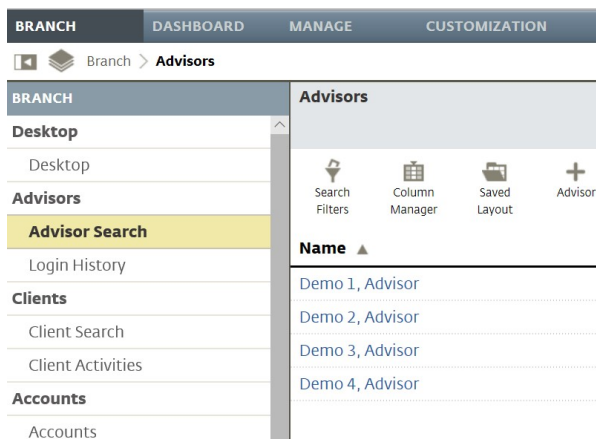


1. Launch into the Advisor's Portal via Advisor Search

- You will see the Advisor's Name in the top right-hand corner if you have done this correctly.

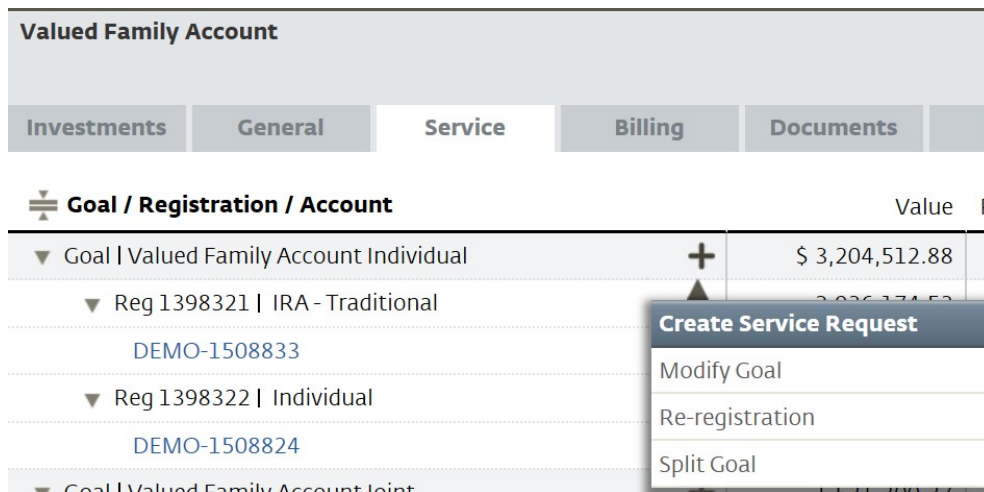


2. Search for the account that is Changing Programs via quick search or Client Tab



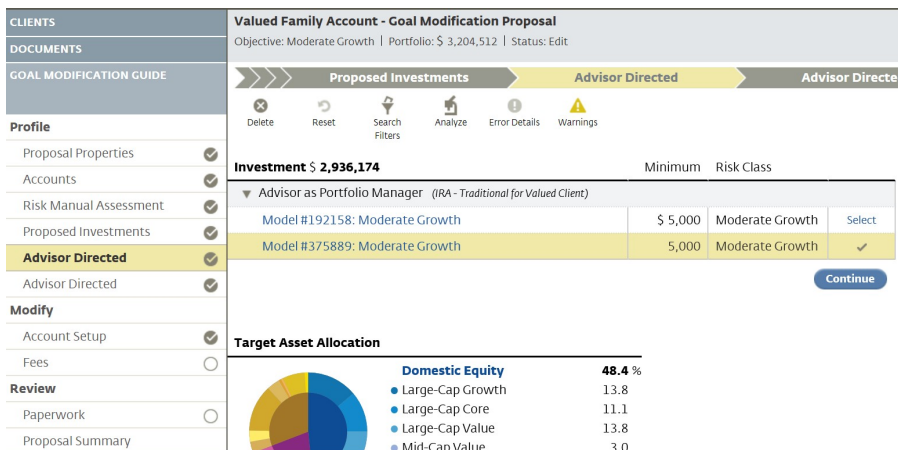
3. Navigate to the Service Tab

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



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

- Click on the **Proposed Investments** workspace



**CLIENTS** Valued Family Account - Goal Modification Proposal  
Objective: Moderate Growth | Portfolio: \$ 3,204,512 | Status: Edit

**DOCUMENTS**

**GOAL MODIFICATION GUIDE**

**Proposed Investments** Advisor Directed Advisor Directed

Delete Reset Search Filters Analyze Error Details Warnings

**Profile**

Proposal Properties

Accounts

Risk Manual Assessment

Proposed Investments

**Advisor Directed**

Advisor Directed

**Modify**

Account Setup

Fees

**Review**

Paperwork

Proposal Summary

**Investment \$ 2,936,174** Minimum Risk Class

▼ Advisor as Portfolio Manager (IRA - Traditional for Valued Client)

Model	Amount	Risk Class	Select
Model #192158: Moderate Growth	\$ 5,000	Moderate Growth	Select
Model #375889: Moderate Growth	5,000	Moderate Growth	<input checked="" type="checkbox"/>

