SYNAPTIC RISK

USER GUIDE

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Version 1.3
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Contents

1. Introduction

Synaptic Software Limited has combined its market leading research tool "Synaptic" with the strength and depth of the Moody's Analytics (formerly known as Barrie + Hibbert) risk framework to create one easy to use solution, which provides:

- Clear, consistent data on investment portfolios enabling you to deliver informed investment advice to clients. These investment portfolios could include: funds, portfolios, synthetic risk rated instruments (SRRIs) including discretionary fund manager (DFM) portfolios
- The ability to use the ratings to support the recommendation of portfolios on your approved lists, dovetailing to your firm's risk categories
- The information required to evidence the correct risk categorisation of clients' investments – and indeed alert you to the need for any rebalancing to maintain the correct level of exposure to risk
- The ability for fund managers and providers to understand where their funds and portfolios fit into an adviser firm's investment strategy
- The Synaptic Risk table and fund factsheets are updated quarterly

2. What is Included in the Risk Service?

The Risk Service is available within the Synaptic Suite.

Risk Table

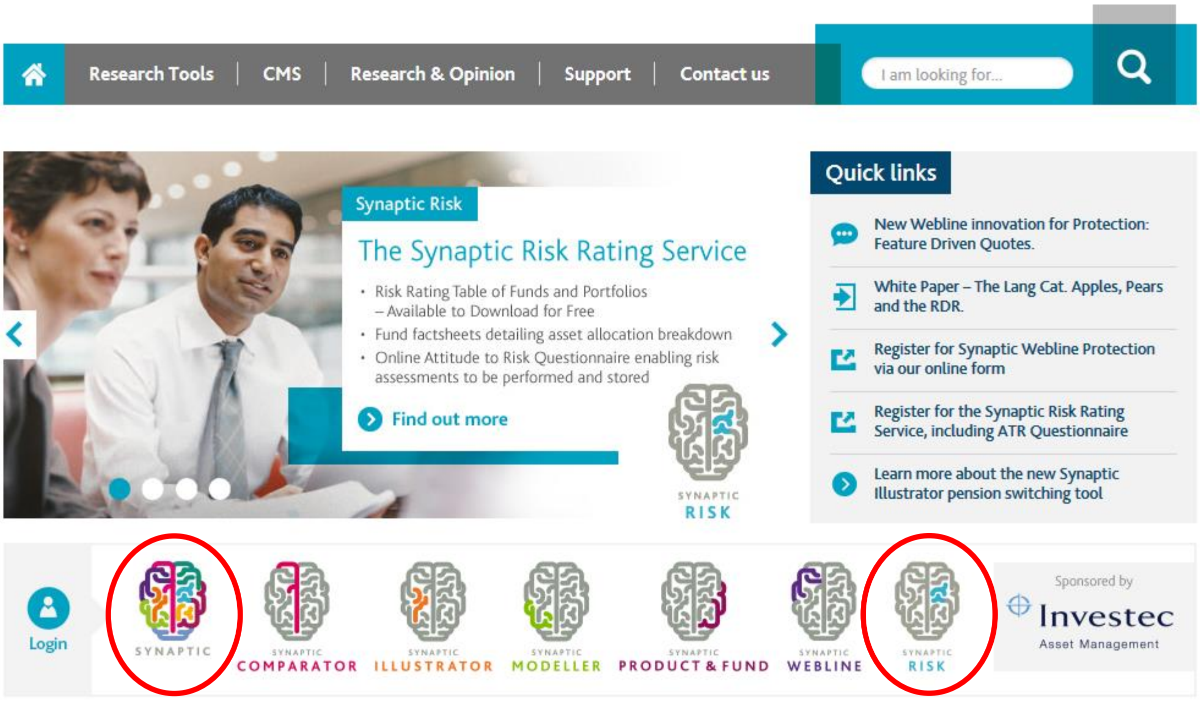
- Free access to the online, searchable and downloadable table of risk rated funds and portfolios. These outputs are designed to form part of your company's compliance regime
- Downloadable Risk Fact Sheets that detail the asset allocation breakdown and 'Capacity for Loss' quotient of rated funds and portfolios

Attitude to Risk Questionnaire

- Access to the online and downloadable Synaptic Attitude to Risk Questionnaire and client modules, enabling risk assessments to be performed and stored
- Free access to the online Synaptic Attitude to Risk Questionnaire even if you are not a current Synaptic customer – please register using the form on the risk area of the website www.synaptic.co.uk

