Tracker-BI

User Guides

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Table of Contents

> Introduction: *This guide will help you use the Tracker-BI widget to manage the delivery, tracking, and auditability of disclosures. It will also explain the process that happens behind the scenes and what to do after a prospect becomes a client.*

1 Table Of Contents

Search

2 Using The Widget (Step-By-Step Guide)

Click on Images to Expand Them

> **Tip:** Click the link under each image to view it in more detail.

2.1 Step 1: Identify The Investor

Each discussion tracked using this widget MUST be associated with a prospect/client (investor). The first step in the process is to determine if the investor is already in the system or if you need to create a new prospect/client.

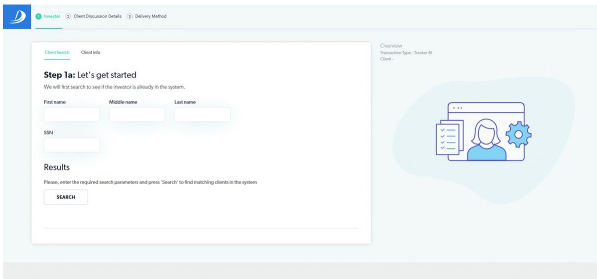
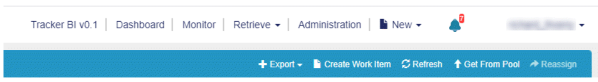
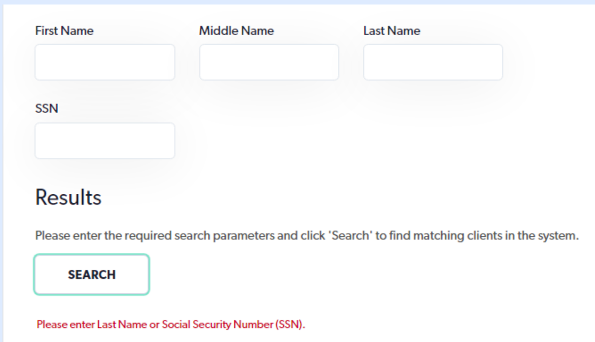
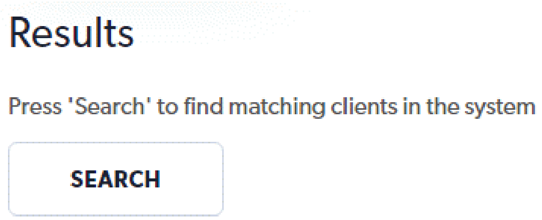
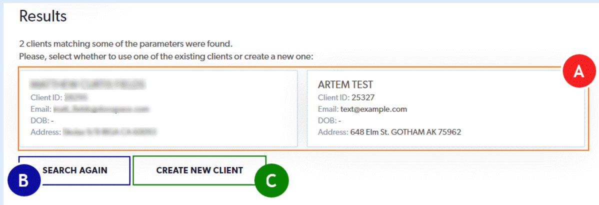
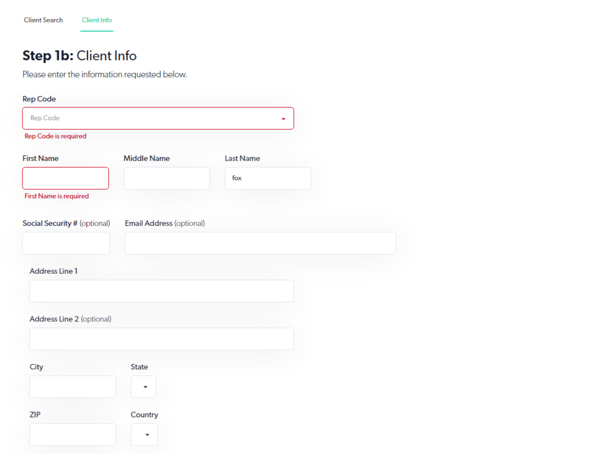


Figure 1: Client Search

Click here to expand and view a detailed step-by-step.

