

Web Repertoire

User Guide

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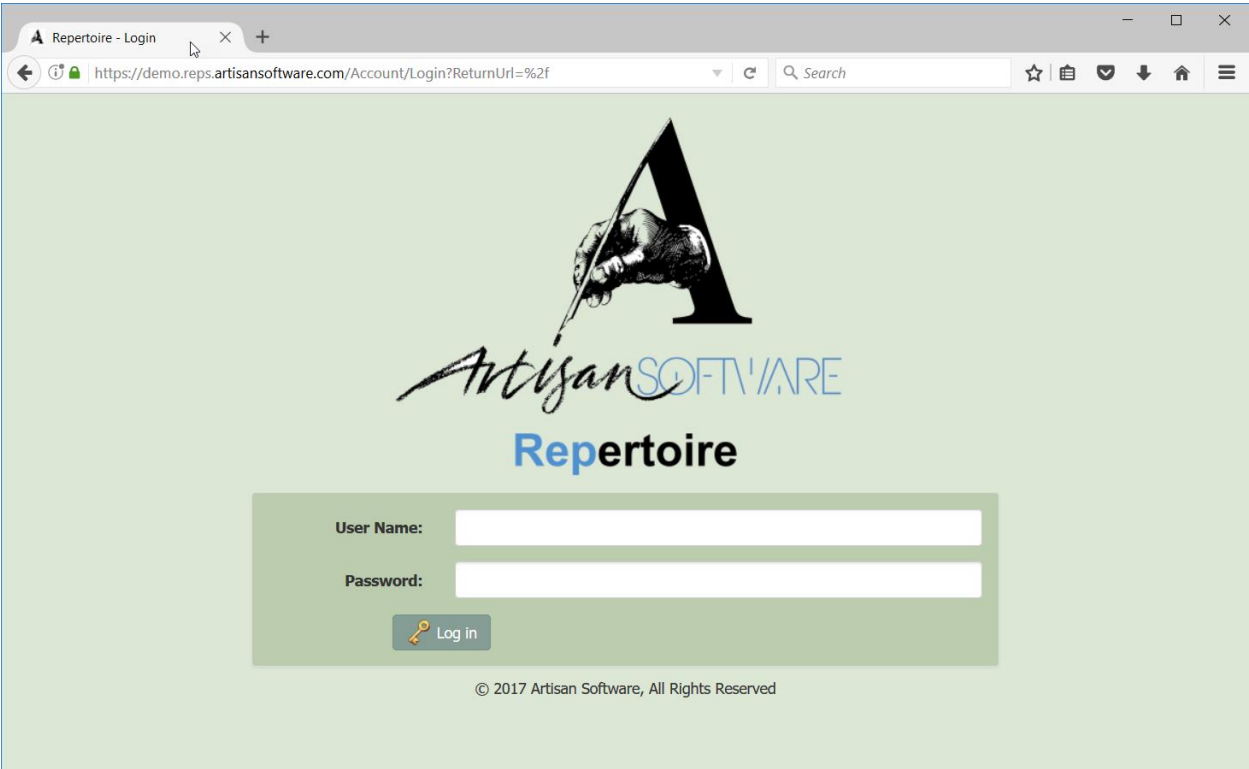
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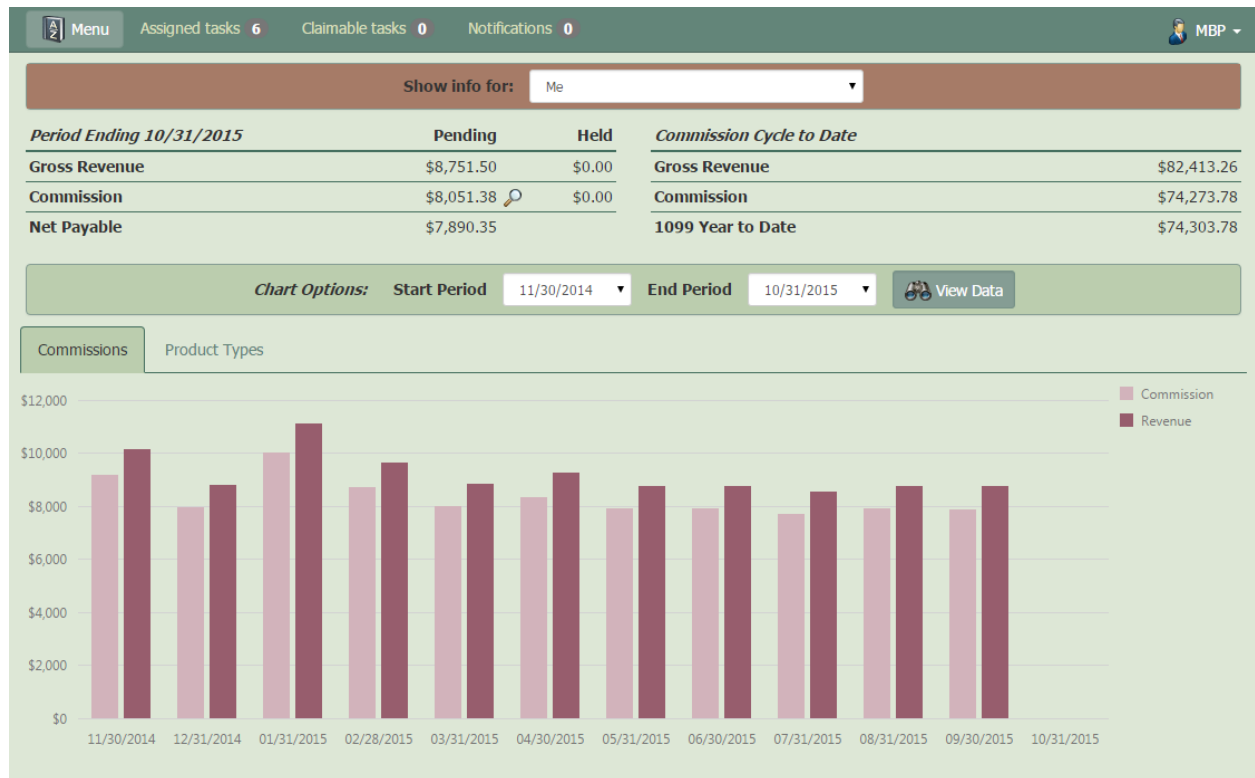
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Your login id is your Rep number
You should have been assigned a Temporary Password




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



	<p>Menu – Takes you to the Main Menu and is always located in the upper left corner of the screen.</p>
	<p>Shows the number of tasks available to work on. Both task buttons take you to the dashboard to view a summary of tasks.</p>
	<p>Shows the number of notifications you have. The button takes you to the notification screen.</p>

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.

Menu

Assigned tasks 8

Claimable tasks 0

Notifications 3

JJ1

Delete All

View

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

Menu
Assigned tasks 91
Claimable tasks 0
Notifications 14
MBP

Add new packet

Business Waiting To Be Submitted

Name	ID
Ed O'neil	263
Emily Lowe	1
Harry Larry	186
Howie How	313
Jam Berry	325
Jan Jansen	312
Jane Smith	466
Jay Bean	328
Jerry Seinfeld	13
Jimmy John	462
Judge Judy	43
July Fourth	465
Marci Dardi	343
Martin McMuffin	124
Marty Smarty	126
Michael Buble	33
Mike Spinach	153
Mocking Bird	326
Mr. Smith	299
Orange Tree	296
Paula Bean	194
Pauly Shore	160
Pear Fruit	460

Continue work on selected packet

Business Pending in the Back Office
View

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	JOHNNY MILLER	Client	98215
4/28/2015	Justin Berry	Client	98216
4/13/2015	Michelle Parry	Client	98128
4/13/2015	Orange Peel	Client	98121

1

Recently Approved Business
View

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

1

Recently Rejected Business
View


Status Changed	Client	Type	Key
No data			

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.

 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	
Accounts	Name BEN N. JERRY		Business Type Retail	
Contact	Sort Key JERRYB		Tax ID Type SSN	Tax ID
Identification	Address 28 ICE CREAM WAY		Rep ID MBP	Michelle Parry Rep
Financials	Zip 92108	City SAN DIEGO	State CA	Org 1031
Suitability	Country United States		Artisan's San Diego OSJ	
Parties	Opened On 07/01/2015			
Trades				
Checks				
Documents				
Finish				

[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	All accounts for this client	
Contact		
Identification		
Financials		
Suitability		
Parties		
Trades		
Checks		
Documents		
Finish		

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

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

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

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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

+

 Insert

Edit

Location	Phone Number
Branch	(800) 888-8585

E-Mail Addresses

+

 Insert

Edit

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	Select...
Identification Number	V4175847	
Identification Issuer	Vermont	Select...
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 <input type="radio"/> Female	Single	15

Prev PageCancelNext Page

Include any identification information you have here.

