



ACCOUNT MAINTENANCE IN PORTFOLIO AUDIT

In Orion Connect, you will use the Portfolio Audit app to perform routine account maintenance procedures:



When you enter Portfolio Audit, you will default to a list of Households in your database. From there you may click on the links for other levels of your database to see a complete list of Registrations, Accounts, Assets and Transactions. You may also select a household and right-click to view a list of Registrations, Accounts, Assets or Transactions just for that particular Household. The right-click menu functions similarly at each level of the database. Each page allows custom views to be created, consisting of a particular set of Filters, Columns and Groupings. Any page in this app can be exported to Excel from the Actions menu.

The screenshot displays the Orion Portfolio Audit application interface. On the left, a sidebar menu is visible with a red box highlighting the 'PORTFOLIO' section, which includes links for 'Households', 'Registrations', 'Accounts', 'Assets', and 'Transactions'. A red arrow points from this box to the label 'Full Database Lists'. The main area shows a table of households with columns for Household ID, Active status, Last Name, First Name, Full Name, Current Value, Representative Name, Home Phone, and Email. A red box highlights a right-click menu for a selected household, showing options for 'Registrations', 'Accounts', 'Assets', and 'Transactions'. A red arrow points from this box to the label 'Household Specific Lists (Right-click menu)'. On the right side of the table, a 'Custom View' panel is visible with a red box highlighting the 'Default View' dropdown and the 'Show Active' section, which includes radio buttons for 'Active', 'Both', and 'Not Active'. A red arrow points from this box to the label 'Custom View Controls'.

