

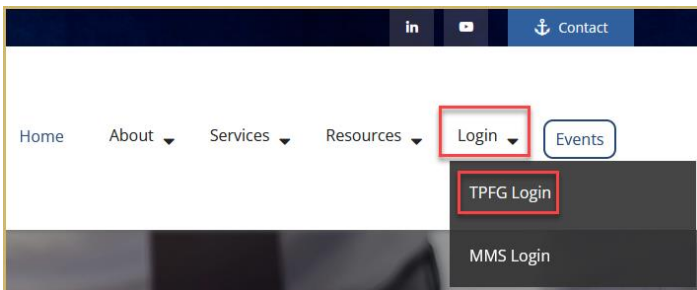
## OVERVIEW

The TPFG Guided Paperwork Solution (GPS) digitizes the process of submitting new accounts to TPFG. GPS allows advisers to bundle and send all account-related forms directly to clients to sign electronically (or Print & Sign if wet signature required) with DocuSign®.

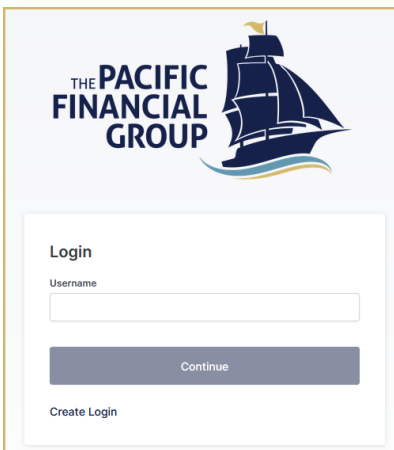


## GETTING STARTED

1. Please visit our website at [www.tpf.com](http://www.tpf.com). Click **Login** and **TPFG Login** in upper right-hand corner.



2. Enter your username to get started. Please contact TPFG Client Services if you have not received credentials for the Adviser Portal.



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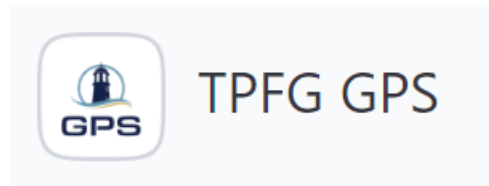
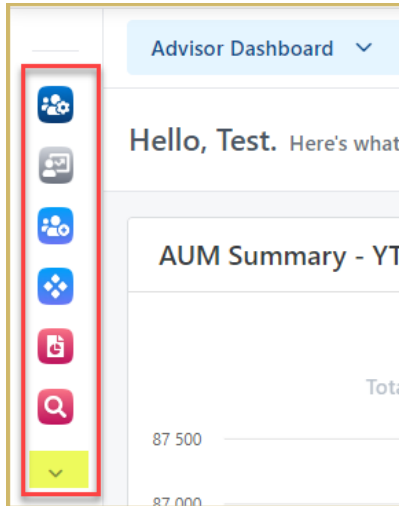
Login

