



Your Guide to Success using  
Agreement Express:  
*User FAQ Guide*

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## Section IA.

### AEx Publisher & Company Administrator FAQs - *Navigating the Workspace*

#### **What is a transaction? What is the difference between a Transaction and a Case?**

**Transaction:** A Transaction represents *one* individual form with a set of signatures on it. AEX calls this a Transaction.

**Case:** A Case consists of *one* or more Transactions. There can be multiple Transactions in a Case, but a Case can also contain only *one* Transaction. The completion of a full Case is what triggers a call to the API to send the case to the appropriate Custodian. A publisher will be able to view all transactions in flight either by Case or individual Transaction.

#### **In the Workspace, what does each status mean?**

**Draft:** A Transaction has been prepared but not sent to an end-user. This is a Transaction that has not been published.

**Sent/Open:** A Transaction has been published and sent out to an end-user for signing.

**Active:** A Transaction has been sent and viewed and/or signed by at least one account owner.

**Done:** All signatures and approvals on the Transaction have been completed.

**Cancelled:** This Transaction has been cancelled. The link is still active to the end-user but when clicked on, the document will open to a blank page that indicates "this document has been cancelled". In this scenario, the data will not be recoverable by the end client and they will be unable to obtain any of the data contained within the cancelled transaction.

*Common Scenario: I don't know if the Transaction package was sent to my client. If the Transaction is still in Draft, then it has not been sent.*

#### **What is the difference between being assigned to a Work Group or to a Team?**

**Work Groups:** A collaboration tool that allows multiple publishers and company admins to view and work collaboratively on individual transactions.

**Teams:** Serves two functions:

Function 1) Admin tool: You can create a Team to track and report transactions by each team

Function 2) Department/Team signature: If you have a department signature as part of the workflow, this department is found under Teams. Any publisher or company administrator can be added to a team. Once an individual is part of a team, they will be able to sign on behalf of this department/ team.

*Common scenario, Work Group: An Assistant initiates a transaction, the assistant can assign that transaction to a Work Group and whoever is part of the workgroup will have access to edit and send the assigned transaction as needed.*

*Common scenario, Team: A Company Admin would like to compare transaction activity between two offices. The Company Admin can set up two teams and add Publishers from each office to their respective team.*

### **What do specific users have access to within AEx?**

**User:** This user role can **NOT** sign into Agreement Express directly. A user can only sign agreements. They will need to register their signature by providing their email address and cell phone or landline number in order to sign.

**Publisher:** This user role can log directly into Agreement Express. A Publisher has access to the transactions they have published as well as any transactions part of a shared Work Group.

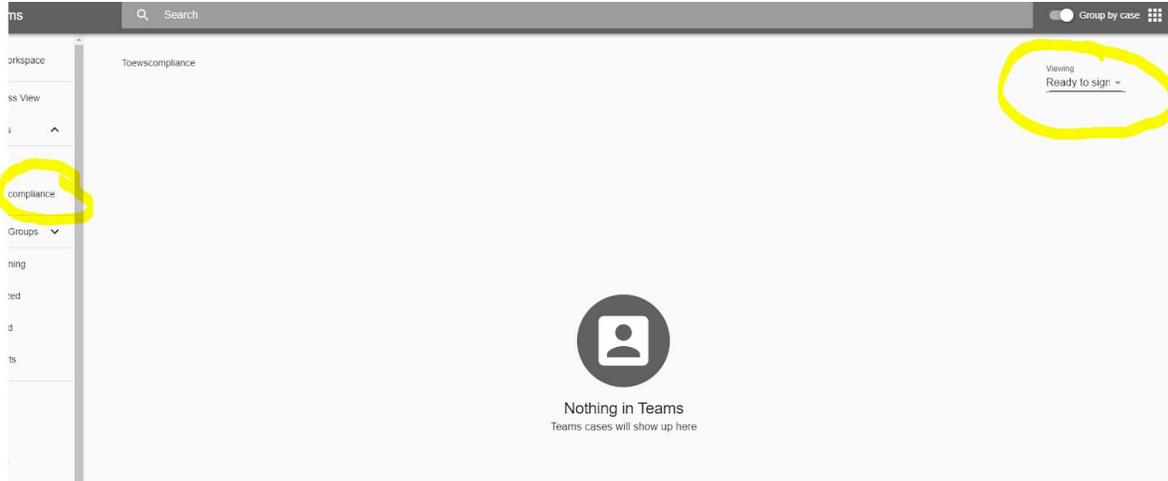
**Company Administrator:** This user role can log directly into Agreement Express. A Company Administrator can add/edit users and publishers, view all Transactions created under the company, and edit and add Work Groups.

