

| 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

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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.

The screenshot shows the ClientWorks Client Management interface. The top toolbar includes a '221,946' indicator for notifications, highlighted with a red box and labeled 'B'. The main content area features the 'Open Notifications' widget, which is highlighted with a red box and labeled 'A'. The widget displays a table of notifications with columns: Subject, Category, Type, Status, Rep Id, Date Created, Due Date, Account #, and Client Name. The table lists various notifications, including 'Equity Trading', 'Account Maintenance', and 'Corporate Actions'. A 'show all...' link is visible at the bottom of the widget.

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.

The screenshot shows the 'Open Notifications' widget with a table of notifications. The table has columns: Subject, Category, Type, Status, Rep Id, Date Created, Due Date, Account #, and Client Name. The table lists various notifications, including 'Equity Trading', 'Account Maintenance', and 'Corporate Actions'. A 'show all...' link is highlighted with a red box and labeled '1'.

Subject	Category	Type	Status	Rep Id	Date Created	Due Date	Account #	Client Name
Equity Trading	Expiring Option Position	Alert	New	CCCA	12/27/2018	--	xxxx-1869	KENNETH Duffster
Account Maintenance	Account Unrestricted	Alert	New	CCCA	12/20/2018	--	--	--
Corporate Actions	UIT Rollover	Task	New	T2XA	12/20/2018	--	--	--
Account Maintenance	Account Unrestricted	Alert	New	CCCA	12/14/2018	--	xxxx-7215	JULIE HOUSTON
Equity Trading	Expiring Option Position	Alert	New	2TGC	12/14/2018	--	xxxx-2484	Airttoo Deetoo
Equity Trading	Expiring Option Position	Alert	Inprocess	CCCA	12/14/2018	--	xxxx-5601	Jhmnp Qovnm
Equity Trading	Expiring Option Position	Alert	New	260A	12/14/2018	--	xxxx-8749	Charles Barkley
Equity Trading	Expiring Option Position	Alert	New	566C	12/14/2018	--	xxxx-8259	Tester O Omp Minor
Equity Trading	Expiring Option Position	Alert	New	CCCA	12/14/2018	--	xxxx-7915	Uymaz Dhyab
Equity Trading	Expiring Option Position	Alert	New	CCCA	12/14/2018	--	xxxx-2393	Dfhdfh Dfhdfh

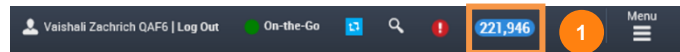


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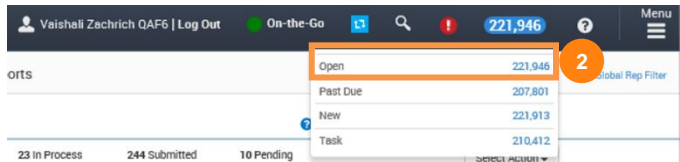
VIA THE NOTIFICATIONS INDICATOR

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.

