Fidelity Wealth New Account Processing Order

1

Create Forms Draft in Wealthscape

See IAA Contract Processing Order for Submitting Contracts

- Complete New Account and Contract processing at the same time

2

Deliver Forms to Client via Fidelity eSignature or Mail

- **Submit in Fidelity eSignature when the account is ready to be funded.**

3

Paper forms Returned by Mail – CMC to review paper forms and submit in CAPTRUST's DocuSign

- **Once the account is ready to be funded, submit in DocuSign to New Accounts,** include driver license

4

eSignature Received by New Accounts in Wealthscape

- Include driver license with IAA Contract in DocuSign to Compliance
- **New Accounts will review documents and submit in Wealthscape**

5

Create CAPConnect Account Record

- Check "Cash Flow" if applicable
- Mark account Discretionary (if needed), Domain and Proxies

6

Complete New Account Activity in CAPConnect

- Include how and when the account will be funded
- **Complete when account is ready to be funded**

7

You will receive an email with the new account number from New Accounts

8

You will receive an email from New Accounts when transfer is processed if necessary

- Send email to New Accounts Group to request welcome basket for Brick Clients

9

Process all additional forms received from client & upload final version documents to client's file in SharePoint

- Send a copy of IAA Account Schedule with account number to the client
- Save IAA & routing form to SharePoint
- **New Accounts will upload new account and transfer paperwork**