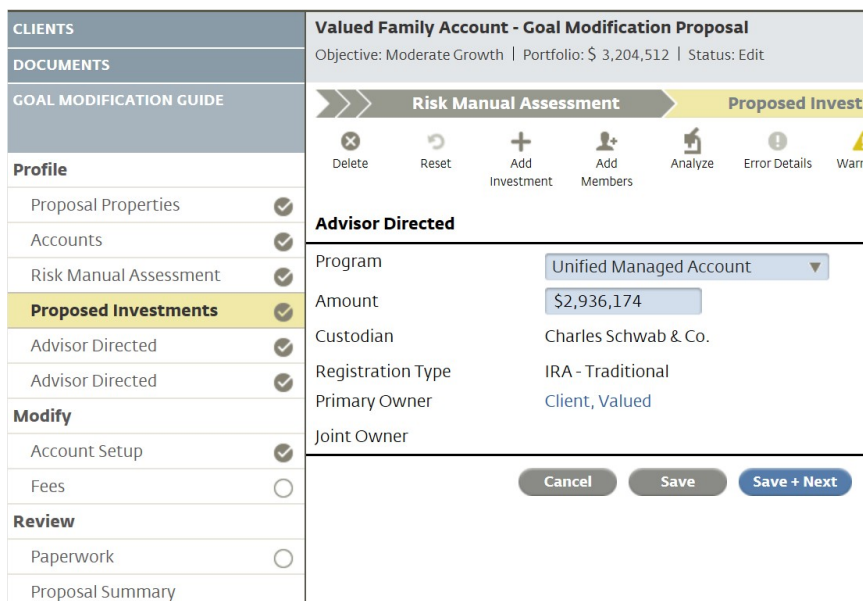
Continue

**Target Asset Allocation**

Asset Class	Allocation
Domestic Equity	48.4 %
Large-Cap Growth	13.8
Large-Cap Core	11.1
Large-Cap Value	13.8
Mid-Cap Value	3.0

5. Proposed Investments:

- Click **Edit**
- Select the **NEW Program** (Existing UMA in this example)
  - Unified Managed Account – if you are choosing an existing UMA Model
  - 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 Family Account - Goal Modification Proposal  
Objective: Moderate Growth | Portfolio: \$ 3,204,512 | Status: Edit

**DOCUMENTS**

**GOAL MODIFICATION GUIDE**

**Risk Manual Assessment** Proposed Invest

Delete Reset Add Investment Add Members Analyze Error Details Warn

**Profile**

Proposal Properties

Accounts

Risk Manual Assessment

**Proposed Investments**

Advisor Directed

Advisor Directed

**Modify**

Account Setup

Fees

**Review**

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Proposal Summary

**Advisor Directed**

Program Unified Managed Account

Amount \$2,936,174

Custodian Charles Schwab & Co.

Registration Type IRA - Traditional

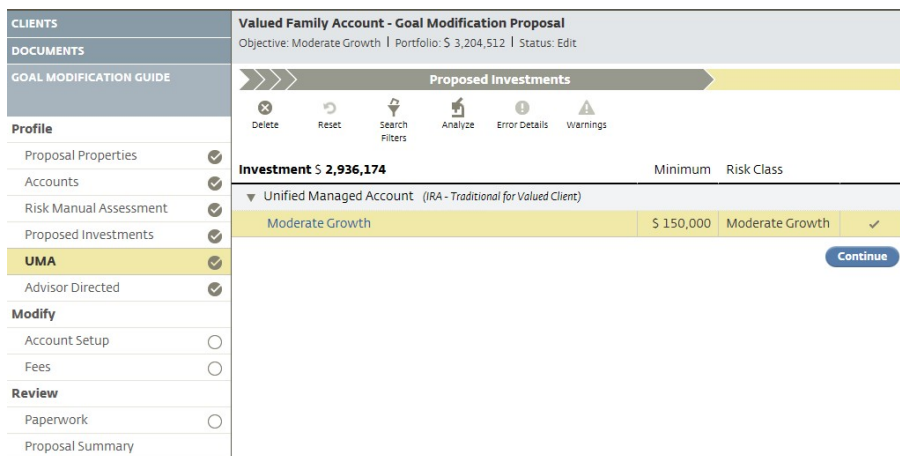
Primary Owner Client, Valued

Joint Owner

Cancel Save Save + Next

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**



Investment	Minimum	Risk Class	
▼ Unified Managed Account (IRA - Traditional for Valued Client) Moderate Growth	\$ 150,000	Moderate Growth	✓

7. Account Setup: 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. IRA, Joint)
- Transfer from any other account (e.g. brokerage accounts)
- Other

8. Fees:

- 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 	
▼ Default	
All Assets	0.00 %
▼ Exclusions	+
▼ Custom Fees	+

**Edit Fee**

Edit Fee







Copy from Existing Schedule


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 Proposal**  
 Objective: Growth | Portfolio: \$ 112,306 | Status: Finalized

**Paperwork**

 Delete
 Reset
 Analyze
 Generate A Document
 Error Details
 Warnings

Special Instructions	Instruction Type	Amount	Date
▼ FSP - IRA - Roth BlackRock 70/30 Target Allocation ETF Portfolio. 		\$112,306	

 **Paperwork Upload**

	Type
▼ Investments	
▼ FSP - IRA - Roth	

**Upload**

Upload SIS Document