

CLIENT PORTAL: Sharing Documents

Description My Documents provides a secure digital document storage and collaboration vault to share information with your financial professionals and external trusted third parties. This avoids the need for you to have to download and email sensitive documentation.

My Documents homepage displays files and folders that are shared by default (public) with your financial professional. Your private files and folders are found in the **MY FILES** folder.

You can share files and/or folders with trusted partners not enrolled in AdviceWorks. They will be redirected to create a secure account and access files and folders shared with them via Box.com. You can authorize third parties like tax preparers or estate planners to have access to either files or entire folders in My Documents.

All Documents

In order to share documents with others, please go into your "MY FILES" folder. All other folders are shared by default with your financial professional team. In order to upload a file, please go into one of the folders below.

Shared
 Not Shared

NAME	SHARED STATUS	UPDATED DATE
<input type="checkbox"/> _Archived	Shared with your FP team	<input type="button" value="SHARE"/> 1 Month Ago
<input type="checkbox"/> Employer Benefits	Shared with your FP team	<input type="button" value="SHARE"/> 1 Month Ago
<input type="checkbox"/> Legal_Estate	Shared with your FP team	<input type="button" value="SHARE"/> 2 Weeks Ago
<input type="checkbox"/> Reports	Shared with your FP team	<input type="button" value="SHARE"/> 1 Month Ago
<input type="checkbox"/> Taxes	Shared with your FP team	<input type="button" value="SHARE"/> 2 Weeks Ago
<input type="checkbox"/> MY FILES	Not Shared	Click folder to share

All Documents

Keep your financial documents accessible in one place. The shared files and folders are accessible to you, your financial professional and their team. Use these folders to store or exchange documents securely with your financial professional. You can also share files and folders by simply adding the recipient's email address. [Download Acrobat Reader](#) in order to view all file types.

First Things First

You will need access to the document you would like to share from your device.

To share a folder/file with a trusted third party, you will need a valid email address for the third party.

AdviceWorks will send an email to the third party to enroll in Box.com.

Important to Know

Keep all your documents for managing your finances accessible in one place.

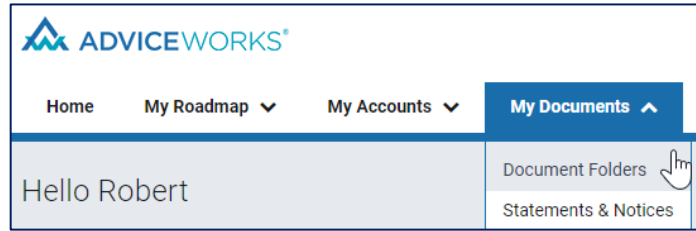
My Documents is built behind a multi-factor authentication login process which secures your information and documents.

Pre-defined shared folders are setup to provide guidance to the types of documents to share.

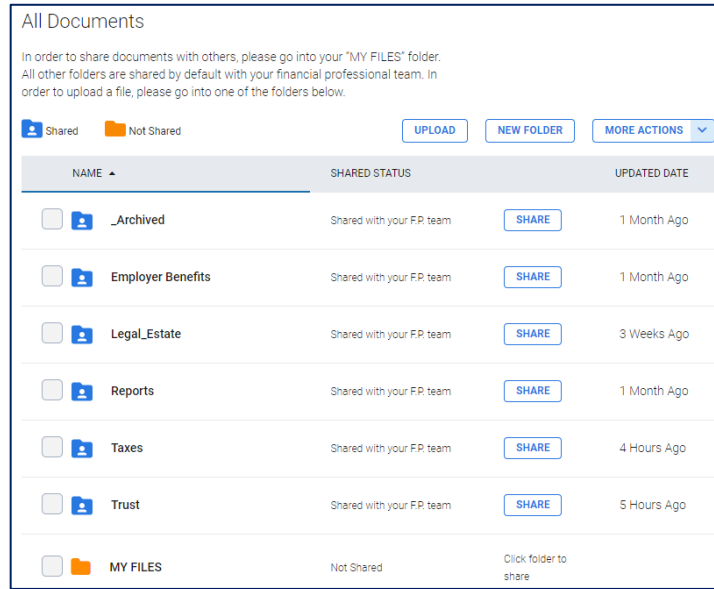
AdviceWorks automatically notifies your financial professional when you upload, move, copy, rename, or delete a shared folder/file.

