

Liberty Guide
for
Representatives &
Financial Advisors

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Quick Start Guide

Logging in to Liberty for the first time

The first time you log into Liberty you will be prompted to accept the Liberty User Agreement, change your password, select a security question(s) and select a security image.

[General Information](#)

This section provides information applicable to multiple areas of Liberty to assist you in viewing, exporting and finding frequently requested information.

Professional Information



As a professional user of the Liberty platform, you have access to information about your entire book of business. Click one of the links below to learn more about a particular area.

[Analytics](#)

The Analytics tab displays information about your entire book of business held at TCA. From here you can see deposits and withdrawals, accounts opened and closed and your top accounts by market value.

[Client Management](#)

The Client Management tab allows you to search for client accounts, select multiple accounts to view combined, manage and create account lists and create portfolio reports for multiple accounts at a time.

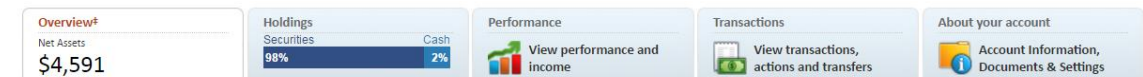
[Documents](#)

The Documents tab allows you to retrieve completed reports, retrieve statements across all of your accounts, and allows you to run standard reports across your entire book.

[My Profile](#)

The My Profile section allows you to edit your email address, security question, security image and password.

[Account Information](#)



After searching for an individual account you have access to everything that an investor can view. The Account Information area of Liberty is broken into sections to help you easily find the information you need. Click one of the links below to learn more about a particular area.

[Overview](#)

The overview tab displays the net assets of the account(s) selected as an approximate value using 20 minute delayed prices, if available, or most recent closing price. Navigate to this section for information related to the investor's account including their latest activity, statements, tax forms and contact information. In addition you can create a portfolio report or link to other areas of Liberty for more detailed information about their account.

[Holdings](#)

The holdings tab displays a bar graph of holdings by securities and cash in the account(s) selected based on market values calculated using 20 minute delayed prices, if available, or the most recent closing price. Navigate to this section to view current or historical positions held in the investor's account by model, asset class or subclass. You can also access trade lot details for any currently held positions.

[Performance/Income](#)

The performance or income tab displays either the modified trailing return of the account(s) selected over the time period listed or the total earnings of all models for the year to-date. (Either figure will be calculated as of the last market close.) Navigate to this section to view performance and income information about the investor's account. Please note that performance information is not available to all investors.

[Transactions](#)

Navigate to this tab to view pending transactions, completed transactions, scheduled actions and assets in transfer information.

[About Your Account](#)

Navigate to this tab to retrieve statements, tax forms, and to view other information related to the investor's account. This is also where you can view if the investor signed up to receive statements electronically.

General Information

Menu Options

Menu options are located in the upper right hand corner and are visible no matter where you navigate to within Liberty.



Home – returns you to your initial landing page when logging into Liberty, typically the Analytics tab.

Forms – opens a separate browser window and navigates you to a website where you can find required forms for performing certain actions on your account. Click the browser window with Liberty displayed to return to your account.

Agreement – displays the Liberty User Agreement you agreed to when first logging into Liberty. Click Home to return to viewing your account.

Diagnostics – used for trouble-shooting user reported issues with Liberty and to view the status of the Liberty application. Click Home to return to viewing your account.

Sign Out – click the sign out link to log out of Liberty. Always sign out of Liberty when you are done.

Notifications



The Notifications bar displays important messages from your investment advisor and from Trust Company of America. New message summaries appear in the Notifications bar. Messages are created with an expiration date decided by either TCA or your investment advisor. Messages will automatically disappear once they are expired.

If the message is longer than can be displayed in the bar, click **Read more** to view the full message.

Click the page selection buttons to view older messages.

Click **Hide notifications** to temporarily remove the **Notifications** bar from view.


Search Bar



Use the Search Bar to find Investor accounts. Type an account number, name or tax id in the search box and click the Search button to search against new or active accounts. Click the +Closed button to include closed accounts in your search. Select an account list from the drop-down to view search results based on an account list. Click the Back to account list button to navigate back to your active search results.

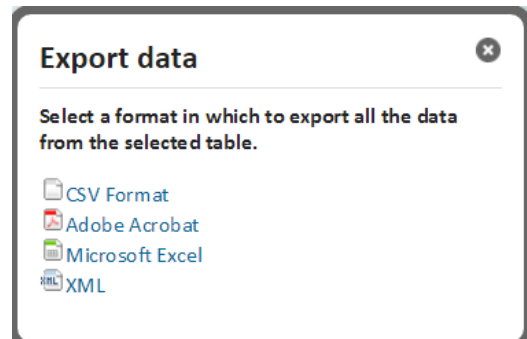
See the Client Management Accounts section for more search options.

Sorting Tables

Click on the title of any column to sort the information being viewed. Your sort will be marked with a sort arrow  and information can be sorted chronologically, numerically, or alphabetically, depending on the information in the column. The default order is generally newest to oldest for chronological transactions or highest to lowest dollar value for holdings. Click the heading again to reverse the sort. Columns with text data (such as security names or transaction types) can be sorted alphabetically A to Z or Z to A.

Exporting

Some of the tables in Liberty can be exported in a variety of formats. Exportable tables will have an **Export Data** link in the top right corner which opens a screen with format options. Exports will include at least all visible columns and sometimes include additional data not included in the Liberty table. Available formats include:



CSV (Comma Separated Value): CSV files are commonly used to collect data from one program, such as Liberty, and paste it into another application such as a database or spreadsheet application (for example, Microsoft Excel). CSV files typically retain the structure of the data but do not keep the formatting. For example, bold or colored text will not be retained but the structure of the data is retained.

Adobe Acrobat: Creates a PDF file viewable in Adobe Acrobat (or other compatible PDF readers).

Microsoft Excel: Opens the data as a new Microsoft Excel spreadsheet file.

XML (Extensible Markup Language): The XML file format allows you to share both the format and the data to and from the web. When selected, this method formats the information in a manner suitable for XML files.

Printing

To print any page in Liberty as it is displayed on the screen, use the print functionality in your browser application. Your browser may prompt you to include headers/footers and background graphics. Select to include background graphics to have the printed information match as closely as possible to the Liberty view.

To print forms such as statements or tax documents, print directly from the window the form opens in, or save the file to your computer for later printing.

To print exported items (above), use the print functionality in the application to which the data is exported (Acrobat, Excel, etc.).

Analytics

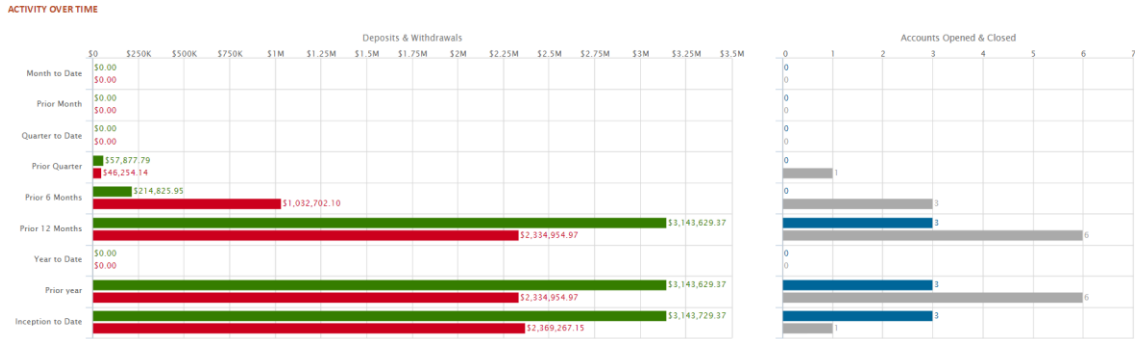
The Analytics Summary page is the landing page for professional users of Liberty. This page shows you information related to our entire book of business with TCA.

