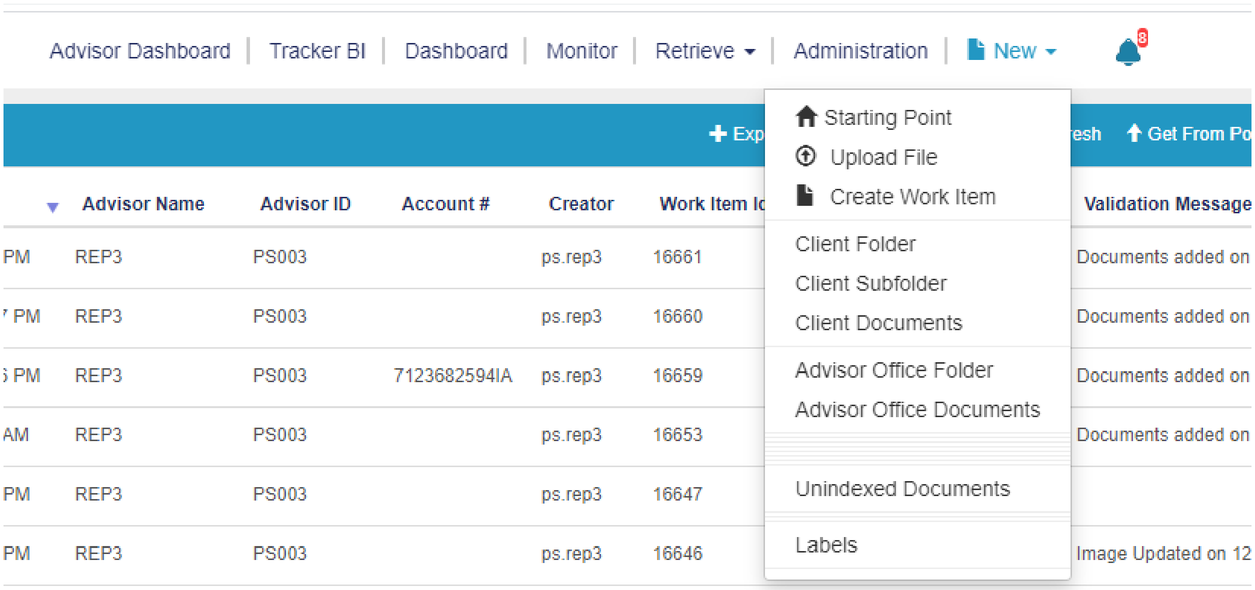
Instructions for Submitting Compliance Disclosures in Docupace
(excluding check and securities blotters)

If representative is signing the disclosure form via wet signature or adobe pdf digital signature and does not need to attach additional documents to the disclosure (i.e. copies of correspondence) then follow steps 1-7, then steps 7a – 7g.

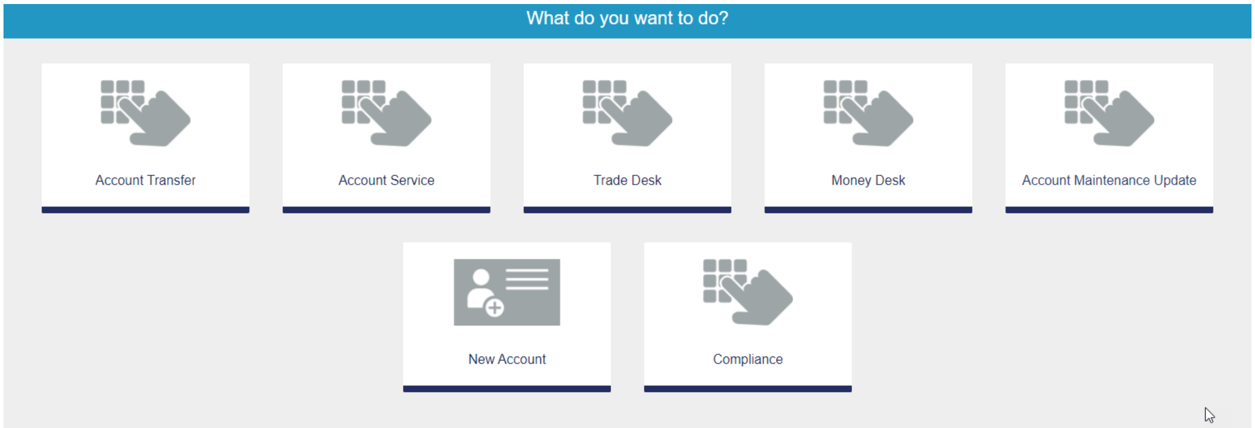
If representative is signing the disclosure via e-signature and does not need to attached additional documents to the disclosure then follow Steps 1-7 and then skip to steps 8a – 8m.

If a disclosure requires additional documents to be uploaded to the disclosure (i.e. copies correspondence, etc) then follow steps 1 - 7, then steps 9 - 10 before sending for review via steps 7a – 7g or 8a – 8m.

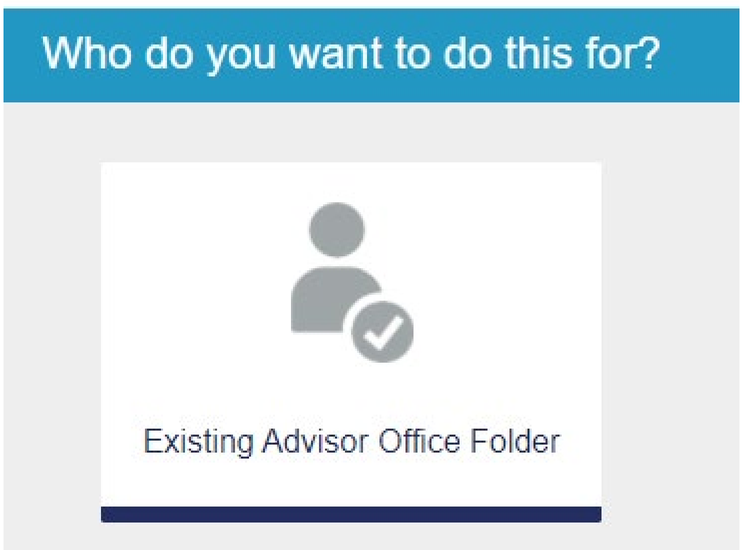
1) To initiate any compliance submission workflow, begin in New – Starting Point. If you have multiple reps codes, select your primary rep code for compliance submissions.



