	DATE OPENED	BALANCE
Checking	John Schneider			\$15,000.00

[View All](#)

**Insurance Policies (0)** [New](#)

**Financial Account Roles (0)** [New](#)

**Assets and Liabilities (2)** [New](#)

ASSET OR LIABILITY NAME	ACCOUNT NAME	TYPE	AMOUNT
Gold	John Schneider	Gold	\$57,000.00
Cincinnati House	John Schneider	Mortgage	\$200,000.00

[View All](#)

ACTIVITY | CHATTER

New Event | New Event | New Task | New Task | More

Create new... [Add](#)

Filters: All time - All activities - All types [Refresh](#) [Expand All](#)

Next Steps [More Steps](#)

No next steps. To get things moving, add a task or set up a meeting.

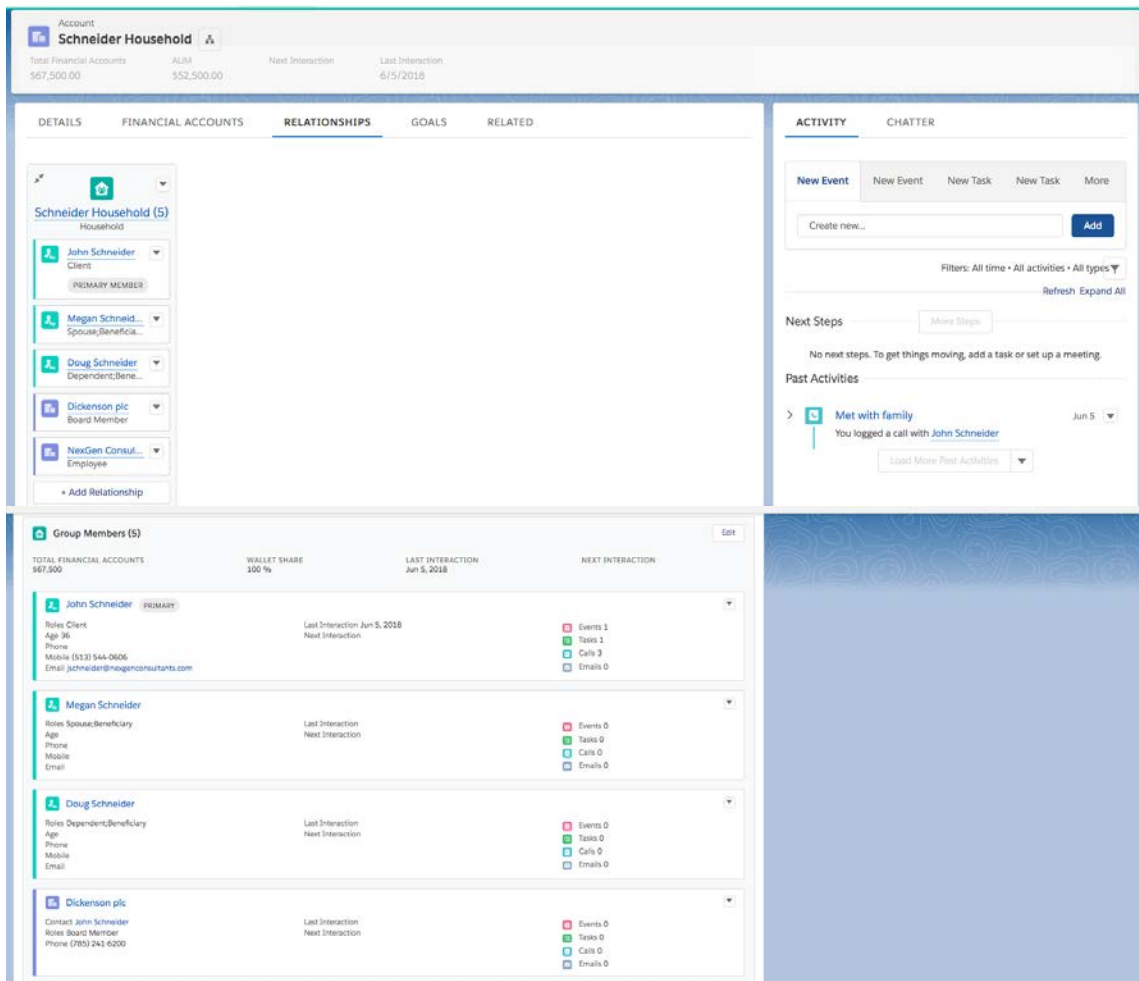
Past Activities

> **Met with family** Jun 5

You logged a call with John Schneider

[Load More Past Activities](#)

