



# Schwab Advisor Center<sup>®</sup> DocuSign<sup>®</sup> workflow

A step-by-step guide to using DocuSign to complete forms and send them to clients for electronic approval

In addition to our digital onboarding tool, Schwab offers access to the popular DocuSign platform, allowing you to send completed forms to your clients to review, electronically sign, and return to you for submission to Schwab. Electronic signatures can be used on most new account applications, as well as maintenance and managed account forms.

**To get started, select a topic below to view the recommended steps along with helpful tips and resources.**

**To explore the guide in full, click [Next](#); to return to this menu, click [Home](#).**

**At any time, you can see all items by clicking the [Topic index](#) in the upper-right corner.**

## Main topics

First time only

Overview of DocuSign features

Creating DocuSign credentials

Creating envelopes using templates

Creating envelopes using DocuSign console

Your client's experience


Managing envelope status and sharing

# Overview of DocuSign on Schwab Advisor Center

While Schwab's digital onboarding workflow is the best, most efficient, and most secure option for giving your clients a better welcome, we know that some firms have workflows that depend on other tools. That's why we have upgraded our integration with the popular DocuSign electronic document and signature platform to make it easier than ever to use these tools to deliver secure documents to your clients to complete and eSign.

Our new DocuSign interface is accessible from the **Account Management** page. To determine which option you should use to access the tool, review the detailed explanations below.

## Create a DocuSign envelope

Use this button to create an envelope using 90+ enhanced templates that prefill and pretag based on data from Schwab Advisor Center. You'll find a complete list of these forms [here](#) , or consult this at-a-glance overview of the types of enhanced templates that are available:

- Account applications (and form packages)
- Supplemental account open forms
- Account maintenance
- Money movement
- Managed accounts
- Institutional Intelligent Portfolios®
- Schwab Bank®
- Alternative investments
- Schwab Charitable™
- Advisor setup
- Pledged asset line
- Schwab Advisor Network®

## Go to DocuSign console

Use this button to directly access the DocuSign console interface. This option allows you to:

- Create envelopes using any of 230+ Schwab PDF forms that you have downloaded and filled out and send them for your client's eSignature
- Create envelopes of your firm's forms for your client to eSign
- Manage, share, and check the status of existing DocuSign envelopes
- Update existing envelopes created through either method, including:
  - Add or remove signers
  - Edit email address or phone number for an envelope
  - Customize envelope subject line and message
  - Supplemental tagging of forms



### Tip

Visit the [RIA EdCenter™](#)  for more educational and training resources.

# Creating DocuSign credentials: Before you start

---

Before you can use DocuSign on Schwab Advisor Center, you will be prompted to create credentials. Even if you had credentials you used for DocuSign on Schwab Advisor Center prior to the release of the new integration in Q3 2022, you will still be required to create new credentials to access the platform.

## Before creating your new credentials:

- The following pages walk you through the credential creation process. But before you get started, be sure you have completed the following steps. Failure to do so may prevent you from creating new credentials or accessing the system.
- Review your Schwab Advisor Center profile to confirm that it includes your first and last names, as well as the valid email address you wish to use for your DocuSign credentials.
- If you use DocuSign on any other platforms under the same email address, be sure you have logged out of each by navigating to that instance of DocuSign, clicking the profile icon at the top left of the screen, then selecting **Log Out**.
- We strongly recommend that you set a unique password for your new Schwab DocuSign account—one that you do not use with any other instance of DocuSign.
- We recommend that you clear your browser's cookies before beginning. Please refer to your browser's help documentation to learn how to clear this tracking information.



### Tip

If your firm maintains its own DocuSign account, it is possible that those settings will prevent you from accessing the platform through Schwab Advisor Center. If this is the case, please discuss the issue with your firm's designated DocuSign administrator.

# Creating DocuSign credentials: Start the process

Once you are ready to create your credentials, navigate to the **Account Management** page. Once created, your Schwab DocuSign credentials can be used from Schwab Advisor Center or from the [DocuSign website](#).

The screenshot shows the 'Account management' page. Under the 'Digital workflows' section, there are two buttons: 'Open and fund an account' and 'Update an account'. Below this is a link for 'Manage Schwab envelopes'. The 'DocuSign' section features a 'NEW' badge and the heading 'Set up your new DocuSign'. A paragraph explains that a new Schwab DocuSign offers full access to all features through Schwab Advisor Center. A button labeled 'Set up Schwab DocuSign' is highlighted with a red box. At the bottom, there are links for 'Learn more about DocuSign with Schwab', 'View eSignable forms', 'Register advisors for non-Schwab DocuSign accounts', and 'Manage DocuSign envelope sharing'.

Click **Set up Schwab DocuSign** to start the wizard that will walk you through credential creation.

# Creating DocuSign credentials: Accept terms and conditions

The first step is accepting the terms and conditions for using eSignature. You will see this page only once. After you acknowledge the terms, you can proceed to credential creation.

## Set up Schwab DocuSign

Terms and Conditions    Verify Your Information    Account Creation

### Terms and Conditions

**eSignature Terms of Use**

These eSignature Terms of Use ("Terms") supplement the Schwab Advisor Center Web Site User Agreement ("Agreement"). To the extent of any conflict between these Terms and the Schwab Advisor Center Web Site User Agreement, these Terms shall govern. Unless defined in these Terms, capitalized terms used herein shall have the meanings given to them in the Agreement.

Schwab makes the eSignature Services available to you only if you, on behalf of yourself and the firm you represent (you and that firm individually and together, ("you")), accept all of the terms and conditions contained in these Terms. Please read these Terms carefully before clicking on the "I AGREE" button below, as doing so will indicate your agreement to these Terms. If you do not agree to these Terms, then Schwab is unwilling to enable your access to the eSignature Services, in which event you should click on the "CANCEL" button below.

Subject to these Terms, Schwab makes available to you the certain eSignature services which allow you to obtain your clients' electronic signature on various documents ("eSignature Services"). The eSignature Services include, but are not limited to, the services of a third party service provider DocuSign (the "DocuSign Services"). Schwab shall have no liability or obligation with regard to the DocuSign Services, including any breach of services provided by DocuSign. You waive all claims, whether known or later discovered, that you may have against Schwab relating to the DocuSign Services.

You understand and agree that you are solely responsible, and Schwab has no responsibility, for your use of the eSignature Services, including but not limited to the contents of Envelopes (as defined below) you create, the selection of recipients of those Envelopes, and the Processing (as defined below) of any contents of any Envelope. In order to use eSignature Services, you agree as follows:

I acknowledge that I have read these terms, understand them, and agree to be bound by them. I represent I have the authority to agree to these terms on behalf of my firm and bind it to them.

Cancel    **I Agree**

Click the **checkbox** to acknowledge that you have read and agree to the terms and conditions.


Click **I Agree** to proceed.

# Creating DocuSign credentials: Log out of other accounts

You will see a popup reminding you that you must log out of any instances of DocuSign that use the same email address you plan to use for Schwab DocuSign. You must also set a unique password for Schwab DocuSign, even if you use the same email address for other DocuSign credentials.

The screenshot shows a white dialog box with a light blue border. At the top, it says "Wait! Log out of all other DocuSign accounts". Below this is a warning icon (a yellow triangle with an exclamation mark) and a message: "To successfully create your credentials, you must log out of all other instances of DocuSign that use your same email. A new password is required for your new Schwab DocuSign account." Underneath the message is a line of text: "When you are ready, select the checkbox to continue." Below this is a light blue rectangular area containing a checkbox and the text: "I am logged out of any other DocuSign accounts I have and agree to create a new unique password for my Schwab DocuSign account." At the bottom right of the dialog box is a green button labeled "Ok". Three callout boxes with blue borders and lines pointing to the dialog box provide instructions: one points to the checkbox, another points to the warning message, and a third points to the "Ok" button.

Wait! Log out of all other DocuSign accounts

 To successfully create your credentials, you must log out of all other instances of DocuSign that use your same email. A new password is required for your new Schwab DocuSign account.

When you are ready, select the checkbox to continue.

I am logged out of any other DocuSign accounts I have and agree to create a new unique password for my Schwab DocuSign account.

Ok

Click the **checkbox** to confirm that you are logged out of all other versions of DocuSign and that you will set a new password for Schwab DocuSign.

Then click **Ok** to proceed.

# Creating DocuSign credentials: Verify profile information

You will see your Schwab Advisor Center information, including the email address that will be your Schwab DocuSign username. If you want to use a different email address for DocuSign, you should update that information in your Schwab Advisor Center profile before proceeding.

The screenshot shows the 'Set up Schwab DocuSign' process. A progress bar at the top indicates three steps: 'Terms and Conditions', 'Verify Your Information' (the current step), and 'Account Creation'. Below the progress bar, the 'Verify Your Information' section contains the following text: 'We are setting up a new DocuSign account to use with Advisor Center. We need to make sure the information below is correct. This account is separate from your Schwab Advisor Center login and any other DocuSign accounts you may have. It will not affect your other DocuSign accounts.'

| First Name | Last Name | Email (this will be your username) |
|------------|-----------|------------------------------------|
| Nancy      | Nickel    | nancy.nickel@email.com             |

A yellow warning box contains the text: 'Do not continue unless your information is accurate. We cannot make changes after your account has been created. If any information is incorrect, please update your profile.'

At the bottom right, there are two buttons: 'Cancel' and 'Continue' (highlighted in green).

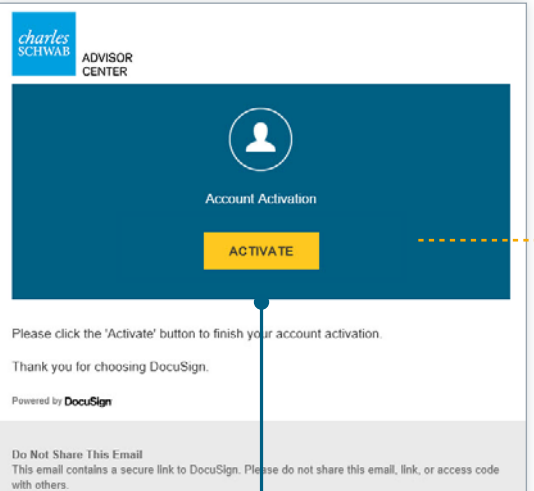
Callouts provide additional instructions: 'Review and confirm that your information is correct.' points to the form fields; 'If you wish to use a different email address, please navigate to the Profiles page before proceeding. Note: If you change your Schwab Advisor Center email address in the future, you will have to create new Schwab DocuSign credentials.' points to the warning box; and 'Click Continue to proceed.' points to the 'Continue' button.

# Creating DocuSign credentials: Check your email


At this point, DocuSign will send an automated email with instructions for activating your account. Remember to use a completely new password for your new Schwab DocuSign account when following those instructions. Once you have activated your account through the email, proceed to the next step.

