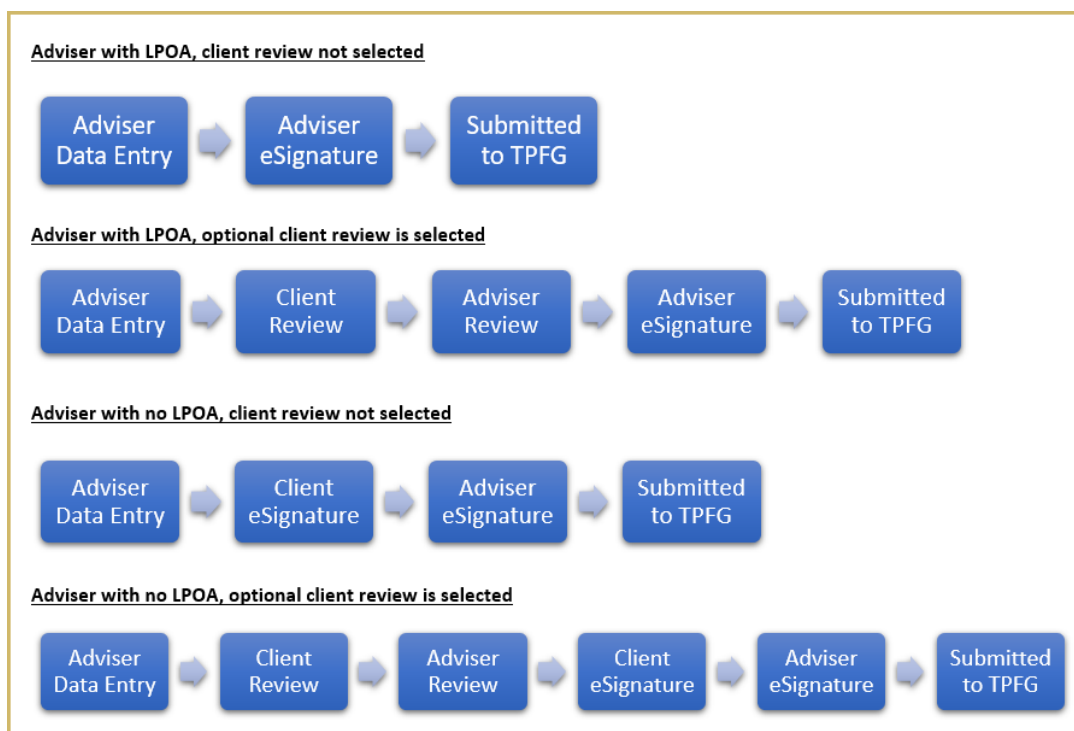


OVERVIEW

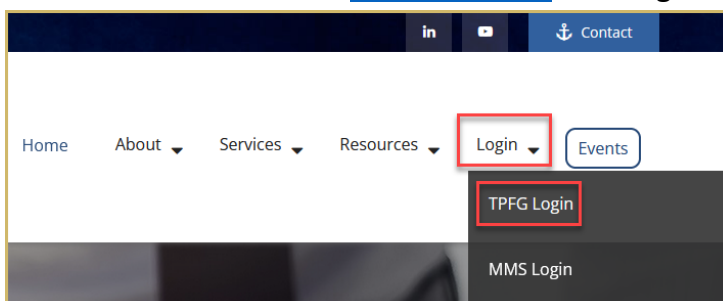
The TPFG Guided Paperwork Solution (GPS) digitizes the process of submitting service requests such as Investment Election Changes and Liquidation Requests. GPS allows advisers and clients to complete forms online, digitally sign with DocuSign, and automatically submit to TPFG for processing.

The process can vary depending on the request type, the level of authorization granted to the Adviser, and if the optional Client Review step is selected. The most common workflows are detailed below.

