# New Account Opening User Guide

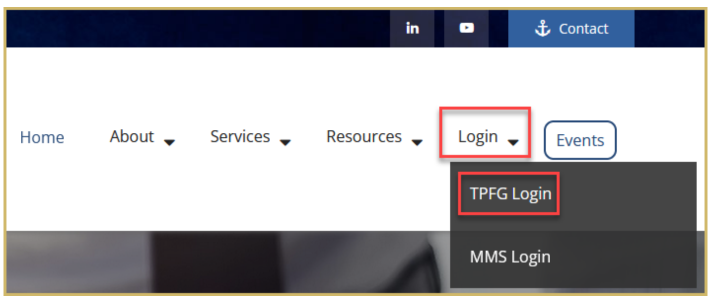
# OVERVIEW

The TPFG Guided Paperwork Solution (GPS) digitizes the process of submitting new accounts to TPFG. GPS allows advisers to bundle and send all account-related forms directly to clients to sign electronically (or Print & Sign if wet signature required) with DocuSign®.

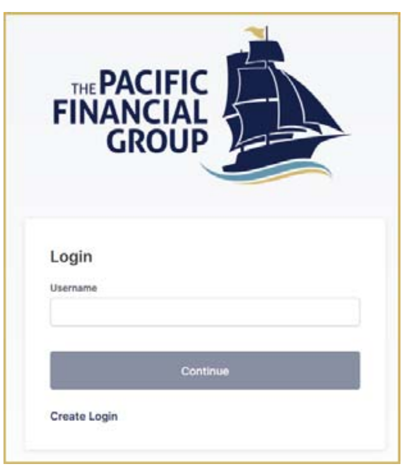
Adviser Data Entry → Client eSignature (or print & sign) → Adviser eSignature → **Approval** (• An OPTIONAL step if Adviser's firm requires pre-approval before submitting to TPFG.) → Application Routed to TPFG

# GETTING STARTED

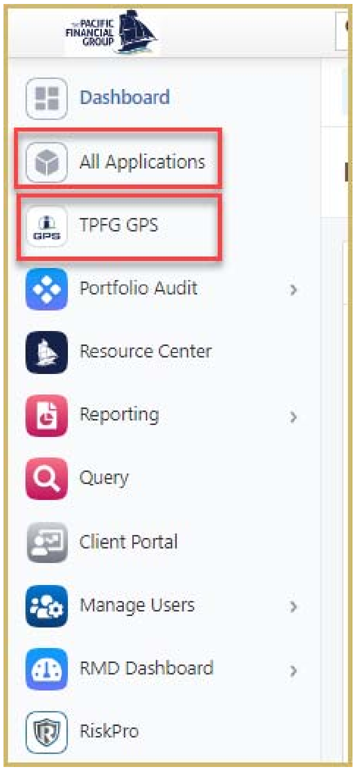
1. Please visit our website at [www.tpfg.com.](http://www.tpfg.com) Click **Login** and **TPFG Login** in upper right-hand corner.




2. Enter your username to get started. Please contact TPFG Client Services if you have not received credentials for the Adviser Portal.



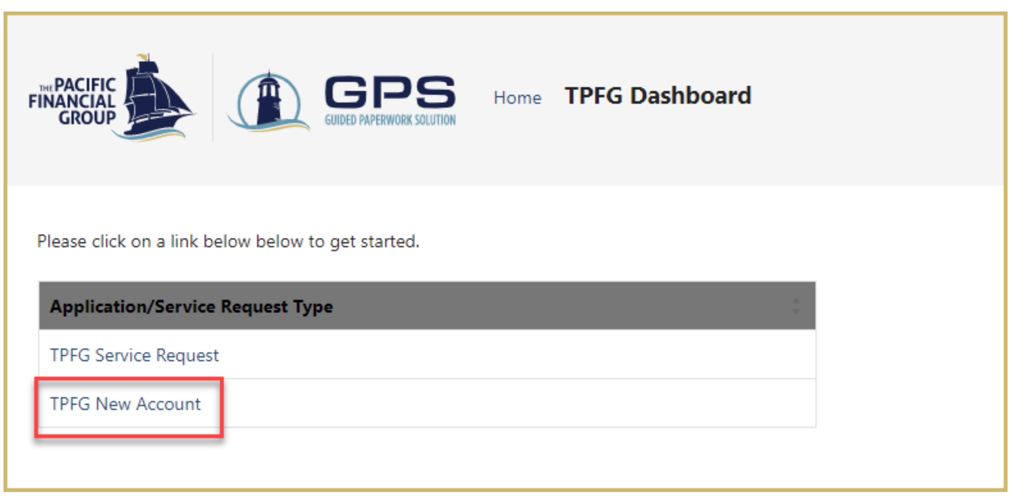
3. Expand the **All Applications** menu from left side panel and click on the **TPFG GPS** tile.



