# Step-by-Step Guide for Advisors and Discretionary Accounts

## Intent to Buy

LODAS MARKETS

## A Set Up Advisor Account

Advisor • One-time setup

1. Create an account at app.lodasmarkets.com/signup
2. Select *Accounts* from the dropdown under your name in the top right
3. Select *Apply as an Advisor* and fill out the adivsor application
4. Review your information and submit the application

## B Onboard Discretionary Account

Advisor • Acting with Discretionary Authority

**Gather required documents before you begin***

1. Select + *Onboard Client*
2. Select *Onboard New Account*
3. Choose the type of client account
4. Select *No, they are interested in buying as well*
5. Select *Create an account & place a buy order*
6. Review and select *Continue* without accreditation
7. Review and select answers to *Investor Profile* questions
8. Select account type and enter relevant account information
10. Enter employment/industry affiliation
11. Select product
12. Enter order details (size/price)
13. Review *Trading Account Application* and order
14. Sign *Trading Account Application* and order

### Email Notifications: Advisor & Client

1. Notifications: Advisor & Client receive Customer Relationship Summary. *Note: Form CRS is provided to advisor on signature in the previous step*
2. Notification: Advisor receives *Welcome to LODAS* email confirming account submission.
3. Notification: Advisor receives notification after LODAS approves new account application.

## C Fund the Account

Advisor • Set up ACH or wire transfer

*This option is only supported for non-qualified accounts.*

1. Select your client's account on the home page
2. Navigate to *Transfers* tab
3. Add a new funding source with the + *New Account* button
4. Fill out bank account entry form
5. Initiate ACH transfer with + *New Cash Transfer* button
6. Fill out transfer form
7. Review and submit transfer

### Email Notifications: Advisor

1. Notification: New funding source added
2. Notification: Fund transfer complete

## D Place a Limit Order

Advisor • Email updates at each stage

1. In the marketplace, select *Buy* on the fund
2. Select the client account
3. Enter auction order shares and select discount
4. Review order details, sign, and submit order

### Email Notifications: Advisor

1. Notification: Auction order has been submitted
2. Notification: Auction order has been filled
3. Notification: Order has been settled

*Most recent brokerage statement, Valid government-issued photo ID (e.g. passport, driver's license), Account opening documentation and any supporting documents such as a POA, Corp Res, Trust, etc.

# Step-by-Step Guide for Advisors and Discretionary Accounts

## Intent to Sell

LODAS MARKETS

## A Set Up Advisor Account

Advisor • One-time setup

1. Create an account at app.lodasmarkets.com/signup
2. Select *Accounts* from the dropdown under your name in the top right
3. Select *Apply as an Advisor*
4. Fill out your advisor application
5. Review your information and submit the application

## B Onboard Discretionary Account

Advisor • Acting with discretionary authority

**Gather required documents before you begin***

1. Select + *Onboard Client*
2. Select *Onboard New Account*
3. Choose the type of client account
4. Select *Yes, they plan to only sell securities*
5. Select product and relevant information about where shares are currently held
6. Enter relevant account information
7. Enter order type
8. Enter order details (size/price)
9. Review *Trading Account Application* and order
10. Sign *Trading Account Application* and order

### Email Notifications: Advisor & Client

1. Notifications: Advisor & Client receive Customer Relationship Summary. *Note: Form CRS is provided to advisor on signature in the previous step*
2. Notification: Advisor receives *Welcome to LODAS* email confirming account submission.
3. Notification: Advisor receives notification after LODAS approves new account application.

## C Fund the Account

Advisor • Set up ACH or wire transfer

1. Select your client's account on the home page
2. Navigate to *Transfers* tab
3. Select + *New Transfer*
4. Fill out asset transfer form
5. Review and submit transfer

### Email Notifications: Advisor

1. Notification: Asset transfer has been initiated.

## D Place a Limit Order

Advisor • Email updates at each stage

1. In the marketplace, select *Sell* on the fund
2. Select the client account
3. Enter auction order shares and select discount.
4. Review order details, sign, and submit the order

### Email Notifications: Advisor

1. Notification: Auction order has been submitted
2. Notification: Auction order has been filled
3. Notification: Order has been settled

*Most recent brokerage statement, Valid government-issued photo ID (e.g. passport, driver's license), Account opening documentation and any supporting documents such as a POA, Corp Res, Trust, etc.