Enrollment App User Guide

Complete Guide to Enrolling Accounts

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Introduction

This user guide will cover how to securely send a Letter of Authorization (LOA) to your client through a traditional print & sign workflow or through a quick and secure DocuSign workflow to quickly obtain the required signatures to complete the enrollment process in the Enrollment Tool.

This user guide is a complement to the Enrollment Tool's intuitive screens, which feature straightforward user interfaces, automations such as telesense, and integrated support options such as hover-over tip boxes which provide additional guidance and information.

Enroll a Brokerage Account

Enroll an Account

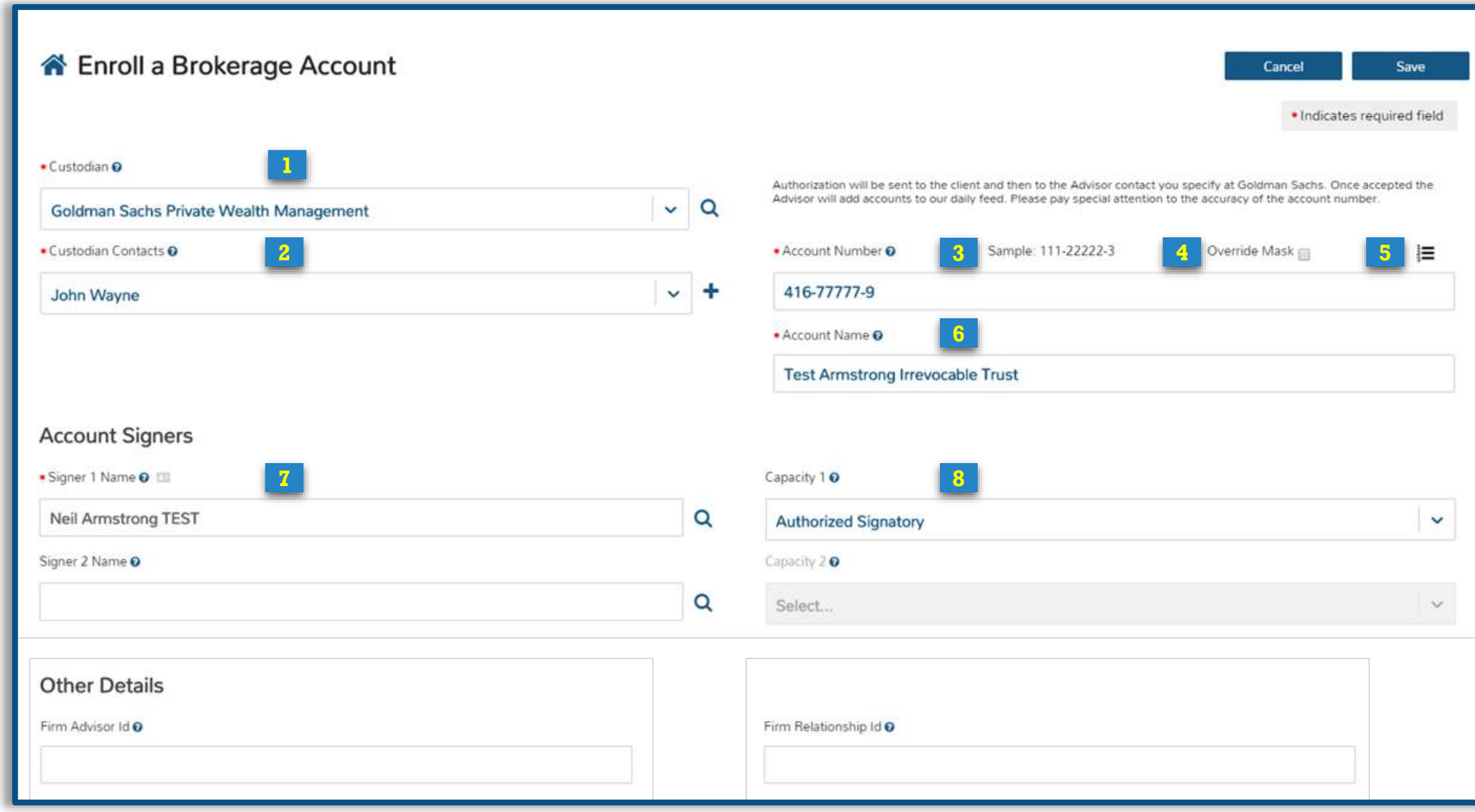
Required Fields

1. **Enroll an Account**
   Choose from one of the following tiles to start enrolling an account.

   - **Brokerage/Banking Accounts:** Investments in assets held with custodians and banks such as Schwab, Fidelity, Morgan Stanley, J.P. Morgan, etc.

2. **View Accounts / Authorizations**
   The user may click on the **View Accounts** button to be directed to the **Account Enrollments** view or click the **Authorizations** button to be directed to the **Authorizations** view.

Enroll a Brokerage Account



OPTIONAL FIELDS:

Firm Advisor ID and Firm Relationship ID (Other Details section): The user can append a proprietary identifier to help group and sort records

OPTIONAL CRM INTEGRATION:

Launched from your Advisor desktop in the context of a client; automatically pre-populates certain data including Client and Advisor ID.

Required Fields

1. **Custodian**
   Select from 500+ existing institutions by typing in the telesense field to produce dropdown results to choose from or click on **Magnifying Glass** to open the **Request New Custodian** modal.

2. **Custodian Contact**
   The individual at the institution who receives the LOA for approval once the authorized person(s) have signed. This field appears once the **Custodian** field is populated. Select from existing contacts in dropdown results or click **[+]** to open the **Add Custodian Contact** modal.

3. **Account Number**
   Account number located on statement under legal Account Name.

4. **Override Mask**
   Use only if account number provided does not match sample pattern.

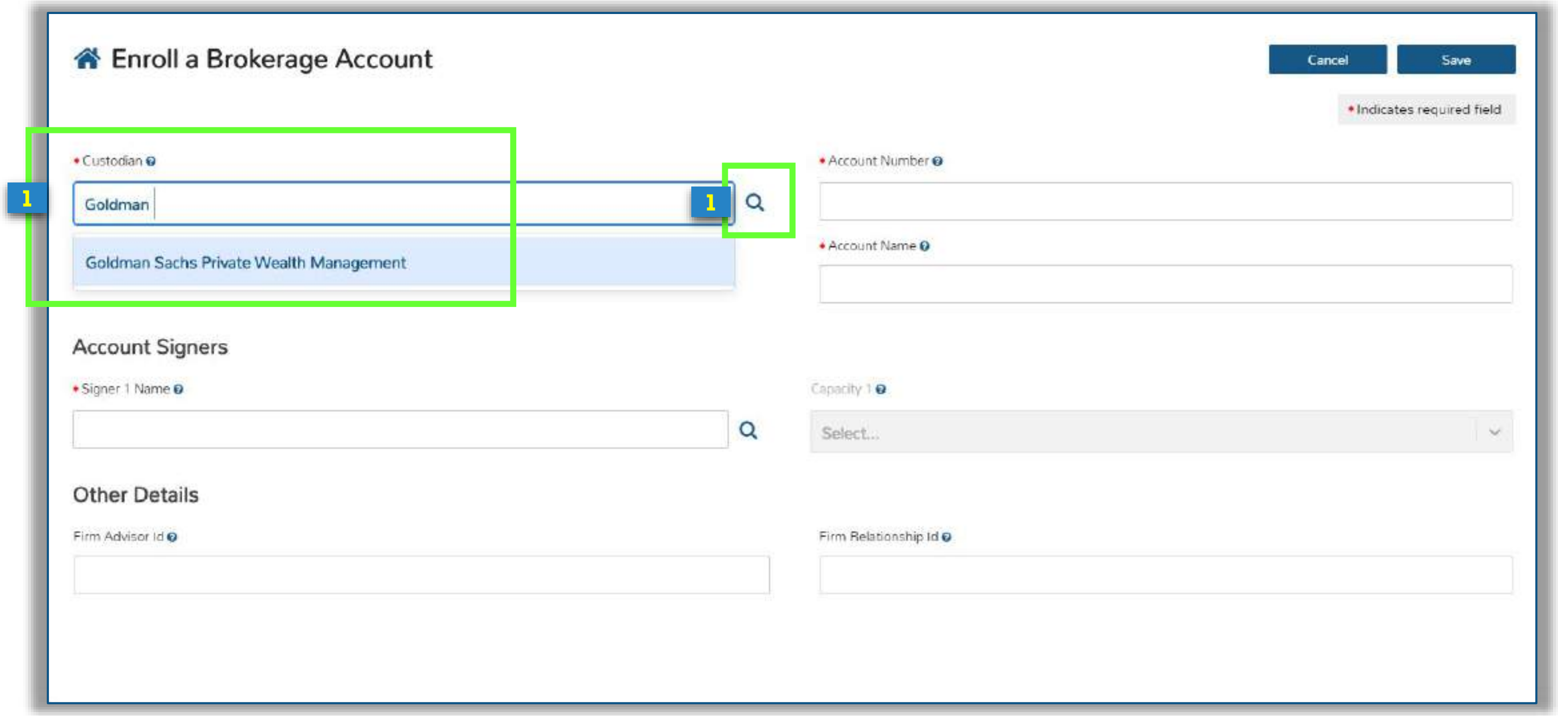
5. **Add Multiple Accounts**
   Click **Bulleted List** icon to add multiple accounts. Each individual account should be its own line in a comma delimited list.

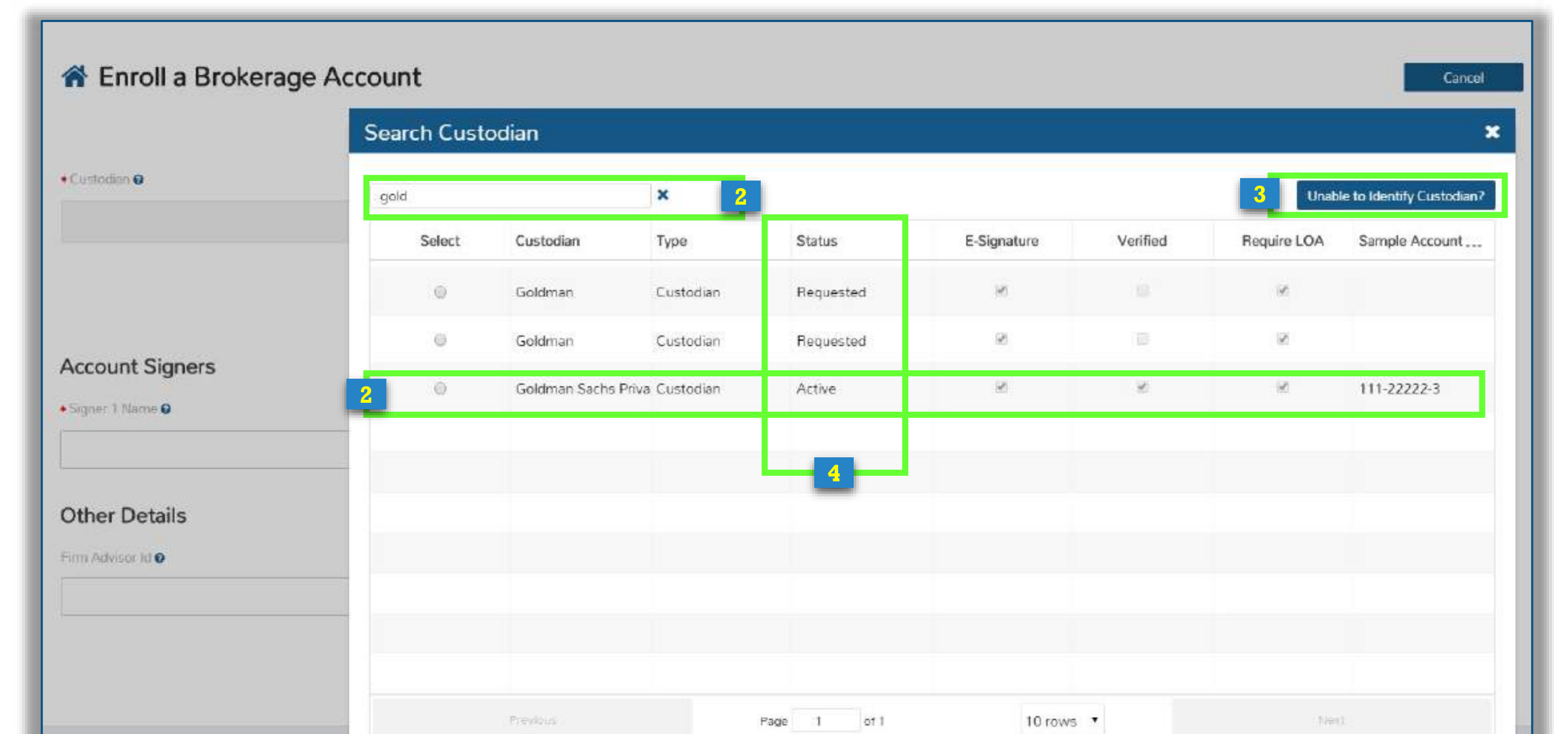
6. **Account Name**
   Registered legal entity listed on account statement.

7. **Signer 1 Name**
   Authorized persons under the **Account Name**. Click on **Magnifying Glass** to select an existing signer or add a signer. The signer(s) are the authorized person(s) on the account. To add up to 4 signers (max), repeat this step. For 5+ signers, please contact your Support Team.

8. **Capacity 1**
   The role of the authorized person(s) on the account. If Capacity choice is not found, please use Authorized Signatory as the default option.

Search for Existing Custodian





Required Fields

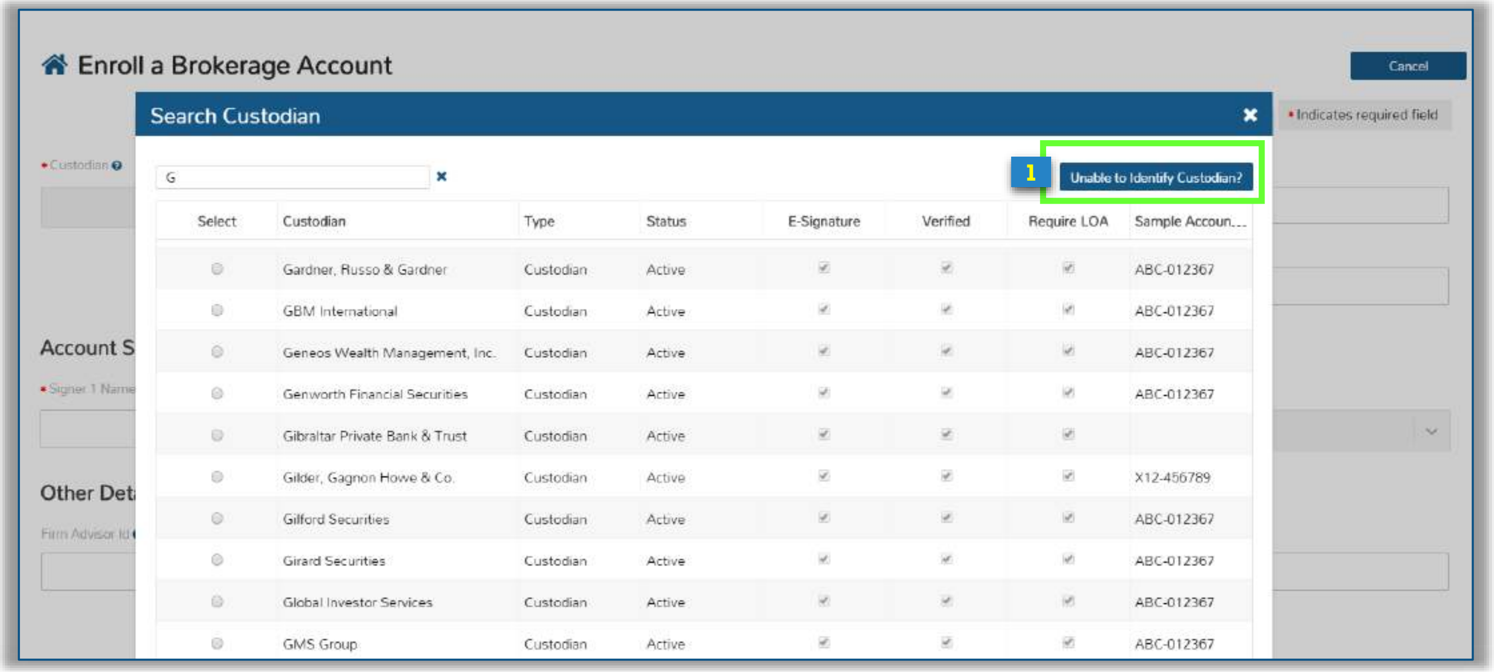
1. **Search for an Existing Custodian**
   In the **Custodian** field, type in the institution desired. Using telesense, the tool will provide possible matches to the user to choose from. The alternative method to search for an institution is to click on the **Magnifying Glass** to open up the **Search Custodian** modal.

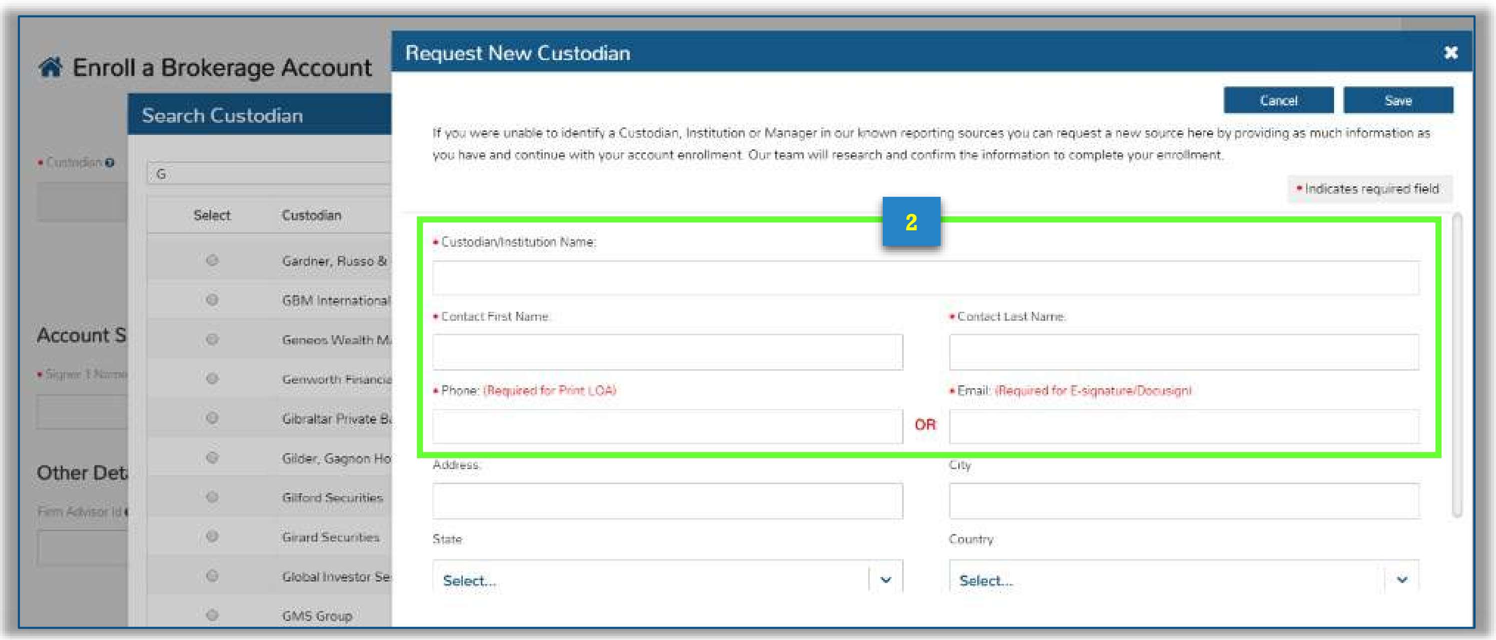
2. **Search Custodian**
   Type in the desired institution in the **Search** field. Using telesense, the tool will provide a list of results. **Select** the institution desired. Once selected, the modal will close and the user will be directed back to the **Enroll a Brokerage Account** view.

3. **Unable to Identify Custodian?**
   If the user is unable to identify an institution from the search results, click the **Unable to Identify Custodian?** button to open the **Request New Custodian** modal to start a new request.

4. **Understanding Available Custodian Statuses**
   - **Active** = Verified and accepted; User can Send or Print LOA.
   - **Requested** = Awaiting verification; LOA unable to be sent at this time.

Request New Custodian





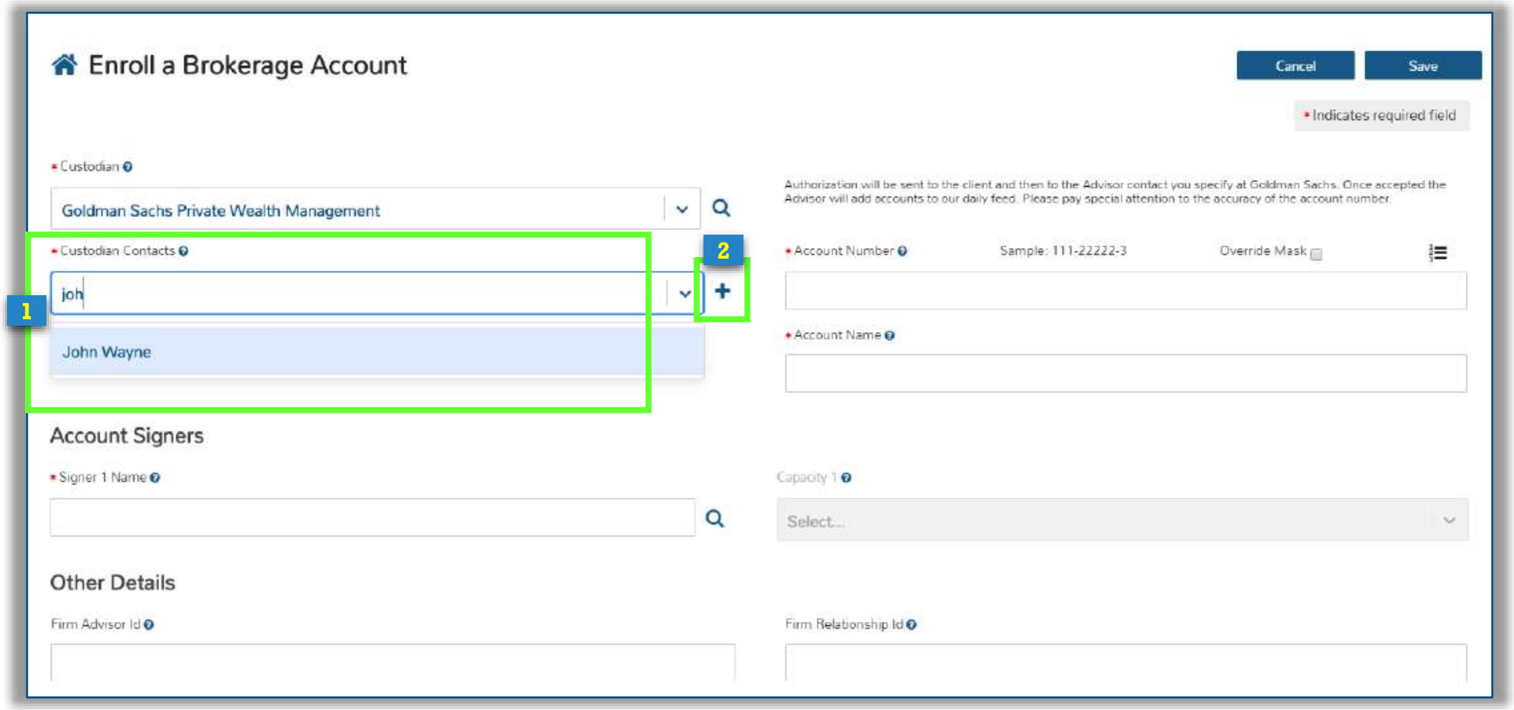
Required Fields

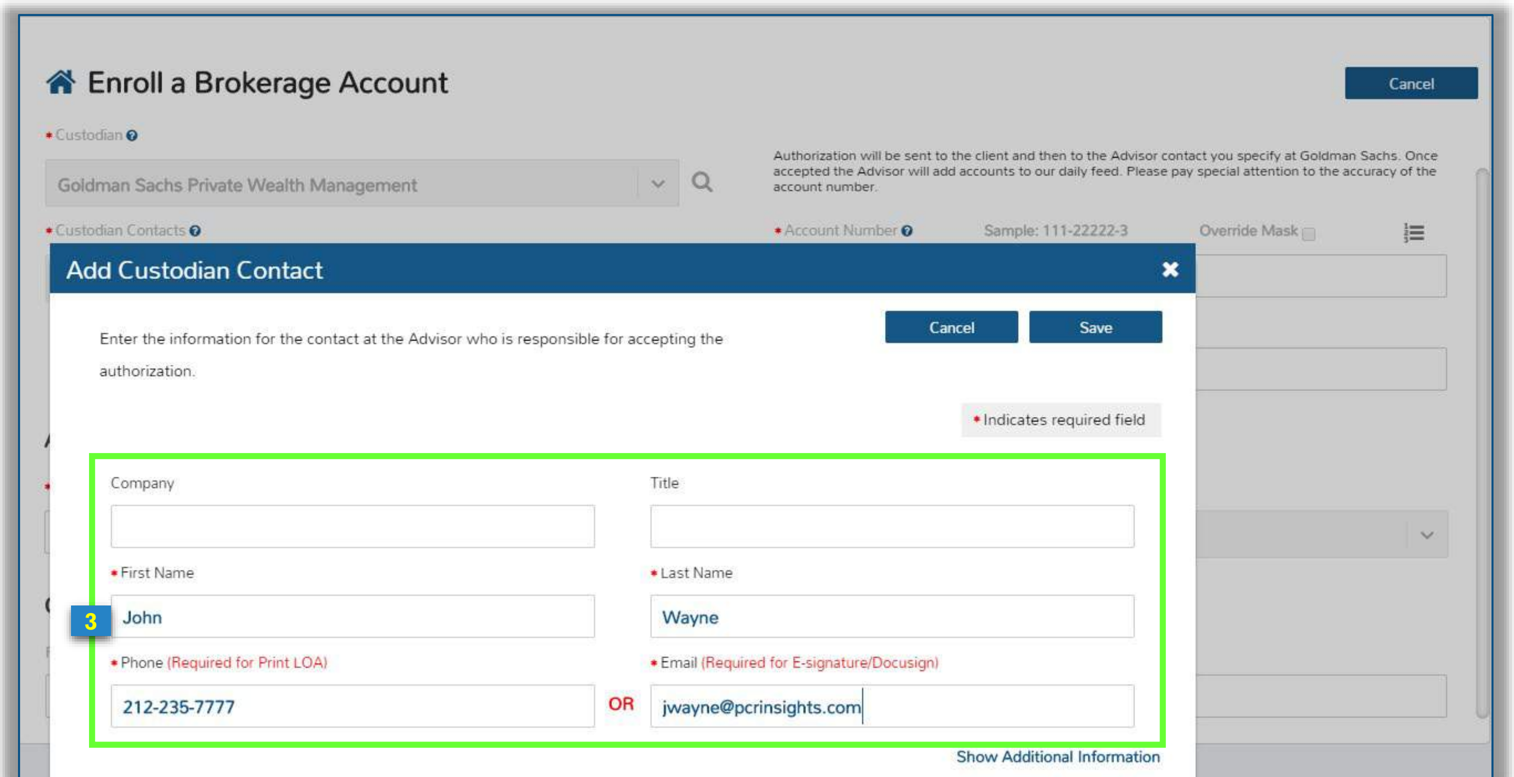
1. **Unable to Identify Custodian?**
   Once the user clicks the **Unable to Identify Custodian?** button, the **Request New Custodian** modal appears.

