Opening a New Account

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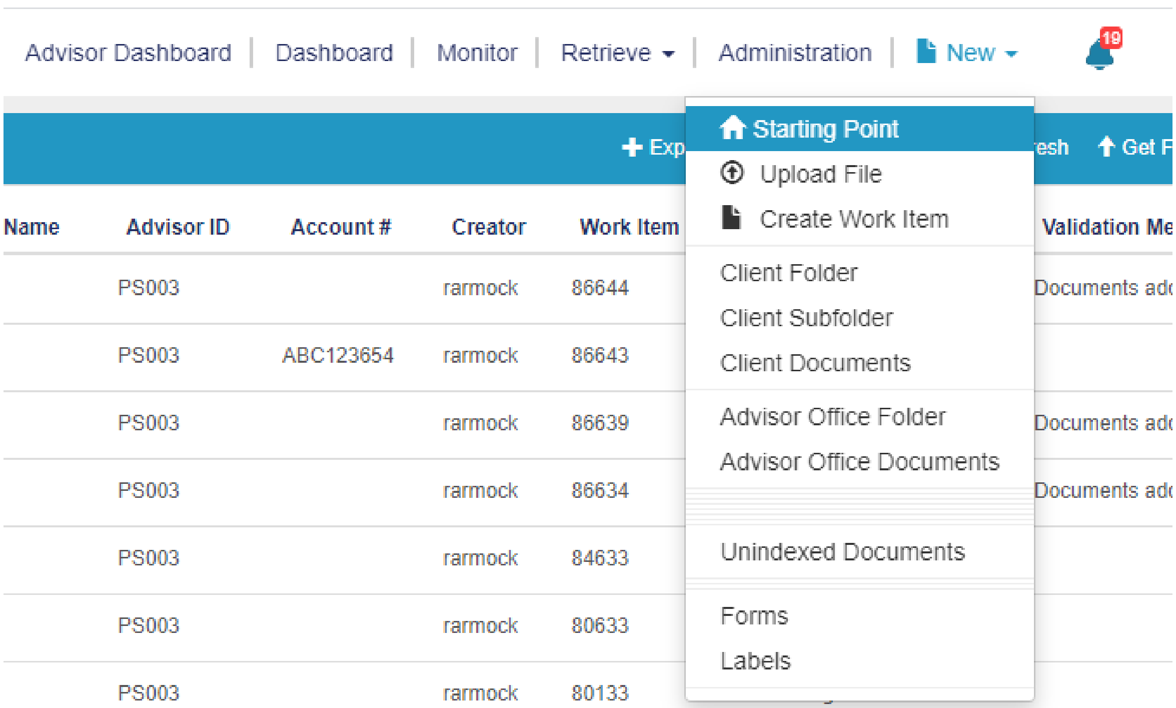
The following walks through the process of opening a new account via Docupace. Many of the steps used in this process are similar for other types of Work Items.

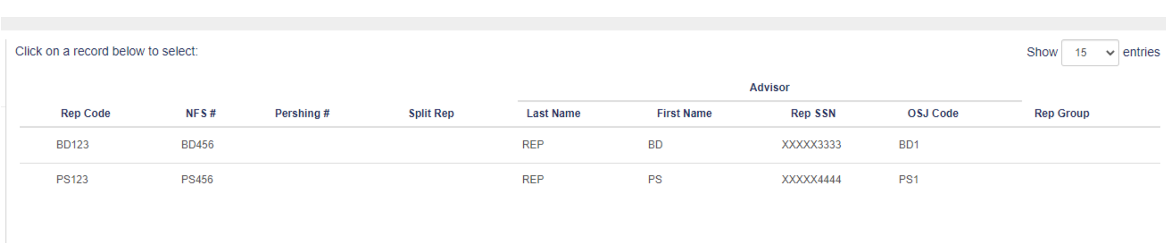
Always Begin with New – Starting Point

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



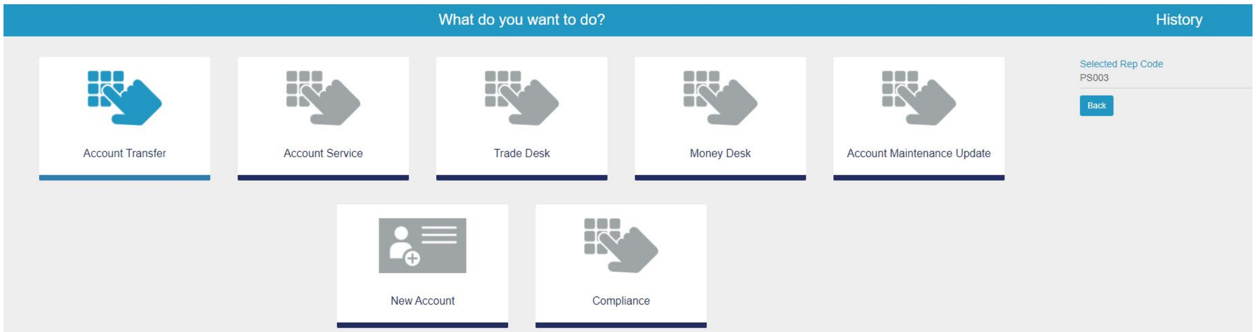
Multiple Rep Codes

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.

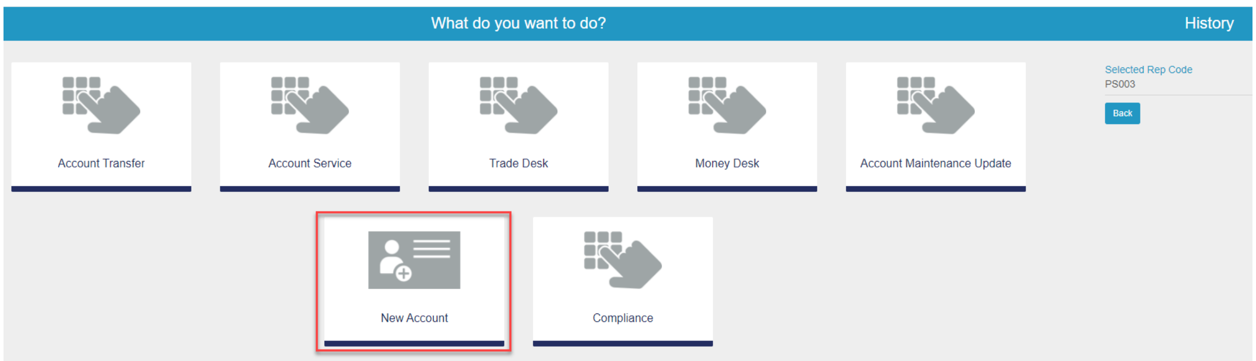


Single Rep Code

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

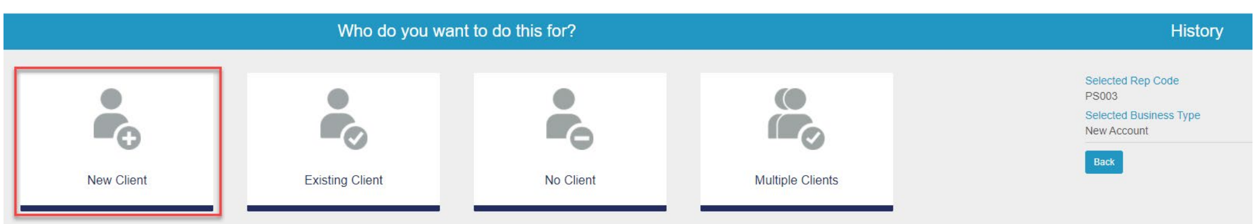


From here, you will select the New Account tile.

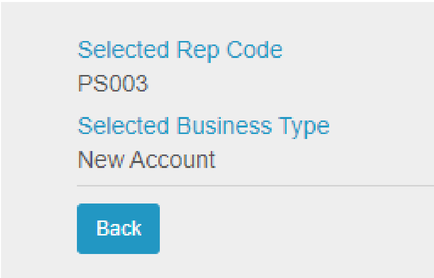


New Client

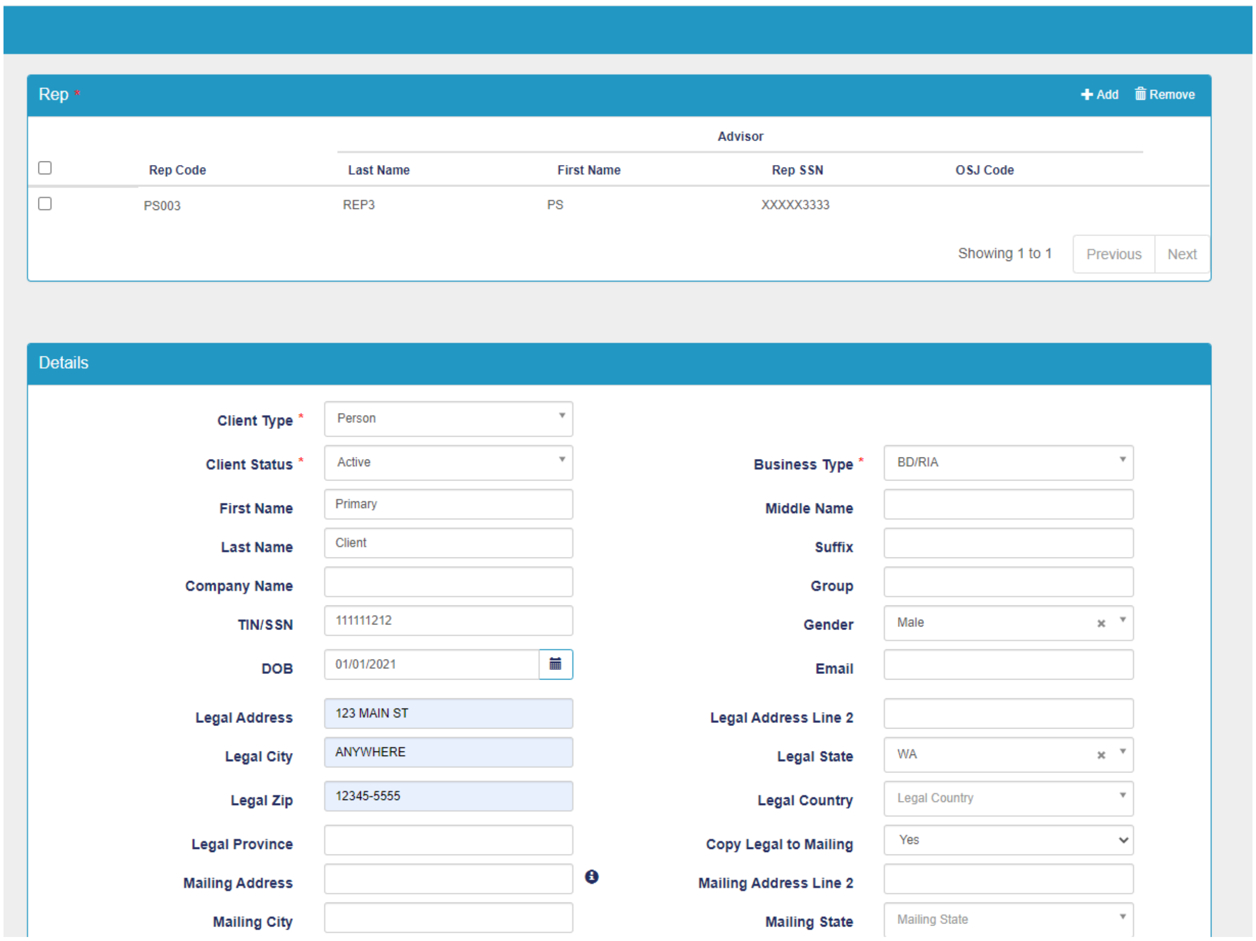
If you are opening an account for a new client that you have not placed any business with before, you will select the New Client tile. If it is an existing client but the client does not have a folder or record in Docupace, you may also select this tile and retrieve client data from jaccomo later in the process (see the Using Existing Client Data from jaccomo 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.



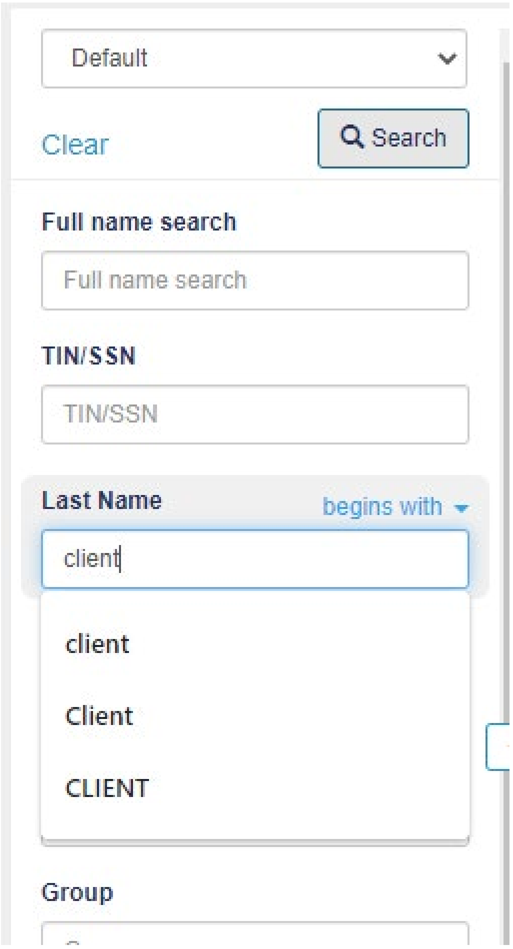
On the next screen, you will enter as much pertinent data as you have for the client.



