



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

The screenshot shows the 'Enroll a Brokerage Account' form. At the top, there are 'Cancel' and 'Save' buttons. A red asterisk indicates required fields. The form is divided into several sections:

- Custodian:** A dropdown menu with 'Goldman Sachs Private Wealth Management' selected. Callout 1 points to this field.
- Custodian Contacts:** A dropdown menu with 'John Wayne' selected. Callout 2 points to this field.
- Account Number:** A text field with '416-7777-9' entered. Callout 3 points to this field. A sample number '111-2222-3' is shown next to it. Callout 4 points to the 'Override Mask' checkbox.
- Account Name:** A text field with 'Test Armstrong Irrevocable Trust' entered. Callout 6 points to this field.
- Account Signers:**
 - Signer 1 Name:** A text field with 'Neil Armstrong TEST' entered. Callout 7 points to this field.
 - Capacity 1:** A dropdown menu with 'Authorized Signatory' selected. Callout 8 points to this field.
 - Signer 2 Name:** An empty text field.
 - Capacity 2:** A dropdown menu with 'Select...' selected.
- Other Details:**
 - Firm Advisor Id:** An empty text field.
 - Firm Relationship Id:** An empty text field.

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

Enroll a Brokerage Account

Custodian Indicates required field

Goldman

Goldman Sachs Private Wealth Management

Account Signers

Other Details

Account Number

Account Name

Signer 1 Name

Capacity 1

Firm Advisor Id

Firm Relationship Id

Search Custodian

gold

Select	Custodian	Type	Status	E-Signature	Verified	Require LOA	Sample Account ...
<input type="radio"/>	Goldman	Custodian	Requested	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
<input type="radio"/>	Goldman	Custodian	Requested	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
<input checked="" type="radio"/>	Goldman Sachs Private Wealth Management	Custodian	Active	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	111-22222-3

Unable to Identify Custodian?

Previous Page 1 of 1 10 rows Next

Required Fields

- 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.
- 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.
- 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.
- 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

Enroll a Brokerage Account

Search Custodian

Indicates required field

Select	Custodian	Type	Status	E-Signature	Verified	Require LOA	Sample Account...
<input type="radio"/>	Gardner, Russo & Gardner	Custodian	Active	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ABC-012367
<input type="radio"/>	GBM International	Custodian	Active	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ABC-012367
<input type="radio"/>	Geneos Wealth Management, Inc.	Custodian	Active	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ABC-012367
<input type="radio"/>	Genworth Financial Securities	Custodian	Active	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ABC-012367
<input type="radio"/>	Gibraltar Private Bank & Trust	Custodian	Active	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
<input type="radio"/>	Gilder, Gagnon Howe & Co.	Custodian	Active	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	X12-456789
<input type="radio"/>	Gifford Securities	Custodian	Active	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ABC-012367
<input type="radio"/>	Girard Securities	Custodian	Active	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ABC-012367
<input type="radio"/>	Global Investor Services	Custodian	Active	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ABC-012367
<input type="radio"/>	GMS Group	Custodian	Active	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ABC-012367

1 Unable to Identify Custodian?

Enroll a Brokerage Account

Request New Custodian

Indicates required field

If you were unable to identify a Custodian, Institution or Manager in our known reporting sources you can request a new source here by providing as much information as you have and continue with your account enrollment. Our team will research and confirm the information to complete your enrollment.

2

* Custodian/Institution Name:

* Contact First Name:

* Contact Last Name:

* Phone: (Required for Print LOA) OR * Email: (Required for E-signature/Docusign)

Address:

City:

State:

Country:

Select...

Select...

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

Enroll a Brokerage Account

Custodian (Indicates required field)

Goldman Sachs Private Wealth Management

Custodian Contacts (Indicates required field)

John Wayne

Account Signers

Other Details

Firm Advisor Id

Firm Relationship Id

Authorization will be sent to the client and then to the Advisor contact you specify at Goldman Sachs. Once accepted the Advisor will add accounts to our daily feed. Please pay special attention to the accuracy of the account number.

Account Number (Indicates required field) Sample: 111-22222-3

Account Name (Indicates required field)

Capacity 1 (Indicates required field) Select...

Add Custodian Contact

Enter the information for the contact at the Advisor who is responsible for accepting the authorization.

Company (Indicates required field)

Title (Indicates required field)

First Name (Indicates required field) John

Last Name (Indicates required field) Wayne

Phone (Required for Print LOA) 212-235-7777

Email (Required for E-signature/DocuSign) jwayne@pcrinsights.com

OR

Cancel Save

Show Additional Information

Required Fields

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

The screenshot shows the 'Enroll a Brokerage Account' form. At the top right are 'Cancel' and 'Save' buttons. A red asterisk indicates required fields. The form includes sections for 'Custodian' (Goldman Sachs Private Wealth Management), 'Custodian Contacts' (John Wayne), 'Account Signers' (Signer 1 Name), and 'Other Details' (Firm Advisor Id, Firm Relationship Id). The 'Account Number' field is highlighted with a green box and labeled '1'. The 'Sample: 111-22222-3' and 'Override Mask' fields are highlighted with a green box and labeled '2'. The 'Bulleted List' icon is highlighted with a green box and labeled '3'.

The screenshot shows the 'Enroll a Brokerage Account' form with the 'Add Multiple Accounts' modal open. The modal has a 'Save' button and a text area for pasting account numbers. The text area contains the example '416-77777-9 416-77777-7 416-77779-3'. A green box highlights the modal and is labeled '3'. The background form is dimmed, showing the 'Custodian' (Goldman Sachs Private Wealth Management), 'Custodian Contacts' (John Wayne), 'Account Signers' (Signer 1 Name: Neil Armstrong TEST, Signer 2 Name), and 'Other Details' sections.

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

Enroll a Brokerage Account Cancel Save

* Indicates required field

*** Custodian**
Goldman Sachs Private Wealth Management

*** Custodian Contacts**
John Wayne

*** Account Number** Sample: 111-22222-3 Override Mask ☰
111-33333-7

*** Account Name** 1
TEST Irrevocable Trust

Account Signers

*** Signer 1 Name**

Capacity 1
Select...

Other Details

Firm Advisor Id

Firm Relationship Id

Required Fields

1. Account Name

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

Adding Signer(s): Existing / New

Enroll a Brokerage Account

Cancel Save

* Indicates required field

* Custodian

Goldman Sachs Private Wealth Management

* Custodian Contacts

John Wayne

Account Signers

* Signer 1 Name

Capacity 1

Select...

Search Signer

Arm

Select Contact Address Title Company Email

Armstrong TEST, Neil samold@pcrsights.com

Add Signer

Cancel Save

* Indicates required field

Company Title

* First Name Last Name

Neil Armstrong TEST

* Phone (Required for Print LOA) * Email (Required for E-signature/Docusign)

212-258-1594 OR armstrong@test.com

Show Additional Information

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

The screenshot displays the 'Enroll a Brokerage Account' form. The 'Capacity 1' dropdown menu is open, showing the following options: Assistant Secretary & Treasurer (highlighted in blue), Authorized Agent, Authorized Signatory, and Chairman. A green box highlights the dropdown menu, and a blue box with the number '1' is positioned above it. The form includes fields for 'Goldman Sachs Private Wealth Management', 'John Wayne', 'Account Number' (111-33333-7), 'Account Name' (TEST Irrevocable Trust), 'Signer 1 Name' (Neil Armstrong TEST), 'Signer 2 Name', and 'Firm Advisor Id'.

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

Enroll a Brokerage Account

Cancel Save

Custodian: Goldman Sachs Private Wealth Management

Custodian Contacts: John Wayne

Account Signers: Neil Armstrong TEST

Other Details: Firm Advisor Id, Firm Relationship Id

Account Number: 416-77777-9

Account Name: Test Armstrong Irrevocable Trust

Capacity 1: Authorized Signatory

Capacity 2: Select...

1

Edit Account

Copy New Preview Cancel Save

Custodian: Goldman Sachs Private Wealth Management

Custodian Contacts: John Wayne

Account Signers: Neil Armstrong TEST

Other Details: Firm Advisor Id, Firm Relationship Id

Account Number: ###-####-9

Account Name: T*** ***** Trust

Capacity 1: Authorized Signatory

Capacity 2: Select...

2

Required Fields

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

Preview LOA

Test Armstrong Irrevocable Trust

John Wayne
Goldman Sachs
410-678-0987
samold@pcrinsights.com

Date: 04/21/2020
Investment Accounts: 416-77777-9

RE: View Only Authorization to Share My Investment Account Data

Dear Sir/Madame,

I/we hereby request that you arrange for information regarding the above referenced Investment Accounts managed or custodied by you to our authorized data processor:

Private Client Resources, LLC (PCR) 203.762.9006 (Phone)
Attn: Operations Department 203.286.1771 (Fax)
187 Danbury Road, Suite 202 operations@privateclientresources.net
Wilton, CT 06897 <https://www.pcrinsights.com/privacy>

Specifically, I/we authorize you to share as quickly as convenient the following information for the most recent reporting period and on an ongoing basis and as applicable:

- Account Details, Investment Transactions, Tax Lot Information, Capital Calls/Distributions, Balances, Information about the securities I am invested and investment performance.

In order of preference, please provide this information:

1. Via direct electronic feed if you currently deliver this information using this method.
2. Via web site access that does not require sharing my username and password. In this case, that you provide PCR username and password credentials it can use to access my information, if they do not already have access to your web platform.
3. Via email transmission of electronic versions all correspondence to above email address.
4. Via other methods including fax, express mail services or postal service.

I further authorize PCR to interact with designated representatives of your firm to coordinate the delivery of my information or to request clarifications of delivered information on an ongoing basis. This authorization is valid until any of the below signatories or PCR informs you in writing that it is no longer in effect.

Thank you for your assistance. Please feel free to contact me directly with any clarifying questions.

