BT Panorama

How to create a digital consent request for corporate actions

Digital consent is a BT Panorama feature that lets you request a client's consent to undertake a specific action on their account, as well as include a Record of Advice (ROA) or advice documentation. Your client will receive a consent request by email or SMS, and can provide a response by signing into BT Panorama on their desktop or BT Panorama mobile app.

Through BT Panorama, you can request a client's consent to add a bank account, biller or linked account, place an investment order or rebalance an adviser portfolio, submit a corporate action election or charge an advice fee. This document outlines how to use digital consent to request a client's approval for corporate actions.

When requesting consent for corporate actions, you have the option to create or include a Record of Advice (ROA) and any supporting documents.

Tips

- To include a logo in your ROA, you can contact Panorama Support.
- To include a **last Statement of Advice (SOA) date** in your ROA, we recommend you provide it on the **Account details** page before requesting consent.

1

Make the corporate action election

You can manage an election for all your clients, or just submit an election for an individual client. Some options can't be applied to all accounts at once, such as oversubscription or partial options (where you also need to specify the number of units).

To manage an election for a corporate action, go to **Tracking > Corporate actions > For action:**

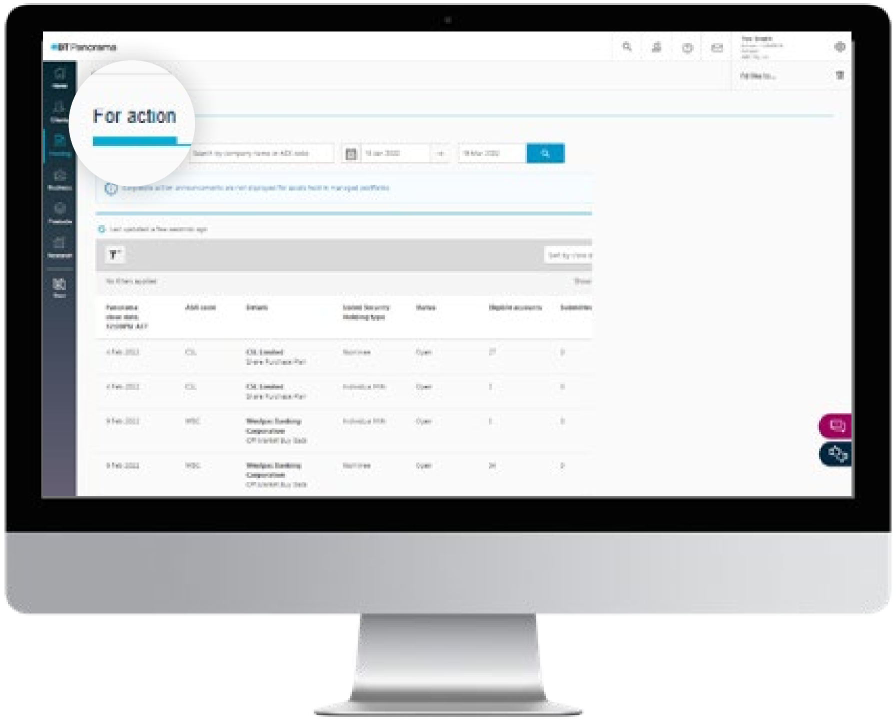
- On the **Corporate actions > For action** page select the Corporate action.

