

Creating and Sending Workflows in Forms Logic

Instructions as of **3/31/25**

Please open these instructions online through the WWA Website under “**Operations > Advisor P&P > How to Create and Manage Account Paperwork**” to ensure you’re viewing the most recent version of this form

All paperwork must always be generated, sent, and signed through Forms Logic.

Creating a workflow in Forms Logic and completing the signatures will cause a ticket to be created inside the Taiko Portal.

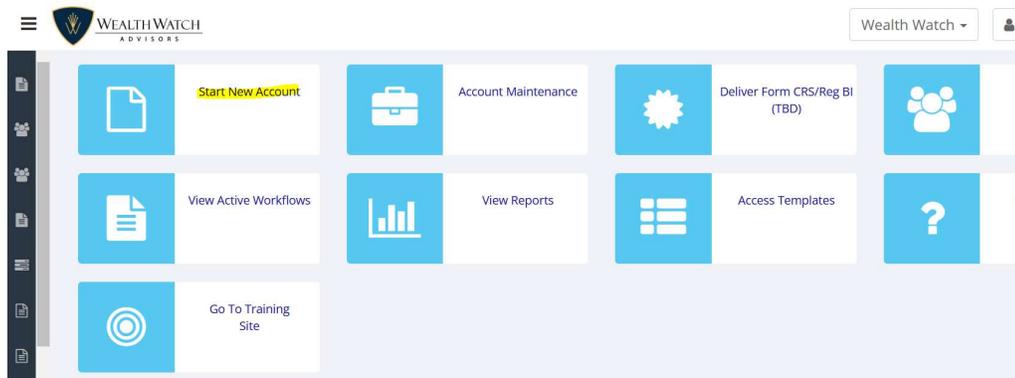
Inside the Taiko Portal ticket is where you will communicate with WWA staff on progress and NIGOs.

Please do not create support tickets in the Taiko Portal when paperwork is needed for a request. Instead, back up one step and create and send the paperwork through Forms Logic first. Expect that a ticket will then be created in Taiko on your behalf once the paperwork is electronically signed through Forms Logic first.

1. Create New Workflow

- Creating a new workflow is possible one of several ways of your choosing as shown below:

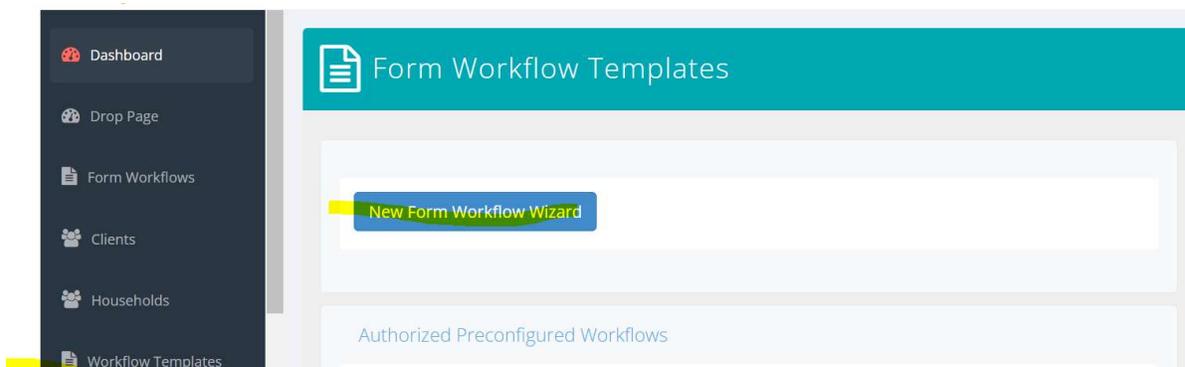
“**Start New Account**” from the drop page. You can also click “**Account Maintenance**” if a new account is not needed and only misc supporting documents are needed as one-time service requests.



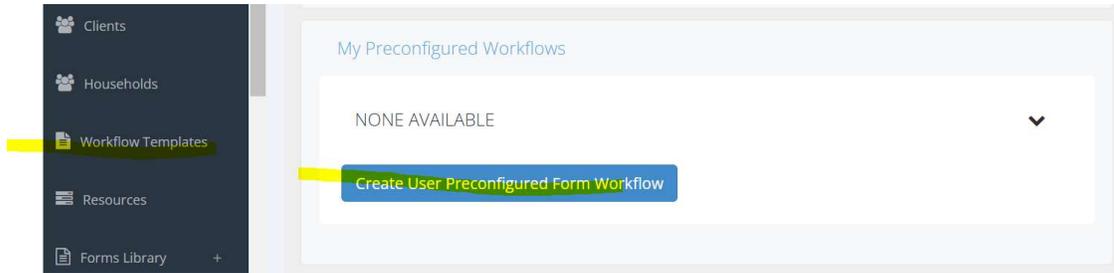
“**Client Workflow Wizard**” from the Form Workflows page:



“**New Form Workflow Wizard**” from the Workflow Templates page:



***Create your own personal saved workflow bundles on this screen for future use if you'd like



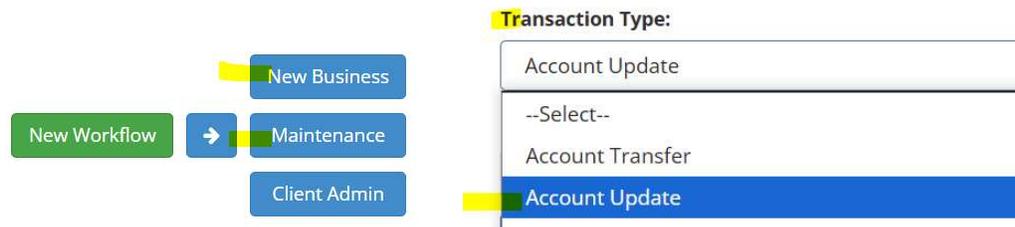
2. Enter Information into New Form Workflow

- Note that Schwab and Orion data does not feed into Forms Logic. The only clients who are part of your Forms Logic client list are clients that you create a workflow for in their system.
- Click **“New Client”** button (or **“Existing Client”** button)
 - o ***Click **“New Client”** if this is the first time sending the client paperwork through Forms Logic
 - o ***Creating a workflow using the **New Client** button will automatically create a profile for the client inside Forms Logic.
 - o ***Use the **Existing Client** button each time going forward when creating a workflow for a person who already has a profile.
 - o Select client name from the drop-down list of clients. This will avoid creation of duplicate profiles for the same person and the data from the previous workflow will auto populate for you.

- Click **“Advisory Fee”** button
- Click **“New Business Advisory RIA”** button
- Complete all fields from **“Account Category”** through **“Activity type”** on this screen.
- Click **“Submit”**
 - o ***All fields should be completed manually by you based on what you're trying to do – but these general fields highlighted in yellow should always read as follows:

3. Select Forms to Include in the Workflow

- All WWA and Schwab forms always need to be manually selected.
 - o ********The only exception to this is when using a saved workflow bundle you created for future use*
 - o ********WWA ADV 2A will always be included in every New Business workflow as required by compliance and cannot be removed from the envelope*
 - o ********Advisor WWA ADV 2B will also be included in every New Business workflow in the future – but as of this writing we do not have updated 2025 ADV 2Bs loaded into Forms Logic yet*
- Sending out new account paperwork **or** only sending miscellaneous service paperwork for an account that already exists is completed the same way by creating a workflow and selecting the desired forms. **The only difference is whether you select “New Account” or “Maintenance” in the early steps.**
- If selecting “Maintenance”, select Account Update in the transaction type drop down list, or the most relevant subject from the list, either is acceptable.



- **Each account opening requires a separate and standalone workflow. Multiple accounts and documents submitted under different Schwab account numbers should not be created inside the same workflow and each require their own separate workflow.**
- Use the search bar to type in the form name if you do not see it on the list.
- Check the box to include the form.
- Each new client will always need to sign the following forms at least ONE time when joining WWA.
- Spouses can sign their forms together or separately and do not need to sign more than once.
 - o **WWA Investment Advisory Agreement**
 - o **WWA Risk Assessment Disclosure*****
 - ********This form should ONLY be completed when the online WWA risk assessment survey has been completed previously by the client.*
 - *Answers from the survey previously completed must be transposed onto this form.*
 - *Do NOT complete and send this form to a client if the survey has not yet been taken as doing this is **strictly not allowed**.*
 - o *******Additional WWA forms may be required for specialty investments.



- Always obtain banking info from the client and include the **“MoneyLink Electronic Funds Transfer”** form with every account opening to establish a standing link under each account number.
- Let clients know this is customary and part of our normal requirements, and the link will not be used without their consent.
- If they already have a bank link set-up at Schwab online, this will not work, and a new MoneyLink form does need to be signed under your rep code for WWA to have access to the link.

- The **“Schwab One Account App for Personal Accounts”** should be selected for any of the following taxable account types:

2. Registration (Select only one.)

Individual Joint Tenants with Rights of Survivorship Tenants in Common
 Tenants by the Entirety† Community Property† Community Property with Rights of Survivorship†
 Conservatorship** Guardianship**
 Custodial* (Section 12, optional) Under Laws of (State)§ _____ Age of Termination § _____
 Estate** _____

- *****Manually add the “Designated Beneficiary Plan Agreement”** if you want to assign beneficiaries to taxable accounts.

