Notifications How To Guide

OVERVIEW

ClientWorks Notifications is an interactive announcement, action tracking, and response tool. The tool streamlines the advisor office processes and eliminates the need for multiple operation-related phone calls and faxes currently managed by the offices. The Notifications Inbox provides a new common framework for delivering important notifications and alerts to you on ClientWorks. This guide will help you understand the Notifications user interface and its functionality.

ICONS

Alert or Important

Quick Tip

Information or Note

CONTENTS

ClientWorks | Notifications How To Guide

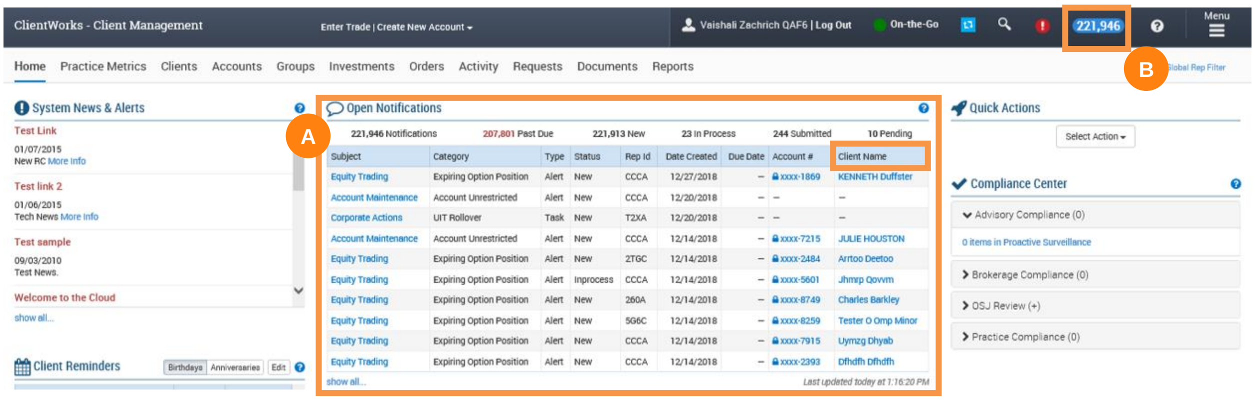
ACCESS NOTIFICATIONS

You can access your notifications in ClientWorks from either:

A. The **Open Notifications** widget displayed on the Client Management home page.

B. The **Notifications** indicator/button in the top toolbar, which is available wherever you are in Client Management.

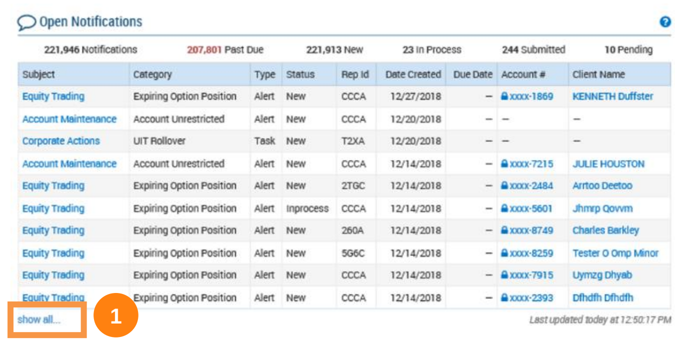
You can now view **Open Notifications** by **Client Name**. When you select a client name, it will take you to the **Client Profile Summary page.**



VIA THE CLIENT MANAGEMENT HOME PAGE

1. From the Client Management home page, click the **show all** link on the **Open Notifications** widget.

You may open a notification directly by clicking the subject hyperlink for the desired notification.

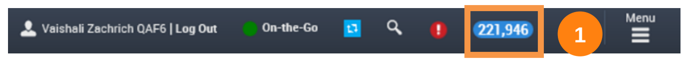


ClientWorks | Notifications How To Guide

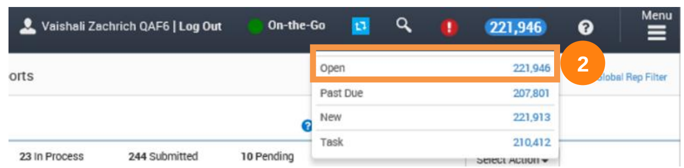
VIA THE NOTIFICATIONS INDICATOR

The Notifications indicator tells you the current number of open notifications.

1. Click the **Notifications** indicator/button.



2. Click the number link for the **Open** quick view.



You can also choose to open **Past Due**, **New**, or **Task** quick views in your Notifications Inbox.