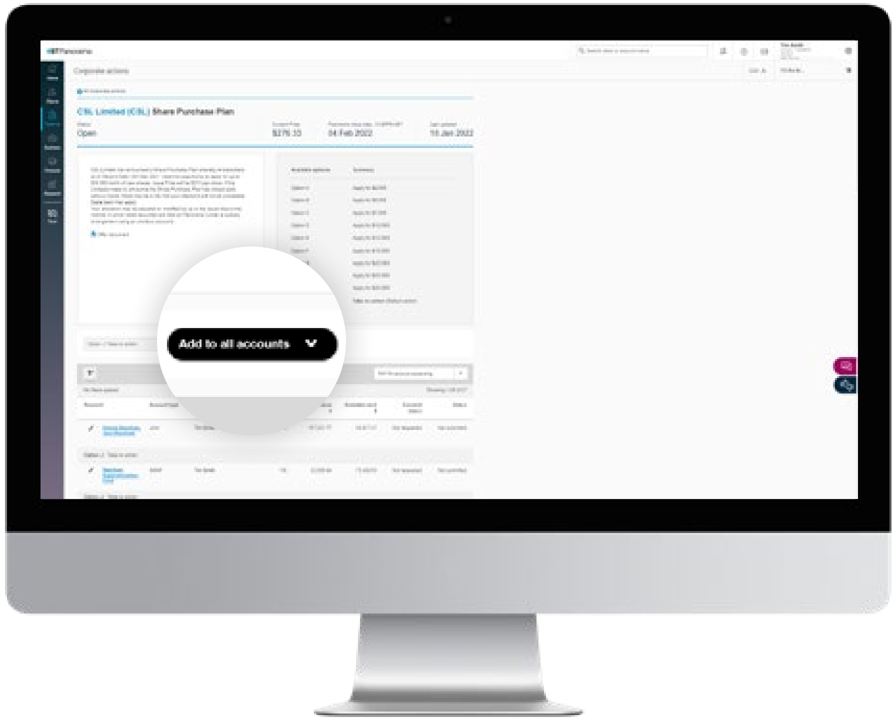
2

Apply an election for all your clients, or just submit an election for an individual client.

- To apply one option for all accounts, select the option from the drop down menu and then select **Add to all accounts**.
- The list of accounts which are eligible to participate in the corporate action is displayed further down on the page. You can edit each individual account on this list if you prefer.

You can also sort this account list, or filter the list by Submitted, Not submitted, Adviser, Client, or Account type.





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To request consent before you review and submit an election, select **Save & get consent**.

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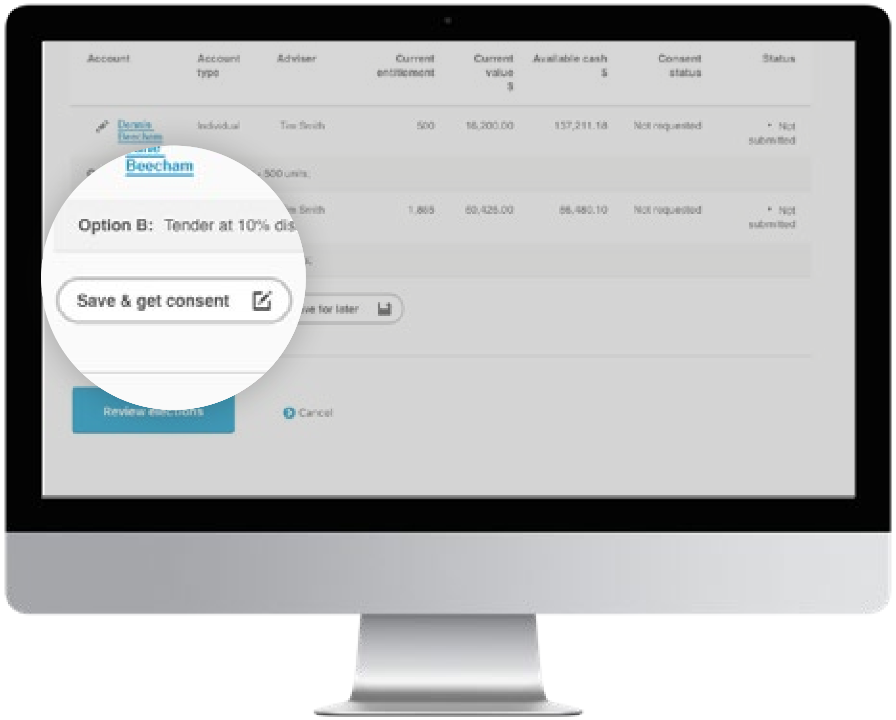
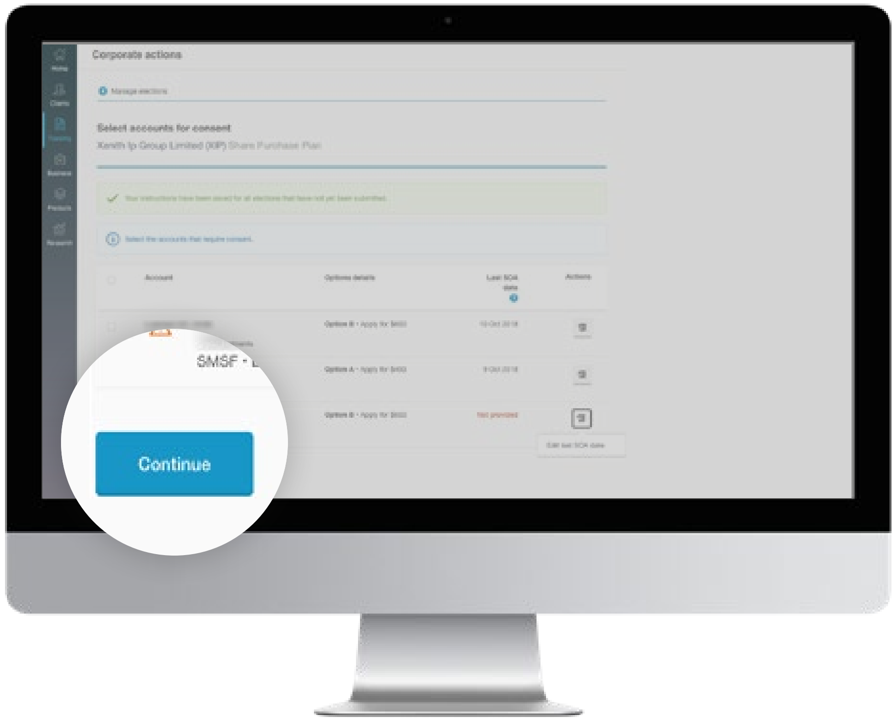
The **Select accounts for consent** page is displayed. You can now select the account(s) you would like to request consent for and **Continue**. You can also provide or edit the last SOA date on this page.





