



Let our independence ignite yours.™

Using Existing Client Data from jacommo in Docupace

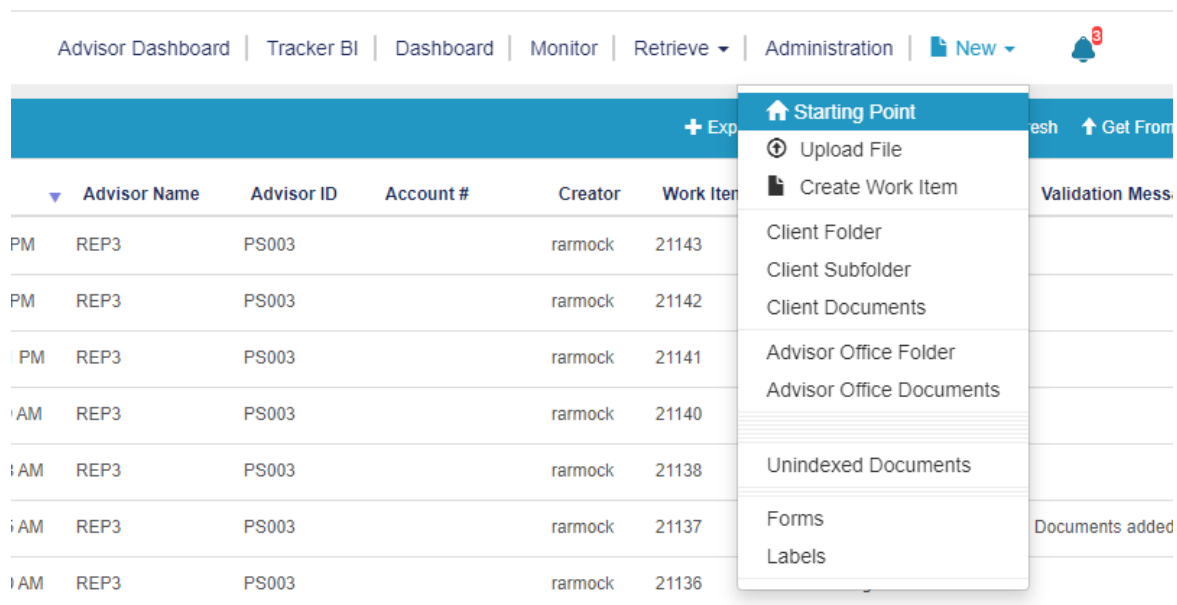
This new functionality allows you to import client information from existing clients you can see in jacommo's jpass and use it to populate documents within Docupace. Only client information that exists in jacommo will import. If a field does not import, it either does not currently have any data associated to it or the field cannot be mapped to Docupace. The following fields are eligible to import to Docupace:

First Name	Email Address	Expiration Date
Last Name	Phone Numbers	Annual Income
Social Security Number	Employment Status	Annual Expenses
Marital Status	Occupation	Net Worth
Date of Birth	Employer	Liquid Net Worth
Address	Id Type	Tax Bracket
City	ID#	Liquidity Need
State	State Issued	Investment Experience
Zip Code	Issue Date	

New Account for an Existing Client not in Docupace

This process uses client data for a client that does not currently exist in Docupace but is an existing client in jacommo. To refresh data or bring in additional information not in Docupace for a client that already exists in Docupace, see 'New Account for an Existing Client in Docupace' on page 9 of this document.

Click on New > Starting Point.



Select the rep code.

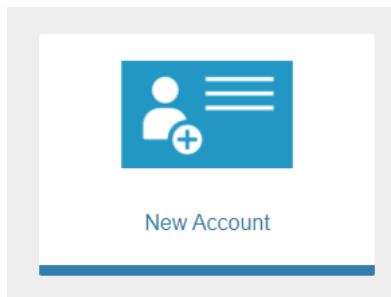
Default

Click on a record below to select: Show 15 entries

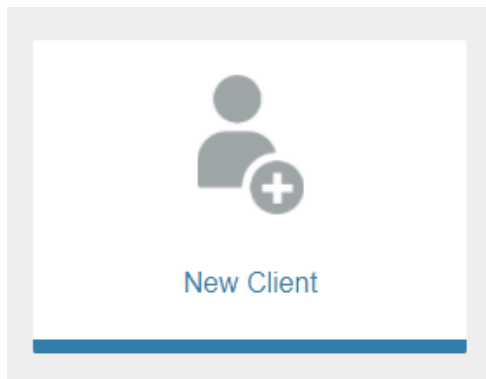
Rep Code	NFS #	Pershing #	Split Rep	Last Name	First Name	Rep SSN	OSJ Code	Rep Group
PS003				REP3	PS	XXXXX3333		<input checked="" type="checkbox"/>

Rep Code: ps003
NFS #
Pershing #

Select the New Account tile.