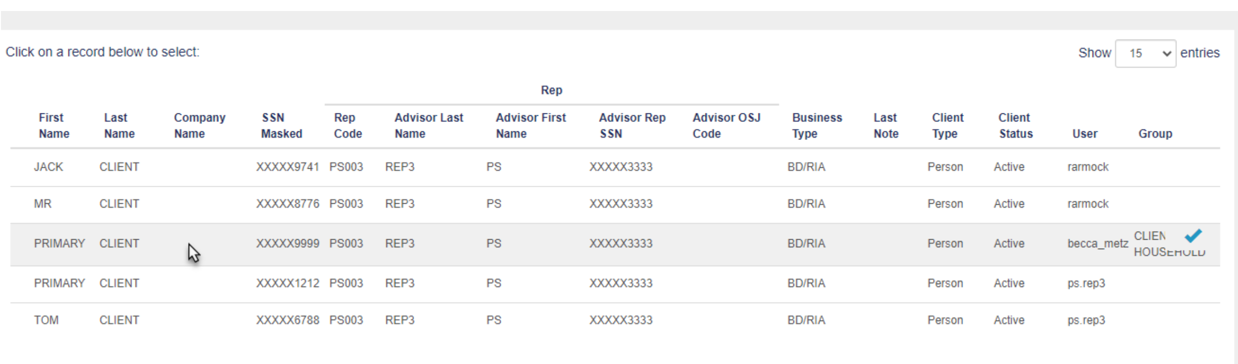
Once complete, click Save in the upper right corner. Proceed to [Sponsor Selection](#).

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.



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

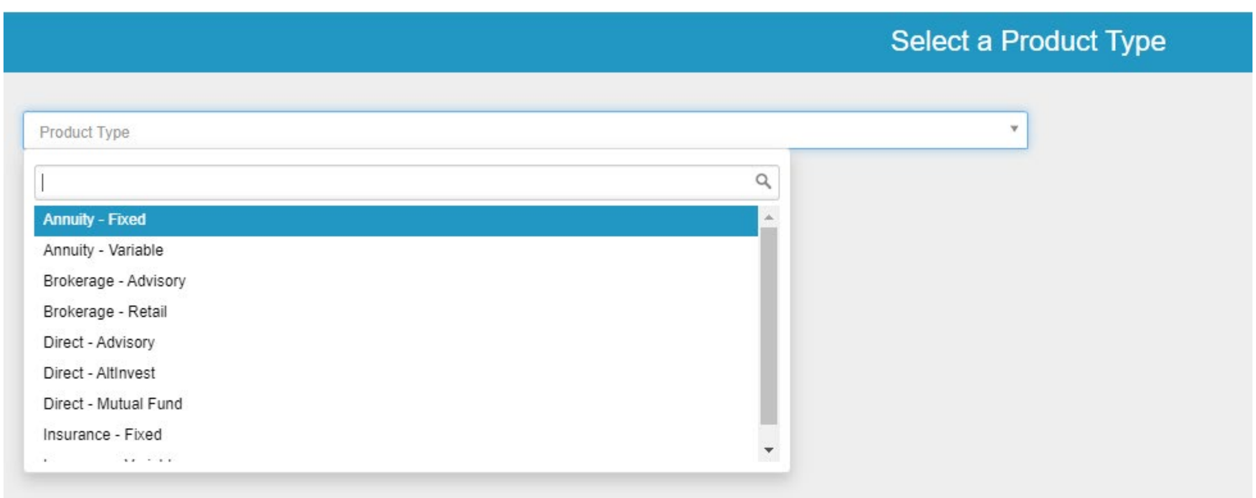
First Name	Last Name	Company Name	SSN Masked	Rep: Rep Code	Rep: Advisor Last Name	Rep: Advisor First Name	Rep: Advisor Rep SSN	Rep: Advisor OSJ Code	Business Type	Last Note	Client Type	Client Status	User	Group
JACK	CLIENT		XXXXX9741	PS003	REP3	PS	XXXXX3333		BD/RIA		Person	Active	rarmock	
MR	CLIENT		XXXXX8776	PS003	REP3	PS	XXXXX3333		BD/RIA		Person	Active	rarmock	
PRIMARY	CLIENT		XXXXX9999	PS003	REP3	PS	XXXXX3333		BD/RIA		Person	Active	becca_metz	CLIEN HOUSEHOLD
PRIMARY	CLIENT		XXXXX1212	PS003	REP3	PS	XXXXX3333		BD/RIA		Person	Active	ps.rep3	
TOM	CLIENT		XXXXX6788	PS003	REP3	PS	XXXXX3333		BD/RIA		Person	Active	ps.rep3	

Sponsor Selection

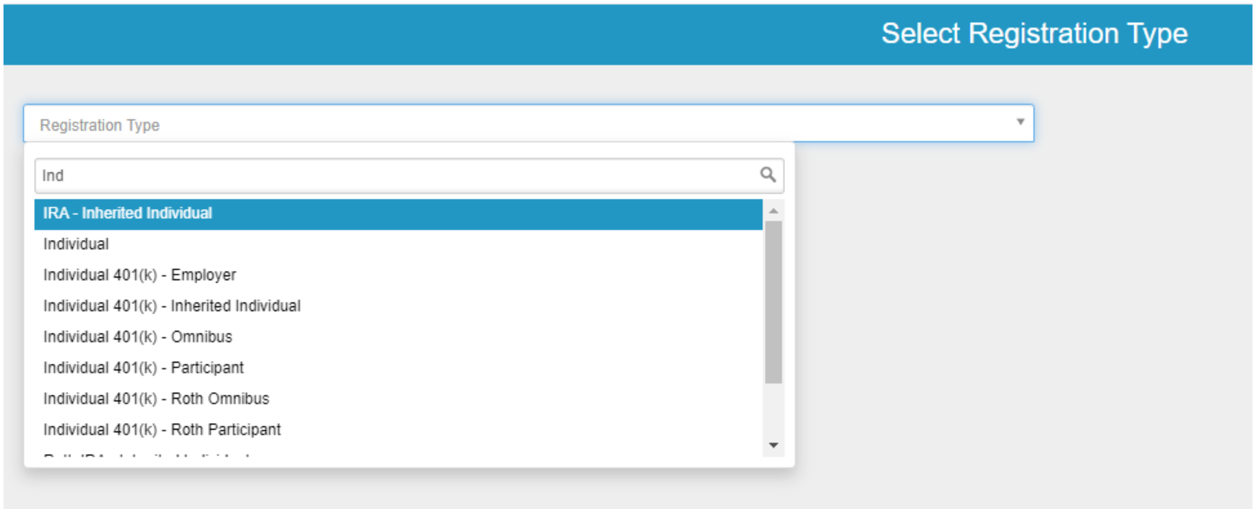
Here you will select the sponsor you are opening the account with. You can begin typing in the Select a Sponsor/Custodian box to narrow down the choices. Click on the Sponsor's box.

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.

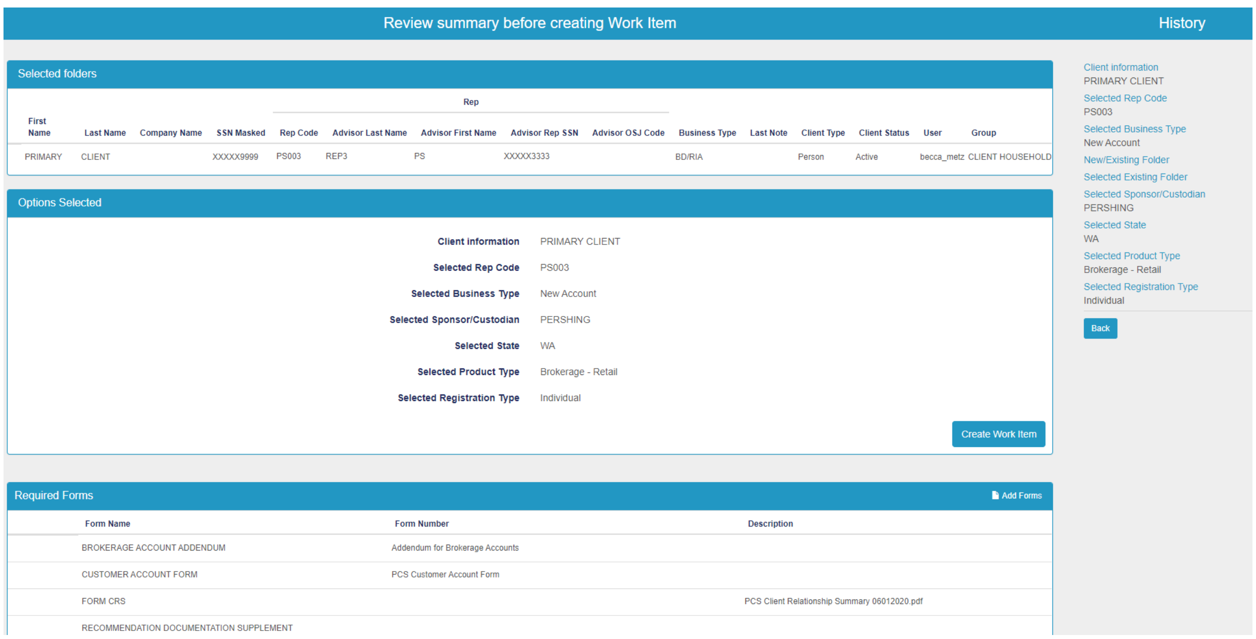
Select the Product Type of the account being opened.



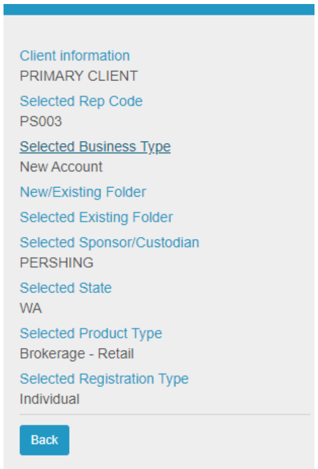
Select the Registration Type. You can type in the search box to narrow down the options.



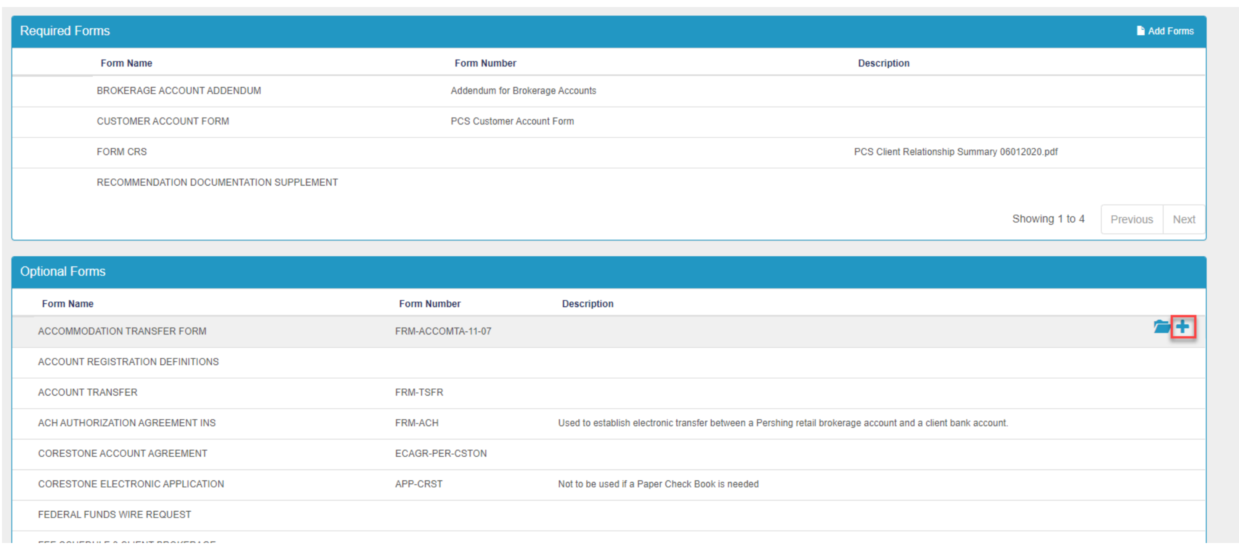
You now can review the Work Item you are about to create. Review the client, rep code, business type, sponsor, product type and registration.



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.



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

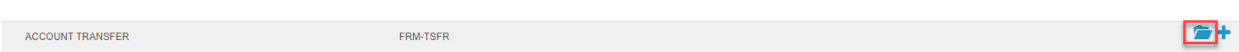
Form Name	Form Number	Description
BROKERAGE ACCOUNT ADDENDUM	Addendum for Brokerage Accounts	
CUSTOMER ACCOUNT FORM	PCS Customer Account Form	
FORM CRS		PCS Client Relationship Summary 06012020.pdf
RECOMMENDATION DOCUMENTATION SUPPLEMENT		

Showing 1 to 4 Previous Next

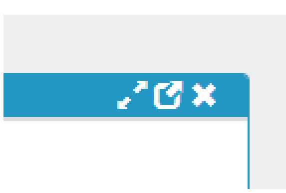
Optional Forms

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		

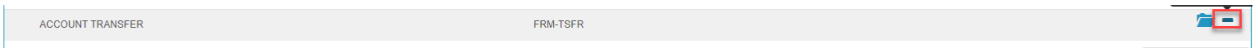
Clicking on the folder next to a form will allow you to preview the form. It will not add it to the Work Item. Note that you cannot enter any data on a form at this point. You must create the Work Item to begin entering data.



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.

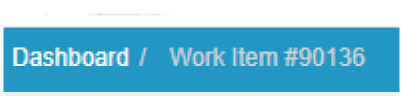


You can add any other additional forms to the Work Item once you have created it including vendor specific or PCS forms.

Creating the Work Item

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

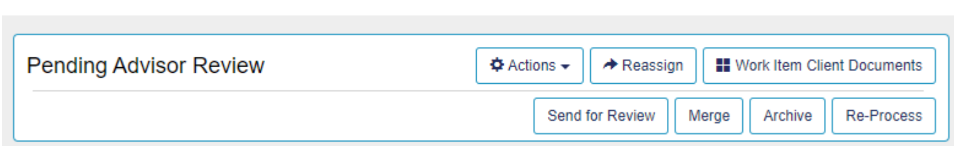
It is best practice to make note of the Work Item number in the upper left corner, as this is the easiest way to retrieve and reference a Work Item later.