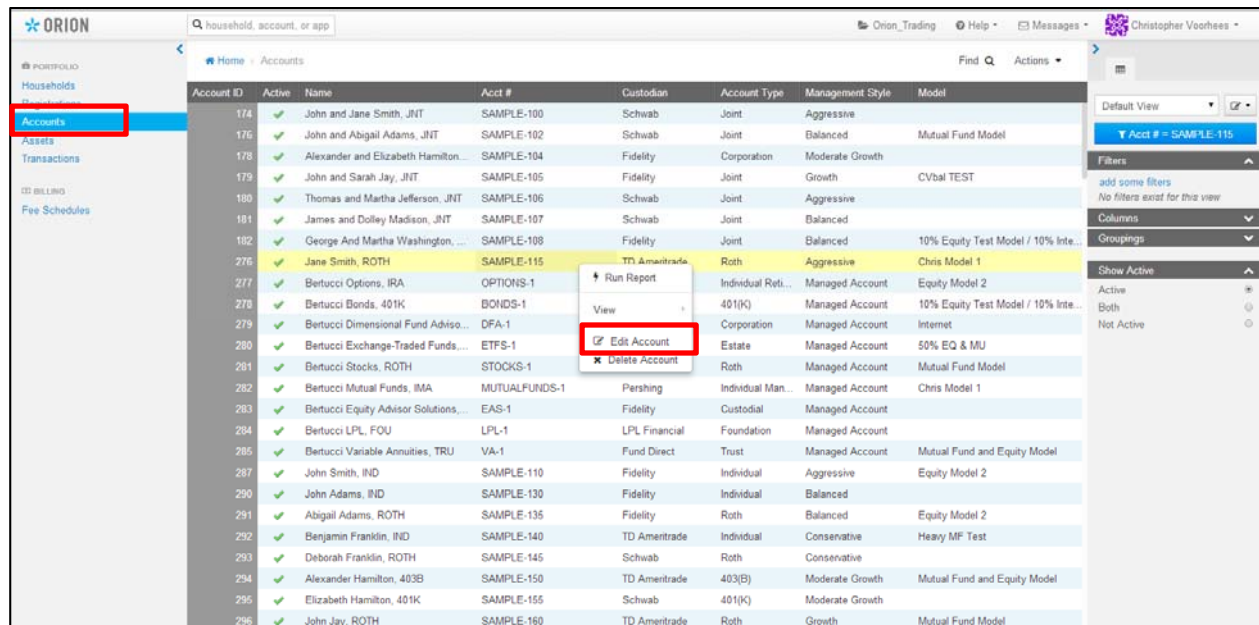
Household ID	Active	Last Name	First Name	Full Name	Current Value	Representative Name	Home Phone	Email
46	✓	Smith	John and Jane	Smith, John and Jane	\$2,196,716.36	Todd Bertucci		
48	✓	Adams	John And Abigail	Adams, John And Abigail	\$2,242,206.26	Todd Bertucci		
49	✓	Franklin	Benjamin And Deborah	Franklin, Benjamin And Deborah	\$2,194,360.07	Todd Bertucci		
50	✓	Hamilton	Alexander And Elizabeth	Hamilton, Alexander And Elizabeth	\$1,994,005.91	Todd Bertucci		
51	✓	Jay	John And Sarah	Jay, John And Sarah		Todd Bertucci		
52	✓	Jefferson	Thomas And Martha	Jefferson, Thomas And Martha		Todd Bertucci		
53	✓	Madison	James And Dolley	Madison, James And Dolley		Todd Bertucci		
54	✓	Washington	George And Martha	Washington, George And Martha		Todd Bertucci		
83	✓	Bertucci	Unique	Unique Bertucci	\$2,292,297.86	Todd Bertucci		
92	✓	Bond	James and Vesper	Bond, James and Vesper	\$0.00	Todd Bertucci	(310) 244-4000	jamesbond@orionconnect.com
93	✓	Swagera	Unique	Unique Swagera	\$2,889,267.74	George Swagera		
94	✓	Hurst	Unique	Unique Hurst	\$3,910,291.44	Joel Hurst		
95	✓	McMullen	Unique	Unique McMullen	\$3,791,198.68	Todd McMullen		
96	✓	Martin	Steve	Martin, Steve	\$2,194,360.07	George Swagera		
97	✓	Knox	Henry and Lucy	Knox, Henry and Lucy	\$2,194,360.07	Joel Hurst		
98	✓	Van Dyke	Dick and Arlene	Van Dyke, Dick and Arlene	\$2,194,360.07	Todd McMullen		
99	✓	Farley	Chris	Farley, Chris	\$2,194,360.07	George Swagera		
100	✓	Prescott	William and Susan	Prescott, William and Susan	\$2,193,690.66	Joel Hurst		
101	✓	Gable	Clark and Kay	Gable, Clark and Kay	\$2,193,690.66	Todd McMullen		
102	✓	Reid	Andy and Tammy	Reid, Andy and Tammy	\$2,199,370.57	George Swagera		
103	✓	Revere	Paul and Sarah	Revere, Paul and Sarah	\$2,194,360.07	Joel Hurst		
104	✓	Grant	Cary and Betsy	Grant, Cary and Betsy	\$2,193,660.67	Todd McMullen		
105	✓	Fallon	Jimmy and Nancy	Fallon, Jimmy and Nancy	\$2,197,593.46	George Swagera		brian.fallon@orionconnect.com
106	✓	Greene	Nathanael and Katherine	Greene, Nathanael and Katherine	\$2,193,690.66	Joel Hurst		
107	✓	Cash	Johnny and June	Cash, Johnny and June	\$2,193,793.02	Todd McMullen		john.cash@orionconnect.com
108	✓	Belushi	James	Belushi, James	\$2,185,137.59	George Swagera		

