User Guide

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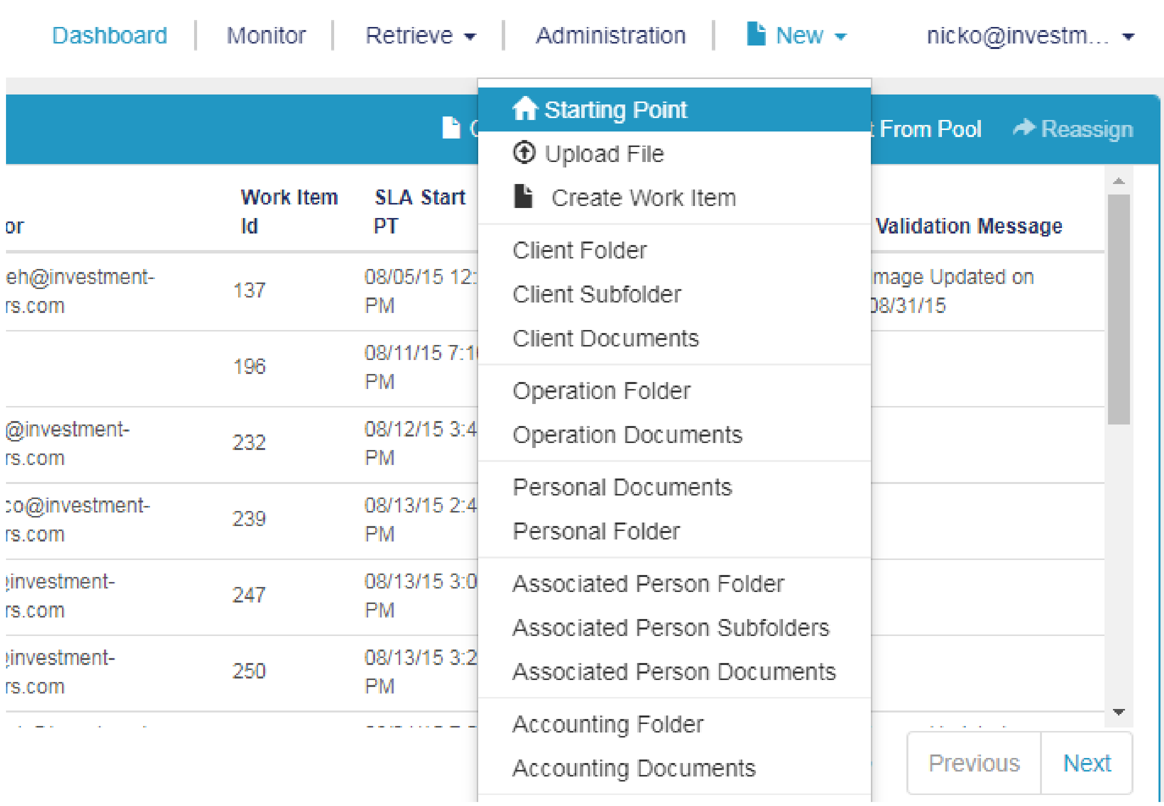
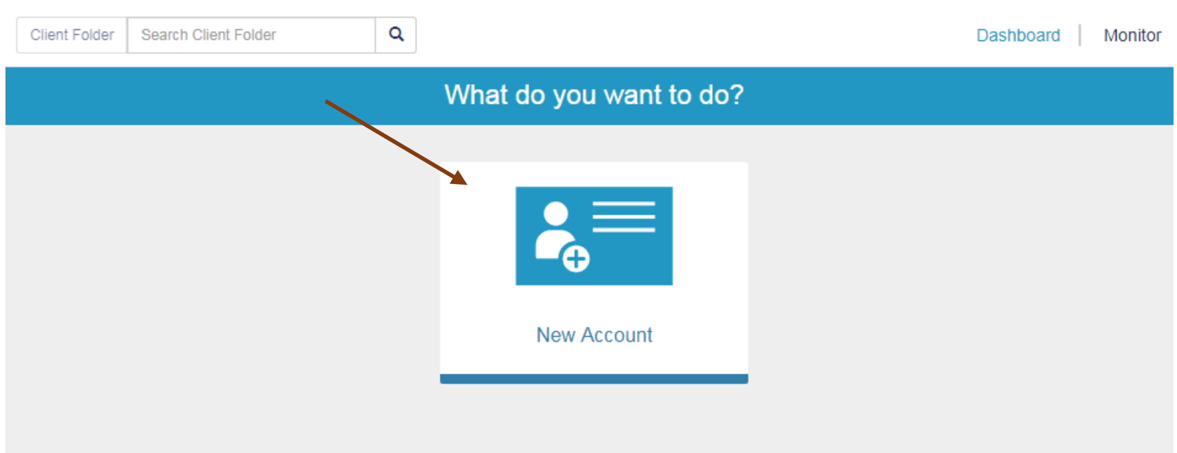
-- For Internal Use Only --

SECTION I: Launch Starting Point from Dashboard

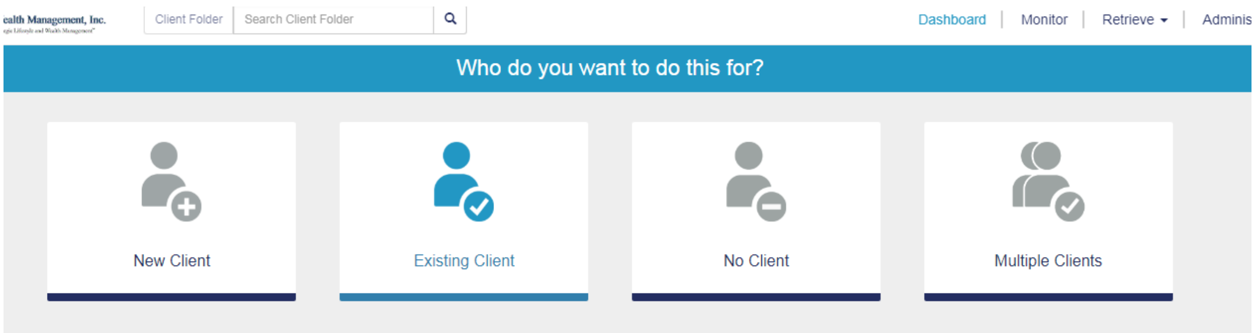
To create a new account, log in to Docupace and follow these instructions.

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

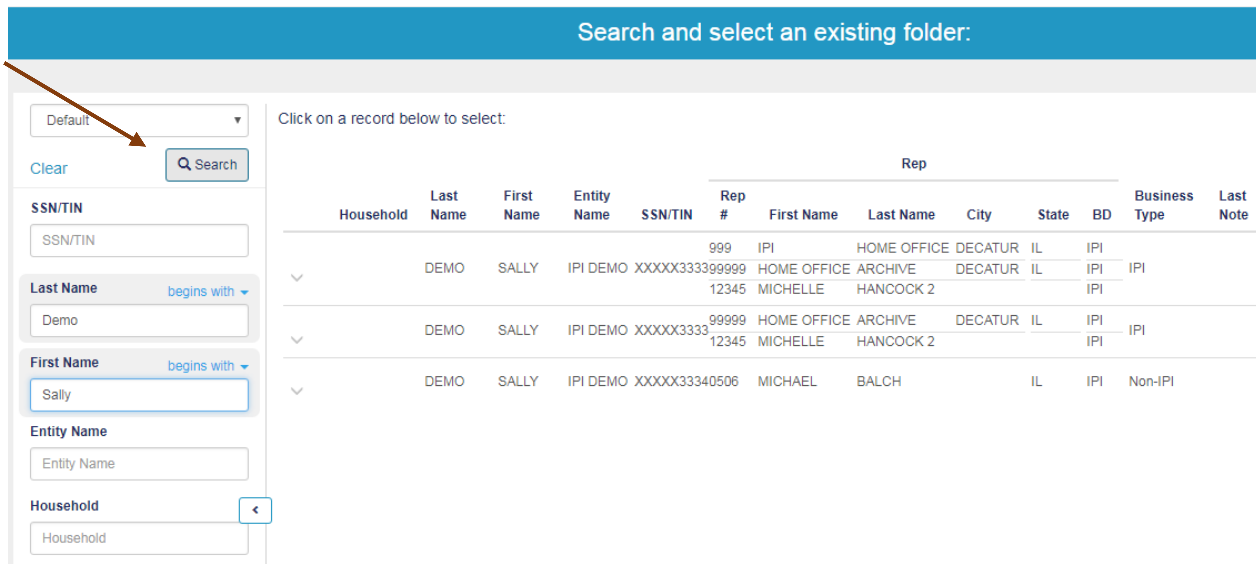




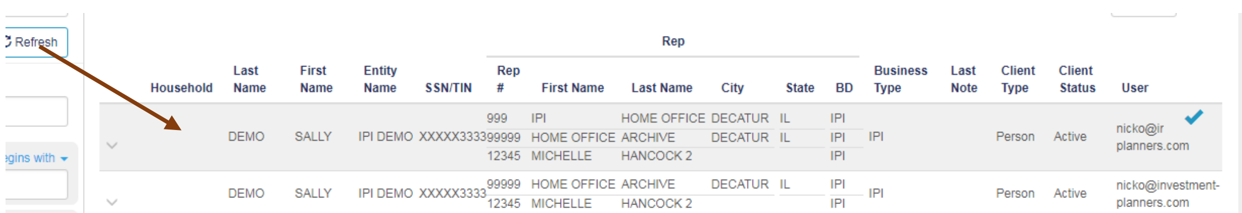
Select "Existing Client"



