

Opening a New Account

Let our independence ignite yours.™

The following walks through the process of opening a new account via Docupace. Many of the steps used in this process are similar for other types of Work Items.

Always Begin with New – Starting Point

As with most processes in Docupace, the New Account Opening workflow begins at New – Starting Point.

Advisor Dashboard | Dashboard | Monitor | Retrieve ▾ | Administration | **New ▾** 19

Name	Advisor ID	Account #	Creator	Work Item	Validation Me
	PS003		rarmock	86644	
	PS003	ABC123654	rarmock	86643	
	PS003		rarmock	86639	
	PS003		rarmock	86634	
	PS003		rarmock	84633	
	PS003		rarmock	80633	
	PS003		rarmock	80133	

Starting Point

Upload File

Create Work Item

Client Folder

Client Subfolder

Client Documents

Advisor Office Folder

Advisor Office Documents

Unindexed Documents

Forms

Labels

Multiple Rep Codes

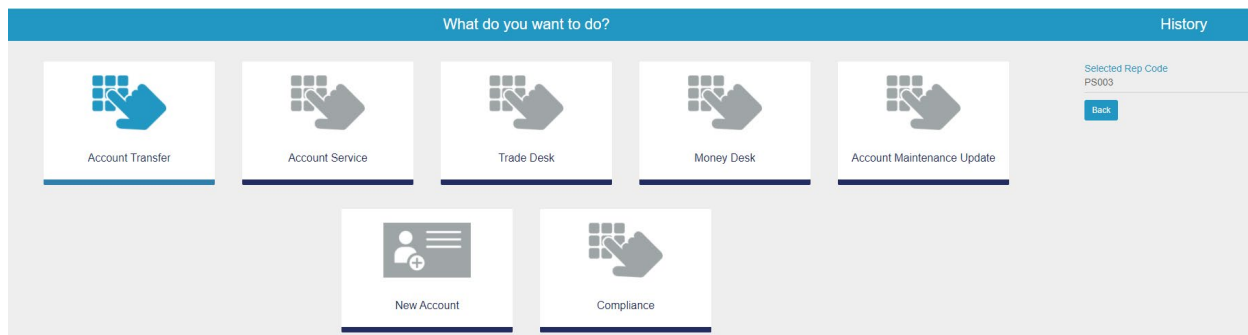
If you have more than one rep code, you will first be asked which rep code you want to use. All rep codes in Docupace are the three-digit PCS rep code. If you have a different rep code with the sponsor, you will need to substitute that code on vendor paperwork later in the process. Click on the rep code you will be establishing this account under. Once selected you will be taken to the “What Do you Want to do?” screen.

Click on a record below to select. Show 15 entries

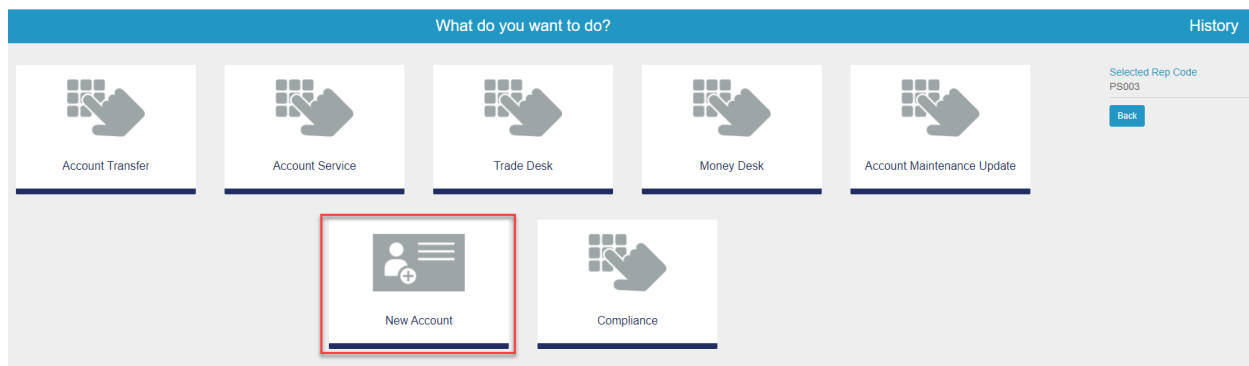
				Advisor				
Rep Code	NFS #	Pershing #	Split Rep	Last Name	First Name	Rep SSN	OSJ Code	Rep Group
BD123	BD456			REP	BD	XXXXX3333	BD1	
PS123	PS456			REP	PS	XXXXX4444	PS1	

Single Rep Code

If you have only one rep code, you will be taken immediately to the "What Do you Want to do?" screen.

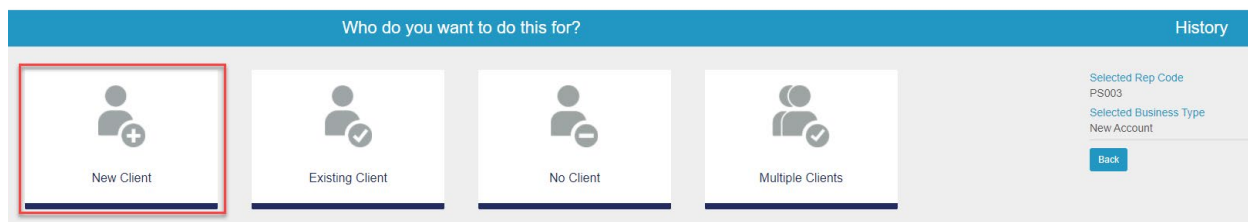


From here, you will select the New Account tile.



New Client

If you are opening an account for a new client that you have not placed any business with before, you will select the New Client tile. If it is an existing client but the client does not have a folder or record in Docupace, you may also select this tile and retrieve client data from jacommo later in the process (see the Using Existing Client Data from jacommo reference guide). If it is an existing client in Docupace, you can proceed to the Existing Client section. NOTE: If the account registration is for more than one client, the Multiple Clients tile would be selected and both new and existing clients can be added.



If at any point in the process you made a wrong selection, you can click the Back button to go back to the previous step.

Selected Rep Code
PS003

Selected Business Type
New Account

Back

On the next screen, you will enter as much pertinent data as you have for the client.

Rep

+ Add

Remove

	Rep Code	Last Name	First Name	Rep SSN	OSJ Code
<input type="checkbox"/>	PS003	REP3	PS	XXXXXX3333	

Showing 1 to 1

Previous

Next

Details

Client Type *

Person

Client Status *

Active

First Name

Primary

Last Name

Client

Company Name

TIN/SSN

111111212

DOB

01/01/2021

Legal Address

123 MAIN ST

Legal City

ANYWHERE

Legal Zip

12345-5555

Legal Province

Mailing Address

Mailing City

Business Type *

BD/RIA

Middle Name

Suffix

Group

Gender

Male

x

Email

Legal Address Line 2

Legal State

WA

x

Legal Country

Legal Country

Copy Legal to Mailing

Yes

Mailing Address Line 2

Mailing State

Mailing State

Once complete, click Save in the upper right corner. Proceed to [Sponsor Selection](#).

Save

Cancel

Existing Client

For an existing client, you will be taken to the client search screen. On the right-hand side, you can enter the client or company name and click Search.

Default

Clear

Search

Full name search

Full name search

TIN/SSN

TIN/SSN

Last Name

begins with

client

client

Client

CLIENT

Group

Select the existing client you are opening the account for from the results by clicking on it.

Click on a record below to select: Show 15 entries

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
JACK	CLIENT		XXXXX9741	PS003	REP3	PS	XXXXX3333		BD/RIA		Person	Active	rammock	
MR	CLIENT		XXXXX8776	PS003	REP3	PS	XXXXX3333		BD/RIA		Person	Active	rammock	
PRIMARY	CLIENT		XXXXX9999	PS003	REP3	PS	XXXXX3333		BD/RIA		Person	Active	becca_metz	CLIENT HOUSEWORK
PRIMARY	CLIENT		XXXXX1212	PS003	REP3	PS	XXXXX3333		BD/RIA		Person	Active	ps.rep3	
TOM	CLIENT		XXXXX8788	PS003	REP3	PS	XXXXX3333		BD/RIA		Person	Active	ps.rep3	

Sponsor Selection

Here you will select the sponsor you are opening the account with. You can begin typing in the Select a Sponsor/Custodian box to narrow down the choices. Click on the Sponsor's box.

What Sponsor/Custodian do you want to use?