✓ Sharing Documents

1. From the Client Portal home page, click **My Documents** then click **Document Folders**.

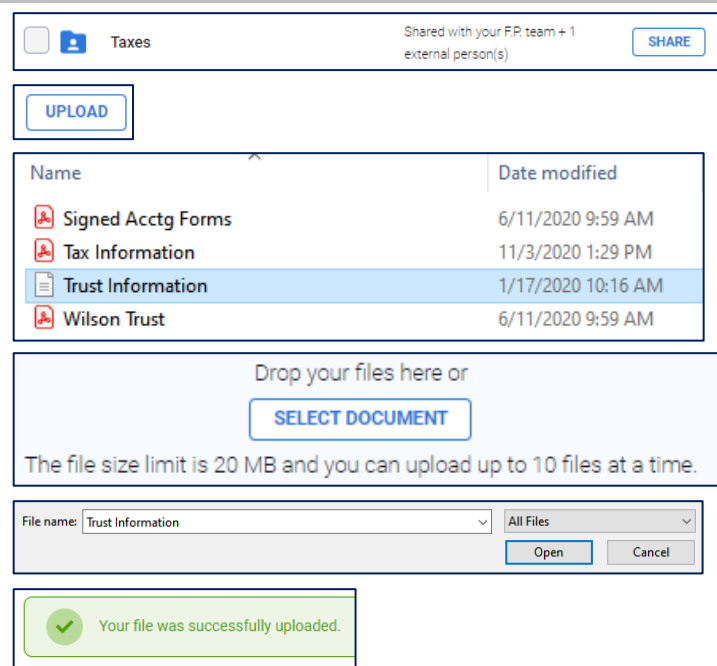


2. Review **All Documents**.
- The **blue** folders/files are shared (public).
 - The **orange** folders/files are not shared (private).
 - Pre-defined shared folders are setup to provide guidance to the types of documents to share.
 - Click on the **Folder Name** to view the contents of the folder.
 - Click **Upload** to upload files.
 - Click **New Folder** to create a new folder.
 - Click **More Actions** for additional actions to perform on folders/files.
 - Download
 - Delete
 - Move or Copy
 - Rename
 - **Shared Status** lets you know who the folder/file is shared with.
 - Not Shared
 - Shared with your F.P. team
 - Shared with external persons
 - Shared with your F.P. team + external person(s)
 - The **Share** button allows you to share the folder and its contents with your financial professional or trusted third parties.
 - **Update Date** provides the date the folder/file was shared.
 - **My Files** is a private folder that is not shared.



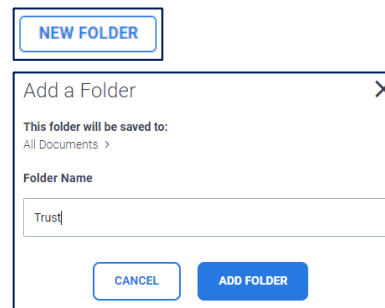
3. To Upload a Document

- Select your folder.
- Click **Upload** and select your document OR Drop your files in **Select Document**.
- Find and select your document.
- Click **Open**.
- You will receive a confirmation message that your file was successfully uploaded.
- AdviceWorks automatically notifies your financial professional when you upload a shared file.



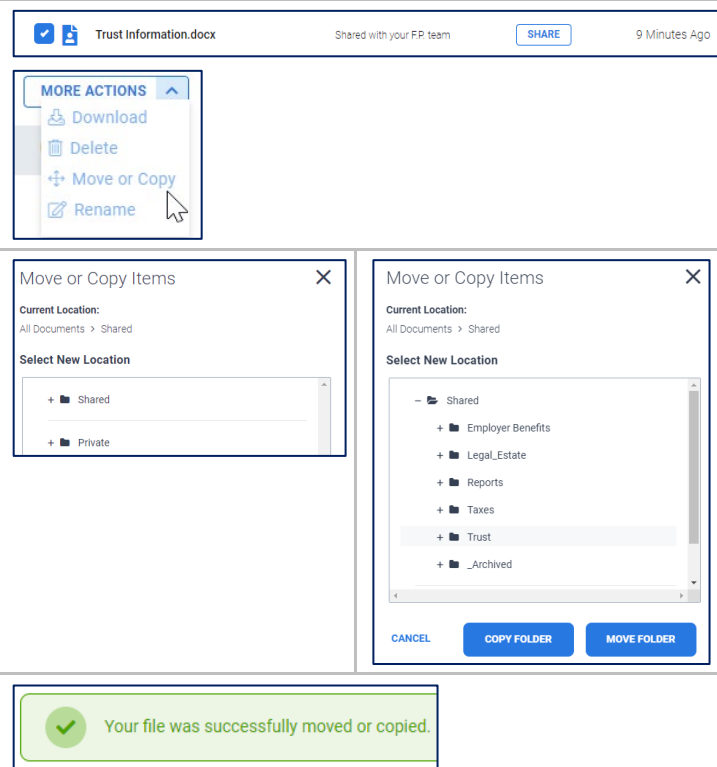
4. To Create a New Folder

- Click **New Folder**.
- Enter the Folder Name.
- Click **Add Folder**.
- AdviceWorks automatically notifies your financial professional when you create a shared folder.