3. Your **Notifications Inbox** appears.

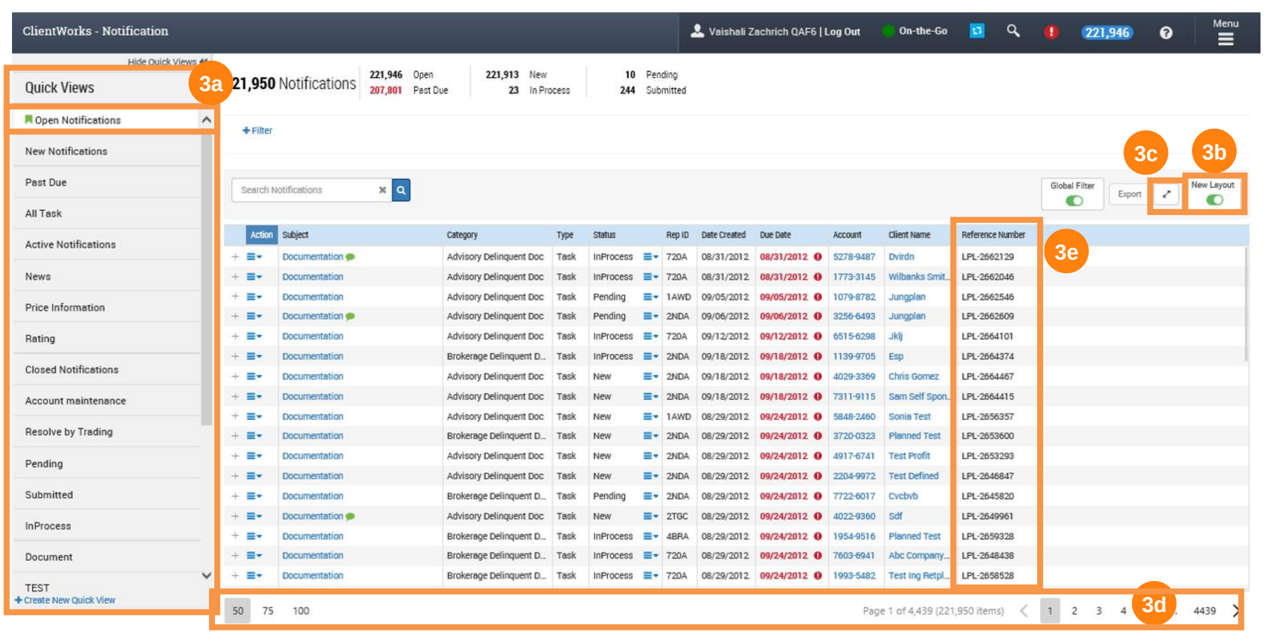
   a. The **Quick Views** sidebar provides several quick views to organize your notifications. One such Quick View is **Open Notifications**, which lists your current open notifications and sorts them by due date in ascending order.

   b. The **New Layout/Old Layout** button helps you to toggle between the layouts.

   c. The Expand Table icon enables you to view the notifications table in full screen.

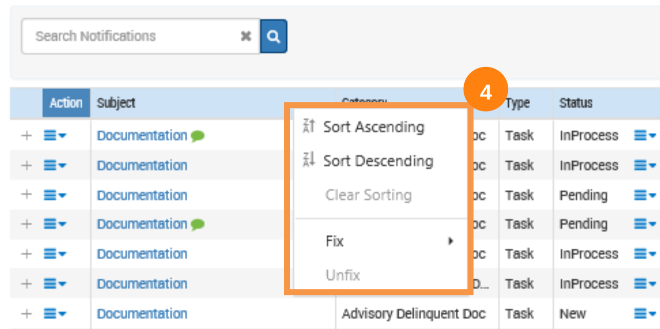
   d. The notifications are displayed in multiple pages at the bottom of the screen.

   e. A reference number for every notification is displayed under the **Reference Number** column.



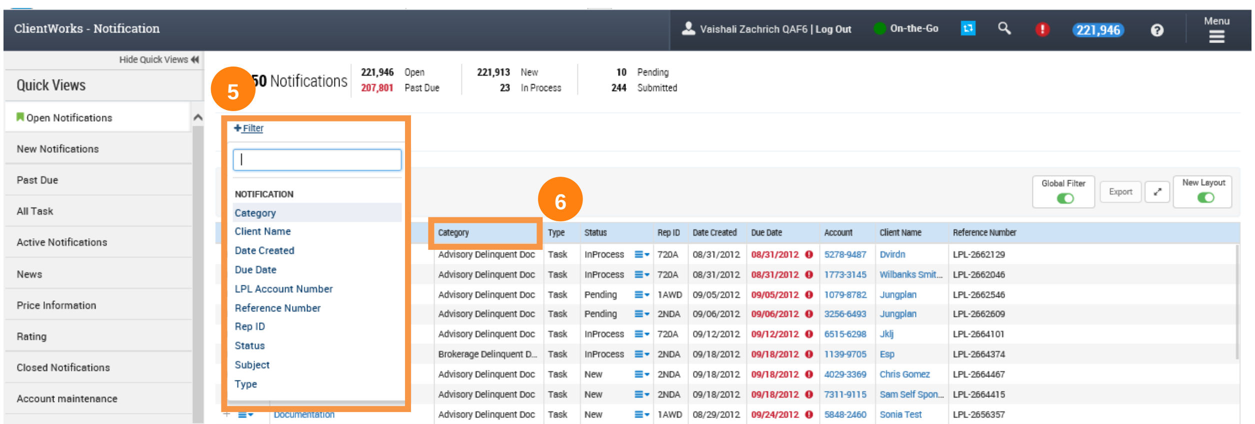
The **Open Notifications** quick view only contains Operational Notifications. To view market news and price information, select the **News** or **Price Information** quick views.