Select the New Client tile.



Enter the existing client's First Name, Last Name and SSN.

Rep						+ Add	Remove
Advisor							
<input type="checkbox"/>	Rep Code	Last Name	First Name	Rep SSN	OSJ Code		
<input type="checkbox"/>	PS003	REP3	PS	XXXXX3333			

Showing 1 to 1 Previous Next

Details

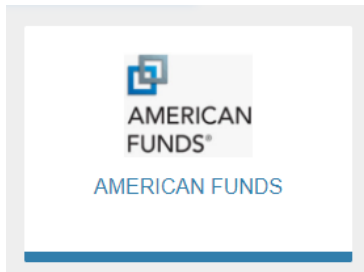
Client Type *	Person	Business Type *	BD/RIA
Client Status *	Active	Middle Name	
First Name	Primary	Suffix	
Last Name	Client	Group	
Company Name		Gender	Gender
TIN/SSN	111111212	Email	
DOB	MM/DD/YYYY		

Selected Rep Code
PS003
Selected Business Type
New Account
New/Existing Folder

Back

Click Save. 

Select the appropriate Sponsor tile.

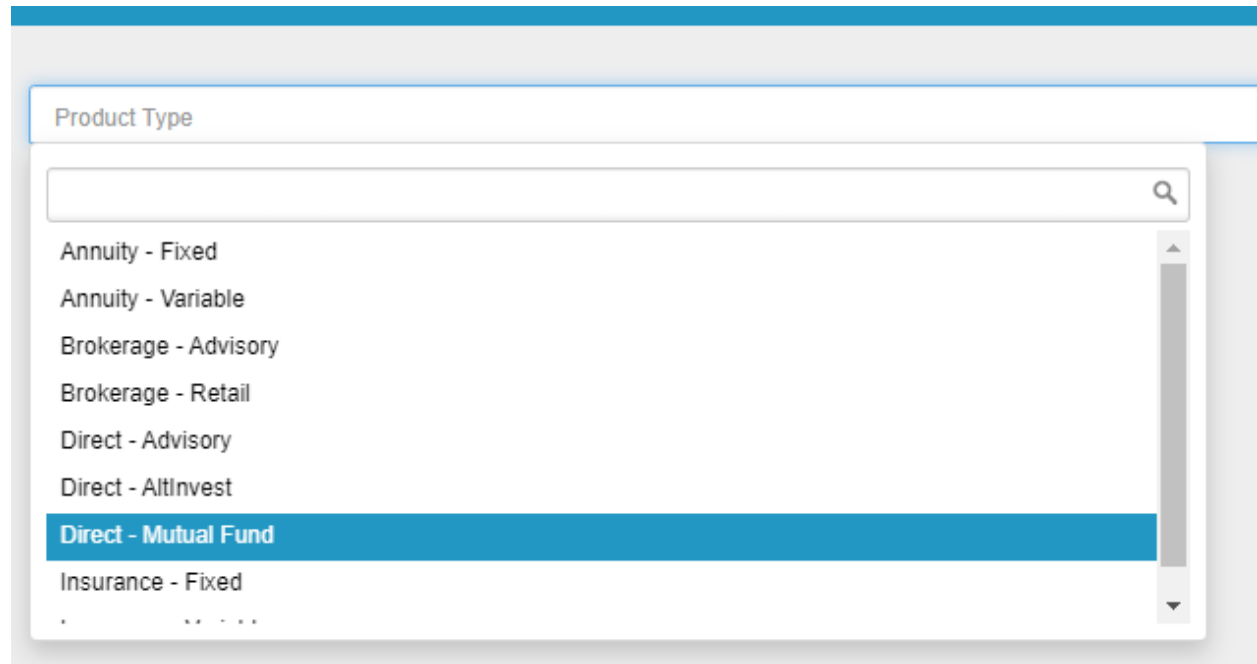


Select the State or click No State Required.