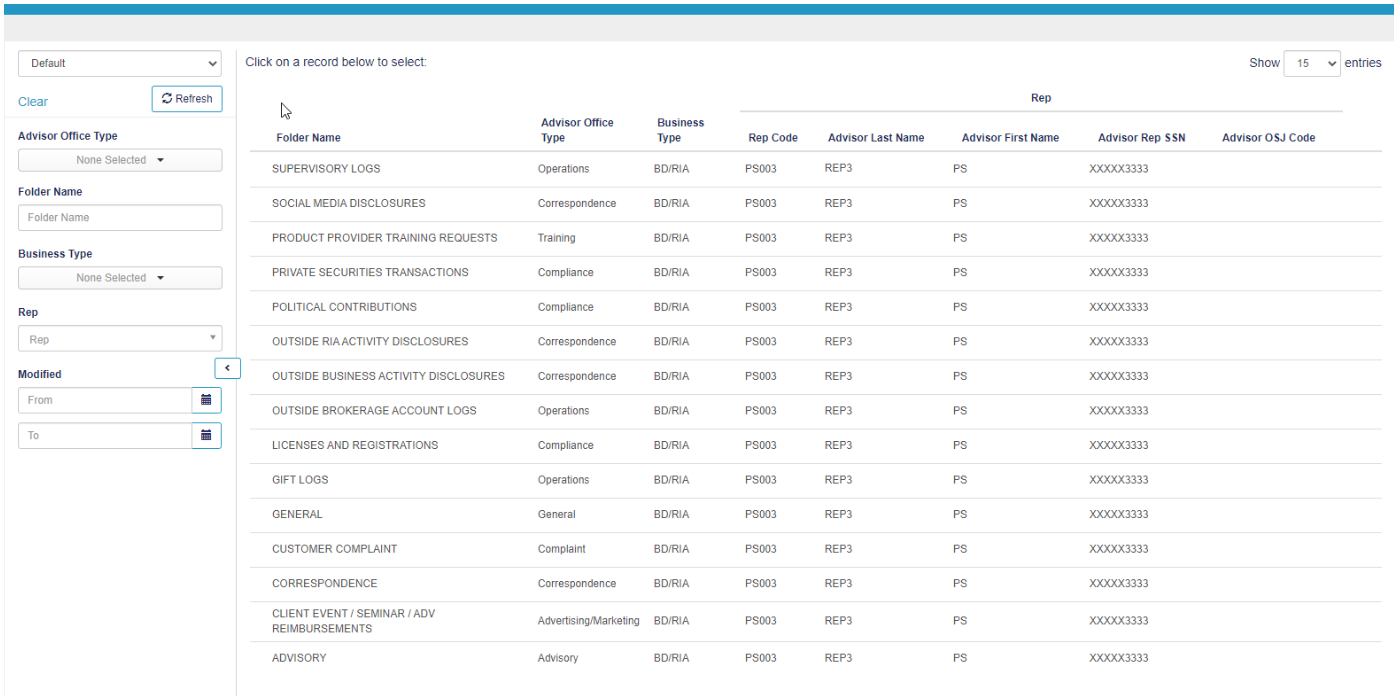
2) Select the Compliance tile.



3) Choose Existing Office Folder tile.

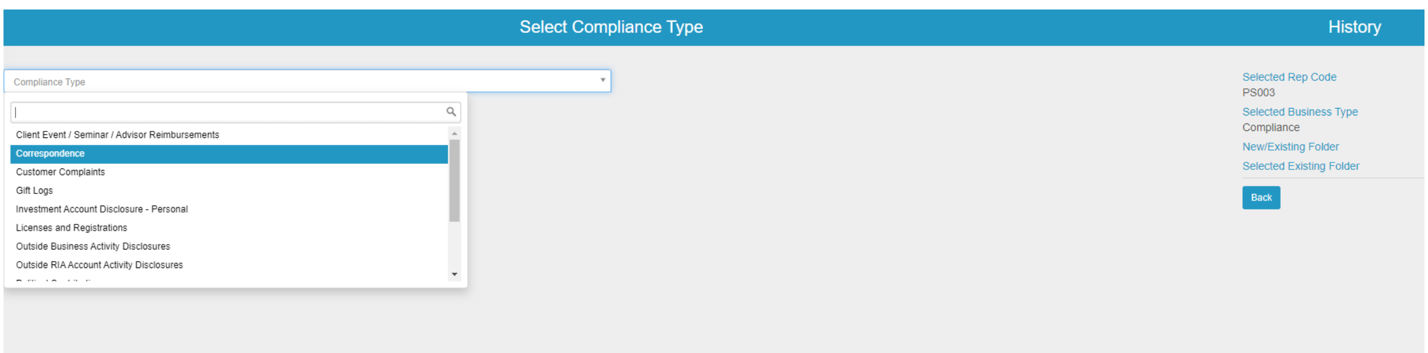


4) Select the Advisory Office Folder for the compliance type submission.