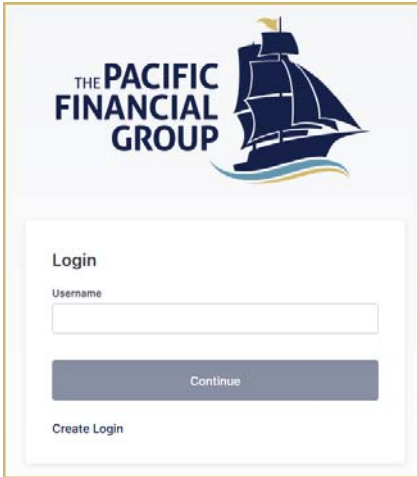


GETTING STARTED

1. Please visit our website at www.tpfg.com. Click **Login** and **TPFG Login** in upper right-hand corner.

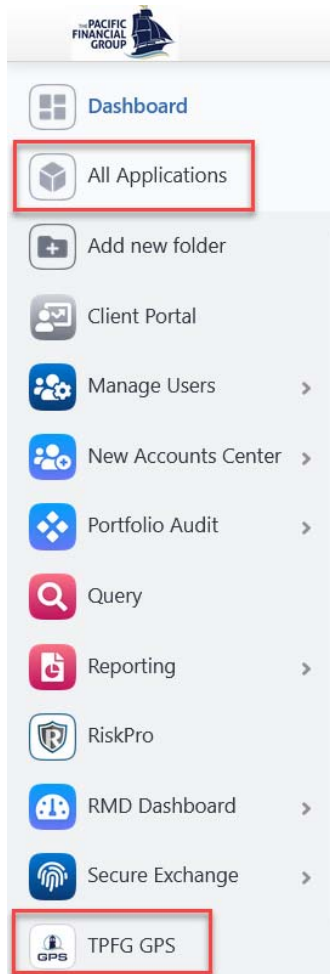


2. Enter your username to get started. Please contact TPFG Client Services if you have not received credentials for the Adviser Portal.



The screenshot shows the login interface for The Pacific Financial Group. At the top left is the company logo. Below it is a 'Login' section with a 'Username' input field and a 'Continue' button. At the bottom left of the login area is a link for 'Create Login'.

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



CREATE A NEW SERVICE REQUEST

- From the **TPFG Dashboard**, select **TPFG Service Request** from the Application/Service Request Type menu.

Please click on a link below to get started.

Application/Service Request Type

- TPFG New Account
- TPFG Service Request

Select TPGF Service Request to launch a new request

[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

View all in-progress service requests

View all requests that require action by you

Application	Date Application Created (user profile time)	Financial Adviser	Wholesaler	Client	Assigned To	AssignedToEmail	State	Date Task Created (user profile time)	Service Request
TPFG New Account	2/1/2023 6:59 PM	Test Rep-2	Megan Meade	jjjg M Rowe	Test Rep-2	jenniferr@tpfg.com	(Start)	2/1/2023 5:41 PM	
TPFG Service	1/19/2023 4:28 PM	Test Rep-2	Megan Meade	Sample Test	DocuSign		Waiting for	1/19/2023 4:28 PM	IEC.SMA(sample456)

- The **Welcome Page** details the service request process. Click on Next to continue.

Welcome

Adviser Information

Preview Save **Next**

Welcome to The Pacific Financial Group, Inc. ("TPFG") Guided Paperwork Solution ("GPS"). Here, you will:

- Complete service request forms for your client and then send through DocuSign for signatures. If you have authorization (LPCA as provided for in the TPGF Investment Management Agreement), only your signature is required.
- If you choose to do so, the forms can be routed to your client to be reviewed and completed before initiating the 'signing ceremony'. You will have a final opportunity to review the forms for accuracy and completeness.
- Once the forms are completed, they will be prepared for DocuSign. The client(s) will sign first (if required) and then you will sign via DocuSign.
- Upon completed adviser signature, the forms will go to our Client Services team for processing. You will receive an email notification from our Client Services team as confirmation the request was received.

TPFG has designed this experience to be as seamless as possible but if you have any questions or need assistance along the way, please reach out. TPGF Client Services at 1-800-735-7199 or teams@tpfg.com.

Next

- On the **Adviser Information** page, select the Adviser that will be signing the forms. If the signed in user has multiple Adviser profiles assigned, all available 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.

- On the **Service Request Selection** page, select the client and verify client's phone number and email. Once a client is selected, a yellow alert bar will display the level of authorization the Adviser has. If the Adviser does not have LPOA authorization, the Adviser will not be able to sign on behalf of the client and the client will be required to sign the forms in DocuSign.

- Select the account(s) and service request type(s). Use the **Add** button for multiple service requests. Click Next to continue.

Service Request Selection

Please select the Client for Service Request

Sample Test

Phone Number * 2063341157 Email Address * jenniferr@tpfg.com

Rep Authorization Level - Adviser is permitted to act on behalf of the Client for account allocation updates and account disbursements/transfers.

Please select the Account(s) and Service Request Type

Account Number - Registration type	Custodian	Model Name	Current Value	Service Request	IEC Type
sample456 / Roth	TD Ameritrade	TRADING - SMA Equity.e	\$17,271.50	Investment Election Change	IEC SMA
MN12345 / Individual Retirement Account	Schwab	TRADING - SMA Balanced.e	\$5,621.68	Partial Account Liquidation	

Add

Add service requests for additional accounts

- Each service request will have a **Service Form Account Information** page. Complete the required fields and questions under each dropdown tab. Click Next to continue.

Service Form(s) Account Information

Participant: Sample Test - Registration Type: Roth

On this page you'll fill out the remaining information for the Service Request form(s). You will need to answer all mandatory fields.

IEC SMA

- 1. IEC Details
- 2. Risk Questionnaire
- 3. Model Portfolio Selection

Select a Model Portfolio from the list below.