1	Navigate to Tracker-BI. **Note:** You may need to click the *Tracker-BI* link in the top toolbar.	 *Figure 2: Navigation Link*
2	Enter the investor's information into the Client Search fields. ⚠ **Attention:** Either their last name or SSN is required in order to begin.	 *Figure 3: Client Search*

3	Click **Search**.	 *Figure 4: Client Search Button*
4	Take one of the following actions based on the results that appear: **A:** Click the client search result that matches your investor. *(Skip to step 6)* **B:** Try your search again. *(Repeat steps 2 and 3)* **C:** Create a new prospect profile for your investor. *(Continue to step 5)*	 *Figure 5: Client Search Results*
5	Enter the investor's information. **Client Type:** New investor records created with Tracker-BI are added to the system as prospects. You will need to convert them to clients to complete additional transactions. See *Updating a Prospect to a Client* for more information. **Attention:** If you choose to send records by mail or email, the address will become required at a later stage.	 *Figure 6: New Client Info page*

<table>
<tr>
<td>6</td>
<td>Confirm that the client’s information is correct.

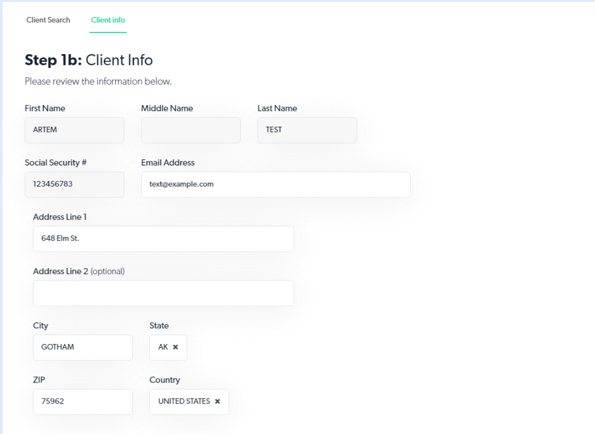
Note: You may modify it if needed. Any modifications to an existing client will update the client’s information in the Client Folder. However, you cannot edit the name and SSN fields.</td>
<td>

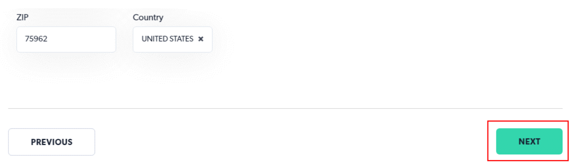
Figure 7: Client Info Page Filled Out</td>
</tr>
<tr>
<td>7</td>
<td>Click **Next.**</td>
<td>

Figure 8: Next Button</td>
</tr>
</table>

2.2 Step 2: Provide Discussion Details

Next, you must enter the details related to the conversation that you had with the investor.

> ⚠ **Attention:** Your specific configuration may differ from the images shown here.

> **Note:** This page may be bypassed depending on your firm’s configuration.

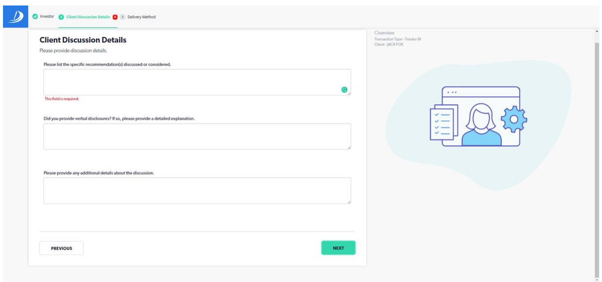


Figure 9: Client Disclosure Details Screen Showing Required Fields

Click here to expand and view a detailed step-by-step.