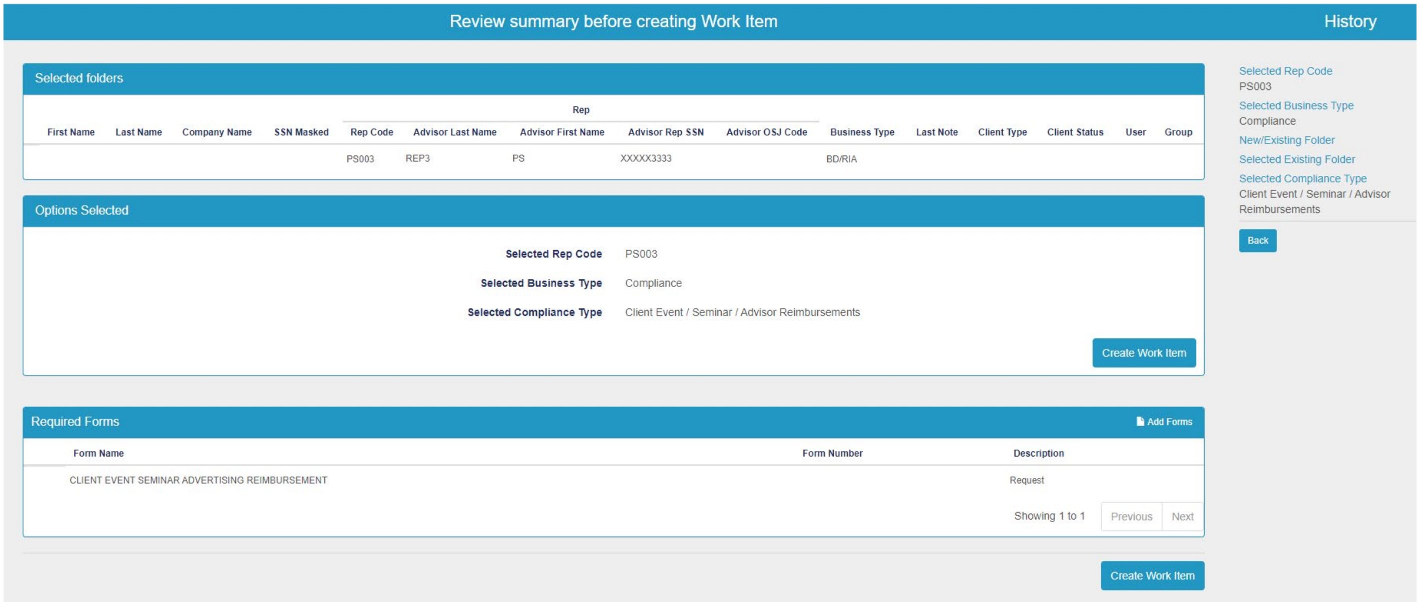


			Rep				
Folder Name	Advisor Office Type	Business Type	Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code
SUPERVISORY LOGS	Operations	BD/RIA	PS003	REP3	PS	XXXXX3333	
SOCIAL MEDIA DISCLOSURES	Correspondence	BD/RIA	PS003	REP3	PS	XXXXX3333	
PRODUCT PROVIDER TRAINING REQUESTS	Training	BD/RIA	PS003	REP3	PS	XXXXX3333	
PRIVATE SECURITIES TRANSACTIONS	Compliance	BD/RIA	PS003	REP3	PS	XXXXX3333	
POLITICAL CONTRIBUTIONS	Compliance	BD/RIA	PS003	REP3	PS	XXXXX3333	
OUTSIDE RIA ACTIVITY DISCLOSURES	Correspondence	BD/RIA	PS003	REP3	PS	XXXXX3333	
OUTSIDE BUSINESS ACTIVITY DISCLOSURES	Correspondence	BD/RIA	PS003	REP3	PS	XXXXX3333	
OUTSIDE BROKERAGE ACCOUNT LOGS	Operations	BD/RIA	PS003	REP3	PS	XXXXX3333	
LICENSES AND REGISTRATIONS	Compliance	BD/RIA	PS003	REP3	PS	XXXXX3333	
GIFT LOGS	Operations	BD/RIA	PS003	REP3	PS	XXXXX3333	
GENERAL	General	BD/RIA	PS003	REP3	PS	XXXXX3333	
CUSTOMER COMPLAINT	Complaint	BD/RIA	PS003	REP3	PS	XXXXX3333	
CORRESPONDENCE	Correspondence	BD/RIA	PS003	REP3	PS	XXXXX3333	
CLIENT EVENT / SEMINAR / ADV REIMBURSEMENTS	Advertising/Marketing	BD/RIA	PS003	REP3	PS	XXXXX3333	
ADVISORY	Advisory	BD/RIA	PS003	REP3	PS	XXXXX3333	

5) Select the corresponding Compliance Type.

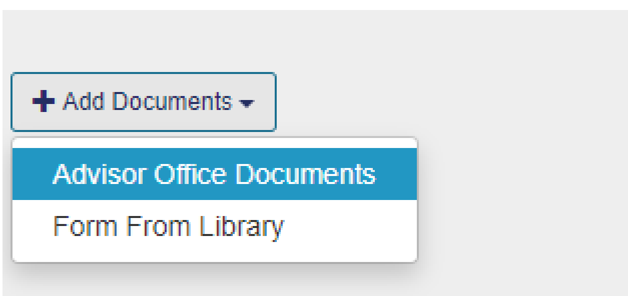


6) Review the details and click Create Work Item.

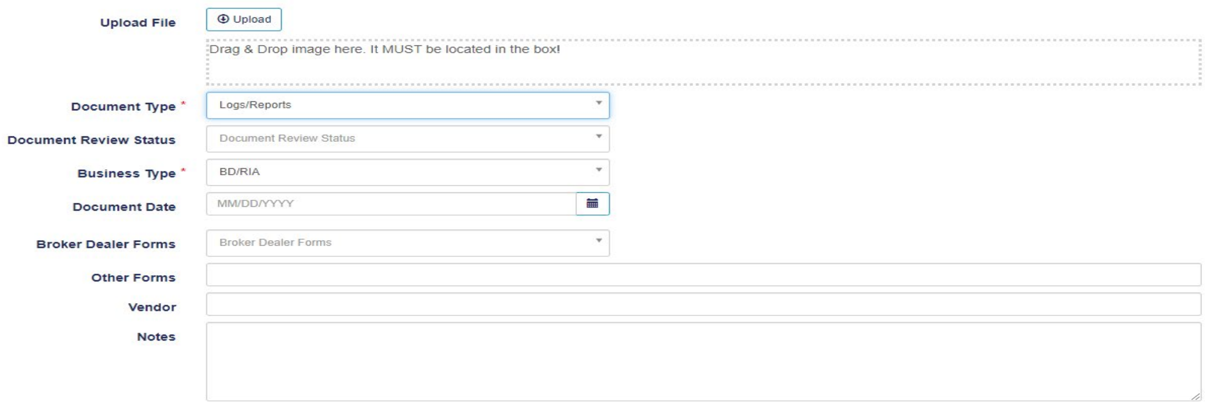


***6a)** This note is for OSJ's (Office of Supervisory Jurisdictions) only and only when adding Supervisory Logs:*

Skip Step 7 in this User Guide. There is no coversheet that requires generating a bar code. To manually add the signed document created outside of Docupace: click Add Documents – Advisor Office Documents on left side of screen.

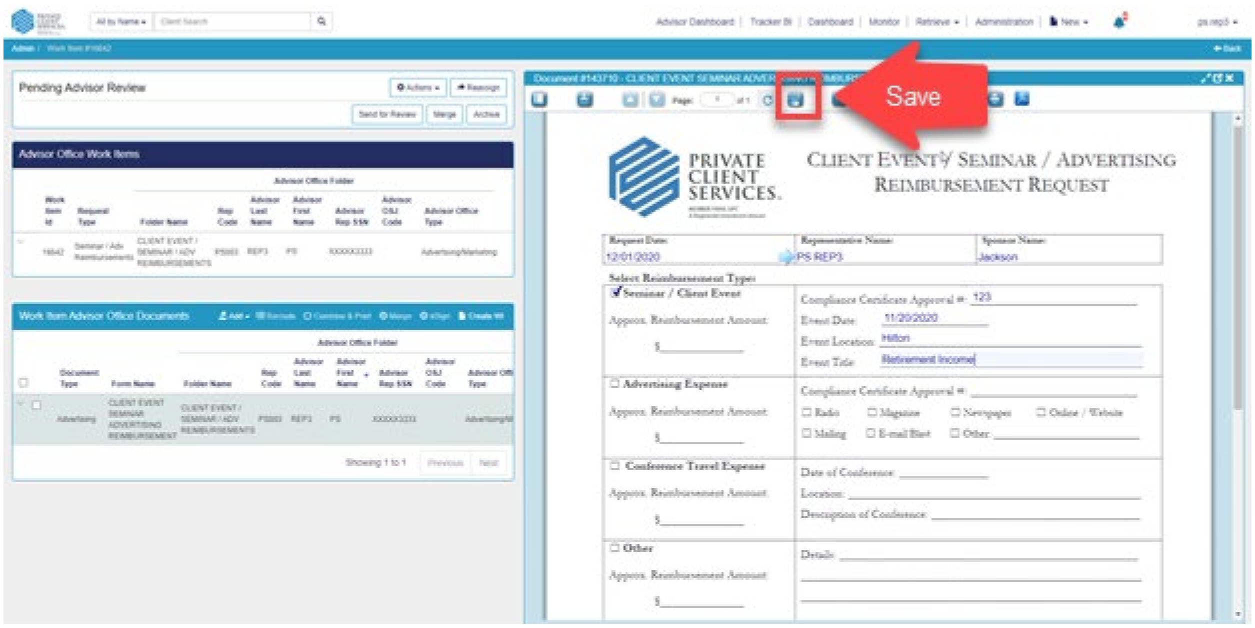


Drag and drop the document in and change the Document Type to Logs/Reports and enter the Document Date along with any Notes you wish to add. Click Save / Save and Close.



