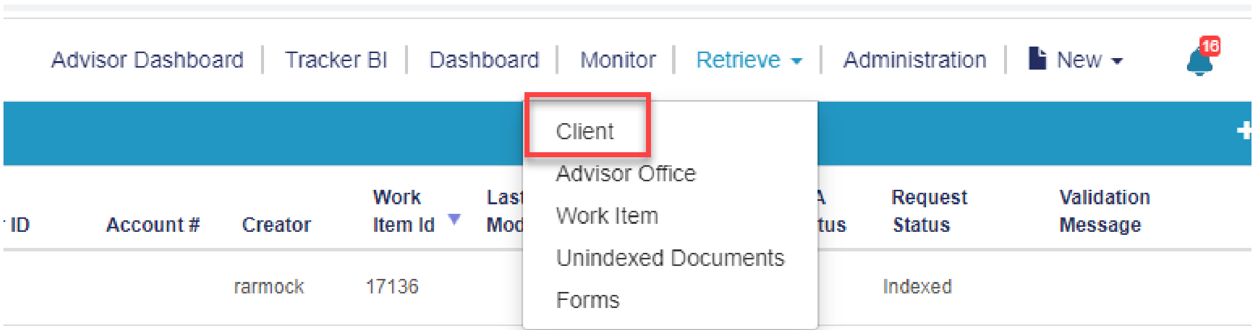
Let our independence ignite yours.™

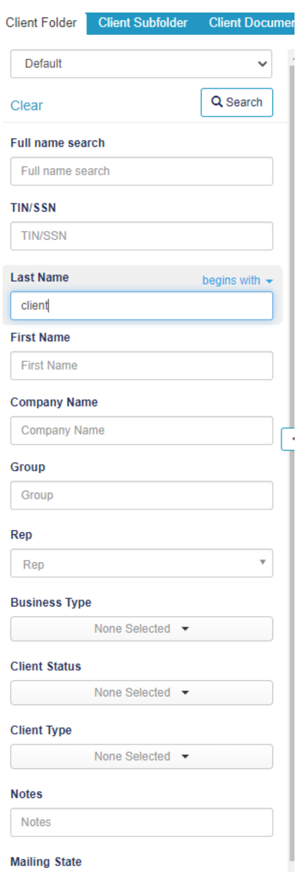
# Adding Documents Directly to a Client Folder

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

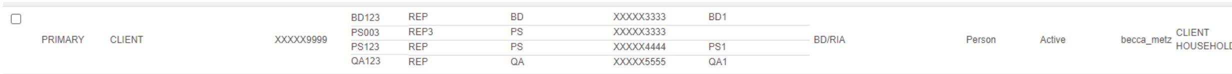
Click on Retrieve and select Client.