3. Accessing the Risk Service in the Synaptic Suite

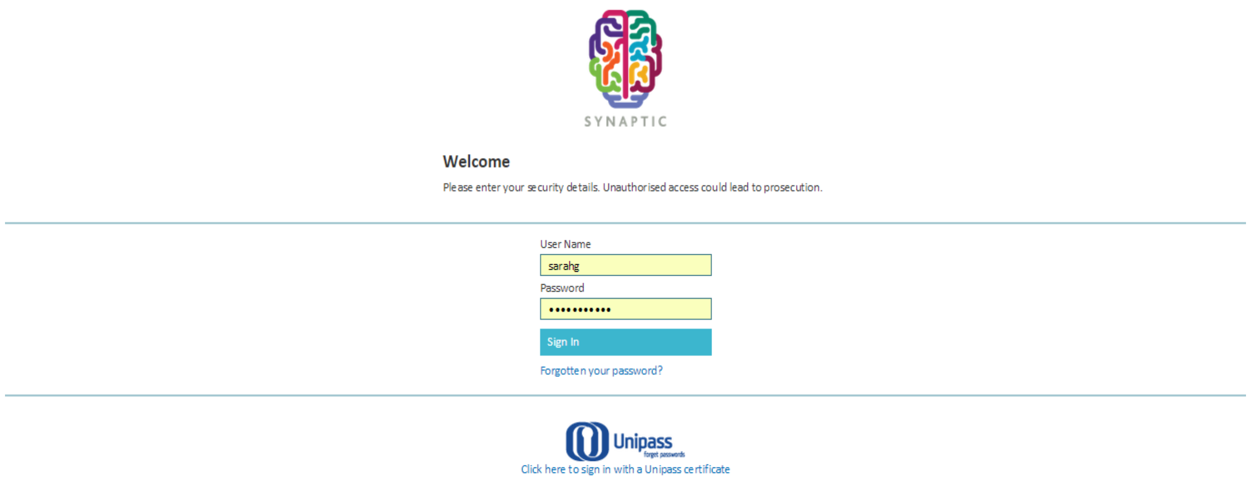
Once you have received your log in details via email, visit the Synaptic Software website – www.synaptic.co.uk and scroll down the screen until you find the 'log in' option.



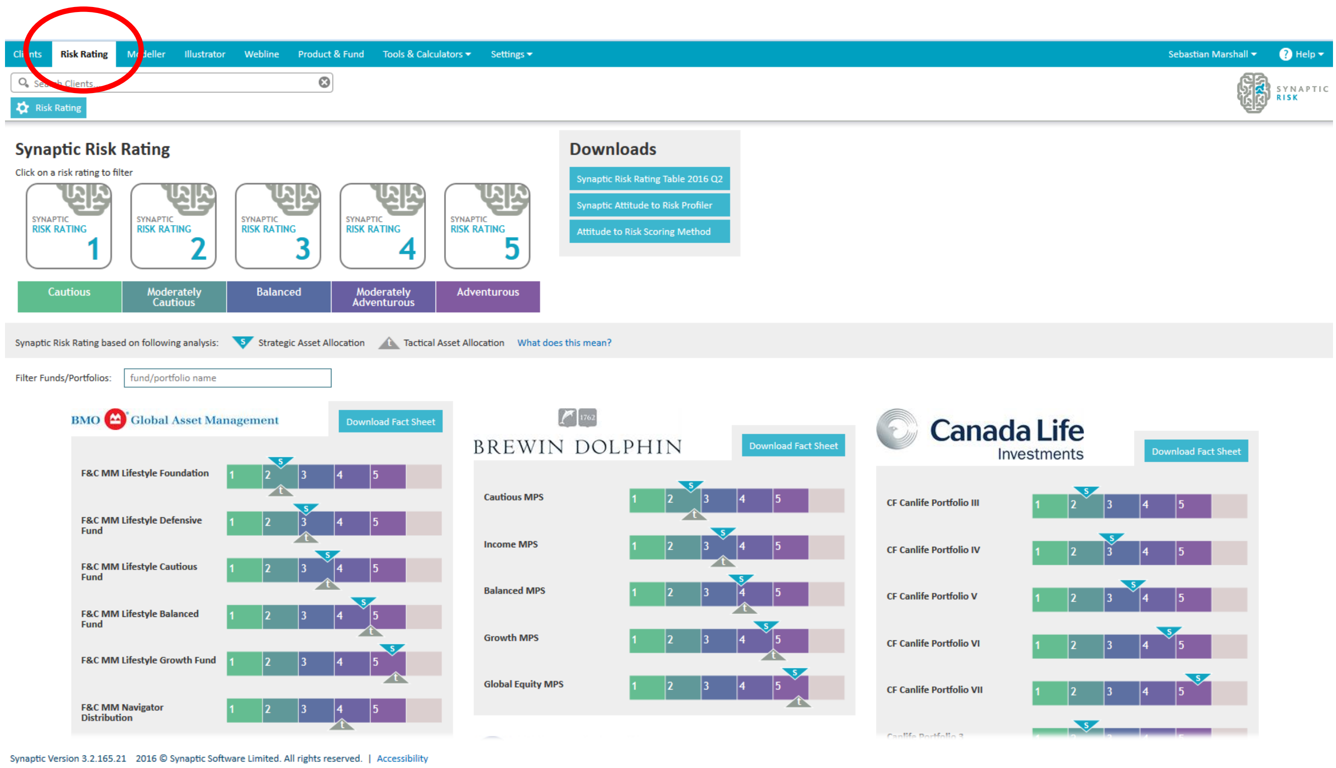
There are two ways to sign in.

