



SII APPLICATION: ITERATION.2

PREPARED BY THE CORPORATE INFORMATION USABILITY GROUP

July 19, 2011

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Follow-up Package Signature

SII: Agent List: Default



SII: Agent List

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Q search Albany All All All All Include Completed GO

	Name	GO	Title	Admin Dates	Interviews	Package	Questionnaire
<input type="checkbox"/>	Smith. John	Albany	M Partner	None needed	None needed	-	-
<input type="checkbox"/>	Cotton. Joyce	Albany	M Partner	Needed	-	-	-
<input type="checkbox"/>	McGowan. Felix	Albany	M Partner	Sent	-	Not Created	Needed
<input type="checkbox"/>	McGowan. Felix Jr.	Albany	M Partner			Not Created	Needed
<input type="checkbox"/>	Dillard. Emerson	Albany	M Partner	None Needed	None Needed	Not Created	Needed
<input type="checkbox"/>	Lancaster. Amy	Albany	M Partner	Needed	Schedule	In Progress	Sent
<input type="checkbox"/>	Lancaster. Richard	Albany	M Partner	Schedule	In Progress	In Progress	Sent
<input type="checkbox"/>	Lange. Bobby	Albany	M Partner	Scheduled	Completed	In Progress	Sent
<input type="checkbox"/>	List. Edward	Albany	M Partner	Scheduled	Completed	Late	Late
<input type="checkbox"/>	Marshal. Sam	Albany	M Partner	Scheduled	Completed	Sent to Interviewee	Completed
<input type="checkbox"/>	Marshal. Sam	Albany	M Partner	Scheduled	Completed	Sent to Approver	Completed
<input type="checkbox"/>	North. Alex	Albany	M Partner	Scheduled	Completed	Signed	Open Issues
<input type="checkbox"/>	Peters. Mark	Albany	M Partner	Scheduled	Completed	Closed	Completed

Schedule Interviews

Admin Dates Email

Follow-up Admin Dates

Follow-up Package Signature

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

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Bonner, Richard

Agent**Overview****Status**

Job Title: AFA ▼

ID: 000000

General Office: Greater New York

Detached: Yes ▼

Full Time Contract Date: 10/15/57

Recruiter: Nick Hornsby

Stationary Waver: Yes ▼

Doing Business As:
Bonner, Rick
Bonner, Richard IIOutside Business Activities:
Bonner, Rick
Bonner, Richard II**Branch Offices:**

add +

51 Madison Avenue New York New York, 10010	212-576-5151	
000 Lindon Avenue Uniondale, NY	516-555-1212	

Service Assistants:

add +

Jones, Deborah	212-555-1212	
Smith, Maria	666-222-3345	

Associated Persons

add +

Jones, Deborah	212-555-1212	
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Save

Cancel

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

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Bonner, Richard

Agent

Overview

Status

Registered Rep: Yes

Registration Date: 00/11/11

Direct Trading: No

LEAP Certified: Yes

Nautilus: No

Eagle: No

Status Change History

00/00/00	Registered Rep
00/00/00	LEAP Certified

Independent SII

2011	Yes
2010	No
2009	No
2008	Yes
2007	Yes

Save

Cancel

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

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2011 SII Package for: [Richard Bonner](#)

Created: 06/12/11

Scheduled: 07/18/11

Attachments: [05/01/11](#)

- ☐ [Review Prior Year](#)
- ☐ [Review ECPS](#) & Print ECPS
- ☐ Use 12 Month Rolling Sales to designate client files for inspection
- ☐ Print form BR for Registered Reps

Package Part	Questions	Answers	Deficiency	Remedy	Attachments
Site Inspection for 000 Madison	20	20	0	-	
Site Inspection for 000 Lindon	20	19	1	1	
Agent Location	20	20	0	-	
ECPS & Stationary Review	20	20	0	-	
Books and Records	20	20	0	-	
Client Files	100	30	0	-	
Agent Review	20	0	0	-	
SA Interview for M. Jones	10	10	3	2	05/12/11 ; 05/19/11
SA Interview for S. Smith	10	0	0	-	
Addendum: LEAP	10	0	0	-	
Addendum: Registered Rep	10	0	0	-	

[Conduct Interview](#)[Deficiency Report](#)[Exit](#)[Delete Entire Package](#)

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.

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Created: 06/12/11 | Scheduled: 07/18/11

Conduct Interview Exit

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

2011 SII Package for: [Richard Bonner](#)

	Question
3	Copies of receipt for subsequent premiums and copy of any funds received?

Attachments: 

Save

Exit

SII: Package Item

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



SII: SITE INSPECTION and AGENT INTERVIEW

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2011 SII Package for: [Richard Bonner](#)

Created: 06/12/11 | Scheduled: 07/18/11

PART A - SITE INSPECTION and AGENT INTERVIEW SCOPE OF AGENT'S APPROVED ACTIVITIES (reviewed prior to visit)

	Answer	Question	Details
1a	<input type="text"/>	Is the Agent a Registered Representative (RR) of NYLIFE Securities LLC?	If yes; complete 1 b & c and be sure to complete Section A; questions 19 , 20 .]27-31] if he/she is detached. If the agent is not RR respond N/A to b & c .
1b	<input type="text"/>	Does this RR have more than one Branch Office Location? List the Multiple Branch Office location address. <input type="text"/>	(If "yes" the Multiple BO location Addendum must be completed for every additional location unless the additional location listed is the General Office.)
1c	<input type="text"/>	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 RR's 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	<input type="text"/>	Is the Agent an Investment Adviser Representative (IAR) of Eagle Strategies?	If yes, please be sure the Agent completes Addendum A , including questions and additional file review

Attachments:

Save

Exit

SII: Package Item

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)