

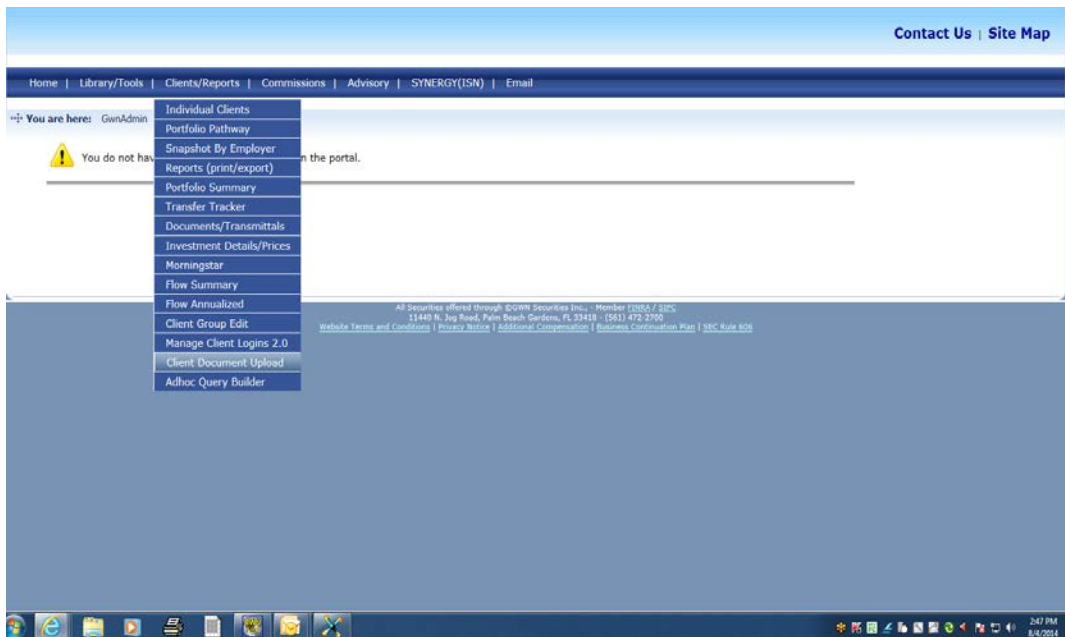
Upload Instructions

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.

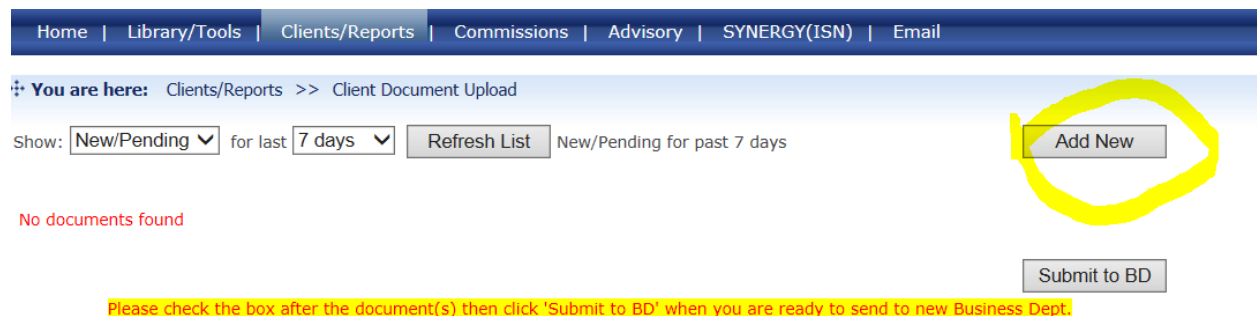
Step 1: Scan your client paperwork and save to your hard drive

Step 2: Client Document Upload

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



- Click on Add New



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

••• You are here: Clients/Reports >> Client Document Upload

Instructions/tips:

- Upload a single client & transaction at a time (ex. Joe Client is doing new flow & a transfer = 2 transactions)
- Only documents with the extension .pdf can be uploaded
- Uploaded documents need to be submitted by either you or a supervisor before the back-office will receive them
- As a general rule of thumb, average file sizes should be about 30k-300k per page depending on what is on the page, (Example: 5 pages = 150k-1.5MB, 10 pages = 300k-3MB, 20 pages = 600k-6MB, 30 pages = 900k-9MB)
- If your file size is larger than this range, you may need to adjust settings in your scanning software such as lowering resolution and/or scan to black & white instead of color)
- Do not send paperwork direct until you receive approval letter from back-office

Advisor: Melder, Tracey L

Name: [Redacted] (First MI Last)

SSN TaxID
 SSN/TaxID: [Redacted] (xxx-xx-xxxx)

Description/Comment: [Redacted]

Check Amount: [Redacted]

Payable To: [Redacted]

Original Check

Browse...

File uploaded successfully: K Dorr BD Chg 8-4-14.pdf

Upload File Cancel

Show: New/Pending for last 7 days Refresh List New/Pending for past 7 days Add New

	Advisor	Client Name	Description/Comment File Name	Check Amt Pay To	Uploaded Submitted	Submit
Delete	Melder, Tracey L 33267	Dorr, Karen R	Change of B/D K Dorr BD Chg 8-4-14.pdf		8/4/2014	<input type="checkbox"/>

Submit to BD

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.