

Overlay Models



Non-Qualified accounts only (IRA, Trust, Individual, Joint, etc)

To assign an account to or change an overlay model, use **Sleeve Maintenance**

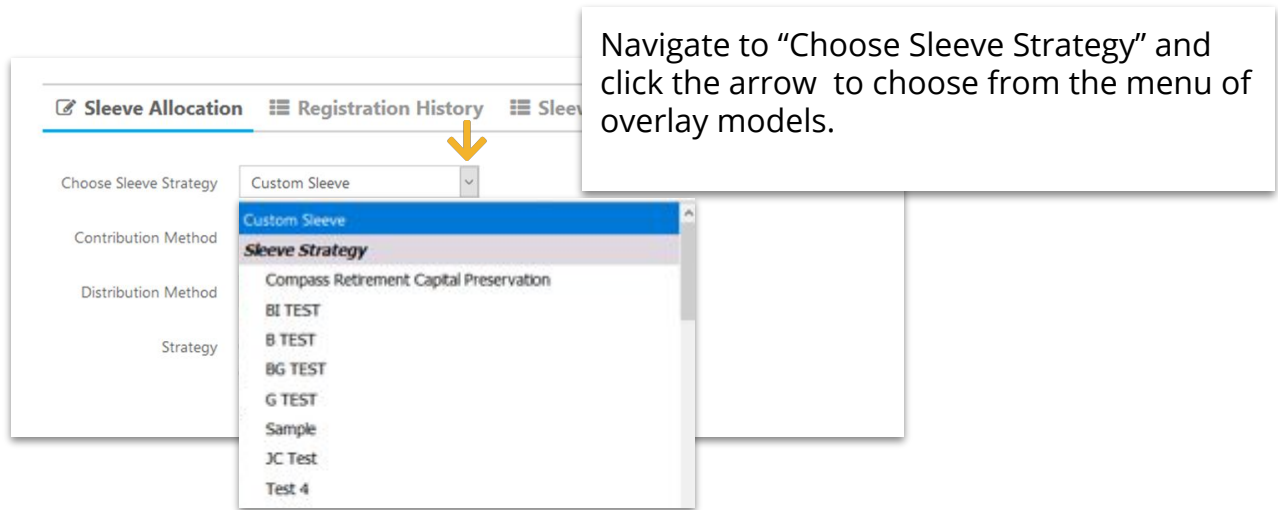
To put multiple accounts into the same overlay model, use **Account Assignment**

To create or edit an overlay model, navigate to the main dashboard and select **Work Center > Overlay Model Management**

To move an overlay model into cash, use **Sleeve Maintenance**

To move multiple overlay models into cash, please contact your Service Team

Assign or Change an Overlay Model

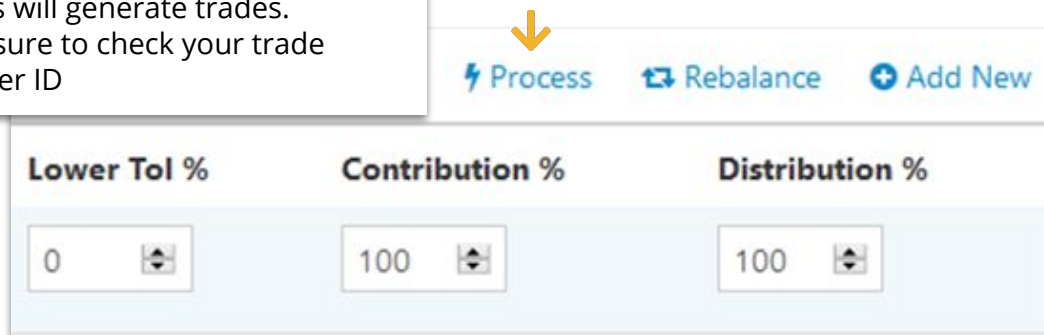


Navigate to "Choose Sleeve Strategy" and click the arrow to choose from the menu of overlay models.

The screenshot shows the 'Sleeve Allocation' tab selected. The 'Choose Sleeve Strategy' dropdown is open, displaying a list of options: Custom Sleeve, Compass Retirement Capital Preservation, BI TEST, B TEST, BG TEST, G TEST, Sample, JC Test, and Test 4. A yellow arrow points to the dropdown arrow.

