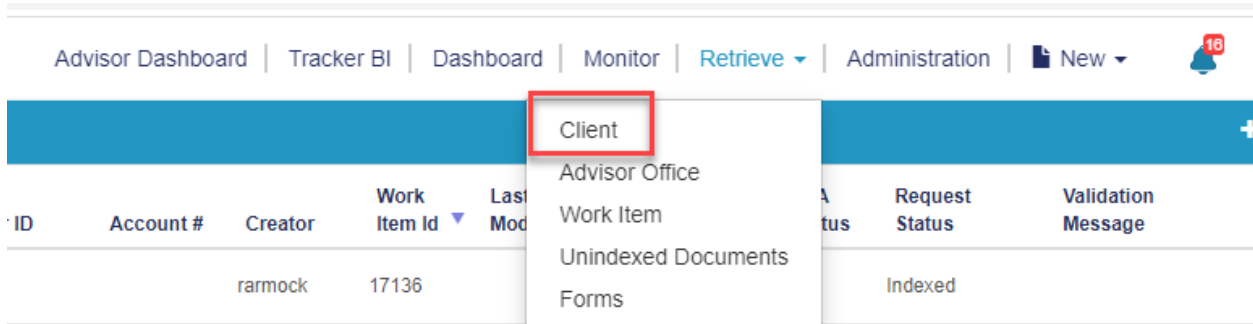


## Adding Documents Directly to a Client Folder

Let our independence ignite yours.™

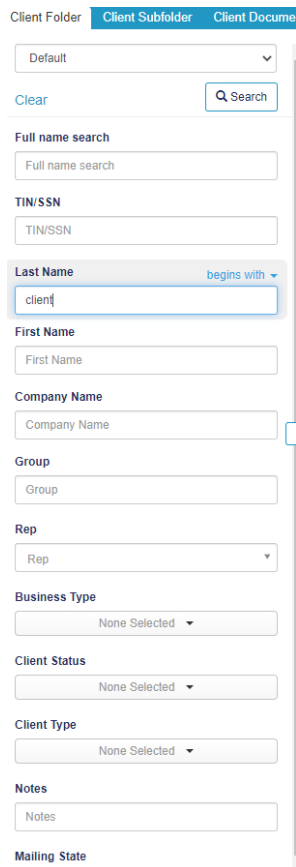
This step-by-step guide will walk you thru the process of adding documents directly to an existing client folder.

Click on Retrieve and select Client.



The screenshot shows the top navigation bar with the following items: Advisor Dashboard | Tracker BI | Dashboard | Monitor | Retrieve ▾ | Administration | New ▾. A dropdown menu is open under 'Retrieve', with 'Client' highlighted by a red box. Other options in the dropdown include Advisor Office, Work Item, Unindexed Documents, and Forms. Below the navigation bar, a table is partially visible with columns: ID, Account #, Creator, Work Item Id, Last Mod, Status, Request Status, and Validation Message. A row shows 'rarmock' as the creator and '17136' as the work item id, with a status of 'Indexed'.

Utilize the client search functions on the left side and click Search.



The screenshot shows the 'Client Search' form on the left side of the application. It includes the following fields and controls:

- Client Folder: Client Subfolder (selected), Client Document
- Default dropdown menu
- Clear button and Search button
- Full name search: Full name search input field
- TIN/SSN: TIN/SSN input field
- Last Name: Last Name input field with a 'begins with' dropdown menu, containing the text 'client'
- First Name: First Name input field
- Company Name: Company Name input field
- Group: Group input field
- Rep: Rep dropdown menu
- Business Type: Business Type dropdown menu (None Selected)
- Client Status: Client Status dropdown menu (None Selected)
- Client Type: Client Type dropdown menu (None Selected)
- Notes: Notes input field
- Mailing State: Mailing State input field

Click on the client in the search results.

<input type="checkbox"/>	PRIMARY	CLIENT	XXXXX9999	BD123 PS003 PS123 QA123	REP REP3 REP REP	BD PS PS QA	XXXXX3333 XXXXX3333 XXXXX4444 XXXXX5555	BD1 BD1 PS1 QA1	BD/RIA	Person	Active	becca_metz	CLIENT HOUSEHOLD
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Click on the client subfolder you want to add the document to. If it does not exist, click Add New to add the appropriate subfolder.

Client Folder														
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
PRIMARY	CLIENT		XXXXX9999	BD123 PS003 PS123 QA123	REP REP3 REP REP	BD PS PS QA	XXXXX3333 XXXXX3333 XXXXX4444 XXXXX5555	BD1 BD1 PS1 QA1	BD/RIA		Person	Active	becca_metz	CLIENT HOUSEHOLD

