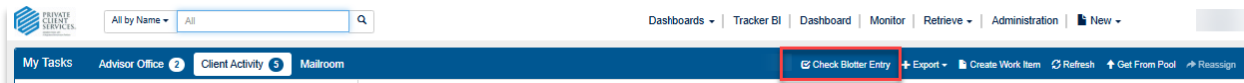


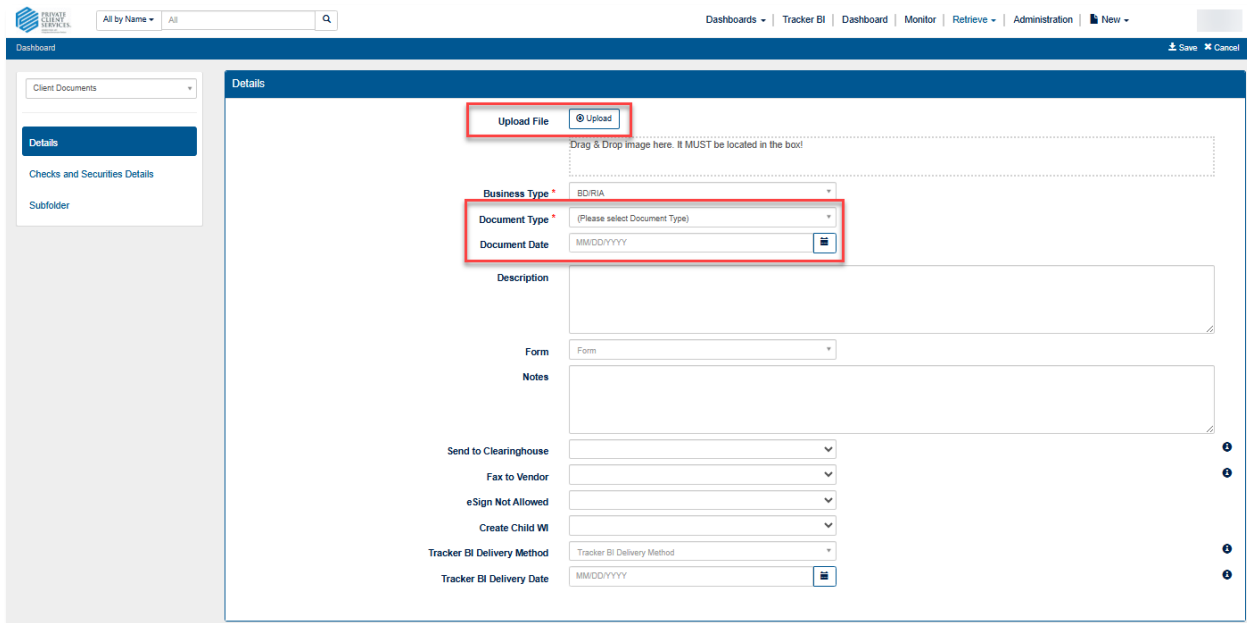
Check Blotter User Guide

- Click on Check Blotter Entry from the Docupace landing page



- Upload PDF file with Document Type and Document Date

Note: Fields that are not highlighted are not required in this section



- Complete required sections in red:
 - Check Amount
 - Check Number
 - Check Purpose
 - Date Advisor Received
 - Date Advisor Forwarded
 - Advisor Forwarded To

- Complete required sections in yellow:
 - Date Back Office Received
 - Date Back Office Forwarded
 - Back Office Forwarded To

**** Note (yellow section):** Date Back Office Received, Date Back Office Forwarded, and Back Office Forwarded To should be selected by your office in order for the Work Item to save and for the check to appear in the 'Check Blotter Reports' within the Administration tab of Docupace

- Locate the client by choosing the magnifying glass

- Select client by using “Subfolder by Client” in the drop-down menu. If unavailable, choose “Create New”

Dashboard / Select

Client Subfolder Search

System

- Default
- Client Subfolder Search
- Full text
- Subfolder by Client**
- None Selected

Product Type

None Selected

Client Subfolder Type	Work Item(s)	Registration Type	Product Type	Vendor/Custodian
☐ Direct Business		IRA - SEP		AMERICAN FUNDS
☐ Direct Business		IRA - SEP		AMERICAN FUNDS

- Select “Save and Close” to complete blotter within the client file

Details

Upload File

Drag & Drop image here. It MUST be located in the box!

Business Type *

Document Type *

Document Date

Description

Form

Document #990433

Page: 1 of 1

(Automatic Zoom)

5678

DATE

PAY TO THE ORDER OF \$

DOLLARS

MEMO

1:456780000 1:000000000 11* 5678

Ben Wang

Note: A new screen is presented to blotter additional checks. If there are none to provide, go to the client subfolder to view the check or go to the Reports section within the Administration menu to view the Check Log

(Similar steps apply for documenting a physical certificate)

FOR INTERNAL USE ONLY