Account Summary

Qualified and Non-Qualified Accounts		Qualified Accounts		Non-Qualified Accounts					
Total Active Account Value*	\$49,812,053.10	Total Active Account Value*	\$30,067,626.07	Total Active Account Value*	\$19,744,427.03				
Number of Active Accounts	171	Number of Active Accounts	105	Number of Active Accounts	66				
Average Active Account Value	\$291,298.55	New Unfunded Accounts	0	Closing Accounts	1	First Funding	05/02/2016	Active Offices	n/a
Median Active Account Value	\$138,000.00	Pending Transfers In	\$0.00	Closing Accounts Value	\$0.00	Most Recent Funding	06/27/2016	Active Representatives	n/a
Estimated Annual Income	\$45,786,145.00								

The account summary section shows you your total active account value with options to view all accounts or just qualified or non-qualified accounts.

Activity Over Time



The Activity over Time section provides the value of Deposits & Withdrawals and the number of Accounts Opened & Closed over various time periods. The green bars are deposits, red bars are withdrawals, blue lines are opened accounts and grey lines are closed accounts.

Analytics Detail

ANALYTICS DETAIL

Viewing 172 accounts Export data

Account	Name	Open Date	Total Value	Percent
123456789	DOREEN LISI	05/05/2011	\$3,837,513.24	7.70%
987654321	MELODIE ESTUS	06/03/2016	\$2,587,623.65	5.19%
567890123	KALEIGH ISLES	01/02/2003	\$2,214,286.09	4.45%
345678901	VERDA ELLNER	07/19/2002	\$1,958,530.24	3.93%

The Analytics Detail section shows your top clients in descending market value order. You can click on the account number to navigate directly to the Overview tab for the selected Investor account.

Analytics Data Definitions

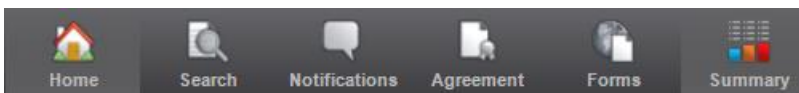
The following table describes terms used in the analytics section and how certain numbers are calculated.

Term	Definition
Accounts Closed	Based on accounts that had an exit term date applied to the account during the defined time period.
Accounts Opened	Based on journal posting date, contains the total number of accounts that received their first deposit during the defined time period making them an active open account.
Active Accounts	Any account with a positive market value with no establish term date.
Average Active Account Value	Total Active Account Value divided by the number of Active Accounts
Closed Accounts	Any account with an exit term date.
Closing Accounts	Any account with an establish term date and no exit term date
Deposits	Based on journal posting date, contains the sum of cash flows into the accounts during the defined time period. Note this includes cash deposits as well as the current market value of transfers in kind.
Estimated Annual Income	Estimated annual income is based on the account values from the close of prior business day and the fee schedule specifically set up for sales analytics. This information is dependent upon user permissions and requires that a separate Analytics Fee Schedule be created for this purpose.
First Funding	A funding is recorded when a new account gets its first deposit or transfer in (cash or in kind). The first funding date defines the earliest deposit/transfer in that was recorded for your accounts.
Median Active Account Value	The value of the median active account. This value will be recalculated on a nightly basis.

Most Recent Funding	Defines the most recent date that one of your accounts received its first deposit or transfer in (cash or in kind).
New Unfunded Accounts	Any account with no market value and no establish or exit term date, with or without an open date.
Pending Transfers In	Pending transfers in are based on projected asset transfers and their estimated values. There is no guarantee the assets will transfer to Trust Company or their estimated values are accurate.
Total Active Account Value	<p>The sum of the market values of the 'Active Accounts'. In the case of multiple reps with allocated commission percents, this value will include the apportioned market values. This value will be incrementally updated during the day to account for deposits and withdrawals, and rebuilt nightly to incorporate changes in security prices and other activity.</p> <p>Account values are based on the most recent closing price. Account values exclude trades that are pending settlement and may differ from account value information reported in other areas.</p>
Withdrawals	Based on journal posting date, contains the sum of cash flows out of the accounts during the defined time period. Note this includes cash withdrawals as well as the current market value of transfers in kind.

Analytics Tab - Tablet Navigation

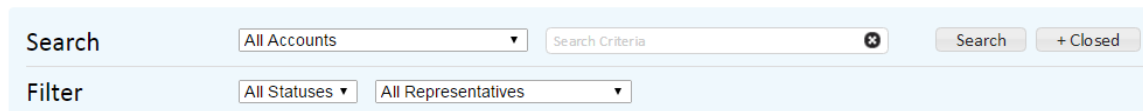
When viewing Analytics on a tablet device, Home, Search, Notifications, Agreement, Forms and Summary will appear as icons in the lower navigation bar. Tap the icons to view those functions. The icon will change from black and white to color to indicate the active page. Home and Summary both take you back to the Summary Analytics page as the default landing page.



Client Management - Accounts

The Accounts screen under the Client Management Tab allows you to search for accounts and is where you are directed when a Search request returns more than one account.

Search and Filter



The screenshot shows a search and filter interface. The 'Search' section includes a dropdown menu set to 'All Accounts', a text input field for 'Search Criteria', and two buttons: 'Search' and '+ Closed'. The 'Filter' section includes two dropdown menus: 'All Statuses' and 'All Representatives'.

Search based on a list of accounts by selecting the list from the drop-down or type in part of a client name, tax id or account number in the Search Criteria box. Click the Search button to select against active accounts or click the +Closed button to include closed accounts in the search results.

Once you have completed a Search, you can refine your search results using the filter options. Filter options include filtering by account status and by Representative (note only certain users have access to more than one Representative at a time).

View Combined

To combine multiple accounts in one view, click the check box in the account row. A check mark will appear in that row. Continue to select all the accounts to be grouped and then click the View Combined button in the lower right.

Use the View All Combined button to quickly view an entire search results set as one account. Note you do not need to click the check boxes for each account in order to activate the View All Combined button.

Note, if you have a large search results set then the view all combined function may take several minutes to complete.

Create Reports

You can select one or more accounts in your search results and then generate individual Portfolio Report packages for them.

