## UNIFIED ACCOUNT OPENING – WHAT’S NEW FOR MSI!

### App Header Page

- **Channel** – Has Been Removed.
- **Registration Type** - New Registrations Have Been Added
  - **Branch Prefix** – Includes new prefixes offered for WMS accounts. Standard Prefixes:
    - JAV – Standard Brokerage
    - BRS – Rep Owned Account
  - **RR1/RR2** - Enter appropriate RR2 code
  - **Agency** – Enter 3 digit Agency Code (DO NOT ENTER “03” PREFIX)
  - **Managed Account** – Default - No. Yes - WMS accounts only. Prefilled with Yes when converting from ENV2
  - **Mutual Fund Only IRA** – IRA accounts ONLY. Selected when client is investing only in mutual funds only.

  "*" indicates all required fields that must be entered to create an account.

### AFFILIATION PAGE

- **Affiliation Questions Have New Options of “YES” and “NO”**

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<table>
<thead>
<tr>
<th>PAGE</th>
<th>CHANGES</th>
</tr>
</thead>
</table>
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| **AFFILIATION PAGE** | Affiliation Questions Have New Options of “YES” and “NO” |
The Investor Question page is used to include supplemental documents to the new account kit. Depending on the registration selected, the questions provided on this page will be different.

**NOTE:** Question #2 which supplies the Replacement Form has been removed temporarily and will be available in UAO during our next release taking place at the end of June.

**NOTE:** Option #1 under Question #1 for the Check and Security Remittance Form has been temporarily removed and will be available in UAO during our next quarterly release at the end of June.

The forms offered from each of the questions are as follows:

<table>
<thead>
<tr>
<th>Question 1:</th>
<th>Question 2: Replacement Form</th>
</tr>
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<tbody>
<tr>
<td>Check Remittance Form</td>
<td>Question 3:</td>
</tr>
<tr>
<td>Stock/Bond Power Form</td>
<td>Depending on the answer:</td>
</tr>
<tr>
<td>Transfer of Assets Form</td>
<td>- BreakPoint Worksheet</td>
</tr>
<tr>
<td>Roth Conversion Form (Roth IRA applications only)</td>
<td>- Share Class Disclosure Form</td>
</tr>
</tbody>
</table>

**Non-Qualified**

The Investor Question Page differs by registration (Qualified vs. Non-Qualified) Screenshots of each are supplied below.
## Account Characteristics Page

**Core Account Investment Vehicle:** Money Market Options Have Been Updated

### Brokerage (Non-Qualified):
- FSRXX - Treasury Fund - Capital Reserves CL
- FZAXX - Fidelity Government Money Market: Capital Reserves Class
- FZBXX - Fidelity Government Money Market: Daily Money Class
- FZFXX – Fidelity Treasury Money Market

### Brokerage (Qualified):
- FDRXX - Fidelity Government Cash Reserves
- FSRXX - Treasury Fund - Capital Reserves CL
- FZBXX - Fidelity Government Money Market: Daily Money Class
- FZFXX – Fidelity Treasury Money Market

### Optional Features:
- Margin/Options Application May Be Selected to Generate Appropriate Forms in the New Account Kit
- Brokerage Access and Brokerage Portfolio Applications May Be Selected from this Page as well under the Fee Based Account or Cash Management/Bank Options Section.
On the Documents Page, you will be provided with all documents required for the registration selected. All new account form will be ready for completing and printing if not utilizing the esignature method.

**New Upload Feature:**

On this page, you are now able to upload documents into the new account kit that will be provided to the client for esignature. You may upload up to 3 PDF documents with a total maximum size of 6 megabytes for all three documents.

Documents uploaded into the new account kit can be tagged for esignature. For further instructions on how to tag a document for esignature before uploading it into UAO, click the link below.


**Note:** Uploaded documents must be attached to the account in UAO prior to selecting “esignature” as the signature method on the account.

**Note:** Documents must be completed in its entirety before tagging and uploading the document into UAO to avoid NIGO’s for incomplete paperwork.
Error Summary Page

After submitting the account on the Verify & Submit page, an error check will run to ensure all required data fields (marked with a “*”) are completed. If any fields are missing, the error summary page will be provided listing all fields that need corrections. Once clicking the link to the page, the screen will provide the missing fields in red.

Once complete, select “SUBMIT” from the Verify & Submit page. The error check will run again and if all fields are complete, you will be provided with the signature method options.

E Sig Setup Page

On the eSig Setup Page, all documents required for the registration type selected, as well as documents selected from the Investor Question and Characteristics page will be provided under the “Eligible for eSignature” section.

Brokerage Accounts:
Editable documents included are categorized by either:

Edit Allowed – Document is considered in good order without any modifications needed
Edit Required – Documents cannot be submitted for esignature without being updated and saved. These forms must be completed in its entirety prioring to sending for esignature to avoid any unnecessary NIGO’s once received by Home Office.

WMS Accounts:
Editable documents included are categorized by a “YES” in the Editable and Eligible To Send In Envelope fields.

Documents not eligible for esignature will be listed under the “Not Eligible for ESsignature” section.
These documents will need to be printed, completed, and either uploaded prior to sending the new account kit for eSignature or will be required to be submitted into BPM separately.

Any documents uploaded from the Documents page will be listed under the “Uploaded Documents” section.

The Durable Power of Attorney Document is available under the “Optional Documents Not Eligible for eSignature” section. This form is not eSignature eligible and will need to be printed and completed.
Restrictions

Restrictions will be added to all new accounts created. All activity will be restricted on the account except for check deposits.

Once the new account application is received by Home Office and Home Office Principals have reviewed and approved the account, the restrictions will be removed from the account.