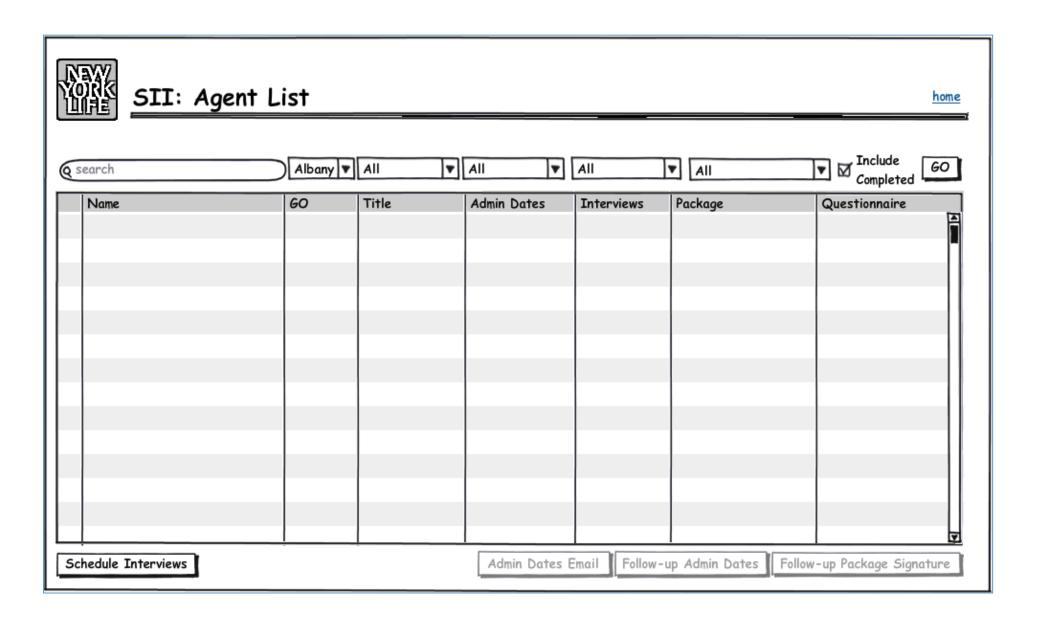
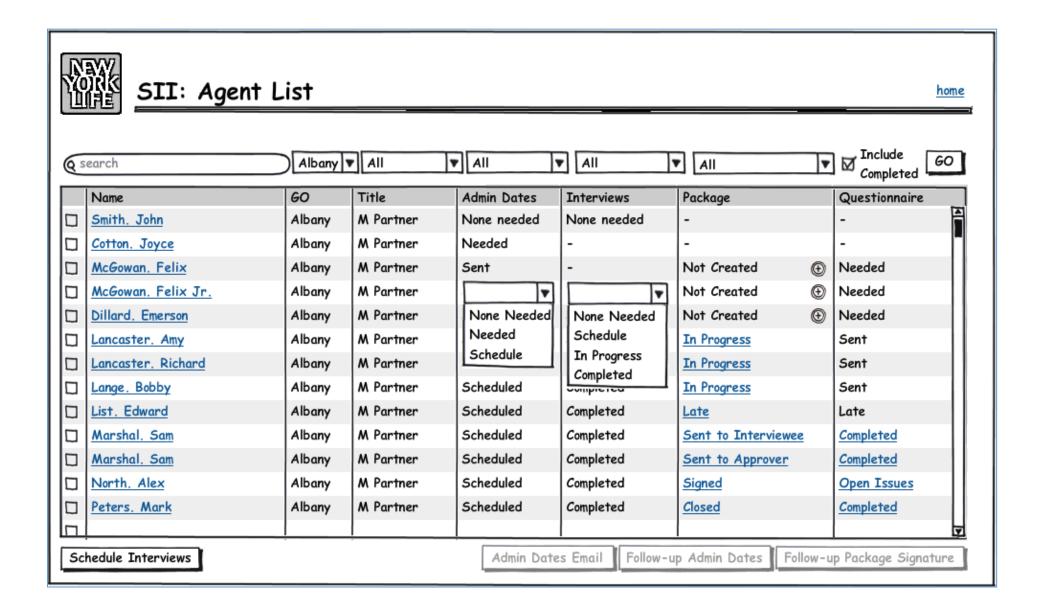