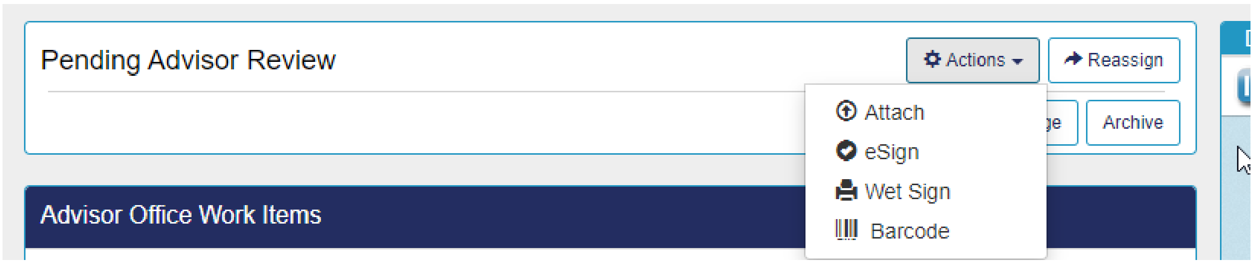
Once uploaded, click "Send for Review" to finish out the work item.

7) Complete the appropriate form in the work item and prep for signature. Be sure to click the Save button at the top of the PDF when complete.

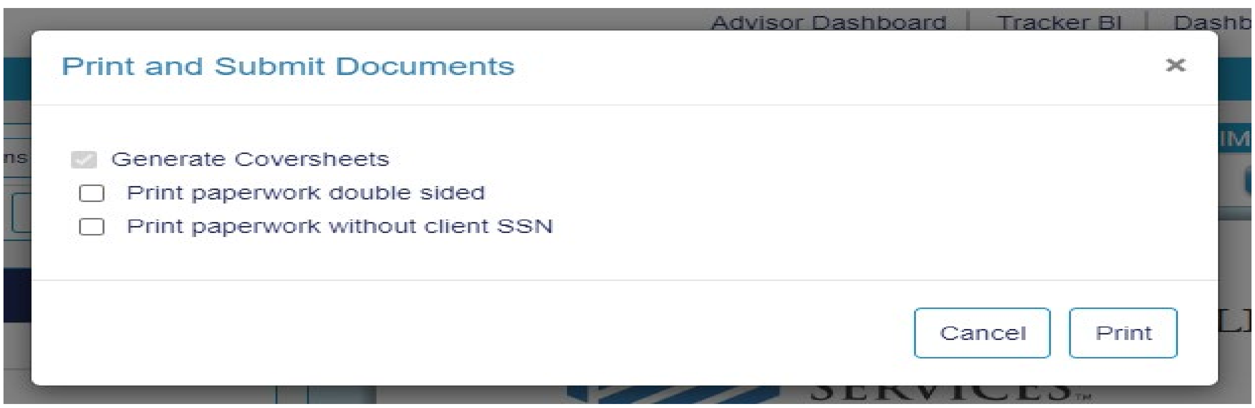


7a.) Wet Sign steps – includes physically signing or adding Adobe digital signature (If you instead choose to e-sign/docusign skip to page 8 of this document to follow step 8a - 8.

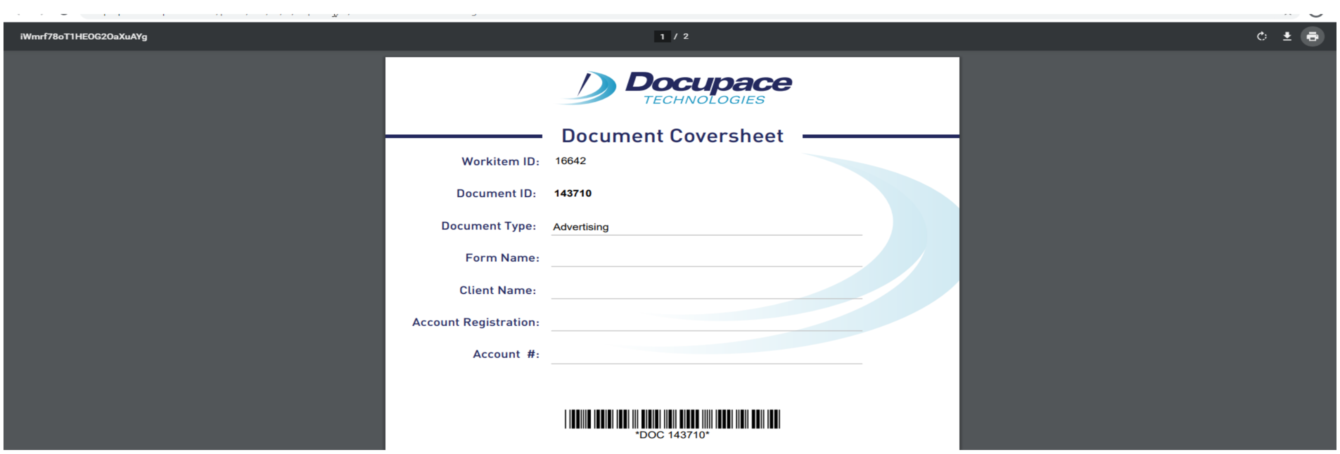
To wet sign by either printing and physically signing or using electronic Adobe PDF signature, click Actions, Wet Sign.



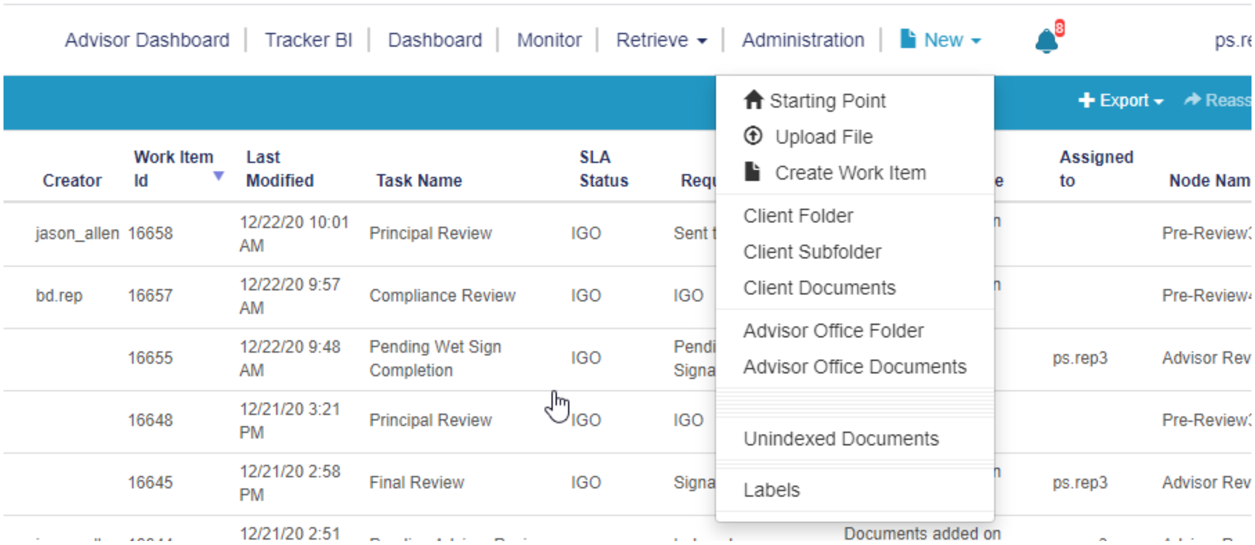
7b.) Ensure Generate Coversheets is checked and click Print.