Click on Synaptic OR Synaptic Risk

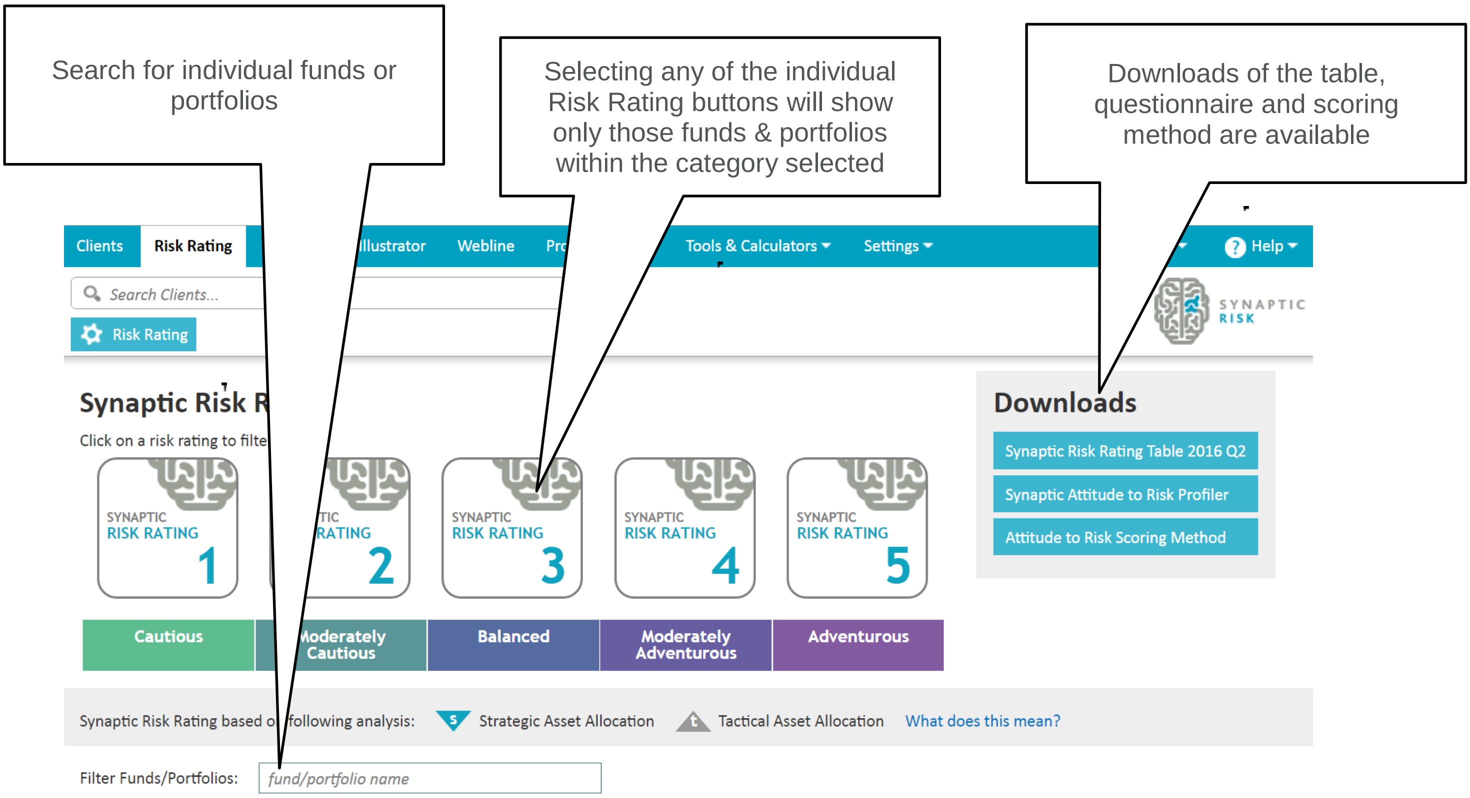
Either will take you to the Synaptic Software login page as shown below where you can sign in.



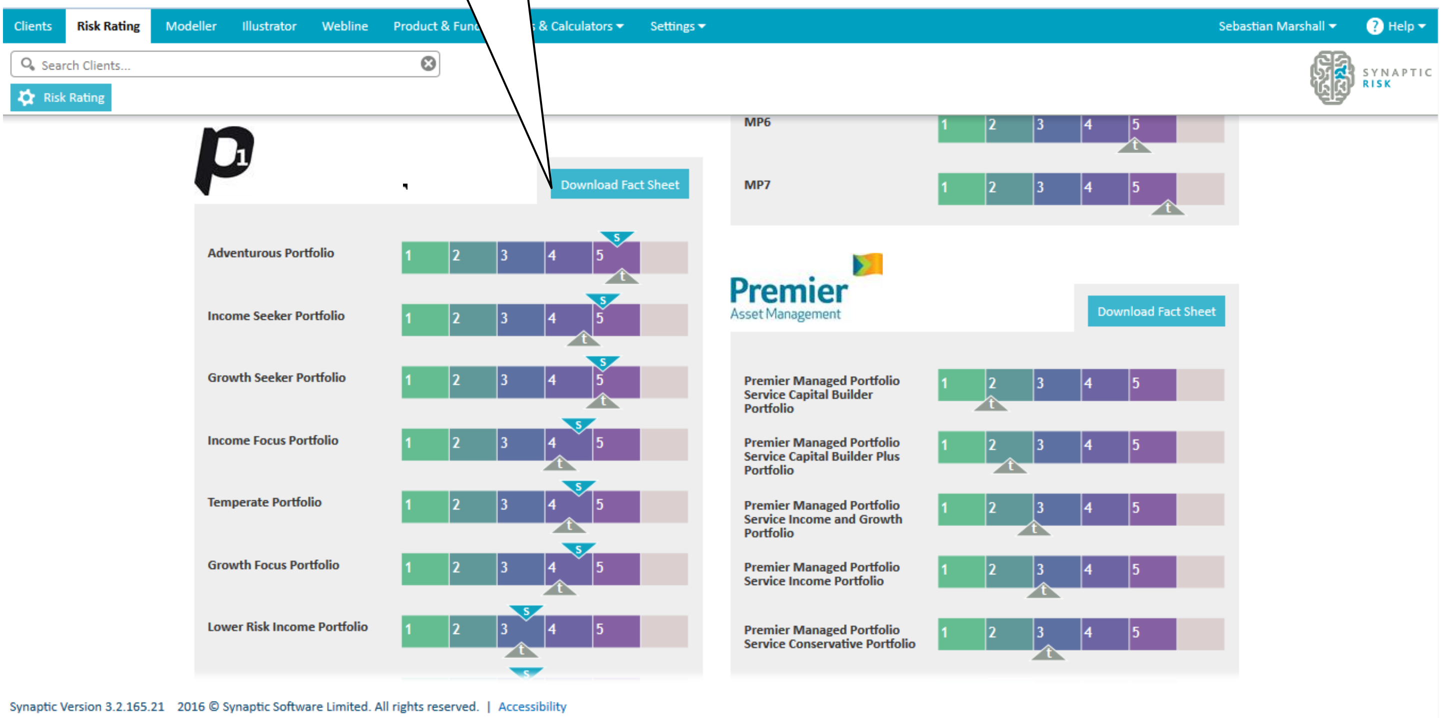
After signing in you will be presented with the following screen. The Risk Service is contained within its own tab as highlighted below. All the Asset Managers on the Synaptic Risk Service are shown on this initial screen.