Full Database Lists

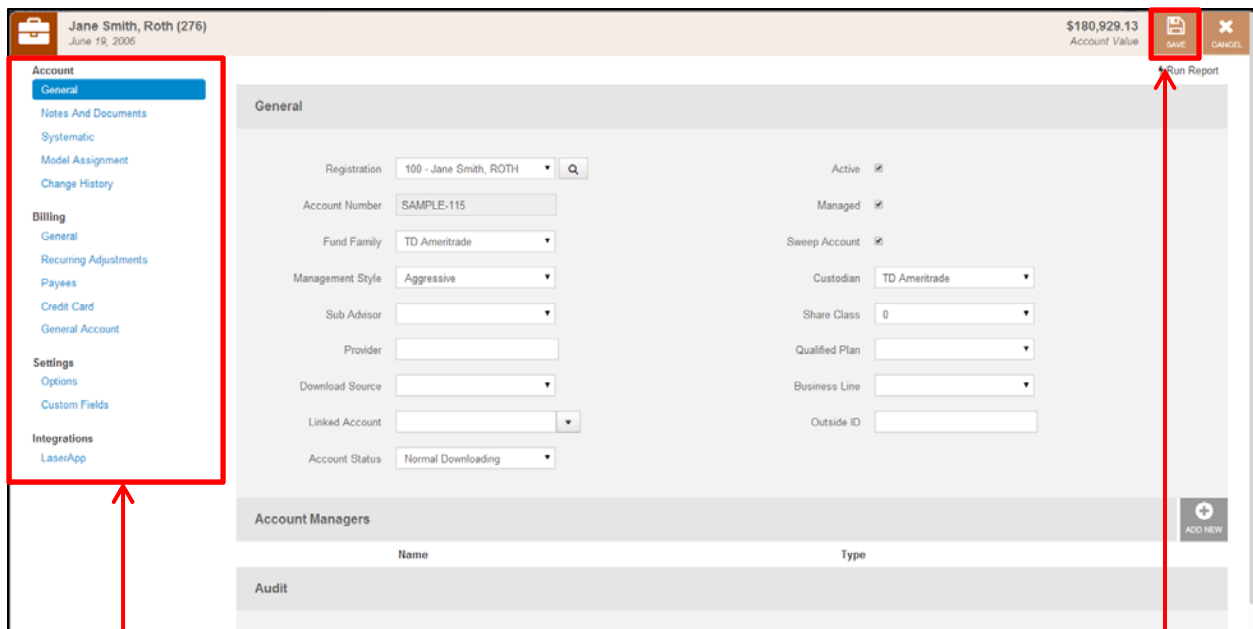
Household Specific
Lists (Right-click
menu)

Custom View
Controls

To access common account maintenance items in Portfolio Audit, go to the account level, highlight the account you wish to edit, right-click and select “Edit Account.”

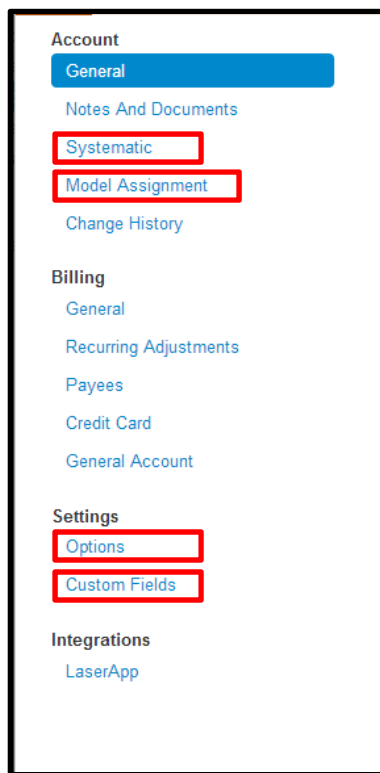


In the Edit Account screen, you will have access to all the familiar settings and options that were available in Advisor Desktop via the links in the left sidebar (below):



**Settings and
Options Links**

Save Changes



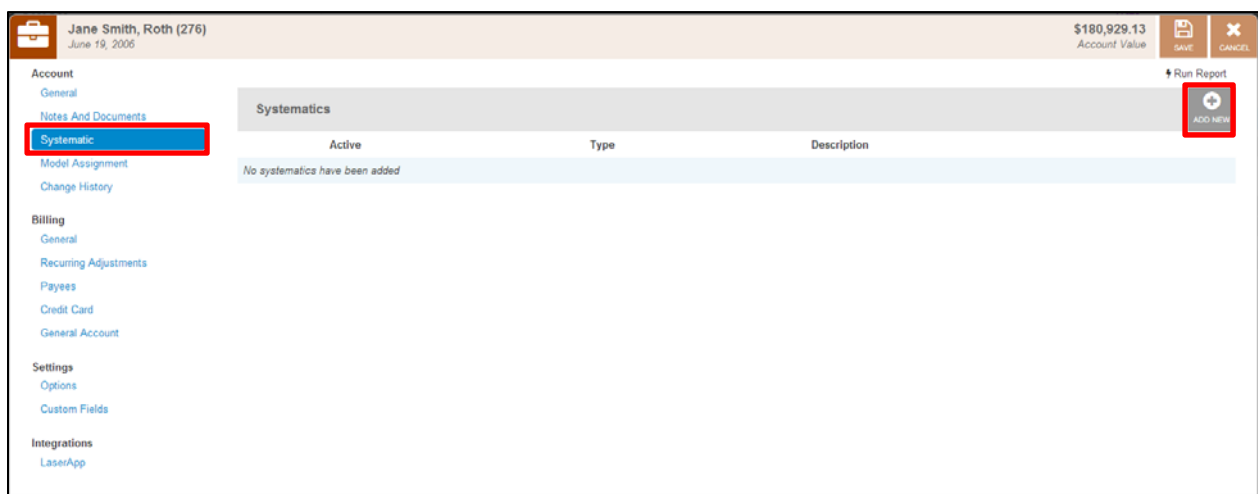
All of the account maintenance settings are accessible via this menu. We will cover the options most commonly adjusted for trading purposes. Any User Defined Fields you have created in your database will be accessible under “Custom Fields.”

