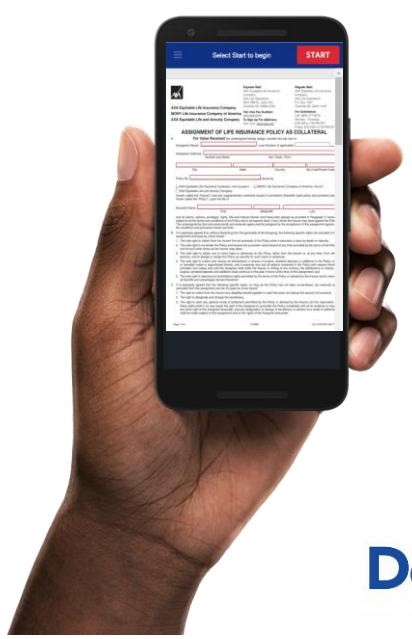
EQUITABLE
ADVISORS

DocuSign User Guide

for Equitable Advisors



DocuSign

Internal - User Manual

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DocuSign

Overview

DocuSign

Overview:

DocuSign allows Financial Professionals and their assistants the ability to obtain signatures in a secure manner electronically for the following:

- Life New Business outstanding requirements including the conforming illustration.
- Specific approved service forms that will automatically be sent to the Service Centers for processing through the use of Integrated DocuSign Templates.
- Individual Retirement Transfer Form for LPL related transfers.

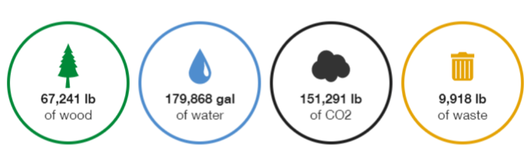
Financial Professionals must continue to use eApp for life and annuity new business applications, STP (Straight Through Process) via Salesforce and the Equitable Client Portal (OAA) for online transactions when possible.

- Link to the Equitable Online Functionality Flyer .

All forms sent to clients through this process will require an added layer of security as described in this guide. See Access Authentication.

Some Benefits:

- The client experience will be improved with a consistent digital experience.
- The new business requirement will be received faster.
- Reduce NIGO items with mandatory fields on the templates.
- Create efficiencies in the service centers by directly sending the form meta data, signed form and certificate of completion into the New Business and Inforce Service Centers for processing.
- Reduce the cost of mail and overnight express.
- Reduce the cost associated with paper documents (paper, ink, toner, time spent, faxing, etc.).
- Environmental Savings
  - Wood, Water, CO2 and Waste.
  - Example of Environmental Savings on 20,000 envelopes:



How to Access DocuSign

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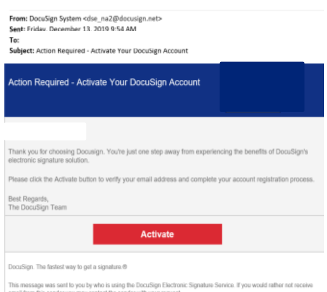
DocuSign

Steps to obtain access to DocuSign

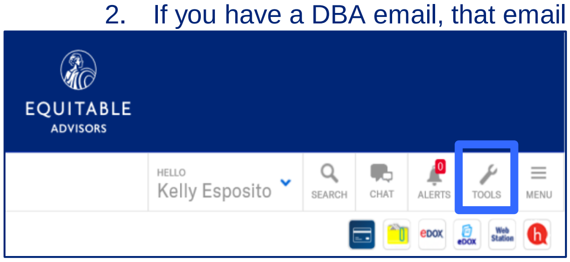
1. **Complete the Required DocuSign Training on EAVU**
    - All Financial Professionals and their assistants will have access to the training.
    - The Wealth Management Project Management Team will pull daily reports from EAVU and provide access to DocuSign based on course completion until July 1, 2020. After this date, access can be requested by calling ASK I.T. or requesting access through Service Now.
    - The Training path is as follows:

      EAVU > Course Catalog > Practice Management > Technology for Financial Professionals > DocuSign Training

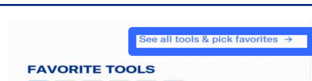
2. **Activate your DocuSign Account**
    - You will receive an email from DocuSign to activate your account.
    - Click on the "**Activate**" action button in the email and follow the directions to set up your credentials.
    - Then, Log out.



3. **Log into Equitable.com**
    - Click on "**Tools**".
    - Click on "**See all tools & pick favorites**".
    - Scroll down to "**D**" and drag "**DocuSign**" to your favorites.
    - Launch "**DocuSign**".
        1. Enter your Equitable.com email address and the password you created.
        2. If you have a DBA email, that email address will be used.



In the coming month SSO will be implemented which will eliminate step 1 & 2.



DocuSign

After your initial activation, you will continue to access DocuSign from the "Tools" section on Equitable.com.

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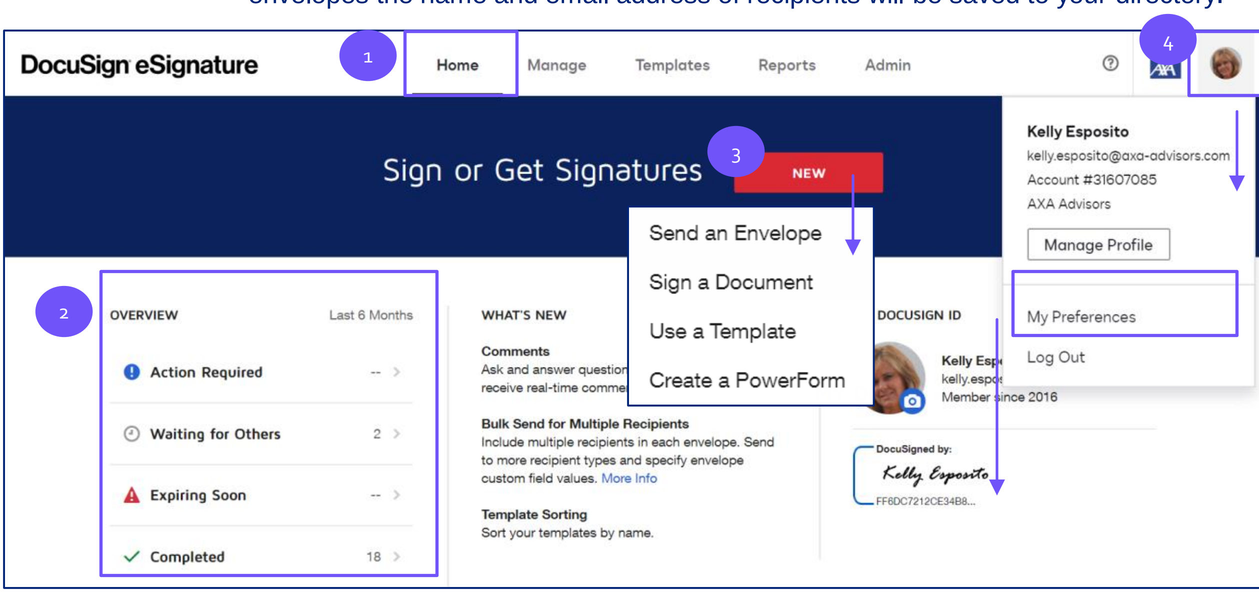
DocuSign Home Page

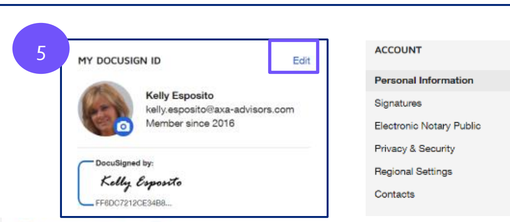
Home

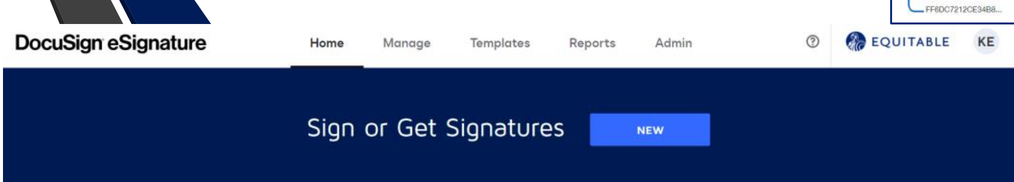
1. **Home** – The Home Page is the page that will launch when you log into DocuSign.

2. **Overview –** This section will display the following categories in the Last 6 Months. Click on the number next to the category to access the information.
   - **Action Required** – Any envelope requiring your action. Templates require the user in most cases to sign or complete the form before sending the form to the client.
   - **Waiting for Others** – Envelopes sent and you are waiting for others to sign.
   - **Expiring Soon** – Envelopes that are going to expire. Envelopes expire after 120 days.
   - **Completed** – Envelopes completed within the last 6 months.
3. **NEW –** Quick Access to the following:
   - **Send an Envelope** – Use this option to upload an illustration or upload approved New Business Form.
   - **Sign a Document** – This is used if you are the only signor of a document.
   - **Use a Template** – <u>Always</u> use this option for inforce service forms.
     - If the template is not available, then the form is not approved.
   - **Create a PowerForm** – This should not be used.

4. **My Preference** – the three main items you will use in this section are as follows:
   - **Personal information** – update your name or upload a picture.
   - **Regional Setting** – update your time zone.
   - **Contacts** – add or edit individuals in your directory/address book. As you send envelopes the name and email address of recipients will be saved to your directory.







DocuSign will be rebranded after 6/15/20

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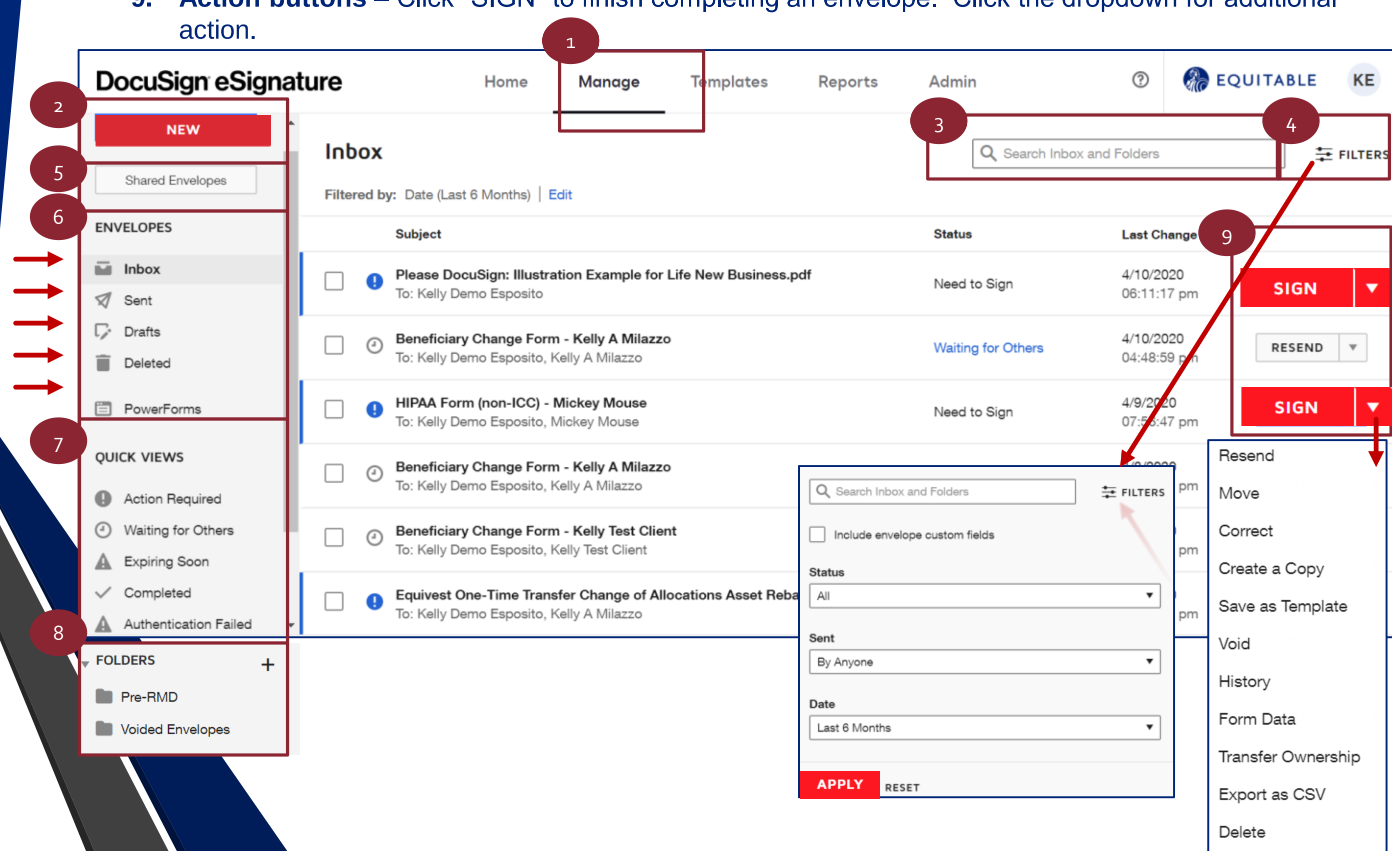
DocuSign Manage Page

Manage

1. **Manage** – This page allows the user to manage all envelopes.
2. **NEW –** Quick Access to the following:
   - **Send an Envelope** – Use this option to upload an illustration or upload approved New Business Form.
   - **Sign a Document** – This is used if you are the only signor of a document.
   - **Use a Template** – Always use this option for inforce service forms.
     - If the template is not available, then the form is not approved.
   - **Create a PowerForm** – This should not be used.
3. **Search Inbox and Folders**– Type in any part of the envelope information (ex: Client's Name).
4. **FILTERS** – Click on "**Filter**" to expand your search status, sent and date.
5. **Shared Envelopes** – Allows one or more users to share envelopes.
6. **ENVELOPES** – Section on the left list the following options:
   - **Inbox** – Default page and will show envelopes in your inbox for the last 6 months.
   - **Sent** – Envelopes sent in the last 6 months. Click "Edit" or "Filter" to see all sent.
   - **Drafts** – Envelopes started and saved. Drafts can be deleted.
   - **Deleted** – Do not delete envelopes. Move to a folder instead.
   - **PowerForms** – Do not use PowerForms. The account Admin will use this.
7. **QUICK VIEWS** –
   - **Action Required** – Any envelope requiring your action. Templates require the user in most cases to sign or complete the form before sending the form to the client.
   - **Waiting for Others** – Envelopes sent and you are waiting for others to sign.
   - **Expiring Soon** – Envelopes that are going to expire. Envelopes expire after 120 days.
   - **Completed** – Envelopes completed within the last 6 months.
   - **Authentication Failed** – If a client does not complete the authentication process correctly.
     - Ex: Client clicks incorrect phone # or disconnects before authentication is complete.
8. **FOLDERS** – Click the + action to add a folder. You can move envelopes into the folder.
9. **Action buttons** – Click "SIGN" to finish completing an envelope. Click the dropdown for additional action.