Financials

Client	
Accounts	
Contact	
Identification	
Financials	
Suitability	
Parties	
Trades	
Checks	
Documents	
Finish	

Net Worth:	500,001 - and up ▼	
Total Net Worth:	Specific value ▼	5000000
Income:	500,001 - 100,000,000 ▼	
Liquid Assets:	50,001 - 100,000 ▼	
Tax Bracket:	Specific value ▼	28
Dependents:	0	
Employment Status: Employed ▼		
Employer:	Ice Cream Maker	
Title/Occupation:	CEO	
Bank:	Chase Bank	

[← Prev Page](#)[✖ Discard changes to profile](#)[→ Next Page](#)

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

Suitability

Client	Risk Tolerance	<input type="checkbox"/> Affiliated with the securities industry?
Accounts	High/Spec	Entity type (BD, Regulator, etc.)
Contact	Investment Objective	
Identification	Growth	Entity Name/Address
Financials	Time Horizon	
Suitability	Specific value	<input type="checkbox"/> Affiliated with a public company?
Parties	10	Name of company
Trades		Symbol
Checks		<input type="checkbox"/> Affiliated with a non-US country?
Documents		Name of country
Finish		Select...

Investment Knowledge		
Product	Experience	Years
Mutual Funds	Extensive	20

Prev Page Cancel Next Page

Suitability, affiliations, and investment knowledge are entered here.

Additional Parties (if applicable)

Client	<div>Party Type ↑ Name ↑</div> <div>No data</div>
Accounts	
Contact	
Identification	
Financials	
Suitability	
Parties	<div>Party Details Insert</div> <div><div><div>Party Type Additional address</div><div>Name Ben N. Jerry</div><div>Address 1000 Old Country Road</div><div>Zip 78745</div><div>City Austin</div><div>State Texas</div><div>Country United States</div></div><div><div>SSN _ _ - _ _</div><div>Date of Birth </div><div>Phone Number </div><div>Employment Status Select...</div><div>Employer </div><div>Title/Occupation </div></div><div><div><input type="checkbox"/> Affiliated with the securities industry? Entity type (BD, Regulator, etc.) </div><div>Entity Name/Address </div><div><input type="checkbox"/> Affiliated with a public company? Name of company </div><div>Symbol </div><div><input type="checkbox"/> Affiliated with a non-US country? Name of country Select...</div></div></div>
Trades	
Checks	
Documents	
Finish	

Prev Page Discard party changes Next Page

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

Trades

Client	Orders for this client in the past 90 days											
Accounts	<table border="1"> <thead> <tr> <th>Trade ID</th> <th>Trade Date</th> <th>Product</th> <th>Principal</th> </tr> </thead> <tbody> <tr> <td>290840</td> <td>5/4/2015</td> <td>Accessor High Yield Bond-Inst Class</td> <td>\$3,300.00</td> </tr> </tbody> </table>				Trade ID	Trade Date	Product	Principal	290840	5/4/2015	Accessor High Yield Bond-Inst Class	\$3,300.00
Trade ID	Trade Date	Product	Principal									
290840	5/4/2015	Accessor High Yield Bond-Inst Class	\$3,300.00									
Contact												
Identification												
Financials	Orders in this packet											
Suitability	<table border="1"> <thead> <tr> <th>Trade ID</th> <th>Product</th> <th>Principal</th> </tr> </thead> <tbody> <tr> <td>290840</td> <td>Accessor High Yield Bond-Inst Class</td> <td>\$3,300.00</td> </tr> </tbody> </table>				Trade ID	Product	Principal	290840	Accessor High Yield Bond-Inst Class	\$3,300.00		
Trade ID	Product	Principal										
290840	Accessor High Yield Bond-Inst Class	\$3,300.00										
Parties												
Trades												
Checks												
Documents												
Finish												
	<div>Trade Details Insert</div> <div> <div>ID: 290840 Trade Type: Buy Rep ID: MBP</div> <div>Product Type: Mutual Funds Vendor: Accessor Funds Product: Accessor High Yield Bond-Inst Class (AHBAX)</div> <div>External Account: (UNKNOWN) for Access... Trade Date: 05/04/2015 Principal: 3300 Source of Funds: Other <input type="checkbox"/> Solicited</div> </div>											
<div> Prev Page Cancel Next Page </div>												

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
Tracking number		9808JE38977
Comment		

⬅️ 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

Accounts

Contact

Identification

Financials

Suitability

Parties

Trades

Checks

Documents

Finish

Packet ID 305

Packet Name

Ben N. Jerry

Packet Type

Direct

Add comment to packet (optional)

Packet contents summary

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

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.

Menu Assigned tasks 6 Claimable tasks 0 Notifications 0 MBP								
Open Closed		Insert View						
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.

Menu Assigned tasks 51 Claimable tasks 2 Notifications 258 MBP				
Insert View				
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.

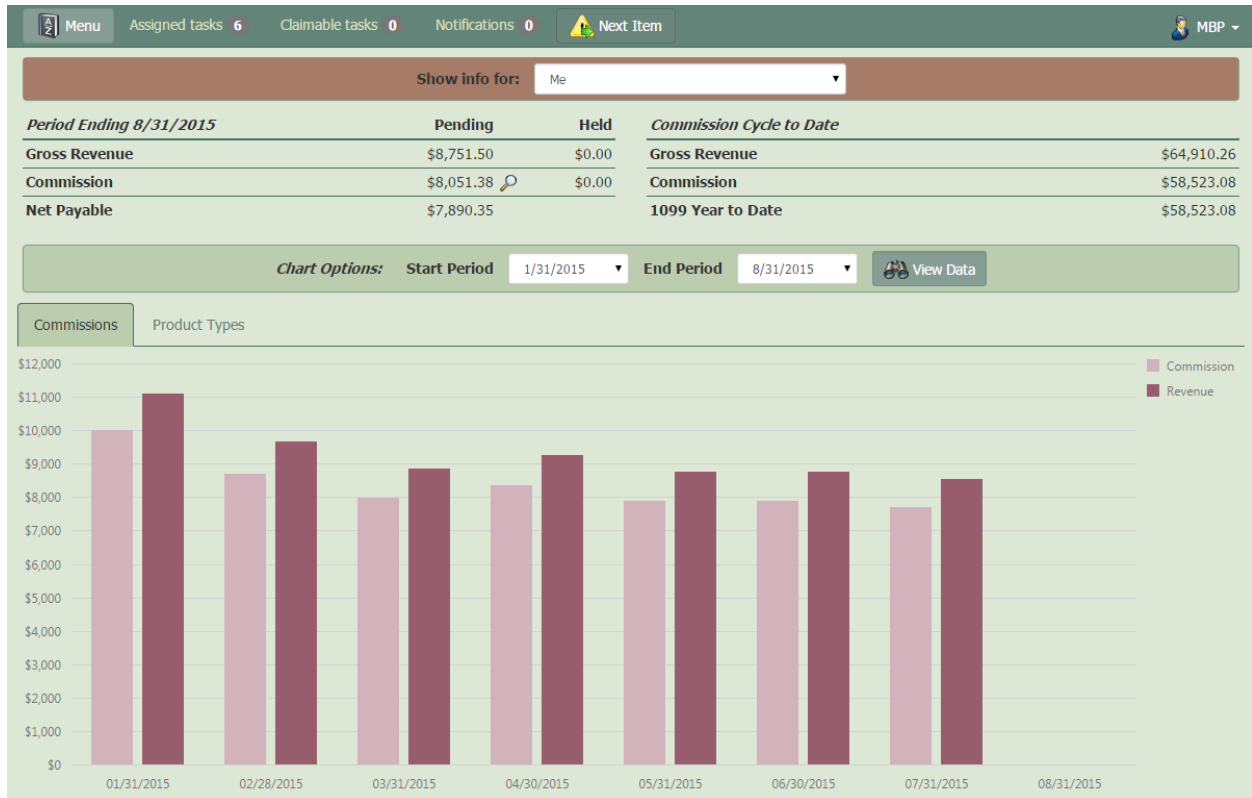
Reviewed after use – The advertisement has been reviewed and approved, but the approval took place after the date the rep indicated it would be used.