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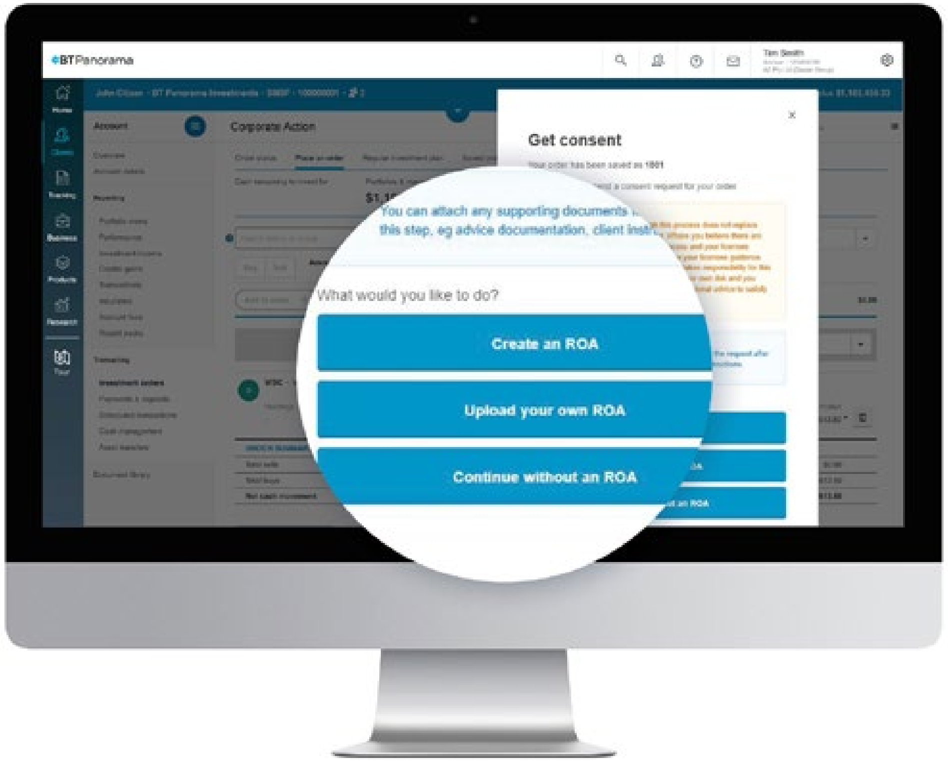
Select the ROA option you require

Choose whether you want to create a ROA, upload your own ROA, or continue without a ROA.

Note: You can only upload your own ROA if you are requesting consent for one account, not multiple accounts. Alternatively, you can create a ROA using a template, which can be sent to multiple accounts.



5a

Create a ROA

A ROA can be created using your licensee template or our default Panorama template.

