

How to Upload Documents to Requests

New Accounts & Account Transfers

As a Best Practice, account documents should be uploaded directly to the corresponding Request in ClientWorks. This Quick Reference Card provides more detail on uploading to New Account and Account Transfer requests.

For assistance with uploading documents or to discuss NIGO (Not In Good Order) documents, please contact your **Service360 Team at (866) 321-3640, option 2, say "Team 92"** or reach out to the New Accounts or Account Transfers departments directly by saying the department name at the voice prompt.

New Account Request

1. Go to **Account Profile Summary** page, click on the **Requests** tab then on blue **Request ID** number
2. Click on **Begin Documents** button
3. Make sure **Delivery Method** is set to **Manual** then click on **Upload** under **Attachment Actions**
4. Scroll down & click on **Choose File**
5. Find saved copy of signed document on your computer, click **Open** then click **Attach** to upload

ClientWorks - Client Management

Enter Trade | Create New Account

LPL Training Account | Log Out

< Back to Accounts List

Account Name	SAINZ CARLOS	Account Class	-	Account Value	\$0.00	Cash and Equivalents	\$0.00
Rep	CCCA	Invest. Obj.	E - Aggressive Growth	LPL Value	\$0.00	Funds Available	\$0.00
Nickname	-	SSN/Tax ID	xxx-xx-0004	Linked Value	\$0.00		
Client Group Name	-	Birthdate	-				

Summary Profile Investments Orders Activity **Requests** Documents Statements CRM

1 Request

Status: 29 selected + Filter

Search requests

Rep ID	Notification	Account	Account Name	Request ID	Request Type	Request Sub-Type
CCCA	-	xxxx-7714	Sainz Carlos	tng15aw1x1654855963263	New Account	New Account

✓ Congratulations! Account successfully created.

Account Name	SAINZ CARLOS	Product Class	BROKER-NR	Account Number	2856-7714
Account Type	Individual	Program Type	Brokerage	Primary Account Holder	Carlos Sainz
Beneficiary	Carlos Sainz Jr				
REP ID	CCCA - DEANNA POMERLEAU TEST	REQUEST ID	tng15aw1x1654855963263		

To review the full details of this account, [click here](#).

See something you want to change? You can still edit this account.

Recommended Next Step

Account Documents

Gather all needed account documents into an envelope for customer signature.

2 Click on Begin Documents

BEGIN DOCUMENTS

Form Name	Form Actions	Delivery Method	Attachment Actions
Account Application - Non-Retirement F1BN	Print Edit	eSignat... eSignature	-
Account Packet - LPL Master - Account Agreement AP-LPL	Print Edit	3 Manual	View Remove

Delivery Method	Attachment Actions	Status
Manual	3 Upload	Incomplete

F1BN | Account Application - Non-Retirement

Upload wet signed Account Application - Non-Retirement

Upload Document

4 CHOOSE FILE No File Selected

Name

- Equitable income edge beneficiary ADV 12175 14
- Equitable Inherited NQ Payout Election Gracin
- LPL F1BN-IS Account App**
- LPL AOE Suitability Gracin

LPL F1BN-IS Account App All files

Open

Upload Document

LPL F1BN-IS Account App.pdf

Cancel Attach

Document will now show up as an attachment. Status should show as **Completed**. Repeat steps 3 to 5 for other signed documents that require LPL processing. LPL New Account Application will be reviewed and logged in good order in about 24 hours. If there are any issues with processing the paperwork, you will get a **Notification** in ClientWorks. Reach out to the New Accounts department for assistance on **NIGO** (Not In Good Order) documents

How to Upload Documents to Requests

Account Transfers

Account Transfer Request

1. Go to the **Account Profile Summary** page, click on the **Requests** tab then on blue **Request ID** number

Summary Profile Investments Orders Activity **Requests** Documents Statements CRM

2 Requests Save Quick View

Status: 29 selected ✕ + Filter

Search requests ✕ Q

Click on Request ID

<input type="checkbox"/>	Rep ID	Notification	Account	Account Name	Request ID	Request Type	Request Sub-Type	Created	Status
<input type="checkbox"/>	CCCA	—	xxxx-2465	Charlotte Chris	tng14aw3x1654859800306	Account Transfers	—	07/07/2022	Not Submitted
<input type="checkbox"/>	CCCA	—	xxxx-2465	Charlotte Chris	tng11aw1x1654862652223	New Account	New Account	06/14/2022	Pending Document

2. Make sure **Delivery Method** is set to **Manual** then click on **Upload** under **Attachment Actions**

Account Transfer [View details of the Request](#)

Documents pertaining to this account are listed below.

Documents

Form Name	Form Actions	Delivery Method	Attachment Actions
Account Transfer AT - F2	Print Edit	Manual ▲	Upload
		eSignature	Recent Contra Party Statement
		Manual	

3. Click on **Choose File** to find the saved signed document on your computer

Upload Document ⓘ

Choose File No File Selected

4. After choosing the document that you want to upload, click on **Attach**

Upload Document ⓘ

NAO C - NAO Complete and Upload Documents - Tip Sheet rev.4.14.pdf ✕

Cancel **Attach**

5. Once the status is **Completed**, click on **Submit** button on bottom right corner of the request to send it for processing. (If you do not click Submit, the request will not be routed to the Account Transfers department for processing.)

Form Name	Form Actions	Delivery Method	Attachment Actions	Status
Account Transfer AT - F2	Print Edit	Manual	View Remove	Completed

Edit Transfer Details **Submit**