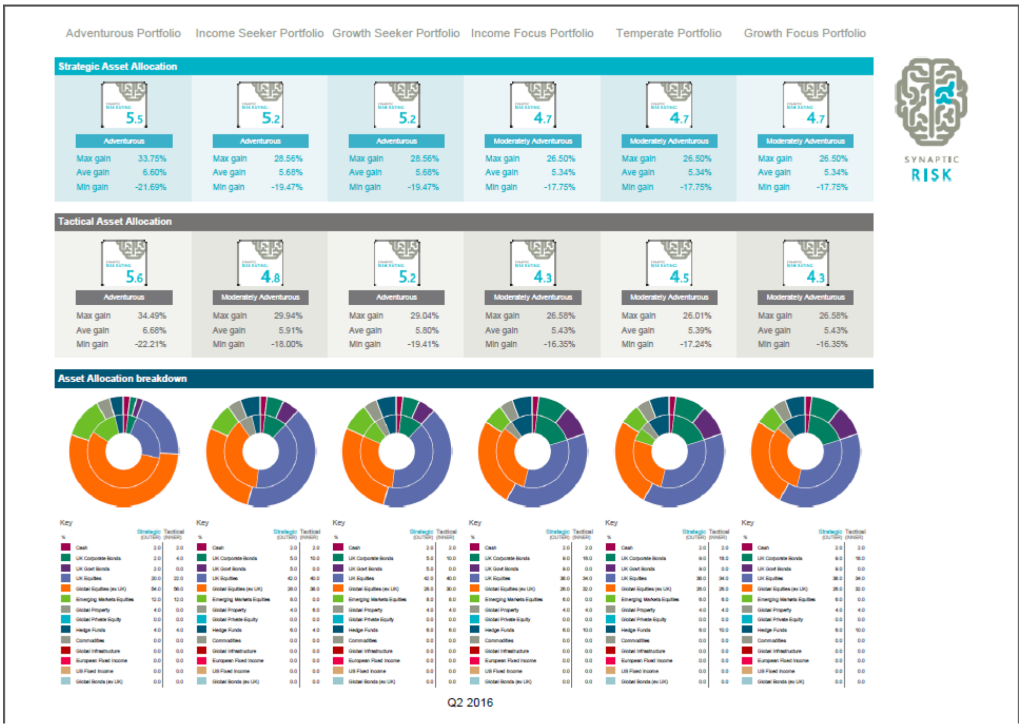
This screen has the following functions:



Individual facthseets can be downloaded

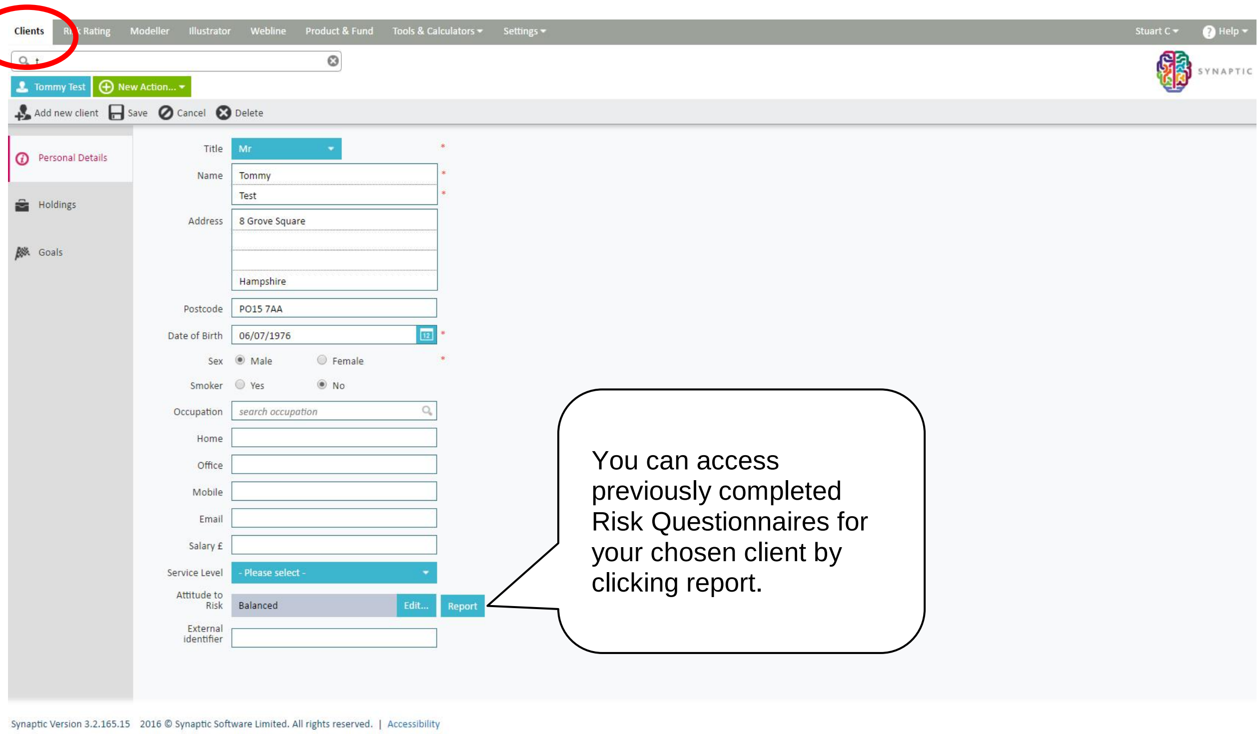


An example of a Risk Rating Factsheet is detailed below:



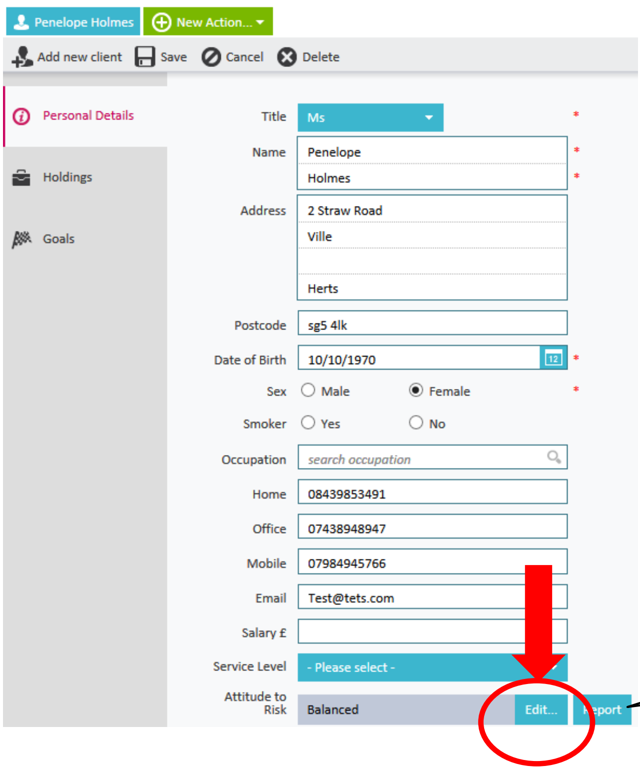
4. Accessing the Attitude to Risk Questionnaire

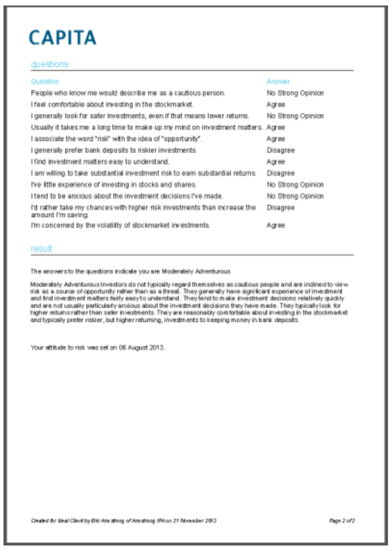
Adding a new client or searching for an existing client is easily completed. You can also access the Attitude to Risk Questionnaire Reports that you have previously saved by clicking on the report button:



5. Using Synaptic Attitude to Risk Questionnaire

When a new client is set up in the client module, you can click on the 'Edit' button alongside 'Attitude to Risk' to access the questionnaire.





CAPITA

questions

Question	Answer
People who know me would describe me as a cautious person.	No Strong Opinion
I feel comfortable about investing in the stockmarket.	Agree
I generally look for safer investments, even if that means lower returns.	No Strong Opinion
Usually it takes me a long time to make up my mind on investment matters.	Agree
I associate the word "risk" with the idea of "opportunity".	Agree
I generally prefer bank deposits to riskier investments.	Disagree
I find investment matters easy to understand.	Agree
I am willing to take substantial investment risk to earn substantial returns.	Disagree
I've little experience of investing in stocks and shares.	No Strong Opinion
I tend to be anxious about the investment decisions I've made.	No Strong Opinion
I'd rather take my chances with higher risk investments than increase the amount I'm saving.	Disagree
I'm concerned by the volatility of stockmarket investments.	Agree