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

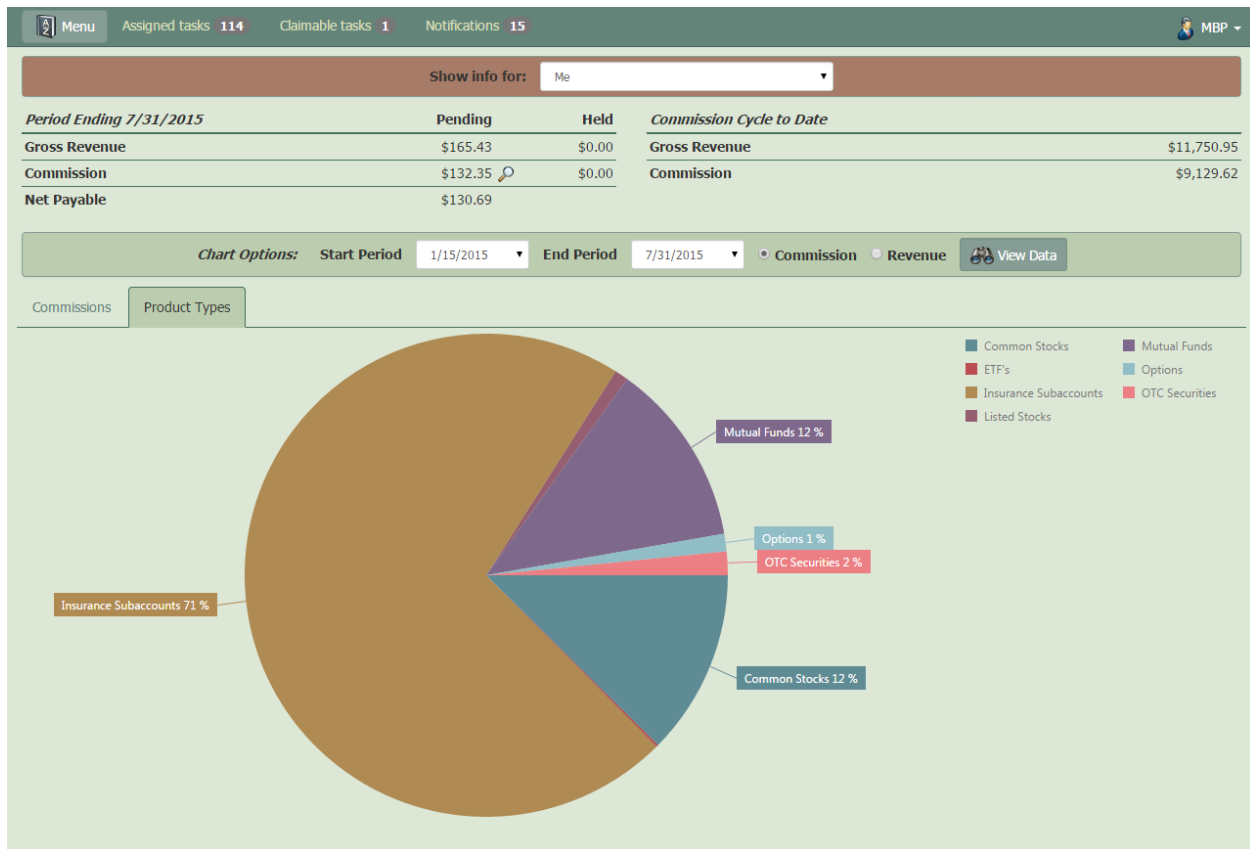
Summary (Opening screen)

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.

Menu Assigned tasks 114 Claimable tasks 1 Notifications 15 MBP					
Show info for: Me					
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"/>
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.

Menu

Assigned tasks

90

Claimable tasks

0

Notifications

14

MBP

Show info for:

Pete Peterson

Balances as of 4/16/2015

Commission	(\$80.00)
Expense deductions	(\$80.00)
Expense invoices	\$1,542.00

Start Period

11/15/2014

End Period

4/16/2015

View Data

Export

Adjustments and Expenses

Payments

Period Due	Adjustment Type	Description	Amount	Settlement	1099
4/16/2015	Licensing fees	Shipping Fees	(\$10.00)	Expense (Deduction)	<input type="checkbox"/>
4/16/2015	Licensing fees	Net X 360 Fees	(\$70.00)	Expense (Deduction)	<input type="checkbox"/>
4/15/2015	Licensing fees	Shipping Fees	(\$10.00)	Expense (Deduction)	<input type="checkbox"/>
3/31/2015	Licensing fees	Shipping Fees	(\$10.00)	Expense (Deduction)	<input type="checkbox"/>
3/31/2015	Licensing fees	Net X 360 Fees	(\$70.00)	Expense (Deduction)	<input type="checkbox"/>
3/15/2015	Licensing fees	Shipping Fees	(\$10.00)	Expense (Deduction)	<input type="checkbox"/>
2/28/2015	Licensing fees	Shipping Fees	(\$10.00)	Expense (Deduction)	<input type="checkbox"/>
2/28/2015	Licensing fees	Net X 360 Fees	(\$70.00)	Expense (Deduction)	<input type="checkbox"/>
2/15/2015	Licensing fees	Shipping Fees	(\$10.00)	Expense (Deduction)	<input type="checkbox"/>
1/31/2015	Licensing fees	Shipping Fees	(\$10.00)	Expense (Deduction)	<input type="checkbox"/>
1/31/2015	Licensing fees	Net X 360 Fees	(\$70.00)	Expense (Deduction)	<input type="checkbox"/>
1/15/2015	Licensing fees	Shipping Fees	(\$10.00)	Expense (Deduction)	<input type="checkbox"/>

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

The interface shows a top navigation bar with 'Menu', 'Assigned tasks 90', 'Claimable tasks 0', 'Notifications 14', and a user profile 'MBP'. The main area is divided into three sections: 'Reports' on the left with radio buttons for 'Commission Excel Export' (selected) and 'Commission Crosstab'; 'Commission Periods' on the right with 'Start Period' and 'End Period' dropdown menus both set to '6/30/2015'; and 'General Options' with a checkbox 'Show all your reps' which is unchecked. A 'View Report' button is located at the bottom center.

The Excel spreadsheet shows trade data for the period 11-03-29. The data is organized into columns: Trade ID, Trade Date, Settle Date, Comm Period Paid, Rep on Trade, Rep Name, Paid Rep, and Client ID. The first row of data shows a trade with ID 267508.00, dated 12/10/2012, settled on 12/13/2012, with a commission period of 6/18/2013, rep CH1, name HAYNES, CAROL LYNN, paid rep CH1, and client ID 55129.00.

	A	B	C	D	E	F	G	H
	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.

Menu

Assigned tasks 116

Claimable tasks 2

Notifications 15

MBP

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	CommPeriod 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.

Menu
 Assigned tasks **7**
Claimable tasks **0**
Notifications **0**
 MBP

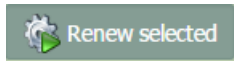
Show info for: Me

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	<input checked="" type="checkbox"/>		1/1/2012	12/31/2016		7	\$26,834.22	\$30.00
	63	AG	GA	Georgia	<input type="checkbox"/>		1/1/2012	12/31/2016		112	\$31,019.00	\$40.00
	63	AG	VA	Virginia	<input type="checkbox"/>		5/30/2015	12/31/2016		0	\$0.00	\$30.00
	65	RA	CA	California	<input checked="" type="checkbox"/>		5/1/2014	12/31/2016		7	\$26,834.22	\$0.00
	65	RA	GA	Georgia	<input type="checkbox"/>		1/1/2012	12/31/2016		14	\$30,894.05	\$0.00
	7	GS			<input type="checkbox"/>		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.

Confirm license renewal

This will renew the selected licenses.

☒ The fees should be paid directly to the firm.







☐ The fees will be deducted from earned commissions.

Cancel OK

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		
<div>  View Document </div>				



Contact Info

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

 Menu Assigned tasks **131** Claimable tasks **0** Notifications **15**  MBP ▾

Show info for: Me ▾

Contact Info

 Cancel  Post

Address:

123 San Diego Drive

City:

San Diego




State:

California ▾

Zip:




92108

Phone Numbers

 Edit  Insert  Delete

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

E-Mail Addresses

 Edit  Insert  Delete

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

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.

Menu

Assigned tasks 131

Claimable tasks 0

Notifications 15

 MBP

Show info for: HAYNES, CAROL LYNN

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.

MenuAssigned tasks 0Claimable tasks 0Notifications 4

CHI

Type of SearchCommission pending next run

Commission pending next runTrade dateClientHeld due to complianceCommission paidAll unpaid trades

Drag a column head

Trade Mode	Rep Id	Trade Date	Principal	B/D Revenue	Product Type	Vendor	Product	Trade Type	Net Comm		
Trade	CH1	291666	Carol Haynes	7/3/2015	\$32,317.34	\$3,131.38	Variable Annuities	Nationwide Financial	BOAFU1	Trailer	\$2,505.10
Trade	CH1	291667	Carol Haynes	7/4/2015	\$32,476.01	\$3,147.07	Variable Annuities	Nationwide Financial	NBOA	Trailer	\$2,517.66
Trade	CH1	291668	Carol Haynes	7/5/2015	\$32,634.68	\$3,162.76	Variable Life	Nationwide Financial	BOALS	Buy	\$2,530.21
Trade	CH1	291669	Carol Haynes	7/6/2015	\$32,793.35	\$3,178.45	Variable Annuities	Nationwide Financial	NGRP	Buy	\$2,542.76
Trade	CH1	291689	Carol Haynes-Bunting	7/1/2015	\$37,649.41	\$3,560.87	Mutual Funds	Oppenheimer Funds	OPCAX	Buy	\$2,848.70
Trade	CH1	291700	Carol Haynes-Bunting	7/13/2015	\$39,553.45	\$3,749.15	Mutual Funds	Oppenheimer Funds	OENAX	Buy	\$2,999.32
Trade	CH1	291690	Carol Haynes-Cooper	7/2/2015	\$37,808.08	\$3,576.56	Mutual Funds	Oppenheimer Funds	CRSXX	Buy	\$2,861.25
Trade	CH1	291701	Carol Haynes-Cooper	7/6/2015	\$37,808.08	\$3,576.56	Mutual Funds	Oppenheimer Funds	CRSXX	Buy	\$2,861.25
Count: 215		\$19,355,8...		\$328,538.00		\$262,830.40					

TransactionsOrdersBothShow TrailersShow \$0 CommissionShow all your reps

View TradeView ClientView ReportExport

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 Reva
290974	5/1/2015	ABC Dental 401K FBO Dr.	535857841	AP	FDGCK	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:

290974

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.

