





## Replacing a Blank Form with a Form Completed Outside Docupace

To initiate any compliance submission workflow, click on New > Starting Point. If you have multiple rep codes, select your primary rep code for compliance submissions.


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


▼ Advisor Name	Advisor ID	Account #	Creator	Work Item ID	Validation Message
PM REP3	PS003		ps.rep3	16661	Documents added on
PM REP3	PS003		ps.rep3	16660	Documents added on
PM REP3	PS003	7123682594IA	ps.rep3	16659	Documents added on
AM REP3	PS003		ps.rep3	16653	Documents added on
PM REP3	PS003		ps.rep3	16647	
PM REP3	PS003		ps.rep3	16646	Image Updated on 12


-  Starting Point
-  Upload File
-  Create Work Item
- Client Folder
- Client Subfolder
- Client Documents
- Advisor Office Folder
- Advisor Office Documents
- Unindexed Documents
- Labels


Select the Compliance tile.


What do you want to do?


  
 Account Transfer


  
 Account Service

  
 Trade Desk

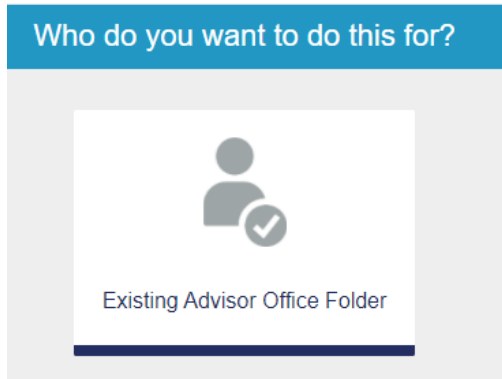
  
 Money Desk

  
 Account Maintenance Update

  
 New Account

  
 Compliance

Select the Existing Office Folder tile.



Select the Outside RIA Activity Disclosures Folder.

Default

Clear Refresh

Advisor Office Type  
None Selected

Folder Name  
Folder Name

Business Type  
None Selected

Rep  
Rep

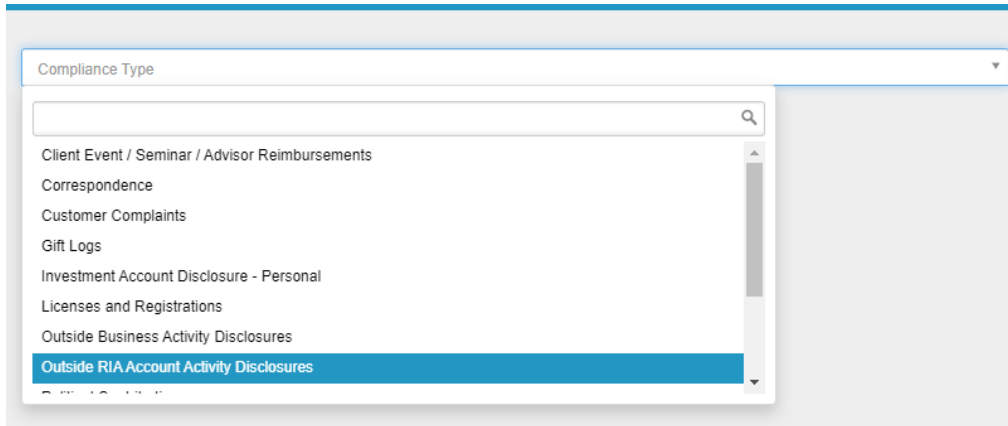
Modified  
From To

Click on a record below to select:

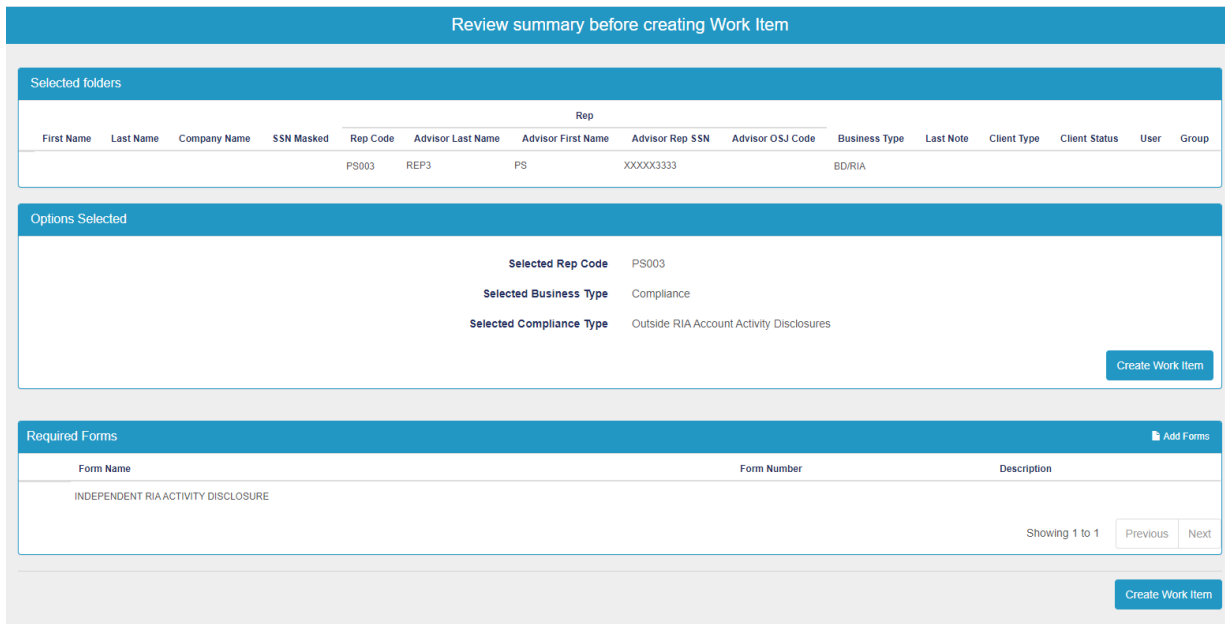
Show 15 e

Folder Name	Advisor Office Type	Business Type	Rep Code	Advisor Last Name	Advisor First Name	Advisor Rep SSN	Advisor OSJ Code
SUPERVISORY LOGS	Operations	BD/RIA	PS003	REP3	PS	XXXXX3333	
SOCIAL MEDIA DISCLOSURES	Correspondence	BD/RIA	PS003	REP3	PS	XXXXX3333	
PRODUCT PROVIDER TRAINING REQUESTS	Training	BD/RIA	PS003	REP3	PS	XXXXX3333	
PRIVATE SECURITIES TRANSACTIONS	Compliance	BD/RIA	PS003	REP3	PS	XXXXX3333	
POLITICAL CONTRIBUTIONS	Compliance	BD/RIA	PS003	REP3	PS	XXXXX3333	
OUTSIDE RIA ACTIVITY DISCLOSURES	Correspondence	BD/RIA	PS003	REP3	PS	XXXXX3333	
OUTSIDE BUSINESS ACTIVITY DISCLOSURES	Correspondence	BD/RIA	PS003	REP3	PS	XXXXX3333	
OUTSIDE BROKERAGE ACCOUNT LOGS	Operations	BD/RIA	PS003	REP3	PS	XXXXX3333	
LICENSES AND REGISTRATIONS	Compliance	BD/RIA	PS003	REP3	PS	XXXXX3333	
GIFT LOGS	Operations	BD/RIA	PS003	REP3	PS	XXXXX3333	
GENERAL	General	BD/RIA	PS003	REP3	PS	XXXXX3333	
CUSTOMER COMPLAINT	Complaint	BD/RIA	PS003	REP3	PS	XXXXX3333	
CORRESPONDENCE	Correspondence	BD/RIA	PS003	REP3	PS	XXXXX3333	
CLIENT EVENT / SEMINAR / ADV REIMBURSEMENTS	Advertising/Marketing	BD/RIA	PS003	REP3	PS	XXXXX3333	
ADVISORY	Advisory	BD/RIA	PS003	REP3	PS	XXXXX3333	

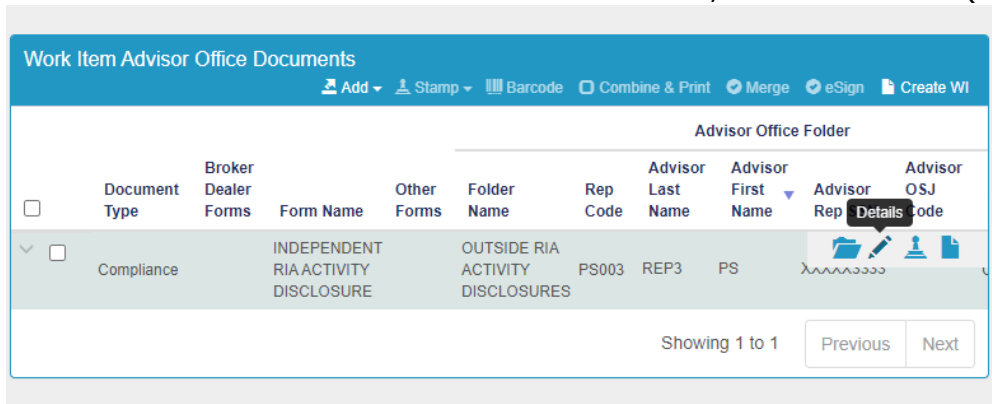
Select Outside RIA Account Activity Disclosures for the Compliance Type.