# SII APPLICATION: ITERATION.2

PREPARED BY THE CORPORATE INFORMATION USABILITY GROUP July 19, 2011



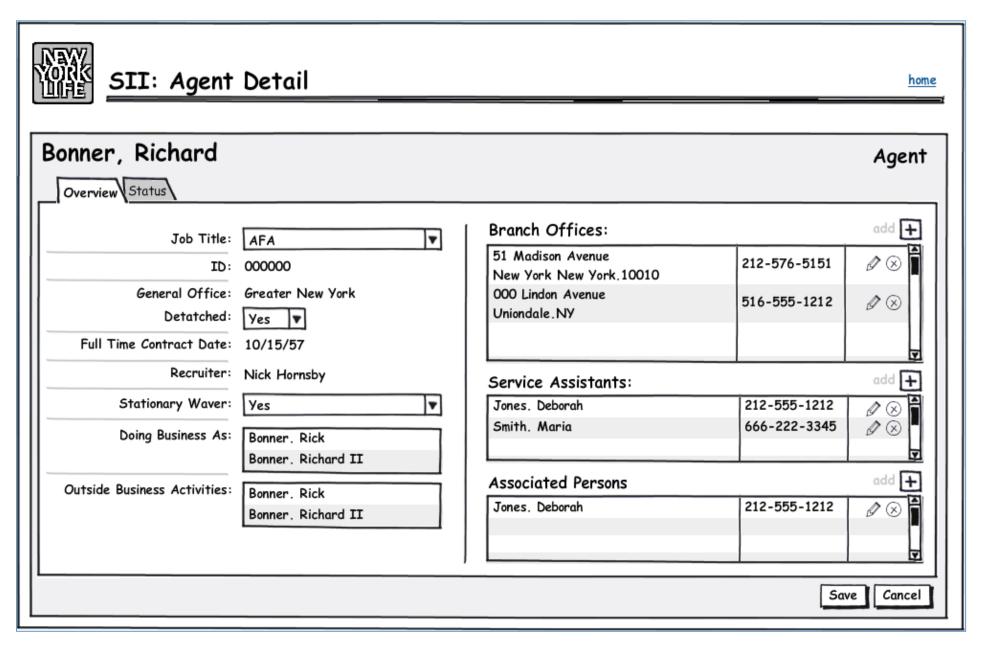
SII: Agent List: Default



## SII: Agent List (post filter)

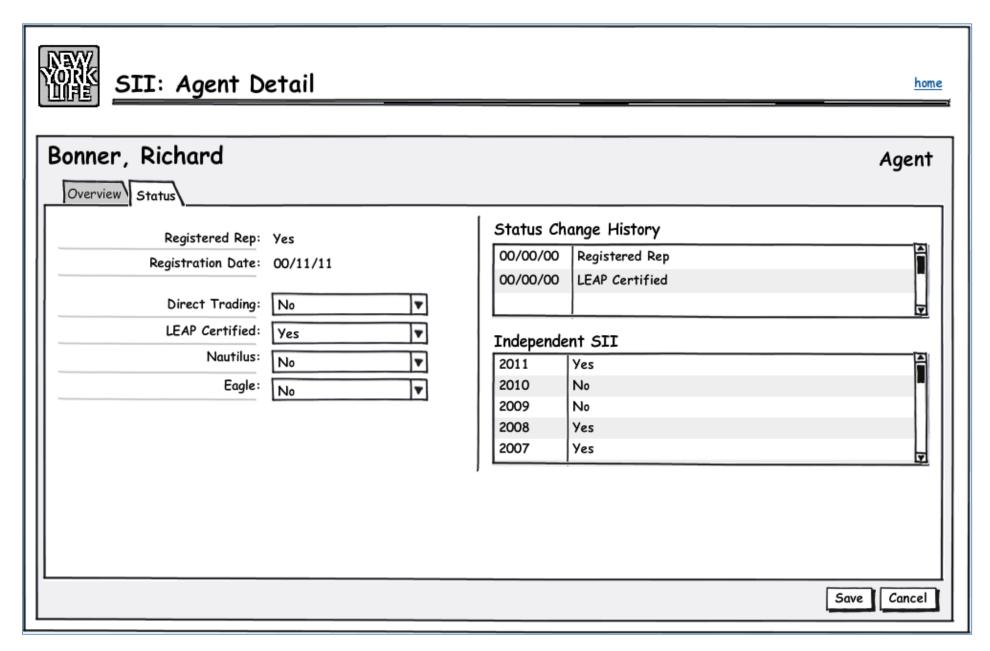
Admin dates status, and Interview status can be adjusted from result list. Packages 'not created' can be created from result list This reduces the amount of buttons needed and placed actions buttons close to desired action.

