MODIFY GOAL



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

| BRANCH | DASHBOARD | MANAGE | CUS | TOMIZATIC | N | | |
|-------------------|---------------|------------------------------------|-------------------|-----------------|---------|--|--|
| 🖪 🧇 Bran | ch > Advisors | | | | | | |
| BRANCH | | Advisors | 1 | | | | |
| Desktop | | ^ | | | | | |
| Desktop | | Ŷ | ň | | + | | |
| Advisors | | Search Filters | Column Manager | Saved Layout | Advisor | | |
| Advisor Se | arch | Name 🛦 | | | | | |
| Login Histo | TV | | at the sec | | | | |
| Clients | | Demo 1, Advisor Demo 2, Advisor | | | | | |
| Client Searc | h | | | | | | |
| Client Activities | | Demo 3, Advisor | | | | | |
| Accounts | | Demo 4, A | avisor | | | | |
| Accounts | | | | | | | |

2. Search for the account that is Changing Programs via quick search or ClientTab

| PLATFORM | | | م 🖌 | 6 | 9 کر | Ċ | Logout |
|-------------------|------------------|-----|-----|---|------|---|----------------|
| Quick Search | | | × | | | | Advisor Demo 2 |
| demo-1508832 | Account | ۍ 💌 | | | | | |
| DEMO-1508832 Valu | ed Family Accour | nt | | | | | |

3. Navigate to the Service Tab

- Click the "+" icon at the goal level
- Select Modify Goal

| Valued Family A | ccount | | | | | | |
|-----------------|-------------------|------------|-----------------|-----------------|----|---|--|
| Investments | General | Service | Billing | Documents | | P | |
| 🚆 Goal / Regis | tration / Accou | | Va | lue | P | | |
| ▼ Goal Valued | Family Account | Individual | + | \$ 3,204,512 | 88 | | |
| 🔻 Reg 139 | 8321 IRA - Trad | litional | Create | Service Request | 50 | | |
| DEMO | -1508833 | | Modify | | | - | |
| 🔻 Reg 139 | 8322 Individua | | Re-registration | | | | |
| DEMO | -1508824 | Split Go | | | | | |
| | Eamily Account | Split Go | | 21 | | | |

MODIFY GOAL



4. The Goal Modification Guide: APM to UMA, SMA, FSP

• Click on the Proposed Investments workspace

| | | Valued Family Account - Goal Modification Proposal | | | | | | | | |
|------------------------|--|--|------------|-------------------|--------------------------|--------------------|-------------|---------------|-----------------|---------------|
| DOCUMENTS | Objective: Moderate Growth Portfolio: 5-3,204,512 Status: Edit | | | | | | | | | |
| | | >>>> | Pro | posed Inve | stments | | Advisor | Directed | Ad | visor Directo |
| | | 0 | 5 | 4 | 5 | 0 | A | | | |
| Profile | | Delete | Resel. | Search Filters | Arialyze | Error Details | Warnings | | | |
| Proposal Properties | 0 | | | | | | | A distingtion | Think there | |
| Accounts | ø | Investme | | | | | 1.000 - 11 | Minimum | Risk Class | - <u>-</u> |
| Risk Manual Assessment | 0 | | | The second second | | ditional for Value | ed Client) | | | |
| Proposed Investments | 0 | | | | | | | | | |
| Advisor Directed | 0 | Mode | 1/1375889 | : Moderate | Growth | | | 5,000 | Moderate Growth | ~ |
| Advisor Directed | 0 | | | | | | | | | Continue |
| Modify | | 1 | | | | | | | | |
| Account Setup | ø | Target As | set Alloca | ation | | | | | | |
| Fees | 0 | | | Do | mestic Ed | uity | 48.4 | 8 | | |
| Review | | | | | rge-Cap Gr | | 13.8 | | | |
| Paperwork | 0 | | | | rge-Cap Co | | 11.1 | | | |
| Proposal Summary | | | | | rge Cap Va d Cap Valu | | 13.8 3.0 | | | |

5. <u>Proposed Investments</u>:

- Click Edit
- Select the NEW Program (Existing UMA in this example)
 - Unified Managed Account if you are choosing an existing UMA Model
 - o Build Unified Managed Account if you are building a Custom UMA
 - Advisor as Portfolio Manager if you are choosing an existing APM Model
 - Build Advisor as Portfolio Manager if you are building a Custom APM
 - Separate Accounts choose if you are just using SMA's
 - FSP Programs if you are choosing an FSP
 - LibertyFi PMC Foundation PMC's Foundation Portfolio's
- Click Save + Next

