Embedded help - Easy Non-brokerage issue creation

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Identify the Primary Client	
• Search for a Client	Add a Client
Name or SSN/TIN	James Lipton
Select a Product Type	
	Not applicable
Notes or Special Instructions	

Embedded Help - View a contact - Advisor



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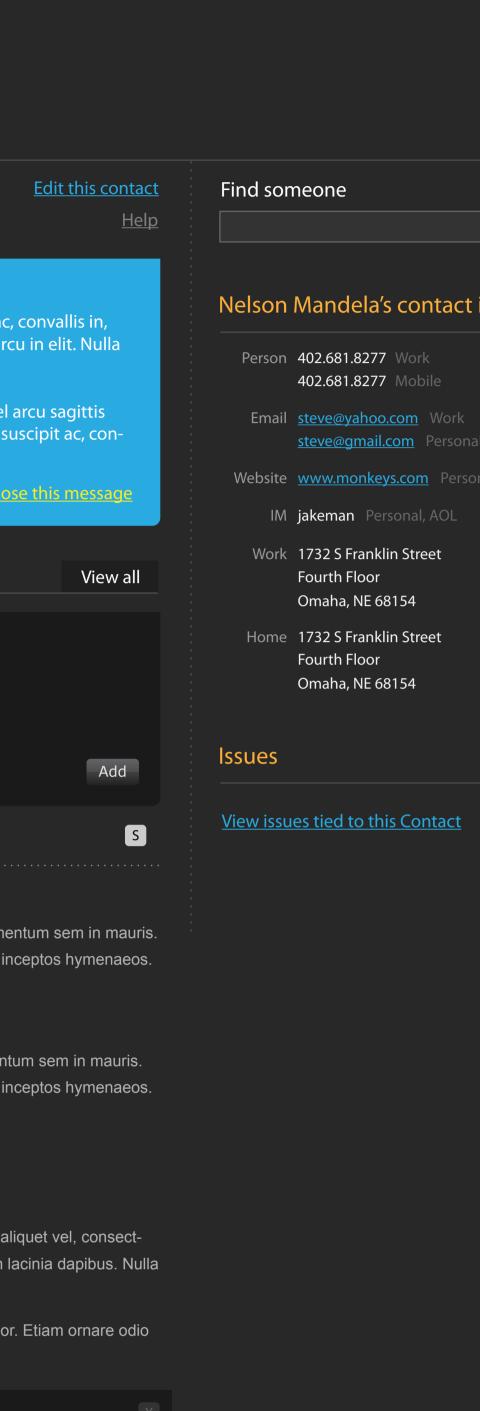
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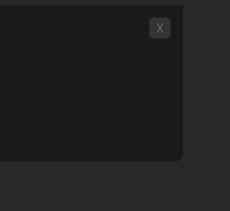
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Embedded Help - Issue





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Nelson Mandela's contact info

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	<u>steve@gmail.com</u> Personal
Vebsite	www.monkeys.com Personal
IM	jakeman Personal, AOL
Work	1732 S Franklin Street
	Fourth Floor
	Omaha, NE 68154
Home	1732 S Franklin Street

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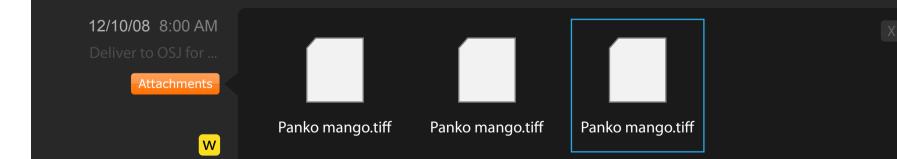
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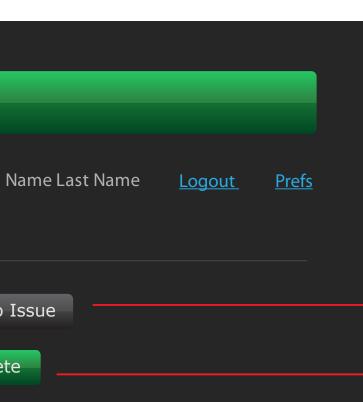
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Principal : Needs these functions: Compare/Versions Delete when clicking on Name, open PDF in new window, (lookup target blank) - green upload arrow (versioning and the ability to upload new and additional) Sign/Approve button (replace Preview with sign) Rename View/Review Know there is a new version

Upload Files

Both, Principals and Advisors, have the option to upload more files. Before "upload files"selection only the green button appears.

After selection the upload box will appear. Use current file upload UC as guide for this. A paragraph will appear below the upload box warning about file overwrite and giving further explanation.

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Versions _____ When selecting Versions and no other versions of the file exist, only this top portion appears. Please make sure to eliminate the versions header and the list of versions in this case. (We do not want to have a header and an empty list displaying the word "none" for example.)

When there are previous versions of the file, this section will appear in addition to the browse and upload section

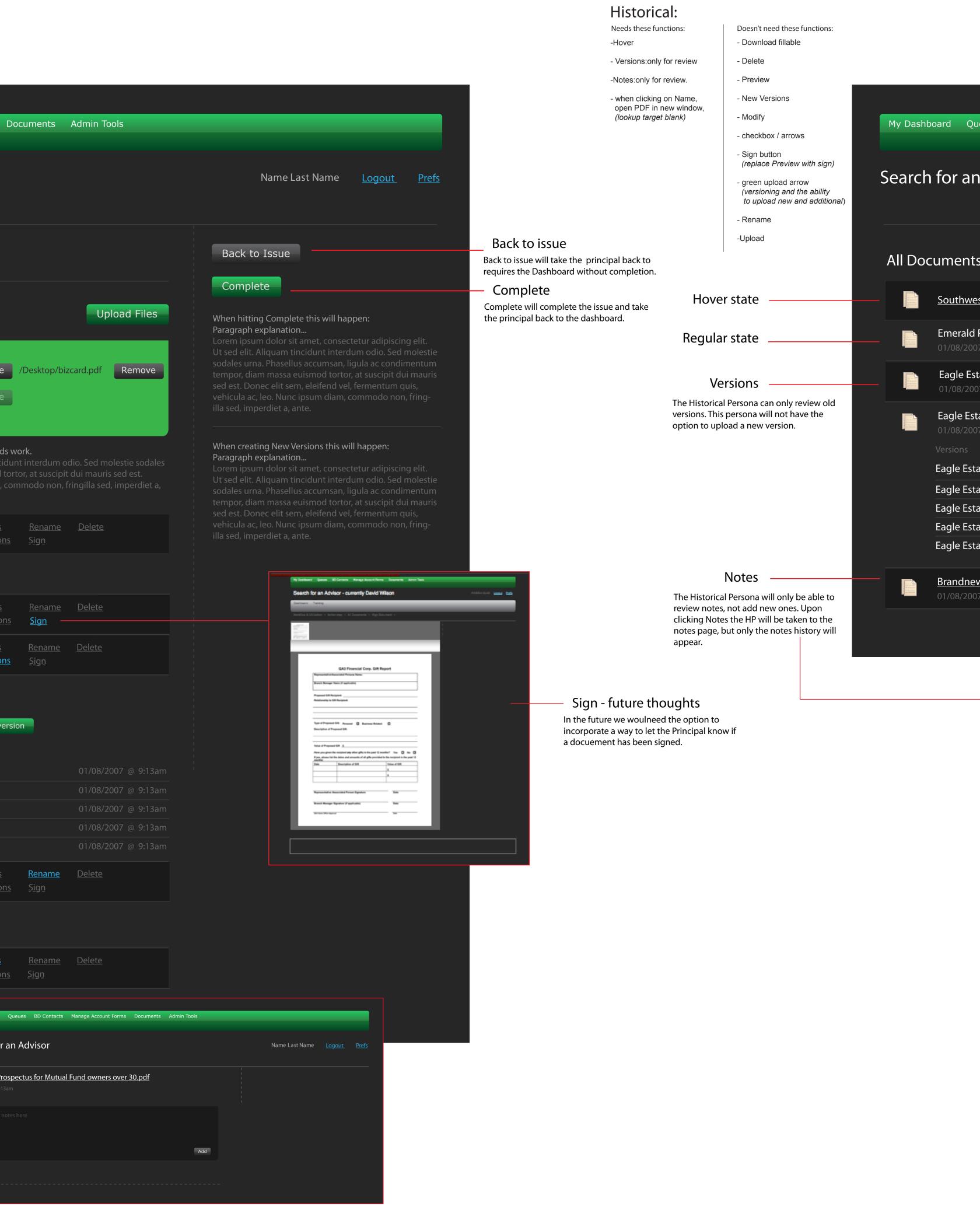
Rename ————

When selecting rename, document name and time/date stamp will be replaced with a textbox and save and cancel buttons. Use what is currently in Myfiles control as guide.

Notes _____

Selecting Notes will take the advisor to the notes screen. Use current notes c for this.

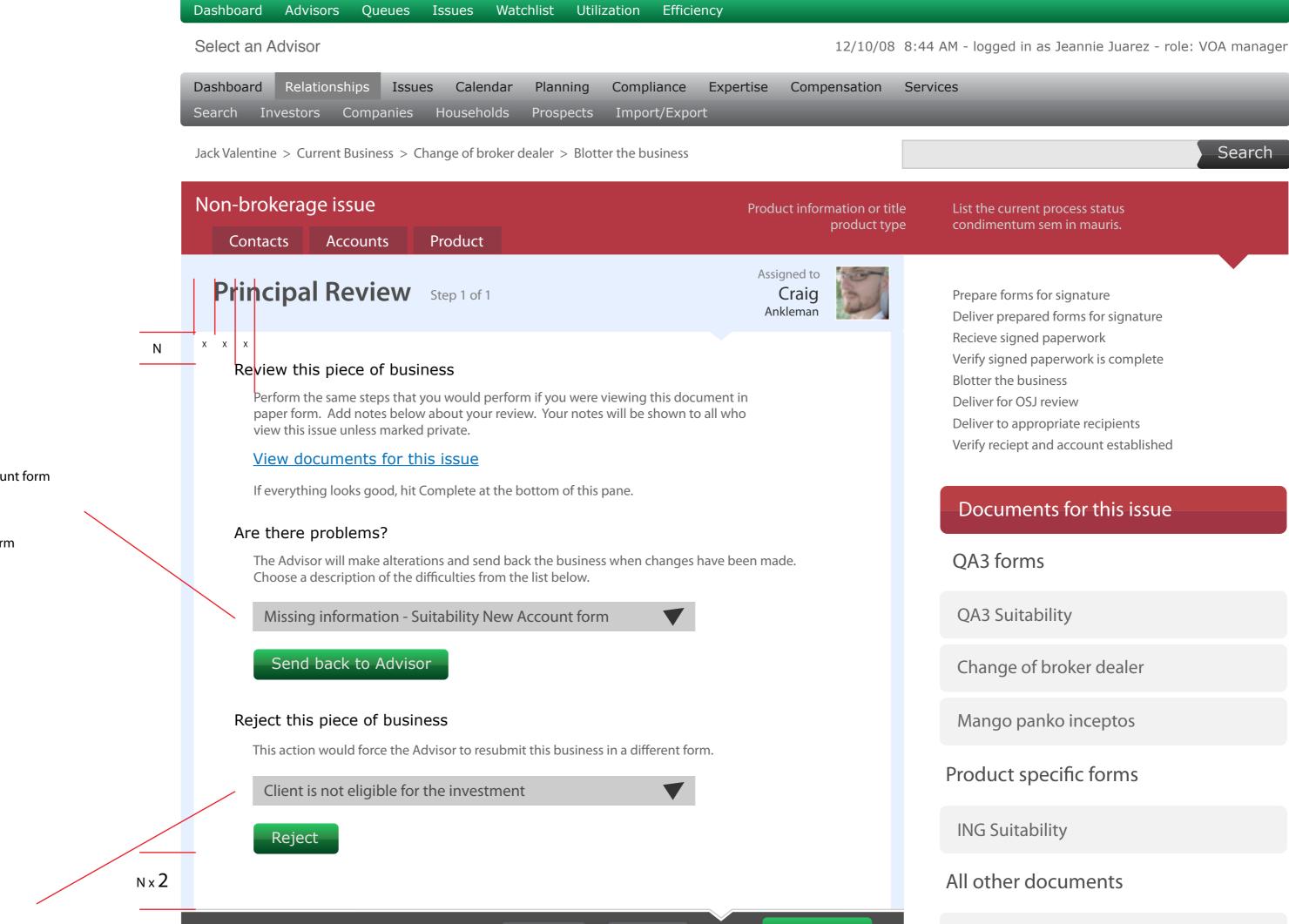
Doesn't need these functions: - Download fillable	My Dashboard Queues BD Contacts Manage Account F	Forms
- Delete download	Thy Dushbourd Quedes DD contacts Hundge Account T	
- Preview	Search for an Advisor	
	All Documents	
iles		
and Advisors, have the I more files. Before "upload		
ly the green button	Upload New File	
ne upload box will appear.— Ipload UC as guide for this.		Browse
appear below the upload out file overwrite and giving on.	2 Upload	Browse
	This is a Paragraph warning about file overwrites and explaining how fi Lorem ipsum dolor sit amet, consectetur adipiscing elit. Ut sed elit. Aliq urna. Phasellus accumsan, ligula ac condimentum tempor, diam massa Donec elit sem, eleifend vel, fermentum quis, vehicula ac, leo. Nunc ipsu ante.	uam tincid euismod te
tate	Southwest Animal Rescue Future Planning Doc	<u>Notes</u> <u>Version</u> :
tate	Emerald Point - tic investment possibility.pdf 01/08/2007 @ 9:13am	
ncipal to a new screen.	Hawk Estate notes.doc 01/08/2007 @ 9:13am	<u>Notes</u> <u>Version</u>
ons	Eagle Estate notes.doc 01/08/2007 @ 9:13am	<u>Notes</u> <u>Version</u>
Versions and no other e exist, only this top Please make sure to	Eagle Estate notes.doc 01/08/2007 @ 9:13am	
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	Eagle Estate Big notes.doc Eagle Estate Big notes.doc	
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amp will be replaced with a and cancel buttons. Use in Myfiles control as guide.	Save Cancel	
otes	Brandnew Prospectus for Mutual Fund owners of 01/08/2007 @ 9:13am	<u>Notes</u> Version:
will take the advisor to the e current notes c for this.		
		My Dashboard earch for a
		randnew Pro



eues BD Contacts Manage Account	Forms Doo	cuments	Admin Tools				
Advisor					Name Last Name	Logout	Dro
AUVISOI					Name Last Name	<u>Logout</u>	<u>Pre</u>
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N Prospectus for Mutual Fund anno 2	Notos	<u>Rename</u>	<u>Delete</u>				
<u>w Prospectus for Mutual Fund owners c</u> 7 @ 9:13am	<u>Notes</u> <u>Versions</u>	<u>Sign</u>					
	My Dashboard Que	ies <u>BD Contacts</u>	Manage Account Forms Documents Adn	in Tools			
					Name Last Name Logou	t <u>Prefs</u>	
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	Brandnew Prospec		l Fund owners over 30.pdf				
	Brandnew Prospec		l Fund owners over 30.pdf				
	Brandnew Prospec		l Fund owners over 30.pdf				

Back to issue Back to issue will take the historical persona back to the issues page.

Action step - Principal Review



Grenwald manicos

Samerhine leviticus

Quick notes

Missing information - Suitability New Account form

Missing information - Order paperwork

Missing information - Change of Dealer form

Other

Investment is no longer available

Client is not eligible for the investment

Advisor not licensed in the state necessary

Other

Quick notes

Thoughts on quick notes

First, it's important to note that the intended interaction here is that upon selection of a note type from either of these dropdown menus, a corresponding note would appear in the notes field below.

Hitting either "Send back to Advisor" or "Reject" after a note type is selected will perform the respective action AND add the note.

The intended behavior when a user hits complete AFTER having written a note would be to complete the action step AND add the note.

Secondly, a new portion of the Admin interface will need to be created. It needs to be called something direct, like "Principal Review Note Presets" or something like that.

We'll need to administer two groups of notes for now. One category are notes for "pending pieces back". One category should be for "rejecting". You get it.

Each note should have a "note type" which is a large input field. This will always contain language focused at the Employee. Each note should also have a "note body" which will be the language used within the note field. This should be a textarea.

		Re-assign	Add lask	Complete
Type notes here				
Attach				P Add
_				
Discussion	Print			P S

12/10/08 8:00 AM Jeannie Juarez

Recieve signed pa... Lorem ipsum dolor sit amet, consectetuer adipiscing elit. Nulla condimentum sem in mauris.

Class aptent taciti sociosqu ad litora torquent per conubia nostra, per inceptos hymenaeos.
 W Fusce non lacus. Duis a sapien eu lectus tristique facilisis.

W

12/10/08 8:00 AM Jason Walker

- Recieve signed pa...Sociosqu ad litora torquent per conubia adipiscing elit. Nulla condimentum sem in mauris.AttachmentsClass aptent taciti sociosqu ad litora torquent per conubia nostra, per inceptos hymenaeos.Fusce non lacus. Duis a sapien eu lectus tristique facilisis.
 - W Duis a sapien eu lectus tristique facilisis.v

12/09/08 8:24 AM Advisor Name

Prepare forms for ... Donec facilisis ipsum a metus. Maecenas mauris mi, commodo eget, aliquet vel, consectetuer in, dolor. Etiam ornare odio quis mi. Morbi sit amet pede at diam lacinia dapibus. Nulla eu neque et elit aliquet porta. Maecenas fringilla purus a lectus.

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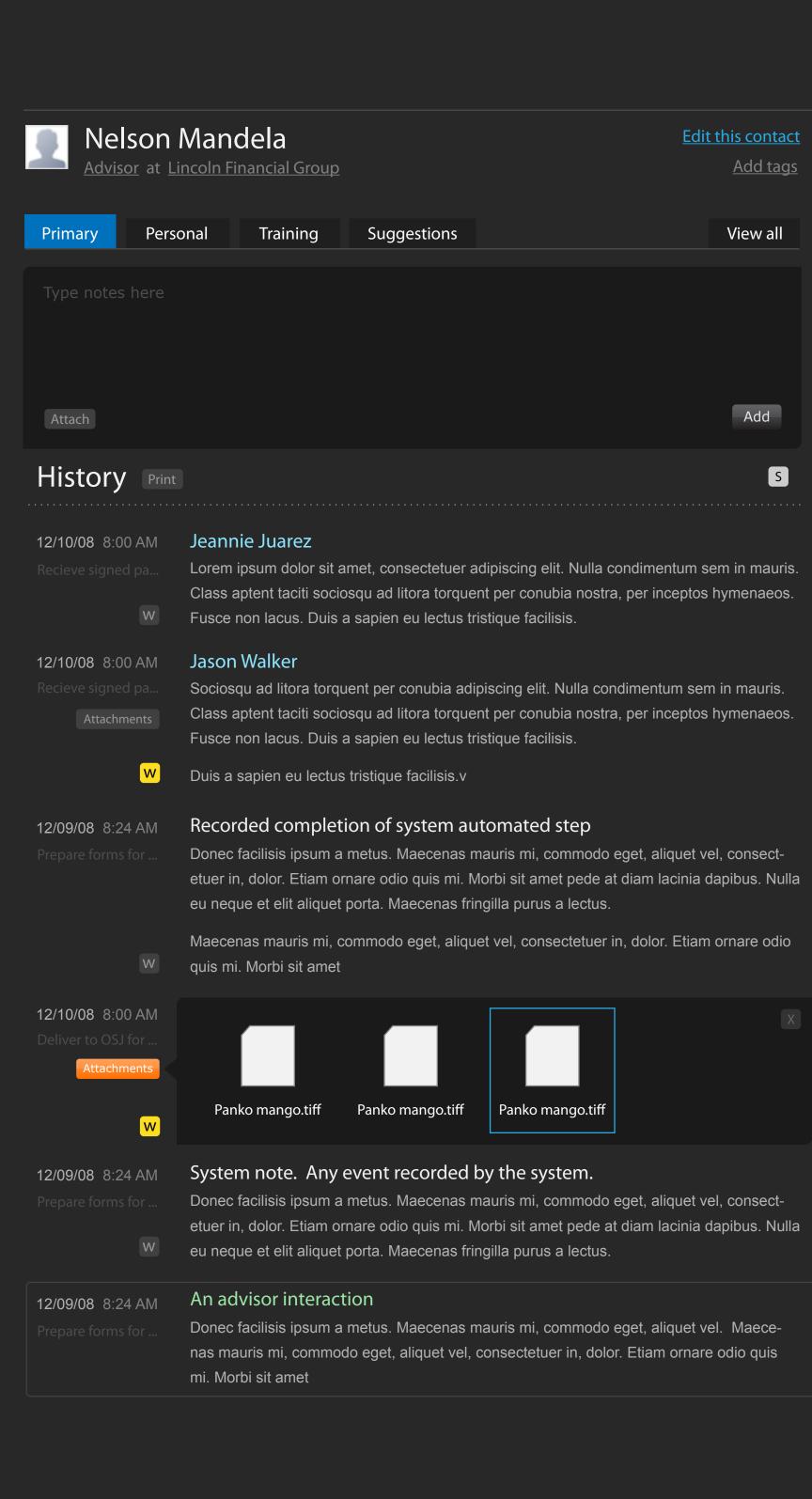


View a contact - BD CRM

Tabbed navigation needs to be created here. The intent is to classify communication that we record about reps.

When we communicate with Reps, the business need is to be able to group our notes by concept. These concepts mirror what QA3 thinks it should focus on when speaking with Reps.

Each concept should be part of what we are suggesting that our employees record about our relationship with Reps. Taking notes on this stuff builds the story of that Rep, allowing future touches to have more context and relevance.



View a contact - Advisor

		n Mand t <u>Lincoln Fin</u>	
Prima Type Attac	notes her	ersonal	Suggesti
Hist	ory 🖻	rint	
	08 8:00 AM signed pa W	Lorem ip Class ap	e Juarez osum dolor s otent taciti so on lacus. Du
	08 8:00 AM e signed pa Attachments	Sociosqu Class ap	Walker u ad litora to otent taciti so on lacus. Du
	W	Duis a s	apien eu lec
	08 8:24 AM	Donec fa	led comp acilisis ipsun dolor. Etian e et elit aliqu
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Deliver	08 8:00 AM to OSJ for Attachments W	Pank	o mango.tiff
	08 8:24 AM 9 forms for W	Donec fa etuer in,	n note. Ar acilisis ipsun dolor. Etian e et elit aliqu
	08 8:24 AM	Donec fa	r isor inter a acilisis ipsun iris mi, comr bi sit amet

Find someone

Nelson Mandela's contact info

Person 402.681.8277 Work 402.681.8277 Mobile Email <u>steve@yahoo.com</u> Work <u>steve@gmail.com</u> Personal

Website <u>www.monkeys.com</u> Personal

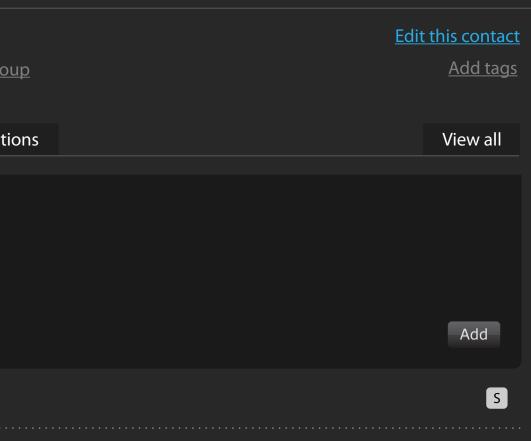
IM jakeman Personal, AOL

- Work 1732 S Franklin Street Fourth Floor Omaha, NE 68154
- Home 1732 S Franklin Street Fourth Floor Omaha, NE 68154

lssues

View this Advisor's Dashboard

View issues tied to this Contact



sit amet, consectetuer adipiscing elit. Nulla condimentum sem in mauris. pciosqu ad litora torquent per conubia nostra, per inceptos hymenaeos. is a sapien eu lectus tristique facilisis.

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Find someone

Nelson Mandela's contact info

Person 402.681.8277 Work 402.681.8277 Mobile Email <u>steve@yahoo.com</u> Work <u>steve@gmail.com</u> Personal Website <u>www.monkeys.com</u> Personal IM jakeman Personal, AOL Work 1732 S Franklin Street Fourth Floor Omaha, NE 68154 Home 1732 S Franklin Street Fourth Floor

lssues

View issues tied to this Contact

Omaha, NE 68154

Edit Jeff Spring		Type Person		Delete this contact?
First name	Last name			Deleting a contact immediately and
Title				permanently deletes all the data associated with this contact (notes, suitability data,
Company				tasks, etc). There is no Undo so make sure you're absolutely sure you want to
Social Security				delete this contact.
				<u>Yes, I understand - delete this contact</u>
Phone numbers				
			<u>Delete</u>	
			<u>Delete</u>	
	<u>Add another</u>			
Email addresses				
			<u>Delete</u>	
			<u>Delete</u>	
	<u>Add another</u>			
Instant messager				
			<u>Delete</u>	
Websites	<u>Add another</u>			
			<u>Delete</u>	
	Add another			

Street address

Street			
City			
State	Zip		
	Add anothe	er	

Notes about this person

Bio, misc, notes, how you met, etc.	

