A.S.A.P.

Accountants Scaled Advice Platform

A.S.A.P. HELP GUIDE

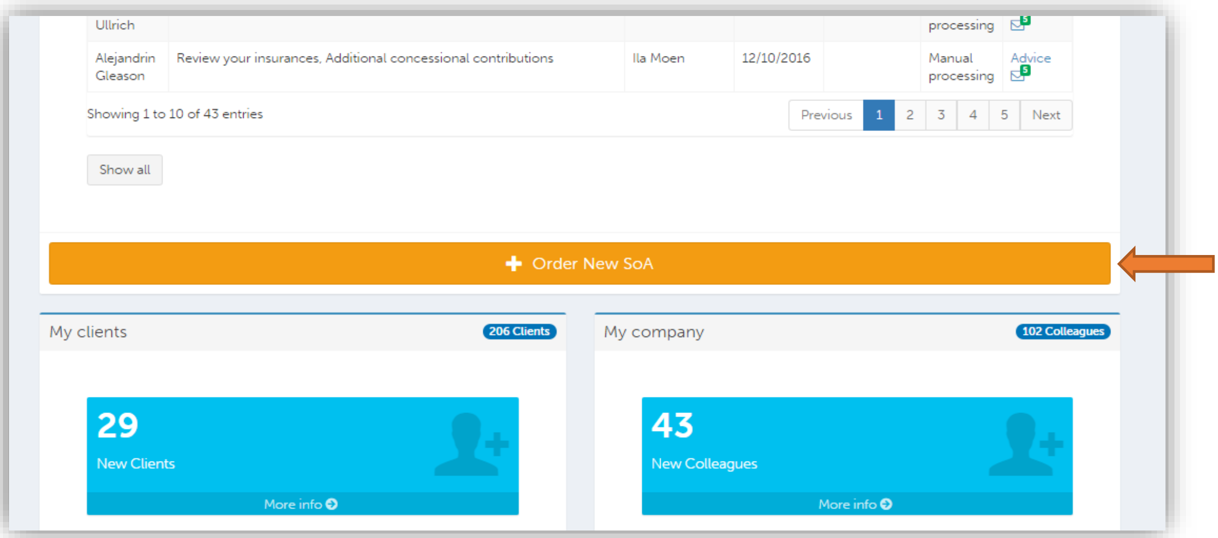
Contents:

Ordering a Statement of Advice

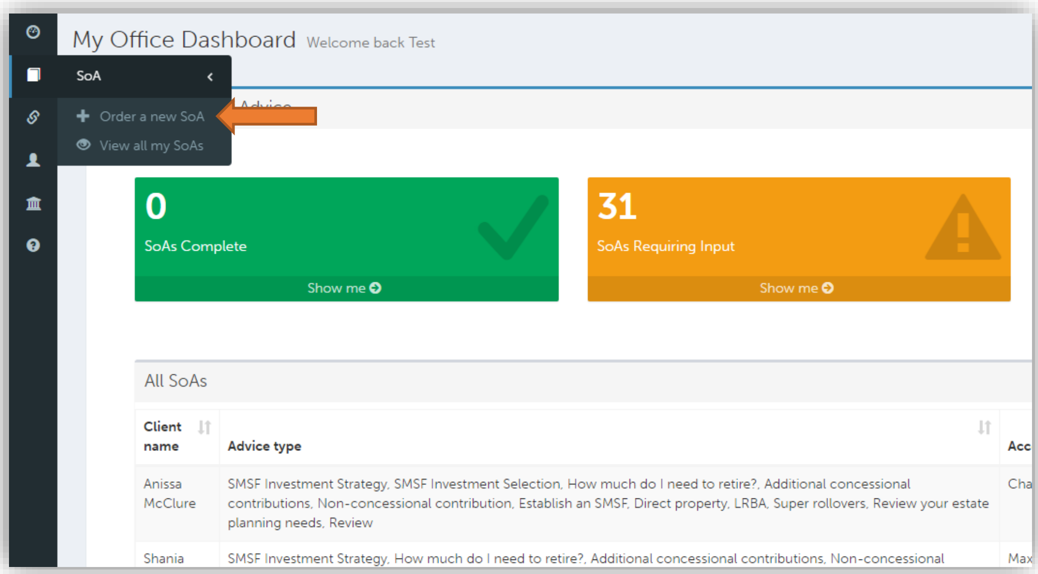
HOW DO I ORDER A STATEMENT OF ADVICE?

The SoA order process can be launched from a number of locations on the A.S.A.P. membership site, as follows.

Option 1: From your Dashboard (which is accessed using the icon in the top-left of the screen), click the 'Order New SoA' button at the bottom of the table.

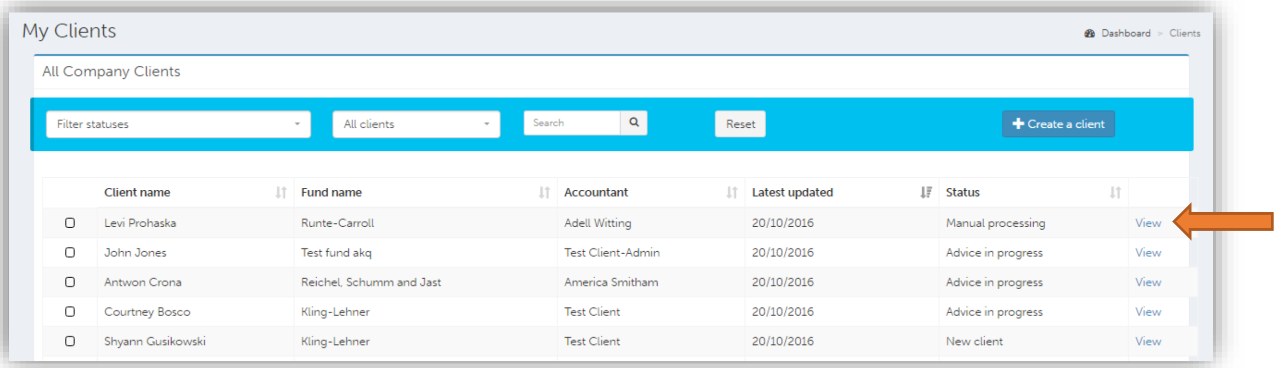


Option 2. From the black menu bar on the left of the screen, hover over 'SoA' (icon) and click 'Order a new SoA'

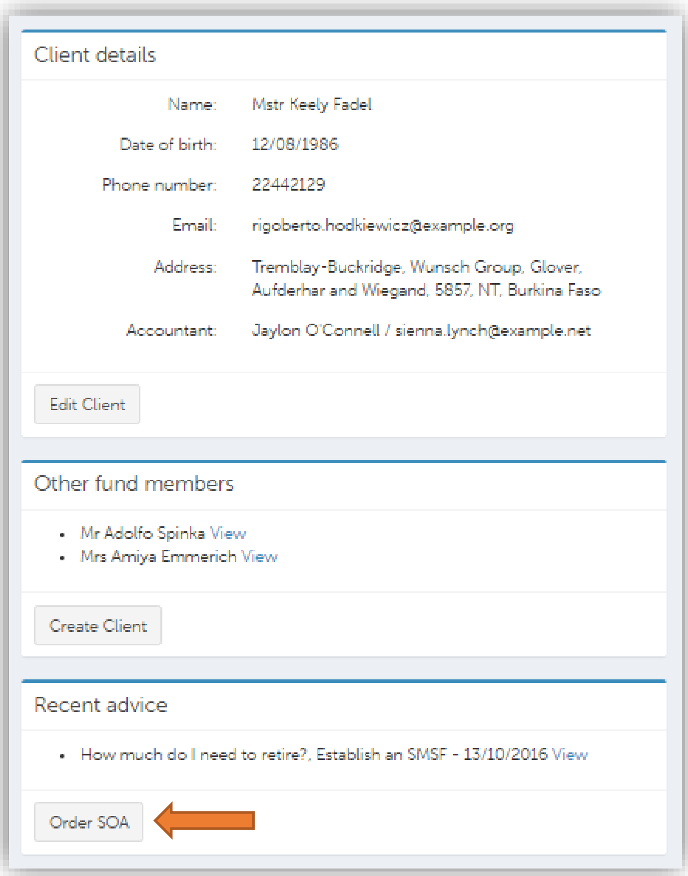


Option 3. From the menu bar on the left, hover over 'Clients' (icon) and click 'View all my clients'.