| CLIENTS | | Valued Fa | amily Acc | ount - Goal | Modificat | ion Prop | osal | |
|-------------------------|---|------------------------|------------------|-------------|-------------------|-----------|---------------|------|
| DOCUMENTS | Objective: Moderate Growth Portfolio: \$ 3,204,512 Status: Edit | | | | | | | |
| GOAL MODIFICATION GUIDE | | Risk Manual Assessment | | | Proposed Invest | | | |
| Profile | | S Delete | ්ට Reset | + Add | Add Members | Analyze | Error Details | Warr |
| Proposal Properties 🛛 📀 | | a duine a | Advisor Directed | | Wenders | | | |
| Accounts | ø | | Directed | | | | | |
| Risk Manual Assessment | ø | Program | | L | Inified Man | aged Acco | ount 🔻 | r . |
| Proposed Investments | ø | Amount | | 5 | \$2,936,174 | | | |
| Advisor Directed | ø | Custodiar | | Ch | narles Schw | ab & Co. | | |
| Advisor Directed | ø | and the second | tration Type | | IRA - Traditional | | | |
| Modify | | Primary Owner | | CI | Client, Valued | | | |
| Account Setup | ø | Joint Own | er | | | | | |
| Fees | 0 | 1 | | Ca | incel | Save | Save + Ne | ext |
| Review | | 1 | | | | | | |
| Paperwork | 0 | 1 | | | | | | |
| Proposal Summary | | 1 | | | | | | |

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MODIFY GOAL

- 6. UMA, SMA, FSP, or APM:
 - Existing UMA model click **Select** by the appropriate UMA model
 - New Custom UMA search for the appropriate Sleeve's. Can have APM, SMA, & FSP sleeves in the same account.
 - SMA: search for the appropriate manager(s).
 - FSP: click Select by the appropriate FSP model
 - Advisor Directed: select the appropriate APM model
 - Click Continue

| CLIENTS | | | | | tion Propos | | | | | |
|-------------------------|------------|---|-------------|-------------------|-----------------|-------------------|----------|------------|-----------------|----------|
| DOCUMENTS | | Objective: N | Ioderate Gr | owth Port | folio: \$ 3,204 | 512 Status: | Edit | | | |
| GOAL MODIFICATION GUIDE | | $\rightarrow \rightarrow \rightarrow \rightarrow$ | | | Propose | l Investmer | its | | | |
| | | 8 | 5 | Ŷ | 5 | 0 | A | | | |
| Profile | | Delete | Reset | Search Filters | Analyze | Error Details | Warnings | | | |
| Proposal Properties | \bigcirc | | - | | | | | Minimum | Risk Class | |
| Accounts | 0 | Investme | | | | | | Minimum | RISK CIdSS | |
| Risk Manual Assessment | 0 | | | | (IRA - Traditio | onal for Valued C | llient) | | | |
| Proposed Investments | ۲ | Mode | erate Grov | vth | | | | \$ 150,000 | Moderate Growth | ~ |
| UMA | ø | | | | | | | | G | Continue |
| Advisor Directed | ø | 1 | | | | | | | | |
| Modify | | 1 | | | | | | | | |
| Account Setup | 0 | | | | | | | | | |
| Fees | 0 | 1 | | | | | | | | |
| Review | | | | | | | | | | |
| Paperwork | 0 | | | | | | | | | |
| Proposal Summary | | | | | | | | | | |

7. <u>Account Setup</u>: Select a Funding Source

• Click Save + Next

| Account Setup | |
|-----------------|--|
| Funding Sources | |
| | Deposit by check, bank wire, or electronic funds transfer |
| | Transfer from an existing Charles Schwab & Co. account (e.g. IBA, Joint) |
| | Transfer from any other account (e.g. brokerage accounts) |
| \checkmark | Other |
| | Cancel Save + Next |



MODIFY GOAL

- 8. <u>Fees:</u>
 - Review the Fee schedule, click the "**Pencil**" icon to edit if necessary. You now have the option to **Copy from Existing Schedule** to input the advisor fee currently listed on client account.
 - Check Accept
 - Click Save + Next

| Advisor Fee | | and the second sec |
|---------------|--------|--|
| ▼ Default | | Edit Fee |
| All Assets | 0.00 % | Edit Fee |
| ▼ Exclusions | + | Copy from Existing Schedule |
| ▼ Custom Fees | + | |

9. Paperwork Generation and Upload:

- Click Generate and download the Statement of Investment Selection
- After necessary signatures have been obtained, you will **Upload SIS Document** on the **Paperwork Upload** tab
- Once SIS has been uploaded, you will **Submit** the request for processing.

| Valued Family Account - Goal Modification Proposa | 1 |
|---|---|
|---|---|

Objective: Growth | Portfolio: 112,306 | Status: Finalized

| $\rangle \rangle \rangle \rangle$ | $\rangle \rangle \rangle \rangle \rangle$ | \rightarrow | | | Paperwork | | |
|-----------------------------------|---|---------------|------------------------|---------------|------------------|-----------|--|
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| special instructions | instruction type | Amount | Date |
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| ▼ FSP-IRA-Roth | | \$112,306 | |
| BlackRock 70/30 Target Allocation ETF Portfolio. | | | |
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| Taperwork Upload | Туре |
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| Investments | + |
| FSP-IRA-Roth | Upload Upload SIS Document |