

FAQ for NFS Brokerage Accounts (Fidelity)

Internal Professional Use Only

Q: Who can open brokerage accounts and what licenses required?

A: A Series 7 or Series 6 license is required. Please note that representatives holding only a Series 6 license may not hold or purchase stocks, ETFs, or bonds.

Q: What account types are available through NFS brokerage?

A:

- Retail Accounts: Individual Joint, TOD
- Retirement Accounts
- Trust Accounts
- Business Accounts
- UTMA/UGMA
- NFS 529
- Mutual Fund Advantage

Q: What types of Securities can be purchased?

A:

- Stocks/ETF's
- Mutual Funds
- Bonds (Corporate, Municipal, and Treasuries)
- CD's
- UIT's

Please note that bitcoin ETF's, Leveraged ETF's, non-exchange traded REIT's, Pink Sheet Stocks, and any structured products are not permitted in brokerage accounts.

NFS Wealthscape Access & Login

Q: How do I access NFS Wealthscape from the GWN website

A: Go to: GWN Website → Resources → NFS

Q: What if I don't have access to NFS Wealthscape?

A: Contact [GWN Internal Platforms](#)

Pershing 1099s & Statements

Q: How can I access Pershing 1099 forms or statements?

A: The firm no longer maintains a relationship with Pershing. GWN brokerage clients have transitioned to the NFS platform; however, Pershing will continue to issue tax forms for accounts previously held on their platform.

If a former client does not receive their tax form, they must contact Pershing directly:

- Phone: 201-413-3333
- Email: 2017615499@pershing.com

Training & Education

Q: I attended NFS training but need a refresher. Where can I access materials?

A: All key training is in the **Learning Hub** on Wealthscape (**left sidebar** → “?” icon)

- Additionally, **ICP Table of Content** located in ICP under “?” icon)

Opening New Accounts

Q: How do I open a new brokerage account?

A: Through Unified Account Opening (UAO) *

Navigation: Wealthscape → Menu → Account Servicing → Open New Account

See attached Link from Learning Hub (make sure you are logged in to Learning Hub (located on the left side handle “?” icon. Pop-up blockers must be turned off)

Learning Hub Training: [Open New Accounts in Unified Account Opening \(UAO\) E-learning](#)

*Advisor 360 Account Digital Opening--Also Available for NFS Brokerage Accounts

Documents

Q: What Documents I need to open new brokerage account?

A: To Access NFS Form go to Laser App

Navigation: GWN Website → My Practice → Laser App Anywhere → Chose the Type of Client → Form Search
Dropdown: Investment Company → Dropdown: National Financial → Scroll Down to the form you need or want to review and click ADD.

Form Search

Investment Company ▼ NATIONAL FINANCIAL ▼

Sending Documents for E-Signature in UAO (During New Account Opening)

- If a client is **not present** with you at the office - select **REMOTE**. For both, you and client
- If a client is **present** with you at the office - select **EMBEDDED**. For both, you and client

For IRA Brokerage Account

- GWN New account form (GWN Standard Form. For existing client can use existing form not older than 3 years)
GWN website > Forms > broker/Dealer Forms > Named: **Client Account Form** *
Laser App > GWN > Client Account Form *
- GWN Trusted Contact Form (GWN Standard Form)
GWN website > Forms > broker/Dealer Forms > Named: **GWN Trusted Contact Form** *
Laser App > GWN > GWN Trusted Contact Form *
- Premiere Select IRA Application – if you and client want to sign the form through NFS E-Delivery DocuSign (REMOTE)
Laser App > Investment Company - National Financial: Prekit Premiere Select IRA Application
- Transfer Form and Statement if applicable
Laser App > Investment Company - National Financial: Transfer of Assets / ACAT Form
- Rollover form if Applicable (GWN Standard Form)
GWN website > Forms > broker/Dealer Forms > Named: **DOL IRA PTE 2020-02 - Form** *
Laser > GWN > DOL Rollover Form PTE *
- Premiere Select Standing Payment Instructions, include **Voided Check or Bank Letter** with full Routing number and bank account number.
Laser App > Investment Company - National Financial: PS Standing Payment Instructions (IBP and 3rd Party) Form