State

No State Required

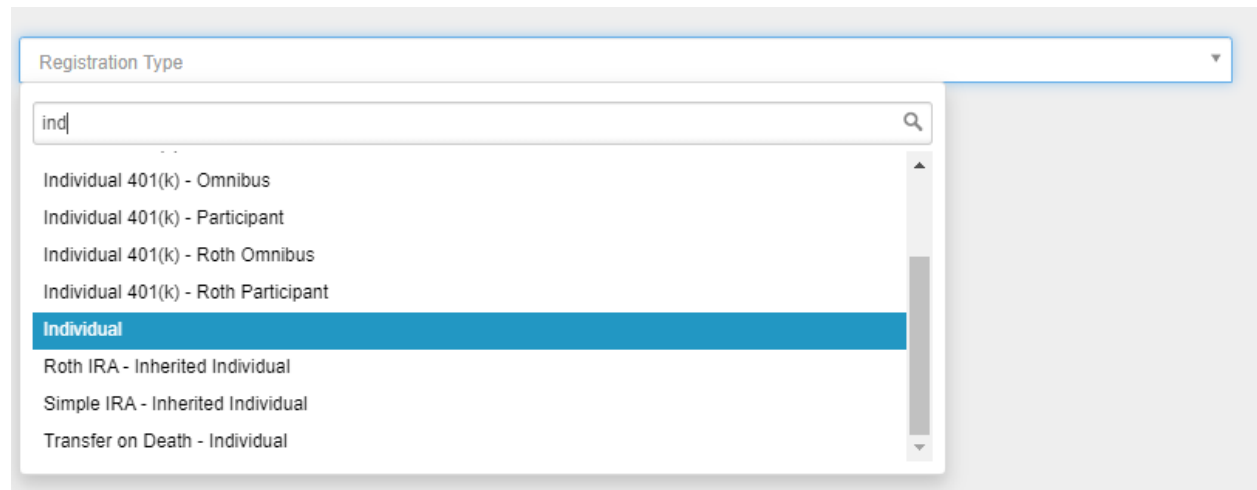
Select the Product Type.



A screenshot of a web application interface showing a dropdown menu for 'Product Type'. The menu is open, displaying a list of options. The option 'Direct - Mutual Fund' is highlighted with a blue background. The search bar at the top of the dropdown is empty. The list of options includes:

- Annuity - Fixed
- Annuity - Variable
- Brokerage - Advisory
- Brokerage - Retail
- Direct - Advisory
- Direct - AltInvest
- Direct - Mutual Fund**
- Insurance - Fixed

Select the Registration Type.



A screenshot of a web application interface showing a dropdown menu for 'Registration Type'. The menu is open, displaying a list of options. The option 'Individual' is highlighted with a blue background. The search bar at the top of the dropdown contains the text 'ind'. The list of options includes:

- Individual 401(k) - Omnibus
- Individual 401(k) - Participant
- Individual 401(k) - Roth Omnibus
- Individual 401(k) - Roth Participant
- Individual**
- Roth IRA - Inherited Individual
- Simple IRA - Inherited Individual
- Transfer on Death - Individual

Click Create 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
STEVE	CLIENT			PS003	REP3	PS	XXXXX3333		BD/RIA		Person	Active		

Options Selected

Client Information	STEVE CLIENT
Selected Rep Code	PS003
Selected Business Type	New Account
Selected Sponsor/Custodian	AMERICAN FUNDS
Selected Product Type	Direct - Mutual Fund
Selected Registration Type	Individual

Create Work Item

In the Client Work Item header bar, click Get Jcore Data.

Client Work Item

WI Notes **Get Jcore Data**

If the client exists in jaccomo, the client will display in the Jcore pop-up box. Click Apply.

Advisor Dashboard | Tracker BI | Dashboard | Monitor

JCore

JCore Data


#	First Name	Middle Name	Last Name	City	PostalCode	JCore ID	Action
1	Primary		Client	ANYWHERE	123455555	530.253913150	Apply

On the Customer Account Form in Docupace, click on the first blue arrow and go to Client and select the client's name.

Document #146894 - CUSTOMER ACCOUNT FORM

Page: 1 of 3

Automatic



Customer Account

I have received and reviewed the PCS Best Interest Disclosure and Account Type and discussed my investment needs with my Investment Professional prior to select

Select One: New Account Update Account

Account Type (Select One)

<input type="checkbox"/> Individual	<input type="checkbox"/> Inherited IRA	<input type="checkbox"/> SIMPLE IRA
<input type="checkbox"/> Joint WROS (default)	<input type="checkbox"/> IRA	<input type="checkbox"/> 401(k) / PSP
<input type="checkbox"/> Joint TIC	<input type="checkbox"/> Rollover IRA	<input type="checkbox"/> Individual (k)
<input type="checkbox"/> Joint Community Prop	<input type="checkbox"/> Roth IRA	<input type="checkbox"/> SEP IRA
<input type="checkbox"/> TOD	<input type="checkbox"/> Roth Conversion IRA	<input type="checkbox"/> 403(b)


Account Registration

Name (Primary Owner / Trust Name / Entity Name)		Name (Joint)	
PRIMARY CLIENT		Primary Client	
Client		Social Sec	
APPLICATION FOR INDIVIDUAL OR JOINT ACCOUNTS		Legal Stre	
CUSTOMER ACCOUNT FORM		City	
FORM CRS		Zip	
RECOMMENDATION DOCUMENTATION SUPPLEMENT		City	
Reset		Mailing Address (if different)	
Clear		Mailing Address	
Mailing Address (if different)		Mailing Address	
Email Address		Country of Citizenship	
Email Address		Email Address	
Home Phone Number		Business Phone Number	
Home Phone Number		Cell Phone Number	
Home Phone Number		Home Phone Number	

The client data in jacommo will populate the appropriate fields on the Customer Account Form.

