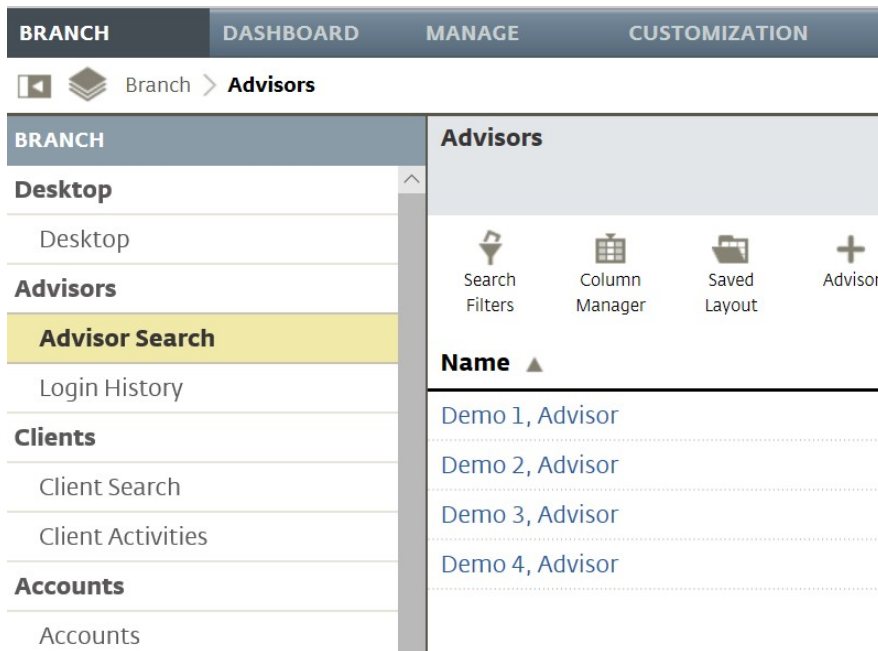


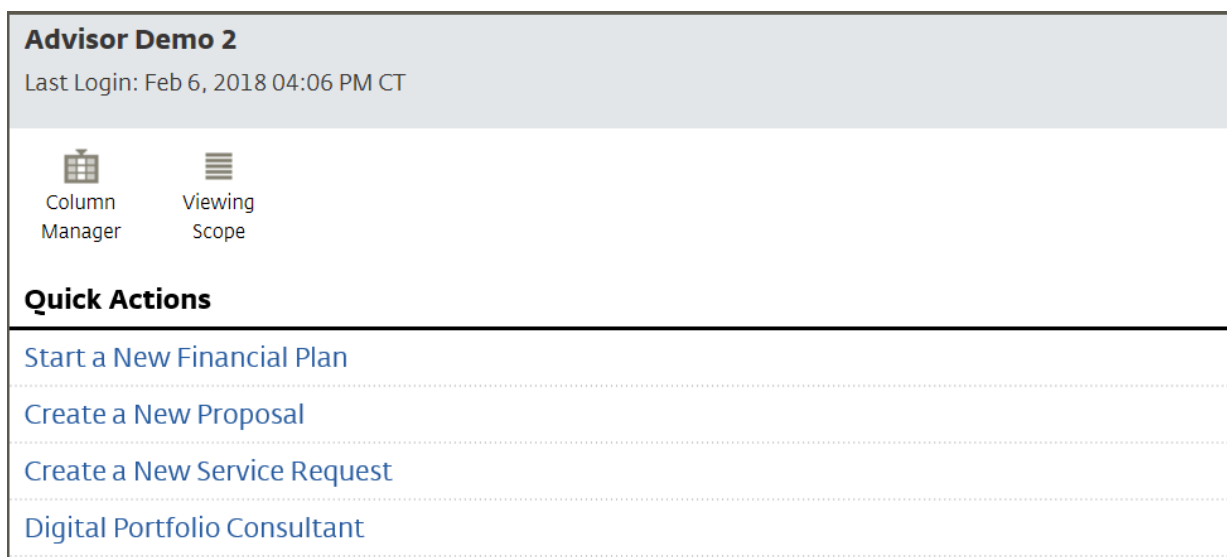
**PROPOSAL GENERATION**

- 1) Launch into the appropriate Advisor's Portal via Advisor Search
  - You will see the Advisor's Name in the top right hand corner if you have done this correctly



