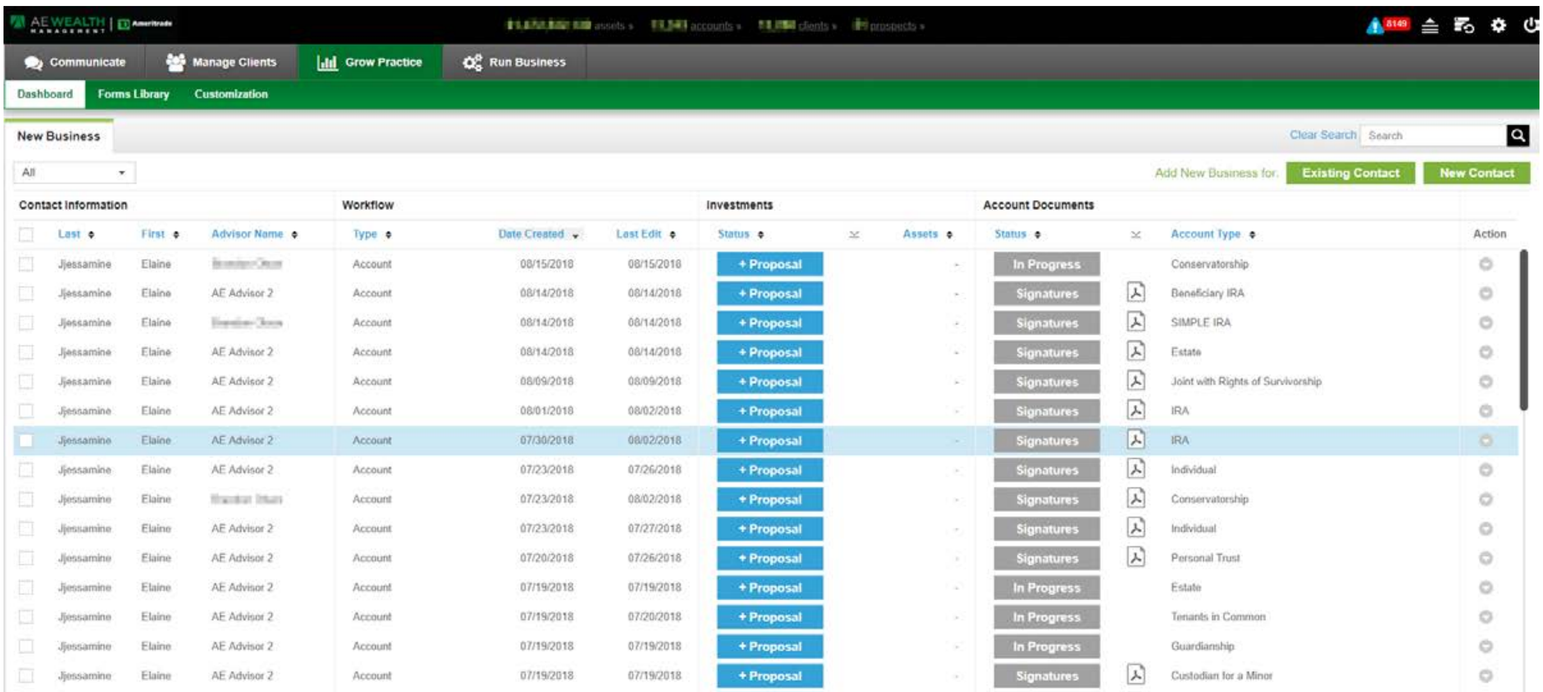
# WealthFusion
## Grow Practice Dashboard

## In this article you will learn:

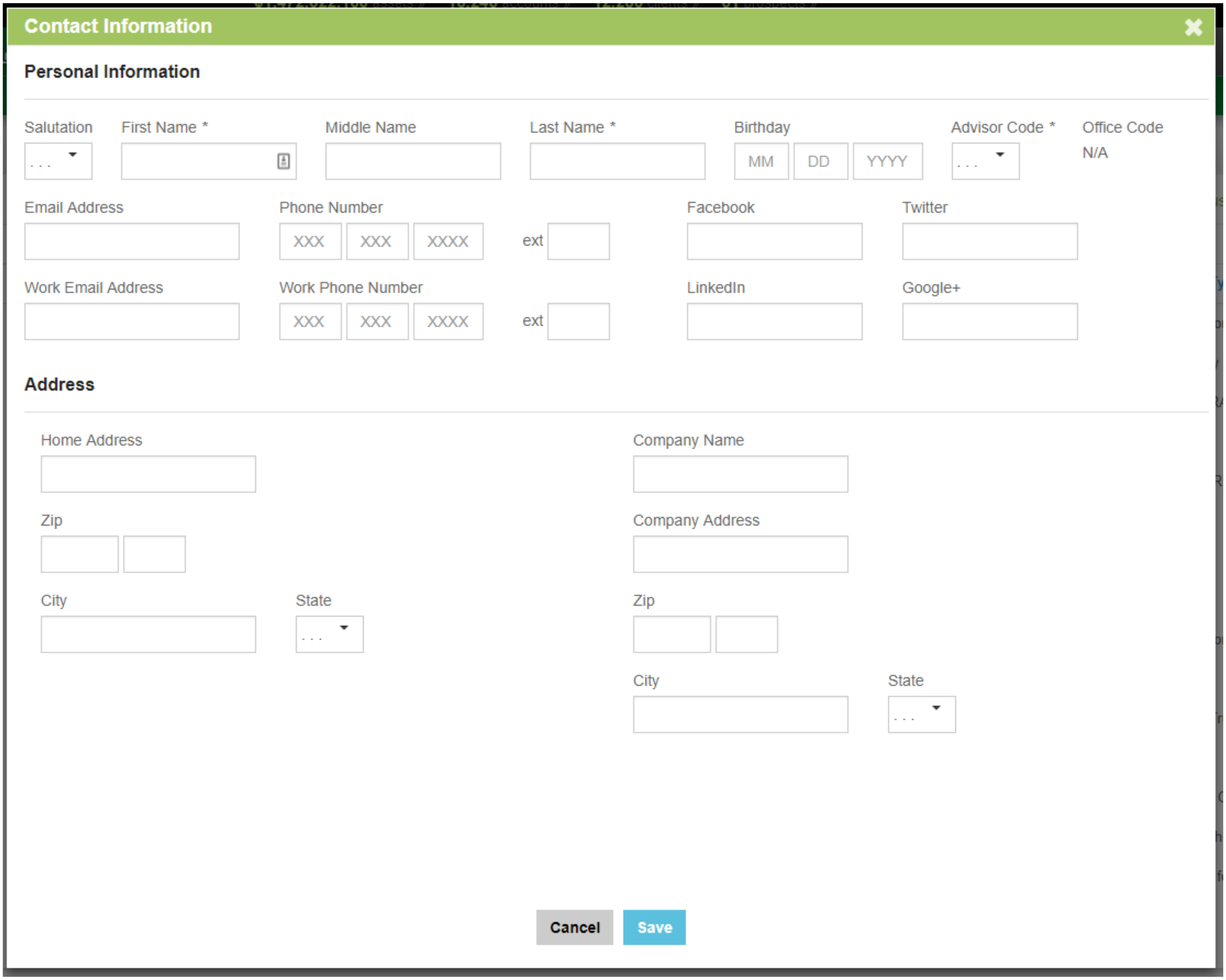
- How to Create an Account
- Key Areas of the Grow Practice Dashboard

## Creating an Account

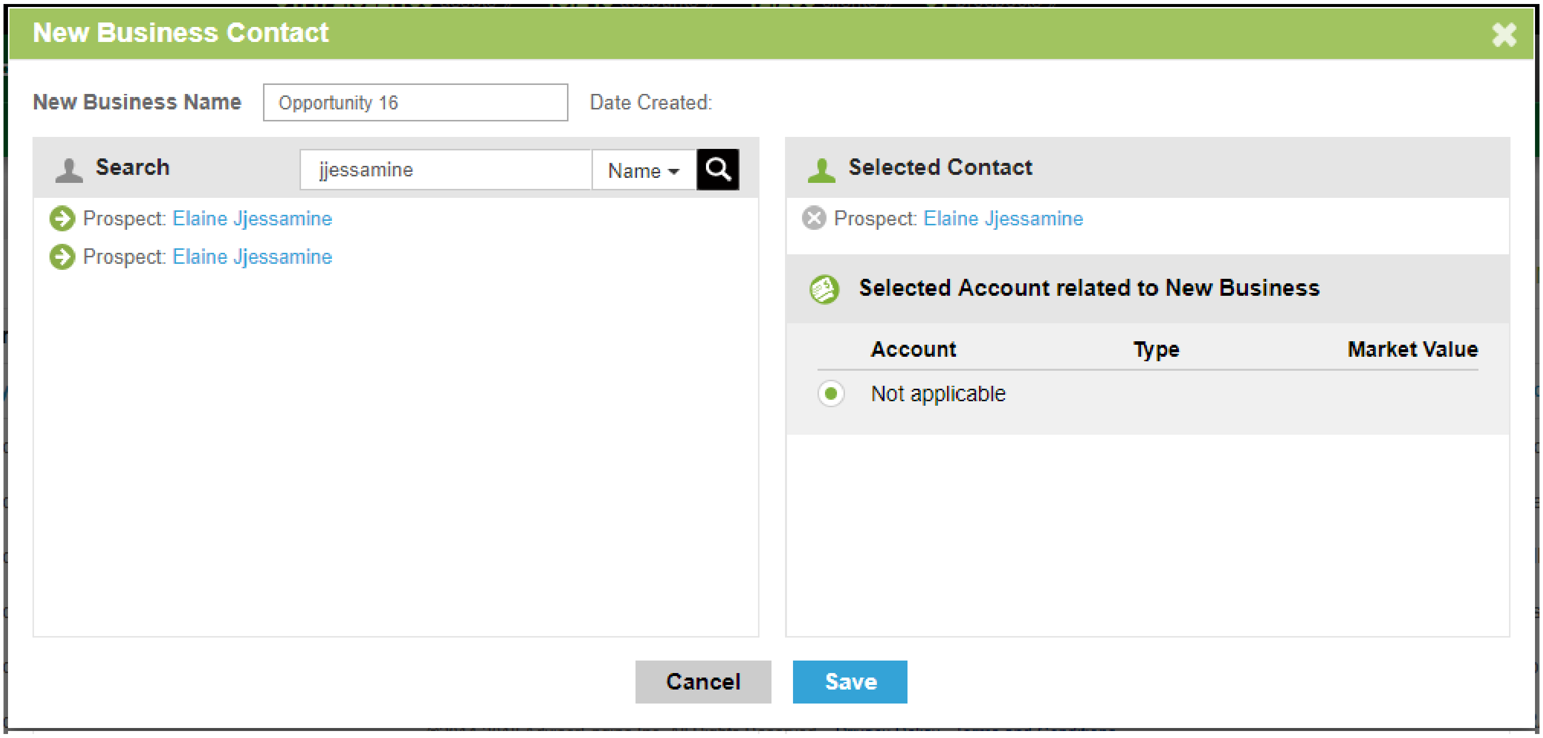
Advisors can create a new account for a client by adding an opportunity for an existing contact or creating a new contact and opportunity.



