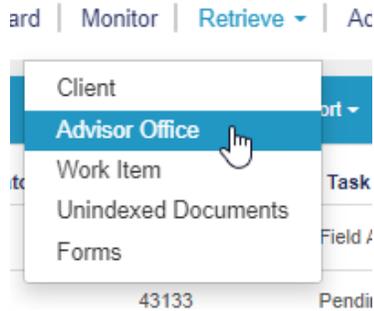
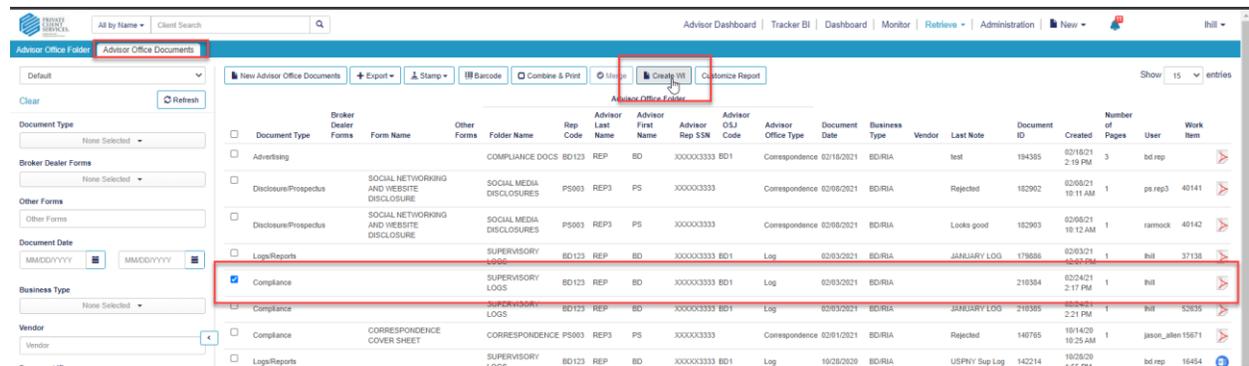


## Creating an Advisor Work Office Item from an Uploaded Document

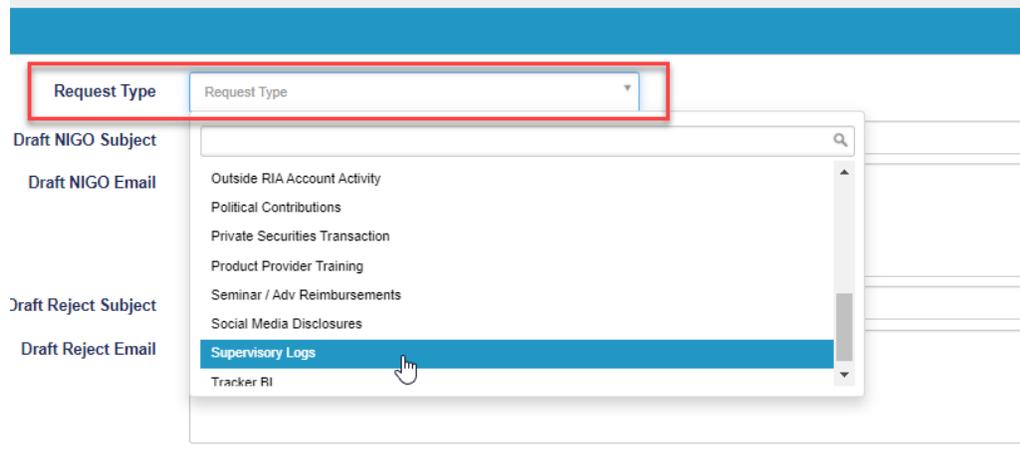
Click on Retrieve, then Advisor Office.



Click on Advisor Office Documents, click the checkbox next to the item to turn into a Work Item, then click Create WI.



Click the Request Type drop-down arrow and select the appropriate type for the document being submitted. This is what drives the workflow piece.



Navigate down to the Folder/Subfolder and click Add > Advisor Office Folder.



On the next screen, a rep search may need to be conducted if you have access to more than rep code as you want to ensure you are inputting into the proper rep's folder. Once you locate the appropriate folder for the document being submitted, click the checkbox and then click Select.

Retrieve / Select

Default

Clear

Advisor Office Type: None Selected

Folder Name: Folder Name

Business Type: None Selected

Rep: BD123, Some(REP), Some(BD), Some(XXXXX3333), Some(BD1)

Modified: From, To

Select, Cancel, Create New

<input type="checkbox"/>	Folder Name	Advisor Office Type	Business Type	Rep Code
<input checked="" type="checkbox"/>	SUPERVISORY LOGS	Log	BD/RIA	BD123
<input type="checkbox"/>	SOCIAL MEDIA DISCLOSURES	Disclosure	BD/RIA	BD123
<input type="checkbox"/>	PRODUCT PROVIDER TRAINING REQUESTS	Training	BD/RIA	BD123
<input type="checkbox"/>	PRIVATE SECURITIES TRANSACTIONS	Compliance	BD/RIA	BD123
<input type="checkbox"/>	POLITICAL CONTRIBUTIONS	Compliance	BD/RIA	BD123
<input type="checkbox"/>	OUTSIDE RIA ACCOUNT ACTIVITY DISCLOSURES	Disclosure	BD/RIA	BD123
<input type="checkbox"/>	OUTSIDE BUSINESS ACTIVITY DISCLOSURES	Disclosure	BD/RIA	BD123
<input type="checkbox"/>	LICENSES AND REGISTRATIONS	Compliance	BD/RIA	BD123
<input type="checkbox"/>	INVESTMENT ACCOUNT DISCLOSURE - PERSONAL	Disclosure	BD/RIA	BD123
<input type="checkbox"/>	GIFT LOGS	Log	BD/RIA	BD123
<input type="checkbox"/>	GENERAL	General	BD/RIA	BD123
<input type="checkbox"/>	CUSTOMER COMPLAINTS	Complaint	BD/RIA	BD123

This will bring you back to the Details screen. Confirm the indexing information and then click Save.

Details

Request Type: Supervisory Logs

Draft NIGO Subject:

Draft NIGO Email:

Draft Reject Subject:

Draft Reject Email:

Merge into Work Item Number:

Remove Docs from original WI: No

Folder Name	Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code	Advisor Office Type
<input type="checkbox"/> SUPERVISORY LOSS	BD123	REP	BD	XXXXXX3333	BD1	Log

Within the Work Item screen, review the information and if all is in good order, click Send for Review.

Pending Advisor Review

Send for Review

Work Item ID	Request Type	Folder Name	Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code	Advisor Office Type	SLA Start Time	SLA Stop Time	Error Message
53833	Supervisory Logs	SUPERVISORY LOGS	BD123	REP	BD	XXXXXX3333	BD1	Log	8/25/21	12:47 PM	

Document Type	Broker Dealer Forms	Form Name	Other Forms	Folder Name	Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code	Advisor Office Type
<input checked="" type="checkbox"/> Compliance				SUPERVISORY LOGS	BD123	REP	BD	XXXXXX3333	BD1	Log

Showing 1 to 1 Previous Next

Document #210384

TEST STATEMENT