



Your signature options for COB documents.

eSignature*	COB introduces streamlined integration with eSignature for ease of use and is the default delivery option. Send your clients an electronic copy of the agreements, client and account playbacks, and necessary disclosures for them to review and sign. After signing, your client will be mailed a Relationship Summary.
Office Print	A paper version of the information sent to your client via eSignature can be printed at the office to gather your client signatures. After signing, your client will be mailed a Relationship Summary.
Worksheet	Optional data gathering worksheets allow you to gather client and account information.

Documents not included in your COB package:

- Managed / Fee-Based Agreements (*Opportunity, Freedom, etc.*)
- Power of Attorney
- Limited Power of Attorney
- Options Trading Approval
- TOD Agreement
- One and the Same
- Limited Trading Authorization
- ACH Profile
- ACAT / Transfer Forms
- Standing Letter of Authorization

***Procedure when using the eSignature version in COB, and you are ready to submit your account opening package to Level Four Financial for review and processing:**

- Your email submission to LFF for review and approval should include the COB account opening document along with all supporting documents such as the LFF documents and any of the documents listed above.
- When the package is generated to your client to review and sign, you will receive an email to approve the COB entry. **Do Not** approve the COB entry unless you are prepared to send LFF the full account opening submission. It is your responsibility to print the COB document from eSignature and add to your email submission to LFF along with all supporting documents for complete Harbor principal review and books and records retention. **Failure to submit “in good order” docs to Level Four will result in a Documents Due Fine of 10.00 per week.**