

Qualified Accounts



Qualified accounts (401k, 457, ERISA 403b, non-ERISA 403b , 401a, etc)

To update a managed model,
use **Account Assignment**

To update a self-directed
source and buy/sell a specific
fund, use **Buy & Sell**

To update the allocations on
a self-directed source and/or
rebalance, use **Account
Trading**

to invest new contributions
differently from the
allocations, use **Account
Trading** tool: New Money
Model Allocation

Qualified Accounts: Account Assignment

To update a managed model on a qualified account, go to **Account Assignment** and choose sub-advisor from the drop down menu.

- Then choose the specific model and click **continue**

The screenshot shows the 'Account Assignment' interface. The 'Manager' dropdown menu is open, with 'Sub-Advisor' selected. Below it, the 'Sub-Advisor' dropdown is set to 'American Funds' and the 'Model' dropdown is set to 'American Funds Preservation Model'. A yellow arrow points to the 'Continue' button.

Account ID	Name	Account Number	Account Type	Model	Sub Advisor
667998	LINK LAURIE	-13	401(K)	Temp Self-Directed Model for ID: 66...	Self-Directed
715723	Casey Henson	52_01	Simple IRA	361 Multi-Alternative Portfolio	361 Capital
715727	Casey Henson	87_01	Traditional IRA	Self-Directed Model for ID: 715727	Self-Directed
770046	Laurie Link	82_01	Individual	AAMA Global Growth	Advanced Asse
815883	Joe and Jenny Test	_08	Tax Exempt		
821564	Chase M			Alternative Portfolio	361 Capital
822339	Chase M			Alternative Portfolio	361 Capital

Select the account number to update.

- To choose more than one account, hold CTRL
- Click **Commit** when finished
- This will generate trades

The screenshot shows the 'Account Assignment' interface with the 'Manager' dropdown set to 'Sub-Advisor' and the 'Model' dropdown set to 'American Funds Preservation...'. A yellow arrow points to the 'Commit' button.

Qualified Accounts: Buy & Sell

Buy & Sell
Use this entry form to sell out of a product and buy into another.

Account
807_011

Sell Product

Product: Select a Product

Product Name	Balance	# of Units
Custodial Cash	\$7,757.79	7757.79
Fidelity Real Estate Invnt	\$227,234.53	5609.344
Swan Defined Risk I	\$207,246.15	16115.564
Fidelity Low Priced Stock	\$137,450.69	2961.023
Cohen & Steers Real Estate Securities I	\$97,904.19	6357.415
Total Assets: 5		

Choose the product you wish to sell

Sell Product

Product: Fidelity Low Priced Stock

Using: Dollars

Amount: 100.00

Add To Trade

Sell the product in dollars or by percentage.

- Click **Add to Trade**

Product Search

Save Cancel

Search Selected

Product Search

Search For: Fidelity

Product Class: [All Product Classes]

Product Name

Product Name

Cusip

Ticker

Search for the product you wish to purchase.

- Search by name, cusip, or ticker
- Click Search

Qualified Accounts: Buy & Sell, cont'd

Save Cancel

Select the fund you wish to purchase.

- Click **Save**

Search Selected

Product Search

Search For: Fidelity Product Name

- in -

Product Class: [All Product Classes] Search

	Product Name	Ticker
Select	Fidelity 500 Index Fund	FXAIX
Select	Fidelity Advisor Emerging Mkts Z	FZAEX
Select	Fidelity Adv Real Estate Income Instl	FRIRX
Select	Fidelity Advisor Asset Manager 50% A	FFAMX

Product

Trade Product: Fidelity Real Estate Invst (FRESX)

← Fidelity 500 Index Fund

Add Product(s) ←

If you wish to add more products, click **Add Products**.

- To delete products, click the trash can to the left of the product name

Product	Ticker	Percent	Amount
Trade Product: Fidelity Real Estate Invst (FRESX)			Value: \$227,234.53 - Shares: 5,609.344 (Sell: \$100.00)
← Fidelity 500 Index Fund	FXAIX	50.00 %	\$50.00
← Fidelity Advisor Biotechnology A	FBTAX	50.00 %	\$50.00
Add Product(s)		100.00 %	←→ \$100.00
Generate Trade ←			

Confirm that the purchase amount totals 100%.

