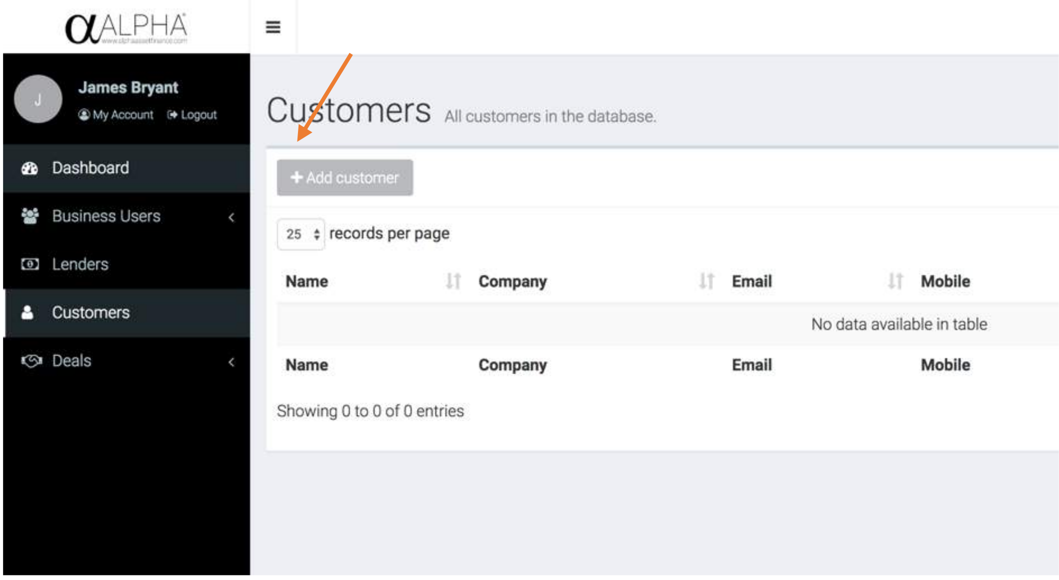
1. Add Customer

Step 1 - How To Add A Customer

Click 'Customers' on the left-hand side menu Click 'Add Customer' in the grey button



This will take you to a new page which will require you to add in your customer's details, please add the following information as a minimum:

- Name (customers full name)
- Company (full company name)
- Company registration number
- If the customer is an individual, make sure to put their full name both in the company and name fields.
- Email (customers email)
- >> Tick 'Allow contact by Email'
- Mobile (add customers mobile number, with no spaces)
- >> Tick 'Allow contact by Mobile (SMS)

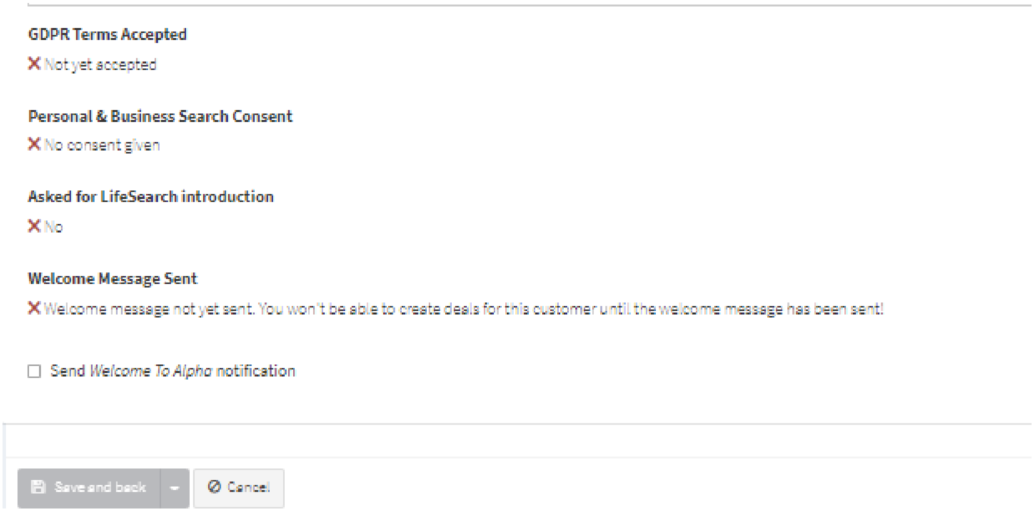
Under reference prefix please use your initials followed by a dash and the customer's initials. E.g., NT-TCL (Test Company Ltd).

