Upload Instructions

The client document upload system is an efficient way to manage and submit client paperwork for GWN principal approval. Please follow these three steps to perform the upload process. Keep in mind, if a check accompanies your client's paperwork, please record the check in your check log and keep locked away until the paperwork is approved to be sent to the vendor.

Step 1: Scan your client paperwork and save to your hard drive

Step 2: Client Document Upload

- Log in to <u>www.gwnsecurities.com</u>
- Click on Clients/Reports
- Click on Client Document Upload

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Click on Add New

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	Submit to BD
Please check the box after the document(s) then click 'Submit to BD' when you are ready to send to new Busine	ss Dept.

- Complete the information
- Browse to locate your file
- Upload the file
- A transmittal record will appear \rightarrow Check the box next to the items you want to submit
- Click Submit to BD

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Step 3: Principal Review

• GWN's new business principals will review for accuracy and suitability. GWN will email you with a formal approval or request additional information.

Step 4: Approval

- Once you receive final approval, please send the paper and check (if the check has been received) to the vendor.
- For Pershing, MAP or Premier Choice:
 - GWN will open the account. You are not required to send the paperwork. If a check accompanies your paperwork, please send it to GWN New Business with a letter of instruction that identifies the check is for a Pershing, MAP or Premier Choice account.