



**GPS**  
GUIDED PAPERWORK SOLUTION

# New Account Opening User Guide

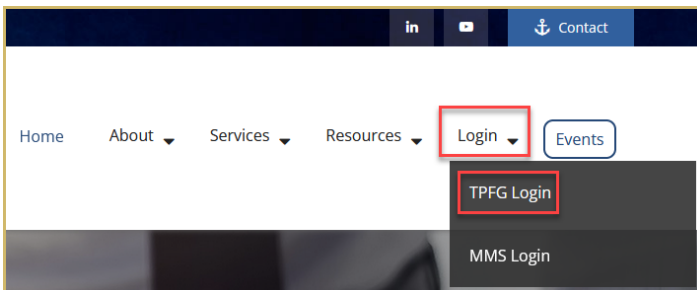
## OVERVIEW

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®.



## GETTING STARTED

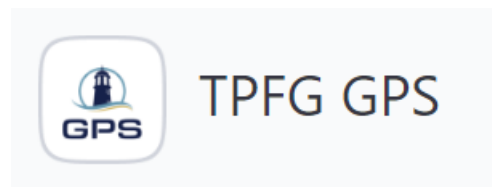
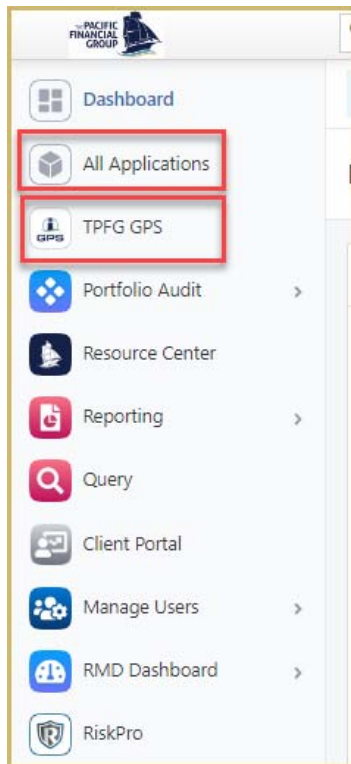
1. Please visit our website at [www.tpfgr.com](http://www.tpfgr.com). Click **Login** and **TPFG Login** in upper right-hand corner.



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

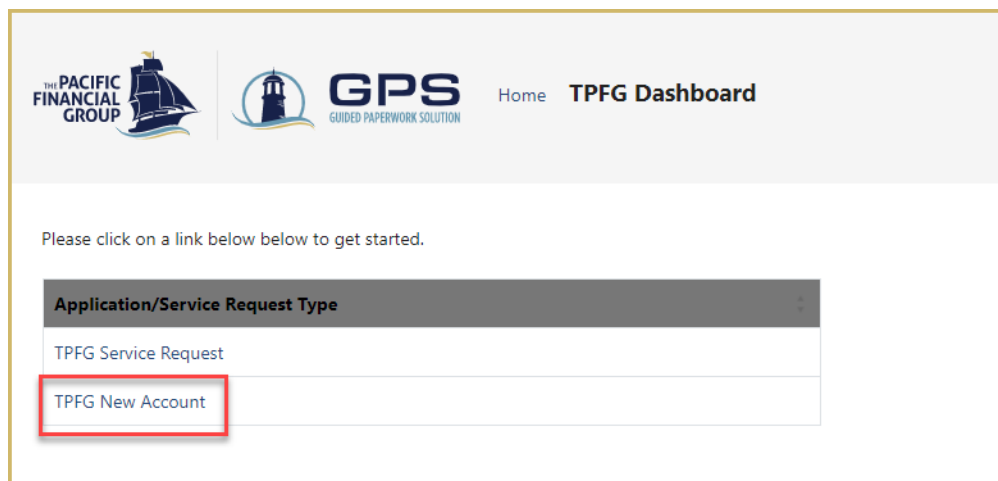
The screenshot shows the TPFG Login page. It features the TPFG logo at the top. Below the logo is a 'Login' section with a 'Username' input field and a 'Continue' button. At the bottom of the login section is a 'Create Login' link.

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



## START A NEW ACCOUNT APPLICATION

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





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# New Account Opening User Guide

- 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.

Welcome to The Pacific Financial Group, Inc. ("TPFG") Guided Paperwork Solution ("GPS"). Here, you will:

1. Pre-fill account opening forms with your clients' information.
2. Send the forms package to your client(s) for the "signing ceremony." During the signing ceremony, your client(s) will sign first via DocuSign (eSignature or Print & Sign) and then you will sign via DocuSign.
3. Upon completing your signature, the forms will go to our Client Services team for processing. You will receive an email notification from our Client Services team as confirmation of the new account submission.

TPFG has designed this experience to be as seamless as possible but if you have any questions or need assistance along the way, please reach out to your Sales representative at 866-583-8734.

- 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.

Use the "Select Signer" dropdown to select the Financial Adviser signing the form(s)

