



Investment Planners, Inc.
Member FINRA/SIPC

Integrity ★ Performance ★ Innovation



User Guide

Table of Contents

SECTION I:

Launch Starting Point from <u>Dashboard</u>	page 1
Launch Starting Point from <u>Salesforce – Existing Client in Docupace</u>	page 6
Launch Starting Point from <u>Salesforce – New Client</u>	page 7
Launch Starting Point from <u>Docupace Client Folder</u>	page 8

SECTION II:

The Work Item	page 9
Print the Forms	page 10

SECTION III:

Upload Signed Documents to Work Item	page 11
Submit Work Item for Home Office Review	page 12

SECTION IV:

Upload Checks & Stock Certificates	page 14
------------------------------------	---------

SECTION I: Launch Starting Point from Dashboard

To create a new account, log in to Docupace and follow these instructions.

****See pages 6-7 to launch Starting Point from Salesforce****

Dashboard | Monitor | Retrieve ▾ | Administration | New ▾ | nicko@investm... ▾

or	Work Item Id	SLA Start PT
eh@investment-rs.com	137	08/05/15 12: PM
	196	08/11/15 7:1 PM
@investment-rs.com	232	08/12/15 3:4 PM
co@investment-rs.com	239	08/13/15 2:4 PM
jinvestment-rs.com	247	08/13/15 3:0 PM
jinvestment-rs.com	250	08/13/15 3:2 PM

- Starting Point
- Upload File
- Create Work Item
- Client Folder
- Client Subfolder
- Client Documents
- Operation Folder
- Operation Documents
- Personal Documents
- Personal Folder
- Associated Person Folder
- Associated Person Subfolders
- Associated Person Documents
- Accounting Folder
- Accounting Documents

From Pool ↗ Reassign

Validation Message

Image Updated on 08/31/15

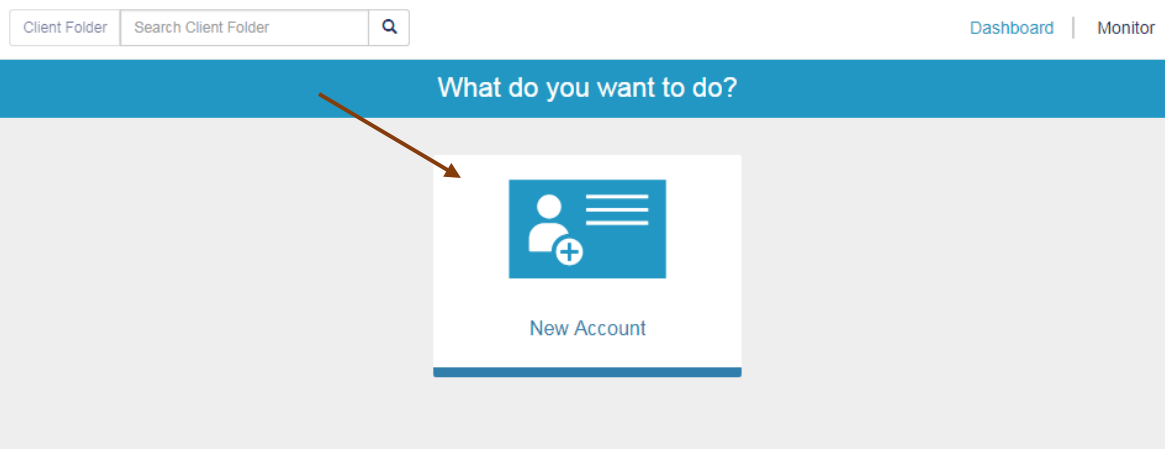
Previous Next

Client Folder | Search Client Folder | 🔍

Dashboard | Monitor

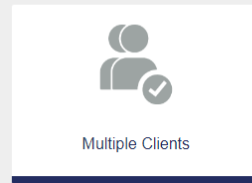
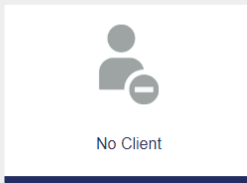
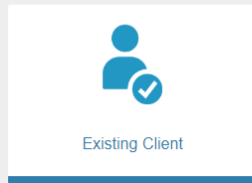
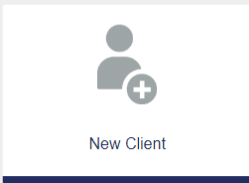
What do you want to do?

New Account



Select "Existing Client"

Who do you want to do this for?