Username

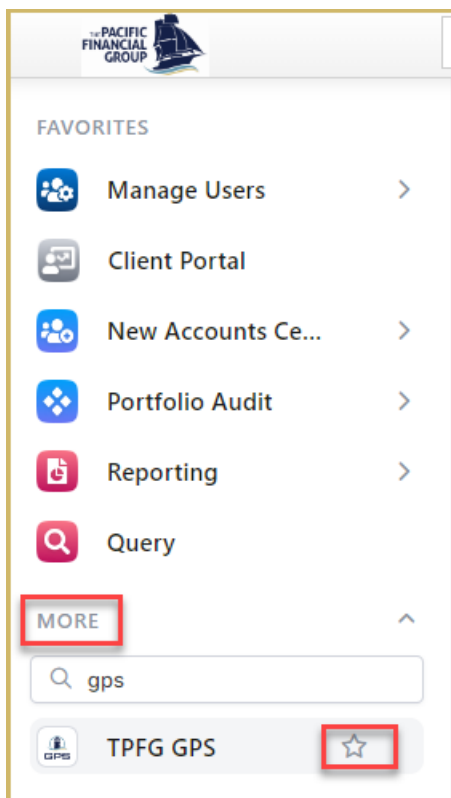
Continue

Create Login

3. Expand the apps menu from the left side panel and click on the **TPFG GPS** tile.

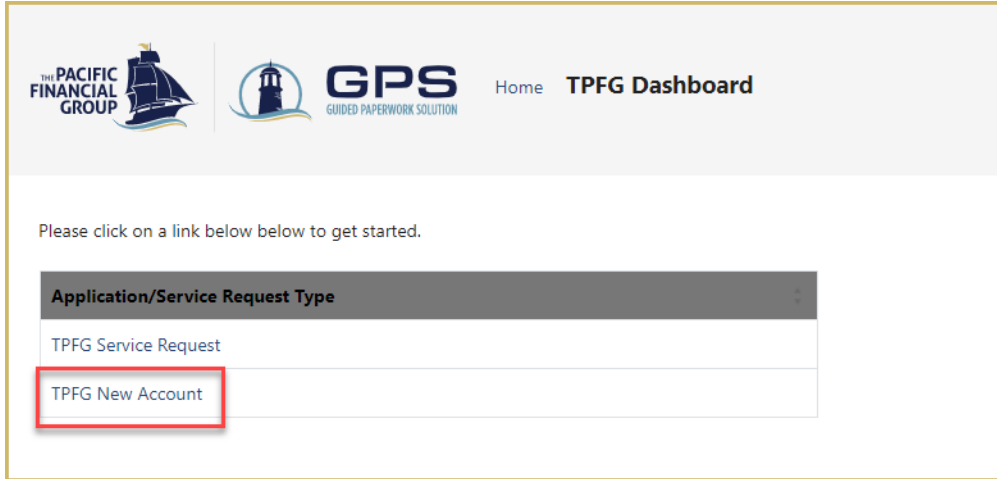


If the **TPFG GPS** tile is not available on the list, Click on **More** and type GPS or TPFG GPS in the search bar. Hover on the **TPFG GPS** tile and click on the star icon to favorite the TPFG GPS tile.

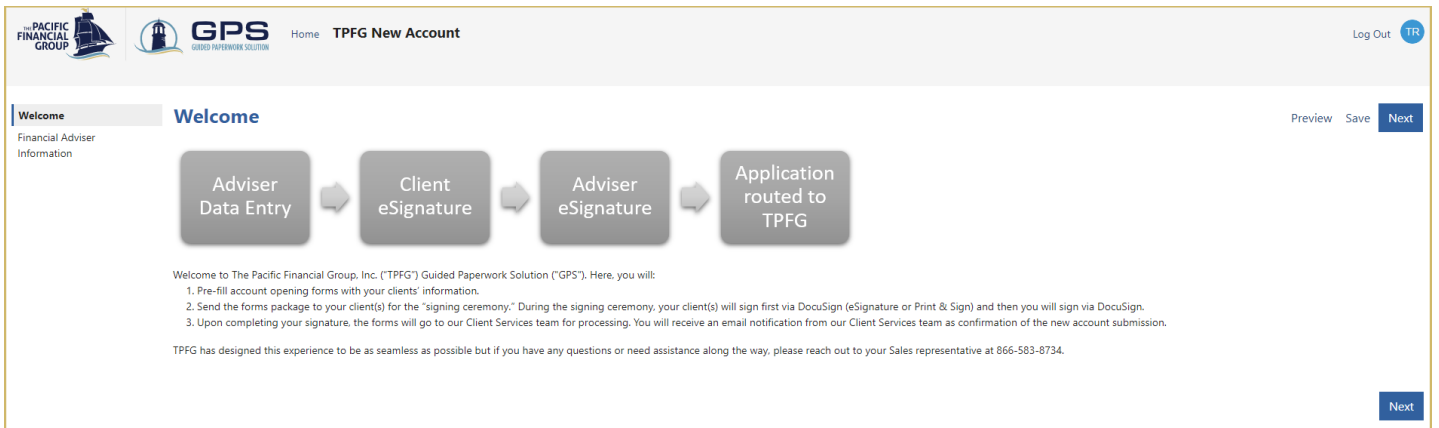


## START A NEW ACCOUNT APPLICATION

1. From the **GPS TPFG Dashboard**, select **TPFG New Account** from the Application/Service Request Type menu.



2. The **Welcome Page** details the new account opening process. An application starts in the **Adviser Data Entry** stage, where the Adviser provides all client and account information prior to sending the application to the client for signatures. Click on Next to continue.