4. Right-click any of the columns to sort the notifications either in an ascending order or in a descending order.

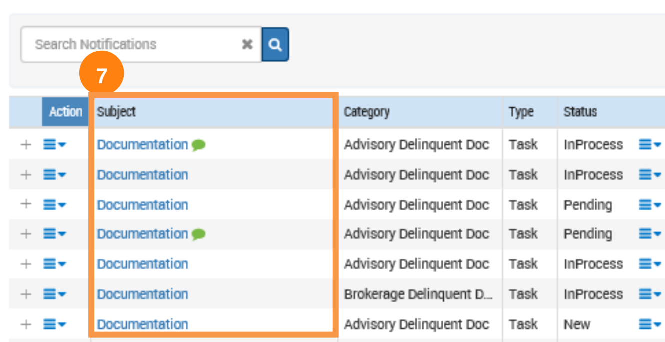


5. Click the **+Filter** link to specify the columns of the table.

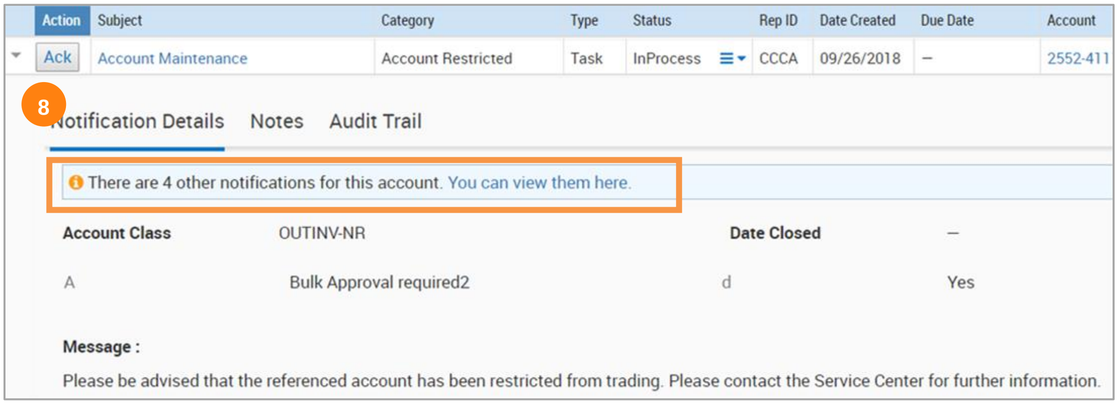
6. Click and drag any column to rearrange the table.



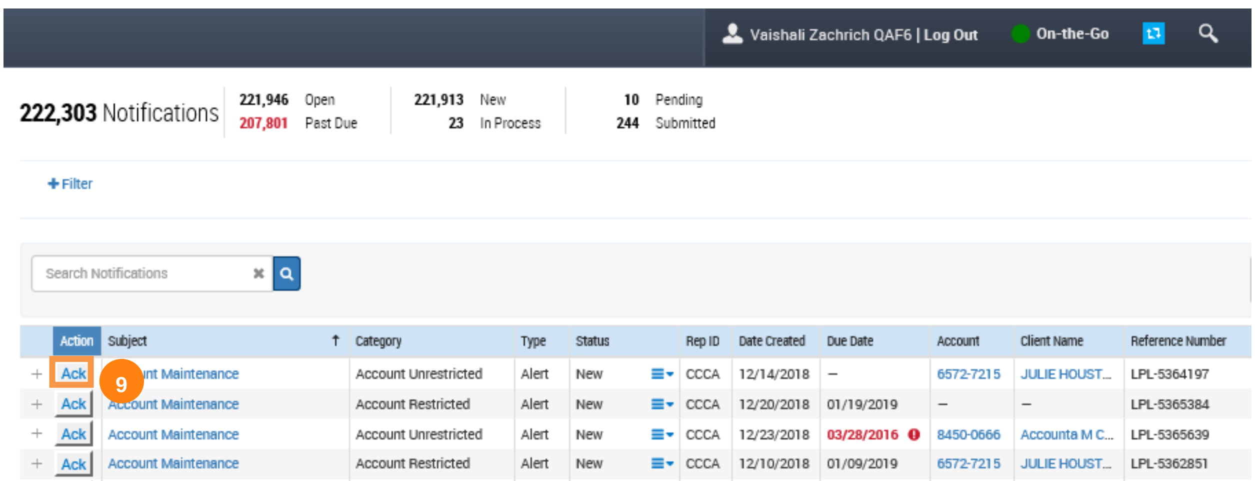
7. Click the **Subject** to expand a notification.



8. The details of the notification appear. An orange icon next to the **Notification Details** tab notifies that there are multiple notifications for the account.



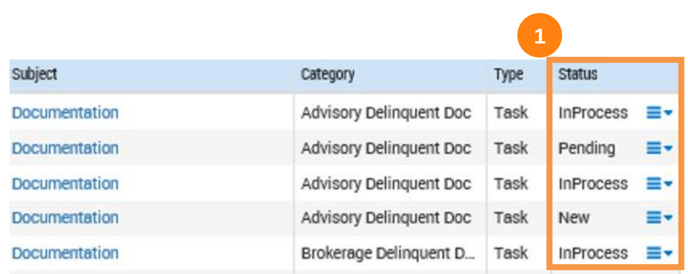
9. The **Ack** button appears if the only action required on the notification is your acknowledgment that you've read it.