MenuAssigned tasks 152Claimable tasks 5Notifications 16MBP

Search

Viewing trade: 290974

Related TradesCommissionsDocuments

Client34158ABC Dental 401K FBO Dr. Richard Harmetz

Trade TypeAuto (PIPS)

Trade ModeOriginal

Ext Account535857841

RepCH1HAYNES, CAROL LYNN

Principal Shares\$15.45

ProductFDGCXFIDELTY ADVISOR DIVEDEND GROWTH CL C

Revenue\$1.04

Comm Rate %6.7314

Trade Date05/01/2015

Settle Date05/01/2015

B/D Paid On05/13/2015

Comm Period Paid05/14/2015

Placed ThroughFidelity Advisor

QualifiedNo

SolicitedNo

Fees

Status: Comm PaidOpen Flags: 0Recheck

FlagsStatus HistoryReviews

RuleDescriptionFlag StatusTask Status

Excessive commission rateEffective Commission Rate is 6.7314%CorrectedComplete

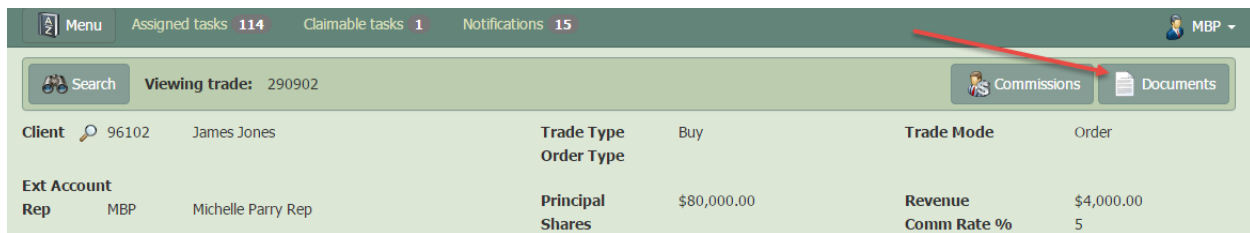
Product not approved for orgCorrectedComplete

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Page

Trade Document

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



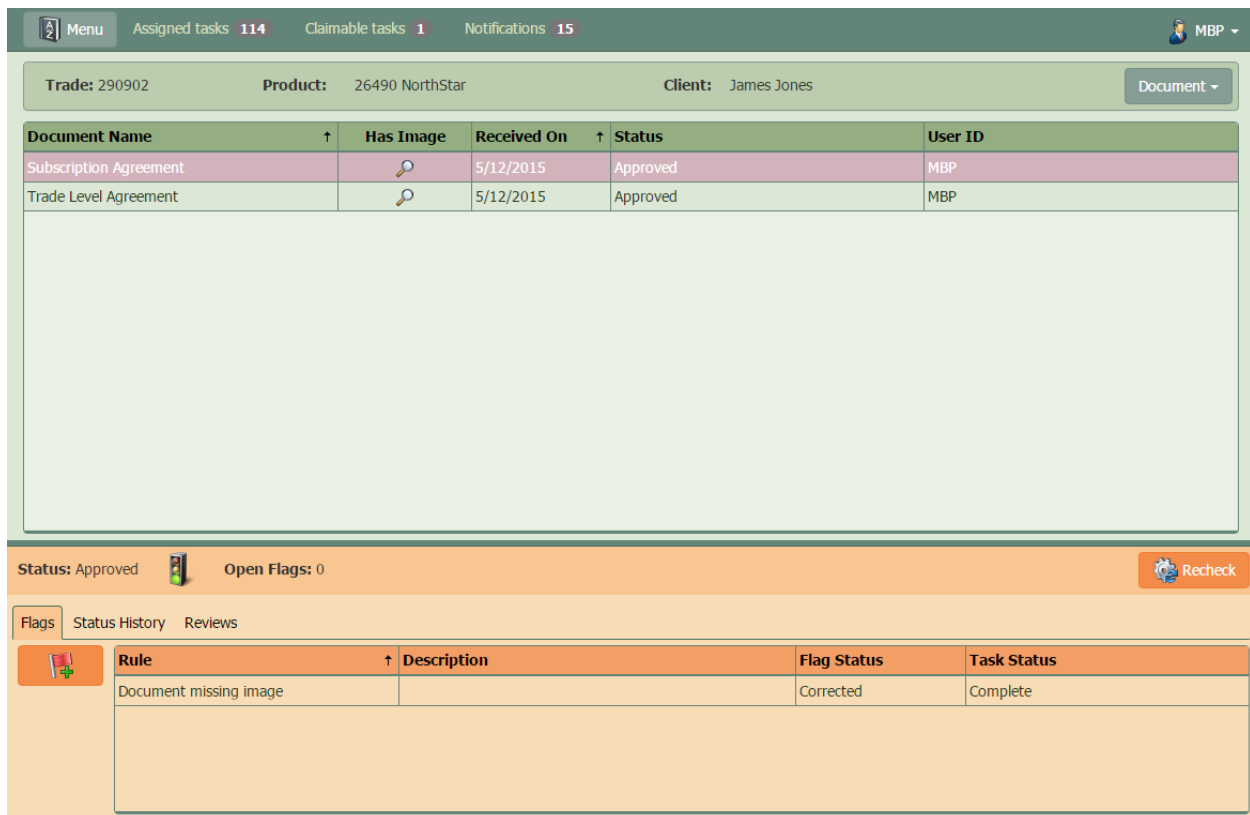
The screenshot shows the top navigation bar with 'Menu', 'Assigned tasks 114', 'Claimable tasks 1', and 'Notifications 15'. Below this is a search bar and a 'Viewing trade: 290902' section. To the right of the trade details are two buttons: 'Commissions' and 'Documents'. A red arrow points to the 'Documents' button. The trade details include:

Client	Trade Type	Trade Mode
96102 James Jones	Buy	Order

Ext Account	Principal	Revenue
Rep MBP Michelle Parry Rep	\$80,000.00	\$4,000.00

Comm Rate %
5

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



The screenshot shows the 'Documents' section for trade 290902. It includes a 'Document' button and a table of documents:

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

Below the documents table is a 'Status: Approved' section with 'Open Flags: 0' and a 'Recheck' button. There are tabs for 'Flags', 'Status History', and 'Reviews'. The 'Flags' tab is active, showing a table of flags:

Rule	Description	Flag Status	Task Status
Document missing image		Corrected	Complete

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 displays a web application interface for generating reports. At the top, a navigation bar includes a 'Menu' icon, 'Assigned tasks 6', 'Claimable tasks 0', 'Notifications 0', and a user profile 'MBP'. The main content area is divided into three sections: 'Report layout' with radio buttons for 'List each trade individually' (selected) and 'Show group summaries only'; 'Trade date range' with 'Start Date' and 'End Date' fields both set to '08/07/2015'; and 'Group trades by' with radio buttons for 'Type of product (e.g. mutual fund, options)', 'Product vendor (e.g. Oppenheimer)', 'Symbol/cusip', 'Client', 'Trade date', and 'Trade type (e.g. buy, sell, trailer)'. An 'Additional options' section contains two checked checkboxes: 'Commission-paid only' and 'Show all your reps'. A 'View Report' button is located at the bottom right of the form.

Clients

Client List


You can view all your clients in one central area.

Menu

Assigned tasks 6

Claimable tasks 0

Notifications 0


 MBP


Show info for: Me

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.

Search

Lewis Gershwin

Edit

Client Details

Actions

B/D Account	4372	Alternate 4372	Account Type	Individual
Full Registration	Lewis Gershwin		Business Type	Retail
Display Name	Lewis Gershwin		Withholding Code	W9
Sort Key			Tax ID Type	SSN
Address	913 Yellow Stone Ave.		Tax ID	*****
City	New York		Rep	HH1 Harry Harris
State	NY		Branch/Office	New York
Zip			Account Operator	Client
Country	United States		Opened On	06/14/2002

Status: Active

Open Flags: 0

Recheck

Flags

Status History

Reviews

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.