Search Existing Client

Search and select an existing folder:

Default

Clear Search

SSN/TIN

SSN/TIN

Last Name begins with

Demo

First Name begins with

Sally

Entity Name

Entity Name

Household

Household

Click on a record below to select:

Household	Last Name	First Name	Entity Name	SSN/TIN	Rep						Business Type	Last Note
					Rep #	First Name	Last Name	City	State	BD		
▼	DEMO	SALLY	IPI DEMO	XXXXX333399999	999	IPI	HOME OFFICE	DECATUR	IL	IPI	IPI	
					12345	MICHELLE	HANCOCK 2	DECATUR	IL	IPI	IPI	
▼	DEMO	SALLY	IPI DEMO	XXXXX3333	99999	HOME OFFICE	ARCHIVE	DECATUR	IL	IPI	IPI	
					12345	MICHELLE	HANCOCK 2	DECATUR	IL	IPI	IPI	
▼	DEMO	SALLY	IPI DEMO	XXXXX33340506		MICHAEL	BALCH		IL	IPI	Non-IPI	

Select Client

Refresh

Household	Last Name	First Name	Entity Name	SSN/TIN	Rep						Business Type	Last Note	Client Type	Client Status	User
					Rep #	First Name	Last Name	City	State	BD					
▼	DEMO	SALLY	IPI DEMO	XXXXX333399999	999	IPI	HOME OFFICE	DECATUR	IL	IPI	IPI		Person	Active	nicko@irplanners.com
					12345	MICHELLE	HANCOCK 2	DECATUR	IL	IPI	IPI				
▼	DEMO	SALLY	IPI DEMO	XXXXX3333	99999	HOME OFFICE	ARCHIVE	DECATUR	IL	IPI	IPI		Person	Active	nicko@investmentplanners.com
					12345	MICHELLE	HANCOCK 2	DECATUR	IL	IPI	IPI				

Click "No State Required" or Select State (required for VAs)



IPI Wealth Management, Inc.
Strategic Lifestyle and Wealth Management

Client Folder

Search Client Folder



Select a State

State

No State Required

Select Product Type

(Sometimes it's defaulted & will not be an option)



IPI Wealth Management, Inc.
Strategic Lifestyle and Wealth Management

Client Folder

Search Client Folder



Select a Product Type

Product Type

Advisor Managed

Brokerage

RBC Managed

SSGA

Select Registration Type



IPI Wealth Management, Inc.
Strategic Lifestyle and Wealth Management

Client Folder

Search Client Folder



Select Registration Type

Registration Type

IRA - Traditional

IRA Beneficiary

Individual

Institutional

JTTIC

JTWROS

Joint Community Property

Joint Tenants in Common

Review Documents in Bundle

Confirm all required documents are in the "Required Forms" box

IPI Wealth Management, Inc. Client Folder Search Client Folder Dashboard Monitor Retrieve Administration New nicko@investm...

Review summary before creating Work Item

Options Selected

Selected Request group	New Account
Selected Vendor	RBC
Selected Product Type	Advisor Managed
Selected Registration Type	Individual

Create Work Item

Required Forms

- ADV PART 2A DISCLOSURE BROCHURE Preview
- INVESTNET CONSOLIDATED REPORTING DISCLOSURE Preview
- INVESTMENT ADVISORY SERVICES AGREEMENT Preview
- INVESTMENT POLICY STATEMENT Preview

Optional Forms

- ACCOUNT TRANSFER FORM Add Preview
- CLIENT RBC EXPRESS CREDIT ACCOUNT AGREEMENT Add Preview
- ELECTRONIC FUNDS/ACH AUTHORIZATION Add Preview
- FULL TRADING AUTHORIZATION W/PRIVILEGE TO WITHDRAW Add Preview

History

- Selected Request group
- New Account
- New/Existing Folder
- Selected Vendor
- RBC
- No State Required
- Selected Product Type
- Advisor Managed
- Selected Registration Type
- Individual

Back

Add Optional Forms to the Work Item (if needed)

Add Forms

- ENVESTNET CONSOLIDATED REPORTING DISCLOSURE Preview
- INVESTMENT ADVISORY SERVICES AGREEMENT Preview
- IPI ACCOUNT OPENING/UPDATE CONFIRMATION Preview
- IPI RBC NEW ACCOUNT Preview
- CLIENT RBC EXPRESS CREDIT ACCOUNT AGREEMENT Add Preview
- ELECTRONIC FUNDS/ACH AUTHORIZATION Add Preview
- INVESTMENT ACCESS CREDIT APPLICATION Add Preview
- IRREVOCABLE STOCK OR BOND POWER Add Preview

Search More Optional Forms in Forms Library (if needed)
Use search filter on left side to narrow search results, then click Search

Add additional forms

Default
✓ Select ✕ Cancel ☆ Add to Favorites
Show 15 entries

Clear

Form Author

RBC CAPITAL MARKETS

✓ Select All ✕ Select None ✕ Close

- RBC CAPITAL MARKETS ✓

No records available.

