

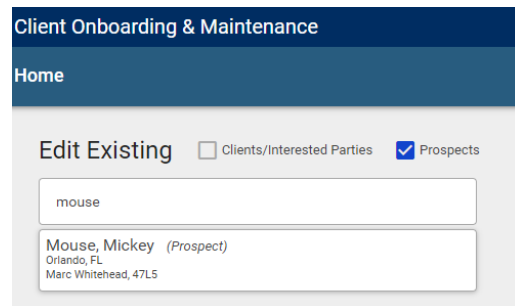
# RJ COB (Client Onboarding) – Envelope 1

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

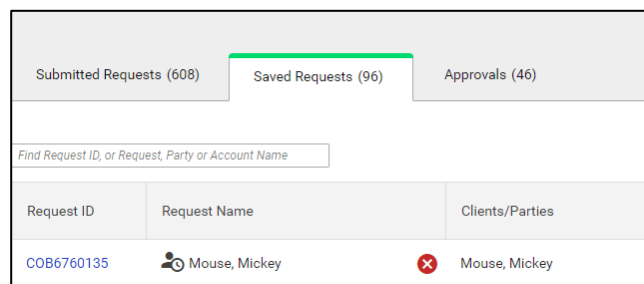
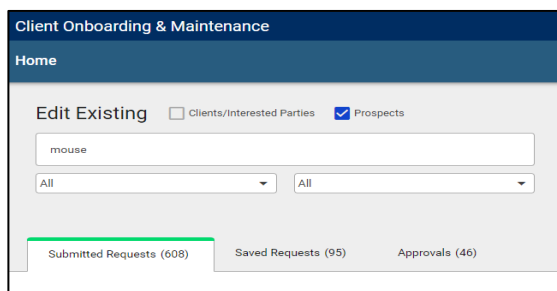
The Raymond James COB contains the Master Client Agreement (MCA – Form RJ7000) including the agreement for each Account.

The COB system is used to open accounts and assign account numbers. This must be done prior to client signing.

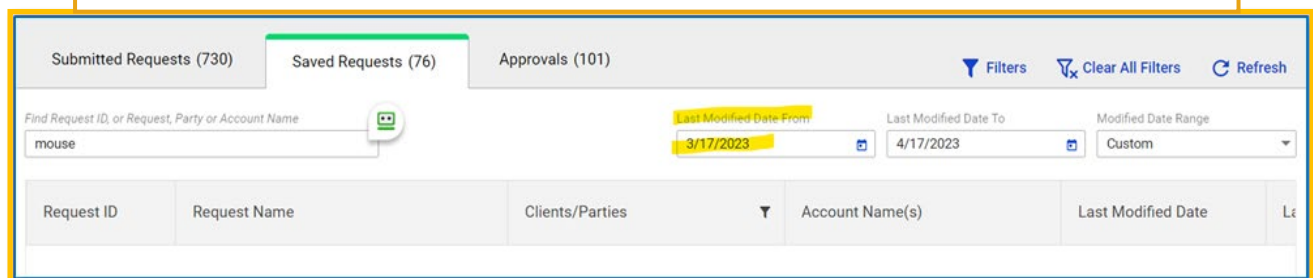
1. **Check to see if Client is already in the system** by typing in client name into the search bar under “Edit Existing”
2. If found, **Click the client from the dropdown.**



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.



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

The screenshot shows the 'Client Onboarding & Maintenance' interface. The 'Edit Existing' section has a search bar and filters for 'Clients/Interested Parties' (checked) and 'Prospects' (unchecked). The 'Create New' section has radio buttons for 'Person' (selected) and 'Entity'. Below these are input fields for 'First Name' and 'Last Name', and dropdown menus for 'All' and 'None'. A 'CONTINUE' button is visible at the bottom.

- Enter Client Party data – Client Party Information.
  - Go through each page and enter any new or missing client information.
  - 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.

The screenshot shows the 'Client Onboarding & Maintenance' interface for 'Mouse, Mickey'. The left sidebar shows a navigation menu with 'Parties (1)' and 'Mickey Mouse' selected. The main content area is titled 'Documentary Evidence' and shows a table with columns for 'ID Type', 'ID Number', 'Issue Date', 'Expiration Date', and 'Country'. The 'Issue Date' field is highlighted with a red circle, indicating a required field.

- Add Additional Household Parties.

- Click Add Party.
- Repeat steps 1 - 4

The screenshot shows the 'Client Onboarding & Maintenance' interface for 'Mouse, Mickey'. The top right corner has a navigation bar with buttons for 'Add Party', 'Add Account', 'Submit', and 'Help'. The 'Add Party' button is highlighted with a green box.

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

The screenshot shows the 'Client Onboarding & Maintenance' interface for 'Mouse, Mickey'. The left sidebar shows a navigation menu with 'Parties (1)' and 'Mickey Mouse' selected. The main content area is titled 'Party Profile' and shows a form for 'Personal Information' with fields for 'Prefix', 'Legal First Name', 'Legal Middle Name', 'Legal Last Name', and 'Professional Designation'. The 'Save' button is highlighted with a yellow box.

