

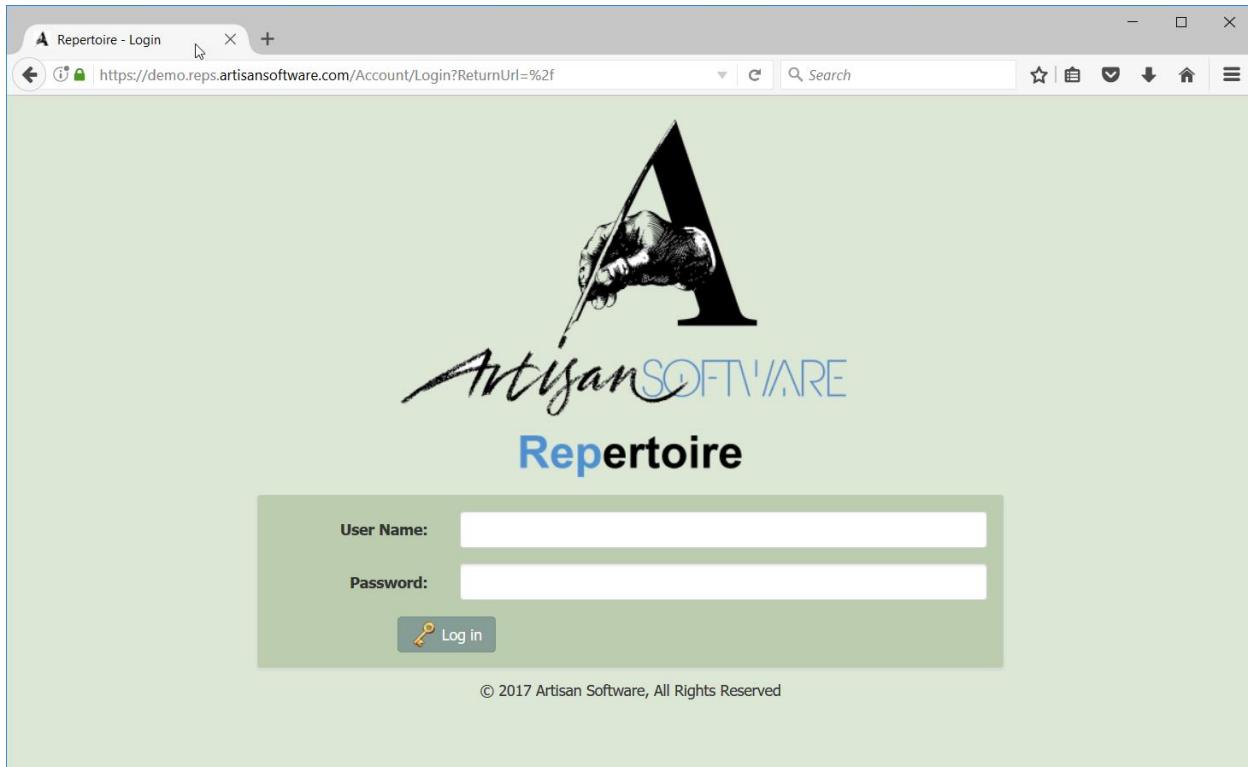
Web **Re**portoire

User Guide

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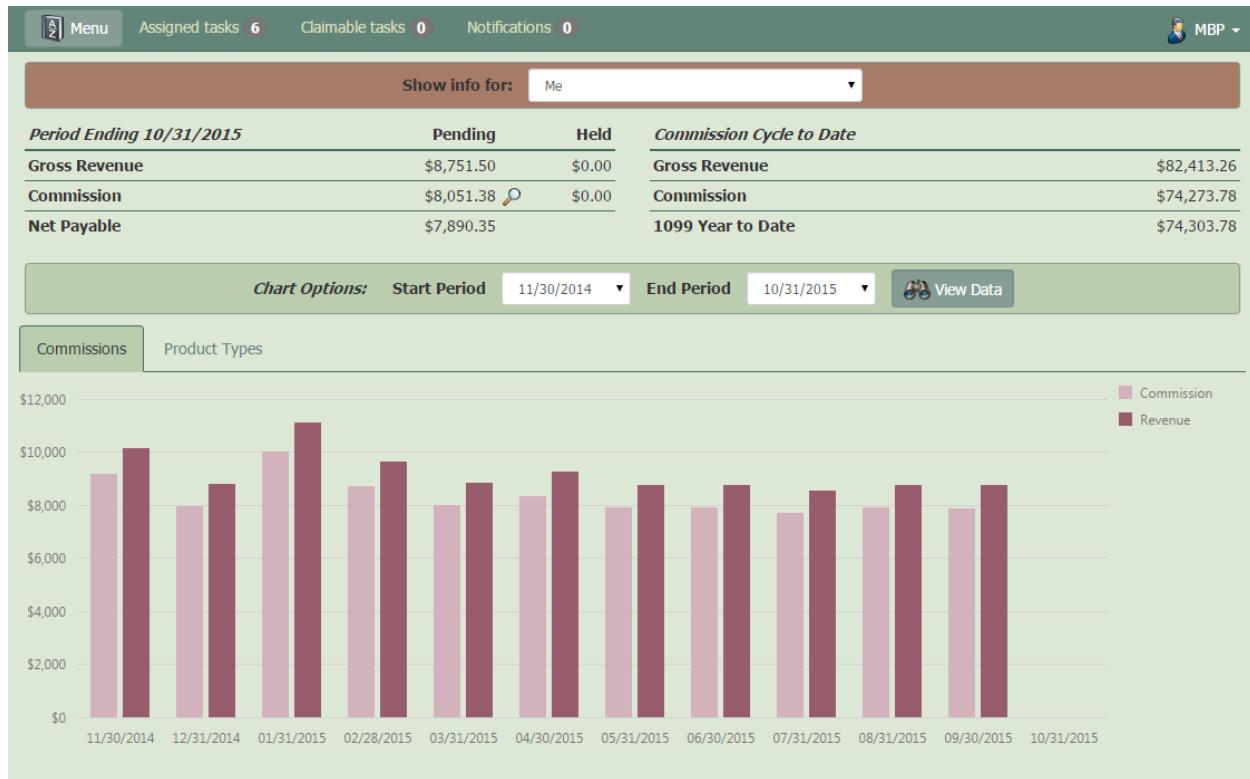


Your login id is your Rep number

You should have been assigned a Temporary Password

Initial Login Screen

Once you log in, Repertoire will display your Commission Summary screen. Click the Menu button to navigate to other screens.



Main Menu



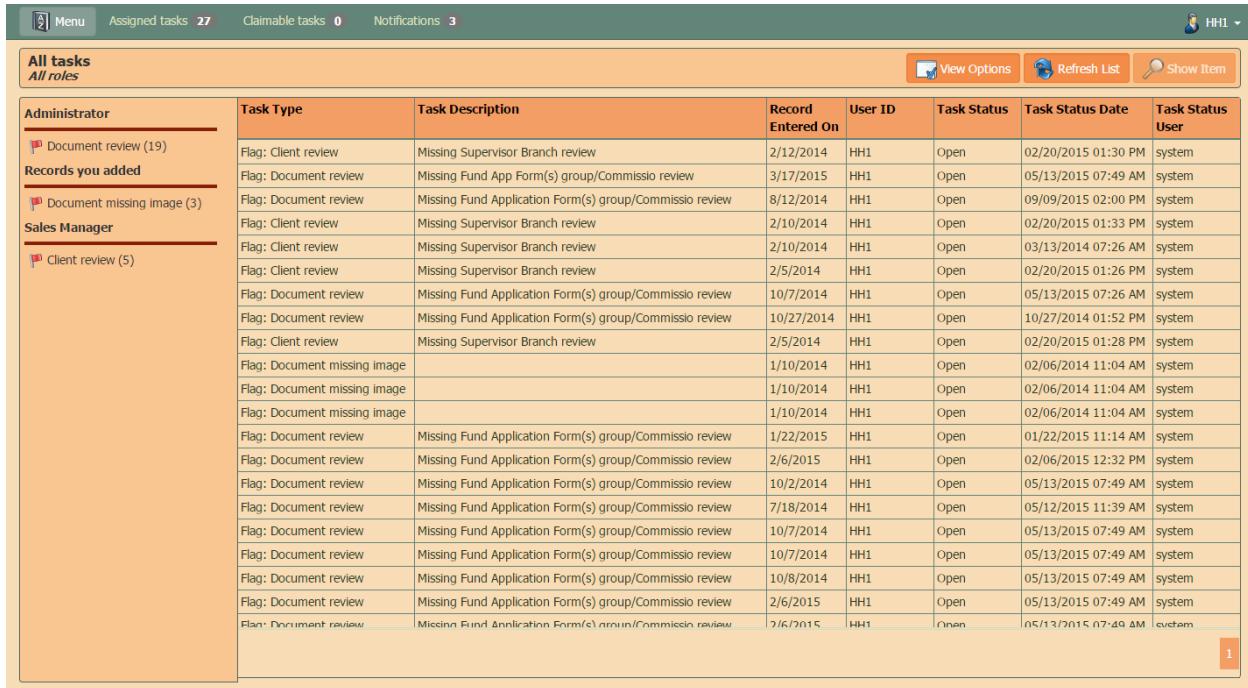
 Menu	Menu – Takes you to the Main Menu and is always located in the upper left corner of the screen.
Assigned tasks 152 Claimable tasks 5	Shows the number of tasks available to work on. Both task buttons take you to the dashboard to view a summary of tasks.
Notifications 13	Shows the number of notifications you have. The button takes you to the notification screen.

Workflow

Tasks - Dashboard

The Dashboard allows you to see your items as they move through the workflow process.

Tasks seen here require your attention before they are approved and active. Double click on an item to bring up that record so you can resolve the issue. Or, click the task to highlight it and then use the show item button.

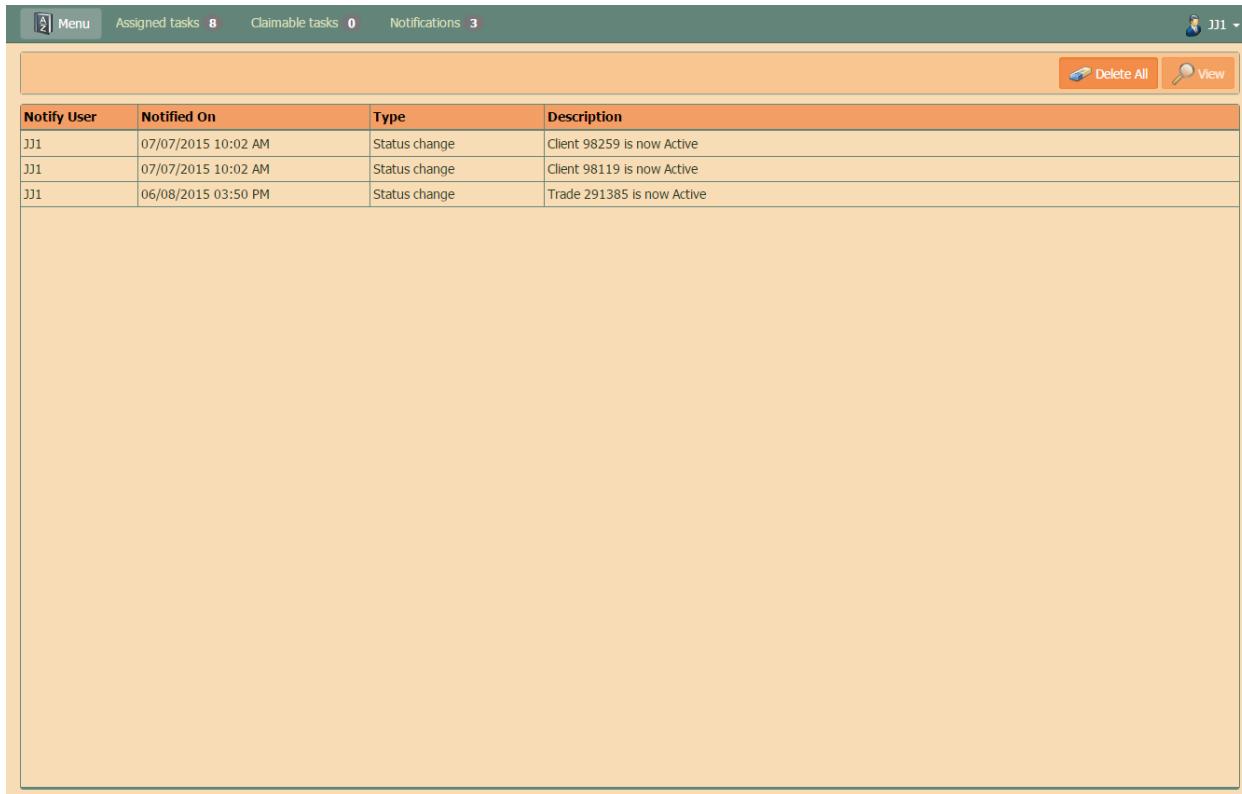


The screenshot shows a software interface for managing tasks. At the top, there is a navigation bar with 'Menu', 'Assigned tasks 27', 'Claimable tasks 0', 'Notifications 3', and a user icon 'HH1'. Below the navigation bar is a search bar with the placeholder 'All tasks All roles'. The main area is a table titled 'All tasks' with the following columns: 'Task Type', 'Task Description', 'Record Entered On', 'User ID', 'Task Status', 'Task Status Date', and 'Task Status User'. The table lists numerous tasks, primarily 'Flag: Document review' and 'Flag: Client review', with descriptions like 'Missing Supervisor Branch review' and 'Missing Fund Application Form(s) group/Commission review'. The tasks are sorted by 'Record Entered On' in descending order, with the most recent task being 'Flag: Document review' on 5/13/2015 at 07:49 AM for user HH1. The table has a light orange background and a white header row. The left side of the table has a sidebar with sections for 'Administrator' (19 tasks), 'Records you added' (3 tasks), and 'Sales Manager' (5 tasks), each with a 'Document review' icon.

All tasks							
All roles							
Administrator	Task Type	Task Description	Record Entered On	User ID	Task Status	Task Status Date	Task Status User
	Flag: Document review	Missing Supervisor Branch review	2/12/2014	HH1	Open	02/20/2015 01:30 PM	system
	Flag: Document review	Missing Fund App Form(s) group/Commission review	3/17/2015	HH1	Open	05/13/2015 07:49 AM	system
	Flag: Document review	Missing Fund Application Form(s) group/Commission review	8/12/2014	HH1	Open	09/09/2015 02:00 PM	system
	Flag: Client review	Missing Supervisor Branch review	2/10/2014	HH1	Open	02/20/2015 01:33 PM	system
	Flag: Client review	Missing Supervisor Branch review	2/10/2014	HH1	Open	03/13/2014 07:26 AM	system
	Flag: Client review	Missing Supervisor Branch review	2/5/2014	HH1	Open	02/20/2015 01:26 PM	system
	Flag: Document review	Missing Fund Application Form(s) group/Commission review	10/7/2014	HH1	Open	05/13/2015 07:26 AM	system
	Flag: Document review	Missing Fund Application Form(s) group/Commission review	10/27/2014	HH1	Open	10/27/2014 01:52 PM	system
	Flag: Client review	Missing Supervisor Branch review	2/5/2014	HH1	Open	02/20/2015 01:28 PM	system
	Flag: Document missing image		1/10/2014	HH1	Open	02/06/2014 11:04 AM	system
	Flag: Document missing image		1/10/2014	HH1	Open	02/06/2014 11:04 AM	system
	Flag: Document review	Missing Fund Application Form(s) group/Commission review	1/22/2015	HH1	Open	01/22/2015 11:14 AM	system
	Flag: Document review	Missing Fund Application Form(s) group/Commission review	2/6/2015	HH1	Open	02/06/2015 12:32 PM	system
	Flag: Document review	Missing Fund Application Form(s) group/Commission review	10/2/2014	HH1	Open	05/13/2015 07:49 AM	system
	Flag: Document review	Missing Fund Application Form(s) group/Commission review	7/18/2014	HH1	Open	05/12/2015 11:39 AM	system
	Flag: Document review	Missing Fund Application Form(s) group/Commission review	10/7/2014	HH1	Open	05/13/2015 07:49 AM	system
	Flag: Document review	Missing Fund Application Form(s) group/Commission review	10/7/2014	HH1	Open	05/13/2015 07:49 AM	system
	Flag: Document review	Missing Fund Application Form(s) group/Commission review	10/8/2014	HH1	Open	05/13/2015 07:49 AM	system
	Flag: Document review	Missing Fund Application Form(s) group/Commission review	2/6/2015	HH1	Open	05/13/2015 07:49 AM	system
	Flag: Document review	Missing Fund Application Form(s) group/Commission review	2/6/2015	HH1	Open	05/13/2015 07:49 AM	system

Notifications

The system will notify you when a Client or Trade is approved and becomes active. This is your indication from the home office that they have the required information and you can move onto the next step if there is one. For example, you may need to send the paperwork to the investment company now.



