
DocuSign for Advisor Solutions: Electronic Signature of Forms

To access DocuSign, you need to go to docusign.net and input your login information (note: your user ID is your email address).

While most forms can be electronically signed, there are some we are unable to take. This is due to their processing requirements. Here are the forms currently not supported by DocuSign:

- IRS Form W8
- Corestone/Resource Checking Applications
- Loan Advance forms
- Money Purchase Plan/Profit Sharing Plans/401K
- POA full force and effect; POA trading authority
- Documents requiring a Notary
- Direct Deposit Authorization Form
- Non-ACAT Transfer Forms*

** Electronic signature is not accepted for non-ACAT transfers, direct mutual fund transfers and all others where the delivering party requires an original form.*

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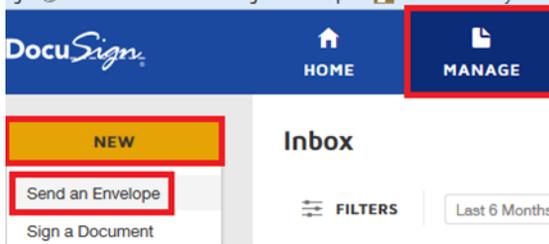
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Creating a Multiple Document and Multiple Signer Envelope for an Account

1. Go to the Manage Tab, click on New, then select Send an Envelope.

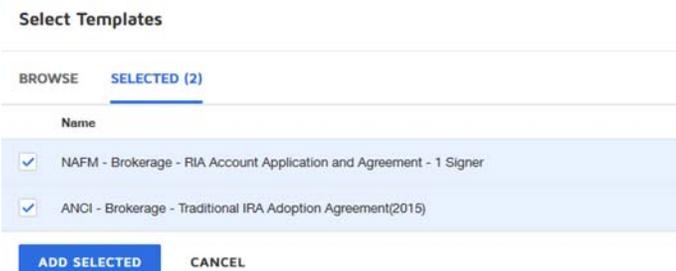
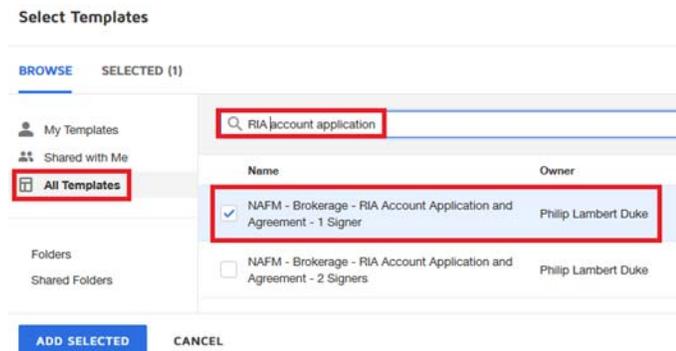


2. Click “Use a Template” to pull a template to use:

Add Documents to the Envelope



3. Go to “All Templates” and search for the template you want to use. As you add templates, these will show in the “Selected” tab.

