

Sleeved Accounts



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

To add or update strategist models, use **Sleeve Maintenance**

Additionally, **Sleeve Maintenance** will also be used for the following:

- Update target percentages
- Update contribution/distribution method
- Establish an annual/semiannual auto-rebalance
- Initiate a one-time registration rebalance

Add, Remove, or Change a Sleeve

Test Account, Individual (317137)
None

\$0.00
Registration Value

Sleeve Allocation Registration History Sleeve History

Choose Sleeve Strategy: Custom Sleeve

To change a strategist or model, click the arrows to choose from the drop-down menu

Custodial Account: 921456505
Active:
Auto-Rebalance: None

To add a sleeve, click on **Add New**

Sleeves [show locked rows](#) Select Tolerance Type: Range Fixed Band % [Process](#) [Rebalance](#) [Add New](#)

Strategist	Model	Risk Score	Account ID	Current	Target	Upper Tol %	Lower Tol %	Contribution %	Distribution %
American Funds	American Funds Tax-Aware Cor	10	New	0.00	100	0	0	100	100
	10.00				100.00%			100.00%	100.00%

Sleeves [show locked rows](#) Select Tolerance Type: Range Fixed Band % [Process](#) [Rebalance](#) [Add New](#)

Strategist	Model	Risk Score	Account ID	Current	Target	Upper Tol %	Lower Tol %	Contribution %	Distribution %
American Funds	American Funds Tax-Aware Cor	10	New	0.00	100	0	0	100	100
	10.00				100.00%			100.00%	100.00%

The target percentage must total 100% between all sleeves.

- Once target percentages are established, click **process**
- Changing, adding, or removing a sleeve will generate trades
- Check your trade order ID when finished

Updating Target Percentages on Sleeves

Update target percentages within the Target column.

- All Target Percentages must total 100% between sleeves

Click process to save target percentages.

- This will generate trades

Sleeves show locked rows

Strategist	Model	Risk Score	Account ID	Current	Target	Upper Tol %	Lower Tol %	Contribution %	Distribution %
x American Funds	American Funds Tax-Aware Con <small>View</small>	10	New	0.00	50	0	0	100	100
x ETF - Horizon Investments	Horizon Focused - ETF <small>View</small>	98	New	0.00	25	0	0	0	0
x ETF - Cougar Global Investmen	Cougar GTS With Conservative <small>View</small>	49	New	0.00	25	0	0	0	0
				41.75	100.00%			100.00%	100.00%

Process Rebalance Add New

Updating the Contribution or Distribution Method

Selecting the arrows for Contribution or Distribution method will generate a drop-down menu.

- **Assigned** will allow the contribution/distribution percentage to be updated in the applicable column
 - New money will be allocated to sleeves based on the contribution percentage
 - Distributions will liquidate from the sleeves based on the distribution percentage
- **Sleeve Target** will assign the contribution/distribution method percentage to be the same as the target percentage

Test Account, Individual (317137)
None

Sleeve Allocation Registration History

Choose Sleeve Strategy: Custom Sleeve

Contribution Method: Assigned

Distribution Method: Sleeve Target

Strategy: Multi-Mandate Advisor-Directed

Sleeves show locked rows

Strategist	Model	Risk Score	Account ID	Current	Target	Upper Tol %	Lower Tol %	Contribution %	Distribution %
x Dunham & Associates	Dunham Capital Preservation <small>View</small>	58	New	0.00	50	0	0	50	50
x Meeder Target Withdrawal	Meeder Target Withdrawal 6-7 <small>View</small>	74	New	0.00	25	0	0	0	25
x Toews Corporation	Toews All Equity <small>View</small>	42	New	0.00	25	0	0	0	25
				58.00	100.00%			100.00%	100.00%

Process Rebalance Add New

Click **Process** to save these changes.

- This will not generate trades

Rebalancing a Sleeved Account

Auto-Rebalance

None
Annual
Semiannual
None

Establish a registration level auto-rebalance to occur annually or semiannually.

Auto-Rebalance Semiannual

Month / Day Month 2 of Cycle 11

Choose the month and date of recurring rebalance.

To initiate a one-time rebalance across sleeves, click Rebalance.

- This will adjust all sleeves to be in line with their original target percentages
- This will generate trades

Process Rebalance Add New

Strategies	Model	Non-Asset	Account ID	Current	Target	Upper Tol %	Lower Tol %	Contribution %	Distribution %	
First Affirmative Financial Netw	First Affirmative Faith Based Bal	View	58	850541	0.00	100	0	0	100	100
Self-Directed	Self-Directed Model	Edit	New	0.00	0	0	0	0	0	0
					58.00	100.00%	100.00%	100.00%	100.00%	

Moving a Sleeved Account to Cash

To move an account to cash (or a portion of the account), update the sleeve to Self-Directed.

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

Sleeves show locked rows Select Tolerance Type Range Fixed Band % Process Rebalance Add New

Strategist	Model	Risk Score	Account ID	Current	Target	Upper Tol %	Lower Tol %	Contribution %	Distribution %
Self-Directed	Self-Directed Model <small>Edit</small>		New	0.00	100	0	0	100	100
	0.00				100.00%			100.00%	100.00%

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 Add New

Asset	Ticker	Current %	Target %
Custodial Cash	CUSTODIAL_CASH	0.00	100
		0.00	100.00

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]

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