- On the **Financial Adviser Information** page, select the Adviser that will be signing the forms. If the signed in user has multiple Adviser profiles assigned, all available adviser profiles will display in the dropdown list. Once a Rep ID is selected, verify the Adviser email and mobile phone number. The mobile phone will be used for Adviser authentication to access the DocuSign envelope. Click Next to continue.

Welcome

**Financial Adviser Information**

User Name: Test Rep-2      User Email: jenniferr@tpfg.com

Use the "Select Signer" dropdown to select the Financial Adviser signing the form(s)

Select Signer \*      Introducing Firm      Email \*      Adviser Mobile Phone \* ?

649 - Test Rep-2      DemoBD      jenniferr@tpfg.com      2063341157

Selling Agreement for Rep Id      Products Available for Rep to Sell

Yes      All Products

If Adviser's firm has any product restrictions, they will be displayed here.

- On the **Client Information** page, enter the required client information and confirm if there is a second client at the bottom of the page. Click on Next to continue.

Welcome

**Client Information**

First Name \*      No MI      MI      Last Name \*

SSN/Tax # \*      Date of Birth \*      Email Address \*

Citizenship \*

Home Phone Number      Mobile Phone Number      Primary Phone \*

Employer Name

Home Address

Street Address \*

City/Town \*      State      Postal Code

Is the mailing address the same?

Is there a second client? \*

Preview Save Back Next

Next



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# New Account Opening User Guide

If adding a second client, enter the required information on the **Second Client Information** page.

5. On the **Program Selection** page, complete the required fields. Add additional accounts by clicking on the **Add Program** button. Click Next to continue.

6. A **Program** page is generated for each account with two tabs within each program page. The 1st tab (labeled with Program name) is specific to TPFG forms. The 2<sup>nd</sup> tab (labeled with custodian name) includes any additional information needed to populate the custodian form(s).

Welcome

Financial Adviser Information

Client Information

Program Selection

Risk Profile Questionnaire (Default)

Program(s)

**(1) SIS SDBA - Fidelity**

(2) SIS SDBA - Fidelity

Application Summary

Next Step

**Program(s)**

Participant: **JoJo M Rowe - Registration Type: 401(k)**

On this page, you'll be completing the Statement of Investment Selection (SIS) and custodial forms. There are two tabs: one for the SIS and one for the custodial forms. Please complete all mandatory fields to advance to the next section.

SDBA Fidelity

Each account in the package with be listed on a separate line here.

1. Account Details

Account # (if available) Estimated Account Value

65##### \$

Plan Name Plan Number

7. For each account, there are required fields under the collapsible sections (click on the dropdown arrow on right side of each grey row to expand/collapse a section).

Welcome

Financial Adviser Information

Client Information

Program Selection

Program(s)

**(1) SIS SDBA - Fidelity**

Application Summary

Next Step

**Program(s)**

Participant: **JVV M Rowe - Registration Type: 401(k)**

On this page, you'll be completing the Statement of Investment Selection (SIS) and custodial forms. Within these tabs, there may be one or more tabs to be completed. Please complete all mandatory fields to advance to the next section.

SDBA Fidelity

1. Account Details

2. Risk Questionnaire

3. Model Portfolio Selection

Preview Save Back Next

Log Out TR

Next

8. Complete all required fields in the **Account Details** section. The fields in this section will vary by account type.

9. After completing the **Risk Questionnaire**, a risk score will be calculated.

10. After the risk score is calculated, all models within the corresponding risk profile will be displayed in the **Model Portfolio Selection** section. Check the override box to display all model portfolios (including models outside the risk profile noted in the risk profile questionnaire).

Based on the results of the Risk Profile Questionnaire your risk score is: **66.5** which makes your risk profile: **Moderate**

Select a Model Portfolio from the list below.

Check this box to display model portfolios that are outside the Risk Profile noted in the Risk Profile Questionnaire. The selected model portfolio is appropriate for the objectives for this account.