2. **Request New Custodian**
   Fill out the required fields marked with a [*].
   - **Custodian/Institution Name:** Requested institution name
   - **Contact First and Last Name:** Contact at the requested institution
   - **Phone:** Contact phone number
   - **Email:** Contact email address

Additional fields available are optional.

Custodian Contact: Existing/New





Required Fields

1. **Select Existing Custodian Contact**
   The **Custodian Contact** field will appear once the **Custodian** field is filled out. Type in the field to search and choose an existing **Custodian Contact**. The contact would be the Advisor that administers the account for the client.

2. **Adding a Custodian Contact**
   If the **Custodian Contact** does not exist, click on the [**+**] to open the **Add Custodian Contact** modal.

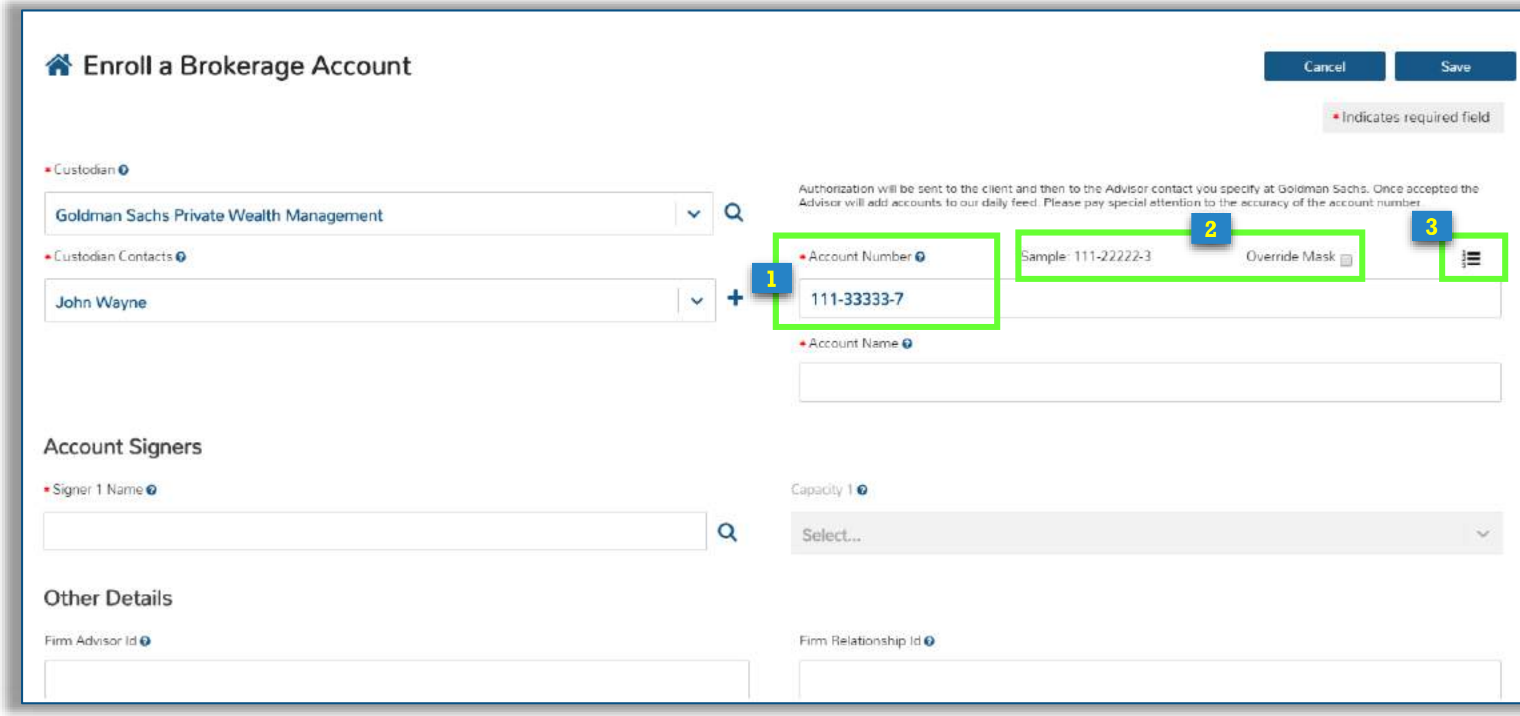
3. **Add Custodian Contact – Required Info**
   On the **Add Custodian Contact** modal, fill out the required fields marked with a [*] as per below:

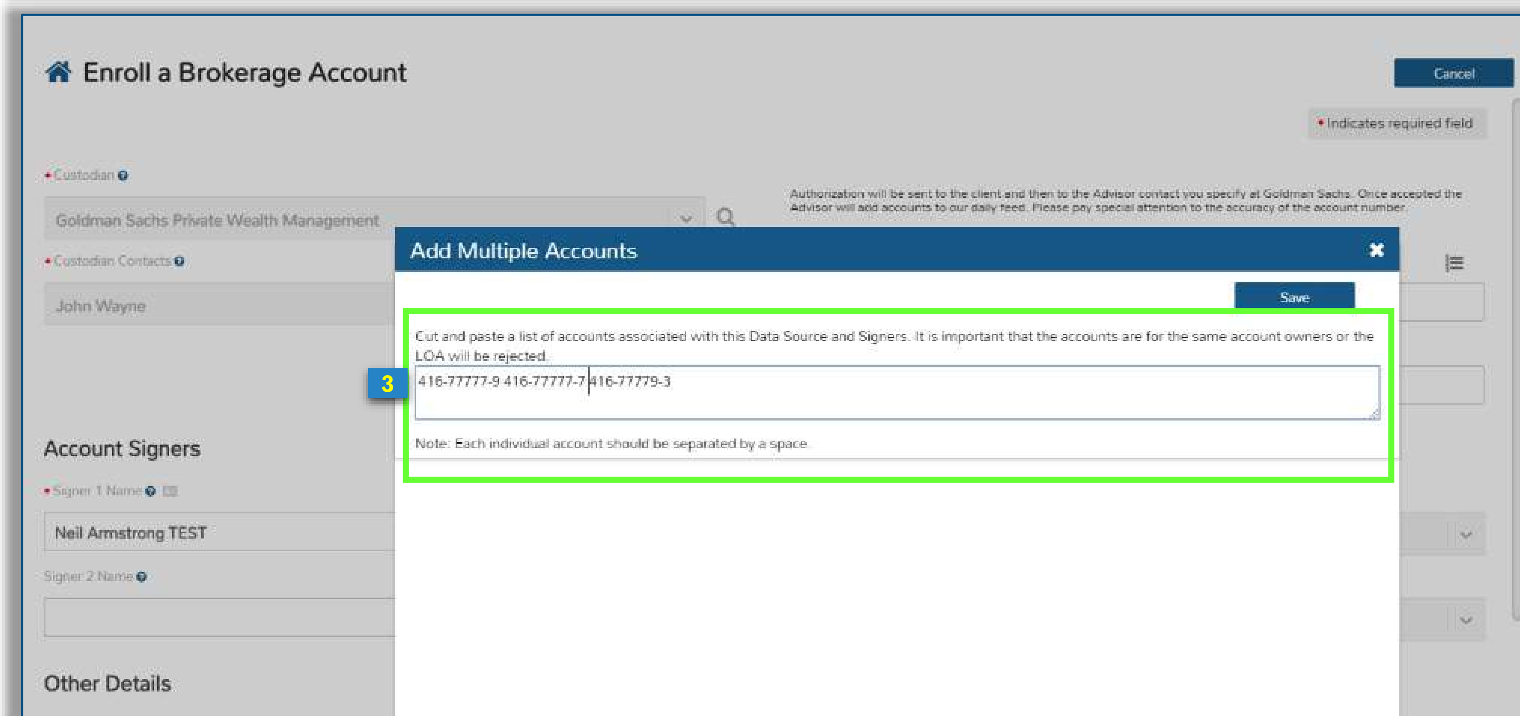
   - **Company** (not required, but recommended)
   - **Contact First and Last Name:** The Advisor that administers the account being enrolled.
   - **Phone:** Advisor's phone number; required for Print LOA workflow.
   - **Email:** Advisor's email address; required for DocuSign LOA workflow.

After inputting the required field information, click **Save**. The user will be redirected back to the **Enroll a Brokerage Account** view.

Once a new **Custodian** or **Custodian Contact** is created, the record will persist in the Enrollment Tool for future use.

Adding Account Number(s)





Required Fields

1. **Account Number**
   Enter the **Account Number** located on the client's account statement. Depending on the institution, some **Custodians** listed have specific account format restraints to adhere to.

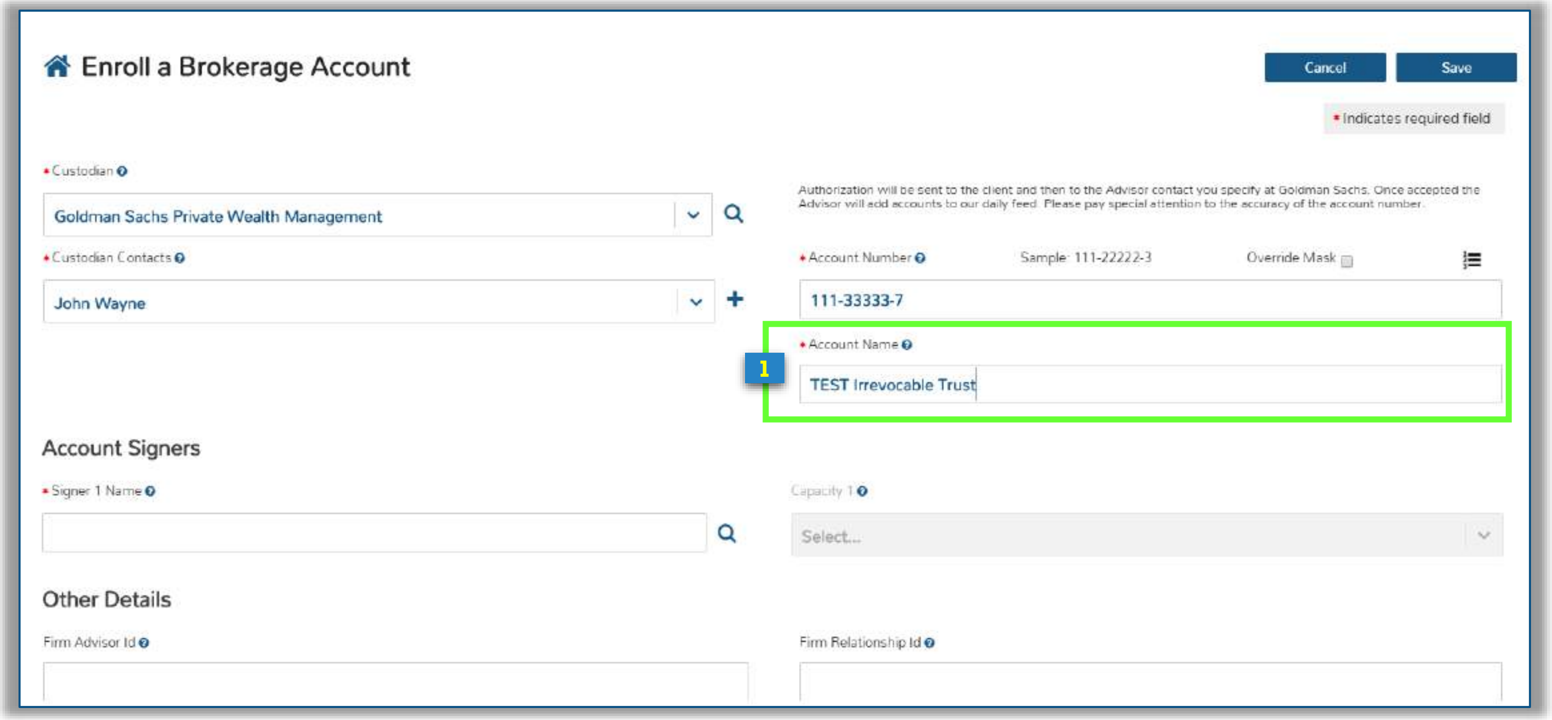
2. **Overriding Account Number Format**
   If the account number given does not match the sample given, and is confirmed to be the correct account number, the user may override the account number format restraint by checking the **Override Mask** box. This will allow the user to enter the **Account Number** without issue.

3. **Adding Multiple Account Numbers**
   To add multiple accounts at once, click on the **Bulleted List** icon to open up the **Add Multiple Accounts** modal. This feature is only available for Brokerage/Banking accounts.

   In the **Add Multiple Accounts** modal, the user will be able to add up to 10 account numbers per LOA. The modal recognizes duplicate account errors and when the spacing rule is not used between accounts. It will highlight the accounts in question in red and the user will not be able to save before correcting the errors.

   Once the user saves the information, they are redirected back to the **Enroll a Brokerage Account** view to continue on with the enrollment.

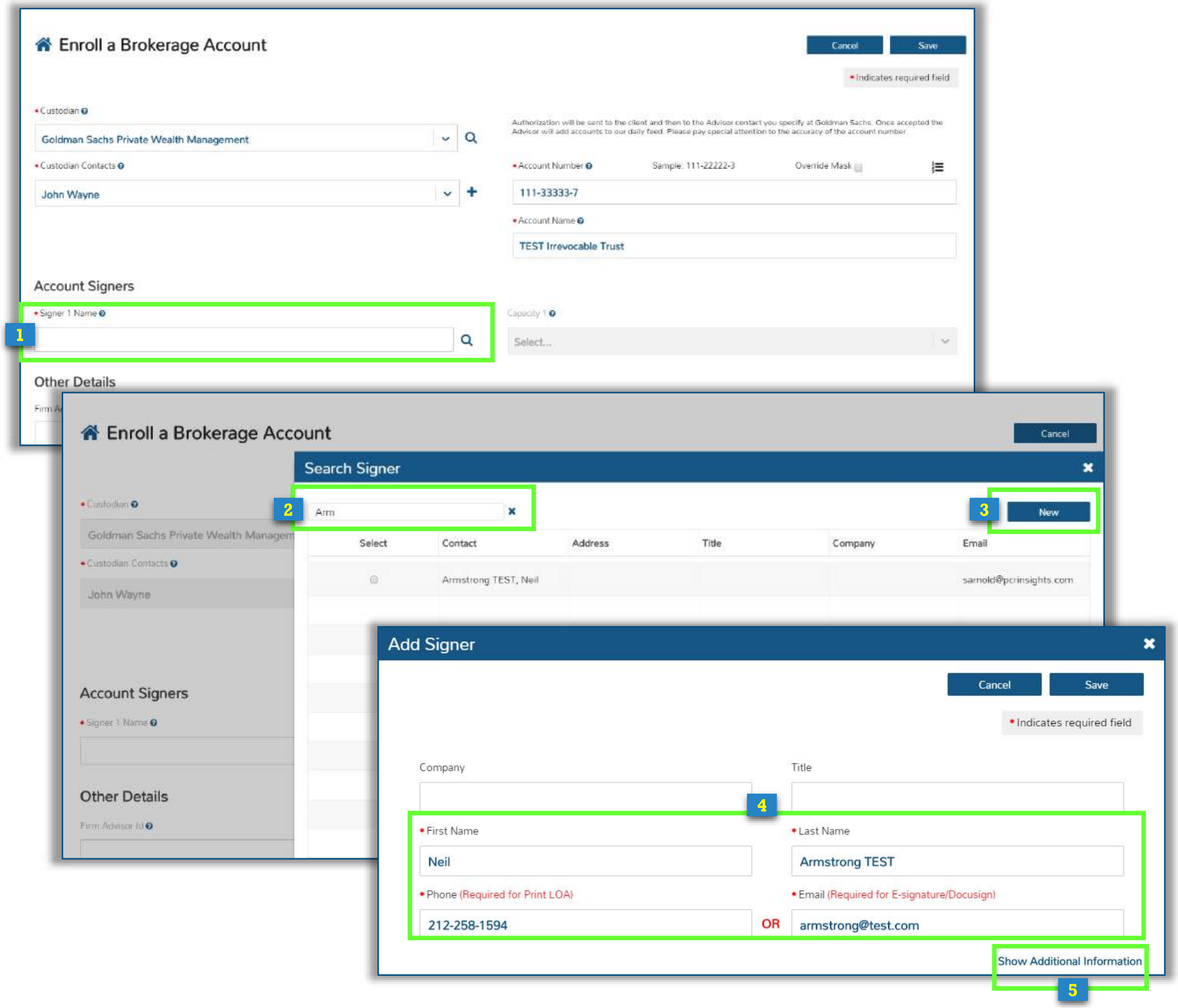
Adding an Account Name



Required Fields

1. **Account Name**
   Enter the full legal name / tax entity found on the client's account statement.

Adding Signer(s): Existing / New



Required Fields

1. **Signer 1 Name**
   Click on **Magnifying Glass** to open the **Search Signer** modal.

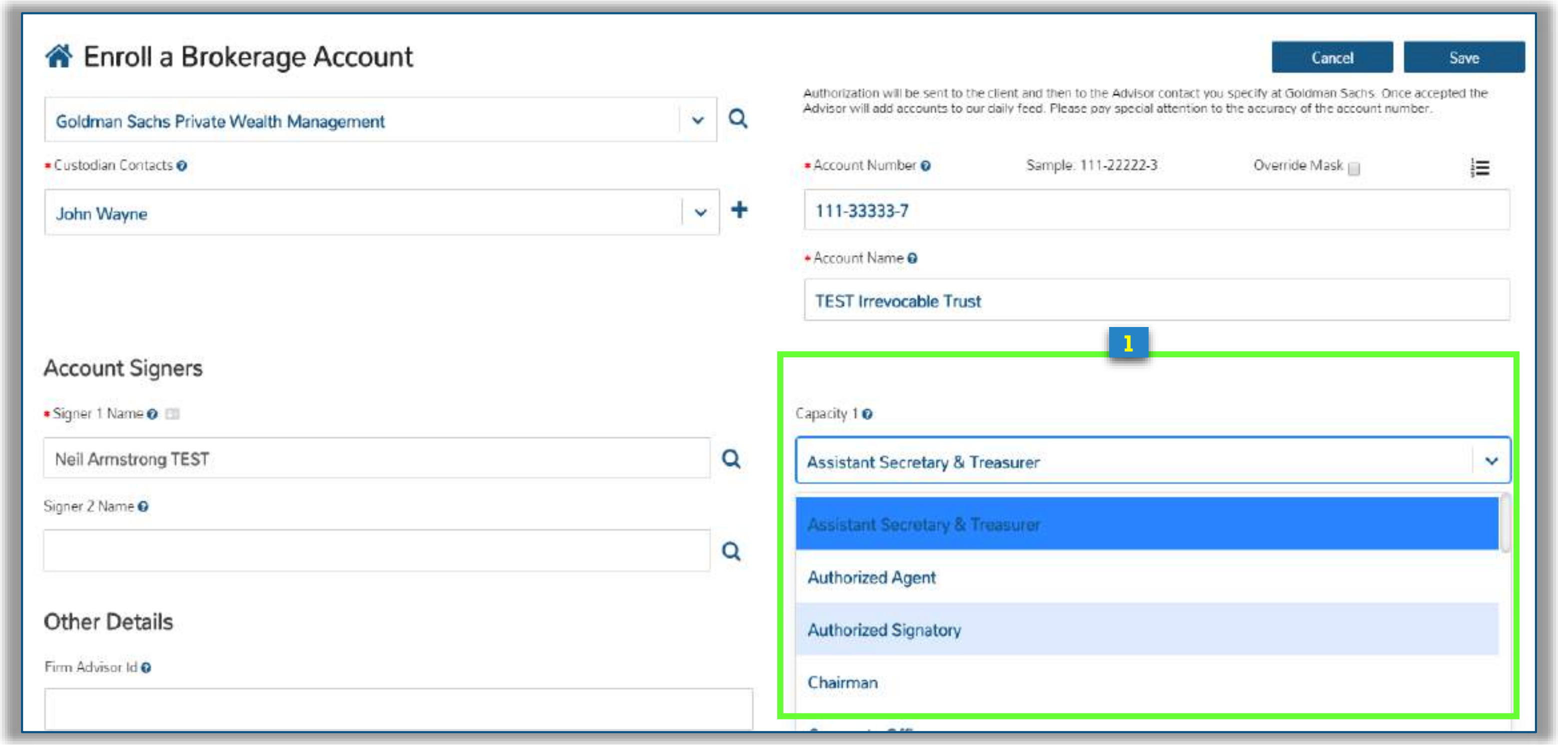
2. **Search Signer**
   Click on the **Search** field and type in the desired signer's name. Using telesense, the tool will provide search results matching the name listed. Select the name from the available results provided by clicking on circle under the **Select** column. Please note, once a name is chosen, it will not be available to choose from again to add to additional signer fields, avoiding duplication.

3. **Add Signer**
   If the user cannot find the signer from the search results, click on the **New** button to open **the Add Signer** modal to add a new signer.

4. **Complete Signer Information**
   In the **Add Signer** modal, fill out the fields marked with [*]. Once saved, the user is brought back to the **Enroll a Brokerage** view. The **Capacity 1** field and the second **Signer 2** field becomes available. Repeat the process up to 4 signers (max). Please contact the Support Team if more than 4 signers are required for the LOA.

5. **Optional Fields Available**
   Click on the **Show Additional Information** link to expand the modal to fill out optional fields if necessary. If filled out, the information will be reflected on the generated LOA.

Add Signer(s) Capacity Role

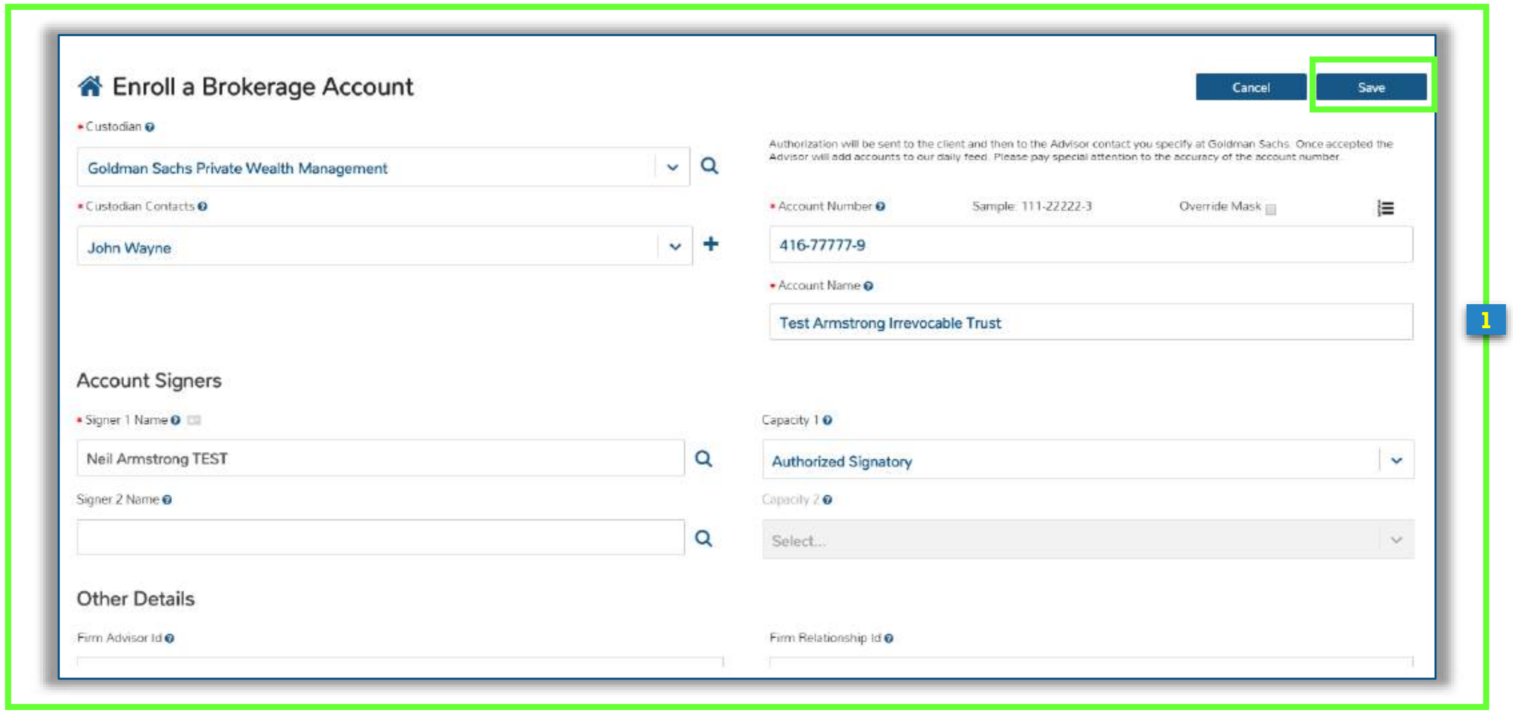


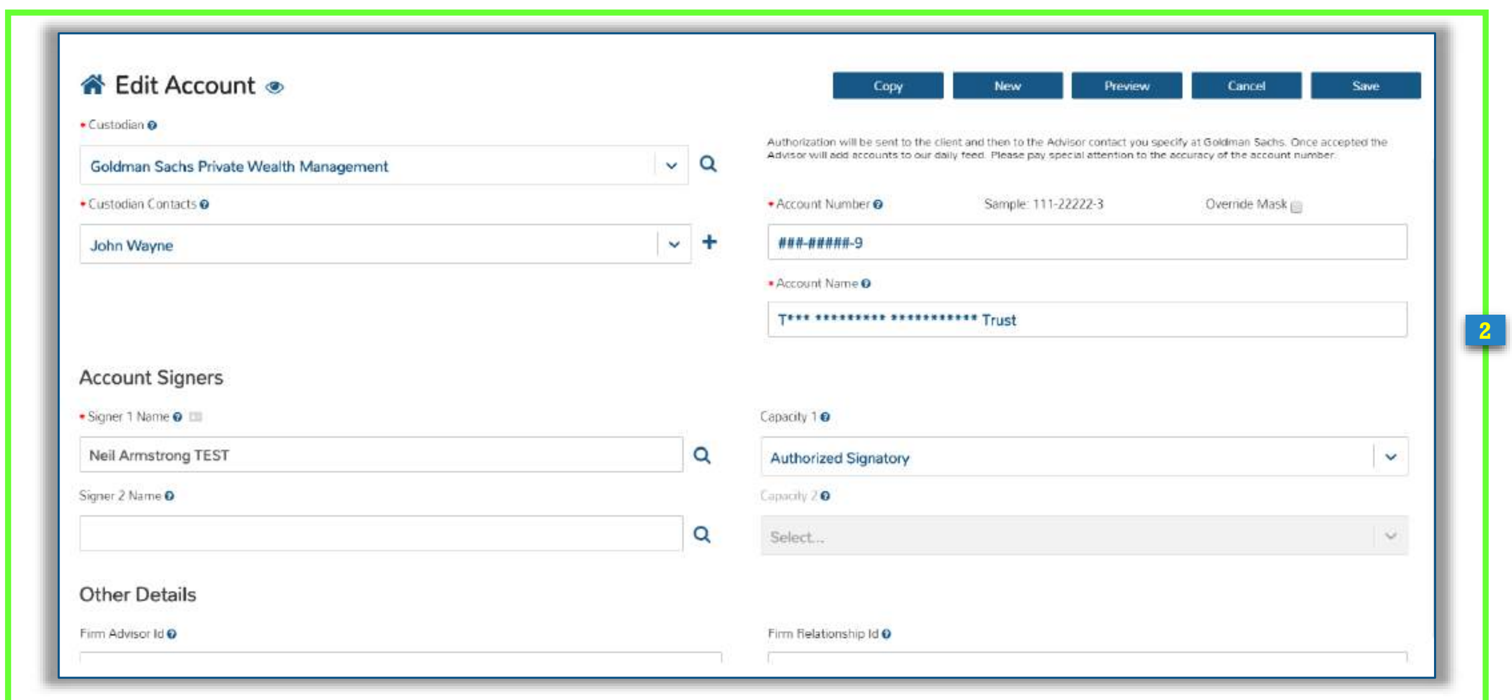
Required Fields

1. **Capacity**

   The role of the signer is located in the **Capacity 1** field. Choose from the dropdown menu options provided. If the role the user is looking for is unavailable, select **Authorized Signatory** as the default choice.