Select Signer \* Introducing Firm Email \* Adviser Mobile Phone \*

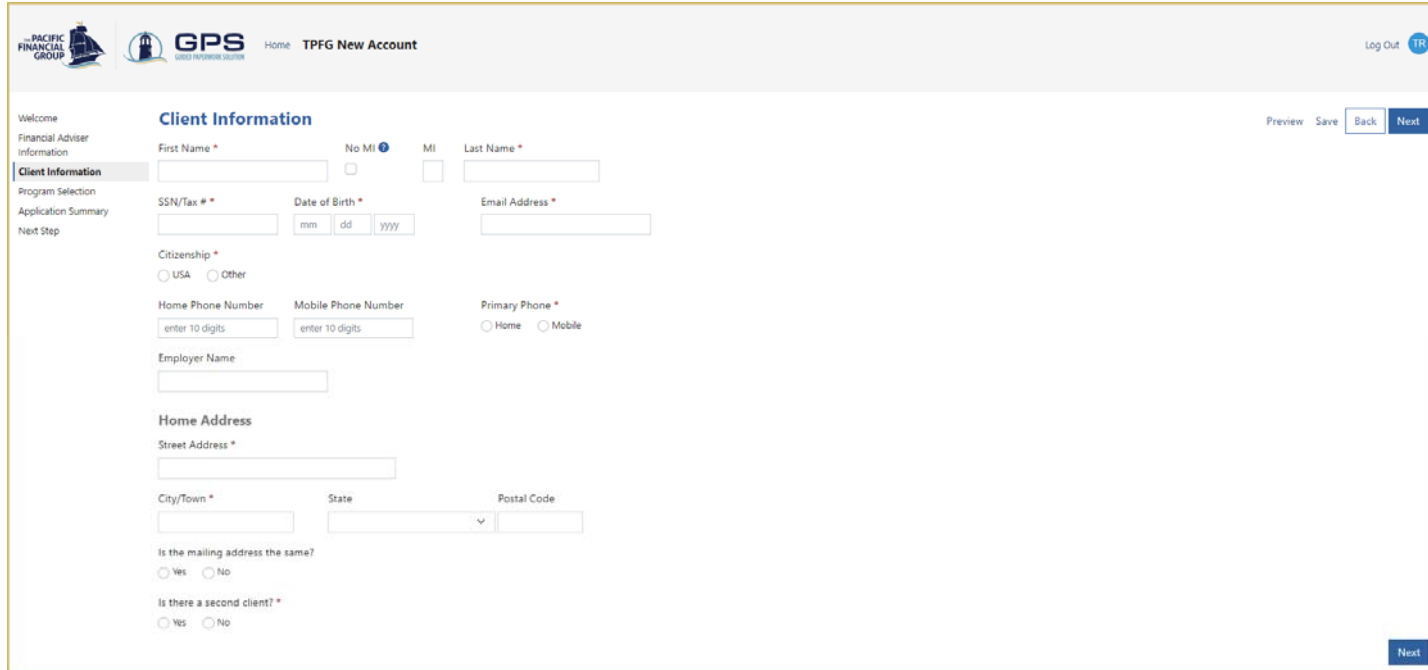
649 - Test Rep-2 DemoBD jenniferr@tpfg.com 2063341157

Selling Agreement for Rep Id Products Available for Rep to Sell

Yes All Products

If Adviser's firm has any product restrictions, they will be displayed here.

- 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.

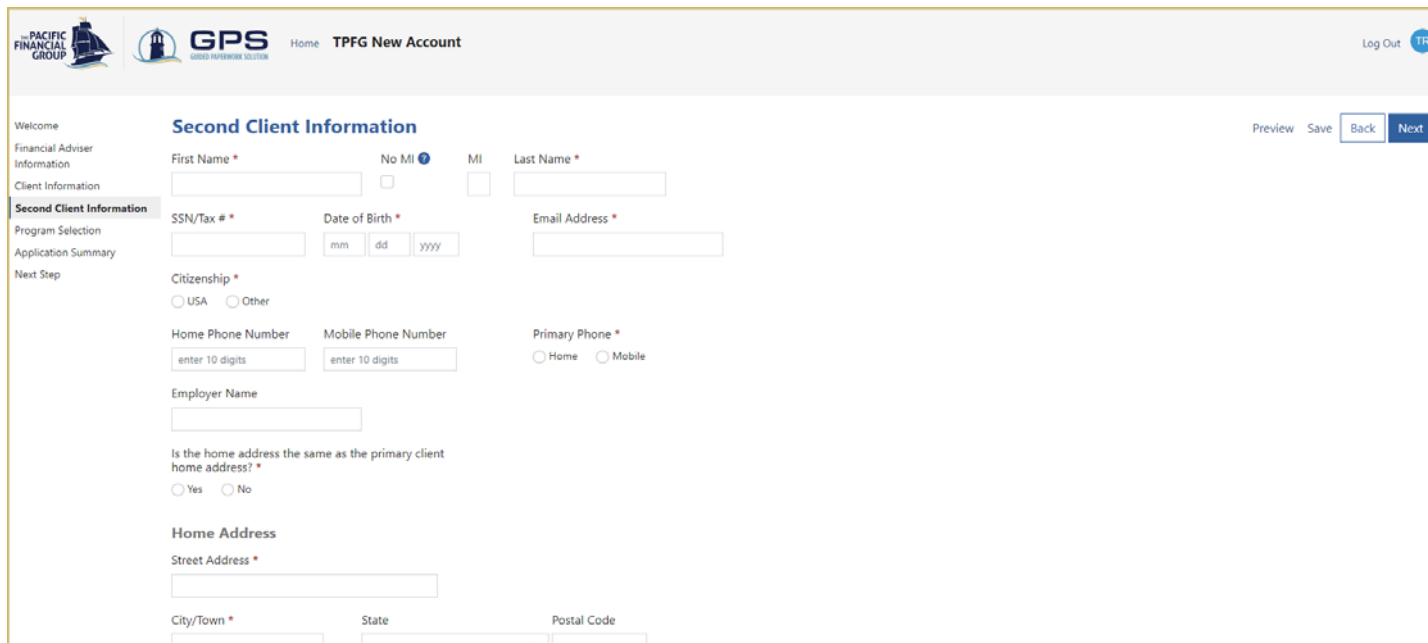


The screenshot shows the 'Client Information' page in the GPS system. The page has a sidebar on the left with navigation links: Welcome, Financial Adviser Information, Client Information (selected), Program Selection, Application Summary, and Next Step. The main content area is titled 'Client Information' and contains the following fields:

- First Name \***, **MI** (with a dropdown for 'No MI'), **Last Name \***
- SSN/Tax # \***, **Date of Birth \*** (with mm, dd, yyyy dropdowns), **Email Address \***
- Citizenship \*** (USA, Other radio buttons)
- Home Phone Number** (enter 10 digits), **Mobile Phone Number** (enter 10 digits), **Primary Phone \*** (Home, Mobile radio buttons)
- Employer Name**
- Home Address** section:
  - Street Address \***
  - City/Town \***, **State** (dropdown), **Postal Code**
- Is the mailing address the same?** (Yes, No radio buttons)
- Is there a second client? \*** (Yes, No radio buttons)

At the bottom right, there are buttons for 'Preview', 'Save', 'Back', and 'Next'.