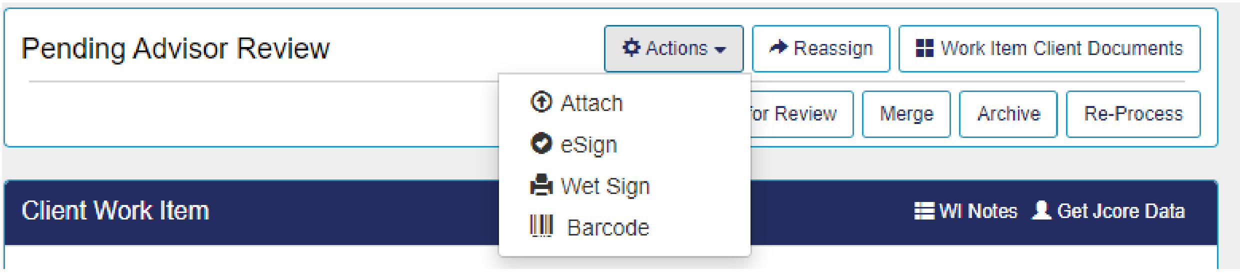
There are four major areas of the Work Item screen. Below are the key areas of each section.

Pending Advisor Review Section

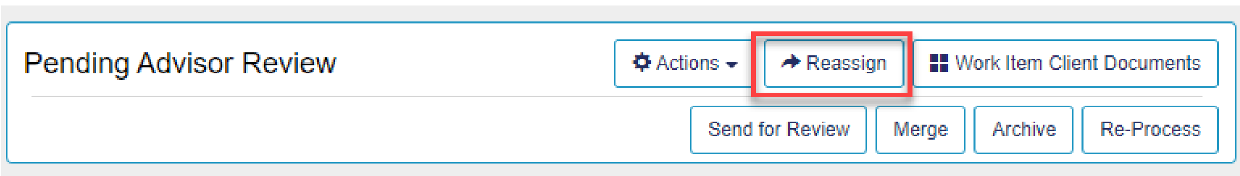
This section indicates the current Task Name the Work Item is in. Pending Advisor Review is the task where the Work Item is being worked on by the advisor or staff member.



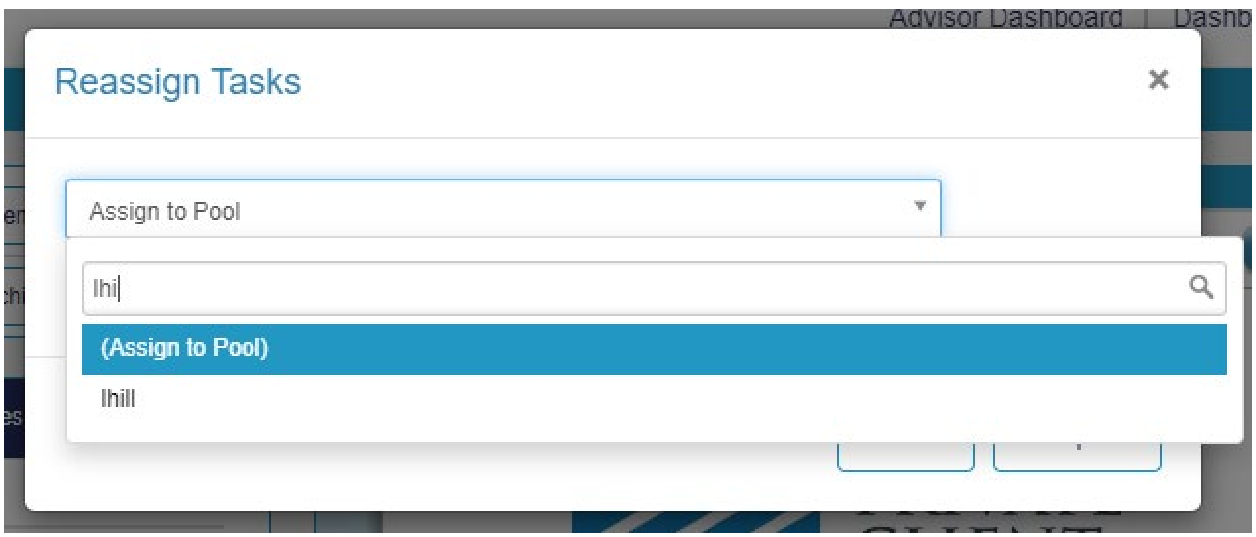
The Actions button is used to begin with the Wet Sign or eSign process. The Attach and Barcode buttons are rarely used if using these standard signature processes.



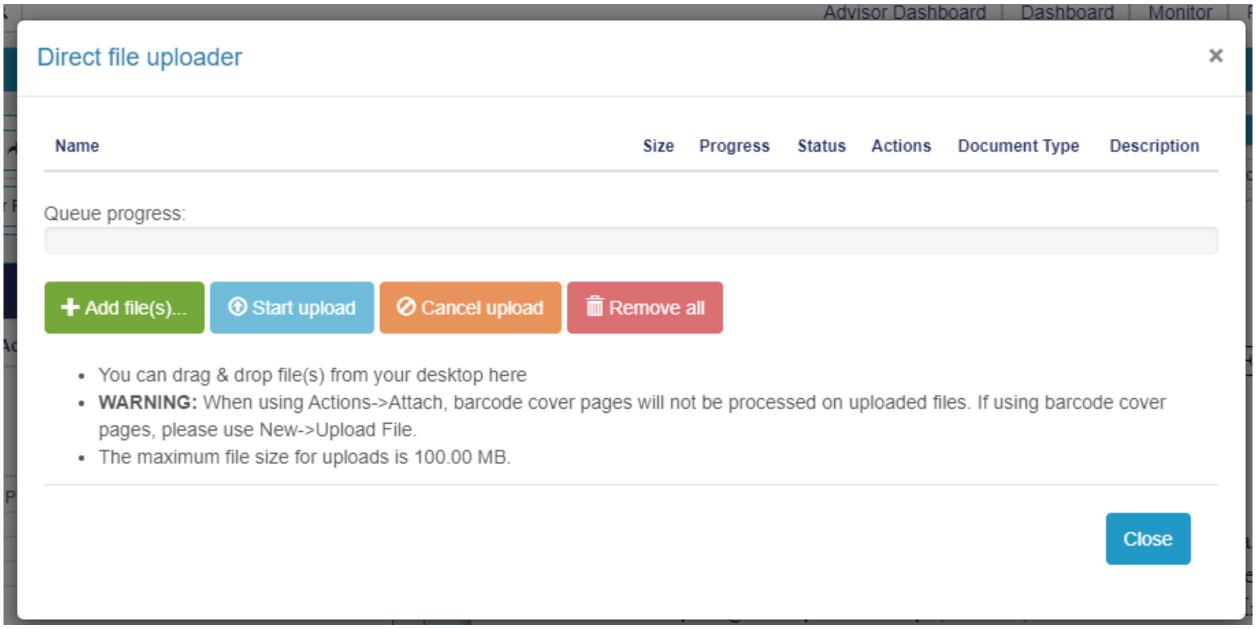
The Reassign button can be used if another user needs to complete actions within the Work Item such as filling in information on the forms.



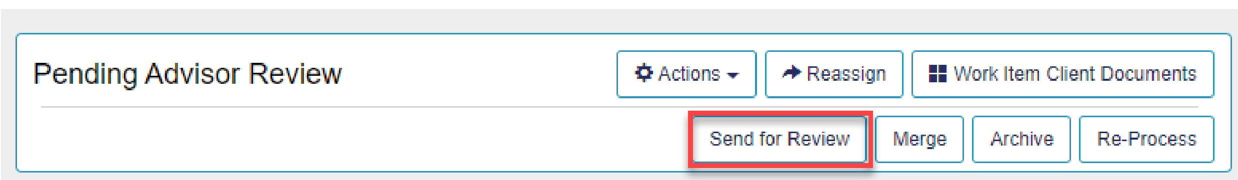
Clicking the Reassign button will open a pop-up where you can type in and select the user ID that you want to reassign the task to. After clicking Complete, it will show in their pool of work items.



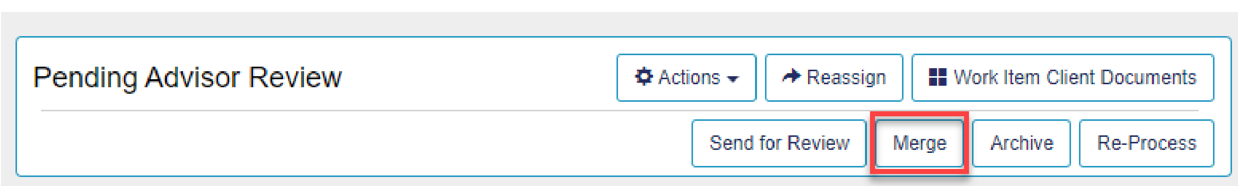
Work Item Client Documents opens the Direct File Uploader allowing you to load forms into the Work Item. This will upload an unindexed item to the client Work Item Documents. It will not read documents with Barcode Pages. Barcoded documents should only be uploaded through New – Upload File.



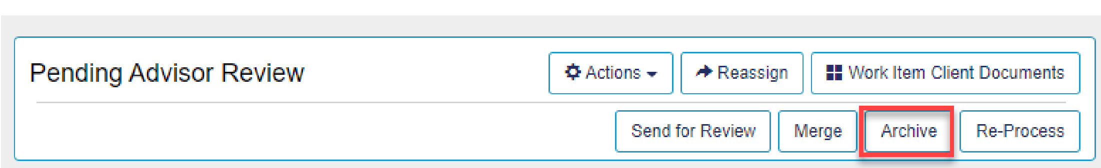
The Send for Review button is used to send the Work Item to the next task in the workflow.



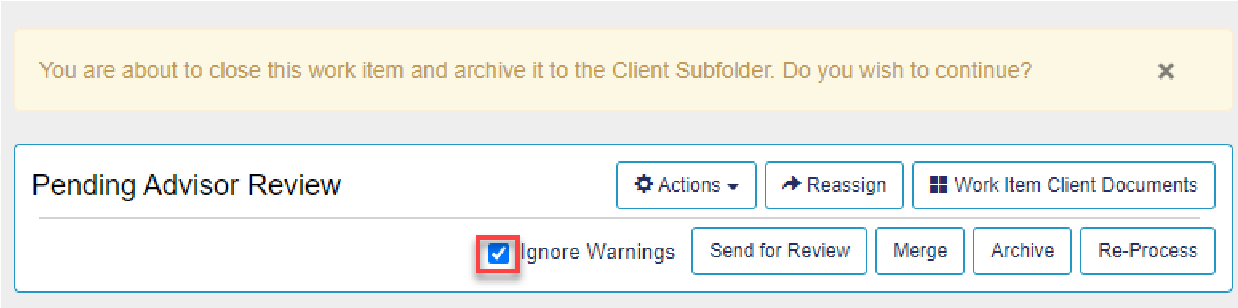
The Merge button is used to Merge the Work Item to another existing Work Item. All documents will consolidate to the one Work Item. See the Merging Work Items reference guide for instructions.



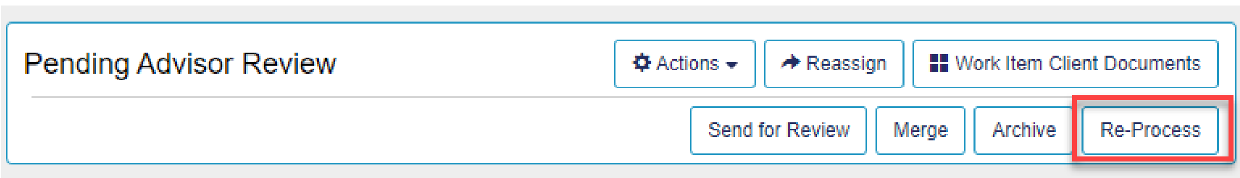
The Archive button will Archive the Work Item and take it out of the workflow. There is no ability to delete a Work Item. Archive is the process used when the Work Item is no longer needed.



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.

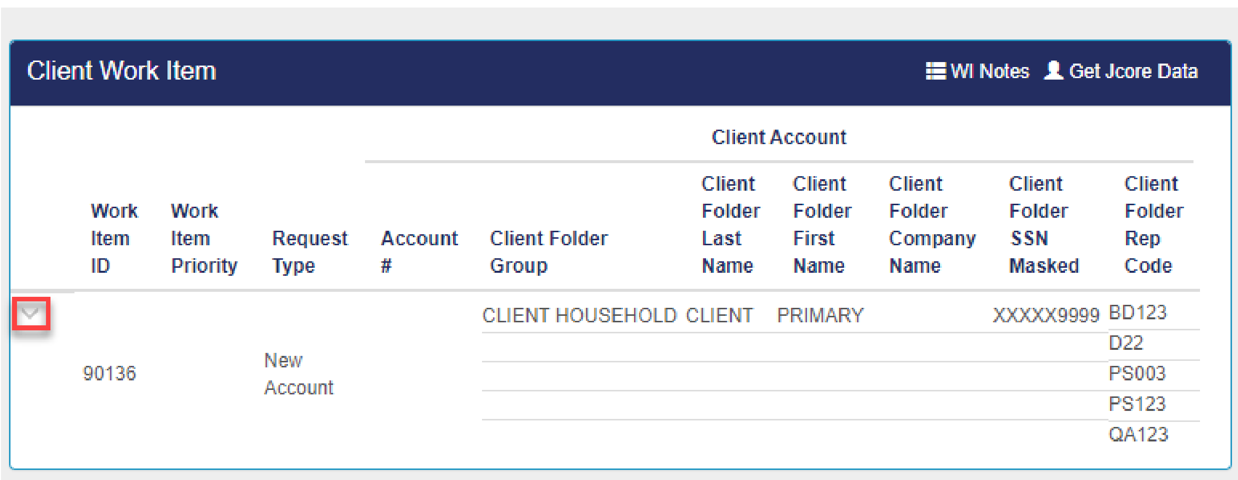


The Re-Process button should generally not be used.