Once the overlay model has been updated, click **Process** to save changes.

- This will generate trades.
- Be sure to check your trade order ID



The screenshot shows the 'Process' button highlighted with a yellow arrow. Below it are three input fields for percentages: Lower Tol %, Contribution %, and Distribution %. Each field has a numeric value and a spinner control.

| Lower Tol % | Contribution % | Distribution % |
|-------------|----------------|----------------|
| 0 | 100 | 100 |

Assigning Multiple Accounts to the same Overlay Model

To assign multiple accounts to the same overlay model, go to **Account Assignment** and choose Overlay Model from the drop down menu.

- Then choose the specific model and click continue

The screenshot shows the 'Account Assignment' form. The 'Manager' field is a dropdown menu currently displaying 'Choose Manager'. The dropdown list is open, showing options: 'Choose Manager', 'Self Directed', 'Sub-Advisor', and 'Overlay Models'. A yellow arrow points to the 'Overlay Models' option. There are 'Continue' and 'Cancel' buttons to the right of the dropdown.

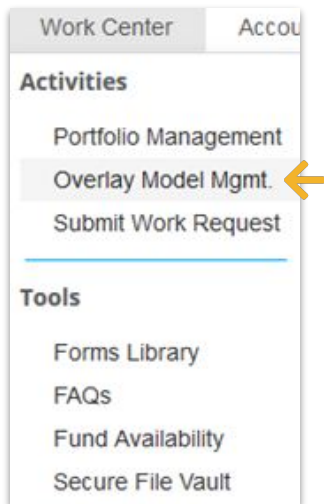
| Account ID | Name | Account Number | Account Type | Model |
|------------|--------------|----------------|-----------------|--------------------|
| 715722 | Casey Henson | 52 | Simple IRA | Custom |
| 715726 | Casey Henson | 87 | Traditional IRA | Custom |
| 751212 | Arya Stark | 02 | Rollover IRA | BI TEST |
| 751216 | Arya Stark | 02 | Rollover IRA | BI TEST |
| 752451 | Casey Henson | 46 | Traditional IRA | BI TEST |
| 769373 | Casey Henson | 50 | Traditional IRA | BI TEST |
| 770036 | Casey Henson | 79 | Traditional IRA | BI TEST |
| 770045 | Laurie Link | 82 | Individual | Custom |
| 805906 | Test App | 91 | Simple IRA | GC Balanced Growth |
| 821563 | Chase Myers | 88 | Individual | Custom |
| 822338 | Chase Myers | 39 | Individual | Custom |
| 829719 | Laurie Link | 73 | Roth | Custom |
| 832902 | kelly kruse | 00 | Individual | Custom |

Select all accounts that should be moved to the overlay model.

- To select more than one, hold CNTRL while clicking the client names.
- Once all accounts are selected click **Commit**.

The screenshot shows the bottom right corner of the 'Account Assignment' form. It displays the 'Manager:' and 'Model: MD TEST' fields. A yellow arrow points to the blue 'Commit' button.

Creating or Updating an Overlay Model



To create or edit an overlay model, go to the main dashboard.

- Navigate to the Work Center tab
- Select **Overlay Model Mgmt** from the drop down menu

Overlay Models

The screenshot shows the 'Overlay Model Management' dashboard. It features a table with columns for 'PT...', 'Overlay Model', 'Risk Analysis', 'YTD', '1YR', '3YR', '5YR', 'Modifie...', and 'Actions'. The 'Risk Analysis' column contains horizontal bar charts showing risk levels. The 'YTD' column shows values like -8.71, -9.34, -7.84, -9.34, -20.25, and -12.32. The '1YR' column shows values like -3.63, -6.3, 1.47, -5.05, -11.43, and -5.77. The '3YR' column shows values like 1.09, 0.69, 3.08, 0.57, 1.33, and 0.86. The '5YR' column shows values like 2.17, 2.14, 3.34, 1.89, 3.07, and 1.72. The 'Modifie...' column shows dates and names like '04/23/2020 HensonAd...', '05/27/2020 TestRep@', '06/09/2020 Joe.Weth...', '08/12/2020 Joe.Weth...', '04/23/2020 HensonAd...', and '04/23/2020 HensonAd...'. The 'Actions' column contains 'Edit' links. A yellow arrow points to the 'Actions' dropdown menu.