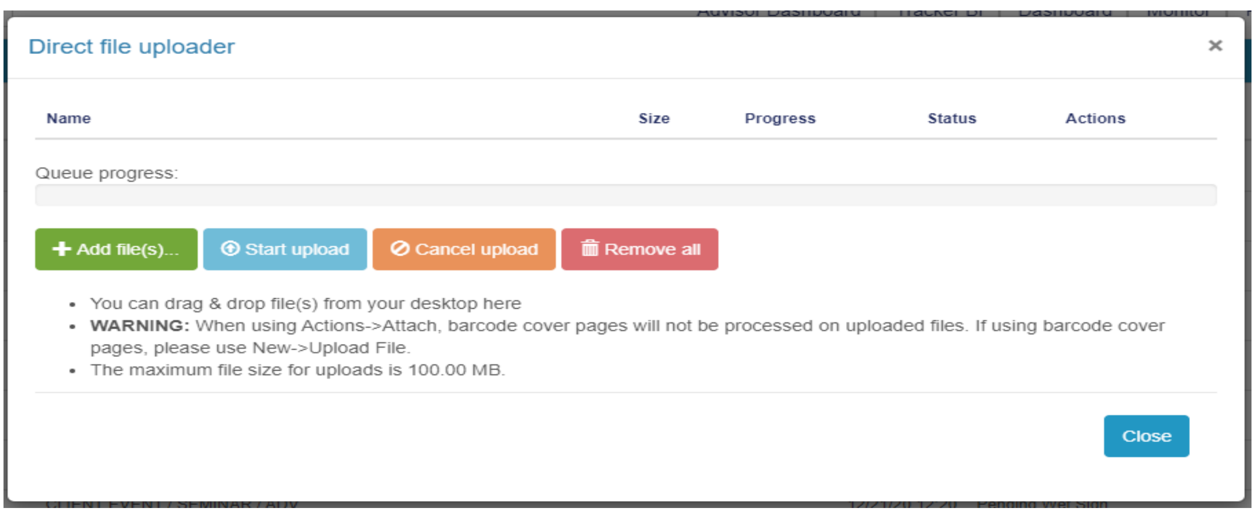
7c.) From here you can either download to your computer or physically print.



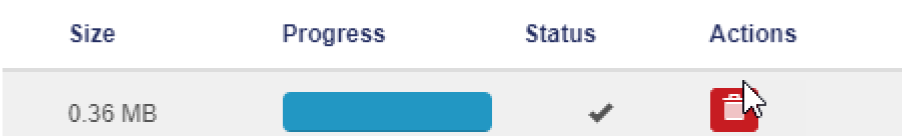
7d.) Once signed, you can upload the document with coversheet back into Docupace by clicking New – Upload File.



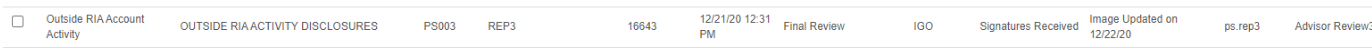
7e.) Drag and drop the signed document into the Direct File Uploader Box and click Start Upload.



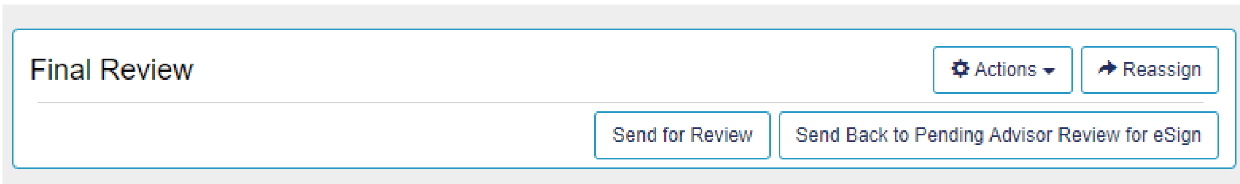
7f.) Once successfully uploaded, a check box will appear under status. Click close.



The Request Status will move to Signatures Received. Click on the work item.

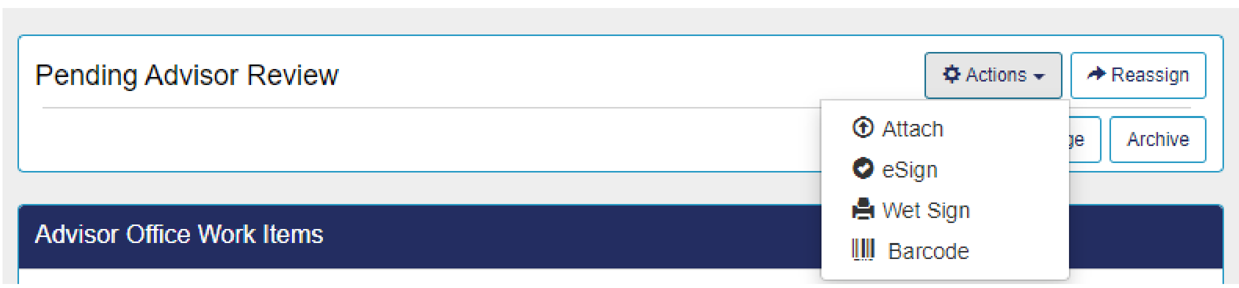


7g.) Click on Send for Review to submit the work item.