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

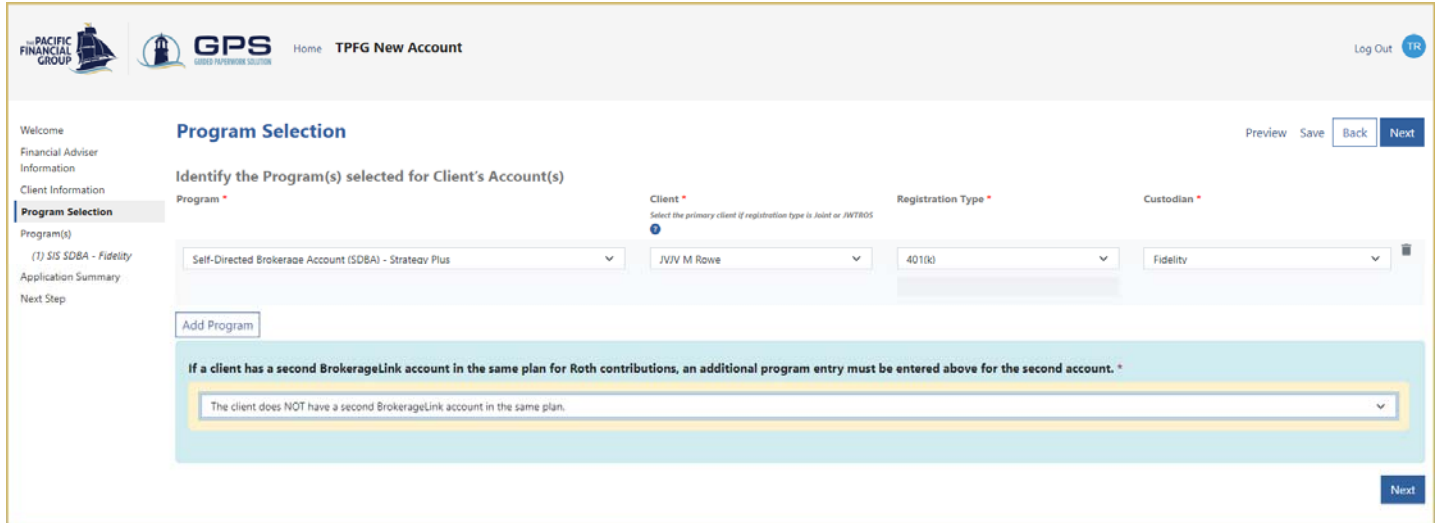


The screenshot shows the 'Second Client Information' page in the GPS system. The page has a sidebar on the left with navigation links: Welcome, Financial Adviser Information, Client Information, Second Client Information (selected), Program Selection, Application Summary, and Next Step. The main content area is titled 'Second Client Information' and contains the following fields:

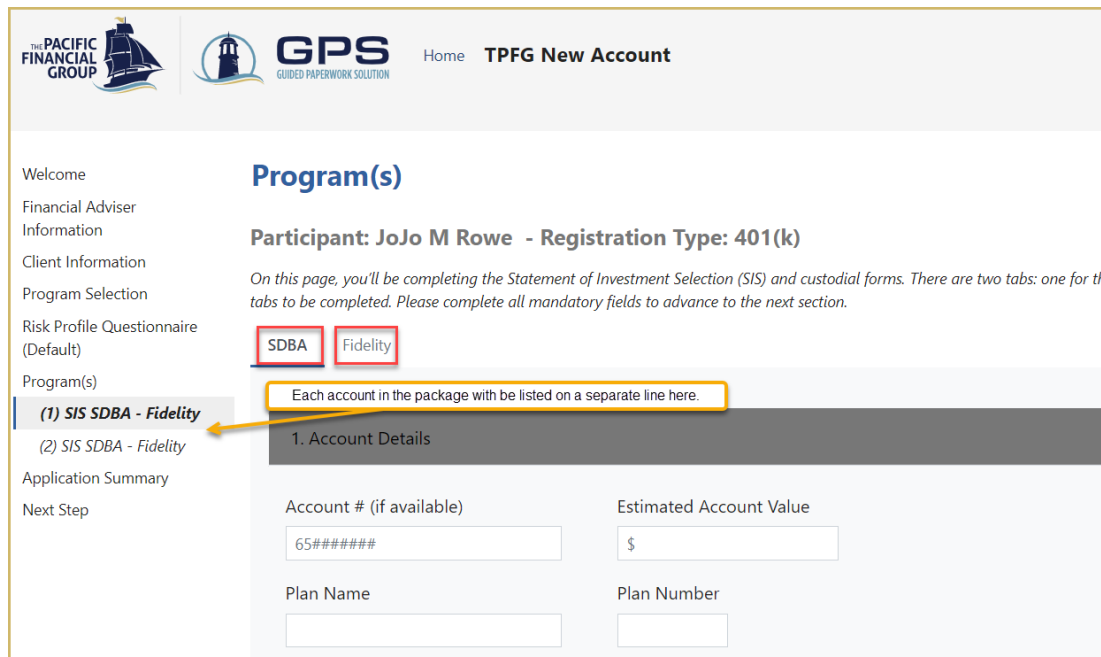
- First Name \***, **MI** (with a dropdown for 'No MI'), **Last Name \***
- SSN/Tax # \***, **Date of Birth \*** (with mm, dd, yyyy dropdowns), **Email Address \***
- Citizenship \*** (USA, Other radio buttons)
- Home Phone Number** (enter 10 digits), **Mobile Phone Number** (enter 10 digits), **Primary Phone \*** (Home, Mobile radio buttons)
- Employer Name**
- Is the home address the same as the primary client home address? \*** (Yes, No radio buttons)
- Home Address** section:
  - Street Address \***
  - City/Town \***, **State** (dropdown), **Postal Code**

At the bottom right, there are buttons for 'Preview', 'Save', 'Back', and 'Next'.

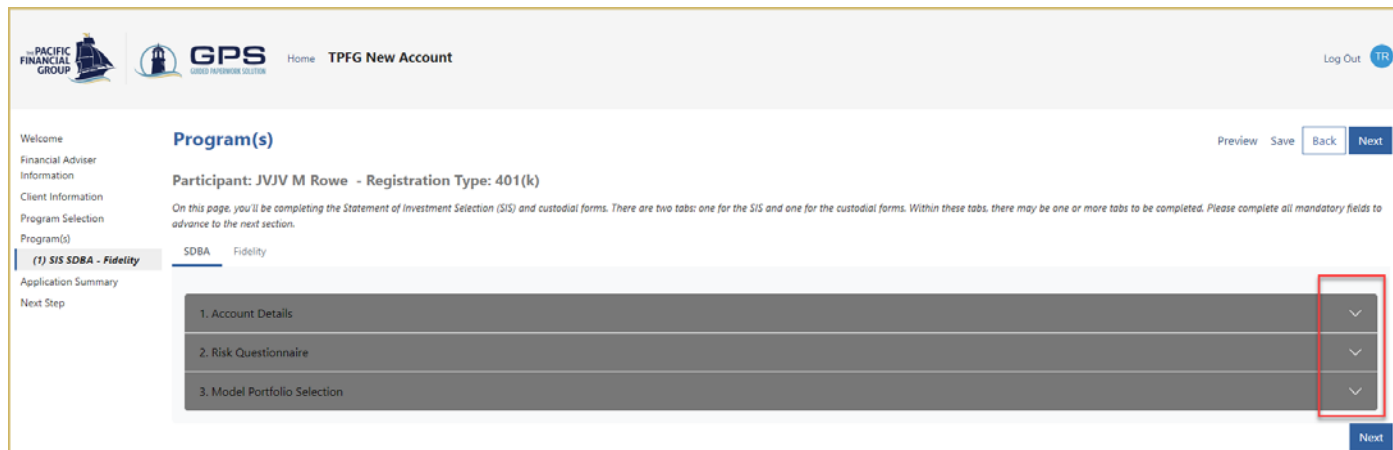
- On the **Program Selection** page, complete the required fields. Add additional accounts by clicking on the **Add Program** button. Click Next to continue.