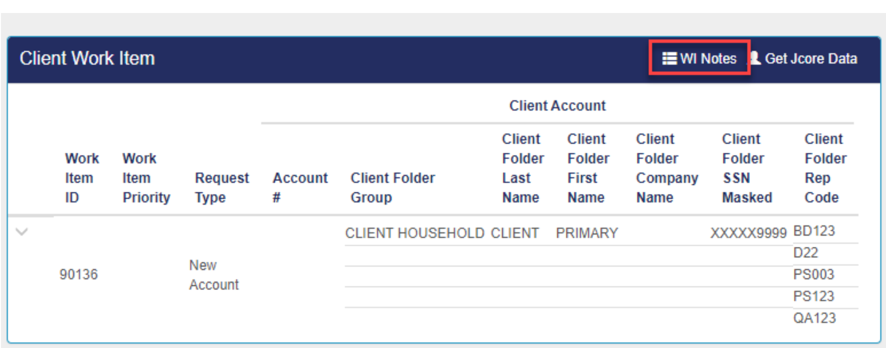


Client Work Item Section

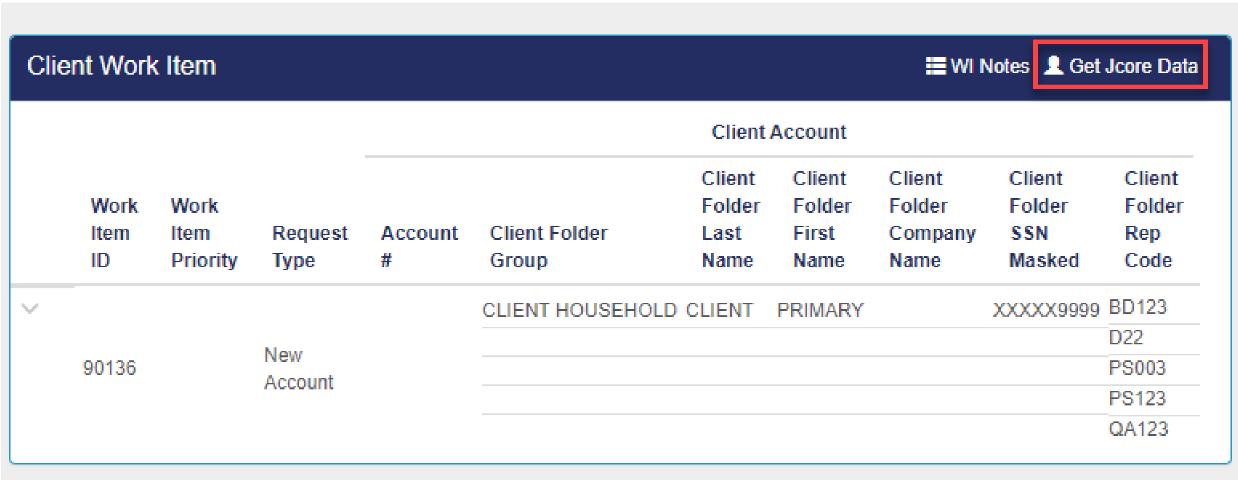
This section contains information about the Work Item. To view additional information about the advisor(s) assigned to the Work Item, click the down arrow on the left.



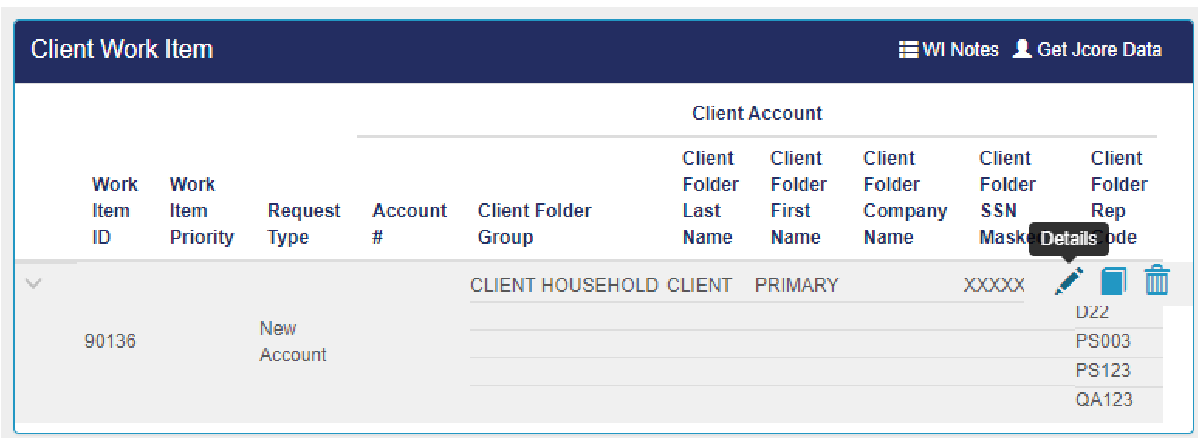
Clicking WI notes will display any notes added to the Work Item. This is especially helpful in viewing NIGO reasons.



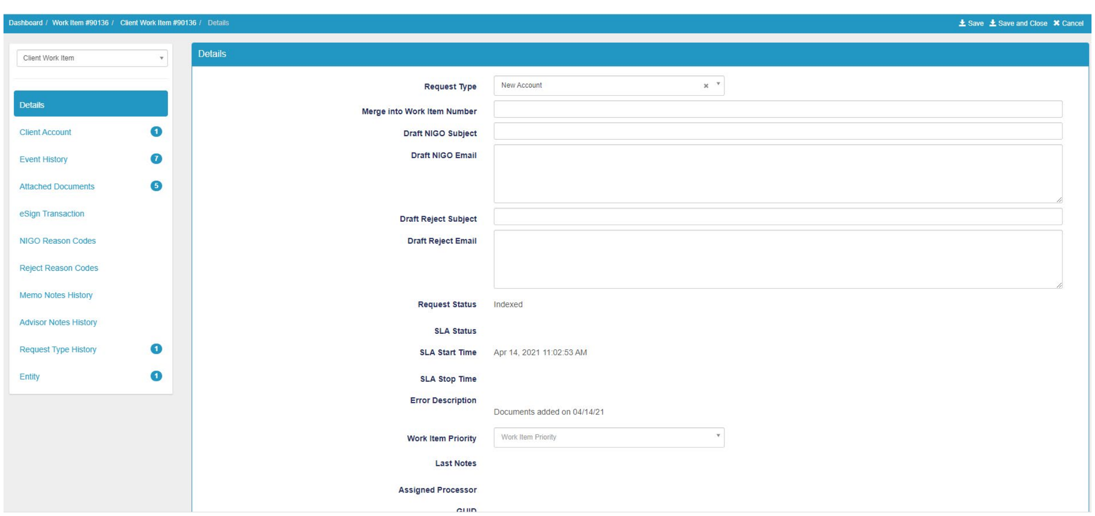
Get Jcore Data button allows you to search for an existing client in jaccomo and retrieve additional client information for use in completing forms. See Using Existing Client Data from jaccomo in Docupace reference guide for details on this process.



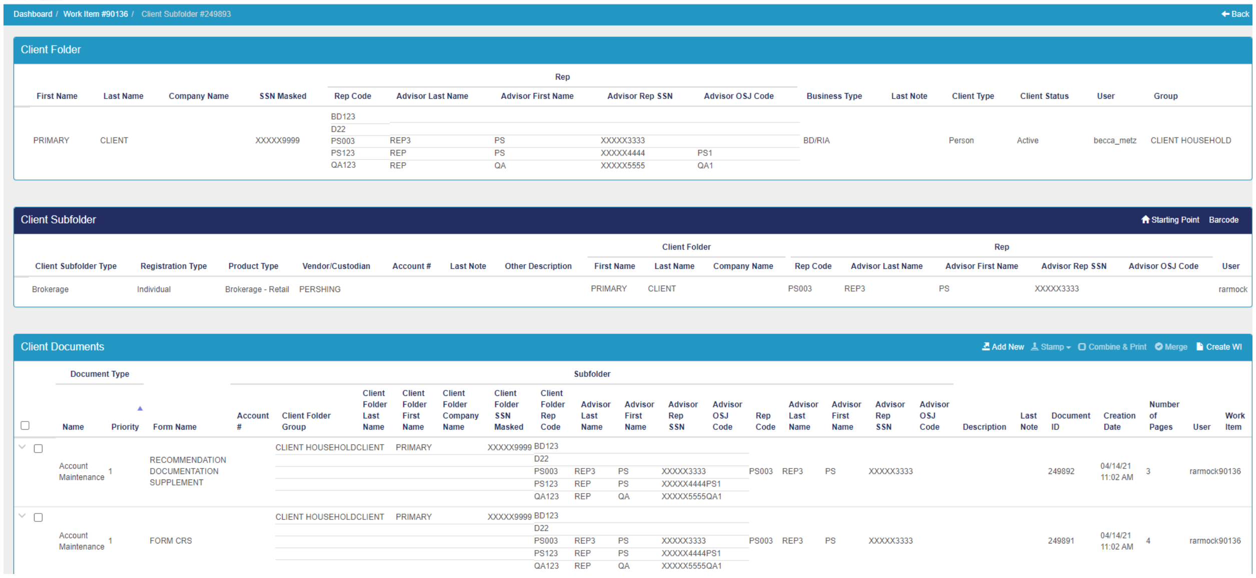
When hovering over the Work Item, three icons appear.



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.

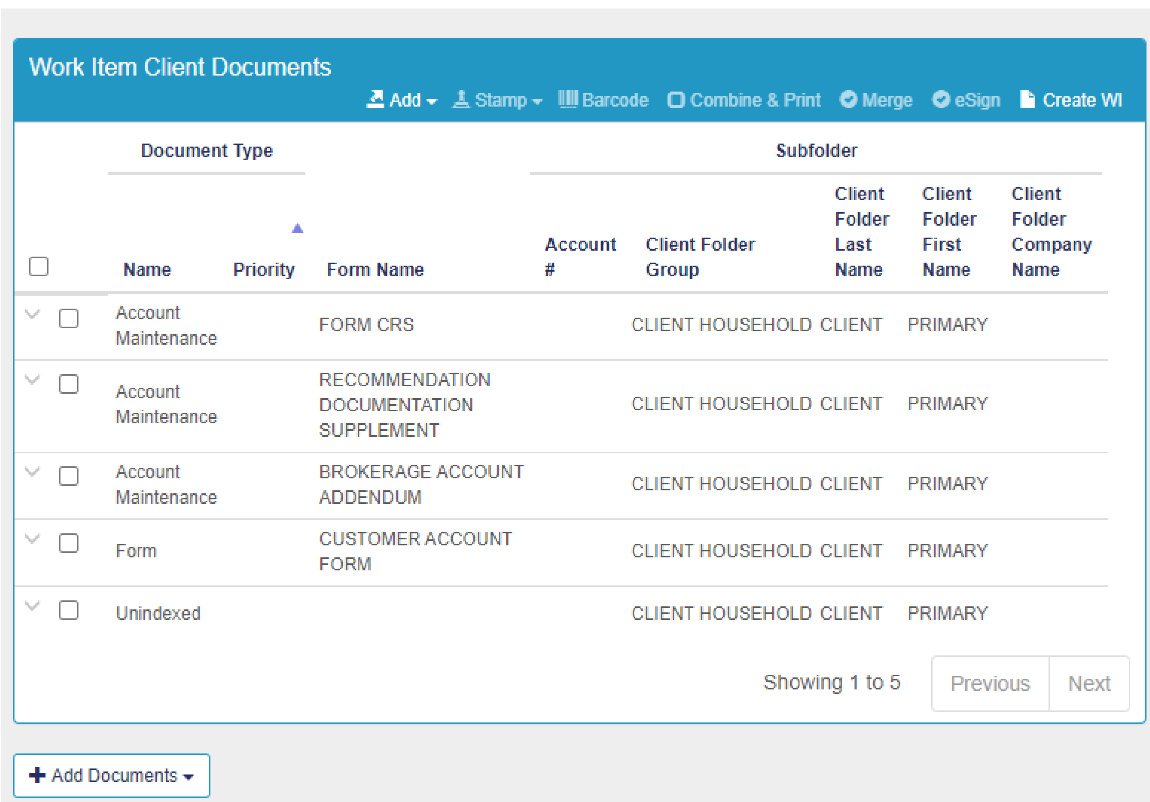


The book icon opens the client account details where you can access the client folder, subfolders and documents that are part of the Work Item.

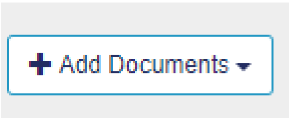


Work Item Client Documents Section

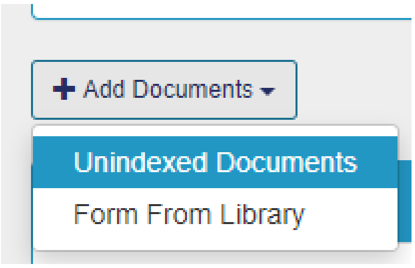
The Work Item Client Documents section contains all of the forms that are part of the Work Item. By clicking on any one of the forms, you can begin the process of editing or adding data to the form.



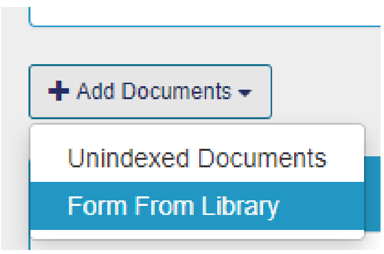
You can also add documents by clicking on the Add Documents button.