The settings and fields that impact trading will be found under the following links:

- Systematic
- Model Assignment
- Options

SYSTEMATICS

To enter systematics on an account like periodic purchases or withdrawals, click on the Systematic link and then click the “Add New” button:



On the “Type” screen, select Withdrawal, Purchase or DCA and enter the amount of the systematic transaction:

Systematic

With/Purch

Type

Active ☒

Type ☒ Withdrawal ☐ Purchase ☐ DCA

Gross Amount

CS Double Check ☐

Bank/RMD

Bank Information

RMD

Ok Cancel

Then click on the “Schedule” link and enter the Frequency, Cycle Month, Start Date and Transaction Day for your purchase or withdrawal:

Systematic

With/Purch

Type

Fund Selection

Schedule

Tax Withholding (withdrawals only)

Distribution Code

Bank/RMD

Bank Information

RMD

Frequency

Cycle Month

Start Date

Inactive Date

Transaction Day

Custodial Trans Day

Ok Cancel

Click OK to see the new systematic displayed in the list and Save Changes before exiting:

The screenshot shows the 'Systematics' tab for Jane Smith, Roth (276). The account value is \$182,562.72. The 'Systematics' table has three columns: Active, Type, and Description. A red box highlights the first row, which is active and of type 'withdrawal' with the description '\$1000 will be withdrawn on the 1st day of every month.' The left sidebar contains links for Account, Billing, Settings, and Integrations.

Active	Type	Description
<input checked="" type="checkbox"/>	withdrawal	\$1000 will be withdrawn on the 1st day of every month.

MODEL ASSIGNMENT TAB

Common trading settings on the Model Assignment Tab include:

- Assigned Model
- Trading Instructions
- Cash Settings

The screenshot shows the 'Model Assignment' tab for Jane Smith, Roth (276). The account value is \$182,562.72. The 'Assigned Model' section has a search bar for 'Model Aggregate'. The 'Trading Instructions' section has a 'Trading Blocked' checkbox (checked), an 'Outside Model' checkbox (unchecked), a 'Fund List' dropdown, and a 'Model Group Number' dropdown (1234). The 'Cash Settings' section has a 'Minimum cash in sweep asset' section with 'Amount / Type' and 'Dollars' dropdowns, a 'Replenish minimum cash' checkbox (unchecked), an 'Expired minimum cash' section with 'Amount / Type' and 'Dollars' dropdowns, and an 'Expired Min Cash Date' dropdown.

Assigned Model

Model Aggregate

Trading Instructions

Trading Blocked ☒ Outside Model ☐

Trading Instructions

Fund List

Model Group Number

Cash Settings

Minimum cash in sweep asset

Amount / Type Dollars

Replenish minimum cash ☐

Expired minimum cash

Amount / Type Dollars

Expired Min Cash Date

Assigned Model

To assign a model or weighted model to an account, begin typing the model name or Model Agg ID, select the appropriate model from the list and click “Save.”

The screenshot shows the 'Assigned Model' section of a user interface. At the top right, the 'Account Value' is \$182,562.72. Below this, there are 'SAVE' and 'CANCEL' buttons. The 'Assigned Model' section has a 'Model Aggregate' search bar with the text 'bal' entered. A dropdown menu is open, showing a list of models: 104: Balanced, 173: Balanced 50/50, 121: BalCVtest, and 122: CVbalTEST. To the right of the search bar are 'CREATE' and 'ANALYZE' buttons. The 'Trading Instructions' section is visible below the model list.

If you assigned a weighted model to the account and wish to adjust the weightings of the component models, click “Edit Model.”