Action	Subject	Category	Type	Status	Rep ID	Date Created	Due Date	Account	Client Name	Reference Number
+	Documentation	Advisory Delinquent Doc	Task	InProcess	720A	08/31/2012	08/31/2012	5278-9487	Dvirin	LPL-2662129
+	Documentation	Advisory Delinquent Doc	Task	InProcess	720A	08/31/2012	08/31/2012	1773-3145	Wilbanks Smit	LPL-2662046
+	Documentation	Advisory Delinquent Doc	Task	Pending	1AWD	09/05/2012	09/05/2012	1079-8782	Jungplan	LPL-2662546
+	Documentation	Advisory Delinquent Doc	Task	Pending	2NDA	09/06/2012	09/06/2012	3256-6493	Jungplan	LPL-2662609
+	Documentation	Advisory Delinquent Doc	Task	InProcess	720A	09/12/2012	09/12/2012	6515-6298	Jikj	LPL-2664101
+	Documentation	Brokerage Delinquent D...	Task	InProcess	2NDA	09/18/2012	09/18/2012	1139-9705	Esp	LPL-2664374
+	Documentation	Advisory Delinquent Doc	Task	New	2NDA	09/18/2012	09/18/2012	4029-3369	Chris Gomez	LPL-2664467
+	Documentation	Advisory Delinquent Doc	Task	New	2NDA	09/18/2012	09/18/2012	7311-9115	Sam Self Spon	LPL-2664415
+	Documentation	Advisory Delinquent Doc	Task	New	1AWD	08/29/2012	09/24/2012	5848-2460	Sonia Test	LPL-2656357
+	Documentation	Brokerage Delinquent D...	Task	New	2NDA	08/29/2012	09/24/2012	3720-0323	Planned Test	LPL-2653600
+	Documentation	Advisory Delinquent Doc	Task	New	2NDA	08/29/2012	09/24/2012	4917-6741	Test Profit	LPL-2653293
+	Documentation	Advisory Delinquent Doc	Task	New	2NDA	08/29/2012	09/24/2012	2204-9972	Test Defined	LPL-2646847
+	Documentation	Brokerage Delinquent D...	Task	Pending	2NDA	08/29/2012	09/24/2012	7722-6017	Cycbivb	LPL-2645820
+	Documentation	Advisory Delinquent Doc	Task	New	2TGC	08/29/2012	09/24/2012	4022-9360	Sdf	LPL-2649961
+	Documentation	Brokerage Delinquent D...	Task	InProcess	4BRA	08/29/2012	09/24/2012	1954-9516	Planned Test	LPL-2659328
+	Documentation	Brokerage Delinquent D...	Task	InProcess	720A	08/29/2012	09/24/2012	7603-6941	Abc Company...	LPL-2648438
+	Documentation	Brokerage Delinquent D...	Task	InProcess	720A	08/29/2012	09/24/2012	1993-5482	Test Ing Retpl	LPL-2658528



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

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

Action	Subject	Category	Type	Status
+ [icon]	Documentation	Advisory Delinquent Doc	Task	InProcess
+ [icon]	Documentation	Advisory Delinquent Doc	Task	InProcess
+ [icon]	Documentation	Advisory Delinquent Doc	Task	Pending
+ [icon]	Documentation	Advisory Delinquent Doc	Task	Pending
+ [icon]	Documentation	Advisory Delinquent Doc	Task	InProcess
+ [icon]	Documentation	Advisory Delinquent Doc	Task	InProcess
+ [icon]	Documentation	Advisory Delinquent Doc	Task	New

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

- Click and drag any column to rearrange the table.

Category	Type	Status	Rep ID	Date Created	Due Date	Account	Client Name	Reference Number
Advisory Delinquent Doc	Task	InProcess	72DA	08/31/2012	08/31/2012	5278-9487	Dvirin	LPL-2662129
Advisory Delinquent Doc	Task	InProcess	72DA	08/31/2012	08/31/2012	1779-3145	Wilbanks Smit...	LPL-2662046
Advisory Delinquent Doc	Task	Pending	1AWD	09/05/2012	09/05/2012	1079-8782	Jungplan	LPL-2662546
Advisory Delinquent Doc	Task	Pending	2HDA	09/06/2012	09/06/2012	3256-6493	Jungplan	LPL-2662609
Advisory Delinquent Doc	Task	InProcess	72DA	09/12/2012	09/12/2012	6515-6298	J&J	LPL-2664101
Brokerage Delinquent D...	Task	InProcess	2HDA	09/18/2012	09/18/2012	1139-9705	Esp	LPL-2664374
Advisory Delinquent Doc	Task	New	2HDA	09/18/2012	09/18/2012	4029-3369	Chris Gomez	LPL-2664467
Advisory Delinquent Doc	Task	New	2HDA	09/18/2012	09/18/2012	7311-9115	Sam Self Spon...	LPL-2664415
Advisory Delinquent Doc	Task	New	1AWD	08/29/2012	09/24/2012	5848-2460	Sonia Test	LPL-2656357


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

Action	Subject	Category	Type	Status
+ [icon]	Documentation	Advisory Delinquent Doc	Task	InProcess
+ [icon]	Documentation	Advisory Delinquent Doc	Task	InProcess
+ [icon]	Documentation	Advisory Delinquent Doc	Task	Pending
+ [icon]	Documentation	Advisory Delinquent Doc	Task	Pending
+ [icon]	Documentation	Advisory Delinquent Doc	Task	InProcess
+ [icon]	Documentation	Brokerage Delinquent D...	Task	InProcess
+ [icon]	Documentation	Advisory Delinquent Doc	Task	New




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

Action	Subject	Category	Type	Status	Rep ID	Date Created	Due Date	Account
 Ack	Account Maintenance	Account Restricted	Task	InProcess	CCCA	09/26/2018	—	2552-411





8 Notification Details Notes Audit Trail

 There are 4 other notifications for this account. You can view them here.

