

# Step-by-Step Guide for Advisors and Clients



## Set up your advisor account

Advisor • One-time setup

- 1 Create an account at [app.lodasmarkets.com/signup](https://app.lodasmarkets.com/signup)
- 2 Select *Apply as an Advisor*
- 3 Fill out your advisor application
- 4 Review your information and submit the application

Once approved, you're ready to onboard clients



## Complete onboarding (Client steps)

Client • Triggered by email invite

- 1 Check email and click Get Started in the invitation.
- 2 Create a password and confirm the last 4 digits of SSN/TIN
- 3 Click *Get Started*
- 4 Review the order details your advisor submitted, then select *Continue*.
- 5 Review your account and order information, then select *Continue*.
- 6 Accept the disclosures, sign electronically, and click Submit. *Note: Your account application will show as 'under review' on your home page*

Onboarding complete. Order Notifications



## Onboard a client (Advisor steps)

Advisor • Repeat for each client

### 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

- 1 Click the *onboarding* link in your dashboard.
- 2 Select *+ Onboard Client*
- 3 Select *Onboard New Account*
- 4 Choose the type of client account
- 5 Select *Yes, they plan to only sell securities*
- 6 Enter details about where the shares are currently held
- 7 Enter the client's personal information
- 8 Enter the order information
- 9 Review the account information and order, then submit. *Note: Your client will receive an email invitation to complete their side*

Client picks it up from here



## Order Notifications

Advisor • Email updates at each stage

- 1 *Customer Relationship Summary* received
- 2 Notification: order is placed
- 3 Notification: order is matched
- 4 Notification: order is pending settlement
- 5 Notification: order has settled
- 6 Notification: transfer of proceeds out of account has been initiated