P |
pershing

Pershing
PERSHING

PARNASSUS FUNDS

PERSHING ADVISOR SOLUTIONS

PRUDENTIAL ANNUITIES (ADVANCED SERIES)

PRINCIPAL FUNDS

PRUDENTIAL PREMIER RETIREMENT

PAX WORLD FUNDS

PACIFIC FUNDS

PRUDENTIAL MUTUAL FUNDS

PRUDENTIAL ANNUITIES

On the Select a State screen, choose the client's state. This will make state specific PCS forms appear in the Optional Forms section of the Work Item. They must be added to the Work Item Client Documents if applicable. State specific vendor forms will need to be manually added from the Form Library as needed.

Select a State

State

No State Required

Select the Product Type of the account being opened.

Select a Product Type

Product Type

Annuity - Fixed

Annuity - Variable

Brokerage - Advisory

Brokerage - Retail

Direct - Advisory

Direct - AltInvest

Direct - Mutual Fund

Insurance - Fixed

Select the Registration Type. You can type in the search box to narrow down the options.

Select Registration Type

Registration Type

Ind

IRA - Inherited Individual

Individual

Individual 401(k) - Employer

Individual 401(k) - Inherited Individual

Individual 401(k) - Omnibus

Individual 401(k) - Participant

Individual 401(k) - Roth Omnibus

Individual 401(k) - Roth Participant

You now can review the Work Item you are about to create. Review the client, rep code, business type, sponsor, product type and registration.

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
PRIMARY	CLIENT		XXXXXX9999	PS003	REP3	PS	XXXXXX3333		BD/RIA		Person	Active	becca_metz	CLIENT HOUSEHOLD

Options Selected

Client information

PRIMARY CLIENT

Selected Rep Code

PS003

Selected Business Type

New Account

Selected Sponsor/Custodian

PERSHING

Selected State

WA

Selected Product Type

Brokerage - Retail

Selected Registration Type

Individual

Create Work Item

Required Forms

Add Forms

Form Name	Form Number	Description
BROKERAGE ACCOUNT ADDENDUM	Addendum for Brokerage Accounts	
CUSTOMER ACCOUNT FORM	PCS Customer Account Form	
FORM CRS		PCS Client Relationship Summary 06012020.pdf
RECOMMENDATION DOCUMENTATION SUPPLEMENT		

Client information

PRIMARY CLIENT

Selected Rep Code

PS003

Selected Business Type

New Account

Selected Existing Folder

New/Existing Folder

Selected Sponsor/Custodian

PERSHING

Selected State

WA

Selected Product Type

Brokerage - Retail

Selected Registration Type

Individual

Back



If anything is incorrect, you can click the Back button or click on the blue hyperlink on the right side of the screen to go back and change it.

[Client Information](#)
 PRIMARY CLIENT
[Selected Rep Code](#)
 PS003
[Selected Business Type](#)
 New Account
[New/Existing Folder](#)
 Selected Existing Folder
[Selected Sponsor/Custodian](#)
 PERSHING
[Selected State](#)
 WA
[Selected Product Type](#)
 Brokerage - Retail
[Selected Registration Type](#)
 Individual



[Back](#)

You can also review the required forms that will appear in the Work Item as well as add any of the optional forms available by clicking on the plus sign that appears next to an optional form when you hover over it with your cursor.

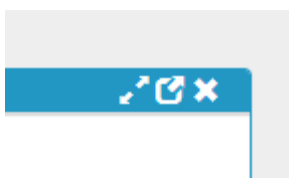
Required Forms			Add Forms
Form Name	Form Number	Description	
BROKERAGE ACCOUNT ADDENDUM		Addendum for Brokerage Accounts	
CUSTOMER ACCOUNT FORM	PCS Customer Account Form		
FORM CRS		PCS Client Relationship Summary 06012020.pdf	
RECOMMENDATION DOCUMENTATION SUPPLEMENT			
			Showing 1 to 4 Previous Next

Optional Forms			
Form Name	Form Number	Description	
ACCOMMODATION TRANSFER FORM	FRM-ACCOMTA-11-07		 
ACCOUNT REGISTRATION DEFINITIONS			
ACCOUNT TRANSFER	FRM-TSFR		
ACH AUTHORIZATION AGREEMENT INS	FRM-ACH	Used to establish electronic transfer between a Pershing retail brokerage account and a client bank account.	
CORESTONE ACCOUNT AGREEMENT	ECAGR-PER-CSTON		
CORESTONE ELECTRONIC APPLICATION	APP-CRST	Not to be used if a Paper Check Book is needed	
FEDERAL FUNDS WIRE REQUEST			

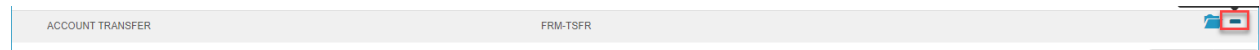
Clicking on the folder next to a form will allow you to preview the form. It will not add it to the Work Item. Note that you cannot enter any data on a form at this point. You must create the Work Item to begin entering data.

ACCOUNT TRANSFER	FRM-TSFR	 
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If you preview the form and want to go back to reviewing the Work Item before creating it, click the X in the upper right corner of the form preview.



If you want to remove an optional form you added to the Required Forms section, click the minus sign that appears as you hover over the form.



You can add any other additional forms to the Work Item once you have created it including vendor specific or PCS forms.

Creating the Work Item

After you have reviewed the required forms and selected any optional forms, you can click the Create Work Item button.

Review summary before creating Work Item

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	
PRIMARY	CLIENT		XXXXX9999	BD123											
				D22											
				PS003	REP3	PS	XXXXX3333		BD/RIA	Person	Active	becca_metz	CLIENT HOUSEHOLD		
				PS123	REP	PS	XXXXX4444	PS1							
				QA123	REP	QA	XXXXX5555	QA1							

Options Selected

Client information

PRIMARY CLIENT

Selected Rep Code

PS003

Selected Business Type

New Account

Selected Sponsor/Custodian

PERSHING

Selected State

WA

Selected Product Type

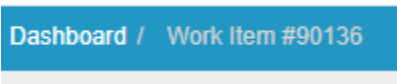
Brokerage - Retail

Selected Registration Type

Individual

Create Work Item

It is best practice to make note of the Work Item number in the upper left corner, as this is the easiest way to retrieve and reference a Work Item later.



There are four major areas of the Work Item screen. Below are the key areas of each section.

Pending Advisor Review Section

This section indicates the current Task Name the Work Item is in. Pending Advisor Review is the task where the Work Item is being worked on by the advisor or staff member.

