

LEADERSlink Tutorials:

TRADE BLOTTER PROCEDURES

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Submitting a Trade Blotter to LEADERSlink

A Trade Blotter should be created whenever you want to send an application, a check, transfer forms, fund company / carrier request, or any other type of documentation. The Trade Blotter helps us and anyone in your office to keep track of how items were submitted.

NOTE: A Trade Blotter can only be created from a Person Account, or an Entity Account. If one does not exist, please create the Person or Entity Account first. For help on this process, please refer to the Account Creation procedures.

1. Under the "Person Account" record, click on "Compliance Approvals (Client)" and then "New Compliance Approvals". The Default is Trade Blotter

The screenshot shows the LEADERSlink interface for a 'Person Account' named 'John T Client'. The navigation bar includes 'Accounts', 'Home Office Requests', 'Books & Records Docs', and 'Invoices'. Below the account name, there is a 'Show Feed' button. A breadcrumb trail shows: 'Open Activities (0) | Activity History (0) | NAF (1) | Compliance Approvals (Client) (3) | Client Meeting (1) | Financial Accounts (Client) (3) | Holdings (Client) (4) | Books & Records Docs (3) | Notes & /'. The main section is titled 'Compliance Approvals (Client)' with a sub-section 'New Compliance Approvals'. A table lists three entries:

Action	Order Memo Name	NAF	Product Type	Company	Investment Amount	Check Enclosed	Source of Funds
Edit Del	OM-1089		529 Plans	American Funds	\$44,444.00		Mutual Fund
Edit Del	OM-1715						
Edit Del	OM-1753						

2. Click Continue to begin the Trade Blotter Record

The screenshot shows the 'New Compliance Approvals' section with the title 'Select Compliance Approvals Record Type'. Below the title, it says 'Select a record type for the new compliance approvals.' A form field 'Record Type of new record' has a dropdown menu with 'Trade Blotter' selected. At the bottom of the form are 'Continue' and 'Cancel' buttons.

Available Compliance Approvals Record Types

Record Type Name	Description
Client Update	
Trade Blotter	

3. The name of your client should automatically populate in the Client field.

4. Enter the following Information:

NAF: If you have submitted a Books & Records (BRD) or this client and compliance has approved it, there will be a NAF for this client. Click on the lookup button on the side of the field to look up the NAF number. Once found, click on the underlined NAF number which will put the number into the NAF field. If you have not submitted a Books & Records (BRD) for this client, nor do you intend to, leave this field blank

Compliance Approvals Edit
New Compliance Approvals

Compliance Approvals Edit [Save] [Save & New] [Cancel]

Information

Client [John T Client] [Lookup] Record Type [Trade Blotter]

NAF [] [Lookup] Check Number []

Search ~ LeadersLink - Google Chrome

Secure | https://sycamoreco-1575c610109.force.com/_ui/common/data/LookupPage?lkfm=editPage&dknm=CF00N4100000NaKnW&Jktp=a1P&ksrch=

Lookup

Search... [Go!]

Search [Name] [All Fields]

Recently Viewed NAF

NAF [1]

NAF Name	Client	Description	Investment Horizon	Liquidity Needs	Primary Investment Objective	Risk Tolerance
<u>NAF-255729</u>	John T Client		Within 2 years			Conservative

On the LEFT column:

- How is paperwork being submitted: pick one from the drop down
- Rep tracking to the Sponsor / Home office: this box allows you to type in a FedEx or UPS Tracking number, or type in a fax number if faxed
- How was paperwork submitted to TLG/TLGA? Pick one from the drop down

On the RIGHT column:

- Date Advisor Received: this is the date that you received the paperwork or check from the client
- Date Sent to Sponsor / Home Office: this is the date that you submitted the paperwork or check to The Leaders Group
- Sent To: pick one from the drop down
- Did TLG/TLGA signature guarantee: pick yes or no if you have requested that The Leaders Group provides a signature Guarantee

Compliance Approvals Edit Save Save & New Cancel

Information ! = Required Information

Client	<input type="text" value="John Q Client Jr"/>	Record Type	Trade Blotter Beta
NAF	<input type="text"/>	Status	Not Submitted
How is paperwork being submitted?	--None--	Date Advisor Received	<input type="text" value="8/27/2020"/>
Rep Delivery Method	--None--	Date Sent to Sponsor / Home Office	<input type="text" value="8/27/2020"/>
Rep Tracking To Sponsor / Home Office	<input type="text"/>	Sent To	--None--
How was paperwork submitted to TLG/TLGA?	--None--	Did TLG/TLGA signature guarantee?	--None--
Description	<input type="text"/>		

