

RJ Supplemental Forms – Envelope 2

The Raymond James Envelope 2 are supplemental account documents for the client to sign. Common examples are *Money Movement forms, One and Same (1055) and ACAT Transfer (1407)*. Forms needed will vary based on the client and the necessary account features.

If using DocuSign, you may send several eSignature envelopes to the client depending on who needs to sign:

- Joint Account(s) – send in one 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 RJ forms are needed using the Level Four New Accounts Wizard.

- Go to Level Four Intranet (<https://harborfs1.com>) – Training and Advertising Section
- Complete the wizard and follow the instructions to identify which forms are needed for each account

Once needed forms are identified, proceed to next steps.

1. In RJNET Search field, search for needed forms.
 - a. Guides for completing each RJ form can be found in RJNET by searching the form name or form number.

2. **Prepare RJ Supplemental Documents**
 - a. Complete form(s) with client information
 - b. Most forms are available as either Smartforms or PDF's
 - i. Both types of forms are acceptable
 - ii. Save the forms to send later in Step 3

Raymond James - SMARTFORMS versus PDF's

SMARTFORMS – Store completed forms in RJ Service Center Portal

- Can only be completed after an account number is assigned
- Prefills some client data – decreasing the chance of typos
- Reduces NIGO's as form will advise if an area is completed incorrectly
- Some Smartforms cannot be sent via DocuSign but can be esigned through the RJ system (Money Moneyment forms)
- Some Smartforms must be manually sent to Level Four after client signs

PDF's – Store completed forms on your computer

- Can be created ahead of account number creation
- Client data must be filled in
- Can be saved as PDF into client folder
- Sent via RJ DocuSign and allows for signed form to be sent to Level Four New Accounts within DocuSign

3. **Determine sending method**
 - a. Supplemental RJ forms can be sent to the client via:
 - i. Paper forms – mail or client meeting
 - ii. Raymond James DocuSign
 - iii. Raymond James Esignature Console system

Sending via PRINT IN BRANCH (Mail or Client meeting) -
Follow Steps 4 -5

Sending via SEND FROM Raymond James DOCUSIGN
Follow Steps 6 - 11

Sending via SEND FROM Raymond James ESIGNATURE CONSOLE -
Follow Steps 12 – 14

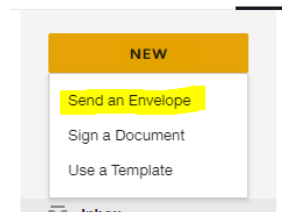
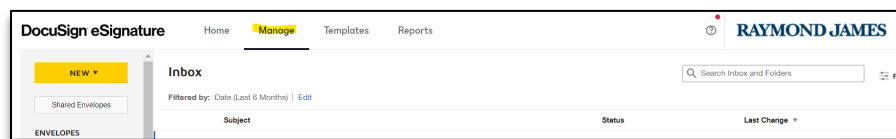
RJ FORMS – PRINT IN BRANCH


4. **Complete RJ Forms and save as PDF**
 - a. Print for client to wet sign via mail or in client meeting
 - b. Have client sign the PDF(s)
5. **Signed paper forms will be sent to Level Four New Accounts for processing and filing**
 - a. Gather all necessary RJ and Level Four Financial documents for the household, organize as stated below and scan for emailing.
 - i. All required pages of the COB packet that include client profiles, acct profiles and signature pages. (Do not scan and email disclosure pages)
 - ii. Any supporting RJ or Level Four documentation for first account.
 - iii. Any supporting RJ or Level Four documentation for second account, etc.
 - b. Add attachments to a new email.
 - c. Email subject line MUST include client last name. Account number and type of form also preferred.
 - d. Send email with attachments to newaccounts@levelfourfinancial.com.

RJ FORMS – SEND FROM RJ DOCUSIGN

Raymond James DOCUSIGN STEPS using prefilled PDF:

6. **In the Raymond James system, go to My Clients / E-signature**
 - a. Navigate to Manage
 - b. Click: New > Send an Envelope

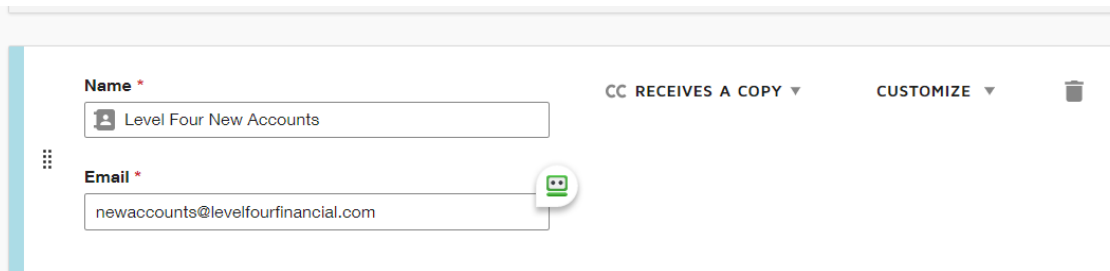


7. **Upload completed RJ Forms/PDF files**
 - a. Go to saved PDF files.
 - b. Upload files into DocuSign
 - c. To select multiple files, select first file and hold CTRL key and click remaining documents.
8. **Apply Templates**
 - a. Once the forms upload, wait until you receive a pop-up saying templates 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
9. **Add Recipients to the Envelope**
 - a. Enter data – Client 1
 - i. Must include Signer 1 Name, Signer 1 Email & Signer 1 Cellphone
 - b. Enter data – Client 2
 - ii. If there's no Signer 2, hover over box and click  on the right to delete
 - c. Add (or delete) additional signers as per Template