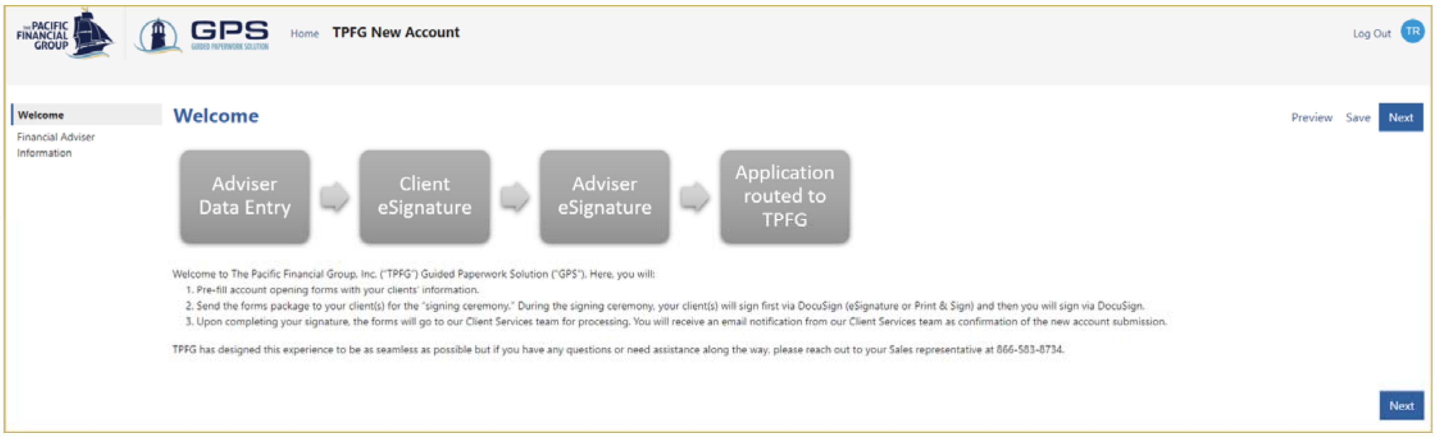


# START A NEW ACCOUNT APPLICATION

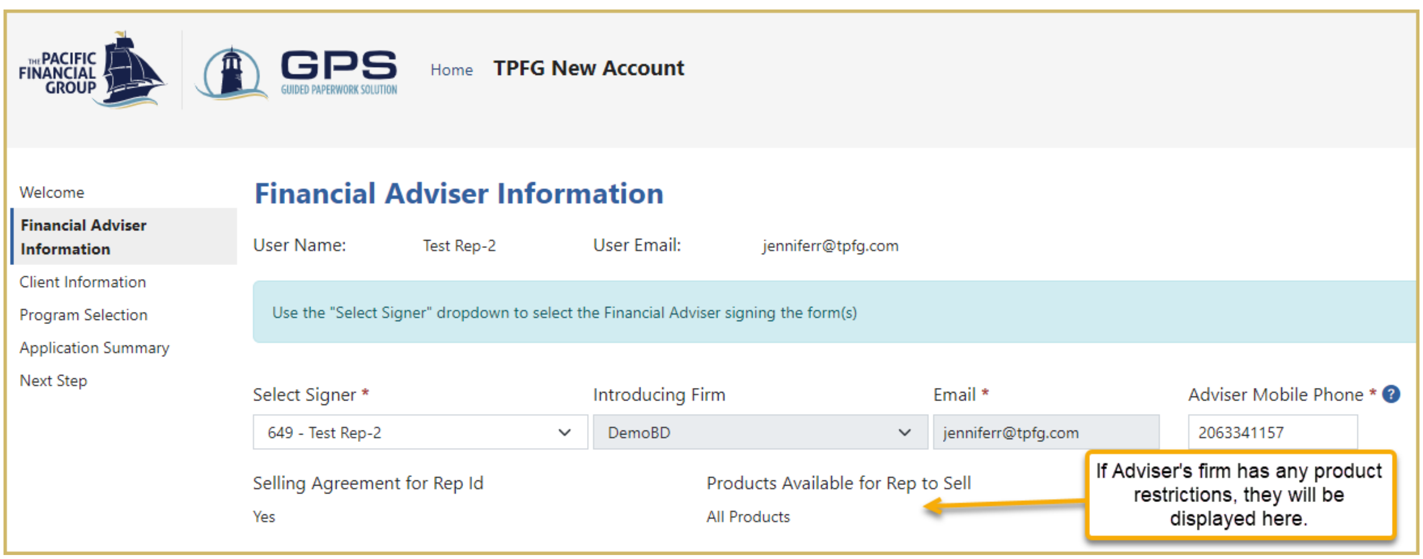
1. From the **GPS TPFG Dashboard**, select **TPFG New Account** from the Application/Service Request Type menu.



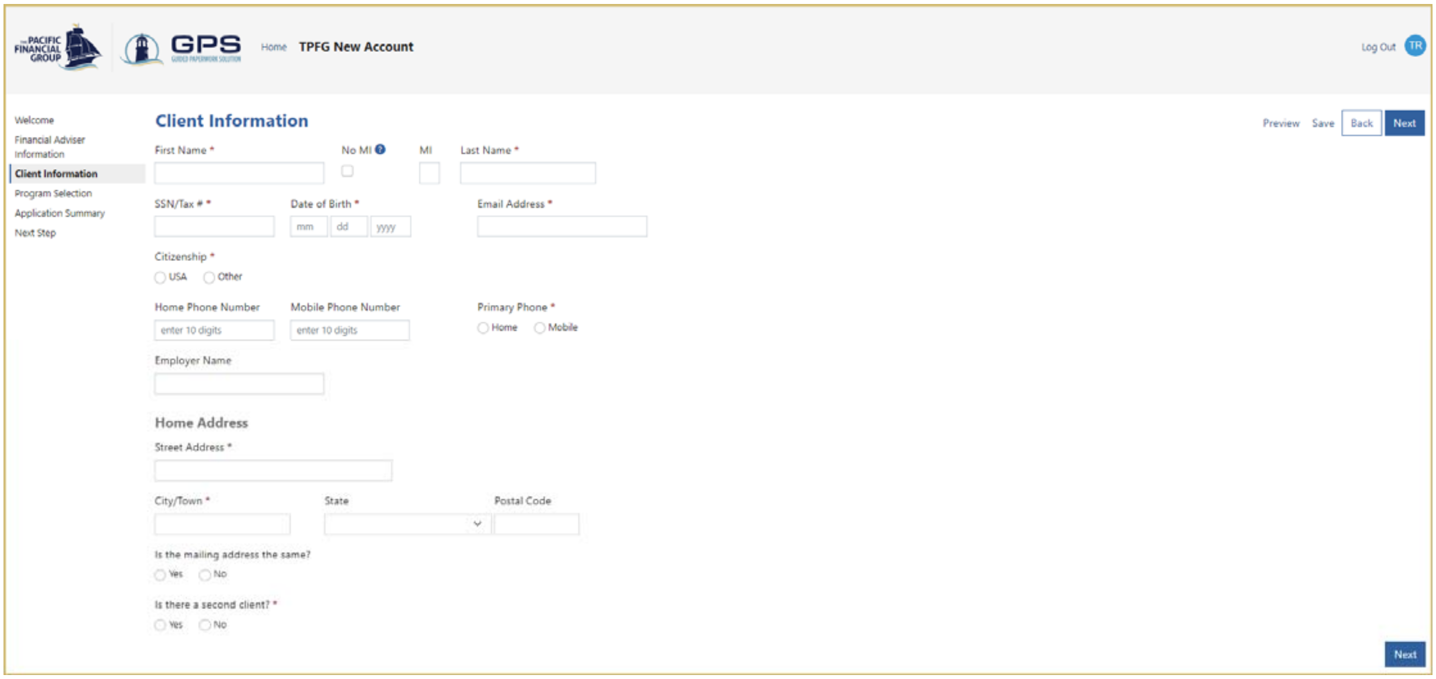
2. The **Welcome Page** details the new account opening process. An application starts in the **Adviser Data Entry** stage, where the Adviser provides all client and account information prior to sending the application to the client for signatures. Click on Next to continue.



