

LEADERSlink

Submitting a Trade Blotter to Leaderslink

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

- A Trade Blotter can only be created when a person account exists. If one does not, please create one prior to starting these procedures. For help on this process, please refer to the account creation procedures.
- Under the “Person Account” record, click on “Compliance Approvals (Client)” and then “New Compliance Approvals”

The screenshot displays the Leaderslink web interface. At the top, there is a navigation bar with tabs for 'Accounts', 'Home Office Requests', 'Books & Records Docs', and 'Invoices'. Below this, the user profile for 'John T Client' is shown, including a 'Show Feed' button. A secondary navigation bar contains various menu items with counts: 'Open Activities 10', 'Activity History 9', 'NAF 1', 'Compliance Approvals (Client) 3', 'Client Meeting 1', 'Financial Accounts (Client) 3', 'Holdings (Client) 4', 'Books & Records Docs 3', and 'Notes & ...'. The main content area is titled 'Compliance Approvals (Client)' and features a 'New Compliance Approvals' button. Below this is a table with the following data:

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

Below the table, the text 'Household Member Type' is visible.

- Continue with the Trade Blotter Record

Accounts Home Office Requests Books & Records Docs Invoices

New Compliance Approvals

Select Compliance Approvals Record Type

Select a record type for the new compliance approvals.

Select Compliance Approvals Record Type

Record Type of new record

Available Compliance Approvals Record Types

Record Type Name	Description
Client Update	
Trade Blotter	

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

Accounts Home Office Requests Books & Records Docs Invoices

Compliance Approvals Edit

New Compliance Approvals

Compliance Approvals Edit

Information


Client	<input type="text" value="John T Client"/>	Record Type	Trade Blotter
NAF	<input type="text"/>	Check Number	<input type="text"/>
Product Type	<input type="text" value="--None--"/>	Check Amount	<input type="text"/>
Company	<input type="text"/>	Check Date	<input type="text" value="[11/30/2017]"/>
Investment Amount	<input type="text"/>	Received Date	<input type="text" value="[11/30/2017]"/>
Source of Funds	<input type="text" value="--None--"/>	Sent To	<input type="text" value="--None--"/>
Delivery Method	<input type="text" value="--None--"/>	Sent Date	<input type="text" value="[11/30/2017]"/>
Tracking info	<input type="text"/>	Description	<input type="text"/>


- Enter the following Information:
 - NAF
 - If you have submitted a Books & Records for this client, and compliance has approved it, there should be a NAF for this client. You should look up that NAF record by clicking the lookup button on the side of the field
 - If you have not submitted a Books & Records 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 

NAF 

Record Type

Check Number

Search ~ LeadersLink - Google Chrome


Secure | https://sycamoreco-1575c610109.force.com/_ui/common/data/LookupPage?lkfm=editPage&lknm=CF00N4100000NaKnW&lktp=a1P&lksrc=

Lookup

Go!

Search Name All Fields

Recently Viewed NAF

 NAF [1]

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

- Product Type
 - This should reflect what is on the New Account Investment Profile. If you are not submitting a New Account Investment Profile, then choose whichever product makes sense.
- Company
 - Make sure to click the lookup button on the side of the field. You should not type a random name into the system
- Investment Amount (whether a check or transfer)
 - You do not need to add a dollar sign (\$)

- Source of Funds
 - This should reflect what is written on the New Account Investment Profile. If you are not submitting a New Account Investment Profile, choose whichever makes sense
- Delivery Method
 - This should only be used when sending the application / check / transfer paperwork somewhere. Choose the method that best fits
- Tracking info
 - Enter either the parcel tracking number or the fax number or email address info sent to.
 - ALL RECORDS MUST HAVE SOMETHING FILLED IN HERE.
- Check Number (if no check, enter 0)
- Check Amount (if no check, enter 0)
- Check Date (if no check, leave blank)
- Received Date
 - This is the date in which you received the information you are creating a Trade Blotter for
- Sent to
- Sent Date
 - This is the date in which you actually sent the information. This date should be the current date.
- Click on Save
- The system will now take you back out to Compliance Approvals Detail and you need to click on Submit for Approval. **If you do not click to submit, we will not receive notice of your submission and the business will not be processed.**

[Back to Account: John T Client](#)



Compliance Approvals
OM-1785

[« Back to Account: John T Client](#)

[Approval History \(3\)](#) | [Notes & Attachments \(0\)](#) | [Compliance Approvals History \(3\)](#)

Compliance Approvals Detail

[Edit](#) [Submit for Approval](#)

Order Memo Name	OM-1785	Record Type	Trade Blotter [Change]
Client	John T Client	Client Advisor	Bill Advisor
NAF		Check Number	123456
Product Type	Mutual Funds	Check Amount	\$50,000.00
Company	American Funds	Check Date	11/29/2017
Investment Amount	\$50,000.00	Received Date	11/30/2017
Source of Funds	IRA Rollover/Transfer	Sent To	Product Sponsor
Delivery Method	FedEx	Sent Date	12/1/2017
Tracking info	789456132168	Description	
Track Status	Track OM-1785	Last Modified By	Bill Advisor , 11/30/2017 3:07 PM
Created By	Bill Advisor , 11/30/2017 3:07 PM		

[Edit](#) [Submit for Approval](#)

Approval History

[Submit for Approval](#)

Action	Date	Status	Assigned To	Comments	Overall Status
Step: Compliance Approval 1					
	11/30/2017 3:25 PM	Approved	Compliance		✔ Approved
Step: Accounts Management Review					
	11/30/2017 3:09 PM	Approved	Account Management		✔ Approved
Approval Request Submitted					
	11/30/2017 3:08 PM	Submitted	Bill Advisor		

Notes & Attachments

[New Note](#) [Upload Files](#)

No records to display

- 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”.
- 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.