Search Forms

Select Optional Form to add to Work Item

Add additional forms

Default
✓ Select ✕ Cancel ☆ Add to Favorites

Clear

Form Author

RBC CAPITAL MARKETS

Form Name contains

	Form Author	Form Name	Minor Revision	Major Revision	Creation Date	Revision Date	File Size	GUID	Form Type	Pages
<input type="checkbox"/>	RBC CAPITAL MARKETS	CLIENT RBC EXPRESS CREDIT ACCOUNT AGREEMENT			06/29/18	06/01/18	281335	32225-QUIK00000000000000000000000000000000		6

Create Work Item

Options Selected

Client information SALLY DEMO

Selected Request group New Account

Selected Vendor RBC

Selected Product Type Advisor Managed

Selected Registration Type Individual

[Create Work Item](#)

Required Forms Add Forms

ADV PART 2A DISCLOSURE BROCHURE
[Preview](#)

CLIENT RBC EXPRESS CREDIT ACCOUNT AGREEMENT
[Remove](#) [Preview](#)

ENVESTNET CONSOLIDATED REPORTING DISCLOSURE
[Preview](#)

INVESTMENT ADVISORY SERVICES AGREEMENT
[Preview](#)

INVESTMENT POLICY STATEMENT
[Preview](#)

IPI ACCOUNT OPENING/UPDATE CONFIRMATION
[Preview](#)

IPI RBC NEW ACCOUNT
[Preview](#)

Launch Starting Point from Salesforce – Existing Client in Docupace

Navigate to the Contact Record, Click “Docupace Starting Point”

If client exists in Docupace, Starting Point will automatically launch

Contact
Mrs. Sally Demo

Customize Page | Edit Layout | Printable View | Help for this Page

Show Feed Add Tags

Docupace Document [45+] | Contacts (Accountant) [0] | iContact Clicked Links [0] | iContact Message Statistic [0] | Contacts (Attorney) [0] | Investnet Financial Accounts [4] | Open Activities [1] | Activity History [15] | Notes & Attachments [3] | Direct Transactions (Individual) [1] | Direct Transactions (Individual 2) [0] | Hobbies [1] | Signature Guarantee Stamps [0] | Signature Guarantees [0] | Signature Guarantees (Client Name 2) [0] | Signature Guarantees (Client Name 3) [0]

Contact Detail Edit Delete Clone Manage External User Launch Laser App **Docupace Client** Docupace Starting Point

Custom Links	IPI Data Aggregation Income Report	Google Search Yahoo! Maps	Google Maps
Account Name	IPI Demo	RepID	99999
Record Type ID	012A00000008eFP	Source	401k
Contact Record Type	Client [Change]	Referred By	Billy Bob
Individual Type	Client	Other Address	
Advisor Code			

Create Client in Docupace from Salesforce Contact Record

Create Account & Contact Record in Salesforce, Click “Docupace Client” (picture above)

Verify information is correct: First Name, Last Name, SSN, Advisor Code

Select Client Type: Entity/Person, then Click “Create a New Client”

Existing client in Docupace with SSN/TIN matching this contact record in Salesforce

Select an existing Client Folder already in Docupace

Action	Company Name	First Name	Last Name	Account Relationship	SSN	Date Of Birth	Rep Code	Rep F
Select a Client								

If the client does not exist in the list above, create NEW client in Docupace

Docupace Required Fields

Create a New Client

*First Name	Mitchell
*Last Name	Trubisky
*SSN	896552134
*Advisor Code	12345
*Client Type	Person

Create a New Client

Launch Starting Point from Salesforce – New Client

**Salesforce will single sign-on to Docupace to create the Client Folder (previous page)
After the Client Folder is created, close the window and go back to the Salesforce Client Record**

Click “Docupace Starting Point” to begin the New Account Opening process

Contact **Mrs. Sally Demo** Customize Page | Edit Layout | Printable View | Help for this Page

Show Feed Add Tags

[Docupace Document \[45+\]](#) | [Contacts \(Accountant\) \[0\]](#) | [iContact Clicked Links \[0\]](#) | [iContact Message Statistic \[0\]](#) | [Contacts \(Attorney\) \[0\]](#) | [Investnet Financial Accounts \[4\]](#) | [Open Activities \[1\]](#) | [Activity History \[15\]](#) | [Notes & Attachments \[3\]](#) | [Direct Transactions \(Individual\) \[1\]](#) | [Direct Transactions \(Individual 2\) \[0\]](#) | [Hobbies \[1\]](#) | [Signature Guarantee Stamps \[0\]](#) | [Signature Guarantees \[0\]](#) | [Signature Guarantees \(Client Name 2\) \[0\]](#) | [Signature Guarantees \(Client Name 3\) \[0\]](#)