- To generate a Portfolio Report for a single account or a group of accounts from the account search results page, search for the accounts to be included in the report or click the **Select a List** drop-down to open a list of accounts in the search results.
- Click the checkbox at the top of the checkbox column to select all accounts or click the check box in the specific account row(s) you want to report on and then click the Create Reports button in the bottom right of the screen.
 - Choose one or more **Reports to include** from the drop-down. To select multiple reports, click on the reports while holding the CTL or Shift key.
 - Select a **Report by** option to break down the reports by Asset Class, Asset Sub-class, Model, or Security.
 - Choose a **Date Range** for your report.
 - Select a **Report Format** to produce your report in PDF or Excel format
 - Click **Create Reports** to generate your report.
- Click **View completed reports** to navigate to the Completed Reports area under the Documents tab.

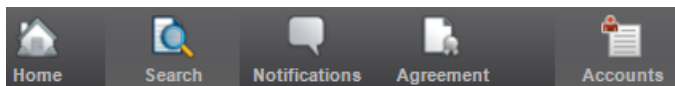
The screenshot shows the 'Account Batch Reports' interface. It features a table with columns for 'Account' and 'Name'. Three accounts are listed: ANDRESSA, ERROL; BARINGTON, DORIA; and BARINGTON, DORIA. To the right of the table are several controls: a 'REPORTS TO INCLUDE' dropdown menu with options for 'All Reports', 'Dashboard', and 'Positions'; a 'REPORT BY:' dropdown menu set to 'Asset Class'; a 'DATE RANGE:' field with dates '01/01/2016' and '01/06/2017'; and a 'REPORT FORMAT:' dropdown menu set to 'PDF'. At the bottom right, there is a 'Create Reports' button and a link to 'View completed reports'.

Note: Reports may take several minutes to complete, click the Go button in Completed Outputs to refresh the display to see if your reports are done or complete other tasks while reports are being generated.

- Click **Home** on the right-hand side of the banner to return to the Overview tab.

Client Management Tab - Tablet Navigation

When viewing Account search results in the Client Management tab on a tablet device, Home, Search, Notifications, Agreement, and Accounts will appear as icons in the lower navigation bar. Tap the icons to view those functions. The icon will change from black and white to color to indicate the active page. Both Search and Accounts will take you back to the account search results.



Documents

The Documents tab gives you access to Completed Reports, Statements and Standard Reports.

Completed Reports

Completed Reports | Statements | Standard Reports

Search: 12/23/2016 to 01/06/2017 Go

Filter: Filter Criteria | All Output Types | All Shared/Private

Viewing 3 of 3 results Export data

Output Type	Output Title	Create Date	Created By	Shared/Private	Format	Status
<input type="checkbox"/>	Bat Rpt - Account Portfolio Account Portfolio	01/06/2017 at 02:53:17 PM	30394-142	Shared	PDF	Complete
<input type="checkbox"/>	Bat Rpt - Account Portfolio Account Portfolio	01/06/2017 at 02:53:14 PM	30394-142	Shared	PDF	Complete
<input type="checkbox"/>	Bat Rpt - Account Portfolio Account Portfolio	01/06/2017 at 02:53:10 PM	30394-142	Shared	PDF	Complete

Go to Completed Reports to retrieve scheduled reports, export files, portfolio reports and standard reports.

Click on the Output Title link to view the report. Save the report to your desktop using the browser or application the report is viewed in. Note that you may only view one report at a time within Liberty, you cannot currently select multiple items to download at once.

Use the checkbox to mark reports for deletion. Click the checkbox and then click the Remove button in the lower right corner to remove the report from your Completed Reports view.

Statements

You may view client statements online from Liberty by navigating to individual client accounts, however, you may also download statement PDFs in bulk. The **Statements** page includes the ability to download a complete set of statements for a given period or to easily view individual statements for several accounts. Statements are available online for one year plus one period based on the investment advisor's statement frequency.

Once statements are delivered to Liberty, notification messages are sent via email to the authorized advisors/representatives. To avoid delays in the notification process, it is important for advisors/representatives to provide Trust Company of America with current email information. For associated representatives receiving the online statements option, email information is entered in Liberty under the My Profile tab.

[Completed Reports](#) | [Statements](#) | [Standard Reports](#)

CONSOLIDATED CLIENT ESTATEMENTS

Statement End Date *Last Updated 10/24/2016*

Select the Statement End Date you wish to download, the default is the most recent period. You can click the Download Zip File button to download the entire set available for the selected date.

The lower display includes the Client Statements table with the available statements for the selected period. This section allows viewing of individual statements by clicking on the View link to the far right of the account whose statement you wish to view.

CLIENT STATEMENTS FOR STATEMENT END DATE 09/30/2016 [Export data](#) [Advanced](#)

Account	Name	Type	Prior Statement Value	Account Value	Family Name	Family Value	Pages	Statement
---------	------	------	-----------------------	---------------	-------------	--------------	-------	-----------

Use the Advanced link in the upper right of the Client Statements table to limit the client statements table view to those matching the specified criteria.

Statement End Date: Select from the Statement End Date drop-down a list of available statement periods and click on the Update button. Note: The most recent statement period is the default option.

Account Search: Enter the account number or text from any of the items in the Client Statements table to limit the view to only those accounts matching the selection criteria and click on the and click on the **Go** button. Click on the **Clear Search** button to return the view to the default setting. Note: All accounts included in the selected statement period are listed by default.

Dollar Value Search: Select the math symbol from the drop-down, enter a specified dollar value (including or excluding special characters), and click on the **Go** button. Click on the **Clear Search** button to return the view to the default setting. Note: All accounts included in the selected statement period are listed by default. Note: Only an Account Search or Dollar Value Search may be entered at a given time.

Standard Reports

Liberty has a robust set of pre-defined reports available for Investment Advisors. To view a complete list of the available reports and descriptions, see the Standard Reports List in [Appendix A](#) of this document.

Viewing 6 of 6 results

Title	
<input type="radio"/> Asset and Transaction Report	
<input type="radio"/> Gain/Loss Report	
<input type="radio"/> Historical Account Position	
<input type="radio"/> Income Report	
<input type="radio"/> Model Mkt Value Report	
<input checked="" type="radio"/> RMD Report	<p>RMD REPORT Required Minimum Distribution Report</p> <p>Report Title: <input type="text" value="RMD Report"/> Shared/Private: <input type="button" value="Shared"/></p> <p>Account Type: <input type="text" value="Select One"/></p> <p>Year (YYYY): <input type="text" value="2011"/></p> <p>CSV Format: <input type="text" value="Yes"/></p> <p>Inc Term'd Accts: <input type="text" value="No"/></p>

Reports are listed alphabetically by title in a paginated table. Click on the corresponding radio button to select the report you wish to run. Once selected, the report title will be highlighted with a blue background, and entry criteria will appear on the right hand side of the page. There will be a brief description of the selected Report.

Defining and Running Reports

Criteria will vary depending on the selected report. However there are a number of common criteria.

Report Title is a freeform field containing the default Report title. The title can be changed to run and save the Report with a custom title.

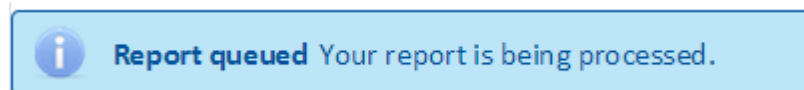
Reports can be run as Shared or Private Reports. Reports are set to Shared by default. Reports which are run with a Shared status will be visible and retrievable by other users within your business who have access to Standard Reports. Reports which are run with a private status will only be visible and retrievable to the user who ran the Report.