*TIP – Start typing the client name and their name and email should appear.
For the cellphone number, open the client's COB in a separate window (My Clients / Client Onboarding). Use Find Request search box). Click ID Request of Client. Click Documentation. This will show phone number that you can copy and paste into the Signer space on the e-signature page.*

10. **REQUIRED STEP!** Click  for Level Four New Accounts to receive a copy

- a. Name: Level Four New Accounts
- b. Email: newaccounts@levelfourfinancial.com
- c. Use drop down to change Needs to Sign to Receives a Copy



11. **Review and Send to Client**

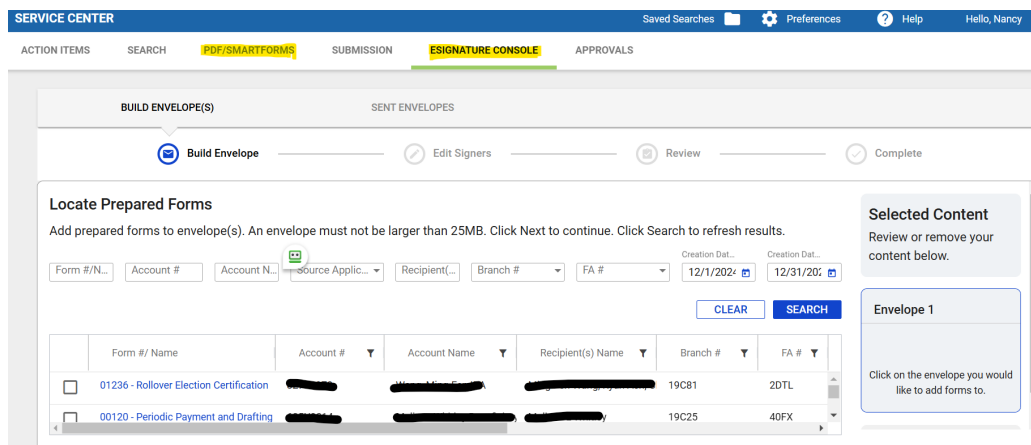
- a. Click Next to review envelope prior to sending
- b. Click SEND to send to client via RJ DocuSign

RJ Forms - SEND Esign FROM RJ ESIGNATURE CONSOLE

Raymond James CONSOLE STEPS using SmartForms and/or Money Movement Forms

12. **Go to My Clients : Service Center Portal : Esignature Console : Build Envelope**

- a. Completed SmartForms can be found in Esignature Console or under PDF/SmartForms
- b. Search for forms by client name or account number



Form #/Name	Account #	Account Name	Recipient(s) Name	Branch #	FA #
<input type="checkbox"/> 01236 - Rollover Election Certification	[REDACTED]	[REDACTED]	[REDACTED]	19C81	2DTL
<input type="checkbox"/> 00120 - Periodic Payment and Drafting	[REDACTED]	[REDACTED]	[REDACTED]	19C25	40FX

14. Build Envelope and Send to client

- a. Add all RJ forms for the client’s Build Envelope by checking the box next to each form
- b. Once forms are added, click Next
- c. Review forms and signers, click Next
- d. When verified, click Send. All forms go to client in one packet.

15. **NEW STEP!** Send copy of completed form to Level Four New Accounts

- a. **Forms sent via ESIGNATURE CONSOLE or MONEY MOVEMENT APPLICATION do not automatically send a copy to Level Four so you will need to provide a copy of the completed form to LFF New Accounts for our records.**
- b. If the form was sent to client for signature:
 - i. Form is sent via the RJ DocuSign system and you (as sender) will receive an email from DocuSign when the form is signed and completed.
 - ii. Open the email to view a copy of the signed form.
 - iii. Download a copy of the form by clicking the Download Arrow ↓ in Raymond James DocuSign. Select the option to Separate PDF’s if there is more than one form in the packet.
 - iv. Send the completed, signed document to: newaccounts@levelfourfinancial.com.
 - v. Subject line should be: For Filing Only, Client Name, Client Account number.
 - vi. The forms are also available to download from Raymond James DocuSign if you prefer versus from the email.
- c. If the form does not require a client signature:
 - i. Some RJ forms do not require a client signature but do contain client instructions that will need to be stored in LFF books & records
Example includes: RJ0120A – created in the Money Movement system
 - ii. To retrieve a copy of the completed form, Go to My Clients : Service Center Portal : Search
 - iii. Search for the form by client name or account number
 - iv. Click Document ID
 - v. Download a copy. Rename to “Client Last Name Form Number” (Smith 0120A)
 - vi. Send the completed document to: newaccounts@levelfourfinancial.com.
 - vii. Subject line should be: For Filing Only, Client Name, Client Account number.

The screenshot shows the 'SERVICE CENTER' portal with a search filter applied to 'DOCUMENTS'. The search criteria are: Account # 230L2222, Client, Arrived From 1/1/2025, and Arrived To 3/10/2025. The search results show 14 results. The first result is as follows:

Document ID	Form Name	Form #	Status	Arrived Date	Branch #
197149844	Periodic Payment and Drafting Request	0120A	Approved	03/10/2025	15