Pending Advisor Review

⚙ Actions ▾

➡ Reassign

📄 Work Item Client Documents

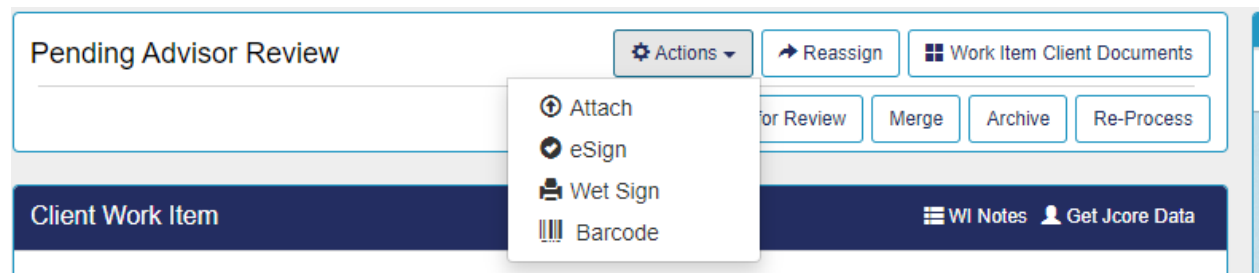
Send for Review

Merge

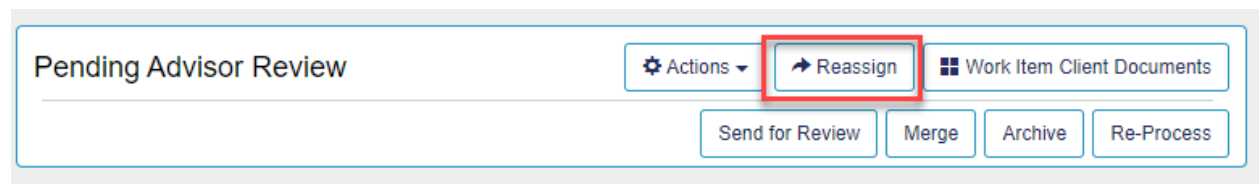
Archive

Re-Process

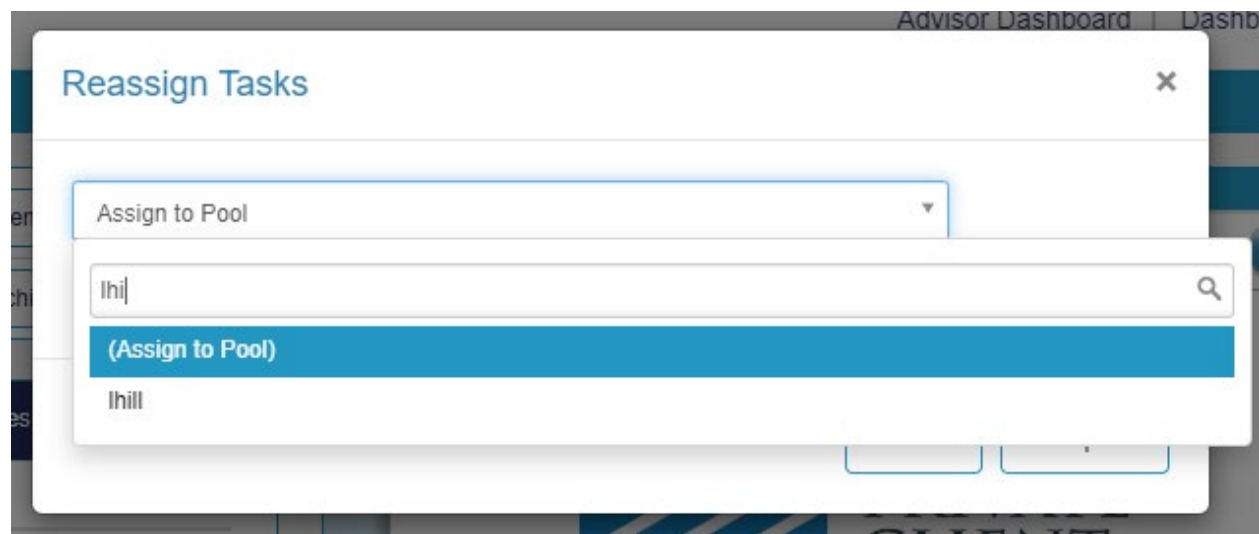
The Actions button is used to begin with the Wet Sign or eSign process. The Attach and Barcode buttons are rarely used if using these standard signature processes.



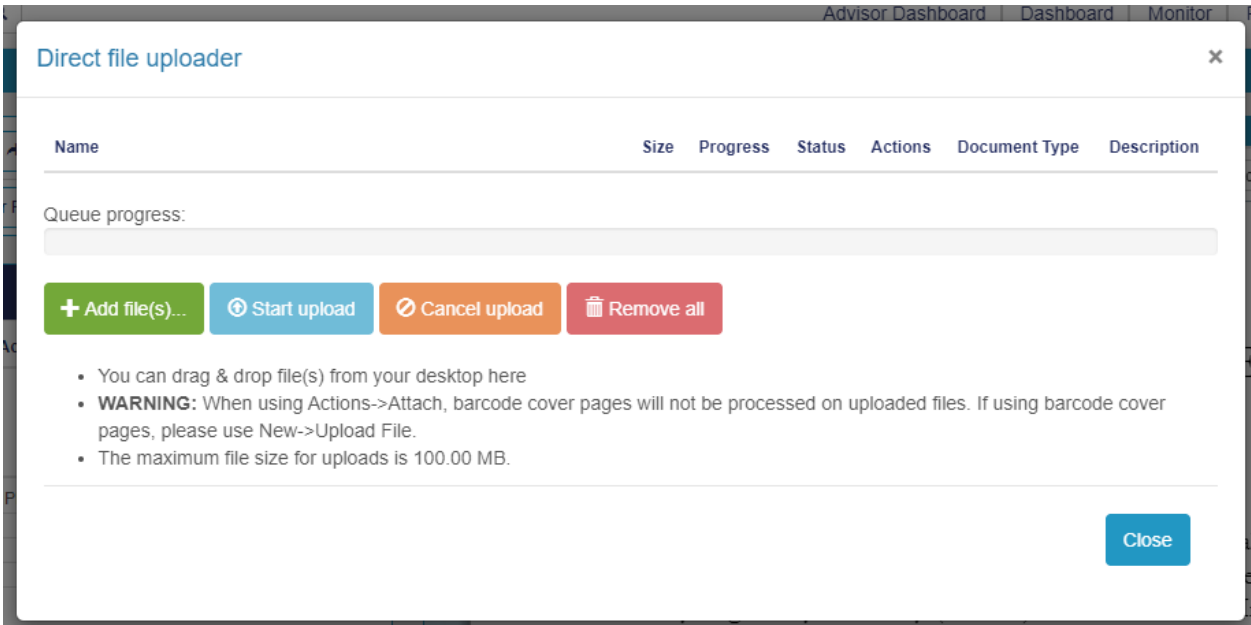
The Reassign button can be used if another user needs to complete actions within the Work Item such as filling in information on the forms.



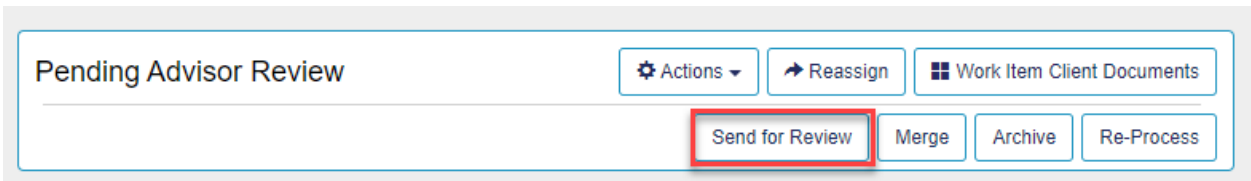
Clicking the Reassign button will open a pop-up where you can type in and select the user ID that you want to reassign the task to. After clicking Complete, it will show in their pool of work items.



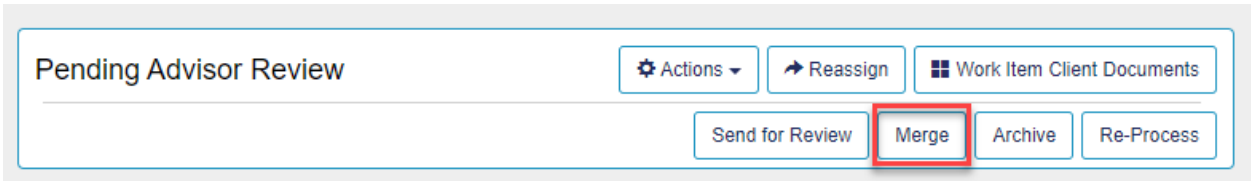
Work Item Client Documents opens the Direct File Uploader allowing you to load forms into the Work Item. This will upload an unindexed item to the client Work Item Documents. It will not read documents with Barcode Pages. Barcoded documents should only be uploaded through New – Upload File.



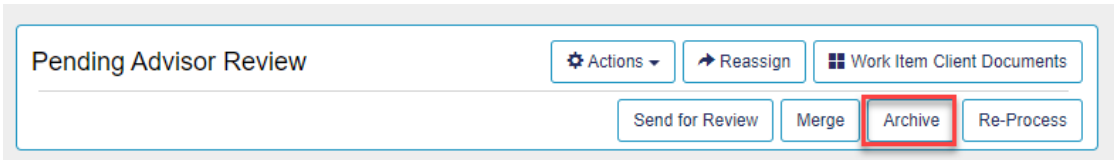
The Send for Review button is used to send the Work Item to the next task in the workflow.



The Merge button is used to Merge the Work Item to another existing Work Item. All documents will consolidate to the one Work Item. See the Merging Work Items reference guide for instructions.



The Archive button will Archive the Work Item and take it out of the workflow. There is no ability to delete a Work Item. Archive is the process used when the Work Item is no longer needed.



When clicking the Archive button, a warning message will appear that you are closing the Work Item. To continue, check the Ignore Warnings box and click Archive again.

You are about to close this work item and archive it to the Client Subfolder. Do you wish to continue?

Pending Advisor Review

Actions

Reassign

Work Item Client Documents

☒ Ignore Warnings

Send for Review

Merge

Archive

Re-Process

The Re-Process button should generally not be used.

Pending Advisor Review

Actions

Reassign

Work Item Client Documents

Send for Review

Merge

Archive

Re-Process

Client Work Item Section

This section contains information about the Work Item. To view additional information about the advisor(s) assigned to the Work Item, click the down arrow on the left.

Client Work Item

WI NotesGet Jcore Data

Client Account										
Work Item ID	Work Item Priority	Request Type	Account #	Client Folder Group	Client Folder Last Name	Client Folder First Name	Client Folder Company Name	Client Folder SSN Masked	Client Folder Rep Code	
<input checked="" type="checkbox"/>	90136	New Account		CLIENT HOUSEHOLD	CLIENT	PRIMARY		XXXXX9999	BD123	
									D22	
									PS003	
									PS123	
									QA123	

Clicking WI notes will display any notes added to the Work Item. This is especially helpful in viewing NIGO reasons.