- Then click the 'View' button for a particular client:



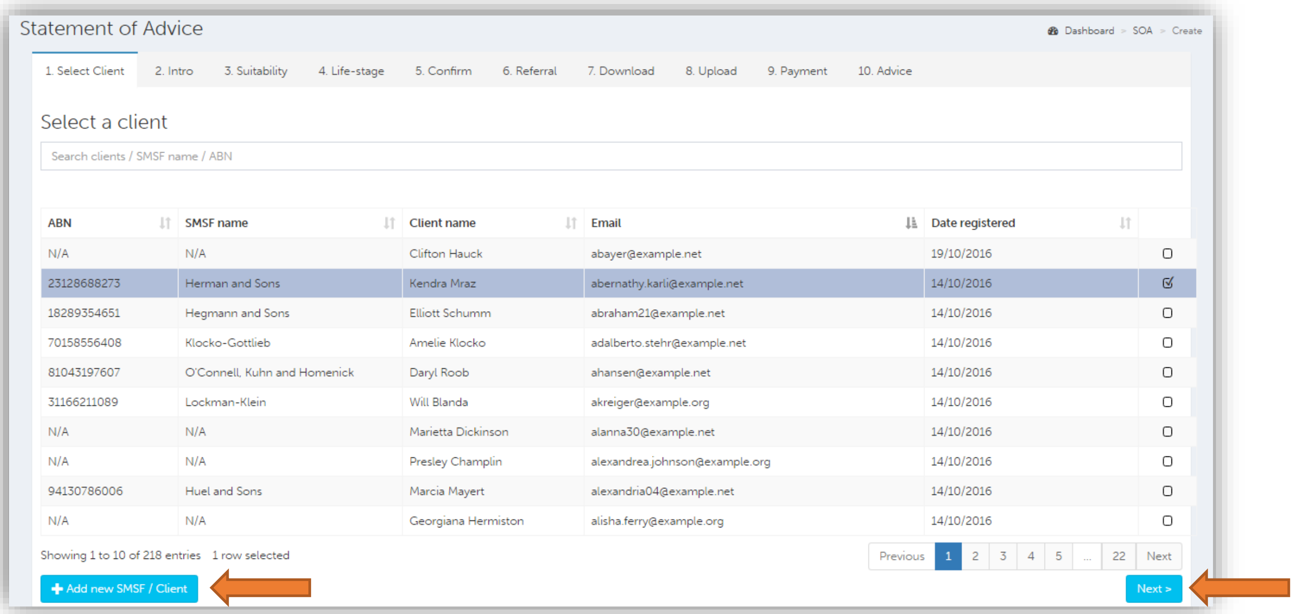
- Click the 'Order SoA' button at the bottom of the page:



The SoA order process

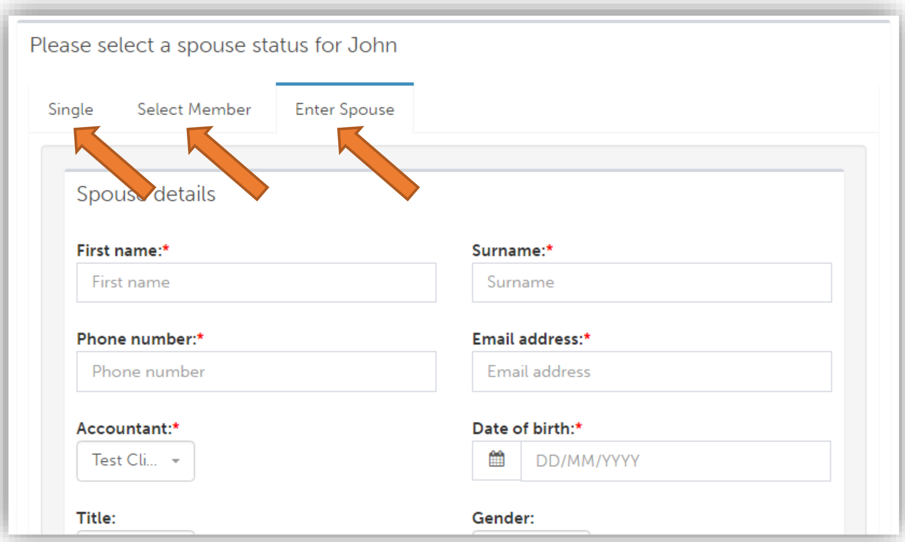
Step 1: Select a Client

The first step of the advice process is to choose which client requires the advice. If the client has not yet been loaded onto A.S.A.P., you can manually add them using the blue 'Add new SMSF/client' button at the bottom left of the screen.



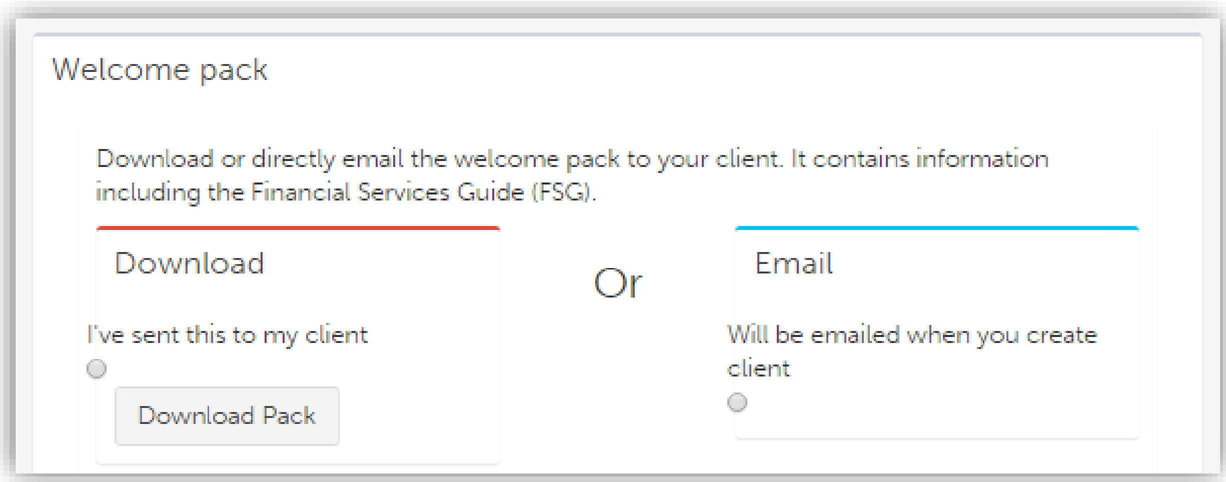
Please note you can only select one client as the primary contact for the SoA. Once you are happy with your selection, click the 'Next' button to continue.