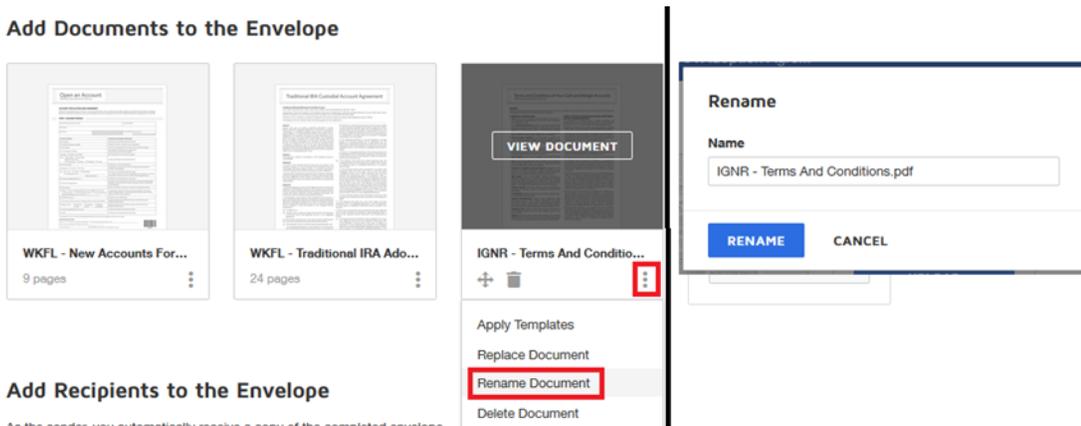




4. Repeat steps 2 and 3 for additional templates. You may also load your own documents using "Upload". Please note that if you have data already on your file, and you have DocuSign apply a matched template, the DocuSign Tags (Form Fields) will be placed on top of your data. You will then need to remove the tags to expose the data. Deleting tags is covered in step 12. This method will not allow your investor to update anything you have populated before loading into DocuSign.

5. Templates can contain multiple documents. If you do not wish for a document to automatically be sent into Pershing's NetX360 workflow for processing, please rename the document to start with "IGNR" (our code for 'Ignore from Workflow'). You can rename within DocuSign by clicking on the three dots on the document in the "Add Documents to the Envelope" section and going to "Rename Document". Also, you can re-order the documents in this view so you can place all of the terms and conditions to the back of the envelope; a much better presentation for your clients.

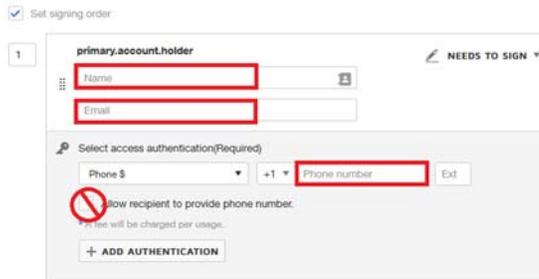
* Note that viewing documents from this screen will not display pre-filled client data, only in the following screen after clicking Next at the top right of this screen.



6. Define your recipients and routing.

An email address, name, and phone number are required for all recipients. Click on the Authentication to adjust the number to be used. This should be expanded by default when using the templates.

*Important - Do not select the option "Allow Recipient to provide phone number" as this exposes additional risk to you and your client. We are currently not able to completely remove this option.



6a. An "In Person Signer" option is available. The client will still need to go through the phone authentication to leave a voice print or SMS authentication to the client's cell phone. Preferably the phone number used for either authentication would be the signer's cell phone so that they can access the document in the future. You can also use your office phone for the phone authentication. As always, it is recommended to print out the signature card and have the client physically

sign just in case they have documents they wish to physically sign going forward. While recommended, the signature card is not required to open the account.

Set signing order

1 **primary.account.holder** IN PERSON SIGNER ▾ MORE ▾

Name

Host Name

Host Email

Select access authentication(Required) Close

SMS \$ +1 Phone number

A fee will be charged per usage.

[+ ADD AUTHENTICATION](#)

7. If a particular signer is not needed within the envelope, (example: if a spouse signature is not needed). Signers can be removed by clicking the 'X' next to that recipient when you hover over that signer.

2 **spouse** NEEDS TO SIGN ▾ MORE ▾ X

Name

Email

Select access authentication(Required) Close

Remove

* Important - When you remove a recipient, all the DocuSign Tags will be removed for that person. So, take care when removing a recipient that you are not removing signature tags or data fields you need.

Recipient has fields

By deleting this recipient, you will also delete their fields.
Would you like to delete the recipient and fields?

[DELETE](#) [CANCEL](#)

8. If you need to add someone as a signer to an envelope, (such as yourself for a review), be sure to check the routing to ensure that it routes the way you wish.

For this example, the recipient order is then updated for the client to receive the document after the advisor. The action for the advisor is “needs to sign” this is needed to associate any tag to a recipient, including acknowledge and signer attachment. Email, Name, and Phone Number are always required for all recipients.