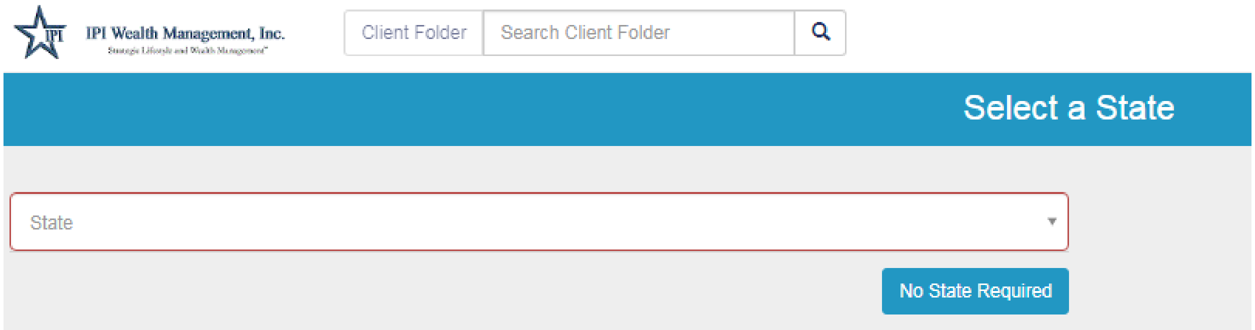
Search Existing Client



Select Client

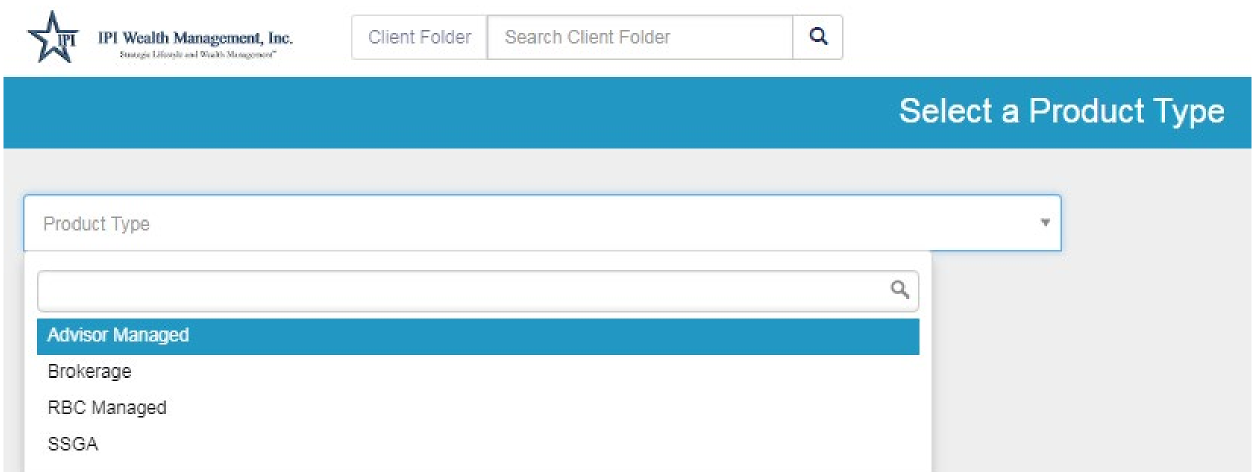


Click “No State Required” or Select State (required for VAs)