Add a person

Training - Topic Detail



Flipbook

Criteria for images used in this flipbook are that they...

1. Must pertain to something that has to do with the concept being discussed 2. Must be 1 to 1 pixel ratio, images cannot be resized 3. Navigation between images happens only on hover 4. A label comprised of no more than 35 characters must be created for each image 5. Footer color could change from concept to concept

The flipbook is not editable

through a web interface

dapibus vel, lorem. Fusce arcu. Aliquam non dolor ac leo venenatis dapibus. Etiam sit amet dui. Phasellus orci. Sed nec augue id pede accumsan ornare. Ut et dui. Lorem ipsum dolor sit amet, consectetuer adipiscing elit. Nulla ultricies elit a risus. Sed facilisis erat at mauris.

What are people saying about your business?

Fusce pede nisi, fringilla in, rutrum vel, molestie id, ante. Quisque nibh magna, convallis a, eleifend quis, sodales nec, purus. Praesent lacinia auctor turpis. Phasellus vestibulum dui ut massa. In hac habitasse platea dictumst. Ut eu risus. Morbi accumsan. Quisque id orci a sapien congue scelerisque. Proin vel sem. Fusce sagittis laoreet tortor. Curabitur id nibh. Nunc justo ante, semper vitae, consectetuer ac, fringilla vitae, nunc.

Training - Topic Home

Training Center

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Aenean sollicitudin lacus id ligula. Nam et dolor vel arcu sagittis pulvinar. Praesent condimentum porttitor orci. Ut vehicula sapien quis nibh. Mauris mattis, dui eget porta consequat, mauris lacus vestibulum metus, ut ornare risus est in lorem. Praesent condimentum porttitor orci. Ut vehicula sapien quis nibh.

Efficient business processing

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Training Topics

Methods for submitting business

<u>Uploading a Issue</u>

<u>Checking issue status</u>

<u>Responding to issues</u>

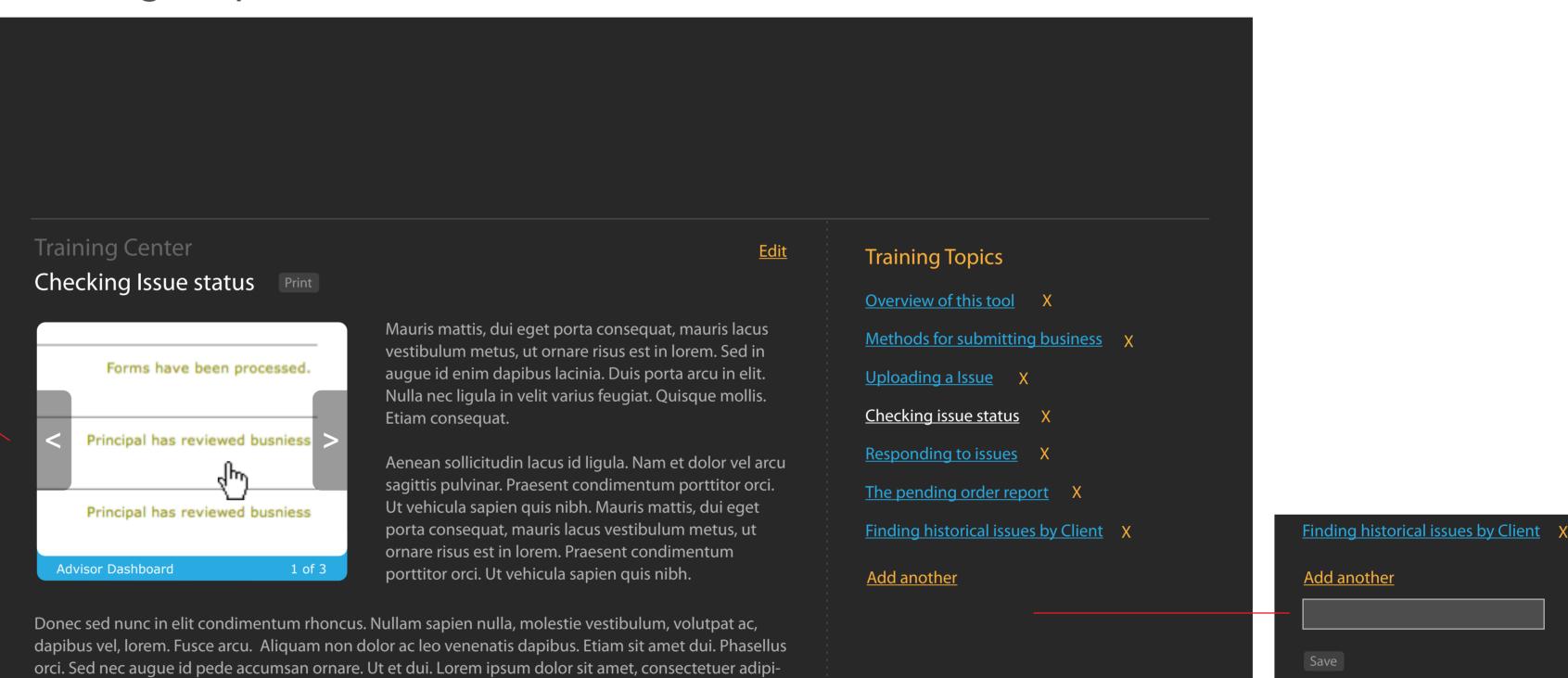
Finding historical issues by Client

Advisor Dashboard Overview

The pending order report



Training - Topic Detail - edit with Xstandard



Paperless submition of business

Fusce pede nisi, fringilla in, rutrum vel, molestie id, ante. Quisque nibh magna, convallis a, eleifend quis, sodales nec, purus. Praesent lacinia auctor turpis. Phasellus vestibulum dui ut massa. In hac habitasse platea dictumst. Ut eu risus. Morbi accumsan. Quisque id orci a sapien congue scelerisque. Proin vel sem. Fusce sagittis laoreet tortor. Curabitur id nibh. Nunc justo ante, semper vitae, consectetuer ac, fringilla vitae, nunc.

Status tracking in real time

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What are people saying about your business?

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Fusce pede nisi, fringilla in, rutrum vel, molestie id, ante. Quisque nibh magna, convallis a, eleifend quis, sodales nec, purus. Praesent lacinia auctor turpis. Phasellus vestibulum dui ut massa. In hac habitasse platea dictumst. Ut eu risus. Morbi accumsan. Quisque id orci a sapien congue scelerisque. Proin vel sem. Fusce sagittis laoreet tortor. Curabitur id nibh. Nunc justo ante, semper vitae, consectetuer ac, fringilla vitae, nunc.

Training - Topic Detail - edit with Xstandard

Training Center Checking Issue status	<u>Save</u> <u>Cancel</u>	Training Topics Overview of this tool X
Mauris mattis, dui eget porta consequat, mauris lacus vestibulum metus, ut o lorem. Sed in augue id enim dapibus lacinia. Duis porta arcu in elit. Nulla nec feugiat. Quisque mollis. Etiam consequat.		Methods for submitting business X Uploading a Issue X

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What are people saying about your business?

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Checking issue status X

Responding to issues X

The pending order report X

Finding historical issues by Client X

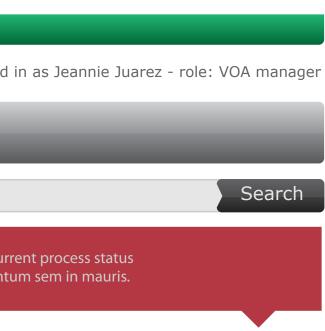
<u>Add another</u>

Create WinOps record - Chelsea - Place on hold

Dashboard	Advisors	Que	ues	Issues	Watchli	st Ut	ilization	Efficie	ency					
Select an /	Advisor										12/	10/08	8:44 /	\M - logged
Dashboard	Relations		Issues			lanning	Comp		Exper	tise Co	npensa	ition	Servic	es
Search Ir	ivestors	Compa	nies	Househo	dids Pi	rospects	s Impo	rt/Expo	rt	_	_	_	_	_
Jack Valentin	e > Current	Busines	s > Cha	ange of b	roker deal	er > Blo	otter the bu	usiness						
Basic No	n-broke	rage s	subm	ission						Product inf		on or title luct type		List the cur condiment
Creat	te Win	Ops	rec	ord						Assigned Crai Anklema	g 📗	I.		Triage pape Deliver pre
Log	in to Win On this ste Record the Account T	ep, you' e TM nu	umbers		-				accour	nt and/or	order.			Recieve sig Verify signe Blotter the Deliver for Deliver to a Verify recie
	Order TM	Numbe	r											Docum QA3 for
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Ord	er Status: Assure tha			as boon	nlaced c	n hold	within W	inOns	The sta	tus mass				Change
	that shoul "Check sta	d be er	ntered	into the	notes fie	eld shou	uld say,	11003.	The sta	itus messo	ige			Mango
					Re-a	ssign	Add	Task		Com	plete			

Create WinOps record - Chelsea - No previous hold

Dashboard	Advisors	Queues	Issues	Watchlist	Utilizati	on Effici	ency			
Select an A	dvisor								12/10/08	8:44 AM - logg
Dashboard	Relations	hips Issu	es Cale	ndar Plan	ning Co	ompliance	Expertise	Comp	ensation	Services
Search In	vestors (Companies	Househ	olds Pros	pects I	mport/Expo	ort	-	-	_
Jack Valentine	e > Current l	Business > C	hange of b	oroker dealer	> Blotter th	ne business				
Basic No	n-broker	age subi	mission				Prod	luct infor	mation or tit product typ	
Creat	e Win	Ops re	cord					signed to Craig nkleman	S	Triage pa Deliver p
	By this step	р, you'll log o, this busir reate this re И Number	ness has b	-			s account ar numbers bel		der.	Recieve s Verify sig Blotter th Deliver fo Deliver to Verify red Docu QA3 fo QA3 S
				missionab not on hold						Chang
										Mang
				Re-assig	gn A	Add Task		Comp	ete	



berwork

- epared forms for signature gned paperwork
- ned paperwork is complete
- e business
- r OSJ review appropriate recipients
- ept and account established

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uitability

e of broker dealer

o panko inceptos

ged in as Jeannie Juarez - role: VOA manager Search rent process status um sem in mauris.

paperwork

- orepared forms for signature
- signed paperwork gned paperwork is complete
- the business
- for OSJ review
- to appropriate recipients

ciept and account established

uments for this issue

forms

Suitability

nge of broker dealer

go panko inceptos

Create WinOps record - Principal - Remove the hold

Dashboard	Advisors	Queue	s Issue	s Watc	hlist	Utiliz
Select an A	Advisor					
Dashboard	Relationsh	nips Is	sues C	alendar	Plann	ing
Search In	vestors (Companie	s Hous	eholds	Prospe	ects
Jack Valentine	e > Current E	3usiness >	· Change d	of broker de	ealer >	Blotte
Basic No	n-broker	age su	bmissic	on		
Remo	ove the	e holo	d in W	/inOp	S	
Log	in to Win(Ops				
	Log into Wi has been a					
	Account TM	1 Numbe	r		_	

TM00645545

Order TM Number TM19640005

Order Status: Approved & Commissionable

This order has been approved. Remove any hold that is on this order.

Create WinOps record - Principal - close the order in WinOps

Dashboard Advisors Queues Issues Watchlist Utilization Efficiency Select an Advisor Dashboard Relationships Search Investors Companies Households Prospects Import/Export

Basic Non-brokerage submission

Close the order in WinOps

Log in to WinOps

Log into WinOps and set this order to closed. This business has been rejected.

Account TM Number

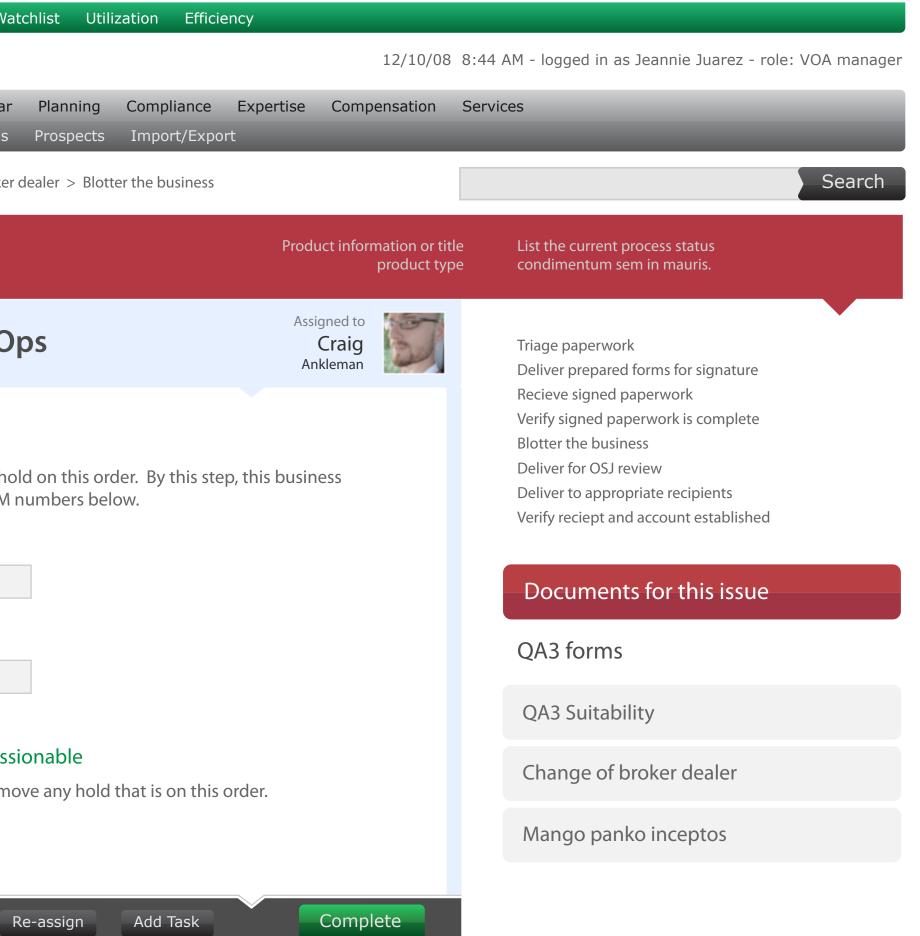
TM00645545

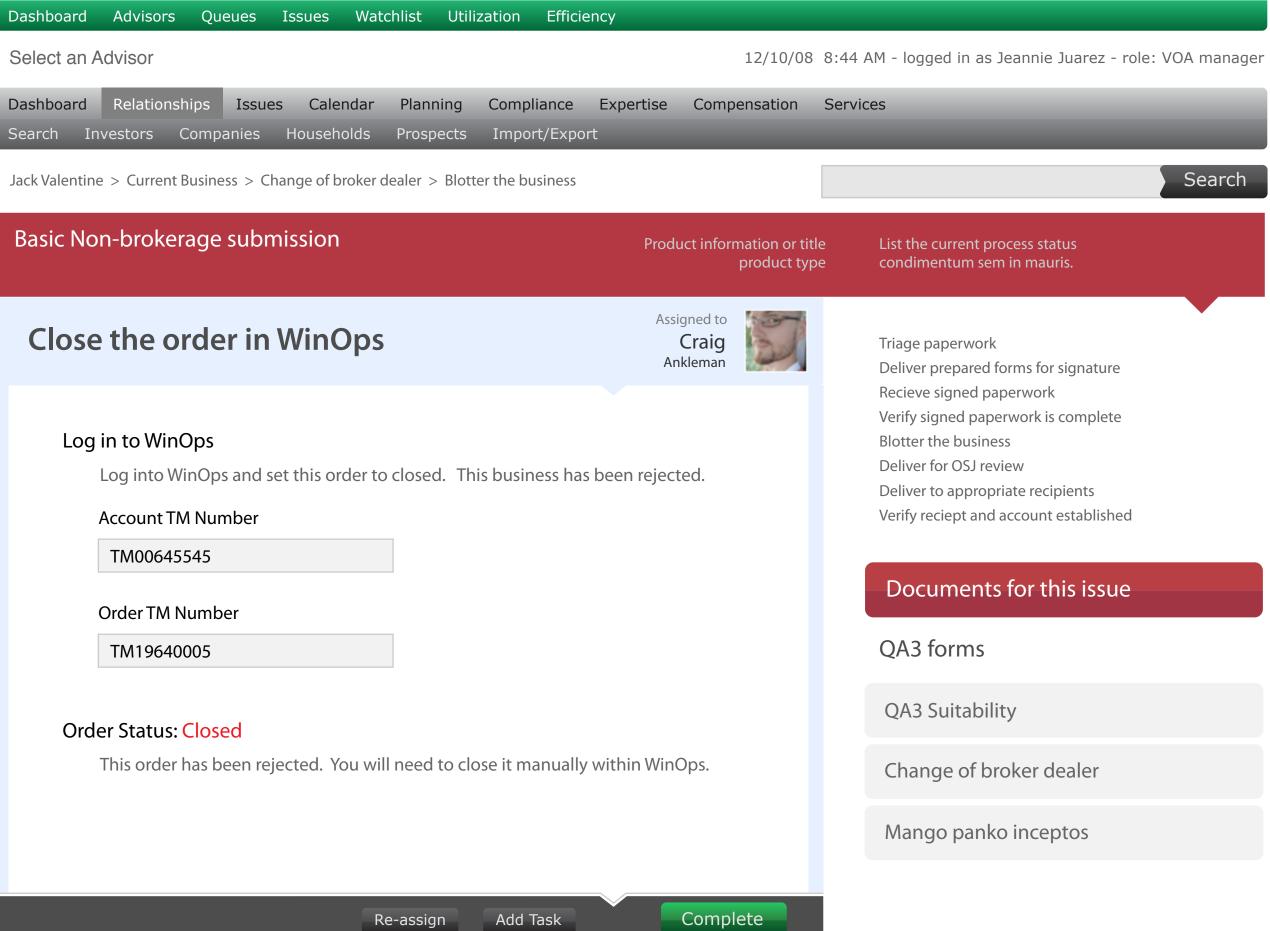
Order TM Number

TM19640005

Order Status: Closed

This order has been rejected. You will need to close it manually within WinOps.





Thoughts on quick notes

First, it's important to note that the intended interaction here is that upon selection of a note type from either of these dropdown menus, a corresponding note would appear in the notes field below.

Hitting either "Send back to Advisor" or "Reject" after a note type is selected will perform the respective action AND add the note.

The intended behavior when a user hits complete AFTER having written a note would be to complete the action step AND add the note.

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Each note should have a "note type" which is a large input field. This will always contain language focused at the Employee. Each note should also have a "note body" which will be the language used within the note field. This should be a textarea.

Quick notes

Missing information - Suitability New Account form

Ν

N x 2

Missing information - Order paperwork

Missing information - Change of Dealer form

Other

Quick notes

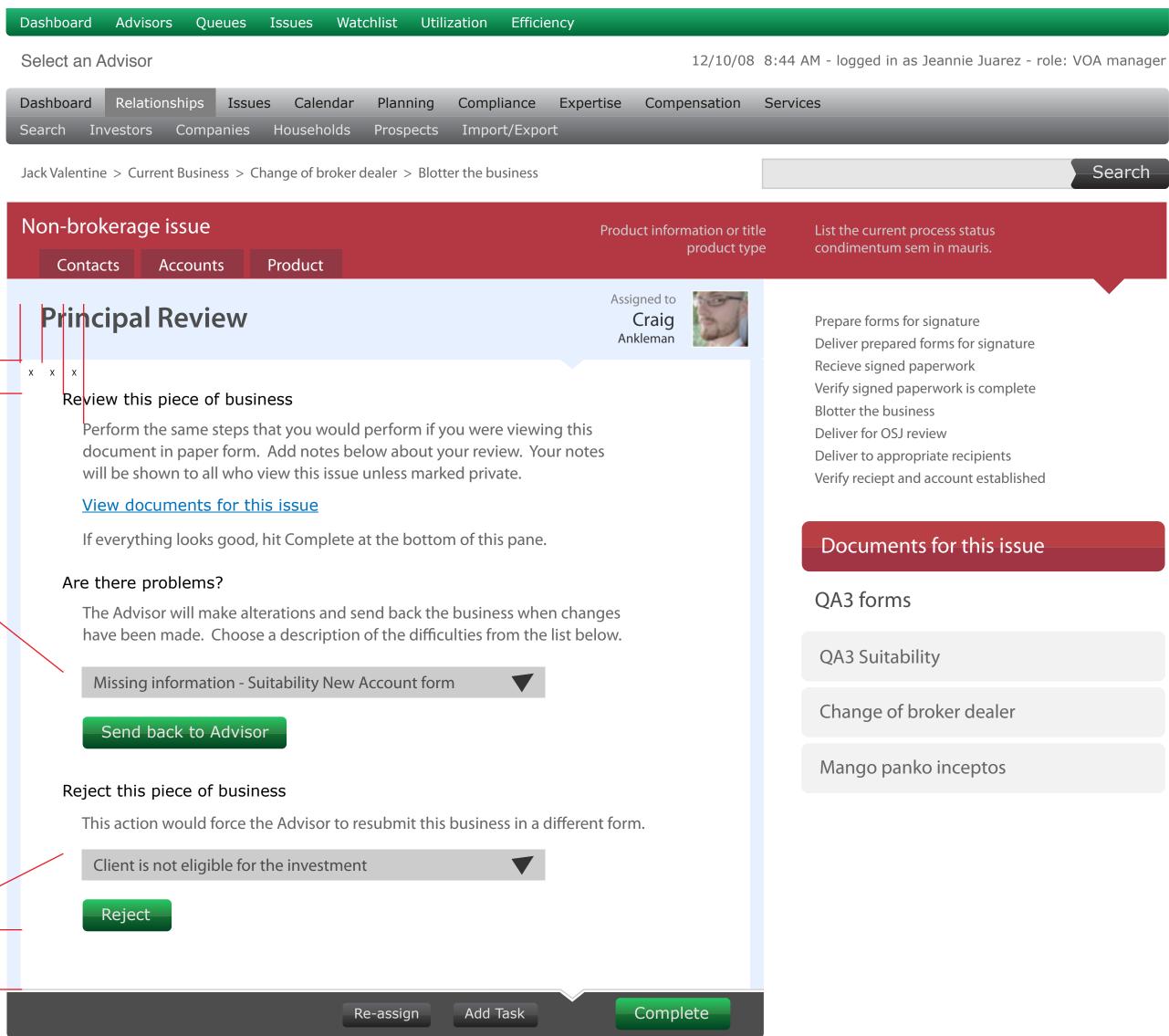
Advisor not licensed in the state necessary

Client is not eligible for the investment

Investment is no longer available

Other

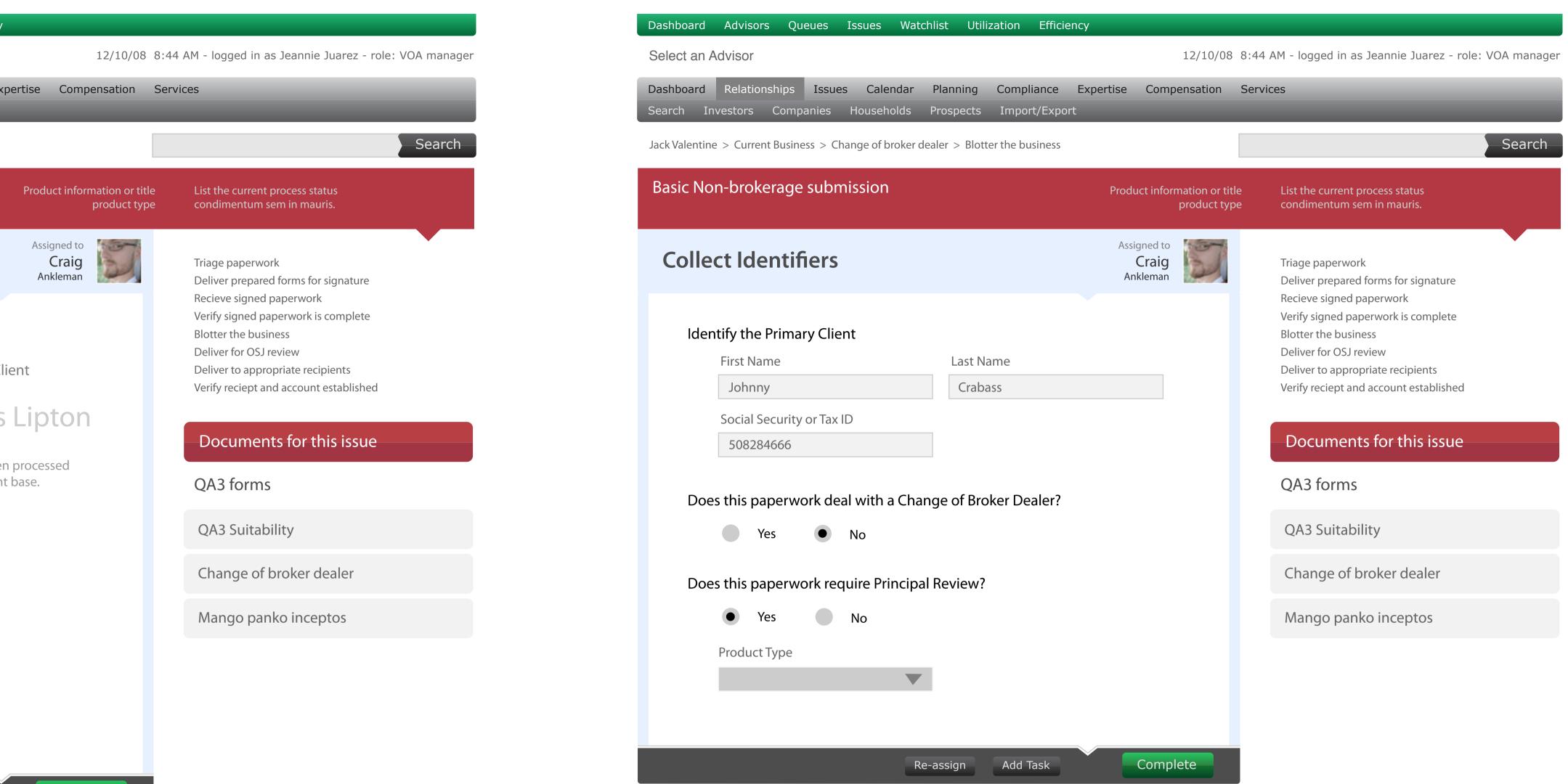
Action step - Principal Review



Collect Identifiers - from fax queue

	Dashboard	Advisors	Queues	Issues	Watchlist	Utilization	Efficiency
	Select an A	dvisor					
	Dashboard Search Inv	Relationsh vestors C	ips Issue ompanies	s Cale Househ			bliance Expe prt/Export
	Jack Valentine	e > Current B	usiness > Cł	hange of b	roker dealer 🔅	> Blotter the b	usiness
	Basic Noi	n-brokera	age subn	nission			
	Colle	ct Iden	tifiers				
	lden	tify the Pr	imary Clie	nt			
		• Sear	ch for a Cl	ient			Add a Clie
		Name o	r SSN/TIN				lames l
						÷	at have been p dvisor client b
	Does	s this pape	erwork de	al with a	a Change o	of Broker De	ealer?
If you answer yes to the Change of Dealer question this entire section goes away.		Yes	٠	No			
	Doe	s this pape	erwork red	quire Pri	ncipal Rev	iew?	
		• Yes		No			
		Product Ty	ре				
					V		
					Re-assig	gn Add	Task

This shows the change in information that needs to be collected based on ______ this decision.

