

INTERNAL USE ONLY

Account Maintenance

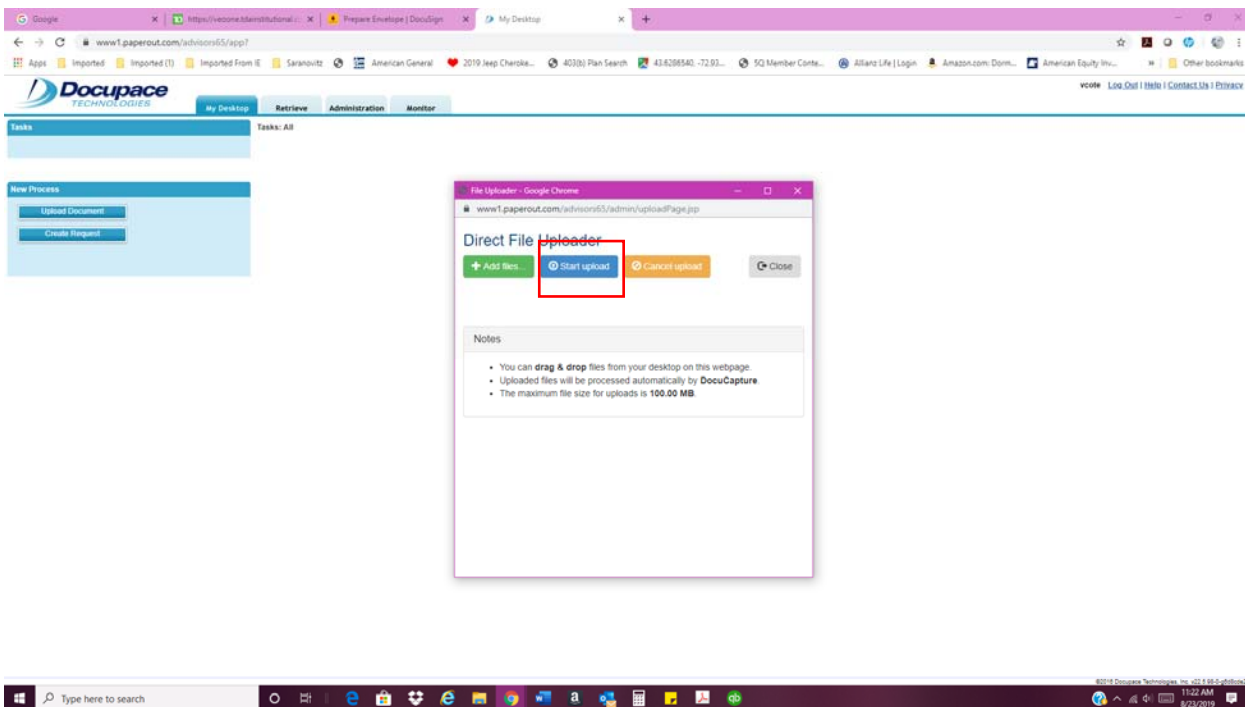
For any subsequent forms, these can be uploaded using TD message center “Document Only” for processing. You will also need to upload any subsequent forms on Docupace for client form retention.

Incoming check recommendation is to purchase a Brothers DSmobile 720D scanner for income checks. (Cost at Staples approx. \$139.00) Checks are deposited that day you are given a tracking/confirmation number so that you are compliant with Cetera Advisors 8.2.1.2 Checks Received and Forwarding rules regarding tracking rule.

Step 1:

Log into Docupace

- On your desktop select: upload document
- Drag and Drop your document
- Select “Start Upload”



Once upload is complete your desktop will update and the Tasks folder will appear:

Step 2:

Click on Contents

The screenshot shows the Docupace web application. The 'Tasks' sidebar on the left is highlighted with a red box, showing 'Mailroom (1 of 7)' and 'Mailroom Index (1 of 7)'. The main content area displays a table of requests for the 'Mailroom Index' task.

Actions	Request #	SLA Start	Task Name	Validation Message	Creator
Contents	1874958	2019-08-20 08:18 AM	Mailroom Index	Request type required	vcote

Step 3:

Under Work Item Content: The upload document will be an “Unindexed Document” you will need to index this item.