## Set up Schwab DocuSign

Terms and Conditions > Verify Your Information > Account Creation





Your account has been created. You're almost done!

 **Next steps**


1. **Check your email:** DocuSign will email you with instructions for activating your account and setting you password.
2. **Activate your account:** After setting your password, you will be in DocuSign. Your new account is active and ready to use.
3. **Return to Advisor Center:** Follow the prompts to prepare a DocuSign envelope in Schwab Advisor Center.

**Reminders**

-  Form templates are prefilled in Schwab Advisor Center and sent to DocuSign. You will manage and send envelopes from DocuSign.
-  Advisor forms for clients must go in a separate envelope. Advisor forms for clients can't be submitted in the same envelope as a Schwab form. Envelopes containing both will be rejected. To submit advisor forms for clients, create a separate envelope in DocuSign.

Once you receive the email, click the **ACTIVATE** button to complete the credential creation process.

After you have completed the activation process through the DocuSign email, click **Done**.



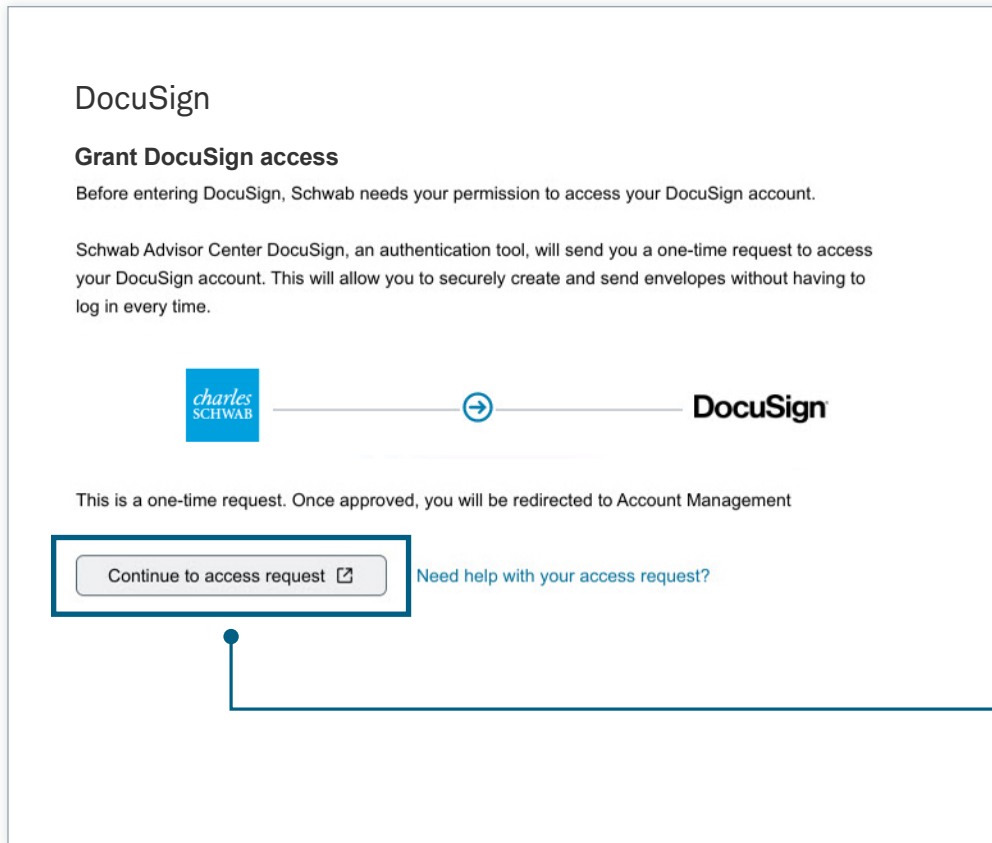
### Tip

If you do not see the email from DocuSign in your Inbox, please check your **Spam** or **Junk** folder.



# Creating DocuSign credentials: Return to Account Management page

To complete the last step of the setup process, from the **Account Management** page click the button to grant Schwab access to your DocuSign account. You have to grant access only once.



Click **Continue to access request** to give Schwab permission to connect to your new DocuSign account.

# Creating DocuSign credentials: Grant Schwab access

DocuSign will prompt you to provide access to Schwab Advisor Center. Click **ALLOW ACCESS**.

**DocuSign**

**Schwab Advisor Center DocuSign is Requesting Permission**

- Create, edit, and close a user.
- Read the details of a user.
- Read organization details and accounts linked to the organization.
- This application will be permitted to request access to your account without you being present.
- Create and send envelopes. Obtain links for starting signing sessions.

The application you are connecting to as not provided by DocuSign, Inc. By selecting **ALLOW ACCESS**, you are allowing the application to use your information in accordance with their respective [terms of service](#) and [privacy policies](#).

**ALLOW ACCESS**

**CANCEL**

Click **ALLOW ACCESS** to complete the credential creation process.

# Creating envelopes using templates: Start the workflow

To use one of the 90+ enhanced templates that prefill and pretag popular forms with information from Schwab Advisor Center, click the **Create a DocuSign envelope** button.

The screenshot shows the 'Account management' section of a web interface. Under the 'Digital workflows' heading, there are two buttons: 'Open and fund an account' and 'Update an account'. Below this is a link for 'Manage Schwab envelopes'. The 'DocuSign' section contains two columns of text and two buttons. The left column describes selecting and prefilling forms, with a callout pointing to the 'Create a DocuSign envelope' button. The right column describes managing and checking the status of envelopes, with a callout pointing to the 'Go to DocuSign console' button. At the bottom, there are links for 'View eSignable forms', 'Register advisors for non-Schwab DocuSign accounts', and 'Manage DocuSign envelope sharing'.

**Account management**

**Digital workflows**  
You and your clients will see a simpler application, faster processing, and fewer errors than with any other method.

Open and fund an account    Update an account

[Manage Schwab envelopes](#)

**DocuSign**  
Select and prefill multiple templated forms with Schwab data before collecting signatures in DocuSign.

**Create a DocuSign envelope**

Manage and check the status of envelopes, upload prefilled Schwab pdf forms to envelopes or create envelopes with advisor agreements.

**Go to DocuSign console**

[View eSignable forms](#)    [Register advisors for non-Schwab DocuSign accounts](#) ⓘ  
[Manage DocuSign envelope sharing](#)

Start the DocuSign workflow to create an envelope using one of the 90+ templated forms.

If you are *not* using one of the enhanced templates, click **Go to DocuSign console**. Consult the **DocuSign console** section of this guide to review that workflow.

# Creating envelopes using templates: Add existing signers

Start by adding any signers whose information is already available in Schwab Advisor Center. In this workflow, you can add one advisor signer and up to two client signers. **Each signer must have a valid email address and an SMS-capable phone number on file to be added to an envelope.**

The screenshot shows a user interface for adding existing signers. It is divided into two main sections: 'Existing signers' and 'New signers'. The 'Existing signers' section features a search bar with the text 'Nanc|' and a 'Search' button. Below the search bar is a table with the following data:

| Name             | Social Security number | Account number | City, State       | Actions |
|------------------|------------------------|----------------|-------------------|---------|
| Nancy Nickel     | 123-45-6789            | 1234-XXXX      | San Francisco, CA | + Add   |
| Bill Bucks       | 234-56-7890            | 2345-XXXX      | Phoenix, AZ       | + Add   |
| Dora Dollar      | 345-67-8901            | 3456-XXXX      | Orlando, FL       | + Add   |
| Harry Halfdollar | 456-78-9012            | 4567-XXXX      | Richfield, OH     | + Add   |

The 'New signers' section contains an 'Add New Signer' button. Two callout boxes provide additional information: one points to the search bar and the table, stating 'Search by name, Social Security number, taxpayer ID number, or account number to add an existing client signer to the envelope.'; the other points to the '+ Add' buttons in the table, stating 'When you add an existing client, their information will automatically populate from their Schwab Advisor Center profile.'



## Tip

After the envelope is created, you can add additional signers or change signers through the DocuSign console.

# Creating envelopes using templates: Add new-to-Schwab signers

Once you have added existing signers to the envelope, you can add new-to-Schwab signers from the same screen, up to the maximum of one advisor signer and two client signers.

The screenshot shows the Schwab Advisor Center interface for adding signers to a DocuSign envelope. The main heading is "Add signers" with a sub-heading "Add up to two signers and one advisor to prefill the templates in this envelope. Additional signers can be added in DocuSign once the envelope has been created. To add an advisor, select add a new signer." Below this is a search bar for "Existing signers" and a "New signers" section with an "Add New Signer" button. A modal form titled "Add new signer" is open, showing fields for "Signer type" (set to "Advisor"), "First name" (Dora), "Middle name (Optional)", "Last name" (Dollar), "Suffix (Optional)" (Select), "Phone number (Mobile)" (234-567-8901), and "Email address" (dora.dollar@email.com). A checkbox "I have a non-U.S. phone number and will enter in DocuSign." is present. At the bottom of the form are "Cancel" and "Save" buttons. Callouts provide instructions: "To add new-to-Schwab signers, enter their information." points to the "Add New Signer" button; "Once the information is complete, click Save." points to the "Save" button; "If the signer uses a non-U.S. phone number, enter that number in the DocuSign console." points to the checkbox; and another callout points to the "Suffix (Optional)" dropdown.

# Creating envelopes using templates: Review and edit signers

Once you have added all signers, you can change the order in which they sign, and you can edit the information for advisor signers and new-to-Schwab signers. Click **Next** to proceed.

The screenshot shows the 'Add signers' interface in the Schwab Advisor Center. The page title is 'Create DocuSign envelope'. On the left, there is a sidebar with 'Add signers' selected, showing a list of signers: Bucks, Bill; Dollar, Dora; Nickel, Nancy. Below this is 'Set up a group' with options for 'Group' and 'Open new account'. At the bottom of the sidebar is 'Review & upload'. The main content area is titled 'Add signers' and contains instructions: 'Add up to two signers and one advisor to prefill the templates in this envelope. Additional signers can be added in DocuSign once the envelope has been created. To add an advisor, select add a new signer.' Below the instructions is a table with columns: Name, Phone number (SMS capable), Email, Signing order, Signer type, and Actions. The table lists three signers: Dora Dollar (Advisor, order 1), Bill Bucks (Primary, order 2), and Nancy Nickel (Secondary, order 3). Each row has 'Edit' and 'Remove' buttons in the Actions column. A callout box points to the 'Signing order' column, stating 'Advisor signers are always listed first.' Another callout box points to the 'Edit' and 'Remove' buttons, stating 'Edit advisor or new signer details, if needed.' A third callout box points to the 'Remove' button for the primary signer, stating 'You can remove signers, and you can change the client signing order by removing the primary signer, then adding them as a secondary signer.' At the bottom of the main content area, there is an information box: 'Signer limit reached. Additional signers can be added in DocuSign once the envelope has been created.' Below the information box are 'Exit' and 'Next' buttons. A callout box points to the 'Next' button, stating 'When the information and signing order are correct, click Next.'

| Name         | Phone number (SMS capable) | Email                  | Signing order | Signer type | Actions     |
|--------------|----------------------------|------------------------|---------------|-------------|-------------|
| Dora Dollar  | 234-567-8901 mobile        | dora.dollar@email.com  | 1             | Advisor     | Edit Remove |
| Bill Bucks   | 123-456-7890 mobile        | bill.bucks@email.com   | 2             | Primary     | Edit Remove |
| Nancy Nickel | 345-678-9012 mobile        | nancy.nickel@email.com | 3             | Secondary   | Edit Remove |



## Tip

The primary signer will be the same primary signer for all templates in the envelope. If different forms require different primary signers, create separate envelopes for each.