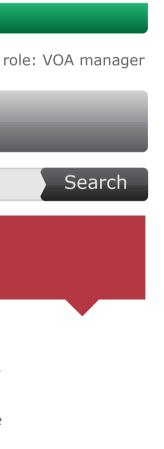


Complete

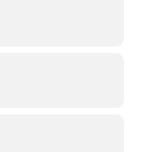
Collect Identifiers - from fax queue

Dashboard Advisors Queues Issues Watchlist Utilization Efficiency	
Select an Advisor 12/10/08	8:44 AM - logged in as Jeannie Juarez - ro
DashboardRelationshipsIssuesCalendarPlanningComplianceExpertiseCompensationSearchInvestorsCompaniesHouseholdsProspectsImport/Export	Services
Jack Valentine > Current Business > Change of broker dealer > Blotter the business	
Basic Non-brokerage submission Product information or title product type	
Collect Identifiers Assigned to Craig Ankleman	Triage paperwork Deliver prepared forms for signature
Identify the Primary Client Search for a Client Add a Client 	Recieve signed paperwork Verify signed paperwork is complete Blotter the business Deliver for OSJ review Deliver to appropriate recipients Verify reciept and account established
Name or SSN/TIN James Lipton	Documents for this issue
Clients that appear within this search are only those that have been processed using this system. This is not an exhaustive list of the Advisor client base.	QA3 forms
Does this paperwork deal with a Change of Broker Dealer?	QA3 Suitability
Yes No	Change of broker dealer
Does this paperwork require Principal Review?	Mango panko inceptos
Yes No	
Account TM Number	
Re-assign Add Task Complete	
	•

Collect Identifiers - from upload







Employee dashboard



Gary Larson

Claimed work of any type

Jack Valentine	Larson VAs	Prior	1:03	VA Review	1	Х	
Herbie Hancock	Grainer VA Compan		2:15	VA Review	1	Х	
Brad Blankenship	AIM Funds		3:24	TIC Review	1	Х	
Greg Brady	Greatland Fund Co		4:12	VA Review	1	Х	
Paul Mercer	AIM Funds		5:24	TIC Review	1	Х	
Greg Brady	Greatland Fund Co	Prior	4:00	REIT Review	2	Х	
Paul Mercer	AIM Funds		5:24	REIT Review	2	Х	
Beverly Gambino	AIM Funds		6:24	REIT Review	2	Х	•

Combined view, representing action steps within multiple queues, clicking takes you to that action step





1 VA Revi	ew - 26					,	<u>Oldest</u> Average		
			<u>Priority</u>	-	e	Ş			
Jack Valentine	Larson VAs	Prior					1	:03	
Brad Blankenship	Grainer VA Compan	Prior					1	:24	
Jack Valentine	AIM Funds	Prior					2	2:03	
Brad Blankenship	Greatland Fund Co						3	3:24	
Jack Valentine	AIM Funds						5	5:03	
Brad Blankenship	Bancock Fund Co						7	':24	
Jack Valentine	AmCon Fund Co						11	:03	•

Click an issue to claim it for your queue

TIC Rev View alone	riew - 5 Remove			<u>est</u> 1:03 age 1:48
		<u>Priority</u>	Ş	
Jack Valentine	Larson VAs			1:03
Brad Blankenship	Grainer VA Compan			3:24
Jack Valentine	AIM Funds			6:03
Brad Blankenship	Greatland Fund Co			7:24
Jack Valentine	AIM Funds			8:03

Click an issue to claim it for your queue

Search for issues

Messaging

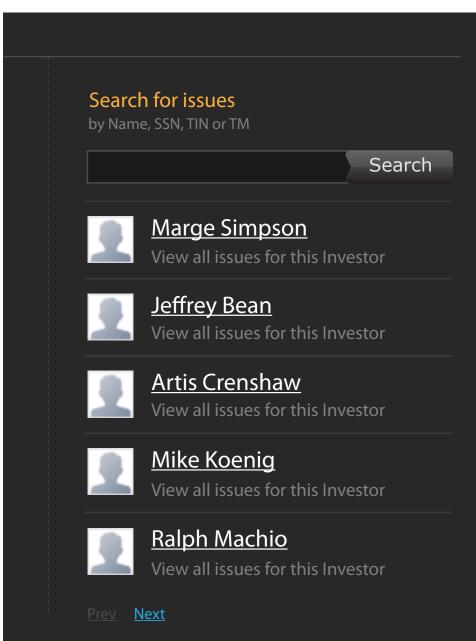
Gary, we need you to jump on a new group VAs coming in from Brad Blankenship. Please grab these first as you see him submit. You've got the most experience with this guy.

Dan - 3/15/08 at 3:35 PM

Gary, we need you to jump on a new group VAs coming in from Brad Blankenship. Please grab these first as you see him submit. You've got the most experience with this guy.

Dan - 3/15/08 at 3:35 PM

Results for SSN / TIN & Name



Name and Social should search contact records. Employees, Advisors, Sponsors, Branches and should be excluded.

All results just push down messaging the exact amount of vertical space it would take to render the number of results returned with a maximum of 5 results.

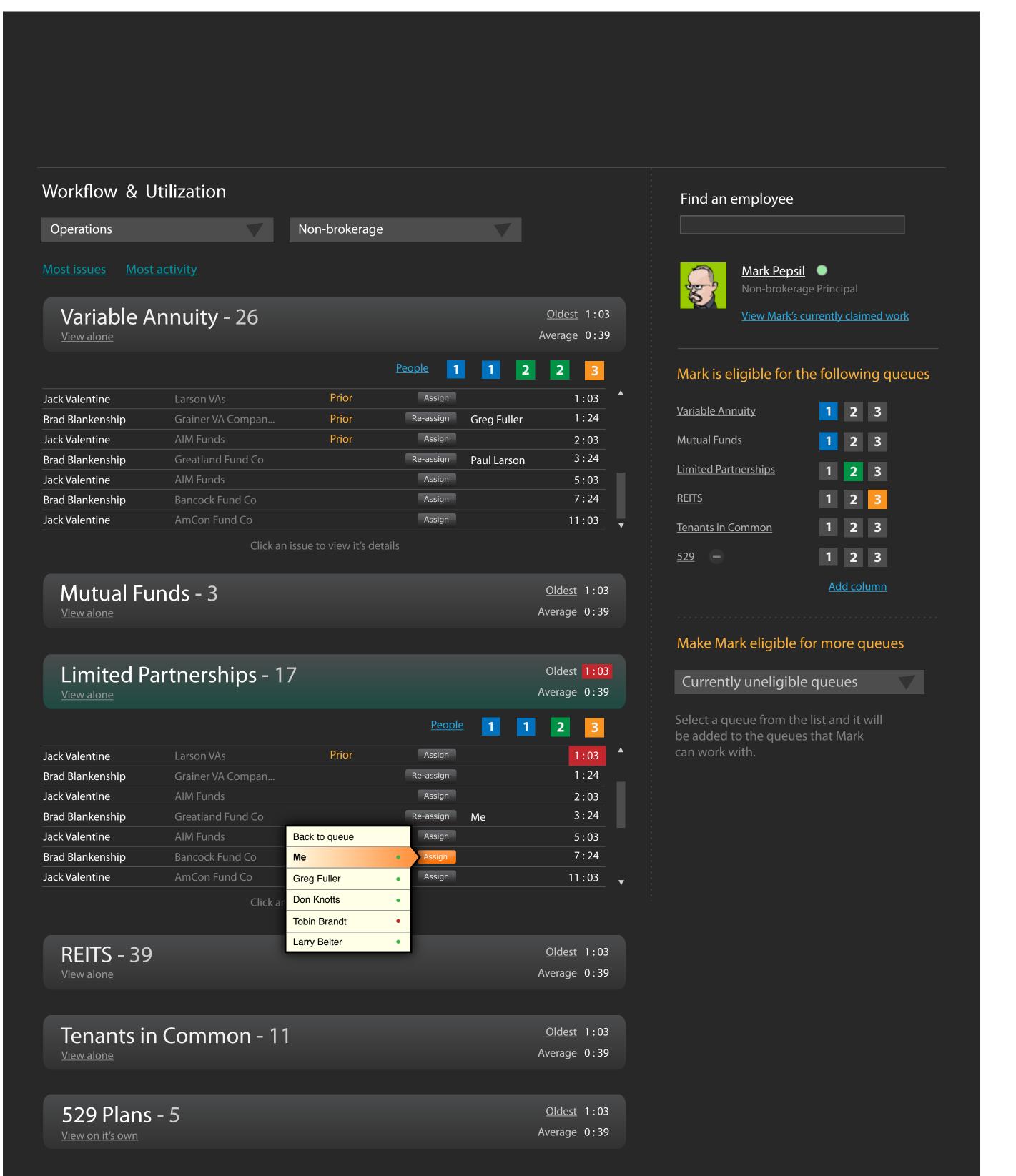
When dashes are input with numbers, clear the dashes and perform the search. When dashes are entered with alpha characters, leave the dashes.

Search

Results for TM number

	h for issues e, SSN, TIN or TM
	Search
•	Non-brokerage submission Opened on 10/12/08
	Non-brokerage submission Opened on 10/24/08
	Non-brokerage submission Opened on 9/12/08
•	Non-brokerage submission Opened on 9/08/08
2	Non-brokerage submission Opened on 8/1/08
<u>Prev</u>	<u>lext</u>

Queues - Workflow & Utilization



Queues - Employee Prioritization - Add Columns

Find an employee



Mark Pepsil

Non-brokerage Principal

View Mark's queues

Mark is eligible for the following queues

<u>Variable Annuity</u>	12345
Mutual Funds	1 2 3 4 5
Limited Partnerships	1 2 3 4 5
REITS	1 2 3 4 5
Tenants in Common	12345
<u>529</u>	12345

<u>Add column</u>

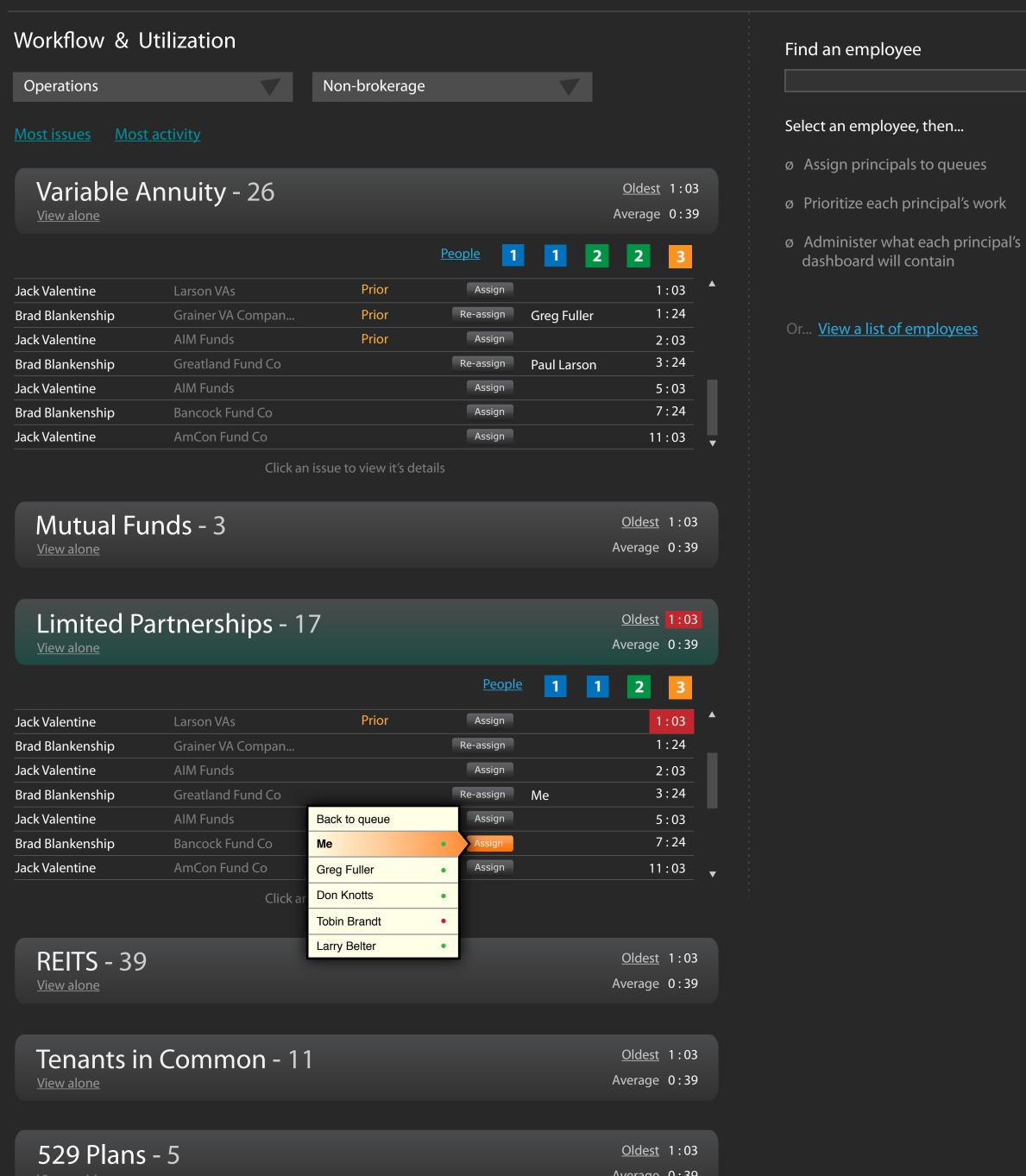
Make Mark eligible for more queues

Currently uneligible queues

Select a queue from the list and it will be added to the queues that Mark can work with.



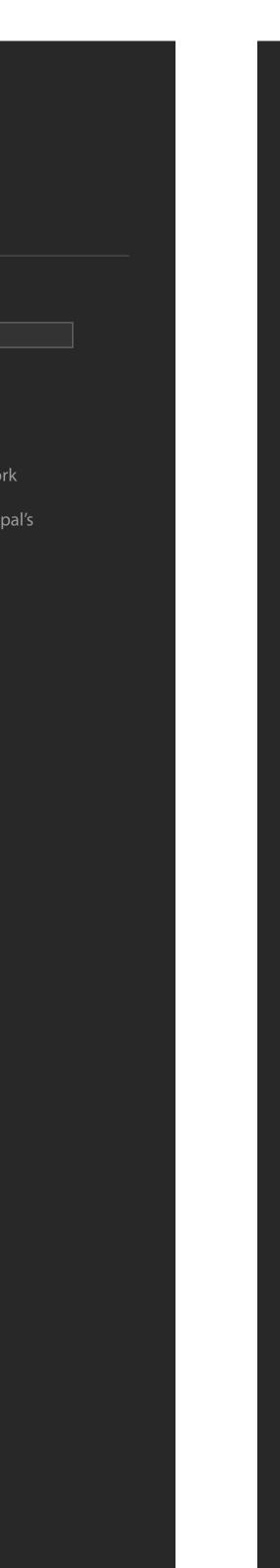
Queues - Workflow & Utilization



<u>View on it's own</u>

Average 0:39

View a list of employees



Find an employee <u>Back</u> <u>Mark Pepsil</u> S <u>Paul Marshal</u> <u>Jason McPike</u> -C C Ernest Madison Clayton Henderson Cherie Paulson G

Don't create this screen yet

for now, eliminate the link to View a list of all employees on the default screen

Queues - Knowledgeworker dashboard



Gary Larson

Non-brokerage Principal

3

2

Claimed work of any type

Jack Valentine	Larson VAs	Prior	1:03	VA Review	1	Х	
Herbie Hancock	Grainer VA Compan	Prior	2:15	VA Review	1	х	
Brad Blankenship	AIM Funds		3:24	TIC Review	1	Х	
Greg Brady	Greatland Fund Co		4:12	VA Review	1	Х	
Paul Mercer	AIM Funds		5:24	TIC Review	1	Х	
Greg Brady	Greatland Fund Co	Prior	4:00	REIT Review	2	Х	
Paul Mercer	AIM Funds		5:24	REIT Review	2	Х	
Beverly Gambino	AIM Funds		6:24	REIT Review	2	Х	

Combined view, representing action steps within multiple queues, clicking takes you to that action step

VA Review - 26 <u>Oldest</u> 1:03 1 Average 0:39 View alone **Priority** Prior Jack Valentine Larson VAs 1:03 1:24 Prior Brad Blankenship Prior AIM Funds 2:03 Jack Valentine 3:24 Brad Blankenship Greatland Fund Co **AIM Funds Jack Valentine** 5:03 Bancock Fund Co 7:24 Brad Blankenship Jack Valentine AmCon Fund Co 11:03

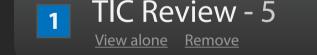
Messaging

Gary, we need you to jump on a new group VAs coming in from Brad Blankenship. Please grab these first as you see him submit. You've got the most experience with this guy.

Gary, we need who have been at 3:35 MAY 5th VAs coming in who have been a start of the start of amp on a new group Brad Blankenship. Please grab these first as you see him submit. You've got the most experience with this guy.

Dan - 3/15/08 at 3:35 PM

Click an issue to claim it for your queue



<u>Oldest</u> 1:03 Average 1:48

 \bigcirc

Ş **Priority**

Jack Valentine	Larson VAs	1:03
Brad Blankenship	Grainer VA Compan	3:24
Jack Valentine	AIM Funds	6:03
Brad Blankenship	Greatland Fund Co	7:24
Jack Valentine	AIM Funds	8:03

Click an issue to claim it for your queue

CRM dashboard

Recent history

12/10/08 8:00 AM	Nelson Mandela added as contact by Jason Walker Principal at <u>Lincoln Financial Group</u>
12/10/08 8:00 AM	Frank Peterson note added by Jeff Spring Lorem ipsum dolor sit amet, consectetuer adipiscing elit. Nulla condimentum sem in mauris. Class aptent taciti sociosqu ad litora torquent per conubia nostra, per inceptos hymenaeos. Fusce non lacus. Duis a sapien eu lectus tristique facilisis.
12/10/08 8:00 AM	Nelson Mandela added as contact by Jason Walker Principal at <u>Lincoln Financial Group</u>
12/10/08 8:00 AM	Frank Peterson note added by Jeff Spring Lorem ipsum dolor sit amet, consectetuer adipiscing elit. Nulla condimentum sem in mauris. Class aptent taciti sociosqu ad litora torquent per conubia nostra, per inceptos hymenaeos. Fusce non lacus. Duis a sapien eu lectus tristique facilisis.

Find someone

Add a person

- + Add a company
- + Add a household

Putting on Seminars Quality materials

Ð

New printing techniques yeild better results

posted by Marv Pratt, Thursday March 14th, 2008

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Most recent articles

How Direct Mail can help grow your practice A guide to Promotional Giveaways Initiate a Marketing Request

Marketing services

Learn more about the services offered by the QA3 Marketing department.