Client Work Item

WI NotesGet Jcore Data

Client Account										
Work Item ID	Work Item Priority	Request Type	Account #	Client Folder Group	Client Folder Last Name	Client Folder First Name	Client Folder Company Name	Client Folder SSN Masked	Client Folder Rep Code	
90136	New Account			CLIENT HOUSEHOLD	CLIENT	PRIMARY		XXXXX9999	BD123	
									D22	
									PS003	
									PS123	
									QA123	

Get Jcore Data button allows you to search for an existing client in jaccomo and retrieve additional client information for use in completing forms. See Using Existing Client Data from jaccomo in Docupace reference guide for details on this process.

Client Work Item

WI Notes

Get Jcore Data

Work Item ID	Work Item Priority	Request Type	Account #	Client Folder Group	Client Account				
					Client Folder Last Name	Client Folder First Name	Client Folder Company Name	Client Folder SSN Masked	Client Folder Rep Code
90136	New Account			CLIENT HOUSEHOLD CLIENT	PRIMARY			XXXXX9999	BD123
									D22
									PS003
									PS123
									QA123

When hovering over the Work Item, three icons appear.

Client Work Item

WI Notes

Get Jcore Data

Work Item ID	Work Item Priority	Request Type	Account #	Client Folder Group	Client Account				
					Client Folder Last Name	Client Folder First Name	Client Folder Company Name	Client Folder SSN Masked	Client Folder Rep Code
90136	New Account			CLIENT HOUSEHOLD CLIENT	PRIMARY			XXXXX	<div>Details</div>
									D22
									PS003
									PS123
									QA123

The pencil icon will open the Work Item Details where you can view information like Event History for the Work Item, NIGO reasons and Notes History. This is also where you can go to remove a form from the Work Item.

Dashboard / Work Item #90136 / Client Work Item #90136 / Details

Save

Save and Close

Cancel

Client Work Item

Details

Client Account

Event History

Attached Documents

eSign Transaction

NIGO Reason Codes

Reject Reason Codes

Memo Notes History

Advisor Notes History

Request Type History

Entity

Request Type

New Account

Merge into Work Item Number

Draft NIGO Subject

Draft NIGO Email

Draft Reject Subject

Draft Reject Email

Request Status

Indexed

SLA Status

SLA Start Time

Apr 14, 2021 11:02:53 AM

SLA Stop Time

Error Description

Documents added on 04/14/21

Work Item Priority

Work Item Priority

Last Notes

Assigned Processor

The book icon opens the client account details where you can access the client folder, subfolders and documents that are part of the Work Item.

Dashboard / Work Item #90136 / Client Subfolder #249893

← Back

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					BDRIA		Person	Active	becca_metz	CLIENT HOUSEHOLD	
				D22											
				PS903	REP3	PS	XXXXX3333								
				PS123	REP	PS	XXXXX4444	PS1							
				QA123	REP	QA	XXXXX5555	QA1							

Client Subfolder

Starting Point

Barcode

Client Subfolder										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 - Retail	PERSHING				PRIMARY	CLIENT		PS903	REP3	PS	XXXXX3333		rammock

Client Documents

Add New

Stamp

Combine & Print

Merge

Create WI

Document Type				Subfolder												Description	Last Note	Document ID	Creation Date	Number of Pages	User	Work Item
<input type="checkbox"/>	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							
✓ <input type="checkbox"/>	Account Maintenance	1	RECOMMENDATION DOCUMENTATION SUPPLEMENT		CLIENT HOUSEHOLDCLIENT	PRIMARY			XXXXX9999	BD123												
									D22													
									PS903	REP3	PS	XXXXX3333		PS903	REP3	PS	XXXXX3333		249892	04/14/21 11:02 AM	3	rammock90136
									PS123	REP	PS	XXXXX4444	PS1									
									QA123	REP	QA	XXXXX5555	QA1									
✓ <input type="checkbox"/>	Account Maintenance	1	FORM CRS		CLIENT HOUSEHOLDCLIENT	PRIMARY			XXXXX9999	BD123												
									D22													
									PS903	REP3	PS	XXXXX3333		PS903	REP3	PS	XXXXX3333		249891	04/14/21 11:02 AM	4	rammock90136
									PS123	REP	PS	XXXXX4444	PS1									
									QA123	REP	QA	XXXXX5555	QA1									

Work Item Client Documents Section

The Work Item Client Documents section contains all of the forms that are part of the Work Item. By clicking on any one of the forms, you can begin the process of editing or adding data to the form.

Work Item Client Documents

Add

Stamp

Barcode

Combine & Print

Merge

eSign

Create WI

Document Type				Subfolder					
	Name	Priority	Form Name	Account #	Client Folder Group	Client Folder Last Name	Client Folder First Name	Client Folder Company Name	
<input type="checkbox"/>									
▼ <input type="checkbox"/>	Account Maintenance		FORM CRS		CLIENT HOUSEHOLD CLIENT		PRIMARY		
▼ <input type="checkbox"/>	Account Maintenance		RECOMMENDATION DOCUMENTATION SUPPLEMENT		CLIENT HOUSEHOLD CLIENT		PRIMARY		
▼ <input type="checkbox"/>	Account Maintenance		BROKERAGE ACCOUNT ADDENDUM		CLIENT HOUSEHOLD CLIENT		PRIMARY		
▼ <input type="checkbox"/>	Form		CUSTOMER ACCOUNT FORM		CLIENT HOUSEHOLD CLIENT		PRIMARY		
▼ <input type="checkbox"/>	Unindexed				CLIENT HOUSEHOLD CLIENT		PRIMARY		

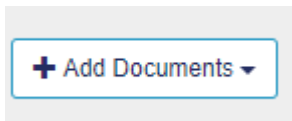
Showing 1 to 5

Previous

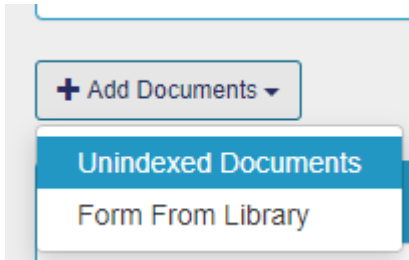
Next

Add Documents

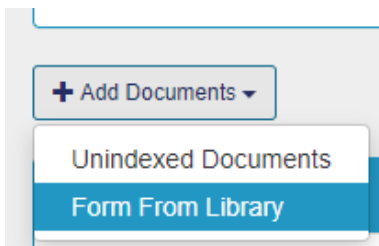
You can also add documents by clicking on the Add Documents button.



Unindexed Documents allows you to add documents from outside Docupace. This would be ancillary documents like a death certificate, trust document, client statement, etc. You will not be able to edit these forms in Docupace.



Form From Library will take you to the Form Library Search page.



Here you can search for and add vendor or PCS forms to the Work Item.

Mondor / Work Item #90136 / Select

Default [v] Clear Refresh

☐ Select ☒ Cancel

Show [15] entries

	Company	Form Type	Form Name	Form Category	Form Provider	Version Date	Revision Date	Pages	GUID	Major Revision	Minor Version	Description	Form Number	State	Enable PDF Formatting	Enable PDF Calculations
<input type="checkbox"/>	PERSHING		529 PLANS ACH AUTHORIZATION AGREEMENT	College Planning	Quikl	06/01/2013	12/06/2013	2	29609-QUIK00000000000000000000000000000000	0	0		FRM-ACH-529-06-13	AK AL AP AR AZ		
<input type="checkbox"/>	PERSHING	Account Update	ACH AUTHORIZATION AGREEMENT INS	Account Admin	Quikl	02/01/2020	05/14/2020	4	441-QUIK00000000000000000000000000000000	0	0	Used to establish electronic transfer between a Pershing retail brokerage account and a client bank account.	FRM-ACH-	AK AL AP AR AZ		



Revision Date MM/DD/YYYY

Version Date MM/DD/YYYY

Pages From To

GUID

To add a form, click the check box next to the form and click the Select button.