Completed Enrollment Form



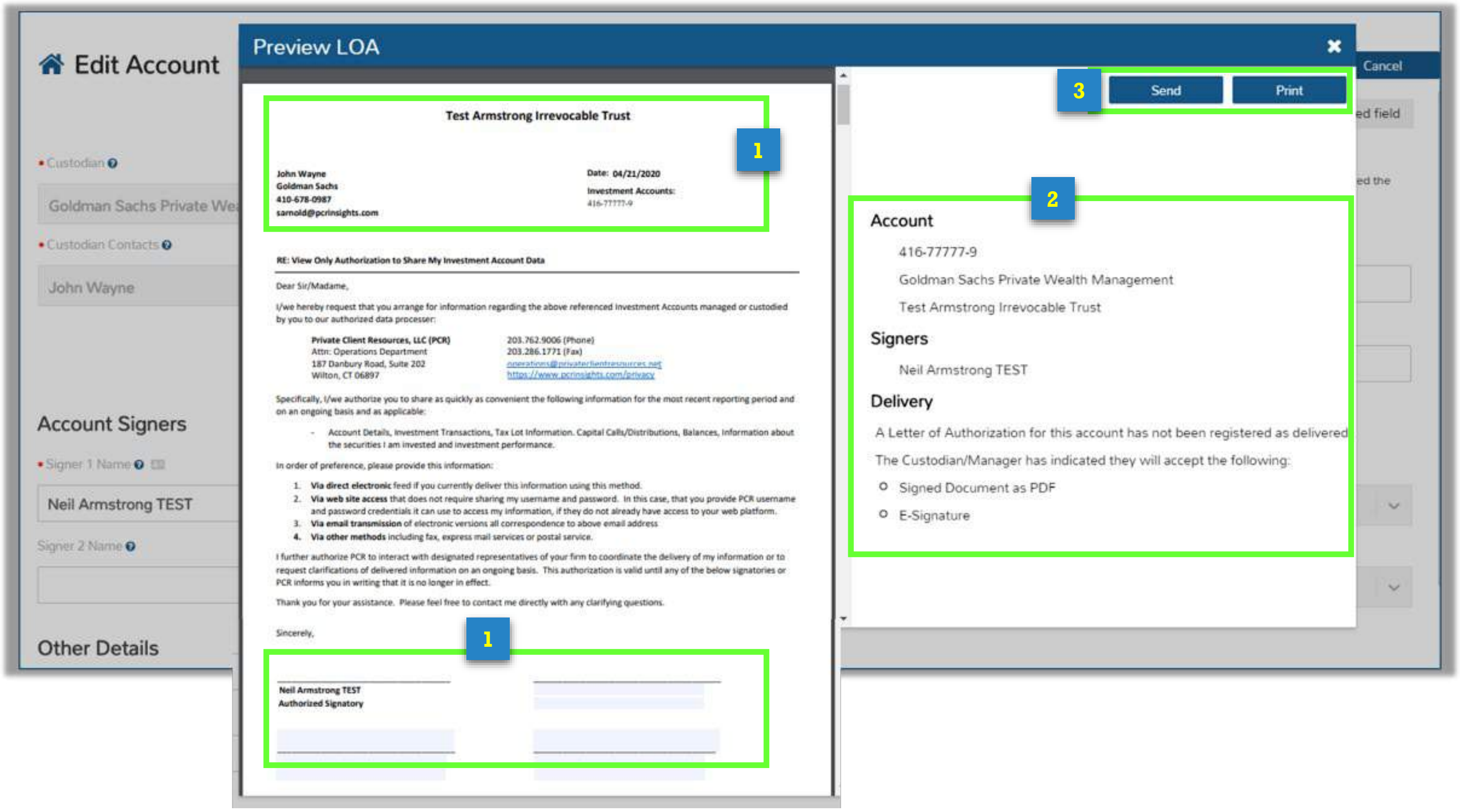


Required Fields

1. **Completed Enrollment Form**
   As shown, all the necessary fields are filled out by the user. Click **Save**.

2. **Edit Account View**
   Once the enrolled account(s) are saved, the **Enroll a Brokerage** view flips to the **Edit Account** view. The user will see the account information is tokenized and a few additional buttons have been added to the top of the view.

Preview LOA: (Custodian/Manager)



Required Fields

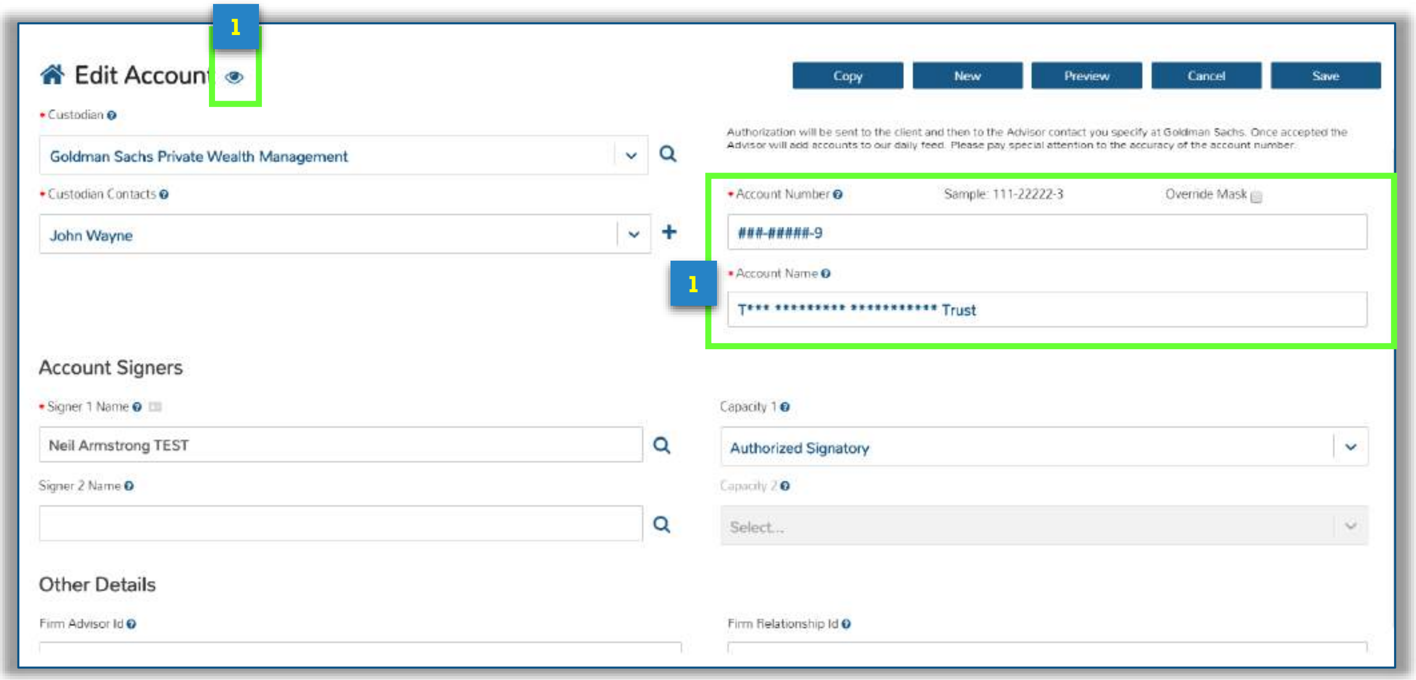
1. **LOA Preview**
   Once the user clicks on the **Preview** button on the **Edit Account** view, the **Preview LOA** modal becomes available for the user to review. The information previously inputted in the **Enroll a Brokerage Account / Enroll an Alternative Account** views will show in the header section and signature section of the LOA.

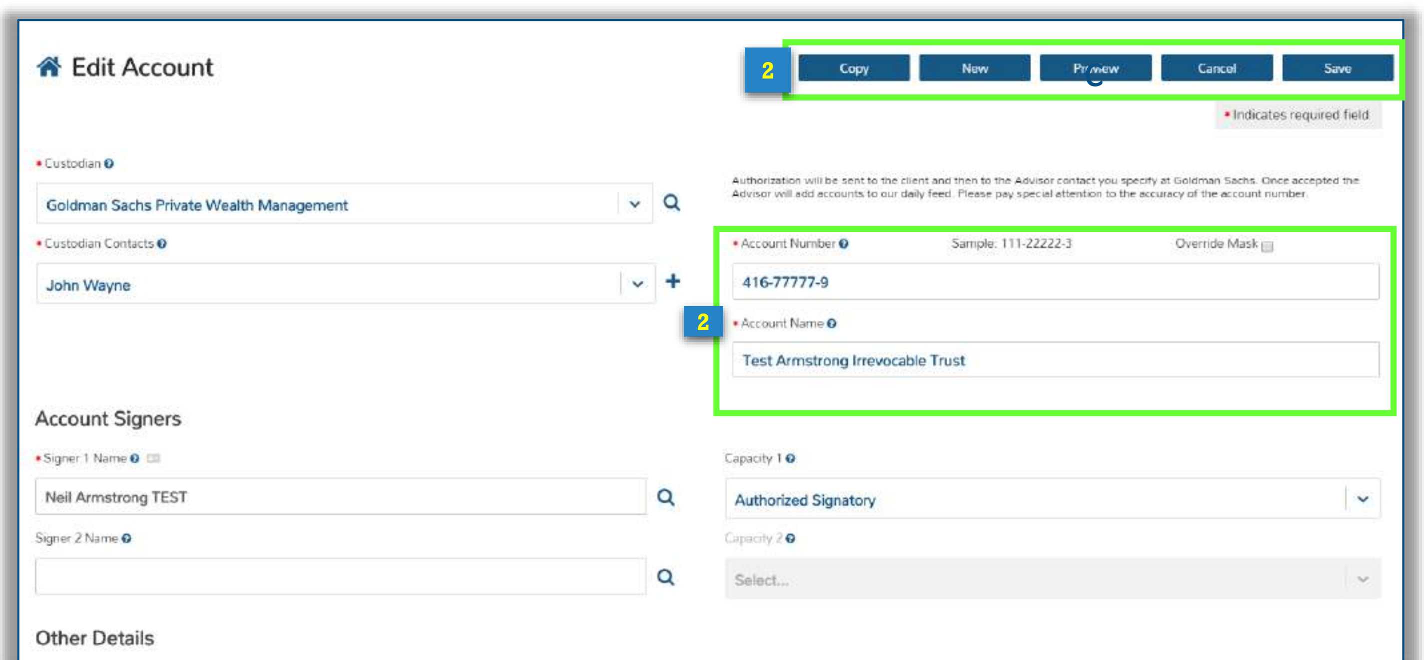
2. **Account Information Details**
   The information inputted by the user is also shown to the right of the **Preview LOA** screen so the user may review for accuracy. It also lets the user know the LOA has not been delivered and informs the user whether the Custodian/Manager will accept a signed PDF (Print) or E-signature (DocuSign) LOA.

3. **Send / Print**
   If the information in the LOA is accurate, the user may choose to **Print/Send** the LOA within the **Preview LOA** modal.

   If the **Send / Print** functions are greyed out, it means the **Custodian/Manager/Fund** has been requested and is awaiting approval from the Support Team. Once approved, the user may **Print** via downloading a PDF version of the LOA or **Send** via E-Signature with DocuSign.

Edit Account (Custodian/Manager)





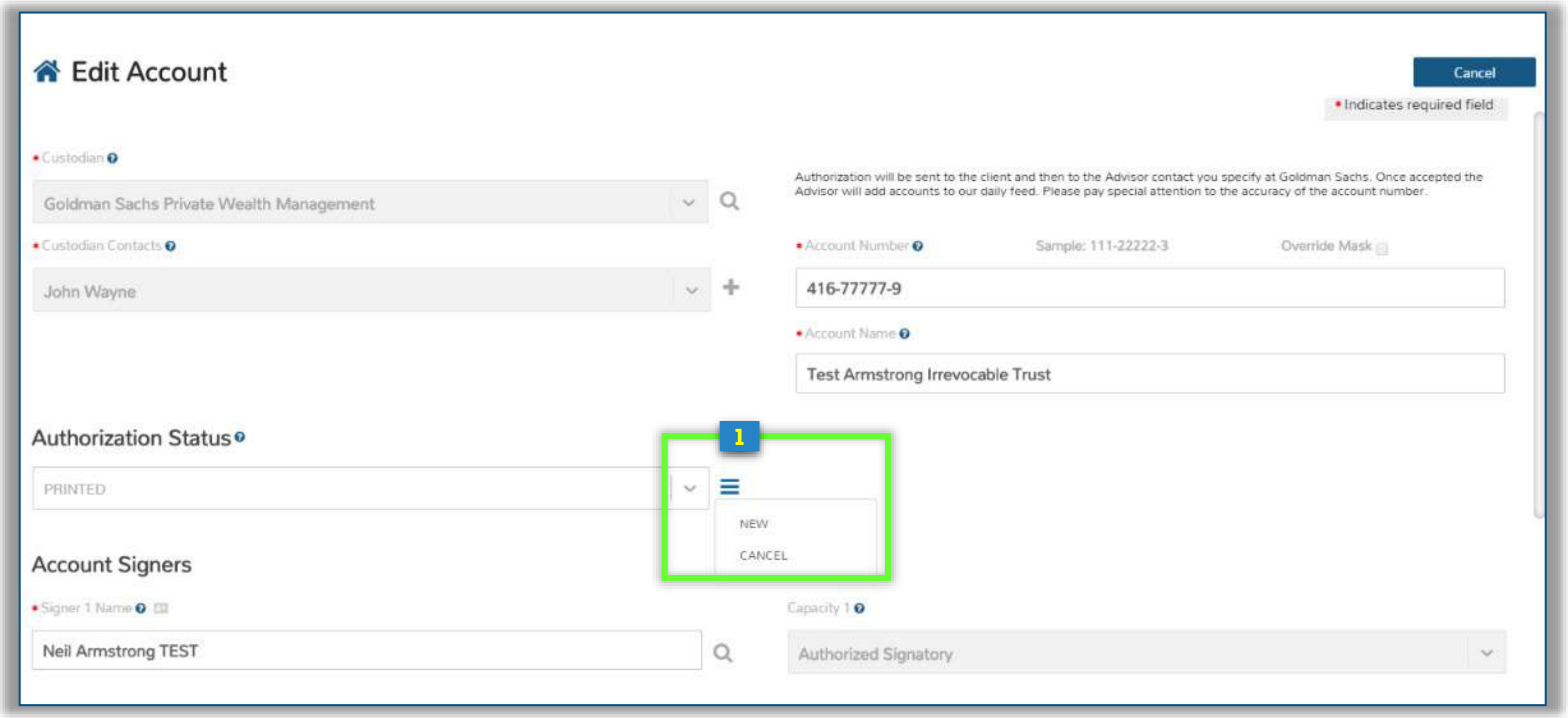
Required Fields

1. **Edit an Account – Detokenize Information**
   The user may change any information needed before producing an LOA. Click on the **Eyeball** Icon to detokenize the account information.

2. **Edit Account View – Additional Functions**
   Once the account information is detokenized, the user will be able to see the full account information available. A few functions are also available as follows:

   - **Copy:** Start a new account enrollment with the same **Custodian** and **Custodian Contact**.
   - **New:** Start a new blank account enrollment.
   - **Preview:** **Preview LOA** modal is shown with current account information displayed.
   - **Cancel:** Redirects user to the **Enroll an Account** view.
   - **Save:** Retain any updated information not saved previously.

Edit Account – Authorization Status (Custodian/Manager)



Required Fields

1. **Edit Account – Authorization Status**
   When the user either executes the LOA by clicking on Print or Send in the Preview LOA modal, the Authorization Status field appears in the Edit Account view. The user is enabled to “reset” an LOA status by clicking either of the below options:

   - **New:** Takes the user back to the **Preview LOA** modal and allows them to reprocess the LOA by selecting **Print** or **Send**. In the case of DocuSign, this would void the original electronic LOA request.

   - **Cancel:** Allows the user to cancel the existing LOA, start a new LOA and takes them to the Edit an Account screen retaining the same data which can all be edited.

Enroll an Alternative Account

Enroll an Account

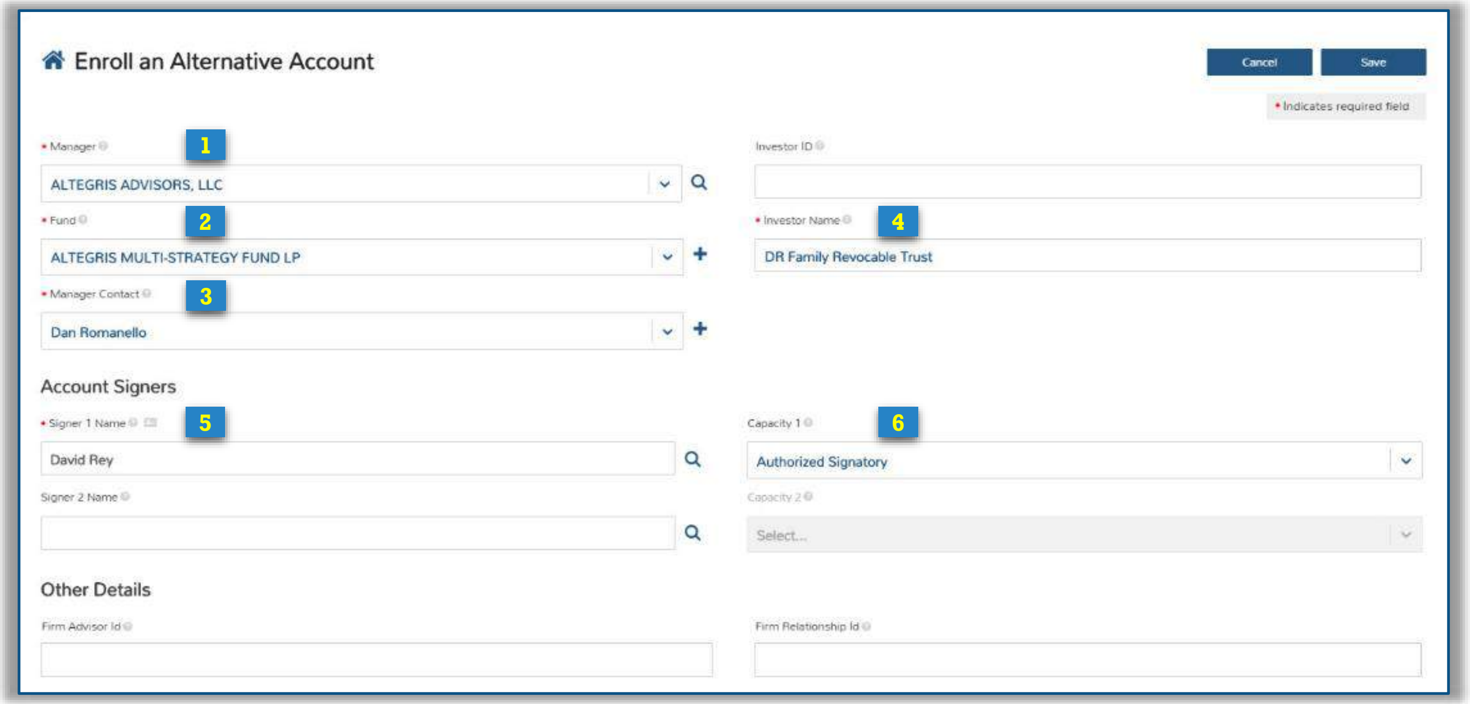
Required Fields

1. **Enroll an Account**
   Choose from one of the following tiles to start enrolling an account.

   - **Alternative Investments:** Investments in hedge funds, private equity, real estate, venture capital, limited partnerships and business interests.

2. **View Accounts / Authorizations**
   The user may click on the **View Accounts** button to be directed to the **Account Enrollments** view or click the **Authorizations** button to be directed to the **Authorizations** view.

Enroll an Alternative Account



OPTIONAL FIELDS:

Investor ID: Unique ID typically found on investor statement. Not applicable in every case.
Firm Advisor ID and Firm Relationship ID: The user can append a proprietary identifier to help group and sort records.

OPTIONAL CRM INTEGRATION:

Launched from your Advisor desktop in the context of a client; automatically pre-populates certain data including Client and Advisor ID.

Required Fields

1. **Manager**
   Select from 4500+ existing managers by typing in the telesense field to produce dropdown results to choose from or click **Magnifying Glass** icon to add a new manager.

2. **Fund**
   Select from 38,000+ existing funds by typing in the telesense field to produce dropdown results or click [+] to begin adding a new fund.

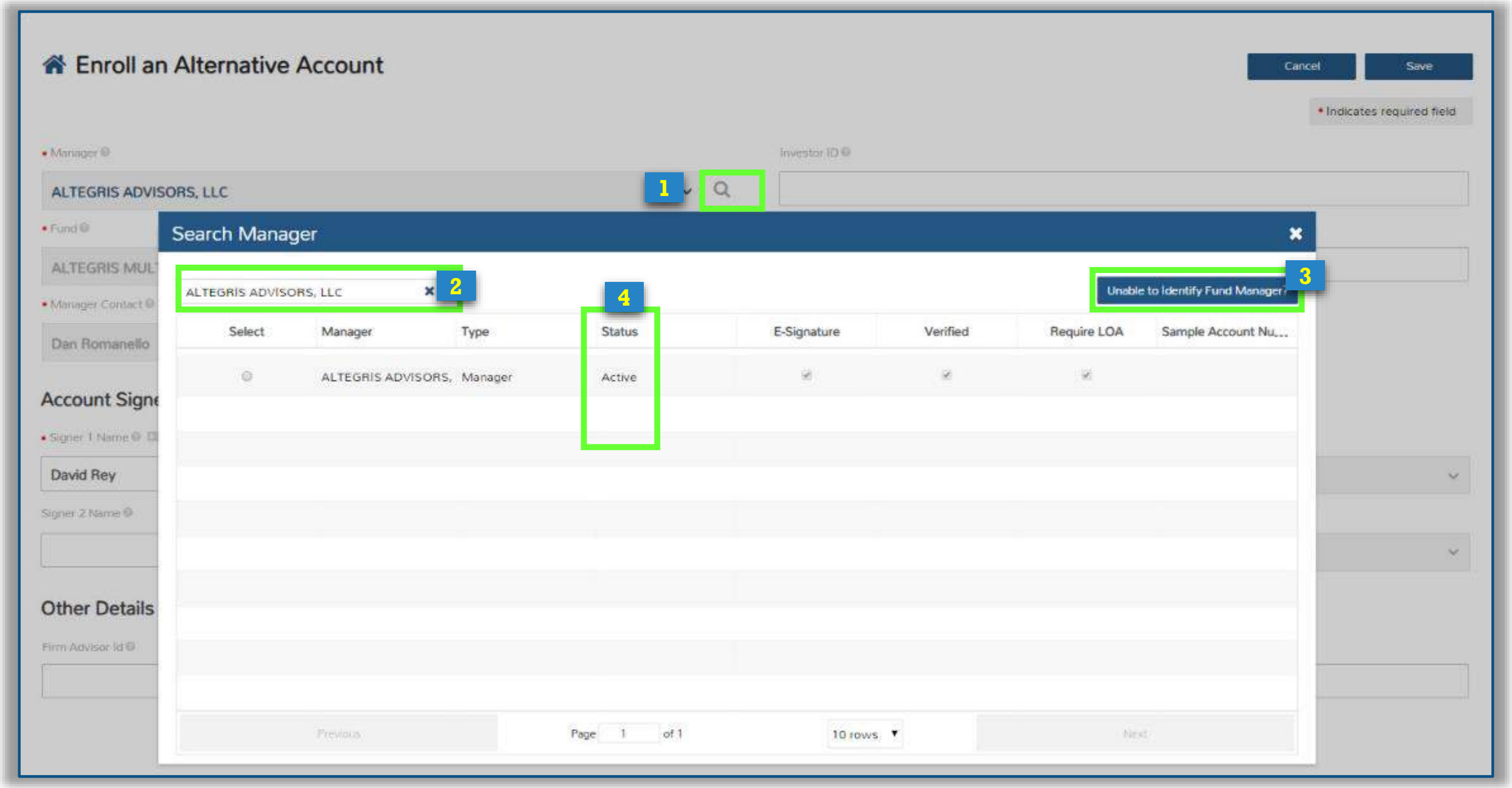
3. **Manager Contact**
   This will be the individual at the Manager who receives the LOA for approval once the authorized person(s) have signed. Select from existing contacts in dropdown results or click [+] to begin adding a New Manager Contact.

4. **Investor Name**
   Registered legal entity/investor name listed on investor statement.

5. **Signer 1 Name**
   Click on **Magnifying Glass** to select an existing signer or to add New Signer. The signer(s) are the authorized person(s) on the account. To add up to 4 signers (max), repeat this step. For 5+ signers, please contact your Support Team.

6. **Capacity 1**
   The role of the authorized person(s) on the account. If **Capacity** choice is not found, please use Authorized Signatory as the default option. The Capacity field becomes available when the Signer 1 field is completed.

Search for an Existing Manager



Required Fields

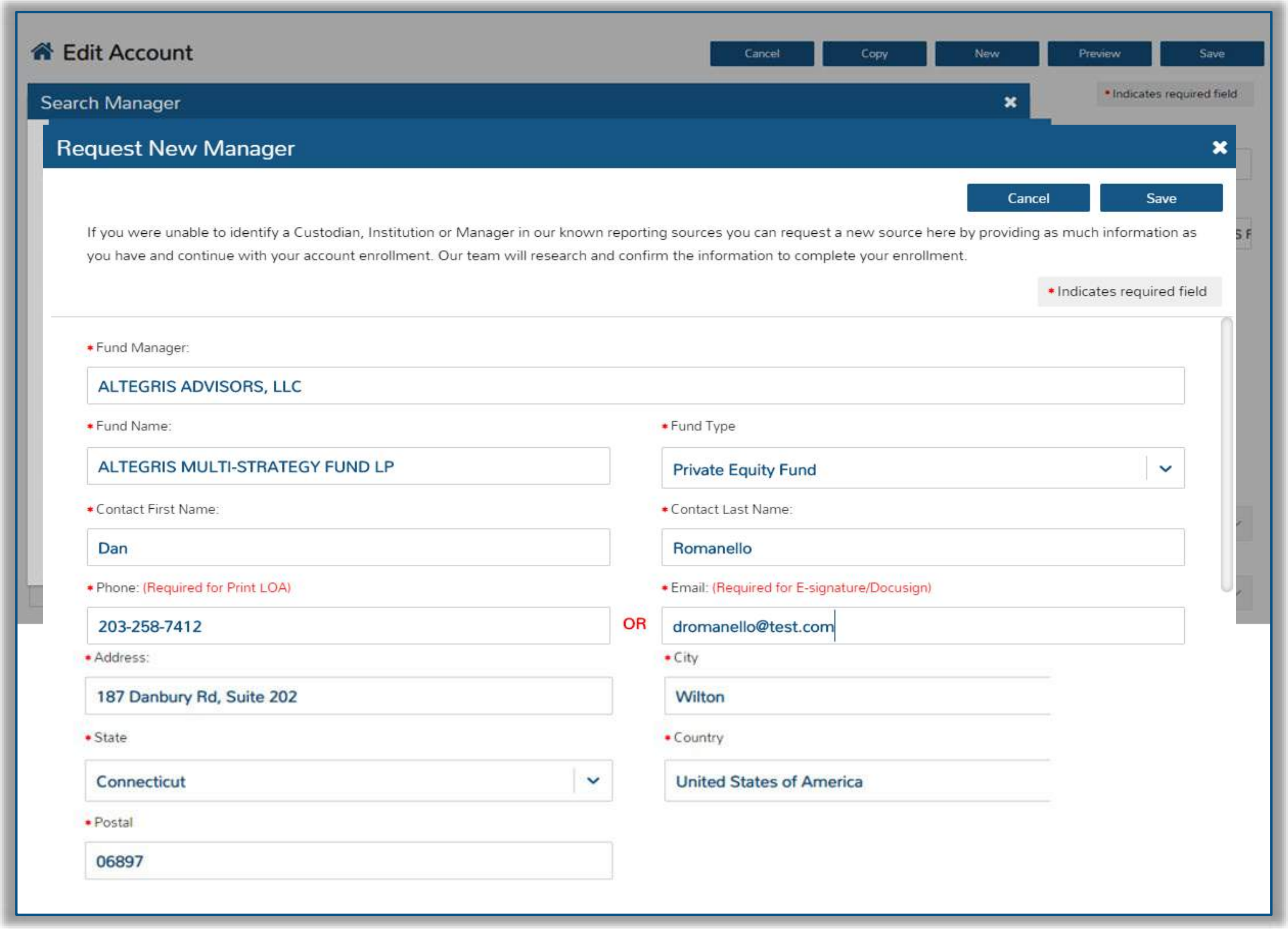
1. **Manager**
   Search using telesense field to produce dropdown results or, as demonstrated here, by clicking on the **Magnifying Glass** icon to begin adding a new manager. This will open up the **Search Manager** modal.