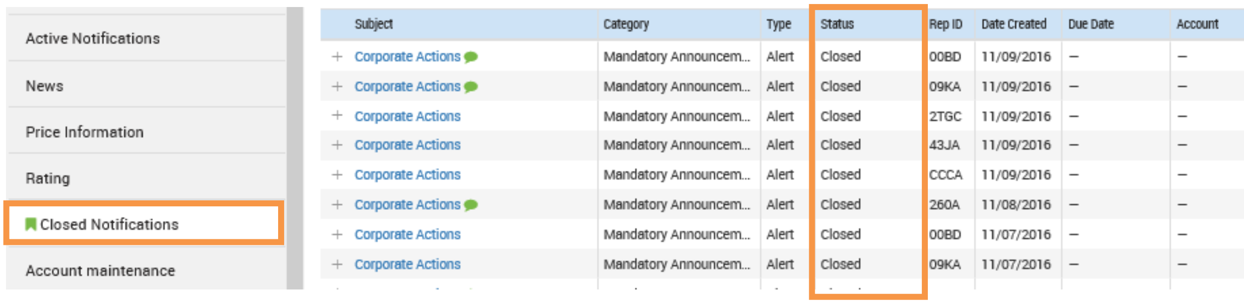
REVIEW NOTIFICATION STATUS

1. You can view the status of your notifications in the **Status** column. You will see the following statuses for your notifications:

   - **New**
   - **InProcess**
   - **Pending**
   - **Submitted**

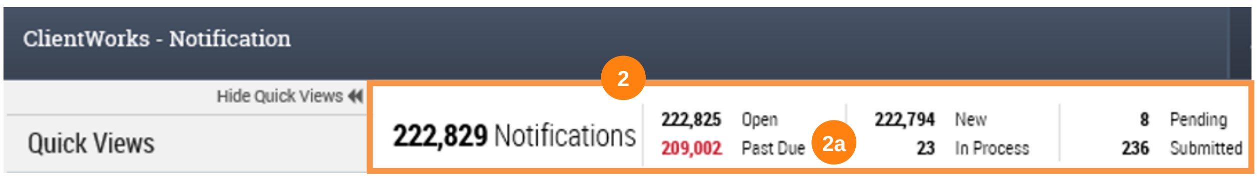


You will not see **Closed Notifications** when you are in the **Open Notifications** quick view. To view a **Closed** status, select the **Closed Notifications** quick view.

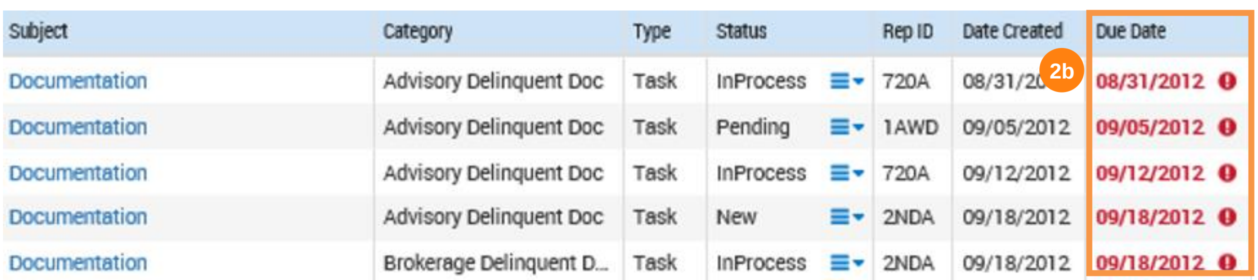


2. You can also view a summary of your notification statuses at the top of the view.

   a. You will see the **Past Due** notifications number in red.



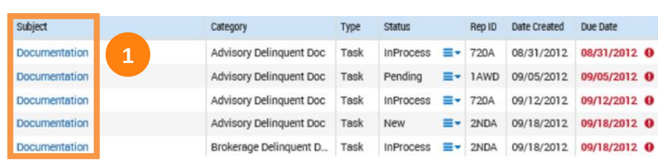
   b. The **Due Date** column highlights past due notifications in red to help you easily identify them.



The **Past Due** quick view also displays only your past due notifications.

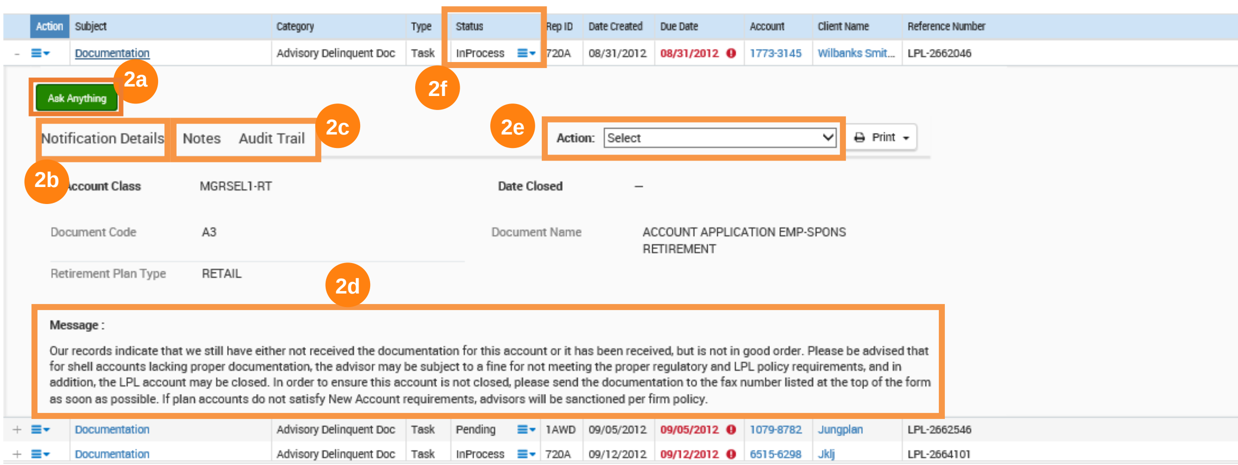
VIEW DETAILS OF A NOTIFICATION

1. Click a notification link in the **Subject** column to view notification details.



2. The expanded section of the **Notification** appears and it contains the following features:

   a. **Ask Anything**
   b. **Notification Details**
      - Download Document link only appears when the notification is related to a NIGO document.
   c. **Notes** and **Audit Trail**
   d. **Message**
   e. **Action**
   f. **Status**
      - Update the status of the notification using the menu in the status column