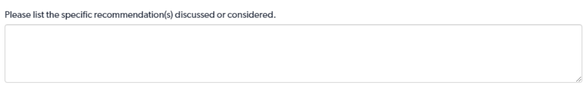
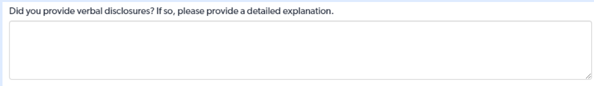
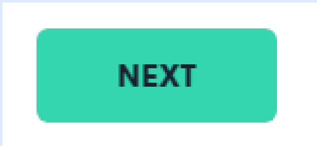
<table>
<tr>
<td>1</td>
<td>Enter details about your discussion with the investor.</td>
<td>

Figure 10: Recommendations Field</td>
</tr>
</table>

2	Confirm whether or not you provided verbal disclosures. If so, provide additional details.	 *Figure 11: Verbal Disclosures Field*
3	Provide any additional details about the conversation.	 *Figure 12: Additional Details Field*
4	Click **Next.**	 *Figure 13: Next Button*

2.3 Step 3: Select The Method Of Disclosure Delivery

There are three ways that you can deliver disclosures. Read *The Process* to learn more about what happens after you click **Next**.

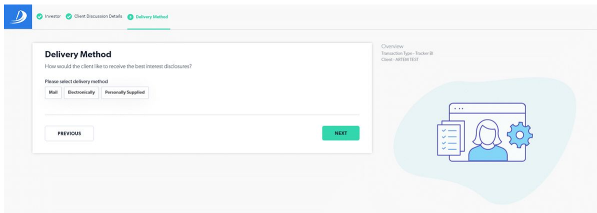
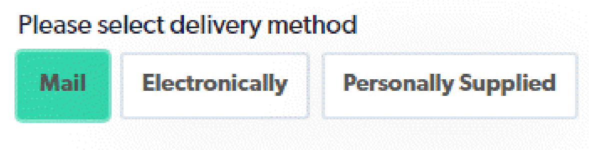
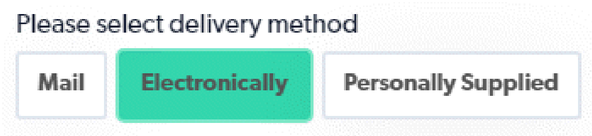
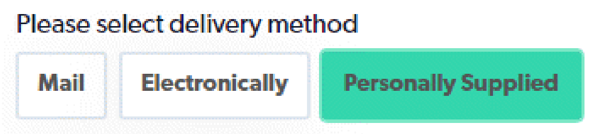


Figure 14: Delivery Method Selection Screen

Click here to expand and view a detailed step-by-step.

1	Select one of the following delivery methods: • Mail **Tip:** Select this method if the investor wants to receive hard copies of the disclosures in the mail. • Electronically **Tip:** Select this method if the investor wants to receive disclosures via email. • Personally Supplied **Tip:** Select this option if hard copies of the disclosures have been supplied to the investor.	 *Figure 15: Mail Selected*  *Figure 16: Electronically Selected*  *Figure 17: Personally Supplied Selected*

<table>
<tr>
<td>2</td>
<td>

Fill in any missing information as needed.

Note: You can also update the date for personal delivery.