**Relationships Tab** – The Relationships tab allows you to link together household members as well as service providers such as attorneys, CPAs, etc. You can determine whether each household member’s financial accounts, assets and liabilities, and financial goals should roll up to the household.

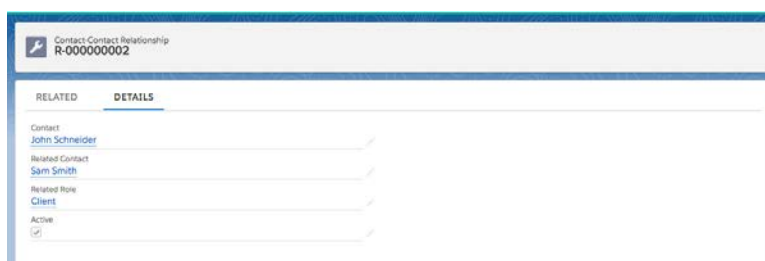


The screenshot displays the 'Schneider Household' account page. At the top, it shows account details: Total Financial Accounts (\$67,500.00), ALM (\$52,500.00), Next Interaction, and Last Interaction (6/5/2018). The main navigation includes tabs for DETAILS, FINANCIAL ACCOUNTS, RELATIONSHIPS (selected), GOALS, and RELATED. On the left, a list of household members is shown: John Schneider (Client, PRIMARY MEMBER), Megan Schneider (Spouse/Beneficia...), Doug Schneider (Dependent/Bene...), Dickenson plc (Board Member), and NexGen Consul... (Employee). The right sidebar contains an 'ACTIVITY' section with options for 'New Event' and 'New Task', a 'Create new...' button, filters, and a 'Next Steps' section indicating no next steps. Below that, 'Past Activities' shows a recent event 'Met with family' on Jun 5.

Below the main interface, a 'Group Members (5)' table provides a detailed view of each member's roles, contact information, and interaction history.

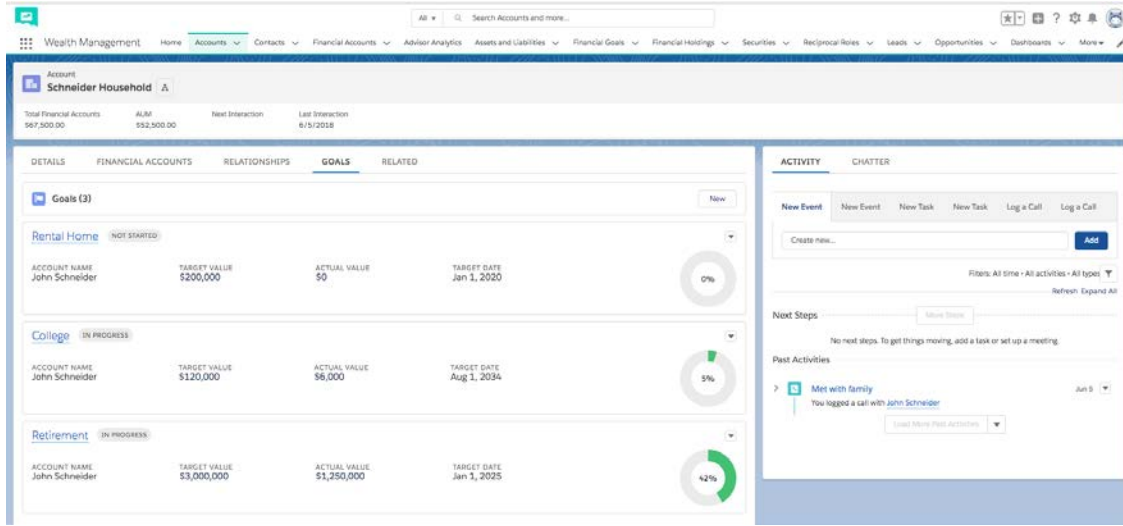
Member	Roles	Last Interaction	Next Interaction	Events	Tasks	Calls	Emails
John Schneider	Client, PRIMARY	Jun 5, 2018	Next Interaction	1	1	3	0
Megan Schneider	Spouse/Beneficiary	Next Interaction	Next Interaction	0	0	0	0
Doug Schneider	Dependent/Beneficiary	Next Interaction	Next Interaction	0	0	0	0
Dickenson plc	Contact, Board Member	Next Interaction	Next Interaction	0	0	0	0