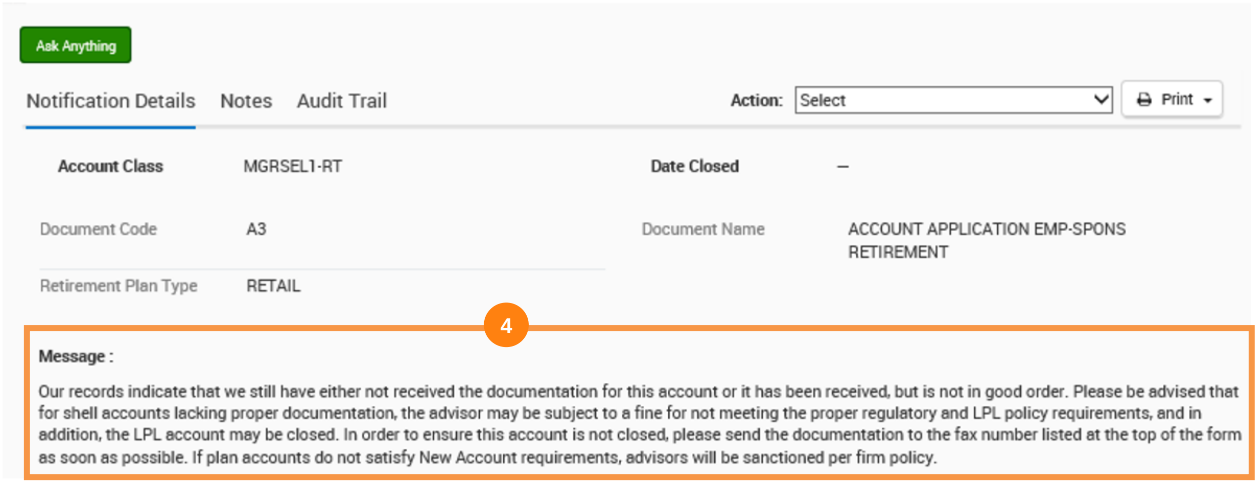
SYSTEM ALERTS

3. Alerts that are past due and needs your attention are highlighted with the red exclamation mark

Subject	Category	Type	Status	Rep ID	Date Created	Due Date
Documentation	Advisory Delinquent Doc	Task	InProcess	720A	08/31/2012	08/31/2012
Documentation	Advisory Delinquent Doc	Task	Pending	1AWD	09/05/2012	09/05/2012
Documentation	Advisory Delinquent Doc	Task	InProcess	720A	09/12/2012	09/12/2012
Documentation	Advisory Delinquent Doc	Task	New	2NDA	09/18/2012	09/18/2012
Documentation	Brokerage Delinquent D...	Task	InProcess	2NDA	09/18/2012	09/18/2012

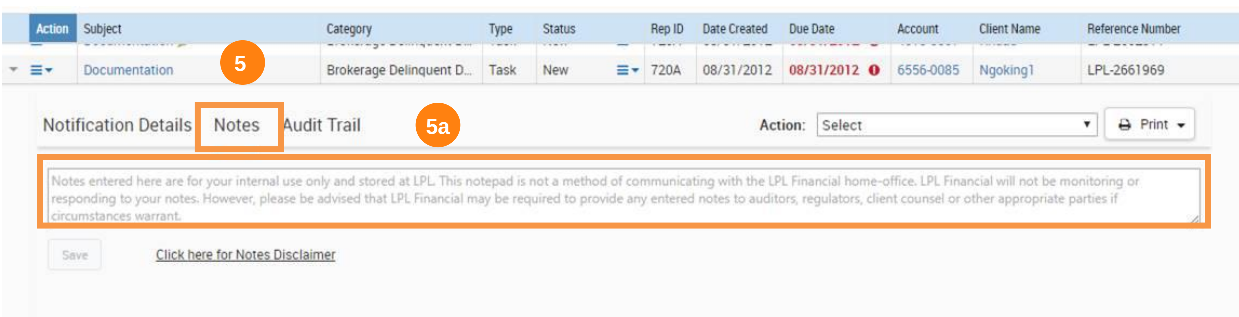
MESSAGE, NOTES, AND AUDIT TRAIL

4. In the **Message** section, there will be additional details related to your selected notification.



5. In the **Notes** tab, you can add a new note or update existing notes for your notification.

a. Enter new notes or edit the existing notes in the text field.



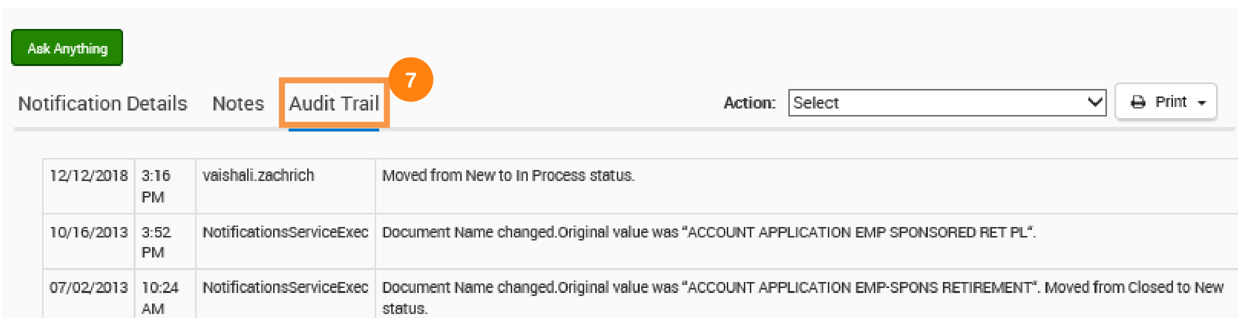
These notes are for your branch office use only. The LPL Home Office will not review these notes.