Required input fields are outlined in red. Once a value is input in the required field, the red outline will disappear.

Once all criteria have been input, click on the Run Report button within the action dock at the bottom of the page.

Note: Clicking on the Reset button will clear all entered criteria and the Report will not be run

After running the report, a confirmation message will appear at the top of the page:



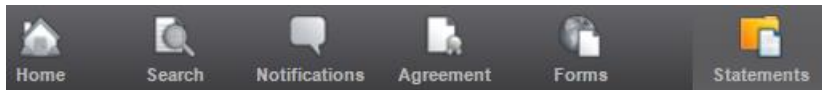
Viewing Reports

After the Run Report button is selected, Liberty will submit the requested report and confirm the receipt of the request. While the report is being generated, you may leave the Reports area and perform other functions in Liberty.

Typically, reports take only a few minutes to complete. However, if the request is for a large number of accounts or for a past date, it may take longer to generate the report. Once completed, the report will be available in the Completed Reports link located under the Documents tab.

Documents Tab - Tablet Navigation

When viewing the Documents tab on a tablet device, Home, Search, Notifications, Agreement, Forms and Statements will appear as icons in the lower navigation bar. Tap the icons to view those functions. The icon will change from black and white to color to indicate the active page. Please note that not all document related functions are available on the tablet device.



My Profile

The My Profile tab contains your firm's contact information as well as security settings that you can view or modify on line.

Contact Information

This section lists your firm's contact information. Representatives may also have an editable email address field, depending on user settings.

Security Authentication

Click **Edit** under the Security Question(s) or Security Image sections to update your account security authentication information.

Security Question(s): Select the new question(s) from the drop-down and type the answer in the field, or just change the answer to the question(s) you previously selected.

Security Image: Select an image that will be your visual confirmation that you have accessed the authentic Liberty website.

Change Password

Click **Edit**, then type your old password and the new password twice before clicking **Save**. A password strength meter appears to let you know when your password is secure enough to be usable. You are not able to save a password with a weak rating (indicated by a red bar). The Save button is activated when you have entered a medium (yellow bar) or strong (green bar) password twice.

My Profile – Tablet Navigation

When viewing the My Profile tab on a tablet device, Home, Search, Notifications, Agreement, and Forms will appear as icons in the lower navigation bar. Tap the icons to view those functions. The icon will change from black and white to color to indicate the active page.



Viewing Investor Accounts

As a professional user you have the ability to view any investor account you have access to. Search for an investor account using the Search bar as described above. Once you navigate to an investor account you can access the information described in the following sections.

Professional Mode/Client Mode

The screenshot shows the top navigation bar of the Liberty Investor Account interface. It includes a search bar with the placeholder text "Account number or name or tax ID", a "Search" button, a "+ Closed" button, a "Select a list" dropdown menu, and a "Back to account list" button. Below the search bar, a banner indicates the user is viewing "MONROE ANDER's IRA - Individual Retirement Account account (201720)". Below the banner, there are five navigation tabs: "Overview" (showing Net Assets of \$600,720), "Holdings" (showing Securities at 98% and Cash at 2%), "Performance" (with a "View performance and income" link), "Transactions" (with a "View transactions, actions and transfers" link), and "About your account" (with a link to "Account Information, Documents & Settings").

Liberty allows some professional users to view an account holder's account as a professional or as the client. Note that the mode you are using is described in the banner above the account Navigation Tabs. Once you have chosen an account to view:

- Choose **Professional Mode** from the drop-down menu above the Navigation Tabs to access account information as a financial professional. Available options may vary depending on your access.
- Choose **Client Mode** from the drop-down menu to view the same screens the account holder sees when accessing Liberty. For some users this will be the only mode available as you view investor accounts.

View Other Accounts

The screenshot shows the top navigation bar of the Liberty Investor Account interface. It includes a search bar with the placeholder text "Account number or name or tax ID", a "Search" button, a "+ Closed" button, a "Select a list" dropdown menu, and a "Back to account list" button. Below the search bar, a banner indicates the user is viewing "OFELIA AEGERTER's ROTH IRA account (201721)". To the right of the banner, there is a link that says "View other accounts ►".

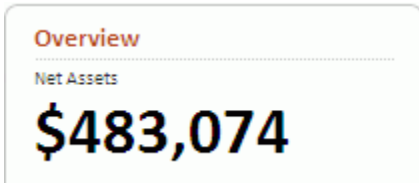
The View Other Accounts link appears if the Investor you are viewing is part of a statement family. Click this link to see a list of all accounts within the family. You can change the account you are viewing by clicking the checkbox to the left of the account and clicking the Switch Account button. If you select more than one account, the button changes to read View Combined, allowing you to view the total of all of the selected accounts.

View Other Accounts – Tablet Navigation

When viewing an account that is part of a family on a tablet device, click on the Family icon located in the bottom icon bar to view other accounts in the family and to switch or view combined accounts.



Overview Tab



The *Overview* tab shows summaries of your account value, activity, holdings, and details.

The **Net Assets** amount displayed on the **Overview** tab may not include current activity.

If you have access to multiple accounts, you can view other accounts in your family by clicking the **View other accounts** link and following the directions. Accounts can be consolidated or viewed individually.

Note: For some users, the initial landing screen is titled "**Household**" and displays account information for the account(s) associated with your family. To reach the Overview tab and the details referred to below, click the account number link in the Household Members list.

Totals & Trends

Securities: Total market value of securities in the selected account. If the **View Other Accounts** option is used to consolidate two or more accounts, this figure is the total market value of all the accounts selected.

Cash: Total cash held in the selected account. If the **View Other Accounts** option is used to consolidate two or more accounts, this figure is the total cash held by all accounts selected.

Total Value: The sum of securities and cash held in the selected account. If the **View Other Accounts** option is used to consolidate two or more accounts, this figure is the total of assets and cash held by all accounts selected.

Pending Dividends: The value of all potential dividend transactions after posting. **Note:** Cash dividend amounts are included in Pending Cash. Reinvested dividend values are based on the current price for the security.

Totals & Trends	
	View performance ▶
Securities [‡]	\$4,505.97
Cash	\$84.62
Total Value	\$4,590.59
Pending Dividends	\$0.00
Total Value + Dividends	\$4,590.59
Pending Cash	\$0.00
	more

Total Value + Dividends: The total value of the account including any potential dividend transactions. [Note: Reinvested dividend values are based on the most current price for the security.](#)

Pending Cash: The total cash effect of all pending activities including any dividend transactions.

Click **More** to view the following values:

Cost Basis: The original purchase price of a security, including commissions and other expenses, used to determine gains and losses for tax purposes. Cost basis excludes cash. Cost basis information for mutual funds reflects average cost, unless your Investment Advisor has elected to report actual cost for all securities. Cost basis information for all other securities is based on actual cost. Both average and actual costs may reflect adjustments for events such as wash sales and corporate actions.

Unrealized Gain/Loss: The total value of positions less cost basis. Unrealized gains/losses do not include positions with a zero cost basis (N/A). [Note: Trades pending settlement may contain estimated values which cause the market value and unrealized gain/loss amounts for a given position to fluctuate until settlement. Gain/loss estimates for pending equities and non-equities use the previous day's closing price.](#)

Short-term: The amount of gain/ loss where the difference between current date and the date purchased is less than or equal to one year.