### **I am a member of the compliance team. How do I know if there is something pending compliance's signature/sign-off?**

**Answer: In your workspace, filter by Ready to Sign.**

*Step 1) Go to Compliance (or equivalent) under Teams*

*Step 2) Under Viewing select "Ready to Sign"*



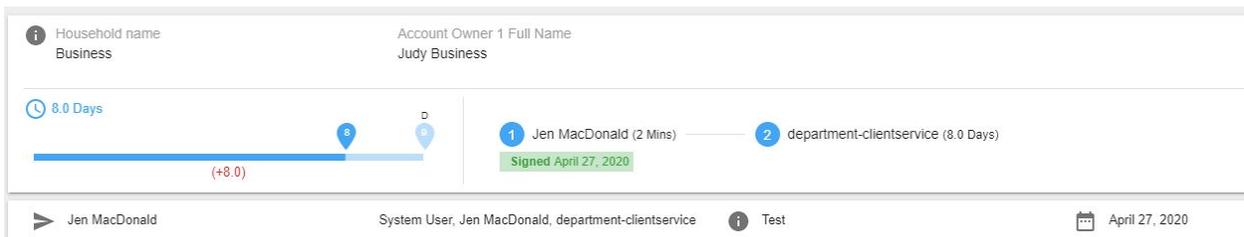
**How can I tell who is left to sign my package?**

**Answer: Expanding the transaction line, or expanding the transaction to see the timeline which will display the next user to sign.**

### Method 1

*Step 1) Open the case, if applicable. If not, skip to Step 2*

*Step 2) Expand one of the transactions*

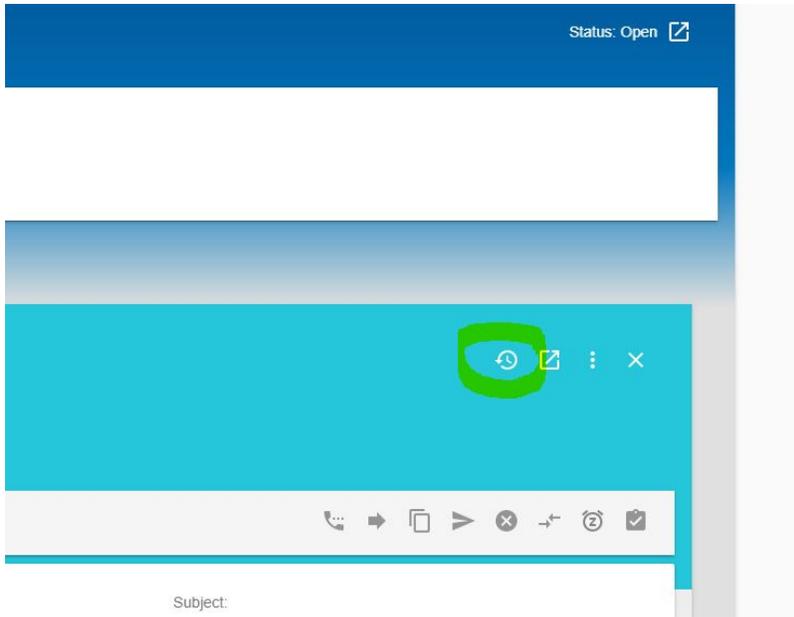


### Method 2

*Step 1) Open the case, if applicable. If not, skip to Step 2*

*Step 2) Expand one of the transactions*

*Step 3) Select the Clock Icon on the top right*



		viewing All
Start	Start	✓
Data Capture	Data Capture	✓
Other	Other	✓
Activity Level 1	Activity Level 1	✓
Activity Level 2	Activity Level 2	⚠
Activity Level 3	Activity Level 3	⚠
Finish	Finish	⚠

