

Question #: RO-1 SOP #2

Question: Send Acceptance Letter within five days from receipt of registration

ECM #	Last Registration Doc Datestamp	Acceptance Letter Sent	Difference (Days)	Findings
29629	4/6/2010	4/15/2010	7	This was an involuntary registrant who did not respond to the NOD within the 30 day timeframe. The entity was put on hold awaiting registration package (from 10/13/09 - 4/15/10) rather than an investigation being initiated. The datestamp indicates registration package received on 4/6/10 but ECM indicates 4/15/10.
26694	10/27/2009	11/2/2009	4	
34784	4/12/2010	4/19/2010	5	
41745	3/29/2010	3/29/2010	0	
22785	11/9/2009	11/9/2009	1	
24204	1/19/2010	1/21/2010	3	
42057	4/19/2010	4/19/2010	1	There are no documents that show a 4/19 datestamp but the ECM flow references Registration Packet received on this date.
40193	2/1/2010	2/1/2010	1	Registration Application could not be found in PSAS. Used ECM Workflow to validate.
34335	2/1/2010	2/1/2010	1	
39923	12/21/2009	12/30/2009	7	Registration Package was put on hold awaiting financial instrument. Registration Package was process on 03/02/10, however the Acceptance Letter was sent on 12/30/10 prior to receiving financial instrument.
		AVG:	3	

Question #: RO-1 SOP #3

Question: Send NOD with approval signature within one business day of receipt

ECM #	Review & Approve NOD	Date NOD Mailed	Difference (Days)	Findings
3369	10/15/2009	10/15/2009	0	The NOD appears to have been sent within timeframe but due to a software issue in PSAS, the system started an investigation for a this voluntary registration. PSAS has since been updated to not automatically start investigations for voluntary registrations.
40073	12/22/2009	12/23/2009	1	
29629	10/6/2009	10/7/2009	1	
26694	10/6/2009	10/7/2009	1	
34784	12/3/2009	12/4/2009	1	
42796	3/10/2010	3/10/2010	0	
22785	8/3/2009	8/5/2009	2	
24204	8/24/2009	8/24/2009	0	
35122	12/16/2009	12/17/2009	1	
42057	2/10/2010	2/11/2010	1	
		AVG:	1	

Question #: RO-1 PSAS Checklist #1

Question: Business entity and Address tab completed in AMS

<u>EMC #</u>	<u>Business entity and Address tab completed in AMS</u>	<u>Findings</u>
34818	Yes	
41099	Yes	
23277	Yes	
34571	Yes	
1586	Yes	
43425	Yes	
41102	Yes	
41334	Yes	
42102	Yes	
42046	Yes	