



# Efficiency: A Staff Networking Session

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# Get to Know Your Peers

Introduce yourself to the group!

- Name, firm, location
- Fun fact about yourself
- What do you hope to gain from Summit this year?



# Report Cards

Transfers of Assets (TOAs) shows up on an average  
**72%** of report cards

- *Any corrections require client signature*
- *This is often a “first impression”*

# Transfers of Assets

- What are your TOA challenges?
- What resources do you use to help with TOAs?
- What do you need?

# Resources Available to You!

The screenshot shows the top navigation bar of the NFP Advisor Services Group website. The main navigation menu includes: Home, My Business, Clients, Process, Trade, Sales & Marketing, Compliance, Research, Practice Enrichment, and Admin. Below this is a secondary menu with Quick Links, Settings, Support, Fusion Advisor Network, a search bar containing "Clients, accounts, forms, ASG website, products, ticker...", Alerts, and Add to Quick Links. A dropdown menu is open under "Support", listing: Education & Development, Resources & Guidelines, Feedback, Manage My Fees, Frequently Asked Questions, Service Center, Contact Us, and Newsletter Archive. The "Resources & Guidelines" sub-menu is highlighted, showing: My Home, Resource Library (highlighted with a yellow box), Advisor Enterprise Operations, Brokerage, Direct Business, Client Lending Solutions, Investment Update Calls, and Call.

EMPOWER  
Advisor Success  
Submit Feedback  
Lisa Gilbert  
Impersonate Logout

The screenshot shows the "Resource Library" page of the NFP Advisor Services Group website. The page features a grid of 12 resource cards, each with a title, a PDF icon, and a thumbnail image. The "Incoming TOA Guide" card is highlighted with a yellow border. The cards include: Contact NFP Advisor Service..., ASG Cutoff Times, Brokerage Account Paperwork..., Direct Business Paperwork R..., Brokerage New Account For..., Premiere Select IRA New Acc..., Incoming TOA Guide, Online Branch Exam Instruct..., Incoming TOA Reference Car..., Deceased Client Guide, Registered Rep Manual 09/2013, and Investment Advisor Rep Man... The NFP logo and "Advisor Services Group" are visible in the top left of the page.

Find detailed step-by-step instructions in our TOA guide!

# Streetscape – Asset Transfer

The screenshot displays the Streetscape web application interface. At the top left is the Streetscape logo. The top navigation bar includes 'Accounts', 'Markets & Research', 'Trade', 'Service', 'Reports', 'Tools', and 'Resource'. A search bar is located below the navigation bar. The main content area is divided into three columns: 'What's New', 'Platform & Product Resource Center', and 'Quick Links'. The 'Service' dropdown menu is open on the right side, showing a list of options including 'Risk & Compliance', 'Service Center', 'Imaged Documents', 'Account & Asset Servicing', 'Money Movement', and 'Statements'. The 'Asset Transfer' option is highlighted, and a sub-menu is visible with options: 'Initiate an Asset Transfer', 'View/Manage Asset Transfers', 'Custodian Search', and 'Security Search'. The 'Custodian Search' and 'Security Search' options are highlighted with a red box.

Streetscape®

Settings Help Contact Us | Log Out

Accounts Markets & Research Trade Service Reports Tools Resource

Account Search Account # or Short Name Go Advanced Search | Last Advanced Search

### What's New

#### Important Notices

- 14-033 — March 4, 2014  
**No Action Required**
- 14-028 — February 25, 2014  
**No Action Required**
- 14-024 — February 25, 2014  
**Action Required**
- [View All Important Notices and Alerts \(2014, 2013 and 2012\)](#)

#### Reminders

- 13-164 Coming Soon. **Integrated Cashiering Platform and Asset Movement Authorization Retirement Enhancements**

#### Platform & Product Resource Center

- [Technology Release Initiatives](#)  
In order to help our clients manage their business objectives, National Financial has articulated its short and long term technology projects. Click the link above to follow projects currently in flight.
- [Maintenance](#) and [Product Updates](#)  
Throughout the year, National Financial is scheduled to make minor enhancements to improve or enhance the quality of existing functionality or introduce new product features. Click the link above for recent and upcoming updates.
- [Platform Enhancement Communication Center](#)  
Access communication tools and training resources to assist you, your brokers and your clients during the implementation of new features and enhancements to Streetscape®, myStreetscape®, and end customer statements.

#### Quick Links

- [Practice Management](#)
- [Perspectives on the Market Volatility](#)
- [2014 In Calendar](#)
- [Forms](#)
- [NFS Bus](#)
- [2013 A](#)
- [NFS Client Support Line](#)
- [NFS Client Support Line - Select](#)
- [National Financial Update](#)
- [Reference Materials](#)

#### Service

- Risk & Compliance
- Service
- Service Center
- Imaged Documents
- Account & Asset Servicing
- Reorder Checks
- Asset Transfer
  - Initiate an Asset Transfer
  - View/Manage Asset Transfers
  - Custodian Search
  - Security Search
- Money Movement
- Integrated Cashiering Platform (ICP)
- Periodic Investments
- Review Service Items
- Statements
- Statement Management
- Statement Household Manager

# Custodian Search

## Custodian Search

Custodian/Broker

Oppenheimer

Firm Type

Brokerage



Custodian/Broker	Type
OPPENHEIMER	Brokerage
OPPENHEIMER & CO, INC	
OPPENHEIMER COMPANY, INC	
OPPENHEIMER TRUST COMPANY	

Is the delivering firm ACAT eligible?

