



## UNSUPERVISED, EXCLUDED, RESTRICTED SUMMARY

### UNSUPERVISED:

Tickers within accounts can be held outside of the platform as unsupervised. They cannot be traded, reported, or billed (for any fee component).

To add a ticker to unsupervised, email [paperwork@libertyfi.com](mailto:paperwork@libertyfi.com). Once complete, an Unsupervised tab will be created for that client and all tickers held outside the platform will be listed.

General	Positions	Controls	Billing	Cost Basis	Unsupervised	Policy	Transactions
Column Manager	Saved Layout	Error Details	Generate A CSV File				
Ticker	Cusip	Type	Description	Sec Type	Added		
▼ Account	1						
FMAO	[REDACTED]	Unsupervised Holding	Farmers & Merchants Bancorp Inc	Common Stock	Jan 4, 2019		

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**EXCLUDED:**

Tickers can be excluded from billing on an account’s advisor fee. To exclude assets from billing in a proposal, select the “+” on the fees section of the proposal and fill out the requested info.

**Model - LibertyFi Test | \$ 500,000**

Advisor Fee		
▼ Default		
Up to \$2.5M	1.00 %	
\$2.5M-5M	0.80	
\$5M-7.5M	0.70	
Above \$7.5M	0.60	
▼ Exclusions		
Sponsor Fee		<b>Add Exclusion</b>
▼ Default		
All Assets		
Client Fee		Asset Category
▼ Default		
Up to \$2.5M		Cash Category
\$2.5M-5M		Fund Family
\$5M-7.5M		Security
Above \$7.5M		Share Class
		NTF/TF
		Sleeve Type
		Account Value

To add billing exclusions to existing accounts, email [billing@libertyfi.com](mailto:billing@libertyfi.com) with the ticker and account number. Billing exclusions can be found under the advisor fee by selecting “View Fee Schedule” on the account’s billing tab.

Advisor Fee	Sponsor Fee
▼ Fees	
All Assets 0.54 %	All Assets 0.15 %
▼ Exclusions	
Asset Category Cash Securities (Ticker or Cusip) 02007GAB9:US - Ally Bk Midvale Utah Cd 2.1%19	

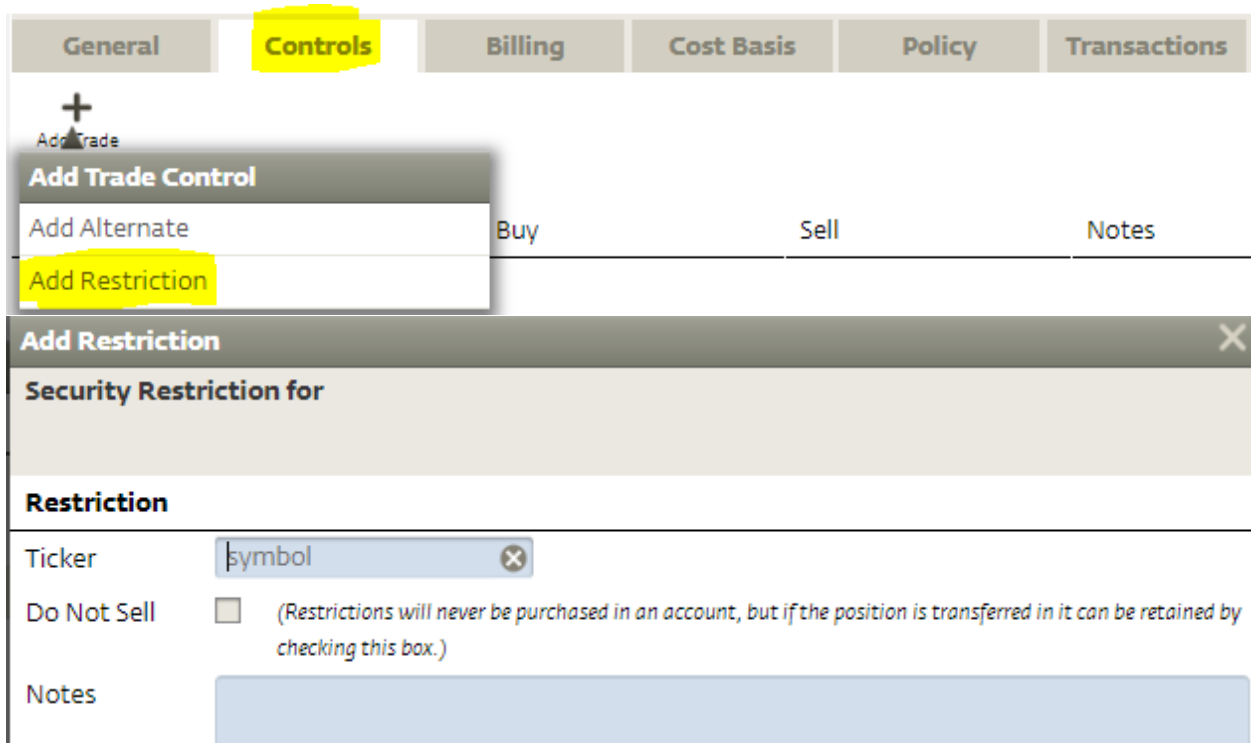
To exclude all fee components from billing, see above for moving the ticker to Unsupervised.

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**RESTRICTED:**

Tickers can be restricted at the account or client level. Restricting assets will prevent buys or sells of certain tickers but still allows for reporting and billing.

**Account Level Restrictions:** Select Add Restriction on the account’s controls tab, then enter the ticker or CUSIP and select Save.



The screenshot shows the 'Controls' tab selected. A dropdown menu for 'Add Trade Control' is open, with 'Add Restriction' highlighted. Below this, the 'Add Restriction' dialog box is displayed. It has a title bar 'Add Restriction' with a close button. The main content area is titled 'Security Restriction for'. Under the heading 'Restriction', there is a 'Ticker' field with a search icon and a dropdown menu showing 'symbol'. Below that is a 'Do Not Sell' checkbox, which is unchecked, with a note: '(Restrictions will never be purchased in an account, but if the position is transferred in it can be retained by checking this box.)'. At the bottom is a 'Notes' text area.

**Client Level Restrictions:** Select the plus sign at the bottom of the client’s general tab, select add restrictions, include the security and select save.



Client Restrictions	Issued On	Expire On	Memo	Updated By
▼ Security				
▼ Wash				
▼ Industry				
▶ Trade-Desk Generated Wash F				