| PT... | Overlay Model | Risk Analysis | YTD | 1YR | 3YR | 5YR | Modifie... | Actions |
|-------|-------------------------------|---------------|--------|--------|------|------|-------------------------|---------|
| ✓ | Compass Retirement Capital Pr | | -8.71 | -3.63 | 1.09 | 2.17 | 04/23/2020 HensonAd... | Edit |
| ✓ | BI TEST | | -9.34 | -6.3 | 0.69 | 2.14 | 05/27/2020 TestRep@ | Edit |
| ✓ | B TEST | | -7.84 | 1.47 | 3.08 | 3.34 | 06/09/2020 Joe.Wethi... | Edit |
| ✓ | BG TEST | | -9.34 | -5.05 | 0.57 | 1.89 | 08/12/2020 Joe.Wethi... | Edit |
| ✓ | G TEST | | -20.25 | -11.43 | 1.33 | 3.07 | 04/23/2020 HensonAd... | Edit |
| ✗ | Sample | | -12.32 | -5.77 | 0.86 | 1.72 | 04/23/2020 HensonAd... | Edit |

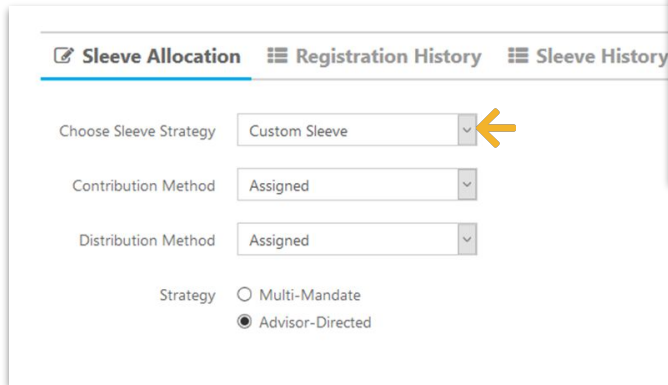
View a list of current overlay models.

- To create a new overlay model, click on the **Actions** tab and select **New Overlay Model** from the drop down menu
- To edit by model, simply click **Edit**
- For additional assistance with creating or editing overlay models, please reach out to your dedicated sales team

Moving an account to Cash

To move an account assigned to an overlay model into CASH, go to **Choose Sleeve Strategy**.

- Select **Custom Sleeve** from the drop down menu



Sleeve Allocation | Registration History | Sleeve History

Choose Sleeve Strategy: Custom Sleeve

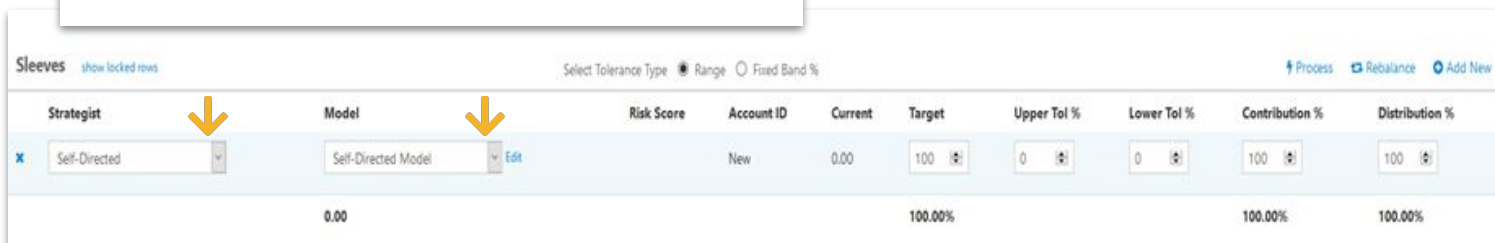
Contribution Method: Assigned

Distribution Method: Assigned

Strategy: Multi-Mandate Advisor-Directed

Update the strategist and model to Self-Directed.