2. **Select Manager**
   Select from the list provided by the search results. Once selected, the modal will close and the user will be redirected back to the **Enroll an Alternative Account** screen. If there are no managers listed from the search results, click on **Unable to Identify Fund Manager?** To add a new manager.

3. **Unable to Identify Fund Manager?**
   Click this icon to open up the **Request New Manager** modal to start the request.

4. **Understanding Available Manager Statuses**
   - **Active** = Verified and accepted; User can Send or Print LOA.
   - **Requested** = Awaiting verification; LOA unable to be sent at this time.

Request a New Manager



Required Fields

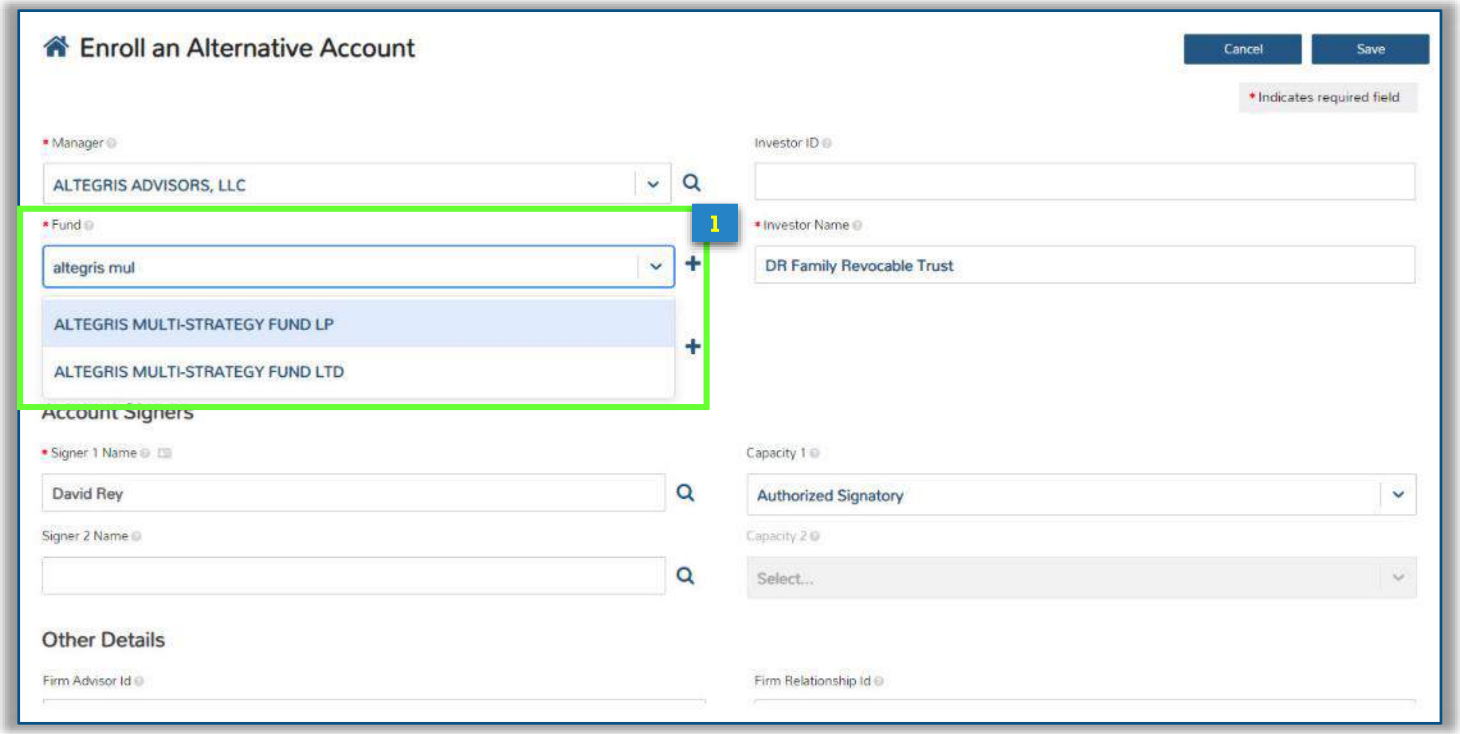
1. **Request New Manager**

If the user is unable to identify a manager from the previous dropdown menu in the **Enroll an Alternative** view or in the results on the **Search Manager** modal, the user will have to enter a request to add a new manager by clicking on the **Unable to Identify Fund Manager?** button in the **Search Manager** modal.

This will bring the user to the **Request New Manager** modal. The user will need to complete the required fields marked with a [*]. This information is typically found on investor statements or the Manager's website. For assistance, contact the Support Team. Field descriptions below:

- **Manager Name:** Name of Company
- **Fund Name:** Enter the full legal name of the fund as reflected on the investor statement.
- **Fund Type:** Choose type from dropdown list provided
- **Manager Contact Information:** Enter complete details for the contact at the Manager level (i.e. Investor Relations)

Search for an Existing Fund

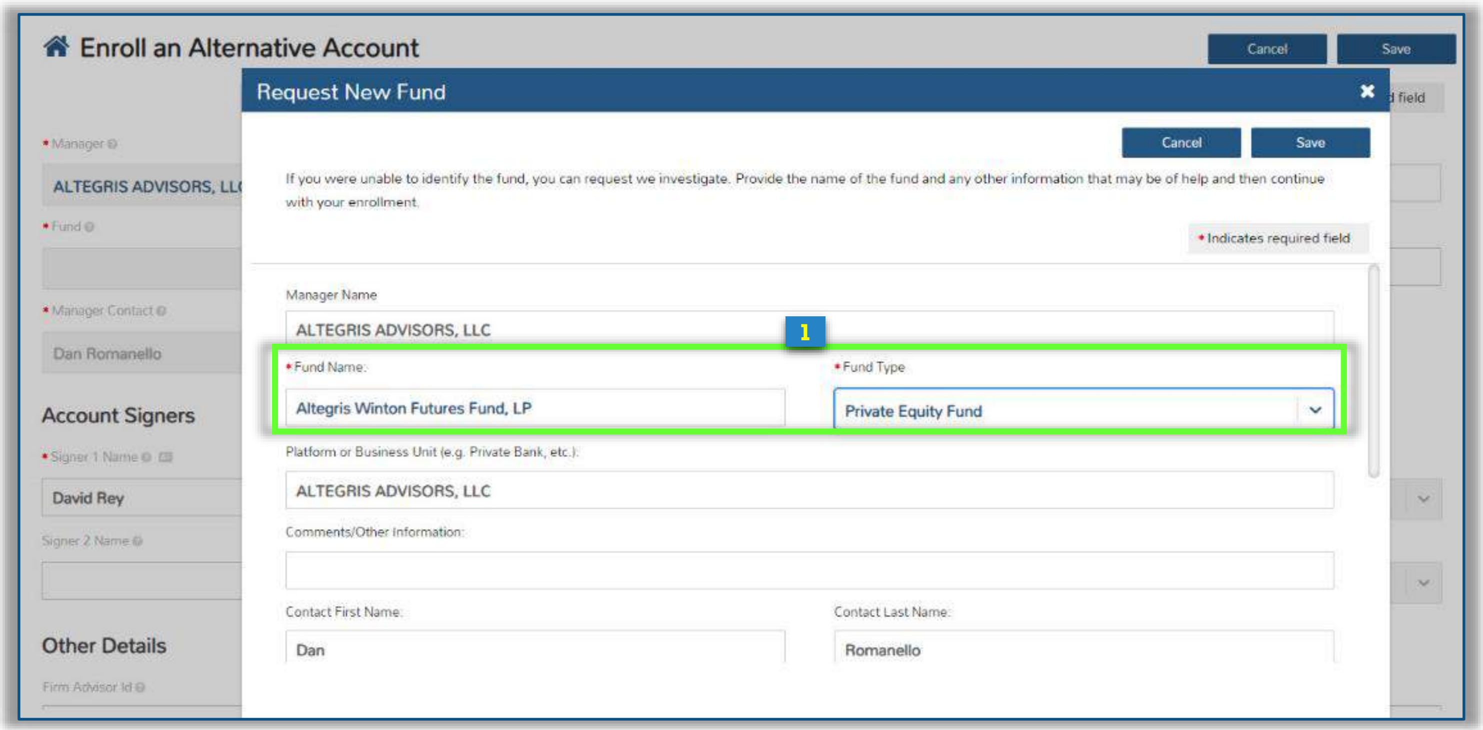


Required Fields

1. **Selecting an Existing Fund**
Once the **Manager** field is populated, the Fund field becomes available. Click on the dropdown menu to view available funds under the manager. If the **Fund** is not listed, click on the [+] icon to open the **Request New Fund** modal.

Once a New Manager, Fund, or Contact is created, the record will persist in the Enrollment Tool for future use.

Request a New Fund



Required Fields

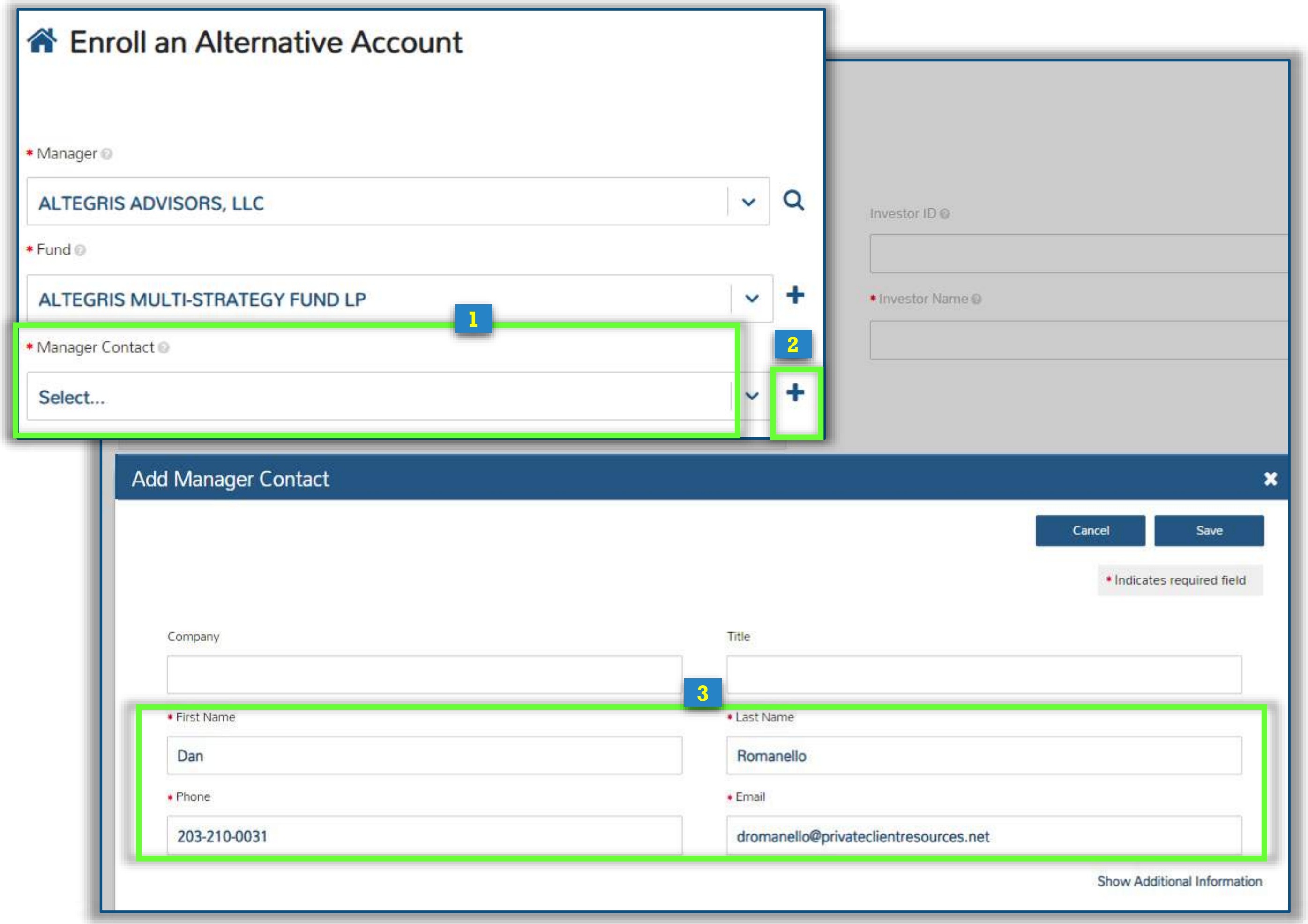
1. Requesting a New Fund

If a fund is not listed in the previous dropdown list on the **Enroll an Alternative Account** view, the user may request to add a new fund by completing the required fields [*] and any additional fields that may be helpful to the Support Team to investigate. Fields required:

- **Fund Name:** Enter the full legal name of the fund located on the investor statement
- **Fund Type:** Choose a fund type from the options available in the dropdown menu
  - Exchange Traded Fund
  - Hedge Fund
  - Limited Partnership
  - Mutual Fund
  - Private Equity Fund
  - Real Estate

Once the information is completed, click **Save**. The user will be redirected to the **Enroll an Alternative Account** view.

Manager Contact: Existing / New



Required Fields

1. **Select Existing Manager Contact**
   The **Manager Contact** field will appear once the **Manager** field is filled out. Type in the field to search and choose an existing **Manager Contact**. The contact would be the Advisor that administers the account for the client.

2. **Adding a Manager Contact**
   If the **Manager Contact** does not exist, click on the [**+**] to open the **Add Manager Contact** modal.

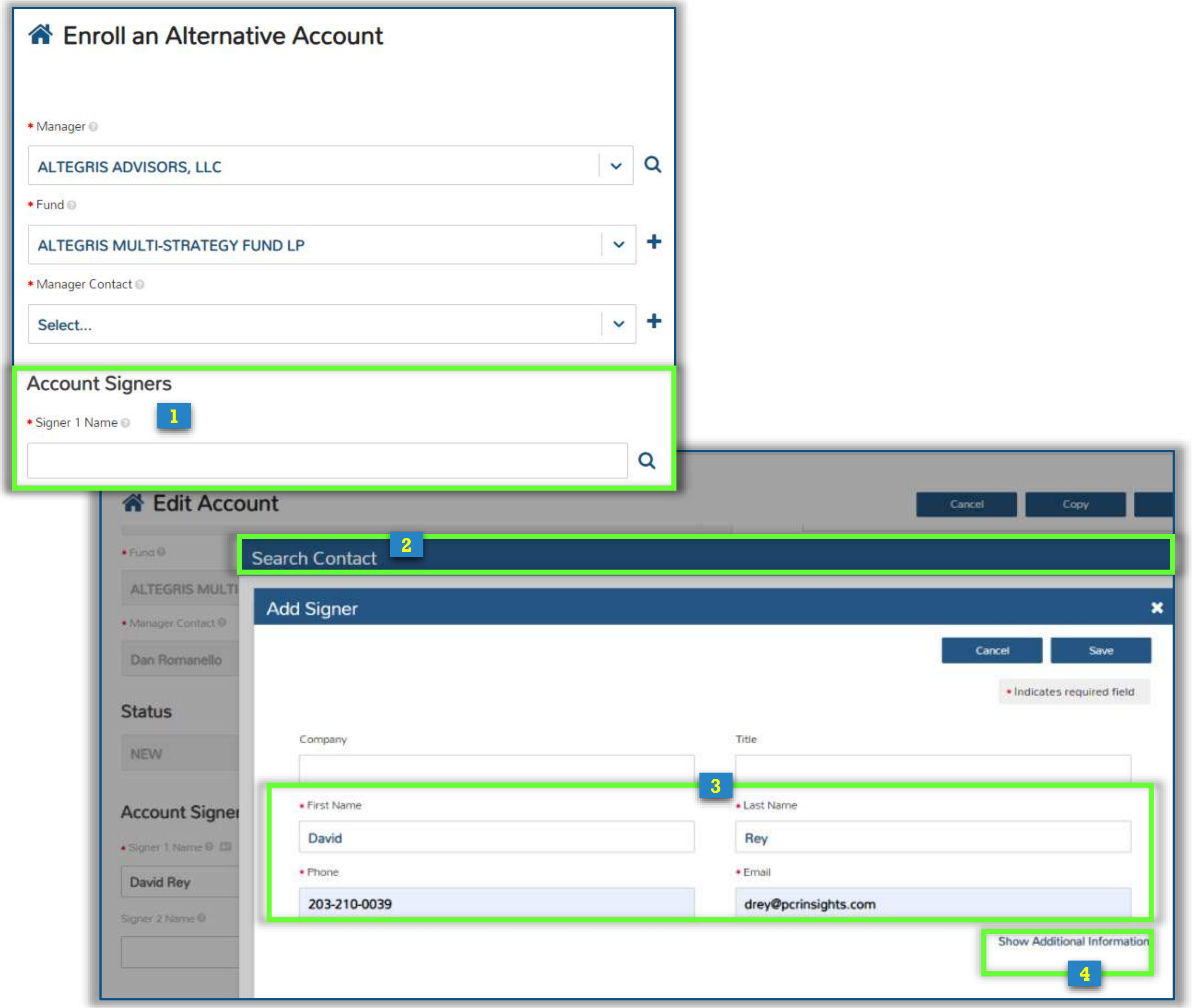
3. **Add Manager Contact – Required Info**
   On the **Add Manager Contact** modal, fill out the required fields marked with a [*] as per below:

   - **Contact First and Last Name:** The Advisor that administers the account being enrolled.
   - **Phone:** Advisor's phone number; required for Print LOA workflow.
   - **Email:** Advisor's email address; required for DocuSign LOA workflow.

After inputting the required field information, click **Save**. The user will be redirected back to the **Enroll an Alternative Account** view.

Once a new **Manager** or **Manager Contact** is created, the record will persist in the Enrollment Tool for future use.

Add Signer(s): Existing / New



Required Fields

1. **Signer 1 Name**
   Click on **Magnifying Glass** to open the **Search Signer** modal.

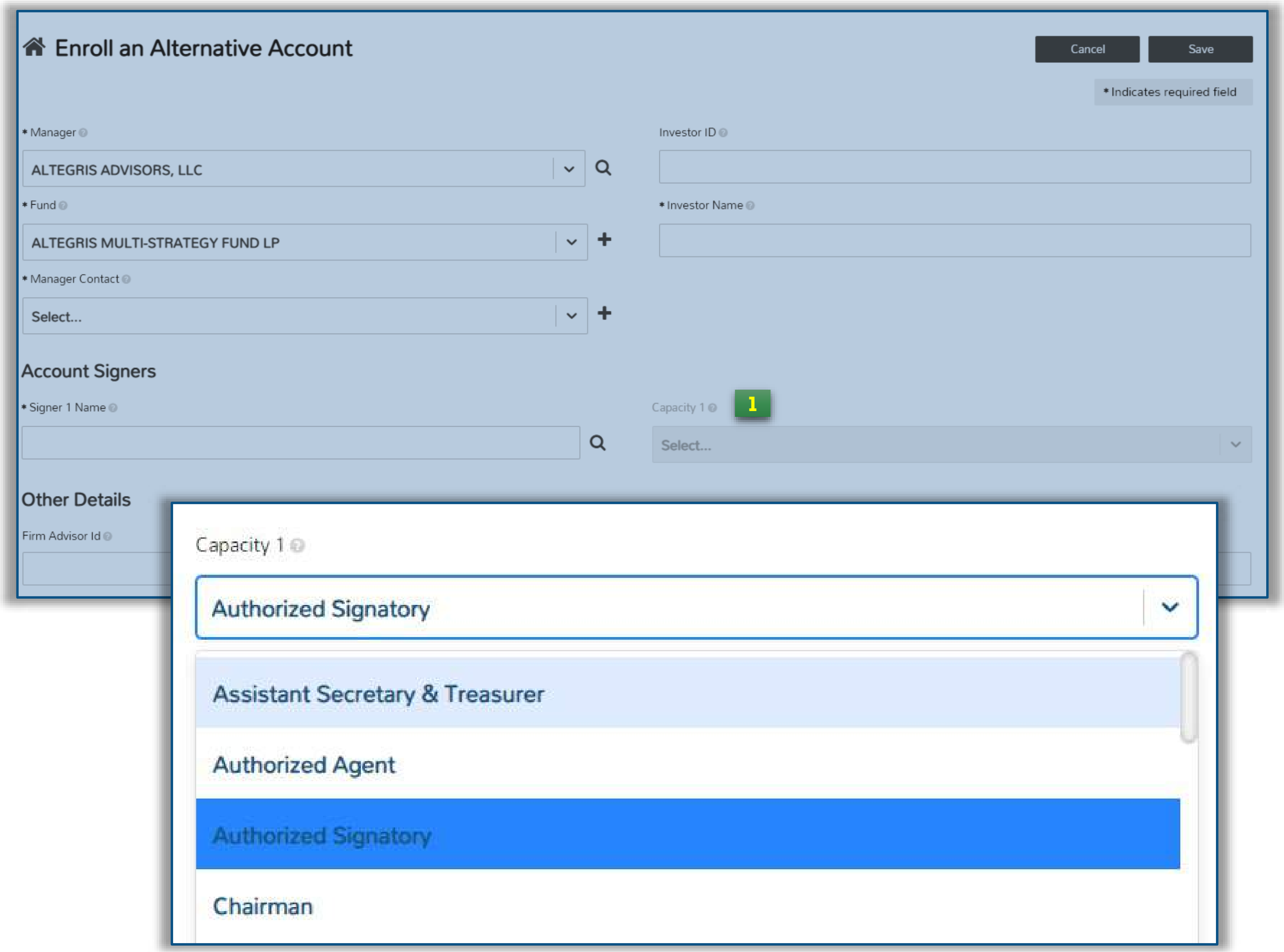
2. **Search Signer**
   Click on the **Search** field and type in the desired signer's name. Using telesense, the tool will provide search results matching the name listed. Select the name from the available results provided by clicking on circle under the **Select** column. Please note, once a name is chosen, it will not be available to choose from again to add to additional signer fields, avoiding duplication.

3. **Add Signer**
   If the user cannot find the signer from the search results, click on the **New** button to open **the Add Signer** modal to add a new signer.

4. **Complete Signer Information**
   In the **Add Signer** modal, fill out the fields marked with [*]. Once saved, the user is brought back to the **Enroll a Brokerage** view. The **Capacity 1** field and the second **Signer 2** field becomes available. Repeat the process up to 4 signers (max). Please contact the Support Team if more than 4 signers are required for the LOA.

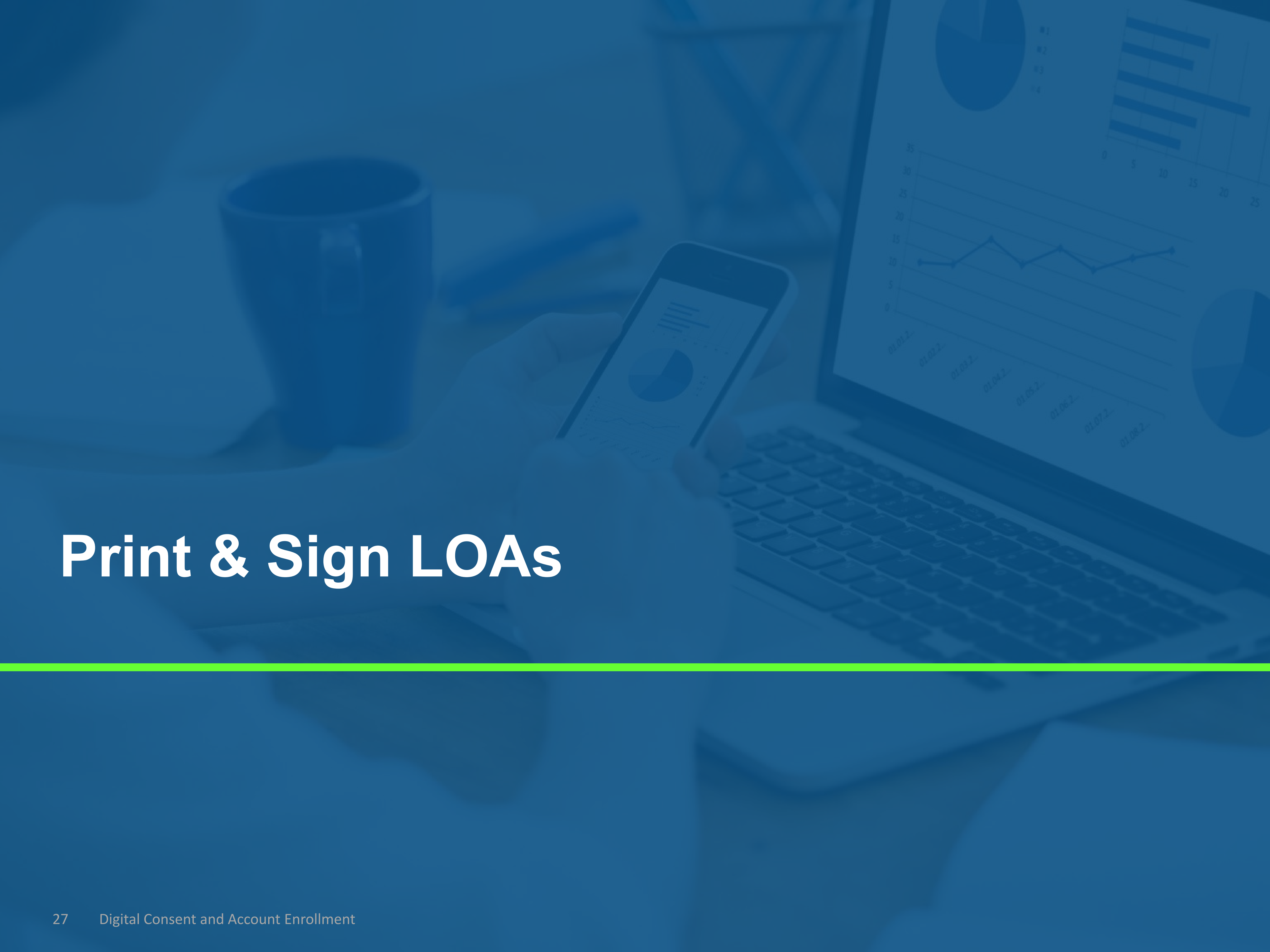
5. **Optional Fields Available**
   Click on the **Show Additional Information** link to expand the modal to fill out optional fields if necessary. If filled out, the information will be reflected on the generated LOA.

