

## COMET Guide: Locating and Correcting NIGOs (Not In Good Order)



All NIGO Work Items also receive an e-mail explaining why the item is Not In Good Order, sample is below.

-----Original Message-----

From: doNotReply@docupace.com <doNotReply@docupace.com>  
Sent: Friday, January 18, 2019 1:02 PM  
To: Christmann, Heather <hchristmann@regalfin.com>  
Subject: Not In Good Order (NIGO) Alert

RE: HEATHER TESTY  
Request Type: NA - Advisory  
Request Number: 121966  
Rep: JOHN KAILUNAS II (Y56)

It has been determined that your request cannot be processed at this time for the following reason(s):

**\*NEW ACCOUNT APPLICATION\***

Page: 1  
Section: 3  
Issue: Missing Number of Dependents  
Resolution: Please update number of dependents and have the client initial next to the update.

**\*CLIENT INVESTMENT ADVISORY AGREEMENT\***

Page: 6  
Section: Fee Schedule  
Issue: Fee schedule not completed fully  
Resolution: Please complete the full fee schedule for each balance listed. Once updated please have the client initial the update.

Please correct the above issue(s) and resubmit the request to the back office once the Not In Good Order (NIGO) item has been addressed. You do not need to create a new work item for this submission. It can be located in the Tasks section of the My Desktop tab in COMET. The Home Office will follow up with you on a periodic basis to ensure the NIGO gets resolved.

Additional assistance on resolving and sending NIGO items back can be found on the Regal and Regulus websites under COMET training. Here you will find both a PDF guide and training video addressing NIGO items.

If you have further questions, please contact the Operations Team at (800) 357-4757 and reference Work Item 121966.

Thank you for your business,

Regal Operations Team  
Regulus Advisors | Regal Investment Advisors  
2687 44th St SE | Kentwood, MI 49512  
(800) 357-4757 | www.regalfin.com

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\*This inbox is not monitored, please do not reply to this email.\*

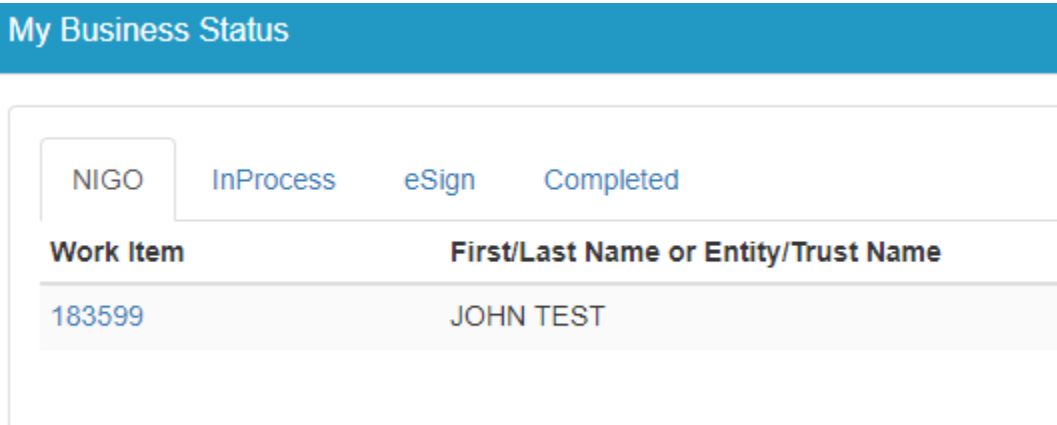
The Regal/Regulus team also reaches out to the Advisor office after two (2) business days of a Work Item being NIGO to ensure the Advisor office is aware of the action needed.

## To View a NIGO:

1. Click on 'Advisor Dashboard' at the top of the opening screen

Advisor Dashboard | Dashboard | Monitor | Retrieve ▾ | Administration |  New ▾

2. At the top, in the 'My Business Status' all work items currently in NIGO status will be shown in the 'NIGO' tab.

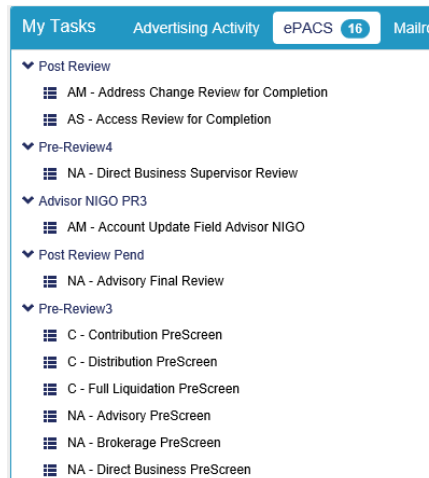


The screenshot shows a 'My Business Status' header in a blue bar. Below it is a tabbed interface with four tabs: 'NIGO' (selected), 'InProgress', 'eSign', and 'Completed'. Under the 'NIGO' tab is a table with two columns: 'Work Item' and 'First/Last Name or Entity/Trust Name'. The table contains one row with the values '183599' and 'JOHN TEST'.

