AssetMark Processing Guide

Version 1.4 - | Companion to the GWN TAMP Processing Guide

1. Purpose and Scope

This guide provides the AssetMark-specific requirements for opening and funding accounts through GWN, including approved AssetMark Employer-Sponsored Overlay Management solutions. It applies to investment advisory business conducted by investment adviser representatives of GWN's registered investment adviser. Use it together with the current GWN Third-Party Asset Management Platform (TAMP) & Employer-Sponsored Overlay Management Processing Guide and the current AssetMark Approved Programs and Investment Options Sheet.

2. Advisor Eligibility and Program Approval

- The advisor must be appropriately approved and licensed for fee-based business.
- Only programs, investment types, managers, strategies, and Employer-Sponsored Overlay Management solutions listed on the current GWN-approved AssetMark sheet may be used.
- eWealthManager may display programs that are not approved for GWN use. Confirm availability against the current GWN-approved AssetMark sheet and the GWN restrictions documented by AssetMark.
- Advisor-directed account management is not available through AssetMark.
- Assets included in a managed program must be managed and subject to advisory fee billing. General securities accounts and any assets excluded from management or advisory fee billing require confirmation of the applicable GWN requirements.

3. Paperwork and Authentication

Item	Requirement	Authentication / Submission
AssetMark and custodian paperwork	Required, as applicable	Complete in the AssetMark Advisor Portal; SMS authentication.
GWN TAMP Kit	Required	Complete through GWN DocuSign; KBA, Document ID, or Document ID with Selfie. AssetMark authentication does not replace GWN requirements.
Wet signatures	Accepted	Use current approved forms.
Certificate of Completion	Required for DocuSign	Include the Packet Audit Trail with the GWN submission.

4. Processing Workflow

1. Confirm the advisor's fee-business approval and licensing.
2. Confirm the selected program, manager, strategy, and investment type appear on the current AssetMark approval sheet.
3. For transfers, select **"GWN Advisor Use Only"** in the AssetMark transfer workflow to ensure the request is eligible for DocuSign.
4. Complete the AssetMark and applicable custodian paperwork in the AssetMark Advisor Portal and send it to the client through the AssetMark DocuSign process.
5. Complete and send the GWN TAMP Kit through the GWN DocuSign process using the required GWN client authentication. AssetMark's DocuSign process does not replace the GWN paperwork or authentication requirements.
6. After signatures are complete, log in to AssetMark and download the completed AssetMark packet.
7. Submit the completed AssetMark packet and completed GWN packet together to GWN New Business through the online upload tool or secure email.
8. New Business reviews the complete submission. If it is in good order, GWN approves the business and releases the account in the AssetMark Portal.
9. Do not fund the account or initiate transactions until GWN New Business has approved the complete paperwork and released the account.

5. Asset and Billing Restrictions

- Advisor-directed management is not permitted.
- General securities account availability and billing treatment are subject to GWN approval. Confirm the applicable requirements with GWN before opening an account or making changes to an existing account.
- Confirm GWN approval for the treatment of any assets excluded from management or advisory fee billing before processing.
- Any requested program or investment type not listed on the current approval sheet requires GWN approval before use.
- Certain AssetMark Employer-Sponsored Overlay Management solutions may require the client to initiate or direct the application process.
- GWN may not receive data feeds for Employer-Sponsored Overlay Management solutions. Confirm reporting and data availability before use.
- For accounts held with custodians other than AssetMark Trust, including Fidelity or Schwab, complete the additional data feed form available through eWealthManager and coordinate the required aggregation data connection with GWN and AssetMark.

6. Final Submission Check

Confirm Before Funding	Status
Licensing and fee-business approval verified	☐
Program/investment type confirmed on the approval sheet	☐
AssetMark/custodian packet completed and downloaded	☐
GWN TAMP Kit completed	☐
Completed packets submitted together to New Business	☐
Managed assets and fee billing verified; any general securities account or excluded-asset treatment confirmed with GWN	☐
GWN approval and AssetMark account release received	☐
Fidelity/Schwab Additional data feed form completed and aggregation setup confirmed, if applicable	☐