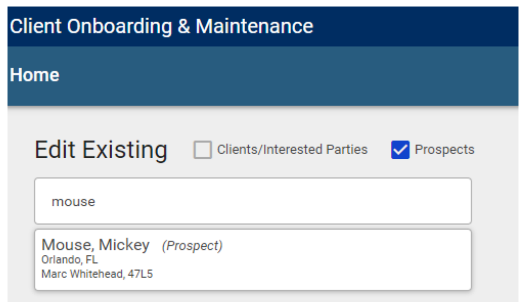
RJ COB (Client Onboarding) – Envelope 1

In the RJ System, go to **My Clients / Client Onboarding and Maintenance**

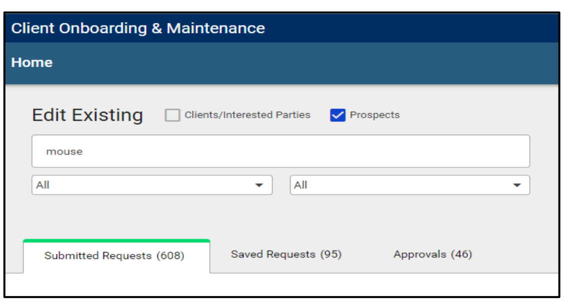
The Raymond James COB contains the Master Client Agreement (MCA – Form RJ7000) including the agreement for each Account.
The COB system is used to open accounts and assign account numbers. This must be done prior to client signing.

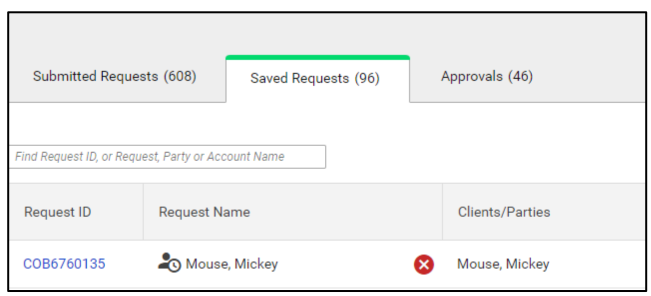
1. **Check to see if Client is already in the system** by typing in client name into the search bar under "Edit Existing"

2. If found, Click **the client from the dropdown.**

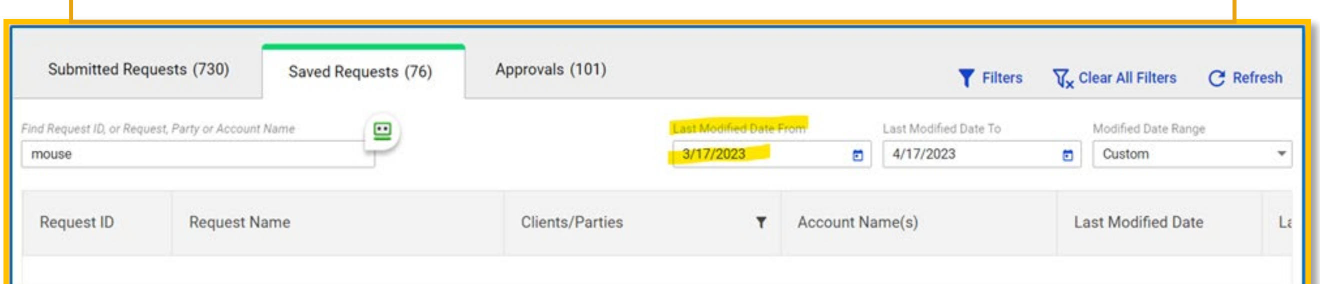


When a client is already in the system, they can be under Submitted Requests (already have an account) or Saved requests (some data entered but not yet complete).

