

Let our independence ignite yours.™

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.

REVAIL SERVICES. All by Name Client Search		٩								Advisor [Dashboard	Tracker BI	Dashboard	d Monitor	Retrie	eve • Adminis	stration 🖿	New 👻	#		lh	ill •
Advisor Office Folder Advisor Office Documents								_		_												
Default	New Advisor Of	Ice Documents	+ Export •	<u>↓</u> Stamp +	UI Barce	ode Combine	& Print	© Merge	Creat		omize Report									Show 1	5 ¥ e	ntries
Clear Clear		Brok	or					Advisor	Advisor	lder	Arlyisor								Number			
Document Type	Document	Type Form	tr Is Form Nam	е	Other Forms	Folder Name	Rep Code	Last Name	First Name	Advisor Rep SSN	OSJ Code	Advisor Office Type	Document Date	Business Type	Vendor	Last Note	Document ID	Created	of Pages	User	Work	
Broker Dealer Forms	Advertising				c	COMPLIANCE DOCS	BD123	REP	BD	2000003333	BD1	Correspondence	02/18/2021	BD/RJA		test	194385	02/18/21 2:19 PM	3	bd.rep		≻
None Selected	Disclosure	Prospectus	SOCIAL NE AND WEBS DISCLOSU	TWORKING NTE RE	S	SOCIAL MEDIA DISCLOSURES	PS003	REP3	PS	3000003333		Correspondence	02/08/2021	BD/RIA		Rejected	182902	02/08/21 10:11 AM	1	ps.rep3	40141	≽
Other Forms	Disclosure	rospectus	SOCIAL NE AND WEBS	TWORKING	S	SOCIAL MEDIA DISCLOSURES	PS003	REP3	PS	3000303333		Correspondence	02/08/2021	BD/RJA		Looks good	182903	02/08/21 10:12 AM	1	rarmock	40142	≽
Document Date	Logs/Report	s	0.00000		s	SUPERVISORY	BD123	REP	BD	XXXXX3333	BD1	Log	02/03/2021	BD/RIA		JANUARY LOG	179886	02/03/21	1	ы	37138	≽
Business Type	Compliance				S	SUPERVISORY LOGS	BD123	REP	BD	X000XX3333	BD1	Log	02/03/2021	BD/RIA			210384	02/24/21 2:17 PM	1	ы		≽
None Selected 👻	Compliance					OGS	8D123	REP	80	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	BD1	Log	02/03/2021	BD/RIA		JANUARY LOG	210385	02/24/21 2:21 PM	1	hil	52635	≻
Vendor 4	Compliance		CORRESPI COVER SH	ONDENCE	c	CORRESPONDENCE	PS003	REP3	PS	2000003333		Correspondence	02/01/2021	BD/RJA		Rejected	140765	10/14/20 10:25 AM	1	jason_aller	n 15671	≻
n (10	Logs/Report	la -			S	SUPERVISORY	BD123	REP	BD	XXXXXX3333	BD1	Log	10/28/2020	BD/RIA		USPNY Sup Log	142214	10/28/20		bd.rep	16454	0

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

Request Type	Request Type	
Draft NIGO Subject		Q,
Draft NIGO Email	Outside RIA Account Activity Political Contributions Private Securities Transaction Product Provider Training	•
Draft Reject Subject	Seminar / Adv Reimbursements Social Media Disclosures	
Draft Reject Email	Supervisory Logs Tracker RI	×

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					
Clear Sefresh	✓ Select	Cancel	ew		
		Folder Name	Advisor Office Type	Business Type	Rep Code
Advisor Office Type None Selected		SUPERVISORY LOGS	Log	BD/RIA	BD123
Folder Name		SOCIAL MEDIA DISCLOSURES	Disclosure	BD/RIA	BD123
Folder Name		PRODUCT PROVIDER TRAINING REQUESTS	Training	BD/RIA	BD123
Business Type None Selected		PRIVATE SECURITIES TRANSACTIONS	Compliance	BD/RIA	BD123
Rep		POLITICAL CONTRIBUTIONS	Compliance	BD/RIA	BD123
BD123 * Some(REP)		OUTSIDE RIA ACCOUNT ACTIVITY DISCLOSURES	Disclosure	BD/RIA	BD123
Some(BD) * Some(XXXXX3333) Some(PD1)		OUTSIDE BUSINESS ACTIVITY DISCLOSURES	Disclosure	BD/RIA	BD123
Some(BD1)		LICENSES AND REGISTRATIONS	Compliance	BD/RIA	BD123
From		INVESTMENT ACCOUNT DISCLOSURE - PERSONAL	Disclosure	BD/RIA	BD123
То		GIFT LOGS	Log	BD/RIA	BD123
		GENERAL	General	BD/RIA	BD123
		CUSTOMER COMPLAINTS	Complaint	BD/RIA	BD123

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

									🛓 Save	Cancel
Details	;									
			Request Type	Supervisory Logs	,	x *				
		Draft	NIGO Subject							
		Dra	aft NIGO Email							Ξ I
										11
		Draft F	Reject Subject							
		Draf	ft Reject Email						3	
										11
		Merge into Work	k Item Number							
		Remove Docs fro	om original WI	No		~				
Folder	/Subfolder							4	- Add - 🏛	Remove
					Rep					
	Folder Name	Rep Code	Advisor Last N	lame Advisor	r First Name	Advisor Rep SSN	Advisor OSJ Code	Advisor Office Type		
	SUPERVISORY LOGS	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.

Retrieve												+ Back
Pen	ling Advis	or Review				♥ Actions +	Reassign Send	for Review	em Client Do Merge	cuments Archive	Decament #21034	./d×
Advis W Re Id	or Office V mk Reques Type 33 Supervis Logs	fork Items t Folder Name ory SUPERVISO LOGS	Rep Code RY BD123	Advis Advisor Last Name REP E	or Office Folder Advisor First Ac Name Re 3D 2000	Ac Ivisor OS Ip SSN Cc DOC3333 BD1	Ivisor Advisi SJ Office xde Type Log	or SLA Start Time 02/25/21 12:47 Pt	SLA Stop Time	Error Message	TEST STATEMENT	
Work	Documen Type Complianc	Broker t Dealer Forms	ruments Form O Name Fe	Add - , ther Folde Name SUPEI LOGS	tr Rep Code RVISORY BD123	Advisor Last Name	Combine & Print isor Office Folde Advisor First — A Name R BD XX	Morgo C	dvisor Ad SJ Of ode Ty Log	Create WI dvisor fice pe		6
							Showin	g 1 to 1	Previous	Next		