Transfer Info: complete this section for an IRA Rollover, a 1035, a Retirement Plan rollover etc

LEFT Column

- Sending Firm Product Type: If this is a rollover, a 1035 etc. how is this application being funded? Pick the same Product Type that was chosen on the New Account Investment Profile. If you are not submitting a new New Account Investment Profile, choose whichever makes the most sense
 - Click on your choice from the Available column and then click on the ">" to add it to the Chosen column
- Sending Firm Name: type in the name of the product sponsor where the funds will be coming from
- Share class of previous investments: if mutual funds, pick the share class from the drop down
- Value of funds coming from sending firm: type in the approximate expected dollar amount
- Is this a full or partial transfer: pick full or partial from the drop down
- Is the sending firm account held at TLG: pick "yes" if you sold the account that is being replaced while at the Leaders Group. Pick "no" if you sold the account being replaced at another Broker/Dealer or if it was sold by another rep

RIGHT Column


- Share class of new investment: if the proposed account is a mutual fund, click on the share class from the Available column and then click on the ">" to add it to the Chosen column
- Investment Amount: type in the dollar amount
- Date account was funded: type in the date funded
- Account number at receiving firm: if you happen to have the account number or policy number, enter it here. If not, leave this field blank

Transfer Info

Sending Firm Product Type Available: 1035 from an Insurance Product, Brokerage, CD Chosen:	Share class of new investment Available: A, C, F Chosen:
Sending Firm Name: <input type="text"/>	Investment Amount: <input type="text"/>
Share class of previous investment Available: A, C, F Chosen:	Date account was funded: <input type="text" value="8/27/2020"/>
Value of funds coming from sending firm: <input type="text"/>	Account number at receiving firm: <input type="text"/>
Is this a full or partial transfer?: --None--	
Is the sending firm account held at TLG?: --None--	

Check Info: to be used if you are in receipt of a check and are sending it to the carrier/product sponsor. If no check is being submitted, leave this section blank

- Did the client give you the check(s): pick yes or no from the drop down
- Is check being sent with paperwork: pick yes or no from the drop down
- Date check(s) was received: enter in the date that you received the check
- Check amount: enter in the dollar amount on the check
 - You do not need to add a dollar sign (\$)
- Check Number: enter in the check number
- Check Date: pick the date that the check is dated

Check Info	
Did the client give you the check(s)?	--None-- ▾
Is check(s) being sent with paperwork?	--None-- ▾
Date check(s) was received?	<input type="text"/> [8/27/2020]
Check Amount	<input type="text"/>
Check Number 	<input type="text"/>
Check Date	<input type="text"/> [8/27/2020]
Check Amount	<input type="text"/>
Check Number	<input type="text"/>
Check Date	<input type="text"/> [8/27/2020]
Check Amount	<input type="text"/>
Check Number	<input type="text"/>
Check Date	<input type="text"/> [8/27/2020]


Distribution Info:

- use this section if you are taking funds from an account or product that you have sold with The Leaders Group
- Distribution Date: type in the date that the distribution request was submitted to the product sponsor
- Distribution Amount: type in the “-” negative (or dash sign) to reflect a distribution

Distribution Info			
Distribution Date	<input type="text" value="8/27/2020"/>	Distribution Amount	<input type="text"/>
<input type="button" value="Save"/> <input type="button" value="Save & New"/> <input type="button" value="Cancel"/>			

5. Click on Save
6. Click on Submit for Approval

Compliance Approvals Printable View

 **OM-22659**

✓ Compliance Approvals has been saved.

[Notes & Attachments \(0\)](#) | [Approval History \(0\)](#)

Compliance Approvals Detail

▼ Information			
Order Memo Name	OM-22659	Record Type	Trade Blotter Beta
Client	John Q Client Jr	Status	Not Submitted
NAF	NAF-279790	Firm Affiliation	Leaders Group
How is paperwork being submitted?	Electronically	Client Advisor	Bill Advisor
Rep Delivery Method	Direct to Product Sponsor	NAF Advisor	Bill Advisor
Rep Tracking To Sponsor / Home Office	login	Date Advisor Received	8/27/2020

7. You will now see your request in “pending” status under Account Management until it gets approved. You will be notified both via an email and a task on Salesforce that this has been approved or rejected; if rejected, the reasoning will be located within this section under “comments”.
8. The item that the Trade Blotter is being created for should not be sent anywhere until you have received approval from compliance, but once approval has been received you can send the paperwork to the product sponsor.