# Creating envelopes using templates: Set up a template group

Before you use a template, you must first establish at least one template group to help keep the envelope organized. You can create additional groups to distinguish different actions or accounts or to separate new account forms from account update and maintenance forms in the same envelope.

The screenshot shows the Schwab Advisor Center interface. The top navigation bar includes the Schwab logo, 'Schwab Advisor Center®', a search bar, and 'Welcome Advisor' with a 'What's New' link. The main navigation menu has 'Account Management' selected. The breadcrumb trail reads 'Account management / Create DocuSign envelope'. On the left sidebar, 'Set up a template group' is selected, with sub-options for 'Group Type' (Master account, Account, DocuSign templates) and 'Review & upload'. The main content area is titled 'Set up a template group' and features two cards: 'Open a new account' (with a plus icon) and 'Account update / other' (with a wrench icon). To the right, there are three informational tips. At the bottom, there are 'Exit', 'Back', and 'Next' buttons.

Envelope ID  
DocuSign draft envelope

**Add signers**

- Bucks, Bill
- Dollar, Dora
- Nickel, Nancy

**Set up a template group**

- Group Type
- Master account
- Account
- DocuSign templates

**Review & upload**

## Set up a template group

[Hide template group info](#)

**+**

### Open a new account

Set up common accounts such as IRAs, Schwab personal account types, and Schwab One trusts.

**🔧**

### Account update / other

Submit common account and profile requests such as account transfers, MoneyLink, and IRA distributions.

- i** A template group is a collection of DocuSign form templates to complete a particular action, such as opening an account. You can use template groups to include different actions and multiple accounts within the same envelope for selected signers.
- i** All forms will appear together when the envelope is created in DocuSign, minimizing the number of envelopes that need to be sent.
- i** You can add one or more template groups to an envelope. Add additional template groups when you reach Review & upload.

[Exit](#) [Back](#) [Next](#)



## Tip

For all forms across all groups in the envelope, the primary and secondary signers must be exactly the same. If you need a new primary or secondary signer for additional forms, you must create a new envelope.

# Creating envelopes using templates: Select accounts

Now indicate the master account that should be added to the envelope.

The screenshot displays the Schwab Advisor Center interface for creating a DocuSign envelope. The main content area is titled "Select accounts" and features a "Master account" section. A search bar contains the text "81" and a "Search" button. Below the search bar, a list of accounts is shown, including "0810-XXXX | STUDEBAKER FINANCIAL", "0813-XXXX | XYZ FINANCIAL", "0816-XXXX | XYZ FINANCIAL", "0818-XXXX | STUDEBAKER FINANCIAL", and "0819-XXXX | STUDEBAKER FINANCIAL". A "Next" button is highlighted in green at the bottom of the page. Two callout boxes provide instructions: one pointing to the search bar stating "You can search for any master account you have access to, using the account number or name." and another pointing to the "Next" button stating "Once you have added the master account number, click **Next**."



# Creating envelopes using templates: Select accounts (continued)

Select the master account from the search results. If the name of the master account is different from your firm name, choose the one you would like to use to prefill the template.

The screenshot displays the 'Schwab Advisor Center' interface for creating a DocuSign envelope. The main heading is 'Select master account'. A table lists the available master accounts:

| Account number | Name                 | Action |
|----------------|----------------------|--------|
| 0810-XXXX      | STUDEBAKER FINANCIAL | Remove |

Below the table, the instruction 'Select the firm name to prefill' is followed by two radio button options:

- STUDEBAKER FINANCIAL (Master account name)
- XYZ FINANCIAL (Firm name)

At the bottom of the page, there are three buttons: 'Exit', 'Back', and 'Next'. The 'Next' button is highlighted in green.

Callout 1: If the master account name is different from your firm name, you can choose which one to prefill the template.

Callout 2: Once you have added the master account number, click **Next**.

# Creating envelopes using templates: Select accounts (continued)

After selecting a master account, select the applicable sub account(s). If you are creating an **Open new account** template group, leave this field blank and click **Next** to move forward. If you are creating an **Account update / other** template group, select the appropriate accounts for account maintenance forms.

The screenshot shows the Schwab Advisor Center interface for creating a DocuSign envelope. The main heading is "Select account". Under the "Client account" section, there is a search box with the placeholder text "Search by account number or holder" and a "Search" button. A callout box points to this search box with the text: "Select the appropriate accounts for account maintenance forms. If you are creating a new account, leave this field blank." At the bottom of the screen, there are three buttons: "Exit", "Back", and "Next". The "Next" button is highlighted with a green border, and a callout box points to it with the text: "Once you have added the account(s), click **Next**." The left sidebar contains sections for "Envelope ID" (DocuSign draft envelope), "Add signers" (listing Bucks, Bill; Dollar, Dora; Nickel, Nancy), "Set up a template group" (with "Open new account" selected as the group type and "0810-XXXX" as the master account), and "Review & upload".

# Creating envelopes using templates: Choose templates

Choose one of the 90+ templated forms to add to the envelope. Templates can be searched by name, app ID, or description. All DocuSign-eligible, nontemplated forms can be downloaded from the **Forms Library** and added from the DocuSign console.

The screenshot shows the 'Create DocuSign envelope' interface. On the left, there are sections for 'Add signers' (listing Bucks, Bill; Dollar, Dora; Nickel, Nancy), 'Set up a template group' (with options for Group Type, Master account, and Account), and 'Review & upload'. The main area is titled 'Select DocuSign templates' and includes a search bar, a category filter, and a list of templates. A 'Selected templates' box on the right shows 'Your draft envelope is empty.' Below the template list, there are 'Quick tips' and a 'Filter by category' dropdown menu.

**Callout 1:** Use the search bar and the category filter to find the templates you wish to add to the envelope. Remember that the order of the templates is important: Account applications should come first, followed by related supplemental forms.

**Callout 2:** For future quick access, click ★ next to a template to save it to your Favorites.

**Callout 3:** Click + **Select** to add the template to the envelope.

**Callout 4:** Filter by category dropdown menu options:

- ✓ Show all
- Account application form packages
- Account applications
- Account open supplemental forms
- Account maintenance
- Money movement
- Managed accounts
- Institutional Intelligent Portfolios forms
- Schwab Bank forms
- Alternative Investments
- Schwab Charitable forms
- Advisor setup

**Tip**

You can view a list of enhanced templates, as well as a list of all DocuSign-eligible forms, by accessing the **Forms Library** on the **Account Management** page.

# Creating envelopes using templates: Choose templates (continued)

As you add templates, you can use additional features on this page to save time and prevent errors. Add another copy of an already selected template, identify additional actions required for certain templates, and ensure that the envelope fits within the size restrictions. Confirm that you have included all templates before proceeding.

The screenshot shows the 'Select DocuSign templates' interface. On the left, there are sections for 'Add signers' (listing Bucks, Bill; Dollar, Dora; Nickel, Nancy), 'Set up a template group' (with options for Group Type and Master account), and 'Review & upload'. The main area features a search bar, a filter dropdown set to 'Show All', and a table of templates. The table has columns for 'Template name' and 'Actions'. Three templates are visible, each with a '+ Select' button. The 'MoneyLink (ACH)' template is highlighted with a blue star and has a quantity of '1' next to it. A modal window for 'MoneyLink (ACH)' is open, displaying a message: 'Creating a MoneyLink requires one of the following: A voided check, Account statement, Deposit or withdrawal slip, Direct deposit form, A valid financial institutional document. If the account holder's name does not match the Schwab account, additional documentation may be required.' At the bottom, a progress bar shows '13.3% used (1.7 MB)' and buttons for 'Exit', 'Back', and 'Next'.

Before you proceed, ensure that all the required templates appear on this list. Take note of any additional information associated with a template, including required documents.

When adding a template, you can change the number of copies to be added based on your needs.

This scale helps ensure that the envelope stays within the maximum size (25 MB) and number of fields.

# Creating envelopes using templates: Review details

Review the information you entered and edit or confirm the envelope details prior to completing in the DocuSign console, then scroll down the screen.

The screenshot shows the 'Review & confirm' page in the Schwab Advisor Center. The page is titled 'Review & confirm' and includes a sub-header 'We'll use this information to create your envelope.' The main content area is divided into three sections: 'Envelope details', 'Envelope size', and 'Signers'. The 'Envelope details' section shows the envelope name 'DocuSign Envelope 01/16/23: Dora Dollar: IRA Account Application'. The 'Envelope size' section shows a progress bar indicating '13.3% used (1.7 MB + field count)'. The 'Signers' section contains a table with the following data:

| Name         | Phone number (SMS capable) | Email                  | Signing order | Signer type |
|--------------|----------------------------|------------------------|---------------|-------------|
| Bill Bucks   | 123-456-7890 mobile        | bill.bucks@email.com   | 1             | Advisor     |
| Dora Dollar  | 234-567-8901 mobile        | dora.dollar@email.com  | 2             | Primary     |
| Nancy Nickel | 345-678-9012 mobile        | nancy.nickel@email.com | 3             | Secondary   |

Callouts provide additional information: 'You can edit the subject line of the envelope to personalize it for your client.' points to the 'Envelope details' section, and 'The information about the signers you selected will prefill the forms in the envelope.' points to the 'Signers' table. A message at the bottom states: 'Signer limit reached. Additional signers can be added in DocuSign once the envelope has been created.'

# Creating envelopes using templates: Review details (continued)

Double-check the account information and templates you selected. If you included a Move Money form in the envelope, review the fraud alert warning, then continue scrolling.

