Step-by-Step Guide for Advisors and Discretionary Accounts

Intent to Buy

A Set Up Advisor Account

Advisor • One-time setup

1. Create an account at app.lodasmarkets.com/signup
2. Select *Apply as an Advisor*
3. Fill out your advisor 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
9. 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. Advisor & Client receive Customer Relationship Summary. *Note: Form CRS is provided to advisor on signature in the previous step*
2. Advisor receives *Welcome to LODAS* email confirming account submission.
3. Advisor & Client receive notification after LODAS approves new account application.

C Fund the Account

Advisor • Set up ACH or wire transfer

1. Navigate to *Accounts* from the dropdown menu.
2. Select *Link New Account* .
3. Select *Checking/Savings* to set up an ACH. *Note: buyer can also wire proceeds directly to LODAS using wire instructions*
4. Select *Login With Your Bank* (uses Plaid to link account)
5. Once linked, navigate to *Accounts* > *Transfer* from dropdown menu
6. Select *Transfer Funds*
7. Select *Deposit*. *Note: Follow the same process for account withdrawals*
8. Indicate which LODAS account to deposit funds into and the amount
9. Review the deposit and submit

Email Notifications: Advisor

1. Fund transfer has been initiated

D Place a Limit Order

Advisor • Email updates at each stage

1. In the marketplace, select the fund you wish to buy
2. Select *New Order* type — *Limit Order*
3. Select match order available, click *Buy At* and *Review Order*
4. Review order details, sign and submit the order

Email Notifications: Advisor

1. Notification: limit order has been submitted
2. Notification: limit order has been filled
3. Notification: order has 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

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2. Select *Apply as an Advisor*
3. Fill out your advisor application
4. Review your information and submit the application

B Onboard Discretionary Account

Advisor • Acting with discretionary authority

Documents required before you begin:

- 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.

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

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6. Select *Transfer Funds*
7. Select *Deposit*. *Note: Follow the same process for account withdrawals*
8. Indicate which LODAS account to deposit funds into and the amount
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Email Notifications: Advisor

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