</td>
<td>

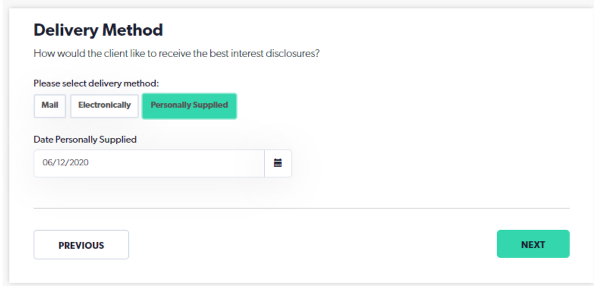


Figure 18: Personally Supplied Date

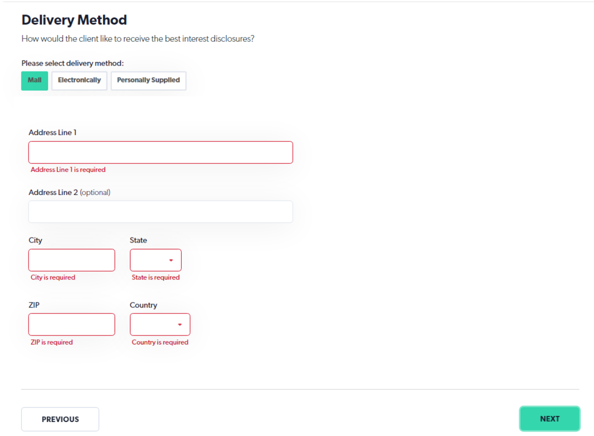


Figure 19: Delivery by Mail (Required Information)

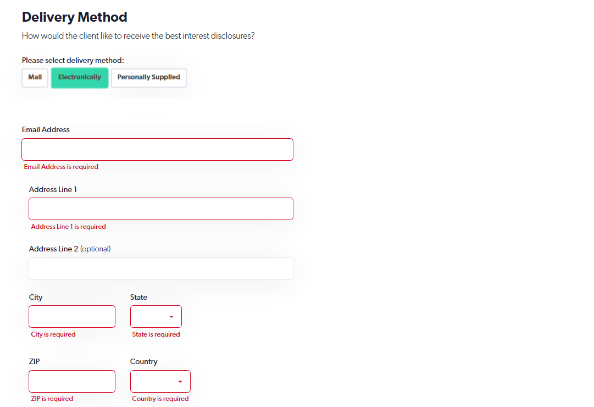


Figure 20: Delivery by Email (Required Information)

</td>
</tr>
<tr>
<td>3</td>
<td>

Click *Next.*

</td>
<td>

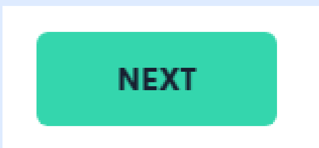


Figure 21: Next Button

</td>
</tr>
</table>

4

> **Note:** The system displays a confirmation screen that varies depending on the selected method of delivery.

Click *View* or *Start New.*

> **View:** Click *View* to open the disclosures and related information.

> **Start New:** Click *Start New* to begin the process again with a new investor.

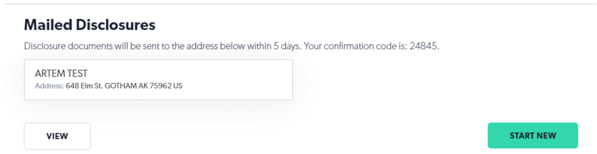


Figure 22: Confirmation

2.4 Confirmation Screens By Delivery Method

> **More Information:** You can learn more about what happens once you arrive on one of the pages below in *The Process* section of this guide.

2.4.1 Mail

The system displays a unique confirmation code that can be used to locate a specific disclosure delivery transaction in the system. The recipient's mailing address appears below the confirmation message.

The system creates a task in the *Pending Client Mail Delivery* queue.

> **Tip:** You can click *View* to see a copy of the disclosures.

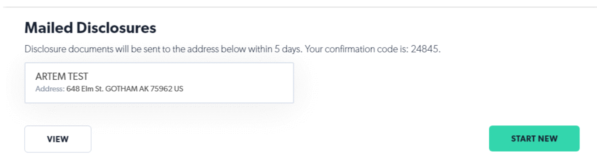


Figure 23: Mail Delivery Confirmation Screen

2.4.2 Electronic

The system displays a unique confirmation code that can be used to locate a specific disclosure delivery transaction in the system. It also displays the email address that will receive the disclosures.

The system sends the investor an email with a hyperlink to the electronic disclosure documents.

> **Tip:** You can click *View* to see a copy of the disclosures.