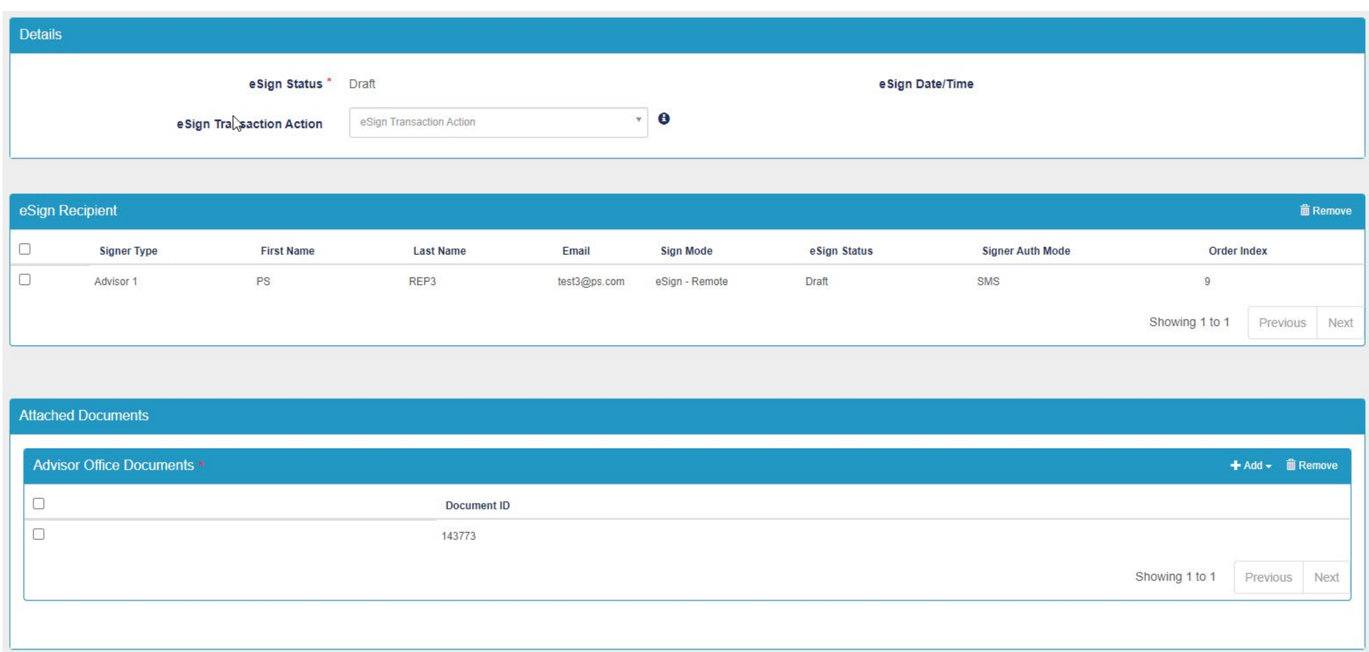


8a.) E-sign/Docu-sign Steps

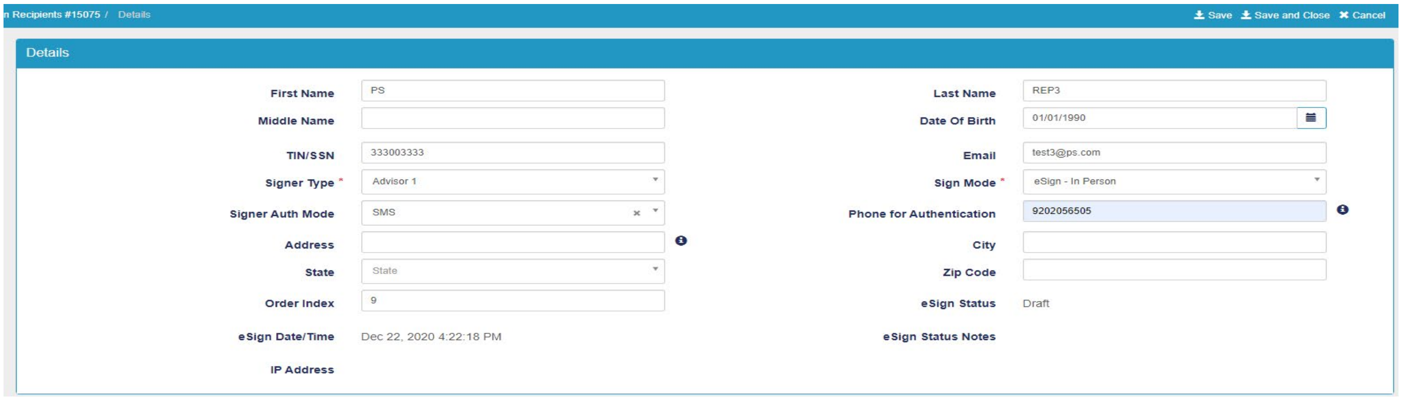
To use e-signature, click on Actions – eSign. (e-signature charge may apply)



8b.) Advisor information should be populated in the eSign Recipient box.

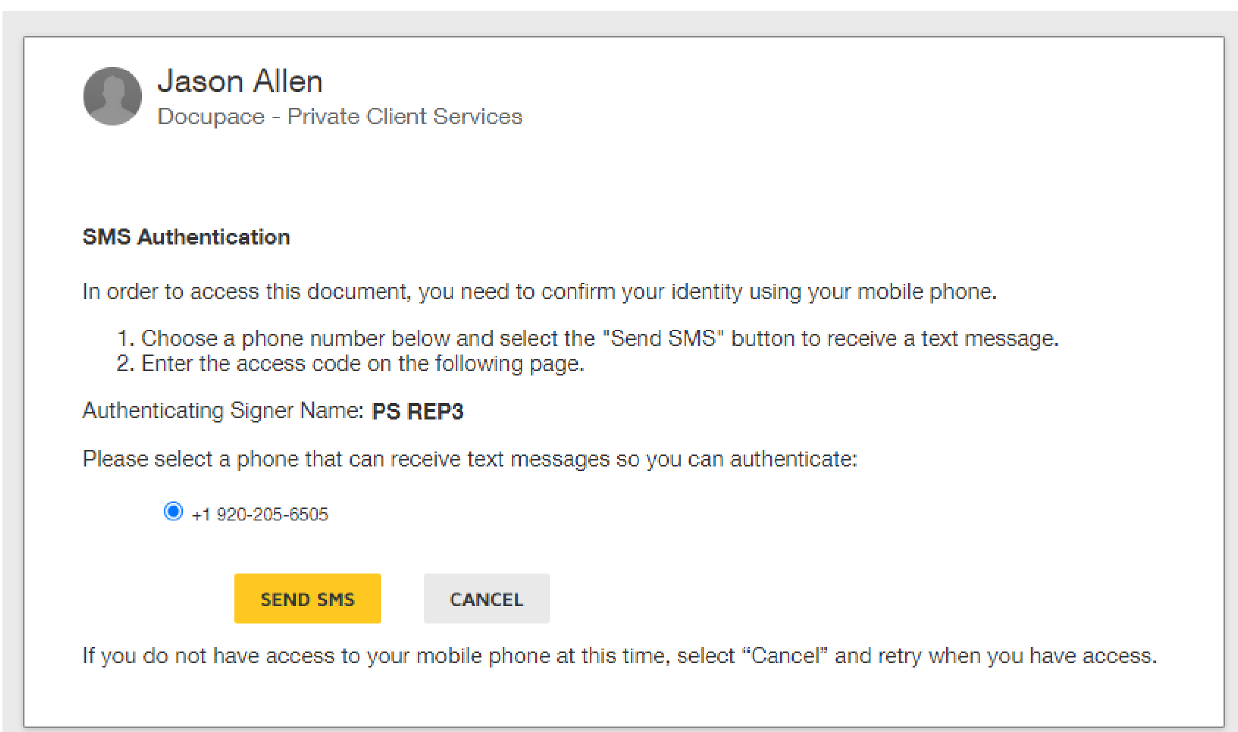


8c.) To modify the information or change the Sign Mode, click on the advisor name and update the information. eSign Remote send an email, and eSign – In Person opens a new window on your computer. When complete, click Save and Close.

