SCANNING WITH SEPARATOR BARCODE SHEETS
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There are two separator sheets Summit Brokerage and Docupace provide for assistance while scanning.
- Docupace Document Separator Sheet
- Docupace Work Item Separator Sheet

A. **Docupace Document Separator Sheet** is used for scanning documents for Direct Business as well as documents with the same account number and request type (Archive).

Example: Account XXXX-XXXX needs 3 documents scanned into Docupace for Direct Business for processing or to Archive. With the Docupace Document Separator Sheet, all 3 documents can be scanned at one time. The result will be one Work Item in your Mailbox with 3 unindexed documents attached. (Reminder: For Direct Business, documents should be same client and same product/vendor type.)

*Note: Please see Section 1A for instructions as to using the Docupace Document Separator Sheet.*

B. **Docupace Work Item Separator Sheet** is used for scanning a series of documents into Docupace for Pershing/First Clearing daily processing by Summit Brokerage. This barcode allows the user to scan multiple documents quicker but achieves the same goal as scanning one in at a time and sending, thus saving time. Rather than scanning one document in at a time, this barcode placed between documents will result in Docupace filing each document as a separate Work Item for processing.

Example: 6 documents scanned into Docupace. With the Docupace Work Item Separator Sheet, all 6 documents can be scanned at one time. The result will be 6 separate Work Items in your Mailbox with 1 unindexed document attached.

*Note: Please see Section 1B for instructions as to using the Docupace Work Item Separator Sheet.*

1A: DOCUPACE DOCUMENT SEPARATOR SHEET

*Note: Before scanning documents into Docupace, ALL documents must be scanned in Black and White Only. The Docupace uploader cannot read any barcodes scanned in Color and or Grayscale.*

1. Place a document separator coversheet in front of EACH document (except the first)
2. Scan the entire batch at one time as one document. Docupace will read the barcodes and separate the pages where a barcode sheet is. The mailroom will only show 1 work item as seen below.
3. In Docupace, the user will see 1 Work Item with multiple documents attached. Shown below is an example of 4 documents scanned with a Docupace Document Separator Sheet in between each. From here you will begin to Index the Work Item.

HOW TO INDEX:

The process will be the same as discussed in the How to Index Documents to be Sent to Summit for Processing chapter.

4. Under the Work Item Info tab, Select the Edit Link under the Actions bar.
5. The Change ePacs Work Item info screen will appear. Select Folder to attach a client folder. Here you can search by Account #, Last Name, First Name, etc.

You will be redirected to the search screens in order to find the right client folder/subfolder. Either search with the Default information or open the **Predefined Searches** drop-down list box and choose a more suitable search to help you locate the correct Client / Subfolder. Insert all or part of the requested information (i.e., Account #, First Name, Last Name, TIN/SSN, etc.) then click **Submit**.

The corresponding information displays as shown below. In this case, the search string was simply the client’s name.

Click the radio button to the left of the desired client/folder line item to display the appropriate index template for the document.
6. Once you’ve attached a client folder, click submit.

7. Select Request Type. The request type is the CRITICAL identification of a work item as it will determine how a work item is routed / processed. In most cases, when indexing the work item, this is the only field an advisor will need to focus on. Remember this barcode is only used for Direct Business and Archive Request Types.

8. Click Submit.
9. You will return to the ePacs page, Select the Edit link to the right of the PDF icon under the Unindexed Document folder in order to start the process of indexing the record. Both the indexing information (left side) and the document image (right side) are displayed.

10. You are now ready to index the document. It is ‘Unindexed’ because we currently have no indexing information - Client, Account, Document or Operation, Document, etc. It is the user’s job now to classify the record in order to transition it from ‘Un-indexed’ to ‘Indexed’.

11. Now you will begin to index the document by selecting the right values in the fields in the template.
12. You must now complete the indexing of the document record itself. Fill in any and all available information (i.e. Client Document Type, Form Name, Description, Date, etc)

13. Once complete, select Submit. The file has now been moved from the Unindexed Documents Folder to the Client Documents folder.

14. Continue this process for the remaining Unindexed documents.

15. Now that the documents have been indexed, the last action is to determine how to close out the work item. Over in the task bar, the user has fixed selections on how to process the work item:

   **REMEMBER:**
   - **Indexed** - If the document does actually need to be sent to Summit Brokerage, you will select Indexed. The work item will not be indexed however unless the user performs some indexing at the work item level (to be discussed shortly).
   - **Trash** - If for any reason the work item and corresponding documents are not required, you can trash the work item and it will no longer be available in the system
   - **Merge** - If for any reason you needed to merge work items (not an enabled feature currently)

   - **Indexed** - If the document does actually need to be sent to Summit Brokerage, you will select Indexed. The work item will not be indexed however unless the user performs some indexing at the work item level (to be discussed shortly).
   - **Send for Review** - By selecting Send for Review this item will be sent for the Advisor to Review before sending the document to the back office to process.
   - **Close** - If you need to process the work item at a later date you can simply close it and it will be placed back in your queue.
16. Select the task you wish to associate to this work item. Provided the information is added correctly, the work item will now move on to the next step. If the provided information is incorrect, an error will appear prompting you to change/add additional information and then proceed.