Document #146894 - CUSTOMER ACCOUNT FORM

Page: 1 of 3

 PRIVATE CLIENT SERVICES™
MEMBER FINRA, SIPC
A Registered Investment Advisor

Customer Account Form

I have received and reviewed the PCS Best Interest Disclosure and Account Statement and discussed my investment needs with my Investment Professional prior to opening this account.

Select One: New Account Update Account

Account Type


<input type="checkbox"/> Individual	<input type="checkbox"/> Inherited IRA	<input type="checkbox"/> SIMPLE IRA
<input type="checkbox"/> Joint WROS (default)	<input type="checkbox"/> IRA	<input type="checkbox"/> 401(k) / PSP
<input type="checkbox"/> Joint TIC	<input type="checkbox"/> Rollover IRA	<input type="checkbox"/> Individual (k)
<input type="checkbox"/> Joint Community Prop	<input type="checkbox"/> Roth IRA	<input type="checkbox"/> SEP IRA
<input type="checkbox"/> TOD	<input type="checkbox"/> Roth Conversion IRA	<input type="checkbox"/> 403(b)

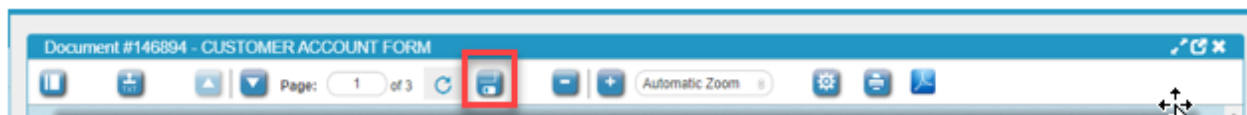
Account Representative Information

Name (Primary Owner / Trust Name / Entity Name)

Primary Client

Social Security # or Tax ID#	Marital Status	Date of Birth/Trust
111111212	Married	01/01/2021
Legal Street Address (No P.O. Box)		
123 MAIN ST		
City	State	Zip
ANYWHERE	WA	12345-5555
Mailing Address (if different)		
Email Address	Country of Citizenship	
client@email.com	null	
Home Phone Number	Business Phone Number	Cell Phone Number
1111111111		

When finished filling any remaining fields on the Customer Account Form, click the Save icon  at the top of the fillable form.



Information from the Customer Account Form should carry over to other forms in the Work Item.

1 Account registration

Select only one type of account.

- Individual account*
 Gift/Transfer to a minor (UGMA/UTMA)†
- Joint Tenants With Right of Survivorship (N/A in LA or PR)*
 Conservatorship/Guardianship
- Tenants in Common

*If you wish to add a Transfer on Death (TOD) beneficiary to the account registration, complete Section 7.

†If the state allows a successor custodian to be named, and if you wish to name a successor custodian, American Funds must receive an UGMA/UTMA Successor Custodian Designation form.

2 Account owner information

Important: This section must be completed and the application must be signed before an account can be established. Please type or print clearly.

<input type="text" value="11111212"/>	<input type="text" value="01/01/2021"/>	<input type="text"/>
SSN or TIN	Date of birth (mm/dd/yyyy)	Country of citizenship
	Primary	Client
First name of account owner or custodian, if applicable		Last
	123 MAIN ST	ANYWHERE WA 12345-5555
Residence address (physical address required — no P.O. boxes)		City State ZIP
	123 MAIN ST	ANYWHERE WA 12345-5555
Mailing address (if different from residence address)		City State ZIP
client@email.com		

If information is available and does not populate the form, click on the blue arrow next to the field, select Customer Account Form and the client name to insert the data.

<input type="text" value="11111212"/>	<input type="text" value="01/01/2021"/>	<input type="text"/>
SSN or TIN	Date of birth (mm/dd/yyyy)	Country of citizenship
	Primary	Client
First name of account owner or custodian, if applicable		Last
	123 MAIN ST	ANYWHERE WA 12345-5555
Residence address (physical address required — no P.O. boxes)		City State ZIP
	123 MAIN ST	ANYWHERE WA 12345-5555
Mailing address (if different from residence address)		City State ZIP
client@email.com		

Client

APPLICATION FOR INDIVIDUAL OR JOINT ACCOUNTS

CUSTOMER ACCOUNT FORM

FORM CRS

RECOMMENDATION DOCUMENTATION SUPPLEMENT

Reset

Clear

Be sure to click save after completing each form.



After completing all forms in the Work Item, go through the appropriate signature process and submit the Work Item.

New Account for an Existing Client in Docupace

Click on New > Starting Point.