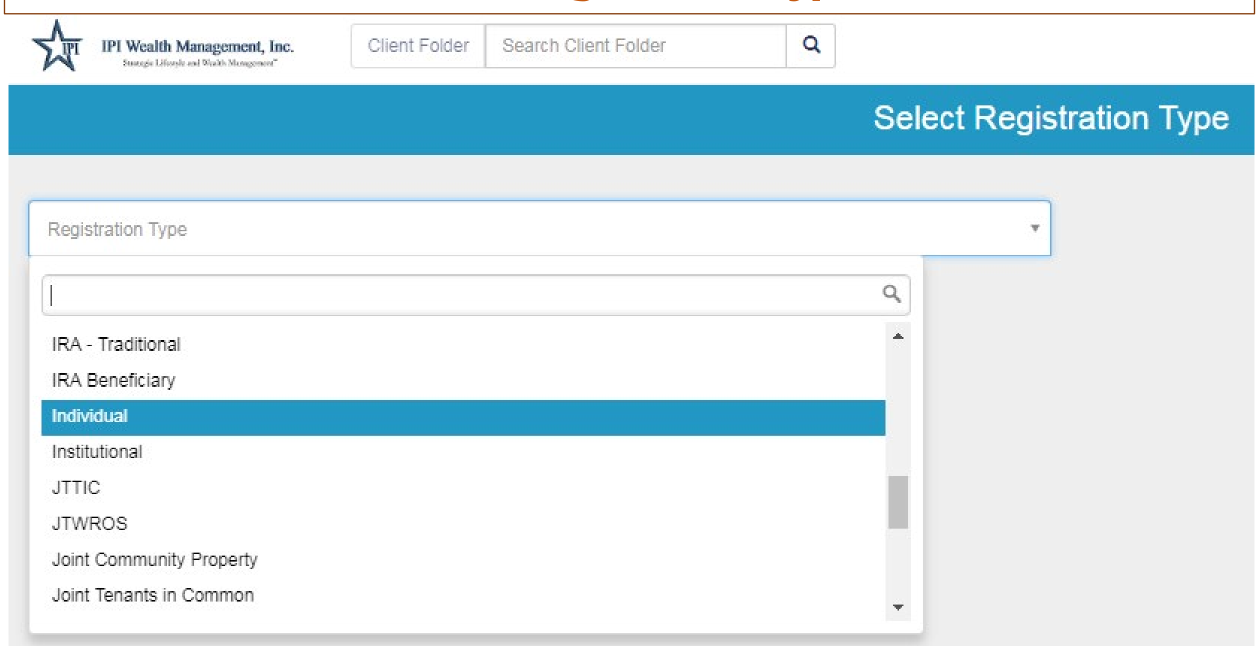


Select Product Type

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

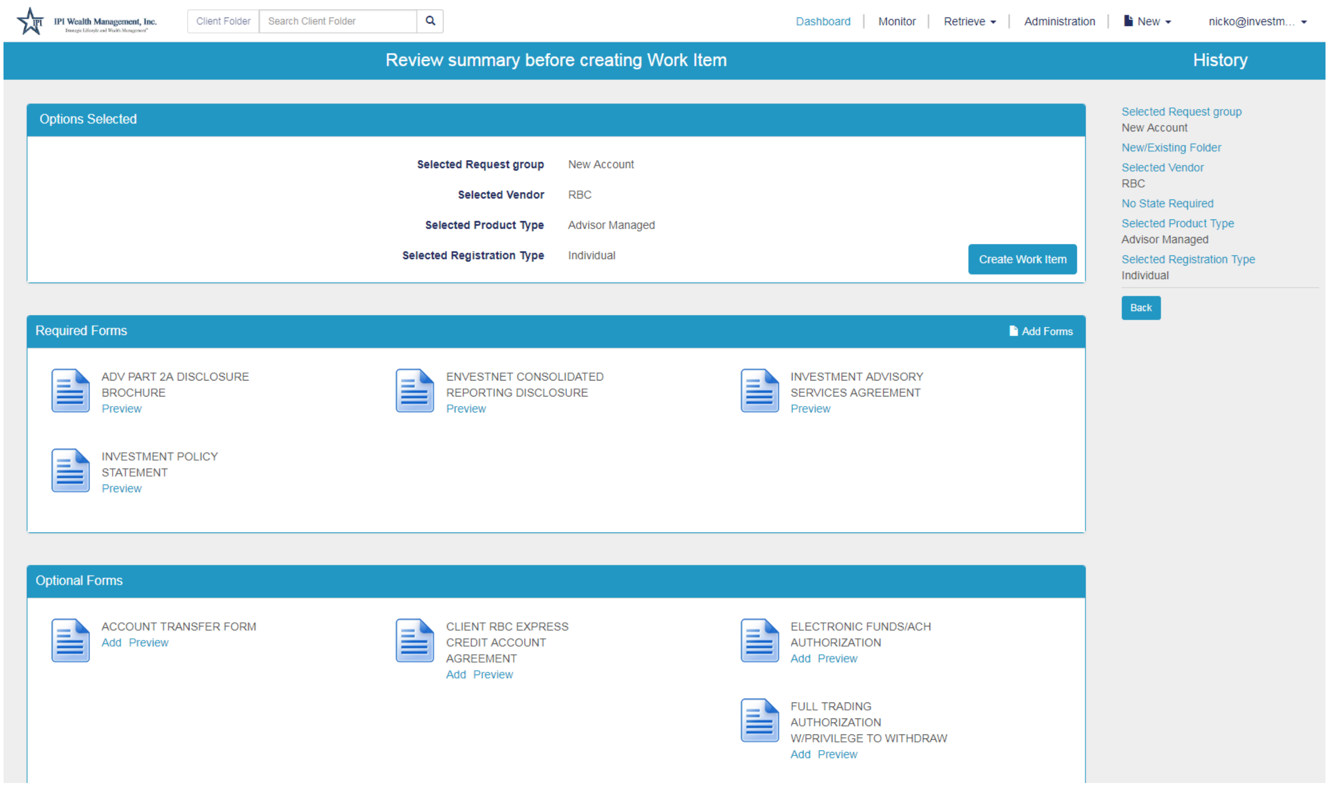


Select Registration Type

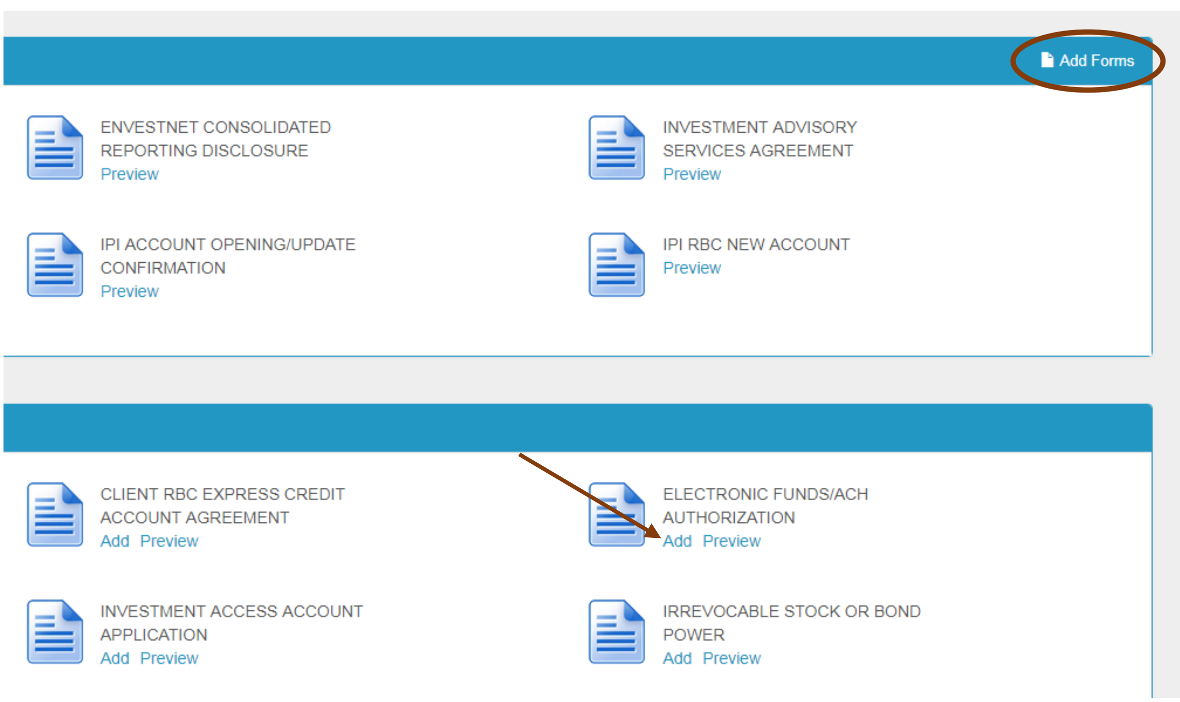


Review Documents in Bundle

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

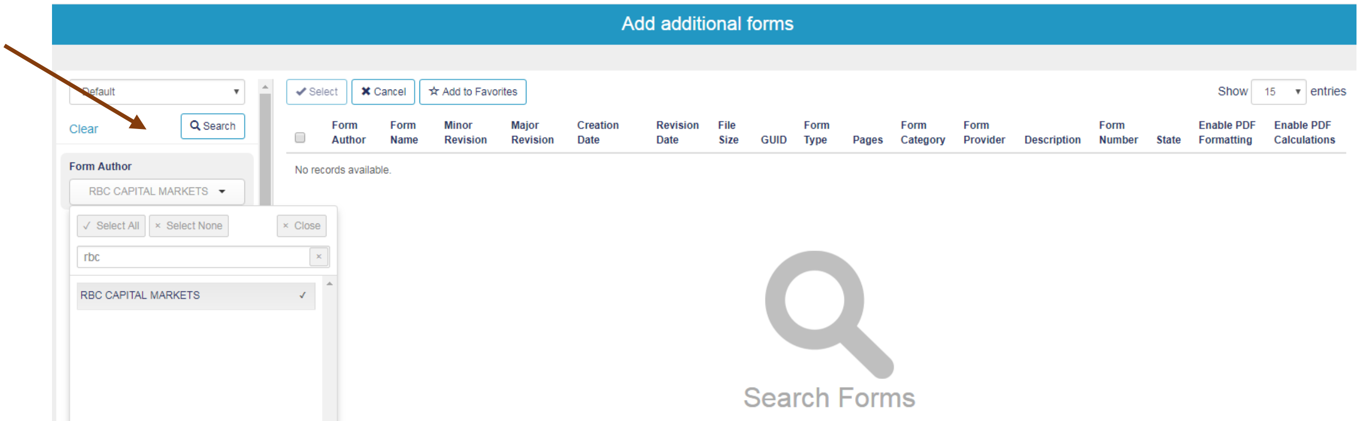


Add Optional Forms to the Work Item (if needed)

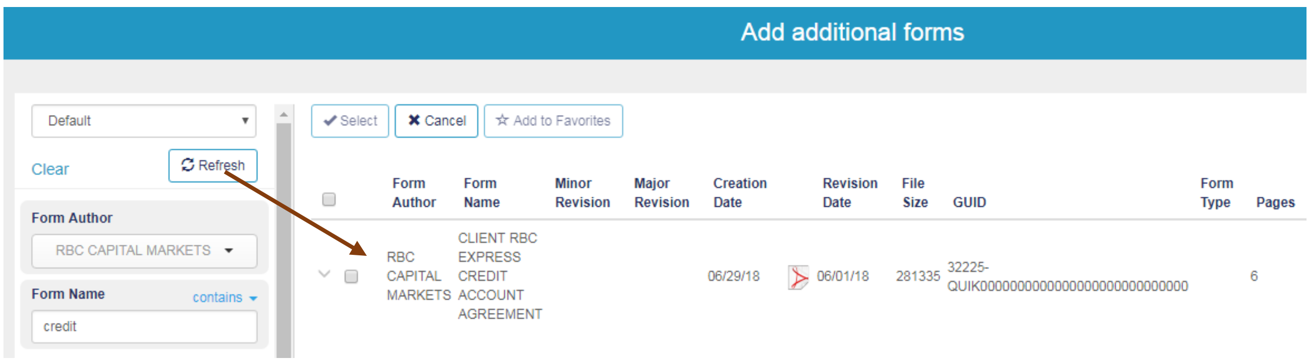


Search More Optional Forms in Forms Library (if needed)