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Direct Mail Marketing

Brochure Design & Production

Copywriting

Media Negotiation and Ad Placement

Special Event Invitations

Public Relation Services

Involvement with Community Events & Charitable Organizations

Seminar Presentation & Promotional Materials

Promotional Giveaways

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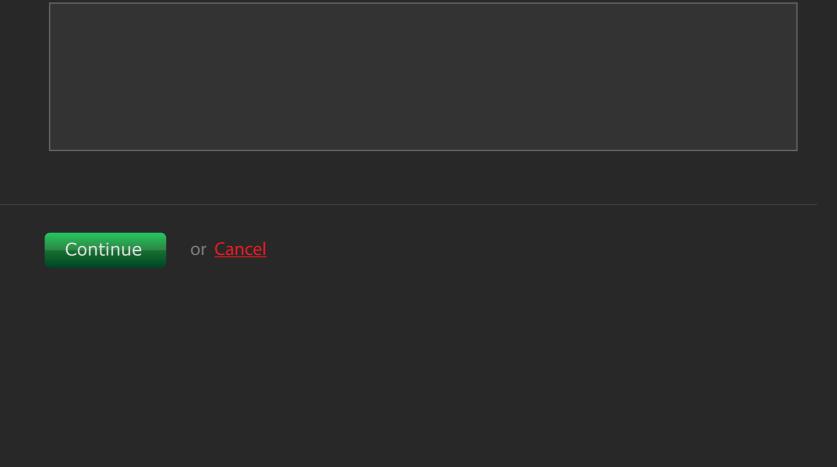
Build an Marketing Request - Step 1

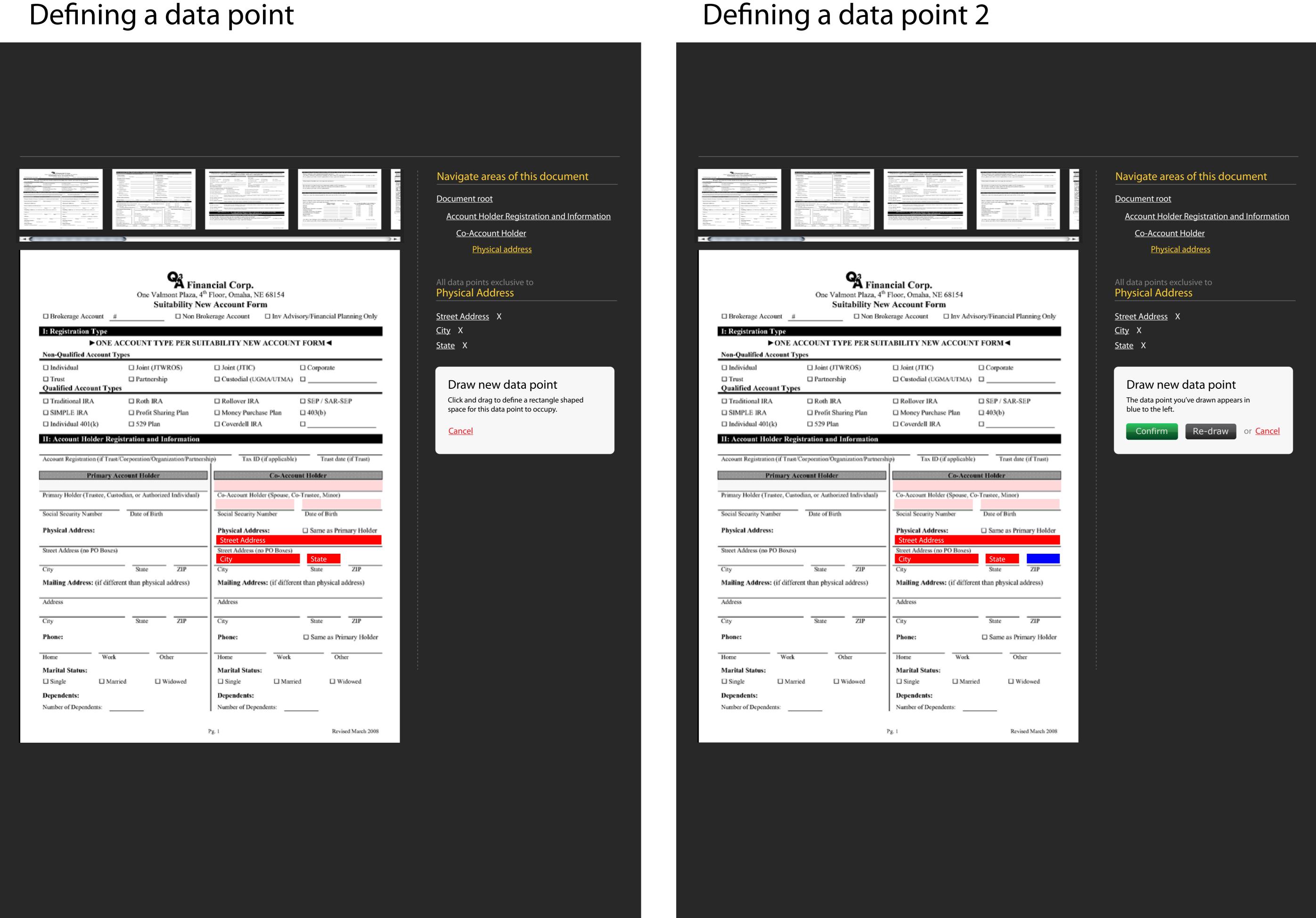
About the request Requestor Company Department	For Jack Valentine aterial Print, Postal / Bus card on 01/28/08 8:24 am
Company Department	
	ther ways to initiate this issue
Jack Valentine Someone else <u>Se</u>	lect files from your vault
Phone Email	
nternal information	
Approved by PO number	



Build an Marketing Request - Step 2

Description		Known about the issue
Describe your project	Marketing Request Step 2 of 4	For Jack Valentine Material Print, Postal / Bus card on 01/28/08 8:24 am
Type of work to be performed		
Design	Copywriting Production	
Printing	Something else (describe below)	Other ways to initiate this issu
Describe your project		<u>Select files from your vault</u>
Project name		
Description		

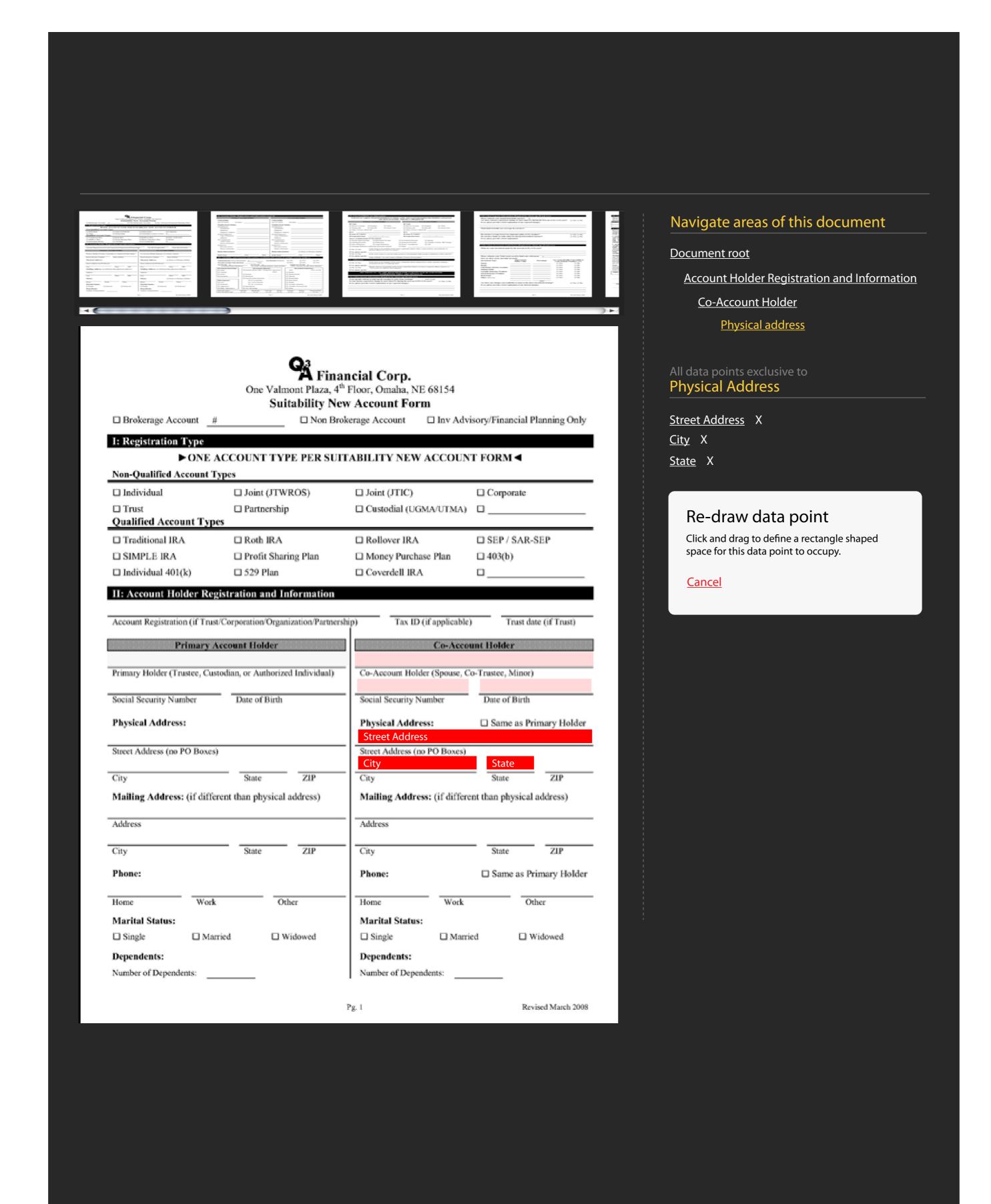




Editing a data point

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Traditional IRA	Roth IRA	Rollover IRA	SEP / SAR-SEP	l
SIMPLE IRA	Profit Sharing Plan	Money Purchase Plan	□ 403(b)	
Individual 401(k)	□ 529 Plan	Coverdell IRA	□	
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Redrawing an existing data point 2



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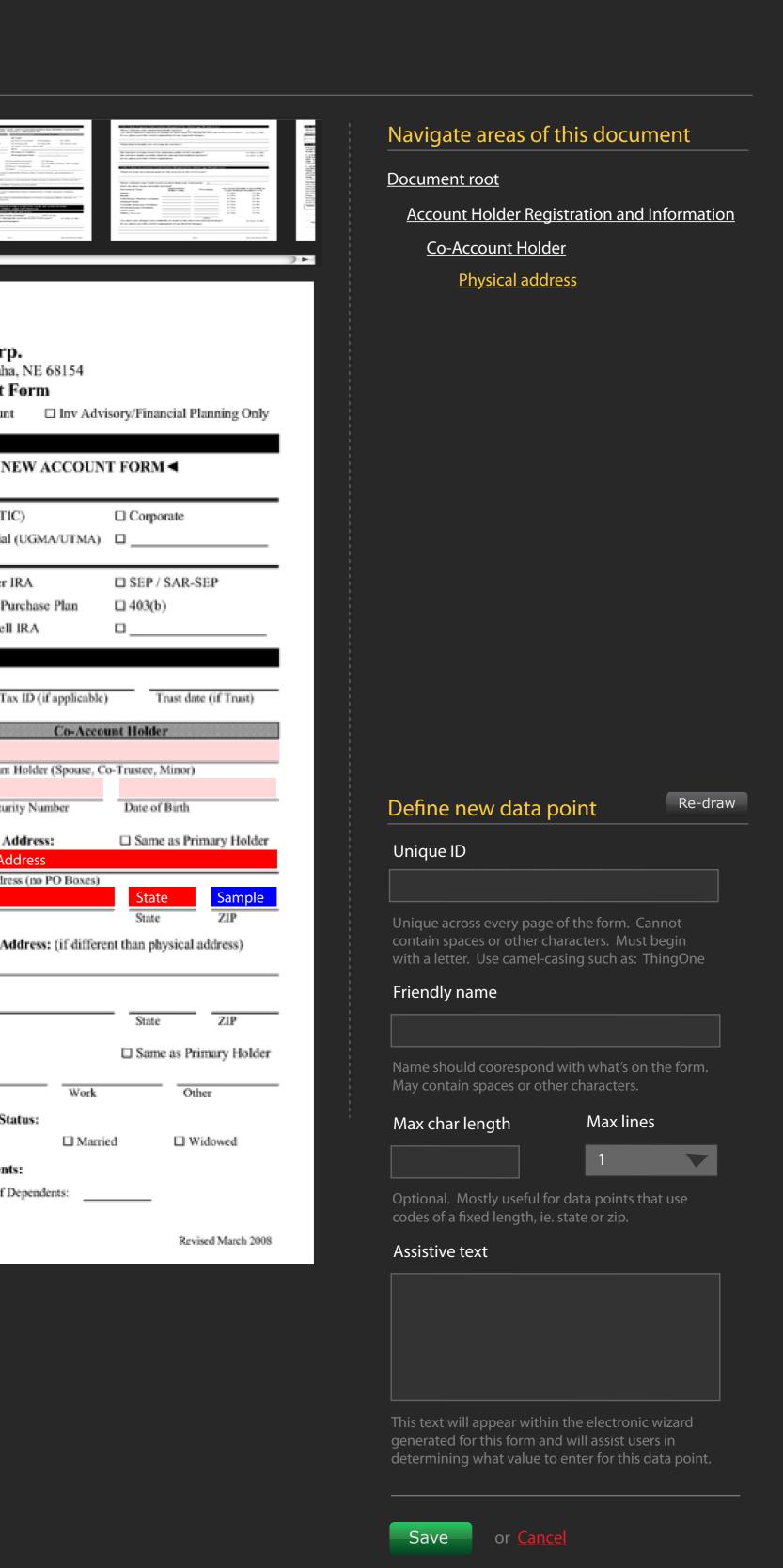
Save or Cancel

Defining a data point 3

		 a) and All and Al
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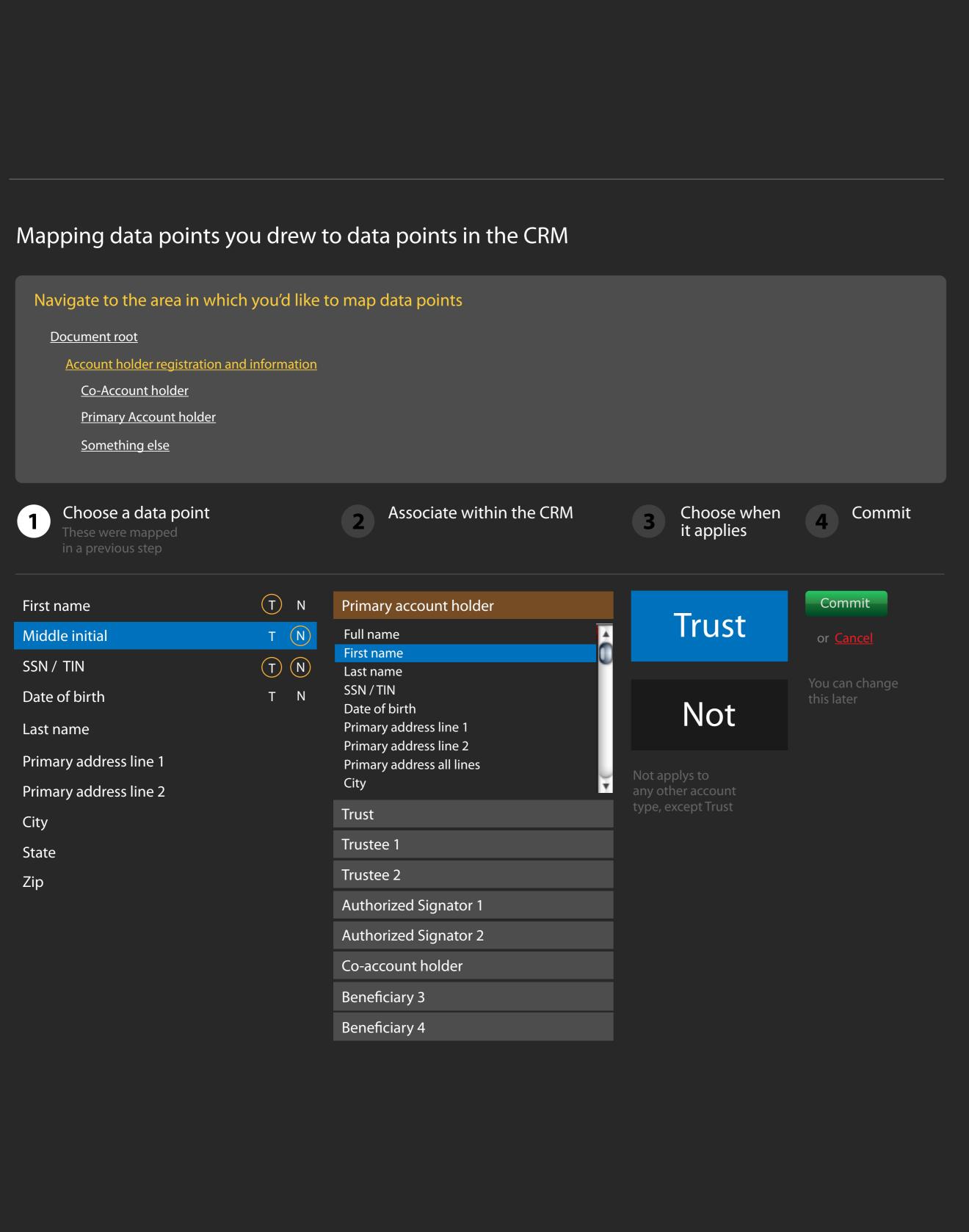
Redrawing an existing data point 2

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I Corp. r, Omaha, NE 68154 count Form e Account	All data points exclusive to Physical Address Street Address X
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loint (JTIC) Corporate Custodial (UGMA/UTMA) SEP / SAR-SEP Money Purchase Plan 403(b) Coverdell IRA	Re-draw data point The data point you've drawn appears in blue to the left. Confirm Re-draw or Cancel
Tax ID (if applicable) Trust date (if Trust) Co-Account Holder Account Holder (Spouse, Co-Trustee, Minor) cial Security Number Date of Birth	
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Revised March 2008	

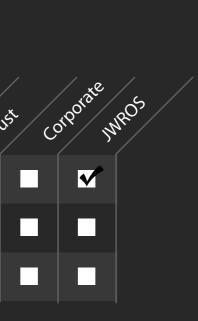
Map form data points to CRM data points



Requirements

Data points required for Account holder registration and information

Friendly name	Individual Joint Th
Co-Account Holder	
Social Security Number	
Date of birth	



Navigate areas of this document

<u>Document root</u>

- Account Holder Registration and Information
- <u>Co-Account Holder</u>
- Physical Address
- <u>Mailing Address</u>

Forms

		orms	
	C	Choose a sponsor	John Hancock
		Type the name of a Sponsor	
This entire area rotates as screens switch		<u>Grant Mutual Fund</u> <u>Pacific Life form</u>	Map Uses
		<u>Mango Life form</u>	no tiff available <u>Map</u> <u>Uses</u> <u>Map</u> <u>Uses</u>
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		Grant Mutual Fund	
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Add a form

Add form "Use"

Add use for Grant Mutual Fund, a DBSI form

Choose an Issue Type

Choose an Issue Type Restrict to only these products Product 1 V Product 1 V Product 1 Product 1 Product 1 Product 1 V Product 1 Product 1 Product 1 Product 1 Product 1 V Product 1 V Product 1 V Product 1

Restrict to only this account type

V Product 1

By default, all account types will use this document.

Select a specific account type only if the form will only be required for one account type and no other.

All account types

Save or <u>Cance</u>

Add form "Use" for sponsor with no product

Add use for Grant Mutual Fund, a DBSI form

Choose an Issue Type

Choose an Issue Type

This form will be used for this Issue Type regardless of product

Save or <u>Can</u>

Uses for Grant Mutual Fund, a DBSI form

Issue Type	Product	Account type	
New Account	Grant class A		delete
	Grant class B		delet
	Grant class C		<u>delet</u>
	Grant class C	Trust	<u>delet</u>
Change of broker dealer	Grant class A		<u>delet</u>
	Grant class B		delete
	Grant class C		delete

In the list "Choose an Issue Type"

Andy, this means all the issue types in the account issue life cycle

It's within issuetypeglobals

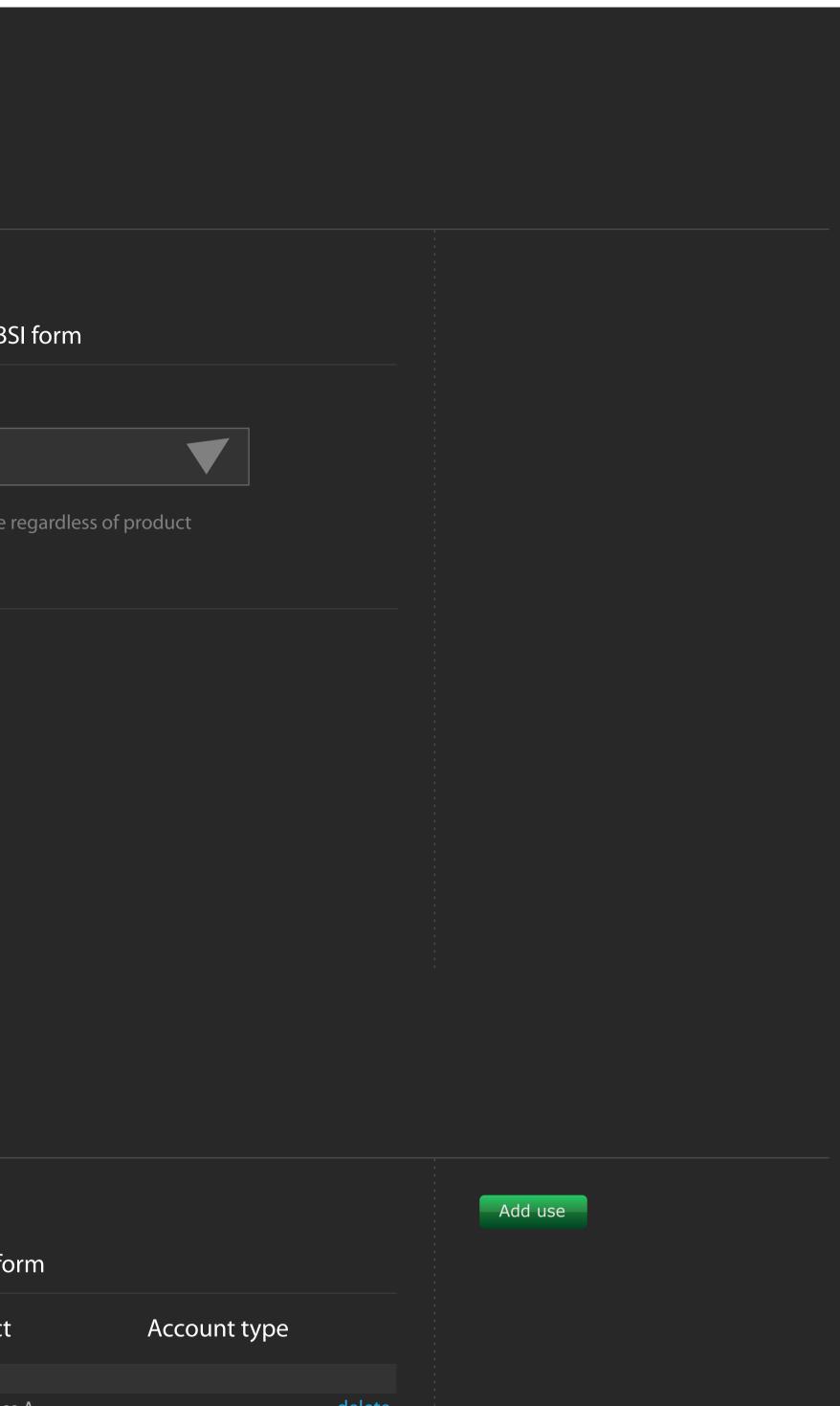
Like these....

New account Close account Change of address Change of broker dealer Systematic Withdrawl Transfer

All product types

V Product 1





View a contact

	MandelaEdit this contactLincoln Financial GroupAdd tags	Find someone
Type notes here		Nelson Mandela's contact info
		Person 402.681.8277 Work 402.681.8277 Mobile
Attach	This didn't happen today P Add	Email <u>steve@yahoo.com</u> Work <u>steve@gmail.com</u> Personal
History Print	P S	Website <u>www.monkeys.com</u> Personal
		IM jakeman Personal, AOL
2/10/08 8:00 AM	Jeannie Juarez	Work 1732 S Franklin Street
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	Class aptent taciti sociosqu ad litora torquent per conubia nostra, per inceptos hymenaeos.	Omaha, NE 68154
W	Fusce non lacus. Duis a sapien eu lectus tristique facilisis.	Home 1732 S Franklin Street Fourth Floor
2/10/08 8:00 AM	Jason Walker	Omaha, NE 68154
ecieve signed pa	Sociosqu ad litora torquent per conubia adipiscing elit. Nulla condimentum sem in mauris.	
Attachments	Class aptent taciti sociosqu ad litora torquent per conubia nostra, per inceptos hymenaeos. Fusce non lacus. Duis a sapien eu lectus tristique facilisis.	Important details
W	Duis a sapien eu lectus tristique facilisis.v	
2/09/08 8:24 AM	Recorded completion of system automated step	
	Donec facilisis ipsum a metus. Maecenas mauris mi, commodo eget, aliquet vel, consect- etuer in, dolor. Etiam ornare odio quis mi. Morbi sit amet pede at diam lacinia dapibus. Nulla eu neque et elit aliquet porta. Maecenas fringilla purus a lectus.	
W	Maecenas mauris mi, commodo eget, aliquet vel, consectetuer in, dolor. Etiam ornare odio quis mi. Morbi sit amet	



12/09/08 8:24 AM System note. Any event recorded by the system.

Prepare forms for ... Donec facilisis ipsum a metus. Maecenas mauris mi, commodo eget, aliquet vel, consect-

etuer in, dolor. Etiam ornare odio quis mi. Morbi sit amet pede at diam lacinia dapibus. Nulla

eu neque et elit aliquet porta. Maecenas fringilla purus a lectus.

12/09/08 8:24 AM An advisor interaction

Prepare forms for ...

Donec facilisis ipsum a metus. Maecenas mauris mi, commodo eget, aliquet vel. Maecenas mauris mi, commodo eget, aliquet vel, consectetuer in, dolor. Etiam ornare odio quis mi. Morbi sit amet

Add a contact - simple

Add a new contact		Other ways to add a contact Import from Outlook
First name	Last name	Import from ACT
Title Company Social Security	only name is required	<u>Import from Excel</u>
<u>Add contact information</u> - You car Add a person or <u>Cancel</u>	n do this later	

Add a contact - detailed

.