Risk Score Range	RiskPro® Tolerance Range	Portfolio Risk Profile
22 to 43.2	+/- 0.00% to +/- 12.00%	Conservative
43.3 to 53.2	+/- 12.01% to +/- 17.67%	Moderate Conservative
53.3 to 68.7	+/- 17.68% to +/- 26.51%	Moderate
68.8 to 84.3	+/- 26.52% to +/- 35.35%	Moderate Growth
84.4 to 100	+/- 35.36% to +/- 44.20%	Aggressive

**Select a Model Portfolio**

**1. Conservative**

- American Funds Conservative
- ESG PLUS Conservative
- Fidelity Institutional AM Conservative
- Focus Conservative
- Multi PLUS Conservative
- Target PLUS Conservative

**2. Moderate Conservative**

- American Funds Moderate Conservative**
- ESG PLUS Moderate Conservative
- Fidelity Institutional AM Moderate Conservative
- Focus Moderate Conservative
- Meeder Moderate Conservative

11. For application packages containing multiple accounts, a **Risk Profile Questionnaire** page will display separately before the Program(s) page. You may elect to apply the default risk profile to all accounts or create a new risk profile for each account. After completing the default Risk Profile Questionnaire, click **Next** to continue.

The screenshot shows the 'Risk Profile Questionnaire (Default)' page. At the top, there are logos for The Pacific Financial Group and GPS Guided Paperwork Solution, along with navigation links for 'Home' and 'TPGF New Account', and a 'Log Out' button. A sidebar on the left contains a list of menu items: 'Welcome', 'Financial Adviser Information', 'Client Information', 'Program Selection', 'Risk Profile Questionnaire (Default)', 'Program(s)', 'Application Summary', and 'Next Step'. The main content area is titled 'Risk Profile Questionnaire (Default)' and includes 'Preview', 'Save', 'Back', and 'Next' buttons. A light blue informational box states: 'For applications containing multiple accounts, you have the option to apply the default Risk Profile to each account or create a new Risk Profile for each account. On the Program page for each account, please indicate if you would like to create a new Risk Profile for the account.' Below this, a message explains the purpose of the questionnaire. 'Instructions' state: 'Select the answer that is most applicable to you. Once completed, a Risk Profile Score will be calculated for you. The total is your Risk Profile Score.' The first question is '1) What is your age?' with radio button options: 'Over 66 (2.5)', '56-65 (5)' (which is selected), '45-55 (7.5)', and 'Under 45 (10)'.



12. Complete all required fields on the **Custodian** tab. The fields on this tab will vary based on the custodian and account type.

Home TPGF New Account

Welcome

Financial Adviser Information

Client Information

Program Selection

Program(s)

(1) SIS SDBA - Fidelity

Application Summary

Next Step

## Program(s)

Participant: JDJD M Rowe - Registration Type: 401(k)

On this page, you'll be completing the Statement of Investment Selection (SIS) and custodial forms. There are two tabs: one for the SIS and one for advance to the next section.

SDBA **Fidelity**

### Authorization/Termination

Plan Name <sup>?</sup> Plan Number <sup>?</sup>

Account Number <sup>?</sup>  
Not Entered

Trade confirmations are sent quarterly if this box is checked, otherwise they are sent immediately

Do you need to remove another authorized Adviser from the BrokerageLink account? \*

Yes  
 No

Has the BrokerageLink account already been opened?  
*If not, a Fidelity Participant Acknowledgement Form needs to be*

13. Expand any section on the **Application Summary** page to display your entries on that page. To revisit a page, click on the **Change** button for that page. Click Next to continue.