Add Signer(s) Capacity Role



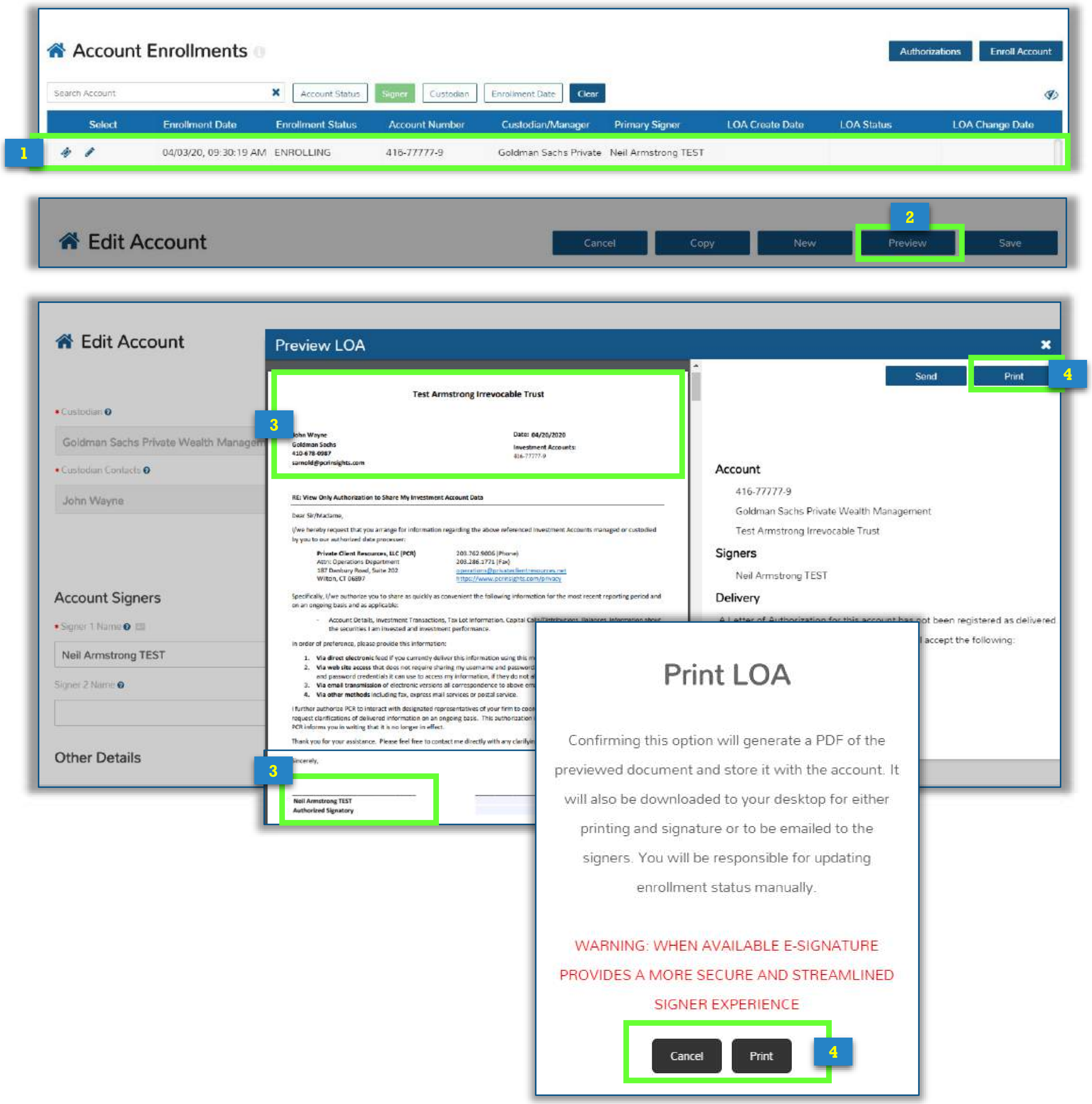
Required Fields

1. **Capacity**
   The role of the signer is located in the **Capacity 1** field. Choose from the dropdown menu options provided. If the role the user is looking for is unavailable, select **Authorized Signatory** as the default choice.



Print & Sign LOAs

Print & Sign: Print an LOA



Print & Sign

1. **Print an LOA for Manual (Wet) Signature**
   Once the account is enrolled, the user will locate and choose the account under the **Account Enrollments** view. Click on the **Pencil** icon to open the Edit Account view.

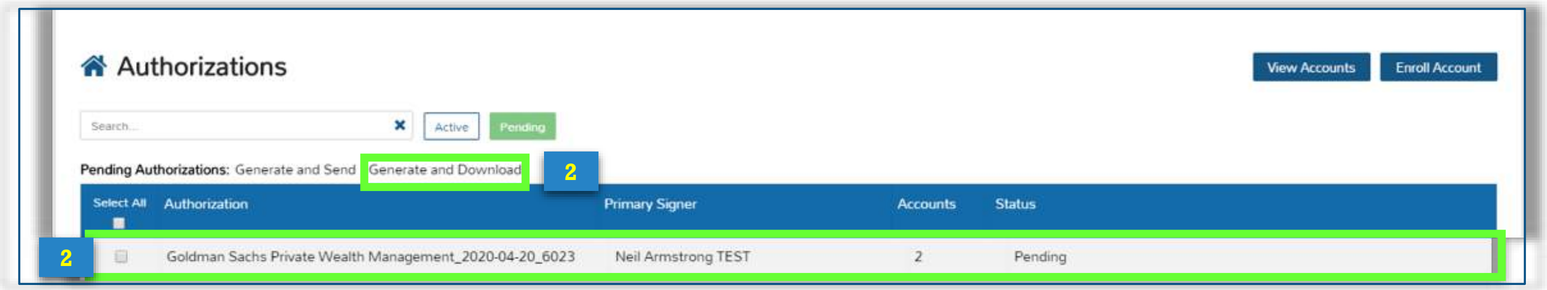
2. **Edit an Account**
   Once the user is redirected to the **Edit Account** view from **Account Enrollments**, take a few moments to review and/or correct the data to ensure accuracy before generating the LOA. Click on the **Save** button to retain any updated information. Next, click on the **Preview** button to start the Print & Sign LOA workflow.

3. **Preview LOA**
   The **Preview LOA** modal should appear once you click the **Preview** button on previous view. On the left side is the generated LOA, to the right is the account information, singer(s) information and delivery information of the LOA. If the user is satisfied with the information shown in the preview, click on the **Print** button to continue. This will prompt a confirmation message modal.

4. **Print LOA**
   Confirming this option will generate a PDF of the previewed LOA document and store it within the Enrollment Tool. It will also be downloaded to the user's computer, or (depending on browser) will be prompted to save the document. The user will be responsible for updating the enrollment status manually for **Print LOA** workflow.

   Click on **Print** when ready to download the LOA or click **Cancel** to go back to the **Preview LOA** modal.

Print & Sign: Upload a Signed LOA



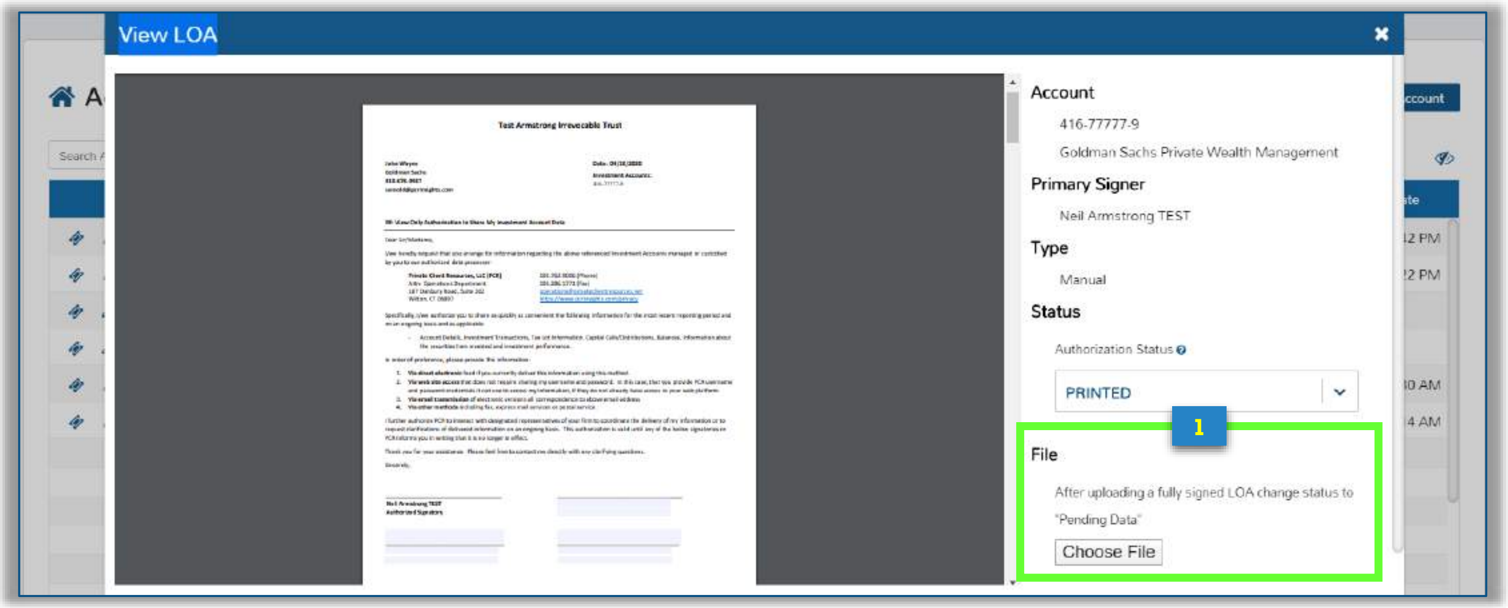
Print & Sign

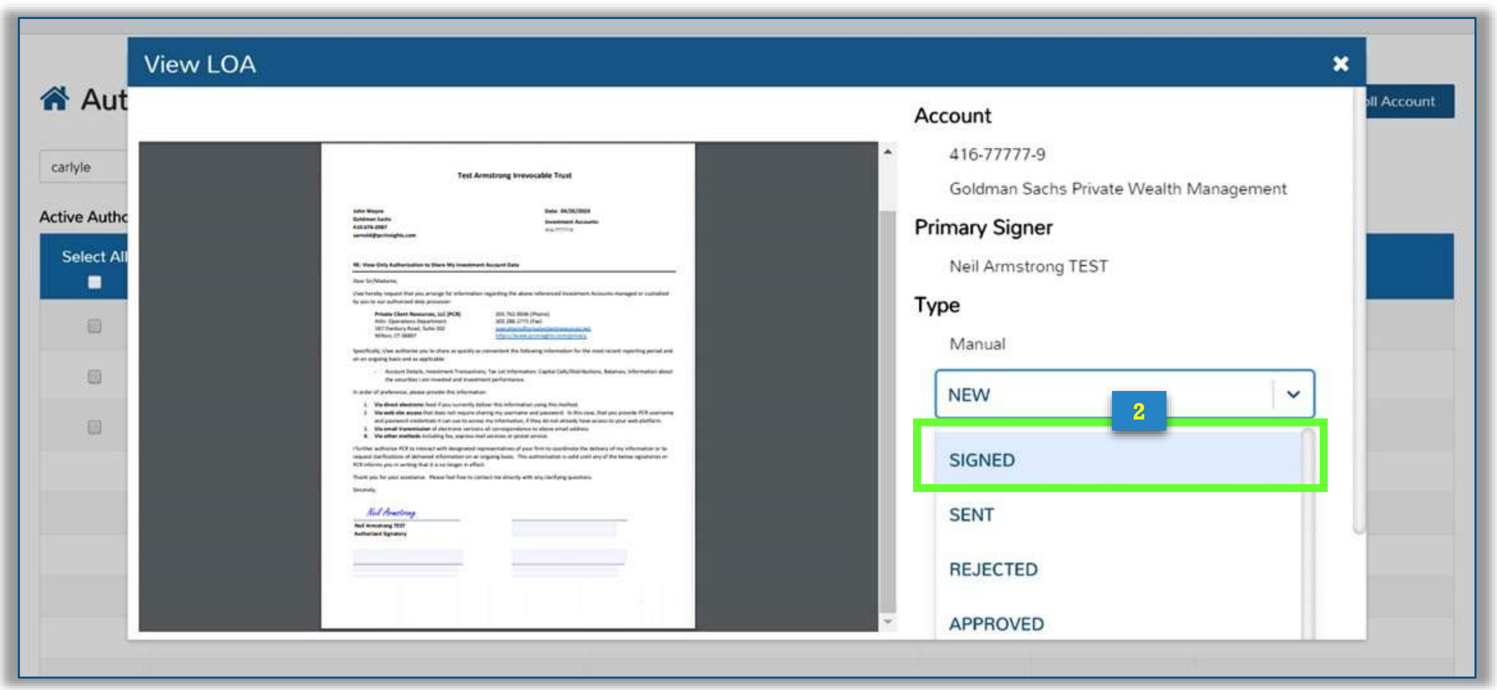
1. **Upload a Manually Signed LOA**
   Once the user receives the signed LOA back from the signer(s), it is time to update the LOA document in the Enrollment Tool and change the status of the LOA.

   From the **Account Enrollments** view, locate and choose the account to update in the by clicking the **Paper** icon to open the **View LOA** modal.

2. **Need to download another copy of the LOA for signature?**
   From the **Authorizations** view, the user may download the LOA again for signature.

Print & Sign: Upload a Signed LOA (cont'd)



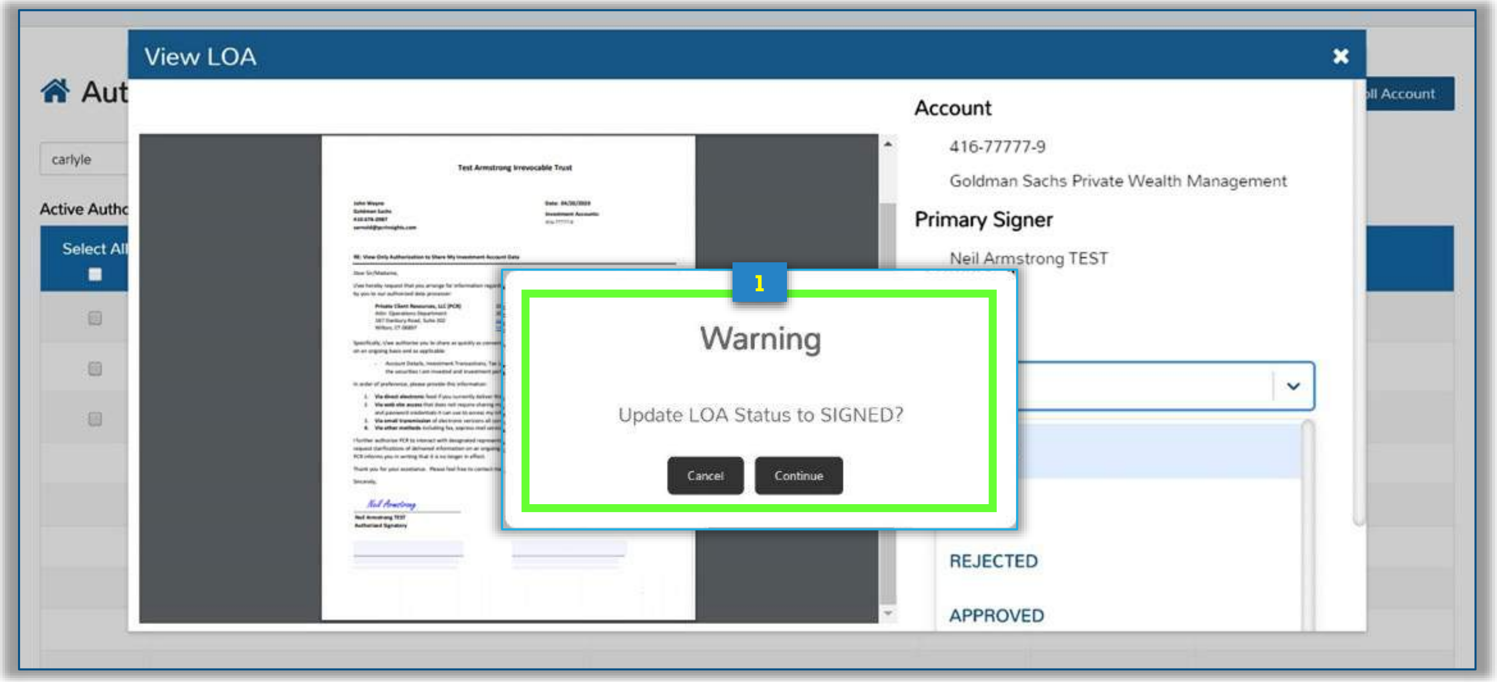


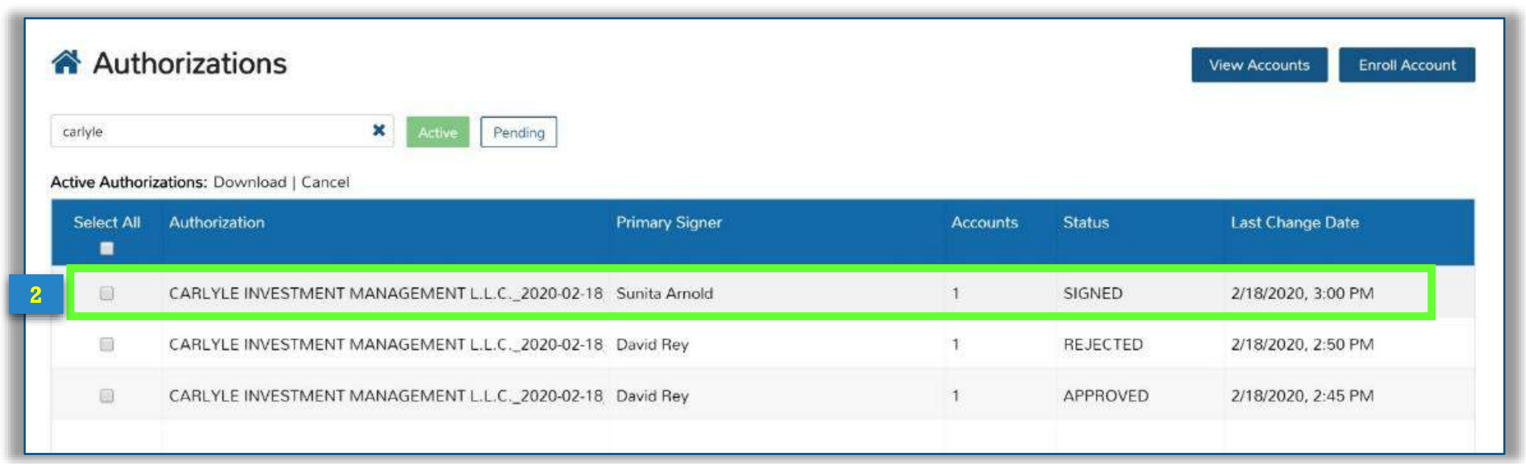
Print & Sign

1. **Choose signed LOA file to upload**
   Once on the **View LOA** modal, click **Choose File** to upload a signed LOA. This will open up a separate window for the user to retrieve the document from their device.

2. **Change Status of LOA**
   Once the signed LOA is uploaded, this will overwrite the existing LOA shown in the system and does not retain previous versions of the LOA. Under Status, choose **Signed** from the dropdown menu.

Print & Sign: Upload an Signed LOA (cont'd)





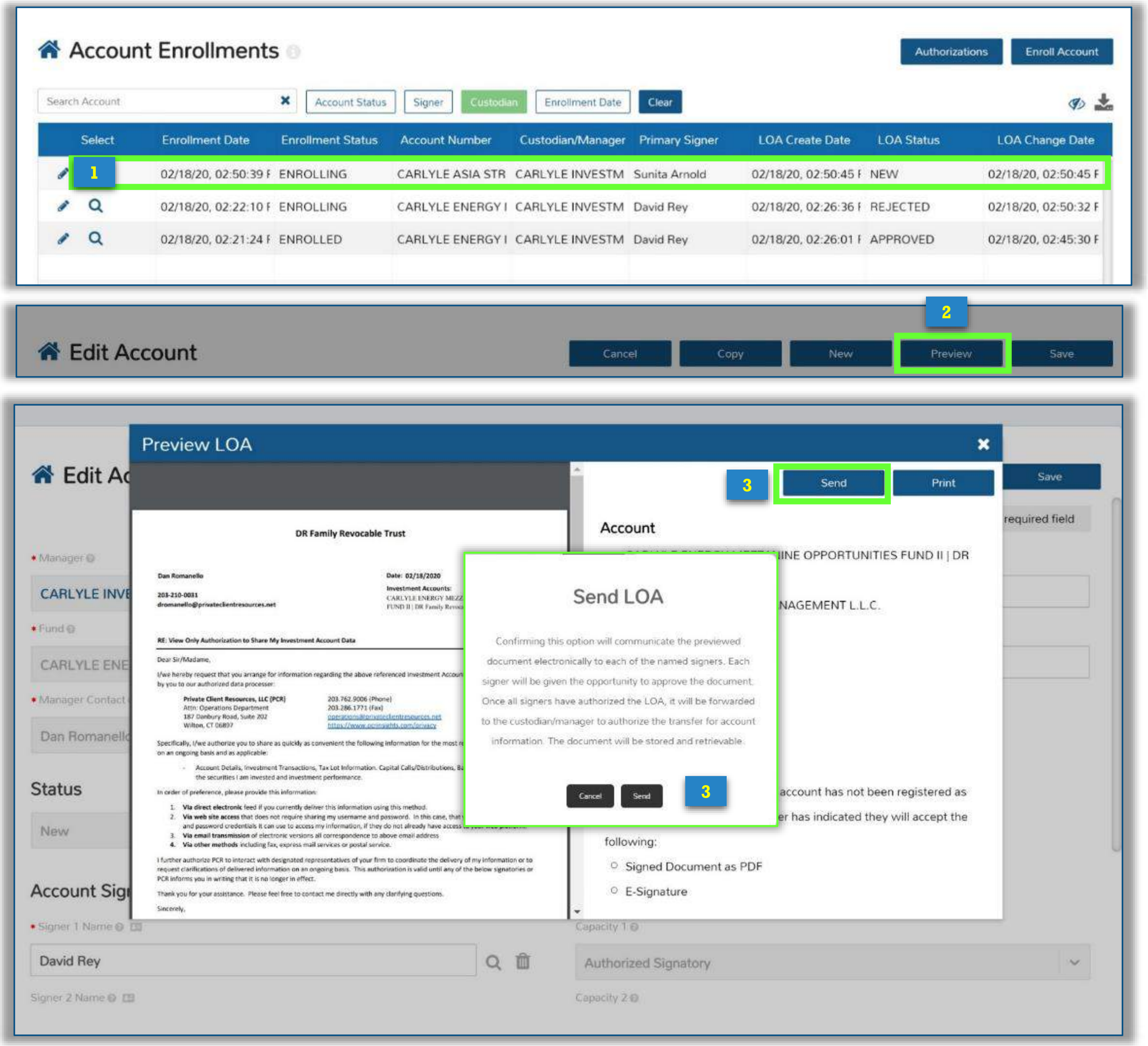
Print & Sign

1. **Confirm Status Change**
   Once you change the **Status** of the Print & Sign LOA, a confirmation message appears. Click **Continue** to confirm status change or **Cancel** to be redirected to previous view.

2. **Authorizations View Updates Status**
   Once you confirm the status change on the View LOA modal, the **Authorizations** view reflects the same status change. Once this step is completed, the Support Team will takeover at this point of the Print & Sign process.

DocuSign LOAs (E-Signature)

DocuSign: Send LOA



DocuSign

1. **Send a New LOA via DocuSign**
   Once an account is enrolled into the Enrollment Tool, locate and choose the account under the **Account Enrollments** view that the user would like to generate an LOA for by clicking the **Pencil Icon** to open the **Edit Account** view.

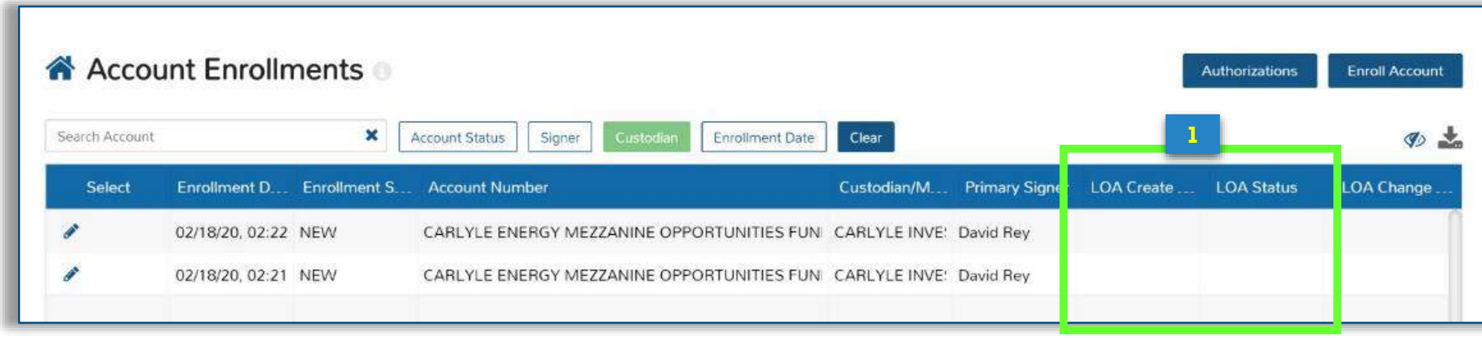
2. **Review Information for Accuracy**
   Once the user is directed to the **Edit Account** view, take a few moments to review and/or correct the data to ensure accuracy on the generated LOA. If there are any changes made, please remember to click on the **Save** button to update changes. Click on the **Preview** button to start the DocuSign LOA workflow.

   Please note: The Signers, Custodian's or Manager's contact email addresses must be added prior to generating an LOA for E-Signature, otherwise the DocuSign workflow cannot be completed.

3. **Preview LOA and Send**
   The **Preview LOA** modal should appear once the user clicks the **Preview** button. Once again, review the information in the generated LOA to ensure accuracy. If satisfied, click on the **Send** button to continue. This will prompt a 'Sent LOA' confirmation message.

   Once sent, the user will see an Authorization Status Field added to the **Edit Account** view with the status set as 'Sent'. Click the **Cancel** button to return to the **Account Enrollment** view.