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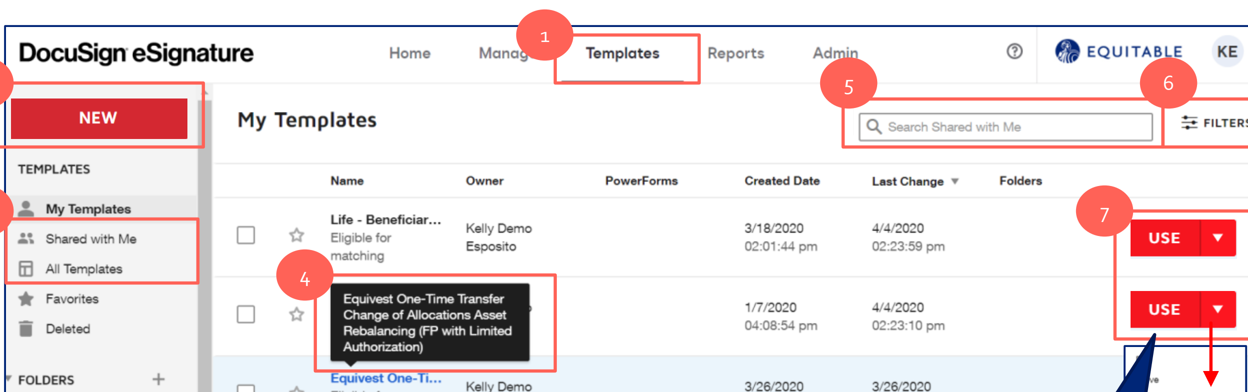
DocuSign Templates Page

Templates

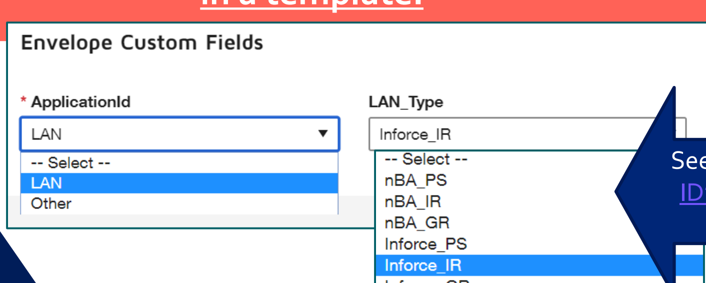
1. **Templates** – This page allows the user to search and use templates.
2. **NEW – Always use this action button from the HOME Page to Use a Template – easier to use!**
   - **Create Template** – The functionality will be used by the Account Administrator.
   - **Upload Template** – The functionality will be used by the Account Administrator.
   - **Create a PowerForm** – The functionality will be used by the Account Administrator.
3. **Shared with Me** – Always use the templates shared with you by the Admin (Ex: “Kelly Esposito”).
4. **Hover over the Name** – the complete name of the template will display. Use “NEW” – Use a Template instead for a better experience.
5. **Search Templates** – Search “Shared with Me” by typing in the name or part of the name and click your enter key.
6. **FILTERS** – Ability to search by owner or specific dates.
7. **USE** – **Click “USE”** - This is the only function you should use!
   - **Never take another action on shared templates**.
   - The Account Administrator will update documents in the Shared with Me templates. If you create a copy, you will not have the up to date version. If you notice an out of date form, please email: Kelly.Esposito@equitable.com or Daniel.Zubrowski@equitable.com.



“USE” – Only action you should take

Always use Templates available for Inforce Service Forms for Protection Solutions – Life, Individual Retirement and Group Retirement!

Never change the default ApplicationId and LAN_Type in a template!



See “Terminology & Application ID” for an explanation of these fields.

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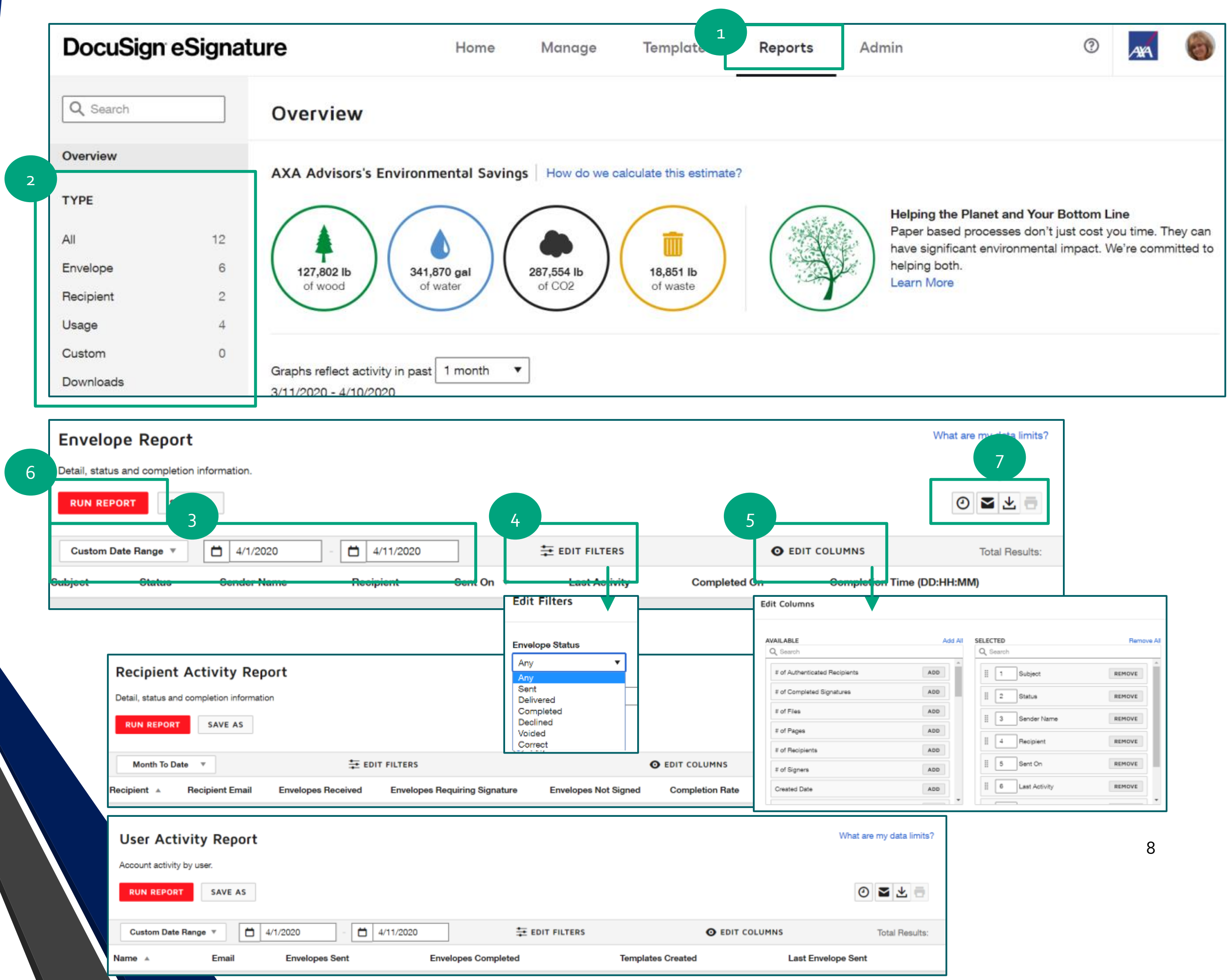
DocuSign Reports Page

Reports

1. **Reports** – This page allows the user to pull an Envelope, Recipient or Usage Report.
2. **TYPE –** List the types of reports available and the number of reports in each section. Most used reports are as follows:
   - **Envelope**– The Envelope Report will provide you information on the envelopes you sent including the Subject, Status, Sender Name, Recipient, Sent On, Last Activity and Completed On.
   - **Recipient** – The Recipient Activity Report will provide you information on the Recipient's Name, Email Address, Envelope Received date, Envelope Requiring Signature, Envelope Not Signed, Completions Rate, and Average Completion Time.
   - **Usage** – The User Activity Report will be provide you information on Envelopes Sent, Envelopes Completed and Last Envelope Sent.
3. **Date –** The default is month to date. Click the dropdown arrow to select other options. Ex: Custom Date Range.
4. **EDIT FILTERS** – Click to edit filters. Ex: change "**Any**" to "Completed" Envelope Status.
5. **EDIT COLUMNS** – Click to edit columns. Click "**ADD**" to add from the available list to the selected list. Click "REMOVE" to remove from the selected list. The items can be arranged by changing the number or click and dragging the column name up or down.



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Terminology & Application ID

DocuSign

Envelope

- An envelope is a fundamental object used in DocuSign transactions. Envelopes contain recipient information, document fields and timestamps that indicate delivery progress. Envelopes contain information about the sender, security authentication information and more. One document or many documents can be uploaded into one envelope. One recipient or many recipients can receive an envelope to sign.
- We are changed for each envelope sent even if that envelope is voided.

Template

- Templates are created with a work flow with placeholder roles identified for each recipient. The templates that are shared with you are created for specific document that are sent to the Service Center for processing. Templates should always be used for Inforce Service Forms. Templates are available for New Business.
- In most templates, the first recipient role is the "**Sender**". When the template is selected, your name and email will be populated as the "**Sender**". You will have an action to sign. In most cases, you are completing the information required on the document inside the envelope.
- When you click the "**Send**" action button, you are asked at that point to "**SIGN NOW**" to complete the document.

ALWAYS "USE A TEMPLATE" for Inforce Service Forms!

Envelope Custom Fields

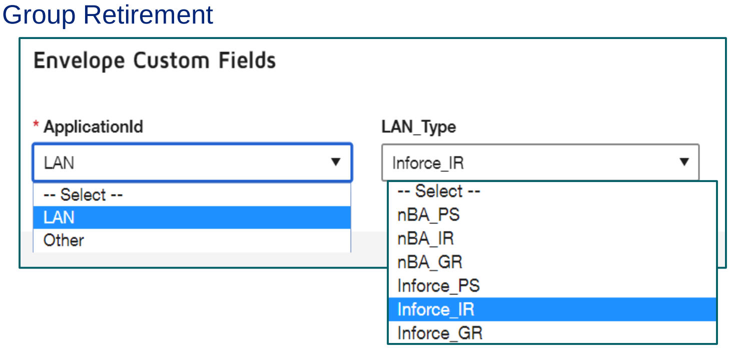
ApplicationId

- **LAN** – This is used for Admin Created Templates for Life and Annuity documents. When this code is used, the document is sent to the Service Center as long as the template is used. There are other meta data fields in the template.
  - **Do not upload a document and add this field,** the envelope will not go to the Service Center and will create an error in the system.
  - **Do not change the ApplicationId and LAN_Type information in any templates.**

- **Other** – This is used with all other envelopes that are uploaded by the end user. There are templates that have the ApplicationId of "**Other**". If a template has the ApplicationId "**Other**", it is the senders responsibility to get the document to the appropriate party for processing.

LAN_Type

- Only mandatory in templates with "**LAN**" selected. **Do not change** this field in templates.
  - **nBA_PS** = New Business Life
  - **nBA_IR** = New Business Individual Retirement
  - **nBA_GR** = New Business Group Retirement
  - **Inforce_PS** = Inforce Life
  - **Inforce_IR** = Inforce Individual Retirement
  - **Inforce_GR** = Inforce Group Retirement



If you upload a document, always use "**OTHER**"!

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Certificate of Completion

DocuSign

1. This section provides information about the completed envelope. Each envelope has a unique Envelope Id.
2. Recipient's information is provided. Important Information: name, email address, IP address, and the date and time the envelope was sent, viewed and signed. In this example, the sender is the FP or FP's assistant and Authentication is not required.
3. Recipient's information is provided. Important Information: name, email address, IP address, and the date and time the envelope was sent, viewed and signed. In this example, the recipient is a client, Authentication was completed.
    - **Mandated by Equitable Fraud Office – all client's must authenticate.**

The Certificate of Completion will automatically be sent to the Service Center for all templates with the ApplicationId of "**LAN**" with a specific "**LAN_Type**". The Service Center will be able to match the Certificate of Completion with the document submitted. This is another reason the "**TEMPLATES**" must be used.

DocuSign SECURED

Certificate Of Completion

1

Envelope Id: 7F7EA326588B4E34832C5488A93C1DBB		Status: Completed
Subject: Beneficiary Change Form - Kelly Test Client		
ApplicationId: LAN		
LAN_Type: Inforce_PS		
Source Envelope:		
Document Pages: 6	Signatures: 1	Envelope Originator:
Certificate Pages: 5	Initials: 0	Kelly Demo Esposito
AutoNav: Enabled		10 Main St
EnvelopeId Stamping: Enabled		Voorhees, NJ 09182
Time Zone: (UTC-05:00) Eastern Time (US & Canada)		kelly.esposito@axa.us.com
		IP Address: 141.191.20.10

Record Tracking

Status: Original 4/8/2020 7:23:56 PM	Holder: Kelly Demo Esposito kelly.esposito@axa.us.com	Location: DocuSign

Signer Events	Signature	Timestamp
2 Kelly Demo Esposito kelly.esposito@axa.us.com AXA Demo - Kennelly Security Level: Email, Account Authentication (None) **Electronic Record and Signature Disclosure:** Not Offered via DocuSign	**Completed** Using IP Address: 141.191.20.10	Sent: 4/8/2020 7:26:18 PM Viewed: 4/8/2020 7:26:30 PM Signed: 4/8/2020 7:28:03 PM
3 Kelly Test Client Kelly.Esposito@equitable.com Security Level: Email, Account Authentication (None), Authentication	DocuSigned by: Kelly Test Client 2DA09F5C85F740D... Signature Adoption: Pre-selected Style Using IP Address: 141.191.20.10	Sent: 4/8/2020 7:28:04 PM Viewed: 4/8/2020 7:32:06 PM Signed: 4/8/2020 7:32:41 PM

Authentication Details
Phone Auth:
Transaction: 314979fb-89d6-4915-820c-1dee3f485a63
Result: passed
Vendor ID: Authentify
Type: PhoneAuth
Performed: 4/8/2020 7:31:42 PM
Phone: +1 315-278-2089

Electronic Record and Signature Disclosure:
Accepted: 4/8/2020 7:32:06 PM
ID: d8484dec-f934-4f39-bda8-917f09e62ec8

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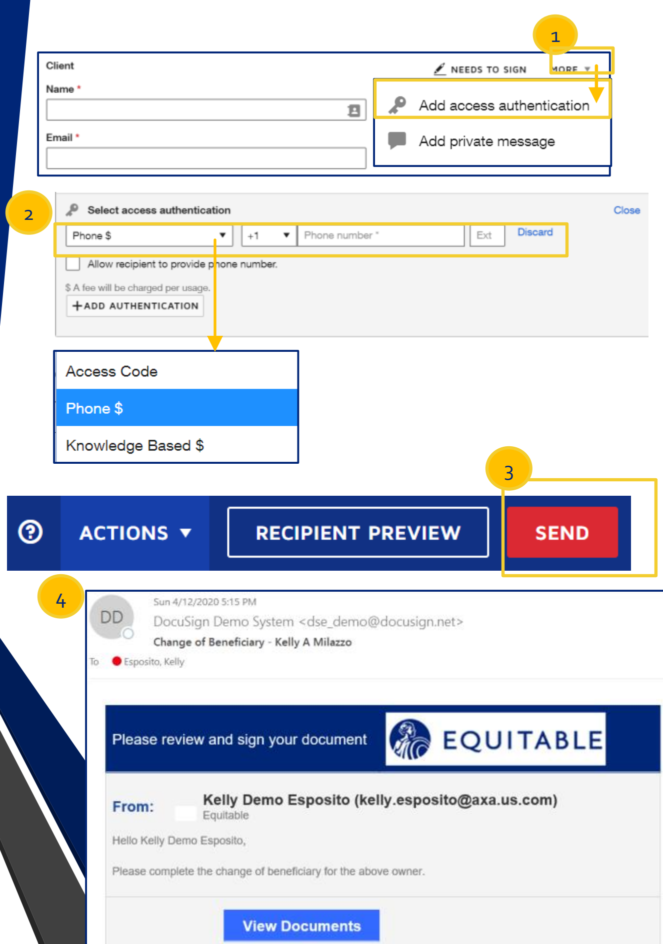
Access Authentication

DocuSign

When sending any documents to a client through this DocuSign Account, an extra layer of security must be added. This process is mandated by the Equitable Fraud Department. The Financial Professional (FP) or the FP's assistant will add the Access Authentication and enter the client's known telephone number. On the DocuSign Screen, there is a note that indicates "$ A fee will be charged per usage", however no additional fee will be charged for using this service.

Steps to add "Access Authentication"

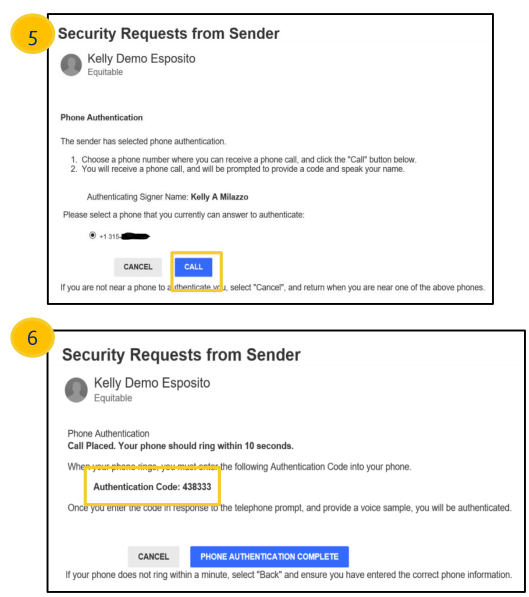
1. Log into DocuSign > **NEW** > "**Use a Template**" or "**Send an Envelope**" > Add Recipient's names and email addresses > Next to the client's name – click the dropdown next to "**MORE**" > "**Add access authentication**".
2. Select "**Phone $**" under Send access authentication and add the client's known telephone number.
3. Once all recipient information and email information is completed, click "**SEND**".
4. The client receives the email from DocuSign and clicks on "**View Document**".
5. The client will receive a pop up message and click "**CALL**".
6. The client will receive this second pop up with an automated 6-digit Authentication Code and the client's telephone will ring within 10 seconds. The client will answer and speak or type in the **6-digit code**, provide their name and the phone authentication will be complete.