The screenshot shows the LibertyFI user interface. At the top, there are navigation tabs: BRANCH, DASHBOARD, MANAGE, and CUSTOMIZATION. Below these is a breadcrumb trail: Branch > Advisors. A left-hand sidebar menu is visible with categories: BRANCH, Desktop, Advisors (with 'Advisor Search' highlighted), Login History, Clients, Client Search, Client Activities, Accounts, and Accounts. The main content area is titled 'Advisors' and contains icons for Search Filters, Column Manager, Saved Layout, and a plus sign for adding an advisor. Below these icons is a list of advisors under the heading 'Name ▲', including Demo 1, Demo 2, Demo 3, and Demo 4, each followed by the text ', Advisor'.

- 2) Select **Create a New Proposal**

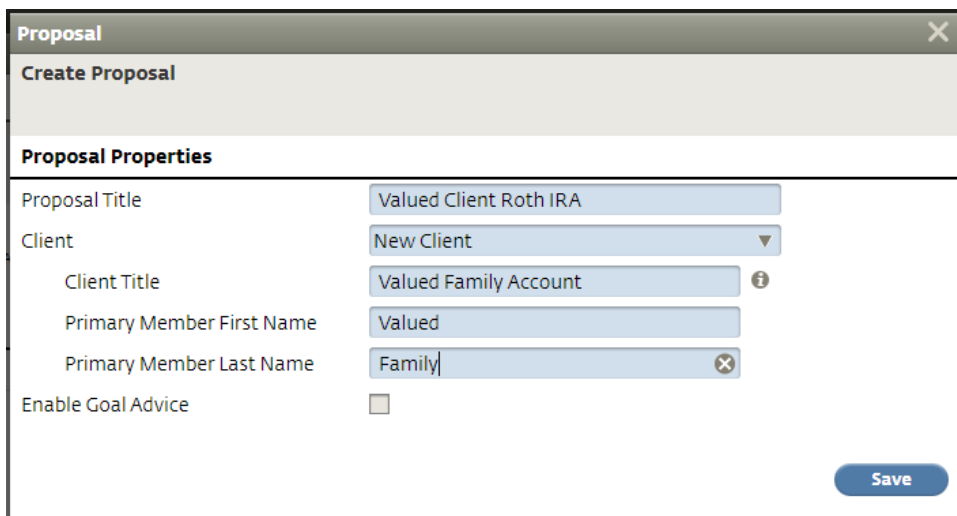


The screenshot shows the dashboard for 'Advisor Demo 2'. At the top, it displays 'Last Login: Feb 6, 2018 04:06 PM CT'. Below this are two icons: 'Column Manager' and 'Viewing Scope'. A section titled 'Quick Actions' is enclosed in a box and contains the following links: 'Start a New Financial Plan', 'Create a New Proposal', 'Create a New Service Request', and 'Digital Portfolio Consultant'.

**PROPOSAL GENERATION**

3) Enter Proposal Title

- Select New Client if this is for a New Account
- If opening an additional account for an existing client, select Existing Client and search for client name. This will ensure the accounts get household.
- Click **Save**



**Proposal**

**Create Proposal**

**Proposal Properties**

Proposal Title: Valued Client Roth IRA

Client: New Client

Client Title: Valued Family Account

Primary Member First Name: Valued

Primary Member Last Name: Family

Enable Goal Advice:

**Save**

4) Proposal Properties: Enter the Investment Amount and select **I already know my client's risk tolerance**

- Click **Save + Next**

**Proposal Properties**

Client Title	Valued Family Account
Proposal Title	Valued Client Roth IRA
How would you like to proceed with your Investment Account selection?	<input checked="" type="checkbox"/> Manually search for investment products <input type="checkbox"/> Use Digital Portfolio Consultant to help you select investment product
How would you like to specify the investment amount?	<input checked="" type="radio"/> Enter the amount: \$100,000 <input type="radio"/> Enter my client's current assets and compare them to the proposed investments
How would you like to determine your client's risk tolerance?	<input type="radio"/> Take the risk tolerance questionnaire <input checked="" type="radio"/> I already know my client's risk tolerance