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

7. After the **Application Summary** page, the **Finish** page will display options for next step. A service request may be sent to the client for review prior to initiating DocuSign. The optional Client Review step gives the client the opportunity to review the Adviser's entries and make changes prior to signing. The Client Review step is optional, and the Adviser can select **Send to DocuSign** to bypass Client Review and go straight to the signing process in DocuSign.



THE PACIFIC FINANCIAL GROUP | GPS GUIDED PAPERWORK SOLUTION | Home TPGF Service Request

Welcome

Adviser Information

Service Request Selection

Service Form(s) Account Information

- (1) IEC SMA
- (2) Partial Account Liquidation

Application Summary

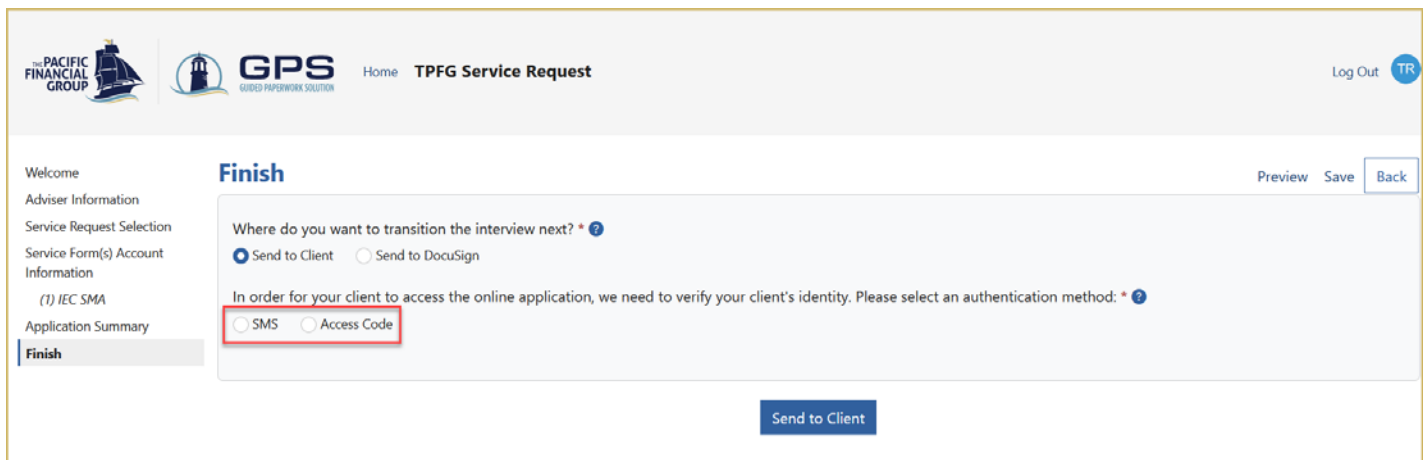
Finish

Finish

Where do you want to transition the interview next? * ?

Send to Client Send to DocuSign

If 'Send to Client' is selected, a method for client authentication must be selected. **SMS** requires the client to provide a passcode received in a SMS text message. **Access Code** method requires you to enter the last 4 digits of the client's SSN. An additional unique code will be sent in an email to the client. The access code the client enters to gain access to the application is the last 4 digits of the client's SSN followed by the additional code provided to the client in the email.



THE PACIFIC FINANCIAL GROUP | GPS GUIDED PAPERWORK SOLUTION | Home TPGF Service Request | Log Out TR

Welcome

Adviser Information

Service Request Selection

Service Form(s) Account Information

- (1) IEC SMA

Application Summary

Finish

Finish

Where do you want to transition the interview next? * ?

Send to Client Send to DocuSign

In order for your client to access the online application, we need to verify your client's identity. Please select an authentication method: * ?

SMS Access Code

Preview Save Back

Send to Client



GPS
GUIDED PAPERWORK SOLUTION

Service Request User Guide

IMPORTANT NOTES

Investment Election Change (IEC):

- The client does not need to sign for IEC if the Adviser has been granted LPOA as provided for in the investment management agreement, and the Adviser's supervising firm permits the Adviser to act on behalf of client. The DocuSign envelope will only go to the Adviser if client is not required to sign.
- If client is required to sign for the IEC, a new Risk Profile will also need to be completed by the client. The GPS Service Request will be passed to the client to complete the Risk Profile Questionnaire.

Partial Account Liquidation:

- For non-SDBA liquidation requests, custodian forms may be required. TPFG Client Services can confirm if a client has standing instructions on file with a custodian.
- For requests that contain custodian forms, the client is always required to sign.
- The current availability of custodian forms in GPS is limited to:
 - TD Ameritrade IRA Distribution/Withholding Form
 - Schwab IRA Distribution Form

Questions?

teamcs@tpfg.com

1-800-735-7199