Click the “New Contact” icon on the top right corner of the Grow Practice Dashboard to create a new contact and Opportunity. Clicking “New Contact” will open the Contact Information lightbox. Fill in the required Personal Information for the New Contact and click “Save” to create the Opportunity.

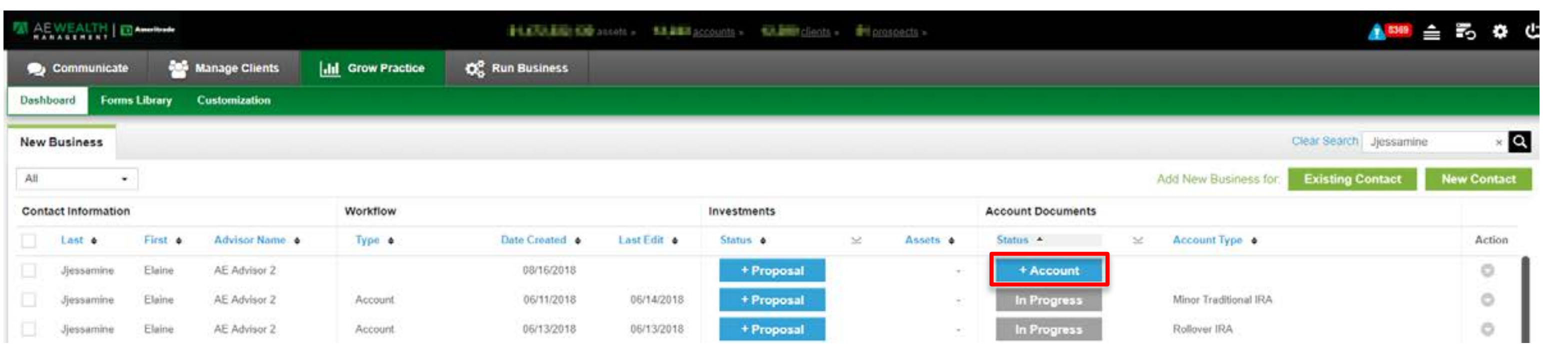


Alternatively, a user can create a new Opportunity for an existing contact by clicking "Existing Contact" at the top right-hand corner of the page. This will open the Opportunity Contact lightbox, where an Advisor can search for an existing contact by name. Click on the green arrow to the left of the contact to select it and move it to the right side. Name the Opportunity at the top of the screen and click "Save" to save the new Opportunity.




## New Account

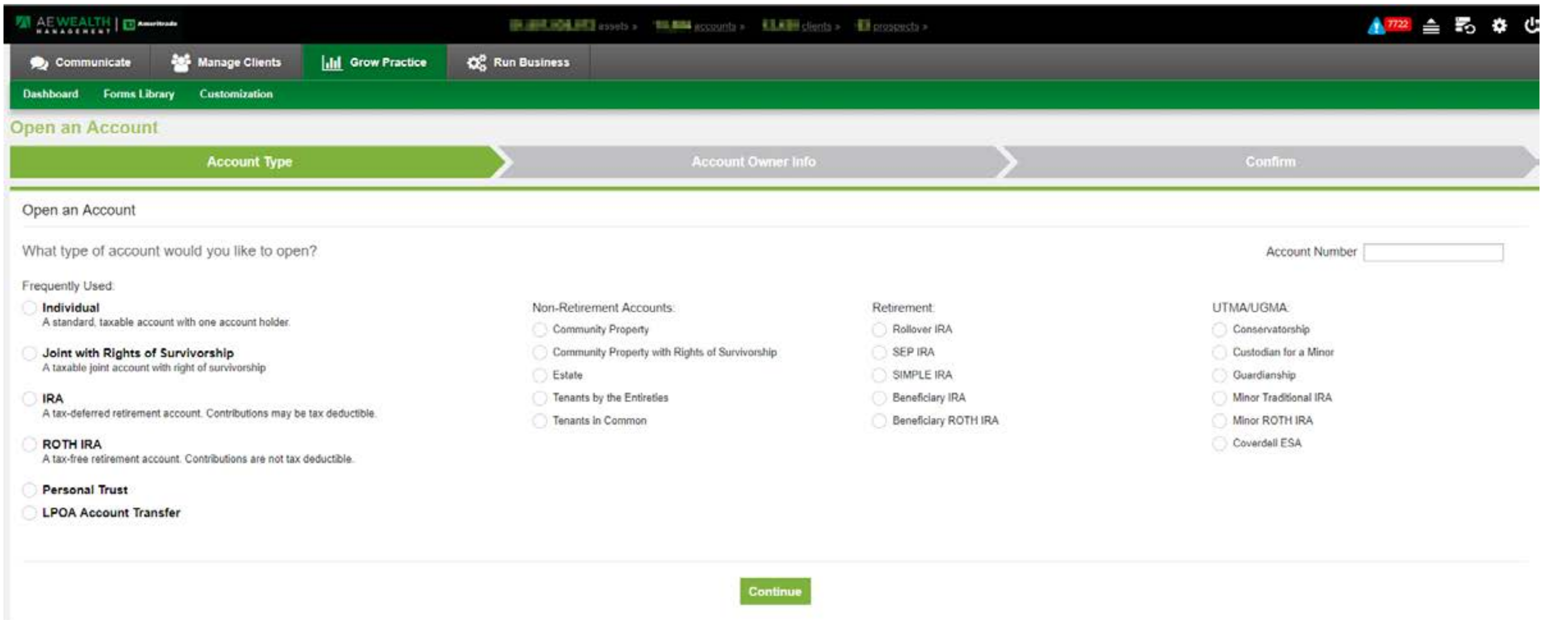
An Advisor can begin opening a new account by clicking "+Account" from the Grow Practice Dashboard.




All of the data entered on the screens will be mapped to the custodian forms.

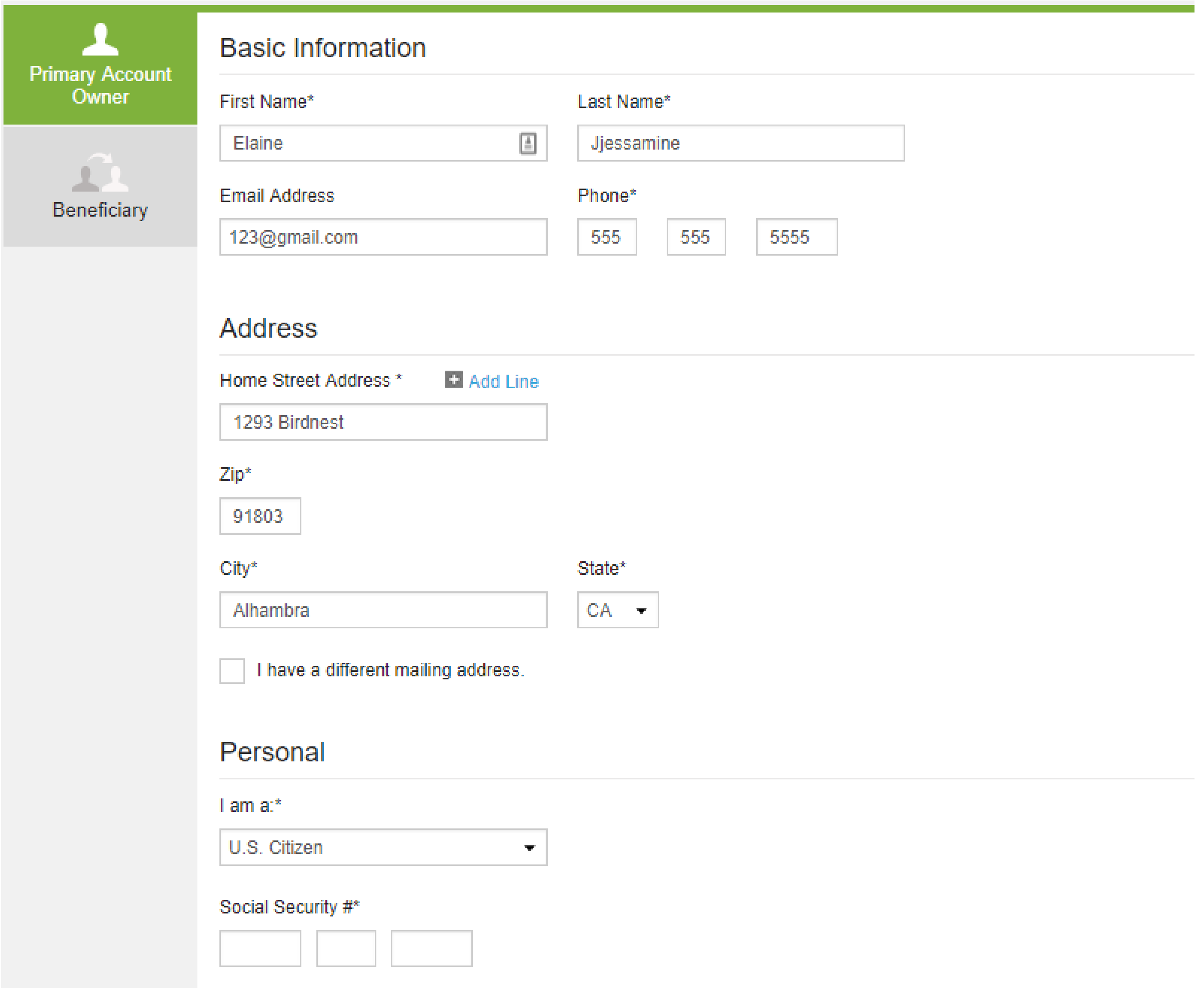
## Account Type

When the Advisor is creating a new account from the Grow Practice > Dashboard, they can select the Account Type on this screen.