Account Class	OUTINV-NR	Date Closed	—
A	Bulk Approval required2	d	Yes

Message :
Please be advised that the referenced account has been restricted from trading. Please contact the Service Center for further information.

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


 Vaishali Zachrich QAF6 | Log Out
  On-the-Go
 



222,303 Notifications



221,946 Open
207,801 Past Due

221,913 New
23 In Process

10 Pending
244 Submitted

 Filter




Action	Subject	Category	Type	Status	Rep ID	Date Created	Due Date	Account	Client Name	Reference Number
 Ack	Account Maintenance	Account Unrestricted	Alert	New	CCCA	12/14/2018	—	6572-7215	JULIE HOUST...	LPL-5364197
Ack	Account Maintenance	Account Restricted	Alert	New	CCCA	12/20/2018	01/19/2019	—	—	LPL-5365384
Ack	Account Maintenance	Account Unrestricted	Alert	New	CCCA	12/23/2018	03/28/2016 	8450-0666	Accounta M C...	LPL-5365639
Ack	Account Maintenance	Account Restricted	Alert	New	CCCA	12/10/2018	01/09/2019	6572-7215	JULIE HOUST...	LPL-5362851

REVIEW NOTIFICATION STATUS

- 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



Subject	Category	Type	Status
Documentation	Advisory Delinquent Doc	Task	InProcess
Documentation	Advisory Delinquent Doc	Task	Pending
Documentation	Advisory Delinquent Doc	Task	InProcess
Documentation	Advisory Delinquent Doc	Task	New
Documentation	Brokerage Delinquent D...	Task	InProcess



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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.

Active Notifications	Subject	Category	Type	Status	Rep ID	Date Created	Due Date	Account
News	+ Corporate Actions	Mandatory Announcem...	Alert	Closed	00BD	11/09/2016	—	—
Price Information	+ Corporate Actions	Mandatory Announcem...	Alert	Closed	09KA	11/09/2016	—	—
Rating	+ Corporate Actions	Mandatory Announcem...	Alert	Closed	2TGC	11/09/2016	—	—
	+ Corporate Actions	Mandatory Announcem...	Alert	Closed	43JA	11/09/2016	—	—
	+ Corporate Actions	Mandatory Announcem...	Alert	Closed	CCCA	11/09/2016	—	—
	+ Corporate Actions	Mandatory Announcem...	Alert	Closed	260A	11/08/2016	—	—
	+ Corporate Actions	Mandatory Announcem...	Alert	Closed	00BD	11/07/2016	—	—
	+ Corporate Actions	Mandatory Announcem...	Alert	Closed	09KA	11/07/2016	—	—

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.

ClientWorks - Notification			
Hide Quick Views <<			
Quick Views	222,829 Notifications	222,825 Open 209,002 Past Due	222,794 New 23 In Process

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

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



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.

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



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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

The screenshot shows the expanded notification interface. Callouts point to the following elements:

- 2a:** 'Ask Anything' button.
- 2b:** 'Notification Details' tab.
- 2c:** 'Notes' and 'Audit Trail' tabs.
- 2d:** 'Message' section containing a detailed notification text.
- 2e:** 'Action' dropdown menu.
- 2f:** 'Status' dropdown menu in the table header.

Action	Subject	Category	Type	Status	Rep ID	Date Created	Due Date	Account	Client Name	Reference Number
-	Documentation	Advisory Delinquent Doc	Task	InProcess	720A	08/31/2012	08/31/2012	1773-3145	Wilbanks Smit...	LPL-2562046

Below the table, the expanded view for the first row shows:

- Account Class:** MGRSEL1-RT
- Date Closed:** --
- Document Code:** A3
- Document Name:** ACCOUNT APPLICATION EMP-SPONS RETIREMENT
- Retirement Plan Type:** RETAIL

Message:

Our records indicate that we still have either not received the documentation for this account or it has been received, but is not in good order. Please be advised that for shell accounts lacking proper documentation, the advisor may be subject to a fine for not meeting the proper regulatory and LPL policy requirements, and in addition, the LPL account may be closed. In order to ensure this account is not closed, please send the documentation to the fax number listed at the top of the form as soon as possible. If plan accounts do not satisfy New Account requirements, advisors will be sanctioned per firm policy.

