

Business Process Steps for Forms & Atlas

1. Receive instructions via email from advisor
2. Procure forms from either:
 - a. [Harbour's website](#) (Harbour forms)
 - b. Sponsor company's website (Q3/AXOS, Catalyst, etc accounts)
 - i. *Your advisor ideally should have some kind of login information for most websites, or a wholesaler contact*
 - ii. *Otherwise, you can call sponsor companies directly*
 - iii. *See the [What Forms Do I Need? – Direct](#) part of our website for further guidance*
3. Fill out forms via [Quik!](#) or manually with client's information
4. Once you have filled out forms client's information, upload into DocuSign to send to clients and advisor for signature
 - a. BE SURE to cc Harbour as a recipient on your DocuSign envelope. Doing so will ensure Harbour receives the completed copy and **we will submit that copy into Atlas for you.**
 - b. **You do NOT submit DocuSigned paperwork into Atlas yourself if Harbour was cc'd as a recipient.**
5. **If it was NOT DocuSigned** – once you receive the completed paperwork back from the client (i.e. sent back to you via email, signed in person) that paperwork then needs submitted to Atlas so Harbour can review for approval
 - a. *It must be submitted to Atlas before you send it to the company*
6. **If it was NOT DocuSigned** - based on the forms you have; you will make either of the 3 types of submissions:
 - a. **CIP or EIP form** – enter as a NAF via the [Create New Client Record](#) or [New NAF](#) processes.
 - i. Customer Profile Maintenance forms can be submitted under our [Client Maintenance](#) process specifically
 - b. **Account applications/transfers/distributions/etc** – submitted as [Home Office Requests](#)
 - c. **Check (or paperless ACH/Fed Wire Transactions)** – if you receive a check while in office, it needs blotted under the [Deposit Blotter](#)
7. Once the submissions have been made into Atlas either by you or Harbour, keep an eye out for rejection emails from Harbour in the case one of your submissions is NIGO.

 - For Atlas related inquiries – email those to atlas@harbourinv.com
 - For Schwab specific questions (paperwork status, account issues, etc) – email those to advisory@harbourinv.com