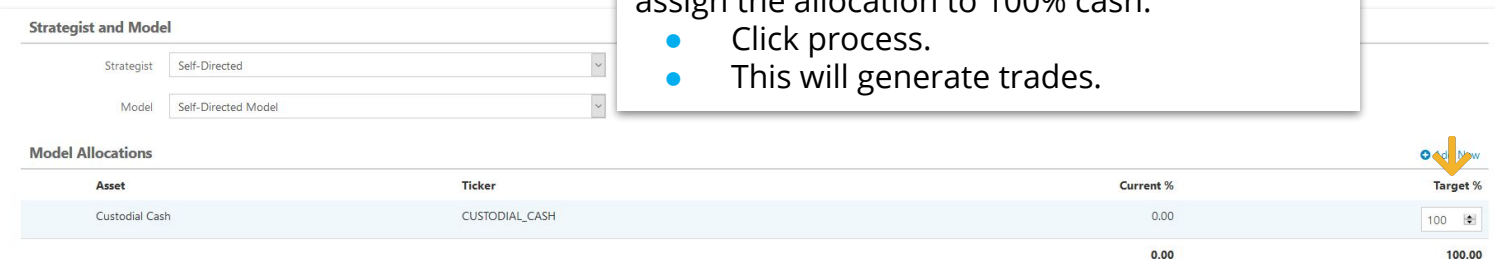
- If self-directed is not available, use the Orion Portfolio Solutions Money Market



| Strategist | Model | Risk Score | Account ID | Current | Target | Upper Tol % | Lower Tol % | Contribution % | Distribution % |
|---------------|---------------------|------------|------------|---------|--------|-------------|-------------|----------------|----------------|
| Self-Directed | Self-Directed Model | | New | 0.00 | 100 | 0 | 0 | 100 | 100 |

Upon choosing the Self-Directed model, assign the allocation to 100% cash.

- Click process.
- This will generate trades.



Strategist and Model

Strategist: Self-Directed

Model: Self-Directed Model

Model Allocations

| Asset | Ticker | Current % | Target % |
|----------------|----------------|-----------|----------|
| Custodial Cash | CUSTODIAL_CASH | 0.00 | 100 |

Checking your Trade Order ID

Go to the Trading tab

- Select Trades

Confirm trades executed as expected by searching your trade order ID:

Trading | My Portal

Account Trading

- Account Assignment (New)
- Account Trading
- Auto Rebalance Account List
- Buy & Sell

Trades

- Sleeve Maintenance
- Trade Confirms
- Trades

Trades
Use this entry to view trade orders for any given time frame.

Search by: Trade Order ID

→ Trade Order ID(s):

On the **Trade Summary** page, confirm the underlying detail to ensure the account traded as intended.

- Additionally, check the account after the trades go through to ensure they are also correct

Trade Summary
Use this entry form to view trade details.

Trade Details for Reg-level Distribution for Registration ID 306279 for \$20,000.00 (pro rata)

Order ID: 695075 # of Warnings: 0 (none)
 Trade Type: Distribution Trade # of Disabled Trades: 2 (none)
 Accounts Traded: 3 Status: Ready
 Total Trades: 22 Execution Date: 6/18/2020 12:00:00 PM
 Estimated Trade Amount: \$20,215.88 Trade Errors: [No Errors]

Back Cancel

Trade Order Details

Search By: Account Name Filter

| Account Name | Account # | Product From | Product To | Trade Type | Trade Amount | Error |
|--------------|-----------|------------------------------------|------------|------------|--------------|-------|
| isi | 588_03 | CLS Shelter N | | Dollars | 2967.24 | none |
| isi | 588_03 | Custodial Cash | | Dollars | 32.76 | none |
| isi | 588_02 | SPDR Financial Select Sector | | Shares | 7 | none |
| isi | 588_02 | SPDR Technology Select Sector | | Shares | 3 | none |
| isi | 588_02 | SPDR Health Care Select Sector | | Shares | 2 | none |
| isi | 588_02 | iShares Nasdaq Biotechnology ETF | | Shares | 1 | none |
| isi | 588_02 | Vanguard Consumer Staples | | Shares | 1 | none |
| isi | 588_02 | SPDR S&P Biotech | | Shares | 1 | none |
| isi | 588_02 | iShares U.S. Home Construction ETF | | Shares | 2 | none |