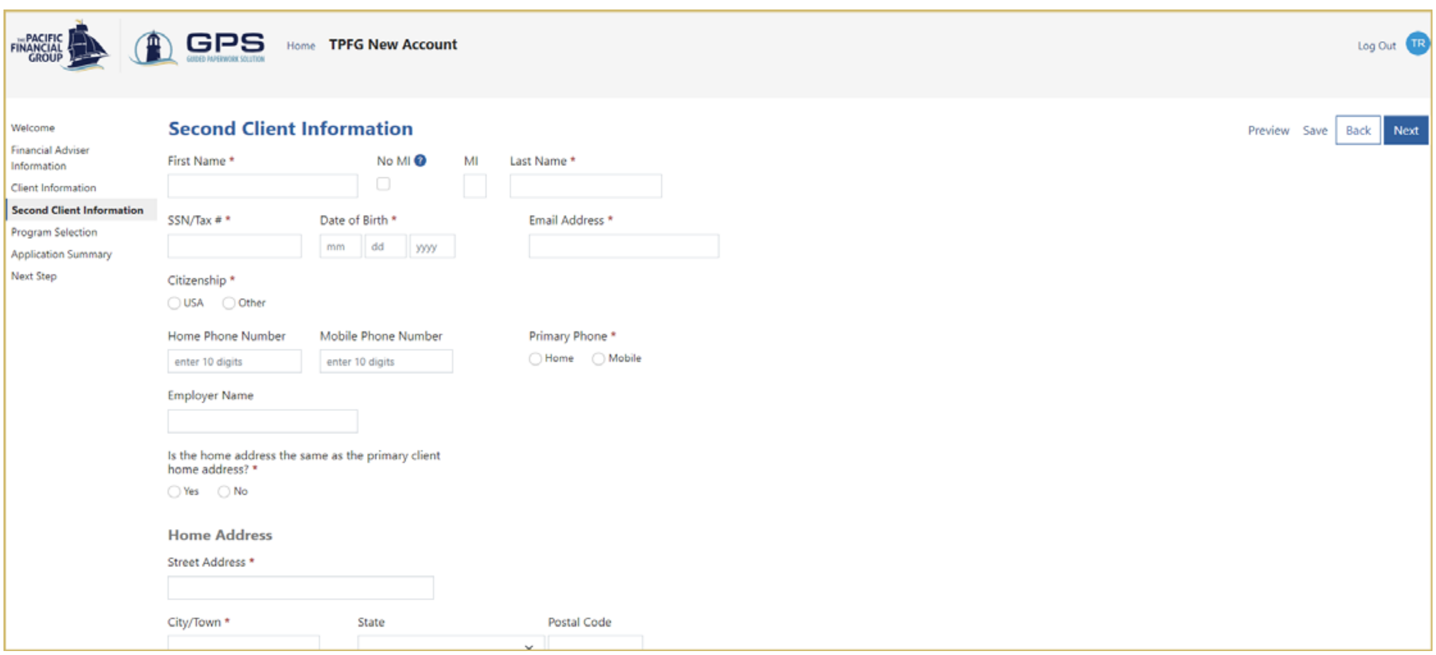

3. On the **Financial Adviser Information** page, select the Adviser that will be signing the forms. If the signed in user has multiple Adviser profiles assigned, all available adviser profiles will display in the dropdown list. Once a Rep ID is selected, verify the Adviser email and mobile phone number. The mobile phone will be used for Adviser authentication to access the DocuSign envelope. Click Next to continue.



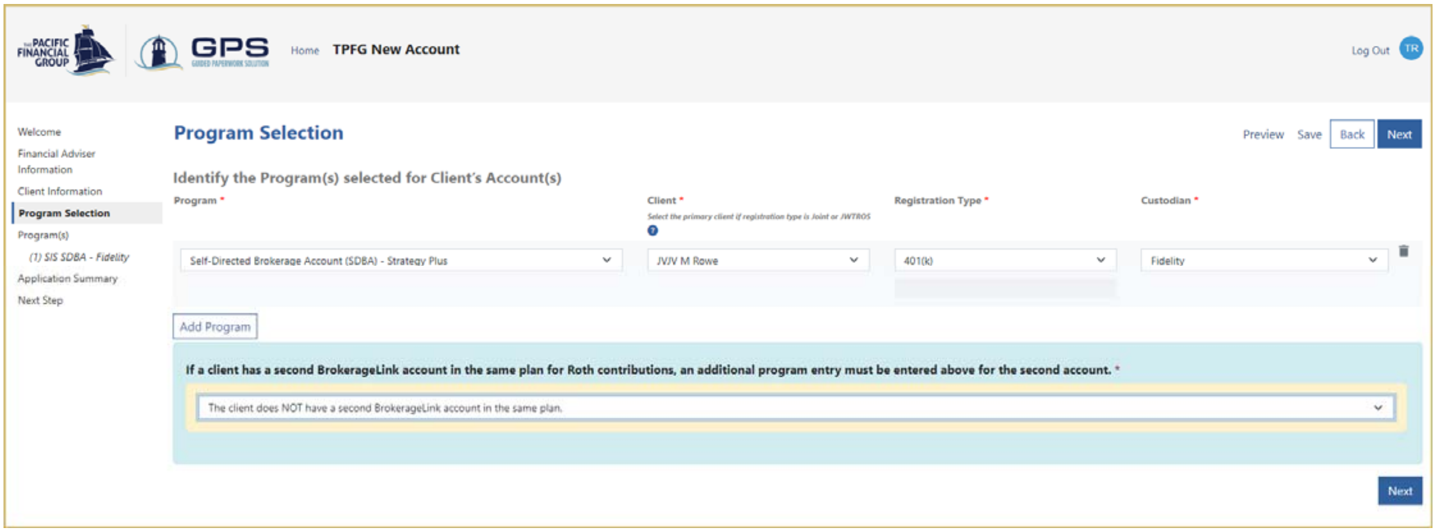
4. On the **Client Information** page, enter the required client information and confirm if there is a second client at the bottom of the page. Click on Next to continue.



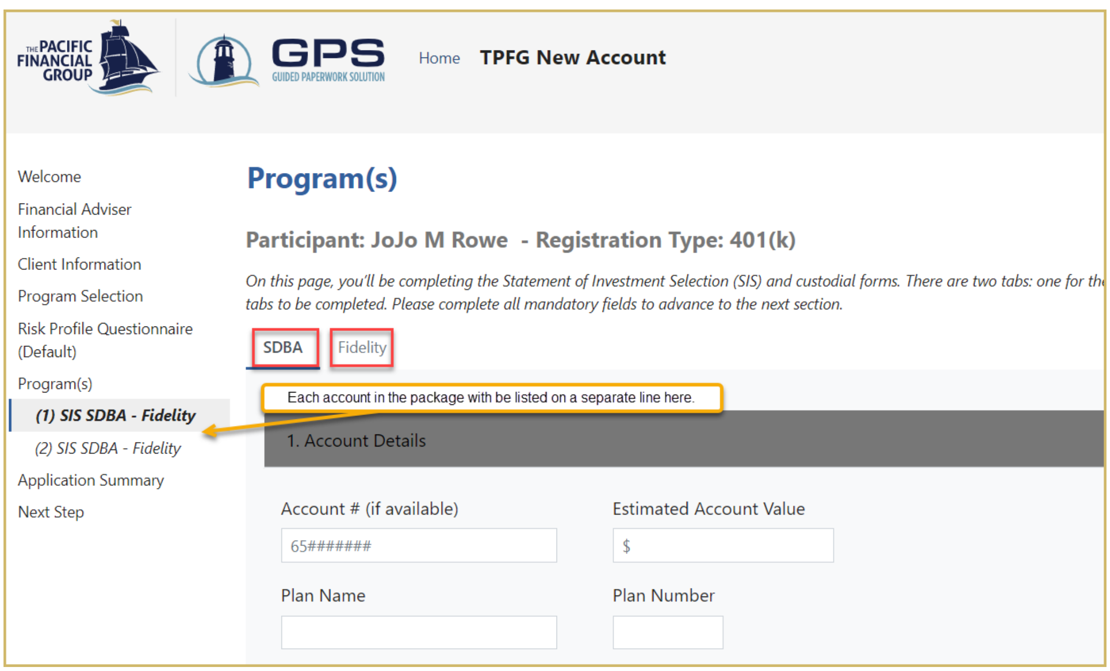

If adding a second client, enter the required information on the **Second Client Information** page.



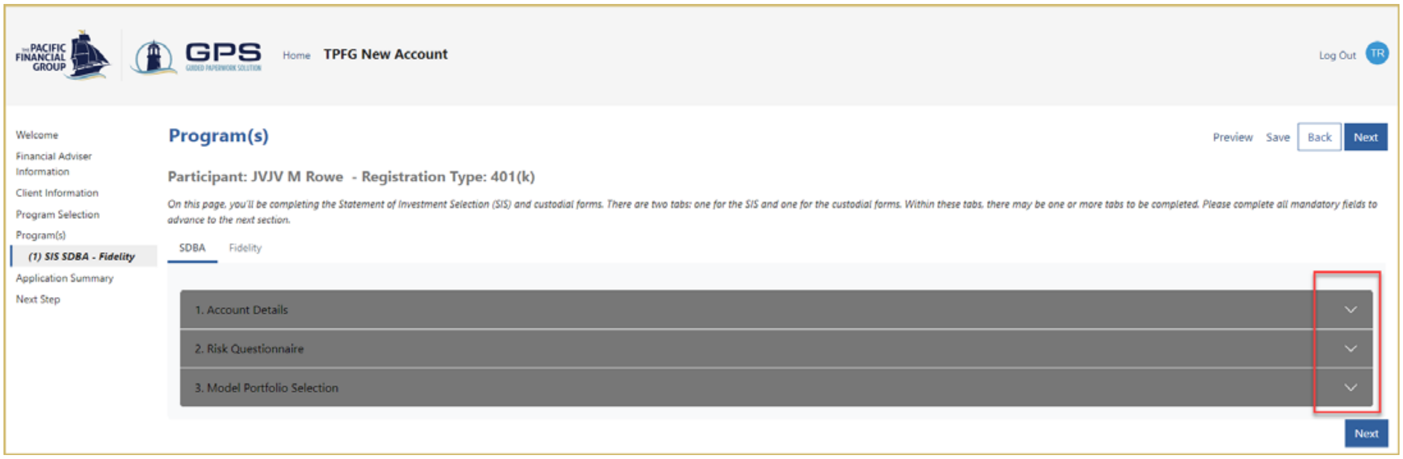
5. On the **Program Selection** page, complete the required fields. Add additional accounts by clicking on the **Add Program** button. Click Next to continue.



