DocuSign Instructions for Sending the HPAG Wealth Management Services Agreement (WMSA)

When sending the WMSA (formerly known as the DAMA) through eSignature, <u>you must send the WMSA</u> <u>separately from the other account paperwork in its own envelope.</u> Unlike the LPL forms, the WMSA must be reviewed by our compliance department of HighPoint. Once that has been completed it will be sent to Michelle Juras for signature, whereas all other account paperwork is reviewed by the LPL Home Office and is signed either by the OSJ, OSJ Delegate, or home office compliance department.

Steps to Send the WMSA

Step 1: Log into ClientWorks. Select Menu and choose Tools

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Step 2: Select E-Signature (DocuSign)



Step 3: Once in DocuSign, select start, envelopes, Use a Template

Get Started

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Step 4: Select "Shared with Me"



Step 5: Type HighPoint in search box, hit enter and select "Highpoint – Wealth Management Service Agreement (WMSA)" then "Add Selected"

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Step 6: Enter the recipient's information, client's name and email address. Next, add access authentication by entering the last 4 digits of the client's social security number.

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Step 7: (If Applicable) Repeat the same steps completed for the first client. If there is no second account holder, please delete Account Holder 2.

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Step 8: Enter the advisor's name and email address. Then, add access code by entering the last 4 digits of the advisor's social security number.

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Step 9: (If Applicable) Repeat the same steps completed for the first advisor. If there is no second advisor, please delete Advisor 2.

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Step 10: Enter Admin Reviewer's Name (WMSA Reviewer), email address (<u>dama@hiptpartners.com</u>) and access code (0219).

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Step 11: Enter Branch Manager/OSJ Delegate Michelle Juras in the name field, enter email address (<u>michelle.juras@hiptpartners.com</u>) and access code (2651).

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Characters remaining: 66		
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Enter Message		

After all information is entered and a personalized message is added Select "NEXT" in the right-hand corner

Step 13: Fill in the missing areas, account number, Rep ID, client information; (name(s), address, and email address), advisor(s) and annual fee.

11	Wealth Management Services Agreement
	Account Number 1234-5678
HIGHPOINT ADVISOR GROUP	Rep ID 1234

1. Client Information

John Smith	
Client Name(s)	
123 Fake Street, Downers Grove, IL 60515 Street Address, City, State, Zip Code	
JSMITH@gmail.com Email Address - By providing an email address, the undersigned C forth in Section 24 of the attached "Important Disclosures" which is	lient(s) consent to the electronic delivery of documents as set an important part of, and incorporated into, this Agreement.
Check this box if the account is being funded through a rollove Rationale Form must be submitted if this box is checked.	r from an employer-sponsored retirement plan. The Rollover
Investment Advisor Benrecentetive Information	

2. Investment Advisor Representative Information

Text	
Investment Advisor Representative(s)	

3. Fees. HighPoint Advisor Group, LLC (HPAG) shall provide the services described in this Agreement for the undersigned Client(s) for the agreed upon annual fee. See Section 3 of the attached Important Disclosures.

HPAG Annual Fee* %	Text
LPL Financial MAS Fee (only for MAS Accts)** %	Text

* For tiered fee schedules, attach a copy of the fee schedule.

**For Clients participating in LPL Financial's Manager Access Select ("MAS") platform, Client acknowledges that the above annual fees are subject to change based on changes in the Client's account value and the specific MAS investment program chosen by the Client.

Step 15: Assure to check off the 'Discretionary Asset Management Services' on the second page, if this box is not checked off the WMSA will be rejected.

 Wealth Management Services. Subject to the terms and conditions of this Agreement, HighPoint Advisor Group, LLC ("we") shall provide you with the following services ("Services") (please check each box as appropriate):

Discretionary Asset Management Services ("DAM \checkmark Services"): We have full and exclusive discretionary authority, without first consulting you, to purchase and/or sell the securities and other assets (collectively, "Assets") within your account ("Account") and, in that connection, to make determinations as to which Assets, including, but not limited to, stocks, bonds, mutual funds, index funds, exchange traded funds, and other securities and/or contracts relating to the same, on margin (if a separate written margin authorization has been granted), and short-term money-market instruments, where the Assets are to be bought or sold for your Account without obtaining your consent of or consulting with you in accordance with your investment needs, goals and objectives as communicated to us. You hereby appoint us as your attorney-in-fact and grant us limited power-of-attorney with discretionary trading authority over the Account to buy, sell, or otherwise effect investment transactions involving the Assets. You further acknowledge that (i) we are authorized, without seeking your prior consent or consulting with you, to consent to, or request any action, on the part of such corporations or other entities whose securities are held in the Account, and to participate in, reorganizations,

Step 16: Once everything has been completed, hit send.

