Opening Direct (Non-NFS) Accounts and Completing DocuSign Requirements: A Quick Glance

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Overview

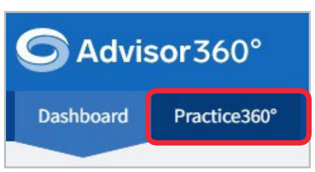
This document provides a high-level view of the MMLIS Brokerage Account new account opening process using the Account Opening tool and DocuSign.

For additional information and detail, please refer to:

- Open New Accounts Using the Account Opening Tool Reference Guide
- Master Services Agreement (MSA) Overview Reference Guide
- MSA Eligible Product Lines & Registration Types Reference Guide
- Advisor360° DocuSign Reference Guide
- Overview of Advisor360° DocuSign Video
- Advisor360° Docusign Cheat Sheet

Open a New Account Using the Account Opening tool

1. From the **Advisor360° Dashboard,** select the **Practice360° tab**.



2. Select the **Households** tab and select a specific client **Household Name**. A pop-up window will display next to the client **Household Name**. In the **Portfolio** category, select **Account Profile**.

NOTE! To open a new account using the Account Opening tool, a Household must already exist in Practice360°. For more information about Households, refer to the Open New Accounts Using the Account Opening Tool Reference Guide.

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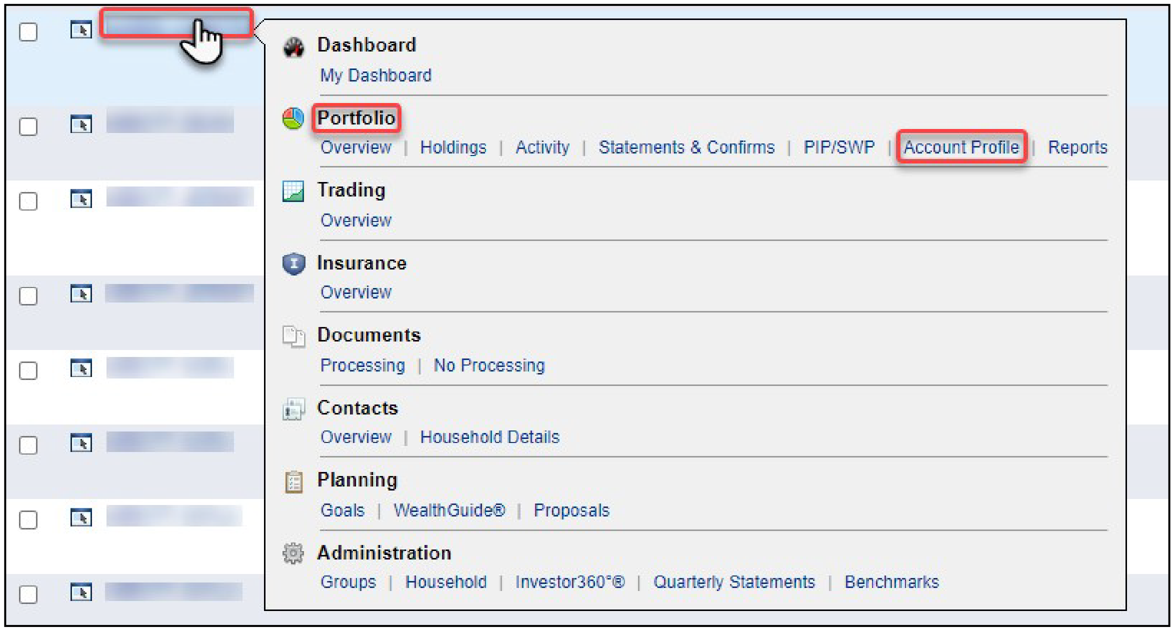
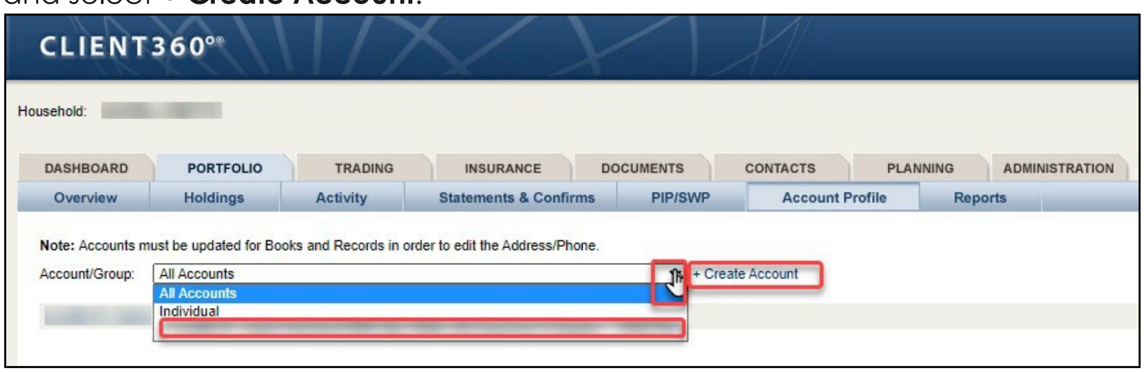
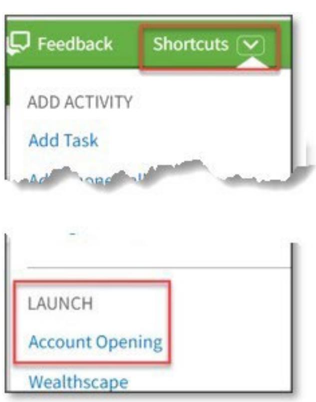


