

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.

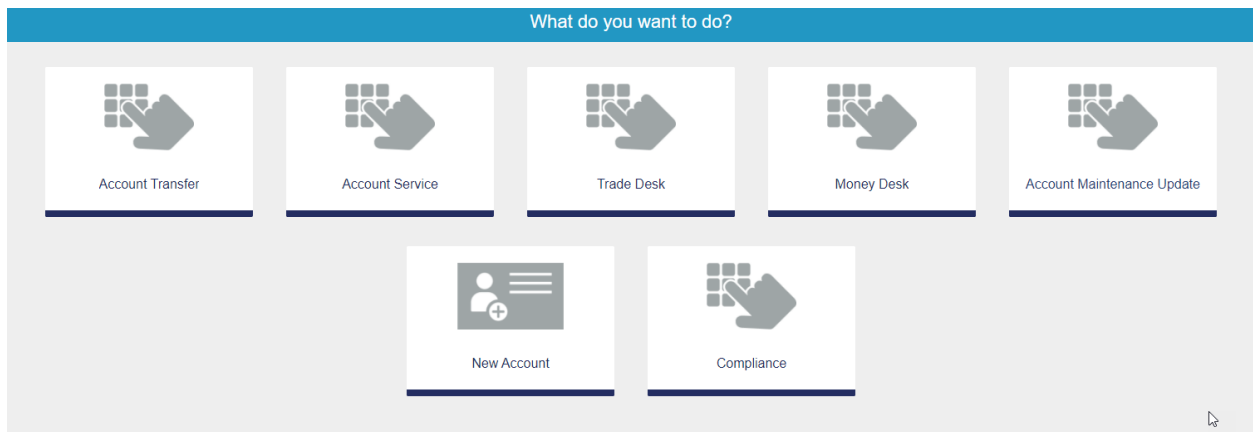
If a disclosure requires additional documents to be uploaded to the disclosure (i.e. copies correspondence, etc) then follow steps 1 - 7, then steps 9 - 10 before sending for review via steps 7a – 7g or 8a – 8m.

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.

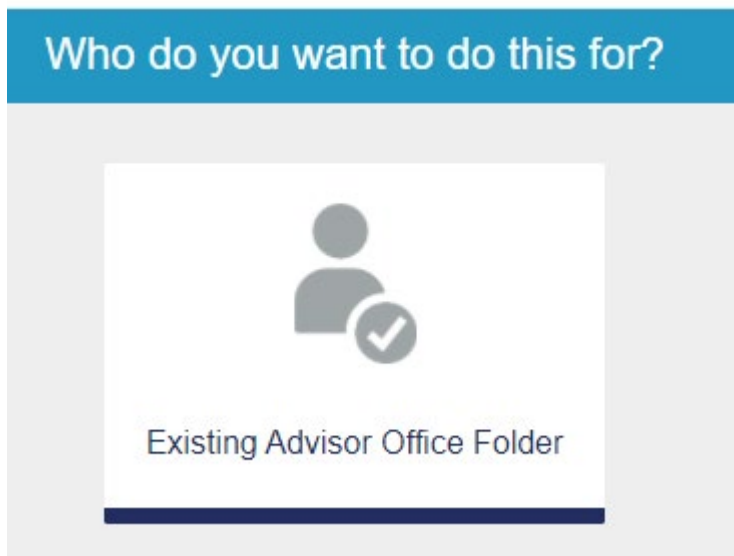
Advisor Dashboard | Tracker BI | Dashboard | Monitor | Retrieve ▾ | Administration | New ▾
 8

						+ Exp	
	▼ Advisor Name	Advisor ID	Account #	Creator	Work Item Id		Validation Message
PM	REP3	PS003		ps.rep3	16661	<div style="background-color: white; border: 1px solid #ccc; padding: 5px; margin-bottom: 5px;"> <div style="display: flex; justify-content: space-between; align-items: center; padding: 2px 5px;"> Starting Point Upload File </div> <div style="display: flex; justify-content: space-between; align-items: center; padding: 2px 5px;"> Create Work Item </div> <div style="display: flex; justify-content: space-between; align-items: center; padding: 2px 5px;"> Client Folder </div> <div style="display: flex; justify-content: space-between; align-items: center; padding: 2px 5px;"> Client Subfolder </div> <div style="display: flex; justify-content: space-between; align-items: center; padding: 2px 5px;"> Client Documents </div> <div style="display: flex; justify-content: space-between; align-items: center; padding: 2px 5px;"> Advisor Office Folder </div> <div style="display: flex; justify-content: space-between; align-items: center; padding: 2px 5px;"> Advisor Office Documents </div> <div style="display: flex; justify-content: space-between; align-items: center; padding: 2px 5px;"> Unindexed Documents </div> <div style="display: flex; justify-content: space-between; align-items: center; padding: 2px 5px;"> Labels </div> </div>	Documents added on
' PM	REP3	PS003		ps.rep3	16660		Documents added on
PM	REP3	PS003	7123682594IA	ps.rep3	16659		Documents added on
AM	REP3	PS003		ps.rep3	16653		Documents added on
PM	REP3	PS003		ps.rep3	16647		
PM	REP3	PS003		ps.rep3	16646		Image Updated on 12