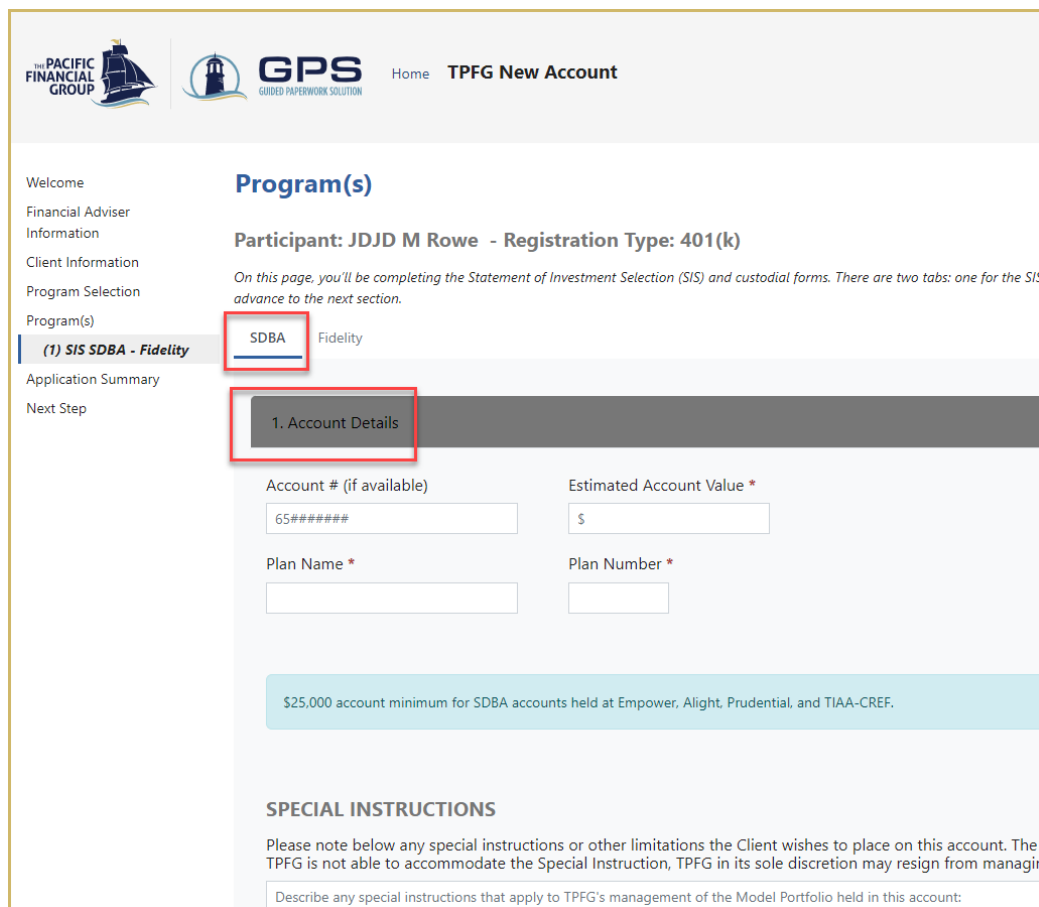
- A **Program** page is generated for each account with two tabs within each program page. The 1st tab (labeled with Program name) is specific to TPGF forms. The 2<sup>nd</sup> tab (labeled with custodian name) includes any additional information needed to populate the custodian form(s).



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.

☐ More than three years (10)

9) Which of the following best describes your investment objectives? \*

☐ Preserving principal and earning a moderate amount of current income (0)

☐ Generating a high amount of current income (2.5)

☐ Generating some current income and growing my assets (5)

☒ Moderately growing my assets (7.5)

☐ Growing my assets substantially (10)

10) What is your current annual income requirement from this portfolio? \*

☐ More than 4% (2.5)

☐ 2% to 4% (5)

☒ 0% to 2% (7.5)

☐ I don't need current income (10)

**Total Risk Score:** 66.5

Based on the results of the Risk Profile Questionnaire your risk score is: **66.5** which makes your risk profile: **Moderate**

3. Model Portfolio Selection

Next

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).

Based on the results of the Risk Profile Questionnaire your risk score is: **66.5** which makes your risk profile: **Moderate**

Select a Model Portfolio from the list below.

☒ Check this box to display model portfolios that are outside the Risk Profile noted in the Risk Profile Questionnaire. The selected model portfolio is appropriate for the objectives for this account.

Risk Score Range	RiskPro® Tolerance Range	Portfolio Risk Profile
22 to 43.2	+/- 0.00% to +/- 12.00%	Conservative
43.3 to 53.2	+/-12.01% to +/-17.67%	Moderate Conservative
53.3 to 68.7	+/- 17.68% to +/- 26.51%	Moderate
68.8 to 84.3	+/- 26.52% to +/- 35.35%	Moderate Growth
84.4 to 100	+/- 35.36 to +/-44.20%	Aggressive