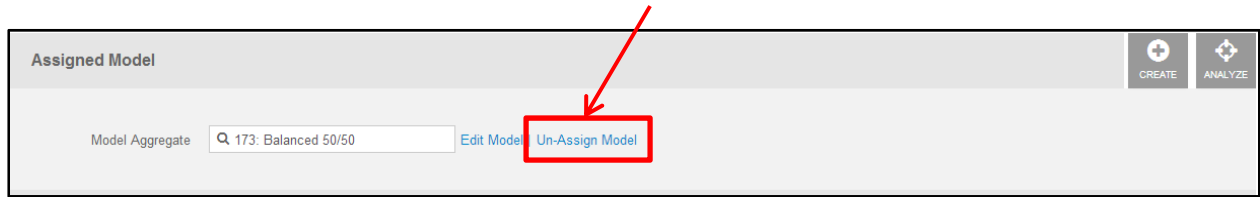
The screenshot shows the 'Assigned Model' section. The 'Model Aggregate' search bar now displays '173: Balanced 50/50'. To the right of the search bar are two buttons: 'Edit Model' and 'Un-Assign Model'. The 'CREATE' and 'ANALYZE' buttons are still present on the right side of the section.

Add or remove component models from the Weighted Model, adjust the weighting of each component model as desired and click “Save.”

The screenshot shows the 'Model Aggregate Edit' interface. At the top, there is a 'Model Aggregate' section with a 'SAVE' button. Below this, there are fields for 'Name' (Balanced 50/50) and 'Account Number Suffix'. There are also checkboxes for 'Use System Name' and 'Keep Always'. The 'Model Weighting' section is below, showing a table with two rows: 'Equity Model' and 'Fixed Income'. Each row has a 'Weighted %' column with a value of 50%. To the right of the table is an 'ADD NEW' button. At the bottom right, there is a 'Close' button. Red arrows point to the 'SAVE' button (labeled 'Save'), the 'ADD NEW' button (labeled 'Add Model'), and the 'Remove Model' button (labeled 'Remove Model').

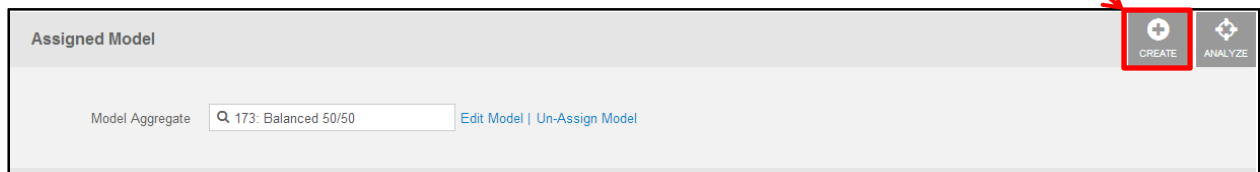
Model	Weighted %
Equity Model	50 %
Fixed Income	50 %
Total	100.00 %

To un-assign a model from an account, click “Un-Assign Model” and Save.