3. Client360° appears. Expand the dropdown to make an **Account/Group** selection and select **+ Create Account**.



4. The **Account Opening** tool appears. Expand the dropdown to choose an advisor or licensed assistant. Select **Continue**.

   NOTE! The Account Opening tool can also be accessed via the **Client360° Beta** new advisor experience. When in a Household, expand the **Shortcuts** dropdown, and select **Account Opening** (in **Launch** section).



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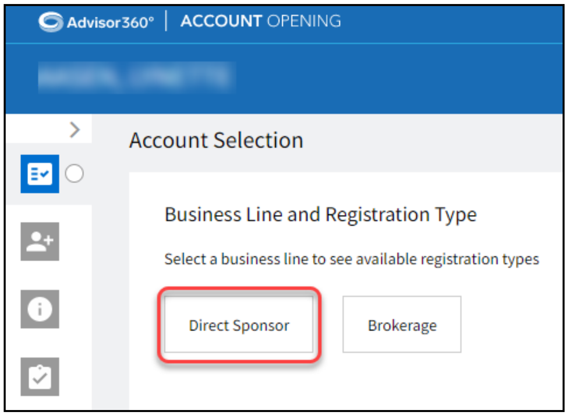
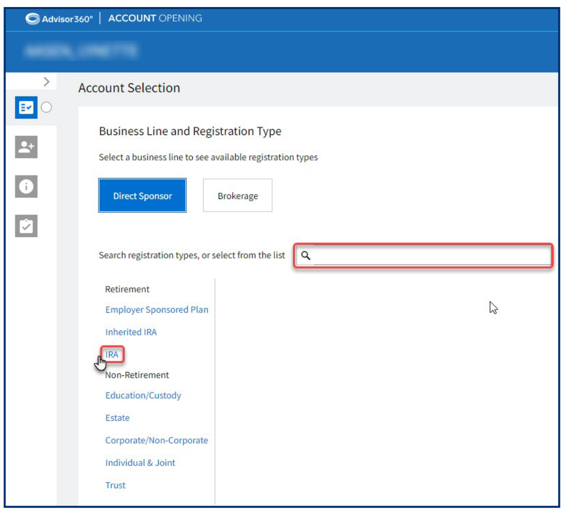
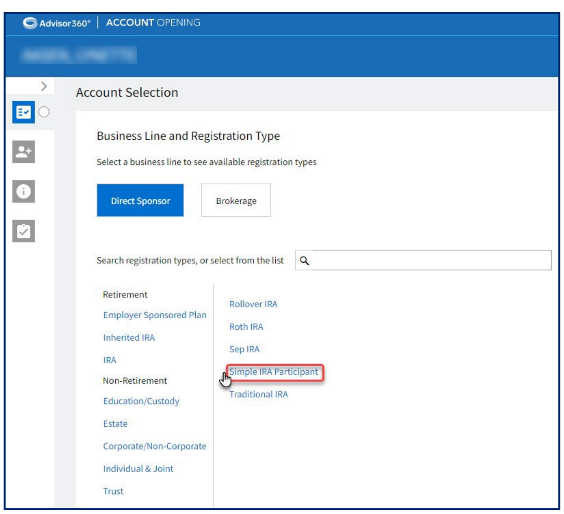
NOTE! For illustrative purposes this example shows a **Simple IRA Participant** registration type in the subsequent steps and screenshots. However, the registration type selected determines the subsequent screens that appear in the Account Opening tool.