Home TPGF New Account

Log Out TR

Welcome

Financial Adviser Information

Client Information

Program Selection

Risk Profile Questionnaire (Default)

Program(s)

(1) SIS SDBA - Fidelity

(2) SIS SDBA - Fidelity

**Application Summary**

Next Step

## Application Summary

Preview Save Back Next

**Welcome** Change

**Financial Adviser Information** Change

Select Signer 649 - Test Rep-2

Introducing Firm DemoBD

Email jenniferr@tpfg.com

Adviser Mobile Phone 2063341157

**Client Information** Change

**Program Selection** Change

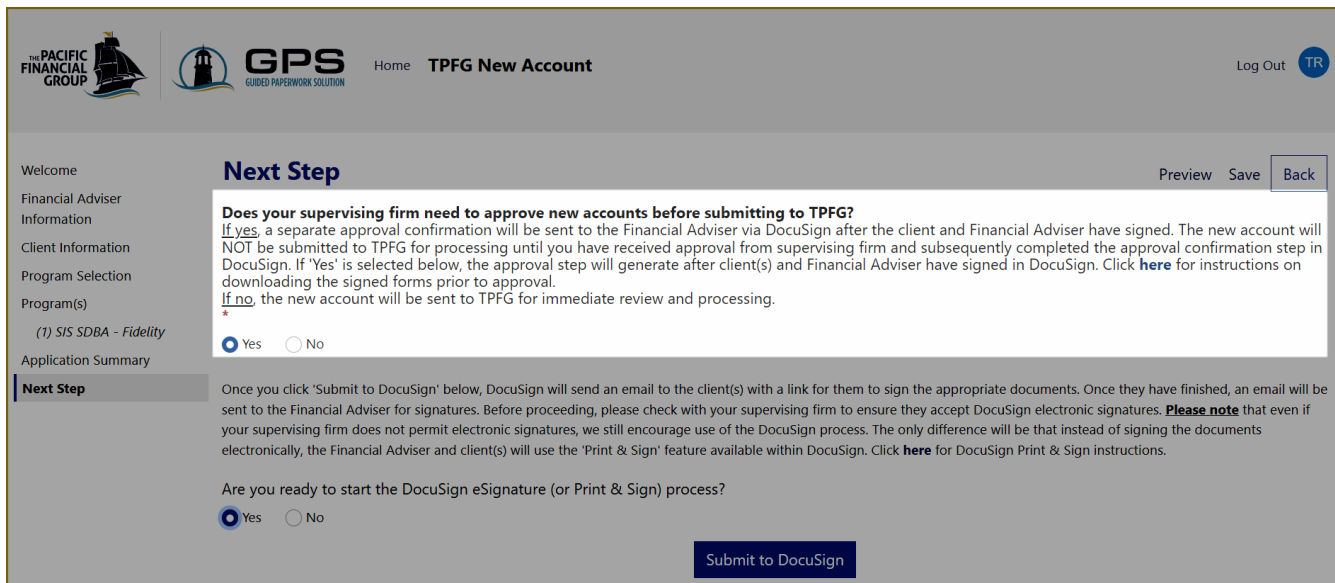
**Risk Profile Questionnaire (Default)** Change