*In this case, level 1 has signed but level 2 (authorized rep) and level 3 are still pending.*

## Section IB.

*AEx Publisher & Company Administrator FAQs - Making changes to Transactions*

## Can I add or delete a document after the package has been created and/or sent?

**Answer: Varies depending on the status of the Transaction.**

- If the Transaction is in **Draft** Status.
- Custodian account applications cannot be removed.
- Optional forms and Proprietary forms can be added or removed by editing the Transaction. This will take you back to the landing page where you can select or deselect optional forms.



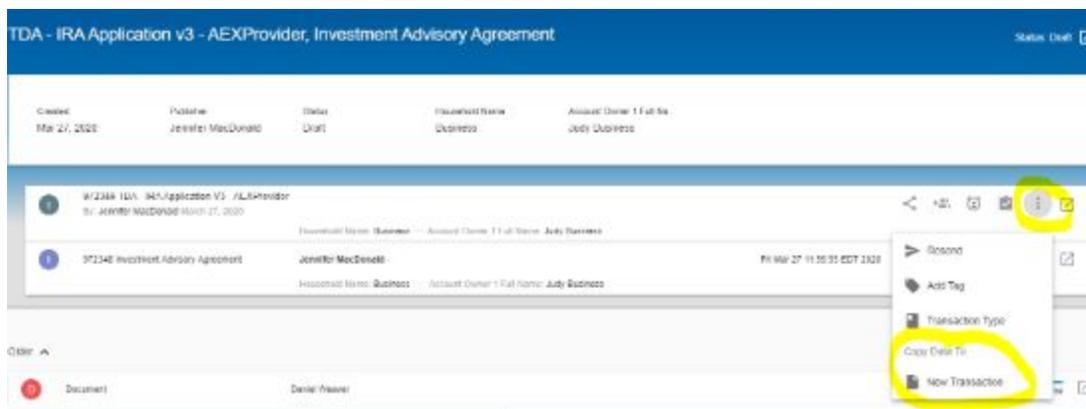
- If the transaction is in **Sent/Active** Status.
- Optional forms and Proprietary forms: rewind the transaction and follow the step listed above.
- Custodian account applications cannot be removed.

To eliminate having to re-do the package, users can Copy the data already inputted to a new set of documents by selecting;

*Step 1) On the transaction line, select the 3-dot menu.*

*Step 2) Select Copy Data to: New Transaction*

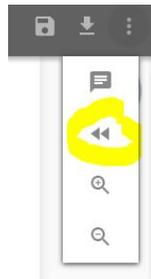
*Step 3) Select the forms that you want to to copy the data to.*



**My client signed the application but they made an error while completing it. What can I do?**

**Answer: Rewind the transaction**

Rewind back to Draft: this will allow the Publisher aka Initiator to make the changes to the signing document on behalf of their client and resend the package to their client for signature. *Please note that your client will need to re-sign all applicable documents in the package*