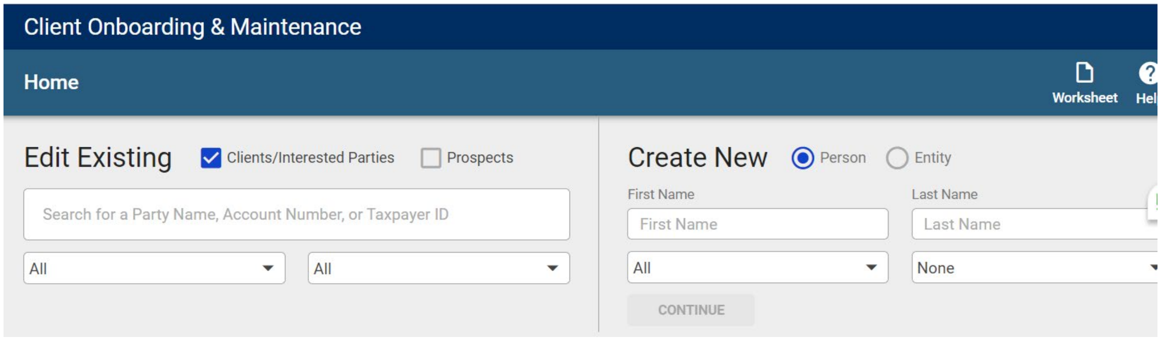




NOTE: If you are looking for a "saved request" in COB and the search returns no clients, try changing the "Last Modified Date". The system defaults to 30 days so to see older entries you will need to increase the dates of the search.

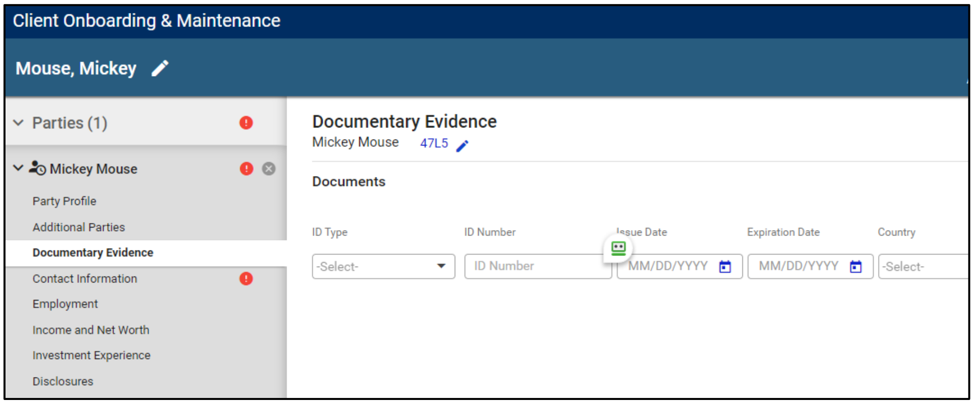


3. If the client does not show under “Edit Existing”, go to **Create New** to start the process.



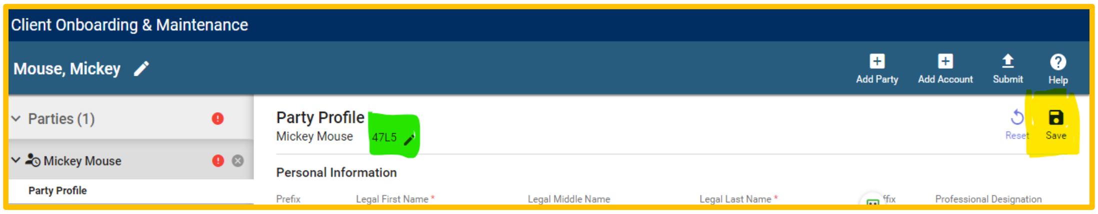
4. **Enter Client Party data – Client Party Information.**
    a. Go through each page and enter any new or missing client information.
    b. A red “i” circle indicates required information is missing.

IMPORTANT: The Documentary Evidence page MUST be completed even though a red circle does not appear.