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

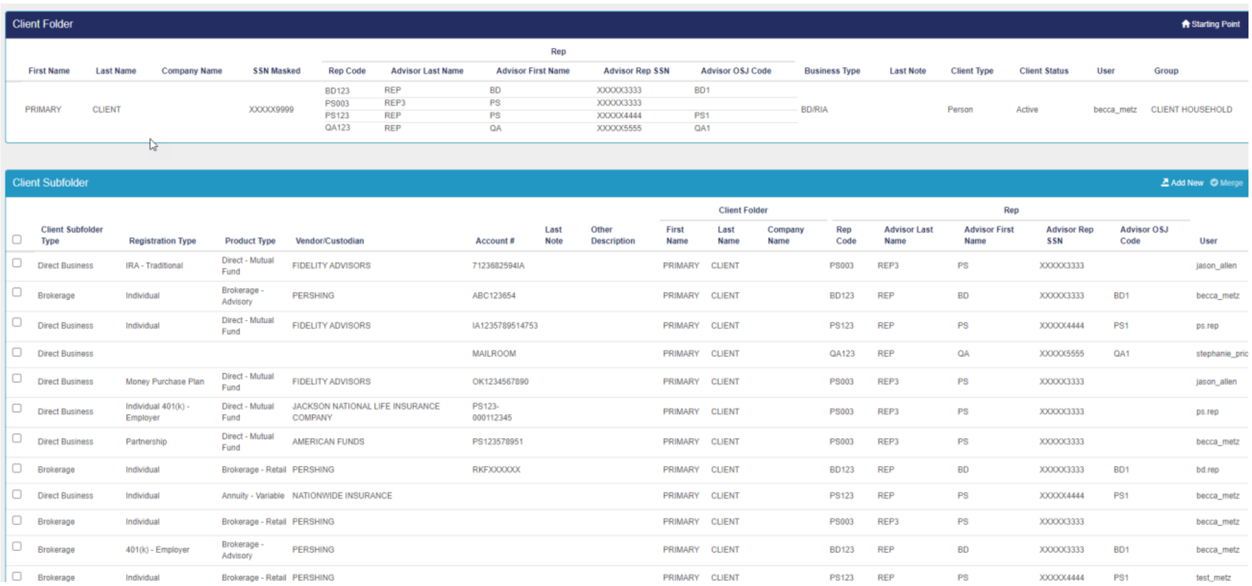


Click on the client in the search results.



| | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| PRIMARY | CLIENT | XXXXX9999 | BD123<br>PS003<br>PS123<br>QA123 | REP<br>REP3<br>REP<br>REP | BD<br>PS<br>PS<br>QA | XXXXX3333<br>XXXXX3333<br>XXXXX4444<br>XXXXX5555 | BD1<br><br>PS1<br>QA1 | BD/RIA | Person | Active | becca_metz | CLIENT HOUSEHOLD |

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.



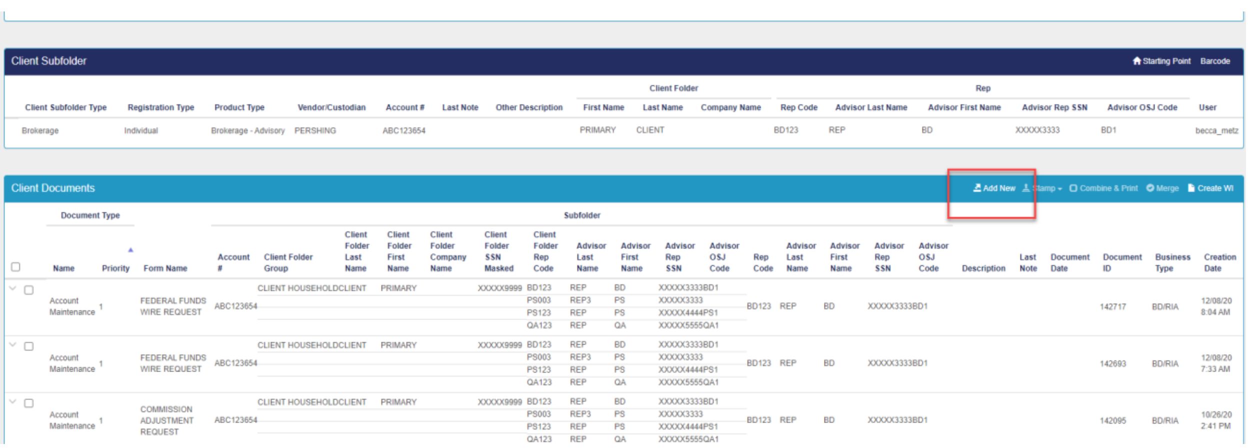
Client Folder

| First Name | Last Name | Company Name | SSN Masked | Rep: Rep Code | Rep: Advisor Last Name | Rep: Advisor First Name | Rep: Advisor Rep SSN | Rep: Advisor OSJ Code | Business Type | Last Note | Client Type | Client Status | User | Group |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| PRIMARY | CLIENT | | XXXXX9999 | BD123<br>PS003<br>PS123<br>QA123 | REP<br>REP3<br>REP<br>REP | BD<br>PS<br>PS<br>QA | XXXXX3333<br>XXXXX3333<br>XXXXX4444<br>XXXXX5555 | BD1<br><br>PS1<br>QA1 | BD/RIA | | Person | Active | becca_metz | CLIENT HOUSEHOLD |

