

iConnect 125234 Design Approach

Allow Reviewer to fill dashboard/reviewer forms during review process.

Workflow Changes

None for agents and clients.

For reviewers see below.

Admin Changes

A new package type is added – “Reviewer Package”. ← Other than this, no change in Admin.

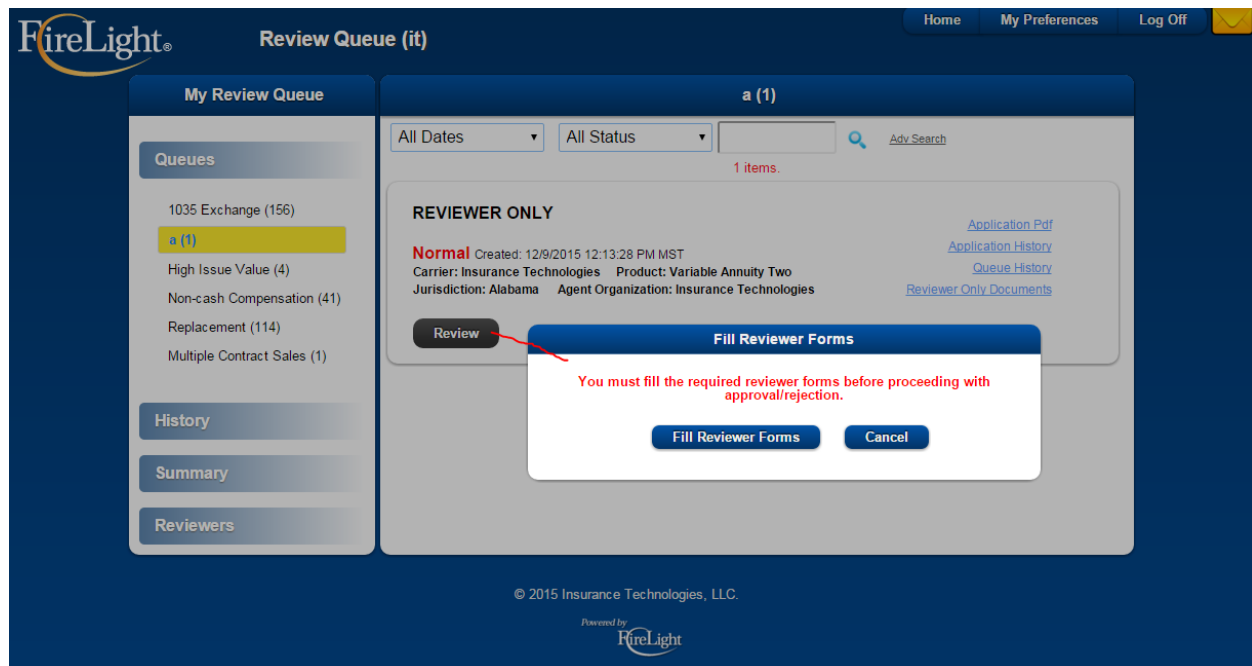
- Reviewer “Dashboard” forms should be added into this package. Should be set as “Required”.
- Reviewer “Dashboard” forms **should NOT** be included in normal application package or broker package.

The screenshot displays the 'Packages' management interface. On the left, there is an 'Add New Package' button and a stack of books icon. The main area shows a list of packages: AG Pilot Package, Alpha AG Package, Beta AG Package, Phase 1 AG Package (Deployment), Phase 1 AG Package (Development), and REVIEWER PACKAGE (highlighted with a red line). Each package has a '[Duplicate]' link. Below the list is a 'Replace Form in Package' button. The form below the list is for editing the 'REVIEWER PACKAGE'. It includes a 'Package Name' field (containing 'REVIEWER PACKAGE'), a 'Package Type' dropdown (set to 'Reviewer - Package 2'), and a 'Last Updated' field (12/14/2). The 'Forms in Package' section shows a list of forms: 'Agent Activity Report', 'Agent Submission Report', and 'Dashboard' (highlighted). The 'Dashboard' form is set to 'Required' and has 'Copies: 1'. The 'Approved States' and 'Properties' links are visible for each form.

App UI Mock Ups

1. If there are required reviewer forms to be filled* for this application, click on “Review” will bring up a confirmation as below:

* If no dashboard forms to be filled, “Review” button will behave as today.



2. **Click on “Fill Reviewer Forms”:** A fillable Reviewer Only form. Many values will be carried over from the original application (as Read-Only in this case). These fields are designed in Admin.
- The input data will not be automatically saved. Reviewer must click on “Save”.
 - Reviewer can close the dashboard (“Back to Reviewer Queue”) and re-open the form (by clicking on “Review”) to continue where it was left off.
 - Multiple reviewers can update/modify the same Dashboard form. Click on “History” can view each reviewer’s update activities.
 - When the form is 100%, a button “Complete” will be enabled. Click on “Complete” will lock the forms, no more input can be entered.