**Defining Relationships** – The data model of the Financial Services Cloud allows you to manage a lot of various relationships between your clients, contacts, partners, etc. When you relate two individuals together, you have to assign a Reciprocal Role to the relationship. There are a number of pre-defined roles that come with the system to leverage. If I want to relate myself to Sam Smith (my attorney), his role would be “attorney” and my role would be “client” in that relationship. By doing so, I will have visibility into all of the touch points with each individual, helping you better work with your clients.



The screenshot shows the configuration for a 'Contact-Contact Relationship' with ID R-00000002. It features two tabs: 'RELATED' and 'DETAILS'. Under the 'RELATED' tab, the following fields are visible: 'Contact' (John Schneider), 'Related Contact' (Sam Smith), 'Related Role' (Client), and 'Active' (checked).

**Goals Tab** – This tab allows you to track all of your client’s goals and their progress towards each goal. You can also track whether they have started, are in progress or completed the goal.

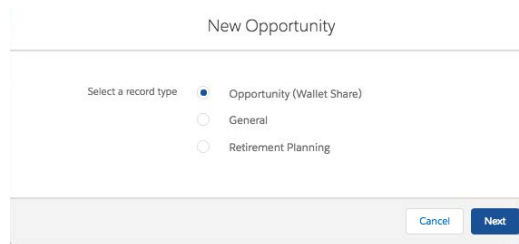


The screenshot shows the 'Goals' tab for 'Schneider Household A'. It displays three goals with progress indicators:

Goal Name	Status	Target Value	Actual Value	Target Date	Progress
Rental Home	NOT STARTED	\$200,000	\$0	Jan 1, 2020	0%
College	IN PROGRESS	\$120,000	\$6,000	Aug 1, 2024	5%
Retirement	IN PROGRESS	\$3,000,000	\$1,250,000	Jan 1, 2025	42%

The right-hand side of the interface shows an 'ACTIVITY' section with options for 'New Event', 'New Task', and 'Log a Call', along with a 'Next Steps' section indicating no next steps are currently defined.

**Opportunities** - This allows you to forecast bringing on a new business or individual client as well as bringing on a new Financial Account for an existing business or existing individual client. There are three (3) standard Opportunity Record Types. They are:

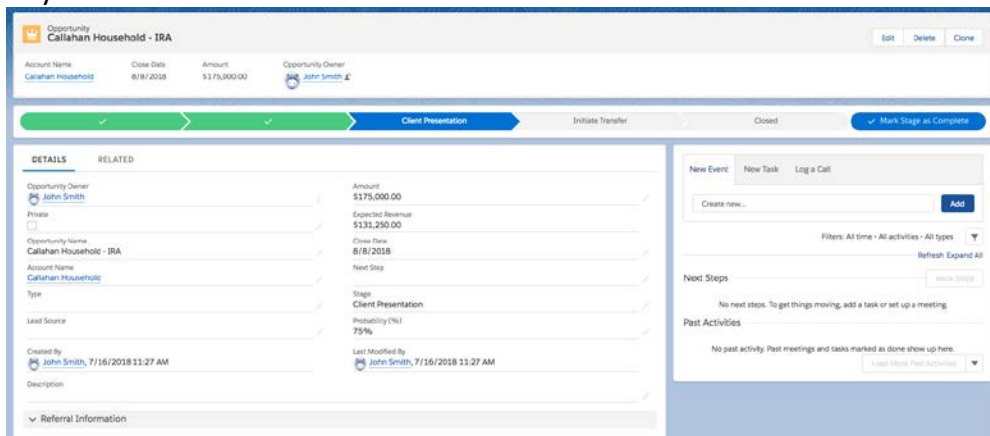


The 'New Opportunity' form shows the following options for 'Select a record type':

- Opportunity (Wallet Share)
- General
- Retirement Planning

Buttons for 'Cancel' and 'Next' are visible at the bottom right of the form.