**Program(s)** Change

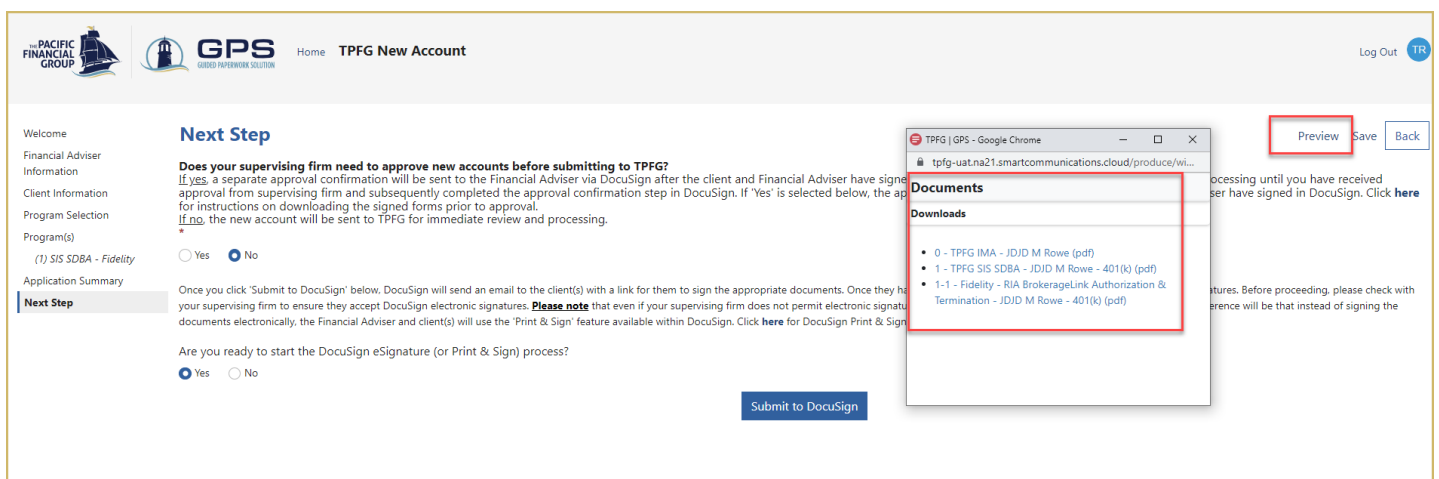
**Next Step** Change

Next

14. The **Next Step** page asks if the Adviser’s supervising firm requires pre-approval before submitting to TPGF. If Yes, an additional approval step will be added in DocuSign for the Adviser to complete after both client and Adviser have signed. This allows the Adviser the opportunity to ‘pause’ submission of the application until approval is obtained from the supervising firm. To **download signed forms**, please see [DocuSign Download Document Instructions](#).



The **Next Step** page also has a **Preview** button in the top right to review the documents that will be generated in the package before sending to client. First answer both questions on page, then click on Preview and select a document from the pop-up window to review the form(s).





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# New Account Opening User Guide

Click on **Submit to DocuSign** to initiate the DocuSign signing process. If wet signatures are required for client, please see the [DocuSign Print & Sign Instructions](#).

The screenshot shows the 'TPFG New Account' web interface. The 'Next Step' section contains the following text:

**Does your supervising firm need to approve new accounts before submitting to TPGF?**  
If **yes**, a separate approval confirmation will be sent to the Financial Adviser via DocuSign after the client and Financial Adviser have signed. The new account will NOT be submitted to TPGF for processing until you have received approval from supervising firm and subsequently completed the approval confirmation step in DocuSign. If 'Yes' is selected below, the approval step will generate after client(s) and Financial Adviser have signed in DocuSign. Click [here](#) for instructions on downloading the signed forms prior to approval.  
If **no**, the new account will be sent to TPGF for immediate review and processing.

Yes  No

Once you click 'Submit to DocuSign' below, DocuSign will send an email to the client(s) with a link for them to sign the appropriate documents. Once they have finished, an email will be sent to the Financial Adviser for signatures. Before proceeding, please check with your supervising firm to ensure they accept DocuSign electronic signatures. **Please note** that even if your supervising firm does not permit electronic signatures, we still encourage use of the DocuSign process. The only difference will be that instead of signing the documents electronically, the Financial Adviser and client(s) will use the 'Print & Sign' feature available within DocuSign. Click [here](#) for DocuSign Print & Sign instructions.

Are you ready to start the DocuSign eSignature (or Print & Sign) process?  
 Yes  No

The 'Submit to DocuSign' button is highlighted with a red box.

15. The documents will be sent to client(s) first and then to the Adviser for signatures using **DocuSign**. The client will receive an email with a link to the documents in DocuSign. The level of authentication in DocuSign will vary depending on the documents included in the package. Some custodian documents require Knowledge-Based Authentication for the client signatures.

The email notification template features the Pacific Financial Group logo at the top. The main content is a dark blue box with a white document icon and the text: "The Pacific Financial Group sent you a document to review and sign." Below this is a yellow button labeled "REVIEW DOCUMENTS".

**The Pacific Financial Group**  
[teamcs@tpfg.com](mailto:teamcs@tpfg.com)

Your TPGF documents are ready for your review and e-Signature. Click the "Review Document(s)" button to access your documents.

Before you will be able to view your documents, you will first have to pass authentication. Please follow the instructions that will display once you click "Review Document(s)".

If you have any questions contact Test Rep-2 at [jenniferr@tpfg.com](mailto:jenniferr@tpfg.com).

Powered by **DocuSign**



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# New Account Opening User Guide

16. Once the client has signed in DocuSign, the Adviser will receive an email with a link to the documents in DocuSign. If no approval step selected by Adviser, the documents will be sent directly to TPFG for processing after Adviser signs.