Contact Detail Edit Delete Clone Manage External User Launch Laser App Docupace Client Docupace Starting Point

Custom Links [IPI Data Aggregation](#) [Income Report](#) [Google Search](#) [Google Maps](#)
[Yahoo! Maps](#)

Account Name	IPI Demo	RepID	99999
Record Type ID	012A00000008eFP	Source	401k
Contact Record Type	Client [Change]	Referred By	Billy Bob
Individual Type	Client	Other Address	
Advisor Code			

Launch Starting Point from Docupace Client Folder

Navigate to the Client Folder, Click "Starting Point"



IPI Wealth Management, Inc.
Strategic Lifestyle and Wealth Management

Client Folder

Search Client Folder

New ▾

michelleh2@in... ▾

Retrieve / Client Folder #801536

◀ Previous Next ▶ ← Back

Client Folder

🏠 Starting Point 📄 Barcode

Household	Last Name	First Name	Entity Name
-----------	-----------	------------	-------------

Source Site	Client ID
-------------	-----------

TRUBISKY	MITCHELL	IPI DEMO
----------	----------	----------

SECTION II: The Work Item (continuation of page 5)

Split screen: Left – scroll up & down to see the work item info, client documents, required & optional forms, folder and subfolder

Split screen: Right – form selected, forms validations

Enter any missing data on each form, select the save icon (disk)

Work Item Client Documents

Client Document Type	Form name	Document Date	Business Type	Last Note	Document Review Status	Principal Review Status	Principal Review Date	Document ID
Account Maintenance	ADV PART 2A DISCLOSURE BROCHURE		IPI		-			1171458
Form	CUSTODIAL ROTH IRA ADOPTION AGREEMENT		IPI		-			1171459
Investment Reporting	IPI Investment Reporting Authorization		IPI		-			1171460
Advisory Services	IPI Advisory Services Agreement		IPI		-			1171461
Investment Policy	IPI Investment Policy Statement		IPI		-			1171462
Account Opening/Update	IPI Account Opening/Update Confirm		IPI		-			1171463
IPI New Account Form	RBC New Account Form		IPI		-			1171464

Document #1171464 - RBC New Account Form

Account Number: [Red Box] Rep Name: Rep ID: IPI DEMO

ACCOUNT OWNERSHIP INFORMATION

Account Type: Please select one of the following account types and note that some account types may require additional paperwork:

Individual Joint WROS Joint TIC Custodial Corporation

Trust Entity Estate Sole Proprietorship Traditional IRA

Roth IRA SEP SIMPLE Decedent IRA Other

Name and Address of Primary Account Owner/Trustee (include legal and client physical mailing address, if needed): Sally Demo, 326 W. Eldorado St., Decatur, IL 62522

Name and Address of Joint Account Owner/Co-Trustee/Associated Client: [Red Box]

Date of Birth: 11/22/1985 SSN: 111223333 Date of Birth: [Red Box] SSN: [Red Box]

Home Phone: (217) 425-5555 Business Phone: (217) 555-5555 Home Phone: [Red Box] Business Phone: [Red Box]

Mobile Phone: (217) 217-6666 Fax Number: [Red Box] Mobile Phone: [Red Box] Fax Number: [Red Box]

Country of Citizenship: USA Country of Dual Citizenship: [Red Box] Marital Status: Married Country of Citizenship: [Red Box] Country of Dual Citizenship: [Red Box] Marital Status: [Red Box]

Citizenship at Birth: [Red Box] Citizenship at Birth: [Red Box]

Email Address: esignertest@gmail.com Email Address: [Red Box]

Primary ID Document (if dual citizen, please provide copy of passport): Driver's License Passport State I.D. Photo I.D. Other I.D. Primary ID Document (if dual citizen, please provide copy of passport): Driver's License Passport State I.D. Photo I.D. Other I.D.