Then select a spouse status for your member. If the selected member's spouse is already a member of the same SMSF, you can select them using the 'Select Member' tab.

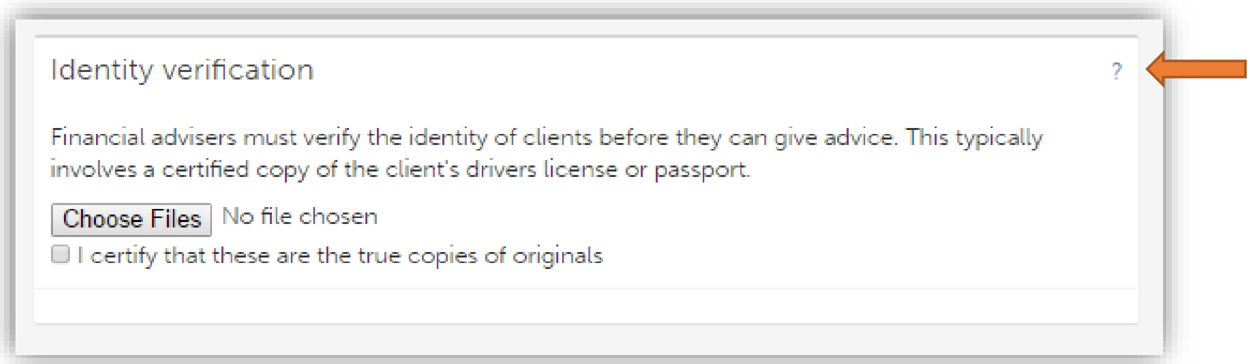


Otherwise, you can enter in the spouse's details manually under the 'Enter Spouse' tab.

As you scroll down the 'Enter Spouse' screen you will see a section to issue a Welcome Pack to this client, which can be downloaded and passed to your client directly or emailed to the client straight from our system. The Welcome Pack contains an introductory letter and A.S.A.P.'s Financial Services Guide which is an important regulatory advice document. It is important that your clients read the FSG carefully before implementing A.S.A.P.'s advice.



You must upload documentary evidence of the identity of each client, including spouses, as this is another regulatory requirement before giving advice. The requisite number of ID points required can be accessed via the help icon.



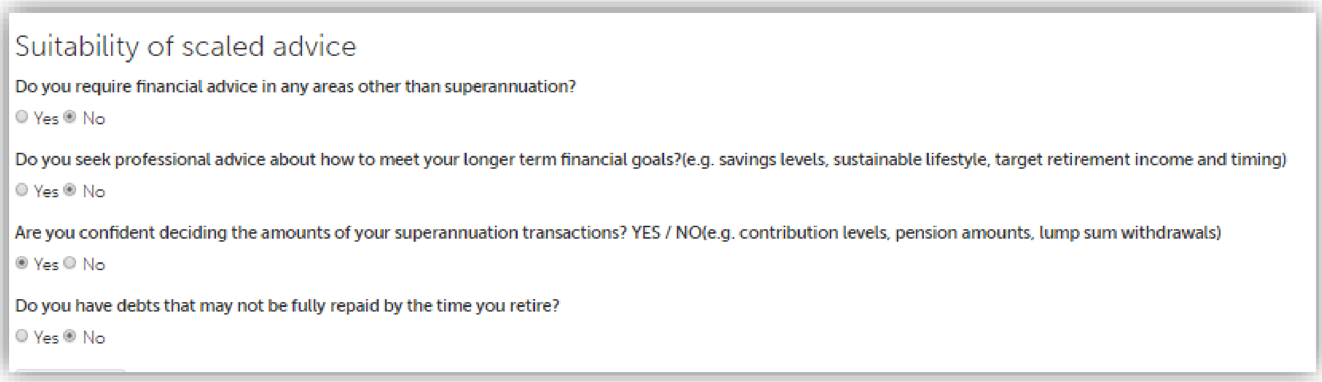
Step 2: Introduction

This page explains the meaning of 'scaled advice' and is designed to help clients understand the scope of A.S.A.P.'s service. It explains how A.S.A.P.'s scope integrates with scope of work from the accountant (assuming the accountant is a registered tax practitioner). It is important that both accountant and client read this section carefully before proceeding. Please refer to our Financial Services Guide and our Welcome Pack for Accountants for further information about A.S.A.P.'s advice service.

Step 3: Suitability

To meet ASIC's digital advice standards, it's important that A.S.A.P.'s process confirms that the client is suited to receiving scaled advice. It's equally important to identify clients who appear to need a more comprehensive advice service. Step 3 contains a series of questions that assess whether your client is a suitable candidate for scaled advice.

Ideally clients should, after they receive factual information, compliance advice and tax advice from their accountant, have confidence to decide the amounts they wish to contribute and withdraw from their superannuation.


Suitability of scaled advice

Do you require financial advice in any areas other than superannuation?

Yes No

Do you seek professional advice about how to meet your longer term financial goals?(e.g. savings levels, sustainable lifestyle, target retirement income and timing)

Yes No

Are you confident deciding the amounts of your superannuation transactions? YES / NO(e.g. contribution levels, pension amounts, lump sum withdrawals)

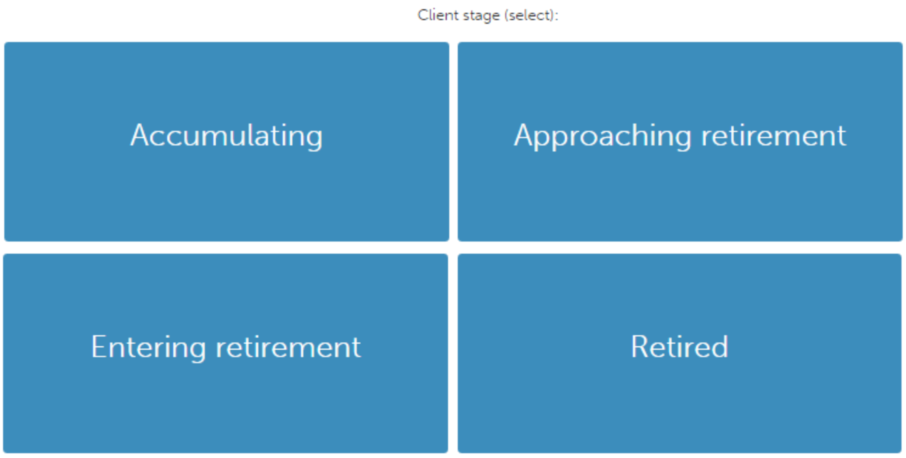
Yes No

Do you have debts that may not be fully repaid by the time you retire?