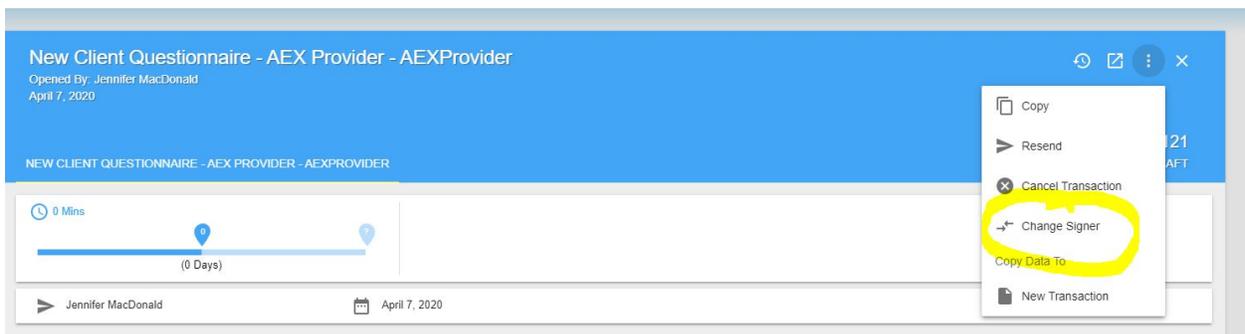


**I used the wrong email address for my client. How do I fix it?**

**Answer: Use the Change Signer feature (Method can vary depending on the transaction set-up)**

**Method 1**

- Step 1) Open the case, if applicable. If not, skip to Step 2
- Step 2) Expand one of the transactions
- Step 3) Select the 3-dot menu and choose Change Signer
- Step 4) Update the From and To email and **Resend**

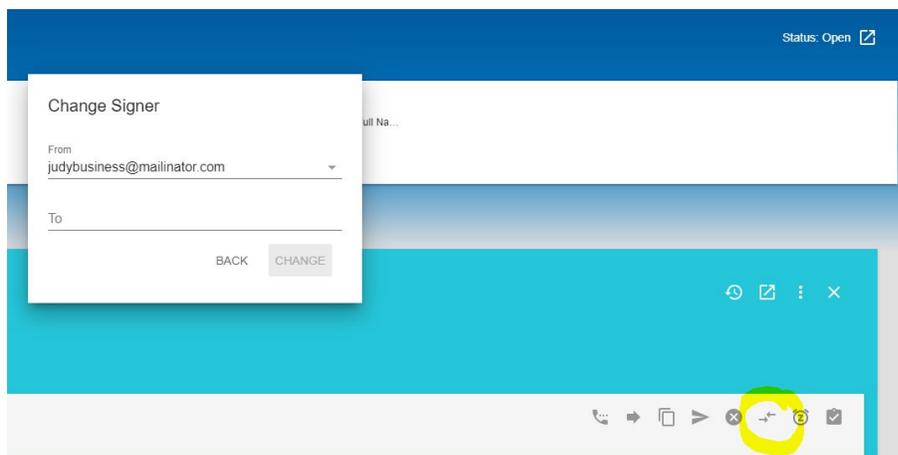


## Method 2

*Step 1) Open the case, if applicable. If not, skip to Step 2*

*Step 2) Expand one of the transactions*

*Step 3) Select the Change Signer icon (two arrows)*



**My client forgot to add their ID information. What's the best way to communicate this to them and add the ID document to the transaction?**