Quick Submit

Review Queue (agb_it4)

My Preferences Log Off

Reviewer Dashboard

Back to Review Queue
History
Save
Complete
98 %

GENERAL INFORMATION

BD name

IGO/NIGO Date ☐ IGO ☐ NIGO

Rep Name

Rep ID

Top Producer

OSJ Name

Name of Reviewer

Transaction ID

CLIENT FINANCIAL INFORMATION

NB Account

Client Name

Client Age

Client Income

Client NW

Client LNW

Employment Status

Occupation

Risk Tolerance

Time Horizon

Liquidity Needs

Client Known Since

Total VA Assets

Total Investable Assets

VA Concentration

Federal Tax Bracket

Investment Objectives:

Capital Preservation ☐
Growth ☐
Income ☐
Capital Appreciation ☐
Speculation ☐
Tax Advantage ☐

Investment Experience

Number of Years

Value (\$) of Assets Held At Another BD

Click on "History":

Dashboard
Back to Review Queue
History
Save
Complete

Dashboard History

BD na	Updated	Application was updated by 'agb_it4'.
Rep N	1/15/2016 12:06:00 PM EST	
Top P	Created	New application created by agent 'agb_it4'. Application is currently unlocked and Active.
Name	1/15/2016 12:02:26 PM EST	

After clicking on “Complete”, the dialog will close. The “Approve” and “Reject” buttons will appear. A new button “View Dashboard” allows reviewer to view the completed form pdf.

Copy of WEIHONG 2



Normal Created: 12/28/2015 3:46:32 PM EST
Carrier: ForeThought Product: ForeRetirement III B-Share
Jurisdiction: Arkansas Agent Organization: Advisor Group

[Application Pdf](#)

[Application History](#)

[Queue History](#)

[Reviewer Only Documents](#)

Unlock

Approve

Reject

More Info

View Dashboard

“View Dashboard” allows reviewer open the completed form Pdf:

GENERAL INFORMATION

BD name	_____	IGO/NIGO Date	_____
Rep Name	AGENT <u>U</u> SMITH	Rep ID	<u>929</u>
Top Producer	_____	OSJ Name	<u>John Smith</u>
Name of Reviewer	_____	Transaction ID	<u>15-000422</u>

CLIENT FINANCIAL INFORMATION

NB Account	<u>11010011112</u>	Client Name	<u>NANCY</u> <u>H</u> <u>REAGAN</u>
Client Age	<u>44</u>	Client Income	_____
Client NW	_____	Client LNW	_____
Employment Status	_____	Occupation	_____
Risk Tolerance	_____	Time Horizon	_____
Liquidity Needs	_____	Client Known Since	_____
Total VA Assets	<u>3,211,112</u>	Total Investable Assets	<u>3,934,565</u>
VA Concentration	<u>82</u>	Federal Tax Bracket	_____

Investment Objectives:

Capital Preservation ___ Growth ___ Income ___ Capital Appreciation ___ Speculation ___ Tax Advantage ___

Investment Experience

Annuities
Bonds
Managed Accounts
Alternative Investment
Options
Stocks

Number of Years

Value (\$) of Assets Held At Another BD

Queue History: (new link "View Dashboard" will show the dashboard Pdf)

Queues

Yellow Queue (4)

History

Summary

Reviewers

All Dates ▾ All Queues ▾ All Actions ▾ Adv Search

1 2 3 4 5 23 items.

✓ Approved by AGB_IT2

DASHBOARD 1
Normal Created: 1/6/2016 3:10:10 PM EST Last Action: 1/14/2016 6:28:30 PM EST
Carrier: ForeThought Product: ForeRetirement III B-Share
Jurisdiction: Colorado Agent Organization: Advisor Group

[Application History](#)
[Queue History](#)
[Audit Report](#)
[View Dashboard](#)

Areas Impacted

System Area	Yes	Comment
Admin Tool		
- Form Library		
- Design Forms	X	
- Profile Administration		
- Reports		
- Deployment		
FireLight App		
- New Application		
- Edit Application	X	Agent and client form entry should not see changes. Code will change to accommodate the reviewer forms.
- Signature Process		
- Review Queue	X	
- Manual Review	X ?	
- User Preferences		
- Inbound Integration		
- Outbound Integration	X	
- PDF Generation	X	
-		
FireLight Console		
- Windows O/S		
- iOS		
- Android		
-		
Other Systems		
- DTCC Integration		
- Commission netting		
- Activity Reporting		