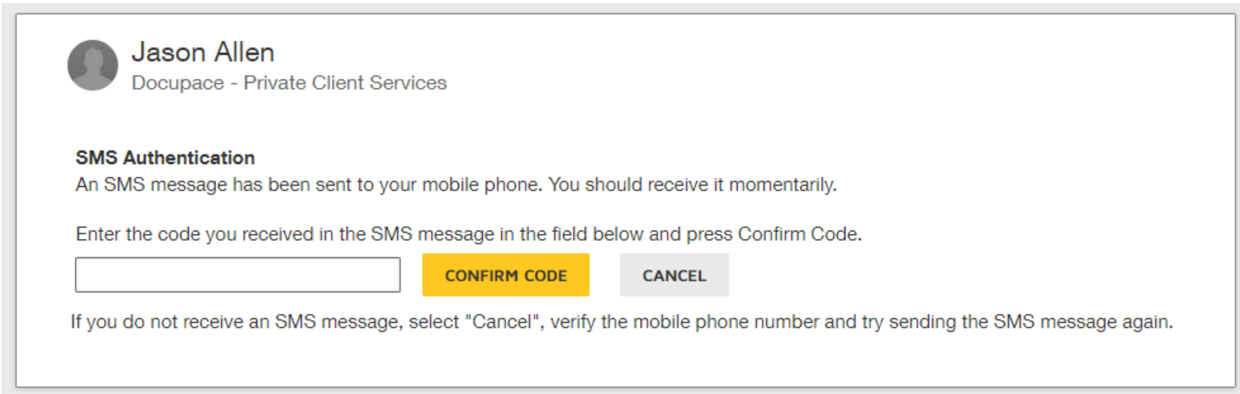


8d.) To send to eSign, click eSign in the upper right.

8e.) The DocuSign box appears if you selected eSign – In-person or check your email for eSign Remote, click SMS to send a text to the indicated phone number for authentication.

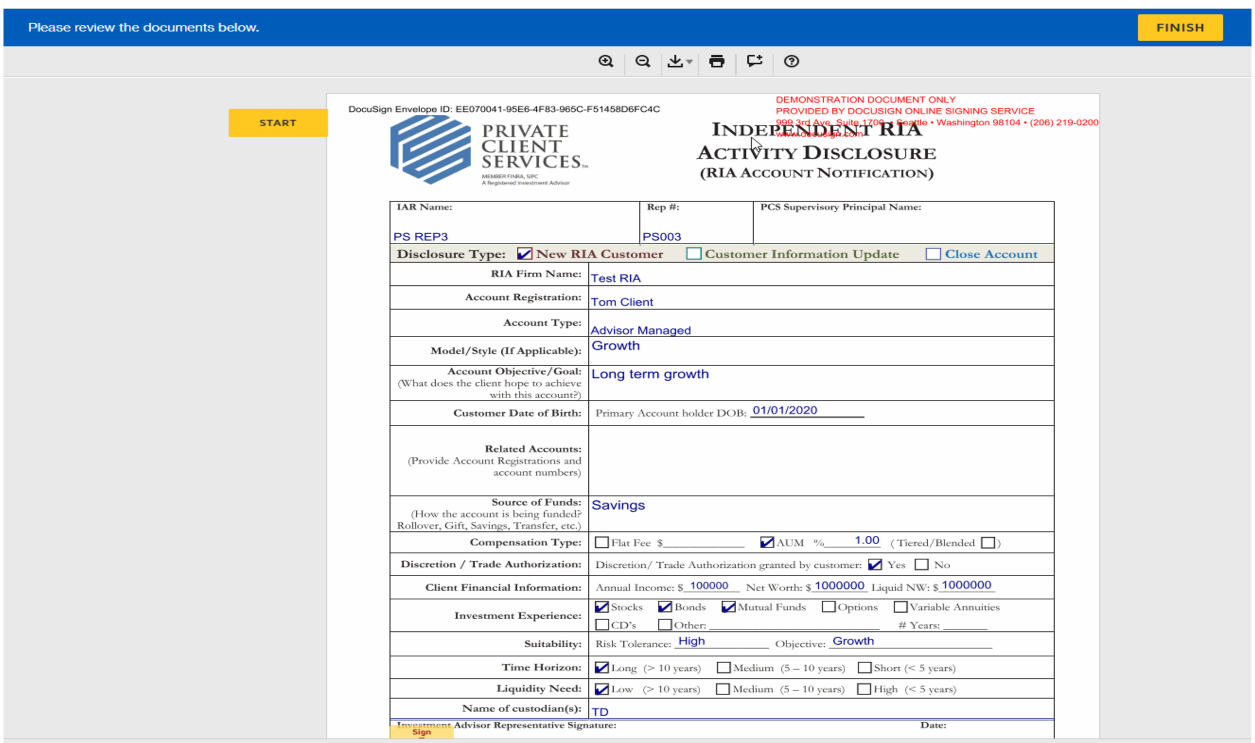


8f.) Enter the text code and click Confirm Code.

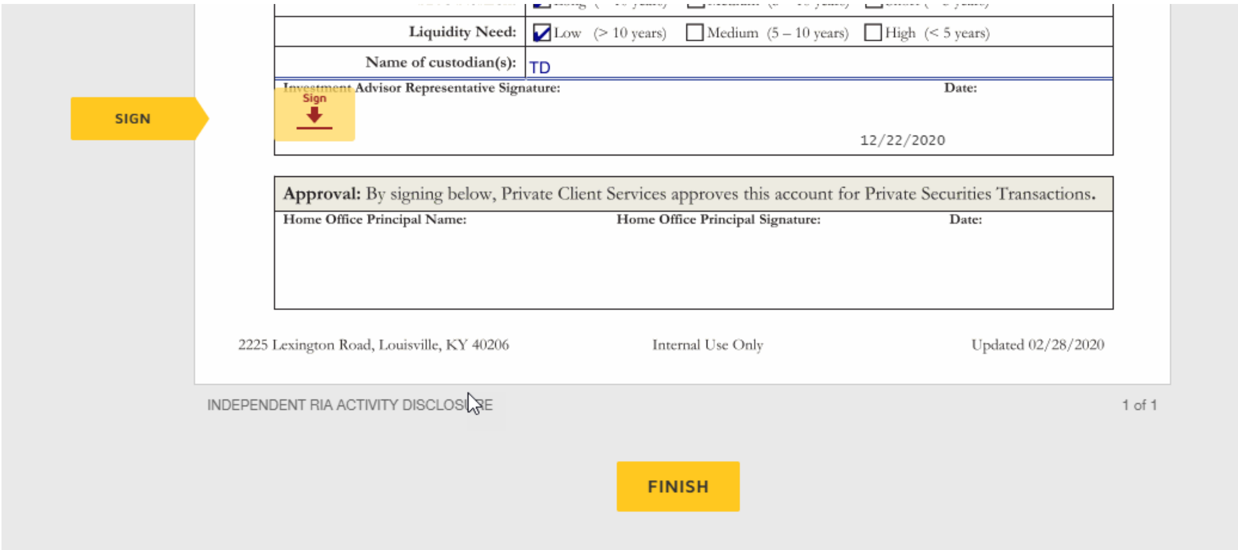


8g.) Agree to the disclosure by checking the box and Continue.