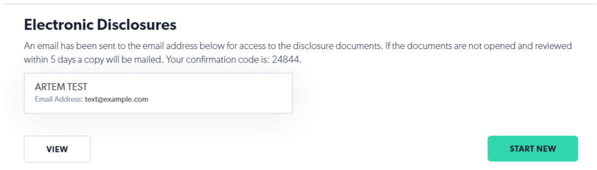


Figure 24: Electronic Delivery Confirmation Screen

2.4.3 Personally Supplied

The system displays a unique confirmation code that can be used to locate a specific disclosure delivery transaction in the system. The system displays the investor’s email address and mailing address.

> **Tip:** You can click *View* to see a copy of the disclosures.

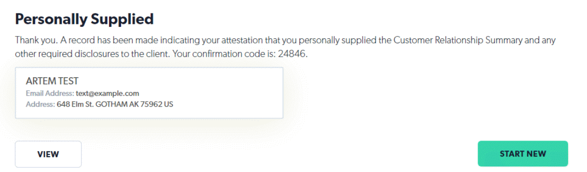


Figure 25: Personally Supplied Delivery Confirmation Screen

3 The Process

Click on Images to Expand Them

3.1 Work Item Screen

After you complete the Tracker BI Widget, the disclosures and notes are gathered together. In Docupace, this is called a Work Item.

You can do a number of things on this page such as:

- Read and print the disclosures
- View notes about the process
- Access the client discussion notes