result

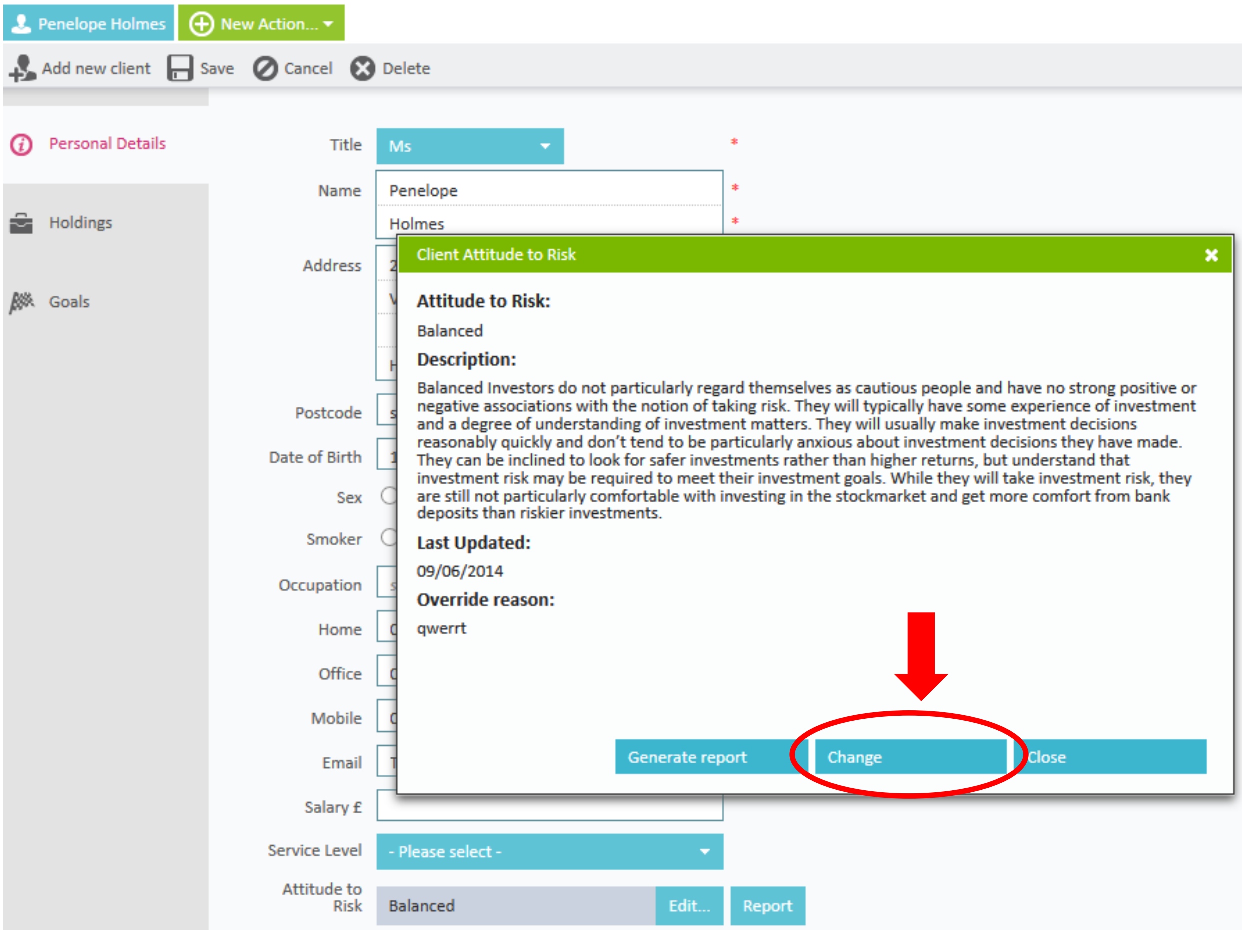
The answers to the questions indicate you are Moderately Adventurous

Moderately Adventurous Investors do not typically regard themselves as cautious people and are inclined to view risk as a source of opportunity rather than as a threat. They generally have significant experience of investment and find investment matters fairly easy to understand. They tend to make investment decisions relatively quickly and are not usually particularly anxious about the investment decisions they have made. They typically look for higher returns rather than safer investments. They are reasonably comfortable about investing in the stockmarket and typically prefer riskier, but higher returning, investments to keeping money in bank deposits.