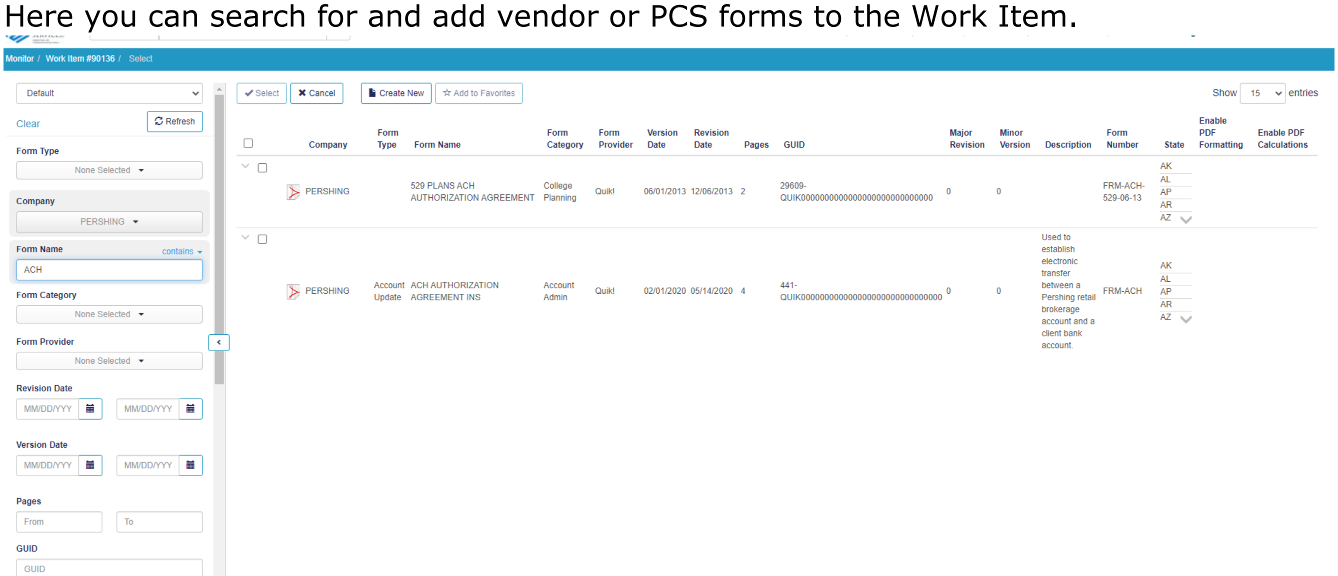
Unindexed Documents allows you to add documents from outside Docupace. This would be ancillary documents like a death certificate, trust document, client statement, etc. You will not be able to edit these forms in Docupace.



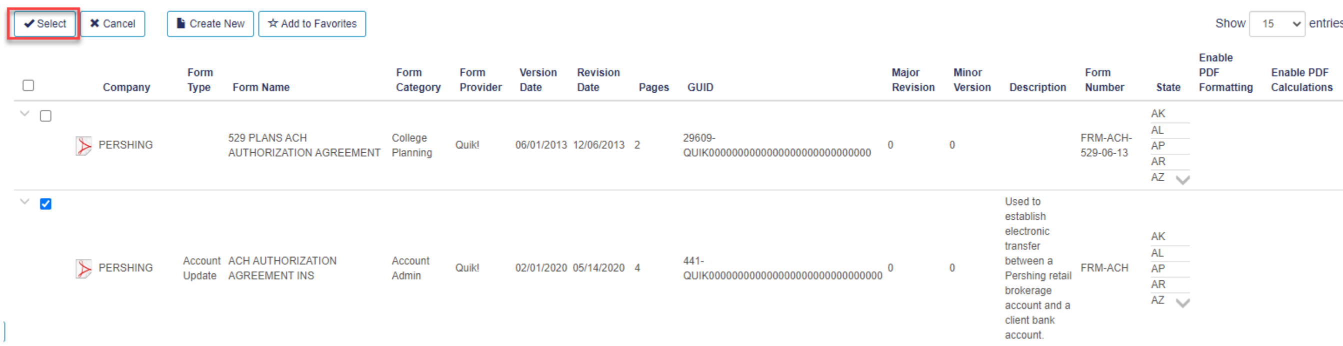
Form From Library will take you to the Form Library Search page.



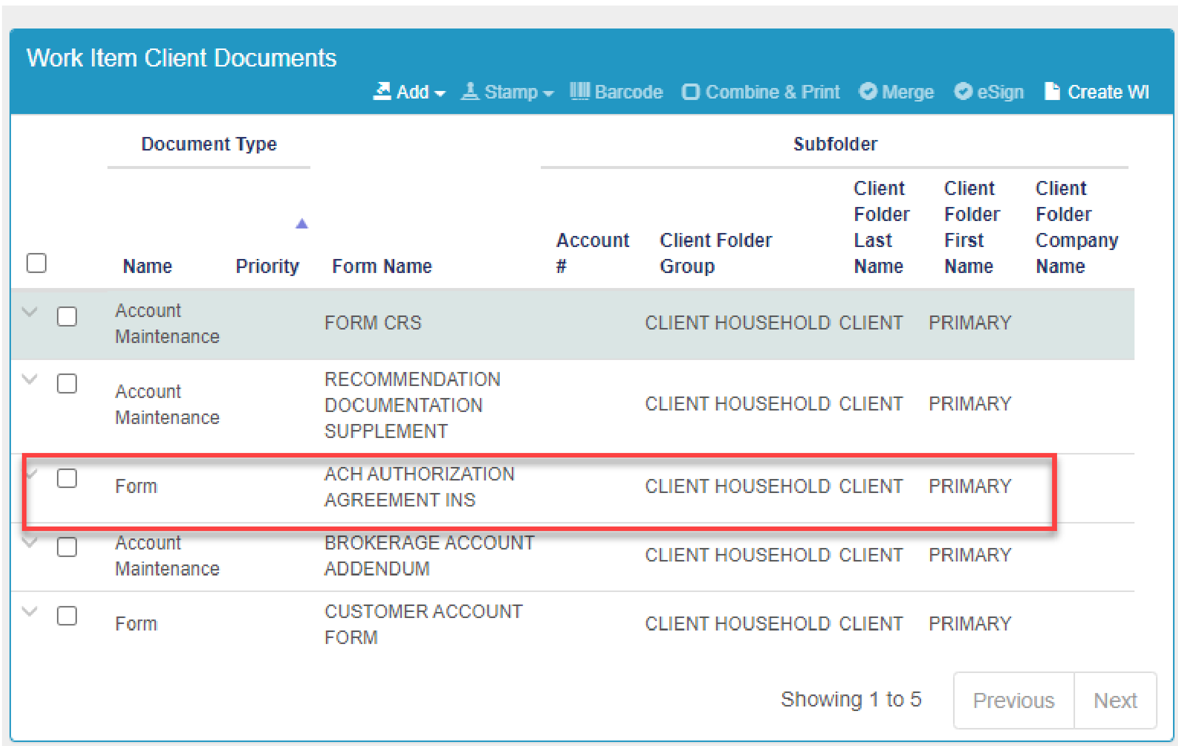
Here you can search for and add vendor or PCS forms to the Work Item.



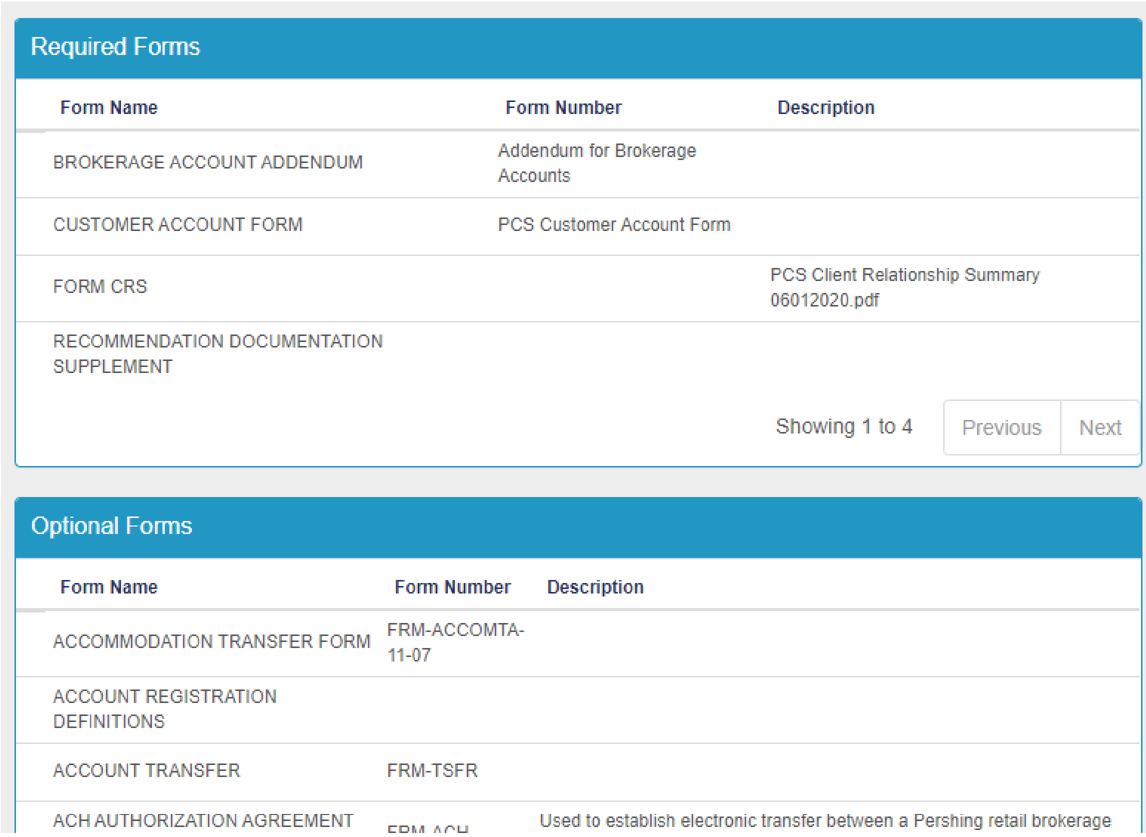
To add a form, click the check box next to the form and click the Select button.



The form now appears in the Work Item Client Documents.



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

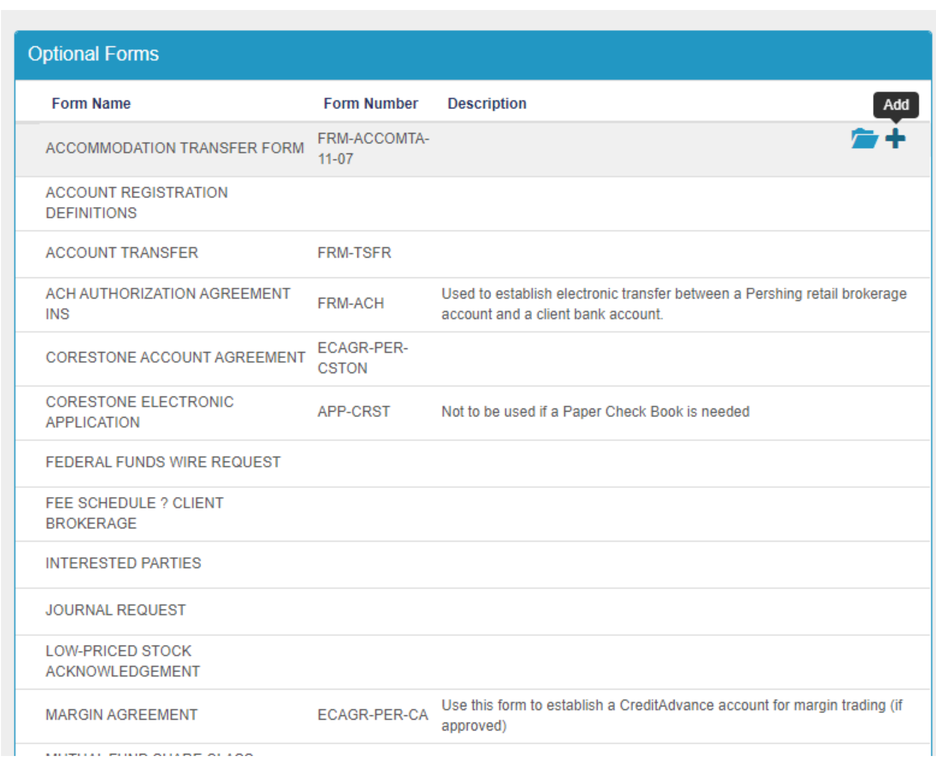
Form Name	Form Number	Description
BROKERAGE ACCOUNT ADDENDUM	Addendum for Brokerage Accounts	
CUSTOMER ACCOUNT FORM	PCS Customer Account Form	
FORM CRS		PCS Client Relationship Summary 06012020.pdf
RECOMMENDATION DOCUMENTATION SUPPLEMENT		

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		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.