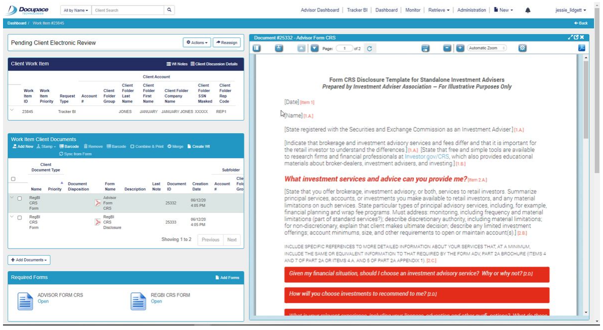


Figure 26: Work Item Screen

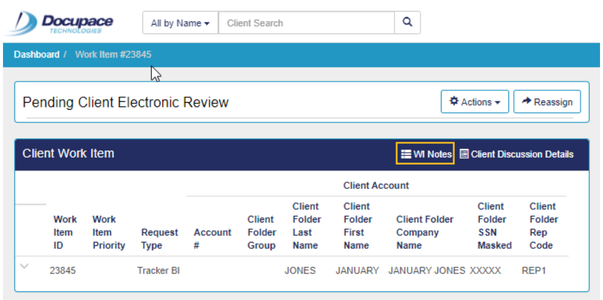


Figure 27: Work Item Notes Button

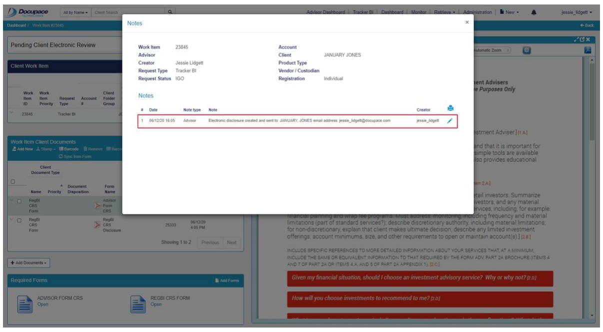


Figure 28: Note About Electronic Delivery

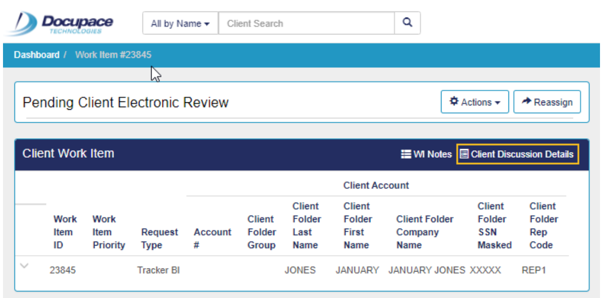


Figure 29: Client Discussion Details Button

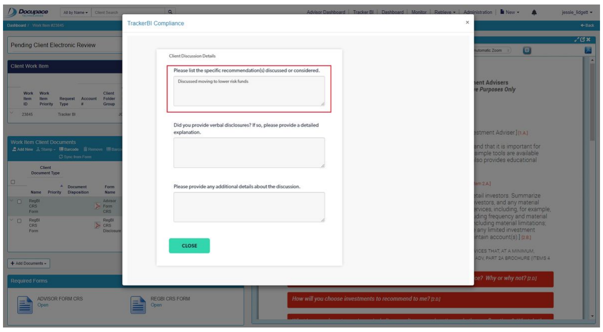


Figure 30: Client Discussion Notes

3.2 Mail Delivery

If you select Mail as the delivery method, the system creates a task in the form of a work item in the *Pending Client Mail Delivery* queue. Admins can create an exportable report of items in this queue by navigating to *Administration>Reports>Epacs.*

Tip: You can narrow results by searching by the Work Item creation date.

Advisor Note: The system adds the following note to the work item when the task is created.

Mail disclosure delivery created for [client first, last, masked SSN] to be delivered to: [address, city, state, zip]

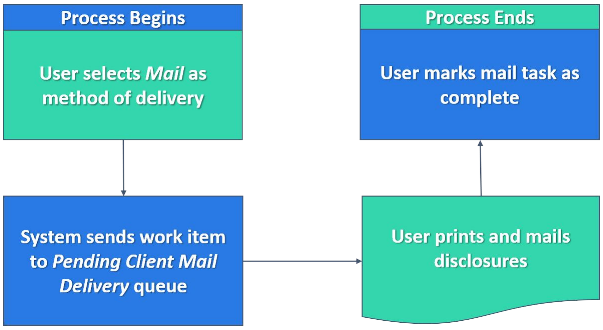
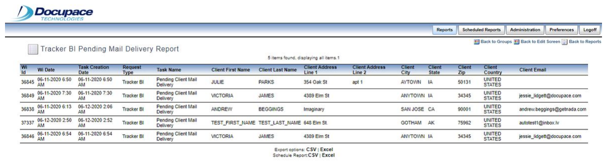


Figure 31: Mailed Disclosures Process



Docupace TECHNOLOGIES

Reports | Scheduled Reports | Administration | Preferences | Logoff

Back to Groups | Back to Edit Screen | Back to Reports

Tracker BI Pending Mail Delivery Report

5 items found, displaying all items.1

Wi Id	Wi Date	Task Creation Date	Request Type	Task Name	Client First Name	Client Last Name	Client Address Line 1	Client Address Line 2	Client City	Client State	Client Zip	Client Country	Client Email
36845	06-11-2020 6:50 AM	06-11-2020 6:50 AM	Tracker BI	Pending Client Mail Delivery	JULIE	PARKS	354 Oak St	apt 1	AYTOWN	IA	50131	UNITED STATES	
36849	06-11-2020 7:30 AM	06-11-2020 7:30 AM	Tracker BI	Pending Client Mail Delivery	VICTORIA	JAMES	4389 Elm St		ANYTOWN	IA	34345	UNITED STATES	jessie_lidgett@docupace.com
36838	06-11-2020 6:13 AM	06-12-2020 2:06 AM	Tracker BI	Pending Client Mail Delivery	ANDREW	BEGGINGS	Imaginary		SAN JOSE	CA	90001	UNITED STATES	andrew.beggings@getnada.com
37337	06-12-2020 2:50 AM	06-12-2020 2:52 AM	Tracker BI	Pending Client Mail Delivery	TEST_FIRST_NAME	TEST_LAST_NAME	648 Elm St.		GOTHAM	AK	75962	UNITED STATES	autotest1@inbox.lv
36846	06-11-2020 6:54 AM	06-11-2020 6:54 AM	Tracker BI	Pending Client Mail Delivery	VICTORIA	JAMES	4389 Elm St		ANYTOWN	IA	34345	UNITED STATES	jessie_lidgett@docupace.com

