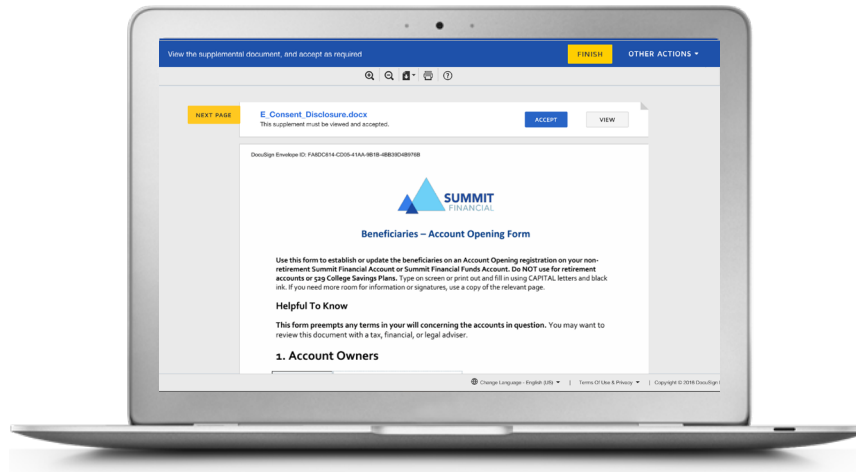


DocuSign Supplemental Documents and the Department of Labor Fiduciary Ruling

Easily include additional information such as legal disclosures for acknowledgement as a different and distinct part of an envelope, accessible via a click.



On April 6, 2016, the U.S. Department of Labor issued its “final rule” on fiduciary responsibilities of those providing investment advice and products to retirement accounts and employee benefit plans. Going forward, those who provide investment advice to plans, plan sponsors, fiduciaries, plan participants, beneficiaries, IRAs, and IRA owners must either avoid payment that create conflicts of interest or comply with the protective terms of an exemption. You can learn more about the Fiduciary ruling by reading DocuSign’s Department of Labor “Final Rule” [whitepaper](#).

Partnering with Financial Services Customers to Understand Their Challenges

In 2014, DocuSign convened with its Financial Services Consortium customers to understand platform and product enhancements for financial and fiduciary disclosures. The goal was to rethink how companies can present disclosures and other supporting documents to their signers. Companies need their customers to view and acknowledge these documents. But often, these documents are long and don’t need to be signed, only viewed. resulting in a large envelope (sometimes hundreds of pages), overwhelming the signing experience for clients. Often, clients give up and do not complete the document.

The Solution: DocuSign Supplemental Documents

With Supplemental Documents, companies can include supporting materials such as legal disclosures or terms & conditions documents as a different and distinct part of the envelope without distracting from the primary documents that need to be signed. This not only ensures compliance with a complete audit trail, but increases envelope completion rates and provides a superior signing experience. Customers may set properties for these supporting documents that define how the documents are displayed, the actions recipients must take, and if the documents can be downloaded when the envelope is completed. The result is a better experience for signers and all the tracking and auditing companies need in order to comply with industry requirements.

Sending View

Please DocuSign: E_Consent_Disclosure.docx, Account Opening_Agreement_Form.docx

Beth Morgan

Standard Fields

- Signature
- Initial
- Date Signed
- Name
- Email
- Company
- Title
- Text
- Checkbox
- Dropdown
- Radio
- Attachment
- Note
- Approve

E_Consent_Disclosure.docx
This supplement is for your information.

Supplement

- Must View
- Must Accept

Must be viewed and accepted

Summit Financial

Beneficiaries – Account Opening Form

Use this form to establish or update the beneficiaries on an Account Opening registration on your non-retirement Summit Financial Account or Summit Financial Funds Account. Do NOT use for retirement accounts or 529 College Savings Plans. Type on screen or print out and fill in using CAPITAL letters and black ink. If you need more room for information or signatures, use a copy of the relevant page.

Helpful To Know

This form preempts any terms in your will concerning the accounts in question. You may want to review this document with a tax, financial, or legal adviser.

1. Account Owners

English | Powered by DocuSign | Contact Us | Terms of Use | Privacy | Intellectual Property | Copyright © 2016 DocuSign, Inc. All rights reserved.

SHORTCUTS | FEEDBACK

Signing View

View the supplemental document, and accept as required

FINISH | OTHER ACTIONS

E_Consent_Disclosure.docx
This supplement must be viewed and accepted.