3. The work item is a hyperlink that will take you to a screen to add documents, view advisor notes and view the event history. On the right-hand side is an icon that will allow you to upload a new document to the NIGO work item.

## To Correct the NIGO:

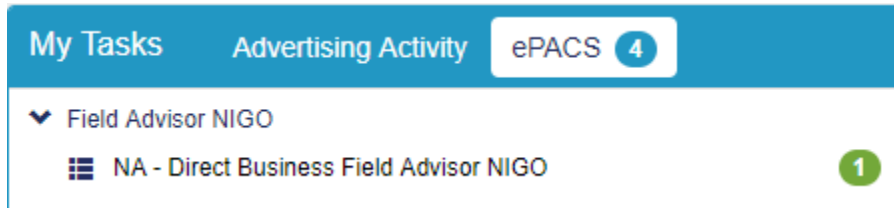
1. Look in the "Field Advisor NIGO" by clicking on the NIGO items along the left side.



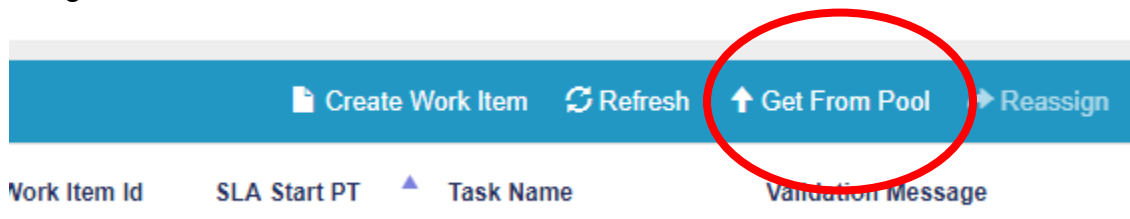
The screenshot shows a sidebar menu titled 'My Tasks'. The menu items are: 'Advertising Activity', 'ePACS 16', and 'Mail'. Under 'My Tasks', there are several expandable sections: 'Post Review' (with sub-items 'AM - Address Change Review for Completion' and 'AS - Access Review for Completion'), 'Pre-Review4' (with sub-item 'NA - Direct Business Supervisor Review'), 'Advisor NIGO PR3' (with sub-item 'AM - Account Update Field Advisor NIGO'), 'Post Review Pend' (with sub-item 'NA - Advisory Final Review'), and 'Pre-Review3' (with sub-items 'C - Contribution PreScreen', 'C - Distribution PreScreen', 'C - Full Liquidation PreScreen', 'NA - Advisory PreScreen', 'NA - Brokerage PreScreen', and 'NA - Direct Business PreScreen').

2. Any NIGO'd Work Item will then appear on the Dashboard in the left-hand tile. If

the Work Item is not visible on the Dashboard there will be a green circle next to the NIGO list along the left side.

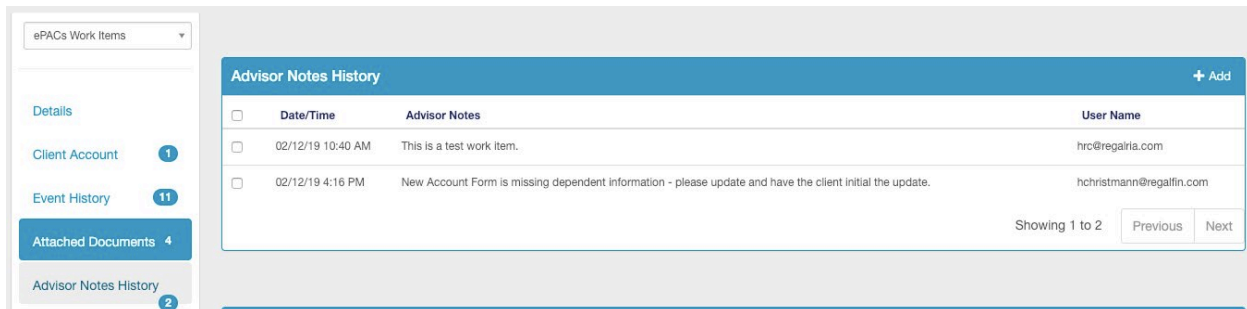


3. Click on the line that has the green circle – in the above case click on NA – Direct Business Field Advisor NIGO. Then click on the “Get From Pool” option along the right side of the screen.