Custodian Forms (Charles Schwab and Co - Esign)

Search

Designated Beneficiary Plan Agreement
 MoneyLink Electronic Funds Transfer
 Schwab One Account App for Personal Accounts

- The **“IRA Account Application”** should be selected for any Traditional, Rollover, or Roth IRA account type.

Custodian Forms (Charles Schwab and Co - Esign)

Search

IRA Account Application
 MoneyLink Electronic Funds Transfer

- The **“Limited Power of Attorney (LPOA)”** form should be selected for any client account that already exists at Schwab that simply needs to be moved under WWA as the Advisor of Record. A full application is not necessary in this case.

Custodian Forms (Charles Schwab and Co - Esign)

Search

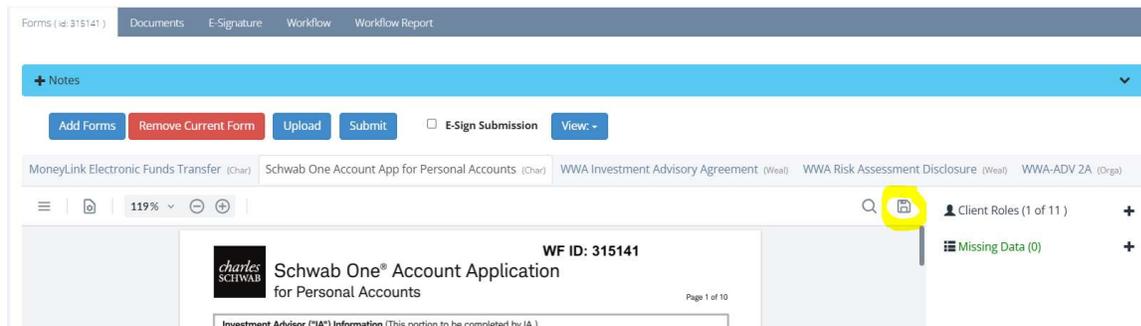
Limited Power of Attorney (LPOA)

- The above account type examples are the most commonly used. Visit the WWA website or contact Operations for a list of what Schwab paperwork to include when opening different types of accounts.
- Click **“Create Form Workflow”** once you’ve selected all Company Forms and Custodian Forms.



4. Manually Fill Out All Paperwork

- The workflow has now been created and will appear on your “Form Workflows” list from this point
- All WWA and Schwab forms always need to be manually filled out by the Advisor *before sending*.
 - o *******When opening a workflow under an Existing Client, profile information entered into a previous workflow will populate automatically, but the rest of the data fields inside of all documents need to be manually reviewed and completed
- Forms will appear in alphabetical order by name from left to right
 - o *******Forms can be dragged into different positions by clicking and holding the form name, but will still be sent inside DocuSign in alphabetical order as of the date of this writing
- Scroll through each individual form within the workflow and **complete all necessary fields**.
- **Be sure to click the small “Save” icon often and before moving to the next form or clicking away from your current view.**



- Be sure to click on each form name tab across the top to review and fill out each document in full.
- We recommend scrolling through each form and completing all necessary fields first, prior to clicking the “Missing Data” feature in the right column.
- Once you have reviewed and completed each form, “Missing Data” will be green.
 - o *******“Missing Data” may appear in red on the right side column. Expand the details downward for a reminder of a few basic fields that are still blank. Click the small “edit” button under the red text and enter the information onto the pop-up screen, or scroll the form to find the missing fields.
 - o *******The “Missing Data” feature does **not** indicate **all** required areas of the form and should not be relied upon to fill out the documents in their entirety.
- **Please note:** the first page of the “Schwab One Account Application for Personal Accounts” must be completed as shown below (in addition to all other required fields):



Schwab One® Account Application for Personal Accounts

Investment Advisor ("IA") Information (This portion to be completed by IA.)
Wealth Watch Advisors Inc.

IA Firm Name (Please print.)

0804-2873 Enterprise Service Group
 IA Master Account Number Service Team

WWA Operations Team 855-822-3708 service@wealthwatchadvisors.com
 IA Contact Name (if follow-up is required) IA Telephone Number IA Email Address

Is your firm (or a principal, employee or related person* of your firm) an owner, executor, guardian, conservator or custodian of this account?
 Yes No

If "yes," is it intended that this account will hold assets belonging to persons or entities other than your firm, your firm employees or yourself, or relatives of you or your firm members?
 Yes No

*A "related person" is defined as any advisory affiliate or any person that is under common control with your firm. See Form ADV for additional information.