2) Select the Compliance tile.



3) Choose Existing Office Folder tile.



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

Default

Clear

Refresh

Advisor Office Type

None Selected

Folder Name

Folder Name

Business Type

None Selected

Rep

Rep

Modified

From

To

Click on a record below to select:

Folder Name	Advisor Office Type	Business Type	Rep				
			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.

Select Compliance Type

History

Compliance Type

Client Event / Seminar / Advisor Reimbursements

Correspondence

Customer Complaints

Gift Logs

Investment Account Disclosure - Personal

Licenses and Registrations

Outside Business Activity Disclosures

Outside RIA Account Activity Disclosures

Selected Rep Code
PS003

Selected Business Type
Compliance

New/Existing Folder

Selected Existing Folder

Back

6) Review the details and click Create Work Item.

Review summary before creating Work Item
History

Selected folders

				Rep										
First Name	Last Name	Company Name	SSN Masked	Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code	Business Type	Last Note	Client Type	Client Status	User	Group
				PS003	REP3	PS	XXXXX3333		BD/RIA					

Options Selected

Selected Rep Code PS003

Selected Business Type Compliance

Selected Compliance Type Client Event / Seminar / Advisor Reimbursements

Create Work Item

Required Forms Add Forms

Form Name	Form Number	Description
CLIENT EVENT SEMINAR ADVERTISING REIMBURSEMENT		Request

Showing 1 to 1
Previous
Next

Create Work Item

Selected Rep Code
PS003

Selected Business Type
Compliance

New/Existing Folder
Selected Existing Folder

Selected Compliance Type
Client Event / Seminar / Advisor Reimbursements

Back

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.

+ Add Documents ▼

Advisor Office Documents

Form From Library

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.

Upload File

Drag & Drop image here. It MUST be located in the box!

Document Type *

Document Review Status

Business Type *

Document Date


Broker Dealer Forms

Other Forms

Vendor

Notes

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.

Private Client Services

Document #1543710 - CLIENT EVENT / SEMINAR / ADVERTISING REIMBURSEMENT REQUEST

Request Date: 12/01/2020 Representative Name: PS-REP3 Sponsor Name: Jackson

Select Reimbursement Types:

☒ Seminar / Client Event Compliance Certificate Approval #: 123

Approx. Reimbursement Amount: \$ _____ Event Date: 11/29/2020

Event Location: Hilton

Event Title: Retirement Income

☐ Advertising Expense Compliance Certificate Approval #: _____

Approx. Reimbursement Amount: \$ _____ ☐ Radio ☐ Magazine ☐ Newspaper ☐ Online / Website