Long-term: The amount of gain/loss where the difference between the current date and the date purchased is greater than one year.

Latest Account Activity

This section displays transactions over the last 30 days in the account being viewed.

View a complete history of transactions by clicking the [Transactions tab](#) or by clicking **View transactions in more detail**.

View a specific transaction in more detail by clicking the Transaction ID number for that transaction.

[Note: This section may not be available in the Overview tab. To view account activity, click the Transactions tab.](#)

Top Asset Classes

This section displays the top four asset classes held in the account being viewed. Asset classes not in the top four are listed as Other Asset Classes. Click **View holdings by asset class in more detail** to go to the [Holdings tab](#), where all asset classes will be displayed and all securities in the asset classes will be listed.

Note: This section may be labeled **Asset Classes** instead of **Top Asset Classes** and will display all asset classes for the securities and cash in the account displayed.

Top Models

This section displays the top models held in this account and will include a line item for Other Models if more than four models are held. Click **View holdings by model in more detail** to go to the [Holdings tab](#), where all models will be listed.

Note: This section may not be available in the **Overview** tab. To view models in the account displayed, click the [Holdings tab](#).

Top Holdings

This section displays the top four securities held in this account. An additional line item titled other Holdings includes the value for all other holdings. Click **View holdings in more detail** to go to the [Holdings tab](#), where all securities in the asset classes will be listed.

Note: This section may not be available in the **Overview** tab. To view holdings in the account displayed, click the [Holdings tab](#).

About Your Account

This section shows your investment advisor's firm and contact information, links to recent statements and tax forms, your address, any primary and secondary beneficiaries listed on the account being viewed and any account lists your account is included in.

Click the date under **Latest Statement** to open a PDF version of the most recent statement for this account.

Click **Latest Tax Forms** to view a list of tax forms that can be opened individually.

Some of these account settings may not be available in the **Overview** tab. For a complete listing of your account information, click **View more about your account** or click the [About Your Account](#) tab.

Portfolio Report

This section allows you to produce a Portfolio Report for the account or combined accounts being viewed.

Choose one or more **Reports to include** from the list. To select multiple reports, click on the reports while holding the CTL or Shift key.

Select a **Model to include** from the drop-down. Select All Models to report the entire account value or choose a single model to limit the report to one model.

Select a **Report by** option to break down the reports by Asset Class, Asset Sub-class, Model, or Security.

Choose a **Date Range** for your report.

Select a **Report Format** to produce your report in PDF or Excel format

Click **Create Report** to generate your report.

PORTFOLIO REPORT

REPORTS TO INCLUDE:

All Reports

Dashboard

Positions

MODEL TO INCLUDE:

All Models

REPORT BY:

Asset Class

DATE RANGE:

12/01/2015

to

12/18/2016

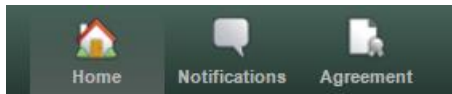
REPORT FORMAT:

PDF

Create Report

Overview Tab - Tablet Navigation

When viewing the Overview tab on a tablet device, Home, Notifications and Agreement will appear as icons in the lower navigation bar. Tap the icons to view those functions. The icon will change from black and white to color to indicate the active page. Home is the active page because the Overview tab is your default landing page.



Account Holdings



The bar graph on the *Holdings* tab shows a breakdown of the holdings by securities and cash in the account being viewed, as of the last market close.

The Holdings page displays holdings according to your specifications. You may view the information by Model, Class or Subclass by selecting the appropriate radio button. By default the information is as of the current date.

Holdings Summary Table

Displays a summary of your positions based on which **View By** button is selected.

View By Model

View By Asset Class

View By Asset Subclass

Each summary row (model, class or subclass) can be selected to display only those holdings in the **Holdings** table (below).

Holdings Table

Securities are listed in the **Holdings** table based on selections in the **Holdings Summary Table** and the **Holdings Over Time** filter (see below). If you do not see a security you were expecting, check to make sure that you have clicked the correct **View By** button (Model, Class, or Subclass) and that the filter is cleared or set to the right time frame.

Click the **Symbol** to view the Security Detail. Click the **Quantity** to view Trade Lot detail for the specific security. Note: for non-retirement accounts, the Tax Lot detail will be displayed.

Account holdings trade lot details ✕

VANGUARD TAX MANAGED INTL FD MSCI

[Export data](#)

Trade Lot Date	Quantity	Cost Basis	Unrealized Gain/Loss	Market Value
02/07/2011	12.0000	\$454.67	(\$13.91)	\$440.76
08/23/2016	1.0000	\$37.55	(\$0.82)	\$36.73

Trade Lot - Information for non-retirement accounts represents tax lot data.

Notes:

Cost basis excludes cash. Cost basis information for mutual funds reflects average cost, unless your investment advisor has elected to report actual cost for all securities. Cost basis information for all other securities is based on actual cost. Both average and actual costs may reflect adjustments for events such as wash sales and corporate actions.

Unrealized gains/losses do not include positions with a zero cost basis (N/A).

Trades pending settlement may contain estimated values which cause the market value and unrealized gain/loss amounts for a given position to fluctuate until settlement. Gain/loss estimates for pending equities and non-equities use the previous day's closing price.

Holdings Over Time

Holdings as of...: Allows you to select a specific date to view holdings (going as far back as the account opening date).

Asset Class: When **View by Model** is selected, you can set the filter to show only models within a specific asset class.

Model: When **View by Asset Class** is selected, you can set the filter to show only asset classes within a specific model.

Limit to a Symbol: Type a symbol and press Enter to view only that security in the Holdings table. To view more than one security, type in multiple symbols separated by commas.

Limit to a Name: Type all or part of a security name and press Enter to display only that security in the Holdings table. To view more than one security, type in multiple names separated by commas.

Advanced: Adds date type options for advanced filtering. Use to calculate positions based on the following date types.

Trade Date: The date a trade was executed

Post Date: The date the trade is available in the account

Statement Date: The date the transaction appears on the client's statement

Holdings over time

Holdings as of...
12/18/2016

Asset Class
All Asset Classes

Models
All Models

Limit to a Symbol

Limit to a Name

Reset Advanced

Holdings Tab - Tablet Navigation

When viewing the Holdings Tab on a tablet device, Home, Notifications and Agreement will appear as icons in the lower navigation bar. Tap the icons to view those functions. The icon will change from black and white to color to indicate the active page. Click the Home icon to navigate back to your default landing page.



Performance/Income



The *Performance* tab contains information about the overall performance of all securities held in the account.

Note: This tab may be titled “Income” depending on the options chosen by your financial professional.

The page will include at least the [income-by-model](#), listed by model with a total for all models. The page may also include account performance options that allow you to view your account's return over various time periods.

The number on the tab represents either:

The modified trailing return over the time period listed, or

The total earnings of all models for the year to-date, displayed as a dollar amount.

Please note the following definitions:

Trailing performance is the performance for the past number of complete months referenced.

Modified trailing performance (as displayed on the Performance tab) is the performance for the past number of complete months referenced and includes the performance of the partial month minus one day.