Click Save & Back.

2. Welcome email sent to get GDPR and consent to search back.

Step 2 – Sending the Welcome email

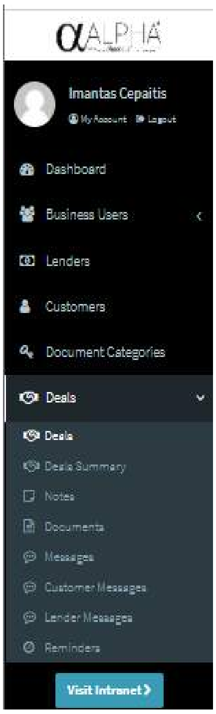
After the customer is added, click customers on the top left of the page, and locate your customer. Once located, click edit on the right-hand side of the page on the customer. This will direct you to the page as seen below, where you will find the 'Send Welcome To Alpha notification' tick box.



Please tick the box and click 'Save and back'. **It is vital that the GDPR terms and search are consented to before a deal is created.**

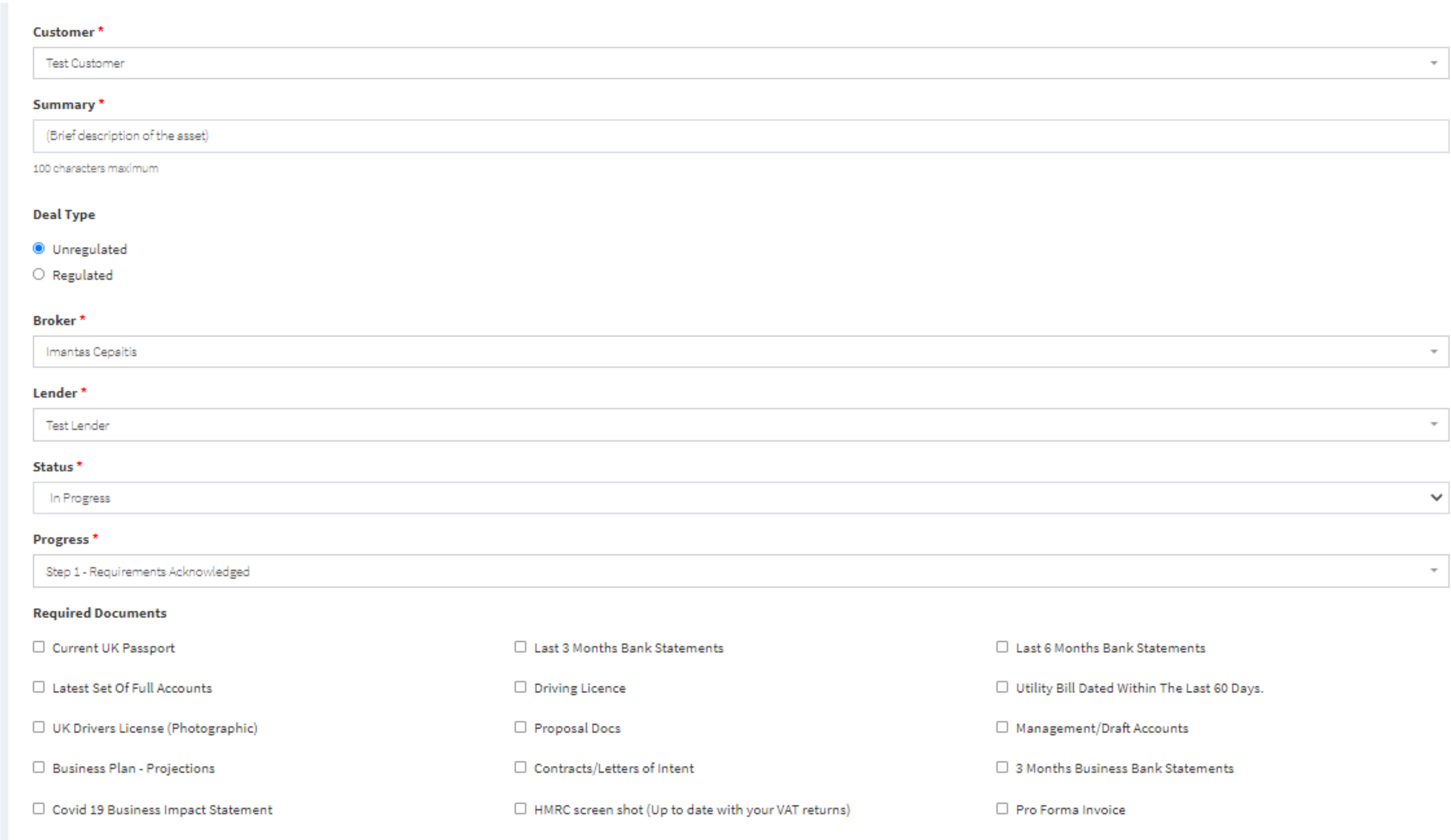
3. Add deal and complete alpha prop if required