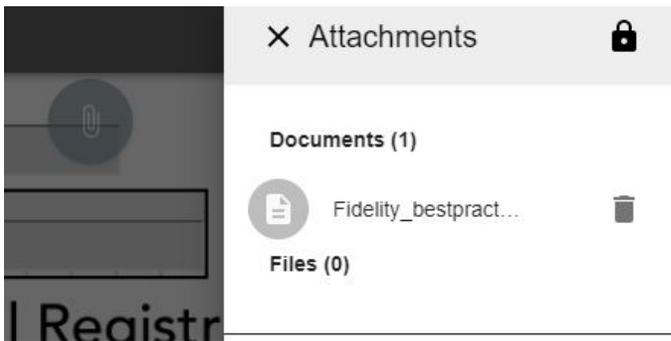
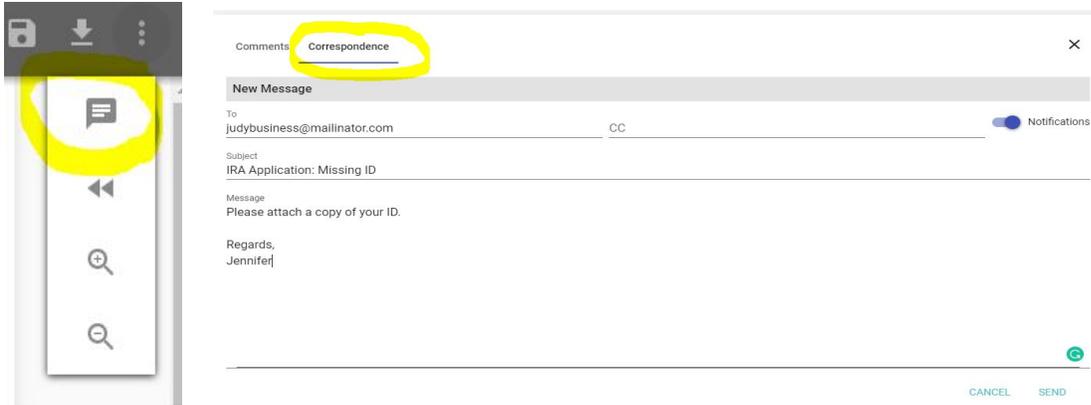
**Answer: Utilize the Correspondence feature**

*Step 1) Open the signing package*

*Step 2) Select the 3-dot menu and then the comments icon*

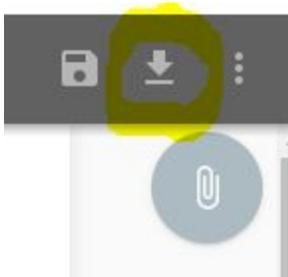
*Step 3) Select the Correspondence tab and write your request*

Your client will receive an email with a link to add the attachments. Once the attachments have been added, the sender will receive a notification. The attachments will now be part of the package under the paperclip icon.



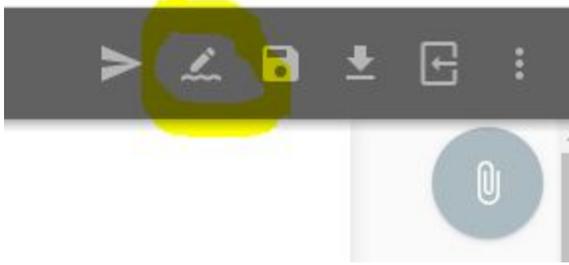
**My client changed their mind and would like to print and sign manually after I've sent the documents to them electronically. Can they?**

**Answer: Yes, however, the electronic signature blocks will be present.**



Advise your client to download the package and print.

The Publisher must decide before sending the transaction that it will be signed using wet-ink. By selecting wet-ink, all e-signature blocks will be removed from the documents.



## Section IIa.

### AEx End User FAQs - Access and Notifications

**My client did not receive the Access Code sent to their mobile. How can we resend this?**

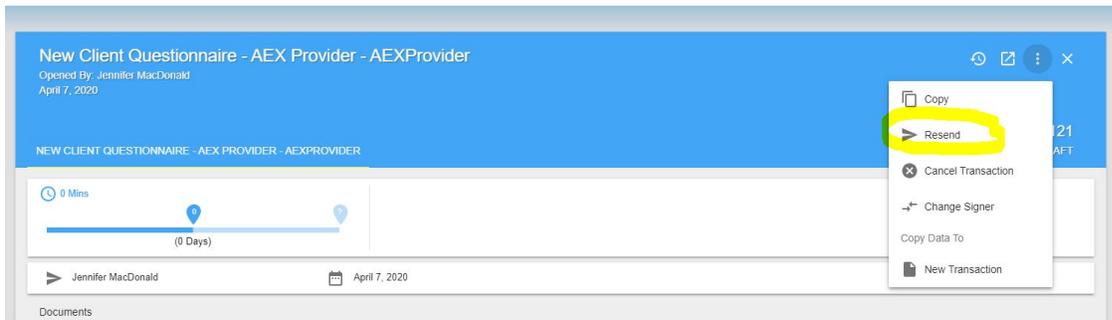
**Answer: Verify mobile number and/or update (Method can vary depending on the transaction set-up)**

#### Method 1

Step 1) Contact your company Administrator and confirm the mobile number is correct on the User set-up. If not, the company admin can update.