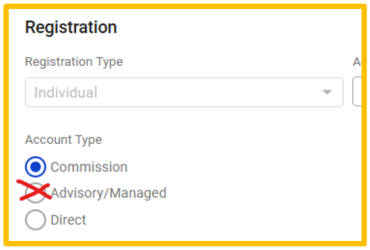
5. **Add Additional Household Parties.**
    a. Click Add Party.
    b. Repeat steps 1 - 4

NOTE: If you need to stop, click SAVE to keep your work.
To change the advisor, click the pencil next to the FA code.



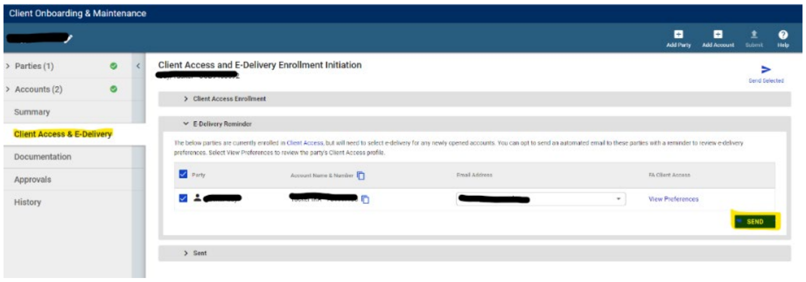
6. **Add Accounts.**
    a. Click Add Account.
    b. Enter Account information.
    c. Repeat as needed for each account.

> NOTE: All accounts at Level Four are opened in the Raymond James system as either **Commission** or **Direct**. No accounts are opened in the RJ COB as Advisory/Managed.
> If the account will be an ICA Advisory account, it will be changed to reflect that at RJ AFTER all Level Four Advisory paperwork has been received & approved. (Updating accounts to Advisory at RJ is done by back office at LFF.)

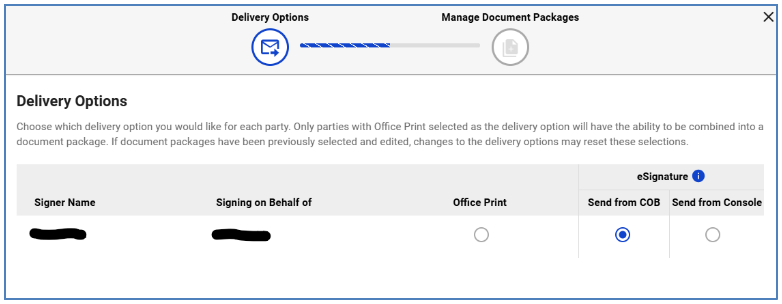


7. Click **SUBMIT and CONFIRM** when all data is entered. This will generate account numbers.

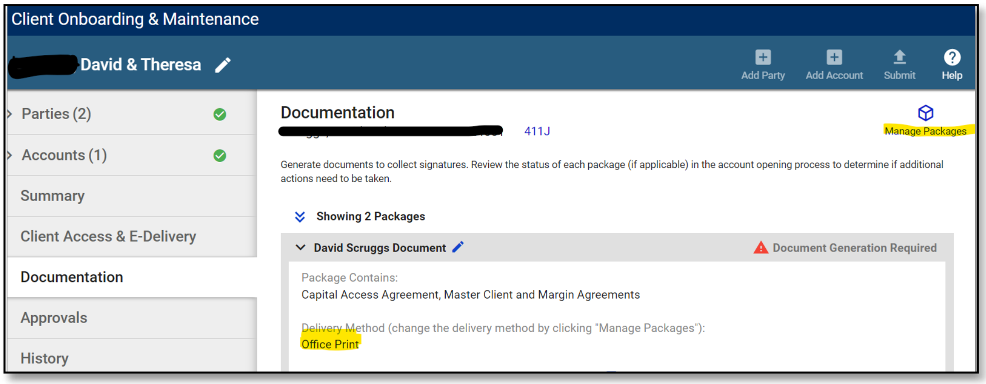
8. OPTIONAL: Click **Client Access & E-Delivery.** If you would like for the client to receive an email for enrollment into RJ online system, click SEND. Client may enroll at this time or later, if preferred.