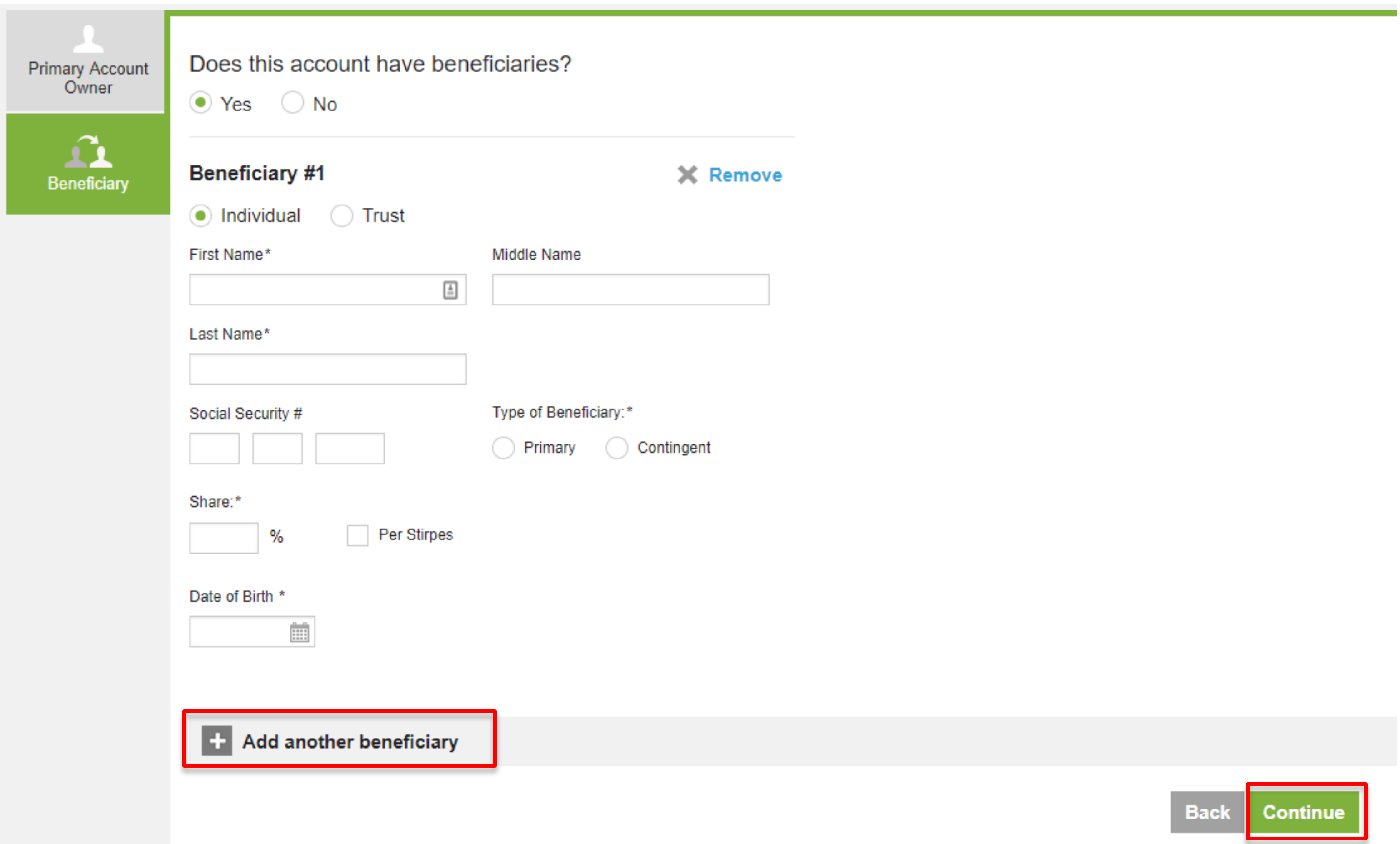
## Account Owner Info

All required information about the Primary Account Owner should be entered on this page.



## Account Owner Info (Beneficiary)

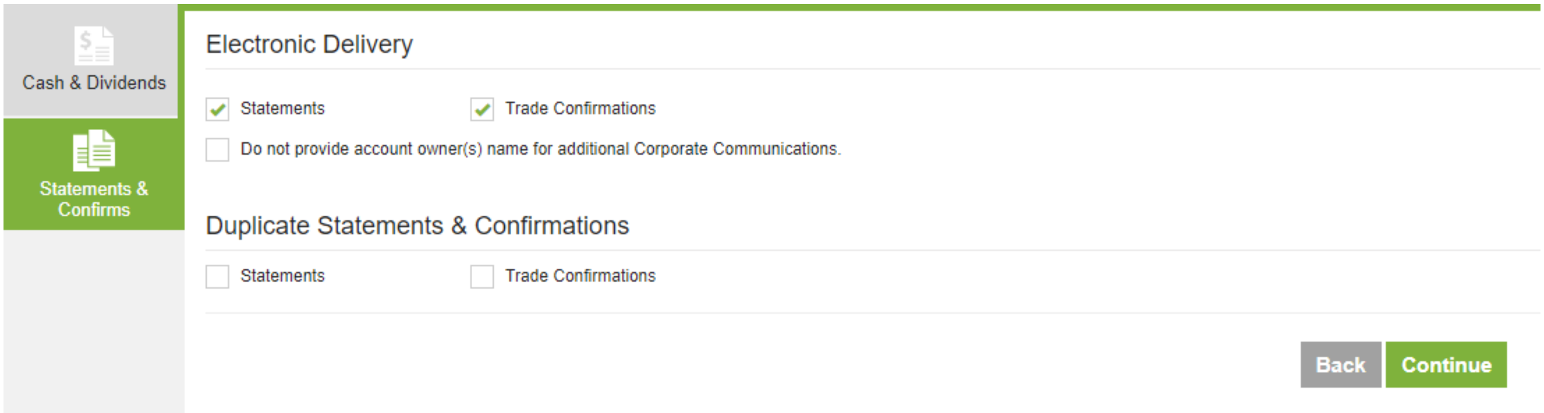
After clicking “Continue”, the Advisor will be brought to the Beneficiary page. If the client has a beneficiary to add to his or her account, select the “Yes” radio button under the question “Does this account have beneficiaries?”. New information fields will appear for Advisors to fill in. Advisors can add additional primary or contingent beneficiaries by clicking on the “+Add another beneficiary” bar.




Click “Continue” to move to the next step of the new account process.

**Statements & Confirms:**

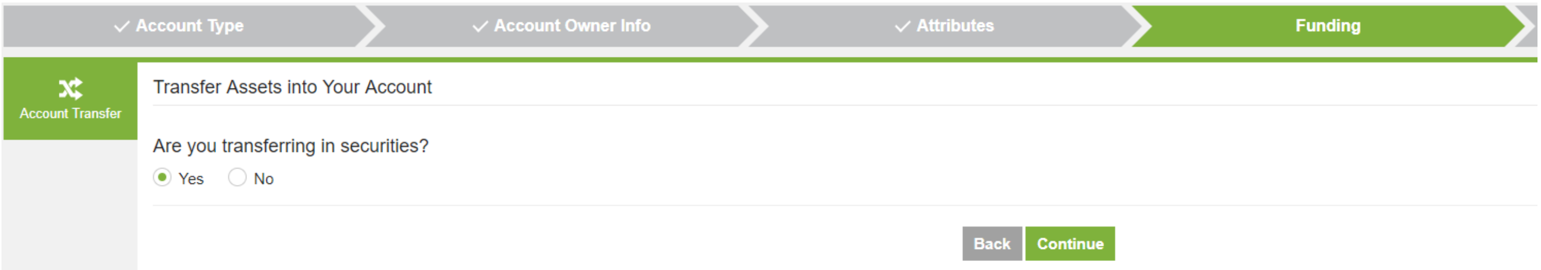
Statement and Trade Confirmation values are checked for electronic delivery. If these options are unchecked during the new account opening process, the custodian will mail paper statements and trade confirmations.