Performance over time

The settings in this section will change the values displayed in the [Portfolio Value](#), [Performance Chart](#), and [Month-by-Month Performance](#).

Select **Basic** or **Advanced** (Basic is the default.)

Basic: select **Cumulative** or **Annualized** trailing returns (Cumulative is the default) for all current models or one specific model (if model selection is available).

Cumulative Return: the cumulative time weighted return over the selected period.

Annualized Return: the average annual time weighted return achieved over the selected period.

Advanced: select specific beginning and ending dates for all models or one model at a time. The results will show cumulative trailing returns for the time period you selected and an annualized return, if the time period is greater than one year.

Trailing Returns: click on a time period to change the returns shown. The drop-down in the bottom selection includes additional period options including year-to-date.



Portfolio Value

The portfolio value will display the value for the date range you selected in the Performance Over Time section, including:

The value on the first day of the date range selected

The value of all contributions and distributions made during the period

Note that this includes both cash and in-kind transactions. If your financial professional has elected to exclude certain models then these numbers will include transfers from and to excluded models.

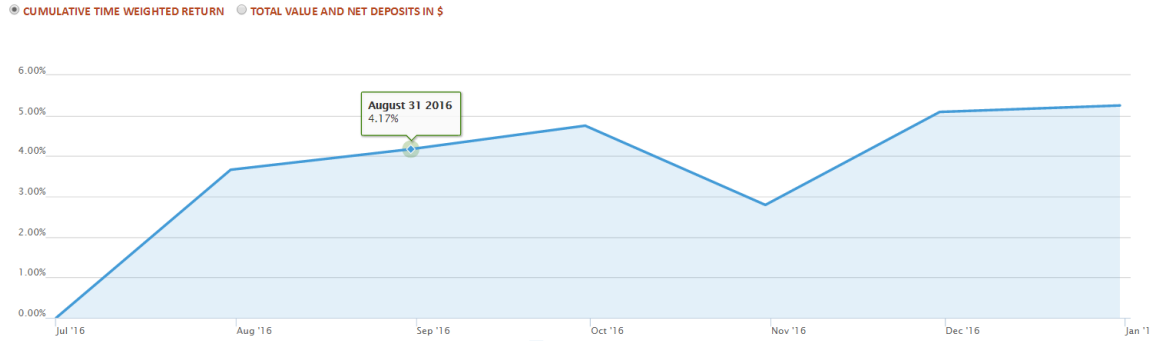
Income and gains

The net change in value

The value as of the end of the last full month in the date range

Performance Chart

The chart will display the account's performance depending on the options selected in the Performance Over Time section.



When **Cumulative Return** is selected in the Performance Over Time section, the chart will display the percentage gain or loss over the specified time period.

When **Annualized Return** is selected in the Performance Over Time section, the chart will display the percentage gain or loss for each trailing time period that the account was open (1 Year, 3 Year, 5 Year, 10 Year, Lifetime). Accounts open for less than one year will not display an annualized return.

When **Total Value and Net Deposits in \$** is selected, the chart will display a Total Value line - representing the dollar value of the account over time - and a Net Deposits line - representing deposits or withdrawals over the same time period.

Month-by-Month Performance

This section displays values for each month in the time period selected in the Performance Over Time section. The current partial month will not be displayed. This data corresponds to the data points in the above chart.

MONTH BY MONTH PERFORMANCE ⓘ Export data

Month	Total Value	Net Deposits	Change in Deposits	Total Return Dollars	Cumulative TWR
12/31/2016	\$21,023.41	\$19,665.49	\$0.00	\$1,357.92	5.25%
11/30/2016	\$20,991.86	\$19,665.49	\$0.00	\$1,326.37	5.09%
10/31/2016	\$20,531.76	\$19,665.49	\$0.00	\$866.27	2.79%
09/30/2016	\$20,923.26	\$19,665.49	\$0.00	\$1,257.77	4.75%
08/31/2016	\$20,808.40	\$19,665.49	\$0.00	\$1,142.91	4.17%
07/31/2016	\$20,705.19	\$19,665.49	\$0.00	\$1,039.70	3.66%
07/01/2016	\$19,974.70	\$19,665.49	\$0.00	\$309.21	0.00%

Note: Performance (time weighted return) is estimated based on prices and transactions posted to date. Beginning portfolio values are based on the prior day's closing account value. Performance is based on income, dividends, and appreciation values. Performance is not based on deposits and withdrawals and does not represent total return over time. Actual performance reported on your statement may vary. Market values reported in the system may vary. Annualized returns are not available (N/A) for periods of less than one year.

Negative returns with positive dollar gains

With time-weighted return, which is the industry standard return calculation used to measure the performance of the investment manager without regard to when the investor enters the strategy, it is entirely possible to have a negative % return, despite having a net dollar gain on investments (or conversely, a positive % return with a net dollar loss on investments).

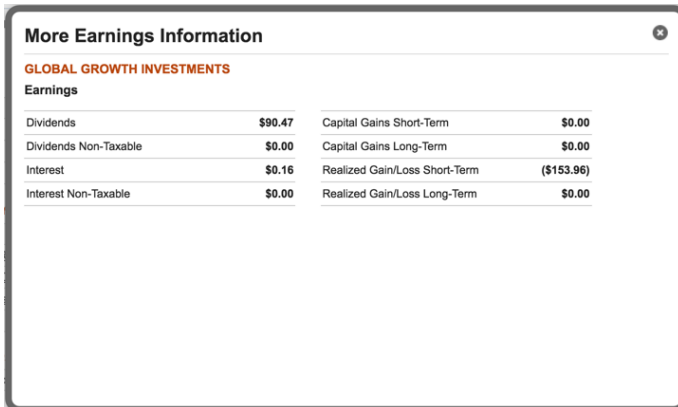
Here's an extreme example to illustrate this:

Suppose, I invested \$10 to start, and the market loses 50%. Now I have \$5 in the account. Let's say I then make a \$100,000 deposit and the market goes up 10% immediately after that. In this case, I would have positive dollar gains, since I just gained about \$10k (much more than my initial \$5 loss). It was not because the portfolio has performed well thus far – in fact, it's been negative overall since I started (it went down 50% and then up 10%). However, most of my money did not participate in that initial loss, therefore my dollar gains remain positive.

Income-By-Model

This section displays year-to-date values for each model in the account and for all models combined based on the year selected in the drop-down menu. You may view this information for each year the account has been open.

Clicking on the Model link will show more earnings information.



More Earnings Information			
GLOBAL GROWTH INVESTMENTS			
Earnings			
Dividends	\$90.47	Capital Gains Short-Term	\$0.00
Dividends Non-Taxable	\$0.00	Capital Gains Long-Term	\$0.00
Interest	\$0.16	Realized Gain/Loss Short-Term	(\$153.96)
Interest Non-Taxable	\$0.00	Realized Gain/Loss Long-Term	\$0.00

Notes:

Earnings: The earnings and other values shown on this page are estimated figures. These values may differ from those shown on your statements. The Year-to-Date Summary is based on **realized earnings**. Unrealized earnings are not included.

Realized Gain/Loss: Realized gains and losses do not include securities with a zero cost basis (N/A).