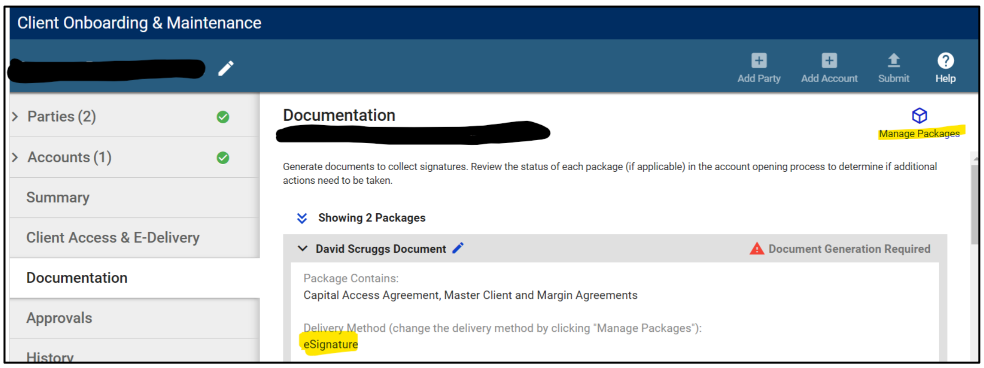


9. Click **Documentation**
    a. Choose the correct delivery method
        i. eSignature : Send from COB – will send in a DocuSign email. This will be the o**nly document in packet/envelope.**
        ii. eSignature : Send from Console – can include in a DocuSign email **with other RJ documents.**
        iii. Office Print for paper copy



If delivery method needs to change, click **Manage Packages** and select new delivery option.





Sending via OFFICE PRINT (Mail or Client meeting) - Follow Step 10

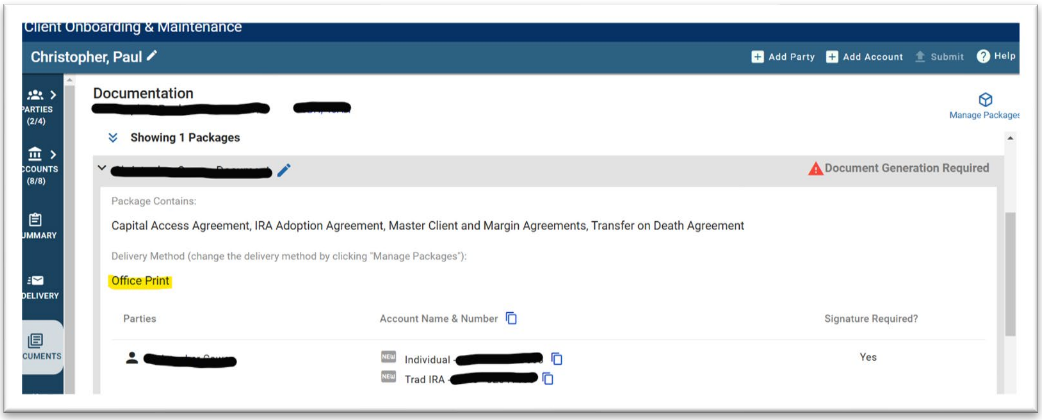
Sending via SEND FROM COB - Follow Step 11

Sending via SEND FROM CONSOLE - Follow Steps 12 – 15

COB – PRINT IN OFFICE

10. In Documentation Tab, make sure **Office Print** is selected as sending method.
    a. Click Generate
        i. Form will created as PDF document
        ii. Print or save to computer