Step 2) Resend.

A screenshot of a mobile application's "Edit Contact" form. The form has a title bar with "Edit Contact" and "CANCEL" and "SAVE" buttons. The form contains several fields: "First Name" with the value "Judy", "Last Name" with the value "Business", "Email Address" with the value "judybusiness@mailinator.com", "Mobile Number" with the value "+1 4167880241" (highlighted with a yellow circle), "Timezone" with the value "Server Time", and "Language" with the value "English". Below these fields are two buttons: "RESET PASSWORD" and "RESET SIGNATURE". At the bottom, there is a "Permission" section with a "Role" dropdown set to "User" and a "Security Profile" dropdown. A checkbox labeled "Can Unlock Secure Fields" is at the very bottom.

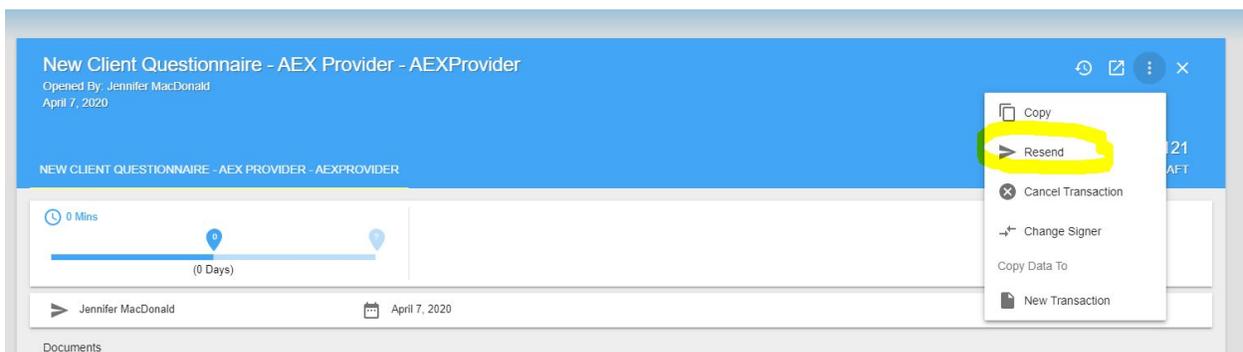
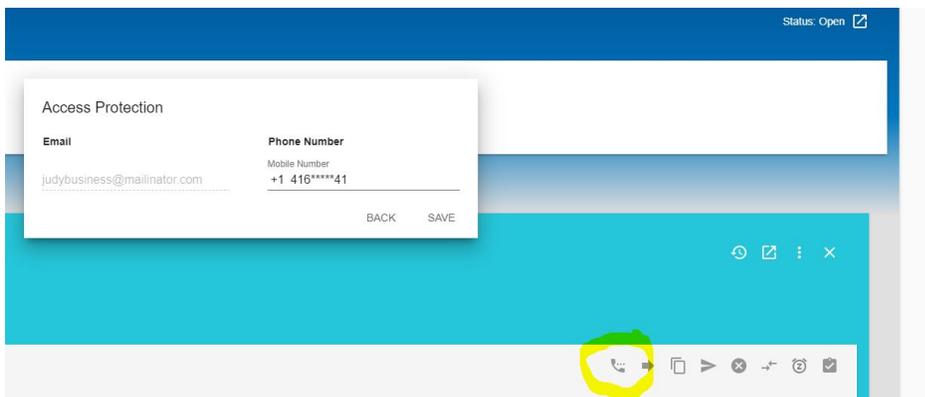


## Method 2

Step 1) Open the case, if applicable. If not, skip to Step 2

Step 2) Expand one of the transactions

Step 3) Select the Phone icon



**The Access Code and/or Email is still not being received after I've verified/updated the phone number and email address. What do I do now?**