☐ Mailing ☐ E-mail Blast ☐ Other: _____

☐ Conference Travel Expense Date of Conference: _____

Approx. Reimbursement Amount: \$ _____ Location: _____

Description of Conference: _____

☐ Other Details: _____

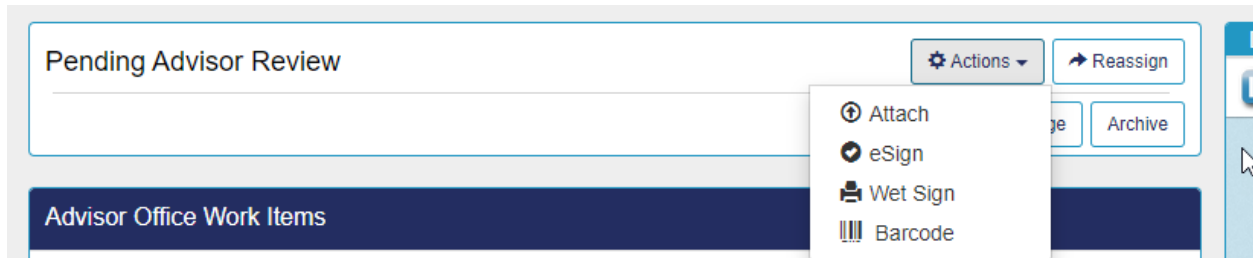
Approx. Reimbursement Amount: \$ _____

Showing 1 to 1 Previous Next

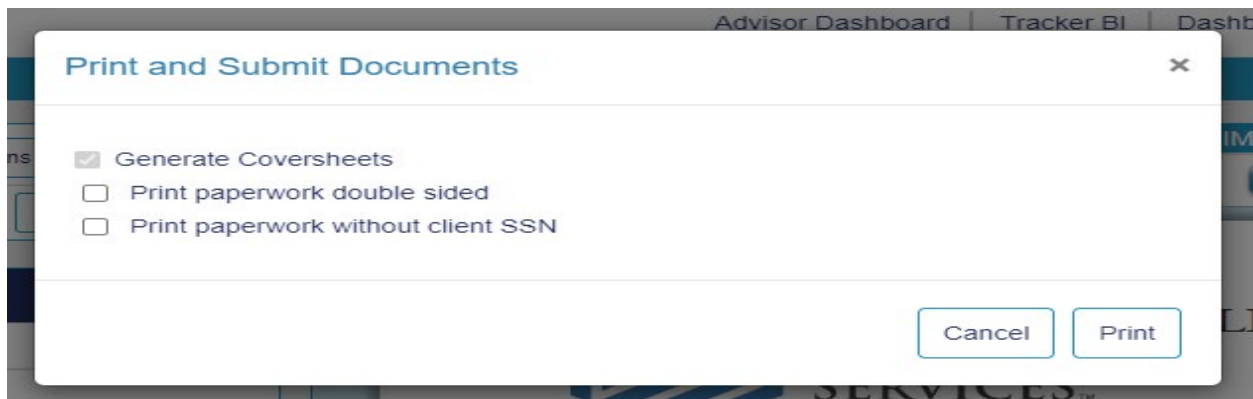
Save

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.

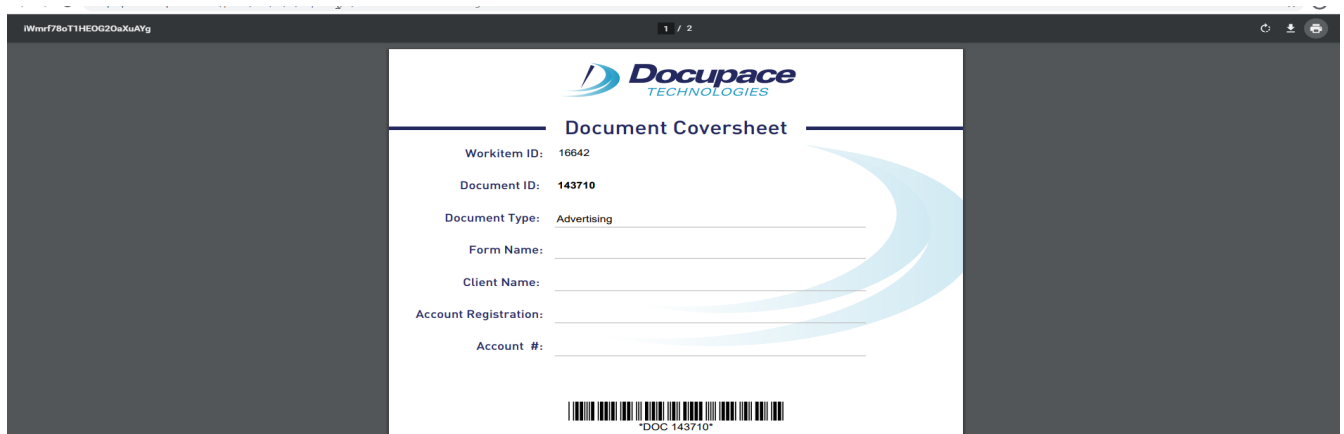
To wet sign by either printing and physically signing or using electronic Adobe PDF signature, click Actions, Wet Sign.



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.