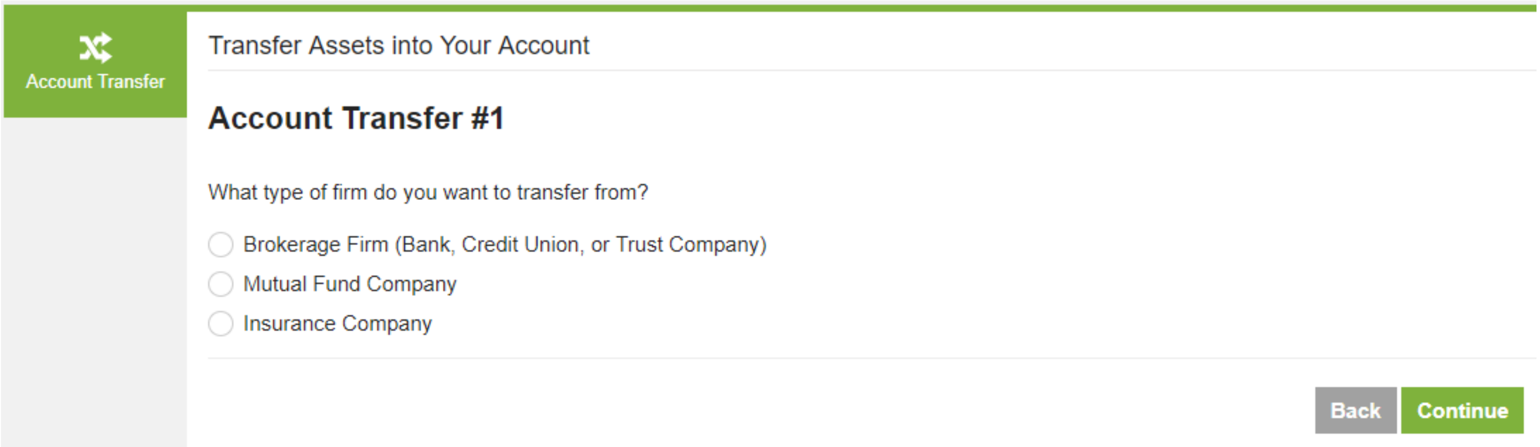


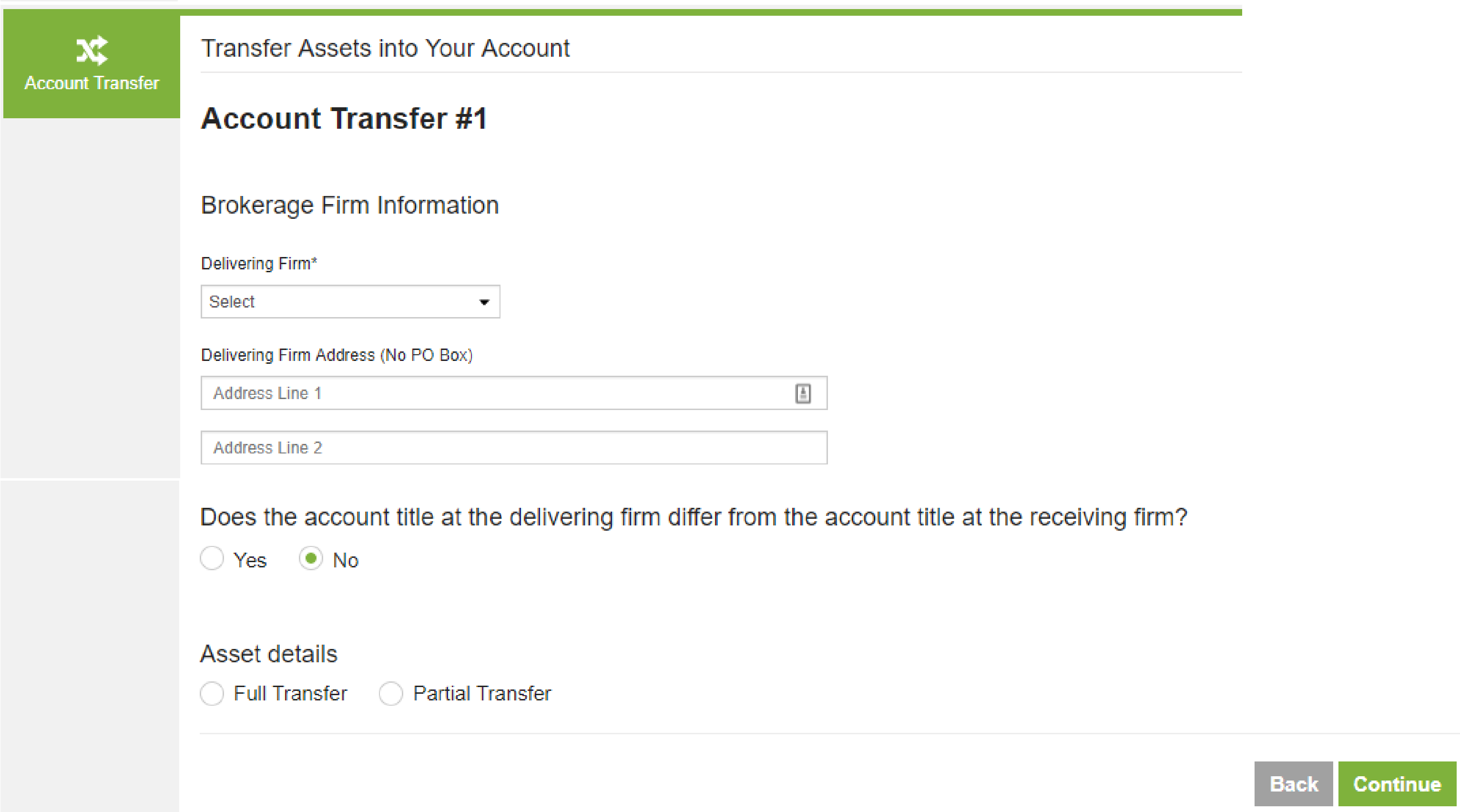

## Funding

**Account Transfer:**

Users are able to answer Yes to the "Are you transferring in securities?" question and fill in the information to submit an account transfer from another brokerage firm, mutual fund company or insurance company. After answering "Yes," check off the type(s) of asset(s) the client(s) will be transferring into the account. Each selected security type will reveal additional sections to fill in. Information on this screen will map to the Account Transfer form in the new account documents.



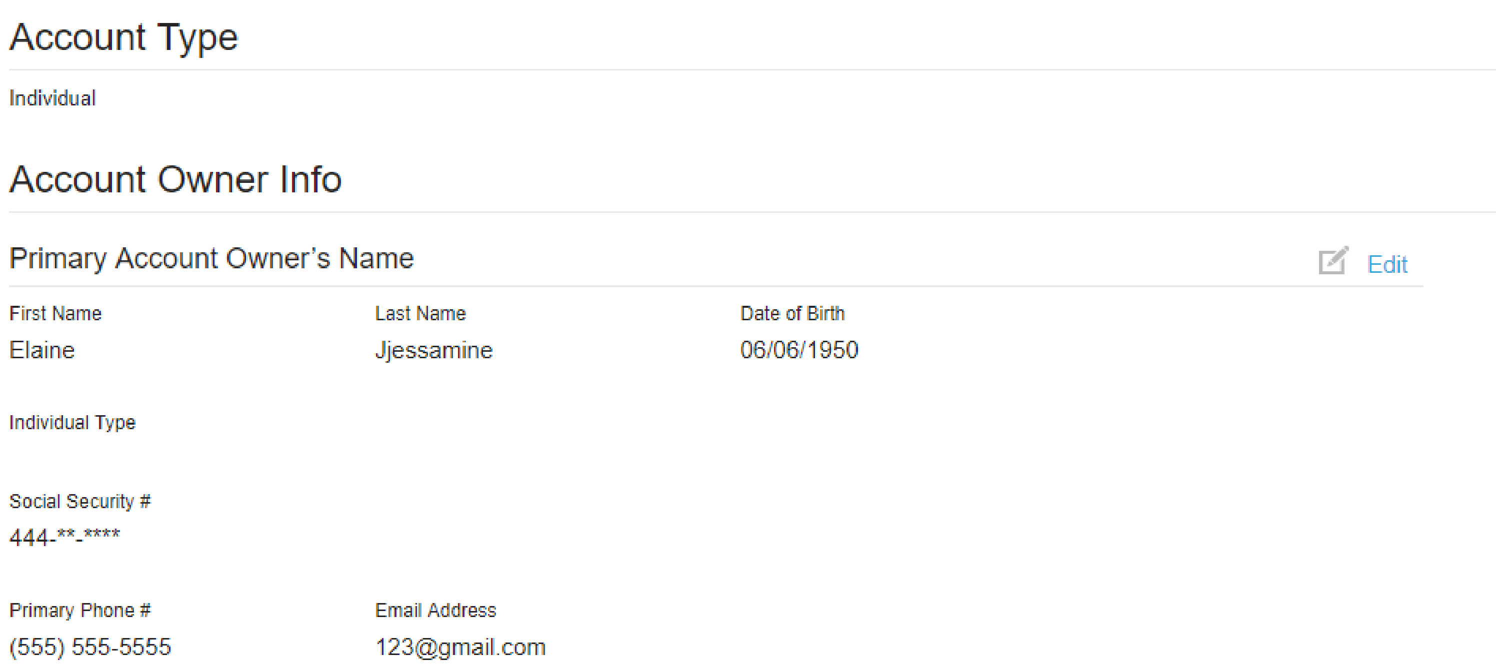




Advisors are able to submit multiple transfers for one account by clicking on the "+Transfer in from Another Account" bar. Information from this section will map to an additional Account Transfer form in the new account documents.

## Confirm

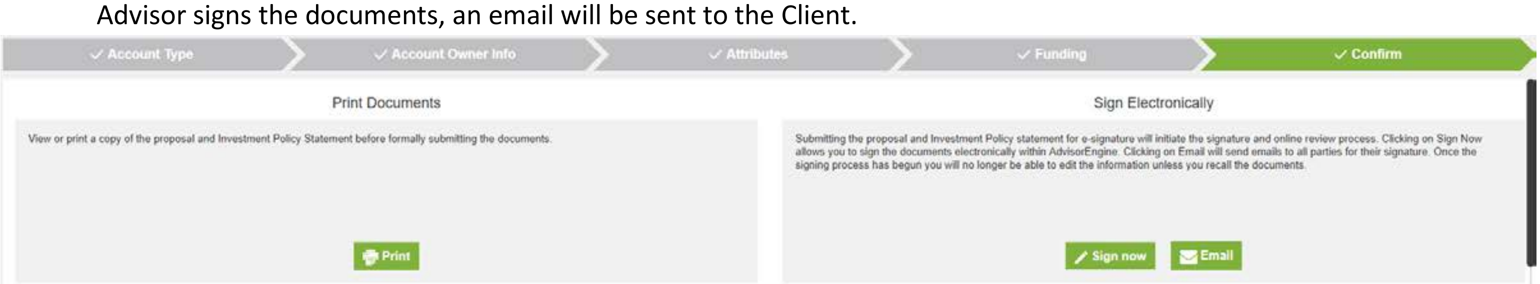
The final step in the process of creating an account is to generate a PDF of the documents or send the application off for electronic signatures. On the Confirm screen, an Advisor can take a final review of all of the client's information and edit any information by clicking "Edit" at the right.