See video in #7 – Review the Client's Experience in EAVU: EAVU > Course Catalog > Practice Management > Technology for Financial Professionals > DocuSign Training

Or – Click on the link below to access the video in SharePoint:

[Review the Client's Experience]



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Protection Solutions – Life New Business

DocuSign templates available

DocuSign

All Financial Professionals should continue to use the existing STP eApp process via Salesforce and Life eApp to submit Life New Business. This process is already integrated with electronic signature capabilities.

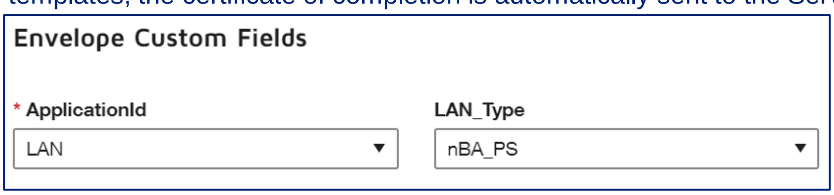
New Business Applications that are available in eApp should not be uploaded directly into DocuSign for signature. All New Business Applications must be completed through the Life eApp Tool.

If there are additional requirements, the Financial Professional can follow the process below.

Use the DocuSign Integrated Templates available. These templates will automatically be sent to Life New Business Service Center for processing. Templates are available for the following type of forms:

- Acknowledgement & Disclosure – EOLI Policy
- Client Replacement Info Authorization Form 10A
- Definition of Replacement Form
- FP Certification
- HIPAA Authorization Form
- Notice & Consent Form
- Notice of Replacement Form
- Sales Material Used Form
- Supplemental Entity Ownership Form
- Supplemental Entity Payee Form
- System-Matic Form (EFT)
- Trusted Contact Person Authorization Form
- W-9

Note: The DocuSign Templates will have an Application ID of "**LAN**" and a LAN_Type of "**nBA_PS**". *Do not change this information as it is required by the Service Center for processing*. For DocuSign templates, the certificate of completion is automatically sent to the Service Center.



Follow the process "**Use A Template – QRC**".

See video in #2 - How to Use a Template in EAVU:
EAVU > Course Catalog > Practice Management > Technology for Financial Professionals > DocuSign Training

Or – Click on the link below to access the video in SharePoint:

How to Use a Template

Protection Solutions – Life New Business

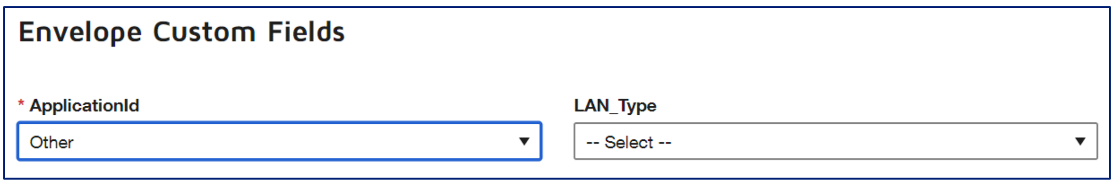
Process to upload forms or illustration into DocuSign

DocuSign

Approved for DocuSign Upload

All other required Life New Business forms or the conforming illustration can be uploaded into this DocuSign Account and sent to the client for his/her signature.

Note: The Application ID must always be "**Other**" and the LAN_Type will remain as "**select**" for documents that are uploaded. This tells the system not to send it to the Service Center. The FP or Assistant will be responsible for uploading the document once complete in NBA.



Once the form or conforming illustration is completed, it is the responsibility of the Financial Professional to send the PDF copy of the completed document along with the certificate of completion to the Service Center for processing. Without the proper certificate of completion attached, the service center will not process the document. There are two ways to get these documents to Life New Business for processing: (1) upload the documents into Life NBA by following the directions in **FB18-181** – Website Enhancements for New Business Activities and Business Tracker Websites or (2) email the documents to DMC_Underwriting_Reqts@equitable.com.

Follow the process "**How to upload an Illustration & Send an Envelope – New Business - QRC**".

See video in #3 – How to upload an Illustration & Send an Envelope in EAVU:
EAVU > Course Catalog > Practice Management > Technology for Financial Professionals > DocuSign Training

Or – Click on the link below to access the video in SharePoint:

How to upload an Illustration & Send an Envelope

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Protection Solutions – Life Inforce Business

DocuSign templates available

DocuSign

All Financial Professionals and their assistants will have access to the following DocuSign Life Inforce Templates:

- Beneficiary Change Form – Cat# 137177
- Broker Transfer Authorization Form – X03837_BTA
- Non-Financial Change – 049548E
- One-Time Transfer Change of Allocations – Cat# 114771
- Ownership Change – Cat# 137178
- Systematic Payment Plan – 060739E

The DocuSign Templates will have an Application ID of "**LAN**" and a LAN_Type of "**Inforce_PS**". *Do not change this information as it is required by the Service Center for processing*. For DocuSign templates, the certificate of completion is automatically sent to the Service Center.

Do not complete these documents and upload your own into DocuSign. This action will cause the document to fail and the Service Center will reject the document.

An email with the document **will not** be accepted.

All documents received prior to 4:00pm ET will be indexed and sent to the Service Center for processing with the effective date for that business day if in good order. All documents received after 4:00pm ET will be indexed and sent to the Service Center the next business day.

The Financial Professional will be contacted by email, if any document received is not in good order.

Follow the process "**Use A Template – QRC**".

See video in #2 - How to Use a Template in EAVU:
EAVU > Course Catalog > Practice Management > Technology for Financial Professionals > DocuSign Training

Or – Click on the link below to access the video in SharePoint:

How to Use a Template

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Group Retirement Inforce & New Business

DocuSign templates available

DocuSign

All Financial Professionals and their assistants will have access to the following DocuSign Group Retirement Inforce and New Business Templates:

Inforce

- Equivest Request for Change of Beneficiary – Cat# 125279
- Equivest - Dollar Cost Averaging – Cat# 126209
- Equivest - Direct Deposit Election and Change Form – Cat# 126917
- Equivest Non-Financial Change – Cat# 126201
- Equivest One-Time Transfer Change of Allocations Asset Rebalancing – Cat# 133704
- Equivest - Transaction Acknowledgement Form (TAF)
- Equivest - Request for Internal Rollover from TSA to TSA Form – Cat# 153852
- Equivest Annuity - Limited Transfer Authorization Form – Cat# 146335

New Business

- Supplemental Beneficiary Form - AXA Equitable New Business App – Cat# 150564
- Equivest - eDelivery Election Form – Cat# 156310
- Equivest Replacement Acknowledgement Form
- Equivest - Transaction Acknowledgement Form (TAF) Supplement

New Business Applications should not be uploaded into DocuSign for signature. All New Business Applications must be completed through the Annuity eApp Tool, any applications received through DocuSign directly will not be processed.

The DocuSign Templates will have an Application ID of "**LAN**" and a LAN_Type of "**Inforce_GR**" or "**nBA_GR**". ***Do not change*** *this information as it is required by the Service Center for processing*. For DocuSign templates, the certificate of completion is automatically sent to the Service Center.

Do not complete these documents and upload your own into DocuSign. This action will cause the document to fail and the Service Center will reject the document.

An email with the document **will not** be accepted.

The **only** document for Group Retirement that can be uploaded for the client's signature is the Salary Reduction Agreements (SRA), however it will be the responsibility of the Financial Professional to (1) verify that the Third Party Administrator (TPA) will accept the eSignature and (2) submit the SRA to the appropriate TPA for processing.

All documents received prior to 4:00pm ET will be indexed and sent to the Service Center for processing with the effective date for that business day if in good order. All documents received after 4:00pm ET will be indexed and sent to the Service Center the next business day.

The Financial Professional will be contacted by email, if any document received is not in good order.

Follow the process "**Use A Template – QRC**".

See video in #2 - How to Use a Template in EAVU:
EAVU > Course Catalog > Practice Management > Technology for Financial Professionals > DocuSign Training

Or – Click on the link below to access the video in SharePoint:

How to Use a Template

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Individual Retirement Inforce & New Business

DocuSign templates available

DocuSign

All Financial Professionals and their assistants will have access to the following DocuSign Individual Retirement Inforce and New Business Templates:

Inforce

- Retirement Cornerstone SCS Investment Edge - Direct Deposit – Cat# 146196
- Accumulator Non-Financial Change – Cat# 130037
- Retirement Cornerstone Non-Financial Change – Cat# 143999
- Accumulator One-Time Transfer Change of Allocations – Cat# 133588
- Individual Retirement Replacement Acknowledgement Form
- IR Annuity - Limited Transfer Authorization Form – Cat# 146335

New Business

- ACORD - 1035 Exchange Rollover and Transfer Form
  - (For LPL Transfers Only)

New Business Applications should not be uploaded into DocuSign for signature. All New Business Applications must be completed through the Annuity eApp Tool, any applications received through DocuSign directly will not be processed.

The DocuSign Templates will have an Application ID of "**LAN**" and a LAN_Type of "**Inforce_IR**". *Do not change this information as it is required by the Service Center for processing*. For DocuSign templates, the certificate of completion is automatically sent to the Service Center.

Do not complete these documents and upload your own into DocuSign. This action will cause the document to fail and the Service Center will reject the document.

An email with the document **will not** be accepted.

All documents received prior to 4:00pm ET will be indexed and sent to the Service Center for processing with the effective date for that business day if in good order. All documents received after 4:00pm ET will be indexed and sent to the Service Center the next business day.

The Financial Professional will be contacted by email, if any document received is not in good order. Follow the process "**Use A Template – QRC**".

See video in #2 - How to Use a Template in EAVU:
EAVU > Course Catalog > Practice Management > Technology for Financial Professionals > DocuSign Training

Or – Click on the link below to access the video in SharePoint:

How to Use a Template

Additional Templates Available

DocuSign

Additional Templates that are not integrated

The following templates are not integrated which means they have an Application Id of "**Other**" and the documents are not sent to the Service Center. It is the Financial Professionals responsibility to send these documents to the appropriate area if applicable.

- Authorization to Share ATS
- AXA Morningstar Standard Risk Tolerance Questionnaire
- Client Profile
- Life Insurance Illustration Certification

The Financial Professional will be contacted by email, if any document received is not in good order. Follow the process "**Use A Template – QRC**".

See video in #2 - How to Use a Template in EAVU:
EAVU > Course Catalog > Practice Management > Technology for Financial Professionals > DocuSign Training

Or – Click on the link below to access the video in SharePoint:

How to Use a Template

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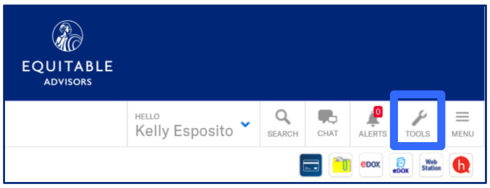
Use a Template – QRC

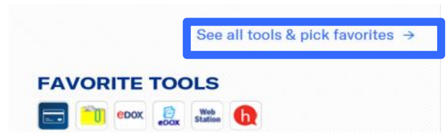
DocuSign

1

Log into Equitable.com

- Click on “**Tools**”.
- Click on “**See all tools & pick favorites**”.
- Scroll down to “**D**” and drag “**DocuSign**” to your favorites.
- Launch “**DocuSign”**

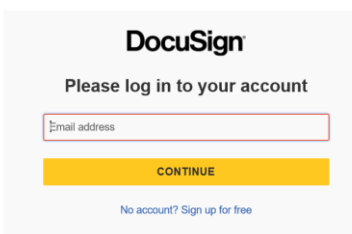


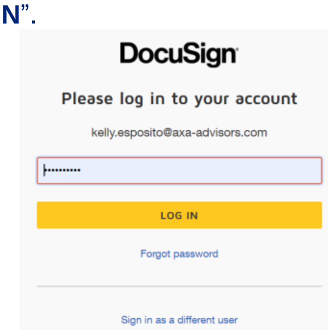


2

Log into DocuSign

- Enter your Equitable.com email (If you have a DBA email, that email will be used.)
- Click “**CONTINUE**”.
- Type in your password, click “**LOG IN**”.



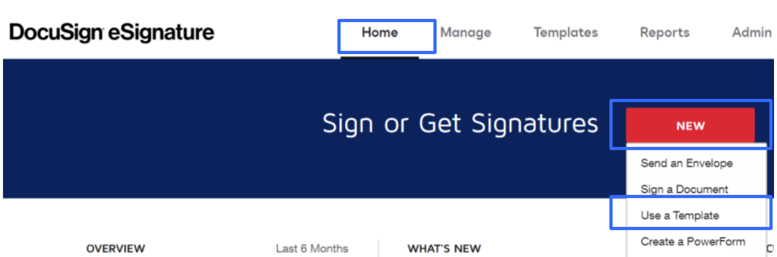


Note: If you forgot your password and are unable to reset your password prior to the SSO implementation, please email Daniel.Zubrowski@equitable.com.

3

From the DocuSign Home Page

- Click “**NEW**”.
- Click “**Use a Template**”.



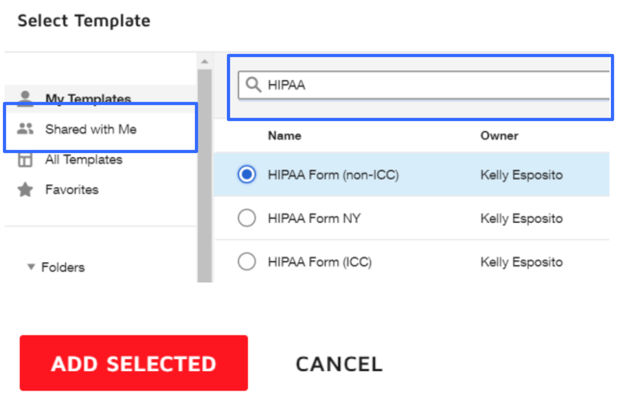
Use a Template – QRC

DocuSign

4

Click on “Shared with Me”

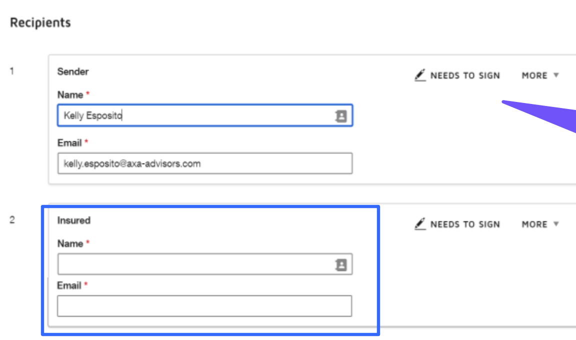
- Type in the name or part of the name of the template in the search window – hit the “**enter key**” on your computer.
- Click **“ADD SELECTED”** on the bottom left.



5

The role for each recipient will be displayed.

- As the **sender**, your name and email will automatically populate. Add the name and email of each recipient (The role could be an Insured, Owner, Client, Participant.)

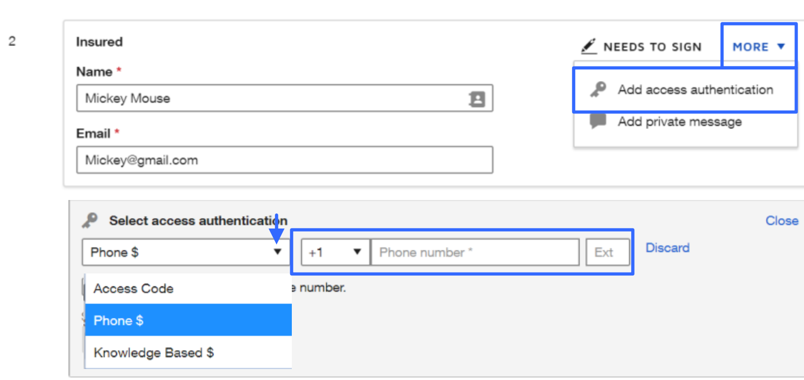


Notice you have an action of “NEED TO SIGN”. Even if you are not signing the document, you have an action to complete the document or part of it.

6

Click the dropdown next to “MORE”.

- Click “**Add access authentication**”.
- Click the dropdown under “**Select access authentication**”.
- Type in the client’s known telephone number.