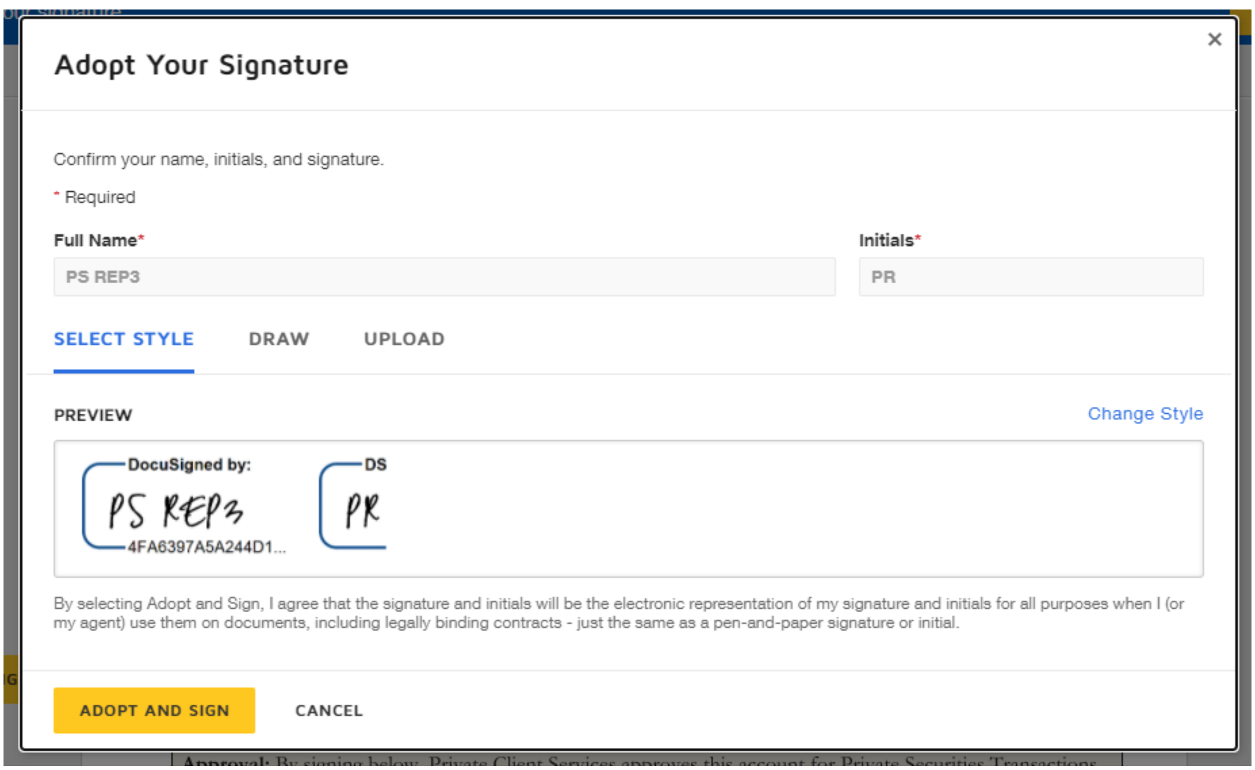
8h.) Click Start to sign.



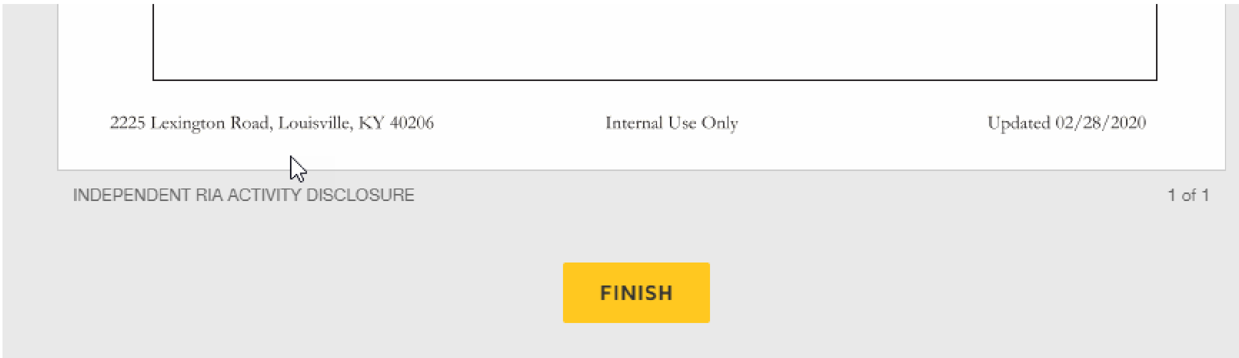
8i.) Click Sign.



8j.) Adopt your signature and Adopt and Sign.



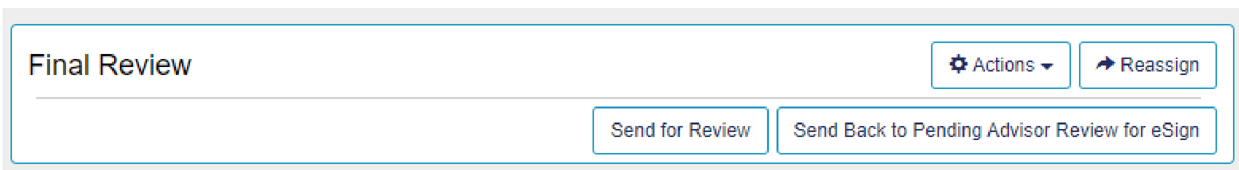
8k.) Click Finish.



8l.) Once complete, the work item will move to a Request Status of Signature Received. Click on the Work Item.

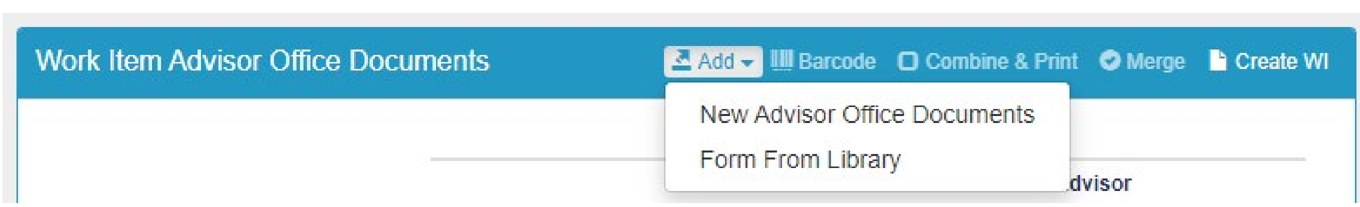
Request Type	Advisor Folder Name	Advisor ID	Advisor Name	Creator	Work Item Id	Last Modified	Task Name	SLA Status	Request Status	Validation Message	Assigned to	Node Name
Outside RIA Account Activity	OUTSIDE RIA ACTIVITY DISCLOSURES	PS003	REP3		16663	12/22/20 4:33 PM	Final Review	IGO	Signatures Received	Documents added on 12/22/20	ps.rep3	Advisor Review3

8m.) Click Send for Review.



9.) Adding Documents to a Disclosure prior to signing/submission - When applicable, after following steps 1 - 7, follow steps 9 - 10 before signing and submitting via steps 7a - 7g or steps 8a - 8m when the disclosure form requires additional documentation to be uploaded/associated with a Compliance Work Item (i.e. copies of correspondence, etc).

To add additional documents to a Compliance Work Item prior to signature/submission, click Add – New Advisor Office Documents in the Work Item Advisor Office Documents section of the Work Item.



10.) Drag the document into the Drag & Drop box and the file will upload automatically. The Document type is prefilled by the Compliance Type. Click Save. To finish the Work Item reference steps 7a – 7g or steps 8a – 8m depending on the method of signature to sign/submit.