The notes feature is not available for Advisory Compliance.

6. After you have made all your updates, click **Save**.

7. The **Audit Trail** tab logs each action taken and status change for the notification.

The **Audit Trail** gives you the ability to see what has been done on the notification. For example, you can see who responded to a notification and when they responded.

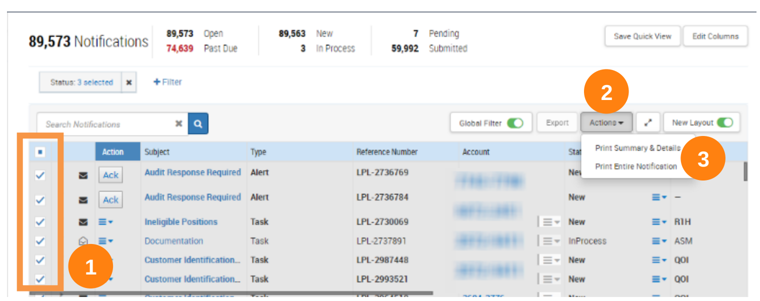


BULK PRINTING

1. You can print multiple notifications at once by selecting all applicable notifications.

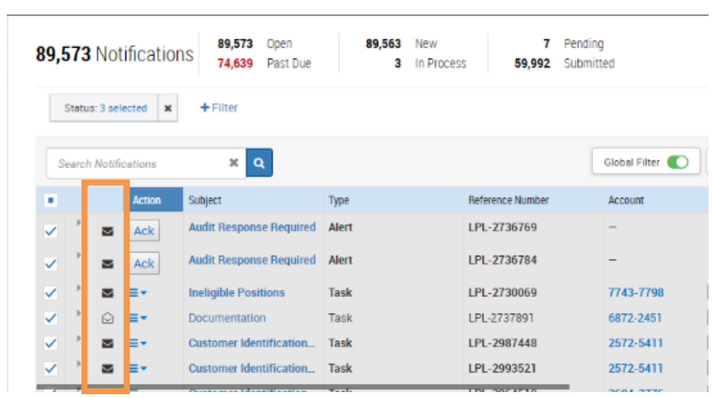
2. Select **Actions.**

3. Select the desired data type. The Report will open in a printable format.



READ INDICATOR

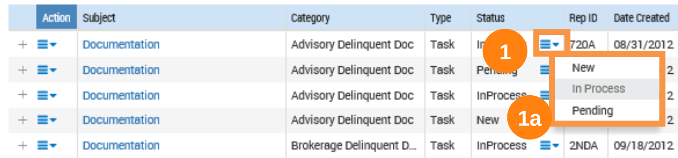
You can quickly identify a read versus unread notifications, by viewing the Read Indicator. An open envelope indicates a read notification.



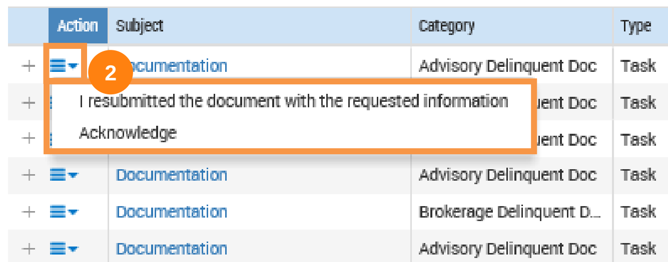
UPDATE STATUS OF A NOTIFICATION

1. You can update the status of a notification from the **Status** column. To change the status:

   a. Click the context menu and select one of the following options:
      - **New**
      - **In Process**
      - **Pending**

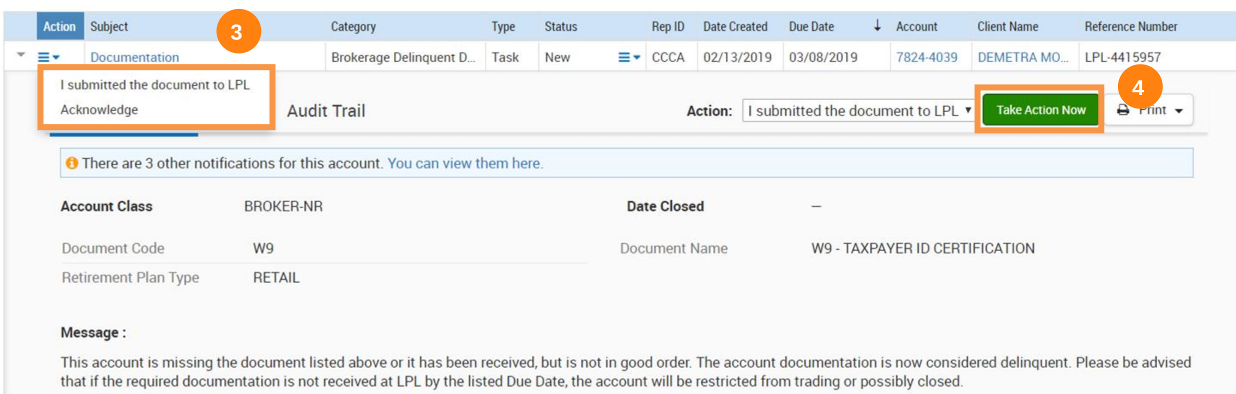


2. Click the relevant context menu under the **Action** column and select the appropriate option from the list to indicate the action you will take to address the notification. In this instance select the action, **I resubmitted the document with the requested information.**



3. Selecting the action from the drop-down, prompts the system to update the status to **Submitted**.

4. Click the **Take Action Now** button. This will save all the changes that you have made to the notification, and then proceed to act, as indicated.