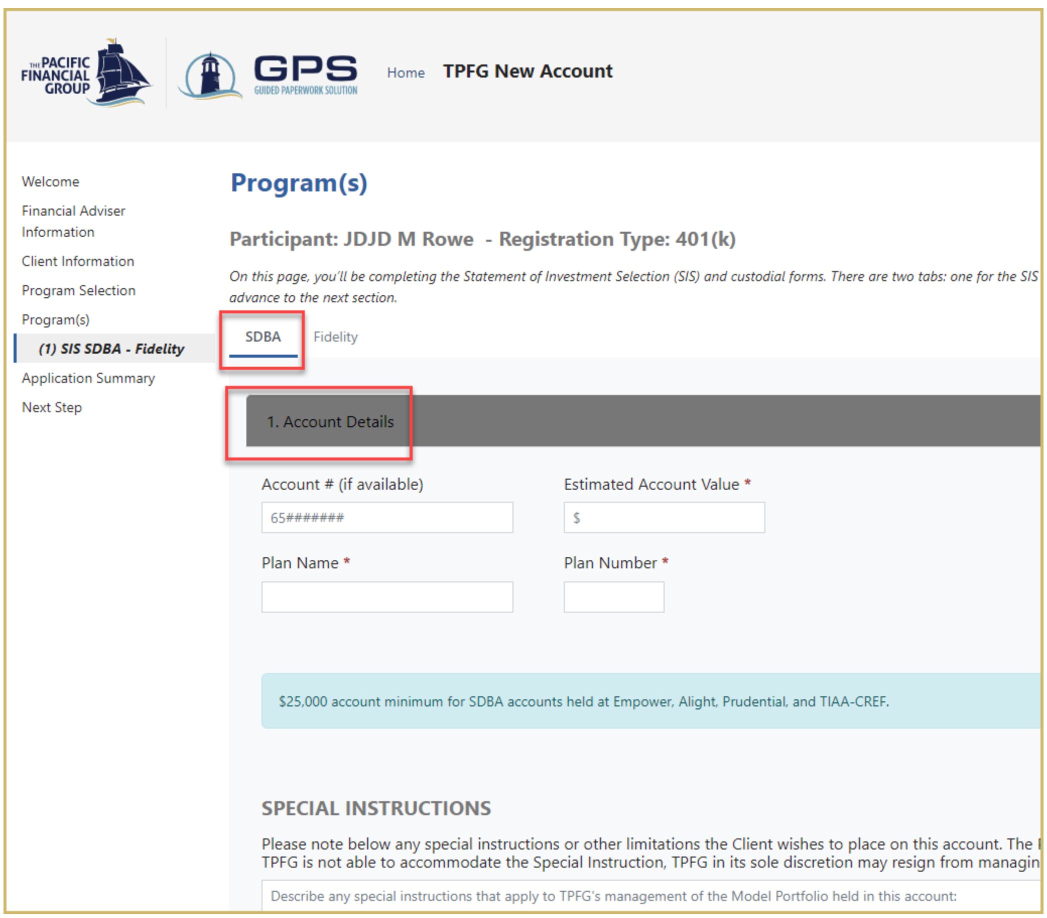

6. A **Program** page is generated for each account with two tabs within each program page. The 1st tab (labeled with Program name) is specific to TPFG forms. The 2nd tab (labeled with custodian name) includes any additional information needed to populate the custodian form(s).



7. For each account, there are required fields under the collapsible sections (click on the dropdown arrow on right side of each grey row to expand/collapse a section).

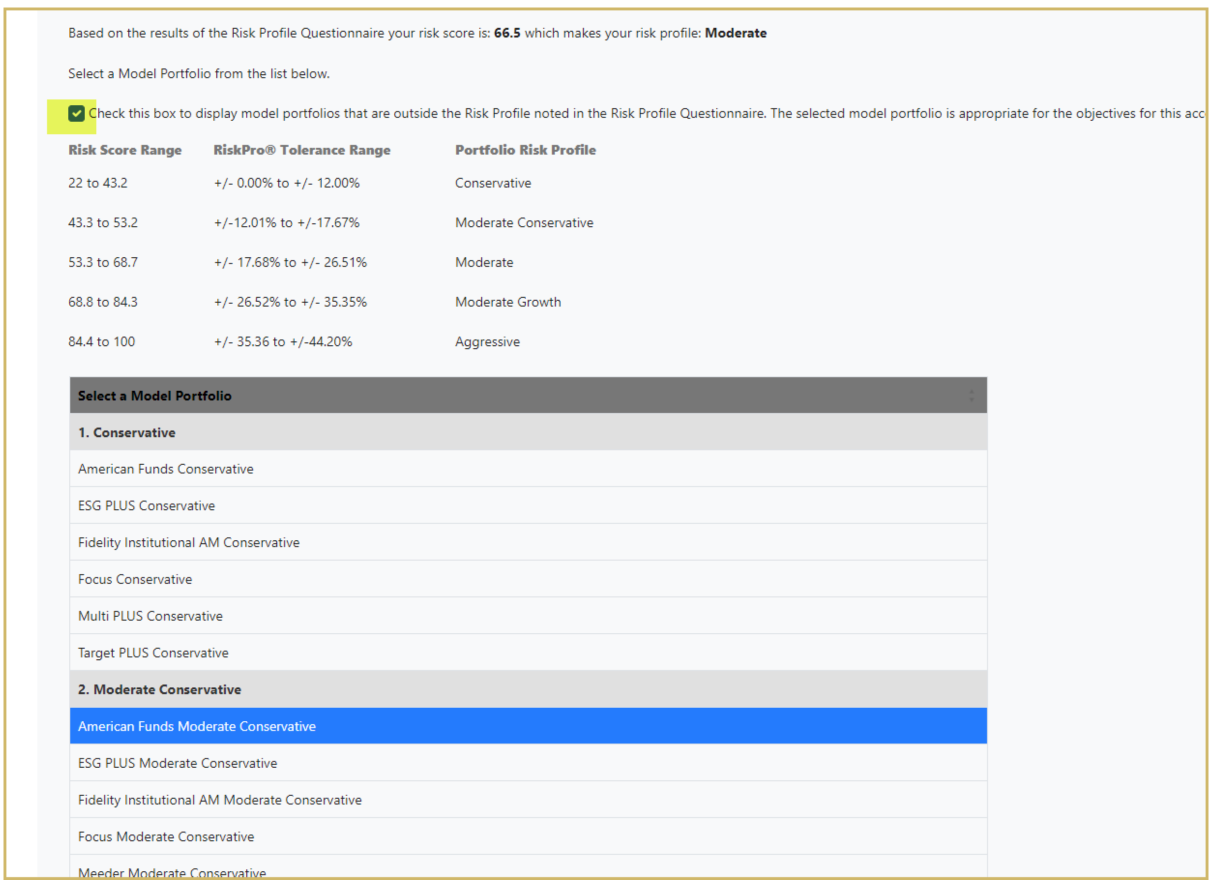



8. Complete all required fields in the **Account Details** section. The fields in this section will vary by account type.