Primary I.D. Document Number: 1234567890 Issue Date: 11/22/2013 Primary I.D. Document Number: [Red Box] Issue Date: [Red Box]

Issuer Name: DMV Decatur State/Country Issued By: United States Issuer Name: [Red Box] State/Country Issued By: [Red Box]

Expiration Date: 11/30/2021 Occupation: Trainer Expiration Date: [Red Box] Occupation: [Red Box]

Employer Name and Address: [Red Box] Employer Name and Address: [Red Box]

Work Item Hints

Use the red & yellow boxes to navigate to the missing data

Use the Adobe symbol in the upper right corner to download the document

Use the "Add New" button to add in outside documents to the Work Item

Print the Forms

When forms are complete, click "Actions" > "Combine & Print"

The screenshot shows a web application interface. At the top, there is a blue header with the text 'Monitor / Work Item #117396'. Below this, there is a section titled 'Pending Advisor Review' with a text input field. To the right of this section is an 'Actions' dropdown menu. The dropdown menu is open, showing several options: 'Attach', 'eSign', 'Combine & Print' (which is circled in red), 'Barcode', and 'Reassign'. Below the 'Actions' menu is a table titled 'ePACs Work Items'. The table has columns for 'Work Item Id', 'Work Item Priority', 'Request Type', 'Account #', 'Client First Name', 'Client Last Name', 'Client Company Name', 'TIN/SSN', 'Rep #', 'First Name', 'Last Name', 'City', and 'State'. The first row of data shows '117396' for Work Item Id, 'NA - RBC Advisor Managed' for Request Type, 'SALLY DEMO' for Client Name, and 'XXXXXX3333000' for TIN/SSN.

Print the Forms

Checkmark "Generate Coversheets", then Click "Print"

Whole set of documents will open in a new window

HINT: If the pop-up is blocked, click to allow pop-ups for the website

Keep Coversheets to upload the documents after signatures

The screenshot shows a 'Print Documents' dialog box. The dialog box has a title bar with 'Print Documents' and a close button. Inside the dialog box, there are three checkboxes: 'Generate Coversheets' (which is checked), 'Print paperwork double sided', and 'Print paperwork without client SSN'. At the bottom right of the dialog box, there are two buttons: 'Cancel' and 'Print'. The background of the dialog box shows a blurred view of the web application interface, including a search bar, an 'Actions' dropdown menu, and a table with columns for 'First Name', 'Last Name', 'City', and 'State'.

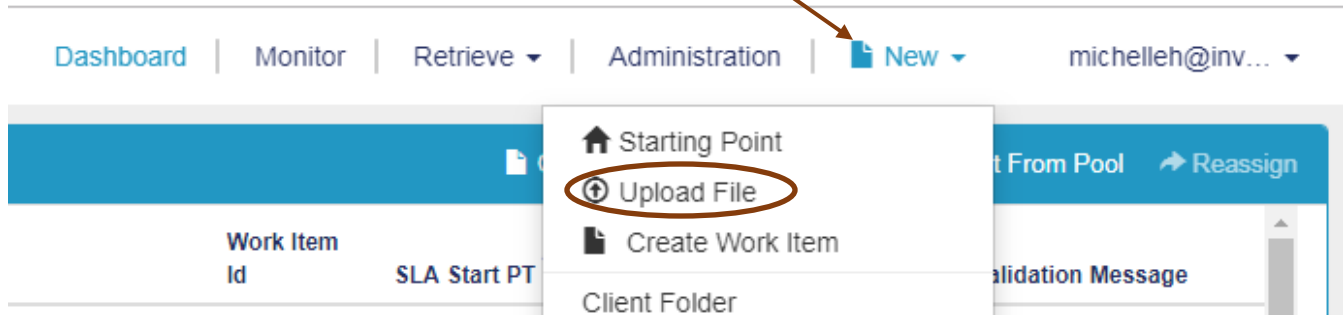
SECTION III: Upload Signed Documents to Work Item

Place Coversheets on top of each corresponding document

Scan all pages as 1 document and save to computer

On Docupace, click "New" in the upper right corner (beside username)