To use this form, all account holders must be U.S. citizens or U.S. resident aliens, reside in the U.S. or one of its territories, and provide a U.S. mailing address.
 Please print in CAPITAL LETTERS if you are filling out this form or providing an attached instruction by hand.
 Note: To add checks or debit cards to your Personal account, please submit the Update Your Schwab One Account form.

Ask your Advisor about digital onboarding for opening new accounts in the future.

1. Type of Account (Select only one.)
 Schwab One Schwab One with Margin (not available for Custodial, Conservatorship, Guardianship or Estate accounts)

***across all Schwab applications - be sure not to miss these questions shown below. Leaving these blank will cause NIGOs. A 407 letter from the client's employer will be required as permission to open the account when answering "yes".

The Next Two Questions Are Required by Industry Regulations

Are you or an immediate family member associated with or employed by a stock exchange or member firm of an exchange or FINRA, or a municipal securities broker-dealer?
 No Yes (If "Yes," you must attach a letter from your or your immediate family member's employer or affiliated broker-dealer approving the establishment of your Account when submitting this Application. List the company name _____.)

Are you a director, 10% shareholder, or policy-making officer of a publicly held company?
 No Yes (If "Yes," enter company name _____ and trading symbol _____.)

- **Reminder:** Advisors must type in the client fee into the "WWA Investment Advisory Agreement"

Attachment A Fee Schedule

In accordance with Section 8, the annual fees charged to the Client's account will be based on the average daily balance of all assets held in the Client's account. The Advisor and the Orion/Taiko billing system relies upon the custodian, Charles Schwab, for the asset valuation.

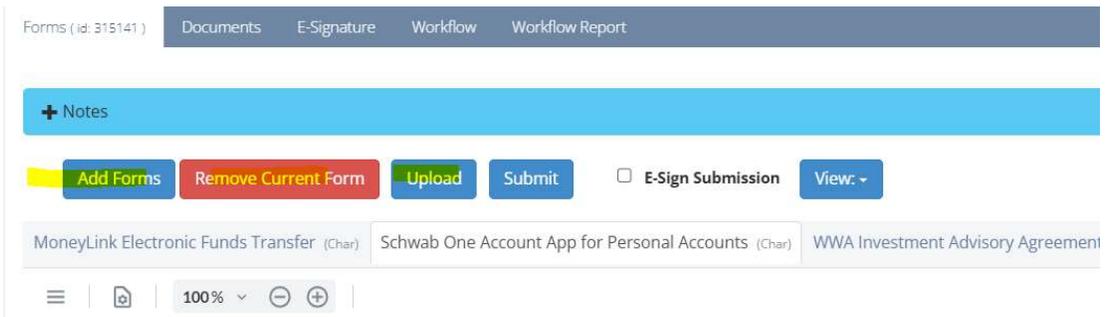
Client accounts will be established as Non-Wrapped Transaction Based Pricing accounts ("Non-Wrap TBP"). Transaction fees will be charged directly to the Client account by the custodian. Charles Schwab does not charge any fees for transactions on equities, ETFs, NTF mutual funds, or cash. The custodian can provide a fee history upon written request.

For services described in the Agreement, the total fees charged to a Client's account shall not exceed 195 basis points (1.95%). The Initial overall fee selected by the Advisor is:

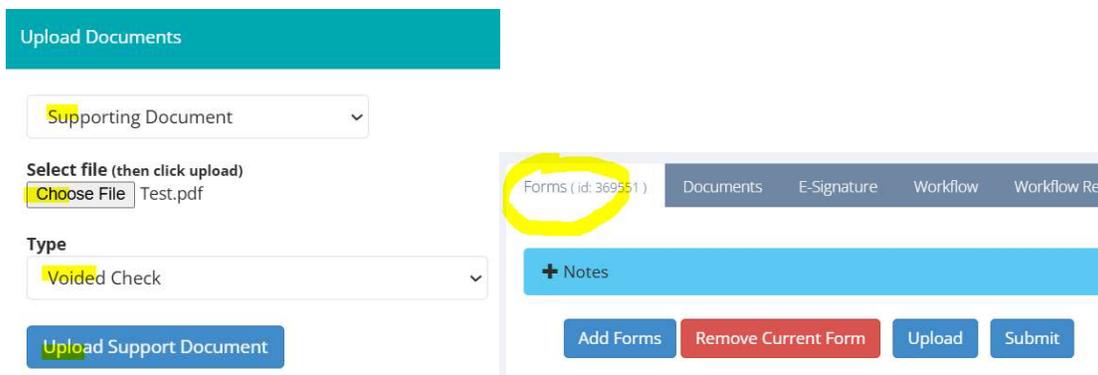
Fees are calculated based on the average daily balance at the custodian starting on the date an account is opened. All assets held within the custodial account are subject to fees at the rates listed above.