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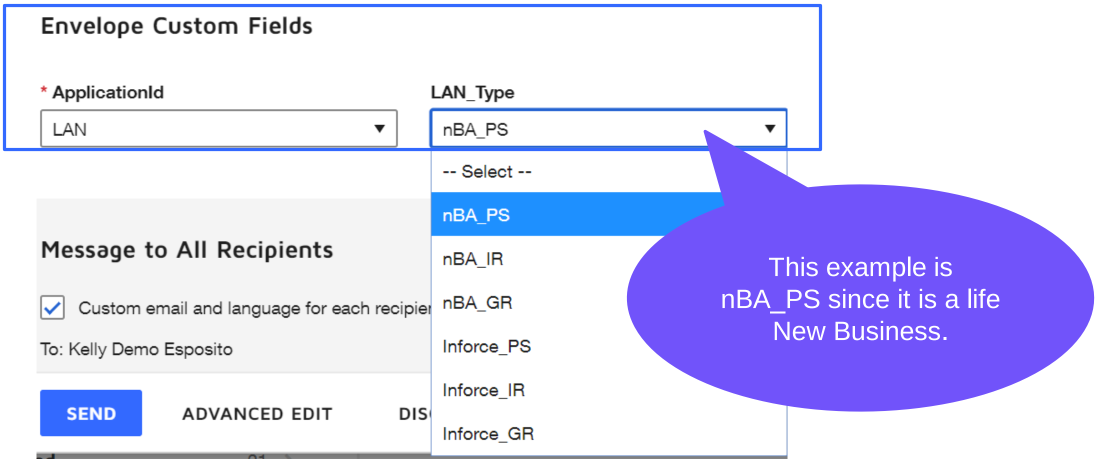
Use a Template – QRC

DocuSign

7

Envelope Custom Fields

- The **ApplicationID** for an integrated template is always “**LAN**”.
- **DO NOT CHANGE THE TEMPLATE ApplicationID of “LAN” or LAN_TYPE.**



Note: These codes tell the system where to send the document. Do not upload your own document and assign the ApplicationID and LAN_Type, it will error. There are other codes within the template that will allow this template to be passed to the Service Centers.

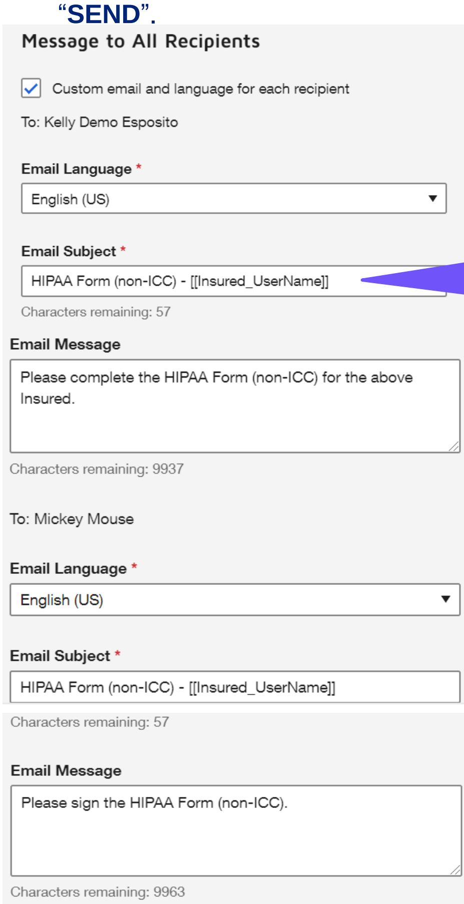
Use a Template – QRC

DocuSign

8

Message to All Recipients

- The email message is in the templates are customized for each recipient. You can add to the email message. Once you are ready to send the document - click "**SEND**".

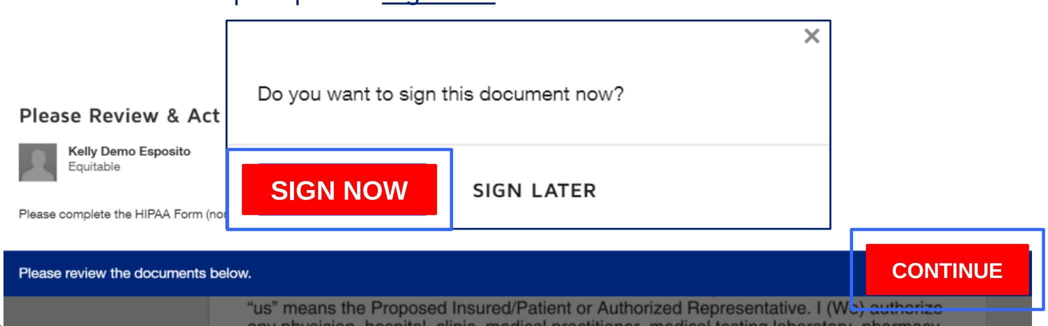


NOTE: In the subject line – the **[[Insured_UserName]]** will populate the Insured's name in the subject.
Do not change the information or delete.

9

Envelope Custom Fields

- The sender will be prompted to Sign Now. Click "**SIGN NOW**". Click "**CONTINUE**".



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Use a Template – QRC

DocuSign

10

Complete the Form

- Complete the form where indicated. Mandatory fields are in red. Optional fields are in gray.
- Once completed, click **“FINISH”.**

- If you are unable to complete the form at this time, click the **“OTHER ACTIONS”** dropdown and select **“Finish Later”.**
  - **To complete the document at a later time**
    - Log into **DocuSign >** Go to **MANGE >** Find the envelope you sent in your **“Inbox”** or **“Sent”** folder **>** Click **“SIGN”** on the right side.

11

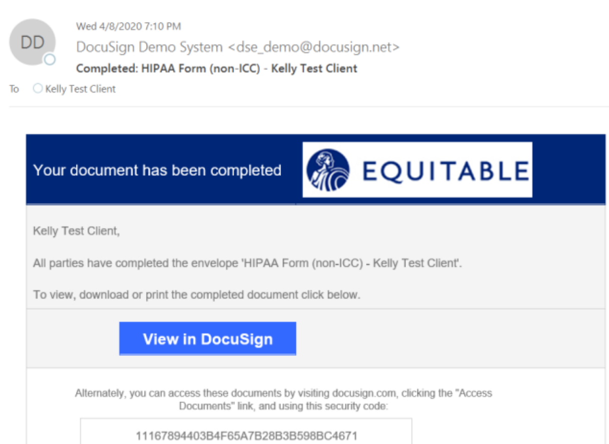
Once completed by the Sender

- The envelope will be sent to all recipients in the specific order and then sent to the Service Center for processing.

- The sender will receive an email when each recipient reviews and signs the document(s).

- When the envelope is complete, all recipients will received an email with the completed document. Click on “View in DocuSign” and download the document to be stored in PaperClip. Or, you can log into DocuSign > Go to “MANAGE” > find the envelope and click document name, then click on the download icon to the right. See # 5 Video on EAVU or click on the link below to access the video in SharePoint.

[How to Download a completed Envelope](#)



How to upload an Illustration & Send an Envelope – New Business – QRC

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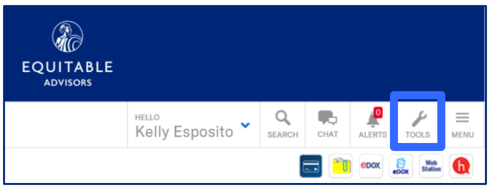
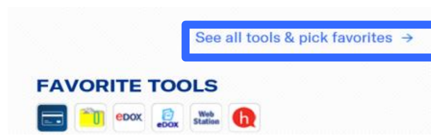
DocuSign

1

Log into Equitable.com

- Click on “**Tools**”.
- Click on “**See all tools & pick favorites**”.
- Scroll down to “**D**” and drag “**DocuSign**” to your favorites.
- Launch “**DocuSign”**

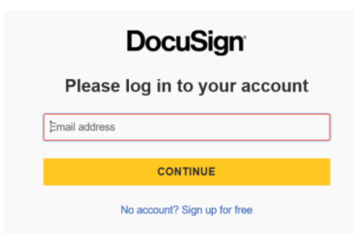


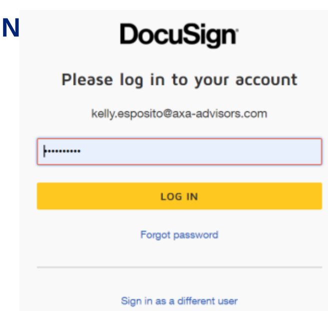


2

Log into DocuSign

- Enter your Equitable.com email (If you have a DBA email, that email will be used.)
- Click “**CONTINUE**”.
- Type in your password, click “**LOG IN**



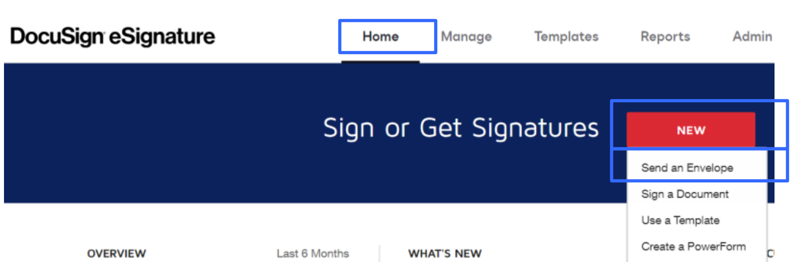


Note: If you forgot your password and are unable to reset your password prior to the SSO implementation, please email Daniel.Zubrowski@equitable.com.

3

From the DocuSign Home Page

- Click “**NEW**”.
- Click “**Send an Envelope**”.



How to upload an Illustration & Send an Envelope – New Business – QRC

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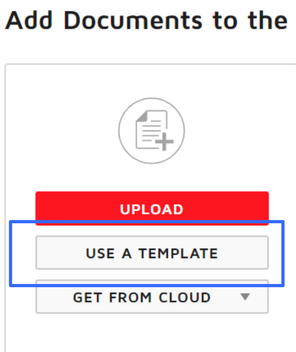
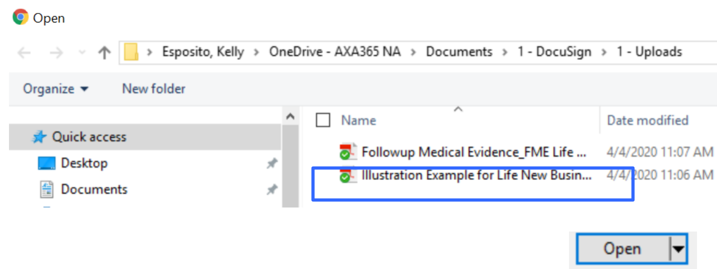
DocuSign

4

Click on “Upload”

- Select the folder where you document is saved.
- Select the illustration or document by double clicking on the document or click “**Open**”.

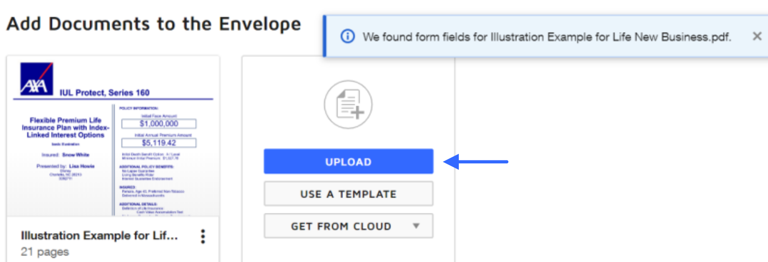




5

If an interactive PDF is uploaded

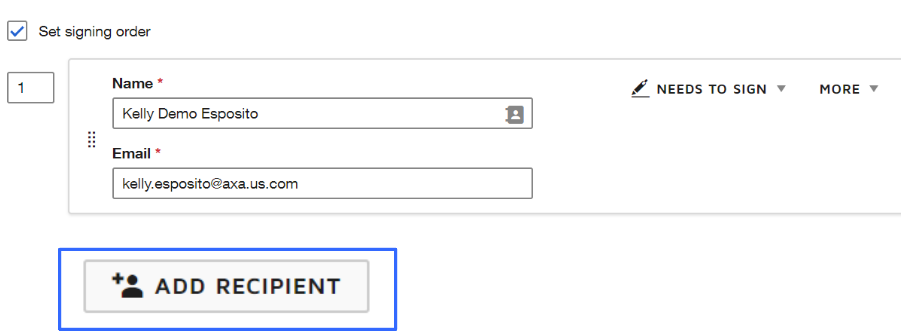
- A pop up will display “**We found form fields for…**”.
- If you would like to add another required form, click “**UPLOAD**” (follow step 4 above).



6

Add yourself as the first recipient

- Check the box in front of “**Set signing order**”.
- Add your name and email address.
- Click “**ADD RECIPIENT**” to add the next recipient.



How to upload an Illustration & Send an Envelope – New Business – QRC

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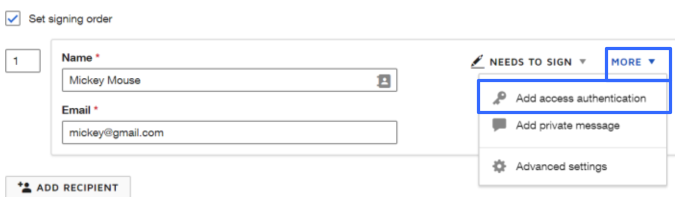
DocuSign

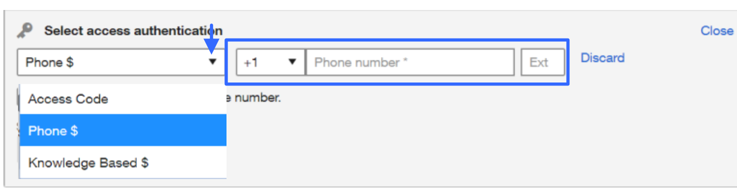
7

Add the 2nd Recipient (Client's name & email address)

- Click the dropdown next to "**MORE**"
- Click "**Add access authentication**".
- Click the dropdown under "**Select access authentication**".
- Add the client's known telephone number.
    - **This is mandated by the Equitable Fraud Department.**



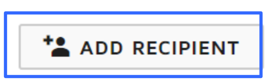
Access Authentication is required for Clients.



8

Add the 3rd Recipient

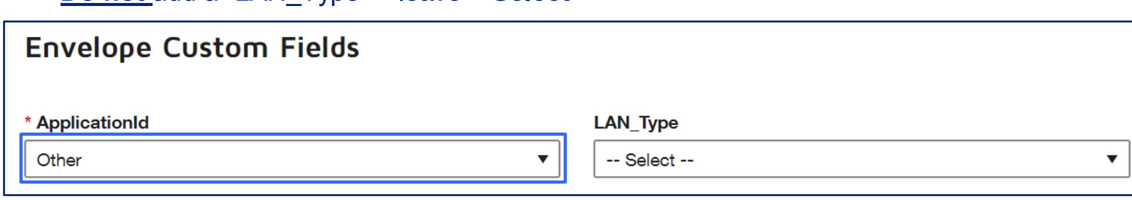
- Click "**ADD RECIPIENT**".
- Add Financial Professionals name and email address.



9

Envelope Custom Fields

- Select the "**ApplicationId**" – "**Other**" - **Must always be "Other" when upload a document.**
- **Do not** add a "LAN_Type" – leave **"-Select-"**



The ApplicationId of "Other" means that the document is not sent to the Service Center. The sender must download the completed documents and certificate of completion to send to Life New Business or upload into NBA.