5. Select a business line to see available registration types.







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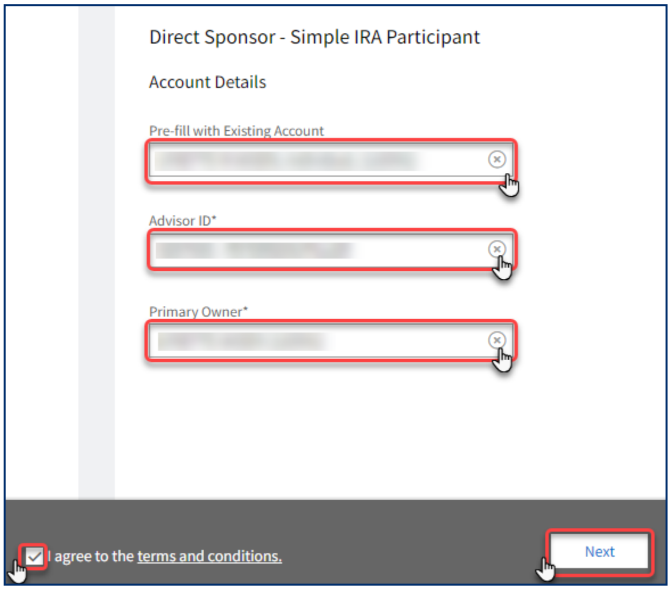
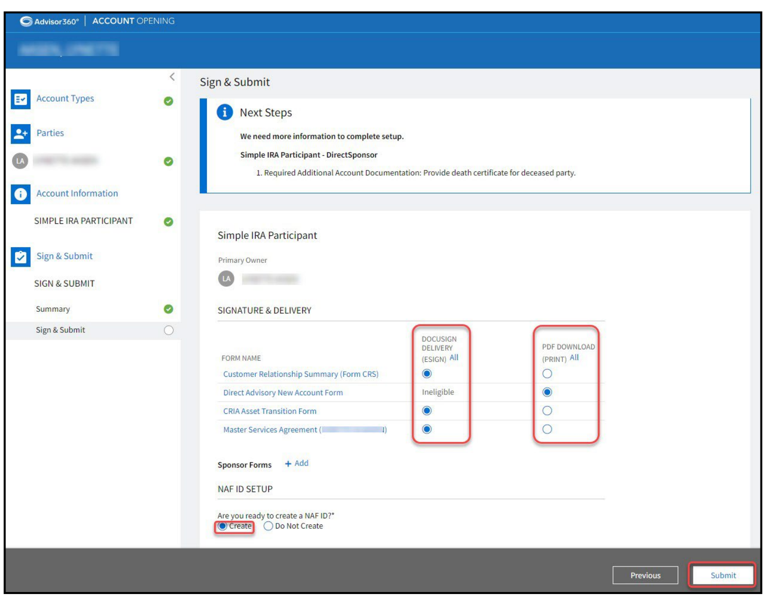
6. Enter **Account Details**. To save time, expand the first dropdown to **Prefill with Existing Account** information, if desired. Expand the second dropdown to select **Advisor ID** and expand the third dropdown to select **Primary Owner.** Select the **checkbox** to confirm I agree to the terms and conditions. Select **Next**.



7. Navigate through the remainder of the account opening screens, including **Profile** (if you did not select to pre-fill), **Affiliations**, **Trusted Contact**, **Suitability**, **Account Details**, **Suitability**, and **Optional Features**.

