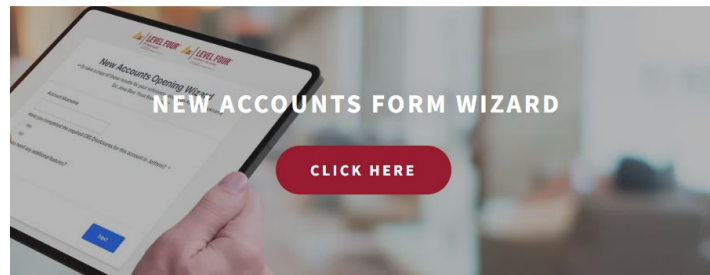


## New Account Process - Overview

These 9 steps should be followed for every new account that is opened at Level Four when using the Raymond James system.

1. **COMPLIANCE STEP** – ADVISOR sends CRS Disclosures to client. 1 for each client/entity:
  - a. Complete Form CRS & Document Disclosures
    - I. The CRS link is on the Intranet (Harborfs1.com) under both Brokerage Forms and Advisory Forms.
    - II. It is a wizard that will direct you through the process to populate or automatically send the required initial disclosure forms to the client
2. **Determine Forms needed** for Client/ Account
  - a. Use New Accounts Form Wizard to determine what will be needed for each account.
    - I. Click button on the Intranet (Harborfs1.com) under Training & Advertising.
    - II. A list of forms needed will be created based on answers using the Wizard



3. **Enter Client Profile Data** into RJ Client Onboarding & Maintenance (COB)
  - a. Search for prospect in RJ Advisor Access > COB under “Edit Existing”
  - b. If no Prospect is found, start new client under Create New Person or Entity (client profile information)
  - c. Enter any missing information into profile.
  - d. Repeat a - c for each person in household
4. **Enter Account Data** into RJ Client Onboarding & Maintenance (COB)
  - a. While in the correct COB client profile, Click: Add Accounts
  - b. Enter data for the account
  - c. Repeat a & b for each account
  - d. **All accounts are opened as either Commission or Direct**
    - I. If account is intended to be LFAS Advisory (ICA), it will be opened as Commission and changed to Advisory once the Level Four Advisory Services (LFAS) paperwork is received & approved.
5. If client is missing data, COB entry is a “**Saved Request**”
  - a. Can return to a Saved Request in COB at any time to complete data entry
6. **Prepare COB – Master Client Agreement**
  - a. Follow *Step-by-Step Instructions – RJ COB – Envelope 1*
  - b. Choose Office Print for paper
  - c. Choose SEND FROM COB or SEND FROM CONSOLE for esign

## LFF &amp; RJ New Account Process - Overview

7. **Prepare Supplemental RJ Documents**
  - a. Follow *Step by Step instructions – Supplemental RJ – Envelope 2*
  - b. Complete forms with client information
    - I. Most forms are available as either Smartforms or PDF's
    - II. Both types of forms are acceptable
  - c. Prepare RJ Money Movement Documents
    - I. If client want a money movement feature on their account, Follow *Step by Step instructions - Money Movement*
8. **Prepare Level Four Documents**
  - a. Follow *Step by Step instructions – Level Four Documents – Envelope 3*
  - b. LFAS Advisory COMBO Form will be required for all RJ ICA, Charles Schwab or Fidelity advisory accounts
9. **Process Returned files**, signed forms per below.
  - a. Each Step by Step guide contains detailed information on processing signed form.

DOCUSIGN processing

- All PDF forms sent via DocuSign must route to Level Four New Accounts for processing and filing
- Add [newaccounts@levelfourfinancial.com](mailto:newaccounts@levelfourfinancial.com) as a recipient in both RJ and Level Four DocuSign (copy only) for processing.
- Level Four New Accounts will process the signed forms and upload copies to Laserfiche, for Level Four records, and to Raymond James for their records.

ESIGNATURE CONSOLE, SMARTFORMS and MOVEY MOVEMENT APPLICATION forms processing

- Raymond James forms sent using Esign Console, SmartForms or Money Movement are sent to the client without a copy going to Level Four New Accounts.
- After the client signs the form, you will need to download a copy and send via email to Level Four New Accounts at [newaccounts@levelfourfinancial.com](mailto:newaccounts@levelfourfinancial.com).
- Level Four New Accounts will review and complete processing, upload documents to Raymond James (if needed) and add to Laserfiche for LFF books and records.

PAPER forms with wet signature

- Review forms to ensure all signatures were completed
- If applicable, get branch signatures.
- Gather all necessary RJ and Level Four Financial documents for the household, organize as stated below and scan for emailing.
  - All required pages of the COB packet that include client profiles, acct profiles and signature pages. (Do not scan and email disclosure pages)
  - Any supporting RJ or Level Four documentation for first account.
  - Any supporting RJ or Level Four documentation for second account, etc.
- Add attachments to a new email.
- Email subject line MUST include client last name. Account number and type of form also preferred.
- Send email to [newaccounts@levelfourfinancial.com](mailto:newaccounts@levelfourfinancial.com).