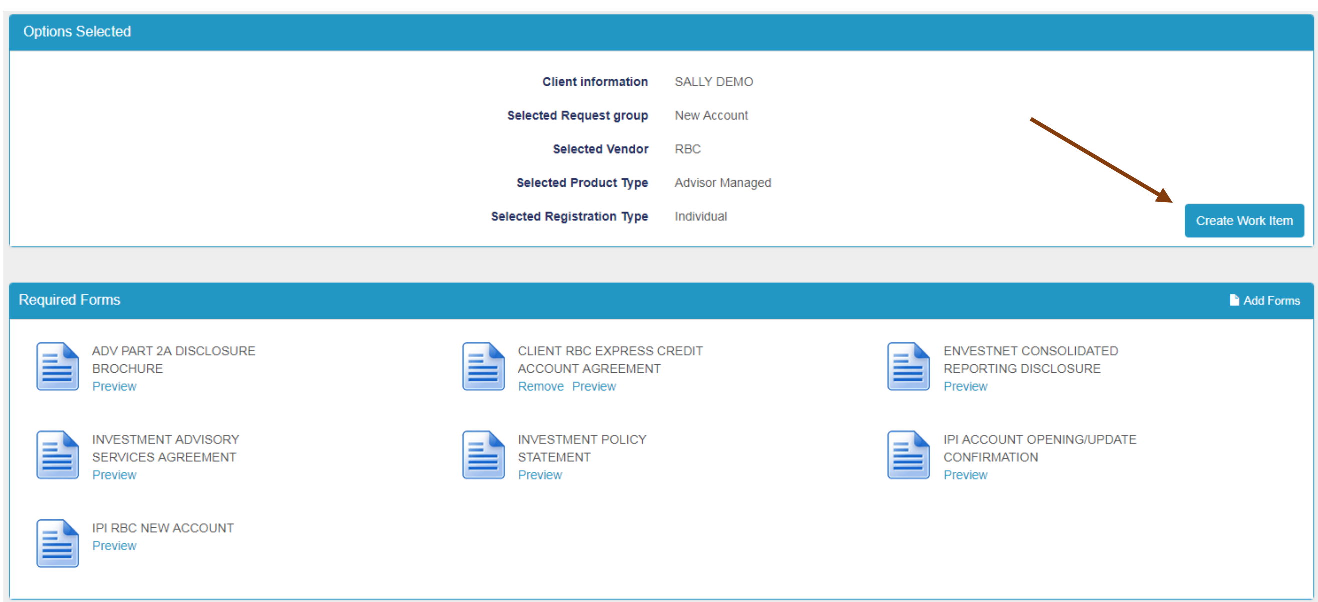
Use search filter on left side to narrow search results, then click Search



Select Optional Form to add to Work Item



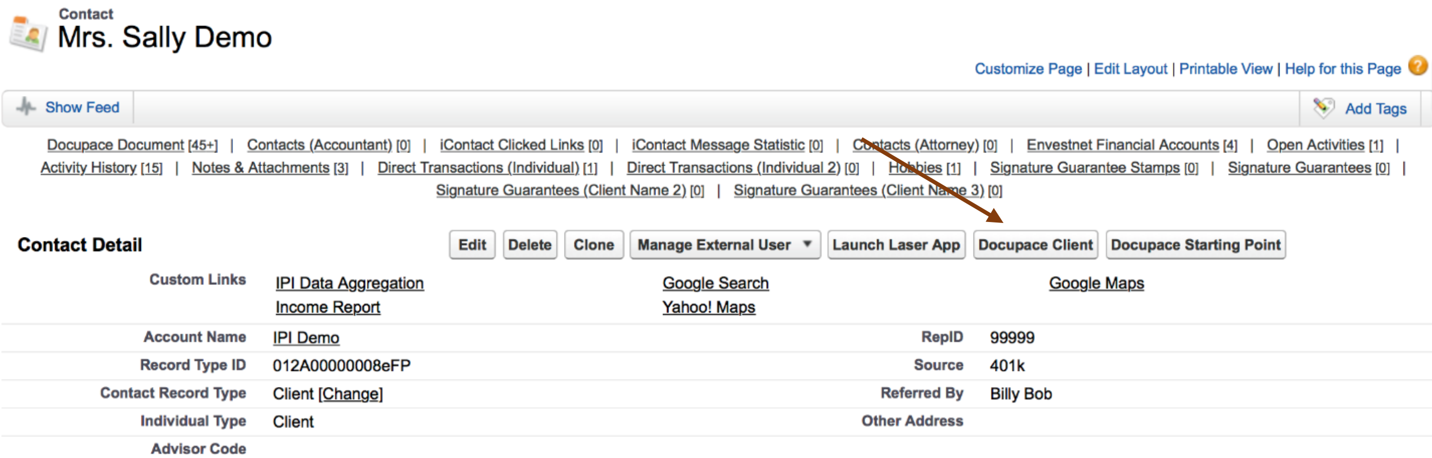
Create Work Item



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

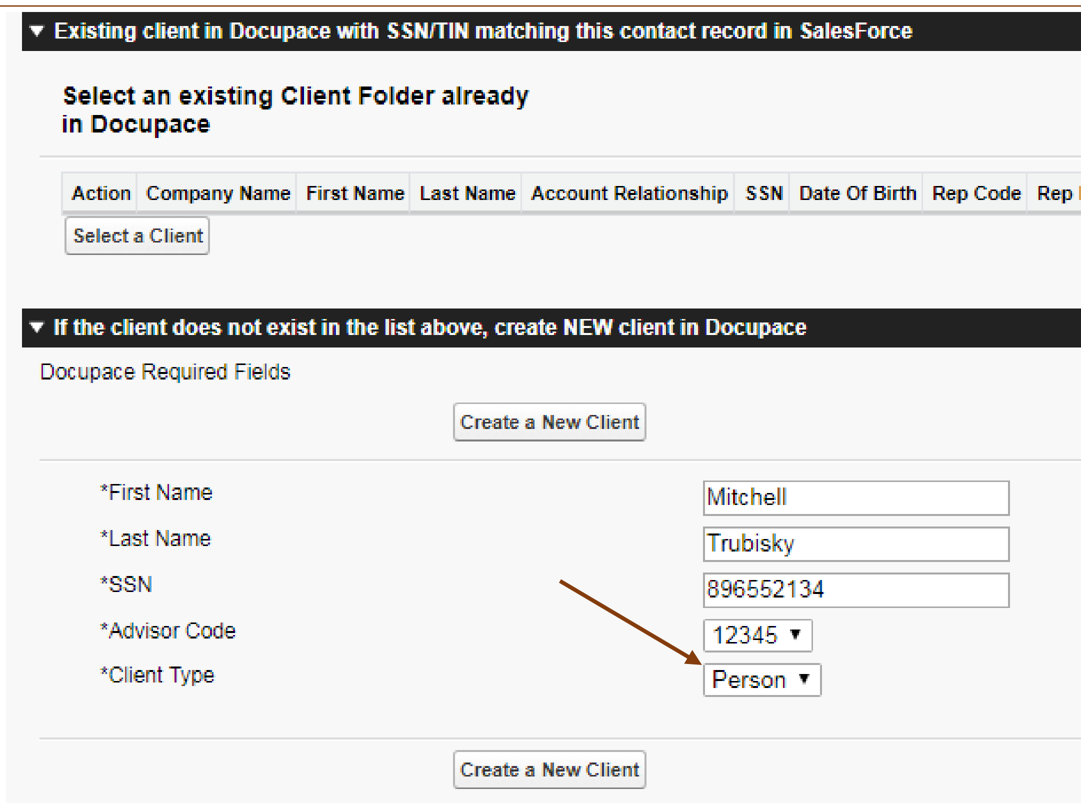


Create Client in Docupace from Salesforce Contact Record

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"

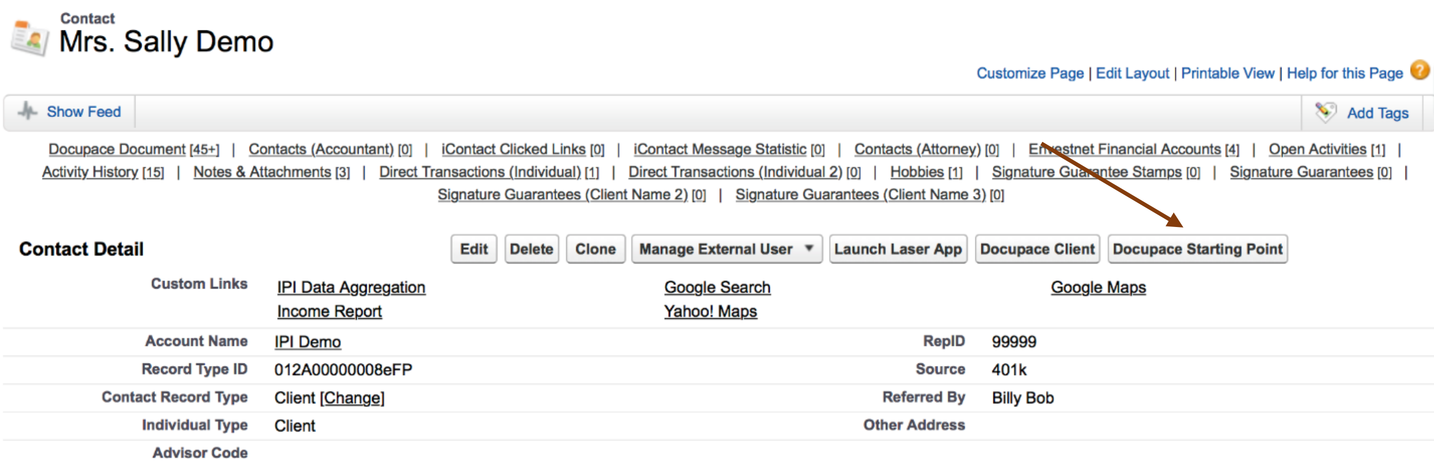


Launch Starting Point from Salesforce – New Client

Salesforce will single sign-on to Docupace to create the Client Folder (previous page)