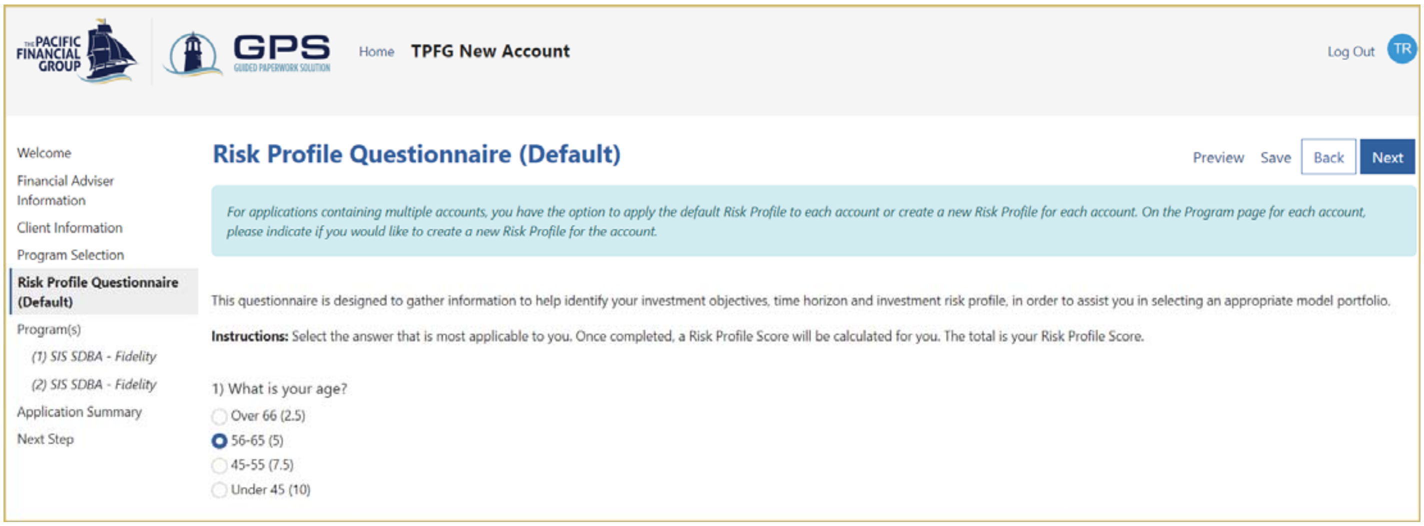


9. After completing the **Risk Questionnaire**, a risk score will be calculated.

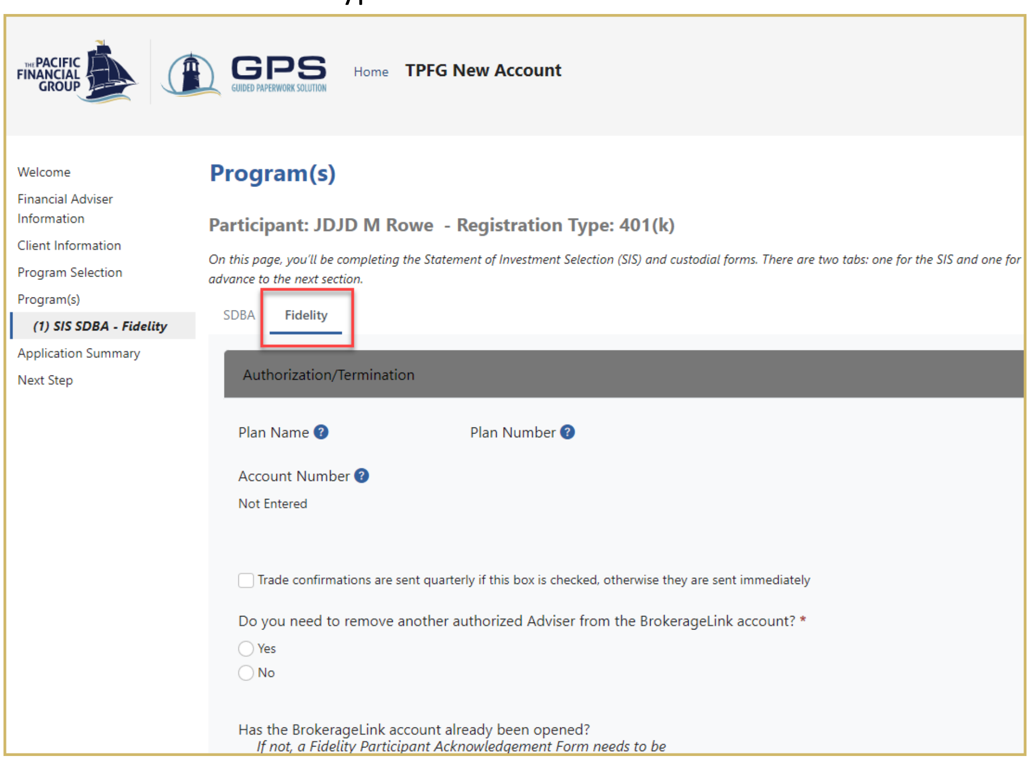

10. After the risk score is calculated, all models within the corresponding risk profile will be displayed in the **Model Portfolio Selection** section. Check the override box to display all model portfolios (including models outside the risk profile noted in the risk profile questionnaire).



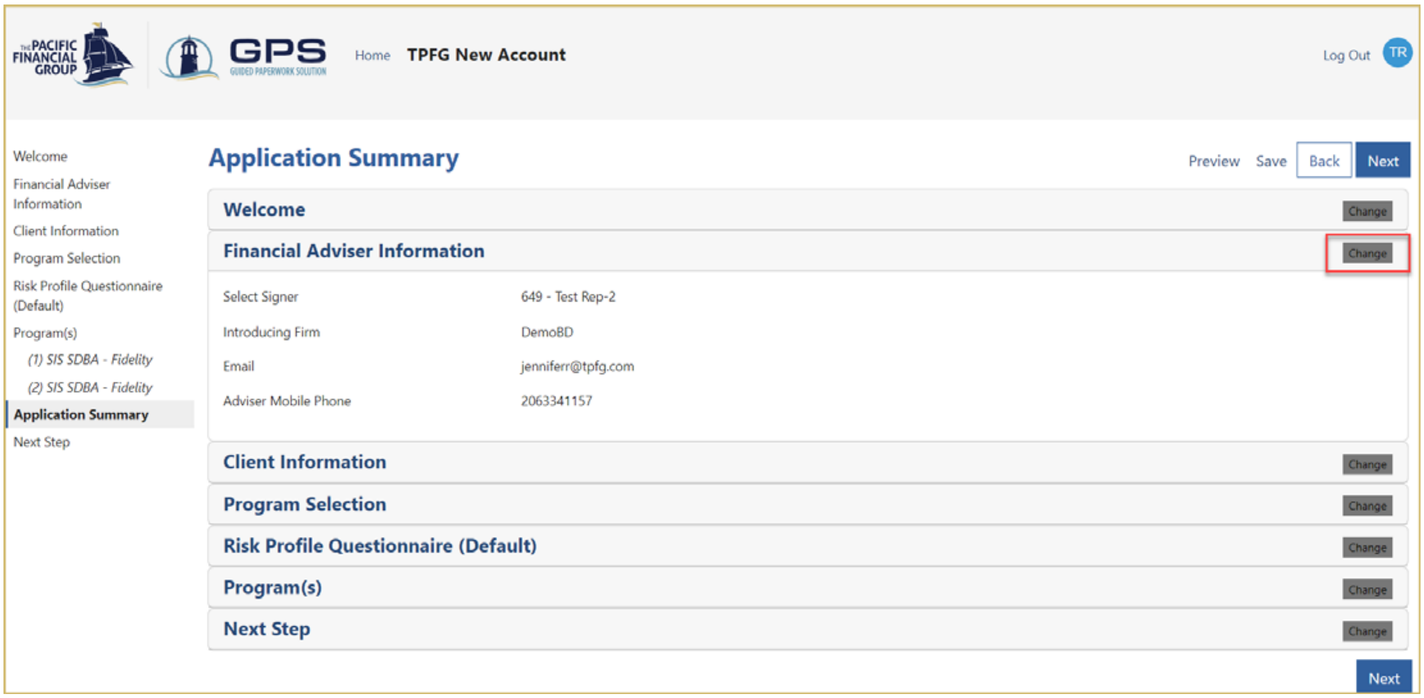
11. For application packages containing multiple accounts, a **Risk Profile Questionnaire** page will display separately before the Program(s) page. You may elect to apply the default risk profile to all accounts or create a new risk profile for each account. After completing the default Risk Profile Questionnaire, click Next to continue.