Click Edit

The screenshot shows the Docupace web application. The 'Work Item' details for the 'Mailroom Index' task are displayed. The 'Unindexed Documents' section is highlighted with a red box, showing a table of documents.

Pages	Creation Date/Time (PT)	Document ID	Batch ID	User	Confidential	Work Item	Label WORM Sync Date
1	8/28/19 8:18 AM	2280941	149701	vcote		1874958	

To index the document, you need to assign a subfolder:

1. Click Add – then type in clients account number and the next screen will appear as below: You will need to populate the following fields:
 - a. Date
 - b. Client Document Type
 - c. Form Name
 - d. Form
 - e. Description (Use same as Form Name)
2. Then Click Submit (Once completing this step you will be brought back to your desktop)

www1.paperout.com/advisors/5/indexing/frame.jsp?podid=22909418&topDomid=209&witemCurrWorkflow=Mailroom&taskid=4537546&entryPoint=taskDetails&validDomid=177&validDomid=100&validDomid=101&validDomid=117&validDomid=167&validDomid=173&validDomid=122&val...

Change Client Documents info:

Submit Cancel Refresh Save

Add

Subfolder Add New Remove

* Business Type BD/RIA

Confidential

Date 08/29/2019

* Client Document Type Account Maintenance

Form Name Electronic Funds Transfer Form

Form Miscellaneous

Description Electronic Funds Transfer Form

Notes

Check # Required for Check

Check Amount Required for Check

Name Of Security Required for Security

Cert# Required for Security

of Shares Required for Security

Approximate Value

Mail Original

Signature Guarantee

Guarantee Value

Purpose of Check

Purpose Detail

Date BO Received Required for Check or Security

Date BO Forwarded

BO Forwarded To

Hide

Audit Review Add Auto Assign to User Name

Image Content Check In Check Out Drop file here to upload

Report Info

Transaction Number

Step 5:

You will see your document is now located in “Client Documents”
Click the check box then select Archive

The screenshot displays the Docupace Technologies web application. The left sidebar contains a red box around the 'Archive' button. The main content area shows a 'Work Item' table with columns for Actions, Folder/Subfolder, Work Item Id, Request Type, and Error Message. Below this is a 'Work Item Content' section with a 'Client Documents' table. The 'Client Documents' table has columns for Actions, Client Document Type, Form Name, Description, Date, Business Type, Last Note, Document ID, Creation Date/Time (PT), Account #, Client Folder Group, Client Folder Last Name, Client Folder First Name, Client Folder Company Name, Client Folder SSN Masked, Client Folder SSN, Client Folder Rep Code, Client Folder Rep Advisor Last Name, Client Folder Rep Advisor First Name, Client Folder Rep SSN, Client Folder Rep OSJ Code, Rep Code, Rep Advisor Last Name, Rep Advisor First Name, Rep Advisor SSN, Rep Advisor OSJ Code, Pages, User, eSign Status, Sponsor Confirmation Message, and Work Item. A document record is highlighted in the table with a red box around the 'Actions' column. Below the table are several sections for 'Advisor Office Documents', 'Securities Licensing Documents', 'Office HR Documents', 'Office Accounting Documents', 'My Personal Documents', 'Undeclared Documents', and 'All Documents View', each with a 'New' button and 'No Records Found' message.

Actions	Client Document Type	Form Name	Description	Date	Business Type	Last Note	Document ID	Creation Date/Time (PT)	Account #	Client Folder Group	Client Folder Last Name	Client Folder First Name	Client Folder Company Name	Client Folder SSN Masked	Client Folder SSN	Client Folder Rep Code	Client Folder Rep Advisor Last Name	Client Folder Rep Advisor First Name	Client Folder Rep SSN	Client Folder Rep OSJ Code	Rep Code	Rep Advisor Last Name	Rep Advisor First Name	Rep Advisor SSN	Rep Advisor OSJ Code	Pages	User	eSign Status	Sponsor Confirmation Message	Work Item
☒	Account Maintenance	Miscellaneous	Electronic Funds Transfer Form	8/28/2019	ED/RIA		2280841	8/28/19 8:10 AM						XXXXXX237	KC-7111	CONDEMI KEITH	XXXXXX	KC-7111	CONDEMI KEITH	XXXXXX	1	vcde								10749

You have completed your Account Maintenance for Client File Retention!!