

ONGOING TASKS:

DAILY:

- Advisor Access
- Alerts
- COB Approvals
- Action Items – Service Center

WEEKLY:

- RJ Annuity Dashboard – Linking
- Relationship Management
- Salesforce
- Black Diamond

RESOURCES:

- Level Four Intranet – www.harborfs1.com
- CRS Wizard (jotform)
- Step-by-step training guides
- New Accounts form wizard
- Advisorsupport@levelfourfinancial.com
- RJNet Library
- RJ department service members (phone call)

RJ CLIENT ONBOARDING – COB:

Best Practices:

- Account Short name format – First name, Last name, Account Type
 - Joe Smith IRA, Joe & Ann Smith JTWROS, Joe Smith IRA Advisory
- If a middle name or initial is available, add to the Party Profile
- The Legal name is how the account will be registered -the preferred name is the name the client goes by

COB Reminders:

- All accounts are opened in COB as either Commission or Direct
- No accounts are opened as advisory (Level Four advisory is added later by the back office.)
- Annuity accounts are opened as Direct
- 529 & UTMA accounts are opened under the Fiduciary Category
- A mobile phone is required to send forms via DocuSign

Tips:

- Use the Copy button in Party to quickly add information
- Use the Party button in Beneficiary section of Accounts to quickly add parties
- When looking for a COB entry, change the date search perimeters if you are not finding the client
- Enter the zip code for an address and the system will fill in city & state
- To Paste into COB, must use Ctrl V.

RJ CLIENT CENTER:

- Client Center is your resource for all things about your client
- Right click for quick access menu
- Hover over colored buttons on right side to view account features
- Click Documents to view past statements, tax forms, confirmations, and other client documents
- Branded client reports are easy to prepare using the Report Button
- Advanced Search provides a quick, easy way to create client lists and reports
- Advanced Search- Recommended Searches are a great resource for client data

RJ SERVICE CENTER:

- Client Center is your resource for RJ paperwork
- Branches do not use the Submission or Approvals tabs (LFF back-office handles)
- Move the Search By dates for better results
- Search tab – Documents lists all paperwork for a client
- Action Items tab provides a list of paperwork that needs resolution
- Follow Document Notes for rejection details and name of RJ contact
- Use the Hide button once a situation has been resolved
- When building an envelope, search for paperwork by Recipient name and change creation date back to cover older documents

RJ MONEY MOVEMENT:

- Starting Money Movements from Client Center provides a quick view of the clients current set up
- ACH is set up first, then periodics after ACH is completed
- The system will tell you if a LOA is required to be signed
- All 3rd party disbursements require an LOA (LFF requirement)
- Large disbursements may require additional steps. Let your Branch Manager know if you will be requesting a large payout.

PAPERWORK REJECTIONS – NIGO’S:

Level Four NIGO’s

- Level Four New Accounts will send an email to the advisor if there is a LFF NIGO with instructions
- Best resource for NIGO questions is Level Four New Account at newaccounts@levelfourfinancial.com

Raymond James NIGO’s

- Raymond James will send an email to the advisor if there is an RJ NIGO with instructions
- Notes about the NIGO can be found in Service Center Portal, including a contact person at RJ.
- Rejected (NIGO) paperwork can also be found by searching in: My Clients:Service Center Portal: Search

Common Issues

- # 1 Rejection Reason -Missing CRS!
- COB changes made before client signs– RJ7000 must be regenerated if any changes are made
- Missing LF189 or LF188

LFF PAPERWORK PROCESSING & FILING

- Paperwork processing will vary, based on the type of form and method of sending
 - Completed, signed forms must be filed with Level Four for books and records requirements
- For detailed step-by-step instructions, see SBS guides for Envelope 1 and/or Envelope 2 on the Intranet*

Paperwork Printed and Wet Signed – LFF New Accounts processes and files

- Send signed paper forms to Level Four New Accounts for processing and filing

RJ Forms sent from RJ Docusign - LFF New Accounts processes and files

- Click: Add additional Recipients to the Envelope
- Name: Level Four New Accounts
- Email: newaccounts@levelfourfinancial.com
- Use drop down to change Needs to Sign to Receives a Copy

RJ Forms sent from RJ eSignature Console – RJ processes and LFF New Accounts files

- Forms automatically go to RJ for processing.
- LFF needs a copy for books & records – manual process by the branch
- Branch goes to My Clients : Service Center Portal : Search
- Completed forms should be downloaded and a copy sent to LFF New Accounts
- Exception: COB 7000 does not need to be sent to LFF NA