<div> <div>✓ Select</div> <div>✕ Cancel</div> <div>Create New</div> <div>Add to Favorites</div> </div> <div>Show 15 entries</div>																
<input type="checkbox"/>	Company	Form Type	Form Name	Form Category	Form Provider	Version Date	Revision Date	Pages	GUID	Major Revision	Minor Version	Description	Form Number	State	Enable PDF Formatting	Enable PDF Calculations
<input type="checkbox"/>	 PERSHING		529 PLANS ACH AUTHORIZATION AGREEMENT	College Planning	Quikl	06/01/2013	12/06/2013	2	29609-QUIK00000000000000000000000000000000	0	0		FRM-ACH-529-06-13	AK AL AP AR AZ	<input type="checkbox"/>	
<input checked="" type="checkbox"/>	 PERSHING	Account Update	ACH AUTHORIZATION AGREEMENT INS	Account Admin	Quikl	02/01/2020	05/14/2020	4	441-QUIK00000000000000000000000000000000	0	0	Used to establish electronic transfer between a Pershing retail brokerage account and a client bank account.	FRM-ACH	AK AL AP AR AZ	<input checked="" type="checkbox"/>	

The form now appears in the Work Item Client Documents.


Work Item Client Documents								
Add Stamp Barcode Combine & Print Merge eSign Create WI								
Document Type				Subfolder				
<input type="checkbox"/>	Name	Priority	Form Name	Account #	Client Folder Group	Client Folder Last Name	Client Folder First Name	Client Folder Company Name
<input checked="" type="checkbox"/>	Account Maintenance		FORM CRS		CLIENT HOUSEHOLD CLIENT		PRIMARY	
<input checked="" type="checkbox"/>	Account Maintenance		RECOMMENDATION DOCUMENTATION SUPPLEMENT		CLIENT HOUSEHOLD CLIENT		PRIMARY	
<input checked="" type="checkbox"/>	Form		ACH AUTHORIZATION AGREEMENT INS		CLIENT HOUSEHOLD CLIENT		PRIMARY	
<input checked="" type="checkbox"/>	Account Maintenance		BROKERAGE ACCOUNT ADDENDUM		CLIENT HOUSEHOLD CLIENT		PRIMARY	
<input checked="" type="checkbox"/>	Form		CUSTOMER ACCOUNT FORM		CLIENT HOUSEHOLD CLIENT		PRIMARY	

The Required Forms and Optional Forms sections appear below the Work Item Documents. Documents in the Required Forms section cannot be edited. This is for reference only.

Required Forms		
Form Name	Form Number	Description
BROKERAGE ACCOUNT ADDENDUM	Addendum for Brokerage Accounts	
CUSTOMER ACCOUNT FORM	PCS Customer Account Form	
FORM CRS		PCS Client Relationship Summary 06012020.pdf
RECOMMENDATION DOCUMENTATION SUPPLEMENT		
Showing 1 to 4		Previous Next

Optional Forms		
Form Name	Form Number	Description
ACCOMMODATION TRANSFER FORM	FRM-ACCOMTA-11-07	
ACCOUNT REGISTRATION DEFINITIONS		
ACCOUNT TRANSFER	FRM-TSFR	
ACH AUTHORIZATION AGREEMENT	FRM-ACH	Used to establish electronic transfer between a Pershing retail brokerage

Forms can be added from the Optional Forms section as well by hovering over the form and clicking the plus sign. That optional form will be added to the Work Item Client Documents.

Optional Forms		
Form Name	Form Number	Description
ACCOMMODATION TRANSFER FORM	FRM-ACCOMTA-11-07	
ACCOUNT REGISTRATION DEFINITIONS		
ACCOUNT TRANSFER	FRM-TSFR	
ACH AUTHORIZATION AGREEMENT INS	FRM-ACH	Used to establish electronic transfer between a Pershing retail brokerage account and a client bank account.
CORESTONE ACCOUNT AGREEMENT	ECAGR-PER-CSTON	
CORESTONE ELECTRONIC APPLICATION	APP-CRST	Not to be used if a Paper Check Book is needed
FEDERAL FUNDS WIRE REQUEST		
FEE SCHEDULE ? CLIENT BROKERAGE		
INTERESTED PARTIES		
JOURNAL REQUEST		
LOW-PRICED STOCK ACKNOWLEDGEMENT		
MARGIN AGREEMENT	ECAGR-PER-CA	Use this form to establish a CreditAdvance account for margin trading (if approved)

Form Completion Section

This is the section where you will complete the documents on the Work Item.

Document #249890 - CUSTOMER ACCOUNT FORM

Page: 1 of 3

Automatic Zoom

PRIVATE CLIENT SERVICES
MEMBER FINRA, SIPC
A Registered Investment Advisor

Customer Account Form

Rep Name: PS REP3
Rep Number: PS003
Acct Number:

☐ I have received and reviewed the PCS Best Interest Disclosure and Account Type definitions at https://pcsb.net/Regulation_Best_Interest and discussed my investment needs with my Investment Professional prior to selecting the account type listed below.

Select One: ☒ New Account ☐ Update Account

Select One: ☐ Direct ☒ Brokerage ☐ Advisory

Account Type (Select ONE)

☐ Individual ☐ Inherited IRA ☐ SIMPLE IRA ☐ Trust ☐ Coverdell / ESA
☐ Joint WROS (default) ☐ IRA ☐ 401(k) / PSP ☐ Estate ☐ Corporation
☐ Joint TIC ☐ Rollover IRA ☐ Individual (k) ☐ 529 ☐ Non-Profit Organization
☐ Joint Community Prop ☐ Roth IRA ☐ SEP IRA ☐ UTMA / UGMA (state of gift) ☐ Other: _____
☐ TOD ☐ Roth Conversion IRA ☐ 403(b)

Account Registration

Name (Primary Owner / Trust Name / Entity Name)				Name (Joint Owner / Trustee / POA / Executor / Authorized Person)			
PRIMARY CLIENT							
Social Security # or Tax ID#		Marital Status		Date of Birth/Trust			
777889999				01/01/1960			
Legal Street Address (No P.O. Box)				Legal Street Address (No P.O. Box)			
987 APPLE DR							
City		State		Zip			
ANYTOWN		IA		51025			
Mailing Address (if different)				Mailing Address (if different)			
123 ELM ST, ANYTOWN, IA 51025							
Email Address		Country of Citizenship		Email Address		Country of Citizenship	
primary.client@gmail.com		USA					
Home Phone Number		Business Phone Number		Cell Phone Number			
7123682594		7123681234		7123682160			

Employment Data

By clicking on the form in the Work Item Client Documents section, you will bring up the form on the right side. You can tab or cursor through the form to complete all of the required fields. The blue arrows can be used to bring in information from other forms or to clear the field.

STEP 1. ACCOUNT INFORMATION

Brokerage Account Number	Brokerage Account Holder's Name(s) PRIMARY CLIENT
--------------------------	--

STEP 2. BANK/CREDIT UNION ACCOUNT

- ☐ Set up new instructions.
☐ Replace existing instructions.

ABA Number		
Bank/Credit Union Name		
City	State	Zip/Postal Code

Once you have completed all of the appropriate fields on the form, be sure to click save at the top.



The Customer Account Form, BD Change form and Brokerage Account Addendum have validations built into them that will not allow you to eSign or send the Work Item for review until they are all satisfied. When clicking save on these forms, the validations will be checked, and you will receive a warning for any fields that still need to be completed. Red warnings are required fields and yellow warnings are optional and may or may not apply to the client or account.

Document #249890 - CUSTOMER ACCOUNT FORM

Page: 1 of 3

Automatic Zoom

Rep Name: PS REP3
Rep Number: PS003
Acct Number:

☒ I have received and reviewed the PCS Best Interest Disclosure and Account Type definitions at https://pcsbd.net/Regulation_Best_Interest and discussed my investment needs with my Investment Professional prior to selecting the account type listed below.