**Cancel** **Save** **Save + Next**

**PROPOSAL GENERATION**

5) Risk Assessment: Enter Investment Objective & Profile Documentation

- Check **Confirm**
- Click **Save + Next**

**RISK ASSESSMENT**

Investment Objective Moderate

Profile Documentation Existing client (Advisor has documented client's risk tol

**Disclaimer**

*I confirm that I have determined, and have records to demonstrate, that the above-listed assessment is suitable given my client's risk/reward profile. I confirm an existing business relationship with the client. Based upon knowledge gained through this relationship and documentation contained in the client file, I affirm the client's suitability information to be accurate. I acknowledge that Evestnet Asset Management, Inc. ("Platform Manager") disclaims any responsibility or liability for my selection of this investment objective and agree to indemnify Platform Manager and applicable Sub-Manager for any claims, losses or other liabilities relating to the suitability of the selected investment objective. I understand that Platform Manager and/or Sub-Manager, if applicable, may request additional client information prior to investing the account.*

Confirm

Cancel Save Save + Next

6) Proposed Investments: Enter the Program, Custodian, & Registration Type

- Click the icon "Add Members" if it is a joint account
- Click the icon "Add Investment" if opening up multiple accounts
- Click **Save + Next**

Delete Reset Add Investment Add Members Analyze Error Details Warnings

**Proposed Investment**

Program Advisor as Portfolio Manager

Amount \$ 100,000

Custodian Fidelity IWS

Registration Type Individual

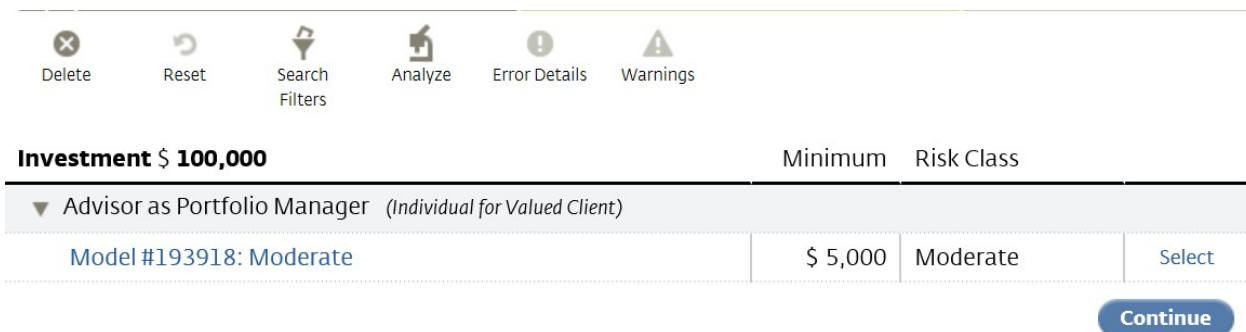
Primary Owner Client, Valued

Joint Owner

Cancel Save Save + Next

**PROPOSAL GENERATION**

- 7) Advisor Directed: Click **Select** next to the appropriate portfolio
- Click the icon “Search Filters” and change to All Risk Classes if the appropriate portfolio is not showing up
  - Click **Continue**



Navigation icons: Delete, Reset, Search Filters, Analyze, Error Details, Warnings

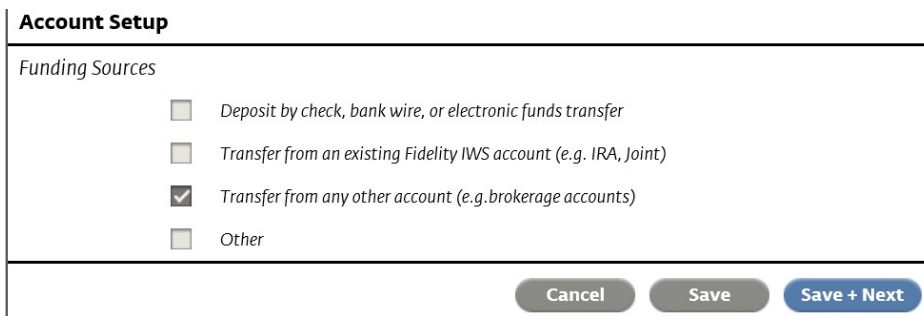
**Investment \$ 100,000** Minimum Risk Class