A screenshot of the Docupace interface. At the top, there is a navigation bar with "Advisor Dashboard", "Tracker BI", "Dashboard", "Monitor", "Retrieve", "Administration", and "New". A dropdown menu is open under "New", showing options: "Starting Point", "Upload File", "Create Work Item", "Client Folder", "Client Subfolder", "Client Documents", "Advisor Office Folder", "Advisor Office Documents", "Unindexed Documents", "Forms", and "Labels". Below the menu is a table of advisors.

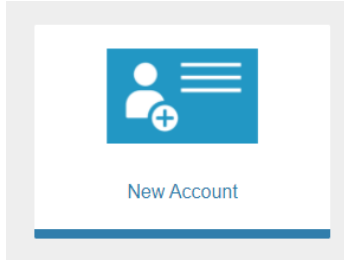
Advisor Name	Advisor ID	Account #	Creator	Work Item	Validation Mess
PM REP3	PS003		rarmock	21143	
PM REP3	PS003		rarmock	21142	
PM REP3	PS003		rarmock	21141	
AM REP3	PS003		rarmock	21140	
AM REP3	PS003		rarmock	21138	
AM REP3	PS003		rarmock	21137	Documents added
AM REP3	PS003		rarmock	21136	

Select the rep code.

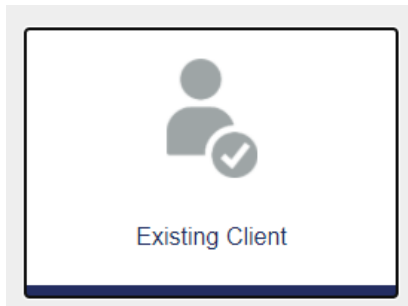
A screenshot of the Docupace interface showing a search filter for "Rep Code" set to "ps003". Below the filter is a table of advisors.

Rep Code	NFS #	Pershing #	Split Rep	Last Name	First Name	Rep SSN	OSJ Code	Rep Group
PS003				REP3	PS	XXXXX3333		✓

Select the New Account tile.



Select the Existing Client tile.



Search for and select the existing client.

Default Click on a record below to select. Show 15 entries

Clear

Full Name Search

Full Name Search

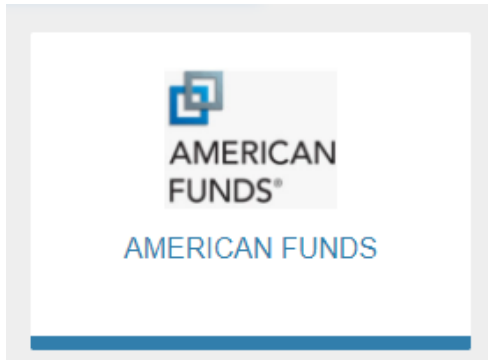
TIN/SSN

TIN/SSN

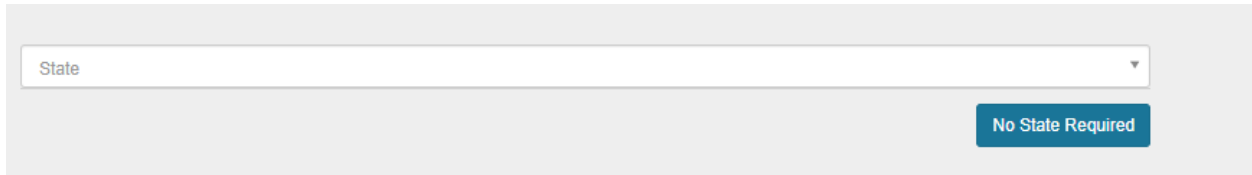
Last Name begins with

First Name	Last Name	Company Name	SSN Masked	Rep		Advisor First Name	Advisor Rep SSN	Advisor OSJ Code	Business Type	Last Note	Client Type	Client Status	User	Group
				Rep Code	Advisor Last Name									
IMA	CLIENT	IMA CLIENT	XXXX6985	BD123	REP	BD	XXXX3333	BD1	BD/RIA		Person	Active	ihill	
				PS123	REP	PS	XXXX4444	PS1						
JOE	CLIENT		XXXX6789	BD123	REP	BD	XXXX3333	BD1	BD/RIA		Person	Active	bd.rep	
				PS123	REP	PS	XXXX4444	PS1						
LARRY	CLIENT	LARRY CLIENT	XXXX	PS123	REP	PS	XXXX4444	PS1	BD/RIA		Prospect	Active	ramock	
PRIMARY	CLIENT		XXXX1212	PS003	REP3	PS	XXXX3333		BD/RIA		Person	Active	ramock	

Select the appropriate Sponsor tile.

