

# **Willson Financial**

## **Team Delta**

### **Milestone #4**

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Rufino Tzunun  
Christopher Clausen  
Moises Herrera  
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Milestone 4

# Group Intro: Team Delta

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- Team Delta will create a database management system to bring Willson Financial into SEC compliance.
- We plan to store customer data and maintain data security..
- Our data management system will provide Willson Financial the ability to create their own queries to verify customer information and create reports.

Christopher Clausen  
Orlando, FL

<https://github.com/cclausen44/csd-310.git>

Coordinator for attractions at WDW's EPCOT.  
Working towards joining Disney Tech.

Moises Herrera  
Orlando, FL

[CSD-310/teamdelta.py at main · moisesherr/CSD-310 \(github.com\)](https://github.com/moisesherr/CSD-310)

Secretary for Park Operations at WDW's EPCOT. Finishing my BA in hopes to make his way into being a Disney Imagineer one day.

Rufino Tzunun  
Los Angeles, CA

<https://github.com/monkeypawstrain/csd.git>

Electrician, Disneyland Resort.

# Summary of Case Study

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- Jake and Ned Wilson want to create a dedicated business to provide financial management and advising for the people of a small town in New Mexico.
- They wanted to create a business that is compliant with security and exchange commission (SEC) regulations.
- Jake and Ned hired two employees to help them run Willson financial.
- The company has been growing steadily and the company needs some help to organize the information and keep providing their customers with great service.

# **The Big Question**

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Jake and Ned will continue to create and build reports, and it is not specified how much or for how long. Due to this being an open-ended workload for them, the biggest question that Jake and Ned have asked us to answer is whether they should change their billing cycle from 6 months to a yearly billing cycle.

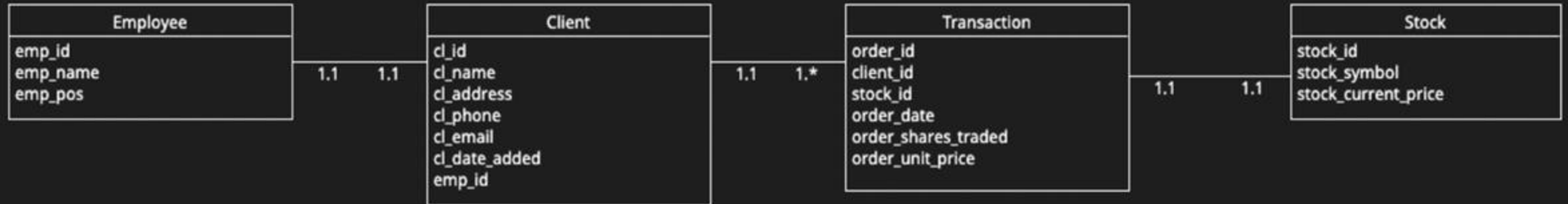


## Assumptions:

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- We assume that Jake and Ned want to keep track of everything that is going on in their company.
- The current billing cycle for clients is every 6 months.
- The owners want a way to pull up information or query for certain events.
- The owners need a transaction list to be compliant with SEC.
- They need verification for CFA license personnel to view confidential information.
- We can receive the latest prices of individual securities to measure account value.
- We do not allow the client to hold a cash balance.

# ORD:





## Reports:

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- We decided to create three reports that will help Willson Financial keep track of their customers and comply with SEC regulations.
- The focus is the same big question:

**Should the billing cycle be changed?**



## Report #1:

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- The report displays clients that have started an account with Wilson Financial within the last six months.
- The number of clients that were added in the last 6 months will let Jake and Ned know if they should change their billing cycle to a cycle that generates revenue year-round

-- DISPLAYING CLIENTS ADDED W/IN LAST 6 MONTHS --

Client: Nick Jonas

Date Added: 2022-03-12 00:00:00

Client: Sam Hikes

Date Added: 2022-02-22 00:00:00

Client: Iam Sam

Date Added: 2022-04-01 00:00:00

Client: Juan Jose

Date Added: 2022-05-17 00:00:00





## Report #2:

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- The report displays the average assets that clients are managing with Willson Financial.
- The report will help Willson Financial keep track of assets and the reports can be used to stay SEC compliant.
- The report can be organized to the preferred line that is most important

```
-- AVERAGE ASSETS OF ENTIRE CLIENT LIST --  
Number of Clients: 6  
Sum of Client Transactions: $417.56  
Average Assets: $70 rounded
```

## Report #3:

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- This report displays transactions made greater than the set amount being 10.
- The report will help Willson Financial keep track of assets and the reports can be used to stay SEC compliant.
- Changes to the report can be made if reports are too similar or there are too many
- If a client makes more than 10 transactions, it will automatically be added to the report.

```
-- DISPLAYING TRANSACTIONS GREATER THAN 10 --  
Client: Dan Williams  
Number of Transactions: 63  
  
Client: Robert Jones  
Number of Transactions: 50  
  
Client: Nick Jonas  
Number of Transactions: 40  
  
Client: Iam Sam  
Number of Transactions: 40  
  
Client: Sam Hikes  
Number of Transactions: 34
```



## **Analysis of Report and Conclusion**

Team Delta built a database management system, organizing Willson Financial reports, and bring them into SEC compliance.

We used the reports from the last 6 months to set the variables to change their billing cycle to a cycle that generates revenue year-round

Rules built within the report will help group together clients that have more than 10 transactions to better simplify what is displayed.

Because the Willson Financial company has been steadily growing, simple changes to the report can be made to help organize their reports as needed.