Advisor360° Alert Types and Descriptions

Use this document to view a listing of Advisor360° alerts including type, notification description, frequency, and if deactivation is allowed.

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Protection Alerts

Protection Alert Type	Notification Description	Frequency	De-activation Allowed
Term Conversion	The primary advisor of a MM Term Policy will receive an alert and email at 90 and at 60 days prior to the term policy conversion expiration date.	The alert will be sent twice. Once at 90 days and once at 60 days before the conversion expiration date	Yes

MMLIS Alerts

MMLIS Alert Type	Notification Description	Frequency	De-activation Allowed
Bond Calls	A bond or UIT being partially or fully called in a client account; alert is triggered approximately two weeks prior to the call.	Daily	No
Check Exceptions	A client has written a check against his or her brokerage account, and the running collective balance cannot cover the check.	One per each advisor that has an exception	Yes
Debit Accounts	Notification of accounts with a settled debit cash balance.	Daily	No
Extensions	Accounts with a cash debit on T+5 in a non-retirement account; generates same alert on T+10 for second extensions.	Daily	No
Funded Closed Accounts	Closing of accounts that have a market value.	Daily One per advisor ID	Yes
GTC Executed Orders	The execution of a GTC order on the previous business day.	One per prior day	No
GTC Expiring Orders	All GTC orders that are about to expire in the next 5 days.	5 days prior to expiration	No
Invalid Beneficiary Accounts	Accounts that are 30 days or older and that are missing beneficiary information.	Daily	Yes
Margin Calls	A margin call in a margin account.	Daily	No
Maturity Notices	Impending maturity of a bond in a client account (approximately two weeks before maturity).	One per week	Yes

Advisor360° Alert Types

MMLIS Alert Type	Notification Description	Frequency	De-activation Allowed
Missing Required Account Documents	Account cannot be funded because we have no positive written consent on file (e.g., signed Account Form, Master Services Agreement, or TOA form).	Daily	Yes
Missing Required Account Documents – 30 Days	Accounts that will be restricted if new Account Form or Master Services Agreement is not received within 30 days of establishment date.	Daily	Yes
MSA Not Activated	A Master Services Agreement (MSA) is still in a pending status and has not been activated. The MSA will terminate if not activated through the addition of a new account within 90 days of the MSA establishment date on file.	First notification – 30 days after the client's signature date Second notification – 60 days after the client's signature date Daily notifications – 75–90 days after the client's signature date	Yes
New State Security Registration	Approved state security registrations.	Daily	Yes
PPS Custom Equity Review	Accounts in which the equity level is out of balance with the stated risk tolerance.	Quarterly	Yes, but at least one advisor on the account must receive the alert.
Quarterly Statements Are Now Available	The posting and mailing, on a rolling basis, of PPS quarterly statements for the prior quarter.	Once per quarter on a rolling basis 7–10 days after quarter-end	Yes
Quarterly Statements Are Turned Off	Reminds you that you have opted not to receive PPS quarterly statements for select advisor IDs and that you should adjust your settings, if needed.	Once per quarter, 21 days prior to quarter-end	Yes
Quarterly Statement Reminder	Prompts you to add or update your PPS quarterly statement groups and review your statement billing report.	30 days and 15 days prior to quarter-end	Yes

Advisor360° Alert Types

MMLIS Alert Type	Notification Description	Frequency	De-activation Allowed
Rejected Mobile Check Deposit	A check deposited via Mobile Check Deposit that has been rejected by the home office.	Intraday	No
Required Minimum Distribution	NFS clients who have not taken their required minimum distribution.	Monthly on the 10th	Yes
SWP Insufficient Funds	Clients who have insufficient funds for scheduled distributions after liquidating trades have been made, based on the existing primary and contingent plan funding elections.	Daily	No
Trade Restriction-Free Riding Violation	Accounts restricted by NFS for free riding.	Daily	No
Trade Restriction-Excessive Liquidation	Accounts restricted by NFS for excessive liquidation.	Daily	No

Compliance Alerts

Compliance Alert Type	Notification Description	Frequency	De-activation Allowed
Advertising Review	An advertising review case has been closed. A link will be included to view the case details.	Daily	No
Annual Personal Securities Disclosure	Notifies access persons to complete their annual personal securities disclosure and Code of Ethics attestation.	Annually beginning1/2 (unless a weekend) and then weekly all January, then daily 2/1-2/15 until completed.	No
Initial Personal Disclosure Reminder	Notifies new reps, NRFS, and access persons to report their personal securities accounts	Daily, beginning day after start date and continuing daily until completed.	No

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Quarterly Political Contributions Disclosure	Reminder to all selling reps (IA and or BD) to complete the quarterly questionnaire and report political contributions for the previous quarter if not previously reported	Quarterly, if not completed alert is sent on the 10, 17, 24 day of the first month of the quarter.	No
Quarterly Transaction Report Required	Notifies certain reps, NRFS, and access persons who do not have electronic feeds for their personal securities accounts to provide the last 3 months of statements for these accounts	Quarterly, 3rd Tuesday of each quarter and then daily from the 24th-30th of the first month.	No

Investor360° Alerts

Protection Alert Type	Notification Description	Frequency	De-activation Allowed
Investor360° Messages	Notifies you when a client message is received through Investor360°.	Intraday	Yes