- **Reminder:** Advisors must type in the Client risk survey results into the "WWA Risk Assessment Disclosure" only after the survey has been completed first.

- ***Please do NOT complete and send this form to a client if the survey has not yet been taken as doing this is **strictly not allowed**.

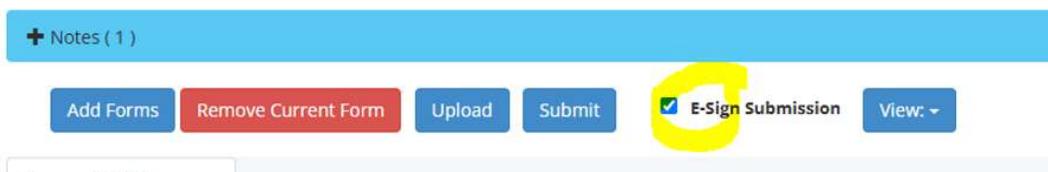


- ******* If a supporting document is required to be submitted to Schwab with the rest of the electronically signed paperwork, such as a voided check or contra statement, please include it in the e-signed workflow whenever possible to avoid slowdowns with processing. Complete the highlighted fields below when clicking the **“Upload”** button and be sure to click the additional required boxes on the E-signature tab described in **step 5**.
- ******* Toggle back over to the **“Forms”** tab across the top to continue preparing the rest of the paperwork if needed if the site re-directs you after clicking **“Upload Support Document”**.



5. Send Workflow for Signatures

- Once the forms are ready to send and after *saving your work*, check the **“E-Sign Submission”** button.



- ******* If **“E-Sign Signature Mapping still has errors”** pops up at the top of the screen, this is normal, and will be resolved in the next step
- Click on the tab across the top that says **“E-Signature”**. This tab is always required for auditing that all signer info is correct before sending.



- **PLEASE NOTE:***** If you added supporting documents in step 4 into your workflow that need to be submitted to Schwab along with the rest of the e-signatures, be sure to click on the following boxes on the “E-signature” tab before proceeding to the next step, otherwise they will not be submitted to Schwab. Finish this step by clicking **“Update Signing Options”** below.

+ Test.pdf

Send to custodian?

+ Test.pdf

Send to custodian?

Update Signing Options

- In the “Document Signers” section of this page, start with clicking the **“Update Signers Based on Printed Name”** button.
- This button will resolve any obvious errors. For example, Owner #2 will be removed if there is no 2nd owner inside the workflow.



- If any words are in red in this section, something is missing. Click the “edit” button to fill in any missing info such as email or cell number inside the pop-up screen that will appear.
 - o ******* A cell phone number where a client can receive text messages must be used otherwise they will not be able to esign the forms.
- Be sure to click **“Update Signers”** after making any changes on this screen.
- The end result should appear below with all fields in green:

Document Signers (edit)

Sign	Order	Role	Name	E-Sign checks	Actions	** overrides exist
<input type="checkbox"/>	30	Owner Info #1 (1own)	Casey Test	.name .email .phone	+ form overrides	▼
<input type="checkbox"/>	30	Owner Info #2 (2own)			+ form overrides	** ▼
<input type="checkbox"/>	30	Owner Info #3 (3own)				
<input type="checkbox"/>	30	Owner Info #4 (4own)				
<input type="checkbox"/>	60	Auth Indiv Info #1 (1authind)				
<input type="checkbox"/>	110	Custodian Info (Prior #1 (1pcus)				
<input type="checkbox"/>	130	Person Info (Wit) #1 (1wit)				
<input type="checkbox"/>	150	Notary Info #1 (1ntry)				
<input type="checkbox"/>	190	Rep Info #1 (1rep)	Bill Gastl	.name .email .phone	+ form overrides	▼