Select One: ☒ New Account ☐ Update Account Select One: ☐ Direct ☒ Brokerage ☐ Advisory

Account Type (Select ONE)

<input checked="" type="checkbox"/> Individual	<input type="checkbox"/> Inherited IRA	<input type="checkbox"/> SIMPLE IRA	<input type="checkbox"/> Trust
<input type="checkbox"/> Joint WROS (default)	<input type="checkbox"/> IRA	<input type="checkbox"/> 401(k) / PSP	<input type="checkbox"/> Estate
<input type="checkbox"/> Joint TIC	<input type="checkbox"/> Rollover IRA	<input type="checkbox"/> Individual (k)	<input type="checkbox"/> 529
<input type="checkbox"/> Joint Community Prop	<input type="checkbox"/> Roth IRA	<input type="checkbox"/> SEP IRA	<input type="checkbox"/> UTMA / UGMA (state of gift)
<input type="checkbox"/> TOD	<input type="checkbox"/> Roth Conversion IRA	<input type="checkbox"/> 403(b)	<input type="checkbox"/> Coverdell / ESA
			<input type="checkbox"/> Corporation
			<input type="checkbox"/> Non-Profit Organization
			<input type="checkbox"/> Other:

Account Registration

Name (Primary Owner / Trust Name / Entity Name)				Name (Joint Owner / Trustee / POA / Executor / Authorized Person)			
PRIMARY CLIENT							
Social Security # or Tax ID#		Marital Status		Date of Birth/Trust			
777889999				01/01/1960			
Legal Street Address (No P.O. Box)				Legal Street Address (No P.O. Box)			
987 APPLE DR							
City		State		Zip			
ANYTOWN		IA		51025			
Mailing Address (if different)				Mailing Address (if different)			
123 ELM ST, ANYTOWN, IA 51025							
Email Address		Country of Citizenship		Email Address		Country of Citizenship	
primary.client@gmail.com		USA					
Home Phone Number		Business Phone Number		Cell Phone Number		Home Phone Number	
7123682594		7123681234		7123682160			

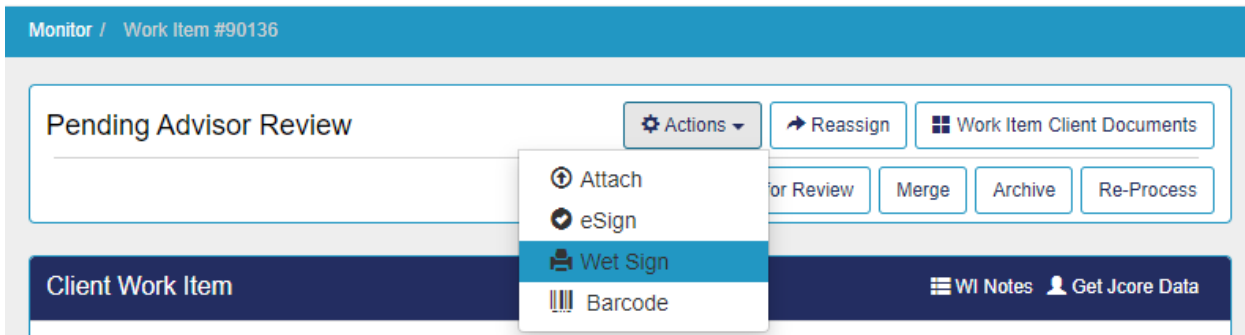
Employment Data

<input checked="" type="checkbox"/> Employed	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired	<input type="checkbox"/> Other	<input type="checkbox"/> Employed	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired	<input type="checkbox"/> Other
Occupation				Occupation			
CUSTODIAL SERVICES							
Years				Years			
5							
Employer Name		Street Address		City		State	
ABC FINANCIAL		123 COMPANY LN, BUSINESSVILLE, IA 51025		Businessville		IA	
Employee, or related to employee, of PCS?				Employee, or related to employee, of PCS?			
If yes, name of relative:				If yes, name of relative:			
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
Employee, or related to employee, of another Broker/Dealer?				Employee, or related to employee, of another Broker/Dealer?			
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			

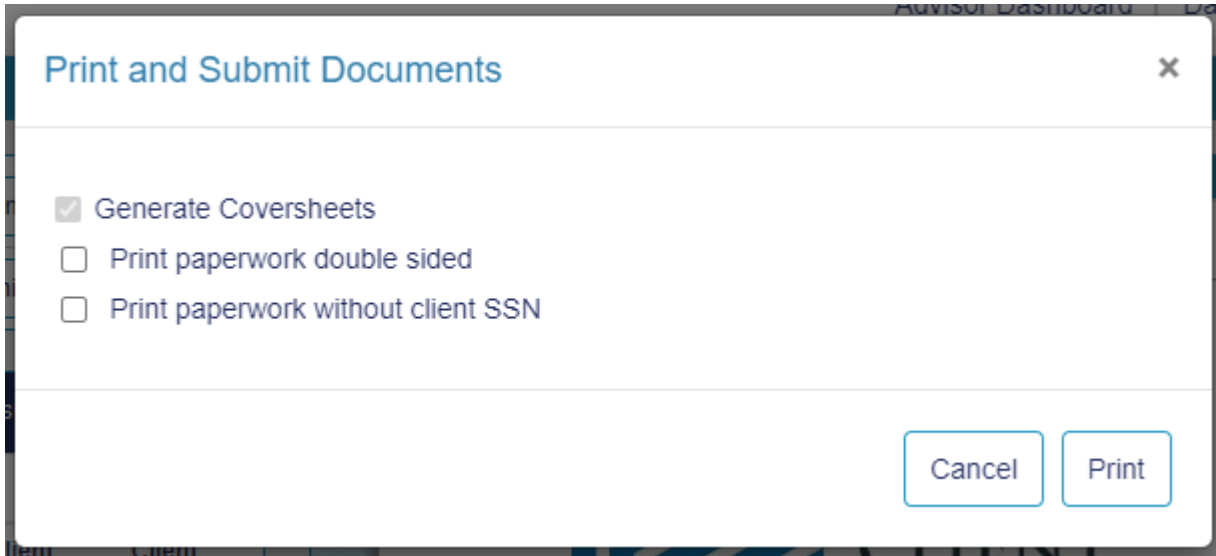
Once all forms have been completed and any additional documents have been added, you can begin the signature process.

Wet Sign

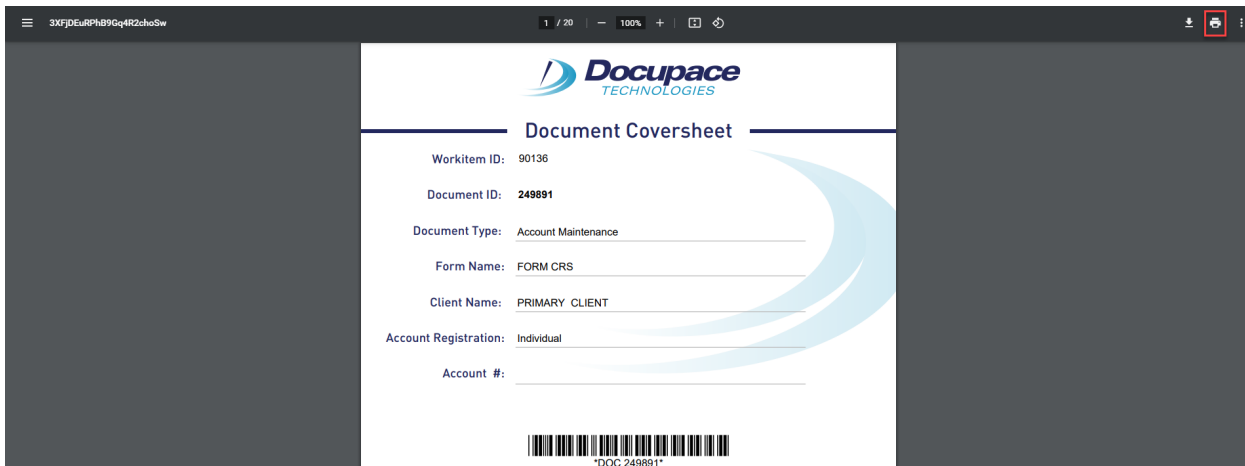
The wet sign process allows the client to physically sign all of the documents and then upload the completed forms back into Docupace using barcode pages. To begin the wet sign process, click the Actions button – Wet Sign.



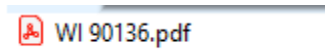
A popup box will open where you can print all of the documents with barcoded coversheets. Click the Print button.



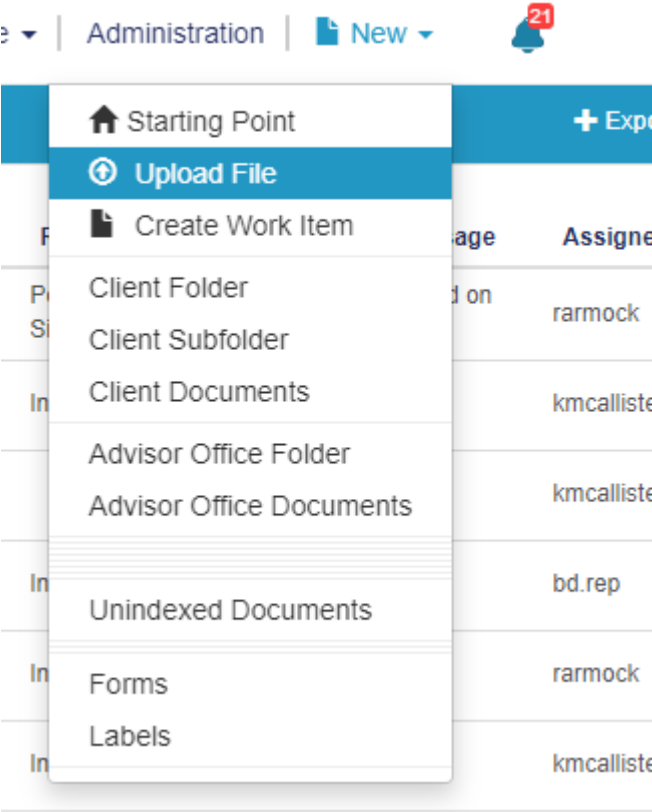
A separate screen will open where you can download or print the PDFs generated. Click the printer icon in the upper-right corner.