Menu

Assigned tasks 6

Claimable tasks 0

Notifications 0

MBP

Search

Lewis Gershwin

Edit

Client Details

Actions

Demographic

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

Financial

Net Worth

Income

Liquid As

Tax Brack

Dependen

Suitability

Risk Tolerance	Medium
Investment Objective	Income
Time Horizon (years)	

Investment Knowledge

Product

Experience

No data

Registration

Profile

Affiliations

Identification

Additional Parties

Contact Info

Documents

Generated Letters

Notes

Accounts

Insert

☐ 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.

Menu

Assigned tasks 6

Claimable tasks 0

Notifications 0

MBP

Search

Lewis Gershwin

Edit

Client Details

Actions

Affiliations

Affiliated with the securities industry?

☐

Entity type (BD, Regulator, etc.)

Entity Name/Address

Affiliated with a public company?

☒

Name of company

Wells Fargo

Symbol

WFC

Affiliated with a non-US country?

☒

Name of country

Australia

Registration

Profile

Affiliations

Additional Parties

Contact Info

Documents

Generated Letters

Notes

Accounts

Identification

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

Menu

Assigned tasks 6

Claimable tasks 0

Notifications 0

MBP

Search Carla Smith

Edit

Client Details

Actions

Identification

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

Other Information

Citizenship	US citizen
Citizen of	United States

Registration

Profile

Affiliations

Identification

Additional Parties

Contact Info

Documents

Generated Letters

Notes

Accounts

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Additional Parties

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

Menu

Assigned tasks 6

Claimable tasks 0

Notifications 0

MBP

Search

Lewis Gershwin

Client Details

Actions

Party Name	Name
Trustee	Lincoln Trust TTEE FBO Lewis Gershwin

Registration

Profile

Affiliations

Additional Parties

Contact Info

Documents

Generated Letters

Notes

Accounts

Party Details

Insert

Cancel

Post

Party Type

Trustee

Name

Lincoln Trust TTEE FBO
Lewis Gershwin IRA
DTD 09/01/1990

SSN

Birthdate

☐ Send account notification

Address

PO Box 173859

Zip

80217

City

Denver

State

Colorado

Country

United States

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Contact Info

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

Menu

Assigned tasks 10

Claimable tasks 1

Notifications 0

MBP

Search

Lewis Gershwin

Client Details

Actions

Phone Numbers

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

Registration

Profile

Affiliations

Identification

Additional Parties

Contact Info

Documents

Generated Letters

Notes

Accounts

Positions/Activity

E-Mail Addresses


Edit

Insert

Delete

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.

Menu

Assigned tasks 6

Claimable tasks 0

Notifications 0

MBP



Search

Lewis Gershwin

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

Registration

Profile

Affiliations

Identification

Additional Parties

Contact Info

Documents

Generated Letters

Notes

Accounts

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.

The screenshot shows a web browser window displaying a 'New Account Form' for NAF. The form is titled 'New Account Form' and includes a sub-header 'Please print, photocopy or upload when and where you wish. All information requested is required unless optional is indicated'. The form is divided into several sections:

- 1. ACCOUNT REGISTRATION**: Includes a field for 'B. r. e. t. t. G. e. r. s. h. w. i. n.' and a 'NAF' logo.
- 2. ACCOUNT INFORMATION**: Includes a dropdown for 'Direct' and a checked option for 'Brokerage'. It contains various checkboxes for account types such as 'Individual Transfer on Death', 'Joint Transfer on Death', 'Community Property', 'UOMs', 'Estate', 'Charitable Contribution', 'Non-Profit Organization', 'Investment Club', 'Limited Liability Partnership', and 'Sole Proprietor'.
- 3. IRA**: Includes a dropdown for 'Traditional' and a checked option for 'Roth'. It contains checkboxes for 'Roth Conversion' and 'Roth Rollover'.
- 4. Qualified Retirement Plans**: Includes a dropdown for 'Individual 401(k)' and a checked option for '401(k)'. It contains checkboxes for '403(b)', '457(b)', '529', '529C', '529D', '529E', '529F', '529G', '529H', '529I', '529J', '529K', '529L', '529M', '529N', '529O', '529P', '529Q', '529R', '529S', '529T', '529U', '529V', '529W', '529X', '529Y', '529Z', '529AA', '529AB', '529AC', '529AD', '529AE', '529AF', '529AG', '529AH', '529AI', '529AJ', '529AK', '529AL', '529AM', '529AN', '529AO', '529AP', '529AQ', '529AR', '529AS', '529AT', '529AU', '529AV', '529AW', '529AX', '529AY', '529AZ', '529BA', '529BB', '529BC', '529BD', '529BE', '529BF', '529BG', '529BH', '529BI', '529BJ', '529BK', '529BL', '529BM', '529BN', '529BO', '529BP', '529BQ', '529BR', '529BS', '529BT', '529BU', '529BV', '529BW', '529BX', '529BY', '529BZ', '529CA', '529CB', '529CC', '529CD', '529CE', '529CF', '529CG', '529CH', '529CI', '529CJ', '529CK', '529CL', '529CM', '529CN', '529CO', '529CP', '529CQ', '529CR', '529CS', '529CT', '529CU', '529CV', '529CW', '529CX', '529CY', '529CZ', '529DA', '529DB', '529DC', '529DD', '529DE', '529DF', '529DG', '529DH', '529DI', '529DJ', '529DK', '529DL', '529DM', '529DN', '529DO', '529DP', '529DQ', '529DR', '529DS', '529DT', '529DU', '529DV', '529DW', '529DX', '529DY', '529DZ', '529EA', '529EB', '529EC', '529ED', '529EE', '529EF', '529EG', '529EH', '529EI', '529EJ', '529EK', '529EL', '529EM', '529EN', '529EO', '529EP', '529EQ', '529ER', '529ES', '529ET', '529EU', '529EV', '529EW', '529EX', '529EY', '529EZ', '529FA', '529FB', '529FC', '529FD', '529FE', '529FF', '529FG', '529FH', '529FI', '529FJ', '529FK', '529FL', '529FM', '529FN', '529FO', '529FP', '529FQ', '529FR', '529FS', '529FT', '529FU', '529FV', '529FW', '529FX', '529FY', '529FZ', '529GA', '529GB', '529GC', '529GD', '529GE', '529GF', '529GG', '529GH', '529GI', '529GJ', '529GK', '529GL', '529GM', '529GN', '529GO', '529GP', '529GQ', '529GR', '529GS', '529GT', '529GU', '529GV', '529GW', '529GX', '529GY', '529GZ', '529HA', '529HB', '529HC', '529HD', '529HE', '529HF', '529HG', '529HH', '529HI', '529HJ', '529HK', '529HL', '529HM', '529HN', '529HO', '529HP', '529HQ', '529HR', '529HS', '529HT', '529HU', '529HV', '529HW', '529HX', '529HY', '529HZ', '529IA', '529IB', '529IC', '529ID', '529IE', '529IF', '529IG', '529IH', '529II', '529IJ', '529IK', '529IL', '529IM', '529IN', '529IO', '529IP', '529IQ', '529IR', '529IS', '529IT', '529IU', '529IV', '529IW', '529IX', '529IY', '529IZ', '529JA', '529JB', '529JC', '529JD', '529JE', '529JF', '529JG', '529JH', '529JI', '529JJ', '529JK', '529JL', '529JM', '529JN', '529JO', '529JP', '529JQ', '529JR', '529JS', '529JT', '529JU', '529JV', '529JW', '529JX', '529JY', '529JZ', '529KA', '529KB', '529KC', '529KD', '529KE', '529KF', '529KG', '529KH', '529KI', '529KJ', '529KK', '529KL', '529KM', '529KN', '529KO', '529KP', '529KQ', '529KR', '529KS', '529KT', '529KU', '529KV', '529KW', '529KX', '529KY', '529KZ', '529LA', '529LB', '529LC', '529LD', '529LE', '529LF', '529LG', '529LH', '529LI', '529LJ', '529LK', '529LL', '529LM', '529LN', '529LO', '529LP', '529LQ', '529LR', '529LS', '529LT', '529LU', '529LV', '529LW', '529LX', '529LY', '529LZ', '529MA', '529MB', '529MC', '529MD', '529ME', '529MF', '529MG', '529MH', '529MI', '529MJ', '529MK', '529ML', '529MN', '529MO', '529MP', '529MQ', '529MR', '529MS', '529MT', '529MU', '529MV', '529MW', '529MX', '529MY', '529MZ', '529NA', '529NB', '529NC', '529ND', '529NE', '529NF', '529NG', '529NH', '529NI', '529NJ', '529NK', '529NL', '529NM', '529NN', '529NO', '529NP', '529NQ', '529NR', '529NS', '529NT', '529NU', '529NV', '529NW', '529NX', '529NY', '529NZ', '529OA', '529OB', '529OC', '529OD', '529OE', '529OF', '529OG', '529OH', '529OI', '529OJ', '529OK', '529OL', '529OM', '529ON', '529OO', '529OP', '529OQ', '529OR', '529OS', '529OT', '529OU', '529OV', '529OW', '529OX', '529OY', '529OZ', '529PA', '529PB', '529PC', '529PD', '529PE', '529PF', '529PG', '529PH', '529PI', '529PJ', '529PK', '529PL', '529PM', '529PN', '529PO', '529PP', '529PQ', '529PR', '529PS', '529PT', '529PU', '529PV', '529PW', '529PX', '529PY', '529PZ', '529QA', 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'529UI', '529UJ', '529UK', '529UL', '529UM', '529UN', '529UO', '529UP', '529UQ', '529UR', '529US', '529UT', '529UU', '529UV', '529UW', '529UX', '529UY', '529UZ', '529VA', '529VB', '529VC', '529VD', '529VE', '529VF', '529VG', '529VH', '529VI', '529VJ', '529VK', '529VL', '529VM', '529VN', '529VO', '529VP', '529VQ', '529VR', '529VS', '529VT', '529VU', '529VV', '529VW', '529VX', '529VY', '529VZ', '529WA', '529WB', '529WC', '529WD', '529WE', '529WF', '529WG', '529WH', '529WI', '529WJ', '529WK', '529WL', '529WM', '529WN', '529WO', '529WP', '529WQ', '529WR', '529WS', '529WT', '529WU', '529WV', '529WW', '529WX', '529WY', '529WZ', '529XA', '529XB', '529XC', '529XD', '529XE', '529XF', '529XG', '529XH', '529XI', '529XJ', '529XK', '529XL', '529XM', '529XN', '529XO', '529XP', '529XQ', '529XR', '529XS', '529XT', '529XU', '529XV', '529XW', '529XX', '529XY', '529XZ', '529YA', '529YB', '529YC', '529YD', '529YE', '529YF', '529YG', '529YH', '529YI', '529YJ', '529YK', '529YL', '529YM', '529YN', '529YO', '529YP', '529YQ', '529YR', '529YS', '529YT', '529YU', '529YV', '529YW', '529YX', '529YY', '529YZ', '529ZA', '529ZB', '529ZC', '529ZD', '529ZE', '529ZF', '529ZG', '529ZH', '529ZI', '529ZJ', '529ZK', '529ZL', '529ZM', '529ZN', '529ZO', '529ZP', '529ZQ', '529ZR', '529ZS', '529ZT', '529ZU', '529ZV', '529ZW', '529ZX', '529ZY', '529ZZ'.