Select "Upload File" in the dropdown menu



Upload Signed Documents to Work Item with Coversheets

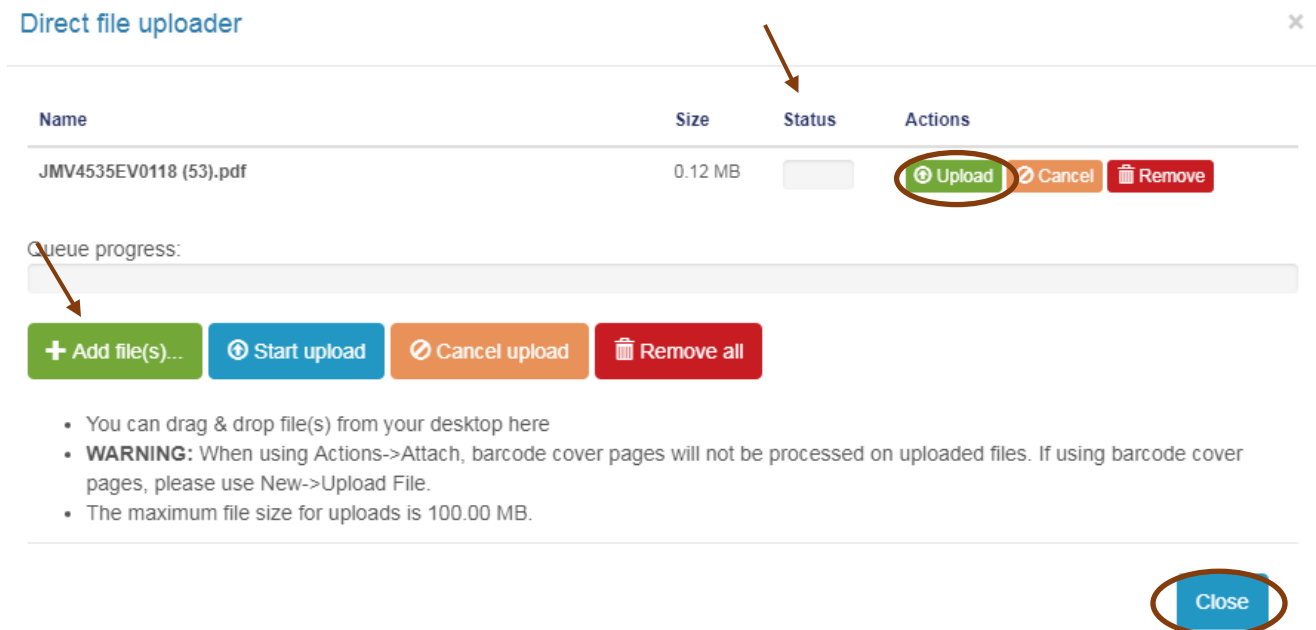
When the Direct File Uploader opens, either drag and drop file into the window or select "Add Files(s)" then navigate to the file of the signed documents

After the file name appears, select the green "Upload" button

When a checkmark appears beside the Status bar, the upload is complete

Click "Close" to close the window

NOTE: When using Coversheets, do NOT go to the Work Item and use the Actions > Attach option (see WARNING on screen below)



Submit Work Item for Home Office Review

The Work Item is visible on Dashboard in "Pending Advisor Review" queue or on Monitor

When signed documents are indexed, a message will appear under the Validation Message column: "Image Updated on [date]"

Dashboard | Monitor | Retrieve ▾ | Administration |  New



Work Item e Id	SLA Start PT	Task Name	Validation Message
140971	06/14/19 11:37 AM	Pending Advisor Review	Image Updated on 06/18/19

Submit Work Item for Home Office Review

Open Work Item to confirm all documents were uploaded correctly

Open documents using the pencil (edit) to enter Document Date (date the client signed) and any applicable notes

Select "Send for Review" to send the Work Item to the Home Office for review

Use the Monitor screen check the status of the Work Item

When APPROVED, Work Item will no longer appear in Monitor or Dashboard

Documents are visible in the Client's Subfolder

Monitor / Work Item #140971

Pending Advisor Review

⚙️ Actions ▾
➡️ Reassign

Send for review
Reject
Archive

ePACs Work Items

		Folder/Subfolder							
Work Item Id	Work Item Priority	Request Type	Account #	Client First Name	Client Last Name	Client Company Name	TIN/SSN	Rep #	First Name
140971		NA - Brokerage		SALLY	DEMO		XXXXXX333399999		HOME OFFICE

Work Item Client Documents

➕ Add New
📄 Stamp ▾
📊 Barcode
🖨️ Combine & Print
🔄 Merge
📄 eSign
📁 Create WI
🔄 Sync from Form

<input type="checkbox"/>	Client Document Type	Form name	Document Date	Business Type	Last Note	Document Review Status	Principal Review Status	Principal Review Status Date
<input checked="" type="checkbox"/>	Adoption Agreement	CUSTODIAL ROTH IRA ADOPTION AGREEMENT	06/14/19	IPI		-		
<input checked="" type="checkbox"/>	Account Opening/Update Confirm	IPI Account Open/Update Confirm		IPI		-		
<input checked="" type="checkbox"/>	IPI New Account Form	RBC New Account Form	06/14/19	IPI		-		

Document #1203939 -

CUSTODIA
Date original:

SECTION O
 Name and Ac
 Sally Den
 226 W. E

SSN
11122333

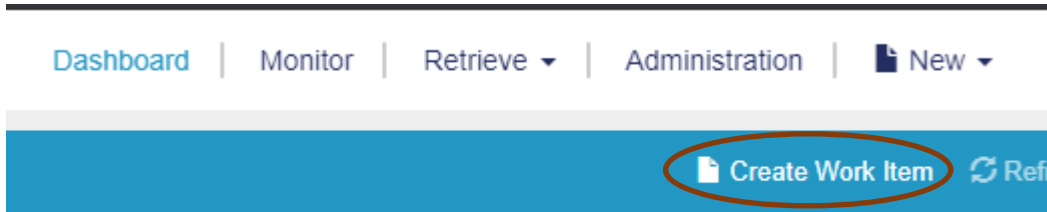
SECTION T
 Select One:
 Roth I
 Rollov (complete)
 Transf
 Direct (complete)

SECTION T

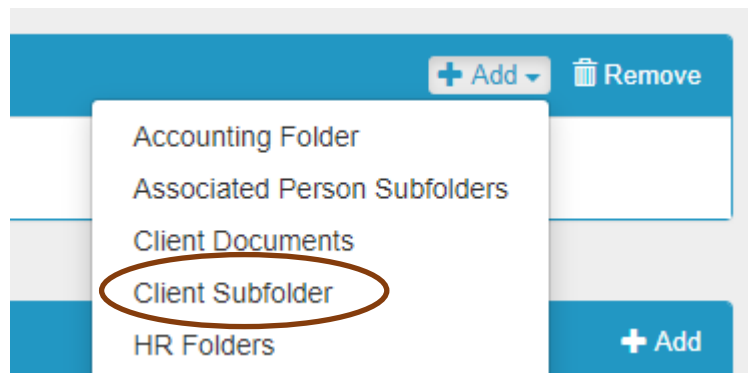
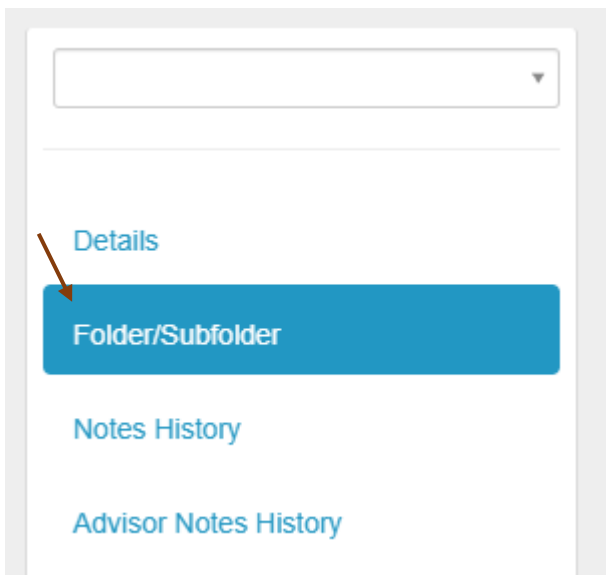
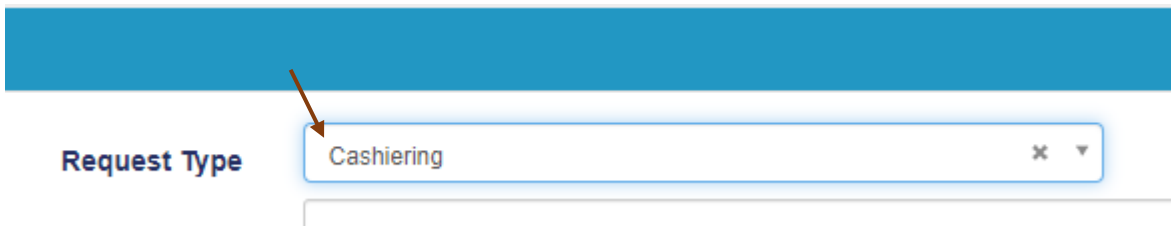
SECTION IV: Upload Checks & Stock Certificates

You will use Docupace to create a Checks or Stock Certificates Received Blotter. To upload and submit a check for review, please follow the steps below.

From the Home Screen of Docupace, click on Create Work Item



On the next screen, select "Cashiering" in the Request Type dropdown
On the left side of the page, click on "Folder/Subfolder" to jump to that section
In the right corner of the Folder/Subfolder section, click Add > Client Subfolder



On the next screen, be sure the search function is "Subfolder By Client"

To locate the appropriate Subfolder in which the check is being deposited, enter the Client's First and/or Last name or Account # or Entity Name, then click Search.

To select the corresponding Subfolder, click on highlighted line or click the checkbox and Select at the top.

Screen will go back to the Work Item Details page

You will see a blue circle with a "1" next to the Folder/Subfolder. Click Save in upper right corner.