Export options: CSV | Excel
Schedule Report:CSV | Excel

Figure 32: Report of Items in Pending Client Mail Delivery

Next, a financial professional or associate must physically print and mail hard copies of the disclosures.

After sending the disclosures, the user must manually complete the step by clicking the **Complete** button in the Work Item.

Advisor Note: The system adds the following note to the work item when the disclosures are printed.

Mail disclosure delivery printed for [client first, last, masked SSN] to be delivered to: [address, city, state, zip]

3.3 Electronic Delivery

If you choose to send disclosures Electronically, a task is created in a queue called *Pending Client Electronic Review*.

Pending Client Electronic Review: This queue is in the background and does not require actions from a user.

The system sends an email to the investor with a link that remains active for five calendar days. After the investor clicks on the email link, the system will ask them to provide their consent to receive the disclosures electronically. You can view information about the client's consent in the *Client Folder*.

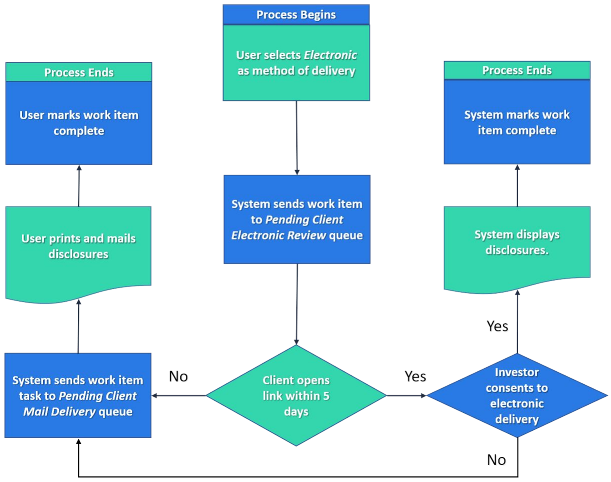


Figure 33: Electronic Disclosures Process

Advisor Note: The system adds the following note to the work item when it is created.

Electronic disclosure created and sent to: [client first, last, masked SSN] email address: [email address]

Consent: Once the investor opts into electronic delivery, their choice is saved. The system will not display the e-consent prompt in the future for that investor.

Consent Declined If the investor opts out of electronic delivery, the system will not allow you to select this option for the investor in the future.

If the investor consents to electronic delivery, then the system displays the disclosures. Finally, the system automatically completes the task and marks the work item as *Complete.*

However, if the investor does not click the emailed hyperlink within five calendar days or if the investor opts out of electronic disclosures, then the work item is forwarded to the *Pending Client Mail Delivery* queue to manually send a hard copy.

3.4 Personally Supplied Delivery

If you select *Personally Supplied*, the system marks disclosures as provided. It also tracks the date that the disclosures were provided on. This is automatically set to the current date, but it can be edited if necessary. Though the work item is now complete, you can still open the work item to view and/or print the disclosures.

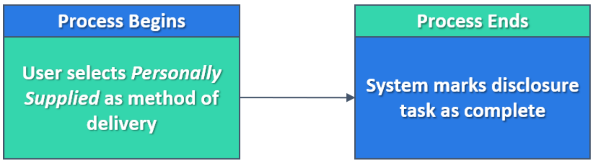


Figure 34: Personally Supplied Disclosures Process

Advisor Note: The system adds the following note to the work item when it is created.