Step 3 – To add the deal, click on deals in the left-hand corner as seen on the picture below. Please note, you will not be able to add the deal until the customer has completed their NIVO ID report.



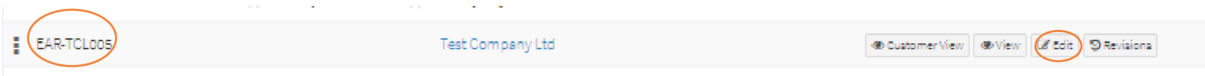
- Start typing customer name in box & select your customer
- Under summary type a brief summary of the asset
- Select regulated or unregulated
- Change the broker to yourself
- Change the lender to the lender you intend to use
- Change the status to 'in progress'.
- Select any documents you want the customer to send you.
- Tick deal has progressed & or send docs if applicable

This will then direct you to a page displaying all of your current and previous deals. From here, click the 'Add deal' button in the top left corner of the screen,



4. Do your due diligence on the customer e.g. credit safe/Google search & companies house.

5. To create an ACE proposal after adding the deal locate it under the list of your deals, and press ‘edit’.

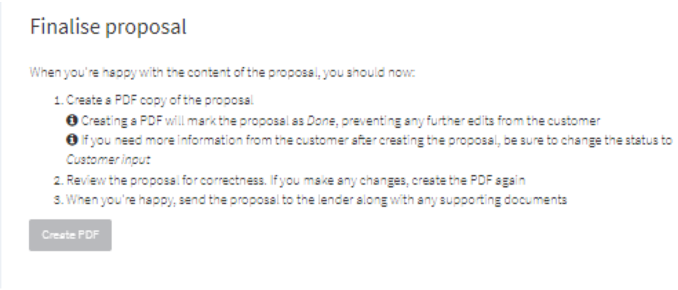


On the following page, you will find a ‘Proposal’ section where you have the choice of creating a personal or a business proposal.

Select the relevant prop & complete the fields (tabbed across the top). Think about what information the underwriter would need to lend to the customer. Use it to create your story to support the lend.

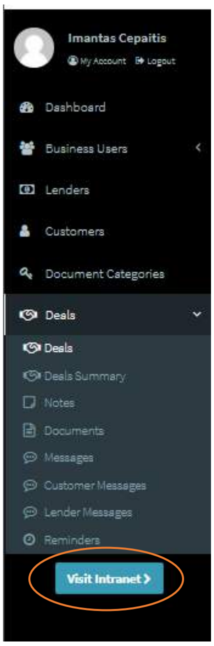
To send the proposal manually to the lender, you can download the ACE created proposal as a PDF file as seen in the photo below.

