DWMIM Pershing Account Procedures

Get set up with the Pershing NetExchange Pro system:

- To obtain a Pershing NetExchange Pro log in; complete the Activation Notice. **(*Specifically request a DWM Investment Management (DWMIM) Representative number*).** This form is located on the QA3 Advisor Desktop, click on Forms and Manuals/QA3 Forms, then Activation Notice. It will take approximately 48 hours to activate.
- Choose which of the Pershing NetExchange Pro packages you would like and sign the form. New reps fax to: 402-964-3730, Existing reps fax to: 402-964-3726
- Download the NetExchange Pro system, by going to the Advisor Desktop, click on Tools/Pershing/Pershing Install Program. You will be directed to the NetExchange Pro web-site. Click on the Download Now button to download NetExchange Pro 3.0. Be sure to save the download to your desktop. Exit out of the current open window. There will be an icon on your desktop named Netxpro set up, double click on the icon, and let this program run.
- Logging into NetExchange Pro; there will be another icon on the desktop named NetExchange 3.0, double click on the icon and log in.
- Contact Steve Synowicki ext3886 to set up a NetExchange Pro overview training.
- Obtain additional training on the Pershing NetExchange Pro system, by clicking on the Source and then Learning Center.

If you are already set up with the Pershing NetExchange Pro system:

- Send an email to Amy Belcher at abelcher@qa3.com and specifically request a DWM Investment Management (DWMIM) Representative number. It will take approximately 24 hours to activate.

New Account Procedures:

- Obtain the required QA3 forms from the Advisor Desktop by clicking on Forms and Manuals/Brokerage/then select the account type. (Same forms that you use to set up a regular brokerage accounts).
- Obtain the QA3 ADV part II and ADV part II schedule F by clicking on Forms and Manuals/IA Forms and Manuals/ADV part II and ADV part II schedule F. You will need to deliver QA3's ADV to the client as well as DWMIM's ADV available on www.dwmim.com under the "Getting started-forms" tab.
- Obtain the required DWMIM forms by contacting DWMIM.
- Have the client complete the required paperwork, sign and date. List your representative number, print your name and sign the Suitability – New Account form (one Suitability – New Account form per account type), and any other applicable forms. Forms must be manually signed by the customer, representative, and registered principal.
- Open the new account on the NetxPro system.
- Once the account number has been assigned, put the account number on **all** of the forms.
- Make a copy for your files.
- E mail, fax, or mail DWMIM their original paperwork.
- If the transfer is an ACAT eligible transfer, you may fax the paperwork to Brokerage New Accounts at 402-964-3726 or email brokeragebiz@qa3.com.

  {or}

  Mail the QA3 forms and a copy of the DWMIM paperwork in a traceable manner (we suggest overnight) to:

  QA3 Financial Corp
  Attn: Brokerage New Business
  1 Valmont Plaza, 4th Floor
  Omaha, NE 68134
- Make any necessary blotter entries on Combined Sales/Check/Securities Received Blotter