Add Recipients to the Envelope

As the sender, you automatically receive a copy of the completed envelope.

Set signing order

1	Advisor Name <input type="text"/> advisor@email.com Phone authentication: +1 407-321-0000 NEEDS TO SIGN MORE
2	Client Name <input type="text"/> your@client.com Phone authentication: +1 407-321-0000 NEEDS TO SIGN MORE

ADD RECIPIENT

Also, you can review the order by clicking on the “Signing Order”



9. You can customize the email message going to your client in the “Message to All Recipients” section. The email will come from DocuSign, but specify that it is coming from your account and company name.

10. Click “Next >” in the top right to advance to the next screen where you can pre-fill your form, add tags for signatures and data, and adjust any predefined elements.



11. In the next step you can pre-fill in information for your client by double clicking into a tag and then type into the field. You can then tab through the fields to prefill information for your client.

11a By clicking on an item, the properties for that item will show up on the right, you can mark this as “read only” so that your client cannot modify its contents, and/or mark a field as “required field” so that they have to complete that field in order to complete their signature.



12. If there are tags not relevant to your client or if it is covering up data you provided outside of DocuSign, you can remove them by selecting the tag(s) and clicking the delete button at the bottom right of the screen, or hitting delete on your keyboard. To select multiple items, please click and drag a box around the items.

STEP 3. SECONDARY ACCOUNT HOLDER INFORMATION

First Name: Text
Middle Initial: Text
Last Name: Text

Social Security Number: Text
Date of Birth: Text

Email Address: Text

Home Phone: Text
Business Phone: Text
Mobile Phone: Text

Legal Address (no PO box): Text
City: Text
State/Province: Text
Zip/Postal Code: Text
Country: Text

SECONDARY ACCOUNT HOLDERS MAY INCLUDE ADDITIONAL ACCOUNT HOLDER, CUSTODIAN, CONSERVATOR, GUARDIAN, OR TRUSTEE/OFFICER.

UGMA/UTMA ACCOUNT: MINOR IS THE PRIMARY ACCOUNT HOLDER; CUSTODIAN IS THE SECONDARY ACCOUNT HOLDER.