## Custodian Search

Custodian/Broker

Oppenheimer

Firm Type

Brokerage



Name	OPPENHEIMER & CO, INC
Type	Brokerage

[Back to Results](#)

Address	State	City	Zip	ACAT
719 2ND AVE STE 1000	WA	SEATTLE	98104	N
360 HAMILTON AVE STE 901	NY	WHITE PLAINS	10601	N
125 BROAD ST FL 15	NY	NEW YORK	10004	Y
3310 W BIG BEAVER RD	MI	TROY	48084	N

What address do I use?

# Security Search

## Security Search

Investment Type

- Select. ▾
- Select.
- All Security Types
- Bankers Acceptance
- Bonds
- Commercial Papers
- Equities
- Ltd Partnership
- Mutual Funds
- Options
- Rights/Warrant
- UIT

Filter By

- Select. ▾
- Select.
- CUSIP
- Description
- Symbol

Search For

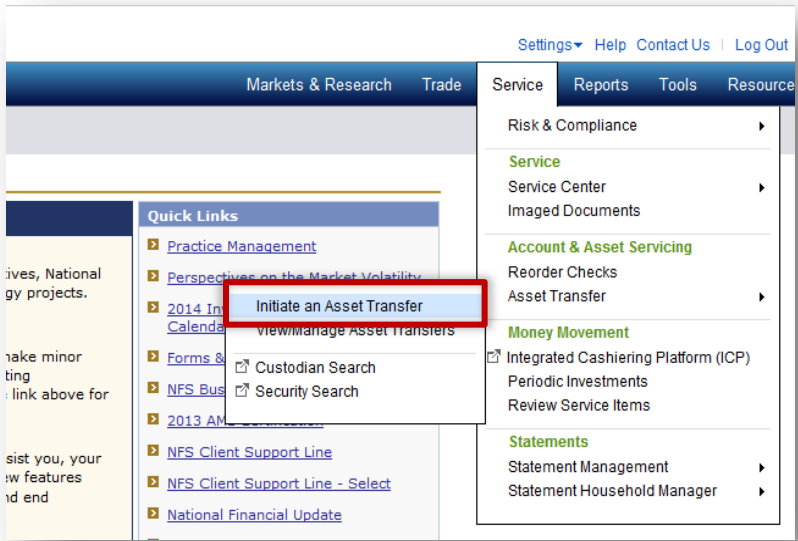
oppenheimer

Symbol	CUSIP/SEDOL	Transferable
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Description	Symbol	CUSIP/SEDOL	Transferable
OPPENHEIMER ACTIVE ALLOCATION CL N	OAANX	68382P851	Yes
OPPENHEIMER ACTIVE ALLOCATION CLASS B	OAABX	68382P877	Yes
OPPENHEIMER APPRECIATION CLASS Y	OTCYX	68379A404	Agreement Required
OPPENHEIMER ASSET ALLOCATION BEN INT	--	68379P104	No
OPPENHEIMER ASSET ALLOCATION CL C	--	68379P203	No
OPPENHEIMER ASSET ALLOCATION FD CL B	--	68379P302	No
OPPFHFIMFR RAI ANCFD FUND CI A	--	68380A104	No



# Initiate Asset Transfer



A screenshot of the 'Initiate Asset Transfer for C9C123456' form. The form is divided into three main sections: '1. Enter Account Information', '2. Enter Assets & Instructions', and '3. Verify & Submit Form'. The '1. Enter Account Information' section is currently active and contains two sub-sections: 'Receiving Account' and 'Delivering Account'. The 'Receiving Account' section shows details for account C9C123456, owned by NFP SECURITI, a Corporation with SSN/TIN XXXXX4194. The 'Delivering Account' section shows the firm as CHARLES SCHWAB (Brokerage) with account number 1234-5678 and registration type Corporation. A 'Continue' button is visible at the bottom right of the form.

Take the guesswork out of TOA forms using this tool!

# Resources Available to You

- Transfer of Assets Best Practices call
  - March 27 at 3 p.m. CT

The screenshot displays the NFP Advisor Services Group website interface. At the top, the NFP logo is on the left, and a user profile for Lisa Gilbert is on the right with options for 'EMPOWER Advisor Success', 'Submit Feedback', 'Impersonate', and 'Logout'. Below the header is a navigation menu with categories: My Business, Clients, Process, Trade, Sales & Marketing, Compliance, Research, Practice Enrichment, and Admin. A search bar is located below the navigation menu.

The main content area is divided into several sections:

- Education & Development Resources:** A sidebar menu with options like 'Education & Development Resources & Guidelines', 'Feedback', 'Manage My Fees', 'Frequently Asked Questions', 'Service Center', 'Contact Us', and 'Newsletter Archive'. The 'Education & Development Calendar' is highlighted in yellow.
- NFP Announcements:** A list of recent posts with dates and titles, such as '3/3/2014 New!' and '2/28/2014 New!'.
- Education & Development Calendar:** A calendar view for March 2014. The calendar shows various events, including 'Introduction to Benefits Underwriting', 'Advisor/Enterprise Business Processing', 'How to Hold Effective Meetings', 'Effective PowerPoint Presentations', 'System Overview', 'Best Practices Series: Surviving Tax Season', 'Platform Overview', 'NFP300 Overview-Firm Facing', and 'Advisor/Enterprise 2.0 Series: Business Processing'. The event on March 27 at 3:00 PM is highlighted in green.
- Filter Options:** A section on the left of the calendar with checkboxes for various course types and filters.
- Course Key:** A legend for the course types used in the calendar.

# Awards!



Please congratulate your peers on a  
job exceptionally well done!