**Select a Model Portfolio**

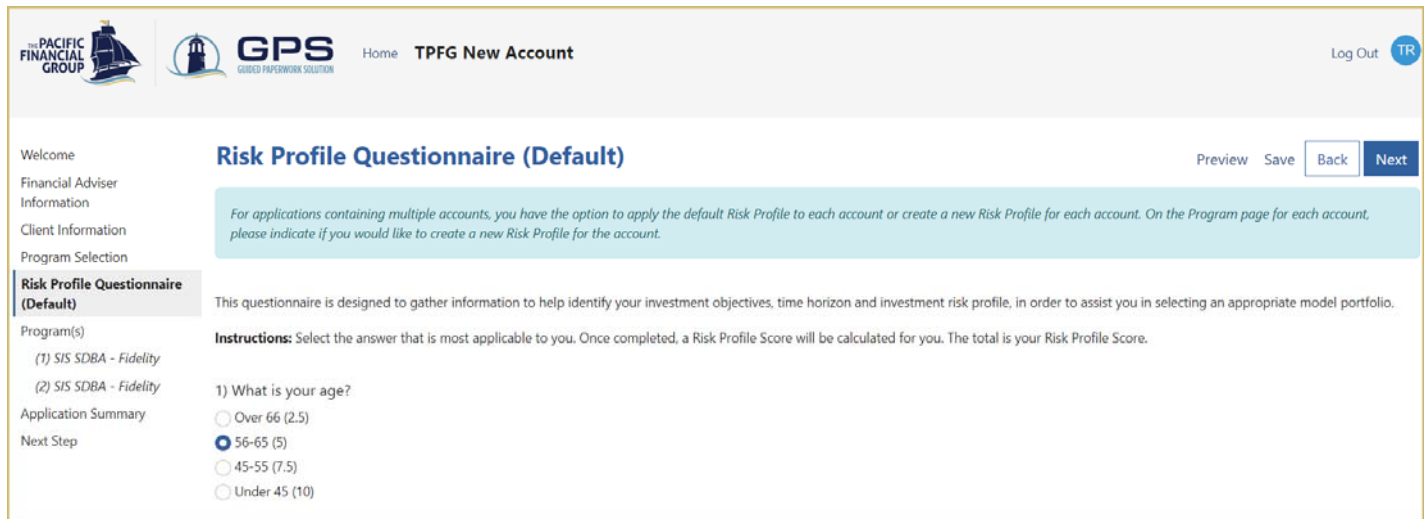
**1. Conservative**

- American Funds Conservative
- ESG PLUS Conservative
- Fidelity Institutional AM Conservative
- Focus Conservative
- Multi PLUS Conservative
- Target PLUS Conservative

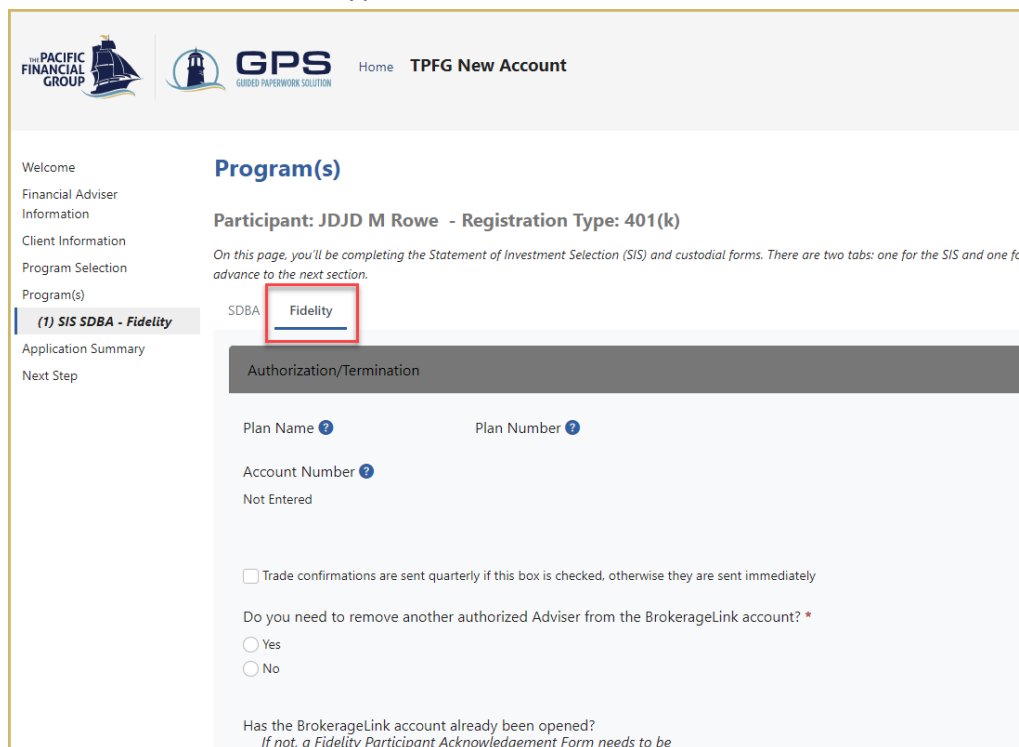
**2. Moderate Conservative**

- American Funds Moderate Conservative**
- ESG PLUS Moderate Conservative
- Fidelity Institutional AM Moderate Conservative
- Focus Moderate Conservative
- Meeder Moderate Conservative

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.