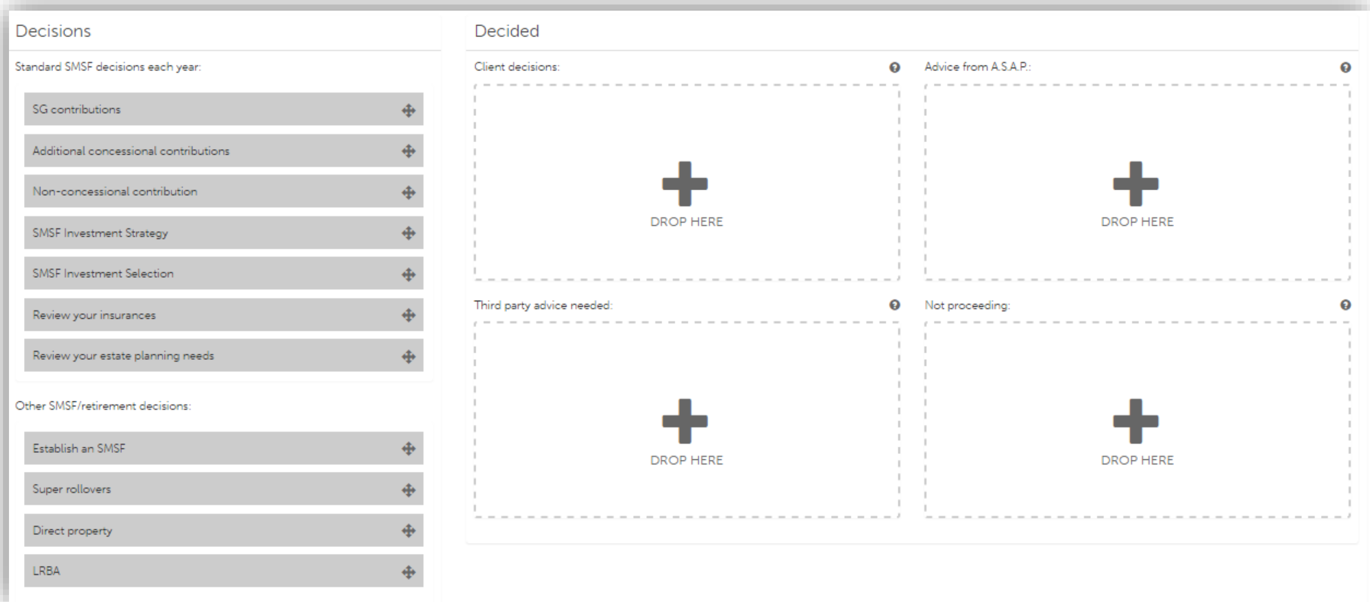
Yes No

Step 4: Life-Stage

The next step is to select which life-stage the client is in. These drive the superannuation decisions that your client is likely to need to make. The life-stages to choose from are Accumulating, Approaching retirement, Entering retirement and Retired.



You will then be presented with a list of the typical superannuation decisions that households must decide upon during that life-stage. Your client must drag each Decision tile on the left of the page into one of the four boxes in the right side of the page.



The four destination boxes are:

1. Decisions that the client is happy to take full responsibility for without advice

2. SMSF transactions that are suited to receiving scaled advice from A.S.A.P.
    - Accountants need a Statement of Advice from a licensed adviser before assisting with the implementation of these transactions
3. Decision where a third party (e.g. specialist) adviser is sought
    - For advice types that A.S.A.P. doesn't currently offer such as Estate Planning.
    - If advice is sought, the client should consult a third party adviser.
4. Transactions that the client does not intend to implement or proceed further with
    - The Client doesn't plan to implement these transactions.

You will need to place all decision tiles into a box before you can continue to the next stage.

Step 5: Confirmation

Step 5 summarises the decisions that were made in Step 4, as a written document. This is an important feature, as the text will become a ‘Confirmation of Advice’ letter which will be e-signed by the client. This letter forms a record of exactly what the client agreed in terms of who would take responsibility for each decision. It can be used as a future reference point for both yourself and your client.

This page also gives a preliminary cost estimate for A.S.A.P.’s SoA. You need enter the number of rollovers from existing super funds and to check the box next to the initial fee estimate.

At the end of this process, your client will be emailed a copy of the ‘Confirmation of Advice Needs’ letter, the ‘Fee and Scope Agreement’ and an ‘Authority to Access Information’. Your client will need to follow the email link and digitally sign this document package prior to receiving their SoA.


A.S.A.P.
Accountants Scaled Advice Platform

Confirmation of advice needs: John Smith

A.S.A.P.
Accountants Scaled Advice Platform

FEE AND SCOPE AGREEMENT

SMSF FINANCIAL PRODUCT ADVICE

A.S.A.P.
Accountants Scaled Advice Platform

Authority to Access Information

To whom it may concern

We have requested ASAP Advice Pty Ltd (ABN: 4461 3769 725) to assist us in reviewing our financial circumstances. Accordingly, we authorise ASAP Advice Pty Ltd and its employees to access information in relation to the following.

1. Details of any investments held with various fund managers, superannuation managers and other financial institutions
2. Superannuation benefits currently invested in our employer sponsored superannuation fund
3. Information relating to any insurances
4. Information about us and our financial situation from my accountant

☑ Please accept a photocopy, scan or fax of this letter, as the original will remain on file

Step 6: Referral

This is where you, as the accountant, input the costs of establishing and running the SMSF according to your own providers and cost estimates.

You will need to provide your costings for:

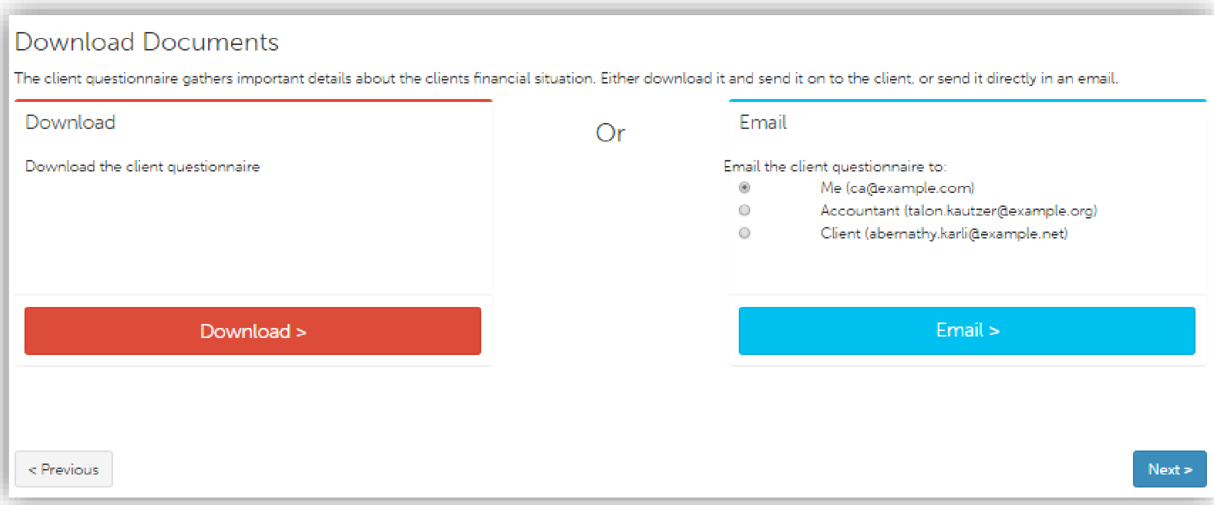
- preparation of the trust deed
- establishing a company to act as a corporate trustee (if applicable)
- required ATO lodgements
- preparation of financial statements
- annual tax return
- annual audit
- statutory lodgement fees
- administration of funds with corporate trustees
- the trustee company statutory return fee
- ongoing strategic advice fees
- other related fees