5. To Move a Folder/file,

- Select your folder/file by checking the box next to it.
- Click **More Actions**.
- Click **Move or Copy**.
- Select the **New Location**: Shared or Private section.
- Select the **folder**.
- Click **Move Folder**.
- You will receive a confirmation message that your file was successfully moved or copied.
- AdviceWorks automatically notifies your financial professional when you move or copy a shared folder/file.



6. **Shared Folder** features.

- To **view** the contents of a Shared Folder, click on the **Folder Name**.
- All contents within the folder will display.
- Click on the **File Name** to preview or download the file.
- The right hand panel displays who the folder is **Shared with** and their folder permissions.
 - Download
 - Upload
 - View
- Any document uploaded to a Shared Folder will **automatically** be shared with the users displayed in **Shared with**.
- To **share a file** with additional people,
 - Click **Share** next to the file/folder.
 - Enter emails of additional people.
 - Click the **box to authorize sharing**.
 - Click **Send**.
 - You will receive a confirmation message that collaboration was created.
- To **share a folder** with additional people,
 - Click **Share** in the **Shared with** panel.
 - Enter emails of additional people.
 - Click the **box to authorize sharing**.
 - Click **Send**.
 - You will receive a confirmation message that collaboration was created.
- AdviceWorks automatically notifies your financial professional and additional people when you share a folder/file.

Taxes

Shared with your FP: team + 1 external person(s)

SHARE

All Documents > Taxes

All files and folders in this folder are automatically shared with your financial professional team.

UPLOAD NEW FOLDER MORE ACTIONS

NAME	SHARED STATUS	UPDATED DATE
<input type="checkbox"/> 08242021 - Enhanced Visualization Scope Presentation.pptx	Shared with your FP: team + 1 external person(s)	3 Weeks Ago
<input type="checkbox"/> 3Q21 P&L.pdf	Shared with your FP: team + 1 external person(s)	2 Weeks Ago
<input type="checkbox"/> Tax Information.pdf	Shared with your FP: team + 1 external person(s)	21 Hours Ago

Taxes

Shared with

Your Financial Professional Team
Can Download and Upload

liz @gmail.com
Can View / Download

SHARE

Share "Tax Information.pdf" Folder

Share with my Financial Professional
And Team

Shared with 1 people

Invite Additional People

Enter emails separated by commas

External users will be able to access/download this file for 30 days

Invited people can view/download

By clicking "SEND", you authorize your financial professional to share your financial account data and non-public personal information with a recipient at the email address entered above, as further described [here](#)

CANCEL
SEND

✓

Collaboration Created

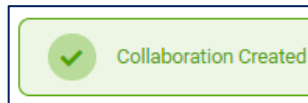
7. To **Revoke** access to **Shared Folder/File**,
- Click the Shared Folder.
 - Click the **Share** button next to the shared folder/file.
 - Click the **Share with # people** button.
 - Click **Revoke**.
 - You will receive a confirmation message that collaboration was deleted.

The screenshot shows a document sharing interface. At the top, there are two items: 'Taxes' (a folder) and 'Tax Information.pdf' (a file). Both are marked as 'Shared with your F.P. team + 1 external person(s)' and have a 'SHARE' button. Below this is a 'Share "Taxes" Folder' section with a toggle for 'Share with my Financial Professional And Team' which is currently turned on. It shows 'Shared with 1 people' and an 'Invite Additional People' button. A 'Sharing "Taxes"' section lists 'sean /@gmail.com' with 'Revoke' and 'Download/View Pending' options. At the bottom, a green notification box says 'Collaboration Deleted' with a checkmark icon.

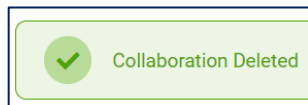
8. **MY FILES** features.
- **MY FILES** is a **private** folder specifically for Clients. Advisors do **NOT** see this folder in the Advisor Portal.
 - Click on **MY FILES** to view the contents.
 - Contents in **MY FILES** may contain **public** and **private** folders/files.
 - **Shared Status** lets you know who the folder/file is shared with.
 - Not Shared
 - Shared with your F.P. team
 - Shared with external persons
 - Shared with your F.P. team + external person(s)
 - The right hand panel shows that **MY FILES** is **Not Shared**.
 - Click on the **folder/file name** (public or private) to **view** the contents.