Once all information looks correct, the Advisor can have the client sign the documents either manually by printing the documents or electronically by clicking "Sign now" or "Email."

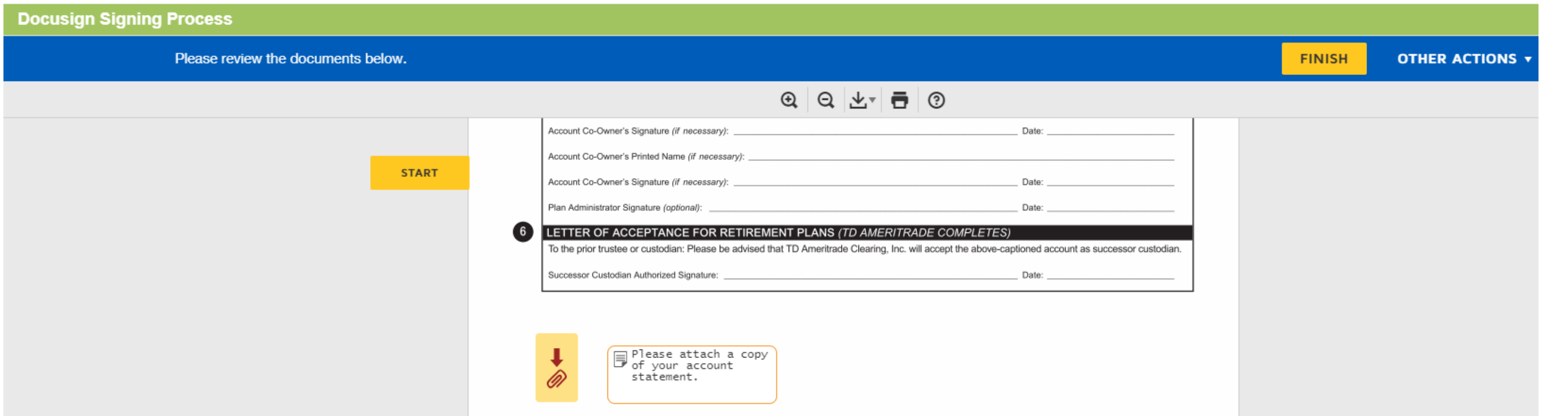
The electronic signature process can be initiated in one of two ways:

- Clicking "Sign now" launches the embedded signature process; the Advisor will sign the documents first, followed by the Client.
- Clicking "Email" will send an email to the Advisor with a link to the electronic signature process in DocuSign. Once the Advisor signs the documents, an email will be sent to the Client.

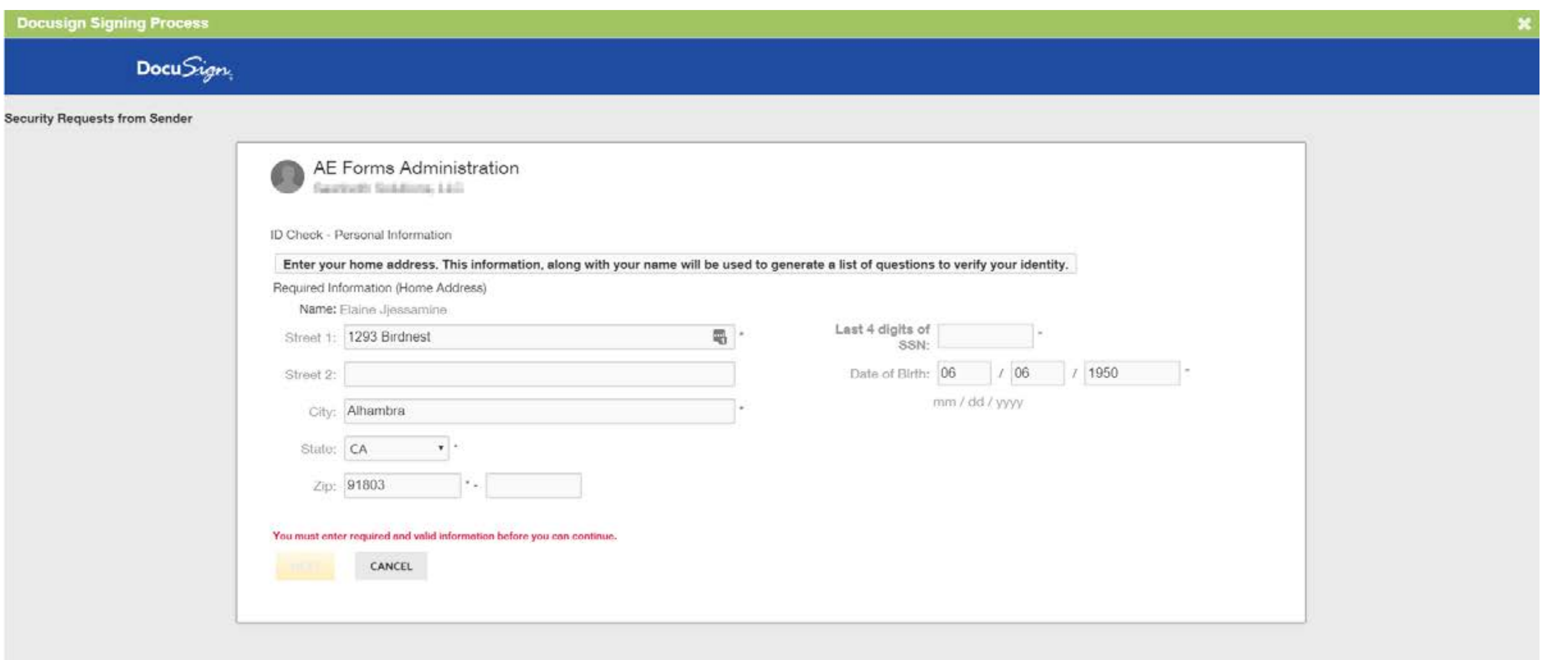


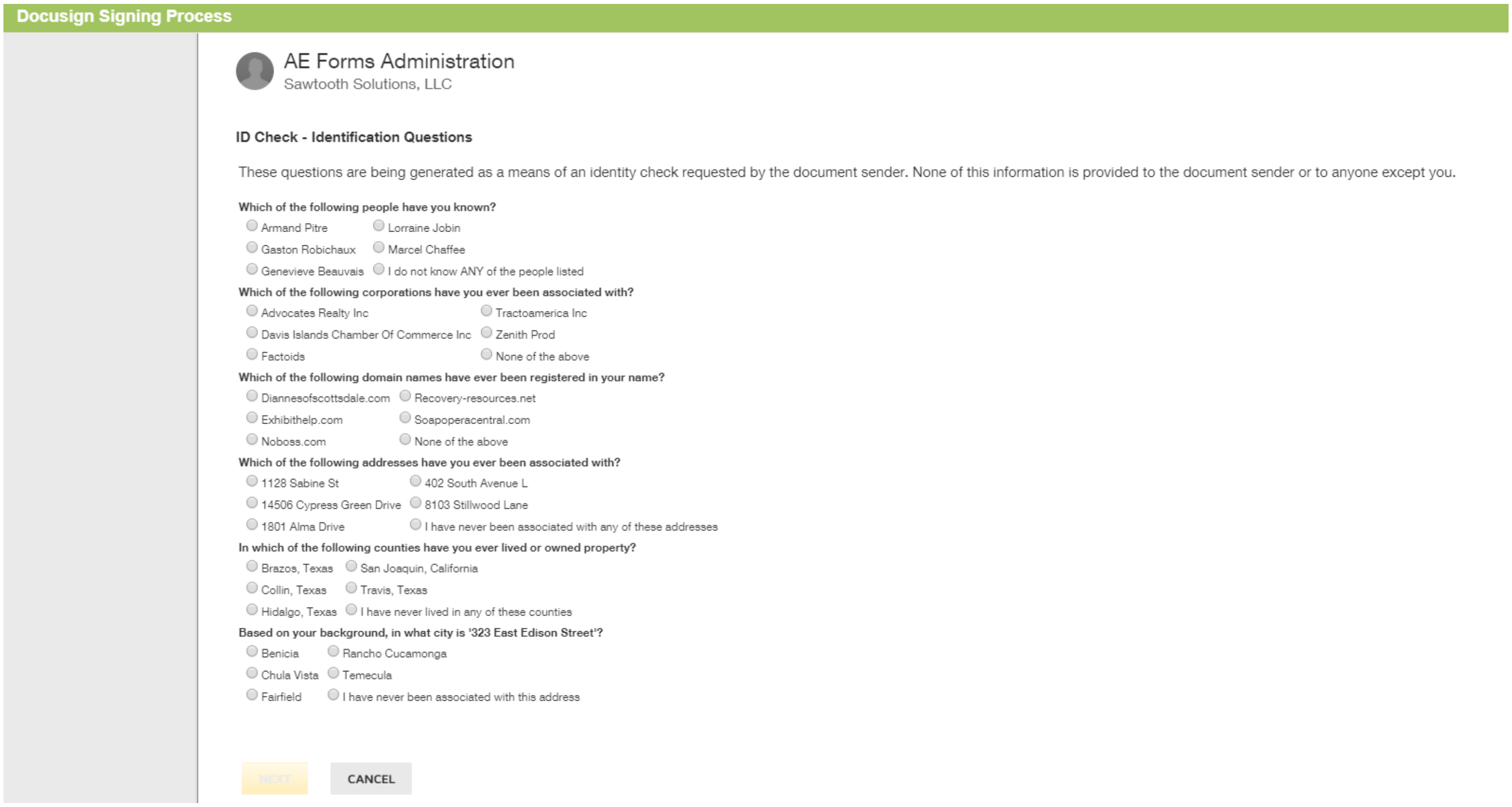
## Electronic Signature Process

When the advisor clicks on an electronic signature option, the Docusign Signing Process screen will pop up. If the client is transferring securities from another institution, the advisor will be required to upload a copy of their most recent account statement on the client's behalf.  The advisor will be prompted with an upload icon during the DocuSign signature process.