Buttons on bottom disabled until 1 or more items are selected by checkbox or selecting row.



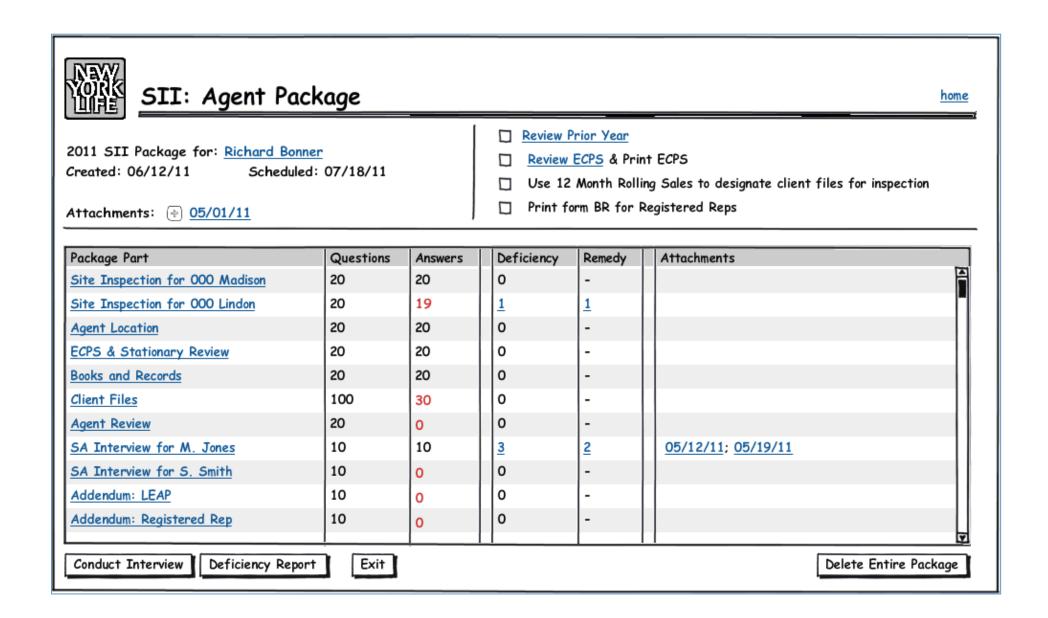
#### **SII: Agent Detail**

Detail view of Agent with editable fields (where appropriate). User can edit and remove branch offices and service assistant information.



## **SII**:Agent Detail

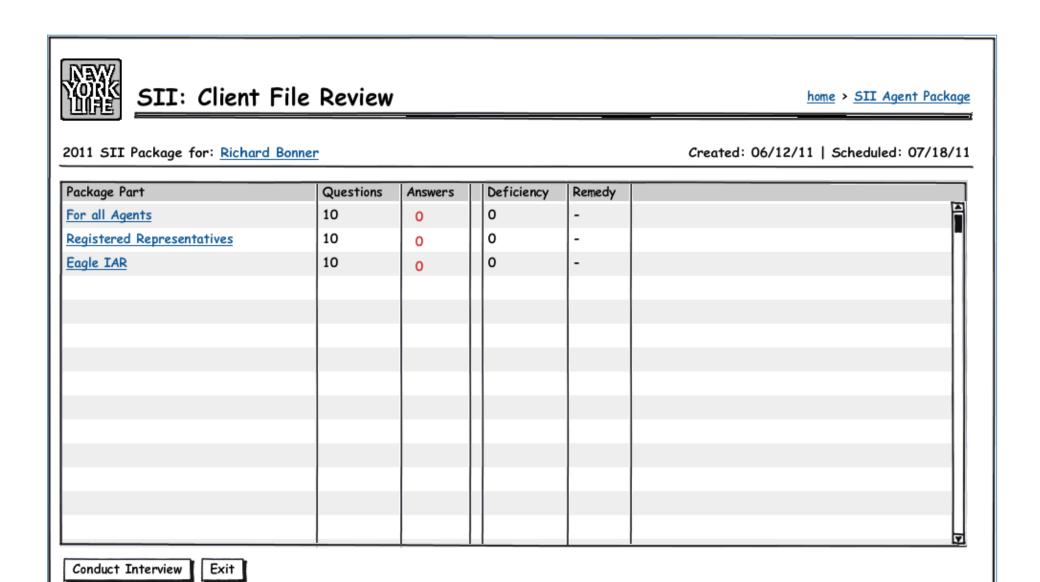
Agent status detail view. The overview and status are linked as part of the 2-tab tabset. Clicking save/cancel on either of the tabs takes the user back to the agent list.