Individual / Joint / TOD / UTMA / Corp / LLC / Trust

- GWN New account form (GWN Standard Form. For existing client can use existing form not older than 3 years)
GWN website > Forms > broker/Dealer Forms > Named: [Client Account Form](#)
- GWN Trusted Contact Form (GWN Standard Form)
GWN website > Forms > broker/Dealer Forms > Named: [GWN Trusted Contact Form](#)
- NFS Brokerage Account Form
Laser App> Investment Company - National Financial: [Brokerage Account Application Kit](#)
- If you would like to add TOD on the account, use TOD - Registration and Beneficiary Designation Form.
Laser App> Investment Company - National Financial: [Transfer on Death Registration & Bene Designation Form](#)
- For Corporate Accounts/ LLC *
Laser App> Investment Company - National Financial: [Corporate and Unincorporated Resolution for Brokerage Accounts Form](#)
- Transfer Form and Statement if applicable
Laser App> Investment Company - National Financial: [Transfer of Assets / ACAT Form](#)
- Standing Payment Instructions Nonretirement, include **Voided Check or Bank Letter** with full Routing number and bank account number (If client would like to establish)
Laser App> Investment Company - National Financial: [Standing Payment Instructions Form SH \(Non-Retirement\)](#)
- Trust Account Form (TCIP)
Laser App> Investment Company - National Financial: [Trustee Certification of Investment Power Form \(TCIP\)](#) and attach trust document

Your next steps:

- Once you open account on Wealthscape, submit everything through GWN Website.
- New Business will review, scan and forward paperwork to principal.
- Principal lifts account restriction upon approval.
- Missing items will be emailed to you.
- Transfers could be submitted during account opening. If you already opened an account, a transfer **cannot** be submitted until restrictions are lifted.

Transfers

Transfers should be submitted through Wealthscape

- Menu
- Service: Transfer of Assets
- Initiate an Asset Transfer

Q: How to Submit a Transfer?

A: See attached Link from Learning Hub (make sure you are logged in to Learning Hub (located on the left side handle “?” icon. Pop-up blockers must be turned off)

Learning Hub Training: [Initiate and Monitor Transfer of Assets \(Receives\) – Part1: Initiate TOA](#)

Learning Hub Training: [Initiate and Monitor Transfer of Assets \(Receives\) – Part 2: Monitor TOA](#)

Q: What is the address to send transfer paperwork?

A: **National Financial Services**
 82 Devonshire Street
 Boston MA 02109

AMA (Asset Movement Authorization) IRA Paperless Distributions

Asset Movement Authorization AMA allows standing authorization for eligible IRA transactions without submitting additional paperwork to NFS. If no AMA is on file, a distribution form is required for each transaction.

See attached Link form Learning Hub (make sure you are logged in to Learning Hub (located on the left side handle “?” icon. Pop-up blockers must be turned off)

Learning Hub Training: [IRA Paperless Distributions - Asset Movement Authorization \(AMA\)](#)

Q: How can I check if account has AMA on file.

A: Go to client’s profile. On the top handle where you can see clients short name and account number, account type, total account value, then you see RR1/RR2 /Agency tab – click on it and you will see AMA Level. If it shows --, that means no AMA Level on file and you will always have to submit Distribution Form.

| | | |
|------------------------|------------------|----------------------|
| Total Account Value | ██████████ | RR1 RR2 Agency |
| Cash Avail. to Trade | ██████████ | eDelivery Enrollment |
| -BDA And Roth BDA (35) | AMA Level 2 | Preferred Le |
| | Margin Status -- | Investment t |
| | Option Level -- | Model Name |
| | International N | |

Money Movement on Wealthscape - ICP (Integrated Cashiering Platform) *

- EFT/ACH withdrawals
- Check disbursements
- Journals
- Wires
- Establishing Standing Payment Instructions

Navigation: Wealthscape → Menu → Under Money Movement: ICP (Integrated Cashiering Platform)

When you have opened ICP, click on <<?>> (ICP Help Table of Contents)



See attached Link form Learning Hub (make sure you are logged in to Learning Hub (located on the left side handle “?” icon. Pop-up blockers must be turned off)

Learning Hub Training: [Cashiering Fundamentals in ICP \(e-learning\)](#)

Learning Hub Training: [ICP Documents \(bundle\)](#)

Importance of attaching/uploading the document when you submitting a request

If you submitted request on ICP and it’s not approved - most likely you didn’t attach supporting documentation. Please upload through Document Submission under Cashiering. You can leave a comment that it’s for the ICP request you submitted earlier.