Select the sign field to create and add your signature. FINISH OTHER ACTIONS ▾

**Consent to Electronic Delivery:** By providing an email address in the Client Information section, Client acknowledges and agrees to TPFG's Electronic Delivery terms and conditions for receiving documents and correspondence electronically as set forth in the IMA and agrees that all correspondence and/or notices shall be sent to the email address provided.

**Consent to Arbitrate:** The IMA contains a pre-dispute arbitration clause. By signing the Application, Client gives up the right to seek redress of claims in court. Client has read this provision in the IMA and consents to arbitrate all claims as noted therein.

**Client Certification:** Client hereby certifies that all information provided by Client in this Application is complete and accurate.

Client Signature	<i>JoJo M Rowe</i>	Date	3/7/2023	Second Client Signature		Date	
------------------	--------------------	------	----------	-------------------------	--	------	--

**FINANCIAL ADVISER ACKNOWLEDGEMENT**  
The undersigned Adviser is the Client's Investment Adviser Representative. Pursuant to the Adviser's fiduciary duties to the Client as provided for by the Investment Advisers Act of 1940, the Adviser has sufficiently explained the services to be provided by the respective parties, the Programs and allocation selections, to include any fees and costs, of the selected Program(s). Adviser has reviewed the Client Agreement, including this Application, the IMA, and each applicable SIS and agrees to be bound by, and comply with, all obligations set forth in all such documents to include without limitation, the responsibility to provide Client with continuous and ongoing investment advisory services and such other obligations as delegated to the Adviser or defined in the IMA.

Financial Adviser Name	Test Rep-2	Introducing Firm (RIA Firm Name)	DemoBD
Financial Adviser Signature		Date	3/7/2023

www.tpg.com  
TeamCS@tpfg.com | (800) 735-7199 | (425) 451-7731

IMA.2022NOV3 2

0 - TPFG IMA - JoJo M Rowe 4 of 10

DocuSign Envelope ID: 85FBBE23-8EA9-4D99-91E2-899037FA6618


**THE PACIFIC FINANCIAL GROUP**

**INVESTMENT MANAGEMENT AGREEMENT**

If the approval step was selected by the Adviser, an approval email will be sent to the Adviser immediately after signing. To complete the approval, open the envelope by clicking on 'Review Documents' in the email.

The Pacific Financial Group sent you a document to review and sign.

[REVIEW DOCUMENTS](#)

 **The Pacific Financial Group**  
[teamcs@tpfg.com](mailto:teamcs@tpfg.com)

PLEASE READ THE INSTRUCTIONS BELOW FOR ATTACHING DOCUMENTS FROM YOUR SUPERVISING FIRM (OPTIONAL) AND APPROVING THE ACCOUNT FOR SUBMISSION TO TPFG.

After your supervising firm has approved the new account for submission to TPFG, you will need to:

1. Open the document package (click the 'Review Document(s)' button above).
2. Use the 'Attachment' tab (at the top of the TPFG IMA form) to insert any documents that your supervising firm requires you send to TPFG for new accounts (i.e., approval confirmation).
3. Click on the 'Approved for Submission to TPFG' button. The forms will then be sent directly to TPFG for processing.

IF YOU HAVE AN ATTACHMENT YOU MUST ATTACH IT PRIOR TO CLICKING ON THE APPROVE BUTTON.

If you have any questions, please contact TPFG Client Services at [teamcs@tpfg.com](mailto:teamcs@tpfg.com) or 1-800-735-7199.



# New Account Opening User Guide

Within this step there is an option to attach additional supporting documents. Select the **Attachment** icon and **Upload a File** to select a file to attach.

DocuSign Envelope ID: 9E6A17AF-FA08-4172-B41F-845FB4C67DE4

**THE PACIFIC FINANCIAL GROUP**

**Optional**

**Approved for Submission to TPFG**

**Account Application & Investment Management Agreement**

This Account Application ("Application") and Investment Management Agreement ("IMA"), together with all applicable Statements of Investment Selection and Fee Disclosure ("SIS"), and all documents incorporated by reference (collectively, the "Client Agreement"), sets forth the representations and obligations of the client(s) ("Client") and the Financial Adviser ("Adviser") identified in the Application, and The Pacific Financial Group, Inc. ("TPFG") with respect to the management, administration, and servicing of all accounts established by Client with TPFG (each an "Account"). Unless agreed to otherwise, the IMA shall apply to all current and future SIS executed by the Client, the Adviser, and TPFG, which reflect the same Social Security Number and/or Tax ID number ("SSN/Tax ID#") noted below.