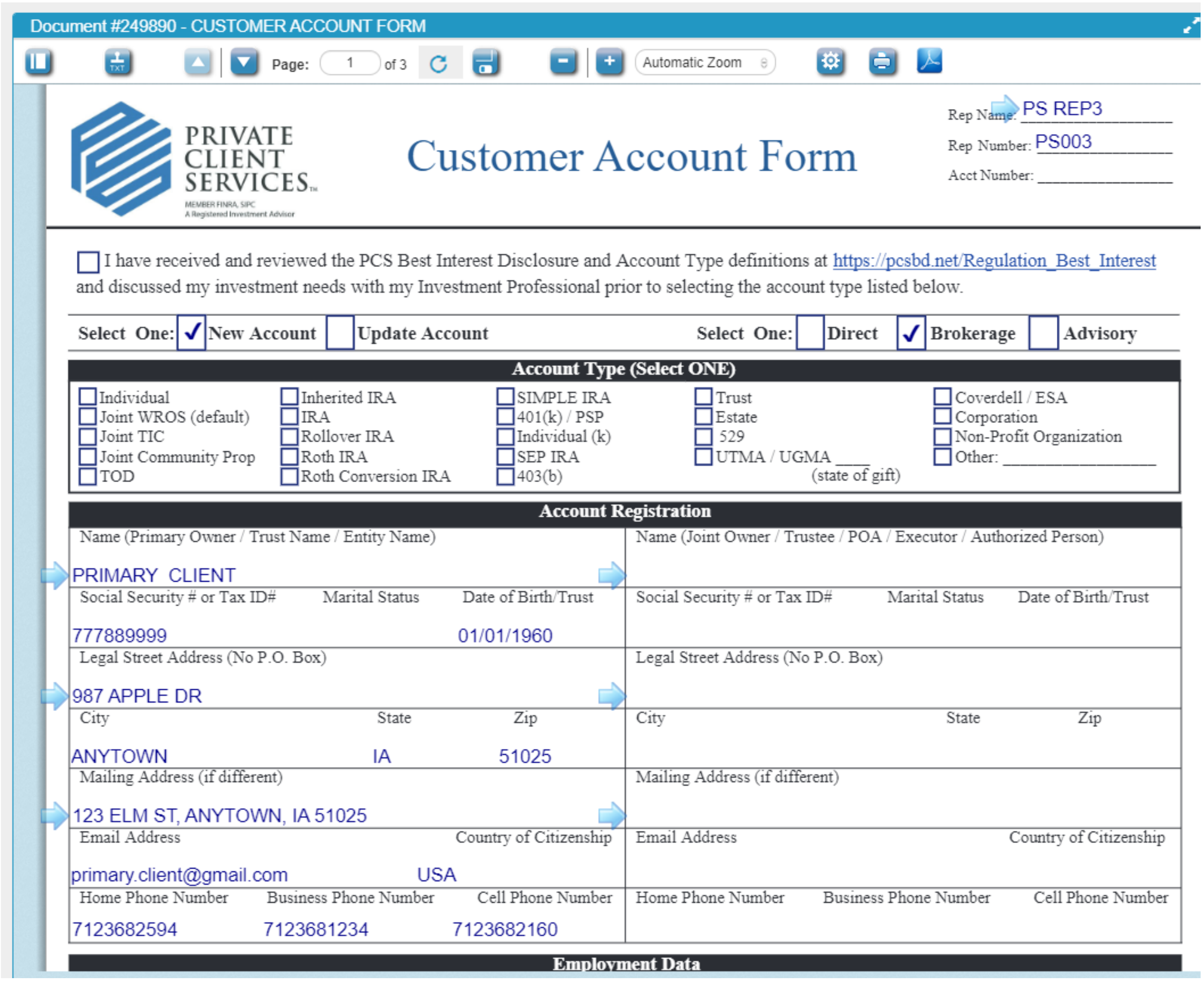


Optional Forms

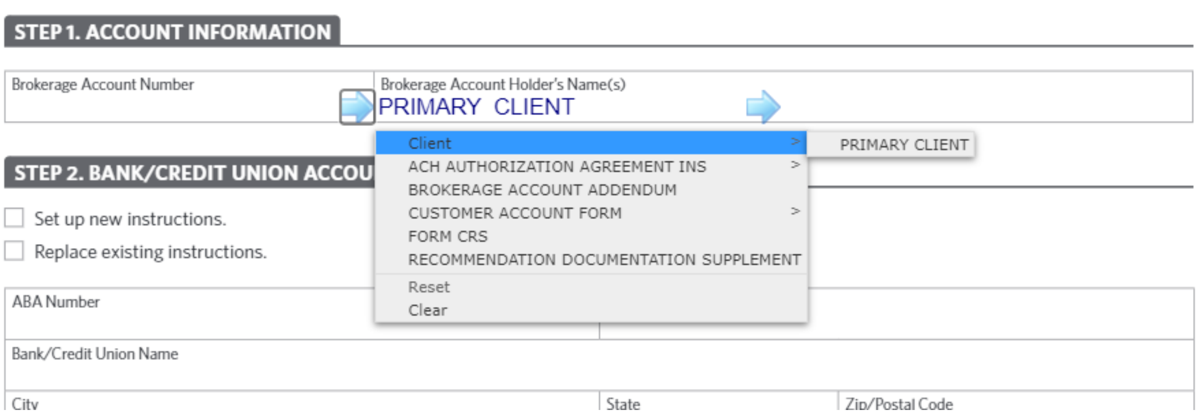
Form Name	Form Number	Description	Add
ACCOMMODATION TRANSFER FORM	FRM-ACCOMTA-11-07		
ACCOUNT REGISTRATION DEFINITIONS			
ACCOUNT TRANSFER	FRM-TSFR		
ACH AUTHORIZATION AGREEMENT INS	FRM-ACH	Used to establish electronic transfer between a Pershing retail brokerage account and a client bank account.	
CORESTONE 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

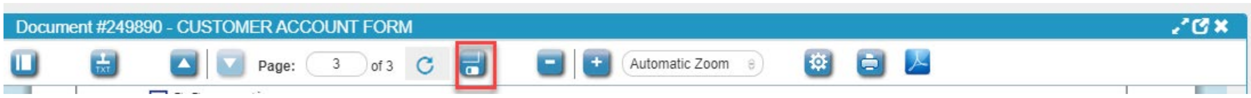
This is the section where you will complete the documents on the Work Item.



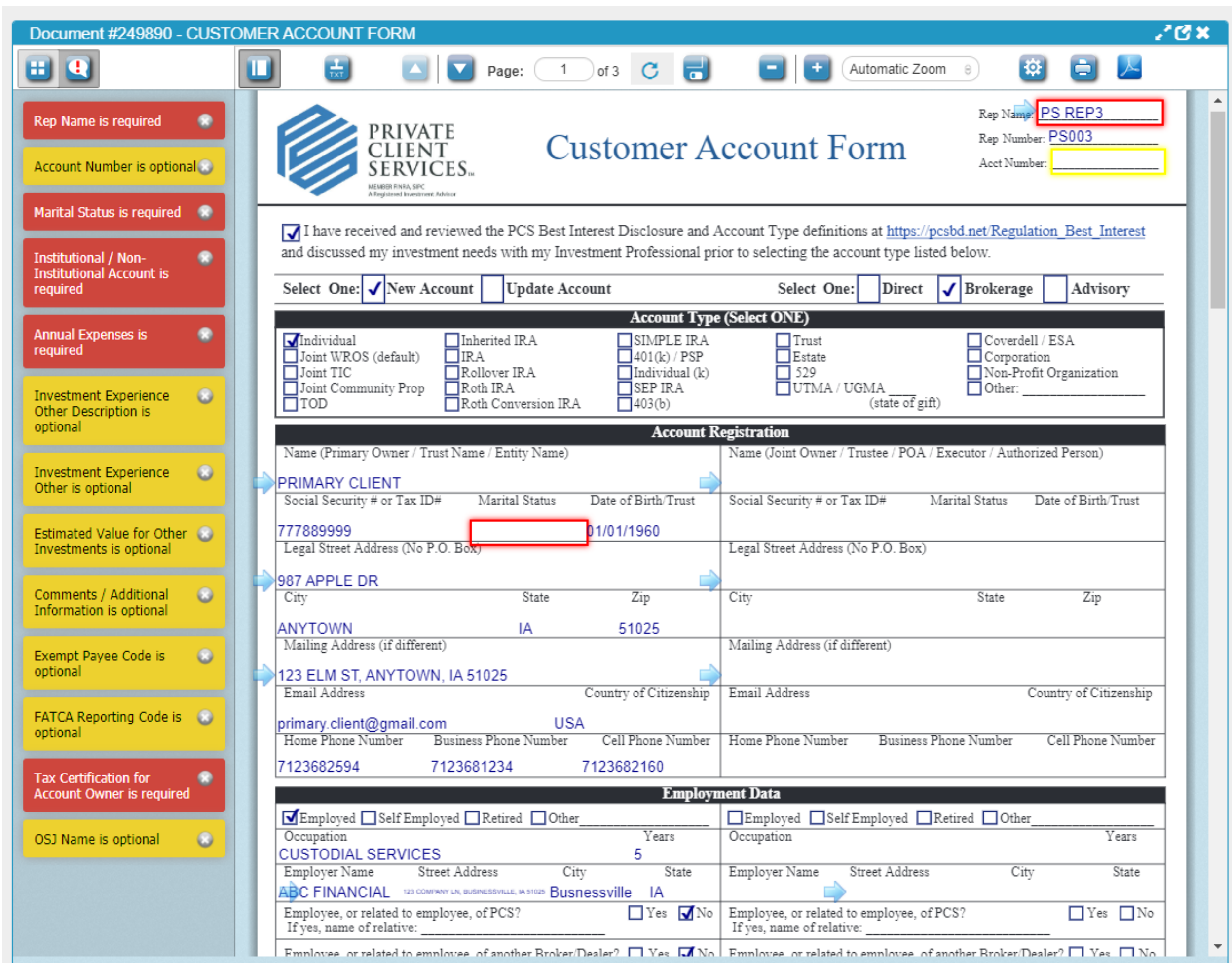
By clicking on the form in the Work Item Client Documents section, you will bring up the form on the right side. You can tab or cursor through the form to complete all of the required fields. The blue arrows can be used to bring in information from other forms or to clear the field.



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



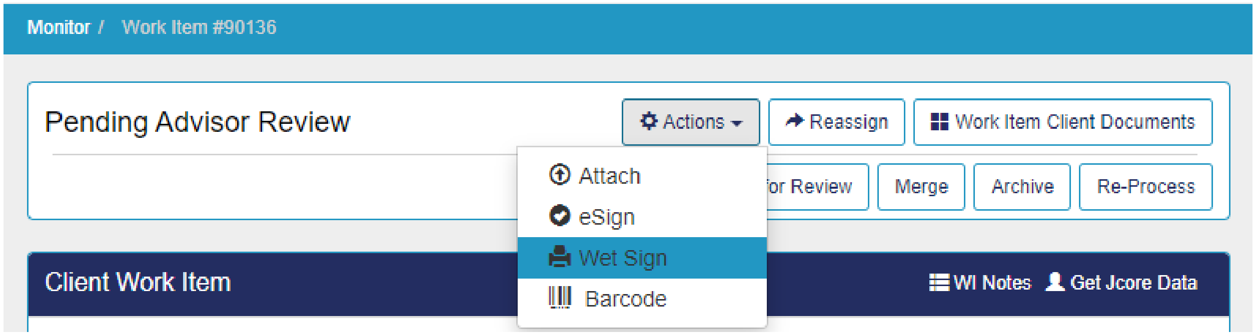
The Customer Account Form, BD Change form and Brokerage Account Addendum have validations built into them that will not allow you to eSign or send the Work Item for review until they are all satisfied. When clicking save on these forms, the validations will be checked, and you will receive a warning 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.



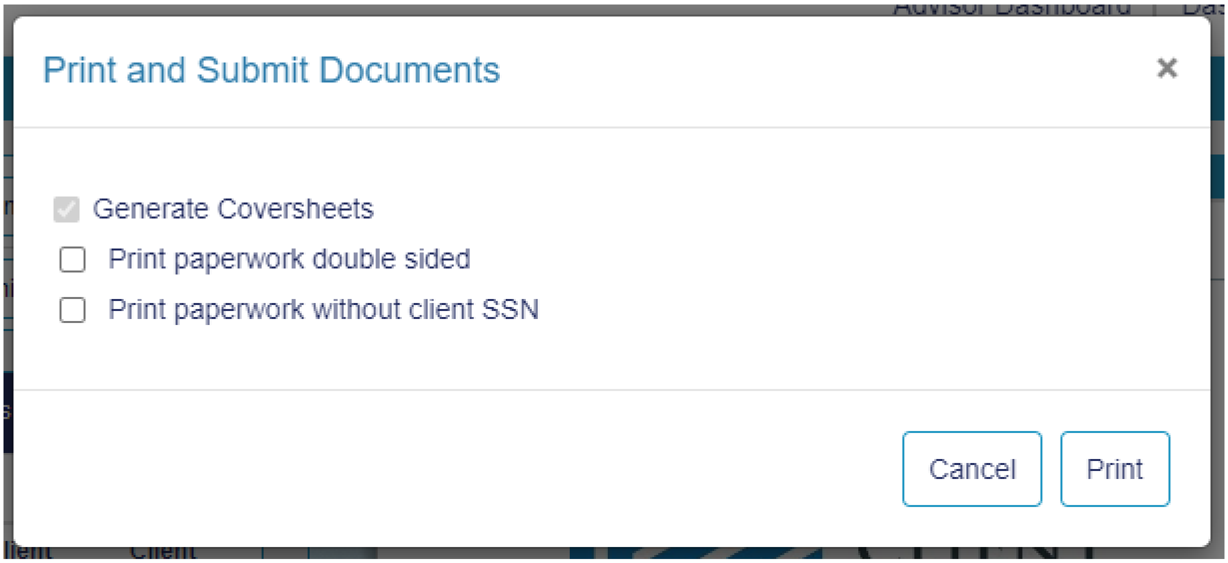
Once all forms have been completed and any additional documents have been added, you can begin the signature process.

Wet Sign

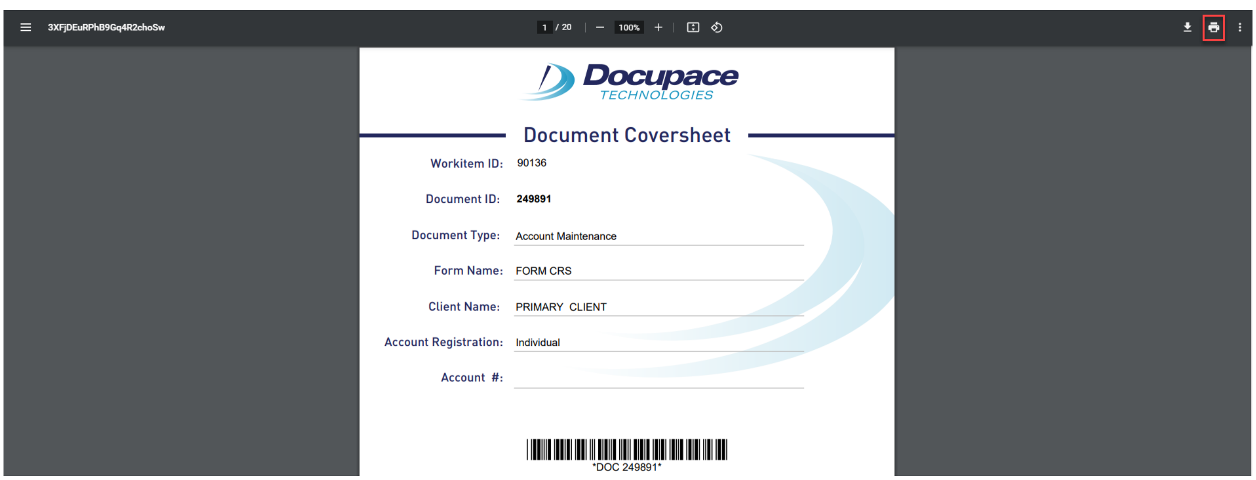
The wet sign process allows the client to physically sign all of the documents and then upload the completed forms back into Docupace using barcode pages. To begin the wet sign process, click the Actions button – Wet Sign.



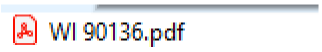
A popup box will open where you can print all of the documents with barcoded coversheets. Click the Print button.