Update Signers
Update Signers Based On Printed Name

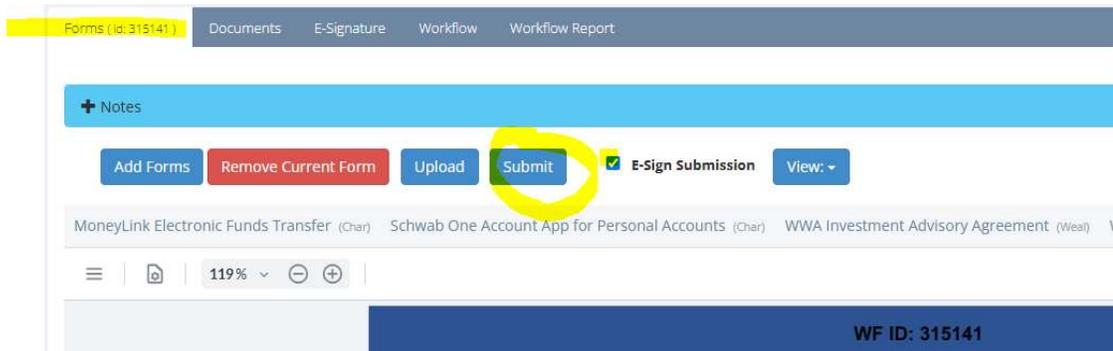
- *****Reminder:** If your name is listed on this screen under “Rep Info” as “WWA Team” or “WWA Operations”, this is wrong, and you will need to go back to the “Forms” tab across the top and correct your written name throughout the WWA contracts.



- *****Please note:** if you click on the “form overrides” button on this screen, you will see a list of each form that will request the signer’s signature. Under the “Rep Info #1” (Advisor signature section) it will show the Schwab paperwork listed here. Advisors will **never sign** any Schwab paperwork. Although Schwab forms are listed here, you will **not** be asked to sign them as long as you correctly removed your name properly from any Schwab signature lines. If you removed your name correctly from the Schwab forms, you can disregard what is listed in the form overrides section. You can always change the signing override drop down to “Don’t Sign” next to each Schwab form to be safe.



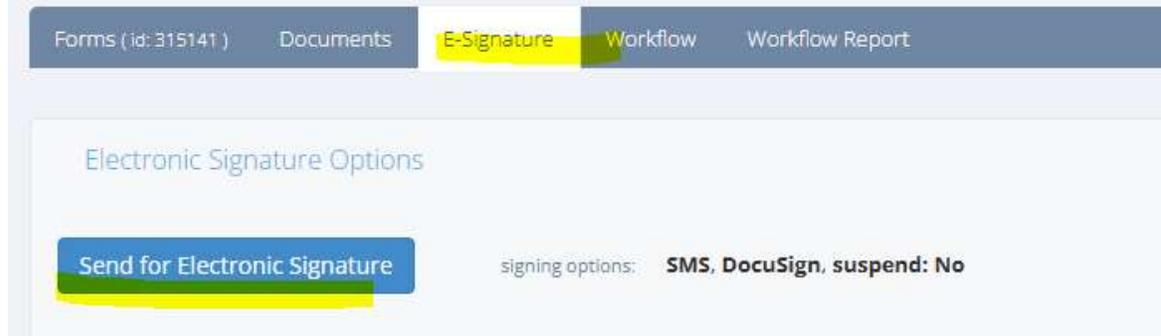
- Tab back to the “Forms” tab at the top of the screen.
- Click the “Submit” button (*making sure that E-Sign Submission is still checked*)



- The page will then switch over to the “Form Workflow” list showing the workflow you just created at the top.
- Click the workflow ID link in the left column to go back into the workflow.



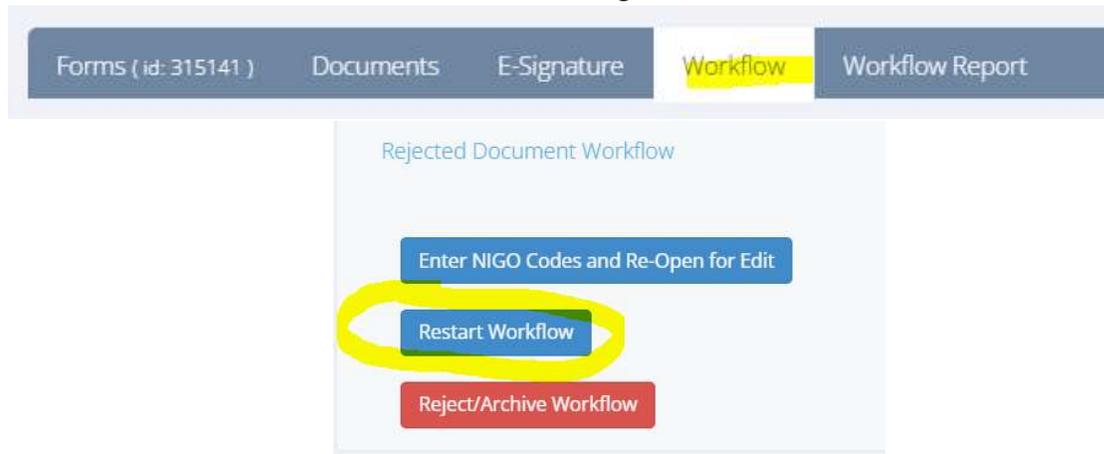
- Click the “**E-Signature**” tab across the top of the page. Then click “**Send for Electronic Signature**”.