Navigation: Wealthscape → Menu → Under Service: Document Submission → Transaction Type: Cashiering → Account Number → Add Attachment → Additional Details optional, you can leave a comment “for the ICP request I submitted earlier”.

Common form that forgotten to be attached:

- IRA Distribution forms if no AMA on file
- Standing Payment instruction Form and Voided Check/Bank Letter
- NFS Journal Form
- (LOI) Letter of Intention

Service Center Requests

Q: I received a NIGO notice. What should I do?

A: Reply directly to the Service Center Request. NFS will list the reason and required correction.

See attached Link form Learning Hub (make sure you are logged in to Learning Hub (located on the left side handle “?” icon. Pop-up blockers must be turned off)

Learning Hub Training: [Create and Manage Service Center Requests in Service Center \(e-learning\)](#)

RMD

See attached Link form Learning Hub (make sure you are logged in to Learning Hub (located on the left side handle “?” icon. Pop-up blockers must be turned off)

Learning Hub Training: [Required Minimum Distribution \(RMD\) Information Available \(document\)](#)

Periodic Plans

See attached Link form Learning Hub (make sure you are logged in to Learning Hub (located on the left side handle “?” icon. Pop-up blockers must be turned off)

Learning Hub Training Name: **Periodic Plans in ICP (e-learning)** [Click the Link](#)

Conversion Re-papering Requirements for. Please submit to Home Office for processing.

- Trust Accounts
Need completed NFS TCIP Form
[Laser App form named: Trustee Certification of Investment Power Form \(TCIP\) and attach trust document](#)

- Account with POAs
Need completed NFS POA Form
Laser App form named: Durable POA Affidavit & Indemnification Form

3rd Party Transactions

Letter of Instructions (LOI) required for:

- Wires
- 3rd party checks

Charitable Distribution is a 3rd Party Transaction and form is required by NFS and GWN

Laser App form named: PS IRA OTR Distribution (Charitable Distribution) Form Kit

Internal Journals (between brokerage accounts on Wealthscape)

For Non-retirement Accounts Use NFS Journal Form (email David Jasinover or Laura Fedorova if you need to obtain the **NFS Journal Form**)

For IRA Distributions – Distribution form required if account is **not** coded with AMA

For Beneficiary IRA - Journal Instructions located on the **Premiere Select IRA Application** form **Page 4**. Make sure to put decedents account number in **Section 3**. Upload whole form through **Document Submission** on the Beneficiary IRA account and NFS will process the Internal Journal/Transfer of Assets

Document Delivery for Clients (E-Delivery or Paper Statements)

Reps are able to modify that option. Make sure to inform a client that paper statements are **\$6/Quarterly**

Note: if you are changing from paper based to e-delivery documents, make sure to obtain clients email address and ask David Jasinover or Laura Fedorova to add that address to client's profile before you proceed with a change.

Navigation: Wealthscape → Menu → Under Service: Document Delivery Instructions → Search by Account Number or Client Name → Adjust based on what client requested.

How to give client online Access to their Brokerage accounts

Website: <https://www.mystreetscape.com/auth/truistinvestmentservices/login>

- NFS Brokerage clients also have access to the Investor 360 client portal
- Fidelity and FMAX Accounts have separate login than NFS Brokerage Accounts, make sure to communicate that with your client.
- Please note: Before you email us: make sure all clients' accounts have Primary Mobile Phone Number and Email listed on their profile.
- Reps can add phone number, but to add/edit email address- reach out to David Jasinover or Laura Fedorova or include in the same email.
- Send emails to [David Jasinover](#) or [Laura Fedorova](#):
"My client Jane Doe would like to access her accounts online. Please add her primary phone number 561-123-4567 and her email janedoe@gmail.com "- We will provide you your clients Login Information.
- We will help you accordingly if client needs authentication code or reset his/her password.

Trades

See attached Link form Learning Hub (make sure you are logged in to Learning Hub (located on the left side handle "?" icon. Pop-up blockers must be turned off)

Learning Hub Training Name: [Enter Equity Orders \(e-learning\)](#)

Learning Hub Training Name: [Enter Manual Fund Orders \(e-learning\)](#)

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