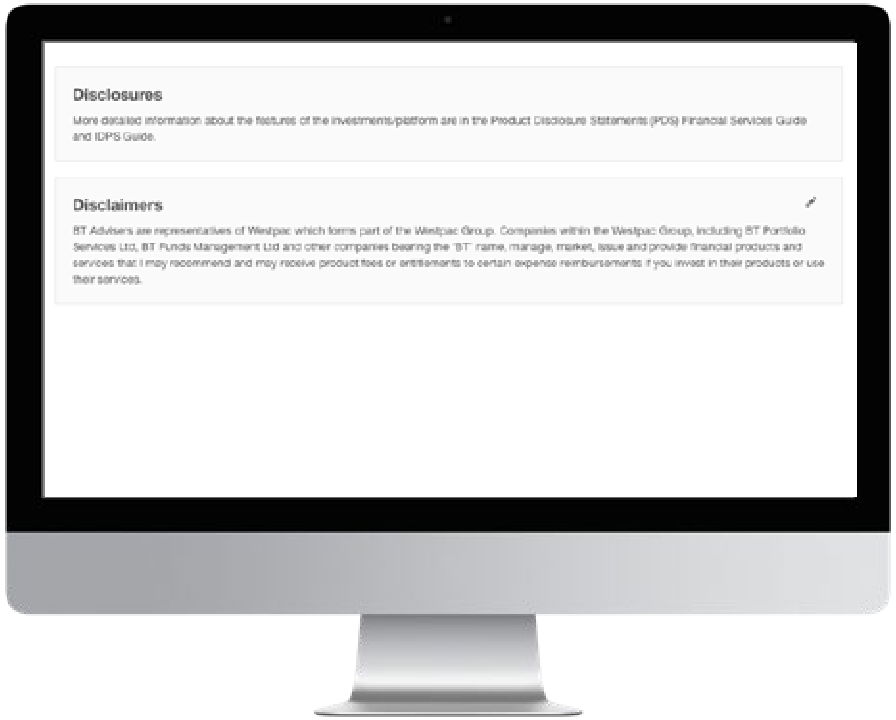
Licensee templates are only available if your dealer group has opted in to this feature. If your dealer group has not opted in, you can still create a ROA using our default Panorama templates.

If you have selected only one account and have not already provided a last SOA date on the **Account details** page (or if you need to change it), you can provide the date on this **Create a ROA** page.

If you want to send the same ROA to multiple accounts, you only need to create the ROA once and it can be sent to all selected accounts.

To create a ROA online using your licensee template:

- Select **Create a ROA**.
- From the **Select a ROA template** droplist, choose the required template. The template will display with mandatory sections and content. Some of the information will be prepopulated for you, including account holder name, ROA date, adviser and licensee details, recommended corporate actions election, corporate action details, and if provided, logo and last SOA date.
- Review and complete each section as required.
  - To edit the content, select the **Edit** icon on the right side of the relevant section. Note the suggested information to be inserted and the character limit. Select **Apply** when you are done with editing the section.
  - If a section does not display the Edit icon, this means it has been locked and you cannot change the content in this section.

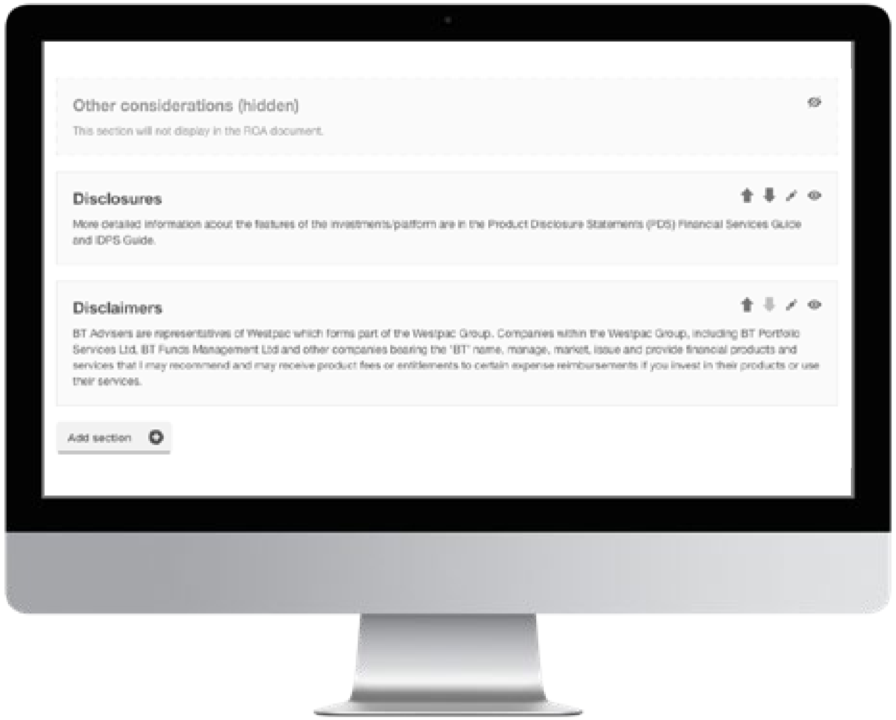


To create a ROA online using our default Panorama template:

- Select **Create a ROA**. The default template will display with recommended sections and content, which you can customise. Some of the information will be prepopulated for you, including account holder name, ROA date, adviser and licensee details, recommended corporate actions election, corporate action details and if provided, logo and last SOA date.
- Review and complete each section as required.
  - To edit the content, select the **Edit** icon on the right side of the relevant section. Note the suggested information to be inserted and the character limit. Select **Apply** when you are done with editing the section.
  - To move a section, select the **Move up** or **Move down** icon on the right side of the section until it is in the position you require.
  - To remove a section, select the **Hide** icon on the right side of the section. The section will turn grey and be excluded from the final ROA document. To restore the section, select the **Show** icon. (Note: You cannot hide the 'My recommendations' or ‘Last SOA date’ sections.)
- Select **Preview** to view how the final ROA document will look. If you need to make further edits, select **Back to editing ROA**.
- When you have finished populating the template, select **Continue** to generate the ROA document. Once generated, the ROA will be automatically added to your consent request.

- To add a section, scroll to the bottom of the page and select **Add section**. You can then select **Edit** to populate the section title and content, then **Apply**.

- Select **Preview** to view how the final ROA document will look. If you need to make further edits, select **Back to editing ROA**.
- When you have finished, select **Continue** to generate the ROA document. Once generated, the ROA will be automatically added to your consent request.



5b

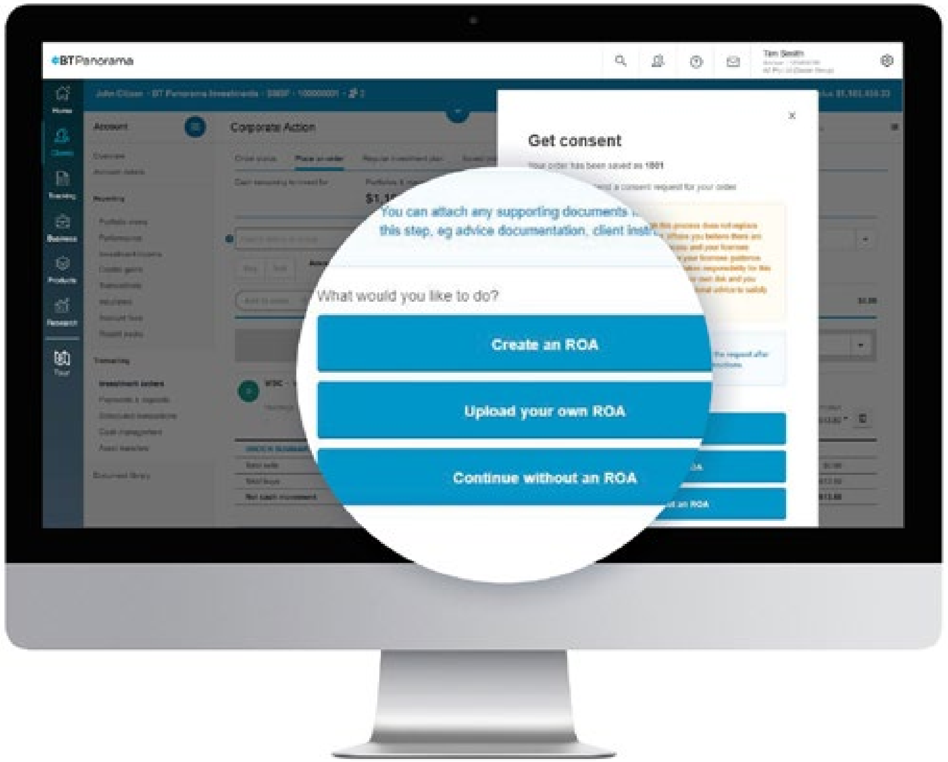
Upload your own ROA or continue without a ROA

If you already have a ROA document you would like to include with the consent request, select **Upload your own ROA.**

Note: This option is only available if you are requesting consent for one account, not multiple accounts. Alternatively, you can create a ROA using a template, which can be sent to multiple accounts.