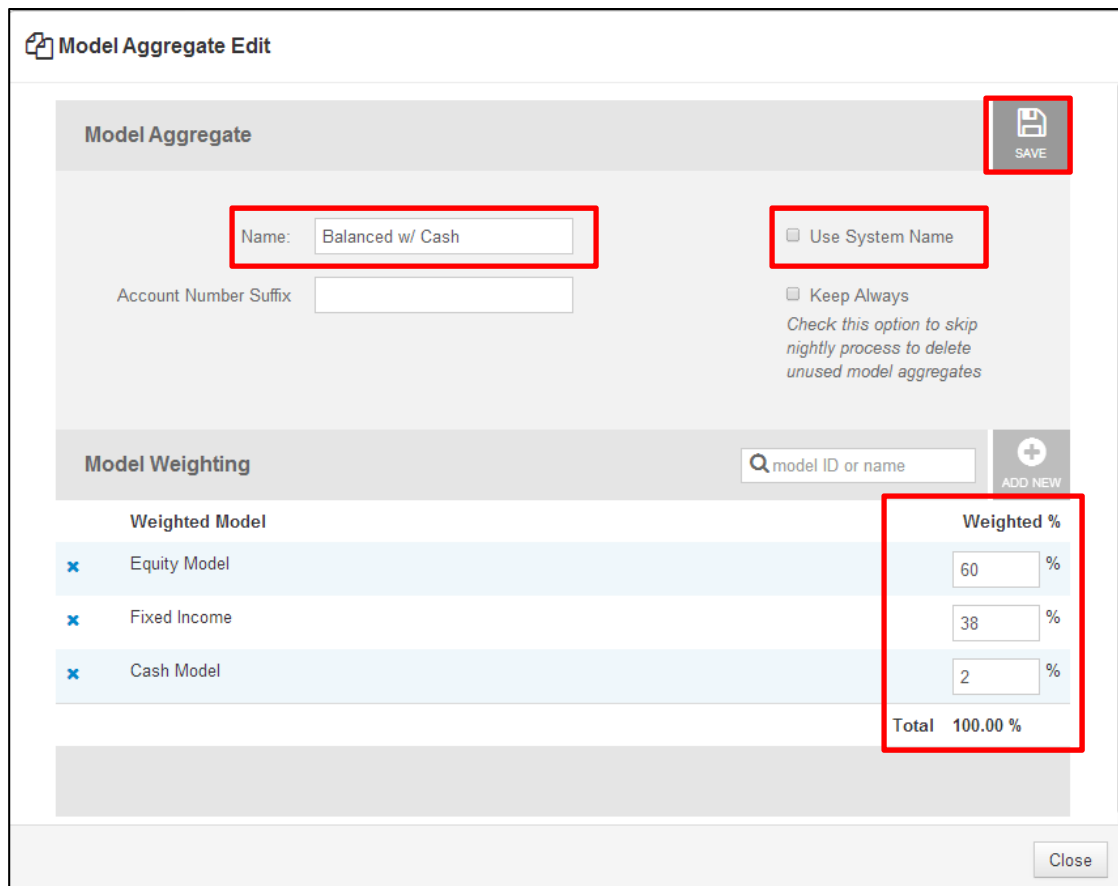
The screenshot shows the 'Assigned Model' header with 'CREATE' and 'ANALYZE' buttons. Below, the 'Model Aggregate' section contains a search bar with '173: Balanced 50/50' and links for 'Edit Model' and 'Un-Assign Model'. The 'Un-Assign Model' link is highlighted with a red box, and a red arrow points to it from above.

If you wish to create a new weighted model and then assign it to this account, click “Create”:



The screenshot shows the 'Assigned Model' header with 'CREATE' and 'ANALYZE' buttons. The 'CREATE' button is highlighted with a red box, and a red arrow points to it from above.

- Enter the model ID or model name for each component model and click “Add New” to add it to the Model Aggregate
- Enter the weighting for each component (Sum must equal 100%)
- Uncheck the “Use System Name” box and enter a custom name for the weighted model, if desired



The screenshot shows the 'Model Aggregate Edit' interface. The 'Model Aggregate' section has a 'SAVE' button (highlighted with a red box), a 'Name' field with 'Balanced w/ Cash' (highlighted with a red box), an 'Account Number Suffix' field, and a 'Use System Name' checkbox (highlighted with a red box). Below, the 'Model Weighting' section has a search bar and an 'ADD NEW' button. A table lists weighted models with their percentages (highlighted with a red box):

Weighted Model	Weighted %
Equity Model	60 %
Fixed Income	38 %
Cash Model	2 %
Total	100.00 %

The interface also includes a 'Close' button at the bottom right.

Trading Instructions

In the Trading Instructions area of the Model Assignment tab, you may:

- Block an account from trading
- Enter account-specific Trading Instructions
- Assign the account to a pre-existing Model Group

Trading Instructions

Trading Blocked ☒

Outside Model ☐

Trading Instructions

Fund List

Model Group Number

1234

▼

+

Cash Settings

Under Cash Settings, you may enter a Minimum Cash amount in either Dollars or Percent. Check “Replenish minimum cash” if you want this amount to be regenerated with each rebalance. Leave it unchecked if you only want to protect cash UP TO that amount without generated new cash in a rebalance. You may also enter an expiration date for the minimum cash amount to have the system remove this amount as of the date you enter.