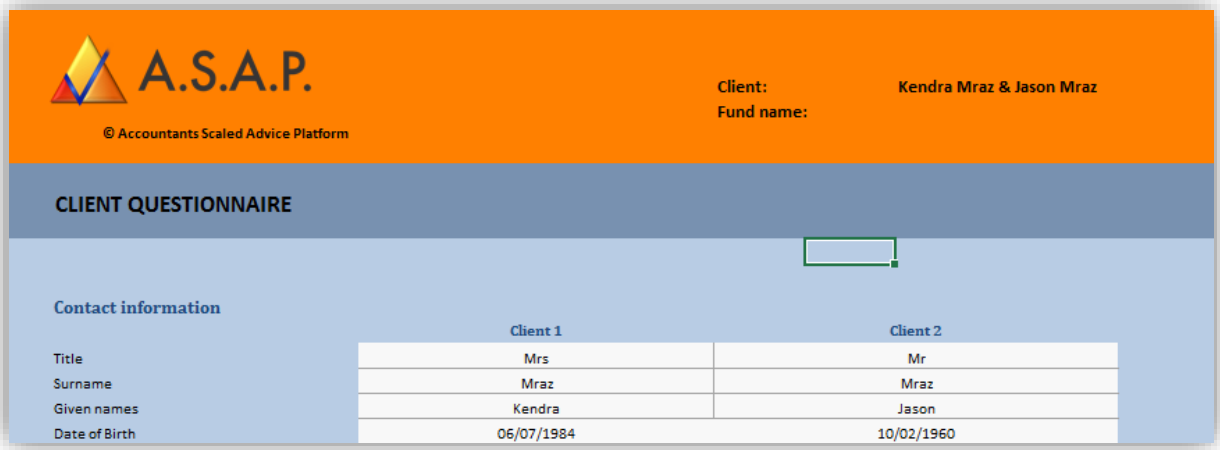
You will also need to provide the name of your SMSF document provider and accounting platform. To do this select from the drop-downs or simply type into the box.

Step 7: Download the Client Questionnaire

The Client Questionnaire captures information on the client's objectives, personal details and preferences, as well as information about any existing superannuation funds they are thinking about rolling into an SMSF. The questionnaire forms the basis of A.S.A.P.'s advice to the client.

On this page you either select to download the Questionnaire (an Excel file) or to have our system email it directly to your client.



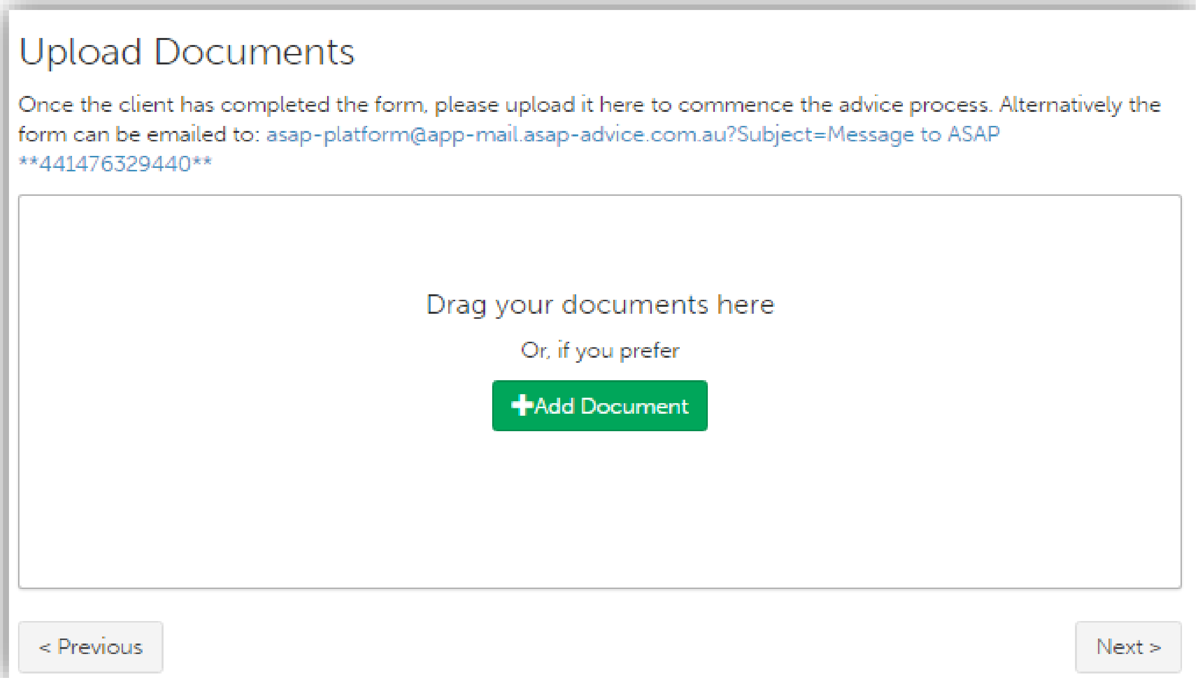


	Client 1	Client 2
Title	Mrs	Mr
Surname	Mraz	Mraz
Given names	Kendra	Jason
Date of Birth	06/07/1984	10/02/1960

The completed questionnaire will need to be returned to A.S.A.P. before the advice process can continue.

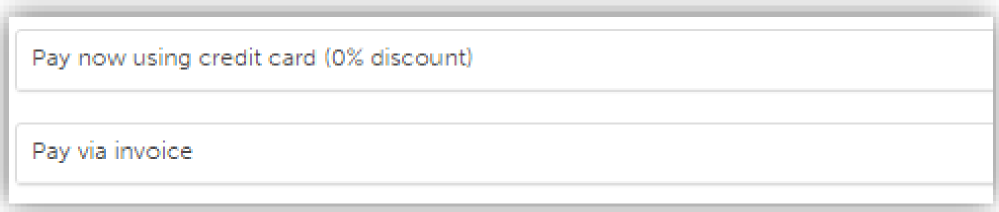
Step 8: Upload documents

Once you have received the completed questionnaire from your client, upload it using the drag and drop facility in Step 8. Alternatively, either you or your client can email the document to info@asap-advice.com.au by using a specific subject title. The correct subject title can be seen by clicking the link on this upload page.

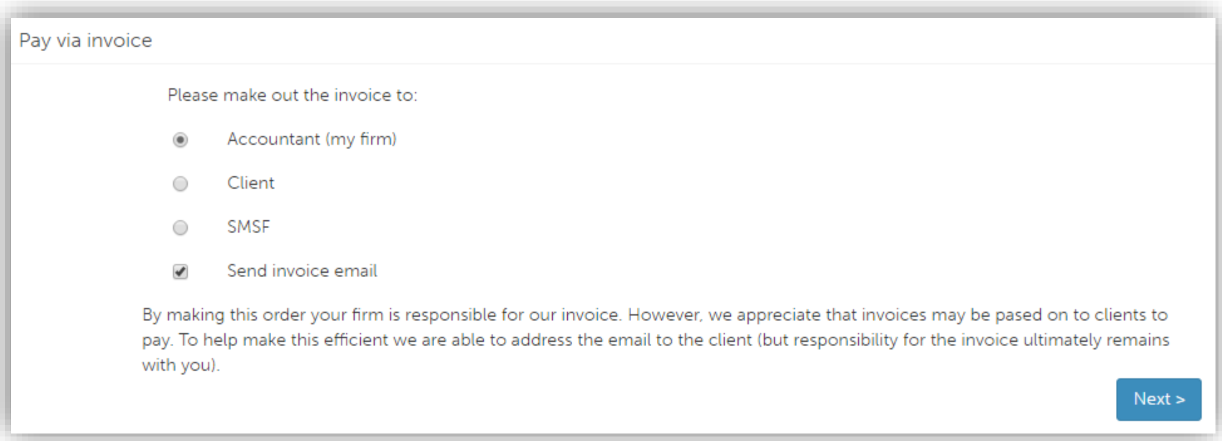


Step 9: Payment

A.S.A.P. provides the option to pay with a credit card or via invoice. We are also integrated with the POLi payment system (a business of Australia Post), so clients can transfer their outstanding amounts securely using their own online banking facilities.