**NEXT**

**1. CLIENT INFORMATION**

When ready to submit the application to TPFG (including any optional attachments), click on the **Approved for Submission to TPFG** button at the top of the page.

DocuSign Envelope ID: 9E6A17AF-FA08-4172-B41F-845FB4C67DE4

**THE PACIFIC FINANCIAL GROUP**

**Approved for Submission to TPFG**

**Account Application & Investment Management Agreement**

This Account Application ("Application") and Investment Management Agreement ("IMA"), together with all applicable Statements of Investment Selection and Fee Disclosure ("SIS"), and all documents incorporated by reference (collectively, the "Client Agreement"), sets forth the representations and obligations of the client(s) ("Client") and the Financial Adviser ("Adviser") identified in the Application, and The Pacific Financial Group, Inc. ("TPFG") with respect to the management, administration, and servicing of all accounts established by Client with TPFG (each an "Account"). Unless agreed to otherwise, the IMA shall apply to all current and future SIS executed by the Client, the Adviser, and TPFG, which reflect the same Social Security Number and/or Tax ID number ("SSN/Tax ID#") noted below.

**CHOOSE**

After the Adviser has signed and approval completed by Adviser (if applicable), the application is complete, and DocuSign routes the completed documents to TPFG for processing.

TPFG Client Services will confirm receipt of new account(s) once received from DocuSign. Adviser and Client will also receive a completion confirmation email from DocuSign with the documents attached.



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# New Account Opening User Guide

## GPS DASHBOARD

On the **GPS Dashboard**, you can view all in-progress applications. The **In Progress Applications Assigned to Me** tab shows applications that are assigned to you and pending action. The **In Progress Applications Initiated by Me** tab shows applications that have been initiated by your user ID and are assigned to another user for action. If the **Assigned To** column shows 'DocuSign', that means the application was completed in GPS and is pending completion of e-signatures.

Please click on a link below to get started.

**Application/Service Request Type**  
TPFG New Account

[Click here to leave feedback on your GPS experience.](#)

[Click here to view completed New Account Applications in Orion.](#)

**In Progress Applications**  
To view and access your current application select from the appropriate tab.

In Progress Applications Assigned to Me    In Progress Applications Initiated by Me

Application	Date Application Created (user profile time)	Financial Adviser	Wholesaler	Client	Assigned To	Assigned To Email	State	Date Task Created (user profile time)	Service Request
TPFG New Account ***	3/7/2023 12:43 PM	Test Rep-2	Ingrid Kafer	Jolo M Rowe	DocuSign		Waiting for Completion	3/7/2023 2:35 PM	
TPFG New Account ***	2/23/2023 10:20 AM	Test Rep-2	Ingrid Kafer	John M Smith	John M Smith	jenniferr@tpfg.com	Client Data Entry	2/23/2023 10:20 AM	

Upon completion, new accounts are viewable in the Adviser Portal (Orion). From the GPS Dashboard, click on **Click here to view completed New Account Applications in Orion**, to launch the New Accounts Center.

Please click on a link below to get started.

**Application/Service Request Type**  
TPFG New Account

[Click here to leave feedback on your GPS experience.](#)

[Click here to view completed New Account Applications in Orion.](#)



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## New Account Opening User Guide

Questions?

1-866-583-8734

[TPFG Territory Sales](#)

Advisory services provided by your financial adviser in coordination with The Pacific Financial Group, Inc. (“TPFG”) a Registered Investment Adviser. The information is for informational purposes only and should not be relied on or deemed the provision of tax, legal, accounting or investment advice. Past performance is not a guarantee future results. All investments contain risks to include the total loss of invested principal. Diversification does not protect against the risk of loss. Investors should review all offering documents and disclosures and should consult their tax, legal or financial professional before investing.