8. In the **Summary** screen, confirm all account information is complete and accurate. Select **Next**.

9. In the **Sign & Submit** screen, select either **DocuSign Delivery (eSign)** or **PDF Download** for your method of document delivery to the client for signature. Select the **Create** radial button to create the NAF ID and select **Submit**.



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NOTE!

- As you navigate through the Account Opening tool screens, red exclamation points will notify you of any errors, incomplete, or missing required information. You may not submit the account until all information is complete.
- For more information about using **DocuSign Delivery (eSign)** for delivering documents to your client for eSignature, refer to the DocuSign section below.

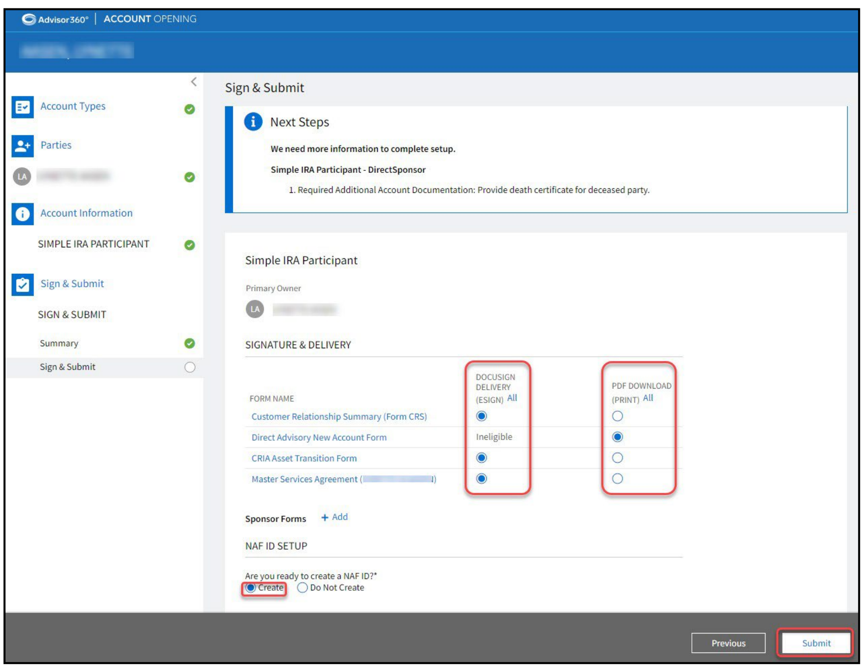
DocuSign

To Generate a New Envelope

1. In the **Sign & Submit** screen, select **DocuSign Delivery (eSign)** for your method of document delivery to the client for eSignature, and select the radial buttons next to all the forms that you would like sent to the client for eSignature. Some forms may be DocuSign Delivery ineligible.

   NOTE! A client email address must be entered in the **Parties** screen in order to use DocuSign delivery.

2. In the NAF ID Setup column, select either **Create** or **Do Not Create** the NAF ID. Select **Submit**.



3. A DocuSign Delivery window opens, which displays the DocuSign envelope contents, including client email address and list of forms you selected to be sent. You can edit the email subject and/or add a message to the client.

4. Select either **Save draft in DocuSign** (send later) or **Send forms to client now**.

   NOTE! Sending forms to client now will not allow the forms to be edited before sending to the client. If there are more forms or data that needs to be added, save the draft to DocuSign first.