**Envelope ID**  
DocuSign draft envelope

**Add signers**

- Bucks, Bill
- Dollar, Dora
- Nickel, Nancy

**Set up a template group**

|                    |                  |
|--------------------|------------------|
| Group Type         | Open new account |
| Master account     | 0810-XXXX        |
| Account            | New              |
| DocuSign templates | 2                |

**Review & upload**

**Template groups** | + Add another template group

| Open new account        |                       |                    | Edit      | Remove |  |
|-------------------------|-----------------------|--------------------|-----------|--------|--|
| Master account          | Prefill for firm name | Account number     |           |        |  |
| 0810-XXXX STUDEBAKER    | STUDEBAKER FINANCIAL  | New account number |           |        |  |
| Template name           |                       |                    | Signers   |        |  |
| IRA Account Application |                       |                    | Advisor   |        |  |
|                         |                       |                    | Primary   |        |  |
|                         |                       |                    | Secondary |        |  |
| ACH (MoneyLink) Form    |                       |                    | Advisor   |        |  |
|                         |                       |                    | Primary   |        |  |
|                         |                       |                    | Secondary |        |  |

+ Add another template group

**Fraud alert warning and acknowledgment**

Distributions present significant fraud risk to investment advisors, account holders, and custodians. By submitting this money movement instruction, you confirm that your firm has verified this instruction with your client. You and your firm understand and agree that Schwab will rely on any instructions you provide and Schwab is not responsible for any resulting loss if your firm did not verify the instruction with your client. Note: Unsecure email is not an acceptable channel for verification.

Select + **Add another template group** to add additional form groups to the envelope.

Confirm that all account and template information is correct.

If you have included a Move Money form, be sure to review this message carefully. It stipulates that any instructions your firm submits for future transactions must be confirmed directly with the client before submission. If you do not take this step, Schwab is not responsible for any resulting loss.

# Creating envelopes using templates: Review details (continued)

Choose whether to review the envelope once all signatures are complete, prior to submitting to Schwab. Agree to final acknowledgments before uploading the envelope to DocuSign for completion.

The screenshot displays the Schwab Advisor Center interface for reviewing envelope details. The left sidebar contains navigation options: 'Envelope ID' (DocuSign draft envelope), 'Add signers' (listing Bucks, Bill; Dollar, Dora; Nickel, Nancy), 'Set up a template group' (with options for Group Type, Master account, Account, and DocuSign templates), and 'Review & upload' (highlighted). The main content area is titled 'Envelope submission' and includes an 'Add another template group' button. Under 'Client authentication', there are two radio button options: 'Schwab Alliance credentials' (selected) and 'Knowledge-based and text message'. A text box explains that clients will enter Alliance credentials, and additional signers will be prompted to create them. Below this, there are two radio button options for review: 'Submit to Schwab once signatures are complete' (selected) and 'Our firm needs to review before submitting to Schwab'. At the bottom, there are 'Exit' and 'Upload to DocuSign' buttons. Three callout boxes provide additional instructions: one for authentication methods, one for review options, and one for the 'Upload to DocuSign' button.

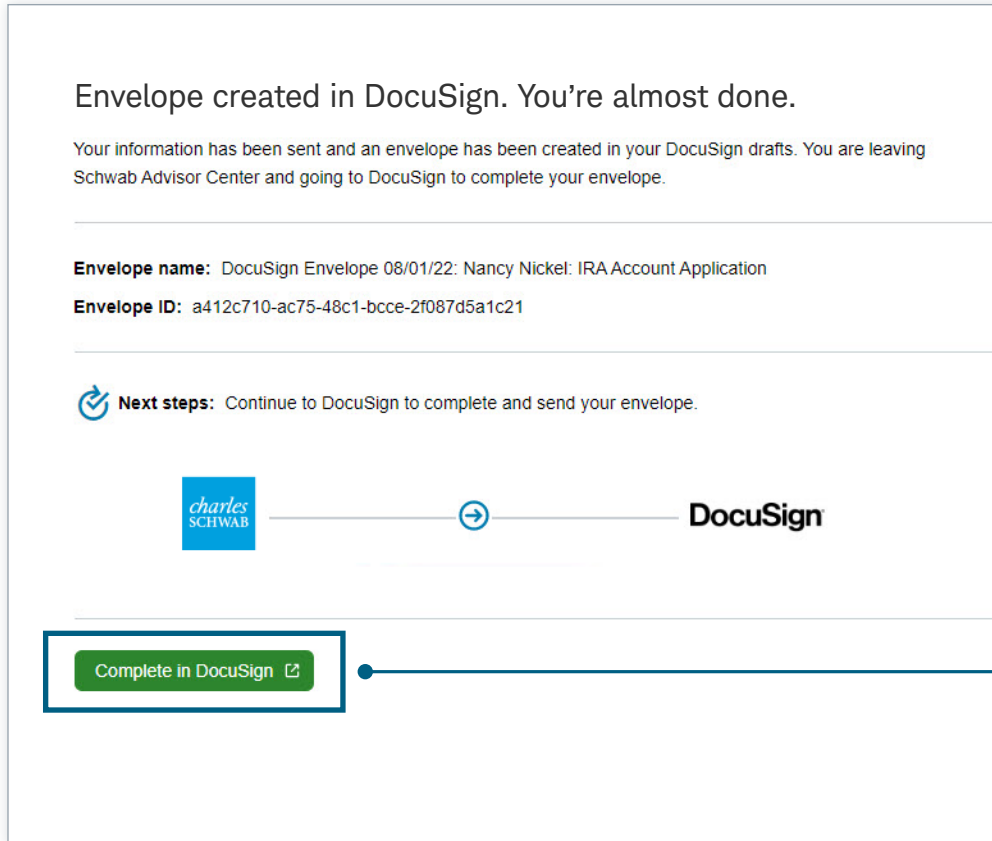
Indicate whether your client will authenticate using Schwab Alliance or through knowledge-based and text-based (SMS) authentication. If you wish to change the authentication method after you have selected one and completed the envelope creation process, use the **Change Authentication Method** link on the Account Management page.

Indicate whether your firm should review the envelope after signing, before it is submitted to Schwab for processing. If you elect to review, you can indicate whether you or another designated individual will be the approver.

Click **Upload to DocuSign** to proceed to the DocuSign console.

# Creating envelopes using templates: Open DocuSign console

You will be prompted to click **Complete in DocuSign** to finish the envelope creation process.



Click **Complete in DocuSign** to launch DocuSign in a new browser tab so that you can complete the process.



# Creating envelopes using templates: Review and optional upload

Once the DocuSign console launches, you can use the **Upload** feature to add more templates or blank Schwab forms to the envelope. Note that you must fill and tag any blank forms before you upload them.



Images of the templates you have already added to the envelope show here.

You can upload additional templates, as well as prefilled and pretagged Schwab forms that you have already completed and are ready for your client's signature.

# Creating envelopes using templates: Review signers

It is not too late to change or add signers to the existing envelope. Note that the first signer for all envelopes submitted to Schwab will have a Schwab email address.

**Add recipients**

Some of the recipients are locked and cannot be edited.

Set signing order [View](#) | [Build](#)

**1** **Advisor**

**Name \***

**Email \***

**Account Holder** NEEDS TO SIGN CUSTOMIZE

**Name \***

**Email \***

nancy.nickel@email.com

**Identity Verification**

Knowledge Based and SMS

Your custom authentication process. Recipient must authenticate with the following methods: Knowledge Based, Mobile Number

**Mobile Number \***

+1 Phone number \*

You can add up to seven additional client signers, beginning with position 2.

If you have chosen to review the envelope before submission, you will automatically be listed as the ninth signer. Do not list any additional signers after position 9.

Note that each client signer will authenticate via both knowledge-based and text-based authentication to verify their identity. Altering or removing authentication will void the envelope.

# Creating envelopes using templates: Add message

You can also add a subject line and message that will be seen by all signers, as well as customize them for each signer.

**Add message**

Custom email and language for each recipient

Click the **checkbox** if you would like to customize the email message for each signer. If you do not check this box, all signers will receive the same subject line and message.

**Email Language \***  
English (US)

**Email Subject \***  
Please DocuSign: Nancy Nickel IRA Application  
Characters remaining: 55

**Email Message**  
Please complete and sign the IRA Application|  
Characters remaining: 9956

SEND NOW NEXT

Click **NEXT** to proceed.

# Creating envelopes using templates: Review templates and send

Finally, you will review the templates and enter any additional information that was not prefilled. If you added blank forms, you must complete and tag them at this stage. Once all the information and tags have been completed, the envelope is ready to send for electronic signature.

## Tip

Once you click **SEND**, all signers must sign within 60 days or the envelope will expire. This includes advisor signers and reviewers. Completed envelopes are available indefinitely in the **Sent** folder, but you should still store the envelope in an approved archived location as well.

# Creating envelopes using DocuSign console: Start the workflow

If you are creating an envelope using blank Schwab forms or your firm's forms, choose **Go to DocuSign console** to get started.

The screenshot shows the 'Account management' section of a web application. Under 'Digital workflows', there are buttons for 'Open and fund an account' and 'Update an account'. Below this is a section for 'Manage Schwab envelopes'. Under 'DocuSign', there are two main options: 'Create a DocuSign envelope' and 'Go to DocuSign console'. The 'Create a DocuSign envelope' option is described as selecting and prefilling multiple templated forms with Schwab data before collecting signatures. The 'Go to DocuSign console' option is described as managing and checking the status of envelopes, uploading pre-filled Schwab pdf forms, or creating envelopes with advisor agreements. Two callout boxes provide additional instructions: one points to 'Create a DocuSign envelope' and explains that it is used for enhanced templates, and the other points to 'Go to DocuSign console' and explains it is used for non-enhanced templates.

**Account management**

**Digital workflows**  
You and your clients will see a simpler application, faster processing, and fewer errors than with any other method.

Open and fund an account    Update an account

Manage Schwab envelopes

**DocuSign**

Select and prefill multiple templated forms with Schwab data before collecting signatures in DocuSign.

Manage and check the status of envelopes, upload pre-filled Schwab pdf forms to envelopes or create envelopes with advisor agreements.

Create a DocuSign envelope    Go to DocuSign console

View eSignable forms    Register advisors for non-Schwab DocuSign accounts    Manage DocuSign envelope sharing

To create an envelope using one of the 90+ enhanced templates, click **Create a DocuSign envelope** to start the workflow. See the **Using enhanced templates** section of this guide to learn more.

If you are *not* using one of the 90+ enhanced templates, click **Go to DocuSign console** to start the workflow.

# Creating envelopes using DocuSign console: Select Use a template

Before you start the DocuSign console workflow, download the blank forms from the **Forms Library** on the **Account management** page, fill in the required information, then save it to your computer's desktop. When you open the DocuSign console, click the **START** button and choose the **Use a Template** option.