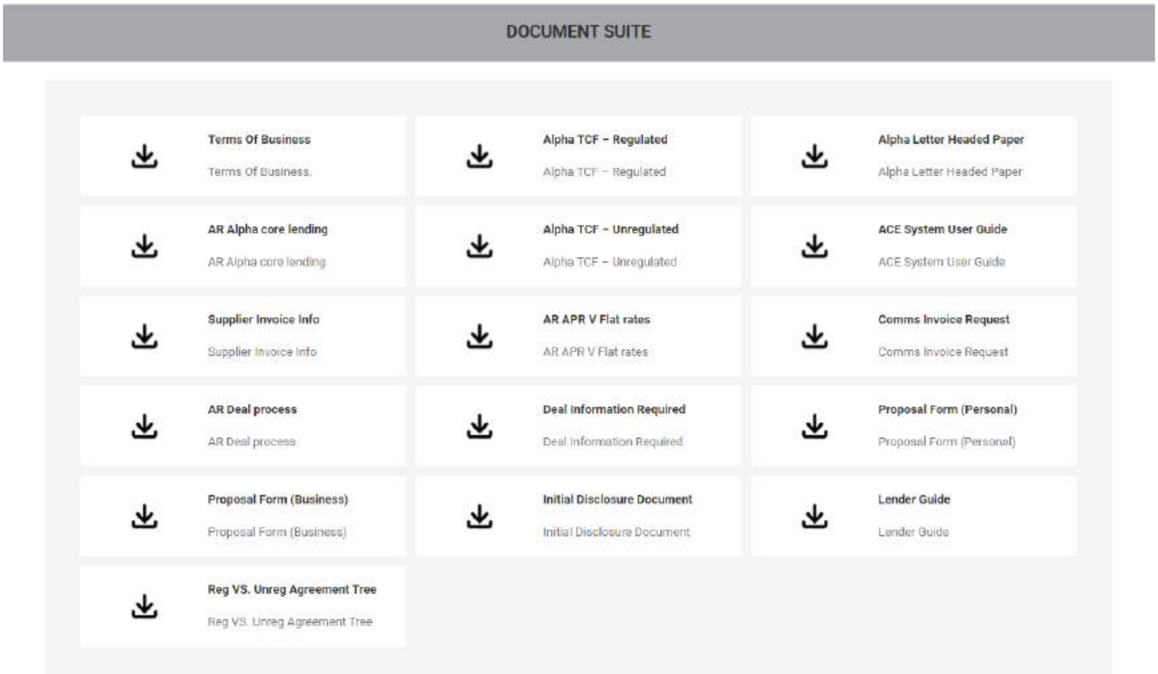
Submit proposal to lenders with minimum 3 months bank statements and latest full set of accounts if customer is happy with figures you’ve quoted.



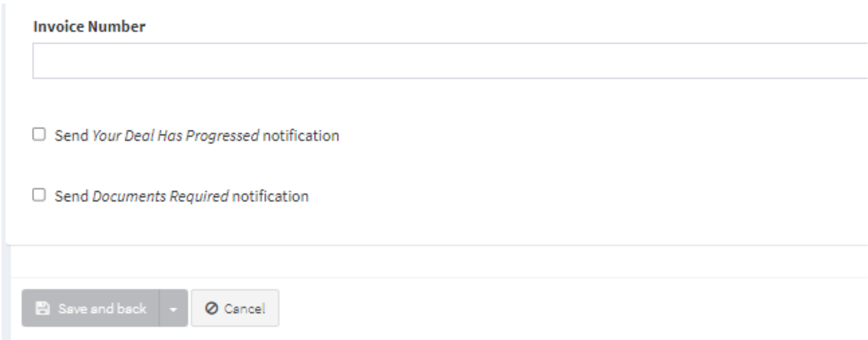
Submit proposal to lenders with minimum 3 months bank statements and latest full set of accounts if customer is happy with figures you've quoted.

5. Approval acceptance, decline or any further information required email received from lender.
6. All actions requested by the lender completed and conditions met until you get an acceptance.
7. Explain the acceptance including any conditions etc to the customer and if customer wants to go ahead request the supplier invoice.
8. Raise finance documents & send to the customer. Include Alpha terms of business, treating customers fairly document, and initial disclosure document. To locate all the necessary Alpha documents for your deal, go to the intranet page. To gain access to the Intranet & docs, you can find it on the left hand side of the page as seen below.





9. Request a comms invoice from Lee (Intranet docs comms invoice request). Add your invoice number on to ACE, edit deal, at the bottom of the page you will find the 'Invoice Number' box as displayed below.



10. Send the deal pack to the lender for pay-out including the signed finance docs, alpha comms invoice, certified ID, supplier invoice.
11. Upload all documents to ACE as a minimum, we require the signed consumer duty document, signed finance documents and a supplier invoice. For regulated deals, you must make a note giving the reason why you have placed the deal with the chosen lender, and a note if documents are e-signed. To upload the documents for the deal, whilst editing the relevant deal you will find a 'Broker Files' section as seen below.

12. Once the pay-out has been confirmed, complete deal on ACE

To complete a deal on ACE, you must go on the edit page for the relative deal. Once redirected to this page, if you scroll down, you will see the ‘Status’ box, the ‘Progress’ box and the ‘Completed Date’ box. When deal is paid out these must all be correspondingly updated.

13. Send customer and supplier confirmation that the deal has paid out
14. Send Alpha your comms invoice on a Thursday on 3pm for all deals paid out that week & you will be paid that Friday.