Paperwork Best Practices

Paperwork that is complete and correct is considered IGO – In Good Order
Paperwork with errors or that is rejected is NIGO – Not in Good Order

NIGO Paperwork

1. **NIGO paperwork notices**
   a. Level Four New Accounts will send an email to the advisor if there is a NIGO
   b. Raymond James will send an email to the advisor.
      I. Rejected (NIGO) paperwork can also be found by searching in:
         RJ: My Clients:Service Center Portal: Search

2. **Level Four NIGO's**
   a. Follow the instructions in the email to correct the NIGO
   b. Best resource for NIGO questions is Level Four New Account at newaccounts@levelfourfinancial.com

3. Raymond James NIGO's
   a. Follow the instructions in the email to correct the NIGO
   b. Notes about the NIGO can be found in Service Center Portal. The notes will also have a contact person at RJ.

Common Issues

- **# 1 Rejection Reason -Missing CRS!**
  - Don't forget to send the CRS disclosure documents to the client! This must be done prior to the paperwork being processed.
- **COB – RJ7000**
  - The Raymond James new account form (RJ7000) is created in the COB system.
  - If a change is made to the document prior to the client signing and/or the document completing processing, the form will be considered NIGO and a new document will need to be signed.
- **Typo's**
  - Use Smartform in RJ to reduce typo errors
  - Review Level Four forms carefully to reduce typo's
- **Missing LF189 or LF188**
  - The LF189 -Transfer Rollover Due Diligence is required when transferring any IRA or ERISA account.
  - The LF188 – Annuity Purchase Disclosure is required when client is buying an annuity.
- **Using outdated forms**
  - Always pull the latest form from RJNET or Level Four Intranet
  - Outdated forms will be rejected and require the client to sign new forms
- **Missing a required field**
  - Make sure all required data is completed. This is especially true of the Level Four COMBO Advisory form.
- **One and Same Form**
  - If the client goes by a nickname and might be using both the legal name and nickname, client will need to sign an RJ1055 – One and Same form.
  - If client is called by a nickname but signs all documents with the legal name, a One and Same is not needed.