Cash Settings

Minimum cash in sweep asset

Expired minimum cash

Amount / Type

1000.00

Dollars

▼

Amount / Type

1000.00

Dollars

▼

Replenish minimum cash

☒

Expired Min Cash Date

08/29/2014

TRADING OPTIONS

Setting defaults for Dividend and Capital Gain Reinvestment at the ACCOUNT level can be accessed from Options > Trading:

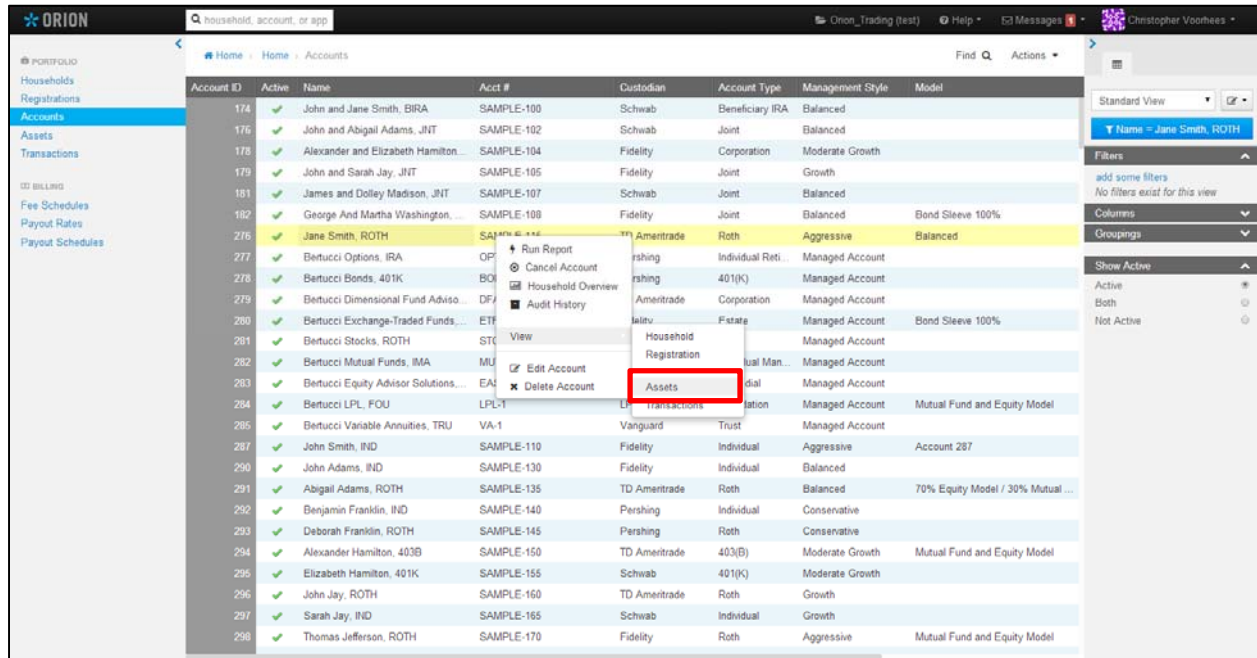
The screenshot displays the account settings for Jane Smith, Roth (276) as of June 19, 2006. The account value is \$182,562.72. The left sidebar contains navigation links for Account, Billing, Settings, and Integrations. The 'Options' section is expanded, showing a list of trading options. A red box highlights the 'Capital Gains Reinvested' and 'Dividends Reinvested' options, both of which are checked. Other options include 'Exclude from household rebalance', 'Ignore Custodial Minimum Cash', 'Include Fee in Transaction' (set to Default), 'LT Capital Gains Reinvested' (checked), and 'Transaction Based Pricing' (unchecked). The 'Unmanaged Assets' option is also visible at the bottom.

Option	Status
Capital Gains Reinvested	<input checked="" type="checkbox"/>
Dividends Reinvested	<input checked="" type="checkbox"/>
Exclude from household rebalance	<input type="checkbox"/>
Ignore Custodial Minimum Cash	<input type="checkbox"/>
Include Fee in Transaction	Default
LT Capital Gains Reinvested	<input checked="" type="checkbox"/>
Transaction Based Pricing	<input type="checkbox"/>