DocuSign: LOA Status



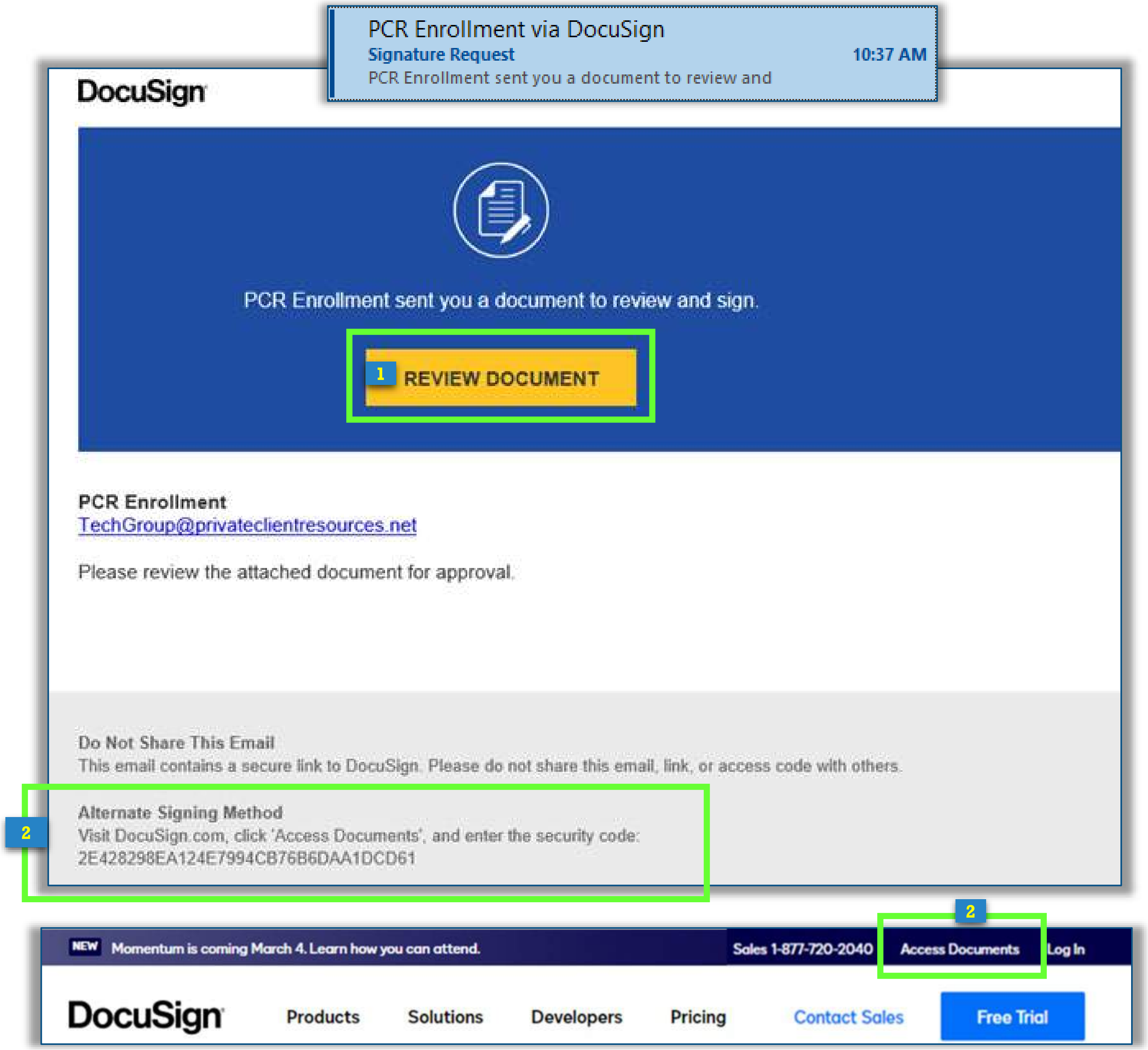
DocuSign

1. **Account Enrollments: Status Before DocuSign Initialization**
   The **LOA Create Date** and the **LOA Status** is blank indicating the LOA has not been generated.

2. **Account Enrollments: Status After DocuSign Initialization**
   The **LOA Create Date** and the **LOA Status** has been updated to **Sent**, indicating the E-Signature process has started.

3. **Authorizations: Status after Sent Initialization**
   The **LOA Status** will also be updated on the **Authorizations** view. It will show how many accounts under each LOA were sent. If there is more than one account that shares the same Custodian/Manager, the accounts will be grouped into one LOA.

DocuSign: Email to Signer(s)



DocuSign

1. **Email from DocuSign**
   After clicking **Send** on the **View LOA** modal, an email is automatically sent to the signer(s) to review and create a signature to sign the LOA.

   The secure email will come from DocuSign directly, not PCR. It should read "**PCR Enrollment via DocuSign**". Please check spam/junk folders if not directly delivered to email inbox.

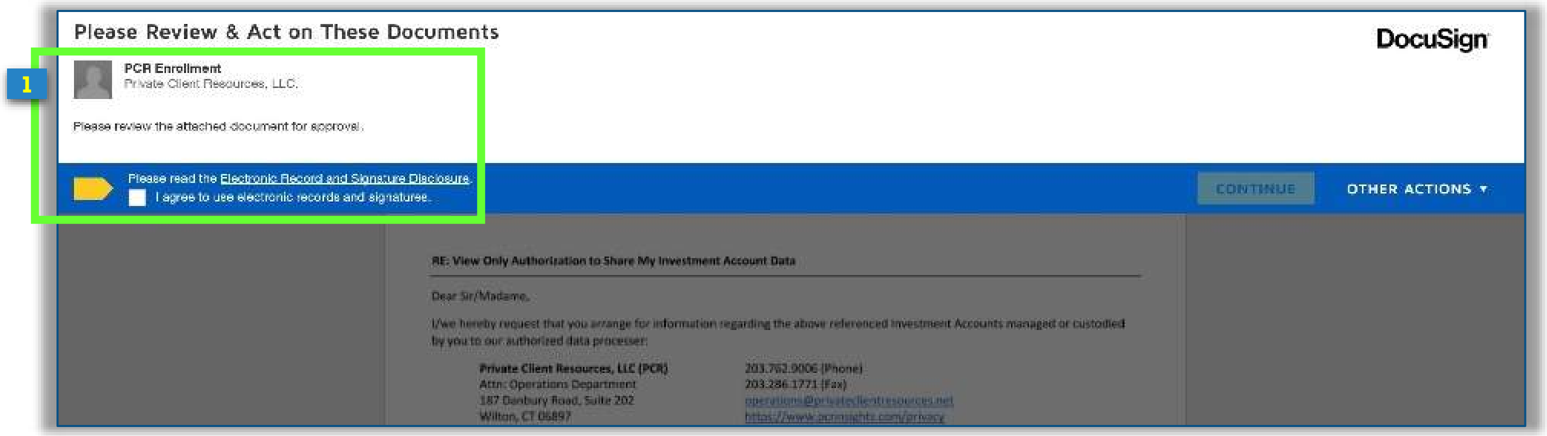
   Open the email notification from your email inbox (i.e. Outlook, Gmail, ICloud, Yahoo Mail).

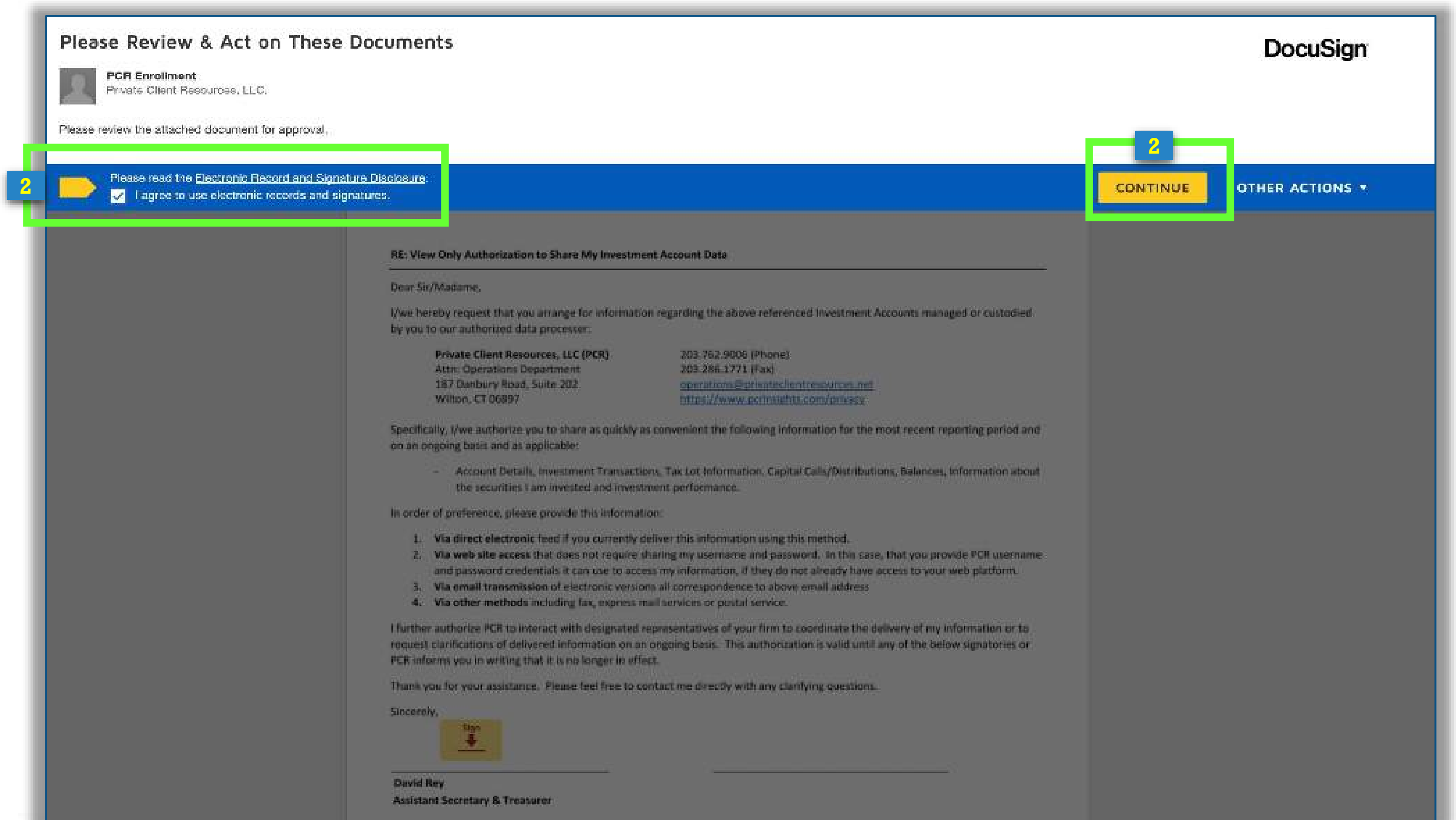
   Click the **Review Document** link, which will open up the LOA document onto a browser (Chrome recommended).

2. **Alternative Method**
   Another access option available to the signer, is the **Access Documents** security code, located in the footer of the email notification.

   Using a web browser (Chrome recommended) go to www.DocuSign.com and click on **Access Documents** in the top right corner of the DocuSign website. This will open up a window where the user can enter the security code provided by the DocuSign email as shown.

DocuSign: Review Disclosure



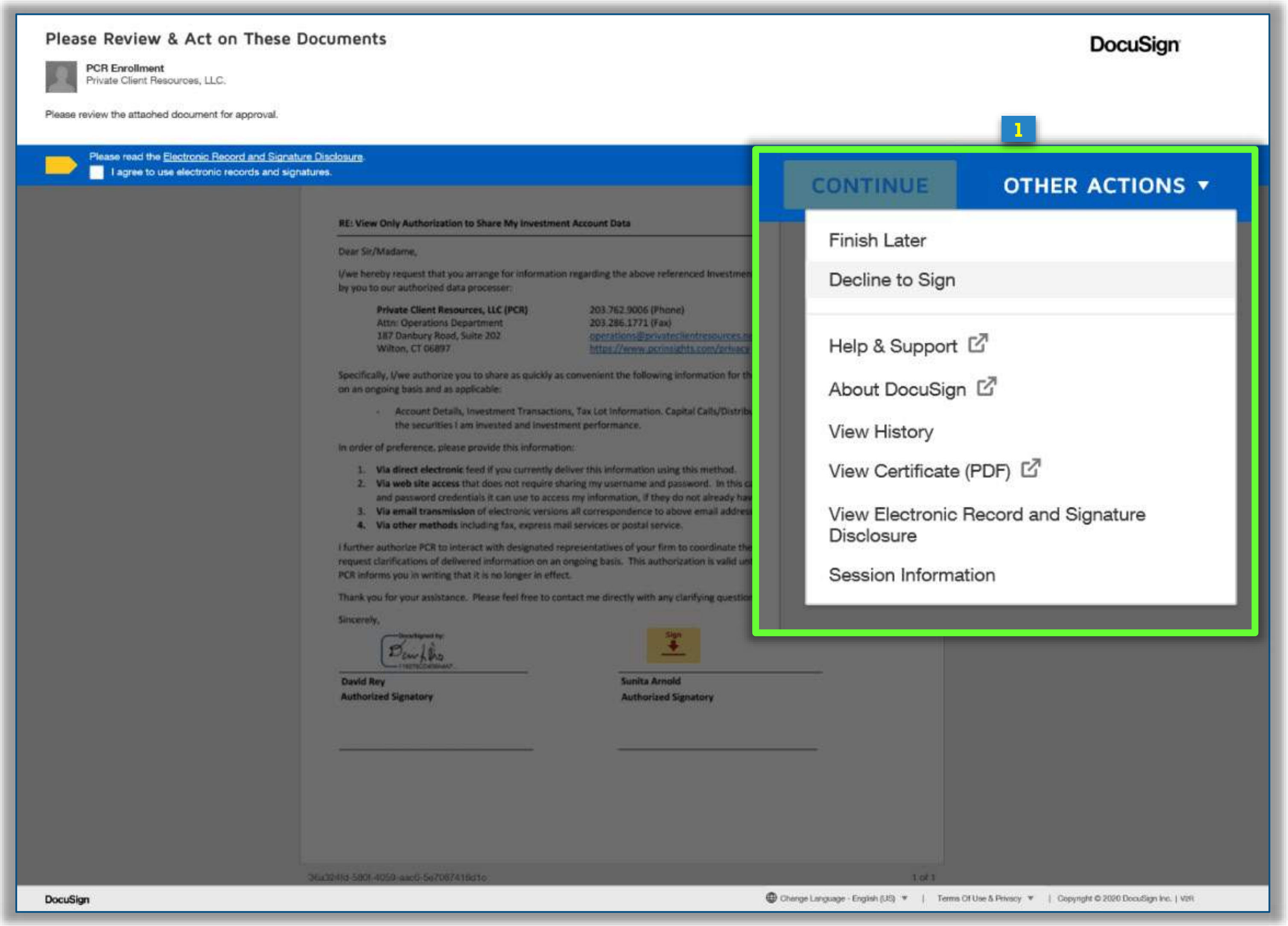


DocuSign

1. **Review DocuSign's Electronic Record and Signature Disclosure**
   Before the user can access the document, the user is prompted to review DocuSign's legal disclosure. The user will see the document is from PCR Enrollment with the company name right under it.

2. **Check the Box - Consent to Agree to Use Electronic Records and Signatures**
   Review the legal disclosure, and select the checkbox **I agree to use Electronic Records and Signatures**. Click **Continue** to begin the E-Signature process.

DocuSign: Other Actions Menu



DocuSign

1. **Other Actions Menu**

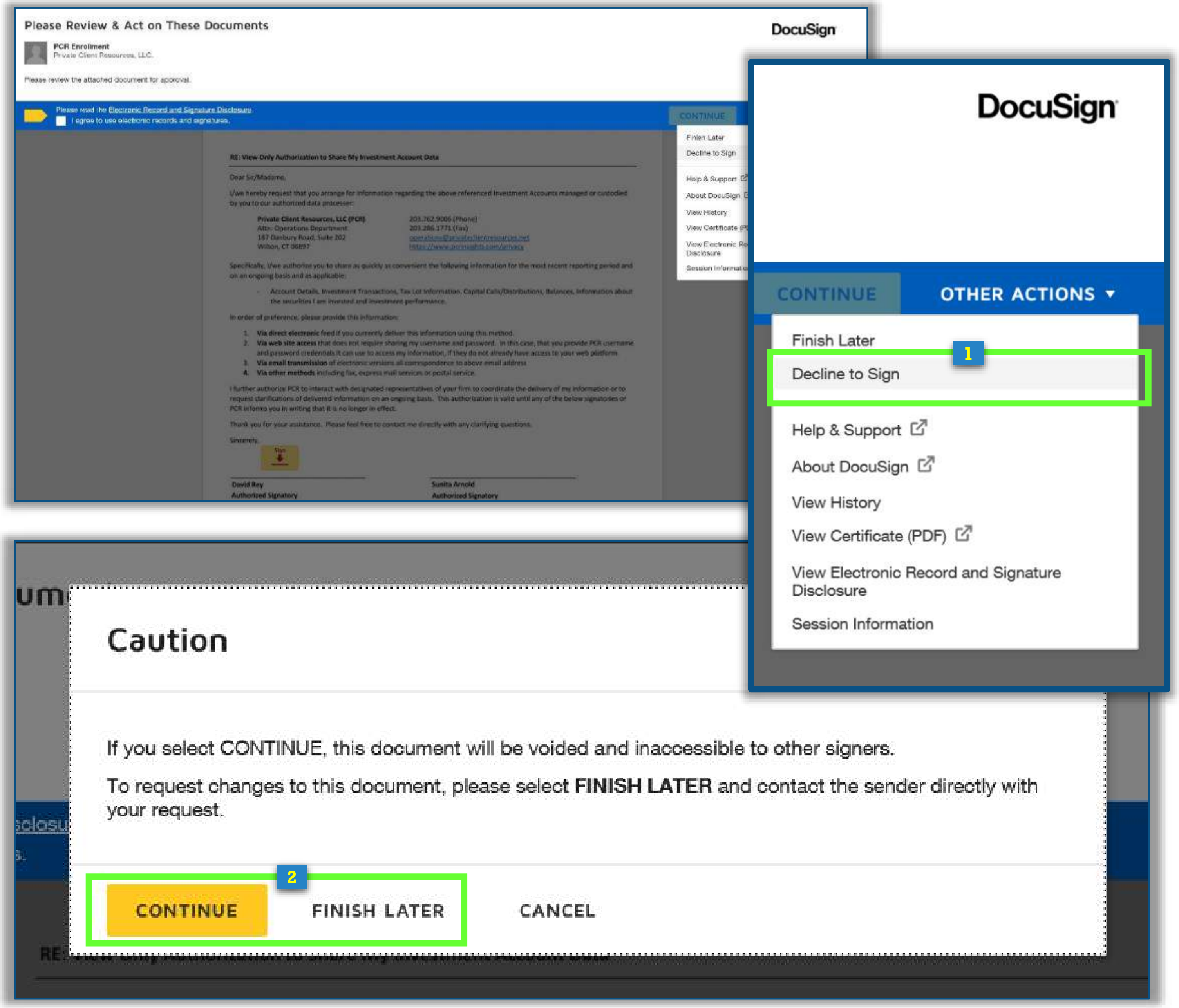
Finish Later: Click if not ready to complete the DocuSign E-Signature process.

Decline to Sign: Click if the user does not want to continue the E-Signature process to cancel the request OR if the information on the LOA is incorrect.

Help & Support: Redirects the user to DocuSign's Support site online. If the user has any issues or needs help, please direct the user to contact the Support Team first.

View Electronic Record and Signature Disclosure: Click here to view legal terms on agreeing to using electronic record and signature items within DocuSign.

DocuSign: Decline to Sign



DocuSign

1. **Decline to Sign**
   If the signer(s) decide not to follow through with the LOA E-Signature process with DocuSign, they can click on the **Decline to Sign** option.

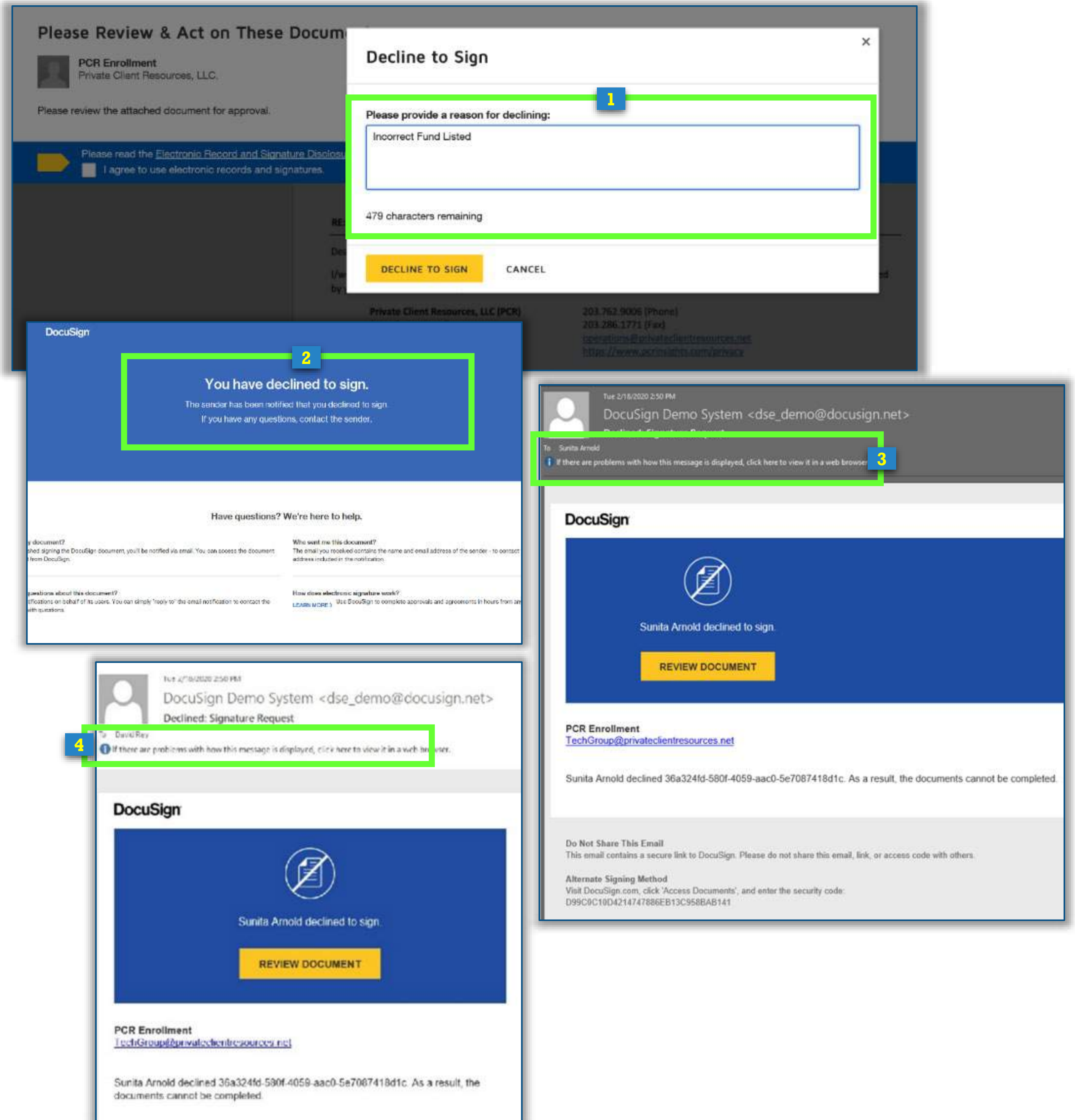
2. **Confirm Decline to Sign**
   Once the signer(s) decide to decline to provide an E-Signature to the LOA, a modal will appear to confirm the decline and give a final warning notification before clicking on **Continue** to be prompted to the next confirmation screen.

   Once the signer(s) confirm, the LOA will immediately be voided and inaccessible to other signer(s) where applicable. All parties listed on the LOA will receive an email notification of the cancellation / voided LOA immediately after the declined DocuSign process is submitted.

   To request changes to the LOA document, the signer(s) may select **Finish Later** and should contact their Advisor directly with any questions.

   Click **Cancel** to revert back to previous screen to select another **Action** choice from dropdown menu if needed.

DocuSign: Decline to Sign (cont'd)



DocuSign

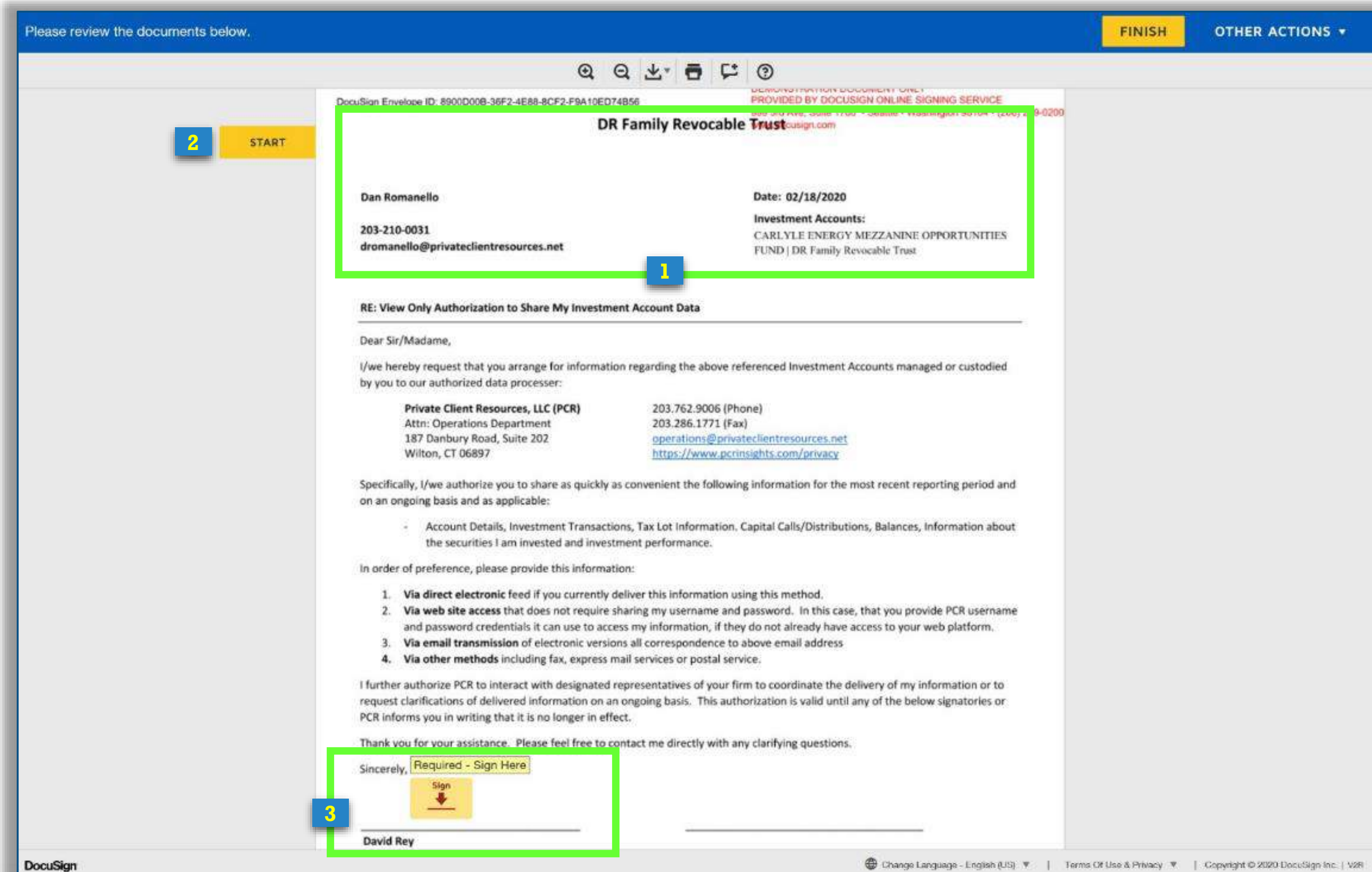
1. **Decline to Sign – Provide Reason**
   Once the signer(s) click **Continue**, they are brought to the **Decline to Sign** modal to provide a reason for declining to provide an E-Signature on the LOA. The signer(s) should provide as much information possible to help the Support Team understand the reason for the decline. Click **Decline to Sign** to finish process.

2. **Confirmation of Decline to Sign from DocuSign**
   The signer(s) will see a message immediately confirming the cancellation process complete.

3. **Confirmation Email Sent to Signer 1**
   A confirmation of the **Decline to Sign** will be sent to the signer(s) once finished with the process and exited out of DocuSign.

4. **Confirmation Email Sent to Additional Signers**
   If there are multiple signers, they will also receive an email notification of the **Decline to Sign** which will <u>void</u> the DocuSign E-Signature process entirely for <u>all signers</u>.

DocuSign: Start LOA Review & Signature Process



DocuSign

1. Review Information for Accuracy

The Signer(s) should review the key LOA fields below to ensure the information is correct:

- Account Name / Tax Entity
- Advisor Name and Contact Information
- Investment Account Information
- Signer Name

If the information is not correct, the signer(s) should follow the [Decline to Sign](#) DocuSign process.