4000 Character Limit

Formatting

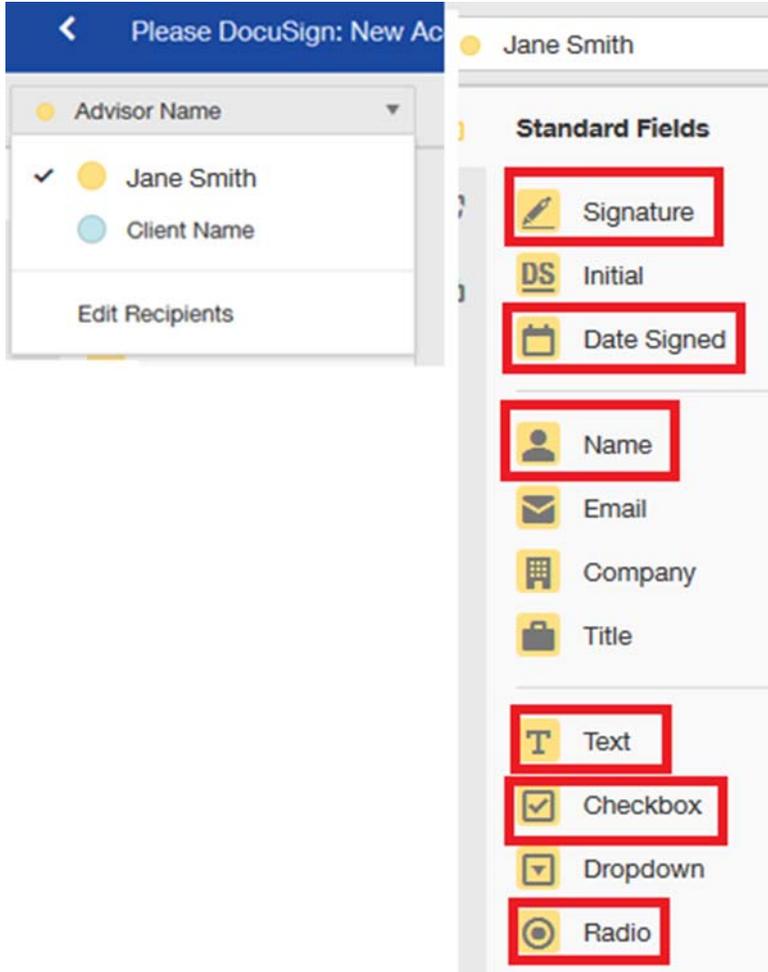
Delete

(Note) - The top two DocuSign tags on the predefined templates inform the automatic upload system on how to index the documents. These two tags are pre-filled in with the appropriate values in white text and locked so they are not visible on the document when it goes to your signer.

New Accounts | NAFM

Open an Account

13. Each tag is associated with a particular recipient. So, when you are adding a signature or data, ensure that you have the correct recipient selected. Each item can be clicked and dragged into the document. The most common elements are: Signature, Date Signed, Name, Radio Button, Checkbox, and Data Field.

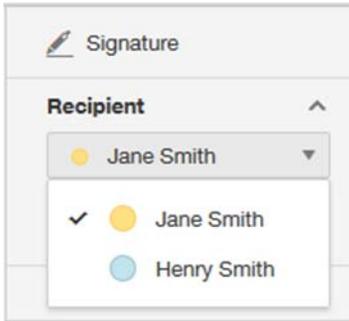


14. For each Data Field you add, you will want to adjust the Tool Tip text. Select the Tag. The tool tip is the label for each field that your client will see when they go to complete their information.

15. If you have added yourself to the envelope as a signer, you can add the “approve” button to serve as your action on the envelope. The envelope then would be held open until you fulfill your action.

16. Check the envelope to see who is assigned to each tag by the highlighting color you see in the dropdown for recipient.

17. To adjust the recipient for a DocuSign Tag, you can select it and reassign through properties sidebar that appears to the right.



18. To send the envelope to the first signer, click "Send" at the top right of the page.



Additional Information

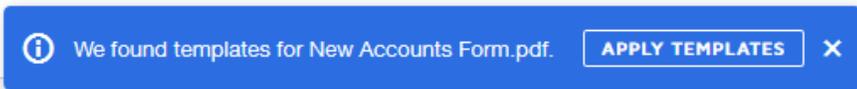
Adding your own documents into an envelope:

When adding your own documents into an envelope, click on Upload in the Add Documents to Envelope section.

Add Documents to the Envelope



If you have form fields on your document, you may be asked to match to an existing template. If there is filled information on the form fields of the PDF, click cancel or the X. Applying the template will not take data into the DocuSign template fields, but instead flatten the data and place a field on top of it, giving the appearance no data was filled in.



X

Select Templates

SUGGESTED BROWSE SELECTED (0)

Name	Match	Page Range
<input type="checkbox"/> NAFM - Brokerage - Managed Account Application - 1 Signer	97	1 - 9
<input type="checkbox"/> NAFM - Brokerage - Managed Account Application - 2 Signers	97	1 - 9
<input type="checkbox"/> NAFM - Brokerage - RIA Account Application and Agreement - 2 Signers	93	1 - 9
<input type="checkbox"/> NAFM - Brokerage - RIA Account Application and Agreement - 1 Signer	93	1 - 9

ADD SELECTED

CANCEL

Attaching a “Signer Attachment” so that you can add a supporting document (check, statement) to a form on behalf of your client. After you have your envelope setup with your client’s information, Click on the “add me” option in the Recipients and Routing Section.

Add Recipients to the Envelope

As the sender, you automatically receive a copy of the completed envelope.