Add a new contact		Other ways to add a contact
First name	Last name	Import from Outlook Import from ACT
Title		Import from Excel
Company	only name is required	
Social Security		Additional information
Jocial Security		This person is tax exempt
Phone numbers		
		<u>lete</u>
		<u>lete</u>
	Add another	
Email addresses		
	<u>De</u>	<u>lete</u>
		<u>lete</u>
Instant messager	Add another	
	De	<u>lete</u>
	Add another	
Websites		
		<u>lete</u>
Street address	Add another	
Street	De	<u>lete</u>
City		
State	Zip	
	<u>Add another</u>	

Notes about this person

Bio, misc, notes, how you r	net, etc.	
Add a person or <u>Canc</u>	<u>el</u>	

Tags

Met at Collegium **Cultural Society Members** Faith Church <u>Bally's</u> Meeting at the Hilton <u>Army buddies</u>

People I've worked with <u>College</u> Prospect Central Region Met at the super-conference Companies I've worked for Flight school

TIC Investor <u>Retired</u> Prospect North East Region Met at the super-conference Companies I've worked for Army buddies

Create new tags

Tag name



<u>Nelson Mandela</u> Principal at Lincoln Financial Group



<u>Nelson Mandela</u> Principal at Lincoln Financial Group







<u>Nelson Mandela</u> Principal at Lincoln Financial Group



Nelson Mandela Principal at Lincoln Financial Group



Nelson Mandela

Principal at Lincoln Financial Group



<u>Nelson Mandela</u>

Principal at Lincoln Financial Group

Create new tags

Racketball Buddy

Racketball Buddy

Choose a contact to assign

Add tag

Create new tags

Racketball Budy Johnny Danger X Choose a contact to assign Add tag



Dashboard	Advisors	Queues	Issues	Watchlist	Utilization Eff	iciency			
Select an A	Advisor						12/10/08	8 8:44 AM - logged in as Jeannie Juar	ez - role: VOA manager
Dashboard	Relationsh	nips Issue	es Calei	ndar Plannir	ng Complianc	e Expertise	Compensation	Services	
Search In	vestors C	Companies	Househ	olds Prospe	cts Import/Ex	port			
Jack Valentine	e > Current E	Business > C	hange of b	roker dealer > I	Blotter the busine	SS			Search

Dashboard	Advisors	Queues	Issues	Watchlist	Utilizat	ion Effi	ciency		
Letter				Search				12/10/08	8:44 AM - logged in as Jeannie Juarez - role: VOA manager
Letteraan				hit enter	ing C	Compliance	e Expertise	Compensation	Services
Letterborse	9				ects I	[mport/Ex	port		
Lettercrous	Se				Blotter t	the busines	S		Search

Dashboard	Advisors	Queues	Issues	Watchlist	Utilization	Efficie	ency		
Letterman,	Jack							12/10/08	8:44 AM - logged in as Jeannie Juarez - role: VOA manager
Dashboard	Relationshi	os Issues	Caler	ndar Planni	ng Comp	liance	Expertise	Compensation	Services
					•			p	
Search In	vestors Co	mpanies	Househo	olds Prospe	cts Impo	rt/Expo			

Issue related information

This area reserved for overall issue related information like account, household, people involved, advisor involved and so on.

Action step related information

This area appears for 1.5 seconds and then rolls up into the top blue pill. See page two for rolled up view.

Within this area, we can have inputs, output of information collected from the warehouse, or textual description of this step. Any links to any complex interactions necessary to the completion of this step are located within this area.

If there are only a couple of data points that need to be entered for this step, those are represented. When signatures are necessary, feedback is given about which signatures are entered and the ability to take specific action (initiate esignature) is given here.

When collapsed, controls for the action step remain visible, but nothing else. Animation should be triggered by clicking on the blueish-teal pill at "Blotter the business"... anywhere within the pill.

Comments for Steve

For now, don't worry about the interior of this area. It's less defined at the moment, until we receive more information from "the instance document" that Jay and Jason are working with.

Work on representing this area and it's controls.... and the collapse feature.

The way I imagine it, once the pane has collapsed fully, we use javascript to "pulse" the entire blueish pill shape. I don't know the facilities available within jQuery, but I'm envisioning a 0.5 sec transition to a 30% less saturated version of the original color, then 0.5 Add button is for adding a note at any time to the discussion trail sec back to the original color.

Talk to me about this if you'd like as this is the most complex interaction on this page.

Attachments

What we know is that when you click attach, a DIV will need to appear directly above the text area and it's controls that is of the exact same

Within this DIV, we'll provide choices for the upload of one or more files, and for the deletion of some or all of the files attached.

Because browsers handle this upload control differently, this requires a conversation between Steve, Jay and Jeff about approach before this

parties involved with this piece of business, like Investors & Beneficiaries. This is meant to be an at-a-glance representation of the issue and who is involved. More space is left blank here so we can put more issue specific detail here.

People button takes you to screen dedicated to selecting all types of

To the right, textual process status is reflected.

Inputting notes

"Type notes here" is watermark within text area. It disappears onfocus. Cannot type behind the buttons at the bottom. ~40 pixels of DIV butting up to the bottom of the text area to contain the controls.

If there is text in the textarea and user hovers over Complete, the arrow between the note and the complete button should appear to signify that the note will be captured as part of the completion of this task. This is the visual cue that two things will happen with one click. The arrow does not appear unless hovered over Complete.

without having completed the task. P button is a toggle on or off. On

Note without attachments

Note with attachments Has been placed on the user's watchlist

System note

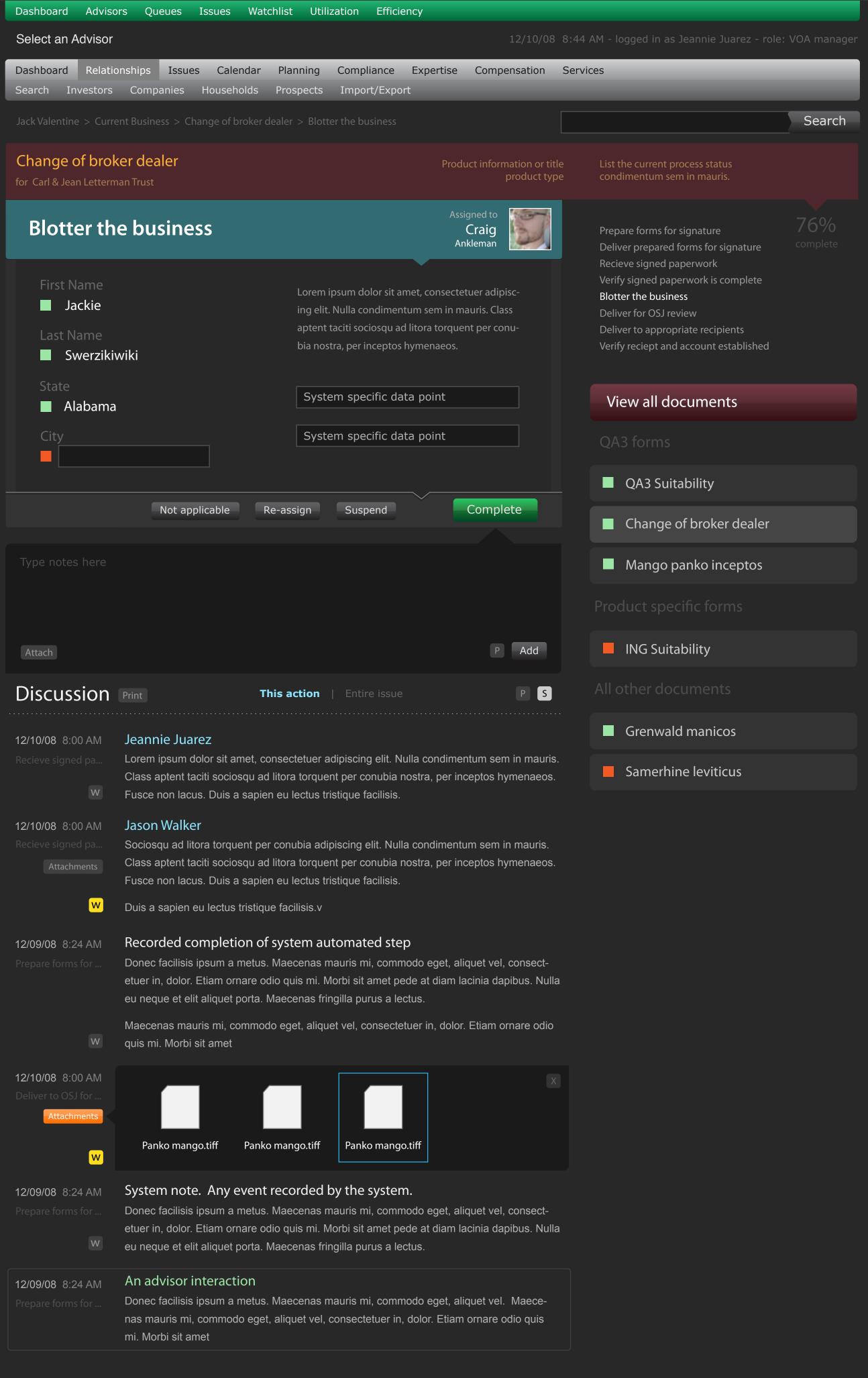
Note with attachments. User has clicked on attachments. Blue line is hover effect. Clicking a file constitutes the "open" command. Note is on user's watchlist.

System note

advisor's interaction

Action step

VOA manager / employee viewpoint



Global navigation bar

This is the structure but decisions are not completely solid about the Information Architecture.

Search is universal

This will be defined further. At this point, just assure that it's represented on the page. We'll go into more detail on this idiom later.

Percent completion

We'll put initial estimates into each issue template, giving each action step a percentage in proportion to how long that portion of the entire with these averages.

In the end, we'll be able to compare each issue's times with the actual average for issues of that type.

Context within the issue

We'll use this area to communicate where you are within this issue. Also provides navigation to other steps within the issue.

View all documents

This is a button with a hover and on-mouse-down state, similar to all other buttons on the page (gloss treatment). Used as primary navigation to all forms associated with this piece of business (issue).

By navigating to the "all documents" view, the user will be presented with choices about uploading new, more detail about existing, tagging, and other detail about documents.

Status of data

Green means that all data needed has been collected. Orange means

Discussion controls

Action step | Issue

By default, from within the action step view, you should only see those notes associated with THIS action step. It's my hope that this toggle can be an AJAX refresh of the list to include every piece of communication for the entire issue.

S stands for System and P stands for Private. These are toggles. System should be on by default, private should be off by default.

Clicking on S would theoretically change the state of the button to a muted background color and eliminate all system notes from the discussion trail.

Clicking on P would theoretically change the state of the button to a brighter colored background and add notes that are private to the discussion trail.

Footer

This is going to be defined separately in a later comp

Action step

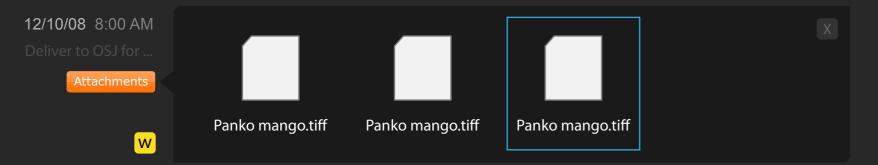
VOA manager / employee viewpoint

Dashboard Adviso	ors Queues Issues Watchlist Utilization Efficiency			
Select an Advisor		12/10/08 8:4	14 AM - logged in as Jeannie Juarez - role:	VOA manager
Dashboard Relation	onships Issues Calendar Planning Compliance Expe Companies Households Prospects Import/Export	rtise Compensation Ser	rvices	
Jack Valentine > Curr	ent Business > Change of broker dealer > Blotter the business			Search
Change of brol for Carl & Jean Lettern		Product information or title product type	List the current process status condimentum sem in mauris.	
Blotter th	e business	Assigned to Craig Ankleman	Prepare forms for signature Deliver prepared forms for signature Recieve signed paperwork	
	Not applicable Re-assign Suspend	Complete	Verify signed paperwork is complete Blotter the business	
Type notes here			Deliver for OSJ review Deliver to appropriate recipients Verify reciept and account established	
			View all documents	
		P Add	QA3 forms	
Discussion	Print This action Entire issue	P S	QA3 Suitability	
12/10/08 8:00 AM Recieve signed pa	Jeannie Juarez Lorem ipsum dolor sit amet, consectetuer adipiscing elit. Nulla co Class aptent taciti sociosqu ad litora torquent per conubia nostra,		Change of broker dealer	
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Attachments	Fusce non lacus. Duis a sapien eu lectus tristique facilisis.		ING Suitability	
W	Duis a sapien eu lectus tristique facilisis.v		All other documents	
12/09/08 8:24 AM	Recorded completion of system automated step			

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- Grenwald manicos
- **Samerhine leviticus**

Maecenas mauris mi, commodo eget, aliquet vel, consectetuer in, dolor. Etiam ornare odio

quis mi. Morbi sit amet



System note. Any event recorded by the system. 12/09/08 8:24 AM

Donec facilisis ipsum a metus. Maecenas mauris mi, commodo eget, aliquet vel, consectetuer in, dolor. Etiam ornare odio quis mi. Morbi sit amet pede at diam lacinia dapibus. Nulla

eu neque et elit aliquet porta. Maecenas fringilla purus a lectus.

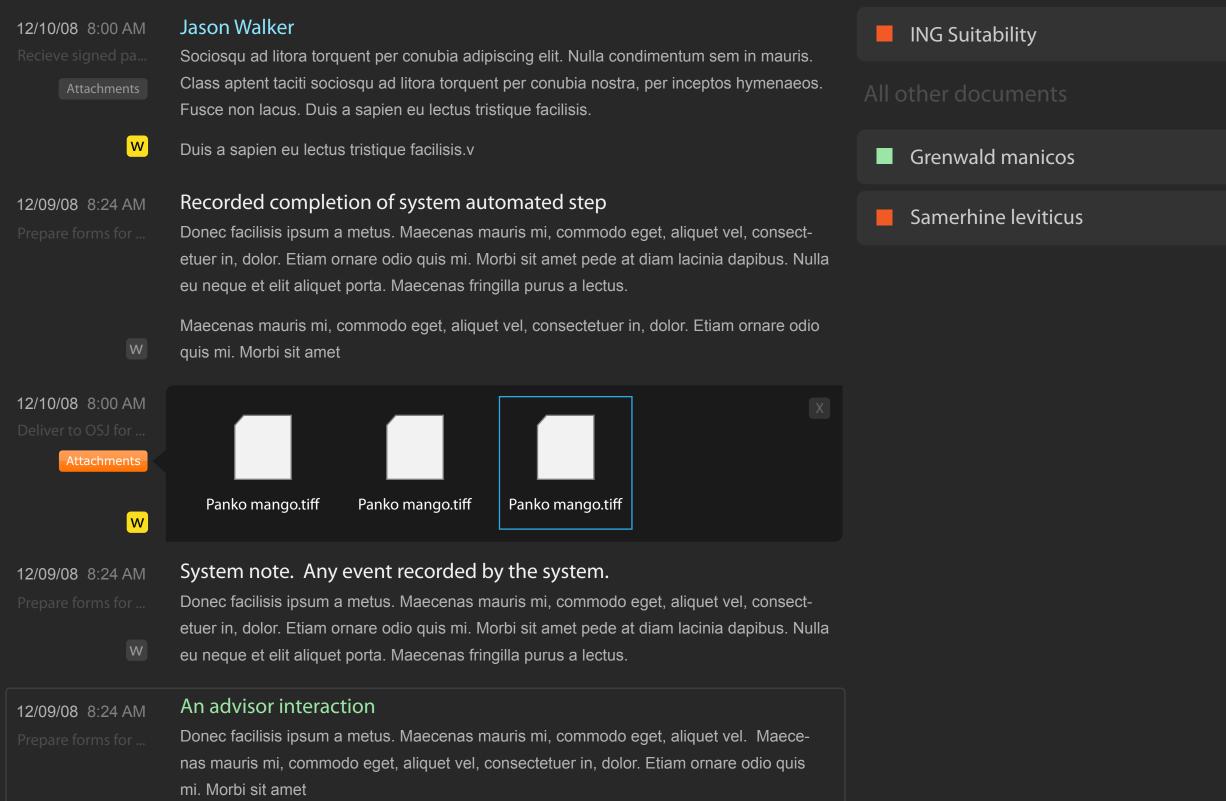
An advisor interaction 12/09/08 8:24 AM

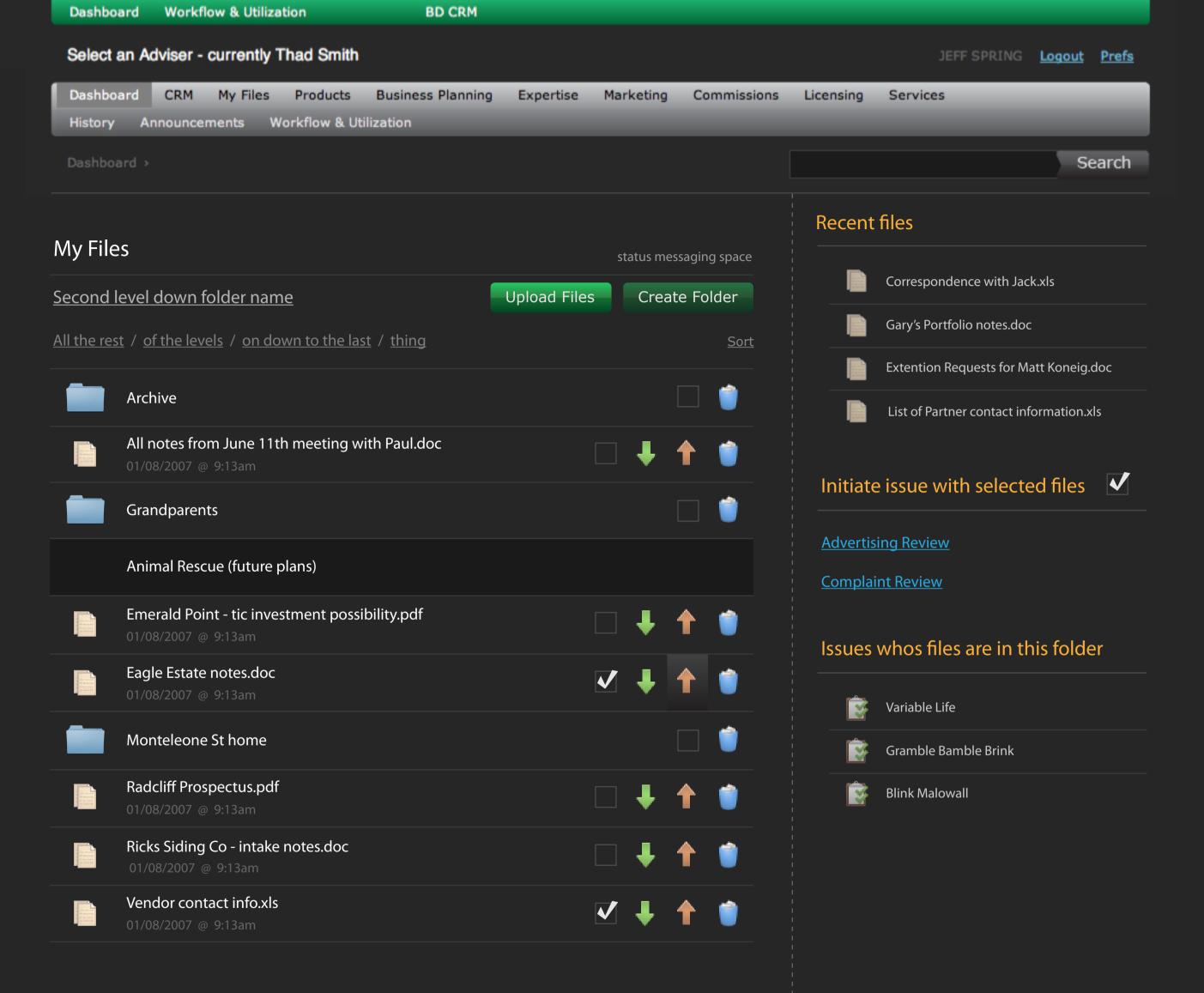
Donec facilisis ipsum a metus. Maecenas mauris mi, commodo eget, aliquet vel. Maecenas mauris mi, commodo eget, aliquet vel, consectetuer in, dolor. Etiam ornare odio quis mi. Morbi sit amet

Issue

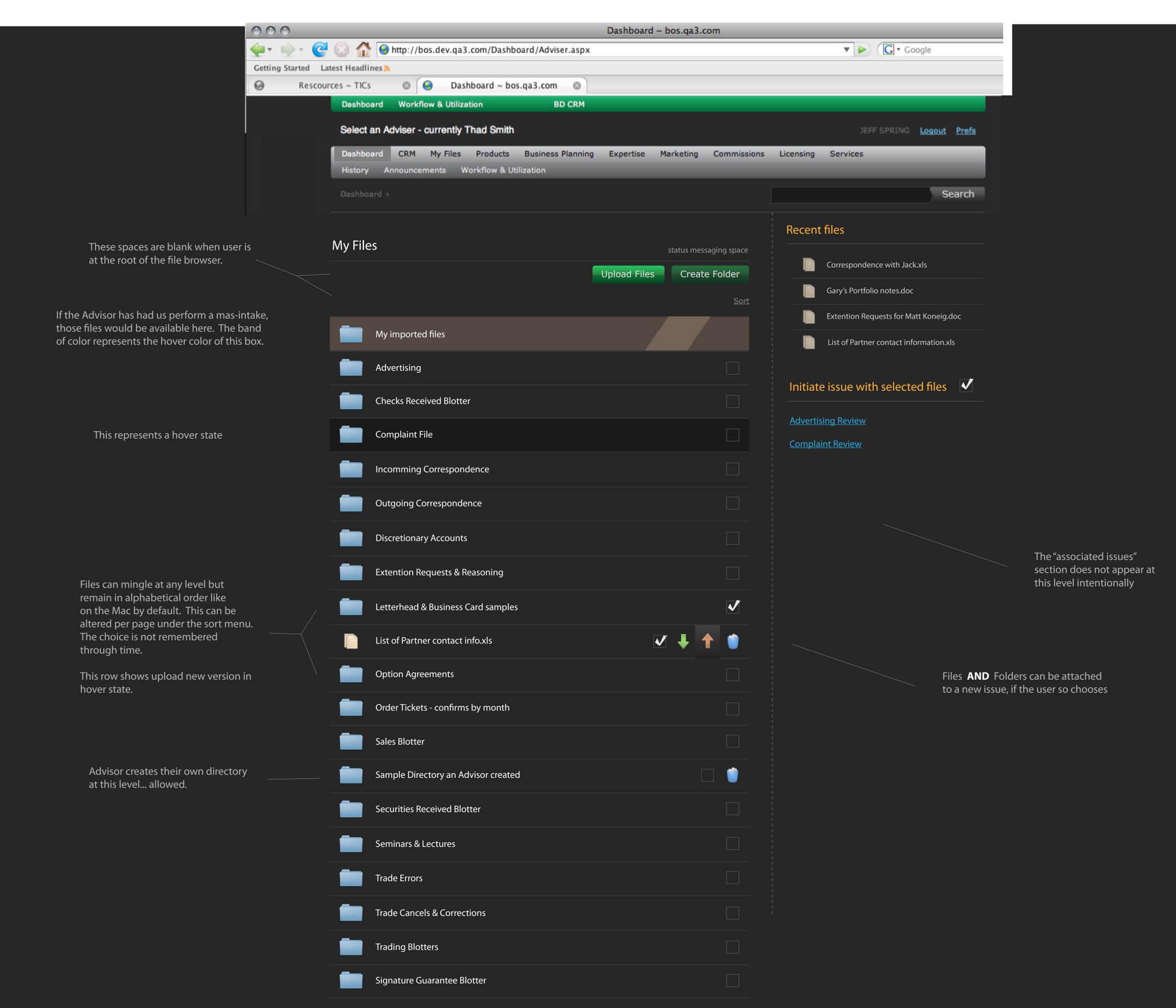
VOA employee / manager

Change of bro Lorem ipsum dolar	oker / dealer				Who is involved
Prepare forms for sig	inature	A	dvisor	\bigcirc \bigcirc	
Deliver prepared pa	perwork for signature	Automated pr	rocess	\bigcirc \bigcirc	
Receive signed pape		al Office Queue	dvisor	\bigcirc \bigcirc	
Random extra use			sign		
Verify signed paperv		ne Brazaile • Ass Aoore •	sign		
Blotter the business	Mike		rocess		
Cancel					
Type notes here					
Type notes here					View all documents
					QA3 forms
Attach			P Ad	dd	QA3 Suitability
Discussion Print	This action	Entire issue	P	S	Change of broker dealer
	ie Juarez psum dolor sit amet, consectetuer a	ndipiscing elit. Nulla condi	mentum sem in n	nauris.	Mango panko inceptos
	ptent taciti sociosqu ad litora torque non lacus. Duis a sapien eu lectus tr		r inceptos hymen	naeos.	





My Files - at the top of the folder structure



					Recent	files
My File	2S		status messagir	ng space		Correspondence with Jack.xls
		Upload Files	Create Fo	older		
				<u>Sort</u>		Gary's Portfolio notes.doc
	My imported files					Extention Requests for Matt Koneig.d
						List of Partner contact information.xls
	Advertising					- incomentation and a stand films
	Checks Received Blotter					e issue with selected files
	Complaint File					<u>sing Review</u> int Review
	Incomming Correspondence					
	Outgoing Correspondence					
	Discretionary Accounts					
	Extention Requests & Reasoning					
	Letterhead & Business Card samples			V		
	List of Partner contact info.xls	~	+	1		
	Option Agreements					
	Order Tickets - confirms by month					
	Sales Blotter					
	Sample Directory an Advisor created			<u> </u>		
	Securities Received Blotter					
	Seminars & Lectures					
	Trade Errors					
	Trade Cancels & Corrections					
	Trading Blotters					
	Signature Guarantee Blotter					

✓

Upload Files - within MyFiles or from the instantiation wizard

This only accounts for cases when raw files of any type can be uploaded.