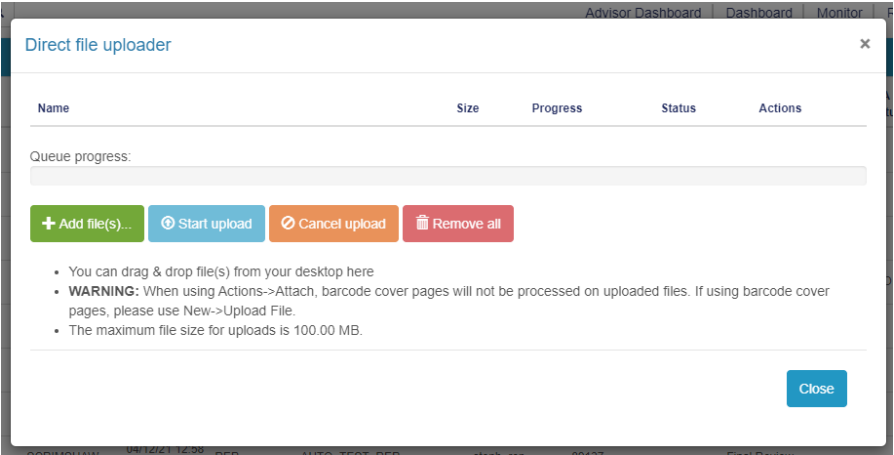
Once you have printed the documents and they have been wet signed by the client and representative, make sure the barcode pages and the document pages are in proper order. Then, scan and save them to your computer as one PDF document.



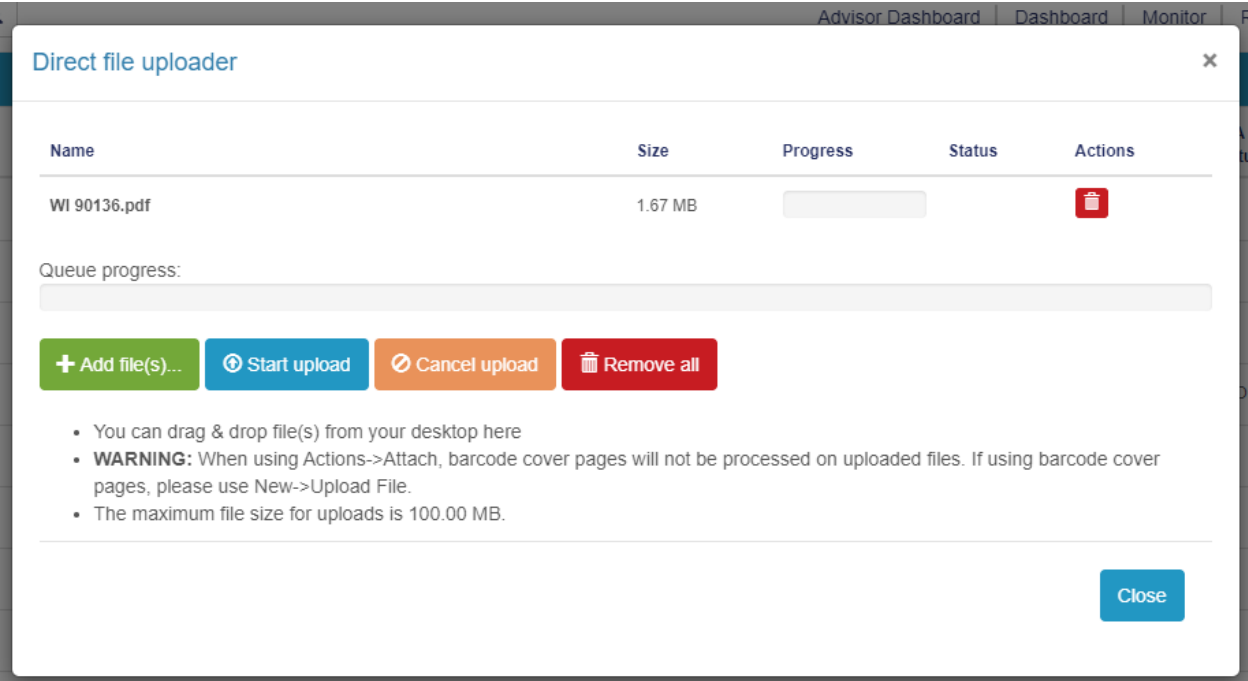
Click New – Upload File. Please note that this is the only place you can upload files and have Docupace recognize the barcode pages. Do not upload barcoded files directly from the Work Item itself.



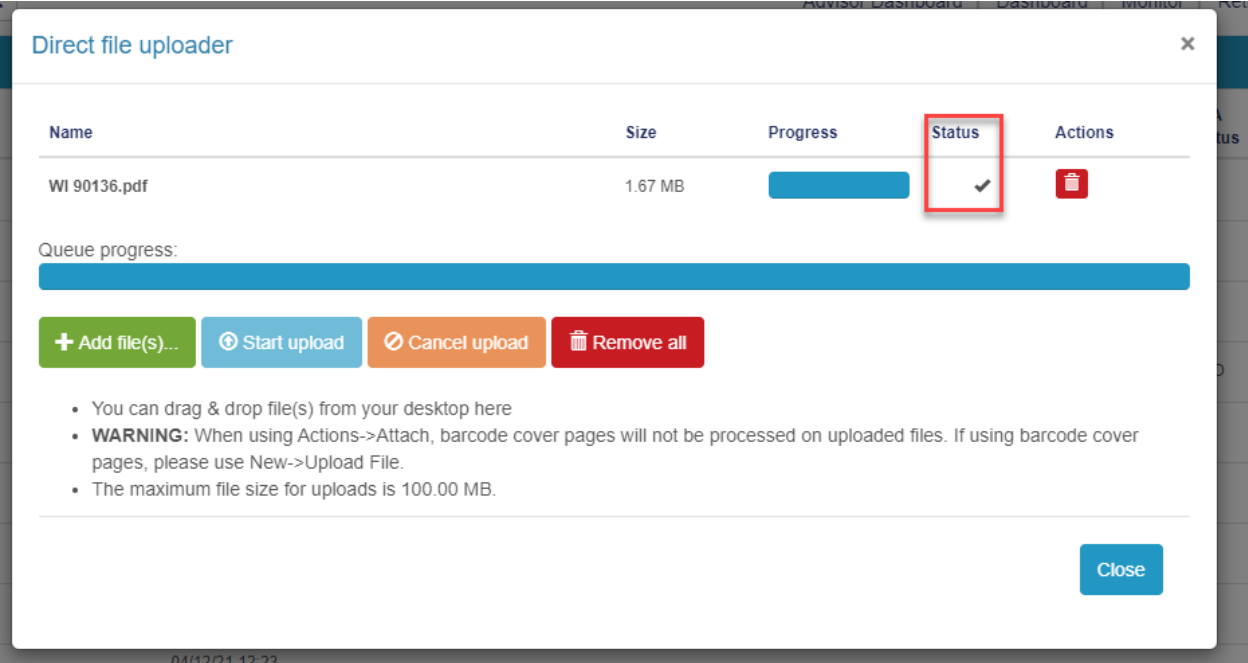
The Direct File Uploader screen will appear. You can drag and drop the wet signed PDF from your computer into the box to upload or you can click the Add files button to select them from your computer’s files.



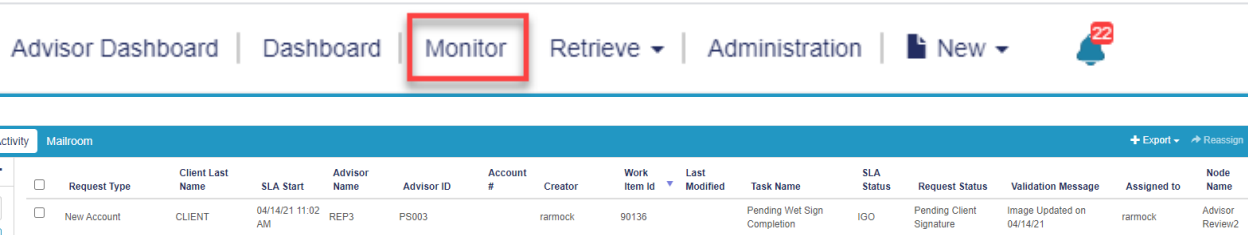
When you see the file name and size appear in the box, click Start Upload.