Notify User	Notified On	Type	Description
JJ1	07/07/2015 10:02 AM	Status change	Client 98259 is now Active
JJ1	07/07/2015 10:02 AM	Status change	Client 98119 is now Active
JJ1	06/08/2015 03:50 PM	Status change	Trade 291385 is now Active

Once a Notification is viewed, it will be cleared and no longer display in this screen. Use the Delete All button to remove all the Notifications on the screen without having to view each one.

New Business

This is an overview of:

Business waiting to be submitted	This is new business that you started entering but haven't finished. You can come back at any time to complete the information and submit it to the back office.
Business Pending in the Back Office	Trades or Clients that have been submitted to the back office but have not been approved.
Recently Approved Business	Trades or Clients that have been reviewed by the back office and approved within the last two weeks.
Recently Rejected Business	Trades or Clients that have been rejected by the back office within the last two weeks.

From here you can also add new business using the Add New Packet button

Business Pending in the Back Office

Status Changed	Client	Type	Key
4/13/2015	Jan Janey	Client	98120
5/22/2015	JAY BIRD	Client	98269
4/16/2015	Jeff Jeffries	Client	98160
4/28/2015	JOHHNY MILLER	Client	98215
4/28/2015	Justin Berry	Client	98216
4/13/2015	Michelle Parry	Client	98128
4/13/2015	Orange Peel	Client	98121

Recently Approved Business

Status Changed	Client	Type	Key
7/6/2015	Dolly Smally	Trade	Aetna
7/6/2015	BETTY BURCHFIELD	Trade	ABERDEEN ASIA BOND INSTL CLASS
7/6/2015	Jeff Jeffries	Trade	ABERDEEN CHINA OPPORTUNITES FD CL A
7/6/2015	JOAN JONES	Trade	KBS Real Estate
7/6/2015	JOAN JONES	Trade	Cole REIT
7/6/2015	JOAN JONES	Trade	First Variable Life
7/6/2015	DAKOTA JOHNSON	Trade	Aberdeen Tax-Free Income Fd Cl A

Recently Rejected Business

Status Changed	Client	Type	Key
No data			

Continue work on selected packet

Add new business

This screen allows you to enter client information. First, search to see if the client already exists. You can add trades or external accounts to an existing client, copy an existing client to use as a template for a new client, or start a brand new client.

Client Search

Enter a name or SSN to see if the client already exists. If no records are found, select Add New Client to begin.

gershwin  **Search**

Client ID	Alt ID	Name	Account Type	Status
6981	6981	Peter Gershwin	IND	Active
2329	2329	Robin Gershwin	IND	Active
953	953	Robert Gershwin	IND	Active
6439	6439	Mark Gershwin	IND	Active
7076	7076	Barry Gershwin	IND	Active
5196	5196	Ann Gershwin	IND	Active

1

 **Cancel**  **Add New Client**  **Copy Client**  **Select Client**

Client

Client

ID 98156	Account Type Joint Tenant	
Name BEN N. JERRY	Business Type Retail	
Sort Key JERRYB	Tax ID Type SSN Tax ID	
Address 28 ICE CREAM WAY	Rep ID MBP Michelle Parry Rep	
Zip 92108	City SAN DIEGO	State CA
Country United States	Org 1031 Artisan's San Diego OSJ	
Opened On 07/01/2015		

[Prev Page](#) [Cancel](#) [Next Page](#)

You can add as much information as you have on hand. Name, Account Type, Business Type, Rep ID, Org ID and Opened On date are the required fields.

Accounts

Client
Accounts
Contact
Identification
Financials
Suitability
Parties
Trades
Checks
Documents
Finish

All accounts for this client

Vendor	↑ Account
Absolute Capital	(UNKNOWN)
Accessor Funds	(UNKNOWN)

New Accounts needed in this packet

Vendor	↑ Account
Absolute Capital	(UNKNOWN)
Accessor Funds	(UNKNOWN)

Leave the account number blank if it is unknown at this time.

[Prev Page](#) [Cancel](#) [Next Page](#)

Enter the external accounts here. If you do not know the account number, leave it blank. It will automatically fill in with (UNKNOWN).

Contact

Client
Accounts
Contact
Identification
Financials
Suitability
Parties
Trades
Checks
Documents
Finish

Phone Numbers	
Location	Phone Number
Branch	(800) 888-8585

E-Mail Addresses	
Location	Email Address
Home	bennjerry@gmail.com

[Prev Page](#) [Cancel](#) [Next Page](#)

Add client phone and email contact information here.

Identification

Client

Accounts

Contact

Identification

Financials

Suitability

Parties

Trades

Checks

Documents

Finish

ID 1	ID 2	
Identification Type	Driver's license	
Identification Number	V4175847	
Identification Issuer	Vermont	
Expiration Date	12/15/2018	
Citizenship	Citizen of	Birthdate
US citizen	United States	12/15/1959
Gender	Marital Status	Years Knowing Rep
<input checked="" type="radio"/> Male	Single	15
<input type="radio"/> Female		

 [Prev Page](#)

 [Cancel](#)

 [Next Page](#)

Include any identification information you have here.

Financials

Client	Net Worth: 500,001 and up	
Accounts	Total Net Worth: Specific value	5000000
Contact	Income: 500,001 - 100,000,000	
Identification	Liquid Assets: 50,001 - 100,000	
Financials	Tax Bracket: Specific value	28
Suitability	Dependents: 0	
Parties	Employment Status: Employed	
Trades	Employer: Ice Cream Maker	
Checks	Title/Occupation: CEO	
Documents	Bank: Chase Bank	
Finish		

[!\[\]\(b56c06eb6a8725c20d3814505124d0da_img.jpg\) Prev Page](#) [!\[\]\(2b44d0408833183661938fa4027524a0_img.jpg\) Discard changes to profile](#) [!\[\]\(11b45328d602f5679587313acaeba978_img.jpg\) Next Page](#)

Financials and employment information are entered here. You can select ranges, or enter a specific value.

Suitability

Client
Accounts
Contact
Identification
Financials
Suitability
Parties
Trades
Checks
Documents
Finish

Risk Tolerance

High/Spec

Investment Objective

Growth

Time Horizon

Specific value

10

Affiliated with the securities industry?

Entity type (BD, Regulator, etc.)

Entity Name/Address

Affiliated with a public company?

Name of company

Symbol

Affiliated with a non-US country?

Name of country

Select...

Investment Knowledge

Product	↑ Experience	Years
Mutual Funds	Extensive	20

Insert
 Edit

Prev Page
 Cancel
 Next Page

Suitability, affiliations, and investment knowledge are entered here.

Additional Parties (if applicable)

Client
Accounts
Contact
Identification
Financials
Suitability
Parties
Trades
Checks
Documents
Finish

Party Type	Name
No data	

Party Details

Party Type Additional address **SSN**
Name Ben N. Jerry **Date of Birth**
Address 1000 Old Country Road **Phone Number**
Zip 78745 **Employment Status** Select... **Affiliated with the securities industry?**
City Austin **Employer**
State Texas **Title/Occupation**
Country United States **Affiliated with a public company?**
Affiliated with a non-US country?
Name of company
Symbol
Name of country Select...

Insert

Prev Page **Discard party changes** **Next Page**

Any additional party information goes here. You can have multiple entries.

Trades

Client
Accounts
Contact
Identification
Financials
Suitability
Parties
Trades
Checks
Documents
Finish

Orders for this client in the past 90 days

Trade ID	Trade Date	Product	Principal
290840	5/4/2015	Accessor High Yield Bond-Inst Class	\$3,300.00

Orders in this packet

Trade ID	Product	Principal
290840	Accessor High Yield Bond-Inst Class	\$3,300.00

Trade Details

ID
Trade Type
Rep ID

290840
Buy
MBP

Product Type
Vendor
Product

Mutual Funds
Accessor Funds
Accessor High Yield Bond-Inst Class (AHBAX)

External Account
Trade Date
Principal
Source of Funds

(UNKNOWN) for Access...
05/04/2015
3300
Other

Solicited

Prev Page
 Cancel
 Next Page

Accrued Orders are entered in this screen. Click the insert button to start. Use the insert button each time you want to add another order. The top section of the screen shows all orders that have been input in the last 90 days. The middle section shows all the orders that have just been entered and will be grouped and submitted together in this packet.

Checks

Client
Accounts
Contact
Identification
Financials
Suitability
Parties
Trades
Checks
Documents
Finish

Check #	Amount	Vendor
456	\$2,300.00	Accessor Funds
457	\$1,000.00	Accessor Funds

Check Details

+ Insert Check
🔗 Link Check
🖼 View Image
📝 Attach Image

Issued by	Check #	Check date
BEN N. JERRY	456	05/01/2015
Vendor paid	Amount	
Accessor Funds	2300	
Date received	Date forwarded	Shipping method
05/04/2015	05/05/2015	Fedex
		▼
Comment	98081E18977	

⬅ Prev Page
✖ Discard check changes
➡ Next Page

Enter client or trade check information here. You can add multiple checks and attach the images.

Documents

Client
Accounts
Contact
Identification
Financials
Suitability
Parties
Trades
Checks
Documents
Finish

Documents in this packet

View
 Attach
 Add optional document

Record	↑ Document Type	↑ Entered On	Image Loaded
Client	Joint tenant's agreement	4/16/2015	
Client	New account form	4/16/2015	No

All documents for this client

View

Record	↑ Document Type	↑ Entered On	Image Loaded	Status
Client	Joint tenant's agreement	04/16/2015		Approved
Client	New account form	04/16/2015	No	Pending

Prev Page
 Cancel
 Next Page

The documents in the upper grid are required. Select one and click Attach to add your image to the document. You can also attach optional documents using the button.

Finish

This is a summary of your packet contents and where you complete your data entry. The system will determine the Packet Name and Packet Type. You can edit it if necessary or add optional comments the back office will see.

Client	Packet ID 305	Packet contents summary														
Accounts	Packet Name	<table border="1"><thead><tr><th>Type</th><th>Description</th></tr></thead><tbody><tr><td>Client</td><td>BEN N. JERRY</td></tr><tr><td>External Account</td><td>Accessor Funds/(UNKNOWN)</td></tr><tr><td>External Account</td><td>Absolute Capital/(UNKNOWN)</td></tr><tr><td>Trade</td><td>Accessor High Yield Bond-Inst Class/\$3300.00</td></tr><tr><td>Client Document</td><td>New account form</td></tr><tr><td>Client Document</td><td>Joint tenant's agreement</td></tr></tbody></table>	Type	Description	Client	BEN N. JERRY	External Account	Accessor Funds/(UNKNOWN)	External Account	Absolute Capital/(UNKNOWN)	Trade	Accessor High Yield Bond-Inst Class/\$3300.00	Client Document	New account form	Client Document	Joint tenant's agreement
Type	Description															
Client	BEN N. JERRY															
External Account	Accessor Funds/(UNKNOWN)															
External Account	Absolute Capital/(UNKNOWN)															
Trade	Accessor High Yield Bond-Inst Class/\$3300.00															
Client Document	New account form															
Client Document	Joint tenant's agreement															
Contact	Packet Type															
Identification																
Financials																
Suitability																
Parties	Add comment to packet (optional)															
Trades																
Checks																
Documents																
Finish																

 Export client to LaserApp

  Delete this packet

  Save packet (do NOT submit)

  Save packet and submit to back office

  Prev Page

  Cancel

  Next Page

Now you can:

- Delete the Packet
- Save the packet but do NOT submit to the back office. You can complete the packet at a later time.
- Save the packet and submit it to the back office.
- Export the client information to LaserApp for form filling.

Service Requests

The Open tab shows a list of Service Requests that are in the workflow process. Once the service request is complete, it will show in the Closed tab. Use the view button to see the service request details. Use the Insert button to create a new request.



The screenshot shows a software interface for managing service requests. At the top, there is a navigation bar with icons for 'Menu', 'Assigned tasks 6', 'Claimable tasks 0', 'Notifications 0', and a user profile for 'MBP'. Below the navigation bar is a toolbar with 'Insert' and 'View' buttons. The main area is divided into two tabs: 'Open' (selected) and 'Closed'. The 'Open' tab displays a single service request in a table format. The table columns are: ID, Category, Type, User, Client, Entered On, Due, Description, and Status. The data for the single row is: ID 621, Category Inquiry, Type Other, User MBP, Client Lewis White, Entered On 10/12/2015 03:07 PM, Due (empty), Description 'Please update client name', and Status 'Submitted'.

	ID	Category	Type	User	Client	Entered On	Due	Description	Status
621	Inquiry	Other	MBP	Lewis White	10/12/2015 03:07 PM			Please update client name	Submitted

There are four possible statuses:

Pending Document – a document must be attached before the request is submitted to the back office. The request will show in your dashboard and is assigned to you until you attach a document and it can be submitted.

Submitted – the request has been submitted to the back office and is in the middle of the workflow process.

Completed – the request has been dealt with and you will receive a notification that it is done.

Rejected – the request was not valid for some reason and rejected by the back office. View the request and look in the comments section for details. You will receive a notification if the request is rejected.

Advertising

Use the Insert button to create a new advertisement for review. Use the view button to see details of existing advertising submittals.



ID	User	Format	Description	Status
161	JJ1	Speaking engagement		Approved
226	JJ1	Newspaper		
246	CC1	Correspondence	208.100.0.117	
22	CH1	Seminar	Aging gracefully	Reviewed after use
41	JJ1	Seminar	Aging Gracefully	Reviewed after use
186	CH1	Blog	Blog about Checks	Reviewed after use
286	CH1	Direct mail	Direct mail campaign elderly	Approved
81	JJ1	Seminar	EAS	Reviewed after use
21	CH1	Social media	Facebook Campaign	Approved
185	CH1	Social media	Facebook campaign	Approved
2	MBP	Direct mail	Flyer	Change needed
206	CH1	Radio	Mighty 1090 Radio Hour	Needs review
181	CH1	Radio	Over 50 Annuity	Approved
1	MBP	Email	To Mr. Jones	Reviewed after use
101	JJ1	Social media	Twitter campaign	Reviewed after use
184	CH1	Article	Union Tribune Article	Reviewed after use
61	CH1	Newspaper	Union Tribune Friday Edition, business section	Reviewed after use

There are six possible statuses:

Blank – The advertisement has been saved but not submitted for review yet.

Needs review – The advertisement has been submitted but has not been reviewed yet.

Change needed – The advertisement has been reviewed and sent back to the rep noting changes that need to be made before approval.

Approved – The advertisement has been reviewed and approved.

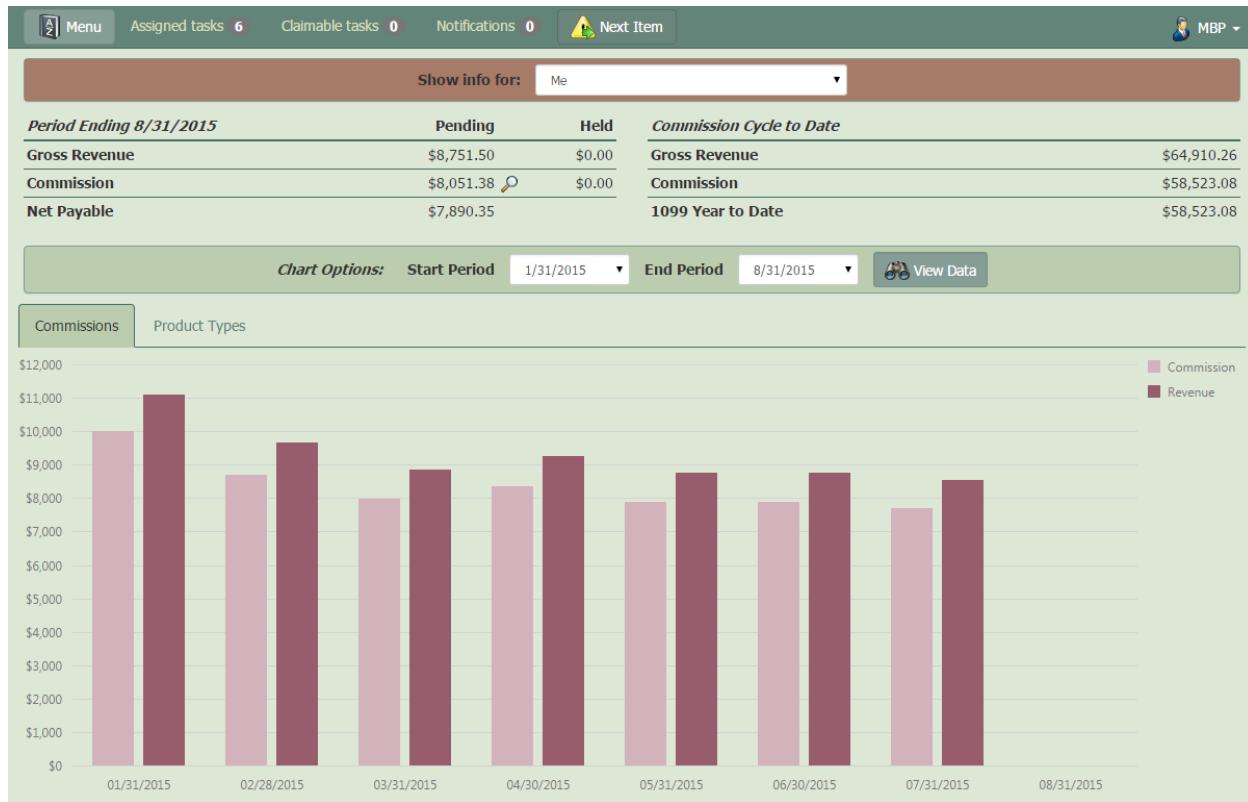
Reviewed after use – The advertisement has been reviewed and approved, but the approval took place after the date the rep indicated it would be used.