DocuSign Envelope ID: 92E5BCF6-E882-4175-8636-DB7CE8BF0A99

Summit Financial

Beneficiaries – Account Opening Form

Use this form to establish or update the beneficiaries on an Account Opening registration on your non-retirement Summit Financial Account or Summit Financial Funds Account. Do NOT use for retirement accounts or 529 College Savings Plans. Type on screen or print out and fill in using CAPITAL letters and black ink. If you need more room for information or signatures, use a copy of the relevant page.

Helpful To Know

This form preempts any terms in your will concerning the accounts in question. You may want to review this document with a tax, financial, or legal adviser.

1. Account Owners

DocuSign | Change Language - English (US) | Terms Of Use & Privacy | Copyright © 2016 DocuSign, Inc.

Certification of Completion View

DocuSign SECURED

Certificate Of Completion

Envelope ID: 92E5BCF6E88241758636DB7CE8BF0A99 | Status: Completed

Subject: Please DocuSign: E_Consent_Disclosure.docx, Account Opening_Agreement_Form.docx

LoanID:

Territory:

Source Envelope:

Document Pages: 2 | Signatures: 1 | Envelope Originator: Alex Smith

Supplemental Document Pages: 2 | Initials: 0

Certificate Pages: 4

AutoNav: Enabled | 1

Envelope Stamping: Enabled | 1, 1

Time Zone: (UTC-08:00) Pacific Time (US & Canada) | alex.smith.ds@gmail.com | IP Address: 10.101.101.11

Record Tracking

Status: Original | Holder: Alex Smith | Location: DocuSign

12/6/2016 5:07:52 PM | alex.smith.ds@gmail.com

Signer Events

Beth Morgan | Signature | Timestamp

bethmorgan143@gmail.com | | Sent: 12/6/2016 5:10:42 PM

Security Level: Email, Account Authentication (None) | Using IP Address: 174.46.233.194 | Viewed: 12/6/2016 5:11:06 PM

Signed: 12/6/2016 5:11:57 PM

Electronic Record and Signature Disclosure:

Accepted: 12/6/2016 5:11:06 PM

ID: 08d081c1-4089-409c-9d49-929c3ab8fe22 | E_Consent_Disclosure.docx | Viewed: 12/6/2016 5:11:16 PM

Supplemental Documents: | Accepted: 12/6/2016 5:11:23 PM






In Person Signer Events | Signature | Timestamp

Editor Delivery Events | Status | Timestamp

Figure 1: DocuSign’s Supplemental Documents Critical Functionality

Sending	Signing	Compliance
<ul style="list-style-type: none"> ✓ Upload & order Supplemental Documents ✓ Assign signer interaction (view and/or accept) per Supplemental Document ✓ Template support 	<ul style="list-style-type: none"> ✓ Visual display & interaction of Supplemental Document ✓ View and accept per Supplemental Document ✓ Print and download Supplemental Document 	<ul style="list-style-type: none"> ✓ Complete audit trail captured on Certificate of Completion ✓ All interactions taken on Supplemental Document recorded in the History of the envelope

Figure 2: DocuSign’s Supplemental Documents meet Broad Set of Use Cases

 Financial Services	 Insurance	 Healthcare Life Sciences	 Real Estate	 Retail
<ul style="list-style-type: none"> • Account Opening • Mortgage Lending • Commercial Lending • Client Service Documents • M & A • Fund Management 	<ul style="list-style-type: none"> • Account Opening • Insurance Lending • Policy Holder Claims • Policy Delivery & Renewals • HR: Employee onboarding; lifecycle, workers compensation 	<ul style="list-style-type: none"> • Hospital Medical Records, Evidence & Documentation • Medical Devices & Pharmaceuticals documentation • HIPAA Compliance documents • Clinical Research disclosures 	<ul style="list-style-type: none"> • Commercial Property Transactions • Residential Property Transactions • Lease Agreements • Mortgage Origination • Title and Escrow 	<ul style="list-style-type: none"> • Account Opening • Retail/Product Lending

To see DocuSign Supplemental Documents in action, watch our product demo [here](#).

About DocuSign

DocuSign is changing how business gets done by empowering anyone to transact anytime, anywhere, on any device with trust and confidence. DocuSign keeps life moving forward.

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