

# Self-Directed Accounts: sleeved and unsleeved



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

Sleeved accounts: to buy/sell a specific fund, use **Buy & Sell**

Sleeved accounts: to rebalance just the self-directed sleeve, use **Account Trading**

Sleeved accounts: to update the allocations of the self-directed sleeve, use **Account Trading**

Unsleeved accounts: to buy/sell a specific fund, use **Buy & Sell**

Unsleeved accounts: to update the allocations and/or rebalance, use **Account Trading**

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

# Self-Directed: Buy & Sell

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

Account  
- IRAROLL 607 01

Sell Product

Product: Select a Product

Using:	Product Name	Balance	# of Units
Prod	Custodial Cash	\$7,757.79	7757.79
No re	Fidelity Real Estate Inv	\$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 Name

Product Class: [All Product Classes]

Search for the product you wish to purchase.

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

# Self-Directed: 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
<b>Add Product(s)</b>		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**

# Self-Directed: 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**

# 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  
Trade Type: Distribution Trade  
Accounts Traded: 3  
Total Trades: 22  
Estimated Trade Amount: \$20,215.88

# of Warnings: 0 (none)  
# of Disabled Trades: 2 (none)  
Status: Ready  
Execution Date: 6/18/2020 12:00:00 PM  
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