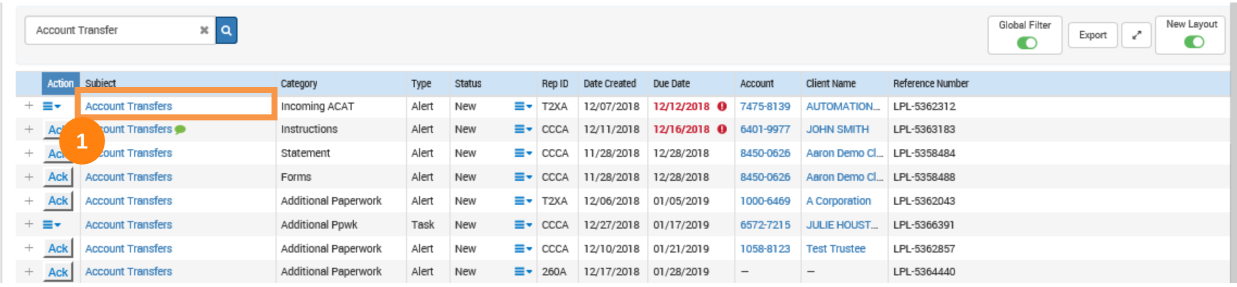
After updating the action, the notification is no longer visible in the **Open Notifications** quick view. The **Past Due** and **Submitted** numbers at the top of the view also change to reflect that the notification is no longer past due and is now submitted.

ASK ANYTHING FROM A NOTIFICATION

ClientWorks enables you to initiate and submit an Ask Anything Online Request from a notification.

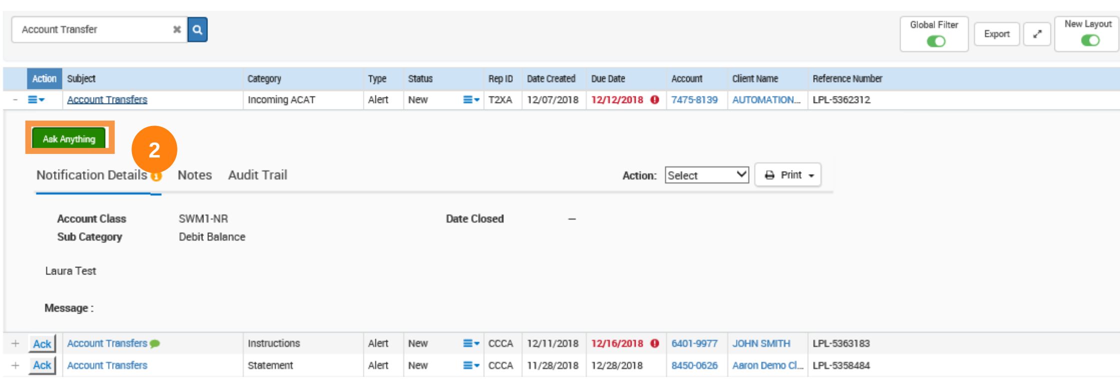
This feature may not be available for Account Transfers and Money Desk notifications at all times.

1. Click the notification subject to view the details of a notification.

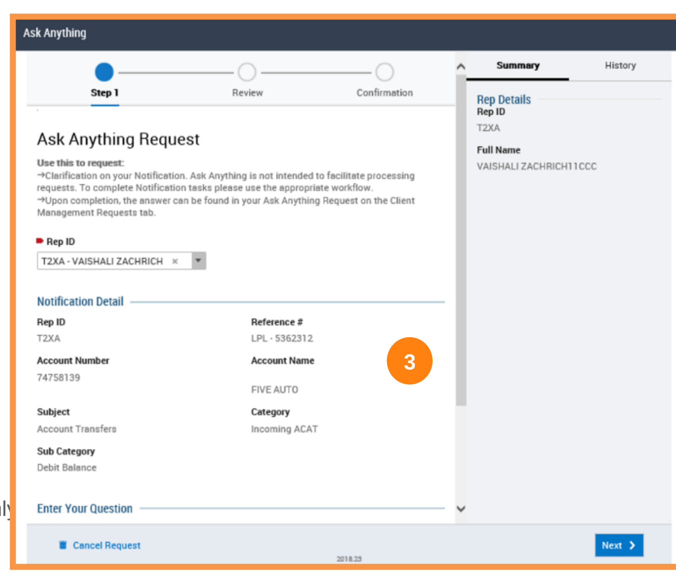


On Account Transfers and Money Desk notifications, you will see an **Ask Anything** button.