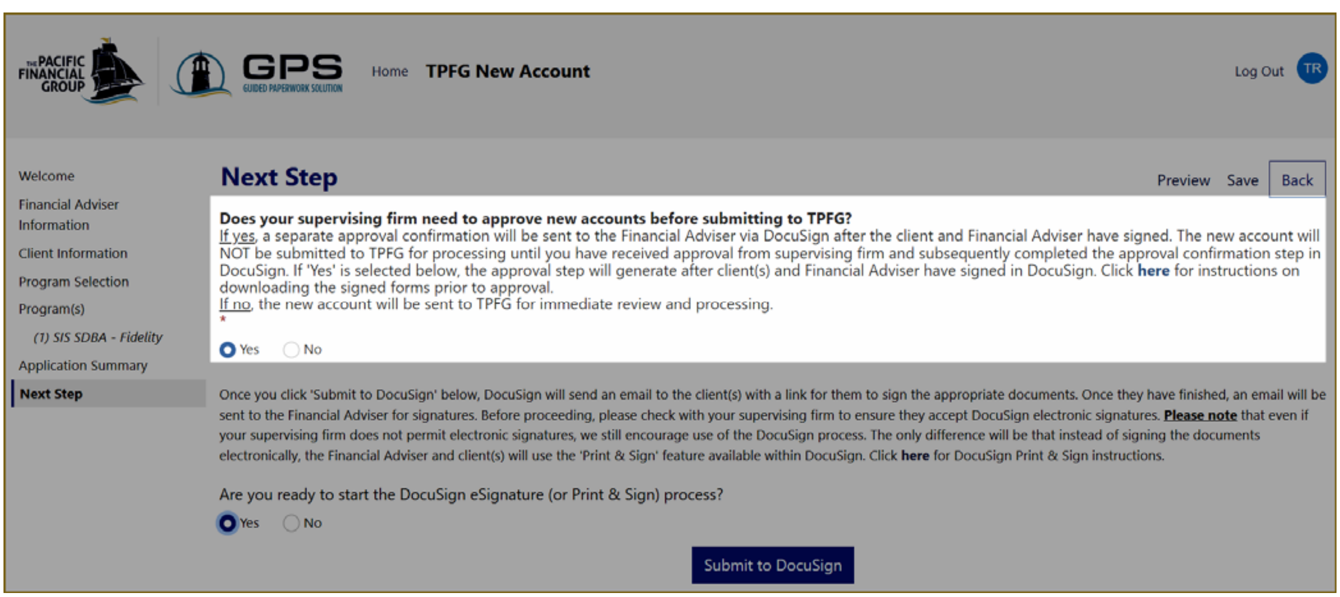

12. Complete all required fields on the **Custodian** tab. The fields on this tab will vary based on the custodian and account type.



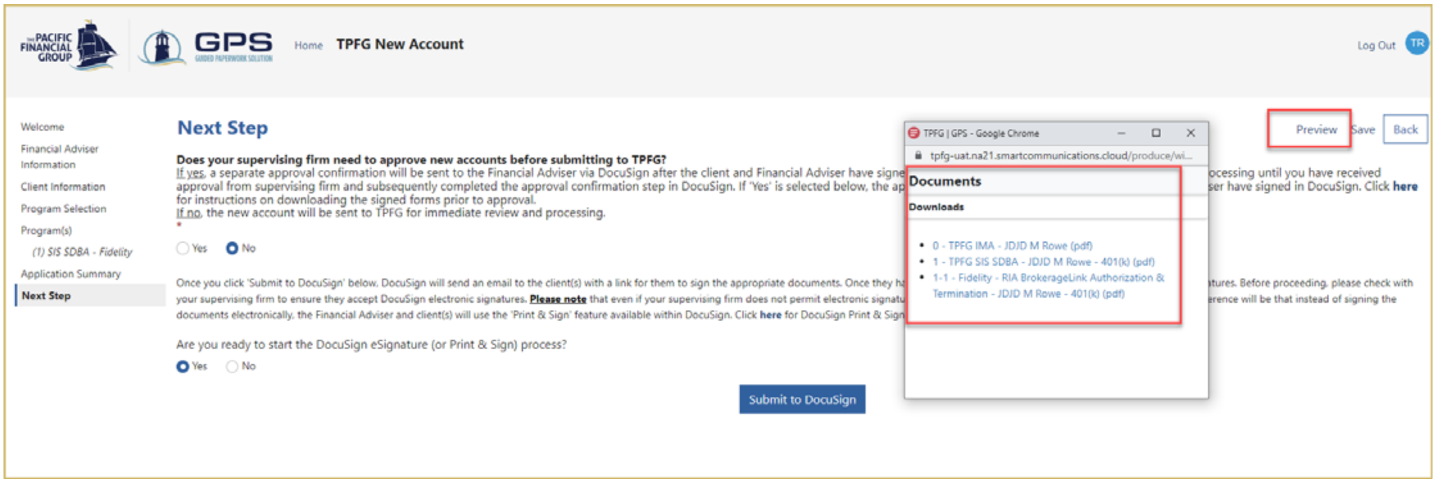
13. Expand any section on the **Application Summary** page to display your entries on that page. To revisit a page, click on the **Change** button for that page. Click Next to continue.