Once successfully uploaded, a check box will appear under the Status column.



You can view the status of the Work Item by going to Monitor.



After a couple of minutes, the Task Name in the Work Item will change from Pending Wet Sign Completion to Final Review. Click on the Work Item to review the uploaded documents.

<input type="checkbox"/>	Request Type	Client Last Name	SLA Start	Advisor Name	Advisor ID	Account #	Creator	Work Item Id	Last Modified	Task Name	SLA Status	Request Status	Validation Message	Assigned to	Node Name
<input type="checkbox"/>	New Account	CLIENT	04/14/21 11:02 AM	REP3	PS003		rammock	90136		Final Review	IGO	Signatures Received	Image Updated on 04/14/21	rammock	Advisor Review3

Once you have reviewed the documents in Final Review, you can click Send for Review. The Work Item will then move to Field OSJ or Principal Review for review and approval.

Final Review

⚙️ Actions ▾

➡️ Reassign

📄 Work Item Client Documents

Send for Review

Send Back to Pending Advisor Review for eSign

eSign

The eSign process allows the client to electronically sign either in person or remotely using integrated DocuSign. The eSigned documents are returned back into Docupace at the end of the signing order. To begin the eSign process, click the Actions button – eSign.

⚙️ Actions ▾

📎 Attach

🔑 eSign

🖨️ Wet Sign

📄 Barcode

In the eSign details screen, click on the advisor and the client signers to verify their information.

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
<input type="checkbox"/>	Primary Signer	PRIMARY	CLIENT	primary.client@gmail.com	eSign - Remote	Draft	SMS	
Showing 1 to 2 Previous Next								

When clicking on each of the signers, you want to verify the email address and the cell phone number for SMS authentication.

The screenshot shows the 'Details' screen for a signer. The form is divided into two columns. The left column contains fields for First Name (PS), Middle Name, TIN/SSN (333003333), Signer Type (Advisor 1), Signer Auth Mode (SMS), Address, State, Order Index (9), eSign Date/Time (Apr 19, 2021 12:56:03 PM), and IP Address. The right column contains fields for Last Name (REP3), Date Of Birth (01/01/1990), Email (test3@ps.com), Sign Mode (eSign - Remote), Phone for Authentication (7123682594), City, Zip Code, eSign Status (Draft), and eSign Status Notes. The Email and Phone for Authentication fields are highlighted with red boxes.

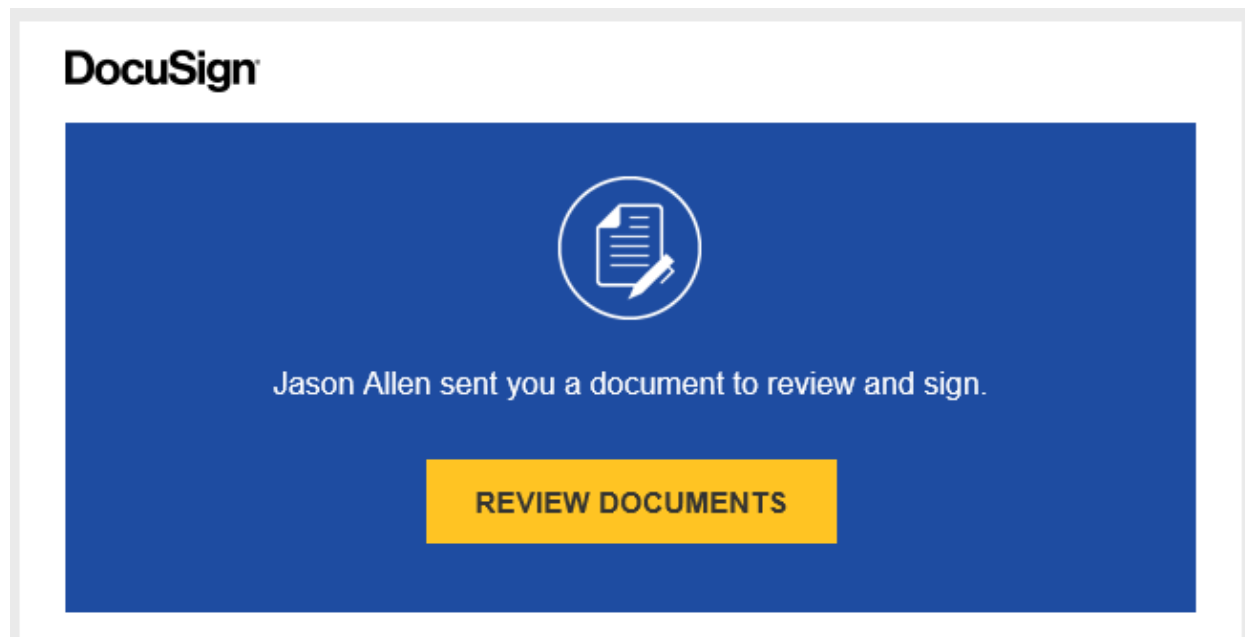
If you make any changes, be sure to click Save and Close before leaving the details screen.

The screenshot shows the action bar at the bottom of the details screen. It contains five buttons: Next (with a right arrow), Save (with a download icon), Save and Close (with a download icon and a close icon), and Cancel (with an X icon). The 'Save and Close' button is highlighted with a red box.

Continue to verify all signers. Once the emails and cell phone numbers are verified, click on eSign in the upper right.


The screenshot shows the action bar at the bottom of the details screen. It contains five buttons: Next (with a right arrow), Save (with a download icon), Save and Close (with a download icon and a close icon), eSign (with a circular arrow icon), and Cancel (with an X icon). The 'eSign' button is highlighted with a red box.

You will receive a popup confirmation that the documents have been sent for signature. The client(s) will receive an email from DocuSign. They will click Review Documents to open DocuSign.



After clicking Review Documents, they will be taken to the authentication screen where they will click Send SMS to receive an access code via text.

Security Requests from Sender



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: **EARL HARALDSON**

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

☒ +1 920-202-4581


SEND SMS

CANCEL

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

Once the code is received, they will enter it and click Confirm Code.

Security Requests from Sender



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.

DocuSign will then walk the client(s) through the signature fields and they will click Finish when complete.

Please review the documents below. **FINISH** **OTHER ACTIONS**

START

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (defined below); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions: You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contribution to a qualified plan, annuity, or individual retirement account (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must sign the instructions on page 3.

The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

Sign Here Signature of U.S. person **Required - Sign Here** Date 11/6/2017

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted. Future development s. Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at www.irs.gov/fw9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.*

By signing the filled-out form, you:

- Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
- Certify that you are not subject to backup withholding, or
- Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not

The next signer will receive an email and the process will continue until the advisor has completed their signature through the same process. Once all signatures have been captured, the Work Item will move from Pending eSign Completion to Final Review under the task name. This make take several minutes after the advisor has completed their signature.

BD123	bd.rep	89633	Pending eSign Completion	IGO	Pending Client Signature	0
PS003	rarmock	90136	Final Review	IGO	Signatures Received	Image Updated on 04/14/21

Click on the Work Item to review that all signatures are complete. After reviewing, click on Send for Review to move the Work Item to the approval process.

Final Review

Actions **Reassign** **Work Item Client Documents**

Send for Review **Send Back to Pending Advisor Review for eSign**

Should you need to have the client resign, click on Send Back to Pending Advisor Review for eSign to go through the process again.

Review the Task Name in Monitor to verify where the Work Item is in the review process.

Dashboard Monitor	
ed	Task Name
	Pending Advisor Review
	Field OSJ Review

The New Account workflow process will move through the following Tasks:

Pending Advisor Review – This is the step where documents are added and completed.

Pending Wet Sign Completion – The Work Item is awaiting the wet signatures to be uploaded using the bar code pages.

Pending eSign Completion – The Work Item is awaiting client and/or advisor signatures.

Final Review – Signatures have been received and the Work Item is awaiting final review by the advisor or staff member before sending for approval.

Field OSJ Review – If applicable, the Work Item is awaiting review and approval by the field OSJ.

Principal Review – The Work Item is pending review and approval by a home office principal.

Operations Review – The Work Item is being reviewed by Operations and the account is being established.

Sending to Sponsor – If eligible, the vendor documents are attempting to fax to the sponsor.

Send Failed – The fax to the sponsor has failed and documents should be manually submitted to the sponsor.

Complete – The Work Item is complete.