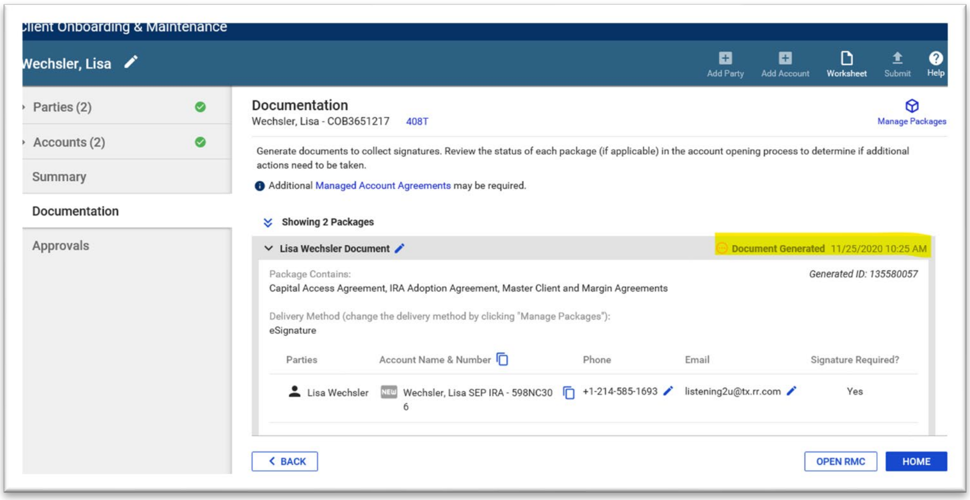
➢ **Not Yet Ready to Print** – Do not click Generate. Click Back or Home and document can be generated at a later time by returning to COB.



COB – SEND Esignature FROM COB

11. In Documentation Tab, make sure **eSignature** is selected as sending method.
    a. Click Generate
        i. Form will immediately be sent to client via Raymond James Docusign
        ii. Date and time that the document was generated will be listed
        iii. When the document is returned, the date and time will change to show when signed document was received by RJ

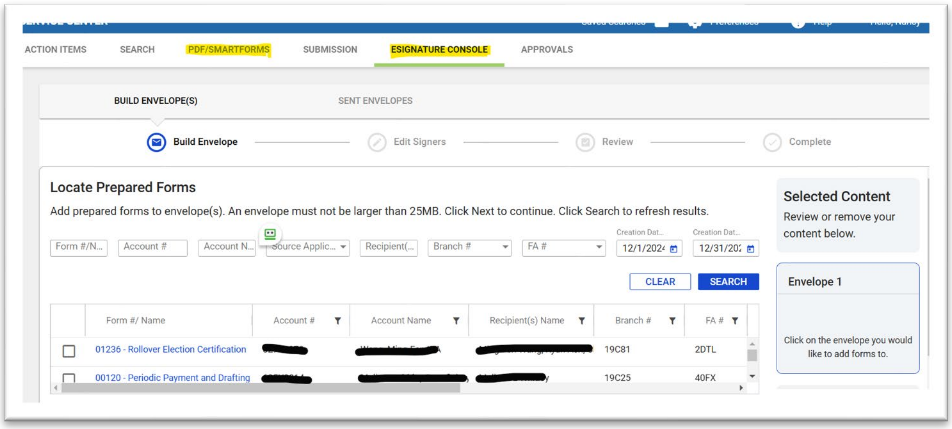
➢ **Not Yet Ready to Send** – Click Back or Home and document will be saved to send later.



COB - SEND Esign FROM CONSOLE

12. When ready to send, Click **Generate.** Make sure SEND FROM CONSOLE is the Delivery Option.
    a. The MCA (COB) form will be generated and stored in the Console within Service Center Portal

13. Go to **My Clients / Service Center Portal**
    a. The MCA (# RJ7000) form will be stored under ESIGNATURE CONSOLE
    b. Find forms by client name or accounts number



14. **Build Envelope** to 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 signed form** to Level Four New Accounts
    Forms sent via ESIGNATURE CONSOLE or MONEY MOVEMENT APPLICATION *do not* automatically send a copy to Level Four so you must send a completed copy to LFF New Accounts for our books and records.
    a. An email is sent to the sender when the form is signed. Open the email to view a copy of the signed form.
    b. 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.
    c. Send the completed, signed document(s) to: newaccounts@levelfourfinancial.com.
    d. Subject line should be: For Filing Only, <Client Name>, <Client Account number>.
    e. The forms are also available to download from the Raymond James Docusign site (vs from each email) if you prefer.