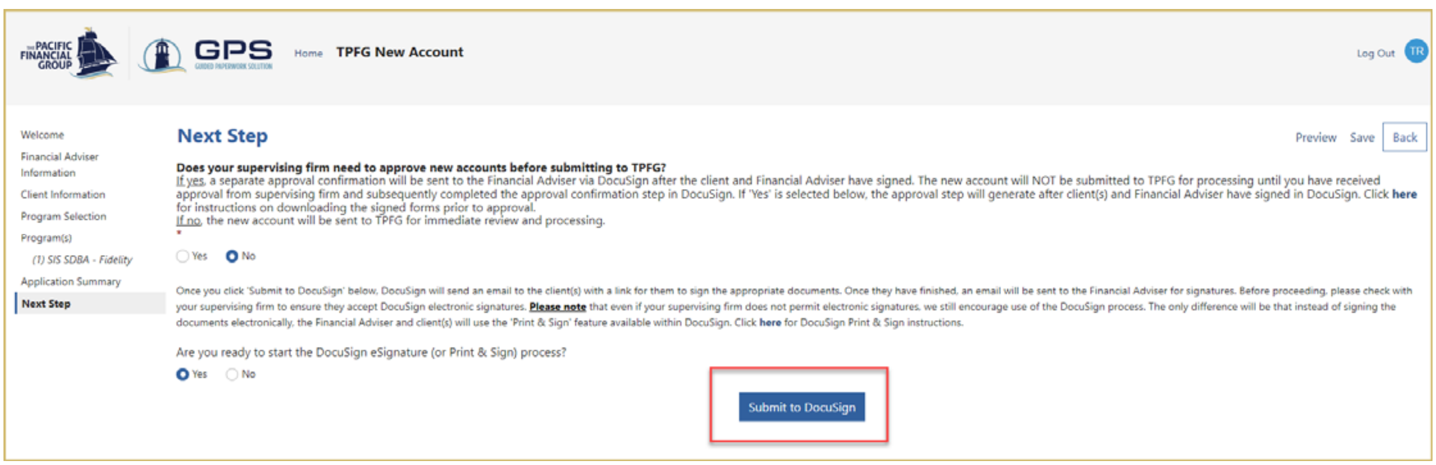

14. The **Next Step** page asks if the Adviser's supervising firm requires pre-approval before submitting to TPFG If Yes, an additional approval step will be added in DocuSign for the Adviser to complete after both client and Adviser have signed. This allows the Adviser the opportunity to 'pause' submission of the application until approval is obtained from the supervising firm. To **download signed forms**, please see DocuSign Download Document Instructions.



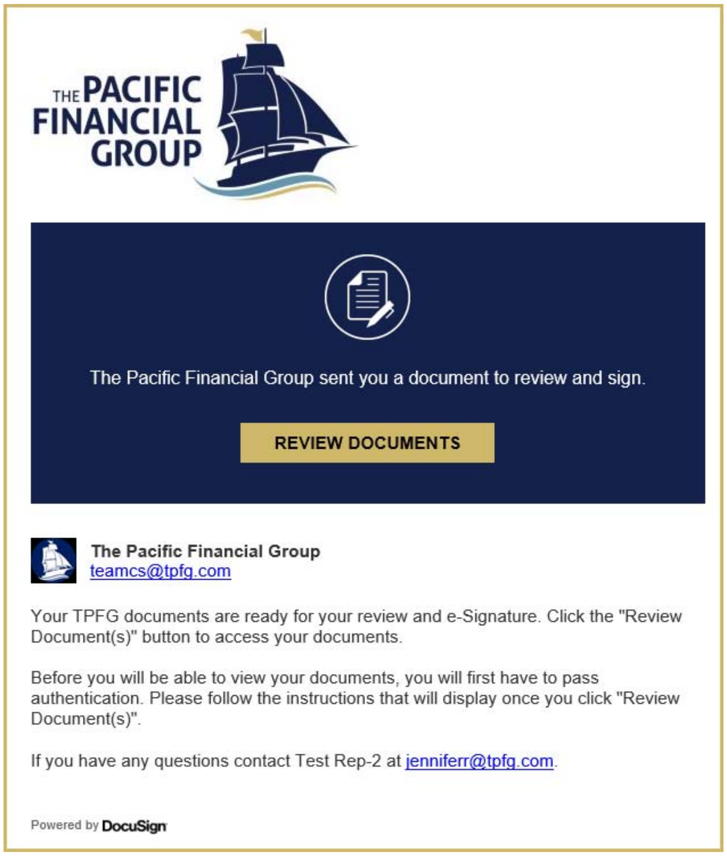
The **Next Step** page also has a **Preview** button in the top right to review the documents that will be generated in the package before sending to client. First answer both questions on page, then click on Preview and select a document from the pop-up window to review the form(s).



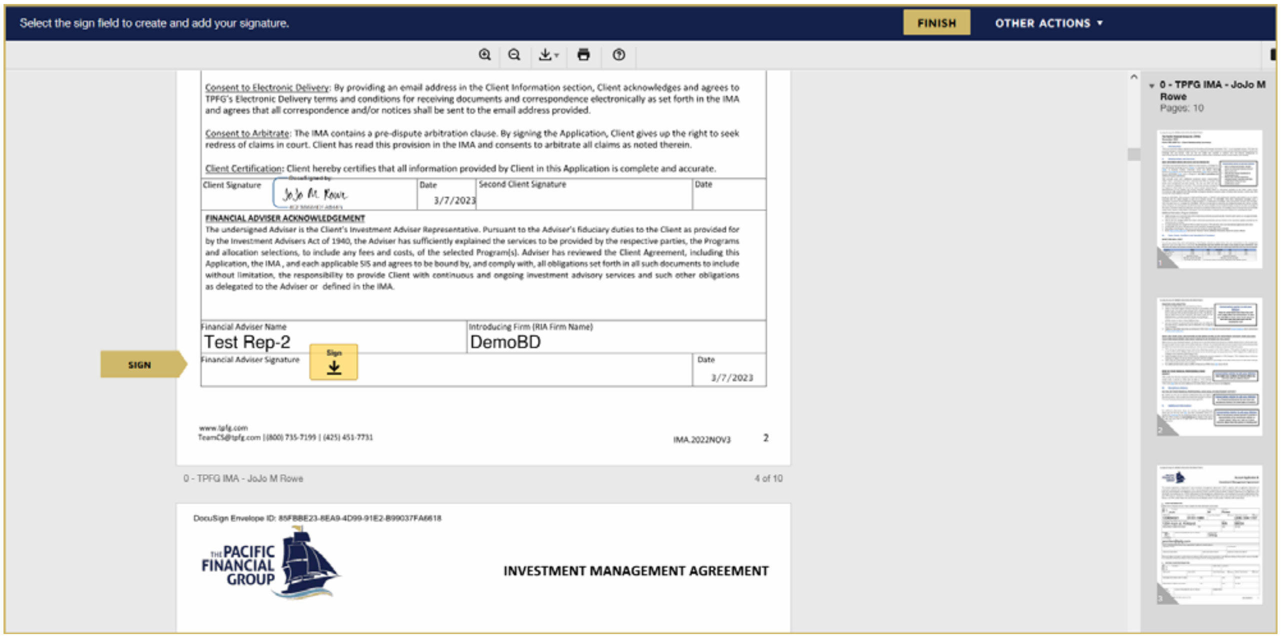
Click on **Submit to DocuSign** to initiate the DocuSign signing process. If wet signatures are required for client, please see the DocuSign Print & Sign Instructions.



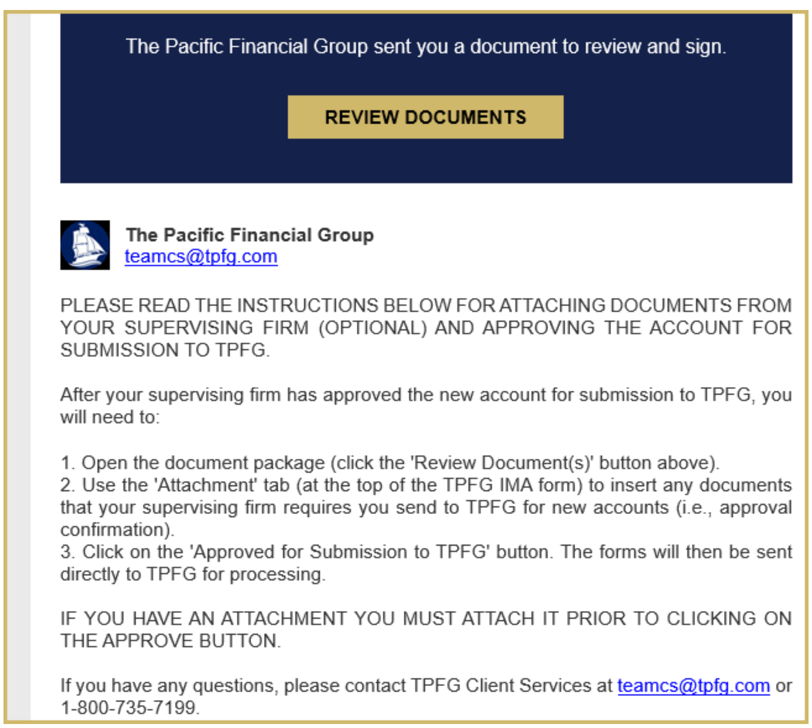
15. The documents will be sent to client(s) first and then to the Adviser for signatures using **DocuSign**. The client will receive an email with a link to the documents in DocuSign. The level of authentication in DocuSign will vary depending on the documents included in the package. Some custodian documents require Knowledge-Based Authentication for the client signatures.