Sincerely,

Neil Armstrong TEST
Authorized Signatory

Account
416-77777-9
Goldman Sachs Private Wealth Management
Test Armstrong Irrevocable Trust

Signers
Neil Armstrong TEST

Delivery
A Letter of Authorization for this account has not been registered as delivered
The Custodian/Manager has indicated they will accept the following:
☐ Signed Document as PDF
☐ E-Signature

Send Print

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)

The screenshot shows the 'Edit Account' form. At the top left, there is a home icon and the text 'Edit Account'. To its right is an 'Eye' icon, which is highlighted by a green box with a blue '1' callout. Below this, there are dropdown menus for 'Custodian' (Goldman Sachs Private Wealth Management) and 'Custodian Contacts' (John Wayne). To the right of these is a search icon. Below the search icon is a text area for 'Account Number' with a sample '111-22222-3' and an 'Override Mask' button. Below that is a text area for 'Account Name' with the text 'Test Armstrong Irrevocable Trust'. A blue '1' callout is next to the 'Account Name' field. Below these are sections for 'Account Signers' (Signer 1 Name: Neil Armstrong TEST, Capacity 1: Authorized Signatory) and 'Other Details' (Firm Advisor Id, Firm Relationship Id). At the top right, there are buttons: Copy, New, Preview, Cancel, and Save.

The screenshot shows the 'Edit Account' form. At the top right, there are buttons: Copy, New, Preview, Cancel, and Save. The 'Copy' button is highlighted by a green box with a blue '2' callout. Below the buttons, there is a red asterisk icon and the text 'Indicates required field'. Below this, there are dropdown menus for 'Custodian' (Goldman Sachs Private Wealth Management) and 'Custodian Contacts' (John Wayne). To the right of these is a search icon. Below the search icon is a text area for 'Account Number' with a sample '111-22222-3' and an 'Override Mask' button. Below that is a text area for 'Account Name' with the text 'Test Armstrong Irrevocable Trust'. A blue '2' callout is next to the 'Account Name' field. Below these are sections for 'Account Signers' (Signer 1 Name: Neil Armstrong TEST, Capacity 1: Authorized Signatory) and 'Other Details' (Firm Advisor Id, Firm Relationship Id).

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)

The screenshot shows the 'Edit Account' form with the following fields and options:

- Custodian:** Goldman Sachs Private Wealth Management
- Custodian Contacts:** John Wayne
- Account Number:** 416-77777-9 (Sample: 111-22222-3)
- Account Name:** Test Armstrong Irrevocable Trust
- Authorization Status:** PRINTED. A dropdown menu is open, showing options: NEW and CANCEL. A green box highlights the dropdown menu, and a blue box with the number '1' is next to it.
- Account Signers:** Neil Armstrong TEST
- Authorized Signatory:** (Empty field)

A 'Cancel' button is located in the top right corner. A red asterisk indicates required fields.

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

Enroll an Account

Select the type of account(s) to enroll:

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

Alternative Investments
Investments in Hedge Funds, Private Equity, Real Estate, Venture Capital, Limited Partnerships and Business Interests.

By enrolling an account in this system, you are initiating an automated process that will capture account/owner information. A request to approve will be transmitted, resulting in the sharing of account information with our approved aggregator.

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

The screenshot shows the 'Enroll an Alternative Account' form. It includes fields for Manager (1), Fund (2), Manager Contact (3), Investor ID (4), Investor Name (4), Account Signers (5), Capacity 1 (6), Capacity 2, and Other Details (Firm Advisor ID, Firm Relationship ID). The form is pre-populated with 'ALTEGRIS ADVISORS, LLC' for Manager, 'ALTEGRIS MULTI-STRATEGY FUND LP' for Fund, 'Dan Romanello' for Manager Contact, 'DR Family Revocable Trust' for Investor Name, and 'David Rey' for Signer 1 Name. The Capacity 1 dropdown is set to 'Authorized Signatory'. A red asterisk indicates required fields.

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

The screenshot shows the 'Enroll an Alternative Account' interface. A 'Search Manager' modal is open, displaying search results for 'ALTEGRIS ADVISORS, LLC'. The modal includes a search bar, a table of results, and a 'Previous'/'Next' navigation bar. The table has columns: Select, Manager, Type, Status, E-Signature, Verified, Require LOA, and Sample Account Nu... The first result is 'ALTEGRIS ADVISORS, Manager' with a status of 'Active'. The modal also features a link 'Unable to Identify Fund Manager?'.

Select	Manager	Type	Status	E-Signature	Verified	Require LOA	Sample Account Nu...
<input type="checkbox"/>	ALTEGRIS ADVISORS, Manager		Active	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	

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

The screenshot shows the 'Request New Manager' form within the 'Edit Account' modal. The form is titled 'Request New Manager' and includes a 'Cancel' and 'Save' button. A note states: 'If you were unable to identify a Custodian, Institution or Manager in our known reporting sources you can request a new source here by providing as much information as you have and continue with your account enrollment. Our team will research and confirm the information to complete your enrollment.' The form fields are as follows:

- Fund Manager:** ALTEGRIS ADVISORS, LLC
- Fund Name:** ALTEGRIS MULTI-STRATEGY FUND LP
- Fund Type:** Private Equity Fund (dropdown)
- Contact First Name:** Dan
- Contact Last Name:** Romanello
- Phone: (Required for Print LOA):** 203-258-7412
- Email: (Required for E-signature/Docusign):** dromanello@test.com
- Address:** 187 Danbury Rd, Suite 202
- City:** Wilton
- State:** Connecticut (dropdown)
- Country:** United States of America (dropdown)
- Postal:** 06897

Fields marked with a red asterisk (*) indicate required fields. An 'OR' is shown between the Phone and Email fields, indicating that either is required.

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

Enroll an Alternative Account

Cancel Save

* Indicates required field

* Manager

* Fund **1**

ALTEGRIS MULTI-STRATEGY FUND LP

ALTEGRIS MULTI-STRATEGY FUND LTD

Investor ID

* Investor Name

Account Signers

* Signer 1 Name

Capacity 1

Signer 2 Name

Capacity 2

Other Details

Firm Advisor Id

Firm Relationship Id

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

The screenshot shows a web application interface for enrolling an alternative account. A modal window titled "Request New Fund" is open, allowing a user to request a new fund not listed in the previous dropdown. The form includes the following fields:

- Manager Name:** A text field containing "ALTEGRIS ADVISORS, LLC".
- Fund Name:** A text field containing "Altegris Winton Futures Fund, LP".
- Fund Type:** A dropdown menu with "Private Equity Fund" selected.
- Platform or Business Unit (e.g. Private Bank, etc.):** A text field containing "ALTEGRIS ADVISORS, LLC".
- Comments/Other Information:** A text area.
- Contact First Name:** A text field containing "Dan".
- Contact Last Name:** A text field containing "Romanello".

Red asterisks (*) indicate required fields. A green box highlights the "Fund Name" and "Fund Type" fields, with a blue box highlighting the "Fund Type" dropdown. A yellow box highlights the "Manager Name" field. A blue box with the number "1" is positioned over the "Fund Name" field.

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

The image shows two overlapping screenshots from a web application. The top screenshot is titled 'Enroll an Alternative Account' and contains three dropdown menus: 'Manager' (selected: ALTEGRIS ADVISORS, LLC), 'Fund' (selected: ALTEGRIS MULTI-STRATEGY FUND LP), and 'Manager Contact' (selected: Select...). A green box highlights the 'Manager Contact' dropdown, with a blue '1' next to it. A blue '2' is next to the '+' icon to the right of the dropdown. The bottom screenshot is a modal titled 'Add Manager Contact'. It contains several input fields: 'Company', 'Title', 'First Name' (filled with 'Dan'), 'Last Name' (filled with 'Romanello'), 'Phone' (filled with '203-210-0031'), and 'Email' (filled with 'dromanello@privateclientresources.net'). A green box highlights the 'First Name', 'Last Name', 'Phone', and 'Email' fields, with a blue '3' next to it. A legend indicates that a red asterisk (*) denotes a required field. Buttons for 'Cancel' and 'Save' are at the top right of the modal.

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

The image shows a two-step process for adding a signer. The first step, 'Enroll an Alternative Account', includes dropdowns for Manager (ALTEGRIS ADVISORS, LLC), Fund (ALTEGRIS MULTI-STRATEGY FUND LP), and Manager Contact (Select...). The second step, 'Add Signer', is a modal with fields for Company, Title, First Name (David), Last Name (Rey), Phone (203-210-0039), and Email (drey@pcrsights.com). A 'Show Additional Information' link is at the bottom right. Numbered callouts 1 through 4 highlight key actions: 1. Signer 1 Name field, 2. Search Contact field, 3. First Name/Last Name fields, and 4. Show Additional Information link.

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

The screenshot shows a web form titled "Enroll an Alternative Account". It includes fields for "Manager" (ALTEGRIS ADVISORS, LLC), "Fund" (ALTEGRIS MULTI-STRATEGY FUND LP), "Manager Contact" (Select...), "Investor ID", "Investor Name", "Signer 1 Name", and "Capacity 1". A dropdown menu for "Capacity 1" is open, showing options: "Authorized Signatory", "Assistant Secretary & Treasurer", "Authorized Agent", "Authorized Signatory" (highlighted in blue), and "Chairman".

Enroll an Alternative Account

Cancel Save

* Indicates required field

* Manager
ALTEGRIS ADVISORS, LLC

* Fund
ALTEGRIS MULTI-STRATEGY FUND LP

* Manager Contact
Select...

Account Signers

* Signer 1 Name

Capacity 1 **1**

Select...

Other Details

Firm Advisor Id

Capacity 1

Authorized Signatory

Assistant Secretary & Treasurer

Authorized Agent

Authorized Signatory

Chairman

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

1 Account Enrollments

Select	Enrollment Date	Enrollment Status	Account Number	Custodian/Manager	Primary Signer	LOA Create Date	LOA Status	LOA Change Date
	04/03/20, 09:30:19 AM	ENROLLING	416-77777-9	Goldman Sachs Private	Neil Armstrong TEST			

2 Edit Account

Cancel Copy New **Preview** Save

3 Preview LOA

Test Armstrong Irrevocable Trust

John Wayne
Goldman Sachs
416-777-9987
sarmold@pcmsigns.com

Date: 04/26/2020
Investment Accounts:
416-77777-9

RE: View Only Authorization to Share My Investment Account Data

Dear Sir/Ma'am,

(We hereby request that you arrange for information regarding the above referenced investment Accounts managed or custodied by you to our authorized data processor:

Private Client Resources, LLC (PCR)
Asset Operations Department
187 Danbury Road, Suite 202
Wilton, CT 06897

203.362.8856 (Phone)
203.286.2772 (Fax)
operations@privateclientresources.net
https://www.pcrsigns.com/privacy

Specifically, I/we authorize you to share as quickly as convenient the following information for the most recent reporting period and on an ongoing basis and as applicable:

- Account Details, Investment Transactions, Tax Lot Information, Capital Gains/Losses, Dividend Information about the securities I am invested and investment performance.