Rejected – The advertisement was not valid for some reason and rejected by the back office. View the request and look in the comments section for details. You will receive a notification if the request is rejected.

Commissions

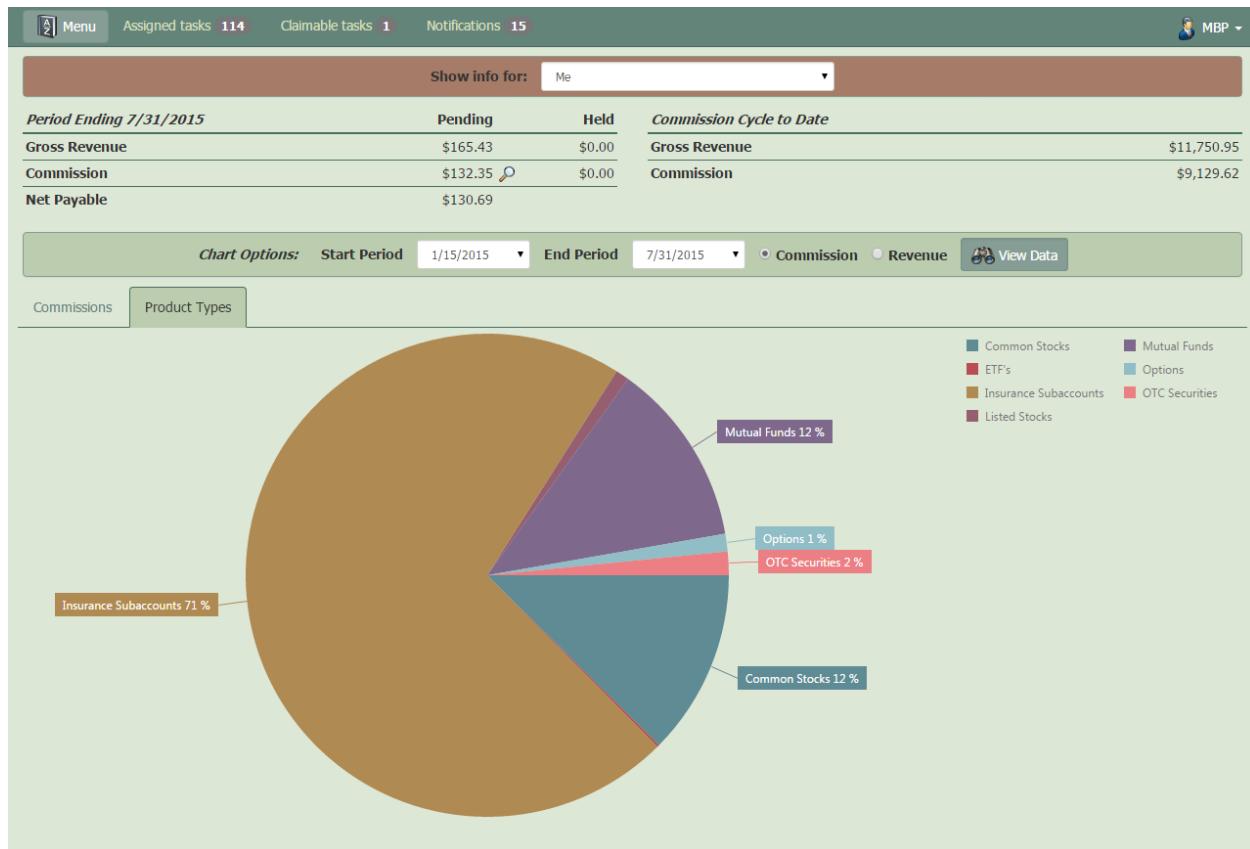
Summary (Opening screen)

When you first login to Repertoire you will see the main Summary Screen. On the left are figures for the next pay period, and the right shows year to date commission information. There is also a bar chart representing commissions earned.



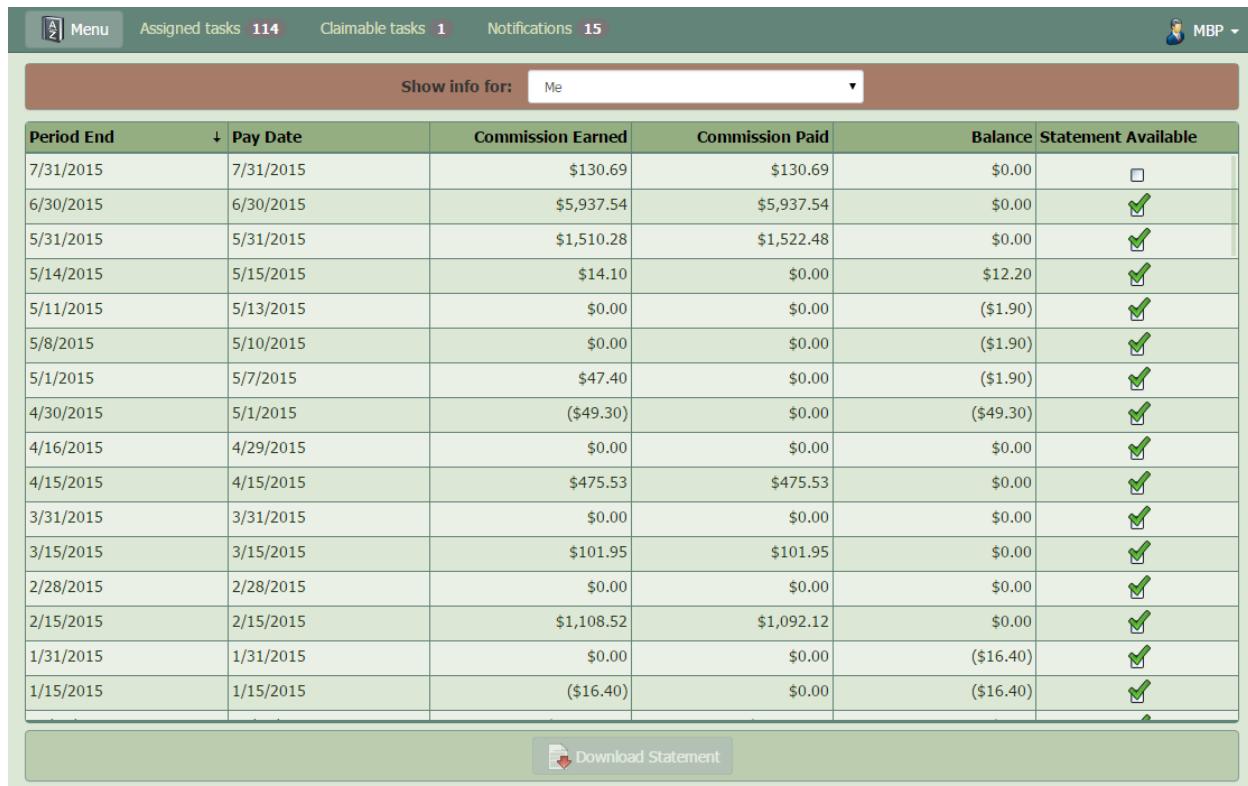
Click the icon to jump to the trade search screen and see your detailed pending commissions for the next commission period.

Click the Product Types tab on the graph to see a pie chart representing a product breakdown during that start and end period. You can adjust the time periods and click view data to update the chart.



Statements

This screen shows a summary of statement totals by pay period. If the statement available button is checked, click on that row to highlight it, and click the download statement button to see your commission statement in a pdf.



The screenshot shows a software interface with a dark green header bar. The header contains the following elements from left to right: a 'Menu' icon, 'Assigned tasks 114', 'Claimable tasks 1', 'Notifications 15', and a user profile icon with 'MBP' next to it. Below the header is a brown header bar with the text 'Show info for: Me' and a dropdown arrow. The main content is a table with the following data:

Period End	Pay Date	Commission Earned	Commission Paid	Balance	Statement Available
7/31/2015	7/31/2015	\$130.69	\$130.69	\$0.00	<input type="checkbox"/>
6/30/2015	6/30/2015	\$5,937.54	\$5,937.54	\$0.00	<input checked="" type="checkbox"/>
5/31/2015	5/31/2015	\$1,510.28	\$1,522.48	\$0.00	<input checked="" type="checkbox"/>
5/14/2015	5/15/2015	\$14.10	\$0.00	\$12.20	<input checked="" type="checkbox"/>
5/11/2015	5/13/2015	\$0.00	\$0.00	(\$1.90)	<input checked="" type="checkbox"/>
5/8/2015	5/10/2015	\$0.00	\$0.00	(\$1.90)	<input checked="" type="checkbox"/>
5/1/2015	5/7/2015	\$47.40	\$0.00	(\$1.90)	<input checked="" type="checkbox"/>
4/30/2015	5/1/2015	(\$49.30)	\$0.00	(\$49.30)	<input checked="" type="checkbox"/>
4/16/2015	4/29/2015	\$0.00	\$0.00	\$0.00	<input checked="" type="checkbox"/>
4/15/2015	4/15/2015	\$475.53	\$475.53	\$0.00	<input checked="" type="checkbox"/>
3/31/2015	3/31/2015	\$0.00	\$0.00	\$0.00	<input checked="" type="checkbox"/>
3/15/2015	3/15/2015	\$101.95	\$101.95	\$0.00	<input checked="" type="checkbox"/>
2/28/2015	2/28/2015	\$0.00	\$0.00	\$0.00	<input checked="" type="checkbox"/>
2/15/2015	2/15/2015	\$1,108.52	\$1,092.12	\$0.00	<input checked="" type="checkbox"/>
1/31/2015	1/31/2015	\$0.00	\$0.00	(\$16.40)	<input checked="" type="checkbox"/>
1/15/2015	1/15/2015	(\$16.40)	\$0.00	(\$16.40)	<input checked="" type="checkbox"/>

At the bottom of the table is a green button with a red arrow icon and the text 'Download Statement'.

Adjustments

Here you can see adjustments and expenses broken out by commission period. You can export the data and also view any payments made.

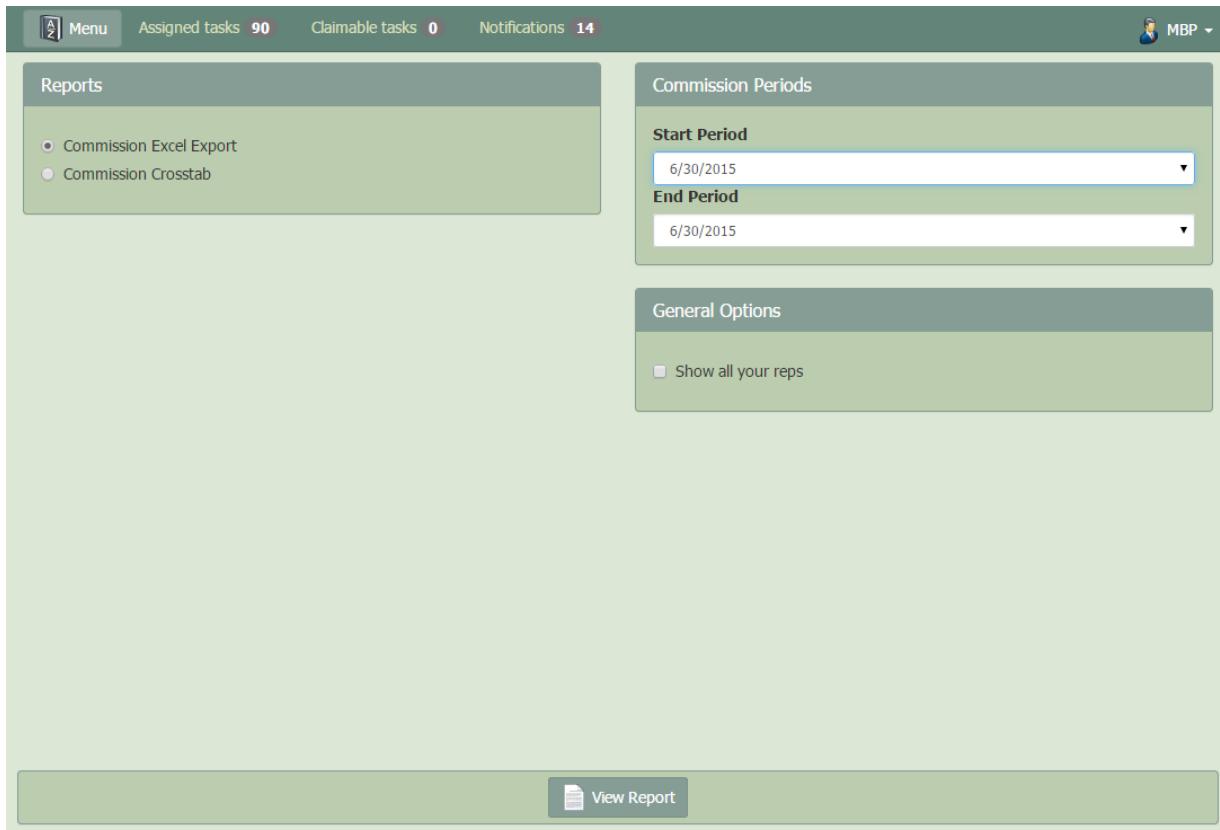
The screenshot shows the Artisan Software interface with the following details:

- Header:** Menu, Assigned tasks 90, Claimable tasks 0, Notifications 14, MBP.
- Toolbar:** Show info for: Pete Peterson, Balances as of 4/16/2015, Start Period: 11/15/2014, End Period: 4/16/2015, View Data, Export.
- Balances:** Commission (\$80.00), Expense deductions (\$80.00), Expense invoices \$1,542.00.
- Table Headers:** Period Due, Adjustment Type, Description, Amount, Settlement, 1099.
- Table Data:** A list of 12 transactions for Licensing fees, categorized into Shipping Fees and Net X 360 Fees, with amounts ranging from \$10.00 to \$70.00 and Settlement types including Expense (Deduction) and Expense (Deduction).