2. Click the **Ask Anything** button to start a new Ask Anything Online Request related to this notification.



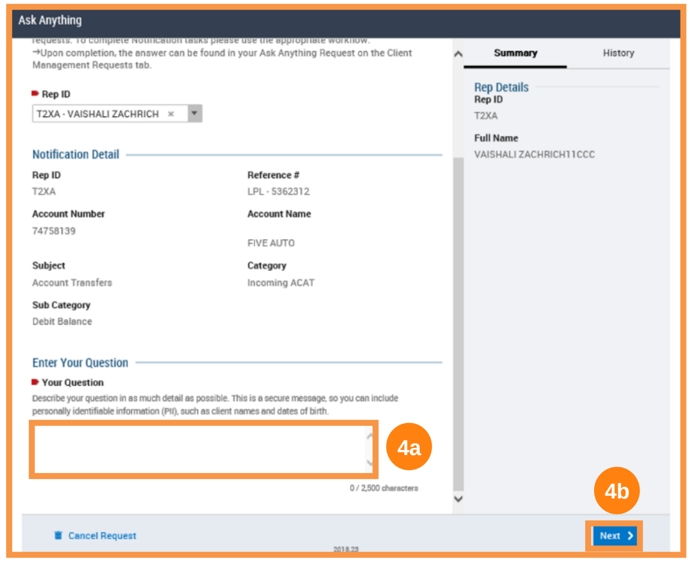
3. The **Ask Anything** window appears. In this window, information about you, the client, and the subject is prepopulated.



4. All you need to do is:

   a. Enter **Your Question**.

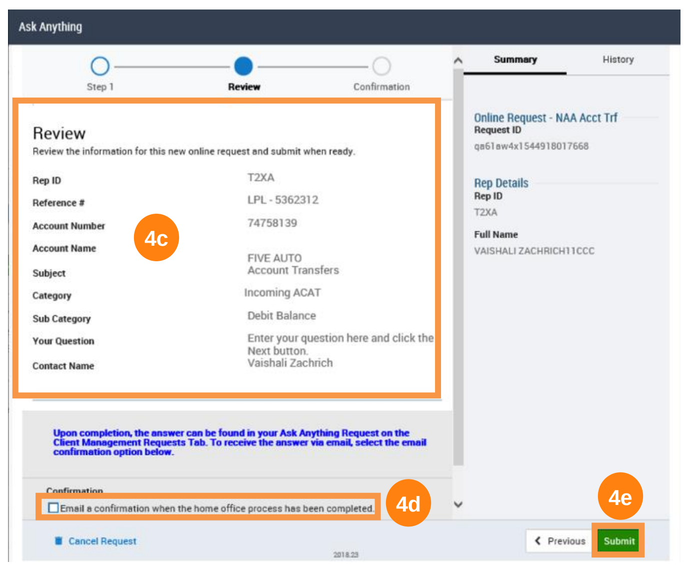
   b. Click the **Next** button.



   c. Review the request to make sure it is correct.

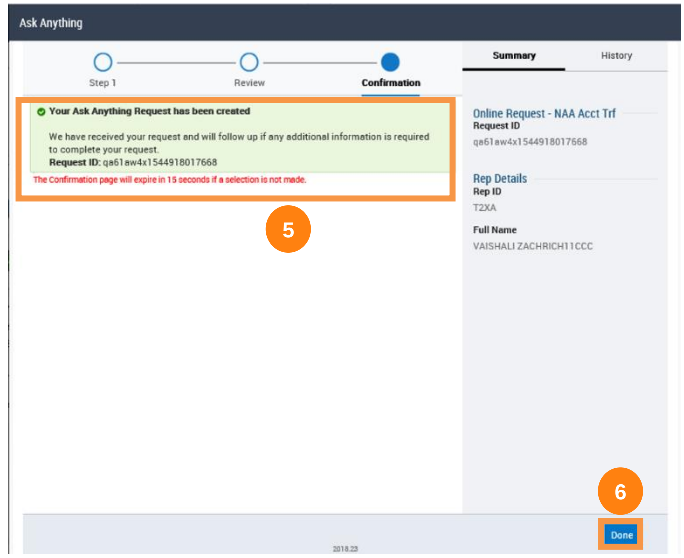
   d. Click the checkbox if you want to receive an email notification when the request is complete.

   e. Click the **Submit** button.



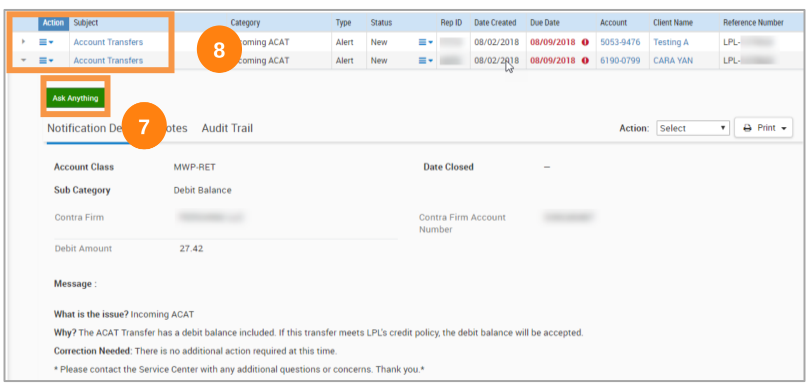
5. You will receive a confirmation that includes the Request ID. You must act upon it within 15 seconds after which the confirmation page will expire.

6. Click the **Done** button to close the window.



7. Upon receipt of the answer, return to the notification details. You will see account transfers above the Ask Anything button.

8. Click on **Account Transfers** to view an Ask Anything Request.



9. The **Ask Anything** popup appears and you can review the response to your submitted question.