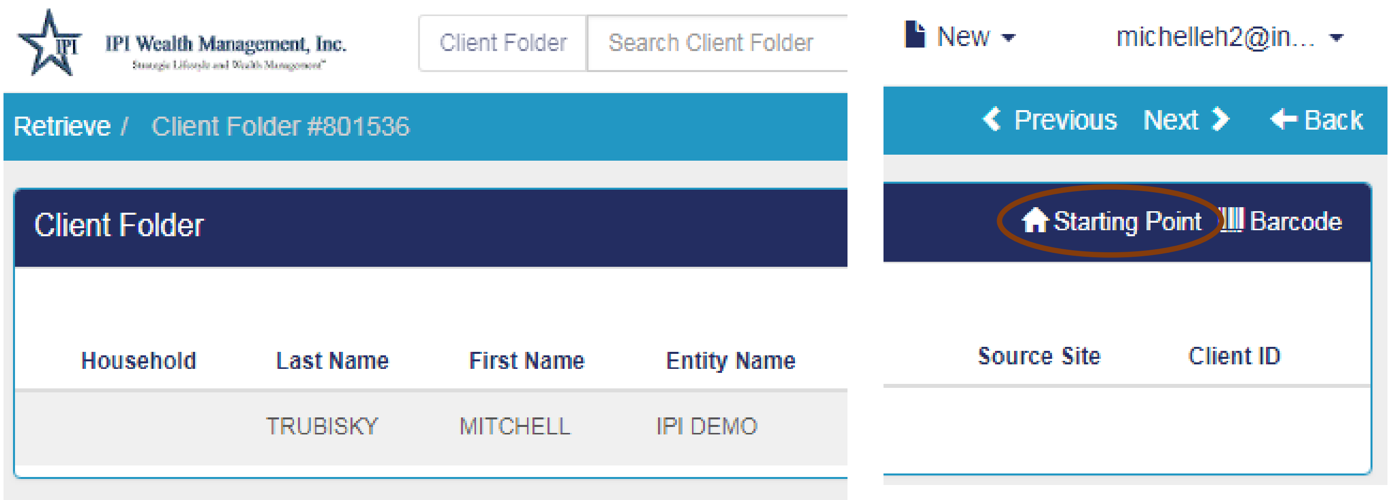
After the Client Folder is created, close the window and go back to the Salesforce Client Record

Click "Docupace Starting Point" to begin the New Account Opening process



Launch Starting Point from <u>Docupace Client Folder</u>

Navigate to the Client Folder, Click "Starting Point"

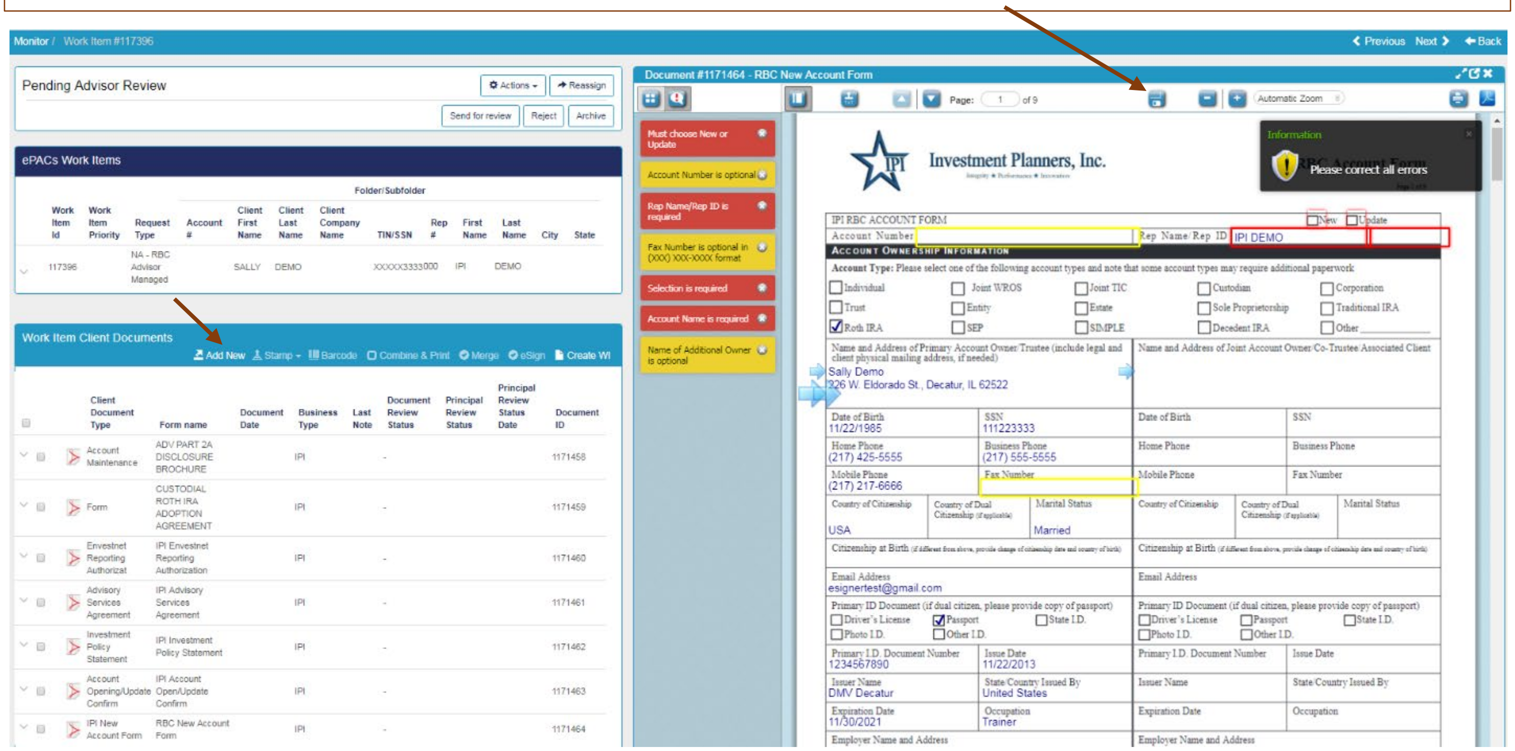


SECTION II: The Work Item (continuation of page 5)

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 Hints

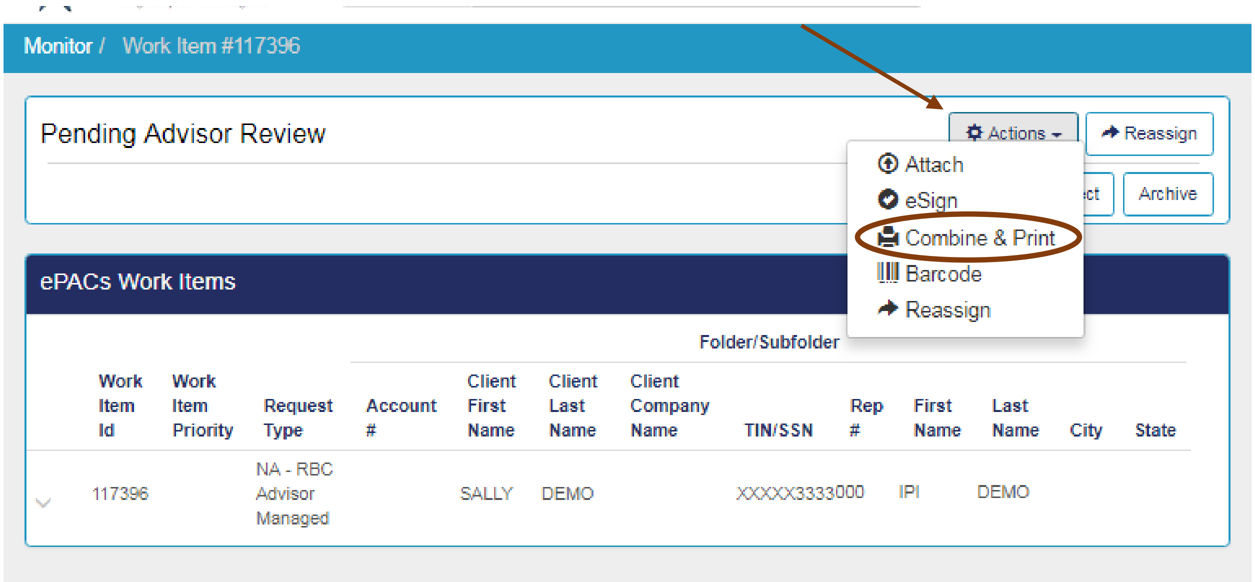
Use the red & yellow boxes to navigate to the missing data