It does not account for cases where there are pre-determined files that are expected by name.

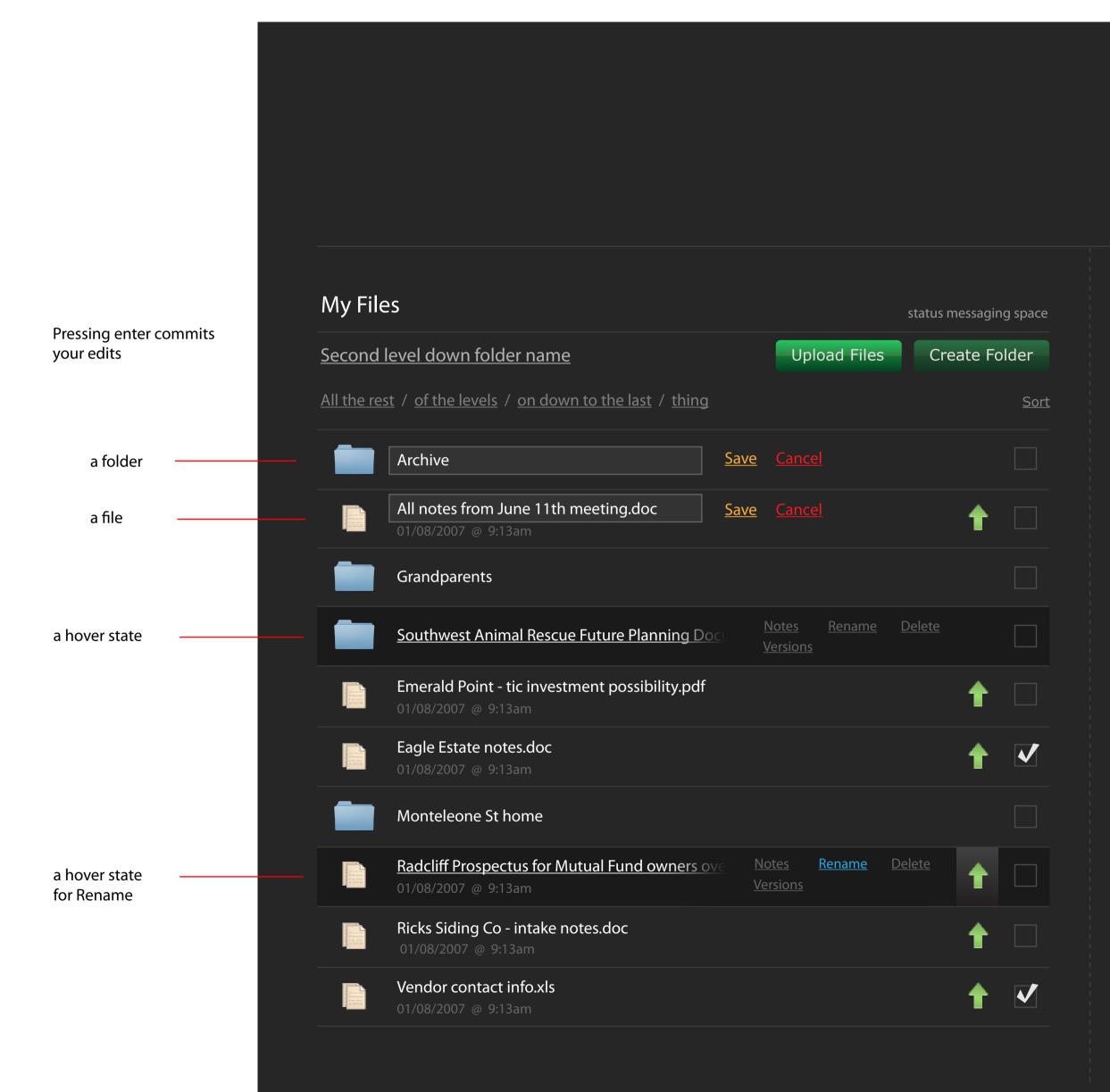
Below the active fieldset, this can be an image, or whatever type of implemenation you choose.

What I'd like to have happen is that when a person clicks within the second field, it becomes active and another row smooth-scrolls down into the picture.

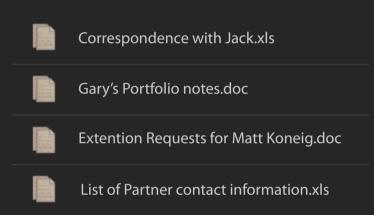
I'm wondering... is this a good way to handle the text that accompanies that browse button in browsers that require it to be there?

000	Dashboard ~ bos.qa3.c	om
🖕 - 🔶 - 🥑	🛞 🏠 🧕 http://bos.dev.qa3.com/Dashboard/Adviser.aspx	🔻 🕨 🚺 🕻 Google
Getting Started Lat	test Headlines 🔊	
G Rescour	ces ~ TICs 💿 🤤 Dashboard ~ bos.qa3.com 💿	
	Dashboard Workflow & Utilization BD CRM	
	Select an Adviser - currently Thad Smith	JEFF SPRING Logout Prefs
	Dashboard CRM My Files Products Business Planning Expertise Marketing History Announcements Workflow & Utilization Itilization Itililiz	Commissions Licensing Services
	Dashboard >	Search
	My Files status mess	saging space
	<u>Second level down folder name</u> Upload Files Create	e Folder
	<u>All the rest</u> / <u>of the levels</u> / <u>on down to the last</u> / <u>thing</u>	<u>Sort</u>
	New name (optional) Browse /Desktop/bizcard.pdf	Upload
		Upload
	Nothing yet! <u>Upload files</u>	

MyFiles - rename



Recent files



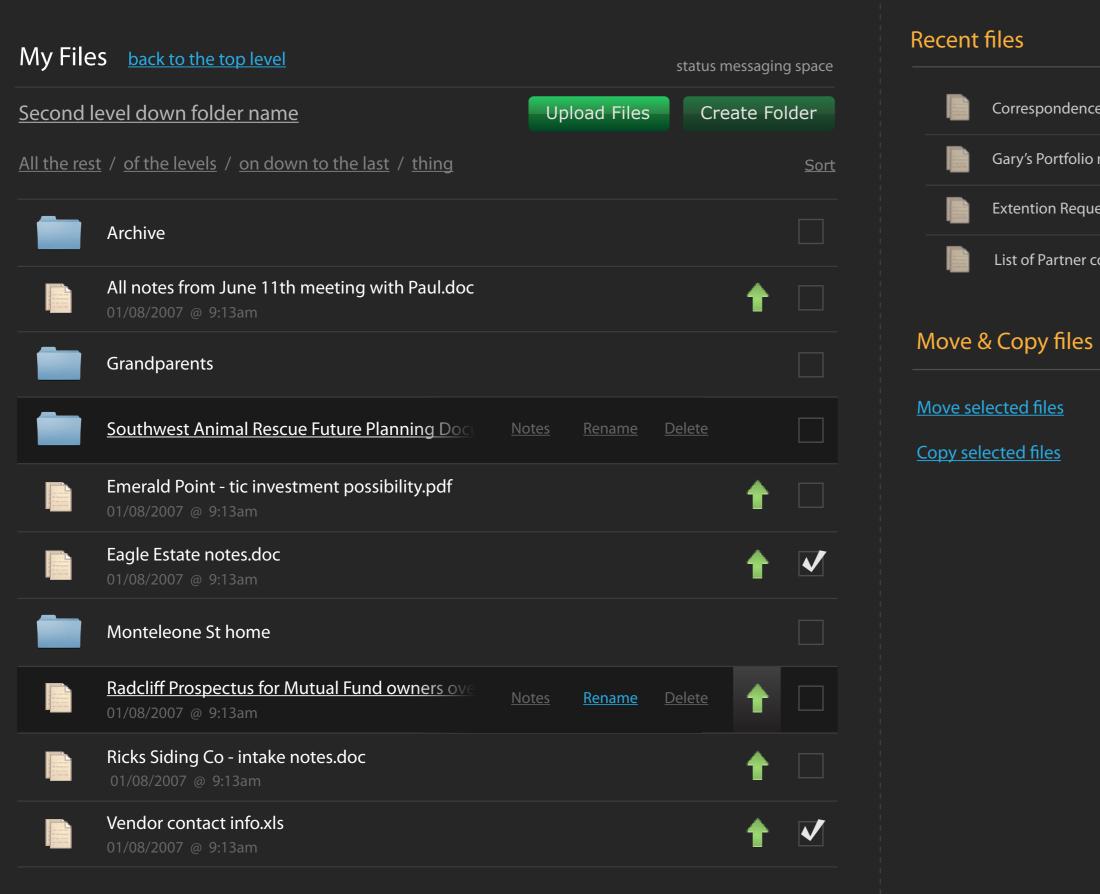
Move & Copy files



Move selected files

Copy selected files

MyFiles - move and copy / initiation



Correspondence with Jack.xls

Gary's Portfolio notes.doc

Extention Requests for Matt Koneig.doc

List of Partner contact information.xls

 \checkmark

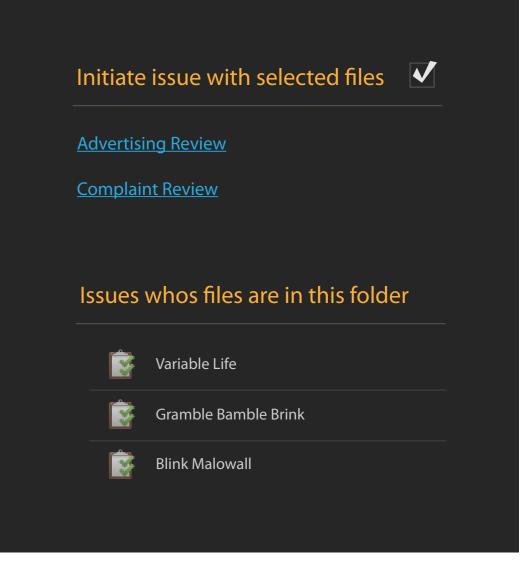
Suggested interaction

User marks a checkbox next to each file or folder they'd like to move or copy.

Then use chooses either move or copy by clicking each respective link

Suggested modification

Remove or comment out these elements



Upload Files - within MyFiles or from the instantiation wizard

This only accounts for cases when raw files of any type can be uploaded.

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It does not account for cases where there are pre-determined files that are expected by name.

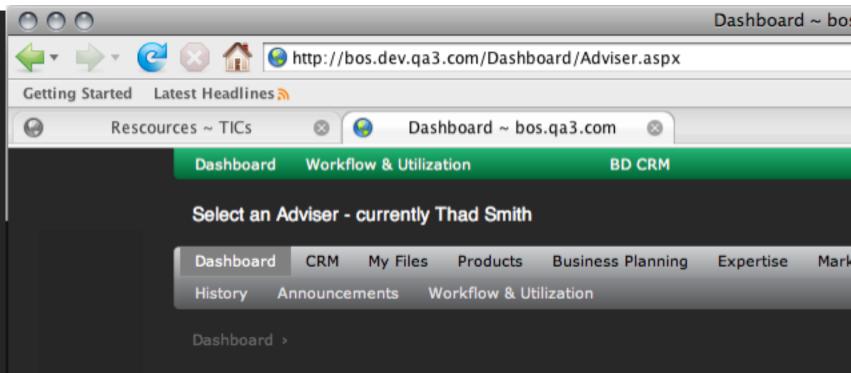
Below the active fieldset, this can be an image, or whatever type of implemenation you choose.

What I'd like to have happen is that when a person clicks within the second field, it becomes active and another row smooth-scrolls down into the picture.

I'm wondering... is this a good way to handle the text that accompanies that browse button in browsers that require it to be there?

000	Dashboard ~ bos.qa3.co	m
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etting Started La	test Headlines 🔊	
Rescour	rces ~ TICs 💿 🚱 Dashboard ~ bos.qa3.com 💿	
	Dashboard Workflow & Utilization BD CRM	
	Select an Adviser - currently Thad Smith	JEFF SPRING <u>Logout</u> <u>Prefs</u>
	Dashboard CRM My Files Products Business Planning Expertise Marketing History Announcements Workflow & Utilization Itilization Itilizat	Commissions Licensing Services
	Dashboard >	Search
	My Files status messa	aging space
	<u>Second level down folder name</u> Upload Files Create	Folder
	All the rest / of the levels / on down to the last / thing	<u>Sort</u>
	New name (optional) Browse /Desktop/bizcard.pdf	Upload
		Upload
	Nothing yet! <u>Upload files</u>	

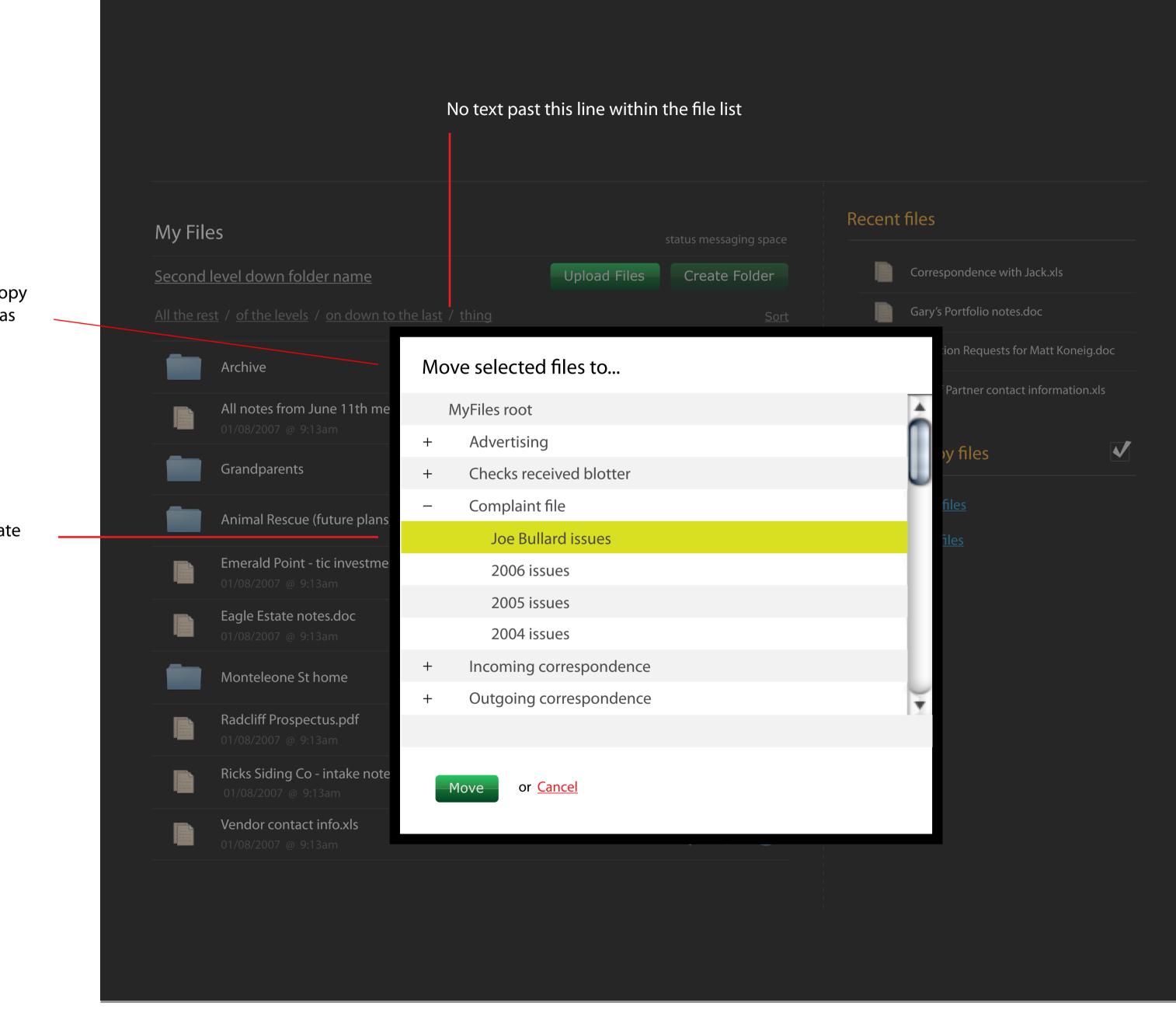
My Files - deep within the folder structure



My File	S		sta
Second l	<u>evel down folder name</u>	Upload Files	
<u>All the res</u>	t / <u>of the levels</u> / <u>on down to the last</u> / <u>thing</u>		
	Archive		
	All notes from June 11th meeting with Paul.doc 01/08/2007 @ 9:13am		
	Grandparents		
	Animal Rescue (future plans)		
	Emerald Point - tic investment possibility.pdf 01/08/2007 @ 9:13am		
	Eagle Estate notes.doc 01/08/2007 @ 9:13am		
	Monteleone St home		
	Radcliff Prospectus.pdf 01/08/2007 @ 9:13am		
	Ricks Siding Co - intake notes.doc 01/08/2007 @ 9:13am		
	Vendor contact info.xls 01/08/2007 @ 9:13am		

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Create Folder	Correspondence with Jack.xls			
Sort	Gary's Portfolio notes.doc			
	Extention Requests for Matt Koneig.doc			
	List of Partner contact information.xls			
🖊 🔶 🍵 👘				
	Initiate issue with selected files 🗸			
	Advertising Review			
	<u>Complaint Review</u>			
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· · · ·	Issues whos files are in this folder			
+ 1	Variable Life			
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MyFiles - move and copy



Move would need to say Copy when the Copy function was invoked.

Hover state

Suggested behavior

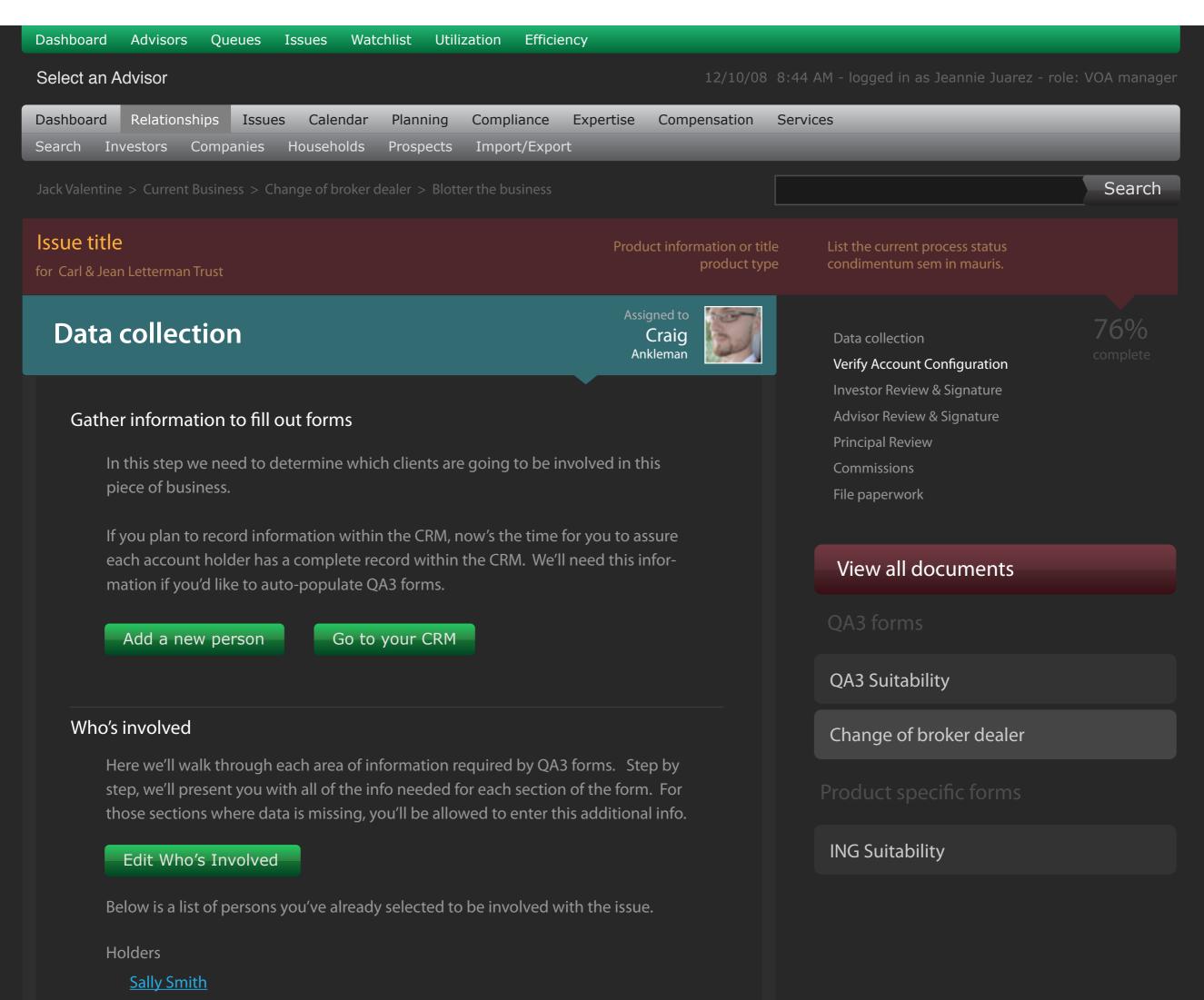
One click on a folder either

1. Selects it, if there are no folders below it, or...

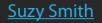
2. The folder is opened

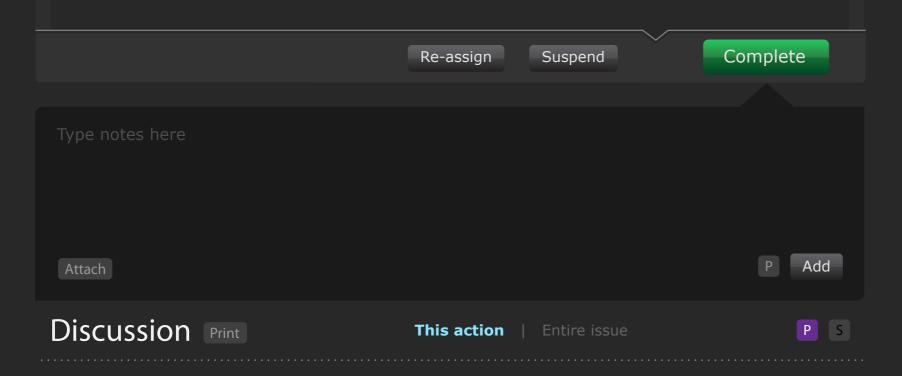
once it's open, it can be selected with a click. This click will also collapse it.