**Answer: Email URL link and call user with launch code.**

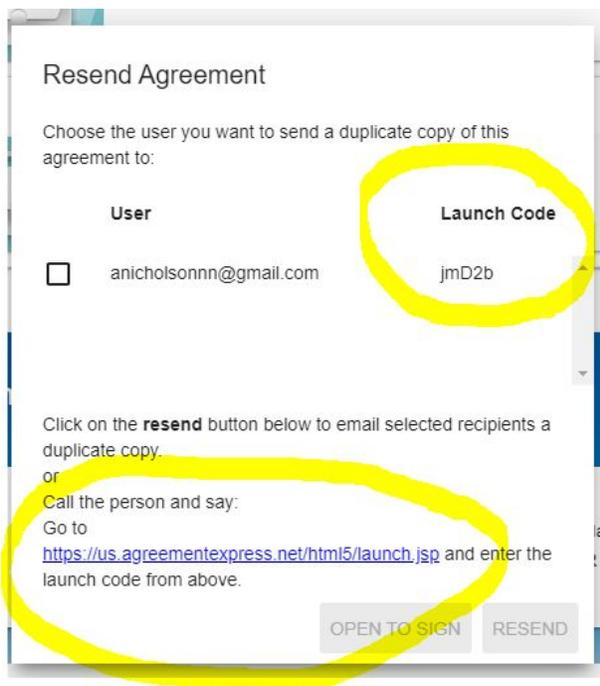
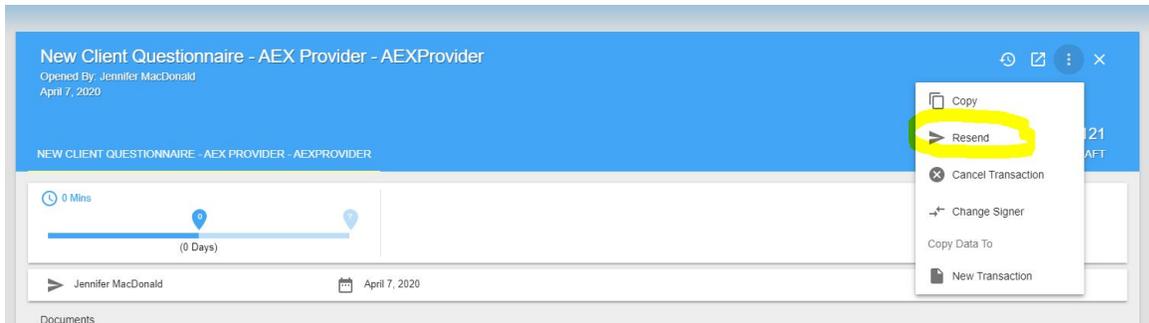
Step 1) Open the case, if applicable. If not, skip to Step 2

Step 2) Expand one of the transactions

Step 3) Select Resend

Step 4) In the Resend screen, copy and paste the URL. Send URL to your client

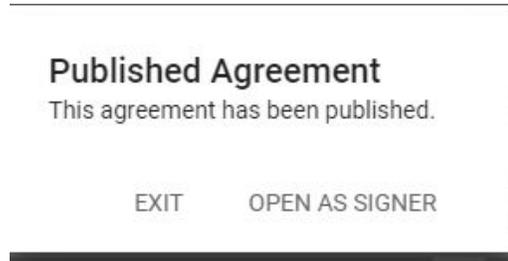
Step 5) Call your client with the launch code. The launch code is dynamic and expires after one hr.



**Our clients visit us from time-to-time. Are they able to sign the transaction package while in our office?**

**Answer: Yes, as long as Open as Signer is configured for your Company. Contact your Customer Success Manager to have added to your company.**

After the Publisher submits “Send” on a Transaction, they are presented with the option to “Open as Signer”. By selecting this option, the transaction will open on the Publisher’s computer or tablet device.