The screenshot shows the DocuSign eSignature console interface. At the top, there are navigation tabs: Home, Manage, Templates, and Reports. Below the navigation, there is a dashboard with a profile card on the left and four summary cards on the right. The profile card shows a user profile and a signature. The summary cards are: 'Last 6 Months' with '2 Action Required', '18 Waiting for Others', '0 Expiring Soon', and '0 Completed'. Below the dashboard, there is a section titled 'Send documents for signature' with a yellow 'START' button. A callout box points to the 'START' button, and another callout box points to the 'Use a Template' option in the dropdown menu that appears when the 'START' button is clicked. A text box on the right explains that users can create envelopes directly from the console using Schwab PDF forms by selecting 'Use a Template' from either the 'START' drop-down menu or the 'Manage' tab.

## Tip

It is important to choose the **Use a Template** option because otherwise Schwab will not be able to process the forms you submit in the envelope. **This template is different from the enhanced templates available through the other DocuSign workflow accessed via the Account management page.**

# Creating envelopes using DocuSign console: Add template to envelope

To ensure that Schwab can process your submission, click the **Shared with Me** option, then the **Schwab Non-Template Envelope To Process** template. If you do not include this item, the envelope cannot be processed by Schwab.

The screenshot shows the 'Select Template' interface. On the left, there are navigation options: 'My Templates', 'Shared with Me' (selected), 'All Templates', and 'Favorites'. Below these are sections for 'FOLDERS' and 'SHARED FOLDERS'. At the bottom, there are 'ADD SELECTED' and 'CANCEL' buttons. The main area displays a search bar with 'Schwab non-template' and a table of templates. The table has columns for 'Name', 'Owner', and 'Last Change'. One template is selected: 'Schwab Non-Template Envelope To Process' by Nancy Nickel, last changed on 5/9/2022 at 01:39:35 pm. A callout box points to this template with the text: 'When sending an envelope to Schwab that uses only PDF forms and no other Schwab templates, **Schwab Non-Template Envelope To Process** must be included to ensure that the forms in the envelope are sent to Schwab for processing.'



## Tip

You can have the envelope returned to your firm after signature. Refer to the [Service Guide](#) .

# Creating envelopes using DocuSign console: Upload forms

Once you have added **Schwab Non-Template Envelope To Process**, upload the forms you previously completed and saved to your desktop.

**Add documents**

Non\_Template\_CS\_Template...  
1 page  
1 Template Applied

Alternative Investment LOA...  
4 pages

Drop your files here or

**UPLOAD**

Upload the forms here. Ensure that you add primary forms like account applications before you add supplemental forms, as the forms will be signed in the order in which you add them.

If you correctly added the required processing template to the envelope, you will see this image.

## Tip

To create and send an envelope of advisor documents and agreements, follow the same steps in the DocuSign console. **Advisor forms and agreements for clients must be sent in a separate envelope from any Schwab forms, and they do not require the Schwab Non-Template Envelope To Process template because they are not processed by Schwab.**



# Creating envelopes using DocuSign console: Add signers

Now add advisor and client signers. Note that the first signer for all envelopes submitted to Schwab will have a Schwab email address.

**Add recipients**

Some of the recipients are locked and cannot be edited.

Set signing order [View](#) | [Bulk](#)

**1** **Advisor**

**Name \***

**Email \***

**Account Holder** NEEDS TO SIGN CUSTOMIZE

**Name \*** Nancy Nickel

**Email \*** nancy.nickel@email.com

**Identity Verification**

Knowledge Based and SMS

Your custom authentication process. Recipient must authenticate with the following methods: Knowledge Based, Mobile Number

**Mobile Number \*** +1 Phone number \*

You can add up to seven additional client signers, beginning with position 2.

If you have chosen to review the envelope before submission, you will automatically be listed as the ninth signer. Do not list any additional signers after position 9.

Note that each client signer will authenticate via both knowledge-based and text-based authentication to verify their identity. Altering or removing authentication will void the envelope.

# Creating envelopes using DocuSign console: Add message

You can also add a subject line and message that will be seen by all signers, as well as customize them for each signer.

**Add message**

Custom email and language for each recipient

Click the **checkbox** if you would like to customize the email message for each signer. If you do not check this box, all signers will receive the same subject line and message.

**Email Language \***  
English (US)

**Email Subject \***  
Please DocuSign: Nancy Nickel IRA Application  
Characters remaining: 55

**Email Message**  
Please complete and sign the IRA Application|  
Characters remaining: 9956

You can choose the language of the email your client receives, as well as customize the subject line and message.

SEND NOW NEXT

Click **NEXT** to proceed.

# Creating envelopes using DocuSign console: Tag the forms and send

You can still add any information you did not complete prior to uploading the forms to DocuSign, and you should tag all pages and fields that require an advisor's or client's signature. Choose each signer's name from the drop-down menu at the top left of the screen before tagging forms for that person's signature.

The screenshot displays the DocuSign console interface for an 'IRA Account Application' form. On the left, a sidebar titled 'Standard Fields' lists various tagging options such as Signature, Initial, Date Signed, Name, Email, Company, Title, Text, Checkbox, Dropdown, Radio, Drawing, Formula, Attachment, Note, Approve, and Decline. The main form area shows the 'charles SCHWAB' logo and the title 'IRA Account Application'. Below this, there is a section for 'Investment Advisor ("IA") Information' with fields for Name (filled with 'Nancy Nickel'), IA Firm Name, IA Master Account Number, Service Team, IA Contact Name, IA Telephone Number, and IA Email Address. A note below these fields states: 'Note: To transfer or distribute IRA assets to a beneficiary due to the death of the account holder, please use the Inherited IRA Application.' Further down, there is a section titled '1. Select IRA Type (Select only one type of account.)' with radio button options for 'Contributory IRA', 'Rollover IRA', and 'Rollover from an employer retirement plan'. At the bottom right, there are 'BACK' and 'SEND' buttons. A callout box at the top right says: 'Select each signer from the menu before tagging that signer. Be sure to select and tag all signers before proceeding.' A callout box at the bottom left says: 'Drag-and-drop appropriate tags as needed.' A callout box at the bottom right says: 'After adding information and tagging each signer, click SEND.'



## Tip

Once you click **SEND**, all signers must sign within 60 days or the envelope will expire. This includes advisor signers and reviewers. Completed envelopes are available indefinitely in the **Sent** folder, but you should still store the envelope in an approved archived location as well.

# Your client's experience

---

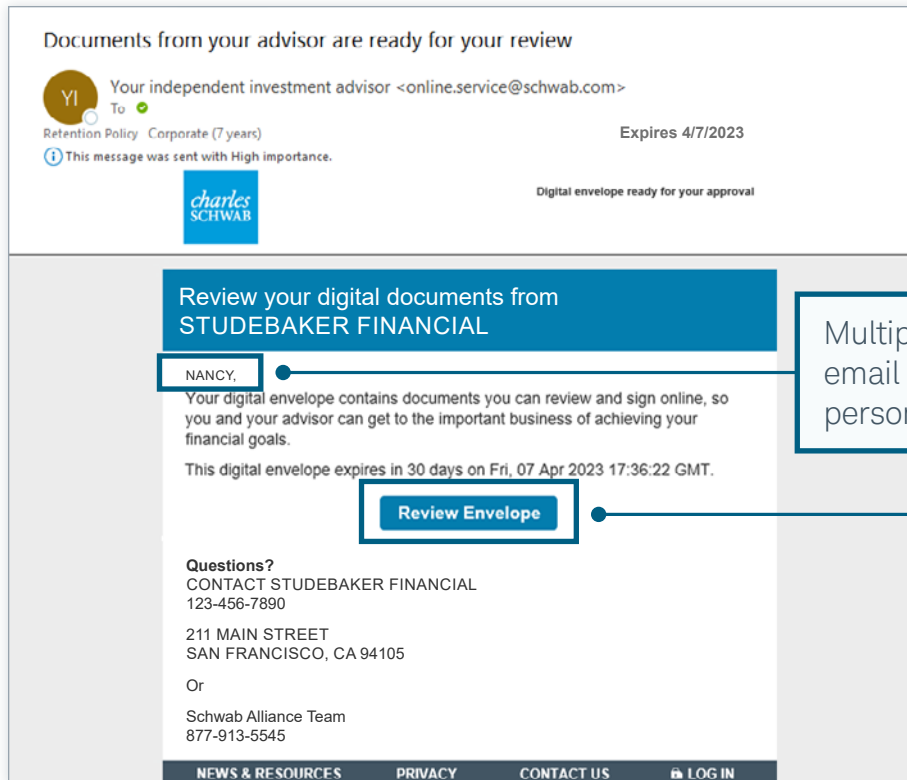
The steps your client takes to verify their identity prior to eSigning depend on the choices you made for them when creating the DocuSign envelope. If you chose Schwab Alliance for verification, your client will either create new credentials—or use their existing ones—to verify their identity. If you chose the text-based (SMS) and/or knowledge-based authentication (KBA) verification method, your client will follow a different set of steps to verify. Either way, the signing experience will be the same.

Choose one of the options below to learn more about your client's experience.

- [Schwab Alliance verification](#) >
- [SMS/KBA verification](#) >
- [The eSigning experience](#) >

# Schwab Alliance verification: Starting from email

Your client will receive an email from **Your independent investment advisor <online.service@schwab.com>**. The client clicks the **Review Envelope** button to access the DocuSign envelope. The client can also find the same message and access by visiting the Schwab Alliance message center. Only signers you have listed for the envelope will receive these communications.



Multiple signers can share an email address, but each will receive a separate email addressing them by name—and each must use only this email (and personal Schwab Alliance credentials) to access the approval workflow.

Your client clicks **Review Envelope** to proceed.



## Tip

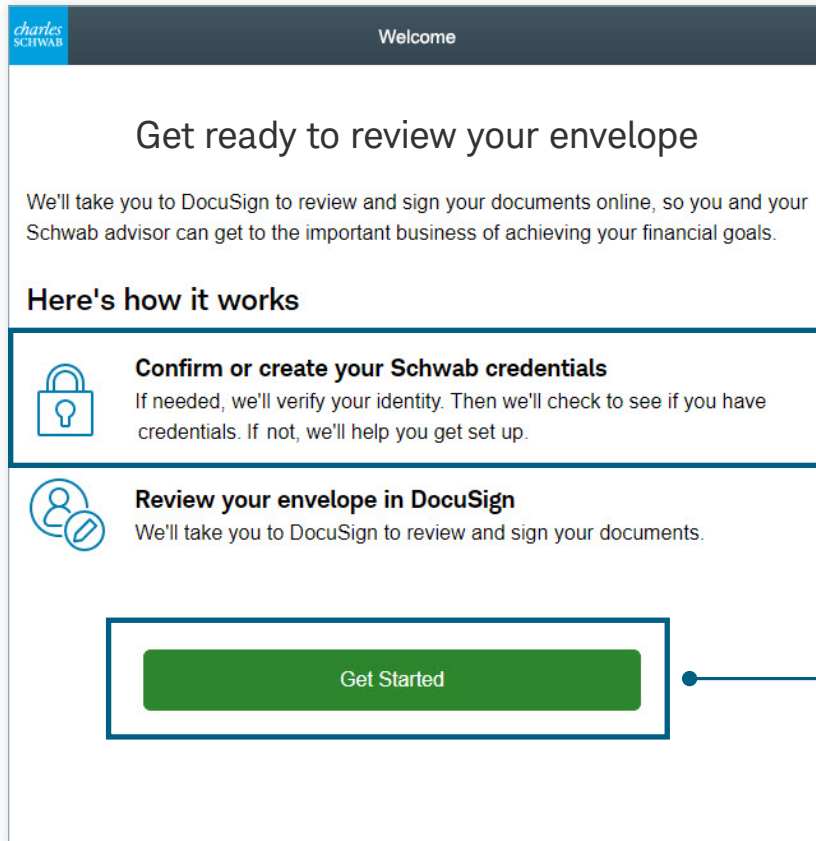
If your client pauses and wishes to resume the approval process later, or has trouble finding the access email, you can direct them to the Schwab Alliance message center or resend the email from the DocuSign console.