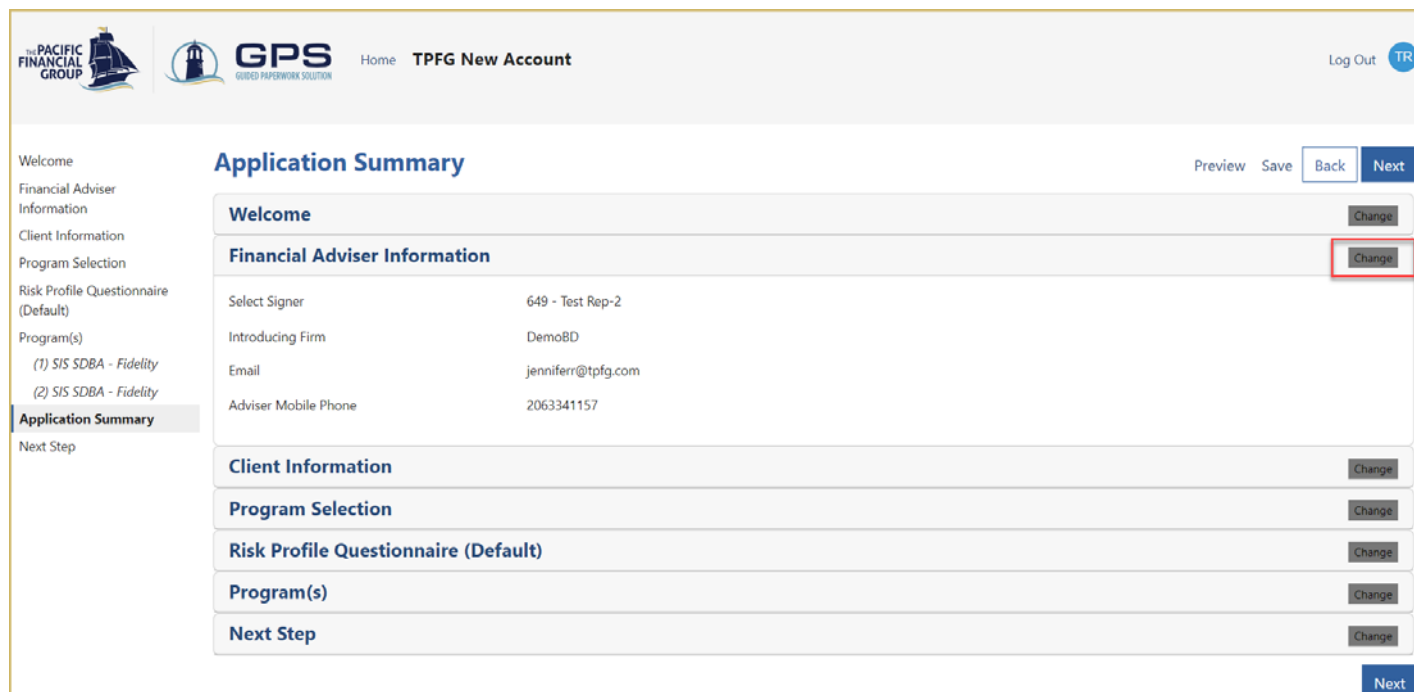


12. Complete all required fields on the **Custodian** tab. The fields on this tab will vary based on the custodian and account type.

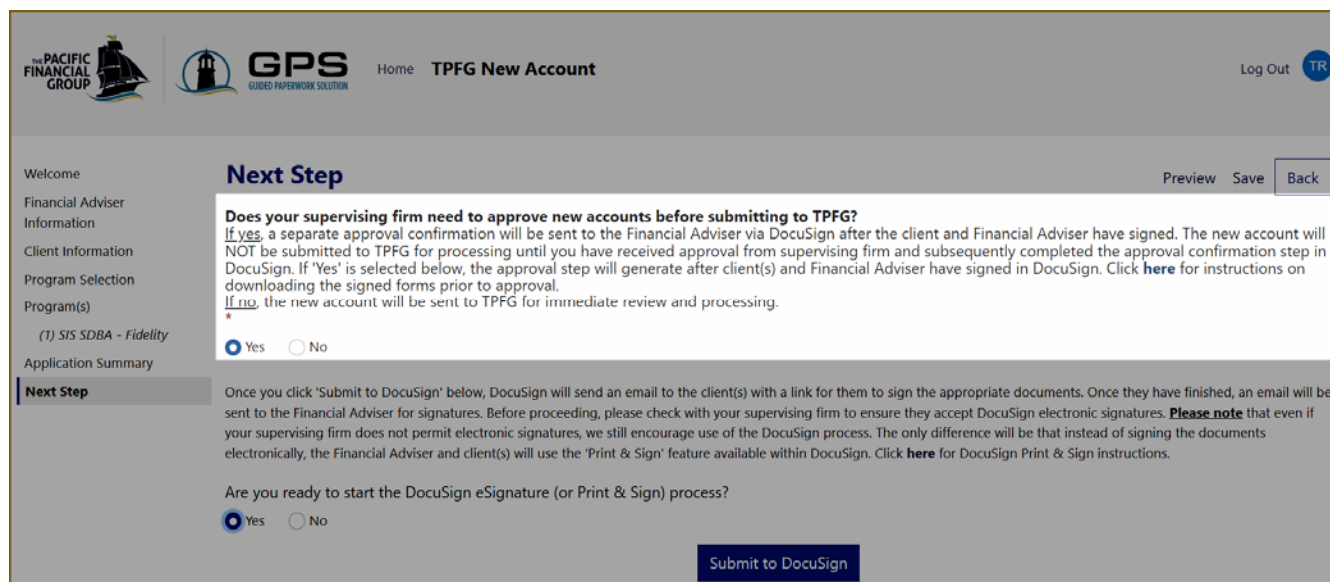




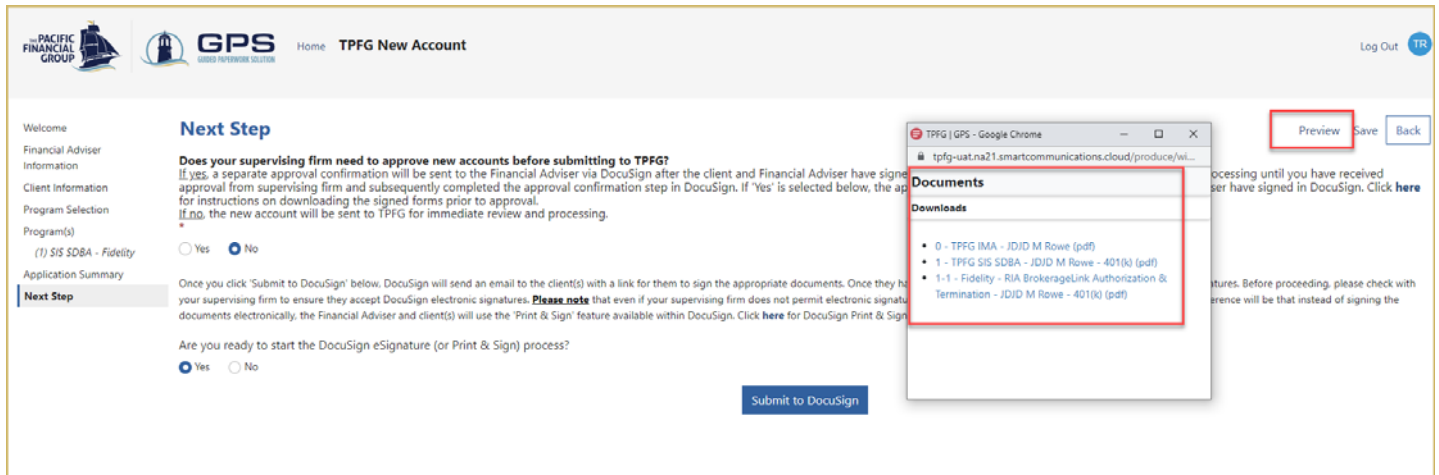
13. Expand any section on the **Application Summary** page to display your entries on that page. To revisit a page, click on the **Change** button for that page. Click Next to continue.