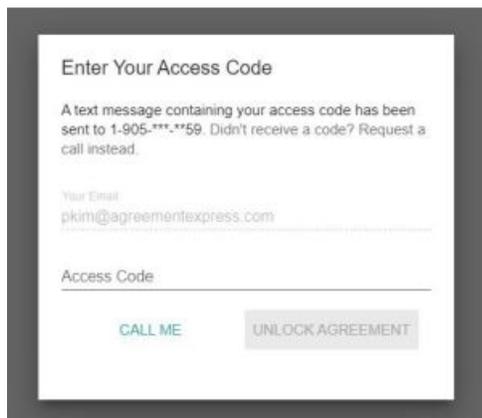
**When I type the client’s name in the search bar I can’t find them. What do I need to do?**

**Answer: If a Transaction is still in “Draft” status, the Search function will not return results when searching by name. Searching with the Transaction ID will immediately pull up the Transaction you need.**

**I only have one cell phone number for a couple. What if my client does not have a mobile phone?**

**Answer: You can use the same cell phone number for multiple individuals.**

**If your client does not have a mobile phone, they can select the “Call Me” feature when opening a document and they will receive a call to their landline with the access code.**



**Why did a document package disappear from a Work group?**

**Answer:** Once all signatures have been completed this marks the package as “Done”. Once a package is marked as done it is automatically removed from the Work group.

## Section IIb.

### AEx End User FAQs - LexisNexis ID Verification Process

**The system uses LexisNexis ID Verification. How many LexisNexis attempts will the client get?**

*If you answer 1 of 3 answers incorrectly LexisNexis will give you the opportunity to try one question again. If you still answer incorrectly, you will not be able to sign.*

*On the third invalid attempt, signers will be blocked from attempting the IDV process for 7 days. Once blocked, the signer will have to wait 7 days before attempting again.*

**How do I retrieve the LexisNexis Certificate of Completion?**

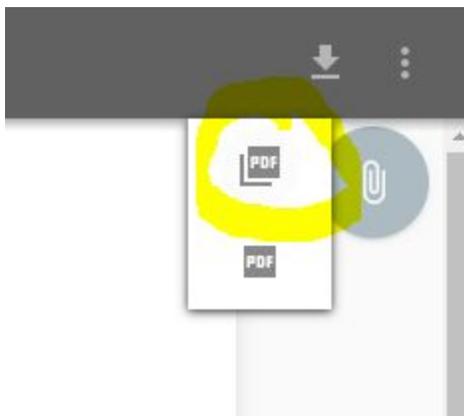
**Answer:** Download the transaction as “Individual PDF”.

*Step 1) Open the signing document*

*Step 2) Select Download, Individual PDFs.*

*Step 3) Contained within the zip folder is the Certificate of Completion*

**Answer:** Email URL link and call user with launch code.



## Section IIc.

### AEx End User FAQs - Emails

**Can I use the same email for two signers?**

**Answer: No, each signer must have their own email. If it is not possible to use unique email addresses, print a hard copy for wet signature(s).**

**When will my clients receive notification for signing? What other email notifications will end users receive throughout the account opening process?**

**Answer: The table below shows which action is taken in AEX and which email notification will occur as a result.**

Action Taken in AEX	Who receives an email?
Case is sent to an end client	Each signer in the household will receive an email that they have documents to sign.
Case or transaction is signed by End client	Advisor assigned to review the document will be notified that there are documents to sign
Case or transaction is approved by advisor	No emails are sent
Case or transaction is approved by Fidelity IPM	Advisor receives an email that the case or documents are complete
Case or transaction is rewound to advisor	When a transaction is rewound an email notification is sent to the at which level the rewind has gone back to.
Case or transaction to end client	Each signer in the household will receive an email that they have documents to sign.
Case is cancelled	No emails are sent
Case has not been opened by end client	No reminder emails are sent, Advisor will need to resend manually
Case is resent to end client	Each signer in the household will receive an email that they have documents to sign.