Once the advisor completes the Docusign signature process, the client will be prompted to sign through the LexisNexis verification process. First, the client will enter their personal information, including the last four digits of his/her Social Security Number and Date of Birth. Next, the client will receive three identification questions. Correctly answering all three questions will allow the client to access the documents. If the client answers one question incorrectly, he/she will be given an additional question to answer. If the additional question is answered correctly, the client can access the documents; otherwise, the signature process will fail.  *Please note if a client fails, they will need to wait 24hrs to attempt the DocuSign process again. The Advisor can contact AEWM to request the envelope to be resent. This will relaunch the LexisNexis verification process before the 24 hour lockout period*





Docusign Signing Process

AE Forms Administration
Sawtooth Solutions, LLC

ID Check - Identification Questions

These questions are being generated as a means of an identity check requested by the document sender. None of this information is provided to the document sender or to anyone except you.

**Which of the following people have you known?**
- Armand Pitre
- Lorraine Jobin
- Gaston Robichaux
- Marcel Chaffee
- Genevieve Beauvais
- I do not know ANY of the people listed

**Which of the following corporations have you ever been associated with?**
- Advocates Realty Inc
- Tractoamerica Inc
- Davis Islands Chamber Of Commerce Inc
- Zenith Prod
- Factoids
- None of the above

**Which of the following domain names have ever been registered in your name?**
- Diannesofscottsdale.com
- Recovery-resources.net
- Exhibithelp.com
- Soapoperacentral.com
- Noboss.com
- None of the above

**Which of the following addresses have you ever been associated with?**
- 1128 Sabine St
- 402 South Avenue L
- 14506 Cypress Green Drive
- 8103 Stillwood Lane
- 1801 Alma Drive
- I have never been associated with any of these addresses

**In which of the following counties have you ever lived or owned property?**
- Brazos, Texas
- San Joaquin, California
- Collin, Texas
- Travis, Texas
- Hidalgo, Texas
- I have never lived in any of these counties

**Based on your background, in what city is '323 East Edison Street'?**
- Benicia
- Rancho Cucamonga
- Chula Vista
- Temecula
- Fairfield
- I have never been associated with this address

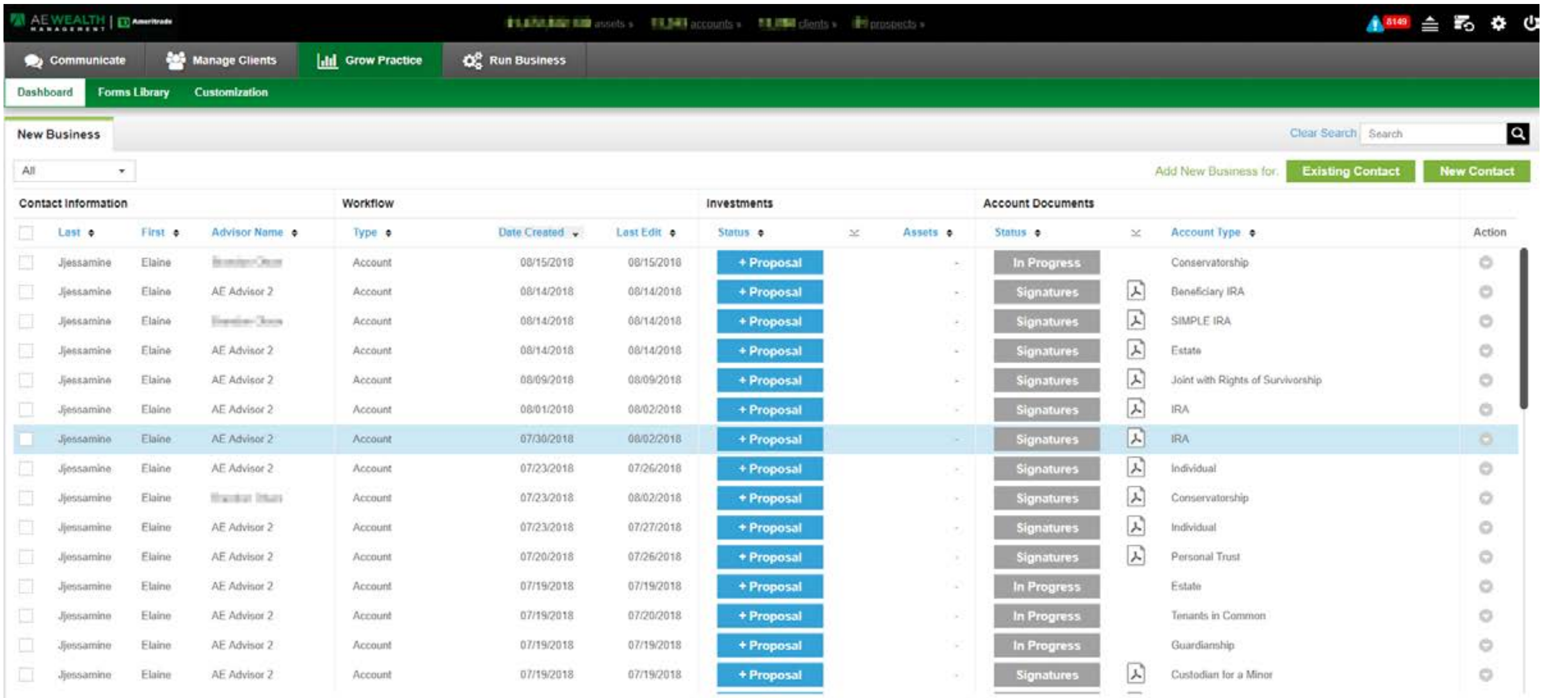
NEXT CANCEL

There are typically 3 reasons why clients might not be recognized via the LexisNexis verification process:

1. They have entered an incorrect address, SSN, or DOB information. Please confirm their information with them before they try signing again.
2. They have moved recently and LexisNexis is not able to locate them using their current address.
3. The client is young, perhaps between the ages of 18-20, and there's not enough public data to pull to verify them. They might not have a lease in their name or any bills in their name.

# Dashboard

On the Grow Practice Dashboard, Advisors can open new accounts.

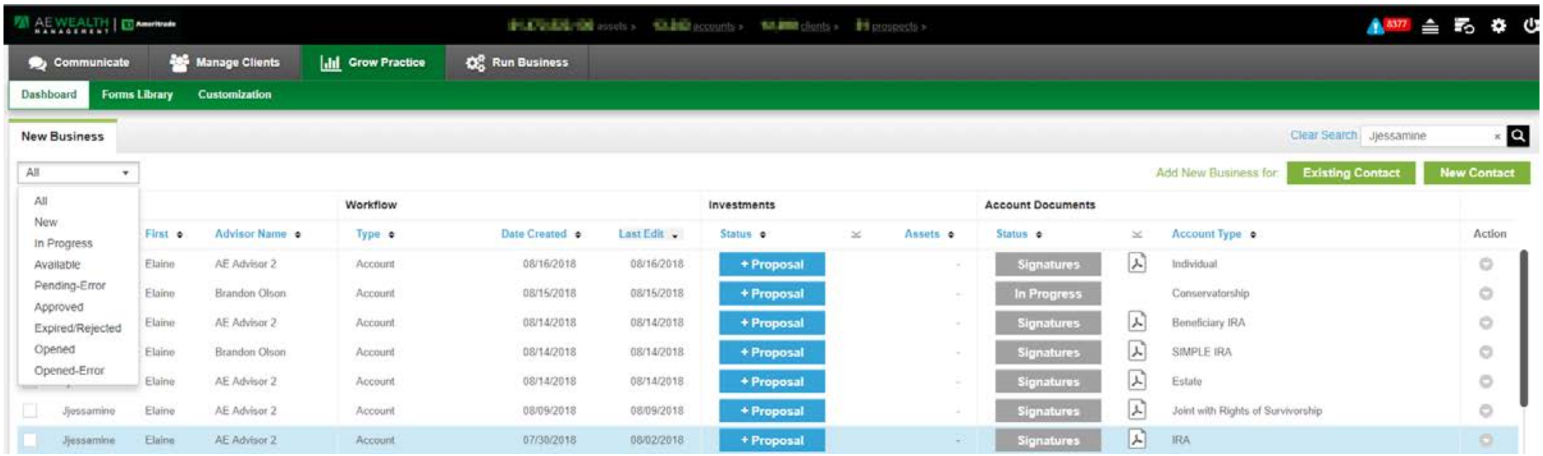


To view completed documents in PDF format, click on the PDF icon next to the statuses. To delete an opportunity, check the corresponding box on the left-hand side and select Delete from the "Select action" dropdown menu on the bottom of the page. To delete all existing opportunities, click the box in the header row to select all line items on the screen, and select Delete from the "Select action" dropdown menu.