## Note

If you want your clients to authenticate via Schwab Alliance, you must use the DocuSign workflow on Schwab Advisor Center to create the envelope; this option is not available for envelopes created using the DocuSign console.

# Schwab Alliance verification: The welcome screen

The first thing your client will see is a greeting and overview of the process and the **Get Started** button to create or input their Schwab Alliance credentials.



Both new and existing clients can use Schwab Alliance for authentication.

After your client clicks the **Get Started** button, they will either create new credentials or enter their existing Schwab Alliance credentials. Both workflows are detailed on the following pages.

# Schwab Alliance verification: New clients enter their information

If your client already has Schwab Alliance credentials, they can skip a few [steps](#). Clients without credentials—including new-to-Schwab clients—will be prompted to create them after they confirm their personal information. This helps match their identity to an existing Schwab profile.


Authentication ×


---

Let's be sure it's you

We'll send you an access code that will expire after 15 minutes.

Where should we send your code?

 Text to \*\*\*\*\*7890 >

 Call me at \*\*\*\*\*7890 >


Cancel

Authentication ×

---

Enter access code

An access code has been sent to \*\*\*-\*\*\*-7890.

Access code 

Your security code will expire in 15 minutes.

[Choose another method](#) [Resend code](#)


Continue

Cancel

Authentication ×

---

Confirm your info

 Let's check to see if you already have a Schwab account and can skip setting up a username and password. If not, we'll get you set up.

Social Security Number

Date of birth (mm/dd/yyyy)

Confirm

Cancel



## Tip

Clients can share phone numbers and email addresses, but each client must create unique Schwab Alliance credentials.

# Schwab Alliance verification: Creating or entering credentials

Clients who are creating new credentials choose a login ID and a password, as well as a security question. Clients who already have credentials go directly from the email to the login page, where they enter their information.

## New credentials

The screenshot shows a mobile application interface for creating new credentials. At the top, there is a 'Welcome' header with the Charles Schwab logo. Below it is a modal window titled 'Authentication' with a close button. The main heading is 'Create your Schwab login credentials', followed by a note: 'The credentials you enter here can only be changed after your account is open.' The form contains four fields: 'Login ID' (text input), 'Password' (text input with an eye icon for visibility), 'Security Question: What is your...' (dropdown menu with '-Select-' selected), and 'Answer' (text input with an eye icon). A green 'Sign In' button is at the bottom.

Clients with existing credentials enter them, then click/tap **Log In** to proceed.

New clients choose a login ID, a password, and a security question and answer, then click/tap **Sign In**. Once the account is established, the password and security question can be changed.

## Existing credentials

The screenshot shows a mobile application interface for logging in. The heading is 'Log in to Schwab'. The form contains two fields: 'Login ID' (text input) and 'Password' (text input with an eye icon for visibility). A green 'Log In' button is at the bottom. Below the button, there are two links: 'Forgot login ID or password?' with a Chinese translation '中文網路通', and 'New user?' with a link to 'Log in to mobile'.



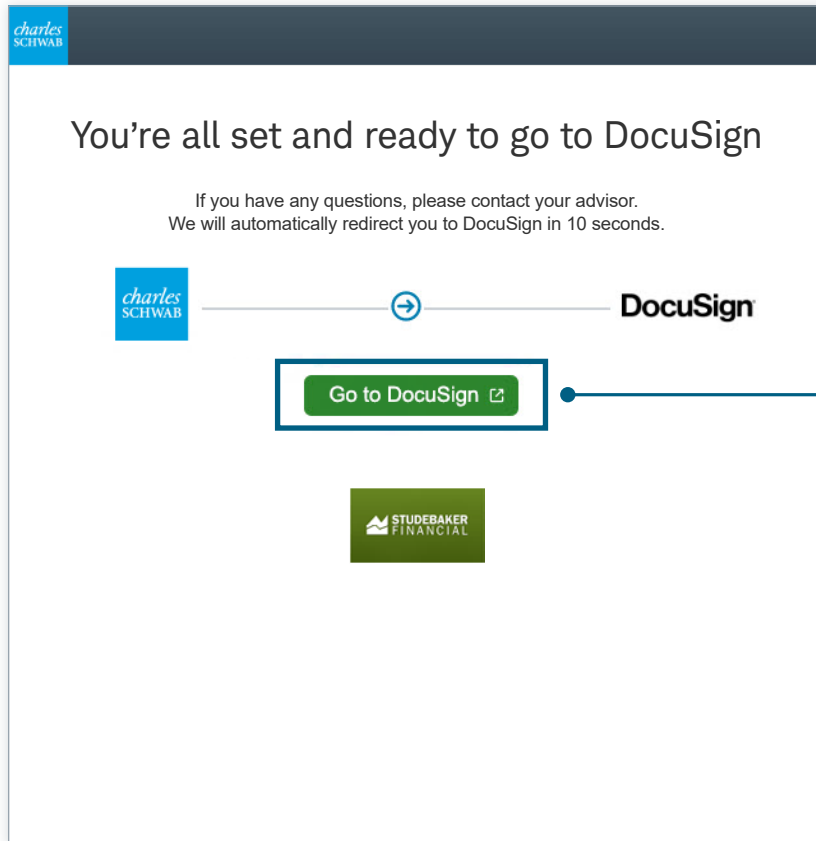
### Tip

For more information about Schwab Alliance, including the enrollment process for your clients, visit the [RIA EdCenter](#) .



# Schwab Alliance verification: Redirecting to DocuSign

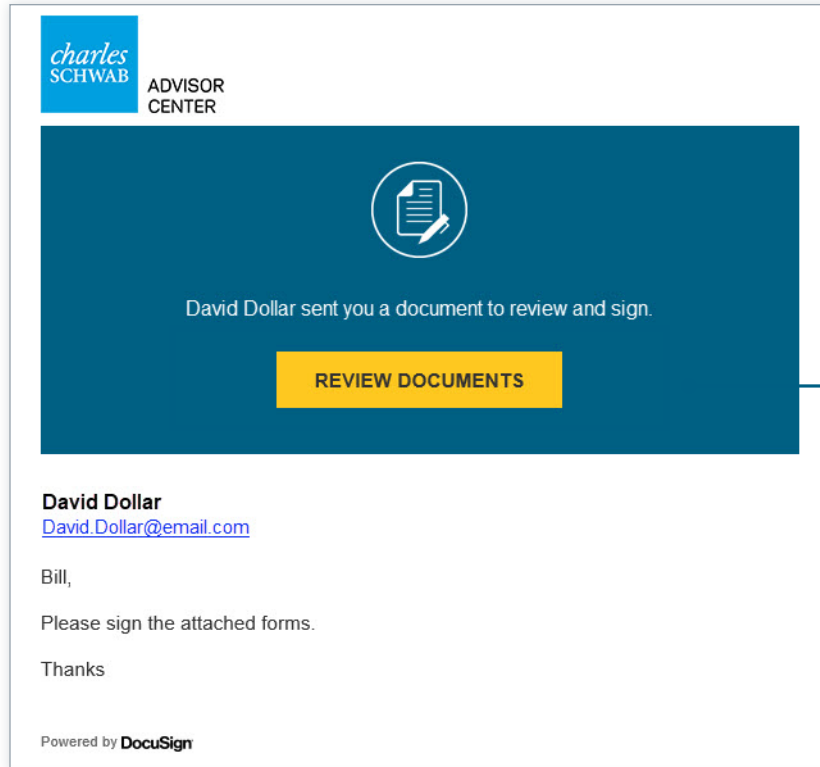
Once your client has successfully entered their Schwab Alliance credentials, they will see a button that takes them to DocuSign to review the envelope.



The system will automatically redirect clients to the envelope, but they can also click the **Go to DocuSign** button to proceed.

# SMS/KBA verification: Starting from email

If you chose text-based (SMS) and/or knowledge-based authentication (KBA) as the verification method during the envelope creation process, your clients will receive an email prompting them to review and sign the documents you sent. But before they can sign, each client must authenticate their identity.



Your client will receive an email informing them that you have sent documents to sign. Your client clicks **REVIEW DOCUMENTS** to begin.




## Tip

A DocuSign envelope is sent based on the signing order it was assigned in the setup process. A signer receives the envelope only after the previous recipient has completed signing.

# SMS/KBA verification: Text-based authentication

Next your client confirms their information, using text-based (SMS) authentication. The DocuSign system sends a text message to the client phone number provided during the envelope creation process.

## Security Requests from Sender

 **David Dollar**  
Charles Schwab & Co., Inc.

### ID Check - Personal Information

Enter your home address. This information, along with your name will be used to generate a list of questions to verify your identity.

|  |   |
|--|---|
| <b>Required Information (Home Address)</b>       | <b>Optional Information</b>   |
| Name: Bill Bucks                                 | Last 4 digits of SSN: <input type="text"/>  |
| Street 1: <input type="text"/> *                 | Date of Birth: <input type="text"/> / <input type="text"/> / <input type="text"/> |
| Street 2: <input type="text"/>                   | mm / dd / yyyy  |
| City: <input type="text"/> *                     |   |
| State: <input type="text"/> *                    |   |
| Zip: <input type="text"/> - <input type="text"/> |   |

You must enter required and valid information before you can continue.

To proceed, the client must fill in the required address information.


### Tip

If a client enters the last four digits of their Social Security number as well as their date of birth, it improves the system's accuracy, leading to better-targeted questions that are easier for your client to answer.

# SMS/KBA verification: Answering knowledge-based questions

When your client receives the six-digit authentication code, they enter it and click **CONFIRM CODE** to complete the authentication process.

## Security Requests from Sender

 **David Dollar**  
Charles Schwab & Co., Inc.

**ID Check - Identification Questions**

These questions are being generated as a means of an identity check requested by the document sender. None of this information is provided to the document sender or to anyone except you.