- All trades for the account must be placed at the same time, as accounts can only be traded once per day
- Click **Generate Trade**

Qualified Accounts: Account Trading

Model Allocation | New Money Model Allocation | Account Positions

Add Product(s)

Product Name	Actual Allocation	Target Allocation
Cohen & Steers Real Estate Securities I	14.45%	15.50%
Custodial Cash	1.15%	1.00%
Fidelity Low Priced Stock	20.29%	20.00%
Fidelity Real Estate Invnt	33.54%	35.00%
Swan Defined Risk I	30.59%	28.50%

* A minimum of 1% cash is required in each model.

Rebalance | Save Changes

To realign allocations back to their target allocations, click **Rebalance**.

- This will generate trades

Model Allocation | New Money Model Allocation | Account Positions

Add Product(s)

Product Name	Actual Allocation	Target Allocation
Cohen & Steers Real Estate Securities I	14.45%	15.50%
Custodial Cash	1.15%	1.00%
Fidelity Low Priced Stock	20.29%	20.00%
Fidelity Real Estate Invnt	33.54%	35.00%
Swan Defined Risk I	30.59%	28.50%

* A minimum of 1% cash is required in each model.

Rebalance | Save Changes

To update target allocations, indicate the new allocation percentages.

- Target Allocation column must total 100%
- Click **Save Changes** to save (this will not generate trades)
- Click **Rebalance** to realign current allocations to match new targets (this will generate trades)

Model Allocation | New Money Model Allocation | Account Positions

Product Group: TD Ameritrade

Add Product(s)

Product Name	Target Allocation
Fidelity Advisor Consumer Staples A	100.00%

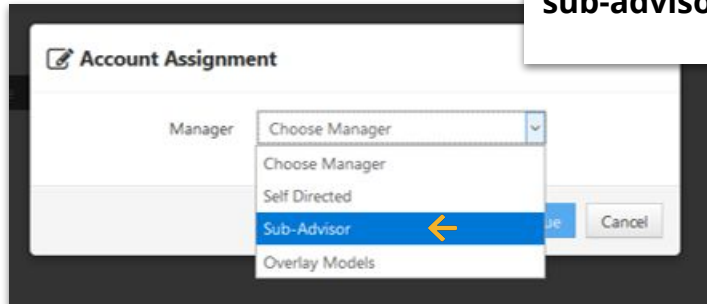
Save Changes

New contributions may be invested differently from the model allocations by updating the **New Money Model Allocation** tab.

- Add product and target allocation percentage for new contributions to purchase into
- Target allocations must total 100%
- Save Changes**

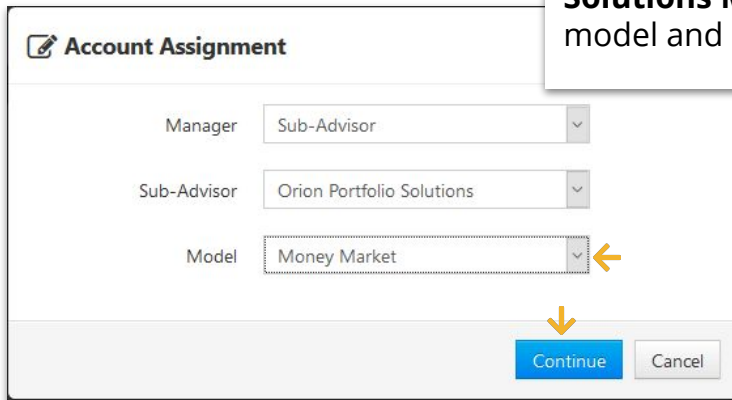
Moving a Qualified Account to Cash

Go to **Account Assignment** and choose **sub-advisor** from the drop down menu.



The screenshot shows the 'Account Assignment' form. The 'Manager' dropdown menu is open, displaying options: 'Choose Manager', 'Self Directed', 'Sub-Advisor', and 'Overlay Models'. A yellow arrow points to the 'Sub-Advisor' option. The 'Continue' button is visible to the right of the dropdown.

Select the **Orion Portfolio Solutions Money Market** model and click continue.