On the Dashboard, Advisors are able to see the status of accounts they have created through AdvisorEngine and have the ability to sort by account status by selecting one of the following statuses from the dropdown in the upper left-hand corner:

- All
- New
- In Progress
- Available
- Approved
- Opened
- Expired/Rejected

## Statuses

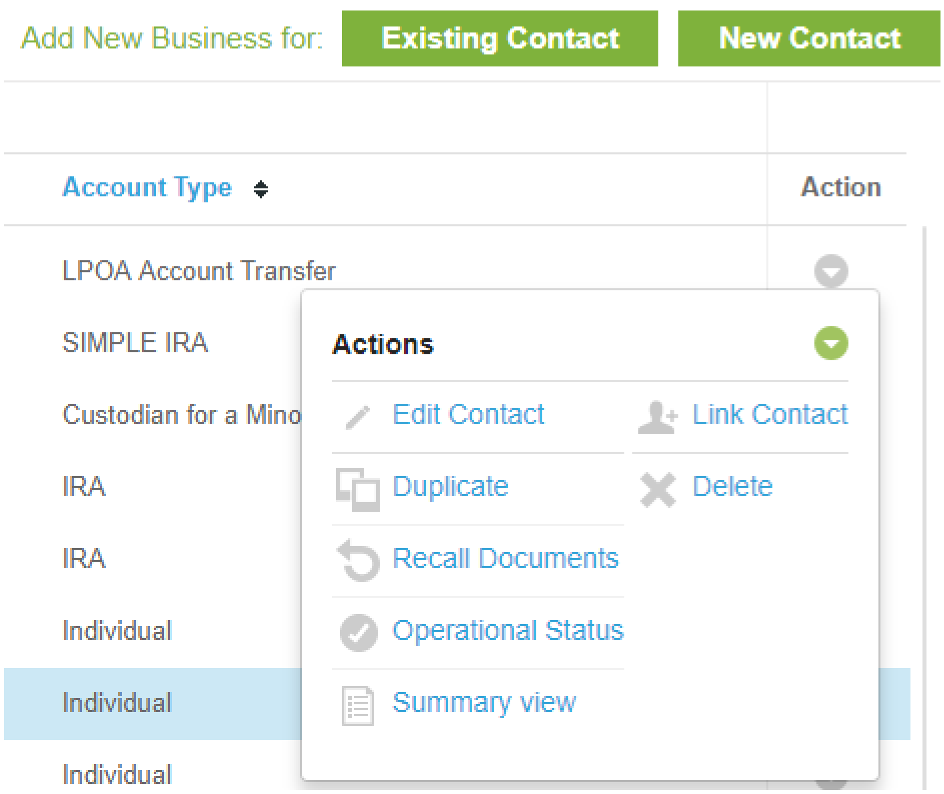



**Here are all possible account statuses and brief explanations of each:**

| | |
|---|---|
| **+ Account** | After a prospect is created, the +Account box appears. By clicking on the status, Advisors can launch the new account process. |
| **In Progress** | The In Progress box indicates that an Advisor has begun the account process, but has not yet completed it and sent it out for signatures. The Account can still be edited in this stage. |
| **Signatures** | The Account is out for signatures from the client and Advisor via the electronic signature process in DocuSign. |
| **Available** | The account is ready for AEWM review and approval. |
| **In Review** | The status will change to 'In Review' when the confirmation of signatures from DocuSign has been received for client(s) and advisor(s) and AEWM has pulled the documents to begin the review process. |

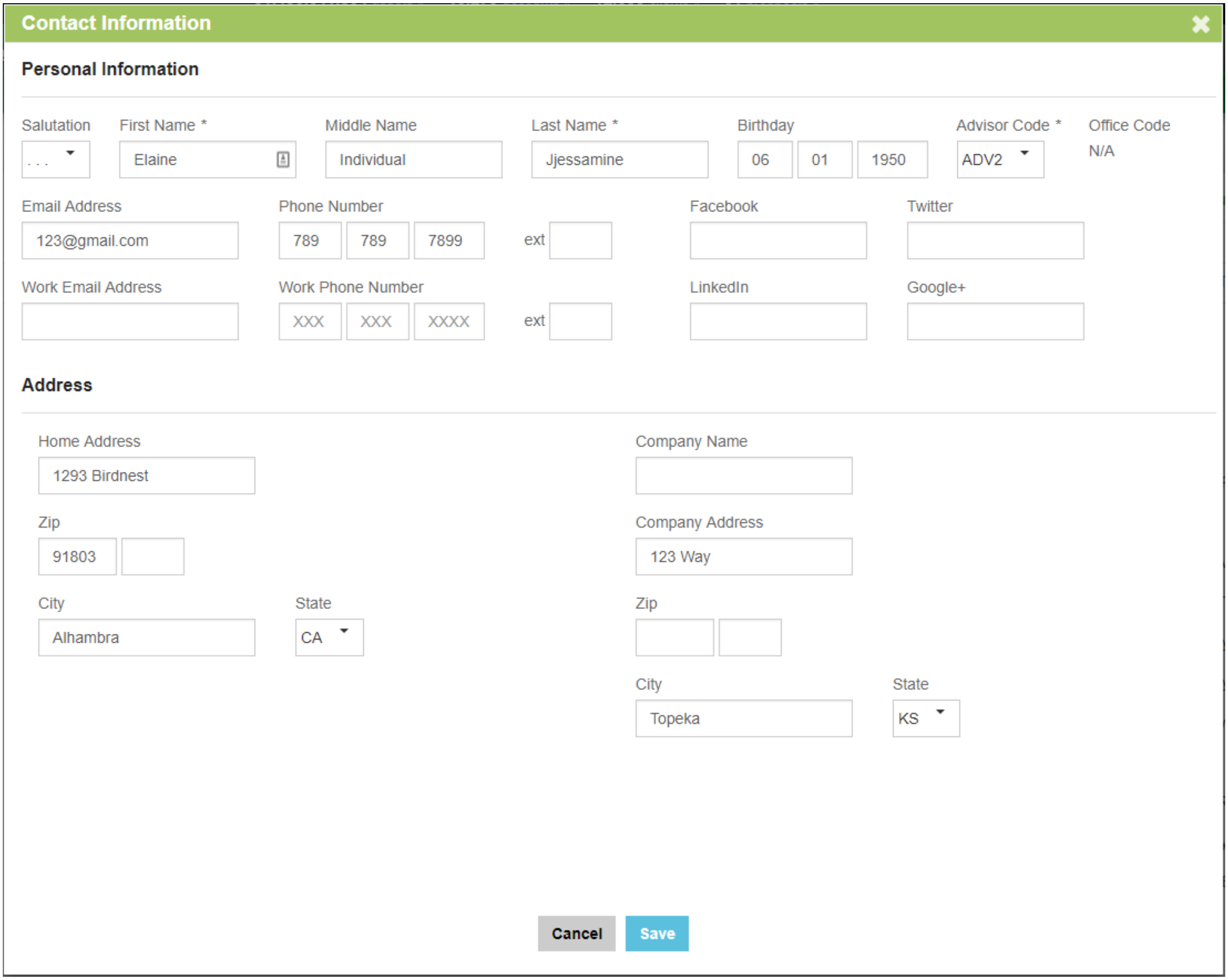
| | |
|---|---|
| Approved | The account has been approved and sent to the custodian. |
| Opened | The account has been opened by the custodian. |

Advisors may take actions on their opportunities by clicking on the arrow under the Action header on the right-hand side of the page.



## Edit Contact

Clicking on "Edit Contact" will open the Contact Information box for the opportunity. Here, Advisors can enter or edit a prospect's Personal Information and Address. Click "Cancel" to cancel the edits and click "Save" to save the edits.




## Duplicate

Duplicating an opportunity will create a new prospect with the Primary Account Owner Information.

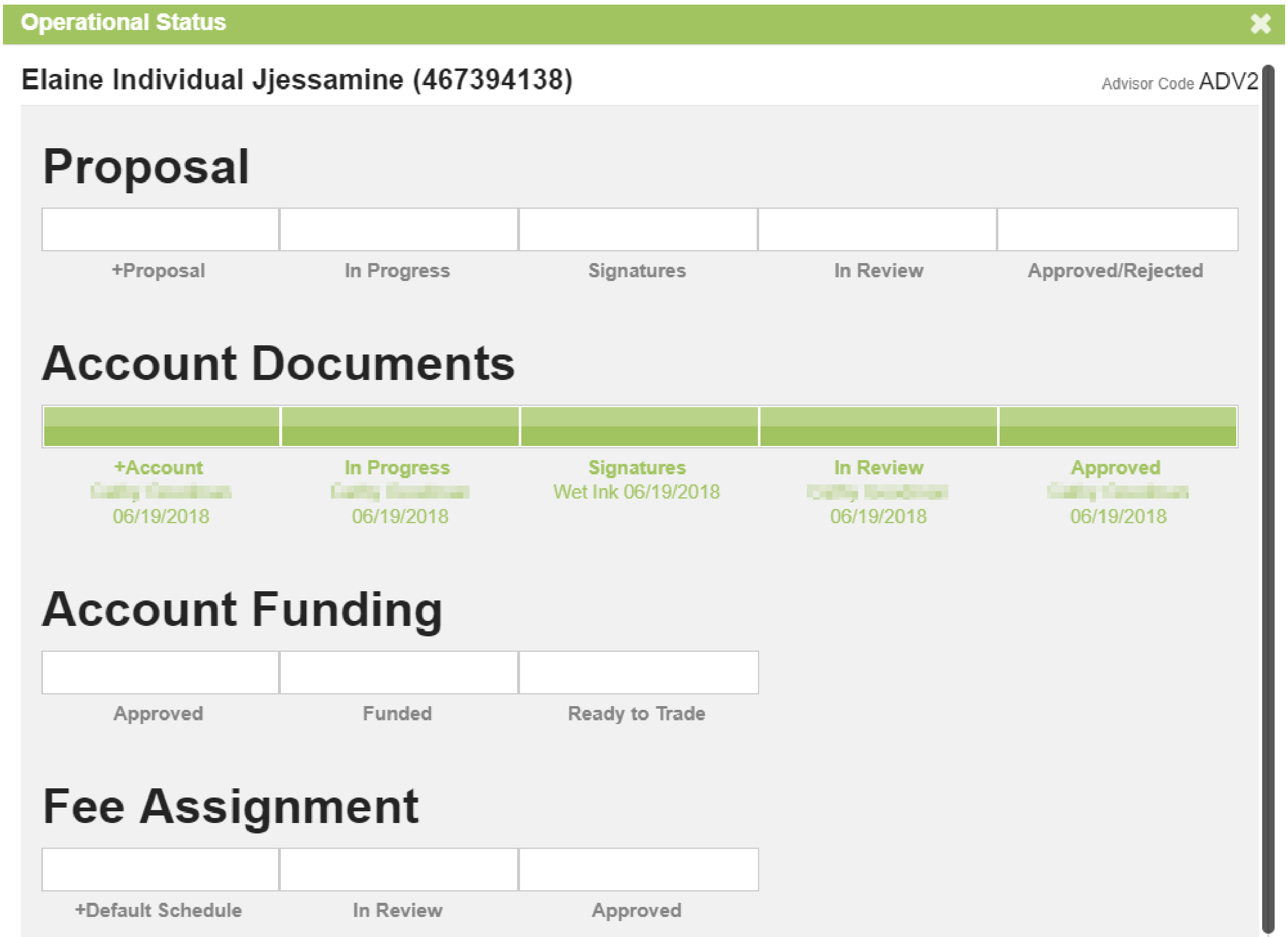
Use this function to speed up the process of creating duplicate accounts for an individual. After successfully duplicating a prospect, an "Opportunity was copied successfully" message will pop up. The duplicated opportunity will appear at the top of the page.