In order of preference, please provide this information:

- Via direct electronic feed if you currently deliver this information using this method.
- Via web site access that does not require sharing my username and password and password credentials I can use to access my information, if they do not all.
- Via email transmission of electronic versions all correspondence to above email.
- Via other methods including fax, express mail services or postal service.

I further authorize PCR to interact with designated representatives of your firm to coordinate request clarifications of delivered information on an ongoing basis. This authorization PCR informs you in writing that it is no longer in effect.

Thank you for your assistance. Please feel free to contact me directly with any clarification.

Sincerely,

Neil Armstrong TEST
Authorized Signatory

4 Print LOA

Confirming this option will generate a PDF of the previewed document and store it with the account. It will also be downloaded to your desktop for either printing and signature or to be emailed to the signers. You will be responsible for updating enrollment status manually.

WARNING: WHEN AVAILABLE E-SIGNATURE PROVIDES A MORE SECURE AND STREAMLINED SIGNER EXPERIENCE


Cancel Print

Print & Sign

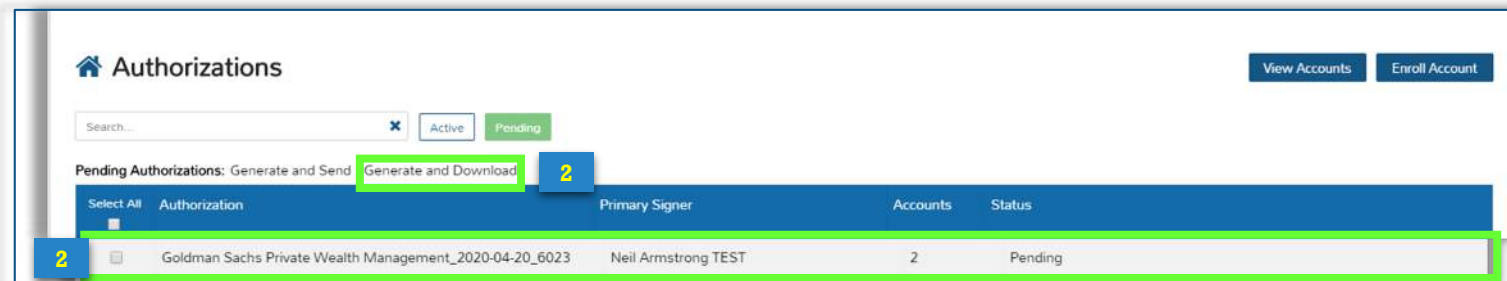
- 1. Print an LOA for Manual (Wet) Signature**
Once the account is enrolled, the user will locate and choose the account under the **Account Enrollments** view. Click on the **Pencil** icon to open the Edit Account view.
- 2. Edit an Account**
Once the user is redirected to the **Edit Account** view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



Select	Enrollment Date	Enrollment Status	Account Number	Custodian/Manager	Primary Signer	LOA Create Date	LOA Status	LOA Change Date
	04/03/20, 09:30:19	ENROLLING	416-77777-9	Goldman Sachs Private Wealth Management	Neil Armstrong TEST	04/20/20, 12:44:15 PM	PRINTED	04/20/20, 01:04:42



Select All	Authorization	Primary Signer	Accounts	Status
	Goldman Sachs Private Wealth Management_2020-04-20_6023	Neil Armstrong TEST	2	Pending

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)

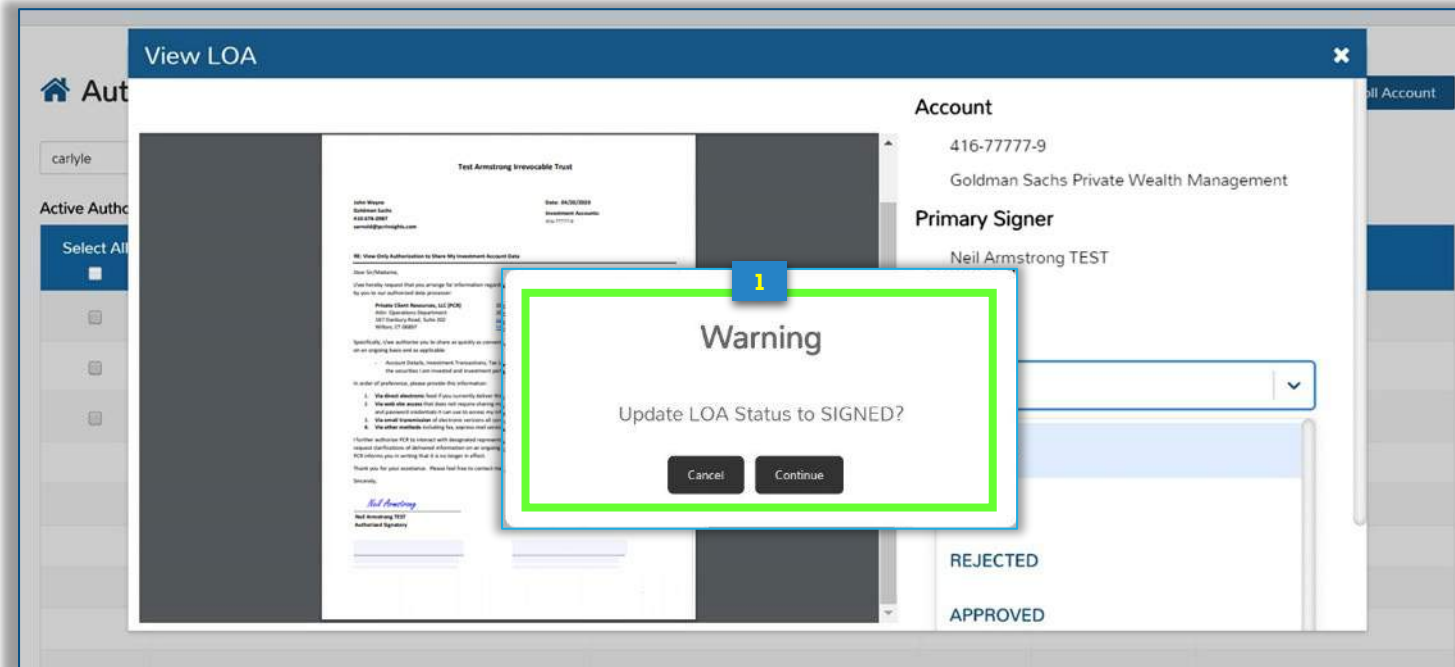
The screenshot shows the 'View LOA' modal for a 'Test Armstrong Irrevocable Trust'. The right-hand panel displays account details and the LOA status. The status is currently 'PRINTED'. A green box highlights the 'File' section, which contains the text 'After uploading a fully signed LOA change status to "Pending Data"' and a 'Choose File' button. A blue circle with the number '1' is placed over the 'Choose File' button.

The screenshot shows the 'View LOA' modal with the status dropdown menu open. The 'SIGNED' option is selected and highlighted with a green box. A blue circle with the number '2' is placed over the 'SIGNED' option. The dropdown menu also shows other options: 'NEW', 'SENT', 'REJECTED', and 'APPROVED'.

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)



Authorizations View Accounts Enroll Account

carlyle Active Pending

Active Authorizations: Download | Cancel

Select All	Authorization	Primary Signer	Accounts	Status	Last Change Date
<input checked="" type="checkbox"/>	CARLYLE INVESTMENT MANAGEMENT L.L.C._2020-02-18	Sunita Arnold	1	SIGNED	2/18/2020, 3:00 PM
<input type="checkbox"/>	CARLYLE INVESTMENT MANAGEMENT L.L.C._2020-02-18	David Rey	1	REJECTED	2/18/2020, 2:50 PM
<input type="checkbox"/>	CARLYLE INVESTMENT MANAGEMENT L.L.C._2020-02-18	David Rey	1	APPROVED	2/18/2020, 2:45 PM

A blue box with the number '2' points to the first row of the table, which is highlighted with a green border.

Print & Sign

- 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.
- 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

Account Enrollments

Select	Enrollment Date	Enrollment Status	Account Number	Custodian/Manager	Primary Signer	LOA Create Date	LOA Status	LOA Change Date
	02/18/20, 02:50:39 F	ENROLLING	CARLYLE ASIA STR	CARLYLE INVESTM	Sunita Arnold	02/18/20, 02:50:45 F	NEW	02/18/20, 02:50:45 F
	02/18/20, 02:22:10 F	ENROLLING	CARLYLE ENERGY I	CARLYLE INVESTM	David Rey	02/18/20, 02:26:36 F	REJECTED	02/18/20, 02:50:32 F
	02/18/20, 02:21:24 F	ENROLLED	CARLYLE ENERGY I	CARLYLE INVESTM	David Rey	02/18/20, 02:26:01 F	APPROVED	02/18/20, 02:45:30 F

Edit Account

Buttons: Cancel, Copy, New, **Preview**, Save

Preview LOA

Buttons: **Send**, Print, Save

Send LOA

Confirming this option will communicate the previewed document electronically to each of the named signers. Each signer will be given the opportunity to approve the document. Once all signers have authorized the LOA, it will be forwarded to the custodian/manager to authorize the transfer for account information. The document will be stored and retrievable.