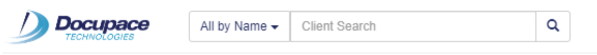
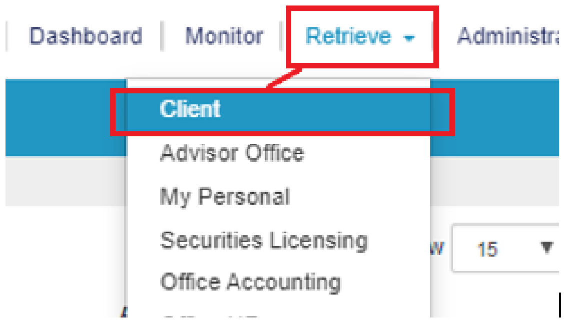
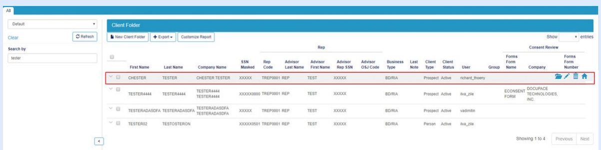
Personally Supplied disclosure created for: [client first, last, masked SSN] email address: [email]

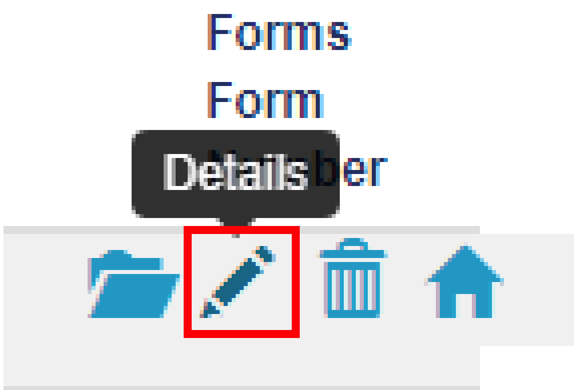
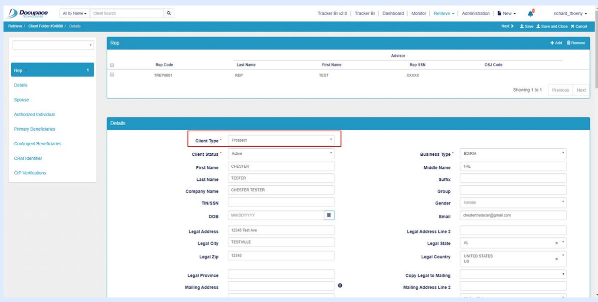
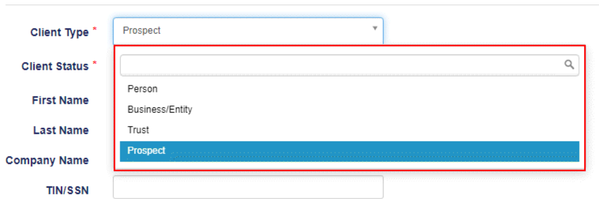
4 Updating A Prospect To A Client

Click on Images to Expand Them

> **Tip:** Click the link under each image to view it in more detail.

New investor records created with Tracker-BI are added to the system as prospects. In order to create other work items in the system (such as accounts), you will need to return to the client record and update the client's information with a SSN and any other required fields.

1	Search for the client using the *Client Search.* **Note:** You can do this via the global search feature or *Retrieve>Client.*	 *Figure 35: Client Search*  *Figure 36: Retrieve>Client*
2	Hover your mouse over the desired client record.	 *Figure 37: Hovering Over A Search Result*

3	Click the pencil icon to open the *Details* page.	 *Figure 38: Details Icon*
4	Click on the *Client Type* dropdown field.	 *Figure 39: Client Type Field*
5	Select the appropriate client type from the dropdown list.	 *Figure 40: Client Type Dropdown List*
6	Click **Save and Close.**	