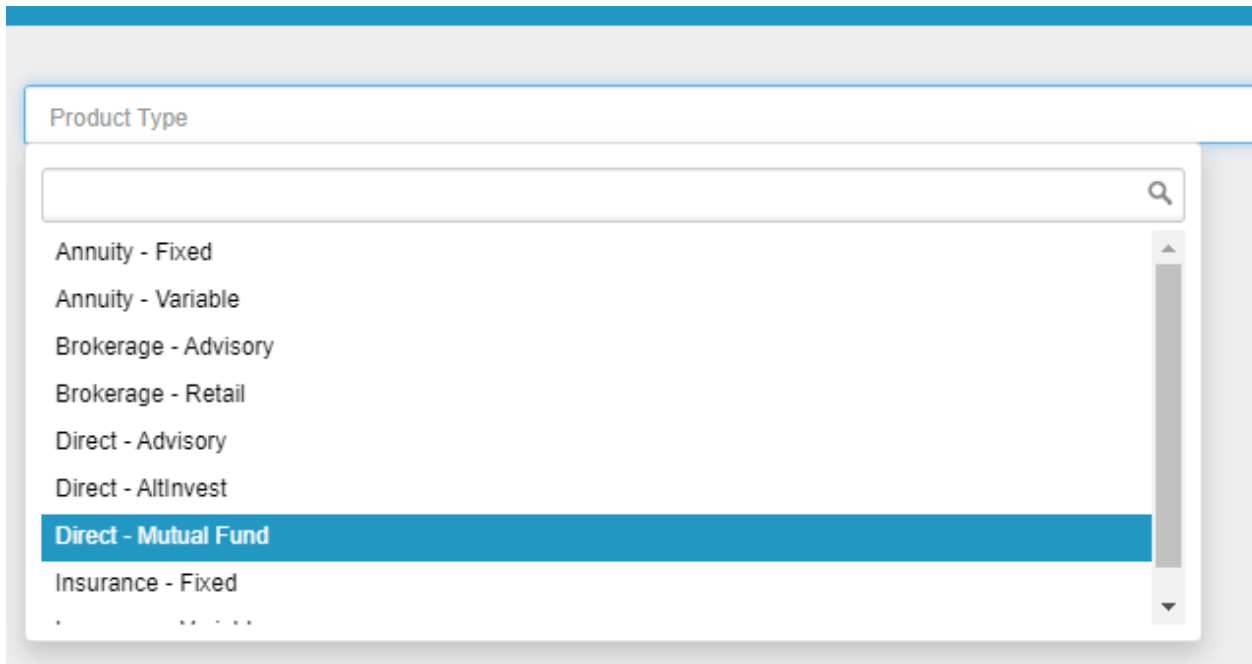


Select the State or click No State Required.



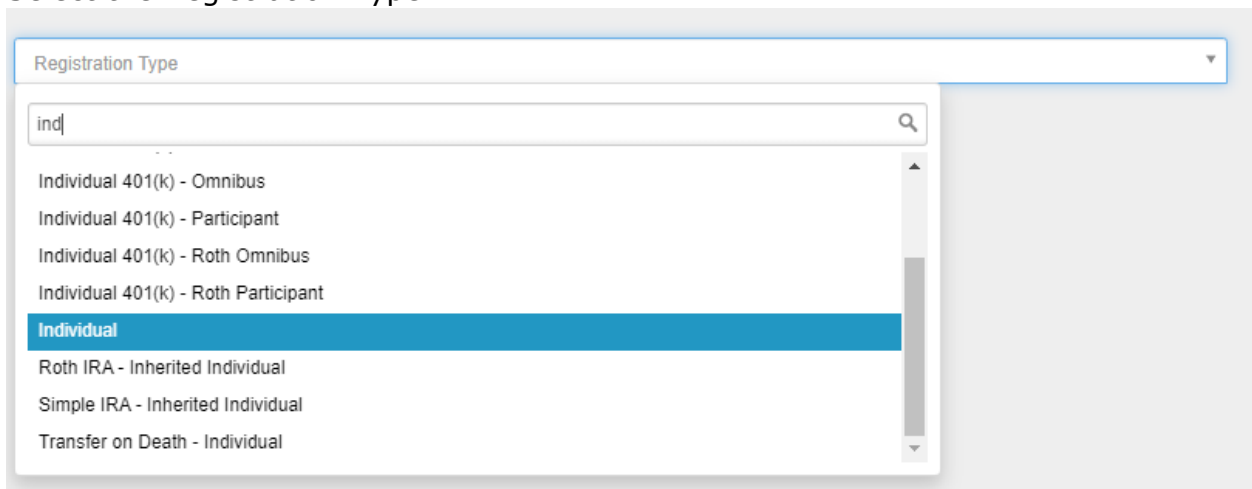
A screenshot of a web form. On the left, there is a dropdown menu with the text 'State' and a downward arrow. To the right of the dropdown is a blue button with the text 'No State Required'.

Select the Product Type.