16. Once the client has signed in DocuSign, the Adviser will receive an email with a link to the documents in DocuSign. If no approval step selected by Adviser, the documents will be sent directly to TPFG for processing after Adviser signs.




If the approval step was selected by the Adviser, an approval email will be sent to the Adviser immediately after signing. To complete the approval, open the envelope by clicking on 'Review Documents' in the email.


The Pacific Financial Group sent you a document to review and sign.

REVIEW DOCUMENTS

**The Pacific Financial Group**
teamcs@tpfg.com

PLEASE READ THE INSTRUCTIONS BELOW FOR ATTACHING DOCUMENTS FROM YOUR SUPERVISING FIRM (OPTIONAL) AND APPROVING THE ACCOUNT FOR SUBMISSION TO TPFG.

After your supervising firm has approved the new account for submission to TPFG, you will need to:

1. Open the document package (click the 'Review Document(s)' button above).
2. Use the 'Attachment' tab (at the top of the TPFG IMA form) to insert any documents that your supervising firm requires you send to TPFG for new accounts (i.e., approval confirmation).
3. Click on the 'Approved for Submission to TPFG' button. The forms will then be sent directly to TPFG for processing.

IF YOU HAVE AN ATTACHMENT YOU MUST ATTACH IT PRIOR TO CLICKING ON THE APPROVE BUTTON.

If you have any questions, please contact TPFG Client Services at teamcs@tpfg.com or 1-800-735-7199.

Within this step there is an option to attach additional supporting documents. Select the **Attachment** icon and **Upload a File** to select a file to attach.

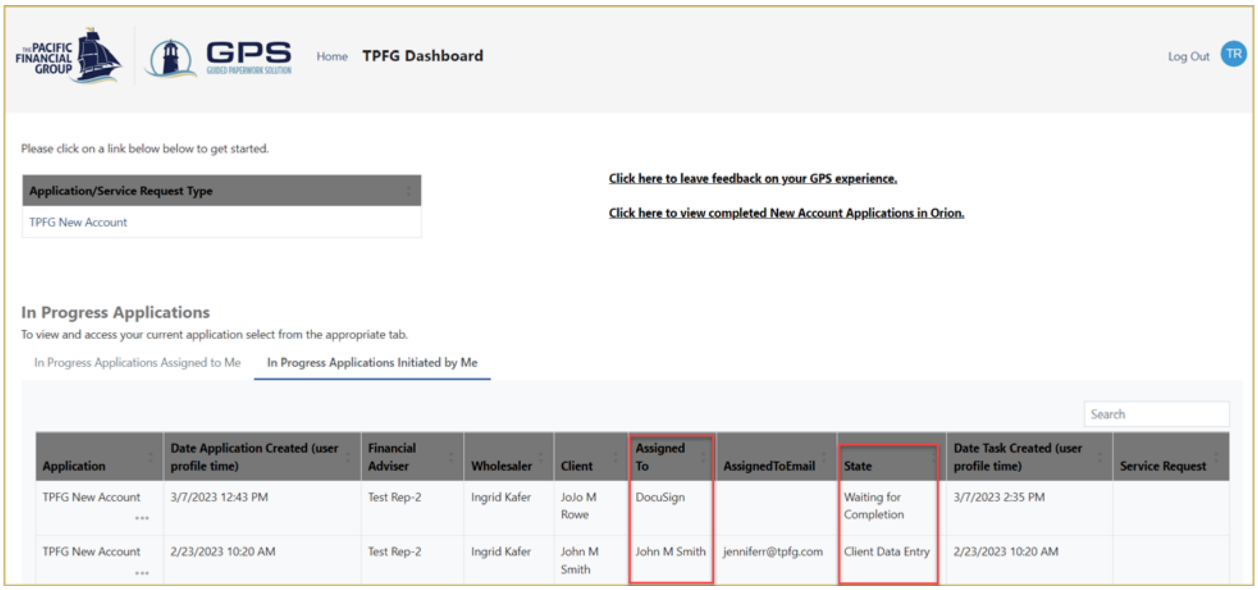

When ready to submit the application to TPFG (including any optional attachments), click on the **Approved for Submission to TPFG** button at the top of the page.


After the Adviser has signed and approval completed by Adviser (if applicable), the application is complete, and DocuSign routes the completed documents to TPFG for processing.

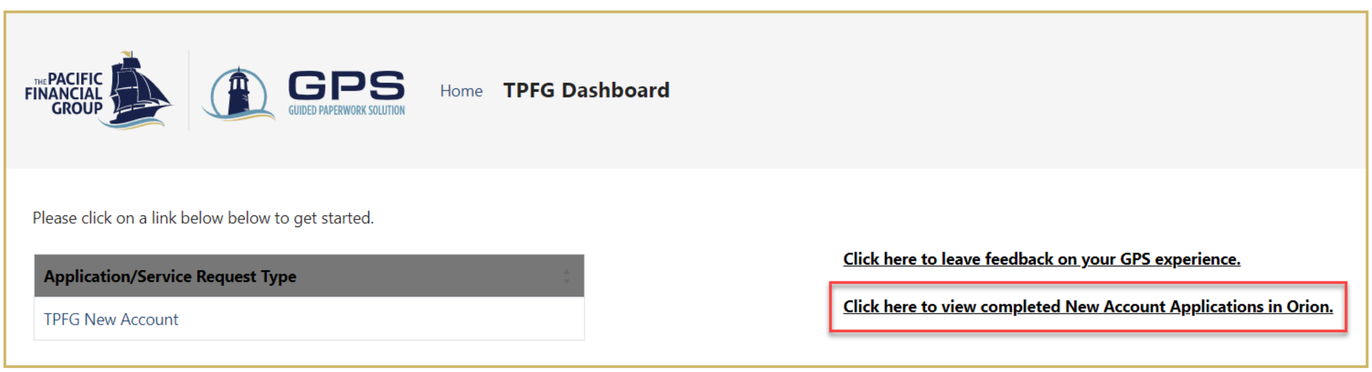
TPFG Client Services will confirm receipt of new account(s) once received from DocuSign. Adviser and Client will also receive a completion confirmation email from DocuSign with the documents attached.

# GPS DASHBOARD

On the **GPS Dashboard**, you can view all in-progress applications. The **In Progress Applications Assigned to Me** tab shows applications that are assigned to you and pending action. The **In Progress Applications Initiated by Me** tab shows applications that have been initiated by your user ID and are assigned to another user for action. If the **Assigned To** column shows 'DocuSign', that means the application was completed in GPS and is pending completion of e-signatures.




Upon completion, new accounts are viewable in the Adviser Portal (Orion). From the GPS Dashboard, click on **Click here to view completed New Account Applications in Orion**, to launch the New Accounts Center.



Questions?

1-866-583-8734

TPFG Territory Sales