2. Start the Signing Process

The signer(s) will click the **Start** yellow tag on the top left to begin the E-Signature process.

3. Create Your Digital Signature

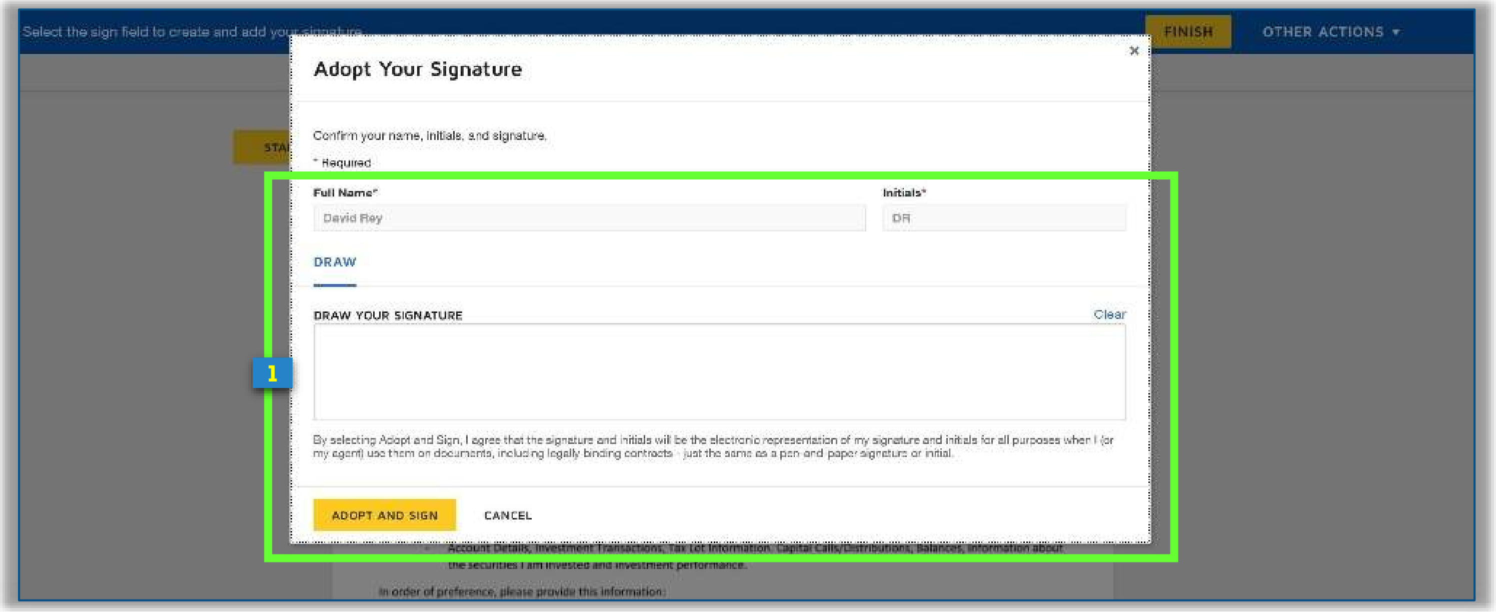
Once the signer(s) clicks on the **Start** tag, the signer(s) will be prompted to the **Sign** tag at the bottom of the LOA. Please click on the **Sign** yellow box to start the digital E-Signature creation process.

4. Additional Signer(s) View

If there is more than one signer, the signature lines will be visible on the LOA. The DocuSign email requests are sent in a sequential routing of signer creation in the Enrollment Tool (Signer 1, Signer 2, etc…).

For example, Signer 2 will see Signer 1's E-Signature already on the document before they could sign. The process is then repeated for additional signers until completed by all.

DocuSign: Create Digital Signature



DocuSign

1. Adopt Your Signature

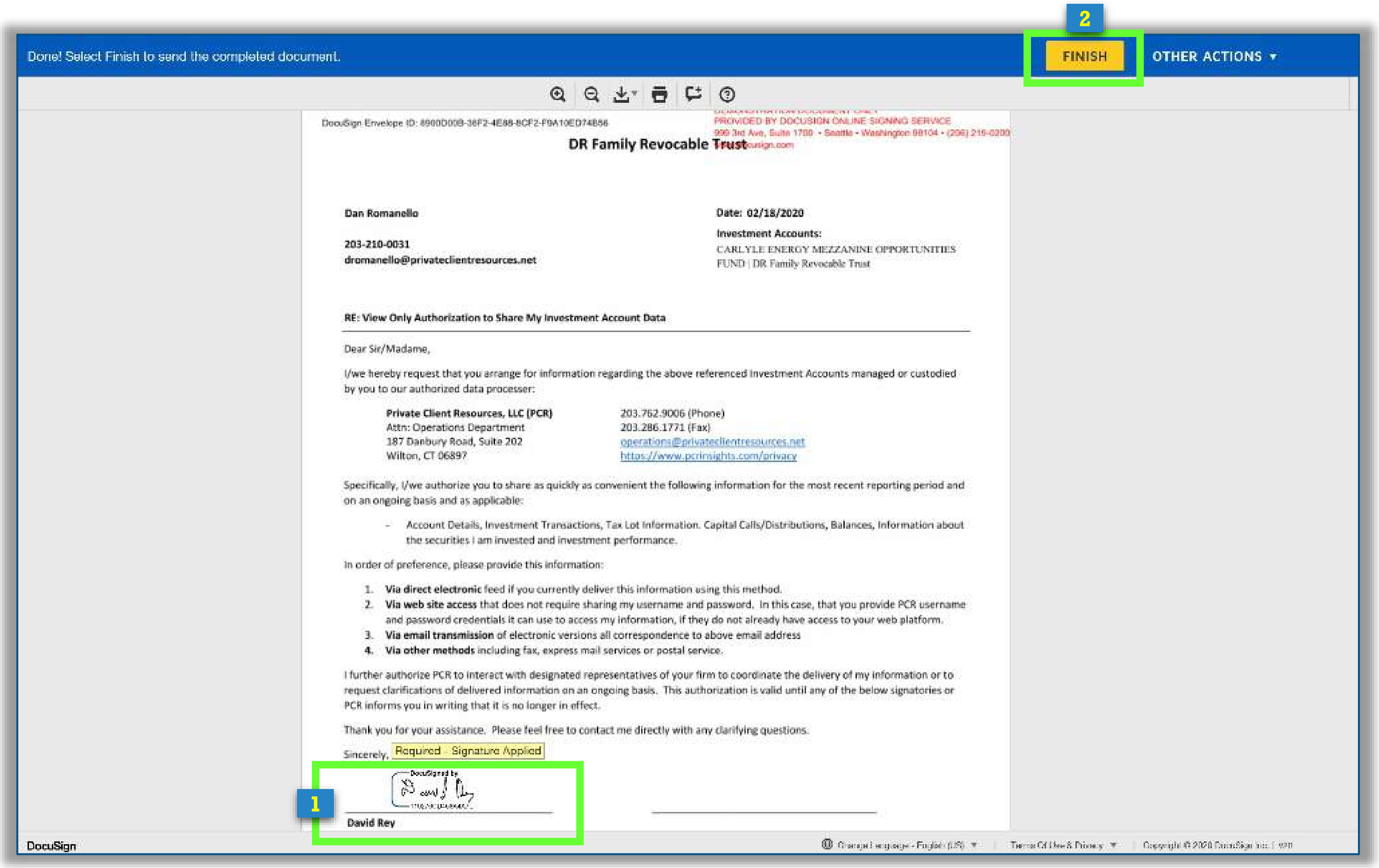
The signer(s) will confirm their name, initials, and signature by completing the following required fields:

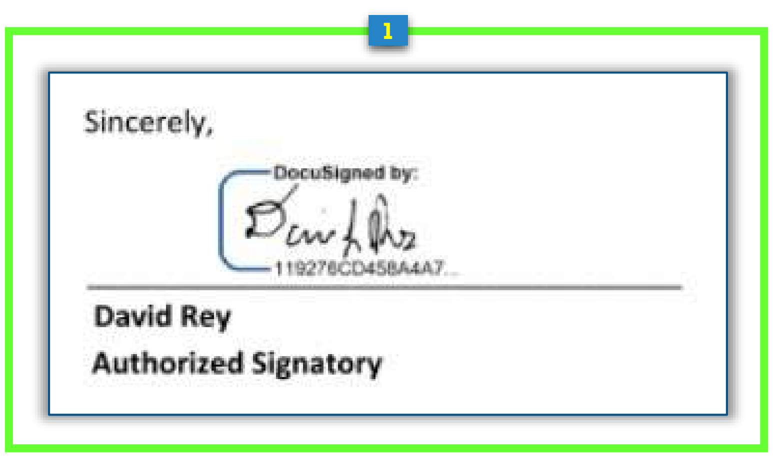
- **Full Name**
- **Initials**
- **Draw your signature:** Using mouse, stylus or finger (depending on device used), the signer(s) would create their signature in the **Draw Your Signature** box.

2. Complete Digital Signature Creation

Once the signer(s) create their signature in the **Draw Your Signature** box and is satisfied with the result (hit **Clear** to start over), click the **Adopt and Sign** yellow box to save or **Cancel** to exit the signature creation modal and redirected to the previous screen.

DocuSign: Complete Signature Process





DocuSign

1. **Digital Signature on LOA**

   Once the digital signature is created, the signer(s) will click on the signature line to place the digital E-Signature on the signature line to add onto the LOA.

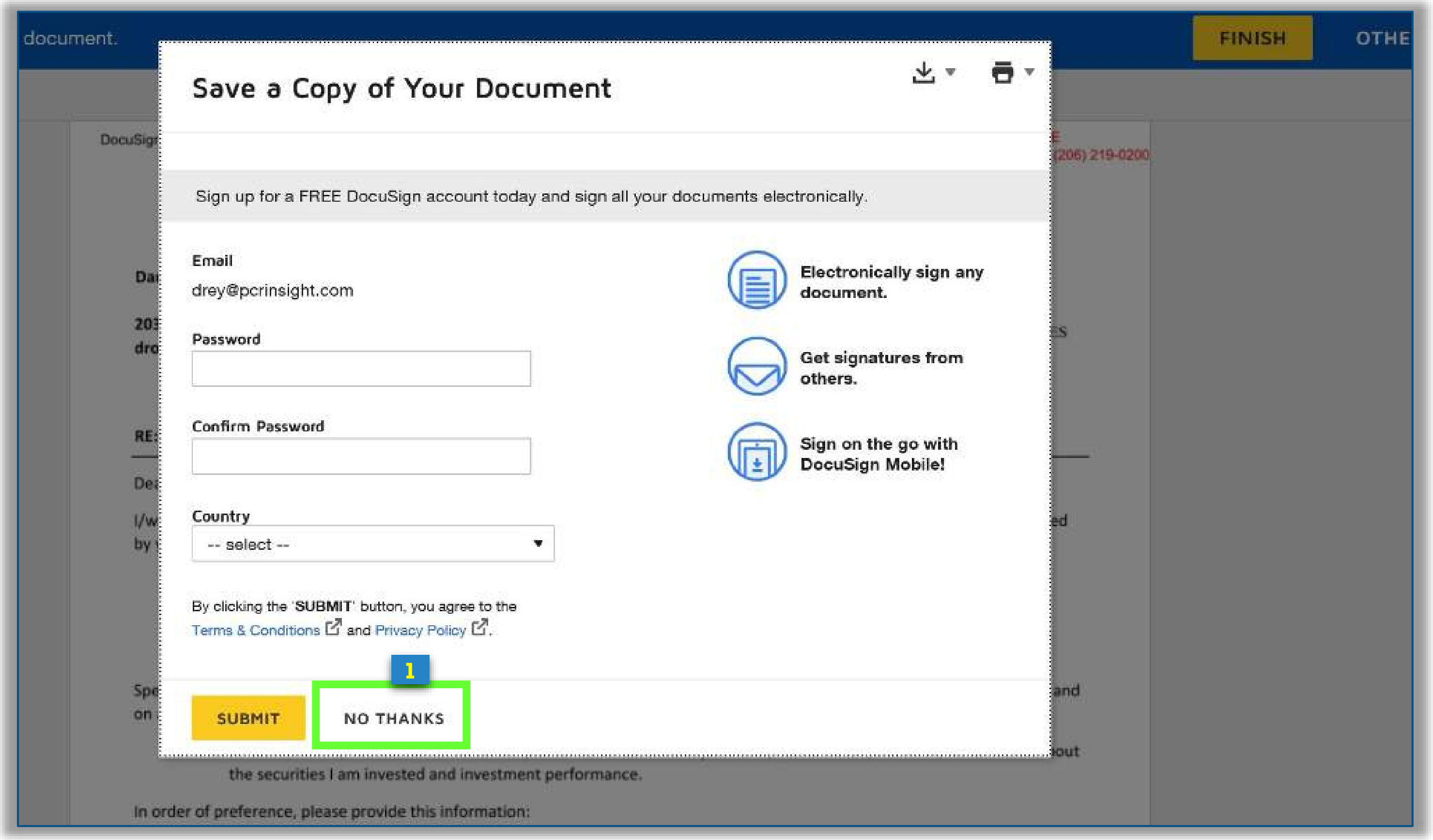
2. **Complete E-Signature LOA**

   Once the signer(s) are satisfied with the signature provided, click the **Finish** button on the top right corner to complete the DocuSign E-Signature process.

   If you are a single signer, the LOA will automatically be sent to the Custodian/Manager listed on the LOA.

   If there are multiple signers, the LOA will go to the next signer to repeat the E-Signature process in sequential order.

DocuSign: Save E-Signed LOA



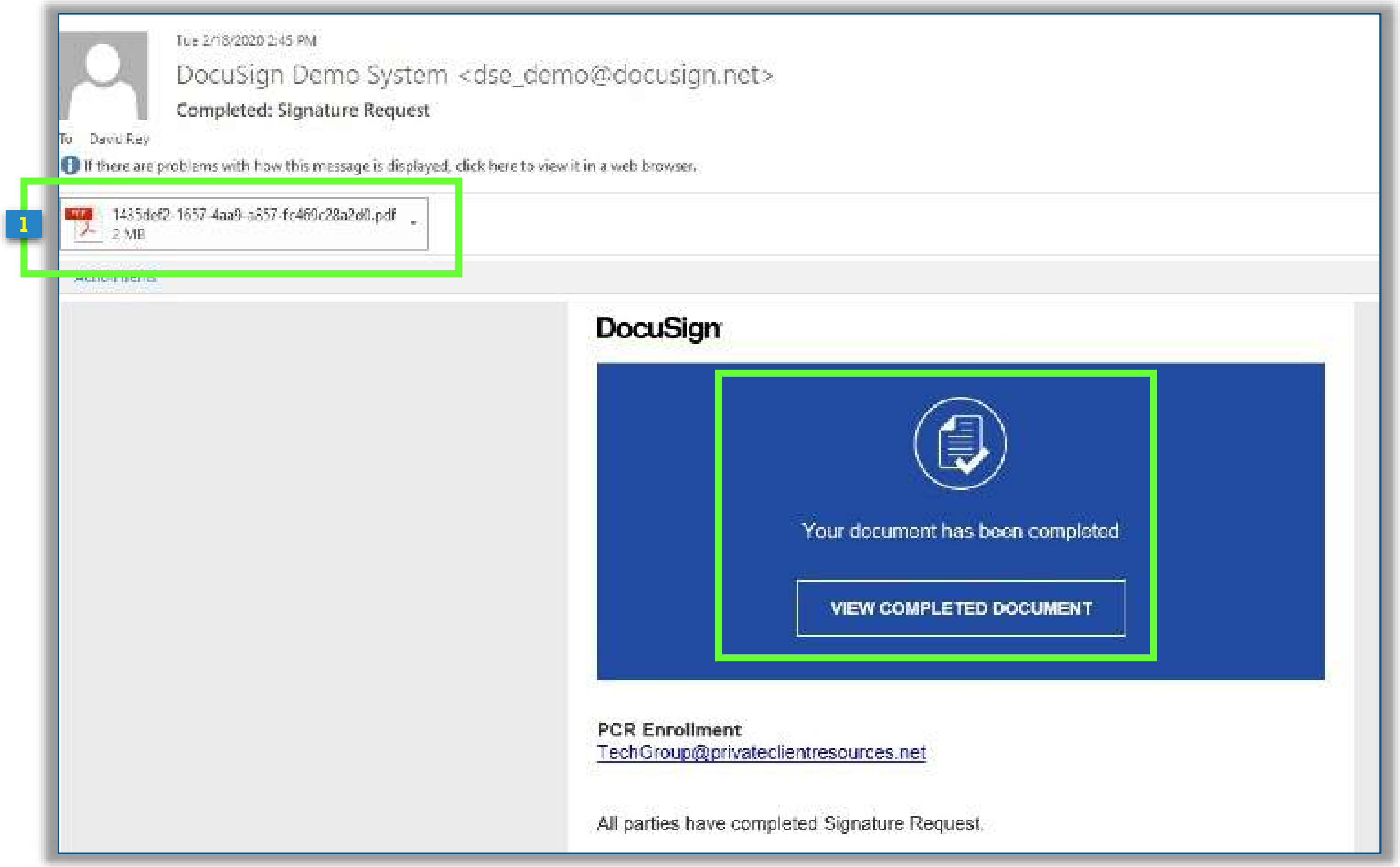
DocuSign

1. DocuSign Signature Completion

Once the signer(s) have completed the LOA E-Signature process, they are prompted with an option to create a DocuSign account if desired.

The signer(s) can skip this step by clicking on the **No Thanks** button or fill out the fields required to create a DocuSign account.

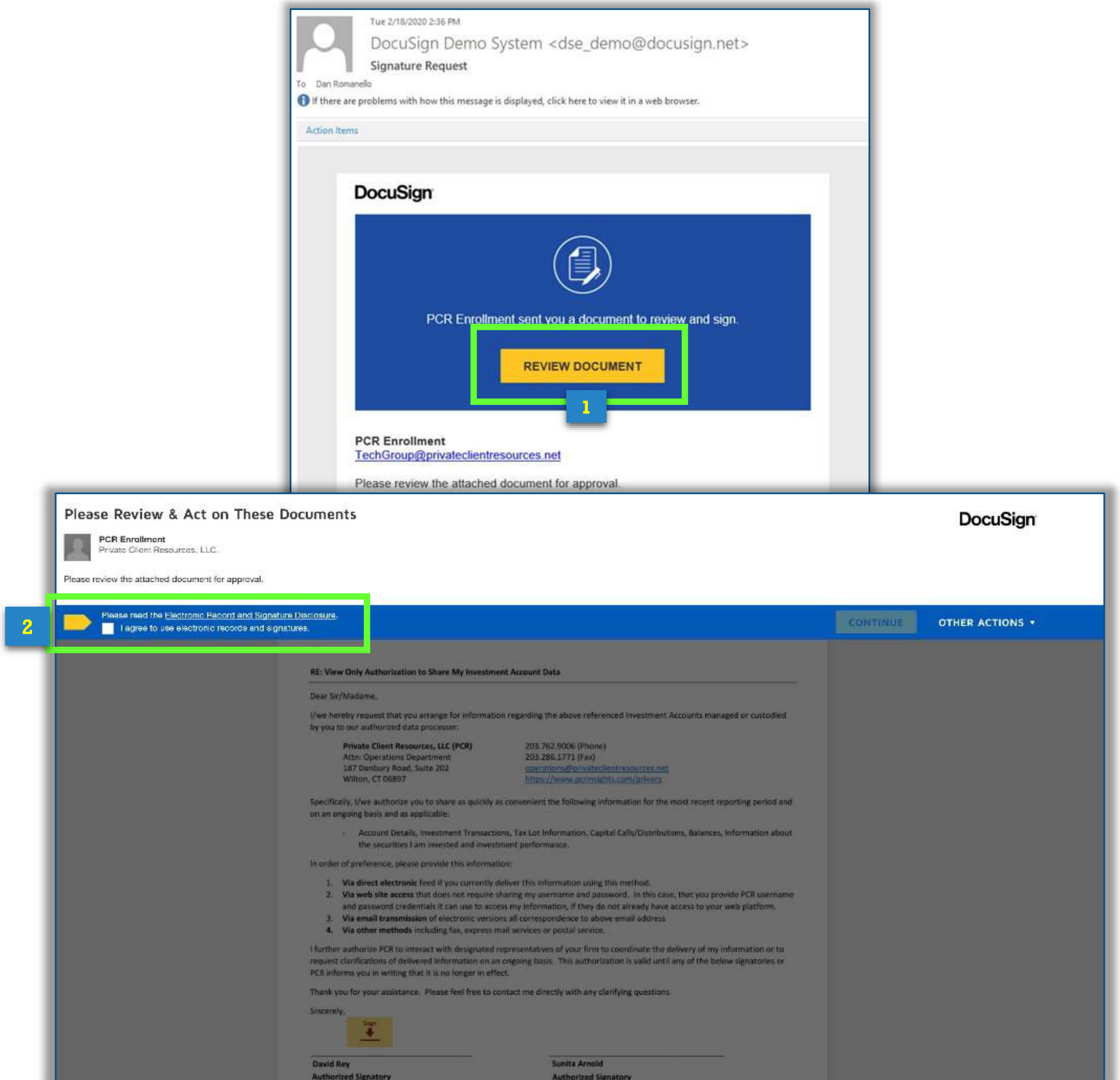
DocuSign – Email Confirmation



DocuSign

1. **LOA DocuSign Completed**
   The signer(s) will receive an email confirmation from DocuSign confirming the Signature Request completed. Attached will be a copy of the signed LOA for the signer(s) records.

DocuSign: Email & Review Disclosure (Custodian/Manager)



DocuSign

1. DocuSign Email to Custodian/Manager to Review and Approve

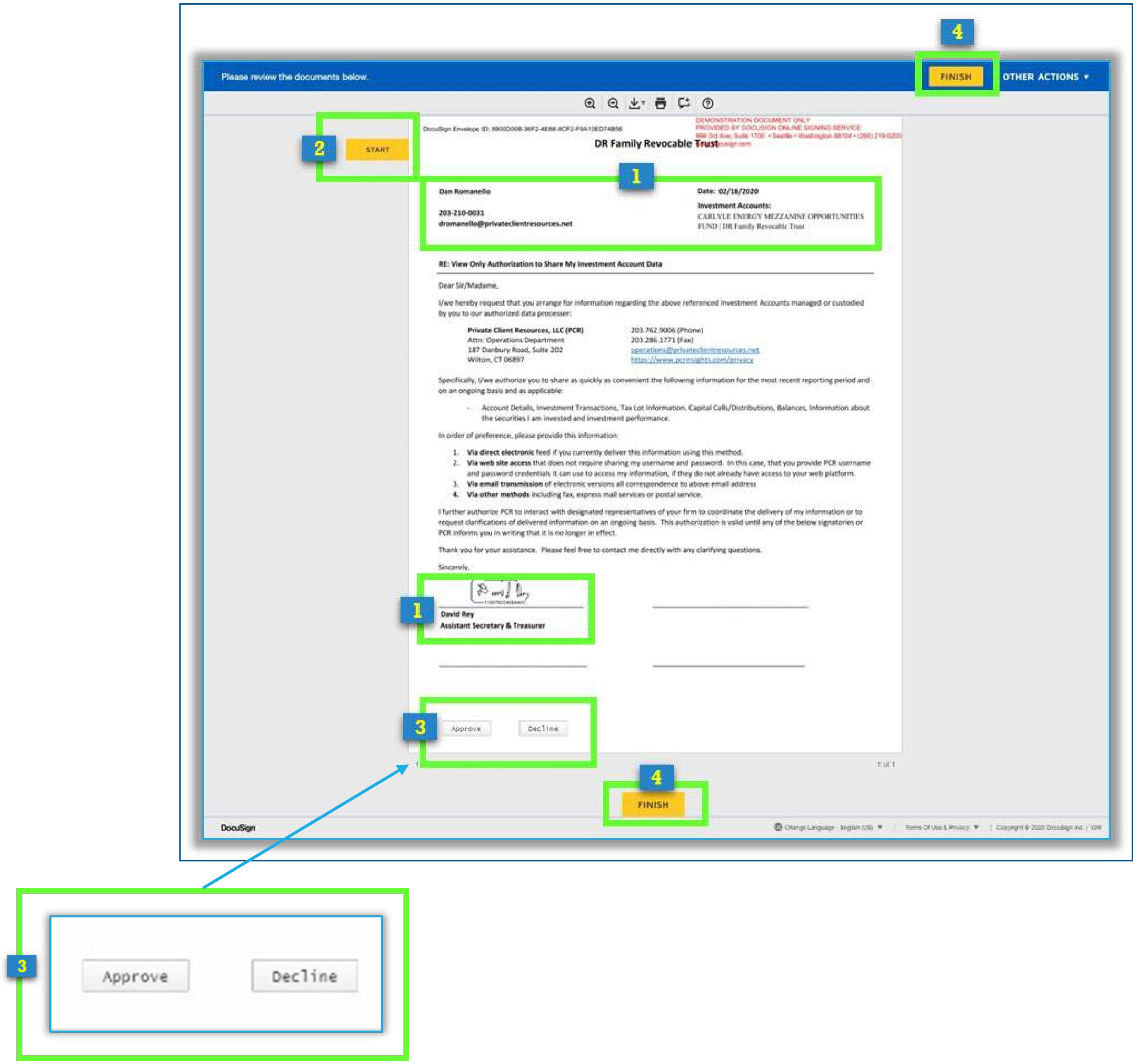
Once all signer(s) have completed the DocuSign E-Signature process, an email notification from DocuSign is sent directly to the Custodian/Manager Contact to review and approve the e-signed LOA.

2. Review DocuSign Electronic Record and Signature Disclosure

The Custodian/Manager will follow the same process to access the email and review DocuSign's legal disclosure.

Once the review of DocuSign's legal disclosure is completed, the Custodian/Manager will check the box to **I agree to use Electronic Records and Signatures** and click **Continue** to begin the E-Signature review and approval process.

DocuSign: Review & Approve LOA (Custodian/Manager)



DocuSign

1. **Review Information for Accuracy**
   The Custodian/Manager will review the LOA to ensure the signer(s) information indicated below is correct:

   - Account Name / Tax Entity
   - Advisor Name and Contact Information
   - Investment Account Information
   - Signer(s) Name and E-Signature(s)

2. **Start the Approve / Decline Process**
   Click the **Start** yellow tag on the top left to begin the process.

3. **Approve / Decline LOA**
   Once the Custodian/Manager has reviewed, they would click on the **Approve** button located on the bottom of the document to complete the review.

