

Unsupervised, Excluded, and 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. 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		
▼ Default		
All Assets		
Client Fee		
▼ Default		
Up to \$2.5M		
\$2.5M-5M		
\$5M-7.5M		
Above \$7.5M		

+

Add Exclusion

Asset Category

Cash Category

Fund Family

Security

Share Class

NTF/TF

Sleeve Type

Account Value

To add billing exclusions to existing accounts, email 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.

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

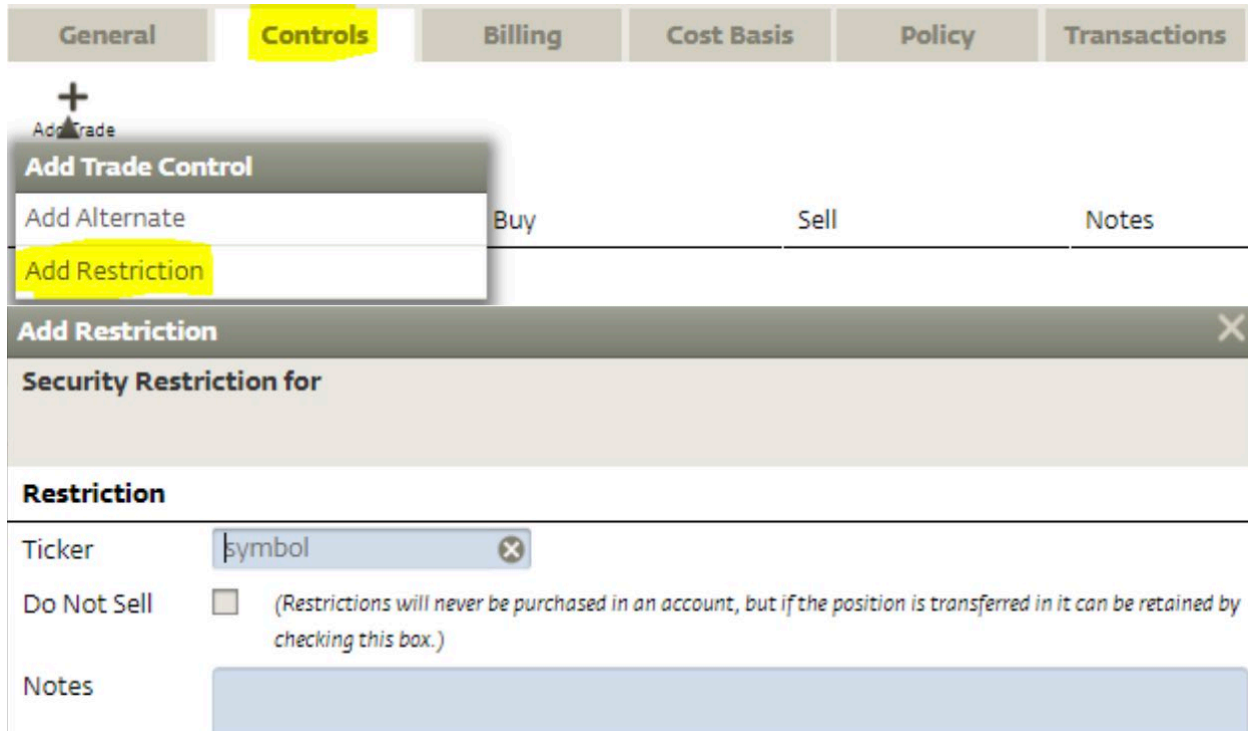
Advisor Fee		Sponsor Fee	
▼ Fees			
All Assets	0.54 %	All Assets	0.15 %
▼ Exclusions			
Asset Category Cash			
Securities (Ticker or Cusip) 02007GAB9:US -			
Ally Bk Midvale Utah Cd 2.1%19			

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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.



General **Controls** Billing Cost Basis Policy Transactions

+ Add Trade

Add Trade Control

Add Alternate Buy Sell Notes

Add Restriction

Add Restriction X

Security Restriction for

Restriction

Ticker symbol X

Do Not Sell ☐ (Restrictions will never be purchased in an account, but if the position is transferred in it can be retained by checking this box.)

Notes

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				

Add Restrictions

Add Restrictions

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