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"



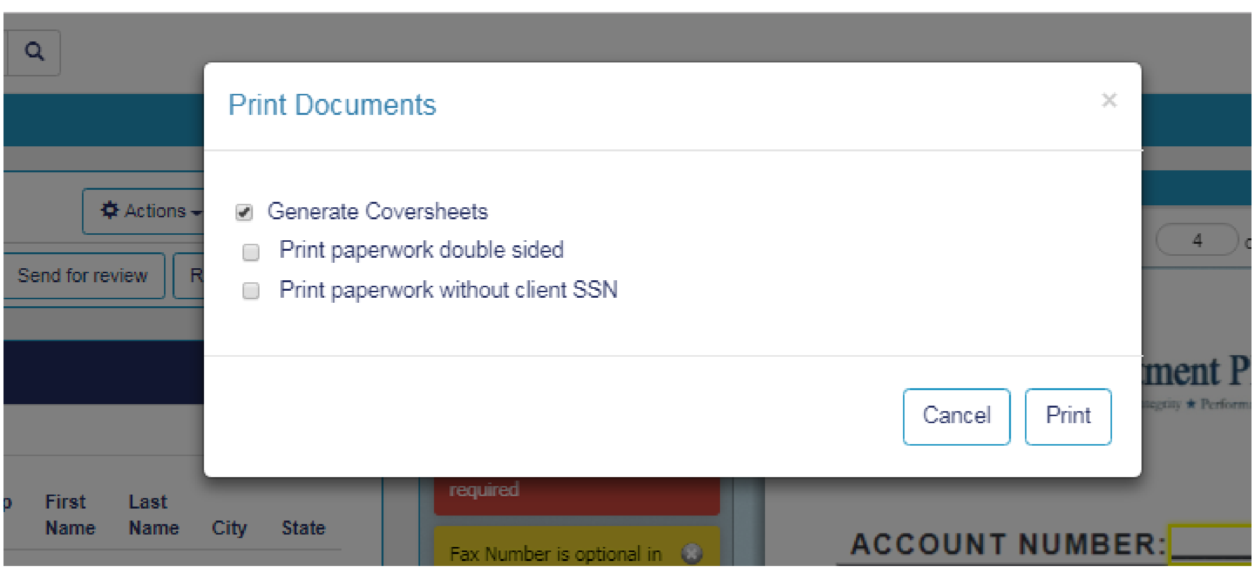
Print the Forms

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



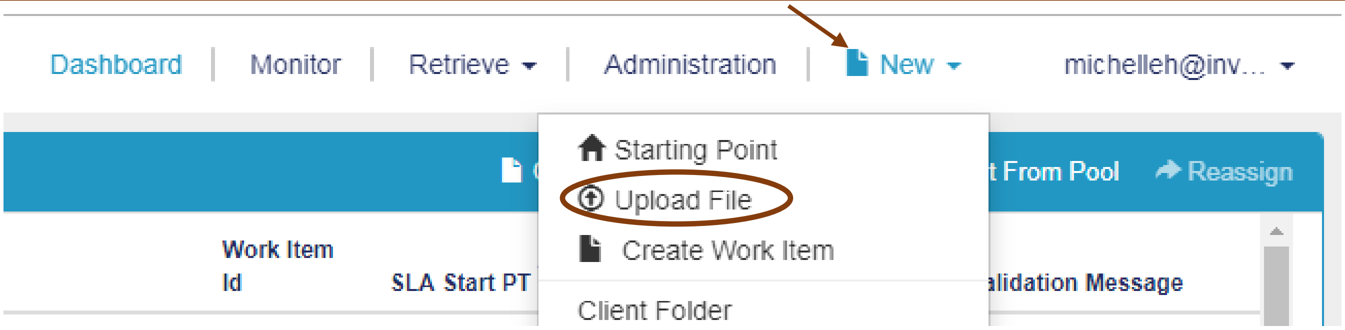
SECTION III: Upload Signed Documents to Work Item

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

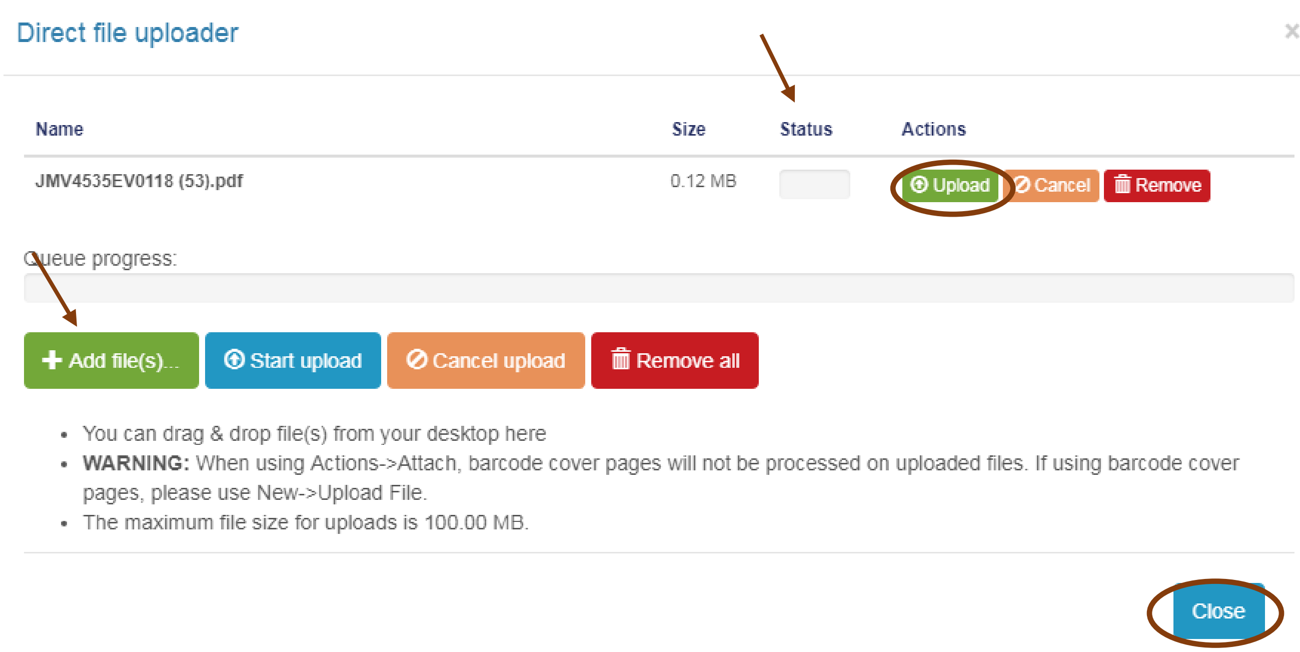
When the Direct File Uploader opens, either drag and drop file into the window or select "Add Files(s)" then navigate to the file of the signed documents

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

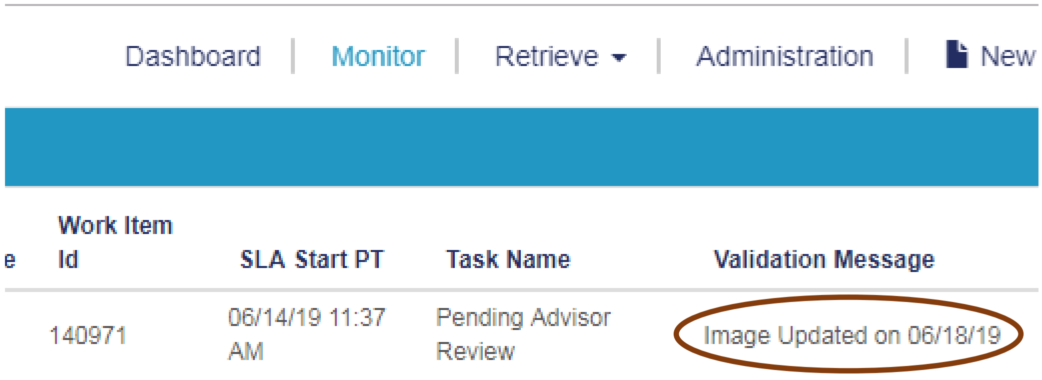
NOTE: When using Coversheets, do NOT go to the Work Item and use the Actions > Attach option (see WARNING on screen below)



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]"