Buttons: Cancel, **Send**

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

Account Enrollments

Search Account: Account Status: Signer: Custodian: Enrollment Date: Clear

1

Select	Enrollment D...	Enrollment S...	Account Number	Custodian/M...	Primary Signer	LOA Create ...	LOA Status	LOA Change ...
<input type="checkbox"/>	02/18/20, 02:22	NEW	CARLYLE ENERGY MEZZANINE OPPORTUNITIES FUNI	CARLYLE INVE:	David Rey			
<input type="checkbox"/>	02/18/20, 02:21	NEW	CARLYLE ENERGY MEZZANINE OPPORTUNITIES FUNI	CARLYLE INVE:	David Rey			

Account Enrollments

Search Account: Account Status: Signer: Custodian: Enrollment Date: Clear

2

Select	Enrollment Date	Enrollment Status	Account Number	Custodian/Manager	Primary Signer	LOA Create Date	LOA Status	LOA Change Date
<input type="checkbox"/>	02/18/20, 02:22:10 F	ENROLLING	CARLYLE ENERGY I	CARLYLE INVESTM	David Rey	02/18/20, 02:26:36 F	SENT	02/18/20, 02:27:58 F
<input type="checkbox"/>	02/18/20, 02:21:24 F	ENROLLING	CARLYLE ENERGY I	CARLYLE INVESTM	David Rey	02/18/20, 02:26:01 F	SENT	02/18/20, 02:26:15 F

Authorizations

Search: Active Pending

Active Authorizations: Download | Cancel

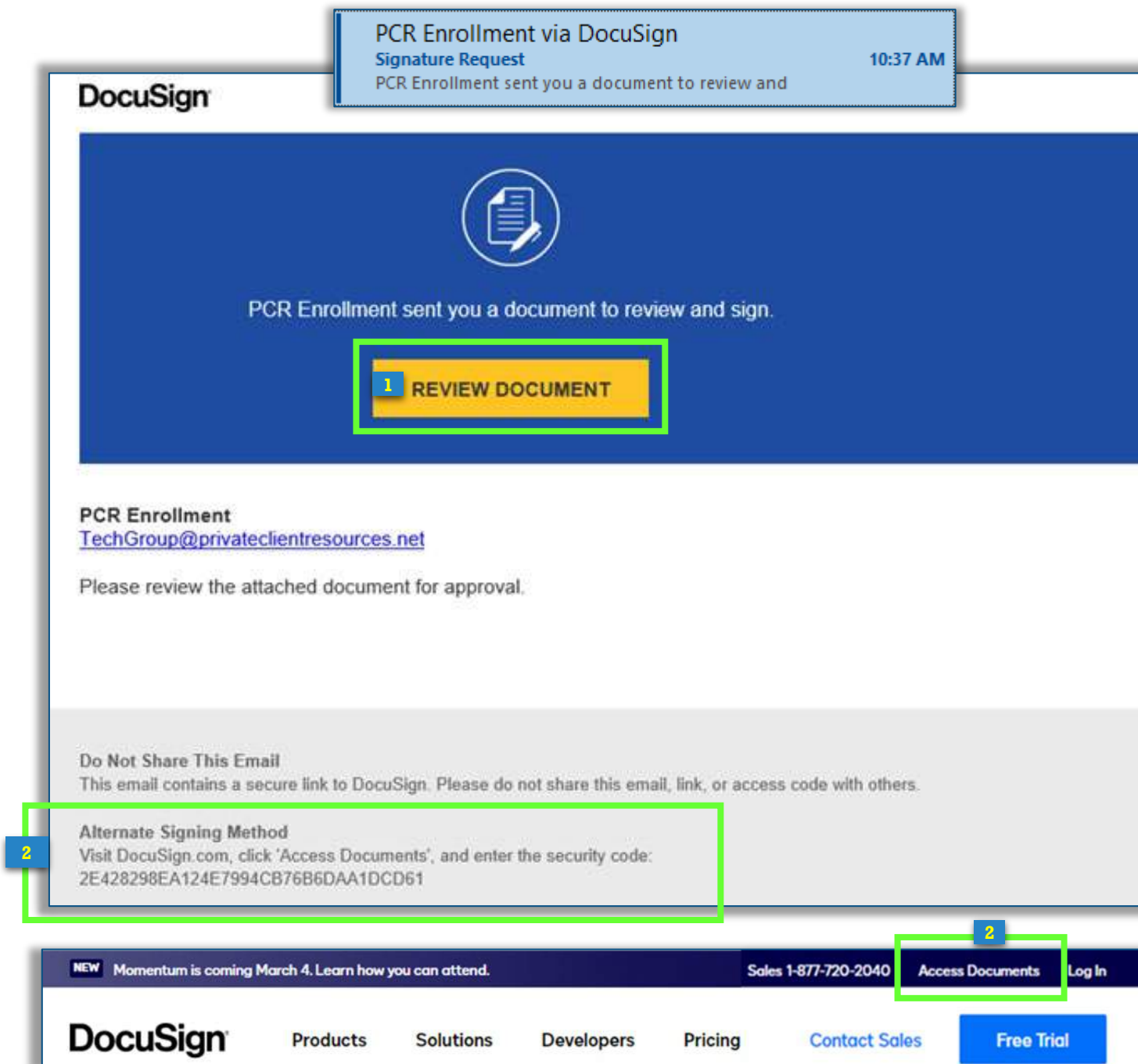
3

Select All	Authorization	Primary Signer	Accounts	Status	Last Change Date
<input type="checkbox"/>	CARLYLE INVESTMENT MANAGEMENT L.L.C._2020-02-18	David Rey	1	SENT	2/18/2020, 2:27 PM
<input type="checkbox"/>	CARLYLE INVESTMENT MANAGEMENT L.L.C._2020-02-18	David Rey	1	SENT	2/18/2020, 2:26 PM

DocuSign

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

Please Review & Act on These Documents

DocuSign

PCR Enrollment
Private Client Resources, LLC.

Please review the attached document for approval.

Please read the [Electronic Record and Signature Disclosure](#).

☐ I agree to use electronic records and signatures.

CONTINUE OTHER ACTIONS ▾

RE: View Only Authorization to Share My Investment Account Data

Dear Sir/Madam,

I/we hereby request that you arrange for information regarding the above referenced Investment Accounts managed or custodied by you to our authorized data processor:

Private Client Resources, LLC (PCR)
Attn: Operations Department
187 Danbury Road, Suite 202
Wilton, CT 06897

203.762.9006 (Phone)
203.286.1771 (Fax)
operations@privateclientresources.net
<https://www.pcrmlights.com/privacy>

Please Review & Act on These Documents

DocuSign

PCR Enrollment
Private Client Resources, LLC.

Please review the attached document for approval.

Please read the [Electronic Record and Signature Disclosure](#).

☒ I agree to use electronic records and signatures.

CONTINUE OTHER ACTIONS ▾

RE: View Only Authorization to Share My Investment Account Data

Dear Sir/Madam,

I/we hereby request that you arrange for information regarding the above referenced Investment Accounts managed or custodied by you to our authorized data processor:

Private Client Resources, LLC (PCR)
Attn: Operations Department
187 Danbury Road, Suite 202
Wilton, CT 06897

203.762.9006 (Phone)
203.286.1771 (Fax)
operations@privateclientresources.net
<https://www.pcrmlights.com/privacy>

Specifically, I/we authorize you to share as quickly as convenient the following information for the most recent reporting period and on an ongoing basis and as applicable:

- Account Details, Investment Transactions, Tax Lot Information, Capital Calls/Distributions, Balances, Information about the securities I am invested and investment performance.


In order of preference, please provide this information:

- Via direct electronic feed if you currently deliver this information using this method.
- Via web site access that does not require sharing my username and password. In this case, that you provide PCR username and password credentials it can use to access my information, if they do not already have access to your web platform.
- Via email transmission of electronic versions all correspondence to above email address
- Via other methods including fax, express mail services or postal service.

I further authorize PCR to interact with designated representatives of your firm to coordinate the delivery of my information or to request clarifications of delivered information on an ongoing basis. This authorization is valid until any of the below signatories or PCR informs you in writing that it is no longer in effect.

Thank you for your assistance. Please feel free to contact me directly with any clarifying questions.