Set signing order

Client Name		 NEEDS TO SIGN ▾	MORE ▾
your@client.com			
Phone authentication: +1 407-321-0000			

ADD RECIPIENT

Select a “set signing order” if it is not selected already. You can then set the appropriate numbers to have the envelope go to yourself or to the client first depending on your preference. Note that even though your Action is “Needs to Sign” you will not be signing the document unless you create a signature spot on the form.

Add Recipients to the Envelope

As the sender, you automatically receive a copy of the completed envelope.

Set signing order

1	Advisor Name		 NEEDS TO SIGN ▾	MORE ▾
	advisor@email.com			
Phone authentication: +1 407-321-0000				
2	Client Name		 NEEDS TO SIGN ▾	MORE ▾
	your@client.com			
Phone authentication: +1 407-321-0000				

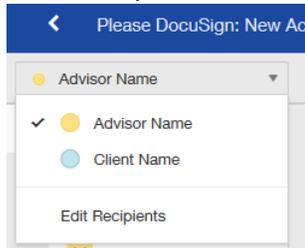
ADD RECIPIENT

Click the “Next” Button at the top of the page.

HELP OTHER ACTIONS ▾ **NEXT >**

If adding a new Signer Attachment where one does not exist:

Select your name on the dropdown on the top of the left panel.



Drag the "Signer Attachment" into the document.

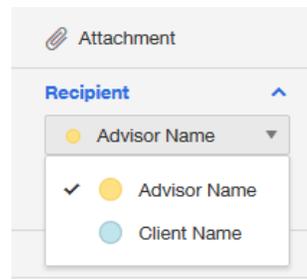


If adjusting an existing Signer Attachment:

Find the Signer Attachment on the document, click on it.

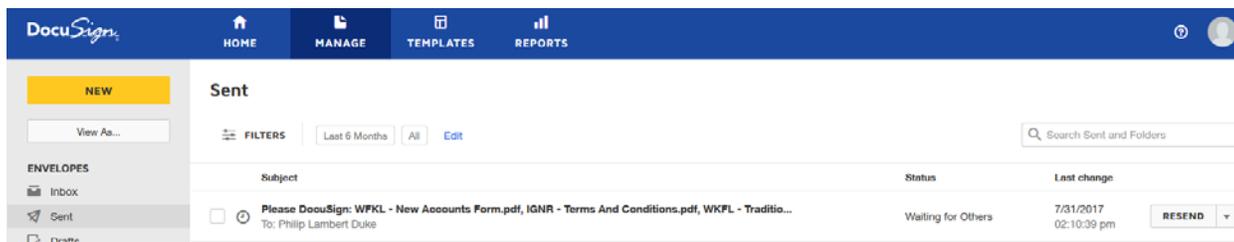


The right panel will then update to the properties of the signer attachment. Adjust the recipient to yourself.

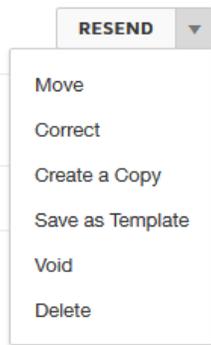


Checking on the status of an envelope.

Your envelope will now show up in the sent folder of your Manage tab. When you click on an item, it will tell you the current status of your envelope. The summary will let you know where the envelope is in the process, if it has been viewed, or if there was an issue.



From the dropdown next to the status, you can take actions on the envelope. This includes create a copy (previously clone), correct, resend, and void.



Tips

- Create a Copy (previously known as clone) – Clones the contents and settings from how the envelope was originally sent.
- Field Corrections – If a user fails authentication, you can update the phone number. Select Re-Send from this menu when making this correction to have the email resent to your client. You can also correct the fields of anything not assigned to a signer that has completed their signature.
- Resend – This resends the email to the client next in the process.
- Void – This voids the envelope. The system will automatically send reminders to your client. If the form is no longer needed, then you will need to void the envelope to stop the emails.
- When you open the document while it is in process, any fields assigned to the signer will appear blank until they complete their signature.