Client Subfolder — Add New · Merge

| Client Subfolder Type | Registration Type | Product Type | Vendor/Custodian | Account # | Last Note | Other Description | Client Folder: First Name | Client Folder: Last Name | Client Folder: Company Name | Rep: Rep Code | Rep: Advisor Last Name | Rep: Advisor First Name | Rep: Advisor Rep SSN | Rep: Advisor OSJ Code | User |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Direct Business | IRA - Traditional | Direct - Mutual Fund | FIDELITY ADVISORS | 7123682594IA | | | PRIMARY | CLIENT | | PS003 | REP3 | PS | XXXXX3333 | | jason_allen |
| Brokerage | Individual | Brokerage - Advisory | PERSHING | ABC123654 | | | PRIMARY | CLIENT | | BD123 | REP | BD | XXXXX3333 | BD1 | becca_metz |
| Direct Business | Individual | Direct - Mutual Fund | FIDELITY ADVISORS | IA1235789514753 | | | PRIMARY | CLIENT | | PS123 | REP | PS | XXXXX4444 | PS1 | ps.rep |
| Direct Business | | | | MAILROOM | | | PRIMARY | CLIENT | | QA123 | REP | QA | XXXXX5555 | QA1 | stephanie_pric |
| Direct Business | Money Purchase Plan | Direct - Mutual Fund | FIDELITY ADVISORS | OK1234567890 | | | PRIMARY | CLIENT | | PS003 | REP3 | PS | XXXXX3333 | | jason_allen |
| Direct Business | Individual 401(k) - Employer | Direct - Mutual Fund | JACKSON NATIONAL LIFE INSURANCE COMPANY | PS123-000112345 | | | PRIMARY | CLIENT | | PS003 | REP3 | PS | XXXXX3333 | | ps.rep |
| Direct Business | Partnership | Direct - Mutual Fund | AMERICAN FUNDS | PS123578951 | | | PRIMARY | CLIENT | | PS003 | REP3 | PS | XXXXX3333 | | becca_metz |
| Brokerage | Individual | Brokerage - Retail | PERSHING | RKFXXXXXX | | | PRIMARY | CLIENT | | BD123 | REP | BD | XXXXX3333 | BD1 | bd.rep |
| Direct Business | Individual | Annuity - Variable | NATIONWIDE INSURANCE | | | | PRIMARY | CLIENT | | PS123 | REP | PS | XXXXX4444 | PS1 | becca_metz |
| Brokerage | Individual | Brokerage - Retail | PERSHING | | | | PRIMARY | CLIENT | | PS003 | REP3 | PS | XXXXX3333 | | becca_metz |
| Brokerage | 401(k) - Employer | Brokerage - Advisory | PERSHING | | | | PRIMARY | CLIENT | | BD123 | REP | BD | XXXXX3333 | BD1 | becca_metz |
| 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.



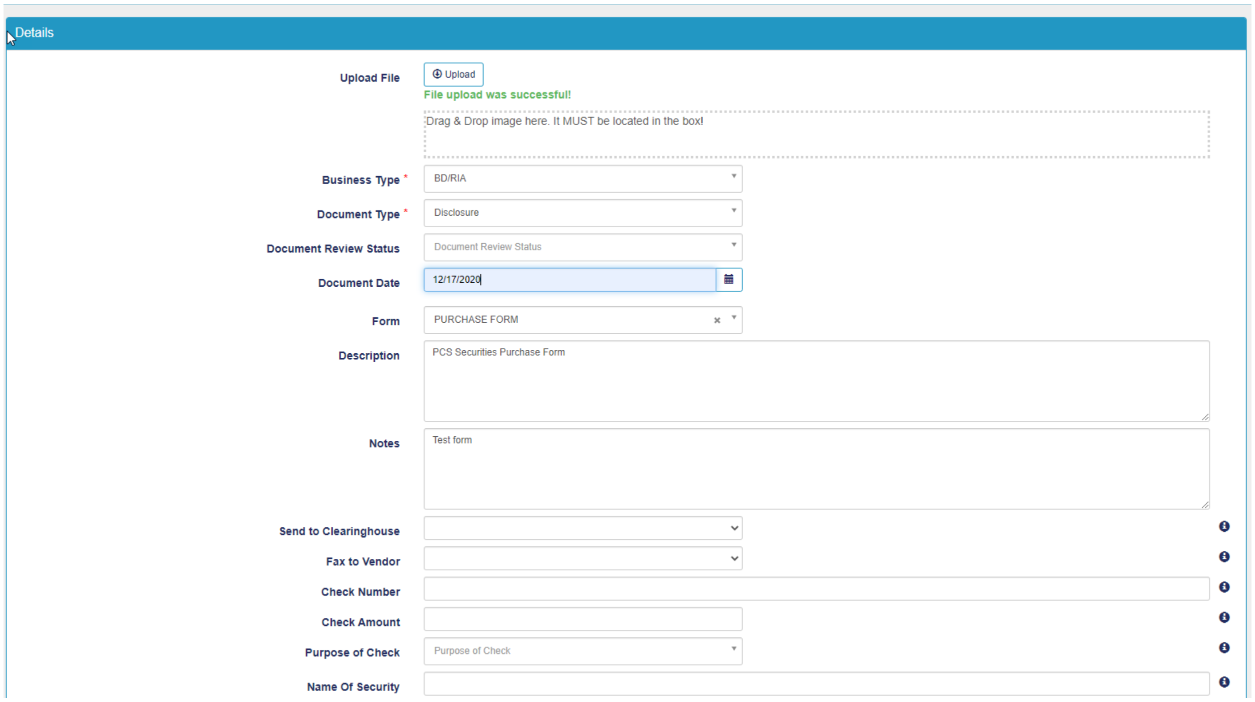
Client Subfolder — Starting Point · Barcode