Sincerely,

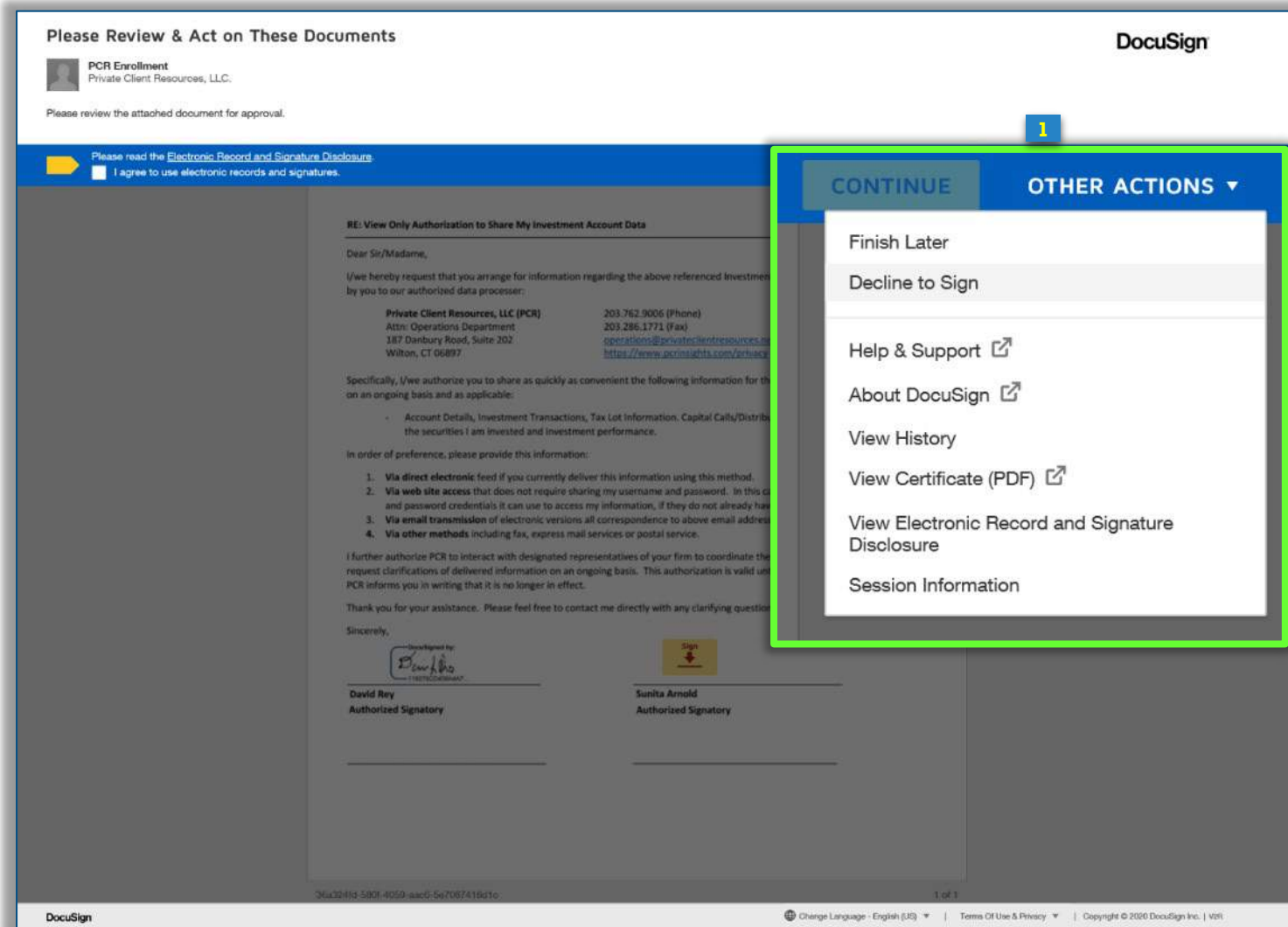


David Rey
Assistant Secretary & Treasurer

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

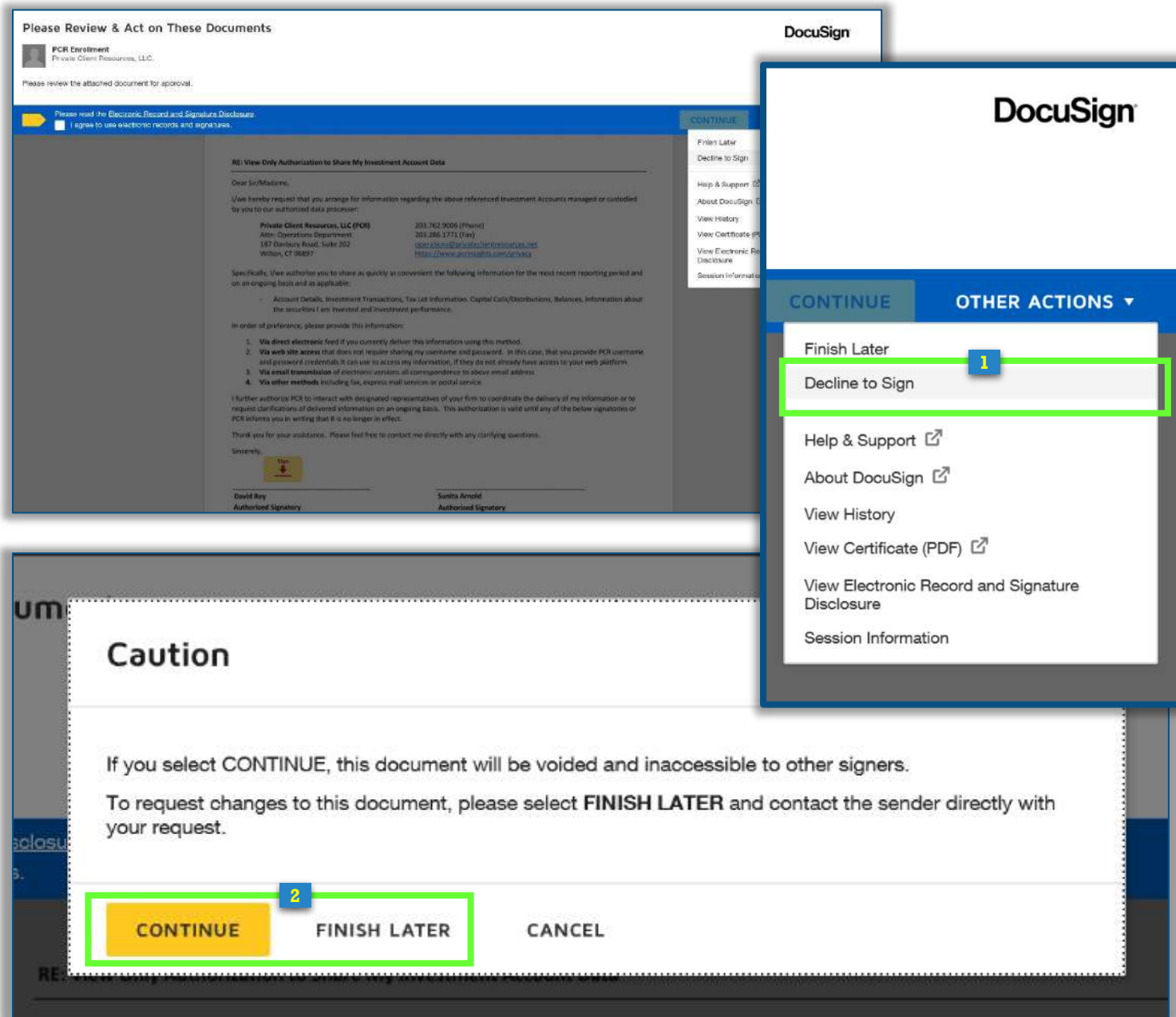
Finish Later: Click if not ready to complete the DocuSign E-Signature process.

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

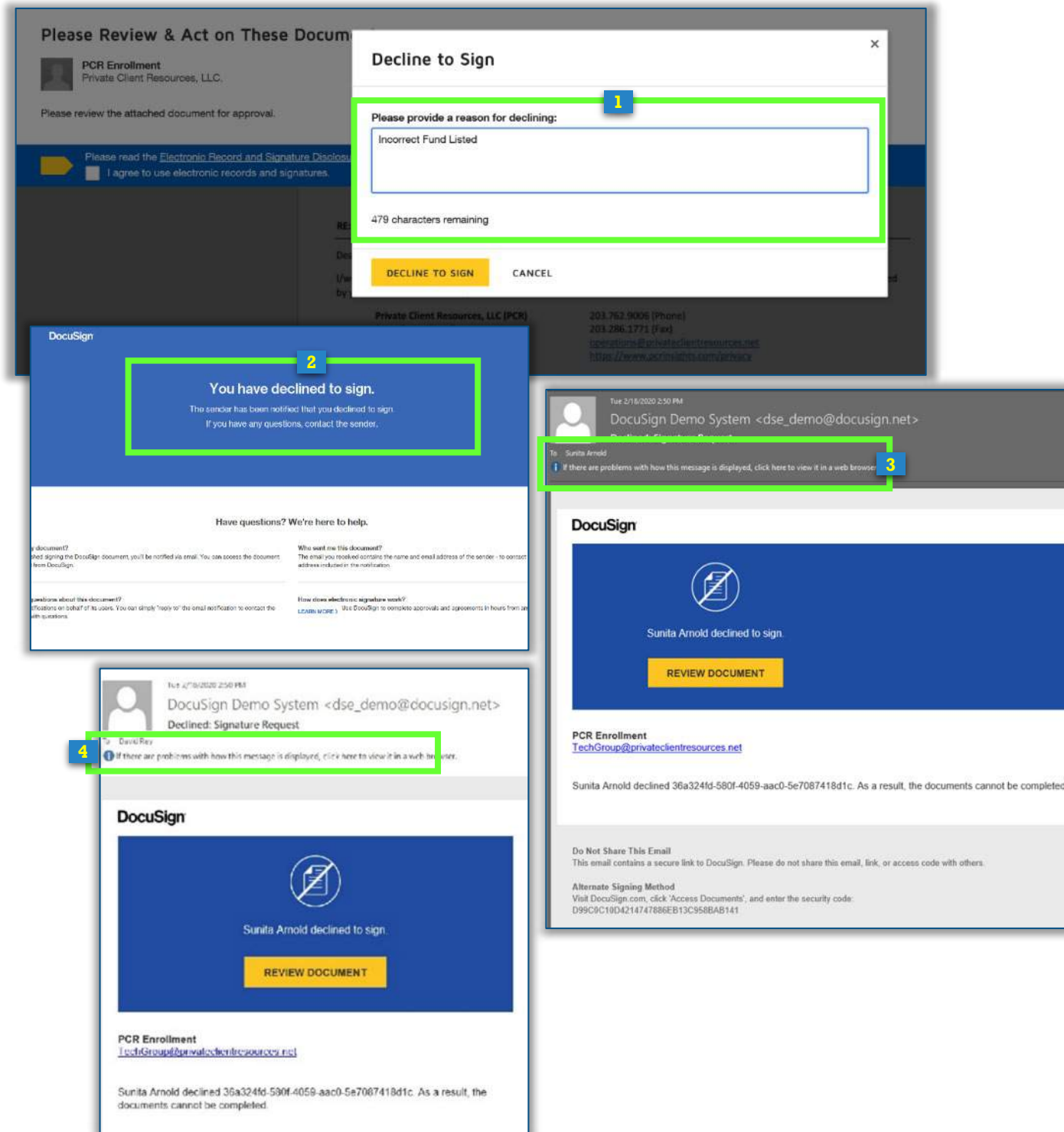
Once the signer(s) decide to decline to provide an E-Signature to the LOA, a modal will appear to confirm the decline and give a final warning notification before clicking on **Continue** to be prompted to the next confirmation screen.

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 void the DocuSign E-Signature process entirely for all signers.

DocuSign: Start LOA Review & Signature Process

Please review the documents below.