## RJ COB (Client Onboarding) – Envelope 1

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



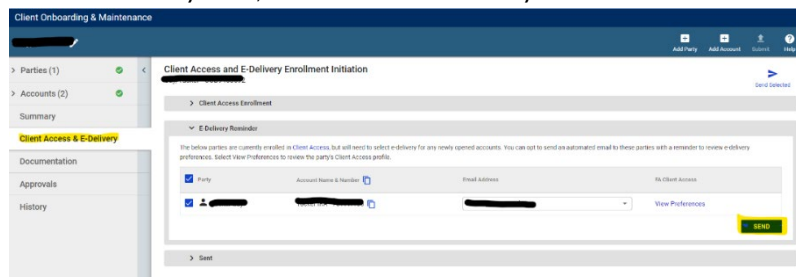
**NOTE:** All accounts at Level Four are opened in the Raymond James system as either **Commission** or **Direct**. No accounts are opened in the RJ COB as Advisory/Managed. If the account will be an ICA Advisory account, it will be changed to reflect that at RJ AFTER all Level Four Advisory paperwork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

**Registration**

Registration Type  
 Individual

Account Type  
 Commission  
 Advisory/Managed  
 Direct

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 **only 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

Delivery Options      Manage Document Packages

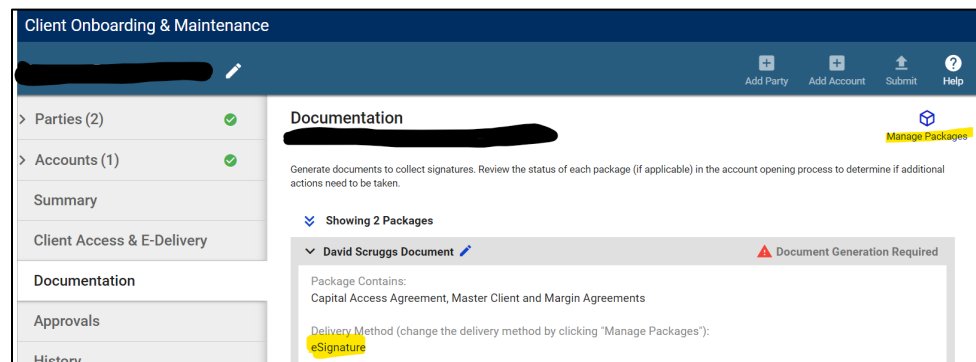
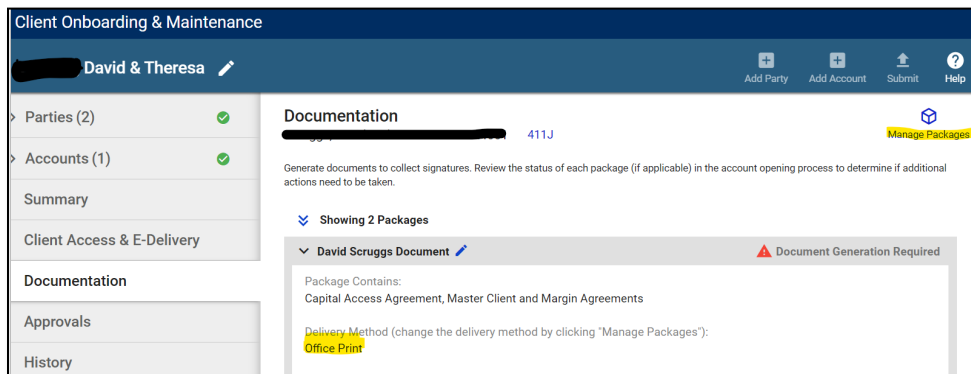
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**Delivery Options**

Choose which delivery option you would like for each party. Only parties with Office Print selected as the delivery option will have the ability to be combined into a document package. If document packages have been previously selected and edited, changes to the delivery options may reset these selections.

Signer Name	Signing on Behalf of	Office Print	eSignature	
			Send from COB	Send from Console
[Redacted]	[Redacted]	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>

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.

Client Onboarding & Maintenance  
Christopher, Paul

Documentation

Showing 1 Packages

Document Generation Required

Package Contains:  
Capital Access Agreement, IRA Adoption Agreement, Master Client and Margin Agreements, Transfer on Death Agreement

Delivery Method (change the delivery method by clicking "Manage Packages"):  
**Office Print**

Parties	Account Name & Number	Signature Required?
Individual	[Redacted]	Yes
Trad IRA	[Redacted]	Yes

## 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.

Client Onboarding & Maintenance  
Wechsler, Lisa

Documentation

Showing 2 Packages

Document Generated 11/25/2020 10:25 AM

Package Contains:  
Capital Access Agreement, IRA Adoption Agreement, Master Client and Margin Agreements

Generated ID: 135580057


Delivery Method (change the delivery method by clicking "Manage Packages"):  
**eSignature**

Parties	Account Name & Number	Phone	Email	Signature Required?
Lisa Wechsler	Wechsler, Lisa SEP IRA - 598NC30	+1-214-585-1693	listening2u@tx.rr.com	Yes

BACK OPEN RMC HOME

## 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](mailto: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.