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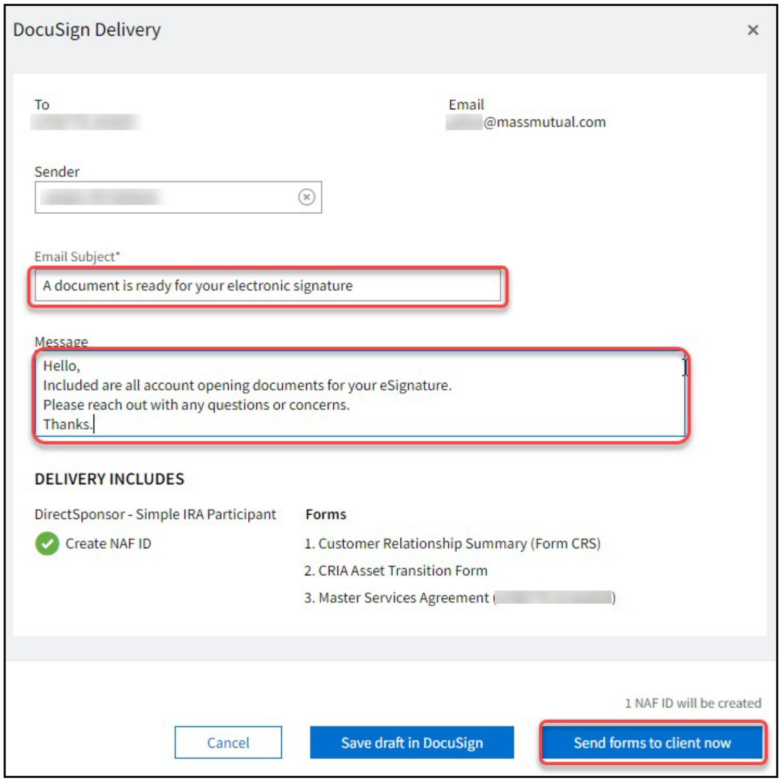
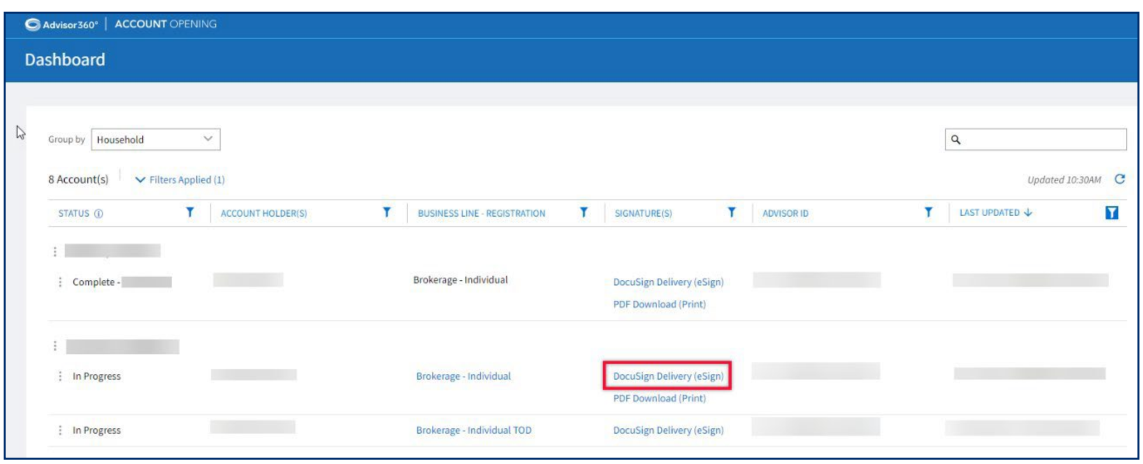


5. After making your selection, you will be sent to your Advisor360° Dashboard, which displays the status of your DocuSign Delivery.

   NOTE! When you elect **Save draft in DocuSign**, the Account Opening Dashboard will provide you with a snapshot of new and in-progress accounts. The Dashboard is where you'll obtain the new account number (or NAF ID). To access the Dashboard, go to Practice360° > Procedures Wizard tab > **Saved and Finished Accounts** tile > Account Opening Dashboard. On the Dashboard click on the **Docusign Delivery (eSign)** hyperlink and it will bring you to that saved envelope in DocuSign.



Open Direct Accounts & Complete DocuSign Requirements

Other Resources

Remember, this quick glance resource is designed to provide a high-level view of the direct account opening and DocuSign processes. For additional information, please refer to these resources:

- Open New Accounts Using the Account Opening Tool Reference Guide
- Master Services Agreement (MSA) Overview Reference Guide
- MSA Eligible Product Lines & Registration Types Reference Guide
- Advisor360° DocuSign Reference Guide
- Overview of Advisor360° DocuSign Video
- Advisor360° DocuSign Cheat Sheet