2 **START**

DocuSign Envelope ID: 890D00B-36F2-4E88-8CF2-F9A1DE074856

DR Family Revocable Trust

Dan Romanello
203-210-0031
dromanello@privateclientresources.net

Date: 02/18/2020
Investment Accounts:
CARLYLE ENERGY MEZZANINE OPPORTUNITIES
FUND | DR Family Revocable Trust

1

RE: View Only Authorization to Share My Investment Account Data

Dear Sir/Madame,

I/we hereby request that you arrange for information regarding the above referenced Investment Accounts managed or custodied by you to our authorized data processor:

Private Client Resources, LLC (PCR)
Attn: Operations Department
187 Danbury Road, Suite 202
Wilton, CT 06897

203.762.9006 (Phone)
203.286.1771 (Fax)
operations@privateclientresources.net
<https://www.pcrinsights.com/privacy>

Specifically, I/we authorize you to share as quickly as convenient the following information for the most recent reporting period and on an ongoing basis and as applicable:

- Account Details, Investment Transactions, Tax Lot Information, Capital Calls/Distributions, Balances, Information about the securities I am invested and investment performance.

In order of preference, please provide this information:

1. Via direct electronic feed if you currently deliver this information using this method.
2. Via web site access that does not require sharing my username and password. In this case, that you provide PCR username and password credentials it can use to access my information, if they do not already have access to your web platform.
3. Via email transmission of electronic versions all correspondence to above email address.
4. Via other methods including fax, express mail services or postal service.

I further authorize PCR to interact with designated representatives of your firm to coordinate the delivery of my information or to request clarifications of delivered information on an ongoing basis. This authorization is valid until any of the below signatories or PCR informs you in writing that it is no longer in effect.

Thank you for your assistance. Please feel free to contact me directly with any clarifying questions.

Sincerely, **Required - Sign Here**

3 **Sign**

David Rey

DocuSign Envelope ID: 890D00B-36F2-4E88-8CF2-F9A1DE074856

DR Family Revocable Trust

David Rey
Authorized Signatory

Sunita Arnold
Authorized Signatory

4 **Sign**

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

Select the sign field to create and add your signature.

Adopt Your Signature

Confirm your name, initials, and signature.

* Required

Full Name* David Rey Initials* DR

DRAW

DRAW YOUR SIGNATURE

By selecting Adopt and Sign, I agree that the signature and initials will be the electronic representation of my signature and initials for all purposes when I (or my agent) use them on documents, including legally binding contracts - just the same as a pen and paper signature or initial.

ADOPT AND SIGN CANCEL

Account Details, Investment Transactions, Tax Lot Information, Capital Calls/Distributions, Balances, Information about the securities I am invested and investment performance.

In order of preference, please provide this information:

Select the sign field to create and add your signature.

Adopt Your Signature

Confirm your name, initials, and signature.

* Required

Full Name* David Rey Initials* DR

DRAW

DRAW YOUR SIGNATURE

By selecting Adopt and Sign, I agree that the signature and initials will be the electronic representation of my signature and initials for all purposes when I (or my agent) use them on documents, including legally binding contracts - just the same as a pen and paper signature or initial.

ADOPT AND SIGN CANCEL

Account Details, Investment Transactions, Tax Lot Information, Capital Calls/Distributions, Balances, Information about the securities I am invested and investment performance.

In order of preference, please provide this information:

DocuSign

1. Adopt Your Signature

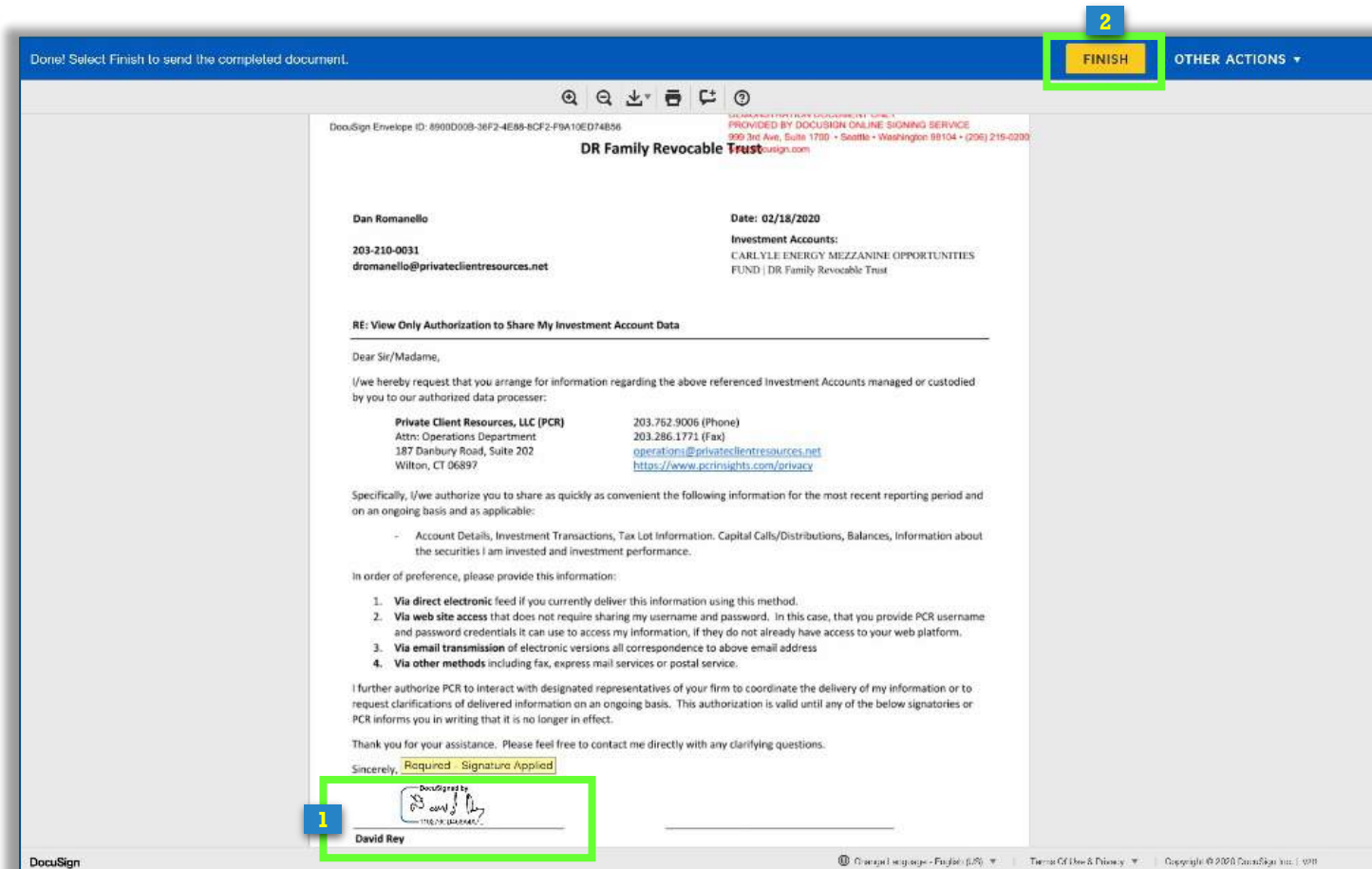
The signer(s) will confirm their name, initials, and signature by completing the following required fields:

- **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

document.

DocuSign

Save a Copy of Your Document

Sign up for a FREE DocuSign account today and sign all your documents electronically.

Email
drey@pcrinsight.com

Password

Confirm Password

Country
-- select --

By clicking the 'SUBMIT' button, you agree to the [Terms & Conditions](#) and [Privacy Policy](#).

1

SUBMIT NO THANKS

the securities I am invested and investment performance.

In order of preference, please provide this information:

FINISH OTHE

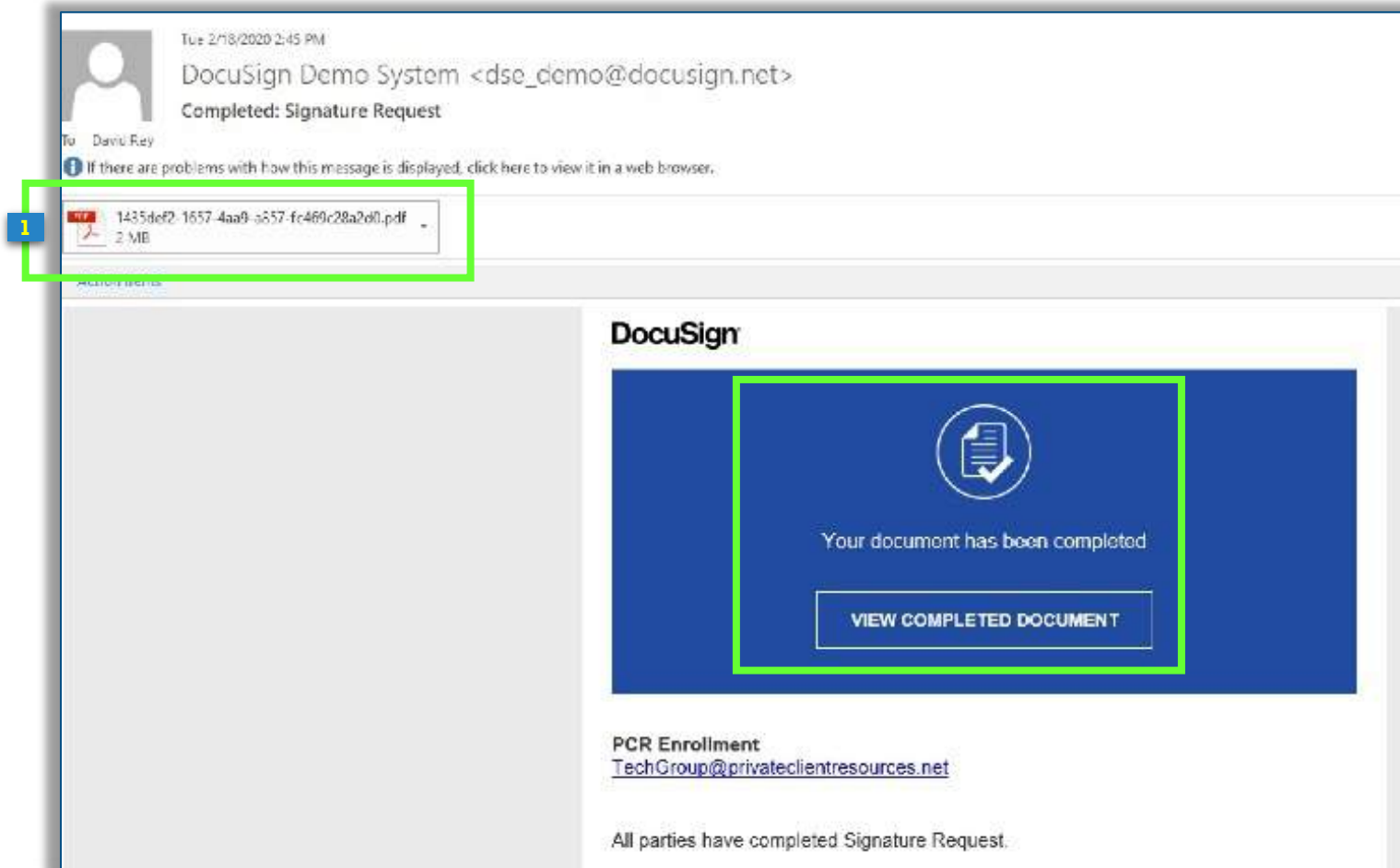
DocuSign

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

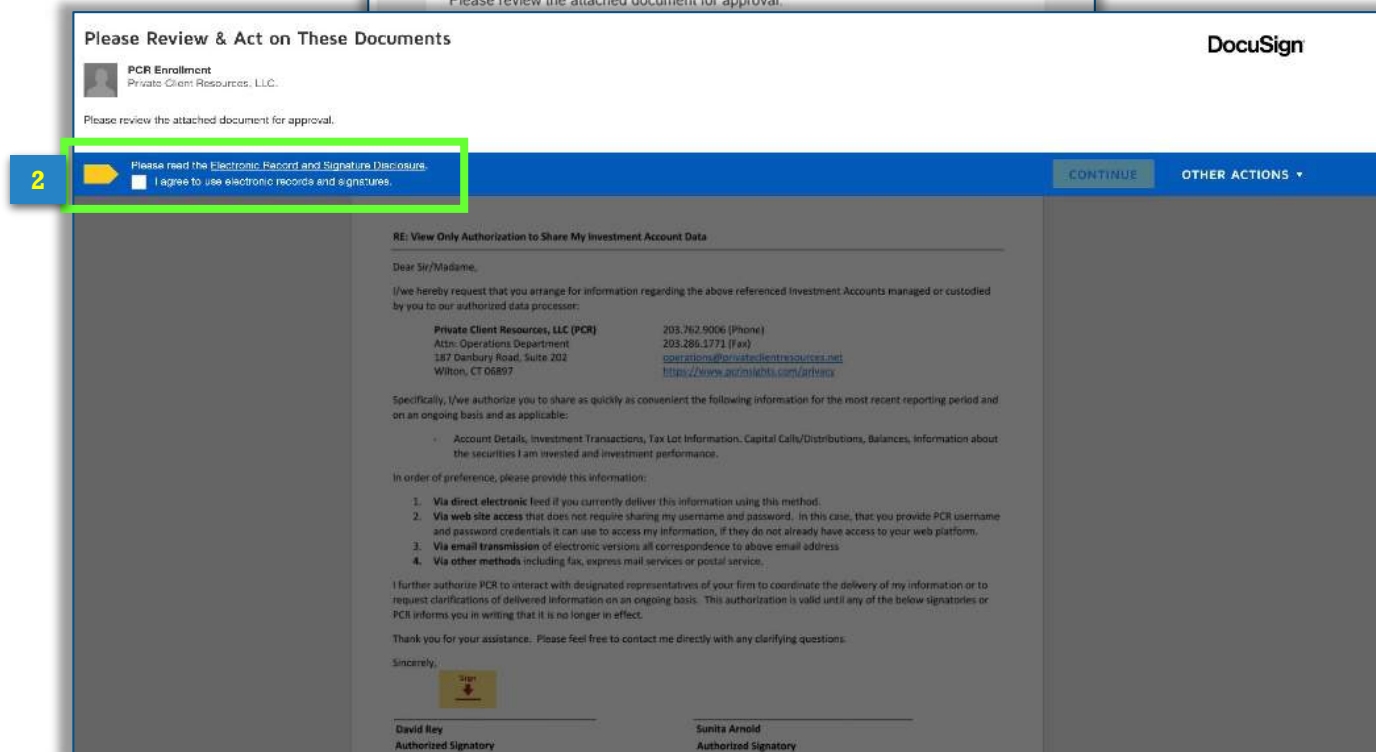
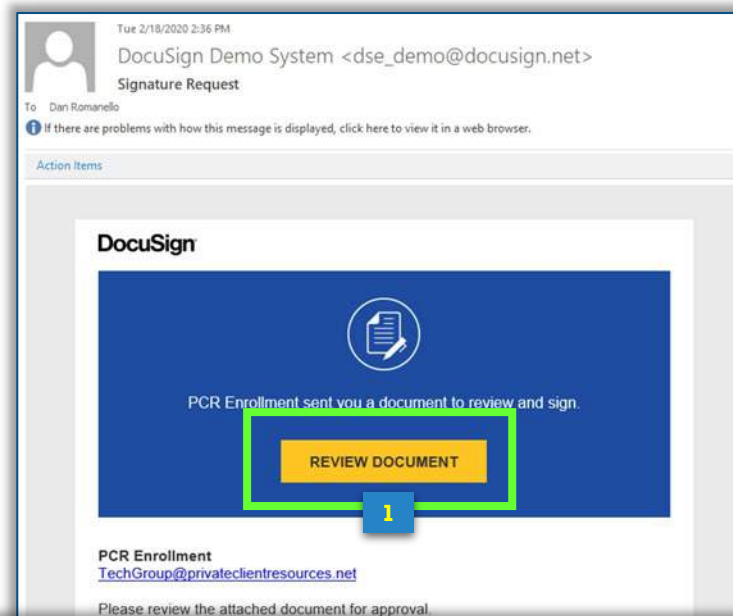


DocuSign

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)

The screenshot shows the DocuSign interface for reviewing a Letter of Authorization (LOA). The document is titled "DR Family Revocable Trust" and is dated 02/18/2020. The document content includes a request for authorization to share investment account data. The interface features a top navigation bar with a "START" button (callout 2) and a "FINISH" button (callout 4). The document content is divided into sections, with callout 1 highlighting the "View Only Authorization to Share My Investment Account Data" section. Callout 3 highlights the "Approve" and "Decline" buttons at the bottom of the document.

A close-up view of the "Approve" and "Decline" buttons, which are used to complete the review process. The buttons are located at the bottom of the document.

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.

Authorizations View Accounts Enroll Account

carlyle Active Pending

Active Authorizations: Download | Cancel

Select All	Authorization	Primary Signer	Accounts	Status	Last Change Date
<input type="checkbox"/>	CARLYLE INVESTMENT MANAGEMENT L.L.C._2020-02-18	Sunita Arnold	1	SIGNED	2/18/2020, 3:00 PM
<input type="checkbox"/>	CARLYLE INVESTMENT MANAGEMENT L.L.C._2020-02-18	David Rey	1	REJECTED	2/18/2020, 2:50 PM
<input type="checkbox"/>	CARLYLE INVESTMENT MANAGEMENT L.L.C._2020-02-18	David Rey	1	APPROVED	2/18/2020, 2:45 PM

Previous Page 1 of 1 10 rows Next

Account Enrollments Authorizations Enroll Account

Search Account Account Status Signer Custodian Enrollment Date Clear

Select	Enrollment Date	Enrollment Status	Account Number	Custodian/Manager	Primary Signer	LOA Create Date	LOA Status	LOA Change Date
	02/18/20, 02:22:10 PM	ENROLLING	CARLYLE ENERGY MI	CARLYLE INVESTMEN	David Rey	02/18/20, 02:26:36 PM	PARTIALLY SIGNED	02/18/20, 02:42:39 PM
	02/18/20, 02:21:24 PM	ENROLLING	CARLYLE ENERGY MI	CARLYLE INVESTMEN	David Rey	02/18/20, 02:26:01 PM	SIGNED	02/18/20, 02:36:41 PM



Account Enrollments & Authorizations Views

Account Enrollments View

Account Enrollments 1

Search Account 2 Account Status Signer Custodian Enrollment Date Clear 1 1

Select	Enrollment Date	Enrollment Status	Account Number	Custodian/Manager	Primary Signer	LOA Create Date	LOA Status	LOA Change Date
	04/21/20, 09:28:13 AM	ENROLLING	###-####-9	Goldman Sachs Private	Neil Armstrong TEST			
	04/20/20, 02:59:24 PM	ENROLLING	A***** * *	ALTEGRIS ADVISORS,	Neil Armstrong TEST			
	04/03/20, 09:30:19 AM	ENROLLING	###-####-9	Goldman Sachs Private	Neil Armstrong TEST	04/20/20, 12:44:15 PM	PRINTED	04/20/20, 01:04:42 PM
	03/30/20, 11:44:32 AM	ENROLLING	P#####4	J.P. Morgan Private Ba	Neil Armstrong TEST	03/30/20, 12:28:22 PM	NEW	03/30/20, 12:28:22 PM
	03/20/20, 02:17:54 PM	ENROLLING	###-####-#, ###-####	Goldman Sachs Private	Neil Armstrong TEST			
	03/20/20, 02:17:54 PM	ENROLLING	###-####-5	Goldman Sachs Private	Neil Armstrong TEST			
	03/20/20, 02:17:54 PM	ENROLLING	###-####-0	Goldman Sachs Private	Neil Armstrong TEST	04/20/20, 10:48:23 AM	SENT	04/20/20, 10:48:30 AM
	03/20/20, 08:35:22 AM	ENROLLING	E***** * *	LAZARD ASSET MANA	Neil Armstrong TEST	03/20/20, 08:39:12 AM	ACKNOWLEDGED	03/20/20, 08:43:14 AM