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 web application interface for viewing generated letters for a specific client. At the top, there is a navigation bar with a 'Menu' icon, 'Assigned tasks 6', 'Claimable tasks 0', and 'Notifications 0'. On the right of the navigation bar is a user profile icon labeled 'MBP'. Below the navigation bar is a search bar containing the name 'Lewis Gershwin'. To the right of the search bar are two buttons: 'Client Details' and 'Actions'. The main content area is a table with three columns: 'Letter Type', 'Run ID', and 'Run Date'. The table contains seven rows of data. A dropdown menu is open on the right side of the table, showing a list of options: 'Registration', 'Profile', 'Affiliations', 'Additional Parties', 'Contact Info', 'Documents', 'Generated Letters' (which is highlighted with a mouse cursor), 'Notes', and 'Accounts'. At the bottom of the interface is a 'View Letter' button.

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

Notes

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

Menu

Assigned tasks 6

Claimable tasks 0

Notifications 0

MBP

Search

Brett Gershwin

View Note

Client Details

Actions

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.

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.

Menu

Assigned tasks 10

Claimable tasks 1

Notifications 0

MBP

Search

Lewis Gershwin

Documents

Client Details

Actions

Code	Name	Account	Status
8461	American Funds	4141414141	Active
8497	Jackson National Life	12345678910	Active

Registration

Profile

Affiliations

Identification

Additional Parties

Contact Info

Documents

Generated Letters

Notes

Accounts

Positions/Activity

Documents

Status: Active

Open Flags: 0

Recheck

Flags

Status History

Reviews

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.

Menu

Assigned tasks 10

Claimable tasks 1

Notifications 0

MBP

Search

Lewis Gershwin

Client Details

Actions

Positions

Activity

Product Code	Name	Subaccount	Valued On	Share Price
IBM	INTERNATIONAL BUSINESS MACHINE CORP		11/2/2015	\$140.40
MSFT	MICROSOFT CORP		11/2/2015	\$53.24

Registration

Profile

Affiliations

Identification

Additional Parties

Contact Info

Documents

Generated Letters

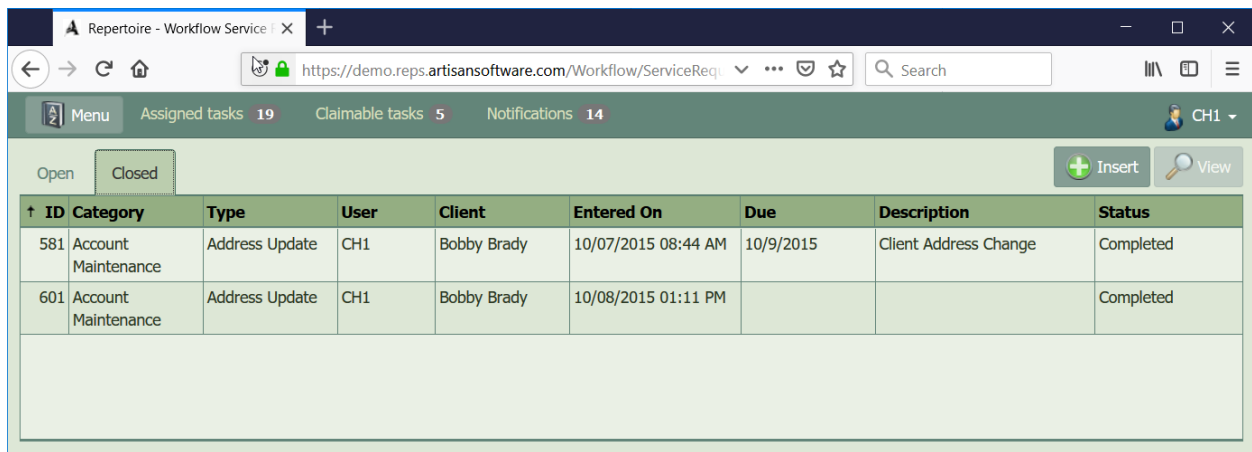
Notes

Accounts

Positions/Activity

Service Requests

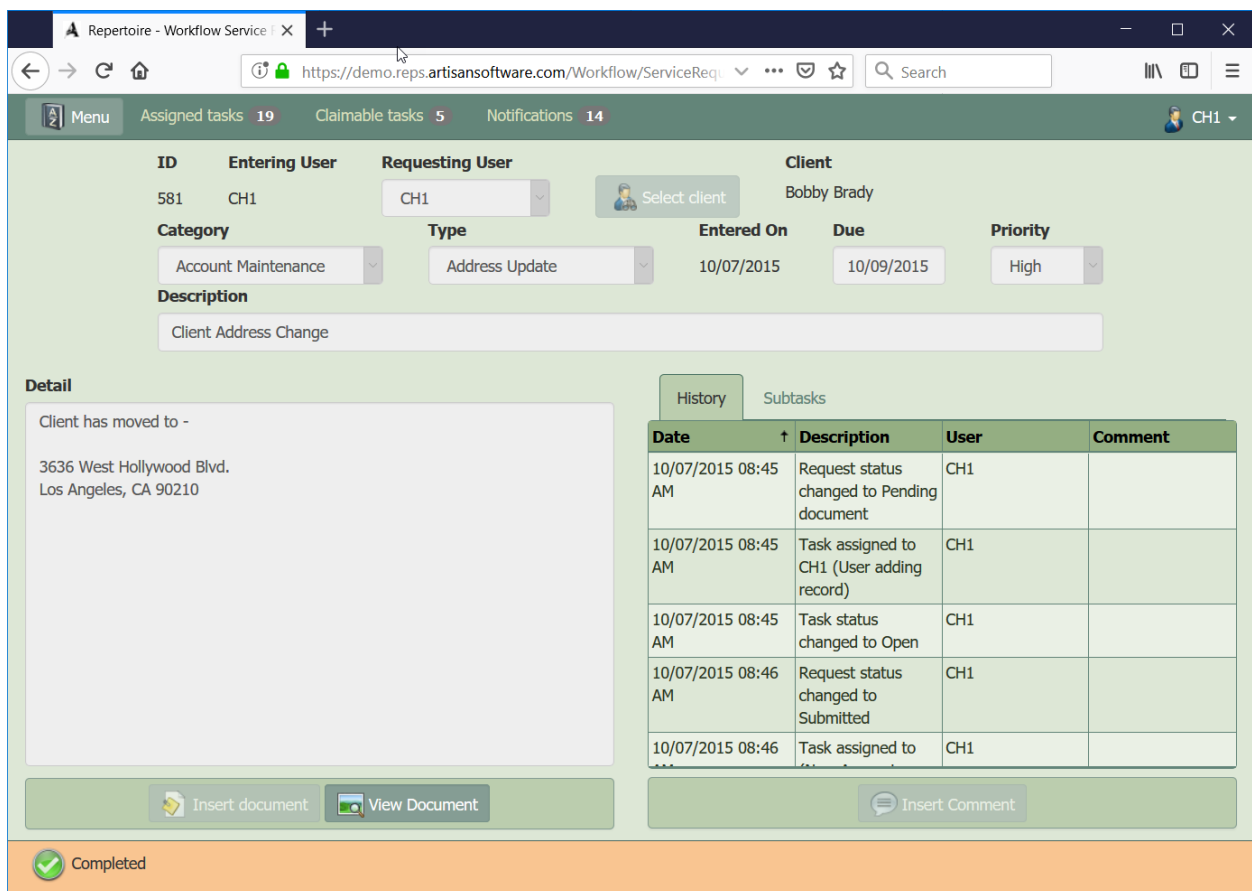
If your Broker Dealer is using the Service Request features, and a Service Request has been entered for this client you are able to view the contents of the Service Request.