More Reports

Commission Excel Export

This will display all the trades from selected commission periods. Choose the commission period dates, click show all your reps if you want to include them, and click View Report



Reports

- Commission Excel Export
- Commission Crosstab

Commission Periods

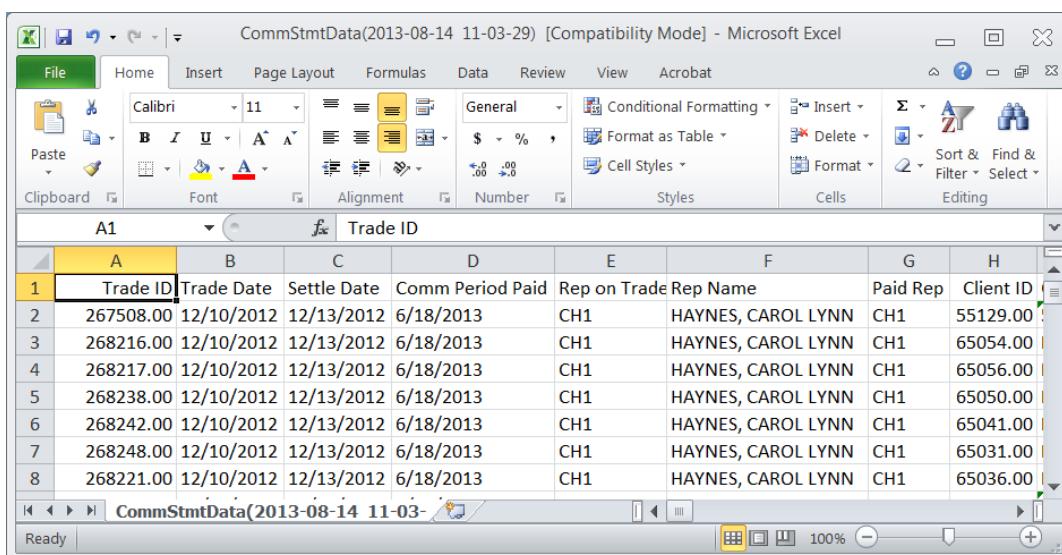
Start Period: 6/30/2015

End Period: 6/30/2015

General Options

Show all your reps

View Report



	A	B	C	D	E	F	G	H
1	Trade ID	Trade Date	Settle Date	Comm Period Paid	Rep on Trade	Rep Name	Paid Rep	Client ID
2	267508.00	12/10/2012	12/13/2012	6/18/2013	CH1	HAYNES, CAROL LYNN	CH1	55129.00
3	268216.00	12/10/2012	12/13/2012	6/18/2013	CH1	HAYNES, CAROL LYNN	CH1	65054.00
4	268217.00	12/10/2012	12/13/2012	6/18/2013	CH1	HAYNES, CAROL LYNN	CH1	65056.00
5	268238.00	12/10/2012	12/13/2012	6/18/2013	CH1	HAYNES, CAROL LYNN	CH1	65050.00
6	268242.00	12/10/2012	12/13/2012	6/18/2013	CH1	HAYNES, CAROL LYNN	CH1	65041.00
7	268248.00	12/10/2012	12/13/2012	6/18/2013	CH1	HAYNES, CAROL LYNN	CH1	65031.00
8	268221.00	12/10/2012	12/13/2012	6/18/2013	CH1	HAYNES, CAROL LYNN	CH1	65036.00

Commission Crosstab

This report lets you view the commission, gross revenue, or net payable amounts by commission period. Click show all your reps to see a total production report.

Reports

- Commission Excel Export
- Commission Crosstab

Commission Periods

Start Period: 3/31/2014

End Period: 7/15/2014

Cross-sum Options

- Gross Revenue
- Commission
- Net Payable

General Options

Show all your reps

 View Report

This is a sample report run for multiple commission periods, grouped by Gross Revenue. It shows all the related reps.

8/1/2014 10:28:45 AM

Commission Crosstab

Page 1

Sum of Gross Revenue	Comm Period Paid							
Rep	3/31/2014	4/15/2014	4/30/2014	5/15/2014	5/30/2014	6/15/2014	6/30/2014	7/15/2014
Carol Haynes Advisory (CHA)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$150.00
HAYNES, CAROL LYNN (CH1)	\$4,774.79	\$0.00	\$1,448.42	\$44,586.61	\$0.00	\$68,155.91	\$66,605.50	\$108,954.66
John Johnson (JJ1)	\$0.00	\$0.00	\$4,300.19	\$0.00	\$0.00	\$0.00	\$0.00	\$19,802.32
Michelle Parry Rep (MBP)	\$0.00	\$0.00	\$5,313.61	\$68.52	\$0.00	\$311.50	\$1,253.63	\$5,343.00
Nick Nichols (NN1)	\$209.87	\$0.00	\$0.00	\$400.00	\$0.00	\$0.00	\$0.00	\$660.01
San Francisco Michelle (SFMP)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Grand Total	\$4,984.66	\$0.00	\$11,062.22	\$45,055.13	\$0.00	\$68,467.41	\$67,859.13	\$134,909.99

Licenses

All of your licenses will be displayed here. You can narrow the search by selecting FINRA or Insurance licenses only then click View Data. The default setting shows all licenses. Licenses highlighted in orange are nearing expiration, and red means the license is expired.

Assigned tasks 7
Claimable tasks 0
Notifications 0
MBP

Show info for: ▼

License Types: FINRA Insurance All View Data View Report Renew selected

	Lice... ↑	Code	State ↑	State Name	Is Resident	License Number	Effective On	Expires On	Expiration Reason	Number Of Trades	Gross Revenue	Fee
	63	AG	CA	California	✓		1/1/2012	12/31/2016		7	\$26,834.22	\$30.00
	63	AG	GA	Georgia	□		1/1/2012	12/31/2016		112	\$31,019.00	\$40.00
	63	AG	VA	Virginia	□		5/30/2015	12/31/2016		0	\$0.00	\$30.00
	65	RA	CA	California	✓		5/1/2014	12/31/2016		7	\$26,834.22	\$0.00
	65	RA	GA	Georgia	□		1/1/2012	12/31/2016		14	\$30,894.05	\$0.00
	7	GS			□		1/1/2012	12/31/2016		0	\$0.00	\$0.00

Ctrl + click selects multiple records. Shift + click selects a range of records.

Legend: Expiring, renewable Expiring, beyond renewal date Expired

License Renewals



If you are set up to process license renewals, you will see a button at the top right of the screen called Renew Selected. This allows you to renew only the licenses you choose. You will see the fee charged per license to renew as well as how much you have made in production for the year by client state. This gives you a tool to see whether or not you want to renew a state based on commissions. Keep in mind if you do not renew, you may not be eligible to receive any commissions for business done in that state.

To renew, click on the license you wish to renew, or click and hold the control key to choose multiple licenses. Then click "Renew Selected" to process the renewal. The following message will pop up.



You will be billed (invoiced) the fee for each license renewed, or the amount will be deducted directly from earned commissions.

Documents

This screen displays your documents. You can view the documents, download the images and see the date the document was received by the back office.

Menu Assigned tasks 131 Claimable tasks 0 Notifications 15 MBP ▾

Document Name	Has Image	Received On
Outside Business Activity	🔗	7/30/2015
Rep CE Certification	🔗	4/18/2012
Rep Correspondence	🔗	4/18/2012
Rep Correspondence	🔗	2/6/2013
Rep Marketing Package	🔗	1/2/2013

 [View Document](#)

Contact Info

This screen contains your basic contact information. You are able to update this information.

The screenshot shows a software interface for managing contact information. At the top, there is a navigation bar with 'Menu', 'Assigned tasks 131', 'Claimable tasks 0', 'Notifications 15', and a user icon 'MBP'. Below the navigation bar, the main area is titled 'Contact Info'.

Contact Info:

- Address:** 123 San Diego Drive
- City:** San Diego
- State:** California
- Zip:** 92108

Phone Numbers:

Location	Phone Number
Home	(858) 525-7848
Work	(619) 725-1350

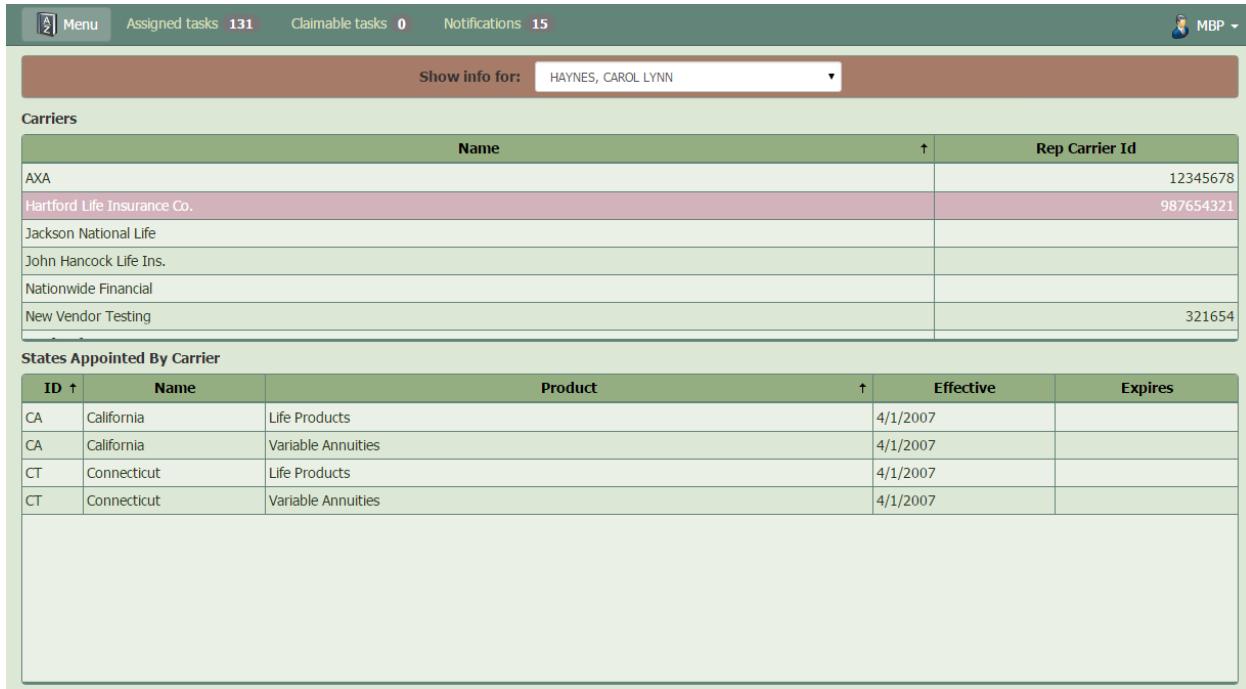
E-Mail Addresses:

Location	Email Address
Alternate	michellealt@gmail.com
Work	mparry@artisansoftware.com

Buttons for 'Edit', 'Insert', and 'Delete' are located at the top right of each list.

Carrier Appointments

This screen will display all the Carriers that you are appointed with and the corresponding states. If you do not see a Carrier you wish to be appointed with, contact the Back Office.



The screenshot shows a software interface for managing carrier appointments. At the top, there is a navigation bar with 'Menu', 'Assigned tasks 131', 'Claimable tasks 0', 'Notifications 15', and a user icon 'MBP'. Below the navigation bar, a search bar says 'Show info for: HAYNES, CAROL LYNN'. The main content area is divided into two sections:

Carriers

	Name	Rep Carrier Id
AXA		12345678
Hartford Life Insurance Co.		987654321
Jackson National Life		
John Hancock Life Ins.		
Nationwide Financial		
New Vendor Testing		321654

States Appointed By Carrier

ID ↑	Name	Product	Effective	Expires
CA	California	Life Products	4/1/2007	
CA	California	Variable Annuities	4/1/2007	
CT	Connecticut	Life Products	4/1/2007	
CT	Connecticut	Variable Annuities	4/1/2007	

Trades

Search

There are several types of trade searches:

Commission pending next run - probably the most used search, shows all trades you will be paid for in the next pay period. These do not have compliance infractions.

Trade Date - allows you to search by a trade date range. Input a start and end date range and click search.

Client - allows you to view all trades for a specific client. Enter the last name, SSN, or account number and click Lookup. Select the client you want from the pop up screen. Then click the Search button to view the trades.

Held due to compliance - shows all trades that are on hold. Click on show trade to see why it is on hold.

Commission paid - shows trades by commission period that have been paid. Select a start and end period and then click the search button.

All unpaid trades - shows all trades that have not been paid, whether or not there is a compliance infraction.

Trade Mode	Rep Id	Trade Date	Principal	B/D Revenue	Product Type	Vendor	Product	Trade Type	Net Comm
Trade	CH1	7/3/2015	\$32,317.34	\$3,131.38	Variable Annuities	Nationwide Financial	BOAFUT	Trailer	\$2,505.10
Trade	CH1	7/4/2015	\$32,476.01	\$3,147.07	Variable Annuities	Nationwide Financial	NBOA	Trailer	\$2,517.66
Trade	CH1	7/5/2015	\$32,634.68	\$3,162.76	Variable Life	Nationwide Financial	BOALS	Buy	\$2,530.21
Trade	CH1	7/6/2015	\$32,793.35	\$3,178.45	Variable Annuities	Nationwide Financial	NGRP	Buy	\$2,542.76
Trade	CH1	7/1/2015	\$37,649.41	\$3,560.87	Mutual Funds	Oppenheimer Funds	OPCAX	Buy	\$2,848.70
Trade	CH1	7/13/2015	\$39,553.45	\$3,749.15	Mutual Funds	Oppenheimer Funds	OENAX	Buy	\$2,999.32
Trade	CH1	7/2/2015	\$37,808.08	\$3,576.56	Mutual Funds	Oppenheimer Funds	CRSXX	Buy	\$2,861.25

You have the option to show Transactions, or Orders, or Both. If you supervise other reps, you can choose to see their trades or just your own. The screen shows the Net Comm amount you will receive, whether it is your trade, or an override you are receiving on that trade.

Examine a trade

Click examine a trade from the main menu and input a Trade ID into the trade search screen that pops up. In our example below, we search on Trade ID 290974 from a sample commission statement.

10/6/2015 2:33:20 PM

Commission/Fee Statement

CH1: HAYNES, CAROL LYNN

May 14, 2015

Trades: All business

Mutual Funds										
Trade	Trade Date	Client	External Account	Type	Symbol	Security Description	Shares	Principal	Gross Revs	
290974	5/1/2015	ABC Dental 401K FBO Dr.	535857841	AP	FDGCX	FIDELTY ADVISOR DIVEDI		\$15.45	\$1	
290975	5/1/2015	ABC Dental 401K FBO Dr.	535857841	AP	FADCX	FIDELITY ADVISOR SERIE:		\$15.50	\$1	
290976	5/1/2015	ABC Dental 401K FBO Dr.	535857841	AP	FADCX	FIDELITY ADVISOR SERIE:		\$15.55	\$1	

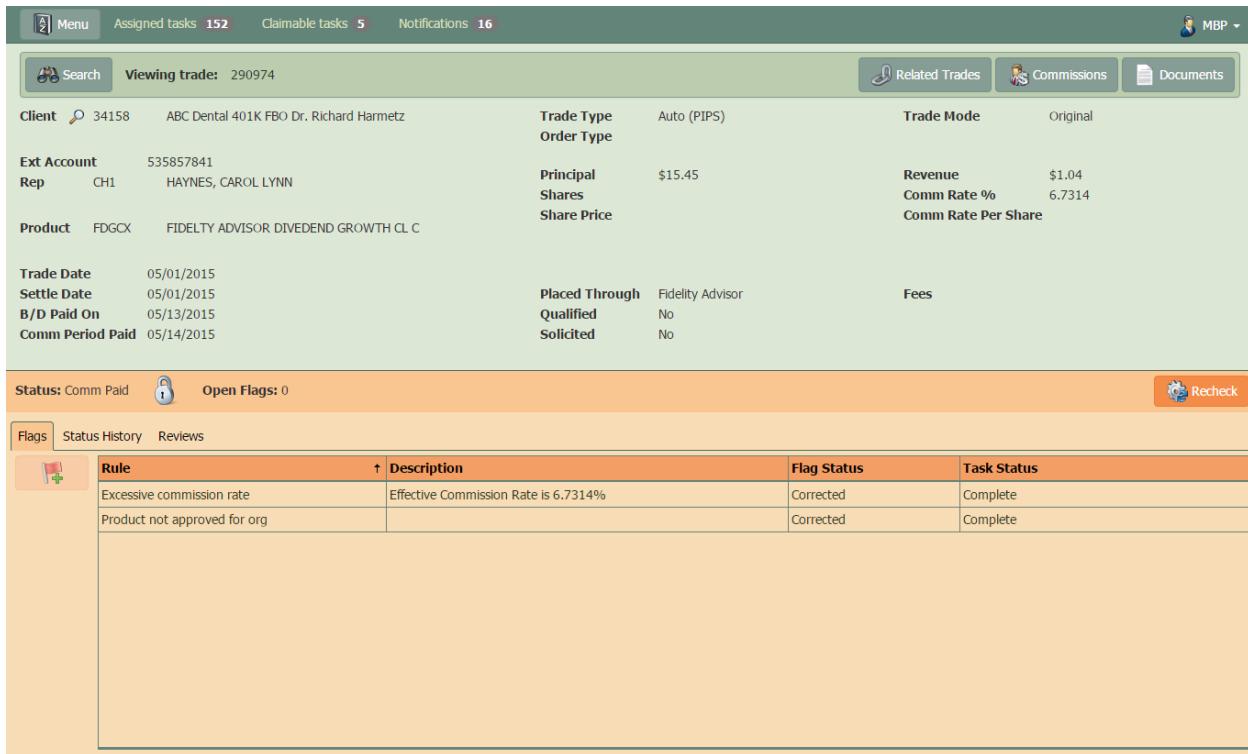
Trade Search

Trade ID:

Cancel View Trade

Screen Layout

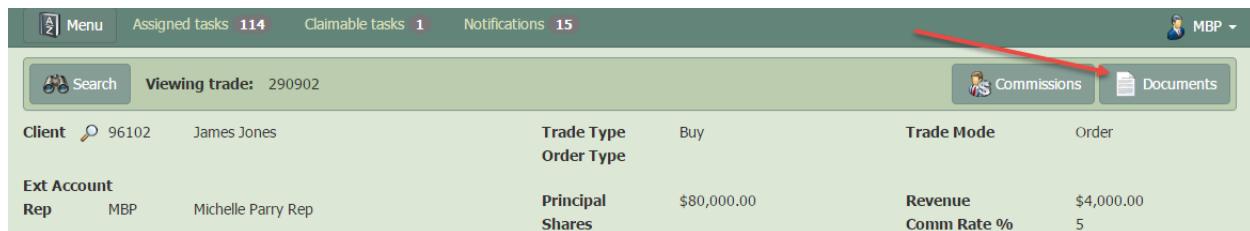
The basic trade information is on the top half of the screen and any compliance infractions are on the bottom in orange. The Related Trades button shows any linked trades. It could show an order and the corresponding transaction, or the original trade and a cancellation/correction. If the button is not there, then there are no related trades. The Commissions button will show the payout breakdown. The Documents button will show any documents that are attached.