A screenshot of a web form. At the top, there is a dropdown menu with the text 'Product Type'. Below it is a search bar with a magnifying glass icon. A list of product types is displayed below the search bar, with 'Direct - Mutual Fund' highlighted in blue. The list includes: Annuity - Fixed, Annuity - Variable, Brokerage - Advisory, Brokerage - Retail, Direct - Advisory, Direct - AllInvest, Direct - Mutual Fund, and Insurance - Fixed. There are also three dots at the bottom of the list.

Select the Registration Type.



A screenshot of a web form. At the top, there is a dropdown menu with the text 'Registration Type'. Below it is a search bar with the text 'ind' and a magnifying glass icon. A list of registration types is displayed below the search bar, with 'Individual' highlighted in blue. The list includes: Individual 401(k) - Omnibus, Individual 401(k) - Participant, Individual 401(k) - Roth Omnibus, Individual 401(k) - Roth Participant, Individual, Roth IRA - Inherited Individual, Simple IRA - Inherited Individual, and Transfer on Death - Individual.

Click Create 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
STEVE	CLIENT			PS003	REP3	PS	XXXXX3333		BD/RIA		Person	Active		

Options Selected

Client information STEVE CLIENT

Selected Rep Code PS003

Selected Business Type New Account

Selected Sponsor/Custodian AMERICAN FUNDS

Selected Product Type Direct - Mutual Fund

Selected Registration Type Individual

Create Work Item

In the Client Work Item header bar, click Get Jcore Data.



If the client exists in jacommo, the client will display in the Jcore pop-up box. Click Apply.

JCore
✕

JCore Data

#	First Name	Middle Name	Last Name	City	PostalCode	JCore ID	Action
1	Primary		Client	ANYWHERE	123455555	530.253913150	Apply

On the Customer Account Form in Docupace, click on the first blue arrow and go to Client and select the client's name.

Document #146894 - CUSTOMER ACCOUNT FORM

Page: 1 of 3

Automatic

PRIVATE CLIENT SERVICES
MEMBER FINRA, SIPC
A Registered Investment Advisor

Customer Account

I have received and reviewed the PCS Best Interest Disclosure and Account Type and discussed my investment needs with my Investment Professional prior to select

Select One: New Account Update Account

Account Type (Select One)

<input type="checkbox"/> Individual	<input type="checkbox"/> Inherited IRA	<input type="checkbox"/> SIMPLE IRA
<input type="checkbox"/> Joint WROS (default)	<input type="checkbox"/> IRA	<input type="checkbox"/> 401(k) / PSP
<input type="checkbox"/> Joint TIC	<input type="checkbox"/> Rollover IRA	<input type="checkbox"/> Individual (k)
<input type="checkbox"/> Joint Community Prop	<input type="checkbox"/> Roth IRA	<input type="checkbox"/> SEP IRA
<input type="checkbox"/> TOD	<input type="checkbox"/> Roth Conversion IRA	<input type="checkbox"/> 403(b)


Account Registration

Name (Primary Owner / Trust Name / Entity Name)		Name (Joint)	
PRIMARY CLIENT		Primary Client	
Client		Social Sec	
APPLICATION FOR INDIVIDUAL OR JOINT ACCOUNTS		Legal Stre	
CUSTOMER ACCOUNT FORM		City	
FORM CRS		Zip	
RECOMMENDATION DOCUMENTATION SUPPLEMENT		City	
Reset		Mailing Address (if different)	
Clear		Mailing Address	
Mailing Address (if different)		Mailing Address	
Email Address		Country of Citizenship	
Email Address		Email Address	
Home Phone Number		Business Phone Number	
Home Phone Number		Cell Phone Number	
Home Phone Number		Home Phone Number	

The client data in jacommo will populate the appropriate fields on the Customer Account Form.

Document #146894 - CUSTOMER ACCOUNT FORM

Page: 1 of 3

 PRIVATE CLIENT SERVICES™
MEMBER FINRA, SIPC
A Registered Investment Advisor

Customer Account Form

I have received and reviewed the PCS Best Interest Disclosure and Account Statement and discussed my investment needs with my Investment Professional prior to opening this account.

Select One: New Account Update Account

Account Type


<input type="checkbox"/> Individual	<input type="checkbox"/> Inherited IRA	<input type="checkbox"/> SIMPLE IRA
<input type="checkbox"/> Joint WROS (default)	<input type="checkbox"/> IRA	<input type="checkbox"/> 401(k) / PSP
<input type="checkbox"/> Joint TIC	<input type="checkbox"/> Rollover IRA	<input type="checkbox"/> Individual (k)
<input type="checkbox"/> Joint Community Prop	<input type="checkbox"/> Roth IRA	<input type="checkbox"/> SEP IRA
<input type="checkbox"/> TOD	<input type="checkbox"/> Roth Conversion IRA	<input type="checkbox"/> 403(b)

Account Representative Information

Name (Primary Owner / Trust Name / Entity Name)

Primary Client

Social Security # or Tax ID#	Marital Status	Date of Birth/Trust
111111212	Married	01/01/2021
Legal Street Address (No P.O. Box)		
123 MAIN ST		
City	State	Zip
ANYWHERE	WA	12345-5555
Mailing Address (if different)		
Email Address	Country of Citizenship	
client@email.com	null	
Home Phone Number	Business Phone Number	Cell Phone Number
1111111111		

When finished filling any remaining fields on the Customer Account Form, click the Save icon  at the top of the fillable form.