- The workflow has now been automatically sent out via DocuSign to each signer.

Need to edit paperwork after you’ve already clicked “Submit” on the Forms tab workflow?

- Clicking the “Submit” button will “lock” the workflow from being edited. You can go back into the workflow and easily make corrections and re-submit the forms.
- Go to your “Form Workflow” list on the left side menu inside Forms Logic.
- Click the workflow ID you want to edit to go back into the workflow.
- Go to the “Workflow” tab across the top.
- Click the “**Restart Workflow**” button on this page. Type in a reason to move past the pop-up.
- You’re back inside the workflow and can make changes.



- o *******Use the “Reject/Archive Workflow button anytime you’d like to completely cancel a workflow
- Remember you will have to start the e-signature process over starting with clicking “e-sign submission” and the following steps in order to send out the restarted workflow again.
- Even if the client has already signed, you can still restart the same workflow.
- We recommend always editing an existing workflow whenever possible rather than creating a new one to avoid too many duplicate workflows being open on your list.

Need to print and obtain manual signatures?

- Instead of clicking “E-Sign Submission” at the beginning of step 5, click on the “Documents” tab across the top.
- Click the “**Print PDF**” button. “Select all” forms to include when printing. Click “**View**”.
- The PDF package will appear on the screen for you to download to your computer or print.
- Manually signed documents **must be uploaded by the Advisor directly into a new support ticket submission within the Taiko Portal.**
- Tickets inside the Taiko Portal for tracking work items will only be created on your behalf when paperwork is signed via DocuSign. When DocuSign is not used, the automation of the Taiko Platform support ticket creation process is removed from the process.
- *****Advisors have to manually create their own tickets in the Taiko Portal when handling documents by hand at this time, otherwise items may be missed. This may change in the future.**

6. Signing & Tracking Signatures

- Once a workflow has been sent for electronic signatures, it means that the paperwork has left Forms Logic and been sent to DocuSign.
- Advisors will use the DocuSign website directly from this point to track and manage signatures.
- All signers will receive an email from DocuSign requesting their signature that includes the WWA logo at the top.
- Signers will click the Yellow “**Review Documents**” button within the email to start the signing session.

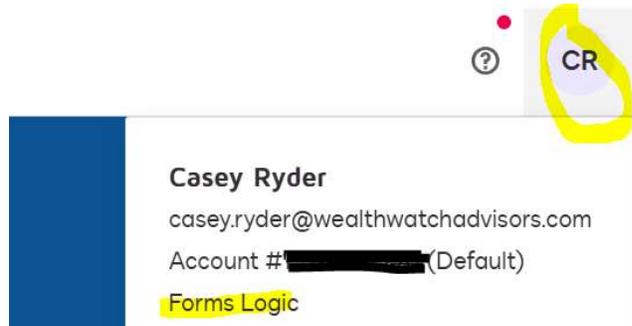


- **Thanks to the Forms Logic software agreement with Schwab, signers no longer have to answer their knowledge based assessment (KBA) questions and only have to verify their identity via text message code.**
- Signers will follow along with the yellow tabs to complete the signing session. Clients will have the option to download a copy of their forms when complete.
 - o *****We recommend each Advisor send themselves a test envelope so they are aware of what the clients are receiving and viewing.**

PLEASE NOTE! DocuSign is a very efficient software. Keep in mind that errors when signing are 99% due to user error and there is always an explanation. Be sure to check that the email and phone number on file are correct. Have clients check their email spam folders if they are not receiving the email. Let them know to follow along with all the yellow tabs and prompts and be sure to click “**FINISH**” at the end. Did you complete your signatures as the Advisor?

- Log into your **Forms Logic DocuSign account** that was set as your default account during the DocuSign activation process.
- If you have more than one DocuSign account under your name and email address, you must use the Forms Logic docuSign as your default account to view your Forms Logic paperwork.

- *******Outside Docusign accounts cannot be used to sign Schwab and WWA paperwork and will not work for submitting forms.
- *******Check that you're in the right docusign account by clicking your initials in the upper right corner. Switch accounts if needed.



- Click on the **“Agreements”** tab at the top of the screen.
- Click on the **“Sent”** folder on the left side of the screen.
- Here you will see a list of all envelopes corresponding with the workflows sent out through Forms Logic.
- Once the status is **“Completed”**, it means that paperwork has automatically been submitted to Schwab for processing.
- It is up to each Advisor to self- manage their workflow signature completion including monitoring whether signatures are still pending, re-sending envelopes, changing emails or phone numbers, editing the signing order, making corrections to envelopes, and more using the many features right inside the Docusign software.
- Once signatures are complete, the **“Form Workflows”** list inside Forms Logic will update that signatures are complete. Only then, once signatures are complete, will a corresponding support ticket be created in the Taiko Portal and WWA staff will begin a conversation regarding processing updates.
- It is up to each Advisor to manage their workflow signature completion.