The screenshot shows the Docupace interface with a navigation bar at the top containing links like 'Advisor Dashboard', 'Tracker BI', 'Dashboard', 'Monitor', 'Retrieve', 'Administration', and 'New'. A dropdown menu is open under 'New', showing options: 'Starting Point', 'Upload File' (highlighted), 'Create Work Item', 'Client Folder', 'Client Subfolder', 'Client Documents', 'Advisor Office Folder', 'Advisor Office Documents', 'Unindexed Documents', and 'Labels'. Below the menu is a table with columns: 'Creator', 'Work Item Id', 'Last Modified', 'Task Name', 'SLA Status', 'Request', 'Assigned to', and 'Node Name'. The table contains several rows of data, including entries for 'Principal Review', 'Compliance Review', and 'Pending Wet Sign Completion'.

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

The screenshot shows a 'Direct file uploader' dialog box. It has a table with columns: 'Name', 'Size', 'Progress', 'Status', and 'Actions'. Below the table is a 'Queue progress:' bar. There are four buttons: '+ Add file(s)...', 'Start upload', 'Cancel upload', and 'Remove all'. Below the buttons is a list of instructions:

- You can drag & drop file(s) from your desktop here
- WARNING:** When using Actions->Attach, barcode cover pages will not be processed on uploaded files. If using barcode cover pages, please use New->Upload File.
- The maximum file size for uploads is 100.00 MB.

A 'Close' button is at the bottom right.

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

The screenshot shows the 'Direct file uploader' dialog box with a single row in the table. The row has the following values: '0.36 MB' in the 'Size' column, a full blue progress bar in the 'Progress' column, a checkmark in the 'Status' column, and a red trash icon in the 'Actions' column. A mouse cursor is hovering over the trash icon.

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

<input type="checkbox"/>	Outside RIA Account Activity	OUTSIDE RIA ACTIVITY DISCLOSURES	PS003	REP3	16643	12/21/20 12:31 PM	Final Review	IGO	Signatures Received	Image Updated on 12/22/20	ps.rep3	Advisor Review3
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7g.) Click on Send for Review to submit the work item.

Final Review

⚙️ Actions ▾

➡️ Reassign

Send for Review

Send Back to Pending Advisor Review for eSign

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

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

Pending Advisor Review

⚙️ Actions ▾

➡️ Reassign

📎 Attach

📝 eSign

🖨️ Wet Sign

📊 Barcode

Archive

Advisor Office Work Items

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

Details

eSign Status * Draft

eSign Date/Time

eSign Transaction Action

eSign Transaction Action

eSign Recipient

Remove

<input type="checkbox"/>	Signer Type	First Name	Last Name	Email	Sign Mode	eSign Status	Signer Auth Mode	Order Index
<input type="checkbox"/>	Advisor 1	PS	REP3	test3@ps.com	eSign - Remote	Draft	SMS	9

Showing 1 to 1 Previous Next

Attached Documents

Advisor Office Documents *

+ Add

Remove

<input type="checkbox"/>	Document ID
<input type="checkbox"/>	143773

Showing 1 to 1 Previous Next

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.

in Recipients #15075 / Details Save Save and Close Cancel


Details

First Name	PS	Last Name	REP3
Middle Name		Date Of Birth	01/01/1990
TIN/SSN	333003333	Email	test13@ps.com
Signer Type *	Advisor 1	Sign Mode *	eSign - In Person
Signer Auth Mode	SMS	Phone for Authentication	9202056505
Address		City	
State	State	Zip Code	
Order Index	9	eSign Status	Draft
eSign Date/Time	Dec 22, 2020 4:22:18 PM		
IP Address			
	eSign Status Notes		

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

Save Save and Close eSign Cancel

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.

 **Jason Allen**
Docupace - Private Client Services

SMS Authentication

In order to access this document, you need to confirm your identity using your mobile phone.

1. Choose a phone number below and select the "Send SMS" button to receive a text message.
2. Enter the access code on the following page.

Authenticating Signer Name: **PS REP3**


Please select a phone that can receive text messages so you can authenticate:

☒ +1 920-205-6505

SEND SMS **CANCEL**

If you do not have access to your mobile phone at this time, select "Cancel" and retry when you have access.

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



Jason Allen
 Docupace - Private Client Services

SMS Authentication

An SMS message has been sent to your mobile phone. You should receive it momentarily.

Enter the code you received in the SMS message in the field below and press Confirm Code.

CONFIRM CODE

CANCEL

If you do not receive an SMS message, select "Cancel", verify the mobile phone number and try sending the SMS message again.

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

Please Review & Act on These Documents



Jason Allen
 Docupace - Private Client Services

Please sign the following documents.

DocuSign

Please read the Electronic Record and Signature Disclosure.

☐ I agree to use electronic records and signatures.

CONTINUE

OTHER ACTIONS ▾

8h.) Click Start to sign.