The screenshot shows the Artisan Software interface for viewing a trade. The top navigation bar includes 'Menu', 'Assigned tasks 152', 'Claimable tasks 5', 'Notifications 16', and a user icon 'MBP'. The main content area is titled 'Viewing trade: 290974'. It displays trade details such as Client (34158, ABC Dental 401K FBO Dr. Richard Harmetz), Ext Account (535857841, Rep CH1, HAYNES, CAROL LYNN), Product (FDGCX, FIDELITY ADVISOR DIVIDEND GROWTH CL C), and transaction dates (Trade Date 05/01/2015, Settle Date 05/01/2015, B/D Paid On 05/13/2015, Comm Period Paid 05/14/2015). The trade type is Auto (PIPS) and the mode is Original. The principal amount is \$15.45. The revenue is \$1.04, and the commission rate is 6.7314%. The fees section shows Fidelity Advisor as the placed through party, with no fees applied. The 'Placed Through' section includes Fidelity Advisor, Qualified (No), and Solicited (No). The bottom section shows 'Status: Comm Paid' and 'Open Flags: 0'. A table lists two flags: 'Excessive commission rate' (Description: Effective Commission Rate is 6.7314%, Status: Corrected, Task Status: Complete) and 'Product not approved for org' (Status: Corrected, Task Status: Complete). A 'Recheck' button is also present.

Trade Document

If the transaction has a document attached to it, click the icon in the right corner to view it.



A screenshot of a software interface showing a trade document. The top navigation bar includes 'Menu', 'Assigned tasks 114', 'Claimable tasks 1', 'Notifications 15', and 'MBP'. The main area displays client information: Client 96102 (James Jones), Ext Account Rep MBP (Michelle Parry Rep). Trade Type is 'Buy' and Order Type is 'Principal Shares'. Trade Mode is 'Order' and Revenue is '\$80,000.00'. Comm Rate % is '5'. A red arrow points to the 'Documents' button in the top right corner of the main area.

All the relevant documents will be displayed in the list. Use the Document button to add, edit, or view document images.



A screenshot of a software interface showing a list of documents for trade 290902. The table includes columns for Document Name, Has Image, Received On, Status, and User ID. Two documents are listed: 'Subscription Agreement' and 'Trade Level Agreement', both received on 5/12/2015 and marked as Approved by User ID MBP. Below this is a large empty box. At the bottom, there is a status bar with 'Status: Approved', 'Open Flags: 0', and a 'Recheck' button. A sidebar on the left shows 'Flags' (with a plus icon), 'Status History', and 'Reviews'.

Document Name	Has Image	Received On	Status	User ID
Subscription Agreement	🔗	5/12/2015	Approved	MBP
Trade Level Agreement	🔗	5/12/2015	Approved	MBP

More Reports

There are additional ways to get trade data out of the system. Click on

- List each trade individually - to see a detail report
- Show group summaries only - to see the report with summarized data

Below those two report options, you are able to "group" the data. What that means is that it will aggregate the data based on what button you choose. So if you want a report grouped by Vendor (i.e.: American Funds, Oppenheimer, Putnam) then choose group by Product Vendor.

The screenshot shows a user interface for generating a trade report. At the top, there are navigation links: 'Menu', 'Assigned tasks 6', 'Claimable tasks 0', 'Notifications 0', and a user icon 'MBP'. The main area is divided into several sections:

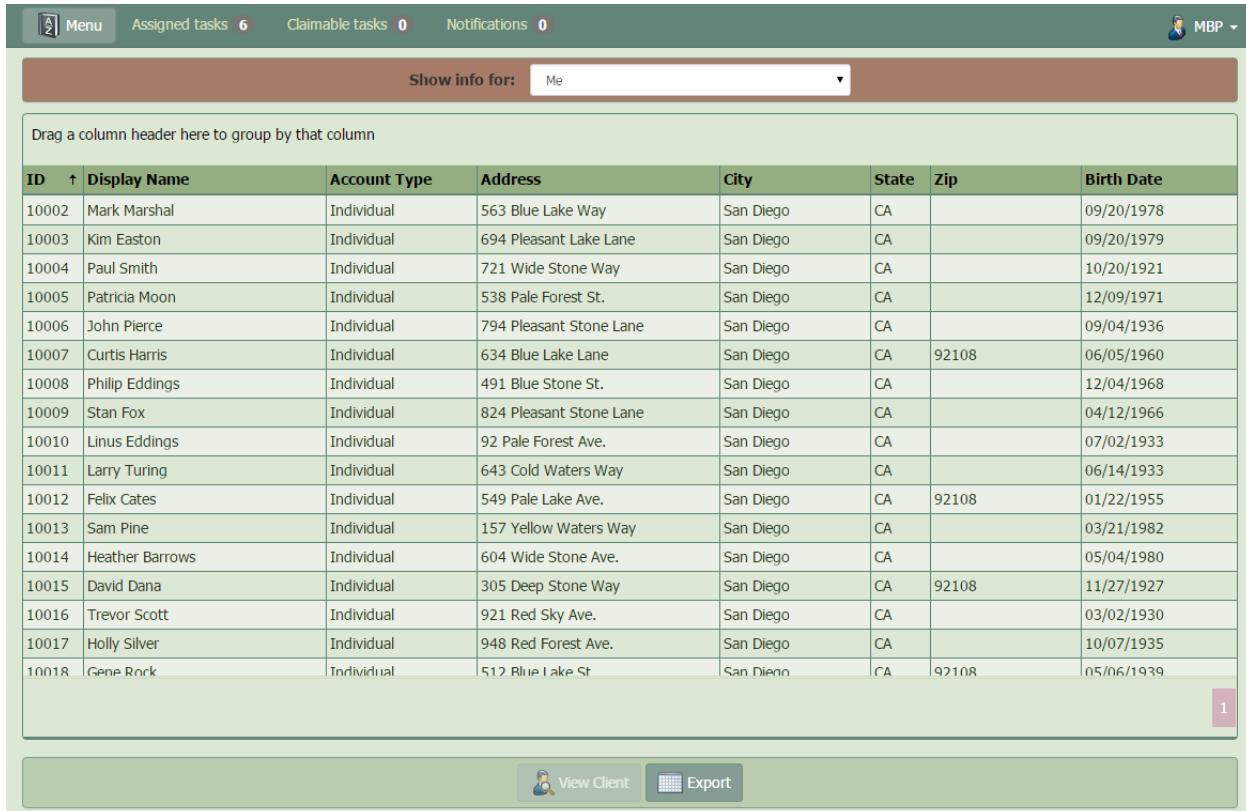
- Report layout:** A radio button is selected for "List each trade individually".
- Group trades by:** A radio button is selected for "Type of product (e.g. mutual fund, options)". Other options include "Product vendor (e.g. Oppenheimer)", "Symbol/cusip", "Client", "Trade date", and "Trade type (e.g. buy, sell, trailer)".
- Trade date range:** The "Start Date" is set to "08/07/2015" and the "End Date" is also set to "08/07/2015".
- Additional options:** Two checkboxes are checked: "Commission-paid only" and "Show all your reps".

At the bottom right of the configuration area is a "View Report" button.

Clients

Client List

You can view all your clients in one central area.



Drag a column header here to group by that column

ID	Display Name	Account Type	Address	City	State	Zip	Birth Date
10002	Mark Marshal	Individual	563 Blue Lake Way	San Diego	CA		09/20/1978
10003	Kim Easton	Individual	694 Pleasant Lake Lane	San Diego	CA		09/20/1979
10004	Paul Smith	Individual	721 Wide Stone Way	San Diego	CA		10/20/1921
10005	Patricia Moon	Individual	538 Pale Forest St.	San Diego	CA		12/09/1971
10006	John Pierce	Individual	794 Pleasant Stone Lane	San Diego	CA		09/04/1936
10007	Curtis Harris	Individual	634 Blue Lake Lane	San Diego	CA	92108	06/05/1960
10008	Philip Eddings	Individual	491 Blue Stone St.	San Diego	CA		12/04/1968
10009	Stan Fox	Individual	824 Pleasant Stone Lane	San Diego	CA		04/12/1966
10010	Linus Eddings	Individual	92 Pale Forest Ave.	San Diego	CA		07/02/1933
10011	Larry Turing	Individual	643 Cold Waters Way	San Diego	CA		06/14/1933
10012	Felix Cates	Individual	549 Pale Lake Ave.	San Diego	CA	92108	01/22/1955
10013	Sam Pine	Individual	157 Yellow Waters Way	San Diego	CA		03/21/1982
10014	Heather Barrows	Individual	604 Wide Stone Ave.	San Diego	CA		05/04/1980
10015	David Dana	Individual	305 Deep Stone Way	San Diego	CA	92108	11/27/1927
10016	Trevor Scott	Individual	921 Red Sky Ave.	San Diego	CA		03/02/1930
10017	Holly Silver	Individual	948 Red Forest Ave.	San Diego	CA		10/07/1935
10018	Gene Rock	Individual	512 Blue Lake St	San Diego	CA	92108	05/06/1939

1

[View Client](#) [Export](#)

To export your client list into excel, click the Export button.

Examine a client

This allows you to search for a client. In the white search box you can enter the client's Name, Social Security Number, External Account number (i.e.: Fund Account, Clearing Account, Insurance Policy Number) or Broker Dealer Account Number. You may get several results. Highlight the one you want to view, and click the Select Client button.

Client Search

Client: gershwin

Client ID	Alt ID	Name	Account Type
4372	4372	Lewis Gershwin	IND
951	951	Gene Gershwin	IND
8238	8238	Jessica Gershwin	IND
6912	6912	Eric Gershwin	IND
2969	2969	Matthew Gershwin	IND
6445	6445	Terry Gershwin	IND

1

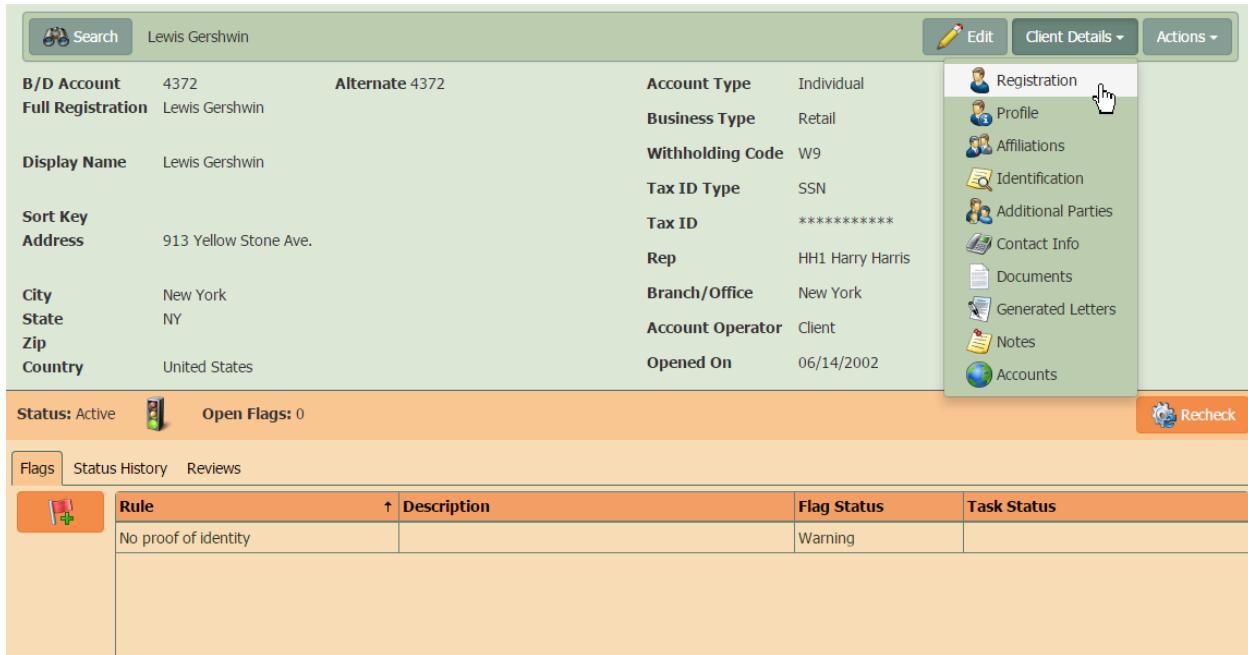
 Cancel  Search  Select Client

The client search takes you to the Registration screen. The Client Details button lets you view more client information -

Registration
Profile
Affiliations
Identification
Additional Parties
Contact Info
Documents
Generated Letters
Notes
Accounts
Positions

Registration

Basic client details are displayed on this screen. The orange section of the screen will list any past or present issues with a particular client. If a flag is assigned to you, this information will also be in your Dashboard.



The screenshot shows the 'Client Details' screen for a client named 'Lewis Gershwin'. The top navigation bar includes 'Edit', 'Client Details ▾', and 'Actions ▾'. A dropdown menu from the 'Actions' button is open, showing options: 'Registration' (with a cursor icon), 'Profile', 'Affiliations', 'Identification', 'Additional Parties', 'Contact Info', 'Documents', 'Generated Letters', 'Notes', and 'Accounts'. The main content area displays client details in two columns:

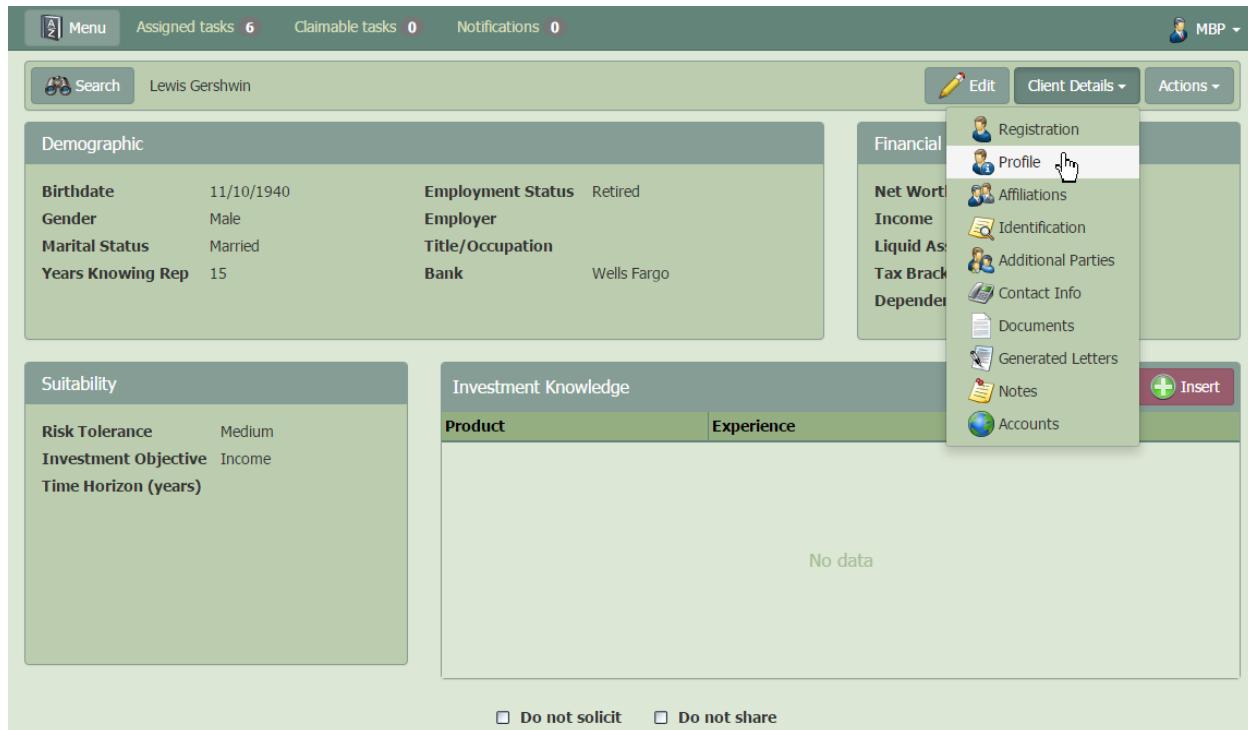
B/D Account	4372	Alternate	4372
Full Registration	Lewis Gershwin		
Display Name	Lewis Gershwin		
Sort Key			
Address	913 Yellow Stone Ave.		
City	New York		
State	NY		
Zip			
Country	United States		

Below this, a status bar shows 'Status: Active' and 'Open Flags: 0'. A 'Recheck' button is also present. The bottom section is an orange box containing a table for 'Flags' with one row:

Rule	Description	Flag Status	Task Status
No proof of identity		Warning	

Profile

This screen shows basic demographic, financial, suitability and investment knowledge information about the client.