Submit Work Item for Home Office Review

Open Work Item to confirm all documents were uploaded correctly

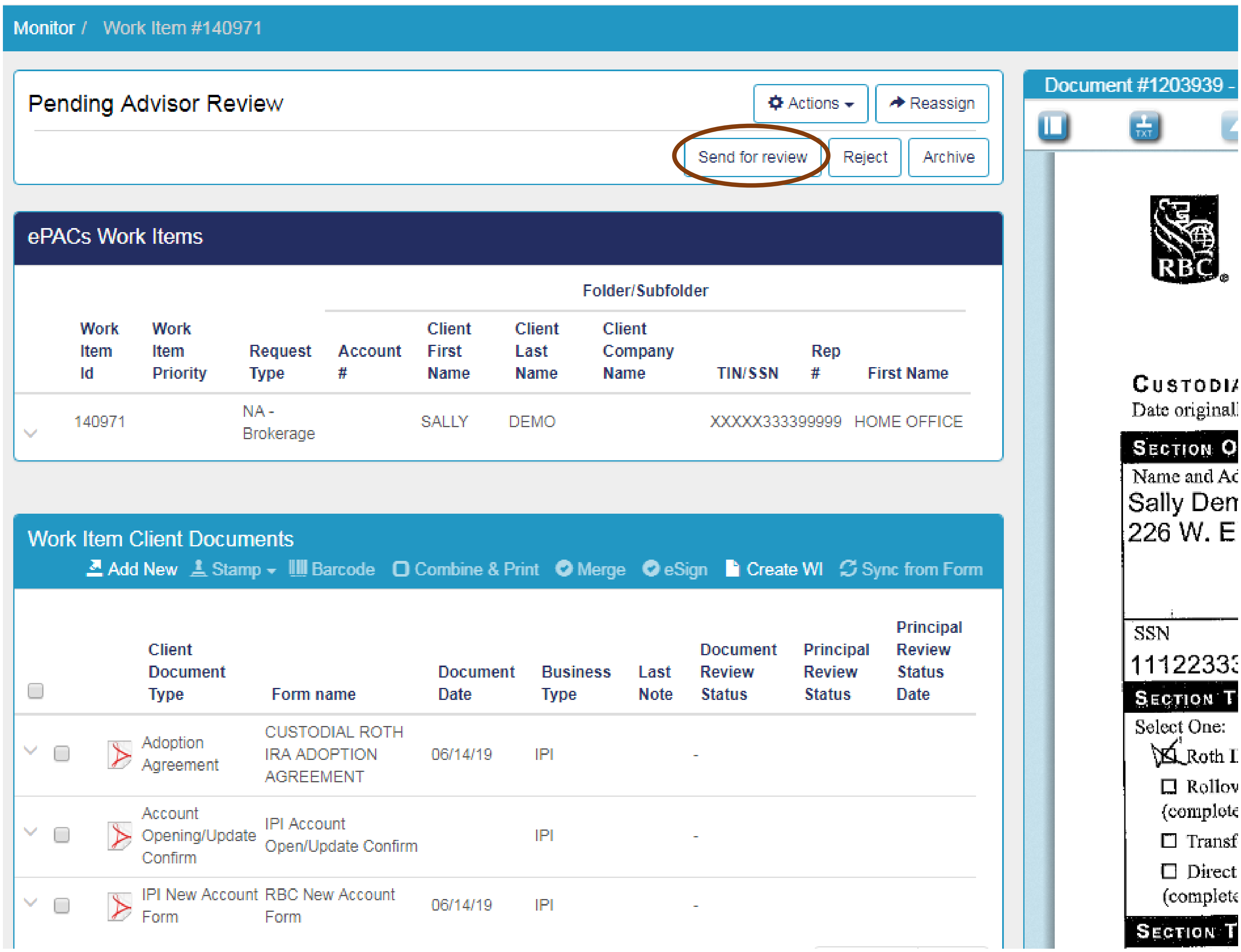
Open documents using the pencil (edit) to enter Document Date (date the client signed) and any applicable notes

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

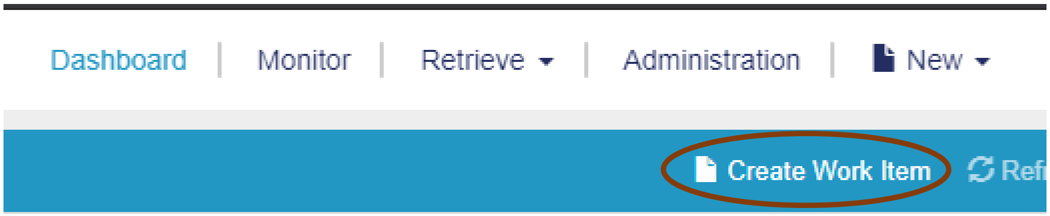
Documents are visible in the Client's Subfolder



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.

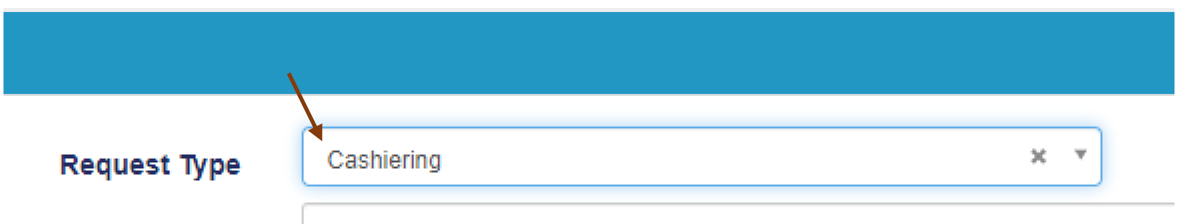
From the Home Screen of Docupace, click on Create Work Item

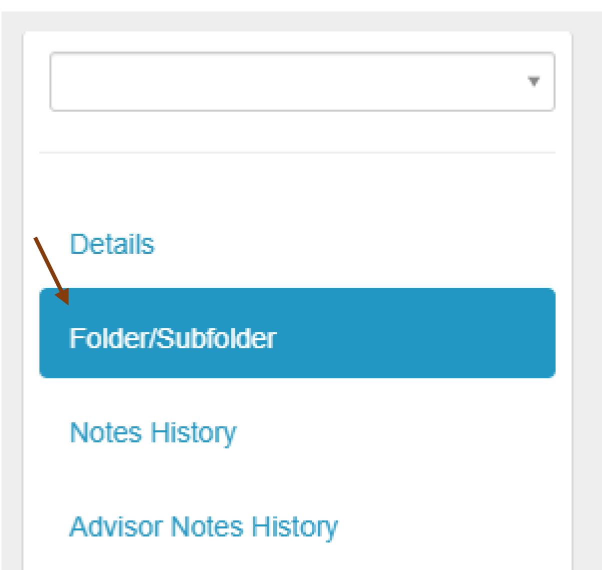


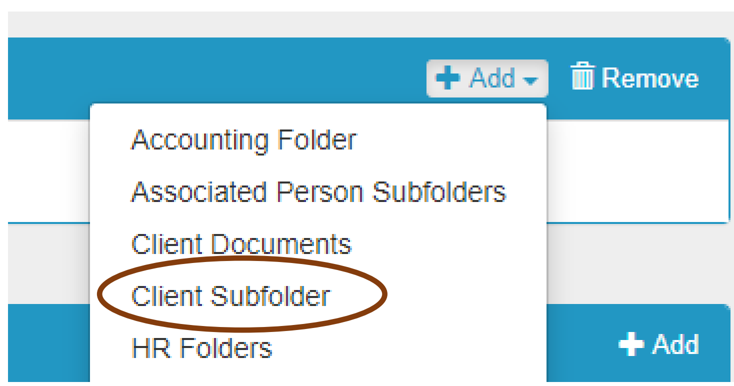
On the next screen, select "Cashiering" in the Request Type dropdown