The screenshot shows a web application interface for 'Repertoire - Workflow Service'. The browser address bar displays 'https://demo.reps.artisansoftware.com/Workflow/ServiceReq'. The interface includes a navigation bar with 'Menu', 'Assigned tasks 19', 'Claimable tasks 5', and 'Notifications 14'. Below this, there are tabs for 'Open' and 'Closed', and buttons for 'Insert' and 'View'. A table lists service requests with columns: ID, Category, Type, User, Client, Entered On, Due, Description, and Status.

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.



The screenshot shows the detailed view of a service request for ID 581. The interface includes fields for 'ID', 'Entering User', 'Requesting User', 'Client', 'Category', 'Type', 'Entered On', 'Due', and 'Priority'. The 'Description' field contains 'Client Address Change'. Below this, there is a 'Detail' section with a text area showing 'Client has moved to - 3636 West Hollywood Blvd. Los Angeles, CA 90210'. To the right, there is a 'History' table with columns: Date, Description, User, and Comment. At the bottom, there are buttons for 'Insert document', 'View Document', and 'Insert Comment'.

ID	Entering User	Requesting User	Client
581	CH1	CH1	Bobby Brady

Category	Type	Entered On	Due	Priority
Account Maintenance	Address Update	10/07/2015	10/09/2015	High

Description

Client Address Change

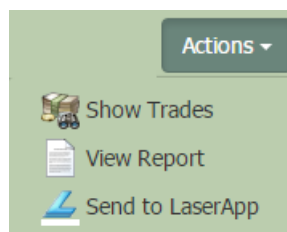
Detail

Client has moved to -
3636 West Hollywood Blvd.
Los Angeles, CA 90210

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	

Completed

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.

CustProfile(2012-07-03 14-50-23).pdf - Adobe Acrobat

File Edit View Window Help

Create

1 / 1 134%

Tools Comment Share

7/3/2012 2:50:23 PM

Client Account 100

Registration Brett Gershwin
139 Red Lake Ave.
Pacific Beach, CA 92109

SSN 010-74-4351

Account Type IND (Individual)

Org 1033 (San Francisco OSJ)

Rep JJ1 (John Johnson)

Display Name Brett Gershwin

Opened On 6/14/2006

Withholding Code W9

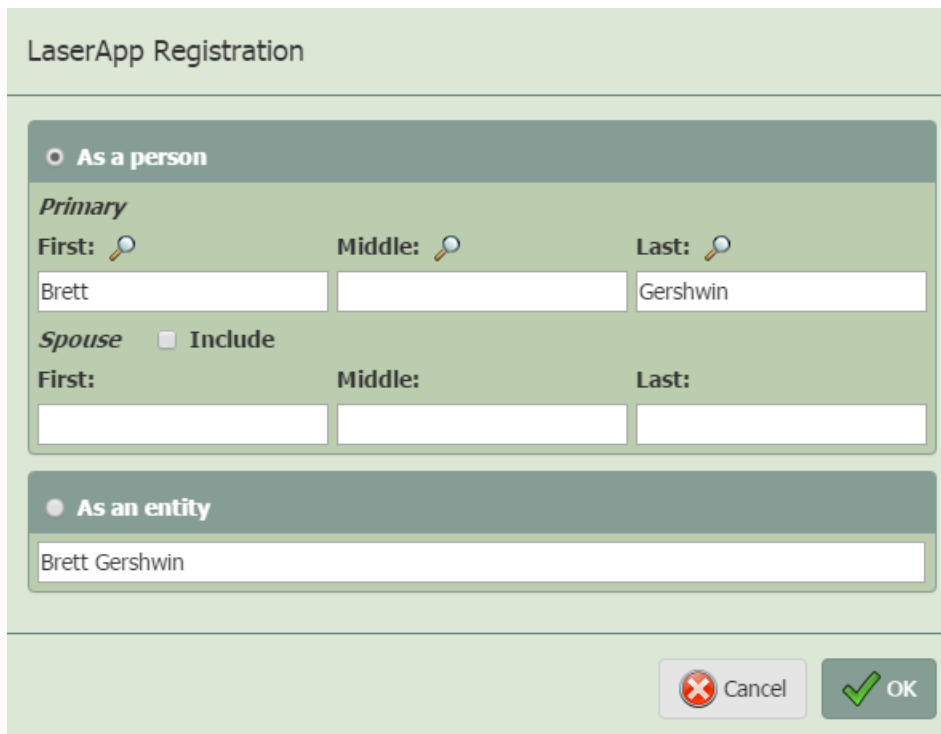
Acct Operator Client

<i>Profile</i>		<i>Phone Numbers</i>	
<i>Birth Date</i>	4/17/1952	<i>Location</i>	<i>Number</i>
<i>Gender</i>	M	Cell	(555) 123-4878
<i>Marital Status</i>		Home	(555) 123-4555
<i>Income</i>	\$128,000.00		
<i>Net Worth</i>	\$2,741,000.00		
<i>Liquid Assets</i>			
<i>Tax Bracket</i>			
<i>Employer</i>			
<i>Occupation</i>			
<i>Bank</i>			
		<i>Email Addresses</i>	
		<i>Location</i>	<i>Address</i>
		Home	brett.gershwin@gmail.com

External Accounts

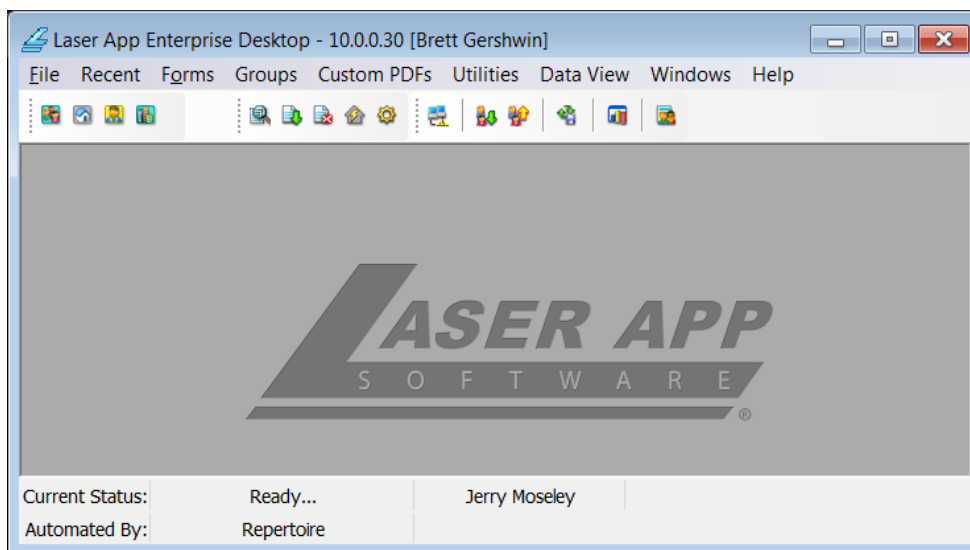
<i>Product Name</i>	<i>Account</i>
8480 Pershing	11Z003451

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.