4. This will assign the Work Item. It will now reflect the NIGO Work Item in the Dashboard. Click on the Work Item to open the full details.

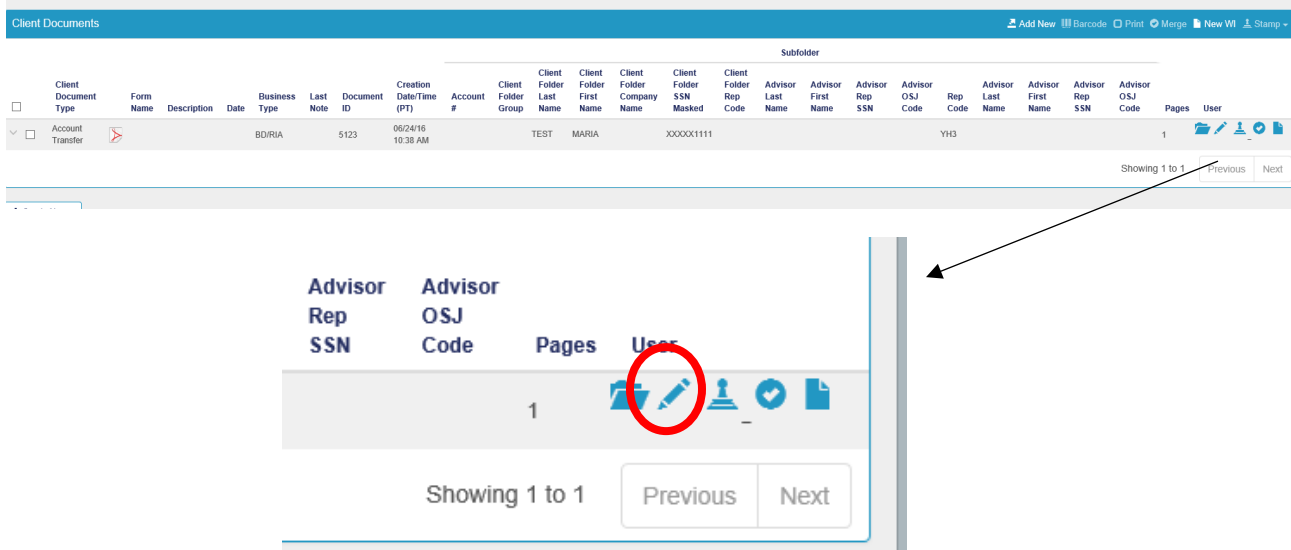
The NIGO reason can be found in the Advisor notes section inside the Work Item for reference. This area can also be used for additional notes to the service team that may be helpful in the review or processing of the Work Item.



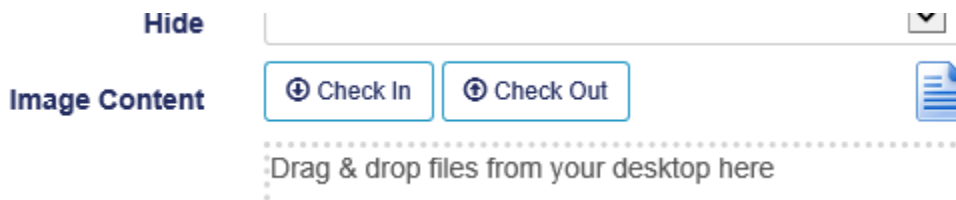
Once the updates have been made to the necessary forms, upload the item into the existing request.

1. Click on the Work Item that requires updating from the Dashboard screen.
2. If a new version of a document is being uploaded, scroll down to the Client Documents and then click on the Details icon along the right side of the

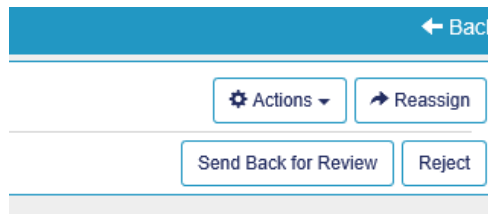
document to update.



3. The next screen will allow a new version of the document to be uploaded. Scroll down to the Image Content link. By clicking on [Check In] the newest version can be uploaded.



4. After the updated version of the form has been uploaded click on "Save and Close".
5. Once the requested items have been updated and the request has been fully corrected and saved, click the "Send Back for Review" button:



This will then send the Work Item back to the Regal/Regulus team for review and processing.