**Based on your background, in what county is 3292 Calle Cabal Court?**

Catawba  Rockingham  
 Chowan  I have never been associated with this address  
 Duplin

**Which of the following vehicles have you recently owned or leased?**

1992 Mercedes-benz 190  2001 Oldsmobile Intrigue  
 1995 Chevrolet G20 Sportvan  I have never been associated with any of these vehicles  
 1996 Suzuki Sidekick


**Which of the following colleges have you attended?**

East Los Angeles College  Utica College  
 Iowa Central Community College  None of the above  
 Rochester Community And Technical College

**Please answer all of the questions provided.**

**SUBMIT ANSWERS**

ID Check questions are presented for each signer based on publicly available public information.

 **Tip**


If the client does not pass authentication, you can resend the envelope to reset the questions.

# SMS/KBA verification: Sending the SMS message

To authenticate via text, the system sends an SMS message to the phone number you indicated during the envelope creation process.

The screenshot shows a 'Security Requests from Sender' window. At the top, it identifies the sender as 'David Dollar' from 'Charles Schwab & Co., Inc.'. Below this, the 'SMS Authentication' section explains that the user needs to confirm their identity using a mobile phone. It provides two steps: 1. Choose a phone number and click 'Send SMS'. 2. Enter the access code. The authenticating signer name is 'Bill Bucks'. A radio button is selected for the phone number '123-456-7890'. At the bottom, there are two buttons: 'CANCEL' and 'SEND SMS'. The 'SEND SMS' button is highlighted with a blue border and a line pointing to a callout box on the right.

Your client clicks **SEND SMS** to have an authentication code sent to their device.

 **Tip**

Client phone number(s) **must** have SMS capabilities enabled. If your client does not receive the authentication code, have them check that DocuSign is not a blocked sender.

# SMS/KBA verification: Entering the code

When your client receives the six-digit authentication code, they enter it and click **CONFIRM CODE** to complete the authentication process.

The screenshot shows a mobile application interface for SMS authentication. At the top, it says "Security Requests from Sender". Below that is a profile for "David Dollar" from "Charles Schwab & Co., Inc.". The section is titled "SMS Authentication" and states: "An SMS message has been sent to your mobile phone. You should receive it momentarily. Enter the code you received in the SMS message in the field below and press Confirm Code." There is a text input field, a yellow "CONFIRM CODE" button, and a grey "CANCEL" button. A callout box points to the input field with the text: "The code should appear on your client's device automatically. The client enters it here, then clicks **CONFIRM CODE**." Below the input field, there is a note: "If you do not receive an SMS message, select 'Cancel', verify the mobile phone number and try sending the SMS message again."



## Tip

Once authenticated, your client remains so for 48 hours, during which they can return to the envelope at any time without additional authentication. If they fail to complete the signing process during this time frame, they must complete the authentication steps again.

# The eSigning experience: Signing the forms

When authentication is complete, your client is directed to the envelope to begin signing. The guided process automatically direct the client to each field that you tagged for their signature.

The screenshot shows a DocuSign envelope interface. At the top, a dark blue header contains the text "Please review the documents below." and two buttons: "FINISH" and "OTHER ACTIONS". Below the header is a toolbar with icons for zoom, search, download, print, and help. The main content area displays the DocuSign Envelope ID: 6A5EFFC7-2E2C-4AAE-9393-07297C790B7A and the Charles Schwab logo. The document title is "IRA Account Application" (Page 1 of 9). The form contains the following fields and sections:

- Investment Advisor ("IA") Information (This portion to be completed by IA.)**
  - Sample Firm Name
  - IA Firm Name (Please print.)
  - IA Master Account Number: 1234-5678
  - Service Team: ASG
  - IA Contact Name (if follow-up is required): David Dollar
  - IA Telephone Number: 336-222-3333
  - IA Email Address: David.Dollar@Schwab.com
- Note: To transfer or distribute IRA assets to a beneficiary due to the death of the account holder, please use the Inherited IRA Application.
- Ask your Advisor about digital onboarding for opening new accounts in the future.
- 1. Select IRA Type (Select only one type of account.)**
  - Traditional IRA. (Select only one.)
    - Contributory IRA
    - Rollover IRA
    - Rollover from an employer retirement plan
- Name of Employer Sponsoring the Plan
- Approximate Total Value of Distribution
- Expected Distribution Date

Callouts in the image:

- A yellow "START" button is highlighted with a box and a line pointing to the text: "Your client clicks **START** to begin the signing process."
- A yellow "FINISH" button is highlighted with a box and a line pointing to the text: "Once all fields are complete, clicking **FINISH** ends the signing process."

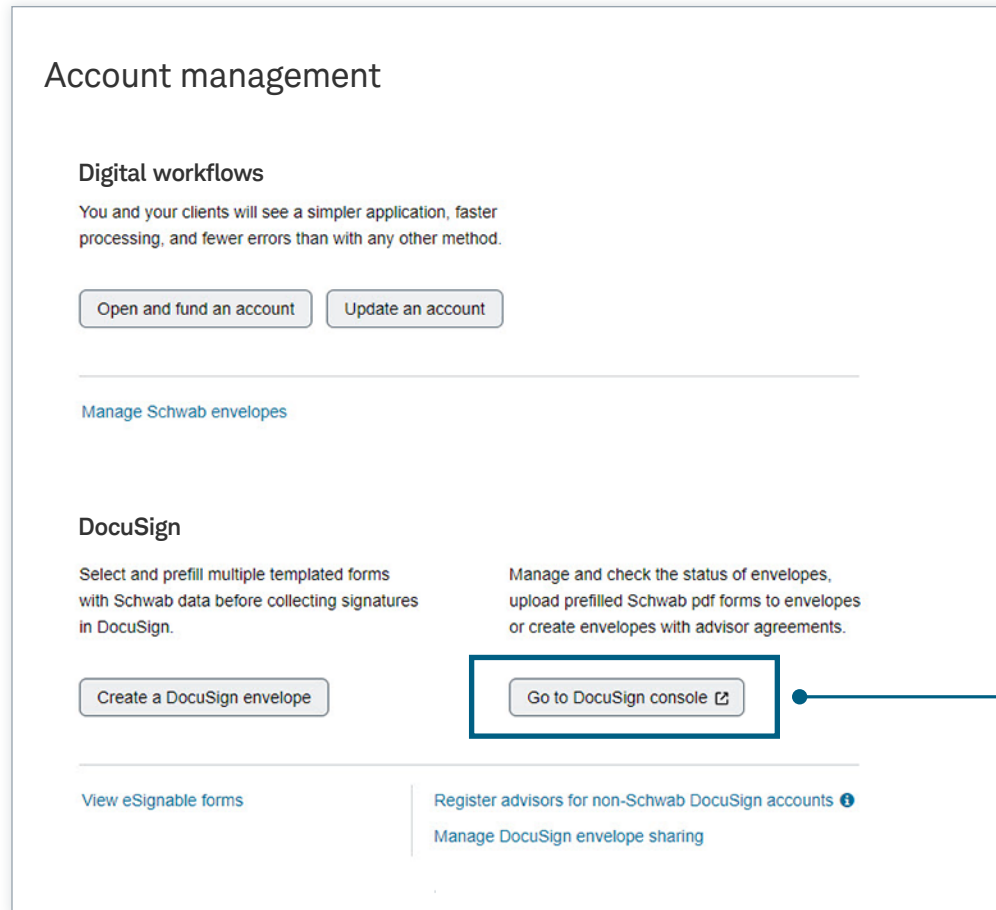


## Tip

Once the signing process is complete, your client can review the envelope they just signed.

# Managing envelope status and sharing: Open DocuSign console

You can view envelope status, make corrections, resend, and even void an envelope in the DocuSign console.



## Tip

DocuSign envelopes are no longer managed from Schwab Advisor Center. You can, however, see the case on the **Status** page once the envelope has been processed by Schwab.

Click the **Go to DocuSign console** button on the **Account Management** page to manage envelopes.



# Managing envelope status and sharing: Manage envelopes

Click the **Manage** tab to view and take action on your envelopes.

The screenshot shows the DocuSign eSignature interface. At the top, there are navigation tabs: Home, **Manage** (highlighted with a blue box), and Templates. On the left, there is a sidebar with 'SHARED ACCESS', a 'NEW' button, and a list of folders: ENVELOPES (Inbox, Sent, Drafts, Deleted), Bulk Send, PowerForms, and QUICK VIEWS. The main area displays a 'Sent' folder view with a search bar and filter options. Below this is a table of envelopes with columns for Subject, Status, and Last Change. The first row is highlighted in orange and has a 'RESEND' dropdown menu (highlighted with a blue box) next to it. A callout box points to this dropdown menu, listing actions: Move, Correct, Copy, Copy with Field Data, Save as Template, Void, History, Form Data, Export as CSV, and Delete. Another callout box points to the 'Sent' folder in the sidebar, stating: 'You can see all the envelopes you have sent, as well as any that you should take action on, in the **Inbox** and **Sent** folders. You can also review your drafts and deleted envelopes.'

| Subject   | Status                         | Last Change              |
|---|--------------------------------|--------------------------|
| DocuSign Envelope 09/08/22: Bill Bucks: IRA Accour<br>To: Bill Bucks +1 more  | 1/3 done<br>Waiting for Others | 9/8/2022<br>10:58:15 am  |
| Please DocuSign: The attached forms<br>To: Bill Bucks +1 more                 | 1/3 done<br>Delivery Failure   | 9/1/2022<br>02:45:22 pm  |
| Please DocuSign: Schwab_IRA_Acct_App_CS_Tempi...<br>To: Bill Bucks +1 more    | 1/2 done<br>Waiting for Others | 9/1/2022<br>02:33:48 pm  |
| DocuSign Envelope 07/29/22: Dao Smurf Test One D...<br>To: Bill Bucks +1 more | 1/4 done<br>Waiting for Others | 7/29/2022<br>03:25:39 pm |
|   | 1/3 done<br>g for Others       | 7/28/2022<br>03:26:24 pm |

## Tip

By default, you have access only to envelopes you have sent, unless your firm security administrator (FSA) has enabled you to view other people's envelopes. FSAs can manage envelope sharing among users from the **Account Management** page. These shared envelopes can be accessed via the **SHARED ACCESS** button on the left navigation pane.

# Managing envelope status and sharing: Review other accounts' envelopes

If you have a previous DocuSign account, you can use the **SHARED ACCESS** button to review shared envelopes. You can also view envelopes created with other DocuSign accounts that use the same email address.