Before a Work Item can be sent to Summit Brokerage, it must be reviewed by the Advisor before being submitted. Shown below is the Pending Advisor Review folder. Here the advisor has a chance to approve and make any final changes before submitting to Summit Brokerage.

17. As you click on the Pending Advisor Review folder, below you can see documents that need attention. Before a document will be sent to Summit Brokerage, the advisor will have to Get Task from Pool on the Pending Advisor Review folder and once again.

When you click on contents the document will open, allowing the Advisor to make any changes and then send for review to Summit Brokerage for processing.

Once reviewed, if all information is correct, click Send for Review.
1B: DOCUPACE WORK ITEM SEPARATOR SHEET

Note: Before scanning documents into Docupace, ALL documents must be scanned in Black and White Only. The Docupace uploader cannot read any barcodes scanned in Color and or Grayscale.

1. Place an Docupace Work Item Separator Sheet in front of EACH document (except the first)

2. Scan the entire batch as one document. Docupace will read the barcodes and separate the batches where a barcode sheet is.

3. In Docupace, the user will see 1 Work Item for each document scanned. This result will be identical to scanning one document at a time and sending. This barcode allows the user to scan multiple documents quicker but achieves the same goal, thus saving time.

HOW TO INDEX:

The process will be the same as discussed in the How to Index Documents to be Sent to Summit for Processing chapter.

4. Under the Work Item Info tab, Select the Edit Link under the Actions bar.
5. The Change ePacs Work Item info screen will appear. Select folder to attach client folder. Here you can search by Account #, Last Name, First Name, etc.

You will be redirected to the search screens in order to find the right client folder/subfolder. Either search with the Default information or open the Predefined Searches drop-down list box and choose a more suitable search to help you locate the correct Client / Subfolder. Insert all or part of the requested information (i.e., Account #, First Name, Last Name, TIN/SSN, etc.) then click Submit.

The corresponding information displays as shown below. In this case, the search string was simply the client’s name so his six accounts are displayed.

Click the radio button to the left of the desired client/folder line item to display the appropriate index template for the document.
6. Once you've attached a client folder, click submit.

7. Select Request Type. The request type is the **CRITICAL** identification of a work item as it will determine how a work item is routed / processed. In most cases, when indexing the work item, this is the only field an advisor will need to focus on.

8. Click Submit.

9. You will return to the ePacs page, Select the **Edit** link to the right of the PDF icon under the Unindexed Document folder in order to start the process of indexing the record. Both the indexing information (left side) and the document image (right side) are displayed.

10. You are now ready to index the document. It is ‘Unindexed’ because we currently have no indexing information - Client, Account, Document or Operation, Document, etc. It is the user's job now to classify the record in order to transition it from ‘Un-indexed’ to ‘Indexed’.

11. Now you will begin to index the document by selecting the right values in the fields in the template.
12. You must now complete the indexing of the document record itself. Fill in any and all available information (i.e. Client Document Type, Form Name, Description, Date, etc.)

13. Once complete, select Submit. The file has now been moved from the Unindexed Documents Folder to the Client Documents folder.

14. Now that the documents have been indexed, the last action is to determine how to close out the work item. Over in the task bar, the user has fixed selections on how to process the work item:

   REMEMBER:
   - **Indexed** - If the document does actually need to be sent to Summit Brokerage, you will select Indexed. The work item will not be indexed however unless the user performs some indexing at the work item level (to be discussed shortly).
   - **Send for Review** - By selecting Send for Review, this item will be sent for the Advisor to Review before sending the document to the back office to process.
   - **Close** - If you need to process the work item at a later date, you can simply close it and it will be placed back in your queue.

15. Select the task you wish to associate to this work item. Provided the information is added correctly, the work item will now move on to the next step. If the provided information is incorrect, an error will appear prompting you to change/add additional information and then proceed.

Before a Work Item can be sent to Summit Brokerage, it must be reviewed by the Advisor before being submitted. Shown below is the Pending Advisor Review folder. Here the advisor has a chance to approve and make any final changes before submitting to Summit Brokerage.
16. As you click on the Pending Advisor Review folder, below you can see documents that need attention. Before a document will be sent to Summit Brokerage, the advisor will have to Get Task from Pool on the Pending Advisor Review folder and submit once again.

When you click on contents the document will open allowing the Advisor to edit any changes and then send for review to Summit Brokerage for processing.

Once reviewed, if all information is correct, click Send for Review.