14. The **Next Step** page asks if the Adviser's supervising firm requires pre-approval before submitting to TPGF. 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](#).

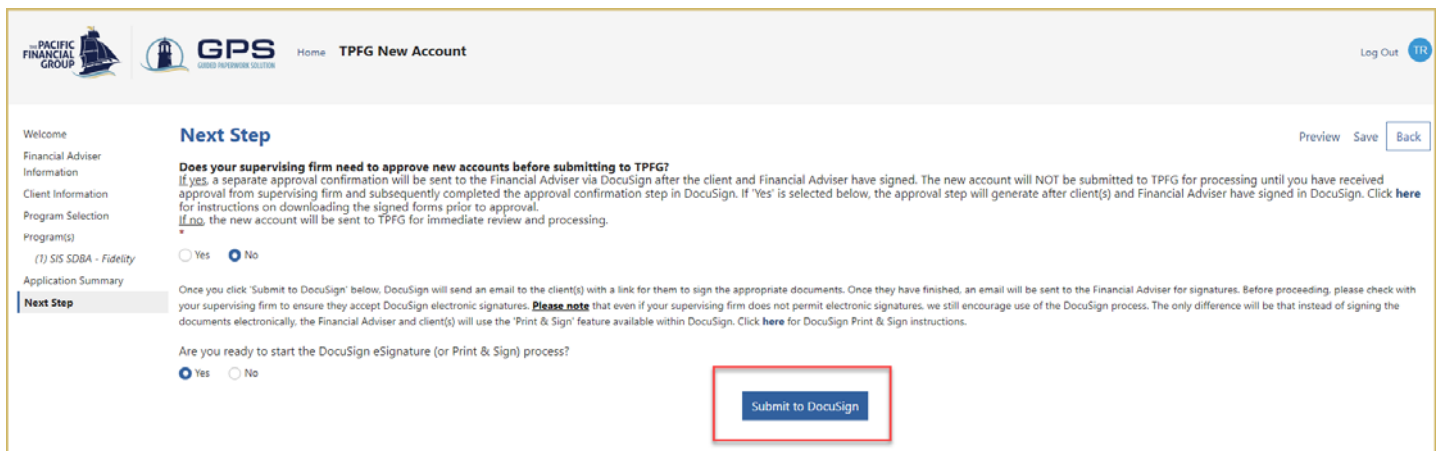


The **Next Step** page also has a **Preview** button in the top right to review the documents that will be generated in the package before sending to client. First answer both questions on page, then click on Preview and select a document from the pop-up window to review the form(s).



The screenshot shows the 'Next Step' page of the TPGF New Account opening process. The page includes a sidebar with navigation links: Welcome, Financial Adviser Information, Client Information, Program Selection, Program(s), (1) SIS SDBA - Fidelity, Application Summary, and Next Step. The main content area is titled 'Next Step' and contains a question: 'Does your supervising firm need to approve new accounts before submitting to TPGF?'. Below the question, there is a paragraph explaining the approval process and a 'Submit to DocuSign' button. A 'Preview' button is highlighted in the top right corner. A 'Documents' pop-up window is open, showing a list of PDF files: '0 - TPGF IMA - JDID M Rowe (pdf)', '1 - TPGF SIS SDBA - JDID M Rowe - 401(k) (pdf)', and '1-1 - Fidelity - RIA BrokerageLink Authorization & Termination - JDID M Rowe - 401(k) (pdf)'.

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](#).



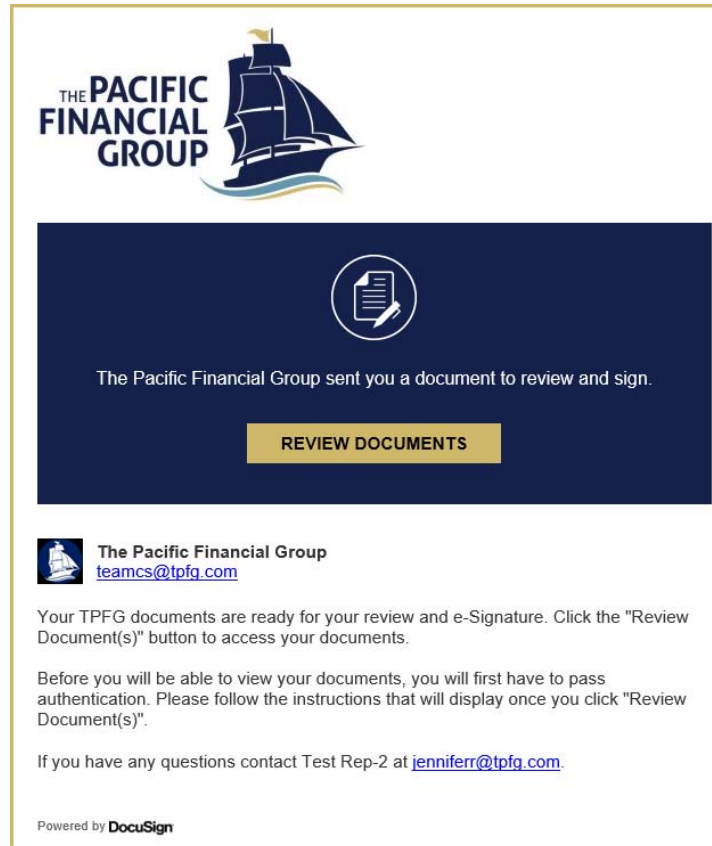
The screenshot shows the 'Next Step' page of the TPGF New Account opening process. The page includes a sidebar with navigation links: Welcome, Financial Adviser Information, Client Information, Program Selection, Program(s), (1) SIS SDBA - Fidelity, Application Summary, and Next Step. The main content area is titled 'Next Step' and contains a question: 'Does your supervising firm need to approve new accounts before submitting to TPGF?'. Below the question, there is a paragraph explaining the approval process and a 'Submit to DocuSign' button. The 'Submit to DocuSign' button is highlighted with a red box.