Year to date information

YEAR TO DATE INFORMATION FOR 2016					Export data
Contributions	Distributions	Transfers In	IRA Required Minimum Distribution	IRA Remaining Distribution to be taken	
\$0.00	\$195.00	\$31,745.86	\$0.00	\$0.00	

Year to date information represents the contributions, distributions and in-kind transfers made for the selected year. Changing the Year in the Income by Model section also changes the view of year to date information.

Contributions: Amount contributed within the selected year

Distributions: Amount that has been distributed within the selected year

Transfers In: Amount that had been transferred within the selected year

Individual Retirement Account (IRA) summary information: These fields will only appear when applicable:

IRA Required Minimum Distribution: The dollar amount that is required to be taken annually for an Individual Retirement Account (IRA) holder who is 70 1/2 years of age.


IRA Remaining Distribution to be taken: The required minimum distribution less any distributions that have occurred in an account for the selected year.

Performance Tab - Tablet Navigation

When viewing the Performance tab on a tablet device, TWR (time-weighted return) and Income will appear as icons in the lower navigation bar. Tap the icons to view those functions. The icon will change from black and white to color to indicate the active selection.



Transactions



Transactions

View transactions, actions and transfers

Transactions over time

Timeframe: Custom

As of Date Type: Trade

Transaction Types:

- Sold (2)
- All Transactions (2)

PENDING TRANSACTIONS Export data

Transaction	Trade Order #	Trade Date	Security	Model	Quantity	Amount	Running Cash Balance
No records found.							

TRANSACTIONS FROM: 09/01/2016 THRU 09/03/2016 Go Export data | Advanced

Transaction	Statement Date	Trade Date	Post Date	Symbol	Security	Model	Quantity	Amount	Transaction ID
Sold	09/02/2016	09/06/2016	09/06/2016	DEGEX	DFA GLOBAL REAL ESTATE SECURITIES FUND INSTL CLASS	0-MO 142*234	(353.7420)	\$4,160.00	430569284
Sold	09/02/2016	09/06/2016	09/06/2016	VTABX	VANGUARD TOTAL INTL BOND INDEX FUND ADMIRAL CLASS	0-MO 142*234	(84.9780)	\$1,895.00	430569110

SCHEDULED ACTIONS Export data

Action	Next Date	Check/Bank Account	Frequency	Amount	Status	Action Id
Distribution	01/31/2017		Monthly	\$500.00	Active	78821

ASSETS IN TRANSFER Export data

Transferring Firm	Status	Opened	Closed	Pending Cash	Pending Assets	Total Received	Total Expected Value
LEONARDO CANNADY	Closed	06/30/2003	07/22/2003	\$0.00	\$0.00	\$6,771.96	\$6,771.96

The *Transactions* tab displays transactional information related to the selected account. These include account transactions, scheduled or recurring distributions and contributions, and transfers from other institutions.

Pending Transactions

The pending transactions table displays any transactions that are pending completion. These include pending dividends, distributions and, in certain cases, trades.

Transactions Over Time

This section allows you to select which transactions to show in the related transactions table. The default time period for displaying transactions is 30 days. Select other time periods from the drop-down list or use the custom time period drop-down fields in the **Transactions** section (below).

The **Transaction Types** list shows individual transaction types for the time period selected with the number of each type of transaction in parentheses. Click the name of the transaction type to see only those transactions listed in the **Transactions Table** (below).

Transactions Table

The Transactions Table lists all transactions in the selected time frame and that match the selected Transaction Type.

Click the **Transaction ID** number to see the details of a specific transaction.

To search for specific transactions:

Change the dates in the **From** and **Through** fields to view transactions for a specific time period.

Click **Advanced** to see more options for filtering the **Transactions** list:

Type of transaction: shows only the specific transaction type selected in the drop-down list.

Transactions in Model: Shows transactions only in the model selected.

Transactions in Security: Shows transactions only of the security selected.

Amount is: Allows you to specify a dollar amount or range for a transaction or transactions (equal to, greater than, less than, etc.).

Note that the selections made available in the above drop-downs are based on the transactions in the timeframe selected. If you do not see what you are looking for try broadening the date range.

Scheduled Actions

Lists any systematic (recurring) contributions and/or distributions set up on the account. Click the **Action Id** number to view details about a specific scheduled action.

Assets in Transfer

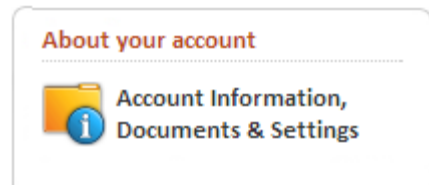
Assets in transfer display cash and security transfers from other financial institutions. Click the **Transferring Firm** name/ID to see more detail, including a breakdown of securities being transferred.

Transactions Tab - Tablet Navigation

When viewing the Transactions tab on a tablet device, Posted Transactions, Pending, Scheduled, and Transfer will appear as icons in the lower navigation bar. Tap the icons to view those functions. The icon will change from black and white to color to indicate the active selection.



About Your Account



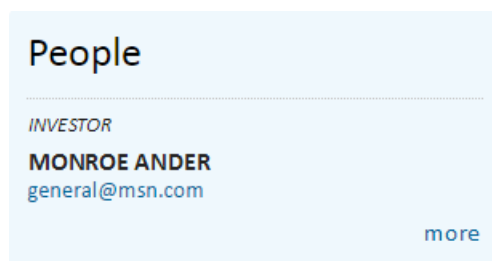
The *About Your Account* tab contains information about the registration and authorizations for your account as well as security settings that you can view or modify on-line.

People

Investor

This section displays the client's name and email address.

Click **More** to see the address, phone number, last 4 digits of the Tax ID number, and Date of Birth associated with the account.



Your Investment Advisor or Representatives

This section shows you contact information for the client's advisor and specific individuals who manage their account. Click More to show their full contact information.

Interested Parties

Interested parties are individuals or organizations an investor has authorized to receive account information such as tax forms, transaction confirmations, and statements.

Authorized Parties

Authorized parties defines additional information about who can act on the account.

Can Act Independently: The account owner may transact on the account without receiving authorization from other persons or entities.

Notes: Additional instructions provided by the investment advisors for transacting on an account.

Statements

Account statements are available for the last twelve months or the last six quarters.

To open a statement, click **View** in the Statement column. This will open a PDF document in a new browser window.

Tax Documents

Tax documents are available for the last four years. Multiple tax documents may be listed for a given year. Tax documents will be listed separately by form name and the Informational Tax Insert for each year available. When available, a CSV file of the tax information will accompany the forms.

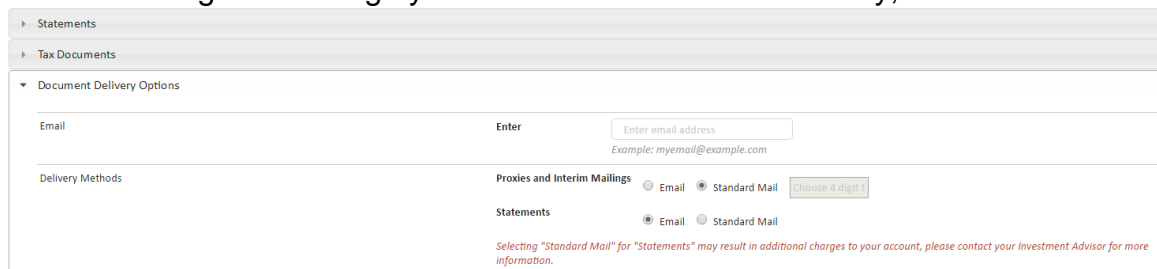
Please note that if you use Turbo Tax to complete your taxes you can retrieve your tax information from Trust Company of America through the Turbo Tax interface.