Invoices can be addressed to either the accountant (your company), the clients' SMSF or the client themselves, and can be downloaded or emailed directly from the platform.



Step 10: Advice

This page shows a summary of the advice process. If the request requires manual input from A.S.A.P.'s advice team, the reason will be displayed here. There is also a checklist provided to ensure that all stages of the order process have been completed.

To complete the SoA ordering process all items in the checklist need to be marked green. Some items are dependent on others and cannot be started prior. Please feel free to contact the A.S.A.P. team to discuss any issues.

Using the platform

How do I become a member of A.S.A.P.'s platform?

Accountants who subscribed to receive updates from A.S.A.P. before October 2016 will be invited to take part in our Beta launch by email.

After our Beta, accountants will be able to sign up to be an A.S.A.P. member via our website at https://www.asap-advice.com.au/. Refer to the 'Register' link in the top right hand corner of the page and enter your company details to complete your registration.

What are the requirements to be an A.S.A.P. member?

The following requirements will have to be met for an A.S.A.P. registration:

- Accountant must be a registered tax agent,
- Accountant's firm must have 3 years of experience working with SMSFs,
- Accountant must provide their website URL (if applicable), and
- Accountant must have a valid ABN.

A.S.A.P. reserves the right to deny any membership application that we consider does not meet these criteria.

What does it cost to register?

A.S.A.P. registration is free of charge and there are no ongoing membership fees. This includes free use of our online tool to identify, confirm and document your clients' licensed advice needs.

You simply pay for any Statements of Advice you order from A.S.A.P.

How much does an SoA cost?

A.S.A.P.'s pricing structure consists of the following items:

Use of our online tool to use with your clients to confirm and document their licensed advice needs	Free
Statement of Advice[1]	$250*
Rollover of monies from existing super fund	$100* per fund

*plus GST

Note 1: In addition, there may be times where the data input into the client's fact find requires further attention from A.S.A.P. staff. If this is the case, an extra $100 fee will be incurred. The scenarios where this extra charge could occur are set out in our 'A.S.A.P. Pricing Structure' document that you will receive as part of your welcome pack upon registering with A.S.A.P.

Can I apply for an SoA without becoming a member?

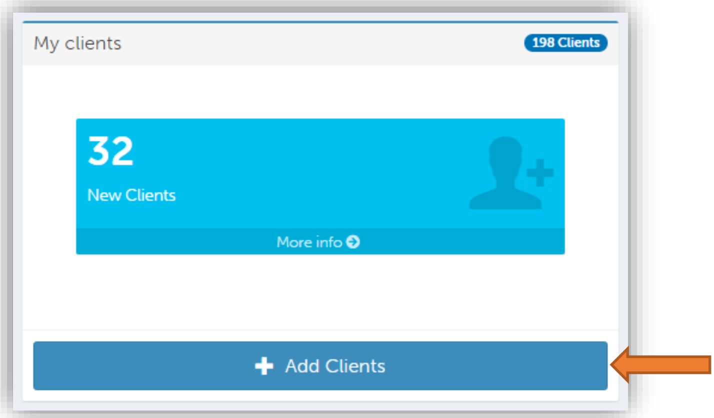
No, you need to register with A.S.A.P. before you can order an SoA.

How do I upload my client's details to the platform?

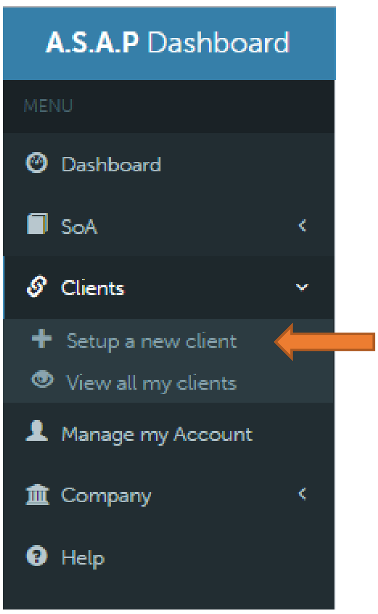
The platform is designed to store your clients' details securely, ready for when they come to your office for a meeting.

When you first register, you will be prompted to load clients into the A.S.A.P. system. Otherwise, you can enter further client details from the following locations:

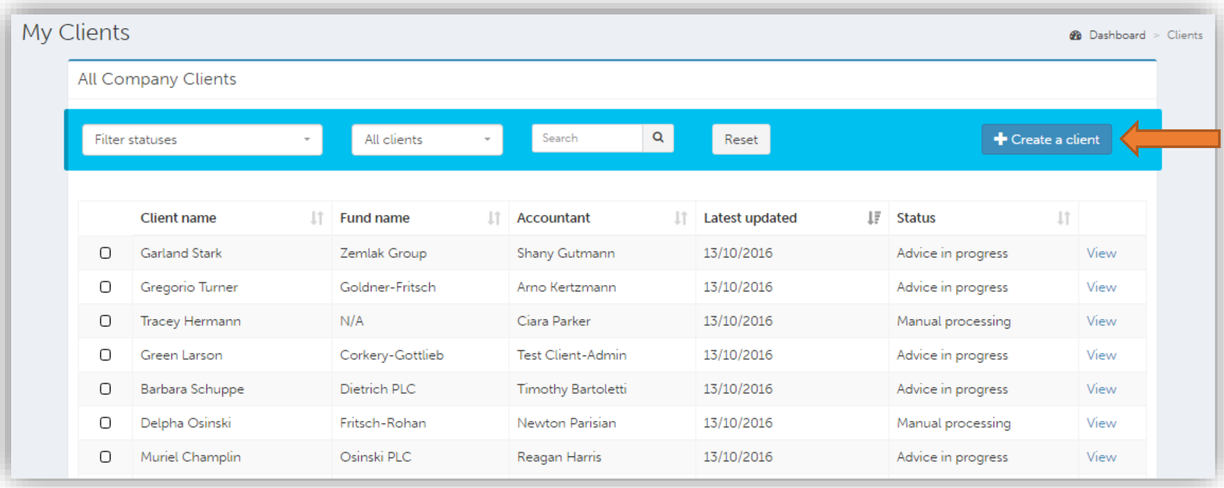
1. From your dashboard, using the 'Add Clients' button below.