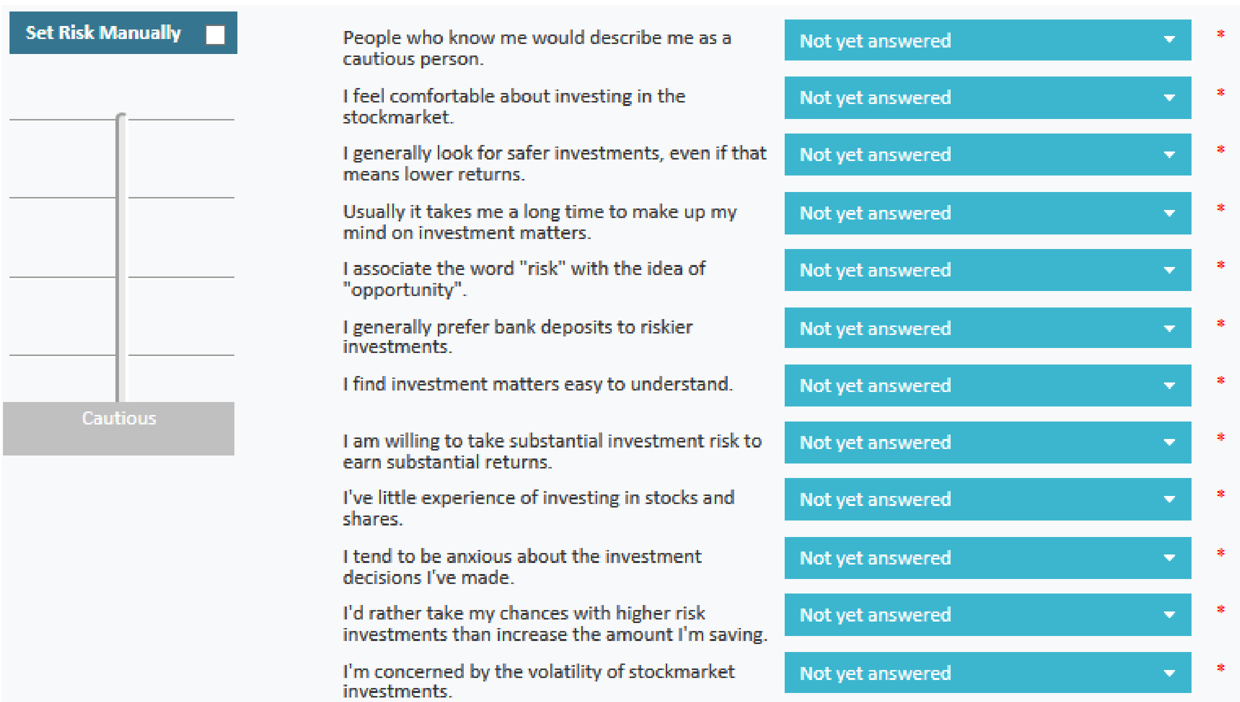
Your attitude to risk was set on 06 August 2013.

If you have previously completed a questionnaire for your client, you can easily access the report

You also have the option to complete a new questionnaire by selecting 'change'.

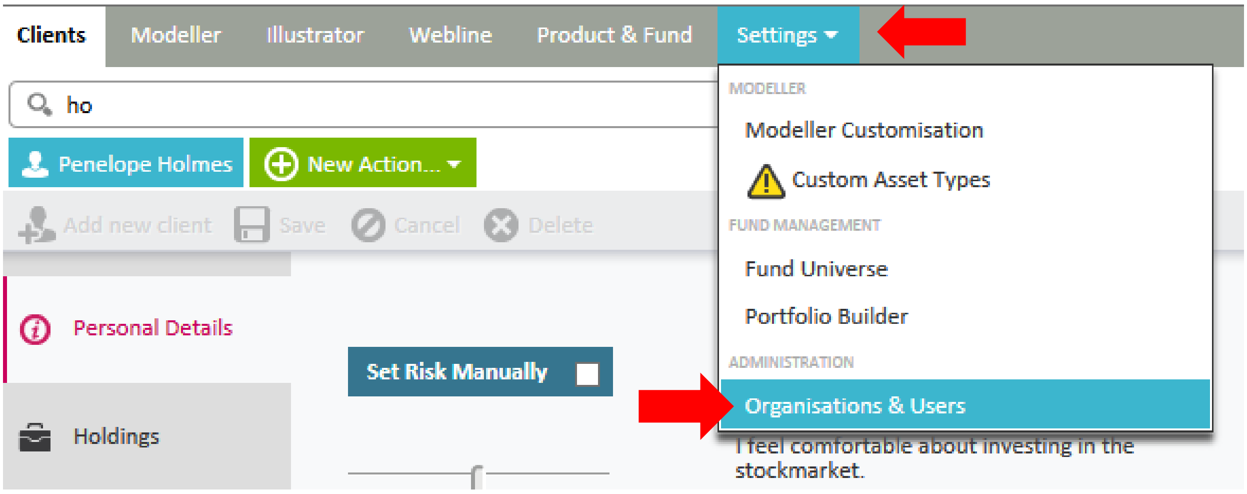


The Attitude to Risk Questionnaire is easy to use, with your client's replies captured by drop down.