Account Enrollments 1

Search Account 3 Account Status Signer Custodian Enrollment Date Clear 4 1 1

Select	Enrollment Date	Enrollment Status	Account Number	Custodian/Manager	Primary Signer	LOA Create Date	LOA Status	LOA Change Date
	04/21/20, 09:28:13 AM	ENROLLING	416-77777-9	Goldman Sachs Private	Neil Armstrong TEST			
	04/20/20, 02:59:24 PM	ENROLLING	ALTEGRIS COS MULTI	ALTEGRIS ADVISORS,	Neil Armstrong TEST			
	04/03/20, 09:30:19 AM	ENROLLING	416-77777-9	Goldman Sachs Private	Neil Armstrong TEST	04/20/20, 12:44:15 PM	PRINTED	04/20/20, 01:04:42 PM
	03/30/20, 11:44:32 AM	ENROLLING	P34567654	J.P. Morgan Private Ba	Neil Armstrong TEST	03/30/20, 12:28:22 PM	NEW	03/30/20, 12:28:22 PM
	03/20/20, 02:17:54 PM	ENROLLING	232-77777-9, 123-5555	Goldman Sachs Private	Neil Armstrong TEST			
	03/20/20, 02:17:54 PM	ENROLLING	232-88888-5	Goldman Sachs Private	Neil Armstrong TEST			
	03/20/20, 02:17:54 PM	ENROLLING	232-66666-0	Goldman Sachs Private	Neil Armstrong TEST	04/20/20, 10:48:23 AM	SENT	04/20/20, 10:48:30 AM


















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)

Account Enrollments

Search Account Account Status Signer Custodian Enrollment Date Clear

Select	Enrollment Date	Enrollment Status	Account Number	Custodian/Manager	Primary Signer	LOA Create Date	LOA Status	LOA Change Date
 	04/21/20, 09:28:13 AM	ENROLLING	416-77777-9	Goldman Sachs Private	Neil Armstrong TEST			
 	04/20/20, 02:59:24 PM	ENROLLING	ALTEGRIS COS MULTI	ALTEGRIS ADVISORS,	Neil Armstrong TEST			
  	04/03/20, 09:30:19 AM	ENROLLING	416-77777-9	Goldman Sachs Private	Neil Armstrong TEST	04/20/20, 12:44:15 PM	PRINTED	04/20/20, 01:04:42 PM
  	03/30/20, 11:44:32 AM	ENROLLING	P34567654	J.P. Morgan Private Ba	Neil Armstrong TEST	03/30/20, 12:28:22 PM	NEW	03/30/20, 12:28:22 PM
 	03/20/20, 02:17:54 PM	ENROLLING	232-77777-9, 123-5555	Goldman Sachs Private	Neil Armstrong TEST			
 	03/20/20, 02:17:54 PM	ENROLLING	232-88888-5	Goldman Sachs Private	Neil Armstrong TEST			
  	03/20/20, 02:17:54 PM	ENROLLING	232-66666-0	Goldman Sachs Private	Neil Armstrong TEST	04/20/20, 10:48:23 AM	SENT	04/20/20, 10:48:30 AM



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

1 Search field (goldman)

2 Status filters (Active, Pending)

3 Active Authorizations: Download | Cancel

Select All	Authorization	Primary Signer	Accounts	Status	Last Change Date
<input type="checkbox"/>	Goldman Sachs Private Wealth Management_2020-03-31_1*	David Rey	1	ACKNOWLEDGED	3/31/2020, 3:46 PM
<input type="checkbox"/>	Goldman Sachs Private Wealth Management_2020-04-08_1*	Sunita Arnold	1	ACKNOWLEDGED	4/16/2020, 11:48 AM
<input type="checkbox"/>	Goldman Sachs Private Wealth Management_2020-04-20_1*	Neil Armstrong TEST	1	PRINTED	4/20/2020, 5:04 PM
<input type="checkbox"/>	Goldman Sachs Private Wealth Management_2020-04-20_1*	Neil Armstrong TEST	1	SENT	4/20/2020, 2:48 PM

6 View Accounts | Enroll Account

2 Status filters (Active, Pending)

4 Pending Authorizations: Generate and Send | Generate and Download

Select All	Authorization	Primary Signer	Accounts	Status
<input type="checkbox"/>	Goldman Sachs Private Wealth Management_2020-04-21_126	Sunita Arnold	1	Pending
<input type="checkbox"/>	Goldman Sachs Private Wealth Management_2020-04-21_8180	Neil Armstrong TEST	1	Pending
<input type="checkbox"/>	Goldman Sachs Private Wealth Management_2020-04-21_4871	Neil Armstrong TEST	2	Pending
<input type="checkbox"/>	Goldman Sachs Private Wealth Management_2020-04-21_3996	Dan Romanello	3	Pending
<input type="checkbox"/>	Goldman Sachs Private Wealth Management_2020-04-21_5338	David Rey	4	Pending

5 Table area

Required Fields

- Search**
Click on **Search** field to filter results from **Authorization** column.
- 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.
- Active Authorizations**
 - Download | Cancel:** Allows user to download or cancel an LOA record. Users may select multiple LOAs at a time.
- 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).
- 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

Account Enrollments

Select	Enrollment Date	Enrollment Status	Account Number	Custodian/Manager	Primary Signer	LOA Create Date	LOA Status	LOA Change Date
	04/21/20, 09:28:13 AM	ENROLLING	416-77777-9	Goldman Sachs Private	Neil Armstrong TEST			
	04/20/20, 02:39:24 PM	ENROLLING	ALTLIGHTS CQS MULTI	ALTLIGHTS ADVISORS	Neil Armstrong TEST			
	04/08/20, 01:53:58 PM	ENROLLING	N11-234567	Northern Trust Securities	David Rey			
	04/08/20, 01:55:31 PM	ENROLLING	LAZARD EM LONG/SH	LAZARD ASSET MANA	David Rey	04/08/20, 01:57:20 PM	PRINTED	04/08/20, 01:57:32 PM
	04/08/20, 01:18:59 PM	ENROLLING	U78947078	J.P. Morgan Private Bank	David Rey	04/08/20, 01:19:22 PM	PRINTED	04/08/20, 01:30:22 PM
	04/08/20, 11:19:18 AM	ENROLLING	321-45678-9	Goldman Sachs Private	Sunita Arnold	04/08/20, 11:19:24 AM	ACKNOWLEDGED	04/19/20, 07:48:23 AM
	04/07/20, 04:49:37 PM	ENROLLING	W987654321	J.P. Morgan Private Bank	David Rey	04/07/20, 04:49:43 PM	ACKNOWLEDGED	04/07/20, 04:52:43 PM
	04/07/20, 04:49:21 PM	ENROLLING	123-45678-9	Goldman Sachs Private	David Rey			
	04/03/20, 09:30:19 AM	ENROLLING	416-77777-9	Goldman Sachs Private	Neil Armstrong TEST	04/03/20, 12:44:15 PM	PRINTED	04/03/20, 01:04:42 PM
	04/03/20, 08:44:05 AM	ENROLLING	123-45678-9	Goldman Sachs Private	Sunita Arnold			
	04/02/20, 02:47:36 PM	ENROLLING	TestAccountCFG	J.P. Morgan Securities	John Acme			

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

View LOA

Drey Test Entity Trust

Date: 04/08/2020
Investment Accounts: LAZARD EM LONG/SHORT FUND, LTD. (Drey Test Entity Trust)

Account: LAZARD EM LONG/SHORT FUND, LTD. (Drey Test Entity Trust)
Entry Trust: LAZARD ASSET MANAGEMENT LLC
Primary Signer: David Rey
Type: Manual

Status: PRINTED

File: PARTIALLY SIGNED

DECLINED

NEW

Authorizations

Select All	Authorization	Primary Signer	Accounts	Status	Last Change Date
<input type="checkbox"/>	J.P. Morgan Private Bank (M, Trust, Custody)_2020-03-30-1	Neil Armstrong TEST	1	NLW	3/30/2020, 4:28 PM
<input type="checkbox"/>	Goldman Sachs Private Wealth Management_2020-03-31-1	David Rey	1	ACKNOWLEDGED	3/31/2020, 3:46 PM
<input type="checkbox"/>	LAZARD ASSET MANAGEMENT LLC_2020-04-08-1171	David Rey	1	PRINTED	4/8/2020, 5:37 PM
<input type="checkbox"/>	Charles Schwab Advisor Services_2020-03-31-1196	Ulan Homondillo	1	PRINTED	3/31/2020, 1:05 PM
<input type="checkbox"/>	Goldman Sachs Private Wealth Management_2020-04-08-1	Sunita Arnold	1	ACKNOWLEDGED	4/16/2020, 11:48 AM
<input type="checkbox"/>	J.P. Morgan Private Bank (M, Trust, Custody)_2020-04-08-1	David Rey	1	PRINTED	4/8/2020, 5:30 PM
<input type="checkbox"/>	Goldman Sachs Private Wealth Management_2020-04-20-1	Neil Armstrong TEST	1	PRINTED	4/20/2020, 3:04 PM
<input type="checkbox"/>	J.P. Morgan Private Bank (M, Trust, Custody)_2020-04-07-1	David Rey	1	ACKNOWLEDGED	4/7/2020, 8:53 PM
<input type="checkbox"/>	LAZARD ASSET MANAGEMENT LLC_2020-03-20-1126	Neil Armstrong TEST	1	ACKNOWLEDGED	3/20/2020, 12:43 PM
<input type="checkbox"/>	Goldman Sachs Private Wealth Management_2020-04-20-1	Neil Armstrong TEST	1	SENT	4/20/2020, 2:48 PM
<input type="checkbox"/>	Northern Trust Securities_2020-03-30-1148	TEST2 First 081720 TEST Last	1	ACKNOWLEDGED	3/30/2020, 3:46 PM
<input type="checkbox"/>	Access Securities_2020-03-30-1153	John Acme	1	PRINTED	3/30/2020, 8:12 PM

Edit Account

Custodian: Goldman Sachs Private Wealth Management

Custodian Contact: John Wayne

Account Number: 416-77777-9

Account Name: Test Armstrong Irrevocable Trust

Authorization Status: PRINTED

PARTIALLY SIGNED

DECLINED

NEW

Required Fields

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