In the next step, you will upload the ROA and have the option to add other supporting documents to your consent request.

Alternatively, if you do not want to create or upload a ROA, select



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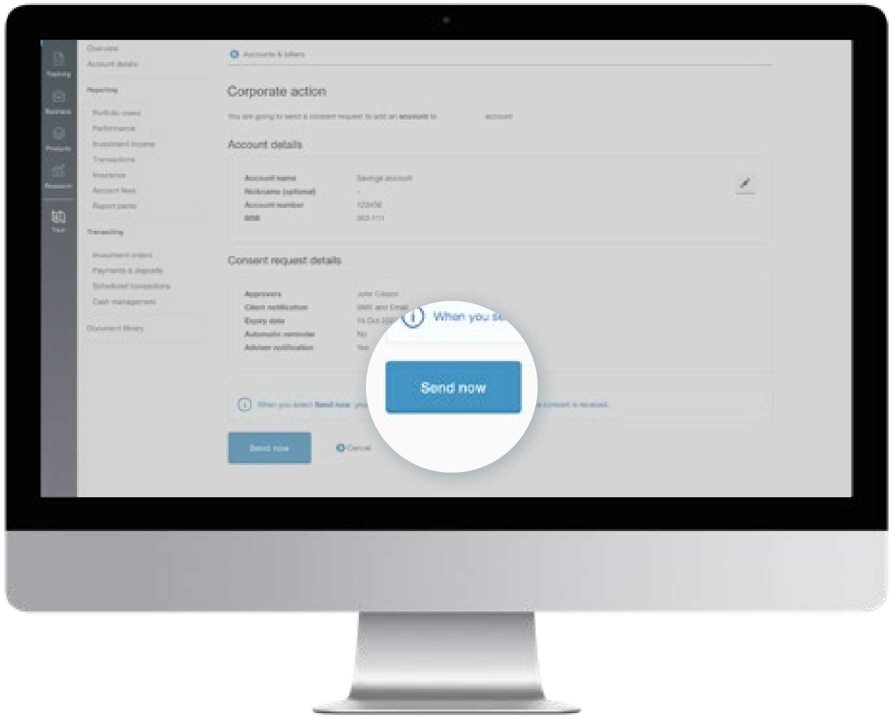
Review consent request summary

The **Consent request summary** page displays the information you have entered. You can now review the details to ensure you have accurately included everything you need in your consent request.

To complete your consent request and send it to your approver/s, select **Send now**. The request will be sent to all the accounts you selected. A confirmation message will display, with a link to the **Consent management page**.

Once consent is received, the corporate action election will be automatically submitted. If submission fails, you will receive an email notification. You will then need to resubmit the corporate action election.
Note: If you select **Cancel**, all your entries will be lost and you may need to create a new consent request.



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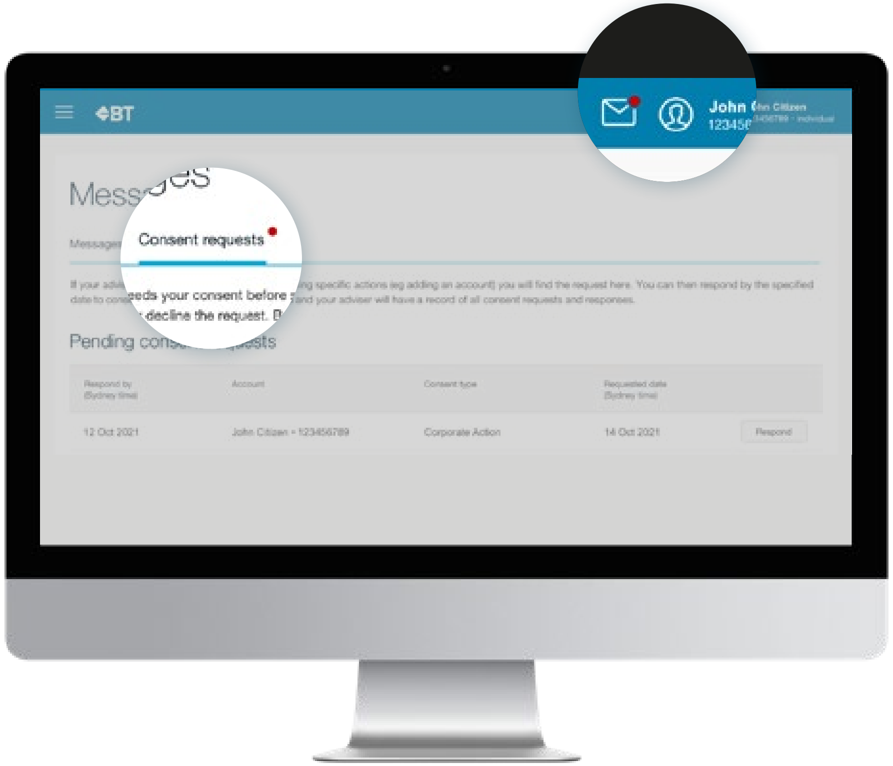
Your client will receive an alert in their Message Centre to indicate that action is required. They will select the alert to display the consent request. Your client will also receive an email or SMS notification (depending on which option you chose).