Document #146894 - CUSTOMER ACCOUNT FORM

Page: 1 of 3



Information from the Customer Account Form should carry over to other forms in the Work Item.

1 Account registration

Select only one type of account.

- Individual account*
 Gift/Transfer to a minor (UGMA/UTMA)†
- Joint Tenants With Right of Survivorship (N/A in LA or PR)*
 Conservatorship/Guardianship
- Tenants in Common

*If you wish to add a Transfer on Death (TOD) beneficiary to the account registration, complete Section 7.

†If the state allows a successor custodian to be named, and if you wish to name a successor custodian, American Funds must receive an UGMA/UTMA Successor Custodian Designation form.

2 Account owner information




Important: This section must be completed and the application must be signed before an account can be established. Please type or print clearly.

<input type="text" value="11111212"/>	<input type="text" value="01/01/2021"/>	<input type="text"/>
SSN or TIN	Date of birth (mm/dd/yyyy)	Country of citizenship
 Primary	Client	
First name of account owner or custodian, if applicable	MI	Last
 123 MAIN ST	ANYWHERE	WA 12345-5555
Residence address (physical address required — no P.O. boxes)	City	State ZIP
 123 MAIN ST	ANYWHERE	WA 12345-5555
Mailing address (if different from residence address)	City	State ZIP
client@email.com		

If information is available and does not populate the form, click on the blue arrow next to the field, select Customer Account Form and the client name to insert the data.

2 Account owner information

Important: This section must be completed and the application must be signed before an account can be established. Please type or print clearly.

<input type="text" value="11111212"/>	<input type="text" value="01/01/2021"/>	<input type="text"/>
SSN or TIN	Date of birth (mm/dd/yyyy)	Country of citizenship
 Primary	Client	
First name of account owner or custodian, if applicable	MI	Last
 CUSTOMER ACCOUNT FORM	ANYWHERE	WA 12345-5555
Residence address (physical address required — no P.O. boxes)	City	State ZIP
 Reset	ANYWHERE	WA 12345-5555
Mailing address (if different from residence address)	City	State ZIP
client@email.com		

Be sure to click save after completing each form.



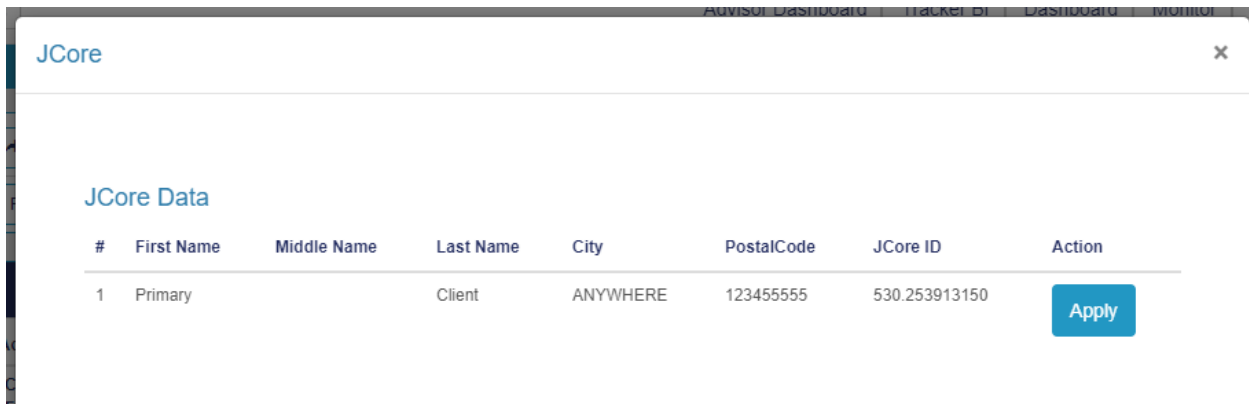
After completing all forms in the Work Item, go through the appropriate signature process and submit the Work Item.

Get Jcore Data Button in other Work Item Types

The Get Jcore Data Button can be used in any Client Work Item to retrieve data from jacommo.



By clicking Apply, you will bring in current data for that Work Item from jacommo.



You can then use the blue arrow to select and populate the applicable fields on the form.