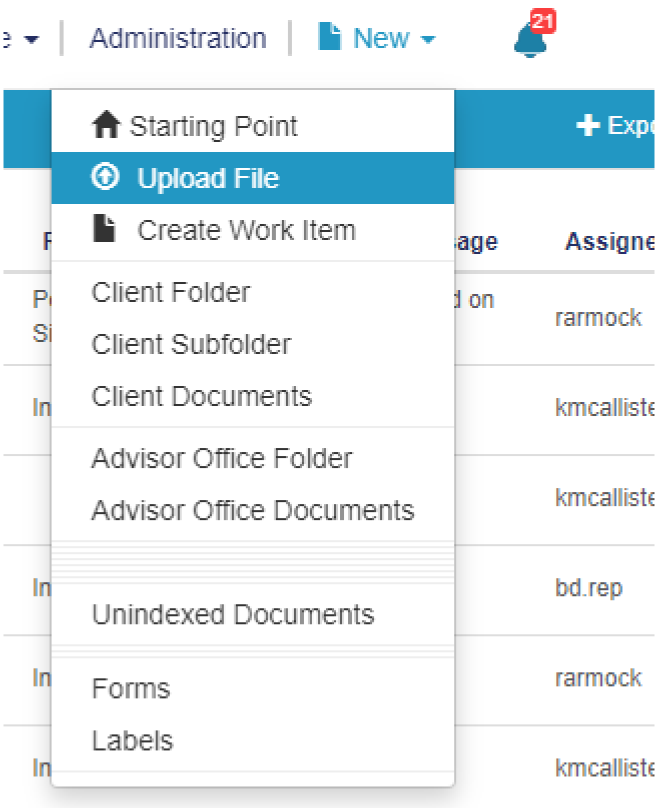
A separate screen will open where you can download or print the PDFs generated. Click the printer icon in the upper-right corner.



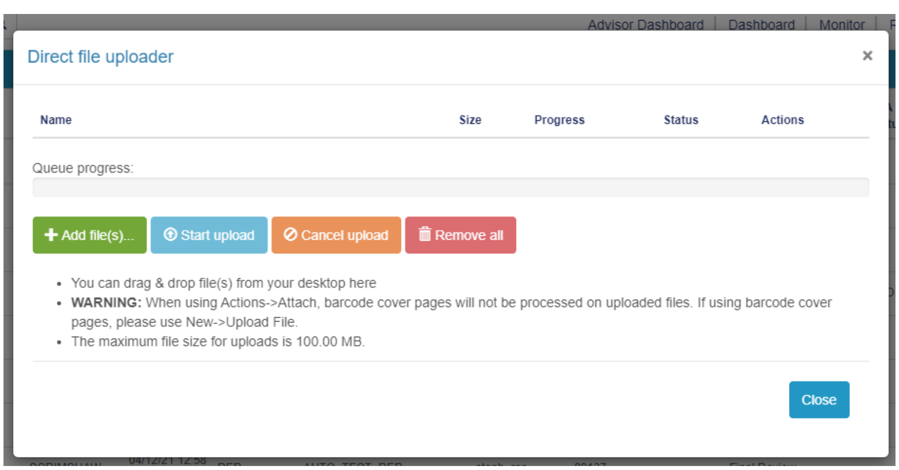
Once you have printed the documents and they have been wet signed by the client and representative, make sure the barcode pages and the document pages are in proper order. Then, scan and save them to your computer as one PDF document.



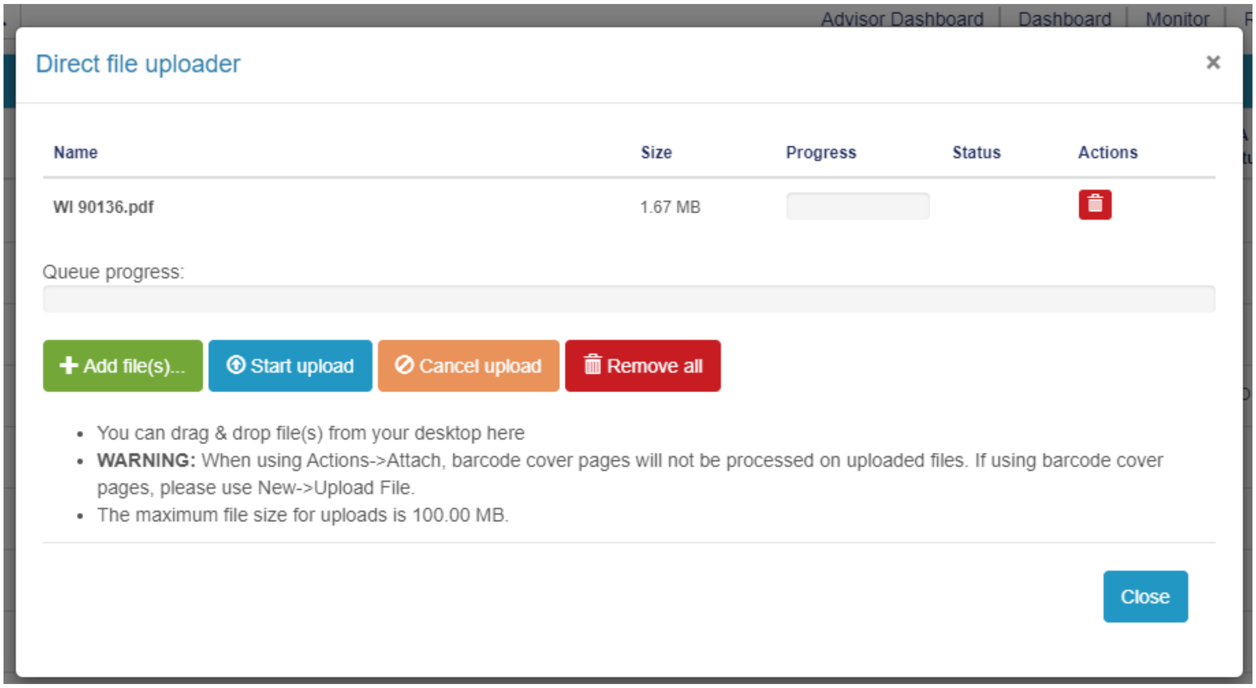
Click New – Upload File. Please note that this is the only place you can upload files and have Docupace recognize the barcode pages. Do not upload barcoded files directly from the Work Item itself.



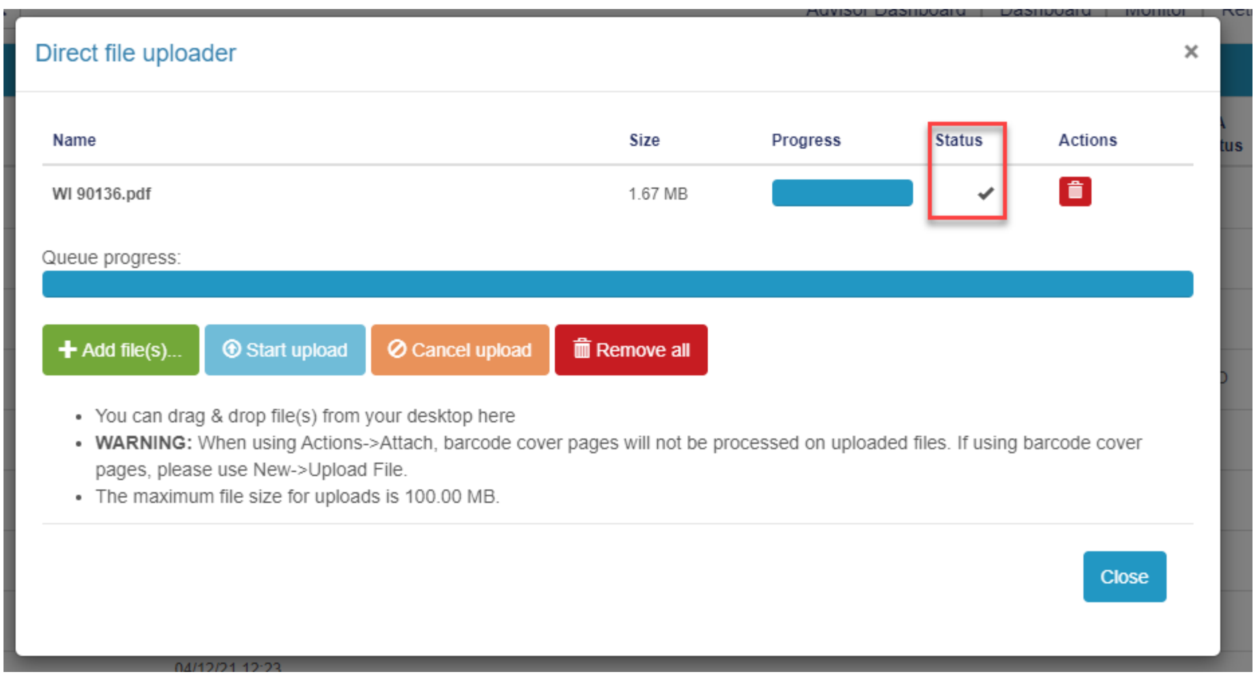
The Direct File Uploader screen will appear. You can drag and drop the wet signed PDF from your computer into the box to upload or you can click the Add files button to select them from your computer's files.



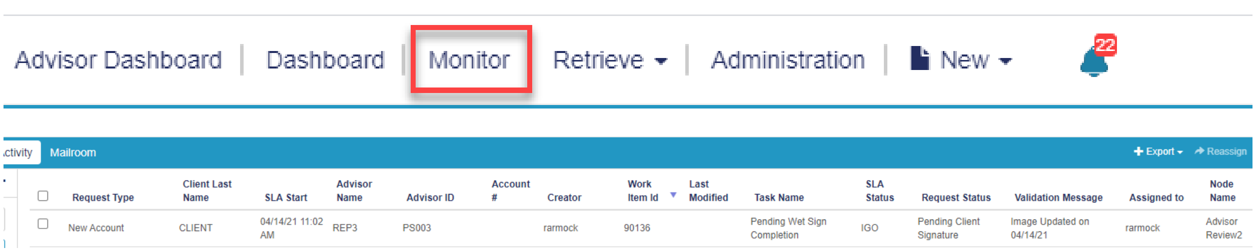
When you see the file name and size appear in the box, click Start Upload.



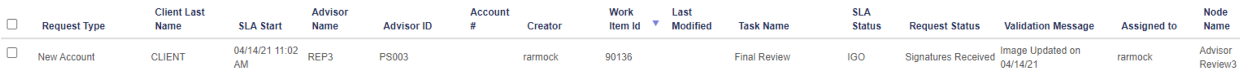
Once successfully uploaded, a check box will appear under the Status column.



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

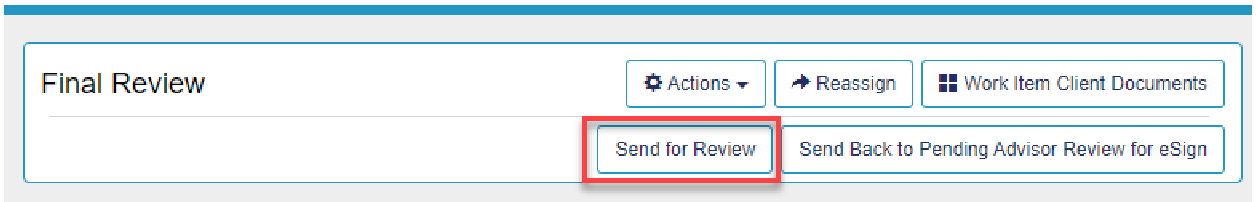


After a couple of minutes, the Task Name in the Work Item will change from Pending Wet Sign Completion to Final Review. Click on the Work Item to review the uploaded documents.



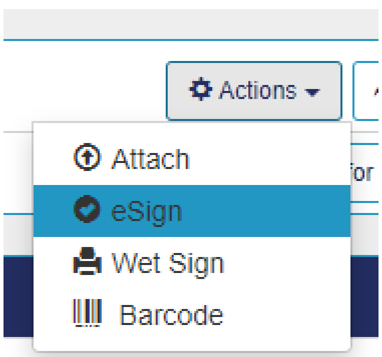
Request Type	Client Last Name	SLA Start	Advisor Name	Advisor ID	Account #	Creator	Work Item Id	Last Modified	Task Name	SLA Status	Request Status	Validation Message	Assigned to	Node Name
New Account	CLIENT	04/14/21 11:02 AM	REP3	PS003		rarmock	90136		Final Review	IGO	Signatures Received	Image Updated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

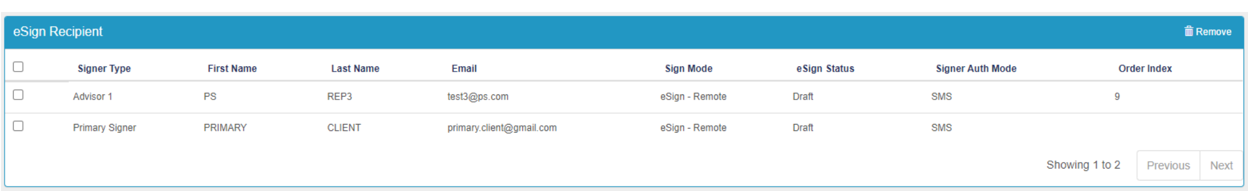


eSign

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.