▼ Advisor as Portfolio Manager *(Individual for Valued Client)*

Model	Minimum	Risk Class	Action
Model #193918: Moderate	\$ 5,000	Moderate	Select

**Continue**

- 8) Account Setup:
- Select the appropriate Funding Source
  - Click **Save + Next**



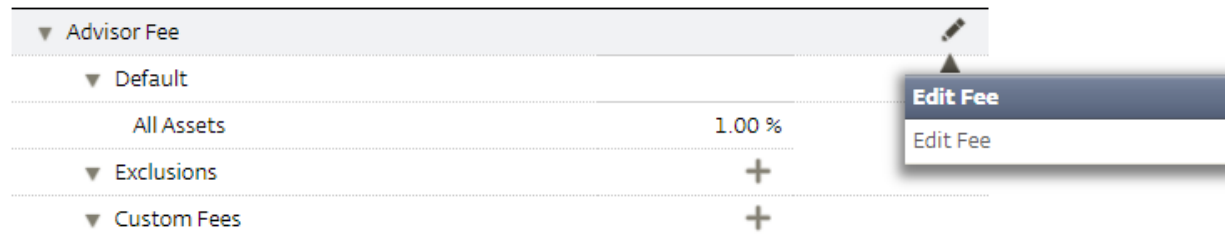
**Account Setup**


Funding Sources

- Deposit by check, bank wire, or electronic funds transfer
- Transfer from an existing Fidelity IWS account (e.g. IRA, Joint)
- Transfer from any other account (e.g. brokerage accounts)
- Other

**Cancel Save Save + Next**

- 9) Fee's: Enter the ADVISOR FEE
- Click the “Pencil” icon to edit the fee – enter the correct fee for ALL breakpoints
  - Check **Accept**
  - Click **Save + Next**



▼ Advisor Fee 

Category	Value
▼ Default	
All Assets	1.00 %
▼ Exclusions	+
▼ Custom Fees	+

**Edit Fee**  
Edit Fee

## PROPOSAL GENERATION

### 10) Paperwork:

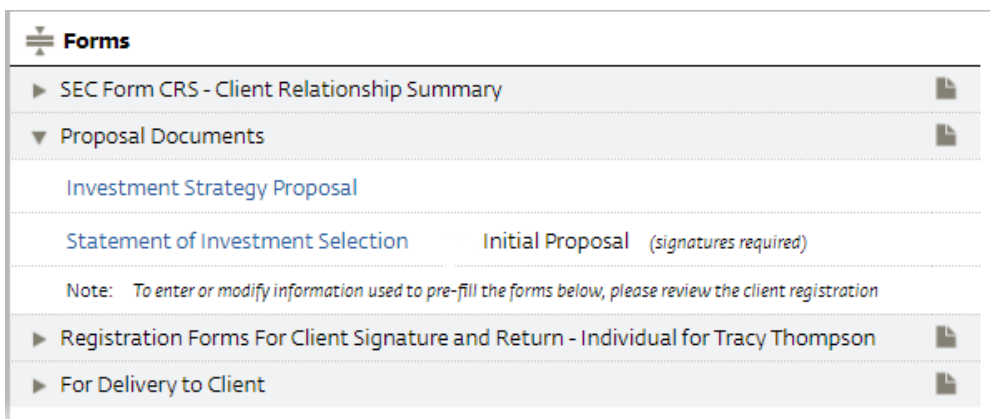
- Click **Generate**

#### Paperwork

The final step of the proposal process is to generate the proposal document and associated paperwork. Use the **Generate** button to finalize this process. Further changes will then be blocked and can only be enabled after resetting the proposal.