How to upload an Illustration & Send an Envelope – New Business – QRC

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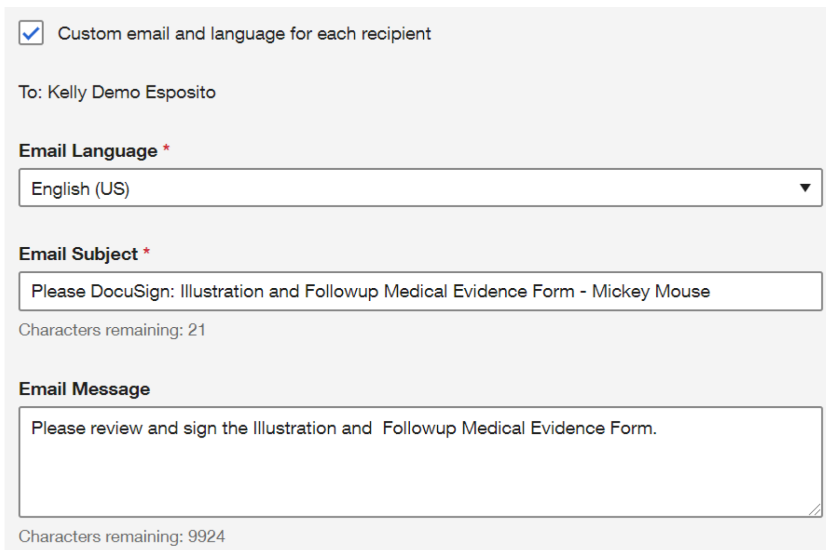
DocuSign

10

Message to All Recipients

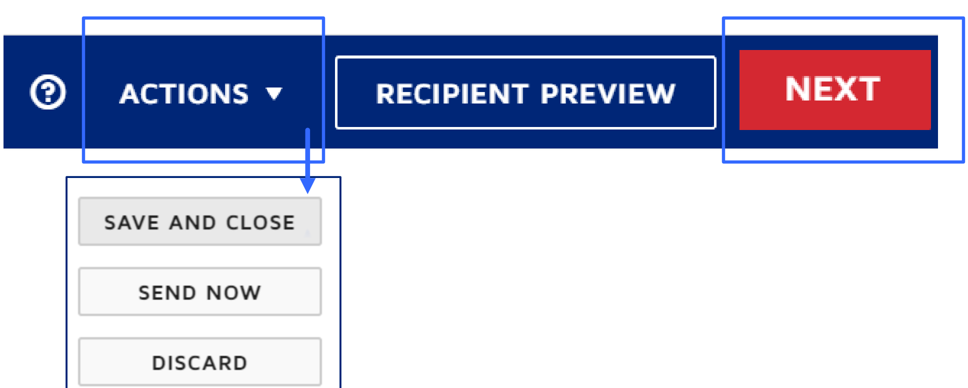
- The name of the illustration and document will be populated automatically in the "**Email Subject**". This information can be update for a better client experience.
  - Best Practice: Add the Client's Name to the Subject Line.
- Type an email message such as: Please review and sign the Illustration and Follow-up Medical Evidence Form.
- If you would like a different email message for each recipient, check box in front of "**Custom email and language for each recipient**".
- Once you are ready to send the document - click "**SEND**".



11

Click "NEXT" to continue the process

- If you would like to save the envelope as a "Draft" and complete the envelop later, click the dropdown next to "**ACTIONS**" and select "**SAVE AND CLOSE**".
- "**RECIPIENT PREVIEW**" can be select to preview the recipient experience, at this point it is not the best time to preview since there are a few additional steps required.



How to upload an Illustration & Send an Envelope – New Business – QRC

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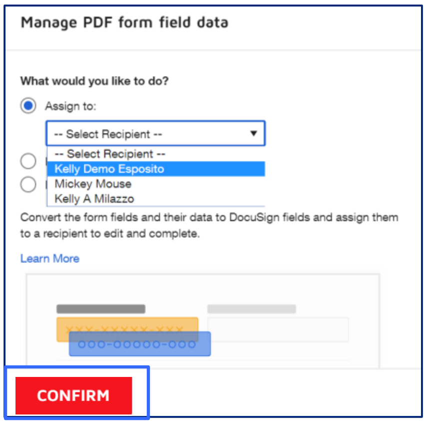
DocuSign

12

Manage PDF form field data

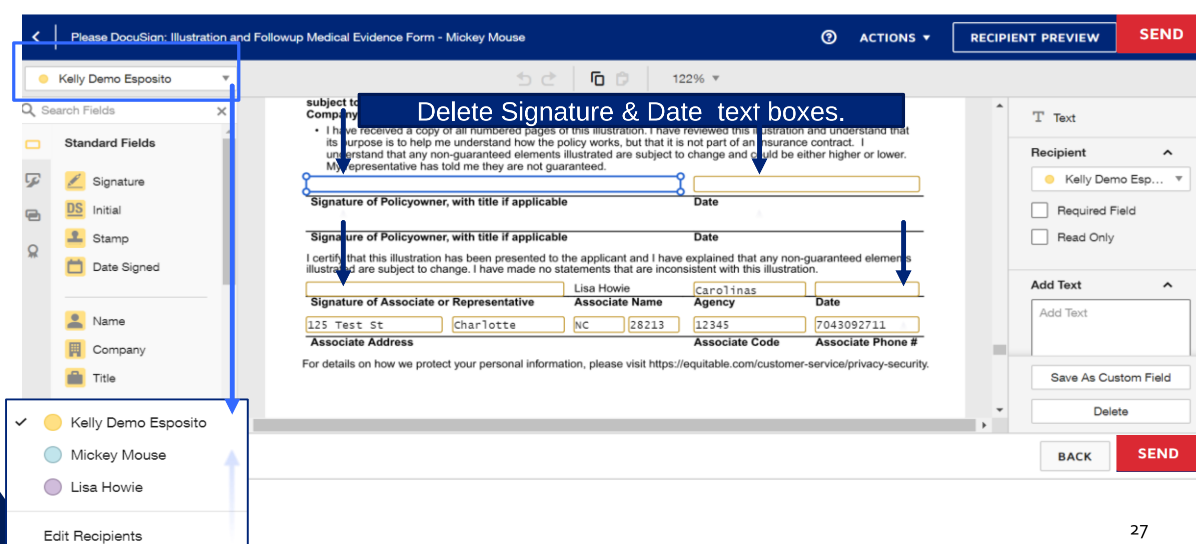
- Since an interactive PDF was uploaded, the fields are picked up and need to be assigned to one of the recipients.
    - That is why, you added yourself as the first recipient, since this will allow you to assign the fields to yourself.
- Select the radio button in front of "**Assign to**:", then, select your name and click "**CONFIRM**".



13

Review all text boxes and other fields on the form and add Signature Fields and Date Signed Fields

- Scroll through the form to review each of the fields.
    - Since the PDF had a text box for the Signature field and date field, these fields must be deleted.
- Click on the field and hit "**delete**" on your keyboard.
- On the left side the names will be listed and color coded. Click the dropdown to see each recipient and click the name to select that recipient.



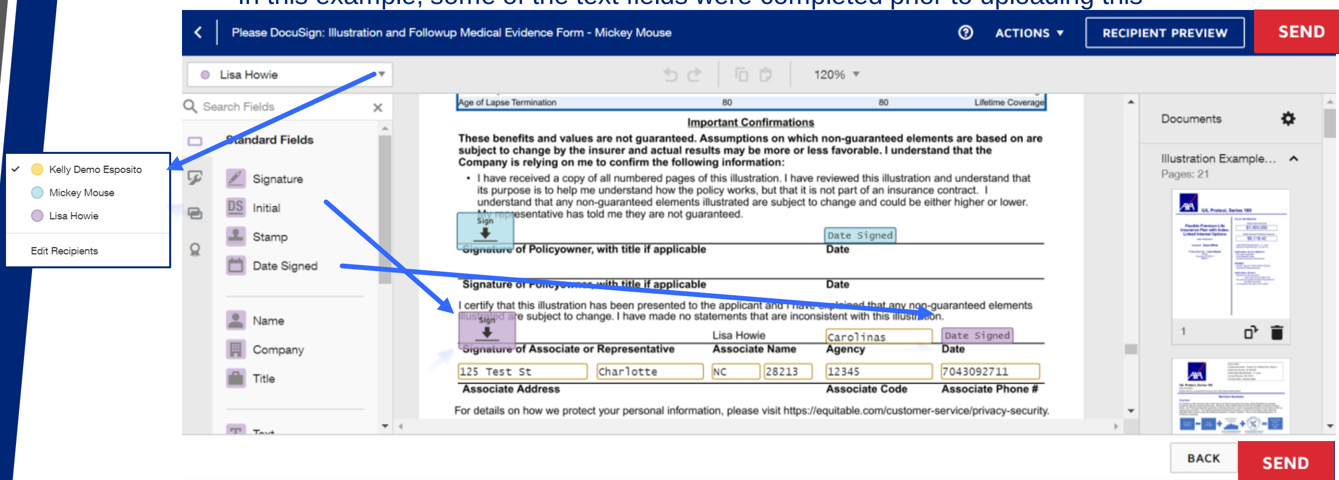
How to upload an Illustration & Send an Envelope – New Business – QRC

DocuSign

14

Add Signatures and Date Signed fields to the documents

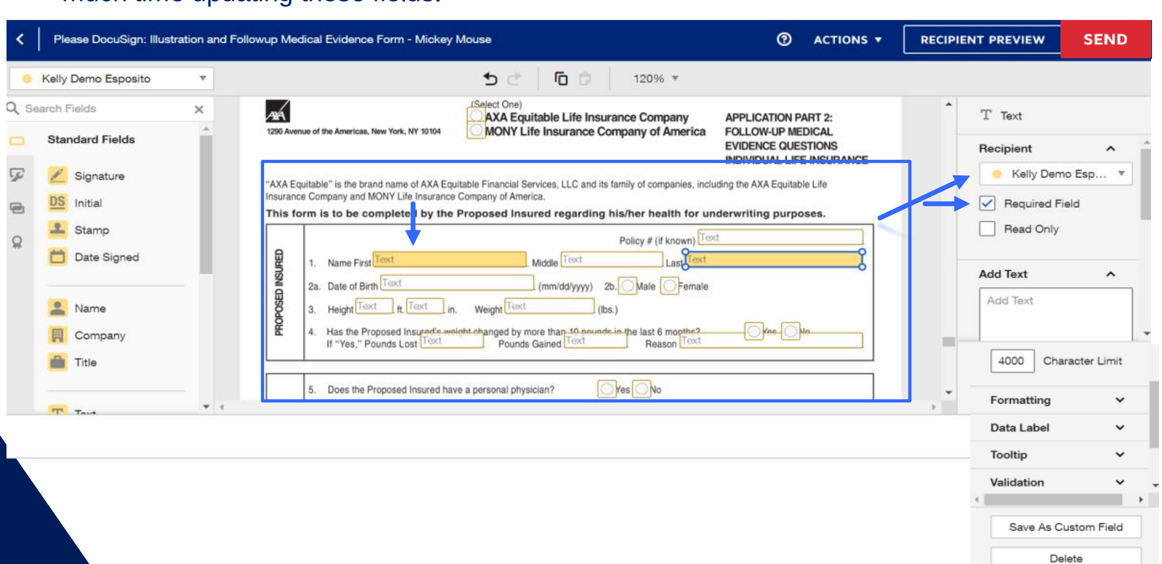
- Select each recipient that must sign the document.
- Under the "**Standard Fields**" > Drag and drop each "**Signature**" and "**Date Signed**" fields.
- Be sure the correct color is added to the correct signature line on the document.
- In this example, some of the text fields were completed prior to uploading this



15

Review all text boxes

- All text boxes are assigned to you and are in yellow. You can select and assign the text box to one of the other recipients.
- To make the field mandatory, select the text box and click on "**Required Field**".
- Additional fields to the right:
  - Character Limit – The maximum for any text field is 4000.
  - Formatting – The formatting of the text can be changed.
  - Data Label – This field is automatically labeled. This can be changed.
  - Tooltip – Type in the name that you would like the recipient to see.
  - Validations – The default is "None". Standard options are: SSN, Email, Numbers, Letters, Date, Zip+4 and Zip.
- **Note**: Since you are coming the text fields as the first Recipient, no need to spend too much time updating these fields.



How to upload an Illustration & Send an Envelope – New Business – QRC

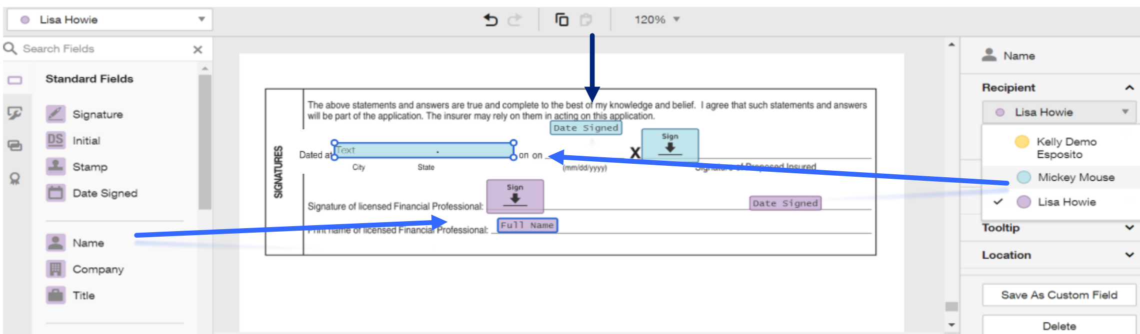
DocuSign

16

Add additional fields

- Drag the “**Signatures**”, “**Date Signed**”, “**Full Name**”.
- Reassign the “**City, State**” field to the Client and make the field a “**Required Field**” by check the box as indicate above.
- Click “**SEND**”.

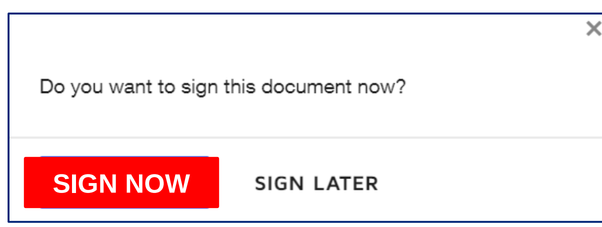
Be sure to allow space for the date stamp. The date stamp includes the hours, minutes and seconds. Moving the date will prevent the date from covering or stamping over the signature.

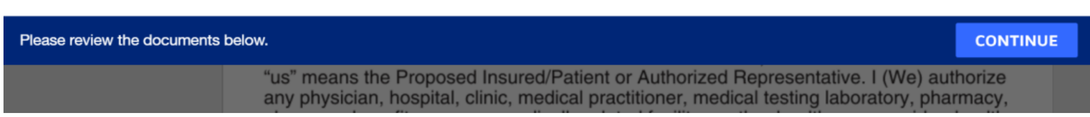


17

Envelope Custom Fields

- The sender will be prompted to Sign Now. Click “**SIGN NOW**”. Click “**CONTINUE**”.
- Click “START” and complete all the appropriate fields.
- Then, click “**FINISH**”.
  - The envelope will be sent to the client.





TOC

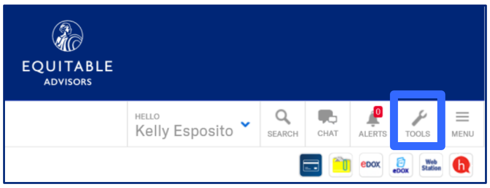
How to Resend an Envelope – QRC

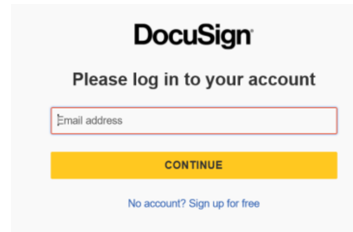
DocuSign

1

Log into Equitable.com

- Click on “**Tools**” > Click on “**See all tools & pick favorites**” > Scroll down to “**D**” and drag “**DocuSign**” to your favorites. Launch “**DocuSign” > Log into DocuSign >** Enter your Equitable.com email (If you have a DBA email, that email will be used.) > Click “**CONTINUE**” > Type in your password, click “**LOG IN**”.