Client Subfolder																	
Client Folder																	
Rep																	
Client Subfolder Type	Registration Type	Product Type	Vendor/Custodian	Account #	Last Note	Other Description	First Name	Last Name	Company Name	Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code	User		
<input type="checkbox"/>	Direct Business	IRA - Traditional	Direct - Mutual Fund	FIDELITY ADVISORS	7123802594IA		PRIMARY	CLIENT		P9003	REP3	PS	XXXXX3333		jason_allen		
<input type="checkbox"/>	Brokerage	Individual	Brokerage - Advisory	PERSHING	ABC123854		PRIMARY	CLIENT		BD123	REP	BD	XXXXX3333	BD1	becca_metz		
<input type="checkbox"/>	Direct Business	Individual	Direct - Mutual Fund	FIDELITY ADVISORS	IA1235789514753		PRIMARY	CLIENT		PS123	REP	PS	XXXXX4444	PS1	ps rep		
<input type="checkbox"/>	Direct Business			MAILROOM			PRIMARY	CLIENT		QA123	REP	QA	XXXXX5555	QA1	stephanie_prc		
<input type="checkbox"/>	Direct Business	Money Purchase Plan	Direct - Mutual Fund	FIDELITY ADVISORS	OK1234567890		PRIMARY	CLIENT		P9003	REP3	PS	XXXXX3333		jason_allen		
<input type="checkbox"/>	Direct Business	Individual 401(k) - Employer	Direct - Mutual Fund	JACKSON NATIONAL LIFE INSURANCE COMPANY	PS123-800112345		PRIMARY	CLIENT		P9003	REP3	PS	XXXXX3333		ps rep		
<input type="checkbox"/>	Direct Business	Partnership	Direct - Mutual Fund	AMERICAN FUNDS	PS123578951		PRIMARY	CLIENT		P9003	REP3	PS	XXXXX3333		becca_metz		
<input type="checkbox"/>	Brokerage	Individual	Brokerage - Retail	PERSHING	RKFXXXXXX		PRIMARY	CLIENT		BD123	REP	BD	XXXXX3333	BD1	bd rep		
<input type="checkbox"/>	Direct Business	Individual	Annuity - Variable	NATIONWIDE INSURANCE			PRIMARY	CLIENT		PS123	REP	PS	XXXXX4444	PS1	becca_metz		
<input type="checkbox"/>	Brokerage	Individual	Brokerage - Retail	PERSHING			PRIMARY	CLIENT		P9003	REP3	PS	XXXXX3333		becca_metz		
<input type="checkbox"/>	Brokerage	401(k) - Employer	Brokerage - Advisory	PERSHING			PRIMARY	CLIENT		BD123	REP	BD	XXXXX3333	BD1	becca_metz		
<input type="checkbox"/>	Brokerage	Individual	Brokerage - Retail	PERSHING			PRIMARY	CLIENT		PS123	REP	PS	XXXXX4444	PS1	test_metz		

When in the subfolder, click on Add New in the Client Documents bar.

Client Subfolder																	
Client Folder																	
Rep																	
Client Subfolder Type	Registration Type	Product Type	Vendor/Custodian	Account #	Last Note	Other Description	First Name	Last Name	Company Name	Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code	User		
Brokerage	Individual	Brokerage - Advisory	PERSHING	ABC123854			PRIMARY	CLIENT		BD123	REP	BD	XXXXX3333	BD1	becca_metz		

Client Documents																								
Subfolder																								
Document Type																								
Name	Priority	Form Name	Account #	Client Folder Group	Client Folder Last Name	Client Folder First Name	Client Folder Company Name	Client Folder SSN Masked	Client Folder Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code	Rep Code	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code	Description	Last Note	Document Date	Document ID	Business Type	Creation Date	
<input type="checkbox"/>		Account Maintenance	1	FEDERAL FUNDS WIRE REQUEST	ABC123854	CLIENT HOUSEHOLD	CLIENT	PRIMARY	XXXXX9999	BD123	REP	BD	XXXXX3333	BD1								142717	BD/RIA	12/08/20 8:04 AM
<input type="checkbox"/>		Account Maintenance	1	FEDERAL FUNDS WIRE REQUEST	ABC123854	CLIENT HOUSEHOLD	CLIENT	PRIMARY	XXXXX9999	BD123	REP	BD	XXXXX3333	BD1								142693	BD/RIA	12/08/20 7:33 AM
<input type="checkbox"/>		Account Maintenance	1	COMMISSION ADJUSTMENT REQUEST	ABC123854	CLIENT HOUSEHOLD	CLIENT	PRIMARY	XXXXX9999	BD123	REP	BD	XXXXX3333	BD1								142095	BD/RIA	10/28/20 2:41 PM

Drag and drop the form into the Drag & Drop box. Fill in as much information as possible about the form and click Save.

Details

Upload File    
 File upload was successful!   
 Drag & Drop image here. It MUST be located in the box

Business Type \* BD/RIA

Document Type \* Disclosure

Document Review Status Document Review Status

Document Date 12/17/2020

Form PURCHASE FORM

Description PCS Securities Purchase Form

Notes Test form

Send to Clearinghouse

Fax to Vendor

Check Number

Check Amount

Purpose of Check Purpose of Check

Name Of Security

Click Save and Close. The form now is saved under the client subfolder.

#144882 / Details Save Save and Close Cancel

Details

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

Business Type \* BD/RIA

Document Type \* Disclosure

Document Review Status Document Review Status

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Form Name PURCHASE FORM

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Page: 1 of 1 Automatic Zoom

Test Doc