Assigned tasks 6 Claimable tasks 0 Notifications 0 MBP

Search Lewis Gershwin

Demographic

Birthday	11/10/1940	Employment Status	Retired
Gender	Male	Employer	
Marital Status	Married	Title/Occupation	
Years Knowing Rep	15	Bank	Wells Fargo

Financial

- Registration
- Profile** (highlighted)
- Affiliations
- Identification
- Additional Parties
- Contact Info
- Documents
- Generated Letters
- Notes
- Accounts

Insert

Suitability

Risk Tolerance	Medium
Investment Objective	Income
Time Horizon (years)	

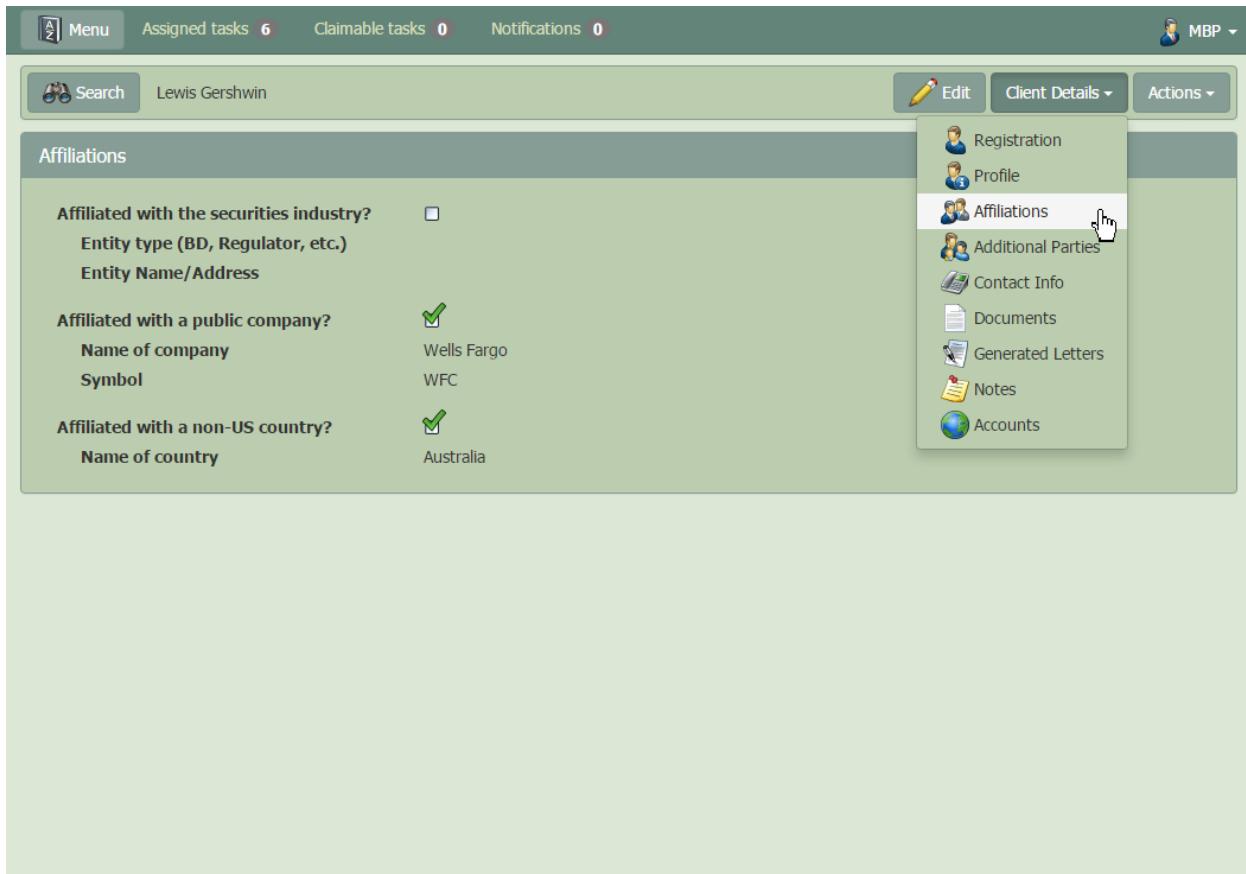
Investment Knowledge

Product	Experience
No data	

Do not solicit Do not share

Affiliations

This screen shows any affiliations the client has with the securities industry, a public company, and/or a non-US country.



The screenshot shows the Artisan Software client interface. At the top, there is a navigation bar with 'Menu', 'Assigned tasks 6', 'Claimable tasks 0', 'Notifications 0', and a user icon 'MBP'. Below the navigation bar, the main area is titled 'Lewis Gershwin'. On the left, there is a 'Search' button and a 'Client Details' button. On the right, there is an 'Edit' button and a 'Actions' dropdown menu. The 'Actions' menu is open, showing options: 'Registration', 'Profile', 'Affiliations' (which is highlighted with a cursor icon), 'Additional Parties', 'Contact Info', 'Documents', 'Generated Letters', 'Notes', and 'Accounts'. The main content area is titled 'Affiliations' and contains the following data:

Affiliated with the securities industry?	<input type="checkbox"/>
Entity type (BD, Regulator, etc.)	
Entity Name/Address	
Affiliated with a public company?	<input checked="" type="checkbox"/>
Name of company	Wells Fargo
Symbol	WFC
Affiliated with a non-US country?	<input checked="" type="checkbox"/>
Name of country	Australia

Identification

This screen shows up to two forms of identification for the client. It also stores citizenship information.



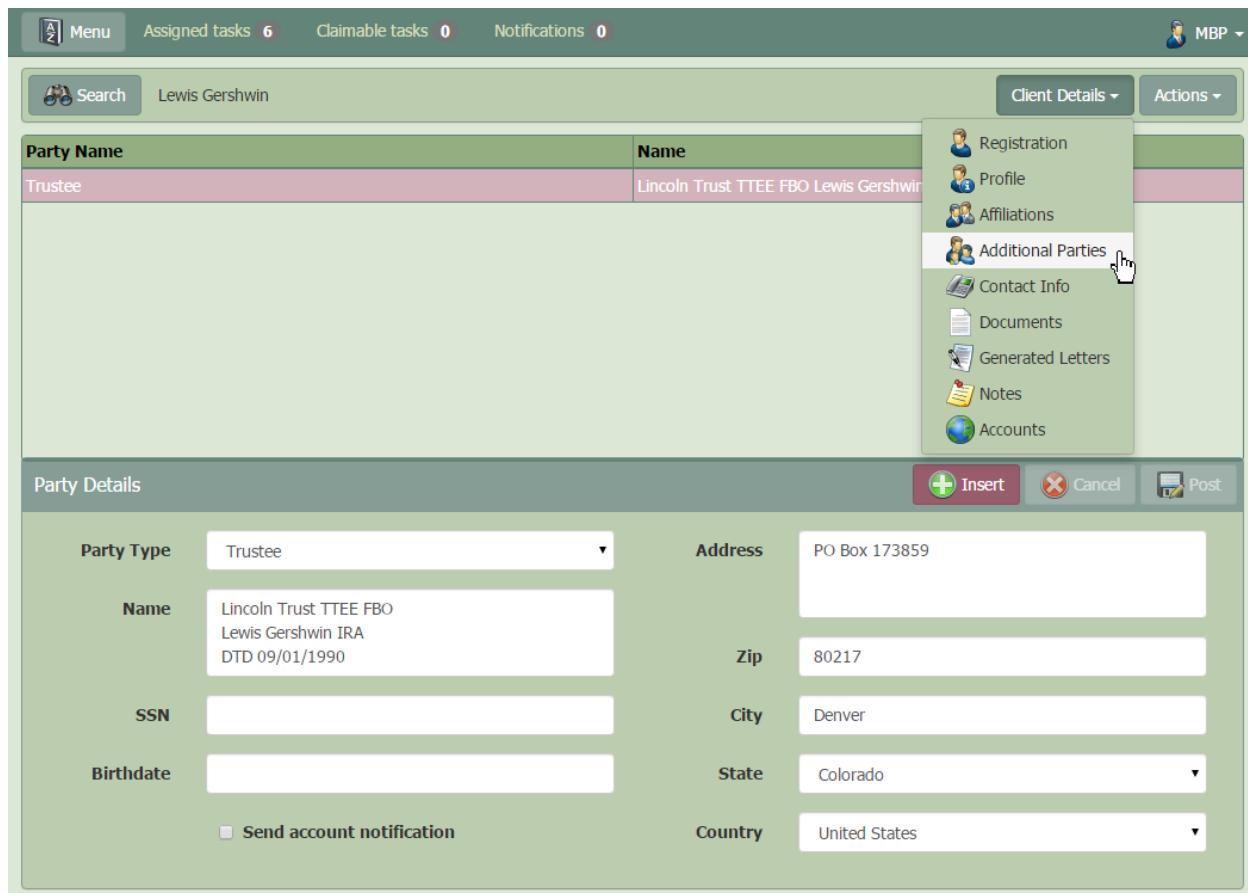
The screenshot shows a software interface for managing client identification. At the top, there are tabs for 'Menu', 'Assigned tasks 6', 'Claimable tasks 0', 'Notifications 0', and a user icon 'MBP'. Below the tabs, the client's name 'Carla Smith' is displayed. On the right, a context menu is open under 'Actions', with 'Identification' highlighted. The main content area is divided into two sections: 'Identification' and 'Other Information'. The 'Identification' section is further divided into 'ID 1' and 'ID 2'. The data for 'ID 1' is: Identification Type (Driver's license), Identification Number (B767492), Identification Issuer (California), and Expiration Date (05/15/2025). The data for 'ID 2' is: Identification Type (Passport), Identification Number (US7641654651), Identification Issuer (United States), and Expiration Date (08/08/2019). The 'Other Information' section shows: Citizenship (US citizen) and Citizen of (United States).

Identification	
ID 1	ID 2
Identification Type	Driver's license
Identification Number	B767492
Identification Issuer	California
Expiration Date	05/15/2025
Identification Type	Passport
Identification Number	US7641654651
Identification Issuer	United States
Expiration Date	08/08/2019

Other Information	
Citizenship	US citizen
Citizen of	United States

Additional Parties

If there is more than one party on an account, the information will be displayed on this screen.



The screenshot shows the MBP software interface. At the top, there is a navigation bar with 'Menu', 'Assigned tasks 6', 'Claimable tasks 0', 'Notifications 0', and a user icon 'MBP'. Below the navigation bar is a search bar with the text 'Lewis Gershwin'. To the right of the search bar are 'Client Details' and 'Actions' dropdown menus. The 'Actions' menu is open, showing options: 'Registration', 'Profile', 'Affiliations', 'Additional Parties' (which is highlighted with a cursor icon), 'Contact Info', 'Documents', 'Generated Letters', 'Notes', and 'Accounts'. The main content area is titled 'Party Details' and contains fields for 'Party Type' (set to 'Trustee'), 'Name' (set to 'Lincoln Trust TTEE FBO Lewis Gershwin IRA DTD 09/01/1990'), 'SSN' (empty), 'Birthdate' (empty), 'Address' (set to 'PO Box 173859'), 'Zip' (set to '80217'), 'City' (set to 'Denver'), 'State' (set to 'Colorado'), and 'Country' (set to 'United States'). There are also 'Insert' and 'Cancel' buttons at the top of the 'Party Details' form.

Contact Info

Client telephone numbers and email addresses are stored in this screen.

Assigned tasks 10 Claimable tasks 1 Notifications 0 MBP

Search Lewis Gershwin

Client Details ▾

- Registration
- Profile
- Affiliations
- Identification
- Additional Parties
- Contact Info (highlighted)
- Documents
- Generated Letters
- Notes
- Accounts
- Positions/Activity

Phone Numbers

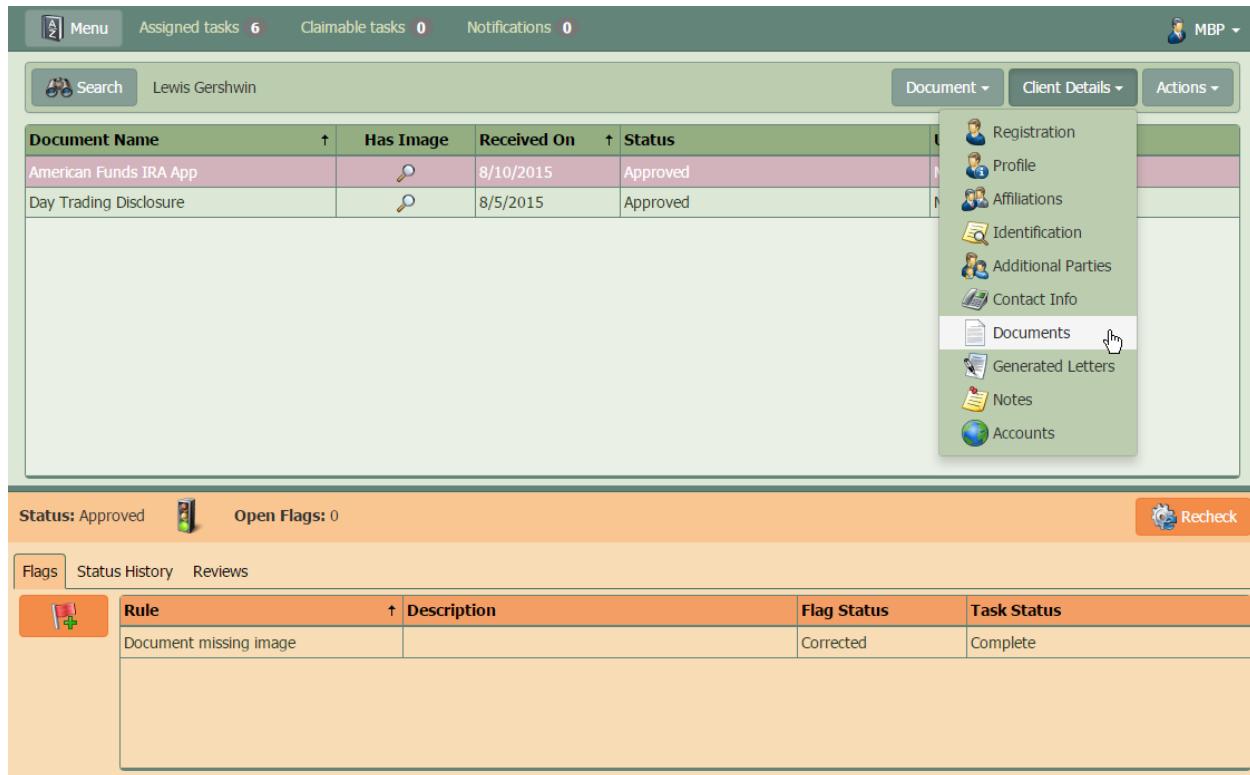
Location	Phone Number
Cell	(858) 555-1414
Work	(858) 555-4321

E-Mail Addresses

Location	Email Address
Home	lewis.gershwin858@gmail.com

Documents

Client documents are stored here. You can add more documents and attach images using the Document button. If the "Has Image?" box has the  shortcut, you can click it to view the document image. Or you can go to Document menu – View.