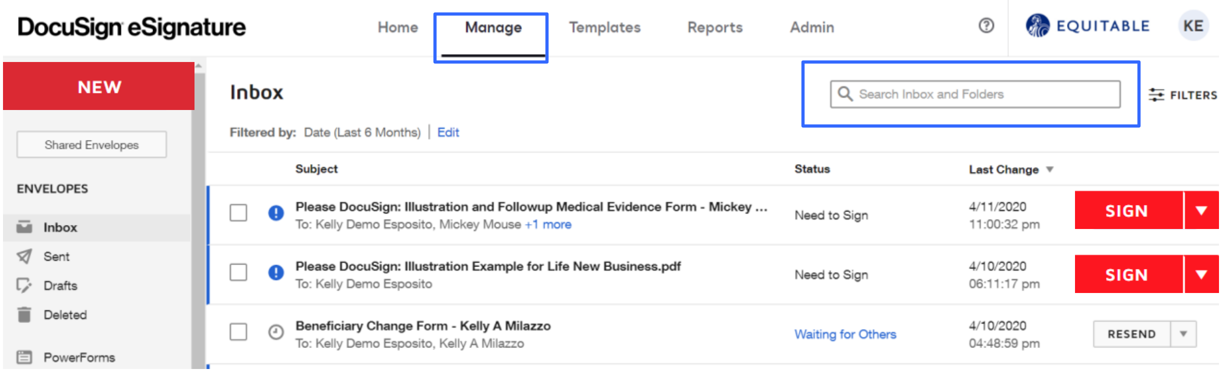




2

Go to “Manage”

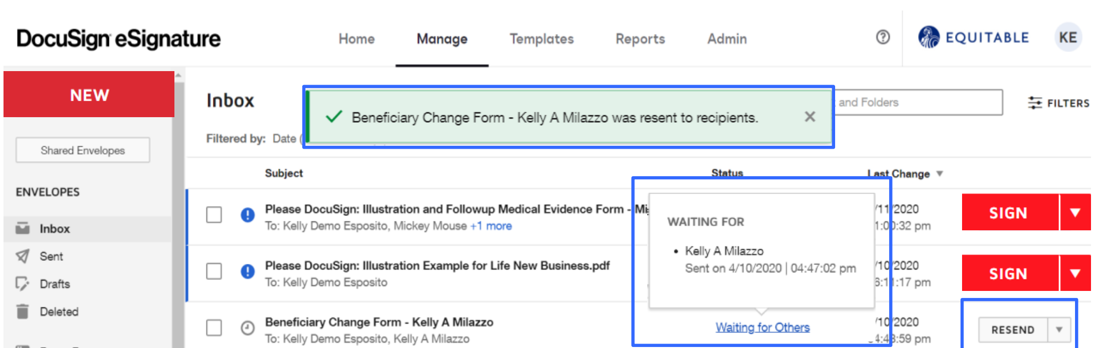
- Search for the envelope the “**Inbox**” or “**Send**” box.
- Type the name of the client or the name of the document in the “**Search Inbox and Folders**” search box.



3

Once the envelope has been found

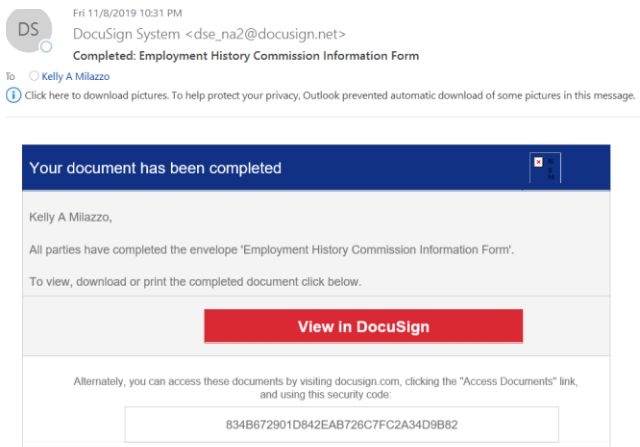
- Hover over the “Waiting for Others” to see the name of the recipient.
- Click “**RESEND**”.
- A message will display to confirm the envelope has been sent to the recipient.



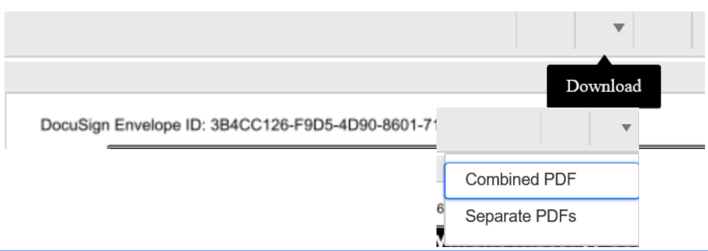
Download a document from the email notification

DocuSign

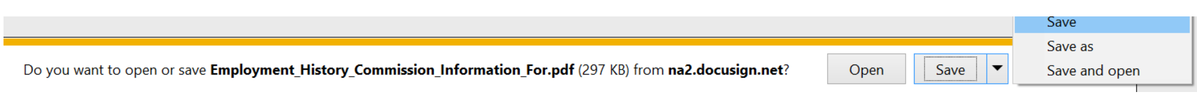
1 The completed email is received from DocuSign. Click on the “**View in DocuSign**” link in the completed email.



2 Click the down arrow on the top of the document and select “**Combined PDF**” and save the document. If “Separate PDFs” is selected, you will see a zip file with the document along with the certificate of completion.



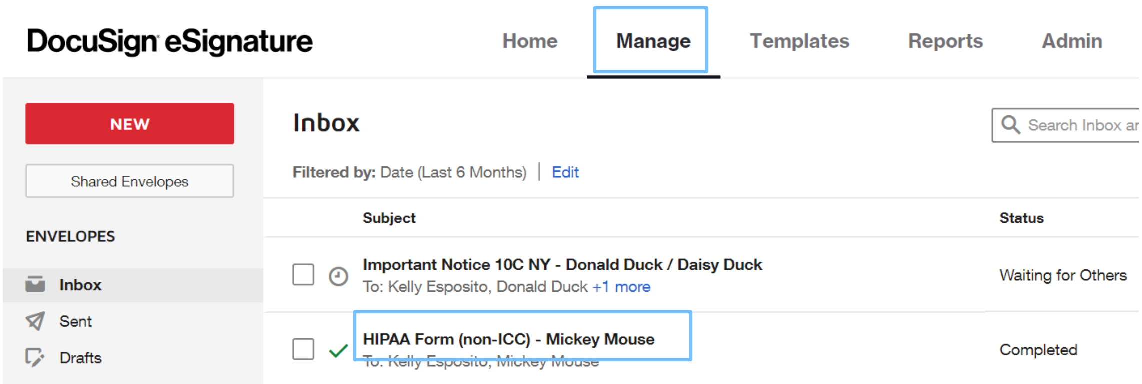
3 Select “Save as” and save the pdf copy to your one drive or save a copy in PaperClip in the client’s file.



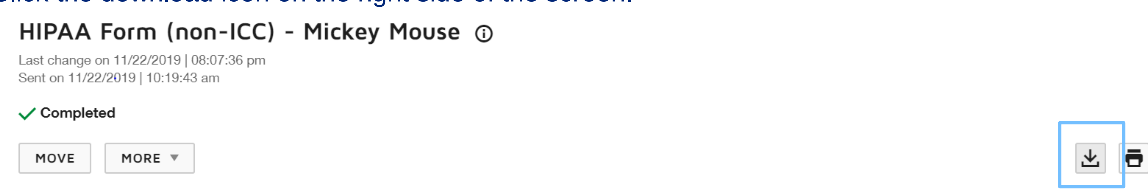
Download a document from DocuSign

DocuSign

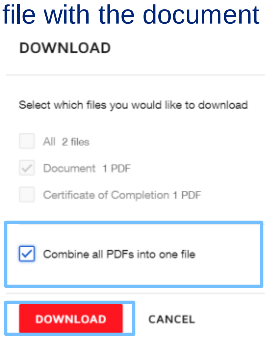
1 Go to DocuSign.com and log in with your email address and password. Go to “**MANAGE**” and click on the document name in the subject column with the “**Completed**” status that you would like to download.



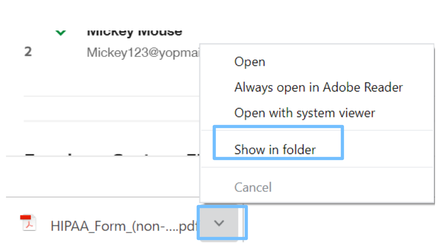
2 Click the download icon on the right side of the screen.

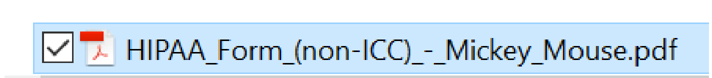


3 Select “**Combined PDF**” and click “**DOWNLOAD**”. If “Separate PDFs” is selected, you will see a zip file with the document along with the certificate of completion.



4 The download will appear on the bottom left of your screen. Click the arrow and select “**Show in folder**”. At this point, you can right click and copy and paste into your one drive or drag and drop it into PaperClip in the client’s file. Or, open – click print and save as a PDF.





TOC

How to Use Share Envelopes – QRC

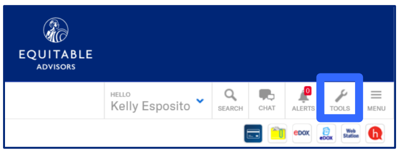
DocuSign

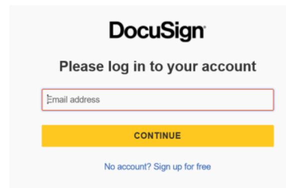
Shared Envelopes – Allows one or more users to share envelopes.

1

Log into Equitable.com

- Click on "**Tools**" > Click on "**See all tools & pick favorites**" > Scroll down to "**D**" and drag "**DocuSign**" to your favorites. Launch "**DocuSign" > Log into DocuSign >** Enter your Equitable.com email (If you have a DBA email, that email will be used.) > Click "**CONTINUE**" > Type in your password, click "**LOG IN**".

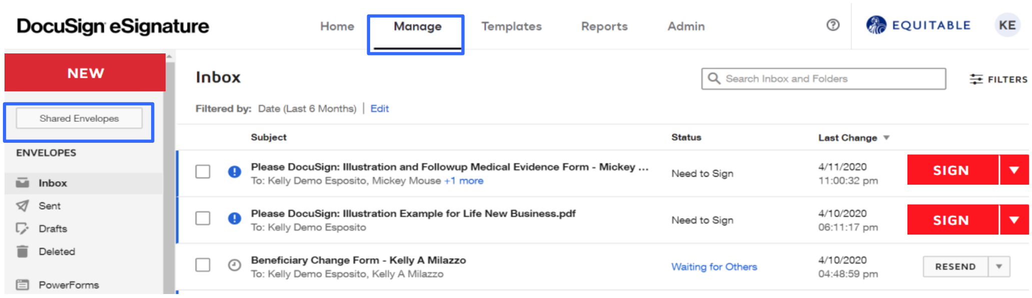




2

Go to "Manage"

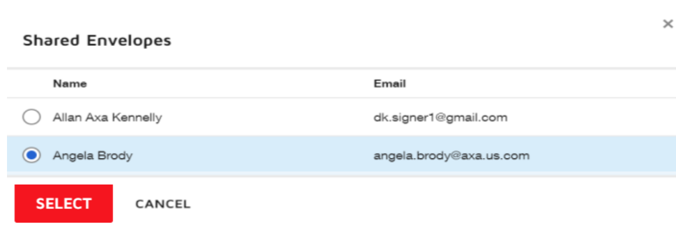
- Click on "Shared Envelopes".



3

Click the radio button in front of the name

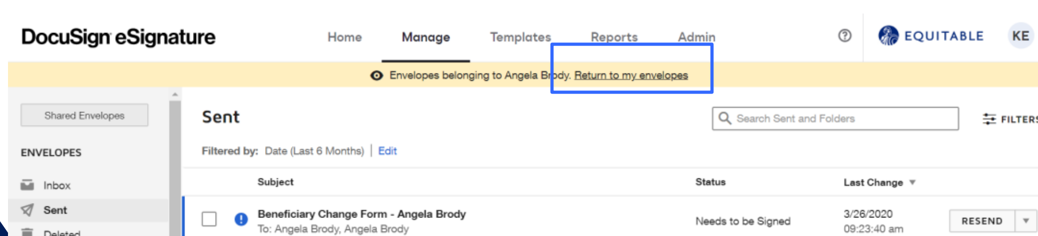
- Click "**SELECT**".



4

In the "Manage" section of another user

- The menu bar will display "Envelopes belonging to... Return to my envelopes.
- To go back to your "Manage" section, click "**Return to my envelopes**".
- You can take the following actions: resend, correct, void or transfer ownership of an envelope.
  - You cannot create a new envelope or use a template.



TOC

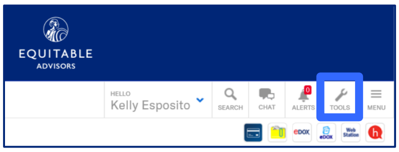
Use a Template with Advanced Edit – QRC

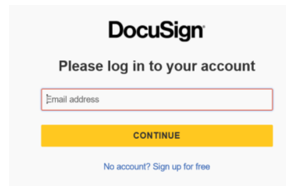
DocuSign

1

Log into Equitable.com

- Click on “**Tools**” > Click on “**See all tools & pick favorites**” > Scroll down to “**D**” and drag “**DocuSign**” to your favorites. Launch “**DocuSign” > Log into DocuSign >** Enter your Equitable.com email (If you have a DBA email, that email will be used.) > Click “**CONTINUE**” > Type in your password, click “**LOG IN**”.

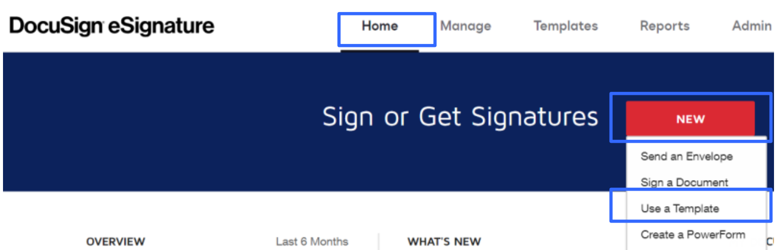




2

From the DocuSign Home Page

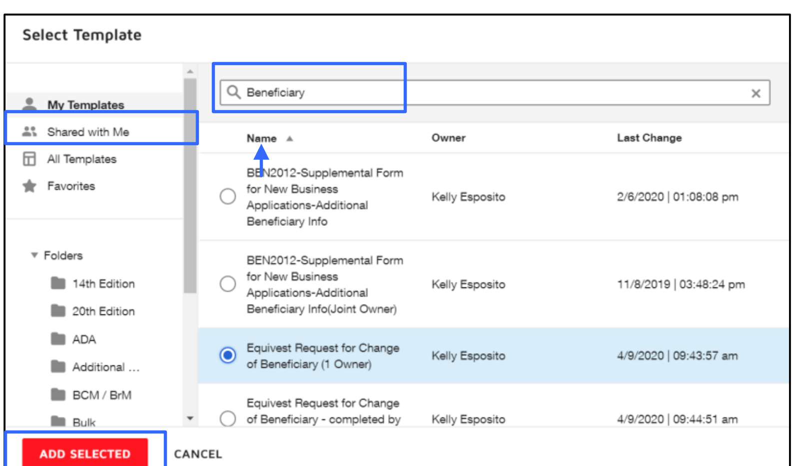
- Click “**NEW**”.
- Click “**Use a Template**”.



3

Click on “Shared with Me”

- Type in the name or part of the name of the template in the search window – hit the “**enter key**” on your computer.
- Click on the column header “**Name**” to sort by the name.
- Click the radio button in front of the template, click **“ADD SELECTED”** on the bottom left.



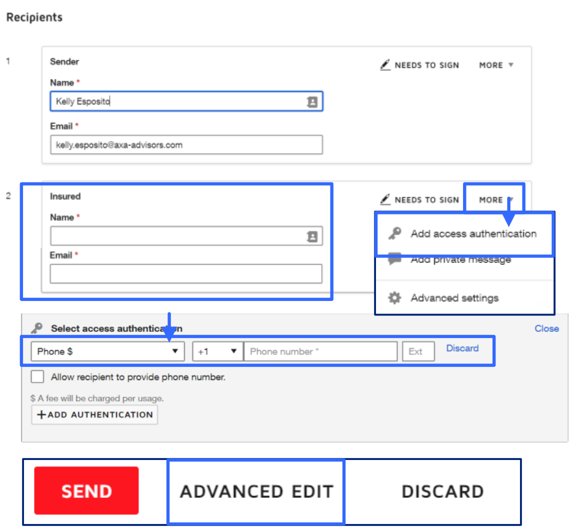
Use a Template with Advanced Edit – QRC

DocuSign

4

The role for each recipient will be displayed.

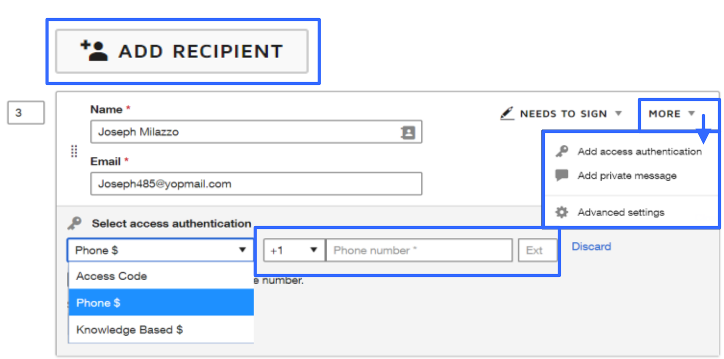
- As the **sender**, your name and email will automatically populate.
- Add the name and email of each recipient (The role could be an Insured, Owner, Client, Participant.)
- Click “**ADVANCED EDIT**”.
- Click the dropdown next to **“MORE”.**
- Click “**Add access authentication**”.
- Click the dropdown under Select access authentication, select “**Phone $**”.
- Type in the client’s known telephone number.