Once an opportunity is created, you will be tracking all of the details in the Details sub tab and have all of your related lists in the Related sub tab.



The screenshot shows the 'Details' sub-tab for an opportunity named 'Callahan Household - IRA'. The opportunity is currently in the 'Client Presentation' stage. Key details include:

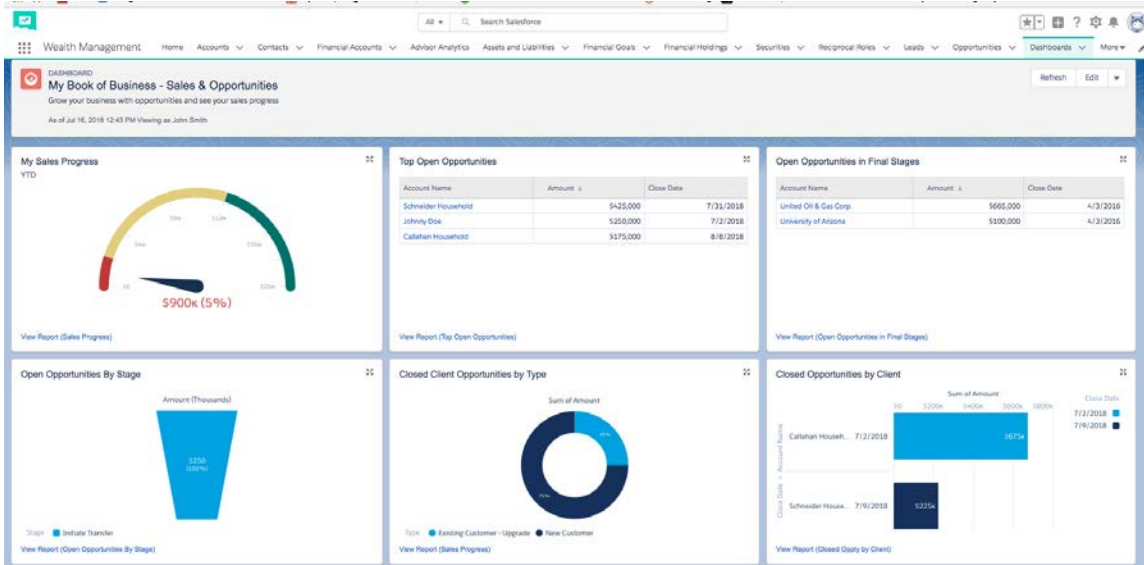
- Opportunity Owner: John Smith
- Amount: \$175,000.00
- Expected Revenue: \$331,250.00
- Close Date: 8/8/2018
- Next Step: Client Presentation
- Probability (%): 75%
- Created By: John Smith, 7/16/2018 11:27 AM
- Last Modified By: John Smith, 7/16/2018 11:27 AM

The 'Related' section includes fields for 'Referral Information' with sub-fields for 'Internal Referrer' and 'External Referrer'. The right-hand side of the page shows an 'ACTIVITY' section with options for 'New Event', 'New Task', and 'Log a Call', and a 'Next Steps' section indicating no next steps are currently defined.

**Dashboards** – There are three pre-built dashboards that are available to you. They are:

- My Book of Business – Engagement Opportunities
- My Book of Business – Sales and Opportunities
- My Book of Business – Overview

As I click on the first dashboard, I am presented with the following pre-built components.



**Advisor Analytics** – There is a pre-built module that allows you to filter your client data to see a subset of your clients very quickly. By moving the bars (in green), your data below will change.

