Level Four New Account Forms – Envelope 3

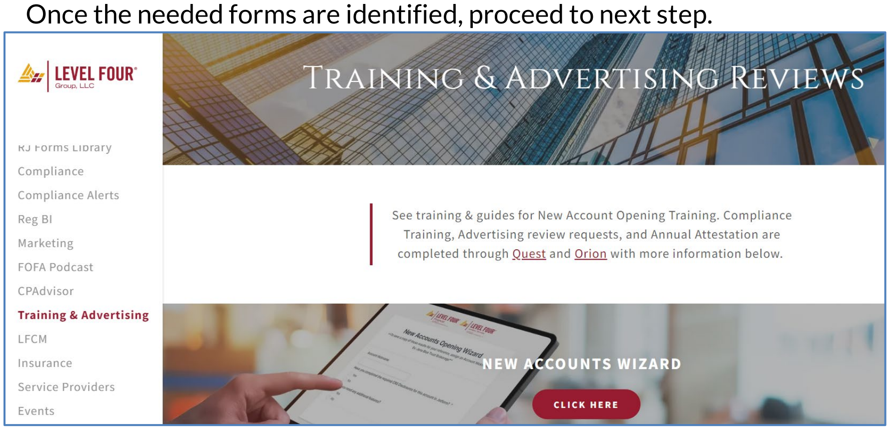
The Level Four DocuSign Envelope 3 contains Level Four forms. Common forms include LFAS Advisory Agreements, Annuity Change of Broker-Dealer and the 529, Annuity and Rollover disclosures.

When using DocuSign, you may need to send several eSignature envelopes to the clients depending on who needs to sign:

- Joint Account(s) – send in envelope and include both signers
- Individual Account(s) – send in envelope with just one signer
- Trusts and/or Corporate Accounts – may need to send separately depending on who needs to sign

Determine which Level Four forms are needed using the Level Four New Accounts Wizard.

a. Go to Level Four Intranet (https://harborfs1.com) – Training and Advertising Section
b. Complete the wizard and follow the instructions to identity which forms are needed for each account
c. Once the needed forms are identified, proceed to next step.



1. **On the Level Four Intranet,** search for needed forms under either Brokerage Forms or Advisory Forms (harborfs1.com)

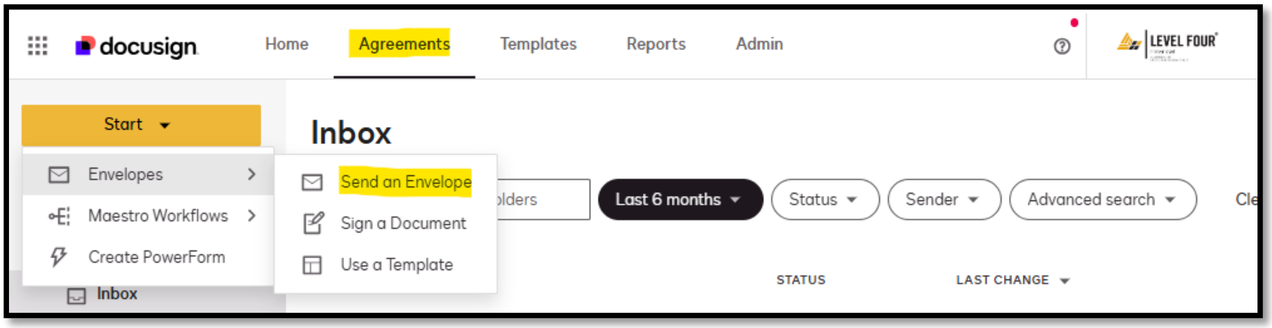
2. **Prepare (populate) all Level Four Forms** and then save as PDF's on your computer (or in the client's folder, if available)

Sending via Paper (Mail or Client meeting) -
Print the completed PDF's and include with other paperwork for client to wet sign.

Sending via Level Four DocuSign using PDF -
Follow Steps 3 – 11.

Level Four DOCUSIGN STEPS using prefilled PDF:

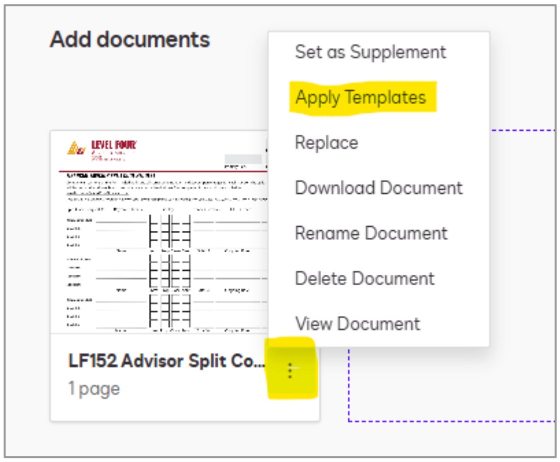
3. **Open** the Level Four Docusign instance
    a. Navigate to Agreements
    b. Start > Send an Envelope



4. **Upload** prefilled PDF files (Level Four Forms)
    a. Go to the saved, completed PDF files for the client
    b. Upload files into DocuSign
        i. To select multiple files, select first file and hold **CTRL** key and click remaining documents.

5. **Apply Templates**
    a. Once the forms upload, wait until you receive a pop-up saying **templates loading**
    b. After loading, pop-up box will appear with **Select Matching Templates**
    c. Click **Apply** and wait for the message that says **templates applied**

If a Pop- up screen to apply a template does NOT appear:
- ✓ Click the 3 dots on the right side of the form
- ✓ Select "apply template"
- ✓ Under Shared Folders, open folder "LFF Templates REBRANDED
- ✓ Check the box by the correct template and click Apply Selected



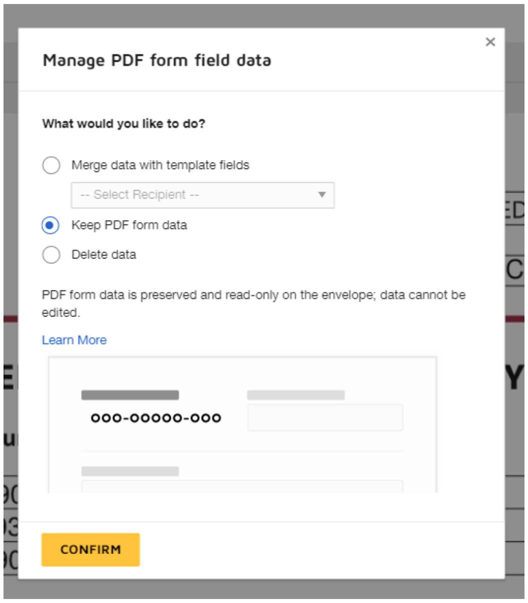
6. **Repeat Steps 4 and 5** for additional documents. You can send multiple documents in same envelope.

7. **Add/Remove** Recipients to the Envelope
    a. If a recipient is not needed, you may delete by clicking on the X to the right.
    b. A copy is pre-coded to be sent to newaccounts@levelfourfinancial.com.

8. **Review Message** to recipients
    - ✓ A message is pre-filled but you may change if needed.
    - ✓ The client's name should start the subject line. This is pre-filled by the system.
    - ✓ If document is not going to a client, you will need to add the client's name to the subject line.

9. Click NEXT

10. **Confirm** PDF data
    a. Select "Keep PDF form data" and click Confirm



11. **Review** document prior to sending. If complete, **Click Send**

Ready to send? – Click **SEND**

Not ready to send? – Click **ACTIONS** (top right-hand corner). Choose **SAVE AND CLOSE**