**Generate**

- Select the **Statement of Investment Selection** and obtain necessary signatures

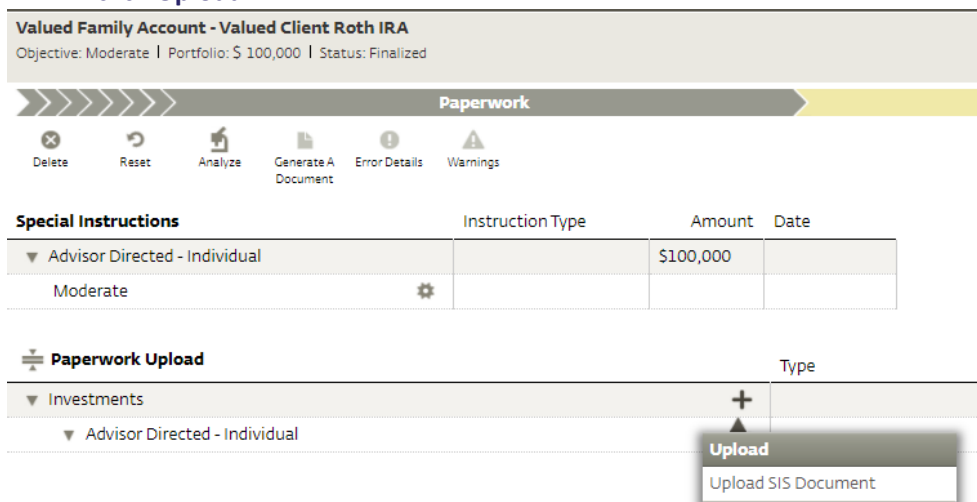


**Forms**

- ▶ SEC Form CRS - Client Relationship Summary
- ▼ Proposal Documents
  - Investment Strategy Proposal
  - Statement of Investment Selection      Initial Proposal *(signatures required)*
  - Note: To enter or modify information used to pre-fill the forms below, please review the client registration
- ▶ Registration Forms For Client Signature and Return - Individual for Tracy Thompson
- ▶ For Delivery to Client

### 11) Upload SIS, add account number and any special instructions

- Click the '+' to upload SIS
- Select **Document Type**, **Name document**, and **Select File**. Once the document has been selected, click **Upload**



**Valued Family Account - Valued Client Roth IRA**  
Objective: Moderate | Portfolio: \$ 100,000 | Status: Finalized

**Paperwork**

Delete   Reset   Analyze   Generate A Document   Error Details   Warnings

Special Instructions	Instruction Type	Amount	Date
▼ Advisor Directed - Individual Moderate		\$100,000	

**Paperwork Upload**

Type
▼ Investments
▼ Advisor Directed - Individual

**Upload**  
Upload SIS Document

**PROPOSAL GENERATION**

- Click the **gear icon** and **Add Special Instructions**. Select **Add Account Number**, **Existing Account Number**, and **enter** client account number.
- You can also add **Special Instructions**, such as adding Trade Hold, Manager Instructions, or Copy Act requests

**Valued Family Account - Valued Client Roth IRA**  
Objective: Moderate | Portfolio: \$ 100,000 | Status: Finalized

**Paperwork**

Delete   Reset   Analyze   Generate A Document   Error Details   Warnings

Special Instructions	Instruction Type	Amount	Date
▼ Advisor Directed - Individual		\$100,000	
Moderate			

**Paperwork Upload**

	Type
▼ Investments	+
▼ Advisor Directed - Individual	+

**Add**  
Add Special Instructions

12) Once the Account Number has been entered and SIS has been uploaded, **Submit** client proposal for processing

**Valued Family Account - Valued Client Roth IRA**  
Objective: Moderate | Portfolio: \$ 100,000 | Status: Finalized

**Paperwork**

Delete   Reset   Analyze   Generate A Document   Error Details   Warnings

Special Instructions	Instruction Type	Amount	Date
▼ Advisor Directed - Individual		\$100,000	
▼ Moderate			
12345678	Account Number		

**Paperwork Upload**

	Type
▼ Investments	+
SIS	SIS
▼ Advisor Directed - Individual	+

**Submit**