Helpful Hints: COMET

- **Importance of Using the Correct Request Type**
  - The request type chosen will direct the request to the proper back office workflow so it is imperative that this is accurate
    - NA: New Accounts – anything requiring principal review, this includes the following:
      a. New Business
      b. Updated New Account Forms
      c. Subsequent Transfers
      d. Mutual Fund Transactions in brokerage accounts
      e. Financial Planning Agreements
    - C: Cashiering – requests for distributions, liquidations, and check deposits
    - AR: Advertising Review – requests for advertising to be approved by Compliance
    - AM: Account Maintenance – requests that pertain to updated an existing account
      a. Address Change
      b. Beneficiary Change
      c. New/ Updated Standing Instructions
      d. Signature Guarantee
    - AS: Account Service – requests regarding servicing an existing account or general inquiries on an existing account/client
      a. Access – online access for advisor or client
      b. General Service
      c. Information
- **It is always best practice to ensure the proper documents are attached to the request. This is a great practice to do when reviewing the request in "Pending Advisor Review" before the work item is sent to the back office.**
- **Client Folders**
  - When creating a client folder, the only required client information is SSN/TIN, First Name, Last Name, and DOB.

    Any additional information is not required, but helpful when using Starting Point to populate client forms.
- **Add context notes to requests to help the home office understand any unique circumstances or the desired outcome of the cases.**

  There are a couple different ways to add a note to a Work Item.
  1. When creating the work item, click +Add in the Advisor Notes History Field and then type any clarifying notes.
  2. After you have established the new Work Item and it is in Pending Advisor Review, hover the mouse cursor over the right side of the Work Item line. A "pencil" icon appears with the word "Details" above it. Click on this icon, and then scroll to the Advisor Notes History section. Click +Add in the Advisor Notes History Field and type any desired notes.

Helpful Hints: COMET

- **Common NIGO Reasons**
  - Inconsistent Document Image Quality: Documents can be NIGO due to inconsistent document image quality, meaning that image quality is different between pages in the document. This can be interpreted as the client not seeing the document in its entirety. A common reason this happens is due to scanner settings, scanners will pick up the different colors which can lead to items looking inconsistent when in a PDF file. One way to correct this is to ensure the scanner settings are set to pick up all colors the same.
  - Incorrect ADV dates: Regal Investment Advisors' ADV date is 11/9/2018. This version can be found in the COMET forms library by clicking on Retrieve > Forms, Form Author is Regal Investment Advisors, Form Name is Regal Investment Advisors Form ADV Part 2A. For questions on your ADV Resume please contact the Regal Compliance team.
  - Missing Advisor Signature: after all client information is completed and the form is signed by the client, ensure the advisor signature is also complete

- **Technology Training**
  - Each month Regal hosts a technology webinar that covers basic navigation and use of Tamarac, COMET, custodial websites and Xtiva. We encourage all new advisors and/or assistants to attend, as well as those that would benefit from a quick refresher.
- **Form Updates**
  - It is best practice to retrieve forms directly from COMET rather than saving forms to your computer, as these self-stored forms can become outdated. Forms can be found by going to the **Retrieve** tab and dropping down to the **Forms** library. Updates made to forms are typically made for regulatory reasons. Because of this, older forms will not be accepted as they do not have the new language or information required by regulators.