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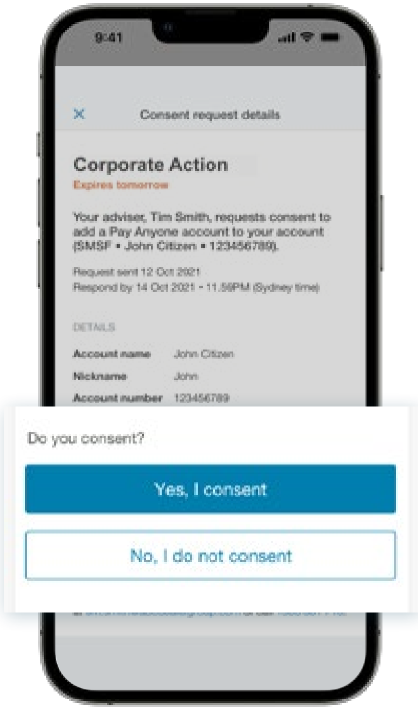
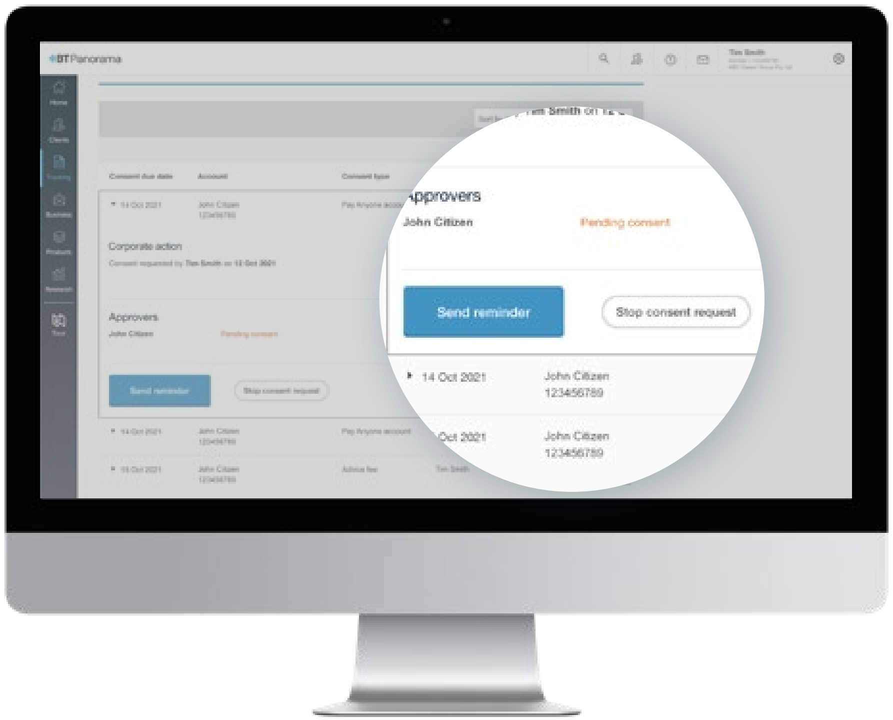
Your client will review the consent request details. They will select the checkbox authorising you to proceed and then select **Yes, I consent**.

9

Your consent request will show as completed once the client has approved the request. Your consent request will show as declined if the client has declined the request. To check the status of the consent request go to **Tracking > Consent management > Pending consent requests.**





Examples and images are for illustrative purposes only.

For more information

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