Dashboard / Select

Subfolder By Client

Clear

Account #

First Name

Last Name

SSN/TIN

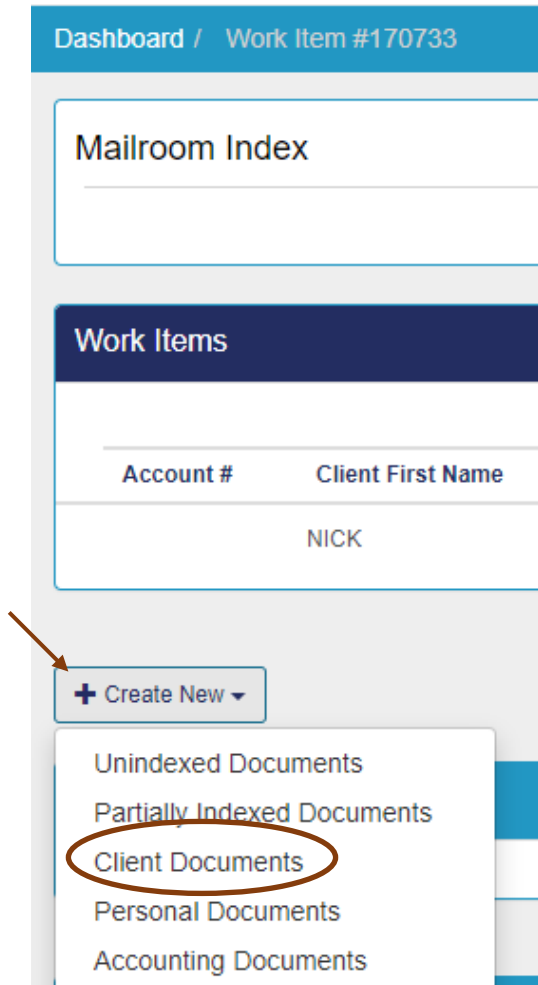
Entity Name

Notes History

External Doc ID

<input type="checkbox"/>	Subfolder Type	Registration Type	Product Type	Sponsor/Custodian	Opt De
✓ <input type="checkbox"/>	RBC Advisory	IRA - Traditional	Advisor Managed	RBC	
✓ <input type="checkbox"/>	Brokerage	Individual	Brokerage	RBC	
✓ <input type="checkbox"/>	Brokerage	IRA - Simple	Brokerage	RBC	
<input type="checkbox"/>	RBC Managed	IRA - Roth	RBC Managed	RBC	
✓ <input type="checkbox"/>	Brokerage	Individual	Mutual Fund	AMERICAN FUNDS	
✓ <input type="checkbox"/>	Variable Annuity	Individual	Annuity - Variable	AXA EQUITABLE LIFE	
✓ <input type="checkbox"/>	Correspondence				
✓ <input type="checkbox"/>	Brokerage	IRA - Simple	Mutual Fund	AMERICAN FUNDS	
✓ <input type="checkbox"/>	Brokerage	Individual	Mutual Fund	AMERICAN FUNDS	
✓ <input type="checkbox"/>	RBC Managed	IRA - Roth	RBC Managed	RBC	

On the next screen, click “Client Documents” in the “Create New” dropdown menu



On the Client Document screen, enter the Document Date (Date of the check / stock certificate) and select the Client Document Type (Check or Security Certificate)

For a CHECK, complete the following fields:

Check #, Check Amount, Date Received, Date BO Forwarded (when sent from your office), BO Forwarded To, Date Adv Received (date received in your office), Date Adv Forwarded (when sent from your office)

For a SECURITY CERTIFICATE, complete the following fields:

Name of Security (can be symbol or name), Cert #, # of Shares, Date Received, Date BO Forwarded (when sent from your office), BO Forwarded To, Date Adv Received (date received in your office), Date Adv Forwarded (when sent from your office)

Click Upload or Drag & Drop image in the area indicated

When all fields are complete, click Save in upper right corner. An image of the uploaded document will appear on the right, then click Save and Close

Client Docu...
Details
Subfolder 1

Details

Document Date MM/DD/YYYY

Client Document Type * Client Document Type

Form name

Business Type * IPI

Notes

Document Review Status * -

Check #

Check Amount

Name of Security

Cert #

of Shares

Date Received MM/DD/YYYY

Date BO Forwarded MM/DD/YYYY

BO Forwarded To BO Forwarded To

Confidential

Date Adv Received MM/DD/YYYY

Date Adv Forwarded MM/DD/YYYY

Image Content Upload

Drag & Drop image here. It MUST be located in the box!

On Work Item screen, click "Send for Review" button

Dashboard / Work Item #170733 / Work Item #170733

Mailroom Index

Actions

Archive Trash Merge Indexed Send for review