+	Documentation	Advisory Delinquent Doc	Task	Pending	1AWD	09/05/2012	09/05/2012	1079-8782	Jungplan	LPL-2562546
+	Documentation	Advisory Delinquent Doc	Task	InProcess	720A	09/12/2012	09/12/2012	6515-6298	Jklj	LPL-2564101

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	3
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.

Ask Anything

Notification Details Notes Audit Trail Action:

Account Class MGRSEL1-RT Date Closed —

Document Code A3 Document Name ACCOUNT APPLICATION EMP-SPONS RETIREMENT

Retirement Plan Type RETAIL

4

Message :

Our records indicate that we still have either not received the documentation for this account or it has been received, but is not in good order. Please be advised that for shell accounts lacking proper documentation, the advisor may be subject to a fine for not meeting the proper regulatory and LPL policy requirements, and in addition, the LPL account may be closed. In order to ensure this account is not closed, please send the documentation to the fax number listed at the top of the form as soon as possible. If plan accounts do not satisfy New Account requirements, advisors will be sanctioned per firm policy.

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.


Action	Subject	Category	Type	Status	Rep ID	Date Created	Due Date	Account	Client Name	Reference Number
▼	Documentation	Brokerage Delinquent D...	Task	New	720A	08/31/2012	08/31/2012	6556-0085	Ngoking1	LPL-2661969


Notification Details **Notes** Audit Trail Action:

5 **5a**

Notes entered here are for your internal use only and stored at LPL. This notepad is not a method of communicating with the LPL Financial home-office, LPL Financial will not be monitoring or responding to your notes. However, please be advised that LPL Financial may be required to provide any entered notes to auditors, regulators, client counsel or other appropriate parties if circumstances warrant.

[Click here for Notes Disclaimer](#)

 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.



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

Ask Anything

Notification Details **Notes** Audit Trail

Action: Select Print

Test

6 Save [Click here for Notes Disclaimer](#)

- 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.

Ask Anything

Notification Details Notes **Audit Trail** **7**

Action: Select Print

12/12/2018	3:16 PM	vaishali.zachrich	Moved from New to In Process status.
10/16/2013	3:52 PM	NotificationsServiceExec	Document Name changed.Original value was "ACCOUNT APPLICATION EMP SPONSORED RET PL".
07/02/2013	10:24 AM	NotificationsServiceExec	Document Name changed.Original value was "ACCOUNT APPLICATION EMP-SPONS RETIREMENT". Moved from Closed to New status.

BULK PRINTING

- You can print multiple notifications at once by selecting all applicable notifications.
- Select **Actions**.
- Select the desired data type. The Report will open in a printable format.

89,573 Notifications 89,573 Open 74,639 Past Due 89,563 New 3 In Process 7 Pending 59,992 Submitted Save Quick View Edit Columns

Status: 3 selected + Filter

Search Notifications Global Filter Export Actions New Layout

Action	Subject	Type	Reference Number	Account	Status	Print Summary & Details	Print Entire Notification
<input checked="" type="checkbox"/>	Audit Response Required	Alert	LPL-2736769	7743-7798	New		
<input checked="" type="checkbox"/>	Audit Response Required	Alert	LPL-2736784	7743-7798	New		
<input checked="" type="checkbox"/>	Ineligible Positions	Task	LPL-2730069	7743-7798	New		
<input checked="" type="checkbox"/>	Documentation	Task	LPL-2737891	6872-2451	In Process		
<input checked="" type="checkbox"/>	Customer Identification...	Task	LPL-2987448	2572-5411	New		
<input checked="" type="checkbox"/>	Customer Identification...	Task	LPL-2993521	2572-5411	New		

READ INDICATOR

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

89,573 Notifications 89,573 Open 74,639 Past Due 89,563 New 3 In Process 7 Pending 59,992 Submitted Save Quick View Edit Columns