2. From the 'Clients' dropdown in your menu bar



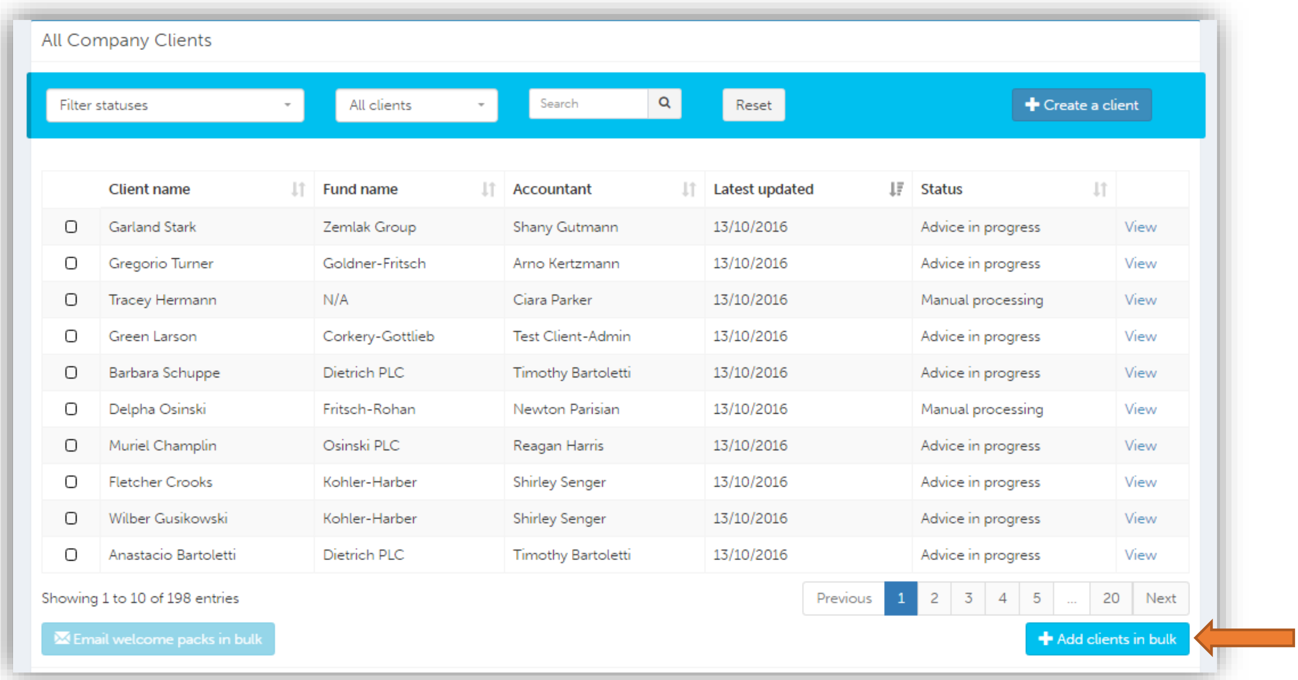
3. From the ‘View all my clients’ screen



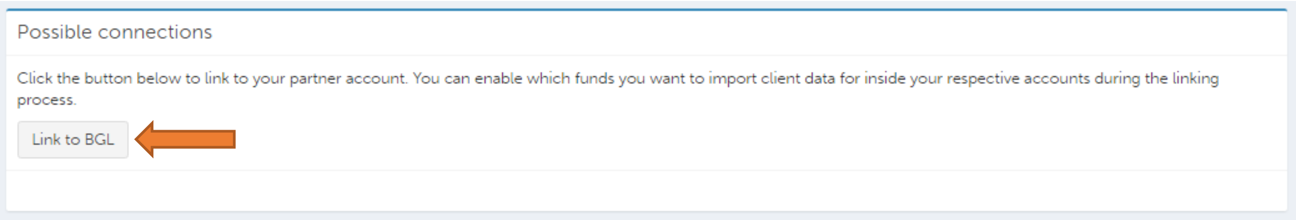
Can I import my clients’ details from my accounting software?

Currently, BGL 360 clients are able to import clients directly into A.S.A.P. We are in discussions with other software providers too which will be added in due course.

To do so, navigate to the ‘My Clients’ page and click on the ‘Add clients in bulk’ button in the bottom right hand corner of the page.



A list of possible software platforms will be listed.



Click your preferred platform, log in to their system using your current provider credentials and follow the prompts to import the relevant client data into the A.S.A.P. system. When completed, the imported clients will be listed in your client list. They will now be available to select when ordering an SoA.

What extra activities can an administrator do?

Administrators have access to the following actions:

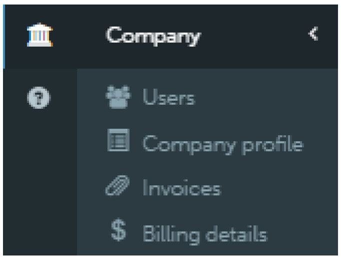
Manage users
View all users currently registered under your company. Update their details and reset their password as needed.

Update company details
Update the name, primary contact and offices under your main company profile.

Manage invoices
All company invoices are listed in the table here. The table is searchable by date range, payment status or client name. Administrators can pay multiple invoices from this screen.

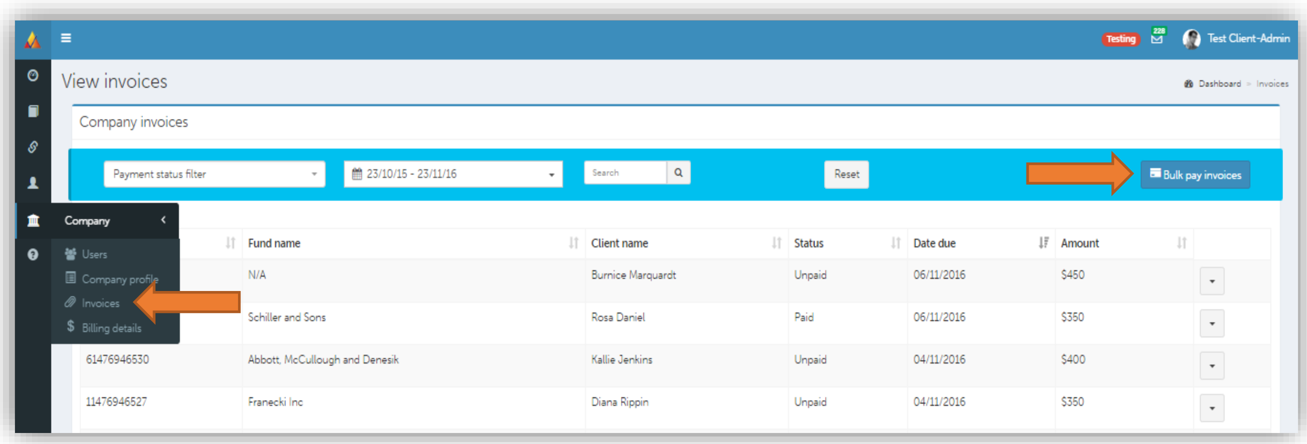
Billing
View and edit saved credit card details

To access these features, administrators can navigate to their 'company' tab located in their menu taskbar.



How do I view my SoAs that require payment?

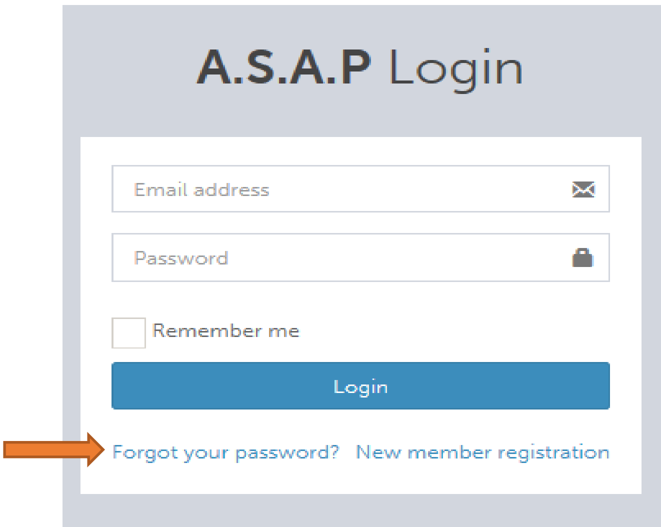
Users with administrator privileges have access to a table where they can view all their paid, unpaid, refunded and cancelled invoices over any period of time. Administrators also have the ability to pay several invoices in bulk from this screen.



Regular users (who don't have administrator privileges) can navigate to their 'View all my SoAs' tab and select an order to check on its payment status.

I forgot my password. What should I do?

Click the 'Forgot your password' link on the login page.



An email will be sent to the address you registered with containing a link. Following the link will allow you to input and save a new password.