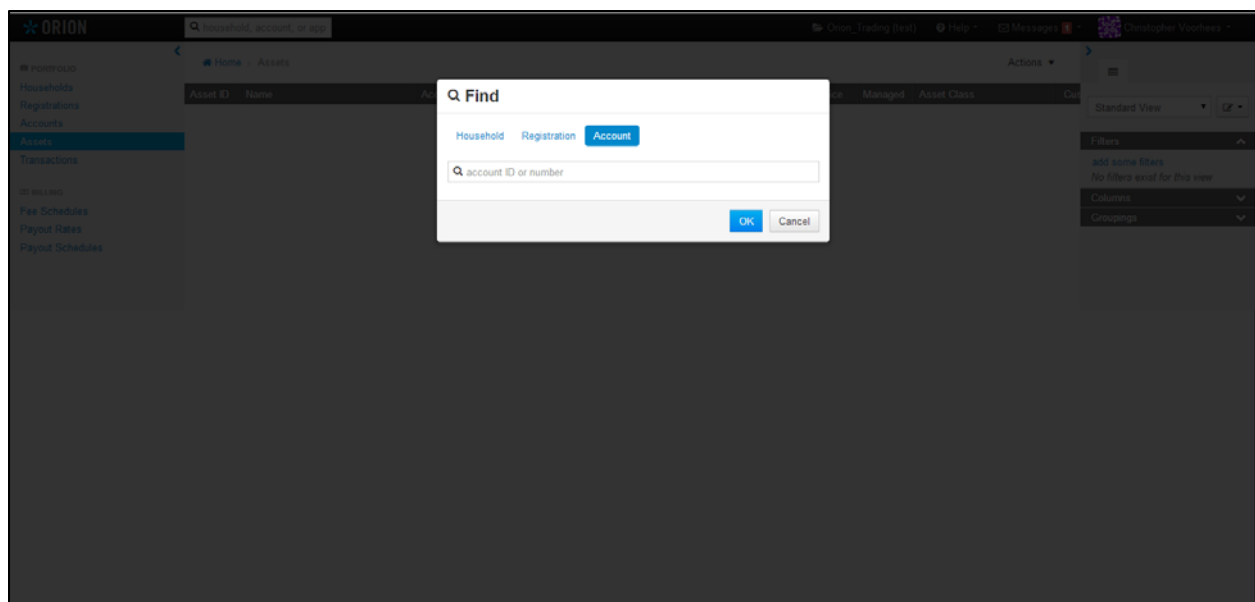
EXCLUDING ASSETS AT THE ACCOUNT LEVEL

To exclude a specific asset from trading within a particular account, access the asset list for that account in one of two ways:

1. Locate the account in your account list, right-click > View > Assets



2. Click on "Assets" in the left sidebar and enter the Household, Registration, or Account ID for which you wish to view assets:



Highlight the asset that you wish to exclude, right-click and select “Edit Asset”:

14089	DFA Large Cap Intl	SAMPLE-115	DFALX	0.00	\$0.00	\$21.99	✓	Foreign Large Blend
30952	Yahoo Inc	SAMPLE-115	YHOO	9.00	\$335.07	\$37.23	✓	Common Stock
30965	Bank of America Corp	SAMPLE-115	BAC	7.00	\$988.95	\$17.35	✓	Common Stock
30966	General Electric Company	SAMPLE-115	GE	2.00	\$576.84	\$26.22	✓	Common Stock
14093	TDAM Money Market Inv	SAMPLE-115	TDMM	0.00	\$0.00	\$1.00	✓	Cash/Money Markets
30967	Monsanto Co	SAMPLE-115	MON	5.00	\$553.75	\$110.75	✓	Common Stock
28740	ProFunds Bull Inv	SAMPLE-115	BLPIX	213.80	\$17,454.72	\$81.64	✓	Large Blend
30968	Ford Motor Company	SAMPLE-115	F	4.00	\$600.00	\$150.00	✓	Common Stock

In the Edit Asset screen, click on “Options” under Settings, open the Trading section, check the “Exclude from Rebalance” box and click “Save.” You may also set default Capital Gains and Dividends Reinvestment selections for this particular asset from this page:

Yahoo Inc (30952)
YHOO

\$335.07
Asset Value

Asset
General
Bifurcate Cost Basis
Historical Cost Basis
Step-Up Cost Basis
Billing
General
Settings
Options

Options

Performance
Performance Calculator
Tax Calculations
Tax Calculator
Trading

Capital Gains Reinvested ☒
Dividends Reinvested ☒
Exclude from Rebalance ☒
LT Capital Gains Reinvested ☒

Networked Status
Non Networked Status

Unmanaged Assets