Document Delivery Options

This section indicates whether you are receiving statements via standard mail or email. If email is the selection, the email address will also appear.

Click **Show** next to *Document Delivery Terms of Agreement* to view the full text of the agreement.

Depending on the settings selected by your financial professional, you may also see the option to select the delivery method for your Statements and Proxies and Interim Mailings. To change your method of document delivery, click **Edit**:



Standard Mail is the default. Click **Email** to receive statements and/or proxies and interim mailings via email.

Add or update the email address where you would like to have email statements or proxy materials sent.

If you have chosen to receive proxy materials via email, enter a 4-digit PIN number

Click the check-box to indicate you have read and agree to the document delivery terms, then click **Save**.

Account Details

This section displays an overview of the account registration information for a selected account including:

Account ID number

Prior Account ID (if the account was transferred from a different custodian)

Account Type

Name for Mailing

Date Opened

Statement Family

Statement Frequency

Termination Information (including date initiated and closed, if applicable)

Employer Info (only on 403 and 403R account types)

Required Minimum Distribution

The Required Minimum Distribution (RMD) is the dollar amount required to be taken annually for an Individual Retirement Account holder who is 70 1/2 years of age. This field will only be visible if applicable to the account being viewed.

Beneficiaries

If the account type allows beneficiaries, any primary and contingent beneficiaries will be listed. To update or add beneficiaries, contact your advisor.

Authorizations

Advisor Distribution Authority

IRA Establish Systematic Check: The date a systematic distribution is established for a selected Individual Retirement Account (IRA).

IRA Change/Terminate Systematic: The date a systematic distribution is changed or terminated for a selected Individual Retirement Account (IRA).

Change/Terminate Systematic ACH: The date an Automated Clearing House (ACH) authorization is changed or terminated for the selected account.

IRA Internal Transfer: The date an internal transfer authorization is received for an Individual Retirement Account (IRA).

IRA Check to Address of Record: The date a distribution check from an Individual Retirement Account (IRA) is sent to the address of record for the account.

Estab Systematic ACH: The date an Automated Clearing House (ACH) systematic distribution is established from a selected Individual Retirement Account (IRA).

IRA Wire: The date a distribution from the selected Individual Retirement Account (IRA) is wired to the bank of record.

Systematic Distributions

Systematic Distributions on File: Systematic distribution instructions exists for the selected account.

Adjust Systematic RMD Reminder: Reminder to adjust the systematic required minimum distribution (RMD) exists for the selected account.

Note: Applicable for retirement-type accounts only.

Check Bank Wire Instructions

ABA Routing Number: American Bankers Association (ABA) routing number of the wire bank account.

Bank Account Number: Account number at the financial institution.

Bank Account Name: Name on the account held at the financial institution.

Purpose: Information added to the transmittal that provides the reason for the wire transfer, i.e. for the benefit of FBO Trust Company Account Owner.

Notes: Additional comments regarding Client Bank Wire Instructions for the selected account.

ACH on Demand Authority

Ref Date: Date Automated Clearing House (ACH) on Demand Authority has been added to the selected account.

ABA Routing Number: American Bankers Association (ABA) routing number.

Account Number: Account number at the financial institution.

Acct Type: Type of account at the financial institution.

Status: Type of ACH on Demand Authority, Standing or Additional.

Image ID: Unique identifier for the ACH on Demand Authority item.

Notes: Additional comments regarding ACH on Demand Authority for the selected account.

Other

Cash Distribution(s) Since: Displays the date (30 days less than the current date) and the number of cash distributions taken since this date.

Tax Lien: Tax lien is imposed on the account.

Power of Attorney: Attorney-in-Fact is associated with the account and must authorize transactions.

Court Order Required: Court order is required to transact on the account.

Pledged Collateral: The assets in the account are ascribed as collateral; therefore, distributions must be authorized by a third-party.

Notes: Additional comments regarding Authorized Parties/Trustees for the selected account.

Security Settings

This section allows you to update your security question, security image, and password.

Security Question: The security question authenticates your user identification the first time you log in and when you log in on a different platform. For subsequent sessions from the same computer, you will only be required to enter your user name and password. To change the security question information, click **Edit**, then select a new question and answer or change the answer to the current question before clicking **Update** in the pop-up box.

Security Image: The security image is a visual confirmation that you have accessed the authentic Liberty website. To change the image, click **Edit**, then select a new image and click **Update** in the pop-up box.

Password: Click **Edit**, then type your current password and your new password (twice) before clicking **Update** in the pop-up box. A password strength meter will appear to let you know when your password is secure enough to be usable. You will not be able to save a password with a weak rating (indicated by a red bar). The Save button will be activated when you have entered a medium (yellow bar) or strong (green bar) password twice.

About your account - Tablet Navigation

When viewing the About Your Account tab on a tablet device, the sections listed above will appear as icons in the lower navigation bar. Tap the icons to view those functions. The icon will change from black and white to color to indicate the active selection.



Where Do I Find...

See below for where to find information Investors commonly ask about.

My password/security information update:

In the [Security Settings](#) section of the About Your Account tab.

My statements and tax documents:

In the [Statements](#) or [Tax Documents](#) sections of the About Your Account tab.

My email address:

In the [People](#) section of the About Your Account tab.

My contact information (address & phone number):

In the [About Your Account](#) section of the Overview tab or in the [People](#) section of the About Your Account tab.

My financial professional's contact information:

In the [About Your Account](#) section of the Overview tab or in the [People](#) section of the About Your Account tab.

Change my document delivery method:

In the [Document Delivery Options](#) section of the About Your Account tab.

Appendix A - Standard Reports List

Asset and Transaction Report

Displays an unofficial client account statement.

Gain/Loss Report

For non-equity securities, displays actual cost and average cost as well as the associated gain or loss amounts for all 1099-B reportable events. In addition, the report header displays the investment advisor's election for determining the cost basis on transfers. For equity securities, cost basis is based on actual amounts. When selecting the report for an account list, the report will also include pending, open, and terminated accounts associated with the list.

Historical Account Position

Displays an account's total cash, total worth, and detailed asset information as of the date requested. The report includes all accounts in the list (pending, open and terminated).

Income Report

Displays an account's dividend interest and gain/loss data for a selected date range, similar to the detail clients receive in their tax packets at the end of the year.

Model Market Value Report

Displays breakdown of asset and cash amounts per model with account detail and account type. The report is available in either Text (TXT) or standard Comma Separated Value (CSV) formats.

RMD Report

Displays the ending balance as of the prior year, required minimum distribution amount, the total amount of distributions, and the total remaining distributions for accounts for the selected tax year. The report may be generated for Traditional IRAs, SIMPLE IRAs, or both. It also includes the option to include terminated accounts or accounts with Life Expectancy Payments (LEP) in the report output.