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

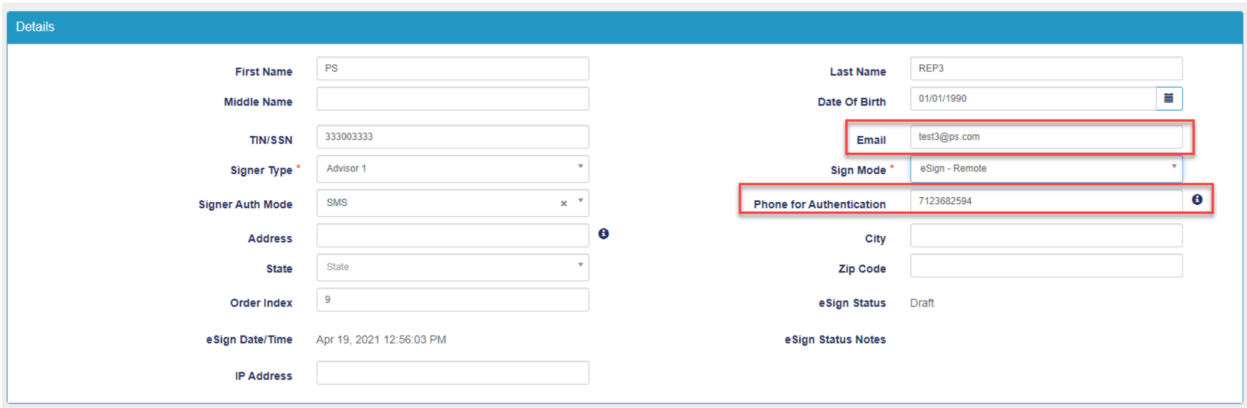


eSign Recipient — Remove

Signer Type	First Name	Last Name	Email	Sign Mode	eSign Status	Signer Auth Mode	Order Index
Advisor 1	PS	REP3	test3@ps.com	eSign - Remote	Draft	SMS	9
Primary Signer	PRIMARY	CLIENT	primary.client@gmail.com	eSign - Remote	Draft	SMS	

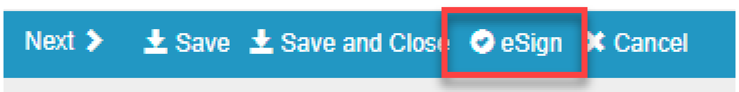
Showing 1 to 2 — Previous Next

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

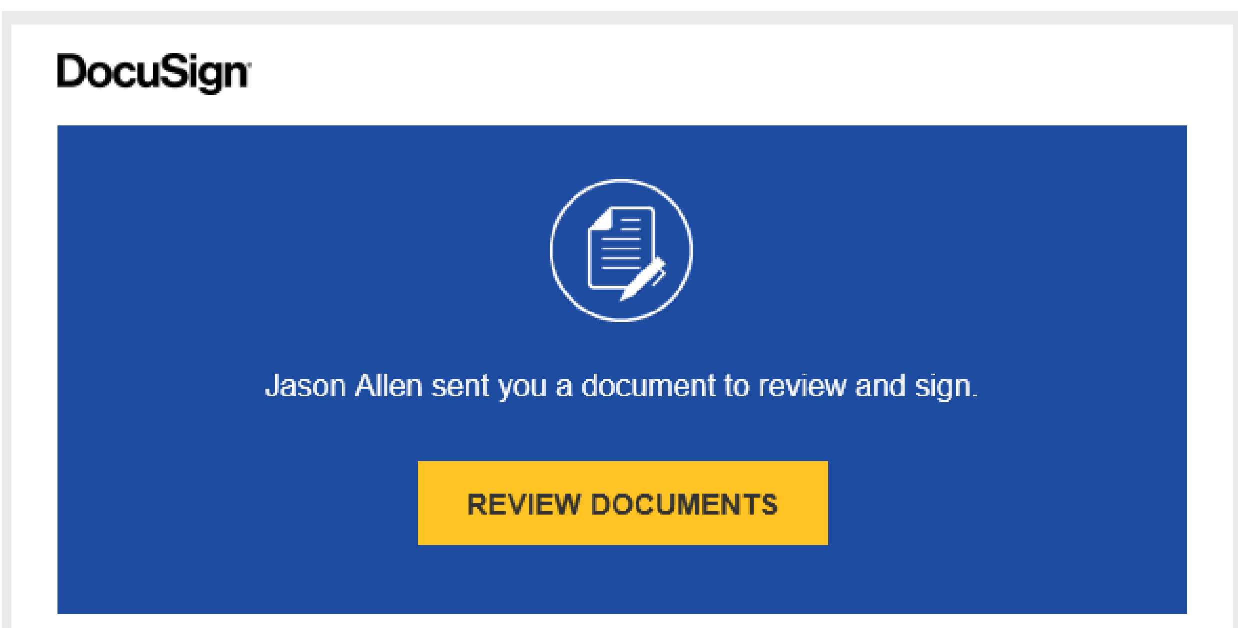


If you make any changes, be sure to click Save and Close before leaving the details screen.

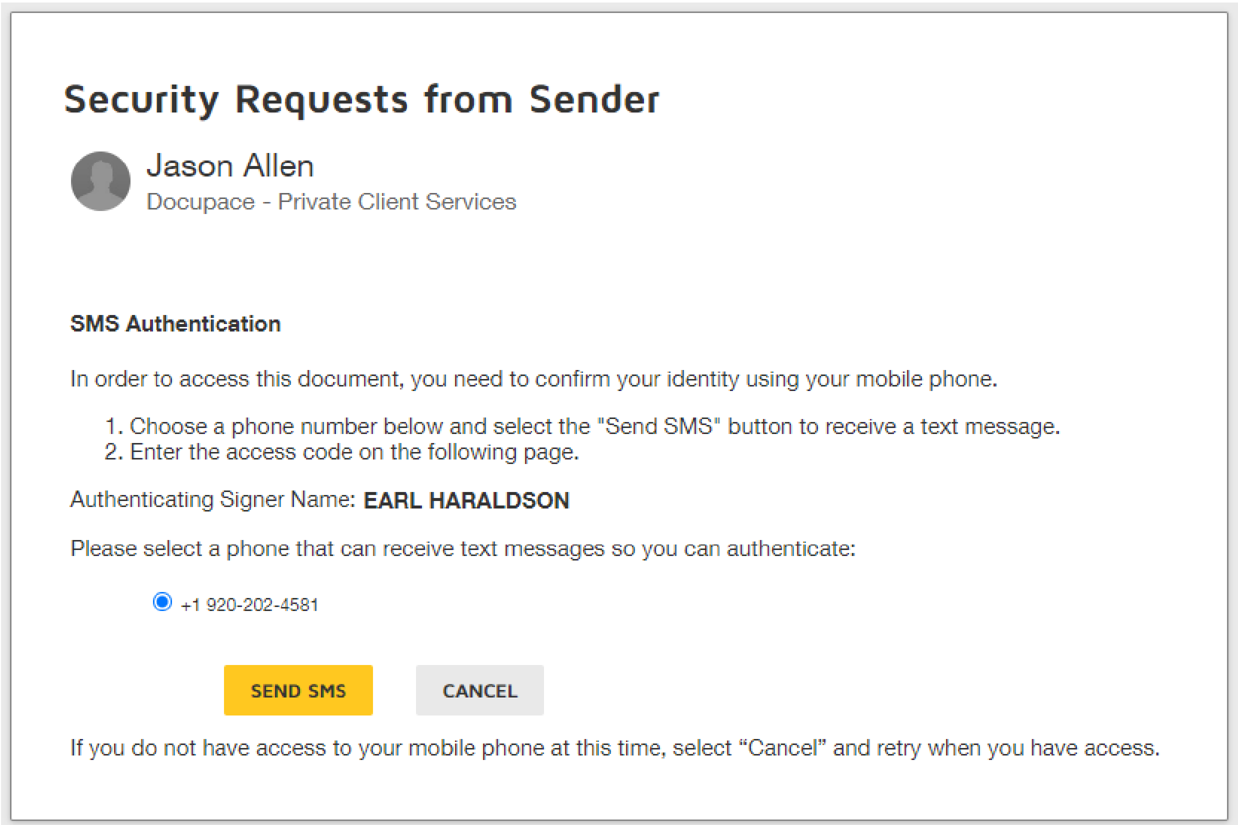
Continue to verify all signers. Once the emails and cell phone numbers are verified, click on eSign in the upper right.



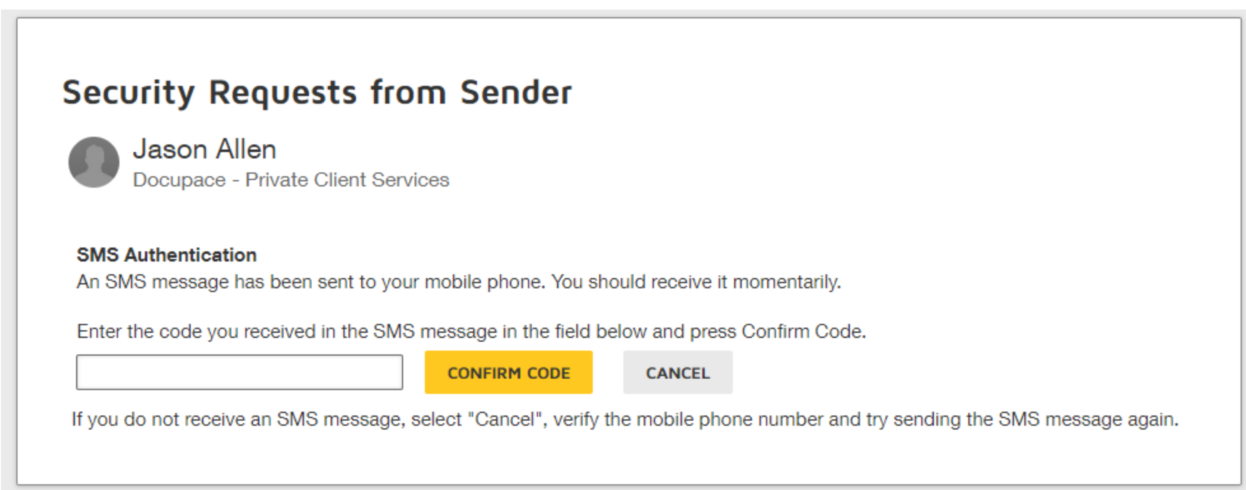
You will receive a popup confirmation that the documents have been sent for signature. The client(s) will receive an email from DocuSign. They will click Review Documents to open DocuSign.



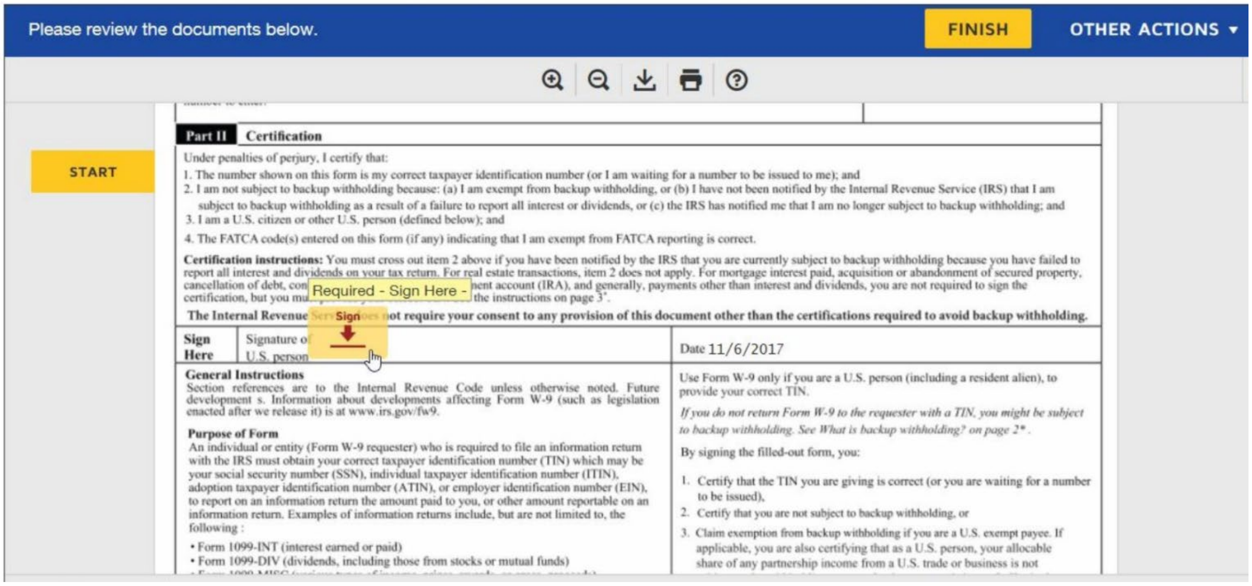
After clicking Review Documents, they will be taken to the authentication screen where they will click Send SMS to receive an access code via text.



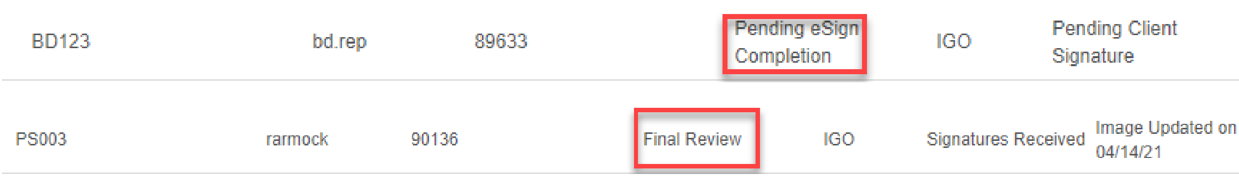
Once the code is received, they will enter it and click Confirm Code.



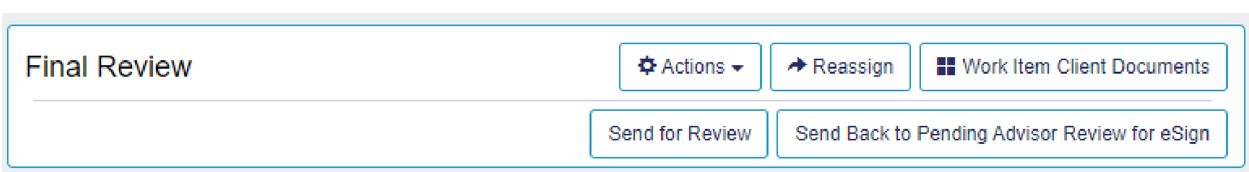
DocuSign will then walk the client(s) through the signature fields and they will click Finish when complete.



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.

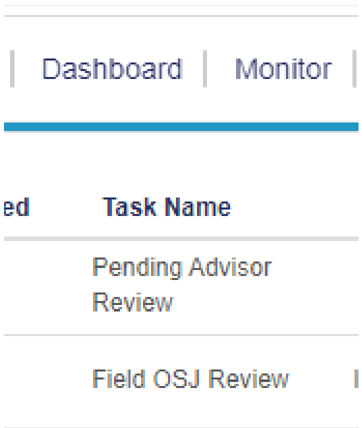


Click on the Work Item to review that all signatures are complete. After reviewing, click on Send for Review to move the Work Item to the approval process.



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.



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.