Status: 3 selected + Filter

Search Notifications Global Filter

Action	Subject	Type	Reference Number	Account	Status	Read Indicator	Print Summary & Details	Print Entire Notification
<input checked="" type="checkbox"/>	Audit Response Required	Alert	LPL-2736769	7743-7798	New			
<input checked="" type="checkbox"/>	Audit Response Required	Alert	LPL-2736784	7743-7798	New			
<input checked="" type="checkbox"/>	Ineligible Positions	Task	LPL-2730069	7743-7798	New			
<input checked="" type="checkbox"/>	Documentation	Task	LPL-2737891	6872-2451	In Process			
<input checked="" type="checkbox"/>	Customer Identification...	Task	LPL-2987448	2572-5411	New			
<input checked="" type="checkbox"/>	Customer Identification...	Task	LPL-2993521	2572-5411	New			



UPDATE STATUS OF A NOTIFICATION

- You can update the status of a notification from the **Status** column. To change the status:
 - Click the context menu and select one of the following options:
 - New**
 - In Process**
 - Pending**
- 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**.

Action	Subject	Category	Type	Status	Rep ID	Date Created
+ [Menu]	Documentation	Advisory Delinquent Doc	Task	In Process	720A	08/31/2012
+ [Menu]	Documentation	Advisory Delinquent Doc	Task	Pending		
+ [Menu]	Documentation	Advisory Delinquent Doc	Task	In Process		
+ [Menu]	Documentation	Advisory Delinquent Doc	Task	New		
+ [Menu]	Documentation	Brokerage Delinquent D...	Task	In Process	2NDA	09/18/2012

Action	Subject	Category	Type
+ [Menu]	Documentation	Advisory Delinquent Doc	Task
+ [Menu]	I resubmitted the document with the requested information	Advisory Delinquent Doc	Task
+ [Menu]	Acknowledge	Advisory Delinquent Doc	Task
+ [Menu]	Documentation	Advisory Delinquent Doc	Task
+ [Menu]	Documentation	Brokerage Delinquent D...	Task
+ [Menu]	Documentation	Advisory Delinquent Doc	Task

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

Action	Subject	Category	Type	Status	Rep ID	Date Created	Due Date	Account	Client Name	Reference Number
[Menu]	Documentation	Brokerage Delinquent D...	Task	New	CCCA	02/13/2019	03/08/2019	7824-4039	DEMETRA MO...	LPL-4415957

I submitted the document to LPL
Acknowledge

Audit Trail
Action: I submitted the document to LPL **Take Action Now**

There are 3 other notifications for this account. You can view them here.

Account Class	BROKER-NR	Date Closed	—
Document Code	W9	Document Name	W9 - TAXPAYER ID CERTIFICATION
Retirement Plan Type	RETAIL		

Message :

This account is missing the document listed above or it has been received, but is not in good order. The account documentation is now considered delinquent. Please be advised that if the required documentation is not received at LPL by the listed Due Date, the account will be restricted from trading or possibly closed.



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.



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

Account Transfer 16

Global Filter

Export

New Layout

Action	Subject	Category	Type	Status	Rep ID	Date Created	Due Date	Account	Client Name	Reference Number
+	Account Transfers	Incoming ACAT	Alert	New	T2XA	12/07/2018	12/12/2018	7475-8139	AUTOMATION...	LPL-5362312
+	Account Transfers	Instructions	Alert	New	CCCA	12/11/2018	12/16/2018	6401-9977	JOHN SMITH	LPL-5363183
+	Account Transfers	Statement	Alert	New	CCCA	11/28/2018	12/28/2018	8450-0626	Aaron Demo Cl...	LPL-5358484
+	Account Transfers	Forms	Alert	New	CCCA	11/28/2018	12/28/2018	8450-0626	Aaron Demo Cl...	LPL-5358488
+	Account Transfers	Additional Paperwork	Alert	New	T2XA	12/06/2018	01/05/2019	1000-6469	A Corporation	LPL-5362043
+	Account Transfers	Additional Ppww	Task	New	CCCA	12/27/2018	01/17/2019	6572-7215	JULIE HOUST...	LPL-5366391
+	Account Transfers	Additional Paperwork	Alert	New	CCCA	12/10/2018	01/21/2019	1058-8123	Test Trustee	LPL-5362857
+	Account Transfers	Additional Paperwork	Alert	New	260A	12/17/2018	01/28/2019	—	—	LPL-5364440



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.

