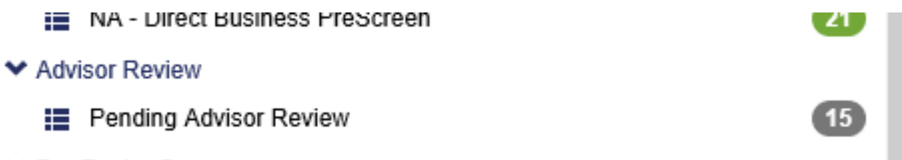
COMET Guide: Sending to Back Office

Regal Investment Advisors
Integrity ✦ Innovation ✦ Independence

Regulus Advisors

1. Once you have submitted your request, go to the Dashboard

2. Click on the link that reads "Advisor Review" along the left hand side of the screen.



3. Once you click the link you will see all items in Pending Advisor Review show up in the right hand tile.

☐	Request Type	Client Last Name	Advisor Name	Advisor ID	Account #	Creator	Work Item Id
☐	NA - Advisory	DOUGLASS	LEACH	Y70		missy@riverbankwa.com	514
☐	NA - Brokerage	DOUGLAS	LEACH	Y70		hchristmann@regalfin.com	621
☐	NA - Brokerage	DOUGLAS	LEACH	Y70		hchristmann@regalfin.com	648
☐	NA - Direct Business	ASHLEY	REP	001TR		hchristmann@regalfin.com	711
☐	C - Contribution	CLIENT	REP	001TR		hchristmann@regalfin.com	729
☐	C - Contribution	CLIENT	REP	001TR		hchristmann@regalfin.com	734

4. Once you can see your request, click on it. The screen will then refresh and show you the details of the Work Item.

5. Double check your request to make sure you have included all documents and information.

6. You will then click the Send to Back Office button along the upper left side of the screen. Here you can also reject the Work Item if you no longer need the request, this will not reject any Client Folder, Subfolder or Documents from COMET only the Work Item.