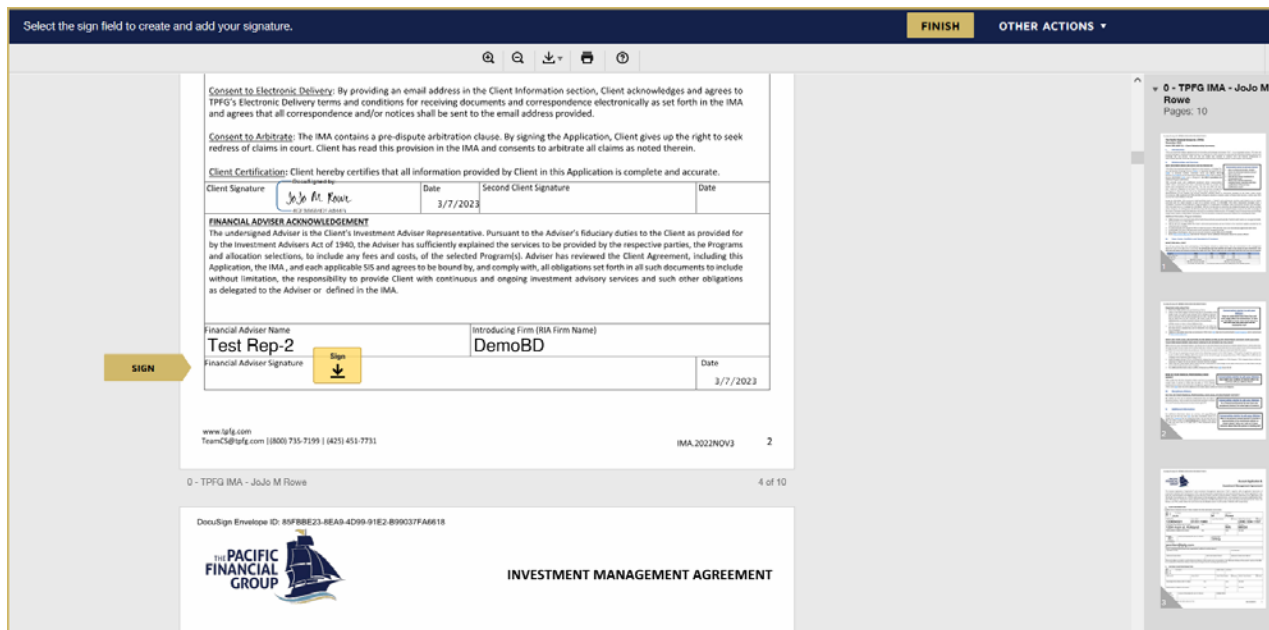
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## New Account Opening User Guide

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.




The screenshot shows the DocuSign interface for the 'TPFG IMA - JoJo M Rowe' document. The document is titled 'INVESTMENT MANAGEMENT AGREEMENT' and is from 'The Pacific Financial Group'. The document is currently at the 'SIGN' stage, with a 'SIGN' button highlighted. The document contains sections for 'Consent to Electronic Delivery', 'Consent to Arbitrate', 'Client Certification', and 'FINANCIAL ADVISER ACKNOWLEDGEMENT'. The 'FINANCIAL ADVISER ACKNOWLEDGEMENT' section includes fields for 'Financial Adviser Name' (Test Rep-2), 'Introducing Firm (RIA Firm Name)' (DemoBD), 'Financial Adviser Signature', and 'Date' (3/7/2023). The document is 2 pages long, and the current page is 4 of 10. The document ID is 85FBBE23-8EAB-4D99-91E2-B99031FA6618.

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](mailto: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](mailto:teamcs@tpfg.com) or 1-800-735-7199.



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## New Account Opening User Guide

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.

DocuSign Envelope ID: 9E6A17AF-FA08-4172-B41F-845FB4C67DE4

  Optional

**Approved for Submission to TPFPG**

**Account Application & Investment Management Agreement**

**NEXT**



This Account Application ("Application") and Investment Management Agreement ("IMA"), together with all applicable Statements of Investment Selection and Fee Disclosure ("SIS"), and all documents incorporated by reference (collectively, the "Client Agreement"), sets forth the representations and obligations of the client(s) ("Client") and the Financial Adviser ("Adviser") identified in the Application, and The Pacific Financial Group, Inc. ("TPFG") with respect to the management, administration, and servicing of all accounts established by Client with TPFPG (each an "Account"). Unless agreed to otherwise, the IMA shall apply to all current and future SIS executed by the Client, the Adviser, and TPFPG, which reflect the same Social Security Number and/or Tax ID number ("SSN/Tax ID#") noted below.

**1. CLIENT INFORMATION**

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

DocuSign Envelope ID: 9E6A17AF-FA08-4172-B41F-845FB4C67DE4

**CHOOSE**

**Approved for Submission to TPFPG**

**Account Application & Investment Management Agreement**

This Account Application ("Application") and Investment Management Agreement ("IMA"), together with all applicable Statements of Investment Selection and Fee Disclosure ("SIS"), and all documents incorporated by reference (collectively, the "Client Agreement"), sets forth the representations and obligations of the client(s) ("Client") and the Financial Adviser ("Adviser") identified in the Application, and The Pacific Financial Group, Inc. ("TPFG") with respect to the management, administration, and servicing of all accounts established by Client with TPFPG (each an "Account"). Unless agreed to otherwise, the IMA shall apply to all current and future SIS executed by the Client, the Adviser, and TPFPG, which reflect the same Social Security Number and/or Tax ID number ("SSN/Tax ID#") noted below.

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



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# New Account Opening User Guide

## 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.

Home TPGF Dashboard

Log Out TR

Please click on a link below to get started.

Application/Service Request Type

TPFG New Account

[Click here to leave feedback on your GPS experience.](#)  
[Click here to view completed New Account Applications in Orion.](#)

### In Progress Applications

To view and access your current application select from the appropriate tab.

In Progress Applications Assigned to Me

In Progress Applications Initiated by Me

Application	Date Application Created (user profile time)	Financial Adviser	Wholesaler	Client	Assigned To	AssignedToEmail	State	Date Task Created (user profile time)	Service Request
TPFG New Account	3/7/2023 12:43 PM	Test Rep-2	Ingrid Kafer	Jolo M Rowe	DocuSign		Waiting for Completion	3/7/2023 2:35 PM	
TPFG New Account	2/23/2023 10:20 AM	Test Rep-2	Ingrid Kafer	John M Smith	John M Smith	jenniferr@tpfg.com	Client Data Entry	2/23/2023 10:20 AM	

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.

Home TPGF Dashboard

Please click on a link below to get started.

Application/Service Request Type

TPFG New Account

[Click here to leave feedback on your GPS experience.](#)

[Click here to view completed New Account Applications in Orion.](#)





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## New Account Opening User Guide

Questions?

1-866-583-8734

[TPFG Territory Sales](#)