Data Collection Step

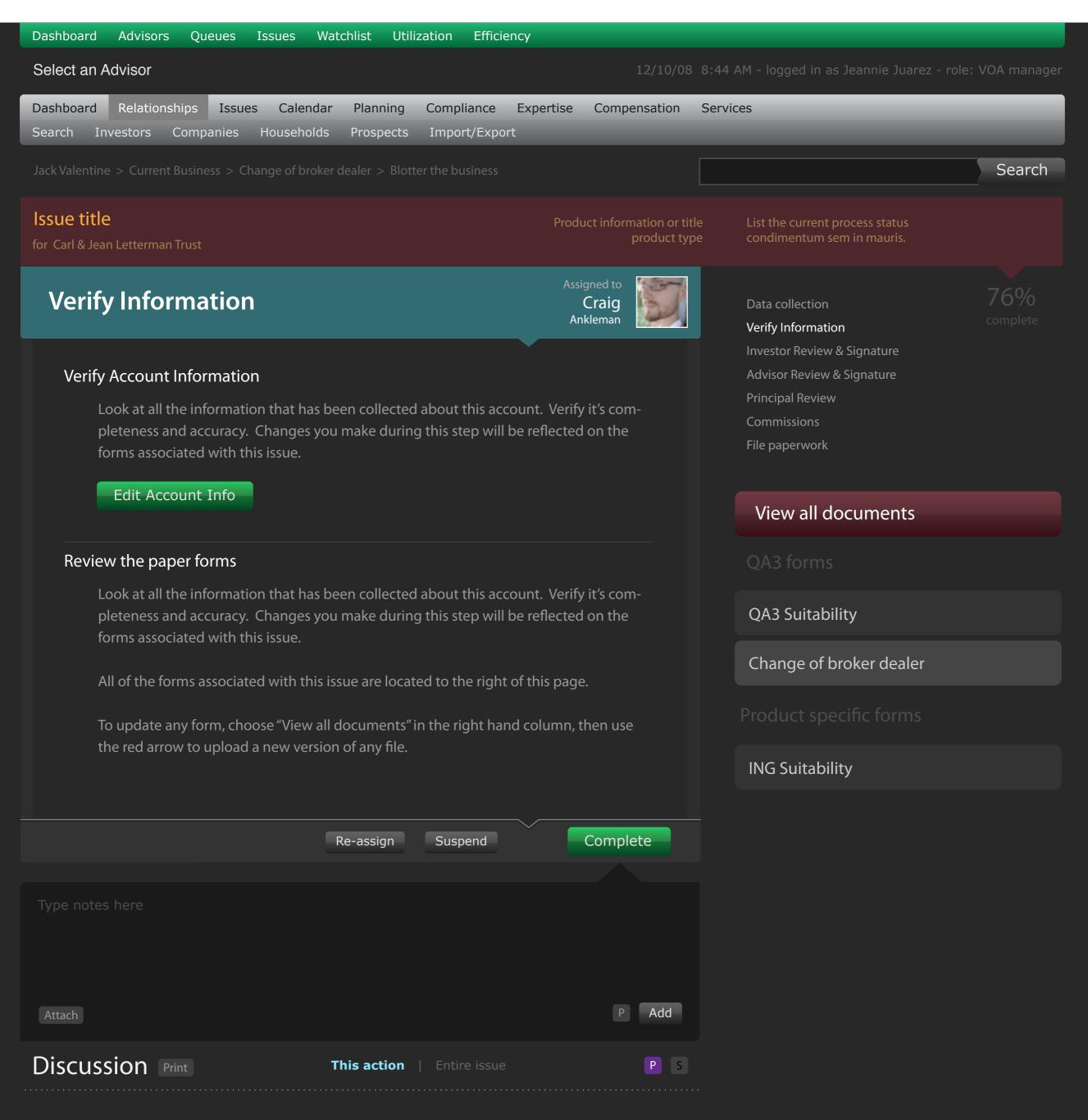


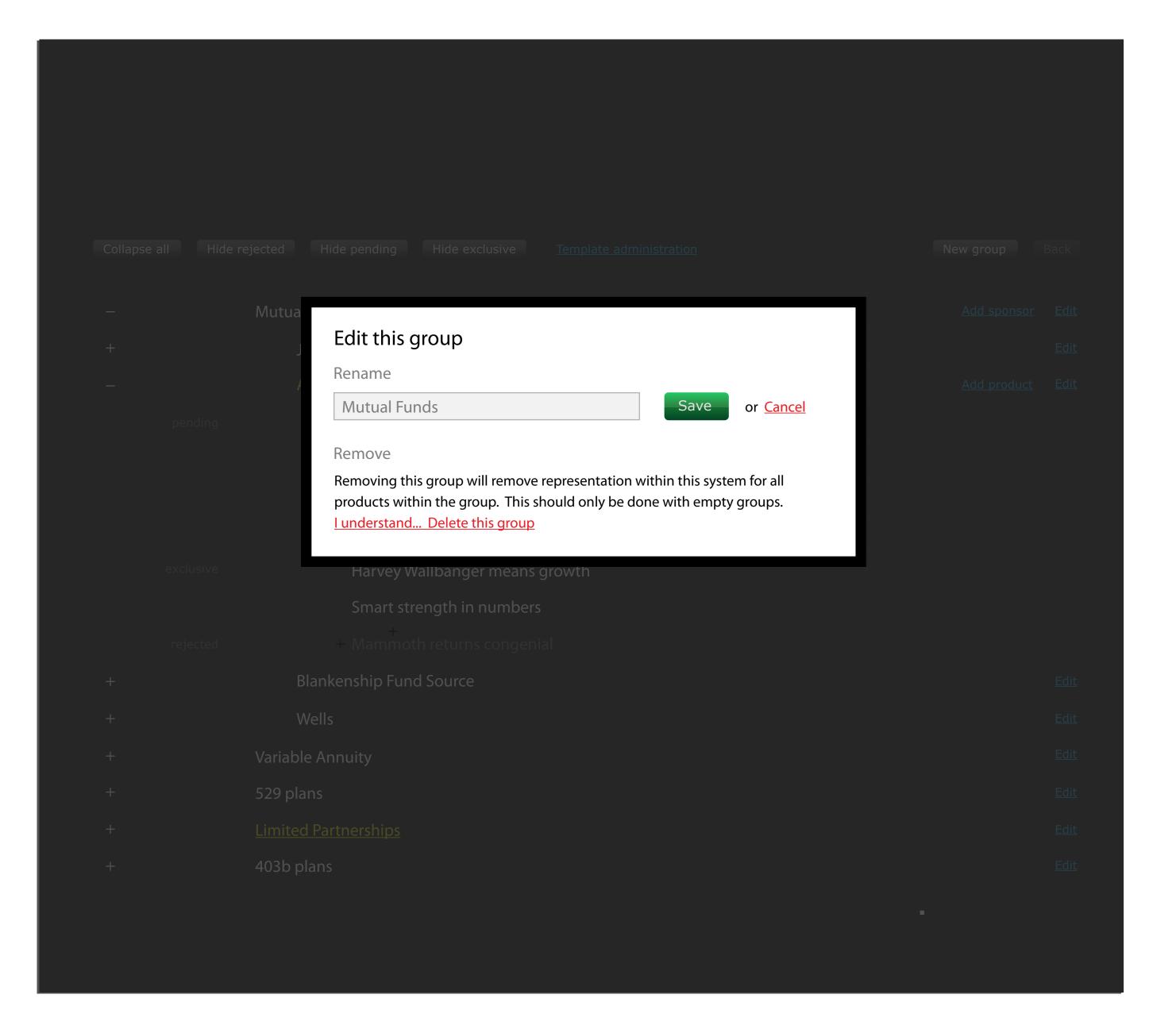
Beneficiaries

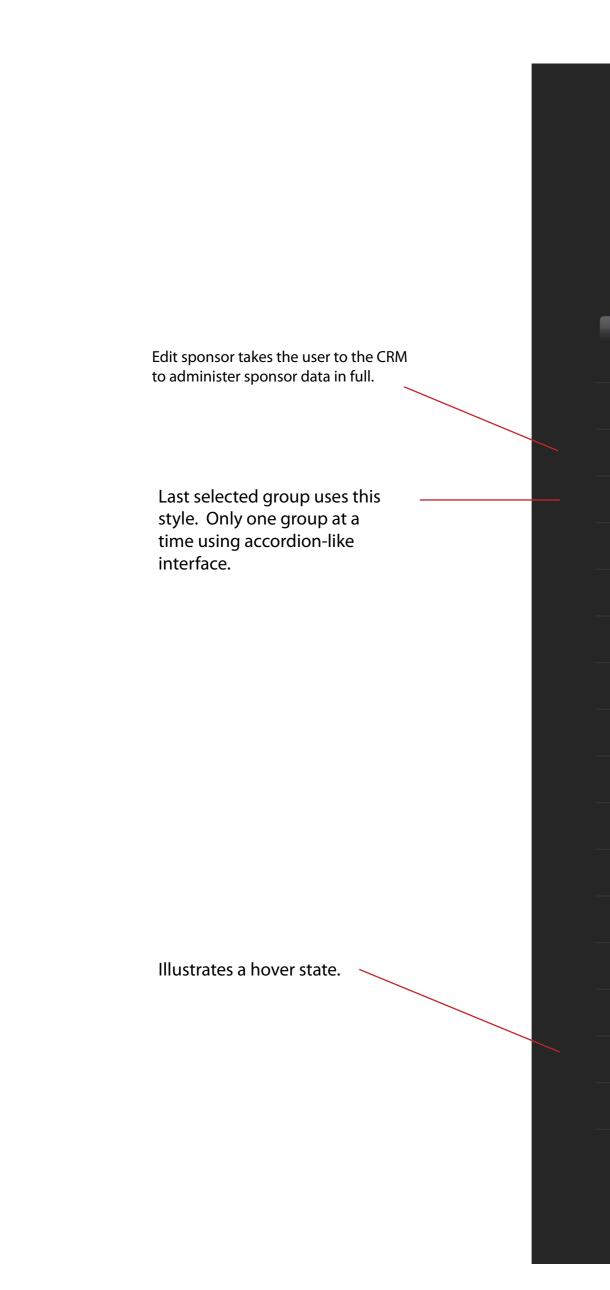




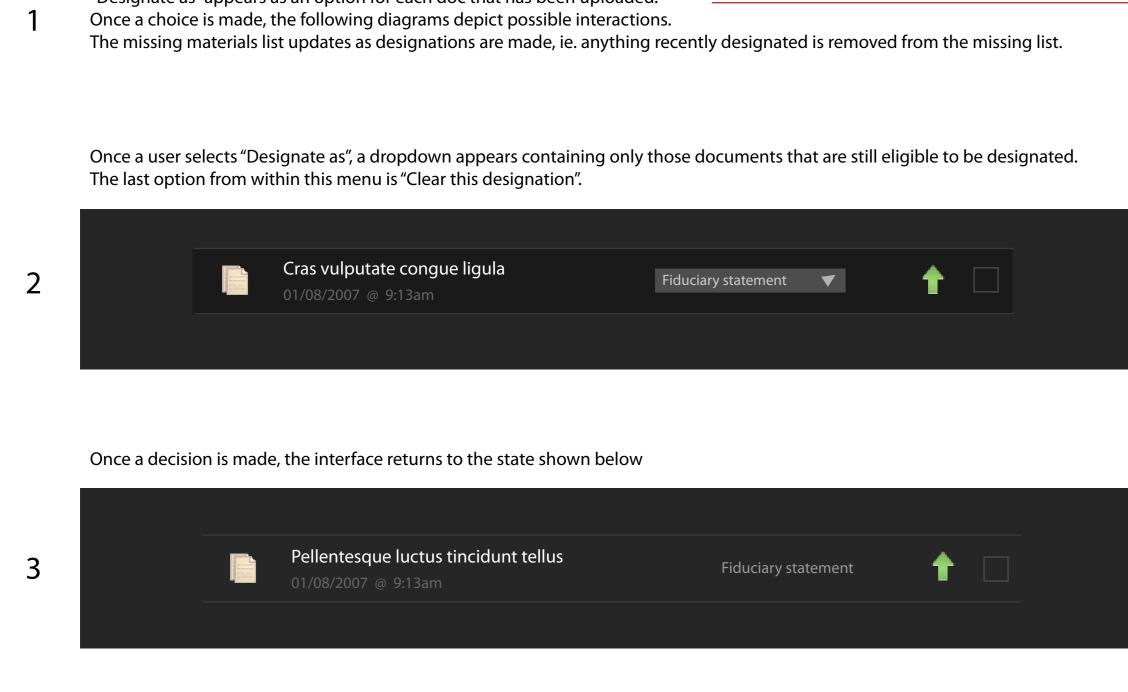
Verify Account Configuration



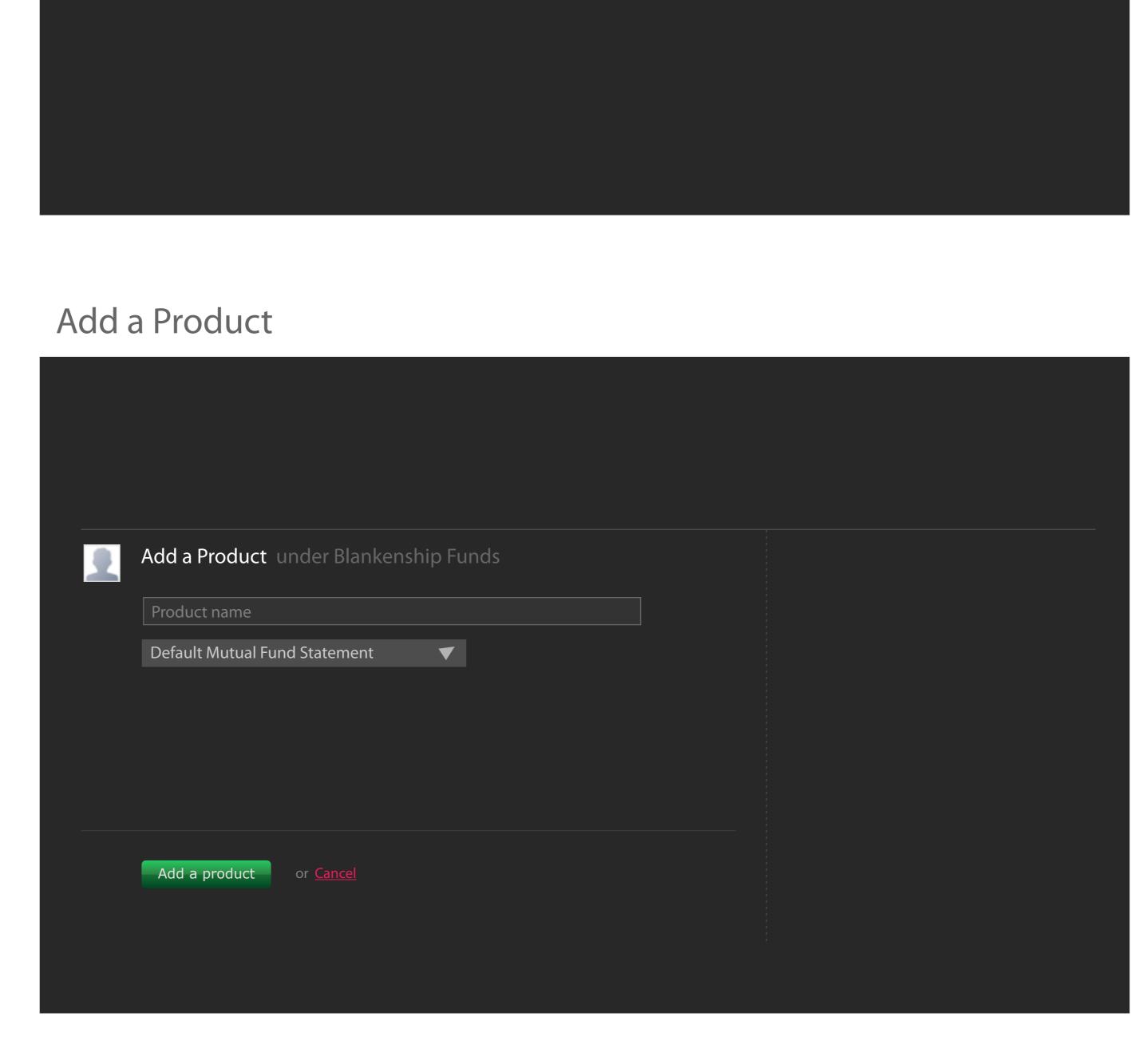


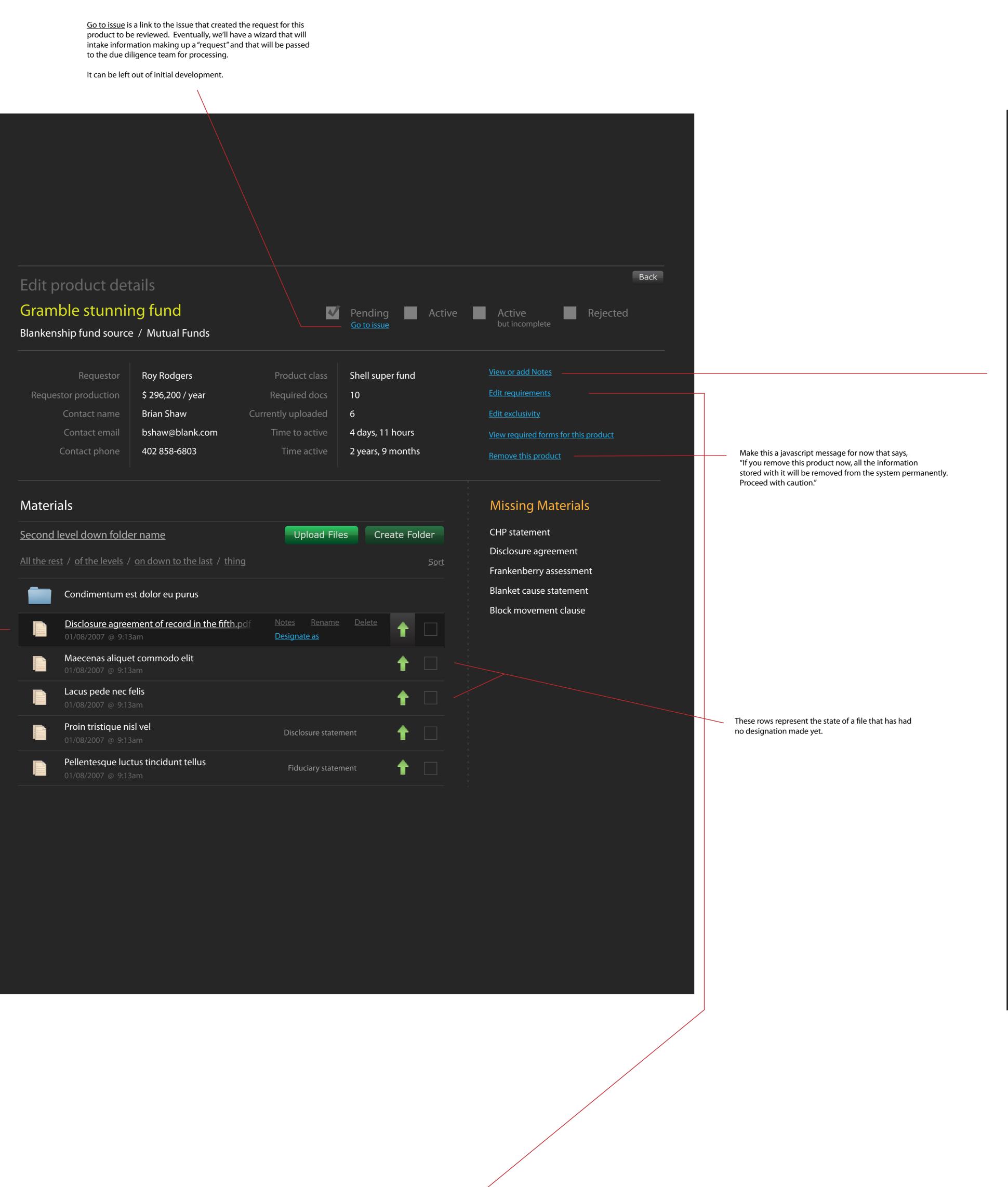


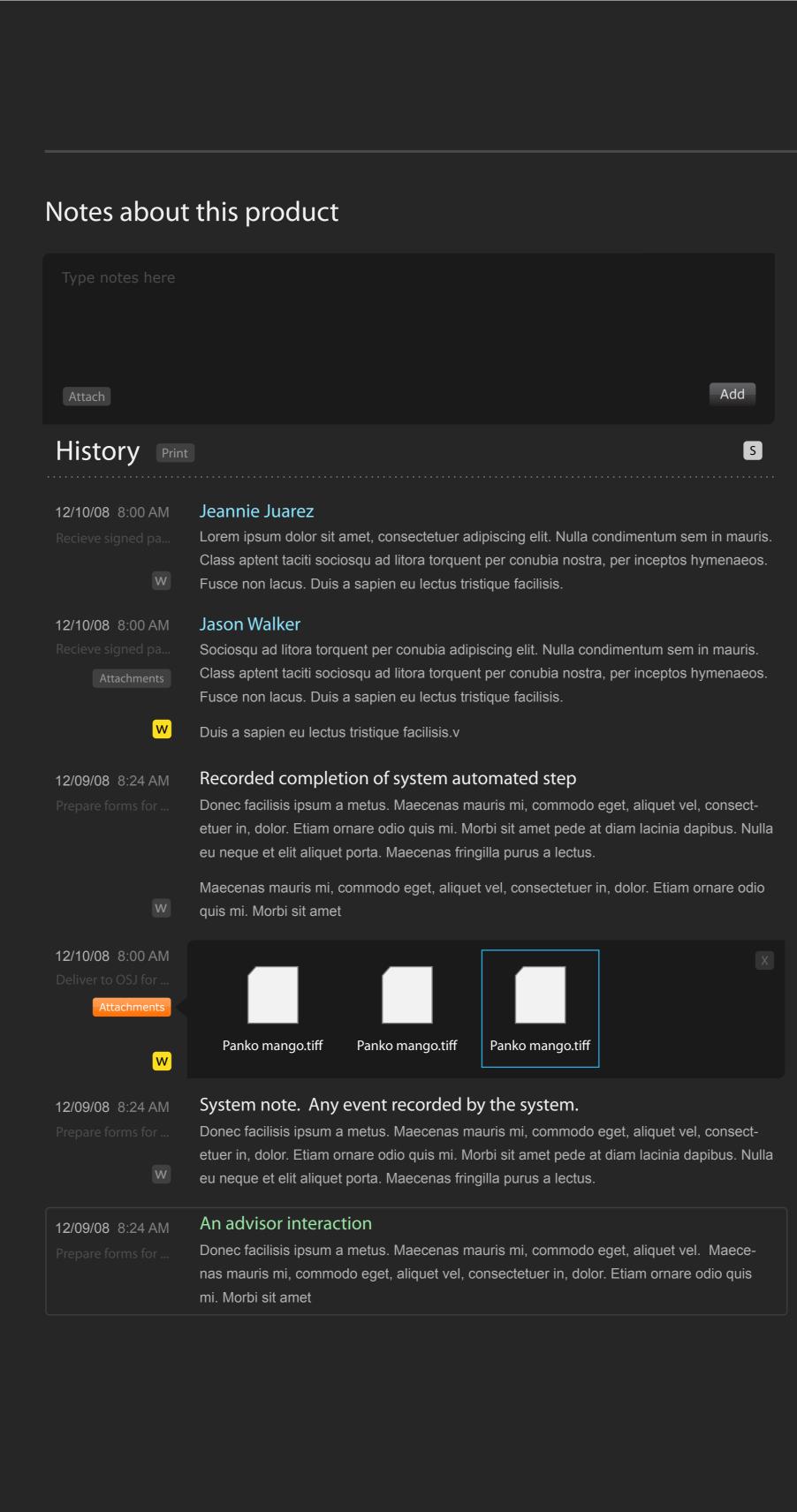
"Designate as" appears as an option for each doc that has been uploaded. Once a choice is made, the following diagrams depict possible interactions. The missing materials list updates as designations are made, ie. anything recently designated is removed from the missing list. Cras vulputate congue ligula Fiduciary statement 🔻



e rejected Hide pending Hide exclusive Add Mutual Funds Add sponsor Edit Jackson National American Funds Add product Ed Fantasy investment stabi Beefy return extraveganza Collapse all Hide rejected Hide pending Hide exclusive <u>Template administration</u> New group B Mutual Funds Add sponsor Edi American Funds Cocktail Funds Edit Add product Ed Fantasy investment stability Beefy return extraveganza Deal of the decade Grennich aggressive growth Harvey Wallbanger means growth Smart strength in numbers Blankenship Fund Source Wells Variable Annuity 529 plans Limited Partnerships 403b plans





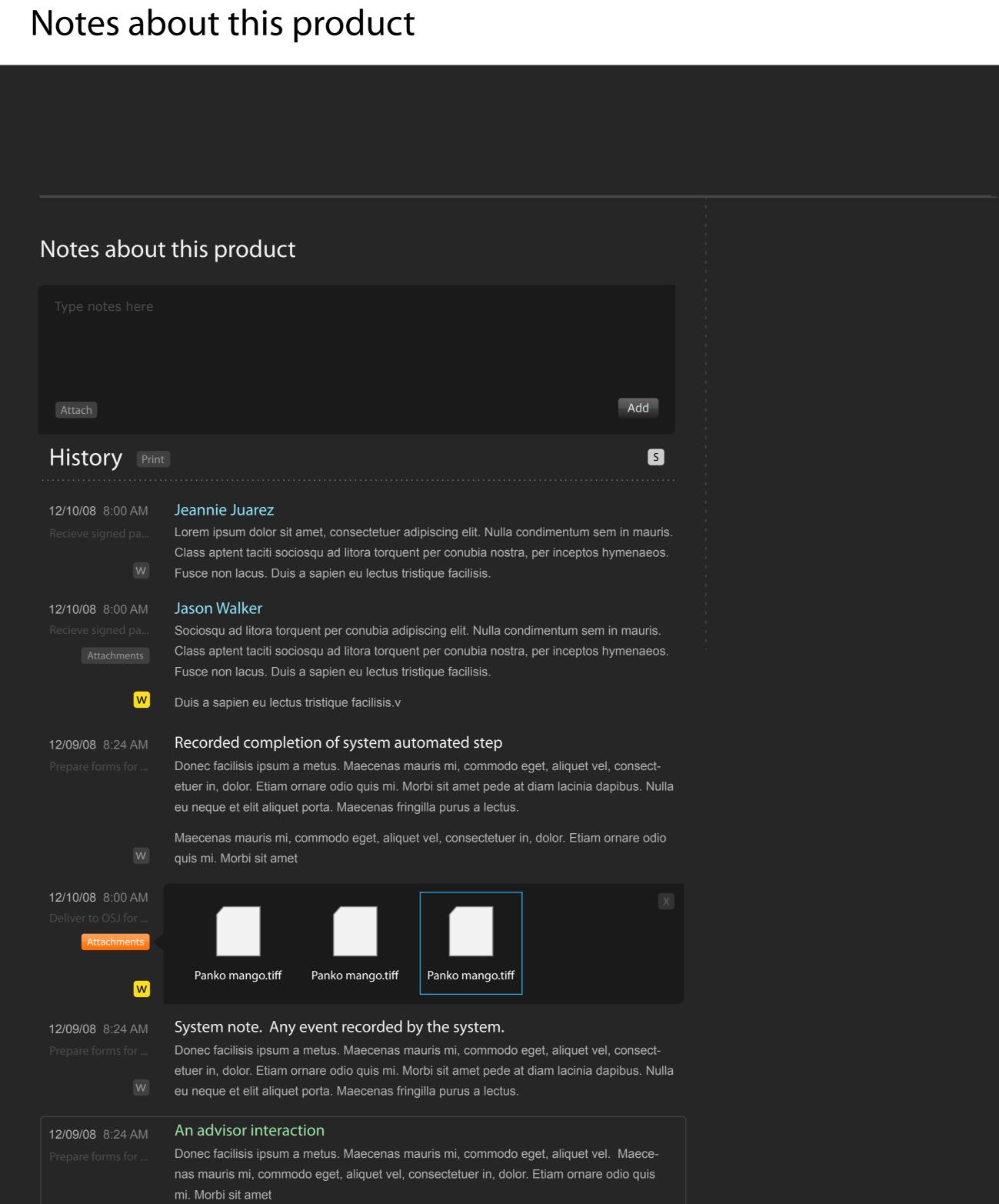


Edit requirements FOR THIS PRODUCT ONLY

Edit requirements for Gramble stunning fund		
Materials Data points		Clear this information and <u>apply the default templa</u>
Name	Add	
Discosure agreement	Remove	
Frankenberry assessment	Remove	
Block movement clause	Remove	
General pain in the ass statement	Remove	
Other piece of important paperwork	Remove	
External reporting document	Remove	
Financial Statement	Remove	