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







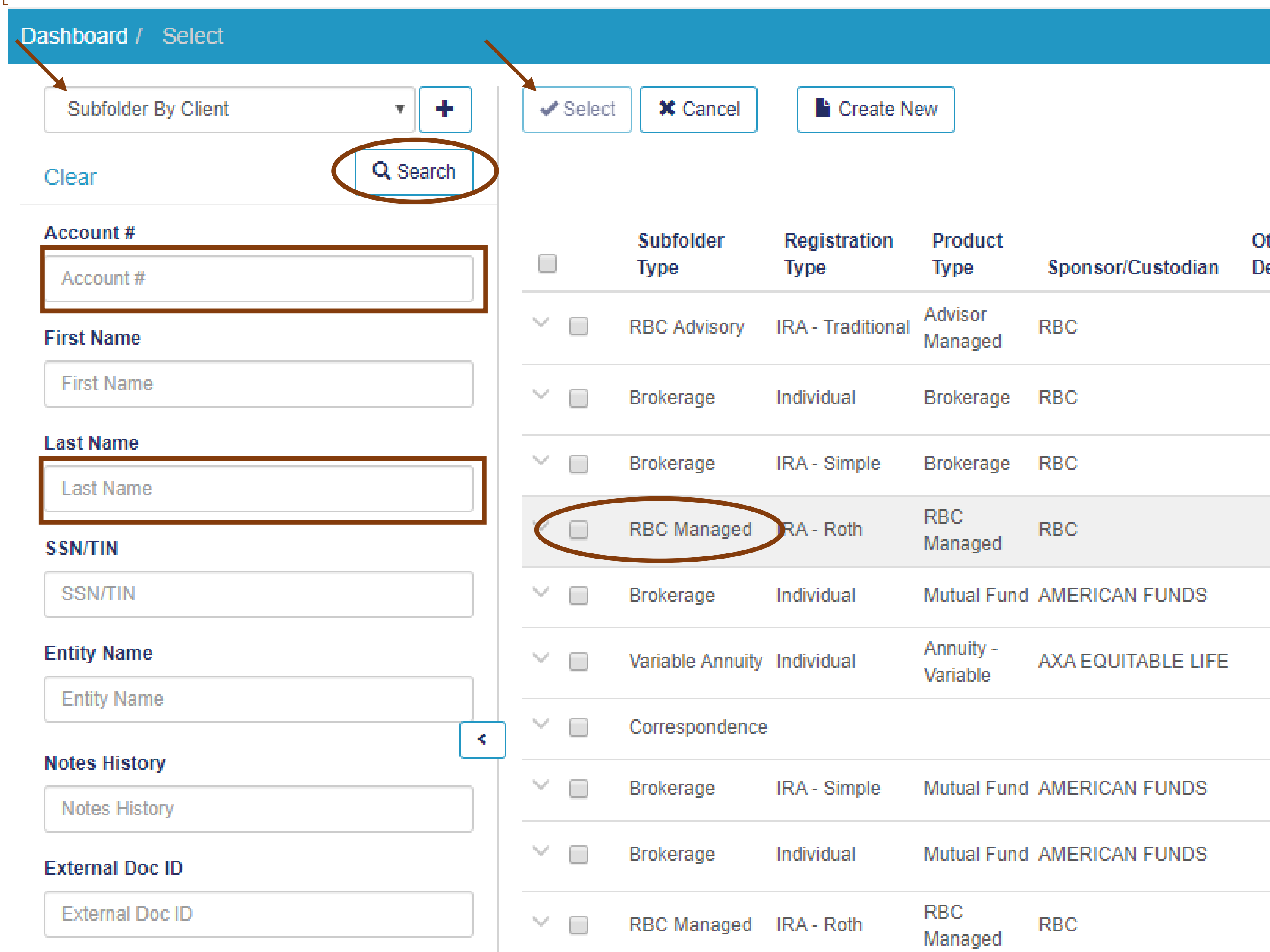
On the next screen, be sure the search function is "Subfolder By Client"

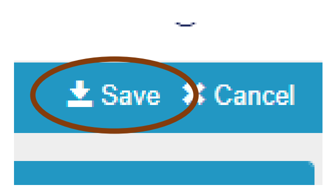
To locate the appropriate Subfolder in which the check is being deposited, enter the Client's First and/or Last name or Account # or Entity Name, then click Search.

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

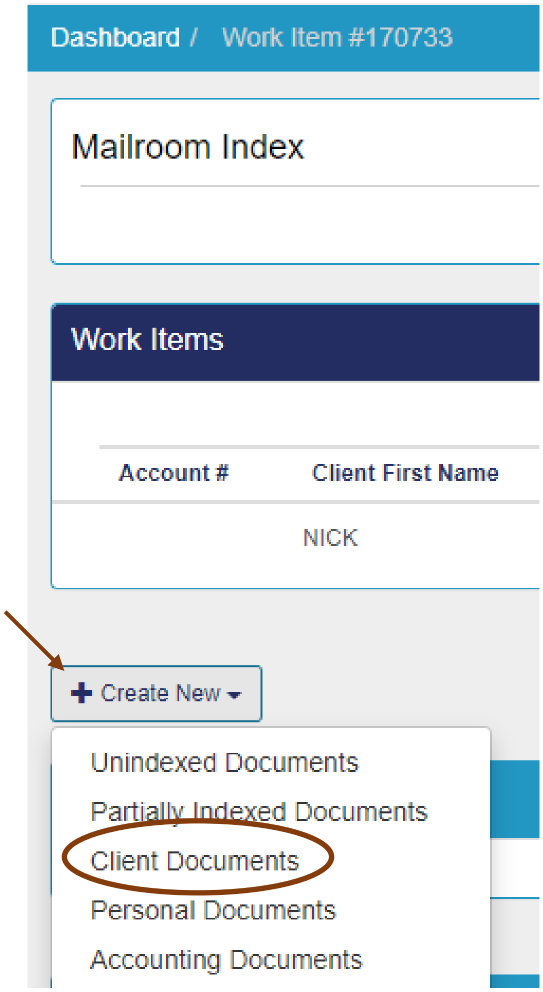
Screen will go back to the Work Item Details page

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





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:

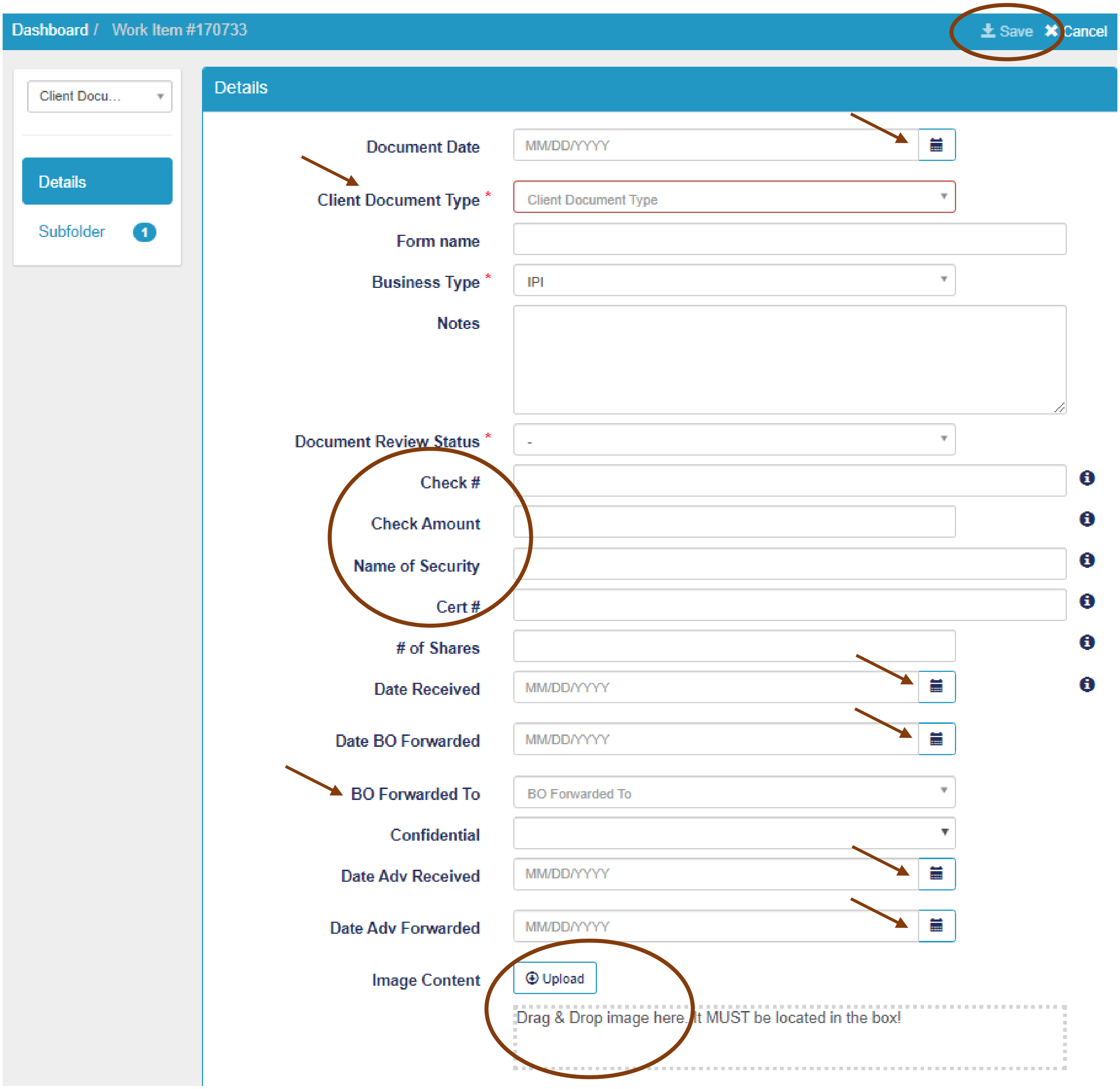
Check #, Check Amount, Date Received, Date BO Forwarded (when sent from your office), BO Forwarded To, Date Adv Received (date received in your office), Date Adv Forwarded (when sent from your office)

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



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