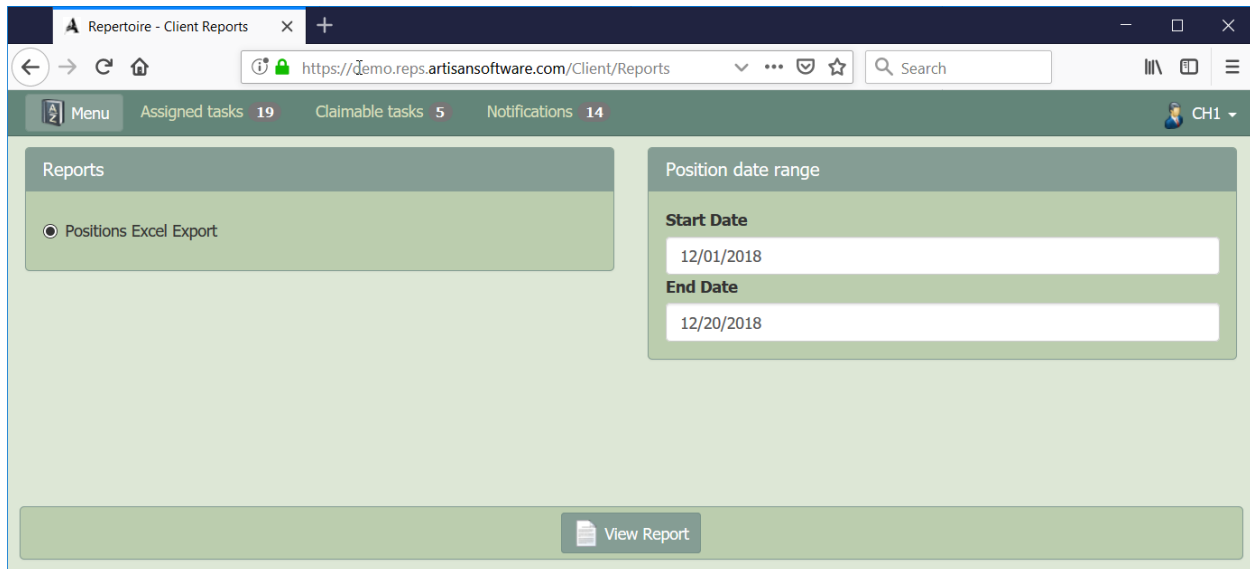
The image shows a 'LaserApp Registration' dialog box. It has two main sections: 'As a person' and 'As an entity'. The 'As a person' section is selected and contains a 'Primary' sub-section with fields for 'First:', 'Middle:', and 'Last:'. The 'First:' field contains 'Brett' and the 'Last:' field contains 'Gershwin'. Below this is a 'Spouse' section with an 'Include' checkbox and fields for 'First:', 'Middle:', and 'Last:'. The 'As an entity' section is unselected and contains a single text field with 'Brett Gershwin'. At the bottom right are 'Cancel' and 'OK' buttons.

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.



Repertoire - Client Reports

Assigned tasks 19 Claimable tasks 5 Notifications 14

Menu

Reports

Positions Excel Export

Position date range

Start Date

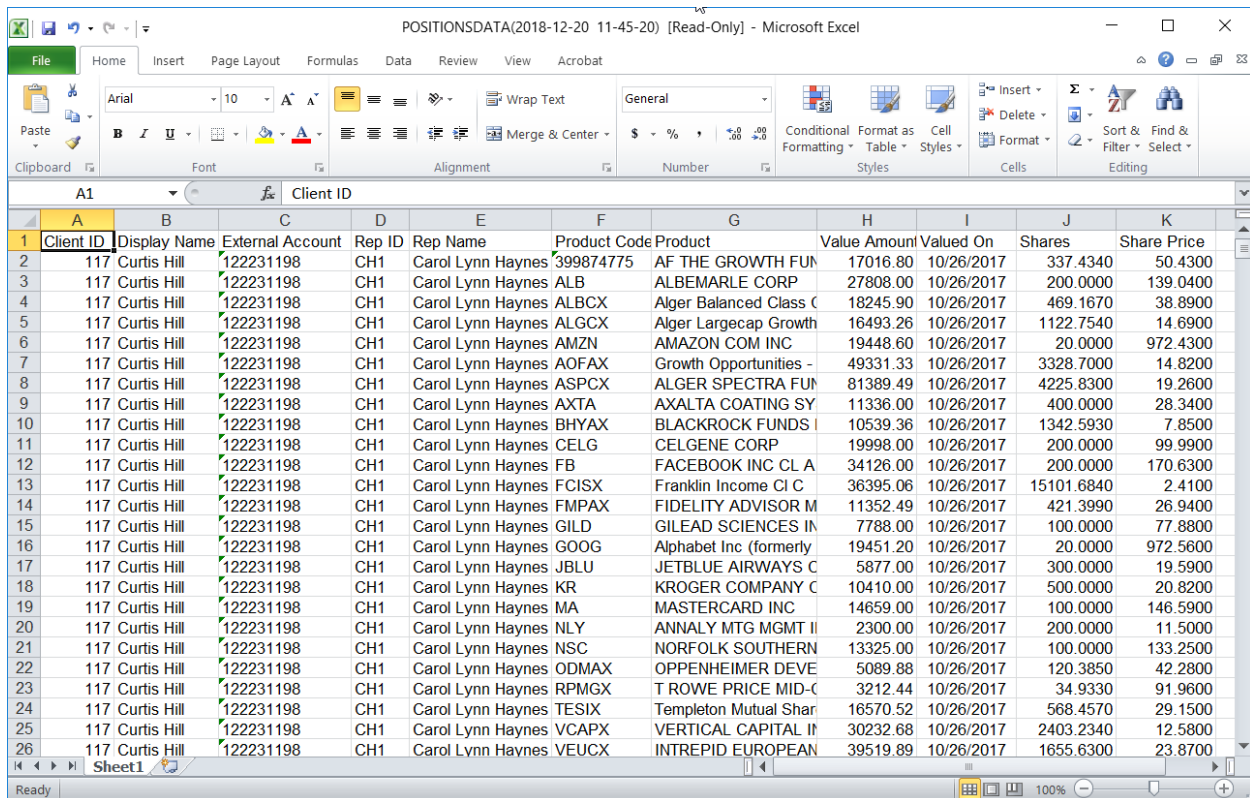
12/01/2018

End Date

12/01/2018

View Report

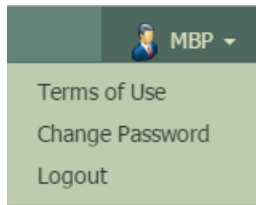
Once you click the View Report, it will launch Excel and show you the Positions for all of your Clients. Then you can filter or use Excel to narrow your results.



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

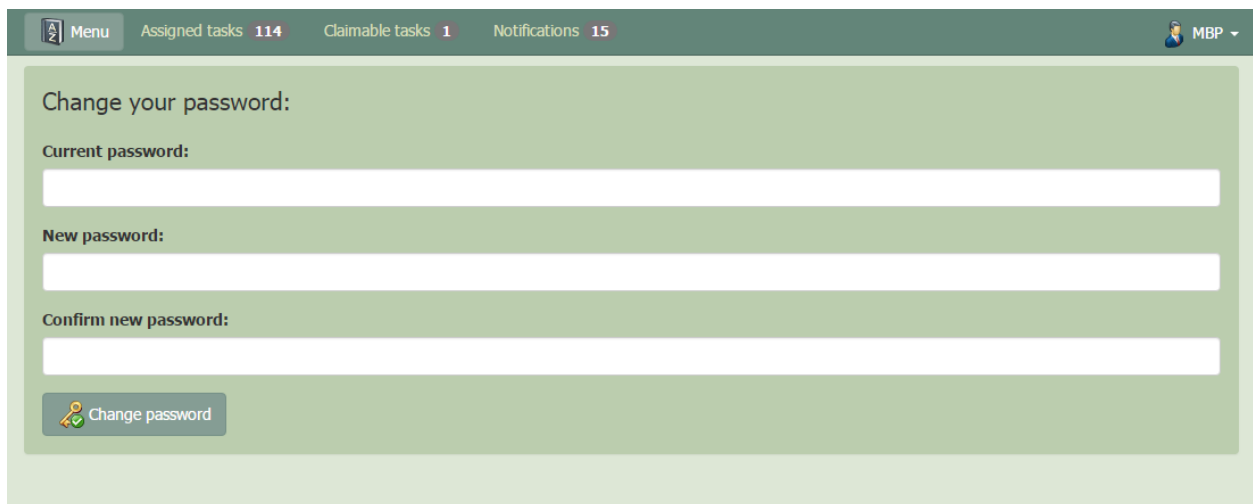
Administrative Features

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.

A screenshot of the 'Change your password' form. The form is set against a light green background. At the top, it says 'Change your password:'. Below this are three input fields: 'Current password:', 'New password:', and 'Confirm new password:'. Each field has a corresponding white input box. At the bottom of the form, there is a button with a key icon and the text 'Change password'.

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