Please review the documents below.

FINISH

START

DocuSign Envelope ID: EE070041-95E6-4F83-965C-F51458D6FC4C


DEMONSTRATION DOCUMENT ONLY
PROVIDED BY DOCUSIGN ONLINE SIGNING SERVICE
993 3rd Ave, Suite 1200 • Seattle • Washington 98104 • (206) 219-0200

INDEPENDENT RIA
ACTIVITY DISCLOSURE
(RIA ACCOUNT NOTIFICATION)

IAR Name: PS REP3	Rep #: PS003	PCS Supervisory Principal Name:
Disclosure Type: <input checked="" type="checkbox"/> New RIA Customer <input type="checkbox"/> Customer Information Update <input type="checkbox"/> Close Account		
RIA Firm Name: Test RIA		
Account Registration: Tom Client		
Account Type: Advisor Managed		
Model/Style (If Applicable): Growth		
Account Objective/Goal: (What does the client hope to achieve with this account?) Long term growth		
Customer Date of Birth: Primary Account holder DOB: 01/01/2020		
Related Accounts: (Provide Account Registrations and account numbers)		
Source of Funds: (How the account is being funded: Rollover, Gift, Savings, Transfer, etc.) Savings		
Compensation Type: <input type="checkbox"/> Flat Fee \$ _____ <input checked="" type="checkbox"/> AUM % 1.00 (Tiered/Blended <input type="checkbox"/>)		
Discretion / Trade Authorization: Discretion/ Trade Authorization granted by customer: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Client Financial Information: Annual Income: \$ 100000 Net Worth: \$ 1000000 Liquid NW: \$ 1000000		
Investment Experiences: <input checked="" type="checkbox"/> Stocks <input checked="" type="checkbox"/> Bonds <input checked="" type="checkbox"/> Mutual Funds <input type="checkbox"/> Options <input type="checkbox"/> Variable Annuities <input type="checkbox"/> CD's <input type="checkbox"/> Other: # Years: _____		
Suitability: Risk Tolerance: High Objective: Growth		
Time Horizon: <input checked="" type="checkbox"/> Long (> 10 years) <input type="checkbox"/> Medium (5 – 10 years) <input type="checkbox"/> Short (< 5 years)		
Liquidity Need: <input checked="" type="checkbox"/> Low (> 10 years) <input type="checkbox"/> Medium (5 – 10 years) <input type="checkbox"/> High (< 5 years)		
Name of custodian(s): TD		
Investment Advisor Representative Signature:		Date:

8i.) Click Sign.

SIGN

Liquidity Need: <input checked="" type="checkbox"/> Low (> 10 years) <input type="checkbox"/> Medium (5 – 10 years) <input type="checkbox"/> High (< 5 years)		
Name of custodian(s): TD		
Investment Advisor Representative Signature:	Date:	
	12/22/2020	

Approval: By signing below, Private Client Services approves this account for Private Securities Transactions.

Home Office Principal Name:	Home Office Principal Signature:	Date:

2225 Lexington Road, Louisville, KY 40206

Internal Use Only

Updated 02/28/2020

INDEPENDENT RIA ACTIVITY DISCLOSURE 1 of 1

FINISH

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

Adopt Your Signature ✕

Confirm your name, initials, and signature.

* Required

Full Name*

PS REP3

Initials*

PR

SELECT STYLE

DRAW

UPLOAD

PREVIEW Change Style

DocuSigned by:

PS REP3

4FA6397A5A244D1...

DS

PR

By selecting Adopt and Sign, I agree that the signature and initials will be the electronic representation of my signature and initials for all purposes when I (or my agent) use them on documents, including legally binding contracts - just the same as a pen-and-paper signature or initial.

ADOPT AND SIGN

CANCEL

8k.) Click Finish.

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INDEPENDENT RIA ACTIVITY DISCLOSURE 1 of 1

FINISH

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

<input type="checkbox"/>	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
<input type="checkbox"/>	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.

Final Review

Actions Reassign

Send for Review Send Back to Pending Advisor Review for eSign

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.

Work Item Advisor Office Documents

Add Barcode Combine & Print Merge Create WI

New Advisor Office Documents
Form From Library

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.

SaveCancel

Details

Upload File

Upload

File upload was successful!

Drag & Drop image here. It MUST be located in the box!

Business Type *

BD/RIA

Document Type *

Advertising

Document Review Status

Document Review Status

Document Date

MM/DD/YYYY

Notes