PRIVATE ADVISOR GROUP

Document Submission Guide

Please Note: Anything needing an OSJ/Branch Manager's signature, email to documents@privateadvisorgroup.com

ESig/Docusign

The system at LPL auto-populates Pat Sullivan's name on forms when you are using electronic signature forms. However, when populating the "recipients," Pat's name and email should be removed and replaced with the proper delegate from the list below. The code for all Delegates at PAG is 9840.

Client/Account Related Forms

Account Applications, Structured Products, Option Agreements all go to:
Richard Wagner, richard.wagner@privateadvisorgroup.com (9840)

Mutual Fund Switches and Annuities Forms all go to:
Klaudia Maslo, klaudia.maslo@privateadvisorgroup.com (9840)

529 Checklists all go to:
Michael Verratti, michael.verratti@privateadvisorgroup.com (9840)

Office/Advisor Related Forms

James Perhacs, james.perhacs@privateadvisorgroup.com (9840)

Document Type	Electronic File	Comments
LPL Account Opening Docs **eg:** LPL Account Applications (Brokerage, Advisory, Direct Business); PAG Investment Advisory Agreements; ACAT transfer forms F2)	iDoc for Processing	Anything that LPL needs to start a process when they receive should be put into the iDoc section for "Processing." ***ClientWorks / Menu / Client Mgmt / Documents / Upload New Document / Select "Upload for Processing"***
Client File **eg:** Trust documents/POA's; Variable Annuity Forms Generated by AOE; Annuity insurance delivery receipt F146; Brokered CD Disclosure Form F463; Direct Business Fund Co Application; Fixed Annuity Forms required by LPL F487, F439-FA, F439__-FA	iDoc for storage	Anything you would put into a client file should be put into iDoc for "Storage." This includes notes/ meeting notes for your advisory clients / POA's / Trust documents etc. ***ClientWorks / Menu / Client Mgmt / Documents / Upload New Document / Select "Upload for Storage"***
Money Movement Forms **eg:** ACAT transfer forms F2; Journaling forms; RMD distribution forms **Move Money Tool*	iDoc for Processing **Upload to Move Money request*	These forms go directly to LPL for processing. Locate the request in the Client Works Client Management page, select the appropriate request, upload the form directly to the move money request. ***ClientWorks / Menu / Client Mgmt / Documents / Upload New Document / Select "Upload for Processing"***
Outside Custodial Docs **eg:** Outside Advisory Account Form (F1-HYB); PAG Investment Advisory Agreement	PAG Compliance email / CRM* **Client file outside of LPL*	These forms will be submitted back to you if applicable with signatures. riacompliance@privateadvisorgroup.com

65 Madison Avenue, Suite 300, Morristown, NJ 07960
Tel (973) 538-7010

Document type	Electronic File	Comments
Branch Office Files **eg:** Non-Cash Compensation; Do Not Call List; Correspondence; Consolidated Client Reports; Check and Securities Receipt File; Signature Guarantee Business Continuity Plan; **Complaint files if applicable**	iDoc as Branch Documents / Upload to the Monday Memo	PAG requires all outside offices to maintain their Branch Files electronically in order to maintain transparency. All paper files should simply be a backup. Please refer to the Idoc Indexing Worksheet for instructions or contact Julie Galbraith for any questions you may have. ***ClientWorks / Menu / Client Mgmt / Documents / Upload New Document / Category: "Branch" (refer to the iDoc Indexing Worksheet)***
Advisor Forms **eg:** Sales manager agreements; Override agreements; Retirement Plan Consulting Program; Salesforce CRM subscription; Split Commissions Fee Agreements; Technology Subscription Agreements; Termination Requests	PAG Documents Email	Any and all documents that do not require original signatures can be submitted to this email for our signature. If you need an original or a signature guarantee, you can overnight the documents to us. documents@privateadvisorgroup.com
Financial Planning **eg:** Financial Planning and consulting agreement; Schedule A for Financial Planning; PDF of deliverable Presented to client	PAG Financial Planning Email	Financial Planning Documents will be reviewed by a member of the compliance team. Send to: financialplanning@privateadvisorgroup.com If you have questions about what happens with Financial Planning please contact a member of the compliance team for help.
Insurance/Non-LPL Client Forms **eg:** Insurance Application; Insurance policy documents	CRM[1] **Client file outside of LPL*	We encourage you to keep your non LPL insurance client files electronically via CRM.
Advertising **eg:** Stationary; Form Letters; Social Media Site content; Event Invitations and Content; etc.	ComplianceMAX	Anything sent to two or more Advisory Clients or 25+ Brokerage clients. For instructions refer to the ComplianceMAX quick start guide at LPL. If you have questions or need help uploading anything you can either email the item to Julie Galbraith or set up a call and she will walk you through the process. ***ClientWorks / Menu / Compliance / ComplianceMAX Advertising Tab / Click here to create a new advertising form Follow the instructions on screen***
E-Sig/Docusign 1. Switches (F27) 2. Account Apps, Structured Products, Option agreements 3. 529 Checklists (F423)	1. klaudia.maslo@privateadvisorgroup.com 2. richard.wagner@privateadvisorgroup.com 3. michael.verratti@privateadvisorgroup.com	Certain documents, which are available through Docusign for e-signature by your client are also able to be signed electronically by your OSJ. We have delegates for specific documents. If you are not sure about a document, please ask before sending it out for signature. The 4 digit code for all PAG delegates is 9840. **please be sure you are putting the delegate's name in the correct place!!*

1. CRM - You are permitted to store Advisory Client notes, outside custodial docs and insurance only paperwork in an approved CRM