Assigned tasks 6 Claimable tasks 0 Notifications 0 MBP

Document ▾ Client Details ▾ Actions ▾

Document Name	Has Image	Received On	Status
American Funds IRA App		8/10/2015	Approved
Day Trading Disclosure		8/5/2015	Approved

Status: Approved Open Flags: 0 Recheck

Flags Status History Reviews

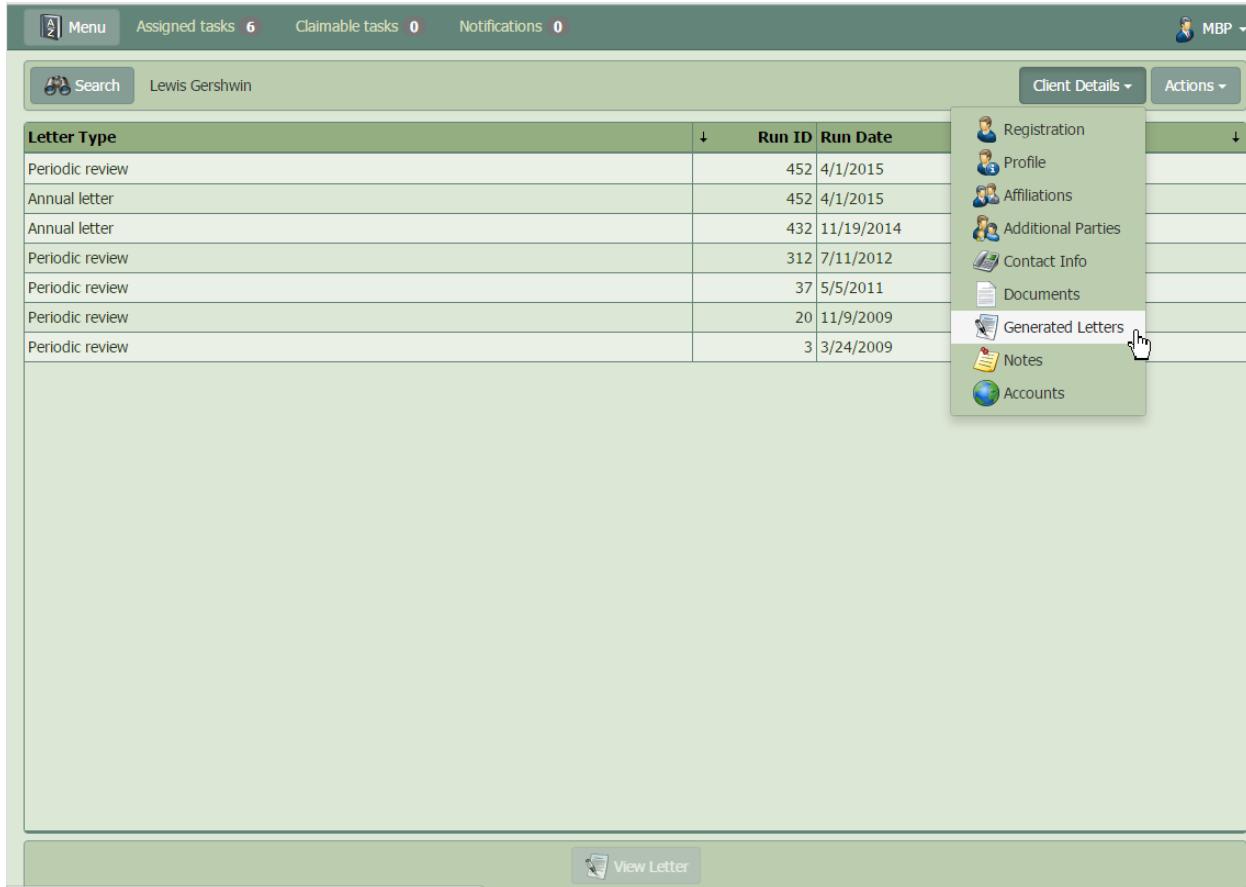
Rule	Description	Flag Status	Task Status
Document missing image		Corrected	Complete

Viewing Documents

Document view/download will vary by internet browser. Each browser will have different buttons to zoom in and out, save, or print the document. This is an example of a pdf downloaded using Google Chrome.

Generated Letters

This is where you can view any letters that have been generated for this Client by the back office. They are displayed by Letter Type and Date. Select a letter and click the View Letter button to see the letter.



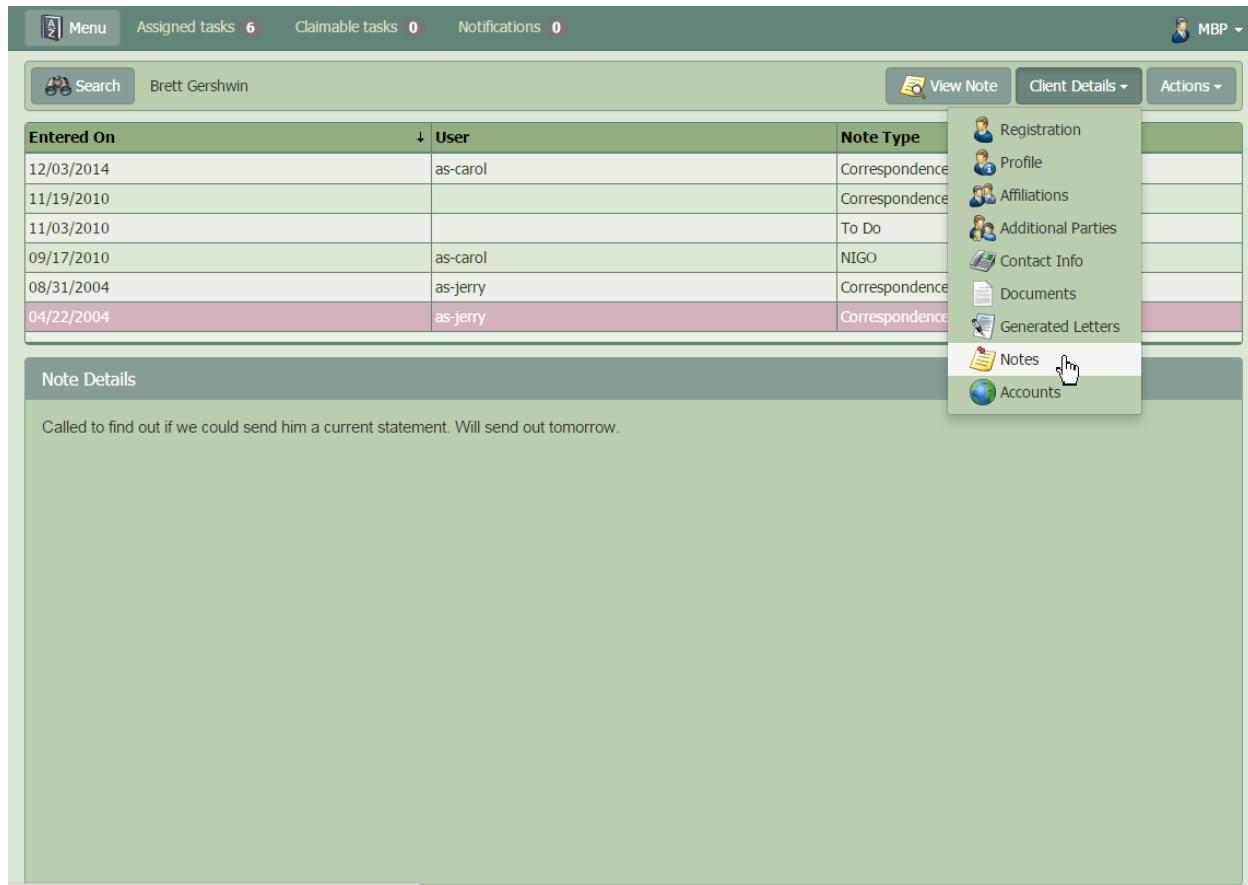
The screenshot shows a software interface for managing client information. At the top, there is a navigation bar with 'Menu', 'Assigned tasks 6', 'Claimable tasks 0', 'Notifications 0', and a user icon 'MBP'. Below the navigation bar is a search bar with the placeholder 'Search' and the name 'Lewis Gershwin'. To the right of the search bar is a 'Client Details' dropdown menu with a list of client information. A mouse cursor is hovering over the 'Generated Letters' option, which is highlighted with a white box. The 'Generated Letters' option is located in the 'Actions' section of the dropdown menu. The main content area below the search bar displays a table of generated letters, with the first few rows visible. The table columns are 'Letter Type', 'Run ID', and 'Run Date'. The data in the table is as follows:

Letter Type	Run ID	Run Date
Periodic review	452	4/1/2015
Annual letter	452	4/1/2015
Annual letter	432	11/19/2014
Periodic review	312	7/11/2012
Periodic review	37	5/5/2011
Periodic review	20	11/9/2009
Periodic review	3	3/24/2009

At the bottom of the main content area is a 'View Letter' button with a pen icon.

Notes

You can view client notes the Back Office has entered. They are displayed by date and note type.



The screenshot shows a software interface for managing client notes. At the top, there is a navigation bar with 'Menu', 'Assigned tasks 6', 'Claimable tasks 0', 'Notifications 0', and a user icon 'MBP'. Below the navigation bar, the client's name 'Brett Gershwin' is displayed. The main area shows a table of notes:

Entered On	User	Note Type
12/03/2014	as-carol	Correspondence
11/19/2010		Correspondence
11/03/2010		To Do
09/17/2010	as-carol	NIGO
08/31/2004	as-jerry	Correspondence
04/22/2004	as-jerry	Correspondence

Below the table, a 'Note Details' section contains the text: 'Called to find out if we could send him a current statement. Will send out tomorrow.' To the right of this section, a context menu is open, listing various client management options. The 'Notes' option is highlighted with a mouse cursor icon.

Entered On | User | Note Type

12/03/2014 | as-carol | Correspondence

11/19/2010 | | Correspondence

11/03/2010 | | To Do

09/17/2010 | as-carol | NIGO

08/31/2004 | as-jerry | Correspondence

04/22/2004 | as-jerry | Correspondence

Note Details

Called to find out if we could send him a current statement. Will send out tomorrow.

Actions ▾

- Registration
- Profile
- Affiliations
- Additional Parties
- Contact Info
- Documents
- Generated Letters
- Notes** 
- Accounts

Accounts

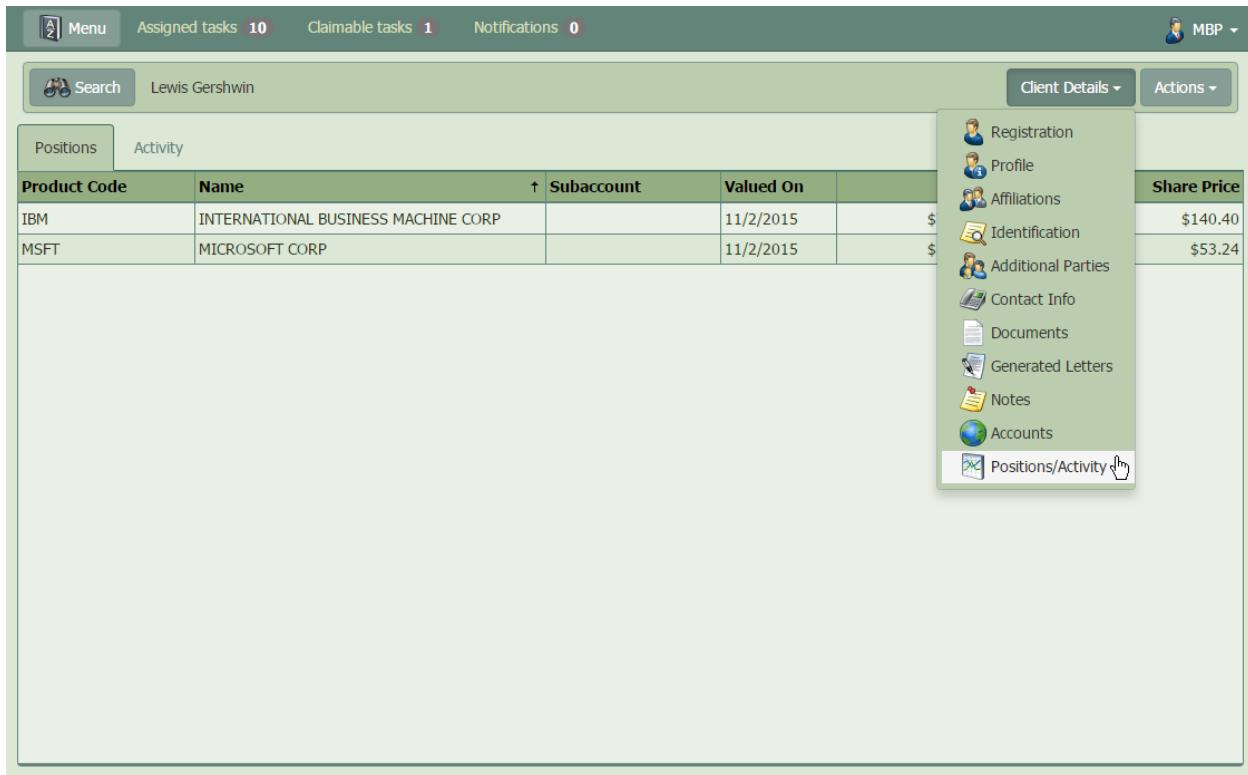
This will show you the external accounts for a client (i.e.: Fund Account, Clearing Account, Insurance Policy). If there are any documents attached to the external account, the Has Documents box will be checked.

The screenshot shows a client account management interface. At the top, there is a header with 'Assigned tasks 10', 'Claimable tasks 1', and 'Notifications 0'. On the right, there is a user icon and 'MBP'. Below the header, there is a search bar with 'Lewis Gershwin' and a 'Search' button. To the right of the search bar are buttons for 'Documents', 'Client Details', and 'Actions'. A context menu is open on the right side, listing various client details: Registration (unchecked), Profile (unchecked), Affiliations (unchecked), Identification (unchecked), Additional Parties (unchecked), Contact Info (unchecked), Documents (unchecked), Generated Letters (unchecked), Notes (unchecked), Accounts (checked), and Positions/Activity (unchecked). Below the search bar, there is a status bar with 'Status: Active' and 'Open Flags: 0'. At the bottom, there is a 'Flags' tab, a 'Status History' tab, and a 'Reviews' tab. The 'Flags' tab is selected. A table below it has columns: 'Rule' (with a plus sign icon), 'Description', 'Flag Status', and 'Task Status'. The table body contains the text 'No data'.

Rule	Description	Flag Status	Task Status
No data			

Positions/Activity

If your Broker-Dealer is loading Position and/or Activity data it will be displayed here. There is a separate tab for the Position and Activity. Activity will include the type of transaction.

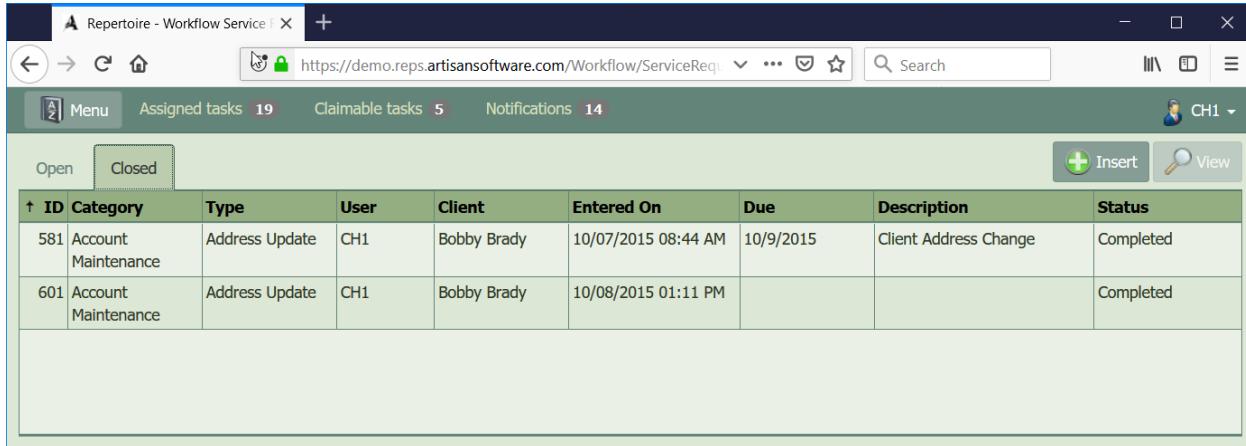


The screenshot shows a software interface for managing client data. At the top, there is a navigation bar with 'Menu', 'Assigned tasks 10', 'Claimable tasks 1', 'Notifications 0', and a user icon 'MBP'. Below the navigation bar, a search bar shows 'Lewis Gershwin'. To the right of the search bar are 'Client Details' and 'Actions' buttons. A dropdown menu is open under 'Actions', listing various client details: Registration (\$140.40), Profile (\$53.24), Affiliations, Identification, Additional Parties, Contact Info, Documents, Generated Letters, Notes, Accounts, and Positions/Activity (which is highlighted with a mouse cursor).