The screenshot shows the 'MY FILES' interface. At the top, the 'MY FILES' folder is shown as 'Not Shared' with a 'Click folder to share' link. Below is a list of documents under 'All Documents > MY FILES'. The list has columns for 'NAME', 'SHARED STATUS', and 'UPDATED DATE'. It includes folders for 'Emergency', 'Home_Real Estate', 'Identification', and 'Insurance'. The 'Identification' folder is selected, and a detailed view is shown below. This view shows 'All Documents > MY FILES > Identification' with 'UPLOAD' and 'NEW FOLDER' buttons. A table lists 'Drivers License.pdf' as 'Not Shared' with a 'SHARE' button.

9. To **Share** a folder/file from **MY FILES**,
- Click on the **folder/file** name.
 - Click **Share** next to the folder/file.
 - Slide the **radio button** to the right to share with your Financial Professional and Team.
 - Enter emails to invite additional people.
 - Click the **box to authorize sharing**.
 - Click **Send**.
 - You will receive a confirmation message that collaboration was created.
 - AdviceWorks automatically notifies your financial professional and additional people when you share a folder/file.
 - If the folder/file was **private**, upon sharing it will turn to a **public** shared folder/file.



10. To **Revoke** access to **MY FILES**,
- Click the **MY FILES** folder.
 - Click the **Share** button next to the shared folder/file.
 - Click the **Share with # people** button.
 - Click **Revoke**.
 - You will receive a confirmation message that collaboration was deleted.
 - If the folder/file was **public**, upon revoking access, it may turn to **private** with a Not Shared status.



11. Box.com process.

- Third parties will receive a box email to have instant access to the folder/file shared with them.
- *If applicable*, click **Accept Invite**. Third Parties will be invited to **Create a Box Account**.
 - Full Name
 - Email Address
 - Password
 - Confirm Password
 - Phone Number
 - Live in European Economic Area
 - Agree to Box’s Terms of Service
 - Click **Submit**
 - A confirmation email will be sent to the third party to complete their Box signup.
 - Within Box, click **Get Started**.
- *If applicable*, click the **folder name** or **Go to Folder**. Enter your **login credentials**.
- All files contained in the shared folder are displayed.
- Click the **file name** to view or download.
- Users are reminded that after 30 days, temporary access will automatically be removed.
- The right hand panel displays the sharing properties.
- Users will **not** be able to upload information to the shared folder on box.com.

The screenshots illustrate the following steps:

- Invitation:** A notification from ROBERT inviting you to collaborate on a folder named "Taxes".
- Account Creation:** A "Create Your Account" form with fields for Full Name, Email Address, Password, and Confirm Password. It also shows the folder "Taxes" shared by ROBERT.
- Folder Access:** A notification from ROBERT wanting to work with you on a folder named "Emergency".
- Sign In:** A "Sign In to Your Account" form with an "Email Address" field.
- File Listing:** A screenshot of the Box.com interface showing a list of files in the "Taxes" folder.

Name	Updated	Size
2022 W2.pdf	Today by ROBERT	376.1 KB
Tax Information.pdf	Yesterday by 2-7156003	105.9 KB
3Q21 P&L.pdf	Mar 31, 2022 by 2-71560...	225.6 KB
08242021 - Enhanced Visualization Scope P...	Mar 28, 2022 by ROBERT ...	3.9 MB
- Notification:** A message stating: "You have been granted temporary access to this folder. You will be automatically removed from this folder on Apr 28, 2022."
- Sharing Details:** A "Sharing" panel showing:
 - ROBERT (RJ) - Owner
 - Elizabeth (EK) - Viewer
 - 2-7156003 (22) - Editor
 - Shared Link - Create Link

“Cetera Financial Group” refers to the network of independent retail firms encompassing, among others, Cetera Advisors LLC, Cetera Advisor Networks LLC, Cetera Investment Services LLC (marketed as Cetera Financial Institutions or Cetera Investors), Cetera Financial Specialists LLC, and First Allied Securities, Inc. All firms are members FINRA/SIPC. Located at 655 W. Broadway, 11th Floor, San Diego, CA 92101.

Individuals affiliated with Cetera firms are either Registered Representatives who offer only brokerage services and receive transaction-based compensation (commissions), Investment Adviser Representatives who offer only investment advisory services and receive fees based on assets, or both Registered Representatives and Investment Adviser Representatives, who can offer both types of services.