5

If another recipient should be added

- Click “**ADD RECIPIENT**”.
- Add the name and email address.
  - In this example, the spouse’s name is being added to sign the Beneficiary Change.
- Click the dropdown next to **“MORE”.**
- Click “**Add access authentication**”.
- Click the dropdown under Select access authentication, select “**Phone $**”.
- Type in the client’s known telephone number.



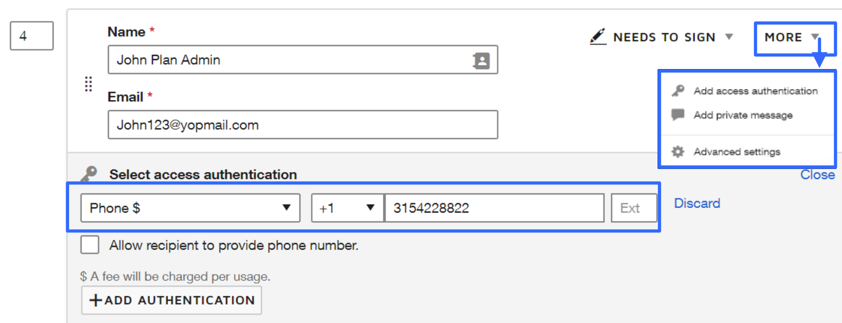
Use a Template with Advanced Edit – QRC

DocuSign

6

If another recipient should be added

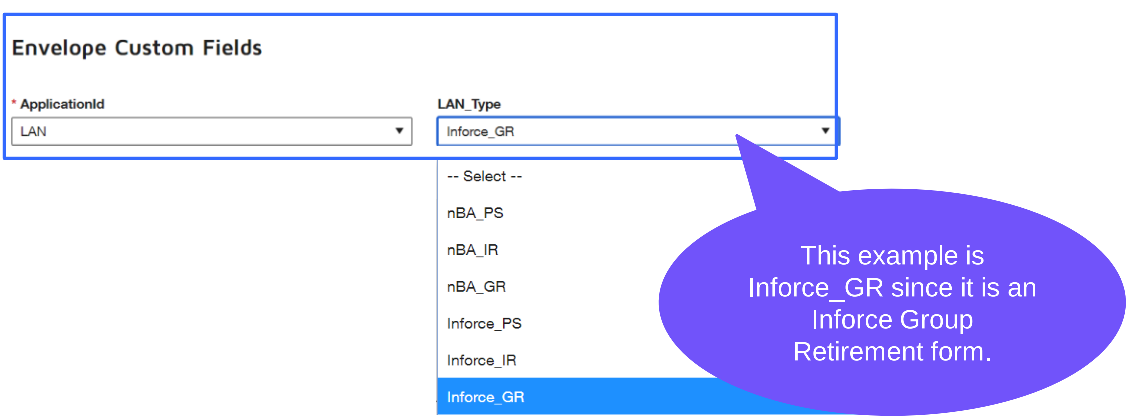
- Click “**ADD RECIPIENT**”.
- Add the name and email address.
    - In this example, the Plan Administrators is also being added.
- Click the dropdown next to **“MORE”.**
- Click “**Add access authentication**”.
- Click the dropdown under Select access authentication, select “**Phone $**”.
- Type in the client’s known telephone number.



7

Envelope Custom Fields

- The **ApplicationID** for an integrated template is always “**LAN**”.
- **DO NOT CHANGE THE TEMPLATE ApplicationID of “LAN” or LAN_TYPE.**



Note: These codes tell the system where to send the document. Do not upload your own document and assign the ApplicationID and LAN_Type, it will error. There are other codes within the template that will allow this template to be passed to the Service Centers.

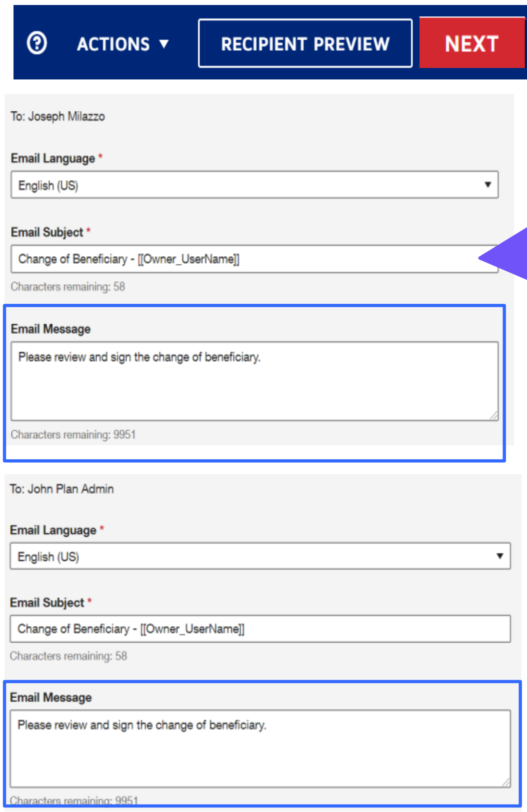
Use a Template with Advanced Edit – QRC

DocuSign

8

Message to All Recipients

- Correct the email message to the additional recipients.
    - The first message is added to the additional recipients and may not be the proper language for that recipient.
- Click "**NEXT**".

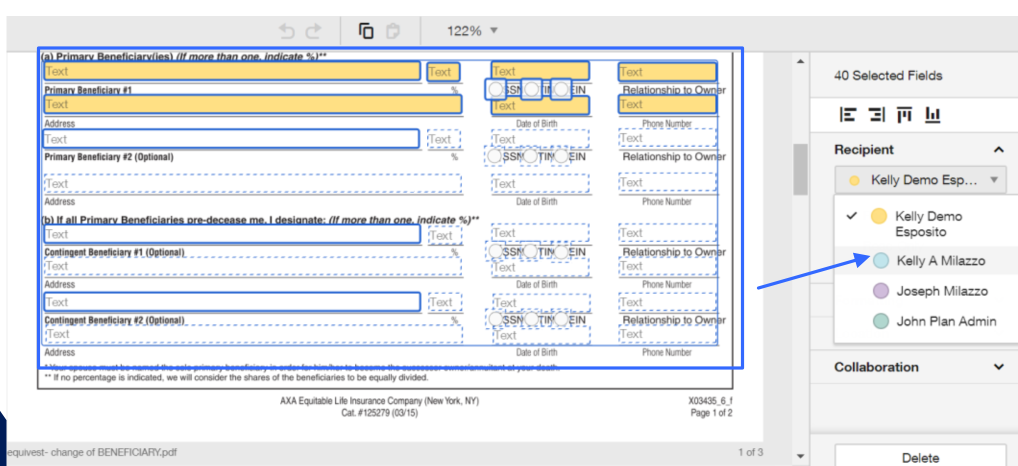


NOTE: In the subject line – the **[[Owner_UserName]]** will populate the Owners's name in the subject. **If an additional name should be added, you can add a dash or slash with the additional name.**

9

Hover over all fields that should be reassigned to another recipient.

- Once selected, click the dropdown under Recipient on the right and select the name.



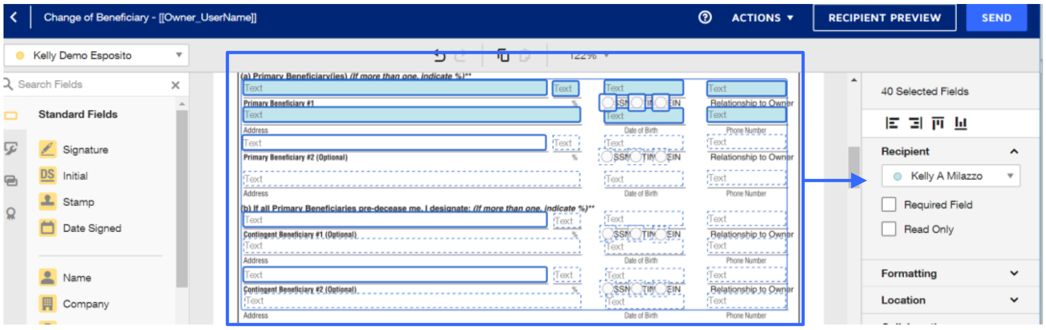
TOC

Use a Template with Advanced Edit – QRC

DocuSign

10

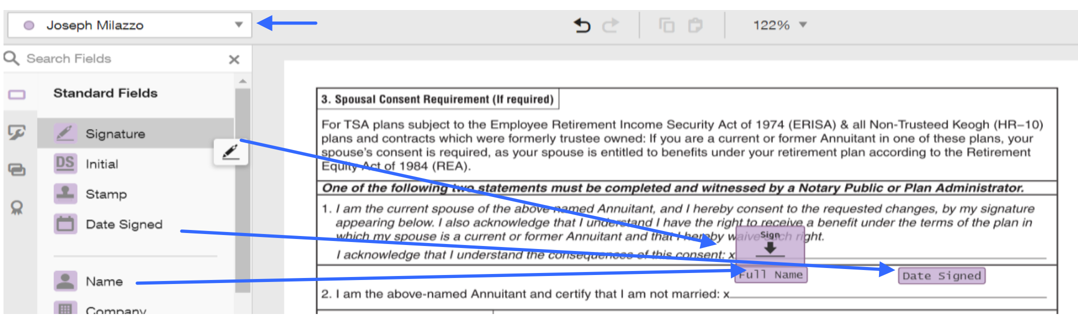
Notice the fields turned “blue” to match the recipient.



11

Click the dropdown on the left

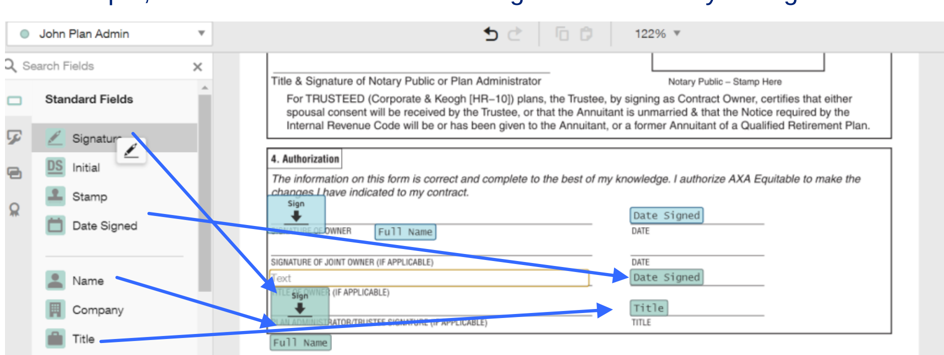
- Select the appropriate recipient’s name and drag and drop the following:
  - **Signature**
  - **Date Signed**
  - **Name**
- In this example, the spouse’s must sign under the Spousal Consent Requirement section of the form.



11

Click the dropdown on the left

- Select the appropriate recipient’s name and drag and drop the following:
  - **Signature**
  - **Date Signed**
  - **Name**
  - **Title**
- In this example, the Plan Administrator must sign the beneficiary change form.



Use a Template with Advanced Edit – QRC

DocuSign

12

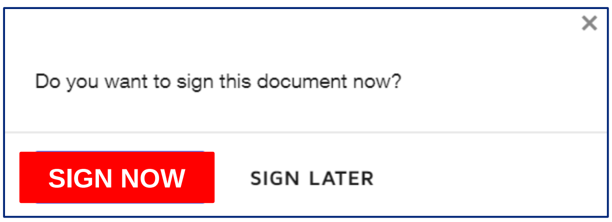
Once all changes are completed

- Click **“SEND”.**

13

A pop up will display “Do you want to sign this document now?”

- An email will be sent to the sender as well.
- Click “**SIGN NOW**” to complete the documents.
    - The sender has an action of completing the document and will not sign the document.



14

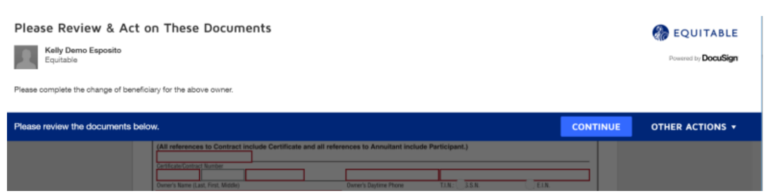
Click “CONTINUE”.

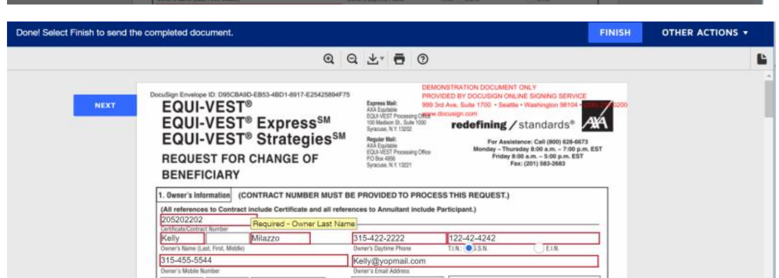
- All mandatory fields are in red and all optional fields are in gray.
- When you hover over the field, a tip will display the field name to be completed.
    - Example: Contract Number, First Name, Last Name, etc.
- Once all fields are accurately completed, click “**FINISH**”.
- The envelope will be sent to all recipients in the specific order and then sent to the Service Center for processing.

- The sender will receive an email when each recipient reviews and signs the document(s).

- When the envelope is complete, all recipients will received an email with the completed document. Click on “View in DocuSign” and download the document to be stored in PaperClip. Or, you can log into DocuSign > Go to “MANAGE” > find the envelope and click document name, then click on the download icon to the right. See # 5 Video on EAVU or click on the link below to access the video in SharePoint.

[How to Download a completed Envelope]





TOC

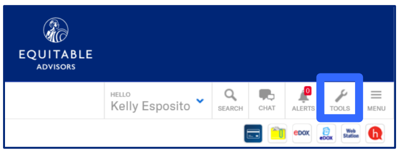
Void an Envelope – QRC

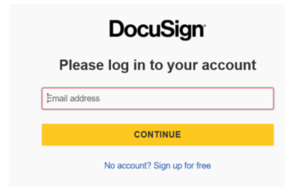
DocuSign

1

Log into Equitable.com

- Click on "**Tools**" > Click on "**See all tools & pick favorites**" > Scroll down to "**D**" and drag "**DocuSign**" to your favorites. Launch "**DocuSign" > Log into DocuSign >** Enter your Equitable.com email (If you have a DBA email, that email will be used.) > Click "**CONTINUE**" > Type in your password, click "**LOG IN**".

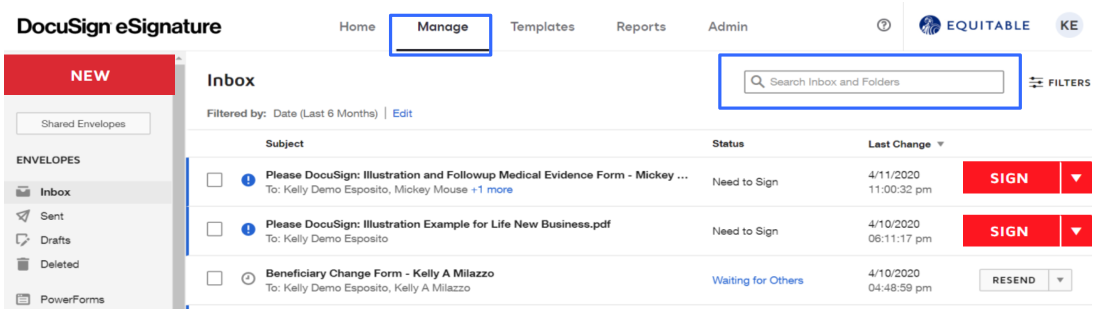




2

Go to "Manage"

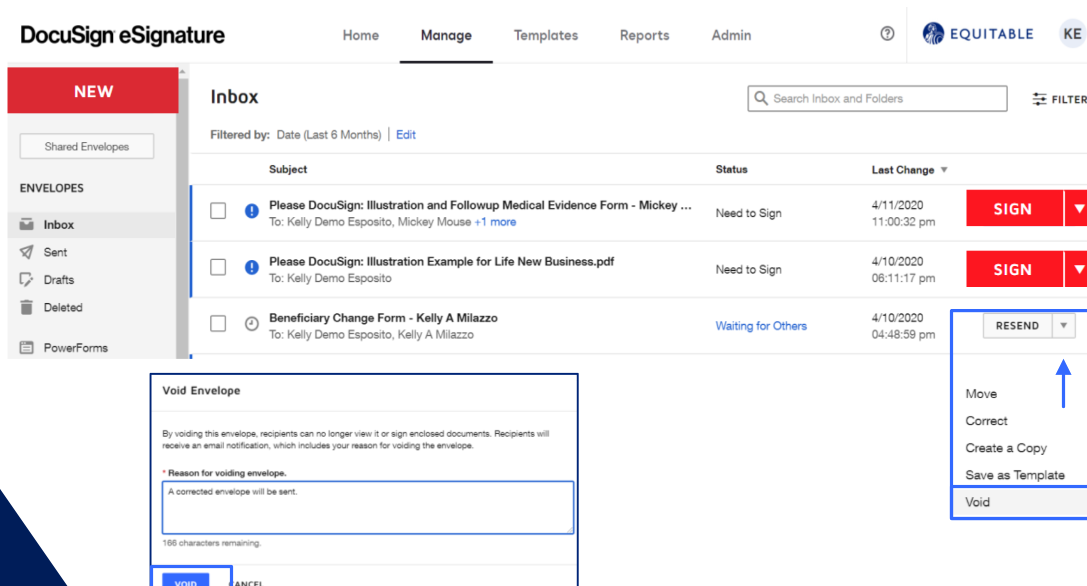
- Search for the envelope the "**Inbox**" or "**Send**" box.
- Type the name of the client or the name of the document in the "**Search Inbox and Folders**" search box.