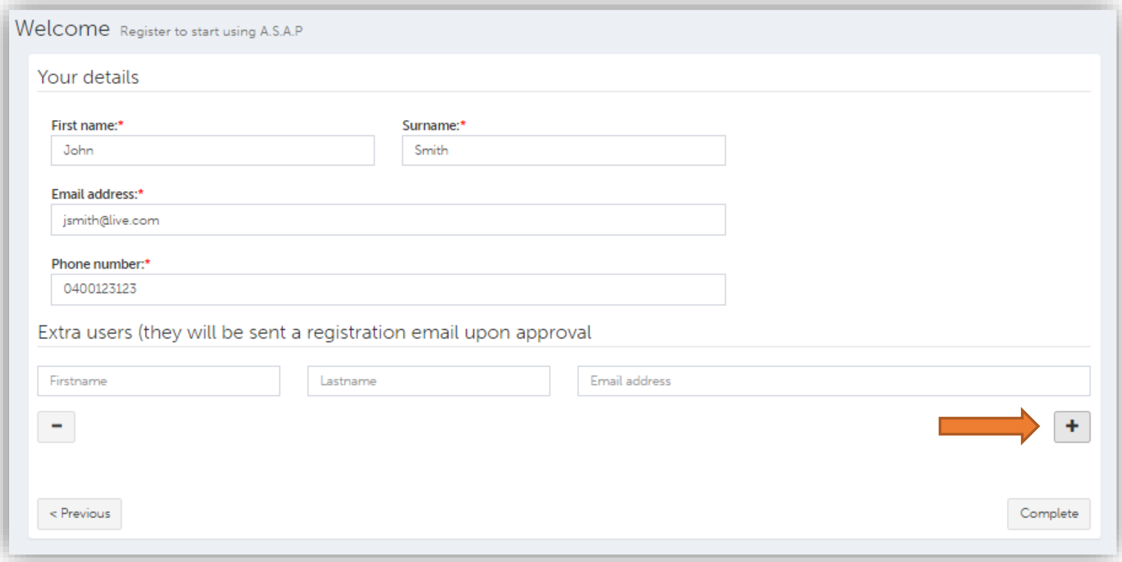
I forgot my username. What should I do?

Your username is the email address you initially signed up with. If for some reason you cannot log in, your account administrator can access all user details from their account and confirm the username. Otherwise, don't hesitate to get in contact with A.S.A.P. support staff either by email (info@asap-advice.com.au) or phone (03 6240 1575).

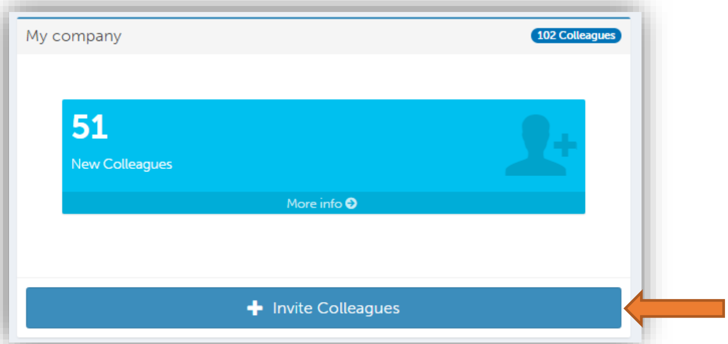
How do I invite a staff member to join my account?

There a number of ways to invite additional staff members to join your account. Please note that you must have administrator privileges in order to invite a colleague.

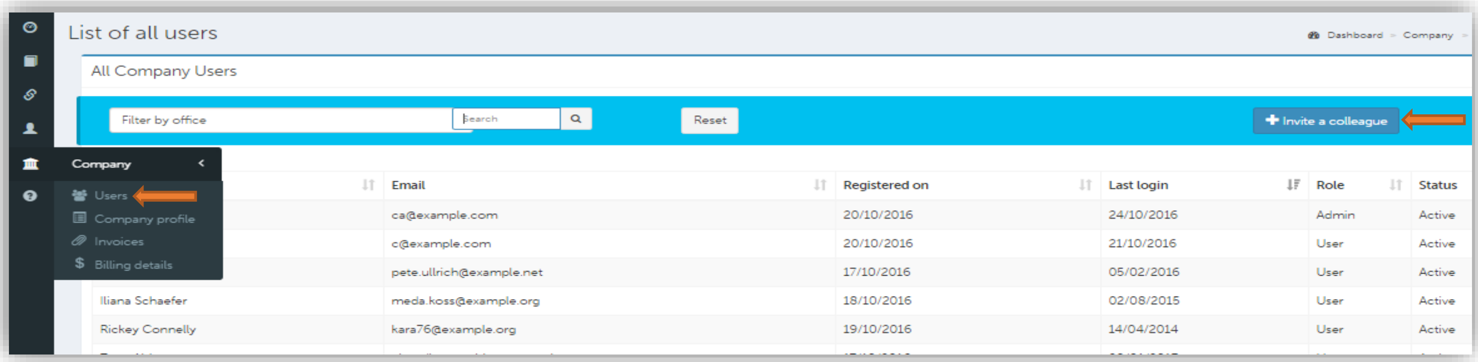
Option 1. When an account is created, you will be prompted to add colleagues after entering your company and personal details. You can add up to 5 additional staff members at this stage.



Option 2. From the main dashboard, company administrators have the option to click the 'Invite Colleagues' button.



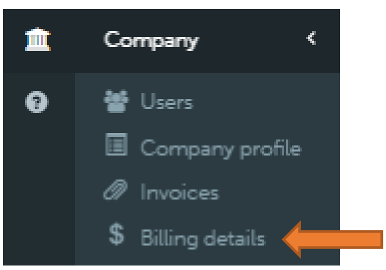
Option 3. By clicking ‘users’ in the menu bar on the left, company administrators can then click the ‘invite a colleague’ button on the table.



How do I save my credit card details?

Credit card details can be saved during the SoA order process. When you reach the payment stage at Step 9, you will be able to enter in new card details and store them for later use.

Administrators can edit these card details from the ‘billing details’ page.



Can I amend an SoA I've already applied for?

Once an SoA has been issued, no further changes can be made to the data A.S.A.P.'s advice was based on. Please ensure that the information you enter is an accurate depiction of your client's financial situation.

Can I cancel my SoA request?

There is no function in our system to cancel an SoA request once after an invoice has been generated. However, if you consider your cancellation request to be urgent, feel free to get in contact with us and we will consider the circumstances of your request.

Payment

What is the cost?

Please refer to page 13 for details of our pricing.

What are the payment options?

Our preferred method of payment is via credit card at the time of ordering. However, we also offer a bank transfer option called POLi (a business of Australia Post). POLi is becoming more frequently used by major companies around the world such as Qantas and Skype. It hosts a popup where you can link directly to your online banking provider and facilitate a payment quickly, easily and most importantly, securely. POLi takes care of things like bank account numbers and payment reference details for you.

For more information on POLi, please refer to the following link.
https://www.polipayments.com/Buy

Can I pay multiple invoices at once?

Account administrators will be able to select multiple applications to pay at the same time using the 'Invoices' option under the 'Company' tab found in the menu bar.

A.S.A.P. refund policy

A.S.A.P. strives to maintain the highest standards of service in all areas of our business. We recognise the importance of having strong working relationships with our clients and consider feedback to be an invaluable tool to help improve our ongoing levels of service.

If there is anything you are concerned about or if, for some reason, you need to request a refund, please contact us directly to discuss your individual circumstances. Our goal is to make A.S.A.P. a valuable tool for your business and if there are any problems we will do what we can to resolve them to your satisfaction.