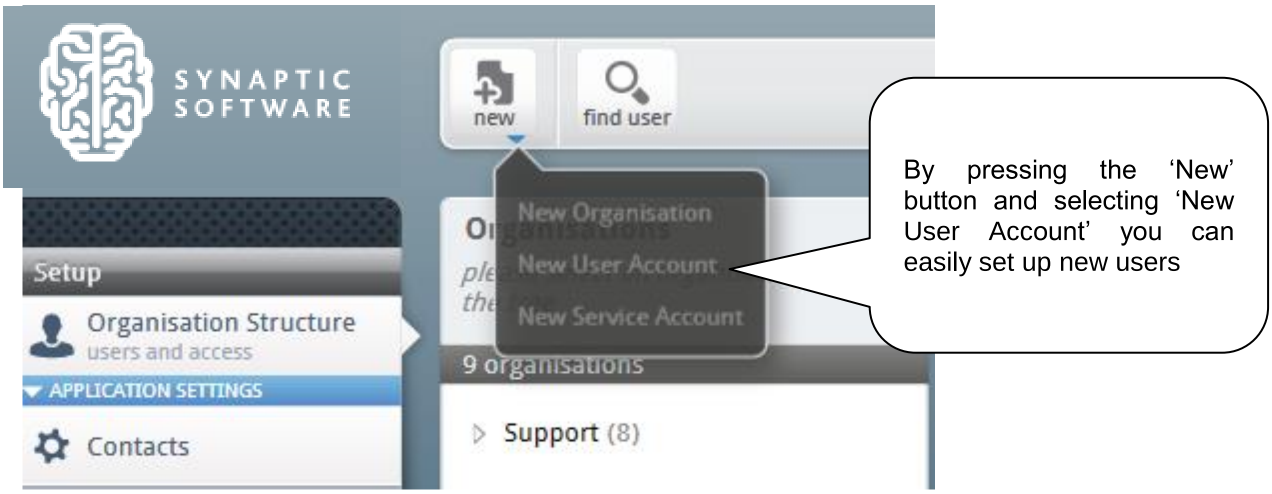


6. Adding & Removing Users from the Client Module

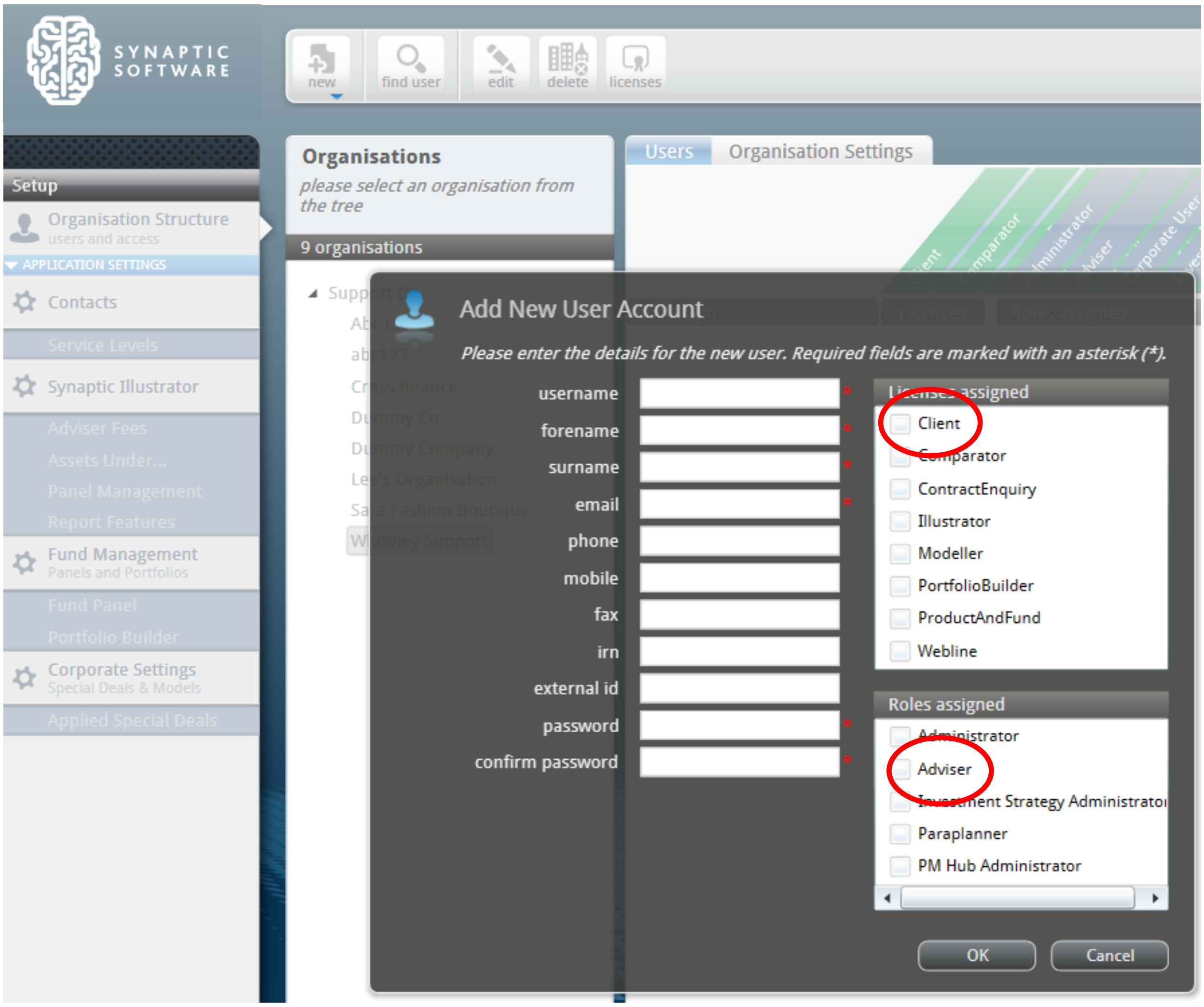
Select the ‘Organisations & Users’ drop down menu from the ‘Settings’ tab.



By pressing the ‘New’ button and selecting ‘New User Account’ you can easily set up a new user. We use an individual’s email as user name as this normally streamlines things. There is also a delete button for old records.



Fill in the required details to complete set up.



At the bottom of the set up page, you will find confirmation of the number of accounts that you are able to set up.

If you experience difficulty accessing the Risk Rating service or Attitude to Risk questionnaire, please contact our Support Team on 0800 028 0033 option 1 or email support@synaptic.co.uk

If you require additional licences, please contact our Sales Team on 0800 783 4477, alternatively email sales@synaptic.co.uk

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