3

Once the envelope has been found

- Click the dropdown next to the action button on the right.
- Select "**VOID**".
- Type in the reason for voiding the envelope.
- Click "**VOID**".

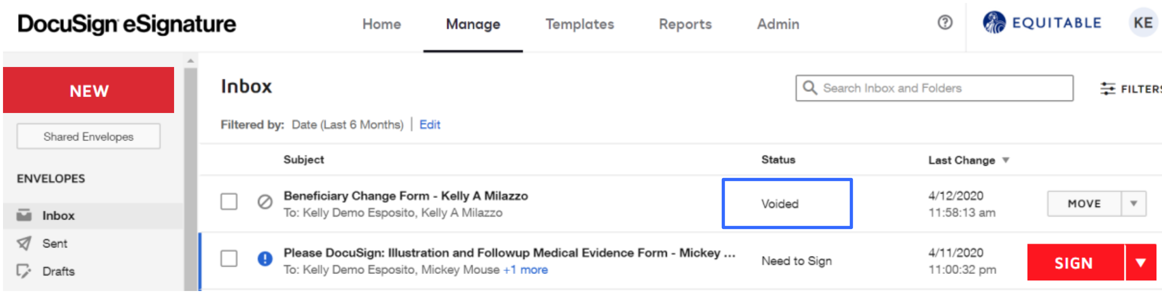


TOC

Void an Envelope – QRC

DocuSign

4
The envelope will be updated
- The status will display “Voided”.



5
An email will be sent to all that received the envelope
- Below is an example of a Voided Email Message.

TOC

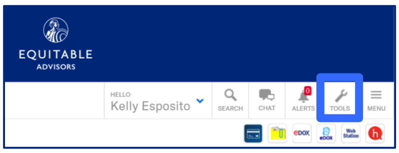
Correct an Envelope – QRC

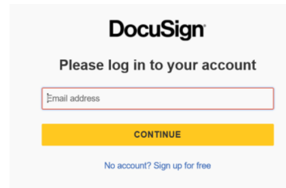
DocuSign

1

Log into Equitable.com

- Click on “**Tools**” > Click on “**See all tools & pick favorites**” > Scroll down to “**D**” and drag “**DocuSign**” to your favorites. Launch “**DocuSign” > Log into DocuSign >** Enter your Equitable.com email (If you have a DBA email, that email will be used.) > Click “**CONTINUE**” > Type in your password, click “**LOG IN**”.

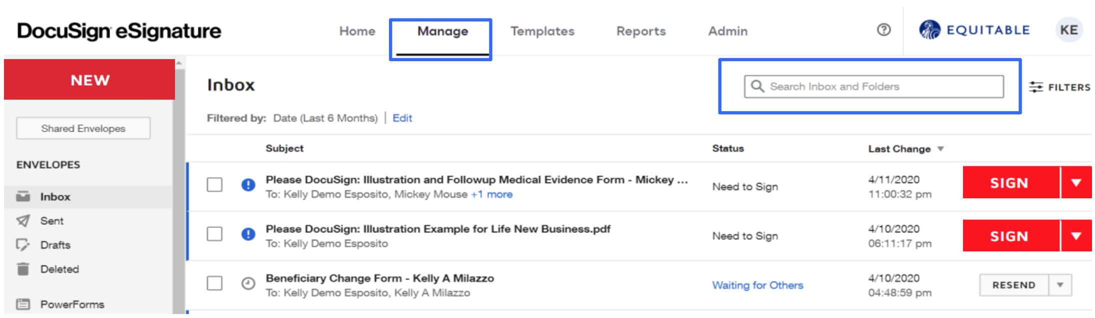




2

Go to “Manage”

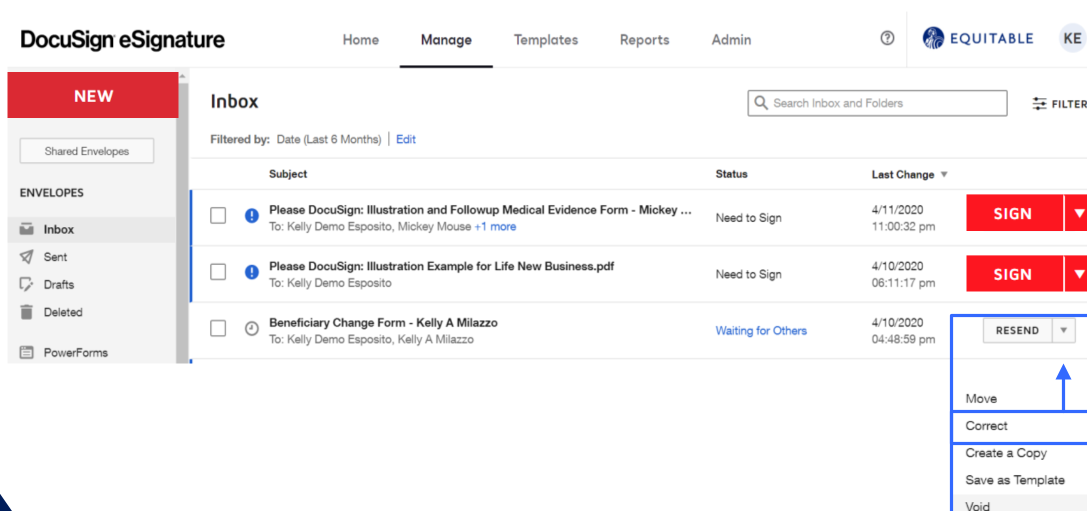
- Search for the envelope the “**Inbox**” or “**Send**” box.
- Type the name of the client or the name of the document in the “**Search Inbox and Folders**” search box.



3

Once the envelope has been found

- Click the dropdown next to the action button on the right.
- Click “**Correct**”.



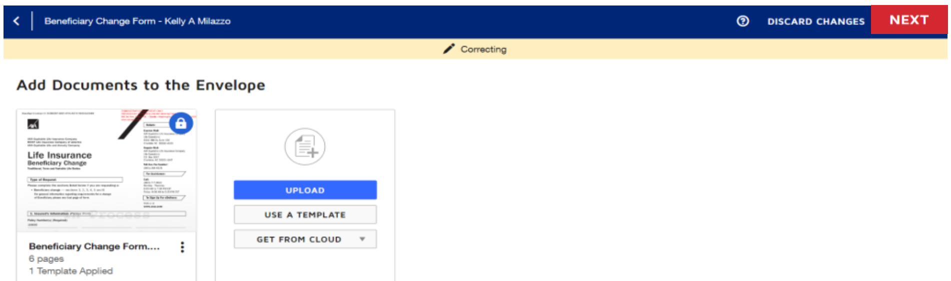
Correct an Envelope – QRC

DocuSign

4

The menu bar will display "Correcting".

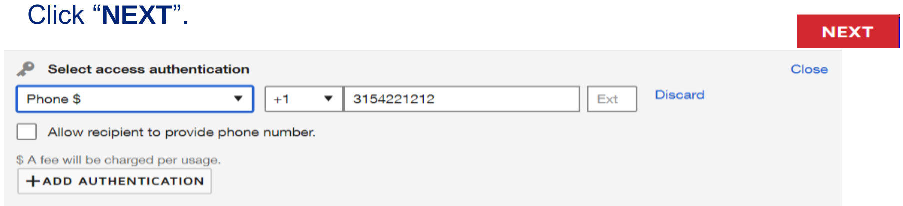
- Scroll down and make any corrections to the recipient information or email messages.
- Click "**NEXT**".



5

Click on the Access Authentication if correcting this section

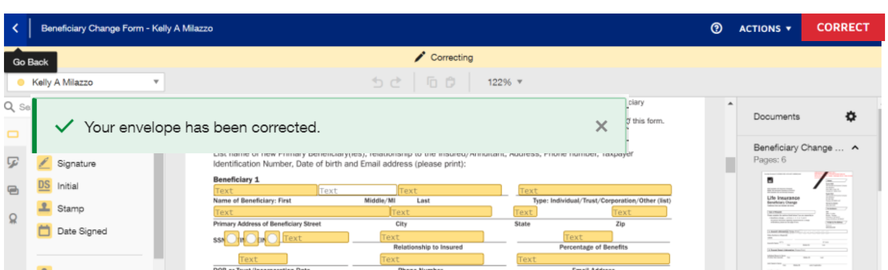
- Type in the correct telephone number.
- Correct the email address if incorrect.
- Click "**NEXT**".

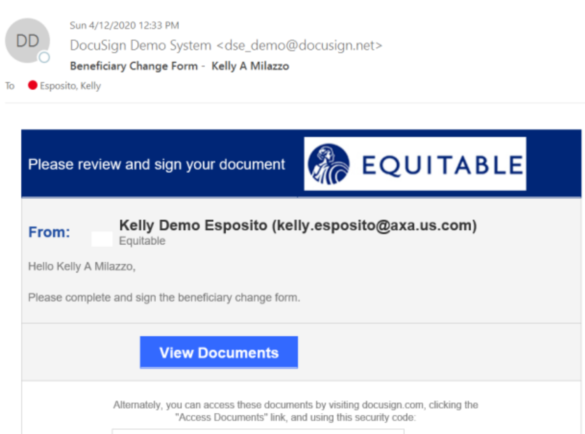


6

Click "CORRECT".

- A message will display "Your envelope has been corrected".
- A message will be sent to the recipient.





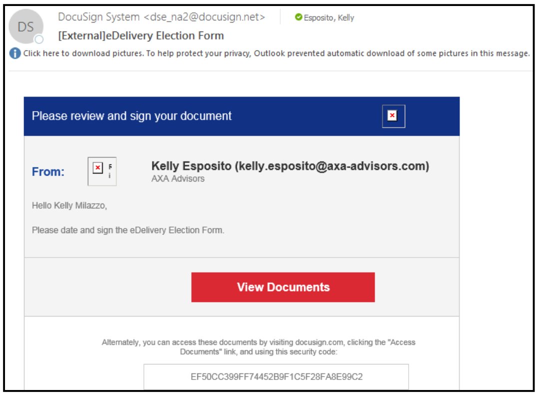
Client's DocuSign Experience

DocuSign

1

Client opens the email message from DocuSign.

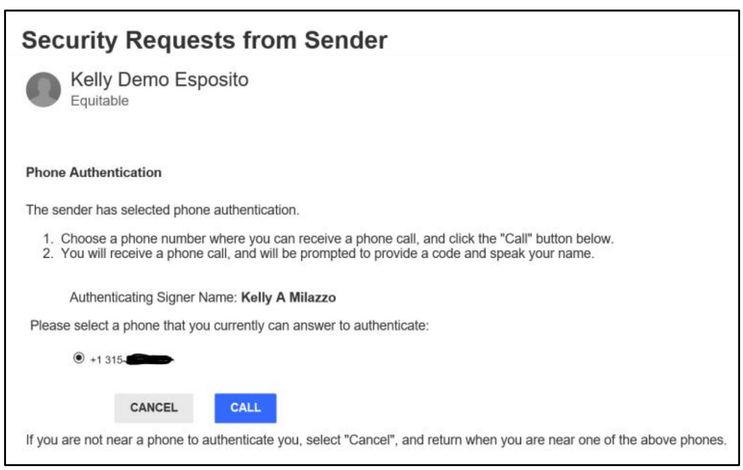
- The client clicks on "**View Document**".



2

Call Pop up Message

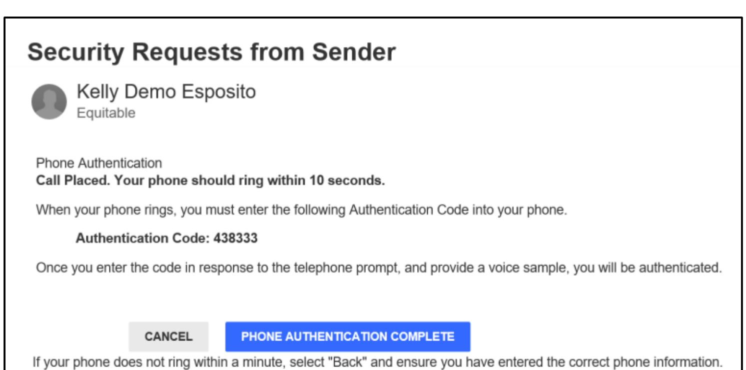
- The client clicks on the "**CALL**" action button.
  - If the telephone number is incorrect, the client will click "**CANCEL**" and contact the Financial Professional.



3

Call to the Client

- The client will receive this second pop up with an automated 6-digit Authentication Code and the client's telephone will ring within 10 seconds. The client will answer and speak or type in the 6-digit code, provide their name and the phone authentication will be complete.



Client’s DocuSign Experience

DocuSign

4

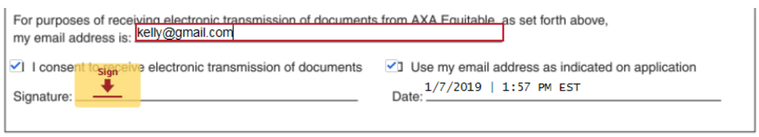
Electronic Records and Signatures

- The client clicks on the “**Electronic Records and Signature Disclosure**” – clicks “**Close**”.
- The client clicks the checkbox in front of the “**I agree to use electronic records and signatures.**”
- The client clicks “**Continue**”.

5

Form Completion and Signature

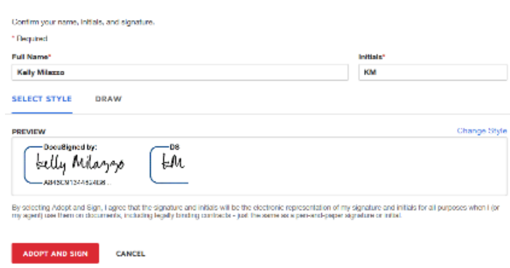
- The client will completes the mandatory fields and clicks on the “**Sign**” action button.



6

Adopt and Sign

- The client selects a signature style and clicks “**Adopt and Sign**”. Or, signs with their finger on a tablet or phone.
- The client clicks “**FINISH**”.



7

Download a PDF Copy

The client can click on the download icon to save a PDF copy or “**X**” out. If the client clicks “**CONTINUE**”, he/she will be brought to the company website.

Resources and Contacts

DocuSign

Resources:

- **FB 20-074 – DocuSign for Equitable Advisors' Financial Professionals**
- **DocuSign User Guide for Equitable Advisors' Financial Professionals**
- **Quick Reference Cards**
- **Training on EAVU**

  The Training path is as follows:
  - **EAVU > Course Catalog > Practice Management > Technology for Financial Professionals > DocuSign Training**

  - Links to Training Videos on SharePoint:

1. How to Access DocuSign
2. How to Use a Template
3. How to upload an Illustration & Send an Envelope
4. How to Resend an Envelope
5. How to Download a completed Envelope
6. How to Use Shared Envelopes
7. Review the Client's Experience
8. Use a Template with Advanced Edit
9. Void an Envelope
10. Correct an Envelope

Contact the following individuals for additional information:

- **Your Branch Digital Champion or Branch Operations Manager**
- **Kelly Esposito –** Kelly.Esposito@Equitable.com
- **Daniel Zubrowski –** Daniel.Zubrowski@Equitable.com