Add a Sponsor Company





Visit this person in the BD CRM 🔍

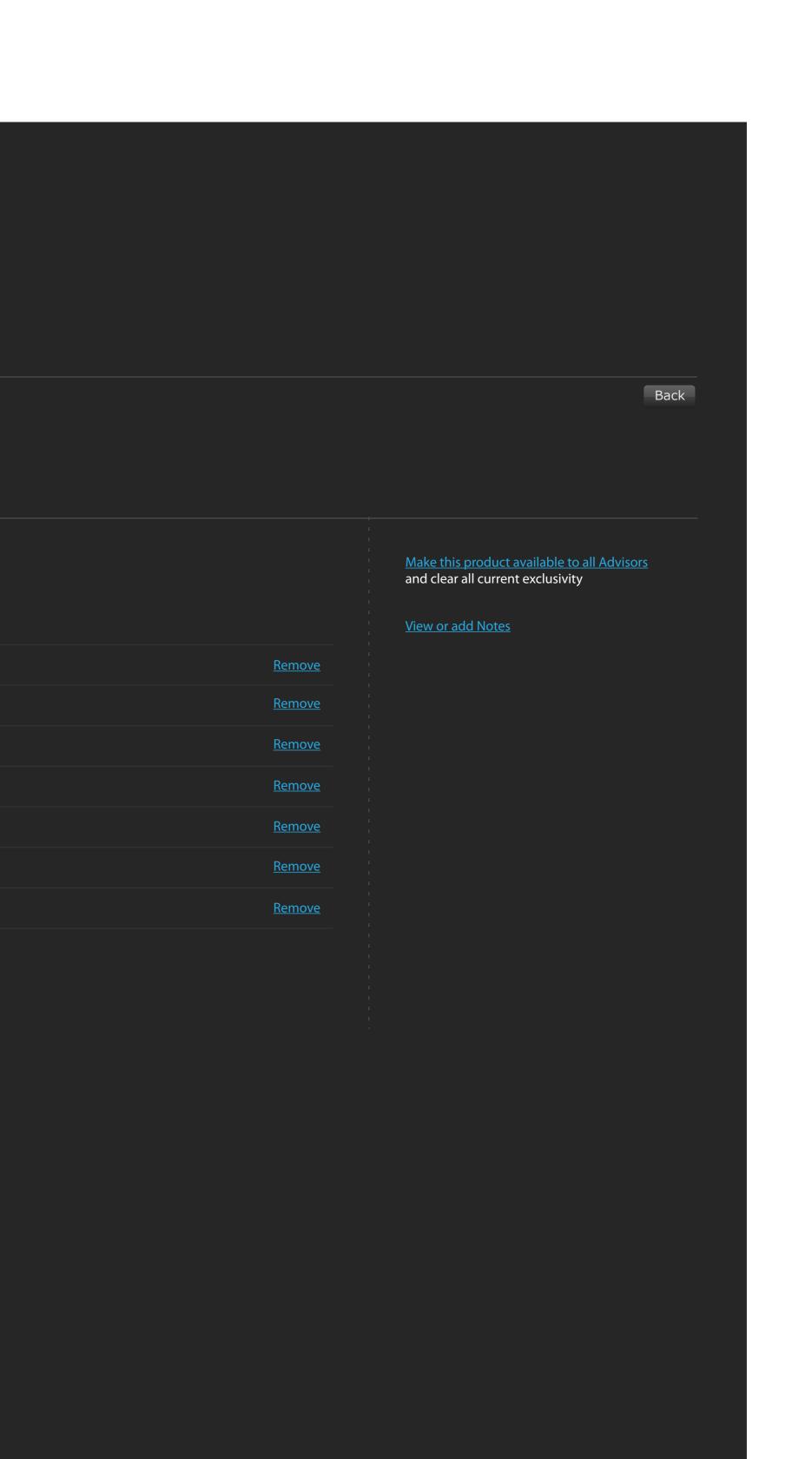
Edit exclusivity

dit exclusivity Gramble stunning fund Blankenship fund source / Mutual Funds Search for an Advisor Paul Brusselsprout Grant Lindeman Larry Ferguson Carl Lamberti Gunner Wisdomen <u>Rodger Hammerman</u> Gary Larson

Template administration

Template Administration Mutual Funds Default Mutual Fund template American Funds special Needs high monitoring Fringe market fund type + Variable Annuity + 529 plans + <u>Limited Partnerships</u> + 403b plans

Andy, I wanted to be clear here that any template that's deleted is mearly "no longer offered" as a choice within the "new product" interface detailed elsewhere in this document. What I'm saying here is that they will still need to be used for any product that has had them applied. This is based on the thought that ever product stores its template as unique to that product. If a user chooses remove, that template will simply no longer be offered as an option when a new product is created. I actually don't even think that a javascript prompt is necessary here.

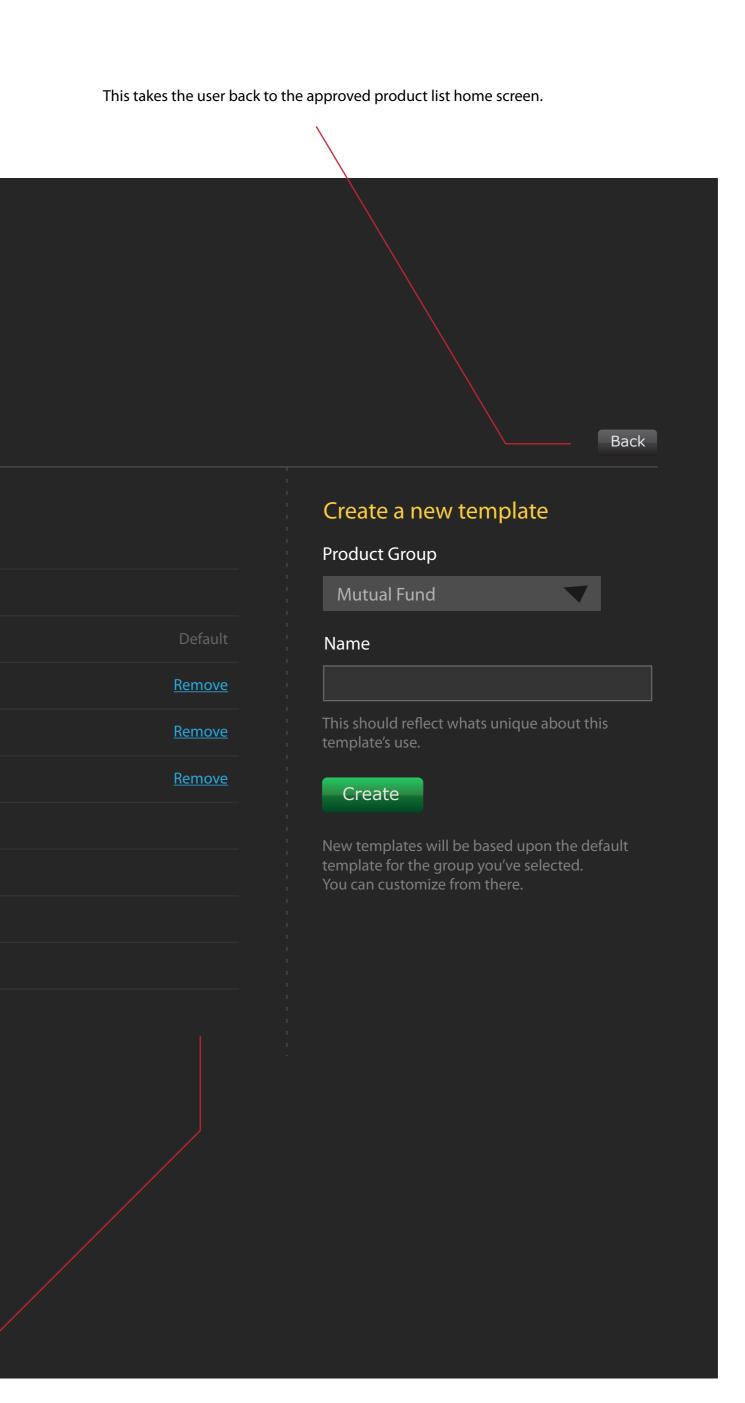


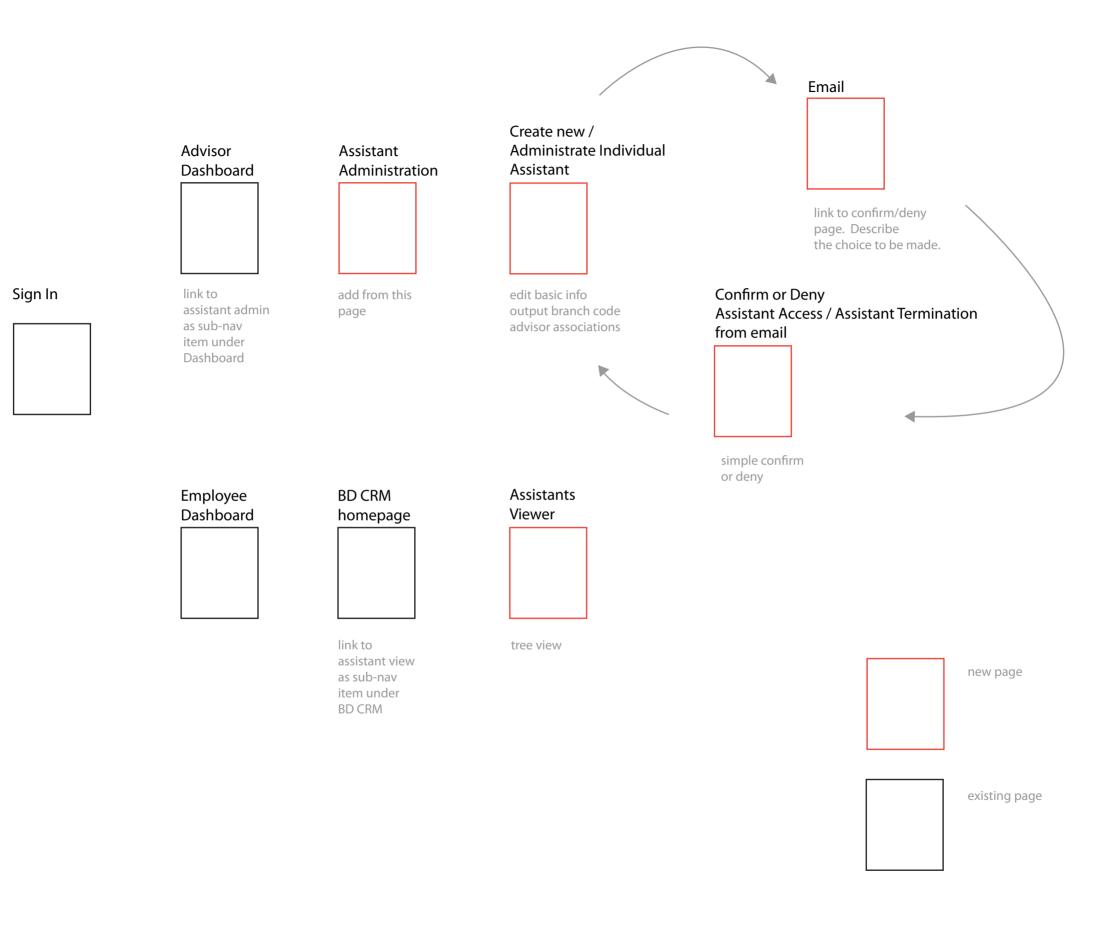
Edit required data list

Template administrati				В
American Funds speci	ial			
Materials Data points				Clear this information and <u>apply the default tem</u>
Field Label	Data type	Va	alue	Add
Field Label	Data type		alue	<u>Remove</u>
Field Label	Data type	Va	alue	<u>Remove</u>
Field Label	Data type	Va	alue	Remove
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Field Label	Data type	Va	alue	<u>Remove</u>
Field Label	Data type	Va	alue	<u>Remove</u>
Field Label	Data type	Va	alue	<u>Remove</u>

Edit required materials list

Template administration	Bac
American Funds special	
Materials Data points	Clear this information and <u>apply the default templ</u>
Name	Add
Discosure agreement	Remove
Frankenberry assessment	Remove
Block movement clause	Remove
General pain in the ass statement	Remove
Other piece of important paperwork	Remove
External reporting document	<u>Remove</u>
Financial Statement	Remove





Accounts - existing

Account		Known about the issue
Account		For Jack Valentine Initiator Jeannie Juarez on 01/28/08 8:24 am
Existing account New Find an account owner	w account Not applicable Accounts	
James Lipton	Pilgrim Star Account 8929003Venture Life 7363722211Grenwald Common 84397238	Other ways to initiate an issue Select a product Browse categorized list
Existing accounts involved <u>Pilgrim Star Account 8929003</u>		<u>Search for a person</u> <u>View recent issues I've created</u>
Continue or <u>Cancel</u>		

Accounts - new

Ad	ccount		Known about the issue
ccount			For Jack Valentine Initiator Jeannie Juarez on 01/28/08 8:24 am
Exist	ing account 🛛 🗹 New ac	count 📕 Not applicable	
Name of	account owner		
Anything	g else here?		Other ways to initiate an issue
			Select a product
anagement			<u>Browse categorized list</u> <u>Search for a person</u>
Man	aged 🛛 🗸 Not Ma	naged	View recent issues I've created
egistration			
Indiv	vidual	IRA	
Joint	t	IRA Rollover	
Trus	t	SEP	
Corp	ooration	403(b)	
529		Other	
<u>Add more r</u>	registration detail - You can do this l	ater	
ustodian			
Pers	hing	ING	
Was	hington Mutual	Inland	
Tim		CNL	
CNB		WCL	
Johr	n Hancock	Alliance	
🚺 Well	S	QA ³	
SLC		Other	
Add more o	custodian detail - You can do this lat	er	
ources of func	ding		
Tran	sfer in kind	Transfer and liquidate	
Cheo	ck	Rollover	
E ulet	ting	Other	

	ח	

Continue

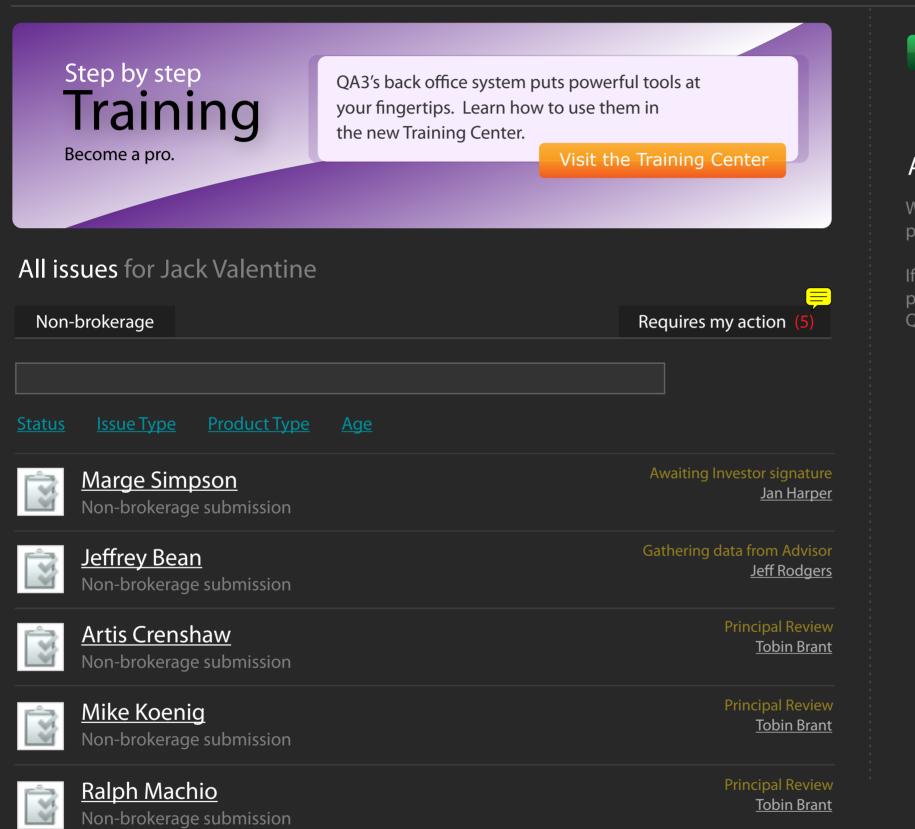
Timeline & Handling

	Timeline & Handling	Known about the issue
Timeline & Handling		For Jack Valentine Initiator Jeannie Juarez on 01/28/08 8:24 am
Next appointment, when do you	want this done by ?	
August 5th, 2008		
August, 2008	Time	Other ways to initiate an issue
1 2 3 4 5 6 1 2 3 4 5 6	7 7	Select a product
1 2 3 4 5 6 1 2 3 4 5 6	7 7	Browse categorized list
1 2 3 4 5 6	7	Search for a person
		View recent issues I've created
Paperwork handling		
Send to the Advisor	Send to the Investor(s)	
Electronically	Choose a shipping method	



or <u>Cancel</u>

Advisor Dashboard



Non-brokerage submission

Announcements

Welcome to Advisor Desktop Plus, your online process and practice management tool

If you have any questions about the system please contact a member of the QA3 Home Office.

Ad Review Instantiation - Step 1 - Describe your material

1aterial		Known about the issue
Describe your material	Ad Review Step 1 of 4	For Jack Valentine Material Print, Postal / Bus card on 01/28/08 8:24 am
Source of the material		
O Jack Valentine O Third-	-Party	
Type of material to be reviewed		Other ways to initiate this issue
Online / Website Print / Mag. Newsp.	Video / Television	Select files from your vault
Presentation Postal / Bus card	Audio / Radio	
Description of the material		
What is the material?		
Are there any special instructions for use when review	ing the material?	
Who is the intended audience of this material?		

Sharing

QA3 maintains a database of approved advertising that all Advisors may use. You can choose to share this materials for others to use, or mark it proprietary if you'd like your material to remain private.

Share my material with other Advisors **O** This material is proprietary

Continue or <u>Cancel</u>

Ad Review Instantiation - Step 1

Describe your request	Describe your request Sup 1 of 3 Source of material Jack Valentine Mame Add another Material to be reviewed with this request Presentation Postal / Bus card Add another Material to be reviewed with this request Online / Website Print / Mag. Newsp. Video / Television Add another Material to be reviewed with this request Online / Website Print / Mag. Newsp. Video / Television Add another Material to be reviewed with this request Online / Website Print / Mag. Newsp. Video / Television Presentation Postal / Bus card Video / Television Add another Material to be reviewed with this request Online / Website Print / Mag. Newsp. Video / Television Presentation Postal / Bus card Add another
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	Compliance
	Compliance detail
	Date of first use
	This must be imprinted on all sales literature
	Date 9
	NASD involvement
	If you advertising mentions Mutual Funds, Va Securities, CMO's, DPP's, UIT's, or Options, it r
	Please file with NASD Advertising Regu (filing fee applies)
	This piece has already been filed with the copy of the NASD Review Letter. (on the copy of the NASD Review Letter.)
	Licensed use
	Are you licensed in each state in which this a
	Yes
	Describe why this should still be considered
d	
	Continue or <u>Cancel</u>

Is this at all appropriate or...

If they don't check the box saying they're licensed, they don't get to continue.

This is a bad interaction... find out why this should be here and why this should be asked this way.

Also, in this configuration, this text box and the dotted line above it do not exist when yes radio is marked.



Step 2 of 4

ariable products, Government nust be filed with the NASD.

lation Department

ne NASD. Attached to this issue is a

advertising will be used?

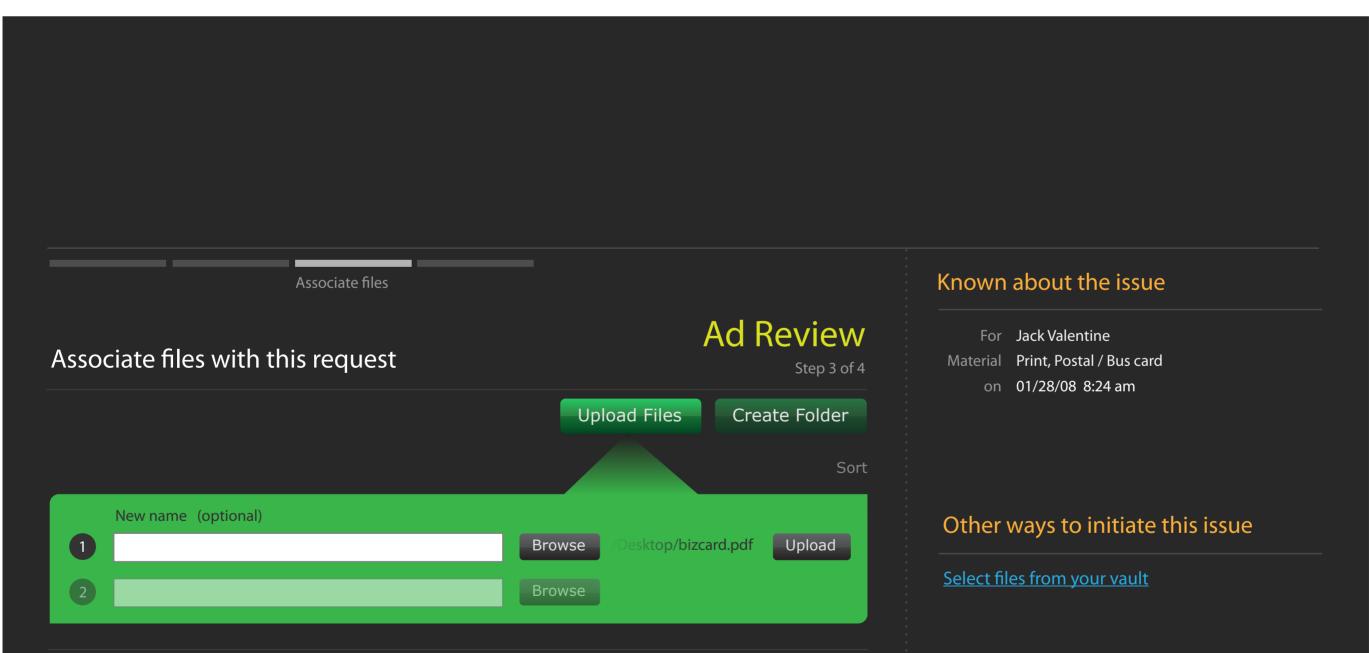
No No

Ad Review Instatiation - Step 3 - Associate files with the request

Associate files		Known about the issue
Associate files with this request	Ad Review Step 3 of 4	For Jack Valentine Material Print, Postal / Bus card on 01/28/08 8:24 am
Upload F	Files Create Folder	01720/00 0.24 011
	Sort	
		Other ways to initiate this issue
Nothing yet! <u>Upload files</u>		Select files from your vault

Continue or <u>Ca</u>

Ad Review instantiation - Step 3 - Upload interaction



	Nothing yet! <u>Upload files</u>	
Continue or <u>Cancel</u>		