The screenshot shows the 'Account Assignment' form with the following selections: 'Manager' is 'Sub-Advisor', 'Sub-Advisor' is 'Orion Portfolio Solutions', and 'Model' is 'Money Market'. A yellow arrow points to the 'Money Market' dropdown. Another yellow arrow points to the 'Continue' button at the bottom right of the form.

Something to Note:

Once you have selected the account(s) that need to be moved, click **Commit**.

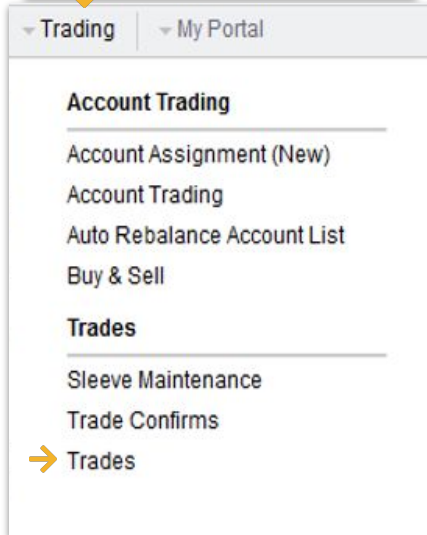
- Please note that selecting Self-Directed Cash instead of the OPS Money Market will only move assets over *in-kind*
- The account will not sell to cash until it is manually rebalanced in **Account Trading**

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



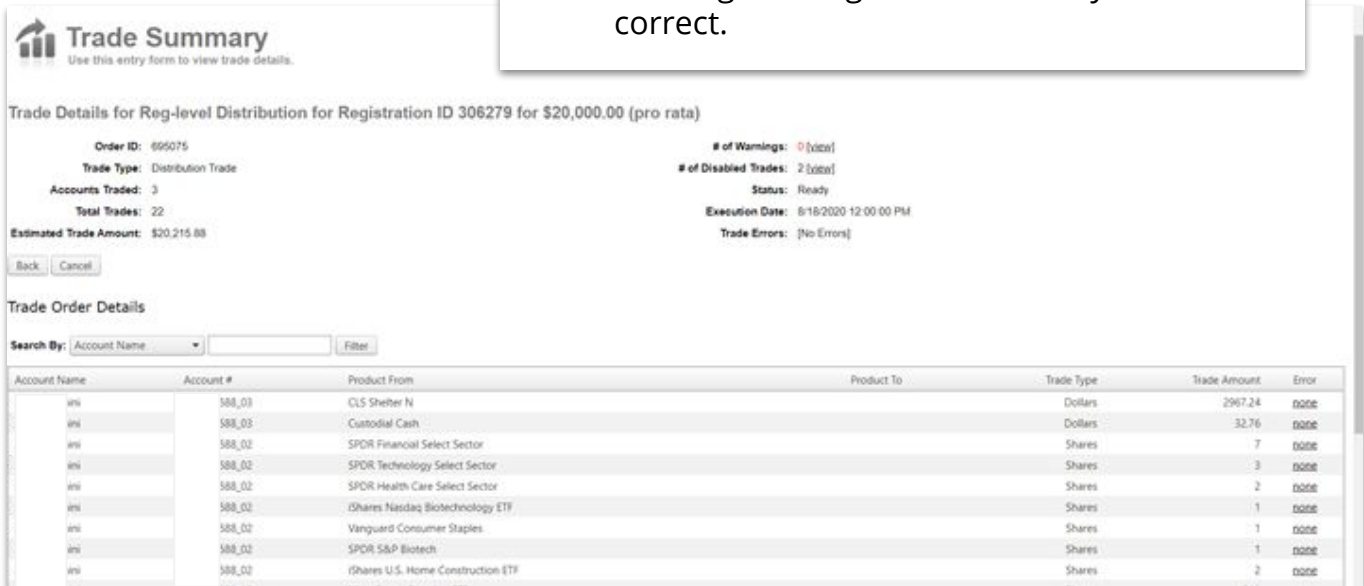
Trades
Use this entry to view trade orders for any given time frame.

Search by: Trade Order ID

→ Trade Order ID(s): Search Reset Search

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]

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