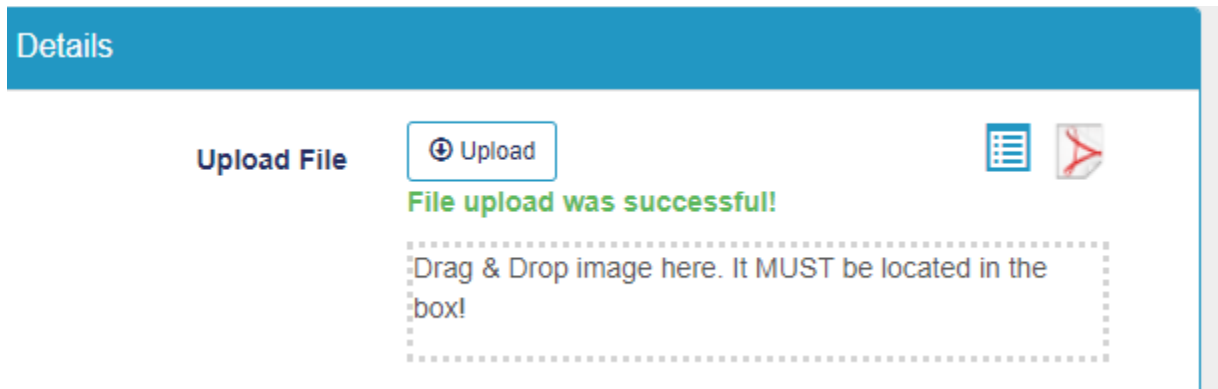
Click Create Work Item.



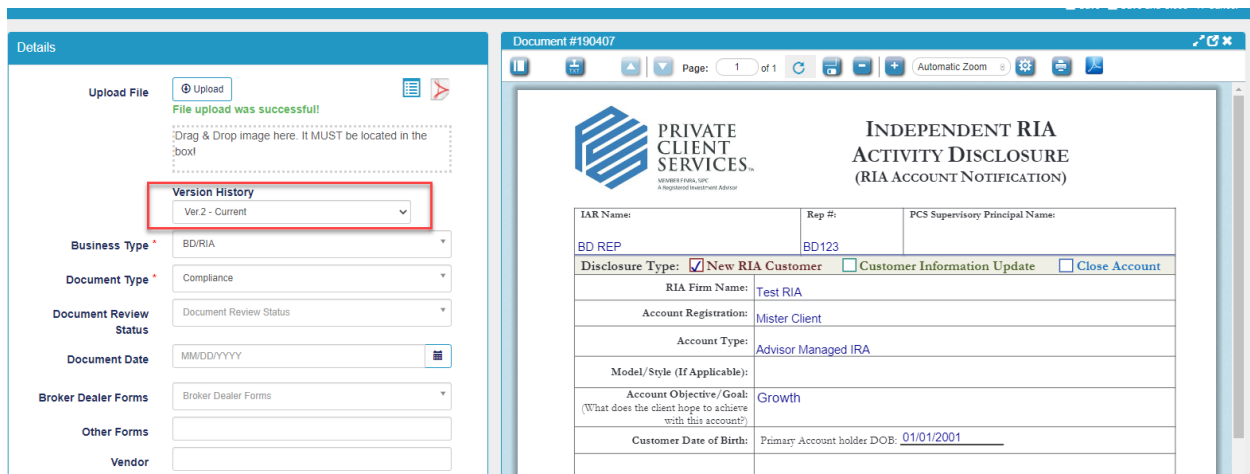
Under the Work Item Advisor Office Documents, click on Details (the pencil icon).



Drag and drop the completed document from your computer into the Drag & Drop box.



Once the file is uploaded successfully, the completed form will appear on the right and the form version history will change to Ver.2 – Current.



Click Save and Close.



Click Send for Review.