Product Code	Name	↑ Subaccount	Valued On	
IBM	INTERNATIONAL BUSINESS MACHINE CORP		11/2/2015	\$
MSFT	MICROSOFT CORP		11/2/2015	\$

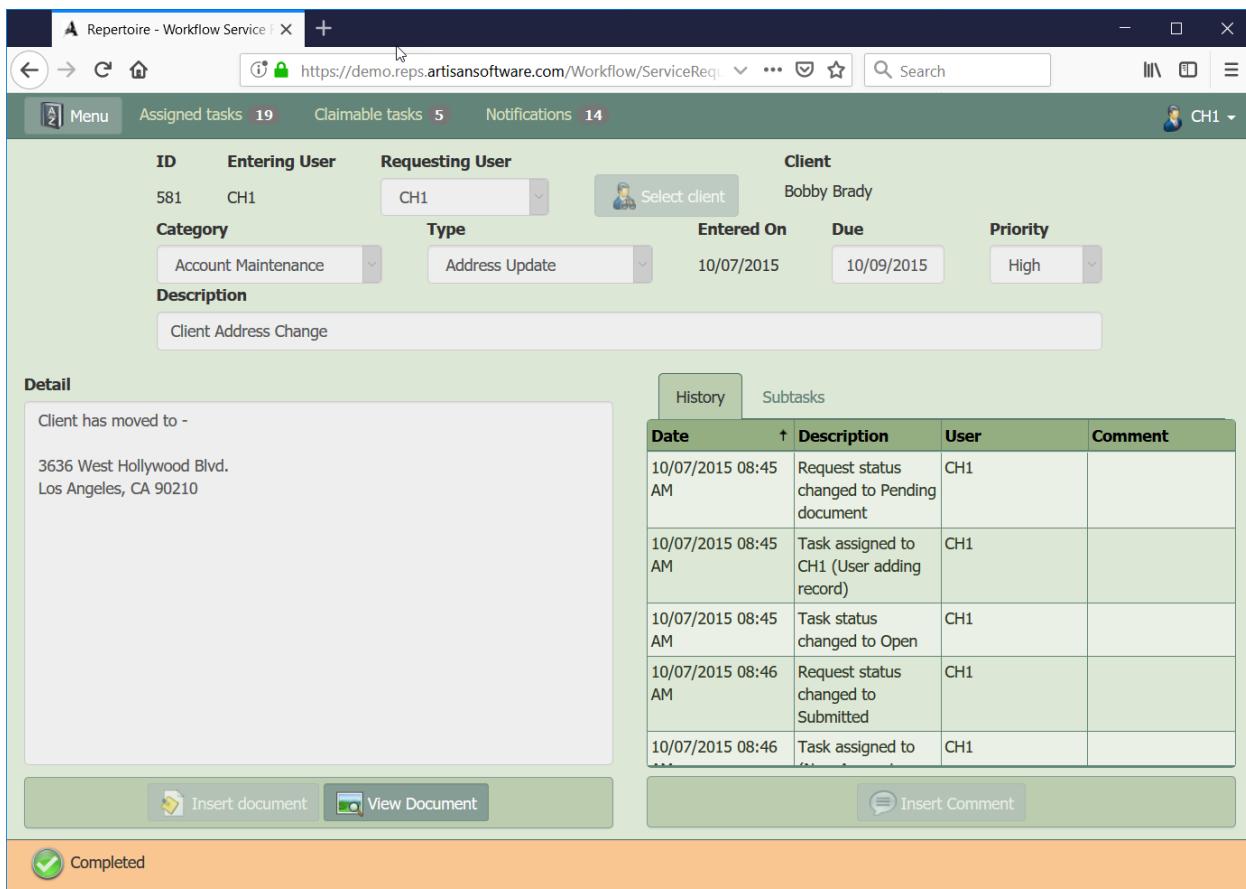
Service Requests

If your Broker Dealer is using the Service Request features, and a Service Request has been entered for this client you are able to view the contents of the Service Request.



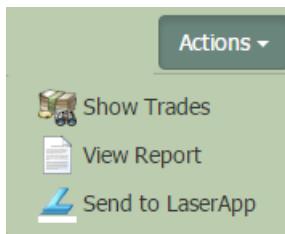
ID	Category	Type	User	Client	Entered On	Due	Description	Status
581	Account Maintenance	Address Update	CH1	Bobby Brady	10/07/2015 08:44 AM	10/9/2015	Client Address Change	Completed
601	Account Maintenance	Address Update	CH1	Bobby Brady	10/08/2015 01:11 PM			Completed

Click the actual Service Request and the View Button to see more detailed information.



Date	Description	User	Comment
10/07/2015 08:45 AM	Request status changed to Pending document	CH1	
10/07/2015 08:45 AM	Task assigned to CH1 (User adding record)	CH1	
10/07/2015 08:45 AM	Task status changed to Open	CH1	
10/07/2015 08:46 AM	Request status changed to Submitted	CH1	
10/07/2015 08:46 AM	Task assigned to CH1	CH1	

Client Actions



Show Trades – Takes you to the Trade Search screen and will display a history of all trades for that client record.

View Report – Generates a PDF report of the client's information.

A screenshot of an Adobe Acrobat PDF document titled 'CustProfile(2012-07-03 14-50-23).pdf'. The document is a client profile for 'Client Account 100'. It includes the following sections:

- Client Account 100** (Title) and **7/3/2012 2:50:23 PM** (Timestamp).
- Registration**: Brett Gershwin, 139 Red Lake Ave, Pacific Beach, CA 92109.
- Display Name**: Brett Gershwin.
- Opened On**: 6/14/2006.
- SSN**: 010-74-4351.
- Account Type**: IND (Individual).
- Org**: 1033 (San Francisco OSJ).
- Rep**: JJ1 (John Johnson).
- Withholding Code**: W9.
- Acct Operator**: Client.
- Profile** section: Birth Date (4/17/1952), Client Review (2/23/2012), OFAC Review (5/16/2012), Marital Status (Supervisor Review 6/14/2002), Income (\$128,000.00), Net Worth (\$2,741,000.00), Objective (Speculative), Risk Tolerance (High), Time Horizon, and # Dependents.
- Phone Numbers** section: Location (Number), Cell ((555) 123-4878), and Home ((555) 123-4555).
- Email Addresses** section: Location (Address) and Home (brett.gershwin@gmail.com).
- External Accounts** section: Product Name (8480) and Account (11Z003451).

Send to LaserApp - If you use Laser App, you can click the send to Laser App button to submit this client to Laser App. It will bring up a screen with the client's name so you can make sure it is formatted properly.

LaserApp Registration

As a person

Primary

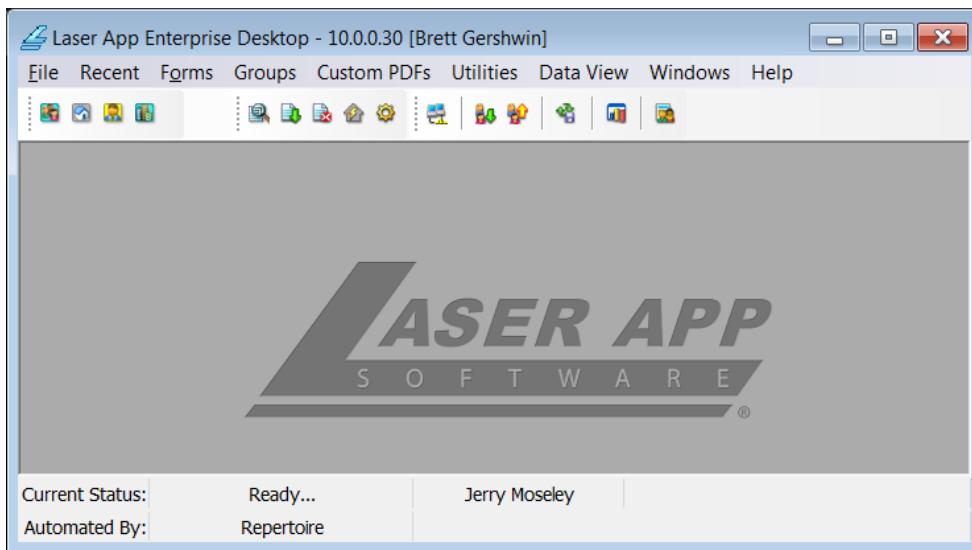
First: Middle: Last:

Spouse Include

First: Middle: Last:

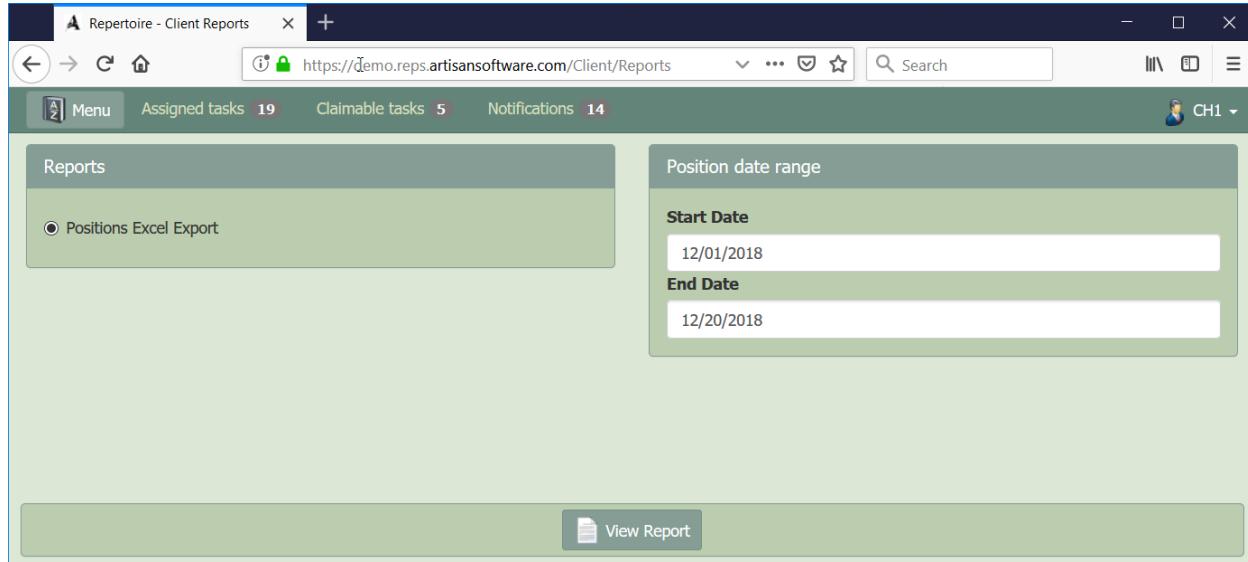
As an entity

Once you click OK, it will pre-fill the LaserApp program with the customer information and you can continue the form filling.



More Reports

In the Clients More Reports you will find the Positions Excel Export report. It will prompt you for the Start and End date for when the Position was priced. You will normally enter the most current beginning of month date.



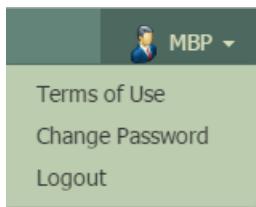
Once you click the View Report, it will launch Excel and show you the Positions for all of your Clients. Then you can filter or use Excel to narrow your results.

The screenshot shows a Microsoft Excel spreadsheet titled 'POSITIONSDATA(2018-12-20 11:45:20) [Read-Only]'. The data grid contains 26 rows of client positions, with columns including Client ID, Display Name, External Account, Rep ID, Rep Name, Product Code, Product, Value, Amount, Valued On, Shares, and Share Price. The data is heavily redacted for privacy.

	A	B	C	D	E	F	G	H	I	J	K	
1	Client ID	Display Name	External Account	Rep ID	Rep Name	Product Code	Product	Value	Amount	Valued On	Shares	Share Price
2	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	399874775	AT THE GROWTH FUN	17016.80	10/26/2017	337.4340	50.4300	
3	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	ALB	ALBEMARLE CORP	27808.00	10/26/2017	200.0000	139.0400	
4	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	ALBCX	Alger Balanced Class C	18245.90	10/26/2017	469.1670	38.8900	
5	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	ALGCX	Alger Largecap Growth	16493.26	10/26/2017	1122.7540	14.6900	
6	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	AMZN	AMAZON COM INC	19448.60	10/26/2017	20.0000	972.4300	
7	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	AOFAX	Growth Opportunities -	49331.33	10/26/2017	3328.7000	14.8200	
8	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	ASPCX	ALGER SPECTRA FUN	81389.49	10/26/2017	4225.8300	19.2600	
9	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	AXTA	AXALTA COATING SY	11336.00	10/26/2017	400.0000	28.3400	
10	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	BHYAX	BLACKROCK FUNDS I	10539.36	10/26/2017	1342.5930	7.8500	
11	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	CELG	CELGENE CORP	19998.00	10/26/2017	200.0000	99.9900	
12	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	FB	FACEBOOK INC CL A	34126.00	10/26/2017	200.0000	170.6300	
13	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	FCISX	Franklin Income CI C	36395.06	10/26/2017	15101.6840	2.4100	
14	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	FMPAX	FIDELITY ADVISOR M	11352.49	10/26/2017	421.3990	26.9400	
15	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	GILD	GILEAD SCIENCES INC	7788.00	10/26/2017	100.0000	77.8800	
16	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	GOOG	Alphabet Inc (formerly	19451.20	10/26/2017	20.0000	972.5600	
17	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	JBLU	JETBLUE AIRWAYS C	5877.00	10/26/2017	300.0000	19.5900	
18	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	KR	KROGER COMPANY C	10410.00	10/26/2017	500.0000	20.8200	
19	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	MA	MASTERCARD INC	14659.00	10/26/2017	100.0000	146.5900	
20	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	NLY	ANNALY MTG MGMT II	2300.00	10/26/2017	200.0000	11.5000	
21	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	NSC	NORFOLK SOUTHERN	13325.00	10/26/2017	100.0000	133.2500	
22	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	ODMAX	OPPENHEIMER DEVE	5089.88	10/26/2017	120.3850	42.2800	
23	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	RPMGX	T ROWE PRICE MID-C	3212.44	10/26/2017	34.9330	91.9600	
24	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	TESIX	Templeton Mutual Shar	16570.52	10/26/2017	568.4570	29.1500	
25	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	VCAPX	VERTICAL CAPITAL IN	30232.68	10/26/2017	2403.2340	12.5800	
26	117	Curtis Hill	122231198	CH1	Carol Lynn Haynes	VEUCX	INTREPID EUROPEAN	39519.89	10/26/2017	1655.6300	23.8700	

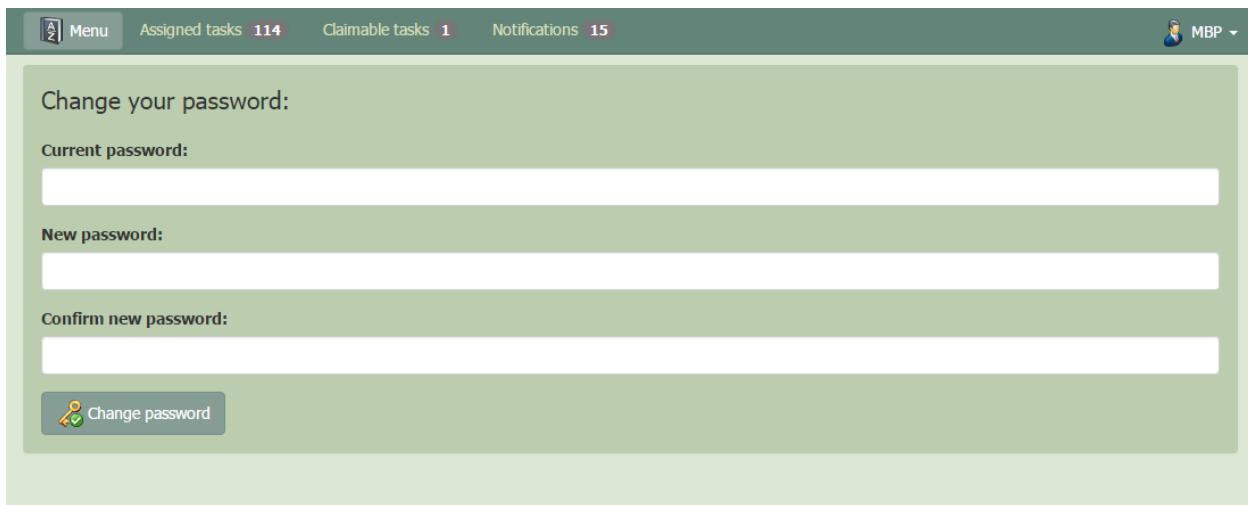
Administrative Features

In the upper right corner of the screen, you'll see the Rep ID you use to log in. In this example, the Rep ID is MBP. Click the arrow to see the three drop down menu options.



Terms of Use – Takes you to the Repertoire Terms of Use you saw upon your initial login

Change Password – Lets you change your password. You must first enter your current one and then enter the new one twice to confirm.



Logout – This will log you out of Repertoire. You will have to use your password the next time you login.