The screenshot displays the DocuSign eSignature interface. The top navigation bar includes 'Home', 'Manage', and 'Templates'. A 'SHARED ACCESS' dropdown menu is open, showing options like 'View All' and 'SHARED ENVELOPES (LEGACY)'. A 'Shared Envelopes' dialog box is also open, listing a user 'David Dollar' with a radio button selected. A 'Sent' folder view shows a list of envelopes with columns for Subject, Status, and Last Change. A 'David Dollar' profile card is visible on the right, with 'Switch Account' and 'My Preferences' buttons highlighted. A text box explains that the 'Switch Account' link is used for non-Schwab accounts, and another text box explains that the 'SHARED ENVELOPES (LEGACY)' option is used for previous Schwab accounts.

**SHARED ACCESS**

- ✓ Digital Advisor Engagement
- SHARED ACCESS
- View All
- SHARED ENVELOPES (LEGACY)
- Select User

**Shared Envelopes**

Search

| Name  | Email                  |
|---|------------------------|
| <input checked="" type="radio"/> David Dollar | David.Dollar_schwab... |

**SENT**

Filtered by: Status (In Progress), Date (Last 6 Months) | Edit

| Subject  | Status                         | Last Change             |
|--|--------------------------------|-------------------------|
| DocuSign Envelope 09/08/22: Bill Bucks: IRA Accour<br>To: Bill Bucks +1 more | 1/3 done<br>Waiting for Others | 9/8/2022<br>10:58:15 am |
| Please DocuSign: The attached forms<br>To: Bill Bucks +1 more                | Delivery Failure               |                         |
| Please DocuSign: Schwab_IRA_Acct_App_CS_Tempi...<br>To: Bill Bucks +1 more   | Waiting for Others             |                         |
| 7/29/22: Dao Smurf Test One D...   | Waiting for Others             |                         |
| 7/28/22: Dao Smurf Test One D...   | Waiting for Others             |                         |

**David Dollar**  
david.dollar@email.com  
Account #1234-XXXX (Default)  
DS Modernization

Manage Profile

Switch Account

My Preferences

Log Out

If you have another non-Schwab DocuSign account using the same email address, use the **Switch Account** link to access it. If you do not see that option, log out and back into DocuSign to change accounts.

Use the **SHARED ENVELOPES (LEGACY)** option to access envelopes sent using your previous Schwab DocuSign account.

Use the **My Preferences** link to update your notification preferences for envelopes.

# Managing envelope status and sharing: Access to envelope sharing

Your FSA can use the **Manage DocuSign envelope sharing** link on the **Account Management** page to allow staff members to share envelopes.

The screenshot shows the 'Account management' page. Under the 'Digital workflows' section, there are buttons for 'Open and fund an account' and 'Update an account'. Below this is a section for 'Manage Schwab envelopes'. The 'DocuSign' section contains two columns of text and two buttons: 'Create a DocuSign envelope' and 'Go to DocuSign console'. At the bottom, there is a 'View eSignable forms' section with two links: 'Register advisors for non-Schwab DocuSign accounts' and 'Manage DocuSign envelope sharing'. The 'Manage DocuSign envelope sharing' link is highlighted with a red box, and a red line connects it to a callout box on the right.



## Tip

Only FSAs can manage sharing. All other users see a message noting that they do not have permission to manage this feature.

FSAs click here to manage envelope sharing for the firm.

# Managing envelope status and sharing: Adjust sharing settings

Next the FSA uses the **Edit / View** function to change the sharing settings for each user.

Account management / DocuSign envelope sharing

## DocuSign envelope sharing

Use envelope sharing to manage access to user envelopes within your firm.

Search (by name or email)

Results: 74

| Name ▲       | Email                  | Sharing with              | Actions     |
|--------------|------------------------|---------------------------|-------------|
| Betty Bucks  | betty.bucks@email.com  | Bill Bucks, David Dollar  | Edit / View |
| Bill Bucks   | bill.bucks@email.com   | Betty Bucks, David Dollar | Edit / View |
| Connie Coin  | connie.coin@email.com  |                           | Edit / View |
| David Dollar | david.dollar@email.com | Betty Bucks, Bill Bucks   | Edit / View |
| Donny Dime   | donny.dime@email.com   |                           | Edit / View |

To adjust the sharing settings for a user, click the **Edit / View** link next to that person's name.



### Tip

You will see only users who have set up credentials for the Schwab DocuSign experience.

# Managing envelope status and sharing: Adjust sharing settings (continued)

The FSA can then select other users whose envelopes should be shared with the original user. Once sharing is enabled, that original user will be able to view and manage envelopes created by the other users the FSA has designated. Note that this sharing function does not apply to draft envelopes.

The screenshot shows a dialog box titled "Envelope Sharing for Betty Bucks" with a close button (X) in the top right corner. Below the title, it says "Select one or more users whose envelopes should be shared with Betty Bucks". There is a search bar labeled "Search (by name)" with a magnifying glass icon. Below the search bar is a list of users, each with a checkbox and a name: Name, Bill Bucks, Connie Coin, David Dollar, Donny Dime (checked), Harry Half-Dollar, Nancy Nickel, Patty Penny, and Sam Silver. At the bottom of the dialog are two buttons: "Cancel" and "Update".

For each name selected here, the user whose profile you are editing will be able to view and manage that person's DocuSign envelopes.

Once all users whose envelopes should be shared have been selected, click **Update** to save the changes.

# Managing envelope status and sharing: View shared envelopes

To view envelopes sent by other users, click the **SHARED ENVELOPES (LEGACY)** button on the **Manage** tab. Choose the user whose envelopes you would like to view.

The screenshot shows the DocuSign eSignature interface. The 'Manage' tab is selected. The 'Sent' folder is active, displaying a list of envelopes. A 'SHARED ACCESS' dropdown menu is open, showing 'SHARED ENVELOPES (LEGACY)' as the selected option. A 'Shared Envelopes' modal is open, showing a search bar and a list of users: David Dollar, Betty Bucks, and Bill Bucks. A callout box points to the 'SHARED ENVELOPES (LEGACY)' link and explains its purpose. A tip box at the bottom states: 'When viewing shared envelopes, ensure that you are viewing the Sent folder and not the Inbox.'

| Subject  | Status                         | Last Change              |
|--|--------------------------------|--------------------------|
| DocuSign Envelope 09/08/22: Bill Bucks: IRA Accour<br>To: Bill Bucks +1 more | 1/3 done<br>Waiting for Others | 9/8/2022<br>10:58:15 am  |
| Please DocuSign: The attached forms<br>To: Bill Bucks +1 more                | 1/3 done<br>Delivery Failure   | 9/1/2022<br>02:45:22 pm  |
| Please DocuSign: Schwab_IRA_Acct_App_CS_Temp...<br>To: Bill Bucks +1 more    | 1/2 done<br>Waiting for Others | 9/1/2022<br>02:33:48 pm  |
| 7/29/22: Dao Smurf Test One D...   | 1/4 done<br>Waiting for Others | 7/29/2022<br>03:25:39 pm |
| 7/28/22: Dao Smurf Test One D...   | 1/3 done<br>Waiting for Others | 7/28/2022<br>03:26:24 pm |

**Shared Envelopes**

Search

| Name  | Email                  |
|---|------------------------|
| <input checked="" type="radio"/> David Dollar | David.Dollar_schwab... |
| <input type="radio"/> Betty Bucks             | Betty.Bucks@email.com  |
| <input type="radio"/> Bill Bucks              | Bill.Bucks@email.com   |

**SELECT** CANCEL

Click the **SHARED ENVELOPES (LEGACY)** link to access envelopes sent by other users that you have permission to view.

**Tip**  
When viewing shared envelopes, ensure that you are viewing the **Sent** folder and not the **Inbox**.

# Topic index

---

Click on a topic below to navigate to the relevant page.

## [Overview of DocuSign features >](#)

---

[Overview of DocuSign on Schwab Advisor Center >](#)

## [Creating DocuSign credentials >](#)

---

[Before you start >](#)

[Start the process >](#)

[Accept terms and conditions >](#)

[Log out of other accounts >](#)

[Verify profile information >](#)

[Check your email >](#)

[Return to Account Management page >](#)

[Grant Schwab access >](#)

## [Creating envelopes using templates >](#)

---

[Start the workflow >](#)

[Add existing signers >](#)

[Add new-to-Schwab signers >](#)

[Review and edit signers >](#)

[Set up a template group >](#)

[Select accounts >](#)

[Choose templates >](#)

[Review details >](#)

[Open DocuSign console >](#)

[Review and optional upload >](#)

[Review signers >](#)

[Add message >](#)

[Review templates and send >](#)

## [Creating envelopes using DocuSign console >](#)

---

[Start the workflow >](#)

[Select Use a template >](#)

[Add template to envelope >](#)

[Upload forms >](#)

[Add signers >](#)

[Add message >](#)

[Tag the forms and send >](#)

## [Your client's experience >](#)

---

[Schwab Alliance verification >](#)

[SMS/KBA verification >](#)

[The eSigning experience >](#)

## [Managing envelope status and sharing >](#)

---

[Open DocuSign console >](#)

[Manage envelopes >](#)

[Review other accounts' envelopes >](#)

[Access to envelope sharing >](#)

[Adjust sharing settings >](#)

[View shared envelopes >](#)

### Helpful resources

[RIA EdCenter™ !\[\]\(2abd0b3f602470f3d441e72e75534b19\_img.jpg\) >](#)

[Attend an upcoming webcast >](#)

[Review the Service Guide !\[\]\(742b204a0d964e4f635280ffd22ee851\_img.jpg\) >](#)

[Enhanced templates available for DocuSign !\[\]\(0872ef609e8e49c5ee2f418e8650e57e\_img.jpg\) >](#)

**Brokerage Products: Not FDIC-Insured. No Bank Guarantee. May Lose Value.**

For advisor use only. For general educational purposes only.

Schwab Advisor Center® is a website of Charles Schwab & Co., Inc. ("Schwab"), for the exclusive use of advisors who custody assets with Schwab. Schwab Alliance is a website of Schwab for the exclusive use of clients of advisors who custody assets with Schwab.

Any investments reflected are for illustrative purposes only and are not intended, nor should they be construed, as a recommendation to buy, sell, or continue to hold any investment.

Schwab Advisor Services™ serves independent investment advisors and includes the custody, trading, and support services of Schwab. Independent investment advisors are not owned by, affiliated with, or supervised by Schwab.

Access to electronic services may be limited or unavailable during periods of peak demand, market volatility, systems upgrade or maintenance, or for other reasons.

Requires a wireless signal or mobile connection. Mobile carrier data charges may apply. System availability and response times are subject to market conditions and mobile connection limitations. Functionality may vary by operating system and/or device.

DocuSign® is not affiliated with Schwab.

Schwab does not provide legal, tax, or compliance advice. Consult professionals in those fields to address your specific circumstances.

©2023 Charles Schwab & Co., Inc. All rights reserved. Member [SIPC](#). TWI (0922-2856) GDE119230-02 (08/23)  
00289836



*Own your tomorrow.*