Account Transfer										Global Filter	Export	New Layout
Action	Subject	Category	Type	Status	Rep ID	Date Created	Due Date	Account	Client Name	Reference Number		
- [icon]	Account Transfers	Incoming ACAT	Alert	New	T2XA	12/07/2018	12/12/2018	7475-8139	AUTOMATION...	LPL-5362312		

Ask Anything

2

Notification Details Notes Audit Trail

Action: Select Print

Account Class

Sub Category

SWMI-NR

Debit Balance

Date Closed

-

Laura Test

Message :

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

Ask Anything

Step 1 Review Confirmation

Summary

History

Rep Details

Rep ID

T2XA

Full Name

VAISHALI ZACHRICH1CCC

Ask Anything Request

Use this to request:

→Clarification on your Notification. Ask Anything is not intended to facilitate processing requests. To complete Notification tasks please use the appropriate workflow.

→Upon completion, the answer can be found in your Ask Anything Request on the Client Management Requests tab.

Rep ID

T2XA - VAISHALI ZACHRICH

Notification Detail

Rep ID

T2XA

Account Number

74758139

Subject

Account Transfers

Sub Category

Debit Balance

Reference #

LPL - 5362312

Account Name

FIVE AUTO

Category

Incoming ACAT

Enter Your Question

Cancel Request

Next



Member FINRA/SIPC. For broker/advisor use only
September 11, 2019

Financial

ClientWorks | Notifications How To Guide

4. All you need to do is:
 - a. Enter **Your Question**.
 - b. Click the **Next** button.

The screenshot shows the 'Ask Anything' form in the 'Step 1' stage. The form is titled 'Ask Anything' and includes a sub-header 'Requests to complete Notification tasks please use the appropriate workflow.' Below this, a note states: 'Upon completion, the answer can be found in your Ask Anything Request on the Client Management Requests tab.' The form contains several fields: 'Rep ID' (T2XA - VAISHALI ZACHRICH), 'Notification Detail' (Rep ID: T2XA, Reference #: LPL - 5362312, Account Number: 74758139, Account Name: FIVE AUTO, Subject: Account Transfers, Category: Incoming ACAT, Sub Category: Debit Balance), and 'Enter Your Question' (a text area with a character count of 0 / 2,500 characters). A 'Next' button is located at the bottom right. Callout 4a points to the 'Enter Your Question' text area, and callout 4b points to 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.

The screenshot shows the 'Ask Anything' form in the 'Review' stage. The form is titled 'Ask Anything' and includes a sub-header 'Review the information for this new online request and submit when ready.' Below this, a note states: 'Upon completion, the answer can be found in your Ask Anything Request on the Client Management Requests Tab. To receive the answer via email, select the email confirmation option below.' The form contains several fields: 'Rep ID' (T2XA), 'Reference #' (LPL - 5362312), 'Account Number' (74758139), 'Account Name' (FIVE AUTO), 'Subject' (Account Transfers), 'Category' (Incoming ACAT), 'Sub Category' (Debit Balance), 'Your Question' (Enter your question here and click the Next button), and 'Contact Name' (Vaishali Zachrich). A 'Submit' button is located at the bottom right. Callout 4c points to the 'Account Name' field, callout 4d points to the 'Email a confirmation when the home office process has been completed' checkbox, and callout 4e points to 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.

The screenshot shows a 'Request Details' window with the 'Ask Anything Request' tab selected. The window is divided into three main sections: 'Request Information', 'Confirmation', and a right-hand summary panel.

Request Information

Rep Details	Sub Topic
TZXA - MICHAEL HATCH	Incoming ACAT

Topic	Contact Name
Account Transfers	Vaishali Zachrich

Relating To
Status

Your Question
Automation Team Testing

Answer:
This is test response for Quincy - Feb. 14th 2019 - QAF2

Confirmation

Email	Email a confirmation when the home office process has been completed.
vaishali.zachrich@qa.lpl.com	No

Summary

Online Request - AA Acct Trf
Request ID: qa22aw4x1548882001/904
Creation Date: 02/07/2019 08:50
Save Date: 02/14/2019 12:55
Status: Completed

An orange arrow points from the 'Your Question' section to the 'Answer' field.