| Client Subfolder Type | Registration Type | Product Type | Vendor/Custodian | Account # | Last Note | Other Description | Client Folder: First Name | Client Folder: Last Name | Client Folder: Company Name | Rep: Rep Code | Rep: Advisor Last Name | Rep: Advisor First Name | Rep: Advisor Rep SSN | Rep: Advisor OSJ Code | User |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Brokerage | Individual | Brokerage - Advisory | PERSHING | ABC123654 | | | PRIMARY | CLIENT | | BD123 | REP | BD | XXXXX3333 | BD1 | becca_metz |

Client Documents — Add New · Stamp · Combine & Print · Merge · Create WI

| 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 | Subfolder: Rep Code | Subfolder: Advisor Last Name | Subfolder: Advisor First Name | Subfolder: Advisor Rep SSN | Subfolder: Advisor OSJ Code | Description | Last Note | Document Date | Document ID | Business Type | Creation Date |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Account Maintenance | 1 | FEDERAL FUNDS WIRE REQUEST | ABC123654 | CLIENT HOUSEHOLD | CLIENT | PRIMARY | | XXXXX9999 | BD123<br>PS003<br>PS123<br>QA123 | REP<br>REP3<br>REP<br>REP | BD<br>PS<br>PS<br>QA | XXXXX3333<br>XXXXX3333<br>XXXXX4444<br>XXXXX5555 | BD1<br><br>PS1<br>QA1 | BD123 | REP | BD | XXXXX3333 | BD1 | | | | 142717 | BD/RIA | 12/08/20 8:04 AM |
| Account Maintenance | 1 | FEDERAL FUNDS WIRE REQUEST | ABC123654 | CLIENT HOUSEHOLD | CLIENT | PRIMARY | | XXXXX9999 | BD123<br>PS003<br>PS123<br>QA123 | REP<br>REP3<br>REP<br>REP | BD<br>PS<br>PS<br>QA | XXXXX3333<br>XXXXX3333<br>XXXXX4444<br>XXXXX5555 | BD1<br><br>PS1<br>QA1 | BD123 | REP | BD | XXXXX3333 | BD1 | | | | 142693 | BD/RIA | 12/08/20 7:33 AM |
| Account Maintenance | 1 | COMMISSION ADJUSTMENT REQUEST | ABC123654 | CLIENT HOUSEHOLD | CLIENT | PRIMARY | | XXXXX9999 | BD123<br>PS003<br>PS123<br>QA123 | REP<br>REP3<br>REP<br>REP | BD<br>PS<br>PS<br>QA | XXXXX3333<br>XXXXX3333<br>XXXXX4444<br>XXXXX5555 | BD1<br><br>PS1<br>QA1 | BD123 | REP | BD | XXXXX3333 | BD1 | | | | 142095 | BD/RIA | 10/26/20 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.




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