#### **SII: Agent Package**

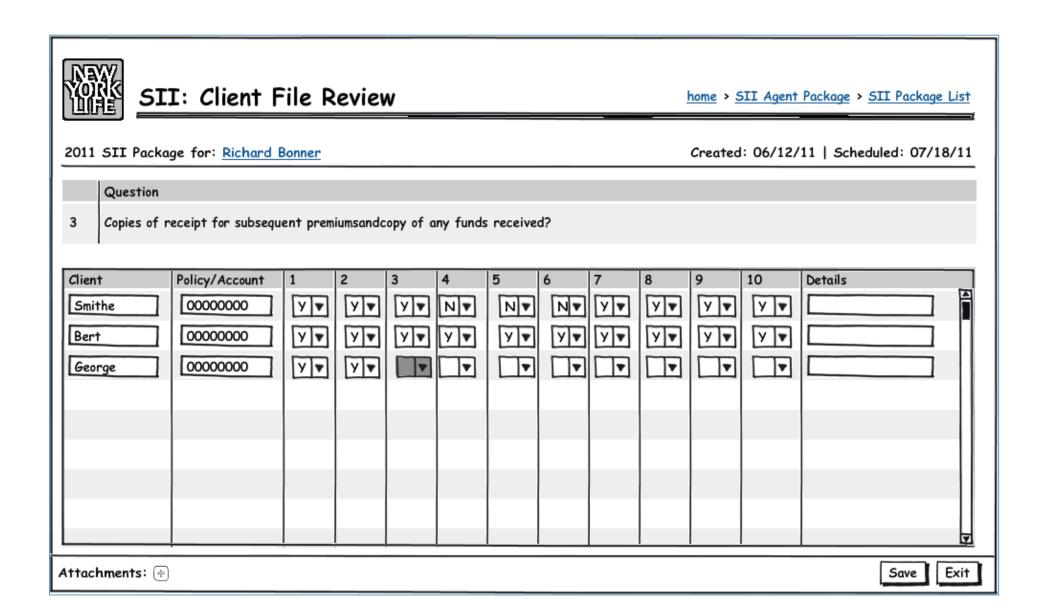
Agent Package links to specific package parts, attachments, specific deficiencies and specific remedies for pack part. Attachments can also be added at a package level.

Answers that do not match # of questions should be highlighted by color and bold.



## **SII: Package Item List**

Sub list of package items. This list is displayed when there is a 1-to-many relationship from the Agent package screen.



## SII: Package Item

Client Review has editable table fields with question listed above for the selected question.

SII: SITE INSPECTION and AGENT INTERVIEW  **DOTTO SII: SITE INSPECTION and AGENT INTERVIEW  **DOTTO SII: SITE INSPECTION and AGENT INTERVIEW SCOPE OF AGENT'S APPROVED ACTIVITIES (reviewed prior to visit)			
	Answer	Question	Details
1a	<b>▼</b>	Is the Agent a Registered Representative (RR) of NYLIFE Securities LLC?	If yes; complete 1 <u>b</u> & <u>c</u> and be sure to complete Section A; questions <u>19</u> . <u>20</u> . ]27-31] if he/she is detached. If the agent is not RR respond N/A to <u>b</u> & <u>c</u> .
1b	▼	Does this RR have more than one Branch Office Location? List the Multiple Branch Office location address.	(If "yes" the Multiple BO location Addendum must be completed for every additional location unless the additional location listed is the General Office.)
1c	▼	If this RR is detached, attached to a Sales Office or housed with a detached Multiple BO Location, have you printed off a copy of the Branch Office Composite Report for the RRs location for review by the RR at the Interview/Inspection?	(Respond, "N/A if agent is not a RR or the RR is housed and has no other locations.)
2	₩	Is the Agent an Investment Adviser Representative (IAR) of Eagle Strategies?	If yes, please be sure the Agent completes <u>Addendum A</u> , including questions

# SII: Package Item

Attachments: 🔄

Package item has details column that auto scrolls to linked items within the same form.

Attachments can be added per package item. Attachments, Save & Exit are always viewable (do not scroll with content)

Save