## Recall Documents

Clicking on “Recall Documents” will void the DocuSign envelope that was created and change the account status from “Signatures” back to “In Progress”. By recalling the envelope, the user will be allowed to make changes to the new account information before regenerating new documents via the “Print” button or launching the electronic signature process by clicking on “Sign Now” or “Email”. This option only appears for opportunities with the “Signatures” status.

## Operational Status

Advisors can check the status of the electronic signature process by clicking on “Operational Status.” The progress bar contains the names and dates of the users who took action on the forms and the names and dates of the individuals who signed the document(s). The Operational Status will look similar to this for a completed application:




Below each section of the bar is the title of the step, the name of the individual who performed the action, and the date the step was completed.

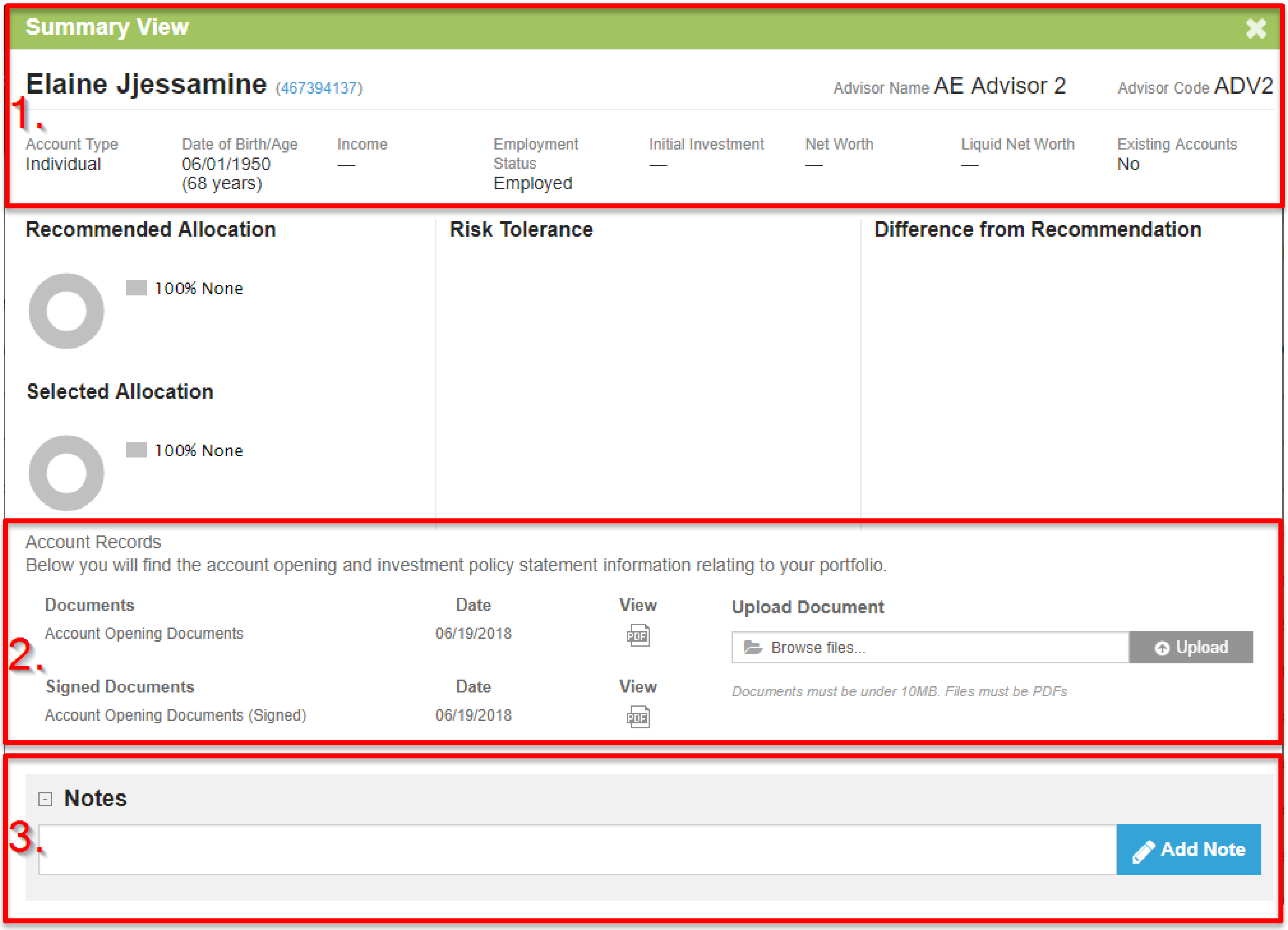
**Legend**

| | | |
|---|---|---|
| 1 | + Proposal<br>+ Account | New proposal(s) or accounts(s) are created for a client or prospect. |
| 2 | In Progress | The documents are in the process of being filled out. |
| 3 | Signatures | The documents have been finalized and submitted for review. |
| 4 | In Review | The documents are being reviewed by firm personnel. |
| 5 | Approved | The documents have been approved by firm personnel. |
| 6 | Rejected | The documents have been rejected by firm personnel. |

The Legend displays the different statuses of the Account opening process.

## Summary View

The Summary View shows a summary of data collected during the New Account process and is typically used to quickly review pertinent information.




1. This section includes Account Owner Information from the Account process.
2. “Documents” displays the names of the documents generated by the workflow, the dates they were created, and a PDF icon that the Advisor can click on to view the document in PDF format. Supporting documents can also be uploaded here.
3. Notes that Advisors have entered during the proposal process for the client’s account will appear in the “Notes” section. New notes can also be added here.

**No Notification is sent to AEWM when a note or supporting documents are uploaded in this section. **

The DocuSign Certificate of Completion will be appended to the bottom of the forms PDF once the DocuSign process has been initiated. This document will be included in the client documentation packet sent to TDA.

DocuSign SECURED

## Certificate Of Completion

Envelope Id: 4C8A2DB9501F4A5CBF5A982E4DFD3083 — Status: Sent

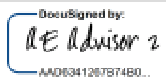
Subject: Documents from AE Wealth Management - AE Advisor 2 - Elaine Jjessamine - Minor Traditional IRA

Source Envelope:

| | | |
|---|---|---|
| Document Pages: 7 | Signatures: 2 | Envelope Originator: |
| Certificate Pages: 5 | Initials: 0 | DEMO |
| AutoNav: Enabled | | demo |
| EnvelopeId Stamping: Enabled | | new york, NY  10017 |
| Time Zone: (UTC-08:00) Pacific Time (US & Canada) | | ac@4xxi.com |
| | | IP Address: 52.45.151.145 |

## Record Tracking

| | | |
|---|---|---|
| Status: Original<br>7/20/2018 10:52:08 AM | Holder: DEMO<br>ac@4xxi.com | Location: DocuSign |

| Signer Events | Signature | Timestamp |
|---|---|---|
| AE Advisor 2<br>mpark@advisorengine.com<br>Security Level:<br>.None<br>ID: 758db7c6-516a-4e7e-87c8-71b11f42066f<br>7/20/2018 10:52:11 AM | <br>Signature Adoption: Pre-selected Style<br>Using IP Address: 184.187.231.138 | Sent: 7/20/2018 10:52:10 AM<br>Viewed: 7/20/2018 10:52:18 AM<br>Signed: 7/20/2018 10:52:22 AM |



**Electronic Record and Signature Disclosure:**
Accepted: 3/28/2018 7:03:00 AM
ID: ee7e2924-c894-4446-bc7f-9a2ab0f02368

| | | |
|---|---|---|
| Elaine Jjessamine<br>123@gmail.com<br>Security Level:<br>.None<br>ID: 0b34fea3-992a-4e5e-9338-ac9fc135e3d7<br>7/20/2018 10:52:26 AM, Authentication | <br>Signature Adoption: Pre-selected Style<br>Using IP Address: 184.187.231.138 | Sent: 7/20/2018 10:52:25 AM<br>Viewed: 7/20/2018 10:52:45 AM<br>Signed: 7/20/2018 10:52:50 AM |



**Authentication Details**
ID Check:
Transaction: 23020931803577
Result: passed
Vendor ID: LexisNexis
Type: iAuth
Recipient Name Provided by: Recipient
Information Provided for ID Check: Address, SSN9, SSN4, DOB
Performed: 7/20/2018 10:52:40 AM

**Electronic Record and Signature Disclosure:**
Accepted: 6/12/2018 7:50:15 AM
ID: 25f789d0-6213-4dfa-82fa-d570136dbd0c