“Suspend on Start” – Advanced Use of the Forms Logic software

- The Forms Logic software has the capability to **“suspend on start”**. This means that when clicking **“Send For Electronic Signature”** inside the Forms Logic workflow, only a DRAFT envelope will be created in Docusign and will not actually sent to the client yet.
- A draft envelope is not automatically sent but is held within the Docusign website if you want to make further changes before officially sending it.
- Using suspend on start is useful to do any of the following:
 - Create your own customized email body message and subject line inside Docusign.
 - Make additional edits to the paperwork (*****we do not recommend doing this and always suggest making all edits in Forms Logic – otherwise the Forms Logic client profile will not remember the edits for next time. Changes in Docusign will not save backwards into Forms Logic**).
 - Setting a custom signing order between multiple signers
 - *****Yes – spouses can use the same email address – although Schwab doesn't like or want this. Setting the signing order can ease confusion when envelopes are being sent to the same email for 2 different people.**
 - Add required fields for the client to fill out during their signing session.
 - *****For example, if the client only provided you the last 4 of their SSN originally, you can add a required text field into the Docusign envelope using the “suspend on start” feature. This will force them to enter the missing data during their signing session. (Again the**

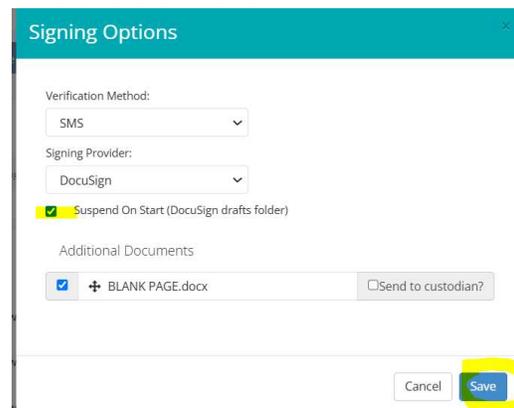
data will not save backwards into their Forms Logic profile for next time if choosing this method).

To “Suspend on Start”:

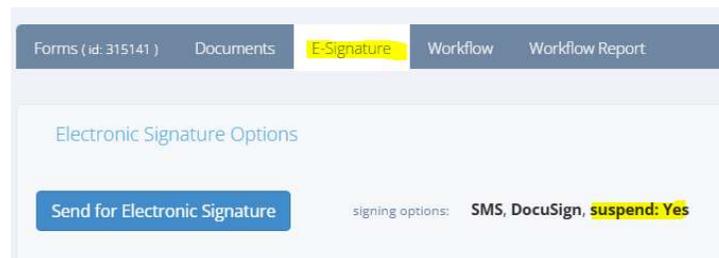
- Before clicking “**Send for Electronic Signature**” in the final steps of sending out a workflow, click on the small “signing options” button first.



- Click “**Suspend on Start**” and click “**Save**”



- Give the browser a moment to update automatically.
- The screen should now say “**suspend: Yes**”. Proceed with clicking “**Send for Electronic Signature**”



- Inside DocuSign, click on “Agreements” at the top, and expand your folder options on the left side down to show your “Drafts” folder.
- Manage your changes and finishing sending out the envelope manually. Once sent, it will move to the Sent folder.
- Once complete, the signature status will update in Forms Logic as usual.

7. Monitor Taiko Platform Tickets

- Taiko Portal support tickets will be created automatically on your behalf upon receipt of each **signed** Forms Logic workflow.
- Unsigned workflows will not be viewed or tracked by WWA staff.
- Conversations and updates from WWA staff will be provided inside the Taiko Portal corresponding with each signed Forms Logic workflow.
- **Note that WWA cannot communicate with you inside the Forms Logic website. Communication only happens within the Taiko Portal and the Forms Logic tool is only used to create and send paperwork.**

- Please monitor your Taiko Platform support tickets daily from the “Support” screen.
- If you need to submit any manually signed paperwork, please create a ticket inside the Taiko Platform as tickets will not be automatically created on your behalf unless forms are DocuSigned.
- Check copies and other supporting documents can be attached and submitted inside existing Taiko Platform tickets if they were not originally attached inside the Forms Logic workflow.
- Please submit all commentary regarding processing statuses, questions, and NIGOs inside the Taiko Platform ticket.