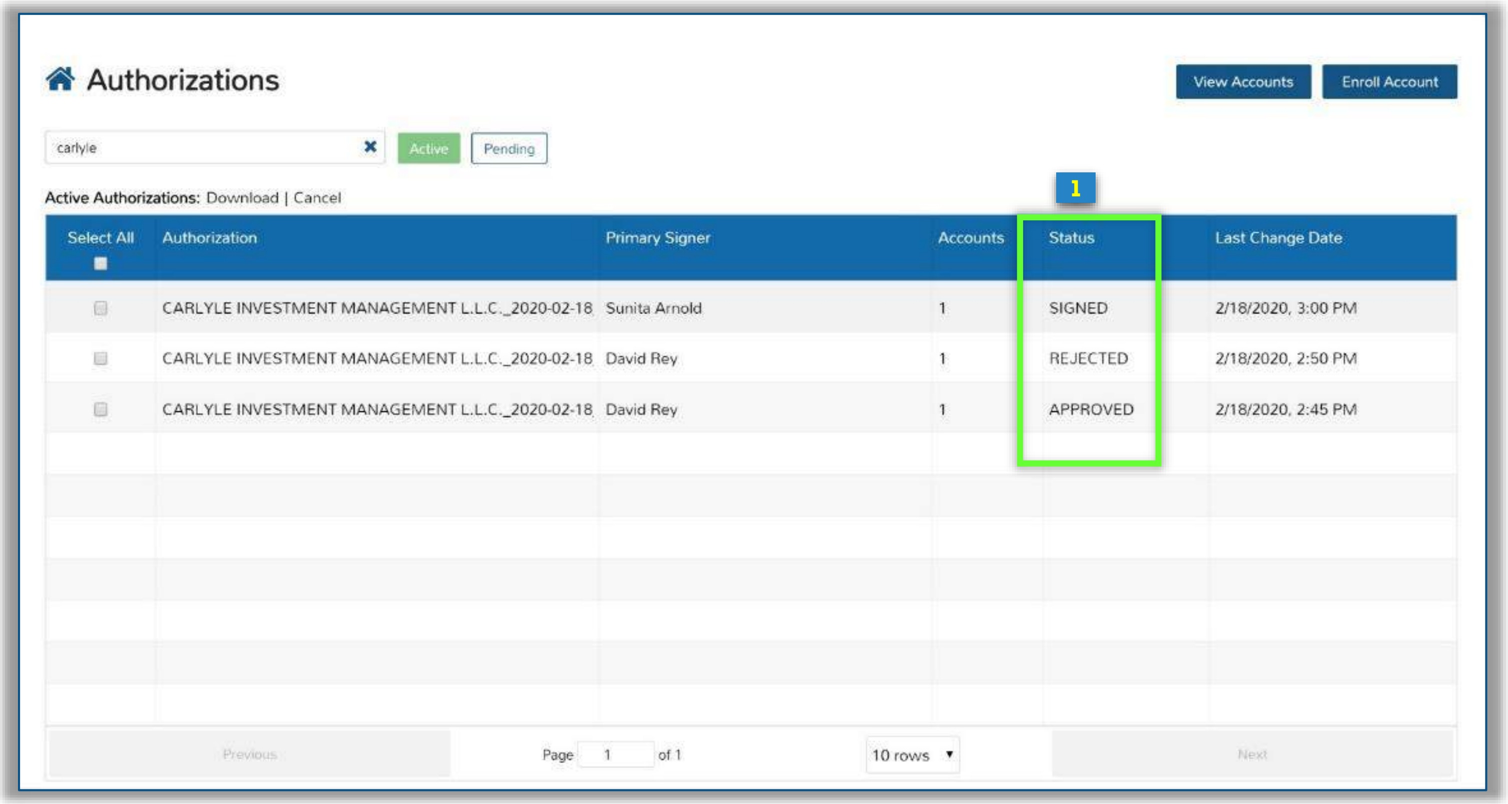
   In the event the Custodian/Manager does not accept DocuSign or if the information in the LOA is incorrect, they may click on the **Decline** button.

4. **Finish the Review and Approval Process**
   The Custodian/Manager would then click the **Finish** button to complete approval process of the DocuSign E-Signature LOA.

   The status of the LOA will be updated on the Account Enrollments and Authorizations view in the Enrollment Tool immediately after.

   A confirmation email would be sent from DocuSign to all parties with the signed LOA attached.

DocuSign: LOA Status Updates

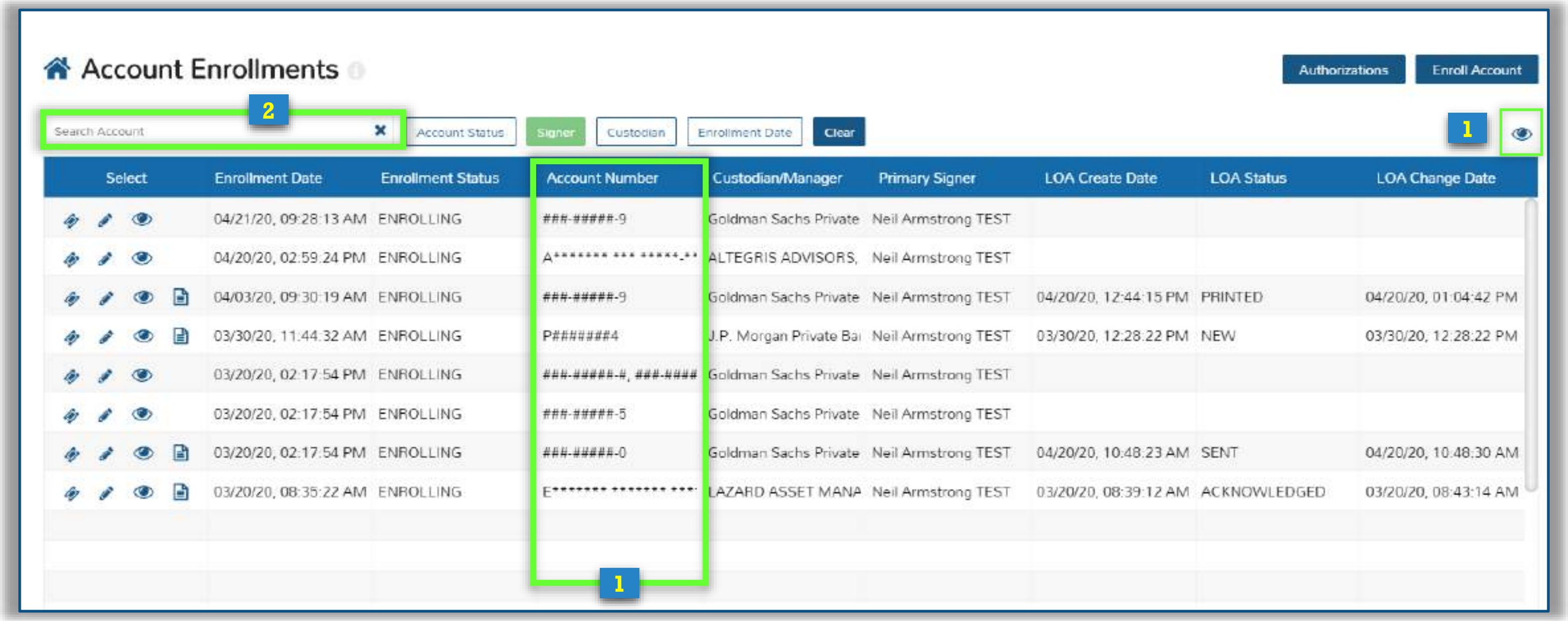


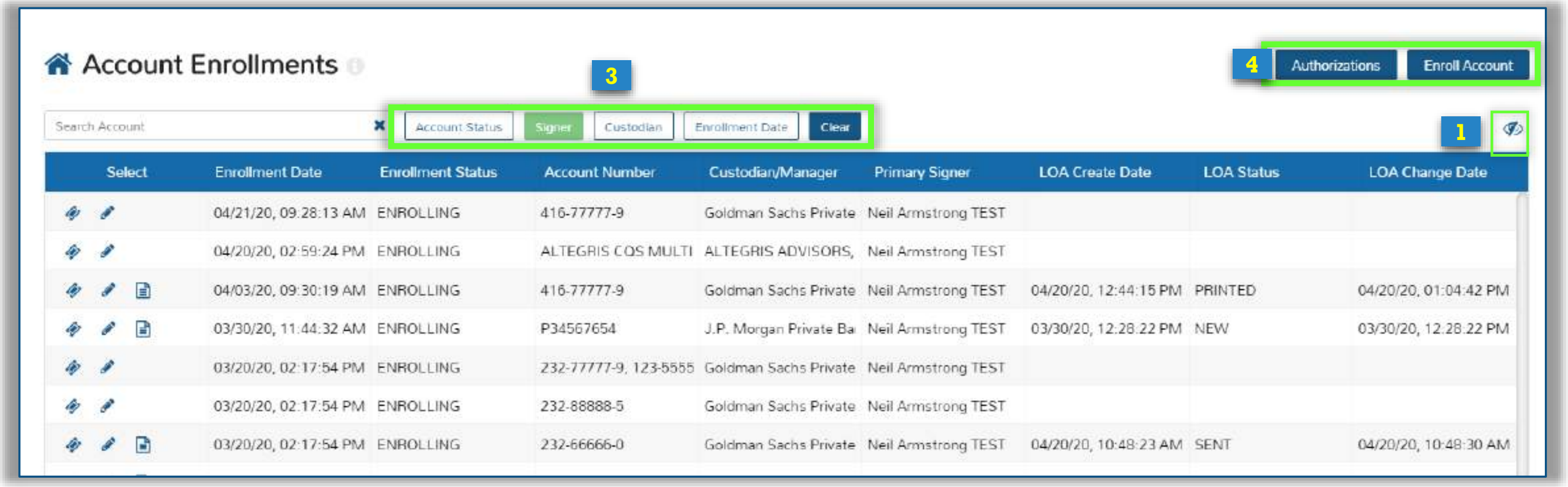
DocuSign

1. **Status Updates**
   Once the DocuSign LOA workflow is in progress, the user will be able to see **Status** updates within the **Authorizations** view and the **Account Enrollments** view.

Account Enrollments & Authorizations Views

Account Enrollments View





Required Fields

1. **Tokenize/Detokenize Account**
   Click on **Eyeball** icon to hide/unhide account number / fund name information in the **Account Number** column.

2. **Search for Account Number/Fund Name**
   The user may search for the account number or fund name using the Search field. To obtain results, the user must input the full account number or full fund name.

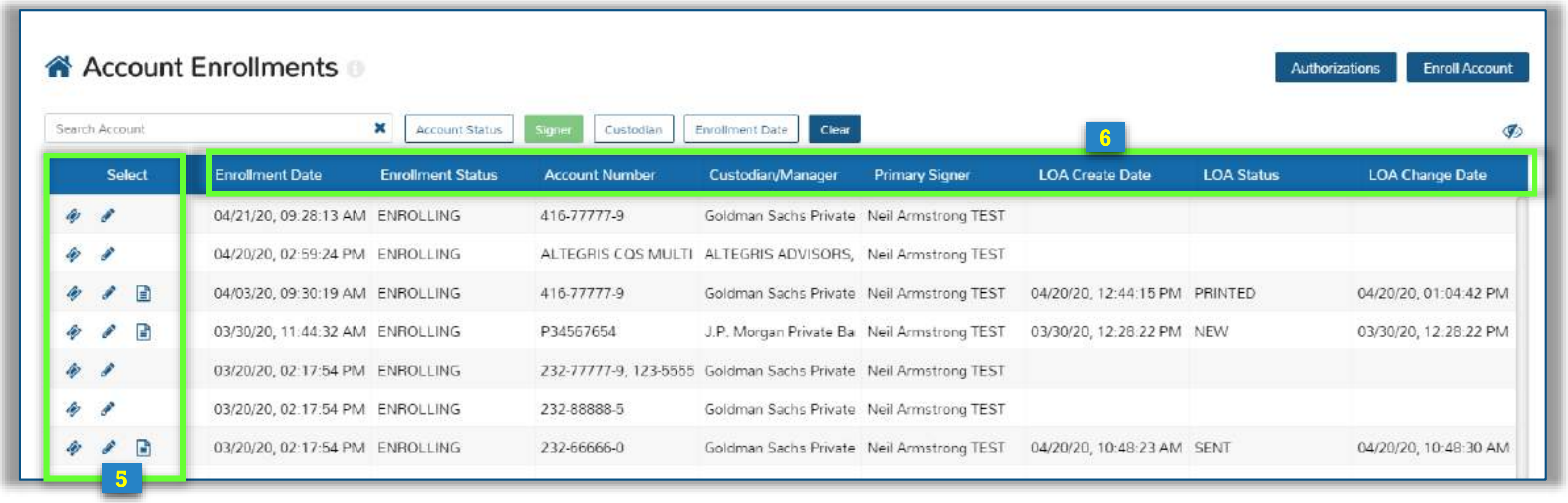
3. **Search Filters**
   The user may sort the Account Enrollment columns by using one of the available filters:

   - **Account Status:** Choose from a range of expressive Enrollment and LOA statuses
   - **Signer:** The Signer modal appears where the user may search for a signer or multiple signers to sort from all results shown. Check the box to filter results and click Save or Cancel to exit out of modal.
   - **Custodian:** The Custodian modal appears where a user may search for a specific custodian by typing into the Search field. Using telesense, the tool will bring up all available results. Check the box on the Custodian/Manager(s) to filter from all results shown and click Save or Cancel to exit out of modal
   - **Enrollment Date:** The Enrolled Date modal appears where a user may search for specific date ranges of accounts enrolled
   - **Clear:** Resets the filters to clear previous search data

4. **Authorizations & Enroll Account Buttons**

   - **Authorizations:** Takes the user to the Authorizations view.
   - **Enroll Account:** Takes the user to the Enroll the Account page.

Account Enrollments View (cont'd)



Required Fields

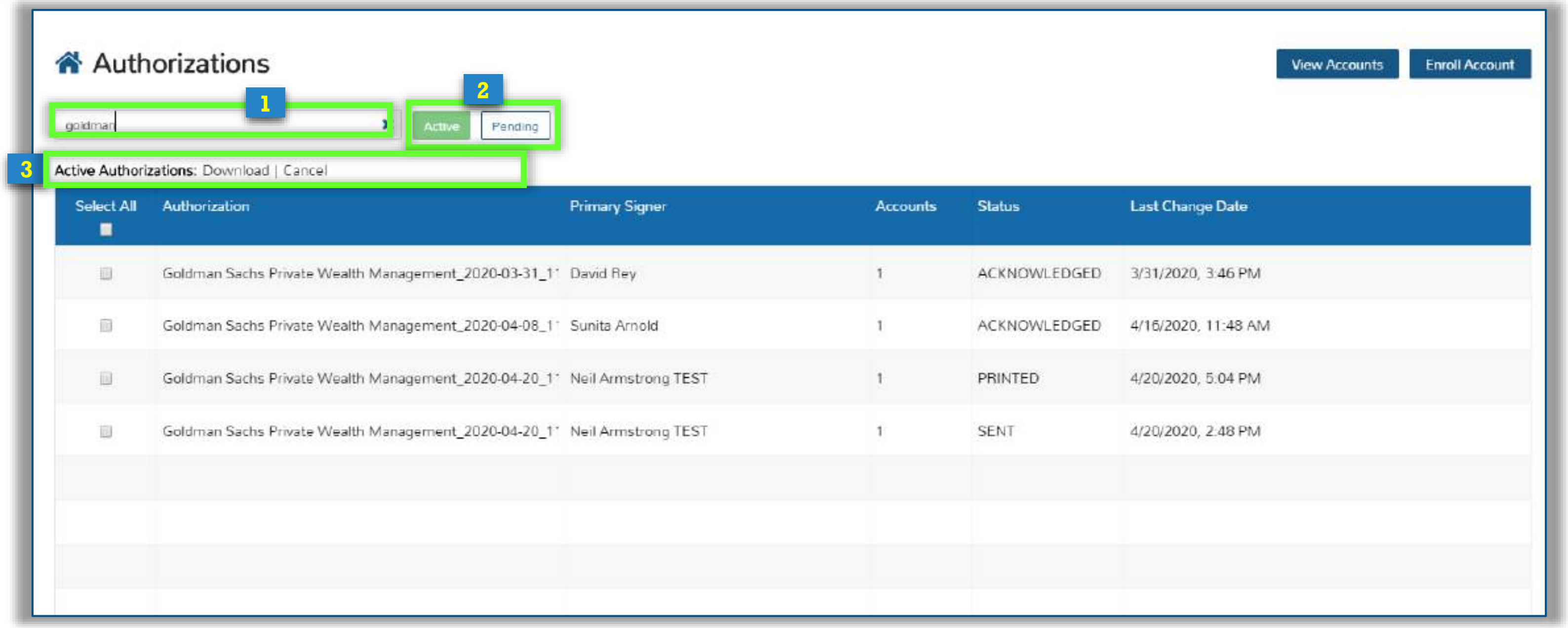
5. **Select Column (Icons)**
In the Select column, there are multiple icons for the user to choose depending on the status of the enrolled account:

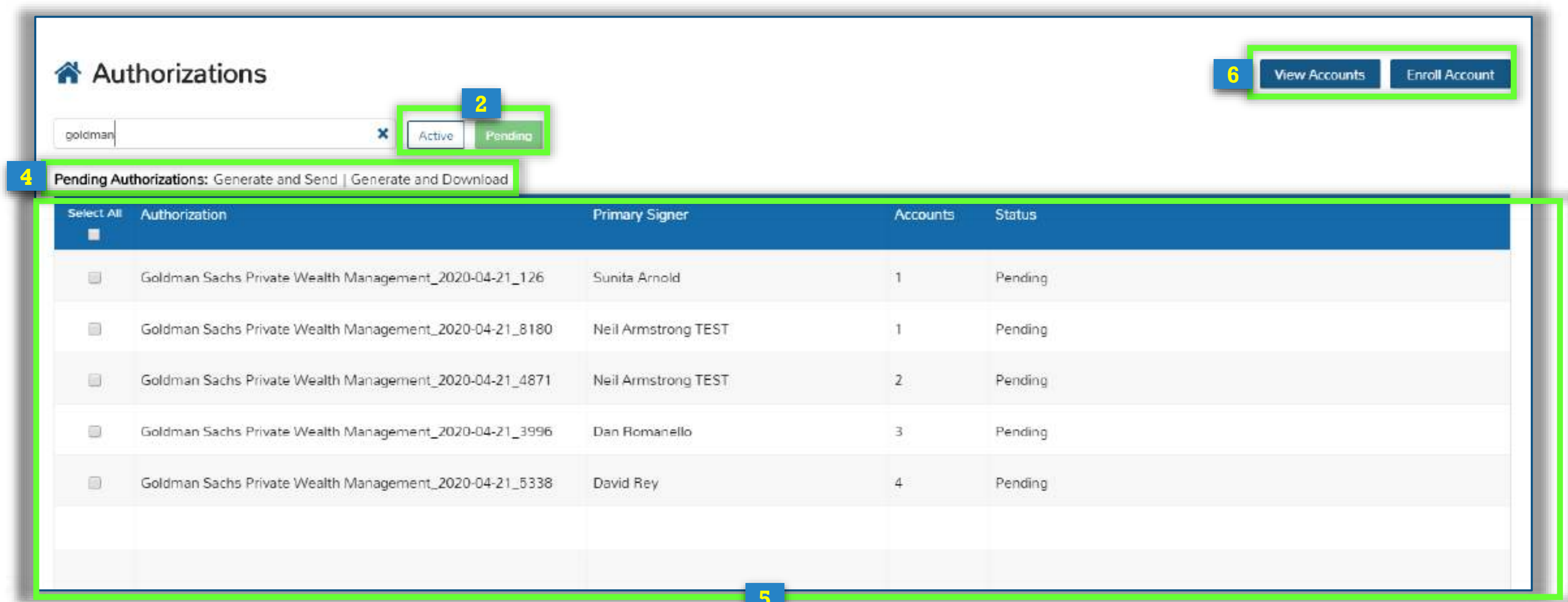
- **Ticket Icon:** Click on the icon to open up the Create Ticket modal. A user may submit a ticket to the Support Team here regarding a specific account.
- **Pencil Icon:** The Signer modal appears where the user may search for a signer or multiple signers to sort from all results shown. Check the box to filter results and click Save or Cancel to exit out of modal.
- **Paper Icon:** Click on the icon to open the View LOA modal. This icon is available once the LOA is saved or has been Printed or Sent.

6. **Account Enrollment Columns**

- **Enrollment Date:** When the account was first enrolled.
- **Enrollment Status:** The status of the LOA.
- **Account Number:** The Account Number or Fund Name listed.
- **Custodian/Manager:** The institution name.
- **Primary Signer:** The first signer (Signer 1) listed on the LOA.
- **LOA Create Date:** The date the LOA was generated (see Preview LOA).
- **LOA Status:** Status of the Print / Send LOA workflow.
- **LOA Change Date:** When the account information was last edited.

Authorizations View





Required Fields

1. **Search**
   Click on **Search** field to filter results from **Authorization** column.

2. **Active | Pending Filters**
   - **Active:** Displays all LOAs that have been generated, sent or signed and are awaiting final approval from Custodian/Manager.
   - **Pending:** Displays all LOAs that have not been downloaded for Print & Sign or Sent for E-Signature/DocuSign.

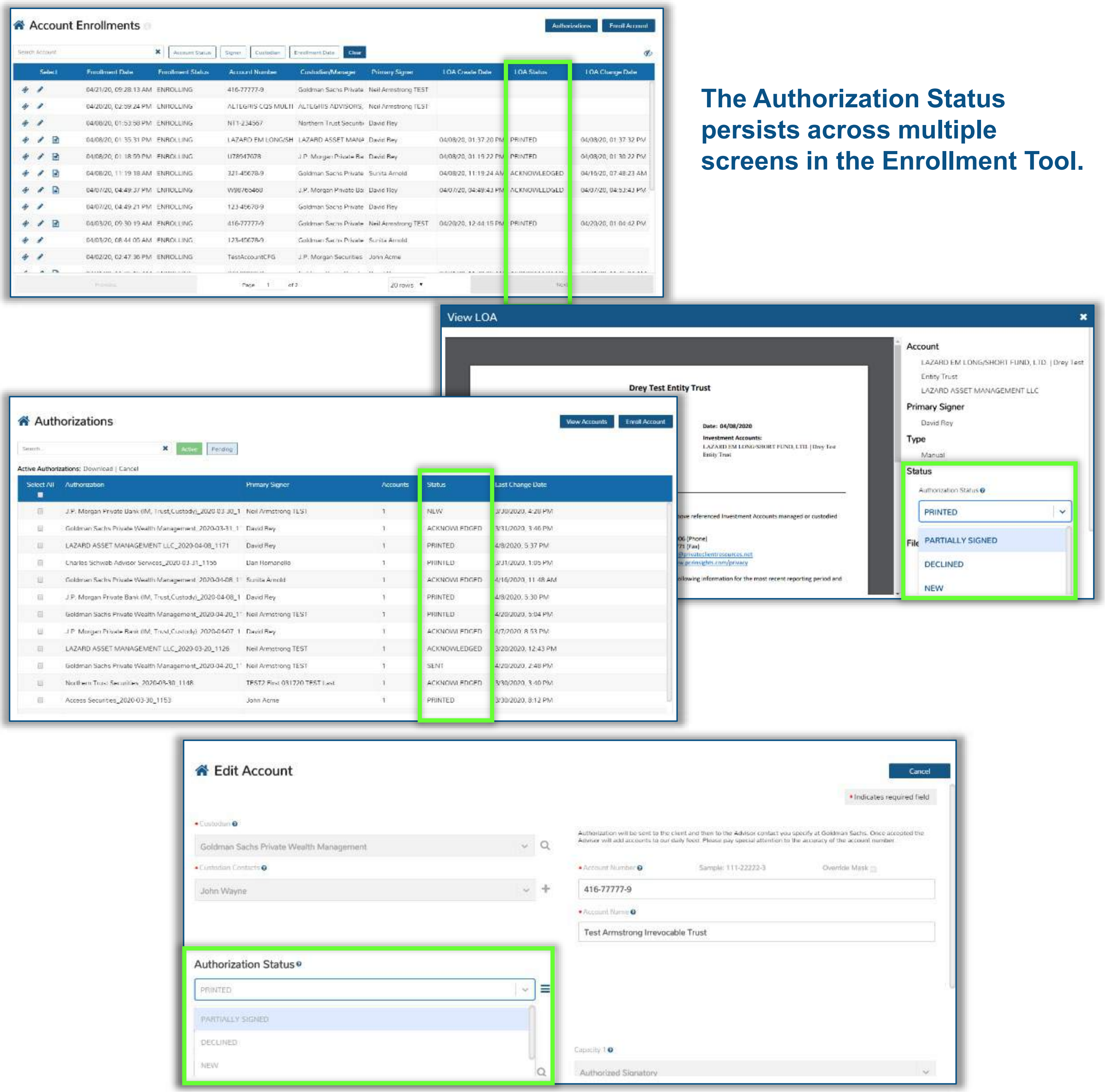
3. **Active Authorizations**
   - **Download | Cancel**: Allows user to download or cancel an LOA record. Users may select multiple LOAs at a time.

4. **Pending Authorizations**
   - **Generate & Send:** Allows users to generate and send LOAs via DocuSign for E-Signature (DocuSign workflow).
   - **Generate & Download:** Allows users to generate and print LOAs for wet signature (Print & Sign workflow).

5. **Authorization Columns**
   - **Select All:** Allows user to download or cancel an LOA record. Users may select multiple LOAs at a time.
   - **Primary Signer:** Displays **Signer 1** name as the primary signer.
   - **Accounts:** Displays the number of account numbers or fund names associated with the LOA.
   - **Status:** Shows status of LOA.
   - **Last Change Date:** Last time the status was updated for the LOA.

Authorization Status

Authorization Statuses Defined



The Authorization Status persists across multiple screens in the Enrollment Tool.

Required Fields

1. **New**
   LOA saved but not sent OR printed.
2. **Printed**
   LOA downloaded OR printed.
3. **Sent**
   LOA sent for E-Signature (DocuSign).
4. **Partially Signed**
   LOA signed by one of the multiple signers available.
5. **Pending Data**
   LOA signed by all parties and PCR is awaiting data from Custodian/Manager.
6. **Cancelled**
   LOA process is stopped due to error OR change.
7. **Acknowledged**
   LOA accepted by the Custodian/Manager.
8. **Declined**
   LOA has been declined by a signer(s).
9. **Rejected**
   LOA declined by Custodian / Manager.
10. **Expired**
    LOA voided after no activity for 6 months by DocuSign.
11. **Active**
    PCR is receiving data for account(s) covered in LOA.
12. **Revoked**
    LOA is revoked after being Active (all accounts).

FAQs

Frequently Asked Questions

1. **Are DocuSign envelopes encrypted? Does PCR or DocuSign send the LOA emails?**
   DocuSign protects the highly confidential information within the LOA by encrypting and ensuring every document is tamper-evident. The LOA emails are sent directly from DocuSign.

2. **Is it possible to have multiple LOAs sent in a hybrid Print & Sign / E-Signature situation?**
   No, you cannot use a hybrid of the two workflows at any point. For DocuSign, if any signer declines to sign via E-Signature, the whole process will be voided immediately and all parties would be notified.

3. **What happens when the Custodian/Manager rejects the DocuSign E-Signature LOA?**
   When rejected, all parties will be notified via email. The Custodian/Manager is required to provide a reason for the rejection, which will help the Support Team to remedy the issue and provide a solution (i.e. new LOA, wrong signer, etc..).

4. **Why are my Print / Send LOA options greyed out in the Preview LOA view?**
   After requesting a new Custodian/Manager, your Support Team reviews for accuracy and completes the review in a 4-hr turnaround. During this time, you are unable to print or send an LOA. Once approved, you will be notified and resume the LOA process.

5. **Am I able to make changes to an LOA that was sent via E-Signature / DocuSign?**
   No. The user will have to cancel the DocuSign in process. Once cancelled, the original Docusign envelope is voided and the status of the LOA will revert back to the previous state where the user will be able to update the information as need and will be able to resend the DocuSign LOA.

6. **How many LOAs will my client receive if they have multiple accounts?**
   If the accounts are under the same Custodian/Manager, Account/Investor Name, and Signer(s), they will be grouped together under one LOA .
   If the accounts do not share the same information stated above, separate LOAs will be sent.

7. **Where are my signed LOAs stored where I may access them?**
   Signed LOAs are stored and can be viewed in the Authorizations or Account Enrollments pages in the Enrollment Tool.

8. **The Custodian/Manager has not approved / rejected the LOA. What next steps should I take to complete the process?**
   We recommend contacting the Custodian/Manager contact ahead of time to expect the DocuSign email. It is possible the email from DocuSign may have landed in their spam / junk folder or are not comfortable accessing the link within the email.

9. **May I password protect a DocuSign LOA before sending to a signer?**
   DocuSign does not support files with password security enabled. To send a file with password security, remove the security setting before uploading the file.

Thank You

Please Contact Your Support Representative With Questions or Clarifications